

Version

6.1

U. S. CUSTOMS AND BORDER PROTECTION BUSINESS
RULES AND PROCESS DOCUMENT (**TRADE**)

ACE Entry Summary

U.S. CUSTOMS AND BORDER PROTECTION
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Automated Commercial Environment Entry Summary Processing

Overview

The purpose of this document is to outline entry summary processing in the Automated Commercial Environment (ACE). ACE is the system of record for entry summaries filed in ACE. This change moves the import process from a paper-based system to a true electronic system of recordkeeping, please see [Recordkeeping in ACE](#). A change of this significance requires revised operational policies and procedures, which this document addresses. This document is a living document and will be updated as additional ACE functionality is added.

This document has been updated to clarify several processes and procedures related to ACE entry summary business rules. Please note this document will address the processes and functionality throughout the ACS to ACE transition. Additional versions of this document will be issued throughout the ACS to ACE transition during 2016.

If you have any comments or questions about this document please email ACEBUSINESSRULES@CBP.DHS.GOV

ACE Transaction Timeline

Clarification on Mandatory ACE Filing Timeline

On February 8, 2016, U.S. Customs and Border Protection (CBP) issued via CSMS an updated timeline for the mandatory filing of electronic entries and corresponding entry summaries in the Automated Commercial Environment (ACE), and the decommissioning of electronic entry/entry summary filing capabilities in the Automated Commercial System (ACS). CBP is clarifying the mandatory transition timeline to include the following points:

1. CBP published a **Federal Register Notice (FRN)** on February 29, 2016 (81 FR 10264) advising the trade community that **effective March 31, 2016 ACE is the sole electronic data interchange (EDI) system authorized by the Commissioner of CBP for processing certain electronic entry and entry summary filings.**
2. **Required filing in ACE for entry type 11 entries/entry summaries**
The February 8, 2016 CSMS notice on the updated mandatory transition timeline included an erroneous reference to entry type 11 (Informal) in the summer 2016 timeframe. To clarify, electronically filed entry type 11

transactions are required to be filed in ACE in the following timeframes:

- Electronic entry type 11 **entry summaries**, without PGA data other than APHIS Lacey Act or NHTSA, will be required to be filed in ACE on March 31, 2016.
- Electronic entry type 11 **entries**, without PGA data other than APHIS Lacey Act or NHTSA, will be required to be filed in ACE on May 28, 2016.

3. **Entry summary filing with and without PGA data**

As is stated in the February 8, 2016 CSMS notice, entry summaries without PGA data for the designated entry types are required to be filed in ACE effective March 31, 2016. This means that regardless of whether or not the underlying entry requires the submission of PGA data, the entry summary portion (the ACE AE entry summary filing) is required to be filed in ACE. Methods to file these transactions that are required in ACE on March 31st include:

- ACE Entry/Cargo Release followed by **ACE Entry Summary** (two-step process)
- ACS Entry (Release) followed by **ACE Entry Summary** (two-step process)
- **ACE Entry Summary** certified for ACE Entry/Cargo Release
- **ACE Entry Summary** certified for ACS Entry (Release)

4. **Further PGA Clarifications**

- Disclaimers will be considered PGA data. If a NHTSA or APHIS Lacey Act entry is filed with a disclaimer for another PGA, the entry may still be filed in ACS after March 31, 2016.
- Interim procedures, as explained in CSMS 16-000232, may be followed for ACE filings with NHTSA or APHIS Lacey Act that are paired with another PGA's data, including disclaimers.

5. **For this March 31, 2016 transition date, the lifecycle of an entry or entry summary filed in ACS prior to March 31, 2016 may be completed in ACS.**

Filing in ACE today:

- CBP strongly encourages filers to file as many of their electronic entries and entry summaries as possible in ACE today.
- All electronic entries/entry summaries with APHIS Lacey Act and NHTSA data can be filed in ACE today and will be required in ACE on March 31 (unless paired with other PGA data on the same transaction). These are the only two agencies whose data will be required in ACE on March 31.
- Regardless of the mandatory dates, filers should be filing all available electronic entries and entry summaries, with or without PGA data, in ACE now. If filing with PGA data, please reference the [PGA Pilot Information](#) on CBP.gov for specific pilot information.

- Please review full details of the ACE transition timeline on www.cbp.gov/acemandatorydates and continue to monitor this site for additional ACE information and resources.
- Other questions can be directed to AskACE@cbp.dhs.gov.

a. The list of PGAs designated for the summer 2016 has been updated to include the following:

- Consumer Product Safety Commission (CPSC);
- Foreign Agriculture Service (FAS);
- Nuclear Regulatory Commission (NRC);
- Office of Marine Conservation (OMC);
- Office of Textiles and Apparel (OTEXA);
- United States Trade Representative (USTR).

Background

The importation of goods into the United States, is generally a two-part process consisting of:

- 1) Filing the cargo release documents necessary to determine whether merchandise may be released from U.S. Customs and Border Protection (CBP) custody, and
- 2) Filing the entry summary documents that pertain to merchandise classification, duty, taxes, and fees.

Currently, over 99 percent of all entry summaries are filed electronically using the Electronic Data Interchange (EDI). The interface system that allows EDI transmissions to CBP's automated systems is the Automated Broker Interface (ABI). Entry summaries are categorized by "entry type" to facilitate more effective processing of these transactions. Ninety-six percent of all entry summaries filed are type 01-consumption and type 11-informal. Consumption entries are generally filed for commercial shipments and are supported by a surety bond to ensure compliance and payment of duties, taxes, and fees. Informal entries are typically low-value commercial and personal imports entered into the U.S. for consumption. In general, informal entries are valued at \$2,500 or less unless the goods are subject to import restrictions for which other rules apply.

Throughout this document there are "process icons" to indicate a system action, or when a filer or CBP initiates an action:

ICON KEY

 Filer initiated action

 CBP initiated action

 System action

 Offline process

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1.0 System Edits and Validations

1.1 Filer generates and submits entry summary transaction via ABI to ACE.

ACE validates the EDI transmission based on syntax rules. Entry summary control status is “Trade” during this processing. 

1.1.1 Syntax validation passes – entry summary proceeds to validation for Filing Action and Control Rules. 

1.1.2 Syntax validation fails – entry summary is rejected back to filer via ABI. 

1.2 Entry Summary Filing Action and Control Validation

Performed after syntax validation and entry summary transmission is accepted without conditions. 

1.2.1 ACE validates the entry summary header data.

1.2.2 Census edit processing. ACE entry summaries may be reviewed by the Census Bureau. CBP will no longer produce paper census warning sheets for ACE entry summaries. ACS entry summaries will still require import and entry specialist review, including documentation in the validation activity (VA).

1.2.2.2 If the entry summary Census edit processing results in a Census warning, the filer may correct or override the [Census Warning Override code](#) and retransmit. 

1.2.2.3 The filer may enter a preemptive Census Warning Override code on the initial transmission when a known Census warning exists for a valid reason. 

1.2.2.4 For ACE entry summaries filed via RLF and ACE entry summaries certified from ACE Cargo Release that have received a Census warning, it is not necessary for the filer to transmit the electronic invoice unless a request for the invoice (ABI Message

UC1) has been generated for another reason.

1.2.3 ACE validates the line item data, port, and total amounts. 

2.0 Entry Summary Record Creation

2.1 Entry summary is “Accepted.”

ACE accepts the ABI transmission. Entry summary control status continues to be “Trade.”  ACE does not track versions of the entry summary until the preliminary daily statement is generated, at which point the entry summary control status is updated to “CBP” (See section 2.2.2.2).

See our ***Please Note*** section at the beginning of this document for situational awareness on filing entry and entry summaries.

2.1.1 Trade users may make revisions to the ACE entry summary while the entry summary is in “Trade” control via the “Add” or “Replace” function.

2.1.2 Authorized CBP users may modify an entry summary in “CBP” control via the ACE Portal. As changes are made to the entry summary, ACE tracks the versions. The number to the right of the decimal reflects CBP changes (e.g., v 1.01, 1.02). Changes made by the trade are reflected in the number to the left of the decimal (e.g., v. 2.0, 3.0) after the entry is in CBP control, such as when the filer retransmits an entry summary following a CBP rejection, or when a PSC is filed.

2.1.3 If an entry summary is in “CBP” control, the filer may not perform the “Add”, “Replace”, or “Delete” functions to that entry summary.

