

# CBP and Trade Automated Interface Requirements

PGA data corrections (CA/CC)

December 9, 2016



U.S. Customs and  
Border Protection



This chapter provides record formats and processing instructions for submitting data to government agencies that will participate with modernization of the automated cargo systems.

The reader should be advised that this technical document is considered final. However, the document retains the DRAFT designation in the footer until such time that an official OPA (Office of Public Affairs) publication number has been assigned to the new “ACE ABI CATAIR” publication. For your information, subsequent revisions to this document will be controlled through the official CBP document amendment process.

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Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
6	December 9, 2016	(A) General Chapter Information/Post arrival and release	(A) Updated first sentence for clarification.
5	November 02, 2016	(B) Input Status record usage map (C) Output Status Record Usage Map (D) General Chapter Information (E) CA10, 40, 60 header	(B) Removed Max Use '1' from PG60 (C) Updated to reflect one OI per tariff. (D) Deleted the sentence: "There can be one entry number per CA submission". (E) Deleted references to whether or not the record can be repeated. Refer to the input status record usage map for that information.
4	October 05, 2016	(A) Overall document (B) General Chapter Information/Post Arrival and Release (C) Input Status Record Usage Maps	(A) Removed word 'draft' from the footer (B) Updated first sentence to indicate 'calendar' days. (C) Updated to reflect that one OI per tariff is allowed. Added missing text for Note 1
3	August 8, 2016	(A) Output Record Usage Map (B) CA90	(A) Added CA90 after PGA grouping for the line level errors; changed 'PE90' to 'CA90' for Transaction Disposition Record (B) Updated Note 1
2	May 27, 2016	(A) General Chapter information (B) Specific Chapter information  (C) CA61 (D) Input Record Usage Map (E) Output Record usage map (F) Table of Contents	(A) Updated the language to reflect that corrections apply to cargo release transmissions. (B) Updated this section, removing '000' condition related to replacing PGA data. Updated the 'input' text; Updated the Example 1 text and sample removed references to the PG000 (C) Added new record CA61 (D) Updated input record usage map to include CA61 (E) Updated output record usage map to include CA61 (F) Updated
1	April 26, 2016	(G) Chapter created	(G) Chapter created

A filer who transmits data or information through any electronic means to CBP certifies, by the act of transmitting such data or information, that the data or information transmitted is true and correct to the best of the filer's his knowledge and belief. The filer also declares that all statements in an electronically transmitted entry, entry summary, invoice, claim, other filing, and all other information or data filed with the entry are true and correct to the best of the filer's knowledge and belief, and that the filer will produce at once any data or information showing that the statements are not true and correct.

## General Chapter Information

The CA record is used for the input. The CC record is used for the output.

The PGA Data corrections chapter (CA) allows filers to correct the PGA data transmitted in the Cargo Release transmission.

This capability eliminates the need for the importer or broker to delete an entry so the filer can retransmit.

Deletion of a CA transaction is not allowed.

Do not use this application for submitting rejects from a PE submission.

All lines from the original entry do not need to be submitted. Only provide the CBP entry line for which the correction applies, along with all associated HTS codes for that line. The original entry line and associated HTS code combinations will be compared against the CA submission and if they do not match up the CA will be rejected.

No new CBP lines can be added using the CA application.

### Post Arrival and Release

If both the goods and the entry are arrived and released, the CA application is the only method for submitting corrections to PGA data, up to ten (10) calendar days after the goods and the entry are arrived and released.

For FDA, if both the goods and the entry are arrived and released, this transaction can be used only if the FDA status is rejected. The system will reject the CA submission otherwise.

For other PGAs, the CA can be used after both the goods and the entry are arrived and released, without a PGA reject status.

### Pre Arrival and Release

If the goods have not arrived, and the entry has not been released, trade can submit either the cargo release transmission along with PGA data (all rules for the parent transaction apply), or submit the CA only.

For FDA, if it is within the 5 day window for arrival, no updates are allowed unless the FDA status is rejected.

## Specific Chapter Information

When submitting a CA, all lines from the original entry do not need to be submitted. Only provide the CBP entry line and associated HTS codes for which the correction applies.

If there are no changes to PGA data associated with an entry line for the previous transmission, do not re-submit PGA records associated to that entry line on the CA. The absence of previously-submitted PGA data on a given line tells the system that the previously-submitted PGA data is valid.

To completely replace PGA data previously submitted, associated with a given entry line, provide the new PGA records for the associated entry line. The system assumes that this is the latest data picture for that PGA, associated with that entry line, and all PGA rules will be run.

To completely remove PGA data associated with a given entry line, provide a PG01 record with a 'D' in the Correction Indicator field, enter '000' in the PGA Line Number fields, provide the program code 'COR', and provide the appropriate agency code. This tells the system to delete all PGA data from that line for whichever agency is listed on that PG01.

NOTE: Currently, the PGA data provided is considered the entire latest snapshot for that agency. In the future, PGA line-by-line manipulation will be allowed. Also, corrections can only be made at the agency (not agency program) level.

