

Automated Export System Compliance Review Program:

Best Practices

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U S C E N S U S B U R E A U

Helping You Make Informed Decisions

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Overview of the AES Compliance Review Program

In October 2006, the U.S. Census Bureau (Census Bureau), Foreign Trade Division (FTD) developed the Automated Export System (AES) Compliance Review Program. The program seeks to assist companies in correcting reporting practices that are not in compliance with the Foreign Trade Regulations (FTR), Title 15, Code of Federal Regulations (CFR), Part 30. Section 30.10(b) of the FTR authorizes the Census Bureau to visit companies with the purpose of reviewing all documentation pertaining to export transactions. The ultimate goal of the program is to educate and bring all AES filers into full compliance with the FTR. Failure to comply with reporting requirements may result in delayed shipments referrals to export enforcement government agencies, civil fines and/or criminal penalties.

The Census Bureau began this project by visiting companies that maintained a compliance rate of 95% or higher to learn their best practices. The compliance rate is calculated by dividing the number of compliance alerts (designated on the Compliance Report) by the number of shipments, subtracted from 100%. As a result of these visits, we have compiled this “Best Practices” manual to share with AES filers the variety of effective methods that can be implemented to stay compliant with the FTR reporting requirements. While this document is not all-inclusive, it does provide several excellent examples of best practices that could assist exporting companies in meeting the FTR compliance standards.

Introduction to AES

The AES is a joint venture between the U.S. Customs and Border Protection (CBP), Census Bureau, other Federal partnership agencies, and the U. S. export trade community. The AES collects export information electronically, applying a series of edits, and responding to the filer so that errors are detected and corrected at the time of filing.

The AES is a nationwide system operational at all ports and for all modes of transportation, designed to ensure compliance with the FTR and the enforcement of many export laws. The collection of export data electronically improves trade statistics and ensures timely and accurate filings along with reducing filers reporting burden.

The Bureau of Industry and Security (BIS), the State Department's Directorate Defense Trade Controls (DDTC) and other Federal agencies have identified data fields in the AES that are critical to their agency's mission. The AES serves as the central point for multiple Federal government agencies in capturing export shipment data electronically.

Public Law 107-228 now requires mandatory filing of export information via the AES. The Final Rule was published in the Federal Register on June 2, 2008. Mandatory electronic reporting of export information begins on October 1, 2008.

Benefits of AES

Ensure Export Compliance. The AES, with its editing system and your subsequent corrections, ensures a company's compliance with current Census Bureau export reporting requirements. The system returns an Internal Transaction Number (ITN) as confirmation that you have successfully filed your export documentation.

Correct Errors as They Occur. The AES generates a response message to the filer when data are incomplete, omitted or inconsistent. The AES allows you to correct errors early in the process, before your goods are subject to delays or penalties.

Decrease Your Costs. Eliminate the cost of corrections with up-front data edits. Save money by reporting your export information through the free and secure Internet application, *AESDirect*.

Eliminate Paper Review of Licenses Against Shipments. The interface between the Department of Commerce's BIS and DDTC electronically validates data on export shipments against previously approved licenses and transmits the transaction to the appropriate Partnership Agency.

BEST PRACTICES: Training

Training Manual

We strongly recommend that companies filing via the AES develop a formal AES Training Manual. A Training Manual provides the basis for achieving consistent results that will support AES filers' efforts in achieving and maintaining compliance. The main purpose of such a manual is to familiarize the user with the AES process. The manual should be reviewed periodically to ensure that it is current with system enhancements, regulatory changes, new business practices, and other export requirements.

Cross-Training

Cross-training is defined as teaching an employee to do different tasks of the organizational unit's work responsibilities. Many companies use cross-training to build depth to cover critical tasks for filing in the AES to be sure the company is filing timely and accurately when employees are on leave, travel, other assignments, or otherwise unavailable. Cross-training employees on both the FTR and how to file via AES will ensure that export transactions are reported accurately and staff will be knowledgeable and equipped to properly file export shipments. For example, staff should be familiar with filing export transactions in the AES and what actions to take for correcting fatal error responses. Cross-training provides improved coverage, increased flexibility, knowledge sharing; additionally, cross-training minimizes or eliminates potential problems that may cause chaotic work conditions.

Mentoring Program

Mentoring allows experienced staff (mentors) to share lessons learned, tips, and suggestions on how to file export transactions accurately and timely. Mentoring also provides ongoing support to new employees, accelerating their learning curve to achieve the level of understanding required to ensure compliance and reporting accuracy. The mentoring section of a company's training manual should include internal as well as external contacts who can offer assistance. Mentors should review the FTR with all new employees and review such concepts as U.S. Principal Party in Interest (USPPI), reporting requirements of an export transaction, routed export transaction, data elements and export filing exemptions. The ultimate goal of the mentoring program is to have experienced employees share their knowledge and skills with newly employed staff that will be carrying on the company's work in the future. For example, a new employee can shadow an experienced employee throughout the entire process of receiving/verifying documents, entering information into the AES, responding to error responses and notating loading documents with accurate proof-of-filing citations. By developing a mentoring program, the organization prepares its new employees to better understand the export filing process. Emphasizing employee development will yield positive results for both mentors and new employees.

BEST PRACTICES: Training Cont'd.

Seminars & Workshops

A fundamental cause of noncompliance is a lack of understanding of the FTR, other export control regulations, and the AES process. If filing via *AESDirect* or *AESPCLink*, all the AES staff should study the tutorial and take the certification quiz prior to the initial filing of information. Once a year as a refresher, your organization's AES staff should study the tutorial and retake the quiz. The staff should attend sponsored training, such as the AES Export Compliance Seminars and the *AESPCLink* Certification Workshops. Knowledgeable Census Bureau experts lead the seminars and cover information on the FTR, researching commodity classifications, and the proper filing of information via the AES. Seminars and workshops can be offered by the Census Bureau if your company is willing to pay for Census Bureau staff travel expenses, and these seminars and workshops can be tailored to meet the needs of your organization. Also, it is suggested that staff should also attend export seminars and workshops hosted by state and local governments, other federal agencies, trade groups, consultants and other private companies. The variety of training options will provide employees with an opportunity to learn all aspects of the export process. In addition, companies should conduct in-house forums to share best practices, provide updates on the AES and the FTR along with information on other government export requirements that are relevant to your company's export process. Furthermore, the mitigation process for penalties take into consideration if your company attempts to attend export compliance training as well as if you are a new or experienced participant in the business of exporting.

Creating a Best Practices Manual

The Census Bureau's Foreign Trade Division (FTD) takes pride in publishing monthly trade statistics and ensuring the accuracy and completeness of export data. The FTD values you as our customer, and would like to offer recommendations to those involved in filing Electronic Export Information (EEI) via the Automated Export System (AES). We are offering guidance on developing a manual to assist companies in filing accurate, complete and timely export transactions in accordance with the Foreign Trade Regulations (FTR). In the sections to follow, we have provided pertinent information that will assist you in developing an internal best practice manual or adding to an existing manual within your company. The information provided is a guide and additional sections may be added at your discretion that impact your export reporting.

Foreign Trade Regulations Basics

It is vital that employees responsible for export compliance know the requirements of Title 15, CFR, Part 30. The following provides basic information pertaining to the FTR. However, it is strongly recommended that employees access the regulations in its entirety. The FTR can be found at the following website: www.census.gov/trade.

Key Terms

- Electronic Export Information (EEI)
- U.S. Principal Party in Interest (USPPI)
- Foreign Principal Party in Interest (FPPI)
- Authorized U.S. Agents
- Predeparture
- Postdeparture

When is the AES information required? (FTR § 30.2(a))

The Electronic Export Information (EEI) must be filed for exports of physical goods valued at more than \$2,500 per commodity classification code, when shipped as follows:

- From U.S. to foreign countries,
- Between the U.S. and Puerto Rico,
- From Puerto Rico to foreign countries,
- From Puerto Rico to U.S. Virgin Islands,
- From the U.S. to the U.S. Virgin Islands, and
- Licensable commodities (regardless of value).

