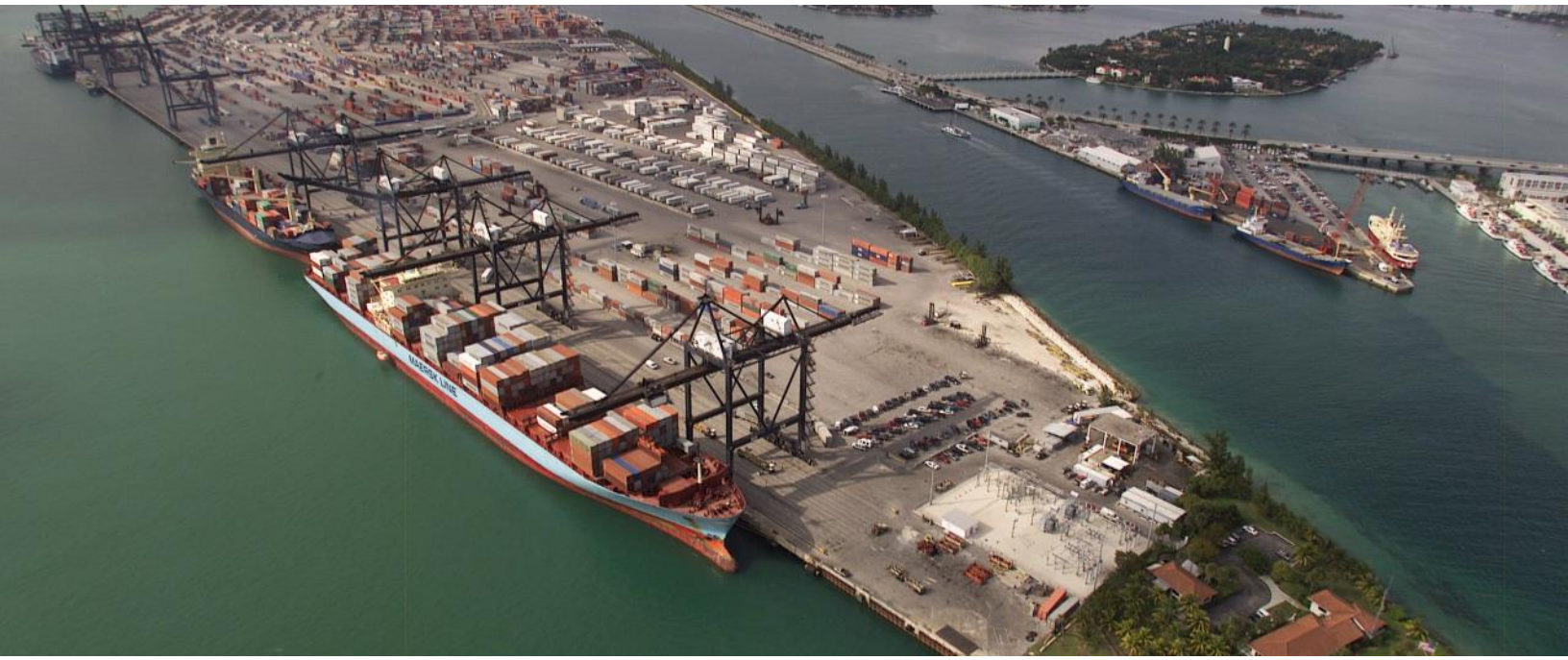
automated commercial environment

OCTOBER 2014



# 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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"ACE allows faster, more efficient facilitation of imports and exports and will become the Single Window, the primary system used by all U.S. Government agencies to process cargo. In November 2015, the mandatory use of ACE for electronic cargo release and entry summary processing goes into effect. It is imperative that all our partners are ready, and we encourage everyone to begin transitioning to ACE now."

