

## **ACE FREQUENTLY ASKED QUESTIONS**

**February 2013**

## **Introduction**

Very few problems that users encounter are entirely new. This frequently asked questions document collects often-asked questions and answers about the Automated Commercial Environment System into a single document so users can quickly find the answer to their question. Although the question you have may not be specifically addressed in this document, you may find a similar question that will be of help.

The questions are divided into categories for easy retrieval. The categories are:

Systems Background

Automatic Broker Interface (ABI)

General

Application

Cargo Systems Messaging Service

Carriers

Document Image System

e-Manifest: Rail and Sea

e-Manifest: Truck

Cargo Release/Simplified Entry Pilot: Policy

Cargo Release/Simplified Entry Pilot: Technical

Entry Summary, Accounts, and Revenue

Importer Security Filing (ISF)

Periodic Monthly Statement

Reports

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## Systems Background

### **Q1. *Who will receive benefits from ACE?***

**A1.** ACE will benefit U.S. citizens, the trade community, CBP employees, Government agencies, and the economy as a whole. Citizens will be better protected from health and safety risks posed by terrorist activities and the influx of narcotics, illegal products, and unsafe goods. The trade community will have a more efficient Web-based interface with Government agencies, reducing the cost and burden of processing transactions for both the Government and the trade community. At CBP, officers will benefit from state-of-the-art tools to perform their jobs faster; they will have increased access to information, and the burden of paper-intensive manual processing of goods will be reduced. Government agencies with border enforcement and regulatory responsibilities will be better able to share information, which will improve analysis to better target and analyze goods coming into the country. Finally, moving goods to market faster and at lower cost will have positive impacts on the U.S. economy.

### **Q2. *Why should my company participate in ACE?***

**A2.** Participating in ACE supports the Department of Homeland Security (DHS) dual mission to facilitate legitimate trade and secure the Nation's borders. In addition, there are many tangible benefits for importers, brokers, and carriers including:

- Financial savings with the periodic monthly payment capability;
- Reduced processing time at the border with features like electronic truck manifest;
- Ability to view shipment status and store data via the ACE Secure Data Portal; and
- Capabilities to develop over 100 customized reports.

### **Q3. *Where can the public learn about ACE and recent developments?***

**A3.** To stay updated on CBP modernization activities, visit the ACE Modernization home page on the CBP Web site at:  
<http://cbp.gov/xp/cgov/trade/automated/modernization/>

## Automatic Broker Interface

**Q1. *Will the Automated Broker Interface (ABI) remain the system by which trade applications for customs brokers will interface with CBP?***

**A1.** Yes, at the present time ABI will remain the system through which customs brokers and others will interface with CBP. For more information regarding ABI transaction formats, please refer to the Customs and Trade Automated Interface Requirements (CATAIR) section on the CBP Web site at:  
[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_edi\\_messages/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/)

**Q2. *Will any ACE requirements that affect ABI (and vice versa) be implemented by issuing updates to the existing CATAIR specification?***

**A2.** Yes, any ACE requirements that affect ABI and vice versa will be implemented by issuing updates to the existing CATAIR specification.

**NOTE:** If/when CBP introduces other formats for EDI transactions, CBP will post those new formats to the CBP.gov Web site.

## General

**Q1. *Where can I find general information on how to become an ACE participant?***

**A1.** For an ACE portal account application and information on program participation, visit the ACE Modernization Web site at:

[http://cbp.gov/xp/cgov/trade/automated/modernization/ace\\_app\\_info/](http://cbp.gov/xp/cgov/trade/automated/modernization/ace_app_info/)

All Federal Register Notices related to ACE can be found at:

[http://cbp.gov/xp/cgov/trade/automated/modernization/ace/frn\\_notices.xml](http://cbp.gov/xp/cgov/trade/automated/modernization/ace/frn_notices.xml)

**Q2. *What kind of hardware and software is required to use the ACE Secure Data Portal?***

**A2.** To access the ACE Secure Data Portal, a broadband Internet connection is recommended. ACE has been tested on the Windows XP SP3 and Windows 7 SP1 operating systems, using Internet Explorer 8, and either Java 6 or Java 7. While other configurations may work, they have not been validated by CBP.

In addition, it is recommended that ACE Secure Data Portal users have

- A PDF file viewer, such as Adobe Acrobat; and
- Microsoft Excel and Microsoft Word or similar office document products to work with files interchanged via the portal.

**Q3. *What is the Web address for the ACE Secure Data Portal?***

**A3.** <https://ace.cbp.dhs.gov>

**Q4. *Are there any fees to access the ACE Secure Data Portal?***

**A4.** No access fees or additional costs are required.

**Q5. *What type of training is available for new ACE accounts?***

- A5. Web-Based Training (WBT) is now available for ACE accounts. WBT information can be found at: [http://cbp.gov/xp/cgov/trade/automated/modernization/ace\\_welcome/](http://cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/)

User guides providing navigational descriptions of the ACE Portal and detailed step-by-step instructions on different account management functionality, can also be found on CBP.gov at:

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_welcome/ace\\_welcome\\_package/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_welcome_package/)

Step-by-step printable electronic manifest instructions for trucks may also be found at: [http://cbp.gov/linkhandler/cgov/trade/trade\\_outreach/emanifest\\_trucks.ctt/emanifest\\_trucks.pdf](http://cbp.gov/linkhandler/cgov/trade/trade_outreach/emanifest_trucks.ctt/emanifest_trucks.pdf)

**Q6. *Who can I call for assistance in using the Portal?***

- A6. You can call the Technology Service Desk at 866-530-4172 for assistance.

**Q7. *What is the CBP policy on the number of password attempts?***

- A7. The user is locked out after three password tries. To have your password reset, contact the Technology Service Desk at 866-530-4172.

**Q8. *Can all my employees use my login and password?***

- A8. All users should have their own password and user ID. The Trade Account Owner or Proxy Trade Account Owner can set up new users in the “Manage Access” view.

**Q9. *Can you provide more detail on user roles, for example, who will define user roles?***

- A9. There are three available trade user roles in the ACE portal: the Trade Account Owner, the Proxy Trade Account Owner, and an Account User. The Trade Account Owner is the individual or other legal entity identified and authorized by the account to serve as the representative of the account and is responsible for the administration of access to the account’s information through the ACE portal. A Proxy Trade Account Owner is any individual identified and authorized by either the account or the Trade Account Owner to access information that pertains to the account through the ACE portal. The authority of the Proxy Trade Account Owner includes the designation of other Account Users but may be limited by the Trade Account Owner. Under no circumstance may a Proxy Trade Account Owner designate another Proxy Trade Account Owner. An Account User is any individual identified and authorized by the Trade Account Owner or Proxy Account Owner to access information that pertains to the account through the ACE portal.

**Q10. *What happens if an Account User, a Trade Account Owner, or a Proxy Trade Account Owner does not use the portal during a 45-day period?***

**A10.** Any Trade Account Owner and/or user who does not access the portal for up to 45 days will lose access to the portal. Access can only be restored by opening up a Trouble Ticket. To restore access, contact the Technology Service Desk at 866-530-4172.



## Application

**Q1. *Are there any guidelines or specifications about who the Trade Account Owner should be?***

**We are just wondering who would be most appropriate to designate.**

**A1.** The Trade Account Owner for the account can be either an individual or a legal entity. In either case, the role of the Trade Account Owner is to oversee the day-to-day operations for the company. For more specific information regarding the role of the Trade Account Owner and the terms and conditions of portal access, please see 72 FR 27632, published May 16, 2007.

**Q2. *How do you apply for multiple business categories for your ACE account?***

**A2.** Existing ACE portal accounts requesting additional business categories need not submit a new ACE Application. Instead, they should notify their CBP account manager or the account administrator of their request. However, any current ACE portal accounts wishing to create a Service Provider, Facility Operator, Foreign Trade Zone Operator, or Cartman/Lighterman account type, must submit their request to [ace.application.status@cbp.dhs.gov](mailto:ace.application.status@cbp.dhs.gov), with a copy to their CBP Account Manager, if applicable. Interested applicants must provide the information noted on the application with their request.

**Q3. *I submitted an ACE application several weeks ago; will someone contact me?***

**A3.** Yes, someone will be contacting you as soon as your account is created in ACE.

**Q4. *What should be done if there is a change in the Trade Account Owner (e.g., the Trade Account Owner leaves the company)?***

**A4.** As indicated in the Terms and Conditions document (see 72 FR 27692, published May 16, 2007), notification to CBP of a change pertaining to the identity of the Trade Account Owner must be submitted immediately. This is done by completing and submitting a new ACE application. If a Trade Account Owner is incapacitated, a new account owner must be designated to act on behalf of the account.

**Q5. *Since my company transmits only through a customs broker, I would think the Interconnection Security Agreement (ISA) is not required. Can you please verify?***

**A5.** You are correct. If your company transmits through a customs broker, you do not need to sign and submit the ISA. An ISA is only needed if the importer, carrier, or broker is filing Electronic Data Interchange transmissions directly with CBP. Since your broker is filing the transaction on your behalf, you do not need to sign an ISA.

## Cargo Systems Messaging Service

### **Q1. *What is the Cargo Systems Messaging Service (CSMS)?***

**A1.** CSMS is a CBP administrative message system composed of a message database and an electronic mailing service. CSMS is augmented by an e-mail subscription service, which provides timely notification of new messages based on each or any combination of subject groups.

### **Q2. *Who can sign-up to receive messages via CSMS?***

**A2.** CSMS is available to CBP personnel and every trade community member. Anyone can sign-up to receive e-mail messages, and the database is also public.

### **Q3. *How do I enroll in CSMS?***

**A3.** From the CSMS database, select the option “Subscribe to CSMS” at the bottom of the page. Subscribers will be prompted to enter a primary e-mail address and an optional secondary e-mail address. New subscribers may opt to receive wireless alerts to a provided e-mail address and may also select the delivery frequency (immediately, daily, weekly, or monthly).

Subscribers may choose to receive messages from the following areas of interest:

- ABI
- ACE Outreach Events
- ACE Portal Accounts
- ACE Reports
- Air Manifest
- Ocean Manifest
- Rail Manifest
- Truck Manifest

Please be advised that if you have subscribed to two or more groups and a message has been designated for distribution to all those selected groups, you will be receiving duplicate messages.

### **Q4. *Where can I access the CSMS database?***

**A4.** The CSMS database is accessible via the link below.

[http://apps.cbp.gov/csms/csms.asp?display\\_page=1](http://apps.cbp.gov/csms/csms.asp?display_page=1)

**Q5. *Is there another way to receive CBP-issued messages?***

**A5.** No. As of February 11, 2008, CBP began broadcasted messages solely through CSMS.

**Q6. *What happened to ABI messages?***

**A6.** ABI messages that remain relevant were converted to CSMS.

**Q7. *How do I search for messages on the CSMS database?***

**A7.** CSMS messages are stored in the database indefinitely and can be retrieved based on searching a combination of keywords and filtering by group. CSMS provides the added feature of cross referencing messages from the initial search result set with related message counterparts, sorting by publish date, title, and CSMS number.

**Q8. *Why am I not receiving the full text of the CSMS e-mail message?***

**A8.** If you signed-up to receive the wireless e-mail option, many mobile phone companies limit the length of the wireless alert to as few as 140 characters, including spaces and alphanumeric characters. Please check the setting, and if you continue to experience problems with the CSMS messaging service change your subscriber settings.

**Q9. *Are messages available in Spanish?***

**A9.** Yes. Subscribers can receive translated messages in the following subject areas:

- Cuentas en el Portal de ACE (ACE Portal Account–Spanish); and
- Transportistas de Camion (Truck Manifest–Spanish).

Please be advised that the Spanish translations (i.e., notification messages and/or documentation) available on CBP.gov and CSMS have been provided by CBP as a courtesy to our non-English speaking trade community and are for general notification purposes only. Although reasonable efforts have been made to provide accurate translations, the official CBP text is the English version of the messages and/or documents. Any discrepancies that may arise in the available translations are not binding and have no legal effect for compliance or enforcement purposes. With regard to any questions that may arise pertaining to the information contained in the Spanish messages and/or documents, please refer to the official CBP English version of the document.

## Carriers

### **Q1. *Who is a carrier? Who can file? What is the liability for filing incorrect or incomplete data?***

- A1.** CBP identifies a carrier as a party with a National Motor Freight Traffic Association (NMFTA)-issued Standard Carrier Alpha Code (SCAC). For purposes of ACE, the carrier can file its own manifest or it may authorize another entity to file a manifest on its behalf. Pursuant to a notice published in the Federal Register (71 FR 15756, published March 29, 2006), customs brokers and importers can now also apply to file manifests on behalf of carriers.

Current broker or importer ACE portal accounts that do not possess an NMFTA-issued SCAC should follow the steps listed below:

1. Contact Dan Buchanan at [Daniel.Buchanan@dhs.gov](mailto:Daniel.Buchanan@dhs.gov) to obtain a Manifest Preparer Code.
2. Inform your CBP account manager that you will be adding a carrier view to your account.
3. If you do not have an account manager, contact the Technology Service Desk at 866-530-4172.
4. While on the “Accounts” tab within the ACE Secure Data Portal and with your Top Account Name highlighted, select “Carrier” from the “Account Type” drop down menu.
5. Add the CBP-assigned Manifest Preparer Code by clicking on the “Edit” icon in the “Account Selector List” portlet on the “Accounts” tab and by following the steps shown in the portlet. Note: The Trade Account Owner is the only individual within the ACE portal account who has the functionality to add the Manifest Preparer Code and set up the carrier view. A Proxy Trade Account Owner CANNOT perform this task.

Carriers will not be required to have a bond on file unless shipments are moving in-bond. The liability for filing incorrect or incomplete data may include liquidated damages and penalties.

### **Q2. *Must I have an International Carrier bond?***

- A2.** No, an International Carrier bond is not required to file an Electronic Manifest (e-Manifest). However, you are required to maintain a bond if you are moving cargo in-bond and if you are making a declaration for Instruments of International Traffic (IIT) when the IIT is covered by the carrier bond.

**Q3. *Why do we need transporter, transponder, and conveyance ID numbers?***

- A3.** The transporter is not a term used in ACE; however, it could be construed to mean a carrier that is identified by the SCAC code.

A transponder is not required to participate in ACE; however, if you have a CBP issued transponder it can be used to identify the truck upon arrival and it will permit the CBP Primary Booth officer to access the e-Manifest data immediately. When applying for a transponder, a conveyance ID number is required. This number is stored in ACE and can be used to identify a specific truck in your fleet. A transponder can be obtained by applying through the Decal and Transponder Online Procurement System (DTOPS)

<https://dtops.cbp.dhs.gov/>

If you do not have a transponder, you can still record the details of a conveyance including conveyance ID number, conveyance type, Vehicle Identification Number (VIN), and license plate numbers. When creating a manifest, you can access these details by simply reporting the conveyance ID number.

## Roles

**Q1. *If multiple parties can submit information (i.e., several forwarders issue shipment information that will be on one carrier), how are those made visible to the carrier?***

**A1.** There are a number of different ways that another party can make information visible to a carrier.

1. A third party can create a shipment record via the ACE Secure Data Portal and record the carrier's SCAC in a field called "Authorized Account." When this is done, the shipment record will appear in the carrier's "Unassociated Shipment List" of his portal view.
2. A third party can file a complete manifest on behalf of a carrier and the manifest will appear in the carrier's portal account.
3. A third party can report a shipment in ACE via Electronic Data Interchange (EDI). The carrier can pull that shipment into an e-Manifest simply by referencing the Shipment Control number.

Currently a third party is defined as a carrier, importer, or customs broker that has the ability to transmit e-Manifests via EDI or the ACE Secure Data Portal.

**Q2. *If a user only has partial information for a transaction and would like to begin keying in the data, does ACE provide the capability to save the partial data keyed in and complete the transaction at a later time?***

**A2.** Yes, the "Save and Finish Later" button allows the user to save partial data. To save a partial manifest, trip number and estimated date of arrival are required; to save a partial shipment, the Shipment Control Number (SCN) number is required.

**Q3. *Less than Truck Load (LTL) carriers cannot allow the forwarder, broker, or shipper to see other shipment information on a trip. Will ACE allow viewing of the shipment information specific to the shipment to which they are a party?***

**A3.** Not unless the carrier gives the forwarder, broker, or shipper access to their ACE portal account. The carrier can send shipment information to the broker via the broker download.

## Drivers/Crew

- Q1. *Why do I have to search for a driver before I am allowed to add a new driver?***
- A1. Drivers are now an account type within ACE. You must search prior to creating a new driver to prevent duplicate driver records in ACE. This functionality allows one driver to be stored in multiple carrier accounts.
- Q2. *Why is it necessary to provide a birth date for the driver and crew?***
- A2. The birth date is a CBP requirement and a Federal Motor Carrier Safety Association requirement.
- Q3. *Why must a foreign driver provide a U.S. address?***
- A3. A U.S. address for the driver is required in the event that CBP needs to do any follow up with that individual.
- Q4. *In a standard manifest, if adding a driver/crew member who might have a proximity card, can the FAST proximity card ID number be used as search criteria?***
- A4. Yes.
- Q5. *Can you add two crew members into the system (i.e., a team), or is the co-driver the passenger?***
- A5. Multiple crew members, if present, must be declared as crew (a repeatable entry). You must identify one driver as the person in charge. Passengers are non-crew members and must be declared as passengers.



## Equipment

**Q1. Does ACE allow for two trailers with one tractor?**

**A1.** Yes. Multiple pieces of equipment, if present, must be declared. This includes tandem trailers. A coupler/dolly that connects two pieces of equipment need not be manifested.

**Q2. If there are two pup trailers, CBP would like to know on which trailer each shipment is loaded. Wouldn't it be sufficient to advise CBP of all of the equipment data elements and all shipments on that conveyance? Why does CBP need to know the shipments applicable to each trailer?**

**A2.** CBP requires this information to determine which equipment to open when an examination is required.

## Seals

**Q1. *Do I need to report my seal numbers?***

**A1.** Yes. If seals exist, they must be reported. Seals are required to be used when carrying FAST shipments arriving from Mexico and Canada.

**Q2. *Can we amend the seal number if it is broken?***

**A2.** Yes, you can record a new seal when a seal has been broken for legitimate reasons. If the new seal is reported after manifest submission, then an amendment code is required. Recording of the seal is for the intention of notifying CBP at the first port of entry as part of an inbound manifest requirement. It is not CBP's intention to use ACE truck manifest to record newly affixed seals that are the result of CBP examinations.

**Q3. *If a seal is broken by CBP and a new seal is applied, will we be able to add comments in ACE detailing the conditions for which the seal was broken (that is, by whom, when, and why)?***

**A3.** There is no area in the manifest to record comments about the breaking of a seal. You may record the new seal through amendment. CBP will not record a new seal for you. The reasons for changing a seal should be maintained by the carrier in their own records.

## FDA

- Q1. *The FDA confirmation number was put on hold until the final rule. How is the carrier going to know that the importer or shipper has notified FDA within the required timeframe?***
- A1.** Current requirements for carriers to report an FDA indicator have been limited to a “Yes/No” flag that reports whether a shipment contains merchandise that will require FDA Prior Notice information to be filed. This only applies to shipments that will move in-bond. With the deployment of e-Manifest: Trucks, the carrier will need to coordinate and communicate directly with the FDA regarding Prior Notice information to determine if FDA’s requirements have been met. Many customs brokers have also established Web sites where carriers can check the FDA status of their shipments.
- Q2. *Is there going to be a validation for the FDA confirmation number? When we are given an FDA confirmation number, how will we know if it is valid and if it was submitted timely (so as to avoid our truck being detained when it reaches the border)?***
- A2.** FDA confirmation numbers cannot be transmitted to CBP with the carriers manifest. Additional details are still being worked out between FDA and CBP.

## FAST Program

**Q1. *Where does a driver apply for a FAST card?***

A1. A driver may apply for a FAST card at:

<https://goes-app.cbp.dhs.gov/>

**Q2. *I have no access in ACE to FAST driver information, how does this information get updated in ACE?***

A2. FAST driver data is maintained in the GOES system and GOES updates the data in ACE. Drivers need to follow FAST policies to update their information.

**Q3. *In day-to-day operations, a carrier crosses at both borders. If a driver receives a FAST card for the Northern Border, can they also use it at the Southern Border? We are assuming that a card issued at the Southern Border cannot be used at the Northern Border since Canada did not have the opportunity to vet the driver.***

A3. For purposes of entry into the United States, a Northern Border FAST card is good for entry into the United States at either border. Similarly, a Southern Border FAST card is good for entry into the United States at either border. However, for purposes of entry into Canada, only a Northern Border FAST card is good for entry into Canada.

**Q4. *Scenario: A driver enters the United States with an empty to pick up a Hazardous Materials (HAZMAT) shipment and then returns to Canada. Does the fact that the driver will be hauling HAZMAT while in the United States require the FAST card, or does the card only apply to the circumstances present at the port of entry?***

A4. Yes, the FAST card is required.

## HAZMAT

**Q1. *What is required in the HAZMAT contact field? Is it the 24-hour emergency number or the name of the contact, etc?***

**A1.** When reporting HAZMAT information, both the phone number and the name of a person are required to be reported. It is to be a contact that is available 24 hours a day in the case of an emergency.

**Q2. *If HAZMAT shipments are below reportable limits, is a HAZMAT shipment notification generated?***

**A2.** The HAZMAT United Nations Dangerous Goods (UNDG) code must be supplied with the e-Manifest whenever a carrier is carrying hazardous materials. The reporting of the HAZMAT UNDG code is not affected by the placard reportable limits.

**Q3. *Is the UNDG number similar to the Chemical Abstract Sheet (CAS)?***

**A3.** The CAS information is related to the UNDG classification.

**Q4. *Why is insurance information required for HAZMAT shipments?***

**A4.** A carrier must have insurance coverage to carry HAZMAT. Therefore, if you are carrying HAZMAT, ACE will require that you report insurance information in your manifest transmission. Required data elements are name of insurer, date of issuance, policy number, and amount (U.S. dollars).

**Q5. *Why can't the information for the insurance be populated from the account setup?***

**A5.** This functionality is not yet available in the ACE Secure Data Portal. The insurance details stored in a carrier's profile will not automatically populate the e-Manifest field. The insurance information must be manually entered into the manifest conveyance section anytime the carrier is carrying HAZMAT.

## International Instruments of Traffic (IIT)

**Q1. *IIT should be on the shipment level, not the conveyance level, is that correct?***

- A1.** IITs cannot currently be reported at the shipment level; they can only be reported at the trip level. There are four methods to report IITs. Your choices are as follows (**Please note:** a bond is required when transporting IIT's ADD bond type):
1. EC-Trip consists solely of empty IITs covered by carrier's bond.
  2. EI-Trip consists solely of empty IITs covered by importer's bond.
  3. MC-Trip consists of merchandise and IITs covered by carrier's bond.
  4. MI-Trip consists of merchandise and IITs covered by importer's bond.

IITs are reported in the conveyance section if there is no trailer and in the equipment section if the IITs are in a trailer.

**Q2. *How do we report a trailer that is empty but has racks that are IIT?***

- A2.** You would choose one of the following and report it at the equipment level:
1. EC-Trip consists solely of empty IITs covered by carrier's bond.
  2. EI-Trip consists solely of empty IITs covered by importer's bond.

