

**1.0 Draft**

**U. S. CUSTOMS AND BORDER PROTECTION**

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**Business Rules and Process Document**

**ACE Cargo  
Release Business Transition Processes**

## Version 1.0 Draft

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**Change Log**

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04/24/15	0.1	Original Draft
04/27/15	0.2	Replaced section 11 with new content
04/27/15	0.3	Updated section 15 with content received from CDC Updated section 16 with content received from CPSC Updated section 24 with content received from NHTSA Updated section 25 with content received from NMFS
04/27/15	0.31	Format adjustments
05/05/15	0.4	Updated section 20 with content received from E&C
05/06/15	0.5	Updated section 21 with content received from EPA
05/15	1.0	Added section 38 for FDA inputs Updated “Overview” Updated section 2. CBP Process Entry Updated section 3. Cancellation of Correction of Entry/Cargo Release Updated section 4.3.1.– Disposition codes Updated section 5.0 Entry Holds Updated section 8. Cargo Release Interactions with Automated Manifests Updated section 9. Cargo Release from Paper on Non-Automated Arrival Updated section 10. 10. Partner Government Agency (PGA) Processing (General Rules)

## Automated Commercial Environment Cargo Release Business Transition Processes

### Overview

One of the goals of the Automated Commercial Environment (ACE) is to streamline the import process. To that end, CBP has undertaken steps to simplify the entry/cargo release process. Working with representatives of trade associations, CBP compared the data elements necessary for releasing cargo with the data that the trade had available in the pre-departure environment. The result of this work is a new reduced data set consisting of fewer required data elements and elimination of redundant data elements already provided by manifest partners.

Most of the Cargo Release process is a modernization of system, moving away from a mainframe system to a more modern platform. This is being performed as part of an overall system consolidation and modernization process and allows CBP to field a 21<sup>st</sup> Century system that will allow for better communication pathways to trade partners, more flexibility in message including alignment of messaging with trade based systems. It is being designed using an agile methodology to allow for more flexibility in requirements to allow for the ever evolving world of international trade. In addition, trade processing is regulated by Regulation and statute that allows limited flexibility or change in process in the short term. As a result of this, many of the processes and policy we are using for ACE follow the existing processes and policies.

The purpose of this document is to outline Cargo Release processing in the Automated Commercial Environment (ACE) and provide a comparison to the processing CBP has performed for many years. This is not a technical document designed to allow for software development. That can be found in the ACE CATAIR found online at <http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter>. Where appropriate, changes from current processes and policy are highlighted in this document. To allow for the November 1, 2015 deadline for transition to the ACE Cargo Release system, each chapter of this document is divided into three sections:

- Current process – this section identifies existing processes utilizing ACS and/or paper forms. In cases of entry summary processing, it also defines current ACE Entry Summary processes.
- Transition process – This describes the steps needed to transition to a fully automated environment from a paper dependent one and includes some interim processes for continuation of submission of paper form and legacy processes for both CBP and Partner Government Agencies (PGA).
- To-Be process – this describes the end state processing in a fully automated environment.

Additionally, this document is divided into CBP processes only and PGA processes. The PGA processes are divided into chapters with general system processing information for PGAs followed by specific chapters for each PGA with information on their participation and expectations form by form (or process).

This document is a work in progress. Since development for some PGAs and CBP processes is still ongoing, information will be added as identified. Processing pilots for PGAs, expected in July 2015 will

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also generate new and modified procedures. [As our understandings of these processes and our procedures evolve, so will this document.](#) This document will also be updated based on information and questions provided by end users.













ICON Keys	
	Filer imitated action
	CBP Imitated action
	System action



Table 1.

Current Processes	Transition Processes	To – Be Processes
<b>1. Filing an Entry for ACE</b>		
<b>1.1 Filer generates and submits entry transaction via ABI</b>		
<p>EDI transmission to ACS via ABI dataset HI, HN, EI and is validated based on syntax rules. </p> <p>1.1.1 Syntax validation fails – entry filing is rejected back to filer via ABI.</p> <p>1.1.2 Syntax validation passes – entry proceeds to validation of field values and data against published business rules. </p> <p>1.1.3 Validation against business rules fails, entry is rejected back to the filer with appropriate error code.</p> <p>1.1.4 Validation against business rules fails, entry is accepted with conditions.</p> <p>1.1.5 Validation against business rules passes, entry is accepted and notifications sent as per business rules. </p> <p>See ACS CATAIR for more Information: <a href="http://www.cbp.gov/trade/acs/catair">http://www.cbp.gov/trade/acs/catair</a></p>	<p>EDI transmission to ACE via datasets SE and AE is validated based on syntax rules. </p> <p>1.1.1 Syntax validation fails – entry summary is rejected back to filer via ABI.</p> <p>1.1.2 Syntax validation passes – entry proceeds to validation of field values and data against published business rules. </p> <p>1.1.3 Validation against business rules fails, entry is rejected back to the filer with appropriate error code.</p> <p>1.1.4 Validation against business rules fails, entry is accepted with conditions.</p> <p>1.1.5 Validation against business rules passes, entry is accepted and notifications sent as per business rules. </p> <p>See ACE CATAIR chapters for more information: <a href="http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter">http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter</a></p>	<p>EDI transmission to ACE via datasets SE and AE is validated based on syntax rules. </p> <p>1.1.1 Syntax validation fails – entry summary is rejected back to filer via ABI.</p> <p>1.1.2 Syntax validation passes – entry proceeds to validation of field values and data against published business rules. </p> <p>1.1.3 Validation against business rules fails, entry is rejected back to the filer with appropriate error code.</p> <p>1.1.4 Validation against business rules fails, entry is accepted with conditions.</p> <p>1.1.5 Validation against business rules passes, entry is accepted and notifications sent as per business rules. </p> <p>See ACE CATAIR chapters for more information <a href="http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter">http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter</a></p>
<b>1.2 Unified Filing Cargo Release and Importer Security Filing</b>		
<p>1.2.1 ACS allows for the filing of a consolidated set of entry and ISF data. More information on the process can be found in the ACS CATAIR</p>	<p>1.2.1 ACE Cargo release allows for the filing of a consolidated set of entry and ISF data.</p>	

<a href="http://www.cbp.gov/document/guidance/importer-security-filing">http://www.cbp.gov/document/guidance/importer-security-filing</a>		
<b>1.3 Submission of Commercial Party Data</b>		
1.3.1 In ACS datasets, all commercial party data is collected as unique identification numbers including EIN numbers (IRS issued), CBP generated ID numbers, MID numbers.	1.3.1 In ACE SE dataset for cargo release, importer data and ultimate consignee are collected as an entity ID number (EIN, CBP generated number or Social Security Number). Manufacturers, Shippers, Buyers and Sellers are collected as either an entity ID or a name and address.	
1.3.2 In ACS, CBP will accept a name and address for low value consignees instead of use of the entity ID number. CBP assigns an encryption code ID but does not send this to the filer.	1.3.2 In ACE, ultimate consignees must be reported as an entity ID number. NOTE, ACE is working to add the name and address process, delivery date unknown.	
<b>2. CBP Processes Entry</b>		
<b>2.1 Accepted Entry Filed for Cargo Release Processing (No Entry Summary Filed)</b>		
Entry filed as entry/release only is filed in ABI using datasets HI or HN. The data in this set is aligned to the CBP Form 3461 and contains data from the importation as well as shipment/carrier data.	Entry filed as entry/release only is filed in ABI using the SE dataset. The data in this set is not directly aligned to the CBP Form 3461, and contains data mostly related to the importation data. Data to link entry to manifest remains required (Bill of lading). Unless entered quantity is specifically identified, entry is for full bill quantity. Unless port of entry is identified, port of arrival from the manifest is established as the port of entry. When an inbond is identified, the destination port for the in-bond becomes the identified port of entry.	
2.1.1 CBP reviews entry for targeting and selectivity and makes determination regarding status.	2.1.1 CBP reviews entry for targeting and selectivity and makes determination regarding status.	

2.1.2 CBP notifies filer of status determination (see section on status notifications and timelines) within timeframes established for each mode of transportation	2.1.2 CBP notifies filer of status determination (see section on status notifications and timelines) within timeframes established for each mode of transportation	
2.1.3 CBP notifies carrier and identified 3 <sup>rd</sup> parties of entry status.	2.1.3 CBP notifies carrier and identified 3 <sup>rd</sup> parties of entry status. <a href="http://www.cbp.gov/document/guidance/cargo-release-accatair-chapter">http://www.cbp.gov/document/guidance/cargo-release-accatair-chapter</a>	

2.2 Accepted Entry Filed Cargo Release Certified from Summary		
This is the first point in the process where ACE interfaces with ACS. This synchronization between ACE and ACS will occur continually throughout ACE entry summary processing.	<p>ACE receives Certified from Summary filings on the “AE” transaction set which includes Cargo Release data and potentially PGA data. New ACE is set up as service modules, so each part of the system will receive the appropriate data. Cargo Release will receive the SE transaction data and the PGA system will receive the PGA data. The services are independent of each other so that an Entry Summary can be accepted while a Cargo Release can be rejected. The trade will have to submit the appropriate data to the appropriate system. All messaging from the modules are separate in this case.</p> <p>Because of the nature of the programming If the data received is rejected by the Entry Summary module, it should be noted that ACE will reject the whole message including the SE and PGA components. So the initial filing does have to pass all of the syntax and up front validations in the ACE Entry Summary system for the data to move into other parts of the system.</p>	
2.2.1 ACE entry summaries may be “certified” for cargo release. Cargo release processing occurs in ACS.	2.2.1 ACE entry summaries may be “certified” for cargo release. Cargo release processing occurs in ACE Cargo Release. Add IG Link	2.2.1 ACE entry summaries may be “certified” for cargo release. Cargo release processing occurs in ACE Cargo Release. Add IG link
2.3 Accepted Entry Filed Cargo Release Certified from Summary (Remote Location Filing)		
2.3.1 ACE EIP/RLF entry summaries may be “certified” for cargo release. Cargo release processing occurs in ACS.	2.3.3 ACE EIP/RLF entry summaries may be “certified” for cargo release. Cargo release processing occurs in ACE Cargo Release. Add IG Link	
2.3.2 Filer Provides invoice via ABI to create an automated Invoice (Ref IGs)	2.3.2 ACE will now process electronic invoices sent through the Document Imaging System (DIS). These invoices are scanned paper documents and they are attached via linkage to	

	<p>the Entry. Hyperlinks are available from the ACE Cargo Release and Entry Summary systems to allow users easy access for review.</p> <p>For RLF requirements, ACE Entry Summary validates that the proper trade user has filed at the correct port.</p>	
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2.4 Paperless Entry		
<p>2.4.1 CBP edits incoming entries to determine if they qualify for paperless processing. Currently this is based on:</p> <p>2.4.1.1 ABI Filing</p> <p>2.4.1.2 Entry mode of transportation (MOT) is not truck. Note, truck manifest processing allows for paperless processing but the documents should be available on demand at time of arrival.</p> <p>2.4.1.3 No derogatory or limiting information that prevents paperless filing discovered during processing (exam required, documents required etc)</p>	<p>2.4.1 ACE Cargo Release does not edit to determine paperless eligibility.</p>	<p>2.4.1 ACE Cargo Release does not edit to determine paperless eligibility.</p>
<p>2.4.2 Current ACS processing provides notification to the filer that the entry has been accepted for paperless filing.</p>	<p>2.4.2 ACE Cargo Release has no need for the term “paperless.” Without human intervention via manual processes or targeting results, the system will allow entries to go straight to release. All shipments in ACE Cargo Release are allowed to release without filers being required to print and provide paper documents. ACE Cargo Release shipments should be processed in a fully electronic environment.</p>	
<p>2.4.3 Paperless filing indicates that no entry package (CBP 3461 or CBP 7501) with supporting documentation is required for release.</p>	<p>2.4.3 ACE Cargo Release has new data elements (for seller and buyer) that are not supported on the CBP Form 3461. As a result, data submitted on paper must be clearly identified as related to a specific ABI created ACE Cargo Release and should contain all of the information in the format transmitted to CBP. This could include printouts or data transcribed over to plain paper. CBP is not intending to create a paper replacement for the CBP Form 3461 at this time.</p>	
<p>2.4.4 If shipment is eligible for paperless processing, the filer will not be required to</p>	<p>2.4.4 Documents are only required when an entry is held for Document Review (See section 6). The notification will include the documents that CBP requires. Submission will be via the</p>	<p>2.4.4 Future – Documents required should no longer be a paper process,</p>

create an entry package unless an examination or review is required.	Document Imaging System (DIS). DIS does allow for documents to be submitted at any time. (See IG)	documents may be submitted electronically and associated to the entry
2.4.5 Paperless entries will be released based on the estimated date of arrival and the release date is established. Filer will receive a notification of arrival as identified by arrival of the designated Bill of Lading/AWB from the manifest.		
2.4.6 If ACS determines that the shipment is not eligible for paperless release the filer will receive a “Documents Required” notification.		
2.4.7 If filer receives a documents required notification, they are expected to create an entry package for that entry to present to CBP prior to release.		
2.4.8 CBP will manually process the release in ACS establishing a release and arrival date. Filer will be notified of these events. CBP will notate documents as released using signature, stamp, perforation or any combination of these and return to the filer.		

2.5 Documents Required for Entry		
<p>2.5.1 The following paper documents are required for entry packages supporting ABI submissions:</p> <ul style="list-style-type: none"> <li>• CBP Form 3461 or 7501</li> <li>• Commercial or Pro-Forma Invoice</li> </ul>	<p>2.5.1 Any documents required for an ACE Cargo release transaction will be identified in the Document Required hold message. These documents will be sent via DIS</p>	
<p>2.5.2 The following paper documents are conditionally required or accepted as needed based on regulations governing specific commodities and PGA requirements (Note this list is not exhaustive but only illustrative):</p> <ul style="list-style-type: none"> <li>• Packing List</li> <li>• Ingredients List</li> <li>• Bill of lading</li> <li>• Permits and Licenses</li> <li>• Foreign Government Certificates</li> <li>• PGA forms</li> <li>• PGA certification statements</li> <li>• CBP Form 301</li> <li>• Any other documentation that may be required by CBP or PGA</li> </ul>	<p>2.5.2 Documents may be sent by filers based on their knowledge associated with shipments in ACE as described in the DIS Implementation Guides and explicitly identified in Federal Register Notices. These documents include (Note this list is not exhaustive but only illustrative):</p> <ul style="list-style-type: none"> <li>• Packing List</li> <li>• Ingredients List</li> <li>• Bill of lading</li> <li>• Permits and Licenses</li> <li>• Foreign Government Certificates</li> <li>• PGA forms</li> <li>• PGA certification statements</li> <li>• Any other documentation that may be required by CBP or PGA</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
2.6 Methods of Document Submission		
<p>2.6.1 Current requirements are for paper submission of all relevant forms and documents associated to an entry to be filed as part of an entry packet.</p>	<p>2.6.1 The DIS interface between CBP and Trade Partners is intended to allow CBP to electronically gather relevant information and documents required during the cargo importation and release process and to update trade partners regarding the review status of such documents. The key goal of the interface is to replace the manual paper based transactions that occur today between trade partners and CBP/PGAs with an efficient, reliable, and cost-effective</p>	<p>Future</p> <ul style="list-style-type: none"> <li>- ACE will be able to allow users to submit a non-abi ACE entry with PGA documents. The system will return a notification to the user that there are PGA requirements. The officer will be able to force a release if the filer has submitted all of the proper documents for admissibility.</li> </ul>



	<p>electronic mechanism. Documents that are submitted via this interface are electronic copies, i.e. images, of the paper documents submitted today. Multiple document and image formats are supported.</p> <p>For technical information see <a href="http://www.cbp.gov/sites/default/files/documents/dis_implementation_guide_2.6pdf">http://www.cbp.gov/sites/default/files/documents/dis_implementation_guide_2.6pdf</a></p> <p>For other information see <a href="http://www.cbp.gov/trade/ace/features">http://www.cbp.gov/trade/ace/features</a></p>	<p>If scanners are available, the CBPO may upload the documents and attach them to the system. Potentially a handheld camera may be available to upload the associated documents.</p> <p>CBP is also looking into alternative ways to accept data through ACE. An initiative is under way to collect entries submitted via apps on phone and tablet technology.</p>
	<p><b>2.6.2 ONLY DOCUMENTS THAT ARE EXPLICITLY LISTED IN THE FEDERAL REGISTER NOTICE (FRN) FOR TRANSMISSION BY TRADE SHOULD BE SUBMITTED TO CBP VIA DIS. THE LIST OF DOCUMENT LABELS IN THE DIS XSD IS ONLY A REFERENCE TO THE TECHNICAL ABILITY OF THE SYSTEM TO SUPPORT EACH DOCUMENT TYPE TO FACILITATE TESTING. THE FRN IS THE SOLE, FORMAL AUTHORITY THAT IDENTIFIES THE VARIOUS DOCUMENT TYPES THAT MAY BE TRANSMITTED TO CBP IN THE OPERATIONAL PRODUCTION ENVIRONMENT VIA DIS.</b></p>	

3. Cancellation and Correction of Entry/Cargo Release		
3.1 Cancellation of Entries		
Cancellation Requests are currently submitted on paper at the port of entry.	Submission is fully automated via ABI.	
3.1.1 Filer submits letter requesting cancellation or deletion of an entry stating reason for cancellation, providing the original entry package and any documentation supporting the cancellation of the entry.	<p>3.1.1 Filer submits cancellation request electronically. (See <a href="http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter">http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter</a> SE13 record)</p> <p>3.1.1.1 Filer selects a Reason Code (See IG for values).</p> <ul style="list-style-type: none"> <li><b>01</b> Clerical Error</li> <li><b>02</b> Entry replaced by CBPF 7512 (replacement in-bond number required)</li> <li><b>03</b> Merchandise cleared under another entry (replacement entry number required)</li> <li><b>04</b> Entry replaced by FTZ Admission (replacement FTZ Admission Number required)</li> <li><b>05</b> Merchandise cleared under informal entry</li> <li><b>06</b> Merchandise seized</li> <li><b>07</b> Merchandise destroyed</li> <li><b>08</b> Non-arrival</li> <li><b>09</b> Shipment refused by importer</li> <li><b>10</b> Shipment not authorized for import</li> <li><b>11</b> System error</li> </ul> <p>3.1.1.2 Filer submits documentation via DIS as appropriate including invoices, packing lists, bills of lading etc. sufficient to document request.</p>	
<p>3.1.2 CBP reviews the documentation and determines if cancellation/deletion is warranted.</p> <p>3.1.2.1 If Entry is not arrived and no Summary exists, the entry is reviewed for deletion by CBP</p>	<p>3.1.2 CBP reviews request and documentation and determines if cancellations is appropriate. In ACE, only cancellations are performed. Since entries are not deleted from the system and the data still remains in the system, this is truly a cancellation. The entry number will not be re-used.</p>	

3.1.2. If Entry Summary record exists, the entry is reviewed for cancellation by CBP.		
3.1.3 CBP approves or denies the request 3.1.3.1 CBP approves the request for deletion and the record is deleted from the system fully. There is no record for the entry number remaining. 3.1.3.2 CBP approves the request for cancellation and the entry is cancelled. This retains the record for the entry number but puts it into cancelled status suspending all timeframes for further action 3.1.3.3 CBP rejects the request and returns the documentation to the filer for further action.	3.1.3 CBP approves or denies the request 3.1.3.1 CBP approves the request for cancellation. Electronic notification is sent to the entry filer. 3.1.3.2 CBP rejects the request for cancellation. CBP will initiate a request reason and if reason is documentation needed, the specific documentation. CBP will also provide text remarks as appropriate. Electronic notification with additional information will be sent to the entry filer. If a cancellation is denied, the filer will have to submit a new cancellation request	

3.2 Correcting Entries		
Filer may generate correction electronically if entry has not yet been processed through selectivity (paperless or document review notification is received by filer). If Selectivity has been run the process requires paper submission.	Submission is fully automated via ABI. The process for correction varies depending on status of the entry (matched to bill of lading, released, arrived, etc) Cargo Release entries cannot be cancelled if a summary is on file. ACE will know if the summary is on file and reject the request back to the filer informing the trade user that the request must be submitted via Entry Summary.	Future - Any request will be immediately sent to the proper system regardless without threat of rejection.
3.2.1 Filer submits correction request via letter including CBP Forms 3461/7501 highlighted corrections and includes any relevant information to support the correction. (Electronic corrections currently used will not be discussed in this document)	<p>3.2.1 Filer submits cancellation request electronically. (Ref IG section)</p> <p>3.2.1.1 Filer selects one of two options.</p> <p>3.2.1.1.1 <b>“U” (Update):</b> The traditional bill of lading update transaction allowing updates to the bill of lading, the bill quantity, and specific manifest information (SE16 Record) when provided. Update transactions are accepted for up to 15 calendar days after the release of the ACE Cargo Release transaction by CBP.</p> <p>3.2.1.1.2 <b>“R” (Replace):</b> This allows full replacement of the data elements on the ACE Cargo Release transaction, with a few exceptions at present. The data which may <i>not</i> be changed includes the Importer of Record and Entry Number. The Replace action may be automatically accepted and processed by CBP, or it may be turned into a Correction Request which appears on a Hot List at the top of the ACE Cargo Release user screen. The Correction Requests must be manually adjudicated by an authorized CBP user in ACE.</p>	
3.2.2 CBP reviews the documentation and determines if correction is warranted.	<p>3.2.2 Correction <b>After initial submission but before arrival:</b></p> <ul style="list-style-type: none"> <li>o If there is <u>no</u> Document Review, or Intensive, or other CBP Hold, and the Trade submits a “R” (Replace) action in the SE transaction, the CBP system accepts for validation and processing the full replacement of the ACE Cargo Release and sends it through targeting and selectivity again.</li> </ul>	

	<p>o If there <u>is</u> a Document Review (this has a similar effect on the entry itself as an intensive exam), or Intensive, or other CBP Hold, and the Trade submits a “R” (Replace) action in the SE transaction, the CBP system turns the submission into a Correction Request that requires manual CBP user adjudication to Accept/Reject the Request. If the Request is rejected, the CBPO must provide a reason. If the Request is accepted, the CBP system accepts for validation and processing the full replacement of the ACE Cargo Release and sends it through targeting and selectivity again.</p>	
<p>3.2.3 CBP approves or denies the request</p> <p>3.2.3.1 CBP approves the request for correction and performs the correction in ACS. CBP returns the documentation to the filer indicating that the correction has been completed.</p> <p>3.2.3.3 CBP rejects the request and returns the documentation to the filer for further action.</p>	<p>3.2.3 Correction <b>After Arrival <i>but before Release</i></b>:</p> <p>o If the Trade submits a “R” (Replace) action in the SE transaction, <b>the CBP system turns the submission into a Correction Request</b> that requires manual CBP user adjudication to Accept/Reject the Request.</p> <p>3.2.3.1 If the Request is rejected, the CBPO must provide a reason. (See IG for reason codes)</p> <p>3.2.3.2 If the Request is accepted, the CBP system accepts for validation and processing the full replacement of the ACE Cargo Release and sends it through targeting and selectivity again.</p>	
	<p>3.2.4 Correction <b>After <i>both Arrival and Release</i></b>:</p> <ul style="list-style-type: none"> <li>• No more “R” (Replace) actions are accepted electronically from the Trade. CBP has no choice but to presume that the cargo may have left bonded custody. Any further changes to CBP entry declarations must be made via the entry summary.</li> <li>• “U” (<b>Update</b>) will be accepted. Update transactions are accepted for up to 15 calendar days after the release of the ACE Cargo Release transaction by CBP.</li> </ul>	