**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**

# 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.

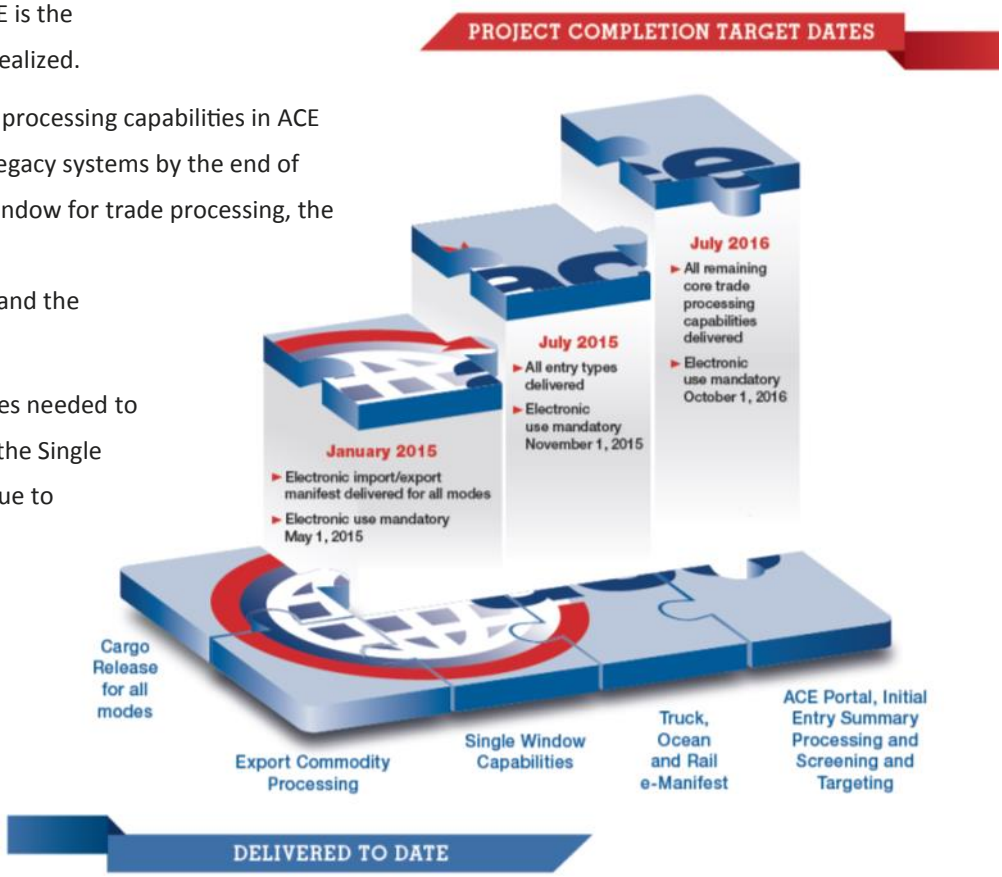
On February 19, 2014, the President signed the Executive Order on *Streamlining the Export/Import Process for America's Businesses*, which mandates implementation of a Single Window for trade. ACE is the system through which the single window will be realized.

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 further development will be needed to ensure our trade automation capabilities in ACE also adapt to meet changing needs using state of the art automation that speeds legitimate trade and continually improves our ability to assess risk and identify unsafe shipments.

## Key Transition Dates

| MAY 1, 2015 |
| --- |
| Mandatory use of ACE for all electronic import and export manifest filings for all modes. |
| **NOVEMBER 1, 2015** |
| Mandatory use of ACE for all electronic cargo release and related entry summary filings. |
| **OCTOBER 1, 2016** |
| Mandatory use of ACE for all remaining electronic portions of the CBP cargo process. |



# Implementing the Single Window

Forty-seven agencies are involved in the trade process and among these agencies, nearly 200 forms are required for imports and exports. Current processes are largely paper-based and are executed via multiple entry 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.