What is an Export Shipment? (FTR § 30.1)

An export shipment is defined as merchandise shipped from one USPPI to one consignee, on the same flight/vessel, to the same country, on the same day, valued over \$2,500 per Schedule B/ Harmonized Tariff Schedule of the United States Annotated (HTSUSA) number or (any value) where a license is required.

Parties involved in an export transaction (FTR § 30.3(b))

U.S. Principal Party in Interest (USPPI) – the person or legal entity in the United States that receives the primary benefit, monetary or otherwise, from the export transaction. Generally that person is the U.S. seller, manufacturer or order party or the foreign entity while in the U.S. when purchasing or obtaining the goods for export.

Authorized U.S. Agent – An individual or legal entity physically located in or otherwise under the jurisdiction of the U.S. that has obtained power of attorney or written authorization from a USPPI or Foreign Principal Party in Interest (FPPI) to act on its behalf.

Foreign Principal Party in Interest (FPPI) – The party shown on the transportation document to whom final delivery or end-use of the goods will be made. This party may be the ultimate consignee.

Foreign Trade Regulations Basics Cont'd.

Types of Export Transactions (FTR § 30.3(c) & 30.3(e))

Standard Export Transaction: In a standard export transaction the USPPI files the EEI or authorizes a U.S. forwarder or other agent to facilitate export of items out of the United States and/or to file the information in the AES. In the standard export transaction, the USPPI controls the movement of the cargo.

Responsibilities in a Standard Export Transaction

USPPI Responsibilities FTR § 30.3(c)(1):

- Appoints authorized U.S. agent to facilitate movement of cargo,
- Provides power of attorney or written authorization to the authorized U.S. agent,
- Makes a license determination, and
- Reports required export information or authorizes agent to file report.

Authorized U.S. Agent Responsibilities FTR § 30.3(c)(2):

- Provides transportation data,
- Obtains the authorization from the USPPI,
- Provides the USPPI with a copy of the export information that was filed, if requested, and
- Reports required export information if authorized by the USPPI.

Routed Export Transaction: In a routed export transaction the FPPI authorizes a U.S. Forwarder, USPPI or other Agent to facilitate the export of items out of the United States. In the routed export transaction, the FPPI controls the movement of the cargo.

Responsibilities in a Routed Export Transaction

USPPI Responsibilities FTR § 30.3(e)(1):

- May file on behalf of the FPPI if a power of attorney or written authorization is obtained from the FPPI,
- Provides FPPI-authorized U.S. agent with specific export and licensing information,
- Is entitled to a copy of the required export information that was submitted to the FPPI-authorized U.S. agent to file, and
- May request in writing from the FPPI (See Export Administration Regulations (EAR) 758.3).

Authorized U.S. Agent Responsibilities FTR § 30.3(e)(2):

- Obtains a power of attorney or written authorization from the FPPI to move cargo,
- Completes export information for filing, as authorized by the FPPI, and
- Provides a copy of the export information to the USPPI when requested.

Classifying Commodities

Overview of the Export Commodity Classification Codes

In order to file your export shipment, you must know the 10-digit Schedule B number(s) for the commodities you are exporting. The Schedule B and its import counterpart, the HTSUSA, are based on the 6-digit international Harmonized System (HS). Before attempting to classify a product, you should have its complete description and knowledge of the product's function, composition, and characteristics. While *AESDirect* and *AESPCLink* offer look up capabilities to classify products, this function provides limited descriptions. Do not rely solely on the limited lookup functions within the *AESDirect* and *AESPCLink* software for classifying merchandise.

After identifying possible codes, closely read the descriptions for the 4-digit heading and subsequent subheadings in the Schedule B number, paying close attention to indentations and alignments. Follow through the detailed descriptions until you arrive at a complete, 10-digit classification code. For further classification guidance, read pertinent section, chapter, and statistical notes in the Schedule B/HTSUSA manual posted at the website cited in the preceding paragraph. An online search of the Schedule B Index produces a list of descriptions and their 6-digit codes or ranges. Selecting a link from this list brings the user directly to the 4-digit heading in the text version of the Schedule B/HTSUSA manual. After reading the heading and verifying that it is the appropriate location for the commodity in question, the USPPI or AES filer should then compare the subsequent subheadings, paying close attention to indentations and alignment. Upon determination of the best 6-digit subheading, repeat the process of comparison to find the correct Schedule B/HTSUSA number.

Use the Schedule B search engine or manual, available at <http://www.census.gov/foreign-trade/schedules/b/index.html> to assist in your initial classification and for periodic review and updates.

Classifying Commodities Cont'd.

Export Commodity Classification Codes

The 2008 edition of Schedule B supersedes all previous editions as the official schedule of commodity classifications to be used by shippers in reporting export shipments from the United States, and in compiling the official statistics on exports of merchandise from the United States. This edition became effective in January 2008.

The correct commodity number shown in the current edition of the Schedule B must be reported in the EEI. A description of the merchandise, in sufficient detail to permit the verification of the Schedule B number, must also be furnished on the export declaration, as well as other statistical data, in accordance with the FTR. Import classification codes, found in the HTSUSA may be substituted for export codes, with a short list of exceptions noted on the Census Bureau website at: <http://www.census.gov/foreign-trade/schedules/b/index.html>.

Organization of the Schedule B Classification

Schedule B, based on the HS, consists of 22 sections divided into 97 chapters. Chapters 1 through 97 correspond with the International System of Numbering, with chapter 77 being blank. An additional chapter, 98, is used for special classification provisions that apply only to U.S. exports. The 10-digit Harmonized System-Based Schedule B codes (commodity numbers) comprise these chapters. There are approximately 9,000 of these 10-digit classification codes in the 2007 edition of Schedule B. The definitions for these codes are as follows:

Code	Definition	Example
07	Chapter in which a commodity is classified	Chapter 7, Edible Vegetables and Certain Roots and Tubers
0713	Represents the heading in that chapter	Dried Leguminous Vegetables, Shelled, Whether or not Skinned or Split
0713.10	Represents the Harmonized System code subheading	International Harmonized Code for Peas (Pisum Sativum)
0713.10.4020	Represents statistical subdivisions	Commodity Code for Green Peas

Classifying Commodities Cont'd.

Locating the Correct Schedule B Number

The table of contents of the Schedule B manual lists all of the sections and chapters with their descriptions. This will serve as a guide to the general area in which a commodity may be classified. The Schedule B manual also contains an alphabetical index that indicates the first six digits or six-digit range of the 10-digit Schedule B numbers for the listed item. Although only the first six digits of the Schedule B number are given in the index, the complete 10-digit code must be used in reporting export shipments. The only purpose of the index is to assist in locating the part of the document in which a particular classification can be found. Failure to find the item in the index does not relieve the shipper of the responsibility for locating the correct Schedule B number for the item being reported.

After locating the description and six-digit code for an item in the alphabetical index, the USPPI then searches for that numerical sequence in the body of the Schedule B. After reading all pertinent section, chapter, and statistical notes, the USPPI should assign the appropriate 10-digit Schedule B number.

In cases where the USPPI is unable to locate an item in the alphabetical index, one of two methods of assigning a Schedule B number may be chosen. If the HTSUSA number is known, in most cases it may be reported in lieu of the Schedule B number. The item also may be located in the Schedule B numeric sequence by referring to the table of contents in the front of the Schedule B and locating the appropriate chapter, and subsequently, the correct Schedule B number. The General and U.S. Rules of Interpretation and Definitions, as well as the notes appearing in the sections and chapters of Schedule B, should be reviewed before attempting to locate the correct commodity number.

If you need assistance with Schedule B classifications call 800-549-0595 and select Option 2.

