



CPSC eFiling Alpha Pilot: eFiling Product Registry Overview

This document provides an overview of the eFiling Product Registry – a CPSC application and data warehouse that has been developed to support the CPSC eFiling Alpha Pilot

Feb 22, 2016

This document was prepared by CPSC staff, has not been reviewed or approved by, and may not reflect the views of, the Commission.

Filers Please Note: This document is intended for the 8 importers that are part of the CPSC e-Filing Alpha Pilot. CPSC does not require or allow use of the eFiling Product Registry from the general trade community at this time. This document is being posted on cpsc.gov for trade awareness purposes only.

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1 General Introduction

This document provides an overview of the eFiling Product Registry – a CPSC application and data warehouse that has been developed to support the CPSC eFiling Alpha Pilot. This document:

- Provides background information on the eFiling Alpha Pilot;
- Illustrates when and how a filer would use the eFiling Product Registry;
- Provides direction to access the eFiling Product Registry;
- Explains the design and layout of the eFiling Product Registry; and
- Describes the entry filing process with the Reference PGA Message Set.

CPSC will collaborate in an iterative fashion with eFiling Alpha Pilot participants on the eFiling Product Registry's design, layout, and user experience in order to refine the application.

This document is an overview of the eFiling Product Registry. CPSC will create a detailed user guide for eFiling Alpha Pilot participants after development of the eFiling Product Registry is completed.

1.1 eFiling Alpha Pilot

The CPSC eFiling Alpha Pilot is the first step of a joint effort between CPSC and CBP that will test electronic filing (eFiling) of targeting/enforcement data elements for imported regulated consumer products¹ (regulated products) and three specified products on the substantial product hazard (SPH) list² (SPH listed products). This test will be conducted with a small set of participants who will work collaboratively with CPSC and CBP. The eFiling Product Registry is designed to accept data for regulated products and SPH listed products.

Additional information on the eFiling Alpha Pilot can be found in the Commission's Federal Register notice announcing the pilot (80 *Fed. Reg.* 50827, (Aug. 21, 2015)): <http://www.gpo.gov/fdsys/pkg/FR-2015-08-21/pdf/2015-20707.pdf>

The current version of the *CPSC Supplemental CATAIR Guidelines* document can be found at <http://www.cbp.gov/document/guidance/cpsc-e-filing-alpha-pilot-implementation-guide> .

1.2 Product Data Filing Methods

CPSC will use CBP's Automated Commercial Environment (ACE) for filers (either an importer or broker) to electronically file data as a supplement to entry information already submitted to CBP. Information specific to CPSC will be submitted via the PGA Message Set—the standard process for all PGAs to receive additional data not required by CBP—in one of two ways:

1. Full PGA Message Set – filing all targeting/enforcement data at time of entry, *OR*
2. eFiling Product Registry and Reference PGA Message Set – filing only a reference to targeting/enforcement data at the time of entry that links to a prior filing of targeting/enforcement information in the CPSC eFiling Product Registry.

¹ A regulated consumer product is a finished product that is subject to a consumer product safety rule under the CPSA or similar rule, ban, standard, or regulation under any other law enforced by the Commission that is imported for consumption or warehousing, or distributed in commerce. Regulated products require a certificate of compliance, unless a statutory or regulatory exemption applies.

² Section 15(j) of the CPSA; 15 U.S.C. 2064(j); and 16 C.F.R. part 1120. The eFiling Alpha Pilot will include hand-supported hair dryers, extension cords, and seasonal and decorative lighting products.

Participants of the eFiling Alpha Pilot that are filing entry of a regulated product or SPH listed product will have the flexibility to select the option they prefer for each entry.

