

Automated Commercial Environment

ACE Rail X12 356 Permit to Transfer Request

April 9, 2012



U.S. Customs and
Border Protection



356 U.S. Customs Permit to Transfer Request

Functional Group ID=**BA**

Introduction:

This X12 Transaction Set contains the format and establishes the data contents of the U.S. Customs and Border Protection (CBP) Permit to Transfer Request Transaction Set (356) for use within the context of an Electronic Data Interchange (EDI) environment. It is sent by requesting trade entities to U.S. Customs to request a Permit To Transfer (PTT).

This Implementation Guideline uses the ASC X12 4040 Standards Version/Release as its base. The transaction structure has been altered to accommodate U.S. Customs and Border Protection implementation requirements.

Notes:

Permit To Transfer (PTT) requests will not be authorized against bills of lading in a "held" status.

The bill of lading number for which the PTT is being requested must already be on file in AMS as a viable bill.

If transmitted, CBP requires only one P4 segment to be sent per transaction.

SPECIAL MESSAGING CONSTRAINTS:

- Limit one Interchange (ISA-IEA) per message transmission.
- Limit one message Group (GS-GE) per message transmission.
- Limit one transaction set (ST-SE) of the same Transaction Set (TS) Identifier Code (i.e., 356, etc.). Only one are allowed per message transmission.
- Element delimiters used in this transaction must be ' * ' (asterisk). No blanks between delimiters if element is null.
- Segment delimiters used in this transaction must be one byte with a value of hex '15'.
- A segment delimiter must be the last byte of data in the message transmission data stream.
- Only transmit uppercase AMERICAN ENGLISH alphabetic data.
- Transmit ONLY displayable characters found on a standard American English keyboard. Low-values, carriage return characters, or other non-standard characters must NOT be transmitted.
- 'Not Used' in the left column indicates that a data element must not be used by CBP.
- 'Dep' in the left column indicates that CBP usage of a particular segment or element is Dependent (Conditional) within the CBP application.
- Per the ASC X12 Standard, an 'M' indicates a Mandatory use, 'O' indicates Optional Use and an 'X' indicates a Conditional use.
- CBP requirements may override ASC X12 Standard Mandatory or Conditional usages.
- Maximum allowable message transmission size is 12 megabytes (12,582,912 bytes) of data.

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| | <u>Pos. No.</u> | <u>Seg. ID</u> | <u>Name</u> | <u>Req. Des.</u> | <u>Max.Use</u> | <u>Loop Repeat</u> | <u>Notes and Comments</u> |
|---|-----------------|----------------|------------------------------------|------------------|----------------|--------------------|---------------------------|
| M | 0050 | ISA | Interchange Control Header | M | 1 | | |
| M | 0075 | GS | Functional Group Header | M | 1 | | |
| M | 0100 | ST | Transaction Set Header | M | 1 | | |
| M | 0200 | M10 | Manifest Identifying Information | M | 1 | | |
| | | | LOOP ID - P4 | | | 20 | |
| M | 0300 | P4 | Port Information | M | 1 | | |
| M | 0400 | M20 | Permit to Transfer Request Details | M | 9999 | | |
| M | 0500 | SE | Transaction Set Trailer | M | 1 | | |
| M | 0600 | GE | Functional Group Trailer | M | 1 | | |
| M | 0700 | IEA | Interchange Control Trailer | M | 1 | | |

Segment: **ISA** Interchange Control Header
Position: 0050
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To start and identify an interchange of zero or more functional groups and interchange-related control segments

Comments:

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | ISA01 | I01 | Authorization Information Qualifier Code identifying the type of information in the Authorization Information Always '04' 04 Rail Communications ID | M 1 ID 2/2 |
| M | ISA02 | I02 | Authorization Information Information used for additional identification or authorization of the interchange sender or the data in the interchange; the type of information is set by the Authorization Information Qualifier (I01) Always 'SW356' plus 5 spaces. | M 1 AN 10/10 |
| M | ISA03 | I03 | Security Information Qualifier Code identifying the type of information in the Security Information Always '00' 00 No Security Information Present (No Meaningful Information in I04) | M 1 ID 2/2 |
| M | ISA04 | I04 | Security Information This is used for identifying the security information about the interchange sender or the data in the interchange; the type of information is set by the Security Information Qualifier (I03) Always 10 spaces. | M 1 AN 10/10 |
| M | ISA05 | I05 | Interchange ID Qualifier Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified Always 'ZZ' 02 SCAC (Standard Carrier Alpha Code) | M 1 ID 2/2 |
| M | ISA06 | I06 | Interchange Sender ID Identification code published by the sender for other parties to use as the receiver ID to route data to them; the sender always codes this value in the sender ID element Sender Identifier. May be identical to that of GS02. | M 1 AN 15/15 |
| M | ISA07 | I05 | Interchange ID Qualifier Code indicating the system/method of code structure used to designate the sender or receiver ID element being qualified Always 'ZZ' 02 SCAC (Standard Carrier Alpha Code) | M 1 ID 2/2 |
| M | ISA08 | I07 | Interchange Receiver ID Identification code published by the receiver of the data; When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them 'USCT' - Testing 'USCP' - Production | M 1 AN 15/15 |

