National Marine Fisheries Service (NMFS)
Summary of the PGA Process for Filing in ACE

February 23, 2016
Version 2.0

National Marine Fisheries Service (NMFS)

Contents

1. Introduction
NMFS is responsible for the stewardship of the nation's ocean resources and their habitat. We provide vital services for the nation: productive and sustainable fisheries, safe sources of seafood, the recovery and conservation of protected resources, and healthy ecosystems—all backed by sound science and an ecosystem-based approach to management.
U.S. fisheries are among the world's largest and most sustainable. Seafood harvested from U.S. federally managed fisheries is inherently sustainable as a result of the U.S. fishery management process. Using the Magnuson-Stevens Act as the guide, NOAA Fisheries works in partnership with Regional Fishery Management Councils to assess and predict the status of fish stocks, set catch limits, ensure compliance with fisheries regulations, and reduce bycatch.

2. Commodities
NMFS commodities are linked to their permit requirements. (Atlantic Highly Migratory Species, Antarctic Marine Living Resource, Tuna Tracking and Verification Program)

Commodity Type	HTS Code
Fisheries Certificate of Origin (NOAA Form 370) (all tuna products except fresh tuna)	**(A) Frozen:** 0303.41.0000 Tuna, Albacore or longfinned tunas, frozen. 0303.42.0020 Tuna, Yellowfin, whole, frozen. 0303.42.0040 Tuna, Yellowfin, eviscerated, head on, frozen. 0303.42.0060 Tuna, Yellowfin, other, frozen. 0303.43.0000 Tuna, Skipjack, frozen. 0303.44.0000 Tuna, Bigeye, frozen. 0303.45.0110 Tuna, Bluefin, Atlantic, frozen. 0303.45.0150 Tuna, Bluefin, Pacific, frozen 0303.46.0000 Tuna, Bluefin, Southern, frozen. 0303.49.0200 Tuna, other, frozen. 0304.87.0000 Tuna, non-specific, fillet, frozen 0304.99.1190 Tuna, frozen in bulk or in immediate containers weighing with their contents over 6.8 Kg each. **(B) Airtight Containers**: 1604.14.1010 Tuna, in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each. 1604.14.1091 Tuna, in oil, albacore. 1604.14.1099 Tuna, in oil, other. 1604.14.2251 Tuna, albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each. 1604.14.2259 Tuna, albacore, not in oil, other. 1604.14.2291 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each. 1604.14.2299 Tuna, other than albacore, not in oil, other. 1604.14.3051 Tuna, albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos, over quota.

Commodity Type	HTS Code
	1604.14.3059 Tuna, albacore, not in oil, other, over quota. 1604.14.3091 Tuna, other than albacore, not in oil, in foil or other flexible containers weighing with their contents not more than 6.8 kilos each, over quota. 1604.14.3099 Tuna, other than albacore, not in oil, other, over quota. **(C) Loins**: 1604.14.4000 Tuna, not in airtight containers, not in oil, over 6.8 kg. 1604.14.5000 Tuna, not in airtight containers, other. **(D) Other (only if the product contains tuna):** 0511.91.0090 Fish, shellfish products unfit for human consumption. 1604.20.1000 Pastes. 1604.20.1500 Balls and cakes, in oil. 1604.20.2000 Balls and cakes, not in oil, less than 6.8 kg, in airtight containers. 1604.20.2500 Balls and cakes, not in oil, less than 6.8 kg, other. 1604.20.3000 Balls and cakes, not in oil, other. 2309.10.0010 Dog or cat food
Highly Migratory Species (HMS) Program Documents (Atlantic bluefin tuna, Pacific bluefin tuna, Southern bluefin tuna, Swordfish, FrozenBigeye tuna and Shark fin)	**Bluefin Tuna** 0302.35.0100 Atlantic and Pacific bluefin tunas (Thunnus thynnus, Thunnus orientalis) 0302.36.0000 Southern bluefin tunas (*Thunnus maccoyii*) 0303.45.01 Atlantic and Pacific bluefin tunas (Thunnus thynnus, Thunnus orientalis) 0303.45.0110 Thunnus thynnus 0303.45.0150 Thunnus orientalis 0303.46.0000 Southern bluefin tunas (*Thunnus maccoyii*) **Swordfish** 0302.47.00 Swordfish (Xiphias gladius) 0302.47.0010 Steaks 0302.47.0090 Other 0303.57.00 Swordfish (Xiphias gladius) 0303.57.0010 Steaks 0303.57.0090 Other

