United States
Consumer Product Safety Commission

eFiling Beta Pilot - Standard Operating Procedure Guide

August 4, 2023

Version 1.0

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Key Terminology

- **Attestation:** The act of asserting that all information provided for a product is true and accurate to the best of one's knowledge. Any user that provides product entry data must perform attestation.
- **Business Account –** The account that legally represents an organization within the Product Registry and captures and manages an organization's certificate data.
- **Business Account Administrator:** An employee of the Importer organization, designated by the Participant to manage the Business Account and hold the highest level of permissions including create/remove Product Collections; add and update product data within collections; and invite other users to collaborate as a Business Account Administrator, Product Collection Administrator, Collection Editor or Collection Viewer.
- **Certification:** The act of asserting that a product referred to within the Product Registry is in compliance with all applicable CPSC regulations. Business Account Administrators are accountable and responsible for certifying products but can delegate authority to Collection Administrators or Collection Editors.
- **Certificate ID:** A unique ID code that identifies an individual product within the Product Registry. The Certificate ID is a combination of the Certifier ID, Product ID, and Version ID.
- **Certifier ID:** A unique ID code that is specific to an importer's business account in the Product Registry.
- **Collection Administrator:** An employee of the Importer organization or a Trade Party designated by a Business Account Administrator to manage a Product Collection and its users. A Business Account Administrator may authorize the Collection Administrator to certify product certificates.
- **Collection Editor:** A user with permission to add and update data within a specific Product Collection. A Business Account Administrator may authorize a Collection Editor to certify product certificates.
- **Collection Viewer:** A user with permission to only view data within a specific Product Collection.
- **eFiling Dashboard:** The homepage for the eFiling environment where all actions within the Product Registry begin.
- **Importer:** Business that purchases products made in a foreign country with intent to import into the United States and make available for sale to the U.S. consumers.
- **Participant:** Importer organization who has volunteered to participate in the eFiling Beta Pilot.
- **Product ID:** An ID code that consists of one of seven possible ID Types (e.g., GTIN, SKU, UPC, Model Number, Serial Number, Registered Number, Alternate ID).
- **Trade Party/Partner:** Trade Party entities including manufacturer, testing laboratory, broker, and software developers who participate directly or indirectly in the import process. Any Trade Party may receive administrator, editor, or viewer access to a collection. NOTE: The Product Registry currently uses the term "Trade Party" to define Partner data, including the Partner's name, address, email address, and telephone number.
- **User:** Any individual in any role using the Product Registry.

- **User Profile:** A collection of information (e.g., name, contact info, company name, password) associated with a specific user to identify the users and manage their access, roles, and permissions to one or more Business Account.
- **Version ID:** An ID code created or set by a user when a product is certified in a Product Collection. Version ID must be updated each time a product is re-certified.

1. eFiling Program Overview

The CPSC electronic Filing (eFiling) program is a phased effort to test the filing and collection of certificates of compliance data elements electronically, establish policies and procedures, and implement the program for all importers of CPSC regulated products. Currently, CPSC only asks for certificate data once a product is identified for exam which limits its ability to use certificate data in its risk assessment and targeting in advance of a shipment arrival.

eFiling enables importers of regulated consumer products to file certificate of compliance data elements with U.S. Customs and Border Protection (CBP) using a PGA Message Set. Beginning in the fall of 2023, CPSC is conducting a Beta Pilot with up to 40 importer participants (Participant) and their partners (Trade Parties) who will work collaboratively with CPSC and CBP to test the eFiling system and process and provide feedback to inform rulemaking to require eFiling and to support full implementation of the eFiling program. Beta Pilot participants will eFile entries using one of two methods:

1. **Full PGA Message Set:** Participants electronically file standard entry data and the product certificate data elements into CBP's Automated Commercial Environment (ACE) system through the Automated Broker Interface (ABI) **(**see **Figure 1)**. Participants will enter certificate data elements into the Message Set each time they import a product. ACE transmits entry data and product certificate data to CPSC's Risk Assessment Methodology (RAM) system to identify products that have a higher risk of violating consumer product safety rules.

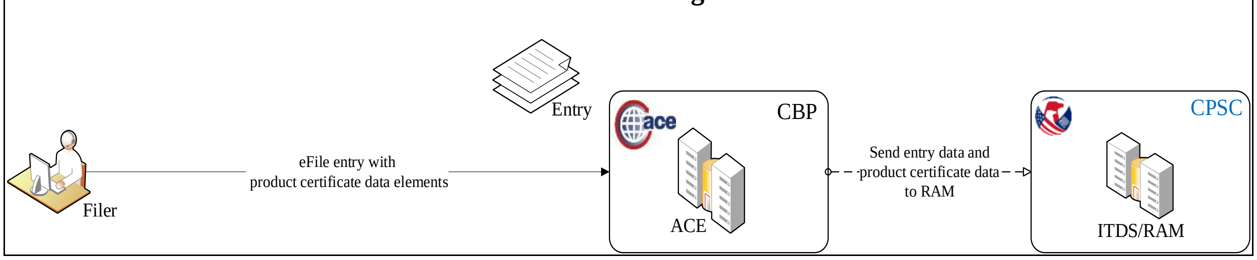


Figure 1: Full PGA Message Set Filing

2. **Product Registry and Reference PGA Message Set**: Participants or their Trade Parties enter and manage certificate data in a database called the CPSC Product Registry. Participants who use the Product Registry do not need to enter PGA Message Set data elements each time a product is imported. Instead, Participants or their Broker submit a shorter PGA Message Set referencing a unique ID assigned to the certificate data record stored in the Product Registry **(**see **Figure 2**). ACE transmits entry data and reference ID to CPSC's Risk Assessment Methodology (RAM) system to identify products that have a higher risk of violating consumer product safety rules.

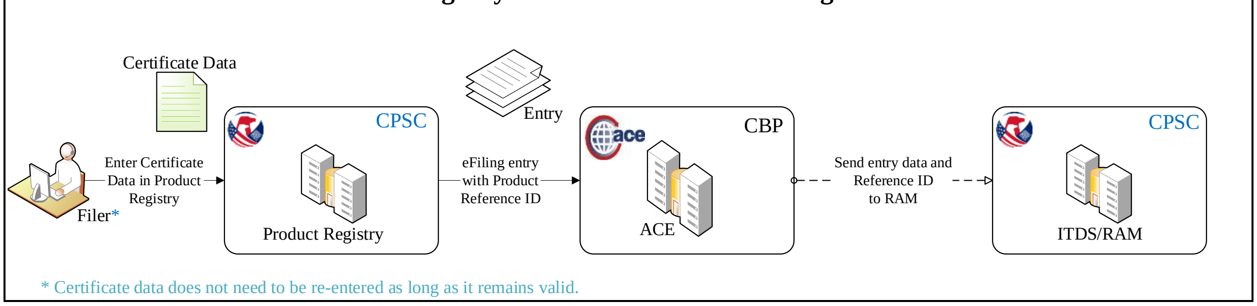


Figure 2: Data Registry and Reference Message Set Filing

Participants and Trade Parties may use this Standard Operating Procedure (SOP) as a guide to manage certificate data in the Product Registry during the Beta Pilot. The SOP defines key roles and responsibilities and provides step-by-step instructions on how to establish a business account, manage users, enter, and certify certificate of compliance data.

2. Product Registry

The Product Registry is a secure online application where participants establish Business Accounts and Product Collections to organize and manage data. Participants can create as many collections as needed to manage their certificate data (see **Figure 3**). The participant is legally responsible for the certificate data and must create a Business Account in the Product Registry. The participant will designate an employee to function as the initial Business Account Administrator. The Business Account Administrator has the highest level of administrative privileges and may delegate permissions to other users to manage the Business Account and/or Product Collections. The Business Account Administrator may also designate permissions to Trade Parties to manage Product Collections.

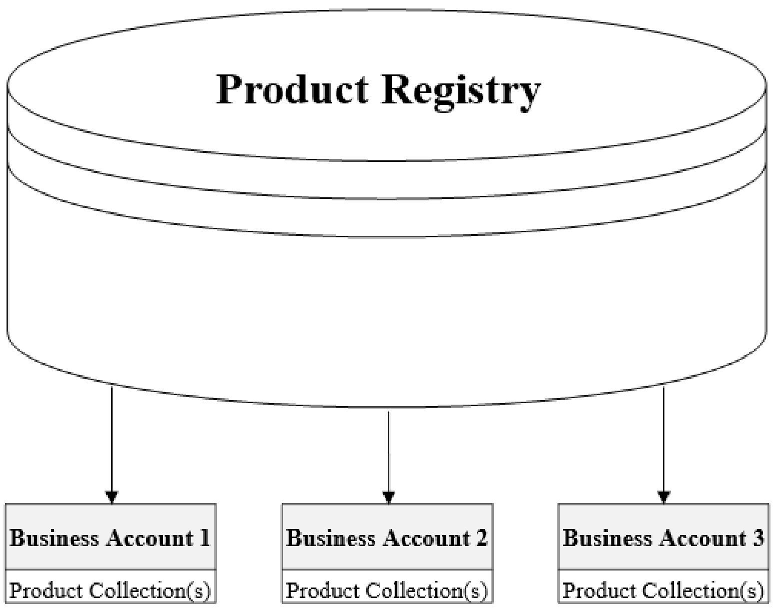


Figure 3: Product Registry Design

Participants must send an email to CPSC that identifies the designated Business Account Administrator responsible for establishing the Business Account. (**NOTE:** The Product Registry does not allow an existing Business Account Administrator user to create a new Business Account. Therefore, the participant must ensure that the designee is not a Business Account Administrator for a separate business account.) CPSC will then send an email invite to the designee who will create their own user account and the new Business Account.

CPSC assigns the role of the initial Business Account Administrator to the designee during account setup. The Business Account Administrator can invite additional users from their business or a trade party to collaborate in the Business Account and/or individual Product Collections. Administrative users have permissions to add and revoke user and Trade Party privileges at the Business Account or Product Collection level. 2.1 Business Account: User Roles and Responsibilities defines Business Account user roles and responsibilities.

Individual users may establish a user profile in the Product Registry to access a Business Account. Individual users may use the detailed procedures in section 2.2 Product Registry: New User Profile Setup to complete the process.

2.1 Business Account: User Roles and Responsibilities

Participants maintain all of their certificate data and manage their users and third parties in a Business Account. Trade Party businesses are participant partners that support the participant in their import and eFiling process. Business Account functions include administrative, edit, and view only access to specific components of the account based on a user's role and the permissions that correspond to the role. For the purposes of this SOP, a user is an individual in any role using the Product Registry. The Business Account User Roles table (see **Table 1)** lists specific user types and roles.

Roles	**Participant**	**Partner**		
	Importer	Broker	Manufacturer	Testing Lab
Business Account Administrator	X			
Collection Administrator	X	X	X	X
Collection Editor	X	X	X	X
Collection Viewer	X	X	X	X

Table 1: Business Account User Roles

Business Account responsibilities vary by role and user type. Responsibilities for each role are defined below:

- **Business Account Administrator** is a user from the Importer's business designated to manages the Business Account on behalf of the business. The Business Account Administrator performs the function of every role within the Business Account.
  - **i.** The Business Account Administrator performs the following functions that are unique to this role:
    - Assign and remove Business Account Administrators and Collection Administrators
    - Create and remove Product Collections
  - ii. The Business Account Administrator also performs the following roles, which they may delegate to other Importer users or Partner users:
    - Assign or remove Collection Editors and Collection Viewers in any Product Collection
    - Enter and manage data in any Product Collection
- **Collection Administrator** is a user from the Importer's or Partner's business who manages certificate data and grants and removes access to a specific Product Collection
  - i. The Collection Administrator performs the following functions that are standard to this role:
    - Add and remove Collection Editors and Collection Viewers in a specific Product Collection
    - Enter and manage certificate data in a specific Product Collection
    - Attest to the accuracy of product data
  - ii. The Collection Administrator may perform the following functions, as assigned by a Business Account Administrator
    - Certify product data (only if permission is granted by a Business Account Administrator)
- **Collection Editor** is a user from the Importer's or Partner's business who enters and manages data in a specific Product Collection
  - i. The Collection Editor performs the following function that are standard to this role:

      - Enter and manage data in a specific Product Collection
      - Attest to the accuracy of product data
   iii. The Collection Editor may perform the following functions, as assigned by a Business Account Administrator
      - Certify product data (only if permission is granted by a Business Account Administrator)
- **Collection Viewer** is a user from the Importer's or Partner's business with view-only access to a specific Product Collection

NOTE: The Business Account Administrator may delegate responsibility to certify data in the Business Account. However, The Participant remains responsible and accountable to comply with the terms of the certification statement.

