



**U.S. Customs and  
Border Protection**

# **Customs and Border Protection International Trade Data System Concept of Operations**

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## Executive Summary

This document, the U. S. Customs and Border Protection (CBP) International Trade Data System (ITDS) Concept of Operations (ConOps), was requested by the Automated Commercial Environment (ACE) Executive Steering Committee, to pave the way for future ACE funding and development. It was developed by a CBP Task Force Team under the auspices of the Office of International Trade (OT), and included members actively engaged from the Office of Administration (OA), Office of the Commissioner (OC), Office of Field Operations (OFO), Office of Information and Technology (OIT), and Office of Intelligence and Operations Coordination (OIOC). Members of the Trade and representatives of Participating Government Agencies (PGAs) were invited to participate in several review sessions to capture their input and include them in the ConOps process.

CBP is responsible for enforcing hundreds of laws that affect international trade and transportation regulations along with other federal agencies. As the lead agency to protect our nation's borders, CBP is in a unique position to develop a modernized and automated system that will assist in maintaining those roles at our nation's land borders, seaports, and airports.

This ConOps describes anticipated future processes to be used by CBP in ACE, across the spectrum of the import landscape. It specifically outlines those areas in the "To Be" environment where there are touch points with PGAs, in trade data processing. (It does not address the CBP export environment or CBPs non-cargo related processes.)

The ConOps will serve as the foundation to incorporate the future vision of CBP business practices into the modernization effort called ACE. The model depicted in this document describes the "beginning to end" processes needed to bring about the full integration of PGA functionality into ACE development, which in turn will bring together all federal agencies with importation requirements under one umbrella. This document is the first step towards achieving the concept most notably known as the automated "single window."

### Significant Improvements to the ACE Future Functionality

There are many enhancements that the Task Force Team developed in the course of working out the ACE "To Be" environment. The benefits from these processes can be generally categorized as addressing automation of processes, integration with other agencies and the Trade, and communication among the stakeholders. While later sections of the ConOps will spell out the details, a few highlights are:

#### ***Automation:***

- Mode specific expedited Entry systems such as Free and Secure Trade (FAST), Automated Line Release (ALR), and Border Release Advanced Selectivity System (BRASS) will transition to one system whose benefits will be realized across all modes, yet will continue to recognize expedited benefits for Customs Trade Partnership Against Terrorism (C-TPAT) partners.
- A coordinated release notification to both the Carrier and Filer that will provide for PGA hold and status notifications to the Filer.

- Automated process for notice of port arrivals to CBP and affected PGAs, replacing faxes, phone calls, and manual input by CBP Officers (CBPOs) and Agricultural Specialists (CBPAS).
- Automation of Conveyance Clearance with integrated processes unique to other PGAs and automated tracking of a permit to proceed. This automation will save countless hours of manual input, phone, faxes, etc., that are currently being done by CBPOs and CBPAS.
- Automation of vessel boarding documentation and communication with other ports and with the Animal and Plant Health Inspection Service (APHIS) which is currently done by paginated paper forms and CBPAS input into APHIS systems.
- Automation of the interface for reporting and other actions between ACE and APHIS for CBPAS. This will allow them to perform mission related activities.
- Automation of PGA requests for enforcement actions rather than calls, faxes, personal relationships, which will integrate the redelivery process with PGAs.
- Automation of PGA Licenses, Permits, and Certificates (LPCs), bringing PGAs in compliance with the SAFE Port Act.
- Automation of emergency diversion that is currently a time-intensive manual process.
- Automated deletion, cancellation, and correction process for Entry that will eliminate the manual processing of paper, phone calls, etc. currently performed by CBPOs.
- Automated processing of conveyance clearance and entrance fees and taxes.
- Paperless Warehouse Entries.
- Subsequent Entries will be tied back to the original Entry to maintain history of shipments.
- Automated processing of Protests, Drawback Entries, and automated Post Summary Correction.
- Automated quota processing to include “by-pass” Entry Summaries.

***Integration:***

- Integration of the CBPAS into the CBP automated processes (e.g., CBPAS will have access to current and historical Trade and CBP information to perform boarding and inspection activities and to remedy discrepancies).
- Integration of all PGA data into the Entry record that will eliminate much of the administrative work done by CBPOs and CBPAS for other agencies, allowing the officers to concentrate on mission critical work.
- Transfer of Custody obligates the importers bond to convey shipments after CBP release to PGA required offsite examination locations.
- Integration of PGA reference files for enhanced targeting capabilities.

***Communication:***

- Messaging to PGAs and entities in the transaction.
- Cascading status notification with a final status notification that all known PGA requirements have been met.
- Enhanced messaging to and from the Trade (e.g., hold message to Trade will identify agencies placing holds).
- More effective communication between various offices of CBP.
- Messaging between Filer and CBP on deletions, cancellations and corrections as well as emergency diversions.

- More effective communication with PGA for requests for action including redelivery of merchandise.
- Communication of findings in one system to retrieve, analyze, share, etc.
- Electronic Courtesy Notice of Liquidation and electronic posting of Bulletin Notice.

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# 1. Agency Mission as it Relates to International Trade

CBP works to prevent terrorists and terrorist weapons from entering the United States while effectively facilitating the flow of legitimate trade and travel. The safety and security of international trade and the prevention of terrorism are complementary objectives that are inextricably linked. CBP is charged with enforcing U.S. trade laws while facilitating the flow of lawful international trade into the United States. Fostering a safe and fair international trade process, interdicting harmful and inadmissible goods, and protecting the economic security of our industry strengthens our ability to address national and economic security priorities and advances our ability to meet our trade mission.

Page five of the CBP Trade Strategy (Fiscal Years 2009-2010) outlines the CBP Trade Vision:

“A swift flow of legitimate imports entering the U.S. marketplace, free from harm to the U.S. economy and consumers, where:

- U.S. trade laws are enforced, with harmful and non-compliant cargo intercepted and deterred.
- Legitimate imports are identified and rapidly admitted to consumers and industry without disruption.
- Compliant and secure trade is ensured and supported by mutually beneficial partnerships.
- Modernized processes and technology enable a streamlined import process.
- Emerging risks are mitigated through the development of national trade policy.”

This CBP ConOps includes the modernization of CBPs cargo processing in ACE and the creation of the single window data input. It also includes data sharing between Trade and federal agencies, between federal agencies themselves, and accomplishes significant objectives of the CBP Trade Vision and Strategy.

## 1.1 Mandates and Actions

The impetus to modernize CBP officially began December 8, 1993 with the enactment of Title VI of the North American Free Trade Act [Pub. L. 103-182, 107 Stat. 2057] – Subtitles A and B – The Customs Modernization and Informed Compliance Act (better known as the “Mod Act”). The Mod Act recognized that the U.S. Customs Service (now part of CBP) needed to be able to adopt modern commercial activities in the face of inexorable growth in international trade. Thus, more modern electronic processing was emphasized and the Mod Act gave CBP the authority to pursue its adoption. It also provided the foundation for CBP to redesign the trade compliance process.

Later initiatives complemented the drive for modernization, such as the President’s Management Agenda and Office of Management and Budget directives concerning the application of Enterprise Architecture. The genesis for the International Trade Data System (ITDS) was a memorandum from Vice-President Al Gore, dated September 15, 1995, subject: Implementing ITDS (National Performance Review Recommendation IT06). The most recent CBP modernization project is ACE, which addresses the CBP mission of secure cargo management. The Security and Accountability For Every Port Act of 2006 (or SAFE Port Act, Pub. L. 109-347[1]) was an Act of Congress in the United States that says “All Federal agencies that require documentation for clearing or licensing the importation and exportation of cargo shall participate in the ITDS.” On July 18, 2007, the issuance of Executive Order 13439 established the Interagency Working Group on Import Safety, consisting of key government agencies and

departments, whose mission is to “...identify actions and appropriate steps that can be pursued, within existing resources, to promote the safety of imported products...” In addition, one of the top recommendations was to “Complete a single-window interface for the intra-agency, interagency, and private sector exchange of import data” (from page 11, “Action Plan for Import Safety: A roadmap for continual improvement” November 2007).

Table 1-1 identifies many of the legislative mandates that affect CBP and its ACE efforts. These requirements drive the modernization of CBP Business Processes. Currently, in order to achieve interim compliance with many of these laws, CBP has implemented manual processes and “work-arounds” in existing systems. This has created a patchwork of systems that requires a great deal of manual intervention to support and which does not share information easily within CBP or between CBP and the PGAs. Modernization will provide full, Information Technology enabled compliance support that is driven from the business needs and priorities of the agency.

**Table 1-1. Legislative Mandates That Affect CBP**

Legislation	Requirement
North American Free Trade Agreement Implementation Act, Pub. L. 103-182, 107 Stat. 2057, 2170 (December 8, 1993) (Mod Act)	<ul style="list-style-type: none"> <li>○ Establishment of automated and electronic system for the cargo importations, noting existing and planned components.</li> </ul>
Government Paperwork Elimination Act of 1998 (Pub. L. 105-277, Div. C, title XVII)	<ul style="list-style-type: none"> <li>○ By 2003, provide the public, when practicable, the option of submitting, maintaining, and disclosing required information electronically, instead of on paper.</li> </ul>
Plant Protection Act (Pub. L. 106-224), dated June 20, 2000	<ul style="list-style-type: none"> <li>○ “Facilitate exports, imports, and interstate commerce in agricultural products and other commodities that pose a risk of harboring plant pests or noxious weeds in ways that will reduce...the risk of dissemination of plant pests or noxious weeds...”</li> </ul>
Trade Act of 2002 (Pub. L. 107-210), dated August 6, 2002, amending section 505(a) of the Tariff Act of 1930 (19 U.S.C. 1505(a))	<ul style="list-style-type: none"> <li>○ Mandatory advanced electronic information for cargo and other improved CBP reporting procedures;</li> <li>○ Regulatory audit procedures;</li> <li>○ Payment of duties and fees;</li> <li>○ Implementation of the African Growth and Opportunity Act;</li> <li>○ Textile trans-shipment enforcement operations.</li> </ul>
The Homeland Security Act of 2002	<ul style="list-style-type: none"> <li>○ Established the functions of the Department of Homeland Security;</li> <li>○ Formation of CBP from parts of the former U.S. Customs Service, Immigration and Naturalization Service, Border Patrol, and APHIS;</li> <li>○ Transfer certain APHIS functions to CBP. CBPAS inspects cargo on APHIS’ behalf; APHIS user fees transferred to CBP for this function;</li> <li>○ Improvement in sharing of law enforcement, intelligence, and other information relating to homeland security within the Federal Government and between such government and State and local government personnel, agencies, and authorities.</li> </ul>



Legislation	Requirement
Public Health Security and Bioterrorism Preparedness and Response Act of 2002 (BTA) (Pub. L. 107-188)	<ul style="list-style-type: none"> <li>○ Under the Prior Notice (PN) requirements of the BTA, the Food and Drug Administration (FDA) must receive prior notice for all food imported or offered for import into the United States. Any imported food products that are not in compliance with the PN requirements of the BTA, must be held at either the port of arrival or a secure facility until such time that they are either brought into compliance with the BTA or are exported from the United States with CBP approval.</li> </ul>
“SAFETEA-LU” Act, section 11165, “Reconciliation of On-Loaded Cargo to Entered Cargo,” Title XI, effective August 10, 2006 (file H024354)	<ul style="list-style-type: none"> <li>○ Establish electronic data interchange system through which CBP shall transmit to the Internal Revenue Service (IRS) information pertaining to cargoes of any taxable fuel.</li> </ul>
“Security and Accountability for Every Port Act” (SAFE Port Act), section 405, which amends Section 411 of the Tariff Act of 1930 (19 U.S.C. 1411). Signed into law on October 13, 2006.	<ul style="list-style-type: none"> <li>○ Establishment of an electronic trade data interchange system known as the International Trade Data System (ITDS). The purpose is to, “eliminate redundant information requirements, to efficiently regulate the flow of commerce, and to effectively enforce laws and regulations relating to international trade, by establishing a single portal system, operated by the United States Customs and Border Protection, for the collection and distribution of standard electronic import and export data required by all participating Federal agencies.”</li> </ul>
Executive Order 13439 “Establishing an Interagency Working Group on Import Safety,” July 18, 2007	<ul style="list-style-type: none"> <li>○ Development of the “<i>Action Plan for Import Safety: A roadmap for continual improvement</i>” report which provides a roadmap that “ensures the benefits of the global economy and improves the safety of imported products.”</li> <li>○ Designates ITDS as a key component to improving system interoperability that will improve and enhance information sharing among government departments and agencies.</li> </ul>
Animal Health Protection Act, Subtitle E of Title X of the Farm Security and Rural Investment Act of 2002 (As Amended through Pub. L. 110-246, effective May 22, 2008)	<ul style="list-style-type: none"> <li>○ Among other things, allows for prohibition or restriction of “the importation or entry of any animal, article, or means of conveyance, or use of any means of conveyance or facility...to prevent the introduction into or dissemination within the United States of any pest or disease of livestock...”</li> </ul>
The Food, Conservation, and Energy Act of 2008 (effective May 22, 2008) amending the Lacey Act, with a requirement to provide a declaration effective December 15, 2008	<ul style="list-style-type: none"> <li>○ Expands Lacey Act protection to a broader range of plants and plant products. CBP shall collect the declaration information electronically.</li> </ul>
Food Safety Working Group (FSWG), created March 14, 2009. Department of Health and Human Services (DHHS) and United States Department of Agriculture (USDA) are leads.	<ul style="list-style-type: none"> <li>○ The FSWG’s July 2009 Report to the President recommended CBP work with the FDA, the USDA, and other Federal agencies “to continue participation in CBPs ACE-ITDS”. This would “provide agencies quicker access to more data about food imports and allows importers to provide that information electronically, as part of their import filings...also will enable agencies to share up-to-date information about inspection, clearance, and investigatory activities and to connect that information to the customs entry process, enabling rapid and effective enforcement.”</li> </ul>

Legislation	Requirement
Food Safety Enhancement Act of 2009 (Passed the House, July 30, 2009, <i>H.R. 2749</i> . Received in the Senate but no action yet. Legislation pending.)	<ul style="list-style-type: none"> <li>○ Would require FDA to utilize testing results issued by CBP laboratories in making admissibility decisions, if CBP determines an article of food is adulterated or misbranded.</li> <li>○ Would require unique identifiers for registered food facilities be available or else the article shall be refused admission. FDA would consult with CBP to ‘specify the unique numerical identifier system’ to be used and to ensure compatibility with customs automated systems ‘such as integration with ACE and ITDS and any successor systems.’</li> <li>○ Would provide for electronic submission of certifications to CBP that an imported article complies with requirements of this Act.</li> <li>○ Would establish a program that facilitates the movement of food through the importation process under certain circumstances.</li> </ul>

## 1.2 ConOps Stakeholders Interest

This ConOps addresses the needs of three distinct stakeholder interest groups – CBP, PGAs, and Trade:

- CBP is interested in processes that are efficient and effective to satisfy its dual mission of security and trade facilitation. The agency’s goal is to incorporate a seamless approach, both operationally and systematically, so that a single window to all government agencies can be adopted into modern day importing norms. Automation of trade processes will allow for the full integration of CBPAS into the overall CBP process. CBPAS has had to contend with retaining the day-to-day processes of the agency that they left behind, in addition to their new CBP responsibilities. In essence, operational environments such as the one the Agricultural Specialists are dealing with will be replaced by a unified structure.
- PGAs rely heavily upon CBP for enforcement of their laws and regulations. PGAs that engage in the single window concept will have a more clearly defined and visible role in the import process which will create efficiencies for the import community and CBP. CBP remains committed to assisting other agencies in realizing and using their own authorities and resources along the entire supply chain and dramatically reducing their reliance on CBP to perform less critical or clerical work. CBP needs to maintain control over the overall trade process.
- PGAs are interested in processes that enable them to fulfill their missions in the regulation of imports, and exports. The PGAs are looking for PGA data to be provided electronically, the ability to target shipments as early in the process as possible, the ability to carry out their authorized responsibilities, and the assurance that control over the cargo is maintained throughout the import process.
- The Trade, as represented by the Trade Support Network (TSN) and other trade groups, has expressed its needs for automated, predictable, and uniform Business Processes leading to the facilitation of compliant trade, and a single system of communication of holds, status, and final release. The Trade supports the electronic submission of all required data in the processes to eliminate manual processing steps.

It is against this backdrop of operational needs that the Business Processes in this ConOps were created.

## 2. Business Processes

### 2.1 Process Definition & Diagrams

#### 2.1.1 “To Be”

This section defines CBPs import related Business Processes that affect PGAs, as they are planned in ACE. This ConOps does not address any of the CBP export processes.

To expedite development of this ConOps, the Task Force Team organized the “To Be” processes into three major process function areas: Manifest & Conveyance, Entry & Release, and Post Release. The Task Force Team understands that this is an artificial division in terms of how the data may actually flow, and that some processes (and sub-processes) can span across (or occur in) multiple areas.

Figure 2-1. Overview of CBP/ACE “To Be” Process Functions is a visual representation of the major Business Process areas, the major Business Processes, and the sub-processes that are described in this ConOps.

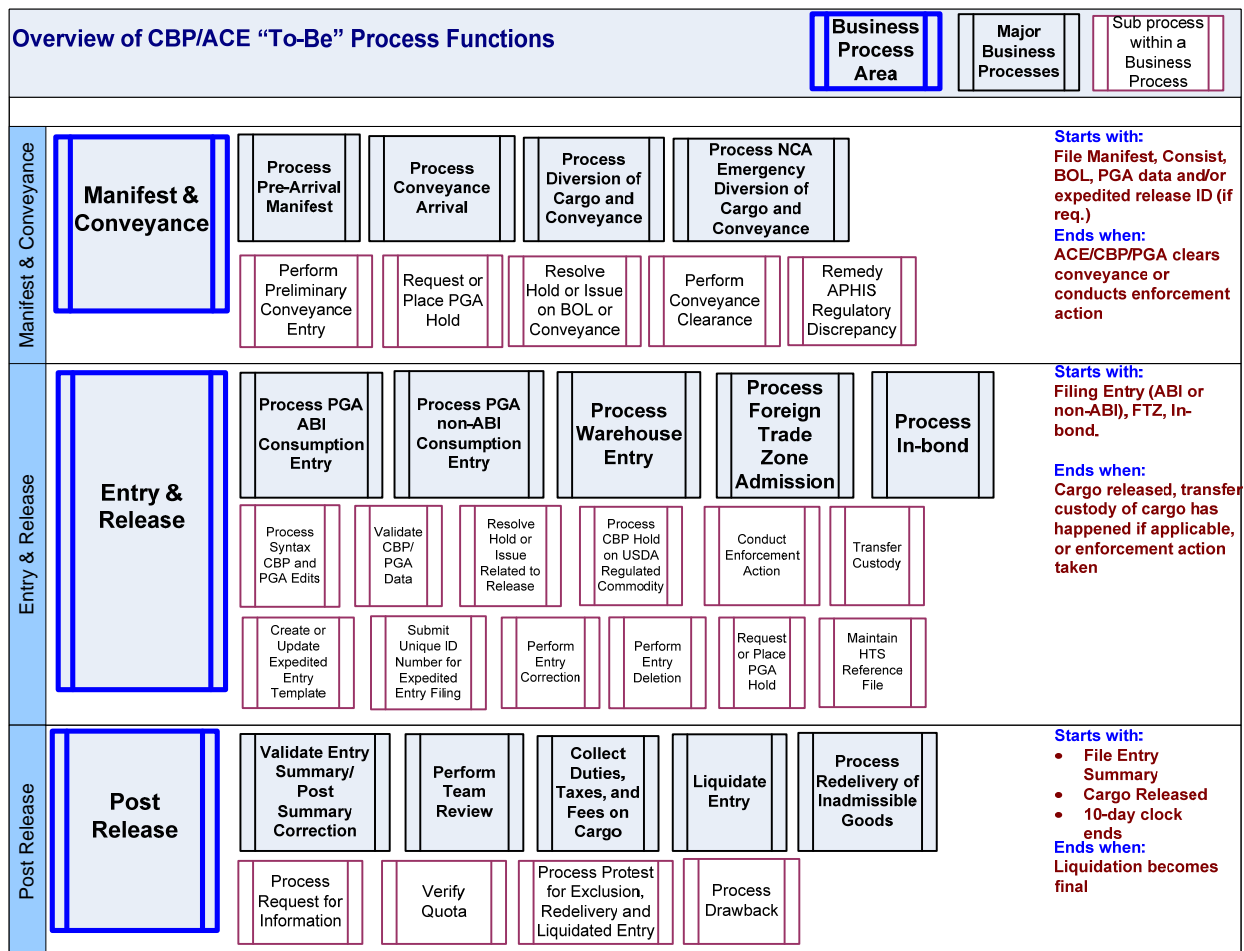


Figure 2-1. Overview of CBP/ACE “To Be” Process Functions

To understand how to interpret the “To Be” process flow diagrams, please refer to Appendix A Understanding the Process Flow Diagrams.

### 2.1.1.1 General Assumptions

The Task Force Team developed assumptions related to many of the “To Be” processes. Any assumptions specific to a particular process are presented with that process. The Team understands that some of these assumptions may require regulation changes.

The following are general assumptions that apply to most “To Be” process functions and are not necessarily specific to any one of the process areas.

- The Task Force assumes there are additional pertinent “To Be” processes that should be developed that were not uncovered during this effort.
- The “To Be” diagrams presented in this ConOps describe commercial processes at a high level, and do not include the use of Importer Security Filing (10+2) data.
- PGAs and the Trade will receive all relevant notifications from ACE.
- PGAs will have the ability to make referrals to other PGAs through ACE at several points in the process, including at reviews and inspections.
- All findings in PGA systems will also be provided to ACE.
- CBP will capture, store and provide analytical tools regarding findings.
- The need for duplicate recording of information in separate systems for other agencies (e.g. APHIS systems) by CBPAS will be greatly reduced or eliminated.
- Express Consignment Operators are committed to using CBP automated manifest systems instead of proprietary systems.
- Vessel Management System (VMS) will be subsumed by ACE.
- ACE M1 functionality is considered the “To Be” state.
- ACE PGA data will be developed using the ITDS Standard Data Set (SDS), which is also the basis of the ACE PG Message Set.

### 2.1.1.2 Manifest & Conveyance

#### *General Manifest & Conveyance Assumptions:*

The following are general assumptions made by the Task Force Team when developing the “To Be” processes for Manifest & Conveyance.

- Entry filing data (CF 3461) is not used in the Manifest & Conveyance process regardless of how early this data is submitted.
- None of the Manifest & Conveyance processes include the use of the Importer Security Filing (10+2) data.
- No new manifest data will be required from the Trade unless specifically required by PGA regulation.
- If PGAs have the legal authority to impose on the Carrier additional information requirements, they can do so under their own regulations by providing a separate PGA message with the Manifest.
- The Manifest & Conveyance processes work only if the data comes through CBP automated manifest systems, not a proprietary system.
- Manifests for expedited Entry filing programs will go through the standard Manifest processes.
- Although PGAs often accompany CBP to board a vessel, this will remain as a CBP activity in the Manifest & Conveyance flows, if the PGA does not have independent boarding authority.
- PGA access to ACE Manifest data will not be filtered by commodity.

### 2.1.1.2.1 Process Pre-Arrival Manifest

**BUSINESS PROCESS SCENARIO NAME:** Process Pre-Arrival Manifest

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to validate that the Manifest and Consist advance data message is correctly formatted and that Carrier codes are correct, as well as to screen, target, and review the Manifest and place holds as required.

**PROCESS PARTICIPANTS (ACTORS):** Carrier, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA reference files to identify jurisdiction must be available to ACE.

**Driver/Event Trigger:** This Business Process starts when the advance data (Manifest, Consist, PGA Data, Bill of Lading (BOL) and/or expedited Entry ID, if required) is submitted by the Carrier. Manifest must be filed prior to arrival: Truck: 1 hr OR ½ hr for FAST; Air: 4 hrs or wheels up in western hemisphere and above the equator; Rail: 2 hrs; Sea: 24 hrs prior to lading in foreign port (containerized and non-exempt break bulk); 24 hours prior to arrival (bulk and exempt break bulk); for voyages less than 24 hours in duration, at the time of departure.

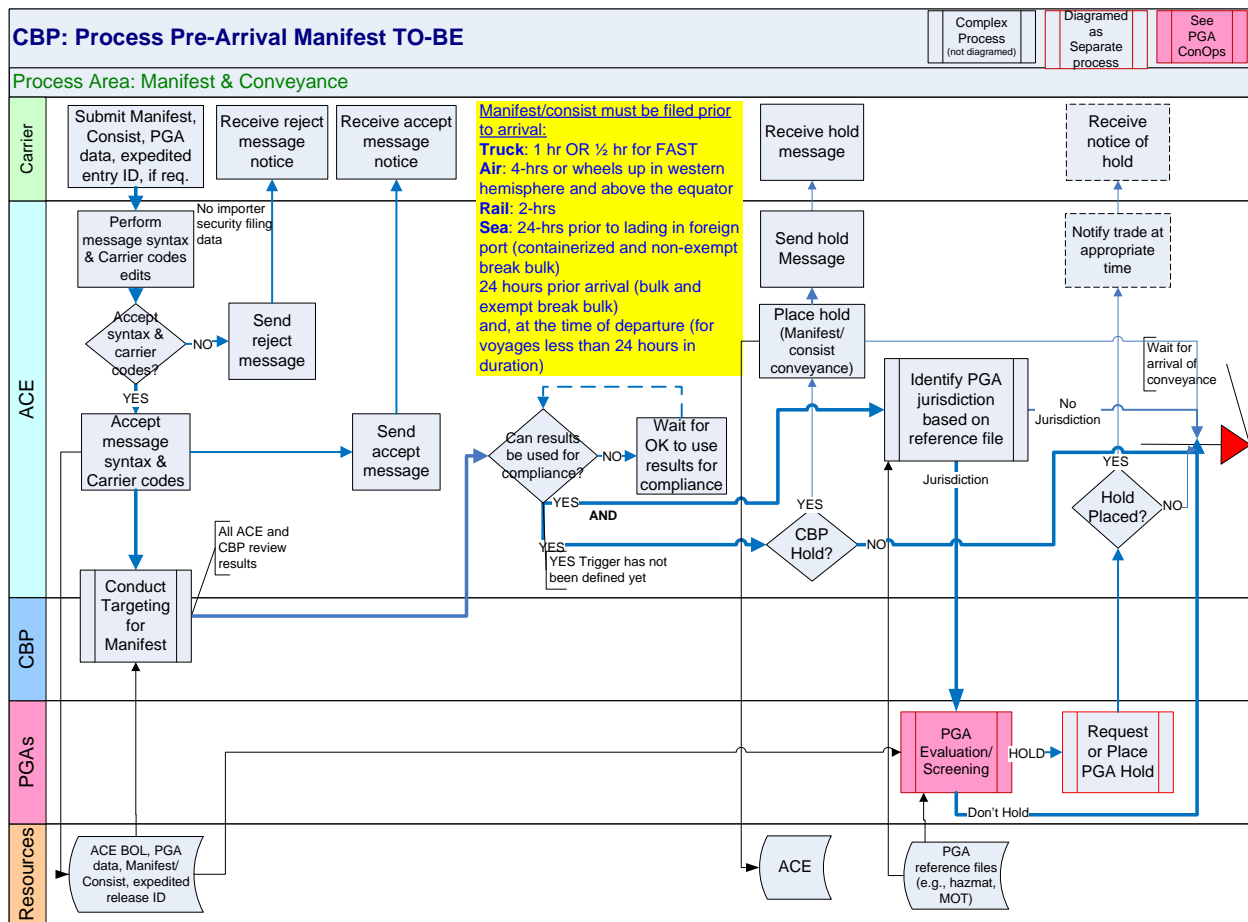
**Successful End:** This Business Process is successfully completed when the message is accepted and holds are placed when justified.

**Outputs/results:** This Business Process produces an ACE Manifest message potentially including PGA data and could result in a hold placed on the BOL or conveyance.

**Other scenario or processes referenced by this scenario:** Conduct Targeting for Manifest; Identify PGA jurisdiction based on reference file. Business Processes related to PGA: Request or Place PGA Hold; PGA Evaluation and Screening.

**Assumptions:**

- Manifest holds produce a message to the Trade. The Manifest review process may create an enforcement hold but the communication to the Trade does not specify the type of hold.
- In ACE, the PGA authority to directly place holds will be specified by user profile, PGA, and port code.
- If a PGA with authority has port presence and the PGA has a signed MOU, the PGA can directly place a hold.
- If a PGA cannot directly place a hold, the PGA can *request* CBP to place a hold on their behalf.
- In ACE M1, hold *request* is the initial default condition. As PGAs sign specific MOUs, they will be able to place holds as authorized.
- In special circumstances, CBP Headquarters may remove a PGA hold.
- Holds placed at the Manifest level (as opposed to BOL level) must be resolved before moving a shipment In-Bond (I-B).



### Main Success (Basic Flow) Scenario:

1. Carrier submits advance data (Manifest, Consist, PGA data collected by CBP, BOL, and/or expedited Entry ID, if required; no Importer security filing data).
2. ACE performs syntax and Carrier codes edits on the message.
3. ACE accepts the message syntax and Carrier codes.
4. ACE sends an accept message to the Carrier.
5. CBP and ACE perform “Conduct Targeting for Manifest” scenario on the Manifest, PGA data collected by CBP, expedited Entry ID, and/or BOL data submitted.
6. ACE determines targeting results can be used for compliance [some of the Manifest data elements are provided in advance only for security targeting; complete definition has not yet been defined].
7. ACE determines there are no holds set on the BOL or conveyance.
8. ACE identifies a PGA has jurisdiction on the BOL or conveyance using reference files.
9. PGA with jurisdiction performs its “PGA Evaluation and Screening” process.
10. PGA decides not to place a hold on the BOL or conveyance.
11. Scenario ends to wait for arrival of conveyance.

### Alternate Flow Scenario A: ACE does not accept the message syntax or Carrier codes.

- 3A. ACE does NOT accept the message syntax or Carrier codes.

1. ACE sends a reject message to the Carrier.

***Alternate Flow Scenario B: ACE determines targeting results can not be used for compliance.***

6B. ACE determines targeting results can NOT be used for compliance.

1. ACE waits until it is OK to use the results of targeting for compliance.
2. Scenario continues at “The next two steps happen in parallel.”

***Alternate Flow Scenario C: ACE determines a hold has been placed on the BOL or conveyance.***

7C. ACE determines there are holds set on the BOL or conveyance.

1. ACE places the hold on the BOL or conveyance.
2. ACE sends a hold message to the Carrier.

***Alternate Flow Scenario D: PGA decides to place a hold on the BOL or conveyance.***

10D. PGA decides to place a hold on the BOL or conveyance.

1. Perform scenario “Request or Place PGA Hold” [scenario sends message to Trade if hold is placed].
2. Scenario ends to wait for arrival of conveyance.

### 2.1.1.2.2 Process Conveyance Arrival

**BUSINESS PROCESS SCENARIO NAME:** Process Conveyance Arrival

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to clear the conveyance after arrival.

**PROCESS PARTICIPANTS (ACTORS):** Carrier, ACE, CBP, PGAs.

**BOUNDARIES:**

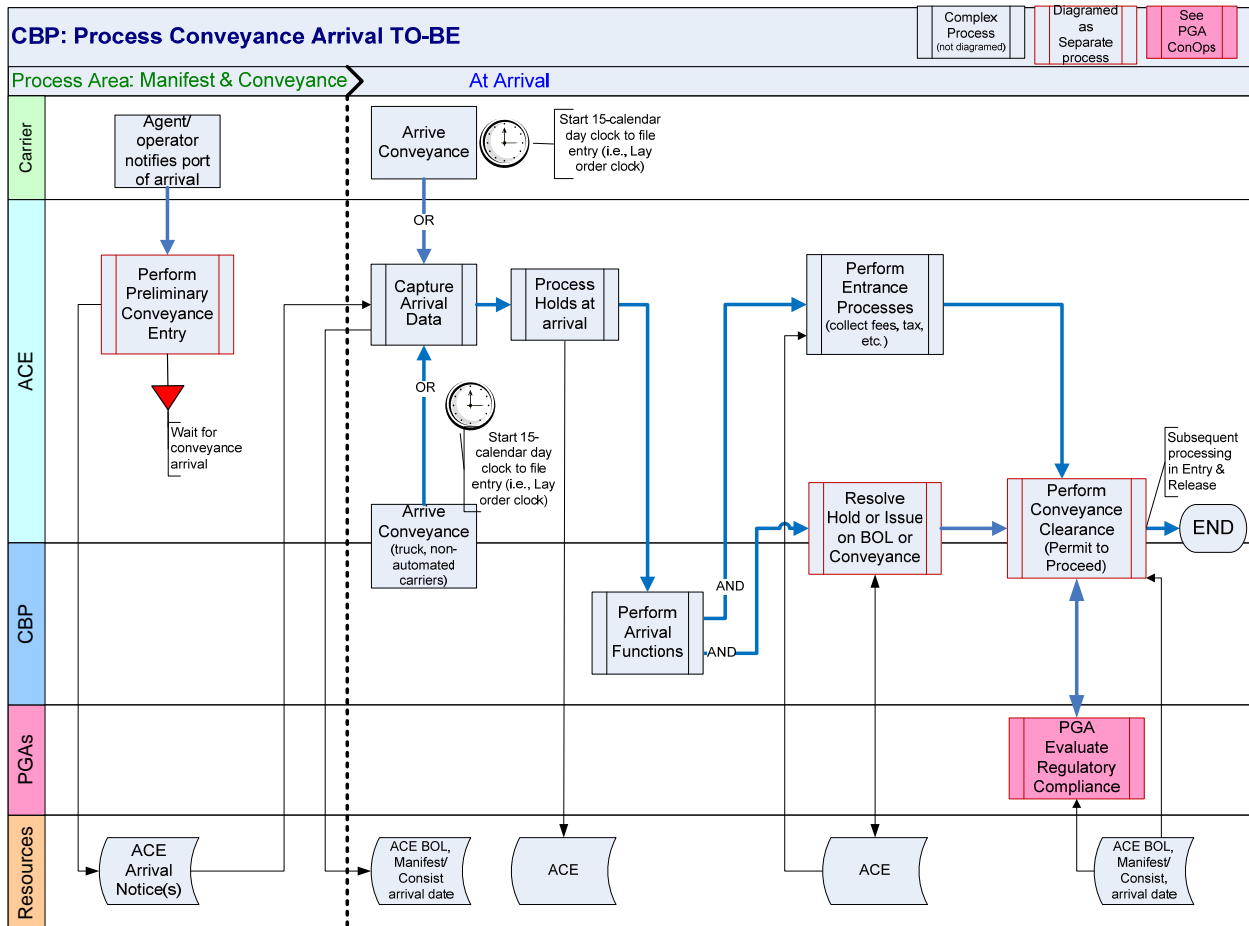
**Preconditions or Prerequisites:** Manifest and other pre-arrival data must be available to ACE.

