ACE Automated Broker Interface Automated Interface Requirements

ACH Debit Authorization/Entry Summary Presentation

September 10, 2019

U.S. Customs and Border Protection

Contents

Table of Changes

This chapter provides Automated Clearinghouse (ACH) payment authorization/entry summary presentation input and output records for electronic payment of the U.S. Customs and Border Protection (CBP) daily and periodic daily statement.

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
6	Sept 10, 2019	PZ E0 record	Added PUN, Payment Type, and Payment Amount to reference text
5	Feb 26, 2019	Input Structure Map PT Input record	PT record can be repeated 9,999 times Filer Code is mandatory Changed position 14 to filler. Statement number to 10AN
		All	Updated to allow ACH Credit RM without a PUN for $0 Daily Statements Changed bank reference to pay.gov Updated transaction name for consistency
4	Jan 14, 2019	Output Record	Changed the structure of the output message to use E0/E1 format
3	July 12, 2016	PT Input Record	Change the Class from "M" to "C" for the PN Debit Negation code in the PT record. Change the Debit Negation Identifier to "Y" or "space fill" and Narrative within the PT record.
		ACH Debit Authorization/Entry Summary Presentation	Changed reference of application identifier PN to RM.
		PT Input Record	Change narrative for the payment type code to 01 and 02 to reflect the length/class as 2N.
2	September 8, 2015	All	PN Debit Negation
1	May 22, 2015	All	Initial Release

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ACH Debit Authorization/Entry Summary Presentation

The ACH Debit Authorization/Entry Summary Presentation application identifier serves two purposes:

- For <u>ACH Debit</u> participants it serves as an ACH Debit authorization for the Daily and Periodic Daily Statement. The ACH debit authorization for a Periodic Daily Statement is held until the due date of the Periodic Monthly Statement, which lists the Periodic Daily Statement.

- It serves as entry summary presentation for entry summaries listed on the Daily and Periodic Daily Statement.

The ACH Debit Authorization is an electronic payment mechanism designed to replace the use of paper check payment for estimated duties, taxes, and fees. Under a preauthorized agreement, the payer's bank account is electronically debited. The electronic debit to the payer's account occurs only when the payment authorization has been accepted by the U.S. Customs and Border Protection (CBP) and only for the amount of the accepted payment authorization transaction.

ACH Debit Authorization/Entry Summary Presentation transactions submitted for a Daily Statement MUST include a payer's unit number when authorizing a payment if money is owed on the statement. ACH Credit participant authorizations are not allowed for Daily Statements if money is owed on the statement. If no money is owed on a Daily Statement, an ACH Credit authorization can be submitted to finalize the statement. This replaces sending $0 ACH credit transactions to the bank. The filer MUST submit spaces in the payer's unit number for reporting an ACH Credit participant authorization.

ACH Debit Authorization/Entry Summary Presentation transactions submitted for a Periodic Daily Statement MUST include a payer's unit number for an ACH Debit participant. ACH Credit participant authorizations are allowed for Periodic Daily Statements. The filer MUST submit spaces in the payer's unit number for reporting an ACH Credit participant authorization.

Zero duty due statements require an ACH transaction. When a filer receives a preliminary statement,, which consists entirely of paperless summaries, the total amount due for the statement is zero, and the statement would normally be "paid" via an ACH transaction, the filer must transmit an ACH Debit Authorization/Entry Summary Presentation of zero amount ($0.00). The processing of this zero amount ACH transaction completes the ACE automated collection process and initiates the generation of a final Statement. The ACH authorization serves as entry summary presentation for the entry summaries listed on the statement. The filer should retain both the paperless summary and statement information.

The final Periodic Daily Statement is available to the filer the day following CBP acceptance of the ACH Debit Authorization/Entry Summary Presentation transaction. On the due date of the Periodic Monthly Statement, the debit authorization will be sent to Pay.gov for processing.

The final Daily Statement is generated to the filer between 2 to 3 business days following CBP acceptance of the ACH Debit Authorization/Entry Summary Presentation transaction.

