

What's Ahead for ACE?

CBP Trade Symposium – April 13-14, 2011

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Agenda

1. Introduction, Future Outlook, e-Manifest: Rail and Sea – Cynthia Allen
2. Importer Security Filing Capabilities through ACE – Craig Clark
3. Document Image System – Monica Crockett
4. Post Summary Corrections
 - Policy – Laurie Dempsey
 - Trade Enhancements – Monica Crockett
 - CBP and Trade Benefits – Peter Russell
5. Cargo Release – Vincent Annunziato
6. Questions and Answers - All



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Future Outlook for ACE, ITDS Initiatives, and e-Manifest: Rail and Sea

Cynthia Allen, Executive Director, ACE Business Office
Office of International Trade, CBP



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Future Outlook for ACE

- Fundamental organizational and governance changes to improve success for future ACE development
- Changes to provide better oversight for the program, ensure more rigor in development of future ACE requirements
 - Development of ACE Business Office (ABO) to focus on business needs
 - Separation of the business and technical requirements development from the design and build phases
 - Enhanced business requirements definition process to define function baseline needed
 - Greater internal controls for effective contractor oversight



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Future Outlook for ACE

- Changes in ACE approach – cont.
 - Modular focused development, treating each piece of distinct functionality as a separate project for contract purposes
 - More frequent delivery of smaller segments within the identified modular functionality area
- Moving forward with plans to develop new functionality in smaller projects
 - Specific business cases and funding requests related to functional areas
- Continuous integration approach and new acquisition strategy
 - Reduce program risk
 - Provide greater flexibility for project priority shifts as the size of each project will be smaller and more manageable



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ITDS Initiative - PGA Message Set

- Adds additional inbound data elements required by other agencies to the major import reporting messages (aka PGA Message set for the Customs and Trade Automated Interface Requirements (CATAIR)).
 - CBP would then be able to provide this data to other agencies via a data interface (Interoperability initiative with each agency)
 - CBP working to establish project timeline in close coordination with the trade
 - Finalization of PGA message set is planned by April 2011
 - Estimated completion of 6-12 months from the point that CBP has procured a contract through OIT



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ITDS Initiative - PGA

Interfaces/Interoperability

- CBP developing and institutionalizing
 - Common sets of technical standards that will cover data interface protocols, and
 - The types of data to be delivered through the interfaces
- CBP formulating PGA requirements for web service to deliver cargo release data upon implementation
- Several PGAs have indicated interest in participating, including:
 - Environmental Protection Agency (EPA)
 - Consumer Product Safety Commission (CPSC)
 - Department of Transportation (DOT)
 - Food Safety and Inspection Service (FSIS)



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e-Manifest: Rail and Sea

- Consolidated view of rail and sea shipment manifest and entry data at the bill of lading or container level
 - Facilitates the identification of shipments that may pose a risk and expedites the pre-arrival processing of legitimate cargo
- Trade testing
- Pilot rollout
- Benefits
 - Importers, Brokers and Carriers - Ability to share reports within Account
 - Importers, Brokers and Carriers: Availability of Bill of Lading information in new reports
 - Brokers: Ability to create rail entry banks



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Importer Security Filing Capabilities via ACE

Craig Clark, Program Manager, Vessel Manifest and
Importer Security Filing (10+2), Office of Field Operations,
CBP



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ACE Portal Homepage

The screenshot displays the ACE Portal homepage for U.S. Customs and Border Protection. The top navigation bar includes tabs for Home, Inbox, Accounts, Entry Summary, References, and Tools. A user greeting "Welcome, Craig Clark!" is visible. Below the navigation bar, there are sections for "Multi-Modal Manifest Access" (with an "Ocean/Rail" button) and "QuickLinks" (with a "Quick Browse:" section and a "Go" button). A "Phone Directory" section is also present. The main content area features a conceptual diagram of the portal structure, consisting of six cylindrical icons representing different services: ISF Reports Data Warehouse, ISF Status Queries, ISF Small Importer Portal, EDIS (DOCUMENT IMAGE SYSTEM) ISF Bonds, Entry Summary (highlighted in red), and Cargo Release (highlighted in red). To the right of the diagram, a list of features is provided: "One-Window Concept into CBP", "Single Jumping Off Point", and "Access Multiple Utilities". A note at the bottom of the screenshot states: "October 13, 2010: ATTENTION ALL ACE REPORT USERS: Effective October 13, 2010, U.S. Customs & Border Protection will be reducing the number of saved occurrences of reports visible when selecting the 'History' link for reports saved under 'My Folders'. Users will only be able to view the last 10 historical instances".

