

**QUICK REFERENCE GUIDE**

**AUTOMATED COMMERCIAL ENVIRONMENT**  
**(ACE)**

**BROKER EMPLOYEE UPLOAD**



**U.S. CUSTOMS AND BORDER PROTECTION**  
**OFFICE OF INTERNATIONAL TRADE**

**VERSION 1.1**

**SEPTEMBER 2013**

## Contents

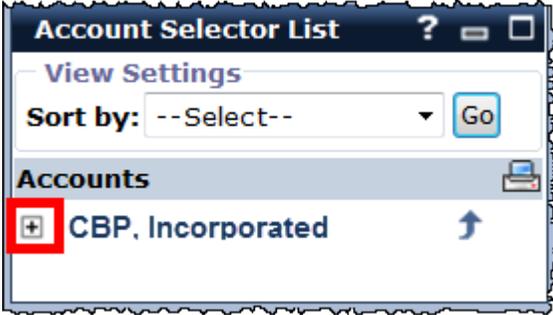
<b>Topic 1: Create and Maintain a Single Employee Record .....</b>	<b>1</b>
<b>Topic 2: Download Employee Record Template for Upload .....</b>	<b>9</b>
<b>Topic 3: View Existing Employee Uploads .....</b>	<b>12</b>
<b>Topic 4: Download Employee List for a Specific Permit.....</b>	<b>14</b>
<b>Topic 5: Download Employee List for a Specific Filer .....</b>	<b>16</b>
<b>Topic 6: Additional ACE Resources.....</b>	<b>19</b>

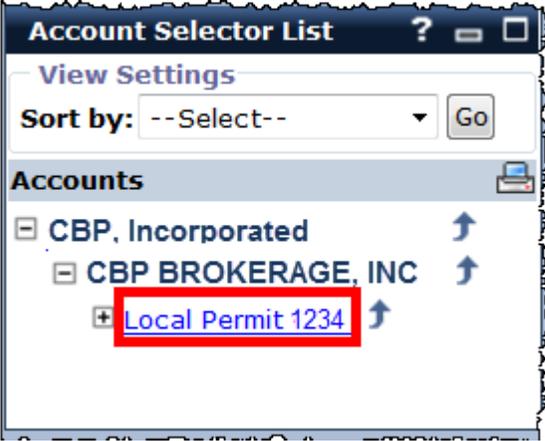
## Topic 1: Create and Maintain a Single Employee Record

