The Race for ACE
ACE as Single Window by November 1, 2015

Tuesday, August 18, 2015
Welcome & Introductions

Laurie Arnold, President – Atlanta Int’l Forwarders and Customs Brokers
- Regulatory Compliance Officer, JAS Forwarding (USA)
- AIFBA: http://www.aifba.com

Lisa Gelsomino, President/CEO – Avalon Risk Management
14th Term COAC, Trade Support Network, Customs Surety Executive Committee (CSEC)
- Email: lgelsomino@avalonrisk.com; Phone: 847-700-8192

Benita Brewer, ACE Ambassador, Atlanta Field Office
Evan Johnson, ACE Business Office, Capability Owner, ACE Cargo Release
Virginia McPherson, ACE Business Office, Capability Owner, ACE ES (ESAR)

Patrick Raul Dimapindan, Consumer Safety Officer for Program Development and Implementation Branch, Division of Import Operations

Sandra Coty, Vice President of Customs Brokerage – OHL
LACBFFA Board Member, Marketing & Communications, TSN, ACE Guru
- LACBFFA ACE Resource Page: http://www.lacbffa.org/resources_ace

Craig Seelig, Product Manager, Customs & Compliance – Wise Tech
TSN Trade Ambassador and Technical Advisory Committee
- Email: Craig.Seelig@wisetechglobal.com; Phone: 847 364 5600
BIEC was formally established on February 19, 2014

Executive Order 13659 has two main requirements:

1) The completion and government-wide utilization of the International Trade Data System (ITDS) by December 31, 2016.
2) The establishment of a two-tiered governance structure to manage implementation between Department of Homeland Security (DHS), Customs and Border Protection (CBP) and various PGAs.

Maria Luisa Boyce, Customs and Border Protection (CBP)
Senior Advisor to the Commissioner for Private and Trade Sector Engagement, Office of Trade Relations, Office of the Commissioner

Captain Domenic J. Veneziano, U.S. Food & Drug Administration
Director, Division of Import Operations
U.S. Food & Drug Administration (FDA), U.S. Public Health Service
From 5/28 through 8/20, BIEC outreach has been conducted in Top 20 Ports including several webinars.
## PGAs in ACE Single Window

<table>
<thead>
<tr>
<th>Department</th>
<th>Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Agriculture</td>
<td>• [Agricultural Marketing Service (AMS)]</td>
</tr>
<tr>
<td></td>
<td>• [Food Safety and Inspection Service (FSIS)]</td>
</tr>
<tr>
<td></td>
<td>• Animal and Plant Health Inspection Service (APHIS) – [See July 2015]</td>
</tr>
<tr>
<td>Department of Commerce</td>
<td>• National Marine Fisheries Service (NMFS)</td>
</tr>
<tr>
<td></td>
<td>• Enforcement and Compliance (E&amp;C)</td>
</tr>
<tr>
<td>Department of Defense</td>
<td>• Defense Contracts Management Agency (DCMA)</td>
</tr>
<tr>
<td>Department of Health &amp; Human Services</td>
<td>• Centers for Disease Control and Prevention (CDC)</td>
</tr>
<tr>
<td></td>
<td>• [Food and Drug Administration (FDA)] – [See July 2015 Presentation]</td>
</tr>
<tr>
<td>Department of Homeland Security</td>
<td>• U.S. Customs and Border Protection (CBP)</td>
</tr>
<tr>
<td>Department of Justice</td>
<td>• [Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)]</td>
</tr>
<tr>
<td></td>
<td>• Drug Enforcement Administration (DEA)</td>
</tr>
<tr>
<td>Department of State</td>
<td>• Directorate of Defense Trade Controls (DDTC)</td>
</tr>
<tr>
<td>Department of Transportation</td>
<td>• National Highway Traffic Safety Administration (NHTSA)</td>
</tr>
<tr>
<td>Department of Treasury</td>
<td>• Alcohol and Tobacco Tax and Trade (TTB)</td>
</tr>
<tr>
<td>Independent Agencies</td>
<td>• Environmental Protection Agency (EPA) – [See July 2015 Presentation]</td>
</tr>
</tbody>
</table>

BIEC/ITDS/PGA Resources

- PGA Pilot Schedule
- Outreach Calendar
- Webinars
- Federal Register Notices (FRNs)
Automated Commercial Environment (ACE) Program Status
Agenda

- **ACE Program Overview**
  - ACE Mandatory Dates
  - Key Dates for ACE Transition
  - ACE Progress
  - ACE Remaining Deployments
  - Functionality to Support November 1
  - ACE at a Glance
  - CBP Support Network (CSN)
  - Filing Status

- **ACE Capabilities**
  - Entry Summary
  - DIS
  - Cargo Release

- **Partner Government Agencies and Pilots**
  - PGA Readiness for November 1
  - Forms for November 1
  - PGA Pilot Rollout
  - PGA Integration & Message Set

- **Resources and Support**
  - ACE Support Resources
  - Local ACE Contacts
ACE Program Overview

Benita Brewer, ACE Ambassador
Atlanta Field Office, CBP
# ACE Mandatory Dates

<table>
<thead>
<tr>
<th>Mandatory Date</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| MAY 1 2015     | Electronic imp/exp manifests, for all modes of transport, must be filed in ACE  
  - Import Manifest  
  - Export Manifest  
    - Cannot mandate filing in ACE until regulations published  
    - Current processes for export manifest will continue to be supported, but as of 5/1/15, all ELECTRONIC export manifests must be filed in ACE |
| NOV 1 2015     | All electronic entries and entry summaries must be filed in ACE  
  - Includes Partner Government Agency (PGA) requirements at time of entry or entry summary  
  - Paper filings allowed today, e.g., non-ABI, will continue to be supported |
| OCT 1 2016     | All remaining electronic portions of cargo process must be done in ACE  
  - Protest, Liquidation, etc. |
Key Dates for ACE Transition

Deployment of Key ACE Capabilities

- **January 2015**: Electronic import manifest for air and export manifest for air/ocean/rail
- **May 1, 2015**: ACE mandatory for all electronic manifest filings
- **July 11, 2015**: Deployment E functionality for Nov. 1
- **May 20, 2015**: Functionality for Nov. 1 delivered to CERT environment for trade testing
- **September 2015**: Begin rollout of PGA pilot
- **July 2016**: All remaining core trade processing capabilities delivered

ACE Mandatory Dates

- **May 1, 2015**: ACE mandatory for all electronic manifest filings
- **November 1, 2015**: ACE mandatory for all electronic cargo release and related entry summary filing
- **October 1, 2016**: ACE mandatory for all remaining electronic portions of the CBP cargo process
  - Less than 3 months away
  - 14 months away
ACE Progress

PRE-ARRIVAL MANIFEST
- Air Manifest
  - Inbond
- Rail Manifest
  - Inbond
- Ocean Manifest
  - Inbond
- Truck Manifest
  - Inbond

ARRIVAL CARGO RELEASE
- Remaining Entry Types
- FTZ Admissions
- Diversions
  - Remote Location Filing
- Certified from Summary
- Air/Ocean/Rail/Truck
  - Inbond Movements
  - Splits/Partials
  - Corrections/ Cancellations
  - ABI Query
- Initial Entry Types
  - 01, 11, 03
- Cargo Release Pilot - Air Baseline
- Unified SE/ISF filing

POST RELEASE ENTRY SUMMARY
- Entry Summary Validations
- AD/CVD Case Mgmt
- Automated Forms
- Post Summary Corrections
- Initial Entry Summary Types
  - 01, 11, 03
- Periodic Monthly Statement
- eBond

EXPORTS
- Transition AESDirect to ACE
- Ocean/Rail Export Manifest
- Air Export Manifest (CAMIR)
- AES Commodity filing and incorporation of AES into ACE
- Census/BIS reg changes
- DIS Ocean Manifest Pilot

PGA INTEGRATION
- Remaining Import and Export PGA Capabilities
- Document Image System
- Interoperability
- PGA Message Set
ACE Remaining Deployments

- CBP has continued to make strong progress on the ACE development schedule
- 5 of 7 deployments issued
- Dates for final 2 deployments are:

<table>
<thead>
<tr>
<th>Deployment F</th>
<th>Deployment G</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 31, 2015</td>
<td>July 2, 2016</td>
</tr>
<tr>
<td>January 9, 2016</td>
<td></td>
</tr>
</tbody>
</table>

- Full schedule of development is available on cbp.gov/ace

ACE at a Glance: August 2015

**Requirement:** 100% of eligible electronic entries and associated entry summaries filed in ACE by November 2015

**Software Providers:**
- 36

**Total Filers:**
- 3,144

**Submission Rates:**
- 2.3%

**Cargo Release:**
- 75% Certified
- 77% Approved
- 2.3%

**Entry Summary:**
- 100% Certified
- 100% Approved
- 61%
CSN: Field Readiness Coordinators

- Support the ACE Ambassadors in their outreach efforts to CBP and the trade community.
- Serve as a liaison between OT/ABO, OFO Cargo and Conveyance Security, Field Offices, and ACE Ambassadors.
- Serve as an ACE POC for OFO and OT offices, as needed.
CSN: ACE Ambassadors

- Provide insight and subject matter expertise critical to the successful transition to ACE for CBP and trade stakeholders within their area of responsibility.
- Serve as an ACE advocate and point of contact for the field/port office or the Center for Excellence and Expertise (CEE), and for the trade community.
- Work with ABO to obtain current ACE information and materials (e.g., presentations) for distribution.
- Distribute materials, coordinate briefings and presentations, and conduct outreach efforts with CBP personnel and the trade community, as needed.
# ACE Cargo Release Filing Status for the month of July 2015 – Atlanta Field Office

<table>
<thead>
<tr>
<th>Port Code</th>
<th>Port Name</th>
<th># Filed</th>
<th># Filers</th>
</tr>
</thead>
<tbody>
<tr>
<td>1401</td>
<td>Norfolk – Newport News, VA</td>
<td>247</td>
<td>6</td>
</tr>
<tr>
<td>1404</td>
<td>Richmond-Petersburg, VA</td>
<td>7</td>
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<tr>
<td>1501</td>
<td>Wilmington, NC</td>
<td>85</td>
<td>3</td>
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<tr>
<td>1502</td>
<td>Winston-Salem, NC</td>
<td>92</td>
<td>1</td>
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<tr>
<td>1503</td>
<td>Durham, NC</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>1512</td>
<td>Charlotte, NC</td>
<td>525</td>
<td>14</td>
</tr>
<tr>
<td>1601</td>
<td>Charleston, SC</td>
<td>431</td>
<td>11</td>
</tr>
<tr>
<td>1703</td>
<td>Savannah, GA</td>
<td>536</td>
<td>11</td>
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<tr>
<td>1704</td>
<td>Atlanta, GA</td>
<td>1,214</td>
<td>23</td>
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</table>
# ACE Entry Summary Filing Status for the month of July 2015 – Atlanta Field Office

