

# Entry Summary, Accounts and Revenue (ESAR): A2 Update

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U.S. Customs and  
Border Protection

# ESAR A2: Introduction

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# Scope – ESAR A2 Overview

## Entry Summary and Revenue

### Reference Data:

- Reference Data to support A2

### Post Release:

- Entry Summary Processing
- Liquidation/Closeout
- Post Summary Corrections
- Reconciliation Processing
- Quota/Visa Processing
- Team Review Processing
- Anti-Dumping/Countervailing Duty Processing
- Protest Processing

Post - Release

### Finance:

- Finance Processing
- Accounts Receivable
- Collections & Receipts
- Refunds
- Bond Application Storage
- Bond Sufficiency
- Drawback Financials

Finance



# ESAR A2: Post Release

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# ESAR A2: Post Release

- Post Summary Corrections
- Document Required Processing
- Post Release - ABI Changes
- Census Warning Override Processing
- Customs and Trade Automated Interface Requirements (CATAIR)
- Request & Notices
- Post Release Updates
- Lessons Learned



# Post Summary Corrections

Post Summary Corrections (PSC) are intended to replace the existing Supplemental Information Letter (SIL) and Post Entry Amendment (PEA) process.

- The corrections will initially have to be made through Automated Broker Interface (ABI). Portal capabilities are being considered prior to the A3 release time frame.
- The time period allowed for making changes will be up to 183 calendar days from the “Date of Release.” The majority of the data elements can be changed during this process with a few exceptions.
- Changes beyond 183 days, but prior to liquidation, will require a request that the entry summary liquidation be extended for a period of one year. The request for extension will be included within the ABI CATAIR PSC transaction.

