

Automated Commercial Environment Software Developer's Technical Seminar (ABI)

Charles Woods
John Vandegrift

March 8, 2012



U.S. Customs and
Border Protection



Seminar Presenters/Discussants

- **Susan Maskell, CBP**
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Seminar Ground Rules

- Introductions - audience
- Name badges
- Informal session
- Please ask questions – anytime – when you have it
- Use a hand held microphone when doing so
- Copies of ACE ABI CATAIR
- Administrative issues



Seminar Agenda

7:30 am – 8:30 am	CONTINENTAL BREAKFAST
8:30 am – 9:00 am	ACE Entry Summary Processing Overview and Documentation Review <i>Chuck Woods</i>
9:00 am – 9:30 am	ACS to ACE Transition Topics <i>Chuck Woods</i>
9:30 am – 10:00 am	ACE Batch and Block Control <i>Chuck Woods</i>
10:00 am – 10:15 am	BREAK
10:15 am – 12:00 am	Entry Summary Create/Update <i>Chuck Woods and John Vandegrift</i>
12:00 pm – 1:00 pm	LUNCH
1:00 pm – 2:00 pm	Post Summary Corrections (PSC) <i>Chuck Woods</i>
2:00 pm – 2:30 pm	ACE Business Rules and Process Document <i>Laurie Dempsey</i>
2:30 pm – 2:45 pm	BREAK
2:45 pm – 3:00 pm	Entry Summary Query <i>Chuck Woods</i>
3:00 pm – 3:30 pm	Entry Summary Status Notification <i>Chuck Woods</i>
3:30 pm – 3:45 pm	Census Warning Overrides/Query <i>Chuck Woods</i>
3:45 pm – 4:15 pm	AD/CVD Case Information Query <i>Chuck Woods</i>
4:15 pm – 5:00 pm	Trade Testing Process <i>Client Representatives</i>
5:00 pm – 5:30 pm	WRAP UP/Discussion



ACE Entry Summary Processing and Related - Functional Overview

- ACE Entry Summary Requirements
- ACE Entry Summary Data Validations
- Operational Impacts
- Other Functional Processes
- Additional Information and Assistance



ACE Entry Summary Requirements

- Basic requirements for filing an ACE Entry Summary “AE”:
 - Must be made via ABI and Filer must be ACE Trade Participant
 - Filers using software already approved by CBP do not have to test
 - Entry type must be an 01, 03 or 11
 - ACE entry summaries are paperless (unless documents are subsequently requested)
 - Entry summaries processed in ACE are required to be scheduled for a statement (Preliminary Daily Statement or Periodic Daily Statement)
 - ACS and ACE entry summaries will be commingled on the same daily statements
 - Statement payments for entry summaries filed in ACS or ACE will be processed in ACS
 - Entry summaries filed in ACS or ACE will be able to be removed from a statement using the statement delete (HP) application identifier in ACS
 - If an ACE entry summary is removed from a statement, the single entry payment will be processed in ACS



ACE Entry Summary Data Validations

- Fewer number of validations in ACE for the entry summary AE transaction
- This policy direction was based on:
 - Original language from the Mod Act of 1993
 - Decisions made by the CBP Modernization Board of Directors
- CBP has placed more emphasis on the expected accuracy of the entry summary data as filed by trade participants.
- Hundreds of validations still performed in ACE



ACE Entry Summary Data Validations (Continued)

- Types of ACE entry summary validations:
 - Syntax checks to determine that the ABI message can be processed
 - Header edits to accurately identify parties, bonds, dates, and locations
 - Line validations to ensure codes are correct; countries, HTS, etc.
 - Totals validations to ensure sums reported add up correctly
 - Any validation critical to placing data in data bases
 - Extensive validations for AD/CVD filing
 - PGA validations (Census and FCC)
 - There are no changes to cargo release transaction processing validations (including those performed for FDA and NHTSA (DOT) data when filed)



ACE Entry Summary Data Validations (Continued)

