

# **An Update on ACE – Single Window**

ACE Business Office and representatives from the  
Border Interagency Executive Council (BIEC)  
with presenters from 6 Partner Government Agencies  
(FDA, CPSC, APHIS, FSIS, AMS and EPA)



# **Automated Commercial Environment (ACE)**

## **Program Status**



**Jon Veley**

**Vincent Annunziato**

**Josephine Baiamonte**

**Chris Mabelitini**

**ACE Business Office**

**June 2015**



**U.S. Customs and  
Border Protection**

# Key Dates for ACE Transition

## Deployment of Key ACE Capabilities

January 2015

Electronic import manifest for air and export manifest for air/ocean/rail

May 20, 2015

Functionality for Nov. 1 delivered to CERT environment for trade testing

July 2016

All remaining core trade processing capabilities delivered

2014

2015

2016

## ACE Mandatory Dates

May 1, 2015

ACE mandatory for all electronic manifest filings

November 1, 2015

ACE mandatory for all electronic cargo release and related entry summary filing  
*5 months away*

October 1, 2016

ACE mandatory for all remaining electronic portions of the CBP cargo process  
*16 months away*



U.S. Customs and Border Protection



# ACE Progress

## PRE-ARRIVAL MANIFEST

- Air Manifest
  - Integration with ACAS
- Air Manifest
  - Inbond
- Rail Manifest
  - Inbond
- Ocean Manifest
  - Inbond
- Truck Manifest
  - Inbond

## ARRIVAL CARGO RELEASE

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

## POST RELEASE ENTRY SUMMARY

- Liquidation, Protest, & Drawback
- Remaining ES Types
- Quota
- Statements
- Entry Summary Validations
- AD/CVD Case Mgmt
- Automated Forms
- Post Summary Corrections
- Initial Entry Summary Types
  - 01, 11, 03
- Periodic Monthly Statement
- eBond

## EXPORTS

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

## PGA INTEGRATION

- FDA
- Remaining Import PGAs
- Remaining Export PGAs
- Document Image System (DIS)
- Interoperability Web Services
- PGA Message Set
- APHIS (Lacey Act)



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# ACE Plan Forward

CBP is using the Agile software development methodology to complete development of core trade processing features in ACE and decommission the corresponding capabilities in legacy systems by the end of 2016

- Agile development allows us to build and field capabilities more quickly and incorporate user input throughout the process
- Seven deployments of new features are planned through 2016
- Deployments A, B, C, and D have been delivered

CBP encourages trade filers not currently using ACE to begin the transition now

## ACE Facts

- More than 53% of entry summaries are being filed in ACE
- More than 90% of service providers who are certified to file entry summaries are certified to file them in ACE



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# PGA Readiness for November 1

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

Department	Agency
Department of Agriculture	<ul style="list-style-type: none"> <li>Agricultural Marketing Service (AMS)</li> <li>Food Safety and Inspection Service (FSIS)</li> <li>Animal and Plant Health Inspection Service (APHIS)</li> </ul>
Department of Commerce	<ul style="list-style-type: none"> <li>National Marine Fisheries Service (NMFS)</li> <li>Enforcement and Compliance (E&amp;C)</li> </ul>
Department of Defense	<ul style="list-style-type: none"> <li>Defense Contracts Management Agency (DCMA)</li> </ul>
Department of Health & Human Services	<ul style="list-style-type: none"> <li>Centers for Disease Control and Prevention (CDC)</li> <li>Food and Drug Administration (FDA)</li> </ul>
Department of Homeland Security	<ul style="list-style-type: none"> <li>U.S. Customs and Border Protection (CBP)</li> </ul>
Department of the Interior	<ul style="list-style-type: none"> <li>Fish and Wildlife Service (FWS)</li> </ul>
Department of Justice	<ul style="list-style-type: none"> <li>Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)</li> <li>Drug Enforcement Administration (DEA)</li> </ul>
Department of State	<ul style="list-style-type: none"> <li>Directorate of Defense Trade Controls (DDTC)</li> </ul>
Department of Transportation	<ul style="list-style-type: none"> <li>National Highway Traffic Safety Administration (NHTSA)</li> </ul>
Department of Treasury	<ul style="list-style-type: none"> <li>Alcohol and Tobacco Tax and Trade (TTB)</li> </ul>
Independent Agencies	<ul style="list-style-type: none"> <li>Environmental Protection Agency (EPA)</li> </ul>



# PGA Forms for November 1

- Lists all forms that must be submitted in ACE in November and the mechanism:
  - PGA Message Set (EDI Transmission)
  - Document Image System (DIS)
- Available at [www.cbp.gov/ace](http://www.cbp.gov/ace)

## ace November 1 2015 Requirements for Partner Government Agency Information in ACE & Methods for Submission

United States government agencies with a role in trade are working together to meet the White House Executive Order mandating Single Window completion by 2016. As part of this effort, CBP is transitioning core trade processing capabilities into the Automated Commercial Environment (ACE). In order to reach the 2016 deadline, CBP has established November 1, 2015 as the mandatory date for filing all electronic entries and their corresponding entry summaries in ACE.