**Q3. *Are we required to transmit conveyance/crew data when the trailer is empty? Is the trailer considered an IIT?***

- A3.** Although there is no regulatory requirement for the transmission of e-Manifest data for empty trailers, CBP encourages you to do so. If you choose to send an e-Manifest for an empty trip (No Shipments), you are required to send conveyance, equipment, and crew data. Empty trailers are not necessarily considered IITs at land borders.

### **In-Bond (In Transit, Transfer)**

**Q1. *I have heard of changes to the in-bond process and would like more information on in-bond procedures.***

**A1.** In-bond information can be found at :

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier\\_info/electronic\\_truck\\_manifest\\_info/inbond\\_info/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/electronic_truck_manifest_info/inbond_info/)

**Q2. *Can I arrive and export in-bond shipments electronically through ACE?***

**A2.** Yes, carriers are required to report the arrival and export on in-bond shipments electronically. This can be done either through the ACE portal or through EDI.

**Q3. *Do Immediate Exportations (IEs) and Transportation and Exportations (T&Es) require Harmonized Tariff Schedule (HTS) codes? How many digits?***

**A3.** T&Es and IEs require HTS information when they are being exported from the United States. The information is needed by the Army Corps of Engineers for statistical purposes. Currently 6 digits are required, although 10 may be accepted.

**Q4. *Are HTS codes available in the ACE portal?***

**A4.** Yes, they are accessible from the "References" tab, which has a button linking to the latest version of the HTS on the USITC web site.

**Q5. *Can the carrier update a cargo record to show a shipment in-bond while the driver is at the border?***

**A5.** Yes.

**Q6. *Who will perform the in-bond arrival process, a carrier or broker?***

**A6.** The in-bond arrival process will be executed by either the broker via WP or the carrier via ACE.

**Q7. *What is the preferred method to link a QP in-bond to an e-manifest?***

- A7.** Carrier creates a PAPS shipment. Shipment control number used must match that used as the BOL number by the creator of the QP in bond. ACE will convert the PAPS shipment to a pre filed in bond as long as the SCN and the BOL numbers match.

Alternatively, a carrier can find QP in bonds associated with his SCAC in the unassociated shipment list. These can be added to a manifest using the “look up shipment” link.

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier\\_info/electronic\\_truck\\_manifest\\_info/inbond\\_info/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/electronic_truck_manifest_info/inbond_info/)

**Q8. *Does the Standard Carrier Alpha Code (SCAC) shown on the ACE portal match up to the Importer of Record (IR) number that is obligated when the QP or the ACE portal is used to prepare an in-bond?***

- A8.** When an in-bond movement is requested via ACE and no onward carrier is identified, then the ACE carrier’s bond is obligated. The ACE carrier is identified by his SCAC and the valid IR number associated to that carrier’s bond. A carrier can designate another carrier to be responsible for the in-bond move by citing the other carrier’s IR number in the manifest.

If a SCAC or IR number other than the ACE carrier’s is used in a QP scenario, the ACE portal will not display the new SCAC or IR number.



### **In-Bond (In-Transit)**

- Q1. *How does the in-transit work? This system is currently paper-based between Canadian Customs and CBP. On the screen, it appears to be something that can be done electronically. How is this tied to Canadian Customs? How will the Canada Border Services Agency receive their portion of the necessary information?***
- A1.** This process will continue to be paper based. The in-transit indicator is for future use. If the cargo is moving from the United States through Canada or Mexico and returning to the United States, an electronic declaration is not currently required and the current paper process will continue. This process is not tied to Canadian Customs; however, Canadian Customs and CBP are working toward that end. Until the automation is available, the use of the current CBP form 7512B (US/Canada In-transit Manifest) will continue.
- Q2. *If a truck is exiting Canada, in-bond through the United States, and re-enters Canada with same goods, does we need to transmit an e-Manifest?***
- A2.** Yes, an e-Manifest is required in addition to an electronic in-bond request.

### **In-Bond (Transfer)**

**Q1. *Can you be more specific with regard to what “Transfer” means in each required data field? This terminology is used differently among the different modes/carrier/types/etc.***

**A1.** The term “Transfer” refers to a local transfer within the port limits. In Ocean, Rail, and Truck, this is often referred to as a Permit to Transfer (PTT). In Air AMS, this is referred to as a Local Transfer.

**Q2. *What information is required when we will be using a transferring carrier?***

**A2.** The transferring carrier would be identified by their IR number. If the field is left blank, you are obligating the bond of the manifesting carrier.

**Q3. *More clarification is needed with regard to the appropriate use of the term “Transfer Destination FIRMS code.”***

**A3.** This term is used to identify the bonded facility to which the merchandise is being transferred if a Local Transfer (PTT) is requested.

## **T&E Bond**

- Q1. Does CBP accept EDI as proof of a canceled T&E bond? Specifically, is the EDI response back from CBP good enough to pass an audit to ensure it was cancelled/closed?**
- A1.** CBP will accept a CBP EDI status message from the trade community showing the bond arrived at its U.S. destination. For proof of exportation, evidence that the merchandise left the country, including an outward ocean or airway bill or proof of entry to the foreign country, is required by regulations.

## Document Image System

**Q1. *Can Document Image System (DIS) be used for all entry summaries to respond to a request from CBP for additional documents?***

**A1.** No, DIS will be available to **ACE Entry Summary filers** and for **ACE Entry Summaries** only. This includes ACE Entry Summaries certified for release.

**Q2. *Who can send documents via the ACE Secure Data Portal?***

**A2.** Importers and filers with ACE accounts may send documents via the ACE Secure Data Portal.

**Q3. *Who can send documents via DIS?***

**A3.** ACE Entry Summary filers may transmit documents via DIS for ACE Entry Summaries only including ACE Entry Summaries certified for cargo release.

**Q4. *Can documents supported by the PGAs be sent via the ACE Secure Data Portal?***

**A4.** No, PGA documents supported by DIS are not allowed to be transmitted via the ACE Secured Data Portal. They can only be submitted via DIS or mail.

**Q5. *Is it mandatory for the trade to submit documents via DIS?***

**A5.** No, the trade can submit documents just as they do today, via mail, portal upload or DIS. Note, PGA documents supported by DIS can only be submitted via mail or DIS, not by portal upload.

**Q6. *Can the trade still submit documents via portal and not DIS?***

**A6.** Yes, trade can still submit documents via portal upload. Note, PGA documents supported by DIS can only be submitted via mail or DIS, not by portal upload.

**Q7. *Will there be any mandatory fields that must be filled out prior to submission?***

**A7.** DIS includes the imaged document. If there is a field that is not completed that should be, CBP or the PGA can reject the submission.

**Q8. *Is there a benefit to using DIS instead of mailing in documents?***

- A8.** Yes, these documents will be stored in the DIS and made available for CBP and PGA users for review, acceptance or rejection. DIS will provide for the storage of all submitted documents in a secure centralized location in order to link to the corresponding ACE Entry Summaries.

The trade benefits of DIS include:

- Initiation of single window submissions from the Trade to CBP and PGAs,
- Nationwide visibility for CBP and PGAs to trade-submitted documents,
- Central repository for documents submitted by the trade, and
- Reduction in time and cost surrounding paper processes.

**Q9. *Will the request for a specific document(s) from CBP (to the trade) be sent in a UC message?***

- A9.** Yes, the trade could receive a UC for the entire entry summary package, for specific documents, or for an Electronic Invoice if the filer is operational for Automated Invoice Interface (AII). The trade could also receive a CBP Form 28 or 29 requesting this information.

**Q10. *If I know CBP will request additional documents associated with an ACE Entry Summary, can I submit the documents with the initial transmission or must I wait for CBP to provide an Action Identification Number?***

- A10.** No, DIS may only be used to transmit CBP documents for ACE Entry Summaries in response to an electronic request where an Action Identification Number is provided (solicited documents). However, for the purposes of Participating Government Agencies (PGA) forms that are associated to ACE Entry Summaries certified for cargo release, the trade may submit the required documentation without a prior request by CBP or the PGA (unsolicited documents). In this case all imaged documents must be submitted when ACE Entry Summaries that are certified for release are filed.

**Q11. *What CBP forms and commercial documents are acceptable?***

- A11.** Please refer to the April 6, 2012 Federal Register Notice (FR 77 20845) for the CBP and PGA forms and commercial documents that will be acceptable with Phase 1 of DIS. PGA documents in Phase 1 of DIS include documents for Environmental Protection Agency (EPA), Animal and Plant Health Inspection Service (APHIS), and National Marine Fisheries Service/ National Oceanic and Atmospheric Administration (NMFS/NOAA). When additional documents are approved for DIS, there will be new Federal Register Notices (FRN) issued identifying the documents and the agencies

**Q12. According to the DIS FRN, the test phase will only accept APHIS, EPA and NOAA forms. In the future will there be any forms that may be excluded? If so, which ones?**

**A12.** The ACE Business Office continues to work with ITDS and OFO to determine which forms will be added. There are PGA forms that may be excluded due to statutory requirements. The FRN announced only the first phase of the DIS test, and is limited to the forms specified for this first phase of the test. Additional FRNs that will announce the next series of documents that will be made available when we are ready to receive those forms.

**Q13. Is there uniform nomenclature for certain documents such as commercial invoice, packing list, etc. that are not identified by a form number.**

**A13.** The XML schema enumerates the names to be used for such ‘generic’ documents (Commercial Invoice, Packing List etc.)

**Q14. Can multiple document types be requested in one message request?**

**A14.** Yes, the request can be for several specific documents. The request can also include different document types

**Q15. What entry types are covered utilizing the DIS?**

**A15.** DIS can only be utilized for entry types supported by ACE, entry types 01, 03, and 11.

**Q16. How do I send the documents to CBP?**

**A16.** DIS allows documents and associated data to be sent to CBP using XML messages that may be submitted via (1) secure FTP; or (2) secure Web Services; or (3) existing ABI-MQ mechanism.

**Q17. What do I do with the original documents or forms?**

**A17.** For the purposes of the DIS pilot test, original documents must be retained and made available in paper if requested by CBP or PGAs.

**Q18. Will the acknowledgement of the receipt of the imaged document be sent in XML format?**

**A18.** Yes, the acknowledgement of receipt of documents is sent back to the sender as an XML message in their ABI DIS MQ Queue (new queue for DIS).

**Q19. *What is meta data and why does each document or document type sent via DIS contain different meta data elements?***

**A19.** Meta data is identifying data transmitted with a document to DIS. It describes the document and its associations. It is needed to associate and validate the document, for search purposes, and reporting purposes when reports are available.

**Q20. *What formats will CBP accept for imaged documents?***

**A20.** There are no technical restrictions on the Multipurpose-Internet Mail Extension (MME) types that DIS will accept; however, the following are preferred:

- jpeg
- gif
- pdf
- doc
- xls

All responses back to the importer, broker and/or surety, will also be sent in the form of an XML message.

**Q21. *Where can I find additional information?***

**A21.** The Implementation Guide for DIS and related documents are available on the CBP website at:

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_edi\\_messages/catair\\_main/abi\\_catair/catair\\_chapters/document\\_imaging\\_igs/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/catair_main/abi_catair/catair_chapters/document_imaging_igs/)

For policy-related questions, contact Monica Crockett at [Monica.Crockett@dhs.gov](mailto:Monica.Crockett@dhs.gov)

For technical questions related to ABI transmissions, contact your assigned client representative. Anyone without an assigned client representative should direct their questions to Susan Maskell at [Susan.Maskell@dhs.gov](mailto:Susan.Maskell@dhs.gov).

## **e-Manifest: Rail and Sea**

### **Q1. *What is an e-Manifest?***

- A1.** An e-Manifest is the electronic submission of trip, manifest, conveyance, equipment, and shipment information. Filing manifests electronically can be accomplished by a commercial software product, a third party service bureau, or self programming.

Historically, carriers have been required to file a paper ocean manifest or a rail consist with CBP before a shipment can enter the United States. Filing e-Manifests is now required at all ports in accordance with the Customs Border Security Act of 2002 (Trade Act of 2002) advance cargo rule.

### **Q2. *How is an e-Manifest filed?***

- A2.** An e-Manifest is submitted to CBP via Electronic Data Interchange (EDI) through self-filing or the use of third parties. Pre-filed entries are associated to an ocean manifest or a rail consist by the Bill of Lading number, which must be reported on both the manifest/consist and the entry for e-Release to occur.

### **Q3. *Do I have to file a manifest using ACE e-Manifest for rail or sea shipments?***

- A3.** Yes. On March 29, 2012 CBP published a Federal Register Notice (see 77 FR 19030), announcing that after a six month transition period, effective September 29, 2012, ACE will be the only CBP-approved Electronic Data Interface (EDI) for transmitting required advance information for ocean and rail cargo to CBP. If carriers do not use ACE e-Manifest: Rail and Sea, their EDI messages for ocean and rail manifest and ABI in-bond transactions will fail.

Legacy Automated Manifest System (AMS) functions were decommissioned on September 29, 2012

All ocean and rail manifest transmitters must undergo the ACE certification process described in two notices (75 FR 64737, October 20, 2010 and 76 FR 42721, July 19 2011) to use ACE e-Manifest: Rail and Sea functionality.

### **Q4. *Who do I contact for more information on the ACE e-Manifest certification process?***

- A4.** Rail or ocean carriers and other transmitters should contact the Client Representative Branch at 571-468-5500 for more information or to make arrangements to begin the ACE certification process.

### **Q5. *Will the use of e-Manifest: Rail and Sea change the hold process?***



**A5.** Yes, with e-Manifest CBP will be able to place and remove holds at the conveyance, the container, and the master bill level. Also, carriers can now be informed which Participating Government Agency (PGA) has held their shipment or merchandise.

**Q6. *What is Broker Download and is it part of e-Manifest: Rail and Sea?***

**A6.** Yes, Broker Download has been extended to the sea environment. It has always been part of rail manifest, but will now part of ocean manifest.

Broker Download facilitates communication and data sharing among carriers, brokers and self-filing importers. Long a staple of rail manifest and subsequently incorporated into the ACE electronic truck manifest program, broker download for sea carriers will allow for the verification of shipment information in advance of cargo arrival.

To use the broker download capability, sea carriers will be required to include broker identification information on the electronic bill of lading that is sent to CBP via the Electronic Data Interchange. Sea carriers will also be able to include an Automated Broker Interface office routing number on the BOL if the broker has more than one office. Once ACE receives the BOL, the system converts the information into the Customs and Trade Automated Interface Requirement (CATAIR) format and electronically sends it to the broker's ABI address. The broker or entry filer will then be able to extract BOL information to confirm that the BOL number and quantity are listed correctly and determine whether an entry has been filed or needs to be filed.

**Q7. *What is the benefit of Broker Download?***

**A7.** The broker download capability will promote the pre-filing of cargo release (entry) data as shipments can be reconciled and released as many as five days before the arrival of the ocean conveyance. CBP and the trade community should also realize time and cost savings as the number of mismatches between entry and manifest records will be reduced.

**Q8. *Are there other benefits to e-Manifest: Rail and Sea?***

**A8.** e-Manifest has a number of additional benefits for rail and sea carriers. They include:

- Increasing the number of possible Secondary Notify Parties to 25.
- Allowing carriers to create and maintain conveyance information through the ACE Portal.
- Allowing carriers to create a list of trade partners who are authorized to use their type two custodial bond through the ACE Portal, i.e. In-Bond Authorization.

**Q9. Are there other In-Bond benefits to e-Manifest: Rail and Sea?**

**A9.** e-Manifest: Rail and Sea will send a status notification of disposition code “95” to carriers and subsequent Secondary Notify Parties such as Port Authorities when a Paperless Master In-Bond (IT, T&E, IE) has been deleted by the carrier.

**Q10. Is there any benefit from e-Manifest: Rail and Sea in the ACE Portal?**

**A10.** There are a number of benefits in the ACE Portal for filers of e-Manifest: Rail and Sea. They include:

- the creation of 12 new reports for rail and sea carriers along with seven new reports for brokers and two for importers
- the ability to share customized reports with other users within a portal account
- the ability to create and maintain rail line release Entry Banks through the ACE Portal.

**Q11. Are there any new rules or edits I must comply with when I use e-Manifest: Rail and Sea?**

**A11.** Yes, new edits in ACE e-Manifest: Rail and Sea include:

- Harmonized Tariff (HTS) numbers will be edited for validity to the sixth position
- when a carrier requests an in-bond movement or a Permit to Transfer (PTT), the bond being obligated will be edited for validity
- manifest unit of measure cited in the ocean Bills of Lading will be validated, previously this was only done in the rail environment
- the Hazardous Material Code Qualifier, the flashpoint temperature, the flashpoint temperature Unit of Measure, and a negative indicator (if used) will be edited for valid data

**Q12. Is any new data required?**

**A12.** Yes, the new data required includes:

- the place of receipt and the foreign port of lading are now a mandatory reporting data elements
- a Unique Voyage Indicator can be reported in the original ocean manifest submission
- a quantity field is now included to allow a less than full bill quantity to move under a PTT

**Q13. *Has the ACE Portal been enhanced?***

**A13.** Yes, the enhancements include:

- carrier access to ACE reports
- ability to share customized reports
- ability to authorize parties to use a custodial bond
- ability to maintain conveyance data in the carrier's ACE Portal Account
- ability to view bond data in the carrier's ACE Portal Account

## Reports

### **Q1. *What reports will rail and sea carriers have access to?***

**A1.** Rail and sea carriers will have access to all the reports in the “Multi-Modal Manifest” folder of the ACE Portal Reports file. These are broken out into 4 sections. They are

- BoL (Bill of Lading)
- In-Bond
- Manifest Equipment
- Trade Reporting

### **Q2. *Where do I access these reports?***

**A2.** All broker, carrier, and importer trade users with access to reports will see the new “Multi-Modal Manifest” folder under “Public Folders” in the Reports portlet of the ACE Portal. In addition to the reports included in the Multi-Modal Manifest folder, a new report has been added to the “Reference” folder in the Reports portlet, MMM6033, FIRMS Code. This report provides a list of Facilities Information Resource Management System (FIRMS) codes including name, status, type, and location information.

### **Q3. *Who has access to the reports in the Multi-Modal Manifest folder?***

**A3.** Rail and sea carriers will have access to all reports in the Multi-Modal Manifest folder, brokers will have access to all reports in the “Trade Reporting” sub-folder, and importers will have access to only one report in the “Trade Reporting” sub-folder.

### **Q4. *How often is the data in the Multi-Modal Manifest reports updated?***

**A4.** There are two categories of Multi-Modal Manifest reports: (1) twenty-four hour reports will be refreshed nightly and will contain the latest version of the data; (2) two hour reports will contain any data that was created or changes within the past two hours. These reports will show all versions of the data for the past 30 days.

### **Q5. *What reports are included in the Bill of Lading section?***

A5. The BoL section contains two reports,

- BOL Details (MMM6021) - This report lists BOL Details by Bill Number and Bill Type Code. The report will show data that was current as of the previous day.
- Commercial Party Report (MMM6023) - This report lists Commercial Parties by BOL Number and Commercial Party Type. The report will show data that was current as of the previous day.

**Q6. *How often are these reports updated and who has access to them?***

A6. Both the BOL Details and the Commercial Party reports are refreshed every 24 hours. These reports are available to carriers and authorized users of a carrier's account and reports.

**Q7. *What reports are included in the In-Bond section?***

A7. The In-Bond section contains one report,

- In-Bond Details (MMM6009) - This report lists the In-Bond Details by In-Bond Number, Destination and Origin Port and Create Date range. The report will show data that was current as of the previous day.

**Q8. *How often is this report updated and who has access to it?***

A8. The In-Bond Details report is refreshed every 24 hours and is available to carriers and authorized users of a carrier's account and reports.

**Q9. *What reports are included in the Manifest Equipment section?***

A9. The Manifest Equipment section contains two reports,

- Equipment Details (MMM6016) – The Equipment Details Report lists all pieces of equipment, including any associated Equipment Seal Numbers, that are related to the latest version of Bills of Lading (BOLs). The report will show data that was current as of the previous day.
- Manifest Details (MMM6017) - This report lists Manifest Details by Trip Number and Carrier Code. The report will show data that was current as of the previous day

**Q10. *How often are these reports updated and who has access to them?***

A10. Both the Equipment Details and the Manifest Details reports are refreshed every 24 hours. These reports are available to carriers and authorized users of a carrier's account and reports.

**Q11. *What reports are included in the Trade Reporting section?***

**A.11.** The Trade Reporting section contains six reports,

- [In-Bond Details Report \(MMM9099\) - 2 Hour Refresh](#) - This report lists the In-Bond Details by In-Bond Number, Destination and Origin Port and Create Date range. The report will show data that was current 2 hours ago.
- [Equipment Details Report \(MMM9016\) - 2 Hour Refresh](#) - The Equipment Details Report lists all pieces of equipment, including any associated Equipment Seal Numbers that are related to the latest version of Bills of Lading (BOLs). The report will show data that was current 2 hours ago.
- [Manifest Details \(MMM9017\) - 2 Hour Refresh](#) - This report lists Manifest Details by Trip Number and Carrier Code. The report will show data that was current 2 hours ago.
- [BOL Details \(MMM9021\) - 2 Hour Refresh](#) - This report lists BOL Details by Bill Number and Bill Type Code. The report will show data that was current 2 hours ago.
- [BOL Status \(MMM9022\) - 2 Hour Refresh](#) - This report lists BOL Status Details by BOL Number, BOL Status Code, Carrier Code and Create/Update Date ranges. The report will show data that was current 2 hours ago.
- [Commercial Party Report \(MMM9023\) - 2 Hour Refresh](#) - This report lists Commercial Parties by BOL Number and Commercial Party Type. The report will show data that was current 2 hours ago.

**Q12. *Who has access to the reports in the Trade Reporting section?***

**A12.** The In-Bond Detail, Equipment Details, Manifest Details, BOL Details, and Commercial Party reports are available to both carriers and brokers or other parties authorized access to their account and reports. The BOL Status report is available to carriers, brokers, and importers or other parties authorized access to their account and reports.

**Q13. *Are other reports available?***

**A13.** Yes, please refer to the ACE Secure Data Portal (account sign-on registration/authorization required) in the reports section for complete list of available reports. See also web based on-line training at [http://www.cbp.gov/linkhandler/cgov/trade/automated/modernization/ace\\_welcome/ace\\_reports/rail\\_sea\\_report1.ctt/rail\\_sea\\_report.pdf](http://www.cbp.gov/linkhandler/cgov/trade/automated/modernization/ace_welcome/ace_reports/rail_sea_report1.ctt/rail_sea_report.pdf)

**Q14. *Can a report be customized?***

**A14.** Yes, carriers will have the capability to generate customized reports with a variety of data elements. These reports may be saved to be reused at a future date(s).

**Q15. *Can a customized report be shared?***

**A15.** Yes, a customized report can be shared with any user of the account who has access to ACE reports. This will eliminate the need for multiple users to create similar reports. Authorized trade users with access to reports will have access to the new “Shared Reports” folder under “Public Folders.” The “Shared Reports” folder allows users to run customized reports and save the report to the account specific sub-folder under the “Trade” folder. The account specific folder will be automatically generated by ACE and will reflect the top account ACE ID number followed by the name of the top account. Any report posted to this folder can be viewed by all users within the account who have access to reports, but will not be visible to other accounts. Users will have the ability to create sub-folders under the specific folder.

**Q16. *Are there any additional suggestions concerning customized reports?***

**A16.** It is recommended that you save the customized report in your “Favorites” folder under “My Folder” so that you always have a clean copy of the customized report. The report can then be copied to your account specific “Shared Reports” folder.