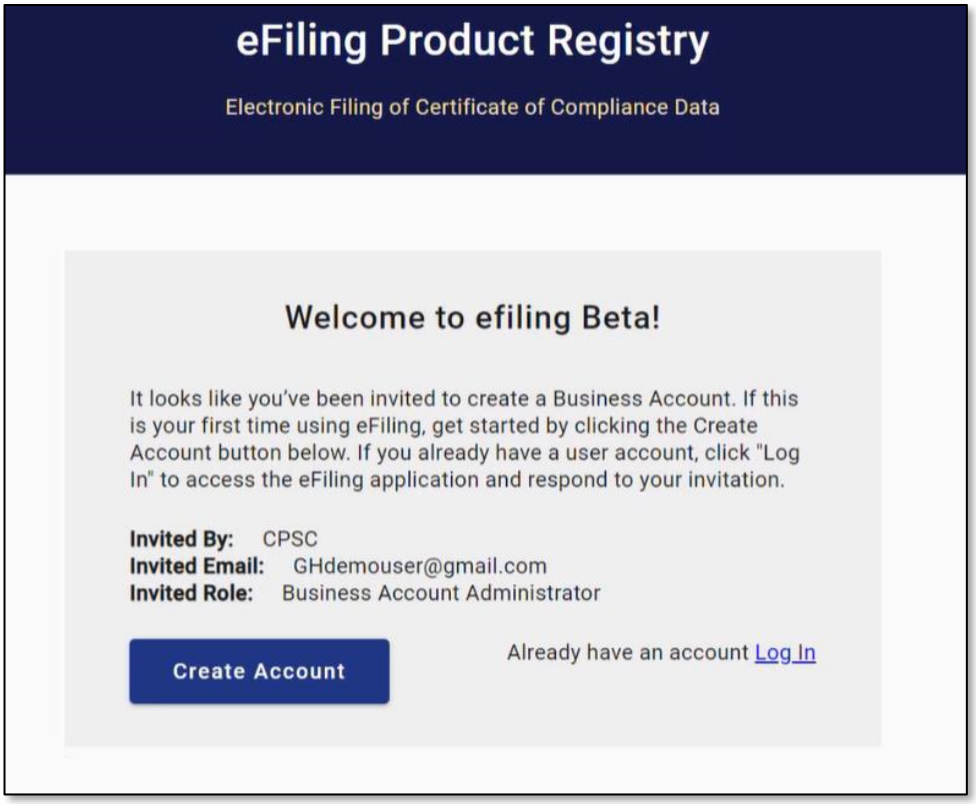
2.2 Product Registry: New User Profile Setup

Individual users must set-up a profile to access the Product Registry, accept assigned roles, and perform associated responsibilities in a Business Account. CPSC will send the designated Business Account Administrator the initial CPSC invitation to create a new user profile in the Product Registry and establish a Business Account.

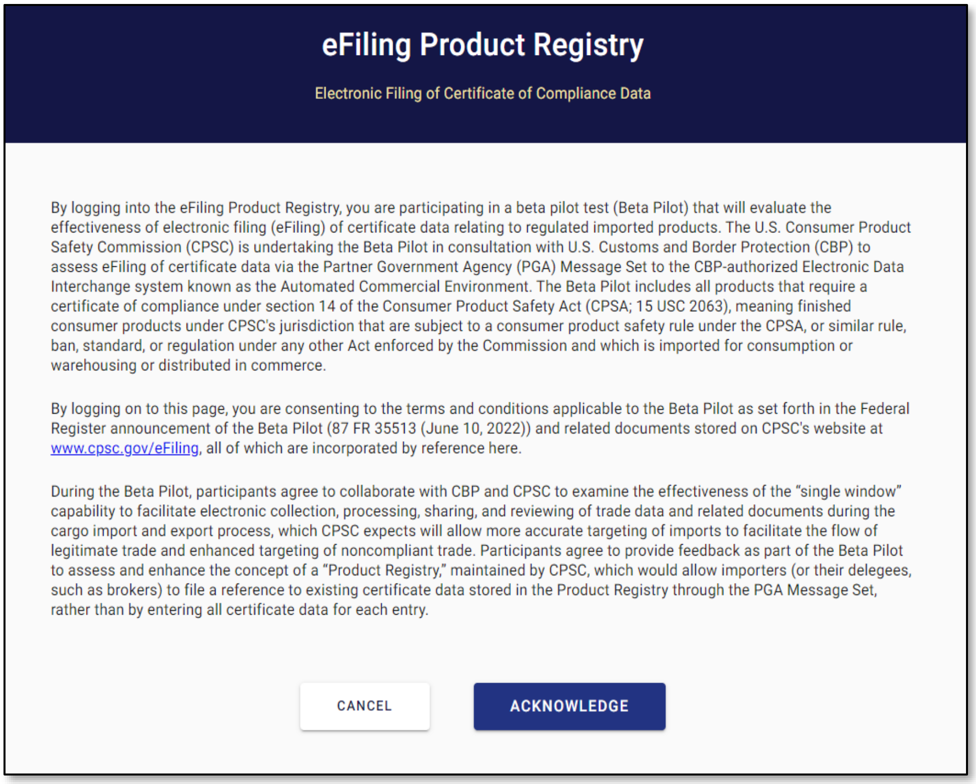
The Business Account Administrator can invite new administrative users to the new Business Account and assign roles from the list in **Table 1** located in section 2.1 Business Account: User Roles and Responsibilities. Collection Administrators can invite Trade Parties and assign roles for collaboration within a Product Collection. Trade Parties invited to collaborate in a Product Collection and who are new Product Registry users must also create a new user profile.

New users can follow the steps below to set-up a user account in the Product Registry. An asterisk (*) designates a required field.

1. Receive email from CPSC titled "Invitation to join CPSC's eFiling Beta Pilot".
2. Open email and click on the **Invitation** hyperlink, which directs users to the following page:

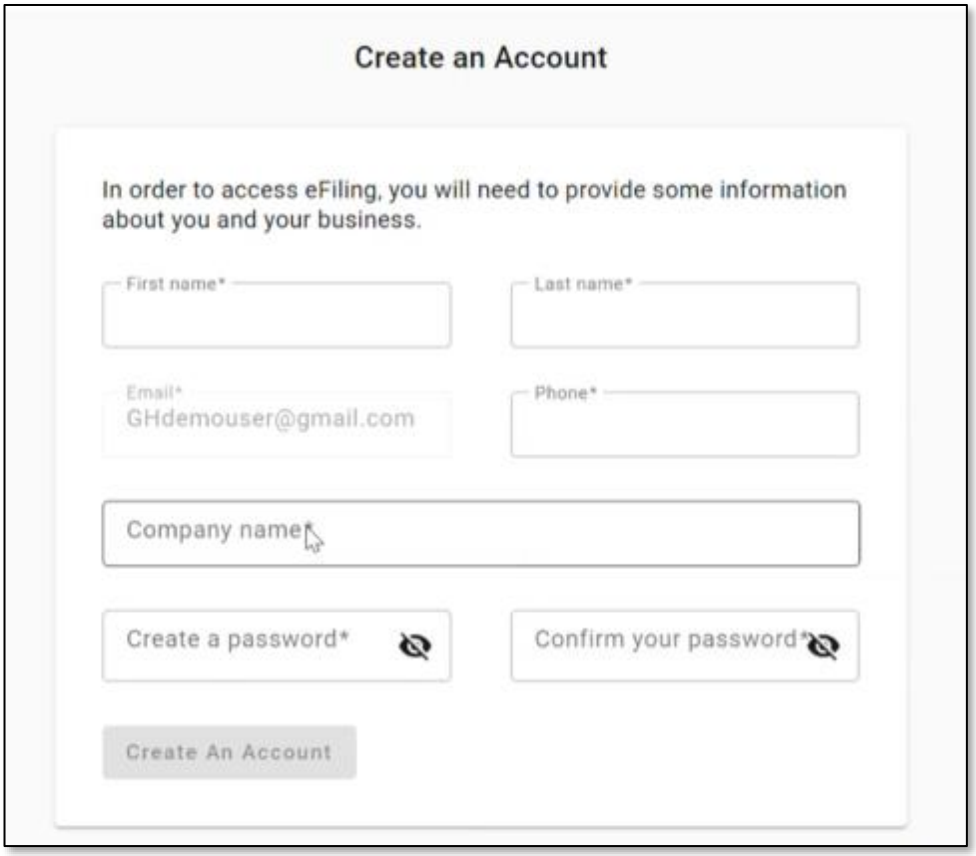


3. Click the **[CREATE ACCOUNT]** button.
4. Review the legal notice and click the **[ACKNOWLEDGE]** button.



5. In the "Create an Account" window, enter the following user information below.
    - First Name*
    - Last Name*
    - Phone*

NOTE: The email field defaults to the email used to create the user account and cannot be edited.

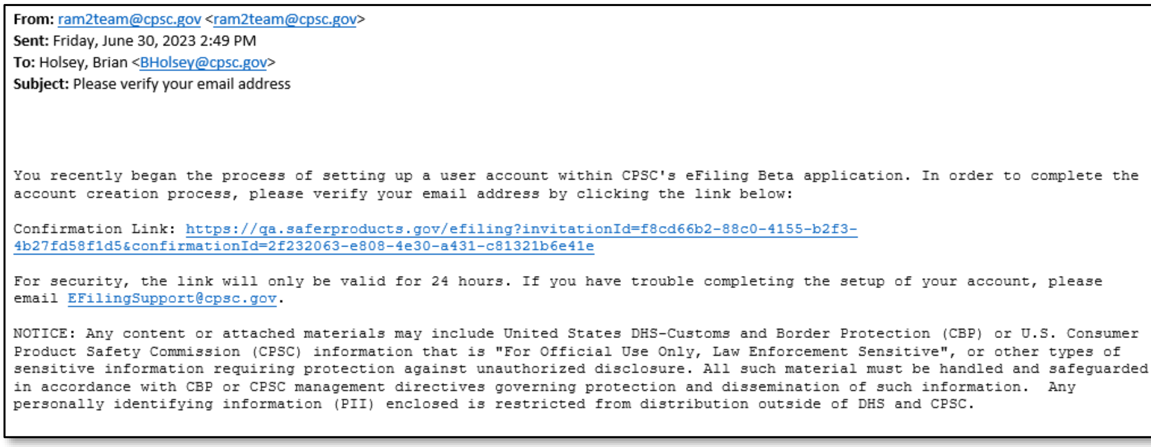


6. Enter the user's company name in the **Company name** field and select the appropriate company record from the drop-down.
   - If the user's company does not appear in the drop down, this means that the company has not yet been added to the Product Registry. To add the company, select **[+Add New Company]**.
   - Add the user's company information in the fields provided. An asterisk (*) designates a required field.
      i. Company Name*
      ii. Organization Type (*see note below*)
      iii. Division
      iv. GLN
      v. Address*
      vi. City*
      vii. State/Province
      viii. Country*
      ix. Zip/Postal Code
      x. Corporate Phone*
      xi. Corporate Email*
      xii. Website

NOTE: If a new user is a Business Account Administrator, the **Organization Type** field defaults to 'Importer' and **cannot** be edited. Trade Parties **can** edit this field and select their organizational type (e.g., Manufacturer, Laboratory, Broker).