**Driver/Event Trigger:** Prior to the arrival of the conveyance, this Business Process starts when the Agent/operator notifies a port of arrival. At arrival, the Business Process starts again when either the Carrier or CBP arrives the Conveyance.

**Successful End:** This Business Process is successfully completed when the Conveyance is cleared and Permit to Proceed (PTP) is issued or withheld.

**Outputs/results:** This Business Process produces an ACE Conveyance arrival date and potentially a PTP.

**Other scenario or processes referenced by this scenario:** Perform Preliminary Conveyance Entry; Resolve Hold or Issue on BOL or Conveyance; Perform Conveyance Clearance; Capture Arrival Data; Perform Entrance Processes (collect fees, tax, etc.); Perform Arrival Functions. Business Processes related to PGA: PGA Evaluate Regulatory Compliance.





**Main Success (Basic Flow) Scenario:**

*These steps happen prior to conveyance arrival.*

1. Agent/operator notifies port of arrival.
2. ACE invokes “Perform Preliminary Conveyance Entry” scenario.
3. Scenario waits for conveyance arrival.

*These steps happen once the conveyance arrives.*

1. Either the Carrier or CBP and ACE (for truck or non-automated Carriers) arrives the conveyance.
2. ACE captures arrival data.
3. ACE processes holds at arrival.
4. CBP performs the arrival functions.
5. ACE performs the entrance processes (collect fees, tax, etc.).
6. ACE and CBP perform scenario “Resolve Hold or Issue on BOL or Conveyance.”
7. ACE and CBP perform “Perform Conveyance Clearance” scenario engaging PGA when required.

### 2.1.1.2.3 Process Diversion of Cargo and Conveyance

**BUSINESS PROCESS SCENARIO NAME:** Process Diversion of Cargo and Conveyance

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to process a diversion location request by CBP or Carrier.

**PROCESS PARTICIPANTS (ACTORS):** Carrier/Filer, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** A Manifest has been filed specifying an intended port where the Carrier cannot now arrive.

**Driver/Event Trigger:** This Business Process starts when the Carrier requests a port code change or CBP determines the need for a diversion.

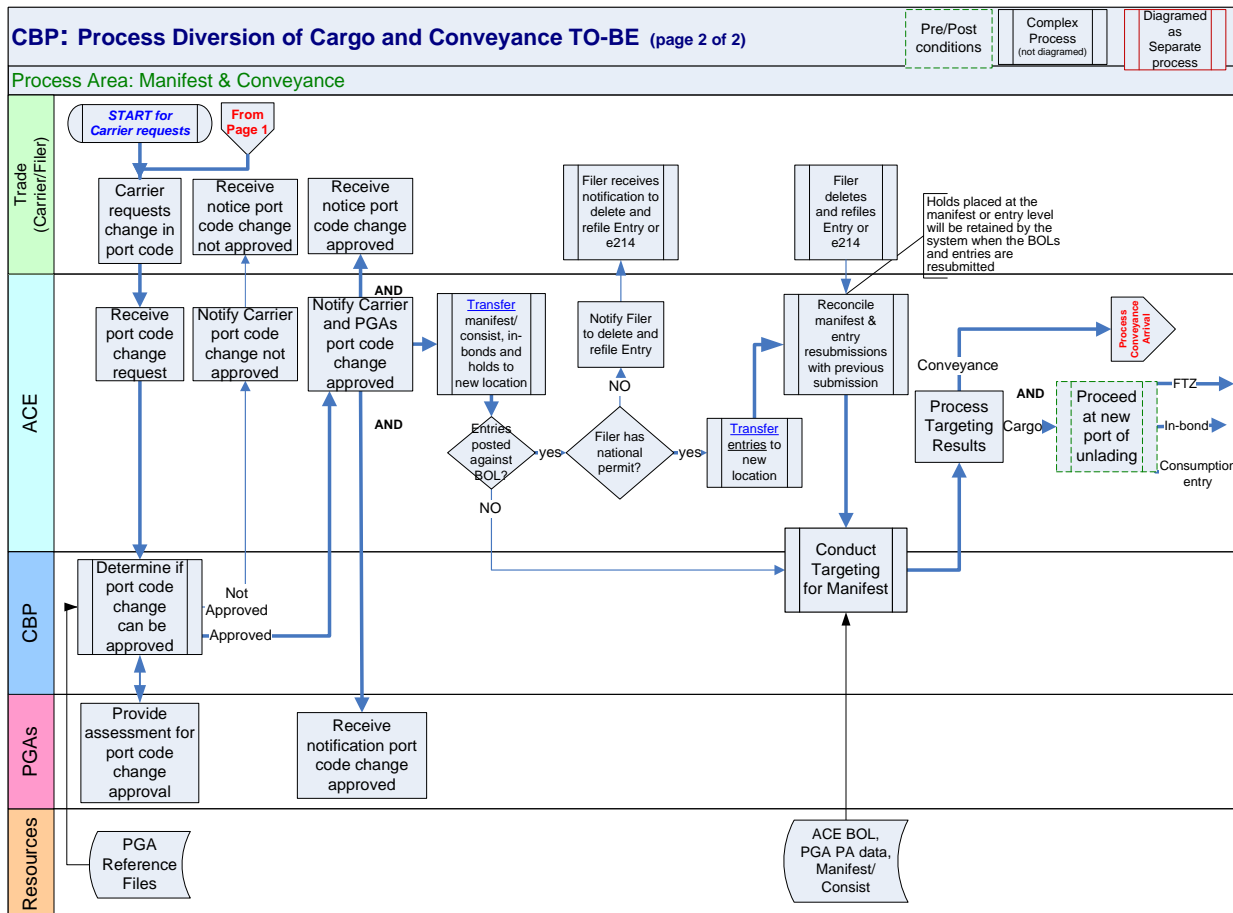
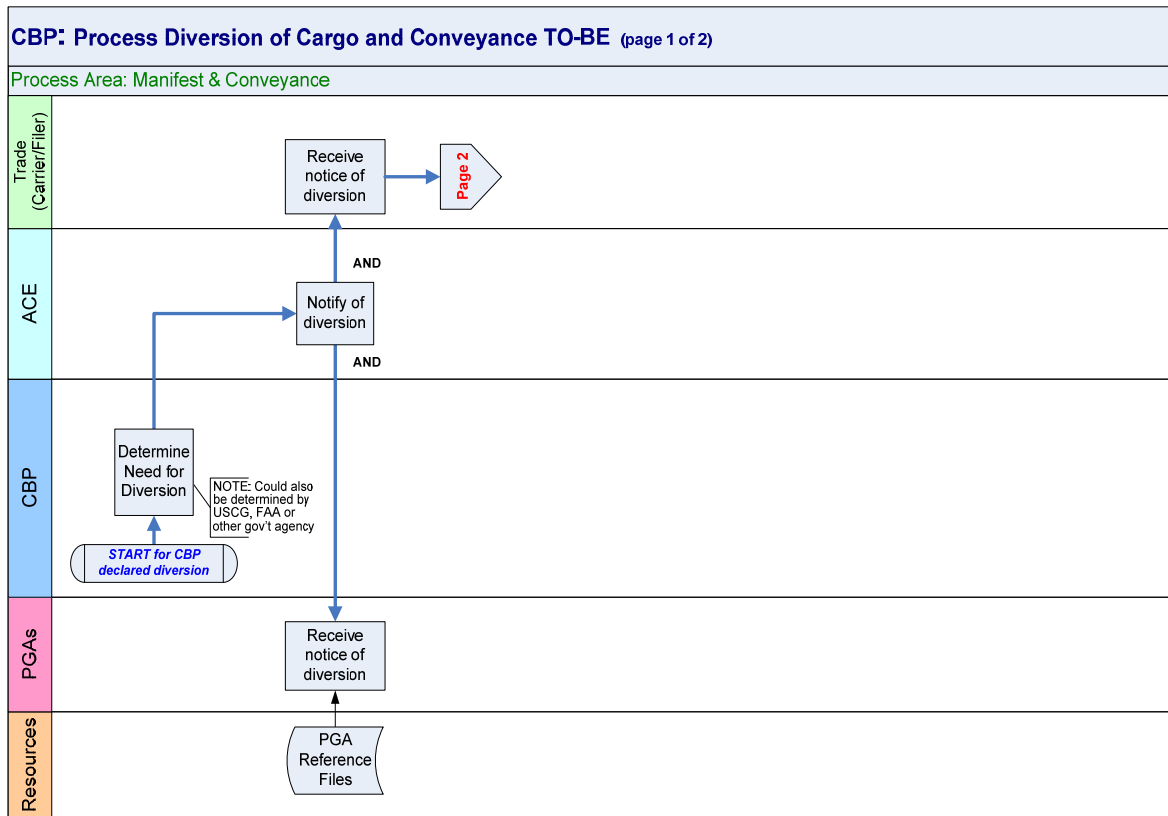
**Successful End:** This Business Process is successfully completed when the conveyance and cargo documentation have been transferred and/or re-submitted to the new port of arrival and the conveyance and cargo documentation are ready for processing.

**Outputs/results:** This Business Process produces conveyance and cargo documentation for the new port of arrival.

**Other scenario or processes referenced by this scenario:** Conduct Targeting for Manifest; Determine if diversion can be approved; Transfer Manifest/Consist, Entries, Foreign Trade Zone (FTZ) and In-Bonds to new location; Transfer Entries to new location; Reconcile Manifest & Entry resubmission with previous submission.

**Assumptions:**

- In cases of events that do not rise to the level of a declared emergency diversion, current operations will remain intact.
- BOLs are on file at the original port of arrival when conveyance diversion is approved.
- The CBP approver must have appropriate user profile and security level assigned by the system.
- Holds placed at the Manifest or Entry level will be retained by the system at new location when the BOLs and Entries are resubmitted.
- PGA regulated cargo may have to be placed In-Bond to an acceptable port.
- The broker regulations will be amended appropriately.



**Main Success (Basic Flow) Scenario:**

1. CBP determines need for diversion.
2. ACE notifies the Carrier/Filer and PGAs of diversion.
3. Scenario continues at “ALTERNATE Main Success (Basic Flow).”

**ALTERNATE Main Success (Basic Flow) Scenario:**

1. Carrier requests a change in port code.
2. CBP approves the change in port code.
3. ACE notifies the Carrier and PGAs that the change in port code has been approved.
4. ACE transfers Manifest/Consist, In-Bonds and holds to new location.
5. ACE determines there are Entries posted against the BOL.
6. ACE determines Filer has national permit.
7. ACE transfers Entries to new location.
8. ACE reconciles Manifest and Entry resubmissions with previous submission. [Holds placed at the Manifest or Entry level will be retained by the system when the BOLs and Entries are resubmitted.]
9. ACE and CBP perform “Conduct Targeting for Manifest” scenario on the Manifest and Entries.
10. ACE processes targeting results.
11. This scenario is complete; processing continues:
  - a. For Conveyance, to the “Process Conveyance Arrival” scenario.
  - b. For cargo, the In-Bond, FTZ, or Consumption Entry proceeds at the new port of unloading.

***Alternate Flow Scenario A: CBP does not approve the change in port code.***

**2A** CBP does NOT approve the change in port code.

1. ACE notifies Carrier the change in port code is not approved.

***Alternate Flow Scenario B: No Entries posted against the BOL.***

**5B** ACE determines there are NO Entries posted against the BOL.

1. Scenario continues at step 9.

***Alternate Flow Scenario C: Filer does NOT have national permit.***

**6C** ACE determines Filer does NOT have national permit.

1. ACE notifies Filer to delete and refile Entry.
2. Filer deletes and refiles Entry.
3. Scenario continues at step 8.

#### 2.1.1.2.4 Process NCA Emergency Diversion of Cargo and Conveyance

**BUSINESS PROCESS SCENARIO NAME:** Process NCA Emergency Diversion of Cargo and Conveyance

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to automate the process of emergency diversion.

**PROCESS PARTICIPANTS (ACTORS):** ACE, CBP, PGAs, Carrier/Filer.

**BOUNDARIES:**

**Preconditions or Prerequisites:** A national emergency has occurred; Manifest has been filed specifying an intended port where the Carrier cannot now arrive.

**Driver/Event Trigger:** This Business Process starts with a National Capital Authority (NCA) Declaration of Emergency.

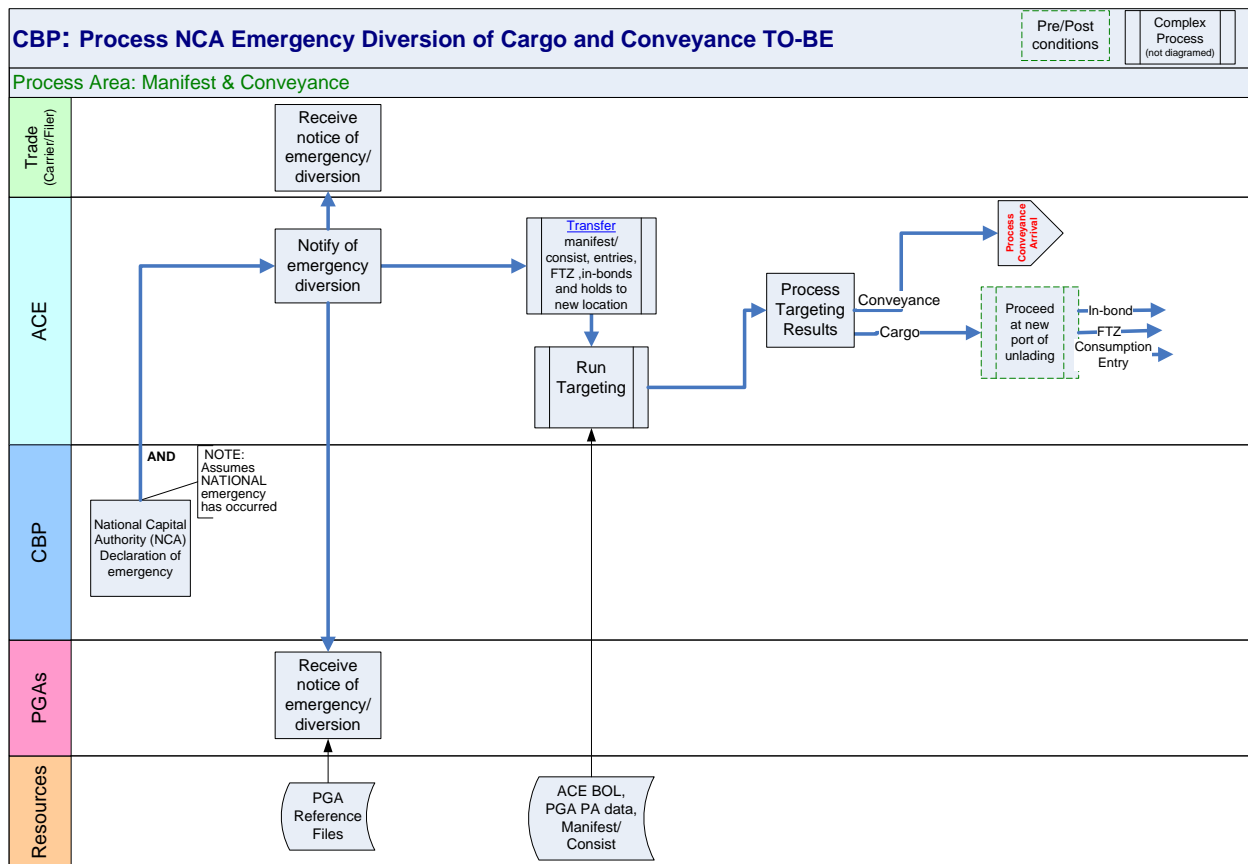
**Successful End:** This Business Process is successfully completed when the conveyance and cargo documentation have been transferred to the new port of arrival and PGAs have been notified.

**Outputs/results:** This Business Process produces conveyance and cargo documentation with the new port of arrival.

**Other scenario or processes referenced by this scenario:** Transfer Manifest/Consist, Entries, FTZ, In-Bonds and holds to new location; Run Targeting.

**Assumptions:**

- National Emergency has been declared.
- Any holds previously placed would remain at new location.
- Regulations will be promulgated that implement the statutory emergency setting forth the circumstances in which broker laws will be waived.



### Main Success (Basic Flow) Scenario:

1. An NCA emergency is declared by the President and implemented by CBP.
2. ACE notifies the Trade and PGAs of emergency diversion.
3. ACE automatically changes the port code on the Manifest/Consist, Entries, FTZ, In-Bonds associated with the trip, while maintaining previously set holds, and then transfers the data to the new port of arrival.
4. CBP runs targeting on transferred Manifest and Entries.
5. ACE processes targeting results.
6. This scenario is complete; processing continues:
  - a. For Conveyance, to the “Process Conveyance Arrival” scenario.
  - b. For cargo, the In-Bond, FTZ, or Consumption Entry proceeds at the new port of unloading.

### 2.1.1.2.5 Perform Preliminary Conveyance Entry

**BUSINESS PROCESS SCENARIO NAME:** Perform Preliminary Conveyance Entry

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to provide a preliminary conveyance Entry decision, prior to conveyance arrival.

**PROCESS PARTICIPANTS (ACTORS):** Carrier, ACE, CBP

**BOUNDARIES:**

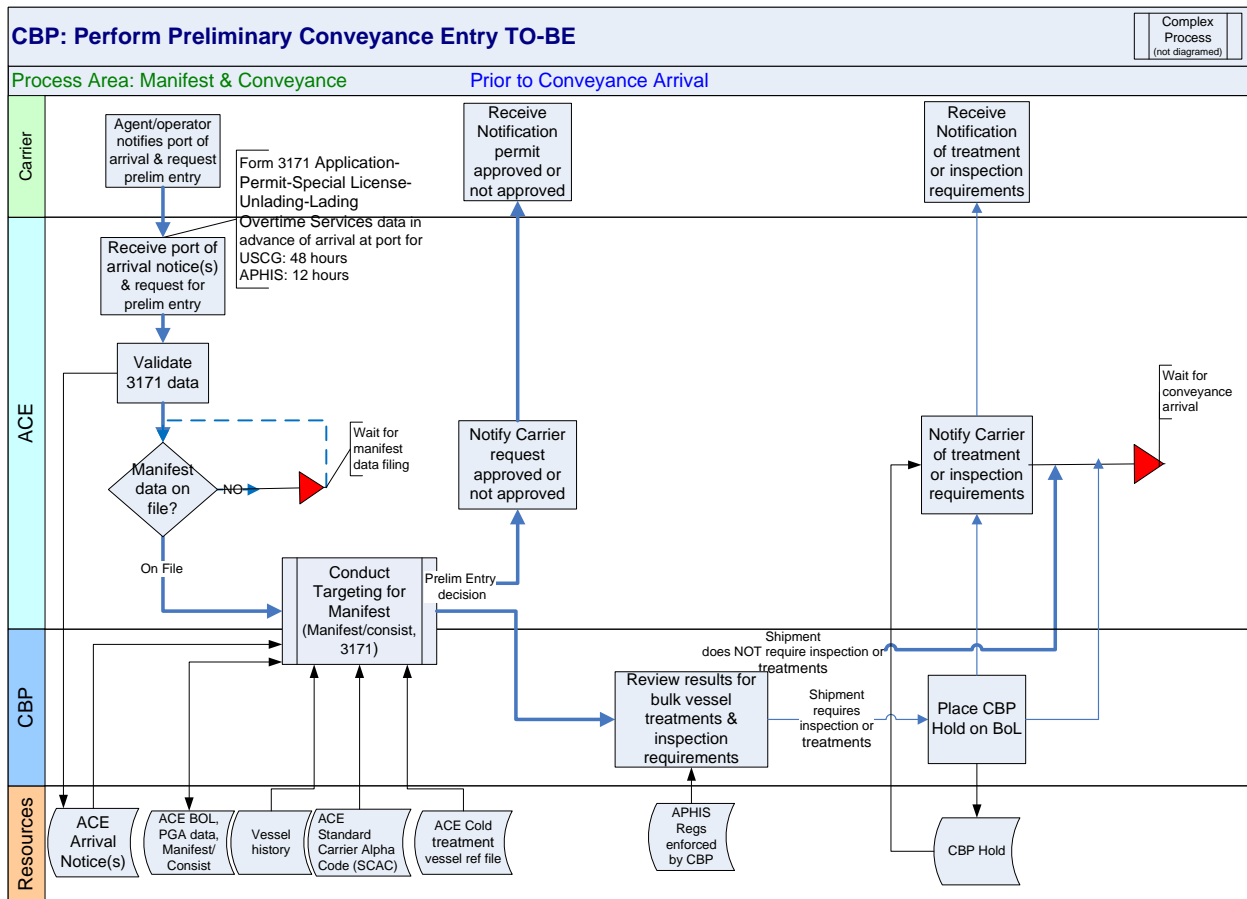
**Preconditions or Prerequisites:** Manifest and other pre-arrival data must be available to ACE.

**Driver/Event Trigger:** Carrier files data for “Application-Permit-Special License-Unlading-Lading-Overtime Services” currently CBP form 3171.

**Successful End:** This Business Process is successfully completed when Carrier is notified if permit is approved or not approved and holds are placed on BOL, if required, e.g. for vessel cold treatment requirements.

**Outputs/results:** This Business Process produces preliminary conveyance Entry decision, prior to conveyance arrival, and potentially BOL holds.

**Other scenario or processes referenced by this scenario:** Conduct Targeting for Manifest.



#### Main Success (Basic Flow) Scenario:

*These steps happen prior to conveyance arrival.*

1. Agent/operator notifies port of arrival and requests preliminary Entry.

2. ACE receives notice(s) of port arrival [in advance of arrival at port for United States Coast Guard (48 hours), APHIS (12 hours)].
3. ACE validates CBP form 3171 “Application-Permit-Special License-Unlading-Lading-Overtime Services” data.
4. ACE determines the Manifest is on file.
5. ACE and CBP perform “Conduct Targeting for Manifest” on the Manifest and 3171 data.
6. CBP reviews the targeting result to determine if a hold should be placed on BOL for bulk vessel treatment & inspection requirements.
7. ACE notifies the Carrier that permit was approved or not approved.
8. CBP determines shipment does not require bulk vessel treatment or inspection.
9. Scenario ends to wait for arrival of conveyance.

***Alternate Flow Scenario A: ACE determines the Manifest is not on file.***

4A. ACE determines the Manifest is NOT on file.

1. ACE waits for Manifest data filing.

***Alternate Flow Scenario B: CBP determines shipment requires bulk vessel treatment and inspection.***

8B. CBP determines shipment requires bulk vessel treatment or inspection.

1. CBP places a hold on BOL.
2. ACE notifies Carrier of treatment or inspection requirements.
3. Scenario ends to wait for arrival of conveyance.



### **2.1.1.2.6 Request or Place PGA Hold**

See Request or Place PGA Hold in section 2.1.1.3 Entry & Release in the “To Be” section.

### 2.1.1.2.7 Resolve Hold or Issue on BOL or Conveyance

**BUSINESS PROCESS SCENARIO NAME:** Resolve Hold or Issue on BOL or Conveyance

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

This Business Process attempts to resolve BOL or Conveyance holds, if any, and performs the boarding activities, if required, prior to conveyance clearance.

**PROCESS PARTICIPANTS (ACTORS):** Trade (Carrier or Filer), ACE, CBP, PGAs.

**BOUNDARIES:**

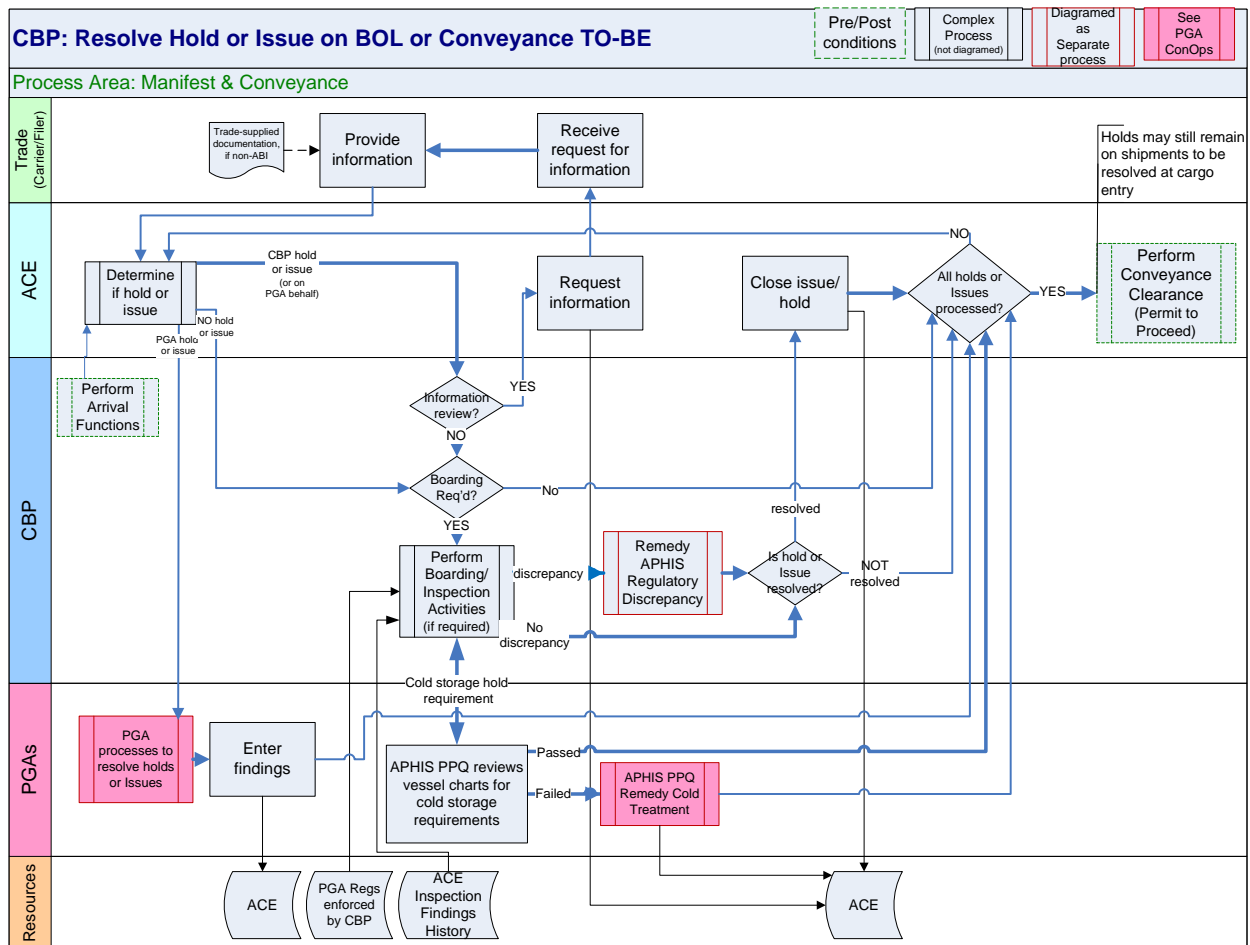
**Preconditions or Prerequisites:** The required actions were specified when BOL or conveyance holds were placed. Arrival functions have been performed.

**Driver/Event Trigger:** This Business Process starts after CBP has completed the arrival functions.

**Successful End:** This Business Process is successfully completed when CBP and PGAs attempt to resolve all holds/issues, boarding activities, if required, are completed and any discrepancies are remedied.

**Outputs/results:** This Business Process produces BOLs ready for conveyance clearance.

**Other scenario or processes referenced by this scenario:** Determine if hold or issue; Remedy APHIS Regulatory Discrepancy; Perform Boarding/Inspection Activities. Business Processes related to PGA: PGA Processes to Resolve Holds or Issues; APHIS PPQ Remedy Cold Treatment.



### **Main Success (Basic Flow) Scenario:**

1. ACE determines there is a CBP hold or issue, or CBP hold on behalf of a PGA on a BOL or conveyance.
2. CBP determines an informational review is not required.
3. CBP determines boarding is required.
4. CBP performs boarding/inspection activities, potentially enforcing PGA regulations and possibly accompanied by a PGA, such as APHIS, if there is a vessel cold storage inspection requirement.
5. CBP finds no discrepancies.
6. CBP determines any hold or issue is resolved.
7. ACE closes hold/issue.
8. ACE determines all holds/issues have been processed.
9. This scenario is complete; process continues to “Perform Conveyance Clearance.”

#### ***Alternate Flow Scenario A: ACE determines there is no hold or issue.***

- 1A. ACE determines there is NO hold or issue.
  1. Proceed to Main Success Scenario step 3.

#### ***Alternate Flow Scenario B: ACE determines there is a PGA hold or issue.***

- 1B. ACE determines there is a PGA hold or issue.
  1. PGA with hold or issue performs its process to resolve hold or issue.
  2. PGA enters inspection findings into ACE.
  3. Proceed to Main Success Scenario step 8.

#### ***Alternate Flow Scenario C: CBP determines an informational review is required.***

- 2C. CBP determines an informational review is required.
  1. ACE requests information required from the Trade: Carrier or Filer.
  2. Carrier or Filer provides requested information.
  3. Proceed to Main Success Scenario step 1.

#### ***Alternate Flow Scenario D: CBP determines boarding is not required.***

- 3D. CBP determines boarding is NOT required.
  1. Proceed to Main Success Scenario step 8.

#### ***Alternate Flow Scenario E: CBP finds discrepancies.***

- 5E. CBP finds discrepancies.
  1. CBP performs “Remedy APHIS Regulatory Discrepancy.”
  2. Proceed to Main Success Scenario step 6.

#### ***Alternate Flow Scenario F: CBP determines any hold or issue is not resolved.***

- 6F. CBP determines any hold or issue is NOT resolved.
  1. Proceed to Main Success Scenario step 8.

#### ***Alternate Flow Scenario G: ACE determines all holds/issues have not been processed.***

- 8G. ACE determines all holds/issues have NOT been processed.
  1. Proceed to Main Success Scenario step 1.

### 2.1.1.2.8 Perform Conveyance Clearance

**BUSINESS PROCESS SCENARIO NAME:** Perform Conveyance Clearance

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

This Business Process performs conveyance clearance.

**PROCESS PARTICIPANTS (ACTORS):** Carrier, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA reference files to identify jurisdiction must be available to ACE.

**Driver/Event Trigger:** This Business Process starts after entrance functions have been completed and holds or issues have been processed, including any boarding activities that are required.

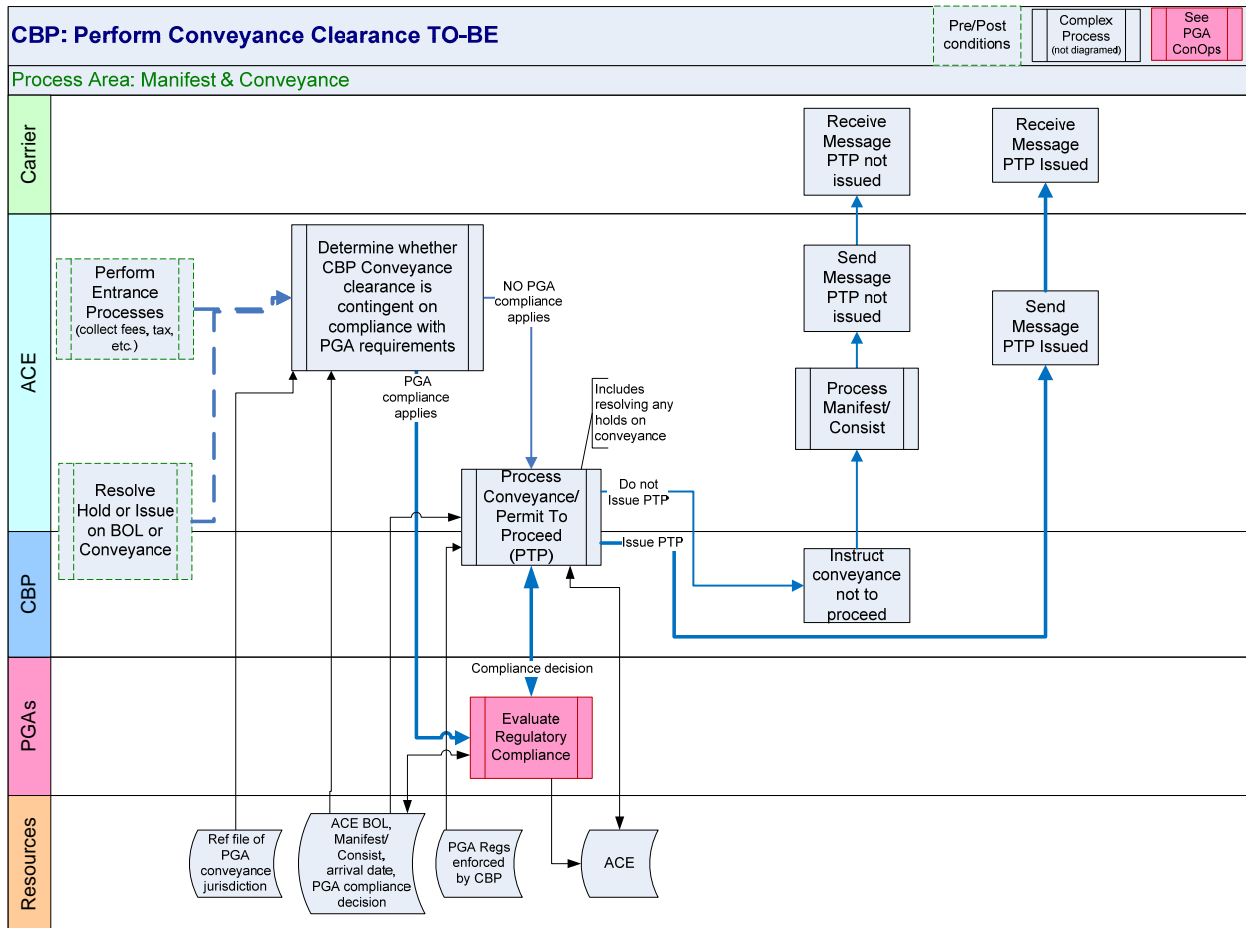
**Successful End:** This Business Process is successfully completed when CBP properly grants or withholds a PTP for the conveyance.

