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Post Release: Entry Summary, Accounts & Revenue

*Software Developer Session
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U.S. Customs and
Border Protection

Post Release: Entry Summary, Accounts & Revenue

What is included in the June 27th Deployment:

- Refactored Entry Summary Types 01, 03 and 11
- Refactored Entry Summary Types 01, 03 and 11
- Non-ABI Entry Summary
- Automated Entry Summary Types: › 02, 06, 07, 12, 21, 22, 23, 31, 32, 34, 38, 51, 52
- Remote Location Filing (RLF)

What is included in the October 31st Deployment:

- Statements
- Quota Master Data processing in ACE
- Trade Ability to Query Quota in ACE via ABI

Entry Summary

Entry Summary Create/Update CATAIR chapter changes to support June 27th Deployment

- Revised to support additional entry types in ACE entry summary filing.
- *10-Record Entry Type Code:* Removed the restriction of only filling 01, 03 and 11
- *11-Record Foreign Trade Zone Identifier:* Removed the note only data elements relevant to types 01, 03, and 11 are supported at this time.
- *Input 30 record Warehouse Withdrawal Information*
 - Removed the note only data elements relevant to types 01, 03, and 11 are supported at this time.
 - Added reference to re-warehouse (original text only included warehouse and warehouse withdrawal)
- *Input 41 record FTZ Status Information:* Removed the note only data elements relevant to types 01, 03, and 11 are supported at this time
- *Entry Summary Filing: Usage Notes*
 - e) Entry Type data reporting Considerations-updated table
 - bb) Warehouse, Re-Warehouse, & Warehouse Withdrawal Entry Summaries
 - Added reference to Re-Warehouse
- *AE Table 2 – Entry Type Codes:* Removed the note only data elements relevant to types 01, 03, and 11 are supported at this time. Updated Entry types.

Quota Processing and Notifications

Entry Summary Status Notification UC CATAIR Chapter changes support with June 27th Deployment

- Revised to indicate that a UC message will be returned for Quota Processing.
- *Entry Summary Status Notification message*: Updated to include a new Disposition Code, 'Q' or Quota Accepted, to describe the status of the Entry Summary.
- *Entry Summary Status Notification message*: Updated to include a new Notification Reason Code, '022' or Quota Issue, to describe the reason for the rejected Entry Summary, Disposition Type Code = 4 (Entry Summary Rejected).
- *Quota Line Status*: Created to provide information concerning Quota Status. This only occurs when the UC message returns a Disposition Type Code = Q or Disposition Type Code = 4 with a Notification Reason Code = 022.
 - Added a note that describes the status of the Quota Record, with the Prefix 'Q' to avoid any overlap with other codes.

Statements

Provide for current Daily and Monthly statement processing in ACE

- Align Daily and Monthly Statement record formats and output messages
 - The ACS “QR” application will be implemented into the new ACE Daily Statement “PF” application.
- Provide for the current statement update functionality
 - The ACS “HP” application will be implemented into the ACE Statement Update “SU” application.
- Provide one application for debit authorization payments (Application ID = PN)
 - The current ACS ACH Debit Authorization “QN” application will be incorporated into the current ACS ACH Debit Authorization/Entry Summary Presentation “PN” application and implemented into ACE.
- Provide one application for reroute functionality (Application ID = MO) for all statements
 - The ACS application “QO” will be incorporated into the current ACE Statement Request Reroute “MO” application. This will provide reroute capability for daily and monthly statements and ACH payment authorizations.

Document Image System (DIS)

Overview and Benefits:

The Document Image System (DIS) facilitates automated submission of documents and specific data by participating Trade Partners to CBP.

The submitted documents are electronically processed and securely stored by CBP.

Submitted documents are made available for review by CBP and Partner Government Agencies (PGAs) via the DIS application.

DIS will facilitate a single automated gateway that will accept supporting documents that may be needed during cargo importation and entry summary processes.