| | | | | | | |
|---|-------|-----|---|---|---|--------|
| M | ISA09 | I08 | Interchange Date Date of the interchange Date as YYMMDD where: YY - Year MM - Month of Year DD - Day of Month | M | 1 | DT 6/6 |
| M | ISA10 | I09 | Interchange Time Time of the interchange Time as HHMM where: HH - Hour MM - Minute | M | 1 | TM 4/4 |
| | ISA11 | I10 | Interchange Control Standards Identifier Code to identify the agency responsible for the control standard used by the message that is enclosed by the interchange header and trailer. Preferred 'U' U U.S. EDI Community of ASC X12, TDCC, and UCS | O | 1 | ID 1/1 |
| M | ISA12 | I11 | Interchange Control Version Number Code specifying the version number of the interchange control segments Always '00404' 00404 Standards Approved for Publication by ASC X12 Procedures Review Board through October 2000 | M | 1 | ID 5/5 |
| M | ISA13 | I12 | Interchange Control Number A control number assigned by the interchange sender | M | 1 | N0 9/9 |
| M | ISA14 | I13 | Acknowledgment Requested Code indicating sender's request for an interchange acknowledgment Always '0' 0 No Acknowledgment Requested | M | 1 | ID 1/1 |
| M | ISA15 | I14 | Usage Indicator Code indicating whether data enclosed by this interchange envelope is test, production or information Preferred 'P' P Production Data T Test Data | M | 1 | ID 1/1 |
| M | ISA16 | I15 | Component Element Separator Type is not applicable; the component element separator is a delimiter and not a data element; this field provides the delimiter used to separate component data elements within a composite data structure; this value must be different than the data element separator and the segment terminator Preferred ' : ' (colon) | M | 1 | AN 1/1 |

Segment: **GS** Functional Group Header
Position: 0075
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the beginning of a functional group and to provide control information
Comments: 1 A functional group of related transaction sets, within the scope of X12 standards, consists of a collection of similar transaction sets enclosed by a functional group header and a functional group trailer.

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | GS01 | 479 | Functional Identifier Code Code identifying a group of application related transaction sets Always 'BA' | M 1 ID 2/2 |
| | | | BA U.S. Customs Permit to Transfer Request (356) | |
| M | GS02 | 142 | Application Sender's Code Code identifying party sending transmission; codes agreed to by trading partners Sender identifier. May be identical to the ISA06. | M 1 AN 2/15 |
| M | GS03 | 124 | Application Receiver's Code Code identifying party receiving transmission; codes agreed to by trading partners 'USCT' - Testing 'USCP' - Production | M 1 AN 2/15 |
| M | GS04 | 373 | Date Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year Date as CCYYMMDD where: CC - Century YY - Year MM - Month of Year DD - Day of Month | M 1 DT 8/8 |
| M | GS05 | 337 | Time Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) Use Eastern Standard/Daylight Time. Time as HHMM where: HH - Hour MM - Minute | M 1 TM 4/8 |
| M | GS06 | 28 | Group Control Number Assigned number originated and maintained by the sender | M 1 N0 1/9 |
| M | GS07 | 455 | Responsible Agency Code Code identifying the issuer of the standard; this code is used in conjunction with Data Element 480 Always 'X' X Accredited Standards Committee X12 | M 1 ID 1/2 |

| | | | | |
|---|------|-----|---|--------------------|
| M | GS08 | 480 | Version / Release / Industry Identifier Code | M 1 AN 1/12 |
| Code indicating the version, release, subrelease, and industry identifier of the EDI standard being used, including the GS and GE segments; if code in DE455 in GS segment is X, then in DE 480 positions 1-3 are the version number; positions 4-6 are the release and subrelease, level of the version; and positions 7-12 are the industry or trade association identifiers (optionally assigned by user); if code in DE455 in GS segment is T, then other formats are allowed | | | | |
| Always '004040' | | | | |
| 004040 | | | Standards Approved for Publication by ASC X12 Procedures Review Board through October 2000 | |

Segment: **ST** Transaction Set Header
Position: 0100
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number
Comments:

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| M | ST01 | 143 | Transaction Set Identifier Code Code uniquely identifying a Transaction Set Always '356' | M 1 ID 3/3 |
| | | | 356 U.S. Customs Permit to Transfer Request | |
| M | ST02 | 329 | Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M 1 AN 4/9 |
| Not Used | ST03 | 1705 | Implementation Convention Reference | O AN 1/35 |

Segment: **M10** Manifest Identifying Information
Position: 0200
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To transmit manifest identifying information
Syntax Notes:

- 1 If either M1004 or M1010 is present, then the other is required.
- 2 At least one of M1005 or M1004 is required.