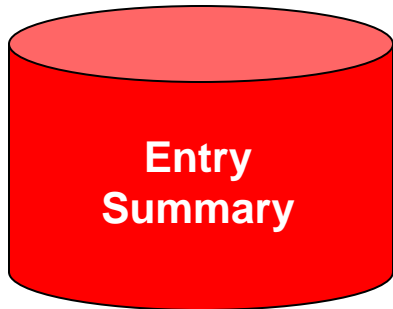
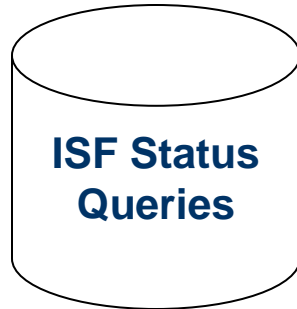
This screen shot is conceptual.



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ACE Portal Homepage



- One-Window Concept into CBP
- Access Multiple Utilities

Exists today

This screen shot is conceptual.



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ISF Reports Data Warehouse

ISF Progress Reports

- Importer
- C-TPAT
Transactional
- Filer
- Carrier
- Surety

Download Formats

- .xls
- .pdf
- .csv

Sample ISF-10 Progress Report

Transaction Date Range: 1/26/2009 - 6/05/2010

Filer Code: 000 Filer Name: CBP HQ TEST FILER
 IOR Number: 00-123456700 Importer Name: CBP HQ TEST IMPORTER

1. ISF10 Submission Volume:

Submission Status	Message Format	Message Action	Year-Month										Total
			2009-01 to 2009-09	2009-10	2009-11	2009-12	2010-01	2010-02	2010-03	2010-04	2010-05	2010-06	
Accepted	AMS - X.12 SF (Stand-alone) →	Add	27	2	2	4	6	5	3	7	3	3	62
Accepted	AMS - X.12 SF (Stand-alone) →	Delete					1						1
Accepted	AMS - X.12 SF (Stand-alone)	Replace	4		1			2			1		8
Rejected	AMS - X.12 SF (Stand-alone)	Add	8			1	1			1			11
Total			39	2	3	5	8	7	3	8	4	3	82



U.S. Customs and Border Protection

May Choose Standard or Ad Hoc



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ISF Status Queries

ISF Transaction Number Status

- ISF Bill Match (S-1)
- No Bill Match (S-2 to S-5)
- Error Codes (Warnings)

