ACE FREQUENTLY ASKED QUESTIONS

July 2011

Introduction

Very few problems that users encounter are entirely new. This frequently asked questions document collects often-asked questions and answers about the Automated Commercial Environment System into a single document so users can quickly find the answer to their question. Although the question you have may not be specifically addressed in this document, you may find a similar question that will be of help.

The questions are divided into categories for easy retrieval. The categories are:

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Systems Background

Q1. *Who will receive benefits from ACE?*

A1. ACE will benefit U.S. citizens, the trade community, CBP employees, Government agencies, and the economy as a whole. Citizens will be better protected from health and safety risks posed by terrorist activities and the influx of narcotics, illegal products, and unsafe goods. The trade community will have a more efficient Web-based interface with Government agencies, reducing the cost and burden of processing transactions for both the Government and the trade community. At CBP, officers will benefit from state-of-the-art tools to perform their jobs faster; they will have increased access to information, and the burden of paper-intensive manual processing of goods will be reduced. Government agencies with border enforcement and regulatory responsibilities will be better able to share information, which will improve analysis to better target and analyze goods coming into the country. Finally, moving goods to market faster and at lower cost will have positive impacts on the U.S. economy.

Q2. *Why should my company participate in ACE?*

A2. Participating in ACE supports the Department of Homeland Security (DHS) dual mission to facilitate legitimate trade and secure the Nation's borders. In addition, there are many tangible benefits for importers, brokers, and carriers including:

- Financial savings with the periodic monthly payment capability;

- Reduced processing time at the border with features like electronic truck manifest;

- Ability to view shipment status and store data via the ACE Secure Data Portal; and

- Capabilities to develop over 100 customized reports.

Q3. *Where can the public learn about ACE and recent developments?*

A3. To stay updated on CBP modernization activities, visit the ACE Modernization home page on the CBP Web site at:
http://cbp.gov/xp/cgov/trade/automated/modernization/

Automatic Broker Interface

Q1. *Will the Automated Broker Interface (ABI) remain the system by which trade applications for customs brokers will interface with CBP?*

A1. Yes, at the present time ABI will remain the system through which customs brokers and others will interface with CBP. For more information regarding ABI transaction formats, please refer to the Customs and Trade Automated Interface Requirements (CATAIR) section on the CBP Web site at:
http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/

Q2. *Will any ACE requirements that affect ABI (and vice versa) be implemented by issuing updates to the existing CATAIR specification?*

A2. Yes, any ACE requirements that affect ABI and vice versa will be implemented by issuing updates to the existing CATAIR specification.

NOTE: If/when CBP introduces other formats for EDI transactions, CBP will post those new formats to the CBP.gov Web site.

General

Q1. *Where can I find general information on how to become an ACE participant?*

A1. For an ACE portal account application and information on program participation, visit the ACE Modernization Web site at: http://cbp.gov/xp/cgov/trade/automated/modernization/ace_app_info/

All Federal Register Notices related to ACE can be found at: http://cbp.gov/xp/cgov/trade/automated/modernization/ace/frn_notices.xml

Q2. *What kind of hardware and software is required to use the ACE Secure Data Portal?*

A2. To access the ACE Secure Data Portal, a high-speed Internet connection and Internet Explorer 5.5 (or higher) is needed. Please note that the ACE portal does not function properly with Mozilla Firefox.

Q3. *What is the Web address for the ACE Secure Data Portal?*

A3. https://ace.cbp.dhs.gov

Q4. *Are there any fees to access the ACE Secure Data Portal?*

A4. No access fees or additional costs are required.

Q5. *What type of training is available for new ACE accounts?*

A5. Web-Based Training (WBT) is now available for ACE accounts. WBT information can be found at: http://cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/

User guides providing navigational descriptions of the ACE Portal and detailed step-by-step instructions on different account management functionality, can also be found on CBP.gov at:

http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_welcome_package/

Step-by-step printable electronic manifest instructions for trucks may also be found at: http://cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_e_manifest_for_trucks/emanifest_info/

Q6. *Who can I call for assistance in using the Portal?*

A6. You can call the Technology Support Center at 866-530-4172 for assistance.

Q7. *What is the CBP policy on the number of password attempts?*

A7. The user is locked out after three password tries. To have your password reset, contact the Technology Support Center at 866-530-4172.

Q8. *Can all my employees use my login and password?*

A8. All users should have their own password and user ID. The Trade Account Owner or Proxy Trade Account Owner can set up new users in the "Manage Access" view.

Q9. *Can you provide more detail on user roles, for example, who will define user roles?*

A9. There are three available trade user roles in the ACE portal: the Trade Account Owner, the Proxy Trade Account Owner, and an Account User. The Trade Account Owner is the individual or other legal entity identified and authorized by the account to serve as the representative of the account and is responsible for the administration of access to the account's information through the ACE portal. A Proxy Trade Account Owner is any individual identified and authorized by either the account or the Trade Account Owner to access information that pertains to the account through the ACE portal. The authority of the Proxy Trade Account Owner includes the designation of other Account Users but may be limited by the Trade Account Owner. Under no circumstance may a Proxy Trade Account Owner designate another Proxy Trade Account Owner. An Account User is any individual identified and authorized by the Trade Account Owner or Proxy Account Owner to access information that pertains to the account through the ACE portal.

Q10. *What happens if an Account User, a Trade Account Owner, or a Proxy Trade Account Owner does not use the portal during a 45-day period?*

A10. Any Trade Account Owner and/or user who does not access the portal for up to 45 days will lose access to the portal. Access can only be restored by opening up a Trouble Ticket. To restore access, contact the Technology Support Center at 866-530-4172.

Application

Q1. *Are there any guidelines or specifications about who the Trade Account Owner should be?*

We are just wondering who would be most appropriate to designate.

A1. The Trade Account Owner for the account can be either an individual or a legal entity. In either case, the role of the Trade Account Owner is to oversee the day-to-day operations for the company. For more specific information regarding the role of the Trade Account Owner and the terms and conditions of portal access, please see 72 FR 27632, published May 16, 2007.

Q2. *How do you apply for multiple business categories for your ACE account?*

A2. Existing ACE portal accounts requesting additional business categories need not submit a new ACE Application. Instead, they should notify their CBP account manager or the account administrator of their request. However, any current ACE portal accounts wishing to create a Service Provider, Facility Operator, Foreign Trade Zone Operator, or Cartman/Lighterman account type, must submit their request to ace.application.status@cbp.dhs.gov, with a copy to their CBP Account Manager, if applicable. Interested applicants must provide the information noted on the application with their request.

Q3. *I submitted an ACE application several weeks ago; will someone contact me?*

A3. Yes, someone will be contacting you as soon as your account is created in ACE.

Q4. *What should be done if there is a change in the Trade Account Owner (e.g., the Trade Account Owner leaves the company)?*

A4. As indicated in the Terms and Conditions document (see 72 FR 27692, published May 16, 2007), notification to CBP of a change pertaining to the identity of the Trade Account Owner must be submitted immediately. This is done by completing and submitting a new ACE application. If a Trade Account Owner is incapacitated, a new account owner must be designated to act on behalf of the account.

Q5. ***Since my company transmits only through a customs broker, I would think the Interconnection Security Agreement (ISA) is not required. Can you please verify?***

A5. You are correct. If your company transmits through a customs broker, you do not need to sign and submit the ISA. An ISA is only needed if the importer, carrier, or broker is filing Electronic Data Interchange transmissions directly with CBP. Since your broker is filing the transaction on your behalf, you do not need to sign an ISA.

Cargo Systems Messaging Service

Q1. *What is the Cargo Systems Messaging Service (CSMS)?*

A1. CSMS is a CBP administrative message system composed of a message database and an electronic mailing service. CSMS is augmented by an e-mail subscription service, which provides timely notification of new messages based on each or any combination of subject groups.

Q2. *Who can sign-up to receive messages via CSMS?*

A2. CSMS is available to CBP personnel and every trade community member. Anyone can sign-up to receive e-mail messages, and the database is also public.

Q3. *How do I enroll in CSMS?*

A3. From the CSMS database, select the option "Subscribe to CSMS" at the bottom of the page. Subscribers will be prompted to enter a primary e-mail address and an optional secondary e-mail address. New subscribers may opt to receive wireless alerts to a provided e-mail address and may also select the delivery frequency (immediately, daily, weekly, or monthly).

Subscribers may choose to receive messages from the following areas of interest:

- ABI
- ACE Outreach Events
- ACE Portal Accounts
- ACE Reports
- Air Manifest
- Ocean Manifest
- Rail Manifest
- Truck Manifest

Please be advised that if you have subscribed to two or more groups and a message has been designated for distribution to all those selected groups, you will be receiving duplicate messages.

Q4. *Where can I access the CSMS database?*

A4. The CSMS database is accessible via the link below.

http://apps.cbp.gov/csms/csms.asp?display_page=1

Q5. *Is there another way to receive CBP-issued messages?*

A5. No. As of February 11, 2008, CBP began broadcasted messages solely through CSMS.

Q6. *What happened to ABI messages?*

A6. ABI messages that remain relevant were converted to CSMS.

Q7. *How do I search for messages on the CSMS database?*

A7. CSMS messages are stored in the database indefinitely and can be retrieved based on searching a combination of keywords and filtering by group. CSMS provides the added feature of cross referencing messages from the initial search result set with related message counterparts, sorting by publish date, title, and CSMS number.

Q8. *Why am I not receiving the full text of the CSMS e-mail message?*

A8. If you signed-up to receive the wireless e-mail option, many mobile phone companies limit the length of the wireless alert to as few as 140 characters, including spaces and alphanumeric characters. Please check the setting, and if you continue to experience problems with the CSMS messaging service change your subscriber settings.

Q9. *Are messages available in Spanish?*

A9. Yes. Subscribers can receive translated messages in the following subject areas:

- Cuentas en el Portal de ACE (ACE Portal Account–Spanish); and

- Transportistas de Camion (Truck Manifest–Spanish).

Please be advised that the Spanish translations (i.e., notification messages and/or documentation) available on CBP.gov and CSMS have been provided by CBP as a courtesy to our non-English speaking trade community and are for general notification purposes only. Although reasonable efforts have been made to provide accurate translations, the official CBP text is the English version of the messages and/or documents. Any discrepancies that may arise in the available translations are not binding and have no legal effect for compliance or enforcement purposes. With regard to any questions that may arise pertaining to the information contained in the Spanish messages and/or documents, please refer to the official CBP English version of the document.

Carriers

Q1. *Who is a carrier? Who can file? What is the liability for filing incorrect or incomplete data?*

A1. CBP identifies a carrier as a party with a National Motor Freight Traffic Association (NMFTA)-issued Standard Carrier Alpha Code (SCAC). For purposes of ACE, the carrier can file its own manifest or it may authorize another entity to file a manifest on its behalf. Pursuant to a notice published in the Federal Register (71 FR 15756, published March 29, 2006), customs brokers and importers can now also apply to file manifests on behalf of carriers.

Current broker or importer ACE portal accounts that do not possess an NMFTA-issued SCAC should follow the steps listed below:

1. Contact Dan Buchanan at Daniel.Buchanan@dhs.gov to obtain a Manifest Preparer Code.

2. Inform your CBP account manager that you will be adding a carrier view to your account.

3. If you do not have an account manager, contact the Technology Support Center at 866-530-4172.

4. While on the "Accounts" tab within the ACE Secure Data Portal and with your Top Account Name highlighted, select "Carrier" from the "Account Type" drop down menu.

5. Add the CBP-assigned Manifest Preparer Code by clicking on the "Edit" icon in the "Account Selector List" portlet on the "Accounts" tab and by following the steps shown in the portlet. Note: The Trade Account Owner is the only individual within the ACE portal account who has the functionality to add the Manifest Preparer Code and set up the carrier view. A Proxy Trade Account Owner CANNOT perform this task.

Carriers will not be required to have a bond on file unless shipments are moving in-bond. The liability for filing incorrect or incomplete data may include liquidated damages and penalties.

Q2. *Must I have an International Carrier bond?*

A2. No, an International Carrier bond is not required to file an Electronic Manifest (e-Manifest). However, you are required to maintain a bond if you are moving cargo in-bond and if you are making a declaration for Instruments of International Traffic (IIT) when the IIT is covered by the carrier bond.