	3.2.5 Transition - When a correction is submitted with PGA data, the system will not allow updates for PGA purposes. The filer should send in a cancellation and then resubmit the entry with the correct PGA data.	3.2.5 Future – Once PGA's are set up to handle updates to the data, the PGA's will be able to determine whether or not the corrections are acceptable for their agency.
NOTE: Instructions for Correction of Entry Summary records is contained in the Entry Summary Business Process Document (link)	NOTE: Instructions for Correction of Entry Summary records is contained in the Entry Summary Business Process Document (link)	

4. Cargo Release Notifications to the Trade Community						
4.1 Status Notifications from Cargo Release/Entry Summary Edits						
4.1.1 In ACS, CBP provides electronic status notifications regarding edits that may prevent entry filing at the entry and line level for each transaction informing trade filers of the status of the transaction. The list of these transactions and their definitions can be found at (LINK)	4.1.1 In ACE, CBP provides electronic status notifications regarding edits that may prevent entry filing at the entry and line level for each transaction informing trade filers of the status of the transaction. The list of these transactions and their definitions can be found in Appendix G at <a href="http://www.cbp.gov/sites/default/files/documents/ACE_CAT_AIR_Appendix_G_Condition_Codes_and_Text_V7.1_01052015.xls">http://www.cbp.gov/sites/default/files/documents/ACE_CAT_AIR_Appendix_G_Condition_Codes_and_Text_V7.1_01052015.xls</a>	Same as Transition				
4.2 Status Notifications from Manifest Information Provided to Cargo Release Filers (for more information and technical specifications see <a href="http://www.cbp.gov/sites/default/files/documents/Cargo%20Release%20Status%20Notification_0.doc">http://www.cbp.gov/sites/default/files/documents/Cargo%20Release%20Status%20Notification_0.doc</a> )						
4.2.1 In ACE some manifest information is provided to entry filers as part of status notifications. See LINK	<p>4.2.1 In ACE some manifest information is provided to entry filers as part of status notifications</p> <p>4.2.1.1 ACE provides data pertaining to the in-bond number, and, as appropriate, master bill number, house bill number, sub-house bill number, [entered] quantity, unit of measure of bill quantity and manifested quantity of the bill of lading. For Air shipments only, if the bill is split, quantity represents boarded quantity. If bill is not split, quantity represents entered and released.</p> <p>4.2.1.2 ACE provides data pertaining to the in-bond number(s) associated with the bill(s) on the reported on the entry.</p> <p>4.2.1.3 ACE provides data pertaining to the bill match disposition, date / time, disposition code, narrative message, Split Indicator, carrier code, Voyage/flight/trip manifest number, date of arrival, and District/Port of arrival. This data includes:</p> <table><tr><th>Code</th><th>Description</th></tr><tr><td>91</td><td>NO BILL MATCH</td></tr></table>	Code	Description	91	NO BILL MATCH	Same as Transition
Code	Description					
91	NO BILL MATCH					

	<div>92 ACAS BILL ON FILE</div> <div>93 BILL ON FILE</div> <div>94 BILL DEPARTED</div> <div>95 BILL ARRIVED</div> <div>51 MANIFEST HOLD CBP</div> <div>52 MANIFEST HOLD AGRICULTURE</div> <div>53 CBP HOLD</div> <div>54 CBP MANIFEST HOLD REMOVED</div> <div>55 AGRICULTURE MANIFEST HOLD REMOVED</div> <div>56 CBP HOLD REMOVED</div> <div>57 SPLIT BILL DOES NOT QUALIFY FOR RELEASE</div> <div>58 QTY IS MORE THAN MANIFESTED BILL QTY</div>																															
4.3 Status Notification for Cargo Release Shipment Status (for more information and technical specifications see <a href="http://www.cbp.gov/sites/default/files/documents/Cargo%20Release%20Status%20Notification_0.doc">http://www.cbp.gov/sites/default/files/documents/Cargo%20Release%20Status%20Notification_0.doc</a> )																																
4.3.1 ACS provides status notifications for shipment status based on review of entry and/or CBP initiated actions. See LINK	<div>4.3.1 ACE provides data pertaining to the disposition codes, action date, and time; and narrative message, release date, release origin, and document type. These values include:</div> <table><tr><th>Code</th><th>Description</th></tr><tr><td>03</td><td>PENDING INTENSIVE EXAM</td></tr><tr><td>21</td><td>RESERVED</td></tr><tr><td>22</td><td>RELEASE DATE UPDATE</td></tr><tr><td>23</td><td>ENTRY CANCELLED</td></tr><tr><td>24</td><td>ENTRY CANCELLATION UNSET</td></tr><tr><td>25</td><td>ENTRY WILL BE CANCELLED IN 7 DAYS</td></tr><tr><td>26</td><td>NO BILL MATCH AFTER 30 DAYS</td></tr><tr><td>31</td><td>RESERVED</td></tr><tr><td>35</td><td>RESERVED</td></tr><tr><td>71</td><td>RESERVED</td></tr><tr><td>72</td><td>RESERVED</td></tr><tr><td>73</td><td>RESERVED</td></tr><tr><td>79</td><td>ENTRY NOT PERMITTED AT REPORTED PORT</td></tr><tr><td>80</td><td>IN-BOND NUMBER NOT ON FILE</td></tr></table>	Code	Description	03	PENDING INTENSIVE EXAM	21	RESERVED	22	RELEASE DATE UPDATE	23	ENTRY CANCELLED	24	ENTRY CANCELLATION UNSET	25	ENTRY WILL BE CANCELLED IN 7 DAYS	26	NO BILL MATCH AFTER 30 DAYS	31	RESERVED	35	RESERVED	71	RESERVED	72	RESERVED	73	RESERVED	79	ENTRY NOT PERMITTED AT REPORTED PORT	80	IN-BOND NUMBER NOT ON FILE	Same as Transition
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	<div>81 IN-BOND PORT DISCREPANCY</div> <div>82 SPLIT SHIPMENT RELEASE CODE REQUIRED</div> <div>83 SPLIT SHIPMENT RELEASE PENDING**</div> <div>84 DOC REQUIRED FOR CORRECTION REQUEST</div> <div>85 DOC REQUIRED FOR CANCELLATION REQUEST</div> <div>86 CORRECTION REQUEST REJECTED</div> <div>87 CANCELLATION REQUEST REJECTED</div> <div>88 ENTRY REPLACED</div> <div>89 ENTRY SUMMARY PORT DISCREPANCY</div> <div>90 UNDER CBP REVIEW</div> <div>96 DOCUMENT REQUIRED</div> <div>97 ADMISSIBLE</div> <div>98 RELEASED</div> <div>99 RELEASE SUSPENDED</div> <div>01 ONE USG (A status issued once all of the reporting PGA's have issued a "May Proceed," and CBP has conditionally released the goods)</div>	
	<div>4.3.1.1 If the Disposition Action Code is 22 or 98. ACE also generates a code representing the action or date ACE has used to determine the current release date. These include:</div> <div><div>Code Description</div><div>01 Selectivity Processing Date</div><div>02 Estimated Date of Arrival</div><div>03 Actual Arrival Date</div><div>04 Paperless Master In-Bond Arrival Date</div><div>05 Intensive Exam Completed</div><div>06 Override to General Exam</div><div>07 CBP Manifest Hold Removed</div><div>08 Other Agency Review Completed</div><div>09 Release Date Update</div><div>99 Release Date Removed</div></div>	

	4.3.1.2 If the disposition code requires submission of a document, ACE will send the following codes:																																																											
	<table><tr><th>Code</th><th>Description</th></tr><tr><td>01</td><td>Packing List</td></tr><tr><td>02</td><td>Invoice</td></tr><tr><td>03</td><td>Other</td></tr><tr><td>04</td><td>ID (passport, D/L, etc.)</td></tr><tr><td>05</td><td>CBPF3299 (Declaration for Free Entry of Unaccompanied Articles)</td></tr><tr><td>06</td><td>CBPF4455 (Certificate of Registration)</td></tr><tr><td>07</td><td>CBPF4457 (Certificate of Registration for Personal Effects Taken Abroad)</td></tr><tr><td>08</td><td>CBPF3229 (Certificate of Origin)</td></tr><tr><td>09</td><td>Certificates (vehicle title, etc.)</td></tr><tr><td>10</td><td>Permits</td></tr><tr><td>11</td><td>Ingredient list</td></tr><tr><td>12</td><td>APHIS Notice of Arrival</td></tr><tr><td>13</td><td>APHIS Animal Health Certificate</td></tr><tr><td>14</td><td>APHIS Preclearance 203</td></tr><tr><td>15</td><td>APTL CITES Certificate</td></tr><tr><td>16</td><td>APTL Foreign Certificate</td></tr><tr><td>17</td><td>APTL Import Permit</td></tr><tr><td>18</td><td>APTL Meat Certificate</td></tr><tr><td>19</td><td>APTL Phytosanitary Certificate</td></tr><tr><td>20</td><td>APTL Transit Permit</td></tr><tr><td>21</td><td>EPA Vehicles/Engine Exemption</td></tr><tr><td>22</td><td>EPA Form 3520-1</td></tr><tr><td>23</td><td>EPA Form 3520-21</td></tr><tr><td>24</td><td>EPA Form 3540-1</td></tr><tr><td>25</td><td>EPA Pesticide Label</td></tr><tr><td>26</td><td>EPA TSCA Certification</td></tr><tr><td>27</td><td>FSIS 9010-1 Return of Exported Products to the United States</td></tr><tr><td>28</td><td>FSIS 9060-5 U.S. Export Certificate</td></tr></table>	Code	Description	01	Packing List	02	Invoice	03	Other	04	ID (passport, D/L, etc.)	05	CBPF3299 (Declaration for Free Entry of Unaccompanied Articles)	06	CBPF4455 (Certificate of Registration)	07	CBPF4457 (Certificate of Registration for Personal Effects Taken Abroad)	08	CBPF3229 (Certificate of Origin)	09	Certificates (vehicle title, etc.)	10	Permits	11	Ingredient list	12	APHIS Notice of Arrival	13	APHIS Animal Health Certificate	14	APHIS Preclearance 203	15	APTL CITES Certificate	16	APTL Foreign Certificate	17	APTL Import Permit	18	APTL Meat Certificate	19	APTL Phytosanitary Certificate	20	APTL Transit Permit	21	EPA Vehicles/Engine Exemption	22	EPA Form 3520-1	23	EPA Form 3520-21	24	EPA Form 3540-1	25	EPA Pesticide Label	26	EPA TSCA Certification	27	FSIS 9010-1 Return of Exported Products to the United States	28	FSIS 9060-5 U.S. Export Certificate	
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	<div><div>29</div><div>FSIS 9540-4 Shipper Notification - Importation of Undenatured Inedible Meat Product</div></div> <div><div>30</div><div>FSIS 9540-5 Notification of Intent for Importation of Meat, Poultry, or Egg Product Samples for Laboratory Examination, Research, Evaluative Testing, or Trade Show Exhibition</div></div> <div><div>31</div><div>NOAA Form 370</div></div> <div><div>32</div><div>Export Manifest</div></div> <div><div>33</div><div>Photo or Image</div></div>	
	<div>4.3.1.3 ACE provides conditional cargo release information and disposition codes to trade about a PGAs review of the data at the Entry, Entry Line or PGA Line level. These include:</div> <div>Valid PGA Entry Level Status Codes:</div> <div><div><div>Code</div><div>Description</div></div><div><div>01</div><div>DATA UNDER PGA REVIEW</div></div><div><div>02</div><div>HOLD INTACT</div></div><div><div>03</div><div>DATA RECEIVED PER PGA REVIEW</div></div><div><div>04</div><div>DATA REJECTED PER PGA REVIEW</div></div><div><div>06</div><div>DO NOT DEVAN</div></div><div><div>07</div><div>MAY PROCEED</div></div><div><div>08</div><div>INTENSIVE – GENERAL ORDER</div></div><div><div>10</div><div>DOCUMENTS REQUIRED</div></div><div><div>11</div><div>INTENSIVE - EXAM/SAMPLE</div></div></div> <div>Valid PGA Entry Line Level Status Codes :</div> <div><div><div>Code</div><div>Description</div></div><div><div>01</div><div>DATA UNDER PGA REVIEW</div></div><div><div>02</div><div>HOLD INTACT</div></div><div><div>03</div><div>DATA RECEIVED PER PGA REVIEW</div></div><div><div>04</div><div>DATA REJECTED PER PGA REVIEW</div></div><div><div>07</div><div>MAY PROCEED</div></div></div>	

	<p>Valid PGA Line Level Status Codes are:</p> <table><tr><th>Code</th><th>Description</th></tr><tr><td>01</td><td>DATA UNDER PGA REVIEW</td></tr><tr><td>03</td><td>DATA RECEIVED PER PGA REVIEW</td></tr><tr><td>04</td><td>DATA REJECTED PER PGA REVIEW</td></tr><tr><td>07</td><td>MAY PROCEED</td></tr></table>	Code	Description	01	DATA UNDER PGA REVIEW	03	DATA RECEIVED PER PGA REVIEW	04	DATA REJECTED PER PGA REVIEW	07	MAY PROCEED			
Code	Description													
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03	DATA RECEIVED PER PGA REVIEW													
04	DATA REJECTED PER PGA REVIEW													
07	MAY PROCEED													
	<p>4.3.1.4 If the shipment has a status with data pertaining to the disposition action date, time, code, and a narrative message of the PGA data. These include:</p> <table><tr><th>Code</th><th>Description</th></tr><tr><td>01</td><td>PGA DATA ACCEPTED</td></tr><tr><td>02</td><td>PGA DATA REJECTED</td></tr><tr><td>03</td><td>PGA DATA UNDER REVIEW</td></tr><tr><td>04</td><td>PGA DATA DOCS REQUIRED</td></tr><tr><td>05</td><td>PGA DATA INTENSIVE/EXAM</td></tr></table> <p>If a document is required see the list of codes in 4.3.1.3</p>	Code	Description	01	PGA DATA ACCEPTED	02	PGA DATA REJECTED	03	PGA DATA UNDER REVIEW	04	PGA DATA DOCS REQUIRED	05	PGA DATA INTENSIVE/EXAM	
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4.4 Status Notifications for Cancellation and Correction Functionality														
There is no automated functionality in ACS.	<p>4.4.1 ACE provides a reference line that identifies the type of code being sent as a correction/cancellation reference and identifies text comments included with that message. The codes governing these correction/cancellation codes include:</p> <table><tr><th>Code</th><th>Description</th></tr><tr><td>01</td><td>Provided replacement entry is in cancelled status.</td></tr><tr><td>02</td><td>Provided replacement entry is in open status.</td></tr><tr><td>03</td><td>Provided replacement in-bond is in deleted status.</td></tr><tr><td>04</td><td>Requested document is not in DIS.</td></tr></table>	Code	Description	01	Provided replacement entry is in cancelled status.	02	Provided replacement entry is in open status.	03	Provided replacement in-bond is in deleted status.	04	Requested document is not in DIS.	Same as transition		
Code	Description													
01	Provided replacement entry is in cancelled status.													
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04	Requested document is not in DIS.													

	<p><b>05</b> Additional information required via DIS.</p> <p><b>06</b> Unable to verify CBP disposition for full bill quantity on original entry.</p> <p><b>07</b> Provided replacement FTZ Admission is in deleted status.</p> <p><b>08</b> Provided replacement FTZ Admission is in open status.</p> <p><b>09</b> Original entry is on hold. Hold must be resolved prior to correction request.</p> <p><b>10</b> Original entry is on hold. Hold must be resolved prior to cancellation request.</p> <p><b>11</b> Original entry is on PGA hold. Hold must be resolved by PGA prior to correction request.</p> <p><b>12</b> Original entry is on PGA hold. Hold must be resolved by PGA prior to cancellation request.</p> <p><b>13</b> Other (See comments).</p> <p><b>14</b> Original entry and replacement entry must contain identical bill number.</p> <p><b>15</b> Original entry and replacement in-bond must contain identical bill number.</p> <p><b>16</b> Provided replacement entry is not on file.</p> <p><b>17</b> Provided replacement FTZ Admission is not on file.</p>	
<b>4.5 Cargo Release Manifest/Entry Release Query</b>		
	<p>4.5.1 A filer can query the current processing status of an entry and receive the applicable status notification messages pertaining to selectivity results, Manifest hold status, Air manifest status, release date update, commodity specialist team (CST) approval requirements, paperless summary status or partner government agency requirements. Please refer to ACE Cargo / Manifest / Entry Release Query Document Posting Date: October 27, 2014</p>	

	<a href="http://www.cbp.gov/sites/default/files/documents/ACE_CAT_AIR_Cargo_Manifest_Entry%20Release_Query_V1.1_10232014.docx">http://www.cbp.gov/sites/default/files/documents/ACE_CAT_AIR_Cargo_Manifest_Entry%20Release_Query_V1.1_10232014.docx</a>	

5 Entry Holds		
5.1 Cargo Release Holds (General)		
5.1.1 CBP can determine that cargo arriving in the U.S. are subjects to examination. In ACS for entries, this is known as an Intensive examination and is sent to the filer and carrier as a 1A. The 1A suspends the release of the cargo	5.1.1 In ACE Cargo Release, holds are of 2 types for non-PGA related entries ( for more information on PGA holds see section 11 or the related agency section below). <ul style="list-style-type: none"> <li>Intensive Examination see Disposition Code <b>03</b> PENDING INTENSIVE EXAM</li> <li>Document Review Required Disposition <b>96</b> DOCUMENT REQUIRED plus a code describing the document required.</li> </ul> Both hold types suspend release.	Same as transition
5.1.2 At the completion of or override of an examination CBP will unset the intensive condition and generate a disposition code of 1B to the filer and carrier. If all other holds are removed, the 1B sets the release date.	5.1.2 At the completion of or override of an examination CBP will unset the intensive condition and generate a disposition code. <ul style="list-style-type: none"> <li>Intensive Examination complete disposition code see 4.3.1.1 above</li> <li>Document review complete disposition code see 4.3.1.1 above</li> </ul> If all other holds are removed the completion of the action sets the release date.	Same As transition
5.1.3 CBP uses holds extensively in the manifest process to perform examinations and reviews of manifest data. If a hold is generated on a manifest element, a	5.1.3 CBP uses holds extensively in the manifest process to perform examinations and reviews of manifest data. If a hold is generated on a manifest element, a disposition code is sent to the filer and the release is suspended until all hold	Same as transition

disposition code is sent to the filer and the release is suspended until all hold conditions removed. For more specifics on manifest hold disposition codes see CATAIR Appendix Q.	conditions removed. For more specifics on manifest hold disposition codes see LINK	
	5.1.4 <b>Overrides</b> - Holds may be generated prior to release or subsequent to system release and overridden to an intensive examination or document review status. When this occurs prior to the arrival/release of the cargo, the filer should ensure that the cargo is retained at the port of entry and made available for inspection as appropriate.	
	5.1.5 <b>Manifest Holds</b> – Like overrides, manifest holds may be placed against the manifest after Cargo Release system release but prior to physical arrival/release of the cargo. When this occurs, the manifest provider is obligated under their bond to ensure that the cargo is retained at the port of entry and made available for inspection as appropriate. The filer should ensure that they are aware of this change in status and not cause the cargo to be misdelivered based on a changed release status.	
<b>5.2 Intensive Examination Required</b>		
5.2.1 When CBP notifies the importer of the requirement to perform an intensive examination a notification is sent in ACS to the filer to ensure that the cargo is retained at the port of entry and made available for CBP examination. NOTE the importer has an obligation under their bond to ensure that the cargo is made available for CBP inspection.	5.2.1 When CBP notifies the importer of the requirement to perform an intensive examination a notification is sent in ACE to the filer to ensure that the cargo is retained at the port of entry and made available for CBP examination. NOTE the importer has an obligation under their bond to ensure that the cargo is made available for CBP inspection.	
5.2.2 When CBP notifies the importer of the requirement to perform an intensive examination a notification is sent in ACS to	5.2.2 When CBP notifies the importer of the requirement to perform an intensive examination a notification is sent from ACE Cargo Release to the carrier via the ACE manifest(as well	

the carrier (as well as any identified 3 <sup>rd</sup> parties) to ensure that the cargo is retained at the port of entry and made available for CBP examination.	as any identified 3 <sup>rd</sup> parties) to ensure that the cargo is retained at the port of entry and made available for CBP examination. <b>NOTE: This Notification does NOT include specific information about PGA Holds and will be sent for all cargo release holds</b>	
5.2.3 When the examination has been completed, CBP sends a notification in ACS to the filer that the examination is complete and resets the release date.	5.2.3 When the examination has been completed, CBP sends a notification in ACE to the filer that the examination is complete and resets the release date.	
5.2.4 When the examination has been completed, CBP sends a notification in ACS to the carrier and (as well as any identified 3 <sup>rd</sup> party) that the examination is complete and resets the release date.	5.2.4 When CBP notifies the importer of the requirement to perform an intensive examination a notification is sent from ACE Cargo Release to the carrier via the ACE manifest(as well as any identified 3 <sup>rd</sup> parties) to ensure that the cargo is retained at the port of entry and made available for CBP examination. <b>NOTE: This Notification does NOT include specific information about PGA Holds and will be sent for all cargo release holds</b>	
5.2.5 Filers submit a paper entry package to CBP identifying the examination site and any other information needed to perform the examination.	5.2.5 <b>Exam site designation</b> – 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. <b><i>Additional information on the submission of these documents will be provided in the near future.</i></b>	



	5.2.6 Documents needed including invoice, packing lists and any required documents under PGA or CBP regulations will be submitted via DIS.	
<b>5.3 Document Review Required</b>		
5.3.1 Filer submits a paper entry package with the CBP Form 3461 or 7501, invoice and any other document needed for release to CBP. CBP users process this entry and generate a release of the cargo.	5.3.1 When CBP notifies the importer of the requirement to submit documents a notification is sent in ACE to the filer to identifying the requirement and the documents required. NOTE the importer has an obligation under their bond to ensure that the documents are made available for CBP inspection.	
	5.3.2 The filer submits required documents to CBP via DIS. Unless otherwise notified, only DID submission will be accepted. Paper documents will only be accepted under certain exception conditions. For technical requirements see DIS requirements in XXX	
	5.3.3 CBP will review the DIS submission and if accepted will allow for release of the cargo with release notifications and the setting of the release time.	
<b>5.4 Manifest Holds and Release</b>		
5.4.1 CBP places holds on the manifest in all modes of transportation that suspend the release of cargo. Although release notifications may already be sent for the cargo release, the manifest hold is still valid while the cargo remains in CBP custody (also carrier's custody prior to physical release from place of unloading).	5.4.1 CBP places holds on the manifest in all modes of transportation that suspend the release of cargo. Although release notifications may already be sent for the cargo release, the manifest hold is still valid while the cargo remains in CBP custody (also carrier's custody prior to physical release from place of unloading).	
5.4.2 Filers are notified when the manifest holds are removed. There is no notification that all holds are removed. Carriers, filers and others are required to identify all	5.4.2 Filers are notified when the manifest holds are removed. There is no notification that all holds are removed. Carriers, filers and others are required to identify all manifest holds and ensure that all are removed prior to release.	

manifest holds and ensure that all are removed prior to release.		
<b>5.5 Redelivery</b>		
5.5.1 All releases are conditional. If CBP determines that cargo that has been released to the importer needs to be inspected, CBP will issue a re-delivery notice on CBP Form 4647.	5.5.1 All releases are conditional. If CBP determines that cargo that has been released to the importer needs to be inspected, CBP will issue a re-delivery notice on CBP Form 4647.	5.5.1 CBP is working to automate the redelivery process for both CBP and PGA partners.
5.5.2 Normally CBP may issue redelivery notices for up to 30 days after release.	5.5.2 Normally CBP may issue redelivery notices for up to 30 days after release.	

