

2.0 Draft

U. S. CUSTOMS AND BORDER PROTECTION

Business Rules and Process Document for Trade

**ACE Cargo Release
Business Processes**

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Change No.	Summary of Changes	Sections	Date
	<ul style="list-style-type: none">• Draft - Republished	<ul style="list-style-type: none">• All	2/8/2016

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Background:

This is a living document, issued in draft form, intended to provide an overview of processes, procedures and policy associated with the filing and release of entries using ACE—inclusive of PGA import requirements. This information is designed to assist trade users in the transition from ACS to ACE. The document captures current processing, transition and “to-be” processing identifying the end-state vision for ACE.

The document was written with the collaboration of CBP users, Participating Government Agencies (PGAs) and a broad spectrum of trade users (carriers, filers, importers, FTZ, bonded warehouse operators, terminal operators etc.). The PGA information is provided as “best available.” CBP will provide updates regularly over the next several months as processes are refined, and more information is provided from the PGAs.

CBP is encouraging interested parties to submit comments to SINGLE-WINDOW-INITIATIVE@cbp.dhs.gov which will be included in the next document release. All comments received will be included in the follow on version of the document.

The email subject line should read: Cargo Release Document Comments.

1. Introduction to ACE Cargo Release

The diagram below is intended to show the migration that has started to the New ACE. This offers guidance on where functions can be performed in CBP automated trade processing systems.

As capabilities are transitioned to ACE, they will become available as “Query only” in ACS.

ACE Cargo Release (also known as Simplified Entry) streamlines how filers transmit entry data to CBP to facilitate trade, while maintaining a strict adherence to U.S. laws. Filers are able to transmit entry information earlier allowing CBP personnel more time and resources to apply a risk-segmented approach to their inspections that allows them to focus resources on high-risk shipments while reducing transaction costs for importers.

When CBP receives ACE Cargo Release data, CBP facilitates a decision to release the cargo and transmits a message to the filer. The merchandise will then be considered entered upon its arrival in the port with the intent to distribute the cargo into the U.S. commerce.

ACE is a web-based application

- Does not change the way cargo is processed
- Provides an efficient way to [process and view cargo information
- Consolidates several existing systems and will replace ACS
- Forms trade processing backbone and risk assessment within ATS
- Enables the Trade to electronically submit manifests
- Allow CBP to retrieve and review manifests electronically

New applications used to process cargo include:

- ACE Multi-Modal Manifest
- Cargo Release (CR)
- Document Image System (DIS)
- Cargo Data Summary (CDS)
- Agriculture Programs and Trade Liaison (APTL)
- ACE Manifest

1.1. ACE Multi-Modal Manifest:

- Replaces all manifest processing formerly performed in Automated Manifest System (AMS) eliminating the use of function codes.
- Allows viewing manifests, BOLs, Airway Bills, equipment, and In-Bond data on consolidated screens. This simplifies processing by using system tools and icons that include drop-down menus, hyperlinks, buttons, and other browser technology features.
- Provides more efficient and accurate processing of cargo entering the U.S. to support CBP’s mission to enhance border security.
- Standardizes cargo processing and reporting tools across all modes of transportation helping CBPOs in performing their duties more efficiently.
- Streamlines the processing and tracking of In-Bond information consolidating In-Bond tracking into one system.
- Enhances the system messaging to Trade and PGAs.

1.2. Cargo Release

When Cargo Release was first developed, it was called Simplified Entry. About a year after it was developed, the name was changed to Cargo Release.

Note: Simplified Entry and Cargo Release are the same thing.

1.3. Document Image System Overview

DIS is where CBP will find images (e.g., invoices, forms, etc.) the Trade has submitted based on a documents required hold.

DIS also allows CBP to make additional information requests of the Trade through an email link as well as accept or reject images. If an image is rejected, an electronic message is automatically sent to the Trade.

Reference Section 9.2 PGA Message Set Overview of this document to learn more about DIS.

Also reference <http://www.cbp.gov/document/guides/ace-glossary-cargo-release-pga-data>

1.4. Cargo Data Summary

Cargo Data Summary (also known as PGA Message Set and Cargo Data View) is where PGAs go to hold an entry or to request that CBP hold an entry. CBPOs log into Cargo Data Summary to accept or deny hold requests from PGAs.

Those PGAs who have Memorandums of Understanding (MOU) or a port presence can hold entries without having to request CBP to hold the entry.

If CBP places a hold on an entry and a PGA places a hold on the same entry, each hold must be removed individually. In other words, if CBP places and removes a hold that also has a PGA hold, the PGA hold is not removed when the CBP hold is removed.

A hold placed by a PGA must be removed by the PGA.

2. The “No Hybrid” Rule

Currently, when filing electronically in ACS or in ACE, trade filers are permitted to submit a hybrid entry, transmitting the entry or entry summary information required by CBP electronically in ACS or ACE, while submitting the information required by PGAs on paper. Once ACE use is fully mandated for all entries and PGA filings, CBP is proposing to eliminate this option in favor of fully electronic or fully paper filings, with limited exceptions where hybrid submissions will still be accepted.

Hybrid Filings will be Allowed During Transition from ACS to ACE

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. On March 31, 2016, only NHTSA and APHIS (Lacey Act) will be required to be transmitted using ACE Cargo Release/Single Window datasets.

During the transition to ACE and Single window, some PGAs may not yet be ready to go to full operation due to programming and/or legal requirements not yet being satisfied. In many cases, a PGA document is required as a condition of release and it is normally submitted to CBP in paper as part of an entry package for CBP to review. Although CBP has determined that the end state for Single Window will not allow hybrid processing (electronic entries with paper supporting documentation), this process will need to be accommodated for many of the PGA during transition to ACE/Single Window. The following general rules will apply on March 31, 2016:

- Certain foreign government, treaty obligation and other original signed documents are exempt from electronic collection based on OMB rulings and must be submitted at the time of entry as paper documents. These exemptions are found at (cbp.gov ITDS)
- Information for NHTSA and APHIS (Lacey Act) must be submitted as part of the entry using the PGA message set. Except as noted in the implementation guides and this document, only PGA message set should be used. Submission of electronic facsimiles of paper forms via DIS will not be accepted in lieu of PGA message set.
- Trade can use either DIS or provide actual paper documentation with an appropriate cover sheet, identifying the entry number and documents provided, to CBP at the time of entry for all other PGA documents currently required but not yet mandatory in ACE. Additionally, CBP will continue to accept submissions via PGA message set or DIS consistent with current agency pilots for all agencies other than the 3 mandatory agencies.

DIS and PGA message set submitted documents may be reviewed by CBP users in ACE Cargo Release. CBP users may be required to verify that submissions have been made for required documentation and close out document reviews to allow release.

3. Reference Documentation

3.1. Cargo Systems Messaging Service (CSMS)

Subscribe to: *Cargo Systems Messaging Service (CSMS)* to stay current with ACE status and system messages.

CSMS is a searchable database of messages that are of interest to ABI Filers, ACE Event Participants, ACE Portal Accounts, ACE Reports Users, Air Carriers, Ocean Carriers, Periodic Monthly Statement Participants, Rail Carriers and Truck Carriers. CSMS messages can be retrieved based on a combination of keywords and filtering by group. CSMS provides the added feature of cross referencing messages from the initial search result set with related message counterparts, sorting by publish date, title and CSMS number.

E-mail Notifications – CSMS is augmented by an e-mail subscription service which provides timely notification of new messages based on each or any combination of item groups. Use the [CSMS subscription form](#) to create a new subscription account or to [change or cancel an existing account](#).