Q3. *Why do we need transporter, transponder, and conveyance ID numbers?*

A3. The transporter is not a term used in ACE; however, it could be construed to mean a carrier that is identified by the SCAC code.

A transponder is not required to participate in ACE; however, if you have a CBP issued transponder it can be used to identify the truck upon arrival and it will permit the CBP Primary Booth officer to access the e-Manifest data immediately. When applying for a transponder, a conveyance ID number is required. This number is stored in ACE and can be used to identify a specific truck in your fleet. A transponder can be obtained by applying through the Decal and Transponder Online Procurement System (DTOPS)

https://dtops.cbp.dhs.gov/

If you do not have a transponder, you can still record the details of a conveyance including conveyance ID number, conveyance type, Vehicle Identification Number (VIN), and license plate numbers. When creating a manifest, you can access these details by simply reporting the conveyance ID number.

Roles

Q1. *If multiple parties can submit information (i.e., several forwarders issue shipment information that will be on one carrier), how are those made visible to the carrier?*

A1. There are a number of different ways that another party can make information visible to a carrier.

1. A third party can create a shipment record via the ACE Secure Data Portal and record the carrier's SCAC in a field called "Authorized Account." When this is done, the shipment record will appear in the carrier's "Unassociated Shipment List" of his portal view.

2. A third party can file a complete manifest on behalf of a carrier and the manifest will appear in the carrier's portal account.

3. A third party can report a shipment in ACE via Electronic Data Interchange (EDI). The carrier can pull that shipment into an e-Manifest simply by referencing the Shipment Control number.

Currently a third party is defined as a carrier, importer, or customs broker that has the ability to transmit e-Manifests via EDI or the ACE Secure Data Portal.

Q2. *If a user only has partial information for a transaction and would like to begin keying in the data, does ACE provide the capability to save the partial data keyed in and complete the transaction at a later time?*

A2. Yes, the "Save and Finish Later" button allows the user to save partial data. To save a partial manifest, trip number and estimated date of arrival are required; to save a partial shipment, the Shipment Control Number (SCN) number is required.

Q3. *Less than Truck Load (LTL) carriers cannot allow the forwarder, broker, or shipper to see other shipment information on a trip. Will ACE allow viewing of the shipment information specific to the shipment to which they are a party?*

A3. Not unless the carrier gives the forwarder, broker, or shipper access to their ACE portal account. The carrier can send shipment information to the broker via the broker download.

Drivers/Crew

Q1. *Why do I have to search for a driver before I am allowed to add a new driver?*

A1. Drivers are now an account type within ACE. You must search prior to creating a new driver to prevent duplicate driver records in ACE. This functionality allows one driver to be stored in multiple carrier accounts.

Q2. *Why is it necessary to provide a birth date for the driver and crew?*

A2. The birth date is a CBP requirement and a Federal Motor Carrier Safety Association requirement.

Q3. *Why must a foreign driver provide a U.S. address?*

A3. A U.S. address for the driver is required in the event that CBP needs to do any follow up with that individual.

Q4. *In a standard manifest, if adding a driver/crew member who might have a proximity card, can the FAST proximity card ID number be used as search criteria?*

A4. Yes.

Q5. *Can you add two crew members into the system (i.e., a team), or is the co-driver the passenger?*

A5. Multiple crew members, if present, must be declared as crew (a repeatable entry). You must identify one driver as the person in charge. Passengers are non-crew members and must be declared as passengers.

Equipment

Q1. *Does ACE allow for two trailers with one tractor?*

A1. Yes. Multiple pieces of equipment, if present, must be declared. This includes tandem trailers. A coupler/dolly that connects two pieces of equipment need not be manifested.

Q2. *If there are two pup trailers, CBP would like to know on which trailer each shipment is loaded. Wouldn't it be sufficient to advise CBP of all of the equipment data elements and all shipments on that conveyance? Why does CBP need to know the shipments applicable to each trailer?*

A2. CBP requires this information to determine which equipment to open when an examination is required.

Seals

Q1. *Do I need to report my seal numbers?*

A1. Yes. If seals exist, they must be reported. Seals are required to be used when carrying FAST shipments arriving from Mexico and Canada.

Q2. *Can we amend the seal number if it is broken?*

A2. Yes, you can record a new seal when a seal has been broken for legitimate reasons. If the new seal is reported after manifest submission, then an amendment code is required. Recording of the seal is for the intention of notifying CBP at the first port of entry as part of an inbound manifest requirement. It is not CBP's intention to use ACE truck manifest to record newly affixed seals that are the result of CBP examinations.

Q3. *If a seal is broken by CBP and a new seal is applied, will we be able to add comments in ACE detailing the conditions for which the seal was broken (that is, by whom, when, and why)?*

A3. There is no area in the manifest to record comments about the breaking of a seal. You may record the new seal through amendment. CBP will not record a new seal for you. The reasons for changing a seal should be maintained by the carrier in their own records.

FDA

Q1. *The FDA confirmation number was put on hold until the final rule. How is the carrier going to know that the importer or shipper has notified FDA within the required timeframe?*

A1. Current requirements for carriers to report an FDA indicator have been limited to a "Yes/No" flag that reports whether a shipment contains merchandise that will require FDA Prior Notice information to be filed. This only applies to shipments that will move in-bond. With the deployment of e-Manifest: Trucks, the carrier will need to coordinate and communicate directly with the FDA regarding Prior Notice information to determine if FDA's requirements have been met. Many customs brokers have also established Web sites where carriers can check the FDA status of their shipments.

Q2. *Is there going to be a validation for the FDA confirmation number? When we are given an FDA confirmation number, how will we know if it is valid and if it was submitted timely (so as to avoid our truck being detained when it reaches the border)?*

A2. FDA confirmation numbers cannot be transmitted to CBP with the carriers manifest. Additional details are still being worked out between FDA and CBP.

FAST Program

Q1. *Where does a driver apply for a FAST card?*

A1. A driver may apply for a FAST card at:

https://goes-app.cbp.dhs.gov/

Q2. *I have no access in ACE to FAST driver information, how does this information get updated in ACE?*

A2. FAST driver data is maintained in the GOES system and GOES updates the data in ACE. Drivers need to follow FAST policies to update their information.

Q3. *In day-to- day operations, a carrier crosses at both borders. If a driver receives a FAST card for the Northern Border, can they also use it at the Southern Border? We are assuming that a card issued at the Southern Border cannot be used at the Northern Border since Canada did not have the opportunity to vet the driver.*

A3. For purposes of entry into the United States, a Northern Border FAST card is good for entry into the United States at either border. Similarly, a Southern Border FAST card is good for entry into the United States at either border. However, for purposes of entry into Canada, only a Northern Border FAST card is good for entry into Canada.

Q4. *Scenario: A driver enters the United States with an empty to pick up a Hazardous Materials (HAZMAT) shipment and then returns to Canada. Does the fact that the driver will be hauling HAZMAT while in the United States require the FAST card, or does the card only apply to the circumstances present at the port of entry?*

A4. Yes, the FAST card is required.

HAZMAT

Q1. *What is required in the HAZMAT contact field? Is it the 24-hour emergency number or the name of the contact, etc?*

A1. When reporting HAZMAT information, both the phone number and the name of a person are required to be reported. It is to be a contact that is available 24 hours a day in the case of an emergency.

Q2. *If HAZMAT shipments are below reportable limits, is a HAZMAT shipment notification generated?*

A2. The HAZMAT United Nations Dangerous Goods (UNDG) code must be supplied with the e-Manifest whenever a carrier is carrying hazardous materials. The reporting of the HAZMAT UNDG code is not affected by the placard reportable limits.

Q3. *Is the UNDG number similar to the Chemical Abstract Sheet (CAS)?*

A3. The CAS information is related to the UNDG classification.

Q4. *Why is insurance information required for HAZMAT shipments?*

A4. A carrier must have insurance coverage to carry HAZMAT. Therefore, if you are carrying HAZMAT, ACE will require that you report insurance information in your manifest transmission. Required data elements are name of insurer, date of issuance, policy number, and amount (U.S. dollars).

Q5 *Why can't the information for the insurance be populated from the account setup?*

A5. This functionality is not yet available in the ACE Secure Data Portal. The insurance details stored in a carrier's profile will not automatically populate the e-Manifest field. The insurance information must be manually entered into the manifest conveyance section anytime the carrier is carrying HAZMAT.

International Instruments of Traffic (IIT)

Q1. *IIT should be on the shipment level, not the conveyance level, is that correct?*

A1. IITs cannot currently be reported at the shipment level; they can only be reported at the trip level. There are four methods to report IITs. Your choices are as follows (**Please note**: a bond is required when transporting IIT's ADD bond type):

1. EC–Trip consists solely of empty IITs covered by carrier's bond.

2. EI–Trip consists solely of empty IITs covered by importer's bond.

3. MC–Trip consists of merchandise and IITs covered by carrier's bond.

4. MI–Trip consists of merchandise and IITs covered by importer's bond.

IITs are reported in the conveyance section if there is no trailer, and in the equipment section if the IITs are in a trailer.

Q2. *How do we report a trailer that is empty but has racks that are IIT?*

A2. You would choose one of the following and report it at the equipment level:

1. EC–Trip consists solely of empty IITs covered by carrier's bond.

2. EI–Trip consists solely of empty IITs covered by importer's bond.

Q3. *Are we required to transmit conveyance/crew data when the trailer is empty? Is the trailer considered an IIT?*

A3. Although there is no regulatory requirement for the transmission of e-Manifest data for empty trailers, CBP encourages you to do so. If you choose to send an e-Manifest for an empty trip (No Shipments), you are required to send conveyance, equipment, and crew data. Empty trailers are not necessarily considered IITs at land borders.

In-Bond (In Transit, Transfer)

Q1. *I have heard of changes to the in-bond process and would like more information on in-bond procedures.*

A1. In-bond information can be found at :

http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/electronic_truck_manifest_info/inbond_info/

Q2. *Can I arrive and export in-bond shipments electronically through ACE?*

A2. Yes, carriers are required to report the arrival and export on in-bond shipments electronically. This can be done either through the ACE portal or though EDI.

Q3. *Do Immediate Exportations (IEs) and Transportation and Exportations (T&Es) require Harmonized Tariff Schedule (HTS) codes? How many digits?*

A3. T&Es and IEs require HTS information when they are being exported from the United States. The information is needed by the Army Corps of Engineers for statistical purposes. Currently 6 digits are required, although 10 may be accepted.

Q4. *Are HTS codes available in the ACE portal?*

A4. Yes, they are accessible from the "References" tab, which has a button linking to the latest version of the HTS on the USITC web site.

Q5. *Can the carrier update a cargo record to show a shipment in-bond while the driver is at the border?*

A5. Yes.

Q6. *Who will perform the in-bond arrival process, a carrier or broker?*

A6. The in-bond arrival process will be executed by either the broker via WP or the carrier via ACE.

Q7. *What is the preferred method to link a QP in-bond to an e-manifest?*

A7. Carrier creates a PAPS shipment. Shipment control number used must match that used as the BOL number by the creator of the QP in bond. ACE will convert the PAPS shipment to a pre filed in bond as long as the SCN and the BOL numbers match.

Alternatively, a carrier can find QP in bonds associated with his SCAC in the unassociated shipment list. These can be added to a manifest using the "look up shipment" link.

http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/electronic_truck_manifest_info/inbond_info/

Q8. *Does the Standard Carrier Alpha Code (SCAC) shown on the ACE portal match up to the Importer of Record (IR) number that is obligated when the QP or the ACE portal is used to prepare an in-bond?*

A8. When an in-bond movement is requested via ACE and no onward carrier is identified, then the ACE carrier's bond is obligated. The ACE carrier is identified by his SCAC and the valid IR number associated to that carrier's bond. A carrier can designate another carrier to be responsible for the in-bond move by citing the other carrier's IR number in the manifest.

If a SCAC or IR number other than the ACE carrier's is used in a QP scenario, the ACE portal will not display the new SCAC or IR number.