**Q17. *How much data is available in the carrier reports?***

**A17.** Initially there will be no data available. A notice will be issued when the data has been loaded and is available for running reports. Initially the 24 hour refresh data will be loaded with 18 months of data. Eventually the 24 hour refresh data will contain up to 5 years of data.

## **In-Bond**

### **Q1. *Is there anything new with In-Bond?***

- A1.** One important new feature is the ability to designate which transportation companies will be allowed to obligate your custodial bond to move imported cargo in-bond. The In-Bond Authorization screen is located on the “Accounts” tab under the carrier view. Users must select the carrier account name or Standard Alpha Carrier Code (SCAC) before selecting the bond hyperlink. When the “Search Bonds” portlet displays, select the ACS Bond #” for the type 2 bond you wish to display. The “Bonds” portlet opens displaying the “In-Bond Authorization” hyperlink.
- If a carrier chooses not to designate any partner to obligate their bond anyone will be able to obligate the carriers bond.
  - If the carrier chooses to restrict the use of their bond to themselves they must add themselves as the in-bond authorization partner.
    - Once the carrier’s SCAC code is entered into the In-Bond Authorization File, no other carrier, broker, or QP filer other than the one identified (the carrier) will be able to initiate the In-Bond request via manifest declarations, In-Bond submissions, or subsequent In-Bond requests.
  - If the carrier elects to restrict the use of their bond to other specific carriers they must add those carriers as In-Bond Authorization partners and NOT designate themselves.

**Please refer to the end of this section for special interim instructions and scenarios related to several temporary ACE In-bond Processing Issues**

### **Q2. *Where do I find the In-Bond Authorization screen?***

- A2.** The In-Bond Authorization screen is located on the “Accounts” tab under the carrier view of the ACE Portal. Users must select the carrier account name or SCAC before selecting the bond hyperlink. When the “Search Bond” portlet displays, select the “ACS Bond #” for the type 2 bond you wish to display. The “Bonds” portlet opens displaying the “in-Bond Authorization” hyperlink.

### **Q3. *Can I use the in-bond authorization file for all modes of transportation?***

- A3.** The in-bond authorization file is only applicable for in-bonds submitted via EDI to the ACE rail and sea manifest functionality. Air manifest will not utilize the in-bond authorization functionality at this time.



**Q4. Can I continue to create in-bonds in the legacy AMS rail and sea manifest system?**

**A4.** Until ACE becomes the only CBP-approved Electronic Data Interchange system for rail and sea data submission (scheduled to start after Sept 29, 2012) and while ACE rail and sea manifests and AMS rail and sea manifests are operating simultaneously, in-bonds created via the AMS legacy rail and sea manifest will not utilize the ACE in-bond authorization functionality. Also, QP filers submitting in-bonds into the legacy AMS application during this time frame will not utilize the ACE in-bond authorization functionality.

**Comment [dhw1]:** This one needs to be reworded to reflect the fact that M1 is here, but I don't know what it did to In-Bond.

**Q5. How will CBP authorize the transmission of the CBP Form 7512?**

**A5.** When the filer submits an electronic in-bond using the QP application to ACE M1, ACE replies with messaging (1J) in the same way it was done in AMS. To date, the electronic data requirements have not changed although some of these may be amended by future regulatory changes. The current requirements have been published in the ACE M1 Implementation Guidelines (IG) for ABI. The link for the ACE Automated Broker Interface (ABI) CATAIR chapter for In-bond is:

[http://cbp.gov/linkhandler/cgov/trade/automated/automated\\_systems/abi/catair/chapters/in\\_bond.ctt/in\\_bond.doc](http://cbp.gov/linkhandler/cgov/trade/automated/automated_systems/abi/catair/chapters/in_bond.ctt/in_bond.doc)

**Q6. How is the unknown bill of lading for warehouse withdrawal Transportation and Exportation (T&E's) and Foreign Trade Zone (FTZ) T&E's done in ACE?**

**A6.** ACE will not generate a false Bill of Lading. For in-bond movements from Warehouses, FTZs, General Order (GO) facilities and Seizure facilities, CBP Officers will be able to create a Bill of Lading (BOL) using the Facilities Information and Resources Management System (FIRMS) code and the in-bond entry number for paper in-bonds submitted for shipments that do not have active bills of lading. Any shipment that has not been entered but is still covered by the original arrival bill of lading should reference that bill.

**Q7. How will CBP Form 7512's be handled from a seaport to an airport?**

**A7.** When the bill is moving within the same port of entry, an electronic Permit to Transfer (PTT) will be used. When moving between different ports of entry, an in-bond may be required. Under the current regulations and port processing rules, a CBP Form 7512 will be submitted to CBP for input and processing as currently done in today's environment.

**Q8. How will air CBP Form 7512's be treated for moves to a seaport?**

**A8.** In-bonds referencing air waybills are not included in the ACE M1 deployment; the processes for these will not be changing at this time.

**Q9. *How will closing of an in-bond move be handled in ACE?***

**A9.** Arrival and export processes will remain the same under M1. If you are an electronic transmitter responsible for transmitting the arrival and export of in-bonds as part of your business arrangement, you will continue to do so. A paper CBP Form 7512 will continue to be accepted and processed under current rules. CBP holds the bonded carrier whose bond has been obligated by the transaction responsible to report arrival, export and any changes to the in-bond or bill of lading. If a broker/filer is submitting the transactions on someone else's behalf they will be held to the standards expected of all data transmitters. Transmitters are required to provide the most accurate information available and provide proof that they have done so. Deliberate false information may lead to civil and criminal penalties against the responsible party. Liquidated damages for violations of in-bond requirements will be issued to the bonded carrier.

**Q10. *Will CBP still honor a request to perforate documents when third parties (terminals/warehouses/etc.) require a perforated CBP Form 7512 to pick up cargo moving in-bond?***

**A10.** During the M1 transition, port processes will remain the same. However, it is anticipated that CBP will no longer accept, stamp or perforate CBP Form 7512s in a fully automated environment. Trade partners will need to develop alternate processes that support the fully electronic environment.

**Q11. *Will CBP still process a CBP Form 7512 manually on request from filers?***

**A11.** During the M1 transition, port processes will remain the same. However, it is anticipated that CBP will no longer accept, stamp or perforate CBP Form 7512s in a fully automated environment. Trade partners will need to develop alternate processes that support the fully electronic environment.

**Q12. *What will be the procedure if filers are experiencing issues such as the inability to transmit an in-bond, terminals not seeing a release, or the inability to close an in-bond? Do we refer these issues to the Client Representatives?***

**A12.** CBP will continue to work with you for trouble shooting purposes. The first point of contact for system issues is your Client Representative. Additionally, existing port of entry contacts will continue to work to resolve operational issues that may be encountered.

**Q13. How are subsequent in-bonds handled in ACE?**

**A13.** In the legacy Automated Broker Interface (ABI) a subsequent in-bond may have been retransmitted via the In-bond Transaction (QP) after the first arrival posting for the previous in-bond (even if that arrival was not for the full in-bond quantity). In ACE however, subsequent in-bonds may not be transmitted via QP until the previous in-bond is completely arrived. It is important to note that all QPs will be transmitted via ACE effective September 29, 2012.

If your business practice is to transmit one in-bond covering multiple bills of lading, retransmission of any subsequent in-bond will need to await the arrival of all the merchandise covered by that in-bond. When a subsequent in-bond QP is transmitted in ACE prior to the previous in-bond's complete arrival, the QP transmission will receive the error 'Prev Inbond Move Must Be Arrived' (error code 181). This is the indication that the previous in-bond has not been arrived in its entirety.

To prevent this situation, carriers and in-bond filers should work together to come to agreement on a solution that allows for the freight to move when necessary. In this situation CBP has identified at least two solutions:

- Carriers may transmit the initial in-bonds at the Bill of Lading level and arrive them at their destinations at the same level. This will allow for all processing to continue at the port of destination;
- Carriers may continue to submit master in-bonds but arrive the shipments at the in-bond level. This will allow for processing of the subsequent legs. Please note that carriers will be responsible to show that all of the shipments covered by the in-bond have actually arrived at the destination and are fully accounted.

Please note this change in process does NOT apply to export of in-bond or Permits to Transfer. Specific issues have been identified with both of these functions which are currently being resolved and should work normally on September 29, 2012.

**Q14. Who do I contact when I receive the following error message "NOT AUTH TO USE CUST BOND?"**

**A14** You should first contact your Client Representative for assistance. If you cannot reach your client representative, please contact the Technology Service Desk either by phone at 1-866-530-4172 or by e-mail at:

[CBP.Technology.Service.Desk@cbp.dhs.gov](mailto:CBP.Technology.Service.Desk@cbp.dhs.gov). This is usually an indication that a business partner has limited the ability of other parties to use their bond via the ACE web portal.

**Q15. Can you provide clarification on the Use of custodial bond Authorization Functionality in ACE?**

**A15** The following information is being provided to clarify the custodial bond authorization functionality in the ACE Portal.

	<b>Partners Authorizes</b>	<b>Results</b>
1	Bond owner authorizes no partners.	Anyone can obligate the bond. No SCAC or filer codes are present in the bond authorization file in the ACE Portal.
2	Bond owner authorizes self as partner.	Only the SCAC of the bond owner is listed in the bond authorization file in the ACE Portal. The bond owner can obligate the bond; all other partners are blocked from using the bond even if they are shown as authorized partners in the ACE Portal.
3	Bond owner authorizes others as partners.	Only the bond owner and the partners listed in the bond authorization file in the ACE Portal can obligate the bond. Bond owners must first remove themselves from the ACE Portal as users of the bond if they previously added their SCAC as an authorized partner.

**Note: Bond owners can always obligate their own bond.**

**Q16. Is it possible to view the bond data on file for account?**

**A16.** Yes, rail and sea carriers with ACE Portal Accounts will be able to view continuous bond data.

**Q17. How do I find the continuous bond information associated with my account?**

**A17.** Bond data is located on the “accounts” tab under the carrier view. Users must select the carrier account name or Standard Alpha Carrier Code (SCSC) before selecting the bonds hyperlink.

**Q18. Who can view my continuous bond information?**

**A18.** The only parties who can view your continuous bond data are those parties you grant access. Access can be granted to any Proxy Trade Account Owner (PTAO) or Trade User who needs to view your bond data.

**Q19. What should I do if the “Bond” portlet does not display a list of ACS Bond number for my account and I see the following error message, “No importers found for the Carrier”**

**A19.** In this case, follow the below steps.

- Open a trouble ticket with CBP Technology Support
- Either call 1 866 530-4172 or email [CBP.Technology.Service.Desk@CBP.DHS.GOV](mailto:CBP.Technology.Service.Desk@CBP.DHS.GOV)
- Provide the following information:
  - Carrier name
  - Standard Carrier Alpha Code
  - Importer of Record Number
  - Bond Number
- When the bond relationship has been established you will receive an email from an Account Administrator advising you to now open your “bonds” portlat and view your bonds
- A notification will also be posted in your “Business Activity Log” (BAL) portlet.

### **ACE In-bond Processing Issues**

#### **Issue Causes and Effects**

When ACE replaced AMS new edits were put in place that were designed to improve tracking of in-bond shipments and ensure that shipments reported as arrived were actually arriving at the intended ports of entry. There were three edit changes that initially appeared to be benign and were implemented in ACE. The first, was the requirement that in-bond status would be set to arrived when the entire in-bond transaction was accounted for. Trade participants would be given the opportunity to arrive shipments at the full inbond level, the master bill of lading level or at the container level. Unlike AMS, if participants choose to arrive shipments at a level lower than full in-bond, all containers or bills of lading must be arrived in order to consider the in-bond to be arrived. The second edit prevented the filing of subsequent in-bonds (in-bonds filed to move deconsolidated freight from the first in-bond arrival port) until the in-bond is in arrived status. The third edit would prevent sending of release notifications (known as the 1C message) until the master bill of lading associated to the in-bond was arrived at the destination port of entry. These three edits taken together had a combined and negative effect on the Master Inbond (MIB) process that had been used by ocean carriers for years. Many carriers had identified issues with this process and had provided guidance to their clients that did not always contain the best information.

#### **CBP Proposed Technical Solution**

CBP has recognized this negative effect of these changes and is working with ACE developers to try to alleviate the problem. The solution that is being considered will be all on the CBP side. It involves setting the in-bond status indicators internally to arrived upon first container arrival but will still allow CBP to properly track and close the rest of the in-bond at container or bill of lading level. What this means to trade participants is that at some point in the near future they can resume their pre-ACE (i.e. AMS) business processes in regards to master-in-bond (MIB) and subsequent in-bond processing. As this change is developed and deployed, trade participants will be invited to test it and ensure that their business processes work with the new processing. CBP is at the start of the change process for this and will keep all participants advised as the change is designed, developed, tested and implemented.

**Interim Guidance and Mitigation Scenarios**

Until the above discussed technical solution is implemented, hopefully within the the next 60-90 days, CBP provides the following scenarios and discusses some possible temporary workarounds to ensure that all parties are using the same information in their decision making process and to reduce the negative impact of the current ACE in-bond processing functionality. Please note that these scenarios may occur either individually or simultaneously depending on complicated business processes.

The basic rules for MIB transactions are currently as follows:

- The entire **in-bond** must be arrived prior to any subsequent in-bond filing. If you arrive at the container level, all containers associated to that MIB must be arrived in order to file a subsequent in-bond. If you arrive at the master bill of lading level, all bills of lading associated to that MIB must be arrived in order to file a subsequent in-bond. If you arrive at the in-bond level, subsequent in-bonds can be filed after the in-bond has been arrived.
- The entire **bill of lading** must be arrived prior to release notifications (1C) being sent to the carrier and secondary notify parties. If arrival notices are sent at the container level, all containers associated with a particular master bill of lading must be arrived in order for release notifications to go out. This is less of an issue when the merchandise is delivered directly to the consignee but may cause storage fees if going to a terminal facility. If the in-bond arrivals are performed at the bill of lading or in-bond level, release notifications will be sent out.
- **Permits to Transfer (PTT)** for in-bond shipments are not impacted by container arrival (no suppression of notifications or rejects) but may reject if the same bill (without container or piece count) is being sent to the same facility. The first PTT at the bill level covers the entire bill that is being moved and should be treated accordingly. Export of in-bonds is also not impacted by these edits.

When a subsequent in-bond is transmitted in ACE prior to the previous in-bond's complete arrival, the transmission will receive the error 'Prev Inbond Move Must Be Arrived' (error code 181). This is the indication that the previous in-bond has not been arrived in its entirety.

### ***Trade Mitigation Steps***

To prevent delays to the release of in-bond shipments, carriers and in-bond filers should work together to come to agreement on a solution that allows for the freight to move when necessary. CBP has identified at least two solutions that work:

- Carriers can transmit the initial in-bonds at the Bill of Lading level and arrive them at their destinations at the same level. This will allow for all processing to continue at the port of destination.
- Carriers can continue to submit master in-bonds but arrive the shipments at the inbond level. This will allow for processing of the subsequent legs. Please note that as always, carriers will be responsible to show that all of the shipments covered by the in-bond have actually arrived at the destination and are fully accounted for.

### ***CBP Mitigation Steps***

During this interim period, CBP users at ports of entry and CBP Client Service Representatives can provide assistance with arrival at the in-bond level if issues arrive. Additionally, CBP Officers at ports of entry can generate subsequent in-bond moves manually from trade submitted CBP 7512 forms when needed. Below are some common In-bond Scenarios identified by trade partners that would be impacted. Trade Partners can also ask CBP ports and Client Representatives for help with these. Possible mitigations are provided for each scenario. Some definitions for these scenarios include:

- MIB = Master In-bond (in-bond issued with the manifest submission)
- MBL = Master Bill of Lading submitted by carrier
- HBL = House Bill of Lading AKA NVOCC Bill
- PTT = Permit to Transfer shipments between facilities in a port

### ***Scenarios***



**Example One – MIB with 25 MBL with a combined total of 50 containers moving via rail from the vessel terminal at Port A to the rail terminal at Port B for purposes of deconsolidation.**

Only 35 of the containers were able to be moved out of the terminal at Port A on Train 1 with the remaining 15 following on two additional trains (7 on train 2 and 8 on train 3) over the next 2 days. When Train 1 arrives in Port B, arrival messages are sent at the container level for the 35 containers on the MIB. Subsequent in-bonds filed against these containers on this day fail because the entire in-bond has not been arrived. When Train 2 arrives in Port B the next day, arrival messages are sent at the container level for the 7 containers on the MIB. Subsequent in-bonds filed against these containers and the 35 containers on Train 1 sent on this day fail because the entire inbond has not been arrived. When Train 3 arrives in Port B on the third day, arrival messages are sent at the container level for the 8 containers on this train. This completes all of the arrivals on the MIB and all subsequent in-bond messages will be accepted and processed.

**Suggested Mitigation:** Carrier may send arrival at the in-bond level or request that CBP arrive the in-bond when the first 35 containers arrive. A side effect of this is that subsequent arrival messages for this MIB will be rejected with the error “In-bond Already Arrived”. Once the in-bond has been arrived, subsequent in-bonds will be processed and all notifications will be sent out.

**Example Two – MBL for 8 containers moving against a MBL in-bond from Port A to Port B and arriving at a Bill level**

This scenario should create no problems for the trade because everything clears against the bill. Subsequent in-bonds and releases will be sent at bill level arrival. No mitigation is needed.

**Example Three A– MBL for 8 containers moving against a MBL in-bond from Port A to Port B and arriving at a Container level**

MBL A - 8 containers are moving from Port A to Port B against an Immediate Transport Bond (not a Master in-bond) and it is arrived by container. One container is going through an exam at Port A and will arrive in the next day or two. Seven containers have arrived at the Port B rail ramp and the I.T. has been arrived by container. All eight containers are on a single consumption entry that has been accepted. The seven containers will not be released until the eighth container has arrived in Port B yet. The 1C will not be released against the all the containers until all containers have arrived. No mitigation is needed.

**Example Three B – MBL for 8 containers moving against a MBL in-bond from Port A to Port B and arriving at a MBL level**

MBL A - 8 containers are moving from Port A to Port B against an Immediate Transport Bond (not a Master in-bond) and it is arrived by container. One container is going through an exam at Port A and will arrive in the next day or two. Seven containers have arrived at the Port B rail ramp and the I.T. has been arrived by master bill of lading. All eight containers are on a single consumption entry that has been accepted but a release has not been generated due to the exam. The seven containers will not be released until the exam is completed on the eighth container. The IC will be sent out against the full MBL on all the containers once it is generated. No mitigation is needed.

**Example Three C – MBL for 8 containers moving against a MBL in-bond from Port A to Port B and arriving at a MBL level**

MBL A - 8 containers are moving from Port A to Port B against an Immediate Transport Bond (not a Master in-bond) and it is arrived by container. One container does not make the first train at Port A and will arrive in the next day or two. Seven containers have arrived at the Port B rail ramp and the I.T. has been arrived by master bill of lading. All eight containers are on a single consumption entry that has been accepted. The IC will be released against the full MBL on all the containers because the master bill of lading has arrived. No mitigation is needed.

**Example Three D – MBL for 8 containers moving against a MBL in-bond from Port A to Port B and arriving at a Container level**

MBL A - 8 containers are moving from Port A to Port B against an Immediate Transport Bond (not a Master in-bond) and it is arrived by container. One container does not make the first train at Port A and will arrive in the next day or two. Seven containers have arrived at the Port B rail ramp and the I.T. has been arrived by master bill of lading. All eight containers are on a single consumption entry that has been accepted. The seven containers will not be released until the eighth container has arrived in Port B yet. The IC will not be released against the full MBL on all the containers until all containers have arrived.

**Suggested Mitigation:** The Carrier may send arrival at the in-bond level or request that CBP arrive the in-bond when the first 7 containers arrive. Once the in-bond has been arrived, subsequent in-bonds will be processed and all notifications will be sent out.

**Example Four – MBL for 4 containers moving against a MIB from Port A to Port B and arriving at a Bill level**

MBL B – 4 containers are moving from Port A to Port B against a MIB (four MBL's and 17 containers). The MIB is arrived in Port B on a Bill level. All MBL's must be arrived in Port B before a subsequent in-bond may be generated. Until the entire MIB is arrived subsequent in-bonds filed against these containers will be rejected.

**Suggested Mitigation:** Carrier may send arrival at the in-bond level or request that CBP arrive the in-bond when the first 4 containers arrive. A side effect of this is that subsequent arrival messages for this MIB will be rejected with the error "In-bond Already Arrived". Once the in-bond has been arrived, subsequent in-bonds will be processed and all notifications will be sent out.

**Example Five A – MBL for 1 Consolidation container moving against an MIB from Port A to Port B and Carrier arrives at MBL Level**

MBL D: The container is moved from Port A to Port B and the Carrier arrives the MBL at Port B. The Permit to Transfer is approved and the container is picked up and devanned at Port B CFS. Subsequent In Bonds for LCL shipments are created but are rejected due to previous MIB is not arrived. The containers for MBL C (Under the same MIB) are still in Port A on exam. Until the entire MIB is arrived subsequent in-bonds filed against these containers will be rejected.

**Suggested Mitigation:** Carrier may send arrival at the in-bond level or request that CBP arrive the in-bond when the first 4 containers arrive. A side effect of this is that subsequent arrival messages for this MIB may be rejected with the error "In-bond Already Arrived". Once the in-bond has been arrived, subsequent in-bonds will be processed and all notifications will be sent out.

***Caution should be taken to ensure that the examination has been completed at Port A prior to this arrival as arrival in Port B will prevent transfers for exam from being processed in Port A.***

**Example Five B – MBL for 1 Consolidation container moving against an MIB from Port A to Port B and Carrier arrives at Container Level**

MBL D: The container is moved from Port A to Port B and the Carrier arrives the Container at Port B (There is one container per MBL so assume this will arrive the MBL as well) The Permit to Transfer is approved and the container is picked up and devanned at Port B CFS. Subsequent In Bonds for LCL shipments are created but are rejected due to previous MIB is not arrived. The containers for MBL C (Under the same MIB) are still in Port A on exam..

**Suggested Mitigation:** Carrier may send arrival at the in-bond level or request that CBP arrive the in-bond when the first 4 containers arrive. A side effect of this is that subsequent arrival messages for this MIB may be rejected with the error “In-bond Already Arrived”. Once the in-bond has been arrived, subsequent in-bonds will be processed and all notifications will be sent out.

***Caution should be taken to ensure that the examination has been completed at Port A prior to this arrival as arrival in Port B will prevent transfers for exam from being processed in Port A.***

**Example Six– MBL for 1 Consolidation container moving against a MIB from Port A to Port B and Carrier arrives at MBL Level.**

MIB consists of 100 MBL's of which 1 MBL is a consolidation container. 18 of the MBL's (including the consolidation container) arrive at Port B and the MIB is arrived on a MBL level. The Permit to Transfer is approved and the consolidation container is picked up and devanned at Port B CFS. Subsequent in-bonds are created but rejected due to previous master in-bond has not been arrived. The party generating the subsequent inbonds, for shipments from the consolidation container, waits 4 -5 days but receives rejects again. Several of the shipments from the consolidation container have received 1C's and have been delivered. The remaining 82 MBL are still at Port A awaiting inspections and have not been scheduled for the rail movement to Port B. It is now at the 9th day after arrival at Port B and the Vessel Operator will not remove the 82 MBL from the MIB and create a new one because General Order Notices would be issued.

