CBP and Trade Automated Interface Requirements

Stand-alone Filing for Prior Notice Data (PE/PX)

November 28, 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	November 28, 2016	(A) PE10	A) In Note 6, added entry type 81. This code should be used for PEs filed against an FTZ admission number
5	November 2, 2016	(A) Input map (B) PE10

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
		(C) Input Status Usage Maps; Chapter Records	(C) Added PE16
		(D) PE10	(D) Updated description for Reference Identifier Number. Removed Government Agency Code and Government Agency Program Code since that information is provided in the PGA Message Set. Renumbered positions accordingly
		(E) PE10 Note 1	(E) Deleted Action Code of 'C' and "R"; updated descriptions to reference Action Code of 'D' instead of 'C'; deleted filing type 'O'.
		(F) PE10 Filing Type and Note 2	(F) Updated data element description text; updated associated note 2
		(G) PE10 Note 5	(G) Moved valid entry types to Note 6; Note 5 states that the Carrier, Entry Type and MOT are mandatory fields for FDA PN.
		(H) PE10 Note 3	(H) Deleted "Master-House, Simple" after code 'AWB'; changed BIL to BOL;
		(I) PE10 Note 4	(I) Updated various descriptions to reference BOL instead of BIL. Also updated reference from SE15 to PE15
		(J) PE10 Note 6, 7	(J) Note 6 is now Entry Types. Note 7 is now MOT codes. Moved codes 61 and 62 from Note 7 to Note 6
		(K) PE15 Note 1	(K) Updated description to reference Action Code of 'D' instead of 'C'
		(L) PE15	(L) Updated description for Bill of Lading Number and Prior Notice Confirmation Number.

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 PE record is used for the input. The PX record is used for the output.

This chapter currently provides for:

- The entire lifecycle of prior notice procurement for FDA. PE filing in ACE (WP filing in ACS for Prior Notice)

Using PGA Message Set Data

When submitting data via the PE, the applicable PE records must be provided. Those must be followed by the *Partner Government Agencies* CATAIR records. The specific PGA records to be submitted will be as required by a PGA or as applicable.

All of the spec rules and data formatting from the *Partner Government Agencies* CATAIR chapter apply, with one exception. For a PE submission, multiple OI records are allowed to be submitted, so that each PGA block submitted begins with an OI record. Regardless of the number of OI records submitted on a single PE, the system will assume the PGA line numbering will be unique.

To be determined is how the PG00 PGA Substitution Record would be formatted for a PE submission.

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 PE. 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.

Stand-alone data submission for FDA

This data must be submitted when submitting Prior Notice data via the stand-alone PE application. If the in-bond is a type 63 (IE), or any in-bond move out of a Foreign Trade Zone it is not subject to Prior Notice reporting. Subsequent in-bonds are not subject to Prior Notice filing requirements. FDA 801(a) data is required to be submitted via the available entry processes and must not be submitted via PE.

The response message PX will include an Envelope Number. This is a number that has been used internally between CBP and FDA to track data for stand-alone prior notice data passed between the two agencies. This Envelope Number has always been a part of the Prior Notice information received by users of the FDA stand-alone PNSI filing. It is in addition to the Prior Notice confirmation number and is in no way a replacement for it.

Canceling a Prior Notice Confirmation (PNC) Number

The ability for a filer to cancel a Prior Notice Confirmation number that was received from FDA via the PE transaction, can be done using the action code of ‘D’ in the PE10 record.

Input: The PE10 record and PE15 record are records that allow a filer to cancel previously received PNC numbers. The PE10 record will provide the Action Code of ‘D,’ the Filing Type of ‘A,’ and the Envelope Number. The PE15 record will provide the specific PNC number that the filer is requesting be cancelled. The PE15 record may be repeated if there are multiple PNC numbers on a given entry or envelope number that a filer would like to be cancelled. If the filer wishes to cancel all of the PNC numbers for a given envelope number, then only the PE10 record is required to be submitted with the Action Code of ‘D,’ the Filing Type of ‘A,’ and the Envelope Number.