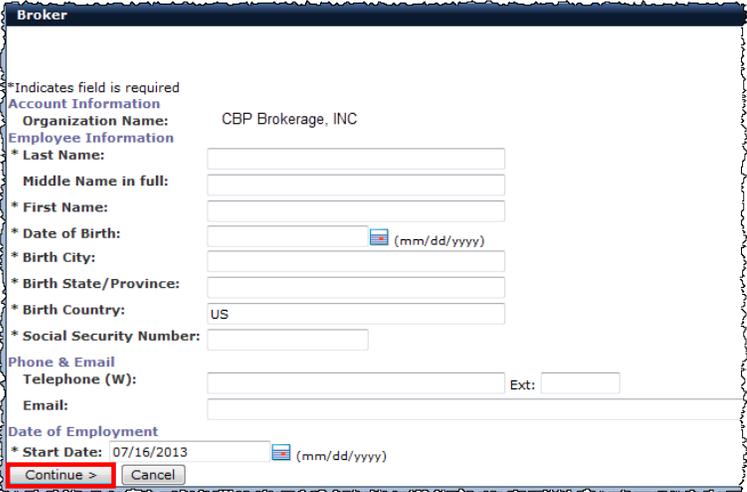
### Introduction

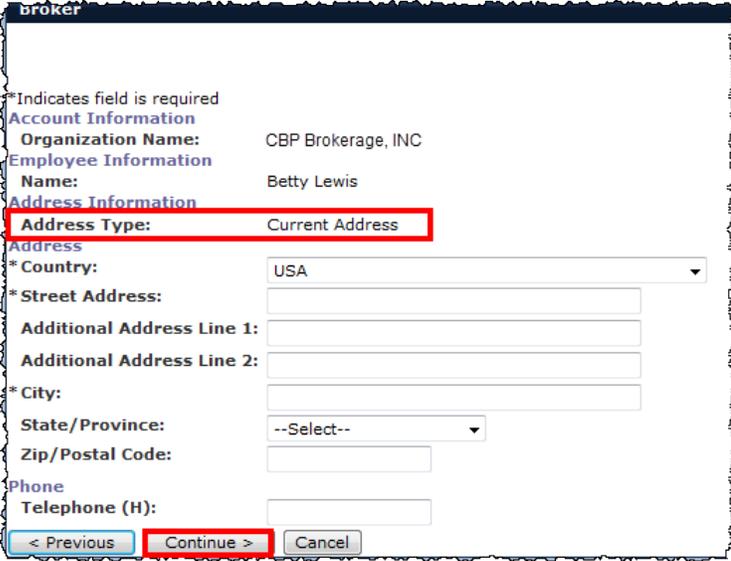
Brokers have the ability to individually create and maintain employee information in their ACE Portal Account. ACE users will navigate through a four-step process to add employee information into ACE. All required data elements are marked with an asterisk next to the respective field name. Adding employee information in the ACE Portal will allow a broker to comply with the Code of Federal Regulations (CFR) 111.

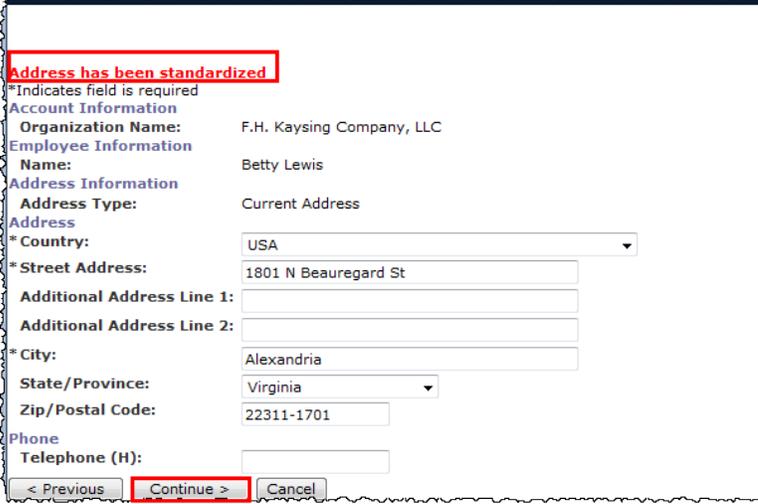
**Table 1: How to Create and Maintain Broker Employee Data**

Step	Action
1.	After logging into your ACE Portal account, select the <b>Accounts</b> tab. 
2.	From the <b>Account Selector List</b> , select the '+' next to the top account to reveal the sub accounts of the broker account. 
3.	Select the '+' next to the sub account that needs to have employee data added. 

