



United States

Consumer Product Safety Commission

eFiling Voluntary Stage

Participant Welcome Packet

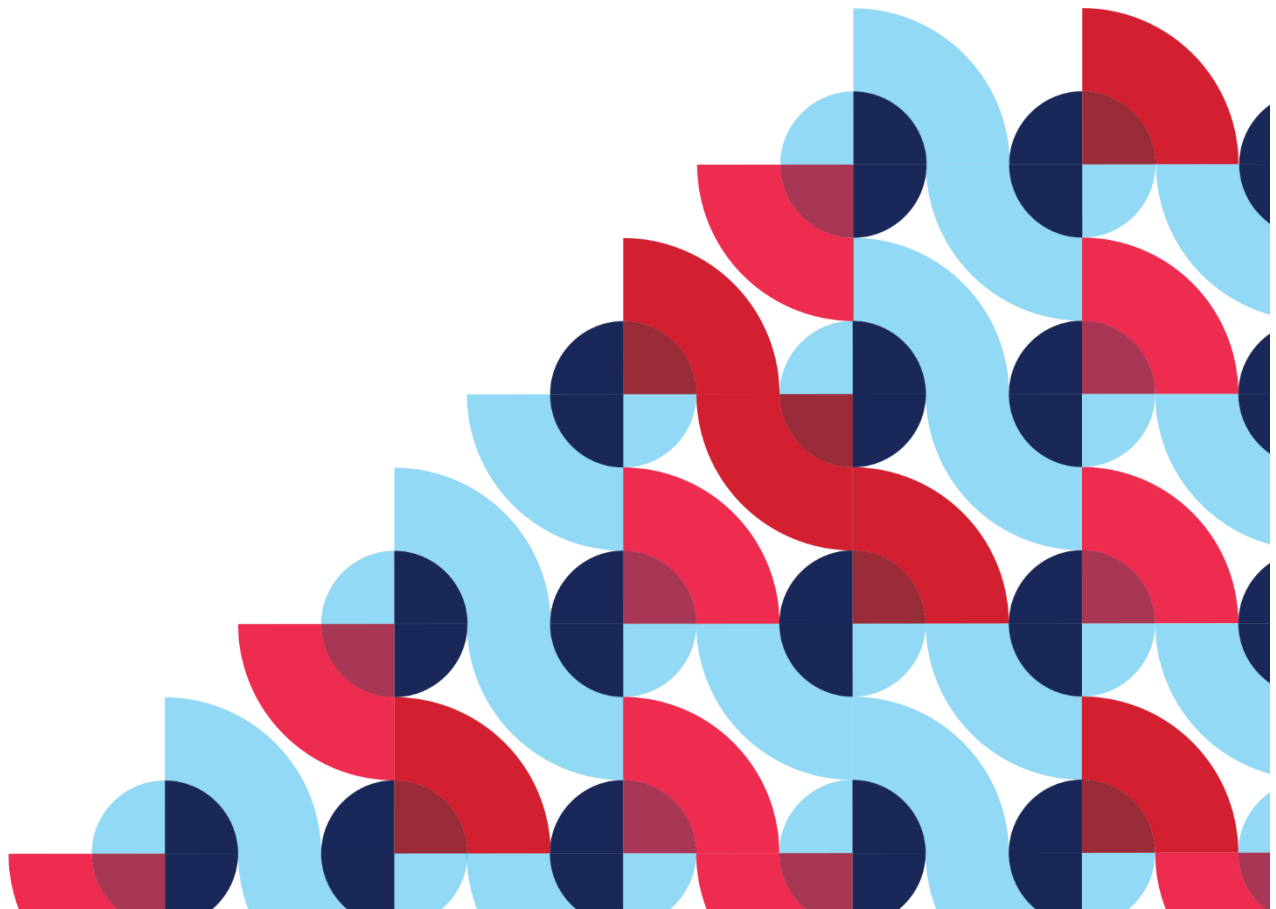




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Welcome Letter

Dear eFiling Participant:

Welcome to the eFiling voluntary stage! Thank you for your participation in this important initiative for the U.S. Consumer Product Safety Commission (CPSC) and the trade community. Your participation and feedback during the eFiling voluntary stage will help to protect American consumers by modernizing how CPSC captures and manages product certificate data. The eFiling program will allow CPSC to process import shipments more efficiently and focus our enforcement activities on higher risk products.

This effort is led by CPSC's Office of Import Surveillance, which works closely with U.S. Customs and Border Protection (CBP) to identify and examine high-risk imported shipments of consumer products. As we transition to the eFiling voluntary stage, CPSC is excited to expand the original Beta Pilot to onboard up to 2,000 additional importers to participate and test eFiling systems and processes.