3.2. PGA Message Set chapter/implementation guides / CATAIRs

The PGA Message Set chapter/implementation guide and its related Appendix PGA can be found on CBP.gov at:

<http://www.cbp.gov/document/guidance/appendix-pga>

The ACE ABI CATAIR – Custom and Trade Automated Interface Requirements:

<http://www.cbp.gov/document/guidance/pga-message-set>

Appendix V Government Agency Codes:

<http://www.cbp.gov/document/guidance/appendix-v-government-agency-codes>

Appendix R Intended Use Codes for ACE:

<http://www.cbp.gov/document/guidance/appendix-r-intended-use-codes-ace>

Appendix B Valid Codes:

<http://www.cbp.gov/document/guidance/appendix-b-valid-codes>

Appendix C:

<http://www.cbp.gov/document/guidance/appendix-c-tariff-abbreviations>

The CATAIR chapters and appendices can be found on CBP.gov at:

<http://www.cbp.gov/trade/ace/catair>

Other related information for the CBP Document Image System may be found at:

<http://www.cbp.gov/document/forms/dis-xml-schema>

List of Valid Port Codes:

http://www.cbp.gov/sites/default/files/documents/CBP%20Port%20Codes%20041014_1.pdf

3.3. Document Imaging System (DIS)

DIS Implementation Guide

<http://www.cbp.gov/document/forms/dis-implementation-guide>




3.4. ACE Glossary for Cargo Release with PGA Data

ACE Cargo Release PGA Message Set Glossary

<http://www.cbp.gov/document/guides/ace-glossary-cargo-release-pga-data>

4. Filing an Entry for ACE

4.1. Filer generates and submits entry transaction via ABI

1. EDI transmission to ACE via datasets SE and AE is validated based on syntax rules. Note, ACE will only have one Cargo Release Data set as the Border Cargo Selectivity set (HN) is not replicated. 
2. Syntax validation fails – entry summary is rejected back to filer via ABI.
3. Syntax validation passes – entry proceeds to validation of field values and data against published business rules. 
4. Validation against business rules fails, entry is rejected back to the filer with appropriate error code.
5. Validation against business rules fails, entry is accepted with conditions.
6. Validation against business rules passes, entry is accepted and notifications sent as per business rules. 

See ACE CATAIR chapters for more information:

<http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter>

4.2. Unified Filing Cargo Release and Importer Security Filing

1. ACE Cargo release does allow for the filing of a consolidated set of entry and ISF data.

See ACE CATAIR chapters for more information:

<http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter>

4.3. Submission of Commercial Party Data

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.
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.

NOTE: Additional definitions of entity data elements for entry and entry summary will be added in the future

4.4. Entry Types Supported in ACE and Mandatory Dates

The following entry types are currently supported and working in ACE Cargo Release:

- 01 – Consumption
- 06 – Foreign Trade Zone
- 03 – Consumption – Antidumping/Countervailing Duty
- 11 – Informal
- 23 – Temporary Importation Bond (TIB)
- 51 – Defense Contract Administration Service Region (DCASR)
- 52 – Government - Dutiable

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At this time, entries of these types may be filed in ACE. Additional entry types are being added and will be added to the list when available. Expedited releases, including BRASS, FAST and Line Release are being continued and will allow for entry summaries to be filed against entry numbers generated by these systems. Any PGA requirements for these entry types can be filed with the entry summaries.

NOTE: PGA Data Submission for FTZ Weekly Estimated Entries

PGA data submitted with entries is used by PGA for admissibility decisions. As part of this, the information is often required to be complete and accurate, often with criminal and civil penalties associated with the submission of incorrect data. Since information submitted for FTZ (06) weekly estimated entries is *estimated*, it is by its nature not complete or accurate.

As a result, CBP has made modifications to programming for 06 weekly estimated entries only that will not require PGA data to be submitted if required (a warning will be sent) and will also allow the submission of the data with the entry summary submission. It is still the responsibility of the importer to ensure that this data is submitted to CBP and the PGA.

New Timeline for Mandatory Dates

Working in close coordination with the Department of Homeland Security, the Border Interagency Executive Council, and the White House, U.S. Customs and Border Protection has been actively tracking and assessing stakeholder readiness for the mandatory filing of all electronic entries and corresponding entry summaries in the Automated Commercial Environment (ACE). While significant progress has been made, continued concerns about stakeholder readiness have necessitated an updated timeline for the mandatory transition to ACE for electronic entry and entry summary filing. This updated timeline continues to align with our December 2016 deadline for full implementation of the Single Window via ACE.

Taking into consideration the input from our stakeholders, CBP has implemented a staggered approach to the mandatory filing of electronic entries and corresponding entry summaries in ACE, and the decommissioning of electronic entry/entry summary filing capabilities in the Automated Commercial System (ACS).

February 28, 2016

Beginning February 28, 2016 CBP will start divesting the legacy ACS by:

1. Offering limited Client Representative and Technology Service Desk support to the trade for ACS entry/entry summary types that are available in ACE.
2. Performing ACS maintenance during peak business hours.
3. Providing processing priority to ACE entries where corresponding ACS entries are still available.

March 31, 2016

Filers will be required to file in ACE and no longer permitted to file in ACS the following transactions.

1. Electronic **entry summaries**, associated with the following entry types, with no PGA data:
 - 01 - Consumption
 - 03 - Consumption - Antidumping/Countervailing Duty
 - 11 - Informal
 - 23 - Temporary Importation Bond (TIB)
 - 51 - Defense Contract Administration Service Region (DCASR)
 - 52 - Government - Dutiable

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2. Electronic entries **and** corresponding entry summaries, associated with the entry types listed above, with data for the following agencies:
 - Animal and Plant Health Inspection Service (APHIS) for Lacey Act, unless paired with other Partner Government Agency (PGA) data
 - National Highway Traffic Safety Administration (NHTSA), unless paired with other PGA data
 - Electronic entries and corresponding entry summaries (Entry types 01, 03, 11, 23, 51 and 52) with NHTSA data, unless paired with other PGA data on the same transaction

May 28, 2016

Filers will be required to file in ACE and no longer permitted to file in ACS the following transactions:

1. Electronic **entries, associated with the following entry** types, with no PGA data:
 - 01 - Consumption
 - 03 - Consumption - Antidumping/Countervailing Duty
 - 11 - Informal
 - 23 - Temporary Importation Bond (TIB)
 - 51 - Defense Contract Administration Service Region (DCASR)
 - 52 - Government – Dutiable

Required filing of these entries includes those with APHIS Lacey Act and NHTSA data, unless paired with other PGA data.

2. Electronic entries **and** corresponding entry summaries must be submitted for the following transactions in ACE:
 - Entry type 06 - Consumption - Foreign Trade Zone (FTZ) with no PGA data
 - Entry types 01, 03, 06, 11, 23, 51, 52 with APHIS Lacey Act data, unless paired with other PGA data on the same transaction.
 - Entry types 01, 03, 06, 11, 23, 51, 52 with NHTSA data, unless paired with other PGA data on the same transaction.

Food and Drug Administration (FDA) filings will continue to be allowed in ACS to provide more time for industry to transition to ACE. Further information will be provided on the mandatory filing in ACE for FDA data.

Summer 2016 (Specific dates to be provided)

Filers will be required to file in ACE and no longer permitted to file in ACS the following transactions.