7. Create a user password in the following fields using the password rules provided:
    - Create a password*
    - Confirm your password*
8. Select the **[CREATE AN ACCOUNT]** button.

    The system creates the account and sends a system generated email titled "Please verify your email address".
9. Open the email and click the **Confirmation** hyperlink.



From: ram2team@cpsc.gov <ram2team@cpsc.gov>
Sent: Friday, June 30, 2023 2:49 PM
To: Holsey, Brian <BHolsey@cpsc.gov>
Subject: Please verify your email address

You recently began the process of setting up a user account within CPSC's eFiling Beta application. In order to complete the account creation process, please verify your email address by clicking the link below:

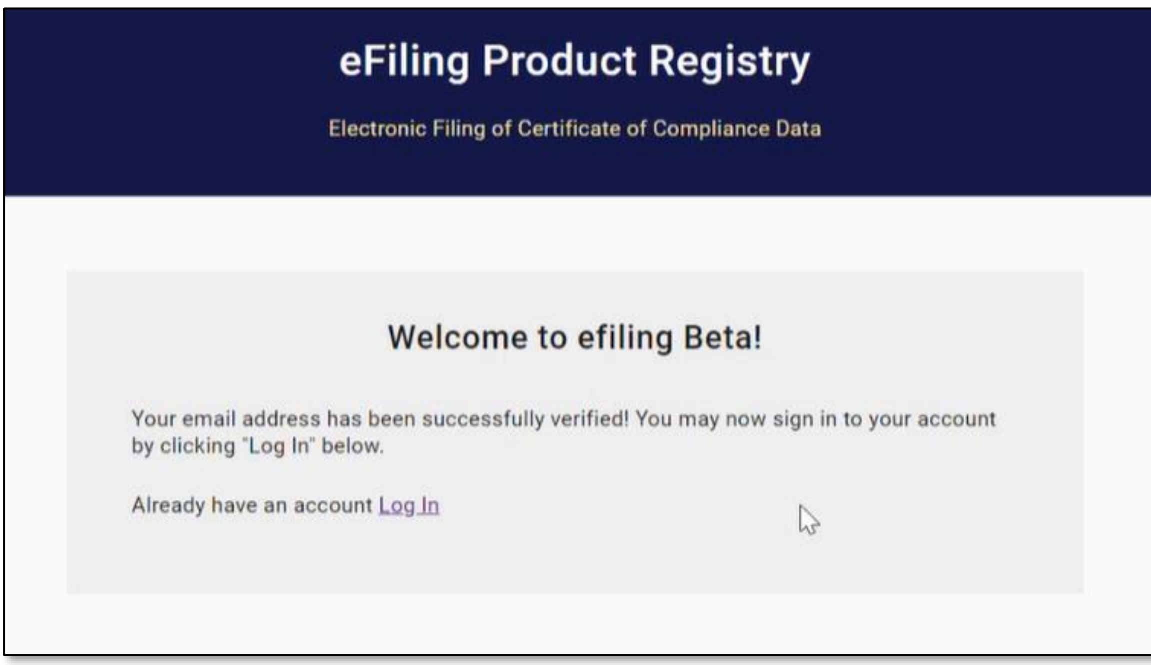
Confirmation Link: https://qa.saferproducts.gov/efiling?invitationId=f8cd66b2-88c0-4155-b2f3-4b27fd58f1d5&confirmationId=2f232063-e808-4e30-a431-c81321b6e41e

For security, the link will only be valid for 24 hours. If you have trouble completing the setup of your account, please email EFilingSupport@cpsc.gov.

NOTICE: Any content or attached materials may include United States DHS-Customs and Border Protection (CBP) or U.S. Consumer Product Safety Commission (CPSC) information that is "For Official Use Only, Law Enforcement Sensitive", or other types of sensitive information requiring protection against unauthorized disclosure. All such material must be handled and safeguarded in accordance with CBP or CPSC management directives governing protection and dissemination of such information. Any personally identifying information (PII) enclosed is restricted from distribution outside of DHS and CPSC.

The system will complete the process and return to the Welcome page.

10. Click the **Log In** hyperlink.



11. Enter the user's Username and Password and click the **[Sign In]** button.

12. Review the legal notice and click the **[ACKNOWLEDGE]** button. The system directs the user to the Product Registry Dashboard (see section 4.2 The CPSC eFiling Dashboard).

    Review the user roles below for next steps:

    - New Business Account Administrator invited to an existing Business Account: No further action required.
    - New Business Account Administrator invited to create a new Business Account: See section 4.1 Establish a New Business Account to continue with the Business Account setup.
    - Trade Parties invited to collaborate in a Product Collection: User must accept or decline the invitation, using the following steps:
        - i. In the To-Do list section of the Product Registry Dashboard, click the **You have been invited** hyperlink.
        - ii. A window displays the following information on the Product Collection the user has been invited to join. Click the **[ACCEPT]** button.
            - Product Collection
            - Company
            - Invited by
            - Role
            - Certification Permission
                - This field only appears for Trade Parties offered the permission to certify products within a Product Collection. Users will see a certification statement and choice to accept or reject the permission by selecting 'Yes' or 'No'.
        - iii. Click the **[ACCEPT]** button to accept the invitation or the **[DECLINE]** button to decline the invitation.

NOTE: The User Management functionality is still in development so the CPSC IT is currently restricting editing of user profiles. Users should carefully review all user profiles, Business Account data, and Trade Party data before submitting. The CPSC IT team will perform data corrections, upon request, which may cause delays in data submission. Participants must send requests for user profile edits to the eFiling support mailbox: efilingsupport@cpsc.gov.

2.3 Business Account: User Management

User management is a key role for Business Account Administrators to add, edit, and remove user access to the Business Account and Product Collections. Business Account Administrators can invite new users and assign permissions using the process in this section.

NOTE: The User Management functionality is still in development so the CPSC IT is currently restricting editing of user profiles. Users should carefully review all user profiles, Business Account data, and Trade Party data before submitting. The CPSC IT team will perform data corrections, upon request, which may cause delays in data submission. Participants must send requests for user profile edits to the eFiling support mailbox: efilingsupport@cpsc.gov.

2.3.1 Invite a New User

Business Account Administrators can invite users to collaborate as either another Business Account Administrator or as a Collection Administrator, Collection Editor, or Collection Viewer. Collection Administrators can only invite new users to collaborate as a Collection Editor or Viewer.

To invite a new user as a Business Account Administrator, see 4.3.1 Add New Account Administrator. To invite users to collaborate in a Product Collection, see 4.4.2 Grant/Revoke Product Collection Users.

3. Working in the eFiling Environment

There are several tools within the Product Registry to aid in the management of the Business Account. Those include:

- **Activity Feed** – This list displays all activity performed on the account to date, including status of entering certificate data.
- **To Do List** – This list provides information on the current tasks that must be completed by specific users, including responding to invitations and certifying product data, so the certificate may be used in Reference Message Set filings.
- **Prompts** – The Activity Feed and the To Do List are tools that are constantly present on the home screen. Users also receive a pop up "prompt" for new or high priority activities. See the example below.

These tools provide helpful information on status of certificate data entry to allow ongoing updates on the status of the Business Account and manage data entry progress.

4. Business Account Setup and Management

Participants are legally responsible for their certificate data. Each participant must establish a Business Account and Product Collections (see **Figure 4**) to organize and manage product certificate data. Each participant should establish internal business processes, prior to any account setup activity to ensure standardized practices are in place regarding data access and management. Some key business decisions for consideration in internal processes may include the following:

- Who will be the primary Business Account Administrator?
- What are the criteria for additional Business Account Administrators?
- How will participants organize products into Product Collections?
- What are the criteria for selecting Collection Administrators?
- Which Trade Parties will have access to the different Product Collections?

The Business Account Administrator can invite other Business Account Administrators. The Business Account Administrator role is only available to employees within the participant's business. Business Account Administrators also create Product Collections and setup users with appropriate permissions to edit or preview data within specific Product Collections. **Figure 4** displays the full Business Account workflow for reference.

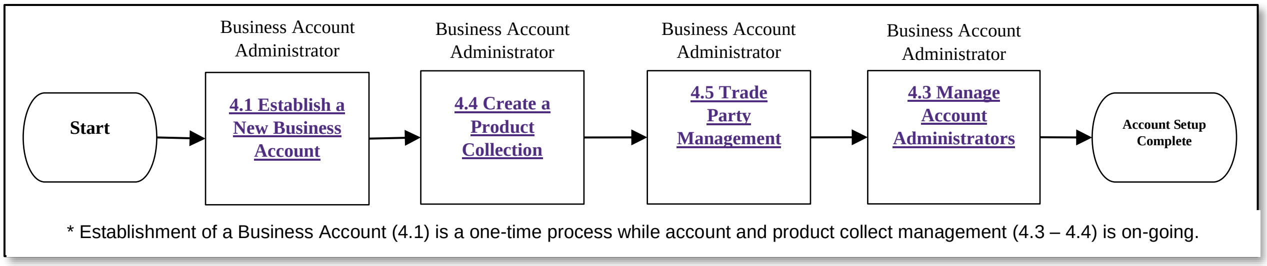


Figure 4: Business Account and Product Collection Setup

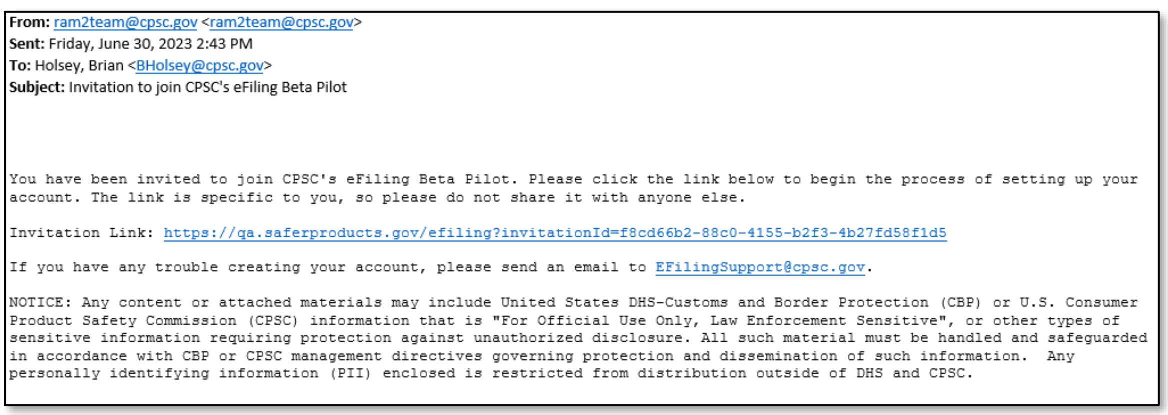
4.1 Establish a New Business Account

Participants should designate a primary Business Account Administrator as part of their internal business process. The designated Business Account Administrator is responsible for creating the participant's initial Business Account in the Product Registry and is the owner of the Business Account. The Business Account Administrator will set up a new user profile and company record in the Product Registry. The 'Certifier ID' is used to create the Business Account, after the user profile and company record are complete.

NOTE: The User Management functionality is still in development so CPSC IT is restricting edits to Business Account data. Users should review all user profiles, Business Account data, and Trade Party data before submitting. The CPSC IT team will perform data corrections, upon request, which may cause delays in data submission. Participants must send requests for edits to Business Account data to the eFiling support mailbox: efilingsupport@cpsc.gov.

Business Account Administrators can use the process below to set up a new Business Account. An asterisk (*) designates a required field.