2.1.4 ACE entry summary versions are available to trade users via ACE Portal reports.

2.1.5 Importers and filers remain responsible for the recordkeeping requirements under 19 CFR § 163.

2.2 ACE writes entry summary data to ACS for cargo release and collection processing.

This is the first point in the process where ACE interfaces with ACS. This synchronization between ACE and ACS will occur continually throughout ACE entry summary processing. ☐

2.2.1 ACE entry summaries may be “certified” for cargo release. Cargo release processing occurs both in ACS and ACE.

2.2.2 Collection processing occurs in ACS. Collection status updates in ACS are reflected in ACE. Once a preliminary daily statement (periodic daily or regular daily) is generated for the entry summary, the entry summary is updated to “CBP” control.

Once an entry summary control status is “CBP”, ACE begins tracking the entry summary versions.

2.2.2.1 ACE entry summaries must be paid via statement processing or single pay.

2.2.2.2 ACE entry summaries paid on a statement (daily or monthly) may have circumstances in which an ACE entry summary must be removed from a statement.

2.2.2.3 The filer will submit an ABI transmission to remove the entry summary from statement processing. The entry summary control will change from “CBP” to “Trade.” However, once the debit authorization is processed for a statement, the filer may not move an entry summary from that statement to another statement.

2.2.2.4 After a debit authorization has been processed, single pay is the only payment option for an entry summary to be removed from a statement. If the entry summary is not scheduled for another statement, then the filer must submit payment, along with the CBP Form 7501A or a copy of the CBP Form 7501 data. Once CBP processes the collection, the entry summary control changes from “Trade” to “CBP.” ☐

2.3 ACE entry summary review notification.

2.2.2.5 If no money is due on an entry summary that has been removed from a preliminary daily statement, an authorized CBP user must manually place the entry summary in “CBP” control.

ACE notifies the filer via ABI and entry summary status notification message that an entry summary has been selected for team review.

2.3.1 The filer may receive the following electronic notifications as a result of targeting: 

- **Request for entry summary package** (ABI Message UC2; commonly referred to as “documents required.”) These documents must be provided to CBP, **by the time of summary filing** in accordance with 19 CFR 142.3 at the port of entry. The filer may choose to respond to the request for the entry summary package via the ACE Portal or the Document Image System (DIS). Once the filer receives the action number (via ABI message), the filer may upload the requested documents in the portal. Documents not provided via the ACE Portal or Document Imaging System (DIS) must be presented to CBP in paper form.
- **Request for electronic invoice data only** (ABI Message UC1; commonly referred to as “invoice required”) if the filer is an Automated Invoice Interface (AII) participant. The filer must transmit the electronic invoice **by the time of summary filing** in accordance with 19 CFR 142.3. The “invoice required” notification appears on the preliminary statement with a “Z” in the “Paperless” column (for more information, please refer to [CSMS #10-000274](#)) and [Section 7.2](#) in this document.

2.3.2 If the filer does not submit the requested information by the time of entry summary filing, CBP will initiate a “no file” liquidated damages case. If the filer submits the requested information

<p>Cargo release messaging. *Refer to the ACE Cargo Release Business Rules document for additional information</p> <p>2.4 Rejecting an entry summary.</p> <p>2.5 Deleting an entry summary.</p>	<p>untimely, the case may be converted to a “late file” liquidated damages case.</p> <p>The entry control office will validate the timeliness of the submission, process liquidated damages, where necessary, and route to the appropriate team.</p> <p>2.3.3 Please note it is still possible for a filer to receive an “entry documents required” message as a result of ACS or ACE cargo selectivity processing on ACE entry summaries certified for release (ABI ACS message RR). The filer can provide the paper documents to CBP or via DIS.</p> <p>When CBP rejects an entry summary, the filer will receive an ABI entry summary status notification message UC4, “entry summary rejected.” The “comment” field on the entry summary reject will indicate the reason for the entry summary rejection.</p> <p>2.5.1 An authorized trade user may delete an ACE entry summary while the entry summary is in “Trade” control.</p> <p>2.5.2 The trade may not delete an entry summary while the entry summary is in rejected status.</p>
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3.0 Entry Summary Cancellation

<p>3.1 Filer requests entry summary cancellation.</p>	<p>The trade will submit the required documents to support the cancellation request. The entry summary must be in CBP control. If the entry is in trade control, the trade may delete the entry summary. (See Section 2.5). Once the entry summary is in CBP control, cancellation may only be performed by an authorized CBP user.</p> <p>3.1.1 The trade must provide documentation to support the cancellation request. Once CBP input is complete, ACE records the cancellation status in the entry summary record. </p> <p>3.1.2 When an ACE entry summary is cancelled in ACE, the Reconciliation flags are automatically removed. It is not necessary to remove the Reconciliation flags prior to cancelling the entry summary.</p>
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3.1.3 An ABI message is sent to the filer once ACE records the cancellation status.  Once an entry summary is placed in “cancelled” status, it is inactive. The entry summary number may not be re-used by the filer.  

4.0 Non-ABI Entry Summaries

4.1 Non-ABI Entry Summary in ACE

Manual entry summaries (entry summaries not transmitted via ABI) will now be accepted in ACE. There are two kinds of entry numbers, as follows:

- Non-ABI entries with filer code assigned;
Or, if the filer does not have a filer code assigned to them
- Non-ABI entries with CBP-generated entry numbers. “CBP” is the filer code and will indicate that it is a non-ABI entry.

4.2 Required Documentation

Non-ABI entry summaries are required to have the same documents that are required with any entry summary. Please refer to 19 CFR 142 for the required documentation.

4.2 Single Pay for Non-ABI Entry Summary

Non-ABI entry summaries are not allowed to be placed on statement. All Non-ABI entry summaries must be paid via single pay.

4.4 Non-ABI Entry Summary Timelines

Non-ABI entry summaries are subject to the same timely submission requirements as ABI entries.

5.0 System-Generated Notifications

5.1 Filer receives ABI outbound message with notification.

The filer receives the following document requests via ACE ABI entry summary status messaging.

5.1.1 Request for entry summary package (ABI Message UC2, commonly referred to as “documents required”) – the available methods of response to this system request are via DIS, the ACE Secure Data Portal, or submitted to CBP at the port of entry where the entry summary is filed.

5.1.1.1 For paper submissions—The filer will use the [CBP Form 7501A](#). Filers may also submit documents with a bar code label that contains the entry number. This bar code identification method is available only at those ports which have a bar code reader. 

5.1.1.2 For portal and DIS submissions —The filer shall use the “Action Identification Number” to identify the entry summary when uploading the documents via the ACE Secure Data Portal or DIS. 

5.1.2 The entry control office will validate the submission and route to the appropriate team.

5.1.3 Request for electronic invoice data only (ABI Message UC1) notification – the response to this message will be the transmission of the electronic invoice via AII within ACS or the invoice can be sent via DIS. The electronic invoice (AII) will continue to be reviewed in ACS-regardless of the system of record. 

See [7.2 Electronic Invoice Process](#) for reference.

5.2 Paper documents received at port of entry.

5.2.1 CBP shall date stamp the requested paper documents upon receipt at the port of entry and route to the appropriate review team. CBP will only accept those documents which were requested.

5.2.2 The CBP user may upload the paper documents to the ACE portal or via DIS in ACE. Uploading requested paper documents will allow CBP-wide visibility of the entry summary package.

5.2.3 The filer remains responsible for the record keeping requirements found in 19 CFR § 163.

5.3 Filer receives ABI outbound message with acknowledgement of response.

5.3.1 Once CBP receives the required documents, CBP may update ACE accordingly by marking the “Documents Received” box in the “Actions” section and generate a document receipt acknowledgement message (ABI Message UC7) to the filer. This electronic receipt does not constitute a statement regarding the accuracy, completeness, or compliance of the requested documentation.

5.3.2 Receipt notification information is also available to the trade via ACE portal reports.

5.4 CBP user initiated requests and notifications.

CBP may electronically request entry summary documents other than the CBP Form 7501, which are necessary to verify trade compliance. The filer will receive this request via an ABI entry summary status notification. (See Entry Summary Team Review Section 10.0)

6.0 Single Transaction Bonds (for eBond)

Single Transaction Bonds filed for Type 01 and 03 ACE Entries

For ACE Entries followed by ACE Entry Summaries, or ACE Entry Summaries certified for ACE Cargo Release, where an STB is used, an eBond is required as of January 3, 2015. ACE will implement validations on these inbound transactions where, if a bond is referenced on a transaction, and no bond is found on file in ACE, that transaction will be rejected.