<table>
<thead>
<tr>
<th>Port Code</th>
<th>Port Name</th>
<th># Filed in ACE</th>
<th>% of filings at Port</th>
<th># Filers</th>
<th># Filers in ACE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1401</td>
<td>Norfolk – Newport News, VA</td>
<td>14,963</td>
<td>51.7%</td>
<td>656</td>
<td>373</td>
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<tr>
<td>1404</td>
<td>Richmond-Petersburg, VA</td>
<td>421</td>
<td>75.0%</td>
<td>67</td>
<td>42</td>
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<tr>
<td>1409</td>
<td>Charleston, WV</td>
<td>33</td>
<td>91.7%</td>
<td>6</td>
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<tr>
<td>1501</td>
<td>Wilmington, NC</td>
<td>2,183</td>
<td>59.3%</td>
<td>313</td>
<td>179</td>
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<tr>
<td>1502</td>
<td>Winston-Salem, NC</td>
<td>271</td>
<td>66.6%</td>
<td>86</td>
<td>45</td>
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<tr>
<td>1503</td>
<td>Durham, NC</td>
<td>886</td>
<td>59.7%</td>
<td>146</td>
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<tr>
<td>1511</td>
<td>Beaufort-Morehead City, NC</td>
<td>6</td>
<td>31.6%</td>
<td>7</td>
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<tr>
<td>1512</td>
<td>Charlotte, NC</td>
<td>5,704</td>
<td>72.1%</td>
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<tr>
<td>1601</td>
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<td>15,645</td>
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<td>699</td>
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<td>1602</td>
<td>Georgetown, SC</td>
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<td>815</td>
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<tr>
<td>1604</td>
<td>Columbia, SC</td>
<td>135</td>
<td>63.1%</td>
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<tr>
<td>1701</td>
<td>Brunswick, GA</td>
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<td>84%</td>
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<td>1703</td>
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<td>25,180</td>
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<td>446</td>
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<td>1704</td>
<td>Atlanta, GA</td>
<td>27,260</td>
<td>67.2%</td>
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# ACE Post Summary Corrections Filing Status for the month of July 2015 – Atlanta Field Office

<table>
<thead>
<tr>
<th>Port Code</th>
<th>Port Name</th>
<th># Filed</th>
<th># Filers</th>
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</thead>
<tbody>
<tr>
<td>1401</td>
<td>Norfolk – Newport News, VA</td>
<td>55</td>
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<tr>
<td>1501</td>
<td>Wilmington, NC</td>
<td>12</td>
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<td>1503</td>
<td>Durham, NC</td>
<td>9</td>
<td>4</td>
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<td>1512</td>
<td>Charlotte, NC</td>
<td>19</td>
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<tr>
<td>1601</td>
<td>Charleston, SC</td>
<td>431</td>
<td>11</td>
</tr>
<tr>
<td>1603</td>
<td>Greenville-Spartanburg, SC</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>1703</td>
<td>Savannah, GA</td>
<td>88</td>
<td>15</td>
</tr>
<tr>
<td>1704</td>
<td>Atlanta, GA</td>
<td>108</td>
<td>22</td>
</tr>
</tbody>
</table>
Resources and Support
# ACE Support Resources

## Technical
For technical support with the ACE system, functions or data, please contact:

- ace.support@cbp.dhs.gov
- (866) 530-4172

## General
For non-technical inquiries please submit questions to:

- askace@cbp.dhs.gov

## Electronic Data Interchange (EDI)
For issues concerning submitting data to ACE through EDI, please contact your assigned client representative. If you don’t have one please contact:

- (571) 468-5500
Stay up to date on ACE

Outreach
• Stay up to date on community events and webinars.
  • www.cbp.gov/aceoutreach

Training
• Find user guides and online courses on the ACE Portal and system functions.
  • www.cbp.gov/trade/ace/training-and-reference-guides

Email Alerts (CSMS)
• Receive automatic updates on ACE on: system outages, new capabilities, technical documentation and more.
  • https://service.govdelivery.com/accounts/USDHSCBP/subscriber/new

FAQs
• Answers to some of our most frequent questions on: ACE Portal, manifest filings, cargo release, and more.
  • www.cbp.gov/trade/automated/ace-faq

Stay Informed
• CSMS
  • Sign Up for Email Messages
  • Find an Outreach Event
  • Learn about the Trade Support Network (TSN)

www.cbp.gov/ace
# Local ACE Contacts - Atlanta

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone</th>
<th>E-mail</th>
<th>Port Name</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Benita Brewer</td>
<td>(404) 675-1069</td>
<td><a href="mailto:benita.l.brewer@cbp.dhs.gov">benita.l.brewer@cbp.dhs.gov</a></td>
<td>Atlanta, GA</td>
<td>ACE Ambassador</td>
</tr>
<tr>
<td>Lorencene Harris</td>
<td>(404) 675-1255</td>
<td><a href="mailto:lorencene.harris@cbp.dhs.gov">lorencene.harris@cbp.dhs.gov</a></td>
<td>Atlanta, GA</td>
<td>ACE Ambassador</td>
</tr>
<tr>
<td>Engrid Perryman</td>
<td>(404) 675-1273</td>
<td><a href="mailto:engrid.e.perryman@cbp.dhs.gov">engrid.e.perryman@cbp.dhs.gov</a></td>
<td>Atlanta, GA</td>
<td>ACE Ambassador</td>
</tr>
<tr>
<td>Neila Venne</td>
<td>(843) 579-6558</td>
<td><a href="mailto:neila.m.venne@cbp.dhs.gov">neila.m.venne@cbp.dhs.gov</a></td>
<td>Charleston, SC</td>
<td>ACE Ambassador</td>
</tr>
<tr>
<td>Kelly Knapp</td>
<td>(704) 329-6206</td>
<td><a href="mailto:kelly.ross.knapp@cbp.dhs.gov">kelly.ross.knapp@cbp.dhs.gov</a></td>
<td>Charlotte, NC</td>
<td>Client Representative</td>
</tr>
<tr>
<td>Margaret Lark</td>
<td>(704) 329-6209</td>
<td><a href="mailto:margaret.r.lark@cbp.dhs.gov">margaret.r.lark@cbp.dhs.gov</a></td>
<td>Charlotte, NC</td>
<td>Client Representative</td>
</tr>
<tr>
<td>James Wolford</td>
<td>(704) 329-6206</td>
<td><a href="mailto:james.c.wolford@cbp.dhs.gov">james.c.wolford@cbp.dhs.gov</a></td>
<td>Charlotte, NC</td>
<td>Client Representative</td>
</tr>
<tr>
<td>Lashandra Dupree</td>
<td>(678) 284-5921</td>
<td><a href="mailto:lashandra.r.dupree@cbp.dhs.gov">lashandra.r.dupree@cbp.dhs.gov</a></td>
<td>Atlanta, GA</td>
<td>Field Readiness Coordinator</td>
</tr>
</tbody>
</table>
ACE Capabilities

Evan Johnson, ACE Business Office
Capability Owner, ACE Cargo Release (Team Vincere)
evan.johnson@cbp.dhs.gov

Virginia McPherson, ACE Business Office
Capability Owner, ACE Entry Summary
virginia.h.mcpherson@cbp.dhs.gov
## Current ACE Entry Summary Capabilities

### Entry Summaries

- File type 01, 03, 11, 51, and 52 entries
- File post summary corrections
- Create blanket declaration records
- Respond to CBP and PGA queries for additional information electronically (Forms: 28, 29, and 4647)
- Non-ABI - Initial testing at 7 ports
- RLF
  - RLF for Entry Summary Types 01, 03, 11, 51, 52
  - Eliminate Electronic Invoice Program/Automated Invoice Interface
  - Invoices sent to DIS when UC1 message requesting electronic invoice is generated for ACE RLF filings
  - Allow eSTB for ACE RLF filings

### Enhanced Validations

ACE currently provides automated validation calculations for:

- Harbor Maintenance Fee
- Classification
- Simple and Complex Duty Calculations
- Merchandise Processing Fee
- Informal Entry Restrictions
- Charges Restrictions
- Taxes and Other Fees
- Quota
- Government/Defense

### E-Bonds

- Single Transaction Bonds
- Continuous Bonds
# Recent & Upcoming Capabilities – Post Release

<table>
<thead>
<tr>
<th>Deployment A-D</th>
<th>Deployment E</th>
<th>Deployment F</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Available in ACE</strong></td>
<td><strong>Available</strong></td>
<td><strong>Available</strong></td>
</tr>
<tr>
<td><strong>Deployment A-D</strong></td>
<td><strong>June 27</strong></td>
<td><strong>July 11</strong></td>
</tr>
<tr>
<td>File 01, 03 and 11 entry summaries</td>
<td>Exporter accounts</td>
<td>Quota validations for ACE entry summary</td>
</tr>
<tr>
<td>Pay duties/fees on a monthly basis</td>
<td>ACE AES Trade Export Reports</td>
<td>Entry Summary Types 51 and 52</td>
</tr>
<tr>
<td>File electronic corrections via Post Summary Corrections</td>
<td></td>
<td>Refactored entry summary types 01, 11, 03 (additional ACE validations)</td>
</tr>
<tr>
<td>Remaining entry summary types and majority of accompanying functionality, including quota, available for testing in CERT</td>
<td></td>
<td>Single pay for ACE entry summaries</td>
</tr>
</tbody>
</table>

- Remote location filing for available entry types
Quota Processing

Quota Master Data UI, Data USDA Licenses UI, Quota Decrement, Correct & Prorate, and Quota Query

- Ability for users to view and manage Quota, USDA Licenses, and Conversion Factors
- Quota Validations for Cargo Release and Entry Summary
- Allocation Processing for Normal Quota (Without Apportioning)
- Allocation Processing for Opening Moment Quota (With Proration)
- Allocation Processing for Provisional Quota and Post Summary Corrections (PSC)
- Notification to Trade of Allocation Status (UC Messaging)
- Apportioning for Normal Quota
- Manual Correction of Quota Requests and Allocations
- Reject/Accept/Cancel Quota Requests
- Managing of Batch Jobs
ACE Entry Summary Business Process Document

Overview and Benefits:

- The Document Image System (DIS) facilitates automated submission of documents and specific data by participating Trade Partners to CBP.

- **Documents requested for Cargo Release purposes**, use DIS only.

- **Documents requested for post release purposes**, use DIS or upload via ACE Portal.

- **Note**: An Action ID is required to upload via the ACE Portal. The Action ID is provided when 2nd UC message is received.

- The submitted documents are electronically processed and securely stored by CBP.