1. Open the email titled "Invitation to join CPSC's eFiling Beta Pilot."



From: ram2team@cpsc.gov <ram2team@cpsc.gov>
Sent: Friday, June 30, 2023 2:43 PM
To: Holsey, Brian <BHolsey@cpsc.gov>
Subject: Invitation to join CPSC's eFiling Beta Pilot

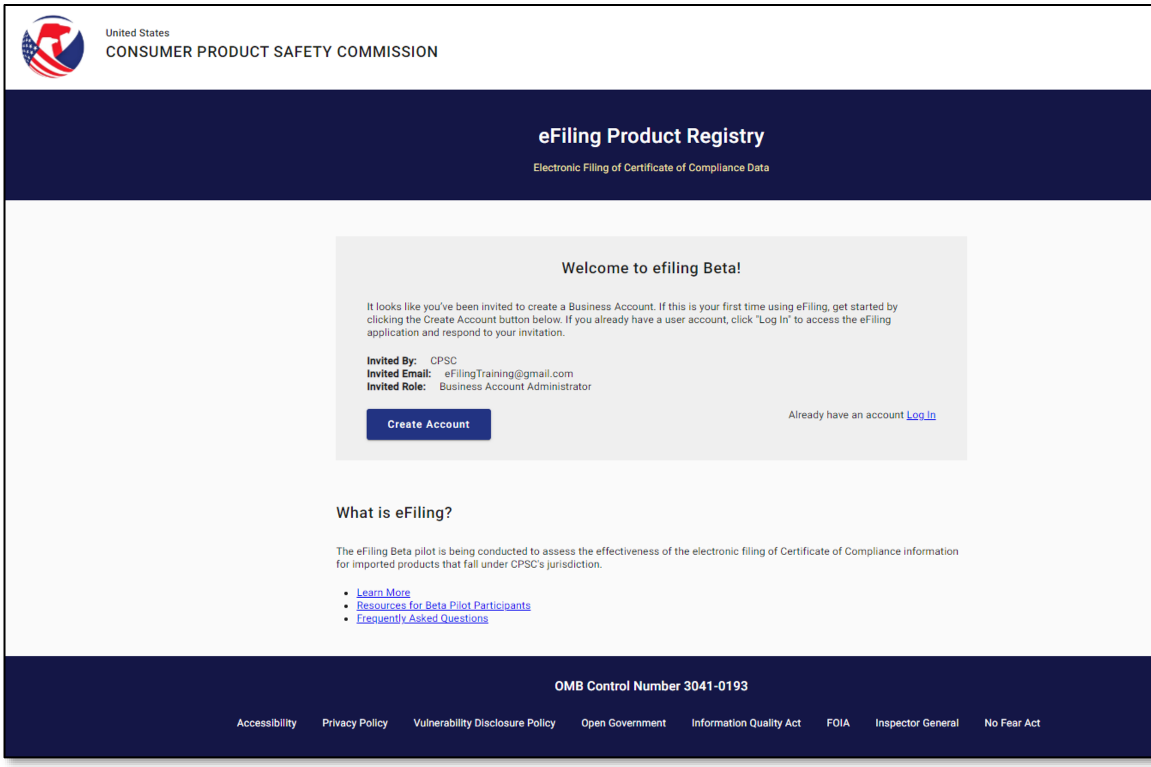
You have been invited to join CPSC's eFiling Beta Pilot. Please click the link below to begin the process of setting up your account. The link is specific to you, so please do not share it with anyone else.

Invitation Link: https://qa.saferproducts.gov/efiling?invitationId=f8cd66b2-88c0-4155-b2f3-4b27fd58f1d5

If you have any trouble creating your account, please send an email to EFilingSupport@cpsc.gov.

NOTICE: Any content or attached materials may include United States DHS-Customs and Border Protection (CBP) or U.S. Consumer Product Safety Commission (CPSC) information that is "For Official Use Only, Law Enforcement Sensitive", or other types of sensitive information requiring protection against unauthorized disclosure. All such material must be handled and safeguarded in accordance with CBP or CPSC management directives governing protection and dissemination of such information. Any personally identifying information (PII) enclosed is restricted from distribution outside of DHS and CPSC.

2. Select the Invitation Link in the email. The eFiling Product Registry page appears:

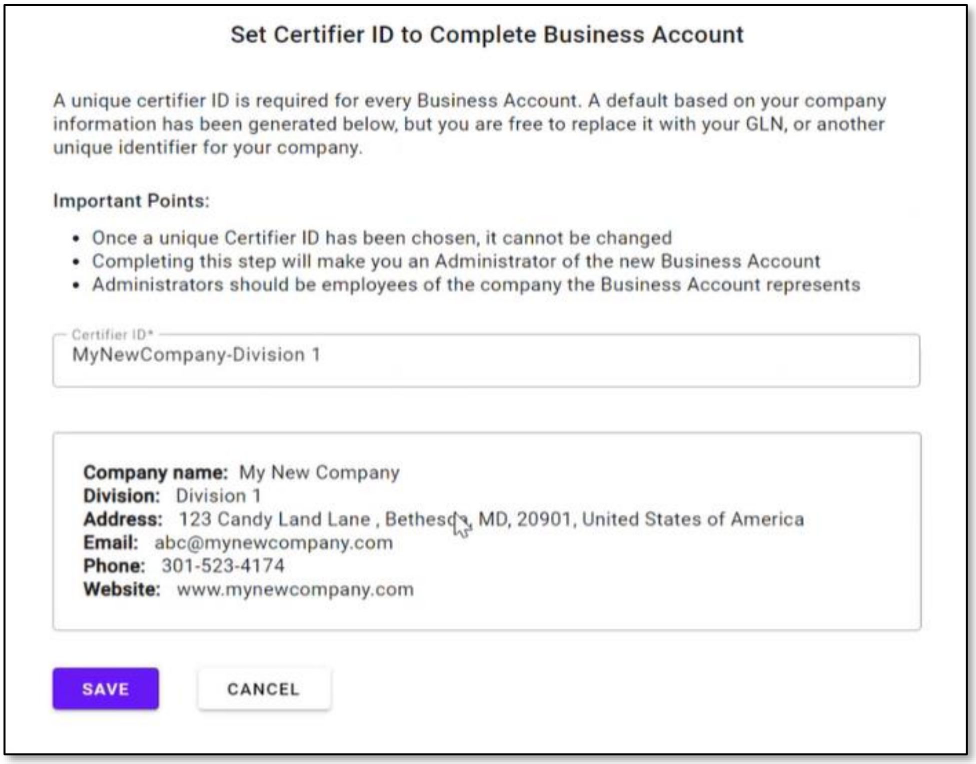


3. Select the **[Create Account]** button.

4. Create a new user profile, (see 2.2 Product Registry: New User Profile Set-up).

5. Click the **Set your Certifier ID** link under the **To-Do List** section of the Product Registry dashboard.

6. Create a unique Certifier ID* or use the system generated value in the 'Certifier ID' field.
   - The Certifier ID is unique to the Business Account, which a broker will later provide at the time of filing a Reference Message Set.
   - The Certifier ID is only one portion of the Certificate ID, which also includes a Product ID and Version ID. The Certificate ID uniquely identifies the certificate, when eFiling at Entry in the Reference Message Set.

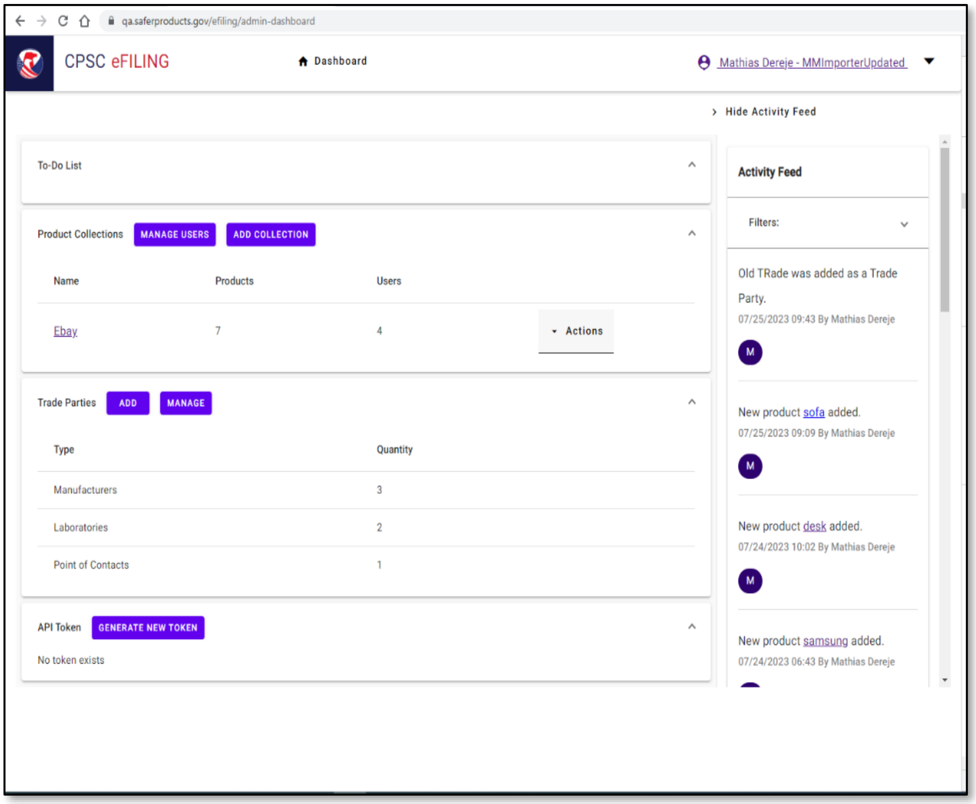


7. Click the **[Save]** button.

   The system saves the Certifier ID and returns to the CPSC eFiling Dashboard.

4.2 The CPSC eFiling Dashboard

The CPSC eFiling Dashboard is the homepage for the eFiling environment. Users may initiate actions for User Management, Product Collections, and Trade Parties. Users may also track pending tasks and actions to be completed and review past actions that have been performed within the Product Collection.



1. The Business Account Administrator receives a prompt from the Dashboard to create a Product Collection, following the creation of the Certifier ID.

   NOTE: A Product Collection must be created in order to enter data into the Business Account. See 4.4 Product Collection Management.

2. The Business Account Administrator can take any actions listed in this SOP once a Product Collection is created. Refer to the table of contents for all Product Registry functions.

4.3 Manage Business Account Administrators

The initial Business Account Administrator may invite or remove other Business Account Administrators. All Business Account Administrators share the same roles and permissions and may invite or remove other Business Account Administrators from that role. The initial Business Account Administrator may find a need to add additional administrators to manage their account's collections or associated users.

Business Account Administrators establish Product Collections and oversee access and can delegate responsibility for individual Product Collections by inviting Collection Administrators. Business Account Administrators also possess all the permissions necessary to complete tasks required to use the Product Registry.

- The Business Account Administrator and Collection Administrator roles are responsible for managing user access to a specific collection and managing user permissions.
- The Collection Editor and Collection Viewer roles perform the designated tasks based on the role assigned in a specific Product Collection.

