

Automated Commercial Environment (ACE) Entry Summary Business Rules and Process



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ACE Entry Summary (ES) Filing and Single Transaction Bond (STB) Requirements

- On April 12, 2009, U.S. Customs and Border Protection (CBP) deployed entry summary filing capabilities in the Automated Commercial Environment (ACE) for the trade community.
- ACE Entry Summary filing requirements include:
 - Consumption, Antidumping/Countervailing Duty (AD/CVD) and informal (entry types 01, 03 and 11) may be filed in ACE. (Future ACE releases will accommodate the filing of remaining entry types)
 - Filers must participate in statement processing and the entry summary transactions must be scheduled for payment on a daily or Periodic Monthly Statement (PMS)
- ACE Entry Summary filing exceptions include:
 - Lacey Act data
 - Food and Drug Administration (FDA) or Department of Transportation (DOT) data for Free and Secure Trade (FAST), Border Release Selectivity System (BRASS) and rail line release programs
 - Consolidating entry summary transactions (informals with multiple sold to parties)
- Single Transaction Bond (STB) issued for consumption or AD/CVD entry summaries (type 01 and 03), the filer must ensure to email a scanned copy of the STB to the Revenue Division, Office of Administration (OA) mailbox at ACE_STB@cbp.dhs.gov.

ACE Business Rules and Process Document Overview Page 1 – Section 6 Page 9, 10



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Additional ACE Entry Summary Parties Reported at Line Level

- New additional party types reported at the line level of an ACE Entry Summary transaction which include:
 - **Sold to Party** with Employer Identification Number (EIN) – this required record element identifies the individual or firm to whom the imported merchandise was sold or agreed to be sold
 - **Delivered to Party** with Employer Identification Number (EIN) – this optional record element identifies the individual or firm that is scheduled to receive the merchandise after its release from CBP custody
 - **Manufacturer Identification (MID) Code** – this required record element identifies the individual or firm that manufactures, produces or grows the imported commodity
 - **Foreign Exporter Code** (Mandatory for entry type 03) – this required record element identifies the last named foreign party listed on the transaction invoice/purchase order that has a substantial financial interest in the goods and who causes the goods to be shipped by any of the modes of transportation



ES Filer Control vs. Customs Control

- After the entry summary is transmitted and accepted by CBP, ACE assigns a “control status” indicator to the record to control modifications made to the record transaction.
- “Control status” types and trade action conditions include:
 - **Trade** - The entry summary has been accepted in ACE and has not generated on a statement
 - **CBP** - The entry summary has been accepted in ACE and has generated on a statement
 - **Inactive** - The entry summary has been inactivated in ACE and may be filed in ACS

ES Trade Action Type and Control Status	Trade	CBP	Inactive
Add	Yes	No	No
Replace	Yes	No	No
Delete	Yes	No	No

- While an entry summary is under “Trade” control status, a filer may delete the entry summary record via the Automated Broker Interface (ABI), remove the entry summary from a daily statement or reschedule the entry summary on to a future daily statement.
- After the entry summary changes to “CBP” control status, a filer may not delete the entry summary record electronically, but may ask CBP to cancel the entry summary transaction. CBP requires supporting documentation for cancellation requests. The entry summary may be removed from a daily statement but may not be rescheduled on to a future daily statement. Non-EIP/RLF entries may be processed as single pay.



ACE Entry Summary Version Tracking

- Immediately after the entry summary “control status” changes from “Trade to “CBP,” ACE adds a version number to the transaction to identify the initial data submission and all subsequent modifications made to the record by the trade community and CBP.
- The following rules apply when a version number is assigned to an ACE entry summary:
 - Changes made to the ACE Entry Summary by the trade community are reflected in the number to the left of the decimal point (e.g., v. 1.00, 2.00, 3.00) in the record
 - Changes made to the ACE Entry Summary by CBP are reflected in the number to the right of the decimal point (e.g., v. 1.01, 1.02, 1.03) in the record
- To verify the latest version number on file with CBP, the trade may:
 - Submit an ABI ACE Entry Summary Query using the JD record application identifier
 - Modify and include the version number data object to the ACE ESM – 7008 Entry Summary Line Detail or the ESM-7068 Entry Summary Report Entry Summary reports

ACE Business Rules and Process Document Section 2.0, Page 4



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ACE and ACS System Synchronization

- Once the entry summary is in CBP control and a version number is attached, ACE begins interfacing and sharing data with the Automated Commercial System (ACS) for certification and collection processes.
 - Synchronization of data with ACS will occur continually throughout the ACE Entry Summary processing.
 - Filers can request cargo release certification through the ACE Entry Summary transaction.
 - The ACE Cargo Release Pilot (formerly known as Simplified Entry) is available to test participants for shipments arriving via the air mode of transportation (ocean and rail are currently testing in certain ports).
 - ACE Electronic Invoice Processing (EIP) / Remote Location Filing (RLF) entry summaries may be “certified” for ACS cargo release.
 - CBP collection processing also occurs in ACS and status updates are reflected in ACE.