We greatly appreciate importers' and their trade partners' participation as we work through this exciting period of transition and expansion. Active participation in the eFiling voluntary stage will contribute greatly to the success of the eFiling program. The eFiling support team will continuously provide the necessary resources and direct support needed for success as you go through the onboarding process, system integration, and full implementation of eFiling for your business.

CPSC's eFiling support team is here for you throughout this process. We look forward to onboarding and working with you and your trade partners as we approach full implementation of the eFiling program!

Sincerely,

Jim Joholske

Director, Office of Import Surveillance

U.S. Consumer Product Safety Commission

eFiling Voluntary Stage Overview

The purpose of the eFiling voluntary stage is to provide an opportunity for importers and their trade partners to gain access to the secure CPSC Product Registry and begin testing the eFiling process on a voluntary basis. In this process, CPSC encourages you to leverage the current resources available on our [webpage](#) to learn about the eFiling program and Product Registry.

To ensure the best possible experience for new participants, CPSC will be following a phased invitation schedule. This approach allows us to provide dedicated support and guidance to each group of participants as they come on board. This phased rollout is designed to maximize the efficiency and quality of the onboarding process. CPSC staff are committed to providing an efficient and successful testing experience for all participants.

CPSC will garner participant feedback throughout the eFiling voluntary stage and encourages participants to provide real-time feedback on the eFiling system and processes. This feedback loop will aid CPSC in delivering a successful and modernized eFiling program that benefits both the trade industry and the agency.

Participants are encouraged to take the following important steps as they begin participating in the eFiling voluntary stage:

- Communicate with your trade partners to discuss your participation in the eFiling voluntary stage
- Decide whether your business will be transmitting Full or Reference Partner Government Agency (PGA) Message Sets (or both)
 - **Full PGA Message Set:** The importer provides their broker with the full product certificate for the imported product and the broker files it in the CPSC PGA Message Set at the time of entry. This is recommended if the importer imports a limited number of regulated consumer products or does not repeatedly import the same product.
 - **Reference PGA Message Set:** The importer pre-enters the certificate data into the CPSC Product Registry (a secure database developed and maintained by CPSC) and then provides their broker with certificate identifiers to be filed in the PGA Message Set. The certificate identifiers are the Certifier ID, Product ID, and Version ID. This option is preferable if the importer repeatedly imports regulated consumer products covered by the same product certificates. By using the Product Registry, the importer can leverage manual or bulk upload features to file product certificate data in a streamlined and accelerated manner.
- Assess current readiness for testing the eFiling process
- Appoint key personnel for managing eFiling implementation

eFiling Roles and Responsibilities

While importers are ultimately responsible for product certification, each trade partner plays a critical role in the flow of information throughout the eFiling process.

Stakeholder Role	Key Responsibilities
Importer Manage and oversee flow of all data and eFiling process to prepare for entry	<ul style="list-style-type: none"> Engage and communicate with trade partners to provide awareness and guidance on eFiling Implement updated business processes to support new eFiling roles to include Compliance and Customs teams, if applicable Oversee system integration planning and execution Identify the CPSC regulated products that fall within the scope of eFiling Provide management and oversight on all data flows, particularly product certificate data, to ensure successful transmission of Full PGA Message Set or Reference PGA Message Set in CBP ACE
Broker Collaborate, communicate, and file certificate data on behalf of importer	<ul style="list-style-type: none"> Work with importer to identify CPSC regulated products that need to be eFiled Establish data flow with importer to ensure all data elements for Message Set are communicated timely and accurately Track shipments through the supply chain to ensure shipment data is ready to be filed at time of entry File Full PGA Message Set or Reference PGA Message Set at time of entry Communicate with importer client(s) to ensure collaborative efforts across entire eFiling business process to include status updates, risk mitigation, and shipment tracking
Testing Laboratory Gather and transmit test report information	<ul style="list-style-type: none"> Gather eFiling data requirements for test reports from importer Identify products and corresponding citations per CPSC regulations Collaborate with importer and broker to establish a data transfer protocol Execute data transfer for all applicable test report details
Manufacturer Provide all manufacturing details for applicable products subject to CPSC regulation	<ul style="list-style-type: none"> Gather eFiling data requirements for manufacturing information from importer Collaborate with importer and broker to establish a data transfer protocol Execute data transfer of manufacturer details for all applicable products identified Ensure manufacturer information is provided accurately and updated as necessary
Software Developer Develop, execute, and collaborate to integrate technical solutions	<ul style="list-style-type: none"> Create project plan that considers alignment with eFiling timelines Lead coordinated integration and development efforts to update systems and align with eFiling requirements



	<ul style="list-style-type: none">• Develop automated technical solutions to enable easier data transfers• Collaborate with all stakeholders to ensure IT architecture works as expected for successful submission of Message Set data
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Initial Steps in the Product Registry (if applicable)