6 Importer Bonds and ACE Cargo Release																						
6.1 Overview of Bonds and Cargo Release																						
6.1.1 A continuous bond will have several transactions associated to it over a specific time period.	6.1.1 A continuous bond will have several transactions associated to it over a specific time period.																					
6.1.2 A single transaction bond can only be associated with one transaction. The transaction will be associated to a primary single transaction bond and also one or more additional single transaction bonds as needed.	6.1.2 A single transaction bond can only be associated with one transaction. The transaction will be associated to a primary single transaction bond and also one or more additional single transaction bonds as needed.																					
6.1.3 Valid Bond Activity Type Codes are:  <table><tr><th>Code</th><th>Description</th></tr><tr><td>1</td><td>Importer or Broker</td></tr><tr><td>1A</td><td>Drawback Payments Refunds</td></tr><tr><td>2</td><td>Custodian of Bonded Merchandise - <i>Continuous Bond Only-</i></td></tr><tr><td>3</td><td>International Carrier</td></tr></table>	Code	Description	1	Importer or Broker	1A	Drawback Payments Refunds	2	Custodian of Bonded Merchandise - <i>Continuous Bond Only-</i>	3	International Carrier	6.1.3 Valid Bond Activity Type Codes are:  <table><tr><th>Code</th><th>Description</th></tr><tr><td>1</td><td>Importer or Broker</td></tr><tr><td>1A</td><td>Drawback Payments Refunds</td></tr><tr><td>2</td><td>Custodian of Bonded Merchandise - <i>Continuous Bond Only-</i></td></tr><tr><td>3</td><td>International Carrier</td></tr></table>	Code	Description	1	Importer or Broker	1A	Drawback Payments Refunds	2	Custodian of Bonded Merchandise - <i>Continuous Bond Only-</i>	3	International Carrier	
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<div>3A Instruments of International Traffic - Continuous Bond Only-</div> <div>3A3 Carrier of International Traffic - Continuous Bond Only-</div> <div>4 Foreign Trade Zone Operator - Continuous Bond Only-</div> <div>5 Public Gauger - Continuous Bond Only-</div> <div>6 Wool &amp; Fur Products - Single Transaction Only-</div> <div>7 Bill of Lading - Single Transaction Only-</div> <div>8 Detention of Copyrighted Material - Single Transaction Only-</div> <div>10 Court Costs for Condemned Goods - Single Transaction Only-</div> <div>11 Airport Security Bond - Continuous Bond Only-</div> <div>16 Importer Security Filing (ISF)</div> <div>17 Marine Terminal Operator - Continuous Bond Only-</div> <div>19 User Fee Facility Bond - Continuous Bond Only-</div>	<div>3A Instruments of International Traffic - Continuous Bond Only-</div> <div>3A3 Carrier of International Traffic - Continuous Bond Only-</div> <div>4 Foreign Trade Zone Operator -Continuous Bond Only-</div> <div>5 Public Gauger - Continuous Bond Only-</div> <div>6 Wool &amp; Fur Products - Single Transaction Only-</div> <div>7 Bill of Lading - Single Transaction Only-</div> <div>8 Detention of Copyrighted Material - Single Transaction Only-</div> <div>10 Court Costs for Condemned Goods - Single Transaction Only-</div> <div>11 Airport Security Bond - Continuous Bond Only-</div> <div>16 Importer Security Filing (ISF)</div> <div>17 Marine Terminal Operator - Continuous Bond Only-</div> <div>19 User Fee Facility Bond - Continuous Bond Only-</div>	

6.2 Processing Cargo Releases with Continuous Bonds		
6.2.1 A continuous bond will have several transactions associated to it over a specific time period.	6.2.1 A continuous bond will have several transactions associated to it over a specific time period.	
6.2.2 Continuous bonds are input into CBP systems where they are available for validation. When a bonded party required to provide a bond is identified for a transaction, the system validates that party to ensure that the bond is on file and sufficient for the transaction.	6.2.2 Continuous bonds are input into CBP systems where they are available for validation. When a bonded party required to provide a bond is identified for a transaction, the system validates that party to ensure that the bond is on file.	
	6.2.3 Continuous bonds are linked to an importer of record ID and ACE validates the bond based on a query of the bond records for importers bonds.	
	6.2.4 Continuous bonds can be queried and linked to accounts in the ACE portal and the Bond Desk at the CBP Finance Center.	
6.3 Processing Cargo Releases with Single Transaction Bond		
6.3.1 A single transaction bond can only be associated with one transaction. The transaction will be associated to a primary single transaction bond and also one or more additional single transaction bonds as needed.	6.3.1 A single transaction bond can only be associated with one transaction. The transaction will be associated to a primary single transaction bond and also one or more additional single transaction bonds as needed.	
6.3.2 A single transaction bond for ACS use is only issued on CBP Form 301. The form must be provided with an entry package and validated manually. The entry will not be released until the bond is provided.	6.3.2 Single Transaction bonds are input into ACE where they are available for validation. When a bonded party required to provide a bond is identified for a transaction, the system validates that party to ensure that the bond is on file and sufficient for the transaction.	
	6.3.3 Electronic Single transaction bonds in the e-Bond system is available for ACE Cargo Release transactions. <b>Only</b>	

	E-Bond single transaction bonds can be used for cargo release processing.	
<b>6.3 E-Bonds</b> <b>Technical documentation for filing E-Bonds is available at <a href="http://www.cbp.gov/sites/default/files/documents/ACE_CATAIR_Customs_eBond_Create-Update_CB-CX_V1.8_01052015.doc">http://www.cbp.gov/sites/default/files/documents/ACE_CATAIR_Customs_eBond_Create-Update_CB-CX_V1.8_01052015.doc</a></b> <b>Technical documentation for e-bond status notifications is available at <a href="http://www.cbp.gov/sites/default/files/documents/ACE_CATAIR_Customs_eBond_Status%20Notification_BS_V1.4_01052015.doc">http://www.cbp.gov/sites/default/files/documents/ACE_CATAIR_Customs_eBond_Status%20Notification_BS_V1.4_01052015.doc</a></b>		
	E-Bonds allow sureties and Surety agents to create and update continuous and single entry bonds with CBP via an electronic data interface. CBP receives the message, processes the bond and sends status notifications to the surety.	
<b>7. Entry Types Processed using Cargo Release</b>		
<b>7.1 Consumption Entry Types</b>		
7.1.1 Type 01 (Consumption – Free and Dutiable) are available for filing in ACS	7.1.1 Type 01 (Consumption – Free and Dutiable) are available for filing in ACE Cargo Release	Currently implemented
7.1.2 Type 03 Consumption - Antidumping/ Countervailing Duty are available in ACS	7.1.2 Type 03 Consumption - Antidumping/ Countervailing Duty are available in ACE Cargo Release	Currently implemented
7.1.3 Type 02 Consumption - Quota/Visa are available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
7.1.4 Consumption - Foreign Trade Zone (FTZ) are available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected

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7.1.5 Consumption - Antidumping/ Countervailing Duty & Quota/Visa Combination are available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
<b>7.2 Informal Entry Types</b>		
7.2.1 Type 11 (Informal – Free and Dutiable) are available for filing in ACS	7.2.1 Type 11 (Informal – Free and Dutiable) are available for filing in ACE Cargo Release	Currently Implemented
7.2.2 Type 12 Informal - Quota/Visa (other than textiles) are available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
<b>7.3 Warehouse Entry Type</b>		
7.3.1 Type 21 Warehouse entry are available for filing in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
7.3.2 Type 22 Re-warehouse Entry are available for filing in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
7.3.3 Type 23 Temporary Import Bond (TIB) entry are available for filing in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
<b>7.4 Warehouse Withdrawal Types</b>		
7.4.1 Type 31 Warehouse Withdrawal for Consumption is available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
7.4.2 Type 32 Warehouse Withdrawal for Quota/Visa is available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
7.4.3 Type 34 Warehouse Withdrawal for AD/CVD is available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
<b>7.5 Government Entry Types</b>		
7.5.1 Type 52 Government Dutiable is available in ACS	Entry type not yet available in ACE Cargo Release 2015 delivery expected	Entry type not yet available in ACE Cargo Release 2015 delivery expected
<b>7.6 Modes of Transportation for Cargo Release</b>		
7.6.1 The following Modes of Transportation are available in ACS:	7.6.1 The following modes of transportation are currently available in ACE Cargo Release	Currently Available

<b>Code</b> <b>10</b> Vessel, Non-container <b>11</b> Vessel, Container <b>12</b> Border Water-borne (only Mexico and Canada) <b>20</b> Rail, Non-container <b>21</b> Rail, Container <b>30</b> Truck, Non-container <b>31</b> Truck, Container <b>32</b> Auto* <b>33</b> Pedestrian* <b>34</b> Road, other. Includes foot and animal-borne.* <b>40</b> Air, Non-container <b>41</b> Air, Container <b>50</b> Mail* <b>60</b> Passenger, Hand Carried* <b>70</b> Fixed Transport Installations. Includes pipeline and powerhouse.*	<b>Code</b> <b>10</b> Vessel, Non-container <b>11</b> Vessel, Container <b>12</b> Border Water-borne (only Mexico and Canada) <b>20</b> Rail, Non-container <b>21</b> Rail, Container <b>30</b> Truck, Non-container <b>31</b> Truck, Container <b>40</b> Air, Non-container <b>41</b> Air, Container	
	7.6.2 Mode 70 for Pipeline entries is expected to be available for ACE Cargo Release in June 2015	

Current Processes	Transition Processes	To – Be Processes
<b>8. Cargo Release Interactions with Automated Manifests</b>		
<b>8.1 Electronic Posting of Transactions and Notifications to Automated partners</b>		
8.1.1 ACS will process ABI entries where BOL and AWB are identified and post those entries to the electronic manifest. <b>For posting purposes it is essential that cargo release filer and manifesting carrier report the same quantity.</b>	8.1.1 ACE Cargo Release will process ABI entries where BOL and AWB are identified and post those entries to the electronic manifest. <b>For posting purposes it is essential that cargo release filer and manifesting carrier report the same quantity.</b>	
8.1.2 ACS posting will apply the manifested quantity applied by the entry to the bill quantity. ACE manifest reconciles the bill when the full quantity is applied. By mode of transportation the quantities are applied: 8.1.2.1 Air - Manifested quantity from the entry is applied to the house AWB. 8.1.2.2 Ocean/Rail/Truck - Manifested quantity from the entry is applied to the master bill of lading (SCN in truck)	8.1.2 ACE posting will apply the manifested quantity applied by the entry to the bill quantity. ACE manifest reconciles the bill when the full quantity is applied. By mode of transportation the quantities are applied: 8.1.2.1 Air - Manifested quantity from the entry is applied to the house AWB. 8.1.2.2 Ocean/Rail/Truck - Manifested quantity from the entry is applied to the master bill of lading (SCN in truck)	
8.1.3 ACS and manifest send advisory notifications when entry and bill match are made.	8.1.3 ACE Cargo Release and manifest send advisory notifications when entry and bill match are made. 8.1.3.1 New status notifications for ACE Cargo Release include a notification that the shipment is admissible	
8.1.4 ACS sends a notification to ABI parties identifying the quantity applied and bill identified.	8.1.4 ACE Cargo Release sends a notification to ABI parties identifying the quantity applied and bill identified. <b>8.1.4.1 In ACE Cargo Release, unless quantity is specified, the full bill quantity is applied to the release.</b>	



Current Processes	Transition Processes	To – Be Processes
8.1.5 ACE manifest sends a notification to manifest parties identifying the quantity applied and the bill identified.	8.1.5 ACE manifest sends a notification to manifest parties identifying the quantity applied and the bill identified.	
8.1.6 When an FTZ admission is filed, a notification is sent to parties of the transaction in both manifest and entry systems.	8.1.6 When an FTZ admission is filed, a notification is sent to parties of the transaction in both manifest and entry systems. (NOTE: FTZ will still be in ACS until 2016)	
8.1.7 CBP sends a notification of release to the filer, carrier and the terminal facility/custodian as appropriate. That decision is not always final. If the release notification is sent prior to the arrival of the shipment, CBP reserves the right to send a hold message and expects that the shipment will be made available for inspection.	8.1.7 CBP sends a notification of release to the filer, carrier and the terminal facility/custodian as appropriate. <b>That decision is not always final. If the release notification is sent prior to the arrival of the shipment, CBP reserves the right to send a hold message and expects that the shipment will be made available for inspection.</b> That information is sent at different times in different modes of transportation. For: Land Border (Truck and Rail) – at time of arrival (may be sent earlier in rail depending on location). Ocean – As early as 5 days prior to the estimated date of arrival Air – As early as 4 hours prior to the estimated date of arrival	
<b>8.2 Manual Posting of Cargo Release Transactions to Electronic Manifests</b>		
8.2.1 CBP users can add ACS ABI transactions to a manifest in two ways: 8.2.1.1 Post the entry number to the manifest in the ACE manifest system 8.2.1.2 Add the BOL number to the entry in ACS prior to processing. When the entry is processed the BOL is associated and the quantity should post. If it doesn't see 8.2.1.1.	8.2.1 CBP users can add ACE ABI transactions to a manifest in two ways: 8.2.1.1 Post the entry number to the manifest in the ACE manifest system 8.2.1.2 Add the BOL number to the entry in ACE Cargo Release. When the update is processed the BOL is associated and the quantity should post to the manifest. If it doesn't see 8.2.1.1.	

Current Processes	Transition Processes	To – Be Processes
<p>8.2.2 Additional informal and manifest release types can be added to manifest transactions by posting same. These include:</p> <ul style="list-style-type: none"> <li>• CBP Forms (3299, 7523 )</li> <li>• Regulatory Provisions (10.41.a. 10.101/102 etc)</li> <li>• Statutory provisions (Sec 321a,b or c)</li> <li>• HTSUS headnotes</li> <li>• Other provisions</li> </ul>	<p>8.2.2 Additional informal and manifest release types can be added to manifest transactions by posting same. These include:</p> <ul style="list-style-type: none"> <li>• CBP Forms (3299, 7523 )</li> <li>• Regulatory Provisions (10.41.a. 10.101/102 etc)</li> <li>• Statutory provisions (Sec 321a,b or c)</li> <li>• HTSUS headnotes</li> <li>• Other provisions</li> </ul>	
<p>8.2.3 When these provisions are cited, the entry type is sent to the carrier and 3<sup>rd</sup> parties from the entry type list in CATAIR Appendix B and the specific citation is sent in the entry number field.</p>	<p>8.2.3 When these provisions are cited, the entry type is sent to the carrier and 3<sup>rd</sup> parties from the entry type list in CATAIR Appendix B and the specific citation is sent in the entry number field.</p>	
<p>8.2.4 These transactions are normally identified via the submission of paper including CBP forms, invoices, letters and any PGA documentation required by regulation or statute.</p>	<p>8.2.4 These transactions are normally identified via the submission of paper including CBP forms, invoices, letters and any PGA documentation required by regulation or statute. <b>NOTE: During transition to full automation of these alternate processes this will remain in paper. Automation of these processes in ACE Cargo Release are not anticipated before the end of 2016.</b></p>	<p>8.2.4 As an end state, all cargo release types and their supporting documents will be transmitted via ABI to ACE Cargo Release or via EDI to ACE manifest or both.</p>

## 9. Cargo Release From Paper or Non-Automated Arrival

### 9.1 Processing non-ABI entries

<p>9.1.1 Filers can submit paper copies of a CBP Form 3461/7501 to request CBP to add the information to ACS.</p>	<p>9.1.1 Filers may submit any paper including CBP forms, invoices, letters and any PGA documentation required by regulation or statute to provide the necessary information allowing CBP to identify the data needed for release and input it into ACE Cargo Release on the importer's behalf. <b>NOTE that during transition and until regulatory changes</b></p>	
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	<b>are complete, CBP will accept CBP Forms 3461 and 7501 with appropriate notations for data differences (names and addresses of certain commercial parties.</b>	
9.1.2 CBP will add the appropriate information to ACS and release the entry or designate it for inspection. At the completion of the release, CBP will return a stamped and signed copy of the CBP Form 3461/7501 with the entry packet supporting documentation to the non-automated filer of the release.	9.1.2 CBP will add the appropriate information to ACS and release the entry or designate it for inspection.	
<b>9.1.3 Please note that CBP has established a workflow that prioritizes fully automated shipments. When all of the automated shipments are processed, CBP will only then process paper forms.</b>	<b>9.1.3 Please note that CBP has established a workflow that prioritizes fully automated shipments. When all of the automated shipments are processed, CBP will only then process paper forms.</b>	
9.1.4 As noted in section 8.2, CBP will also accept paper processing for shipments that are not entered formally or informally on a CBP Form 3461/7501. These documents are reviewed and if approved stamped and signed by CBP and returned to the filer as proof of release. The release information is input into manifest systems to generate releases to automated carriers. This paper processing does not have current electronic alternatives and is not subject to the workflow priorities identified in 9.1.3	9.1.4 As noted in section 8.2, CBP will also accept paper processing for shipments that are not entered formally or informally on a CBP Form 3461/7501. These documents are reviewed and if approved stamped and signed by CBP and returned to the filer as proof of release. The release information is input into manifest systems to generate releases to automated carriers. This paper processing does not have current electronic alternatives and is not subject to the workflow priorities identified in 9.1.3	9.1.4 As an end state, all cargo release types and their supporting documents will be transmitted via ABI to ACE Cargo Release or via EDI to ACE manifest or both
<b>9.2 Processing ABI Shipments for Non-Automated Manifests</b>		
9.2.1 CBP currently process ABI ACS shipments that are not associated to a manifest. These are for FTZ entries, pipeline, rewarehouse etc. Since they are not	9.2.1 CBP will continue to process ABI shipments in ACE Cargo Release for shipments that are not associated to a manifest. These are for FTZ entries, pipeline, rewarehouse etc. Since they are not associated to an electronic manifest,	

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associated to an electronic manifest, they can not be released as paperless.	the filer/importer must notify CBP of the need for review/release.	
9.2.2 Filers submit a paper CBP Form 3461/7501 requesting release. This includes any supporting documentation (in paper) in an entry packet.	9.2.2 Filer will submit ANY documentation allowing CBP to identify the cargo release that is being presented. This can be information provided on plain paper, on filer letterhead or a screen print from filer's system with relevant fields highlighted.	
9.2.3 CBP reviews the documentation, reviews the electronic record and makes a release or inspection decision. This is reflected in ACS and upon release, the filer is notified electronically. The document is appropriately notated and the filer is notified (in person or on paper/email etc)	9.2.3 CBP will search for the electronic entry and review entry and supporting documentation and make a release/inspect decision. This includes any supporting documentation submitted via DIS or PGA supporting documentation submitted via PGA message set or DIS. CBP's decision will be reflected in ACE Cargo Release and the filer will be notified electronically.	
9.2.4 At the completion of release, the stamped and signed CBP form with supporting documents is returned to the filer.	9.2.4 <b>CBP will not provide any stamped or signed documentation to the filer for ABI entries indicating release. All notifications are electronic.</b>	
<b>9.3 Proof of Release for non-automated 3<sup>rd</sup> Parties</b>		
9.3.1 CBP returns stamped and signed copies of the release documentation (CBP Forms 3461/7501) to the filer	9.3.1 <b>CBP will not provide any stamped or signed documentation to the filer for ABI entries indicating release. All notifications are electronic.</b>	
9.3.2 Filer provides a copy of that documentation to 3 <sup>rd</sup> parties as proof of release.	9.3.2 Filers should work with 3 <sup>rd</sup> party providers to identify the documentation that will be accepted as proof of release. This can be information provided on plain paper, on filer letterhead or a screen print from filer's system with relevant fields highlighted.	9.3.2 End State is that all parties to CBP transactions, including 3 <sup>rd</sup> parties needing proof of release are fully automated and can receive these notifications from CBP.

Participating Government Agency Processing Overview – Implementing the Single Window

Forty-seven agencies are involved in the trade process and among these agencies, nearly 200 forms are required for imports and exports. The current processes are largely paper-based and require information to be keyed into multiple electronic systems. As a result, importers and exporters are often required to submit the same data to multiple agencies at multiple times. The Single Window initiative, originally established under the International Trade Data System (ITDS), is the effort to create a single system, so that multiple paper processes can be eliminated and importers and exporters will only have to file information once, to one system.

The Executive Order on *Streamlining the Export/Import Process for America's Businesses*, signed on February 19, 2014, directs the U.S. Federal agencies with a role in trade to utilize ITDS by December 2016. ACE is the system through which the Single Window will be realized. Through ACE as the Single Window, manual processes will be streamlined and automated, paper will be largely eliminated, and the international trade community will be able to more easily and efficiently comply with U.S. laws and regulations.