- Submitted documents are made available for review by CBP and Partner Government Agencies (PGAs) via the DIS application.

- DIS will facilitate a single automated gateway that will accept supporting documents that may be needed during the cargo importation and entry summary processes.


- Additional DIS resources may be found on the Features page on [www.cbp.gov/ace](http://www.cbp.gov/ace)

- Trade participants may contact their local Client Representatives Branch for trade onboarding procedures for transmitting documents to DIS via ABI.
**DIS Document Transmission Mechanisms**

**Electronic Data Interchange (EDI)** - The preferred mechanism of document transmission in DIS is via an XML payload transmitted to CBP via any one of three EDI technical mechanisms:

1. Secure FTP,
2. Secure Web Services, or
3. Existing ABI MQ mechanism

**Note**: EDI is of greater value in a fully automated scenario for technically advanced, high volume trade partners since it is supported by a modern, robust, guaranteed delivery and processing infrastructure

**Email** - DIS will allow all documents to be transmitted via Email.

- Associated meta data is sent in Subject line and Body of email

**Note**: Email is more suitable in scenarios that are 'Quick-Easy-And-Interim'; Semi-Automated, and Low-Volume (total email size including all attachments may not exceed 10MB).

**Meta-Data** - Meta-data is associated data submitted by the trade along with a transmitted document.

Meta-data elements are used to:

- Link the document to supporting contextual data
- Search for specific documents within DIS
- Further describe a transmitted document
- Provide specific transactional references for that document (Entry Summary, Bill, etc.)
## Current ACE Cargo Release Capabilities

<table>
<thead>
<tr>
<th>Truck, Air, Ocean, &amp; Rail</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Entry Types 01, 03, 11, and 52</td>
</tr>
<tr>
<td>✓ Corrections &amp; Cancellations</td>
</tr>
<tr>
<td>✓ Partial Quantities</td>
</tr>
<tr>
<td>✓ In-Bonds</td>
</tr>
<tr>
<td>✓ Split Shipments</td>
</tr>
<tr>
<td>✓ Query entries via ABI</td>
</tr>
<tr>
<td>✓ Certified from Summary</td>
</tr>
<tr>
<td>✓ Single filing to include Importer Security Filing (ISF) data (Ocean)</td>
</tr>
<tr>
<td>✓ CBP-initiated Corrections</td>
</tr>
<tr>
<td>✓ Other Modes – Mail, Hand Carry, and Pipeline</td>
</tr>
</tbody>
</table>
## Recent & Upcoming Capabilities – Arrival (Entry)

<table>
<thead>
<tr>
<th>Deployment A-D</th>
<th>Deployment E</th>
<th>Deployment F</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Available in ACE</strong></td>
<td><strong>Available June 27</strong></td>
<td><strong>Available July 11</strong></td>
</tr>
<tr>
<td>• File 01, 03 and 11 entries for any mode at any port</td>
<td>• Pipeline, Mail and Hand Carried entries</td>
<td>• Quota validations for ACE entries</td>
</tr>
<tr>
<td>• Remaining entry types and majority of accompanying functionality available for testing in CERT</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**ACE**

- U.S. Customs and Border Protection

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32
ACE Cargo Release - Messaging

Messaging/Notifications to Trade (Brokers & Carriers)

- Broker Messaging (Cargo Release Statuses)
  - Released
  - Not Released
  - Cancelled
  - Pending
  - Admissible
  - Document Required
  - Intensive

- Carrier Disposition Codes
  - Codes For Cargo Release Entry Statuses
  - Currently Reviewing Potential/New Carrier Codes

- 1C vs. 1USG
  - 1C: Cargo Released from CBP custody
  - 1USG: 1C + “May Proceed” from “all” PGAs

- Multiple Intensive/Document Required Statuses
  - CBP and/or PGA

- “Entries” will have one status as it relates to “Holds”
  - Document Required or Intensive
  - Entry status may fluctuate between document required and intensive

- Messaging
  - Broker will receive SO60 messaging only when cargo release entry status changes
  - PGA notifications (via SO70) will be sent for PGA intensives, document required, and hold intact status
  - Intensive & Document Required statuses must be resolved before 1C/Release is generated
  - Cargo may be released from CBP custody with a “Hold Intact” status
ACE Cargo Release Business Process Document


Send Comments on the Document to the Following Address:
SINGLE-WINDOW-INITIATIVE@cbp.dhs.gov
Partner Government Agencies and Pilots
### Recent & Upcoming Capabilities – Partner Government Agencies

<table>
<thead>
<tr>
<th>Deployment A-D</th>
<th>Deployment E</th>
<th>Deployment F</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Available in ACE</strong></td>
<td><strong>Available</strong></td>
<td><strong>Available</strong></td>
</tr>
<tr>
<td><strong>Deployment A-D</strong></td>
<td><strong>June 27</strong></td>
<td><strong>August 8</strong></td>
</tr>
<tr>
<td><strong>Deployment E</strong></td>
<td><strong>July 11</strong></td>
<td><strong>October 31</strong></td>
</tr>
</tbody>
</table>

- **5 PGA Pilots underway**
  - EPA, FSIS and NMFS pilots underway now

- **PGA capabilities needed for November 1**
  - except for APHIS/Core

- **Additional PGA pilots planned**
  - beginning in August; schedule available on [www.cbp.gov](http://www.cbp.gov)
PGA Readiness for November 1

CBP and 15 PGAs identified with requirements that must be incorporated into ACE in order to meet the November 1 date for mandatory filing of entry and entry summaries

<table>
<thead>
<tr>
<th>Department</th>
<th>Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Agriculture</td>
<td>• Agricultural Marketing Service (AMS)</td>
</tr>
<tr>
<td></td>
<td>• Food Safety and Inspection Service (FSIS)</td>
</tr>
<tr>
<td></td>
<td>• Animal and Plant Health Inspection Service (APHIS)</td>
</tr>
<tr>
<td>Department of Commerce</td>
<td>• National Marine Fisheries Service (NMFS)</td>
</tr>
<tr>
<td></td>
<td>• Enforcement and Compliance (E&amp;C)</td>
</tr>
<tr>
<td>Department of Defense</td>
<td>• Defense Contracts Management Agency (DCMA)</td>
</tr>
<tr>
<td>Department of Health &amp; Human Services</td>
<td>• Centers for Disease Control and Prevention (CDC)</td>
</tr>
<tr>
<td></td>
<td>• Food and Drug Administration (FDA)</td>
</tr>
<tr>
<td>Department of Homeland Security</td>
<td>• U.S. Customs and Border Protection (CBP)</td>
</tr>
<tr>
<td>Department of Justice</td>
<td>• Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)</td>
</tr>
<tr>
<td></td>
<td>• Drug Enforcement Administration (DEA)</td>
</tr>
<tr>
<td>Department of State</td>
<td>• Directorate of Defense Trade Controls (DDTC)</td>
</tr>
<tr>
<td>Department of Transportation</td>
<td>• National Highway Traffic Safety Administration (NHTSA)</td>
</tr>
<tr>
<td>Department of Treasury</td>
<td>• Alcohol and Tobacco Tax and Trade (TTB)</td>
</tr>
<tr>
<td>Independent Agencies</td>
<td>• Environmental Protection Agency (EPA)</td>
</tr>
</tbody>
</table>

Lists all forms that must be submitted in ACE in November and the mechanism:

- PGA Message Set (EDI Transmission)
- Document Image System (DIS)

Available at [www.cbp.gov/ace](http://www.cbp.gov/ace)

PGA Pilot Rollout

- Pilots will support technical testing of PGA Message Set and/or DIS functionality for specified commodities and all modes of transportation at selected ports.
- Controlled testing will occur with early adopters at 12 select supports, followed by a phased expansion to all remaining port locations.
- Procedures for how to participate in a pilot can be found in the agency pilot Federal Register Notices.
## PGA Messaging - Summary

<table>
<thead>
<tr>
<th>Advanced Messaging</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Buckets</strong></td>
</tr>
<tr>
<td>• Agencies with Hold authority and Port Presence</td>
</tr>
<tr>
<td>• Agencies with Hold authority, but no Port Presence</td>
</tr>
</tbody>
</table>
| • Agencies that use Hold Intacts | • Hold Intact – set specifically by PGA:  
  • Does not affect entry release  
  • Are issued at the line level of the entry | • 1USG – sum total of all holds:  
  • Intensive, Document Required and Hold Intact must be resolved before 1USG is issued  
  • Normally Issued Post Arrival & Release |
# PGA Messages Defined

<table>
<thead>
<tr>
<th>Record(s)</th>
<th>Message</th>
<th>When triggered</th>
</tr>
</thead>
</table>
| SO70 | May Proceed | -Generated (for each PGA) if a bucket 2 rule DID NOT fire for that PGA.  
-Generated to resolve a ‘hold intact’ (If a bucket 2 business rule DID fire, or if a PGA otherwise has a CBP line on ‘hold intact’, a subsequent May Proceed should be sent to trade after the situation is resolved)  
-Generated to resolve an Entry Status of ‘under PGA review’ |
| SO70 | Under PGA Review | -Generated (for each PGA) if a bucket 2 rule fired for that PGA  
NOTE: If a ‘hold intact’ is being sent immediately/ automatically (see below), then there is no need for an ‘under review’ to also be sent. Only the ‘hold intact’ will be sent. |
| SO70 | Hold Intact | -Generated when a PGA has an automated Hold Intact in a Bucket 2 rule (e.g., AMS-MO1) or  
-Generated if a PGA explicitly places an Entry Line or Entry (PGA line may be specified as FYI) on Hold Intact (via XML or ITDS GUI) |
| SO70 | PGA Intensive or Documents Required (along with code for which doc is missing) | -Generated when a PGA explicitly puts an intensive or documents required on an Entry (Entry Line may be specified as FYI) via XML or the ITDS GUI |
| SO60 | 1USG | Generated once all of the reporting PGA’s have issued a “May Proceed,” and CBP has conditionally released the goods. |
PGA Integration & Messaging Details

**Messaging to Trade**
- The SO70, 71, 72 records in the ACE Cargo Release/SE CATAIR, will be used to send messages to trade related to PGA intensives, documents required and hold intacts.
- The SO60 record contains the 1 USG message.