INPUT STATUS RECORD USAGE MAPS

For the Stand-alone PGA (PE) Record Usage:

Record ID	Name	Req. Des.	Max Use	Loop Repeat	Notes
	Block Control Grouping	M		1	**1**
	Transaction Control Headers (A,B)	M			
	PE Header Grouping	M		999	
PE10	PGA Ref Qualifier, Ref code, and action	M	1		
PE15	Bill Type Indicator, Issuer Code, BOL #	C			
	PGA Grouping	C		999	
OI		M	1		
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 PE10 (Input)

This is a mandatory record when submitting stand-alone PGA data. See the implementation guide for the specific agency for usage of the stand-alone PGA reporting.

Record Identifier PE10 (Input)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Record Type	4AN	1-4	M	Must always equal PE10.	
Action code	1A	5	M	A code representing the action type	1
Filing Type	1AN	6	M	A code representing the type of Prior Notice being submitted	2
Reference Qualifier Code	3AN	7-9	M	Code that defines the Reference Identifier Number being provided	3
Filer or Issuer code for Reference Identifier	4AN	10-13	C	The filer or issuer code associated with the Reference Identifier Number. The issuer code is representing the issuer of the bill of lading. Space fill if Reference Qualifier codes AWB or FTZ or INB are entered in positions 7-9.	
Reference Identifier Number	36X	14-49	M	The unique identifying number associated to the Reference Qualifier Code. For a bill of lading number it is the number as listed on the manifest or the In-Bond number. If the number is less than 36 positions, it is left justified. Do not include spaces, hyphens, slashes or other special characters. Include the AWB prefix for Air Shipments for Master/Simple Bill of Lading Numbers.	4
Filer defined reference number	9X	50-58	O	Internal number used by trade for their purposes. Allows them to correlate data back to their systems, as applicable.	
Space fill	1X	59	M	Space fill	
Bill Type Indicator	1X	60	C	Code identifying the type of Bill of Lading Number. Valid codes are: R = Regular / Simple Bill of Lading; Shipment Control Number (Mode Truck) M = Master Bill of Lading; Shipment Control Number (Mode Truck) T = Express Carrier Tracking Number *(air only)*	

Record Identifier PE10 (Input)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Carrier	4AN	61-64	C	A code identifying the carrier. SCAC or IATA. Use of 'UNKN' as a carrier code is not allowed.	
Entry Type	2AN	65-66	C	A code representing the entry type. Valid entry type codes are listed in Appendix B of the ACS CATAIR publication.	5, 6
Mode of Transportation (MOT) Code	2AN	67-68	C	A code representing the mode of transportation. Valid mode of transportation codes are listed in Appendix B of the ACS CATAIR publication.	5, 7
Envelope Number	12X	69-80	C	The number assigned to the PE submission by CBP	

Note 1:

Valid Action codes are:

Code	**Description**
A	Add
D	Delete
R	Replace

If an action code of 'R' is supplied, then you can only replace Prior Notice Data that was rejected.

Note 2:

Other codes may be added as agencies identify requirements

Code	**Description**
A	Generic code for general prior notice submission
B	*future use*
C	*future use*
D	*future use*

Note 3:

For FDA, this, along with a filer or issuer code of the bill of lading and Reference Identifier number, serves as the unique key for the Prior Notice submission.

ENT	Entry number
BOL	Bill of Lading Number (Ocean, Rail or Truck)
AWB	Air waybill
FTZ	FTZ admission number
INB	In-bond number

If action code of ‘D’ is used to cancel a PNC Number previously received from FDA, then provide the envelope number in the PE10 record (positions 69-80).

If an action code of ‘R’ is used with a filing type of ‘A’ to correct previously rejected prior notice data, then provide the envelope number in the PE10 record (positions 69-80).

