

Automated Commercial Environment

U.S. Customs 966 File Transfer

November 2010



U.S. Customs and
Border Protection



996 File Transfer

Functional Group ID=**SO**

Introduction:

This X12 Transaction Set contains the format and establishes the data contents of the File Transfer Transaction Set (996) for use within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used to transmit file information in formats agreed to by the sending and receiving parties. This transaction set is not intended to replace or bypass the use of existing X12 transaction sets to accommodate internal applications. The transaction set is solely intended for the exchange of formatted electronic accounting machine (EAM), 80 column card images.

This Implementation Guideline uses the ASC X12 4010 Standards Version/Release as its base.

Notes:

The Non-AMS Paperless Releases Extract Report via Sea AMS Record provides data element descriptions and format requirements for transmitting non-AMS paperless release data from the Cargo Selectivity S32 report. This transaction can be used to send S32 Report data to Port Authorities.

- Maximum allowable message transmission size is 12 megabytes (12,582,912 bytes) of data.

(Last Update: September 8, 2017) ACE v 1.2

| | <u>Pos. No.</u> | <u>Seg. ID</u> | <u>Name</u> | <u>Req. Des.</u> | <u>Max.Use</u> | <u>Loop Repeat</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 | BGF | Beginning Segment for File Transfer Information | M | 1 | |
| M | 0300 | K3 | File Information | M | >1 | |
| M | 0400 | SE | Transaction Set Trailer | M | 1 | |
| M | 0500 | GE | Functional Group Trailer | M | 1 | |
| M | 0600 | 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

Syntax Notes:
Semantic Notes:
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 '00' 00 No Authorization Information Present (No Meaningful Information in I02) | 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 10 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' ZZ Mutually Defined | 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 'CUSTOMSTST' - Testing 'CUSTOMS' - Production | 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' ZZ Mutually Defined | M 1 ID 2/2 |

| | | | | | | |
|---|-------|-----|--|---|---|----------|
| M | ISA08 | I07 | Interchange Receiver ID | M | 1 | AN 15/15 |
| | | | 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 Receiver Identifier. Up to 4 alpha/numeric characters. Value will contain the Standard Carrier Alpha Code (SCAC) or the identity of the Service Center if applicable. May be identical to that of GS03. | | | |
| M | ISA09 | I08 | Interchange Date | M | 1 | DT 6/6 |
| | | | Date of the interchange Date as YYMMDD where: YY - Year MM - Month of Year DD - Day of Month | | | |
| M | ISA10 | I09 | Interchange Time | M | 1 | TM 4/4 |
| | | | Time of the interchange Time as HHMM where: HH - Hour MM - Minute | | | |
| M | ISA11 | I10 | Interchange Control Standards Identifier | M | 1 | ID 1/1 |
| | | | Code to identify the agency responsible for the control standard used by the message that is enclosed by the interchange header and trailer Always 'U' U U.S. EDI Community of ASC X12, TDCC, and UCS | | | |
| M | ISA12 | I11 | Interchange Control Version Number | M | 1 | ID 5/5 |
| | | | Code specifying the version number of the interchange control segments Always '00401' 00401 Standards Approved for Publication by ASC X12 Procedures Review Board through October 1997 | | | |
| M | ISA13 | I12 | Interchange Control Number | M | 1 | N0 9/9 |
| | | | A control number assigned by the interchange sender | | | |
| M | ISA14 | I13 | Acknowledgment Requested | M | 1 | ID 1/1 |
| | | | Code indicating sender's request for an interchange acknowledgment Always '0' 0 No Interchange Acknowledgment Requested | | | |
| M | ISA15 | I14 | Interchange Usage Indicator | M | 1 | ID 1/1 |
| | | | Code indicating whether data enclosed by this interchange envelope is test, production or information Always 'P' P Production Data | | | |
| M | ISA16 | I15 | Component Element Separator | M | 1 | AN 1/1 |
| | | | 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 Always ':' (colon). | | | |

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
Syntax Notes:
Semantic Notes:

- 1 GS04 is the group date.
- 2 GS05 is the group time.
- 3 The data interchange control number GS06 in this header must be identical to the same data element in the associated functional group trailer, GE02.