CBP and Partner Government Agencies (PGA) are working to ensure that any forms/data required at time of entry or entry summary are supported in ACE by November 1, 2015.

The following is a list of all agency forms or data required at time of entry or entry summary filing that must be electronically submitted to ACE by November 1, 2015.\* The table groups the forms and data requirements by associated agency, program/commodity, and includes related status for pilots, working groups, and technical documentation. The table also identifies whether the forms will be submitted via the PGA Message Set or Document Image System (DIS).

To transmit required data, filers must adhere to the PGA Message set chapter of CBP and Trade Interface Requirements (CATAIR). Any agency specific requirements are captured through supplemental implementation guides (IGs). Documentation is located at: <http://www.cbp.gov/trade/ace/catair>

Federal Register Notices (FRNs) related to specific agencies are cited below each agency name.

Additional forms or data not required at entry or entry summary will be supported by ACE as well, but will be announced through a separate announcement at a later date.

Table of Contents	Pages		Pages
Department of Agriculture	2-4	Department of Justice	12
Department of Commerce	5-6	Department of State	13
Department of Defense	7	Department of Transportation	14
Department of Health and Human Services	8	Department of Treasury	15
Department of Homeland Security	9-10	Independent Agencies	16
Department of Interior	11		

\* Unless exception noted throughout document.

### By November 1, 2015:

- PGA data that is filed electronically today via Electronic Data Interchange (EDI) at time of entry or entry summary must be filed via the PGA Message Set in ACE.\*
- PGA requirements at time of entry or entry summary that are met today via the submission of paper documents will require transmission by either the PGA Message Set or DIS.\*
- Documents requested by CBP after an entry i.e., "docs required", must be submitted via DIS. Documents requested by CBP post summary, i.e., "docs required," may be submitted either via DIS or the Portal.

### on in ACE &

#	Message Set	DIS
12	✓	
7	✓	
6	✓	
7	✓	✓

### on in ACE &

#	Message Set	DIS
1	✓	
1	✓	
4	✓	
5	✓	
5	✓	

U.S. Customs and Border Protection  
Current as of 4/3/2015 1

Legend  
✓  
Capability in support of this form/data will be available no later than Nov 1 2015


U.S. Customs and Border Protection  
Current as of 4/3/2015 2

BIOTECH	Pilot: September 2015 Working Group: Pending Implementation Guides: Published	General Permit to Engage in the Business of Importing, Exporting, or Re-Exporting Terrestrial Plants	PPQ-622	2000	✓
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Legend  
✓  
Capability in support of this form/data will be available no later than Nov 1 2015

U.S. Customs and Border Protection  
Current as of 4/3/2015 3

# Key Dates for Nov. 1 Readiness



Date	Readiness Milestone
<b>May 12</b>	Remaining PGA IGs Finalized
<b>May 15</b>	Cargo Release Process and Procedure Document
<b>May 20</b>	Remaining Nov. 1 Functionality Available for Testing (i.e., in CERT)*
<b>June 27</b>	Remaining Nov. 1 Functionality in Production
<b>July 10</b>	Remaining Software Vendors Certified for Cargo Release
<b>Aug 10</b>	Nov. 1 APHIS/Non Lacey Act Functionality Available for Testing
<b>Sep 20</b>	Nov. 1 APHIS/Non Lacey Act Functionality in Production
<b>Ongoing</b>	PGA and Cross Agency Pilots (refer to published PGA/cross-agency pilot schedules)
<b>Nov 1</b>	<b>MANDATORY USE OF ACE FOR ELECTRONIC ENTRY AND RELATED ENTRY SUMMARY FILINGS</b>

\* Does not include APHIS-Non/Lacey Act Functionality



# ACE Resources

- Public information available on CBP.gov/ACE:  
<http://www.cbp.gov/ace>
- ACE outreach – calendar of events for public ACE outreach sessions  
<http://www.cbp.gov/aceoutreach>
- Trade Subscriptions for Cargo Systems Messaging Service (CSMS):  
<https://public.govdelivery.com/accounts/USDHSCBP/subscriber/new?qsp=938>



