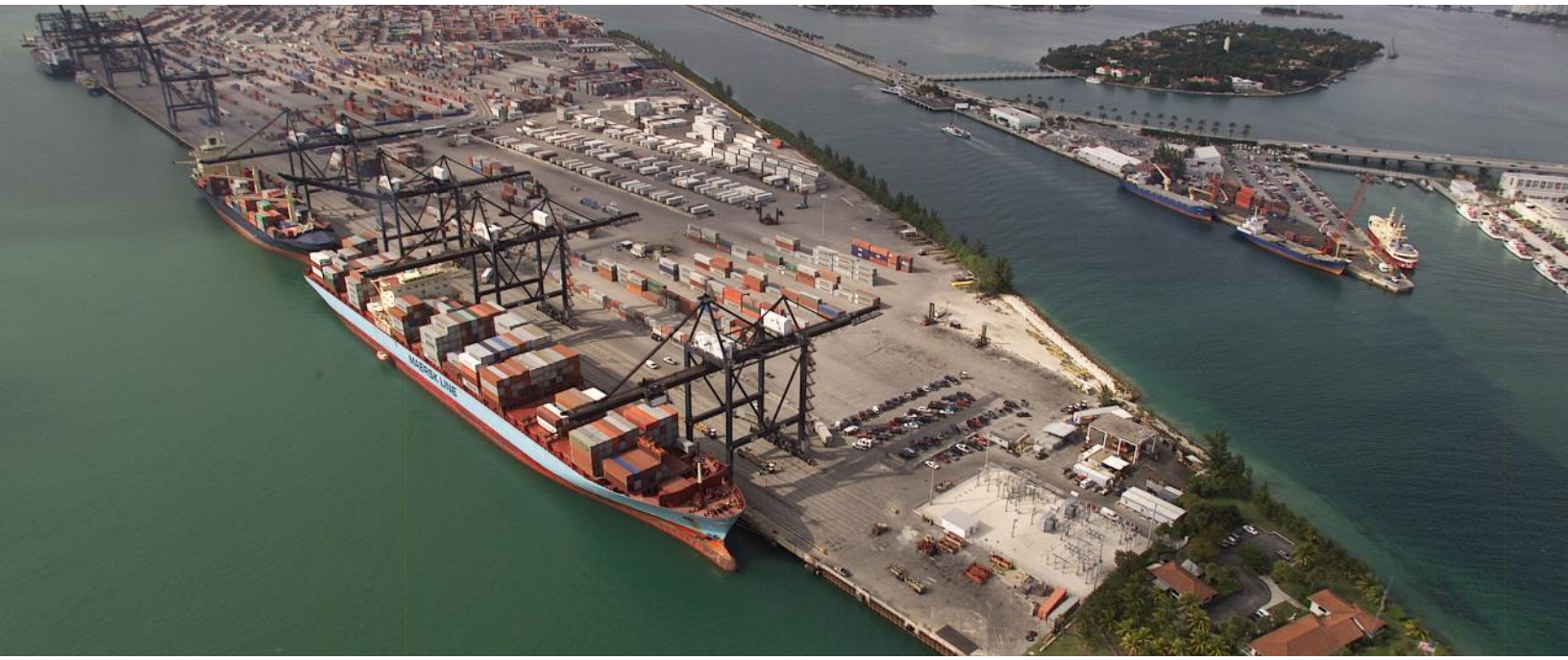
automated commercial environment

OCTOBER 2015



ACEopedia

ACE IS THE TRADE PROCESSING SYSTEM THROUGH WHICH CBP AND ITS PARTNER GOVERNMENT AGENCIES ARE IMPLEMENTING THE SINGLE WINDOW FOR PROCESSING IMPORTS AND EXPORTS.