The Executive Order on *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 complete development of an electronic Single Window by December 2016. ACE is the system through which the Single Window will be realized. ITDS is the process by which Partner Government Agency (PGA) requirements are incorporated into ACE development.

Through ACE as the Single Window, manual processes will be streamlined and automated, paper will be 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

| | |
|---|---|
| **PGA Interoperability** | 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 of 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. |

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# 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 JUSTICE

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

## DEPARTMENT OF LABOR

BLS | Bureau of Labor Statistics

## 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 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 HEALTH AND HUMAN SERVICES

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

## DEPARTMENT OF STATE

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

## 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

# ACE Technical

ACE modernizes and enhances trade processing with features that consolidate and automate border processing and provide a single, centralized way to connect CBP, PGA 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 their 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 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<br>*Only low volume through Portal (less than 12 per year) | ✓ | ✓ |
| File an Import Ocean or Rail Manifest | ✓ | |
| File an Import Truck Manifest | ✓ | ✓ |
| File an Electronic Inbond | ✓ | ✓<br>Via Truck Manifest |
| File an Entry | ✓ | |
| File an Entry Summary | ✓ | |
| File Export Commodity Data<br>*Can also be filed using AESDirect | ✓ | |
| Run Reports | | ✓ |
| Respond to CBP Forms 28, 29, 4647 | | ✓ |
| Create Blanket Declarations | | ✓ |
| Submit Supporting Documentation | ✓<br>DIS | ✓<br>Upload Forms |
| Manage Account and Periodic Monthly Statement Information | | ✓ |
| File Export Air Manifest | *Coming in October 2014!* | |
| File Import Air Manifest | *Coming in January 2015!* | |

## How to Start Using 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 Client Representative and express interest in filing to 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 to ACE

# Manifest

ACE import manifest capabilities are dramatically enhancing CBP's ability to protect the nation's borders while facilitating the legitimate flow of 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.

## Benefits

- Designated 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)

## 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

### 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

## Planned Capabilities

As ACE nears completion, the following capabilities are planned:

**Air Manifest (January 2015)**

# 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.

## Current Capabilities

### Air, Ocean, & Rail

File:

- ✓ Corrections & Cancellations
- ✓ Partial Quantities
- ✓ In-Bonds
- ✓ Split Shipments
- ✓ Query entries via ABI

## 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

As ACE nears completion, the following additional capabilities are planned for release:

- Cargo Processing (Truck)
  - ◊ In-Bond Processing
  - ◊ Partial Quantities
- Certified from Summary
- Unified Cargo Release filing to include Importer Security Filing (ISF) data (ocean only)
- Remaining Entry Types
- FTZ Admissions

# Cargo Release Ports

## ABOUT THE PILOT:

The **ACE Cargo Release pilot** currently supports Cargo Release processing in the air, truck, ocean and rail modes as select ports. For details on eligibility requirements, please see the ACE Cargo Release/Simplified Entry Federal Register Notice (FRNs) at: http://www.cbp.gov/trade/ace/federal-register-notices.