### **Example 1 – Complete replace of a PGAs data using the CA.**

In this example, trade wants to replace APHIS' data only. Using the CA, trade provides the new APHIS data records. By doing so, the system assumes the data submitted is the latest picture of APHIS data for that CBP line and will completely replace the previous APHIS data submission for that CBP line, with this new data. The APHIS rules will run. Also in this example, since AMS data was NOT provided again in the CA, the system will assume the AMS data provided previously on CBP line 2 is valid, since data was not retransmitted for that agency. No Correction Indicator is needed in the new PGA data being submitted.

Original submission

CBP Line 1 HTS1  
PG01001APH  
PG01002APH  
CBP Line 2 HTS1  
PG01001AMS

CA submission

CBP Line 1 HTS1  
PG01001APH  
PG01002APH

### **Example 2 – Adding PGA data for a PGA not previously provided.**

In this example, on the CA, trade provides APHIS data, which was not provided previously. The system will run the APHIS rules against this data. It will assume EPA data previously provided on CBP line 1 and the AMS data provided previously on CBP line 2 is valid since replacement data was not provided for those agencies. No Correction Indicator in the PG01 is needed.

Original submission

CBP Line 1 HTS1  
PG01001EPA  
CBP Line 2 HTS1  
PG01001AMS

CA submission  
CBP Line 2 HTS1  
PG01001APH  
PG01002APH

In this example, once the CA is accepted, the latest picture would include EPA data on CBP line 1, and AMS and APHIS data on CBP line 2.

### **Example 3 – Removing all PGA data for a PGA that was previously provided.**

In this example, trade wants the system to remove all AMS data previously submitted. Trade provides a PG01 with an agency code of AMS, a PGA line number of '000', a Correction Indicator of 'D' and the 'COR' program code. This tells the system to remove all AMS PGA data associated with that CBP line. If there are multiple PG01 blocks for AMS, all PG01 blocks of data will be removed.

Original submission  
CBP Line 1 HTS1  
PG01001FSI  
CBP Line 2 HTS1  
PG01001AMS

CA submission  
CBP Line 2 HTS1  
PG01000AMSCOR D

**Input:** Record Identifier CA10, CA40 and CA60 are mandatory records that allow a filer to replace the PGA data that needs to be corrected and retransmitted. The CA61 is a conditional record that can also be provided. The CA10, CA40 and CA60 records (and the CA61 if applicable), plus the original PGA data elements (as applicable), make up the entire CA application. The CA10 provides the action code, filer code and entry number. Record Identifier CA40 provides the CBP line number, the CA60 provides the tariff number, and the CA61 provides the correct HTS code if the CA60 is expired.

It is the responsibility of the filer to make corrections as quickly as possible to ensure timely processing of the merchandise.

For this application, the input Application Identifier on Record Identifier B is CA. For additional information on Record Identifier B, refer to the Application Control chapter of this publication.

**Output:** The CA90 record provides a message informing if the corrected PGA data was accepted or not for further processing.

For this application, the output Application Identifier on Record Identifier B is CC. For additional information on Record Identifier B, refer to the Application Control chapter of this publication.

## General Data Submission Rules

Unused fields, which are defined as numeric, should not be zero-filled. These fields should be space filled or data errors may result.

*Data should not be placed in fields defined as filler. If data is present in filler fields, an error message may be system generated.*

When transmitting data, all letters must be upper case. While some applications may not return specific error messages when detecting lower-case letters, CBP cannot guarantee the consistency of processing results for data transmitted in lower case.

For this application, the input Application Identifier on Record Identifier B is CA. For additional information on Record Identifier B, refer to the Application Control chapter of this publication.

### Data Elements

The data element descriptors are defined as:

Code	Description
------	-------------

- |    |   |
|----|---|
| A  | The data element is alphabetic only.                    |
| AN | The data element is alphanumeric only.                  |
| C  | The data element is special characters.                 |
| N  | The data element is numeric only.                       |
| X  | The data element is alphanumeric or special characters. |

All data elements are in fixed-length format. If all positions are not filled, the formatting rules are:

Code	Description
------	-------------

- |    |                              |
|----|------------------------------|
| A  | Left justify and Space fill. |
| AN | Left justify and Space fill. |
| C  | Left justify and Space fill. |
| N  | Right justify and zero-fill. |
| X  | Left justify and Space fill. |

**Note: If there is no data to insert in a field, Space fill.**

Status codes are important to ensure that appropriate data is transmitted. Codes must be used where indicated or errors will occur.