- Types of entry summary validations not performed in ACE:
 - Informal entry type value rules and restrictions
 - Rules for tariff classification, country or origin restrictions, and special programs claims
 - Duty assessment and computation
 - Merchandise processing fee assessment and computation
 - Harbor maintenance fee assessment and computation
 - Internal Revenue Service tax assessment and computation
 - Other government agency's fees assessments and computation
 - Licenses, permits and certificates rules and restrictions
 - Tariff usage restrictions (primarily for seasonal products) and unit price restrictions
 - Shipping charges rules and restrictions



Operational Impacts

- The trade may send entry type 01, 03, and 11 entries to either ACE or ACS which means that CBP and the Trade will be operating in 2 systems
- Entry summary maintenance (your EDI or online for CBP users) will occur in the system of origin (either ACE or ACS); for example:
 - Maintenance of type 01, 03, and 11 entry summaries for ACE filers will occur in ACE
 - Maintenance of other entry types for the same filer (or entry types 01, 03, and 11 filed in ACS) will occur in ACS
- Entry summary status, payment, liquidation, cargo release, and other applicable information for type 01, 03, and 11 entry summaries for ACE filers, will be interfaced between ACS and ACE
- Data for ACE Secure Data Portal entry summary reports will be extracted from both ACE and ACS systems.
- ABI responses for ACE entry summary queries will be extracted only from ACE. (Entry summary queries for ACE ES may continue to be preformed in ACS.)



Other ACE Entry Summary Related Functional Processes

- “Documents Required” Processing
 - This is a new, streamlined CBP process for requesting documentation from the trade community.
- Census Warning Processing
 - New process by which the trade community can electronically resolve Census warnings through the submission of an override code for entry summaries prior to or after receiving a Census warning message through ABI.
- New Opportunities Associated with CBP Forms via the ACE Secure Data Portal
 - Automation of forms, imaging and the utilization of the ACE Secure Data Portal to communicate CBPF 28’s, 29’s and 4647’s and associated attachments.
- CBP Team Review
 - Tools to capture what CBP users have done to validate a transaction, multiple transactions or an account. The tool will capture findings, referrals and dispositions.
- Post summary correction entry summary filing replaces PEAs



Additional Information and Assistance

- CBP Office of International Trade
 - ACE Business Rules and Process Document
 - ACE Entry Summary Instructions
 - ACE Entry Summary Rejection Response
- ACE Entry Summary Topics and Issues Conference Call
 - Issues list maintained and distributed
 - Mondays at 2:00 Eastern time
- Client Representatives





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ACE Entry Summary Process and Policy

The ACE Entry Summary Process document outlines the entry summary workflow in ACE. The ACE Entry Summary Instruction document provides entry summary field descriptions and data requirements. These documents will be updated periodically.

- [ACE Entry Summary Instructions](#)

- 03/08/2011

For Accessibility Information: OT508CONTACT@dhs.gov

 [pdf - 309 KB.](#)

- [ACE Entry Summary Business Process](#)

- 05/17/2011

Trade Version

For Accessibility Information: OT508CONTACT@dhs.gov

 [pdf - 348 KB.](#)

- [ACE Entry Summary Rejection Response](#)

- 05/16/2011

Filers may use this form to provide comments to CBP regarding a rejected ACE entry summary.

For Accessibility Information: OT508CONTACT@dhs.gov

 [doc - 434 KB.](#)

Search ACE Entry Summary Process and Policy for:

[section sitemap for ACE Entry Summary Process and Policy](#)

see also:

[in Entry Summary:](#)

[Merchandise Processing Fee Increase](#)

[Guidance: CBP Forms 28 and 29 Language](#)

[Memorandum: Revised Guidance on the Classification of Festive Articles \(pdf - 600 KB.\)](#)

[CBP Form 7501](#)

[First Sale Declaration Requirement](#)

[General Information on Post Entry Amendments \(PEA\)](#)

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Open ACE Programming Issues

- [ACE Entry Summary and Related Programming Issues](#)

- 11/03/2011

For Accessibility Information: OT508CONTACT@dhs.gov

[xls - 388 KB.](#)

- [e-Manifest: Trucks PTRs](#)

- 04/04/2011

[xls - 18 KB.](#)

Search *Open ACE Programming Issues* for:

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see also:

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[ACE e-Manifest: Rail and Sea](#)

[Cargo Systems Messaging Service](#)