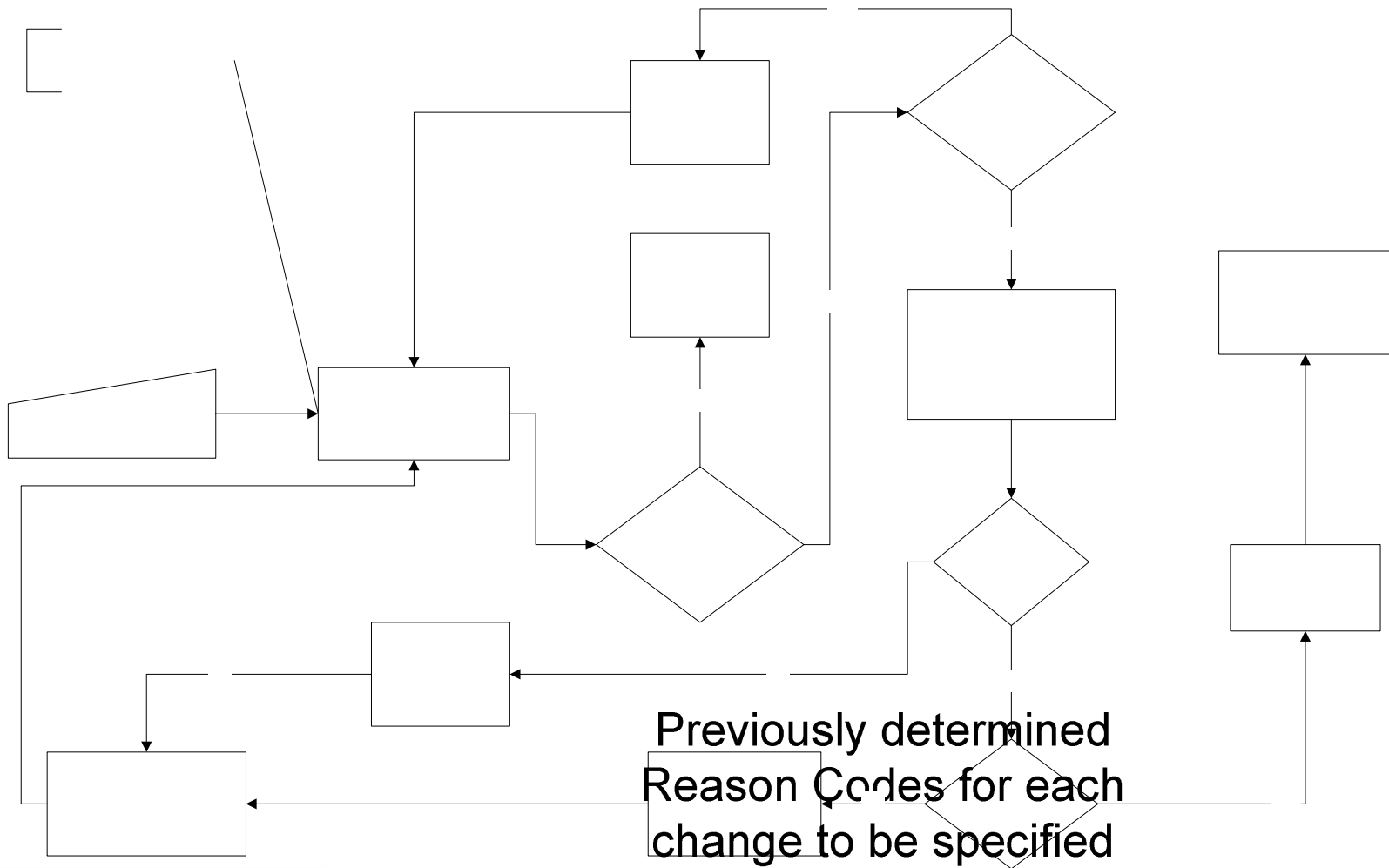


# Post Summary Corrections (*cont'd*)

- Unlimited corrections will be allowed for clerical errors until the entry summary is scheduled for liquidation.
- Only one PSC can be open at a single point in time. Subsequent PSCs will not be processed nor accepted until the open PSC is closed by CBP.
- As part of the PSC process, the trade community will be required to indicate to CBP specifically which line items are changing and provide the applicable reason code(s) for the core change.
- More than three PSC reason codes per line will require a full replacement of the entry summary line and may initiate team review.
- Changed lines will be subject to Census validations.
- PSCs must be used to make corrections once the entry summary has been received and the cargo has been released. PSCs will also be accepted prior to cargo release.
- Historical changes and the addition of details to the entry summary will be allowed and made available for query.
- A reply message containing a reason code and possible text will result if not agreed upon by CBP.



# Post Summary Corrections (continued)





# Document Required Processing

This is a new, streamlined CBP process for requesting documentation from the trade community. CBP is re-engineering its internal business processes in an effort to collect less paper. As a result, CBP will be using decision making tools to be more effective in its requests for documentation.

- Currently, documentation is requested by CBP upon the initial ABI transmission of the entry summary data which results in a paper entry summary package to be delivered to the port.
- As part of ACE, electronic entry summary data will be reviewed by CBP users. If a determination is made that documents are required, ACE will generate a message to the filer.
- The response back to CBP can take the form of physical paper, or when technically available, an electronic scanned image (such as a pdf, jpg, etc.).
- Electronic responses back to CBP must be submitted as an image via ABI. The inbound response will require the filer to provide the original ACE transaction identifier that was included in the original outbound ABI request for documents. Images will only be accepted after the CBP request.
- This capability will be delivered after A2 but prior to A3.



# Post Release -ABI Changes

An ACE spreadsheet has been generated to track the creation of new ABI transactions and the potential changes to existing transactions. The spreadsheet is intended to provide planning support to members of the trade community as they prepare to enhance and modify their systems.

