BUSINESS RULES AND PROCESS DOCUMENT (*Trade – External*)

ACE Entry Summary (*Version 7.7*)

November 2016

U.S. Customs and Border Protection

Version 7.7 Changes

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Section	Changes Summary
Section 15 (*Reconciliation*)	Updated the Reconciliation chapter of the document to include a link to the ACE Reconciliation Prototype Guide on cbp.gov.
Section 16 (*Protest*)	Removed section 16.6 from the Protest chapter because it was redundant to other information that was already being provided in this document.
Section 10 (*Temporary Import Bonds (TIB)*)	Removed language from section 10.1 of the Temporary Import Bonds chapter that is no longer applicable.
Section 13 (*AD/CVD Case Management/Messages*)	Significant revisions have been made to the AD/CVD chapter to make sure that they are up to date with the most recent ACE updates.
Section 5.5 UC2 (Documents Required) Notification	A new section has been added to the System-Generated Notifications chapter regarding how to handle UC2 (documents required) messages/requests.
Section 18 (Drawback)	Significant updates have been made to the Drawback chapter.

Table of Contents

(Click on the icon at the beginning of each section to return to the Table of Contents page)

1.0 SYSTEM EDITS AND VALIDATIONS 1

2.0 ENTRY SUMMARY RECORD CREATION 2

3.0 ENTRY SUMMARY CANCELLATION 5

4.0 NON-ABI ENTRY SUMMARIES 5

5.0 SYSTEM-GENERATED NOTIFICATIONS 6

6.0 SINGLE TRANSACTION BONDS (FOR EBOND) 8

7.0 REMOTE LOCATION FILING PROCESS 9

8.0 ENTRY SUMMARY TEAM REVIEW 11

9.0 BLANKET DECLARATIONS 15

10.0 TEMPORARY IMPORTATION BOND (TIB) 20

11.0 POST SUMMARY CORRECTION 21

12.0 QUOTA 26

13.0 AD/CVD CASE MANAGEMENT/MESSAGES 37

14.0 LIQUIDATION 42

15.0 RECONCILIATION 43

16.0 PROTESTS AND 520(D) CLAIMS 43

17.0 WAREHOUSE ENTRIES AND WITHDRAWALS 46

18.0 DRAWBACK 48

APPENDIX 1 53

Summary Processing

Overview

This 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.

***Note:** this document will address the processes and functionality throughout the ACS to ACE transition. Additional versions of this document will be issued though out the ACS to ACE transition during 2016 and 2017.

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

For the latest information on the ACE Mandatory Dates, go to:
https://www.cbp.gov/trade/automated/ace-mandatory-use-dates

ACE Background

CBP published a Federal Register Notice (FRN) on May 23, 2016 (81 FR 32339) stating that as of July 23, 2016 ACE will be the sole CBP EDI for the following entry and entry summary filings: 01, 02, 03, 06, 07, 11, 12, 21, 22, 23, 31, 32, 34, 38, 51, 52, 61, 62, 63, 69, and 70.

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

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.

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 ***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 Post Summary Correction (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."

2.2.2.5 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.

2.3 ACE Entry Summary Review Notification

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** (*UC2; also 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 and DIS must be presented to CBP in paper form. When submitting paper documents, CBP Form 3461 and CBP Form 7501 must accompany the entry summary documentation.

- **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 untimely, the case may be converted to a "late file" liquidated damages case.

The entry control office will validate the timeliness of the submission, process liquidated damages, where necessary, and route to the appropriate team.

**Cargo Release Messaging ***Refer to the ACE Cargo Release Business Rules Document for Additional Information*

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.

2.4 Rejecting an Entry Summary

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.

2.5 Deleting an Entry Summary	2.5.1 An authorized trade user may delete an ACE entry summary while the entry summary is in "Trade" control. 2.5.2 The trade may not delete an entry summary while the entry summary is in rejected status.

3.0 Entry Summary Cancellation

3.1 Non-ABI Entries in ACE	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. 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. 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. 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 AC	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.
4.3 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 8.0 Entry Summary Team Review for reference*)
5.5 UC2 (Documents Required) Notification	5.5.1 When inputting an entry summary that has a UC2 code/message (Documents Required), the filer should not put the entry summary into preliminary statement mode until they are ready for it to be reviewed by CBP. This is because ACE is currently designed to give CBP personnel the ability to reject potentially problematic entry summary inputs that have been moved into preliminary statement or statement mode by the filer. This rejection can occur regardless of whether payment on the entry summary has been made or it still falls within the 10 calendar day input period. 5.5.2 When submitting additional required documentation in response to a UC2 code/message, CBP strongly encourages filers to wait to submit their additional documents until they can do so using the ACE Portal.

5.5.3 In order to submit documentation to the ACE Portal, an Action ID is required. This number will be provided to filers when customs has received the entry.

5.5.4 It should be noted that filers will have 48 hours to upload any required documents to the portal once they have received the Action ID for their entry

***Note:** Some filers may choose to upload their required documents to DIS before receiving an Action ID. If filers choose to upload documents to DIS instead of the ACE Portal they should not resubmit their additional required documentation to the ACE portal once they have received an Action ID.

6.0 Single Transaction Bonds (for eBond)

6.1 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 01, 02, 03, 06, 07, 11, 12, 21, 22, 23, 31, 32, 34, 38, 51, 52 are eligible. 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.

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 ca be emailed to: OT-remotelocationfiling@cbp.dhs.gov

7.2 Filer Submits ACE Entry Summary with

If the ACE entry summary is selected for examination or team review, the filer will receive the **Request for electronic invoice**

Intent to Submit Electronic Invoice via AII/DIS	**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 ***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**. 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
7.3 Filer Does not Transmit Electronic Invoice as Requested	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.

8.0 Entry Summary Team Review

8.1 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:

8.1.1 **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.

8.1.2 CBP will accept only those documents which were requested.

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

8.1.4 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.

8.1.4.1 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.

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

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

8.2 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."

8.2.1 The filer may use the rejection response template to present supporting documents or remit additional payment to CBP as a result of the reject.

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

8.3 CBP Initiates a CBP Form 28

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.

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.

8.3.1 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.

8.3.2 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.

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

8.3.4 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.

8.3.5 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.

8.4 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.

8.4.1 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 ACE portal for both ACE and ACS entry summaries. Otherwise, CBP will mail the form to the importer of record.
	8.4.2 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.
	8.4.3 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.
	8.4.4 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.
	8.4.5 If the action is "taken," entry summary processing will continue as appropriate.
8.5 CBP Initiates a CBP Form 4647	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.
	8.5.1 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.
	8.5.2 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.
	8.5.2.1 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.
	8.5.3 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.

8.5.3.1 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.

8.5.3.2 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 (Center), 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.

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

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

9.0 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 S

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.

9.1 Create Blanket Affidavit of Manufacture Record

9.1.1 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.

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.

9.1.2 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*)

9.2 Opening a Validation Activity

9.2.1 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.

9.2.2 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*).

9.3 Working the Validation Activity

9.3.1 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.

9.3.2 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*)

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

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

9.3.5 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
- Address, email, telephone change for exporter, importer, or signer
- Net cost indicator from "No" to "NC

9.3.6 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 prior disclosure to pay the duties and fees due on the subject goods.