Reporting Requirements

Not Elsewhere Specified or Included (n.e.s.o.i.). If a Schedule B number has been located that seems to apply to the commodity being classified, but the description for the number carries the limitation n.e.s.o.i., the commodity number should not be used until a check has been made to determine whether there is a classification elsewhere into which the item will fit more specifically. Other classifications under the same general heading should be examined.

Double Units of Quantity. When two units of quantity are specified in the “Unit of Quantity” field for a Schedule B classification, both primary (1st) and secondary (2nd) quantities are required to be reported in the AES.

Classifying Commodities Cont'd.

Shipping Containers. When shipping containers are exported as merchandise for sale or transfer of ownership abroad, they must be reported on export declarations under the appropriate Schedule B commodity number for the particular type of container. However, in accordance with the FTR, shipping containers are not considered to be exported when they are moving, either loaded or empty, strictly in their capacity as carriers of merchandise, i.e., as instruments of international traffic, not for sale or transfer from U.S. ownership or title to foreign ownership or title. Therefore, containers leaving the United States strictly as instruments of international traffic do not have to be reported in the AES. If for any reason a USPPI wishes to report the movements of such containers on export declarations, they may be reported under Schedule B number 9801.20.0000. This classification is not to be used to report the contents of the containers. Contents of such containers are to be reported under the appropriate classification(s) for the merchandise.

Commodities Donated for Relief or Charity by Individuals or Private Agencies. Chapter 98 provides for exports of certain commodities donated for relief or charity by individuals or private agencies. In general, except for bulk grain, such classifications are provided for those commodities that are known to be, or are likely to be, exported for relief or charity in fairly sizable amounts. In addition to chapter notes for Chapter 98, please read the chapter notes for Chapters 1 through 16, 21, 30, and 63, to ensure that relief or charity shipments are correctly classified.

Reporting the Value of Repairs and Alterations. USPPIs and authorized agents must report, under Schedule B number 9801.10.0000, the value of repairs and alterations made on articles previously imported for such purposes. These articles must be reported as domestic merchandise, and the value to be reported must represent the total value of repairs and alterations made in the United States. Even if the customer pays no fees or charges, you must report the actual or estimated cost of repairs to the USPPI. The original or current value of the article that was imported, to be repaired or altered must NOT be reported and therefore should not be included in the value reported for commodity number 9801.10.0000.

Export of Articles Previously Imported for Processing. Articles exported after having been imported temporarily under bond for processing (HTS 9813.00.0520) must be reported as domestic merchandise. The Schedule B number assigned must be selected from Chapters 1 through 97, according to the exported article. The Value reported must be the total value of the article.

Classifying Commodities Cont'd.

Using the Correct Export Information Code. The export information code is a 2-digit code reported in the AES that represents the reporting requirement and nature of the shipment and merchandise being exported. The Export Information Codes are located at the following website:

http://www.cbp.gov/xp/cgov/trade/automated/aes/tech_docs/aestir/june04_intro/appendices/

The most common Export Information Codes that are misreported:

- Temporary Exports of products that will be returned to the U.S. in the same condition within one year, should be reported as “TE”
- Personal goods and household effects, including furniture, clothing, tools, and other effects should be reported as “HH”
- Shipments to the U.S. Armed Forces for their exclusive use should be reported as “MS”

Using the Correct Country of Ultimate Destination Code. The country of ultimate destination is the country in which goods are to be consumed or further processed or manufactured. The list of valid Country Codes can be found at:

<http://www.census.gov/foreign-trade/schedules/c/country4.txt>

The most common Country of Ultimate Destination that are misreported:

- Country Code for **Ireland** is **IE**
- Country Code for **Italy** is **IT**
- Country Code for **Iran** is **IR**
- Country Code for **Iraq** is **IQ**

Helpful Hints to Avoid Reporting Problems

- Read the full Schedule B Description before selecting a 10-digit code
- Report the correct Unit of Quantity as required in the Schedule B Book
- Select Domestic or Foreign for the Product type

Kimberley Process For Rough Diamonds

What is the Kimberley Process?

The Kimberley Process is the international initiative launched in 2003 designed to prevent rough diamonds from being used to finance such brutal civil wars that occurred in the diamond-producing countries of Sierra Leone, Liberia and Angola in the 1990s. The process aims to prevent these “blood diamonds” from entering the mainstream rough diamond market, established while helping to protect the legitimate trade in rough diamonds.

The 74 countries, which participate in the Kimberley Process, agree to trade rough diamonds only with other countries in the organization. Diamonds must be shipped with a valid Kimberley Process certificate (KPC) and must be in tamper-resistant containers. Natural rough diamonds are those commodities classified under Harmonized System subheadings 7102.10, 7102.21, and 7102.31.

What are the requirements of a rough diamond USPPI?

- Rough diamonds may only be exported to countries, which participate in the Kimberley Process. A current list of those countries can be found at: www.kimberleyprocess.com.
- The FTR require all exports and re-exports of rough diamonds be filed electronically via AES. Furthermore, the regulations state that the KPC number must be entered in the license number field excluding the two-digit U.S. ISO country code.
- The USPPI or brokers, of rough diamonds, must fax a copy of all Kimberley Process certificates (including voided certificates) to the U.S. Census Bureau at: 1-800-457-7328.
- Rough diamond USPPIs or brokers must retain records of all KPC for five years.
- As of September 2008, rough diamond USPPIs must file an annual report including total export activity and stockpile information via email to: USKimberleyProcess@state.gov. Beginning in 2009, reports will be due annually on April 1.

Do I need a Kimberley Process certificate?

The USPPI needs a KPC to export rough diamonds including gem quality or industrial diamonds that are unworked or simply sawn, cleaved or bruted, which are classified under Harmonized System subheadings 7102.10, 7102.21, and 7102.31.

How do I obtain a Kimberley Process certificate?

KPCs are only available from entities licensed by the U.S. Kimberley Process Authority (USKPA). To obtain a USKPA license, contact the USKPA at the offices of the Jewelers Vigilance Committee at 212-997-2002.

Guide to Using a U.S. Authorized or Forwarding Agent

Definitions of an authorized or forwarding agent

An authorized agent as defined in the FTR is an individual or legal entity physically located in or otherwise under the jurisdiction of the United States that has obtained power of attorney or written authorization from a USPPI or FPPI to act on its behalf, and to complete and file EEI. The FTR defines a forwarding agent as the party in the United States who is authorized by the U.S. or Foreign Principal Party in Interest to facilitate the movement of the cargo from the United States to the foreign destination and/or prepare and file the required documentation. There are situations when an agent or a forwarder is used in an export transaction. However, some companies handle both agent and forwarder responsibilities. The following are examples to show the differences between an agent and a forwarder.

- The USPPI authorizes an agent to file EEI via the AES on their behalf and further selects a forwarder to move the cargo to the port of export;
- The USPPI authorizes an agent to file and that same agent is responsible for facilitating the movement of the cargo to the port of export;
- The FPPI authorizes the U.S. forwarder to facilitate the movement of the cargo only. However, the FPPI may authorize the USPPI to prepare and file the EEI via the AES. The FPPI must provide the USPPI written authorization to file the shipment on the FPPI's behalf;
- The FPPI authorizes their U.S. forwarder to facilitate the movement of the cargo and file the EEI. The USPPI is responsible for providing the U.S. forwarder with their company and commodity information [See FTR 30.3(e)].

Getting to know your U.S. authorized or forwarding agent

The USPPI should seek to use agents or forwarders that utilize industry best practices and work towards building and maintaining successful relationships. In addition, it is recommended that the USPPI establish strong communication with the management of the agent or forwarding company. This relationship may assist in resolving issues in a timely manner. This is essential to filing complete and accurate export transactions. The FTR emphasizes that all parties involved are responsible for the export requirements process. If the USPPI and their agent maintain an open line of communication this will help to ensure that companies achieve export compliance. A few ways to do this is by scheduling quarterly visits to see how the agent or forwarder manages its operations. This visit may include conducting a walk through of the daily operations along with reviewing the steps involved in the AES process. If the USPPI cannot visit the agent or forwarder, both parties should maintain contact via the telephone, email, or fax.