Code	Description
------	-------------

- |   |  |
|---|--|
| M | Mandatory data element - must always be present.                       |
| O | Optional data element - generate data if available.                    |
| C | Conditional data element - data is provided if the conditions warrant. |



# INPUT STATUS RECORD USAGE MAPS

For the PGA Data Correction (CA) Record Usage:

Record ID	Name	Req. Des.	Max Use	Loop Repeat	Notes
	Block Control Grouping	M		1	1
	Transaction Control Headers (A,B)	M			
	CA Header Grouping	M		999	
CA10	Action code, filer code, Entry number	M	1		
	CA Line Grouping	C		999	
CA40	CBP Line Item	M	1		
	Harmonized Tariff Schedule Grouping	M		8	
CA60	Harmonized Tariff Schedule	M	1		
CA61	FTZ Privileged Foreign Status Add'l Detail	C	1		
	PGA Grouping	C		1	
OI	PGA Commercial Description	M			
	PGA Message	M		999	
PG01		M	1		
...					
PG60		C			
	Transaction Control Trailers (Y,Z)	M			1

Designation: M = Reporting Mandatory; C = Reporting Conditional; O = Reporting Optional

## Note 1:

Transaction Control Headers and Trailers must conform to the requirements set out in the ACE CATAIR ABI Batch & Block Control Chapter

## Record Identifier CA10 (Input)

This is a mandatory record that provides the entry number related to the corrected PGA data.

<b>Record Identifier CA10 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Record Type	4AN	1-4	M	Must always equal CA10.	
Action code	1A	5	M	A code representing the action type	1
Entry Filer code	3AN	6-8	M	A unique code assigned by CBP to all active entry document preparers. The Entry filer code occupies 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	8AN	9-16	M	Unique identifying number assigned to the Entry by the Filer.	
Filler	64X	17-80	C	Space fill	

### **Note 1:**

Valid Action code is:

<b>Code</b>	<b>Description</b>
R	Replace

Must always be R

## Record Identifier CA40 (Input)

This is a mandatory record that provides the Line item related to the PGA data being corrected.

<b>Record Identifier CA40 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Record Type	4AN	1-4	M	Must always equal CA40.	
Line Item Identifier	5N	5-9	M	The line item identifier associated with the CBP line where the correction occurs.	
Filler	71X	10-80	C	Space fill	



## Record Identifier CA60 (Input)

This is a mandatory record that provides data pertaining to the preceding CA40 record. It must appear prior to the corrected PGA data elements, unless a CA61 is used.

<b>Record Identifier CA60 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Record Type	4AN	1-4	M	Must always equal CA60.	
Tariff number	10AN	5-14	M	The appropriate duty/statistical reporting number associated with the line item number. This number must match the tariff number that was originally filed and must be sequenced in the exact order as originally transmitted when certified for cargo release.	
Filler	66X	15-80	C	Space fill.	

## Record Identifier CA61 (Input)

This is a conditional input record that provides data pertaining to the preceding CA60 record. This record is used when Privileged Foreign status is declared and when the tariff in the preceding CA60 is no longer active. If this record is provided, the PGA data must follow it, and not the CA60.

<b>Record Identifier CA61 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Record Type	4AN	1-4	M	Must always equal CA61.	
Current HTS Code	10AN	5-14	M	The appropriate current duty/statistical reporting number associated with the expired HTS code in the CA60. This number must match the tariff number that was originally filed and must be sequenced in the exact order as originally transmitted when certified for cargo release.	
Filler	66X	15-80	C	Space fill.	

# OUTPUT RECORD USAGE MAP

PGA Correction Response (CC) Record Usage Map: (Shows the Output Schema on Accept or Reject Correction filings)

Record ID	Name	Req. Des.	Max Use	Loop Repeat	Notes
	Block Control Grouping	M		1	
	Transaction Control Headers (A,B)	M			
	CC Header Grouping			999	
<a href="#">CA10</a>	Action code, filer code, Entry number	M	1		
<a href="#">CA40</a>	CBP line	M			
<a href="#">CA60</a>	Tariff number	M			
<a href="#">CA61</a>	Current HTS number	C			
<a href="#">CA90</a>	Error / Warning Message	C			
	PGA Line Grouping	C		1	
<a href="#">OI</a>		C	1		
	PGA Message Response	C		999	
<b>PG01</b>		M	1		
...					
<b>PG60</b>		C	1		
<b>CA90</b>	Error / Warning Message	C			
<b>CA90</b>	Transaction Disposition Record	M	1		
	Transaction Control Trailers (Y,Z)	M			

Designation: M = Reporting Mandatory; C = Reporting Conditional; O = Reporting Optional

## Record Identifier CA90 (Output)

This is a mandatory output record. It is used to provide information related to the acceptance or rejection of the submitted CA data. This record is repeated as often as necessary.

The system will return the original data submission tree along with a CA90 under each erroneous record, as needed.

<b>Record Identifier CA90(Output)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Record Type	4AN	1-4	M	Must always equal CA90.	
Narrative Message Type Code	2N	5-6	M	01 = Message Rejected 02 = Message Accepted 03 = Message Accepted with Warning(s) 04 = Message Referred to Human Review 11 = Record Rejected 13 = Record Accepted with a Warning	1
Narrative Message Identifier	3AN	7-9	C	A code identifying the narrative message.	
Narrative Message	40X	10-49	C	A narrative message indicating the acceptance or rejection of the input data.	
Filler	31AN	50-80	M	Space fill.	

### **Note 1:**

The CA90 is used at the message and record levels. Codes 01, 02, 11 and 13 will be sent to trade, as appropriate (based on PGA business rules). Codes 03 and 04 need more review before potential implementation.