9.3.7 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.

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

9.4 Create Blanket Non-Reimbursement Statement Record in the ACE Portal

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

9.4.1 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

9.4.2 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.

9.4.3 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.

9.4.4 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.

9.4.5 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.

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

9.4.7 The importer has been reimbursed for AD/CV duties by the manufacturer, producer 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*).

9.4.8 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.

9.5 Recording Determination Details	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. 9.5.1 The filer has two options to declare the NRBS on the ACE entry summary line: 9.5.1.1 **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." 9.5.1.2 **Option 2:** declare the ACE NRBS record number (*the number from the importer's ACE portal NRBS record).* 9.5.2 If the importer has been reimbursed for AD/CV duties by the manufacturer, producer/seller, or exporter, and declared the 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 9.4.7 for instructions when the blanket NRBS record number was used.
9.6 Closing the Validation Activity	A search may be performed by authorized CBP and trade users for declarations created in the ACE portal based on all applicable fields.

10.0 Temporary Importation Bond (TIB)

10.1 Temporary Importation Bond (TIB)	CBP deployed ACE capability to accept and process Entry and Entry Summary Type 23-Temporary Importation Bond (TIB) in October 2015. Additional capabilities for TIB electronic filing of Entry/Entry Summary Type 23 will be deployed in the near future. 10.1.1 TIB processes through ACS and ACE supports the submission of closing out TIB documentation for TIB entries in DIS. The procedure for properly 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: Submit a paper copy of the CBPF 3461 or 7501 physically ANNOTATED with either: a. "Export Exam Required" or, b. "Export Exam Waived" Upon filing the associated Entry Summary, provide a copy of the ANNOTATED CBPF 3461 or 7501 through the Document Image System (DIS). Designate "CBP" as the Agency Code, and "Generic Document" as the Official Document Name/Description.
10.2 Closure Procedures	When goods have been exported, the filer may either submit paper documents for proof of export or they may submit documents via DIS. If documents are submitted via DIS, the filer MUST notify CBP that the documents are in DIS and ready for review. This notification may be in the form of an email or a written letter in paper form. Please reference CSMS Message 15-000817 which cites CBP Interim Measures regarding ACE TIB requirements.
14.3 Extensions	TIB extensions requested by Trade will automatically be accepted in ACE, but CBP will have the ability to deny an extension as necessary. TIBs may only be extended for up to two years.

11.0 Post Summary Correction

11.1 Post Summary Correction (PSC) Overview	11.1.1 As of September 22, 2011, the trade may no longer submit a Post Entry Amendment (PEA) on an ACE entry summary. Post Summary Correction (PSC) replaces the PEA hard copy process for all ACE entry summaries, with the exceptions noted below. 11.1.2 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.

11.1.3 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.

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

11.2 PSC Basic Rules

11.2.1 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.

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

11.2.3 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.

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

11.2.5 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.

11.2.6 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.

11.2.7 For administrative refunds on type 03 entries where a PSC was filed, CBP 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.

11.2.8 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 the Entry Summary Create/Update Chapter of the 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.

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

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

11.2.11 Every data field is not eligible for PSC changes.

11.2.12 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* PGA Message Set)
FDA Grouping (*see* PGA Message Set)
Any release detail(s)

11.2.13 *The importer or broker may submit a PSC to amend an entry summary for Trade Preference Programs not provided for under 19 USC 1520 (d), i.e., NAFTA, CAFTA-DR, Chile, Columbia, Korea, Oman, Panama, and Peru.

(*For additional guidance refer to* Memorandum Post Importation Claims for Preferential Tariff Treatment, August 11, 2014)

11.2.14 *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:

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

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

	11.2.17 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	11.2.18 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.
11.3 Post Summary Corrections are Transmitted to ACE	11.3.1 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. 11.3.2 A PSC that has been rejected may only be replaced with another PSC. 11.3.3 CBP will manually liquidate the entry summary (*314-day cycle*) in order to allow the possibility of another PSC to be submitted. 11.3.4 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.
11.4 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. 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.
11.5 Accelerated Liquidation Request	11.5.1 CBP users should prioritize the review PSCs flagged for accelerated liquidation. Review of these PSCs should have priority over PSCs with no accelerated liquidation. 11.5.2 Accelerated Liquidation Request is not allowed on AD/CVD entry summaries.

11.6 PSCs with no Accelerated Liquidation	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.
11.7 Liquidating PSCs	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.
11.8 Entry Summary Query for PSC Data	The original filer may use the ABI ES Query to receive the limited information below: • 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

12.0 Quota

12.1 Entry Summary Submitted Date	12.1.1 The date that the entry summary was submitted into ACE. 12.1.2 Entry Summary subsystem determines this date based on when the batch is first received. The following entry types will be sent to the quota subsystem. **Entry type 02**, Consumption entry - Quota/Visa **Entry type 06,** Consumption entry – Foreign Trade Zone, (if quota), **Entry type 07,** Consumption entry Quota/Visa and AD/CVD **Entry type 12,** Informal Entry – Quota other than textiles **Entry type 23,** TIB – Quota **Entry type 32,** Warehouse withdrawal – Quota /Visa

	Entry type 38, Warehouse withdrawal – Quota/Visa and AD/CVD **Entry type 51** (*if quota*)**,** Government Entry- Defense Contract (*DCMAO NY*) **Entry type 52** (*if quota*), Government Entry- Any U.S Federal Government Agency **Entry Type 53** (*if quota*) Government Entry When an ACE submissions certified from summary, this ensures quota eligibility. 12.1.3 The date and time stamp is being automated by ACE and no longer requires manual input. 12.1.4 The entry Summary date of and time presentation is based on Eastern Standard Time (EST). 12.1.5 For AE processing, check if the entry number already exists in the Quota Staging Table. If it does the old entry version will be replaced with the most recent one. 12.1.6 After validations are complete, any old lines associated with that entry number will be deleted from the Quota Staging Table. This will be done for all entry numbers regardless of the entry type or whether the new AE has quota lines, accepted or rejected.
12.2 Payment Date	12.2.1 The date that the entry summary was paid if it is not scheduled for statement. 12.2.2 If it is scheduled for statement, use the Entry Summary Submitted Date.
12.3 Arrival Date	12.3.1 The actual date that cargo conveyance arrives in Customs territory from the Manifest subsystem. ***Note:** Warehouse Withdrawal Entry Summaries (Entry Type 31, 32, 34 and 38) will not have an arrival date. ACE assumes the goods have arrived prior to the submittal of the entry summary since they are in a warehouse. Warehouse withdrawals are summary only, not Cargo Entry, and are not certified from Summary. 12.3.2 Ocean and Rail arrival dates derived from the manifest. In MOT for Air cargo is manually arrived by the Customs officer (CBPO).