## ACE CARGO RELEASE PILOT PORTS AS OF MAY 2014:

| AIRPORTS | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Anchorage International | 3126 | Dallas Fort Worth International | 5501 | Kansas City International | 4501 | New York Kennedy International | 4701 | Portland International | 2910 |
| Anchorage International - Express | 3195 | Denver International | 3307 | Lambert-St. Louis International | 4503 | Newark Liberty International | 4601 | Providence Green | 0502 |
| Atlanta International | 1704 | Detroit | 3801 | Los Angeles International | 2720 | Newark Liberty International - Express | 4671 | San Francisco International | 2801 |
| Baltimore Washington International | 1301 | Detroit Metropolitan | 3807 | Memphis International | 2006 | Oakland International - Express | 2895 | Seattle Tacoma International | 3029 |
| Boston Logan International | 0417 | Houston Intercontinental | 5309 | Memphis International - Express | 2095 | Orlando International | 1808 | Spirit of St. Louis | 4503 |
| Charlotte Douglas International | 1512 | Indianapolis International | 4110 | Miami International | 5206 | Philadelphia International | 1108 | Springfield | 4505 |
| Chicago O'Hare International | 3901 | Indianapolis International-Express | 4198 | Nashville International | 2007 | Phoenix Sky Harbor International | 2605 | Syracuse Hancock | 0906 |
| **RAIL PORTS** | | | | | | | | | |
| Blaine | 3004 | Buffalo | 0901 | Champlain | 0712 | Detroit | 3801 | El Paso | 2402 |
| Laredo | 2304 | Port Huron | 3802 | | | | | | |
| **OCEAN PORTS** | | | | | | | | | |
| Los Angeles/Long Beach | 2704 | Miami | 5201 | Newark / New York | 4601 | Norfolk / Newport News | 1401 | | |
| **TRUCK PORTS** | | | | | | | | | |
| Blaine | 3004 | Buffalo | 0901 | Champlain | 0712 | Detroit | 3801 | El Paso | 2402 |
| Laredo | 2304 | Port Huron | 3802 | | | | | | |

## FOR MORE INFORMATION:

Visit www.cbp.gov/ace

Contact your Client Representative or Software Provider



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# Entry Summary

By using ACE, filers are able to currently submit the most frequent types of entry summaries , Consumption (entry type 01), Informal (entry type 11), and Antidumping/Countervailing Duty (AD/CVD) (entry type 03), and file post summary corrections. CBP has also launched the ability for ACE to process critical system "edits" or checks which validate the accuracy of the data being submitted to CBP, and alert 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
- ✓ File post summary corrections
- ✓ Create blanket declaration records
- ✓ Respond to CBP and PGA queries for additional information electronically (Forms: 28, 29, and 4647)

### 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

## Planned Capabilities

As ACE nears completion, the following capabilities are planned:

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

# 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.

## Current Capabilities

**All Modes**

✓ Ability to accept and process commodity data

## 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 goes into effect October 3, 2014

## Planned Capabilities

As ACE nears completion, the following capabilities are planned:

- Ocean Manifest
- Rail Manifest
- Truck Manifest
- Air Manifest

* USXPORTS is an interagency program established by Department of Defense to address export license processing.

# ACE Portal

## Accounts

- Access transaction and financial data
- Download large sums of account data and import into a local reporting system
- Enroll in Periodic Monthly Statement and customize payment schedules

## 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<br>✓ Entry Summary Aggregate and Details |
| Financial | ✓ Periodic Statement Quick View – Broker<br>✓ Periodic Statement Quick View – Importer |
| Manifest | ✓ BOL Status<br>✓ In-Bond Details |
| Reference | ✓ In-Bond Details<br>✓ Public FIRMS Codes<br>✓ UN Location Codes |

The Secure Data Portal is a web-based entry point for ACE. It provides a centralized on-line 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, setup payment options, review and respond to filings, access a reports tool, compile data, and perform national trend analysis.

## 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 located at CBP.gov.

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 to 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 take advantage of PMS?

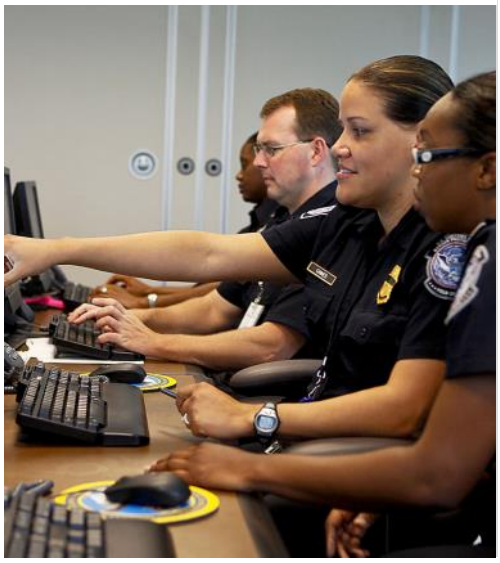
1. Establish an ACE Secure Data Portal Account
2. Once logged in, select the **Accounts** tab
3. Choose **Statements** from menu bar selections
4. Select appropriate area based on trade role
5. Access **calendar** options to make selection of payment dates