1. Electronic **entries and entry summaries, associated with the following entry** types, with no PGA data (except for APHIS Lacey Act or NHTSA) will be deployed and must be filed in ACE:

Entry Types:

- 02 - Consumption - Quota/Visa
- 07 - Consumption - Antidumping/Countervailing Duty and Quota/Visa Combination
- 12 - Informal - Quota/Visa (other than textiles)
- 21 - Warehouse

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- 22 - Re-Warehouse

Entry Summary Types:

- 02 - Consumption - Quota/Visa
 - 07 - Consumption - Antidumping/Countervailing Duty and Quota/Visa Combination
 - 11 - Informal
 - 12 - Informal - Quota/Visa (other than textiles)
 - 21 - Warehouse
 - 22 - Re-Warehouse
 - 31 - Warehouse Withdrawal Consumption
 - 32 - Warehouse Withdrawal - Quota
 - 34 - Warehouse Withdrawal Antidumping/Countervailing Duty
 - 38 - Warehouse Withdrawal - Antidumping/Countervailing Duty & Quota/Visa Combination
2. Throughout summer 2016, the following agencies will provide, if they have not already done so, functionality for filing electronically in ACE:
- Agricultural Marketing Service (AMS);
 - Bureau of Alcohol, Tobacco and Firearms and Explosives (ATF);
 - Remaining APHIS data (APHIS Core);
 - Centers for Disease Control (CDC);
 - Defense Contract Management Agency (DCMA);
 - Directorate of Defense Trade Controls (DDTC);
 - Drug Enforcement Administration (DEA);

Optional and Available ACE Functions during Transition

In addition to the specified filing requirements for each mandatory date, electronic filings will be permitted for those wishing/opting to file in ACE prior to the mandatory filing requirements in ACE for the following:

- Entry summaries associated with entry types 01, 03, 11, 23, 51, and 52, until March 31, 2016 when they are required in ACE
- Data for APHIS Lacey Act or NHTSA, until March 31, 2016 when it is required in ACE
- Entries associated with entry types 01, 03, 11, 23, 51, and 52, until May 28, 2016 when they are required in ACE
- Entries and entry summaries associated with entry type 06, until May 28, 2016 when they are required in ACE

We would like to reiterate that the updated transition timeline aligns with the December 2016 deadline for full implementation of the Single Window via ACE. CBP appreciates all efforts from the CBP, trade community, and PGA stakeholders as we continue to work together toward the complete and successful transition to ACE.

4.5. Submission of Port Codes for ACE Cargo Release

One of the primary goals for ACE Cargo Release was to limit the administrative data elements that CBP captured in other ways and to link that data to the release. One of the key areas was in the designation

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of port code (provided in the SE dataset) as an optional or conditional data element for cargo release. If no port code is provided on the entry, ACE captures the port code from the port of arrival (or in-bond) sent from the manifest when the bill of lading matches to the entry. For most cargo release transactions without PGA information this works well and encourages the early filing of cargo release information. In some circumstance however, non-submission of the port of entry causes issues. These include:

- Cargo releases filed against subsequent in-bond filings. ACE assigns the port code based on the manifest port from the bill of lading. It will update that port based on the initial in-bond filed against the bill. If that in-bond is closed by a subsequent in-bond, the port of entry will remain with the in-bond port and a cancellation will be needed to replace the entry with a new one.
- Most PGA filings. Many PGA have coded to not require the port code in the PG message set transaction and were using the SE port code instead which is assigned by CBP. Additionally, there are often statutory and regulatory requirements that govern PGA authority including locations where goods may be entered for a PGA. Since CBP assigns a port code (when not provided by filer) at bill match, CBP may have already provided the PGA with the data they use for admissibility determination. As such, we are seeing a number of PGA rejects due to lack of a port code in either the SE or PG datasets.

RECOMMENDED SOLUTION: Filers should identify the port of entry in both the SE And PG sets to avoid issues. Cargo releases may be delayed when this issue is encountered. The SE IGs indicate that port code should be provided when providing PGA data.

5. CBP Processes Entry

5.1. Accepted Entry Filed for Cargo Release Processing (No Entry Summary Filed)

Entry filed as entry/release only is filed in ACE Cargo Release. 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 in-bond is identified, the destination port for the in-bond becomes the identified port of entry.

1. CBP reviews entry for targeting and selectivity and makes determination regarding release or hold status. NOTE: entry rejection notifications are sent immediately to the filers and do not display in the Cargo Release system.
2. CBP notifies filer of status determination (see section on status notifications and timelines) within timeframes established for each mode of transportation. For CBP purposes the filers/brokers are notified of releases or holds:
 - Truck - At time of arrival at border
 - Rail – At time of arrival or filing of enroute message by carrier
 - Ocean – 5 days prior to estimated date of arrival
 - Air – 4 hours prior to estimated date of arrival and on EDA
3. CBP notifies carrier and identified 3rd parties of entry status.
 - Truck - At time of arrival at border
 - Rail – At time of arrival or filing of enroute message by carrier
 - Ocean – 5 days prior to estimated date of arrival
 - Air – 4 hours prior to estimated date of arrival and on EDA

5.2. Accepted Entry Filed Cargo Release Certified from Summary

1. ACE EIP/RLF entry summaries may be “certified” for cargo release. Cargo release processing occurs in ACE Cargo Release.

<http://www.cbp.gov/trade/programs-administration/entry-summary/remote-location-filing>

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 the Entry. Hyperlinks are available from the ACE Cargo Release and Entry Summary systems to allow CBP users easy access for review.

Reference the DIS Implementation Guide in section: 9.3 DIS Overview and with the following link.

<http://www.cbp.gov/document/forms/dis-implementation-guide>

5.3. Accepted Entry Filed Cargo Release Certified from Summary (Remote Location Filing)

Remote Location Filing (RLF) is an electronic program which allows an approved Customs broker with a valid national permit to electronically transmit data associated with an entry in a completely electronic data interchange system to a RLF operational Customs and Border Protection location.

1. ACE EIP/RLF entry summaries may be “certified” for cargo release. Cargo release processing occurs in ACE Cargo Release. Reference Remote Location Filing by using the link below:
<http://www.cbp.gov/trade/programs-administration/entry-summary/remote-location-filing>
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 the Entry. Hyperlinks are available from the ACE Cargo Release and Entry Summary systems to allow CBP users easy access for review.

For RLF requirements, ACE Entry Summary validates that the proper trade user has filed at the correct port.

5.4. Paperless Entry

1. ACE Cargo Release does not edit to determine paperless eligibility.
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. CBP users can view these entries using the search functionality in ACE Cargo Release.
3. ACE Cargo Release has new data elements (for seller and buyer) that are not supported on the current 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.
4. **CBP is providing a modified CBP Form 3461 that is intended for limited use only for non-ABI entries by infrequent filers. It was designed to be given to CBP at the port as part of a paper entry to allow CBP to input entry data manually into ACE. It is not intended to be used in all scenarios that the current CBP Form 3461 is used for. In addition, filers can generate their own cover sheet containing all of the required data, including the legal statements and signatures, provided in the same order. CBP will provide a form fillable PDF of this form on CBP.gov**
5. Documents are only required when an entry is held for Document Review (See section 5 CBP Processes Entry). The notification will include the documents that CBP requires. Submission will be via the Document Imaging System (DIS). DIS does allow for documents to be submitted at any time.
6. Trade users are being encouraged to submit electronic versions of the documents they are currently submitting via paper for entries requiring Intensive exams. Ports should make clear to the trade which documents are needed for proper review and examination. CBP users may also generate a Document Required hold for an entry to identify specific documents needed to perform and examination.

5.5. Documents Required

1. Any documents required for an ACE Cargo release transaction will be identified in the Document Required hold message. This can be generated by ATS review (UDR) or be manually generated by a CBP user. These documents will be sent via DIS
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):
 - Packing List
 - Ingredients List
 - Bill of lading
 - Permits and Licenses
 - Foreign Government Certificates
 - PGA forms
 - PGA certification statements

Any other documentation that may be required by CBP or PGA

3. CBP users should not require paper documentation where electronic versions are available. Documents can be printed by CBP users if needed for exams but that should not be a routine process if not needed for the actual conduct of the examination.

5.6. Methods of Document Submission

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.
2. 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.

