



Customs and Trade Automated Interface Requirements CATAIR Implementation Guide

Certificate Query

June 2022



U.S. Customs and
Border Protection



July 2022

Publication No. 1879 0722



Certificate Query

This chapter provides input and output record layouts, data elements, and processing information for Automated Broker Interface, ABI, filers to query certificate/license or visa data in the Automated Commercial Environment, ACE, Electronic Certification System hereafter referred to as “eCERT”.

The reader should be advised that this technical document is considered final. However, the document retains the DRAFT designation in the footer until such time that an official Office of Public Affairs publication number has been assigned to the new “ACE ABI CATAIR” publication. For your information, subsequent revisions to this document will be controlled through the official CBP document amendment process.



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Table of Changes

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
1	June 30, 2022	All	Initial Draft



Certificate Query - Introduction

The Certificate Query provides to ACE ABI filers the capability to query Certificates/Licenses or Visas that have been filed in eCERT to obtain current status, quantity information, and entry summary usage details. The specifications contained in this chapter are for query and response records that will be processed in ACE and will return data from the eCERT system. The word “document” will be used when the topic being discussed applies to both certificates/licenses and visas.

To safeguard against unauthorized access to certificate/license, visa or entry summary data, response data will only be returned when the filer of the Certificate Query is one of the following:

- a) The original filer of the entry summary (Filer Code of the Entry Summary # must match the Filer Code of the B-record Sender on the Certificate Query message), or
- b) A filer of a Post Summary Correction (PSC) of the entry summary

Input: Record Identifier C1 is the input record used to specify the criteria for the query. Importer Number, Request Type, and Document Type (certificate, license, or visa) must be provided along with either a date/date range or a document/document range. The term “document” is used to refer to either a certificate, license or a visa.

A Certificate Query Report may be requested based on the following Request Types:

A) A single date or date range with no Certificate, license, or visa number(s) specified and the Condition Code of either “10 – Matched”, “11 – Unmatched”, or “12 – Cancelled” for a given importer number. This will generate a report for all certificates, licenses, or visas on-file for the specified importer on the given date or date range that:

- 1) have Entry Summary activity recorded against the “Matched” certificates, licenses or visas for the Filer Code requesting the Certificate Query,
- 2) have no Entry Summary activity recorded against them for the Filer Code requesting the Certificate Query—“Unmatched” or
- 3) have been “Cancelled” by the originating country

B) A single certificate, license or visa number or a range of certificate, license, or visa numbers with a Condition Code and Importer Number. If the Condition Code in the request matches the Condition Code for the certificate, license, or visa(s) in the CBP system, then a report will be generated. If the Condition Code does not match the code for the certificate, license, or visa(s) in the CBP system, an error message will be generated.

A report will be produced for a maximum of 20,000 documents called “CB-records”. When more than 20,000 documents exist for the given search criteria, an informational message will be returned in the response along with the report data. The search criteria can be narrowed until no



more than 20,000 documents are found.

The application identifier on Record Identifier B of the Certificate Query request is “EC”. For additional information on Record Identifier B, refer to the “ABI Batch & Block Control” chapter of the ACE ABI CATAIR.

Output: Record Identifiers “CA”, “CB”, “CC”, “CD” and “CE” are returned to convey details for those certificates, licenses, or visas that meet the report request criteria (including Document number(s), date range, and condition code) as provided by the C1 and C2 Record Identifiers.

A certificate, license, or visa is considered 'Matched' if 'Entry' activity has been recorded against the certificate, license, or visa.

A certificate, license, or visa is considered 'Not Matched' if no 'Entry' activity has been recorded against the certificate, license, or visa.

A certificate, license, or visa will be in the ‘Cancelled’ condition if CBP has successfully processed a request from the participant to cancel the certificate, license, or visa.

A maximum of 100,000 Entry Summary Lines--CD-records--will be returned in the “EZ” response. If this system limit is reached, an informational message will be returned in the “EZ” along with the report data. The search criteria can be narrowed until no more than 100,000 sets of records are found.

The application identifier on Record Identifier B of the Certificate Query response is “EZ”. For additional information on Record Identifier B, refer to the “ABI Batch & Block Control” chapter of the ACE ABI CATAIR.

The input “EC” message can contain up to 99 C1-records. After successful verification of the A-, B-, Y-, and Z-records, the input message will be split and each C1-record will be processed individually, with each receiving its own EZ output response message.

Record Layout Key: A description of the contents of each column of the record layouts has been developed for ACE. Please refer to ACE ABI CATAIR Appendix Q for a description of this record layout key.