	12.3.3 Truck dates are entered into a database for processing 12.3.4 If time is recorded in EST, it will be consistent across all ports for opening moment entries. It is converted by ACE at the confirmation and will show 12 (EST).
12.4 Export Date	12.4.1 The export date is identified on the quota line. This is used if Quota Processing Date = Export Date. Export date is only needed for absolute quota. Currently there are no absolute quotas.
12.5 Estimated Arrival Date	12.5.1 The estimated date of cargo arrival. Used for initial validations if actual arrival date is not available. Not used for quota reporting.
12.6 Time and Date of Presentation for Quota Eligibility	12.6.1 Time of presentation, refers to the time of physical delivery or ACE transmission, in proper form, of either an entry summary, entry/entry summary (LIVE) or warehouse withdrawal for consumption with duties attached or scheduled for payment of duties via the Automated Clearinghouse (ACH). If all three dates are present; entry summary, manifest date of arrival and payment or scheduled payment each Quota request records converts status to ready. 12.6.2 Take the latest of three date and time determines the quota priority. 12.6.3 If the matching quota record is a not an Opening Moment quota, and the latest date and time is during regular business hours (*8:30 am - 4:30 pm local time*): the Presentation Date is the latest of the three dates and times: arrival of goods date, date of entry summary, date which entry summary was scheduled or paid if not scheduled for statement. Entry summaries that use a warehouse withdrawal entry type, the presentation date will be derived using the following criteria: date entry summary was transmitted, or date in which payment is scheduled or paid (latter of these will be used as presentation date). 12.6.4 If the latest date and time is between closing (*4:30 pm local time*) and opening (*8:30 am local time*): the Presentation Date to 8:30 am local time the next day. 12.6.5 All Quota request records will be sorted by Presentation Date by the minute. 12.6.6 When all applicable Quota request records are sorted by Presentation Date records are ready for further Quota processing.

12.7 Quota Batch Processing	If the Entry Summary associated with a Quota request is resubmitted, a new Quota request record is created and the prior record's Processing Status is no longer pending. 12.7.1 In the event that a status response message with Quota decision instructions is transmitted to the Entry Summary Filer and the Filer never resubmits their response, the Filer receives a liquidated damage. 12.7.2 Quota apportioning only occurs in the event that multiple Quota requests occur at the same exact time and the summation of these requests would overfill the Quota. 12.7.3 ACE quota entries will be filed as entry type 02 with quota Harmonized Tariff Schedule (HTS) number until the quota is filled. Once quota has filled, closed or is otherwise unavailable, entries should be filed in ACE using entry type 01 or other non-quota entry type, with the high rate of duty.
12.8 Oversubscribed Quota/Opening Moment	12.8.1 A quota oversubscribes when the demand is greater than the quota limit, i.e., if the total quantity presented at opening moment by all importers is greater than the amount of quota available. When Headquarters Quota Branch (HQ Quota) expects the quota to oversubscribe (based on the previous year year's history) HQ quota will issue instructions to all CBP field personnel, as well as other brokers, importers and interested parties outlining opening moment procedures. [19 CFR 132.12]. Instructions will be posted via Quota Book (QB), on the intranet and CBP internet sites. 12.8.2 The filer should submit their entry/entry summaries between12:00am (local time) and 12:00pm (EST) date of opening moment. These requests will then be prorated if the sum of the requested quantities during this timeframe is greater than the quota limit. 12.8.3 For all successfully transmitted entry summaries, ACE will provide a date and time of presentation if the following data elements are present: • Date of Entry Summary was transmitted • Date goods arrived • Date on which payment made or scheduled to be paid

***Note:** Quota will be using the same arrival date as cargo summary.

The latest of the three dates will be used as the presentation date. If one of the dates is **not** received, the quota will held in a "pending status" until the condition is met.

12.8.4 For electronic entry summaries using a warehouse withdrawal entry type, the "presentation date and time" will be derived using the following criteria:

The **latest** date:

- Date the entry summary was transmitted.
- Date in which payment is scheduled or paid

12.8.4.1 The latest of these two dates will be used as the presentaiton date. If one of the dates has not been received, the quota line will be held in a "pending" status until the condition is met.

12.8.5 When the ACE submission is successfully transmitted and received by CBP, the entries will be batched and timestamped for 12:00pm (EST) opening moment timeframe.

12.8.6 For entry summaries submitted unsuccessfully with existing issues; the Headquarters Quota Branch will have a pre-allocation review timeframe of 72 hours (3 business days) after opening moment for the readdress of any concerns prior to allocation. CBP will work collaboratively with any filer that makes a good faith effort to transmit data.

***Note:** Once the 72 hour (3 business days) CBP Headquarters review period has elapsed, the filer will receive an ACE message with the prorated quantity.

12.8.7 Non ABI ACE entry summaries and warehouse withdrawals for consumption may be submitted to the CBP Port/Centers office prior to the opening moment (12:00pm noon EST), in proper form and may be considered for the opening, subject to port policy.

12.8.8 Quota goods that exceed the prorated amount may at the importers discretion be: exported to another county, imported into the

United States at over quota high rate of duty, placed in a bonded warehoused, or destroyed.

12.8.9 ACE entry summaries submitted for opening moment quota using statement processing for payment of duties, fees etc.; should be scheduled for payment a minimum of ten (10) days from opening day.

12.8.10 Non ABI entry summaries for opening moment quotas may be transmitted starting 12:01am opening day and continue through 12:00pm (noon EST) same opening day.

***Note:** All entries after verification, if accepted will indicate a 12:00pm noon (EST) presentation date and time regardless of port location. Any statements not transmitted for the minimum amount of 10 days cannot be added to another statement and must be paid, by check, to CBP within 1 business day.

12.8.11 The ACE proration is performed at the line level and filers mist submit proration amounts based on the original line number(s). For example, if line 001 is prorated by the system the adjustment must be made to line 001. Additional lines may be added.

12.8.11.1 Warehouse entry types are excluded from this line level correction process. Prorated warehouse withdrawals may be substituted for the original withdrawal amount(s).

12.8.11.2 The file should advise CBP what option will be used (barring other release issues, e.g. PGA requirements) for the balance of the goods subject to the "over quota" high rate. This information should be provided to CBP when low rate proration is submitted.

12.8.12 For electronic submitted entries, the filer may contact local Port/Center or HQ Quota to request a Transfer of Allotment. The Port/Center HQ Quota will review the information and HQ "may" approve the transfer. The transfer allotment should processed within the 5 working days [19CFR 132.13 (A)].

12.8.13 When the filer submits a completed transfer allotment request to the Port or Center for review, the Port/Center will forward the information to HQ for approval.

12.8.14 The request should at minimum include the original port of submission, entry number(s), original quantity, transfer quantity

	and receiving port, (if different). Transfer quantity may only be allotted to same importer. 12.8.15 For ACE manually submitted entries, filer contacts local Port/Center or HQ Quota, to request a Transfer of Allotment, the Port/Center HQ Quota will review the information and HQ "may" approve the transfer. The transfer allotment should processed within the 5 working days [19CFR 132.13 (A)].
12.9 Cargo Release User Defined Rule	12.9.1 A National ATS Cargo message, User Defined Rule (UDR) will apply to the "Quota Opening" process. Entry summaries submitted timely and in proper form should go on hold. This UDR will apply to entry types 02, 06, 07, 12, 23, and 52. Warehouse entry types are excluded. 12.9.2 It is important to note the UDR is not enforcement driven, but solely for the purpose of allowing the importer options when the quota oversubscribes at the "opening moment". As described in 19 CFR [132.13], when the quota oversubscribes and the entered quantity is prorated this process will allow the importer to choose one of the options listed below: • Enter the merchandise at the "over quota" rate (high rate) • Warehouse high rate goods in a bonded warehouse • Export the merchandise out of the U.S. to a foreign country • Request destruction for a portion or all entered merchandise (*At CBP's discretion*) 12.9.3 A quota entry type is initially submitted/accepted "Certified" from "Summary", the flier should not *recertify* for purposes of updating the releasable quantity. 12.9.4 An entry level intensive exam hold is in place, the **"Replace"** transaction will automatically become a correction request which must be accepted by the Port before taking effect on the entry. The intensive exam status is an independent entry state which, in this quota scenario, should "Override" after the correction request s accepted or rejected. 12.9.5 If the "Override" occurs before the request is accepted, the initially entered amount will be released. If this happens the importer would pay the original estimated duty amount and be entitled to a refund of duties.