**Outputs/results:** This Business Process issues a PTP for a cleared conveyance.

Other scenario or processes referenced by this scenario: Determine whether CBP Conveyance Clearance is Contingent on PGA Compliance; Process Conveyance/Permit to Proceed; Process Manifest/Consist. Business Processes related to PGA: Evaluate Regulatory Compliance.

**Assumptions for Perform Conveyance Clearance:**

- Only CBP has the authority to clear conveyance – PGAs evaluate regulatory compliance.



**Main Success (Basic Flow) Scenario:**

1. ACE determines CBP conveyance clearance is contingent on PGA compliance.
2. PGA evaluates regulatory compliance.
3. CBP and ACE process the conveyance.
4. ACE issues a Permit to Proceed (PTP).
5. ACE sends message to Carrier that PTP is issued.

***Alternate Flow Scenario A: CBP and ACE do not issue PTP.***

1A ACE determines CBP conveyance clearance is NOT contingent on PGA compliance.

1. Proceed to Main Success Scenario step 3.

***Alternate Flow Scenario B: CBP and ACE do not issue PTP.***

4B. ACE does NOT issue a PTP.

1. CBP instructs conveyance not to proceed.
2. ACE processes Manifest/Consist.
3. ACE sends message to Carrier that PTP is not issued.

### 2.1.1.2.9 Remedy APHIS Regulatory Discrepancy

**BUSINESS PROCESS SCENARIO NAME:** Remedy APHIS Regulatory Discrepancy

**BUSINESS PROCESS AREA:** Manifest & Conveyance

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

This Business Process remedies discrepancies identified during boarding or inspection activities performed at conveyance arrival.

**PROCESS PARTICIPANTS (ACTORS):** Carrier, ACE, CBP, APHIS.

**BOUNDARIES:**

**Preconditions or Prerequisites:** Conveyance has arrived and has been boarded and/or inspected and a discrepancy was found.

**Driver/Event Trigger:** This Business Process starts after a conveyance discrepancy is identified during arrival inspection.

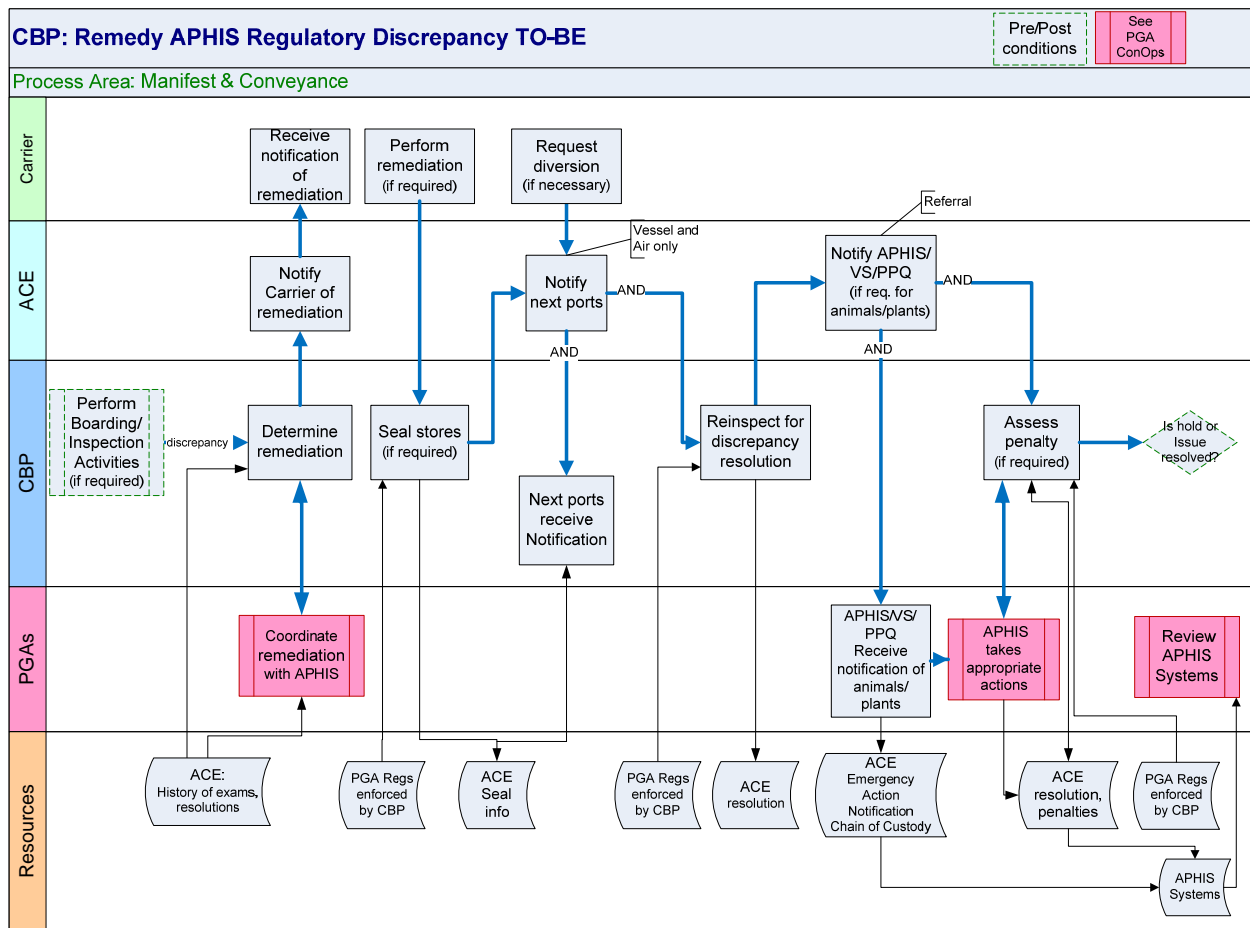
**Successful End:** This Business Process is successfully completed when the discrepancy is remediated and any required notifications have been sent.

**Outputs/results:** This Business Process produces a conveyance that can be processed for clearance.

**Other scenario or processes referenced by this scenario:** Business Processes related to PGA: Coordinate Remediation with APHIS; APHIS Takes Appropriate Actions; Review APHIS Systems.

**Assumptions:**

- This process is designed for the interaction between CBP and APHIS and may be applicable to other PGAs, with further refinement.
- All appropriate CBPAS findings are provided to APHIS systems by ACE.



**Main Success (Basic Flow) Scenario:**

1. CBP, in consultation with APHIS, determines remediation is required.
2. ACE notifies Carrier of remediation, if required.
3. Carrier performs remediation, if required.
4. CBP seals stores, if required, and puts seal number in ACE.
5. Carrier requests a diversion, if necessary.
6. ACE notifies next port (Air & Vessel only).
7. CBP reinspects for discrepancy resolution and enters inspection findings into ACE, which provides them to APHIS Systems.
8. ACE uses a referral to notify APHIS/Veterinary Services (VS)/Plant Protection and Quarantine (PPQ) if specific animals or plants, not manifested as cargo, were identified on conveyance; APHIS takes appropriate actions.
9. CBP, in consultation with APHIS, assesses a penalty, if necessary, and enters penalty assessment as a finding into ACE, which provides them to APHIS Systems.

Independent of this sequence, APHIS reviews the findings in APHIS Systems.

## 2.1.1.3 Entry & Release

### 2.1.1.3.1 Process PGA ABI Consumption Entry

**BUSINESS PROCESS SCENARIO NAME:** Process PGA ABI Consumption Entry

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to make a determination as to the admissibility of the cargo identified on an Entry. If the commodity is PGA regulated, then verify the admissibility of the cargo according to the requirements recorded via the PGA ConOps.

**PROCESS PARTICIPANTS (ACTORS):** Filer, CBP, PGAs, ACE.

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA has properly maintained its reference files and they are available to ACE. These reference files may include the Harmonized Tariff Schedule (HTS); product codes; LPCs; authorized countries; approved facilities, etc.

**Driver/Event Trigger:** This Business Process starts when an electronic Consumption Entry is submitted into ACE.

**Successful End:** This Business Process is successfully completed when all PGA requirements for the shipment have been met and the shipment has been released or, if not met, appropriate action has been taken.

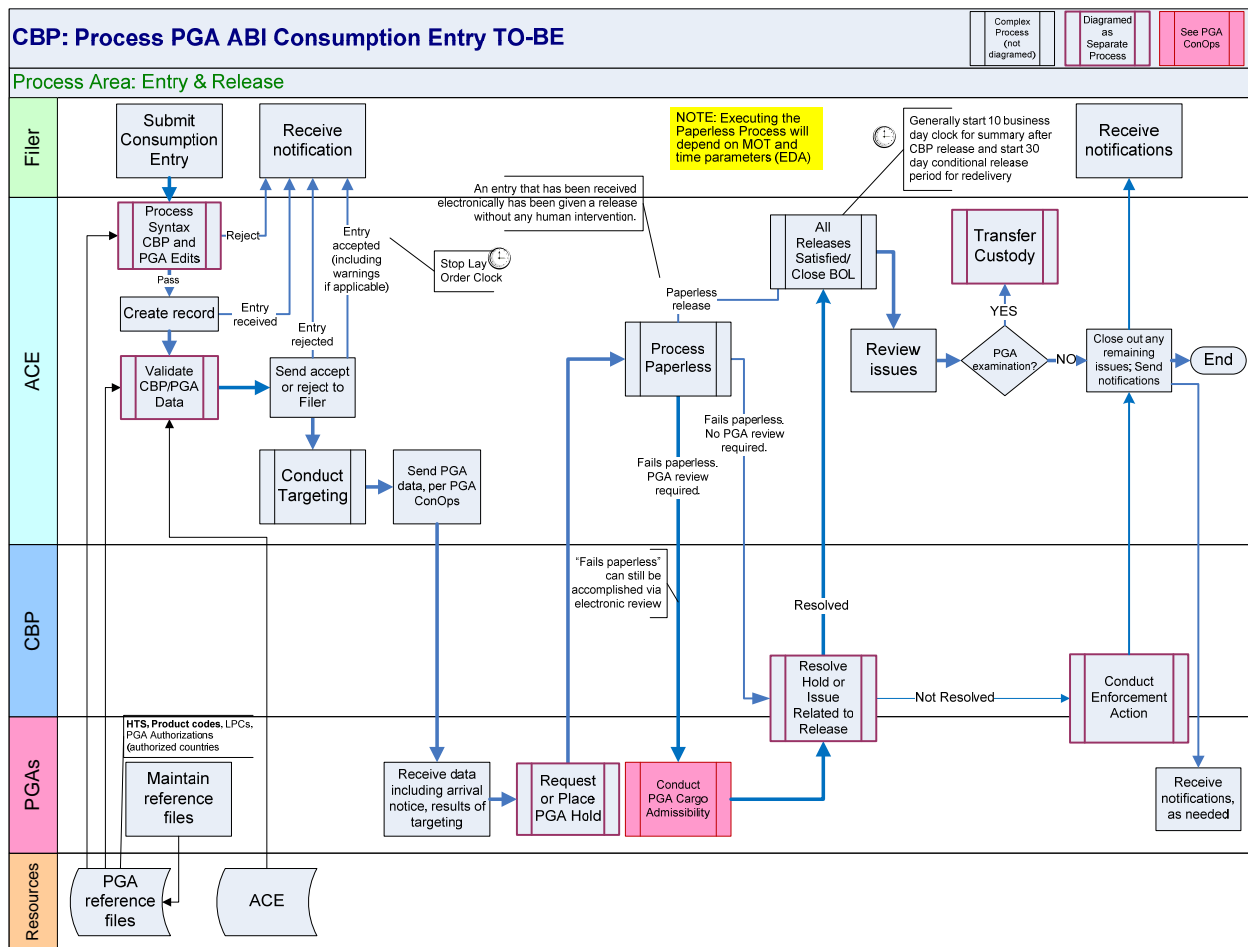
**Outputs/results:** Commodities are released, seized, destroyed, or re-exported.

**Other scenario or processes referenced by this scenario:** Process Syntax CBP and PGA Edits; Validate CBP/PGA Data; Conduct Targeting; Request or Place PGA Hold; Process Paperless; Resolve Hold or Issue Related to Release; Conduct Enforcement Action; All Releases Satisfied/Close BOL; Transfer Custody. Business Processes related to PGA: Conduct PGA Cargo Admissibility.

**Assumptions:**

- All existing Automated Broker Interface (ABI) cargo release edits carry forward into ACE.
- Data are entered electronically.
- Overrides to intensive examinations will be treated as holds.
- If the whole Entry is overridden to an intensive examination, findings may be entered at the header level as opposed to the line level.
- Line level findings will still be applicable.
- Findings will be entered into ACE.
- PGAs with authority will have access to targeting results.
- All appropriate CBPAS findings are provided to APHIS systems by ACE.





### Main Success (Basic Flow) Scenario:

1. Filer submits electronic Entry into ACE.
2. ACE determines that the Entry passes syntax CBP and PGA edits.
3. ACE creates the entry record and sends an Entry received message to the Filer.
4. ACE validates the CBP/PGA data.
5. ACE sends the Filer an accept or reject message (accept messages may include warnings if applicable). If accepted, ACE stops the lay order clock.
6. ACE conducts targeting.
7. ACE sends PGA data, including arrival notification, to appropriate PGA(s).
8. PGA receives data, including arrival notification, and results of targeting.
9. ACE processes PGA request for hold on Entry or Entry Line.
10. ACE determines the Entry cannot go paperless and PGA review is required.
11. PGA conducts cargo admissibility (process defined in applicable PGA ConOps).
12. CBP and/or PGA resolves any holds or issues related to release.
13. ACE determines all admissibility issues dealing with the release process are satisfied, closes BOL, and starts the ten day clock.
14. ACE reviews any issues.
15. ACE determines no PGA examination is required.
16. ACE closes out any remaining issues.
17. ACE notifies Trade and PGA as appropriate.

***Alternate Flow Scenario A: Does not pass syntax CBP and PGA edits.***

2A. ACE determines that the Entry does not pass syntax CBP and PGA edits.

1. ACE rejects the Entry and notifies the Filer of the reject reason(s).

***Alternate Flow Scenario B: CBP/PGA data is not valid.***

4B. ACE determines the Entry does not pass validation of the CBP/PGA data.

1. ACE rejects the Entry and notifies the Filer of the reject reason(s).

***Alternate Flow Scenario C: Entry qualifies for paperless.***

10C. ACE determines the Entry can go paperless (fully electronic release).

1. Return to Main Success Scenario step 13.

***Alternate Flow Scenario D: Entry does not qualify for paperless, no PGA review required.***

10D. ACE determines the Entry cannot go paperless and no PGA review is required.

1. Return to Main Success Scenario step 12.

***Alternate Flow Scenario E: Hold or issue is not resolved, no PGA review required, cargo not released.***

12E. CBP cannot resolve any holds or issues related to release.

1. CBP conducts enforcement action.
2. ACE notifies Trade and PGA as appropriate.

***Alternate Flow Scenario F: ACE determines a PGA examination is required.***

15F. ACE determines a PGA examination is required.

1. Proceed to “Transfer Custody” process.

### 2.1.1.3.2 Process PGA non-ABI Consumption Entry

**BUSINESS PROCESS SCENARIO NAME:** Process PGA non-ABI Consumption Entry

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to make a determination as to the admissibility of the cargo identified on an Entry that has been submitted via paper. If the commodity is PGA regulated, then verify the admissibility of the cargo according to the requirements recorded via the PGA ConOps.

**PROCESS PARTICIPANTS (ACTORS):** Carrier, CBP, PGAs, ACE

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA has properly maintained its reference files and they are available to ACE. These reference files may include LPCs, authorized countries, HTS, product codes, approved facility files, etc.

**Driver/Event Trigger:** This Business Process starts when a paper Consumption Entry is submitted to CBP.

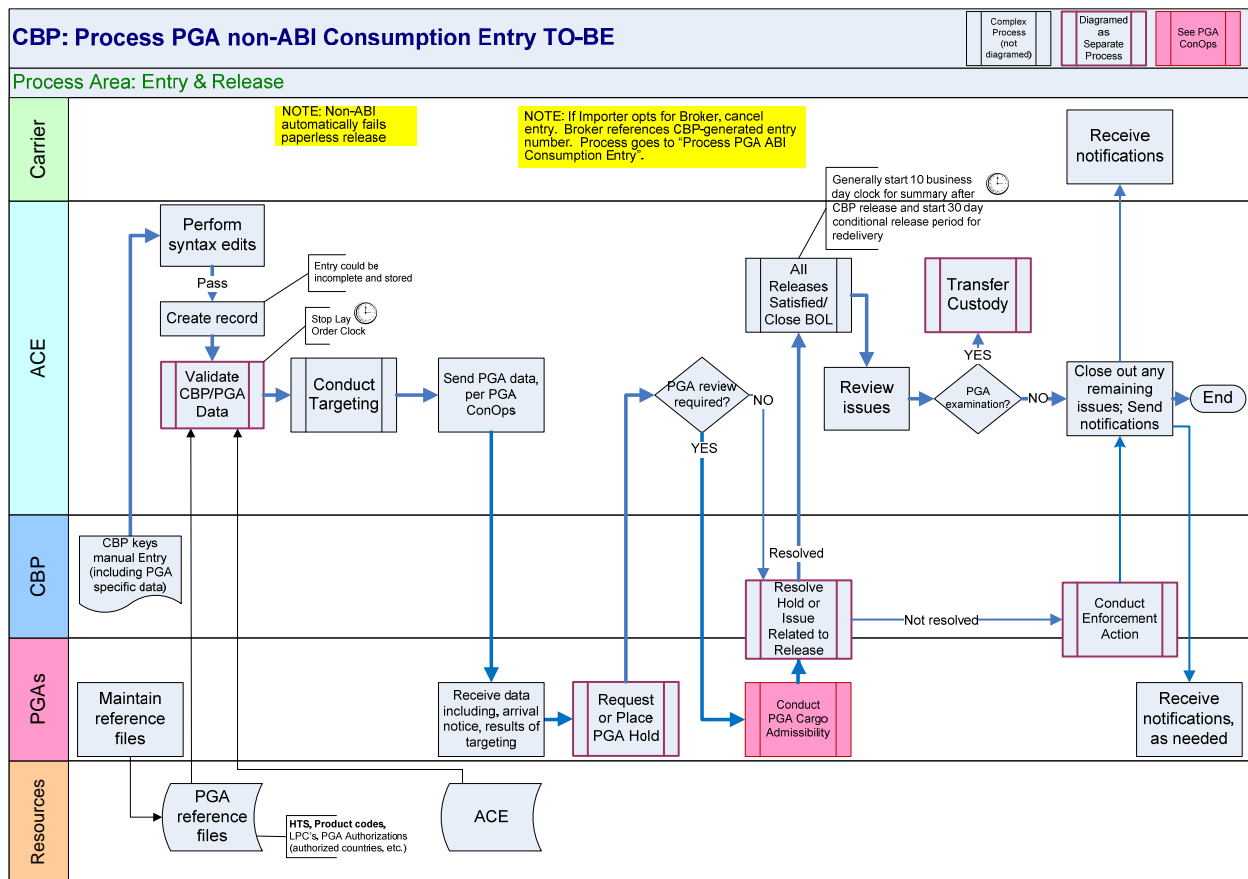
**Successful End:** This Business Process is successfully completed when all requirements for the shipment have been met and the shipment has been released or, if not met, appropriate action has been taken.

**Outputs/results:** Commodities are released, seized, destroyed, or re-exported.

**Other scenario or processes referenced by this scenario:** Validate CBP/PGA Data; Conduct Targeting; Request or Place PGA Hold; Resolve Hold or Issue Related to Release; All Releases Satisfied/Close BOL; Conduct Enforcement Action; Transfer Custody. Business Processes related to PGA: Conduct PGA Cargo Admissibility.

**Assumptions:**

- This process includes live Entry.
- CBP users will be able to input incomplete Entries and save them for completion later.
- CBP users will input associated PGA data with the Entry.



### Main Success (Basic Flow) Scenario:

1. CBP keys in a manual Consumption Entry.
2. ACE syntax edits are passed.
3. ACE creates the record.
4. ACE validates the CBP/PGA data and stops the lay order clock.
5. ACE conducts targeting.
6. ACE sends PGA data, including arrival notification, to appropriate PGA(s).
7. PGA receives data, including arrival notification, and results of targeting.
8. ACE processes PGA request for hold on Entry or Entry Line.
9. ACE determines PGA review is required.
10. PGA conducts cargo admissibility (process defined in applicable PGA ConOps).
11. CBP and/or PGA resolves any holds or issues related to release.
12. ACE determines all releases dealing with the release process are satisfied, closes BOL, and starts the ten day clock.
13. ACE reviews any issues.
14. ACE determines no PGA examination is required.
15. ACE closes out any remaining issues.
16. ACE notifies PGA and Carrier as appropriate.

### Alternate Flow Scenario A: *PGA review of Consumption Entry is not required, hold or issue exists, cargo released.*

- 9A. ACE determines PGA review is not required.
  1. CBP resolves any holds or issues related to release.

2. Return to Main Success Scenario step 12.

***Alternate Flow Scenario B: PGA review of Consumption Entry is not required, hold or issue exists, cargo is not released.***

11B. CBP cannot resolve any holds or issues related to release.

1. CBP conducts an enforcement action.
2. ACE notifies PGA and Carrier as appropriate.

***Alternate Flow Scenario C: ACE determines a PGA examination is required.***

14C. ACE determines a PGA examination is required.

1. Proceed to “Transfer Custody” process.

### 2.1.1.3.3 Process Warehouse Entry

**BUSINESS PROCESS SCENARIO NAME:** Process Warehouse Entry

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to make a determination as to the admissibility of the cargo identified on a Warehouse Entry. If the commodity is PGA regulated, then verify the admissibility of the cargo according to the requirements recorded via the PGA ConOps.

**PROCESS PARTICIPANTS (ACTORS):** Filer, CBP, PGAs, ACE.

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA has properly maintained its reference files and they are available to ACE. These reference files may include LPCs, authorized countries, HTS, product codes, approved facility files, etc.

**Driver/Event Trigger:** This Business Process starts when a Warehouse Entry is electronically submitted into ACE.

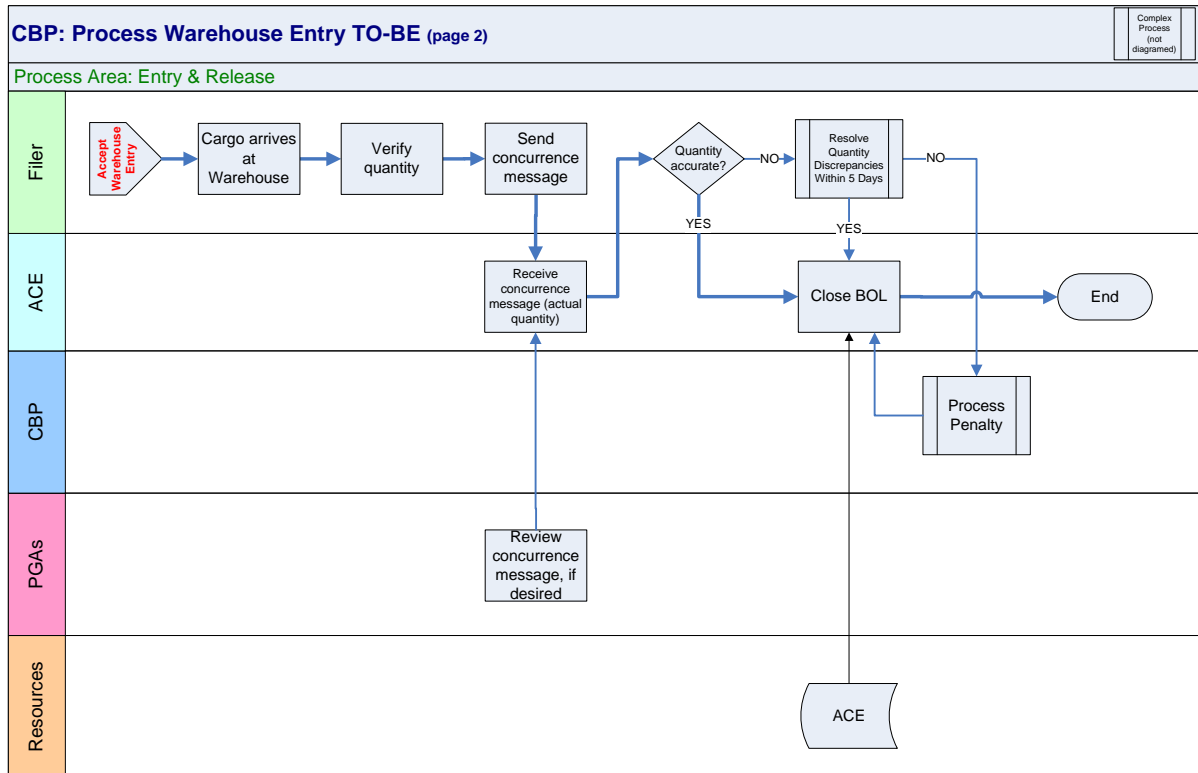
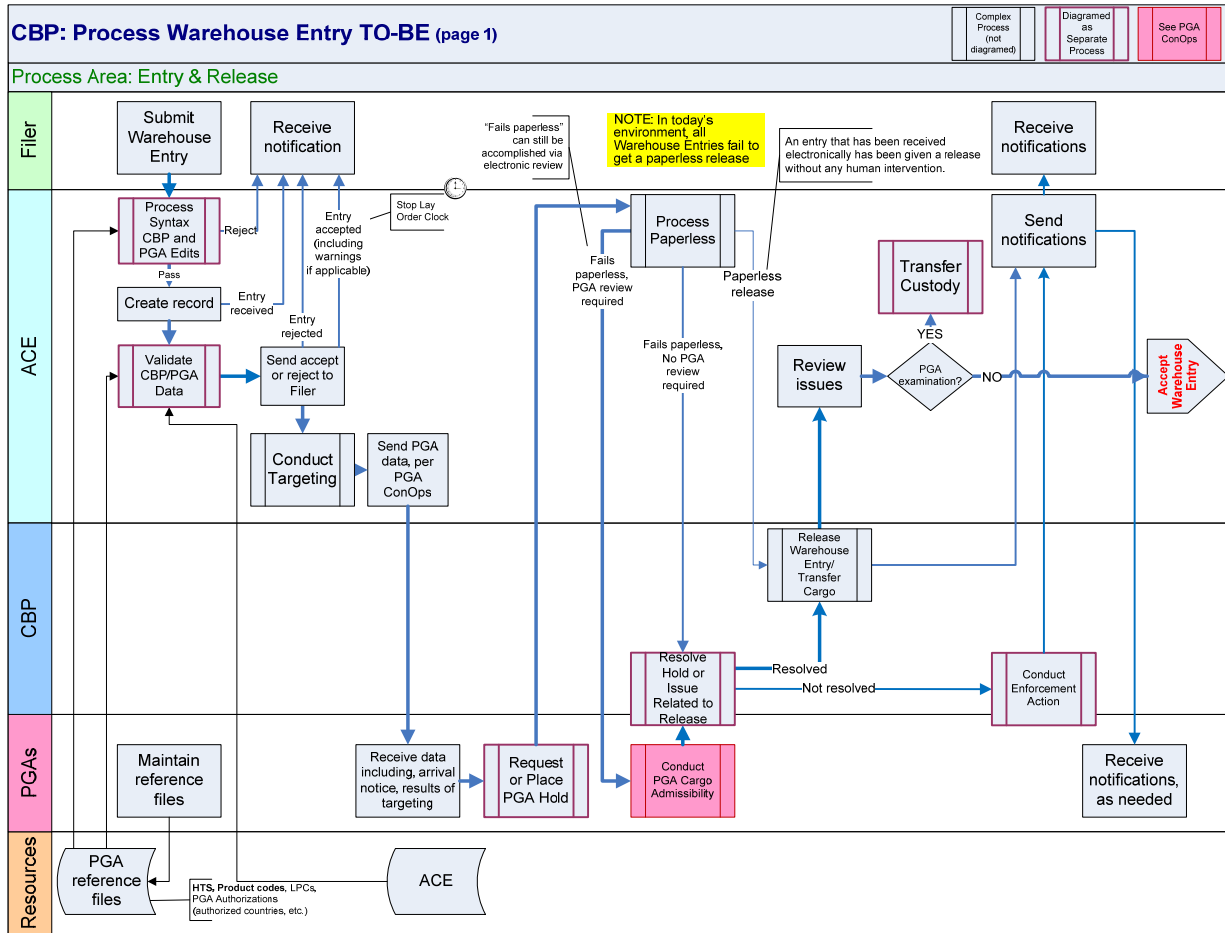
**Successful End:** This Business Process is successfully completed when all PGA requirements for the shipment have been met, the shipment has been warehoused, and all quantities are accurate.

**Outputs/results:** Commodities are warehoused, seized, destroyed, or re-exported.

**Other scenario or processes referenced by this scenario:** Process Syntax CBP and PGA Edits; Validate CBP/PGA Data; Conduct Targeting; Request or Place PGA Hold; Process Paperless; Resolve Hold or Issue Related to Release; Conduct Enforcement Action; Release Warehouse Entry/Transfer Cargo; Transfer Custody; Resolve Quantity Discrepancies Within 5 Days; Process Penalty. Business Processes related to PGA: Conduct PGA Cargo Admissibility.

**Assumptions:**

- Merchandise remaining in Warehouse for more than 5 years is subject to Immediate Sale.
- Must be a CBP Bonded Warehouse.



### **Main Success (Basic Flow) Scenario:**

1. Filer submits electronic Warehouse Entry into ACE.
2. ACE determines that the Warehouse Entry passes syntax CBP and PGA edits.
3. ACE creates the record and sends an Entry received message to the Filer.
4. ACE validates the CBP/PGA data.
5. ACE sends the Filer an accept or reject message (accept messages may include warnings if applicable). If accepted, ACE stops the lay order clock.
6. ACE conducts targeting.
7. ACE sends PGA data, including arrival notification, to appropriate PGA(s).
8. PGA receives data, including arrival notification, and results of targeting.
9. ACE processes PGA request for hold on Entry or Entry Line.
10. ACE determines the Entry cannot go paperless and PGA review is required.
11. PGA conducts cargo admissibility (process defined in applicable PGA ConOps).
12. CBP and/or PGA resolves any holds or issues related to release.
13. CBP releases Warehouse Entry and authorizes the transfer of cargo.
14. ACE reviews any issues.
15. ACE determines no PGA examination is required.
16. Cargo arrives at the Warehouse.
17. Filer verifies the quantity.
18. Filer sends a concurrence message.
19. ACE receives the concurrence message.
20. Filer determines the quantity is accurate.
21. ACE closes the BOL.

#### ***Alternate Flow Scenario A: Does not pass syntax CBP and PGA edits and validations.***

2A. ACE determines that the Warehouse Entry does not pass syntax CBP and PGA edits.

1. ACE rejects the Warehouse Entry and notifies the Filer of the reject reason(s).

#### ***Alternate Flow Scenario B: CBP/PGA data is not valid.***

4B. ACE determines the Warehouse Entry does not pass validation of the CBP/PGA data.

1. ACE rejects the Warehouse Entry and notifies the Filer of the reject reason(s).

#### ***Alternate Flow Scenario C: Warehouse Entry qualifies for paperless.***

10C. ACE determines the Warehouse Entry can go paperless (fully electronic release).

1. Return to Main Success Scenario step 13.

#### ***Alternate Flow Scenario D: Warehouse Entry does not qualify for paperless, no PGA review required.***

10D. ACE determines the Warehouse Entry cannot go paperless and no PGA review is required.

1. Return to Main Success Scenario step 12.

#### ***Alternate Flow Scenario E: Hold or issue is not resolved.***

12E. CBP and/or PGA cannot resolve any holds or issues related to release.

1. CBP and/or PGA conducts enforcement action.
2. ACE notifies Trade and PGA as appropriate.



***Alternate Flow Scenario F: ACE determines a PGA examination is required.***

15F. ACE determines a PGA examination is required.

1. Proceed to “Transfer Custody” process.

***Alternate Flow Scenario G: Filer determines the quantity is not accurate.***

20G. Filer determines the quantity is not accurate.

1. Filer resolves quantity discrepancies within 5 days.
2. ACE closes the BOL.

**Sub-Alternate Flow Scenario G1: Filer does not resolve quantity discrepancies within 5 days.**

20G1 G1. Filer does not resolve quantity discrepancies within 5 days.

1. CBP processes penalty.

#### 2.1.1.3.4 Process Foreign Trade Zone Admission

**BUSINESS PROCESS SCENARIO NAME:** Process Foreign Trade Zone Admission

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to admit cargo into a Foreign Trade Zone.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA has properly maintained its reference files and they are available to ACE. These reference files may include LPCs, authorized countries, HTS, product codes, approved facility files, etc.

**Driver/Event Trigger:** This Business Process starts when a Filer submits an electronic Foreign Trade Zone Admission into ACE.