Participants opting to transmit Reference PGA Message Sets should follow these steps to begin using the CPSC Product Registry:

- **Business Account Set Up**
Importers are legally responsible for their certificate data. Each importer must establish a Business Account and Product Collections to organize and manage product certificate data.
- **Add Users**
The Business Account Administrator can invite other Business Account Administrators and Collection-specific users to collaborate.
- **Add Trade Parties**
Establishing a record of Trade Parties within a Business Account allows users to quickly reference those Trade Parties during the product certificate data entry process.
- **Initiate Product Certificate Data Entry**
Business Account Administrators also create Product Collections and start entering data.

eFiling Useful Resources

Visit the CPSC eFiling website to check out guidance documents, training materials, templates and more helpful resources.

- [CPSC eFiling Webpage](#)
- [eFiling Quick Start Guide](#)
- [CPSC Product Registry Training Videos](#)
- [eFiling Document Library](#)
- [eFiling Voluntary Stage Training Session Presentation](#)

eFiling Point of Contact

For any questions or feedback throughout the eFiling voluntary stage, please send communications to the eFiling Support Inbox. This inbox is monitored regularly and will be your best source for contacting the eFiling support team.

You can contact the eFiling support team via the eFiling Support Inbox at eFilingSupport@cpsc.gov

Frequently Asked Questions

Q: I'm new to the eFiling program and voluntary stage. Where do I go to learn about the program and the Product Registry system?

A: Gaining familiarity with the resources available on the eFiling webpage at <https://www.cpsc.gov/eFiling> and in our [Document Library](#), such as our eFiling Quick Start Guide and our Product Registry Training Videos, would be an excellent way to kick off participation in the eFiling voluntary stage.

Q: Will participation in the eFiling voluntary stage or mistakes made in voluntary filings of certificate data impact my risk score or cause shipment delays?

A: While shipments are still subject to the usual CPSC examination, participation in the eFiling voluntary stage and mistakes made in voluntary filings of certificate data will not impact importers' risk scores nor cause shipment delays. The eFiling voluntary stage is designed to support learning and testing without penalizing participants for mistakes.

Q: Is there a minimum number of products that are required to be eFiled during the eFiling voluntary stage?

A: Participants can eFile for as many products as they choose. Participants can start small and build out their portfolio of products for eFiling over time.

Q: What are the options once we are ready to transmit Message Sets into CBP's ACE system?

A: Once participants progress into phase three and are ready to transmit Partner Government Agency (PGA) Message Sets, they can transmit using one of two methods:

- **Full PGA Message Set:** The importer provides their broker with the seven required product certificate data elements for the imported product and the broker files it in the CPSC PGA Message Set. The required data elements include the Product ID, Citation Codes, Manufacture Date, Manufacture Place, Product Test Date, Testing Laboratory, and Point of Contact.
- **Reference PGA Message Set:** The importer pre-enters the product certificate data into the CPSC Product Registry and then provides their broker with the Certificate Identifiers to be filed in the PGA Message Set. The Certificate Identifiers are the Certifier ID, Product ID, and Version ID.

Q: Is there an option to bulk upload product certificate data in the Product Registry?

A: Users have two options to bulk upload product certificate data into the Product Registry. Users can bulk upload via a Comma-Separated Values (CSV) file or Application Programming Interface (API) integration. Users can access our CSV Bulk Upload Template, User Guide for CSV Upload, and API Specifications document in the [Document Library](#) available on our webpage for additional guidance.

Q: Where can I find the Harmonized Tariff Schedule (HTS) codes and/or Citation and Testing Exclusion codes that apply to eFiling?

A: Participants are encouraged to review the HTS, Citation, and Testing Exclusion codes in our [Document Library](#) to best understand which codes require product certification and/or if a Disclaim is



allowed. The HTS, citation, and testing exclusion codes available in our Document Library are not all-encompassing lists and only serve as guidance for the eFiling voluntary stage. For additional citation and testing exclusion guidance, we encourage you to use our [Regulatory Robot](#) and/or reach out to CPSC's Small Business Ombudsman team at sbo@cpsc.gov. For additional guidance on HTS codes, we encourage you to work with CBP and your trade partners to better understand the HTS codes that apply to your products.

Q: Are participants required to transmit Disclaim Message Sets during the eFiling voluntary stage?

A: No, Disclaim PGA Message Sets are not required. With that said, CPSC encourages importers to file Disclaim PGA Message Sets for the benefit of potentially improving their risk score.

Q: What if a testing exclusion applies to my product?

A: If the product requires product certification and a testing exclusion applies, then a testing exclusion code must be provided with the product certificate. The Product Registry includes a feature that allows users to add testing exclusion codes.

Q: Who do I contact for eFiling support?