For all other STB scenarios, eBond will not be required. Paper processing of these STBs will continue as they do today. Due to the eventual retirement of ACS processing for Entry/Entry Summary, the same eBond STB validations in place for ACE filed transactions will not be deployed to ACS. As such, we will not perform the system validations to ensure the STB is on file for these Entry/Entry Summaries. For this reason, operations will remain status quo.

ABI filers who file ACE type 01 and type 03 entries which require a single transaction bond (STB) must email a scanned copy of the STB to the Revenue Division, Office of Administration (OA) mailbox at ACE_STB@cbp.dhs.gov or view the [DIS Implementation Guide](#) Appendix B for email format.

CBP will monitor ACE entry type 01 and 03 to verify that filers have submitted the corresponding STB.

7.0 Remote Location Filing Process

7.1 Participation in the National Customs Automation Program (NCAP) test for ACE Remote Location Filing (RLF) Entry Summaries

Remote Location Filing (RLF) entries will now be accepted in ACE. The effective date of this test will be determined at the time of posting of the Federal Register Notice. The following are the RLF Test Eligibility Requirements:

- ACS entries must be certified for ACS cargo release from summary.
- ACE entries can be certified for ACE cargo release from summary.
- Filers can file a separate ACE RLF cargo release and subsequent with an ACE RLF entry summary (commonly called ACE RLF 2-Step process).
- Only ACE entry types 01, 03, 11, 23, 51 and 52 are eligible to be filed RLF. ACS entry types 01 and 11 are eligible for RLF.
- Customs brokers must possess a valid national permit as required by 19 C.F.R. § 111.19(f) (this requirement does not apply to individuals filing as importer of record for their own transactions).
- All invoices required or requested by CBP, including pro forma invoices, must be submitted using the Document Image System (DIS).
- Participants must also participate in the DIS test.
- Participants must also participate in the eBond test if submitting single transaction bonds.
- RLF entries may only be filed at CBP locations.
- Any party who wishes to participate in this test should contact their assigned client representative and request to participate.

7.2 Filer submits ACE entry summary with intent to submit electronic invoice via AII/DIS.

Please contact your local CBP port if you have operational questions, contact your assigned CBP client representative for ABI transmission issues. Other questions regarding the RLF program can be emailed to: OT-remotelocationfiling@cbp.dhs.gov

If the ACE entry summary is selected for examination or team review, the filer will receive the **Request for electronic invoice data only** (ABI Message UC1; commonly referred to as “invoice required”). The only methods of response to this message are the transmission of the electronic invoice via DIS for test participants. ACS entries can still respond using AII. The filer must transmit the electronic invoice **by the time of entry summary filing.** 

7.2.1 The daily statement report reflects a “Z” to identify that the filer should transmit the electronic invoice(s) via ABI. For further information see [CSMS #10-000274](#)

Please Note: The statement indicator “Z” only applies to filer statements.

CBP will issue a claim for “no-file” liquidated damages on electronic entry summaries missing the required invoice information

7.2.2 If the CBP user initiates an ACE entry summary team review after the summary has been filed, but within 30 days of entry summary filing, the filer will receive the **Request for electronic invoice data only** (ABI Message UC1; commonly referred to as “invoice required”) notification through ABI. The only methods of response to this message are the transmission of the electronic invoice via AII or DIS for test participants. The filer must transmit the electronic invoice **within two business days.**

<p>7.3 Filer does not transmit electronic invoice as requested.</p>	<p>Requests made 30 days or more after entry summary filing will be made via a CBP Form 28. The filer must respond to this request by transmitting the electronic invoice via AII or DIS for test participants within 30 days. CBP will issue a claim for “no file” liquidated damages when the filer does not transmit the electronic invoice. See Section 7.3</p> <p>If the filer does not transmit electronic invoices to ACS via AII or ACE via DIS for test participants within the prescribed timeframe, CBP will initiate a “no file” liquidated damages case. If a no-file case has been initiated and the filer subsequently transmits the electronic invoice, CBP may convert the case to a “late file” liquidated damages case. If the filer transmits the electronic invoice late but prior to when CBP initiates the no-file case, a late-file case will be issued.</p>
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8.0 Reserved

9.0 Reserved

10.0 Entry Summary Team Review

10.1 CBP selects the entry summary for review.

The CBP user may initiate an electronic request to the filer. This electronic request for documents should be used within a period of **30 days from the date of entry summary**. Requests made beyond this 30-day period must be made using a CBP Form 28. Requests for documentation include the following types:

10.1.1 Request for entry summary package (ABI Message UC2; commonly referred to as “documents required.”). CBP users should not use this option to request a particular document. Users should select the “Specific Document” function. If ACE has previously generated a UC2 message to the filer via ABI, ACE will prevent the CBP user from generating this message.

10.1.1.1 CBP will accept only those documents which were requested.

10.1.2 Request for specific documents (ABI Message UC3) – request for one or more specific documents, indicated by the CBP user in the “remarks” field. 

10.1.3 The trade must submit these documents to CBP, **within five business days from the request date**, either in electronic form via the ACE Secure Data Portal, DIS, or in paper form at the port of entry.

10.1.3.1 The trade will respond via the ACE Secure Data Portal if the trade user has an ACE portal account. The trade user will scan and upload the documents as a .pdf file. The filer may also respond via the ACE portal on behalf of the importer of record without cross-account access. The unique identifier will be the *action number* generated by ACE. 

10.1.3.2 The original documents will be filed at the port of entry in accordance with the CBP records retention policy.

10.1.3.3 The filer remains responsible for the record keeping requirements found in 19 CFR § 163.

10.2 CBP user rejects entry summary

When CBP rejects an entry summary, the filer will receive the **entry summary rejected** ABI status notification message (UC4). Generally, the filer has **two business days** to respond to the reject. The only exception to this is for AD/CVD entry summaries rejected after 10 working days for failure to post bond/cash for merchandise subject to antidumping and/or countervailing duty. Regardless of when CBP rejects the entry summary, the filer must resubmit the entry summary within 10 working days from the date of the reject. Please note that a PSC which has been rejected may only be retransmitted as a PSC.

Note: The ABI filer receives a specific ABI UC4 message related to the entry summary rejection action. The “comment” field on the entry summary reject is to be used to explain why the entry summary was rejected, not to request additional information. CBP users must create a separate action to request specific documents.

When the filer receives an “entry summary rejected” notification (UC4) the filer may take the following actions:

- submit the replacement entry summary (AE) transaction once the entry summary is marked “Paid;” or
- remove the entry summary from statement and submit the replacement entry summary (single pay required for payment);

ACE will reject a replacement entry summary transaction if the entry summary is in a CBP “Reject” status and the preliminary statement has been generated but the entry summary has not yet been marked as “Paid.”

10.2.1 The filer may use the [rejection response template](#) to present supporting documents or remit additional payment to CBP as a result of the reject.

10.3 CBP initiates a CBP Form 28.

10.2.2 The CBP user who initiated the reject will receive an inbox notification when the filer retransmits the entry summary. 

10.2.3 The retransmitted entry summary must be accepted in ACE before the CBP user may close the reject action. If the retransmitted entry summary or reject response does not address the reason for the reject, the retransmitted entry summary must first be accepted in ACE and/or the reject action closed. A new reject action will be initiated to account for subsequent rejects on the same entry summary.

10.2.4 If the entry summary is rejected because it should have been filed as an entry type other than 01, 11, 03, 06, 23, 51, or 52, the filer must retransmit a corrected entry summary in ACS. The filer shall submit a request for CBP to inactivate the ACE entry summary so that the entry summary may be retransmitted to ACS using the same entry number.

CBP users will send the CBP Form 28 Form to the importer of record via the ACE Secure Data Portal (if the importer of record has an ACE account), via the U.S. mail, or both. The ACE Portal account owner has the option of designating the preferred method of communication for these CBP forms. CBP user shall use the preferred method of communication selected by the trade.