U.S. Customs and  
Border Protection



# Questions?

**For more information**

Visit our FAQ Page: <http://www.cbp.gov/trade/automated/ace-faq>

Email Us: [askACE@cbp.dhs.gov](mailto:askACE@cbp.dhs.gov)



U.S. Customs and  
Border Protection



# Welcome and Introduction

## **Vincent Iacopella**

Chairman President, Los Angeles Customs  
Brokers and Freight Forwarders Association

## **Jorge Garcia**

Deputy Assistant Director of Trade  
U.S. Customs and Border Protection

# Border Interagency Executive Council

## **Maria Luisa Boyce**

Senior Advisor for Private Sector Engagement  
Executive Director, Office of Trade Relations  
Office of the Commissioner, CBP

## **David Long**

International Trade Administration  
U.S. Department of Commerce

# Partner Government Agencies

## ACE / Single Window status update

### **Moderator:**

**Maria Luisa Boyce**, Senior Advisor for Private Sector Engagement Executive Director, Office of Trade Relations, Office of the Commissioner, CBP

### **Speakers:**

**Captain Domenic J. Veneziano**, Director, Division of Import Operations FDA

**Henry (Hank) Tapy**, Consumer Products Safety Commission

**Sean Blount**, Quarantine Policy Analysis & Support, Animal & Plant Health Inspection Service, USDA

**Richard Lower**, Sr. Compliance and Enforcement Specialist, AMS, USDA

**Bob Berczik**, Office of Policy and Program Development, FSIS, USDA (via web)

**Roy Chaudet**, Office of Information Collection, Office of Environmental Information, EPA (via web)

**Allison Watanabe**, Inspector/Enforcement Officer, EPA





# **ACE/ITDS Single Window Conference**

**CAPT. Domenic J. Veneziano  
U.S. Public Health Service  
Director, Division of Import Operations  
June 10, 2015**

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Division of Import Operations





## Changes being made and Status



### 1. ACE/ITDS – FDA Implementation

- a. System Development and Implementation
  - i. **IWS** launched in August 2014 and is on-going (We do have Connection)
  - ii. **PG Message Set** (data elements, Supplemental Guide, Business Rules) (**complete**)
  - iii. **DIS (on-going)**
  - iv. User Case Testing
  - v. CBP/FDA Test Plan May 2015 **on-going**
  - vi. **FDA Pilot Tests** July 2015 **TESTERS - Volunteers**
- b. Internal Outreach Activity
  - a. Currently on-going and will continue: Field staff and HQ
- c. External Outreach Activity
  - a. On-Going and will continue with the external communication committee of the BIEC
  - b. Webinars
- d. Administrative and Legal Requirements
  - a. **FRNs**
  - b. **MOUs**



## Changes being made and Status



### Key Dates for ACE Transition

#### Deployment of Key ACE Capabilities

##### January 2015

Electronic import manifest for air and export manifest for air/ocean/rail

##### July 2015

All entry types delivered

##### July 2016

All remaining core trade processing capabilities delivered

#### ACE Mandatory Dates

##### May 1, 2015

ACE mandatory for all electronic manifest filing

**PAST**

##### November 1, 2015

ACE mandatory for all electronic cargo release and related entry summary filing

**5 months away**

##### October 1, 2016

ACE mandatory for all remaining electronic portions of the CBP cargo process **16 months away**



## Table-top exercises for export and import processes:



- On October 30, 2014, the Process Coordination Committee and the Risk Management Committee conducted two table top exercises for the BIEC that walked through the importation process of two separate products with multiple agency jurisdictions. The purpose of the exercise was to identify pain points and create a discussion of ways to streamline trade processes, facilitate lawful and compliant trade, and enhance compliance and enforcement efforts.
- The two exercises identified six pain points, which needed to be evaluated. They include the need to:
  1. explore timely access to import data,
  2. the potential utilization of unique facility and entity identifiers,
  3. the pivotal role of data quality and validation,
  4. transparency on agencies targeting rules,
  5. enhanced communication on hold and release decision both to agencies and the trade,
  6. and transparency between agencies on final disposition and enforcement actions.
- These “Pain Points” have been evaluated and proposed solutions identified and currently in process



## COAC Recommendations



FDA should eliminate the quantity and value input requirements when addressing FDA holds since neither are indicators of violative products.