**Intensives/Documents Required**
- PGAs with hold authority + no port presence
  - Agency must request intensives or documents required
  - Message to broker/filer will indicate “CBP on behalf of”
- PGAs with hold authority + port presence
  - Agency will be able to place hold directly (no approval from CBP needed)
- Intensives/Documents Required are always set at the CBP entry level.
  - The entry line(s) causing the intensive may be provided as information

**Hold Intacts**
- PGAs will have the ability to place a “hold intact”
  - May be automatically generated per PGA
- Hold Intacts are used to alert the importer/filer that PGAs have additional requirements after CBP release
- The hold intact allows carriers to move past the port
- Hold intact does not keep a 1C from being issued
- PGA must resolve “Hold Intact” before a 1USG message can be generated and sent to trade
  - May proceed
- Hold Intact can be set at both the CBP line and Entry level

**PGAs that expect to use the Hold Intact:**
- Agricultural Marketing Service (AMS)
- Animal Plant Health Inspection Services (APHIS)
- Consumer Product Safety Commission (CPSC)
- Environmental Protection Agency (EPA)
- Food Safety Inspection Services (FSIS)
- National Marine Fisheries Service (NMFS)
Questions?
askace@cbp.dhs.gov

May 1, 2015
Mandated use of ACE for all electronic manifest filings.

November 1, 2015
Mandated use of ACE for electronic Cargo Release and associated Entry Summary.

October 1, 2016
Mandated use of ACE for all remaining electronic portions of the CBP cargo process.
Break

May 1, 2015
Mandated use of ACE for all electronic manifest filings.

November 1, 2015
Mandated use of ACE for electronic Cargo Release and associated Entry Summary.

October 1, 2016
Mandated use of ACE for all remaining electronic portions of the CBP cargo process.
ACE/ITDS Implementation Update

Patrick Raul Dimapindan | Consumer Safety Officer
Program Development and Implementation Branch
240-402-0974 | patrick.dimapindan@fda.hhs.gov

Division of Import Operations
Food and Drug Administration
U.S. Public Health Service
What We Have Accomplished

1. ACE/ITDS – FDA Implementation
   a. System Development and Implementation
      i. Interoperable Web Services (IWS) launched in August 2014 (Completed)
      ii. PG Message Set (data elements, Supplemental Guide, Business Rules) (Complete)
      iii. DIS Will not be integrated until later (FDA will utilize ITACS) (on-going)
      iv. Unit Testing (on-going)
      v. CBP/FDA Testing (on-going)
      vi. End to End Testing w/trade (on-going)
      vii. FDA Pilot Tests Begins August 19, 2015
   b. Internal Outreach Activity
      a. Briefing FDA HQ and Field staff (Completed)
      b. Briefing field staff on pilot schedule, new IT changes, Operational expectations (Completed)
      c. CBP and FDA field staff (TBD)
   c. External Outreach Activity
      a. Webinar of ACE/ITDS March 24, 2015
         http://www.cbp.gov/trade/stakeholder-engagement/webinars
      b. Port outreach scheduled by the BIEC EEC
      c. Supplemental Webinar (TBD)
   d. Administrative and Legal Requirements
      a. CBP NCAP FRN (Being Finalized)
      b. FDA FRN (In Progress)
      c. MOU (Completed)
<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Commodities</th>
<th>Data elements</th>
</tr>
</thead>
<tbody>
<tr>
<td>August 19, 2015</td>
<td>Baltimore, Philadelphia, Otay Mesa</td>
<td>Drugs, Medical Products, Biologics</td>
<td>Mandatory per Supplemental guide (Until November 1)</td>
</tr>
<tr>
<td>September 2, 2015</td>
<td>87 ports identified by CBP (12 Aug 19 + 75 September 2)</td>
<td>All with the exception of FOOD</td>
<td>Mandatory per Supplemental guide (Until November 1)</td>
</tr>
<tr>
<td>September 16, 2015</td>
<td>207 ports identified by CBP</td>
<td>All with the exception of FOOD</td>
<td>Mandatory per Supplemental guide (Until November 1)</td>
</tr>
<tr>
<td>September 30, 2015</td>
<td>All ports</td>
<td>All (Pending PN correction)</td>
<td>Mandatory per Supplemental guide (Until November 1)</td>
</tr>
</tbody>
</table>
Memorandum

Date: May 9, 2013
From: CAPT Domenic Veneziano, Director, Division of Import Operations
Subject: Updated: FDA Affirmation of Compliance (AofC) Codes
To: U.S. Import Trade Community

One of the functions of the FDA - ACS Interface is the automated screening of FDA regulated import entries to determine which entries to "MAY PROCEED" without FDA examination and which entries require further "FDA REVIEW." Affirmation of Compliance (AofC) codes, transmitted at the FDA line level, is one data element used in this screening process.

By using an AofC code, the filer affirms the firm or product identified in a FDA line meets requirements specific to each code. While submission of this information is voluntary, transmission of the data may expedite initial screening and further review of an entry. The manufacturer or shipper should be able to indicate when these affirmations should be used and supply the qualifier information when required.

Use of these codes does not guarantee a May Proceed, as the FDA line, or other FDA lines in the entry, may be subject to routine surveillance or may fall under other screening criteria resulting in a directed exam or a detention without physical examination.

Several new AofC codes have been added since the last issuance (3/2000) of this document. There have also been changes to existing codes and some codes have been end-dated. These changes and additions are noted below.

See additional information about these new codes in the description portion of this document.

The following is an index of all current AofC Codes with their title and a Yes/No column to indicate whether a qualifier is required.

After the index table you will find descriptions of each AofC arranged by code. An example of the code and qualifier (if applicable) is included in the description.

Following the codes is information on the transmission of the data to use with these codes. Additional FDA resources and guidance can be found in the last section of this document.

Please send questions/comments to: FDAImportsInquiry@fda.hhs.gov
Table-Top Exercises for Export and Import Processes

• On October 30, 2014, the Process Coordination Committee and the Risk Management Committee conducted two table top exercises for the BIEC that walked through the importation process of two separate products with multiple agency jurisdictions. The purpose of the exercise was to identify pain points and create a discussion of ways to streamline trade processes, facilitate lawful and compliant trade, and enhance compliance and enforcement efforts.

• The two exercises identified six pain points, which needed to be evaluated. They include the need to:
  1. explore timely access to import data, (Completed)
  2. the potential utilization of unique facility and entity identifiers,
  3. the pivotal role of data quality and validation, (Completed)
  4. transparency on agencies targeting rules,
  5. enhanced communication on hold and release decision both to agencies and the trade, (Completed improvements still needed)
  6. and transparency between agencies on final disposition and enforcement actions.

• These “Pain Points” have been evaluated and proposed solutions identified and currently in process
THANK YOU

Questions?

For technical questions, please send to ace_support@fda.hhs.gov

ace_support@fda.hhs.gov
ACE Trade Perspective

Sandy Coty, OHL and ACE Guru
Lisa Gelsomino, Avalon and 14th Term COAC
Craig Seelig, Wise Tech Global and TSN Trade Ambassador

ACE Single Window by 11/1/15
Race for ACE

July 17, 2001
GAO Report to
Ways & Means
“ACE Modernization”

May 15, 2015
ACE Cargo
Release
Business
Document
CSMS# 15-000283

December 30, 2009 FRN
ACE ESAR Release
-ACE Entry Summary Business
  Rules Document since 2011
-Entry Types 01 and 11 (96%)
-Entry Type 03 for AD/CVD

May 2012 Pilot
Simplified Entry
(ACE Cargo Release)
-Some ports April 2013
-More ports April 2014
-All ports April 2015

June 2014
CBP/NCBFAA Outreach
https://www.youtube.com/
watch?v=L65ZY2ZGmp4

May 15, 2014
CBP/NCBFAA Outreach
Race for ACE

Jan. 3, 2015
eBond Deployment
CBP eBond Page
- eContinuous Bonds
- eISF Singles
- eSTBs for ACE Cargo Release

June 7, 2015
Air Manifest in ACE
- Lessons Learned
- More time for testing
- National contingency plan
- TSN/TLC Letter (6 month delay)
- NCBFAA Communication

July 11, 2015
Mail, Passenger, Pipeline (50, 60, 70) Modes of Transportation

Aug. 8, 2015
RLF and Entry Type 52
CSMS# 15-000438 - Updated ACE Deployment E Information Notice and ACE Maintenance Window Information

Aug. 19, 2015
PGA Pilot Rollout
PGA Document
PGA Pilots

Nov. 1, 2015
One U.S. Government at the Border Subcommittee

CBP: Cynthia Whittenburg, Executive Director Trade Policy & Programs, Office of International Trade
Deborah Augustin, Acting Executive Director ACE Business Office, Office of International Trade
Thomas Mills, Deputy Executive Director, Cargo Systems Program Directorate, Office of Information and Technology

CPSC: Carol Cave, Assistant Executive Director, Office of Import Surveillance, Consumer Product Safety Commission

FDA: Domenic Veneziano, Captain, U.S. Public Health Service, Director, Division of Import Operations, Food and Drug Administration

COAC: Susie Hoeger, Member
Scott Boyer, Member
Amy Magnus, Member
Single Window Recommendations

The COAC strongly supports the February 19, 2014 President Obama’s Executive Order 13659: Streamlining the Export/Import Process for America’s Businesses, specifically through the Automated Commercial Environment (ACE) through strategic discussions, communication and metrics. This will help with the validation of Single Window and ACE implementation

1. **ACE Entry Summary:** For Entry Summaries that are fully functional in ACE today (types 01, 03, and 11), COAC recommends that CBP maintain the mandatory filing date of November 1. If filers are unable to file these ACE Entry Summary types on November 1 due to unforeseen trade or government systems issues, CBP should allow for a defined informed compliance period, similar to how ISF was implemented. CBP should evaluate the reason the filer is unable to file and require an action plan from the filer that describes how they will become compliant, and hold them accountable for meeting the plan. CBP should also allow for a defined informed compliance period for filing Entry Summary for those entries that cannot currently be filed in ACE (for example, Lacey and consolidated summaries with multiple consignees).
Single Window Recommendations

2. **ACE Cargo Release (without PGAs or with “DIS only” PGAs):** COAC recommends that CBP review the ACE Cargo Release adoption rates, development and deployment issues, and other factors as the November 1 date approaches. **We recommend that CBP continue to message November 1 as the mandatory filing date for ACE Cargo Release, but implement a “Phased Adoption” schedule, with COAC’s input and industry acceptance, for the complete implementation of ACE Cargo Release to ensure adequate time for programming, testing, training, and deployment.** To encourage timely implementation, in consultation with COAC, CBP should provide incentives to filers who are able to meet the November 1 date. For those unable to file, CBP should analyze the filers who have shown a genuine effort to deploy ACE Cargo Release but due to various issues are unable to fully comply. CBP should allow those filers to continue filing ACS Release with ACE Entry Summary under a defined informed compliance period during which CBP will continue to work with those filers through their deployment and exercise enforcement discretion. Those filers who have shown minimal or no attempt to file ACE Cargo Release by November 1 should be held to a more aggressive action plan and be held accountable if minimal or no effort is apparent.
3. **ACE Cargo Release (with PGA message sets):** COAC recommends that CBP, the BIEC and ITDS adjust the November 1 requirement to file ACE Cargo Release with PGAs by ninety (90) days with periodic reassessment to ensure that all pilots have been concluded, issues have been resolved, and the related PGA message sets are fully defined and locked down. Given the complexity of the PGA aspects of ACE Cargo Release, CBP should provide adequate time for the trade to program, test, train, and deploy after the conclusion of the pilots.
4. **Quota Entries:** COAC recommends that CBP delay the ACE go-live date for quota Entry Summary and Cargo Release until January 1, 2016.