In-Bond (In-Transit)

Q1. *How does the in-transit work? This system is currently paper-based between Canadian Customs and CBP. On the screen, it appears to be something that can be done electronically. How is this tied to Canadian Customs? How will the Canada Border Services Agency receive their portion of the necessary information?*

A1. This process will continue to be paper based. The in-transit indicator is for future use. If the cargo is moving from the United States through Canada or Mexico and returning to the United States, an electronic declaration is not currently required and the current paper process will continue. This process is not tied to Canadian Customs; however, Canadian Customs and CBP are working toward that end. Until the automation is available, the use of the current CBP form 7512B (US/Canada In-transit Manifest) will continue.

Q2. *If a truck is exiting Canada, in-bond through the United States, and re-enters Canada with same goods, does we need to transmit an e-Manifest?*

A2. Yes, an e-Manifest is required in addition to an electronic in-bond request.

In-Bond (Transfer)

Q1. *Can you be more specific with regard to what "Transfer" means in each required data field? This terminology is used differently among the different modes/carrier/types/etc.*

A1. The term "Transfer" refers to a local transfer within the port limits. In Ocean, Rail, and Truck, this is often referred to as a Permit to Transfer (PTT). In Air AMS, this is referred to as a Local Transfer.

Q2. *What information is required when we will be using a transferring carrier?*

A2. The transferring carrier would be identified by their IR number. If the field is left blank, you are obligating the bond of the manifesting carrier.

Q3. *More clarification is needed with regard to the appropriate use of the term "Transfer Destination FIRMS code."*

A3. This term is used to identify the bonded facility to which the merchandise is being transferred if a Local Transfer (PTT) is requested.

T&E Bond

Q1. *Does CBP accept EDI as proof of a canceled T&E bond? Specifically, is the EDI response back from CBP good enough to pass an audit to ensure it was cancelled/closed?*

A1. CBP will accept a CBP EDI status message from the trade community showing the bond arrived at its U.S. destination. For proof of exportation, evidence that the merchandise left the country, including an outward ocean or airway bill or proof of entry to the foreign country, is required by regulations.

e-Manifest–Overview

Q1. *What is an e-Manifest?*

A1. An e-Manifest is the electronic submission of trip, conveyance, equipment, crew, passenger, and shipment information. Filing manifests electronically can be accomplished either by a commercial software product or via the Internet through the ACE Secure Data Portal.

Historically, carriers have been required to file a paper manifest with CBP before a shipment can enter the United States. Filing e-Manifests is now required at all land border ports in accordance with the Customs Border Security Act of 2002 (Trade Act of 2002) advance cargo rule.

Q2. *How does an e-Manifest work?*

A2. An e-Manifest is submitted to CBP via the ACE Secure Data Portal, Electronic Data Interchange (EDI), or a combination of EDI and the ACE portal through self-filing or use of third parties. As a truck approaches the primary booth, ACE is used to retrieve e-Manifest information for the CBP officer to review. If the truck is equipped with a CBP-compatible electronic transponder, ACE will automatically retrieve e-Manifest details along with matching prefiled entries or in-bond requests. Prefiled entries are associated to manifests by the Shipment Control Number, which must be reported on both the manifest and the entry for e-Release to occur.

Q3. *Has the use of e-Manifests decreased processing times?*

A3. Yes. Currently, ACE processing time is 41 percent faster than paper manifests. The improvement in truck processing times is an average across select, representative land border ports of entry and is expressed in terms of a comparison with Automated Commercial System averages at those same ports.

Q4. *What information is required for an e-Manifest?*

A4. An e-Manifest is composed of approximately 70 data elements, including details on crew, conveyance, equipment, and shipment information. The ACE Truck Manifest Notice published on March 21, 2005, (70 FRN 13514) provides a complete list of all required information for an e-Manifest. This notice is posted online at:

http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2005_register&docid=05-5546-filed.pdf

Q5. *What are the specific requirements for carriers to become ACE participants?*

A5. Essentially, a carrier interested in becoming an ACE participant must have a Standard Carrier Alpha Code. For complete ACE portal eligibility requirements, interested carriers should go to the ACE application information link at: http://cbp.gov/linkhandler/cgov/trade/automated/modernization/ace_app_info/ace_app_instructions.ctt/ace_app_instructions.pdf

Interested carrier participants can also contact a software provider listed on the CBP Web site at http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/etruck_tech_info/

Filing an e-Manifest

Q1. *How can an e-Manifest be filed?*

A1. The following options are available to transmit an e-Manifest:

- Self-file through the Web-based ACE Secure Data Portal;

- Self-file via a CBP-compatible Electronic Data Interchange (EDI) program or software package. Participants choosing this option will need to test their EDI EDI software capability for compatibility with CBP systems. A CBP client representative can provide information on compatibility testing procedures. Companies may also purchase or lease software from EDI software providers. Some software providers offer access to their software over the Internet. If carriers use dispatch software, they should ask their vendor if they have developed software compatible with CBP. There are 30 software providers listed on the CBP Web site that have tested their software with CBP. Many of these companies have sold their software to customs brokers and other entities to use as e-Manifest service providers, (sometimes referred to as third party filers or carrier agents). A list of EDI software providers can be found on the CBP Modernization Web site at: http://cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/etruck_tech_info/. The list is continually growing, with more and more companies becoming eligible to transmit e-Manifests via EDI. Please note that inclusion on this list does not constitute endorsement by CBP.

- Self-file via a combination of EDI and the ACE Secure Data Portal; and

- Use a third party to file (usually requires a fee). An ACE account is not needed to file an e-Manifest via EDI, although it is recommended. A third party can be used to transmit the e-Manifest via the ACE Secure Data Portal or via EDI. Third parties usually charge a fee to file manifests with CBP. Third parties may offer to file manifests by receiving the information required for an e-Manifest via fax or e-mail, then using that information to create the e-Manifests on the carrier's behalf. Some customs brokers have the ability to file e-Manifests.

Q2. *Do I only need one method to transmit an e-Manifest, that is, either the ACE portal or EDI?*

A2. The trade community is strongly encouraged to have at least two methods to transmit an e-Manifest. ACE is able to receive an e-Manifest through either the ACE portal or EDI. If for any reason, however, your Internet service becomes unavailable, a third party filing via EDI would be a viable option.

Many large carriers have found it advantageous to run both their EDI and the ACE Secure Data Portal simultaneously. The portal is available wherever Internet access is available and this allows manifest filers to send or amend manifest from locations other than their offices.

Q3. *What is the current response speed through the portal? As an example, how long would it take to input a full trip with four shippers?*

A3. Once you are familiar with using the portal for submitting an e-Manifest, a full trip with four shippers could take less than 15 minutes. Having the crew, equipment, conveyance, shipper, and consignee information saved in your account can minimize your data entry time.

Q4. *When must an e-Manifest be received by CBP?*

A4. In general, an e-Manifest must be received at least one hour prior to the truck reaching the first port of arrival in the United States.

There are two exceptions:

For Free and Secure Trade (FAST)/Pre-Arrival Processing System (PAPS) carriers arriving with shipments qualified for clearance under the FAST/PAPS program, an e-Manifest can be received at least 30 minutes prior to the carrier reaching the first port of arrival in the United States.

For FAST/ National Customs Automation Program (NCAP) carriers arriving with shipments qualified for clearance under the FAST/NCAP program, a FAST/NCAP electronic declaration must be received at least 30 minutes prior to the carrier reaching the first port of arrival in the United States.

Q5. *How far in advance can an e-Manifest be submitted? May a carrier file an e-Manifest several days prior to the shipment reaching the U.S. border?*

A5. An e-Manifest can be filed well before the truck is scheduled to arrive at a U.S. border crossing. Do not transmit a manifest earlier than 30 days prior to the estimated date of arrival. The advance cargo rule specifies that the truck should not arrive any earlier than 1 hour from the time of transmission or 30 minutes if the trip qualifies for the FAST program.

Q6. *How long does an e-Manifest and an unassociated shipment remain active and available in ACE?*

A6. Both a preliminary manifest and a completed manifest that have not been arrived by CBP are deleted after 30 days. Unassociated shipments are deleted 45 days after creation if they are not associated with a manifest within the 45 day time frame.

Q7. *What features and abilities are provided by the ACE Secure Data Portal?*

A7. The ACE portal provides the following capabilities:

- Carriers have the ability to input data, track the CBP status of a truck and its cargo, and develop a variety of reports.

- Data regarding trucks, trailers, drivers, shippers, and consignees can be stored and reused, saving time for truck carriers entering recurring trip data and resulting in fewer opportunities for mistakes.

- A broker download feature, also available via EDI, enables carriers to quickly transmit shipment details to a customs broker or entry filer, helping carriers and filers reconcile manifest and entry data, minimizing errors and reducing delays. This does not replace sending the required documents needed for entry to the customs broker or entry filer.

- ACE makes it easier for CBP officers to release cargo, which can save time for truckers.

- In early 2007, new capabilities were added to the ACE portal that enable a third party filer to create an e-Manifest on behalf of another carrier. This capability has been available using EDI since March 2006.

- The ACE portal also provides a reporting tool that will allow ACE portal users to run a number of different reports.

- Carriers can request the in-bond movement of cargo via the ACE portal as well as report the arrival and export of in-bond shipments in ACE.

Q8. *What additional information/documentation do I need for border crossings using e-Manifests? Do I still need paper?*

A8. After successfully transmitting an e-Manifest, carriers or their agents should prepare and provide the driver either a CBP Form 7533 (Inward Cargo Manifest) or a cover sheet printed on plain paper. These documents should be annotated with the following minimum information in at least 22-point type:

- "**ACE Electronic Manifest"** (should be printed on the document).

- **"Trip number"** (Standard Alpha Carrier Code (SCAC), plus up to 16 alpha/numeric characters. This should be clearly labeled as "trip number." (Note: this is not the Shipment Control Number (SCN) or PAPS number))

- **Driver's Name**

- **Truck (Tractor) License Plate** (must be the one that is listed in the e-Manifest transmission to CBP)

- **SCN** (PAPS or other shipment ID SCAC, plus up to 12 alpha numeric characters)

Carriers should not place PAPS barcode labels on any forms to be handed to CBP officers in primary booths. If invoices and PAPS barcoded manifests are provided to the driver, they should remain in the driver's control and not be given to CBP, except upon request. CBP officers will use these documents only in the event of CBP system downtime or for the purpose of shipment validation/examinations.

FAST manifest cover sheets should continue to be used for FAST shipments.

Mandatory e-Manifest Policy

Q1. *How does the use of an e-Manifest impact current procedures for filing an entry?*

A1. Effects on current entry filing procedures include:

- The Shipment Control Number (SCN) must be communicated to the broker so that the broker may report the SCN on the entry. The SCN must match between the broker's entry and the manifest for e-Release to occur.

- Any documents required for release prior to ACE are still required.

- The following release processes are now automated in the e-Manifest: Section 321, Border Release Advanced Selectivity System (BRASS), Goods Astray, General Headnote 1, and the declaration of Instruments of International Traffic. This means that the carrier can request release of these shipments via the e-Manifest.

- In-bond movement authority can also be requested by the carrier via the e-Manifest.

- Brokers can also request an in-bond movement authorization. If the broker creates an in-bond movement authorization, a shipment record will be created in ACE, which the carrier must then incorporate into the e-Manifest. There are now two methods a carrier may use to associate these request to the manifest, instructions can be found at:

  http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/electronic_truck_manifest_info/inbond_info/

- CBP will continue to use Pre-Arrival Processing Systems (PAPS) as a mechanism for submitting entry data in conjunction with a carrier's ACE e-Manifest. CBP recommends continuing to use PAPS in all cases where it is currently used to file entries, even when filing an e-Manifest. As far as CBP enforcement is concerned, in the e-Manifest environment, the PAPS entry is the responsibility of the broker/importer of record, and the carrier is solely responsible for the manifest.

If the entry is not on file, the truck will not be allowed to leave the border until the entry is made or an in-bond movement is requested. Lack of an e-Manifest will ultimately result in a denial to proceed (i.e., unable to cross until compliance with the policy is achieved).

Q2. *How does the use of an e-Manifest impact PAPS?*

A2. CBP will continue to use PAPS as a mechanism for submitting entry data in conjunction with a carrier's ACE e-Manifest. CBP recommends continuing to use PAPS in all cases where it is currently used to file entries, even when filing an e-Manifest. Use of PAPS means the entry is filed via the Automated Broker Interface prior to the arrival of the truck. Filing the entry is the responsibility of the broker/importer of record.