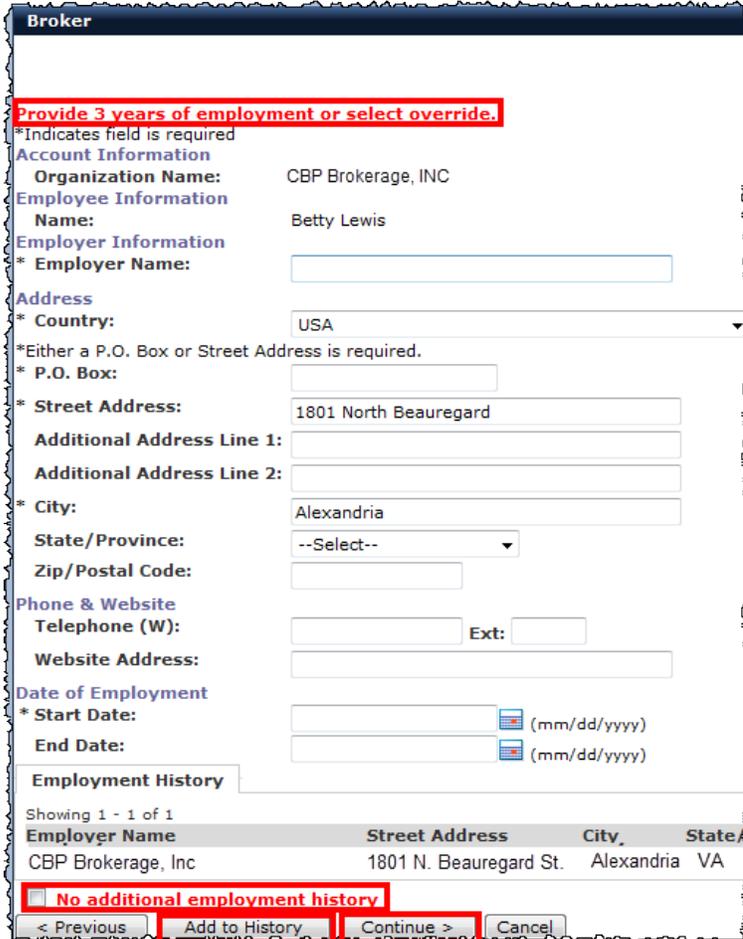
Step	Action								
4.	<p>Select the Broker permit number hyperlink associated with the new employee.</p>  <p>The screenshot shows a window titled "Account Selector List" with a "View Settings" section containing a "Sort by" dropdown menu set to "--Select--" and a "Go" button. Below this is a table of accounts:</p> <table border="1"><thead><tr><th>Account Name</th><th>Icon</th></tr></thead><tbody><tr><td>[-] CBP, Incorporated</td><td>↑</td></tr><tr><td>[-] CBP BROKERAGE, INC</td><td>↑</td></tr><tr><td>[+] Local Permit 1234</td><td>↑</td></tr></tbody></table> <p>The "Local Permit 1234" link is highlighted with a red box.</p>	Account Name	Icon	[-] CBP, Incorporated	↑	[-] CBP BROKERAGE, INC	↑	[+] Local Permit 1234	↑
Account Name	Icon								
[-] CBP, Incorporated	↑								
[-] CBP BROKERAGE, INC	↑								
[+] Local Permit 1234	↑								
5.	<p>From the <b>Broker Permit View</b> screen, select the <b>Employees</b> tab.</p>								
	 <p>The screenshot shows a navigation menu with the following items: "Business License / Certificate", "Contacts", "Addresses", "Licensed Brokers", "Employees", "Waiver Requests", and "Permit User Fees". The "Employees" link is highlighted with a red box.</p>								
6.	<p>Select the <b>Add Employee</b> hyperlink.</p>  <p>The screenshot shows a button labeled "Add Employee" with a small icon to its left. The button is highlighted with a red box.</p>								

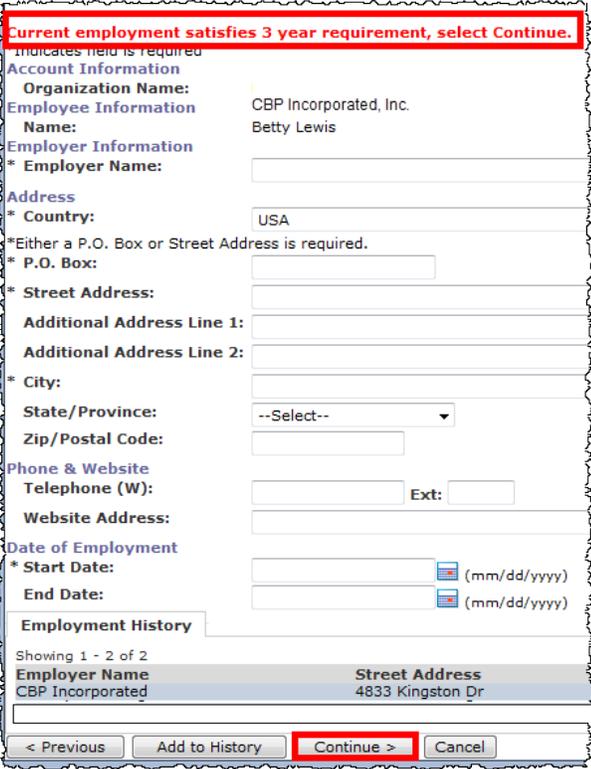
Step	Action
7.	<p>a. From the <b>Account Details</b> screen, type the following required information:</p> <ul style="list-style-type: none"><li>• <b>Last Name</b></li><li>• <b>First Name</b></li><li>• <b>Date of Birth</b></li><li>• <b>Birth City</b></li><li>• <b>Birth State/Province</b></li><li>• <b>Birth Country</b></li><li>• <b>Social Security Number</b></li><li>• <b>Start Date</b></li></ul> <p>b. Select <b>Continue</b>.</p>  <p>The screenshot shows a web form titled "Broker" with the following sections and fields:</p> <ul style="list-style-type: none"><li><b>Account Information:</b> Organization Name: CBP Brokerage, INC</li><li><b>Employee Information:</b><ul style="list-style-type: none"><li>* Last Name: [text input]</li><li>Middle Name in full: [text input]</li><li>* First Name: [text input]</li><li>* Date of Birth: [calendar icon] (mm/dd/yyyy)</li><li>* Birth City: [text input]</li><li>* Birth State/Province: [text input]</li><li>* Birth Country: US</li><li>* Social Security Number: [text input]</li></ul></li><li><b>Phone &amp; Email:</b><ul style="list-style-type: none"><li>Telephone (W): [text input] Ext: [text input]</li><li>Email: [text input]</li></ul></li><li><b>Date of Employment:</b><ul style="list-style-type: none"><li>* Start Date: 07/16/2013 [calendar icon] (mm/dd/yyyy)</li></ul></li></ul> <p>At the bottom of the form, there are two buttons: "Continue &gt;" (highlighted with a red box) and "Cancel".</p>