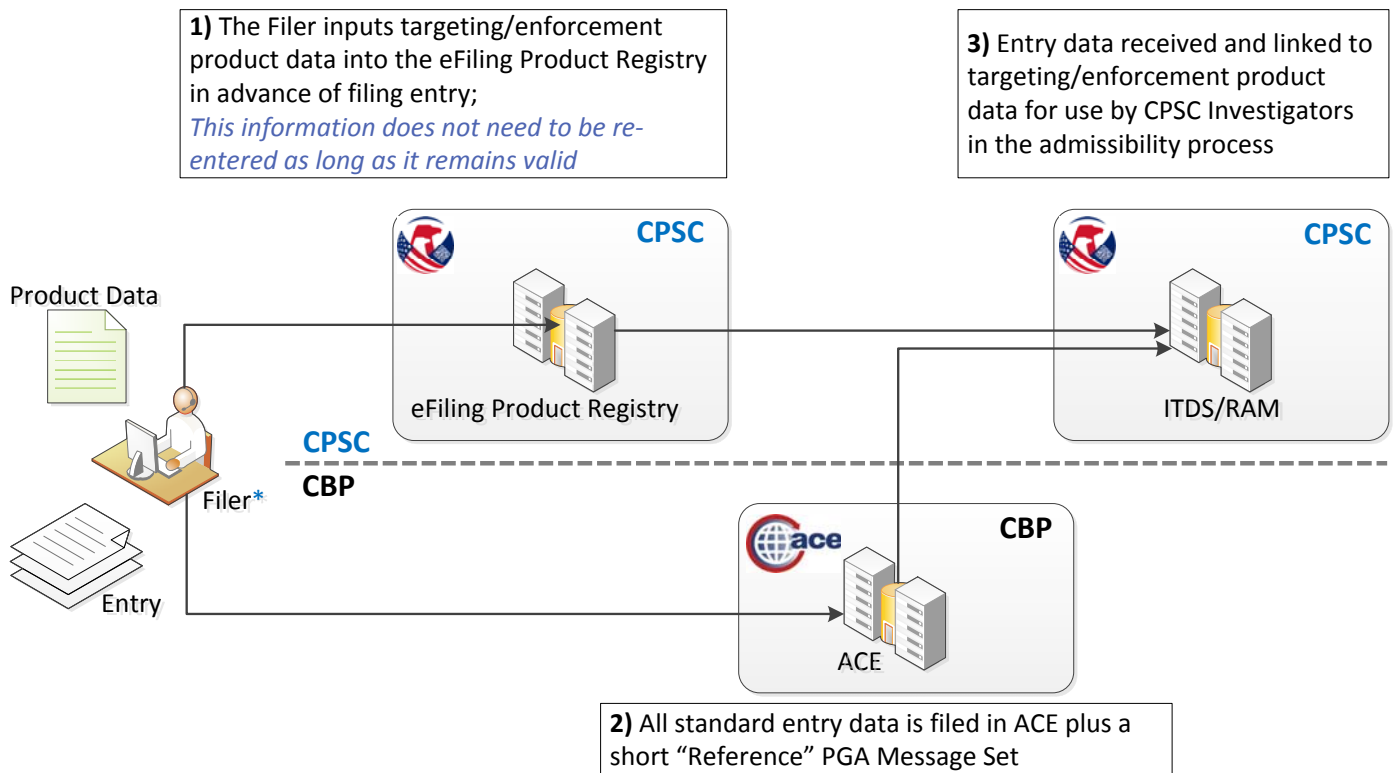
This document provides information on the 2nd filing option: " eFiling Product Registry and Reference PGA Message Set." Information and instructions on the 1st filing option: "Full PGA Message Set" can be found in the *CPSC Supplemental CATAIR Guidelines*.

1.3 eFiling Product Registry and Reference PGA Message Set

The eFiling Product Registry is an alternative method to file targeting/enforcement data for each imported product. Instead of filing full data each time a product is imported, data is filed once with CPSC before a product is imported, and this data is referenced via a much shorter PGA Message Set each time that product is imported, for as long as the data remains valid. The required data and layout of the Reference PGA message set is defined in section 4 "Reference PGA Message."

The following figure illustrates the eFiling process when using the eFiling Product Registry.