Semantic Notes:

- 1 M1004 is International Maritime Organization (IMO) Code issued by Lloyds.
- 2 M1007 is used for the six-digit Numeric Manifest Sequence Number.
- 3 M1011 indicates if the transmission involves an in-bond participant. A "Y" indicates it does; an "N" indicates it does not.
- 4 M1012 is a unique identification number for the manifest assigned by the originator of the manifest with a maximum length of 15.

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| M | M1001 | 140 | Standard Carrier Alpha Code Standard Carrier Alpha Code A Standard Carrier Alpha Code (SCAC) representing the automated carrier initiating the PTT. | M 1 ID 2/4 |
| M | M1002 | 91 | Transportation Method/Type Code Code specifying the method or type of transportation for the shipment Always 'R'. R Rail | M 1 ID 1/2 |
| M | M1003 | 26 | Country Code Code identifying the country ISO 2 alpha Country Code. Country of rail origin for land border crossings. - Only ANSI X.12 syntax validations will be performed on M1003. | M 1 ID 2/3 |
| Not Used | M1004 | 597 | Vessel Code | X 1 ID 1/8 |
| Must Use | M1005 | 182 | Vessel Name Name of conveyance - Only ANSI X.12 syntax validations will be performed on M1005. | X 1 AN 2/28 |
| M | M1006 | 55 | Flight/Voyage Number Identifying designator for the particular flight or voyage on which the cargo travels - Only ANSI X.12 syntax validations will be performed on M1006. | M 1 AN 2/10 |
| Not Used | M1007 | 127 | Reference Identification | O 1 AN 1/50 |
| Not Used | M1008 | 380 | Quantity | O 1 R 1/15 |
| Must Use | M1009 | 256 | Manifest Type Code Code identifying the type of manifest transmitted Always 'T' T Permit to Transfer | O 1 ID 1/1 |
| Not Used | M1010 | 897 | Vessel Code Qualifier | X 1 ID 1/1 |
| Not Used | M1011 | 1073 | Yes/No Condition or Response Code | O 1 ID 1/1 |

| | | | | | | |
|-----------------|--------------|------------|---|----------|----------|----------------|
| | M1012 | 127 | Reference Identification | O | 1 | AN 1/50 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | | | |
| | | | Carrier-assigned reference number that will be returned in the response message. | | | |
| | | | - CBP accepts up to 30 alpha/numeric characters in this element. | | | |
| Not Used | M1013 | 353 | Transaction Set Purpose Code | O | 1 | ID 2/2 |
| Not Used | M1014 | 346 | Application Type | O | 1 | ID 2/2 |

Segment: **P4 Port Information**
Position: 0300
Loop: P4 Mandatory
Level:
Usage: Mandatory
Max Use: 1
Purpose: To transmit identifying information for a port
Syntax Notes:
Semantic Notes:

- 1 P401 is used for customs district and port code (census schedule D).
- 2 P402 is the estimated date of arrival.
- 3 P403 is used for number of bills of lading.
- 4 P404 is the Facilities Information and Resources Management System (FIRMS) Code.
- 5 P405 is the estimated time of arrival for P402.

Notes: Port of Discharge information. CBP only accepts one P4 segment per transaction for RAIL applications.

Data Element Summary

| | Ref. | Data | Name | Attributes |
|----------|-------------|----------------|---|-------------------|
| | Des. | Element | | |
| M | P401 | 310 | Location Identifier Code which identifies a specific location - Only ANSI X.12 syntax validations will be performed on P401. | M 1 AN 1/30 |
| M | P402 | 373 | Date Date expressed as CCYYMMDD where CC represents the first two digits of the calendar year - Only ANSI X.12 syntax validations will be performed on P402. | M 1 DT 8/8 |
| Not Used | P403 | 380 | Quantity | O 1 R 1/15 |
| Not Used | P404 | 310 | Location Identifier | O 1 AN 1/30 |
| Not Used | P405 | 337 | Time | O 1 TM 4/8 |