Step	Action
8.	<p>a. From the <b>Address Details</b> screen, type the following required <b>current</b> home address information:</p> <ul style="list-style-type: none"><li>• <b>Country</b></li><li>• <b>Street Address</b></li><li>• <b>City</b></li></ul> <p>b. Select <b>Continue</b>.</p> <div data-bbox="683 533 1414 1094"><p>broker</p><p>*Indicates field is required</p><p>Account Information Organization Name: CBP Brokerage, INC</p><p>Employee Information Name: Betty Lewis</p><p>Address Information Address Type: Current Address</p><p>Address * Country: USA</p><p>* Street Address:</p><p>Additional Address Line 1:</p><p>Additional Address Line 2:</p><p>* City:</p><p>State/Province: --Select--</p><p>Zip/Postal Code:</p><p>Phone Telephone (H):</p><p>&lt; Previous   <b>Continue &gt;</b>   Cancel</p></div> <p> <b>NOTE:</b> The country defaults to USA. Use the drop-down menu to select another country, if applicable. If using the default of USA, the state and zip code <b>are</b> required.</p>

Step	Action
9.	<p>If the current address passes validation, the message, <b>Address has been standardized</b> will be displayed.</p> <p>Select <b>Continue</b>.</p>  <p>The screenshot shows a web form with the following fields and values:</p> <ul style="list-style-type: none"><li><b>Message:</b> Address has been standardized</li><li><b>Organization Name:</b> F.H. Kaysing Company, LLC</li><li><b>Employee Information Name:</b> Betty Lewis</li><li><b>Address Information Address Type:</b> Current Address</li><li><b>Country:</b> USA</li><li><b>Street Address:</b> 1801 N Beauregard St</li><li><b>Additional Address Line 1:</b> (empty)</li><li><b>Additional Address Line 2:</b> (empty)</li><li><b>City:</b> Alexandria</li><li><b>State/Province:</b> Virginia</li><li><b>Zip/Postal Code:</b> 22311-1701</li><li><b>Telephone (H):</b> (empty)</li></ul> <p>Buttons at the bottom: &lt; Previous, <b>Continue &gt;</b>, Cancel</p>

Step	Action
10.	<p>a. From the <b>Address Details</b> screen, type the following required <b>previous</b> home address information:</p> <ul style="list-style-type: none"> <li>• <b>Country</b></li> <li>• <b>Street Address</b></li> <li>• <b>City</b></li> </ul> <p>b. Select <b>Continue</b>.</p> <div data-bbox="716 531 1382 1024" data-label="Form"> </div> <p> <b>NOTE:</b> The country defaults to USA. Use the drop-down menu to select another country, if applicable. If using the default of USA, the state and zip code <b>are</b> required.</p>
11.	<p>If the previous address passes validation, the message, <b>Address has been standardized</b> displays.</p> <p>Select <b>Continue</b>.</p> <div data-bbox="748 1346 1357 1833" data-label="Form"> </div>

Step	Action
12.	<p>a. From the <b>Employer History Details</b> screen, type the following required information:</p> <ul style="list-style-type: none"> <li>• <b>Employer Name</b></li> <li>• <b>Country</b></li> <li>• <b>P.O. Box</b></li> <li>• <b>Street Address</b></li> <li>• <b>City</b></li> <li>• <b>Start Date</b></li> </ul> <p>b. Select the <b>Add to History</b> Button.</p> <p>OR</p> <p>c. If the Employer history is three years or more, or if this employment history does not apply, select the <b>No additional employment history</b> checkbox to override.</p> <p>d. Select <b>Continue</b>.</p> 