Bill of Lading Number Status

- Bill Type
- Associated Bill Numbers
- ISF on file



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ISF Small Importer Portal

	Type	Action	IOR Number	Transaction #	Bill Numbers	Submitted	Last Update	Status
Select	ISF-10	Add	555-0		TGHU88884321	08-02-2010 03:38 PM	08-02-2010 03:38 PM	NEW
Select	ISF-10	Replace	32-00		NYKS8675309	05-14-2010 03:54 PM	05-14-2010 03:55 PM	ISF REJECTED
Select	ISF-10	Replace	32-00	000-20052878458	NYKS8675309	05-14-2010 03:53 PM	05-14-2010 03:53 PM	ISF REJECTED
Select	ISF-10	Add	32-00	000-43686151708	HLCU2223335678	05-14-2010 03:52 PM	05-14-2010 03:52 PM	ISF ACCEPTED
Select	ISF-10	Add	75-32		HLCU2223335678	05-14-2010 03:51 PM	05-14-2010 03:51 PM	ISF REJECTED
Select	ISF-10	Add	32-00	000-20052878458	NYKS8675309	05-12-2010 11:44 AM	05-12-2010 11:44 AM	ISF ACCEPTED
Select	ISF-10	Add	75-32		HLCU2223335678	05-11-2010 10:49 AM	05-11-2010 02:20 PM	ISF REJECTED
Select	ISF-10	Add	75-32		HLCU2223335678	05-04-2010 09:27 AM	05-04-2010 09:27 AM	ISF REJECTED
Select	ISF-10	Add	75-32		MAEU58763421	05-04-2010 09:26 AM	05-04-2010 09:26 AM	ISF REJECTED
Select	ISF-10	Add	75-32		HLCU2223335678	04-20-2010 02:32 PM	04-20-2010 02:33 PM	ISF REJECTED
Select	ISF-10	Add	75-32		HLCU2223335678	04-20-2010 02:23 PM	04-20-2010 02:24 PM	ISF REJECTED
Select	ISF-10	Add	75-32		MAEU56781234	04-20-2010 02:17 PM	04-20-2010 02:17 PM	ISF REJECTED
Select	ISF-10	Add	75-32		ABCD1234567890	04-05-2010 02:20 PM	04-05-2010 02:21 PM	ISF REJECTED

- Limited to Small Importers
 - No Service Providers
 - No Customs Brokers
- Allows 12 or fewer ISFs per year
- Importer ID# must be on file
- **Very Limited Technical Support**

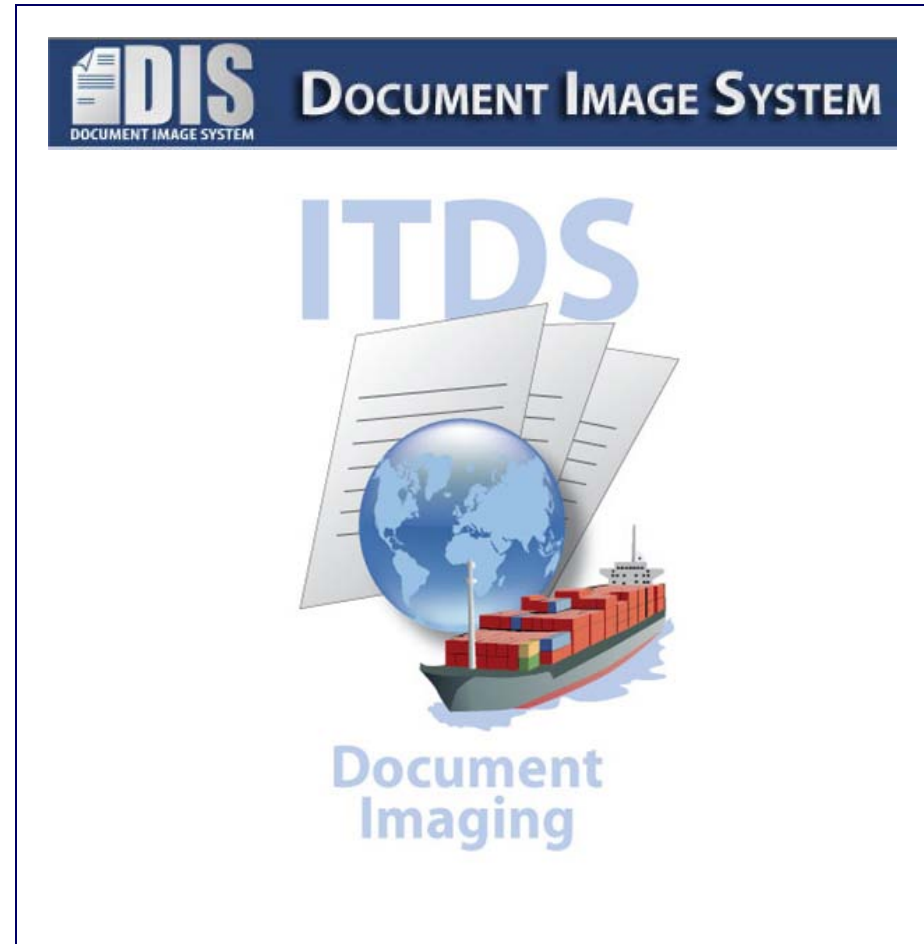


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ISF Single Transaction Bonds in DIS