Input Record Descriptions

Input Record Structure Map

Input Record Structure Map Submission Notes:

- Spaces must be transmitted in all data elements marked “filler”.
- Transmit ONLY uppercase alphabetic data.
- Transmit ONLY displayable characters found on a standard keyboard. Do not transmit low-values, carriage return characters, or other non-standard characters.

Only a **SINGLE** Certificate Query Block Control envelope, the B and Y Records, can be submitted in the Batch Control envelope, the A and Z Records. This is designed to limit the amount of output information generated in the response.

Furthermore, only a **SINGLE** type of Certificate query request can be made at a time in a single Block Control envelope B,Y-Record: Importer Number Query Request (one or more J1-Records). This is designed to limit the amount of output information generated in the response.

The following table illustrates how the automated interface allows repeating groups to be structured in the Certificate Query.

Control	Name	Designation	Loop Repeat
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<u>C1</u>	Certificate Query Grouping	M	99
	Certificate Query Request	M	1



Certificate Query Request Criteria Input – C1 Record

The C1-Record is a mandatory input record that identifies a specific Importer Number, the Request Type, Document Type, and other query criteria.

<i>C1-Record</i> Data Element	Length /Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always C1	
Filler	1S	3-3	M	Space fill.	
CBP Importer Number	12AN	4-15	M	CBP Importer Number. Left justified.	
Filler	1S	16-16	M	Space fill.	
Request Type	1A	17-17	M	A code representing the type of query to be performed. Valid Request Types are: A = Query by Date/Date Range B = Query by Certificate-Visa/Certificate-Visa Range	1, 2
Filler	1S	18-18	M	Space fill.	
Document Type	1N	19-19	M	A code representing the type of document being queried. Valid Document Types: 1 – Certificate/License 2 – Visa	
Filler	1S	20-20	M	Space fill.	
Condition Code	2N	21-22	M	Condition code of the Certificate, license, or visa at the time the Certificate Query was submitted. Valid Codes: 10 - Matched (Entry was filed) 11 - Unmatched (Certificate/License on file, Entry not filed) 12 - Cancelled (Certificate/License cancelled by participant)	1, 2
Filler	1S	23-23	M	Space fill.	
Start Date	8N	24-31	C	The date or the beginning date of a date range for which documents will be queried. Date format is CCYYMMDD.	1
Filler	1S	32-32	M	Space fill.	
End Date	8N	33-40	O	The ending date of a date range for which documents will be queried. Date format is CCYYMMDD.	1
Filler	1S	41-41	M	Space fill.	
Start Document Number	9AN	42-50	C	The document number or the first in a range of document numbers to be queried.	2
Filler	2S	51-52	M	Space fill.	
End Document Number	9AN	53-61	O	The last in a range of document numbers to be queried.	2
Filler	19S	62-80	M	Space fill.	



Note 1

- 1) If Request Type “A” is used, Condition Code and either the Start Date or both Start and End Dates must be provided.

Note 2

- 1) If Request Type “B” is used, Condition Code and either the Start Document Number or both Start Document Number and End Document Number must be provided. If the Condition Code in the request matches the Condition Code for the Document(s) in the CBP system, then a report will be generated. If the Condition Code does not match that of the Document(s) in the CBP system, an error message will be generated. Document Type will be ignored when Request Type “B” is used and only a single Document Number is provided.



Output Record Descriptions

Output Record Structure Map

The following table illustrates how repeating groups are structured and returned in a proprietary format Certificate Query response by eCERT.

Control ID	Name	Designation	Loop Repeat
Certificate Query Response Grouping		M	
<u>CA</u>	Certificate Query Response Header	M	1
Document Information Grouping		C	20,000
<u>CB</u>	Document Information	M	1
<u>CC</u>	Document Information – Continued	C	8
Entry Summary Grouping		C	100,000
<u>CD</u>	Entry Summary Information	M	1
<u>CE</u>	Entry Summary Information – Continued	C	8
<u>CZ</u>	Returned Condition		>1

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



Certificate Query Response Header: Output CA-Record

The output CA-Record conveys the query request criteria that was made in the input C1-Record.