10.3.1 The CBP user initiates a CBP Form 28 in ACE. The importer of record will receive the form according to the pre-determined method of communication. Importers who select “portal” as their mode of communication will be able to view and respond to CBP Forms 28, 29 and 4647 via the ACE portal for both ACE and ACS entry summaries. Otherwise, CBP will mail the form to the importer of record.  

10.3.2 The CBP user will print a “courtesy” copy of the CBP Form 28 for the filer and either mail the form or place it in the broker’s box at the port of entry.  

10.3.2.1 For post-summary corrections, the PSC filer may differ from the original entry summary filer. In this case, CBP will send a copy of the form to the PSC filer.

10.3.3 The importer of record or designated agent must respond to the CBP Form 28 within 30 calendar days from the date of the form.

10.3.3.1 The trade user shall submit the CBP Form 28 response via DIS or the ACE Secure Data Portal (if the importer has a portal account) by scanning and uploading the documents to the portal or DIS. The unique identifier will be the *action number* generated by ACE. The CBP form initiator may receive an inbox notification for the trade response.

10.3.3.2 The trade shall submit responses to CBP Form 28 requests at the port of entry where the entry summary is filed or to the assigned Center . Documents may also be submitted with a bar code label affixed. This bar code identification method is available only at those ports which have a bar code reader. The unique identifier will be the *action number* generated by ACE. 📄

10.4 CBP initiates a CBP Form 29.

CBP users will send the CBP Form 29 form to the importer of record via the ACE Secure Data Portal (if the importer of record has an ACE account) or via the U.S. mail. The ACE Portal account owner has the option of designating the preferred method of communication for these CBP forms. CBP user shall use the preferred method of communication selected by the trade.

10.4.1 The CBP user initiates a CBP Form 29 in ACE. The importer of record will receive the form according to the pre-determined method of communication. Importers who select “portal” as their mode of communication will be able to view and respond to CBP Forms 28, 29 and 4647 via the

10.5 CBP initiates a CBP Form 4647.

ACE portal for both ACE and ACS entry summaries. Otherwise, CBP will mail the form to the importer of record.  

10.4.2 The CBP user will print a “courtesy” copy of the CBP Form 29 for the filer and either mail the form or email it to the email address previously provided by the filer.  

10.4.2.1 For post-summary corrections, the PSC filer may differ from the original entry summary filer. In this case, CBP will send a copy of the form to the PSC filer.

10.4.3 If the action is proposed, the importer of record or designated agent has 20 calendar days from the date of the form to respond to CBP.

10.4.4 If the action is “taken,” entry summary processing will continue as appropriate.

CBP users will send the CBP Form 4647 form to the importer of record via the ACE Secure Data Portal (if the importer of record has an ACE account) or via the U.S. mail. The ACE Portal account owner has the option of designating the preferred method of communication for these CBP forms. CBP user shall use the preferred method of communication selected by the trade.

10.5.1 A CBP user initiates a CBP Form 4647 in ACE. The importer of record will receive the form according to the pre-determined method of communication. Importers who select “portal” as their mode of communication will be able to view and respond to CBP Forms 28, 29 and 4647 via the ACE portal for both ACE and ACS entry summaries. Otherwise, CBP will mail the form to the importer of record.  

10.5.2 The CBP user will print a “courtesy” copy of the CBP Form 4647 for the filer and either mail the form or email it to the email address previously provided by the filer. 

10.5.2.1 For post-summary corrections, the PSC filer may differ from the original entry summary filer. In this case, CBP will send a copy of the form to the PSC filer.

10.5.3 The importer of record or designated agent must respond to the CBP Form 4647 within the time prescribed in the notice, generally 30 calendar days from the date of the form.

10.5.3.1 The trade user may submit the CBP Form 4647 response via the ACE Secure Data Portal (if the importer has a portal account) by scanning and uploading the documents to the portal. The unique identifier will be the *action number* generated by ACE. The CBP form initiator may receive an inbox notification for the trade response.

10.5.3.2 The trade may submit responses to CBP Form 4647 requests at the port of entry where the entry summary is filed or the Center of Excellence and Expertise (CEE), based on the initiator of the request. Documents may also be submitted with a bar code label affixed. This bar code identification method is available only at those ports which have a bar code reader. The unique identifier will be the *action number* generated by ACE. 

10.5.3.3 Samples and/or proof of marking corrections should be coordinated among the appropriate CBP and trade parties.

10.5.4 CBP will send either an electronic (email or fax) or a paper notification of final disposition to the importer of record.

11.0 Reserved

12.0 Reserved

13.0 Blanket Declarations

Authorized ACE users have the ability to create certain blanket declaration records in the ACE Secure Data Portal at an importer account level:

- CBP users and authorized trade participants may view and cancel declaration records in ACE
- Brokers with an ACE Portal account may create declaration records for their non-portal accounts; however, brokers whose clients have an importer portal account may not create declaration records on behalf of those clients. In these cases, the importer must grant access to the broker as a “user.”
- The following declaration records are currently permitted:
 - Affidavit of Manufacture: AM
 - Importer Certifying Statement: ICS
 - North American Free Trade Agreement Certificate of Origin: NAFTA CO
 - Non-Reimbursement Blanket Statement (AD/CVD): NRBS

The user may also attach documents to the declaration record, which ACE will date/time stamp and record as part of the electronic declaration file.

Trade users remain responsible for the recordkeeping requirements under 19 CFR § 163. Currently, there are no ACE reports available for blanket declaration records.

13.1 Create Blanket Affidavit of Manufacture record.

13.1.1 This document is provided by the producer of the raw materials used in a finished article for which a duty preference claim is made. It is not intended for use with 9802 claims. For CBP verification guidelines see [TBT-07-019](#).

**13.2 Create Blanket
Importer Certifying
Statement record.**

The affidavit can be from either a U.S. party or a foreign party that is a party to the agreement. For NAFTA claims, affidavits can be accepted from raw material producers in Canada, Mexico or the United States. Affidavits are not accepted from converters or agents.

13.1.2 The following fields are mandatory to create an Affidavit of Manufacture declaration in the ACE portal: 

1. Date Valid From
2. HTS #
3. MID #; MID Name will be auto-populated (Cannot select MID ALL)
4. Filer code and importer of record number (if the broker is creating the blanket affidavit of manufacturer record on behalf of an importer without an ACE Portal account)

13.2.1 This is a statement by an importer to declare that they qualify for a Free Trade Agreement or tariff preference program. This is not a requirement of entry, but can be posted to the ACE portal to cover multiple shipments of identical goods over a period of time, not to exceed 12 months.

13.2. The following fields are mandatory to create an Importer Certifying Statement in the ACE portal: 

1. Date Valid From
2. HTS #
3. MID #; MID Name will be auto-populated (Cannot select MID ALL)
4. Filer code and importer of record number (if the broker is creating the blanket importer certifying statement record on behalf of an importer without an ACE Portal account).

13.3 Create Blanket NAFTA Certificate of Origin declaration record.

13.3.1 In order to make a NAFTA preference claim, the [NAFTA Certificate of Origin](#) (CBP Form 434) or a substantially similar alternate document must be in the importer's possession at the time of the preference claim. The blanket NAFTA Certificate of Origin must be signed by the exporter or his agent and may be based upon the producer's NAFTA Certificate of Origin or affidavit. See also the [-See also CD 3550-085 Claims under the North American Free Trade Agreement Tariff Preference Levels Program](#)

13.3.2 The following fields are mandatory to create a NAFTA Certificate of Origin in the ACE portal:



1. Date Valid From
2. Date Valid To
3. HTS #
4. Filer code and importer of record number (if the broker is creating the blanket NAFTA Certificate of Origin record on behalf of an importer without an ACE Portal account)

13.3.3 This blanket declaration record requires the actual NAFTA Certificate of Origin to be uploaded to complete the declaration posting.

13.3.5 The importer may cancel and replace a blanket NAFTA Certification of Origin declaration in order to make the following amendments:

- Description change
- Classification change
- Criterion change
- Name change of exporter, producer, or importer

13.4 Create Blanket Non-Reimbursement Statement record in the ACE portal.

- Address, email, telephone change for exporter, importer, or signer
- Net cost indicator from “No” to “NC”

13.3.6 Upon discovery that the goods in block 5 do not originate, the importer may cancel the blanket NAFTA Certificate of Origin declaration record. When cancelling a blanket certificate, the importer must file a post summary correction (PSC) or prior disclosure to pay the duties and fees due on the subject goods.