- Loaded via e-mail
- ISF Transaction Number must be in the subject line
- ISF Number must be valid
- Future upload via EDI
- Future upload via web-service



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Document Image System

Monica Crockett, Acting Director - Entry Summary,
Accounts and Revenue, Office of International Trade, CBP



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Document Image System Overview

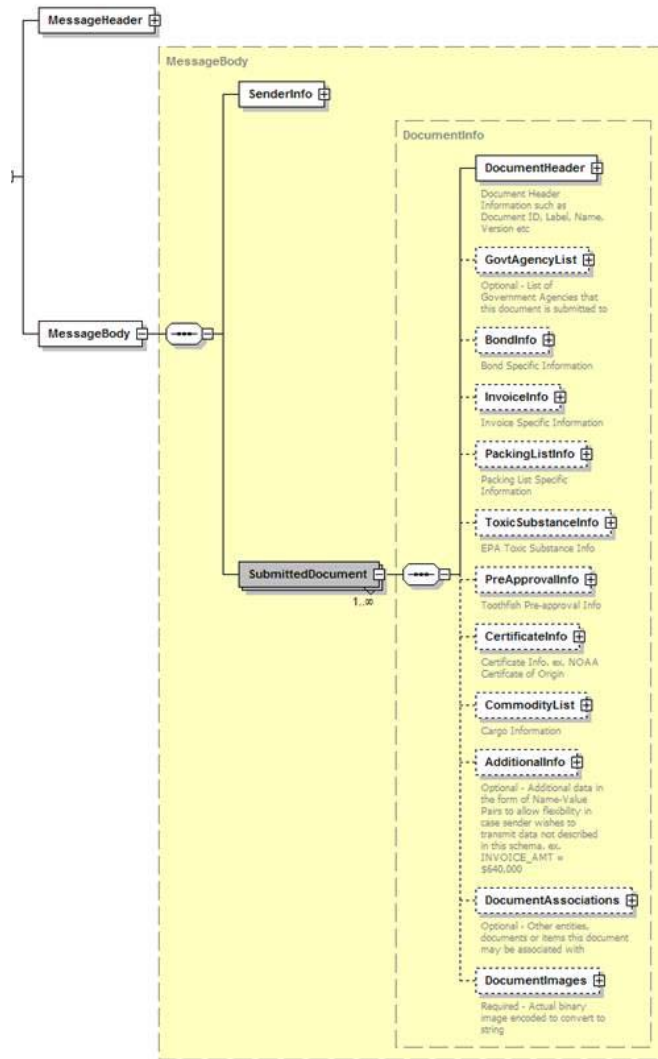
- The Document Image System (DIS) facilitates automated submission of documents and specific data by participating Trade Partners to CBP.
- The submitted documents are electronically processed and securely stored by CBP.
- Submitted documents are made available for review by CBP and Participating Government Agencies (PGAs) via the DIS application.
- DIS will facilitate a single automated gateway that will accept supporting documents that may be needed during the cargo importation and entry summary processes.



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Document Image System XML Schema



- The Document Image System allows for the Trade to submit documents via:
 - Secure FTP,
 - Secure Web Services, or
 - Existing ABI MQ mechanism
- The DIS schema has been defined through close coordination with Trade users



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Document Image System Meta-Data

- A well defined XML message set contains meta-data, which is data submitted by the trade that is used to support a transmitted document.
- Meta-data elements are used to:
 - Search for specific documents within DIS
 - Further describe a transmitted document
 - Provide specific transactional references for that document (Entry Summary, Bill, etc)
- Meta-data elements can be common throughout all documents (i.e., Document ID, Sender ID, Message Number, Date/Time)
- Meta-data can be unique to a specific type of document (Invoice number, invoice line number, surety code, agent ID)



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Document Image System – Initial documents supported