12.10 Writing to the Quota staging Table

12.10.1 An Entry Summary (AE) has been submitted. The quota requests associated with the AE have passed quota specific validations. **Relevant Tariff-Rate or Tariff Preference Level (TPL) Quota has been identified based on input AE data elements.** The AE is processed and the appropriate message reply AX response is transmitted to the Entry Summary subsystem.

12.10.2 The Quota System will record a quota request to the Quota Request Staging table. The Quota System will also apply quantity conversions if applicable under quota. Record the Entry Number associated to the quota request in the quota request staging table. Record the Line Ordinal Number in the quota request staging table. Record the Internal ES Line Number in the quota request staging table. Record the Trade Line Item Identifier in the quota request staging table. **Record the Presentation Date and time in the quota request staging table if available.** Record the Quota Processing Status Code of Pending in the quota request staging table. If there is no Presentation date and time the quota request stays in pending and is rejected to the filer after 30 days.

12.10.3 **Record the Entry Summary Received Date and time in the quota request staging table. Record the Arrival Date and time in the quota request staging table. Record the Payment Date and time in the quota request staging table. Record the Export Date in the quota request staging table.** Please see: Business Rules - Entry Summary, Payment, and Arrival Dates.

12.10.4 Record the appropriate Requested Quantity to the quota request staging table.

12.11 Transfer of Allotment

12.11.1 Filer contacts HQ Quota, requests a Transfer of Allotment. HQ Quota may approve this transfer.

12.11.2 Transfer allotment information must be provided to CBP within five (5) days of release of the shipment per [19 CFR 132].

***Note:** Opening moment entry summaries must be processed in ACE prior to processing the collections in ACS, failure to do so will cause a database error. Contact your assigned client representative for assistance.

	12.11.3 Filer may update the reserved quantities in accordance to the requested transfer. Cancel the quota request associated to the reserved quantity. 12.11.4 HQ Quota instructs the Filer to resubmit the AE entry summary. Filer resubmits the AE entry summary. This AE is now subject to the above process.
12.12 S Changes After Allocation - After ES Rejected through VA	12.12.1 ES is rejected through a Validation Activity (VA). Trade resubmits the ES. 12.12.2 Quota Validations. Quota requests are recorded in the Quota Request Staging table with a new presentation date. 12.12.3 Batch processing. Previous allocations are removed from the Quota Master Data. Reallocate quota with new presentation date and time. 12.12.4 Headquarters or Field may accept the ES and process is complete.
12.13 Post Summary Corrections	12.13.1 Trade submits a Post Summary Correction (PSC). 12.13.2 Quota Validations are run through the ACE module. 12.13.3 Quota requests are recorded in Quota Request Staging table with a new presentation date and time. Batch Processing will occur after the end of the business day. 12.13.4 Reallocate quota with a new presentation date if the quota is still open. If the quota is not open the commodities must be entered under the high HTS rate, placed in a warehouse, re-exported, or destroyed.
12.14 Cancel Quota Request	12.14.1 Filer contacts HQ Quota to cancel their Quota request (*associated with a reserved quantity*). 12.14.2 HQ Quota cancels the entry summary at the filer request or accepts it and may instruct field to cancel. 12.14.3 HQ Quota changes the Quota Processing Status to cancel.
12.15 Validation	12.15.1 After receiving the Entry message or Summary message, the ACE Quota system performs preliminary data validations on each message to determine if the request should be accepted for quota processing.

12.15.2 The Entry or Entry Summary is rejected and an SX message (*for Entry*) or AX message (*for Entry Summary*) is transmitted to the filer with a REJECT status if any of the following events occur: Entry Type is not for Quota and there is at least one Quota line, the Quota is full, expired, or closed, the Quota is banned, or if licenses, Visas, and Certificates are incorrect.

12.15.3 If the Quota is at or past threshold, an SX message (*for Entry*) or AX message (*for Entry Summary*) is transmitted to the filer to indicate a WARNING that Quota is almost full.

12.15.4 If the Entry passes the validations above, the SX is transmitted to Trade and the cargo can be released (*subject to other cargo release conditions*).

12.15.5 In the event the Entry Summary passes the validations above, an AX is transmitted to the filer indicating the AE is accepted with an indication Quota is waiting to be processed. Please contact HQ quota for completion of the process.

12.16 ACE Definitions

Agency: Values are CBP or USDA. If CBP is selected, Search Results will only display CBP Quota master data. If USDA is selected, Search Results will only display USDA master data. Please check the USDA website for USDA Agriculture License information.

Quota ID: ID number that identifies the master quota record.

Quota Type: The type of quota indicated in the quota master record. Values include Tariff Rate, Trade Preference, and Statistical. Values include: TRQ- Tariff Rate Quota, TPL- Tariff Preference Quota, and STA- Statistical Quota.

Quota Status: Indicates the status of the quota (**Values include:** *Open*, *Filled*, and *Expired*).

Quota Period: Period for the master quota record. Formatted as YYYYPP: i.e. 201501 - first period in 2015, 201502 - second period in 2015, etc.

***Note:** In ACS the period is 4 characters - YYPP. In ACE we are allowing for 6 so they can enter the full year.

Tariff (HTS): HTS number which is subject to quota.

	Country of Origin: The country in which the commodity is manufactured, grown, or produced. It has a quota quantity limit or minimum access quantity. **Importer of Record:** Identification of the importer of record associated to a Quota request. Search will filter through both Quota Staging and Quota Allocation tables. **Entry Number:** Unique identifying number assigned to the Entry by the Filer. **Description:** Description of the master quota record. **Start Date:** Starting effective date of the quota master record. **End Date:** Ending effective date of the quota master record. **Search:** Displays quota search results. **Reset:** Clears Search Quota fields. ***Note:** If there are two HTS #s, the first one should be a chapter 98 or 99 (*not enforced by system*). It should also be noted that Quota commodities are currently not identified by more than two HTS numbers.
12.17 Search Fields Results	**Filter:** Input text used to filter the fields in this section. **Quota ID/License Number:** ID number that identifies the master quota record. **Quota/License Limit (UOM):** Quota limit quantity and its associated UOM. Quota limit is the sum of region minimum access quantity and region maximum quantity. **Quota Allocated:** Quota allocated from the Quota Limit to a Quota request. Quota allocated is the sum of all of the region allocated quantities from the Quota region table. **Last Transaction Date:** Latest processing date and time from the quota allocation table. **Filter Menu:** Selectable record values include 5, 10, 25, and all. If the user selects 5, only 5 HTS records should display. If the user selects 10, only 10 HTS records should display, and so on.