Negation Option:

A negation option has been added to the ACH Debit Authorization/Entry Summary Presentation transaction. A filer will be allowed to negate a previously accepted ACH Debit Authorization transaction. The negation will have the following time constraints:

- The negation must be transmitted on the same date as the acceptance date shown in the previous accepted ACH Debit Authorization/Entry Summary Presentation transaction output record.

- The negation transaction must be received by ACE prior to the end of day processing of the original acceptance date.

- Once the negation action has been accepted, the statement will be reverted to an "unpaid" status. This will allow a filer to remove entries from a statement when necessary and resend a new ACH Debit Authorization for payment of remaining entries listed on the statement. The negation action does not change the 10 day filing requirement for payment of duties, taxes and fees.

The appropriate processing results are provided through the PZ transaction, records E0 and E1.. If these records indicate an error condition, no payment processing will occur to the Daily or Periodic Daily Statement. If there is an error condition, the Payment Authorization Record (Record Identifier PT) must be retransmitted with the correct data.

Input: Record Identifier PT is a mandatory ACH Debit Authorization/ Entry Summary Presentation input record. The application identifier on Record Identifier B is RM. For additional information on Record Identifier B, refer to the ABI Batch & Block Control chapter of this publication.

Output: The output record layouts describe a response to a filing as generated and returned by the automated EDI interface. Following the output format definitions is a sub-section that provides various clarifications regarding the ACH Debit Authorization/Entry Summary Presentation response.

Input Record Structure Map

The following table illustrates how repeating groups are to be structured and submitted in a proprietary format ACH Debit Authorization/Entry Summary Presentation transaction to ACE.

Control ID	Name	Designation	Loop Repeat
	ACH Debit Authorization/Entry Summary Presentation Input	*M*	*9,999*
PT	ACH Debit Authorization/Entry Summary Presentation Input	M	

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

Record Identifier PT (Input)

This is a mandatory ACH Debit Authorization/Entry Summary Presentation input record that provides data pertaining to the payer's unit number, payment type, statement filer, statement number, payment amount, and negation code and negation date. This record is repeated as often as necessary, up to 9,999 times

Record Identifier PT (Input)					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal P.	
Record Type	1A	2	M	Must always equal T.	
Payer's Unit Number	6SN	3-8	C	For ACH Debit participants this is the number provided by CBP during the set-up process with Pay.gov that identifies what bank account is to be debited. ACH Debit Payer's Unit Number is mandatory for Daily and Periodic Daily Statement authorizations. ACH Credit participants will space fill this field for Periodic Daily Statement authorizations and $0 Daily Statement authorizations.	
Payment Type	2N	9-10	M	A code of 01 indicates the payment type is for a CBP Periodic Daily Statement. A code of 02 indicates the payment is for a CBP Daily Statement.	
Statement Filer	3AN	11-13	M	A code representing the filer of the Statement.	
Filler	1X	14	M	Space fill.	
Statement Number	10AN	15-24	M	The number that identifies the Statement.	
Payment Amount	10N	25-34	M	A value representing the amount of the Statement. This amount must be identical to the total Daily or Periodic Daily Statement amount and must also be provided for statements with a zero amount. Two decimal places are implied. If the amount is a whole number, the two low-order (cents) positions contain zeroes. For ACH Debit participants this is the amount of money that is to be electronically debited from the payer's bank account.	

Record Identifier PT (Input)					
Negation Code	1A	35-35	C	Must be "Y" to request a negation of an accepted ACH Debit Authorization/Entry Summary Presentation. Otherwise, space fill.	
Negation Date	6D	36-41	C	The negation date in month, day, year format (MMDDYY). Must be sent when negation code = Y. Otherwise, space fill.	
Filler	39X	42-80	M	Space fill.	

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Output Record Structure Map

The following table illustrates how repeating groups are structured and returned in a proprietary format ACH Debit Authorization/Entry Summary Presentation response generated by ACE.