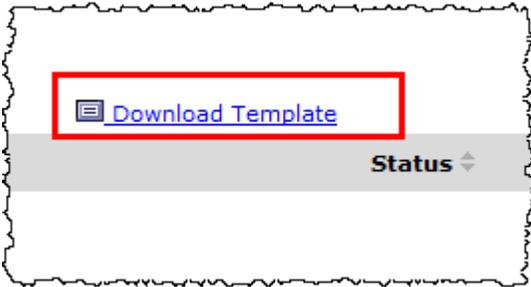
Step	Action
13.	<p>If successful with the three year requirement, the following message: <b>Current employment satisfies 3 year requirement, select Continue</b> displays. Select <b>Continue</b>.</p>  <p><b>NOTE:</b>  If the Zip Code entered only contains 6 digits instead of the zip code plus 4, ACE will add the 4 digits automatically and display, <b>Address has been standardized</b> message.</p>
14.	<p>Review the employee information. If information needs to be changed, select <b>Previous</b>. If the information is correct, select <b>Save</b>.</p> 

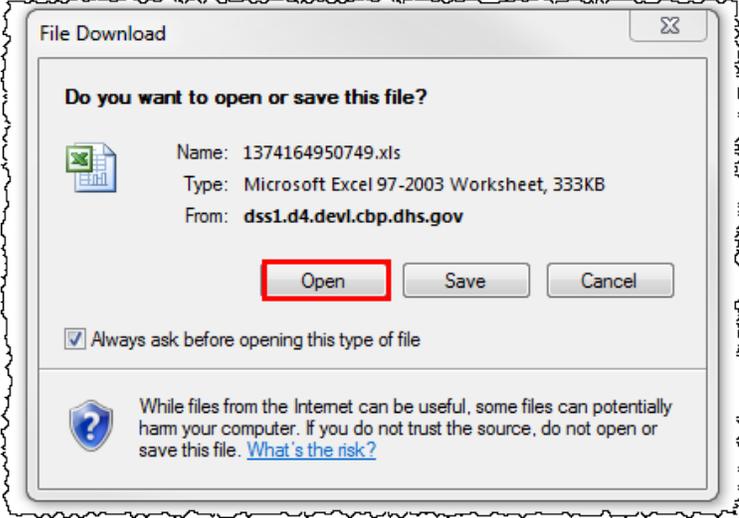
## Topic 2: Download Employee Record Template for Upload

### Introduction

ACE provides a quick and easy way to download a template to add, edit, and delete multiple employee records in an account simultaneously. The template can be saved to your computer and retrieved for easy access or to make updates to employee record data.

**Table 2: How to Download the Employee Template**

Step	Action
1.	From the <b>Broker Permit View</b> screen, select the <b>Employees</b> tab.
	
2.	Select the <b>Upload Employees</b> button. 
3.	Select the <b>Download Template</b> hyperlink. 

Step	Action
4.	<p>Select the <b>Open</b> button to open the blank template.</p>  <p> <b>NOTE:</b> The blank template displays.</p> 
5.	<p>Save the blank template to your computer by selecting from the Main Menu:</p> <ol style="list-style-type: none"> <li>a. <b>File</b></li> <li>b. <b>Save As</b></li> </ol> 

Step	Action
6	<p>Open the saved template to enter broker employee data.</p> <ul style="list-style-type: none"><li>a) Use the keyboard shortcut (Ctrl+S) to save the file. Two files, an Excel 97-2003 Workbook (*.xls) and a Comma Delimited (CSV) (*.csv) will be automatically created to your designated location.</li><li>b) If a SECURITY WARNING displays, <b>Macros have been disabled</b>, please select the <b>Enable Content</b> button.</li></ul> <div data-bbox="722 531 1380 1039" style="border: 2px solid red; padding: 5px;"><p>Save as type: Excel 97-2003 Template (*.xlt)</p><p>Authors:</p><ul style="list-style-type: none"><li>Excel Workbook (*.xlsx)</li><li>Excel Macro-Enabled Workbook (*.xlsm)</li><li>Excel Binary Workbook (*.xlsb)</li><li>Excel 97-2003 Workbook (*.xls)</li><li>XML Data (*.xml)</li><li>Single File Web Page (*.mht;*.mhtml)</li><li>Web Page (*.htm;*.html)</li><li>Excel Template (*.xltx)</li><li>Excel Macro-Enabled Template (*.xltm)</li><li>Excel 97-2003 Template (*.xlt)</li><li>Text (Tab delimited) (*.txt)</li><li>Unicode Text (*.txt)</li><li>XML Spreadsheet 2003 (*.xml)</li><li>Microsoft Excel 5.0/95 Workbook (*.xls)</li><li>CSV (Comma delimited) (*.csv)</li></ul></div> <p> <b>NOTE:</b> The CSV file will be used to upload broker employee data into the ACE Portal. To review the .csv file, please use your computer's Notepad application instead of the Excel application.</p>