Previous Button: These buttons will be selectable when there are more than 5 records. This table will display 5 records at a time, so the previous and next buttons will be used to scroll through records.

Quota Inbox: The quota inbox alerts indicating entry summaries that need to be checked daily to determine their status. Items include pending more than 10 days, reserved, reservation expired, and failed.

13.0 AD/CVD Case Management/Messages

ACE is the system of record for all AD/CVD case information and Department of Commerce, Import Administration (DOC/IA) messages. The AD/CVD Cases Search and AD/CVD Messages Search can be found in the Task Selector under the References tab. These searches provide access to comprehensive AD/CVD case and message information that can be used by trade portal users to identify entry summary and liquidation requirements.
ACE, 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 and message information should consult the CATAIR as needed for guidance.

For disclosure purposes, DOC/IA is the agency responsible for the input and update of most of the information contained in the AD/CVD case management and message files.

13.1 View AD/CVD Case Information

AD/CVD case information can be reached by navigating to the Reference tab and selecting AD/CVD Cases Search from the Task Selector.

The trade should notify the client representative if any discrepancies are identified within the AD/CVD case files.

13.2 Rates Information

The "Rates" sub-tab provides the trade portal user with rate information. The first column is the effective date, which indicates the date upon which a particular rate went into effect. The effective date is the equivalent of the entry date or the date of warehouse withdrawal. Trade portal users should be aware that the effective date may precede the "Added Date."

13.2.1 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. 13.2.2 DOC/IA will normally transmit message for each instance of a rate change effective on a particular 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. 13.2.3 The second column reflects the ad valorem rate. The ad valorem rate is the percentage applied to the entered value of merchandise subject to AD/CVD. ACE calculates the duty amount owed based on the entered value and ad valorem rate input. The entry summary AD/CVD calculations must be correct or the entry summary will be placed in reject status. 13.2.4 The third column reflects the specific rate of duty, that is, a set dollar amount for a given unit of measure. Units of measure (UOM) for products vary with the nature of the product and normal terms of sale. ACE 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 summary lines subject to the case will need to include the UOM for that rate. ACE calculates the duty amount based on the entered value and specific rates of duty input. The entry summary AD/CVD calculations must be correct or the entry summary will be placed in reject status. 13.2.5 The fourth column reflects the Added Date. This is the date that DOC/IA added the rate information to the Rates sub-tab. It should not be confused with the effective date. Trade portal users should be aware that the added date may precede the effective date. 13.2.6 The final column on the rates sub-tab is the "Inactivated Date." When an inactivated date appears for a rate, the associated rate and effective date are no longer valid on or after that date. However, if an inactivated date appears, trade portal users should identify whether it is followed by a retroactive update of a rate.
13.3 Events Information	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 rate 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.
13.4 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. 13.4.1 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 this indicator has been retroactively updated. 13.4.2 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
13.5 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 Message #. 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 began completing the AR sub-tab for AD/CVD cases after ACE A2.3.1a was released. As a result, historical information is not included, except as DOC/IA determines is necessary for clarity on and AD/CVD case.

13.6 HTS Sub-tab – NEW SECTION

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

In order for a "03" entry summary to be filed, one of the requirements for ACE is the presence of an active HTS number for the case being reported. When an ACE entry summary cannot be transmitted because an HTS number is not present in the case file or is inactive, the trade user must contact their ABI client representative.

New HTS numbers may be may be added to and/or inactivated for an AD/CVD case from the time of the preliminary determination to the time of the order (*see "Events" sub-tab*).The "added date" identifies the date that DOC/IA added the HTS number to the case file. The inactivated date should be interpreted in the same manner as for inactivated rates dates and events.

13.6.1 Written Description Dispositive— Trade portal users must always remember that the HTS number(s) 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.

13.6.2 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.

13.6.3 "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.

13.6.4 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.

13.7 Susp ES Sub-tab NEW SECTION

13.7.1 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.

13.7.2 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, or the revocation of an AD/CVD case resulting from a Sunset Review, the DOC/IA will complete the 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.

ACE will notify the importer and sureties of the suspension of liquidation.

13.8 AD/CVD Messages	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 unliquidated entry summaries subject to AD/CVD. 13.8.1 DOC/IA messages now contain not only the 10-digit case number but also the party name and role (*i.e. manufacturer and/or foreign exporter*) as well as the party ID number. 13.8.2 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. Where the instructions state that a particular manufacturer and exporter combination have been given a 10-digit case number, both of those firms must be present and acting in the role named in order to declare the case and rate on an entry summary line.

14.0 Liquidation

14.1 Liquidation	Liquidation processing and notification have been streamlined to fit into the ACE concept. CBP's liquidation processing cycle has decreased, while the public will be gaining access to liquidation disposition through CBP's website.
14.2 New Weekly Processing	Starting January 2017, liquidations will no longer occur on a two week cycle. Liquidations will process weekly, with entry summaries liquidating every Friday. Once an entry summary is liquidated, ACE will automatically populate a liquidation date equal to the next immediate Friday – for liquidations processed before 12pm EST, liquidations will post Friday of the same week; liquidations occurring after this timeframe will post the following Friday.
14.3 Deemed Liquidation	14.3.1 Starting January 2017, CBP will no longer print notifications of extension and suspension. The electronic bulletin will serve as the official notice for extensions and suspensions. Extensions and suspensions will post same day to the bulletin, within 90 minutes of the extension and suspension action. Sureties and filers will continue to receive extension and suspension courtesy notices, which will be sent via ABI. Non-ABI filers are only given one option for receiving notice, and this is viewing the electronic bulletin. However, filers will continue to submit extension letters to the ports in paper. If necessary, a liquidation may be extended up to three years. Reports

	will be available for CBP and the trade to view extension and suspension records. 14.3.2 TIB Extensions requested by Trade will automatically be accepted in ACE, but CBP will have the ability to deny an extension as necessary. TIBs may only be extended for up to two years. Please defer to the TIB chapter for further TIB processing information.
14.3 Deemed Liquidation	Starting January 2017, entry summaries that are deem liquidated will be displayed on the electronic bulletin as "deem liquidated" for the basis of liquidation. If no action has been taken to extend or suspend, an entry summary will deem liquidate at 365 days.

15.0 Reconciliation

ACE entry summaries may be flagged by the Trade for Reconciliation on an entry-by-entry or blanket basis. The Reconciliation entry summary (type 09) must be filed in ACE effective January, 2017.

15.1.1 ACE will process the ABI Reconciliation transaction. The Reconciliation entry may only be associated with ACE underlying entry summaries, effective January, 2017.