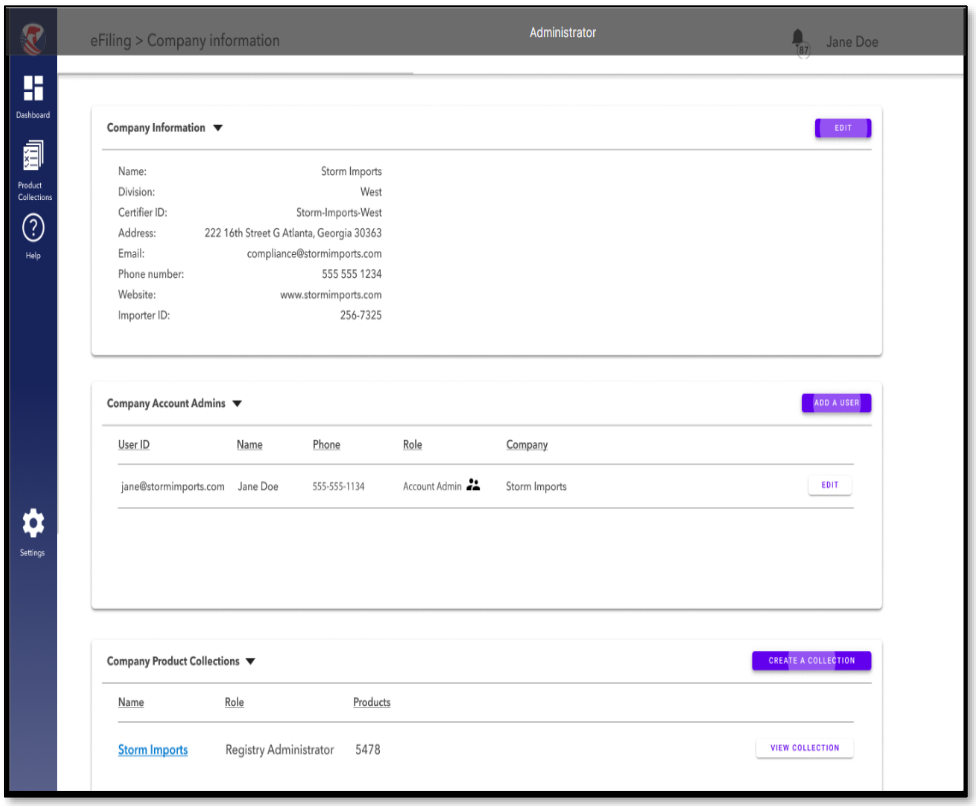
NOTE: The User Management functionality is still in development so CPSC IT is restricting edits to Business Account Administrators. Users should carefully review all user profiles, Business Account data, and Trade Party data before submitting into the eFiling environment. The CPSC IT team will perform data corrections which may cause delays in data submission. Participants must send requests for edits to Business Account Administrator roles to the eFiling support mailbox: efilingsupport@cpsc.gov.

4.3.1 Add New Account Administrators

NOTE: The New Account Administrator functionality is not yet available as it is still under development.

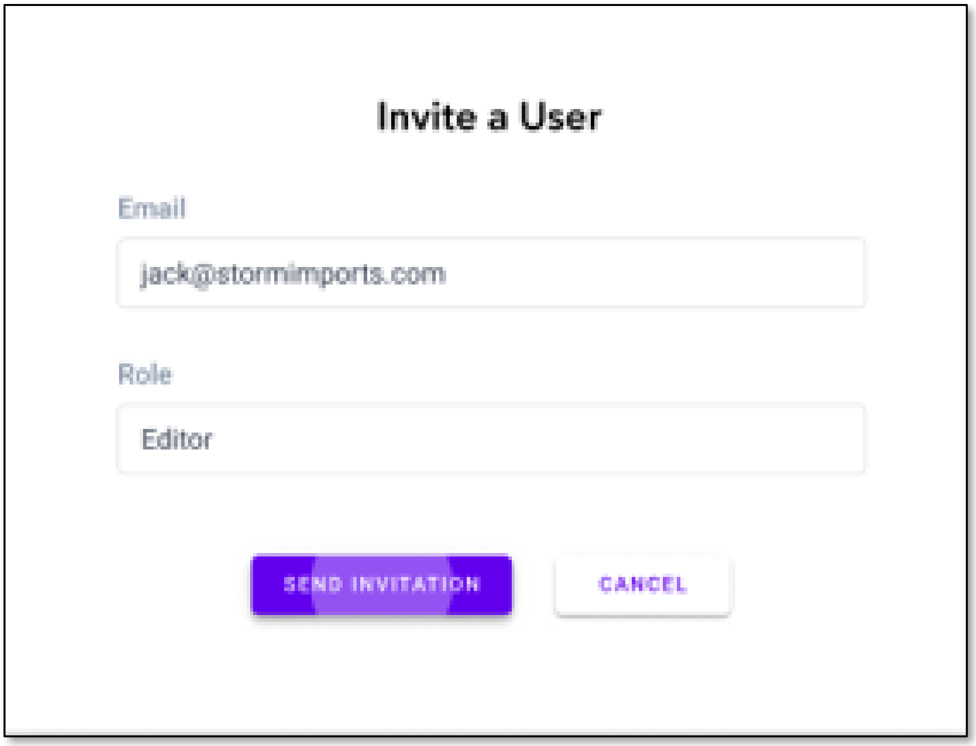
Business Account Administrators can invite additional Business Account Administrator users by completing the steps below:

1. Log into the user's Product Registry Account. The user's Company Information page displays:



2. Select the **[ADD A USER]** button.

   The 'Invite a User' window displays:



3. Complete the data fields in the 'Invite a User' window (refer to 2.3.1 Invite a New User for detailed steps).

   The system sends the invite and returns a confirmation message.

4.4 Product Collection Management

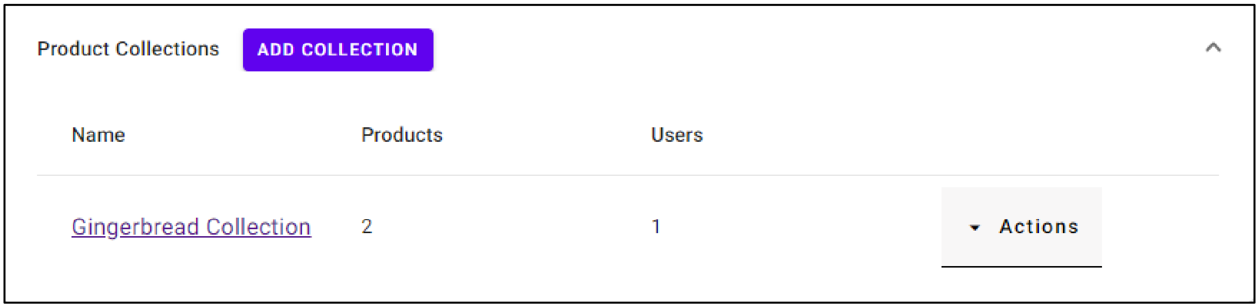
Business Account Administrators establish Product Collections to manage a particular subset of their products. Product Collections allow participants to organize, segment, and manage their product data. Product Collections also provide Business Account Administrators the ability to control who can view and edit specific Product Collections. Business Account Administrators can create multiple collections as needed.

Business Account Administrators can organize Product Collections to accommodate the specific needs of their organization in managing access to product data, such as by product type or by Trade Parties that require access to the data. For example, if a participant works with more than one broker, the participant may wish to create separate Product Collections for each broker, so the brokers are unable to see the product certificate data managed by another broker. NOTE: The Business Account Administrators may designate any Trade Party as a Collection Administrator.

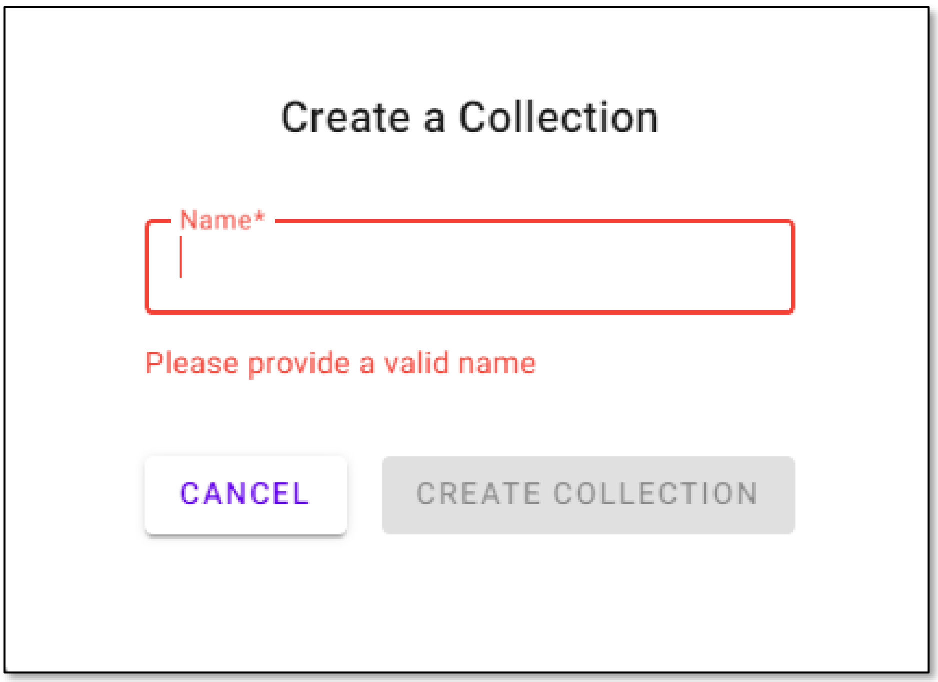
4.4.1 Create a New Product Collection

Users must complete the steps below to create a new Product Collection. An asterisk (*) designates a required field.

1. Select the **[ADD COLLECTION]** button in the **Product Collection** section.



2. The ‘Create a Collection’ window displays. Enter the desired Product Collection name in the ‘Name*’ field.



3. Click the **[CREATE COLLECTION]** button.

   The new Product Collection appears on the Product Registry dashboard.

Business Account Administrators, Collection Administrators, and Collection Editors may use 5. Entering a New Product Certificate to add product certificates to a collection.

4.4.2 Grant/Revoke Product Collection Users

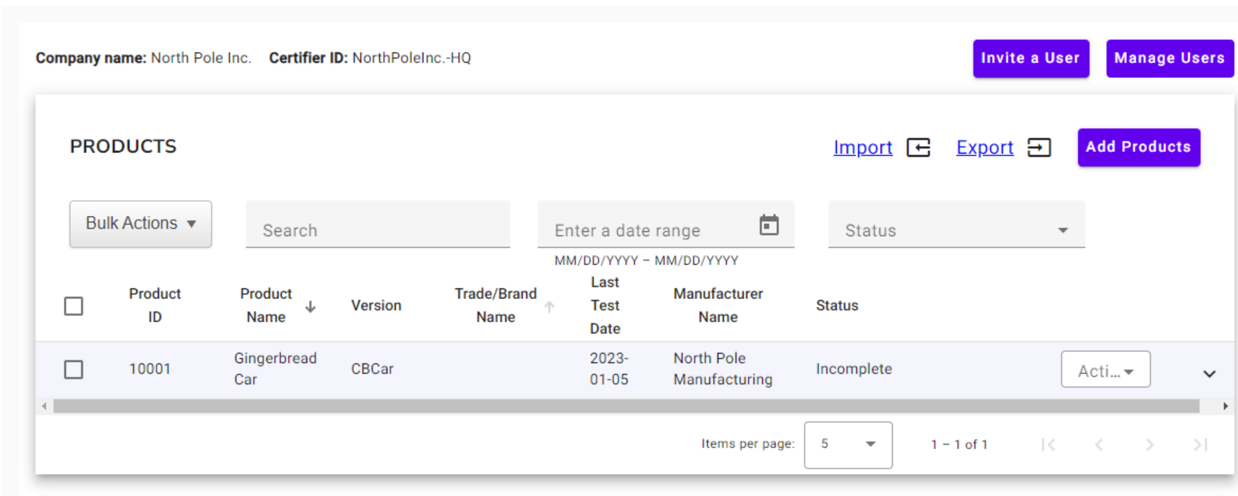
Business Account Administrators can add Collection Administrators, Collection Editors and Collection Views to a Product Collection. Collection Administrators can add Collection Editors, and Collection Viewers to a Product Collection. Business Account Administrators and Collection Administrators add users by initiating an invite from the Product Registry, where the system generates and sends an email to a user to collaborate in the Product Collection, as a Collection Administrator, Collection Editor, or Collection Viewer. The invitation email includes the name of the Business Account, the name of the Product Collection, and the assigned collection user role. Business Account Administrators and Collection Administrators can also edit the users invited to the Product Collection.

Business Account Administrators and Collection Administrators assigned to a specific collection, determine which role(s) are granted to any user with access to a collection. Collection Administrators can modify and/or revoke these permissions for Collection Editors and Collection Viewers in their assigned collections.