## Topic 3: View Existing Employee Uploads

### Introduction

The ACE portal allows for the review of all uploaded employee data. ACE will provide feedback if the upload was successful or occurred with errors or warnings to allow for review and the ability to make corrections.

**Table 3: How to View Existing Employee Uploads**

Step	Action
1.	From the <b>Broker Permit View</b> screen, select the <b>Employees</b> tab.



2.	Select the <b>View Uploads</b> button.
3.	Select the <b>Batch Sequence #</b> hyperlink you would like to view.



Step	Action																
4.	<p>ACE displays the record file and provides:</p> <ul style="list-style-type: none"><li>• Total # of Records</li><li>• Total # of Successes</li><li>• Total # of Warnings</li><li>• Total # of Errors</li><li>• Detail information on any warnings or errors for updates.</li></ul> <p>Select:</p> <p>a. <b>Ok</b> if there are no warnings or errors.</p> <p>OR</p> <p>b. The <b>Original File</b> hyperlink to view any warnings or correct errors.</p> <div data-bbox="673 768 1442 1129" style="border: 1px solid black; padding: 5px;"><p><b>Broker</b></p><p><u>Update Employees Submission</u></p><table><tr><td>Batch Sequence #: 0000000178</td><td>Status: Complete</td></tr><tr><td>Submit Date/Time: 07/22/2013 2:58 PM</td><td>Submitted By: <a href="#">John Jay</a></td></tr><tr><td>Purge Date: 10/20/2013</td><td>Original File: <a href="#">employee_records.csv</a></td></tr></table><p><u>Update Employees Results</u></p><table><tr><td>Total # of Records:</td><td>157</td></tr><tr><td>Total # of Successes:</td><td>157</td></tr><tr><td>Total # of Warnings:</td><td>0</td></tr><tr><td>Total # of Errors:</td><td>0</td></tr><tr><td colspan="2">Warning/Error Detail:</td></tr></table><p><input type="button" value="OK"/></p></div> <p> <b>NOTE:</b> File upload size must be less than or equal to 20971520 bytes (20MB).</p>	Batch Sequence #: 0000000178	Status: Complete	Submit Date/Time: 07/22/2013 2:58 PM	Submitted By: <a href="#">John Jay</a>	Purge Date: 10/20/2013	Original File: <a href="#">employee_records.csv</a>	Total # of Records:	157	Total # of Successes:	157	Total # of Warnings:	0	Total # of Errors:	0	Warning/Error Detail:	
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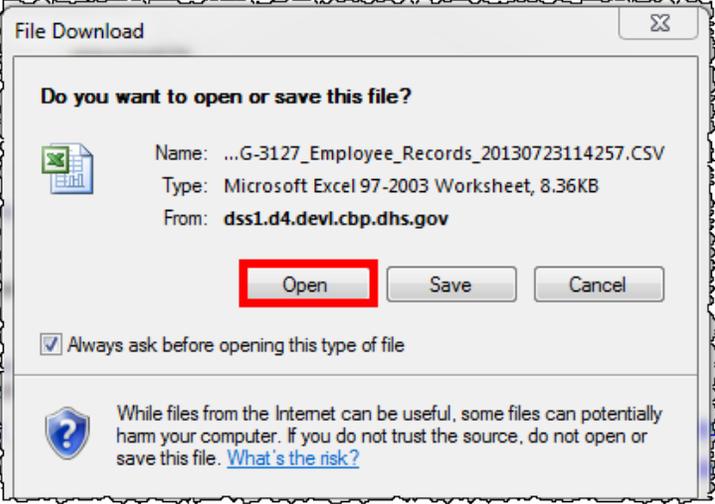
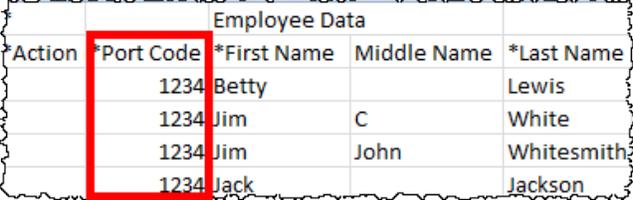
## Topic 4: Download Employee List for a Specific Permit

### Introduction

ACE allows for the download of employee records associated with a port code for a specific permit.