The Automated Commercial Environment (ACE) is the backbone of U.S. Customs and Border Protection's (CBP) trade processing and risk management activities and the key to implementing many of the agency's trade transformation initiatives. The ACEopedia is designed as a centralized resource for information on ACE. What follows on the subsequent pages is a series of fact sheets that can stand on their own or be integrated into a single document providing an overview of ACE capabilities.

U.S. Customs and Border Protection

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"CBP remains focused and committed to achieving the milestones established for Single Window Implementation, per the President's executive order. As we pass these important milestones on the road to ACE, we appreciate the tremendous support from all members of our stakeholder community who are committed to making ACE good for business and good for America's prosperity. "

DEBORAH AUGUSTIN, ACTING EXECUTIVE DIRECTOR

ACE BUSINESS OFFICE

U.S. CUSTOMS AND BORDER PROTECTION

ACE | An Engine for Change

RETIRING THE MAINFRAME

DEVELOPING TRANSFORMATIONAL SOFTWARE

WORKING SMARTER

U.S. Customs and Border Protection

ACE Overview

In support of the Customs Modernization Act of 1993, U.S. Customs and Border Protection (CBP) has been modernizing the business processes essential to securing U.S. borders, speeding the flow of legitimate shipments and targeting illicit goods that require scrutiny. The key technology driver of these initiatives is the Automated Commercial Environment (ACE). ACE is the backbone of CBP trade processing and risk management activities and provides a single, centralized access point to connect CBP, Partner Government Agencies (PGA), and the trade community.

On February 19, 2014, the President signed the executive order on *Streamlining the Export/Import Process for America's Businesses.* ACE is the system through which the Single Window will be realized. CBP will complete the development of core trade processing capabilities in ACE and decommission corresponding capabilities in legacy systems by the end of 2016. At that time, ACE will become the Single Window for trade processing, the primary system through which the international trade community will submit import/export data and the government will determine admissibility. Thereafter, CBP will continue to develop capabilities needed to streamline trade processes and further enhance the Single Window. Because trade requirements will continue to evolve, CBP anticipates needing further development to ensure our trade automation capabilities in ACE adapt to meet changing needs with state-of-the-art automation that speeds legitimate trade and continually improves our ability to assess risk and identify unsafe shipments.

For more details on ACE please visit **www.cbp.gov/ace**. For details on the mandatory dates please visit **www.cbp.gov/acemandatorydates**.

Key Transition Dates

May 1, 2015

Mandatory use of ACE for all electronic import and export manifest filings for all modes of transportation.

Nov. 1, 2015

Transition period begins: ACE filing of electronic entry and associated entry summary types 01, 11, 03, 51, 52 with or without PGA data is encouraged.

February 28, 2015

- ACE must be used and ACS will no longer be available for filing of all electronic entries and associated entry summaries. In addition, electronic FDA, NHTSA, APHIS (Lacey) data must be filed in ACE and ACS will no longer be available.

July 2016

- Upon publication of the Final Rule, filers will only be permitted to use ACE to file data for the following agencies: AMS, APHIS Core, ATF, CDC, DCMA, DDTC, DEA, E&C, EPA, FSIS, FWS, NFMS, and TTB data.
- Hybrid submissions will no longer be permitted.

Oct. 1,

Mandatory use of ACE for all remaining electronic portions of the CBP cargo process.

U.S. Customs and Border Protection

Implementing the Single Window

CBP and 47 agencies are involved in the trade process and among these agencies, nearly 200 forms are required for imports and exports. The current processes are largely paper-based and require information to be keyed into multiple electronic systems. As a result, importers and exporters are often required to submit the same data to multiple agencies at multiple times. The Single Window initiative, originally established under the International Trade Data System (ITDS), is the effort to create a single system, so that multiple paper processes can be eliminated and importers and exporters will only have to file information once, to one system.

Executive Order 13659, *Streamlining the Export/Import Process for America's Businesses*, signed on February 19, 2014, directs the U.S. Federal agencies with a role in trade to utilize ITDS by December 2016. ACE is the system through which the Single Window will be realized.