ACE Entry Summary Status, Rejection and Cancellation Notifications

- An Entry Summary Status Notification message is generated from either an automated ACE entry summary process or from a CBP user request for a manual review of the entry summary package and related documents, or from an action taken by CBP with agreement or request from the ABI filer.
- Filers may receive the following status notification messages during entry summary processing:
 - **UC1** - Request for electronic invoice data only (“invoice required” for EIP/RLF)
 - **UC2** - Request for the entry summary package (“documents required”)
 - **UC3** - Request for specific documents (indicated in “remarks” field)
 - **UC4** - Entry summary rejected
 - **UC5** - Entry summary inactivated
 - **UC6** - Entry summary cancelled
 - **UC7** - Document receipt acknowledgment CBP updates to documents received messages
 - **UC8** - A Post Summary Correction (PSC) has been presented by another filer
 - **UC9** - The liquidation date has changed
- Filers who request ACS cargo release certification via an ACE entry summary transaction may receive the following message:
 - **RR** - Request for documents at time of release



ACE Entry Summary Status, Rejection & Cancellation Notifications (Cont.)

ABI Message	ACE Initiated	CBP Initiated	Trade Initiated	ACE Action That Generates The ABI Message	Next Step To Follow
UC1	✓	✓		Filer flags ACE entry summary with Invoice by Request or CBP initiates a team review after entry summary is filed and within 30 days.	Transmit electronic invoice using the Automated Invoice Interface (All) within two business days. A "Z" appears in paperless column of the daily statement.
UC2	✓	✓		Filer transmits a new ACE entry summary or a Post Summary Correction via ABI within 30 days.	Submit entry summary package via the ACE Portal using an action number or via paper form to the port of entry within two business days from the request date.
UC3		✓		CBP requests specific documents, indicated in the "remarks" field.	Filer must submit the requested document via ACE Portal or paper form to the port of entry within two business days
UC4		✓		CBP rejects an ACE entry summary or PSC. The "comment" field of the message indicates reason for reject.	Filer must respond to the issue within two business days.
UC5			✓	Filer requests CBP to inactivate ACE entry summary to change entry type or PGA data and refiles entry in ACS.	Filer may now refile the entry summary transaction in ACS using the same entry number.
UC6			✓	Filer requests the cancellation of an ACE entry summary by CBP. Control status is CBP.	Entry summary is no longer active in ACE. The entry number may no longer be re-used by the filer.
UC7		✓		CBP received the required documents from the trade.	No further action is required by the trade.
UC8		✓		A Post Summary Correction (PSC) has been presented by another filer	No further action is required by the trade.
UC9		✓		The liquidation date on ACE entry summary date has changed.	No further action is required by the trade.
RR	✓			Filer requests certification for cargo release via ACE entry summary.	Submit entry package to CBP as part of ACS cargo selectivity processing.



ACE Entry Summary Census Warning Overrides

- CBP developed a new process by which ACE Entry Summary filers can electronically resolve Census warnings with the use of override codes.
- Census warning overrides provide the trade community with the following benefits:
 - Elimination of a manual and paper-based process for resolving Census warnings
 - Streamlines the data input process of Census message verifications from the trade
 - Provides the Census Bureau faster and more accurate information
- The trade may include a preemptive Census Warning Override code to an ACE Entry Summary transaction prior to or after a Census warning message is received through ABI.
- ACE Entry Summaries filed via Electronic Invoice Processing (EIP) / Remote Location Filing that receive a Census warning do not require the filer to transmit the electronic invoice unless it's requested by CBP.
- For information on filing Census Warning Overrides with an ACE Entry Summary transaction and the complete list of Census override codes, please see *ACE ABI CATAIR* chapters titled “*Entry Summary Create/Update*” and “*Census Warning Override,*” plus *ACE ABI CATAIR Appendix H*.