**Table 4: How to Download Employee List for a Specific Permit**

Step	Action
1.	Drill down the <b>Account Selector List</b> until you find the specific permit associated with the employees you wish to download. <div data-bbox="792 600 1308 1010" style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p>The screenshot shows a window titled 'Account Selector List'. Below the title bar is a 'View Settings' section with a 'Sort by:' dropdown menu set to '--Select--' and a 'Go' button. Underneath is an 'Accounts' section with a tree view. The tree shows 'CBP, Incorporated' expanded to show 'CBP BROKERAGE, INC', which is further expanded to show 'Local Permit 1234'. The 'Local Permit 1234' text is highlighted with a red rectangular box.</p> </div>
2.	From the <b>Broker Permit View</b> screen, select the <b>Employees</b> tab. <div data-bbox="175 1125 1443 1266" style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p>The screenshot shows a navigation bar with several tabs: 'Contacts', 'Addresses', 'Licensed Brokers', 'Employees', 'Waiver Requests', and 'Permit User Fees'. The 'Employees' tab is highlighted with a red rectangular box.</p> </div>
3.	Select the <b>Download Current</b> tab. <div data-bbox="899 1339 1198 1409" style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p>The screenshot shows a button labeled 'Download Current' with a small icon to its left. The button text is highlighted with a red rectangular box.</p> </div>

Step	Action
4.	<p>Select <b>Open</b>.</p>  <p><b>NOTE:</b> The spreadsheet displays with the employees associated with the port based on the selection of the local permit number in step 1.</p> 
5.	<p>If desired, save the spreadsheet to your computer by selecting from the Main Menu:</p> <ol style="list-style-type: none"> <li>a. <b>File</b></li> <li>b. <b>Save As</b></li> </ol> 

## Topic 5: Download Employee List for a Specific Filer

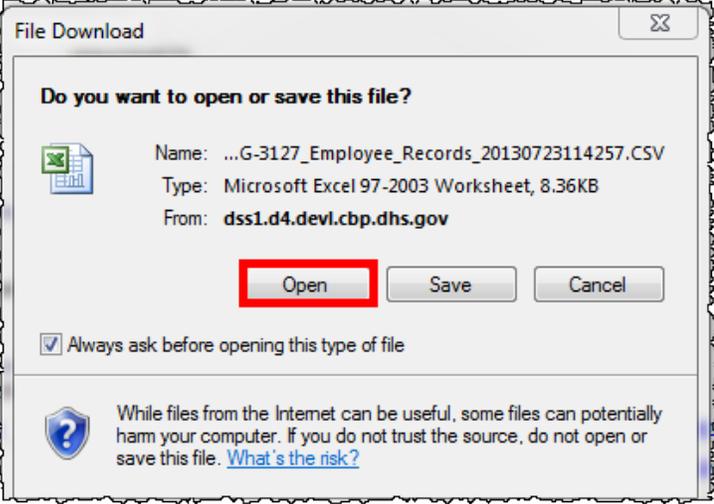
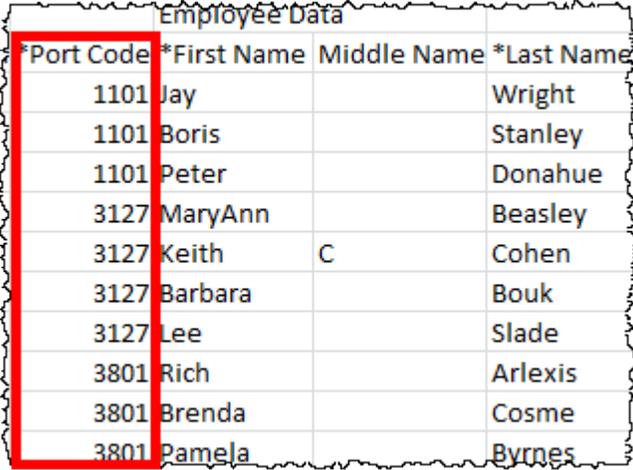
### Introduction

There are certain trade accounts that may have multiple filers at different ports. ACE provides a way for brokers to view all employees associated with the account regardless of the assigned port.