Filer uses Reference PGA Message Set option*



* The term "Filer" is used generically to include an Importer or Broker

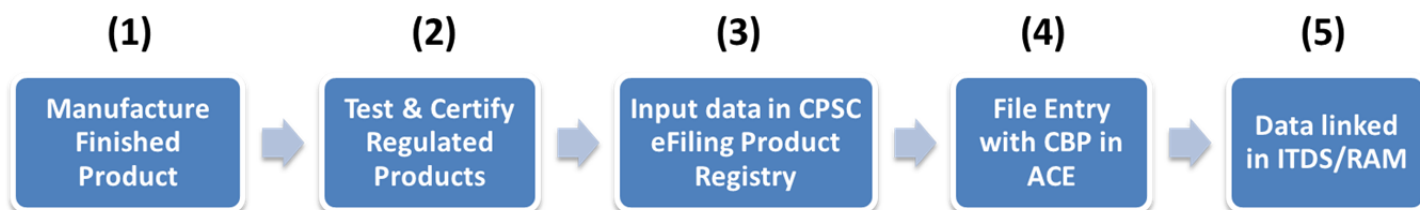
2 eFiling Product Registry Overview

The eFiling Product Registry is:

- A secure, online CPSC application to upload, enter, and manage product information;
- A data repository that will store product information;
- An application that will increase data quality through drop-down selection lists, data entry formatting guidance, and automated data uploads; and
- An application that will accept data for regulated products and SPH listed products.

Below, is an illustration of where the eFiling Product Registry fits, chronologically, in the entry process.

- For regulated products, steps 1 – 5 apply.
- For SPH listed products, step 1 and steps 3 – 5 apply.



1. Manufacture Finished Product – first, a product is manufactured.
2. Test and Certify Regulated Products – next, the importer ensures required testing and certification are completed for that specific regulated product. For SPH listed products, this step does not apply.
3. Input data in CPSC eFiling Product Registry – the filer inputs data into the CPSC eFiling Product Registry prior to the time of entry for the specific product. After entering product data, a unique reference number is generated to be used when filing entry of the particular product with CBP (step 4).
4. File Entry with CBP in ACE – the filer includes a Reference PGA Message with CBP in ACE in addition to the standard entry CBP filing requirements. This PGA message contains the unique reference number that ties to existing targeting/enforcement data (step 3) housed in CPSC’s eFiling Product Registry.
5. Data linked in ITDS/RAM – Entry data received and linked to targeting/enforcement product data in the ITDS/RAM application for use by CPSC Investigators in the admissibility process.

3 eFiling Product Registry

This section provides direction to access the eFiling Product Registry as well as explains the design and layout of the eFiling Product Registry application.