Note 4:

- If providing entry number, provide Filer Code in positions 10-13 and the Entry number in this field.
- For all MOT’s: if the bills and/or in-bond numbers are related to an entry number or FTZ admission, use this record to report the entry or FTZ information and use the PE15 record to report the associated bills and/or in-bond numbers.
- If the bills and/or in-bond numbers are NOT related to an entry number or FTZ, use the following guidance:
    - To report Bill of Lading Numbers for Air shipments:
        - Master Bill of Lading/House Bill of Lading- Use a single PE10 record with Ref. Qual. Code ‘AWB,’ Bill Type Indicator ‘M,’ and report the Master Bill of Lading Number (including AWB prefix) in the Reference Identifier Number field, followed by a PE15 record with Bill Type Indicator ‘H’ and the House Bill of Lading Number.
        - Simple Bill of Lading – Use a single PE10 record with Ref. Qual. Code ‘AWB,’ Bill Type Indicator ‘R,’ and report the Simple Bill of Lading Number (including the AWB prefix) in the Reference Identifier Number field.
        - Express Carrier Tracking Number: Use a single PE10 record with Ref. Qual. Code ‘AWB,’ Bill Type Indicator ‘T,’ and report the Tracking Number (including the AWB prefix) in the Reference Identifier Number field.
        - In-bond Number – Use a single PE10 record with Reference Qualifier Code ‘INB’ to report the In-bond Number. This record should:
            - be followed by a PE15 with Simple Bill of Lading; or,
            - be followed by pair of PE15 records: the first PE15 record with Bill Type Indicator ‘M’ and the Master Bill of Lading Number (including the AWB prefix), and second PE15 record with Bill Type Indicator ‘H’ and the House Bill of Lading Number.

    - To report Bill of Lading Numbers for Ocean/Rail shipments:
        - Master Bill of Lading/House Bill of Lading- Use a single PE10 record with Ref. Qual. Code ‘BOL,’ Bill Type Indicator ‘M,’ and report the Master Bill of Lading Number in the Reference Identifier Number field, followed by a PE15 record with Bill Type Indicator ‘H’ and the House Bill of Lading Number.
        - Simple Bill of Lading – Use a single PE10 record with Ref. Qual. Code ‘BOL,’ Bill Type Indicator ‘R,’ and report the Simple Bill of Lading Number in the Reference Identifier Number field.
        - In-bond Number – Use a single PE10 record with Reference Qualifier Code ‘INB’ to report the In-bond Number. This record should:
            - be followed by a PE15 with Simple Bill of Lading; or,
            - be followed by pair of PE15 records: the first PE15 record with Bill Type Indicator ‘M’ and the Master Bill of Lading Number, and second PE15 record with Bill Type Indicator ‘H’ and the House Bill of Lading Number.

- To report Bill of Lading Numbers for Truck shipments:
  - Master Bill of Lading (aka Shipment Control Number)/House Bill of Lading (aka Bill Control Number) - Use a single PE10 record with Ref. Qual. Code 'BOL,' Bill Type Indicator 'M,' and report the Master Bill of Lading Number in the Reference Identifier Number field, followed by a PE15 record with Bill Type Indicator 'H' and the House Bill of Lading Number.
  - Simple Bill of Lading (aka Shipment Control Number) - Use a single PE10 record with Ref. Qual. Code 'BOL,' Bill Type Indicator 'R,' and report the Simple Bill of Lading Number in the Reference Identifier Number field.
  - In-bond Number – Use a single PE10 record with Reference Qualifier Code 'INB' to report the In-bond Number. This record should:
    - be followed by a PE15 with Simple Bill of Lading; or,
    - be followed by pair of PE15 records: the first PE15 record with Bill Type Indicator 'M' and the Master Bill of Lading Number, and second PE15 record with Bill Type Indicator 'H' and the House Bill of Lading Number.

Valid formats for In-bond Number are:

NNNNNNNNN	CBP assigned IT number
NNNNNNNNNNN	Air Waybill number *(leading NNN = airline prefix code)
XXXNNNNNNNN	"Paperless" Master In-Bond format

Note 5:

This field is mandatory for FDA PN.