Control ID	Name	Designation	Loop Repeat
	ACH Response **TRANSACTION** Grouping		9,999
E0	ACH Condition Reference (STMTNO)	M	
	Condition Reference Grouping	C	> 1
E0	ACH Condition Reference	M	
	Condition Grouping	C	> 1
E1	ACH **Condition**/Disposition Response	M	
E1	ACH Condition/**Disposition** Response	M	

Note: Alphabetic characters in any Transaction Grouping data element received from CBP in the response will be uppercase.

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ACH Debit Authorization/Entry Summary Presentation Response TRANSACTION Grouping

An ACH Debit Authorization/Entry Summary Presentation Condition Reference (type: **STMTNO**) will unconditionally be returned to the Filer/Transmitter in an output response.

ACH Debit Authorization/Entry Summary Presentation Condition Reference (Output E0).

The ACH Debit Authorization/Entry Summary Presentation Condition Reference may be returned in the output multiple times within a single response Entry Summary Response TRANSACTION Grouping.

The output record conveys to the Filer/Transmitter which data grouping component in the submission has caused or contributed to a fatal, warning, or informational condition.

E0-Record Data Element	Length/ Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always **E0**	
Filler	1S	3-3	M	Always space.	
Reference Data Type Code	6AN	4-9		An indication as to the type of reference information returned. For ACH Debit Authorization/Entry Summary Presentation, code will be **STMTNO**	1
Filler	1S	10-10	M	Always space fill.	
Occurrence Position	6N	11-16	M	If a repeating group, the relative position of the submitted input detail within the grouping	
Filler	1S	17-17	M	Always space fill.	
Reference ID Constant	7X	18-24	M	Always '**REF ID:**'	
Filler	1S	25-25	M	Always space fill.	
Reference Data Text	55X	26-80	M	Identifying data extracted from the submitted input that corresponds to the Reference Data Type Code. The Statement Number, PUN, Payment Type, Payment Amount if available	1

Note 1

Returned Statement Reference Data

Table 1: **Returned Statement Reference Data**

Reference Data Type Code	Description / Usage	Returned 'Reference Data Text' Content	
STMTNO	**Description:** Statement Number	**Position**	**Description / Source**
		26-35	**Statement Number** (PT-Record)
		36-37	Space.
		38-43	**Payer Unit Number** (PT-Record)
		44	Space.
		45-46	**Payment Type** (PT-Record)
		47	Space.
		48-57	**Payment Amount** (PT-Record)
		58-80	Space.

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ACH Debit Authorization/Entry Summary Presentation Condition/Disposition Response (Output E1)

The ACH Debit Authorization/Entry Summary Presentation Condition/Disposition Response may be returned in the output multiple times within a single response ACH Debit Authorization/Entry Summary Presentation Response TRANSACTION Grouping.

The output record conveys to the Filer/Transmitter a single, discreet *condition* regarding an input validation or the *final disposition* of the requested action.

E1-Record Data Element	Length/ Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always **E1**	
Disposition Type Code	1AN	3-3	M	An indication as to CBP's final disposition of action requested. **Space** = Not a final disposition record. **A** = Final disposition; the transaction has been **ACCEPTED** by CBP; the action requested was successfully performed. **R** = Final disposition; the transaction has been **REJECTED** by CBP; the action requested was NOT performed.	
Severity Code	1AN	4-4	M	An indication as to the severity of the condition (if any): • **F =** 'Fatally' invalid data or critical error. • **I** = Informational notice ONLY. • **Space** = No condition(s) encountered.	
Condition Code	3AN	5-7	M	Code that identifies the condition or final disposition regarding a ACH Debit Authorization/Entry Summary Presentation filing.	
Reason Code	3AN	8-10	C	A further identification of the condition for CBP internal use ONLY.	
Narrative Text	40AN	11-50	M	Text description that corresponds to the Condition Code.	
Statement Filer Code	3AN	51-53	C	Filer's identification code as reported on the input PT-Record.	
Filler	2S	54-55	M	Space fill.	
Statement Number	10AN	56-65	C	Unique identifying number assigned to the Statement as reported on the input PT-Record.	
Filler	3S	66-68	C	Space fill	
Date Accepted	6N	69-74	C	A numeric date in month, day, year format (MMDDYY) representing date accepted.	
Filler	6S	75-80	M	Space fill	

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