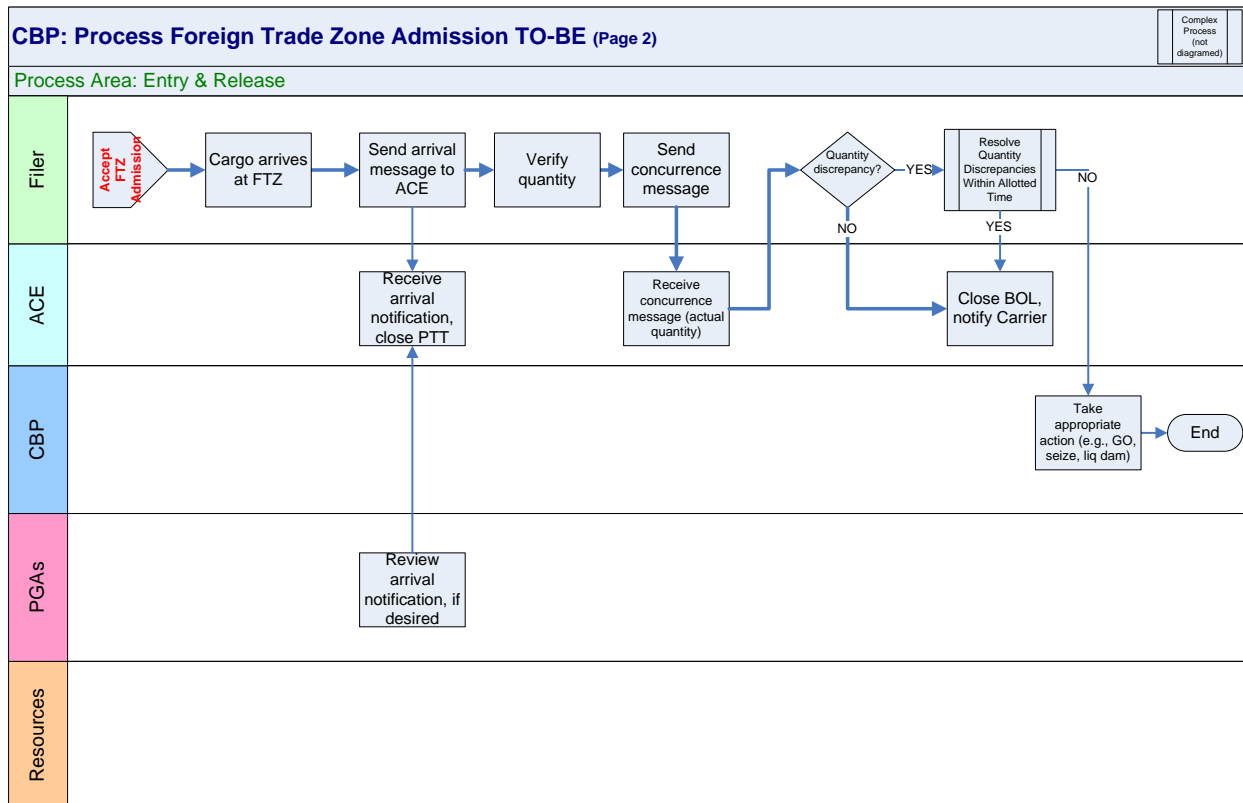
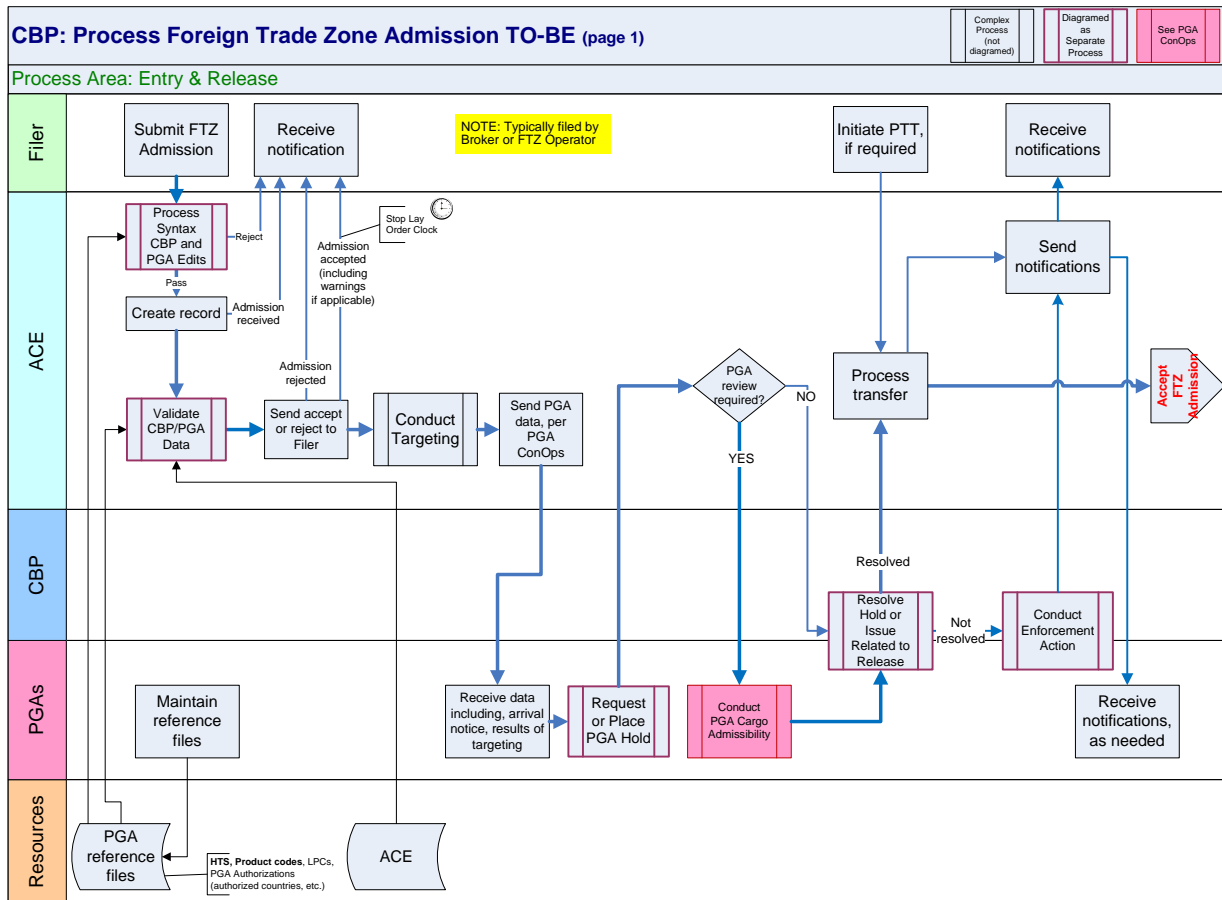
**Successful End:** This Business Process is successfully completed when cargo has arrived at the Zone, the quantities have been verified, and the BOL has been closed out.

**Outputs/results:** Commodities are entered into a Zone with any quantity issues resolved, or the commodities are sent to General Order.

**Other scenario or processes referenced by this scenario:** Process Syntax CBP and PGA Edits; Validate CBP/PGA Data; Conduct Targeting; Request or Place PGA Hold; Resolve Hold or Issue Related to Release; Conduct Enforcement Action; Resolve Quantity Discrepancies Within Allotted Time. Business Processes related to PGA: Conduct PGA Cargo Admissibility.

**Assumptions:**

- All Admissions will be electronic (mandatory).
- FTZ Filers will electronically submit permit numbers (and other PGA data) for Zone Admission.
- PGAs can request or place (if authorized) a hold on FTZ Admissions.
- Direct delivery is subsumed by this process.
- FTZ Admission applicant will be required to file full and complete HTS information for all commodities seeking admission to the FTZ.



**Main Success (Basic Flow) Scenario:**

1. Filer submits application for Admission to FTZ into ACE.
2. ACE determines that the application for Admission passes syntax CBP and PGA edits.
3. ACE creates the record and sends an Admission received message to the Filer.
4. ACE validates the CBP/PGA data.
5. ACE sends the Filer an accept or reject message (accept message may include warnings if applicable). If accepted, ACE stops the lay order clock.
6. ACE conducts targeting.
7. ACE sends PGA data, including arrival notification, to appropriate PGA(s).
8. PGA receives data, including arrival notification, and results of targeting.
9. ACE processes PGA request for hold.
10. ACE determines that PGA review is required.
11. PGA conducts cargo admissibility (process defined in applicable PGA ConOps).
12. CBP and/or PGA resolves any holds or issues related to release.
13. ACE processes the transfer to the Zone; Filer initiates a Permit to Transfer (PTT) if required.
14. The cargo arrives at the FTZ.
15. Filer sends the arrival message to CBP via ACE.
16. ACE receives the arrival message and closes the PTT, if required.
17. Filer verifies the quantity.
18. Filer sends a concurrence message.
19. ACE receives the concurrence message.
20. Filer determines there is no quantity discrepancy.
21. ACE closes the BOL and notifies the Carrier.

***Alternate Flow Scenario A: Does not pass syntax CBP and PGA edits.***

2A. ACE determines that the application for Admission does not pass syntax CBP and PGA edits.

1. ACE rejects the application for Admission and notifies the Filer of the reject reason(s).

***Alternate Flow Scenario B: CBP/PGA data is not valid.***

4B. ACE determines the application for Admission does not pass validation of the CBP/PGA data.

1. ACE rejects the application for Admission and notifies the Filer of the reject reason(s).

***Alternate Flow Scenario C: PGA review is not required.***

10C. PGA review is not required.

1. Return to Main Success Scenario step 12.

***Alternate Flow Scenario D: Hold or issue is not resolved.***

12D. CBP and/or PGA cannot resolve holds or issues related to release.

1. CBP and/or PGA conducts enforcement action.
2. ACE notifies Filer and PGA as appropriate.

***Alternate Flow Scenario E: Filer determines there is a quantity discrepancy.***

20E. Filer determines there is a quantity discrepancy.

1. Filer resolves quantity discrepancy within the allotted time.

2. ACE closes the BOL and notifies the Carrier.

**Sub-Alternate Flow Scenario E1: Filer does not resolve quantity discrepancy within the allotted time.**

20E1 E1. Filer cannot resolve quantity discrepancy within the allotted time.

1. CBP takes appropriate action (e.g. General Order, seizure, liquidated damages, etc.).

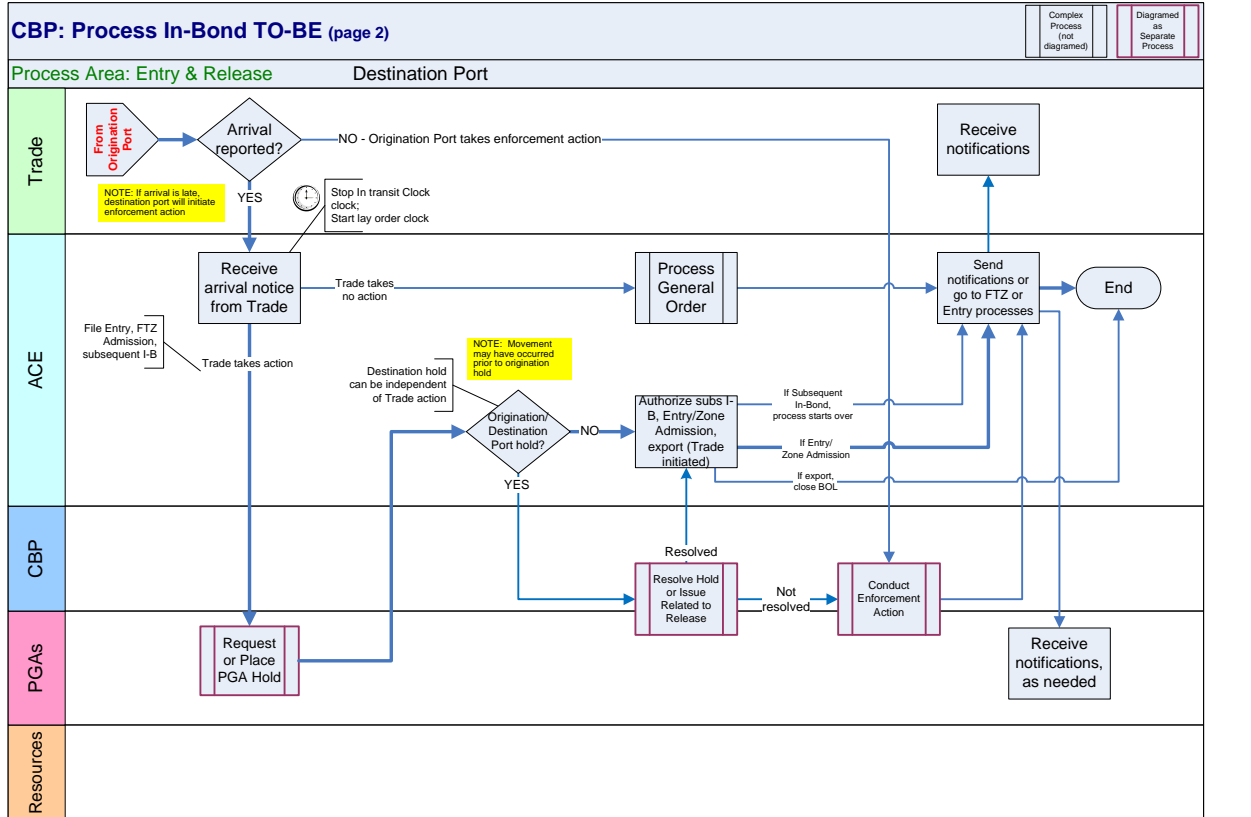
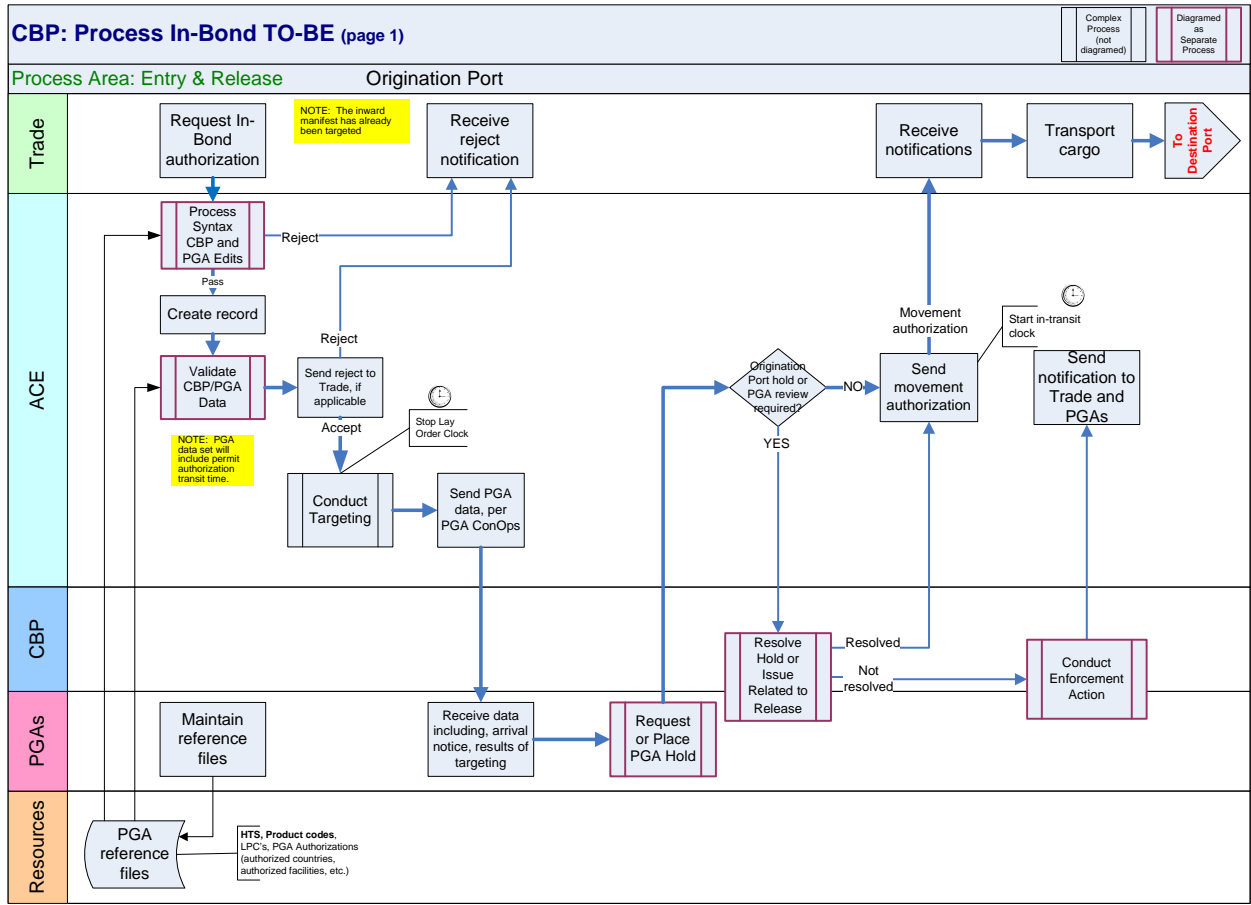
### 2.1.1.3.5 Process In-Bond

**BUSINESS PROCESS SCENARIO NAME: Process In-Bond****BUSINESS PROCESS AREA: Entry & Release****PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to ensure that movements within port or via In-Bond are fully automated and authorized by CBP and/or applicable PGAs. Bonded movements include Delivery Ticket (CBP Form 6043), Permit to Transfer (PTT), Immediate Transportation (IT – Type 61), Transportation and Exportation (TE – Type 62), and Immediate Exportation (IE – Type 63). Bonded movements will be tracked from origination to destination and the system will include clocks to verify the timeliness of the arrivals. Automation will be based on the fact that the Trade will communicate arrivals and transfers of liability in the ACE system.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, CBP, PGAs.**BOUNDARIES:****Preconditions or Prerequisites:** Cargo has arrived at the U.S. Port of Entry and a decision has been made to move the commodity under bond.**Driver/Event Trigger:** This Business Process starts when the Trade submits Manifest or other In-Bond information into ACE.**Successful End:** This Business Process is successfully completed when the cargo reaches its destination and has an appropriate Entry action (subsequent I-B, Entry, FTZ Admission, export, moved to a Bonded Warehouse, etc.) taken with notifications of the action sent to the Trade and the PGA.**Outputs/results:** This Business Process produces notices to the Trade and PGAs regarding status and disposition of the cargo.**Other scenario or processes referenced by this scenario:** Process Syntax CBP and PGA Edits; Validate CBP/PGA Data; Conduct Targeting; Request or Place PGA Hold; Resolve Hold or Issue Related to Release; Conduct Enforcement Action; Process General Order.**Assumptions:**

- HTS and product code data must be required by PGA regulation.
- All In-Bond shall be electronically submitted and the Trade will be responsible for electronically reporting arrival and/or exportation in ACE.
- Authorization is required from CBP before bonded movement can occur.
- All default transit times are 30 days except pipeline (90 days).
- In-Bond will be arrived to a port code and a Facilities Information and Resources Management System (FIRMS) code.
- If there is a PGA permit associated with the merchandise it shall be included electronically and may include truncated in-transit times, as allowed by the permit.
- In-Bond cargo will reach destination port before the In Transit clock expires or else appropriate enforcement action ensues.
- Except for the movement authorization, all messages to the Trade will be suppressed until actual arrival at the destination port.
- PGA validations are contingent upon PGA data set being required.



**Main Success (Basic Flow) Scenario:**

1. Trade submits a request for an In-Bond authorization.
2. ACE determines that the request for In-Bond authorization passes syntax CBP and PGA edits.
3. ACE creates the record.
4. ACE validates the CBP/PGA data and stops the lay order clock if accepted.
5. ACE sends the Trade a reject message, if applicable.
6. ACE conducts targeting.
7. ACE sends PGA data, including arrival notification, to appropriate PGA(s).
8. PGA receives data, including arrival notification, and results of targeting.
9. ACE processes PGA request for hold.
10. ACE determines that there is no origination port hold on the shipment.
11. ACE sends a movement authorization notice to the Trade and starts an In-Transit clock; merchandise must be delivered to destination within prescribed period.
12. Trade transports the cargo to its destination.
13. Trade reports the arrival of the cargo (in ACE) at its destination.
14. ACE stops the in-transit clock and starts the lay order clock; Entry required within 15 calendar days of landing or arrival.
15. Trade takes action on the cargo at the destination port (files Entry, subsequent I-B, FTZ Admission or exports).
16. ACE processes PGA request for hold.
17. ACE determines there is no hold on the shipment at the destination port.
18. CBP (in ACE) authorizes the Trade-initiated Entry, subsequent I-B, FTZ Admission or export.
19. ACE notifies the Trade and the PGA of the authorization (as needed).

***Alternate Flow Scenario A: Does not pass the syntax CBP and PGA edits.***

- 2A. ACE determines that the request for In-Bond authorization does not pass syntax CBP and PGA edits.
1. ACE rejects the request for In-Bond authorization and notifies the Trade of the reject reason(s).

***Alternate Flow Scenario B: CBP/PGA data is not valid.***

- 4B. ACE determines the request for In-Bond authorization does not pass validation of the CBP/PGA data.
1. ACE rejects the request for In-Bond authorization and notifies the Trade of the reject reason(s).

***Alternate Flow Scenario C: Cargo hold at port of origination – hold resolved.***

- 10C. ACE determines that there is an origination port hold on the shipment.
1. CBP and/or PGA resolves the hold or issue related to release.
  2. Return to Main Success Scenario step 11.

***Sub-Alternate Flow Scenario C1: Cargo hold at port of origination – hold not resolved.***

- 10C1 C1. CBP and/or PGA cannot resolve the hold or issue related to release.
1. CBP and/or PGA proceed to “Conduct Enforcement Action” process.
  2. ACE notifies the Trade and the PGA of the enforcement action (as needed).

***Alternate Flow Scenario D: Trade does not take action after arrival of the cargo at the***



***destination port.***

15D. Trade does not take action on the cargo at the destination port (file Entry, subsequent I-B, FTZ Admission, or export).

1. Lay order clock in ACE expires.
2. Cargo is ordered into General Order.
3. ACE notifies the Trade and the PGA of the General Order status (as needed).

***Alternate Flow Scenario E: Cargo hold at port of destination – hold resolved.***

17E. ACE determines that there is a hold on the shipment at the destination port.

1. CBP and/or PGA resolves the hold or issue.
2. Return to Main Success Scenario step 18.

**Sub-Alternate Flow Scenario E1: Cargo hold at port of destination – hold not resolved.**

17E1 E1. CBP or PGA does not resolve the hold issue.

1. CBP and/or PGA proceed to “Conduct Enforcement Action” process.
2. ACE notifies the Trade and the PGA of the enforcement action (as needed).

### 2.1.1.3.6 Process Syntax CBP and PGA Edits

**BUSINESS PROCESS SCENARIO NAME:** Process Syntax CBP and PGA Edits

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to perform CBP and PGA edits prior to Entry, In-Bond, and FTZ Admission being created in ACE.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** Entry, In-Bond, or FTZ Admission data has been submitted.

**Driver/Event Trigger:** This Business Process starts when Entry, In-Bond, or FTZ Admission data has been received in ACE.

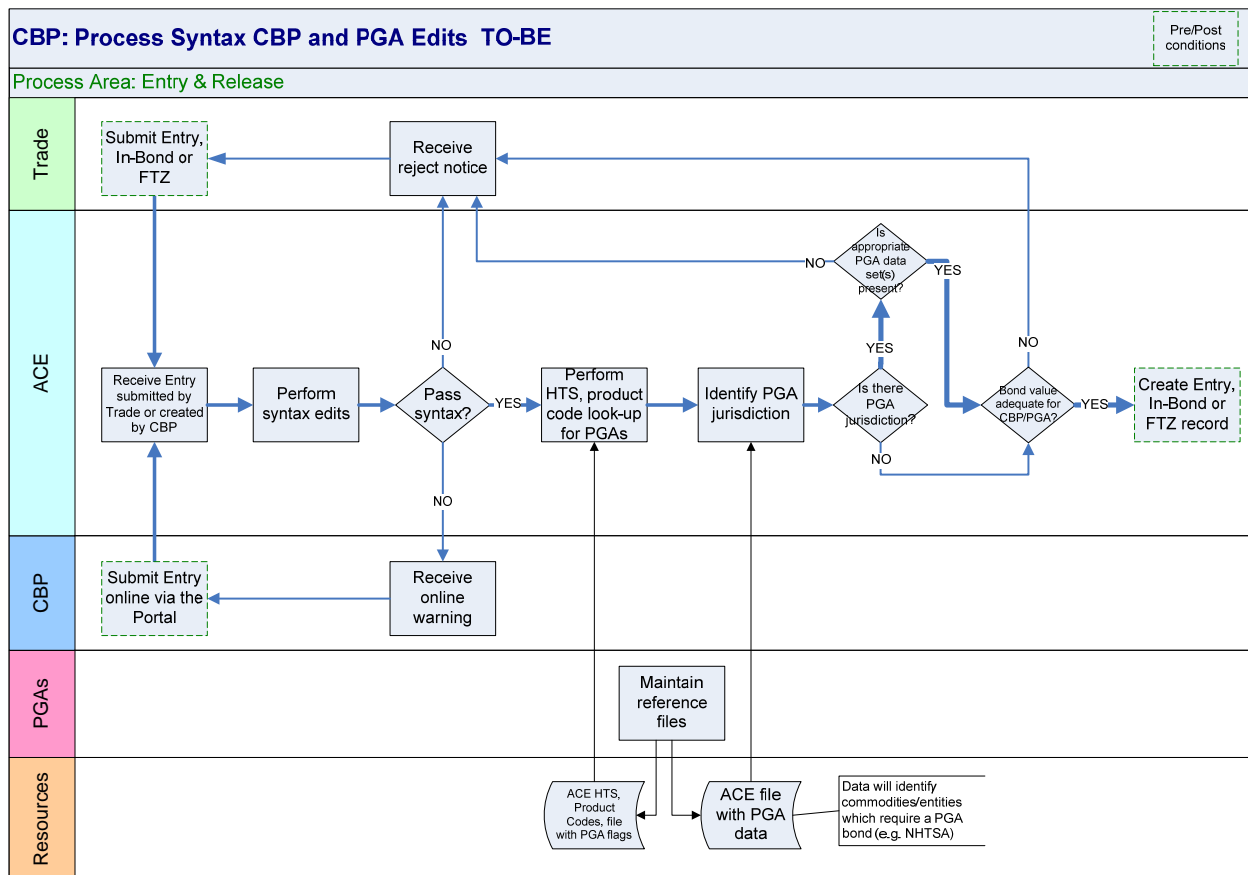
**Successful End:** This Business Process is successfully completed when all CBP and PGA syntax edits have passed and the Entry is created, or if not passed, Filer has received a reject notice.

**Outputs/results:** This Business Process produces an Entry, In-Bond, or FTZ Admission record in ACE.

**Other scenario or processes referenced by this scenario:** None

**Assumptions:**

- Prior to an Entry being created, ACE will check for required PGA data to determine if the data is present, but not whether or not it is valid.
- Reasons for rejects will be provided to the Trade.
- ACE will have the ability to accept, in an automated fashion, the combination of a continuous bond and a single transaction bond.
- PGAs must provide reference information for their bonds.



### Main Success (Basic Flow) Scenario:

1. Trade submits Entry, In-Bond, or FTZ Admission (or CBP submits on-line Entry) into ACE.
2. ACE performs syntax edits.
3. ACE determines the data pass ACE syntax edits.
4. ACE performs harmonized tariff and product code look-up for PGAs.
5. ACE identifies PGA jurisdiction.
6. ACE determines the appropriate PGA data set(s) is present.
7. ACE determines the CBP/PGA bond value is adequate.
8. ACE creates the Entry, In-Bond, or FTZ Admission record.

### Alternate Flow Scenario A: Does not pass ACE syntax edits.

- 3A. ACE determines the data does not pass ACE syntax edits.

1. If submitted via ABI, ACE rejects the Entry, In-Bond, or FTZ Admission and notifies the Trade of the reject reason(s). If submitted on-line by CBP, ACE presents a warning via the ACE portal.

### Alternate Flow Scenario B: ACE does not identify PGA jurisdiction.

- 5B. ACE does not identify PGA jurisdiction.

1. ACE determines the CBP bond value is adequate.
2. ACE creates the Entry, In-Bond or FTZ Admission record.

**Sub-Alternate Flow Scenario B1: ACE does not identify PGA jurisdiction; the CBP bond value is not adequate.**

5B1 B1. ACE determines the CBP bond value is not adequate.

1. ACE rejects the Entry, In-Bond or FTZ Admission and notifies the Trade of the reject reason(s).

***Alternate Flow Scenario C: ACE determines the appropriate PGA data set(s) is not present.***

6C. ACE determines the appropriate PGA data set(s) is not present.

1. ACE rejects the Entry, In-Bond, or FTZ Admission and notifies the Trade of the reject reason(s).

***Alternate Flow Scenario D: ACE determines the CBP/PGA bond value is not adequate.***

7D. ACE determines the CBP/PGA bond value is not adequate.

1. ACE rejects the Entry, In-Bond, or FTZ Admission and notifies the Trade of the reject reason(s).

### 2.1.1.3.7 Validate CBP/PGA Data

**BUSINESS PROCESS SCENARIO NAME:** Validate CBP/PGA data

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to validate CBP and PGA data (e.g., LPCs and watch lists).

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** Consumption or Warehouse Entry, In-Bond or FTZ Admission has been created and syntax and initial PGA edits (jurisdiction based on HTS and product codes) have occurred.

**Driver/Event Trigger:** This Business Process starts when a Consumption or Warehouse Entry, In-Bond or FTZ Admission record has been created.

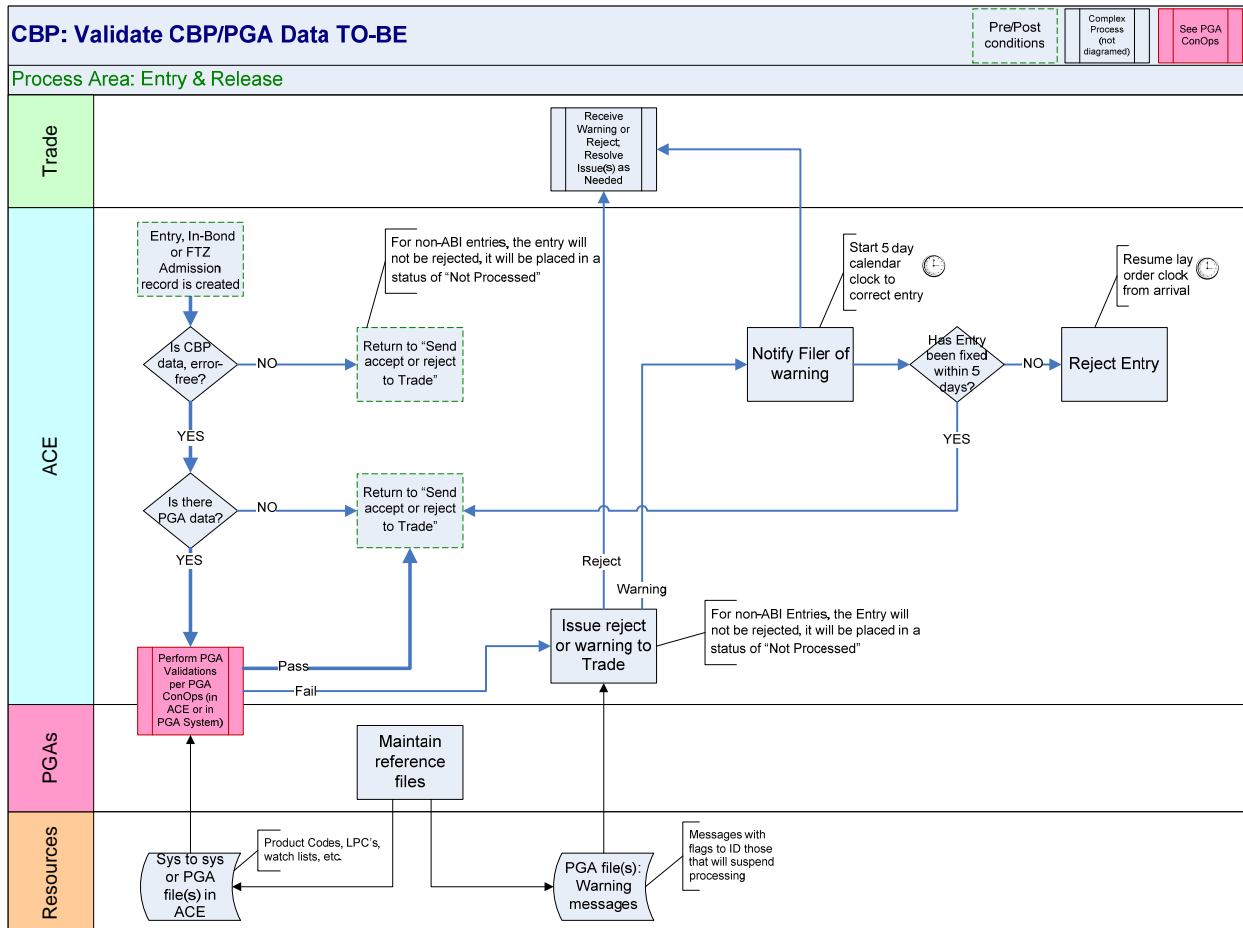
**Successful End:** This Business Process is successfully completed when CBP and PGA validations checks are passed or the Trade has received notice of a warning or reject condition.

**Outputs/results:** This Business Process produces validated PGA data, ready for targeting.

**Other scenario or processes referenced by this scenario:** Receive Warning or Reject, Resolve Issue(s) as Needed. Business Process related to PGA: Perform PGA Validations per PGA ConOps (in ACE or in PGA System).

**Assumptions:**

There are no assumptions for this process.



**Main Success (Basic Flow) Scenario:**

1. ACE determines the CBP data (in the Entry, In-Bond or FTZ Admission) is error-free.
2. ACE determines there is PGA data to validate.
3. ACE performs PGA edit checks per the PGAs ConOps.
4. ACE determines the PGA data passes the PGA validations.
5. Proceed to “Send accept or reject to Trade” step in Entry, In-Bond or FTZ process.

***Alternate Flow Scenario A: CBP data is not error-free.***

- 1A. ACE determines the CBP data (in the Entry, In-Bond or FTZ Admission) is not error free.
  1. Proceed to “Send accept or reject to Trade” step in Entry, In-Bond or FTZ process.

***Alternate Flow Scenario B: ACE determines there is no PGA data to validate.***

- 2B. ACE determines there is no PGA data to validate.
  1. Proceed to “Send accept or reject to Trade” step in Entry, In-Bond or FTZ process.

***Alternate Flow Scenario C: ACE determines the PGA data does not pass validations; reject or warning is issued.***

- 4C. ACE determines the PGA data does not pass the PGA validations.
  1. ACE issues a reject to the Trade.
  2. Trade receives reject and resolves issues as needed.