Reference section 5.4 Paperless Entry

Reference section 9.3 DIS Overview

Reference the DIS Implementation Guide

<http://www.cbp.gov/document/forms/dis-implementation-guide>

3. 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.
4. 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. On March 31, 2016, only NHTSA and APHIS (Lacey Act) will be required to be transmitted using ACE Cargo Release/Single Window datasets. During the transition to ACE and Single window, some PGAs may not yet be ready to go to full operation due to programming and/or legal requirements not yet being satisfied. In many cases, a PGA document is required as a condition of release and it is normally submitted to CBP in paper as part of an entry package for CBP to review. Although CBP has determined

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that the end state for Single Window will not allow hybrid processing (electronic entries with paper supporting documentation), this process will need to be accommodated for many of the PGA during transition to ACE/Single Window. The following general rules will apply on February 28, 2016:

- Certain foreign government, treaty obligation and other original signed documents are exempt from electronic collection based on OMB rulings and must be submitted at the time of entry as paper documents. These exemptions are found at (cbp.gov ITDS)
- Information for FDA, NHTSA and APHIS (Lacey Act) must be submitted as part of the entry using the PGA message set. Except as noted in the implementation guides and this document, only PGA message set should be used. Submission of electronic facsimiles of paper forms via DIS will not be accepted in lieu of PGA message set.
- Trade can use either DIS or provide actual paper documentation with an appropriate cover sheet, identifying the entry number and documents provided, to CBP at the time of entry for all other PGA documents currently required but not yet mandatory in ACE. Additionally, CBP will continue to accept submissions via PGA message set or DIS consistent with current agency pilots for all agencies other than the 3 mandatory agencies.

DIS and PGA message set submitted documents may be reviewed by CBP users in ACE Cargo Release. CBP users may be required to verify that submissions have been made for required documentation and close out document reviews to allow release.

5.7. Cargo is Deemed Released – Redelivery

1. Cargo being entered is deemed to be released from CBP custody when all of the following conditions are met:
 - Cargo Release (entry) is on file, accepted and a release is granted by CBP (For this discussion that is the electronic release message from ACE)
 - There are no holds or examination requirements pending. Any holds have been resolved and notifications of that closure have been sent electronically.
 - The cargo has physically arrived in the port of entry identified in the Cargo Release information and the arrival notice has been sent
2. Once cargo is deemed to be properly released (see 2.6.1), if cargo has already left CBP custody (terminal, warehouse, border area), no penalty will be assessed for misdelivery.
3. CBP Officers may make an attempt to directly ascertain if cargo is still available at the port of entry but electronic holds will not be enforced.
4. All releases are considered conditional. If CBP or PGA still needs to examine merchandise after release, a request for redelivery will be made to the relevant parties. This redelivery request may be sent after entry summary or prior to entry summary filing. ACE Cargo Release will provide the ability to electronically transmit

5.8. Importer Bonds and ACE Cargo Release

5.8.1. Overview of Bonds and Cargo Release

A continuous bond will have several transactions associated to it over a specific time period.

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.

Valid Bond Activity Type Codes are:

<u>Code</u>	<u>Description</u>
1	Importer or Broker
1A	Drawback Payments Refunds
2	Custodian of Bonded Merchandise - Continuous Bond Only-
3	International Carrier
3A	Instruments of International Traffic - Continuous Bond Only-
3A3	Carrier of International Traffic - Continuous Bond Only-
4	Foreign Trade Zone Operator - Continuous Bond Only-
5	Public Gauger - Continuous Bond Only-
6	Wool & Fur Products - Single Transaction Only-
7	Bill of Lading - Single Transaction Only-
8	Detention of Copyrighted Material - Single Transaction Only-
10	Court Costs for Condemned Goods - Single Transaction Only-
11	Airport Security Bond - Continuous Bond Only-
16	Importer Security Filing (ISF)
17	Marine Terminal Operator - Continuous Bond Only-
19	User Fee Facility Bond - Continuous Bond Only-

5.8.2. Processing Cargo Releases with Continuous Bonds

A continuous bond will have several transactions associated to it over a specific time period.

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.

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.

Continuous bonds can be queried and linked to accounts in the ACE portal and the Bond Desk at the CBP Finance Center.

Processing of cargo releases with continuous bonds is largely invisible to CBP users of ACE Cargo Release (or ACS). That will continue.

5.8.3. Processing Cargo Releases with Single Transaction Bond

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.

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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.

An electronic Single transaction bond in the e-Bond system is available for ACE Cargo Release transactions. Only E-Bond single transaction bonds can be used for cargo release processing.

Processing of cargo releases with single transaction bonds is largely invisible to CBP users of ACE Cargo Release. CBP users will require no additional processing, as system edits will be evaluating the STBs.

5.9. Cargo Release Interactions with Automated Manifests

5.9.1. Electronic Posting of Transactions and Notifications to Automated partners

ACE Cargo Release will process ABI entries where BOL and AWB are identified and post those entries to the electronic manifest. For posting purposes, it is essential that cargo release filer and manifesting carrier report the same quantity. ACE posting will apply the manifested quantity from the entry to the bill quantity. If the filer submits a manifested quantity as part of the entry in ACE Cargo Release, that quantity will be applied to the bill. If the filer does not submit a manifested quantity, ACE will apply the bill quantity when the bill and entry match occurs. ACE manifest reconciles the bill when the full quantity is applied. By mode of transportation, the quantities are applied:

- Air - Manifested quantity from the entry is applied to the house AWB.
- Ocean/Rail/Truck - Manifested quantity from the entry is applied to the master bill of lading (SCN in truck)

ACE Cargo Release and manifest send advisory notifications when entry and bill match are made. New status notifications for ACE Cargo Release include a notification that the shipment is admissible. ACE Cargo Release sends a notification to ABI (entry) parties identifying the quantity applied and bill identified. In ACE Cargo Release, unless quantity is specified, the full bill quantity is applied to the release.

ACE manifest sends a notification to manifest parties identifying the quantity applied and the bill identified. 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)

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.

That information is sent at different times for different modes of transportation.

- 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

5.9.2. Manual Posting of Cargo Release Transactions to Electronic Manifests

CBP users can add ACE ABI transactions to a manifest in two ways:

- Post the entry number to the manifest in the ACE manifest system, or
- 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 does not post, see 8.2.1.1.

Additional informal and manifest release types can be added to manifest transactions by posting same. These include:

- CBP Forms (3299, 7523)
- Regulatory Provisions (10.41.a. 10.101/102 etc.)
- Statutory provisions (Sec 321a, b, or c)
- HTSUS headnotes
- Other provisions

When these provisions are cited, the entry type is sent to the carrier and third parties from the entry type list in CATAIR Appendix B. The specific citation is sent in the entry number field.

These transactions are normally identified via the submission of paper including CBP forms, invoices, letters, and any PGA documentation required by regulation or statute.

NOTE: During Pilot to full automation of these alternate processes, this will remain in paper. Automation of these processes in ACE Cargo Release is not anticipated before the end of 2016.

5.9.3. Timing of Cargo Release Transactions in Manifest

If manifested goods arrive and no cargo release has been processed, the shipment is retained at the place of arrival (or equivalent for rail crossings) and not allowed to enter the commerce without release. For carriers with a type 3 International Carriers bond, the shipment must be held in their custody pending resolution. For non-bonded carriers, the goods must be held in CBP custody. This scenario is most likely to occur in the land border truck environment where the shipment is not allowed to proceed and is retained aboard the conveyance at the CBP facility where it arrives. In either case, shipments may be allowed to move under the following conditions:

- Cargo Release processed and released (includes CBP only releases under PGA hold intact messages)
- Bonded movement to an alternate facility
 - Permit to Transfer (including transfer for exam)
 - In-bond movement to another port
 - Immediate Export bond

5.10. Cargo Release from Paper or Non-Automated Arrival

5.10.1. Processing non-ABI entries

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.

NOTE that during Pilot and until regulatory changes are complete, CBP will accept CBP Forms 3461 and 7501 with appropriate notations for data differences (names and addresses of certain commercial parties).

CBP is working on a modified CBP Form 3461 that is intended for limited use only for non-ABI entries by infrequent filers. It was designed to be given to CBP at the port as part of a paper entry to allow CBP to input entry data manually into ACE. It is not intended to be used in all scenarios that the current CBP Form 3461 is used for. In addition, filers can generate their own cover sheet containing all of the required data, including the legal statements and signatures, provided in the same order. CBP will provide a form fillable PDF of this form on CBP.gov

NOTE: Please note that CBP has established a workflow that prioritizes fully automated shipments. CBP will only then process paper forms when all of the automated shipments are processed.