- The spreadsheet contains information about the affected ABI application, the record level and the record identifier. A notation regarding whether the change would be required during the initial deployment of A2 is also included in the spreadsheet.
- The spreadsheet contains a brief description of the new or enhanced capability as well as supplemental implementation information.
- An example of a new ABI transaction would be the post summary correction. In this instance, we are initially estimating that two input records and three output records would be needed to transfer the data between the systems and handle the new messaging.
- An example of an enhancement would be the addition of a Census override code or the ultimate consignee at the line item level of the Entry Summary (EI) application.



# ABI Changes Spreadsheet

App.Code Inbound/ Outbound	Record Identifier	Record Identifier Type	Type of CATAIR Change	CATAIR Changes	Required for Day 1?	Process Area and Description of change
--/RN			New			<i>Request / Notices</i>
RN	G10	Output	New	Complete	No	A mandatory header output record that contains common data from all three forms and identifies the document type as CBP Form 28, 29 or 4647.
RN	G20	Output	New	Complete	No	A mandatory address output record of the party to whom the request / notice is addressed to.
RN	G21	Output	New	Complete	No	A conditional address continuation output record used only if the importer address requires two lines.
RN	G30	Output	New	Complete	No	A mandatory CBP officer narrative output record used to concisely describe the reason for the request or notice.



# Census Warning Override Process

This is a new process by which the trade community can electronically correct Census warnings through the submission of an override code for entry summaries prior to or after receiving a Census warning message through ABI.

- Prior to transmission, the filer will have the capability to override the Census warning within the entry summary transmission.
- After ABI acceptance of the entry summary and cargo release, the filer may do a post summary correction to either override the Census warning or to amend the entry data.
- The filer can also utilize the new ABI Census Override transaction if no changes need to be made to the entry summary data.
- The detailed list of override codes will be provided as a part of Appendix H.



# Census Warning Override (*cont'd*)

## Example

App.Code Inbound/ Outbound	Record Identifier	Record Identifier Type	Type of CATAIR Change	CATAIR Changes	Required for Day 1?	Process Area and Description of change
CW/CO			New			<b><i>Census Warning Override process</i></b>
CW	CW01	Input	New	Complete	No	Record Identifier CW01 is a Mandatory Census warning override transaction input record that provides data to the override warning and code being updated. This record is repeated as often as necessary.
CO	CW02	Output	New	Complete	No	Record Identifier CW02 is a mandatory Census warning override transaction output record that provides a response to an override warning and code being updated. This record is repeated as often as necessary.
CJ/CL			New			<b><i>Census Warning Query process</i></b>
CJ	CJ1	Input	New	Complete	No	This is a mandatory input record that provides the query criteria to access data on up to five specific entry summaries containing open Census warnings in the Entry Summary file.
CL	CJ3	Output	New	Complete	No	This is a conditional query entry summary output record that provides data pertaining to entry summaries containing Census Warnings and data pertaining to the district/port of entry summary, entry filer code, entry number, broker reference number, entry summary line item number and Census warning code.



# Customs and Trade Automated Interface Requirements

## Example

# Census Warning Override

*The reader should be advised that any decisions, policies, and solutions set forth in this DRAFT technical document are subject to change at any time without prior notice. This DRAFT technical document is not FINAL and does not represent the totality of revision/changes that may be implemented with Entry Summary Accounts Revenue (ESAR) functionality. Until such time that CBP issues a FINAL version of this technical guide, the attached DRAFT technical document is NOT considered approved, endorsed, or sanctioned by Customs and Border Protection and the Department of Homeland Security.*

*This chapter provides record formats to override Census warnings.*

### RECORD DESCRIPTIONS

**Record Identifier CW01 (Input)** . . . . . **CWO-3**  
Record Identifier CW01 is a Mandatory Census warning override transaction input record that provides data to the override warning and code being updated. This record is repeated as often as necessary.

**Record Identifier CW02 (Output)**..... **CWO-4**  
Record Identifier CW02 is a mandatory Census warning override transaction output record that provides a response to an override warning and code being updated. This record is repeated as often as necessary.