Through ACE as the Single Window, manual processes will be streamlined and automated, paper will be largely eliminated, and the international trade community will be able to more easily and efficiently comply with U.S. laws and regulations.

Benefits of the Single Window

- Quicker data availability for government – better identification of dangerous or prohibited shipments
- Automated agency interactions
- Reduced paper
- Near real-time decision making for government
- Easier for industry to comply with regulations
- Reduced costs

Technical Capabilities that Enable Single Window Processing in ACE

Interoperability Web Service	The pipeline through which data is transmitted between CBP and PGAs. This capability enables improved information sharing and faster decision making by the government.
PGA Message Set	The consolidated set of data to be collected electronically from trade partners by CBP on behalf of government agencies. Data submitted in this manner will replace the myriad paper forms required by multiple agencies.
Document Image System	Allows trade partners to supply supporting documentation electronically as image files to CBP and PGAs. DIS integrates with the ACE Secure Data Portal, allowing authorized personnel access to images to perform coordinated reviews.

U.S. Customs and Border Protection

Partner Government Agencies

CBP and 47 federal agencies are working together to implement the Single Window via ACE.

DEPARTMENT OF AGRICULTURE

AMS | Agricultural Marketing Service
APHIS | Animal and Plant Health Inspection Service
FAS | Foreign Agricultural Service
FSIS | Food Safety and Inspection Service
GIPSA | Grain Inspection, Packers & Stockyards Administration

DEPARTMENT OF COMMERCE

BIS | Bureau of Industry and Security
U.S. Census Bureau
FTZB | Foreign Trade Zones Board
E&C | Enforcement and Compliance
OTEXA | Office of Textiles and Apparel
NMFS | National Marine Fisheries Service

DEPARTMENT OF DEFENSE

USACE | Army Corps of Engineers
DCMA | Defense Contracts Management Agency

DEPARTMENT OF ENERGY

OFE | Office of Fossil Energy
EIA | Energy Information Administration
OGC | Office of General Counsel

DEPARTMENT OF HEALTH AND HUMAN SERVICES

CDC | Centers for Disease Control and Prevention
FDA | Food and Drug Administration

DEPARTMENT OF HOMELAND SECURITY

USCG | United States Coast Guard
CBP | Customs and Border Protection
TSA | Transportation Security Administration

DEPARTMENT OF THE INTERIOR

FWS | Fish and Wildlife Service

DEPARTMENT OF JUSTICE

ATF | Bureau of Alcohol, Tobacco, Firearms and Explosives
DEA | Drug Enforcement Administration

DEPARTMENT OF LABOR

BLS | Bureau of Labor Statistics

DEPARTMENT OF STATE

A/LM | Bureau of Administration, Office of Logistics Management
DDTC | Directorate of Defense Trade Controls
OES| Bureau of Ocean and International Scientific Affairs
OFM | Office of Foreign Missions

DEPARTMENT OF TRANSPORTATION

BTS | Bureau of Transportation Statistics
FAA | Federal Aviation Administration
FHA | Federal Highway Administration
FMCSA | Federal Motor Carrier Safety Administration
MARAD | Maritime Administration
NHTSA | National Highway Traffic Safety Administration
PHMSA | Pipeline Hazardous Materials Safety Administration

DEPARTMENT OF TREASURY

IRS | Internal Revenue Service
OFAC | Office of Foreign Assets Control
TTB | Alcohol and Tobacco Tax and Trade Bureau
FinCEN | Financial Crimes Enforcement Network

INDEPENDENT AGENCIES

CPSC | Consumer Product Safety Commission
EPA | Environmental Protection Agency
FCC | Federal Communications Commission
FMC | Federal Maritime Commission
ITC | International Trade Commission
NRC | Nuclear Regulatory Commission
USAID | U.S. Agency for International Development
USTR | Office of the United States Trade Representative

For a full list of agencies with entry or entry summary requirements and their associated forms, please reference the ***ACE PGA Forms List*** on www.cbp.gov/ace. The document outlines what modes of electronic communication, Document Image System (DIS) or Partner Government Agency Message Set (PGA MS), will be required to support submission of PGA forms or data.

