

ACE SINGLE WINDOW DOCUMENT IMAGE SYSTEM (DIS) TRADE SCENARIOS

U.S. Customs and Border Protection (CBP) has documented the following scenarios to provide trade community members with a better understanding of how DIS can be used in their business operations. While there are several scenarios in which the trade community can submit CBP and PGA forms via ACE DIS, the following is a depiction of the core process that is followed for document submission and CBP review/response. Individual scenarios follow below.



SCENARIO #1: CBP INITIATES A CBP FORM 28 TO REQUEST A COMMERCIAL INVOICE FOR AN ACE ENTRY SUMMARY

1. Trade receives the CBPF 28 requesting a commercial invoice for an ACE Entry Summary.
2. Trade responds by submitting the commercial invoice and associated metadata to ACE DIS via Electronic Data Interchange (EDI).
3. Trade receives a message from ACE DIS stating that the transmission was accepted or rejected by the system. If rejected, a message will be returned with a reason for the reject and Trade will be required to resubmit.
4. CBP reviews the document image and associated metadata in DIS.
5. Upon review, CBP may choose to accept or reject the document image. If CBP does accept the document image, Trade will receive an acknowledgement of the acceptance.
6. If CBP rejects the document image, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.



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SCENARIO #2: A “DOCUMENTS REQUIRED” FOR AN ACE ENTRY SUMMARY IS RECEIVED

1. Trade receives a “documents required” message for an ACE Entry Summary.
2. Trade responds by submitting documents and associated metadata to ACE DIS via EDI (Metadata should include the ACE Action Number and the Entry Summary Number present on the ‘documents required’ message).
3. Trade receives a message from ACE DIS stating that the transmission was accepted or rejected by the system. If rejected, a message will be returned with a reason for the reject and Trade will be required to resubmit.
4. CBP reviews the document image and associated metadata in DIS.
5. Upon review, CBP may choose to accept or reject the document image. If CBP does accept the document image, Trade will receive an acknowledgement of the acceptance.
6. If CBP rejects the document image, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.

SCENARIO #3: A “DOCUMENTS REQUIRED” FOR AN ACE ENTRY SUMMARY IS RECEIVED. THE DOCUMENT(S) REQUIRED IS A PARTNER GOVERNMENT AGENCY (PGA) DOCUMENT(S) SUPPORTED BY DIS

If a PGA document included in the DIS pilot is requested via a “documents required” message to the filer necessitating a CBP review, the following procedure should be followed:

1. Trade receives a “documents required” message for an ACE Entry Summary.
2. Trade responds by submitting documents and associated metadata to ACE DIS via EDI (Metadata should include the ACE Action Number and the Entry Summary Number present on the ‘documents required’ message).
3. Trade receives a message from ACE DIS stating that the transmission was accepted or rejected by the system. If rejected, a message will be returned with a reason for the reject and Trade will be required to resubmit.
4. CBP/PGA reviews the document image and associated metadata in DIS.
5. Upon review, CBP and/or PGA may choose to accept or reject the document image. If CBP/PGA does accept the document image, Trade will receive an acknowledgement of the acceptance.
6. If CBP/PGA rejects the document image, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.

Note: The PGA will have the responsibility to access the ACE DIS to further utilize the stored DIS images for their regulated commodities. The PGA may choose to accept or reject the document image. If accepted, Trade will receive an acknowledgement of the acceptance. If rejected, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.



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SCENARIO #4: A “DOCUMENTS REQUIRED” IS RECEIVED FOR A PGA DOCUMENT SUPPORTED BY DIS AND NEEDED AT TIME OF RELEASE FOR AN ACE ENTRY SUMMARY CERTIFIED FOR RELEASE

If a PGA document required at time of release, which is included in the DIS pilot is requested, the following procedure should be followed. Requests that the ACE DIS be used to capture an image of a paper document that currently requires CBP handling at time of release, the following considerations should be taken into account:

1. Trade receives a “documents required” message when the entry summary certified for release is filed.

2. Trade responds by submitting documents and associated metadata to ACE DIS via EDI (Metadata should include the ACE Action Number and the Entry Summary Number present on the ‘documents required’ message).

Note: Trade is responsible for submitting the CBPF3461 and any other document not supported by DIS to the port. It is advised that Trade notates ‘DIS’ on the CBPF3461 to alert the CBPOs that supporting documents have been transmitted to DIS.

3. Trade receives a message from ACE DIS stating that the transmission was accepted or rejected by the system. If rejected, a message will be returned with a reason for the reject and Trade will be required to resubmit.

4. CBP/PGA reviews the document image and associated metadata in DIS.

5. Upon review, CBP and/or PGA may choose to accept or reject the document image. If CBP/PGA accepts the document image, Trade will receive an acknowledgement of the acceptance.

6. If CBP/PGA rejects the document image, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.

Note: The PGA will have the responsibility to access the DIS to further utilize the stored DIS images for their regulated commodities. The PGA may choose to accept or reject the document image. If accepted, Trade will receive an acknowledgement of the acceptance. If rejected, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.

SCENARIO #5: IMAGE OF PGA-ANIMAL AND PLANT HEALTH INSPECTION SERVICE (APHIS) DOCUMENTS NEEDED AT TIME OF MANIFEST (BILL OF LADING SUBMITTED)

1. CBP Agriculture Specialists (AS) places a hold on the shipment.

2. Trade receives hold notification.

3. Trade responds by submitting the appropriate documents and associated metadata to ACE DIS via EDI.

4. Trade receives a message from ACE DIS stating that the transmission was accepted or rejected by the system. If rejected, a message will be returned with a reason for the reject and Trade will be required to resubmit.

5. CBP/AS reviews the document image and associated metadata in DIS.

6. Upon review, CBP/AS may choose to accept or reject the document image. If CBP/AS accepts the document image, Trade will receive an acknowledgement of the acceptance.

7. If CBP/AS accepts the document image, CBP/AS may choose to release shipment prior to vessel arriving.

8. If CBP/AS rejects the document image, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.



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SCENARIO #6: CARGO RELEASE/SIMPLIFIED ENTRY (SE) DOCUMENTS SUBMITTED VIA EDI - FOR SE PARTICIPANTS ONLY

1. Trade receives a “documents required” message when the SE is filed.
2. Trade responds by submitting documents and associated metadata to ACE DIS via EDI.
3. Trade receives a message from ACE DIS stating that the transmission was accepted or rejected by the system. If rejected, a message will be returned with a reason for the reject and Trade will be required to resubmit.
4. CBPO reviews the document image and associated metadata in ACE DIS.
5. Upon review, CBPO may choose to accept or reject the document image. If CBP accepts the document image, Trade will receive an acknowledgement of the acceptance.
6. If CBPO rejects the document image, Trade will receive an acknowledgement and explanation of the rejection. Trade will be able to re-transmit, and the cycle continues as described above.