It is imperative that brokers and carriers coordinate the filing of the entry and the manifest. While a carrier can satisfy the advance cargo rule from the Customs Border Security Act of 2002 (Trade Act of 2002) by submitting an e-Manifest, the carrier will not be able to cross the border until the entry has been filed. An e-Manifest eliminates the need for a carrier to present a PAPS barcode to the CBP officer; however, some customs brokers can scan the bar code in order to automatically record the number it represents (Shipment Control Number) into the corresponding data element in a CBP entry (master bill of lading).

Filing an e-Manifest as soon as possible benefits everyone. Advance submissions give both the carrier and the broker time to confirm that the entry data filed by the broker (through PAPS) matches the manifest data filed by the carrier (through an e-Manifest). Reporting the SCN to the entry filer enables e-Manifest data to be associated with the corresponding entry data. The SCN must be reported in the entry and must match the SCN reported in the manifest, or no entry will match the manifest, and the truck will not be allowed to proceed until an entry is linked to the manifest. The second data element that must match between shipment record and CBP entry is the manifest piece count.

Q3. *Will carriers be able to continue using other entry/release systems to submit entries and obtain cargo releases?*

A3. Yes. ACE supports existing entry/release processes, including PAPS, BRASS, in-bond processing, and Section 321 processing as well as the FAST program.

It is imperative that brokers and carriers coordinate the filing of the entry and the manifest. The e-Manifest satisfies the requirement to electronically transmit cargo information to CBP in advance of arrival at a U.S. land border port of entry. However, in addition to the e-Manifest, carriers must still make sure that arrangements have been made for the release of the cargo that they are carrying. Therefore, carriers can continue to use all existing entry and release methods, such as PAPS, and electronic in-bond (QP/WP) messages will continue to be used.

Q4. *What happens if ACE is down and it is not possible to submit a manifest electronically?*

A4. Ports have downtime procedures in place to accommodate this situation.

Q5. *Do all shipments require an e-Manifest?*

A5. The following shipments are currently exempt from the advance electronic filing requirement for incoming cargo:

- Cargo in transit from point-to-point in the United States after transiting Canada or Mexico;
- Certain informal entries:

    o Merchandise which may be informally entered on Customs Form (CF) 368 or 368A (cash collection or receipt);
    o Merchandise unconditionally or conditionally free, not exceeding $2,000 in value, eligible for entry on CF 7523; and
    o Products of the United States being returned, for which entry is prescribed on CF 3311.

The following shipment types are not specifically exempted by the regulation but use of e-Manifest is not currently required for:

- Trips consisting solely of merchandise that is subject to the provisions of 19 USC 1321 (Sec. 321 releases). If a trip is made up of Section 321 eligible shipments and shipments requiring an entry or in-bond move, all shipments on that trip must be manifested;
- Empty trucks and truck cabs may be reported via e-Manifest but are not currently required;
- These shipment types are not currently able to be reported on an e-Manifest and are therefore not required even when an e-Manifest has been filed:

    o Shipments consisting solely of IIT eligible for release under 19 CFR 10.41(a). IIT can be reported on an e-Manifest as associated to a conveyance or shipment but cannot be used as a shipment release type;
    o International mail shipments moving via a contract carrier from a foreign postal service to the U.S. Postal Service;
    o Carnets;
    o A delivery ticket (CBP Form 6043) for movement to a CBP bonded warehouse or a direct Foreign Trade Zone admission on a CBP Form 214; and
    o Shipments imported for the Department of Defense using 19 CFR 10.102/103 as a release mechanism.

All other shipments are required to provide advance electronic cargo information via an e-Manifest including personal effects using CBP Form 3299.

For more details on the advance cargo information required by the Trade Act of 2002, visit the CBP Web site at http://www.cbp.gov/xp/cgov/trade/trade_outreach/advance_info/.

Q6. *How will CBP be able to handle a rapid influx of e-Manifests?*

A6. The system has been designed to handle high volumes of electronic manifests. More than five million manifests were submitted between November 2007 and May 2008.

The number of ACE portal carrier accounts more than doubled in that same time period and now stands at over 12,000, as of May 2008.

e-Manifest – General Information

Q1. *Can multiple Shipment Control Numbers (SCNs) be submitted with multiple party records (i.e., consignees) in the same message or in separate batches?*

A1. A shipment record includes one shipper and one consignee. Additional parties to the transaction can be reported within the shipment. One SCN is used to identify one shipment. Multiple shipments can be submitted in one 309 or Customs Cargo Report (CUSCAR) message set (Electronic Data Interchange (EDI)). Multiple shipments can be created in the ACE portal and associated to one trip. One entry can be filed for multiple shipments but all of the SCNs must be reported in the entry filed.

Q2. *What is the Bill Control Number (BCN)?*

A2. The BCN is a field to report a House Bill of Lading Number. There are a variety of names that could be used for this number. For example House Air Waybill, House Bill of Lading, etc. The Multi-Modal Manifest (MMM) committee of the Trade Support Network (TSN) chose to call it BCN for the same reasons they are using Shipment Control Number (SCN) instead of Pro-bill, Air Waybill, or Ocean Bill of Lading. Future releases of ACE will accommodate accounts for Non-Vessel Operating Common Carriers and Freight Deconsolidators.

The BCN should not be used unless both the carrier and entry filer/customs broker agree to the use of this number. It has been recommended that this field not be used by either a carrier or entry filer.

Q3. *How long before a trip number, SCN or BCN, can be reused?*

A3. CBP has requested that you do not repeat a trip number for a period of one year. SCN numbers and the combination SCN and BCN numbers must be unique for at least one year and CBP recommends that they should be unique for at least three years.

Q4. *Is tariff number required for Section 321 shipments?*

A4. No. However, there are certain commodities that cannot be reported under Section 321 rules. Carriers should be careful not to request Section 321 release when not appropriate. If in doubt of the appropriate regulations to follow, consult a CBP officer or a customs broker.

Q5. *Will the Common Carrier Commodity Codes (C4 code) process allow for multiple C4 codes on one SCN record?*

A5. Yes. By entering one C4 code per commodity record, as many C4 codes as necessary can be added to the same SCN record. The Importer of Record (IR) and entry filer must be the same for all C-4 codes that are reported under one SCN. Close coordination between the customs broker/entry filer, the importer, and the carrier must be maintained. Documentation will not be transferred from the carrier to the broker by CBP.

Q6. *Was broker download included in e-Manifest: Trucks (Release 4)?*

A6. Yes. It was included and is being used today.

Q7. *Will the Secondary Notify party on a shipment receive all messages that are posted against the related SCN?*

A7. Yes. All 350 or their equivalent Electronic Data Interchange for Administration, Commerce and Transport (EDIFACT) messages will be sent to the designated Secondary Notify party.

Q8. *What is the benefit to preparing your manifest in parts, rather than waiting until you have all the information? Is this more efficient? Is this for convenience only? Will it expedite the clearance process?*

A8. The benefit of preparing your manifest in parts is to accommodate the availability of data. The three option process was developed to support the business processes in use by carriers. Some carriers may receive shipment information in advance and may create the shipments, save them, and, later, create a manifest and add the shipments at that time. Other carriers may know in advance what trucks and drivers they will be sending, but not have any shipment details available. These carriers may create and save the trip, and create and add the shipments later. Some carriers may elect to create the complete manifest and shipments together. ACE was designed to accommodate all three of these business scenarios.

Q9. *What is the purpose of the address field on the driver/crew screen and will it be the driver/crew home address?*

A9. The driver/crew address requested in e-Manifest is where, in the United States, the driver/crew could be located on the related trip. This could be a consignee's location, a hotel, a truck stop, or a family or friend's address. Free and Secure Trade (FAST) drivers are exempt from this requirement.

Q10. *If a carrier uses EDI, can they then use the portal to check the status or send updates? If yes, will they be able to see all data elements as they were transmitted via EDI?*

A10. An EDI carrier can use the portal to send updates and can see data elements that

they transmitted via EDI. An EDI carrier cannot see freight status messages in the portal if they have designated themselves as EDI filers in their account setup.

Q11. ***EDIFACT has a restriction of only accepting nine house bill of lading numbers. When will this be expanded, and can it be expanded while the message is being approved?***

A11. This feature has been modified and you can now send up to 999 BCNs (house bill of lading numbers). At this time, truck carriers and customs brokers have been asked not to use BCN's. If carriers and brokers do report them, both parties must report them for e-Release to occur.

Q12. ***Is there any sequence for submitting CUSCAR, Passenger List (PAXLIST), or Customs Conveyance Report (CUSREP) when submitting EDI in EDIFACT?***

A12. The PAXLST must be submitted after the CUSCAR or CUSREP. The CUSCAR or CUSREP can be sent in either order.

Q13. ***How will you communicate future changes?***

A13. Message formats will be posted on the CBP Web site at: http://www.cbp.gov/xp/cgov/trade/automated/modernization/carrier_info/etruck_tech_info/ace_edi_drafts/

Q14. ***How long must an ACE e-Manifest be stored?***

A14. As per 19 CFR part 163.1, the period reported in the (a)(1)(A) list is five years.

Q15. ***Is there a means for a freight forwarder to submit supplementary information in the truck manifest system similar to ocean Automated Manifest System?***

A15. Currently, any entity that has established an importer, broker, or carrier ACE account with a carrier portal view can create manifests via the ACE Secure Data Portal. Shipment records can be created and shared with other carriers by identifying the other carrier.

Q16. ***Does e-Manifest: Trucks replace PAPS?***

A16. Although ACE supports the PAPS process, it does not replace it. PAPS equates to an entry being prefiled in the Automated Broker Interface system prior to the arrival of a conveyance The CBP entry must still be filed; the earlier the entry is filed, the better. If an e-Manifest and entry have been successfully filed and both have recorded the same SCN (this number can be a PAPS number, bill of lading number, or as is used on the Southern Border, the carrier's SCAC followed by the brokers entry number) there is no need for a PAPS barcode to be given to the Primary booth officer. PAPS barcode labels are no longer required; however,

carriers can continue to use these to generate SCNs if they wish.

Note: Some customs brokers scan the PAPS barcode into a customs entry to guarantee that their entry will match up to what the carrier supplies CBP. In this case, carriers elect to continue to send PAPS barcodes to the broker (**NOTE**: do NOT hand the PAPS barcode to the Primary booth officer).

Q17. *A carrier may submit PAPS to the broker. If for whatever reason the PAPS entry fails, what happens to our manifest/driver waiting at the border?*

A17. If a prefiled entry does not post to the manifest and cannot be resolved by the primary inspector, the driver is directed to secondary where further processing can take place. A carrier could request an in-bond move via e-Manifest or further research can be done by the broker to determine why the prefiled entry (PAPS release) was not received. The most common reason a PAPS entry fails is due to a mismatch between what the broker reported as the SCN on the entry and what the carrier reported as the SCN on the manifest. There are two methods to correct this error: the broker may file a bill of lading update, reporting the SCN that was reported on the manifest, or the carrier must delete the shipment and create a new shipment (**NOTE**: A SCN cannot be changed in ACE).

Q18. *Is a carrier able to use the ACE portal to check the status on PAPS shipments? This would alleviate concerns with shipments whose brokers do not have a tracking Web site.*

A18. A carrier can verify that a CBP entry was filed via the ACE Secure Data Portal or via an EDI message only after they have filed their e-Manifest and the entry was filed. In addition, a carrier will be notified if there was a discrepancy between the manifest quantity reported by the carrier in the e-Manifest and the manifest quantity reported by the entry filer in the CBP entry. Status messages can be viewed in the ACE portal by carriers that have chosen to file their manifests via the ACE portal. Status messages can currently only be viewed by a Trade Account Owner via a tab in the portal titled "Transactions."

Q19. *Is the manifest complete only when the trip and shipment information has been submitted?*

A19. Yes. However, for empty crossings, only the trip information is required (no shipments) and marked "Complete and Submitted." For empties, a manifest is complete when crew, conveyance, and trip information has been submitted. Although you are currently not required to file an e-Manifest for empties, you are encouraged to do so.

Q20. *Is it assumed that one manifest and all of its shipments are submitted by one carrier and/or one user?*

A20. No. Any manifest filer can create a shipment record and flag it to be used by another manifest filer. In the ACE portal, this data element is called "Authorized Account." Also, a carrier can establish multiple users within their own account; this would enable multiple users to work on different aspects of the same manifest. It is not recommended that this be done at the same time.