Note for Version 1 of this document: There are agencies that have been identified in the subsequent chapters of this document that are still working on identifying their procedures and policies as they relate to Cargo Release. Their information will be update as soon as it is available and the version will be updated. Additionally, the data provide with this release is the raw data as provided by the partner agencies. CBP will be meeting with each of the agencies providing information to refine and insert relevant CBP processing into this document where needed. CBP will also be updating this document as needed as a result of information uncovered or identified during upcoming PGA pilots and lessons learned from implementation by trade, CBP and PGAs. Some of the forms and processes identified are export related. These will be removed in subsequent versions of this and posted separately under export guidance on CBP.gov

Current Processes	Transition Processes	To – Be Processes
10. Partner Government Agency (PGA) Processing (General Rules)		
10.1 Processing Overview		
10.1.1 Current processing of PGA submissions is mostly manual and has not been standardized to a government wide standard.	10.1.1 CBP is delivering the Single Window through ACE that will allow for standardized submission of	

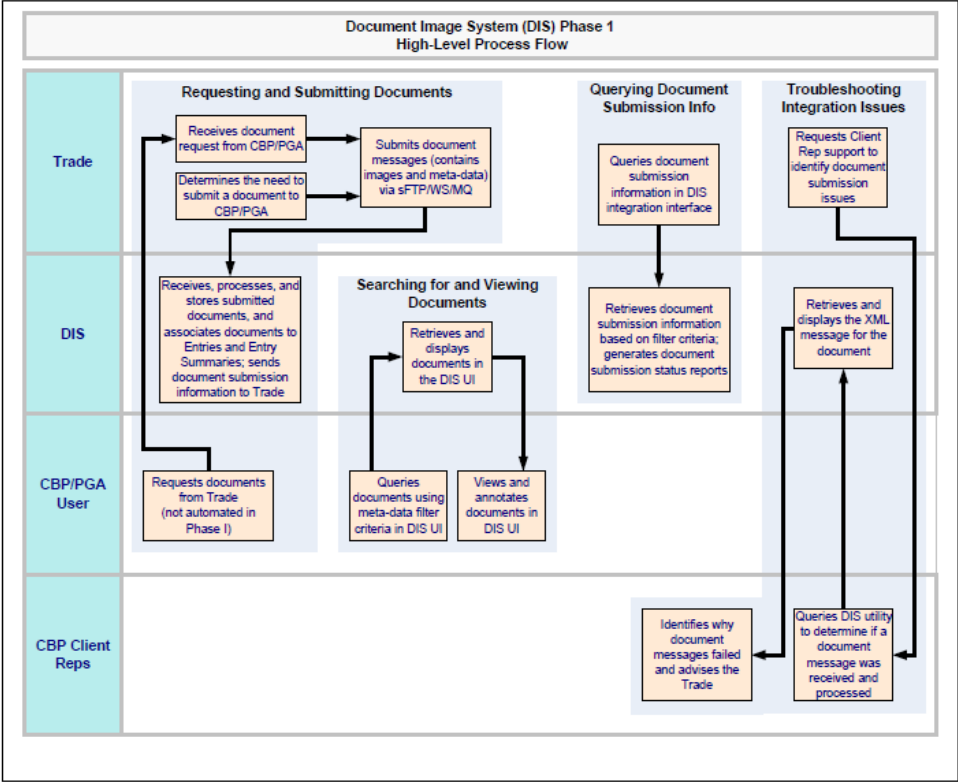
Current Processes	Transition Processes	To – Be Processes
	data for Federal agencies and allow for standardized, integrated processes at ports of entry.	
10.2 PGA Message Set Overview		
10.2.1 CBP uses the submission of paper forms as the primary methodology for collection of PGA information related to specific transactions.	10.2.1The PGA Message set chapter is designed to convey the general Partner Government Agency (PGA) data needed to satisfy PGA reporting requirements.	
10.2.2 CBP uses the Other Government Agency dataset in ACS to collect limited data on behalf of FDA and DOT.	10.2.2 This data set will be used as the single record layout for all input from the trade for PGA data and will replace the Other Government Agency (OGA) data sets such as the FD, DT, and FC records	
	10.2.3 This set is intended to be submitted as part of another transmission such as an ACE Entry Summary Certified for Release or a Simplified Entry.	
	10.2.4 At a minimum, if there is a PGA filing requirement for an HTS entry line, there would be one instance of the PGA Message set records submitted. When there is an HTS commodity change, a new Record Identifier OI and PGA line number should be transmitted. (Please note that only one OI record is allowed per HTS code. Specific PGA guidance should indicate where descriptive text about the commodity can be provided within the PGA Message Set, if needed.)  Insert IG Link	

Current Processes	Transition Processes	To – Be Processes
<b>10.3 DIS Overview</b>		
10.3.1 DIS is not available for ACS cargo release or entry summary and there is no equivalent	10.3.1 The CBP Office of International Trade (OT) and Office of Information and Technology (OIT) have worked together to design and implement a system that allows participating Trade Partners to submit document Images and associated descriptive data to CBP electronically. XML is used for the message format, and the message payload is transmitted using secure web services, FTP or MQ. The submitted documents are then automatically processed, securely stored by CBP and are made available for review and audit by authorized CBP and Participating Government Agency (PGA) officials via a web based application. It is expected that this project will eventually facilitate the creation of a single automated gateway that will accept all necessary documents submitted by trade partners to CBP and PGAs that may be needed during the cargo importation and release process.	
	10.3.2 The initial goal of the system is to accept images of documents that are currently submitted by trade in hard-copy format to CBP and other government agencies as part of the cargo import process. The system shall be implemented in incremental phases.	
	10.3.3 Benefits for use of DIS include: Allow PGA users to electronically request documents from Trade Partners <ul style="list-style-type: none"> <li>• Provide automated document storage, retrieval and versioning capabilities</li> </ul>	

Current Processes	Transition Processes	To – Be Processes
	<ul style="list-style-type: none"><li>• Allow for review, rejection and acceptance of imaged documents</li><li>• Facilitate automated collaboration with other agencies including CBP during the document review and adjudication process</li><li>• Allow potential streamlining of infrastructure and processing costs by leveraging a single shared pathway for automated submission and processing of electronic documents from trade</li></ul>	



The following depicts the high-level process flow for the DIS Phase I solution. Please refer to DIS Implementation Guide Document Posting Date: April 9, 2013 [dis\\_implementation\\_guide.pdf](#)



Current Processes	Transition Processes	To – Be Processes
<b>10.4 Submitting Documents in DIS</b>		
	10.4.1 The DIS interface between CBP and Trade Partners described in this document is intended to allow CBP to electronically gather relevant information and documents required during the cargo importation and release process and to update trade partners regarding the review status of such documents. The key goal of the interface is to replace the manual paper based transactions that occur today between trade partners and CBP/PGAs with an efficient, reliable, and cost-effective electronic mechanism. Documents that are submitted via this interface are electronic copies, i.e. images, of the paper documents submitted today. Multiple document and image formats are supported.	
	10.4.2 PGA documents supported in DIS will be listed in the sections below by PGA and form. DIS submission or PGA message set transmission will be noted.	
	10.4.3 <b>NOTE:</b> ONLY DOCUMENTS THAT ARE EXPLICITLY LISTED IN THE FEDERAL REGISTER NOTICE (FRN) FOR TRANSMISSION BY TRADE SHOULD BE SUBMITTED TO CBP VIA DIS. THE LIST OF DOCUMENT LABELS IN THE DIS XSD IS ONLY A REFERENCE TO THE TECHNICAL ABILITY OF THE SYSTEM TO SUPPORT EACH DOCUMENT TYPE TO FACILITATE TESTING. THE FRN IS THE SOLE, FORMAL AUTHORITY THAT IDENTIFIES THE VARIOUS DOCUMENT TYPES THAT MAY BE TRANSMITTED TO CBP IN THE OPERATIONAL PRODUCTION ENVIRONMENT VIA DIS.	
	10.4.4 Specific information regarding DIS submission can be found at <a href="http://www.cbp.gov/sites/default/files/documents/dis_implementation_guide_2.6pdf">http://www.cbp.gov/sites/default/files/documents/dis_implementation_guide_2.6pdf</a>	

Current Processes	Transition Processes	To – Be Processes
<b>10.5 PGA Notifications</b>		
10.5.1 CBP has some capability to transmit electronic notifications for PGA partners but it is limited. Most notifications are handled at the port level via telephone and email contacts.	10.5.1 ACE will be able to send PGA specific notifications to filers. In some cases, these messages will be system generated, similar to existing processes but identifying needs of specific PGAs. In other cases depending on individual programming, PGAs will be able to generate notifications and messages to trade partners through ACE.	
	10.5.2 Each PGA is establishing specifications on messages and notifications and will be publishing them in their specific Implementation Guides. These guides can be found at: (PGA IG link)	
	10.5.3 Operational requirements and procedures for PGAs are included where known under each PGA and form below. Many of these are being developed and or tested during piloting exercises. Watch for pilot FRNs and updates to this document.	
<b>10.5 PGA Hold Capability</b>		
	10.6.1 PGAs with regulatory or statutory authority to hold entries as well as the ability to adjudicate these holds will be enabled to place these holds in ACE Cargo Release. This ability manifests in two ways: Direct hold placement by the PGA. The hold is passed to the filer by ACE with the PGA being identified and local procedures established by the PGA and CBP will be followed to move the cargo for inspection and complete the inspection. In these cases, hold removals will be communicated to the filer by ACE. PGA requests that CBP place a hold on their behalf. CBP will receive an automated request for a hold that they can accept or deny. If they deny the response is returned to the PGA and no action is taken on the shipment. If CBP approves the hold, the shipment is held. CBP will send notification to the filer in ACE informing them of the hold, the agency it was placed for and information regarding conduct of the exam.	

Current Processes	Transition Processes	To – Be Processes																
	Specific information on hold values for individual PGAs is available(IG links)																	
	<p>10.6.2 There are 4 PGA status values that can be placed on entries. These include:</p> <p>May Proceed – Data has been received by the PGA and no issues exist. No further action in cargo release is needed. If no other holds exist, the shipment will be released.</p> <p>Intensive Exam – PGA has determined that an intensive examination is required. Shipment must be made available to the PGA for inspection and is not released.</p> <p>General Document Review – PGA needs additional documentation to release cargo. The entry is on hold and may not be released until documents are accepted and PGA generates release. Specific document will be identified and will be sent via DIS in most cases.</p> <p>Hold Intact – PGA needs to take further action including inspection, document review or sampling etc. PGA allows the shipment to be delivered to the importer or a place designated for further action (agency and form level process see below). A precondition of this action is that CBP will release the shipment and has no further action pending. A CBP 1C will be sent along with this notification. The release date is established. If further action is required, CBP will order redelivery on behalf of the PGA.</p> <p>Valid PGA Entry Level Status Codes:</p> <table><tr><th>Code</th><th>Description</th></tr><tr><td>01</td><td>DATA UNDER PGA REVIEW</td></tr><tr><td>02</td><td>HOLD INTACT</td></tr><tr><td>03</td><td>DATA RECEIVED PER PGA REVIEW</td></tr><tr><td>04</td><td>DATA REJECTED PER PGA REVIEW</td></tr><tr><td>06</td><td>DO NOT DEVAN</td></tr><tr><td>07</td><td>MAY PROCEED</td></tr><tr><td>08</td><td>INTENSIVE – GENERAL ORDER</td></tr></table>	Code	Description	01	DATA UNDER PGA REVIEW	02	HOLD INTACT	03	DATA RECEIVED PER PGA REVIEW	04	DATA REJECTED PER PGA REVIEW	06	DO NOT DEVAN	07	MAY PROCEED	08	INTENSIVE – GENERAL ORDER	
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Current Processes	Transition Processes	To – Be Processes																						
	<div><div>10DOCUMENTS REQUIRED</div><div>11INTENSIVE - EXAM/SAMPLE</div></div> <div>Valid PGA Entry Line Level Status Codes :</div> <table><thead><tr><th>Code</th><th>Description</th></tr></thead><tbody><tr><td>01</td><td>DATA UNDER PGA REVIEW</td></tr><tr><td>02</td><td>HOLD INTACT</td></tr><tr><td>03</td><td>DATA RECEIVED PER PGA REVIEW</td></tr><tr><td>04</td><td>DATA REJECTED PER PGA REVIEW</td></tr><tr><td>07</td><td>MAY PROCEED</td></tr></tbody></table> <div>Valid PGA Line Level Status Codes are:</div> <table><thead><tr><th>Code</th><th>Description</th></tr></thead><tbody><tr><td>01</td><td>DATA UNDER PGA REVIEW</td></tr><tr><td>03</td><td>DATA RECEIVED PER PGA REVIEW</td></tr><tr><td>04</td><td>DATA REJECTED PER PGA REVIEW</td></tr><tr><td>07</td><td>MAY PROCEED</td></tr></tbody></table> <div>Further information available on specific PGAs IGs <a href="http://www.cbp.gov/sites/default/files/documents/pga_participating_agencies_02May2015.doc">http://www.cbp.gov/sites/default/files/documents/pga_participating_agencies_02May2015.doc</a></div>	Code	Description	01	DATA UNDER PGA REVIEW	02	HOLD INTACT	03	DATA RECEIVED PER PGA REVIEW	04	DATA REJECTED PER PGA REVIEW	07	MAY PROCEED	Code	Description	01	DATA UNDER PGA REVIEW	03	DATA RECEIVED PER PGA REVIEW	04	DATA REJECTED PER PGA REVIEW	07	MAY PROCEED	
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	10.6.3 when CBP and all relevant PGAs have completed their processing, ACE will generate a message indicating that all US government agree on release of the shipment. This one USG message does not replace the 1C in most cases for movement.																							
	10.6.4 If any movement within a port is required to complete an inspection and CBP has not granted a release, an electronic PTT movement authorized by CBP will be required.																							

Current Processes	Transition Processes	To – Be Processes
11 AMS: USDA - Agricultural Marketing Service		
FV-205, FV-205-1. FV-207, FV-207-1, FV-E205C, and FV-E207X MSG Set = Yes; DIS = No		
1: Exporter: The exporter is required to certify the product (FV-205) prior to export.  2: Exporter: Must deliver a copy of the export certification (FV-205) to the export carrier  3: Export Carrier: The export carrier must check for the export certification (FV-205) before accepting product for export  4: Export Carrier: Export carrier must maintain a copy of the export certification (FV-205) for a period of 3 years after exporting the goods.	To Be Determined	To Be Determined

Current Processes	Transition Processes	To – Be Processes
<b>AMS LPS-222 Import Request Shell eggs</b> Import – Yes DIS		
1: Importer: Importer submits LPS 222 electronically (scan) or hardcopy, including Foreign Health Certificate if applicable.  2: AMS: AMS assigns import number to LPS 222, returns form with preliminary approval to import.	1: Importer: Inspection request data are submitted to ACE using AMS PGA Message EG1 when entry filed and Foreign Health Certificate is submitted to DIS as scanned image  OR LPS 222 is delivered to AMS office electronically (scanned) or in hardcopy, including scanned or hardcopy Foreign Health Certificate.	1: Importer: EG1 Importer enters data CEMS/DIS/ACE. EG2 Importer submits LPS 222 electronically (scan) or hardcopy, including Foreign Health Certificate if applicable.  2: AMS: EG1 Assign import number alerting importer of preliminary approval to import. EG2 AMS assigns import number to LPS 222, returns form to importer with preliminary approval to import.
3: AMS: AMS inspects product at final destination to determine acceptance. Records results on Form LPS 222.  4: AMS: LPS 222 returned to AMS Headquarters for file retention.	2: AMS: EG1 Assign import number alerting importer of preliminary approval to import.  EG2 AMS assigns import number to LPS 222, returns form to importer with preliminary approval to import.  3: AMS: AMS inspects product at final destination to determine acceptance. Records results on Form LPS 222 or data entered into ACE.	3: AMS: AMS inspects product at final destination to determine acceptance. Records results on Form LPS 222 or data entered into ACE.  4: AMS: EG1 Product released in ACE. EG2 LPS returned to AMS Headquarters for file retention.
	4: AMS: EG1 Product released in ACE.  EG2 LPS returned to AMS Headquarters for file retention.	

Current Processes	Transition Processes	To – Be Processes
<b>AMS FV-6</b> <b>Importers Exempt Commodity Form DIS = No</b>		
<p>1: Importer: If the importer is eligible for a special exemption from the minimum quality requirements of AMS's Section 8e regulations, the importer can complete an "Importer's Exempt Commodity" Form (FV-6) request on the AMS MOAD Online Services (MOLS) web application. The importer then prints the approved FV-6 form for delivery to CBP at the time of entry.</p> <p>2: CBP: Prior to entry line release, Customs Inspectors shall verify the presence of an "Importer's Exempt Commodity" form (FV-6).</p> <p>3: Importer: After entry line release, the importer moves the product to the final destination.</p> <p>4: Receiver/Processor/Charity: The receiver of the product exempted by the FV-6 form completes the second part of the FV-6 form on the AMS MOLS web application to acknowledge receipt and use of the product.</p>	<p>1: Importer: If the importer is eligible for a special exemption from the minimum quality requirements of AMS's Section 8e regulations, the importer can complete an "Importer's Exempt Commodity" Form (FV-6) request on the AMS MOAD Online Services (MOLS) web application. The importer records the FV-6 number issued by AMS for approved requests.</p> <p>2: Importer: Importer submits the FV-6 number and other data through ACE using the AMS MO3 PGA message.</p> <p>3: CBP/ACE: Validates the MO3 data and sends validated MO3 data to AMS/CEMS system or rejects the entry.</p> <p>4: CBP/ACE: By business rule, entry lines with accepted MO3 messages satisfy AMS requirements and the entry line is given a May Proceed.</p>	<p>1: Importer: If the importer is eligible for a special exemption from the minimum quality requirements of AMS's Section 8e regulations, the importer can complete an "Importer's Exempt Commodity" Form (FV-6) request on the AMS MOAD Online Services (MOLS) web application and file the AMS MO4 PAG message</p> <p>OR The importer may request an Importer's Exempt Commodity" Form (FV-6) number by submitting the required information in the MO4 AMS PGA message set when filing the entry.</p> <p>2: CBP/ACE: Validates the MO3 or MO4 data and sends validated date to the AMS/CEMS system or rejects the entry.</p> <p>3: AMS/CEMS: Issues the FV-6 number for each valid MO4 message and sends the FV-6 number back to trade using IWS.</p> <p>4: CBP: By business rule, entry lines with accepted MO3 messages and MO4 messages with approved FV-6 numbers received through IWS satisfy AMS requirements and the entry line is given a May Proceed.</p> <p>5: Importer: After entry line release, the importer moves the product to the final destination.</p>



Current Processes	Transition Processes	To – Be Processes
<b>AMS FV-357</b> Known to trade as the “Stamp and Fax” procedure, DIS = No		
1: Importer: Prior to, or upon arrival of the shipment, importers must make arrangements for inspection with the AMS field office that will perform the inspection. The importer will provide a copy of the Customs Form CF-3461, CF-7501, or invoice to AMS for review.  2: AMS: AMS personnel will examine the importers documents and affix one of two stamps.	1: Importer: Importer submits the necessary data through ACE for AMS MO1 message.  2: CBP/ACE: Validates the MO1 data and sends validated MO1 data to AMS/CEMS system or rejects entry.  3: CBP: By business rule, accepted MO1 entry lines are designated Hold Intact and product may be moved to the inspection location. No document review is required by CBP.	1: Importer: Importer submits the necessary data through ACE for AMS MO1 message.  2: CBP/ACE: Validates the MO1 data and sends validated MO1 data to AMS/CEMS system or rejects entry.  3: CBP: By business rule, accepted MO1 entry lines are designated Hold Intact and product may be moved to the inspection location. No document review is required by CBP.
The round stamp indicates that the product has been reviewed by AMS personnel and is not subject to its regulations. CBP personnel may allow line release.	4: AMS: AMS/CEMS system processes MO1 data and electronically sends inspection request to the appropriate AMS Inspection office.	4: AMS: AMS/CEMS system processes MO1 data and electronically sends inspection request to the appropriate AMS Inspection office.
The rectangular stamp indicates that the product has been reviewed by AMS personnel, is subject to its regulations, and that AMS is expecting inspection of the product by AMS personnel shortly after line release.	5: Importer: The importer moves the product to the location where the AMS inspection will occur.	5: Importer: The importer moves the product to the location where the AMS inspection will occur.
	6: Importer: Upon arrival at the location selected for inspection, the importer must unload the product, make it available for sampling by AMS inspection personnel, and notify AMS that the product is available for inspection.	6: Importer: Upon arrival at the location selected for inspection, the importer must unload the product, make it available for sampling by AMS inspection personnel, and notify AMS that the product is available for inspection.

<p>3: CBP: Prior to line release, Customs Inspectors shall verify that one of the following AMS stamps, with signature, appears on the Customs Form (CF) 3461, CF-7501, or invoice.</p> <p>4: Importer: After line release, the importer moves the product to the location where the AMS inspection will occur.</p> <p>5: Importer: Upon arrival at the location selected for inspection, the importer must unload the product, make it available for sampling by AMS inspection personnel, and notify AMS that the product is available for inspection.</p> <p>6: AMS: AMS inspection personnel conduct inspection and notify importer that product is released when program requirements are satisfied.</p>	<p>7: AMS: AMS inspection personnel conduct inspection and notify importer that product is released when program requirements are satisfied.</p> <p>8: AMS: AMS Inspection office sends summary results to AMS/CEMS system and AMS/CEMS sends May Proceed message to CBP/ACE for those entry lines.</p>	<p>7: AMS: AMS inspection personnel conduct inspection and notify importer that product is released when program requirements are satisfied.</p> <p>8: AMS: AMS Inspection office sends summary results to AMS/CEMS system and AMS/CEMS sends May Proceed message to CBP/ACE for those entry lines.</p>
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Current Processes	Transition Processes	To – Be Processes
12 APHS		
In Process MSG Set = Yes; DIS = No		

Current Processes	Transition Processes	To – Be Processes
13 ATF		
In Process MSG Set = Yes; DIS = No		

Current Processes	Transition Processes	To – Be Processes
<b>14 CDC</b>		
<b>CDC Import Permit for Unimmunized Dogs</b>		
MSG Set = Yes; DIS = Yes		
1: Broker/Importer: Submits permit to CBP as part of entry package for release  2: CBP: Reviews document and releases or holds entry  3: CBP: Forwards copy of document to PGA via mail or fax  4: PGA: Records use of permit in PGA's internal database	1: Broker/Importer: Submits permit to CBP through Document Image System  2: CBP: Reviews document and releases or holds entry  3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database	1: Broker/Importer: Submits permit number and identifying information as part of entry via PGA message set  2: ACE: Compares permit data to table of valid permits provided by PGA and releases or holds entry  3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database
<b>Record of Sickness or Death</b>		
MSG Set = Yes; DIS = Yes		
1: Carrier/Importer: Submits document to CBP as part of entry package for release  2: CBP: Reviews document, notifies PGA, and forwards copy of document for review via fax or email	1: Carrier/Importer: Submits document to CBP via Document Image System  2: CBP: Reviews document and notifies PGA of need for review	1: Carrier/Importer: Submits document to CBP via Document Image System  2: CBP: Reviews document and notifies PGA of need for review

Current Processes	Transition Processes	To – Be Processes
3: PGA: Reviews document, communicates with carrier/importer, coordinates examinations as needed, advises CBP on clearance decision  4: PGA: Records information from document in PGA's internal database	3: PGA: Reviews document in DIS, communicates with carrier/importer, coordinates examinations as needed, advises CBP on clearance decision  4: PGA: Records information from document in PGA's internal database	3: PGA: Reviews document in DIS, communicates with carrier/importer, coordinates examinations as needed, advises CBP on clearance decision  4: PGA: Records information from document in PGA's internal database
<b>CDC Form 0.0728[CDC_01]</b> Permit to Import or Transfer Etiologic Agents or Vectors of Human Disease MSG Set = Yes; DIS = Yes		
1: Broker/Importer: Submits permit to CBP as part of entry package for release  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits permit to CBP through Document Image System  2: CBP: Reviews document and releases or holds entry  3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database	1: Broker/Importer: Submits permit number and identifying information as part of entry via PGA message set  2: ACE: Compares permit data to table of valid permits provided by PGA and releases or holds entry  3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database
<b>CDC Letters of Permission (unnumbered permit)[CDC_02]</b> Permits to import African rodents, civets or turtles MSG Set = Yes; DIS = Yes		
1: Broker/Importer: Submits permit to CBP as part of entry package for release  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits permit to CBP through Document Image System  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits permit to CBP through Document Image System  2: CBP: Reviews document and releases or holds entry

Current Processes	Transition Processes	To – Be Processes
	3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database	3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database
<b>CDC Form 75.37</b> Notice to Owners and Importers of Dogs- completed for dogs not arriving with a valid rabies vaccine MSG Set = Yes; DIS = Yes		
1: Broker/Importer: Completes form at port of entry and submits to CBP  2: CBP: Reviews document and releases or holds entry  3: CBP: Forwards copy of document to PGA via mail or fax  4: PGA: Enters information from document into PGA's internal database	1: Broker/Importer: Completes form at port of entry and submits via Document Image System  2: CBP: Reviews document and releases or holds entry  3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database	This form will eventually be phased out in favor of the CDC Import Permit for Unimmunized Dogs
<b>APHIS/CDC Form 2</b> Application to Transfer Select Agents and Toxins MSG Set = Yes; DIS = Yes		
1: Broker/Importer: Submits permit to CBP as part of entry package for release  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits permit to CBP through Document Image System  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits permit number and identifying information as part of entry via PGA message set  2: ACE: Compares permit data to table of valid permits provided by PGA and releases or holds entry

Current Processes	Transition Processes	To – Be Processes
	3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database	3: PGA: Periodically reviews entries in ACE to identify entries using this permit  4: PGA: Records use of permit in PGA's internal database
<b>CDC Rabies certificate</b> MSG Set = Yes; DIS = Yes		
1: Broker/Importer: Submits certificate to CBP as part of entry package for release  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits certificate to CBP via Document Image System  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits certificate to CBP via Document Image System  2: CBP: Reviews document and releases or holds entry
<b>CDC Permission Message</b> Confirmation from CDC to the importer that CDC has given permission to import the nonhuman primate shipment MSG Set = No; DIS = Yes		
1: Broker/Importer: Submits message to CBP as part of entry package for release  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits message to CBP via Document Image System  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits message to CBP via Document Image System  2: CBP: Reviews document and releases or holds entry
<b>Certification Statement/Documentation Noninfectious Material</b> MSG Set = No; DIS = Yes		
1: Broker/Importer: Submits message to CBP as part of entry package for release  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits message to CBP via Document Image System  2: CBP: Reviews document and releases or holds entry	1: Broker/Importer: Submits message to CBP via Document Image System  2: CBP: Reviews document and releases or holds entry