**Suggested Mitigations:** The Vessel Operator offers to remove the consolidation container from the MIB and create a separate in-bond for the consolidation container MBL. However, shipments have already been cleared, released, possible duties paid and delivered. A **PAPER** subsequent in-bond must be issued in order to obtain authorization Carrier may send arrival at the in-bond level or request that CBP arrive the in-bond when the first containers arrive. A side effect of this is that subsequent arrival messages for this MIB may be rejected with the error "In-bond Already Arrived". Once the in-bond has been arrived, subsequent in-bonds will be processed and all notifications will be sent out.

***Caution should be taken to ensure that the examination has been completed at Port A prior to this arrival as arrival in Port B will prevent transfers for exam from being processed in Port A.***

## Conveyance Data

**Q1. *As a sea carrier, will I be able to maintain conveyance data in the ACE Portal?***

**A1.** Yes, Vessel Operating Common Carriers (VOCCs) only will be able to maintain conveyance records on all their owned, leased, or chartered vessels within their ACE Portal Accounts. This will relieve them of the responsibility of having to file manual update with CBP each time a change in a vessel's status occurs.

**Q2. *What can I do in my ACE Portal account to maintain my conveyance data?***

**A2.** Sea carriers with an ACE Portal accounts can

- Create a new conveyance
- Add an existing conveyance to their account
- View conveyance data in their account
- Edit conveyance data in their account
- Remove the relationship between the carrier account and the vessel record

**Q3. *What are the steps to add or update conveyance information in the ACE Portal account?***

**A3.** The "Conveyances" tab is located on the "Accounts" tab under the carrier view. Users must select the carrier account name or the Standard Alpha Carrier Code (SCAC) of the sub-account where conveyance data needs to be added or updated. The "Carrier" portlet displays showing available tabs. Select the Conveyances tab to add or update a carrier to the account.

## **Entry Banks**

### **Q1. *Are there any changes to the creation of Entry Banks?***

**A1.** Yes, with the deployment of e-Manifest: Trucks, CBP delivered functionality which allowed brokers and self-filers that participated in Border Release Advanced Selectivity System (BRASS) and Free and Secure Trade (FAST) to use the ACE Portal to create entry banks. Now, with the deployment of e-Manifest: Rail and Sea, brokers and self-filers will also have the ability to create and maintain entry banks for “Rail Line Release”

### **Q2. *If I want to create or maintain an Entry Bank, where do I find the Entry Bank in the ACE Portal?***

**A2.** The Entry Bank is located on the “accounts” tab. Users must select the filer code level of the account for the “Entry Bank” hyperlink to be displayed. Multiple banks with the same filer code and entry “Entry Type” are allowed and will be assigned unique Entry Bank Sequence Numbers by the system.

### **Q3. *Can any filer create an Entry Bank?***

**A3.** No, ACE will validate whether a broker is authorized to add a rail entry bank for the selected port. If your filer code has a valid C4 code for the selected port, then you can create the rail entry bank. If you are not authorized or do not have a valid C4 code for the selected port, an error message will be displayed indicating “Not authorized to perform this action at selected port.”

### **Q4. *Can any Portal user in my account create an Entry Bank for me?***

**A4.** No, the Trade Account Owner (TAO) must grant “full Access” to the “Accounts” tab to any Proxy Trade Account Owner (PTAO) and Trade User who needs to create an entry bank.

## **e-Manifest : Truck**

### **Q1. *What is an e-Manifest?***

- A1.** An e-Manifest is the electronic submission of trip, conveyance, equipment, crew, passenger, and shipment information. Filing manifests electronically can be accomplished either by a commercial software product or via the Internet through the ACE Secure Data Portal.

Historically, carriers have been required to file a paper manifest with CBP before a shipment can enter the United States. Filing e-Manifests is now required at all land border ports in accordance with the Customs Border Security Act of 2002 (Trade Act of 2002) advance cargo rule.

### **Q2. *How does an e-Manifest work?***

- A2.** An e-Manifest is submitted to CBP via the ACE Secure Data Portal, Electronic Data Interchange (EDI), or a combination of EDI and the ACE portal through self-filing or use of third parties. As a truck approaches the primary booth, ACE is used to retrieve e-Manifest information for the CBP officer to review. If the truck is equipped with a CBP-compatible electronic transponder, ACE will automatically retrieve e-Manifest details along with matching prefiled entries or in-bond requests. Prefiled entries are associated to manifests by the Shipment Control Number, which must be reported on both the manifest and the entry for e-Release to occur.

### **Q3. *Has the use of e-Manifests decreased processing times?***

- A3.** Yes, currently, ACE processing time is 41 percent faster than paper manifests. The improvement in truck processing times is an average across select, representative land border ports of entry and is expressed in terms of a comparison with Automated Commercial System averages at those same ports.

### **Q4. *What information is required for an e-Manifest?***

- A4.** An e-Manifest is composed of approximately 70 data elements, including details on crew, conveyance, equipment, and shipment information. The ACE Truck Manifest Notice published on March 21, 2005, (70 FRN 13514) provides a complete list of all required information for an e-Manifest. This notice is posted online at:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2005\\_register&docid=05-5546-filed.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2005_register&docid=05-5546-filed.pdf)

### **Q5. *What are the specific requirements for carriers to become ACE participants?***



- A5.** Essentially, a carrier interested in becoming an ACE participant must have a Standard Carrier Alpha Code. For complete ACE portal eligibility requirements, interested carriers should go to the ACE application information link at:  
[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_app\\_info/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_app_info/)

Interested carrier participants can also contact a software provider listed on the CBP Web site at [http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier\\_info/etruck\\_tech\\_info/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/etruck_tech_info/)

## **Filing an e-Manifest : Truck**

### **Q1. How can an e-Manifest be filed?**

A1. The following options are available to transmit an e-Manifest:

- Self-file through the Web-based ACE Secure Data Portal;
- Self-file via a CBP-compatible Electronic Data Interchange (EDI) program or software package. Participants choosing this option will need to test their EDI software capability for compatibility with CBP systems. A CBP client representative can provide information on compatibility testing procedures. Companies may also purchase or lease software from EDI software providers. Some software providers offer access to their software over the Internet. If carriers use dispatch software, they should ask their vendor if they have developed software compatible with CBP. There are 30 software providers listed on the CBP Web site that have tested their software with CBP. Many of these companies have sold their software to customs brokers and other entities to use as e-Manifest service providers, (sometimes referred to as third party filers or carrier agents). A list of EDI software providers can be found on the CBP Modernization Web site at: [http://cbp.gov/xp/cgov/trade/automated/modernization/carrier\\_info/etruck\\_tech\\_info/](http://cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/etruck_tech_info/). The list is continually growing, with more and more companies becoming eligible to transmit e-Manifests via EDI. Please note that inclusion on this list does not constitute endorsement by CBP.
- Self-file via a combination of EDI and the ACE Secure Data Portal; and
- Use a third party to file (usually requires a fee). An ACE account is not needed to file an e-Manifest via EDI, although it is recommended. A third party can be used to transmit the e-Manifest via the ACE Secure Data Portal or via EDI. Third parties usually charge a fee to file manifests with CBP. Third parties may offer to file manifests by receiving the information required for an e-Manifest via fax or e-mail, then using that information to create the e-Manifests on the carrier's behalf. Some customs brokers have the ability to file e-Manifests.

### **Q2. Do I only need one method to transmit an e-Manifest, that is, either the ACE portal or EDI?**

A2. The trade community is strongly encouraged to have at least two methods to transmit an e-Manifest. ACE is able to receive an e-Manifest through either the ACE portal or EDI. If for any reason, however, your Internet service becomes unavailable, a third party filing via EDI would be a viable option.

Many large carriers have found it advantageous to run both their EDI and the ACE Secure Data Portal simultaneously. The portal is available wherever Internet access is available and this allows manifest filers to send or amend manifest from locations other than their offices.

### **Q3. What is the current response speed through the portal? As an example, how long would it take to input a full trip with four shippers?**

**A3.** Once you are familiar with using the portal for submitting an e-Manifest, a full trip with four shippers could take less than 15 minutes. Having the crew, equipment, conveyance, shipper, and consignee information saved in your account can minimize your data entry time.

**Q4. *When must an e-Manifest be received by CBP?***

**A4.** In general, an e-Manifest must be received at least one hour prior to the truck reaching the first port of arrival in the United States.

There are two exceptions:

For Free and Secure Trade (FAST)/Pre-Arrival Processing System (PAPS) carriers arriving with shipments qualified for clearance under the FAST/PAPS program, an e-Manifest can be received at least 30 minutes prior to the carrier reaching the first port of arrival in the United States.

For FAST/ National Customs Automation Program (NCAP) carriers arriving with shipments qualified for clearance under the FAST/NCAP program, a FAST/NCAP electronic declaration must be received at least 30 minutes prior to the carrier reaching the first port of arrival in the United States.

**Q5. *How far in advance can an e-Manifest be submitted? May a carrier file an e-Manifest several days prior to the shipment reaching the U.S. border?***

**A5.** An e-Manifest can be filed well before the truck is scheduled to arrive at a U.S. border crossing. Do not transmit a manifest earlier than 30 days prior to the estimated date of arrival. The advance cargo rule specifies that the truck should not arrive any earlier than 1 hour from the time of transmission or 30 minutes if the trip qualifies for the FAST program.

**Q6. *How long does an e-Manifest and an unassociated shipment remain active and available in ACE?***

**A6.** Both a preliminary manifest and a completed manifest that have not been arrived by CBP are deleted after 30 days. Unassociated shipments are deleted 45 days after creation if they are not associated with a manifest within the 45 day time frame.

**Q7. *What features and abilities are provided by the ACE Secure Data Portal?***

**A7.** The ACE portal provides the following capabilities:

- Carriers have the ability to input data, track the CBP status of a truck and its cargo, and develop a variety of reports.
- Data regarding trucks, trailers, drivers, shippers, and consignees can be stored and reused, saving time for truck carriers entering recurring trip data and resulting in fewer opportunities for mistakes.
- A broker download feature, also available via EDI, enables carriers to quickly transmit shipment details to a customs broker or entry filer, helping carriers and filers reconcile manifest and entry data, minimizing errors and reducing delays. This does not replace sending the required documents needed for entry to the customs broker or entry filer.

- ACE makes it easier for CBP officers to release cargo, which can save time for truckers.
- In early 2007, new capabilities were added to the ACE portal that enable a third party filer to create an e-Manifest on behalf of another carrier. This capability has been available using EDI since March 2006.
- The ACE portal also provides a reporting tool that will allow ACE portal users to run a number of different reports.
- Carriers can request the in-bond movement of cargo via the ACE portal as well as report the arrival and export of in-bond shipments in ACE.

**Q8. *What additional information/documentation do I need for border crossings using e-Manifests? Do I still need paper?***

**A8.** It is a recommended best practice that after successfully transmitting an e-Manifest, carriers or their agents are advised to provide the driver either a CBP Form 7533 (Inward Cargo Manifest) or an optional cover sheet printed on plain paper. These documents should be annotated with the following information:

- **“ACE Electronic Manifest”** (should be printed on the document).
- **“Trip number”** (Standard Alpha Carrier Code (SCAC), plus up to 16 alpha/numeric characters. This should be clearly labeled as “trip number.” (Note: this is not the Shipment Control Number (SCN) or PAPS number))
- **Driver’s Name**
- **Truck (Tractor) License Plate** (must be the one that is listed in the e-Manifest transmission to CBP)
- **SCN (PAPS or other shipment ID SCAC, plus up to 12 alpha numeric characters)**

Carriers should not place PAPS barcode labels on any forms to be handed to CBP officers in primary booths. If invoices and PAPS barcoded manifests are provided to the driver, they should remain in the driver’s control and not be given to CBP, except upon request. CBP officers will use these documents only in the event of CBP system downtime or for the purpose of shipment validation/examinations.

FAST manifest cover sheets should continue to be used for FAST shipments.

## **Mandatory e-Manifest : Truck Policy**

### **Q1. How does the use of an e-Manifest impact current procedures for filing an entry?**

**A1.** Effects on current entry filing procedures include:

- The Shipment Control Number (SCN) must be communicated to the broker so that the broker may report the SCN on the entry. The SCN must match between the broker's entry and the manifest for e-Release to occur.
- Any documents required for release prior to ACE are still required.
- The following release processes are now automated in the e-Manifest: Section 321, Border Release Advanced Selectivity System (BRASS), Goods Astray, General Headnote 1, and the declaration of Instruments of International Traffic. This means that the carrier can request release of these shipments via the e-Manifest.
- In-bond movement authority can also be requested by the carrier via the e-Manifest.
- Brokers can also request an in-bond movement authorization. If the broker creates an in-bond movement authorization, a shipment record will be created in ACE, which the carrier must then incorporate into the e-Manifest. There are now two methods a carrier may use to associate these request to the manifest, instructions can be found at:  
[http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier\\_info/electronic\\_truck\\_manifest\\_info/inbond\\_info/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/electronic_truck_manifest_info/inbond_info/)
- CBP will continue to use Pre-Arrival Processing Systems (PAPS) as a mechanism for submitting entry data in conjunction with a carrier's ACE e-Manifest. CBP recommends continuing to use PAPS in all cases where it is currently used to file entries, even when filing an e-Manifest. As far as CBP enforcement is concerned, in the e-Manifest environment, the PAPS entry is the responsibility of the broker/importer of record, and the carrier is solely responsible for the manifest.

If the entry is not on file, the truck will not be allowed to leave the border until the entry is made or an in-bond movement is requested. Lack of an e-Manifest will ultimately result in a denial to proceed (i.e., unable to cross until compliance with the policy is achieved).

### **Q2. How does the use of an e-Manifest impact PAPS?**

- A2.** CBP will continue to use PAPS as a mechanism for submitting entry data in conjunction with a carrier's ACE e-Manifest. CBP recommends continuing to use PAPS in all cases where it is currently used to file entries, even when filing an e-Manifest. Use of PAPS means the entry is filed via the Automated Broker Interface prior to the arrival of the truck. Filing the entry is the responsibility of the broker/importer of record.

It is imperative that brokers and carriers coordinate the filing of the entry and the manifest. While a carrier can satisfy the advance cargo rule from the Customs Border Security Act of 2002 (Trade Act of 2002) by submitting an e-Manifest, the carrier will not be able to cross the border until the entry has been filed. An e-Manifest eliminates the need for a carrier to present a PAPS barcode to the CBP officer; however, some customs brokers can scan the bar code in order to automatically record the number it represents (Shipment Control Number) into the corresponding data element in a CBP entry (master bill of lading).

Filing an e-Manifest as soon as possible benefits everyone. Advance submissions give both the carrier and the broker time to confirm that the entry data filed by the broker (through PAPS) matches the manifest data filed by the carrier (through an e-Manifest). Reporting the SCN to the entry filer enables e-Manifest data to be associated with the corresponding entry data. The SCN must be reported in the entry and must match the SCN reported in the manifest, or no entry will match the manifest, and the truck will not be allowed to proceed until an entry is linked to the manifest. The second data element that must match between shipment record and CBP entry is the manifest piece count.

**Q3. *Will carriers be able to continue using other entry/release systems to submit entries and obtain cargo releases?***

- A3.** Yes, ACE supports existing entry/release processes, including PAPS, BRASS, in-bond processing, and Section 321 processing as well as the FAST program.

It is imperative that brokers and carriers coordinate the filing of the entry and the manifest. The e-Manifest satisfies the requirement to electronically transmit cargo information to CBP in advance of arrival at a U.S. land border port of entry. However, in addition to the e-Manifest, carriers must still make sure that arrangements have been made for the release of the cargo that they are carrying. Therefore, carriers can continue to use all existing entry and release methods, such as PAPS, and electronic in-bond (QP/WP) messages will continue to be used.

**Q4. *What happens if ACE is down and it is not possible to submit a manifest electronically?***

- A4.** Ports have downtime procedures in place to accommodate this situation.

**Q5. Do all shipments require an e-Manifest?**

**A5.** The following shipments are currently exempt from the advance electronic filing requirement for incoming cargo:

- Cargo in transit from point-to-point in the United States after transiting Canada or Mexico;
- Certain informal entries:
  - Merchandise which may be informally entered on Customs Form (CF) 368 or 368A (cash collection or receipt);
  - Merchandise unconditionally or conditionally free, not exceeding \$2,000 in value, eligible for entry on CF 7523; and
  - Products of the United States being returned, for which entry is prescribed on CF 3311.

The following shipment types are not specifically exempted by the regulation but use of e-Manifest is not currently required for:

- Trips consisting solely of merchandise that is subject to the provisions of 19 USC 1321 (Sec. 321 releases). If a trip is made up of Section 321 eligible shipments and shipments requiring an entry or in-bond move, all shipments on that trip must be manifested;
- Empty trucks and truck cabs may be reported via e-Manifest but are not currently required;
- These shipment types are not currently able to be reported on an e-Manifest and are therefore not required even when an e-Manifest has been filed:
  - Shipments consisting solely of IIT eligible for release under 19 CFR 10.41(a). IIT can be reported on an e-Manifest as associated to a conveyance or shipment but cannot be used as a shipment release type;
  - International mail shipments moving via a contract carrier from a foreign postal service to the U.S. Postal Service;
  - Carnets;
  - A delivery ticket (CBP Form 6043) for movement to a CBP bonded warehouse or a direct Foreign Trade Zone admission on a CBP Form 214; and
  - Shipments imported for the Department of Defense using 19 CFR 10.102/103 as a release mechanism.

All other shipments are required to provide advance electronic cargo information via an e-Manifest including personal effects using CBP Form 3299.

For more details on the advance cargo information required by the Trade Act of 2002, visit the CBP Web site at [http://www.cbp.gov/xp/cgov/trade/trade\\_outreach/advance\\_info/](http://www.cbp.gov/xp/cgov/trade/trade_outreach/advance_info/).

**Q6. How will CBP be able to handle a rapid influx of e-Manifests?**

- A6.** The system has been designed to handle high volumes of electronic manifests. More than five million manifests were submitted between November 2007 and May 2008.

The number of ACE portal carrier accounts more than doubled in that same time period and now stands at over 12,000, as of May 2008.



**e-Manifest: Truck – General Information**

**Q1. *Can multiple Shipment Control Numbers (SCNs) be submitted with multiple party records (i.e., consignees) in the same message or in separate batches?***

**A1.** A shipment record includes one shipper and one consignee. Additional parties to the transaction can be reported within the shipment. One SCN is used to identify one shipment. Multiple shipments can be submitted in one 309 or Customs Cargo Report (CUSCAR) message set (Electronic Data Interchange (EDI)). Multiple shipments can be created in the ACE portal and associated to one trip. One entry can be filed for multiple shipments but all of the SCNs must be reported in the entry filed.

**Q2. *What is the Bill Control Number (BCN)?***

**A2.** The BCN is a field to report a House Bill of Lading Number. There are a variety of names that could be used for this number. For example House Air Waybill, House Bill of Lading, etc. The Multi-Modal Manifest (MMM) committee of the Trade Support Network (TSN) chose to call it BCN for the same reasons they are using Shipment Control Number (SCN) instead of Pro-bill, Air Waybill, or Ocean Bill of Lading. Future releases of ACE will accommodate accounts for Non-Vessel Operating Common Carriers and Freight Deconsolidators.

The BCN should not be used unless both the carrier and entry filer/customs broker agree to the use of this number. It has been recommended that this field not be used by either a carrier or entry filer.

**Q3. *How long before a trip number, SCN or BCN, can be reused?***

**A3.** CBP has requested that you do not repeat a trip number for a period of one year. SCN numbers and the combination SCN and BCN numbers must be unique for at least one year and CBP recommends that they should be unique for at least three years.

**Q4. *Is tariff number required for Section 321 shipments?***

**A4.** No, however, there are certain commodities that cannot be reported under Section 321 rules. Carriers should be careful not to request Section 321 release when not appropriate. If in doubt of the appropriate regulations to follow, consult a CBP officer or a customs broker.

**Q5. Will the Common Carrier Commodity Codes (C4 code) process allow for multiple C4 codes on one SCN record?**

**A5.** Yes, by entering one C4 code per commodity record, as many C4 codes as necessary can be added to the same SCN record. The Importer of Record (IR) and entry filer must be the same for all C-4 codes that are reported under one SCN. Close coordination between the customs broker/entry filer, the importer, and the carrier must be maintained. Documentation will not be transferred from the carrier to the broker by CBP.

**Q6. Was broker download included in e-Manifest: Trucks (Release 4)?**

**A6.** Yes, it was included and is being used today.

**Q7. Will the Secondary Notify party on a shipment receive all messages that are posted against the related SCN?**

**A7.** Yes, all 350 or their equivalent Electronic Data Interchange for Administration, Commerce and Transport (EDIFACT) messages will be sent to the designated Secondary Notify party.

**Q8. What is the benefit to preparing your manifest in parts, rather than waiting until you have all the information? Is this more efficient? Is this for convenience only? Will it expedite the clearance process?**

**A8.** The benefit of preparing your manifest in parts is to accommodate the availability of data. The three option process was developed to support the business processes in use by carriers. Some carriers may receive shipment information in advance and may create the shipments, save them, and, later, create a manifest and add the shipments at that time. Other carriers may know in advance what trucks and drivers they will be sending, but not have any shipment details available. These carriers may create and save the trip, and create and add the shipments later. Some carriers may elect to create the complete manifest and shipments together. ACE was designed to accommodate all three of these business scenarios.

**Q9. What is the purpose of the address field on the driver/crew screen and will it be the driver/crew home address?**

**A9.** The driver/crew address requested in e-Manifest is where, in the United States, the driver/crew could be located on the related trip. This could be a consignee's location, a hotel, a truck stop, or a family or friend's address. Free and Secure Trade (FAST) drivers are exempt from this requirement.

**Q10. *If a carrier uses EDI, can they then use the portal to check the status or send updates? If yes, will they be able to see all data elements as they were transmitted via EDI?***

**A10.** An EDI carrier can use the portal to send updates and can see data elements that they transmitted via EDI. An EDI carrier cannot see freight status messages in the portal if they have designated themselves as EDI filers in their account setup.

**Q11. *EDIFACT has a restriction of only accepting nine house bill of lading numbers. When will this be expanded, and can it be expanded while the message is being approved?***

**A11.** This feature has been modified and you can now send up to 999 BCNs (house bill of lading numbers). At this time, truck carriers and customs brokers have been asked not to use BCN's. If carriers and brokers do report them, both parties must report them for e-Release to occur.

**Q12. *Is there any sequence for submitting CUSCAR, Passenger List (PAXLIST), or Customs Conveyance Report (CUSREP) when submitting EDI in EDIFACT?***

**A12.** The PAXLST must be submitted after the CUSCAR or CUSREP. The CUSCAR or CUSREP can be sent in either order.

**Q13. *How will you communicate future changes?***

**A13.** Message formats will be posted on the CBP Web site at:  
[http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier\\_info/etruck\\_tech\\_info/ace\\_edi\\_drafts/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/etruck_tech_info/ace_edi_drafts/)

**Q14. *How long must an ACE e-Manifest be stored?***

**A14.** As per 19 CFR part 163.1, the period reported in the (a) (1) (A) list is five years.

**Q15. *Is there a means for a freight forwarder to submit supplementary information in the truck manifest system similar to ocean Automated Manifest System?***

**A15.** Currently, any entity that has established an importer, broker, or carrier ACE account with a carrier portal view can create manifests via the ACE Secure Data Portal. Shipment records can be created and shared with other carriers by identifying the other carrier.