Note 6:

Valid Entry Type codes for a PE are:

Code	Description
01	Consumption – Free and Dutiable
02	Consumption - Quota/Visa
03	Consumption - Antidumping/ Countervailing Duty
06	Consumption - Foreign Trade Zone (FTZ)
07	Consumption - Antidumping/ Countervailing Duty & Quota/Visa Combination
11	Informal – Free and Dutiable
12	Informal - Quota/Visa (other than textiles)
21	Warehouse
22	Re-Warehouse
23	Temporary Importation Bond (TIB)
52	Government Dutiable
61	Immediate Transportation
62	Transportation and Exportation
***81**	FTZ Admission

* Enter code 81 in the Entry Type field when the import transaction is an FTZ Admission.

Note 7:

Valid Mode of Transportation (MOT) Codes are:

Code	Description
10	Vessel, Non-container
11	Vessel, Container
12	Border Water-borne (only Mexico and Canada)
20	Rail, Non-container
21	Rail, Container
30	Truck, Non-container
31	Truck, Container
32	Auto
33	Pedestrian
34	Road, other. Includes foot and animal-borne.
40	Air, Non-container
41	Air, Container
50	Mail
60	Passenger, Hand Carried
70	Fixed Transport Installations. Includes pipeline and powerhouse.

Record Identifier PE15 (Input)

This is a conditional record pertaining to bill of lading data when submitting stand-alone PGA data.

Record Identifier PE15 (Input)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Record Type	4AN	1-4	M	Must always equal PE15.	
Bill Type Indicator	1X	5	C	Code identifying the type of Bill of Lading Number. Valid codes are: R = Regular / Simple Bill of Lading; Shipment Control Number (Mode Truck) M = Master Bill of Lading; H = House Bill of Lading; Bill Control Number (Mode Truck) S = Sub-House Bill of Lading *(future use)* T = Express Carrier Tracking Number *(air only)* I = In-bond number	
Issuer Code of Bill of Lading Number	4AN	6-9	C	A code representing the issuer of the bill of lading. Space fill for Air shipments.	
Bill of Lading Number	50X	10-59	C	The unique identifying number associated to the Bill Type Indicator in this record. For a bill of lading number it is the number as listed on the manifest or the In-Bond number. If the number is less than 50 positions, it is left justified. Do not include spaces, hyphens, slashes or other special characters. Include the AWB prefix for Air Shipments for Master/Simple Bill of Lading and Tracking Numbers.	
Prior Notice Confirmation Number	15X	60-80	C	The confirmation number received from FDA when prior notice is received.	1

Note 1:

If an action code of 'D' in the PE10 is provided and the desire is to cancel one PNC number that has previously been received from FDA then that number must be provided in this field. To cancel multiple PNC numbers for a single envelope number then this record may be repeated. To cancel all PNC numbers for a given envelope

number, then only the PE10 record is required to be submitted with the Action Code of ‘D,’ the Filing Type of ‘A,’ and the Envelope Number.

OUTPUT RECORD USAGE MAP

PGA Response (PX) Record Usage Map: (Shows the Output Schema on Accept or Reject Stand-alone filings)

Record ID	Name	Req. Des.	Max Use	Loop Repeat	Notes
	Block Control Grouping	M		1	
	Transaction Control Headers (A,B)	M			
	PE Header Grouping			999	
PE10	PGA Reference Qualifier, Reference code, and action	M	1		
PE90	Error / Warning Message	C	10		
	PGA Line Grouping	C		999	
OI	Partner Government Agency	C	1		
…					
PG55		C	1		
PE90	Transaction Disposition Record	M	1		
	Transaction Control Trailers (Y,Z)	M			

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

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Record Identifier PE90 (Output)

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

The system will return the original data submission tree along with a PE90 under each erroneous record, as needed.

Record Identifier PE90(Output)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Record Type	4AN	1-4	M	Must always equal PE90.	
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.	
Envelope Number	20AN	50-69	C	Envelope Number with the accepted FDA transaction	
Filler	11AN	70-80	M	Space fill.	

Note 1:

The PE90 is used at the message and record levels. Codes 01, 02, and 11 will be sent to trade, as appropriate (based on PGA business rules). Codes 03, 04, and 13 need more review before potential implementation.