U.S. Customs and Border Protection

Manifest

Manifests for all modes of transportation—truck, ocean, rail and air—must now be filed in ACE. ACE import manifest capabilities are dramatically enhancing CBP's ability to protect the nation's borders while facilitating the flow of legitimate trade. CBP has developed ACE to accept manifest data digitally, saving importers, carriers and brokers significant time. Truck carriers are able to file manifests via electronic data interchange (EDI) and the ACE Secure Data Portal, while ocean, rail and air manifest data is transmitted solely by EDI. ACE manifest functionality also allows for enhanced capabilities such as delegation of custodial bonds for authorized users.

Current Capabilities

Truck

- ✓ File directly in ACE through Portal or EDI
- ✓ Submit electronic manifests to CBP prior to a truck's arrival at the border
- ✓ Record and track account details related to drivers, trucks (conveyances), equipment, shippers and consignees

Air, Ocean & Rail

- ✓ File through EDI
- ✓ View consolidated manifest and entry data at the bill of lading or container level through ACE Portal
- ✓ Filers create and maintain rail line release Entry Banks

Benefits

- Designate a list of authorized partners who can use carrier custodial bonds (i.e. In-Bond Authorization)
- Receive enhanced visibility of cargo status through new status messages
- Fewer resources required to file, compared to paper forms
- Reduce wait time for processing at Ports of Entry
- Status message replies sent via electronic data interchange (EDI)

U.S. Customs and Border Protection

Cargo Release

One of the goals of the International Trade Data System (ITDS) initiative is to streamline the import and export process. To that end, CBP has undertaken steps to simplify the entry process. Working with representatives of trade associations, CBP compared the data elements necessary for releasing cargo with the data that the trade had available in the pre-departure environment. The result of this work is a new reduced data set consisting of fewer required data elements.

Benefits

- Streamlined submission of data elements
- No longer file paper CBP **Form 3461**
- Ability for CBP and PGA personnel to provide enhanced security, safety and compliance through faster processing

Planned Capabilities

The following additional capabilities are planned:

- Remote Location Filing
- Remaining Entry Types
- FTZ Admissions
- Expedited Release
- Diversions

Current Capabilities

Truck, Air, Ocean, & Rail

- ✓ File through EDI
- ✓ Conduct Corrections & Cancellations
- ✓ Submit Partial Quantities
- ✓ File In-Bonds
- ✓ Transmit Split Shipments
- ✓ Query Entries via ABI
- ✓ Certify Entry from Summary Submissions
- ✓ Receive CBP-initiated Corrections
- ✓ View and Submit Quota Validations
- ✓ Expand single filing to include Importer Security Filing (ISF) data (Ocean)
- ✓ Remote Location Filing

U.S. Customs and Border Protection

ace

Entry Summary

By using ACE, filers are currently able to submit the most frequent types of entry summaries: Consumption (entry type 01), Informal (entry type 11), Antidumping/Countervailing Duty (AD/CVD) (entry type 03). ACE also allows for the filing of post summary corrections, and Defense Contract Administration Service Region (DCASR) (entry type 51) and Government-Dutiable (entry type 52) entry summaries. CBP has also launched the ability for ACE to process critical system "edits" or checks, which validates the accuracy of the data being submitted to CBP and alerts users of errors in data.