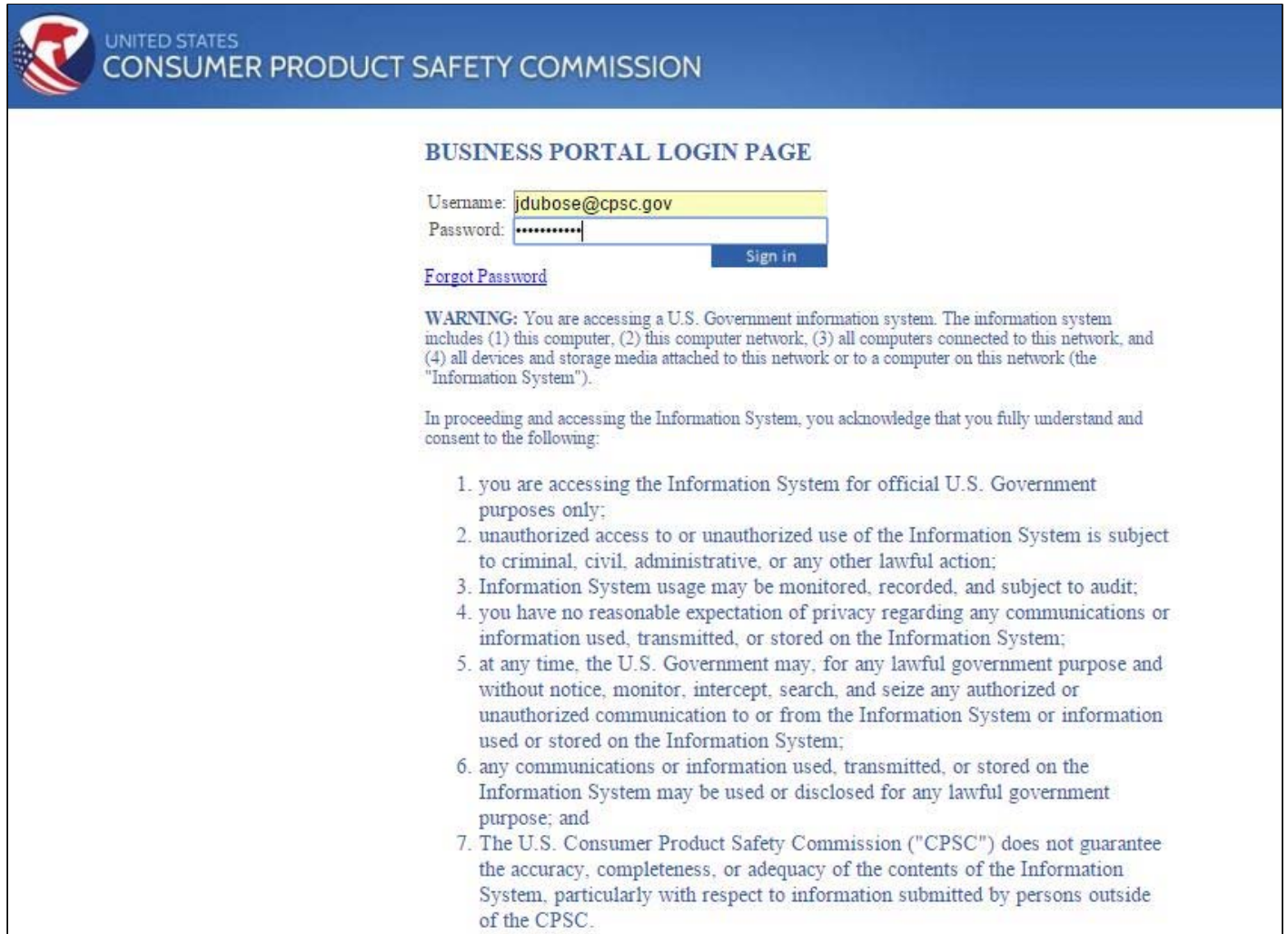
3.1 eFiling Product Registry Access

3.1.1 URL

For eFiling Alpha Pilot participants that have been given eFiling Product Registry accounts, log in by going to the following URL: <https://apps.saferproducts.gov>

3.1.2 CPSC Business Portal

Input the eFiling Alpha Pilot Username and Password that has been provided and select "Sign in"



The screenshot shows the login page for the CPSC Business Portal. At the top left is the CPSC logo, which includes the United States flag and the text "UNITED STATES CONSUMER PRODUCT SAFETY COMMISSION". The page title is "BUSINESS PORTAL LOGIN PAGE". Below the title are two input fields: "Username:" with the value "jdubose@cpsc.gov" and "Password:" with a masked password of seven dots. A blue "Sign in" button is positioned to the right of the password field. Below the input fields is a blue link for "Forgot Password". A "WARNING" section follows, stating that the user is accessing a U.S. Government information system and listing four points of inclusion. Below the warning is a statement of acknowledgment: "In proceeding and accessing the Information System, you acknowledge that you fully understand and consent to the following:". This is followed by a numbered list of seven terms and conditions regarding system access, monitoring, and data handling.

BUSINESS PORTAL LOGIN PAGE

Username:

Password:

[Forgot Password](#)