Current Processes	Transition Processes	To – Be Processes
<b>CDC Death Certificate for human remains</b> MSG Set = No; DIS = No		
1: Importer: No entry is required for human remains, so importer submits paper death certificate directly to CBP staff at port of entry  2: CBP: Reviews paper death certificate and releases or holds shipment	1: Importer: No entry is required for human remains, so importer submits paper death certificate directly to CBP staff at port of entry  2: CBP: Reviews paper death certificate and releases or holds shipment	1: Importer: No entry is required for human remains, so importer submits paper death certificate directly to CBP staff at port of entry  2: CBP: Reviews paper death certificate and releases or holds shipment
<b>CDC Director permit to import person who died of communicable disease</b> MSG Set = No; DIS = No		
1: Importer: No entry is required for human remains, so importer submits paper death certificate directly to CBP staff at port of entry  2: CBP: Reviews paper death certificate and releases or holds shipment	1: Importer: No entry is required for human remains, so importer submits paper death certificate directly to CBP staff at port of entry  2: CBP: Reviews paper death certificate and releases or holds shipment	1: Importer: No entry is required for human remains, so importer submits paper death certificate directly to CBP staff at port of entry  2: CBP: Reviews paper death certificate and releases or holds shipment



Current Processes	Transition Processes	To – Be Processes
15 CPSC		
CPSC will not be transitioning any documents in the November 1, 2015 timeframe. Existing processes will not change with respect to cargo release. MSG Set = Yes; DIS = No		
	1	

Current Processes	Transition Processes	To – Be Processes
16 DCMA		
In Process MSG Set = Yes; DIS = No		
	2	

Current Processes	Transition Processes	To – Be Processes
<b>17 U.S. Department of State - Directorate of Defense Trade Controls (DDTC)</b>		
<b>DSP-5: Application for Permanent Export of Unclassified Defense Articles, Related Technical Data, and Defense Services</b>		
MSG Set = Yes; DIS = No		
<p>1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).</p> <p>- Generate External Transaction Number (XTN).</p> <p>2: CBP Officer: Verify information via AES system.</p> <p>- If the information is accurate, complete, and accepted by AES an ITN will be provided.</p> <p>- If the information is not accurate, complete or accepted by AES the shipment will be rejected.</p> <p>3: Exporter: Receive proof of AES filing (ITN).</p> <p>- Generated by AES and provided to the exporter electronically.</p>	<p>1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).</p> <p>- Generate External Transaction Number (XTN).</p> <p>2: CBP Officer: Verify information via AES system.</p> <p>- If the information is accurate, complete, and accepted by AES an ITN will be provided.</p> <p>- If the information is not accurate, complete or accepted by AES the shipment will be rejected</p> <p>3: Exporter: Receives proof of AES filing (ITN).</p> <p>- Generated by AES and provided to the exporter electronically.</p> <p>4: Exporter or Authorized Agent: Conduct Shipment</p>	<p>1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).</p> <p>- Generate External Transaction Number (XTN).</p> <p>2: CBP Officer: Verify information via AES system.</p> <p>- If the information is accurate, complete, and accepted by AES an ITN will be provided.</p> <p>- If the information is not accurate, complete or accepted by AES the shipment will be rejected</p> <p>3: Exporter: Receive proof of AES filing (ITN).</p> <p>- Generated by AES and provided to the exporter electronically.</p> <p>4: Exporter or Authorized Agent: Conduct Shipment</p>

Current Processes	Transition Processes	To – Be Processes
<p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul> <p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>	<ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul> <p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>	<ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul> <p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>

Current Processes	Transition Processes	To – Be Processes
<b>DSP-6: Amendment to the DSP-5 License</b> MSG Set = Yes DIS = No		
1: Exporter or Authorized Agent: Present the original DSP-6 (paper license) to the CBP facility at the port where the DSP-5 is lodged.  2: CBP Officer: Permanently attach the DSP-6 to the appropriate DSP-5 license  3: CBP Officer: Verify Information - Insure that the documentation presented for processing conforms to both the original license (DSP-5) and to any amendments (DSP-6) attached thereto.  - If the information is not accurate the amendment will be rejected.  4: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-5) and to any amendments (DSP-6) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-5) and to any amendments (DSP-6) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number

Current Processes	Transition Processes	To – Be Processes
<b>DSP-61: Application/License for Temporary Import of Unclassified Defense Articles</b> MSG Set = Yes; DIS = No		
1: Exporter or Authorized Agent: Present the original DSP-61 (paper license) along with proof of filing the Electronic Export Information (EEI) through the Automated Export System (AES).  2: CBP Officer: Verifies the information submitted through AES with that of the original DSP-61 license match.  - If the information is accurate, complete, and accepted by AES an ITN will be provided.  - If the information is not accurate, complete or accepted by AES the shipment will be rejected.	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  - Generate External Transaction Number (XTN).  2: CBP Officer: Verify information via AES system.  - If the information is accurate, complete, and accepted by AES an ITN will be provided.  - If the information is not accurate, complete or accepted by AES the shipment will be rejected	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  - Generate External Transaction Number (XTN).  2: CBP Officer: Verify information via AES system.  - If the information is accurate, complete, and accepted by AES an ITN will be provided.  - If the information is not accurate, complete or accepted by AES the shipment will be rejected

Current Processes	Transition Processes	To – Be Processes
<p>3: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"> <li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li> <li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li> </ul> <p>4: CBP Officer: Decrementing Licenses</p> <ul style="list-style-type: none"> <li>- On the appropriate page of the DSP-61 license, CBP officers will list the shipment date, quantity, ITN, commodity, value, CBP Officers initials, and port code. A locally produced continuation sheet, attached to the original license may be used if required.</li> </ul> <p>5: CBP Officer: Disposition of License</p> <ul style="list-style-type: none"> <li>- Returns the license to the importer or their authorized agent.</li> </ul>	<p>3: Exporter: Receive proof of AES filing (ITN).</p> <ul style="list-style-type: none"> <li>- Generated by AES and provided to the exporter electronically.</li> </ul> <p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"> <li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li> <li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li> <li>- Licenses must be decremented through AES</li> </ul> <p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"> <li>- The value or quantity of the license has been exhausted</li> <li>- The license has expired</li> </ul>	<p>3: Exporter: Receive proof of AES filing (ITN).</p> <ul style="list-style-type: none"> <li>- Generated by AES and provided to the exporter electronically.</li> </ul> <p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"> <li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li> <li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li> <li>- Licenses must be decremented through AES</li> </ul> <p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"> <li>- The value or quantity of the license has been exhausted</li> <li>- The license has expired</li> </ul>

Current Processes	Transition Processes	To – Be Processes
<b>DSP-62: Application for Amendment to a DSP-61 License</b> MSG Set = Yes, DIS = No		
1: Exporter or Authorized Agent: Present the original DSP-6 (paper license) to the CBP facility at the port where the DSP-5 is lodged.  2: CBP Officer: Permanently attach the DSP-6 to the appropriate DSP-5 license  3: CBP Officer: Verify Information - Insure that the documentation presented for processing conforms to both the original license (DSP-5) and to any amendments (DSP-6) attached thereto.  - If the information is not accurate the amendment will be rejected.  4: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-5) and to any amendments (DSP-6) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-5) and to any amendments (DSP-6) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number

Current Processes	Transition Processes	To – Be Processes
<b>DSP-73: Application/License for Temporary Export of Unclassified Defense Articles</b> MSG Set = Yes; DIS = No		
1: Exporter or Authorized Agent: Present the original DSP-73 (paper license) along with proof of filing the Electronic Export Information (EEI) through the Automated Export System (AES).  - Some CBP ports require an additional copy of the AES Transmission containing the ITN number.  - Some CBP ports have additional “local” practices which may require the submission of additional supplemental documentation.	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  - Generate External Transaction Number (XTN).  2: CBP Officer: Verify information via AES system.  - If the information is accurate, complete, and accepted by AES an ITN will be provided.  - If the information is not accurate, complete or accepted by AES the shipment will be rejected	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  - Generate External Transaction Number (XTN).  2: CBP Officer: Verify information via AES system.  - If the information is accurate, complete, and accepted by AES an ITN will be provided.  - If the information is not accurate, complete or accepted by AES the shipment will be rejected



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<p>2: CBP Officer: Verifies the information submitted through AES with that of the original DSP-73 license match.</p> <ul style="list-style-type: none"><li>- If the information is accurate, complete, and accepted by AES an ITN will be provided.</li><li>- If the information is not accurate, complete or accepted by AES the shipment will be rejected.</li></ul> <p>3: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li></ul> <p>4: CBP Officers: Decrementing Licenses</p> <ul style="list-style-type: none"><li>- On the appropriate page of the DSP-73 license, CBP officers will list the port of exit, date of export, and CBP Officer Identification. A locally produced continuation sheet, attached to the original license may be used if required.</li></ul> <p>5: CBP Officer: Disposition of License</p> <ul style="list-style-type: none"><li>- Returns the license to the importer or their authorized agent.</li></ul>	<p>3: Exporter: Receive proof of AES filing (ITN).</p> <ul style="list-style-type: none"><li>- Generated by AES and provided to the exporter electronically.</li></ul> <p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul> <p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>	<p>3: Exporter: Receive proof of AES filing (ITN).</p> <ul style="list-style-type: none"><li>- Generated by AES and provided to the exporter electronically.</li></ul> <p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul> <p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>
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Current Processes	Transition Processes	To – Be Processes
<b>DSP-74: Amendment to the DSP-73 License</b> MSG Set = Yes DIS = No		
1: Exporter : Permanently attach the electronically approved DSP-74 to the appropriate DSP-73 license for presentation to CBP at the time of temporary export and subsequent re-import.  2: CBP Officer: Verify Information - Insure that the documentation presented for processing conforms to both the original license (DSP-73) and to any amendments (DSP-74) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-73) and to any amendments (DSP-74) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-73) and to any amendments (DSP-74) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number

Current Processes	Transition Processes	To – Be Processes
<b>DSP-85: Application for Permanent/Temporary Export or Temporary Import of Classified Defense Articles and Related Classified Technical Data</b> MSG Set = Yes DIS = No		
1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES). - Generate External Transaction Number (XTN). - Provide U.S. Government employee acting as the government transmittal authority name and phone number 2: CBP Officer: Verify information via AES system. - If the information is accurate, complete, and accepted by AES an ITN will be provided. - If the information is not accurate, complete or accepted by AES the shipment will be rejected.	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES). - Generate External Transaction Number (XTN). 2: CBP Officer: Verify information via AES system. - If the information is accurate, complete, and accepted by AES an ITN will be provided. - If the information is not accurate, complete or accepted by AES the shipment will be rejected	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (AES). - Generate External Transaction Number (XTN). 2: CBP Officer: Verify information via AES system. - If the information is accurate, complete, and accepted by AES an ITN will be provided. - If the information is not accurate, complete or accepted by AES the shipment will be rejected
3: Exporter: Receive proof of AES filing (ITN). - Generated by AES and provided to the exporter electronically.	3: Exporter: Receive proof of AES filing (ITN). - Generated by AES and provided to the exporter electronically.	3: Exporter: Receive proof of AES filing (ITN). - Generated by AES and provided to the exporter electronically.

<p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul>	<p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul>	<p>4: Exporter or Authorized Agent: Conduct Shipment</p> <ul style="list-style-type: none"><li>- Include Exporter Statement on all air waybill, bill of landing, and invoices</li><li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li><li>- Licenses must be decremented through AES</li></ul>
<p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>	<p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>	<p>5: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"><li>- The value or quantity of the license has been exhausted</li><li>- The license has expired</li></ul>

Current Processes	Transition Processes	To – Be Processes
<b>DSP-94: Authority to Export Defense Articles Sold Under The Foreign Military Sales Program.</b> MSG Set = Yes DIS = No		
1: Foreign Government: Must have a letter from the foreign government’s U.S. Embassy to authorize the freight forwarder to act as the foreign government’s designated freight forwarder for FMS exports.  2: Freight Forwarder: Complete the Letter of Offer and Acceptance (LOA) along with any additional supplemental documentation.  3: Freight Forwarder: Present the original DSP-94 (paper), LOA, and any supplemental documentation to the CBP port of export prior to first export.	1: Freight Forwarder: File the Electronic Export Information (EEI) through the Automated Export System (AES).  - Generate External Transaction Number (XTN).  2: CBP Officer: Verify information via AES system.  - If the information is accurate, complete, and accepted by AES an ITN will be provided.  - If the information is not accurate, complete or accepted by AES the shipment will be rejected	1: Freight Forwarder: File the Electronic Export Information (EEI) through the Automated Export System (AES).  - Generate External Transaction Number (XTN).  2: CBP Officer: Verify information via AES system.  - If the information is accurate, complete, and accepted by AES an ITN will be provided.  - If the information is not accurate, complete or accepted by AES the shipment will be rejected

Current Processes	Transition Processes	To – Be Processes
<p>4: Freight Forwarder: File the Electronic Export Information (EEI) through the Automated Export System (AES).</p> <ul style="list-style-type: none"> <li>- Generate External Transaction Number (XTN).</li> </ul> <p>5: CBP Officer: Verify information via AES system.</p> <ul style="list-style-type: none"> <li>- If the information is accurate, complete, and accepted by AES an ITN will be provided.</li> <li>- If the information is not accurate, complete or accepted by AES the shipment will be rejected</li> </ul>	<p>3: Freight Forwarder: Present the original DSP-94 (paper), LOA, and any supplemental documentation to the CBP port of export prior to first export.</p> <p>4: Freight Forwarder: File the Electronic Export Information (EEI) through the Automated Export System (AES).</p> <ul style="list-style-type: none"> <li>- Generate External Transaction Number (XTN).</li> </ul> <p>5: CBP Officer: Verify information via AES system.</p> <ul style="list-style-type: none"> <li>- If the information is accurate, complete, and accepted by AES an ITN will be provided.</li> <li>- If the information is not accurate, complete or accepted by AES the shipment will be rejected</li> </ul>	<p>3: Freight Forwarder: Present the original DSP-94 (paper), LOA, and any supplemental documentation to the CBP port of export prior to first export.</p> <p>4: Freight Forwarder: File the Electronic Export Information (EEI) through the Automated Export System (AES).</p> <ul style="list-style-type: none"> <li>- Generate External Transaction Number (XTN).</li> </ul> <p>5: CBP Officer: Verify information via AES system.</p> <ul style="list-style-type: none"> <li>- If the information is accurate, complete, and accepted by AES an ITN will be provided.</li> <li>- If the information is not accurate, complete or accepted by AES the shipment will be rejected</li> </ul>
<p>6: Freight Forwarder: Conduct Shipment</p> <ul style="list-style-type: none"> <li>- Include FMS Statement on all air waybill, bill of landing, and invoices</li> <li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li> </ul> <p>7: CBP Officer: Decrementing License</p> <ul style="list-style-type: none"> <li>- The port holding the DSP-94 will record the shipment information on the reverse of the form.</li> </ul>	<p>6: Freight Forwarder: Conduct Shipment</p> <ul style="list-style-type: none"> <li>- Include FMS Statement on all air waybill, bill of landing, and invoices</li> <li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li> </ul> <p>7: CBP Officer: Decrementing License</p> <ul style="list-style-type: none"> <li>- The port holding the DSP-94 will record the shipment information on the reverse of the form.</li> </ul>	<p>6: Freight Forwarder: Conduct Shipment</p> <ul style="list-style-type: none"> <li>- Include FMS Statement on all air waybill, bill of landing, and invoices</li> <li>- Include the proper AES exemption legend or proof of filing citation (ITN) on all air way bill, bill of landing, and other documents</li> </ul> <p>7: CBP Officer: Decrementing License</p> <ul style="list-style-type: none"> <li>- The port holding the DSP-94 will record the shipment information on the reverse of the form.</li> </ul>

Current Processes	Transition Processes	To – Be Processes
8: Freight Forwarder: Disposition of License  - The value or quantity of the license has been exhausted  - The license has expired	8: Freight Forwarder: Disposition of License  - The value or quantity of the license has been exhausted  - The license has expired	8: Freight Forwarder: Disposition of License  - The value or quantity of the license has been exhausted  - The license has expired

Current Processes	Transition Processes	To – Be Processes
<b>DSP-61: Application/License for Temporary Import of Unclassified Defense Articles.</b> MSG Set = Yes DIS = No		
1: Exporter or Authorized Agent: Present the original DSP-61 (paper license) and supplemental documentation to CBP port of import.  2: CBP Officer: Verify information - If the information is accurate and complete the import will be released. - If the information is not accurate or complete the import will be held.	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).  2: CBP Officer: Verify and Endorse License information via ACE system. - If the information is accurate, complete, and accepted by ACE the import will be released. - If the information is not accurate, complete or accepted by ACE the import will be held.	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).  2: CBP Officer: Verify and Endorse License information via ACE system. - If the information is accurate, complete, and accepted by ACE the import will be released. - If the information is not accurate, complete or accepted by ACE the import will be held.
3: CBP Officer: Endorsement License - On the appropriate page of the DSP-61 license the CBP Officer will indicate the items being imported, quantity, commodity, and value, date of entry, their initials and port code. A locally produced continuation sheet, attached to the original license may be used if required.	3: Exporter or Authorized Agent: Decrementing License - Licenses must be decremented through ACE	3: Exporter or Authorized Agent: Decrementing License - Licenses must be decremented through ACE
4: CBP Officer: Disposition of License - Returns the license to the importer or their authorized agent	4: Exporter or Authorized Agent: Disposition of License - The value or quantity of the license has been exhausted - The license has expired	4: Exporter or Authorized Agent: Disposition of License - The value or quantity of the license has been exhausted - The license has expired



Current Processes	Transition Processes	To – Be Processes
<b>DSP-62: Application for Amendment to a DSP-61 License.</b> MSG Set = Yes DIS = No		
1: Exporter : Permanently attach the electronically approved DSP-62 to the appropriate DSP-61 license for presentation to CBP at the time of temporary export and subsequent re-import.  2: CBP Officer: Verify Information - Insure that the documentation presented for processing conforms to both the original license (DSP-61) and to any amendments (DSP-62) attached thereto.  3: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-61) and to any amendments (DSP-62) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-61) and to any amendments (DSP-62) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number

Current Processes	Transition Processes	To – Be Processes
<b>DSP-73: Application/License for Temporary Export of Unclassified Defense Articles</b> MSG Set = Yes DIS = No		
<p>1: Exporter or Authorized Agent: Present the original DSP-73 (paper license) along with proof of filing the Electronic Export Information (EEI) through the Automated Export System (AES).</p> <p>- Some CBP ports have additional “local” practices which may require the submission of additional supplemental documentation.</p> <p>2: CBP Officer: Verifies the information provided on the DSP-73 license and entry documentation.</p> <p>- If the information is accurate and complete the import will be released.</p> <p>- If the information is not accurate or complete the import will be held.</p>	<p>1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).</p> <p>2: CBP Officer: Verify and Endorse License information via ACE system.</p> <p>- If the information is accurate, complete, and accepted by ACE the import will be released.</p> <p>- If the information is not accurate, complete or accepted by ACE the import will be held.</p>	<p>1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).</p> <p>2: CBP Officer: Verify and Endorse License information via ACE system.</p> <p>- If the information is accurate, complete, and accepted by ACE the import will be released.</p> <p>- If the information is not accurate, complete or accepted by ACE the import will be held.</p>

Current Processes	Transition Processes	To – Be Processes
<p>3: CBP Officer: Endorsement of License</p> <p>- On the appropriate page of the DSP-73 license in the entry column, the CBP Officers will list the Port of entry, entry date, and CBPO Identification. A locally produced continuation sheet, attached to the original license may be used if required.</p> <p>4: CBP Officer: Disposition of License</p> <p>- Returns the license to the importer or their authorized agent.</p>	<p>3: Exporter or Authorized Agent: Decrementing License</p> <p>- Licenses must be decremented through ACE</p> <p>4: Exporter or Authorized Agent: Disposition of License</p> <p>- The value or quantity of the license has been exhausted</p> <p>- The license has expired</p>	<p>3: Exporter or Authorized Agent: Decrementing License</p> <p>- Licenses must be decremented through ACE</p> <p>4: Exporter or Authorized Agent: Disposition of License</p> <p>- The value or quantity of the license has been exhausted</p> <p>- The license has expired</p>

Current Processes	Transition Processes	To – Be Processes
<b>DSP-74: Application for Amendment to a DSP-73 License</b> MSG Set = Yes DIS = No		
1: Exporter : Permanently attach the electronically approved DSP-74 to the appropriate DSP-73 license for presentation to CBP at the time of temporary export and subsequent re-import.  2: CBP Officer: Verify Information - Insure that the documentation presented for processing conforms to both the original license (DSP-73) and to any amendments (DSP-74) attached thereto.  3: Exporter or Authorized Agent: Conduct Shipment	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (ACE).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-73) and to any amendments (DSP-74) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number	1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Export System (ACE).  2: CBP Officer: Verify Information - Insure that the electronically filed information conforms to both the original license (DSP-73) and to any amendments (DSP-74) attached thereto.  - If the information is not accurate the amendment will be rejected.  3: Exporter or Authorized Agent: Conduct Shipment via original license number

Current Processes	Transition Processes	To – Be Processes
<b>DSP-85: Application/License for Permanent/Temporary Export or Temporary Import of Classified Defense Articles and Classified Technical Data</b> MSG Set = Yes DIS = No		
<p>1: Exporter or Authorized Agent: Present a copy of the DSP-85 (paper license) and supplemental documentation to CBP port of import.</p> <p>2: CBP Officer: Verify information</p> <ul style="list-style-type: none"> <li>- If the information is accurate and complete the import will be released.</li> <li>- If the information is not accurate or complete the import will be held.</li> </ul> <p>3: CBP Officer: Endorsement License</p> <ul style="list-style-type: none"> <li>- On the appropriate page of the DSP-85 license the CBP Officer will indicate the items being imported, quantity, commodity, and value, date of entry, their initials and port code. A locally produced continuation sheet, attached to the original license may be used if required.</li> </ul> <p>4: CBP Officer: Disposition of License</p> <ul style="list-style-type: none"> <li>- Returns the license to the importer or their authorized agent.</li> </ul>	<p>1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).</p> <p>2: CBP Officer: Verify and Endorse License information via ACE system.</p> <ul style="list-style-type: none"> <li>- If the information is accurate, complete, and accepted by ACE the import will be released.</li> <li>- If the information is not accurate, complete or accepted by ACE the import will be held.</li> </ul> <p>3: Exporter or Authorized Agent: Decrementing License</p> <ul style="list-style-type: none"> <li>- Licenses must be decremented through ACE</li> </ul> <p>4: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"> <li>- The value or quantity of the license has been exhausted</li> <li>- The license has expired</li> </ul>	<p>1: Exporter or Authorized Agent: File the Electronic Export Information (EEI) through the Automated Commercial Environment (ACE).</p> <p>2: CBP Officer: Verify and Endorse License information via ACE system.</p> <ul style="list-style-type: none"> <li>- If the information is accurate, complete, and accepted by ACE the import will be released.</li> <li>- If the information is not accurate, complete or accepted by ACE the import will be held.</li> </ul> <p>3: Exporter or Authorized Agent: Decrementing License</p> <ul style="list-style-type: none"> <li>- Licenses must be decremented through ACE</li> </ul> <p>4: Exporter or Authorized Agent: Disposition of License</p> <ul style="list-style-type: none"> <li>- The value or quantity of the license has been exhausted</li> <li>- The license has expired</li> </ul>

Current Processes	Transition Processes	To – Be Processes
18 DEA		
In Process MSG Set = Yes; DIS = No		