As noted, 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 the **NOTE** above.

5.10.2. Processing ABI Shipments for Non-Automated Manifests

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, re-warehouse etc. Since they are not associated to an electronic manifest, the filer/importer must notify CBP of the need for review/release. CBP users can identify these in ACE Cargo Release if required.

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.

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.

5.10.3. Proof of Release for non-automated 3rd Parties

NOTE: CBP is not planning to provide any stamped or signed documentation to the filer for ABI entries indicating release as part of its normal business process going forward. All notifications are electronic.

Filers should work with 3rd 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.

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During the transition to full automation and upon the specific request of the trade, CBP will stamp either a CBP Form 7501, 3461 or other document that identifies sufficient information to allow for 3rd parties to acknowledge a release. However, this will not be priority work and may not be done in real time dependent on procedures that the port will establish.

6. Cancellation and Correction of Entry/Cargo Release

6.1. Cancellation of Entries

Submission is fully automated via ABI. These requests are identified in ACE Cargo Release. Users are designated at each port to work these requests in the same way as current users are assigned to the cancellation desk. ACE Cargo release does not perform a physical delete of information but only puts the record into a cancelled status.

1. Filer submits cancellation request electronically. (See <http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter> SE13 record)
2. Filer selects a Reason Code (See IG for values).
 - 01 Clerical Error
 - 02 Entry replaced by CBPF 7512 (replacement in-bond number required)
 - 03 Merchandise cleared under another entry (replacement entry number required)
 - 04 Entry replaced by FTZ Admission (replacement FTZ Admission Number required)
 - 05 Merchandise cleared under informal entry
 - 06 Merchandise seized
 - 07 Merchandise destroyed
 - 08 Non-arrival
 - 09 Shipment refused by importer
 - 10 Shipment not authorized for import
 - 11 System error
3. Filer submits cancellation request electronically. (See <http://www.cbp.gov/document/guidance/cargo-release-ace-catair-chapter> SE13 record)
4. Filer submits documentation via DIS as appropriate including invoices, packing lists, bills of lading etc. sufficient to document request.
5. 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.
6. CBP approves or denies the request in ACE screen
7. CBP approves the request for cancellation. Electronic notification is sent to the entry filer.
8. 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

6.2. Correcting Entries

1. 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.
2. Filer submits cancellation request electronically. (Ref IG section)
3. Filer selects one of two options.
 - “U” (Update): 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.
 - “R” (Replace): This allows full replacement of the data elements on the ACE Cargo Release transaction, with a few exceptions at present. The data which may not 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.
4. Correction After initial submission but before arrival:
 - If there is no Document Review, or Intensive, or other CBP Hold, and the Trade submits an “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.
 - If there is 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.
5. Correction After Arrival but before Release:
 - If the Trade submits an “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 from a list provided in ACE Cargo Release
 - 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.
6. Correction After both Arrival and Release:
 - 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.
 - “U” (Update) will be accepted. Update transactions are accepted for up to 15 calendar days after the release of the ACE Cargo Release transaction by CBP.

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7. Transition - When a correction is submitted with PGA data, the system will not always allow updates for PGA purposes. When this occurs, the filer should send in a cancellation and then resubmit the entry with the correct PGA data. PGA participants are specifying allowed changes and additional information will be forthcoming when available.

NOTE: Instructions for Correction of Entry Summary records is contained in the Entry Summary Business Process Document.

7. Cargo Release Notifications to the Trade Community

7.1. Status Notifications from Cargo Release/Entry Summary Edits

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 (http://www.cbp.gov/sites/default/files/documents/ACE_CATAIR_Appendix_G_Condition_Codes_and_Text_V7.1_01052015.xls)

7.2. Status Notifications from Manifest Information Provided to Cargo Release Filers

Note: for more information and technical specifications see

http://www.cbp.gov/sites/default/files/documents/Cargo%20Release%20Status%20Notification_0.doc

1. In ACE some manifest information is provided to entry filers as part of status notifications
2. 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.
3. ACE provides data pertaining to the in bond number(s) associated with the bill(s) on the reported on the entry.
4. 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. Disposition codes include:

<u>Code</u>	<u>Description</u>
91	NO BILL MATCH
92	ACAS BILL ON FILE
93	BILL ON FILE
94	BILL DEPARTED
95	BILL ARRIVED
51	MANIFEST HOLD CBP
52	MANIFEST HOLD AGRICULTURE
53	CBP HOLD
54	CBP MANIFEST HOLD REMOVED
55	AGRICULTURE MANIFEST HOLD REMOVED
56	CBP HOLD REMOVED
57	SPLIT BILL DOES NOT QUALIFY FOR RELEASE
58	QTY IS MORE THAN MANIFESTED BILL QTY

7.3. Status Notifications for Cargo Release Shipment Status

For more information and technical specifications see

http://www.cbp.gov/sites/default/files/documents/Cargo%20Release%20Status%20Notification_0.doc)

1. ACE provides data pertaining to the disposition codes, action date, and time; and narrative message, release date, release origin, and document type for Cargo Release shipment statuses. These values include:

<u>Code</u>	<u>Description</u>
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
81	IN-BOND PORT DISCREPANCY
82	SPLIT SHIPMENT RELEASE CODE REQUIRED
83	SPLIT SHIPMENT RELEASE PENDING**
84	DOC REQUIRED FOR CORRECTION REQUEST
85	DOC REQUIRED FOR CANCELLATION REQUEST
86	CORRECTION REQUEST REJECTED
87	CANCELLATION REQUEST REJECTED
88	ENTRY REPLACED
89	ENTRY SUMMARY PORT DISCREPANCY
90	UNDER CBP REVIEW
96	DOCUMENT REQUIRED
97	ADMISSIBLE
98	RELEASED
99	RELEASE SUSPENDED
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. This NOT a release message)

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2. 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:

<u>Code</u>	<u>Description</u>
01	Selectivity Processing Date
02	Estimated Date of Arrival
03	Actual Arrival Date
04	Paperless Master In-Bond Arrival Date
05	Intensive Exam Completed
06	Override to General Exam
07	CBP Manifest Hold Removed
08	Other Agency Review Completed
09	Release Date Update
99	Release Date Removed

3. If the disposition code requires submission of a document, ACE will send the following codes:

<u>Code</u>	<u>Description</u>
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
29	FSIS 9540-4 Shipper Notification - Importation of Undenatured Inedible Meat Product

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- 30 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
- 31 NOAA Form 370
- 32 Export Manifest
- 33 Photo or Image

7.4. Status Notifications for Cancellation and Correction Functionality

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:

<u>Code</u>	<u>Description</u>
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.
05	Additional information required via DIS.
06	Unable to verify CBP disposition for full bill quantity on original entry.
07	Provided replacement FTZ Admission is in deleted status.
08	Provided replacement FTZ Admission is in open status.
09	Original entry is on hold. Hold must be resolved prior to correction request.
10	Original entry is on hold. Hold must be resolved prior to cancellation request.
11	Original entry is on PGA hold. Hold must be resolved by PGA prior to correction request.
12	Original entry is on PGA hold. Hold must be resolved by PGA prior to cancellation request.
13	Other (See comments).
14	Original entry and replacement entry must contain identical bill number.
15	Original entry and replacement in-bond must contain identical bill number.
16	Provided replacement entry is not on file.
17	Provided replacement FTZ Admission is not on file.

7.5. Cargo Release Manifest/Entry Release Query

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 using the link below.