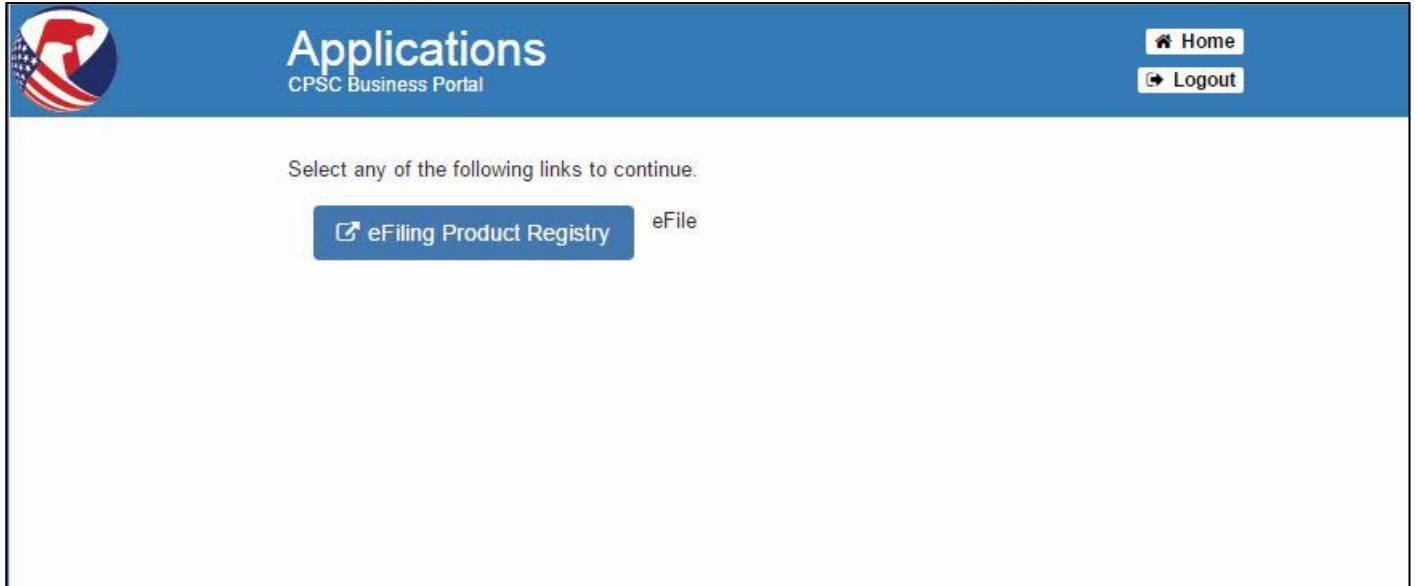
WARNING: You are accessing a U.S. Government information system. The information system includes (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network (the "Information System").

In proceeding and accessing the Information System, you acknowledge that you fully understand and consent to the following:

1. you are accessing the Information System for official U.S. Government purposes only;
2. unauthorized access to or unauthorized use of the Information System is subject to criminal, civil, administrative, or any other lawful action;
3. Information System usage may be monitored, recorded, and subject to audit;
4. you have no reasonable expectation of privacy regarding any communications or information used, transmitted, or stored on the Information System;
5. at any time, the U.S. Government may, for any lawful government purpose and without notice, monitor, intercept, search, and seize any authorized or unauthorized communication to or from the Information System or information used or stored on the Information System;
6. any communications or information used, transmitted, or stored on the Information System may be used or disclosed for any lawful government purpose; and
7. The U.S. Consumer Product Safety Commission ("CPSC") does not guarantee the accuracy, completeness, or adequacy of the contents of the Information System, particularly with respect to information submitted by persons outside of the CPSC.