Current Processes	Transition Processes	To – Be Processes
<b>19 Entry Summary Filing for E&amp;C</b>		
<p><b>A single process is used for the Uranium Export License, Certificatation, and re-export forms</b></p> <ul style="list-style-type: none"> <li>• AD/CVD Foreign Government Export License: Uranium products from Russia (EC item 30 (all Russian Uranium entries)</li> <li>• AD/CVD Foreign Government Export Certificate: Uranium products from Russia (EC item 4) (all Russian Uranium entries)</li> <li>• AD/CVD Declaration of intent to re-export: Uranium products from Russia within a certain time (EC Item 5) (entered under re-export provision)</li> <li>• AD/CVD Processor certification: Uranium products from Russia (EC Item 7) (entered under re-export provision)</li> <li>• AD/CVD End-user certification: Uranium products from Russia (EC Item 8) (entered under re-export provision)</li> <li>• AD/CVD Origin certification: Uranium products from Russia (EC Item 10) (all Russian Uranium entries)</li> <li>• AD/CVD Anticircumvention certification: Uranium products from Russia (EC Item 11) (all Russian Uranium entries)</li> <li>• AD/CVD Purchase and/or Delivery Order: Uranium products from Russia (EC Item 29) (entered under consumption quota provision)</li> </ul> <p>MSG Set = No; DIS = Yes</p>		
<p>1: Importer:</p> <ul style="list-style-type: none"> <li>• Submits the paper documents to CBP as part of the entry package prior to arrival of the goods.</li> <li>• Similarly, the importer submits the documents to E&amp;C through our electronic filing system (ACCESS). There is a legal requirement that these documents be submitted for the E&amp;C AD/CVD case record of the administrative proceeding that generated the requirement for the documents. The requisite documents must be submitted to both E&amp;C and CBP for the entry to be released.</li> </ul>	<p>1: Importer:</p> <ul style="list-style-type: none"> <li>• Submits the documents to CBP through DIS (with possible exception of EC Items 3 &amp; 4, see note above) as part of the entry package prior to release.</li> <li>• Submits an electronic copy of the documents to E&amp;C through our electronic filing system (ACCESS). There is a legal requirement that these documents be submitted for the E&amp;C AD/CVD case record of the administrative proceeding that generated the requirement for the documents. The requisite documents must be submitted for the entry to be released.</li> </ul>	<p>The To Be Process will be the same as the transition process for all steps.</p>

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<p>2: E&amp;C: Reviews the documents. If they are incomplete, E&amp;C responds to the importer alerting the party to what is missing and must still be filed for E&amp;C to provide release instructions to CBP. If the documents are complete and accurate, skip step 2 and move right to step 4.</p> <p>3: Importer: If original filing was incomplete, importer submits remaining documentation to E&amp;C, in which case go back to step 2.</p> <p>4: E&amp;C : Issues notice to CBP through the ACE AD/CVD portal that if the proper documentation has been filed with CBP, it is OK to release the Russian Uranium entry. E&amp;C uploads a message in the portal. E&amp;C will not issue the release message until it has received and confirmed the accuracy of each of the forms identified with process 3.1</p>	<p>2: E&amp;C: Reviews the documents. If they are incomplete, E&amp;C responds to the importer alerting the party to what is missing and must still be filed for E&amp;C to provide release instructions to CBP. If the documents are complete and accurate, skip step 2 and move right to step 4.</p> <p>3: Importer: If original filing was incomplete, importer submits remaining documentation to E&amp;C, in which case go back to step 2.</p> <p>4: E&amp;C : Issues notice to CBP through the ACE AD/CVD portal that if the proper documentation has been filed with CBP, it is OK to release the Russian Uranium entry. E&amp;C uploads a message in the portal.</p>	
<p>5: CBP (AD/CVD Policy Branch): Reviews the message from E&amp;C and then posts it in ACE for the ports to view and implement.</p> <p>6: CBP Commodity Team/Port: Reviews the documentation provided by the importer. If the documentation is complete and accurate, CBP port releases the uranium entry.</p>	<p>5: CBP (AD/CVD Policy Branch): Reviews the message from E&amp;C and then posts it in ACE for the ports to view and implement.</p> <p>6: CBP Port: Reviews the documentation provided by the importer. If the documentation is complete and accurate, CBP port releases the uranium entry.</p>	



Current Processes	Transition Processes	To – Be Processes
<b>A single process is used for Uranium products from any country other than Russia</b> <ul style="list-style-type: none"><li>AD/CVD Origin certification: Uranium products from any country other than Russia (EC Item 10)</li><li>AD/CVD Anticircumvention certification: Uranium products from any country other than Russia (EC Item 11)</li><li>MSG Set = No; DIS = Yes</li></ul>		
1: Importer: Submits document in paper form with the entry package	1: Importer: Submits the form through DIS with the entry package.	Same as transition process

Current Processes	Transition Processes	To – Be Processes
<b>A single process is used for Uranium products from France</b> <ul style="list-style-type: none"><li>Declaration of intent to re-export: Uranium products from France (EC item 6)</li><li>End User Certification: Uranium products from France (EC item 9)</li><li>MSG Set = No; DIS = Yes</li></ul>		
1: Importer: Submits document in paper form with the entry package	1: Importer: Submits the form through DIS with the entry package.	Same as transition process
2: CBP: Reviews entry summary package to ensure certification is submitted		

Current Processes	Transition Processes	To – Be Processes
<b>AD/CVD Anticircumvention/Scope Case-Specific Certifications (EC Items 12 &amp; 13)</b> These documents are a record-keeping requirement for the importer and are submitted to CBP only upon request. MSG Set = No; DIS = Yes		
1: Importer : Maintains these certifications as a record-keeping requirement and submits them to CBP only upon request	1: Importer : Maintains these certifications as a record-keeping requirement and submits them to CBP only upon request	Same as transition process
2: CBP: Requests that the importer file these documents if CBP determines there is reason to question the validity of the entry as not subject to AD/CVD or to question the AD/CVD rate deposited at entry summary	2: CBP: Requests that the importer file these documents if CBP determines there is reason to question the validity of the entry as not subject to AD/CVD or to question the AD/CVD rate deposited at entry summary	
3: Importer or filer: Files a paper copy of these certifications with CBP in response to CBP’s specific request for the documents	3: Importer or filer: Files a paper copy of these certifications with CBP in response to CBP’s specific request for the documents	

Current Processes	Transition Processes	To – Be Processes
<b>AD/CVD Non-Reimbursement Statement (E&amp;C Item 22)</b> These documents are a record-keeping requirement for the importer and are submitted to CBP only upon request. MSG Set = Yes; DIS = No		
1: Importer: There are currently multiple options: 1) Files non-reimbursement statement in paper with paper or ACS filing of entry summary. 2) Files blanket non-reimbursement statement electronically through ACE (covering a specific supplier or set of suppliers, and a specific period of time). ACE generates a reference number which the importer then uses to tie an individual entry back to the blanket statement. 3) 3) Electronic check off line-item-specific non-reimbursement statement in ACE (similar to a data element). This is already established in the ACE CATAIR (not PGA message set).	1: Importer: There are currently multiple options: 1) Files blanket non-reimbursement statement electronically through ACE (covering a specific supplier or set of suppliers, and a specific period of time). 2) Electronic check off line-item-specific non-reimbursement statement in ACE (similar to a data element).  This is already established in the ACE CATAIR (not PGA message set).	Same as transition process
Certification should be filed with Entry Summary, but may be accepted up through the protest stage of liquidation.		

Current Processes	Transition Processes	To – Be Processes
<b>AD/CVD Foreign Government Export License: Sugar from Mexico (EC item 28)</b> These documents are a record-keeping requirement for the importer and are submitted to CBP only upon request. MSG Set = Yes; DIS = No		
1: Importer: There are currently multiple options:  1) Files non-reimbursement statement in paper with paper or ACS filing of entry summary.  2) Files blanket non-reimbursement statement electronically through ACE (covering a specific supplier or set of suppliers, and a specific period of time). ACE generates a reference number which the importer then uses to tie an individual entry back to the blanket statement.  3) 3) Electronic check off line-item-specific non-reimbursement statement in ACE (similar to a data element). This is already established in the ACE CATAIR (not PGA message set).	1: Importer: There are currently multiple options:  1) Files blanket non-reimbursement statement electronically through ACE (covering a specific supplier or set of suppliers, and a specific period of time).  2) Electronic check off line-item-specific non-reimbursement statement in ACE (similar to a data element).  This is already established in the ACE CATAIR (not PGA message set).	Same as transition process

Current Processes	Transition Processes	To – Be Processes
<b>ITA-4141(P) E&amp;C Steel License</b> Declaration of Intent to re-export Uranium products from Russia within a certain period Note to CBP: Maintenance of this form is a record keeping requirement, it is provided only upon request by CBP. MSG Set = Yes; DIS = No		
1: Filer: Records the steel license number on the 7501	1: Filer: Records the steel license number on the 7501	Same as transition process
2: CBP: If CBP has concerns about the license, it may request a copy from the importer.	2: CBP: If CBP has concerns about the license, it may request a copy from the importer.	
3: Filer: Provides a paper copy of the Steel Import License, if requested by CBP	3: Filer: Using DIS, provides an electronic copy of the Steel Import License, if requested by CBP	

Current Processes	Transition Processes	To – Be Processes
<b>ITA-338P Application for Duty-Free Entry of Scientific Instruments or Apparatus (EC Item 19)</b> Note This program is no longer in use. There will be no further submissions of this form to CBP after March 2015. This document no longer needs to be registered for DIS. MSG Set = Yes; DIS = No		
1: Applicant, importer or broker: The paper form and accompanying documentation (also in paper) are submitted to CBP's Office of Entry Process and Duty Refunds Branch in paper form. The form may be submitted by the applicant (user of the instrument) or the importer if different from the applicant. It is related to payment of duties and request for duty free entry.	Same as current process	Same as current process
2: CBP : CBP Office of Entry Process and Duty Refunds Branch reviews application and if approved by CBP, CBP forwards to E&C for E&C approval. This is also in paper form.		
3: E&C : Reviews and if E&C approves , E&C sends one letter to applicant and a separate letter to the Port of entry (as designated in the application) noting E&C's approval of application.		
4: CBP: Once the form is approved, the port will take appropriate action regarding granting the duty refund or allowing duty-free entry if this whole process was completed prior to entry.		

Current Processes	Transition Processes	To – Be Processes
<b>20 EPA</b>		
<b>EPA Form 8700-22 Uniform Hazardous Waste Manifest (RCRA Manifest)</b> MSG Set = No; DIS = No MSG Set = Yes; DIS = No		
1: Exporter: Acquire paper form containing unique EPA Hazardous Waste (RCRA) Manifest Tracking Number. This step is done outside of interactions with CBP or AES/ACE.	1: Exporter: Acquires paper form containing unique EPA Hazardous Waste (RCRA) Manifest Tracking Number. This step is done outside of interactions with CBP or AES/ACE.	1: Exporter: Acquires paper form containing unique EPA Hazardous Waste (RCRA) Manifest Tracking Number. This step is done outside of interactions with CBP or AES/ACE.
2: Exporter: Prepares and signs paper EPA Hazardous Waste (RCRA) manifest to certify waste is in proper condition to be transported, saves a copy of the form, and provides copy to the carrier. This step is done outside of interactions with CBP or AES/ACE.	2: Exporter: Prepares and signs paper EPA Hazardous Waste (RCRA) manifest to certify waste is in proper condition to be transported, saves a copy of the form, and provides copy to the carrier. This step is done outside of interactions with CBP or AES/ACE.	2: Exporter: Prepares and signs paper EPA Hazardous Waste (RCRA) manifest to certify waste is in proper condition to be transported, saves a copy of the form, and provides copy to the carrier. This step is done outside of interactions with CBP or AES/ACE.
3: Carrier: Signs paper EPA Hazardous Waste (RCRA) manifest to accept custody of waste, and save a copy of the form. Carrier at port signs and dates form to indicate departure and provides copy of form to CBP.	3: Exporter: Voluntarily submits EPA Hazardous Waste (RCRA) Manifest Number and certain data quantity (where not in units of weight or volume) in the PG line of the EEI filing to AES (electronic).	3: Exporter: Submits EPA Hazardous Waste (RCRA) Manifest Number and certain data quantity (where not in units of weight or volume) in the PG line of the EEI filing to AES, if required by EPA (electronic).
4: CBP: CBP Port officers are expected to check for proper documents where appropriate and collect a copy of the RCRA Hazardous Waste Manifest. CBP then provides the RCRA manifests to EPA.	4: CBP/AES: Verifies the presence and format (if required) of the EPA Hazardous Waste RCRA Manifest number in the PG line .and issues an ITN.	4: CBP/AES: Verifies the presence and format (if required) of the EPA Hazardous Waste RCRA Manifest number in the PG line .and issues an ITN.
	5: Exporter: Provides the ITN to the carrier.	5: Exporter: Provides the ITN to the carrier.

Current Processes	Transition Processes	To – Be Processes
	6: Carrier: Carrier signs form to accept custody of the waste. Carrier at port signs and dates form to indicate departure to accept custody of waste, provides a copy of the form to CBP, and save a copy of the form. The manifest then stays with the cargo until reaching the ultimate destination. This step is done outside of interactions with CBP or AES/ACE.	6: Carrier: Carrier signs form to accept custody of the waste. Carrier at port signs and dates form to indicate departure, sends copy to the exporter, and saves a copy of the form. The manifest then stays with the cargo until reaching the ultimate destination. This step is done outside of interactions with CBP or AES/ACE.
	7: CBP: CBP Port officers are expected to check for proper documents where appropriate and collect a copy of the RCRA Hazardous Waste Manifest. CBP then provides the RCRA manifests to EPA.	



Current Processes	Transition Processes	To – Be Processes
<b>Acknowledgement of Consent (AOC) Letter (no form number)</b> Letter from EPA to Primary exporter of the hazardous waste documenting the receiving country's consent MSG Set = Yed; DIS = No		
1: Exporter: Submits notice to EPA to request consent to Export Hazardous Waste to designated country. This step is done outside of interactions with CBP or AES/ACE.  2: EPA: Forwards notice to importing country for its review, receives response form importing country, provides AOC letter to exporter documenting importing county's consent. This step is done outside of interactions with CBP or AES/ACE.	1: Exporter: Submits notice to EPA to request consent to Export Hazardous Waste to designated country. This step is done outside of interactions with CBP or AES/ACE.  2: EPA: Forwards notice to importing country for its review, receives response form importing country, provides AOC letter electronically to exporter documenting importing county's consent. This step is done outside of interactions with CBP or AES/ACE.	1: Exporter: Submits notice to EPA to request consent to Export Hazardous Waste to designated country. This step is done outside of interactions with CBP or AES/ACE.  2: EPA: Forwards notice to importing country for its review, receives response form importing country, provides AOC letter electronically to exporter documenting importing county's consent. This step is done outside of interactions with CBP or AES/ACE.
3: Exporter: Provides a paper copy of AOC Letter to the carrier. This is provided at the same time as the RCRA Hazardous Waste Manifest (if required by EPA).  4: Carrier: AOC letter accompanies the shipment, along with RCRA Hazardous Waste Manifest (if required).	3: Exporter: Provides a paper copy of AOC Letter to the carrier. This is provided at the same time as the RCRA Hazardous Waste Manifest (if required).  4: Carrier: Ensures the AOC Letter and the RCRA Hazardous Manifest (if required) accompany the shipment.	3: EPA: Periodically sends reference data with valid AOC numbers for each waste stream, valid shipment start and end dates, and ultimate destination countries to AES.  4: Exporter: Submits AOC waste stream level number in the PG line, along with the departure date and ultimate destination country in the EEI filing to AES (electronic)
5: CBP: CBP Port officers are expected to check for proper documents where appropriate.	5: CBP/AES: CBP processes the submission, including running business rule validations against EPA reference data in AES/ACE.  6: CBP/AES: Issues an ITN number if validations are passed; rejects filing if validations fail. Notifies Exporter of ITN or of reject.	5: CBP/AES: CBP processes the submission, including running business rule validations against EPA reference data in AES/ACE.  6: CBP/AES: Issues an ITN number if validations are passed; rejects filing if validations fail. Notifies Exporter of ITN or of reject.

Current Processes	Transition Processes	To – Be Processes
	7: Exporter: Provides the ITN to the carrier. 8: CBP: CBP Port officers are expected to check for proper documents where appropriate.	7: Exporter: Provides the ITN to the carrier.

Current Processes	Transition Processes	To – Be Processes
<b>EPA 3520-1[EPA_01] Importation of Motor Vehicles and Engines (on road)</b> MSG Set = Yes; DIS = TBD		
1: Importer: Completes the paper form and files if they are a non-Original Equipment Manufacturer (OEM) at or before entry.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1st deadline.	1: EPA: Periodically sends reference data with valid engine family names, exemption numbers, etc. to ACE.
2: CBP: Collects and reviews paper form, and provides information via email to EPA when an intensive exam is conducted.		2: Importer: Provides data from form in a PGA Message Set via ACE at the time of entry filing.
3: EPA: Reviews form and requests actions from CBP, as needed.		3: CBP/ACE: Validates data in PGA Message set against EPA reference data.
		4: EPA: Can review entry/PGA data in ACE GUI and request actions from CBP, as appropriate.
		5: CBP: Checks ACE for any flags or recommended actions from EPA.

Current Processes	Transition Processes	To – Be Processes
<b>EPA 3520-1[EPA_01] - Importation of Motor Vehicles and Engines (on road)</b> MSG Set = Yes, DIS = TBD		
1: Importer: Completes the paper form and files if they are a non-Original Equipment Manufacturer (OEM) at or before entry.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	1: EPA: Periodically sends reference data with valid engine family names, exemption numbers, etc. to ACE.
2: CBP: Collects and reviews paper form, and provides information via email to EPA when an intensive exam is conducted.		2: Importer: Provides data from form in a PGA Message Set via ACE at the time of entry filing.
3: EPA: Reviews form and requests actions from CBP, as needed.		3: CBP/ACE: Validates data in PGA Message set against EPA reference data.
		4: EPA: Can review entry/PGA data in ACE GUI and request actions from CBP, as appropriate.
		5: CBP: Checks ACE for any flags or recommended actions from EPA.

**Commented [CR1]:** Note: filings that pass validations will be issued a 'may proceed' unless EPA has specific reasons to take a look at the filing/shipment. For filings that do not pass validations, EPA will be notified and can take a look at the filing within a prescribed time period and recommend an action to the CBP port officers. The Port Officers and ACE will then provide a message to the filer on what is needed for that shipment (e.g., specific data in the filing needs to be corrected, docs required, or hold, etc.).

Current Processes	Transition Processes	To – Be Processes
<b>EPA 3520-1[EPA_02] - Importation of Motor Vehicles and Engines (non road)</b>		
MSG Set = Yes, DIS = TBD		
1: Importer: Completes paper form and keeps record. When requested by CBP, provides form at time of entry.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	1: EPA: Periodically sends reference data with valid engine family names, exemption numbers, etc. to ACE.
2: CBP: Requests, collects, and reviews paper form and provides via email to EPA, as needed.		2: Importer: Provides data from form in a PGA Message Set via ACE at the time of entry filing.
3: EPA: Reviews form and requests actions from CBP, as appropriate.		3: CBP/ACE: Validates data in PGA Message set against EPA reference data.
		4: EPA: Can review entry/PGA data in ACE GUI and request actions from CBP, as appropriate.
		5: CBP: Checks ACE for any flags or recommended actions from EPA.

**Commented [CR2]:** Note: filings that pass validations will be issued a 'may proceed' unless EPA has specific reasons to take a look at the filing/shipment. For filings that do not pass validations, EPA will be notified and can take a look at the filing within a prescribed time period and recommend an action to the CBP port officers. The Port Officers and ACE will then provide a message to the filer on what is needed for that shipment (e.g., specific data in the filing needs to be corrected, docs required, or hold, etc.).

Current Processes	Transition Processes	To – Be Processes
<b>Pre-approval Vehicles/Engines EPA_05]</b> MSG Set = Yes, DIS = TBD		
1: Importer: Based on import and industry codes, conditionally provides the pre-approval letter with the corresponding paper EPA Form 3520-1 or 3520-21.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	This letter will no longer be required for certain import and industry codes in the to-be process. An identifier will be provided for this information in the PGA Message set filing for the forms 3520-1 or the 3520-21.
2: CBP: As needed, collects letter along with corresponding form, and provides via email to EPA.		
3: EPA: Reviews form and requests actions from CBP, as appropriate.		

Current Processes	Transition Processes	To – Be Processes
<b>EPA 3540-1[EPA_03] Notice of Arrival of Pesticides and Devices (NOA)</b> MSG Set = Yes, DIS = TBD		
1: Importer: Pre-arrival. Submits a paper Notice of Arrival of Pesticides and Devices (NOA - Form 3540-1) to the EPA regional office in which the port of entry is located. This step is done outside of interactions with CBP or ACE.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	1: EPA: Pre-arrival. Periodically sends reference data with Pesticide Registration Numbers, exemption numbers, Producer Establishment Numbers, etc. to ACE.
2: EPA: Reviews the paper form and indicates the disposition to be made of the shipment, signs and return the completed paper NOA to the importer. This step is done outside of interactions with CBP or ACE.		2: Importer: Provides NOA data in a PGA Message Set via ACE at the time of the entry filing, which is pre-arrival at the port.
3: Importer: Provides the completed and signed paper NOA along with other documentation at the time of entry.		3: CBP/ACE: Validates data in PGA Message set against EPA reference data.
4: CBP: Checks the paper NOA for EPA disposition requests, and other entry documentation at the time of entry.		4: EPA: Can review entry/PGA data in ACE GUI and request actions from CBP, as appropriate.
		5: CBP: Checks ACE for any flags or recommended actions from EPA.

**Commented [CR3]:** Note: filings that pass validations will be issued a 'may proceed,' --allowing time as appropriate for the regional import coordinators to review the label provided with the form 3540-1 data.. For filings that do not pass validations, EPA will be notified and can take a look at the filing within a prescribed time period and recommend an action to the CBP port officers. The Port Officers and ACE will then provide a message to the filer on what is needed for that shipment (e.g., specific data in the filing needs to be corrected, docs required, or hold, etc.).

Current Processes	Transition Processes	To – Be Processes
<b>Pesticide Label [EPA_04]</b>		
MSG Set = Yes, DIS = TBD		
1: Importer: Pre-arrival. Typically provides Pesticide Label on paper with the required NOA form. This step is done outside of interactions with CBP or ACE.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	1: Importer: Pre-arrival. Provides image of Pesticide label in DIS at the time of submission of entry/PGA data for the NOA to ACE.
2: EPA: Reviews label as part of the review of the NOA, provides disposition to be made for the shipment on the accompanying NOA form. This step is done outside of interactions with CBP or ACE.		2: CBP/ACE: DIS stores and makes available to EPA ACE users an image corresponding to the entry in ACE.
		3: EPA: Can review Pesticide Label in DIS and request actions on the accompanying Entry/Entry Summary from CBP, as appropriate.
		4: CBP: Checks ACE for any flags or recommended actions from EPA.

Current Processes	Transition Processes	To – Be Processes
<b>TSCA Certification [Certificate 33, EPA] Toxic Substances Control Act (TSCA) Import Certification</b>		
MSG Set = Yes, DIS = TBD		
1: Importer: Importer provides TSCA certification on one of the paper entry or as stand alone documents. Some certifications are filed electronically (via Remote Location Filing (RLF) or other means).	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	1: Importer: Provides certification statement information in a PGA Message Set via ACE at the time of entry filing.
2: CBP: Checks for TSCA certification at the time of entry document review, and contacts EPA as needed		2: ACE: Performs edit checks of data in PGA Message set against EPA business rules. There is no EPA reference data provided.
		3: EPA: Can review entry/PGA data in ACE GUI and request actions from CBP, as appropriate.
		4: CBP: Checks ACE for any flags or recommended actions from EPA.