<http://www.cbp.gov/document/guidance/ace-cargo-manifest-entry-release-query>

7.6. Status Notifications for PGA information

1. 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:

Valid PGA Entry Level Status Codes:

<u>Code</u>	<u>Description</u>
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
10	DOCUMENTS REQUIRED
11	INTENSIVE - EXAM/SAMPLE

Valid PGA Entry Line Level Status Codes:

<u>Code</u>	<u>Description</u>
01	DATA UNDER PGA REVIEW
02	HOLD INTACT
03	DATA RECEIVED PER PGA REVIEW
04	DATA REJECTED PER PGA REVIEW
07	MAY PROCEED

Valid PGA Line Level Status Codes are:

<u>Code</u>	<u>Description</u>
01	DATA UNDER PGA REVIEW
03	DATA RECEIVED PER PGA REVIEW
04	DATA REJECTED PER PGA REVIEW
07	MAY PROCEED

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2. 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:

<u>Code</u>	<u>Description</u>
01	PGA DATA ACCEPTED
02	PGA DATA REJECTED
03	PGA DATA UNDER REVIEW
04	PGA DATA DOCS REQUIRED
05	PGA DATA INTENSIVE/EXAM

3. If a document is required, see the list of codes in Section 7.3 Status Notifications for Cargo Release Shipment Status

8. Entry and Release of Holds

This section describes the setting and removing of holds.

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 conditions removed. For more specifics on manifest hold disposition codes. Reference: Appendix U - Disposition Codes and Narrative Messages - PGA Manifest Hold Status Messages by clicking on the link below:

<http://www.cbp.gov/document/guidance/appendix-u-disposition-codes-and-narrative-messages-pga-manifest-hold-status>

ACE is able to process multiple holds on either a manifest.

Holds may be placed by CBP, select agencies with direct hold authority (FDA and FWS), or through requests from other agencies that are made by CBP. These holds can be placed and/or removed independently from each other.

NOTE: All holds must be resolved prior to CBP issuing a “Customs Released” message. In ACE Cargo Release, holds are of 2 types for non-PGA related entries (for more specific information on PGA holds see the related agency section).

- Disposition Code 03 PENDING INTENSIVE EXAM
- Disposition 96 DOCUMENT REQUIRED (plus a code describing the document required.)

Both hold types suspend release.

At the completion of or override of an examination CBP will update the intensive condition and generate a disposition code.

- Intensive Examination complete disposition code (Reference Section 7.2)
- Document review complete disposition code (Reference Section 7.2)

If all other holds are removed the completion of the action sets the release date.

PGAs with regulatory or statutory authority to hold entries are enabled to place these holds directly in ACE Cargo Release.

8.1. Holds Related to Bills of Lading Associated to Cargo Releases

Reference CBP, CATIR - ACE Cargo Release/SE Status Notification, August 2015

This is a conditional cargo release processing results output record that 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.

Disposition Code

Valid Disposition Codes and their narrative messages are:

<u>Code</u>	<u>Description</u>
91	NO BILL MATCH
92	ACAS BILL ON FILE
93	BILL ON FILE
94	BILL DEPARTED

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95	BILL ARRIVED
51	MANIFEST HOLD CBP
52	MANIFEST HOLD AGRICULTURE
53	CBP HOLD
54	CBP MANIFEST HOLD REMOVED
55	AGRICULTURE MANIFEST HOLD REMOVED
56	CBP HOLD REMOVED
57	SPLIT BILL DOES NOT QUALIFY FOR RELEASE
58	QTY IS MORE THAN MANIFESTED BILL QTY

8.2. Holds Related to Cargo Release Transactions

Reference CBP, CATIR - ACE Cargo Release/SE Status Notification, August 2015

This is a conditional cargo release processing results output record that provides data pertaining to the disposition action date, time, and code; and narrative message, release date, release origin, and document type. This record is repeated as often as necessary.

Disposition Action Code - A code representing the disposition action.

Valid Disposition Codes and their narrative messages are:

Code	Description
03	PENDING INTENSIVE EXAM
21	ENTRY DELETED BY CBP*
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	CST APPROVAL REQUIRED* (Commodity Specialist Team Approval Required)
35	NO CBPF-7501 REQUIRED FOR ENT SUMMARY*
71	AMS AIR CARRIER/CFS NOTIFIED*
72	INCOMPLETE AMS AIR WAYBILL*
73	AMS FLIGHT NOT DEPARTED/ARRIVED
79	ENTRY NOT PERMITTED AT REPORTED PORT
80	IN-BOND NUMBER NOT ON FILE
81	IN-BOND PORT DISCREPANCY
82	SPLIT SHIPMENT RELEASE CODE REQUIRED
83	SPLIT SHIPMENT RELEASE PENDING**
84	DOC REQUIRED FOR CORRECTION REQUEST
85	DOC REQUIRED FOR CANCELLATION REQUEST
86	CORRECTION REQUEST REJECTED
87	CANCELLATION REQUEST REJECTED
88	ENTRY REPLACED
89	ENTRY SUMMARY PORT DISCREPANCY
90	UNDER CBP REVIEW
96	DOCUMENT REQUIRED
97	ADMISSIBLE

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98	RELEASED
99	RELEASE SUSPENDED
01	ONE USG

Notes:

* Not used in ACE Cargo Release; reserved for future use.

** Code 83 is used when a Hold All split shipment release code is selected by the filer, where the entry is to be released after all the parts of shipment (full bill quantity) depart.

8.3. PGA Holds, Three Main Scenarios – Applying Holds

1. PGA with port presence + hold authority:
 - PGA can place holds themselves with no need for requesting
 - The hold is passed to the filer by ACE with the PGA being identified.
 - Local procedures established by the PGA and CBP will be followed to move the cargo for inspection and to complete the inspection.
 - If FWS, the hold notice to trade should say a 'FWS' hold
 - If FDA, the hold notice to trade should say a 'CBP' hold, but internally we will know it is an FDA hold
 - No carrier release
2. PGA without port presence + hold authority:
 - PGA requests that CBP place a hold on their behalf
 - No carrier release; carrier will receive a 'CBP' hold message
 - Hold notices to broker/filer should indicate "CBP hold on behalf of (x)"
 - Needs CERTS findings to close out/release the hold and the findings should specifically state "on behalf of (x)"
3. PGA without port presence and no hold authority
 - 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 CBP denies the request for a HOLD, the deny 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.

8.4. PGA Notifications to Filers Through ACE

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. Reference Section 5 CBP Processes Entry

8.5. Timing of the Placement/Requests for Holds – Prior to Arrival Date

The placement of Holds by CBP and PGAs with Hold Authority are expected to be entered into ACE *prior* to the arrival date of the shipment. This provides the visibility of the hold in ACE and will prevent a release by CBP during the arrival – inspection process. Reference Section 5 CBP Processes Entry.

The request for Holds by PGAs that are entered by CBP are expected to arrive *prior* to the arrival date of the shipment. This allows CBP to enter the Hold request in ACE and will prevent a release by CBP during the arrival – inspection process.

8.6. Timing of the Placement/Requests for Holds – AFTER Arrival Date

Placements/Requests for Holds by CBP and PGAs after the Arrival date will not prevent a release and will require CBP to take manual action including possible redelivery requests.

8.7. PGA Status Values Placed on Entries

There are 4 PGA status values that can be placed on entries. These are better defined in Appendix A. These include:

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.

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.

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. Current process for exam availability and scheduling should remain in effect.
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 as any identified 3rd parties) to ensure that the cargo is retained at the port of entry and made available for CBP examination. NOTE: This Notification does NOT include specific information about PGA Holds and will be sent for all cargo release holds
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.
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 3rd parties) to ensure that the cargo is retained at the port of entry and made available for CBP examination. NOTE: This Notification does NOT include specific information about PGA Holds and will be sent for all cargo release holds
5. Exam site designation – for most intensive examinations, CBP ports allow the importer to designate the examination site. Without the use of the CBP Form 3461 as part of the process (documentation package) to identify examination sites to allow CBP to generate a Permit to Transfer (PTT) to that site alternate documentation is required. CBP will allow filers to provide a single sheet printout of the transaction from their system, or create a document in any format that identifies, entry, bill of lading number, and date of arrival and identifies the examination site by FIRMS code and name. If the shipment is C-TPAT that information (including Tier) can also be provided on that document to allow all parties to facilitate processing. Additional information on the submission of these documents will be provided in the near future.