Q21. *Can I search a manifest by shipper, wildcards, or by entering only partial information and still be able to select all shipments that match a particular piece of information?*

A21. A manifest search can be done on wildcards for the trip number and SCN. The filter also includes the Estimated Date of Arrival, First Expected Port of Arrival, Type, and Status.

Q22. *I've sold items on eBay and crossed into the United States to mail the merchandise to the buyers. How does the filing of e-Manifest affect me?*

A22. Although all commercial shipments will ultimately be required to be reported to CBP via an e-Manifest, there are some exceptions to this rule. The following is an excerpt from a public notice that has been published on the CBP Web site:

These enforcement actions are based on the implementing regulations of the Trade Act of 2002 for truck carriers found in the Code of Federal Regulations, Title 19, Part 123.92 (19 CFR 123.92). This regulation requires that advanced electronic cargo information, in the form of an e-Manifest, be provided to CBP one hour (thirty minutes for FAST) prior to the arrival of the conveyance in the first U.S. port of arrival. This rule includes goods moving under bond between U.S. ports of entry as well as goods moving in transit through the United States. The following shipments are currently exempt from the advance electronic filing requirement for incoming cargo:

- Cargo in transit from point-to-point in the United States after transiting Canada or Mexico;

- Certain informal entries:
  - Merchandise which may be informally entered on Customs Form (CF) 368 or 368A (cash collection or receipt);
  - Merchandise unconditionally or conditionally free, not exceeding $2,000 in value, eligible for entry on CF 7523; and
  - Products of the United States being returned, for which entry is prescribed on CF 3311.

The following shipment types are not specifically exempted by the regulation but

use of e-Manifest is not currently required for:

- Trips consisting solely of merchandise that is subject to the provisions of 19 USC 1321 (Sec. 321 releases). If a trip is made up of Section 321 eligible shipments and shipments requiring an entry or in-bond move, all shipments on that trip must be manifested;

- Empty trucks and truck cabs may be reported via e-Manifest but are not currently required;

- These shipment types are not currently able to be reported on an e-Manifest and are therefore not required even when an e-Manifest has been filed:

  o Shipments consisting solely of IIT eligible for release under 19 CFR 10.41(a). IIT can be reported on an e-Manifest as associated to a conveyance or shipment but cannot be used as a shipment release type;

  o International mail shipments moving via a contract carrier from a foreign postal service to the U.S. Postal Service;

  o Carnets;

  o A delivery ticket (CBP Form 6043) for movement to a CBP bonded warehouse or a direct Foreign Trade Zone admission on a CBP Form 214; and

  o Shipments imported for the Department of Defense using 19 CFR 10.102/103 as a release mechanism.

All other shipments are required to provide advance electronic cargo information via an e-Manifest including personal effects using CBP Form 3299.

Q23. ***An U.S. importer purchases seed from a Canadian supplier. The seeds are being shipped directly to 226 customers of the U.S. importer. Each of the 226 customers has a U.S. address. The importer is the actual buyer. Does CBP require that all 226 customers/addresses be reported on the e-Manifest or can the U.S. importer (buyer) be shown as the ultimate consignee?***

A23. In this specific case, the U.S. importer is the nominal consignee for consolidation. If they purchased the seed, they would also be the ultimate consignee for purposes of CBP entry. The delivery to parties would each need to be accommodated on the manifest as consignees. This would require reporting 226 SCNs, which could be tied to a single entry.

CBP Form 7533

Q1. *Are we required to keep the electronic report from the e-Manifest, the 7533, or both?*

A1. You are required to keep both. Since CBP is requesting that carriers continue to keep backup documentation for the e-Manifest, it would also be advisable to retain the hard copy.

Q2. *If we are required to keep the 7533, do we need to keep the driver's signed copy?*

A2. Yes. We will continue the same requirement as today.

Q3. *How long are we to keep these records on file?*

A3. These records are to be kept for five years. As per 19 U.S.C. 1508, the five-year statutory mark is implemented under section 163.1(a)(2)(i) of the regulations (19 CFR 163.1(a)(2)(i)). This regulation imposes a five-year retention requirement on parties involved in "any importation, declaration, or entry."

Shipment

Q1. *Why are there two places to create a shipment visible on the screen?*

A1. There are two places to create shipments within the manifest view. The first location is on the manifest/trip portlet. There are two options, "Create Shipment" or "Lookup Shipment." Creating a shipment from this location will allow you to place the shipment on this trip, or you may look up a shipment that you previously created and link the shipment to the manifest.

If you scroll down to the next portlet, the "Create Shipment" portlet you have two more options, "create shipment" and "create shipment for another carrier." If you select "create shipment" from this location, you will create an unassociated shipment, a shipment that is not linked to a manifest. You may also create a shipment for another carrier by selecting create shipment for another carrier. By reporting another carrier's SCAC code in the shipment, you can create a shipment for another carrier which will appear in his ACE account.

Q2. *Is the shipment number (in other words, the number of shipments in a manifest) equal to the number of SCNs?*

A2. Yes. There are a number of places where shipment numbers are referred to:

1. Manifest Tab, first screen, manifest box:

   Number of Shipments = The total number of shipments contained within a trip (system generated).

2. Manifest Tab, first screen, shipment box:

   Total shipment Qty = Total lowest external package units in the shipment.

3. Create Standard Shipment:

   SCN = Pro bill number, simple or master bill number. SCNs are always prepopulated with the SCAC code of the entity that created the shipment. The unique identifying number is then added by the shipment preparer. On the Southern Border, the CBP entry number is frequently used as the SCN.

   Bill Control Number = House bill number. Carriers and brokers at land border crossings are currently advised not to use this number.

   Shipment Identifier = Number provided by the shipper to be passed through to the broker when using broker download.

Q3. *Is it possible to populate the SCN, BCN, and shipment identifier according to a rule based on number ranges? For example, if I last used the number 11, can I ask for the subsequent number, that is 12?*

A3. It is the carrier's responsibility to maintain their SCNs and to ensure that other parties creating a manifest on their behalf uses SCN numbers that are unique. ACE does not generate SCNs or BCNs. It is advised that BCNs not be used at land border crossings at this time. If you are a broker or a third party filer, you must make sure that the SCN is unique for that carrier regardless of who files manifests on behalf of the carrier.

Q4. *Can the BCN have its own SCAC as it may belong to a different carrier or forwarder?*

A4. Yes, the SCAC prefix of a BCN is to be entered in the "Bill Issuer Code" field. As of January 2006, CBP has requested that BCNs or house bills of lading not be reported in the ACE e-Manifest system. If the fields are used, it is imperative that the broker and the carrier understand that an exact match must be created between the master bill of lading (shipment control number) and the house bill of lading (bill control number).

(**NOTE**: In EDI, the BCN is reported in the M1113 and M1111 elements.)

Q5. *What are unassociated shipments?*

A5. Unassociated shipments are shipments that have been created but are not yet associated to a trip. A shipment filed without a trip number is also referred to as a preliminary shipment.

Q6. *Will the list of unassociated shipments contain only those shipments created by the carrier or a party authorized by the carrier to create shipments, or will it also contain any "shell" shipment records that may have been created by the broker's filling of prefiled entry data or by the filing of entry data with incorrect shipment numbers?*

A6. The "Shipment" portlet of the ACE Secure Data Portal will show:

1. Shipments created by the carrier that have not yet been associated to a trip;

2. Shipments created by another carrier where the other carrier identified the first carriers in the data element of a shipment labeled "Authorized Account"; and

3. In-bond shipments that have been identified with the first carrier's SCAC code and filed to the Automated Commercial System's (ACS) Automated Broker Interface (ABI) via the electronic in-bond request known as QP/WP.

Prefiled PAPS entries do not create shipment records in a carriers account.

Q7. *Once shipment information is created, can it be readily moved from one trip to another without having to recreate the shipment information again?*

A7. Shipments can be linked to and delinked from trips. The shipment information does not have to be re-entered.

Q8. *Although we need the ability to enter shipments during the day and assign shipments to manifests as they are loaded, our original booking information is not accurate as to the piece and weight until we receive faxed copies from the shipper with this specific information. Is there any way we could flag these preliminary bookings until our information is verified as correct?*

A8. Shipments and manifests can be created and saved in a preliminary status by using the "Save" option. Only when the information is ready, should the "Submit to Customs" option be selected. Any subsequent changes that are made would be considered an Amendment and would require a reason code. This is akin to an EDI submission where a 309 can be marked as preliminary and later a 353 (once the Trip and Shipments are in) marks the manifest as "Complete and Submitted" to CBP. In the ACE portal, it is possible to save shipments with zero quantity and weight. When you receive accurate information (i.e., bill of lading), it is a simple process to update these data fields in the portal. In the portal, the quantity and weight are visible on the manifest trip screen, and any shipments showing zero weights or quantities can be reviewed prior to manifest submission and updated with weights and piece counts.

Q9. *What is the purpose of the data element, "Service Type, door to door, collect on delivery"?*

A9. This is a conditional MMM data element. If a service type exists, it is to be reported. It is used for purposes of analysis.

Q10. *In a Port/Point of Loading, a Less-Than-Truckload carrier has multiple pickup cities. Additionally, various shipments can be loaded at different points, perhaps into different trailers, and brought to a point where some are loaded onto different trailers. Which point does CBP really want to see and why?*

A10. Port/Point of Loading is the point at which the shipment was loaded onto the conveyance that will bring the shipment into the United States. Place of receipt is the point at which the shipment was initially picked up. Place of receipt is only required if it is different than the Port/Point of Loading.

Q11. *Can the Manifest Lookup Shipments screen be revised to provide for sorting shipments by either date of departure, shipper, consignee, or destination zip code?*

A11. Not at this time.

Q12. *If I obtain release of cargo using a CBP Form 4455 "Certificate of Registration," what shipment release type should be identified in the e-Manifest shipment record? CBP Form 4455 is not one of the selections.*

A12. The CBP Form 4455 is not a release document but a registration form that can be obtained for the purpose of assisting in the release of merchandise upon its return to the United States. If the value of the merchandise is under $2000.00 then upon return to the United States, CBP Form 4455 can be submitted along with the paper CBP Form 7523 "Entry and Manifest Merchandise Free of Duty," which is an "informal entry" process. CBP Form 7523 is also a "shipment release type" that can be identified when creating a shipment record in an e-Manifest and although an e-Manifest is not required for a truckload of cargo being released via CBP Form 7523, you CAN report this type of shipment in an e-Manifest and we would recommend that you do so.

Shipment Commodity

Q1. *At what point can you no longer update the boarded quantity or weight?*

A1. Until the record has been archived. An archival time frame has not yet been determined.

Q2. *If it is not necessary to match weight with the customs broker entry, why is this required?*

A2. Weight has always been a manifest requirement. It is a mandatory data element.

Shipment Party

Q1. *Does the carrier designate a broker on the manifest screen?*

A1. The carrier can identify the broker via the Shipment Party screen. Identifying the customs broker on the Shipment Party screen will activate the broker download process. The broker download process will send a copy of the shipment record to the designated broker via their ABI system. This is in no way "designating" a broker but only a process to share information with the broker.

Q2. *Is the consignee always the final user (i.e., a shipment is delivered to a cross dock and delivered by another carrier to its final destination)?*

A2. The consignee is the party listed on the bill of lading to whom the cargo will be delivered in the United States, (with the exception of "FROB" or Foreign Cargo Remaining On Board). If there is any other commercial party listed in the bill of lading for delivery or contact purposes, the carrier must also report this other commercial party's identity and address in the "notify party" field of the advanced electronic data transmission to CBP (19 CFR 123.92).

Q3. *When the "ship to" address is an express consolidator, and the goods are sold, or the consignee is known, does CBP require that each consignee be listed in the e-Manifest? Is each consignee required on the e-Manifest or just the "deliver to" party?*

A3. If the carrier that is crossing the border is contracted to deliver the cargo to the consignee, then shipment records must be supplied for each individual shipment.

Q4. *Is it possible for ACE to accommodate more than one "Notify Party" and more than one "type?"*

A4. The Shipment-Party option is repeatable and can be used to indicate additional parties.