3.1.3 Select the Application

Select the "eFiling Product Registry" button



3.1.4 eFiling Disclaimer

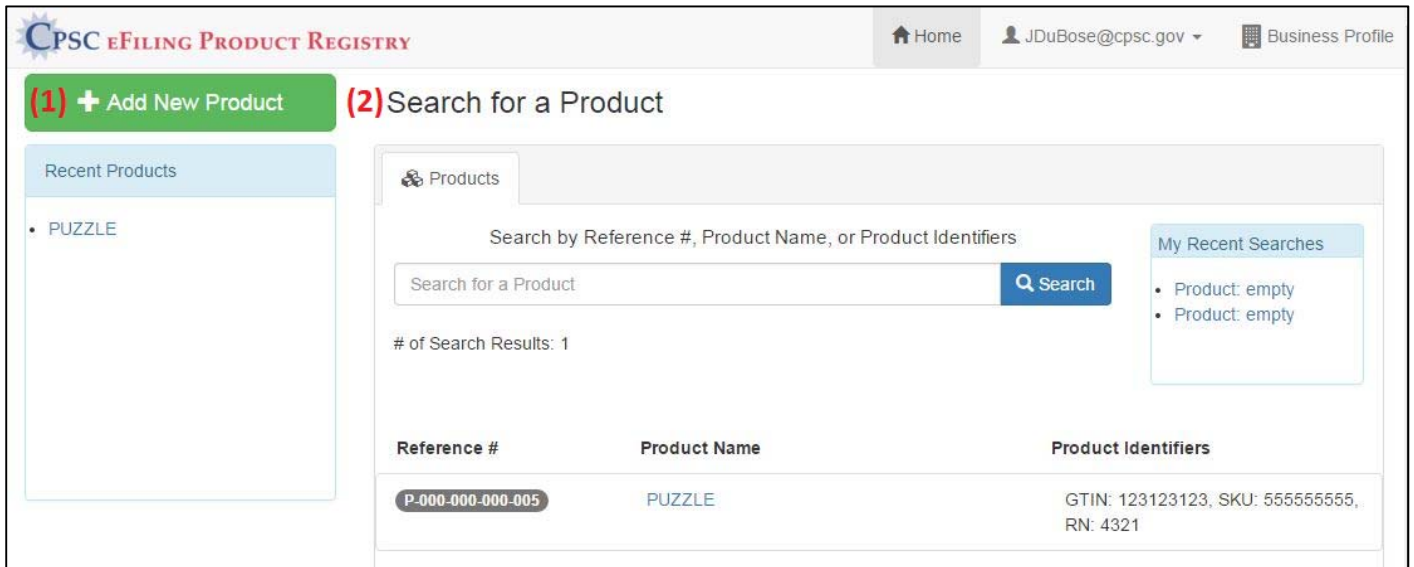
To proceed to the eFiling Product Registry, click the "Accept" button after reading the eFiling Alpha Pilot disclaimer.



3.2 eFiling Product Registry Layout

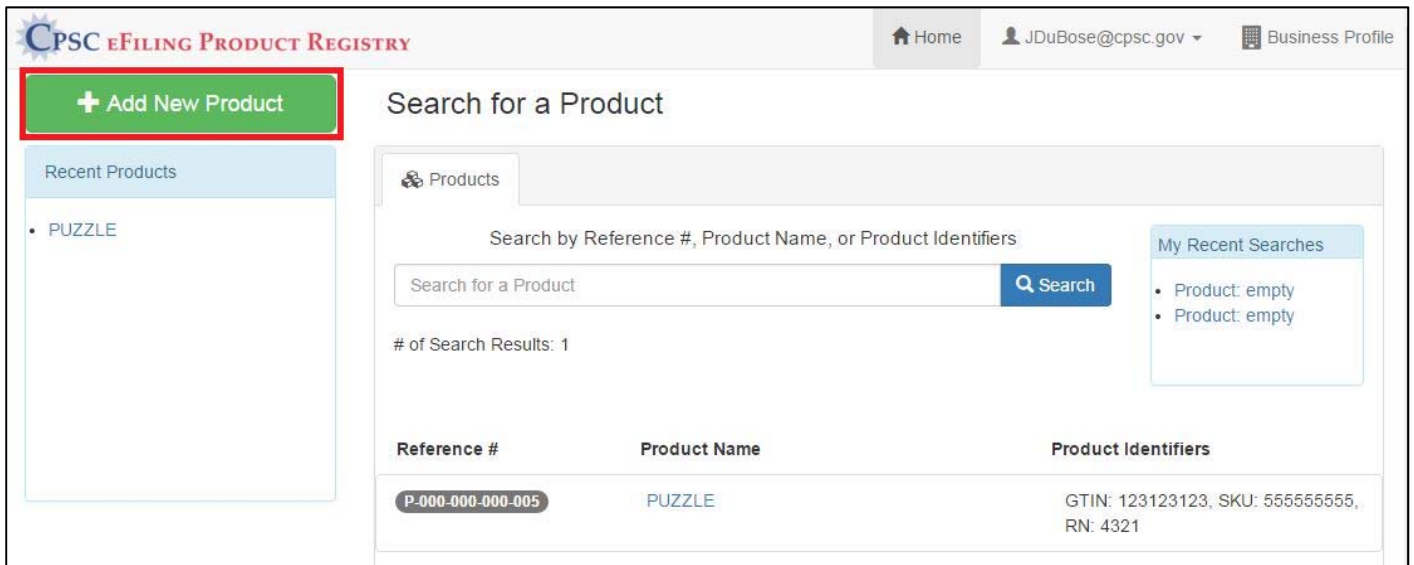
After logging in to the application, the user will arrive at a home page that is customized to the specific user; therefore, the home page will contain only data that is relevant to that user. The eFiling Product Registry is organized based on products. Users will enter targeting/enforcement data for a particular product. When a user first logs in to the eFiling Product Registry, they will either:

- (1) Create a new record of a product, or
- (2) Search for existing products



3.3 Create a new record of a product

The user would select the "+ Add New Product" button to input a new record for a product.



The "+ Add New Product" module guides the user through inputting required and optional data regarding:

- General Information; and
- Product Identification; and
- Manufacturer Information; and
- Test Information.

General Information

First, the user enters the Product Name. Additionally, the user specifies whether this particular product is a Regulated Product or a SPH Listed / 15(j) product. In this case, a 'Regulated Product' has been selected. When inputting a 'Regulated Product', the user must indicate whether this particular product has a Certificate of Compliance available upon request from CPSC.

Note – throughout the application, mandatory data fields are labeled with an asterisk ()

The screenshot shows the CPSC eFiling Product Registry interface. At the top, there's a navigation bar with 'Home', 'JDuBose@cpsc.gov', and 'Business Profile'. Below that, a breadcrumb trail shows 'Home / New Product'. The main form area is titled 'New Product' and contains several fields:

- * Product Name:** PUZZLE BLOCKZ
- Reference Number:** (empty field)
- * Regulated Product or SPH Listed/15(j)?**: Radio buttons for 'Regulated Product' (selected) and 'SPH Listed/15(j)'. Below this are explanatory text blocks for both options.
- * Certificate?**: Radio buttons for 'Yes' and 'No' (selected). Below this is explanatory text: 'Indicate existence of a Certificate that meets the requirements of sections 14 and 17 of the CPSA, and 16 C.F.R. part 1110 for the regulated finished product.'
- Advisory Note:** A yellow box containing the message: 'This Product has been modified, please save changes.'

Below the form, there are three tabs: 'Product Identifiers' (0), 'Manufacturer Info', and 'Tests' (0). The 'Product Identifiers' tab is active, showing a table with columns 'Identifier Type' and 'Identifier Value'. A legend on the left lists identifier types: GS1 Global Trade Item Number (GTIN), Universal Product Code (UPC), Stock Keeping Unit (SKU), Model Number, and Serial Number. It also includes instructions: 'Either a GS1 Global Trade Item Number (GTIN) or Universal Product Code (UPC) can be provided, not both.' and 'Provide as many additional optional identifiers as wanted.'

Product Identification

Next, the user enters information to identify the product according to the following requirements:

* Provide one or more of the following Identifier Types:

- GS1 Global Trade Item Number (GTIN)
- Universal Product Code (UPC)
- Stock Keeping Unit (SKU)
- Model Number
- Serial Number

Either a GS1 Global Trade Item Number (GTIN) or Universal Product Code (UPC) can be provided, not both.

Provide as many additional optional identifiers as desired:

- Intended Use Code
- Brand Name
- Lot Number
- Model Color
- Model Description
- Model Style
- Registered Number
- Alternate Identifier

Below, the “Product Identifier” tab illustrates four product identifiers were provided. The user selects the “+ Add New” button prior to selecting an “Identifier Type” and then inputting the corresponding “Identifier Value”.

The screenshot shows the CPSC eFiling Product Registry interface. The main form includes fields for Product Name (PUZZLE BLOCKZ), Reference Number, and Regulatory options (Regulated Product or SPH Listed/15(j)). A 'Certificate?' section is also present. An advisory note states: "This Regulated Product requires Test information before it can be used in the Reference Message filing option at Entry."