**Q16. *Does e-Manifest: Trucks replace PAPS?***

**A16.** Although ACE supports the PAPS process, it does not replace it. PAPS equates to an entry being prefiled in the Automated Broker Interface system prior to the arrival of a conveyance. The CBP entry must still be filed; the earlier the entry is

filed, the better. If an e-Manifest and entry have been successfully filed and both have recorded the same SCN (this number can be a PAPS number, bill of lading number, or as is used on the Southern Border, the carrier's SCAC followed by the brokers entry number) there is no need for a PAPS barcode to be given to the Primary booth officer. PAPS barcode labels are no longer required; however, carriers can continue to use these to generate SCNs if they wish.

Note: Some customs brokers scan the PAPS barcode into a customs entry to guarantee that their entry will match up to what the carrier supplies CBP. In this case, carriers elect to continue to send PAPS barcodes to the broker (**NOTE:** do NOT hand the PAPS barcode to the Primary booth officer).

**Q17. *A carrier may submit PAPS to the broker. If for whatever reason the PAPS entry fails, what happens to our manifest/driver waiting at the border?***

**A17.** If a prefiled entry does not post to the manifest and cannot be resolved by the primary inspector, the driver is directed to secondary where further processing can take place. A carrier could request an in-bond move via e-Manifest or further research can be done by the broker to determine why the prefiled entry (PAPS release) was not received. The most common reason a PAPS entry fails is due to a mismatch between what the broker reported as the SCN on the entry and what the carrier reported as the SCN on the manifest. There are two methods to correct this error: the broker may file a bill of lading update, reporting the SCN that was reported on the manifest, or the carrier must delete the shipment and create a new shipment (**NOTE:** A SCN cannot be changed in ACE).

**Q18. *Is a carrier able to use the ACE portal to check the status on PAPS shipments? This would alleviate concerns with shipments whose brokers do not have a tracking Web site.***

**A18.** A carrier can verify that a CBP entry was filed via the ACE Secure Data Portal or via an EDI message only after they have filed their e-Manifest and the entry was filed. In addition, a carrier will be notified if there was a discrepancy between the manifest quantity reported by the carrier in the e-Manifest and the manifest quantity reported by the entry filer in the CBP entry. Status messages can be viewed in the ACE portal by carriers that have chosen to file their manifests via the ACE portal. Status messages can currently only be viewed by a Trade Account Owner via a tab in the portal titled "Transactions."

**Q19. *Is the manifest complete only when the trip and shipment information has been submitted?***

**A19.** Yes. However, for empty crossings, only the trip information is required (no shipments) and marked "Complete and Submitted." For empties, a manifest is complete when crew, conveyance, and trip information has been submitted. Although you are currently not required to file an e-Manifest for empties, you are

encouraged to do so.

**Q20. *Is it assumed that one manifest and all of its shipments are submitted by one carrier and/or one user?***

**A20.** No. Any manifest filer can create a shipment record and flag it to be used by another manifest filer. In the ACE portal, this data element is called “Authorized Account.” Also, a carrier can establish multiple users within their own account; this would enable multiple users to work on different aspects of the same manifest. It is not recommended that this be done at the same time.

**Q21. *Can I search a manifest by shipper, wildcards, or by entering only partial information and still be able to select all shipments that match a particular piece of information?***

**A21.** A manifest search can be done on wildcards for the trip number and SCN. The filter also includes the Estimated Date of Arrival, First Expected Port of Arrival, Type, and Status.

**Q22. *I've sold items on eBay and crossed into the United States to mail the merchandise to the buyers. How does the filing of e-Manifest affect me?***

**A22.** Although all commercial shipments will ultimately be required to be reported to CBP via an e-Manifest, there are some exceptions to this rule. The following is an excerpt from a public notice that has been published on the CBP Web site:

These enforcement actions are based on the implementing regulations of the Trade Act of 2002 for truck carriers found in the Code of Federal Regulations, Title 19, Part 123.92 (19 CFR 123.92). This regulation requires that advanced electronic cargo information, in the form of an e-Manifest, be provided to CBP one hour (thirty minutes for FAST) prior to the arrival of the conveyance in the first U.S. port of arrival. This rule includes goods moving under bond between U.S. ports of entry as well as goods moving in transit through the United States. The following shipments are currently exempt from the advance electronic filing requirement for incoming cargo:

- Cargo in transit from point-to-point in the United States after transiting Canada or Mexico;
- Certain informal entries:
  - Merchandise which may be informally entered on Customs Form (CF) 368 or 368A (cash collection or receipt);
  - Merchandise unconditionally or conditionally free, not exceeding \$2,000 in value, eligible for entry on CF 7523; and
  - Products of the United States being returned, for which entry is prescribed on CF 3311.

The following shipment types are not specifically exempted by the regulation but use of e-Manifest is not currently required for:

- Trips consisting solely of merchandise that is subject to the provisions of 19 USC 1321 (Sec. 321 releases). If a trip is made up of Section 321 eligible shipments and shipments requiring an entry or in-bond move, all shipments on that trip must be manifested;
- Empty trucks and truck cabs may be reported via e-Manifest but are not currently required;
- These shipment types are not currently able to be reported on an e-Manifest and are therefore not required even when an e-Manifest has been filed:
  - Shipments consisting solely of IIT eligible for release under 19 CFR 10.41(a). IIT can be reported on an e-Manifest as associated to a conveyance or shipment but cannot be used as a shipment release type;
  - International mail shipments moving via a contract carrier from a foreign postal service to the U.S. Postal Service;
  - Carnets;
  - A delivery ticket (CBP Form 6043) for movement to a CBP bonded warehouse or a direct Foreign Trade Zone admission on a CBP Form 214; and
  - Shipments imported for the Department of Defense using 19 CFR 10.102/103 as a release mechanism.

All other shipments are required to provide advance electronic cargo information via an e-Manifest including personal effects using CBP Form 3299.

**Q23. *An U.S. importer purchases seed from a Canadian supplier. The seeds are being shipped directly to 226 customers of the U.S. importer. Each of the 226 customers has a U.S. address. The importer is the actual buyer. Does CBP require that all 226 customers/addresses be reported on the e-Manifest or can the U.S. importer (buyer) be shown as the ultimate consignee?***

**A23.** In this specific case, the U.S. importer is the nominal consignee for consolidation. If they purchased the seed, they would also be the ultimate consignee for purposes of CBP entry. The delivery to parties would each need to be accommodated on the manifest as consignees. This would require reporting 226 SCNs, which could be tied to a single entry.

### **CBP Form 7533**

**Q1. *Are we required to keep the electronic report from the e-Manifest, the 7533, or both?***

**A1.** You are required to keep both. Since CBP is requesting that carriers continue to keep backup documentation for the e-Manifest, it would also be advisable to retain the hard copy.

**Q2. *If we are required to keep the 7533, do we need to keep the driver's signed copy?***

**A2.** Yes. We will continue the same requirement as today.

**Q3. *How long are we to keep these records on file?***

**A3.** These records are to be kept for five years. As per 19 U.S.C. 1508, the five-year statutory mark is implemented under section 163.1(a) (2) (i) of the regulations (19 CFR 163.1(a) (2) (i)). This regulation imposes a five-year retention requirement on parties involved in "any importation, declaration, or entry."

## Shipment

### **Q1. *Why are there two places to create a shipment visible on the screen?***

- A1.** There are two places to create shipments within the manifest view. The first location is on the manifest/trip portlet. There are two options, “Create Shipment” or “Lookup Shipment.” Creating a shipment from this location will allow you to place the shipment on this trip, or you may look up a shipment that you previously created and link the shipment to the manifest.

If you scroll down to the next portlet, the “Create Shipment” portlet you have two more options, “create shipment” and “create shipment for another carrier.” If you select “create shipment” from this location, you will create an unassociated shipment, a shipment that is not linked to a manifest. You may also create a shipment for another carrier by selecting create shipment for another carrier. By reporting another carrier’s SCAC code in the shipment, you can create a shipment for another carrier which will appear in his ACE account.

### **Q2. *Is the shipment number (in other words, the number of shipments in a manifest) equal to the number of SCNs?***

- A2.** Yes. There are a number of places where shipment numbers are referred to:

1. Manifest Tab, first screen, manifest box:

**Number of Shipments = The total number of shipments contained within a trip (system generated).**

2. Manifest Tab, first screen, shipment box:

Total shipment Qty = Total lowest external package units in the shipment.

3. Create Standard Shipment:

SCN = Pro bill number, simple or master bill number. SCNs are always prepopulated with the SCAC code of the entity that created the shipment. The unique identifying number is then added by the shipment preparer. On the Southern Border, the CBP entry number is frequently used as the SCN.

Bill Control Number = House bill number. Carriers and brokers at land border crossings are currently advised not to use this number.

Shipment Identifier = Number provided by the shipper to be passed through to the broker when using broker download.



**Q3. *Is it possible to populate the SCN, BCN, and shipment identifier according to a rule based on number ranges? For example, if I last used the number 11, can I ask for the subsequent number, that is 12?***

**A3.** It is the carrier's responsibility to maintain their SCNs and to ensure that other parties creating a manifest on their behalf uses SCN numbers that are unique. ACE does not generate SCNs or BCNs. It is advised that BCNs not be used at land border crossings at this time. If you are a broker or a third party filer, you must make sure that the SCN is unique for that carrier regardless of who files manifests on behalf of the carrier.

**Q4. *Can the BCN have its own SCAC as it may belong to a different carrier or forwarder?***

**A4.** Yes, the SCAC prefix of a BCN is to be entered in the "Bill Issuer Code" field. As of January 2006, CBP has requested that BCNs or house bills of lading not be reported in the ACE e-Manifest system. If the fields are used, it is imperative that the broker and the carrier understand that an exact match must be created between the master bill of lading (shipment control number) and the house bill of lading (bill control number).

(NOTE: In EDI, the BCN is reported in the M1113 and M1111 elements.)

**Q5. *What are unassociated shipments?***

**A5.** Unassociated shipments are shipments that have been created but are not yet associated to a trip. A shipment filed without a trip number is also referred to as a preliminary shipment.

**Q6. Will the list of unassociated shipments contain only those shipments created by the carrier or a party authorized by the carrier to create shipments, or will it also contain any “shell” shipment records that may have been created by the broker’s filing of prefiled entry data or by the filing of entry data with incorrect shipment numbers?**

**A6.** The “Shipment” portlet of the ACE Secure Data Portal will show:

1. Shipments created by the carrier that have not yet been associated to a trip;
2. Shipments created by another carrier where the other carrier identified the first carriers in the data element of a shipment labeled “Authorized Account”; and
3. In-bond shipments that have been identified with the first carrier’s SCAC code and filed to the Automated Commercial System’s (ACS) Automated Broker Interface (ABI) via the electronic in-bond request known as QP/WP.

Prefiled PAPS entries do not create shipment records in a carriers account.

**Q7. Once shipment information is created, can it be readily moved from one trip to another without having to recreate the shipment information again?**

**A7.** Shipments can be linked to and delinked from trips. The shipment information does not have to be re-entered.

**Q8. Although we need the ability to enter shipments during the day and assign shipments to manifests as they are loaded, our original booking information is not accurate as to the piece and weight until we receive faxed copies from the shipper with this specific information. Is there any way we could flag these preliminary bookings until our information is verified as correct?**

**A8.** Shipments and manifests can be created and saved in a preliminary status by using the “Save” option. Only when the information is ready, should the “Submit to Customs” option be selected. Any subsequent changes that are made would be considered an Amendment and would require a reason code. This is akin to an EDI submission where a 309 can be marked as preliminary and later a 353 (once the Trip and Shipments are in) marks the manifest as “Complete and Submitted” to CBP. In the ACE portal, it is possible to save shipments with zero quantity and weight. When you receive accurate information (i.e., bill of lading), it is a simple process to update these data fields in the portal. In the portal, the quantity and weight are visible on the manifest trip screen, and any shipments showing zero weights or quantities can be reviewed prior to manifest submission and updated with weights and piece counts.

**Q9. What is the purpose of the data element, “Service Type, door to door, collect on delivery”?**

**A9.** This is a conditional MMM data element. If a service type exists, it is to be reported. It is used for purposes of analysis.

**Q10. In a Port/Point of Loading, a Less-Than-Truckload carrier has multiple pickup cities. Additionally, various shipments can be loaded at different points, perhaps into different trailers, and brought to a point where some are loaded onto different trailers. Which point does CBP really want to see and why?**

**A10.** Port/Point of Loading is the point at which the shipment was loaded onto the conveyance that will bring the shipment into the United States. Place of receipt is the point at which the shipment was initially picked up. Place of receipt is only required if it is different than the Port/Point of Loading.

**Q11. Can the Manifest Lookup Shipments screen be revised to provide for sorting shipments by either date of departure, shipper, consignee, or destination zip code?**

**A11.** Not at this time.

**Q12. If I obtain release of cargo using a CBP Form 4455 "Certificate of Registration," what shipment release type should be identified in the e-Manifest shipment record? CBP Form 4455 is not one of the selections.**

**A12.** The CBP Form 4455 is not a release document but a registration form that can be obtained for the purpose of assisting in the release of merchandise upon its return to the United States. If the value of the merchandise is under \$2000.00 then upon return to the United States, CBP Form 4455 can be submitted along with the paper CBP Form 7523 “Entry and Manifest Merchandise Free of Duty,” which is an “informal entry” process. CBP Form 7523 is also a “shipment release type” that can be identified when creating a shipment record in an e-Manifest and although an e-Manifest is not required for a truckload of cargo being released via CBP Form 7523, you CAN report this type of shipment in an e-Manifest and we would recommend that you do so.

### **Shipment Commodity**

**Q1. *At what point can you no longer update the boarded quantity or weight?***

**A1.** Until the record has been archived. An archival time frame has not yet been determined.

**Q2. *If it is not necessary to match weight with the customs broker entry, why is this required?***

**A2.** Weight has always been a manifest requirement. It is a mandatory data element.

## Shipment Party

**Q1. Does the carrier designate a broker on the manifest screen?**

A1. The carrier can identify the broker via the Shipment Party screen. Identifying the customs broker on the Shipment Party screen will activate the broker download process. The broker download process will send a copy of the shipment record to the designated broker via their ABI system. This is in no way “designating” a broker but only a process to share information with the broker.

**Q2. Is the consignee always the final user (i.e., a shipment is delivered to a cross dock and delivered by another carrier to its final destination)?**

A2. The consignee is the party listed on the bill of lading to whom the cargo will be delivered in the United States, (with the exception of “FROB” or Foreign Cargo Remaining On Board). If there is any other commercial party listed in the bill of lading for delivery or contact purposes, the carrier must also report this other commercial party’s identity and address in the “notify party” field of the advanced electronic data transmission to CBP (19 CFR 123.92).

**Q3. When the “ship to” address is an express consolidator, and the goods are sold, or the consignee is known, does CBP require that each consignee be listed in the e-Manifest? Is each consignee required on the e-Manifest or just the “deliver to” party?**

A3. If the carrier that is crossing the border is contracted to deliver the cargo to the consignee, then shipment records must be supplied for each individual shipment.

**Q4. Is it possible for ACE to accommodate more than one “Notify Party” and more than one “type?”**

A4. The Shipment-Party option is repeatable and can be used to indicate additional parties.

**Q5. *We would like to have the ability to validate or see a party's Customs Trade Partnership Against Terrorism (C-TPAT) participation.***

**A5.** C-TPAT participants may verify a business partner's status and eligibility in their secure C-TPAT portal.

**C-TPAT Status Verification Interface (SVI) Overview**

As stated in the C-TPAT Security Criteria, Certified C-TPAT partners need to verify the participation status of other eligible C-TPAT business partners. To address this need, CBP has created the SVI. The SVI allows consenting certified C-TPAT partners to verify the participation status of other consenting certified C-TPAT partners. Each party must have consented to the release of their company name among the C-TPAT membership. The SVI is the point of electronic access to verify the C-TPAT status of another Status Verification Interface Participant (SVIP).

Access to the C-TPAT SVI is now found in the C-TPAT Security Link Portal. SVI access is granted to certified C-TPAT partners who meet the specific SVIP criteria.

## Trip

**Q1. *Due to the Advance Manifest requirement rule, do we need to know the date and time the manifest submission was made and accepted?***

**A1.** Yes. On the portal, an immediate confirmation is provided to indicate CBP accept/reject. Only the message of acceptance would start the Advance Manifest Rule clock. The estimated date and time of arrival that you report in a manifest has no bearing on the one-hour clock.

**Q2. *Is either the arrival date or time optional?***

**A2.** Estimated date and time of arrival are required. CBP recognizes that these are only estimates. A carrier will not be penalized if the truck does not appear at that date and time. The actual acceptance date/time of manifest and actual arrival date/time is used to determine compliance with the advance profiling period regulation (30 minutes for Preferred; 1 hour for Standard) for in-bound trips in the Truck environment.

**Q3. *I am having difficulty understanding the distinction between the trip number and the shipment control number. If a shipment control number is the pro-bill number, what is the trip number?***

**A3.** The trip number is the unique ID given to the conveyance crossing. A trip number represents one crossing, one manifest. A trip number equals one manifest, and a manifest consists of trip information, crew, passenger, conveyance, equipment, and shipments. One trip number can have multiple shipment control numbers under it.

A shipment control number represents a shipment; every shipment must have a shipment control number associated with it. Shipment control numbers are created by the carrier. You may continue to use PAPS numbers or any other number you elect to use. It must remain unique, and must be communicated to the broker so that it may be reported on the entry.

**Q4. *I am still confused about the reference to trip number. Is this a PAPS number, or can we just issue any number we want?***

**A4.** The trip number is not the same as the PAPS number. PAPS numbers have always referenced shipments. The trip is the SCAC and a unique identifier; the SCN is often the PAPS number. This number also starts with a SCAC code and then a unique identifier. These number combinations must remain unique for three years. The pro-bill can definitely be used as the SCN, but you must make sure that the broker is aware that you have used the pro-bill as the (PAPS/SCN) number.

**Q5. *Is it correct to say that the carrier creates the trip number?***

**A5.** Yes, the carrier is responsible for providing the unique trip numbers.

**Q6. *Can a range of trip numbers be created and defaulted to the next available?***

**A6.** Not in the ACE Secure Data Portal, but many of the EDI software providers have built this functionality into their software packages. It is the carrier's responsibility to maintain the trip number ranges. It is recommended that you do not repeat a trip number for a period of one year.



## Amendments

**Q1. *Once I have submitted a manifest, are there limits to any changes I can make to that manifest?***

**A1.** Once the manifest is submitted you will be able to make changes to all data elements EXCEPT:

- Standard Carrier Alpha Code (SCAC)
- Trip number
- Estimated date of arrival on a standard manifest
- Manifest Type (Manifest type code, in EDI)
- Shipment Control Number

When filing EDI, mode of transportation cannot be changed. When using the portal, e-Manifest: Trucks (Release 4) mode of transportation is established upon login.

**Q2. *How can I correct a SCN if it is wrong or doesn't match what the broker reported on the entry?***

**A2.** You may not change a SCN, but you may request a “bill of lading update” from the broker where the broker will change the SCN reported on the entry to match what the carrier reported as the SCN in the e-Manifest. The other option is to delete the shipment and create a new shipment with a new SCN.

**Q3. *Can a cargo message be amended once the final conveyance has been saved or submitted?***

**A3.** Although changes can be made after the manifest has been “Completed and Submitted,” a reason code (i.e., amendment code) is to be provided to indicate the nature of the change. For auditing purposes, the carrier should maintain substantiating evidence of the change.

**Q4. *Is the system going to allow for MDR filling?***

**A4.** A record filed with an amendment code is considered a MDR.

## Reconciliation

- Q1. *How is broker entry information linked to the manifest? If exact detail is available as to piece and weight, can the broker's entry information override our original shipment information when they tie the manifest and CBP entry together?***
- A1.** The entry shipment quantity will be reconciled with the carrier's shipment quantity. The broker's shipment quantity will not override the carrier's. The quantities must match to close the bill. The broker can do a "bill of lading update" to correct entry manifest quantities and a carrier can do an amendment to the manifest to correct manifest quantities. If the carrier elects to transmit a "broker download" through ACE, the shipment detail submitted via the e-Manifest will be available to the broker.

## Cargo Release/Simplified Entry Pilot: Policy

### General

<b>Q1.</b>	<b><i>Can Automated Broker Interface (ABI) software providers participate in the test for the Simplified Entry or be used to perform tests through a user?</i></b>
<b>A1.</b>	While not official test participants, software vendors play a critical role supporting the filers who are or will be part of the Pilot. Any requests by these vendors to participate can be forwarded to CBP's training office to determine if the software providers can be utilized for training purposes.
<b>Q2.</b>	<b><i>Is there an option for a participant to discontinue their involvement in the Pilot after previously being accepted?</i></b>
<b>A2.</b>	CBP is committed to working with Pilot participants to ensure their participation is constructive and beneficial. If participants face any challenges to participating, CBP will work with them to address and resolve the issue. However, if a participant wishes, they can discontinue their involvement in the Pilot.
<b>Q3.</b>	<b><i>Can a Simplified Entry be modified while in transit?</i></b>
<b>A3.</b>	Under the Pilot, CBP will allow filers to modify entry data electronically to allow the Trade to update for the best available information, up until time of the arrival of the conveyance.
<b>Q4.</b>	<b><i>How does Simplified Entry streamline the entry process?</i></b>
<b>A4.</b>	Simplified Entry streamlines the entry process by separating the collection of the shipment data and the transportation data. The carrier submits the manifest/Air Cargo Advanced Screening (ACAS) security filing (as appropriate), and the broker or importer/self filer submits the Simplified Entry data set. The result is that instead of filling out 27 data fields and waiting until manifest information from the carrier is available to include on the entry, brokers or importers/self filers can submit the entry at any time prior to arrival in the United States, and are only required to submit 12 data elements (plus three optional ones).
<b>Q5.</b>	<b><i>What is the difference between the correction process for entries today and the Simplified Entry correction process?</i></b>
<b>A5.</b>	Filers can update the CBP Form 3461 today but Simplified Entry allows the data to be updated for a longer period of time. Currently, outside of Simplified Entry, once CBP takes "control" of the entry submission, the trade is unable to make changes, even if the goods have not yet arrived. With Simplified Entry, the entry data can be updated up until the arrival of the goods.
<b>Q6.</b>	<b><i>By how much is Simplified Entry expected to reduce cost and time?</i></b>
<b>A6.</b>	Under Simplified Entry, an importer can file an entry far in advance of a shipment and receive a release indication on its cargo much earlier than under the current entry process. For example, one of the pilot participants was able to file a Simplified Entry and receive a message four days prior to the departure of the shipment from Hong Kong. The ability to file the Simplified Entry as early as the information is available provides the filer with the

	flexibility to manage their workflow. This expanded window of time also allows the importer to resolve any issues with CBP before they result in a delay, saving time and money for the trade.
<b>Q7.</b>	<b><i>Will Simplified Entry data be included in ACE Cargo Entry reports?</i></b>
<b>A7.</b>	In Phase One of the Simplified Entry Pilot Simplified Entries will not be included in the Aggregate and Detail Cargo Entry reports or the AD-003 Cargo Entry Extract Report.  Today Cargo Entry reports exclude rail Line Release, Border Release Advance Screening and Selectivity (BRASS) and Free and Secure Trade (FAST) entries. Entry summary reports will not be impacted by Simplified Entry.
<b>Q8.</b>	<b><i>Is this a paperless program, and if so, how will I get my cargo released from a warehouse, such as a consolidated freight station (CFS)?</i></b>
<b>A8.</b>	As this is a paperless program there will be no submissions of CBP Form 3461. Simplified Entry will only be accepted electronically in the Automated Commercial Environment (ACE). In order to foster a truly paperless program, CBP will not create courtesy copies or stamps forms. However, CBP recognizes that a paperless environment will pose challenges to non-automated entities, such as consolidated freight stations and terminals that do not receive electronic releases from CBP.  Consequently, in the interim, CBP will allow non-automated facilities to release cargo based upon screen printouts presented to them by filers (importers, brokers, etc.). This printout will have, at a minimum, the shipment ID and quantity being released, the type of release, as well as clear identification of who presented the release information (such as a cover letter). For audit purposes, this will satisfy due diligence on behalf of the non-automated facility. In the event that cargo that is either on hold or is not released by CBP is allowed to exit a non-automated facility, CBP will seek remedy with the party that provided the “release” to that facility.  Record retention guidelines will also apply. It is also important to note that this is an interim process, and that in order to effectively operate in an increasingly paperless environment, non-automated facilities are strongly encouraged to automate.
<b>Q9.</b>	<b><i>Can an entry number be used again if the Simplified Entry has been deleted?</i></b>
<b>A9.</b>	The entry number cannot be used again for Simplified Entry since it will be reflected as being in deleted status.
<b>Q10.</b>	<b><i>Can the filer update the port of entry under Simplified Entry?</i></b>
<b>A10.</b>	The Port of Entry is not a mandatory data element in the Simplified Entry data set. Port of Entry information is provided on the manifest and changes to that information will occur as they do today.
<b>Q11.</b>	<b><i>Are Manufacturer IDs (MIDs) going away?</i></b>
<b>A11.</b>	The MID will be calculated by the Simplified Entry system based on the information on the commercial parties identified in the SE submission. For Simplified Entry, trade will no longer provide the MID, just the name and address of the commercial parties.