5. **Document Imaging System (DIS):** COAC recommends that CBP conduct testing, prior to November 1, to ensure that the Document Imaging System can handle large volumes of documents submitted via ABI DIS. In the event DIS is unable to handle the volume on November 1, COAC recommends that CBP consider alternate options to DIS, such as posting documents to the ACE portal as done today and/or allowing filers to email documents in accordance with a standard protocol, and advise the trade of those contingency plans.

6. **Trade Briefings:** COAC recommends that CBP provide COAC and the trade with bi-weekly briefings and status reports, including metrics, on each of the PGA’s ACE pilots and general readiness for the mandatory filing date, as well as CBP’s future vision for ACE.
7. **National Guidelines and Escalation:** To ensure a common and consistent approach by all ports, COAC recommends that CBP issue national guidelines for dealing with major issues (such as cargo release at terminals and ports) or processing challenges that arise in ACE implementation, including defined escalation paths and the assignment of adequate field, port, and technical resources. CBP should continue the “war room” approach, with sufficient allocation of resources to close all major issues. CBP should clarify the role of field, port, and technical staff, as well as the ABI Client Representatives, in terms of assisting the trade when ACE implementation issues arise. CBP should also issue clear, detailed CSMS messages as soon as possible when ACE implementation issues are identified. If necessary and to ensure port consistency, CBP should provide national guidance on and headquarters review of the issuance of any liquidated damages due to technical difficulties.
Single Window Recommendations

8. **Communication to the Trade:** COAC recommends that, to the greatest extent possible, CBP and the PGAs leverage the BIEC and ITDS to provide more targeted and less technical communication of business rules and processes (including policy), software changes, and new requirements to all of trade, including importers, filers, and software vendors, so their respective business processes can be modified accordingly in advance of the mandatory filing date. CBP and the PGAs should not assume that software providers are pushing out this information to their customers, or that highly technical information such as the CATAIR is easily understood by all members of the trade. CBP should also continue to extend communication to other trade members, such as CFS stations and terminals, where paper forms may be required for release, such as non-AMS facilities.

9. **Leveraging BIEC/ITDS:** We recommend that CBP leverage the BIEC and ITDS in the oversight of the PGA ACE pilots with the intent of preventing data creep and maintaining alignment with the PGA’s current regulatory authority in the development of the PGA message sets, to ensure predictability of operations for the trade.
ACE Challenges

- **Additional Entry Types**
  - Not available until 11/1/15
  - Quota, Warehouse, etc.

- **No PGA/OGA**
  - PGA Pilots are just starting now
  - Constant programming changes required
  - Specifications are not stable

- **Lack of CBP knowledge at some ports**
ACE Entry Summary

- Certify from Summary Now Available
- ACS or ACE Cargo Release
  - Do you know what you are filing?
- Remote Location Filing (RLF)
  - Available on 8/8/15 for ACE Cargo Release
  - No All
  - Document Imaging System (DIS)
    - Available via e-mail
    - Available via your ABI software
    - Available via ACE portal
ACE Benefits

ACE Entry Summary

- Post Summary Corrections; Refunds
- Census Warning Overrides
- ACE Entry Summary Status Notifications (UC messages)
- DIS to respond to document requests
- RLF for all supported entry types
- File AD/CVD Entry Summaries using RLF and Expanded AD/CVD Query
- Enhanced ACE Entry Summary Query
- BKIP (Broker-Known Importer Program)
- Reduced Entry Summary “Docs Required – UC2”
- Document received “Time Stamp”
- No ACH Stmt if DIS or ACE Portal
- Certify ACE Cargo Release from ACE Entry Summary (01, 03, 11)

ACE Cargo Release

- Paper Reduction (eliminate 3461)
- Less Data Elements for Cargo Release as 2-step process
- Electronic Update/Replace/even Cancel
- Earlier filing and status updates
- Results provide B/L information
- Splits are much smoother
- DIS to response to document requests
- Expedited Processing
- File shipment data prior to carrier notifying CBP of departure
- Receive status updates prior to cargo arrival
- eBond –No documents required for eSTB (surety portal vs. ABI integration)
### eBond Benefits

<table>
<thead>
<tr>
<th>Transaction</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>eBonds Filed Total</td>
<td>88,166</td>
</tr>
<tr>
<td>eCBs Filed Total</td>
<td>38,520</td>
</tr>
<tr>
<td>eISF Singles</td>
<td>41,561</td>
</tr>
<tr>
<td>eSTBs Matched</td>
<td>1,851</td>
</tr>
<tr>
<td>eSTB Void</td>
<td>4,044</td>
</tr>
</tbody>
</table>

- **Continuous Bonds (CB)**
  - 5 business days
  - Over 3,283 hours

- **eBond**
  - 5 to 30 seconds
  - 38 to 288 hours

- **Incorrect eSTB**
  - Must void eSTB
  - Submit Paper STB

- Elimination of Name/Address Riders; [Importer Bond Query](#) (more robust)
- “ABI Filers can update Importer/Consignee File name and address data by placing a “U” in the Update Action Code data field of T1 input record.”
eContinuous Bonds and 5106 Tips

• Policies and Procedures - CBP Form 5106

• Cannot file an eBond without 5106 on file

• Importer records may be “frozen” per 19 CFR 24.5

• A “frozen” importer record may be changed only if an authorized individual makes the request.

• Frozen changes can only be transmitted by the Revenue Division Bond Team (RDBT). CBP Form 5106, signed by an authorized signer, to cbp.bondquestions@dhs.gov.

• Returned Mail Policy

• New 5106 submit comments per Federal Register Notice issued on July 27, 2015 (30 day notice period due 8/26/15)
eSTB REQUIRED for ACE Cargo Release

**Clarification on Electronic Single Transaction Bond usage in ACE eBond**

**eBond Required:** For ACE Entries followed by ACE Entry Summaries, or ACE Entry Summaries certified for ACE Cargo Release, where an STB is used, an eBond will be required effective January 3, 2015. ACE will implement validations on these inbound transactions where, if a bond is referenced on a transaction, and no bond is found on file in ACE, that transaction will be rejected. Only Entry Types 01, 03 and 11 processed in ACE at this time.

**eBond Not Required:** For all other STB scenarios listed above, eBond will not be required. Paper processing of these STBs will continue as they do today. Due to the eventual retirement of ACS processing for Entries and Entry Summaries, the same eBond STB validations in place for ACE filed transactions will not be deployed to ACS. As such, we will not perform the system validations to ensure an STB is on file for these Entry/Entry Summaries. For this reason, operations will remain status quo until the November 2015 deadline.

---

Email STB
ACE_STB@cbp.dhs.gov
CSMS# 10-000060

---

CSMS# 15-000113 - Clarification on Electronic Single Transaction Bond usage in ACE eBond
ABI INTEGRATION FOR eSTBs

• ABI ACE Readiness
  – 100% ACE Entry Summary (ES)
  – 75% ACE Cargo Release (CR)
  – 40% Digital Imaging System (DIS)

• eSTB Integration
  – Per Avalon survey, 80% of CHBs want to integrate
  – 21 ABI vendors indicated they would integrate
  – 1 ABI Vendor implemented; 4 ABI Vendors testing
  – Self programming CHBs already integrated by 7/1/15
eSTB ABI WORKFLOW

• eSTB-Entry Match Criteria
  – Entry #
  – Importer #
  – Entry Type (01 vs. 03)
  – Bond Amount [Customs Directive 099 3510-004]

• Entries with no eSTB Match
  – “Hard Rejection” from CBP
  – No warning but immediate messaging
ESTB ABI INTEGRATION

- Complete ACE Cargo Release; or ACE Entry Summary certified for ACE Cargo Release
- Option to request e-Bond within ABI system

Menu will vary by ABI Vendor

ABI Vendors Should Hold Entry in Queue as Best Practice
ESTB ABI INTEGRATION

- User navigates to eBond Page in ABI Software
- Relevant entry information will pre-populate based on standard **Data Elements** for the trade
- *Transmit eBond* sends data request to surety
ESTB ABI INTEGRATION

• Once eBond filed with CBP, surety sends ABI message with CBP status and Bond Number

• ABI Vendor should automatically transmit entry to secure Match with eBond on file in ACE

• Secondary Notify Party – ABI Routing Code (Filer + Port Code + Branch) Provide to Surety

ACE Cargo Release Data

- ACE Cargo Release streamlines data elements
- Fewer data elements – 27 down to 13 - Unless Certify from Summary
- This promotes the concept of “the owner of the data knows the data best,” resulting in more accurate information
- SO Message Returns all relevant Manifest information – Except ISF Equivalent to a Manifest Query

<table>
<thead>
<tr>
<th>ACE Cargo Release Data Elements</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) Importer of Record Number</td>
</tr>
<tr>
<td>(2) Buyer name and address</td>
</tr>
<tr>
<td>(3) Consignee Number as specified in 19 CFR 149.3</td>
</tr>
<tr>
<td>(4) Seller name and address</td>
</tr>
<tr>
<td>(5) Manufacturer/supplier name and address</td>
</tr>
<tr>
<td>(6) HTS 10-digit number</td>
</tr>
<tr>
<td>(7) Country of origin</td>
</tr>
<tr>
<td>(8) Bill of lading</td>
</tr>
<tr>
<td>(9) Bill of lading issuer code</td>
</tr>
<tr>
<td>(10) Entry number</td>
</tr>
<tr>
<td>(11) Entry type</td>
</tr>
<tr>
<td>(12) Estimated shipment value</td>
</tr>
<tr>
<td>(13) Bill Quantity (The quantity of shipping units shown in the bill of lading If the bill of lading quantity is specified in the entry, it becomes the entered and released quantity for that bill If the bill quantity is not specified, full bill quantity will be entered and released for that bill)</td>
</tr>
</tbody>
</table>
ACE Cargo Release Messages - Tips

- ADMISSIBLE
- RELEASED (no Paperless vs. Release)
- HOLD – CBP places holds on the manifest, this suspends the release of cargo
- MANIFEST MESSAGES
  - BOL TYPE INELIGIBLE FOR ENTRY PROCESSING – FROB
  - RELEASE SUSPENDED
    - IN-BOND PORT DISCREPANCY
    - CARRIER UPDATES THE MANIFEST TO A SPLIT
  - BILL MATCH is the key
  - BILL DEPARTURE / BILL ARRIVAL
    - Air Shipments when a flight has not “arrived”
Elimination of 3461 / Bond

- How to handle Local Exams now that no 3461 exists
- Non Automated CFS Challenge

- Bond Recordkeeping Requirements
  - 19CFR113.15
  - eBond is data elements; no paper bond
  - FRN 11/20/14 and FRN 01/07/15
  - Sureties provide eBond “receipt”
CBP Cargo Release Non-Automated Warehouse Policy Document

- CBP will allow, as an interim process, Cargo Release based on screen printout

- Automation for Ocean CFS facilities is dependent on AMS filing at the House Bill Level in Ocean

ACE Cargo Release – Exam

ACE Cargo Release Business Transformation Process Document

“5.2.5 Exam site designation – for most intensive examinations, CBP ports allow the importer to designate the examination site.