The 'Product Identifiers' tab is highlighted with a red box and contains the following table:

Identifier Type	Identifier Value	
* GS1 Global Trade Item Number (GTIN)	456456456456	
* Stock Keeping Unit (SKU)	5555555SKU	
Trade Name/Brand Name	TOYZ BRANDZ	
Model Color	RED	

Additional instructions in the tab state: "Provide one or more of the following Identifier Types: GS1 Global Trade Item Number (GTIN), Universal Product Code (UPC), Stock Keeping Unit (SKU), Model Number, Serial Number. Either a GS1 Global Trade Item Number (GTIN) or Universal Product Code (UPC) can be provided, not both. Additional optional Identifier Types appear in the drop-down menu. Provide as many additional optional identifiers as wanted."

Manufacturer Information

Next, the user enters the manufacturer name and address information. This information should reflect where the finished product was manufactured, produced, or assembled. After the user enters manufacturer information once, this information item is saved and can be selected by name – saving the user time in the future.

The screenshot shows the 'Manufacturer Information' section of the CPSC eFiling Product Registry form. The form includes fields for Product Name (PUZZLE BLOCKZ), Reference Number, Regulated Product or SPH Listed/15(j) status, and Certificate status. The Manufacturer Information section, highlighted with a red box, contains fields for Manufacturer (ZZ TOY COMPANY), Address (TAIPEI - 8500), Manufacturer Name (ZZ TOY COMPANY), Address Name (TAIPEI - 8500), Address Line 1 (8500 MANUFACTURE ROAD), Address Line 2, City (TAIPEI), State / Province (TAIWAN), Postal Code, and Phone.

Test Information

Lastly, the user enters information regarding parties on whose testing a certificate depends by aligning the rules that the product is subject to (citations) to the actual lab where testing of that rule was performed.

The screenshot shows the 'Tests' section of the CPSC eFiling Product Registry form. The form includes fields for Product Name (PUZZLE BLOCKZ), Reference Number, Regulated Product or SPH Listed/15(j) status, and Certificate status. The Tests section, highlighted with a red box, contains a table with columns for Citation, Description, and Lab Name. The table lists two tests: CFR1303 (Ban of Lead-Containing Paint and Certain Consumer Products Bearing Lead-Containing Paint - General Use) and CFR1501 (Small Parts). Both tests are performed by SGS Taiwan Ltd. Chemical Laboratory - Taipei. An '+ Add New' button is visible in the top right corner of the Tests section.

Citation	Description	Lab Name
CFR1303	Ban of Lead-Containing Paint and Certain Consumer Products Bearing Lead-Containing Paint - General Use. Applies to consumer paints and paint used on certain movable non-metal furniture products	SGS Taiwan Ltd. Chemical Laboratory - Taipei
CFR1501	Small Parts	SGS Taiwan Ltd. Chemical Laboratory - Taipei

After selecting "+ Add New", a user selects the Citation from pre-defined drop down list. Then, a user selects the CPSC Accepted Lab from pre-defined drop down list. If the lab that performed testing is not a CPSC Accepted Lab,

the user would manually type the lab information in the "Other Lab" data field:

Test information should be entered for each consumer product safety rule under the CPSA, or similar rule, ban, standard, or regulation under any law enforced by the Commission, to which the product is being certified. In the previous example, two tests were completed at one lab.

When a user is entering product information for SPH Listed items (hand-supported hair dryers, extension cords, or seasonal and decorative lighting products), the "Tests" tab will not be available or displayed.

3.4 Search for existing products

Users can search for existing products by "Reference #," "Product Name," and other Product Identifiers. The search bar acts like a Google™ search bar and returns all relevant results in the "Search Results" pane. For example, searching for "PUZZLE" returns two product results:

Reference #	Product Name	Product Identifiers
P-000-000-000-005	PUZZLE	GTIN: 123123123, SKU: 555555555, RN: 4321
P-000-000-000-006	PUZZLE BLOCKZ	GTIN: 456456456456, SKU: 555555555, TNBN: TOYZ BRANDZ, MC: RED

4 Reference PGA Message

After the required targeting/enforcement data is filed in advance with the eFiling Product Registry, a reference to that targeting/enforcement data must be filed at entry with all standard entry data each time the product is imported. An illustration of that message (excerpt from the CPSC Supplemental CATAIR Guidelines) is found below.