13.3.7 A CBP user may cancel a blanket NAFTA certificate of origin declaration record if the good(s) in block 5 do not originate or if the uploaded certificate is invalid.

13.3.8 All cancelled blanket NAFTA Certificate of Origin records remain visible in ACE to CBP users.

Pursuant to 19 CFR § 351.402(b), the importer must file, prior to liquidation of the entry, a certificate stating that the importer has not been reimbursed by the manufacturer, producer, seller, or exporter for antidumping (AD). The importer has the option of filing a blanket non-reimbursement statement (NRBS) record through the ACE Portal to cover both ACS and ACE entry summaries.

[Guidance: AD/CVD Reimbursement Statement](#)

[Guidance: Blanket Reimbursement Certificates](#)

13.4.1 Once trade user selects the NRBS record type, the following fields are mandatory to complete creation of the declaration record in the ACE portal:



1. Case #
2. Date Valid From

-
3. Date Valid To
 4. MID # or MID ALL; MID Name will be auto-populated
 5. AD/CVD Statement Check Box
 6. If the broker is creating the NRBS record on behalf of an importer without an ACE Portal account, the broker's filer code and the importer's importer of record number are required

13.4.2 The case number as input is validated against the ACE case file and can be seven or ten digits. Up to 50 case numbers can be included in an NRBS record. The NRBS record can contain multiple seven digit cases, multiple ten digit cases, or multiple seven and ten digit cases. However, seven and ten digits cannot be of the same seven digit case.

13.4.3 Up to 50 MID numbers can be included in the NRBS record. MID numbers will be validated against the MID file and the MID name will be auto-populated in the NRBS record. Anytime a seven digit case is used, including use of a combination of seven and ten digit case numbers, MID # ALL must be selected.

13.4.4 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.

13.4.5 Once the trade submits a NRBS record in ACE, it is considered to be submitted according to CBP regulations and filed at every port of entry; ACE NRBS records apply to both ACE and ACS entries.

13.4.6 The time period for a NRBS record or certificate is 12 months, or the administrative review period, whichever is longer.

13.4.7 If the importer has been reimbursed for AD/CV duties by the manufacturer, producer,

**13.5 ACE Entry Summary
Line Non-
Reimbursement
Statement Declaration**

seller, or exporter, the importer is required to cancel the NRBS record in the ACE portal and notify the AD/CVD Branch Chief (at [Declarations mailbox](#)).

13.4.8 If reimbursement has not occurred, the trade should check the “MID# All” box rather than enter MID numbers to protect against inadvertent/clerical errors. If reimbursement has occurred, then the trade should enter only ten digit case numbers making sure not to include those case numbers where reimbursement has occurred; the trade should also enter specific MID numbers.

An importer can also comply with 19 CFR 351.402(b) by declaring a NRBS on an ACE type 03 AD/CVD entry summary line. However, CBP reserves the right to request a signed paper copy of an AD/CVD Non-Reimbursement Certificate.

13.5.1 The filer has two options to declare the NRBS on the ACE entry summary line:

13.5.1.1 Option 1: a one-time single transaction declaration, by inputting a Y on the transmission record to declare “I hereby certify that I have not entered into any agreement or understanding for the payment or for the refunding to me, by the manufacturer, producer, seller, or exporter, of all or any part of the antidumping or countervailing duties assessed upon merchandise entered under this AD/CVD line of this entry summary. I further certify that U.S. Customs and Border Protection will be notified if there is any reimbursement of antidumping or countervailing duties by the manufacturer, producer, seller, or exporter to the importing company at any time in the future for this AD/CVD line.”

13.5.1.2 Option 2: declare the ACE NRBS record number (the number from the importer’s ACE portal NRBS record).

13.5.2 If the importer has been reimbursed for AD/CV duties by the manufacturer, producer/seller, or exporter, and declared the

<p>13.6 Search for declaration record in ACE Portal.</p>	<p>AD/CVD NRBS using option 1 at the entry summary line level, the importer is required to notify the port where the entry summary was filed. See 13.4.7 for instructions when the blanket NRBS record number was used.</p> <p>A search may be performed by authorized CBP and trade users for declarations created in the ACE portal based on all applicable fields.</p>
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14.0 Temporary Importation Bond (TIB)

<p>14.0 Temporary Importation Bond (TIB)</p>	<p>CBP deployed ACE capability to accept and process Entry and Entry Summary Type 23-Temporary Importation Bond (TIB) on October 2015. Additional capabilities for TIB electronic filing of Entry/Entry Summary Type 23 will be deployed in the near future.</p> <p>14.1 TIB processes through ACS and ACE supports the submission of documentation for TIB entries in DIS. The procedure for properly closing out TIB entries in both ACS and ACE is outlined in this section. As an interim measure filers using ACE submission of Entry/Entry Summary Type 23 must do the following:</p> <ol style="list-style-type: none"> 1. Submit a paper copy of the CBPF 3461 or 7501 physically ANNOTATED with either: <ol style="list-style-type: none"> a. “Export Exam Required” or “Export Exam Waived” 2. Upon filing the associated entry summary, provide a copy of the following: <ol style="list-style-type: none"> a) ANNOTATED CBPF 3461 or 7501 through DIS. Designate “CBP” as the agency code, and b) CBPF 3461 as the official document name/description, including ACE ID number.
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14.2 In addition to above procedures, the filer contacts the port of entry where the TIB was presented to advise port personnel of the supporting documents submitted via DIS

Please reference CSMS Message 15-000817 which cites CBP Interim Measures regarding ACE TIB requirements.

14.3 Upon exportation, the filer may either submit paper documents of proof of export or they may submit documents via DIS. If documents are submitted via DIS, the filer MUST notify CBP via phone, email or hard copy letter that the documents are in DIS and ready for review.

15.0 *Reserved*

16.0 Post Summary Correction

16.1 Post Summary Correction (PSC) Overview

16.1.1 PSC replaces the Post Entry Amendment (PEA) hard copy process for all ACE entry summaries, with the exceptions noted below. PSC is a means for the importer to make electronic corrections via ABI on entry summary data presented to and accepted by CBP prior to liquidation. Each PSC will be a full replacement of the entry summary data, and CBP will consider the PSC to be the importer's "assertion" that the most recent entry summary data is correct.

PSC filer is a new term, as well as a new field within the Accounts Detail panel. The PSC filer is the filer that submits the post summary correction. This filer can be the original entry summary filer or a completely different filer. It is important to identify the correct filer for communication purposes, including requesting additional information.

16.1.2 A PSC is essentially a new entry summary. 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 warnings will continue to be generated, when applicable. There is no limit to the number of PSC filings that can be transmitted for an entry summary within the specified time frames.

16.1.3 Since all changes to ACE entry summaries are made online (either by trade or CBP) quarterly submissions are not allowed for ACE entry summaries.

16.2 PSC Basic Rules

16.2.1 The PSC must be transmitted within 270 days of the date of entry. For entry type 01, the entry must have a scheduled liquidation date that is in the future. For entry type 03 (antidumping/countervailing duty), the entry summary must be suspended.

The entry summary or previously filed PSC cannot be filed within 20 calendar days or less of the scheduled liquidation date.

16.2.2 For PSCs filed outside the specified timeframes, ACE will automatically reject the transmission. The filer must wait until liquidation and file a protest.

16.2.3 A filer may not submit a PSC for an entry paid on a periodic monthly statement until CBP has received payment for that statement, which may be up to 45 days following the entry date.

16.2.4 A PSC is not permitted on an entry summary under CBP review.

16.2.5 A PSC is not permitted on an informal entry (type 11) due to the liquidation upon collection. A PSC cannot be filed on a liquidated entry.

16.2.6 A PSC is not permitted to change an entry type 03 to another entry type. A PSC or PEA is permitted to be used for the submission of invoice(s) omitted from the entry package at the time of entry.

For entries requiring a change under 16.2.6 the filer must submit an [ACE Entry Summary Rejection Response Form](#) for 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 Response Form. If CBP agrees with the request, CBP will inactivate the ACE entry summary, and return a copy of the Rejection Response Form via the broker's box at the port of entry. Filers should then transmit the ACS entry summary within two business days.

The same deadlines for filing a PSC apply to filing the inactivation request.

For administrative refunds on type 03 entries where a PSC was filed, C B P should refer to the "PSC Filing Explanation Record" for details from the filer about the administrative refund. The filer should use the reject response template to communicate with CBP regarding the request.