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News Feeds

ACE ABI CATAIR Documentation

Overview

- Purpose
 - Describe processes, procedures, and transition topics
 - Record layouts and other technical details
- New ABI CATAIR for ACE
- Organized into 5 sections – as presented in the ACE ABI CATAIR Table of Contents and CBP.GOV Website
 - Overview
 - Introduction and Getting Started
 - ACS to ACE Transition Topics
 - Chapters
 - ACE ABI transactions
 - Appendices
 - Error Dictionary
 - Change Record





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ACE ABI CATAIR

▶ **Getting Started Filing ABI Data in ACE**
Information to establish and support electronic information filed through ACE, including ACS to ACE transition topics.

- **Download All Sections of the ACE ABI CATAIR**
- 06/17/2011
For Accessibility Information: OIT508CONTACT@cbp.dhs.gov

zip - 6,187 KB.

▶ **Change Records**
Summary of changes to the ACE ABI CATAIR chapters and related documents - by year.

▶ **ACE ABI CATAIR Chapters**
The chapters included in the initial release of the ACE ABI CATAIR.

▶ **ACE ABI CATAIR Appendices**
The appendices to the chapters included in the initial release of the ACE ABI CATAIR.

▶ **ACE ABI CATAIR Material for Future Ocean/Rail Manifest Processing**
- 08/25/2010
ACE ABI CATAIR chapters and other reference information for the future release of ACE Ocean/Rail Manifest Processing.

- **ACE ABI CATAIR Error Dictionary**
- 06/17/2011
Error dictionary for ACE entry summaries
 xls - 130 KB.

Search ACE ABI CATAIR for:

GO

section sitemap for
ACE ABI CATAIR

see also:

▶ on cbp.gov:
[ABI User Requirements \(CATAIR\)](#)



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What's New
in Trade

CATAIR Documentation Overview (Continued)

- Chapter table of contents – point and click link to the text
- Table of changes – in each chapter
- Location of ACE ABI CATAIR
 - www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/catair_main/abi_catair
- Cargo Systems Messaging Service (CSMS) – messages issued when revisions are made
- Record layout key – Appendix Q



CATAIR Documentation Overview (Continued)

- ACE ABI CATAIR (Entry Summary and related chapters)
 - ACS to ACE Transition Topics
 - ABI Batch & Block Control
 - Entry Summary Create/Update (AE/AX)
 - Entry Summary Query (JC/JD)
 - Entry Summary Status Notification (UC)
 - Cargo Release (Certified from an ACE Entry Summary) (HD)
 - Census Warning Override (CW/CO)
 - Census Warning Query (CJ/CL)
 - AD/CVD Case Information Query (AD/AC)
 - Importer/Consignee Create/Update (TI/TR)
 - Importer/Bond Query (KI/KR)



ACS to ACE Transition Topics

- Entry summary filing in ACE
- Entry summary query
- Entry type change processing
- Entry summary status notification
- Deleting an ACE entry summary from a statement
- Cargo release certified from an ACE entry summary



ACS to ACE Transition Topics (continued)

- Border releases for shipments subject to FDA or DOT
- Electronic invoice processing
- Census Warning Override
- Census Warning Query
- AD/CVD Case Information Query
- Importer/Consignee name and address update
- Importer/Bond Query



Entry Summary Entry Type Change Processing

- An entry summary can only be active on one system, ACE or ACS
- Only entry summary types 01, 03, or 11 accepted in ACE
- Entry type change is needed (01 to 11 is okay in ACE, but for 01 to 02 – ACS is needed)
- First, attempt to delete the entry summary from ACE (may still be in trade control)
 - If successful, then file the entry summary in ACS with correct entry type
- If not successful, then contact a CBP entry or import specialist in the appropriate port
- CBP user will reject and inactivate the ACE entry summary
 - Filer will receive an Entry Summary Status Notification (UC) indicating that the entry summary has been rejected
 - CBP user will set the ACE entry summary to inactive status in ACE and the filer will also receive a UC indicating that the entry summary has now been inactivated in ACE
- File the entry summary in ACS (app id EI) with the correct entry type