In addition to visiting an agent's or forwarder's facility, it is also recommended that the USPPI perform an audit of their export process twice a year. This should involve comparing EEI with invoices and other shipping documents. By auditing, the USPPI is able to reconcile EEI with any discrepancies, which can be resolved through corrections or Voluntary Self Disclosures. (See page 27 for specific instructions). Another way to ensure the accuracy of export information is to provide the agent or forwarder with the Schedule B/HTSUSA number and the description of the commodities being shipped.

Guide to Using a U.S. Authorized or Forwarding Agent Cont'd.

This is helpful if the same commodities are exported on a regular basis. This commitment to the business relationship ensures that the USPPI, agent, or forwarder maintain compliance with export reporting requirements.

All parties must comply with the FTR record retention requirements of five years for export documents, in accordance with FTR 30.10. The following are examples but not all inclusive:

- Power of Attorney (Either electronic or paper copy)
- EEI reported via the AES
- Invoices
- Licenses
- Pertinent Export Documents

The USPPI should maintain a “checks and balance” system for keeping an account of the number of shipments that the agent or forwarder filed on its behalf. If a working relationship has not been established it may be difficult to obtain verification for your EEI. The FTR, Section 30.3 grants the USPPI the right to request a copy of the information filed. It is the responsibility of the agent or forwarder to provide such documentation. The agent or forwarder is responsible for providing the documentation to the USPPI in accordance with the FTR. If the agent or forwarder does not want to provide the information, the USPPI should contact the agent or forwarder and inform them that upon request they are required by the above citation. The USPPI should keep a record of all the attempts requesting the AES information. If the USPPI is still unable to obtain your EEI then contact the Regulations, Outreach and Education Branch of the Foreign Trade Division on 800-549-5495 and select Menu Option 3. A staff member will work with you to resolve the problem.

In Summary:

- Build relationships with your agent or forwarder;
- Schedule quarterly visits;
- Conduct an export process audit twice a year;
- Establish a point of contact;
- Develop procedures for record retention.

The next three pages include a sample power of attorney, written authorization and invoice. These samples can be used as references for creating or modifying your existing documentation.

Guide to Using a U.S. Authorized or Forwarding Agent Cont'd.

POWER OF ATTORNEY TO PREPARE OR TRANSMIT ELECTRONIC EXPORT INFORMATION

Know all men by these presents, that _____, the
(Name of U.S. Principal Party in Interest (USPPI))
USPPI organized and doing business under the laws of the State or Country of
_____ and having an office and place of business
at _____ hereby
(Address of USPPI)
authorizes _____, (Authorized Agent)
(Name of Authorized Agent)
of _____
(Address of Authorized Agent)

to act for and on its behalf as a true and lawful agent and attorney of the U.S. Principal Party in Interest (USPPI) for, and in the name, place, and stead of the USPPI, from this date, in the United States either in writing, electronically, or by other authorized means to: act as authorized agent for export control, U.S. Census Bureau (Census Bureau) reporting, and U.S. Customs and Border Protection (CBP) purposes. Also, to prepare and transmit any Electronic Export Information (EEI) or other documents or records required to be filed by the Census Bureau, CBP, the Bureau of Industry and Security, or any other U.S. Government agency, and perform any other act that may be required by law or regulation in connection with the exportation or transportation of any goods shipped or consigned by or to the USPPI, and to receive or ship any goods on behalf of the USPPI.

The USPPI hereby certifies that all statements and information contained in the documentation provided to the authorized agent and relating to exportation will be true and correct. Furthermore, the USPPI understands that civil and criminal penalties may be imposed for making false or fraudulent statements or for the violation of any United States laws or regulations on exportation.

This power of attorney is to remain in full force and effect until revocation in writing is duly given by the U.S. Principal Party in Interest and received by the Authorized Agent.

IN WITNESS WHEREOF, _____ caused these
(Full Name of USPPI/USPPI Company)
presents to be sealed and signed:

Witness: _____ Signature: _____
Capacity: _____
Date: _____

Guide to Using a U.S. Authorized or Forwarding Agent Cont'd.

WRITTEN AUTHORIZATION TO PREPARE OR TRANSMIT ELECTRONIC EXPORT INFORMATION

I, _____, authorize
(Name of U.S. Principal Party in Interest)
_____ to act as authorized agent for
(Name of Authorized Agent)

export control, U.S. Customs, and Census Bureau purposes to transmit such export information electronically that may be required by law or regulation in connection with the exportation or transportation of any goods on behalf of said U.S. Principal Party in Interest. The U.S. Principal Party in Interest certifies that necessary and proper documentation to accurately transmit the information electronically is and will be provided to the said Authorized Agent. The U.S. Principal Party in Interest further understands that civil and criminal penalties may be imposed for making false or fraudulent statements or for the violation of any U.S. laws or regulations on exportation and agrees to be bound by all statements of said authorized agent based upon information or documentation provided by the U.S. Principal Party in Interest to said authorized agent.

Signature: _____
(U.S. Principal Party in Interest)

Capacity: _____

Date: _____

Guide to Using a U.S. Authorized or Forwarding Agent Cont'd.

SAMPLE COMPANY INVOICE

XYZ Company

9196 Silver Lane
 Jacksonville, FL 32210
 USA
 904.777.1212
www.xyzcomp.com
 Federal Tax ID: 511422633

Job Number: 14451
 Contract order No: JFPR2461
 Date of sale: MM/DD/YYYY
 Date of export: MM/DD/YYYY
 Shipped By: United Airlines, Tampa International

Consignee Address
 British Computer Co.
 5556 Victoria Lodge #11
 London
 Great Britain

SAMPLE

ITEM	DESCRIPTION	QTY	UNIT PRICE	TOTAL PRICE
1	Ionographic Printer Unit 8443.32.1060	10	\$2,653.43	\$26534.30 U.S.D.
2	Ink Jet Printer Unit 8443.32.1040 Origin: U.S. Weight: 158.76 KG BIS License: B191396 BIS ECCN: 1A234 Joe Smith, Customer Administrator	5	\$1,500.00	\$7500.00 U.S.D.
<i>These goods remain the property of XYZ Company until XYZ Company receives payment in full</i>			TOTAL USD	\$34,034.30