CBP	EPA	APHIS	NOAA
Commercial Invoice	TSCA Import Certification Form	APHIS Ingredients List	Fisheries Certificate of Origin (NOAA 370)
Packing List	EPA Pesticide Label	APHIS Animal Health Certificate	Toothfish Pre-Approval Form
Invoice Worksheet	EPA 3520-21 – Importation of Motor Vehicles and Engines Subject to Fed Air Pollution Regs (off road)		
Single Transaction Bond (Act Type 1)	EPA 3520-21 – Importation of Motor Vehicles and Engines Subject to Fed Air Pollution Regs (on road)		
ISF Bond (Act Type 16)	EPA 3540-1 – Notice of Arrival of Pesticides and Devices		
	Pre-approved Vehicle/Engine Exemption Letter		



Document Image System Benefits

- Expedites the release and/or examination of imported cargo
- Initiates single window submissions from Trade to CBP/PGAs
- Provides document review status and report capabilities
- Provides CBP and PGAs with nationwide visibility of documents
- Provides a central repository for documents submitted by the trade
- Reduces time and cost surrounding paper processes



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Document Image System Access

- PGA participants may contact ITDS for Participating Government Agency on boarding procedures.
- Trade participants may contact their local Client Representatives Branch for trade on boarding procedures.



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Post Summary Corrections - Policy

Laurie Dempsey, Branch Chief – Entry Summary and Drawback, Office of International Trade, CBP



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Post-Summary Corrections (PSC)

Purpose

Enables a filer to make electronic corrections, prior to liquidation, on Automated Commercial Environment (ACE) entry summary data presented to and accepted by U. S. Customs and Border Protection (CBP)

Basic Rules

- May be filed 270 days from date of entry; not less than 21 days prior to liquidation
- Applies only to ACE entry summaries
- Changes related to admissibility issues, including other government agency requirements, not allowable via PSC



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PSC Key Concepts

- Full entry summary replacement
 - CBP will accept as the importer's assertion that current version is correct
 - Data subject to the same edits and validations as standard ACE entry summary
 - CBP will retain entry summary versions
- *"Agree/Disagree"* process eliminated
 - CBP will not review every PSC
 - PSC subject to same targeting, team review process as current ACE entry summaries
- No limit on number of PSCs filed within allowable time frame
- Eliminates quarterly Post Entry Amendment (PEA) requirement – Filer may send changes as they are discovered



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PSC Details

■ New PSC terms

- PSC Filer
- Accelerated liquidation
 - Places entry summary in two-week liquidation cycle
 - Via filer request

■ Correction types

- Entry summary header and line information
- “Reason code” to indicate type of change, e.g., quantity, classification, etc.
- Multiple change types allowed on each PSC
- No changes allowed on data processed for cargo release



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Post Summary Corrections – Trade Enhancements

Monica Crockett, Acting Director – Entry Summary,
Accounts and Revenue, Office of International Trade, CBP



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Post Summary Correction Filer

An ACE entry summary filer may submit a Post Summary Correction (PSC) for an ACE entry summary originally submitted by another ACE entry summary filer if authorized by the same importer of record. The act of filing a PSC will constitute “Customs business” as defined in 19 C.F.R.111.1.

- If the PSC is filed by someone other than the entry filer then only the PSC filer will be able to run an ABI query and view information on the PSC that was filed.
- The entry filer will receive a UC message when a PSC has been filed by another ACE entry summary filer.
- The entry filer will also be able to run an ACE ABI Entry Summary Query and view limited information on the PSC.