**Commented [HC4]:** Have to note TSI HTS code, since mention ODS HTS code below?



Current Processes	Transition Processes	To – Be Processes
<b>(CAA) Import of Ozone Depleting Substances (ODS)</b>		
MSG Set = Yes, DIS = TBD		
1: Importer: Acquires allowances to import ODS. This step is done outside of interactions with CBP or ACE.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	1: Importer: Acquires allowances to import ODS. This step is done outside of interactions with CBP or ACE.
2: EPA: Provides CBP a list of importers with allowances (approximately every 6 months).		2: EPA: Periodically sends reference data with valid Importer of Record numbers and allowance HTS codes to ACE.
3: Importer: Files Entry/Entry Summary for ODS.		3: Importer: Provides entry data and a PGA Message Set for EPA via ACE at the time of entry filing.
		4: CBP/ACE: Validates data in entry against EPA reference data.
		5: EPA: Can review entry/PGA data in ACE GUI and request actions from CBP, as appropriate. .
		6: CBP: Checks ACE for any flags or recommended actions from EPA.

**Commented [CR5]:** Note: filings that pass validations will be issued a 'may proceed' unless EPA has specific reasons to take a look at the filing/shipment. For filings that do not pass validations, EPA will be notified and can take a look at the filing within a prescribed time period and recommend an action to the CBP port officers. The Port Officers and ACE will then provide a message to the filer on what is needed for that shipment (e.g., specific data in the filing needs to be corrected, docs required, or hold, etc.).

Current Processes	Transition Processes	To – Be Processes
<b>Used ODS Non-Objection Notice</b> MSG Set = Yes, DIS = TBD		
1: Importer: Petitions EPA to import used ODS. This step is done outside of interactions with CBP or ACE.	1: TBD. We cannot provide a transition process until we get some answers from DHS and OMB regarding the November 1 <sup>st</sup> deadline.	1: Importer: Petitions EPA to import used ODS. This step is done outside of interactions with CBP or ACE.
2: EPA: Reviews petition and provides Importer a “non-objection notice” authorizing import of the used ODS.		2: EPA: Reviews petition and provides Importer a “non-objection notice” authorizing import of the used ODS (also outside CBP/ACE). This step is done outside of interactions with CBP or ACE.
3: Importer: Files Entry/Entry Summary with HTS code for ODS and presents non-objection notice to CBP.		3: Importer: Pre-arrival. Provides image of non-objection notice in DIS at the time of submission of entry/PGA data into ACE.
4: CBP: Checks for non-objection notice at the time of entry document review.		4: CBP/ACE: DIS stores and makes available to EPA ACE users an image corresponding to the entry in ACE.
		5: EPA: Can review used ODS non-objection notice in DIS and request actions on the accompanying Entry/Entry Summary from EPA, as appropriate.
		6: CBP: Checks ACE for any flags or recommended actions from EPA in ACE.

Current Processes	Transition Processes	To – Be Processes
21 FSIS		
In Process MSG Set = Yes; DIS = No		
	3	

Current Processes	Transition Processes	To – Be Processes
<b>22 FWS: Fish and Wildlife Service</b>		
<b>FWS Form 3-177 Declaration For Importation or Exportation of Fish or Wildlife</b> MSG Set = Yes; DIS = No		
<p>1: Trade (Broker/Exporter): Trade files FWS Form 3-177 data elements electronically through FWS electronic filing system ( eDecs- approximately 90% of the time) or submits FWS Form 3-177 paper form to FWS wildlife inspector at the authorized port of exit. Trade must receive clearance from FWS prior to export.</p> <p>2: FWS-eDecs: FWS eDecs validates filing; runs business rules on mandatory data elements; runs business rules on import/export license and protected species permit/certificate validity and requirements; runs risk criteria; runs enforcement validations.</p>	<p>1: Trade (Broker/Exporter): Trade files FWS Form 3-177 data elements electronically through FWS eDecs at the authorized port of exit. Trade must receive clearance from FWS prior to export.</p> <p>2: FWS-eDecs: FWS eDecs validates filing; runs business rules on mandatory data elements; runs business rules on import/export license and protected species permit/certificate validity and requirements; runs risk criteria; runs enforcement validations.</p>	<p>1: Trade (Broker/Exporter): Trade files FWS Form 3-177 data elements electronically through FWS eDecs at the authorized port of exit. Trade must receive clearance from FWS prior to export.</p> <p>2: FWS eDecs: FWS eDecs validates filing; runs business rules on mandatory data elements; runs business rules on import/export license and protected species permit/certificate validity and requirements; runs risk criteria; runs enforcement validations.</p>

Current Processes	Transition Processes	To – Be Processes
<p>3: FWS: FWS Wildlife Inspector at the port of exit reviews Form 3-177 data elements (and other documents described below) and eDecs validation/rule responses to make export clearance decision or FWS reviews paper 3-177 Form and conducts validation/business rules checks in FWS law enforcement system.</p> <p>4: FWS-eDecs: FWS eDecs transmits clearance decision electronically to filer if data submitted through eDecs.</p> <p>: FWS: FWS provides paper export clearance decision to trade.</p>	<p>3: FWS: FWS Wildlife Inspector at the port of exit reviews Form 3-177 data elements (and other documents described below) and eDecs validation/rule responses to make export clearance decision.</p> <p>4: FWS eDecs: FWS eDecs transmits clearance decision electronically to filer.</p>	<p>3: FWS: FWS Wildlife Inspector at the port of exit reviews Form 3-177 data elements (and other documents described below) and eDecs validation/rule responses to make export clearance decision.</p> <p>4: FWS eDecs: FWS eDecs transmits clearance decision electronically to filer.</p>
		<p>5: Trade: Trade submits FWS PGA Message Set in AES containing reference information to link AEC record to eDecs record.</p> <p>6: AES/ACE: AES/ACE requests data push from FWS eDecs of necessary shipment status data and matches/validates AES filing.???</p>

Current Processes	Transition Processes	To – Be Processes
<b>CITES Documents Issued by FWS (CITES Export Permit, CITES Re-export Certificate)</b> MSG Set = Yes DIS = No		
<p>1: Trade (Broker/Exporter): Trade submits original paper FWS-issued CITES document directly to FWS wildlife inspectors at the authorized port of exit as part of the hard copy Form 3-177 document package or as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the port of exit review the original CITES paper document as part of their determination of the clearance for export decision on Form 3-177. Wildlife Inspectors validate the paper original CITES document with their authorized stamp and signature, retain a copy for FWS, and provide the original validated document to the trade to accompany the shipment.</p>	<p>1: Trade (Broker/Exporter): Trade submits original paper FWS-issued CITES document directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the port of exit review the original CITES paper document as part of their determination of the clearance for export decision on Form 3-177. Wildlife Inspectors validate the paper original CITES document with their authorized stamp and signature, retain a copy for FWS, and provide the original validated document to the trade to accompany the shipment and be submitted to the foreign country.</p>	<p>1: Trade (Broker/Exporter): Trade submits CITES document reference number when filing Form 3-177 data in eDecs at the authorized port of exit.</p> <p>2: FWS eDecs: eDecs pulls CITES document data from FWS permit system.</p> <p>3: FWS: FWS Wildlife Inspectors at the port of exit review the CITES document data as part of their determination of the clearance for export decision on Form 3-177.</p> <p>4: FWS: FWS Wildlife Inspectors print out an original CITES document and provide to the trade to accompany the shipment and be submitted in the foreign country.</p> <p>: eDecs: eDecs transmits the validated electronic CITES document data elements to the importing CITES government office under a CITES bilateral agreement.</p>

Current Processes	Transition Processes	To – Be Processes
<b>Protected Species Export Permits Issued by FWS (Endangered Species Act Export Permit, Marine Mammal Protection Act Export Permit, Migratory Bird Treaty Act Export Permit, Injurious Species Transportation Permit, Bald and Golden Eagle Export Permit)</b> MSG Set = No DIS = Yes		
<p>1: Trade (Broker/Exporter): Trade submits original Protected Species Export Permit Issued by FWS directly to FWS wildlife inspectors at the authorized port of exit as part of the hard copy Form 3-177 document package or as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the port of exit review the permit as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter): Trade submits original Injurious Species Interstate Transport Permit directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the permit as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter): Trade submits permit number for their Protected Species Export Permit issued by FWS as part of Form 3-177 data elements in eDecs at the authorized wildlife port of exit.</p> <p>2: FWS eDecs: eDecs pulls Protected Species Export permit data from FWS permit system.</p> <p>3: FWS: FWS Wildlife Inspectors at the port of exit review the permit data as part of their determination of the clearance for export decision on Form 3-177.</p>

Current Processes	Transition Processes	To – Be Processes
<b>Transportation Documents (e.g., bill of lading, air waybill, rail bill, booking documents; specification of cargo)</b> MSG Set = No DIS = Yes		
<p>1: Trade (Broker/Exporter): Trade submits copies of any transportation documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter): Trade uploads copies of any transportation documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents in eDecs as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter): Trade uploads copies of any transportation documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>: : Trade transmits data elements associated with any transportation information associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents or data elements in eDecs as part of their determination of the clearance for export decision on Form 3-177.</p>



Current Processes	Transition Processes	To – Be Processes
<b>Commodity Specific Documents (e.g., copies of hunting licenses; tag or tatoo lists, catalog of specimens, species inventory records, accession records)</b> MSG Set = No DIS = Yes		
<p>1: Trade (Broker/Exporter): Trade submits copies of any commodity specific documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter): Trade submits copies of any commodity specific documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents in eDecs as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter): Trade uploads copies of any commodity specific documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs. Trade transmits data elements associated with any commodity specific information associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents or data elements in eDecs as part of their determination of the clearance for export decision on Form 3-177.</p>

Current Processes	Transition Processes	To – Be Processes
<b>U.S. government documents such as shipper export declaration, USDA veterinary permits, CDC permits, ATA carnet</b> <b>MSG Set = No DIS = No</b>		
<p>1: Trade (Broker/Exporter): Trade submits copies of any other agency documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter): Trade submits copies of any other agency documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents in eDecs as part of their determination of the clearance for export decision on Form 3-177.</p>	<p>1: Trade (Broker/Exporter) : Trade uploads copies of any other agency documents associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>Trade transmits data elements associated with any other agency information associated with the export of the shipment directly to FWS wildlife inspectors at the authorized port of exit as part of the electronic Form 3-177 data elements filed in eDecs.</p> <p>2: FWS: FWS Wildlife Inspectors at the authorized port of exit review the documents or data elements in eDecs as part of their determination of the clearance for export decision on Form 3-177.</p>

Current Processes	Transition Processes	To – Be Processes
<b>Transaction Documents (e.g., invoices, packing lists, loan agreements, legal agreements, power of attorney)</b> MSG Set = Yes DIS = No		
<p>1: Trade (Broker/Exporter): Trade files FWS Form 3-177 data elements electronically through FWS electronic filing system ( eDecs-approximately 90% of the time) or submits FWS Form 3-177 paper form to FWS wildlife inspector at the authorized port of entry. Trade must receive clearance from FWS prior to release from Customs custody at the border.</p> <p>2: FWS-eDecs: FWS eDecs validates filing; runs business rules on mandatory data elements; runs business rules on import/export license and protected species permit/certificate validity and requirements; runs risk criteria; runs enforcement validations.</p> <p>3: FWS: FWS Wildlife Inspector at the port of entry reviews Form 3-177 data elements (and other documents described below) and eDecs validation/rule responses to make import clearance decision or FWS reviews paper 3-177 Form and conducts validation/business rules checks in FWS law enforcement system.</p>	<p>1: Trade (Broker/Exporter): Trade files FWS Form 3-177 data elements electronically through FWS eDecs at the authorized port of entry. Trade must receive clearance from FWS prior to release from Customs custody at the border.</p> <p>2: FWS-eDecs: FWS eDecs validates filing; runs business rules on mandatory data elements; runs business rules on import/export license and protected species permit/certificate validity and requirements; runs risk criteria; runs enforcement validations.</p> <p>3: FWS: FWS Wildlife Inspector at the port of entry reviews Form 3-177 data elements (and other documents described below) and eDecs validation/rule responses to make import clearance decision.</p>	TBD

Current Processes	Transition Processes	To – Be Processes
4: FWS-eDecs  FWS: FWS eDecs transmits clearance decision electronically to filer if data submitted through eDecs.  : : FWS provides paper import clearance decision to trade.  5: Trade: Trade provides FWS import decision to CBP?	4: FWS eDecs: FWS eDecs transmits clearance decision electronically to filer.  5: Trade: Trade provides FWS clearance decision to CBP?	

Current Processes	Transition Processes	To – Be Processes
<b>CITES Document issued by foreign exporting or re-export government (CITES Export Permit, CITES Re-export Certificate, CITES Other Permit).</b> MSG Set = No DIS = Yes		
1: Trade (Broker/Exporter): Trade submits original paper Foreign-issued CITES document directly to FWS wildlife inspectors at the authorized port of entry as part of the hard copy Form 3-177 document package or as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original CITES paper document as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits original paper Foreign-issued CITES document directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original CITES paper document as part of their determination of the clearance for import decision on Form 3-177.	TBD

Current Processes	Transition Processes	To – Be Processes
<b>CITES Import Permit issued by FWS</b> MSG Set = No DIS = Yes		
1: Trade (Broker/Exporter): Trade submits original paper FWS-issued CITES document directly to FWS wildlife inspectors at the authorized port of entry as part of the hard copy Form 3-177 document package or as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original CITES paper document as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits original paper FWS-issued CITES document directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original CITES paper document as part of their determination of the clearance for import decision on Form 3-177.	TBD

Current Processes	Transition Processes	To – Be Processes
<b>Wildlife Export and Re-export Permits issued by Foreign Government</b> MSG Set = No; DIS = Yes		
1: Trade (Broker/Exporter): Trade submits original paper Foreign-issued export/re-export document directly to FWS wildlife inspectors at the authorized port of entry as part of the hard copy Form 3-177 document package or as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original paper permits as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits original paper Foreign-issued export/re-export document directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original paper permits as part of their determination of the clearance for import decision on Form 3-177.	TBD

Current Processes	Transition Processes	To – Be Processes
<b>Protected Species Permits Issued by FWS</b> MSG Set = No DIS = Yes		
1: Trade (Broker/Exporter): Trade submits original paper FWS-issued protected species permits directly to FWS wildlife inspectors at the authorized port of entry as part of the hard copy Form 3-177 document package or as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original paper permits as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits original paper FWS-issued protected species permits directly to FWS wildlife inspectors at the authorized port of entry or as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the port of entry review the original paper permits as part of their determination of the clearance for import decision on Form 3-177.	TBD



Current Processes	Transition Processes	To – Be Processes
<b>Transportation Documents (e.g., bill of lading, air waybill, rail bill, booking documents; specification of cargo)</b> MSG Set = No DIS = Yes		
1: Trade (Broker/Exporter): Trade submits copies of any transportation documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits uploads scanned copies of any transportation documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	TBD

Current Processes	Transition Processes	To – Be Processes
<b>Transaction Documents (e.g., invoices, packing lists, loan agreements, legal agreements, power of attorney)</b> MSG Set = No DIS = Yes		
1: Trade (Broker/Exporter): Trade submits copies of any transaction documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits uploads scanned copies of any transportation documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	BD

Current Processes	Transition Processes	To – Be Processes
<b>Commodity Specific Documents (e.g., copies of hunting licenses; tag or tatoo lists, catalog of specimens, species inventory records, accession records)</b> MSG Set = No DIS = Yes		
1: Trade (Broker/Exporter): Trade submits uploads scanned copies of any commodity specific documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits uploads scanned copies of any commodity specific documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	TBD

Current Processes	Transition Processes	To – Be Processes
<b>U.S. government documents such as customs entry, USDA veterinary permits, CDC permits, ATA carnet</b> MSG Set = No DIS = No		
1: Trade (Broker/Exporter): Trade submits copies of any other government agency documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the hard copy Form 3-177 document package or uploaded as scanned documents as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	1: Trade (Broker/Exporter): Trade submits uploads scanned copies of any other government agency documents associated with the import of the shipment directly to FWS wildlife inspectors at the authorized port of entry as part of the electronic Form 3-177 data elements filed in eDecs.  2: FWS: FWS Wildlife Inspectors at the authorized port of entry review the documents as part of their determination of the clearance for import decision on Form 3-177.	TBD

Current Processes	Transition Processes	To – Be Processes
<b>23 NHTSA</b>		
<b>Box 6 Copy of Official Orders</b> Official Orders for tour of duty in United States (Foreign Diplomat) MSG Set = No; DIS = Yes		
1: CBP: An HS-7 declaration made must be accompanied by a copy of the importer's official orders, which are provided to CBP at the time of entry. If paper or electronic ACS entry, must be provided to Port personnel.  2: CBP: Mails official orders to NHTSA. If paper entry, CBP mails orders along with paper HS-7 to NHTSA.  3: NHTSA: Reviews paper orders in accordance with regulation	1: CBP: An HS-7 declaration made must be accompanied by a copy of the importer's official orders, which are provided to CBP at the time of entry. If paper entry, must be provided to Port personnel. If ACE entry, orders uploaded to DIS  2: CBP: If paper entry, CBP mails orders along with paper HS-7 to NHTSA. If electronic entry, the orders will be in DIS. If DIS inoperable, the importer may make a paper entry, the associated documents may be mailed by CBP to NHTSA.  3: NHTSA: Reviews paper orders or DIS image of orders in accordance with regulation.	1: CBP: An HS-7 declaration made must be accompanied by a copy of the importer's official orders, which are provided to CBP at the time of entry. If paper entry, must be provided to Port personnel. If ACE entry, orders uploaded to DIS  2: CBP: If paper entry, CBP mails orders along with paper HS-7 to NHTSA. If electronic entry, the orders will be in DIS  3: NHTSA: Reviews paper orders or DIS image of orders in accordance with regulation

Current Processes	Transition Processes	To – Be Processes
<b>Box 2B Manufacturer's Conformity Letter</b> Canadian Motor Vehicle Safety Standards MSG Set: No; DIS = Yes		
1: CBP: For Canadian-certified vehicles imported for personal use, the importer must provide CBP at the time of entry with a letter from the vehicle's original manufacturer stating that the vehicle is in virtual compliance with the US safety standards  2: CBP: On behalf of NHTSA, CBP reviews the contents of the manufacturer's letter  3: CBP: May contact NHTSA for assistance  4: NHTSA: Assists CBP as requested	1: CBP: For Canadian-certified vehicles imported for personal use, the importer must provide CBP at the time of entry with a letter from the vehicle's original manufacturer stating that the vehicle is in virtual compliance with the US safety standards. Alternately, the importer may upload the manufacturer's letter to DIS as part of an ACE entry.  2: CBP: CBP reviews the contents of the manufacturer's letter. Alternately, ACE checks for the presence of the manufacturer in DIS. If missing, the entry is rejected.  3: CBP: May contact NHTSA for assistance  4: NHTSA: Assists CBP as requested or if ACE entry, reviews the manufacturer's letter in the DIS	1: CBP: For Canadian-certified vehicles imported for personal use, the importer must provide CBP at the time of entry with a letter from the vehicle's original manufacturer stating that the vehicle is in virtual compliance with the US safety standards. Alternately, the importer may upload the manufacturer's letter to DIS as part of an ACE entry.  2: : CBP reviews the contents of the manufacturer's letter if paper entry. Alternately, ACE checks for the presence of the manufacturer in DIS. If missing, the entry is rejected.  3: CBP: May contact NHTSA for assistance if paper entry  4: NHTSA: Assists CBP as requested for paper entry or if ACE entry, reviews the manufacturer's letter in the DIS

Current Processes	Transition Processes	To – Be Processes
<b>NHTSA HS-474 [NHTSA_01] (HS-7 Box 3)</b> Bond to Ensure Conformance with motor vehicle safety and bumper standards MSG Set: No; DIS = Yes		
1: CBP: The importer must provide CBP at the time of entry with a copy of the DOT conformance bond.  2: CBP: On behalf of NHTSA, CBP reviews the DOT conformance bond  3: NHTSA: NHTSA receives a copy of the DOT conformance bond from the registered importer after entry	1: CBP: The importer must provide CBP at the time of entry with a copy of the DOT conformance bond. Alternately, the importer may upload to DIS a copy of the DOT conformance bond.  2: CBP: On behalf of NHTSA, CBP reviews the DOT conformance bond. Alternately, ACE checks for the presence of the DOT conformance bond in the DIS. If it is not present the entry is rejected.  3: NHTSA: NHTSA receives a copy of the DOT conformance bond from the registered importer after entry	1: CBP: For paper entries, the importer must provide CBP at the time of entry with a copy of the DOT conformance bond. Alternately, as part of an ACE entry, the importer may upload to DIS a copy of the DOT conformance bond.  2: CBP: For paper entries, on behalf of NHTSA, CBP reviews the DOT conformance bond. Alternately, ACE checks for the presence of the DOT conformance bond in the DIS. If it is not present the entry is rejected.  3: NHTSA: For paper entries, NHTSA receives a copy of the DOT conformance bond from the registered importer after entry. Alternately, as part of an ACE entry, NHTSA reviews the DOT conformance bond in DIS  4: CBP: NOTE: IF CBP TRANSITIONS THE DOT CONFORMANCE BOND TO ITS EBOND PROGRAM, NO DIS IMAGE WILL BE NEEDED AS PART OF AN ACE FILING.

Current Processes	Transition Processes	To – Be Processes
<b>Box 12 Copy of Official Orders</b> Official Orders for tour of duty in United States (Foreign Military) MSG Set: No; DIS = Yes		
1: CBP: An HS-7 declaration made must be accompanied by a copy of the importer's official orders, which are provided to CBP at the time of entry. If paper entry, must be provided to Port personnel. If ACE entry, orders uploaded to DIS  2: CBP: If paper entry, CBP mails orders along with paper HS-7 to NHTSA. If electronic entry, the orders will be in DIS. If DIS inoperable, the importer may make a paper entry, the associated documents may be mailed by CBP to NHTSA.  3: NHTSA: Reviews paper orders or DIS image of orders in accordance with regulation.	1: CBP: An HS-7 declaration made must be accompanied by a copy of the importer's official orders, which are provided to CBP at the time of entry. If paper entry, must be provided to Port personnel. If ACE entry, orders uploaded to DIS  2: CBP: If paper entry, CBP mails orders along with paper HS-7 to NHTSA. If electronic entry, the orders will be in DIS. If DIS inoperable, the importer may make a paper entry, the associated documents may be mailed by CBP to NHTSA.  3: NHTSA: Reviews paper orders or DIS image of orders in accordance with regulation.	1: CBP: An HS-7 declaration made must be accompanied by a copy of the importer's official orders, which are provided to CBP at the time of entry. If paper entry, must be provided to Port personnel. If ACE entry, orders uploaded to DIS  2: CBP: If paper entry, CBP mails orders along with paper HS-7 to NHTSA. If electronic entry, the orders will be in DIS  3: NHTSA: Reviews paper orders or DIS image of orders in accordance with regulation



Current Processes	Transition Processes	To – Be Processes
<b>Box 9 Incomplete Vehicle Document</b> Manufacturer's instruction for vehicle to comply with safety standards MSG Set: Yes; DIS = No		
1: CBP: The importer ensures that the incomplete vehicle document (IVD) accompanies the entry. On behalf of NHTSA, CBP ensures its availability  2: NHTSA: NHTSA may request a copy of the IVD	1: CBP: For paper entries, the importer ensures that the incomplete vehicle document (IVD) accompanies the entry. On behalf of NHTSA, CBP ensures its availability. Alternately, the importer uploads the IVD to DIS. ACE checks for the IVD's presence in DIS and if it is not present, rejects the entry.  2: NHTSA: NHTSA may request a copy of the IVD from CBP. Alternately, if an ACE entry, NHTSA may review the IVD in DIS	1: CBP: For paper entries, the importer ensures that the incomplete vehicle document (IVD) accompanies the entry. On behalf of NHTSA, CBP ensures its availability. Alternately, the importer uploads the IVD to DIS. ACE checks for the IVD's presence in DIS and if it is not present, rejects the entry.  2: NHTSA: For paper entries, NHTSA may request a copy of the IVD from CBP. Alternately, if an ACE entry, NHTSA may review the IVD in DIS
<b>NHTSA HS-7</b> Declaration Form MSG Set: Yes; DIS = No		
1: CBP: If a paper entry, the importer must file an HS-7 declaration with CBP at the time of entry. If an electronic ACS entry, the broker files HS-7 data electronically and a paper copy may be requested by Port personnel.  2: CBP/NHTSA: If paper entry, CBP mails the paper HS-7 to NHTSA. If ACS entry, NHTSA/CBP review the electronic entry in ACS.	1: CBP: If a paper entry, the importer must file an HS-7 declaration with CBP at the time of entry. If an electronic ACS entry, the broker files HS-7 data electronically and a paper copy may be requested by Port personnel.  2: CBP/NHTSA: If paper entry, CBP mails the paper HS-7 to NHTSA. If ACS entry, NHTSA/CBP review the electronic entry in ACS. If an ACE entry, HS-7 data elements are programmed into the PGA Message Set.	1: CBP: If a paper entry, the importer must file an HS-7 declaration with CBP at the time of entry. If an electronic ACS entry, the broker files HS-7 data electronically and a paper copy may be requested by Port personnel.  2: CBP/NHTSA: If paper entry, CBP mails the paper HS-7 to NHTSA. If ACS entry, NHTSA/CBP review the electronic entry in ACS. If an ACE entry, HS-7 data elements are programmed into the PGA Message Set.