FDA transactional messaging built into ACE should be specific and timely, in real-time, notifying the filer what's missing, incorrect, or has been changed by FDA, and a full audit trail should be maintained for any changes that have been made to an entry.

CBP should work with FDA to define optional Intended Use Codes in the PGA Message Set allowing the trade to indicate reasons for disclaiming FDA on certain imported goods where the HTS code may trigger but the goods aren't subject, thereby avoiding the need for manual review.





## COAC Recommendations



FDA should publish Informed Compliance Publications (ICPs) (or Compliance Policy Guides) defining exactly what information (mandatory vs. voluntary) is required for various product categories (i.e., medical devices manufactured by a foreign TPM for a US-specs developer) and clearly advising the trade of the impact of not providing the optional elements at the time of entry. To ensure consistency and promote a common understanding by all stakeholders, these ICPs should be used as the official guidelines by importers, filers, and the agencies. FDA should better educate the trade about what data elements/AOCs are publicly available on the FDA website or through other automated means (e.g., the CDRH searchable databases).

On an account basis, FDA should allow the importer to designate where Notices of Action are sent (importer, filer and/or consignee). Alternatively, NOAs should be disseminated via ITACS/DIS so all interested parties have immediate access.



DEPARTMENT OF HEALTH AND HUMAN SERVICES

Public Health Service  
Food and Drug Administration



Memorandum

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

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

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

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

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

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

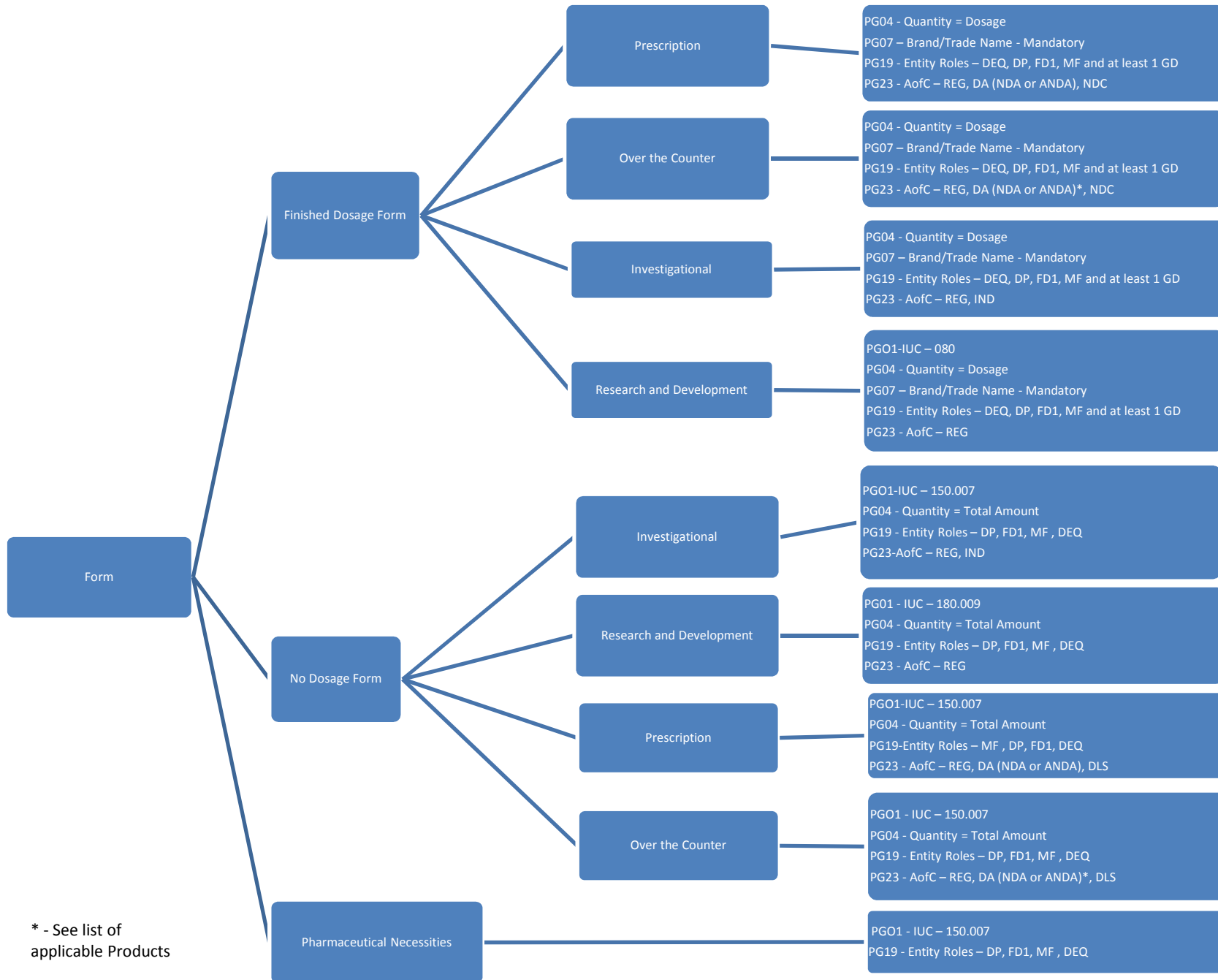
The following is an index of all current AofC Codes with their title and a Yes/No column to indicate whether a qualifier is required.