Deleting an ACE Entry Summary from a Statement

- ACE entry summaries are also stored in ACS for processes not yet deployed in ACE
- ACE entry summaries must be scheduled for a statement
- ACS and ACE entry summaries will appear on the same statement
- Rare occasions – remove an entry summary from a statement:
 - To move the entry summary to a different statement, or
 - To pay individually with a check.
- Exception basis only – not the normal mode
- Use the “Statement Delete” (HP) transaction in ACS



Border Releases for Shipments Subject to FDA or DOT

- Border release includes:
 - Free and Secure Trade (FAST)
 - Border Release and Selectivity System (BRASS)
 - Rail line release
- If the shipment is released under a border release subject to FDA or DOT – must be filed in ACS.
- For shipments released under a border release program:
 - ACE will not accept any FDA or DOT data
 - AX response from ACE – entry summary must be filed in ACS
- However, an entry summary may be filed in ACE for a shipment released under a border release program as long as it has no FDA or DOT data.



Electronic Invoice Processing

- For ACE entry summaries:
 - ACS will continue to receive, process, and store electronic invoices
 - Continue to use CI transaction
- ACE entry summary header record includes the Electronic Invoice Indicator
- ACE entry summary line item grouping includes a unique record to report invoice number and invoice line reference details
- A CBP user or ACE (automatically) may request invoices
- Filers will receive these requests via ABI through the Entry Summary Status Notification (UC) message
- ACE entry summary database includes an invoice status field
- When the electronic invoice is filed in ACS, ACS will send an update of the invoice status to ACE



Importer/Consignee Name and Address Update Process

- Previously titled CATAIR chapter “Add CBPF-5106 to Importer/Consignee File”
- New ACE ABI CATAIR title “Importer/Consignee Create/Update”
- No change to technical specifications, that is, no changes were made to:
 - Application identifiers
 - Record identifiers
 - Record formats and data elements
- Chapter was revised and reissued to meet new ACE ABI CATAIR documentation guidelines and to better explain the process



Importer/Bond Query

- Previously titled CATAIR chapter “Query Importer/Bond”
- New ACE ABI CATAIR title “Importer/Bond Query”
- No change to technical specifications, that is, no changes were made to:
 - Application identifiers
 - Record identifiers
 - Record formats and data elements
- Chapter was revised and reissued to meet new ACE ABI CATAIR documentation guidelines and to better explain the process



ACE ABI CATAIR

- ACE - Automated Commercial Environment
- ABI - Automated Broker Interface
- CATAIR - Customs and Trade Automated Interface Requirements
- Proprietary input and output record formats



ACE ABI Batch & Block Control

- New CATAIR chapter for ACE
- ACE batch and block control requirements are similar to, but not identical to that for ACS
- Input and output batch and block control record descriptions can be found in the ACE ABI CATAIR chapter
- ACE will always return a syntactically correct response
- ACE generated batch and block control records may be returned when input syntax issues occur



ACE ABI Batch & Block Control (Continued)

- Batch Control (A & Z Records)
- Application identifier (app id) is required in the ACE A-record, positions 26-27 (not required in ACS)
- May submit more than one batch in a transmission
- User data text may be submitted in the A-record in positions 60-80 (ACS 70-80)
- Password is not required in the Z-record
- Z-record data elements must exactly match those submitted in the A-record



ACE ABI Batch & Block Control (Continued)

- Block Control (B & Y Records)
- B-record block number not required in positions 2-3
- B-record positions 13-44 are space fill (ACS uses are conditional for statement data, IR, etc.)
- User data text may be submitted in the B-record in positions 60-80
- Y-record count of records (positions 13-17) not required
- Y-record positions 18-41 are space fill (ACS uses are conditional for duty and tax)
- Y-record data elements must match those in the B-record



ACE ABI Batch & Block Control (Examples)

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-  
APORTFLRPASSWDMDDYY      AP                      USER DATA TEXT  
B  PORTFLRAP                      USER DATA TEXT
```

...transaction records suppressed

```
Y  PORTFLRAP  
ZPORTFLR      MDDYY  
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

Example with codes and text.