<b>Q12.</b>	<b><i>Does the Simplified Entry Process result in less data available to CBP than the current entry process?</i></b>
<b>A12.</b>	The intent is to reduce duplicate requests for information from the trade. Once CBP combines the data from the Simplified Entry and the manifest, CBP has the same information that it gets today.
<b>Q13.</b>	<b><i>What is the definition of ‘buyer’?</i></b>
<b>A13.</b>	The definitions for the data elements in the Simplified Entry are the same as those used in the Importer Security Filing. The ‘buyer’ is the last known entity to whom the goods are sold or agreed to be sold.

Federal Register Notices (FRN)

<b>Q1.</b>	<b><i>How many Federal Register Notices (FRNs) have been published to date on the Simplified Entry Pilot?</i></b>
<b>A1.</b>	To date, CBP has published two FRNs related to Simplified Entry. The first FRN announcing the Pilot test and requesting volunteer participants was published on November 9, 2011 (see 76 FR69755). The second Notice announcing expansion of the Pilot was published on August 14, 2012 (see 77 FR 48527).
<b>Q2.</b>	<b><i>Can importers who do not self-file participate in the Pilot?</i></b>
<b>A2.</b>	Importers who do not self-file can express interest in the pilot; however, the importer must be working with a broker that was selected by CBP as an official Pilot participant. Furthermore, the importer must also meet all other relevant requirements outlined in the Simplified Entry FRNs (see 76 FR 69755, published November 9, 2011 and 77 FR 48527, published August 14, 2012).
<b>Q3.</b>	<b><i>When will Remote Location Filing (RLF) entries be allowed in the Pilot? What is CBP's vision for allowing remote filing of Simplified Entries?</i></b>
<b>A3.</b>	RLF will not be included in the initial Pilot or first expansion of the pilot; however, CBP is working to include RLF in future Pilot deployments.
<b>Q4.</b>	<b><i>What are the criteria CBP will use to select Pilot participants?</i></b>
<b>A4.</b>	<p>All applicants will be reviewed for the basic requirements outlined in the first FRN and subsequently modified in the FRN announcing expansion of the Pilot. The criteria are as follows:</p> <ul style="list-style-type: none"> <li>a. Applicant type (must be self-filing importer or broker)</li> <li>b. Must be Customers-Trade Partnership Against Terrorism (C-TPAT) Tier 2 or Tier 3 for self-filing importers or C-TPAT-Certified for brokers [NOTE: the C-TPAT status of an importer for whom a customs broker files a Simplified Entry is no longer an eligibility criterion]</li> <li>c. Applicant must have an Automated Commercial Environment (ACE) portal account</li> <li>d. Applicant must intend to file ACE Entry Summaries</li> <li>e. Applicant must have ABI certification</li> </ul> <p>CBP will analyze the applicant universe against previous trade volumes and expected shipments through the pilot phases. Preference will be given to the time and date the applicant's submitted their information. CBP will evaluate applicants that filed 2,000 or more entries in Fiscal Year 2011, an average of 160 entries a month, to substantiate a robust testing of the system. CBP will compile the results and make selections for the Simplified Entry pilot, organized by large, medium and small entities, according to the number of entries filed per year.</p>
<b>Q5.</b>	<b><i>Who were the initial Pilot participants?</i></b>
<b>A5.</b>	CBP announced the initial Pilot participants via a press release as well as at the December 7, 2011 Commercial Operations Advisory Committee (COAC) meeting.

Pilot Requirements

<b>Q1.</b>	<b><i>What are the airports that CBP plans to utilize for the Simplified Entry Pilot? Can additional airports be used?</i></b>
<b>A1.</b>	The initial three Pilot ports selected were Atlanta, Chicago and Indianapolis. CBP is currently in the process of expanding to additional ports. Updated information on the expansion can be found on the Trade Transformation website. <a href="http://www.cbp.gov/xp/cgov/trade/trade_transformation/simplified_entry/">http://www.cbp.gov/xp/cgov/trade/trade_transformation/simplified_entry/</a>
<b>Q2.</b>	<b><i>Can filers participate in the Pilot if their shipments have other government agency requirements?</i></b>
<b>A2.</b>	For the initial Pilot, CBP will only allow Entry Types 01 and 11 that do not have other government agency requirements. In future Pilot deployments, CBP anticipates incorporating the Participating Government Agency (PGA) Message Set. This was developed by CBP in October 2011, and is a single, harmonized set of data elements that will be collected electronically from international traders by CBP on behalf of the PGAs, thereby allowing CBP and the PGAs to make informed decisions about what cargo can come into the U.S. without the myriad of paper forms currently required.
<b>Q3.</b>	<b><i>Will it be required that all entries shipped under an Employer Identification Number (EIN) be filed using Simplified Entries?</i></b>
<b>A3.</b>	The Pilot participants will be able to identify and limit the scope based on their business processes. Pilot participants can determine what shipments should be filed as Simplified Entries (that meet the specific Pilot requirements as outlined in the FRN), or as standard CBP Form 3461 entries.
<b>Q4.</b>	<b><i>Will the brokers who are Pilot participants be limited to submitting Simplified Entries for those importers who are C-TPAT certified?</i></b>
<b>A4.</b>	No. Pilot participants may file a Simplified Entry on behalf of any of their importers as long as the shipments fall within the parameters of the Pilot.
<b>Q5.</b>	<b><i>Will C-TPAT be an ongoing requirement to participate in Simplified Entry?</i></b>
<b>A5.</b>	The requirement for C-TPAT certification for brokers participating in Simplified Entry is only for purposes of the Pilot. In addition, Pilot filers can file Simplified Entries on behalf of any importer if their shipment meets the pilot criteria. The intention for the future is that the ACE Simplified Entry/Cargo Release process will be expanded to importers and brokers regardless of C-TPAT status.

Additional Pilot Capabilities/Participants

<b>Q1.</b>	<b><i>What is CBP's plan to add participants to Simplified Entry?</i></b>
<b>A1.</b>	CBP will continue to expand participation in the Simplified Entry Pilot. Subsequent notices will be published in the Federal Register regarding future Pilot deployments, expansion of participation in the Pilot, testing of additional modes of transportation and the addition of enhanced system capabilities.
<b>Q2.</b>	<b><i>What are the next steps for Simplified Entry now that the initial filings have taken place?</i></b>
<b>A2.</b>	The initial evaluation of the Simplified Entry Pilot will begin in late August 2012. CBP and the Pilot participants are currently testing additional scenarios as well as putting more volume in the system. Next steps include expansion to additional ports and participants. In addition, CBP is working on adding new functionality such as the Participating Government Agency (PGA) Message Set and the Document Image System (DIS).
<b>Q3.</b>	<b><i>What is the plan for expanding to additional ports and when will that happen?</i></b>
<b>A3.</b>	Based on the success of the Simplified Entry pilot, CBP will be deploying Simplified Entry to additional airports using a regional approach. In August and September, CBP successfully expanded the pilot as follows: <ul style="list-style-type: none"> <li>• Seattle, San Francisco and Oakland the week of August 14, 2012;</li> <li>• Los Angeles the week of August 20<sup>th</sup>;</li> <li>• South/southeast airports including Dallas/Ft. Worth, Houston and Miami the week of September 10, 2012; and</li> <li>• Northeast airports including Newark, New York/JFK and Boston the week of September 17, 2012.</li> </ul>
<b>Q4.</b>	<b><i>What is CBPs plan for expanding to other modes of transportation?</i></b>
<b>A4.</b>	CBP plans to move to the ocean mode of transportation next. Planning for determining the timeline for this is currently underway and will take into consideration the M1 rollout, so as not to impact that effort.



## Cargo Release/Simplified Entry Pilot: Technical

### General

<b>Q1.</b>	<b><i>When will the Simplified Entry Pilot be deployed?</i></b>
<b>A1.</b>	Simplified Entry (SE) was deployed to the first wave of pilot ports on May 29, 2012. We will continue to deploy SE during the months of August and September 2012 to additional ports.
<b>Q2.</b>	<b><i>Can a filer use a Dun and Bradstreet (DUNS) number to identify a seller's, buyer's, etc. address?</i></b>
<b>A2.</b>	No, CBP will not be using DUNS numbers in lieu of an address.
<b>Q3.</b>	<b><i>If a Simplified Entry cannot be modified, how will corrections be handled? Must these be pen and ink changes?</i></b>
<b>A3.</b>	Under the Pilot, CBP will allow filers to modify entry data electronically and completely replace the SE data up until the arrival of the conveyance. This will allow the Trade to update the SE with the best available information. After conveyance arrival the SE filer may only perform an update to the bill of lading, similar to the LN update in ABI.
<b>Q4.</b>	<b><i>For "Documents Required" are filers required to submit via the Document Imaging System (DIS)? If so, what document types does this pertain to?</i></b>
<b>A4.</b>	No, DIS is not supported for the initial pilot, although this is planned for future releases. Currently CBP is leveraging specific port group email boxes that are identified in each specific port for now. There is a major push to incorporate the DIS functionality so that SE filers will have one centralized location to submit documents for an SE.
<b>Q5.</b>	<b><i>If an estimated value is entered, what is the provision to correct a CBP Form 7501, "Entry Summary," after the entry process when the actual value is known?</i></b>
<b>A5.</b>	This does not pose any changes to the current Entry Summary process. The actual value can be submitted once the Automated Commercial Environment (ACE) Entry Summary is filed.
<b>Q6.</b>	<b><i>Will there be any requirements to summarize the data on the Simplified Entry?</i></b>
<b>A6.</b>	No. There are no requirements at this time to summarize the data on the Simplified Entry.
<b>Q7.</b>	<b><i>What is CBP's plan to incorporate Participating Government Agencies (PGAs) in the Simplified Entry Pilot?</i></b>
<b>A7.</b>	Upon the success of the Simplified Entry Pilot, CBP will aggressively move forward to incorporate the PGA Message Set within the Simplified Entry Pilot.

<b>Q8.</b>	<b><i>Will the tariff be updated with the PGA indicators?</i></b>
<b>A8.</b>	Yes, CBP will coordinate these details.

**Bill of Lading**

<b>Q1.</b>	<b><i>Will CBP provide a method in which to identify a Simple Bill, as is it does with Importer Security Filing, (Master Bill of Lading, Ocean Bill of Lading/Simple Bill, House Bill of Lading)?</i></b>
<b>A1.</b>	There is a Simple Bill indicator in the SE15 since this is a type of bill that is submitted by the carriers.
<b>Q2.</b>	<b><i>What should go in the mandatory field for issuer code for an Air House Bill of Lading? For an Air Master Bill of Lading or straight bill, would a filer report the International Air Transport Association (IATA) two (2) alpha or the three (3) numeric, or is it not needed as the three (3) numeric is part of the Airway Bill?</i></b>
<b>A2.</b>	For the pilot in the Air Mode this field is not required.

**Pilot Requirements**

Q1.	<b><i>I did not see any reference to a Customs bond number, bond effective date, or surety code. Can you advise if bond data is a requirement to expedite cargo release, where the data would appear, and how a Surety would be notified of bond utilization under Simplified Entry?</i></b>
A1.	For the initial pilot phase, all participants must have a continuous bond on file; therefore, these records would not be included in this phase. For future pilots, CBP is exploring the option of adding Single Transaction Bond capability.
Q2.	<b><i>When a filer submits a Simplified Entry, is the CBP Form 3461, “Entry/Immediate Delivery” to be used to communicate the Delivery Authorization?</i></b>
A2.	For those filers utilizing the Simplified Entry data set, the Simplified Entry data filing will replace the 3461. The filers will be able to use the screen print from their ABI software that shows the Release from CBP and certain data elements need to be on the screen print. For example: piece count, AWB number at the house and master or simple bill level, etc. The interim use of a screen print is intended for presentation and recordkeeping needs for non-Automated CFS’s per the recently issued CBP guidance on this.
Q3.	<b><i>Is there any change in the print requirements to the CBP Form 3461 in this case since many of the data elements on the form are not required for Simplified Entry?</i></b>
A3.	See question above.
Q4.	<b><i>If a Simplified Entry is filed for the full quantity on a House Bill of Lading and the Air Automated Manifest System (AMS) system shows that the House Bill has been split, will the Simplified Entry be rejected?</i></b>
A4.	CBP is designing the system that if the bill splits, then it will not process the Simplified Entry, since the entry will not have either the “A” or the “B” record. This still requires further analysis from CBP, but ultimately if a split occurs, the Simplified Entry will need to be cancelled and a traditional entry should be submitted for shipment.

**Simplified Entry Data Elements**

<b>Q1.</b>	<b><i>The Customs and Trade Automated Interface Requirements (CATAIR) chapter does not indicate that Simplified Entry is Automated Commercial Environment (ACE) only. Is it?</i></b>
<b>A1.</b>	Yes, Simplified Entry is an ACE transaction and an ACE Entry Summary (AE) must follow the Simplified Entry transaction.
<b>Q2.</b>	<b><i>The marking on the CATAIR may be confusing to the Trade as it is not marked as "ACE CATAIR," but just "CATAIR;" will CBP be modifying this?</i></b>
<b>A2.</b>	Yes, CBP will work with its Client Rep Branch and the OIT Development Team to ensure the CATAIR markings are properly aligned and it conforms to the ACE CATAIR format.
<b>Q3.</b>	<b><i>What are the CATAIR Application Identifier codes for the Simplified Entry input and response transactions? These are missing from the CATAIR (for example, the CBP Form 7501 input/response application identifiers are "AE" and "AX").</i></b>
<b>A3.</b>	Yes, the identifier codes are 'SE' for entry submissions, 'SX' for data accept/reject and 'SO' for entry status.
<b>Q4.</b>	<b><i>When is the finalized Simplified Entry data set expected to be completed and distributed?</i></b>
<b>A4.</b>	Currently there is a Final Draft of the SE CATAIR that can be used during the pilot for Production and this DRAFT is consistent with the rules and guidelines for the pilot. A Final DRAFT that would take into account all entry types, MOT's, In-bonds, RLF and any other entry functionality is currently being worked on by CBP and will be available for review in the future.
<b>Q5.</b>	<b><i>The CATAIR or FRN does not state that the Manufacturer must be associated with a Harmonized Tariff System (HTS) number. Since this is required for Importer Security Filing, must a Filer do the same here – preceding the SE45 with the SE30-35 that relate to those lines?</i></b>
<b>A5.</b>	The current published CATAIR is a draft document and is still subject to change. A Manufacturer is still required for each HTS number; however, it can be reported at the line level or the header level if it applies to all lines.
<b>Q6.</b>	<b><i>What is the application identifier for the message to CBP, and, for the response to the Trade?</i></b>
<b>A6.</b>	The identifier codes are 'SE' for entry submissions, 'SX' for data accept/reject and 'SO' for entry status.
<b>Q7.</b>	<b><i>Will there be line numbers on admissions or responses in order for Pilot</i></b>

	<b><i>participants to identify them when they receive an error?</i></b>
A7.	Yes, there will be line numbers.
Q8.	<b><i>How many data elements will be required for filers to submit a Simplified Entry filing?</i></b>
A8.	There are 12 required data elements, plus three optional ones. These optional elements are voluntary. Deployment of Simplified Entry in future modes of transpiration may require additional data elements. For additional information on the data elements, refer to FRN shown at – <a href="http://www.gpo.gov/fdsys/pkg/FR-2011-11-09/pdf/2011-29055.pdf">http://www.gpo.gov/fdsys/pkg/FR-2011-11-09/pdf/2011-29055.pdf</a>
Q9.	<b><i>Comparing the 27 data fields on the CBP Form 3461 with the Simplified Entry list of 12 required data elements and three (3) optional data elements: Please confirm CBP is requesting more information on parties (i.e. addresses)? Why is CBP not requiring Quantity as a data element? Please confirm CBP is not requiring the Arrival Data, Elected Entry Date, or Port? Please confirming CBP is not requiring Certification?</i></b>
A9.	See above response. There are 12 required data elements for Simplified Entry, plus three optional ones. These optional elements are voluntary. Deployment of Simplified Entry in future modes of transpiration may require additional data elements. For additional information on the data elements, refer to FRN shown at - <a href="http://www.gpo.gov/fdsys/pkg/FR-2011-11-09/pdf/2011-29055.pdf">http://www.gpo.gov/fdsys/pkg/FR-2011-11-09/pdf/2011-29055.pdf</a>
Q10.	<b><i>With respect to the SE35 record, there is also a record for unstructured street address. Can Pilot participants repeat that record?</i></b>
A10.	The SE35 record can be repeated 3 times for each party being reported. The SE35 record supports the reporting of both structured and unstructured addresses.
Q11.	<b><i>Should the Bill of Lading being sent in the SE15 record be at the lowest level? If sending the House Airway Bill, do filers need to send an SE15 with the Master also?</i></b>
A11.	Here is how the SE filer should be reporting the bill in the SE15 record: House Bill of Lading – use an SE15 record with Bill Type Indicator “M” to report the Master Bill of Lading Number (including the AWB prefix) followed by another SE15 with Bill Type Indicator “H” and the House Bill of Lading Number; do not report an issuer code. Simple Bill of Lading – use a single SE15 record with Bill Type Indicator “R” to report the

	<p>Simple Bill of Lading Number (including the AWB prefix); do not report an issuer code.</p> <p>Express Carrier Tracking Number – use a single SE15 record with Bill Type Indicator “T” to report the Tracking Number (including the AWB prefix); do not report an issuer code.</p> <p>CBP’s system will match up to the carrier data and then update the Master and flight accordingly.</p>
<b>Q12.</b>	<b><i>What is the definition of the country sub entity code on the SE36 record?</i></b>
<b>A12.</b>	That is a state or province code where the city is located in the country. CBP will input a link to the United Nations website for this purpose.
<b>Q13.</b>	<b><i>For the SE30, what Entity Identifier Qualifier do filers use for the Manufacturer/Supplier? Is it the MID (Manufacturers Identification Number)?</i></b>
<b>A13.</b>	The identifier is not supported for Manufacturer/Supplier, the name and address must be supplied. Valid identifiers for other parties can be found in the SE CATAIR on page SE-16.
<b>Q14.</b>	<b><i>Should the MF and CN be reported at the line level if there is only one MF and CN entity to be reported for the entire entity?</i></b>
<b>A14.</b>	Current CBP design allows MF (or CN) to be reported at the header level, or at the line level. Any party identified in the header level will be tied to every line if they are the same party. An example is if there are two (2) line items with two (2) MFs, but one seller. The seller is reported at the header level and the two (2) MFs are reported at the line level.
<b>Q15.</b>	<b><i>The message set includes no dates, what date will be used to validate tariff selection?</i></b>
<b>A15.</b>	CBP will use the Simplified Entry filing date, which is the date the filing is received by CBP, to validate the tariff selection.
<b>Q16.</b>	<b><i>If the Pilot is going to be an ACE system release, will this take into consideration an expansion of the line number instead of the current 999 restrictions?</i></b>
<b>A16.</b>	CBP is looking to expand the limitations, but do not expect to expand near the 9,999 level proposed by Entry Summary. The reason why we are not able to expand to 9,999 line items is due to ACS. All of Cargo Release still resides in ACS and majority of Entry Summary filings are in ACS. Once we move these filings to ACE then this may be considered.
<b>Q17.</b>	<b><i>At what point should the Update Action code be set to an ‘R’ rather than an ‘A’?</i></b>
<b>A17.</b>	When an SE has been accepted and the conveyance has been arrived thus the bill is arrived only an Update action will be allowed. Before the conveyance has been arrived an action code of Replace may be sent for the SE.

<b>Q18.</b>	<b><i>If a transaction is sent and accepted, should subsequent re-sends of that entry be sent as an 'R'?</i></b>
<b>A18.</b>	Yes, because it has been accepted as a complete record.
<b>Q19.</b>	<b><i>Once an Acceptance has been received on the SX transaction, if a subsequent send of an entry is rejected, is the entry still stored on the CBP system? So that a re-send of that entry would still be sent as an 'R'?</i></b>
<b>A19.</b>	Yes, it is still stored since the replace failed and any re-sends will still require an action of 'R' since the record originally was accepted and is stored as a completed record.



Cargo Release

<b>Q1.</b>	<b><i>Because there are no dates filed on the Entry Summary process, when does the clock start, upon release, or, the actual date of arrival?</i></b>
<b>A1.</b>	The clock will start after arrival or release, whichever is later.
<b>Q2.</b>	<b><i>If the entry is released as an Entry Type 01 using Simplified Entry and later determined to be an entry type that is not ACE eligible, what will be the procedure for this?</i></b>
<b>A2.</b>	The Simplified Entry will need to be cancelled and a regular entry submission will be required.
<b>Q3.</b>	<b><i>Is Simplified Entry considered an ACE release?</i></b>
<b>A3.</b>	Simplified Entry is an initial installment of establishing ACE release functionality and considered a modernization element.
<b>Q4.</b>	<b><i>At what point is a delete transaction required for an SE, if the broker determines that the entry won't meet all the Simplified Entry criteria?</i></b>
<b>A4.</b>	This is currently being reviewed by CBP to make a determination that the Trade will be able to delete an SE after it has been accepted and a response (SO) has NOT been issued stating that there is a bill match. Once there is a bill match either by an ACAS or AAMS filing and an entry disposition has been issued the SE is considered to be in CBP status and a Delete action will not be allowed. The SE filer would need to request the SE to be canceled and normal cancellation procedures need to be followed per CBP Directive 5610-006A.
<b>Q5.</b>	<b><i>Is a delete required if an SE transaction has been sent one or more times, but each SE transaction has been rejected?</i></b>
<b>A5.</b>	No, because it never was accepted.
<b>Q6.</b>	<b><i>Is a delete required if <u>any</u> transmission of the SE data has been accepted?</i></b>
<b>A6.</b>	A delete will only be allowed for an SE that has been accepted and there is no “match” to an ACAS or AAMS bill filing.
<b>Q7.</b>	<b><i>Or, is there some other criteria that has to be met – for example, only if SO results have been received for the entry?</i></b>
<b>A7.</b>	A delete will only be allowed for an SE that has been accepted and there is no Match to an ACAS or AAMS bill filing.