Commodity Type	HTS Code	
	0304.45.0000	Swordfish (Xiphias gladius)
	0304.54.0000	Swordfish (Xiphias gladius)
	0304.84.0000	Swordfish (Xiphias gladius)
	0304.91	Swordfish (*Xiphias gladius*):
	0304.91.1000	In bulk or in immediate containers weighing with their contents over 6.8 kg each
	0304.91.9000	Other
	Frozen bigeye tuna	
	0303.44.0000	Bigeye tunas (*Thunnus obesus*)
	Sharkfin	
	0305.71.0000	Shark fins
Antarctic Marine Living Resources (AMR) Program Documents (Toothfish)	0306.19.0030	Antarctic krill (*Euphausia superba*)
	0511.99.3030	Antarctic krill (*Euphausia superba*)
	0302.83.0000	Toothfish (Dissostichus spp.) Fish, fresh or chilled, excluding fish fillets and other fish meat of heading 0304
	0303.83.0000	Toothfish (Dissostichus spp.) Fish, frozen, excluding fish fillets and other fish meat of heading 0304
	0304.46.0000	Toothfish (Dissostichus spp.) Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen
	0304.55.0000	Toothfish (Dissostichus spp.) Fish fillets and other fish meat (whether or not minced), fresh chilled or fozen
	0304.85.0000	Toothfish (Dissostichus spp.) Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen

Commodity Type	HTS Code	
	0304.92.1000	Toothfish (*Dissostichus spp.*): Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen.) In bulk or in immediate containers weighing with their contents over 6.8 kg each
	0304.92.9000	Toothfish (*Dissostichus spp.*): Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen.) Other

3. Forms / Documents

The table below identifies the forms and/or documents that will be transitioning to electronic submission, and which will be tested operationally for the first time as a part of this pilot:

Form	Form Description	Collected Using the PGA Message Set	Using DIS	CFR Citation for applicable regulations
370 Program - *all tuna or tuna products except fresh tuna*				
Fisheries Certificate of Origin (NOAA Form 370)	certificate that must accompany the import of tuna product except fresh tuna. Information on the location and circumstances of the harvest of the tuna contained in the shipment.	Yes	Yes	*50 CFR 216.24 (f)(2) and 50 CFR 216.93 (d)(2)*
Captain's Statement	supplemental certifications (attachments) attesting to the circumstances pertaining to the harvest per section 5 of the 370 form	No	Yes	*50 CFR 216.24 (f)(2) and 50 CFR 216.93 (d)(2)*
Observer's Statement	supplemental certifications (attachments) attesting to the circumstances pertaining to the harvest per section 5 of the 370 form	No	Yes	*50 CFR 216.24 (f)(2) and 50 CFR 216.93 (d)(2)*
International Dolphin Conservation	supplemental certifications (attachments) attesting to the circumstances pertaining to the	No	Yes	50 CFR Part 216.24(f)

National Marine Fisheries Service (NMFS)