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 'SO' | M 1 ID 2/2 |
| | | | SO Ocean Shipment Information | |
| M | GS02 | 142 | Application Sender's Code Code identifying party sending transmission; codes agreed to by trading partners 'CUSTOMSTST' - Testing 'CUSTOMS' - Production | M 1 AN 2/15 |
| M | GS03 | 124 | Application Receiver's Code Code identifying party receiving transmission; codes agreed to by trading partners Receiver Identifier. Up to 4 alpha/numeric characters. Value will contain the Standard Carrier Alpha Code (SCAC) or the identity of the Service Center if applicable. May be identical to that of ISA08. | 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) Eastern Standard/Daylight Time will be used. 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' | M 1 ID 1/2 |
| | | | X Accredited Standards Committee X12 | |

| | | | | |
|---|-------------|------------|---|--------------------|
| 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 '004010' | | | | |
| 004010 | | | Standards Approved for Publication by ASC X12 Procedures Review Board through October 1997 | |

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
Syntax Notes:
Semantic Notes:

- 1 The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
- 2 The implementation convention reference (ST03) is used by the translation routines of the interchange partners to select the appropriate implementation convention to match the transaction set definition. When used, this implementation convention reference takes precedence over the implementation reference specified in the GS08.

Comments:

Data Element Summary

| | <u>Ref.</u> <u>Des.</u> | <u>Data</u> <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|----------------------------|-------------------------------|--|-------------------|
| M | ST01 | 143 | Transaction Set Identifier Code Code uniquely identifying a Transaction Set Always '996' | M 1 ID 3/3 |
| | | | 996 File Transfer | |
| 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 |

Segment: **BGF** Beginning Segment for File Transfer Information
Position: 0200
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To transmit identifying numbers, dates, and other basic data relating to the transaction set
Syntax Notes:
Semantic Notes:
Comments:

- Due to the installation of the ST segment in all transaction sets, data element 143 in all of the "B" segments is redundant. DE 143 will be retained as an optional data element for a period of adjustment. It is suggested that DE 143 not be transmitted so it may be dropped from segment definitions in the future.
The reference number qualifier code for file identifier is "FI".

Data Element Summary

| Ref. Des. | Data Element | Name | Attributes |
|-----------|--------------|--|-------------|
| BGF01 | 143 | Transaction Set Identifier Code Code uniquely identifying a Transaction Set | O 1 ID 3/3 |
| | | 996 File Transfer | |
| M BGF02 | 128 | Reference Identification Qualifier Code qualifying the Reference Identification | M 1 ID 2/3 |
| | | FI File Identifier | |
| M BGF03 | 127 | Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | M 1 AN 1/80 |
| | | S32 S32 Report Download | |

Segment: **K3** File Information
Position: 0300
Loop:
Level:
Usage: Mandatory
Max Use: >1
Purpose: To transmit a fixed-format record or matrix contents
Syntax Notes:
Semantic Notes: 1 K303 identifies the value of the index.
Comments: 1 The default for K302 is content.
Notes: The segment includes identifying information for the Entry and Bill of Lading associated with the freight which has been released by USCBP.

| Data Element | Length/ Class | Position | Description |
|-----------------------|------------------|----------|--|
| DDPP | 4N | 1-4 | A code representing the CBP district/port of lading. Use Census Schedule D, included as CAMIR Appendix E, for valid district/port codes. |
| Filer/Entry Number | 15AN | 5-19 | The CBP-assigned filer/entry number. |
| Carrier Code | 4AN | 20-23 | The Standard Carrier Alpha Code (SCAC) representing the importing carrier. |
| Vessel Name | 23AN | 24-46 | A valid importing vessel name. |
| Voyage/Flight Number | 5AN | 47-51 | The voyage/flight number of the importing carrier. |
| Bill of Lading Number | 16AN | 52-67 | The bill of lading number. |
| Entered Quantity | 10N | 68-77 | The quantity entered and released on the bill of lading. |

Data Element Summary

| Ref. | Data Element | Name | Attributes |
|------|-----------------|---|-------------|
| M | K301 | 449 Fixed Format Information Data in fixed format agreed upon by sender and receiver | M 1 AN 1/80 |

Segment: **SE** Transaction Set Trailer
Position: 0400
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)

Syntax Notes:

Semantic Notes:

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: 0500
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of a functional group and to provide control information
Syntax Notes:
Semantic Notes: 1 The data interchange control number GE02 in this trailer must be identical to the same data element in the associated functional group header, GS06.
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: 0600
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

Syntax Notes:
Semantic Notes:
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 |