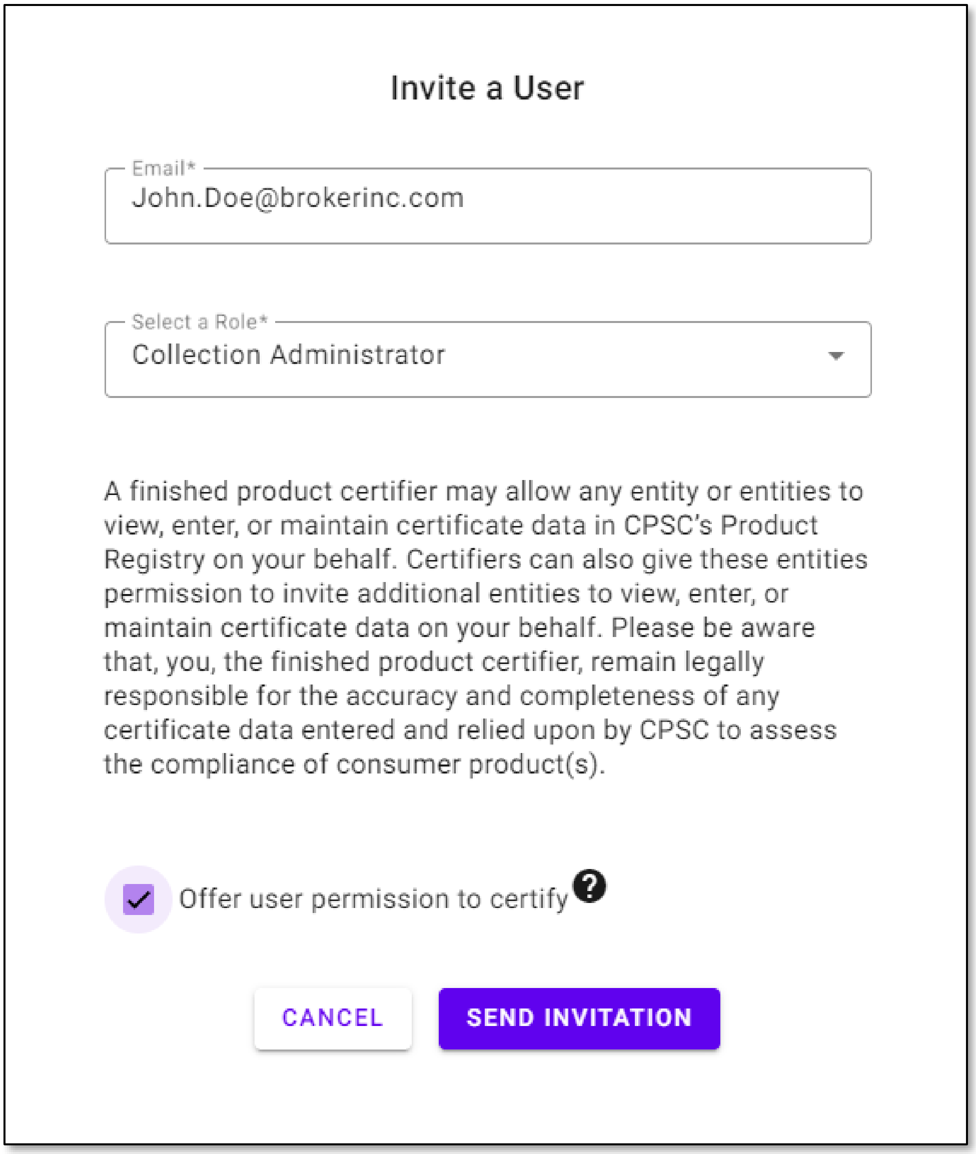
NOTE: The User Management functionality is still in development so CPSC IT is restricting edits to user profiles and roles. Users should carefully review all user profiles, Business Account data, and Trade Party data before submitting into the eFiling environment. The CPSC IT team will perform data corrections, upon request, which may cause delays in data submission. Participants must send requests for edits to users to the eFiling support mailbox: efilingsupport@cpsc.gov.

Business Account Administrators and Collection Administrators may invite a new user to collaborate on a Product Collection using the steps below. An asterisk (*) designates a required field.

1. Open the desired Product Collection.
2. Select the **[Invite a User]** button.



3. Complete the following data fields in the "Invite a User" window:
   - Email*
   - Role*
4. Review the certifier permission statement and check the **Offer user permission to certify** checkbox if the user requires permission to certify products.
   - **NOTE:** Only Business Account Administrators can grant Collection Administrators and Collection Editors permissions to certify in a Product Collection.



5. Click the **[SEND INVITATION]** button.

   The system will send the invitation and return a message to confirm.

4.5 Trade Party Data Management

Business Account Administrator, Collection Administrator, and Collection Editor roles can create and/or edit Trade Party data added to a Business Account. 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, as they are required steps for identifying relevant Trade Parties.

Business Account Administrators can add Trade Parties manually through the Product Registry dashboard or during entry of a product certificate to a Product Collection. Collection Administrators and Collection Editors can only add Trade Parties, during entry of a product certificate to their assigned Product Collections. Business Account Administrators are the only users who can edit/remove Trade Party data due to the amount of certificate data that is affected by modification to Trade Party data. CPSC staff may review edits to Trade Party information, with the exception of contact information (i.e., phone number, email).

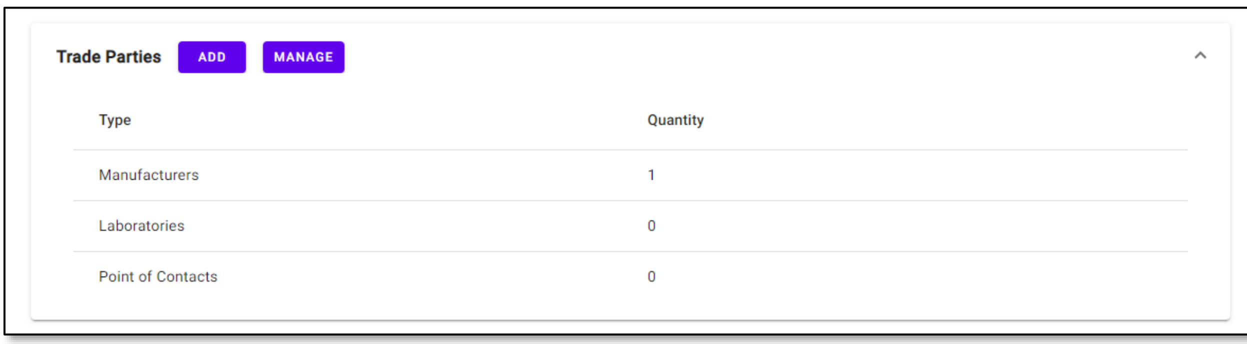
NOTE: The Trade Party Data Management functionality is still in development so CPSC IT is restricting edits to Trade Party data. Users should carefully review all user profiles, Business Account data, and Trade Party data before submitting into the eFiling environment. The CPSC IT team will perform data corrections, upon request, which may cause delays in data submission. Participants must send requests for Trade Party edits to the eFiling support mailbox: efilingsupport@cpsc.gov.

4.5.1 Adding a Trade Party

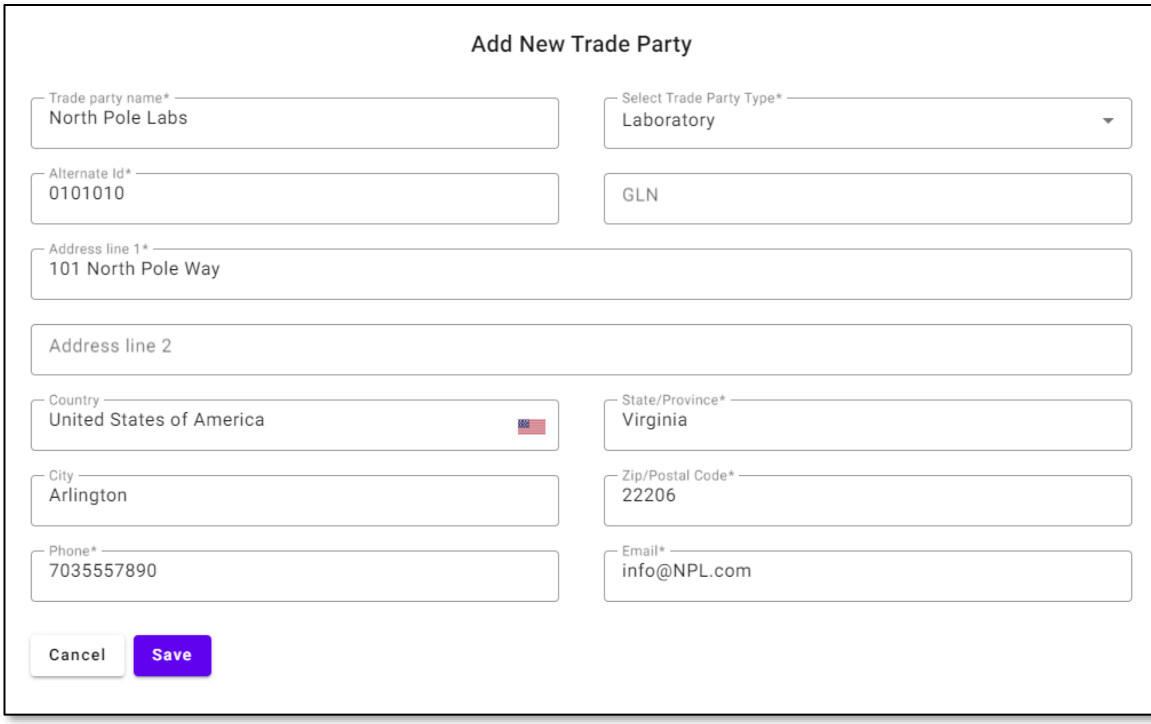
Business Account Administrators may add new Trade Parties from the Dashboard, using the steps below. An asterisk (*) designates a required field.

Business Account Administrators and Collection Administrators may use 5.1 Manually Entering a Single Certificate to add a Trade Party when entering a product certificate.

1. From the Product Registry Dashboard, in the **Trade Party** section, click the **[ADD]** button.
    - Alternatively, users can click the **[MANAGE]** button which navigates the user to the Trade Party Management Dashboard where they click the **[Add New]** button.



2. In the “Add New Trade Party” window, enter the following Trade Party information:
    - Trade Party name*
    - Small Batch Manufacturer ID (if applicable)
    - GLN or Alternate ID
        i. The user can provide an alternate ID for a manufacturer in order to reference the manufacturer more easily on another certificate.
    - Address Line*
    - City*
    - State/Province
    - Zip/Postal Code
    - Country*
    - Phone*
    - Email*
3. Click the **[Save]** button.



The system saves the Trade Party record and returns to the Product Collection list.

5. Entering a New Product Certificate

Business Account Administrators, Collection Administrators, and Collection Editors can manually enter product certificate data for a single certificate. The Business Account Administrator must certify a certificate. (However, the Business Account Administrator can delegate permissions, allowing a Collection Administrator or Collection Editor to certify. The Business Account Administrator remains legally responsible for the certificate.) Certification occurs after all product certificate data is provided for a product. If a Collection Administrator or Collection Editor does not have permission to certify the certificate, then they must attest to the accuracy of the data.

NOTE: The certification function is still in final development and the certification steps detailed in this section are subject to change.

A Bulk Upload function is currently in development which will allow Business Account Administrators, Collection Administrators, and Collection Editors to enter products into a Product Collection in bulk using a Comma-separated Value (.CSV) file to upload data to the Product Registry or through an Application Programming Interface (API). The Bulk Upload function will be implemented at a later date.