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Enhanced EDI Functionality

Revised Entry Summary Query, ACE ABI CATAIR chapter will include new search criteria for:

- Post summary corrections
- Liquidated entry summaries
- Entry summaries that have not been liquidated
- Documents requested, yet not acknowledged and/or received by CBP



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Enhanced EDI Functionality (cont)

Revised Entry Summary Create/Update ACE ABI CATAIR chapter will include new data elements and input records for:

- Post Summary Correction Indicator
- Accelerated Liquidation Request indicator
- PSC Header and Line Reason Codes
- Version number on outbound response (i.e. AX)

Revised Entry Summary Status Notification ACE ABI CATAIR chapter will include:

- PSC Notification Reason Code when PSC is presented by another filer



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Post Summary Corrections – CBP and Trade Benefits

Peter Russell, Senior Import Specialist

Office of Field Operations, Port of Buffalo, NY



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Post Summary Corrections – Benefits

- PSCs are filed electronically for ACE entry summaries
- Paper PEAs are eliminated for ACE entry summaries
- Streamlines acceptance process
 - CBP does not have to manually review/reject/accept each entry summary
 - If the PSC passes validation, then ACE accepts the entry summary
- PSCs create a uniform process for the trade to submit corrections
- PSCs will have a nationwide visibility
 - PEAs were previously only visible at the port at which they were filed
 - CBP can now review identical PSC submissions from other ports allowing a faster processing time

CBP	Trade
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>



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Post Summary Corrections – Benefits

- ABI capabilities were expanded to allow PSCs
- Creation of a PSC filer
 - Allows a different filer than the original filer to submit a PSC
 - Self filing importers can submit PSCs
- Creation of PSC reason codes
 - Allows CBP to view specific reasons for the corrections
 - Will create a more uniform process

CBP	Trade
	<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>



Post Summary Corrections – Benefits

- Enhanced reporting functionality for Trade corrections
 - Automated method of tracking Trade corrections
 - A PSC indicator has been added to ACE reports to improve tracking
 - Filer may query entry summary for PSC liquidation status
- Monetary impacts requesting refunds/collections are visible through newly created ACE reports
- Entry summary comparison tool
 - CBP has the ability to compare the changes between two entry summaries

CBP	Trade
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/>	



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ACE Cargo Release

Vincent Annunziato, Acting Director – Cargo Control and Release, Office of International Trade, CBP



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Cargo Release

- CBP implementing new, robust requirements-gathering process for building cargo release capabilities, utilizing:
 - ITDS Concept of Operations
 - PGA Message Set
 - Business case
- Work underway with PGAs and trade community to revalidate previously gathered requirements, map requirements against the ITDS Concept of Operations (CONOPs) and identify any gaps that need to be addressed
 - Expected to be completed end of April, 2011
 - Upon finalization of the requirements documentation, the design and acquisition phase will begin with an anticipated contract award in early 2012



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Cargo Release – Significant Process Changes

- Expedited Entry Process
 - Filer creates entry data template with unique key code
 - Template includes required PGA data
 - Key code is filed with the manifest, creating entry
 - Entry process runs and shipment can be released
 - C-TPAT benefit
 - Resumption of operations
 - Can be combined with Port Code change process



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Cargo Release – Significant Process Changes (cont)

- Automated entry correction/deletion process is correlated with entry summary processing
- Critical HTS flags will be maintained by PGAs
- Single release and notifications
 - Release may be contingent upon multiple agencies but CBP retains “final release” authority
 - Status notifications of agencies holding merchandise and agencies that will have further interest after CBP release will be sent by ACE to the trade
 - Trade community receives one ACE release notification
 - Carrier and broker notified of release at the same time



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Cargo Release - Significant Process Changes (cont)

- Follow-on entries (i.e., split shipments not fulfilled within the 10-day filing period)
 - ACE will tie together and track for historical purposes the new entry that is tied to an initial entry

- Transfer of custody/liability
 - Transfer obligates importer or broker bond
 - Further tracking mechanism for agencies that do not effect release, such as Food Safety and Inspection Service (FSIS)
 - Offsite examination locations will have FIRMS codes
 - The transfer will be arrived by the facility that accepts the merchandise
 - PGA will acknowledge receipt at facility



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Cargo Release – Significant Process Changes (cont)

- Non-Release ISSUE (New terminology)
 - PGAs without release authority may set an ISSUE that notifies the trade that further government review required, such as an examination
 - Trade interacts directly with PGAs, unless CBP acts on behalf of a PGA
- Release to PGA with ISSUE
 - Status notifications to notify the broker of government agencies involved beyond release



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