Current Processes	Transition Processes	To – Be Processes
3: NHTSA: If a paper entry, NHTSA reviews paper HS-7 forms received from CBP in accordance with regulation. If ACS entry, NHTSA reviews the electronic entry two ways: 1) via ACS mainframe access or 2) in the agency’s database after the ACS trade data is transmitted from CBP to NHTSA.	3: NHTSA: If a paper entry, NHTSA reviews paper HS-7 forms received from CBP in accordance with regulation. If ACS entry, NHTSA reviews the electronic entry two ways: 1) via ACS mainframe access or 2) in the agency’s database after the ACS trade data is transmitted from CBP to NHTSA. If an ACE entry, NHTSA will review the HS-7 data elements from the PGA Message Set in the ACE GUI portal or in the agency’s database, once the trade data is received from CBP via sFTP protocol.	3: NHTSA: If a paper entry, NHTSA reviews paper HS-7 forms received from CBP in accordance with regulation. If ACS entry, NHTSA reviews the electronic entry two ways: 1) via ACS mainframe access or 2) in the agency’s database after the ACS trade data is transmitted from CBP to NHTSA. If an ACE entry, NHTSA will review the HS-7 data elements from the PGA Message Set in the ACE GUI portal or in the agency’s database, once the trade data is received from CBP via sFTP protocol.

Current Processes	Transition Processes	To – Be Processes
<b>24 NMFS</b>		
<b>Highly Migratory Species (HMS) Program Documents</b> Statistical Documents and Re-Export Certificates required by treaty/convention for international regional fisheries management and the US HMS International Trade Permit MSG Set = Yes; DIS = Yes		
1: Importer/Broker: Obtain an NMFS HMS International Trade Permit  2: NMFS: Issuance of HMS International Trade Permit to importer  3: Importer/Broker: Submit AES or AES Direct Filing to CBP/Census  4: CBP: Clearance/Authorization of Entry filing and release of shipment/product based on Entry filing	1: Importer/Broker: Obtain HMS International Trade Permit from NMFS  2: NMFS: Issuance of HMS International Trade Permit to importer  3: Importer/Broker: File AES filing as required by Census/CBP via ACE/AES or AES Direct  4: Importer/Broker: File Export Message Set filing of required data as determined/established by NMFS as necessary to support and complete an AES electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other related law	1: Importer/Broker: Obtain NMFS International Fisheries Trade Permit (new comprehensive international trade permit system to replace HMS trade permit and include other NMFS permit requirements with a single permit)  2: NMFS: Issuance of NMFS International Fisheries Trade Permit to Exporter  3: Importer/Broker: File Export filing as required by CBP/Census via AES/ABI – AES Direct  4: Importer/Broker: AES/ACE NMFS Export Message Set filing of required data as determined/established by NMFS as necessary to support and complete an AES electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other US law

Current Processes	Transition Processes	To – Be Processes
<p>5: Importer/Broker: Submit to NMFS, copies of the required international statistical and/or re-export documents as required for the product and circumstances involved, (within the designated time after Entry filing – usually 24 hours after Entry filing)</p> <p>Delivery of completed forms to NMFS dependent upon options available and the form and/or product involved;</p> <ul style="list-style-type: none"> <li>• Paper copies delivered by mail, courier or other physical delivery options</li> <li>• Via electronic (email) delivery where authorized/facilitated options are in place for some forms</li> </ul>	<p>5: Importer/Broker: DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through AES (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>6 : CBP/Census: ACE/AES automated data checks of AES Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>7: CBP/Census: AES/ACE automated checks of presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>	<p>5: Importer/Broker: Filer DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>6: CBP/Census: AES/ACE automated validation of submitted International Fisheries Trade Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid International Fisheries Trade Permit</p> <p>7: CBP/Census: AES/ACE automated data checks of Export Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>

Current Processes	Transition Processes	To – Be Processes
<p>6: Census: Export Data authorized for NMFS consumption provided to NMFS via Compact Disc each month</p> <p>7: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>8: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/CBP and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p> <p>9: CBP/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>	<p>8: CBP: AES/ACE automated checks for presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>9: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Export filer, AES/ACE and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p>
	<p>10: CBP/NMFS/Census: Export Data and Export Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>11: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>10: CBP/NMFS/Census: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>11: CBP/NMFS/Census: Export filing and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>12: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>

Current Processes	Transition Processes	To – Be Processes
<b>Antarctic Marine Living Resources (AMR) Program Documents</b> Statistical Documents and Re-Export Certificates required by treaty/convention for international regional fisheries management and the US HMS International Trade Permit PGS Messages = No; DIS = Yes		
1: Importer/Broker: Obtain an NMFS Antarctic Marine Living Resources Trade Permit  2: NMFS: Issuance of an NMFS Antarctic Marine Living Resources Trade Permit to importer  3: Importer/Broker: Submit Export Filing to CBP/Census  4: Importer/Broker: Submit copies of required AMR Program forms to CBP as required, including required copies of Dissostichus Catch Documents, Reporting Form for Catch Documents and as appropriate/required Dissostichus Re-Export Documents	1: Importer/Broker: Obtain an NMFS Antarctic Marine Living Resources Trade Permit  2: NMFS: Issuance of an NMFS Antarctic Marine Living Resources Trade Permit  3: Importer/Broker: File Export filing as required by Census/CBP via AES/ABI – AES Direct  4: Importer/Broker: File AES (ABI) – AES Direct the NMFS Export Message Set filing of required data as determined/established by NMFS as necessary to support and complete an AES/ACE electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other related law. The message set will include the AMR Permit Number.	1: Importer/Broker: Obtain NMFS International Fisheries Trade Permit (new comprehensive international trade permit system to replace AMR trade permit and include other NMFS permit requirements with a single permit)  2: NMFS: Issuance of International Fisheries Trade Permit to importer  3: Importer/Broker: File Export filing as required by CBP/Census via ACE/AES – AES Direct  4: Importer/Broker: ACE (ABI) NMFS Export Message Set filing of required data as determined/established by NMFS as necessary to support and complete an ACE/AES electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other US law. . The message set will include the International Fisheries Trade Permit

Current Processes	Transition Processes	To – Be Processes
<p>5: CBP/Census: Clearance/Authorization of Export filing and release of shipment/product based on Export filing and supporting information</p> <p>6: Importer/Broker: Submit copies of required AMR Program forms to NMFS including copies of Dissostichus Catch Documents, Reporting Form for Catch Documents and as appropriate/required Dissostichus Re-Export Documents</p>	<p>5: Importer/Broker: DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through AES (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>6: CBP/Census: ACE/AES automated validation of submitted AMR Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid HMS permits</p>	<p>5: Importer/Broker: Filer DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE/AES (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>6: CBP/Census: ACE/AES automated validation of submitted International Fisheries Trade Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid International Fisheries Trade Permits</p>
<p>7: Census: Export Data authorized for NMFS consumption provided to NMFS via Compact Disc each month</p> <p>8: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>7: CBP: ACE/AES automated data checks of Export Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>8: CBP: ACE/AES automated checks of presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>	<p>7: CBP/Census: ACE/AES automated data checks of PGA Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>8: CBP/Census: ACE/AES automated checks for presence of the DIS required forms associated with the Export and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>

Current Processes	Transition Processes	To – Be Processes
	<p>9: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/AES – CBP/Census and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p> <p>10: CBP/Census/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>	<p>9: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/AES – CBP/Census and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p> <p>10: CBP/Census/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>
	<p>11: CBP/Census/NMFS: Entry and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>12: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>11: CBP/Census/NMFS: Export and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>12: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>



Current Processes	Transition Processes	To – Be Processes
<b>Highly Migratory Species (HMS) Program Documents</b> PGS Messages = No; DIS = Yes		
1: Importer/Broker: Obtain an NMFS HMS International Trade Permit  2: NMFS: Issuance of HMS International Trade Permit to importer	1: Importer/Broker: Obtain HMS International Trade Permit from NMFS  2: NMFS: Issuance of HMS International Trade Permit to importer	1: Importer/Broker: Obtain NMFS International Fisheries Trade Permit (new comprehensive international trade permit system to replace HMS trade permit and include other NMFS permit requirements with a single permit)  2: NMFS: Issuance of NMFS International Fisheries Trade Permit to importer
3: Importer/Broker: Submit Entry Filing to CBP  4: CBP: Clearance/Authorization of Entry filing and release of shipment/product based on Entry filing	3: Importer/Broker: File Entry filing as required by CBP via ACE/ABI  4: Importer/Broker: File ACE (ABI) NMFS PGA Message Set filing of required data as determined/established by NMFS as necessary to support and complete an ACE electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other related law	3: Importer/Broker: File Entry filing as required by CBP via ACE/ABI  4: Importer/Broker: ACE (ABI) NMFS PGA Message Set filing of required data as determined/established by NMFS as necessary to support and complete an ACE electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other US law

Current Processes	Transition Processes	To – Be Processes
<p>5: Importer/Broker: Submit to NMFS, copies of the required international statistical and/or re-export documents as required for the product and circumstances involved, (within the designated time after Entry filing – usually 24 hours after Entry filing)</p> <p>Delivery of completed forms to NMFS dependent upon options available and the form and/or product involved;</p> <ul style="list-style-type: none"> <li>• Paper copies delivered by mail, courier or other physical delivery options</li> <li>• Via electronic (email) delivery where authorized/facilitated options are in place for some forms</li> </ul>	<p>5: Importer/Broker: DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>6: CBP: ACE automated validation of submitted HMS Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid HMS permits</p>	<p>5: Importer/Broker: Filer DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>6: CBP: ACE automated validation of submitted International Fisheries Trade Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid International Fisheries Trade Permits</p>
<p>6: CBP: Entry Data authorized for NMFS consumption provided to NMFS via Compact Disc each month</p> <p>7: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>7 : CBP: ACE automated data checks of PGA Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>8 : CBP: ACE automated checks of presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>	<p>7: CBP: ACE automated data checks of PGA Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>8: CBP: ACE automated checks for presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>

Current Processes	Transition Processes	To – Be Processes
	<p>9: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/CBP and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p> <p>10: CBP/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>	<p>9: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/CBP and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p> <p>10: CBP/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>
	<p>11: CBP/NMFS: Entry and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>12: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>11: CBP/NMFS: Entry and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>12: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>

Current Processes	Transition Processes	To – Be Processes
<b>Antarctic Marine Living Resources Program Documents (AMR)</b> PGS Messages = No; DIS = Yes		
1: Importer/Broker: Obtain an NMFS Antarctic Marine Living Resources Trade Permit  2: NMFS: Issuance of an NMFS Antarctic Marine Living Resources Trade Permit to importer	1: Importer/Broker: Obtain an NMFS Antarctic Marine Living Resources Trade Permit  2: NMFS: Issuance of an NMFS Antarctic Marine Living Resources Trade Permit	1: Importer/Broker: Obtain NMFS International Fisheries Trade Permit (new comprehensive international trade permit system to replace AMR trade permit and include other NMFS permit requirements with a single permit)  2: NMFS: Issuance of International Fisheries Trade Permit to importer
3: Importer/Broker: For frozen toothfish product only – At least 15 days prior to import, obtain an Entry number for the shipment and submit an application to NMFS for pre-approval of import. Receive Toothfish Import Approval Form (also called Pre-Approval of Catch Documents of Toothfish) prior to proceeding with Entry filing  4: NMFS: Review application / request for authorization to import frozen toothfish and issue Toothfish Import Approval Documentation to Importer	3: Importer/Broker: For frozen toothfish product only – At least 15 days prior to import, obtain an Entry number for the shipment and submit an application to NMFS for pre-approval of import. Receive Toothfish Import Approval Form (also called Pre-Approval of Catch Documents of Toothfish) prior to proceeding with Entry filing  4: NMFS: Review application / request for authorization to import frozen toothfish and issue Toothfish Import Approval Documentation to Importer	3: Importer/Broker: File Entry filing as required by CBP via ACE/ABI  4: Importer/Broker: For frozen toothfish product only – At least 15 days prior to import, obtain an Entry number for the shipment and submit an application to NMFS for pre-approval of import. Receive Toothfish Import Approval Form (also called Pre-Approval of Catch Documents of Toothfish) prior to proceeding with Entry filing

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Current Processes	Transition Processes	To – Be Processes
<p>5: Importer/Broker: Submit Entry Filing to CBP</p> <p>6: Importer/Broker: Submit copies of required AMR Program forms to CBP. For frozen toothfish Submit copy of Toothfish Import Approval Form (also called Pre-Approval of Catch Documents of Toothfish) or for Fresh Air shipped toothfish, submit to CBP required copies of Dissostichus Catch Documents, Reporting Form for Catch Documents and as appropriate/required Dissostichus Re-Export Documents</p>	<p>5: Importer/Broker: File Entry filing as required by CBP via ACE/ABI</p> <p>6: Importer/Broker: File ACE (ABI) NMFS PGA Message Set filing of required data as determined/established by NMFS as necessary to support and complete an ACE electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other related law. The message set will include the AMR Permit Number and, for frozen toothfish, the number for the of Toothfish Import Approval</p>	<p>5: NMFS: Review application / request for authorization to import frozen toothfish and issue Toothfish Import Approval Documentation to Importer</p> <p>6: Importer/Broker: ACE (ABI) NMFS PGA Message Set filing of required data as determined/established by NMFS as necessary to support and complete an ACE electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other US law. . The message set will include the International Fisheries Trade Permit Number and, for frozen toothfish, the number for the of Toothfish Import Approval</p>
<p>7: CBP: Clearance/Authorization of Entry filing and release of shipment/product based on Entry filing and supporting information</p> <p>8: Importer/Broker: Submit copies of required AMR Program forms to NMFS. For Fresh Air shipped toothfish, submit to NMFS the required copies of Dissostichus Catch Documents, Reporting Form for Catch Documents and as appropriate/required Dissostichus Re-Export Documents</p>	<p>7: Importer/Broker: DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>8: CBP: ACE automated validation of submitted AMR Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid HMS permits</p>	<p>7: Importer/Broker: Filer DIS submission of all required accompanying statistical document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>8: CBP: ACE automated validation of submitted International Fisheries Trade Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid International Fisheries Trade Permits</p>

Current Processes	Transition Processes	To – Be Processes
<p>9: CBP: Entry Data authorized for NMFS consumption provided to NMFS via Compact Disc each month</p> <p>10: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>9: CBP: ACE automated validation of submitted Toothfish Import Approval Number from PGA Message Set in reconciliation with NMFS provided data base of valid of Toothfish Import Approval.</p> <p>10: CBP: ACE automated data checks of PGA Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>	<p>9: CBP: ACE automated validation of submitted Toothfish Import Approval Number from PGA Message Set in reconciliation with NMFS provided data base of valid of Toothfish Import Approval.</p> <p>10: CBP: ACE automated data checks of PGA Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>
	<p>11: CBP: ACE automated checks of presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>12: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/CBP and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p>	<p>11: CBP: ACE automated checks for presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>12: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/CBP and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p>

Current Processes	Transition Processes	To – Be Processes
	<p>13: CBP/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>14: CBP/NMFS: Entry and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>	<p>13: CBP/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>14: CBP/NMFS: Entry and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>
	15: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements	15: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements
<b>NOAA 370 Program Documents (370)</b> PGS Messages = No; DIS = Yes		
<p>1: Importer/Broker: Submit Entry Filing to CBP</p> <p>2: Importer/Broker: Submit copies of required 370 Program forms to CBP</p>	<p>1: Importer/Broker: File Entry filing as required by CBP via ACE/ABI</p> <p>2: Importer/Broker: File ACE (ABI) NMFS PGA Message Set filing of required data as determined/established by NMFS as necessary to support and complete an ACE electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other related law.</p>	<p>1: Importer/Broker: Obtain NMFS International Fisheries Trade Permit (new comprehensive international trade permit system to replace AMR trade permit and include other NMFS permit requirements with a single permit)</p> <p>2: NMFS: Issuance of International Fisheries Trade Permit to importer</p>

Current Processes	Transition Processes	To – Be Processes
<p>3: CBP: Clearance/Authorization of Entry filing and release of shipment/product based on Entry filing and supporting information</p> <p>4: Importer/Broker: Submit copies of required 370 Program forms to NMFS.</p> <ul style="list-style-type: none"> <li>• Paper form copies may be submitted via mail, courier or other appropriate delivery solutions</li> <li>• Under some circumstances, authorization is provide for electronic submission of documents to NMFS (via email)</li> <li>• An ongoing pilot test using email involving one broker is currently in progress which includes submission of documents to both NMFS and CBP DIS via email</li> </ul>	<p>3: Importer/Broker: DIS submission of all required NOAA 370 forms and accompanying document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>4: CBP: ACE automated data checks of PGA Message Set for the presence of required records , codes and fields – (syntax confirmation – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p>	<p>3: Importer/Broker: File Entry filing as required by CBP via ACE/ABI</p> <p>4: Importer/Broker: File ACE (ABI) NMFS PGA Message Set filing of required data as determined/established by NMFS as necessary to support and complete an ACE electronic cargo release “decision/authorization” pursuant to NMFS regulatory requirements or other related law. The message set will include the International Fisheries Trade Permit Number</p>



Current Processes	Transition Processes	To – Be Processes
<p>5: CBP: Entry Data authorized for NMFS consumption provided to NMFS via Compact Disc each month</p> <p>6: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>5: CBP: ACE automated checks of presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>6: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/CBP and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p>	<p>5: Importer/Broker: DIS submission of all required NOAA 370 forms and accompanying document forms and/or re-export forms</p> <ul style="list-style-type: none"> <li>• Via “upload” through ACE (ABI) process to DIS “at the time of Entry filing” or</li> <li>• Via email as attachment to DIS “at the time of Entry filing”</li> </ul> <p>6: CBP: ACE automated validation of submitted International Fisheries Trade Permit Number from PGA Message Set in reconciliation with NMFS provided data base of valid International Fisheries Trade Permits</p>
	<p>8: CBP/NMFS: Entry and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>9: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>	<p>8: CBP: ACE automated checks of presence of the DIS required forms associated with the Entry and PGA Message Set – no in person visual inspection anticipated unless inspectors/officers determine need or unless random checks are conducted)</p> <p>9: ALL: Use of Interoperable Web Service (IWS) system to system messaging between Entry filer, ACE/CBP and PGA to facilitate both automated and manual communications to fulfill filing, authorization and clearance requirements</p>
		<p>10: CBP/NMFS: Document Images from DIS, provided by CBP to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS use in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p>

Current Processes	Transition Processes	To – Be Processes
		<p>11: CBP/NMFS: Entry and Message Set data provided to NMFS via Secure File Transfer Protocol (SFTP) for use by NMFS in conducting post release regulatory compliance assessments and facilitating international reporting obligations</p> <p>12: NMFS: Post-Release monitoring for compliance with required reporting, permitting and other regulatory requirements</p>

Current Processes	Transition Processes	To – Be Processes
25 TTB		
In Process MSG Set = Yes; DIS = No		
	4	
Current Processes	Transition Processes	To – Be Processes

**26 FDA****General FDA Processing**

MSG Set = Yes; DIS = No

Within the current FDA/CBP electronic interface, Automated Commercial System (ACS) operated by CBP, submission of FDA import cargo admissibility data by filers regards: (1) FDA product code; (2) country of origin (Production for FDA); (3) name of [foreign] manufacturer; (4) name of shipper and (5) an Affirmation of Compliance. These five data elements; provided to the FDA to date, does not include all of the data elements that the FDA may legally collect.	The FDA will shortly stand-up a new interface (IWS- Inter-operability Web Services) to CBP to accommodate the new ACE/ITDS PGA Message Set. The FDA's data requirements under the Automated Commercial Environment (ACE) are outlined in FDA's Supplemental Guide (SG) and the FDA's Syntax Business Rules. FDA co-hosted a technical working group with CBP for the trade community to review and refine the FDA's SG is and educate the trade (e.g. importers, brokers and software developers) on the new data format of the PGA Message Set and the applicability of FDA's data requirements.	In the new ACE environment, filers will continue to submit data electronically via ABI. CBP expects to decommission the legacy ACS. ACE will be the official system of record; namely the "single-window", and incorporate the PGA Message Set for the FDA. FDA will provide to CBP [FDA] syntax business rules to allow ACE to perform initial screening of applicable data fields of the PGA Message Set. CBP will convert the flat files into an XML format and send the files to FDA via Secure File Transfer Protocol (SFTP) within the Interoperability Web Service (IWS). Once; real time, entry data is received by FDA, FDA will perform validation of the data and conduct its cargo admissibility process and send cargo disposition message back to CBP. CBP will send FDA's message to the filer.
Historically, FDA's Operational and Administrative System for Import Support (OASIS) only accommodate said data because of the capabilities of CBP's ACS to transmit files between CBP and FDA.	During the transition period, there will be opportunities for testing and pilots, and filers will be able to continue to file entry data via the Automated Broker Interface (ABI) to CBP and CBP will forward to FDA.	ACE will be able to record the status of the entry at all times during the process. FDA will continue with its required electronic entry data submissions from the Trade to CBP as it transitions from ACS to ACE.

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When entry submissions filed by the Traders/Filers to FDA contain incomplete data fields, FDA staff must manually review the transaction, query internal data systems or request missing information and documentation from the filer. This causes undue delays in the cargo admissibility entry process for both the trade and the FDA and it wastes time and resources.		The PGA Message Set now permits the FDA to collect all of the data required by its statutory mandates which could not be captured in the limited ACS/OASIS interface. FDA will offer opportunities to its FDA regulated industries to test and pilot the new CBP/FDA interface; including the PGA Message Set.
FDA deleted its FDA Entry 701 Form many years ago and to date collects its import data elements under the CBP's Form 3461. Therefore, there are no FDA forms that need to be collected electronically through ACE. FDA will require all data needed for cargo admissibility under ACE/ITDS to be under the auspices of the PGA (Partner Government Agency) Message Set.		The timelines for testing and piloting will be issued by CBP in concert with February 2014 Executive Order. FDA and CBP will establish; in collaboration, and publish system protocols for planned and unexpected downtimes for reference by the public.