5.1 Manually Entering a Single Certificate

Business Account Administrators, Collection Administrators, and Collection Editors can manually enter product certificate data for a single certificate in a Product Collection through the user interface. Product certificate data entry is the core function of the Product Registry and is where most of the data entry occurs. There are several data elements required to be considered complete and ready for certification, and users can save incomplete product certificate data entries for completion later or by a different user. Product certificate data is only considered complete and usable for eFiling with a Reference Message Set after all mandatory certificate data has been entered and has been certified by a Business Account

Administrator, or by a Collection Administrator or Collection Editor who has been granted certification permission by a Business Account Administrator.

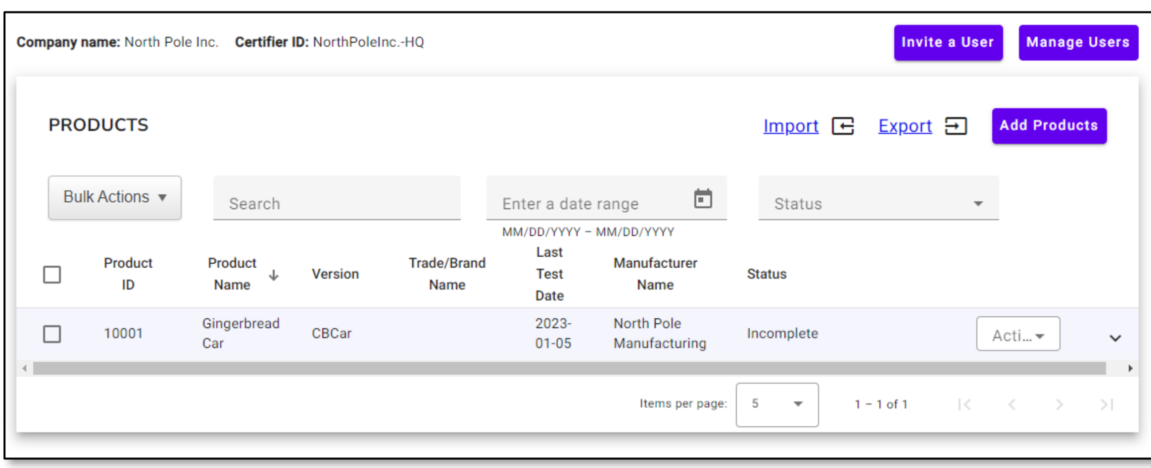
Unique identification requirements for product certificate data entered in a Business Account are described below.

- A Certificate ID is assigned to each individual product and uniquely identifies that product. The Certificate ID combines the Certifier ID, Product ID, and the Version ID. Users must enter each product individually into a Collection. Users may not enter certificate data for multiple, similar products into a single certificate, but must create a separate unique certificate for each product. (CPSC considers apparel items from the same material with multiple styles, sizes, and colors to be one product, if the items were manufactured and tested together.)
    - The Certifier ID is unique to the participant and is created when the Business Account Administrator establishes the Business Account (See 4.1 Establish a New Business Account).
    - The Product ID must be one of seven possible ID types: GTIN, SKU, UPC, Model Number, Serial Number, Registered Number, or Alternate ID. Multiple IDs are acceptable, but the first ID provided will be assigned as Product ID.
    - The Version ID defaults to the Test Report ID. The user entering the certificate data has the option to create their own Version ID. The Version ID, when combined with the Product ID, uniquely identifies the product certified in the Product Collection.
        - For multiple certificates relying on the same component parts test report, the Test Report ID can be used as the Version ID for multiple certificates.
        - For certificates with multiple labs, list first the lab with the most citations. The Version ID will default to that Test Report ID.

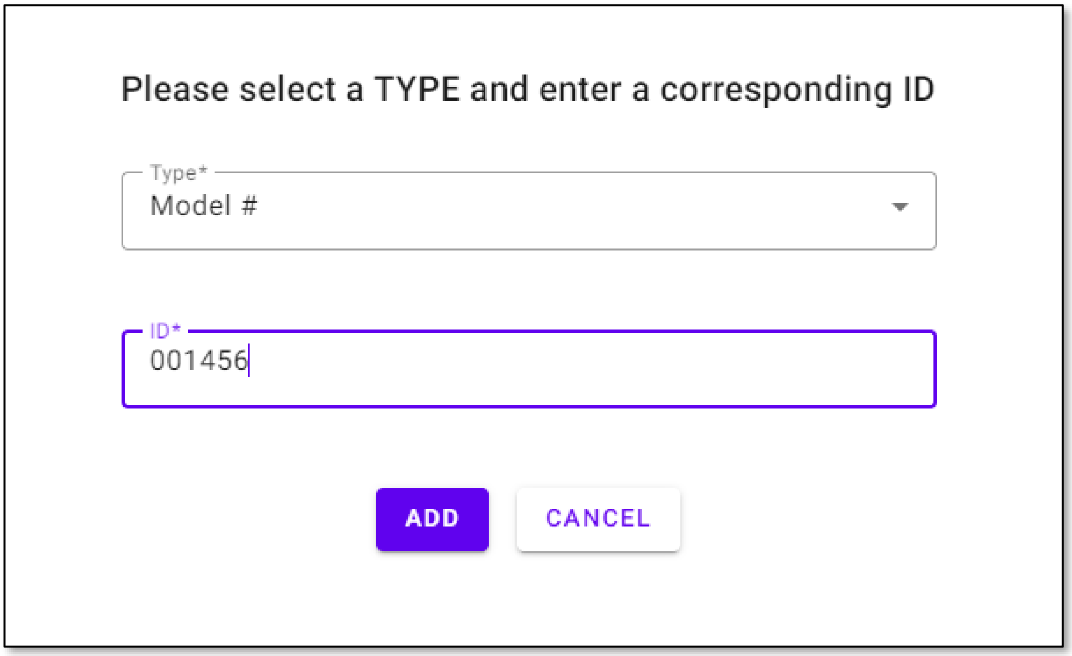
Users entering the certificate data may save incomplete products in the Product Registry for completion later or by another user. Users must enter a Product ID to successfully save an incomplete product in a collection. (**NOTE**: While data can be saved, the certificate is not complete until fully entered, attested, and certified).

Collection Administrators and Collection Editors may add a product to a Product Collection using the steps below. An asterisk (*) designates a required field.

1. Navigate to the desired Product Collection. Click on the link for that Collection.
2. Click **[Add Products].**



3. Click on the **Product** tab and complete the following Product Detail information within the **Product Details** section. **NOTE:** The user must provide a Product ID during this step. The user can add additional IDs using steps 4 and 5 below.
    - Product Name*
    - Product ID Type*
    - Product ID*
    - Trade/Brand Name
4. Next, click **[+ Additional Identifiers]**.
5. In the pop box, select the **Type*** and enter the corresponding **ID***.



6. Click the **[Add]** button.

   The system returns to the **Product Details** section.

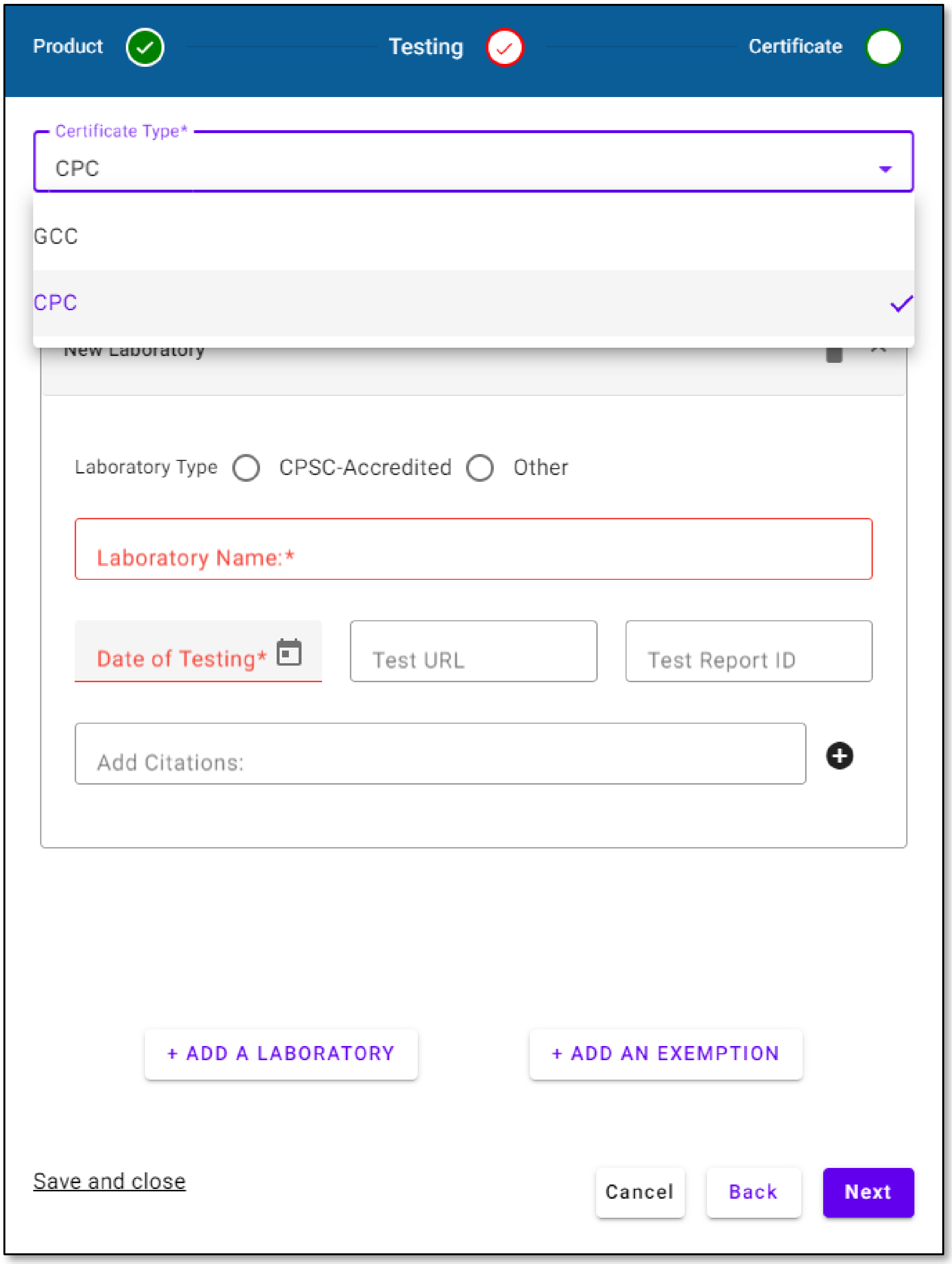
7. Manually expand the **Product Description** section and enter:
    - Color
    - Style
    - Description
    - Manufacturer name*
    - Manufacturer Date*
    - Production Start Date
    - Production End Date
    - Lot Number
    - Indicate whether the Lot Number Assigned By is Manufacturer or Seller.
    - Enter the Manufacturer name and select the appropriate manufacturer option in the drop-down
        i. Select **[+ Add New Manufacturer]** to add a new manufacturer**.**

- Enter the following manufacturer details. The **Trade Party Type** field defaults to ‘Manufacturer’ and may not be edited.
    - Trade Party name*
    - Small Batch Manufacturer ID (if applicable)
    - GLN or Alternate ID
        - The user can provide an alternate ID for a manufacturer to easily reference the manufacturer on another certificate.
    - Address Line*
    - City*
    - State/Province
    - Zip/Postal Code
    - Country*
    - Phone*
    - Email*

8. Click the [**Save]** button.

9. Click the **[Next]** button.

10. On the **Testing** tab, use the drop-down menu to identify the Certificate Type*,
    - General Certificate of Conformity (GCC)
    - Children’s Product Certificate (CPC)



11. Within the **New Laboratory** section, provide the following Lab details:
    - Laboratory Type
    - Laboratory Name
        i. Select a **Laboratory Type** to enable this field. This field is only required when 'GCC' is selected.
        ii. If 'CPC' is selected in the **Laboratory Type** field, the user can **only** select a CPSC-accredited laboratory. CPSC maintains the list of CPSC-accredited labs in the Product Registry and will update this list as needed.
        iii. If 'GCC' is selected in the **Laboratory Type** field, the user has the option to select a CPSC-accredited laboratory **or** third-party laboratory. If the user selects

'Other' as the **Laboratory Type** for a third-party laboratory, the user may search and select the laboratory or create a new laboratory record.