Q5. *We would like to have the ability to validate or see a party's Customs Trade Partnership Against Terrorism (C-TPAT) participation.*

A5. C-TPAT participants may verify a business partner's status and eligibility in their secure C-TPAT portal.

C-TPAT Status Verification Interface (SVI) Overview

As stated in the C-TPAT Security Criteria, Certified C-TPAT partners need to verify the participation status of other eligible C-TPAT business partners. To address this need, CBP has created the SVI. The SVI allows consenting certified C-TPAT partners to verify the participation status of other consenting certified C-TPAT partners. Each party must have consented to the release of their company name among the C-TPAT membership. The SVI is the point of electronic access to verify the C-TPAT status of another Status Verification Interface Participant (SVIP).

Access to the C-TPAT SVI is now found in the C-TPAT Security Link Portal. SVI access is granted to certified C-TPAT partners who meet the specific SVIP criteria.

Trip

Q1. *Due to the Advance Manifest requirement rule, do we need to know the date and time the manifest submission was made and accepted?*

A1. Yes. On the portal, an immediate confirmation is provided to indicate CBP accept/reject. Only the message of acceptance would start the Advance Manifest Rule clock. The estimated date and time of arrival that you report in a manifest has no bearing on the one-hour clock.

Q2. *Is either the arrival date or time optional?*

A2. Estimated date and time of arrival are required. CBP recognizes that these are only estimates. A carrier will not be penalized if the truck does not appear at that date and time. The actual acceptance date/time of manifest and actual arrival date/time is used to determine compliance with the advance prefiling period regulation (30 minutes for Preferred; 1 hour for Standard) for in-bound trips in the Truck environment.

Q3. *I am having difficulty understanding the distinction between the trip number and the shipment control number. If a shipment control number is the pro-bill number, what is the trip number?*

A3. The trip number is the unique ID given to the conveyance crossing. A trip number represents one crossing, one manifest. A trip number equals one manifest, and a manifest consists of trip information, crew, passenger, conveyance, equipment, and shipments. One trip number can have multiple shipment control numbers under it.

A shipment control number represents a shipment; every shipment must have a shipment control number associated with it. Shipment control numbers are created by the carrier. You may continue to use PAPS numbers or any other number you elect to use. It must remain unique, and must be communicated to the broker so that it may be reported on the entry.

Q4. *I am still confused about the reference to trip number. Is this a PAPS number, or can we just issue any number we want?*

A4. The trip number is not the same as the PAPS number. PAPS numbers have always referenced shipments. The trip is the SCAC and a unique identifier; the SCN is often the PAPS number. This number also starts with a SCAC code and then a unique identifier. These number combinations must remain unique for three years. The pro-bill can definitely be used as the SCN, but you must make sure that the broker is aware that you have used the pro-bill as the (PAPS/SCN) number.

Q5. *Is it correct to say that the carrier creates the trip number?*

A5. Yes, the carrier is responsible for providing the unique trip numbers.

Q6. *Can a range of trip numbers be created and defaulted to the next available?*

A6. Not in the ACE Secure Data Portal, but many of the EDI software providers have built this functionality into their software packages. It is the carrier's responsibility to maintain the trip number ranges. It is recommended that you do not repeat a trip number for a period of one year.

Amendments

Q1. ***Once I have submitted a manifest, are there limits to any changes I can make to that manifest?***

A1. Once the manifest is submitted you will be able to make changes to all data elements EXCEPT:

- Standard Carrier Alpha Code (SCAC)

- Trip number

- Estimated date of arrival on a standard manifest

- Manifest Type (Manifest type code, in EDI)

- Shipment Control Number

When filing EDI, mode of transportation cannot be changed. When using the portal, e-Manifest: Trucks (Release 4) mode of transportation is established upon login.

Q2. ***How can I correct a SCN if it is wrong or doesn't match what the broker reported on the entry?***

A2. You may not change a SCN, but you may request a "bill of lading update" from the broker where the broker will change the SCN reported on the entry to match what the carrier reported as the SCN in the e-Manifest. The other option is to delete the shipment and create a new shipment with a new SCN.

Q3. ***Can a cargo message be amended once the final conveyance has been saved or submitted?***

A3. Although changes can be made after the manifest has been "Completed and Submitted," a reason code (i.e., amendment code) is to be provided to indicate the nature of the change. For auditing purposes, the carrier should maintain substantiating evidence of the change.

Q4. ***Is the system going to allow for MDR filling?***

A4. A record filed with an amendment code is considered a MDR.

Reconciliation

Q1. ***How is broker entry information linked to the manifest? If exact detail is available as to piece and weight, can the broker's entry information override our original shipment information when they tie the manifest and CBP entry together?***

A1. The entry shipment quantity will be reconciled with the carrier's shipment quantity. The broker's shipment quantity will not override the carrier's. The quantities must match to close the bill. The broker can do a "bill of lading update" to correct entry manifest quantities and a carrier can do an amendment to the manifest to correct manifest quantities. If the carrier elects to transmit a "broker download" through ACE, the shipment detail submitted via the e-Manifest will be available to the broker.

Entry Summary Accounts and Revenue
Master Data and Enhanced Accounts (A1)

Q1. *What is "Master Data and Enhanced Accounts?'*

A1. Master Data and Enhanced Accounts, known as A1, refers to the first set of ACE ESAR capabilities that were implemented during September 2007.

Q2. *Why is the implementation of A1 important?*

A2. The implementation of A1 capabilities will facilitate both CBP and the trade community's ability to manage accounts. Additionally, the implementation of A1 will essentially provide for (1) the expansion of ACE account types to include virtually every entity doing business with CBP and (2) the establishment of ACE as the official repository for account-related master data. The capabilities included in A1 lay the foundation for future ESAR features that will be deployed in phases and that will redefine and increasingly automate the way CBP does business, ultimately providing an integrated, account-based financial and entry summary processing system in ACE.

Q3. *What account types are available with the deployment of A1?*

A3. With the deployment of A1, ACE Secure Data Portal account types have expanded to include virtually every entity doing business with CBP. The account types available with the deployment of A1 include:

- Broker
- Carrier (all modes)
- Cartman
- Driver/Crew
- Facility Operator
- Filer
- Foreign Trade Zone (FTZ) Operator
- Importer
- Lighterman
- Service Provider
- Surety

For more information regarding the benefits provided by establishing any of these ACE account types visit CBP.gov at:
http://www.cbp.gov/xp/cgov/newsroom/fact_sheets/trade/ace_factsheets/ace_overview/

Q4. *If I manage multiple portal accounts, do I need multiple sign-ons?*

A4. "Cross-account access" is a feature that allows ACE Secure Data Portal account holders to more easily manage client accounts by allowing them to view multiple accounts (one at a time) with one user ID and password, eliminating the need to sign in and out of ACE. With cross-account access, any ACE user with access to more than one account can navigate from one account to another with a single sign-on.

Q5. *What is the "merge account" process?*

A5. The merge account process allows account owners to view the historical data of an acquired company through the ACE Secure Data Portal reporting tool, and add the acquired company to the purchasing company's ACE Secure Data Portal account.

In order to use the merge account process, all entities must be ACE portal accounts. A "merge" is defined as:

- One trade entity acquiring another trade entity either partially or completely; or,

- A complete merger between two trade entities to become one new entity or the acquiring entity subsuming the other trade entity.

Q6. *What CBP Form 5106 updates can be made via the ACE Secure Data Portal in A1?*

A6. With A1 capabilities, importers can create or update their Importer ID Input Record (CBP Form 5106), or designate a broker and create or update the data on the importer's behalf.

CBP Form 5106 information <u>cannot</u> be updated in ACE if the 5106 is attached to a continuous bond. In order to update 5106 information in an instance where the 5106 is attached to a continuous bond, the importer will have to submit the bond rider to the CBP Revenue Division along with a paper 5106. The CBP Revenue Division can then update the 5106 information in ACE.

Q7. *With the deployment of A1, will I still need to use a bond rider to update my CBP Form 5106 information?*

A7. Yes. If the 5106 information is attached to a continuous bond, it cannot be updated in ACE. You will have to submit a bond rider and a paper 5106 to the revenue division. The process for updating the 5106 information in this situation is the same as it is today.

Q8. *Is there any training available for the trade community on A1, and where would I find it?*

A8. An introductory Web-based training course on A1, titled "Enhanced ACE Accounts and Master Data" is available on the CBP Modernization Web site at: https://nemo.customs.gov/ace_online/, and is highly recommended for anyone interested in

understanding A1 features.

The training may also be accessed directly through the URL:
https://nemo.customs.gov/ace_online
User Name: user01
Password: 1Password

Initial Entry Summary Types (A2.2)

Q1. *What capabilities are included in ESAR A2.2?*

A1. ESAR A2.2 capabilities provide new portal and EDI capabilities consisting of functionality specific to entry summary processing including ABI Census Warning Overrides, CBP requests through the ACE portal, enhanced portal account management, and ACE Secure Data Portal reporting. Initially, this release of ESAR A2.2 will be limited only to entry types 01 (Consumption Entry) and type 11 (Informal Entry). Remaining entry types will be implemented incrementally and will be announced via subsequent publication in the Federal Register.

Q2. *Is there any training available for the trade community on A2, and where would I find it?*

A2. An introductory Web-based training course on A2, titled "Multi Modal Manifest and ESAR Enhancements" is available on the CBP Modernization Web site at: https://nemo.customs.gov/ace_online/, and is highly recommended for anyone interested in understanding A2 features.

The training may also be accessed directly through the URL: https://nemo.customs.gov/ace_online

User Name: user01

Password: 1Password

Q3. *Does the functionality in ESAR A2.2 allow me to override a Census warning?*

A3. Yes, Census warnings may be electronically overridden for ACE entry summaries prior to or after receiving a Census warning message through ABI. There will also be an ACE Census Warning ABI Query for unresolved warnings.

Q4. *How can I tell whether my entry summaries were filed in ACE or ACS?*

A3. All Account Management Detail Reports now contain the new data element "System Control Coe." For entry summaries transmitted on or after April 12, 2009, the "System Control Code" field will read ACE or ACS. For entry summaries transmitted before April 12, 2009, the field will be blank.

Q5. *Can brokers run the ESM 7025 CBP Forms 28, 29, and 4647 status report?*

A5. Yes, brokers will be able to run ESM 7025. This report is for ACE entry summaries.

Q6. *Can brokers respond to CBP Forms 28, 29, 4647 through the ACE portal?*

A6. Brokers can respond to CBP Forms 28, 29, 4647 through the ACE portal if the importer has granted the broker access to the importer's portal account.

Q7. What formats will CBP accept as attachments?

A7. CBP should be able to accept the formats listed below as attachments; however, all ports may not yet have all the required software. CBP port personnel will contact the respondent if they are unable to open the attachment. Preferable formats are marked with asterisks (*):

Extension	Application
123	Lotus 123 Application
*BMP	Windows Bitmap Format
*CSV	Comma Separated File
*DOC	Microsoft Word Application
FAX	Internal Format for TIFF Files
*GIF	Graphics Interchange Format
*HTM	Hypertext Markup Language Format
*JPG	Joint Photographic Experts Group Format
LWP	Lotus WordPro Application
MDB	Database (Microsoft Access)
MOV	QuickTime Movie
MPP	Microsoft Project Application
MSG	Outlook Mails
*PDF	Portable Document Format
*PPT	Microsoft PowerPoint Application
*RTF	Rich Text Format
*TIF	Tag Image File Format
*TXT	Text Format
*VSD	Visio Application
*XLS	Microsoft Excel Application
XML	Extensible Mark Language

Q8. *Is there a limit on the size of an attachment?*

A8. Yes, individual attachment size cannot exceed 20 MB.

Q9. *If I receive a CBP form 28, 29, or 4647 through the ACE portal, do I have to respond through the portal?*

A9. If an importer receives a CBP form 28, 29, or 4647 in their ACE portal account, they are not required to respond to the request through the ACE portal. The portal is an option; the importer can still present the paper documentation at the port. Additionally, the broker may also respond on the importer's behalf.

Q10. *Does CBP have the ability to research importer responses to CBP Forms 28, 29, and 4647 nationally?*

A10. Yes, these forms are associated to the specific importer. For example, when a CBP Import Specialist in New York looks at an importer located in Miami, the CBP Import Specialist will be able to see any Form 28, 29, and 4647s issued against the importer in Seattle. ACE is a National Account based system.