**Sub-Alternate Flow Scenario C1: ACE determines the PGA data does not pass validation checks; ACE issues a warning.**

- 4C1 C1. ACE issues a warning to the Trade.
  1. ACE notifies Filer of warning.
  2. If Entry has been fixed within 5 days, proceed to “Send accept or reject to Trade” step in Entry or FTZ process.
  3. If Entry has not been fixed within 5 days, reject Entry and resume lay order clock from arrival.

### 2.1.1.3.8 Resolve Hold or Issue Related to Release

**BUSINESS PROCESS SCENARIO NAME:** Resolve Hold or Issue Related to Release

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is for CBP and/or the PGA to resolve any release related holds or issues.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, CBP, PGA.

**BOUNDARIES:**

**Preconditions or Prerequisites:** An In-Bond, FTZ Admission, Consumption Entry, or Warehouse Entry has been submitted into ACE.

**Driver/Event Trigger:** This Business Process starts when there is an unresolved hold in the In-Bond, FTZ, Consumption Entry, or Warehouse Entry processes.

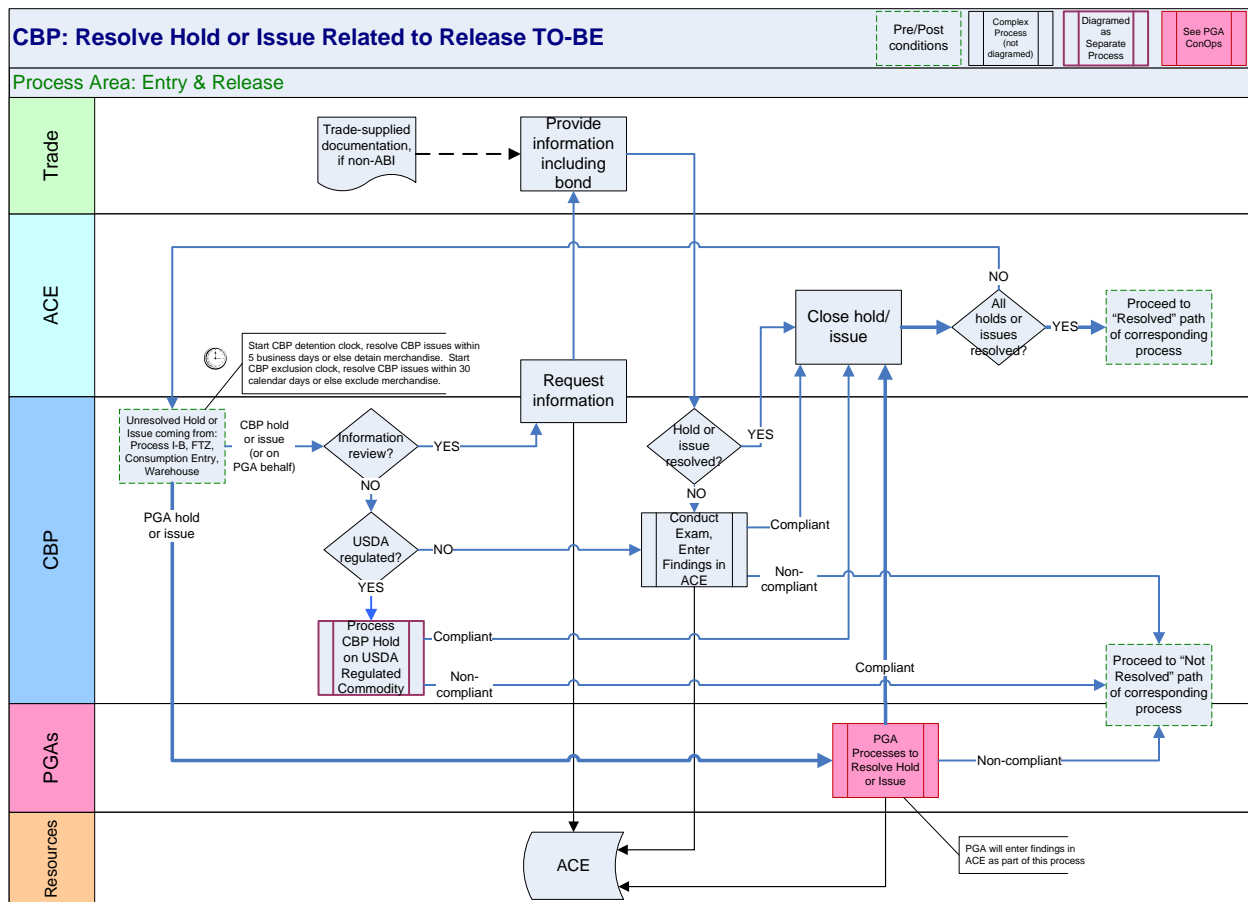
**Successful End:** This Business Process is successfully completed when all holds or release issues are resolved, or when CBP and/or PGA have taken enforcement action.

**Outputs/results:** This Business Process resolves holds or issues or the process proceeds to the Conduct Enforcement Action process.

**Other scenario or processes referenced by this scenario:** Conduct Exam, Enter Findings in ACE; Process CBP Hold on USDA Regulated Commodity. Business Processes related to PGA: PGA Processes to Resolve Hold or Issue.

**Assumptions:**

- PGA support will be provided as requested from CBP.
- If no action taken in 30 days, CBP excludes merchandise (19 U.S.C. 1499(c)).
- Any non-release of merchandise after 5 days will require notice of detention. Automation of detention process will be designed later in the development process.



### Main Success (Basic Flow) Scenario:

1. There is a PGA hold or issue coming from an In-Bond, FTZ Admission, Consumption Entry, or Warehouse Entry process flow. (Start CBP detention clock, resolve CBP issues within 5 business days of presentation for examination or else detain merchandise. Start CBP exclusion clock, resolve CBP issues within 30 calendar days of presentation for examination or else exclude merchandise.)
2. PGA performs processes to resolve holds or issues.
3. PGA determines the cargo is compliant.
4. PGA enters findings in ACE.
5. ACE closes hold or issue.
6. ACE determines that all holds or release issues have been resolved.
7. Return to "Resolved" path in the In-Bond, FTZ Admission, Consumption Entry, or Warehouse Entry process flow.

### Alternate Flow Scenario A: *There is a PGA hold and the cargo is non-compliant.*

- 3A. PGA determines the cargo is non-compliant.
  1. Return to "Not Resolved" path of corresponding process.

### Alternate Flow Scenario B: *There is a PGA hold and all holds or release issues have not been resolved.*

- 6B. ACE determines that all holds or release issues have not been resolved.
  1. Return to Main Success Scenario step 1.

### Alternate Flow Scenario C: *There is a CBP hold or issue (or CBP hold on PGA behalf), no*



***information review required, cargo is not USDA regulated, cargo is compliant.***

1C. There is a CBP hold (or CBP hold on PGA behalf) coming from an In-Bond, FTZ Admission, Consumption Entry, or Warehouse Entry process flow.

1. CBP determines this is not a hold for information.
2. CBP determines this is not a USDA regulated commodity.
3. CBP conducts exam, enters findings in ACE.
4. CBP determines the cargo is compliant.
5. Return to Main Success Scenario step 5.

**Sub-Alternate Flow Scenario C1: There is a CBP hold or issue (or CBP hold on PGA behalf), no information is required, cargo is not USDA regulated, cargo is non-compliant.**

1C4 C1. CBP determines the cargo is non-compliant.

1. Proceed to “Not Resolved” path of corresponding process.

***Alternate Flow Scenario D: There is a CBP hold or issue (or CBP hold on PGA behalf), no information review required, cargo is USDA regulated, cargo is compliant.***

1D. There is a CBP hold (or CBP hold on PGA behalf) coming from an In-Bond, FTZ Admission, Consumption Entry, or Warehouse Entry process flow.

1. CBP determines this is not a hold for information.
2. CBP determines this is a USDA regulated commodity.
3. CBP processes CBP hold on USDA regulated commodity.
4. CBP determines the cargo is compliant.
5. Return to Main Success Scenario step 5.

**Sub-Alternate Flow Scenario D1: There is a CBP hold or issue (or CBP hold on PGA behalf), information is not required, cargo is USDA regulated, cargo is non-compliant.**

1D4 D1. CBP determines the cargo is non-compliant.

1. Proceed to “Not Resolved” path of corresponding process.

***Alternate Flow Scenario E: There is a CBP hold or issue (or CBP hold on PGA behalf), information review is required, hold or issue is resolved.***

1E. There is a CBP hold (or CBP hold on PGA behalf) coming from an In-Bond, FTZ Admission, Consumption Entry, or Warehouse Entry process flow.

1. CBP determines this is a hold for information.
2. CBP, through ACE, requests information from the Trade.
3. Trade provides information, including Bond.
4. CBP determines the hold or issue is resolved.
5. Return to Main Success Scenario step 5.

**Sub-Alternate Flow Scenario E1: There is a CBP hold or issue (or CBP hold on PGA behalf), information is required, hold or issue is not resolved.**

1E4 E1. CBP determines the hold or issue is not resolved.

1. CBP conducts exam, enters findings in ACE.
2. If the cargo is compliant, return to Main Success Scenario step 5.
3. If the cargo is not compliant, proceed to Sub-Alternate Flow Scenario C1, step 1.

### 2.1.1.3.9 Process CBP Hold on USDA Regulated Commodity

**BUSINESS PROCESS SCENARIO NAME:** Process CBP Hold on USDA Regulated Commodity

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to notify USDA PGAs when action on a commodity is needed; Initiate the “Transfer Custody” process when needed; Initiate and distribute a Pest Interception Record (PIR) when needed; Initiate and distribute an Emergency Action Notification (EAN) when needed; Provide relevant data to APHIS systems.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, APHIS, Food Safety and Inspection Service (FSIS), CBP.

**BOUNDARIES:**

**Preconditions or Prerequisites:** CBP has placed a hold on a commodity regulated by USDA.

**Driver/Event Trigger:** This Business Process starts when ACE has determined the type of USDA commodity being held (plant vs. animal).

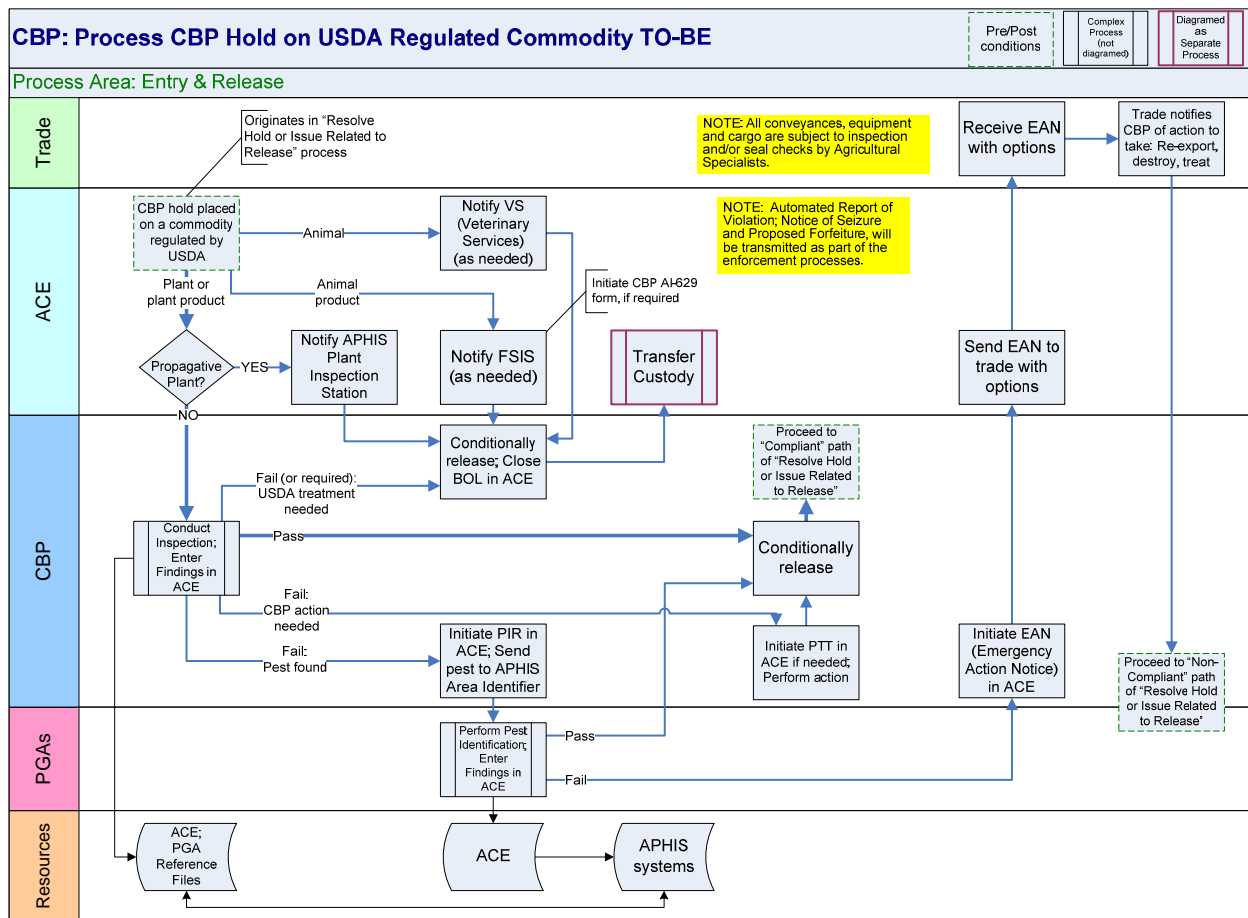
**Successful End:** This Business Process is successfully completed when a shipment is conditionally released, or the “Transfer Custody” process is initiated, or when an EAN is sent to the Trade and the Trade notifies CBP of the action to be taken.

**Outputs/results:** This Business Process produces notifications to PGAs, conditional releases, CBP or PGA findings entered into ACE and APHIS systems (as needed), PIRs, EANs.

**Other scenario or processes referenced by this scenario:** Conduct Inspection; Transfer Custody. Business Process related to PGA: Perform Pest Identification.

**Assumptions:**

- All appropriate CBPAS findings are provided to APHIS systems by ACE.
- Data will flow from ACE to APHIS systems, which will reduce CBPAS need for duplicate entry.
- Shipments not requiring transfer will terminate activity with conditional release. The exam status is posted in ACE, which will be communicated to Trade by routine messaging.



### Main Success (Basic Flow) Scenario:

1. ACE determines that the held commodity is a plant or plant product.
2. ACE determines the commodity is not a propagative plant.
3. CBP conducts an inspection on a USDA regulated commodity and enters findings in ACE.
4. ACE provides relevant data to APHIS systems.
5. CBP determines the commodity passes inspection.
6. CBP conditionally releases the shipment.
7. Proceed to the "compliant" path of the "Resolve Hold or Issue Related to Release" process.

### Alternate Flow Scenario A: Commodity fails CBP inspection, USDA treatment needed or required.

- 5A. CBP determines the commodity fails inspection; USDA treatment is needed or required.
  1. CBP conditionally releases the shipment.
  2. ACE closes the related BOL.
  3. ACE initiates "Transfer Custody" process.

### Alternate Flow Scenario B: Commodity fails CBP inspection, CBP action needed.

- 5B. CBP determines the commodity fails inspection; CBP action is needed.
  1. CBP initiates a PTT in ACE (if needed).
  2. CBP performs the action.
  3. CBP conditionally releases the shipment.

4. Proceed to the “Compliant” path of the “Resolve Hold or Issue Related to Release” process.

***Alternate Flow Scenario C: Commodity fails CBP inspection, pest found but is not “quarantine significant.”***

5C. CBP determines the commodity fails inspection, a pest is found.

1. CBP initiates a PIR in ACE.
2. CBP sends the pest to the APHIS Area Identifier.
3. APHIS Area Identifier performs the pest identification and determines that it passes (the pest is not quarantine significant).
4. APHIS Area Identifier enters findings in ACE.
5. ACE provides relevant data to APHIS systems.
6. CBP conditionally releases the shipment.
7. Proceed to the “Compliant” path of the “Resolve Hold or Issue Related to Release” process.

***Sub-Alternate Flow Scenario C1: Commodity fails CBP inspection; pest found that is “quarantine significant.”***

5C3 C1. The APHIS Area Identifier performs the pest identification and determines that it fails (the pest is quarantine significant).

1. APHIS Area Identifier enters findings in ACE.
2. ACE provides relevant data to APHIS systems.
3. CBP initiates an EAN in ACE.
4. ACE sends the EAN to the Trade (with options).
5. Trade receives the EAN.
6. Trade notifies CBP of action to take: Re-export, destroy, or treat.
7. Proceed to the “Non-compliant” path of the “Resolve Hold or Issue Related to Release” process.

***Alternate Flow Scenario D: The commodity is a propagative plant.***

2D. ACE determines the commodity is a propagative plant.

1. ACE notifies the APHIS Plant Inspection Station.
2. CBP conditionally releases the shipment.
3. ACE closes the related BOL.
4. ACE initiates the “Transfer Custody” process.

***Alternate Flow Scenario E: The commodity is an animal.***

1E. ACE determines that the held commodity is an animal.

1. ACE notifies the APHIS Veterinary Services (as needed).
2. CBP conditionally releases the shipment.
3. ACE closes the related BOL.
4. ACE initiates the “Transfer Custody” process.

***Alternate Flow Scenario F: The commodity is an animal product.***

1F. ACE determines that the held commodity is an animal product.

1. ACE notifies FSIS.
2. CBP initiates an AI-629, if needed.

3. CBP conditionally releases the shipment.
4. ACE closes the related BOL.
5. ACE initiates the “Transfer Custody” process.

### 2.1.1.3.10 Conduct Enforcement Action

**BUSINESS PROCESS SCENARIO NAME:** Conduct Enforcement Action

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to determine disposition of cargo when it has been determined that the cargo cannot be released.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** A hold has been placed. Examination of cargo has occurred.

**Driver/Event Trigger:** This Business Process starts when it has been determined that cargo cannot be released.

**Successful End:** This Business Process is successfully completed when findings have been entered into ACE, Entry transaction and associated bills have been closed, and notifications have been sent to the Trade/PGAs as appropriate.

**Outputs/results:** This Business Process results in either a release of cargo, or updated Entries and BOLs, and notifications to the Trade/PGAs.

**Other scenario or processes referenced by this scenario:** Execute PTT; Refuse Entry, Initiate Penalty Action or Liquidation Damages, Seize; Perform Entry Correction. Business Process related to PGA: Perform Treatment; Refuse Entry: Seize, Destroy, Export Cargo.

**Assumptions:**

- When action or issue is closed, findings will be populated with appropriate BOL or Entry data at the same time.
- CBPAS will not have to enter findings in multiple systems. Enforcement action findings are transferred to applicable PGA systems.
- In cases where the shipment contains violative and non-violative commodities, subsequent Entry remains an option for the non-violative commodities.
- CBP authority can include acting on PGA behalf.



1. PGA determines (based on their ConOps) whether to seize, destroy, or export cargo.
2. PGA closes out issues and actions and enters findings in ACE.
3. The Entry transaction and BOLs are updated, and the process proceeds to “Send Notifications” in Entry, I-B, or FTZ process.

***Alternate Flow Scenario B: PGA has authority, recondition is required.***

2B. PGA determines recondition is required.

1. PGA closes out the issues and enters findings in ACE.
2. Proceed to “Perform Entry Correction” process.

***Alternate Flow Scenario C: CBP has authority, no treatment or inspection is required, cargo cannot be released.***

1C. Cargo cannot be released and CBP has authority.

1. CBP determines treatment, recondition, or inspection is NOT required.
2. CBP can: refuse entry; initiate penalty action or liquidation damages; seize the cargo.
3. CBP closes out issues and actions and enters findings in ACE.
4. ACE updates the Entry transaction and BOLs.
5. Proceed to “Send Notifications” in Entry, I-B, or FTZ process.

**Sub-Alternate Flow Scenario C1: CBP has authority, cargo treatment or inspection is required, cargo cannot be released after treatment or inspection.**

1C1 C1. CBP determines treatment, recondition, or inspection IS required.

1. CBP executes a PTT.
2. CBP performs treatment, examination as applicable.
3. CBP determines cargo cannot be released.
4. Return to Alternate Flow Scenario C, step 2.

**Sub-sub-Alternate Flow Scenario C1 C3: CBP has authority, cargo treatment or inspection is required, cargo can be released after treatment or inspection.**

1C1 C1 C3. CBP determines cargo can be released.

1. CBP closes out issues and actions and enters findings in ACE.
2. Cargo is released in ACE and BOLs are closed.
3. Proceed to “Send Notifications” in Entry, I-B, or FTZ process.



### 2.1.1.3.11 Transfer Custody

**BUSINESS PROCESS SCENARIO NAME:** Transfer Custody

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is for ACE to track the movement of cargo to PGA-authorized facilities after the cargo has been conditionally released by CBP, but all PGA admissibility issues have not been satisfied.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** Cargo has been conditionally released by CBP and the PGA has identified an issue in ACE.

**Driver/Event Trigger:** This Business Process starts when cargo has been conditionally released by CBP in ACE, and ACE has identified that there are PGAs who have additional admissibility issues.

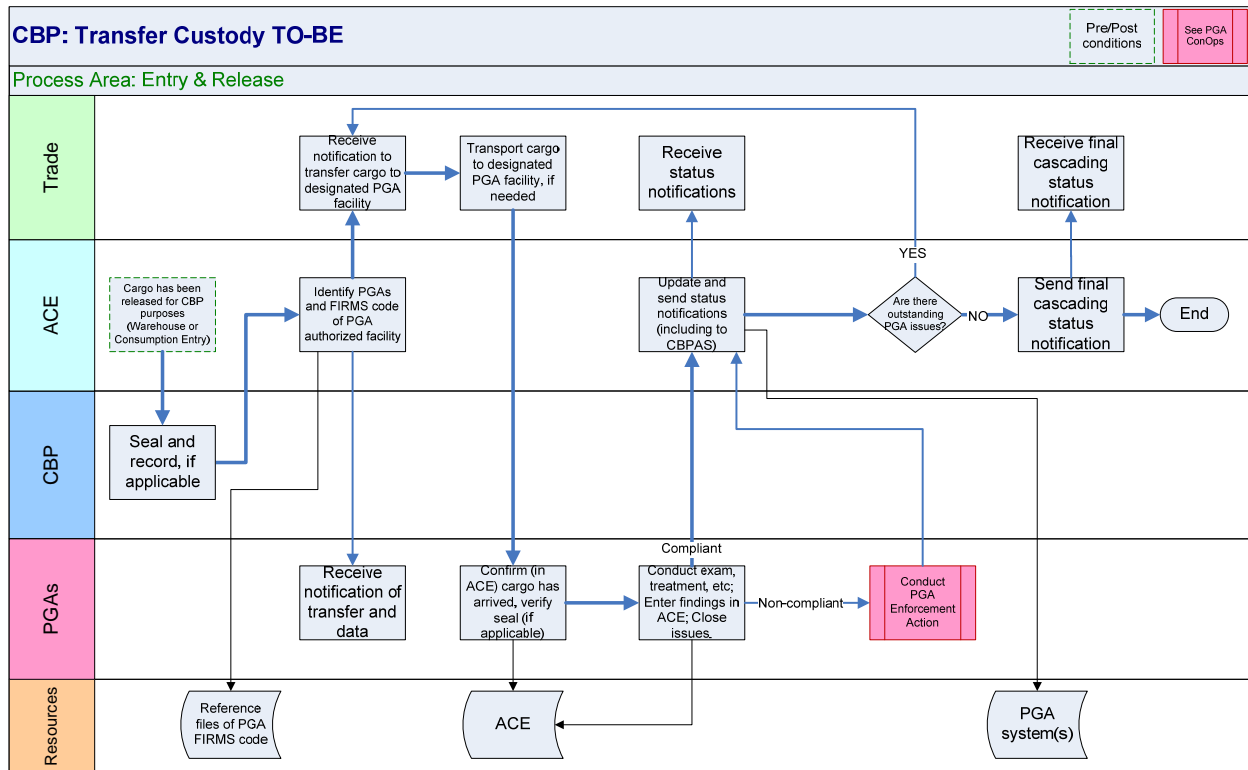
**Successful End:** This Business Process is successfully completed when PGA(s) and the Trade receive the final cascading status notification.

**Outputs/results:** This Business Process produces cascading status notifications to the Trade.

**Other scenario or processes referenced by this scenario:** Business Process related to PGA: Conduct PGA Enforcement Action.

**Assumptions:**

- It is up to the Filer to determine the priority order for multiple PGA examinations.
- HTS flags will be set in ACE to identify commodities subject to PGA examination.
- FIRMS code of PGA inspection facility will be included with PGA data provide by the Entry Filer.
- All PGA inspection facilities will get FIRMS codes, but bond may not be required.
- Cargo must be transferred to approved facilities.
- A “Cascading status notification” tells the Trade that all known admissibility requirements of government agencies have been satisfied.
- In those situations where Transfer of Custody is required, it occurs upon CBP release; as such the Carrier’s bond is de-obligated and the Importer’s bond becomes additionally obligated until such time as necessary to insure proper conclusion of all government requirements for the specific shipment.
- In order for the transfer to take place, CBP must have conditionally released the goods and agencies not affecting the release have an issue against the shipment.
- Transfer of custody to Importer for delivery to PGA facility will be a new condition of basic Importation Bond. Liability will be leveraged against either the Importer’s or the Broker’s bond.
- Once cargo is released by CBP, Filer will be required to file Entry Summary and pay duties, taxes, and fees owed within ten business days of release regardless of whether of PGA subsequently determines merchandise is inadmissible.
- If a PGA determines merchandise is inadmissible, Filer may submit a claim for Drawback of duties, taxes, and fees paid except for Anti-Dumping/Countervailing Duty (AD/CVD) which is not subject to Drawback.



### Main Success (Basic Flow) Scenario:

1. Cargo has been conditionally released by CBP.
2. CBP places seal on the cargo/conveyance and records seal information in ACE, if needed.
3. ACE identifies PGAs with post-CBP release requirements, and FIRMS codes of PGA authorized facilities.
4. Trade and affected PGAs receive notification in ACE that the cargo has been conditionally released by CBP but must be transported to a PGA-authorized facility for additional action.
5. Trade transports cargo to the designated PGA-authorized facility.
6. PGA confirms in ACE that cargo has arrived and verifies the seal(s) if applicable.
7. PGA conducts exam/treatment, enters findings of compliance in ACE, and closes any issues.
8. ACE updates the status and sends cascading status notification(s) to the Trade, affected PGAs and to CBPAS as needed.
9. ACE determines that no additional PGAs have issues.
10. ACE sends final cascading status notification to the Trade.

### Alternate Flow Scenario A: *PGA determines the cargo is non-compliant.*

- 7A. PGA conducts exam/treatment, enters findings of non-compliance in ACE.
  1. PGA conducts PGA enforcement action.
  2. Return to Main Success Scenario step 8.

### Alternate Flow Scenario B: *ACE determines there are additional PGAs with requirements.*

- 9B. ACE determines additional PGAs have issues.
  1. Return to Main Success Scenario step 4.

### 2.1.1.3.12 Create or Update Expedited Entry Template

**BUSINESS PROCESS SCENARIO NAME:** Create or Update Expedited Entry Template

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to provide a procedure for a Filer to create or update, in ACE, a template of information identifying a set of relatively static information for often repeated Entries. This may include data (e.g. LPC information) that is specific to PGA requirements. This information will be used to expedite processing by automatically populating an Entry when the unique ID for the template is submitted into ACE by a Carrier.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, C-TPAT, CBP.

**BOUNDARIES:**

**Preconditions or Prerequisites:** Filer has determined they want to create or update an expedited Entry template.

**Driver/Event Trigger:** This Business Process starts when the Filer submits data to either create a new or update an existing template of information for expedited Entry processing in ACE.

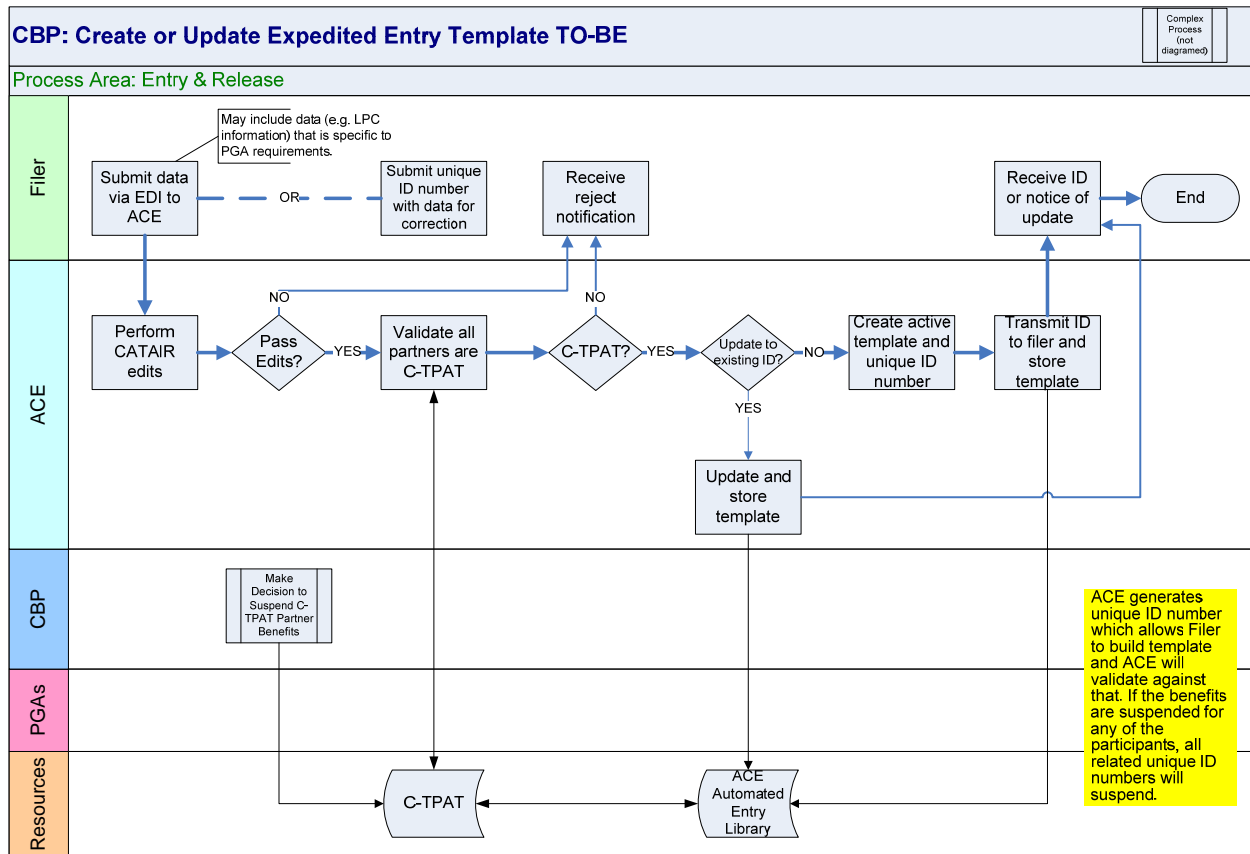
**Successful End:** This Business Process is successfully completed when the expedited Entry template and its unique ID are created (or updated) in the ACE Automated Entry Library.

**Outputs/results:** This Business Process produces or updates an expedited Entry template with a unique ID in the ACE Automated Entry Library.

**Other scenario or processes referenced by this scenario:** Make Decision to Suspend C-TPAT Partner Benefits.

**Assumptions:**

- All parties (Carrier, Importer, Manufacturer, et al) must be C-TPAT validated. At a minimum, Importer and Carrier will be validated.
- One program for all modes.
- Any changes to the template will be made prior to arrival of shipment.
- A Customs Broker has to have a National Permit that allows national Entry processing.
- Expedited Entry process will replace FAST, BRASS, and ALR.



**Main Success (Basic Flow) Scenario:**

1. Filer submits data to create an Entry template for expedited processing in ACE (may include data that is specific to PGA requirements).
2. ACE determines that the data submitted passes Customs and Trade Automated Interface Requirements (CATAIR) edits.
3. ACE validates that all partners identified in the submission are C-TPAT authorized.
4. ACE creates the active expedited Entry template and assigns it a unique ID.
5. ACE stores the template in the Automated Entry Library and transmits the unique ID to the Filer.
6. Filer receives the ID.

**Alternate Flow Scenario A: Data submitted fails CATAIR edits.**

- 2A. ACE determines that the data submitted fails CATAIR edits.
  1. ACE rejects the Entry and notifies the Filer.

**Alternate Flow Scenario B: Not all partners are C-TPAT authorized.**

- 3B. ACE determines that not all partners identified in the submission are C-TPAT authorized.
  1. ACE rejects the Entry and notifies the Filer.

**Alternate Flow Scenario C: Filer submits an update to an existing template.**

- 1C. Filer submits data to update an Entry template for expedited processing in ACE.
  1. ACE determines that the data submitted passes CATAIR edits.
  2. ACE validates that all partners identified in the submission are C-TPAT authorized.

3. ACE updates the expedited Entry template.
4. ACE stores the updated expedited Entry template in the Automated Entry Library.
5. Filer receives notice of template update.

NOTE: When CBP suspends a C-TPAT partner's benefits, the C-TPAT database will provide this information to all related expedited Entry templates in ACE. This will result in suspension of expedited Entry processing for that unique ID.

### 2.1.1.3.13 Submit Unique ID Number for Expedited Entry Filing

**BUSINESS PROCESS SCENARIO NAME:** Submit Unique ID Number for Expedited Entry Filing

**BUSINESS PROCESS AREA:** Manifest & Conveyance; Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to expedite Entry processing by populating an Entry with data from a pre-approved, pre-populated template when the template’s unique ID is submitted into ACE by an authorized Carrier.

**PROCESS PARTICIPANTS (ACTORS):** Carrier, Filer, ACE, C-TPAT.

**BOUNDARIES:**

**Preconditions or Prerequisites:** Completed expedited Entry template with unique ID is on file in the ACE Automated Entry Library.

**Driver/Event Trigger:** This Business Process starts when the Carrier submits a BOL with an expedited Entry unique ID into ACE.