Form	Form Description	Collected Using the PGA Message Set	Using DIS	CFR Citation for applicable regulations
Program (IDCP) Member Nation Certification	harvest per section 5 of the 370 form			
HMS Program -all; Atlantic bluefin tuna, Pacific bluefin tuna, Southern bluefin tuna, Swordfish, FrozenBigeye tuna and Shark fin				
Highly Migratory Species International Trade Permit	NMFS Issued Trade Permit required for all species covered via the NMFS HMS Program	Yes	No	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)
CCSBT Catch Monitoring	Must accompany the import of all products. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US to assure compliance with US international agreements.	Yes	Yes	50 CFR 300.184(b); 50 CFR
CCSBT Re-export/Export After Landing of Domestic Product	Must accompany shipment of designated product at time of import if re-exported previously from another country or if being exported from the US. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US.	Yes	Yes	50 CFR 300.184(b); 50 CFR
IATTC Bigeye Tuna Statistical Document	Must accompany the import of all designated product. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US to assure compliance with US international agreements.	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(c)
IATTC Bigeye Tuna Re-export	Must accompany shipment of designated product at time of import if re-exported previously	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50

National Marine Fisheries Service (NMFS)

Form	Form Description	Collected Using the PGA Message Set	Using DIS	CFR Citation for applicable regulations
Certificate	from another country or if being exported from the US. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US.			CFR 300.185(c)
ICCAT Bigeye Tuna Statistical Document	Must accompany the import of all designated product. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US to assure compliance with US international agreements.	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(c); 50 CFR 300.185(a)(2)
ICCAT Bigeye Tuna Re-export Certificate	Must accompany shipment of designated product at time of import if re-exported previously from another country or if being exported from the US. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US.	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(c)
ICCAT Bluefin Tuna Catch Document	Must accompany the import of all designated product. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US to assure compliance with US international agreements.	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(c)
ICCAT Bluefin Tuna Re-export Certificate	Must accompany shipment of designated product at time of import if re-exported previously from another country or if being exported from the US. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US.	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(c)

National Marine Fisheries Service (NMFS)

Form	Form Description	Collected Using the PGA Message Set	Using DIS	CFR Citation for applicable regulations
ICCAT Swordfish Statistical Document	Must accompany the import of all designated product. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US to assure compliance with US international agreements.	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(c)
ICCAT Swordfish Re-export Certificate	Must accompany shipment of designated product at time of import if re-exported previously from another country or if being exported from the US. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US	Yes	Yes	Atlantic Tunas Convention Act of 1975, 16 U.S.C. 971 et seq.; 50 CFR 300.184(a); 50 CFR 300.185(c)
IOTC Bigeye Tuna Statistical Document	Must accompany the import of all designated product. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US to assure compliance with US international agreements.	Yes	Yes	50 CFR 300.184(c); 50 CFR 300.185(a)(2)
IOTC Bigeye Tuna Re-export Certificate	Must accompany shipment of designated product at time of import if re-exported previously from another country or if being exported from the US. Utilized post release to confirm lawful harvest of product and to fulfill post import reporting requirements by the US			50 CFR 300.184(c); 50 CFR 300.185(a)(2)
AMR Program – Antarctic Marine Living Resources - Patagonian and Antarctic toothfish				
Antarctic Marine Living Resources (AMLR) Dealer Permit	NMFS Issued Trade Permit required for all species covered via the NMFS AMR Program	Yes	No	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq .; 50 CFR 300.107(c)(6) and (7)

National Marine Fisheries Service (NMFS)

Form	Form Description	Collected Using the PGA Message Set	Using DIS	CFR Citation for applicable regulations
Toothfish Import Approval Form	Single use authorization issued by NMFS to an importer prior to and for a single specific import/entry and for a specific weight of frozen toothfish. This authorization is require or all frozen toothfish. A specific/unique number is assigned to the authorization.	Yes	No	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq .; 50 CFR 300.107(c)(6) and (7)
Dissostichus Catch Document(DCD)	Must accompany/be listed on the reporting form for fresh toothfish. Accompanies imports of fresh toothfish.	Yes	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq .; 50 CFR 300.107(c)(6) and (7)
Reporting form for Catch Documents Accompanying Fresh, Air-Shipped shipments of toothfish	Form accompanying fresh toothfish imports which lists all catch documents associated with the specific shipment	Yes	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq .; 50 CFR 300.107(c)(6) and (7)
Dissostichus Re-Export Document	For product that has either been re-exported to the US from a country other than the harvesting country or for any re-exports from the United States	Yes	Yes	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431 et seq .; 50 CFR 300.107(c)(6) and (7)

National Marine Fisheries Service (NMFS)

4. Downtime Procedures:

CBP has established SOPs to address the continuity of operations in the event of a system outage, and decisions on implementing SOPs during an outage consider projected system downtimes. ACE maintains data redundancy. It buffers all messages sent to the trade and has the capacity to resend any message that failed delivery due to a system outage on either side. The delivery status of each message is also retained for audit and recovery purposes. Transmission of data buffered during the outage can be initiated to bring the systems back in sync.