ACE Entry Summary Post Statement Requests for Documents and CBP Forms 28, 29, 4647

- Requests or actions made 30 days or more after original entry summary filing will be made via a CBP Form 28, 29 and 4647 and issued to an importer using the following delivery methods:
 - U.S. Postal Service Mail
 - ACE Secure Data Portal Posting (importer must select “portal” as method of communication)
 - Courtesy paper copy provided to the entry summary or Post Summary Correction (PSC) filer
- Importers may respond to CBP by using the following capabilities found in the ACE Secure Data Portal:
 - Provide comments and include attachments directly to the electronic CBP form received
 - Use the “Upload documents” feature and provide the action number generated by ACE as the unique identifier
- Trade participants must ensure to respond to CBP form requests within the following timeframes:
 - CBP Form 28 - 30 calendar days from the date of the form
 - CBP Form 29 - 20 calendar days from the date of the form
 - CBP Form 4647 - 30 calendar days from the date of the form
- For electronic invoice data requests, the filer will need to transmit the commercial invoice data to CBP using the Automated Invoice Interface (All).

ACE Business Rules and Process Document - Section 7 Page 11 and Section 10 Pages 14 - 16



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ACE Secure Data Portal Blanket Statement Declarations

- Declarations are statements made by the importer or his/her agent that support a claim made with regard to importer merchandise and are included in the entry summary package.
- The following blanket declarations are supported in the ACE Secure Data Portal and provide nationwide visibility to CBP at any port:
 - Affidavit of Manufacturer (AM)
 - Importer Certifying Statement (ICS)
 - Non-Reimbursement Blanket Statement for Antidumping/Countervailing Duty (NRBS)
 - North America Free Trade Agreement (NAFTA) Certificate of Origin (NAFTA_CO)
- Blanket Declarations must be created in the importer's ACE Secure Data Portal account or a broker may create a declaration on behalf of the importer who does not have an ACE Portal account by using the non-portal option found in the importer view.
- ICS and NRBS Blanket Declarations are valid for one year.
- Once the declaration is submitted to CBP, it cannot be deleted, but it may be cancelled.

ACE Business Rules and Process Document - Section 13 Pages 18 - 37



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ACE Entry Summary Post Summary Corrections, Rejections and Lifecycle

- Post Summary Correction (PSC) is a means for the importer or his/her agent to make electronic corrections via ABI on ACE entry summary data presented to CBP. PSCs are considered to be:
 - The electronic replacement of the paper-based, single and quarterly Post-Entry Amendments (PEAs)
 - A full replacement of the entry summary data transaction
 - An importer's "assertion" that the most recent entry summary data is correct

- Basic rules for PSC include:
 - A PSC filer does not have to be the original entry summary filer (CBP Form 4811 does not change)
 - For Consumption and Antidumping/Countervailing Duty (AD/CVD) entries (types 01 and 03) only
 - PSC transactions must be filed within 270 days from entry date and prior to 20 days of scheduled liquidation date and may be filed unlimited times.
 - Provide one or more reason code (s) at header or line item level and a description of change

- ACE will reject a PSC transaction for any of the following conditions:
 - Entry summary is scheduled on a Periodic Monthly Statement (PMS), but duties have not been paid
 - The entry summary record is under CBP review
 - Filing is outside of the specified timeframes
 - AD/CVD entry summary (type 03) changed to a consumption entry summary (type 01)
 - Underlying entry summary is part of a reconciliation entry (type 09)
 - Changes to reconciliation flags



Mandatory Dates for Transition to ACE

 <p>MAY 1 2015</p>	<p>Mandatory use of ACE for all electronic manifest filing</p> <p>10 months to go! <i>(As of July 2014)</i></p>
 <p>NOV 1 2015</p>	<p>Mandatory use of ACE for all electronic cargo release and related entry summary filings</p> <p>16 months to go! <i>(As of July 2014)</i></p>
 <p>OCT 1 2016</p>	<p>Mandatory use of ACE for all remaining electronic portions of the CBP cargo process</p> <p>27 months to go! <i>(As of July 2014)</i></p>



Questions?

Contact your assigned CBP Client Representative

<http://cbp.gov/ace>
askACE@cbp.dhs.gov



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Portal Applications



The application to request your free ACE Portal account as well as instructions and tutorials can be found on CBP.gov

http://www.cbp.gov/sites/default/files/documents/ace_portal_app_3.pdf

Web Based Training for each release



http://nemo.cbp.gov/ace_online

Cargo Systems Messaging Service

A subscription based, broadcast message system for users of CBP automated commercial trade system <http://apps.cbp.gov/csms/>



www.CBP.gov/trade/automated

- Getting Started with ACE
- Training and Reference Guides
- Federal Register Notices
- Technical Documentation



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