16.2.7 Filers are required to transmit one or more reason codes for the change, at either the header or line level, and a description of the change. See [PSC CATAIR](#). Up to five reason codes at the header and/or line level may be identified on a single PSC. Additional changes may be detailed in the description field.

16.2.8 The previous entry summary version cannot have been reconciled on a reconciliation entry.

16.2.9 Changes related to reconciliation, such as flagging or unflagging an entry summary are not permitted using PSC.

16.2.10 Every data field is not eligible for PSC changes.

The following data elements are not allowed to be modified in a PSC filing. Changes to these data elements must be made using existing procedures, unless otherwise noted. In some cases, the data

elements cannot be changed once the entry information is transmitted:

District/Port of Entry
Cargo Release Certification
Indicator Consolidated
Summary Indicator Live Entry
Indicator
Trade Agreement 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](#))
Any release detail(s)

In order to file a PSC for which there is also a change in the importer of record number, the filer must first request that CBP update the importer of record number, as follows:

16.2.11 The importer must meet the conditions listed in 19 CFR §141.20.

16.2.12 The importer or broker must submit a CBP Form 3347 to the port of entry, along with a cover letter requesting the change.

16.2.13 If CBP approves the request, CBP will make the appropriate changes in ACE and notify the importer/broker that the changes have been made.

At this point, the filer may transmit a PSC to correct the necessary entry summary data.

Requests for refunds less than \$20 – Accelerated Liquidation request

16.2.14 CBP generally does not process refunds or bills under \$20. However, the importer may request a refund for less than \$20 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.

16.2.15 As of September 22, 2011, the trade may no longer submit a PEA on an ACE entry summary.

16.3 Post summary corrections are transmitted to ACE.

16.3.1 Once the PSC has successfully been transmitted, if the liquidation status is set to liquidated, ACE will automatically unset the liquidation in ACS. Census warnings will continue to be generated, when applicable. If a PSC is selected for team review, ACE will not allow another PSC to be transmitted.

16.3.2 A PSC that has been rejected may only be replaced with another PSC.

16.3.3 CBP will manually liquidate the entry summary (314-day cycle) in order to allow the possibility of another PSC to be submitted.

16.3.4 The Courtesy Notice of Liquidation will only be sent to the current PSC filer and **not to both** the original filer and the PSC filer.

16.4 Requesting additional documentation on a PSC review

If additional documentation is required during the course of the PSC review, CBP must request the documentation via a CBP Form 28, unless the review is being conducted within 30 days of the original entry summary transmission

16.5 Accelerated liquidation request

When a PSC results in a change in duties, taxes, or fees, the filer has the option of requesting that CBP liquidates the entry using the 2-week liquidation cycle. This is called “accelerated liquidation.” The filer will request accelerated liquidation using an indicator within the ABI message. 

16.5.1 CBP users should prioritize the review PSCs flagged for accelerated liquidation. Review of these

<p>16.6 PSCs with no accelerated liquidation</p> <p>16.7 Liquidating PSCs</p> <p>16.8 Entry Summary Query for PSC Data</p>	<p>PSCs should have priority over PSCs with no accelerated liquidation.</p> <p>16.5.2 Accelerated Liquidation Request is not allowed on AD/CVD entry summaries.</p> <p>For PSCs submitted in which the importer does not want an immediate bill or refund, ACE will accept the requested changes and the version number of the entry summary will change. Except for PSCs under CBP review, CBP will process the refund or bill at the end of the 314-day liquidation cycle.</p> <p>Each time a PSC is filed, the liquidation date is unset in ACS. Ports are responsible for monitoring PSC filings, in order to locate and liquidate open PSCs on a weekly basis.</p> <p>The original filer may use the ABI ES Query to receive the limited information below: </p> <ul style="list-style-type: none"> • Entry Filer Code • Entry Number • Version Number • Accept Date Time (date and time that ACE last accepted the entry summary filing while in trade control) • PSC Indicator • PSC Accept Date (PSC accepted by ACE) • Ownership Data Returned Indicator (Y=owner/ space=not owner) • Liquidation Status Code • Liquidation Date
<p>17.0 AD/CVD Case Management/Messages</p>	
	<p>ACE AD/CVD case management information contains comprehensive AD/CVD case information for trade portal users. It allows trade portal users to identify entry summary and liquidation requirements.</p>

ACE, like ACS, does not require the filing of “03” entry summaries. The responsibility for properly filing the entry summary remains with the importer or his authorized agent. Trade users accessing the AD/CVD case information should consult the CATAIR as needed.

For disclosure purposes, the Department of Commerce, Import Administration (DOC/IA) is the responsible agency for the release of most of the information contained in the AD/CVD case management file.

17.1 View AD/CVD Case Information.

ACE AD/CVD case management information contains comprehensive AD/CVD case information for trade portal users. It allows trade portal users to identify entry summary and liquidation requirements.

ACE writes-back existing AD/CVD case data fields to ACS so it can perform system edits against entry summaries filed in ACS. ACE does not write-back new data fields, for example, the official case name. Information in the new fields is only available in the ACE case management file. Trade users accessing the AD/CVD case information from ABI should consult the CATAIR.

If the information in ACS and ACE differ, the trade is to rely on the AD/CVD case management file in ACE. The trade should notify the client representative of the discrepancy.

17.2 Rates Information

The “Rates” sub-tab provides the trade portal user with rate information. The first field is the effective date of the rate for entry summary processing. Trade portal users should compare the effective date of the rate to the “Added Date” field to determine whether the effective date precedes the added date field.

17.2.1 Trade portal users are responsible for the correct bonding and deposit of AD/CVD and should promptly submit any additional bond or

cash deposit when the rate(s) have been retroactively updated.

17.2.2 DOC/IA normally will transmit an instruction message for each effective date. Trade portal users with questions on an applicable rate should research the DOC/IA messages to determine whether previously transmitted instructions resolve the question.

17.2.3 ACE next displays the *ad valorem* rate column. The entry summary AD/CVD calculations must be correct or the entry summary will be placed in reject status.

17.2.4 ACE provides a data field for a specific rate of duty, that is, a set dollar amount for a given quantity. Units of measure (UOM) for products vary with the nature of the product and normal terms of sale so ACE also provides a UOM field and a description of that field. Common UOM are kg for kilograms, pcs for pieces, etc. When DOC/IA determines a specific rate of duty for a 10-digit case number, entry summaries filed in ACE will need to include the UOM for that rate.

Specific rates of duty are not captured in the rate screen in ACS but are reflected by blank spaces for the rate, followed by the effective date. ACE will write back spaces and the effective date to ACS. Trade portal users will need to view the ACE rates sub-tab for the case to determine the specific rate of duty and the UOM to apply to ACS filed entry summaries.

ACE calculates the specific rates of duty and compares them to the ACE entry summary submitted. However, ACS does not calculate specific rates of duty for AD/CVD cases. ACS entry summaries with specific rates of duty must be filed in accordance with CSMS #04-001115 entitled “AD/CVD Deposit Rate Issues.”

17.2.6 The final column on the rates portal view is

17.3 Events Information

the “Inactivated Date” field. When this column is completed, trade portal users should identify whether an inactive date is followed by a retroactive update of a rate. (See procedures above for retroactive update of rates.)

The “Events” sub-tab makes it much easier for trade portal users to identify when changes in suspension of entry summaries, bonding and cash deposits are likely to occur. Data fields common to all events are the effective date, the name of the event, the determination, the FR Cite, the added date, and the inactivated date. As with company details, the effective date and the added date may differ. The inactivated date should be interpreted in the same manner as for inactivated rates dates. Normally, the effective date will be the same as the date of the FR Cite. In order to view the text of the FR Cite, portal users may access the text by selecting the volume number, which is the first 2-digits of the citation and inputting the page number from the second portion of the FR Cite into the “[Retrieve an FR Page](#)” provided by the Government Printing Office. The Federal Register is not part of the ACE secure network so the FR must be accessed outside of ACE.

17.4 Bond/Cash Requirements

The bond/cash sub-tab provides the trade portal user with enhanced information on the current requirement for the AD/CVD case as well as clear information of these requirements for previously filed entry summaries.