DIS Document Transmission Mechanisms

Electronic Data Interchange (EDI): The preferred mechanism of document transmission in DIS is via an XML payload transmitted to CBP via any one of three **EDI** technical mechanisms:

1. Secure FTP
2. Secure Web Services, or
3. Existing ABI MQ mechanism

Note: *Because EDI is supported by a modern, robust, guaranteed delivery and processing infrastructure, it is of greater value in a fully automated scenario for technically advanced, high-volume trade partners.*

Email: DIS allows certain documents to be transmitted via **email** to support Export Manifest and Simplified Entry.

- Only certain pre-approved documents can be submitted as email attachments
- Associated meta-data is sent in the Subject Line and Body of the email

Note: *Email is more suitable in scenarios that are “Quick-Easy-and-Interim,” Semi-Automated, and low-volume (total email size including all attachments may not exceed 10 MB)*



DIS Meta-Data

Meta-data is associated data submitted by the trade along with a transmitted document.

Meta-data elements can be common header-level elements (i.e. *Message Sender, Sent Date, etc.*) or transaction-specific (i.e. *Entry Summary Number, etc.*) sent via EDI SML or in the email subject line and body, where approved.

Meta-data elements are used to:

- Link the document to supporting contextual data
- Search for specific documents within DIS
- Further describe a transmitted document
- Provide specific transactional references for that document (Entry Summary, Bill, etc.)

Requests for Documents

Request for entry summary package after ACE entry summary has been filed (ABI Message UC2; commonly referred to as “documents required.”)

- The filer may choose to respond to the request for the entry summary package via the ACE Portal or DIS. Once the filer receives the action number (via ABI message), the filer may upload the requested documents in the portal or transmit to DIS. Documents not provided via the ACE Portal or DIS must be presented to CBP in paper form.

Request for specific documents after ACE entry summary has be filed (ABI Message UC3)

- This is a request for one or more specific documents, indicated by the CBP user in the “remarks” field. Trade must present these documents to CBP **within two business days from the request date**, either in electronic form via the ACE Secure Data Portal, via DIS, or in paper form.

Once CBP receives the required documents, the CBP users should update ACE accordingly by marking the “Documents Received” box in the “Actions” section. This generates a document receipt acknowledgement message (ABI Message UC7) to the filer. This electronic receipt does not constitute a statement regarding the accuracy, completeness, or compliance of the requested documentation.

Forms Supported by DIS: CBP & PGA

Documents transmitted via EDI:

- Animal and Plant Health Inspection Service (APHIS) STAT Supporting Statement
- APHIS Import Permit
- APHIS PPQ Form 368
- APHIS PPQ Form 203
- APHIS PPQ Form 586
- APHIS PPQ Form 587
- APHIS Transit Permit
- Foreign Gov't Sanitary Certificate (Veterinary Health Certificate)
- Ingredients List
- Phytosanitary Certificate
- Proof of Origin
- Center for Disease Control and Prevention (CDC) Importation Permission Letter
- CDC Permit Exemption Letter
- CDC Form 0728
- Commercial Invoice
- Invoice Worksheet
- Packing List
- Pro-Forma Invoice
- Defense Contract Management Agency (DCMA) Certificate of Duty Free Entry
- Environmental Protection Agency (EPA) Form 3520-21
- EPA Form 3520-1
- EPA Form 3540-1

NOTE: Only documents announced via a Federal Register Notice can be transmitted via EDI.

Documents transmitted via EDI:

- EPA Pesticide Label
- EPA Pre-approved Vehicle/Engine Exemption Letter
- Food Safety and Inspection Service (FSIS) Form 9010-1
- FSIS Form 9060-5
- FSIS Form 9540-4
- FSIS Form 9540-5
- National Highway Traffic Safety Administration (NHTSA) HS-7, Declaration
- NHTSA HS-474
- National Oceanic and Atmospheric Administration (NOAA) Form 370
- NOAA Toothfish Pre-Approval
- Toxic Substances Control Act (TSCA) Import Certification Form

Supported for SE/Cargo Release:

- Packing List
- Commercial Invoice
- Other
- Passport, D/L, Govt Issued ID
- CBP-CF3299
- CBP-CF4455
- CBP-CF4457
- CBP-CF3229
- Vehicle title, certificates
- Permit

DIS Pilots

Documents transmitted via email in specific formats:

- ACE Cargo Release (<http://www.cbp.gov/document/guidance/instructions-submitting-docs-cbp-support-ace-cargo-entries>)
- APHIS Veterinary Services – Federal Register / Vol. 80, No. 20 / Friday, January 30, 2015; further instructions from APHIS will be issued soon.
- IPR Pilot – CSMS# 14-000500
- NMFS Pilot – POC: Dale Jones at dale.jones@noaa.gov (note: interested participants must be certified to file ACR)
- MX Sugar Export License – CSMS# 15-000065
- Export Manifest (<http://www.cbp.gov/document/guidance/technical-requirements-ocean-export-manifest-submission-dis-email>)
- CEE Pilot – participants should contact their assigned CEE for further instructions

DIS Access

PGA participants may contact ITDS for Participating Government Agency on boarding procedures or view the procedures on the ITDS secure website.

Trade participants may contact their local Client Representatives Branch for trade on boarding procedures for transmitting documents to DIS via ABI.



eBond Processing in ACE

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U.S. Customs and
Border Protection



What is eBond?

- eBond is an electronic mechanism for the submission of Customs Bonds from a Surety to ACE via EDI to be stored and used for various downstream processes for which a bond is required.
- eBond allows for Single Transaction Bonds and Continuous Bonds will be accepted electronically
- eBond provides a single, centralized repository for all customs bonds within CBP
- eBond was successfully deployed to ACE production on 1/3/15



Why build eBond?

By building eBond, CBP hopes to realize the following benefits for CBP and Trade stakeholders:

- *Provide a single mechanism for the centralization of bonds, including a single place to locate any bond starting after eBond deployment.*
- *Reduction of paper processing*
- *Expedited release of cargo*
- *Increase traceability of bonds for audit purposes*
- *Expansion of bond issuance to beyond regular business hours.*



eBond Functionality

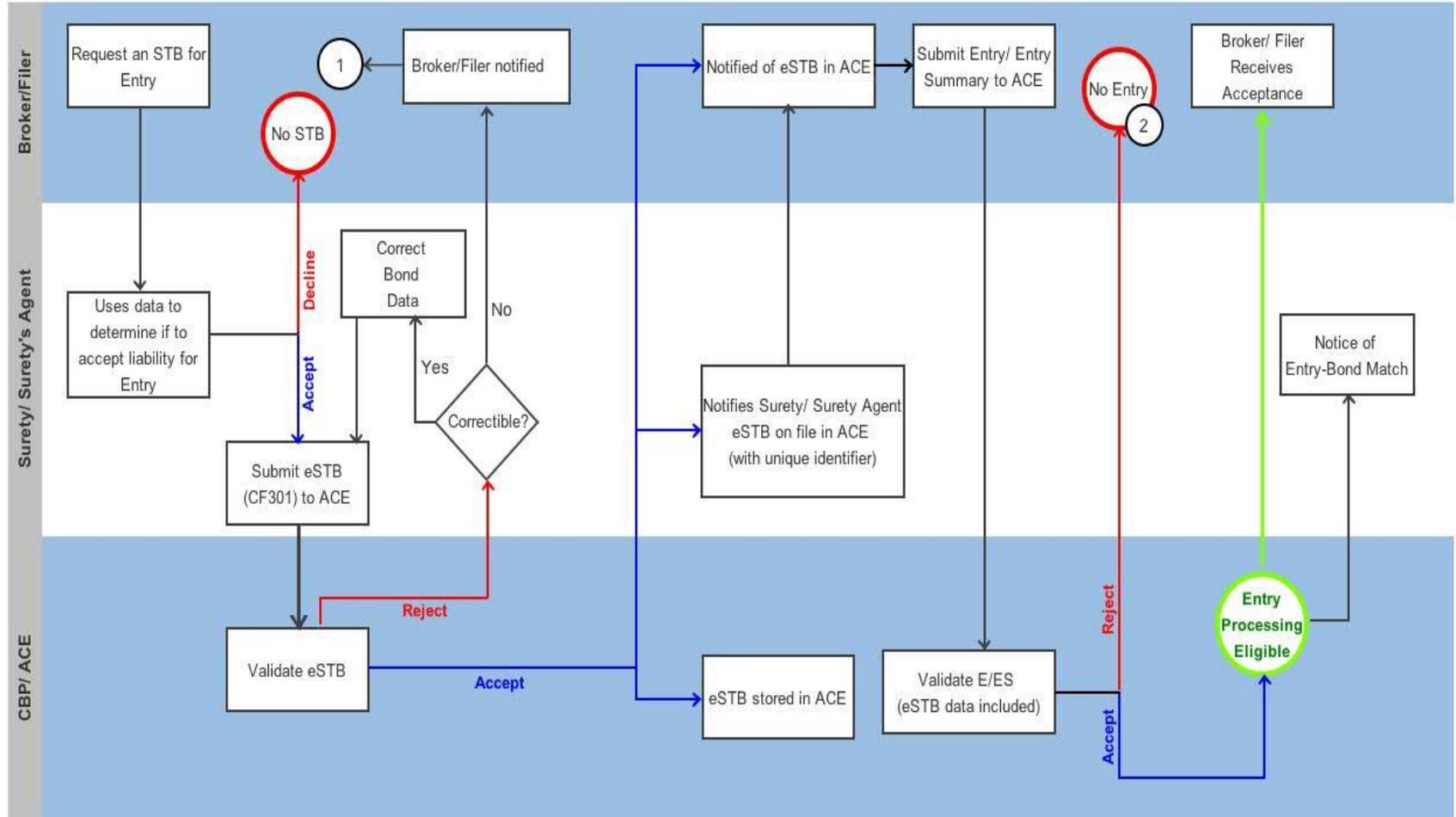
The following functionality is current available in eBond for ACE production:

- Ability to receive and process Single Transaction Bonds, Continuous Bonds, and Bond Riders electronically from a Surety or Surety Agent.
- Ability to provide bond status updates electronically to sureties and secondary notify parties.
- A new bond user interface for CBP users.
 - View capabilities for general CBP users, add/edit capabilities for the Office of Administration
- Bond validations for Simplified Entry (ACE Cargo Release) and ACE Entry Summary



eSTB Process Flow

e-Single Transaction Bond : High Level 'To-Be' Data Flow Concept



1 If the Broker/Filer opts to continue the eSTB process, the process would start again from "Request an STB for Entry".

2 If the rejection of the entry filed is due to the inability to match an Entry and Bond, the fier should contact the surety to determine what corrective actions should be taken.

eBond Stats

As of February 19, 2015:

- **21,458** New Bonds Created by eBond (via ACE Portal & EDI)
 - **11,994** Single Transaction Bonds (13 Activity Type 1 Matched to Entries)
 - **9,464** Continuous Bond
- **11,812** Updates to Bonds that existed prior to eBond deployment
- **8** Surety Filer Agents have submitted bonds via eBond
- **24,696** CB messages processed
- **148,580** BS status messages generated



eBond Rules

eBond Submission Requirements

Bonds may be input into ACE's eBond system in one of two ways:

1. Electronic submission of a bond from a surety or surety agent to ACE using the newly developed CB/CX message.
2. Submitted via email by a surety or surety agent to the Office of Administration to be input manually into ACE. Bonds submitted in this fashion are subject to policy and procedure issued by the Office of Administration for the manual input of bonds.



eBond via EDI

- Authorized Submitters:
 - Only Surety / Surety Agents will have the ability to file bonds in ACE. (B-Record)
 - As with all CBP EDI, the use of a service center to transmit the eBond is permitted. (A-Record)
- EDI Format:
 - Customs and Trade Automated Interface Requirements (**CATAIR**)
 - Referred to as the Implementation Guide or 'IG' by CBP
 - Fixed-width (positional) data elements
 - Multiple records used for data groupings
 - Each record is 80 characters in length.
- ACE CATAIR IG eBond Specific Chapters Now Available on CBP.gov
 - Customs eBond Create/Update ACE CATAIR Chapter (CB / CX)
 - Customs eBond Status Notification ACE CATAIR Chapter (BS)

Continuous Bond Rules

- Continuous Bonds may be submitted by a surety or surety agent electronically or via paper to the Office of Administration's Bond Team.
- All Continuous Bond Activity types should be submitted to eBond (using one of the two input methods).
- All Continuous Bonds entered into ACE eBond will be valid for both ACE and ACS transactions.
- All Continuous Bonds existing in ACE before the deployment remain valid, usable bonds.