Segment: M20 Permit to Transfer Request Details
Position: 0400
Loop: P4 Mandatory
Level:
Usage: Mandatory
Max Use: 9999
Purpose: To provide Customs with Permit to Transfer details
Comments:

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|-----|------------------|---------------------|---|-------------------|
| M | M2001 | 140 | Standard Carrier Alpha Code Standard Carrier Alpha Code SCAC of the Bill Issuer. M2001 + M2002 comprise the unique bill of lading identifier. | M 1 ID 2/4 |
| M | M2002 | 598 | Bill of Lading/Waybill Number Identification number assigned to the shipment by the carrier or consolidator Bill Issuer Sequence Number. M2001 + M2002 comprise the unique bill of lading number. The transfer request cannot be made in any manifest transmissions. - CBP will accept up to 12 alpha/numeric characters in this element. | M 1 AN 1/25 |
| Dep | M2003 | 206 | Equipment Initial Prefix or alphabetic part of an equipment unit's identifying number Use this element when performing Permit To Transfer (PTT) at the equipment level. Not used when cargo is non-containerized (NC). If M2003 is used, M2004 is required. | X 1 AN 1/4 |
| Dep | M2004 | 207 | Equipment Number Sequencing or serial part of an equipment unit's identifying number (pure numeric form for equipment number is preferred) Use this element when performing Permit To Transfer (PTT) at the equipment level. Not used when cargo is non-containerized (NC). If M2004 is used, M2003 is required. | X 1 AN 1/15 |
| M | M2005 | 309 | Location Qualifier Code identifying type of location Value accepted by CBP. FR U.S. Custom's Facilities Information and Resource Management Systems (FIRMS) | M 1 ID 1/2 |
| M | M2006 | 310 | Location Identifier Code which identifies a specific location Facilities Information and Resource Management Systems (FIRMS) Code. The FIRMS location must be bonded and on file in AMS. | M 1 AN 1/30 |
| M | M2007 | 128 | Reference Identification Qualifier Code qualifying the Reference Identification Bonded Carrier ID qualifier. Value accepted by CBP. BI Bonded Carrier Internal Revenue Service Identification Number | M 1 ID 2/3 |

| | | | | | | |
|----------|-------|-----|--|---|---|---------|
| M | M2008 | 127 | Reference Identification | M | 1 | AN 1/50 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier Required for PTT. Bonded Carrier ID Number. | | | |
| | | | The system will validate the ID is on file and has a valid Bond type. Values accepted by CBP. | | | |
| | | | NN-NNNNNNNXX Internal Revenue Service (IRS) YYDDPP-NNNNN CBP Assigned Number NNN-NN-NNNN Social Security Number | | | |
| | | | - CBP will accept up to 12 alpha/numeric characters including embedded hyphens. | | | |
| | M2009 | 369 | Free-form Description | O | 1 | AN 1/45 |
| | | | Free-form descriptive text Comments to Trade which will be returned in the TS350. | | | |
| | | | - CBP will accept up to 30 alpha/numeric characters in this element. | | | |
| Not Used | M2010 | 761 | Equipment Number Check Digit | O | 1 | N0 1/1 |
| | M2011 | 380 | Quantity | O | 1 | R 1/15 |
| | | | Numeric value of quantity This field is used when reporting a PTT quantity less than the full BOL quantity. PTT quantity cannot exceed full BOL quantity. No decimals. | | | |
| | | | - CBP will accept up to 10 numeric characters in this element. | | | |

Segment: **SE** Transaction Set Trailer
Position: 0500
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)
Comments: 1 SE is the last segment of each transaction set.

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | SE01 | 96 | Number of Included Segments Total number of segments included in a transaction set including ST and SE segments | M 1 N0 1/10 |
| M | SE02 | 329 | Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M 1 AN 4/9 |

Segment: **GE** Functional Group Trailer
Position: 0600
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of a functional group and to provide control information
Comments: 1 The use of identical data interchange control numbers in the associated functional group header and trailer is designed to maximize functional group integrity. The control number is the same as that used in the corresponding header.

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | GE01 | 97 | Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element | M 1 N0 1/6 |
| M | GE02 | 28 | Group Control Number Assigned number originated and maintained by the sender | M 1 N0 1/9 |

Segment: **IEA** Interchange Control Trailer
Position: 0700
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To define the end of an interchange of zero or more functional groups and interchange-related control segments

Comments:

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | IEA01 | I16 | Number of Included Functional Groups A count of the number of functional groups included in an interchange | M 1 N0 1/5 |
| M | IEA02 | I12 | Interchange Control Number A control number assigned by the interchange sender | M 1 N0 9/9 |