Benefits

- Reduce invoice transmissions through Census Overrides
- Replace paper processes with electronic post summary corrections
- Decrease courier and administrative costs

Current Capabilities

Entry Summaries

ACE currently supports the following entry summary capabilities:

- ✓ File type 01, 03 and 11 entries through EDI
- ✓ File post summary corrections
- ✓ Create blanket declaration records

Enhanced Validations

ACE currently provides automated validation calculations for:

- ✓ Harbor Maintenance Fee
- ✓ Classification
- ✓ Simple and Complex Duty Calculations
- ✓ Merchandise Processing Fee
- ✓ Informal Entry Restrictions
- ✓ Charges Restrictions
- ✓ Taxes and Other Fees

E-Bonds*

ACE currently provides e-bond processing for:

- ✓ Single Transaction Bonds
- ✓ Continuous Bonds

Planned Capabilities

The following entry summary capabilities are planned:

- Reconciliation
- Drawback
- Protest
- Liquidation
- Remaining Entry Summary Types

**Please note, any transactions still involving Automated Commercial System (ACS) do not support electronic Single Transaction Bond processing.*

U.S. Customs and Border Protection

Exports

Export capabilities in ACE will incorporate those of the legacy Automated Export System (AES), while establishing a single automated processing platform for all export commodity, manifest, and licensing data (not to overlap with USXPORTS functionality*). Export functionality in ACE will enable CBP and Partner Government Agency (PGA) processing needs to be met for all modes of transportation (air, rail, sea and truck), and support the President's National Export Initiative and Export Control Reform (ECR) Initiative. By working with partner software vendors, exporters will be able to interface with ACE to file all necessary export data and supplementary information.

Benefits

- Migration of commodity filing system, AES, to new ACE platform moves closer toward a Single Window filing system for import and export data
- Incorporates Bureau of Industry and Security (BIS) license control updates to include State Department licenses now under the authority of BIS
- Incorporates Census regulatory changes, for which enforced compliance went into effect on October 3, 2014

Current Capabilities

All Modes

✓ Ability to accept and process commodity data

Air, Rail & Ocean

✓ Manifest processing**

Planned Capabilities

The following capabilities are planned:

- Transition of AES*Direct* into ACE

** USXPORTS is an interagency program established by Department of Defense to address export license processing.*
*** Trade members interested in participating in the export manifest pilots should reference the Federal Register Notices (FRNs). FRNs have been published for the initiation of ocean and air export manifest pilots. The FRN for the rail export manifest pilot is currently pending.*

U.S. Customs and Border Protection

Getting Started with ACE

ACE modernizes and enhances trade processing with features that consolidate and automate border processing and provide a single, centralized way to connect CBP, PGAs and the trade community. ACE allows CBP representatives to receive and process data more quickly, while allowing PGAs to receive and respond to data that falls within their jurisdictions. With the ACE Secure Data Portal, the trade community also has online access to its CBP transactional data. Consistent with the February 2014 White House Executive Order, *Streamlining the Export/Import Process for America's Businesses*, ACE is on schedule to support all core trade processing by the established December 31, 2016 deadline.

There are two primary methods of interacting with ACE:

1. **Filing transactions via Electronic Data Interchange (EDI) Interfaces:**
   With the exception of filing an electronic truck manifest and Importer Security Filing for low volume filers, EDI is the only mechanism through which transactions (entries, entry summaries, and ocean and rail manifests) can be filed in ACE.

2. **Using the ACE Secure Data Portal:**
   The ACE portal is an online tool that allows users to file electronic truck manifests, access financial data and run reports. ACE reports can be used to monitor compliance and daily operations.