- To add a new lab, select [**+ Create New Laboratory]** and enter the following lab details in the 'Add New Trade Party' window. The **Laboratory Type** field defaults to 'Laboratory' and may not be edited
    - Trade Party name*
    - GLN or Alternate ID
    - Address Line*
    - City*
    - State/Province
    - Country*
    - Zip/Postal Code
    - Phone*
    - Email*

iv. Click the **[Save]** button.

v. Search the citation in this field and click the **[+]** button to add the citation.

- Date of Testing*
- Test URL
- Test Report ID
- Citations*

12. If additional labs are associated with this product, click the **[+ ADD A LABORATORY**] button and repeat the previous step as necessary.

13. To claim an exemption for this product, click the **[+ ADD AN EXEMPTION]** button. Search the exemption code and click the **[+]** button to add the exemption.

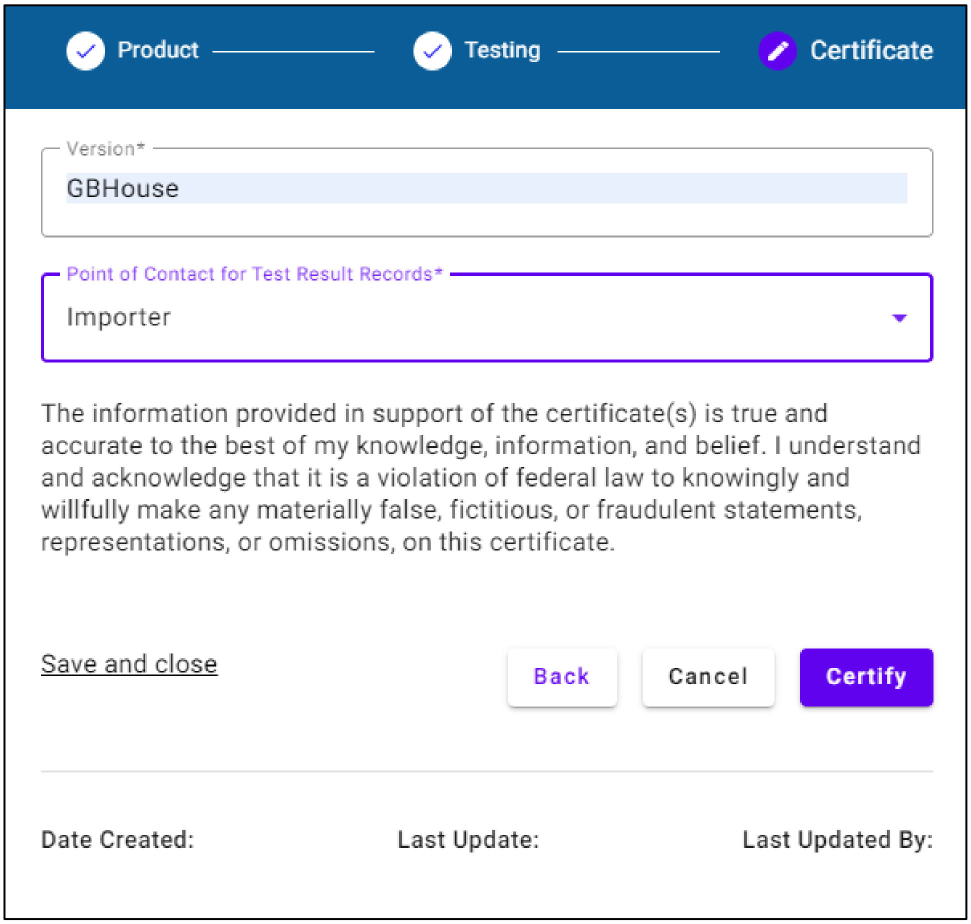
14. Select the **[Next]** button to continue.

15. On the **Certificate** tab, enter the following details:
    - Version*
        i. A new version ID is generated each time a product is updated, and the previous version will be archived. Version IDs are system generated but can be manually entered. Users must review the versions they are filing in the Reference Message Set to ensure that certificates are filed against the correct version of a product.
    - Point of Contact for Test Result Records*
        i. The selectable POC options are Certifier/Importer, Broker, Manufacturer, Laboratory, or Other.

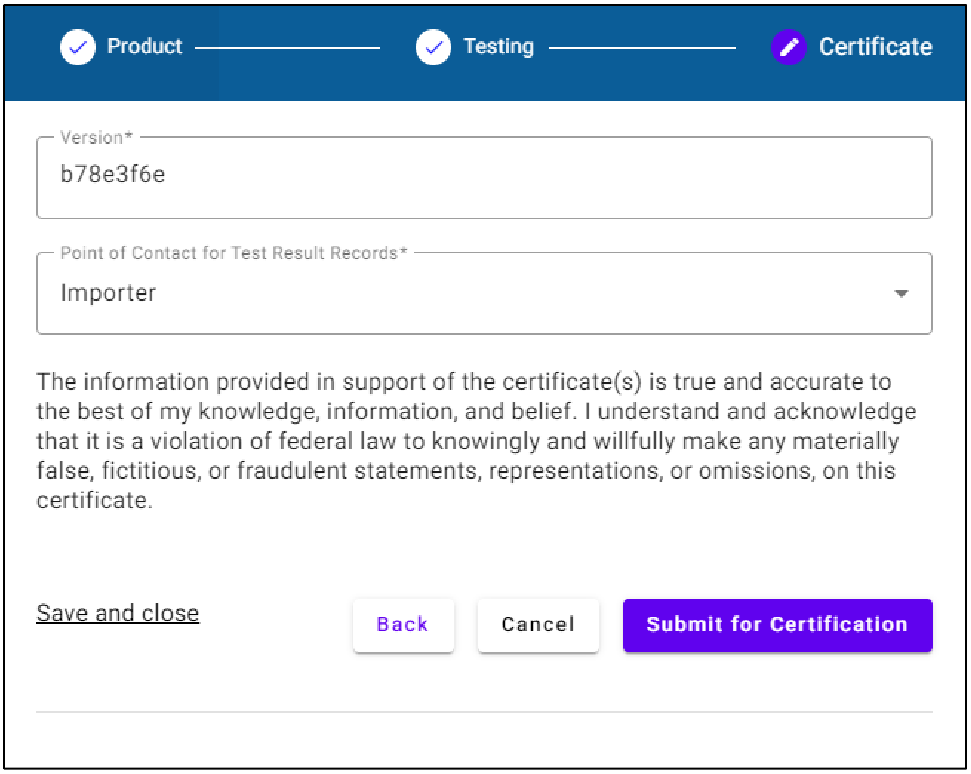
        ii. For "Other," enter the following point of contact details.

        - Name*
        - Address Line*
        - City*
        - State/Province
        - Zip/Postal Code
        - Country*
        - Phone*
        - Email*

16. Review the following legal text. The user's certification permissions dictate the legal text received:
    - Users with certification permissions receive the following **certification statement** below.
        i. "The information provided in support of the certificate(s) is true and accurate to the best of my knowledge, information, and belief. I understand and acknowledge that it is a violation of federal law to knowingly and willfully make any materially false, fictitious, or fraudulent statements, representations, or omissions, on this certificate."



    - Users without certification permissions receives the following **attestation statement**:
        i. "The information provided in support of the certificate(s) is true and accurate to the best of my knowledge, information, and belief. I understand and acknowledge that it is a violation of federal law to knowingly and willfully make any materially false, fictitious, or fraudulent statements, representations, or omissions, on this certificate."



17. Submit the product certificate data by clicking the following submission button below. The user's certification permissions determine which submission button text is received.
    - For users with certification permissions, click the **[Submit]** button.
    - For users without certification permissions, click the **[Submit for Certification]** button.

    The system returns to the Product Collection dashboard.

18. Users can select the drop-down carrot to view the certificate data for a specific product by. One of the following statuses for the submitted product will appear and depending on the status, one of the following three options will apply:
    - If the status shows as Complete, proceed to step 19.
    - If the status shows as Incomplete, the product may be missing data in required fields and edits are required to add/update those data fields. See 6.1 Edit Single Product Entry for steps on how to update product certificate data.
    - If the status shows as Awaiting Certification, a user with certification permissions must certify the product. Users with certification permissions can certify the product through one of two options:
        i. Edit the product and navigate to the certificate tab (see 6.1 Edit Single Product Entry) or;
        ii. Select the **Certify** option from the product's drop-down menu in the Product Collection dashboard

6. Product Certificate Updates

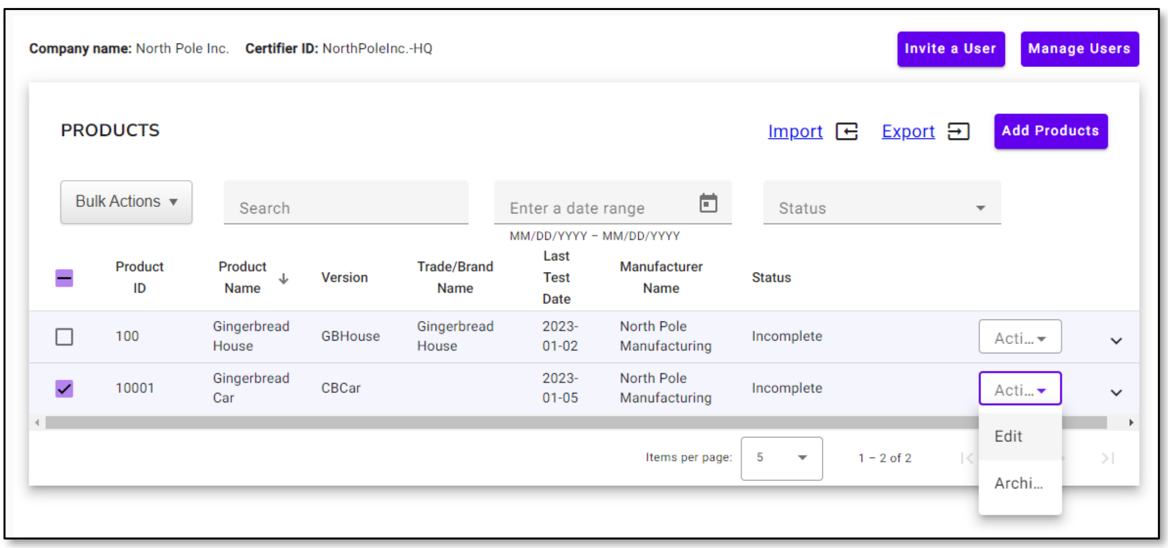
Users can edit all certificate data elements individually, **except** the Primary Product ID. Any edits made to product certificate data elements require a new Version ID, and re-certification.

Business Account Administrators can edit data in any Product Collection. However, Collection Administrators and Collection Editors can only edit product certificate data within their assigned Product Collections.

6.1 Edit Single Product Entry

Users can edit product certificate data for a single product using the user interface. However, any edits made to existing product certificate data will undo its data attestation and certification. Edits to existing certificate data requires re-submission of data for attestation and certification. Users can edit individual products in a Product Collection using the steps below, which are similar to the steps for manually entering a single product certificate.

1. Navigate to the appropriate Product Collection.
2. Select the desired Product ID from the list of products in the collection.
    - Use the drop-down carrot located on the right-hand side of each product to view the product certificate data for that particular product entry.
3. From the drop-down menu select **[Edit]**.
    - Edits to the Primary Product ID field are not allowed.



4. Perform steps 2-18 in section 5.1 Manually Entering a Single Certificate and update certificate data where necessary. **NOTE**: All fields may be edited for products that have been certified **except** for the Primary Product ID field.

   The system returns to the Product Collection list.