Exports from Foreign Trade Zones

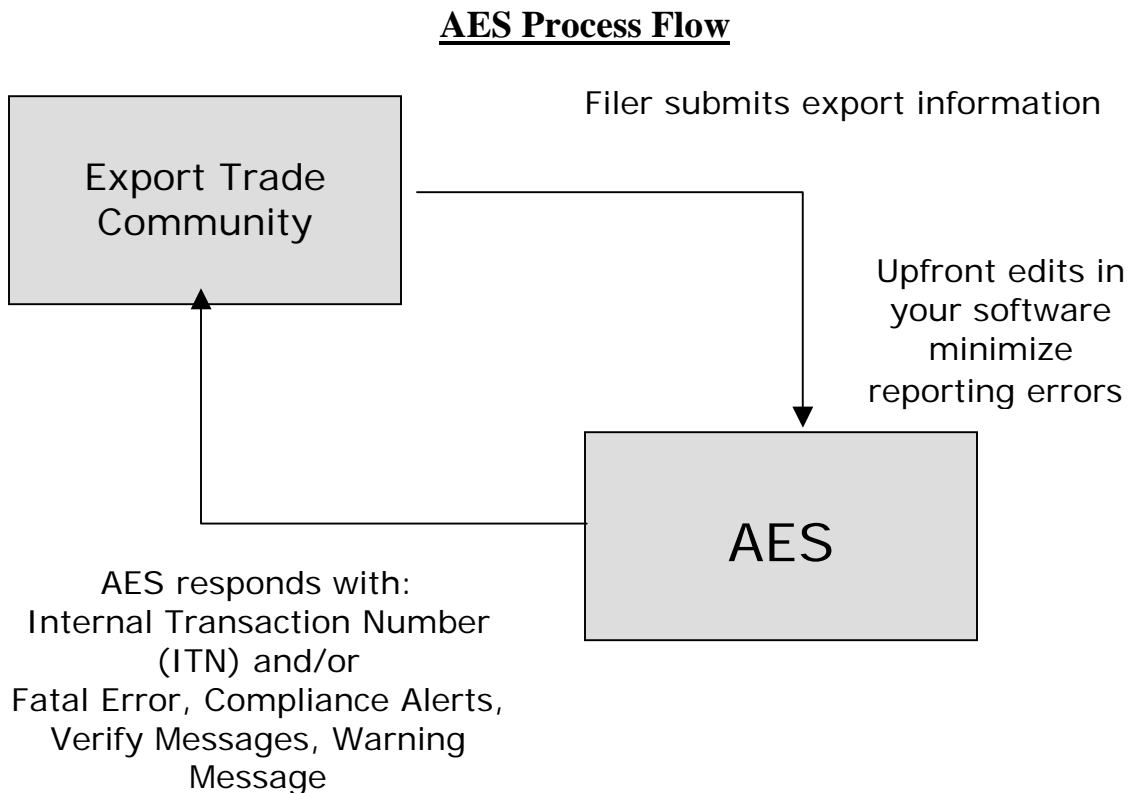
A Foreign Trade Zone (FTZ) is a restricted access site in or adjacent to a Customs port of entry. Authority for establishing these facilities is found in the Foreign Trade Zones Act of 1934, as amended 19 USC 81a-81u (Act or FTZA). The purpose of foreign-trade zones as stated in the Act is to “expedite and encourage foreign commerce and other purposes.” The act is administered in a context of evolving U.S. economic and trade policy and economic factors relating to international competition.

For the Census Bureau statistical reporting purposes, all merchandise removed from FTZs for export out of the United States must be reported in the same manner as all other exports at the Customs port of export electronically using the AES. For exports out of the United States, zone USPPIs must follow the instructions in the FTZ Manual, Chapter 9, subpart 9.12(a), and the Census Bureau’s FTR 30.2 and 30.52 which contain provisions for the electronic filing of export information via the AES. There are concerns among the Census Bureau and the CBP Officials that merchandise is being exported from FTZs without the proper export documents being filed with CBP at the port of export. FTZ USPPIs, forwarding agents, and carriers are reminded that, in addition to adhering to the CBP regulations and FTZ operating procedures, they must also adhere to all Federal Government export laws and regulations that apply to the exportation of merchandise from the United States.

For Customs purposes, zone operators are also required to follow appropriate Customs Regulations in Title 19 CFR, Part 146, and the FTZ Manual regarding admission of merchandise into the FTZ and the transfer of merchandise out of the FTZ, either for consumption within the United States or for exports out of the United States. In general, merchandise must be transferred out of the FTZ on a CF-7512, “Transportation Entry and Manifest of Goods Subject to Customs Inspection and Permit.” If the merchandise is being exported out of the United States, companies must file their export information via the AES.

AES Process Flow

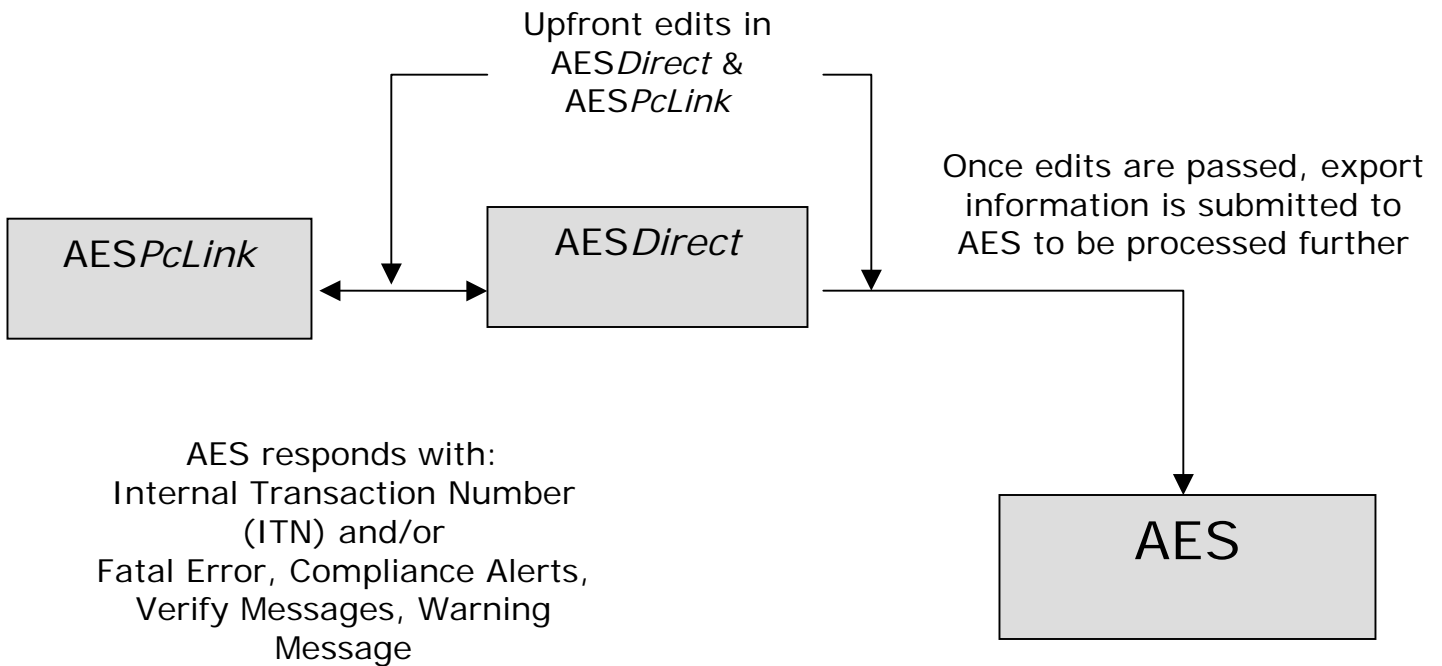
Below is an illustration of what happens when you transmit EEI from your software into the AES. The AES filer transmits the export information into the AES. It is strongly recommended that the AES filer has upfront edits that will catch missing or incorrect information before the EEI is transmitted to the AES mainframe. Once the EEI has passed your internal edits, the AES will then process your shipment further and send the AES filer a response message, which may include an ITN, fatal response, compliance alert, verify or warning message. Once the AES filer receives the response message, they must decide how to proceed based on the instructions provided on the previous page, entitled “Response Messages from AES.”



AESDirect/AESpLink Process Flow

Below is an illustration of what happens when you transmit EEI through *AESDirect*. The AES filer transmits the export information into the *AESDirect* and then the EEI is passed to the AES mainframe. *AESpLink* and *AESDirect* have upfront edits that will minimize your chance of receiving a fatal response. Once the EEI has passed the *AESDirect* and *AESpLink* edits, the EEI is submitted to the AES for further processing. The AES mainframe will send the AES filer a response message through an email, the shipment reporting center, and the *AESpLink* software (when automated response is enabled). Once the AES filer receives the response message, they must decide how to proceed, based on the instructions provided on the previous page entitled "Response Messages from AES."