**Table 5: How to Download an Employee List for a Specific Filer**

Step	Action
1.	<p>Drill down the <b>Account Selector List</b> and select the <b>+</b> sign next to the sub-account to list the permits associated with the filer.</p> 

Step	Action
2.	Select the <b>Local Permit</b> hyperlink in the <b>Account Selector List</b> . 
3.	From the <b>Broker Permit View</b> screen, select the <b>Employees</b> tab. 
4.	Select the <b>Download All</b> tab. 

Step	Action
5.	<p>Select <b>Open</b>.</p>  <p> <b>NOTE:</b> The spreadsheet displays with all the names of employees associated to the filer regardless of the selection of local permit number.</p> 
6.	<p>If desired, save the spreadsheet to your computer by selecting from the Main Menu:</p> <ol style="list-style-type: none"> <li>a. <b>File</b></li> <li>b. <b>Save As</b></li> </ol> 

## Topic 6: Additional ACE Resources

### Introduction

For additional information on web-based training and documentation relating to trade functionality, please visit the ACE Modernization home page at :

[http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace\\_welcome/](http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/)

The screenshot shows the CBP.gov website with the following content:

- Header:** CBP.gov Securing America's Borders. Navigation menu: About CBP, Newsroom, Border Security, Trade, Travel, Careers. Search bar with "GO" button.
- Trade Section:** Home / Trade / Automated Systems And Operational Support / ACE: Modernization Information Systems /
- Trade Navigation:** Trade, Automated Systems and Operational Support, Basic Importing and Exporting, Cargo Security, Legal Decisions/Publications, Priority Trade Issues, Quicklinks, Trade Transformation, Trade Outreach, Trade Programs.
- ACE Training and Reference Guides:**
  - ACE Web-based training and step-by-step procedural instructions guide account holders through creating an electronic manifest, running reports and utilizing account management features via the ACE Secure Data Portal.
  - For more specific help or assistance on the ACE Secure Data Portal, call Technology Support at 1-866-530-4172 or e-mail [ACE.Support@cbp.dhs.gov](mailto:ACE.Support@cbp.dhs.gov).
  - Create and Maintain Ocean Conveyances** (08/02/2012): Provides instructions on creating, maintaining and viewing ocean conveyance records via the ACE Portal. (pdf - 476 KB.)
  - ACE Resources for the Trade** (02/06/2013): Provides a comprehensive list of training resources available to assist in using the features of the ACE Secure Data Portal. (pdf - 2,971 KB.)
  - ACE Portal Navigational Changes & Changes That Accommodate the Western Hemisphere Travel Initiative (WHTI)** (04/29/2009): On April 12 changes will be made to the ACE Portal screens that will create new ways for carriers to navigate through the Portal. On April 26 ACE will deliver new screens that will accept new WHTI compliant travel document types. This presentation shows both sets of new screens. For Accessibility information: [OIT508CONTACT@cbp.dhs.gov](mailto:OIT508CONTACT@cbp.dhs.gov). (pdf - 1,473 KB.)
  - e-Manifest: Rail and Sea (M1): In-Bond Authorization User Guide** (05/30/2012)
- Search ACE Training and Reference Guides for:** (Search bar with "GO" button)
- section sitemap for ACE Training and Reference Guides**
- see also:**
  - in ACE: Modernization Information Systems:**
    - Benefits of ACE Entry Summary Filing (pdf - 4,305 KB.)
    - Importance of the Single Window (jpg - 1,587 KB.)
    - Accelerating ACE At a Faster Pace (pdf - 2,596 KB.)
    - Video: ACE: Fulfilling the Promise of Automated Trade Processing
    - What's New with ACE?
    - What is ACE?
    - Exports
    - ...more
  - on cbp.gov:**
    - Application Procedures for Electronic Truck Manifest Via EDI
    - In-Bond Guide for ACE Electronic Truck Manifest (doc - 230 KB.)
    - Cargo Systems Messaging Service
    - Create and Maintain Ocean Conveyances (pdf - 476 KB.)
- Report Suspicious Activity to 1-800-BE-ALERT**
- E-ALLEGATIONS Online Trade Violation Reporting System**
- What's New in Trade**

For more specific help or assistance on the ACE Secure Data Portal, call Technology Support at 1-866-530-4172 or e-mail [ACE.Support@cbp.dhs.gov](mailto:ACE.Support@cbp.dhs.gov).