Q11. *As a broker, if I select portal as my mode of communication, will I be able to view CBP Forms 28, 29, and 4647 through the ACE portal?*

Brokers will not be able to view CBP forms through their ACE portal account. Brokers will continue to receive their courtesy copy of the forms as they do today. Brokers responding to CBP forms on behalf of their clients must do so through the importer's portal account. In order to do so, importers will need t grant brokers the appropriate access.

Q12. *Can brokers respond to a post summary request for additional documentation through the ACE portal?*

A12. Yes, brokers can respond to a request for post summary "documents required" through their ACE portal account.

Q13. *In A2.2, is there a method for a Trade Account Owner or their representative to cancel, delete, or modify a declaration they submitted, such as a blanket AD/CVD reimbursement statement?*

A13. The trade can cancel a declaration. The trade cannot delete a declaration once it has been submitted. Once a declaration is submitted, the ONLY change that can be made is with regard to the status as "cancel." NO modification to data or attachments is permitted.

Q14. *Can we post Toxic Substances Control Act (TSCA) certificates in the portal?*

A14. No, the only blanket declarations that can be posted in the portal are:

- Affidavit of Manufacturer
- Importer Certifying Statement
- Non-Reimbursement Blanket Statement (Antidumping/Countervailing Duty AD/VD)

- North American Free Trade Agreement (NAFTA) Certificate of Origin

Q15. *Are declarations only applicable to ACE entry summaries or can declarations be posted for all entry summaries?*

A15. Declarations can be posted for all entry summaries. There is however no electronic tie to the entry. If the trade provides a blanket declaration, CBP will have to search in the portal for the declaration and then do a manual match.

Q16. *When is the declaration vetted by CBP?*

A16. Declarations are not vetted at the time of filing. They are vetted as needed, in due course.

Q17. *If there is a problem with the declaration and CBP cancels it, is there a notification via the portal?*

A17. No, there is not a portal notification to the importer. Notification is done by phone or email.

Q18. *Is the expectation that trade can direct a port to ACE if they are asking for blanket declarations that the importer has already created in ACE?*

A18. Yes.

Q19. *Will that be made clear in instructions to the trade as well as CBP?*

A19. Yes, there is a policy document from CBP, which is posted on CBP.gov under Trade/Ace Entry Summary Process and Policy.

Q20. *If the importer or their designated agent created a declaration in ACE are they required to attaché a copy of the declaration?*

A20. The NAFTA Certificate of Origin requires that a copy of the official document be attached to complete the posting of the declaration record. The trade is not required to scan and attach a signed copy of a blanket AD/CVD Non-Reimbursement Certificate; however, CBP reserves the right to request a copy.

Q21. *Does the new "Declarations" function in ACE constructively satisfy the requirement to provide an ADD Blanket Non-Reimbursement Statement to each port before liquidation?*

A21. Once the trade submits the AD/CVD Non-Reimbursement Certification in ACE, it is considered to be submitted according to CBP regulations and filed at every port of entry.

Additional Entry Summary Type (A2.3.1)

Q1. *What capabilities are included in A2.3.1?*

A1. ESAR A2.3.1 provides new Portal and EDI capabilities specific to the filing and processing of AD/CVD entries (also known as type 03 entries) and AD/CVD Case Management. Additionally, importers with an ACE portal account who select "portal" as their mode of communication will now also be able to view and respond to CBP Forms 28, 29 and 4647 via the ACE Portal for all entry summaries (that is, both ACS and ACE entry summaries).

Q2. *Is there any training available for the trade community on A2.3.1, and where would I find it?*

A2. An introductory Web-based training course on A2.3.1, titled "Forms, Declarations and AD/CVD Cases" is available on the CBP Modernization Web site at: https://nemo.customs.gov/ace_online/, and is highly recommended for anyone interested in understanding A2.3.1 features.

The training may also be accessed directly through the URL: https://nemo.customs.gov/ace_online
User Name: user01

Password: 1Password

Q3. *How do I access the AD/CVD capabilities in the portal? Is this functionality available to all account users?*

A3. All account users will have access to the AD/CVD capabilities. Under the "References" tab, account users can select either the "AD/CVD Cases Search" or "AD/CVD Messages Search" hyperlink from the "task selector."

Q4. *What is meant by "AD/CVD Case Management?" How will this release improve my ability to track AD/CVD cases?*

A4. This release of ACE provides portal account users with the ability to search, display and print both AD/CVD case information and AD/CVD messages. Portal account users will also have access to important case information such as the duty deposit rates, entry summary suspension status, bond/cash status, administrative review information and events related to the case history (e.g., "Initiation," "Preliminary," "Final," "Order," "Terminate"). Other useful information such as additional header data elements (e.g., "message status," "Federal Register Notice cite," "Federal Register Notice publication date," "court order number") are located in one convenient location. All of this information facilitates the trade's ability to track the lifecycle of an AD/CVD case. Please note that the FRN cite on the "Events" sub-tab will not display for cases entered **before** February 14, 2010. Additionally, no data is displayed on the "AR" sub-tab for cases entered **before** February 14, 2010. Cases converted from ACS also do not include all information.

Q5. *Are there any AD/CVD reports with this release?*

A5. Yes, portal account users have access to the following new reports:

- **ESM 8027 (Trade Aged Liquidation AD/CVD Entry Summary Report):** This report displays all non-liquidated AD/CVD entry summaries as well as those liquidated within the past year. The liquidated entry summaries are displayed in two aging buckets: one representing entry summaries liquidated in the past 180 days; the other representing those liquidated during the period from 181 days past to one year ago.

- **AD 8027 (Trade Aged Liquidation AD/CVD Entry Summary Extract Report):** This report extract provides the same information as ESM 8027. This extract will return up to one million records and must be scheduled.

Additionally, users will be able to modify the following two reports to include AD/CVD information:

- **ESM 7008 (Entry Summary Line Detail Report):** This report is an enhancement to the existing AM 008 (Account Management Entry Summary Line Detail Report).

- **ESM 7068 (Entry Summary Report):** This report is an enhancement to the existing AM 068 (Account Management Entry Summary Report).

Q6. *What specific enhancements will be made to the current forms functionality?*

A6. Importers with an ACE portal account who select "portal" as their mode of communication will now be able to view and respond to CBP Forms 28, 29, 4647 via the ACE Portal for all entry summaries (that is, both ACS and ACE entry summaries).

Q7. *How can I tell if CBP has sent me a CBP form 28, 29, or 4647? Do I need to check all of my IR numbers?*

A7. This most recent ACE release will bring a paradigm change in the way the trade will be operating with respect to forms. Trade members will need to go into the portal on a weekly basis to check for forms. Forms will appear on the "Home" tab for all IR numbers in the account list. Importers will also be able to search for a form at the IR level. For more detailed instructions pertaining to forms, please check the "Receiving and Responding to CBP Forms" user guide, currently posted on CBP.gov/Modernization.

Q8. *As a broker, will I be able to create declaration records for my non-portal account clients?*

A8. Yes, brokers with an ACE portal account will now be able to create declaration records for their non-portal accounts. Brokers with clients possessing their own importer portal accounts, however, will not be able to create declaration records on behalf of those clients. Brokers will have to be granted access as a "user" on the importer's portal account in order to create the declaration records. Brokers will also be able generate a Trade Declaration report by running AM 7002. For more information on Declarations, please visit CBP.gov/Modernization where you will find the updated "Declarations User Guide."

Q9. *If I am a broker with an ACE Portal account, am I able to respond to forms on behalf of my importer through my portal account?*

A9. No, however importers with ACE Portal accounts can grant their brokers access to their portal account to respond to forms on their behalf. In addition brokers will be able to run ESM 7025 (CBP Form 28, 29, 4647 Status Report) to view all CBP Forms 28, 29s and 4647 issued to them. Brokers will continue to receive their courtesy copy through the mail.

Q10. *As an EDI participant, what can I expect with this release?*

A10. EDI trade participants are able to file entry summaries electronically in ACE for entry types 03 using a better organized, more descriptive ACE ABI CATAIR (Customs and Trade Automated Interface Requirements) document. Filers have the ability to run an ABI query of AD/CVD case information. Information returned in the query output includes data required by ABI filers to successfully file anti-dumping or countervailing duty entry summaries in ACE.

Q11. *Where can I find the declaration number?*

A11. The declaration number is provided on the confirmation screen when the user has successfully created a declaration record in ACE. Importers will need to provide this number to their filers as appropriate for ACE AD/CVD entry summaries. The declaration number can be submitted as part of the filer's EDI transmission on the 53 record.

Q12. *Who can see the declaration record once it is created?*

A12. Once the declaration record is created in the ACE portal it is viewable nationwide by CBP.

Q13. *Has the ACE Business Policy document been revised to include the changes with this new release?*

A13. The ACE Business Policy document has been revised to include changes for the A2.3.1a release. This document will continue to be updated to keep up with new functionality. For more information on the ACE Business Policy Document, visit CBP.gov/Modernization.

Q14. *Currently in ABI we do not have an edit against specific rate; this is manually calculated by the user. Will that change with ACE? Will the edit be more restrictive?*

A14. In general, ACE will have "validations" which will include:

- The specific rate reported in the AE must match the case specific rate;

- The AD/CVD value of goods amount in the 53-record must be zero;

- The AD/CVD quantity in the 53-record must be greater than zero; and

- The AD/CVD duty submitted in the 53-record must match the calculated duty.

Q15. *Is Remote Location Filing (RLF) be available for entry type 03 entries?*

A15. No, RLF is limited to type 01 and 11 ACE entry summaries at this time.

Q16. *Where can I find more information on this release?*

A16. CBP has posted ACE web-based training (WBT) titled "ACE Forms, Declarations and AD/CVD Cases" on CBP.gov/modernization under the "Training and Reference Guides" section. Additionally, CBP has posted updated sections of the ACE User Guide reflecting detailed instructions on using the A2.3.1a capabilities. The section is titled, "AD/CVD Cases and Messages" and provides instructions on searching and printing information related to AD/CVD cases and messages. To access this section, go to CBP.gov under ACE Modernization/Training & Reference Guides/ACE Portal Accounts Management. The updated sections are as follows:

- "Blanket Declaration Records" provides instructions on creating, searching and printing declaration records for portal and non-portal accounts.   To access this updated section, go to CBP.gov under ACE Modernization/Training and Reference Guides.

- "Running ACE Reports for all Importer, Broker, and Surety Trade Users" provides information on basic functionality of the ACE Reports Tool and outlines detailed instructions on how to access available reports (including standard, modified, customized, and automated data extract (ADE) report). To access this updated section, go to CBP.gov under ACE Modernization/Training and Reference Guides.

- "ACE 101" provides an overview of the ACE Secure Data Portal as well as current and future ACE features. To access this updated section, go to CBP.gov under ACE Modernization/What is ACE.

Q17. *What is an importer certifying statement? Does this cover the Toxic Substances Control Act (TSCA)?*

A17. An importer certifying statement is a statement made by an importer indicating that they qualify for a free trade agreement or tariff preference program. The importer certifying statement does not cover TSCA.

Q18. *When selecting "AD/CVD Messages Search" what is the "Message Date?"*

A18. The message date is the date the message is put into "active" status by the CBP AD/CVD Branch.

Periodic Monthly Statement

Q1. *Must the importer and/or broker participate in ACE to be eligible for Periodic Monthly Statement? Who determines if an importer is eligible?*

A1. If the importer is a self-filer, they must be an ACE account. If the importer utilizes a broker, the broker must have an ACE account. The paying party must utilize Automated Clearinghouse (ACH) debit/credit and have a continuous bond on file with CBP. For details on eligibility requirements and how to apply for participation, please visit the link: http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_periodic_monthly_statement/

Q2. *Can a foreign importer of record become an ACE participant and take advantage of periodic payment?*

A2. A foreign importer of record can become an ACE participant and take advantage of Periodic Monthly Statement payment, if the importer has a resident agent with a U.S. address. The U.S. business address provided to CBP can be that of his broker.