Single Transaction Bond Rules

- Single Transaction Bonds used to secure Cargo Release (Activity Type 1) should only be submitted to eBond when filing ACE Cargo Release.
 - *This includes ACE Entry Summary Certified for ACE Cargo Release*
- Single Transaction Bonds used to secure Cargo Release filed in ACS should utilize current filing processes
 - ***This includes ACE Entry Summary Certified for ACS Cargo Release***



Single Transaction Bond Rules (Con't)

- Activity Type 16 Single Transaction Bonds should be filed to be input into eBond, operating under the current procedures in place for ISF.
 - *Further integration with ISF will be completed in future development*
- Activity Type 1A (Drawback) Single Transaction Bonds should be filed using existing paper processes, until such a time Drawback development is completed in ACE
- All other Single Transaction Bond Activity types should be filed in eBond.
- If a Single Transaction Bond is filed incorrectly in eBond (filed for an instance not allowed in eBond), that Single Transaction Bond should be voided, and the filer should obtain a paper bond for their transaction

Resources

- Information posted at <http://www.cbp.gov/trade/bonds> is intended to keep all interested parties up to date on the continuous and single transaction bond business process, and applicable changes or clarifications to that process.
- Any general questions about continuous or single transaction bond transmissions should be directed to (317) 614-4880 or via email to: cbp.bondquestions@dhs.gov



Post Deployment Update: Surety Perspective

In this Presentation...

- CBP Statistics: eSTB
- Challenges
 - eSTB vs. paper STB
- Secondary Notify Party
 - Transmission in eBond and Existing Bonds



eSTBs as of February 19, 2015

Statistics:

- 1,150 Activity Code 1 eSTBs
- 13 eSTB/ACE Entry matches
- 1,137 eSTBs that should be paper

What to do?

- If eSTB was not applicable to transaction:
 1. Void eSTB
 2. Submit paper STB



eSTBs as of February 19, 2015

eSTB

- ACE Cargo Release followed by ACE Entry Summary (2-step process)
- ACE Entry Summary Certified for ACE Cargo Release
- Paper STB
- ACE Entry Summary Certified for ACS Cargo Release
- ACS Entry followed by ACE Entry Summary (2 step process)
- ACS Entry followed by ACS Entry Summary (2 step process)
- ACS Entry Summary Certified for Cargo Release



Challenges for Brokers

- Some ABI systems may indicate ACE, but the entry data/cargo release may really be ACS
- Limited functionality for ACE Cargo Release
 - Certain ports
 - Only entry types 01, 03, 11
 - No PGAs



Preventing Improper eSTBs

- Until the software vendors program for eBond, sureties/surety agents work with clients
- Bond Issuing Systems accommodate eSTB and paper STBs
 - System should warn if eSTB is chosen

Submitting eSTBS – Warning!

- System default to ACS STB
- If changed to ACE STB:
 - A warning message appears before the user can submit:

ATTENTION: You are about to submit an eSTB which is only for an ACE cargo release entry. If you intend to file any portion of the entry in ACS, you must file a paper bond.

Secondary Notify Party (SNP)

- Same as ABI routing # (port code + filer code)
- Receive notice on any bond where SNP is designated
- CBP allows up to 4 SNP's on a bond record
- We requested CBP add a transaction type to change SNP if there is a broker of record change
 - This is on the backlog for development
 - RDBT can update SNPs at request of broker (as importer POA) or surety/surety agent

Questions?

askace@cbp.dhs.gov



www.cbp.gov/trade/automated/ace-faq

May 1, 2015

Mandated use of ACE for all electronic manifest filings.

November 1, 2015

Mandated use of ACE for electronic Cargo Release and associated Entry Summary.

October 1, 2016

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