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-  
A0901FLRPASSWD011212      AE                      This is a test  
B  3801FLRAE                      Line 2 of my text
```

...transaction records suppressed

```
Y  3801FLRAE  
Z0901FLR      011212  
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```



ACE ABI Batch & Block Control – Outstanding Issues

- ESAR Issue 104 - Multiple batch transmissions only processing first batch.
 - ACE only processes the first A-Z batch – fix forthcoming
- ESAR Issue 199 - Multiple Entry Summary Queries in a Batch Not Processed in ACE
 - ACE should reject for "MULTIPLE QUERIES IN BATCH NOT ALLOWED"
- ESAR Issue 708 - ACE Entry Summaries Rejected In Error for RLF Verification
 - Non-RLF following RLF blocks rejected – workaround is to segregate RLF and non-RLF batches until the issue is fixed



ACE CATAIR Syntax and Messaging Rules

- Performed at the batch level (A-Z envelope)
- These 7 validations help ensure message structure and message integrity
 1. Unrecognizable transaction rule – ensures that a transaction starts with its primary header record (batch failures occur for examples such as no records between a B-Y block, no 10-record, and no 10-record or Y-record following a 90-record)
 2. Unknown record identifier rule – ensures that the record control identifiers (i.e. record type) are known to the transaction type
 3. Record sequence rules – ensure that the order of submitted records does not violate the order specified in the CATAIR (batch failures occur when an unexpected but valid record type is encountered, such as a 21-record following a 10-record but before a 20-record in an AE)



ACE CATAIR Syntax and Messaging Rules (Cont.)

4. Record loop repeat rules – ensure that submission of a repeating record or group has not been exceeded (for example, too many 50-records (8) for a 40-record)
 5. Missing data element rule – ensures that a known record type has at least one data element in it (and is not a blank record along with the record identifier)
 6. Contiguous item repeat rule – ensures that data elements, reported side-by-side on a single input record, are left justified (such as PSC reason codes in the 35-record or PGA disclaimer codes in the OA-record are contiguous to the previous code in the record and left justified)
 7. Non-space data in filler field rule – ensures that only space is submitted in any data element marked in the CATAIR as filler
- CBP is planning to eliminate syntax validation number 5 in its entirety (downstream ACE entry summary business validations will identify/reject these omissions)



Entry Summary Create/Update

- Initial release of entry summary processing, only entry types 01, 03, and 11.
- Input application identifier code is AE, output is AX.
- Input records are better organized and include more descriptive filing instructions.
- Output is focused on the area(s) of concern (with conditions) and does not simply echo the input.
- Completely supersedes the Entry Summary chapter of the ACS ABI CATAIR (for an entry summary submitted to ACE).
- Detailed, lengthy, invaluable information contained in the Usage Notes – back of the chapter



Entry Summary Create/Update

- ACE AE Input Records / Record Groupings
 - Entry Summary TRANSACTION Header Grouping (10- thru 36-Records).
 - Entry Summary LINE ITEM Grouping (40- thru CW02-Records).
 - Entry Summary PGA Grouping (OI-, OA-, FCxx-, FDxx-, DTxx-Records).
 - Entry Summary TOTALS Grouping (88- thru 90-Records).
- ACE AX Output Records / Record Groupings
 - Output Response 'Signpost' & Hierarchy (E0-Record).
 - Output Response Condition (E1-Record).
 - Output Response Final Disposition (E1-Record).
- Entry summary versioning in ACE (major & minor versions)
- ACE AE / AX Scenarios & Examples (Input / Output).



Entry Summary Create/Update

- **Entry Summary Filing (ACS EI to ACE AE Feature Comparison):**
 - (A) EDI Messaging Standard.
 - (B) Batching and Blocking Entry Summary Transactions.
 - (C) Entry Summary Transaction Application ID.
 - (D) Trade Documentation.
 - (E) Entry Summary Transaction Syntax Evaluation.
 - (F) Other Entry Summary Data Normalization.
 - (G) Entry Summary 'Actions'.
 - (H) Response to an Entry Summary Transaction.
 - (I) Entry Type / ACS-to-ACE Crossover.
 - (J) Entry Summary Program Support.