15.1.2 The underlying flagged entry summaries will be updated with a status code in ACE.

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

***Note:** For more information about Reconciliation please refer to the ACE Reconciliation Prototype Guide on cbp.gov.

16.0 Protests and 520(d) Claims

Effective August 27, 2016, all electronic protest submissions must be filed in the Automated Commercial Environment (ACE). CBP is retiring the ability to electronically file Automated Broker Interface (ABI) protests to the Automated Commercial System (ACS) and will authorize submission of electronic submission through the ACE Secure Data Portal. The trade community will no longer be permitted to file 514 protests or

	520(d) claims in ACS. In order to file protests in ACE, filers must have a protest filer account established within the ACE Portal. Instructions for obtaining an ACE Portal Accounts are posted to www.cbp.gov/ace. CBP has published a Quick Reference Guide, ACE Protest for Trade with instructions on how to file electronic protests in the ACE Protest Module. Instructions on how to create a Protest Filer Account are also available in the Quick Reference Guide. ***Note:** Policy procedures for electronic and paper protest submission in the ACE Protest Application is forthcoming and will be issued of by the Office of Trade. In the interim, additional guidance will be made available in updated versions of the ACE BRPD.
16.1 Protest Application	16.1.1 The Protest application in ACE provides an electronic form that enables the trade user to create protests, amend protests already submitted and view the status of protests that were submitted through the ACE portal application. The on-line form supports every aspect of creating a protest and captures the same information as the paper CBP Form 19. 16.1.2 The 520 (d) claim can be entered in the Protest application. The on-line form in the ACE Protest application for entering 520 (d) petition data is similar to the form for the 514 protest. 16.1.3 The trade community may elect to submit paper protests and petitions at the Port of Entry, however, CBP highly recommend that the trade community file their protests/petitions in the ACE protest module. ***Note:** If an ACE entry summary is liquidated, and the filer determines additional money or non-revenue changes are required, the filer has the option of filing a prior disclosure or a protest (*if within the protest filing period*).
16.2 Electronic Protest Submissions	16.2.1 The electronic form for the 514 protest allows the protest filer to record the same information as the paper CBP Form 19. 16.2.2 The date of filing for an electronic protest submission is the date on which the protest is received by the ACE Protest Module. The protest filer and other designated parties will receive

	an electronic message confirming receipt of a protest filing in ACE. 16.2.3 Electronic protest data and associated entry summaries must be input into the ACE Protest Module by the protest filer. Entry numbers must be valid entry numbers and must exist in ACE. The protest filer must upload all supporting documentation associated with the electronic protest through the ACE portal. If Samples are provided for the electronic protest, the protest filer must select the "Samples provided" checkbox in the "Notes" tab of the protest record and annotate when and where the sample is being sent. When all the required data has been entered, the protest filer must save the protest record. Once the protest record is saved a protest number will be assigned. 16.2.4 Trade parties are required to input email addresses for receipt of notifications on Protests (1 is required; up to 4 allowed). Notifications include those for Protest being added, suspended, decided, etc. If protests are not submitted electronically, trade parties will receive notifications through paper as is done today.
Paper Protest Submissions	16.2.5 Paper protest submissions will still be supported and processed by CBP Ports and Centers of Excellence and Expertise (Centers). The ACE Protest application has been built to facilitate manual processing for trade protest that will be submitted as paper. 16.2.6 For paper protests received at the Port of Entry, trade parties will **not** be able to check the status by way of their portal account.
16.3 Adding Entry Summary Numbers	Trade users can add entry summary numbers to the protest record by typing individual entry summary numbers in the "Add Entry" field of the protest record or uploading a file of entry summary numbers in the "Browse" field. Only .txt files of entry summary numbers can be uploaded. The file must be no larger than 1 MB. The ACE Protest application will validate the entry summary number to ensure it is a valid number that exists in ACE and is not a duplicate.
16.4 Uploading Supporting Documents	Trade Users can upload files into the ACE Portal, such as documents, pictures, etc., that support the protest. All file types except .tif, tiff, and Excel (.xls, and .xlsx) formats can be uploaded. The file size can be no larger than 10 MB per file.

16.5 Validations	The ACE Protest application validates much of the entered data on the form by checking on proper formatting of numbers and confirming that entered data, such as importer and entry summary numbers are valid and exist in ACE. When the Protest application detects invalid data, error messages will display. No incomplete protests are allowed. The protests cannot be saved until all required data is entered and any errors are corrected.
16.6 Application for Further Review (AFR)	When a protest is filed through the ACE Protest Module, the Protest Filer must use the module to submit AFR. AFR can be requested when creating a protest or editing a protest. When AFR is requested, an AFR tab is added to the protest to capture a response to the AFR questions in the AFR tab and a written justification for further review. The written justification must be entered in the text box provided or uploaded separately.
16.7 Accelerated Disposition (AD)	The protest filer must submit the request for Accelerated Disposition via certified or registered mail with the Center/Port Director with whom the protest was filed. Requesting Accelerated Disposition is not part of the protest creation process in ACE as it is with the paper form. With the electronic form, Accelerated Disposition is requested when the form is edited, not created. The date of the request for accelerated disposition will be based on the date of mailing. The Protest Filer may electronically withdraw a request for accelerated disposition of a protest filed through the ACE Protest Module any time prior to the 30 days after the date of the request or the CBP decision on the protest, whichever comes first.
16.8 Protest/Petition Numbers	Once a protest/petition number has been assigned by the ACE Protest Module, it cannot be deleted.

17.0 Warehouse Entries and Withdrawals

	Full paperless transactions are an important part of the new ACE process. This means that for ACE cargo release and ACE entry summary filing, using the ABI, there is no need to generate a CBP Form 3461/7501 nor is one required to be presented.

	***Note:** CBP regulations still allow for the presentation of paper entry packages in lieu of automated transactions in rare instances and these still require the use of CBP Form 3461 and supporting documents. ACE cargo release has modified a few data elements to require different data than provided on the current CBP Form 3461. ACE Cargo Release eliminates the current trade requirement of presenting a stamped/perforated/signed copy of the "paper 3461" to a bonded warehouse for the delivery of CBP-released cargo. CBP recognizes that converting to a paperless environment will pose challenges to those who don't receive electronic releases from CBP.
17.1 Warehouse Entry and Withdrawals Basic Requirements	17.1.1 In order to facilitate the transition to a paperless environment, filers will need to provide verification of "acceptance" of warehouse entries (*ACE Entry Type 21/22*) based on screen printouts presented to warehouse by filers (*importers, brokers, etc.*). 17.1.2 The printout should be a CBPF 7501 (*ACE Entry Summary*) "like" document, to include: • The merchandise that is going into the warehouse • Quantity being released/entered into warehouse • Invoice • Bill of lading information or a CBPF 6043 (*Delivery ticket*). 17.1.3 To facilitate warehouse withdrawals (*ACE Entry Type 31/32*) CBPF 3461 (*CBP Release*), CBPF 7501 (*Entry summary*) "like" documents or CBPF 7512 (*Transportation Entry and Manifest of Goods Subject to CBP Inspection and Permit*) will also be accepted. ***Note:** For audit purposes, these "like" documents will satisfy due diligence on record retention for signed off copies for release.
17.2 Warehouse Entry and Withdrawals Basic Process	17.2.1 A completed 3461 and 7501 must be filed with CBP. Incomplete information will be rejected back to the Trade for completion. All submitted documents must be reviewed for completeness and accuracy, as cited in 19 CFR 144.11. Warehouse entries/withdrawals can be verified by CBP at any time using audit/reconciliation/ compliance review procedures.

17.2.2 Blanket withdrawals will remain a paper process at this time.

17.2.3 "Export Only" documents should be uploaded into DIS by the trade to notify CBP of intent.

17.2.4 Estimated duties, taxes, and fees shall be deposited at the time the entry is merchandise is withdrawn from warehouse for consumption, as cited in 19 CFR 144.12.