# Customs and Trade Automated Interface Requirements

## Example

### Record Identifier CW 01 (Input)

Record Identifier CW01 is a mandatory Census warning override transaction input record that provides data to the Census warning and override code being updated. This record is repeated as often as necessary.

<i>Record Identifier CW01 (Input)</i>					
Data Element	Length/Class	Position	Status	Description	Note
Control Identifier	2AN	1-2	M	Must always equal CW.	
Record Type	2N	3-4	M	Must always equal 01.	
Entry District/Port	4N	5-8	M	A code representing the district/port of entry. Valid district/port codes can be queried through the Extract Reference File chapter of this document.	
Entry Filer Code	3AN	9-11	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code represents the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	12-20	M	The number assigned to the entry. For additional information on valid entry number formats, refer to Appendix E.	
Entry Summary Line Number	3N	21-23	M	The entry summary line number associated with the Census Warning to be overridden.	
Census Warning Code	3AN	24-26	M	The Census Warning code being overridden.	
Census Override Code	3AN	27-29	M	The Census Override code being used in response to the warning.	
Filler	51X	30-80	M	Space fill.	



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# Request & Notices

The ABI requests and notices are a new process that will allow the trade community to receive data extracted from CBP Forms 28-Request for Information, 29-Notice of Action and 4647-Notice to Mark and/or Notice to Redeliver.

These ABI requests and notices are for informational purposes. The original CBP Forms 28, 29 and 4647 will be sent to the Importer of Record by a method of their choosing as designated on the ACE Secure Data Portal.

- The requests and notices output records contain only those data elements that are populated by CBP. Response fields are not included in the record layouts.
- The ABI filers receiving electronic request and notice records will be responsible for the software that parses the data, for example, the print out of the applicable customs form for processing.
- Currently, CBP does not receive ABI electronic responses to requests and notices. Written responses will remain the established method until a viable imaging solution is delivered. All information and instructions that accompany the standard paper CBP Form 28, 29 and 4647 shall still apply.



# Request & Notices (*cont'd*)

## CATAIR Details

### Customs Form 28, 29, 4647 Transaction RN

- This ABI transaction is used by CBP to issue a Request for Information, Notice of Action or Notice to Mark and/or Notice to Redeliver.
- **Input.** There are no input records.
- **Output.** Record Identifiers G10, G20 and G40 are mandatory records. Record Identifiers G21, G30, G50, G60, G61, G70, G80 and G81 are conditional records.
- The application identifier on Record Identifier B is RN. For additional information on Record Identifier B, refer to the Application Control chapter of this document.



# Post Release Updates

This section is intended to identify some of the smaller yet important changes that can be expected in ACE.

- The ultimate consignee as defined within the CBP 3461 will now be supported at the entry summary line item level of the CBP 7501. This will involve changes to the EI (record identifier) transaction.
- Temporary Importation Bonds (TIBs) no longer have to be closed at the originating port if they are completely electronic. These changes may be included in the XN/XS (record identifier) transaction.
- A new or enhanced entry summary ABI query is being developed to support the addition of new data elements.
- A new ABI query containing liquidation details is also being developed.
- The entry summary transaction will be enhanced to accommodate a maximum of 9,999 entry summary lines. This capability will be enabled upon delivery of the M2 (Air Manifest & Cargo Release) Release (CBP 3461).
- CBP is presently assessing the possibility of delivering drawback functionality within the A2 timeframe.