ACE Entry Summary – Outstanding Issues

- ESAR Issue 301 – ACE RLF entry summary rejected in error for "RLF REQUIRES CARGO RLSE CERTIFICATION".
 - GIF created to not require for second and subsequent submissions
- ESAR Issue 304 – Error in Validation of DOT Records in an ACE Entry Summary Batch Transaction.
 - More that 999 DOT records in an AE (not per entry summary) rejected
- ESAR Issue 357 – ACE ES Rejected in Error for Article Set Validation.
 - Conventional articles following a set – rejected in error
- ESAR Issue 380 – ACE Entry Summary Not Rejected for Overlapping Invoice Data.
 - Invoice line range overlap in AE 42-records not rejected



ACE Entry Summary – Outstanding Issues (Continued)

- ESAR Issue 408 – ACE System Failures
 - Should reject for Continuous Bond Insufficient
- ESAR Issue 409 – ACE entry summary rejected for unrelated reason - HTS NBR Missing, Duty and Value contain non-numeric.
 - DOT records filed after FCC and/or FDA processed incorrectly
- ESAR Issue 543 – ACE Entry Summary - Rejected for ACE System Failure.
 - Unknown country of origin “**” not processed correctly
- ESAR Issue 586 – ACE Entry Summary in CBP Control Deleted by the Trade.
 - Duty free entry summary in CBP control may be deleted in error by trade



ACE Entry Summary – Outstanding Issues (Continued)

- ESAR Issue 664 – ACE Entry Summary Rejected in Error for FDA Data.
 - Maximum number of FDA lines (999) not validated correctly for AE
- ESAR Issue 677 – Replaced ACE Entry Summary Retains Reconciliation Status in ACS in Error
 - Recon status for replaced ES not cleared correctly
- ESAR Issue 684 – ACE entry summary not appearing on daily statement.
 - ACE ES with reported MPF > 0 but different from calculated MPF
- ESAR Issue 685 – ACE entry summary transaction not rejected when passed PMS date for the month.



ACE Entry Summary – Outstanding Issues (Continued)

- ESAR Issue 712 – ACE incorrectly accepts an entry summary transaction with a port of entry different from the ACS POE.
- CBP is planning to expand EIP/RLF entry summary filings to ACE AD/CVD entry type 03



Software Developer's Technical Seminar

Questions Before We Continue?



Post Summary Correction (PSC) – Entry Summary Filing

- PSC definition
- PSC filing requirements/restrictions
- PSC technical details
- Entry summary and PSC “ownership” considerations
- Outstanding issues



PSC Definition

- An unsolicited submission of an entry summary transaction (AE) to ACE to revise the ACE entry summary on file.
- A complete replacement of the ACE entry summary.
- You may make virtually any change or correction – with a few restrictions.
- Subjected to the same edits and validations as a conventional entry summary.
- Will increase the entry summary major version number – for example from 1.00 to 2.00
- Replaces the Post Entry Amendment (PEA) process for ACE entry summaries.



PSC Filing Requirements/Restrictions

- The ACE entry summary must be in CBP control, have been paid (accounted for as a collection), and scheduled for liquidation.
- The filer has a 270-day window following entry to submit a PSC. However, it cannot be within 20 days of liquidation.
- An informal entry is not eligible for a PSC.
- Entry summary data elements that affect admissibility (including OGA information) are not allowed to be changed.
- The conventional entry summary cannot have already been reconciled.
- An entry type 03 is not permitted to be changed to a non-AD/CVD entry type.



PSC Technical Details

- The AE 10-record, position 65, PSC indicator must be set to Y.
- Filers may request accelerated liquidation using the request indicator in the 10-record, position 66, set to Y.
- The PSC 10-record district/port of entry must match exactly the district/port of entry on file.
- The PSC 11-record importer of record must match exactly the importer of record on file.
- A PSC filing explanation (in 36-record(s)) is always required. This is free form text to fully the explain the reason for the PSC.
- At least one reason code (at either the header level (35-record) or line level (63-record) must be provided.



Entry Summary and PSC

“Ownership” Considerations

- When an entry summary is filed and accepted in ACE, the filer as indicated by the B-record filer code is the owner.
- A PSC may be filed in ACE by another filer other than the current owner of the entry summary.
- That is, the B-record filer code of the PSC may be different from the filer code in the conventional AE 10-record.
- The entry summary number of the original, conventional entry summary remains the same throughout regardless of the owner.
- When the ownership of an entry summary changes due to a successful PSC, an Entry Summary Status Notification (UC) message (disposition type code = 8) will be sent to the most recent previous owner who just lost ownership.