The ability of the system to support operations despite an outage depends on the extent of the outage within the various components of the system. In the case of a fatal crash, plans are in place to allow inter-agency operations via manual means of communication such as e-mail and phone calls until system capabilities are restored.

5. Filing of NMFS PGA Data:

A broker submits entry data via ACE for cargo release (it is encouraged that the filer submits the entry data as early as possible in order to prevent unnecessary holds at arrival). The NMFS business rules are located here:
http://www.cbp.gov/sites/default/files/documents/NMFS%20PGA%20Message%20Set%20Guidlines.pdf

1. If the PGA information is submitted and is free of syntax errors, ACE will process the data for cargo release. If there are errors missing and/or incomplete data, the entry will be rejected, thus no entry number will generate that is associated to the action. In addition, also submit the DIS prior to transmitting the message set or the filer will receive an error message indicating that the DIS has not been provided.

2. If the entry cannot be submitted because of syntax errors, ACE will send out the appropriate notification (see IG) reflecting the status and error. Please note that it is the responsibility of the filer to make corrections or contact NMFS directly to resolve the matter. ACE does not automatically notify NMFS of discrepancies within the submitted data.

3. Should the entry submission be free of all syntax errors and pass all business rules, the filer will get an automatic may proceed message which informs the filer that NMFS is releasing the goods.

4. If the PGA message set is filed correctly ACE will generate a May Proceed on behalf of the NMFS to the filer and send the appropriate CBP notification regarding entry status to the filer. Should there be no other unreleased PGA (including CBP) requirements for the entry, ACE will automatically generate a 1USG message to the filer.

ACE Cargo Release Glossary of Terms are internally located at the ACE Central site.

National Marine Fisheries Service (NMFS)

Filing NMFS Data for FTZ (entry type 06) weekly estimated entries- For Type 06 (FTZ) weekly estimated entries, the NMFS PGA data may be submitted with the entry summary instead of with the estimated entry

6. Points of Contact

The table below provides contact information for NMFS personnel who will be coordinating the pilot activities with CBP.

Role	Point Of Contact	Responsibilities
NMFS I.T. POC:	Dale Jones (Primary Contact for NMFS) dale.jones@noaa.gov 301-427-8143 Scott Sauri 301-427-8172 scott.sauri@noaa.gov	• Provides technical support for NMFS integration with CBP's ACE system • Coordinates development, technical issue investigation, and resolution during pilot. • Provides support for EDA integration with CBP's ACE system filling at the ports.
NMFS Operatio nal POC:	Dale Jones (Primary Contact for NMFS) dale.jones@noaa.gov 301-427-8143 Chris Rogers christopher.rogers@noaa.gov 301-427-8375	• Provides NMFS business subject matter expertise relating to the NMFS/ ACE pilot efforts. • Coordinates with the Program Lead to monitor performance and communicate progress of NMFS / ACE Pilots
NMFS Program Lead:	370 Program Bill Jacobson 562-980-4035 bill.jacobson@noaa.gov AMR and HMS Program Kimberly Dawson Guynn 228-549-1715 Kim.dawson.guynn@noaa.gov	• Provides oversight to NMFS integration with CBP's ACE system as a whole. • Manages coordination between NMFS and CBP • Serves as escalation point for issues that arise where NMFS and/or coordination and guidance is required.

National Marine Fisheries Service (NMFS)

Role	Point Of Contact	Responsibilities
Client Representatives		• Act as primary point of contact for Trade for all cargo system processing