17.4.1 When DOC/IA approves a request for a “New Shipper Review” (NSR), “bond ” will follow “cash’ for the NSR company to indicate that a bond is permitted for the named producer or foreign exporter or combination identified by the case. Once DOC/IA has completed its NSR investigation cash will be required.

17.4.2 Trade portal users are responsible for the correct bonding and deposit of AD/CVD and should promptly submit any additional bond or cash deposit when this indicator has been retroactively updated.

17.4.3 DOC/IA normally will transmit an instruction message for each effective date in this tab. Trade portal users with questions on the applicable bond/cash requirement should research the DOC/IA messages to determine whether previously transmitted instructions resolve the question.

[See Section 6.0 for more information regarding filing a Single Transaction Bond.](#)

17.5 Administrative Review

The information contained in the Administrative Review (AR) sub-tab are the POR #, the Period of Review, Event, Event Effective Date, Added Date, Event FR Cite, and Msg #. Information on each of these data fields is set forth below. The AR sub-tab is designed to easily identify entry summaries which should be liquidated by providing an entry summary date range with a hyperlink to associated liquidation instruction messages. Trade portal users must not rely solely on the absence of a hyperlinked message in this sub-tab since this is a manual input process.

When portal users expect a liquidation instruction should be present based on the stage of the AD/CVD case, they should perform a search of messages

DOC/IA will complete the AR sub-tab for AD/CVD cases after ACE A2.3.1a is released so historical information is not included, except as DOC/IA determines is necessary for clarity on and AD/CVD case.

17.6 HTS Sub-tab – NEW SECTION

17.6.1 The HTS sub-tab contains only 3 data fields: HTS number, added date and inactivated date. ACE validates HTSs that are added to the case file to ensure the HTS exists and that it is an active HTS at the time it is added.

ACE to ACS: ACE writes back the HTS of the AD/CVD case to the ACS case file for ACS entry summary validation. In order for a “03” entry summary to be filed, one of the requirements for ACE and ACS is the presence of an active HTS

for the case being reported. When an ACE or ACS entry summary cannot be transmitted because an HTS is not present in the case file or is inactive, the trade user must contact their ABI client representative.

New HTSs may be added to an AD/CVD case from the time of the preliminary determination to the order (see “Events” sub-tab) or they may be inactivated during this time period. Once the AD/CVD case goes to order the scope of the order is finalized, except as described below under “changed circumstances” and “anti-circumvention.” The new ACE data field “added date” is intended to simplify identification of entry summaries that may be subject to an AD/CVD case.

17.6.2 Written Description Dispositive—

Trade portal users must always remember that the HTS in the AD/CVD case file are present to facilitate the filing of AD/CVD entry summaries in compliance with AD/CVD orders. The written description of the AD/CVD order is always dispositive as to whether any given product is within the scope of an order. Trade users should conclude that a product is within or is not within the scope of an order based on the presence or absence of an HTS in the AD/CVD case file. Trade users are reminded of their responsibilities under the Mod Act to properly file entry summaries.

17.6.3 Addition of HTS—

DOC/IA may add HTS numbers to an AD/CVD case file after a case has gone to order for reasons such as changes in the HTS, CBP change in classification of a product, results of a changed circumstances review, and results of an anti-circumvention determination.

17.6.4 “Changed Circumstances” Review—

Interested parties may request that the DOC/IA conduct a changed circumstances review of an AD Order or suspension agreement. A changed

circumstances review addresses questions about the applicability of the order (for example, “no interest revocations,” where partial or total revocation of the order is warranted because domestic parties are no longer interested in covering certain products). When DOC/IA finds products should no longer be covered by the order, it will publish the notice in the Federal Register and issue an instruction message to CBP

17.6.5 Anti-circumvention—

A petitioner may request that DOC/IA conduct a review of products which are not explicitly covered by the scope of the order, but which a petitioner believes should be covered in order to prevent circumvention.

17.7 Susp ES Sub-tab NEW SECTION

17.7.6 Susp ES—

ACE greatly simplifies the identification of entry summaries within a time period that are subject to suspension of liquidation. The Susp ES sub-tab contains only 4 data fields: Effective Date, Suspend ES, Added Date and Inactivated Date.

17.7.7 Maintenance of ACE Data—

When the DOC/IA creates an AD/CVD case in ACE (published in the FR and INI instruction message issued), the DOC/IA will input the date of initiation of investigation on the Events sub-tab and the “N/A” indicator and effective date on the Susp ES sub-tab because entry summaries are not subject to the suspension of liquidation at the initiation of an investigation. When the DOC/IA makes an affirmative preliminary or final determination that entry summaries are subject to suspension of liquidation, the DOC/IA will input the effective date the suspension of liquidation begins and the “Start” indicator. When the DOC/IA makes a determination that entry summaries should no longer be suspended, for example, the start of a GAP period, the exclusion of a company from an AD/CVD investigation, the revocation of a company after an order, the revocation of an AD/CVD case resulting from a Sunset Review, the DOC/IA will complete the

17.8 AD/CVD Messages

effective date field and insert the “STOP” indicator. CBP and trade portal users should be mindful that DOC/IA updates the Susp ES sub-tab separately from the Events, B/C and other sub-tabs.

The N/A indicator in the Susp ES sub-tab means that entry summaries are not subject to the suspension of liquidation. Notification to the importer and sureties of the suspension of liquidation remain performed for type 03 entry summaries.

Public messages will be available to the trade via ACE, and unofficial copies of public messages will be available on the [ADDCVD Search Application](#) on cbp.gov. ACE enhancements allow CBP and trade portal users to more readily identify actions that need to be taken with respect to ACE and ACS transmitted and unliquidated entry summaries.

[ADDCVD Search Application](#)

17.8.1 Portal users should refer to the events sub-tab to determine the most likely source of a message, for example, an active case that went to order in 1995 would have the initiation of investigation message, the preliminary determination message, the final determination message, the order message, and liquidation instructions originating in ACS. For events that occur under ACE, messages will originate in ACE.

17.8.2 DOC/IA messages now contain searchable information on specific foreign companies by the addition of the companies sub-tab to messages. Messages now contain not just the 10-digit case number but the party name and role (i.e. manufacturer and/or foreign exporter) as well as the party ID number.

17.8.3 Trade portal users are reminded that ACE entry summaries for named manufacturers and foreign exporters must only be made in accordance

with DOC/IA's instructions, that is, where the instructions state that a particular manufacturer and exporter combination have been given a 10-digit case number, both those firms must be present and acting in the role named.

18.0 Liquidation

18.1 No change liquidation

Liquidation processing for ACE entry summaries will continue to occur in ACS. ACS will update liquidation data fields on the ACE entry summary record.

The entry summary status will be set to "liquidated" with a scheduled liquidation date. ACS will write liquidation data fields to the ACE entry summary record. *(2-week cycle)* 

When an AD/CVD entry summary has more than one case on the entry summary and liquidation instructions have not been issued for all the cases on the entry summary, liquidation will be suspended until action is taken to address all the AD/CVD cases on the entry summary.

18.2 Change liquidation

Classification, value, duty, fee, quantity, etc., changes made by CBP will be captured online in the ACE entry summary record. Not all fields in entry summary will be changeable. Data validations will be performed on changed entry summary fields. The authorized CBP user will process the change liquidation in ACS.  *(2-week cycle)*

18.2.1 When a line on an AD/CVD entry summary requires processing for a change liquidation and the suspension of the entry has not been lifted, CBP will make the appropriate changes to the line(s). Liquidation will be suspended until action is taken to address all the AD/CVD cases on the entry summary.