Post Summary Correction – Outstanding Issues

- ESAR Issue 587 – ACE PSC entry summary transaction rejected in error
 - EDI profile validation of PSC filer performed in error when PSC filer is different from conventional ES filer.
- ESAR Issue 614 – PSC AE by Another Filer - UC Message Error
 - UC message not being sent to the previous PSC filer.
- ESAR Issue 619 – ACE PSC Entry Summary Rejected in Error for Permit Validation
 - Processing port of original filer validated as if it were for the PSC filer.



ACE Business Rules and Process Document

- Laurie Dempsey



Entry Summary Query

- The ACE input application identifier will be JC. It will provide filers the ability to query entry summaries submitted to and stored in ACE:
 - By specific entry number(s) or
 - By status and date range (status may include: invoice requested and not received, unsatisfied “docs” required messages, flagged for reconciliation, post summary corrections, liquidated or not liquidated, or every entry summary.)
- The ACE output application identifier will be JD.
 - Filers will receive entry summary status information from entry summaries meeting the selection criteria.
 - Filers may also optionally receive entry summary detail data including header details, line details, and Census warnings in 10-90 records similar to those filed in the AE.
 - The maximum number of entry summaries returned in one query is 5,000
- ACE entry summaries will also be stored in ACS for processes not as yet provided in ACE.
 - Consequently, during the transition period while ACE and ACS entry summary processing coexists, filers may also use the JI query application identifier to query entry summaries originally filed in ACE.
 - Data returned in the ACS application identifier JR for ACE-filed entry summaries will provide only the limited data specified in the JR transaction and not the additional data offered in the ACE entry summary query response



Entry Summary Query – Outstanding Issues

- ESAR Issue 199 – Multiple Entry Summary Queries in a Batch Not Rejected in ACE
 - The ES Query transaction is actually not processed - but should be rejected.
- ESAR Issue 473 – Issues with ACE ES Query Outbound Response
 - 50-record outbound format issues with quantity and UOM
- ESAR Issue 683 – ACE Entry Summary Query Proposed Update
 - CBP is planning to make entry summary data in the query response available to any filer (conventional or PSC filer) – this will remove the current ownership restrictions
- ESAR Issue 690 – Additional ACE Entry Summary Query Output Format Errors
 - Format errors with selected data elements in the 10-, 31-, 40-, and 42-records



Entry Summary Status Notification

- New CBP generated transaction from ACE – MAY require the ABI filer to take action.
- Entry summary status notification (ABI app id UC) will be electronically generated from various ACE automated and manual procedures and then transmitted to filers.
- This notification message will be created:
 - from automated processes such as entry summary selectivity,
 - from a CBP manual review of the entry summary and related information, or
 - from an action taken by a CBP user with agreement or by a request from the entry summary filer.
 - from the automated receipt or manual status setting for documents received
- Separate from the AX (Entry Summary acceptance and validation process)
- May be the result of CBP actions requested by the filer such as canceling, rejecting, or making an ACE entry summary inactive
- If a filer receives a UC message indicating an ACE entry summary is rejected followed by a UC message indicating that the entry summary was inactivated in ACE, the filer must then take action to file the entry summary in ACS.



Entry Summary Status Notification – Outstanding Issues

- CBP is planning to send a UC message (new disposition type code yet TBD) to the filer any time that the scheduled liquidation date changes for an ACE entry summary



Cargo Release

(Certified from an ACE Entry Summary)

- Will continue to support a 2 step process
 - HI filed in ACS (HR response from ACS) or border release programs
 - AE filed in ACE
- Cargo release may also be certified from an ACE entry summary – AE transaction.
 - ACE will send the appropriate data to ACS for cargo release processing.
 - These AEs may also conditionally include bills of lading, FDA entry data, or DOT HS-7 form data. This data, if existing, will also be submitted by ACE to ACS for cargo release processing.
- Cargo release response messages will be sent directly from ACS to the filer, independently of the AX entry summary response sent by ACE.
- To differentiate these ACS messages originating from an ACE entry summary, ACS will use a new application identifier, or HD, for the cargo release response.
- ACS will continue to generate selectivity results using RR.