AESDirect/AESpLink Process Flow



Response Messages from the AES

In the AES there are filing response messages that are generated to alert the filer when data are accepted, inconsistent, invalid or incomplete. The possible response messages that can be generated include fatal, warning, compliance, verify, and informational messages. The response messages must be reviewed immediately and appropriate action must be taken, if needed. Instructions on how to resolve the various response messages can be found in the AES Trade Interface Requirements (AESTIR), under June 2004 Appendices, at the following CBP website: http://www.customs.gov/xp/cgov/trade/automated/aes/tech_docs/aestir/ titled Appendix A. In Appendix A you will find a narrative text that gives a description of the error response message, the reason the error was generated, the data elements impacted, and instructions on how to resolve the error.

Shipments successfully reported into the AES will receive a confirmation number, called the Internal Transaction Number (ITN). This number is your proof that your shipment has passed the AES edits and has been accepted. The ITN always begins with an X, followed by the 4-digit year, 2-digit month, 2-digit day and 6-digit random identifier generated by AES. Although the ITN is linked to your Filer ID and Shipment Reference Number, these are not printed or shown in the response message to protect your privacy and data security. Shipments with compliance alert(s), warning, verify or informational message(s) will still receive an ITN. Shipments with fatal error messages will not receive an ITN.

Sample ITN: X20080924581949

Below are the AES Response Code Identifiers, the requirement for resolution and the top responses for each message. These response code identifiers are returned to the AES filer in the AES output record, along with the specific Response Code and message.

F = Fatal Error

Shipments with a Fatal Error Message have not been accepted by AES. The AES output record will display the Response Code "F" and the Response Code Message. Shipments with Fatal Error Message(s) must be corrected prior to the cargo leaving the U.S. or prior to the tenth day after exportation if the USPPI is approved for postdeparture filing.

When you receive notice of a Fatal Error Message from the AES, this means that your export shipment was rejected and you have not actually filed; therefore, your shipment was not added to the CBP database and cannot be viewed by the CBP inspectors. Your cargo may be subject to delay, seizure, fines or penalties. Immediate attention to correcting such errors is therefore in your company's best interests.

Response Messages from the AES Cont'd.

Below are examples of the most common Fatal Error Messages reported via the AES:

Fatal Error 256 USPPI Postal Code Not Valid for State

This error occurs frequently in Routed Transaction shipments, when a Foreign Country Postal Code is reported instead of a U.S. Postal Code. The Postal Code must be the Postal Code for the USPPI address (reflecting a U.S. Postal Code). It must be reported as either five numeric digits followed by four spaces or nine numeric digits. The state code must match the state associated to the postal code.

Fatal Error 649 “Quantity 1” Cannot Exceed Shipping Weight

This error occurs, for example, when the “Unit of Measure 1” requires KG (kilograms) and the net quantity exceeds the shipping weight. The Shipping Weight must always be expressed in kilograms and equal the net kilograms plus the weight of the packing materials. Shipping weight cannot be less than net weight when the unit of measure is expressed in kilograms.

W = Warning

Shipments with a Warning Message must be corrected within 4 days from the date of transmission. The only Warning Message in AES is Response Message 341 – “Ultimate Consignee Must be Reported in Four Days” for shipments flagged as “Sold En Route.”

C = Compliance Alert

Shipments with a Compliance Alert Message were filed late and/or a postdeparture change was made to certain elements in the shipment. Receiving a Compliance Alert Message means that your shipment is in violation of the export reporting requirements. You cannot correct a Compliance Alert Message. If a filer consistently receives Compliance Alert Messages, then the filer must identify and correct certain business practices that lead to these alerts. Otherwise, the filer may be subject to delays, fines and/or penalties.

Below are examples of the most common Compliance Alerts reported via the AES:

Compliance Alert 700 Shipment Reported Late – Option 2 (Predeparture)

This error occurs when the date the EEI was received via the AES is greater or after the Date of Export reported in the shipment.

Compliance Alert 701 Shipment Reported Late – Option 4 (Postdeparture)

This error occurs when the date of EEI was received via the AES is greater than 10 calendar days of the Date of Export reported.

Response Messages from the AES Cont'd.

V = Verify

Shipments with a Verify Message receive an ITN, but some information in question must be verified as correct. No further action is required if the information reported is verified and determined to be correct. If not correct, please make the necessary changes and resubmit.

Below are examples of the most common Verify Messages reported via the AES:

Verify Message 8H1	Value/Quantity1 out of range – High
Verify Message 8L1	Value/Quantity1 out of range – Low

The unit price is the value of the goods divided by the first quantity. These Verify Messages occur when the unit price for the goods reported falls outside of the U.S. Census Bureau's expected range. These ranges are determined by historical statistical averages per each Schedule B/HTSUSA number.

I = Informational

Shipments with an Informational message require no action. This is a non-critical response. The information noted is for your records only.

Below are examples of the most common Informational Messages reported via the AES:

Informational Message 176	DDTC License Now exhausted
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This Informational Message occurs when the DDTC license DSP5 has been fully decremented.

Informational Message 177	Original license to be lodged with CBP
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This Informational Message reminds the AES filer to present the original license to CBP.

Correcting Export Information in the AES

Based on FTR 30.9, the USPPI or their authorized agent is responsible for transmitting corrections, cancellations, or amendments to export shipment information previously transmitted using the AES. Corrections, cancellations, or amendments must be made as soon as they are known, whether before or after exportation.

Information known to be true at the time of export must be reported or an estimate provided. Should such information change after the export of the commodity, a correction must be made to the EEI filed. Corrections to the EEI can be made up to five years from the date of export. In order for corrected information to be included in a specific statistical year, corrections can be made on a 15-month sliding scale basis from the date of export. That means any shipment filed from January of a statistical year through December of that same year should be corrected in the AES until March 1 of the following year. For example, EEI submitted January 2008 through December 2008, may be corrected until March 2009. Corrections, without the necessity to make a VSD, may be made for changes or errors on a small number of shipments (i.e., 1, 5, 10). Additionally, failure to file export information on the shipment of goods prior to export may be entered in the AES on the 15-month sliding scale for a small number of shipments. Failure to file electronic export information before the end of the 15-month sliding scale will constitute the need for a VSD. Please refer to the FTR, Section 30.9 for corrections to the EEI. A VSD should not be used to report a routine correction to EEI.

Questions regarding corrections should be directed to the Regulations, Outreach and Education Branch at 800-549-0595, Menu Option 3 or at FTDRegs@census.gov.

When to Submit a Voluntary Self-Disclosure

The Census Bureau strongly encourages companies, without prompting from Federal agencies, to voluntarily and promptly disclose, and expeditiously correct all violations or potential violations of Title 15, Code of Federal Regulations, Part 30, the FTR. The Census Bureau recommends that Voluntary Self-Disclosure (VSD) be made for violations or potential violations going back at least five years. A VSD reflects due diligence by a USPPPI or authorized agent in detecting, and correcting potential violations when required information was not reported or when incorrect information was provided that violates the regulations. The VSD must be identified and submitted before the Census Bureau or another export enforcement Federal government agency identifies the problem.

Voluntary Self-Disclosures are made for potential violations of electronic export information submission and/or inadvertent recurring non-compliance errors of the regulations. Potential violations or non-compliant practices that are recurring over an extended period of time also should be submitted via a self-disclosure. For example, over a six-month period during 2008, electronic export information is not filed for numerous shipments (i.e., 10, 25, 50, 100, etc.) will constitute the need to file a voluntary self-disclosure as soon as the failure to file is discovered. Another example, is the consistent use of the wrong EIN for numerous shipments and/or over an extended period of time (i.e., 2, 3, 6, 9, months, etc.). If the shipment is licensed goods and a potential violation or non-compliant practiced occurs, a self-disclosure may be made regardless of the number of transactions or the time frame involved. Whether or not the non-compliant practice or violation is systematic (recurring), the volume of shipments involved, licensed goods, non-responsiveness to fatal errors, and late filing timeframes should be taken into consideration when determining whether or not to make a disclosure. Please refer to Section 30.74 of the FTR for regulatory requirements on voluntary self-disclosures.