17.2.5 Upon final withdrawal of merchandise, permit file folder documentation (may include screenshots from release); File folder (*to include entry, withdrawals, transfers, etc.)* must maintained by warehouse proprietor and presented to CBP upon request; CBP must be notified of any merchandise not withdrawn or removed; as cited in 19 CFR 19.12(d)(4).

18.0 Drawback

ACE is the sole CBP authorized electronic data interchange (EDI) system for an electronic Drawback claim. All drawback claims submitted on or after 01/14 /17 will be processed in ACE.

18.1 Drawback Entry Type and Statutory Provision

All ACE drawback claims will be submitted as entry type '47.' Claimants will identify the applicable statutory provision of claim within their submission.

18.2 Elements of a 'complete claim'

18.2.1 A complete drawback claim shall consist of a successful claim acceptance in ACE and the Digital Image System (DIS submission of all required documents. Documents must be uploaded within 24 hours of claim acceptance in ACE. If not submitted within 24 hours, the claim acceptance date will be the date documents were successfully submitted in DIS. Where applicable, the following documents must be successfully uploaded in DIS to complete claim:

- CBPF 7553 - Notice(s) of Intent to Export, Destroy, or Return Merchandise for Purposes of Drawback
- For 1313 (j)(2) -Commercially interchangeable determination ruling (CID) approval letter

- For 1313(c) -Documents to establish that merchandise did not conform to sample or specification, was shipped without the consent of consignee, or was defective as of the time of importation.

- For 5062(c) -certification of the importer setting forth in detail the facts which cause the merchandise to be unmerchantable.

- For 1313 (d) -Production Exhibit

- For 1313(p) and 1313(p)/1309 certification

- If exported to a Foreign Trade Zone - CBP Form 214

- CBP Form 7514 or master declaration

- Oil spill tax: tax worksheet, certification and copy of the tax return IRS Forms 720, 720x, and 6627

The documents listed are not all-inclusive but required documents that are subject to that drawback provision.

***Note:** See the DIS Implementation Guide for forms and document codes.

18.2.2 At the time of the filing of the claim, any associated certificate(s) of delivery (CD), CBP form 7552, must be in the possession of the party to whom the merchandise or article covered by the certificate was delivered. CDs must be made available at the request of the Drawback Center.

18.2.3 The following forms are no longer required for ABI claims: Drawback entry CBP Form 7551; and CBP form 7552, Certificate of Manufacture and Delivery (CM&D). CBP form 7552 is a dual use form and is still required for the purpose of documenting transfers (Certificate of Delivery).

18.2.4 The following mandatory information must be provided when filing a claim in ACE:

- Drawback Entry #
- Filing Port Code

	• Claimant ID # • Drawback Provision • Drawback Claim Date • Total Drawback requested • Import Entry Summary/HTS Data • Information on Exportation • NAFTA Coding Sheet (as applicable) • Notice of Intent to Export or Destroy (As applicable) 18.2.5 ABI is the preferred filing method. If not ABI certified, claimant may use a CBP approved service bureau. A list of ABI software vendors can be found on cbp.gov.
18.3 Line Level Data	CE Drawback was designed to validate claim data at the line level of the underlying consumption entries. Submission of line item data is not yet mandatory; however, it will be required after a set input date established by CBP. Claims submitted with line level data for underlying consumption entries may be expedited. When possible, it is recommended that line item data be submitted with filing claim.
18.4 System Validations and Rejections	18.4.1 If a claim has passed all validations, the filer will receive an automated message stating that your claim has been successfully submitted. 18.4.2 CBP rejects an ABI claim submission, filers will receive an automated message identifying the data elements that caused the rejection and the claim will remain in Trade status for correction. 18.4.3 Rejected claims may be corrected and resubmitted if all exports are within the 3 year filing period.
18.5 Accelerated Payment, Bonds and E-bond	Duties, taxes and fees are eligible for accelerated payment. No change to current privilege application process. 18.5.1 Accelerated payment will be authorized when a claimant is approved for accelerated payment privileges and the payment is secured by a sufficient 1A bond. 18.5.2 1A bonds will be filed in E-bonds in ACE. 18.5.3 If accelerated payment is requested and no bond is present, or if the bond on file is insufficient, no accelerated

payment will be processed. For ABI claims, ACE will provide a warning notice to the filer; for manual claims, no notification will be made.

18.5.4 Eligible ABI claims will be certified for accelerated payment within 3 weeks of claim acceptance by CBP. Manual claims will be certified for accelerated payment within 3 months of acceptance by CBP.

18.6 Requests for Additional Information

18.6.1 When additional documentation is needed, CBP will send a CBP Form 28 to the filer via the ACE Secure Data Portal *(if the importer of record has an ACE account)*, via U.S. mail, or both.

18.6.2 ABI claimants shall submit responses to CBP form 28 into DIS.

18.6.3 Responses should be provided within the time frame indicated on CBP Form 28.

18.7 Amendments, Perfections, and Cancellations

Amendments are allowed within the 3 year export filing period. Liquidated claims may not be amended; however, they may be protested. Unliquidated claims may be perfected at any time.

18.7.1 ACE does not allow for amendments, perfections, or cancellations by the filer after an ABI claim has been accepted by CBP and is in CBP status. Claimant must contact Drawback Center where the claim was filed for assistance.

18.8 Non-ABI claims

Claimants may submit manual claims.

18.8.1 Manual claims will be filed at a Drawback Center and must include all elements of a complete claim. CBP Forms 7551 and 7552 (CD and CMD) remain part of a manual claim. Claim data shall be submitted in the Drawback coding sheet format.

18.8.2 Manual claims will be limited to 25 import elements, 25 export elements, and 25 manufacturing elements on each claim.

18.8.3 Manual claims will be certified for accelerated payment within 3 months of acceptance by CBP.

18.8.4 If manual claim fails validation after input into ACE by the Drawback Specialists, manual filers will be notified in writing of the cause for rejection.

	18.8.5 Non-ABI claimants that receive a CBP form 28, Request for Information, when additional documentation is required, shall respond by U.S. mail within the time frame indicated on CBP form 28.
18.9 Liquidation	Drawback claims are eligible for liquidation when all designated entries are liquidated and the 180 day protestable period has passed.
18.10 TFTEA, Section 906, Drawback and Refund	The Trade Facilitation and Trade Enforcement Act of 2015 provides numerous changes to the Drawback program, to include full automation of the Drawback claim process. CBP has two years from the date of enactment, February 24, 2016, to fully implement the new laws. There will be a one-year transition period for the Trade. At the end of the one year period, all drawback claims must then be filed according to the Act.