## Entry Summary Accounts and Revenue

### Master Data and Enhanced Accounts (A1)

**Q1. *What is “Master Data and Enhanced Accounts?”***

**A1.** Master Data and Enhanced Accounts, known as A1, refers to the first set of ACE ESAR capabilities that were implemented during September 2007.

**Q2. *Why is the implementation of A1 important?***

**A2.** The implementation of A1 capabilities will facilitate both CBP and the trade community’s ability to manage accounts. Additionally, the implementation of A1 will essentially provide for (1) the expansion of ACE account types to include virtually every entity doing business with CBP and (2) the establishment of ACE as the official repository for account-related master data. The capabilities included in A1 lay the foundation for future ESAR features that will be deployed in phases and that will redefine and increasingly automate the way CBP does business, ultimately providing an integrated, account-based financial and entry summary processing system in ACE.

**Q3. *What account types are available with the deployment of A1?***

**A3.** With the deployment of A1, ACE Secure Data Portal account types have expanded to include virtually every entity doing business with CBP. The account types available with the deployment of A1 include:

- Broker
- Carrier (all modes)
- Cartman
- Driver/Crew
- Facility Operator
- Filer
- Foreign Trade Zone (FTZ) Operator
- Importer
- Lighterman
- Service Provider
- Surety

For more information regarding the benefits provided by establishing any of these ACE account types visit CBP.gov at:

[http://www.cbp.gov/xp/cgov/newsroom/fact\\_sheets/trade/ace\\_factsheets/ace\\_overview/](http://www.cbp.gov/xp/cgov/newsroom/fact_sheets/trade/ace_factsheets/ace_overview/)

**Q4. *If I manage multiple portal accounts, do I need multiple sign-ons?***

- A4. “Cross-account access” is a feature that allows ACE Secure Data Portal account holders to more easily manage client accounts by allowing them to view multiple accounts (one at a time) with one user ID and password, eliminating the need to sign in and out of ACE. With cross-account access, any ACE user with access to more than one account can navigate from one account to another with a single sign-on.

**Q5. *What is the “merge account” process?***

- A5. The merge account process allows account owners to view the historical data of an acquired company through the ACE Secure Data Portal reporting tool, and add the acquired company to the purchasing company’s ACE Secure Data Portal account.

In order to use the merge account process, all entities must be ACE portal accounts. A “merge” is defined as:

- One trade entity acquiring another trade entity either partially or completely; or,
- A complete merger between two trade entities to become one new entity or the acquiring entity subsuming the other trade entity.

**Q6. *What CBP Form 5106 updates can be made via the ACE Secure Data Portal in A1?***

- A6. With A1 capabilities, importers can create or update their Importer ID Input Record (CBP Form 5106), or designate a broker and create or update the data on the importer’s behalf.

CBP Form 5106 information cannot be updated in ACE if the 5106 is attached to a continuous bond. In order to update 5106 information in an instance where the 5106 is attached to a continuous bond, the importer will have to submit the bond rider to the CBP Revenue Division along with a paper 5106. The CBP Revenue Division can then update the 5106 information in ACE.

**Q7. *With the deployment of A1, will I still need to use a bond rider to update my CBP Form 5106 information?***

- A7. Yes. If the 5106 information is attached to a continuous bond, it cannot be updated in ACE. You will have to submit a bond rider and a paper 5106 to the revenue division. The process for updating the 5106 information in this situation is the same as it is today.

**Q8. *Is there any training available for the trade community on A1, and where would I find it?***

- A8. An introductory Web-based training course on A1, titled “Enhanced ACE Accounts and Master Data” is available on the CBP Modernization Web site at: [http://nemo.cbp.gov/ace\\_online/](http://nemo.cbp.gov/ace_online/), and is highly recommended for anyone interested in

understanding A1 features.

The training may also be accessed directly through the URL:  
[http://nemo.cbp.gov/ace\\_online](http://nemo.cbp.gov/ace_online)

## **Initial Entry Summary Types (A2.2)**

### **Q1. *What capabilities are included in ESAR A2.2?***

**A1.** ESAR A2.2 capabilities provide new portal and EDI capabilities consisting of functionality specific to entry summary processing including ABI Census Warning Overrides, CBP requests through the ACE portal, enhanced portal account management, and ACE Secure Data Portal reporting. Initially, this release of ESAR A2.2 will be limited only to entry types 01 (Consumption Entry) and type 11 (Informal Entry). Remaining entry types will be implemented incrementally and will be announced via subsequent publication in the Federal Register.

### **Q2. *Is there any training available for the trade community on A2, and where would I find it?***

**A2.** An introductory Web-based training course on A2, titled “Multi Modal Manifest and ESAR Enhancements” is available on the CBP Modernization Web site at: [http://nemo.cbp.gov/ace\\_online](http://nemo.cbp.gov/ace_online), and is highly recommended for anyone interested in understanding A2 features.

The training may also be accessed directly through the URL:  
[http://nemo.cbp.gov/ace\\_online](http://nemo.cbp.gov/ace_online)

### **Q3. *Does the functionality in ESAR A2.2 allow me to override a Census warning?***

**A3.** Yes, Census warnings may be electronically overridden for ACE entry summaries prior to or after receiving a Census warning message through ABI. There will also be an ACE Census Warning ABI Query for unresolved warnings.

### **Q4. *How can I tell whether my entry summaries were filed in ACE or ACS?***

**A4.** All Account Management Detail Reports now contain the new data element “System Control Code.” For entry summaries transmitted on or after April 12, 2009, the “System Control Code” field will read ACE or ACS. For entry summaries transmitted before April 12, 2009, the field will be blank.

### **Q5. *Can brokers run the ESM 7025 CBP Forms 28, 29, and 4647 status report?***

**A5.** Yes, brokers will be able to run ESM 7025. This report includes ACE and ACS entry summaries.

### **Q6. *Can brokers respond to CBP Forms 28, 29, 4647 through the ACE portal?***

**A6.** Brokers can respond to CBP Forms 28, 29, 4647 through the ACE portal if the importer has granted the broker access to the importer’s portal account.

**Q7. What formats will CBP accept as attachments?**

**A7.** CBP should be able to accept the formats listed below as attachments; however, all ports may not yet have all the required software. CBP port personnel will contact the respondent if they are unable to open the attachment. Preferable formats are marked with asterisks (\*):

<u>Extension</u>	<u>Application</u>
123	Lotus 123 Application
*BMP	Windows Bitmap Format
*CSV	Comma Separated File
*DOC	Microsoft Word Application
FAX	Internal Format for TIFF Files
*GIF	Graphics Interchange Format
*HTM	Hypertext Markup Language Format
*JPG	Joint Photographic Experts Group Format
LWP	Lotus WordPro Application
MDB	Database (Microsoft Access)
MOV	QuickTime Movie
MPP	Microsoft Project Application
MSG	Outlook Mails
*PDF	Portable Document Format
*PPT	Microsoft PowerPoint Application
*RTF	Rich Text Format
*TIF	Tag Image File Format
*TXT	Text Format
*VSD	Visio Application
*XLS	Microsoft Excel Application
XML	Extensible Mark Language

**Q8. *Is there a limit on the size of an attachment?***

**A8.** Yes, individual attachment size cannot exceed 20 MB.

**Q9. *If I receive a CBP form 28, 29, or 4647 through the ACE portal, do I have to respond through the portal?***

**A9.** If an importer receives a CBP form 28, 29, or 4647 in their ACE portal account, they are not required to respond to the request through the ACE portal. The portal is an option; the importer can still present the paper documentation at the port. Additionally, the broker may also respond on the importer's behalf.

**Q10. *Does CBP have the ability to research importer responses to CBP Forms 28, 29, and 4647 nationally?***

**A10.** Yes, these forms are associated to the specific importer. For example, when a CBP Import Specialist in New York looks at an importer located in Miami, the CBP Import Specialist will be able to see any Form 28, 29, and 4647s issued against the importer in Seattle. ACE is a National Account based system.

**Q11. *As a broker, if I select portal as my mode of communication, will I be able to view CBP Forms 28, 29, and 4647 through the ACE portal?***

**A11.** Brokers will not be able to view CBP forms through their ACE portal account. Brokers will continue to receive their courtesy copy of the forms as they do today. Brokers responding to CBP forms on behalf of their clients may do so through the importer's portal account or present the paper documentation at the port. In order to reply through the ACE Portal, importers will need to grant brokers the appropriate access.

**Q12. *Can brokers respond to a post summary request for additional documentation through the ACE portal?***

**A12.** Yes, brokers can respond to a request for post summary "documents required" through their ACE portal account for ACE filed entry summaries.

**Q13. *In A2.2, is there a method for a Trade Account Owner or their representative to cancel, delete, or modify a declaration they submitted, such as a blanket AD/CVD reimbursement statement?***

**A13.** The trade can cancel a declaration record. The trade cannot delete a declaration record once it has been submitted. Once a declaration record is submitted, the ONLY change that can be made is with regard to the status as "cancel." NO modification to data or attachments is permitted.

**Q14. *Can we post Toxic Substances Control Act (TSCA) certificates in the portal?***

**A14.** No, the only blanket declarations that can be posted in the portal are:

- Affidavit of Manufacturer
- Importer Certifying Statement
- Non-Reimbursement Blanket Statement (Antidumping/Countervailing Duty AD/VD)
- North American Free Trade Agreement (NAFTA) Certificate of Origin

**Q15. Are declarations only applicable to ACE entry summaries or can declarations be posted for all entry summaries?**

**A15.** Declarations can be posted for all entry summaries. There is however no electronic tie to the entry. If the trade provides a blanket declaration, CBP will have to search in the portal for the declaration and then do a manual match.

**Q16. When is the declaration vetted by CBP?**

**A16.** Declarations are not vetted at the time of filing. They are vetted as needed, in due course.

**Q17. If there is a problem with the declaration and CBP cancels it, is there a notification via the portal?**

**A17.** No, there is not a portal notification to the importer. Notification is done by phone or email.

**Q18. Is the expectation that trade can direct a port to ACE if they are asking for blanket declarations that the importer has already created in ACE?**

**A18.** Yes.

**Q19. Will that be made clear in instructions to the trade as well as CBP?**

**A19.** Yes, there is a policy document from CBP, the Business Rules and Process Document – Trade which is posted on CBP.gov under Trade/Ace Entry Summary Process and Policy.

**Q20. If the importer or their designated agent created a declaration in ACE are they required to attach a copy of the declaration?**

**A20.** The NAFTA Certificate of Origin requires that a copy of the official document be attached to complete the posting of the declaration record. The trade is not required to scan and attach a signed copy of a blanket AD/CVD Non-Reimbursement Certificate; however, CBP reserves the right to request a copy.

**Q21. Does the new “Declarations” function in ACE constructively satisfy the requirement to provide an ADD Blanket Non-Reimbursement Statement to each port before liquidation?**

**A21.** Once the trade submits the AD/CVD Non-Reimbursement Certification in ACE, it is considered to be submitted according to CBP regulations and filed at every port of entry.



### **Additional Entry Summary Type (A2.3.1)**

#### **Q1. *What capabilities are included in A2.3.1?***

**A1.** ESAR A2.3.1 provides new Portal and EDI capabilities specific to the filing and processing of AD/CVD entries (also known as type 03 entries) and AD/CVD Case Management. Additionally, importers with an ACE portal account who select “portal” as their mode of communication will now also be able to view and respond to CBP Forms 28, 29 and 4647 via the ACE Portal for all entry summaries (that is, both ACS and ACE entry summaries).

#### **Q2. *Is there any training available for the trade community on A2.3.1, and where would I find it?***

**A2.** An introductory Web-based training course on A2.3.1, titled “Forms, Declarations and AD/CVD Cases” is available on the CBP Modernization Web site at: [http://nemo.cbp.gov/ace\\_online](http://nemo.cbp.gov/ace_online), and is highly recommended for anyone interested in understanding A2.3.1 features.

The training may also be accessed directly through the URL: [http://nemo.cbp.gov/ace\\_online](http://nemo.cbp.gov/ace_online)

#### **Q3. *How do I access the AD/CVD capabilities in the portal? Is this functionality available to all account users?***

**A3.** All account users will have access to the AD/CVD capabilities. Under the “References” tab, account users can select either the “AD/CVD Cases Search” or “AD/CVD Messages Search” hyperlink from the “task selector.”

#### **Q4. *What is meant by “AD/CVD Case Management?” How will this release improve my ability to track AD/CVD cases?***

**A4.** This release of ACE provides portal account users with the ability to search, display, and print both AD/CVD case information and AD/CVD messages. Portal account users will also have access to important case information such as the duty deposit rates, entry summary suspension status, bond/cash status, administrative review information and events related to the case history (e.g., “Initiation,” “Preliminary,” “Final,” “Order,” “Terminate”). Other useful information such as additional header data elements (e.g., “message status,” “Federal Register Notice cite,” “Federal Register Notice publication date,” “court order number”) are located in one convenient location. All of this information facilitates the trade’s ability to track the lifecycle of an AD/CVD case. Please note that the FRN cite on the “Events” sub-tab will not display for cases entered **before** February 14, 2010. Additionally, no data is displayed on the “AR” sub-tab for cases entered **before** February 14, 2010. Cases converted from ACS also do not include all information.

#### **Q5. *Are there any AD/CVD reports with this release?***

**A5.** Yes, portal account users have access to the following new reports:

- **ESM 8027 (Trade Aged Liquidation AD/CVD Entry Summary Report):** This report displays all non-liquidated AD/CVD entry summaries as well as those liquidated within the past year. The liquidated entry summaries are displayed in two aging buckets: one representing entry summaries liquidated in the past 180 days; the other representing those liquidated during the period from 181 days past to one year ago.
- **AD 8027 (Trade Aged Liquidation AD/CVD Entry Summary Extract Report):** This report extract provides the same information as ESM 8027. This extract will return up to one million records and must be scheduled.

Additionally, users will be able to modify the following two reports to include AD/CVD information:

- **ESM 7008 (Entry Summary Line Detail Report):** This report is an enhancement to the existing AM 008 (Account Management Entry Summary Line Detail Report).
- **ESM 7068 (Entry Summary Report):** This report is an enhancement to the existing AM 068 (Account Management Entry Summary Report).

**Q6. *What specific enhancements will be made to the current forms functionality?***

**A6.** Importers with an ACE portal account who select “portal” as their mode of communication will now be able to view and respond to CBP Forms 28, 29, 4647 via the ACE Portal for all entry summaries (that is, both ACS and ACE entry summaries).

**Q7. *How can I tell if CBP has sent me a CBP form 28, 29, or 4647? Do I need to check all of my IR numbers?***

**A7.** This most recent ACE release will bring a paradigm change in the way the trade will be operating with respect to forms. Trade members will need to go into the portal on a weekly basis to check for forms. Forms will appear on the “Home” tab for all IR numbers in the account list. Importers will also be able to search for a form at the IR level. For more detailed instructions pertaining to forms, please check the “Receiving and Responding to CBP Forms” user guide, currently posted on [CBP.gov/Modernization](http://CBP.gov/Modernization).

**Q8. *As a broker, will I be able to create declaration records for my non-portal account clients?***

**A8.** Yes, brokers with an ACE portal account will now be able to create declaration records for their non-portal accounts. Brokers with clients possessing their own importer portal accounts, however, will not be able to create declaration records on behalf of those clients. Brokers will have to be granted access as a “user” on the importer’s portal account in order to create the declaration records. Brokers will also be able generate a Trade Declaration report by running AM 7002. For more information on Declarations, please visit [CBP.gov/Modernization](http://CBP.gov/Modernization) where you will find the updated “Declarations User Guide.”

**Q9. *If I am a broker with an ACE Portal account, am I able to respond to forms on behalf of my importer through my portal account?***

**A9.** No, however importers with ACE Portal accounts can grant their brokers access to their portal account to respond to forms on their behalf. In addition brokers will be able to run ESM 7025 (CBP Form 28, 29, 4647 Status Report) to view all CBP Forms 28, 29s and 4647 issued to them. Brokers will continue to receive their courtesy copy through the mail.

**Q10. *As an EDI participant, what can I expect with this release?***

**A10.** EDI trade participants are able to file entry summaries electronically in ACE for entry types 03 using a better organized, more descriptive ACE ABI CATAIR (Customs and Trade Automated Interface Requirements) document. Filers have the ability to run an ABI query of AD/CVD case information. Information returned in the query output includes data required by ABI filers to successfully file anti-dumping or countervailing duty entry summaries in ACE.

**Q11. *Where can I find the declaration number?***

**A11.** The declaration number is provided on the confirmation screen when the user has successfully

created a declaration record in ACE. Importers will need to provide this number to their filers as appropriate for ACE AD/CVD entry summaries. The declaration number can be submitted as part of the filer's EDI transmission on the 53 record.

**Q12. Who can see the declaration record once it is created?**

A12. Once the declaration record is created in the ACE portal it is viewable nationwide by CBP.

**Q13. Has the ACE Business Policy document been revised to include the changes with this new release?**

A13. The ACE Business Policy document has been revised to include changes for the A2.3.1a release. This document will continue to be updated to keep up with new functionality. For more information on the ACE Business Policy Document, visit [CBP.gov/Modernization](http://CBP.gov/Modernization).

**Q14. Currently in ABI we do not have an edit against specific rate; this is manually calculated by the user. Will that change with ACE? Will the edit be more restrictive?**

A14. In general, ACE will have “validations” which will include:

- The specific rate reported in the AE must match the case specific rate;
- The AD/CVD value of goods amount in the 53-record must be zero;
- The AD/CVD quantity in the 53-record must be greater than zero; and
- The AD/CVD duty submitted in the 53-record must match the calculated duty.

**Q15. Is Remote Location Filing (RLF) available for entry type 03 entries?**

A15. No, RLF is limited to type 01 and 11 ACE entry summaries at this time.

**Q16. Where can I find more information on this release?**

A16. CBP has posted ACE web-based training (WBT) titled “ACE Forms, Declarations and AD/CVD Cases” on [CBP.gov/modernization](http://CBP.gov/modernization) under the “Training and Reference Guides” section. Additionally, CBP has posted updated sections of the ACE User Guide reflecting detailed instructions on using the A2.3.1a capabilities. The section is titled, “AD/CVD Cases and Messages” and provides instructions on searching and printing information related to AD/CVD cases and messages. To access this section, go to [CBP.gov](http://CBP.gov) under ACE Modernization/Training & Reference Guides/ACE Portal Accounts Management. The updated sections are as follows:

- “Blanket Declaration Records” provides instructions on creating, searching and printing declaration records for portal and non-portal accounts. To access this updated section, go to [CBP.gov](http://CBP.gov) under ACE Modernization/Training and Reference Guides.
- “Running ACE Reports for all Importer, Broker, and Surety Trade Users” provides information on basic functionality of the ACE Reports Tool and outlines detailed instructions on how to access available reports (including standard, modified, customized, and automated data extract (ADE) report). To access this updated section, go to [CBP.gov](http://CBP.gov) under ACE Modernization/Training and Reference Guides.

- “ACE 101” provides an overview of the ACE Secure Data Portal as well as current and future ACE features. To access this updated section, go to CBP.gov under ACE Modernization/What is ACE.

**Q17. *What is an importer certifying statement? Does this cover the Toxic Substances Control Act (TSCA)?***

**A17.** An importer certifying statement is a statement made by an importer indicating that they qualify for a free trade agreement or tariff preference program. The importer certifying statement does not cover TSCA.

**Q18. *When selecting “AD/CVD Messages Search” what is the “Message Date?”***

**A18.** The message date is the date the message is put into “active” status by the CBP AD/CVD Branch.

## **Importer Security Filing (ISF)**

### **Q1. *How do I launch the ISF Portal?***

**A1.** Access to the ISF Portal is found under the “References” tab. After selecting the “References” tab the “Task Selector” portlet and the “Importer Security Filing (ISF) Information” portlet will display. Select the “Launch ISF” button to display the ISF Portal.

### **Q2. *Who can see the ISF Portal?***

**A2.** Initially only the Trade Account Owner (TAO) can view the link or the ISF Portal. The link and portal will display to other users when the Trade Account Owner has granted them access.

### **Q3. *How do I grant access to the ISF Portal to an existing User?***

**A3.** To grant access to the ISF Portal to an existing user, follow these steps:

1. Select the “Tools” tab
2. Select “User Access”
3. Select the user’s last name link in the “Last Name” column from the list of names displayed
4. If you have success to more than one Top Account, you are required to select the account to which you wish to grant access
5. Select the “Select and Continue” button
6. After a screen displays the selected user’s current role and whether or not the user has access to the Top Account, select the “Continue” button
7. The “Account User Information” portlet will display
8. Select the “Edit” button in the “Single Sign-on Partner Access” portlet to assign individual access privileges.
9. A new screen will display, change the radio button to “Yes” for “Access to ATS ISF”, and select “Continue”
10. Another new screen will display and select the “Authorized ATS ISF Portal Role Access”
11. Highlight the role in the “Available” box and use the “Add” arrow to move the role to the “Selected” box. Repeat this step for all the roles you want to assign the user
12. Select the “Continue” button
13. When finished granting access, select the “Save” button

**Q4. What are the roles within “Authorized ATS ISF Portal Role Access” that I can assign?**

**A4.** The following are the roles and their definitions;

Role:	Definition:
ATS_ISF_AQUSR	Advanced Query User – This role is TBD
ATS_ISF_ARUSR	Advanced Report User – This role is for C-TPAT Tier 3 Importers. Users will have access to ISF transaction reporting capabilities (this functionality is planned for the future)
ATS_ISF_AUSR	Advanced User – This role is TBD
ATS_ISF_QUSR	Query User – This role is for a user to query the status of their ISF by transaction and bill of lading number (this functionality is planned for the future).
ATS_ISF_RUSR	Report User – This role is for VOCs, NVOCCs, Importers, Sureties, Brokers, and Filers. Users will have the ability to view standard progress reports.
ATS_ISF_USR	User – This role is for importers only. Importers who file infrequently will have the ability to file and amend an ISF through the ISF Portal. Note: No more than 12 ISFs can be filed a year through the ISF Portal

**Q5. Are there other ways I can assign access privileges?**

**A5.** Yes, you can also assign access privileges by selecting either the “Read-Only Access for All” button or the “Full Access for All” button.

**Q6. What happens if I select the “Read-Only Access for All” button?**

**A6.** When you select the “Read-Only Access for All” button, access to the ISF Portal will be set as “Yes” and all ISF portal roles will be granted for the selected user.

**Q7. What happens if I select the “Full Access for All” button?**

**A7.** When you select the “Full Access for All” button, access to the ISF Portal will be set as “Yes” and all ISF portal roles will be granted for the selected user.

**Q8. Can I revoke the access privileges?**

**A8.** Yes, when you select the “Revoke Access” button, access to the ISF Portal will be set as “No” and all ISF portal roles will be revoked for the selected user.