Procedures for submitting a Voluntary Self-Disclosure to the Census Bureau are as follows:

1. Must be in writing, on company letterhead, and addressed to:

Chief, Foreign Trade Division
U.S. Census Bureau
4600 Silver Hill Road, Room 6K032
Washington, DC 20233-6700

2. The letter should include the following information:
 - a. The name of the person making the disclosure and contact information: address, telephone number, and email address, if applicable.
 - b. A description of the violation(s) or suspected violation(s) including the nature and extent of the violation(s).
 - c. An explanation of when and how the violation occurred.

When to Submit a Voluntary Self-Disclosure Cont'd.

- d. A description of all FTR-mandated information that was either unreported or reported incorrectly.
 - e. The complete identities and addresses of all individuals and organizations, whether foreign or domestic, involved in the activities associated with the violation(s).
 - f. A description of corrective measures applied to resolve the violation(s) that occurred and steps taken to prevent a recurrence of the violation(s).
 - g. A description of any mitigating circumstances that should be considered.
3. Once a VSD is submitted, a staff person in the Regulations, Outreach, and Education Branch, Foreign Trade Division, will communicate with the point of contact listed in the disclosure document to determine actions to be taken.

Please note the following:

1. Disclosures should be made of suspected violations that involve export of items controlled, licensed, or otherwise subject to export control or enforcement jurisdiction by a department or agency of the federal government. These disclosures should be made to the appropriate federal department or agency, in addition to the VSD required by the Census Bureau.
2. All VSDs will be forwarded to the appropriate agency.
3. Questions regarding when voluntary self-disclosures should be made to the Regulations, Outreach, and Education Branch on 800-549-0595, Menu Option 3 or at FTDRegs@census.gov.

Review Your AES Compliance and Fatal Error Reports

The U.S. Census Bureau monitors and reviews data filed through AES for quality and timeliness. The Foreign Trade Division sends monthly Compliance Reports and a bimonthly Fatal Error Reports. It is strongly recommended that companies filing via the AES closely monitor these reports to ensure export compliance. We strongly encourage you to include a section in your manual on the AES reports to stress their importance and effectiveness. Reports should be reviewed and monitored for accuracy.

Compliance Report

On the AES Compliance Report, a compliance rate is calculated for the current statistical month. The compliance rate is calculated by dividing the Number of Compliance Alerts (designated on the report) by the Number of Shipments, subtracted from 100%. If your Compliance Rate is below 95%, we strongly recommend that your company implement measures to improve its compliance rate level and prevent or correct identified problem areas. A compliance rate below 80% may trigger a visit from Census Bureau staff as a part of its AES Compliance Review Program.

For example:

Number of Shipments for **Month, Year**: 100

Shipments with compliance alerts for **Month, Year**: 3

Compliance Rate for **Month, Year**: 97.00%

Receiving a compliance alert means that your shipment is in violation of the export reporting requirements. If a filer consistently receives compliance alerts, then the filer must identify and correct certain business practices that lead to these alerts. Otherwise, the filer may be subject to a visit from the Census Bureau staff, delays, fines and/or penalties. The most common compliance alert is “Shipment Reported Late.”

Verify messages generated by the filer are also included in the Compliance Report. The common Verify messages are “Value/Quantity out of range” and “Shipping Weight/Quantity out of range.” Shipments with a Verify Message receive an ITN and are not counted against your Compliance Rate, but some information in question must be verified as correct. No further action is required if the information reported is verified. If not correct, please make the necessary correction and resubmit the shipment.

Fatal Error Report

Another critical issue for maintaining exporting compliance is to promptly correct all fatal errors. To assist AES filers, the AES Branch sends out bimonthly Fatal Error Reports to filers showing their unresolved fatal errors. Under 15 CFR part 30.9, AES filers are required to correct fatal errors prior to exportation of the merchandise or prior to the tenth day after exportation if the USPPI is an approved postdeparture filer. An AES export transaction receiving a fatal error is

Review Your AES Compliance and Fatal Error Reports Cont'd.

rejected by AES and an ITN is not generated. Without the ITN, the transaction has not been accepted, and the filer has not met their reporting requirement. It is the filer's responsibility to ensure that all AES transactions receive an ITN.

Many companies develop a database of AES shipments that receive fatal error messages. Other company's software has been developed to stop their process until the fatal error is resolved and an ITN is returned. It is important that fatal error messages are resolved as soon as possible. If your company continues to be noncompliant after repeated warnings, you may be subject to fines, seizures, and/or penalties or revocation of your AES filing privileges.

Instructions for Export Data Request

The FTD's Regulations, Outreach and Education Branch, upon written request from the AES filers or United States Principal Parties in Interest (USPPI), will provide the filers with validated records of their AES submissions. This initiative will assist companies conducting internal audits, which will result in improved reporting and data in the AES. A company is given 12 months of data free of charge every 365 days. If the filer requests more than 12 months of data in a 365 day time period, the company will be charged a fee for every extra month over the twelve. The encrypted files will be provided to the private companies, via the Census Bureau's File Transfer Protocol (FTP) Server.

Data Requests should include the following:

1. The private company must submit a request on company or agency letterhead.
2. The request must include: Reason for request (ie. internal company audit, agency investigation; Employer Identification Number (EIN)(s); Whether USPPI or Freight Forwarder; Contact Information: Name, Address, Phone Number, Fax Number, and Email Address, and Signature

The letter must be dated. Please include the company name for each EIN submitted. Please note if the Company name(s) submitted on the letter does not match the EIN, the data will not be included within the request.

3. The letter should be mailed to:

Chief, Regulations, Outreach, and Education Branch
U.S. Census Bureau
4600 Silver Hill Road - Room 6K125
Washington, DC 20233

4. The letter can also be faxed on 301-763-8835 (If faxing, please send to the attention of Chief, Regulations, Outreach and Education Branch)

5. The check should be made out to Commerce/Census/FTD and be sent to the attention of:

Chief, Regulations, Outreach, and Education Branch
4600 Silver Hill Road, 6K125
Suitland, MD 20746 (if sent by FedEx) or Washington, DC 20233 (Regular Mail)

Software Enhancements

Software Selection

The software (proprietary or purchased) used to file in AES should contain certain edits that will flag/reject invalid export information before it is submitted. Make sure the software vendor or service center have been authorized by a U.S. Customs Border & Protection client representative. If not authorized, the software vendor must submit a Letter of Intent to the Census Bureau. A client representative will be assigned to test and validate the software. Upon receiving your assigned client representative allow 2-3 weeks for testing.

There should be recommended edits, for example, “Missing value”, if the product value is missing, the selected software should reject the shipment, requiring the filer to correct the error before it is transmitted to AES. Once the errors are identified, correct them immediately. Companies must ensure that they have current updates to code tables as well as the most recent error messages from Appendix A of the Automated Export System Trade Interface Requirements are built in the software. This allows a company to be proactive in identifying errors before the EEI is transmitted.

If you use the standard-edition *AESPCLink* software, you must update the software and tables on all individual computers using the software. If you use the network-edition (LAN) software, your network administrator must update the software and tables for all users. We recommend that you perform the update functions at least once per month, or more often if you experience coding errors. Make sure you pay close attention to broadcast messages from the AES Branch and notices placed on the *AESDirect* web site regarding updates to the *AESPCLink* software. To update the *AESPCLink* software, click on Tools – then, click on Update *AESPCLink* software. To update the AES Code Tables, such as Port of Export, Carrier Codes, etc., click on Tools – then, click on AES Code Tables. If any of the code tables are outdated, then *AESPCLink* will allow you to update those tables.