CA-Record Data Element	Length /Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always CA	
Filler	1S	3-3	M	Space fill.	
CBP Importer Number	12AN	4-15	M	CBP Importer Number. Left justified.	
Filler	1S	16-16	M	Space fill.	
Request Type	1A	17-17	M	A code representing the type of query requested. Valid Request Types are: A = Query by Date/Date Range B = Query by Certificate-Visa/Certificate-Visa Range	
Filler	1S	18-18	M	Space fill.	
Document Type	1N	19-19	M	A code representing the type of document being queried. Valid Document Types: 1 – Certificate/License 2 – Visa	
Filler	1S	20-20	M	Space fill.	
Condition Code	2N	21-22	M	Condition code of the certificate, license, or visa at the time the Certificate Query was submitted. Valid Codes: 10 – Matched--Entry was filed 11 – Unmatched--Certificate/License on file, Entry not filed 12 – Cancelled--Certificate/License cancelled by participant	
Filler	1S	23-23	M	Space fill.	
Start Date	8N	24-31	C	The date or the beginning date of a date range for which documents were queried. Date format is CCYYMMDD.	
Filler	1S	32-32	M	Space fill.	
End Date	8N	33-40	O	The ending date of a date range for which documents were queried. Date format is CCYYMMDD.	
Filler	1S	41-41	M	Space fill.	
Start Document Number	9AN	42-50	C	The document number or the first in a range of document numbers queried.	
Filler	2S	51-52	M	Space fill.	
End Document Number	9AN	53-61	O	The last in a range of document numbers queried.	
Filler	19S	62-80	M	Space fill.	



Document Information: Output CB-Record

The output CB-Record provides Certificate, license, or visa number details for those documents that meet the query criteria in the CA-Record. A maximum of 20,000 CB-records will be returned.

CB-Record Data Element	Length /Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always CB	
Filler	1S	3-3	M	Space fill.	
Document Number	9AN	4-12	M	Certificate, license, or visa number.	
Filler	2S	13-14	M	Space fill.	
Document Status	1A	15-15	M	Status of the certificate, license, or visa number. A – Accepted C – Cancelled E – Expired	
Filler	1S	16-16	M	Space fill.	
Document Effective Begin Date	8N	17-24	M	The date on which the Certificate, license, or visa Number became effective. Format: CCYYMMDD	
Filler	1S	25-25	M	Space fill.	
Document Effective End Date	8N	26-33	M	The last date on which the Certificate, license, or visa Number is effective. Format: CCYYMMDD	
Filler	47S	34-80	M	Space fill.	

**Document Information, Continued: Output CC-Record**

The output CC-Record provides additional details for the document identified in the preceding output CB-Record.

CC-Record Data Element	Length /Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always CC	
Filler	1S	3-3	M	Space fill.	
Reference Number	8AN	4-11	M	For certificates or licenses, a numeric code from the Harmonized Tariff Schedule, abbreviated as HTS, that fully or partially describes/classifies the article. For visas, the “Textile Category Code” of the article. Left justified.	
Filler	1S	12-12	M	Space fill.	
Unit of Measure	3AN	13-15	M	A unit of measure code, abbreviated as UOM, that corresponds to the quantity as prescribed by the HTS Number reported. Left justified.	
Filler	1S	16-16	M	Space fill.	
Authorized Quantity	9N	17-25	M	The current authorized document quantity in whole numbers as authorized by the document registration that corresponds with the HTS Number/Textile Category Code and UOM above. Right justified.	
Filler	1S	26-26	M	Space fill.	
Remaining Quantity	9N	27-35	M	The current remaining document quantity in whole numbers that corresponds with the HTS Number/Textile Category Code and UOM above. Right justified.	
Filler	45S	36-80	M	Space fill.	



Entry Summary Information: Output CD-Record

The output CD-Record provides Entry Summary details for Entry Summary Lines that are on-file for "Matched" documents or for "Cancelled" documents for which Entry Summaries have been filed for the document shown in the CB-Record above. A maximum of 100,000 CD-records will be returned.

CD-Record Data Element	Length /Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always CD	
Filler	1S	3-3	M	Space fill.	
Entry Number	11AN	4-14	M	Entry Summary Number on which a Line has been filed with matching Document Number/HTS-Textile Category Code/UOM to the corresponding fields in the CB- and CC-Records above.	
Filler	3S	15-17	M	Space fill.	
Entry Line Number	3AN	18-20	M	Entry Summary Line Number on which a matching Document Number/HTS-Textile Category Code/UOM to the corresponding fields in the CB- and CC-Records above has been filed.	
Filler	2S	21-22	M	Space fill.	
Line Action Date	8N	23-30	M	Entry Summary Line Action Date associated with the use of the document on the Entry Summary Line. Format: CCYYMMDD.	1
Filler	50S	31-80	M	Space fill.	