Without the use of the CBP Form 3461 as part of the process (documentation package) to identify examination sites to allow CBP to generate a Permit to Transfer (PTT) to that site alternate documentation is required.

– CBP will allow filers to provide a single sheet printout of the transaction from their system, or create a document in any format that identifies, entry, bill of lading number, date of arrival and identifies the examination site by FIRMS code and name.
– If the shipment is C-TPAT that information (including Tier) can also be provided on that document to allow all parties to facilitate processing. Additional information on the submission of these documents will be provided in the near future”

5.2.6 Documents needed including invoice, packing lists and any required documents under PGA or CBP regulations will be submitted via DIS.
ACE Cargo Release/Unified ISF Pilot

- **Federal Register Notice on 02/10/15**
- Must meet ISF Timeliness Requirement
- Customs Business
- File ISF / Cargo Release and then Entry Summary
- Cannot combine multiple ISF into one Entry
- No “Flexible” filing option
- HTS 10-digit number

Current Limitations:
- Limited Entry Type and No PGA
- What happens to ISF if you have to cancel Entry?
- Two Step process to correct Cargo Release and ISF?
  - No, you can file a Unified Replacement to replace Cargo Release and ISF at the same time. You can also file a Replacement ISF just as if it were a separate filing. ACE provides for replacing both ACE Cargo Release and ISF at the same time, under the same bond obligation.
  - [NEI Webinar](#) and [Q&A](#)
ACE Tips

- Second Level Review – DIS and Portal
- Trade vs. CBP Control – Manage Prior to Statement Date
- Robust UC/Entry Summary Status Message Management
- Manage Cargo Release and Summary Correction
- Versions
- Census
  - Manage Census Override prior to statement date
  - Post Summary Correction – H99 Header Reason
  - ESM-7001 Entry Summary Census Warning and Override
- Post Summary Corrections
  - Manage and report on PSC – Software and ACE Portal Reports
  - Modify ESM Reports
  - AM100 – Liquidation Report Modify to include
  - ACE Entry Summary Rules and Cargo Release Business Process
    - [http://www.cbp.gov/trade/entry-summary/ace](http://www.cbp.gov/trade/entry-summary/ace)
Paperless Document – Submission Options

- Document upload for ACE entry summary in the **ACE portal**
  - The ACE portal does **not** allow submission of **unsolicited** documents
  - **ABI Entry Summary Status Notification Message (UC message)**
  - **Action Identification Number** to upload the requested documents to the portal

- **Document Imaging System (DIS)**
  - DIS allows trade partners to submit document images and associated descriptive meta data to CBP and PGAs in an automated manner using EDI communication (Solicited and Unsolicited Messages)
    - ACE Cargo Release / PGA document **email** process
    - ACE Cargo Release / PGA document **ABI** process
ACE Portal for Entry Summary
Uploading Documents

Step 1: Click on Upload Documents

Step 2: Enter the Action # from the ABI UC2 Message

Step 3: Browse the File, Attach the File and Click on Save

UC 7 Message acknowledgement
ACE Cargo Release – DIS Email Submitting Documentation to CBP/PGA

- Send email to: docs@cbp.dhs.gov
- Follow specific format in Appendix B of DIS implementation Guide
  - Subject
  - Body
  - Attachment

Total email size including all attachments must not exceed 10MB.

For larger documents breakup attachment into multiple documents and submit multiple emails for the same Entry or Bill (i.e. send the same email subject line with additional documents)

Documents should be of types pdf, doc, or xls (TIF and TIFF are not accepted).

Email Responses will be sent to the sender’s email address if a return email address is not provided.

The auto-response message ONLY verifies that the email has been received via the email, it does NOT indicate that email contents including the document attachments are correct/acceptable.
### APPENDIX A: Document

Documents that are Submitted to DIS via Secure FTP, Secure Web Services, MQ Queues, or Email

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Agricultural Marketing Service (AMS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AMS</td>
<td>Foreign Government Export Certificate (AMS-MO2 (Various</td>
<td>CERTIFICATE</td>
<td>AMS_FOREIGN_GOVT_EXPORT</td>
<td>AMS01</td>
<td>NO METADATA LISTED</td>
</tr>
</tbody>
</table>
ACE Cargo Release
Submitting Documentation to CBP

- After August 19, 2015, CBP will NO longer accept the old document labels.
- After August 19, 2015, CBP will NO longer accept the old email formats.

Sample email

```plaintext
START_DATA
AGENCY_CD=CBP
TRANSMITTER_FILER_CD=ABC
TRANSMITTER_NAME=ABC Customs Broker
POC_INFO= Sandy Coty 310 555 1212
COMMENT=Attached find documents for exam
END_DATA
```
Partner Government Agencies (PGAs)


PGAs – What’s Different?

- PGA Request for Redelivery
- Line Release
- Hold Intact
- USG Release
- Process Change
- Correction?
- How to Manage New Messaging
- eBond SNP Messaging
- Customs eBond Status
- Notifications
- ACE CATAIR Chapter

- Earlier Submission of Data
- HTS Flagging
- Currently 6 Max PGA per line (allows over 20)
- Can have multiple intensives
- Disclaim with “reason”
- Edits for Missing or Inadequate Data
- Agencies will have visibility to the final disposition of the cargo

WiseTech GLOBAL
PGAs – What’s Different?

- How are deletions and corrections filed (PGA Contacts)
- Who do you contact if not released (Not ABI Rep)
- Generate a PGA Business Process Document for the Filer
- Define Data Elements
  - Intended Use Codes, Source Type Codes, Units of Measure, Correlate PGA data to existing form - Program Product Library or Feeds to receive all this data? Are you receiving this data today?
  - Entity Identification / Role – Mandatory?
  - Point of Contact- Name/Phone/Email?
PGA Messaging – Intensive/Hold

1. Intensive for PGA with Hold Authority and PGA has Port Presence
   a) FDA/BTA/F&W
   b) January Filer will know it’s a F&W or FDA intensive

2. Hold Authorized but no PGA Port Presence
   a) EPA will send hold request to CBP
   b) “Hold on Behalf of EPA” – contact appropriate agency
   c) “Intensive on behalf of”
   d) 1A to carrier
   e) PGA exam or joint exam
PGA Messaging – Intensive/Hold

3. Hold Intact – Does not affect release at AMS Facility
   c) Indication that additional business is to be conducted with the government agency - i.e.
      III. AMS
      IV. FSIS
      V. Vet Health
   d) CBP has nothing to do with these types of holds
   e) Importer Bond obligated

4. 1USG
   a) Systematically all government requirements have been met
   b) CBP still has authority to issue redelivery within 30 days
   c) Received Post Arrival and Post Release
PGAs – How to Prepare?

- PGA Pilots (Phase 1)
  - EPA (Vehicles/Engines; Pesticides)
  - FDA (Med Dev; Drugs; Biologics)
  - NHTSA
  - DDTC

- PGA Preparation
  - Learn the requirements now
  - Check the PGA Specs (we are looking for operational guides)
  - Intended Use Codes
  - Contact your importers for the data

<table>
<thead>
<tr>
<th>PHASE 1 – August 19, 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 Initial Ports</td>
</tr>
<tr>
<td>Port</td>
</tr>
<tr>
<td>Baltimore, MD</td>
</tr>
<tr>
<td>Philadelphia, PA</td>
</tr>
<tr>
<td>Louisville, KY</td>
</tr>
<tr>
<td>Chicago, IL</td>
</tr>
<tr>
<td>Detroit, MI</td>
</tr>
<tr>
<td>Port Huron, MI</td>
</tr>
</tbody>
</table>
## ACE Single Window – In Summary

<table>
<thead>
<tr>
<th>Entry Type And/or Process</th>
<th>ACE Entry Summary</th>
<th>ACE Cargo Release</th>
<th>Estimated Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entry Type 01, 03, 11</td>
<td>Yes, except Lacey</td>
<td>Yes, no PGA</td>
<td>11/1/2015</td>
</tr>
<tr>
<td>Entry Type 51 - Defense Contract Administration (DCASR)</td>
<td>Yes</td>
<td>Yes</td>
<td>11/1/2015</td>
</tr>
<tr>
<td>Entry Type 52 - Government - Dutiable</td>
<td>Yes</td>
<td>Yes</td>
<td>11/1/2015</td>
</tr>
<tr>
<td>Remote Location Filing (RLF with docs required via DIS)</td>
<td>Yes</td>
<td>Yes, no PGA</td>
<td>11/1/2015</td>
</tr>
<tr>
<td>All Ports/All Modes of Transportation</td>
<td>Yes</td>
<td>Yes, no PGA</td>
<td>11/1/2015</td>
</tr>
<tr>
<td>ACE Entry Summary certified for ACE Cargo Release</td>
<td>Yes</td>
<td>Yes, but no PGA</td>
<td>11/1/2015</td>
</tr>
<tr>
<td><em>If PGA, must file Entry in ACS unless in pilot starting 8/19</em></td>
<td>Yes</td>
<td>Yes, but no PGA</td>
<td>11/1/2015</td>
</tr>
<tr>
<td>ACE Cargo Release and Unified ISF</td>
<td>Yes</td>
<td>Yes, but no PGA</td>
<td>N/A</td>
</tr>
<tr>
<td>Partner Government Agencies (PGAs) - Pilots start 8/19</td>
<td>Yes, except Lacey</td>
<td>Pilots Only</td>
<td>?</td>
</tr>
<tr>
<td>Entry Type 02 - Quota/Visa; 07, 12, 32, 38</td>
<td>No</td>
<td>No</td>
<td>?</td>
</tr>
<tr>
<td>All Other Entry Types (per CBP Deployment Schedule)</td>
<td>CERT only</td>
<td>CERT only</td>
<td>?</td>
</tr>
</tbody>
</table>