Census Warning Query

- Allows ACE entry summary filers to locate ACE entry summaries with unresolved Census warnings
- Query input (CJ) criteria may be based on:
 - district/port of entry,
 - a specific time period, or
 - specific entry numbers.
- Query output (CL) provides entry summary line item data for any unresolved Census warnings.
 - Output records will provide any line item data with unresolved Census warnings for all entry summaries which meet the query criteria.
- Filer must be the current owner to receive the response



Census Warning Query – Outstanding Issues

- None



Census Warning Override

- Filers can electronically resolve Census warnings via the use of override codes.
 - Can be submitted with the Entry Summary AE transaction or separately using the CW transaction.
 - Eliminates the use of paper forms requiring CBP review.
 - Eliminates the need for CBP to perform on-line corrections.
 - The override codes allow the filer to electronically resolve the Census warning independently of CBP.
 - Provides Census with more detailed information and new measures to use in formulating and maintaining Census parameters.
 - Improves overall accuracy of the data received from ACE entry summary filers.



Census Warning Override (Continued)

- ACE validates the AE line item data against Census parameters.
- If line item values are out of range, a Census warning message will be issued to the filer via AX.
- The filer now has three electronic options:
 - Correct inaccurate data through retransmission of AE (revalidation of entry summary data occurs),
 - Submit override codes pro-actively within the AE transaction
 - Submit override codes using the Census Warning Override (CW) transaction
- If the correct Census override code is used in the Census Warning Override transaction (CO), the Census warning will be marked as resolved.
- Use of inappropriate override codes will cause the transaction (CO) to be rejected.



Census Warning Override

(Continued)

- Filers can pro-actively submit an override code on the AE transaction when they know from past transactions and experience that the input values on the entry summary will fall outside the Census parameters.
 - In this case, the override code can be included as part of the entry summary (AE) transaction and the Census warning will be suppressed and will not be included in the AX response.
- If an override code is provided and ACE determines that the input data was within the Census parameters, the transaction will be rejected.
- ACE ABI CATAIR Appendix H contains the override codes to be used in response to Census warnings.



Census Warning Override – Outstanding Issues

- None



AD/CVD Case Information

- ACE is now the system of record for AD/CVD cases
- Cases are maintained by the Import Administration of the Department of Commerce in ACE
- ACE portal users (CBP and Trade) may search for and view case details and associated messages in ACE.
- Case information is replicated to ACS as filers may continue to file entry type 03 entry summaries in ACS and use the ACS AD/CVD Query (CN/CS)



AD/CVD Case Information Query

- Allows ACE entry summary filers a transaction to query AD/CVD case information in ACE.
- Query input criteria in the AD transaction by:
 - Specific case number (7 or 10 digits)
 - Country of origin
 - HTS number
 - Manufacturer or foreign exporter identification code
 - Date since last update
- Query output in the AC transaction includes all details:
 - Official name
 - Manufacturer and foreign exporters
 - Rates
 - Bond/cash details
 - Tariff details
 - Liquidation suspension details



AD/CVD Case Information and Query – Outstanding Issues

- ESAR Issue 385 – AD/CVD Query - Party Records Not Provided in Error
 - Party records not provided in query response when no ID is present
- ESAR Issue 398 – AD/CVD Case Information Rates Error in AC Response
 - Rates currently zero filled when no rate (ad valorem or specific applies)
- ESAR Issue 643 – AD/CVD Case Rate Replication Error – ACE to ACS
 - Rare scenario when a case has both an ad valorem and specific rate
- ESAR Issue 676 – AD/CVD bond/cash indicator discrepancy
 - Only in ACS – rare occurrence – manually corrected
- ESAR Issue 680 – ACE Entry Summary - AD/CVD Informational Message Error
 - Message “Article may be subject to AD/CVD” not sent in situations when HTS number recorded in a case is 8-digits



Software Developer's Technical Seminar

Question and Answer Session





U.S. Customs and Border Protection