"I want to..."	ACE via EDI Interfaces	ACE Portal
Send Importer Security Filing Data *Only low volume through Portal (less than 12 per year)	✓	✓
File an Import Manifest	✓	
File an Import Truck Manifest	✓	✓
File an Electronic Inbond	✓	✓ Via Truck Manifest
File an Entry	✓	
File an Entry Summary	✓	
File Export Commodity Data *Can also be filed using AESDirect	✓	
Run Reports		✓
Respond to CBP Forms 28, 29, 4647		✓
Create Blanket Declarations		✓
Submit Supporting Documentation	✓ DIS	✓ Upload Forms
Manage Account and Periodic Monthly Statement Information		✓
Make Post Summary Corrections	✓	
File Export Air Manifest	*Coming Soon!*	

Filing in ACE

Brokers, Self-Filers & Carriers:

- Contact your software provider and inquire about their ability to file cargo release, entry summary and manifest transactions to ACE.
- Contact your CBP Client Representative and express interest in filing using ACE. (If you don't have a client representative, please call **1-571-468-5500.**)

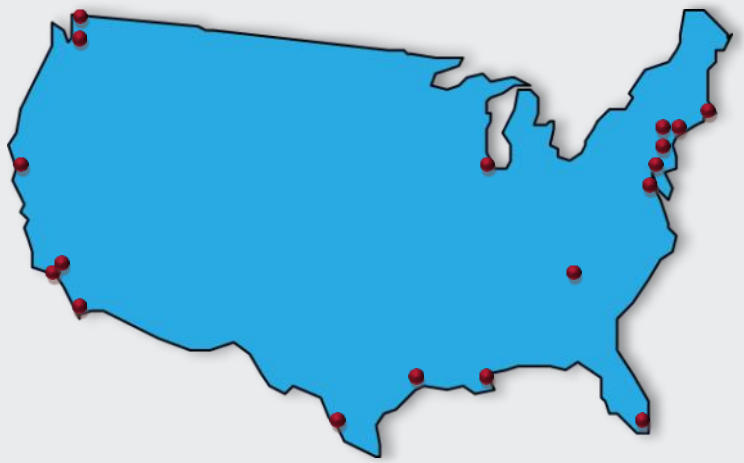
Importers using a Broker or Carriers using a Service Center:

- Inquire about Broker or Service Center ability to file using ACE.

U.S. Customs and Border Protection

ACE Client Representatives

Client Representatives are the primary point of contact for importers, exporters, transportation providers, and brokers interested in learning how to automate any of their customs processes. Client Representatives started out as an Automated Broker Interface (ABI) technical support group 20 years ago, but have greatly expanded their responsibility as CBP's automated systems have become more extensive under the ACE system. Through their participation in program design, marketing, facilitating and training of trade groups, Client Representatives have been instrumental in the success of CBP's automation. Client Representatives are a key supporter of CBP operations in the field and their deep knowledge of the nuances of the automated system has positively impacted many stakeholders.



53 Representatives across 21 National Locations

Alexandria	Cleveland	Miami
Baltimore	Detroit	Newark
Blaine	Houston	New Orleans
Boston	JFK	Philadelphia
Buffalo	Laredo	San Diego
Charlotte	Long Beach	San Francisco
Chicago	Los Angeles	Seattle

Support

Client Representatives assist the Trade community with a wide range of ACE-related functions and serve as the primary point of contact for system-related problems and questions. Client Representatives also facilitate the trade's operational and technical participation with the CBP automated systems. Contact your assigned client representative directly with questions or for more information on how to get started with ACE. If you don't have an assigned client representative, please call **571-468-5500.**

Write a Letter of Intent.

Request automated system access.

Apply for VPN Connectivity.

Required to communicate with CBP automated systems.

Sign a CBP Interconnection Security Agreement.

Required for all CBP automated systems participants.

U.S. Customs and Border Protection

ACE Portal

The Secure Data Portal is a web-based entry point for ACE. It provides a centralized online access point to connect CBP, trade representatives and government agencies involved in importing goods into the United States. The portal provides account holders the ability to identify and evaluate compliance issues, monitor daily operations, set up payment options, review and respond to filings, access a reports tool, compile data, and perform national trend analysis.

Receive Near Real-Time Access to Data

- Account Revenue data updated hourly
- Multi-Modal Manifest data updated every two hours
- Compliance data updated monthly
- All other report data updated nightly

Reports

Improve compliance with trade laws by running targeted reports to conduct in-house audits, identify systemic errors and provide insight into entries under review by CBP.