- **CSMS# 15-000531 - Reminder Notice for Trade: ACE Capabilities Available August 8, 2015**
- **Contact your ABI Software Vendor** to verify functionality and ability to test in CERT
- **Contact your CBP ABI Client Representative** to be enabled in all Ports for both ACE Cargo Release and ACE Entry Summary
- **PGA Pilots that impact your business must verify ABI vendor is ready for Pilot**
# PGA Message Set vs. DIS

<table>
<thead>
<tr>
<th>Department or Independent Agency</th>
<th>Agency or Program</th>
<th>Estimated Pilot Start Date</th>
<th>Type of Pilot</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Department of Agriculture</td>
<td>Agricultural Marketing Service</td>
<td>August 2015</td>
<td>PGA Message Set</td>
</tr>
<tr>
<td></td>
<td>Animal and Plant Health Inspection Service – Lacey Act</td>
<td>August 2015</td>
<td>DIS</td>
</tr>
<tr>
<td></td>
<td>Animal and Plant Health Inspection Service - Core</td>
<td>September 2015</td>
<td>Pilot expansion in August 2015</td>
</tr>
<tr>
<td></td>
<td>Food Safety and Inspection Service*</td>
<td>PGA MS pilot is ongoing</td>
<td>Pilot expansion in August 2015</td>
</tr>
<tr>
<td>Department of Commerce</td>
<td>National Marine Fisheries Service</td>
<td>DIS pilot is ongoing</td>
<td>DIS expansion in August 2015</td>
</tr>
<tr>
<td></td>
<td>Enforcement and Compliance</td>
<td>August 2015</td>
<td>DIS</td>
</tr>
<tr>
<td>Department of Health and Human Services</td>
<td>Food and Drug Administration</td>
<td>August 2015</td>
<td>DIS</td>
</tr>
<tr>
<td></td>
<td>Centers for Disease Control</td>
<td>August 2015</td>
<td>DIS</td>
</tr>
<tr>
<td>Department of Homeland Security</td>
<td>Customs and Border Protection</td>
<td>DIS pilot is ongoing</td>
<td>DIS</td>
</tr>
<tr>
<td>Department of Justice</td>
<td>Bureau of Alcohol, Tobacco, Firearms and Explosives</td>
<td>August 2015</td>
<td>DIS</td>
</tr>
<tr>
<td>Department of State</td>
<td>Directorate of Defense Trade Controls</td>
<td>August 2015</td>
<td>DIS</td>
</tr>
<tr>
<td>Department of Transportation</td>
<td>National Highway Traffic Safety Administration</td>
<td>August 2015</td>
<td>DIS</td>
</tr>
<tr>
<td>Department of Treasury</td>
<td>Alcohol and Tobacco and Trade Bureau</td>
<td>August 2015</td>
<td>TSCA</td>
</tr>
<tr>
<td>Environmental Protection Agency</td>
<td>- Ozone Depleting Substances**</td>
<td>PGA MS &amp; DIS pilots are ongoing</td>
<td>Pilot expansion in August 2015</td>
</tr>
<tr>
<td></td>
<td>- Vehicles and Engines**</td>
<td></td>
<td>DIS</td>
</tr>
<tr>
<td></td>
<td>- Pesticides***</td>
<td></td>
<td>DIS</td>
</tr>
<tr>
<td>Post-November 1st Agencies</td>
<td>Fish and Wildlife Service</td>
<td>January 2016</td>
<td>DIS</td>
</tr>
<tr>
<td>Other Ongoing Agency Pilots</td>
<td>Hazardous Waste</td>
<td>PGA MS pilot is ongoing (Export)</td>
<td>DIS</td>
</tr>
</tbody>
</table>
### USDA - Agricultural Marketing Service
Agency FRNs: PGA Lead/In Progress

<table>
<thead>
<tr>
<th>Program/Commodity</th>
<th>Status</th>
<th>Form or Data Description</th>
<th>Form #</th>
<th>Message Set</th>
<th>DIS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pilot:</td>
<td>August 19, 2015</td>
<td>Request for Inspection, Reinsertion, Appeal Inspection</td>
<td>FV-237</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Working Group:</td>
<td>Complete</td>
<td>Application for Inspection</td>
<td>FV-356</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Implementation Guide: Published</td>
<td></td>
<td>Importers Exempt Commodity Form</td>
<td>FV-6</td>
<td>✓</td>
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<tr>
<td>AMS - General</td>
<td></td>
<td>Foreign Government Export Certificate</td>
<td>FV-357</td>
<td>✓</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>Notification of Entry</td>
<td>LPS-222</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Import Request Shell Eggs</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

### USDA - Food Safety and Inspection Service
Agency FRNs: 79 FR 36084 (DIS), 78 FR 75931 (Message Set)

<table>
<thead>
<tr>
<th>Program/Commodity</th>
<th>Status</th>
<th>Form or Data Description</th>
<th>Form #</th>
<th>Message Set</th>
<th>DIS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pilot:</td>
<td>Ongoing</td>
<td>Application For The Return Of Exported Products to the United States</td>
<td>9010-1</td>
<td>To Remain Paper</td>
<td></td>
</tr>
<tr>
<td>Working Group:</td>
<td>Complete</td>
<td>Import Inspection Application and Report</td>
<td>9540-1</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Implementation Guide: Published</td>
<td></td>
<td>Shipper Notification of Undenatured Inedible Meat or Poultry Product</td>
<td>9540-4</td>
<td>To Remain Paper</td>
<td></td>
</tr>
<tr>
<td>FSIS - General</td>
<td></td>
<td>Notification of Intent (To Import Meat, Poultry, or Egg Products or &quot;Samples for Laboratory Examination, Research, Evaluative Testing or Trade Show Exhibition&quot;)</td>
<td>9540-5</td>
<td>To Remain Paper</td>
<td></td>
</tr>
<tr>
<td>Agency or Program</td>
<td>FRN/ PGA Point of Contact</td>
<td>Email</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------------------------------------</td>
<td>----------------------------</td>
<td>---------------------------------------------</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>APHIS/Lacey Act &amp; Non Lacey Act</td>
<td>Cindy Walters</td>
<td><a href="mailto:cindy.l.walters@aphis.usda.gov">cindy.l.walters@aphis.usda.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Food &amp; Drug Administration (FDA)</td>
<td>Sandra Abbott, Max Castillo</td>
<td><a href="mailto:Sandra.abbott@fda.hhs.gov">Sandra.abbott@fda.hhs.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agricultural Marketing Service (AMS)</td>
<td>Doug Bailey</td>
<td><a href="mailto:Douglas.Bailey@ams.usda.gov">Douglas.Bailey@ams.usda.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Environmental Protection Agency (EPA)</td>
<td>Roy Chaudet</td>
<td><a href="mailto:Chaudet.Roy@EPA.GOV">Chaudet.Roy@EPA.GOV</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Food Safety Inspection Service (FSIS)</td>
<td>Robert Berczik</td>
<td><a href="mailto:Robert.berczik@fsis.usda.gov">Robert.berczik@fsis.usda.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Highway Traffic Safety Administration (NHTSA)</td>
<td>Clint Lindsay, Coleman Sachs</td>
<td><a href="mailto:Clint.Lindsay@dot.gov">Clint.Lindsay@dot.gov</a>, <a href="mailto:Coleman.Sachs@dot.gov">Coleman.Sachs@dot.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Marine Fisheries Service (NMFS)</td>
<td>Dale Jones</td>
<td><a href="mailto:dale.jones@noaa.gov">dale.jones@noaa.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Directorate of Defense Trade Controls</td>
<td>Karen Wrege</td>
<td><a href="mailto:WregeKM@state.gov">WregeKM@state.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alcohol Tobacco &amp; Trade Bureau (TTB)</td>
<td>John Kyranos</td>
<td><a href="mailto:John.kyranos@ttb.gov">John.kyranos@ttb.gov</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bureau of Alcohol, Tobacco, Firearms &amp; Explosives (ATF)</td>
<td>Paul Young, Lee Alston-Williams</td>
<td><a href="mailto:Paul.J.Young@usdoj.gov">Paul.J.Young@usdoj.gov</a>, <a href="mailto:Lee.alston-williams@usdoj.gov">Lee.alston-williams@usdoj.gov</a></td>
<td></td>
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</tbody>
</table>
## Summary of Resources

### ACE

<table>
<thead>
<tr>
<th>Resource</th>
<th>URL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><a href="http://www.cbp.gov/trade/ace/catair">http://www.cbp.gov/trade/ace/catair</a> (PGA Message Set Tab)</td>
</tr>
</tbody>
</table>

### eBond

<table>
<thead>
<tr>
<th>Resource</th>
<th>URL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenue Division</td>
<td><a href="http://www.cbp.gov/trade/bonds">http://www.cbp.gov/trade/bonds</a></td>
</tr>
<tr>
<td>eBond CATAIR</td>
<td>Customs eBond Create/Update ACE CATAIR Chapter Appendix G Condition Codes and Text (eBond error codes and conditions)</td>
</tr>
</tbody>
</table>
As the trade community, we have an obligation to actively participate in ACE Cargo Release/Entry Summary Process. **Early Adopters** are willing to pilot to ensure minimal interruption by November 1, 2015.

**CBP is actively looking for PGA Pilots**
- Alcohol and Tobacco Tax and Trade (TTB)
- Bureau of Alcohol, Tobacco and Firearms and Explosives (ATF)
- Centers for Disease Control and Prevention (CDC) – *DIS Only*
- Environmental Protection Agency (EPA)
- Food and Drug Administration (FDA)
May 1, 2015
Mandated use of ACE for all electronic manifest filings.

November 1, 2015
Mandated use of ACE for electronic Cargo Release and associated Entry Summary.

October 1, 2016
Mandated use of ACE for all remaining electronic portions of the CBP cargo process.
BIEC Presentations

May 1, 2015
Mandated use of ACE for all electronic manifest filings.

November 1, 2015
Mandated use of ACE for electronic Cargo Release and associated Entry Summary.