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6. Documents needed including invoice, packing lists and any required documents under PGA or CBP regulations will be submitted via DIS.

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.

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.
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
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 will be identified and will be sent via DIS in most cases.

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 release message 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.

Further information is available on specific PGAs IGs at this link.

<http://www.cbp.gov/trade/ace/catair#field-content-tab-group-tab-4>

8.8. Additional Information on the ONE USG Hold

A status issued once all of the reporting PGA's have issued a "May Proceed," and CBP has conditionally released the goods.

Note that this is not intended to be the official release notice for the goods. This status is for summary information only.

9. Participating Government Agency Processing Overview – Implementing the Single Window

Forty-seven agencies are involved in the trade process. 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 2.0 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 updated 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

9.1. Processing Overview

CBP is delivering the Single Window through ACE that will allow for standardized submission of data for Federal agencies and allow for standardized, integrated processes at ports of entry.

9.2. PGA Message Set Overview

The PGA Message set chapter is designed to convey the general Partner Government Agency (PGA) data needed to satisfy PGA reporting requirements.

This data set will be used as the single record layout for all input from the trade for PGA data. It will replace the Other Government Agency (OGA) data sets such as the FD, DT, and FC records

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.

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

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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.)

<http://www.cbp.gov/trade/ace/catair#field-content-tab-group-tab-4>

For data submitted via the message set, CBP users will only be responsible to verify information provided as per existing processes. System edits will validate that PGA filings are complete, correct and PGAs will be able to view and respond to these filings via ACE.

DIS - IMPORTANT NOTE FOR SUBMISSION OF PGA MESSAGE SET DATA

9.3. DIS Overview

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.

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.

9.3.1. Benefits for use of DIS include:

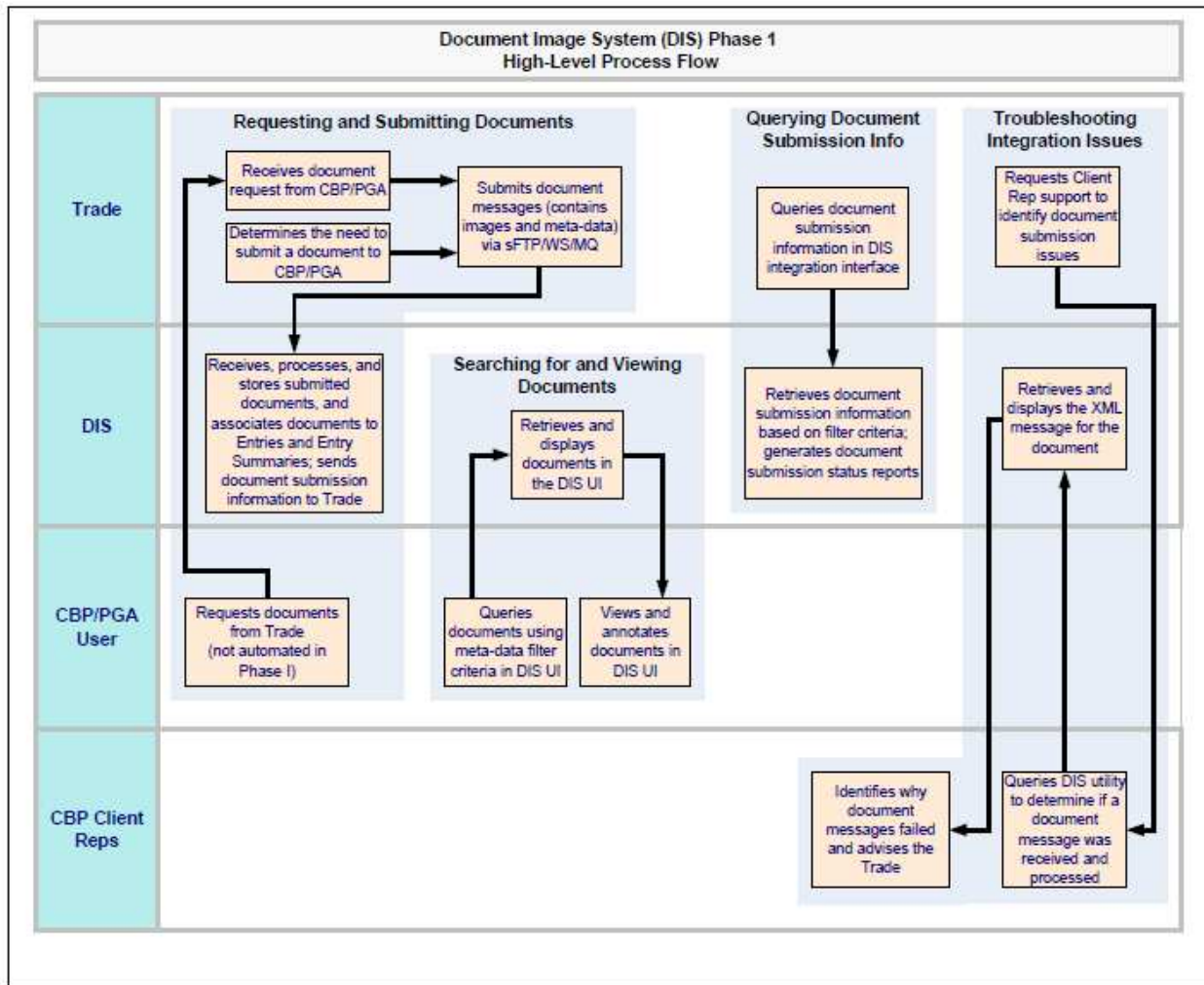
- Allow PGA users to electronically request documents from Trade Partners
- Provide automated document storage, retrieval and versioning capabilities
- Allow for review, rejection and acceptance of imaged documents
- Facilitate automated collaboration with other agencies including CBP during the document review and adjudication process
- Allow potential streamlining of infrastructure and processing costs by leveraging a single shared pathway for automated submission and processing of electronic documents from trade

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The following depicts the high-level process flow for the DIS Phase I solution.

Please refer to DIS Implementation Guide Document:

<http://www.cbp.gov/document/forms/dis-implementation-guide>



9.4. Submitting Documents in DIS

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.

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. On February 28, 2016, only FDA, NHTSA and APHIS (Lacey Act) will be required to be transmitted using ACE Cargo Release/Single Window datasets. During the transition to ACE and Single window, some PGAs may not yet be ready to go to full operation due to programming and/or legal requirements not yet being satisfied. In many cases, a PGA document is required as a condition of release and it is normally submitted to CBP in paper as part of an entry

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package for CBP to review. Although CBP has determined that the end state for Single Window will not allow hybrid processing (electronic entries with paper supporting documentation), this process will need to be accommodated for many of the PGAs during transition to ACE/Single Window. The following general rules will apply on February 28, 2016:

- Certain foreign government, treaty obligation and other original signed documents are exempt from electronic collection based on OMB rulings and must be submitted at the time of entry as paper documents. These exemptions are found at (cbp.gov ITDS)
- Information for FDA, NHTSA, and APHIS (Lacey Act) must be submitted as part of the entry using the PGA message set. Except as noted in the implementation guides and this document, only PGA message set should be used. Submission of electronic facsimiles of paper forms via DIS will not be accepted in lieu of PGA message set.
- Trade can use either DIS or provide actual paper documentation with an appropriate cover sheet, identifying the entry number and documents provided, to CBP at the time of entry for all other PGA documents currently required but not yet mandatory in ACE. Additionally, CBP will continue to accept submissions via PGA message set or DIS consistent with current agency pilots for all agencies other than the three mandatory agencies.