# ESAR A2: Finance Key Process Changes

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# ESAR A2: Finance

## **Business Processes:**

- Statements
- Bills – Supplemental Duty and Miscellaneous
- Refunds
- Financial Summary Report
- **Post Summary Corrections (PSC) – Financial**
- **e-Bond**



# Bills - Supplemental Duty and Miscellaneous

- Billing remains unique to each transaction
  - Refunds and other disbursements are not netted with billing activity
- Issued weekly
  - Linked to the ACE liquidation cycle
- Paper bills delivered via U.S. Postal Service (USPS).
- Issued electronically via:
  - ABI
  - E-mail for portal accounts
- Electronic payment via ACH debit and ACH credit are available



# Refunds

- Refunds issued weekly
  - Linked to the ACE liquidation cycle
- One refund transaction includes all refunds and other disbursements for the IR
  - Account receives detailed notice of the individual transactions
- Paper checks delivered via U.S.P.S.
- Issued electronically via ACH



# Statements

- Financial transaction only
- Method of payment of duties and fees on entry summaries eligible for periodic payment:
  - Daily
  - Monthly
- Each statement must be fully paid—no carryover to the next statement
- One Automated Clearinghouse (ACH) authorization per statement
- ACH transactions processed through Pay.Gov
- Transmitted electronically via:
  - Automated Broker Interface (ABI)
  - E-mail for portal accounts





# Statements – Continued

## CATAIR Details

- Daily and monthly statements will use a new application identifier.
- Allow QN (transaction identifier) to be used for all ACH debit authorizations.
  - The PN (transaction identifier) — no longer needed.
- New application identifier needed for routing bills to the trade community through ABI if this option is chosen.
- New application identifier needed to request re-routing of bills through ABI.



# Post Summary Corrections (PSC): Financial Transactions

PSC submitted to CBP prior to payment of original duties, taxes and fees:

- Entry summary payment scheduled on a statement but statement not generated
  - PSC changes the original estimated duties and fees on a periodic monthly statement to reflect the PSC
  - PSC changes the estimated duties, taxes, and fees on a daily statement to reflect the PSC



# Post Summary Corrections (PSC): Financial Transaction – Continued

PSC submitted to CBP and accepted after payment of estimated duties, taxes, and fees that results in *additional monies owed*

- PSC filed with payment of additional duties, taxes, or fees (with applicable interest) via ACH debit or check/cash
  - Additional monies applied to the entry summary
- PSC filed with no payment of additional duties, taxes, or fees
  - PSC changes including interest captured at liquidation  
Interest on additional duties, taxes, fees calculated from date due to date paid or to liquidation date



# Post Summary Corrections (PSC): Financial Impact – Continued

PSC submitted to CBP and accepted after payment of estimated duties, taxes, and fees and results in a refund of estimated duties, taxes or fees.

- Refund processed with approval by CBP of the PSC
- Refund issued with interest
- Interest calculated from date paid to date of refund



# e-Bond

- Single transaction and continuous bonds can be submitted electronically
- Bond riders for e-Bonds submitted electronically
- Sureties maintain the Bond Authorization File (BAF)
- BAF edits set parameters of who can write bonds and in what amount
- All bonds will be input into the ACE e-Bond system
- Bond sufficiency formulas will be incorporated into ACE



# Bonds – ESAR A1

- Bond transactions still paper filed!!!
- All Continuous Transaction Bond (CTB) types will be input into ACE (CBP input)
- CTB riders will be input into ACE (CBP input)



# Lessons Learned

- Past experience has revealed the necessity of trade community active involvement in the design, validation, testing, and deployment of ACE systems.
- The impacts of implementing ACE will effect both the technical and operational divisions in the trade community.
- The operational impacts could involve new and enhanced business processes that require internal operational changes, as well as how the trade community complies with CBP legal and policy changes.
- Technical impacts will involve changes to standard ABI applications.
- Preparations must be made for operational training of system users, as well as programming changes.



# Questions and Feedback

For more information, visit

“ACE: Modernization Information Systems”

at [www.cbp.gov/modernization](http://www.cbp.gov/modernization)

Click on the link:

[“ACE: Entry Summary, Accounts and Revenue \(ESAR\) Information”](#)

or send an e-mail to:

[CBP.CSPO@dhs.gov](mailto:CBP.CSPO@dhs.gov)

[ESAR.info@dhs.gov](mailto:ESAR.info@dhs.gov)



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