18.2.2 Once liquidation instructions for all AD/CVD cases have been received and all appropriate changes have been made, authorized

<p>18.3 Deemed liquidation</p>	<p>CBP user will process change liquidation in ACS. ACS will interface with ACE to write liquidation data fields to entry summary record. </p> <p>18.3.1 When AD/CVD entries have liquidated by operation of law and AD/CVD duties have been deposited, an authorized CBP user will process a “no change” liquidation in ACS. ACS will interface with ACE to write liquidation data fields to entry summary record. </p> <p>18.3.2 When AD/CVD entries have liquidated by operation of law and AD/CVD duties have not been deposited and have secured by a bond, an authorized CBP user will process a “change” liquidation in ACS. A bill will be sent to the importer of record (IOR) and/or SEB surety for the amount that would have been deposited at the time of entry, if the IOR elected to provide cash in lieu of surety. ACS will interface with ACE to update liquidation data fields of the entry summary record. </p>
<p>18.4 Bypass liquidation</p>	<p>ACS will process the liquidation batch jobs to process the bypass liquidated entries. ACS will interface with ACE to update liquidation data fields of the entry summary record. <i>(314-day cycle)</i> </p>
<p>18.5 Unset liquidation</p>	<p>Authorized CBP users have the ability to unset liquidation where the status has been set to “liquidated” with a future liquidation date. ACS will interface with ACE to update liquidation data fields of the entry summary record. </p>
<p>18.6 Extend liquidation</p>	<p>Authorized CBP users have the ability to extend liquidation of entries where status has been set to “liquidated” with a future liquidation date. ACS will interface with ACE to update liquidation data fields of the entry summary record. </p>
<p>18.7 Suspend liquidation</p>	<p>Authorized CBP users have the ability to suspend liquidation of entries where status has been set to “liquidated” with a future liquidation date. ACS will interface with ACE to update liquidation data fields of the entry summary record. </p>

18.8 Informal entry summary liquidation

ACS will process the daily informal entry liquidation batch jobs. ACS will interface with ACE to write liquidation data fields to the entry summary record. 

18.9 Re-liquidation

Classification, value, duty, fee, quantity, etc., changes made by CBP will be captured online in the ACE entry summary record. CBP will process re-liquidation in ACS. ACS will interface with ACE to update liquidation data fields of the entry summary record. 

19.0 Reconciliation

ACE entry summaries may be flagged for reconciliation on an entry-by-entry or blanket basis. The reconciliation entry summary (type 09) must be filed in ACS.

19.1 ACS will process the ABI reconciliation transaction. The reconciliation entry may be associated with both ACE and ACS underlying entry summaries.

19.2 The underlying flagged entry summaries will be updated with a status code in ACS or ACE.

19.3 Upon successful reconciliation processing of all underlying entry summaries, ACS will write the reconciliation data to ACE.

19.4 ACE entry summaries that are flagged for Reconciliation do not need the Reconciliation flags removed prior to cancelling the entry summaries in ACE.

20.0 Protests and 520(d) Claims

Protests on ACE entry summaries may be made in writing or electronically via ACS. CBP shall use ACE data to decide electronic protests, and shall use the documentation provided by the protestant for paper protests. If CBP did not previously request entry summary related documentation for the subject ACE entry summary, the protestant must provide the supporting documents necessary for CBP to make a decision on the protest.

Note: If an ACE entry summary is liquidated, and the filer determines additional money or non-revenue changes are required, the filer shall file a prior disclosure or a protest (if within the protest period).

CBP will update the entry summary line information for approved post-importation claims made on ACE entry summaries.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
3.4	May	Global change	Added references to CBP Form 7501A as a result of OMB approval for this form
		New section: 2.3.3	Cargo release messaging related to “docs required” RR message on ACE entry summaries certified for release
4.0	July 2015	New Version	Cover Page Updated to 4.0
		Overview (Page One)	Added reference to Deployment E
		Overview (Page One)	added entry types 51 and 52 to the list of entry types included in the release
		1.2.2.3	Added ACE entry summaries certified from ACE cargo release
		2.2.1	Added “cargo release processing occurs in both ACS and ACE” and “ACE entry summaries

			certified from ACE cargo release
		2.2.2.1	Added “single pay”
		2.2.2.2	Removed the phrase “must be initially paid” and removed the words “There” and “be” and added “have”
		2.2.2.2. (3 rd paragraph)	Removed “the first page of the CBP Form 7501” and replaced it with “a copy of the CBP Form 7501 data”
		2.3.1	Added Document Image System (DIS)
		2.3.3	Added “ACE cargo release”
		4.0 *New Section*	Non-ABI Entry Summaries
		5.1.1	Removed “paper submission” and replaced it with DIS
		5.1.2	Removed the phrase “the timeliness of”
		5.2.2	Added DIS
		5.3.1	Removed the word “this” and added the word “and”.

		6.1	<p>Added the following: “For ACE Entries followed by ACE Entry Summaries, or ACE Entry Summaries certified for ACE Cargo Release, where an STB is used, an eBond will be required starting January 3, 2015. ACE will implement validations on these inbound transactions where, if a bond is referenced on a transaction, and no bond is found on file in ACE, that transaction will be rejected. For all other STB scenarios, eBond will not be required. Paper processing of these STBs will continue as they do today. Due to the eventual retirement of ACS processing for Entries and Entry Summaries, the same eBond STB validations in place for ACE filed transactions will not be deployed to ACS. As such, we will not perform the system validations to ensure an STB is on file for these Entry/Entry Summaries. For this reason, operations will remain status quo.</p>
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		7.0	Added entry type 52
		7.1 new section added/renumbered	Explanation of the requirements for participation in the test for ACE RLF entries certified from ACE cargo release; old section 7.1 is now 7.2
		7.2	Was 7.1; renumbered to 7.2; added DIS
		7.2.3	Added “or DIS for test participants
		7.3	Was 7.2; renumbered to 7.3
		7.4	Was 7.3; renumbered to 7.4; added “or

			DIS for test participants
		10.2.4	Added entry types 51 and 52; removed the third sentence
		10.3.3.1	Added DIS
		10.3.3.3	Removed
		10.4.2	Replaced “place it in the broker’s box at the port of entry” with “email it to the email address previously provided by the filer.”
		10.5.2	Replaced “place it in the broker’s box at the port of entry” with “email it to the email address previously provided by the filer.”
		10.5.3	Added DIS
		10.5.3.1	Changed “will” to “may”
		10.5.3.2	Added “or the Center of Excellence and Expertise (CEE), based on the initiator of the request.”

		10.5.4	Added (email or fax)
		16.2.1	Liquidation date not required for PSC on entry type 03
		16.2.5	Added: "A PSC or PEA is permitted to be used for the submission of invoice(s) omitted from the entry package at the time of entry."
		16.2.5	Renumbered to 16.2.6
		16.2.7	Renumbered to 16.2.8
		16.2.10	Renumbered to 16.2.9
		16.2.10	Changed "NAFTA Reconciliation Indicator" to "Trade Agreement Indicator"
		16.2.11	Renumbered to 16.2.10
		16.2.12	Renumbered to 16.2.11
		16.2.13	Renumbered to 16.2.12
		16.2.14	Renumbered to 16.2.13
		16.2.15	Renumbered to 16.2.14

		16.2.16	Removed “If CBP disagrees with the PSC change, the CBP user shall reject the PSC back to the filer. A PSC which has been rejected back to the filer may only be transmitted to CBP within two business days. If the filer does not retransmit to CBP within two business days, CBP will change the entry summary to the previously accepted version and liquidate the entry in the two- week cycle.
		16.2.17	Renumbered to 16.2.15
		16.2.18	Removed
		16.5.2	Removed
		16.5.3	Renumbered to 16.5.2
		20.0	Note: If an ACE entry summary is liquidated, and the filer determines additional money or non-revenue changes are required, the filer shall file a prior disclosure or a protest (if within the protest period).

5.0	Feb 2016	New Version	Cover Page Updated to 5.0
		Overview	Added email
		Overview	Added entry types
		ACE Transaction Timeline	Added
		Page 1 and 2 Left blank for future use	Added
		Section 2.3	Added ACE CR Bus Rules
		Section 7.0	Added entry Types, various
		Section 7.0	Contact information
		Section 10.0	Added entry types
6.0	March 2016	New Version	Cover Page Updated to 6.0
		Overview	Added new email address ACEBusinessrules@cbp.dhs.gov and Recordkeeping in ACE link.
		Overview	Renumbered pages/sections
		Section 2.3.1	Added DIS and link to section 7.2
		Section 3.1.3	Entry summary number may not be re-used.
		Section 4.1	Delineate between Entry and Entry summary
		Section 4.2.1	Paragraph deleted.
		Section 5.1	Clarified information
		Section 6.0	Added mailbox ACE STB@cbp.dhs.gov and DIS Implementation Guide

		Section 7.0 Title Change	Remote Location Filing Process
		Section 14.0 TIB	Add TIB section to reflect current process
		Section 16.0 PSC	Update Post Summary Correction
		Global Change	Improved format, grammar, and sentence structure
6.1	April 2016	New Version	Cover page 6.1
		Section 10.1.3	Two days updated to five days