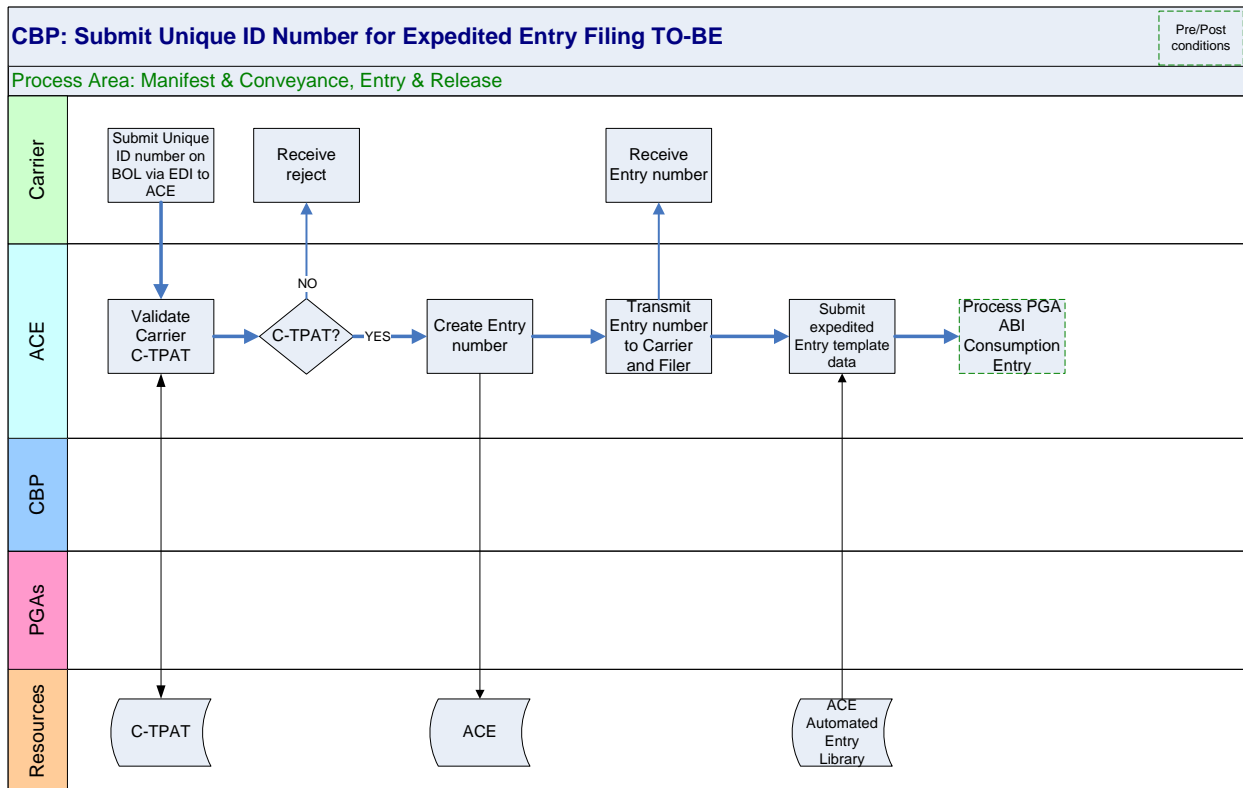
**Successful End:** This Business Process is successfully completed when an expedited Entry template is submitted into ACE and the Entry number that has been created is sent to the Carrier and Filer.

**Outputs/results:** This Business Process produces an Entry number and template in ACE.

**Other scenario or processes referenced by this scenario:** Process PGA ABI Consumption Entry.

**Assumptions:**

- If a truck arrives at a Port of Entry other than that indicated on the expedited Entry template, and if the Filer is licensed at the port the cargo is arrived, ACE will change the port on the expedited Entry, and the expedited Entry will be processed.



**Main Success (Basic Flow) Scenario:**

1. Carrier submits a BOL with an expedited Entry unique ID into ACE.
2. ACE validates that the Carrier is C-TPAT authorized.
3. ACE creates the Entry number based on the existing ACE template associated to the unique ID.
4. ACE transmits the Entry number to the Carrier and to the Filer.
5. ACE retrieves the expedited Entry template from the ACE Automated Entry Library.
6. ACE submits the expedited Entry template data.
7. ACE starts the “Process PGA ABI Consumption Entry” Business Process.

***Alternate Flow Scenario A: Carrier is not C-TPAT authorized.***

- 2A. ACE determines that the Carrier is not C-TPAT authorized.
  1. ACE rejects the Entry and notifies the Carrier.

### 2.1.1.3.14 Perform Entry Correction

**BUSINESS PROCESS SCENARIO NAME:** Perform Entry Correction

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to correct an Entry.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** There is an Entry in the system.

**Driver/Event Trigger:** This Business Process starts when a Filer submits a request (including the reason code) to correct an Entry or CBP initiates an on-line correction of a non-ABI Entry.

**Successful End:** This Business Process is successfully completed when the Entry is corrected or when CBP denies the correction request and notifies the Trade.

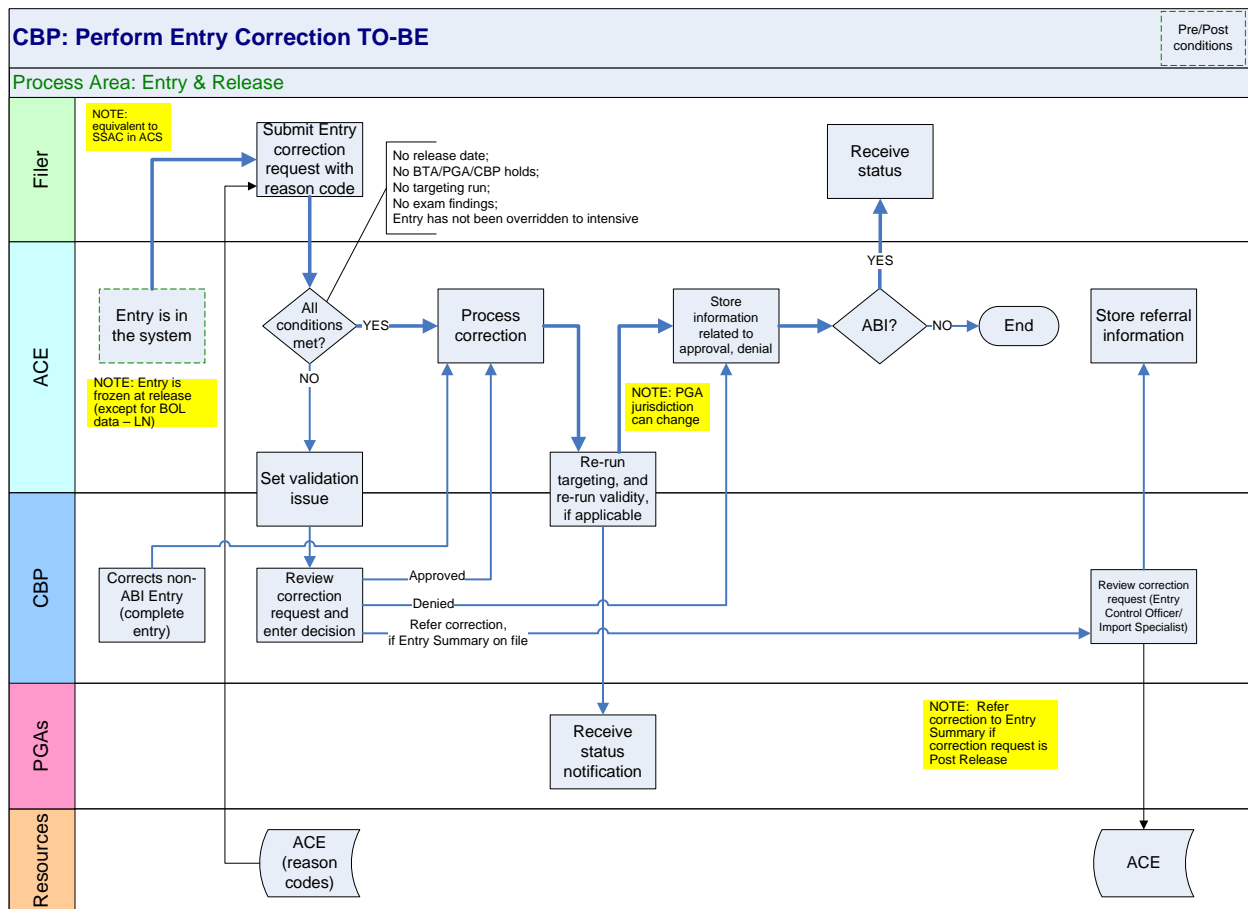
**Outputs/results:** This Business Process corrects an Entry.

**Other scenario or processes referenced by this scenario:** None.

**Assumptions:**

- This is for standard Entry processes (not In-Bond, FTZ).
- ACE will retain a record of all corrections.
- Depending on which critical data elements are corrected, the Entry may have to be retargeted and revalidated.
- For non-ABI, prior to an Entry being completed, an authorized user would be able to edit the data on an incomplete Entry – no version control necessary.
- For all corrections, if PGA jurisdiction changes, CBP and/or the Filer may have to input updated PGA data.





### Main Success (Basic Flow) Scenario:

1. Filer submits a request in ACE to correct an Entry (including the reason codes).
2. ACE determines all conditions for corrections have been met.
3. ACE corrects the Entry.
4. ACE re-runs targeting and re-runs validation, if applicable.
5. ACE notifies PGAs of correction status.
6. ACE stores the approval information.
7. ACE determines that the correction was initiated by the Filer through ABI.
8. ACE notifies Filer of status.

### Alternate Flow Scenario A: CBP initiates an on-line correction of a non-ABI Entry.

- 1A. CBP initiates an on-line correction of a non-ABI Entry.
  1. ACE corrects the Entry.
  2. ACE re-runs targeting and re-runs validation, if applicable.
  3. ACE notifies PGAs of correction status.
  4. ACE stores the approval information.
  5. ACE determines that the correction was initiated by CBP.
  6. ACE updates status.

### Alternate Flow Scenario B: All conditions have not been met, CBP approves request.

- 2B. ACE determines all conditions for corrections have not been met.
  1. ACE sets validation issue.
  2. CBP reviews correction request and approves correction request.

3. Return to Main Success Scenario step 3.

**Sub-Alternate Flow Scenario B1: All conditions have not been met, CBP denies request.**

2B2 B1. CBP reviews corrections request and denies correction request.

1. ACE stores the denial information.
2. ACE determines that correction was initiated by the Filer through ABI.
3. ACE notifies Filer of status.

**Sub-Alternate Flow Scenario B2: All conditions have not been met, CBP refers correction request to Entry Control Officer or Import Specialist.**

2B2 B2. CBP reviews correction request, the request is Post Release, so CBP refers correction request in ACE, to Entry Control Officer or Import Specialist.

1. The process moves to Post Release activities.
2. ACE stores the referral information.

### 2.1.1.3.15 Perform Entry Deletion

**BUSINESS PROCESS SCENARIO NAME:** Perform Entry Deletion

**BUSINESS PROCESS AREA:** Entry & Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to delete an Entry.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** There is an Entry in the system.

**Driver/Event Trigger:** This Business Process starts when a Filer submits a request (including the reason code) to delete an Entry or CBP initiates an on-line deletion of a non-ABI Entry.

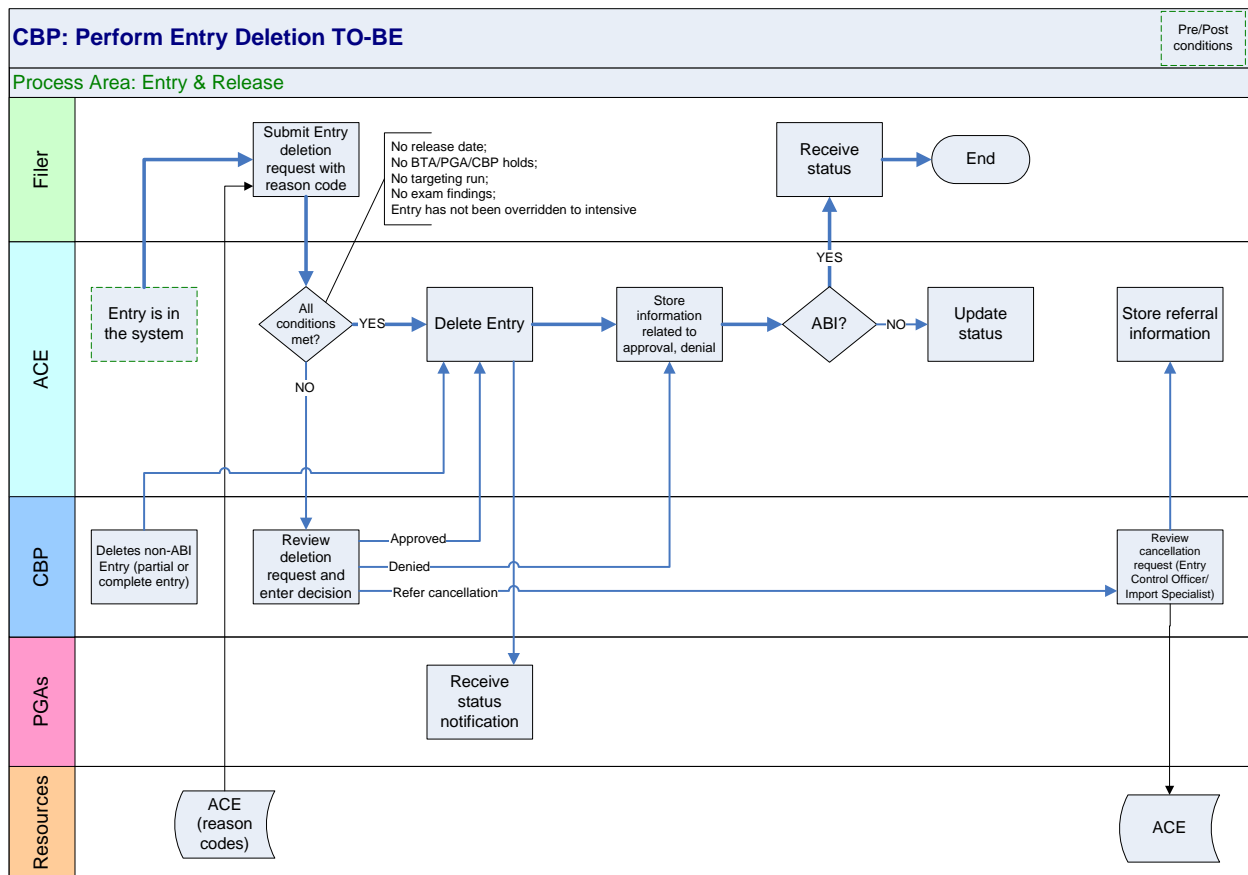
**Successful End:** This Business Process is successfully completed when the Entry is deleted or when CBP denies the deletion request and notifies the Filer.

**Outputs/results:** This Business Process deletes an Entry.

**Other scenario or processes referenced by this scenario:** None

***Assumptions:***

- Filer can delete (automatically) up until provisional targeting is run (variable depending on Mode of Transportation (MOT)), with no CBP involvement.
- Filer can request deletion (reason for deletion must be included) from CBP at any time.
- CBP can process deletion request at any time.
- If Entry Summary is in CBP status and deletion request is approved, the deletion request becomes a cancellation.
- ACE will retain a record of all deletions.
- This is just for standard Entry processes (not In-Bond, FTZ).
- Authorized CBP personnel may enter incomplete Entry data and store it.



### Main Success (Basic Flow) Scenario:

1. Filer submits a request in ACE to delete an Entry (including the reason codes).
2. ACE determines all conditions for deletion have been met.
3. ACE deletes the Entry.
4. ACE notifies PGAs of deletion status.
5. ACE stores the approval information.
6. ACE determines that the deletion was initiated by the Filer through ABI.
7. ACE notifies Filer of status.

### Alternate Flow Scenario A: CBP initiates an on-line deletion of a non-ABI Entry.

- 1A. CBP initiates an on-line deletion of a non-ABI Entry.
  1. ACE deletes the Entry.
  2. ACE notifies PGAs of deletion status.
  3. ACE stores the approval information.
  4. ACE determines that the deletion was initiated by CBP (non-ABI).
  5. ACE updates status.

### Alternate Flow Scenario B: All conditions have not been met, CBP approves request.

- 2B. ACE determines all conditions for deletions have not been met.
  1. CBP reviews deletion request and approves deletion request.
  2. Return to Main Success Scenario step 3.

**Sub-Alternate Flow Scenario B1: All conditions have not been met, CBP denies request.**

2B1 B1. CBP reviews deletion request and denies deletion request.

1. ACE stores the denial information.
2. ACE determines that deletion was initiated by the Filer through ABI.
3. ACE notifies Filer of status.

**Sub-Alternate Flow Scenario B2: All conditions have not been met, CBP refers cancellation request to Entry Control Officer/Import Specialist.**

2B1 B2. CBP reviews deletion request and refers cancellation request in ACE to Entry Control Officer/Import Specialist.

1. The process moves to Post Release activities.
2. ACE stores the referral information.

### 2.1.1.3.16 Request or Place PGA Hold

**BUSINESS PROCESS SCENARIO NAME:** Request or Place PGA Hold

**BUSINESS PROCESS AREA:** Manifest & Conveyance; Entry & Release; Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to enable PGAs to use ACE functionality to either request a hold from CBP or place a hold, based on their authority.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA wants to place a hold on a shipment or conveyance.

**Driver/Event Trigger:** This Business Process starts when a PGA enters hold information into ACE.

**Successful End:** This Business Process is successfully completed when the hold has been placed, appropriate actions taken and the Trade and PGAs notified; or when CBP denies a request for a hold, the PGA is notified.

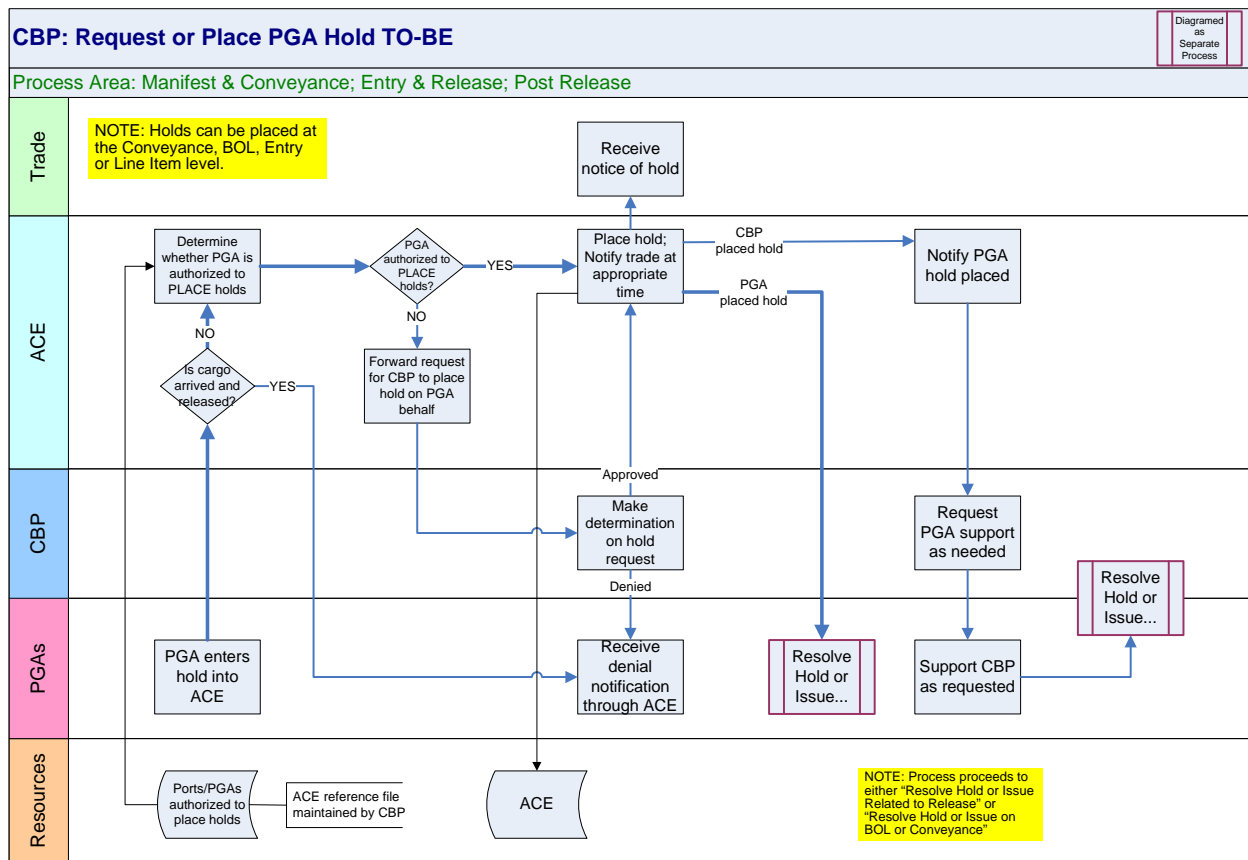
**Outputs/results:** This Business Process produces holds and notifications.

**Other scenario or processes referenced by this scenario:** Resolve Hold or Issue Related to Release; Resolve Hold or Issue on BOL or Conveyance.

NOTE: If no CBP action taken on hold request, the “Resolve Hold or Issue on BOL or Conveyance” includes a step to close all requests upon arrival.

**Assumptions:**

- PGAs can use the Request or Place PGA Hold process at any time.
- If a PGA with authority has port presence and the PGA has a signed MOU, the PGA can directly place a hold.
- If a PGA cannot directly place a hold, the PGA can *request* CBP to place a hold on their behalf.
- In ACE M1, hold *request* is the initial default condition. As PGAs sign specific MOUs, they will be able to place holds as authorized.
- Hold requests will not necessarily cause the Entry to fail paperless processing.



### Main Success (Basic Flow) Scenario:

1. PGA enters hold into ACE.
2. ACE determines the cargo has not arrived and/or has not been released.
3. ACE determines the PGA is authorized to place holds.
4. ACE places the hold.
5. ACE notifies the Trade of the hold (at the appropriate time).
6. PGA conducts processes to "Resolve Hold or Issue Related to Release," or "Resolve Hold or Issue on BOL or Conveyance."

### Alternate Flow Scenario A: Cargo has arrived and has been released.

- 2A. ACE determines the cargo has arrived and has been released.
  1. ACE notifies PGA of denial of hold.

### Alternate Flow Scenario B: Cargo has not arrived nor been released, PGA is not authorized to place holds, CBP approves request for hold.

- 3B. ACE determines the PGA is not authorized to place holds.
  1. ACE forwards the PGA hold as a request for CBP to place hold on PGA behalf.
  2. CBP approves the request.
  3. ACE places the hold.
  4. ACE notifies the Trade of the hold (at the appropriate time).
  5. ACE notifies the PGA that the hold has been placed.
  6. CBP requests PGA support as needed (through ACE).
  7. PGA provides support (as needed).

8. CBP and/or PGA conducts processes to “Resolve Hold or Issue Related to Release,” or “Resolve Hold or Issue on BOL or Conveyance.”

**Sub-Alternate Flow Scenario B1: Cargo has not arrived nor been released, PGA is not authorized to place holds, CBP denies request for hold from PGA.**

3B2 B1. CBP denies the request.

1. PGA receives denial notification via ACE.



### 2.1.1.3.17 Maintain HTS Reference File

**BUSINESS PROCESS SCENARIO NAME:** Maintain HTS Reference File

**BUSINESS PROCESS AREA:** Manifest & Conveyance; Entry & Release; Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to create or maintain PGA “flags” associated to HTS numbers in ACE.

**PROCESS PARTICIPANTS (ACTORS):** Trade, ACE, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** PGA has identified the HTS number or series of HTS numbers of a commodity (or commodities) for which they have jurisdiction.

**Driver/Event Trigger:** This Business Process starts when a PGA creates or updates a HTS flag in ACE.

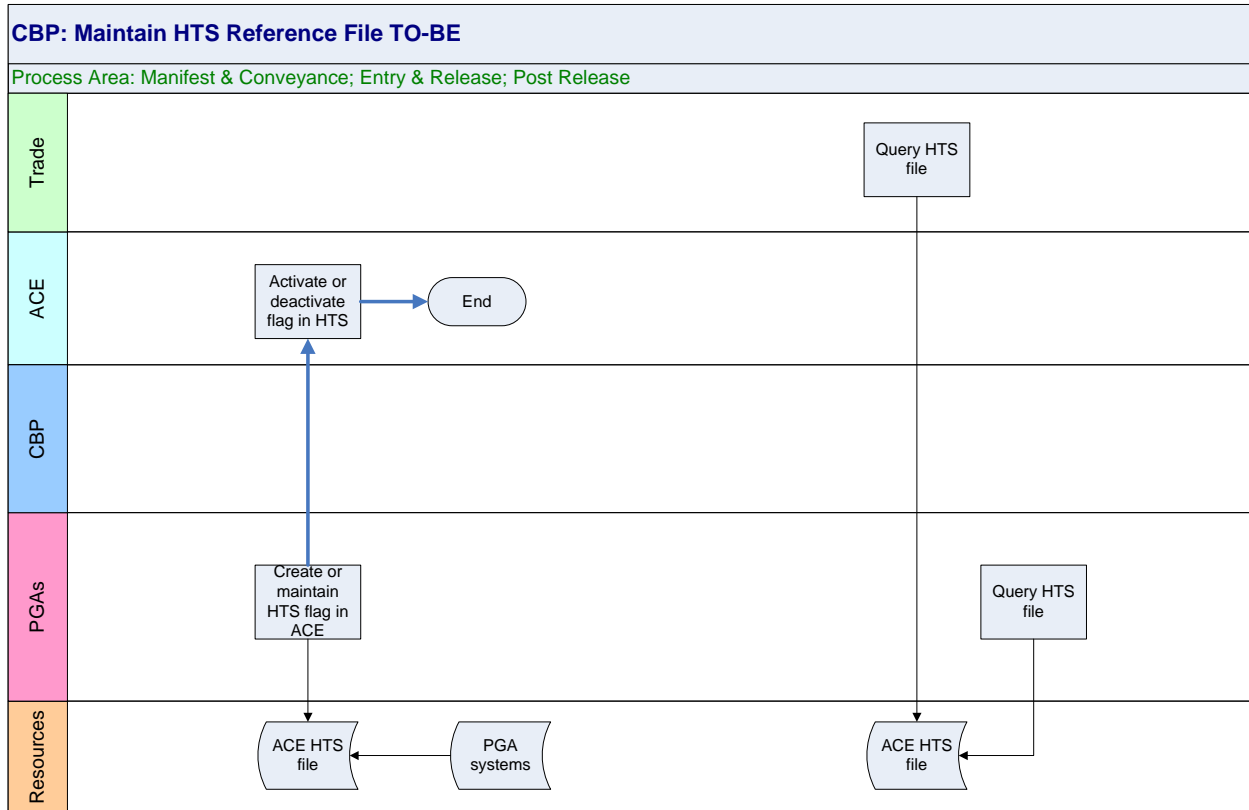
**Successful End:** This Business Process is successfully completed when ACE has activated or updated the HTS flag and ACE has made the PGA flag information available to the Trade and to PGAs.

**Outputs/results:** This Business Process produces PGA flags in the ACE HTS file.

**Other scenario or processes referenced by this scenario:** None.

**Assumptions:**

- PGAs are responsible for maintaining their HTS flags on a regular basis, including annual and semi-annual tariff changes.
- The Trade will have the ability to query the HTS file to identify any PGA flags.



**Main Success (Basic Flow) Scenario:**

1. PGA creates a HTS flag in ACE.
2. ACE activates the PGA HTS flag.
3. Trade or PGAs query the PGA HTS flag information.

There are no alternate flows.

## 2.1.1.4 Post Release

### 2.1.1.4.1 Process Post Release

**BUSINESS PROCESS SCENARIO NAME:** Process Post Release

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to provide a high-level overview of the key post release functions beginning after the release of cargo until an Entry is liquidated.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, and PGAs.

**BOUNDARIES:**

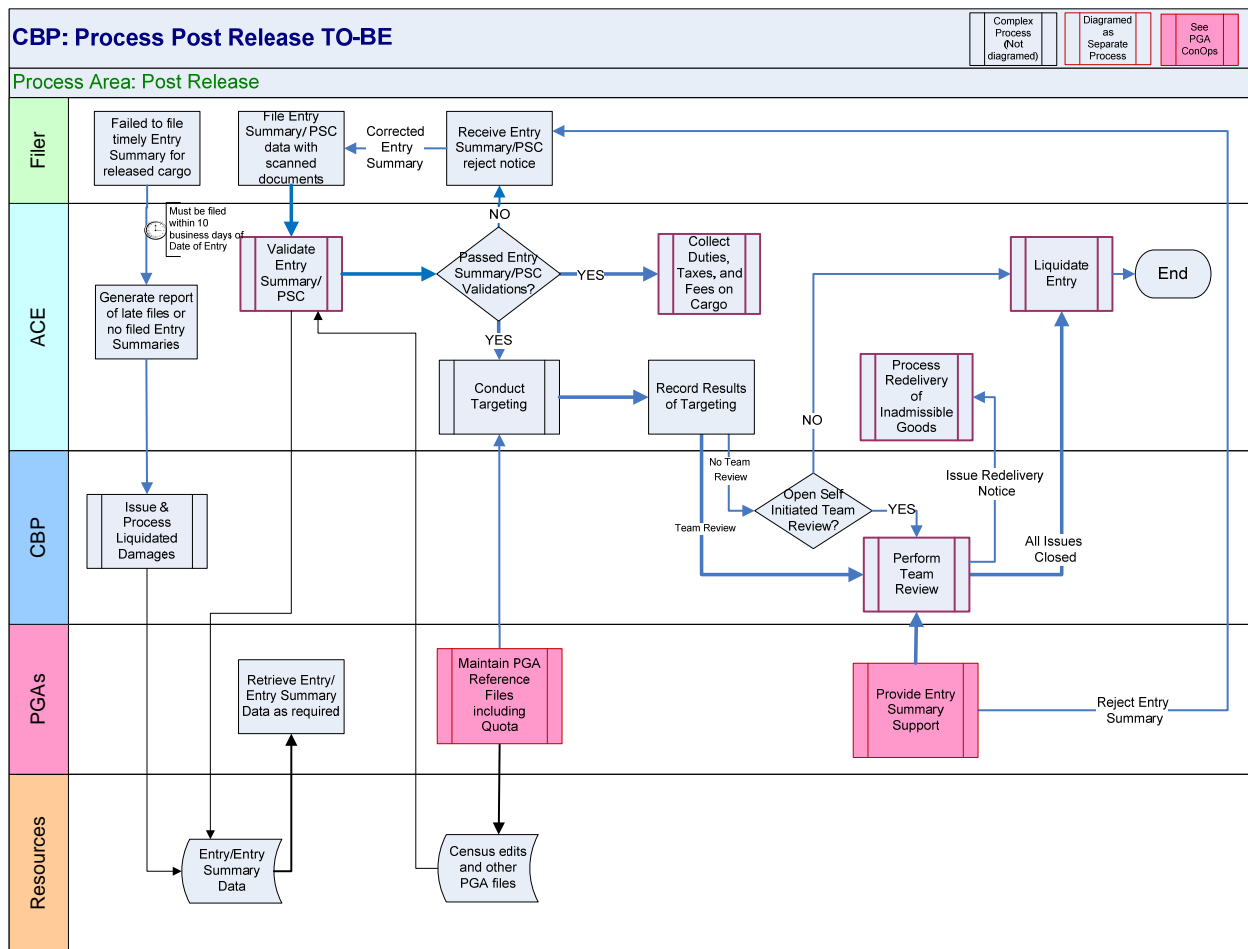
**Preconditions or Prerequisites:** The cargo has been released from CBP custody and the 10-day filing requirements have been satisfied.

**Driver/Event Trigger:** This Business Process starts when CBP and the appropriate PGAs have released the cargo.

**Successful End:** This Business Process is successfully completed when the Entry Summary data passes all validations, the appropriate duties, taxes, and fees are collected, and the Entry is liquidated.

**Outputs/results:** The Entry Summary is accepted, appropriate duties, taxes, and fees are collected, and the Entry is liquidated. If the Entry Summary is not accepted, appropriate notifications are sent to the Filer.

**Other scenario or processes referenced by this scenario:** Validate Entry Summary/Post Summary Correction; Conduct Targeting; Perform Team Review; Collect Duties, Taxes, and Fees on Cargo; Liquidate Entry; Process Redelivery of Inadmissible Goods, Issue and Process Liquidated Damages. Business Processes related to PGA: Maintain PGA Reference Files including Quota; Provide Entry Summary Support.



### Main Success (Basic Flow) Scenario:

1. Filer submits Entry Summary data (within 10 business days of the date of entry).
2. ACE validates Entry Summary data (includes Census and other PGA edits).
3. ACE determines that the Entry Summary passes the validations.
4. ACE collects the appropriate duties, taxes, and fees AND ACE conducts targeting on the Entry Summary/Post Summary Correction data.
5. ACE records targeting results.
6. ACE provides the targeting results of a Team Review to CBP.
7. CBP performs Team Review on the Entry Summary data.
8. PGA provides necessary support during the Team Review process.
9. CBP determines that all issues can be closed.
10. ACE liquidates the Entry.

### Alternate Flow Scenario A: Filer fails to file Entry Summary within 10 business days of cargo release.

- 1A. ACE generates report of Entry Summaries not filed within 10 business days of cargo release.
  1. CBP issues and processes liquidated damages.

***Alternate Flow Scenario B: Entry Summary/Post Summary Correction does not pass validations.***

3B. ACE determines that the Entry Summary/Post Summary Correction does not pass validations.

1. ACE rejects the Entry Summary/Post Summary Correction and notifies the Filer.
2. Filer receives Entry Summary/Post Summary Correction reject notification.
3. Filer submits the corrected Entry Summary/Post Summary Correction.

***Alternate Flow Scenario C: Entry Summary/Post Summary Correction passes validations; ACE determines the Entry Summary/Post Summary Correction to be 'No Team Review,' CBP self initiates a Team Review.***

6C. ACE determines the Entry Summary/Post Summary Correction to be No Team Review.

1. CBP self initiates a Team Review.
2. CBP performs Team Review.
3. PGA provides necessary support during the Team Review process.
4. CBP determines that all issues can be closed.
5. ACE liquidates the Entry.