Note 1

Line Action Date is the date used by CBP to qualify the Entry Summary Line for use of the document in the CB-Record. This date is chosen from a set of reported dates from Entry Summary Filers as well as from dates determined by CBP as described in the Duty Rate Date Matrix Hierarchy that is found in usage note (j) Basic Article Classification and Tariff Considerations in the ACE CATAIR Entry Summary Create/Update chapter.



Entry Summary Information, Continued: Output CE-Record

The output CE-Record provides additional details for the Entry Summary Line identified in the preceding output CD-Record.

CE-Record Data Element	Length /Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always CE	
Filler	1S	3-3	M	Space fill.	
HTS Number	10AN	4-13	M	A numeric code from the Harmonized Tariff Schedule that fully or partially describes/classifies the article as filed on the AE message.	
Filler	1S	14-14	M	Space fill.	
Unit of Measure	3AN	15-17	M	A unit of measure code that corresponds to the Quantity as prescribed by the HTS Number reported. Left justified.	
Filler	1S	18-18	M	Space fill.	
Quantity	9N	19-27	M	The Quantity reported on the Entry Summary Line in the CD-Record for the HTS Number in the CC-Record. Right justified.	
Filler	53S	28-80	M	Space fill.	



Returned Condition: Output CZ-Record

The output CZ-Record conveys the condition regarding the query response.

CZ-Record Data Element	Length /Class	Position	Desig	Description	Note
Control Identifier	2AN	1-2	M	Always CZ	
Filler	1S	3-3	M	Space fill.	
Condition Code	3AN	4-6	M	Code that identifies the condition regarding the entry summary query.	1, 2
Filler	1S	7-7	M	Space fill.	
Reason Code	3AN	8-10	C	A further identification of the condition for CBP internal use ONLY.	
Filler	1S	11-11	M	Space fill.	
Narrative Text	40AN	12-51	M	Text description that corresponds to the Condition Code. Left justified.	1, 2
Filler	29S	52-80	M	Space fill.	

Note 1

The following conditions may arise:

Condition Code	Narrative Text
	123456789 123456789 123456789 123456789
X34	UNKNOWN RECORD ID FOUND IN GROUPING
X35	OUT OF SEQUENCE RECORD FOUND IN GROUPING
X37	MISSING DATA RECORD FOUND IN GROUPING
X38	NON-CONTIGUOUS ITEM FOUND IN GROUPING
X39	DATA FOUND IN FILLER
X41	MULTIPLE QUERIES IN BATCH NOT ALLOWED
L60	APPLICATION ID INVALID
L61	OUT OF SEQUENCE RECORD FOUND IN GROUPING
L62	UNKNOWN RECORD ID FOUND IN GROUPING
L63	FILER CODE MISSING
L64	C1 RECORD MISSING
L65	MORE THAN 99 C1 RECORDS PROVIDED
L66	IMPORTER NUMBER MISSING
L67	REQUEST TYPE MISSING
L68	REQUEST TYPE INVALID
L69	START DATE MISSING
L70	DOCUMENT NUMBER MISSING
L71	DOCUMENT TYPE MISSING
L72	DOCUMENT TYPE INVALID
L73	CONDITION CODE MISSING
L74	CONDITION CODE INVALID
L75	INVALID START DATE
L76	INVALID END DATE



	Narrative Text
	123456789 123456789 123456789 123456789
L77	INVALID RANGE REQUESTED
L80	NO DOCUMENTS FOUND FOR SEARCH CRITERIA
L81	OUTPUT LIMIT REACHED; ADDL DOCS FOUND
L82	OUTPUT LIMIT REACHED; ADDL ENTRIES FOUND
ASF	ACE SYSTEM FAILURE

Note 2

If the query could not be processed because of an error found in the Input CE message, one or more discreet conditions will be returned in separate CZ-records with or without an Output CA-record as follows:

- If the error is found within the A-, B-, Y- or -Z-Records, no CA-Record will be returned.
- If the error is found within a particular Input C1-record, that record will be returned as an Output CA-Record along with the CZ-Record. The input EC message can contain up to 99 C1-records. After successful verification of the A-, B, Y-, and Z-records, the input EC message will be split and each C1-record will be processed individually, with each receiving its own EZ output response message.

If the query output reaches one or both output size limitations--20,000 documents or 100,000 Entry Summary Lines--up to 2 JZ-Records will be returned along with all CA- thru CE-records generated prior to reaching the limits.

No output CZ-Record will be returned if the certificate query is successful with no limits reached.