October 1, 2016
Mandated use of ACE for all remaining electronic portions of the CBP cargo process.
APHIS READINESS
Automated Commercial Environment

Sean Blount
US Department of Agriculture
Animal and Plant Health Inspection Service
Plant Protection and Quarantine
APHIS ITDS Participants

- Animal Care
- Veterinary Services
- Plant Protection And Quarantine
- Biotechnology Regulatory Service
APHIS ACE ITDS Goals

**Goal 1**
Electronically convert documents that accompany shipments to a message set.

**Goal 2**
Supplement current Customs entry data.

**Goal 3**
Populate inspection results systems and risk analysis.
Data Collection

- PGA Message Set
- Document Image System (DIS)
- Paper Collection
### APHIS ACE ITDS Timeline

<table>
<thead>
<tr>
<th>Month</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jun</td>
<td>Determining appropriate ports for Aphis Core piloting as well as continued outreach visits.</td>
</tr>
<tr>
<td>July</td>
<td>Collaboration with CBP ACE Business Office and trade on software development.</td>
</tr>
<tr>
<td>Aug</td>
<td>Publish Federal Registry Notice (FRN) for APHIS Core and solicit pilot volunteers. Continue outreach.</td>
</tr>
<tr>
<td>Sept</td>
<td>Intense piloting and trouble shooting to ensure readiness for November 1&lt;sup&gt;st&lt;/sup&gt;.</td>
</tr>
<tr>
<td>Oct</td>
<td>Intense piloting and trouble shooting to ensure readiness for November 1&lt;sup&gt;st&lt;/sup&gt;.</td>
</tr>
<tr>
<td>Accomplishments</td>
<td>Pending</td>
</tr>
<tr>
<td>----------------------------------------------------</td>
<td>-------------------------------------------------------------------------</td>
</tr>
<tr>
<td>❖ Continue paper collection of certain VS forms and government-to-government certifications.</td>
<td>❖ Develop Q&amp;A document for posting on the APHIS website.</td>
</tr>
<tr>
<td>❖ APHIS documents to be collected through DIS have been posted on <a href="http://www.cbp.gov/document/guidance/aphis-pga-message-set-adapted-data-element-record-layout">CBP.gov</a></td>
<td>❖ Outreach and webinars will continue at various ports around the country.</td>
</tr>
<tr>
<td>❖ ACE/ITDS page has been established on APHIS website.</td>
<td></td>
</tr>
</tbody>
</table>
2015 Outreach Dates

<table>
<thead>
<tr>
<th>Port/Area</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>LA/Long Beach, CA</td>
<td>Completed</td>
</tr>
<tr>
<td>Philadelphia, PA</td>
<td>Completed</td>
</tr>
<tr>
<td>Laredo, Hidalgo, TX</td>
<td>Completed</td>
</tr>
<tr>
<td>Buffalo, NY</td>
<td>Completed</td>
</tr>
<tr>
<td>Miami, FL</td>
<td>Completed</td>
</tr>
<tr>
<td>Detroit/Port Huron, MI</td>
<td>Completed</td>
</tr>
<tr>
<td>Sweetgrass, MT</td>
<td>Completed</td>
</tr>
<tr>
<td>Chicago, IL</td>
<td>07/30/15</td>
</tr>
<tr>
<td>Champlain, NY</td>
<td>08/04/15</td>
</tr>
<tr>
<td>New Jersey</td>
<td>08/06/15</td>
</tr>
<tr>
<td>New York</td>
<td>08/07/15</td>
</tr>
<tr>
<td>Otay Mesa/ San Diego</td>
<td>08/18/15</td>
</tr>
<tr>
<td>Nogales, AZ</td>
<td>08/20/15</td>
</tr>
</tbody>
</table>

**HQ Staff Support via Webinar**

Dates are subject to change
The APHIS team has produced a technical guide.

- Committees & Subcommittees available to assist
- Collaborative Partners
- Outreach & Pilots
- Outreach meetings & webinars ongoing. Pilot projects pending.

Message Set Team
Lacey Act Pilot Project

Project Background

Projected pilot to start in July 2015
FRN to solicit volunteers
Guidance can be found on CBP.gov.

Participation Process
Submit PPQ 505 form via ACE
HTS Codes on APHIS website
Technical contact: Pamela Bennett*

*Pamela.D.Bennett@aphis.usda.gov
PORT LOCATIONS

- Chicago, IL
- Laredo, TX
- Los Angeles, CA
- Louisville, KY
- Detroit, MI
- Baltimore, MD
- Newark, NY
- Philadelphia, PA
- Otay Mesa/San Diego, CA
What does this mean for APHIS?

- Expedites the review and release of cargo
- Allows for view of shipments at the granular level
- Assists with risk analysis and provides feedback
- Improvement of internal electronic systems
### What changes will industry see?

| Impact to trade industry mainly at the filer level |
| Customs brokers must learn to operate in the new “Single Window” environment |
| Software vendors must adhere to CBP and APHIS guidelines |
| CBP & APHIS working with importers to ensure compliance by Nov. 1st |
Cindy Walters
APHIS ACE ITDS Liaison
Office: 301-851-2273
Cindy.L.Walters@aphis.usda.gov
CPSC PGA Message Set & Certificate Registry Proposed
Alpha Pilot Overview

This presentation was prepared by CPSC staff, has not been reviewed or approved by, and may not reflect the views of, the Commission.
What is a Certificate?

- A certification that a consumer product or other substance regulated by the Commission:
  - Has been tested:
    - Non-children’s products – a test of each product or a reasonable testing program
    - Children’s products – testing conducted by a third party conformity assessment body (laboratory)
  - Complies with all applicable safety rules, bans, standards, and regulations.
# Required Certificate Types

<table>
<thead>
<tr>
<th>General Conformity Certificate (GCC)</th>
<th>Children’s Product Certificate (CPC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Non-children’s products only</td>
<td>• Products intended primarily for children 12 years of age and younger</td>
</tr>
<tr>
<td>• Based on a test of each product or a reasonable testing program (14(a)(1) of the CPSA)</td>
<td>• Based on testing conducted by a CPSC-accepted third party laboratory (14(a)(2) of the CPSA)</td>
</tr>
<tr>
<td>• Must comply with 16 C.F.R. part 1110</td>
<td>• Requires periodic and material change testing</td>
</tr>
<tr>
<td></td>
<td>• Must comply with 16 C.F.R. part 1110</td>
</tr>
</tbody>
</table>

Why Electronic Filing?

• Expedite clearance
• Identify high risk cargo for inspection
• Conduct post-importation enforcement
• Generate reports to assist with:
  • Risk assessment
  • Setting agency priorities and goals
• Meet objectives of EO 13659, Streamlining the Export/Import Process for America’s Businesses.
Full Certificate PGA Message Set

- A way to file product certificates at time of entry filing
- Full set of certificate data filed via the PGA Message Set with each entry line
A way to pre-file a product certificate in the CPSC Certificate Registry in advance of entry filing

Limits (but does not eliminate) the amount
What is the e-Filing Alpha Pilot?

- A two-pronged approach to electronic data collection of importer certificate data
  - Full Certificate PGA Message Set or
  - Reference Certificate PGA Message Set with CPSC Certificate Registry

- A way to test implementation of e-filing in proposed 1110 rule
  - Electronic submission of certificates at entry
  - Using data elements from proposed 1110.11.
Alpha Pilot Goals

• Inform the 1110 Rulemaking

• Test the certificate data e-filing concept for Regulated Products

• Identify and analyze the impact on industry, the government, and consumers
  • Advancing the “single” window environment
  • Impact on identification of noncompliant trade
Project Milestones

- Federal Register Notice – With the Commission for a vote-Decisional scheduled August 12, 2015
  
  [Link to document](http://www.cpsc.gov/global/newsroom/foia/commissionbriefingpackages/2015/efilingalphapilotrequestingparticipantsjune192015.pdf)

- Participant Recruitment – Summer/Fall ’15

- Project Scope and Definition – Fall ’15

- Go Live and Data Collection – Mid ’16
Next Steps

- Stakeholder engagement:
  - Trade Support Network working group
  - Outreach events
  - Others as identified
- Recruit volunteers for the Pilot
- Develop technical drafts for alpha pilot
  - HTS mapping
  - CATAIR
Q & A

- www.cpsc.gov/cpc
- www.cpsc.gov/gcc
- www.cpsc.gov/certify
- www.cpsc.gov/testing (3rd party testing)
EPA ACE Pilots: Overview

July 30, 2015

Chicago, IL
Topics

- Pilot Overview
- Pilot Timing
- Pesticide Notice of Arrivals
- Questions
Pilot Overview

• Current pilots
  - **Vehicle and Engine Declarations Imports**
    - Starting in ports of Long Beach, Newark, Norfolk (Vessel)
  - **Hazardous Waste Exports** *(Spent Lead Acid Batteries)*
    - Starting in ports of Hidalgo, Laredo (Truck)
  - **Pilot for Notice of Arrival for Pesticide Imports** Test in CERT now!
    - Starting in ports of Detroit, Port Huron, Chicago, Newark (Rail, Vessel)

• Planned for 2015
  - **Ozone Depleting Substances (ODS) Imports** is being wrapped into the Toxic Substance Control Act (TSCA) program
    - Expected capability in Fall
## Pilot Timing

<table>
<thead>
<tr>
<th>Program</th>
<th>Guidance Available</th>
<th>CERT Testing Available</th>
<th>Production Filing Available</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Imports</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vehicles &amp; Engines</td>
<td>Now</td>
<td>Now</td>
<td>August 2015?</td>
</tr>
<tr>
<td>Pesticides</td>
<td>Now</td>
<td>Now</td>
<td>August 2015?</td>
</tr>
<tr>
<td>ODS/TSCA</td>
<td>Now</td>
<td>Summer</td>
<td>Fall</td>
</tr>
<tr>
<td><strong>Exports</strong></td>
<td>EEI</td>
<td>EEI</td>
<td>EEI</td>
</tr>
<tr>
<td>Hazardous Waste (spent lead acid batteries)</td>
<td>Now</td>
<td>Now</td>
<td>Now</td>
</tr>
</tbody>
</table>
The Import Process

Notice of Arrival

- An importer desiring to import pesticides or devices into the United States shall submit to EPA a Notice of Arrival [EPA Form 3540-1] prior to the arrival of the shipment in the United States.
NOA Package for Registered Pesticides and Devices

- NOA (EPA Form 3540-1) – Part 1 Complete, True, Accurate and contain an Original Signature
- Copy of the label purported to be affixed to the pesticide or device (listed in box 5) that is to be distributed or sold to the US
- Supplemental documentation supporting information listed in part 1 of the NOA (ie. invoices, packing lists, CBP Forms 3461, 7501, and/or 7512, etc.)
- Return courier envelope and fully completed return airway bill
Pesticide Import Inspections

EPA Receives NOA
Coordinates w/ CBP
Conduct inspection at staging area
Illegal Household Pesticides

"Candy-colored" moth balls and insect chalk
Foreign labeled products
Illegal household pesticides that target consumers within immigrant populations
Pesticide Smuggling

Dichlorvos airmailed to LA from China in dried noodles
For More Information

Roy Chaudet
Office of Information Collection
Office of Environmental Information
U.S. Environmental Protection Agency
202-566-1703
chaudet.roy@epa.gov

Estrella Calvo
Region 5 Pesticides and Toxics Compliance Section
U.S. Environmental Protection Agency
(312) 353-8931
calvo.estrella@epa.gov