Daily Reports

Develop or purchase software that has the capabilities of identifying unresolved error responses by running specific reports based on different types of criteria. For example, the software could generate a report for “Shipments without an ITN,” “Shipments with an ITN,” “Shipments pending response,” “Shipments reported over 24 hour time period,” etc. these reports gives the filer a snap shot of their progress with compliance alerts, fatal errors, verify messages, etc. If you are a USPPPI with an authorized agent that files on your behalf, request that your agent provide you with reports of these types.

Export Checklist

Develop a checklist that identifies what the staff must do prior to submitting a shipment transaction via the AES. A checklist provides a tool for collecting information and establishing steps and procedures to ensure that your organization complies with FTR and with export regulations of other government agencies. The following are some examples of the items that should appear on your checklist:

- Ensure that goods have proper licenses, if necessary (See the References section for government agency Websites),
- Check the consignees name against the Denied Parties List (See the References section for government agency Websites).
- Verify that the ultimate destination is not a sanctioned country (See the References section for government agency Websites),
- Confirm that an ITN is received for each shipment submitted (An External Transaction Number can no longer be used),
- Take appropriate action to correct all fatal errors,
- Determine the filing deadline, based upon the estimated date of departure
 - Predeparture filers must file prior to export based on the mode of transportation:
 - Vessel: 24 hours prior to loading cargo
 - Air: 2 hours prior to scheduled takeoff
 - Truck: 1 hour prior to truck arriving at the U.S. border
 - Rail: 2 hours prior to train arriving at the U.S. border
 - Mail/Other: 2 hours prior to departure
 - Note: ‘Other’ includes passenger/hand carried
 - Pipeline: prior to departure or postdeparture on the condition that the pipeline operator provide CBP Port Director proof of filing citations, exemption or exclusion legends within four calendar days following the end of each calendar month.
 - If the USPPPI is an approved Postdeparture filer, the USPPPI or authorized agent must file within 10 working days of exportation,
- Verify that the commodity classification code is from the current Schedule B/HTSUSA manual,
- If using HTSUSA codes, check to see if the code is not on the “HTS not for us in AES” list located at the following website:
<http://www.census.gov/foreign-trade/aes/documentlibrary/hts-not-for-aes.html>
- Ensure the classification code properly identifies the commodity being shipped, and
- Verify that the commodity code is 10 digits with no embedded spaces or characters.

Acronyms

There are many common acronyms and abbreviations used by the trade community and government agencies regarding the export process. Below is a list of the most common acronyms for your reference:

AES	Automated Export System
AESTIR	Automated Export System Trade Interface Requirements
BIS	Bureau of Industry and Security
BOL	Bill of Lading
CBP	U.S. Customs and Border Protection
CCL	Commerce Control List
CFR	Code of Federal Regulations
DDTC	Department of State, Directorate of Defense Trade Controls
DUNS	Data Universal Numbering System (Dun & Bradstreet Number)
EAR	Export Administration Regulations
ECCN	Export Control Classification Number
EEI	Electronic Export Information
EIN	Employee Identification Number
FPPI	Foreign Principal Party in Interest
FTD	Foreign Trade Division
FTR	Foreign Trade Regulations
FTZ	Foreign Trade Zone
HTSUSA	Harmonized Tariff Schedule of the United States Annotated
IATA	International Air Transport Association
ISO	International Standards Organization
ITA	International Trade Administration
ITAR	International Traffic in Arms Regulations
LOI	Letter of Intent
NMFTA	National Motor Freight Traffic Association
OEA	Office of Enforcement Analysis
OEE	Office of Export Enforcement
OFAC	Office of Foreign Assets Control
SCAC	Standard Carrier Alpha Code
Sch B	Schedule B number
USC	United States Code
USITC	U.S. International Trade Commission
USML	U.S. Munitions List
USPPI	U.S. Principal Party in Interest
VSD	Voluntary Self-Disclosure

References

Contact Information

- FTD Census Call Center 800-549-0595
 - AES Help Desk–Option 1
 - For help with AES filings, fatal errors, compliance and fatal error reports, downtime policy, etc.
 - Schedule B Classification Assistance–Option 2
 - For help with your classification of Schedule B/HTSUSA numbers for merchandise exported out of the country and information on data discrepancies of published trade statistics
 - Regulations Assistance–Option 3
 - For help with clarification of the Foreign Trade Regulations, responsibilities of parties in export transactions
- *AESDirect* Technical Support 877-715-4433, Ext. 6 or 301-562-7790, Ext. 3
 - For help with technical problems with *AESDirect* or *AESPCLink*, username, passwords and/or administrator codes

For help with Licensing, License Exemptions, and export requirements issued by the agency

- U.S. Customs & Border Protection – 202-344-3277
- Bureau of Industry and Security
 - Commerce License Help Desk – 202-482-4811
 - Western Regional Office – 949-660-0144 or 408-351-3378
- U.S. State Department, Directorate Defense Trade Controls – 202-663-1282
- U.S. Department of Treasury, Office of Foreign Asset Control – 202-622-2480

References Cont'd.

Useful Websites

AES Data Elements Reference Table

<http://www.census.gov/foreign-trade/regulations/forms/sedreftable.pdf>

Commodity Filing Response Messages Appendix A (AES Error Messages)

http://www.customs.gov/linkhandler/cgov/trade/automated/aes/tech_docs/aestir/june04_intro/appendices/apndx_a.ctt/apndx_a.doc

Export Compliance Quick Link to Field Questions on CCL/USML (Brief overview)

<http://www.bis.doc.gov/licensing/exportingbasics.htm>

Harmonized Tariff Schedule of the United States Annotated

<http://www.usitc.gov/tata/hts/bychapter/index.htm>

Instructions for Resolving Fatal Errors

<http://www.census.gov/foreign-trade/aes/documentlibrary/fatals.html>

Lists to Check Before Exporting

<http://www.bis.doc.gov/ComplianceAndEnforcement/ListsToCheck.htm>

Routed Export Procedures- FTR Section 30.3

<http://www.census.gov/foreign-trade/regulations/regs/regulations20080602-federalregister.pdf>

Schedule B

<http://www.census.gov/foreign-trade/schedules/b/index.html>

Trade Restrictions & Sanctions

<http://www.treas.gov/offices/enforcement/ofac/>

References Cont'd.

Government Agencies

NOAA's National Marine Fisheries Service - Authorization to Import/Export Pre-Act Marine Mammal Parts/Products

http://www.nmfs.noaa.gov/pr/permits/parts_instructions.htm

U.S. Army Corps of Engineers

www.iwr.usace.army.mil

U.S. Bureau of Industry and Security

www.bis.doc.gov

U.S. Census Bureau, Foreign Trade Division

www.census.gov/trade

U.S. Customs and Border Protection

www.cbp.gov

U.S. Department of Agriculture - Exporting Regulations and Policies

http://www.usda.gov/wps/portal/!ut/p/s.7.0.A/7.0.1OB?navid=EXPORTING_GOODS&parentnav=MARKETING_TRADE&navtype=RT

U.S. Department of Agriculture, Foreign Agricultural Service

<http://www.fas.usda.gov/>

U.S. Department of Agriculture - Importing Regulations and Policies

http://www.usda.gov/wps/portal/!ut/p/s.7.0.A/7.0.1OB?navid=IMPORTING_GOODS&parentnav=MARKETING_TRADE&navtype=RT

U.S. Department of State, Directorate of Defense Trade Controls

<http://www.pmdtc.state.gov/>

U.S. Department Treasury, Office of Foreign Assets Control

<http://www.treas.gov/offices/enforcement/ofac/index.shtml>

References Cont'd.

Regulatory Websites

Export Administration Regulations
http://www.access.gpo.gov/bis/ear/ear_data.html

Foreign Trade Statistics Regulations
<http://www.census.gov/foreign-trade/regulations/regs/index.html>

International Traffic in Arms Regulations
http://www.pmddtc.state.gov/itar_index.htm