To apply to participate in periodic monthly statement, send an email to periodicstatement@dhs.gov

For more information visit www.cbp.gov/ace

## How to get started

Work through your broker who already has an established Portal account to setup and customize your payment schedule.



## PMS Benefits

- Pay duties and fees on a monthly basis
- 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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# DIS Eligible Forms

With DIS you can electronically submit documentation needed by the Government during the import and export process.

## General Forms

- Commercial Invoice
- Packing List
- Invoice Working Sheet
- Phytosanitary Certificates
- Ingredients List
- Pro-Forma Invoice
- Foreign Government Sanitary Certificate
- Proof of Origin

## Ocean Export Manifest Forms

- Export Manifest Form (130A) including RO/RO Export Manifests
- Bills of Lading
- Declaration of Empties
- Images, text files, spreadsheets, etc.

## Forms to Support Cargo Release

- Passport, Driver's License, or Gov't Issued ID
- CBP Form 3299 Declaration for Free Entry of Unaccompanied Articles
- CBP Form 4455 Certificate of Registration
- CBP Form 4457 Certificate of Registration for Personal Effects Taken Abroad
- CBP Form 3229 Certificate of Origin
- Vehicle Title, Certificate
- Permit
- Other documents to support CBP Form 3461 Entry/Immediate Delivery

## AGENCY SPECIFIC FORMS (SEE FRN 79 FR 36083 OF JUNE 25, 2014 FOR MORE DETAILS)

| AGENCY | FORM |
|---|---|
| Animal and Plant Health Inspection Service (APHIS) | • STAT Supporting Statement<br>• Import Permit<br>• Plant Protection and Quarantine (PPQ) Form 368, Notice of Arrival<br>• PPQ Form 203, Foreign Site Certificate of Inspection and/or Treatment<br>• PPQ Form 586, Permit to Transit Plants and/or Plant Products, Plant Pests, and/or Associated Soil<br>• PPQ Form 587, Permit to Import Plants or Plant Products<br>• Transit Permit |
| Centers for Disease Control and Prevention (CDC) | • Importation Permission Letter<br>• Permit Exemption Letter<br>• CDC Form 0728, Permit to Import or Transfer Etiological Agents or Vectors of Human Disease |
| Defense Contract Management Agency (DCMA) | • Certificate of Duty Free Entry |
| Environmental Protection Agency (EPA) | • Pesticide Label<br>• EPA 3540-1, Notice of Arrival of Pesticides and Devices<br>• Pre-Approved Vehicle/Engine Exemption Letter<br>• EPA 3520-21, Importation of Motor Vehicles and Engines (off-road)<br>• EPA 3520-1, Importation of Motor Vehicles and Engines (on-road)<br>• Toxic Substances Control Act (TSCA) Import Certification Form |
| Food Safety and Inspection Service (FSIS) | • FSIS Form 9010-1, Application for the Return of Exported Products to the United States<br>• FSIS Form 9060-5, Meat and Poultry Export Certificate of Wholesomeness<br>• FSIS Form 9540-4, Shipper Notification: Importation of Undenatured Inedible Meat Product<br>• FSIS Form 9540-5, Notification of Intent |
| National Oceanic and Atmospheric Administration (NOAA) | • Toothfish Pre-Approval<br>• NOAA 370 Fisheries Certificate of Origin |
| National Highway Traffic Safety Administration (NHTSA) | • Form HS-7, Declaration<br>• Form HS-474, Bond to Ensure Conformance with Motor Vehicle Safety and Bumper Standards |