Appendix 1
Table of Changes
( )

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 Sub 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
		Sub Section 1.2.2.3	Added ACE entry summaries certified from ACE cargo release
		Sub Section 2.2.1	Added "cargo release processing occurs in both ACS and ACE" and "ACE entry summaries certified from ACE cargo release
		Sub Section 2.2.2.1	Added "single pay"
		Sub Section 2.2.2.2	Removed the phrase "must be initially paid" and removed the words "There" and "be" and added "have"
		Sub Section 2.2.2.2. (3rd paragraph)	Removed "he first page of the CBP Form 7501" and replaced it with "a copy of the CBP Form 7501 data"
		Sub Section 2.3.1	Added Document Image System (DIS)
		Sub Section 2.3.3	Added "ACE cargo release"

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		4.0 *New Section*	Non-ABI Entry Summaries
		Sub Section 5.1.1	Removed "paper submission" and replaced it with DIS
		Sub Section 5.1.2	Removed the phrase "the timeliness of"
		Sub Section 5.2.2	Added DIS
		Sub Section 5.3.1	Removed the word "this" and added the word "and".
		Sub Section 6.1	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.
		Section 7.0	Added entry type 52

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 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
		Sub Section 7.2	Was 7.1; renumbered to 7.2; added DIS
		Sub Section 7.2.3	Added "or DIS for test participants
		Sub Section 7.3	Was 7.2; renumbered to 7.3
		Sub Section 7.4	Was 7.3; renumbered to 7.4; added "or DIS for test participants"
		Sub Section 10.3.3.1	Added DIS
		Sub Section 10.3.3.3	Removed
		Sub Section 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."
		Sub Section 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."
		Sub Section 10.5.3	Added DIS
		Sub Section 10.5.3.1	Changed "will" to "may"
		Sub Section 10.5.3.2	Added "or the Center of Excellence and Expertise (Center), based on the initiator of the request."
		Sub Section 10.5.4	Added (email or fax)
		Sub Section 10.5.4	Added (email or fax)

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Sub Section 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."
		Sub Section 16.2.7	Renumbered to 16.2.8
		Sub Section 16.2.10	Renumbered to 16.2.9
		Sub Section 16.2.10	Changed "NAFTA Reconciliation Indicator" to "Trade Agreement Indicator"
		Sub Section 16.2.11	Renumbered to 16.2.10
		Sub Section 16.2.12	Renumbered to 16.2.11
		Sub Section 16.2.13	Renumbered to 16.2.12
		Sub Section 16.2.14	Renumbered to 16.2.13
		Sub Section 16.2.15	Renumbered to 16.2.14
		Sub Section 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.**

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Sub Section 16.2.17	Renumbered to 16.2.15
		Sub Section 16.2.18	Removed
		Sub Section 16.5.2	Removed
		Sub Section 16.5.3	Renumbered to 16.5.2
		Section 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
		Sub 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

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Overview	Added new email address ACEBusinessrules@cbp.dhs.gov and Recordkeeping in ACE link.
		Overview	Renumbered pages/sections
		Sub Section 2.3.1	Added DIS and link to section 7.2
		Sub Section 3.1.3	Entry summary number may **not** be re-used.
		Sub Section 4.1	Delineate between Entry and Entry summary
		Sub Section 4.2.1	Paragraph deleted.
		Sub Section 5.1	Clarified information
		Sub 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
6.1a	June 2016	Global change	Added an active table of contents and table of contents return icons to the document

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Overview, Section 10.2, Section 13.1, Section 13.3, and Section 16.2	Fixed broken links for: - **Overview:** Recordkeeping in ACE - **Overview:** ACE Features • *Replaced the PGA Info link* - **Section 10.2:** rejection response template - Section 13.1: TBT-07-019 - Section 13.3: NAFTA Certificate of Origin - Section 13.3: See also CD 3550-085 Claims under the North American Free Trade Agreement Tariff Preference Levels Program - Section 16.2: Entry Summary Create/Update Chapter of the CATAIR - **Section 16.2**
		Global change	The document's layout was made more efficient so it could fit on fewer pages.
		Sub Section 17.2	Added a link to CSMS #04-001115 message to the section.
7.1	June 2016	Added a Quota Section (17.0)	A brief explanation of how quota is tentatively going to be processed in ACE.
		Section 16.2	Corrected the list of data elements that cannot be changed once the entry information is transmitted and added additional information about Trade Preference Programs.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
7.2	July 2016	Section 21	Section 22 was updated and expanded. The section had 10 new subsections added to it in preparation for the release of Protest functionality in ACE on Saturday, August 27.
		Global change	Minor edits made to language and phrasing throughout the document.
7.3	August 2016	Section 16	Modified phrasing in section 16 to make it clearer.
		Section 22	Added a section on Warehouse Entry and Withdrawal to the document.
		Section 13.3	Corrected NAFTA Language (*Errors with 520Ds can only be corrected by filing a prior disclosure letter*)
		Section 17	The language in the quota section of the document has been completely overhauled to make it easier to follow and understand.
7.4	August 2016	Global Changes	Removed the reserved sections and renumber the document to make it clearer and easier to print.
		Global Changes	Changed the document's header row color and added both a CBP and ACE logo to the cover page to make it more in line other ACE documents on cbp.gov.
		Section 10	The TIB section has been updated to reflect the latest developments in ACE.
		Section 15	The Reconciliation section has been updated based on the latest developments in ACE.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 17	The Warehouse section has been updated to make the warehouse process clearer.
		Section 18	A section on Drawback has been added.
7.5	September 2016	Section 14	The Liquidation section has been rewritten to make it better reflect what the liquidation process will be like once ACS goes offline.
		Section 16	Numerous subsections of the Protests and 520(d) Claims section have been revised and expanded to make the information provided by the section clearer and more helpful.
		Section 18	The original 10th subsection of the Drawback section has been removed based on feedback from the drawback working group. A minor change was also made to some of the wording in the section. Additional edits to the Drawback section will be coming soon.
		Section 18	The Drawback section was revised to make it clearer and address feedback from the trade community.
7.6		Introduction	The "Summary and Process" introduction at the beginning of the document was updated to reflect changes to the ACE implementation date.
		Section 10	The TIB section of the document has been updated to make its language clearer and more geared towards a trade audience.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Global Changes	The "October 29th, 2016" implementation date was changes to "January 2017" and the acronym "CEE" was changed to "Center" throughout the document.
		Section 12.8 (*Oversubscribed Quota/Opening Moment*)	Section 12.8 of the "Quota" chapter has been expanded in preparation for the October 3rd, 2016, quota release.
		Section 12.9 *(Cargo Release User Defined Rule)*	A new section has been added to the "Quota" chapter of the document that covers UDR information.
		Section 12.11 (*Transfer of Allotment*)	Section 12.11 of the "Quota" chapter has been expanded in preparation for the October 3rd, 2016, quota release.
7.6c	October 2016	Section 10 (*Temporary Import Bonds(TIB)*)	The TIB chapter has been updated and a section, 10.3, discussing TIB extension has been added to it.
7.7	November 2016	Section 15 (*Reconciliation*)	Updated the Reconciliation chapter of the document to include a link to the ACE Reconciliation Prototype Guide on cbp.gov.
		Section 16 (*Protest*)	Removed section 16.6 from the Protest chapter because it was redundant to other information that was already being provided in this document.
		Section 10 (*Temporary Import Bonds (TIB)*)	Removed language from section 10.1 of the Temporary Import Bonds chapter that is no longer applicable.
		Section 13 (*AD/CVD Case Management/Messages*)	Significant revisions have been made to the AD/CVD chapter to make sure that they are up to date with the most recent ACE updates.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 5.5 UC2 (Documents Required) Notification	A new section has been added to the System-Generated Notifications chapter regarding how to handle UC2 (documents required) messages/requests.
		Section 18 (Drawback)	Significant updates have been made to the Drawback chapter.