DIS and PGA message set submitted documents may be reviewed by CBP users in ACE Cargo Release. CBP users may be required to verify that submissions have been made for required documentation and close out document reviews to allow release.

PGA Notifications

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.

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: <http://www.cbp.gov/trade/ace/catair#field-content-tab-group-tab-4>

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.

9.5. PGA Hold Capability

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. Local procedures established by the PGA and CBP will be followed in order 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 CBP can accept or deny. If CBP denies the PGA hold request, 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 results of the exam.

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Specific information on hold values for individual PGAs can be found at the following link:

<http://www.cbp.gov/trade/ace/catair#field-content-tab-group-tab-4>

There are four PGA status values that can be placed on entries. These include:

- **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.
- **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.
- **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 documents will be identified and will be sent via DIS in most cases.
- **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 to the carrier along with this notification. The release date is established. If further action is required, CBP will order redelivery on behalf of the PGA.

Valid PGA Entry Level Status Codes:

<u>Code</u>	<u>Description</u>
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
10	DOCUMENTS REQUIRED
11	INTENSIVE - EXAM/SAMPLE

Valid PGA Entry Line Level Status Codes:

<u>Code</u>	<u>Description</u>
01	DATA UNDER PGA REVIEW
02	HOLD INTACT
03	DATA RECEIVED PER PGA REVIEW
04	DATA REJECTED PER PGA REVIEW
07	MAY PROCEED

Valid PGA Line Level Status Codes are:

<u>Code</u>	<u>Description</u>
01	DATA UNDER PGA REVIEW
03	DATA RECEIVED PER PGA REVIEW
04	DATA REJECTED PER PGA REVIEW
07	MAY PROCEED

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Further information is available on specific PGAs IGs at this link.

<http://www.cbp.gov/trade/ace/catair#field-content-tab-group-tab-4>

When CBP and all relevant PGAs have completed their processing, ACE will generate a message indicating that all US government PGA agree on release of the shipment. This one USG message does not replace the 1C in most cases for movement.

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.

For most agencies, intensive examination requests require CBP approval of a hold request.

9.6. PGA Data Submission for FTZ Weekly Estimated Entries

PGA data submitted with entries is used by PGA for admissibility decisions. As part of this, the information is often required to be complete and accurate, often with criminal and civil penalties associated with the submission of incorrect data. Since information submitted for FTZ (06) weekly estimated entries is *estimated*, it is by its nature not complete or accurate.

As a result, CBP has made modifications to programming for 06 weekly estimated entries only that will not require PGA data to be submitted if required (a warning will be sent) and will also allow the submission of the data with the entry summary submission. It is still the responsibility of the importer to ensure that this data is submitted to CBP and the PGA.

Appendix A. ACE CARGO RELEASE GLOSSARY OF TERMS*

*This Glossary does not apply to merchandise entered under any expedited release program.

Term	Glossary (December, 21, 2015)
CBP Conditional Release	A recognition that all merchandise that is released by CBP is released conditionally and is subject to recall through the issuance of a CBP Notice of Redelivery.
CBP Conditional Release Period	The CBP "Conditional Release Period" is the 30-day period from the time of CBP release or the presentation of required samples, whichever is later. CBP may recall the shipment to CBP custody during the conditional release period. When the importer is directed to deliver a sample to CBP or a PGA, the conditional release period will not begin until the time the sample is received at the proper location. The 30-day period may be extended by the issuance of a FDA Notice of Action.
CBP Release	A "CBP Release" message indicates that CBP has determined that the merchandise may be released from CBP custody. All merchandise released by CBP is released conditionally, as it is subject to recall through the issuance of a Notice of Redelivery. Merchandise that is regulated by one or more PGAs may not proceed into the commerce until CBP releases the merchandise and all PGAs that regulate the merchandise have issued a may proceed message.
Documents Required	A "Documents Required" message indicates that CBP and/or a PGA is requesting the production of certain documents or data needed before a CBP Release or PGA may proceed decision can be made.
Hold Intact	A "Hold Intact" message indicates that a particular PGA has requested an examination of the merchandise. Hold intact is independent of a CBP Release message and may be issued by a PGA regardless of the CBP Release message. Merchandise subject to a Hold Intact message must be held intact, unaltered and complete and be sent to a designated location pending the PGA's determination on whether the merchandise may proceed into the commerce of the United States. Merchandise that is not sent to the designated location may be subject to a CBP Notice of Redelivery. After the merchandise reaches the designated location the PGA will determine whether to issue a may proceed message, a partial refusal message, or a refusal message.
Intensive Exam	An "Intensive Exam" message from CBP directs the merchandise to be delivered to a designated examination facility or site for actual physical examination. Merchandise so directed remains in CBP custody and may only be moved under bond. The CBP conditional release period will not begin until CBP releases the merchandise.

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Term	Glossary (December, 21, 2015)
May Proceed	A “may proceed” message indicates that a particular PGA has determined that, for its purposes and based on the information provided through ACE, the merchandise may proceed into the commerce of the United States, possibly subject to certain PGA restrictions, e.g., to be shipped to an exempted outlet. When the admission of merchandise is determined by more than one PGA, that shipment will require a separate “may proceed” message from each PGA that regulates the merchandise before the merchandise may proceed into the commerce. Merchandise that has received a “may proceed” message from each PGA regulating the merchandise cannot proceed into the commerce until CBP releases the merchandise. Thus, before merchandise is released into the commerce, a CBP release and all required PGA “may proceed” messages must be received. Once CBP has released the merchandise and all required PGA “may proceed” messages have been received, a One USG message will be sent to the trade indicating the merchandise may be introduced into the commerce. Note, however, that even after the One USG message has been issued the merchandise is still subject to a Notice of Redelivery.
One USG	A “One USG” message indicates that the merchandise has arrived, that all data required for entry has been submitted to the U.S. Government, that all PGAs that regulate the merchandise have issued a may proceed and that CBP has conditionally released the merchandise from its custody. This message is based on the data received from the trade and premised on that data being true, accurate and correct. A “One US” message is always sent, even if the merchandise is not regulated by any PGA.
Partial Refusal	A “partial refusal” message indicates that a particular PGA has determined that a portion of the merchandise may proceed into the commerce of the United States, and that the other portion may not proceed into the commerce.
Refused	A “Refused” message indicates that CBP or a PGA have determined that merchandise may not be admitted into the commerce of the United States for consumption. In some cases, the merchandise will have to be destroyed or exported. In other cases, the merchandise may be moved in-bond or warehoused until the ultimate disposition.
Rejected	A “Rejected” message indicates that the entry has been rejected and returned to the filer for correction and/or the inclusion of required data and information.
Refused	A “Refused” message indicates that CBP or a PGA have determined that merchandise may not be admitted into the commerce of the United States for consumption. In some cases, the merchandise will have to be destroyed or exported. In other cases, the merchandise may be moved in-bond or warehoused until the ultimate disposition.
Sample Required	A “Sample Required” message indicates that CBP and/or a PGA has directed that a sample of the merchandise be sent to a particular examination facility or laboratory site for inspection or examination. The CBP conditional release period will not begin until the sample is received at the proper location. Note that the conditional release period may be extended if FDA issues a Notice of Action.

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Term	Glossary (December, 21, 2015)
Under Review	An “Under Review” message indicates that one or more PGAs are reviewing the applicable data to determine whether to issue a may proceed message or a Hold Intact message. An “Under Review” message has a direct bearing on a One USG message. A One USG message will not be issued until the review is completed and the merchandise is determined to be admissible into the commerce, i.e., may proceed. Any introduction of the merchandise into the commerce without a resolution of the under review by means of a may proceed message may result in a notice of redelivery, and/or enforcement action by CBP or a PGA. Merchandise subject to an under review message may be released by CBP if it not held for examination, presentation of required data, or held for PGA or other purposes.