**Sub-Alternate Flow Scenario C1: CBP does not self initiate a Team Review.**

6C1 C1. CBP does not self initiate a Team Review.

1. ACE liquidates the Entry.

#### 2.1.1.4.2 Validate Entry Summary/Post Summary Correction (PSC)

**BUSINESS PROCESS SCENARIO NAME:** Validate Entry Summary/Post Summary Correction (PSC)

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to determine if the Entry Summary/Post Summary Correction passes all the syntax edits, Census edits and other PGA edits prior to being accepted for further processing by CBP.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, and PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** The Filer files an Entry Summary or a Post Summary Correction.

**Driver/Event Trigger:** This Business Process starts when an Entry Summary or a Post Summary Correction is filed.

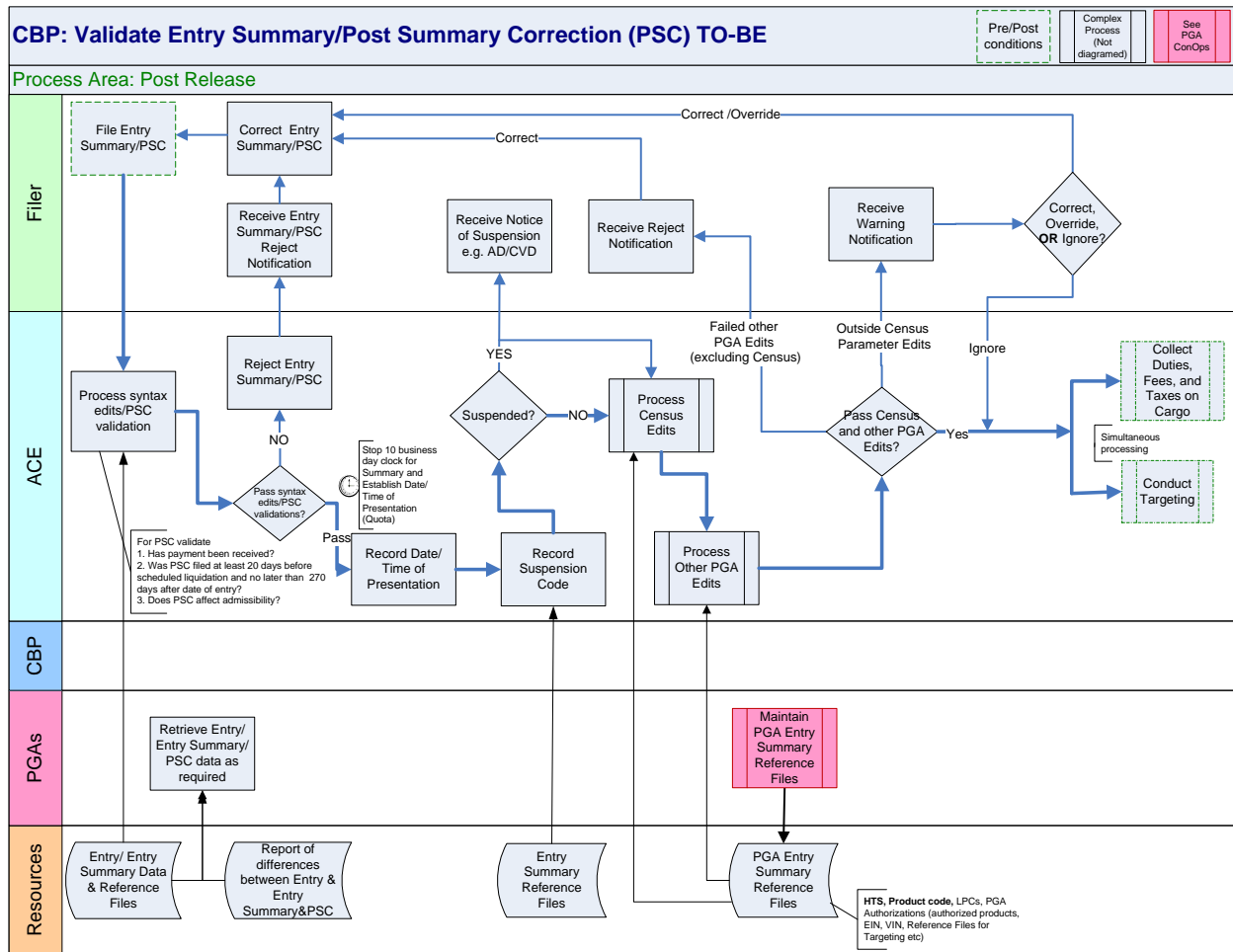
**Successful End:** This Business Process is successfully completed when the Entry Summary/Post Summary correction is filed with appropriate data as required by CBP/PGAs and the Entry Summary/Post Summary Correction passes syntax edits, Census edits, and other PGA edits.

**Outputs/results:** This Business Process produces a validated Entry Summary/Post Summary Correction that will be subject to targeting and Collections processing.

**Other scenario or processes referenced by this scenario:** Process Census Edits; Process Other PGA Edits. Business Process related to PGA: Maintain PGA Entry Summary Reference Files.

**Assumptions:**

- If an entry summary receives both a PGA reject notice and a Census warning, both notices will be contained in one message to the Filer.



### Main Success (Basic Flow) Scenario:

1. Filer files Entry Summary/Post Summary Correction.
2. ACE processes the Entry Summary/Post Summary Correction for syntax edits/PSC validations.
3. ACE determines that Entry Summary/Post Summary Correction passes syntax edits/PSC validations.
4. ACE records the date and time of Presentation for the Entry Summary/Post Summary Correction.
5. ACE records suspension code for the Entry Summary/Post Summary Correction if applicable (e.g. AD/CVD).
6. ACE determines that the Entry Summary/Post Summary Correction is not suspended.
7. ACE processes the Entry Summary/Post Summary Correction for Census edits.
8. ACE processes the Entry Summary/Post Summary Correction for other PGA edits.
9. ACE determines that the Entry Summary/Post Summary Correction passes Census and other PGA edits.
10. ACE proceeds to process “Collect Duties, Fees, and Taxes on Cargo” and “Conduct Targeting”.

***Alternate Flow Scenario A: Entry Summary/Post Summary Correction does not pass syntax edits/PSC Validations.***

3A. ACE determines Entry Summary/Post Summary Correction did not pass syntax edits/PSC validations.

1. ACE rejects Entry Summary/Post Summary Correction.
2. ACE notifies Filer that the Entry Summary/Post Summary Correction is rejected.
3. Filer corrects and re-files the Entry Summary/Post Summary Correction.

***Alternate Flow Scenario B: Entry Summary/Post Summary Correction is suspended.***

6B. ACE determines Entry Summary/Post Summary correction is suspended.

1. ACE sends a notification of suspension to the Filer.
2. Return to Main Success Scenario step 7.

***Alternate Flow Scenario C: Entry Summary/Post Summary Correction does not pass Census edits; Filer corrects/overrides Entry Summary.***

9C. ACE determines that the Entry Summary/Post Summary Correction does not pass Census edits.

1. Filer receives a Census warning notification.
2. Filer chooses to correct/override the Census warning.
3. Filer re-files Entry Summary/Post Summary Correction.

**Sub-Alternate Flow Scenario C1: Filer chooses not to correct the Census warning.**

9C2 C1. Filer chooses not to correct/override the Census warning.

1. Return to Main Success Scenario step 10.

***Alternate Flow Scenario D: Entry Summary/Post Summary Correction does not pass other PGA Edits.***

9D. ACE determines Entry Summary/Post Summary Correction does not pass other PGA edits.

1. ACE rejects Entry Summary/Post Summary Correction.
2. Filer receives a notification that the Entry Summary/Post Summary Correction is rejected.
3. Filer corrects and re-files the Entry Summary/Post Summary Correction.



#### 2.1.1.4.3 Perform Team Review

**BUSINESS PROCESS SCENARIO NAME:** Perform Team Review

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to describe the steps involved in Team Review.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** The Entry Summary data is validated and targeting is completed.

**Driver/Event Trigger:** This Business Process starts when an Entry Summary receives a Team Review during targeting or a Self Initiated Team Review is opened for an Entry Summary.

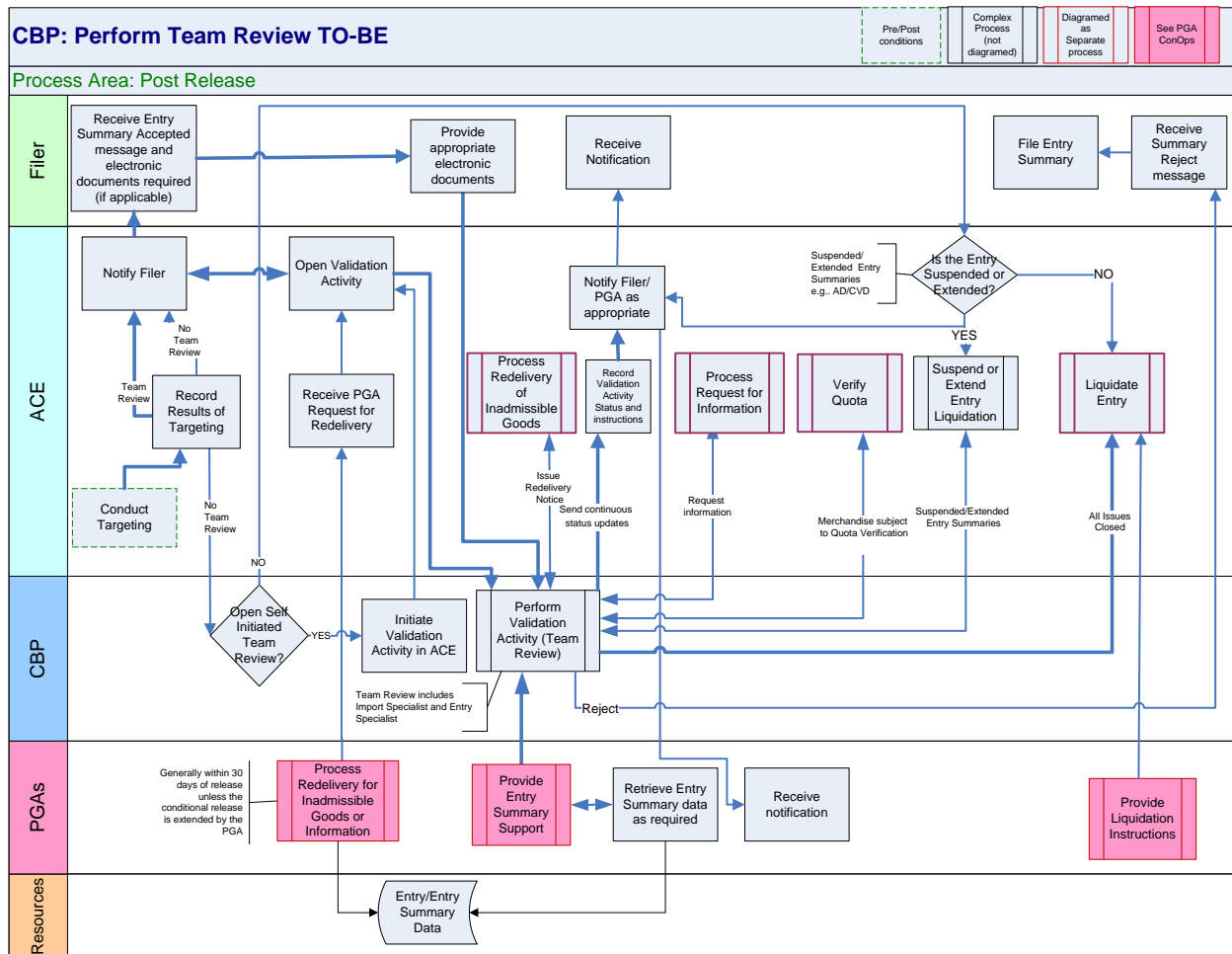
**Successful End:** This Business Process is successfully completed when a Validation Activity has been closed for an Entry Summary.

**Outputs/results:** This Business Process produces a liquidated or properly held Entry Summary.

**Other scenario or processes referenced by this scenario:** Process Redelivery of Inadmissible Goods; Perform Validation Activity (Team Review); Verify Quota; Liquidate Entry; Process Request for Information; Suspend or Extend Entry Liquidation. Business Processes related to PGA: Process Redelivery for Inadmissible Goods or Information; Provide Entry Summary Support; Provide Liquidation Instructions.

**Assumptions:**

- Any discrepant findings or samples taken as a result of a cargo examination will result in a Team Review during targeting and the opening of a Validation Activity/Team Review.



### Main Success (Basic Flow) Scenario:

1. ACE conducts targeting on the Entry Summary.
2. ACE records targeting results as Team Review.
3. ACE provides a notice to the Filer to submit electronic Entry Summary documents (and electronic invoices if the Filer is an Automated Invoice Interface participant).
4. ACE opens a Validation Activity for the Entry Summary (Inbox notification is sent to the appropriate CBP team).
5. Filer submits appropriate electronic documents for Validation Activity.
6. CBP Validation Activity can result in any of the following:
  - Issue electronic Redelivery Notice to the Filer (CBP Form 4647);
  - Request for additional information, documents, or samples from the Filer (Electronic CBP Form 28 or other method);
  - Issue electronic Notice of Action (CBP Form 29);
  - Suspend Entry Summary;
  - Reject Entry Summary;
  - Cancel Entry Summary;
  - Resolve Post Summary Correction;
  - Attach notes to the Entry Summary record;
  - Record determination (close Validation Activity).
7. CBP records the Validation Activity status and instructions (including PGA instructions).

8. ACE notifies Filer and PGA of the Validation Activity status as appropriate.

***Alternate Flow Scenario A: ACE records targeting results as No Team Review.***

2A. ACE records targeting results as No Team Review.

1. ACE notifies Filer that Entry Summary is accepted.
2. CBP does not self initiate a Team Review.
3. ACE determines that the Entry Summary is not suspended.
4. ACE liquidates the Entry.

**Sub-Alternate Flow Scenario A1: CBP self initiates a Team Review.**

2A2 A1. CBP Team self initiates a Team Review and opens a Validation Activity in ACE.

1. CBP sends a request to the Filer for additional documents (if required).
2. Return to Main Success Scenario step 5.

**Sub-Alternate Flow Scenario A2: ACE determines the Entry Summary is suspended.**

2A3 A2. ACE determines that the Entry Summary is suspended.

1. Return to Main Success Scenario step 7.

#### 2.1.1.4.4 Process Request for Information

**BUSINESS PROCESS SCENARIO NAME:** Process Request for Information

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to describe the various CBP/PGA functions involved in processing a CBP/PGA Request for Information/Sample.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, and PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** CBP has released the cargo.

**Driver/Event Trigger:** This Business Process starts when PGA or CBP initiates a request via ACE for additional information/sample after CBP has released the cargo.

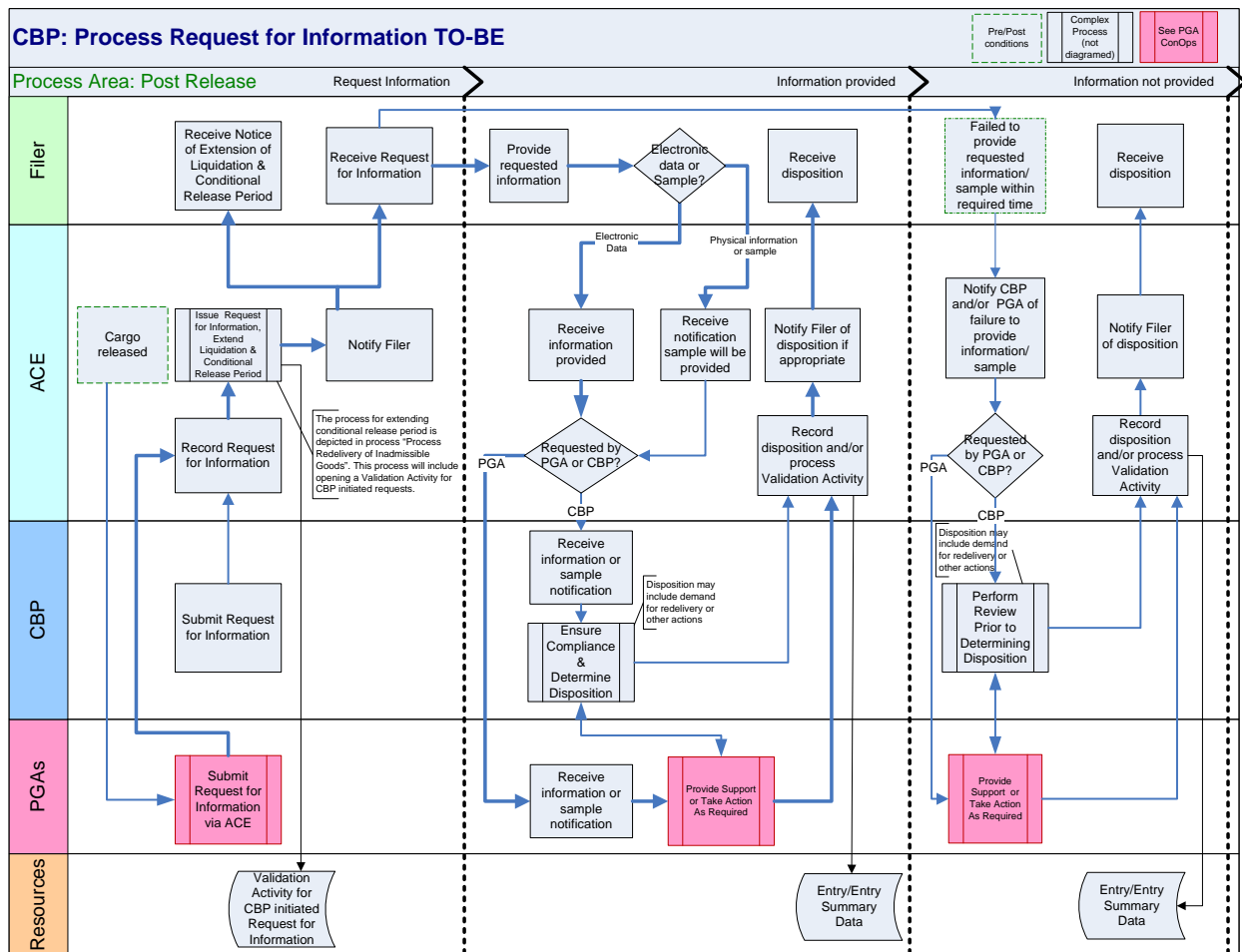
**Successful End:** This Business Process is successfully completed when the Filer provides the requested information and/or appropriate action is taken.

**Outputs/results:** This Business Process produces a disposition on the Request for Information with appropriate notifications to the Filer/PGA.

**Other scenario or processes referenced by this scenario:** Issue Request for Information, Extend Liquidation and Conditional Release; Ensure Compliance and Determine Disposition; Perform Review Prior to Determining Disposition. Business Process Related to PGA: Submit Request for Information via ACE; Provide Support or Take Action as Required.

#### *Assumptions*

- This process includes requesting additional information and/or samples.
- The Basic Importation Bond will not be obligated if the Filer fails to respond to a PGA Request for Information.



### Main Success (Basic Flow) Scenario:

1. PGA submits a Request for Information to ACE.
2. ACE receives a Request for Information.
3. ACE records the Request for Information.
4. ACE issues a Request for Information/Sample notice to the Filer and extends the liquidation and the conditional release period.
5. ACE notifies the Filer of the Request for Information/Sample and the extension of the liquidation and the conditional release period.
6. Filer provides the requested information or sample notification in electronic format or physical sample within the timeframe prescribed in the Request for Information/Sample notice.
7. ACE receives the notice of submission of information/sample.
8. ACE determines that the request for information/sample was requested by a PGA.
9. PGA receives information or sample notification.
10. PGA provides support to CBP or takes action as required.
11. ACE records disposition and/or processes Validation Activity.
12. ACE notifies Filer of disposition as appropriate.

### Alternate Flow Scenario A: *CBP initiates a Request for Information.*

- 1A. CBP initiates a Request for Information.
  1. ACE receives a Request for Information from CBP.

2. ACE opens a Validation Activity (Team Review).
3. ACE issues a Request for Information/Sample notice to the Filer and extends the liquidation and the conditional release period.
4. ACE notifies the Filer of the Request for Information/Sample and the extension of the liquidation and the conditional release period.
5. Filer provides the requested information or sample notification in electronic format or physical sample within the timeframe prescribed in the Request for Information/Sample notice.
6. ACE receives the notice of submission of information/sample.
7. ACE determines that the information/sample was requested by CBP.
8. CBP receives information or sample notification.
9. CBP ensures compliance and determines disposition of the information/sample.
10. ACE records disposition and/or processes Validation Activity.
11. ACE notifies Filer of disposition as appropriate.

***Alternate Flow Scenario B: Filer fails to provide requested information/sample.***

6B. Filer fails to provide requested information/sample within the timeframe prescribed.

1. ACE notifies CBP and/or PGA of failure to provide information/sample.
2. CBP performs review prior to determining disposition OR PGA provides support to CBP or takes action as required.
3. CBP determines and records disposition (Demand for Redelivery or other actions).
4. ACE records the disposition and/or processes the Validation Activity.
5. ACE notifies the Filer of the disposition.
6. Filer receive disposition.

#### 2.1.1.4.5 Process Redelivery of Inadmissible Goods

**BUSINESS PROCESS SCENARIO NAME:** Process Redelivery of Inadmissible Goods

**BUSINESS PROCESS AREA:** Entry & Release, Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to describe the various CBP and PGA functions involved in processing a CBP or PGA Request for Redelivery.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, and PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** CBP has released the cargo.

**Driver/Event Trigger:** This Business Process starts when PGA requests redelivery of cargo after CBP has released the cargo or CBP requests redelivery of the cargo.

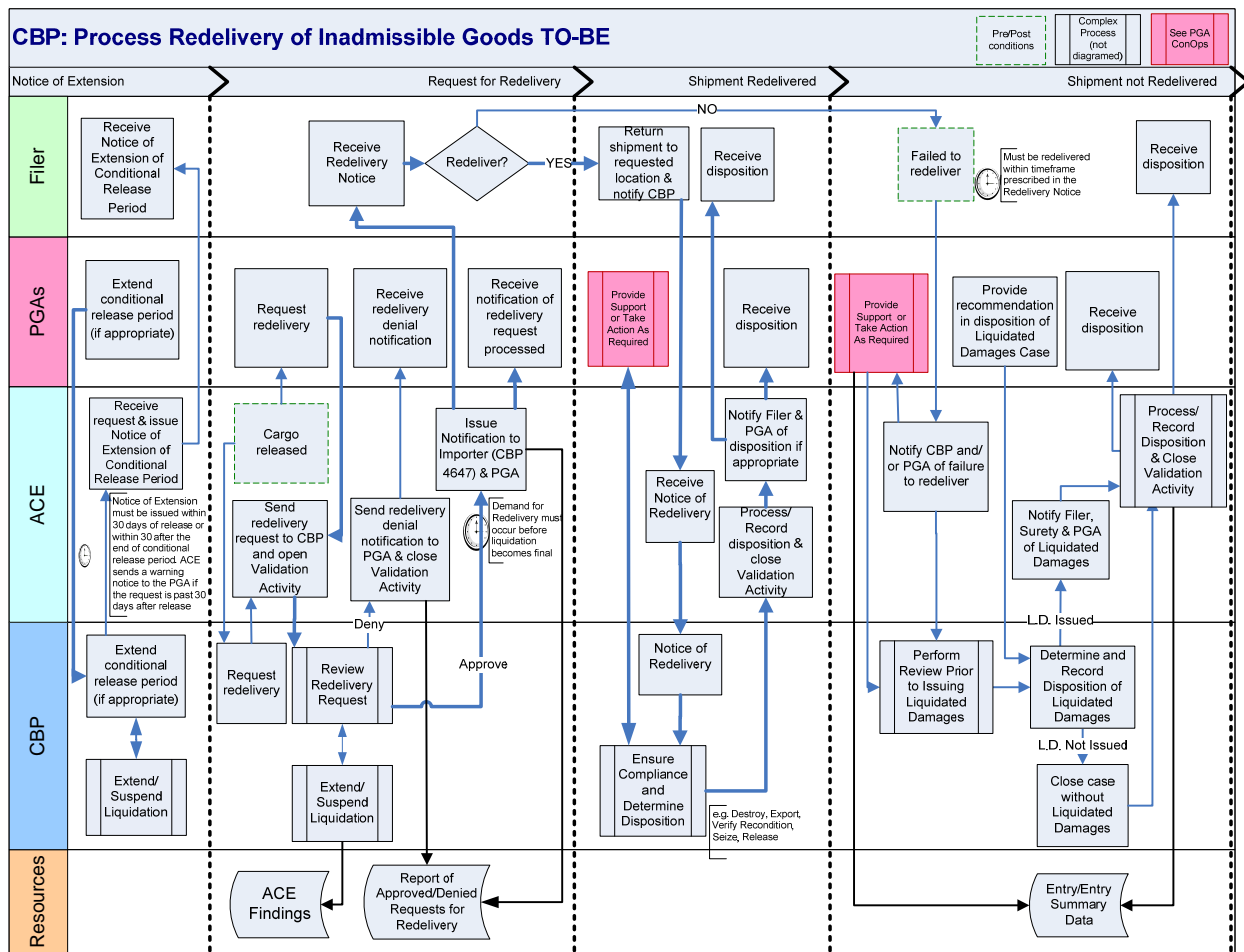
**Successful End:** This Business Process is successfully completed when the Filer redelivers the cargo and a disposition is reached.

**Outputs/results:** This Business Process produces a redelivery disposition with appropriate notifications to the Filer/PGA.

**Other scenario or processes referenced by this scenario:** Perform Review Prior to Issuing Liquidated Damages; Ensure Compliance and Determine Disposition; Extend/Suspend Liquidation; Process/Record Disposition & Close Validation Activity; Review Redelivery Request. Business Process related to PGA: Provide Support or Take Action as Required.

**Assumptions:**

- PGAs may pursue enforcement actions against importers independent of CBP. In order to assess liquidated damages under the Basic Importation Bond, however, a PGA will have to submit a demand for redelivery through ACE.



### Main Success (Basic Flow) Scenario:

*These steps should happen prior to requesting redelivery.*

1. CBP extends the conditional release period or the PGA requests CBP to extend the conditional release period.
2. ACE issues Notice of Extension of Conditional Release period to the Filer.
3. CBP extends or suspends liquidation as appropriate.
4. Filer receives the Notice of Extension of Conditional Release period.

*These steps happen when CBP or PGA requests redelivery of cargo.*

1. PGA or CBP sends a request for redelivery of cargo to ACE within the conditional release period.
2. ACE sends the request of redelivery to CBP and opens a Validation Activity.
3. CBP reviews the request for redelivery.
4. CBP approves PGA request for redelivery.
5. ACE issues an electronic redelivery notice to the Filer.
6. ACE notifies the PGA that the redelivery request is processed.
7. Filer redelivers the shipment to the requested location within the timeframe prescribed in the redelivery notice.
8. CBP receives the notice of redelivery.
9. CBP ensures compliance and determines disposition (Destroy, Export, Verify Recondition, Seize, or Release).



10. PGA provides support to CBP or takes action as required.
11. CBP processes the disposition of the cargo and closes the Validation Activity in ACE.
12. ACE notifies the Filer and PGA of the disposition.

***Alternate Flow Scenario A: CBP denies PGA request for redelivery.***

- 4A. CBP denies PGA request for redelivery.
  1. ACE sends Redelivery Denial Notification with explanation to PGA and closes the Validation Activity.
  2. PGA receives Redelivery Denial Notification from ACE.

***Alternate Flow Scenario B: Filer fails to redeliver the shipment, Liquidated Damages (L.D.) issued.***

- 7B. Filer fails to redeliver the shipment within the timeframe prescribed in the redelivery notice.
  1. ACE notifies CBP and PGA of failure to redeliver.
  2. CBP performs review prior to assessing liquidated damages.
  3. PGA provides support to CBP or takes action as required.
  4. CBP determines liquidated damages should be issued and records the disposition.
  5. ACE notifies the Filer and PGA of the disposition.
  6. ACE processes and records the disposition and closes the Validation Activity.

**Sub-Alternate Flow Scenario B1: Filer fails to redeliver the shipment, L.D. not issued.**

- 7 B4 B1. CBP determines liquidated damages should not be issued and records the disposition.
  1. CBP closes the case without issuing liquidated damages.
  2. ACE records the disposition and closes the Validation Activity.
  3. ACE notifies the PGA of the disposition.
  4. ACE notifies the Filer of the disposition.

#### 2.1.1.4.6 Verify Quota

**BUSINESS PROCESS SCENARIO NAME:** Verify Quota

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to process an Entry Summary subject to Quota (Tariff Rate Quota and Tariff Preference Level) from Quota Review to cargo release and liquidation.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** An Entry Summary subject to Quota Review is filed.

**Driver/Event Trigger:** This Business Process starts when an Entry Summary subject to Quota Review has been filed.

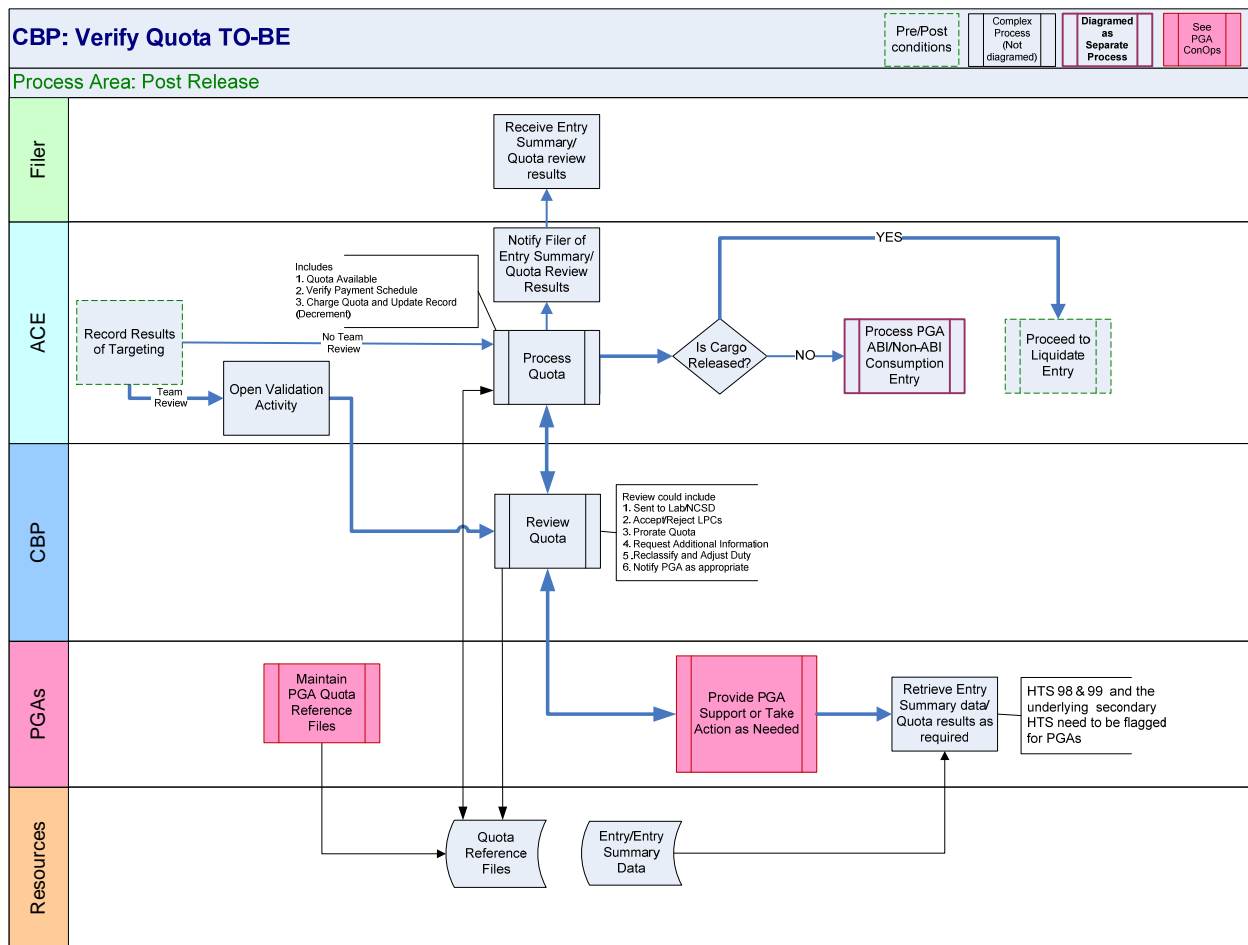
**Successful End:** This Business Process is successful when the Quota Review has been completed.

**Outputs/results:** This Business Process produces a proper verification of an Entry Summary subject to Quota.

**Other scenario or processes referenced by this scenario:** Process Quota; Review Quota; Process PGA ABI/Non-ABI Consumption Entry. Business Process Related to PGA: Provide PGA Support or Take Action as Needed; Maintain PGA Quota Reference Files.

**Assumptions:**

- Targeting will determine which Entry Summaries subject to quota will receive Team Review. Quota Entries that do not require team review will bypass team review and go to automated quota processing in ACE.
- The “Verify Quota” process applies to Tariff Rate Quota (TRQ), Tariff Preference Level (TPL), and quantitative restrictions under AD/CVD Suspension Agreements.
- PGAs will maintain flags on HTS numbers that they regulate.
- PGAs need the secondary HTS number associated with Entries under Chapter 98 and 99 to be able to determine jurisdiction.



### Main Success (Basic Flow) Scenario:

1. ACE initiates a Team Review and opens a Validation Activity for an Entry Summary for Quota merchandise as a result of targeting.
2. CBP reviews the Entry Summary subject to Quota. Actions taken could include the following:
  - a. Sent to lab/National Commodity Specialist Division (NCSD);
  - b. Accept/reject LPCs;
    1. Prorate Quota;
    2. Request information;
    3. Reclassify and adjust duty;
    4. Notify PGA as appropriate.
3. PGA provides appropriate support or takes action as required for Quota processing.
4. ACE processes the Quota based on CBPs determinations.
5. ACE notifies the Filer of the Quota Review results as needed.
6. ACE determines that the cargo has been released.
7. ACE proceeds to liquidate the Entry.