Q3. *If a broker becomes an ACE account, can he select to have all of his entry summaries paid under Periodic Monthly Statement, regardless if the importer is an ACE account?*

A3. A broker that becomes an ACE account can submit entry summaries under Periodic Monthly Statement on behalf of their importers that are not ACE accounts. The importer, however, must still be approved for Periodic Monthly Statement and must send in the required information to CBP. For ACE application information, please visit: http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_app_info/

Q4. *I am a new ACE participant as a customs broker. I was under the impression that as an ACE approved broker we could get periodic statement privileges for our entries, but it appears that each importer has to be first approved individually. Is this correct?*

A4. Correct. Each importer must apply and be approved for periodic payment before the broker can begin flagging entry summaries on their behalf.

Q5. *Where can I find a phone number to contact someone about periodic monthly payments?*

A5. For business or technical questions on Periodic Monthly Statement payments, please contact your Automated Broker Interface client representative. For questions concerning payments you made on Periodic Monthly Statements, please send an email to PMSUsermailbox@cbp.dhs.gov.

Q6. *Can an importer use a broker's ACH account at this time?*

A6. An importer can have their entries appear on a broker statement if the importer has been approved for Periodic Monthly Statement and if the broker has an ACE account. However, when a broker statement is paid, the broker's ACH Debit payer unit number must be used (just like regular Daily Statements in ACS today).

Q7. *Can the importer participate in Periodic Monthly Statement without a broker?*

A7. Yes, an importer with an ACE account can have Periodic Monthly Statements without using a broker as long as they themselves have a filer code within their ACE Account, thus giving them a "broker view" within ACE.

Q8. *If both the broker and the importer have signed up, from whose ACH account is the Periodic Monthly Statement paid?*

A8. That is a business decision between the importer and the broker. The ACH account that will be debited for periodic payments can be either the broker's or importer's.

Q9. *Is a broker who acts as the importer of record eligible for periodic payment?*

A9. Yes. Brokers are eligible to participate in Periodic Monthly Statement for all entries where they are the importer of record.

Q10. *Are duty free entries allowed on a Periodic Monthly Statement?*

A10. Duty free entries can be scheduled for the Periodic Monthly Statement process. However, when this is done, the Periodic Monthly Statement will not include these entries if you are viewing the statement via the ACE portal. If a Periodic Daily Statement has no money due (all duty, tax, and fee-free entries) then the Periodic Daily Statement will be listed on the Periodic Monthly Statement. When this occurs, the trade community must still submit a $0 PN (Periodic Daily Statement ACH Debit Authorization/Entry Summary presentation) transaction.

Q11. *How do I indicate the monthly statement on which an entry summary will appear?*

A11. The Periodic Statement Month field is a new data element on the 30 record of the El transaction. This field designates what month an entry summary should appear on the Periodic Monthly Statement and has an edit to ensure that the statement month is equal to or greater than the print date.

Q12. *When will an entry summary appear on the Periodic Monthly Statement?*

A12. Entry summaries do not become part of the Periodic Monthly Statement until the PN transaction is processed for a particular Periodic Daily Statement. The PN relates to a specific Periodic Daily Statement. The entry summary appears on the Periodic Daily Statement. What appears on the Periodic Monthly Statement is the Periodic Daily Statement Number that listed the specific entry summary. When the El transactions are filed, the filer identifies the Periodic Monthly Statement on which they should appear.

Q13. *Are any changes required for ACH credit?*

A13. Under Periodic Monthly Statement ACH Credit, participants will have to transmit the PN transaction through ABI for all Periodic Daily Statements. Today, for regular daily statements, ACH Credit participants provide their financial institution with the daily statement number and dollar amount for regular daily statements. For Periodic Monthly Statement, ACH Credit participants will provide the Periodic Monthly Statement number and the dollar amount to their financial institution.

Q14. *Who controls the print date for the preliminary Periodic Monthly Statement?*

A14. For broker statements, Payment Type Indicator 6, the broker controls the print date. For importer statements, Payment Type Indicator 7 or 8, the importer controls the print date. The default print date for all preliminary monthly statements is the 11th working day of the month. These dates can be changed on the portal.

Q15. *Can entry summaries be deleted after the preliminary Periodic Monthly Statement has been generated?*

A15. Yes. An entry summary can be removed from a periodic daily statement after the final periodic daily statement has been generated but prior to the payment of the Periodic Monthly Statement.

Q16. *Can a RLF entry be removed from a periodic statement?*

A16. RLF entries cannot be removed from a periodic or regular daily statement. However, the filer can change the payment due date and effectively reschedule the RLF entry for a future daily statement. This gives the filer time to correct the entry summary and contact the port where the RLF was filed to request that the entry be cancelled. Filers cannot change an RLF filed entry from a statement pay type to a non-statement pay type.

Q17. *Can all entry summaries be included on a Periodic Monthly Statement?*

A2. No. The following entry summaries are not allowed to be scheduled in the Periodic Monthly Statement process:

- Entry summaries with IRS taxes

- Reconciliation entries (entry type 09)

- NAFTA duty deferral entries (entry type 08)

Q18. *Does an importer have to have a continuous bond to participate on Periodic Monthly Statement?*

A18. An importer must have a continuous bond on file with CBP to participate in Periodic Monthly Statement.

Reports

Q1. *What information is available on ACE reports for importers and brokers?*

A1. There are more than 125 downloadable and customizable reports, based on the account type. There are reports for importers, brokers, truck carriers, and sureties. For importers and brokers there are entry summary, entry summary compliance, cargo entry, and cargo exam reports. Additionally, brokers can access broker management reports. For truck carriers there are reports covering transactions, in-bond and carrier activity. A bond report and surety power of attorney are available for sureties. Users can save reports in Excel, CSV, and PDF format for manipulation and analysis.

More information can be found on reports by visiting:
http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_reports/.

Web Based Training (WBT) is also available for the trade. To take any of the WBTs, visit the "Training and Reference Guides" section on www.cbp.gov/modernization.

The training may also be accessed directly through the URL:
https://nemo.customs.gov/ace_online

Q2. *How many years of historical records are being made available to us?*

A2. Currently, ACE reports include data from the last three CBP fiscal years and the current fiscal year. The CBP fiscal year runs October 1 through September 30.

Q3. *How frequently is data updated in ACE Reports?*

A3. Entry and entry summary data are refreshed nightly. Entries filed on Monday should be available for reports run on Tuesday. For truck carriers, transaction data in reports is also refreshed nightly. Compliance data is refreshed monthly, normally around the 25th of the month. Bond data is refreshed nightly. Periodic monthly statement is refreshed hourly.

Q4. *What is the difference between ACE reports and the Authorized Data Extract?*

A4. The primary difference between running an ACE detail report and scheduling an Authorized Data Extract is the amount of data returned to the user. The maximum number of rows in an ACE report is approximately 60,000 depending on the report. The Authorized Data Extract will allow the user to extract up to 1,000,000 rows of data.

Q5. *Is there an Authorized Data Extract available for all account users?*

A5. No. At this time, the Authorized Data Extract is only available to importer and broker ACE accounts for Account Management cargo entry, cargo exam, entry summary and entry summary compliance reports as well as Account Revenue reports.

Q6. *Is there any special software that I need for the Authorized Data Extract?*

A6. If the extract is over 65,000 rows where it cannot be opened in a spreadsheet such as Microsoft Excel, you will need a more robust database tool such as Microsoft Access or some other software application that will allow you to open the extract.

Q7. *Is there any special software that I need to have for the new ad hoc reporting capabilities?*

A7. It is preferable that users have Java 1.5 or 1.6 installed on their computers.

Q8. *What is the "ACE Portal Reports Dictionary?"*

A8. The "ACE Portal Reports Dictionary" is a reference guide of the most frequently run Account Profile, Account Management and Transactions reports in the ACE Secure Data Portal. The dictionary is designed to enhance the understanding of reports for ACE users, to assist in identifying the report that best fulfills a particular business need and to encourage the overall use of the reporting tool. The dictionary defines each report and its corresponding data objects, making it easier to identify which report will best meet the user's needs.

Q9. *Where can I find the reports dictionary?*

A9 Importers, brokers, and carriers can download a PDF version of the dictionary from the link below.

http://cbp.gov/xp/cgov/trade/automated/modernization/ace_welcome/ace_reports/ace_portal_reports_dictionary/

"The ACE Portal Reports Dictionary" is also available by selecting the "Help" folder in the reporting tool. A separate dictionary is available for truck carriers, importers, brokers, sureties, CBP and Participating Government Agencies.

PGAs can download the dictionary from the PGA resource center at http://www/itds.gov under the "User Support Tools-What New" section.

Post Summary Corrections

Q1.   *What is a Post Summary Correction (PSC)?*

A1.   The PSC is essentially a new entry summary version and is a full replacement of the entry summary data, which CBP considers to be the importer's "assertion" that it is the most recent entry summary data is correct.

Q2.   *Can a PSC be submitted for an entry summary which was filed in ACS?*

A2.   No, PSC is a new ACE process that replaces post entry amendments (PEAs) for all ACE entry summaries

Q3.   *What does the term "PSC filer" refer to?*

A3.   PSC filer is a new term, as well as a new field within ACE it can be the same filer as the original entry summary filer or it could be a different filer.

Q4.   *Will the trade be able submit quarterly PSCs?*

A4.   No, quarterly submissions are not allowed for ACE entry summaries. All changes to ACE entry summaries must be made electronically.

Q5.   *Can a PSC be submitted for an informal (type 11) entry summary?*

A5.   No, PSCs are not permitted on an informal (type 11) entry summary.

Q6.   *Can the importer of record number be changed on an entry summary via PSC?*

A6.   No, importer of record numbers will not be permitted to be changed via PSC. A list of other additional data elements not permitted to be changed via PSC is available in the ACE ABI CATAIR, located at the following link:

http://www.cbp.gov/xp/cgov/trade/automated/modernization/ace_edi_messages/catair_main/abi_catair/

Q7.   *How many PSCs can be done on one entry summary? Are there any time constraints?*

A7.   There is no limit to the number of changes that may be submitted. The change is the filer's assertion of the entry summary and will be treated as a full replacement of the entry summary. Changes will be processed as a resubmitted entry summary and will go through

the same edits and validations as today. The filer has a 270-day window from the date that CBP accepted the entry to submit a PSC. A PSC shall not be accepted, however, if the scheduled liquidation date is within 20 days of the filing. This is to ensure that CBP has adequate time to review and process the changed entry summary information.

Q8. *After the PSC is accepted, do any additional PSCs have to be from the same filer?*

A8. No, multiple PSC may be filed by multiple different filers.

Q9. *How does CBP verify that a PSC filing submitted by a broker other than the original broker is appropriate?*

A9. The system does not do an edit check on the broker. CBP will assume that the appropriate powers of attorney are on file with regard to the PSC filing.

Q10. *What information is available to me if I am the original filer, but not the PSC filer?*

A10. The JB record in the ACE CATAIR document lists the information that is available via the Entry Summary Query; however, only limited entry summary information will be available to you in this situation as the original filer but not the PSC filer. If you are the original filer of the entry summary **and** the PSC filer, you will have visibility to the full content of the original entry summary information, as well as the new filing.

Q11. *Right now, even if I don't file the PSC for my importer, I get an ABI courtesy liquidation notice. Will I continue to get this ABI notice if a different party files the PSC?*

A11. There will be a change with PSC. Only the most recent PSC filer will receive the courtesy notice.

Q12. *How does the trade know when CBP has completed its review of a PSC?*

A12. If the PSC is reviewed and rejected, a UC message will be sent to the current owner. Otherwise, there is no 'completion of review/acceptance' output message available. Use the Entry Summary Query transaction to determine entry summary status.

Q13. *May I claim NAFTA (North American Free Trade Agreement) on a PSC?*

A13. No, NAFTA post-importation claims must be made via a 520(d) claim or a protest.

Q14. *Can PSC be filed on an entry that is paid via single payment, e.g., if the PSC was removed from a statement and subsequently paid individually?*

A14. Yes, once CBP has received payment on the entry summary, a PSC may be filed, even if the entry summary was paid via "single pay."

Q15. *If I file a PSC as "accelerated liquidation," may I file another subsequent PSC?*

A15. No, if accelerated liquidation is requested on a PSC, the entry summary will liquidate in the two-week liquidation cycle, and no additional PSCs may be filed.

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