A: You can contact the eFiling support team via the eFiling Support Inbox at eFilingSupport@cpsc.gov

Appendix: eFiling Implementation Checklist

The eFiling Implementation Checklist below includes important tasks across the three implementation phases for importers and their trade partners to complete in preparation for eFiling full implementation. CPSC understands this initiative may impact businesses as they update their systems and change the way they prepare, file, and manage product certificate data. Importers that start preparing for eFiling early will be better equipped to comply with these requirements at full implementation. The three phases are as follows:

- **Phase 1: Learn, Define, Communicate**
- **Phase 2: Integration and Development**
- **Phase 3: Implementation and Improvement**

Please refer to the [eFiling Quick Start Guide](#) for additional details on the eFiling Implementation phases.

Phase 1 Task Checklist	
Receive eFiling Update Notifications	
<input type="checkbox"/>	Add your business email to CPSC’s mailing list to receive direct notification of the latest eFiling updates
Learn more about the eFiling Program	
<input type="checkbox"/>	Visit the CPSC eFiling webpage at www.cpsc.gov/eFiling
<input type="checkbox"/>	Review the eFiling Document Library
<input type="checkbox"/>	Identify products subject to CPSC regulations
<input type="checkbox"/>	Identify all product certificate data elements for collection
<input type="checkbox"/>	Watch CPSC Product Registry training modules
<input type="checkbox"/>	Study the available resources on the webpage to understand the eFiling requirements, processes, and data elements
Inform your Importer Trade Network	
<input type="checkbox"/>	Implement formal email communications, meetings, and calls to spread awareness across all internal and external stakeholder channels to include importer, broker, laboratory, manufacturer, and software developer contacts
<input type="checkbox"/>	Discuss eFiling requirements and specific roles and responsibilities
<input type="checkbox"/>	Identify specific points of contact for continued communication
<input type="checkbox"/>	Establish a schedule of communication on a continual basis
<input type="checkbox"/>	Work with your software developer to understand Application Programming Interface (API) integration requirements, if applicable



Phase 2 Task Checklist

Develop Business Processes

- ☐ Decide whether your business will proceed with a Full PGA Message Set, Reference PGA Message Set, or both to complete the ACE transmission process
- ☐ Designate a Business Account Administrator from the importer's business to create an account in CPSC's Product Registry (if choosing to file Reference PGA Message Sets)
- ☐ Communicate with CPSC your designated initial Business Account Administrator
- ☐ Establish your Business Account in CPSC Product Registry
- ☐ Decide whether your business will proceed with manual entry or bulk entry via CSV or API
- ☐ Identify software developer trade partner for API integration, if applicable
- ☐ Reach out to CPSC to obtain Product Registry access for software developers to begin API integration, if applicable
- ☐ Invite users from trade partner organizations to begin collaborating and testing in the Product Registry

Identify Data Collection Requirements

- ☐ Understand Product Registry user roles and responsibilities
- ☐ Understand specific data elements required from each stakeholder in eFiling process
- ☐ Identify data owners and systems that will collect critical data needed for eFiling
- ☐ Coordinate with data owners and communicate data requirements and timelines
- ☐ Learn Product Registry manual and bulk upload processes
- ☐ Ensure comprehensive understanding of Certificate Identifiers for Reference PGA Message Set (Certifier ID, Product ID, Version ID)

Test Product Certificate Data

- ☐ Establish connected data flow from the importer to the Product Registry to the broker (Reference PGA Message Set) or from importer to broker (Full PGA Message Set) for transmission into ACE with all required data elements
- ☐ Develop IT systems to enable data transfers across the entire eFiling ecosystem
- ☐ Enter trade party data into Product Registry to initiate product certificate data entry
- ☐ Compile and format certificate data to prepare for entry into Product Registry (Reference PGA Message Set) or into ACE (Full PGA Message Set)
- ☐ Begin API testing in Product Registry, if applicable
- ☐ Begin manual entry or bulk entry (CSV upload or API) testing, if applicable



Phase 3 Task Checklist

Begin eFiling

- ☐ Transition to eFiling product certificate data for transmission into ACE
- ☐ Collaborate within Product Registry Business Account to enter and certify more product certificates in CPSC Product Registry
- ☐ Enter larger volumes of product certificate data as process solidifies
- ☐ Complete API integration, if applicable

File PGA Message Set into CBP ACE

- ☐ Certify completed Certificates of Compliance in CPSC Product Registry if filing Reference PGA Message Sets to prepare for entry
- ☐ Coordinate with broker to communicate Certificate Identifiers for filing Reference PGA Message Set
- ☐ Coordinate with broker to communicate all seven data elements of Certificate of Compliance for Full PGA Message Set
- ☐ File Message Set into ACE system at time of entry