### Alternate Flow Scenario A: ACE does NOT open a Validation Activity.

- 1A. ACE determines that the Entry Summary for Quota merchandise is not subject to Team Review.

1. ACE performs Quota processing.
2. Return to Main Success Scenario step 5.

***Alternate Flow Scenario B: ACE determines that the cargo has not been released.***

6B. ACE determines that the cargo has not been released.

1. ACE performs process “Process PGA ABI/Non-ABI Consumption Entry.”

#### 2.1.1.4.7 Collect Duties, Taxes, and Fees on Cargo

**BUSINESS PROCESS SCENARIO NAME:** Collect Duties, Taxes, and Fees on Cargo

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to capture the collection of duties, taxes, and fees on imported merchandise.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, PGAs, Financial Institutions.

**BOUNDARIES:**

**Preconditions or Prerequisites:** The Filer files an Entry Summary and it passed syntax and PGA validations.

**Driver/Event Trigger:** This Business Process starts when the Entry Summary is received by CBP and processed through the syntax and PGA edits.

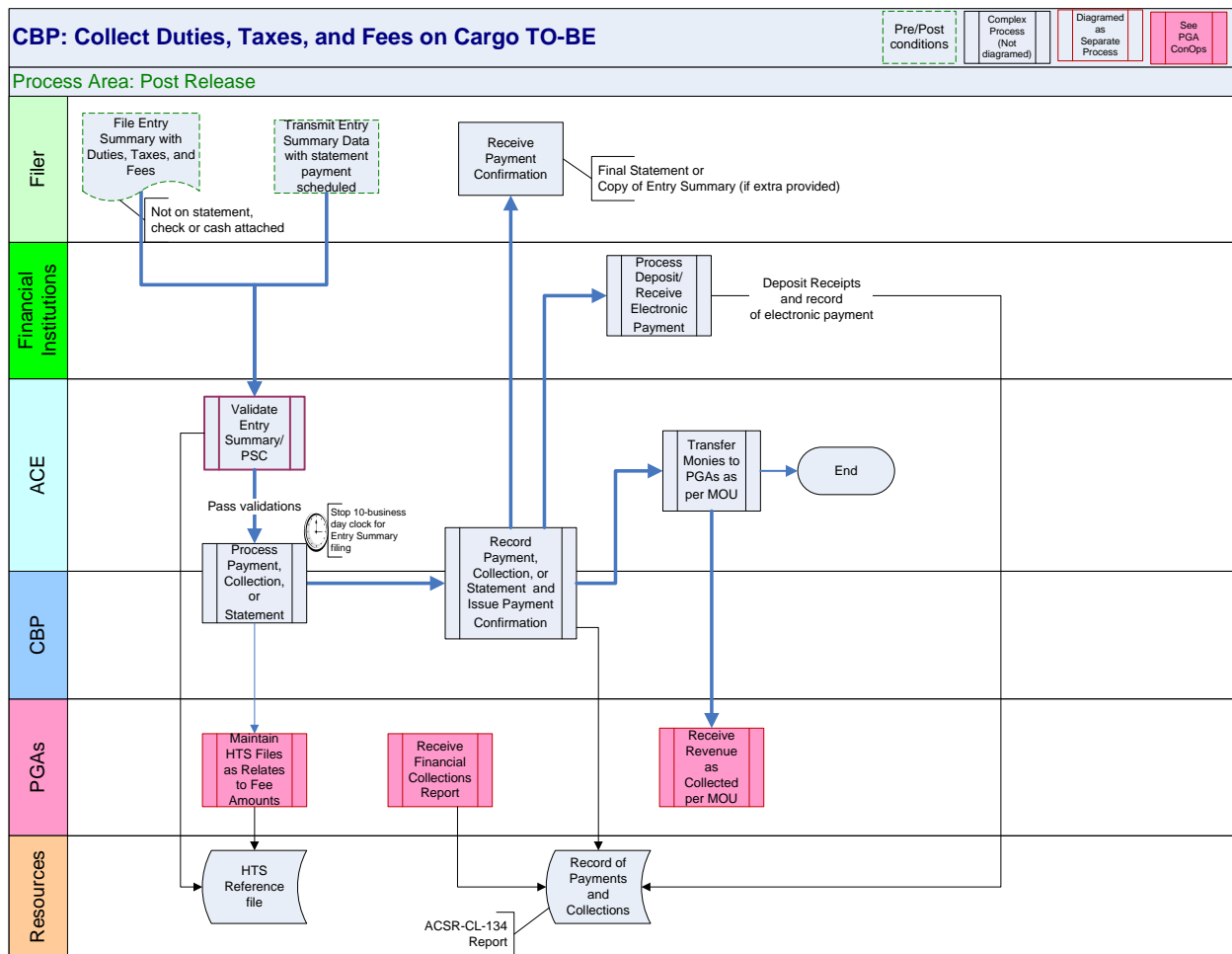
**Successful End:** This Business Process is successfully completed when duties, taxes, and fees are recorded and collected.

**Outputs/results:** This Business Process produces a completed collection or payment of duties, taxes, and fees and a report of payment/collections can be generated.

**Other scenario or processes referenced by this scenario:** Process Payment, Collection, or Statement; Record Payment, Collection, or Statement and Issue Payment Confirmation; Process Deposit/Receive Electronic Payment; Transfer Monies to PGAs as per MOU; Validate Entry Summary/PCS. Business Processes Related to PGA: Maintain HTS Flags as Relates to Fee Amounts; Receive Financial Collections Report; Receive Revenue as Collected per MOU.

**Assumptions:**

- Collection of duties, taxes, and fees on cargo will be processed in ACE.



### Main Success (Basic Flow) Scenario:

1. Filer files an Entry Summary with payment attached (no payment in the case of shipment not subject to duties, taxes, or fees); OR  
Filer files an Entry Summary with a statement payment scheduled.
2. ACE validates Entry Summary/PSC.
3. ACE/CBP processes the payment, collection, or statement. (This stops the 10 business day clock.)
4. ACE/CBP records payment, collection, or statement and issues payment confirmation.
5. Filer receives payment confirmation as appropriate.
6. Financial Institution processes the deposit or receives the electronic payment.
7. Financial Institution produces appropriate deposit receipts.
8. ACE transfers monies to PGAs as per MOU.
9. PGA receives revenue as collected per MOU.
10. PGA receives or requests reports of duties, taxes, and fees collected (ACSR-CL-134 Report).

### 2.1.1.4.8 Liquidate Entry

**BUSINESS PROCESS SCENARIO NAME:** Liquidate Entry

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to document the liquidation process as it relates to the PGA involvement.

**PROCESS PARTICIPANTS (ACTORS):** Filer, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** An Entry Summary is filed and Duties, Taxes, and Fees are collected. In addition, no Team Review is conducted or Team Review issues are resolved.

**Driver/Event Trigger:** A duty paid Entry did not undergo Team Review or all Team Review issues have been resolved.

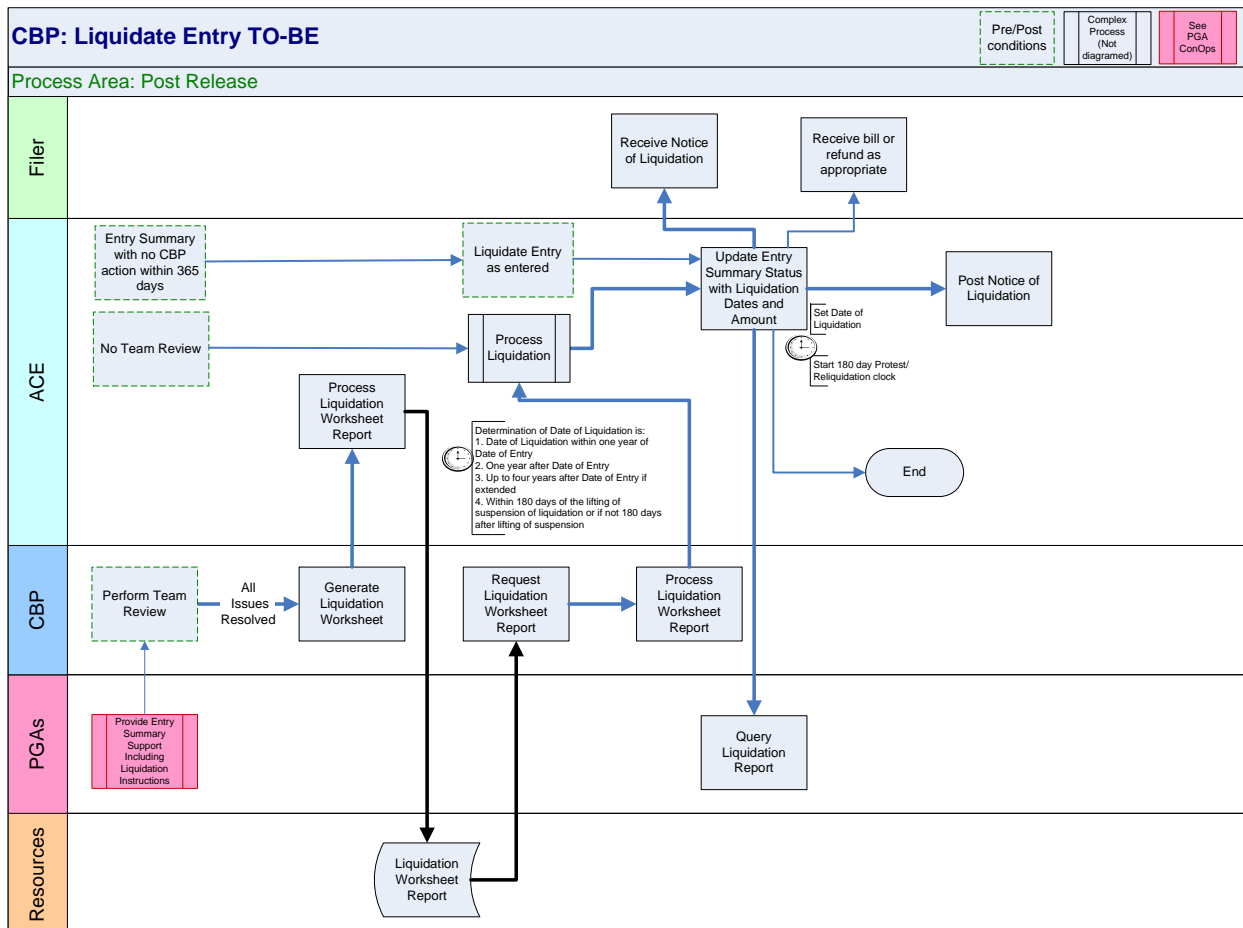
**Successful End:** This Business Process is successfully completed when the Entry is liquidated and appropriate refunds or bills are issued.

**Outputs/results:** This Business Process produces a liquidated Entry with appropriate bills, refunds, and notices.

**Other scenario or processes referenced by this scenario:** Process Liquidation. Business Process Related to PGA: Provide Entry Summary Support including Liquidation Instructions.

**Assumptions:**

- The date of liquidation establishes a uniform trigger for Protests and Reliquidation. The periods will run for 180 days from the date of liquidation.



**Main Success (Basic Flow) Scenario:**

1. CBP performs Team Review on an Entry Summary and all issues are resolved (this could include AD/CVD liquidation instructions from PGA).
2. CBP generates the Liquidation Worksheet and records it in ACE to prompt the liquidation of the Entry.
3. ACE processes the Liquidation Worksheet Report.
4. CBP requests Liquidation Worksheet Report as needed from ACE.
5. CBP processes the Liquidation Worksheet Report.
6. ACE processes the Entry for liquidation.
7. ACE updates the Entry status to reflect the liquidation date and the final amount of duties, taxes, and fees collected or to be collected.
8. ACE issues an electronic courtesy Notice of Liquidation to the Filer.
9. ACE issues a bill or refund as appropriate.
10. ACE posts the electronic Bulletin Notice of Liquidation.
11. PGA queries the liquidation status as appropriate in ACE.

***Alternate Flow Scenario A: CBP does not perform Team Review.***

- 1A. CBP does not perform Team Review.
  1. Return to Main Success Scenario step 6.

Note: Entry will liquidate as entered (deemed liquidation) if no action is taken within one year from date of Entry.



### 2.1.1.4.9 Process Drawback

**BUSINESS PROCESS SCENARIO NAME:** Process Drawback

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to document PGAs involvement in the Drawback process.

**PROCESS PARTICIPANTS (ACTORS):** Drawback Claimant, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** The Entry Summary is filed and the Entry may or may not be liquidated.

**Driver/Event Trigger:** This Business Process starts when a Drawback claim is filed.

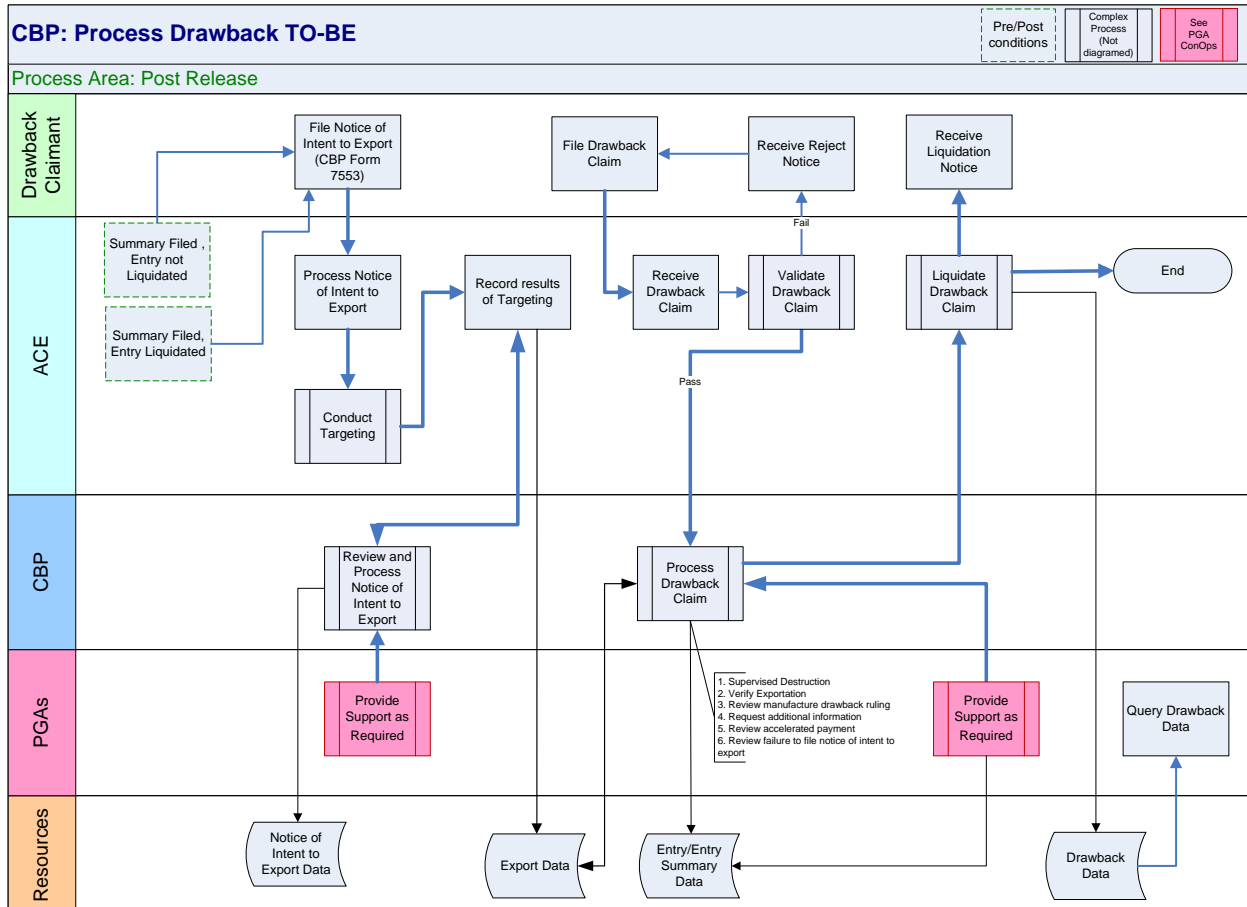
**Successful End:** This Business Process is successfully completed when the Drawback claim has been processed.

**Outputs/results:** This Business Process produces a liquidation of the Drawback Claim.

**Other scenario or processes referenced by this scenario:** Conduct Targeting; Review and Process Notice of Intent to Export; Process Drawback Claim; Validate Drawback Claim; Liquidate Drawback Claim. Business Process Related to PGA: Provide Support as Required.

**Assumptions:**

- All Drawback claims will be filed electronically in ACE with scanned supporting documents included.
- Drawback reform legislation will be enacted by Congress.



**Main Success (Basic Flow) Scenario:**

1. Drawback Claimant electronically files Notice of Intent to Export (CBP Form 7553).
2. ACE processes the Notice of Intent to Export.
3. ACE conducts targeting on the Notice of Intent to Export.
4. ACE records the targeting results.
5. CBP reviews and processes Notice of Intent to Export.
6. PGA will provide support as needed in the processing of the Notice of Intent to Export.
7. Drawback Claimant files an electronic Drawback Claim.
8. ACE receives the electronic Drawback Claim with images of required documents.
9. ACE validates the Drawback Claim.
10. ACE accepts the Drawback Claim.
11. CBP processes the Drawback Claim.
12. PGA provides support (as required) to CBP in the processing of the Drawback Claim.
13. ACE liquidates the Drawback Claim.
14. ACE issues liquidation notice to the Drawback Claimant.
15. PGAs can query Drawback data as needed.

***Alternate Flow Scenario A: ACE does not accept the Drawback Claim.***

10A. ACE does not accept the Drawback Claim.

1. ACE notifies the Drawback Claimant of the rejection.

#### **2.1.1.4.10 Process Protest for Exclusion, Redelivery, or Liquidated Entry**

**BUSINESS PROCESS SCENARIO NAME:** Process Protest for Exclusion, Redelivery, or Liquidated Entry

**BUSINESS PROCESS AREA:** Post Release

**PURPOSE OF THIS BUSINESS PROCESS SCENARIO (GOAL):**

The purpose of this Business Process is to document the PGA role in the Protest process for exclusion of cargo, demand for redelivery or liquidation of an Entry.

**PROCESS PARTICIPANTS (ACTORS):** Protestant, ACE, CBP, PGAs.

**BOUNDARIES:**

**Preconditions or Prerequisites:** 1) The Entry has been liquidated OR 2) The Protestant has received a Redelivery Notice OR 3) The Protestant received notification from CBP that cargo is subject to an enforcement action.

**Driver/Event Trigger:** This Business Process starts when the Protestant files a Protest.

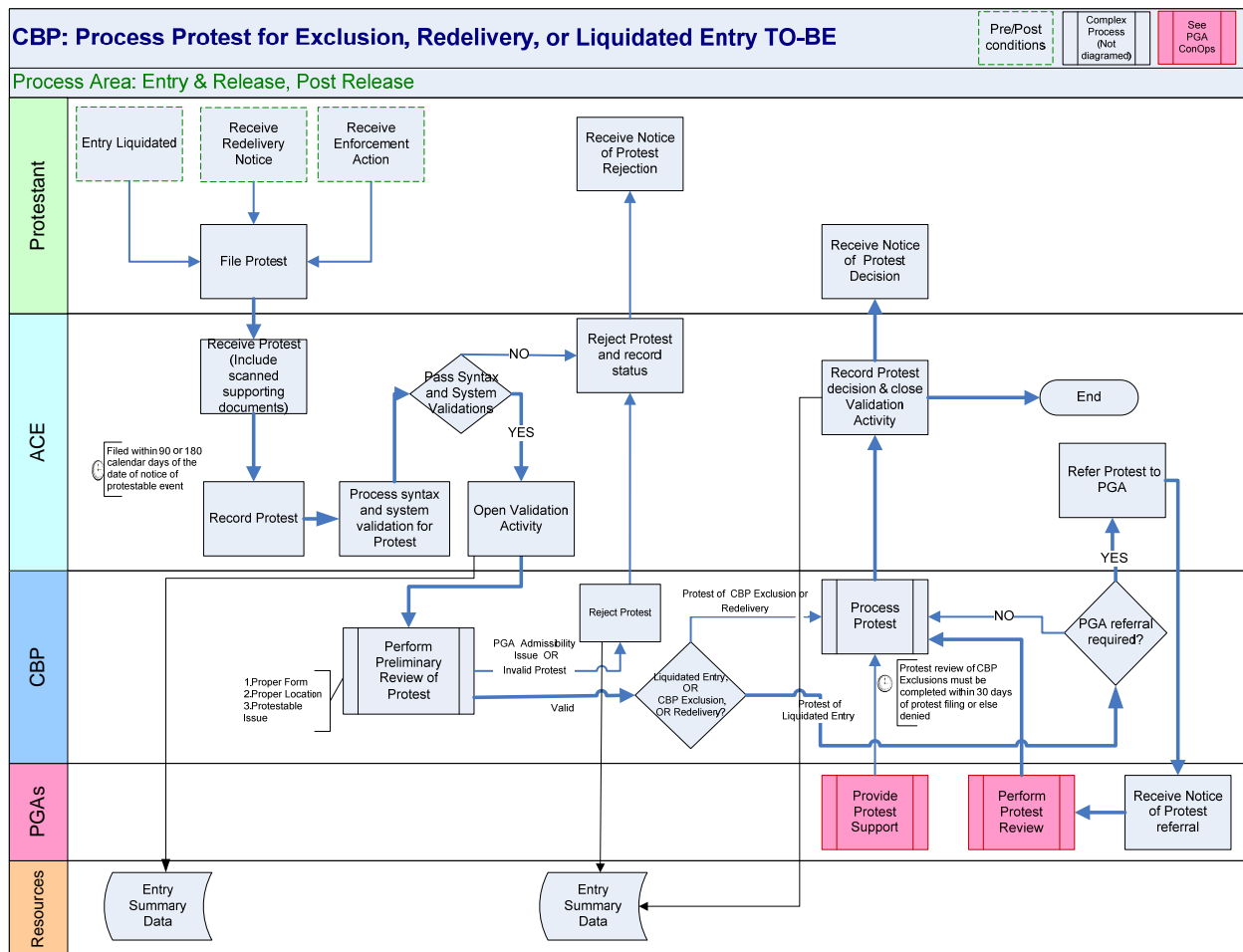
**Successful End:** This Business Process is successfully completed when the Protest has been processed and a decision issued to the Protestant.

**Outputs/results:** This Business Process produces a decision to grant/deny the Protest.

**Other scenario or processes referenced by this scenario:** Perform Preliminary Review of Protest; Process Protest. Business Process related to PGA: Provide Protest Support; Perform Protest Review.

**Assumptions:**

- All Protests will be filed electronically in ACE with scanned supporting documents included.
- A Protest may be rejected to the Protestant for a number of reasons including untimely filed, not filed at the proper location, not in proper form, not for a protestable item, etc. A reject means CBP has not accepted the Protest before considering the issue. The Protest can be denied or allowed based on the merits of the issue.
- All Protests filed with CBP for PGA issues related to admissibility will be rejected to the Protestant with instructions to contact the appropriate PGA for resolution.



### Main Success (Basic Flow) Scenario:

1. Protestant files an electronic Protest including electronic supporting documentation.
2. ACE receives the electronic Protest and electronic supporting documentation.
3. ACE records the Protest.
4. ACE performs syntax and system validations of the Protest.
5. ACE passes the Protest for syntax and system validations.
6. ACE opens a Validation Activity.
7. CBP performs preliminary review of the Protest and determines that the Protest was in proper form, filed in the proper location, and that the issue is subject to protest.
8. CBP determines that it is a valid Protest that does not involve a PGA admissibility issue.
9. CBP determines the Protest was filed for Liquidated Entry.
10. CBP determines that the Protest requires PGA referral.
11. ACE refers the Protest to the PGA.
12. PGA receives a notification of protest referral.
13. PGA performs protest review and provides recommendations to CBP.
14. CBP processes the Protest.
15. ACE records Protest decision, closes Validation Activity, and notifies the Protestant.

***Alternate Flow Scenario A: ACE determines the Protest does not pass syntax and system validations.***

5A. ACE does not pass the Protest for syntax and system validations.

1. ACE rejects the Protest and records status.
2. ACE notifies the Protestant that the Protest has been rejected.

***Alternate Flow Scenario B: CBP determines it is not a valid Protest or involves a PGA admissibility issue.***

8B. CBP performs a preliminary review of the Protest and determines the Protest is invalid or involves a PGA admissibility issue.

1. CBP rejects the Protest.
2. ACE records status of the Protest.
3. ACE notifies the Protestant that the Protest has been rejected.

***Alternate Flow Scenario C: CBP determines that the Protest was filed for CBP Exclusion or Redelivery.***

9C. CBP determines the Protest was filed for CBP Exclusion or Redelivery.

1. CBP processes the Protest.
2. ACE records the Protest decision and closes the Validation Activity.
3. ACE notifies the Protestant of the Protest decision.

***Alternate Flow Scenario D: CBP determines that the Protest for Liquidated Entry does not require PGA referral.***

10D. CBP determines that the Protest for Liquidated Entry does not require PGA referral.

1. CBP processes the Protest.
2. ACE records the Protest decision and closes the Validation Activity.
3. ACE notifies the Protestant of the Protest decision.

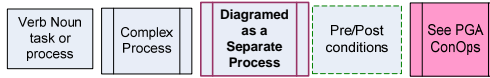
# Appendix A. Understanding the Process Flow Diagrams

## 'To Be' Diagramming Standards



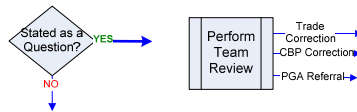
- Manual or Automated Activities, task, or processes:

- Verb Noun syntax
- Predefined processes use "double sided" box and color-coded line and fill



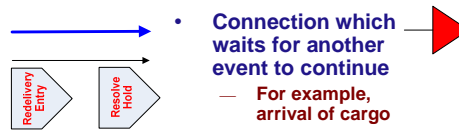
- Decisions:

- "Diamond shape" has question which can be answered Yes or No typically using only data elements
- Multiple outcomes or complex decision process uses "double sided" box



- Connectors:

- Operational flow connections in blue
- Data connections to "resources" in black
- Re-entry point & links to other diagram pages in "5-sided" shapes



- Termination



- Documents



- External Data



- Set or trigger time-based event



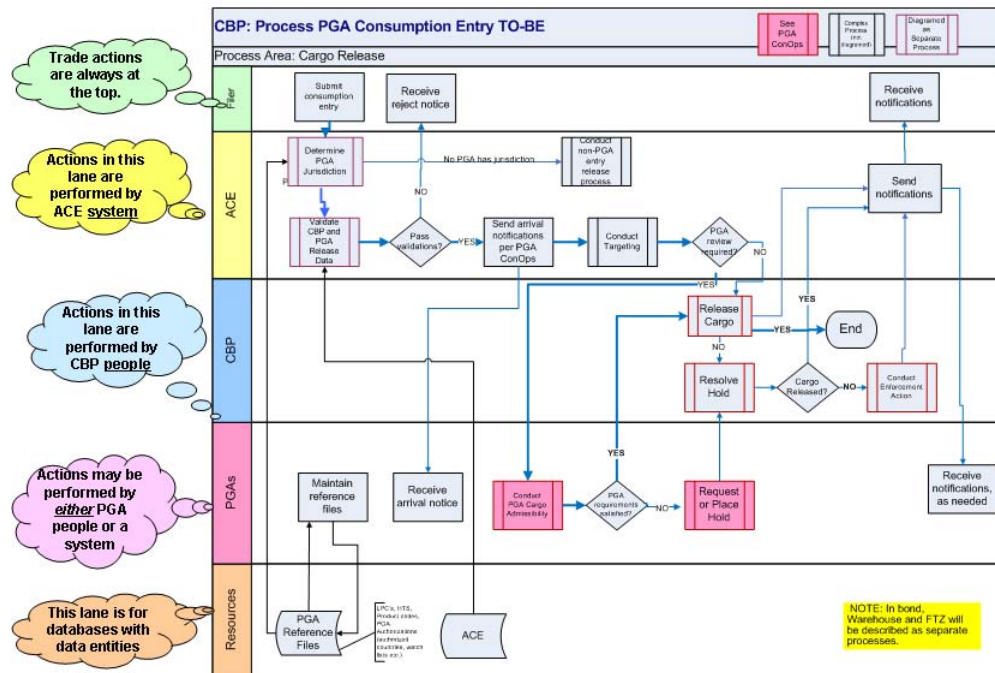
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## Example of Process Diagrams Standards

For discussion purposes ONLY



## Appendix B. Acronyms

The following table lists acronyms used throughout this document and its appendices.

**Table B-1. Acronyms**

Acronym	Definition
AAEI	American Association of Exporters and Importers
AAR	Association of American Railroads
ABI	Automated Broker Interface
ACE	Automated Commercial Environment
ACH	Automated Clearinghouse
ACS	Automated Commercial System
AD/CVD	Anti-Dumping/Countervailing Duty
ALR	Automated Line Release
A/LM	State Despatch, Office of Logistics Management
AMS	Agricultural Marketing Service
AMS	Automated Manifest System
APHIS	Animal and Plant Health Inspection Service
AQAS	Agricultural Quarantine Activity System
AQIM	Agricultural Quarantine Inspection Monitoring
ATF	Alcohol, Tobacco, Firearms and Explosives
AVIC	Area Veterinarian In Charge
BIS	Bureau of Industry and Security
BLS	Bureau of Labor Statistics
BTS	Bureau of Transportation Statistics
CDC	Centers for Disease Control and Prevention
BOL	Bill of Lading
BRASS	Border Release Advanced Selectivity System
BTA	Bioterrorism Act
CAMIR	Customs Automated Manifest Interface Requirements
CATAIR	Customs and Trade Automated Interface Requirements
CBP	Customs and Border Protection
CBPAS	CBP Agricultural Specialist
CBPF	CBP Form
CBPO	CBP Officer
CFR	Code of Federal Regulations

Acronym	Definition
CITES	Convention on International Trade in Endangered Species
CMS	Conveyance Management System
CPSC	Consumer Product Safety Commission
ConOps	Concept of Operations
CTAC	Commercial Targeting and Analysis Center
C-TPAT	Customs-Trade Partnership Against Terrorism
DCMA	Defense Contract Management Agency
DDTC	Directorate of Defense Trade Controls
DEA	Drug Enforcement Administration
DHS	Department of Homeland Security
DHHS	Department of Health and Human Services
DOT	Department of Transportation
DS/OFM	Bureau of Diplomatic Security, Office of Foreign Missions
EAB	Enterprise Architecture Branch
EAN	Emergency Action Notification
ECS	Electronic Collection System
EDA	Estimated Date of Arrival
EIA	Office of Oil and Gas, Energy Information Administration
EPA	Environmental Protection Agency
ES	Entry Summary
FAA	Federal Aviation Administration
FAS	Foreign Agricultural Service
FAST	Free and Secure Trade
FCC	Federal Communications Commission
FDA	Food and Drug Administration
FHWA	Federal Highway Administration
FinCEN	Financial Crimes Enforcement Network
FIRMS	Facilities Information and Resources Management System
FMC	Federal Maritime Commission
FMCSA	Federal Motor Carrier Safety Administration
FP&F	Fines, Penalties and Forfeitures
FSIS	Food Safety and Inspection Service
FSWG	Food Safety Working Group
FTZ	Foreign Trade Zone



Acronym	Definition
FWS	Fish and Wildlife Service
GIPSA	Grain Inspection, Packers & Stockyards Administration
GO	General Order
HHS	Health and Human Services
HTS	Harmonized Tariff Schedule
IA	Import Administration
I-B	In-Bond
I-House	Inspection House
IE	Immediate Exportation
IRS	Internal Revenue Service
IT	Immediate Transportation
IT	In Transit
ITDS	International Trade Data System
L.D.	Liquidated Damages
LOB	Line of Business
LPC	Licenses, Permits, and Certificates
LPCO	Licenses, Permits, Certificates, and Other
MARAD	Maritime Administration
Mod Act	Customs Modernization and Informed Compliance Act
MOT	Mode of Transportation
MRU	Manifest Review Unit
NARP	National Agriculture Release Program
NCA	National Capital Authority
NCBFAA	National Customs Brokers & Forwarders Association of America
NCSD	National Commodity Specialist Division
NFC	National Finance Center
NHTSA	National Highway Traffic Safety Administration
NMFS	National Marine Fisheries Service
NRC	Nuclear Regulatory Commission
NVOCC	Non-Vessel-Operating Common Carrier
OA	Office of Administration
OC	Office of the Commissioner
OES	Bureau of Oceans and International Environmental and Scientific Affairs
OFAC	Office of Foreign Assets Control

Acronym	Definition
OFE	Office of Fossil Energy
OFO	Office of Field Operations
OFO/APTL	Office of Field Operations/Agriculture Programs and Trade Liaison
OFO/TOD	Office of Field Operations/Trade Operations Division
OIOC	Office of Intelligence Operations Coordination
OIT	Office of Information and Technology
OT	Office of International Trade
OT/R&R	Office of International Trade/Regulations & Rulings
OT/T-APP	Office of International Trade/Textile-Apparel Policy & Programs
PA	Pre-Arrival
PGA	Participating Government Agency
PHMSA	Pipeline and Hazardous Materials Safety Administration
PIR	Pest Interception Record
PIS	Plant Inspection Station
PMS	Periodic Monthly Statement
PN	Prior Notice
POE	Port of Entry
PPQ	Plant Protection and Quarantine
PSC	Post Summary Correction
PTP	Permit to Proceed
PTT	Permit to Transfer
SDS	Standard Data Set
SME	Subject Matter Expert
T&E	Transportation and Exportation
TECS	Treasury Enforcement Communications System
TPL	Tariff Preference Levels
TRQ	Tariff Rate Quota
TSA	Transportation Security Administration
TSN	Trade Support Network
TTB	Alcohol and Tobacco Tax and Trade Bureau
USACE	United States Army Corps of Engineers
USAID	United States Agency for International Development
USC	United States Code
USCG	United States Coast Guard

<b>Acronym</b>	<b>Definition</b>
USDA	United States Department of Agriculture
USITC	United States International Trade Commission
USTR	United States Trade Representative
VACIS	Vehicle and Cargo Inspection System
VMS	Vessel Management System
VS	Veterinary Services
WADS	Work Accomplishment Data System