- Identify unauthorized filers
- Monitor carrier activity by driver, conveyance or equipment
- Monitor rail and sea in-bond movements, bills of lading, manifest and equipment data

REPORT TYPES

General	✓ Filer or Importer Quick Views ✓ Entry Summary Aggregate and Details
Financial	✓ Periodic Statement Quick View – Broker ✓ Periodic Statement Quick View – Importer
Exports	✓ Export Data ✓ Export Commodity Data
Manifest	✓ BOL Status ✓ In-Bond Details
Reference	✓ In-Bond Details ✓ Public FIRMS Codes ✓ UN Location Codes

Accounts

- Access transaction and financial data
- Download large sums of account data and import into a local reporting system
- Enroll in Periodic Monthly Statements and customize payment schedules
- Respond to CBP and PGA queries for additional information electronically (Forms: 28, 29, and 4647)

Access the ACE Portal

Take advantage of these features today! Log in to the ACE Portal https://ace.cbp.dhs.gov/

No account? Fill out an application through CBP.gov/ace

To check on the status of an application already submitted, please contact Technology Support at **(866) 530-4172.**

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Periodic Monthly Statement

With Periodic Monthly Statement, trade users can streamline accounting and payment of duties and fees. By signing up, users can adopt a periodic payment schedule on an interest-free monthly basis. Filers may mark entry summaries they wish to be paid on the statement and then submit payments through Automated Clearing House (ACH) processing. ACE account holders have the ability to pay for shipments entered or released during the previous calendar month by the 15th business day of the following month.

Want to apply?

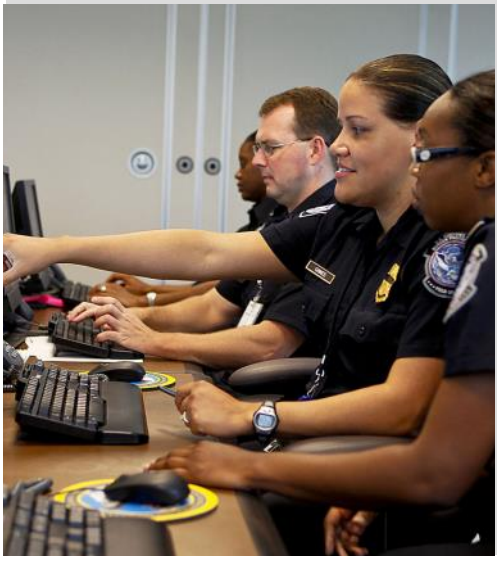
Importers and Brokers can send an activation email request to: periodicstatement@dhs.gov

The email message must include:

- "Activation Request " in the subject line. CBP recommends including a carbon copy to the importer CBP account manager, if one is assigned
- Importer of Record number(s) or the Filer code for PMS activation
- The Top Account ACE ID of the Portal account, if one has been established by the requester
- Scanned image of CBP Form 5106, titled "PMS Activation" across the top of the form for non-portal importers

How to get started

Importers and Brokers with ACE Portal accounts can edit the Periodic Monthly Statement Calendar. For more information on PMS, please download a copy of the *Periodic Monthly Statement User Guide* posted on www.CBP.gov/ace.



PMS Benefits

- Pay duties and fees
- Pay duties for released goods during a given month as late as the 15th working day of the following month
- Pay designated entry summaries for a given month on one statement
- Select either a national or a port statement
- Brokers may pay on behalf of importers
- Track activity with customized account views through ACE Secure Data Portal

PMS Exclusions

Entry summaries not eligible for inclusion on a Periodic Monthly Statement include:

- NAFTA Duty Deferral; Entry Type 08
- Reconciliation; Entry Type 09
- Entry summaries with IRS tax class codes

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