**Q9. *Is there another way I can revoke access privileges?***

- A9.** Yes, a Trade Account Owner or a Proxy Trade Account Owner can revoke a user's access to all accounts or specific functionality by following the below steps:
1. Select the "Tools" tab
  2. After selecting "User Access" a list of users will display
  3. Select the user's last name link in the "Last Name" column
  4. If you have access to more than one Top Account, you will be required to select the account to which you wish to revoke access
  5. Select the "Select and Continue" button and a screen will display indicating the user's current role and whether or not the user has access to the Top Account
  6. Select the "Continue" button and the "Account User Information" portlet displays
  7. Select the "Edit" button in the "Single Sign-on Partner Access" portlet to remove individual access privileges
  8. When a new screen appears change the radio button to "No" for "Access to ATS ISF" to remove access to the ISF Portal
  9. Select "Continue" and then select "Save" to save the changes.

**Q10. *Can I submit my ISF through the ISF portal?***

- A10.** Importers who file infrequently will be allowed to file and track 12 or fewer ISFs annually through the ISF Portal. When an importer accesses the ISF Portal, five tabs will be displayed. Four of these tabs are for use by importers who are infrequent filers and used to create, view, and search for an ISF through the ISF Portal.

**Q11. *When is an ISF considered "not timely" filed?***

- A11.** An ISF is considered not timely if it is accepted after 24 hours prior to vessel departure. If an accepted ISF is later replaced, the original file date is retained for determining timeliness.

## **ISF Reports**

### **Q1. *Where do I find the Importer Security Filing (ISF) reports?***

**A1.** Access to the ISF Portal is found under the “References” tab in the ACE Portal. This gives access to the Importer Security Filing “Launch ISF” button and subsequent access to the Importer Security Filing Portal.

### **Q2. *Who can view the ISF reports?***

**A2.** Reports are available to importers, brokers, carriers, sureties, and the filer of the ISF.

- Access to users to view the ISF link is granted by the Trade Account Owner.
- The Trade Account Owner also may grant Cross Account Access to the ISF Portal.
- Importers will have access to progress reports that were previously emailed to them. The email subscriptions ended December 31, 2011.

### **Q3. *Can the ISF reports be downloaded?***

**A3.** Yes, the reports can be downloaded in a Portable Document Format (PDF) or an Excel format, depending on the type of the report.

### **Q4. *When will the ISF reports be available?***

**A4.** Users will need to subscribe to an ISF report before it can be generated. Reports should be generated over night and be available for viewing the next day. Reports for the previous month will be delivered once a month and should be available by the 10th day of the following month.

### **Q5. *How do I access the ISF reports?***

**A5.** After selecting the “Launch ISF” button the ISF Portal will display five tabs for the Trade Account Owner under the importer view. The first four tabs are for use by the infrequent importer to create, view, and search for an ISF through the ISF Portal. The “Reports” tab is where the ISF reports are located. Users need to subscribe to a report before it is generated. Tabs displayed to the Proxy Trade Account Owner and Trade Users may vary based on access privileges assigned by the Trade Account Owner.

## Periodic Monthly Statement

**Q1. *Must the importer and/or broker participate in ACE to be eligible for Periodic Monthly Statement? Who determines if an importer is eligible?***

**A1.** If the importer is a self-filer, they must be an ACE account. If the importer utilizes a broker, the broker must have an ACE account. The paying party must utilize Automated Clearinghouse (ACH) debit/credit and have a continuous bond on file with CBP. For details on eligibility requirements and how to apply for participation, please visit the link:  
[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_welcome/ace\\_periodic\\_monthly\\_statement/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_periodic_monthly_statement/)

**Q2. *Can a foreign importer of record become an ACE participant and take advantage of periodic payment?***

**A2.** A foreign importer of record can become an ACE participant and take advantage of Periodic Monthly Statement payment, if the importer has a resident agent with a U.S. address. The U.S. business address provided to CBP can be that of his broker.

**Q3. *If a broker becomes an ACE account, can he select to have all of his entry summaries paid under Periodic Monthly Statement, regardless if the importer is an ACE account?***

**A3.** A broker that becomes an ACE account can submit entry summaries under Periodic Monthly Statement on behalf of their importers that are not ACE accounts. The importer, however, must still be approved for Periodic Monthly Statement and must send in the required information to CBP. For ACE application information, please visit:  
[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_app\\_info/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_app_info/)

**Q4. *I am a new ACE participant as a customs broker. I was under the impression that as an ACE approved broker we could get periodic statement privileges for our entries, but it appears that each importer has to be first approved individually. Is this correct?***

**A4.** Correct. Each importer must apply and be approved for periodic payment before the broker can begin flagging entry summaries on their behalf.

**Q5. *Where can I find a phone number to contact someone about periodic monthly payments?***

**A5.** For business or technical questions on Periodic Monthly Statement payments, please contact your Automated Broker Interface client representative. For questions concerning payments you made on Periodic Monthly Statements, please

send an email to [PMSUsermailbox@cbp.dhs.gov](mailto:PMSUsermailbox@cbp.dhs.gov).

**Q6. *Can an importer use a broker's ACH account at this time?***

**A6.** An importer can have their entries appear on a broker statement if the importer has been approved for Periodic Monthly Statement and if the broker has an ACE account. However, when a broker statement is paid, the broker's ACH Debit payer unit number must be used (just like regular Daily Statements in ACS today).

**Q7. *Can the importer participate in Periodic Monthly Statement without a broker?***

**A7.** Yes, an importer with an ACE account can have Periodic Monthly Statements without using a broker as long as they themselves have a filer code within their ACE Account, thus giving them a "broker view" within ACE.

**Q8. *If both the broker and the importer have signed up, from whose ACH account is the Periodic Monthly Statement paid?***

**A8.** That is a business decision between the importer and the broker. The ACH account that will be debited for periodic payments can be either the broker's or importer's.

**Q9. *Is a broker who acts as the importer of record eligible for periodic payment?***

**A9.** Yes. Brokers are eligible to participate in Periodic Monthly Statement for all entries where they are the importer of record.

**Q10. *Are duty free entries allowed on a Periodic Monthly Statement?***

**A10.** Duty free entries can be scheduled for the Periodic Monthly Statement process. However, when this is done, the Periodic Monthly Statement will not include these entries if you are viewing the statement via the ACE portal. If a Periodic Daily Statement has no money due (all duty, tax, and fee-free entries) then the Periodic Daily Statement will be listed on the Periodic Monthly Statement. When this occurs, the trade community must still submit a \$0 PN (Periodic Daily Statement ACH Debit Authorization/Entry Summary presentation) transaction.

**Q11. *How do I indicate the month which an entry summary will appear on the monthly statement?***

**A11.** The CATAIR Entry Summary chapter (EI) has a new data element in the 30 record to designate the numeric month (MM) when the entry summary should appear on the preliminary periodic monthly statement. There is an edit to ensure that the statement month is equal to or greater than the print date.

**Q12. *When will an entry summary appear on the Periodic Monthly Statement?***

**A12.** Entry summaries do not become part of the Periodic Monthly Statement until the PN transaction is processed for a particular Periodic Daily Statement. The PN relates to a specific Periodic Daily Statement. The entry summary appears on the Periodic Daily Statement. What appears on the Periodic Monthly Statement is the Periodic Daily Statement Number that listed the specific entry summary. When the EI transactions are filed, the filer identifies the Periodic Monthly Statement on which they should appear.

**Q13. *Are any changes required for ACH credit?***

**A13.** Under Periodic Monthly Statement ACH Credit, participants will have to transmit the PN transaction through ABI for all Periodic Daily Statements. Today, for regular daily statements, ACH Credit participants provide their financial institution with the daily statement number and dollar amount for regular daily statements. For Periodic Monthly Statement, ACH Credit participants will provide the Periodic Monthly Statement number and the dollar amount to their financial institution.

**Q14. *Who controls the print date for the preliminary Periodic Monthly Statement?***

**A14.** For broker statements, Payment Type Indicator 6, the broker controls the print date. For importer statements, Payment Type Indicator 7 or 8, the importer controls the print date. The default print date for all preliminary monthly statements is the 11<sup>th</sup> working day of the month. These dates can be changed on the portal.

**Q15. *Can entry summaries be deleted after the preliminary Periodic Monthly Statement has been generated?***

**A15.** Yes. An entry summary can be removed from a periodic daily statement after the final periodic daily statement has been generated but prior to the payment of the Periodic Monthly Statement.

**Q16. *Can a RLF entry be removed from a periodic statement?***

**A16.** RLF entries cannot be removed from a periodic or regular daily statement. However, the filer can change the payment due date and effectively reschedule the RLF entry for a future daily statement. This gives the filer time to correct the entry summary and contact the port where the RLF was filed to request that the entry be cancelled. Filers cannot change an RLF filed entry from a statement pay type to a non-statement pay type.

**Q17. *Can all entry summaries be included on a Periodic Monthly Statement?***

**A17.** No. The following entry summaries are not allowed to be scheduled in the Periodic Monthly Statement process:

- Entry summaries with IRS taxes
- Reconciliation entries (entry type 09)
- NAFTA duty deferral entries (entry type 08)

**Q18. *Does an importer have to have a continuous bond to participate on Periodic Monthly Statement?***

**A18.** An importer must have a continuous bond on file with CBP to participate in Periodic Monthly Statement.

## Reports

### **Q1. *What information is available on ACE reports for importers and brokers?***

**A1.** There are more than 125 downloadable and customizable reports, based on the account type. There are reports for importers, brokers, truck carriers, and sureties. For importers and brokers there are entry summary, entry summary compliance, cargo entry, and cargo exam reports. Additionally, brokers can access broker management reports. For truck carriers there are reports covering transactions, in-bond and carrier activity. A bond report and surety power of attorney are available for sureties. Users can save reports in Excel, CSV, and PDF format for manipulation and analysis.

More information can be found on reports by visiting:

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_welcome/ace\\_reports/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_reports/).

Web Based Training (WBT) is also available for the trade. To take any of the WBTs, visit the “Training and Reference Guides” section on [www.cbp.gov/modernization](http://www.cbp.gov/modernization).

The training may also be accessed directly through the URL: [http://nemo.cbp.gov/ace\\_online](http://nemo.cbp.gov/ace_online)

### **Q2. *How many years of historical records are being made available to us?***

**A2.** Data available for ACE reports includes the previous four CBP fiscal years plus the current fiscal year. The CBP fiscal year runs October 1 through September 30.

**Q3. *How frequently is data updated in ACE Reports?***

**A3.** Entry and entry summary data are refreshed nightly. Entries filed on Monday should be available for reports run on Tuesday. For truck carriers, transaction data in reports is also refreshed nightly. Compliance data is refreshed monthly, normally around the 25<sup>th</sup> of the month. Bond data is refreshed nightly. Periodic monthly statement is refreshed hourly.

**Q4. *What is the difference between ACE reports and the Authorized Data Extract?***

**A4.** The primary difference between running an ACE detail report and scheduling an Authorized Data Extract is the amount of data returned to the user. The maximum number of rows in an ACE report is approximately 60,000 depending on the report. The Authorized Data Extract will allow the user to extract up to 1,000,000 rows of data.

**Q5. *Is there an Authorized Data Extract available for all account users?***

**A5.** No. At this time, the Authorized Data Extract is only available to importer and broker ACE accounts for Account Management cargo entry, cargo exam, entry summary and entry summary compliance reports as well as Account Revenue reports.

**Q6. *Is there any special software that I need for the Authorized Data Extract?***

**A6.** If the extract is over 65,000 rows where it cannot be opened in a spreadsheet such as Microsoft Excel, you will need a more robust database tool such as Microsoft Access or some other software application that will allow you to open the extract.



**Q7. *Is there any special software that I need to have for the new ad hoc reporting capabilities?***

A7. It is preferable that users have Java 1.5 or 1.6 installed on their computers.

**Q8. *What is the “ACE Portal Reports Dictionary?”***

A8. The “ACE Portal Reports Dictionary” is a reference guide of the most frequently run Account Profile, Account Management and Transactions reports in the ACE Secure Data Portal. The dictionary is designed to enhance the understanding of reports for ACE users, to assist in identifying the report that best fulfills a particular business need and to encourage the overall use of the reporting tool. The dictionary defines each report and its corresponding data objects, making it easier to identify which report will best meet the user’s needs.

**Q9. *Where can I find the reports dictionary?***

A9. Importers, brokers, and carriers can download a PDF version of the dictionary from the link below.

[http://cbp.gov/xp/cgov/trade/automated/modernization/ace\\_welcome/ace\\_reports/ace\\_portal\\_reports\\_dictionary/](http://cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_reports/ace_portal_reports_dictionary/)

“The ACE Portal Reports Dictionary” is also available by selecting the “Help” folder in the reporting tool. A separate dictionary is available for truck carriers, importers, brokers, sureties, CBP and Participating Government Agencies. The various reports dictionaries only covers selected Account Management and Transactions reports.

PGAs who have access to the PGA Resource Center can download the dictionary from the PGA resource center at <http://itds.gov/> under the “PGA User Support” and then “What’s New” section.

## Post Summary Corrections

### **Q1. *What is a Post Summary Correction (PSC)?***

**A1.** The PSC is essentially a new entry summary version and is a full replacement of the entry summary data. CBP considers this to be the importer's "assertion" that it is the most recent entry summary data and is correct. PSC is a means for the importer to make electronic corrections via ABI on entry summary data presented to and accepted by CBP. Each PSC will be a full replacement of the entry summary data.

### **Q2. *Can I still file a post-entry amendment (PEA)?***

**A2.** No, PSC replaces the filing of a PEA for ACE Entry Summaries. As of September 22, 2011, the trade may no longer submit a PEA for an ACE entry summary

### **Q3. *Can a PSC be submitted for an entry summary which was filed in ACS?***

**A3.** No, PSC is a new ACE process that replaces post entry amendments (PEAs) for all ACE entry summaries. The PEA process still exists for ACS Entry Summaries.

### **Q4. *What does the term "PSC filer" refer to?***

**A4.** PSC filer is the filer who filed the PSC in ACE. The PSC Filer can be the same or different from the original filer of the Entry Summary. Since the PSC filer may or may not be the same filer as the original entry filer, it is important to identify the correct filer for communication purposes including requesting additional information. The PSC Filer may be viewed on the Entry Summary in ACE, and is also a reportable field.

### **Q5. *What does CBP do when I file a PSC?***

**A5.** A PSC is essentially a new entry summary. Accordingly, ACP will not agree or disagree with every PSC filed. CBP will accept the data as the most up-to-date available data and change the associated collection information to reflect any resulting monetary changes. CBP will track versions of each submission and the versions will be available internally to CBP. CBP will not review every PSC. Census warning will continue to be generated when applicable. If the liquidation status of the entry summary is set to liquidated, ACE will automatically unset the liquidation in ACS. If a PSC is selected for team review ACE will not allow another PSC to be transmitted.

### **Q6. *Will the trade be able submit quarterly PSCs?***

**A6.** No, quarterly submissions are not allowed for ACE entry summaries. All changes to ACE entry summaries must be made electronically.

### **Q7. *Can a PSC be submitted for an informal (type 11) entry summary?***

**A7.** No, PSCs are not permitted on an informal (type 11) entry summary.

**Q8. Can a PSC be submitted for an entry summary under CBP review?**

A8. No, PSCs are not permitted on an entry summary under CBP review.

**Q9. Are there any time constraints for filing a PSC?**

A9. The filer has a 270-day window from the date that CBP accepted the entry to submit a PSC. A PSC shall not be accepted, however, if the scheduled liquidation date is within 20 days of the filing. In this case the filer must wait until liquidation and file a protest. A PSC filed outside the specified timeframes will be rejected by ACE.

**Q10. Can a PSC be filed to change an entry type 03 to another entry type?**

A10. No, PSCs are not permitted to change an entry type from a 03 type to another entry type.

For entries summaries requiring a change under Section 16.2.6, the filer must submit an ACE Entry Summary Rejection Response Form to CBP to inactivate the ACE entry summary to enable the filer to retransmit the entry summary to ACS using the same entry number. Documents substantiating the request should accompany the Rejection Request Form. If CBP agrees with the request, CBP will inactivate the ACE entry summary and return a copy of the Rejection Response Form to the broker. The filer should then transmit the ACS entry summary within two business days.

The same deadlines for filing a PSC apply to filing a request for inactivation of an entry summary.

**Q11. How many PSCs can be done on one entry summary?**

A11. There is no limit to the number of changes that may be submitted. The change is the filer's assertion of the entry summary and will be treated as a full replacement of the entry summary. Changes will be processed as a resubmitted entry summary and will go through the same edits and validations as today.

**Q12. Can a PSC be filed for an entry summary paid on a periodic monthly statement?**

A12. Yes, but you must wait until CBP has received payment for that statement. A PSC cannot be filed until after payment of the periodic monthly statement.

**Q13. Can PSC be filed on an entry that is paid via single payment, e.g., if the PSC was removed from a statement and subsequently paid individually?**

A13. Yes, once CBP has received payment on the entry summary, a PSC may be filed, even if the entry summary was paid via "single pay."

**Q14. Can I transmit more than one reason code for the PSC?**

A14. Yes, you are required to transmit at least one reason code for the change at either the header or line level and a description of the change. You may identify up to five reason codes at the header and/or line level on a single PSC. Additional changes may be detailed in the description field also.

**Q15. Can I submit a PSC on an entry summary that was included on a reconciliation entry?**

**A15.** No, if an entry summary has been reconciled on a reconciliation entry, a PSC cannot be filed for the entry summary.

**Q16. Can I flag or unflag an entry summary for reconciliation by filing a PSC?**

**A16.** No, changes related to reconciliation such as flagging or unflagging an entry summary are not permitted using PSC.

**Q17. Are all entry summary data fields eligible for PSC changes?**

**A17.** No, not every entry summary data field is eligible for PSC changes. The below listed data elements are not allowed to be modified in a PSC filing:

- District/Port of Entry
- Cargo release Certification Indicator
- Consolidated Summary Indicator
- Live Entry Indicator
- NAFTA Reconciliation Indicator
- Reconciliation Issue Code
- Payment Type Code
- Preliminary Statement Print Date
- Periodic Statement Month
- Statement Client Branch Identifier
- Importer of Record Number
- Location of Goods Code
- Consolidated Release Grouping (release data related to a consolidated summary)
- DOT Grouping (see CATAIR, OGA chapter)
- FDA Grouping (see CATAIR, OGA chapter)

If a change is needed for one of these data elements, you must follow existing procedures and in some cases changes cannot be made once the entry information has been transmitted to CBP.

**Q18. Can the importer of record number be changed on an entry summary via PSC?**

**A18.** No, importer of record numbers will not be permitted to be changed via PSC. A list of other additional data elements not permitted to be changed via PSC is available in the ACE ABI CATAIR, located at the following link:

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_edi\\_messages/catair\\_main/abi\\_catair/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/catair_main/abi_catair/)

**Q19. Can I file a PSC for an entry summary when the importer of record number needs to be changed?**

- A19.** Yes, in order to file a PSC for an entry summary where a change in the importer of record number is needed, the filer must first request that CBP update the importer of record number. In addition
- The importer must meet the conditions listed in 19 CFR Section 141.20
  - The importer or broker must submit a CBP Form 3347 to the port of entry, along with a cover letter requesting the change
  - If CBP approves the request, CBP will make the appropriate changes in ACE and notify the importer/broker the changes have been made
  - At this point the filer may transmit a PSC to correct the necessary entry summary data

**Q20. *Does a PSC change data associated to a CBP Form 4811 on file for the entry summary?***

- A20.** No, a PSC does not change the data associated with a CBP Form 4811. Importers who choose to have a different filer (other than the original entry filer) submit a PSC, should note whether a CBP Form 4811 has been submitted (if applicable).

**Q21. *Will CBP process a bill or refund for less than \$20.00?***

- A21.** CBP generally does not process refunds or bills under \$20.00. However, the importer may request a refund for less the \$20.00 via PSC functionality using the “accelerated liquidation request” indicator.

When the PSC is received CBP will perform a review, if required, and CBP will liquidate the entry using the two-week liquidation cycle.

**Q22. *After the PSC is accepted, do any additional PSCs have to be from the same filer?***

- A22.** No, multiple PSC may be filed by multiple different filers.

**Q23. *How does CBP verify that a PSC filing submitted by a broker other than the original broker is appropriate?***

- A23.** The system does not do an edit check on the broker. CBP will assume that the appropriate powers of attorney are on file with regard to the PSC filing.

**Q24. *What information is available to me if I am the original filer, but not the PSC filer?***

- A24.** The JB record in the ACE CATAIR document lists the information that is available via the Entry Summary Query; however, only limited entry summary information will be available to you in this situation as the original filer but not the PSC filer. If you are the original filer of the entry summary and the PSC filer, you will have visibility to the full content of the original entry summary information, as well as the new filing.

**Q25. *What PSC data from the entry summary can be queried?***

- A25. The original filer may use the ABI ES Query to receive the following information:
- Entry Filer Code
  - Entry Number
  - Version Number
  - Accept Date Time (the date and time that ACE last accepted the entry summary filing)
  - PSC INDICATOR
  - PSC Accept Date (date PSC was accepted by ACE)
  - Ownership Data Returned Indicator
    - Y = owner
    - Space = not owner
  - Liquidation Status Code
  - Liquidation Date
- Q26. ***Right now, even if I don't file the PSC for my importer, I get an ABI courtesy liquidation notice. Will I continue to get this ABI notice if a different party files the PSC?***
- A26. There will be a change with PSC. Only the most recent PSC filer will receive the courtesy notice. If the original filer and the PSC filer are different, a notice will **not** be sent both the original filer and the PSC filer.
- Q27. ***How does the trade know when CBP has completed its review of a PSC?***
- A27. If the PSC is reviewed and rejected, a UC message will be sent to the current owner. Otherwise, there is no 'completion of review/acceptance' output message available. The Trade can use the Entry Summary Query transaction to determine entry summary status.
- Q28. ***What happens if additional documentation is required during the course of the PSC review?***
- A28. If additional documentation is required based on a PSC review, CBP will request the documentation via a CBP Form 28, unless the review is being conducted within thirty days of the original entry summary transmission.
- Q29. ***May I claim NAFTA (North American Free Trade Agreement) on a PSC?***
- A29. No, NAFTA post-importation claims must be made via a 520(d) claim or a protest.
- Q30. ***What happens if CBP does not agree with my PSC?***
- A30. If CBP disagrees with the PSC change, CBP will reject the PSC back to the filer. A PSC which has been rejected back to the filer may only be retransmitted as a PSC. A rejected PSC must be retransmitted to CBP within two business days. If the filer does not retransmit the entry summary within two business days, CBP will change the entry summary to the previously accepted version and liquidate the entry in the two-week cycle.
- Q31. ***Can I request "accelerated liquidation" in my PSC?***

- A31.** Yes, when a PSC results in a change in duties, taxes, or fees, the filer has the option of requesting that CBP liquidate the entry using the two-week liquidation cycle. This is called “accelerated liquidation”. The filer requests accelerated liquidation using an indicator within the ABI message.

PSCs requesting accelerated liquidation should receive priority processing by CBP.

If the PSC does not request accelerated liquidation, CBP will process the refund or bill at the end of the liquidation cycle. CBP will manually liquidate the entry summary in the 314-day cycle in order to allow the possibility of another PSC being submitted.

**Q32. *Can I request accelerated liquidation for an AD/CVD entry summary?***

- A32.** No, you cannot request accelerated liquidation for an AD/CVD entry summary.

**Q33. *If I file a PSC as “accelerated liquidation,” may I file another subsequent PSC?***

- A33.** No, if accelerated liquidation is requested on a PSC, the entry summary will liquidate in the two-week liquidation cycle, and no additional PSCs may be filed.

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