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

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

Please send questions/comments to: [FDAImportsInquiry@fda.hhs.gov](mailto:FDAImportsInquiry@fda.hhs.gov)

# Drug Typing and Data Requirements – By Form

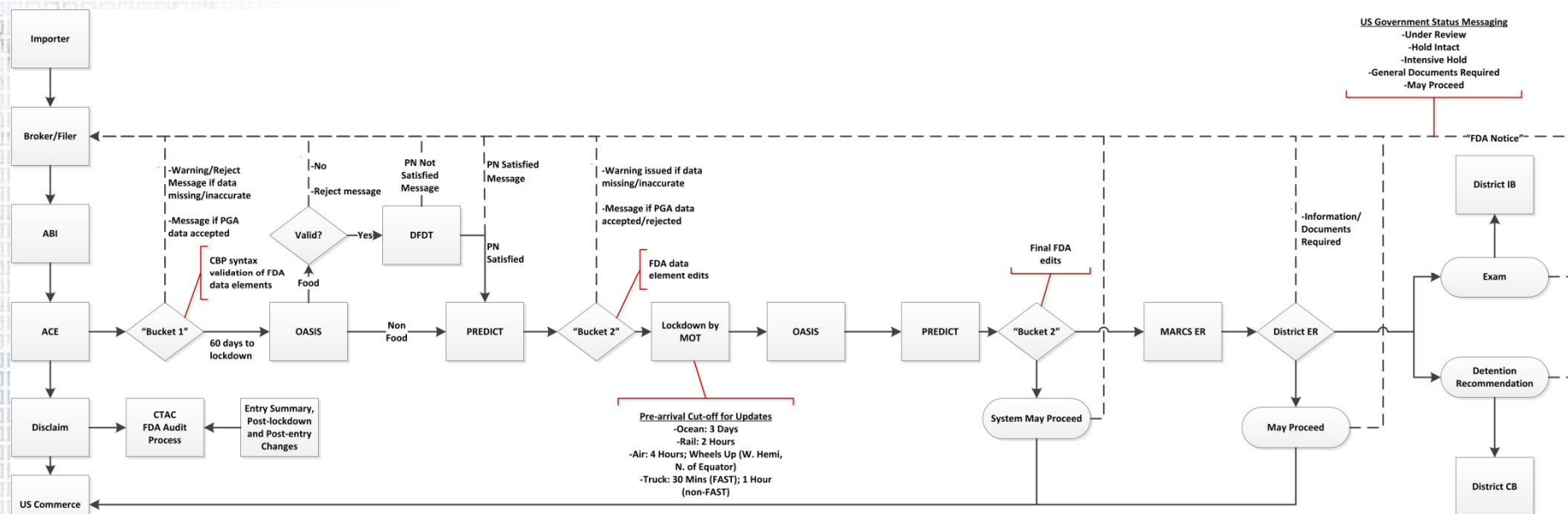


\* - See list of applicable Products



# DRAFT

3-31-2015  
The To Be



# CPSC PGA Message Set & Certificate Registry Proposed Alpha Pilot Overview



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





# What is a Certificate?

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





# Required Certificate Types

## General Conformity Certificate (GCC)

- Non-children's products only
- Based on a test of each product or a reasonable testing program (14(a)(1) of the CPSA)
- Must comply with 16 C.F.R. part 1110

## Children's Product Certificate (CPC)

- Products intended primarily for children 12 years of age and younger
- Based on testing conducted by a CPSC-accepted third party laboratory (14(a)(2) of the CPSA)
- Requires periodic and material change testing
- Must comply with 16

<http://www.cpsc.gov/Business--Manufacturing/Testing-Certification/Lab-Accreditation/Rules-Requiring-a-General-Certificate-of-Conformity/>



# Why Electronic Filing?

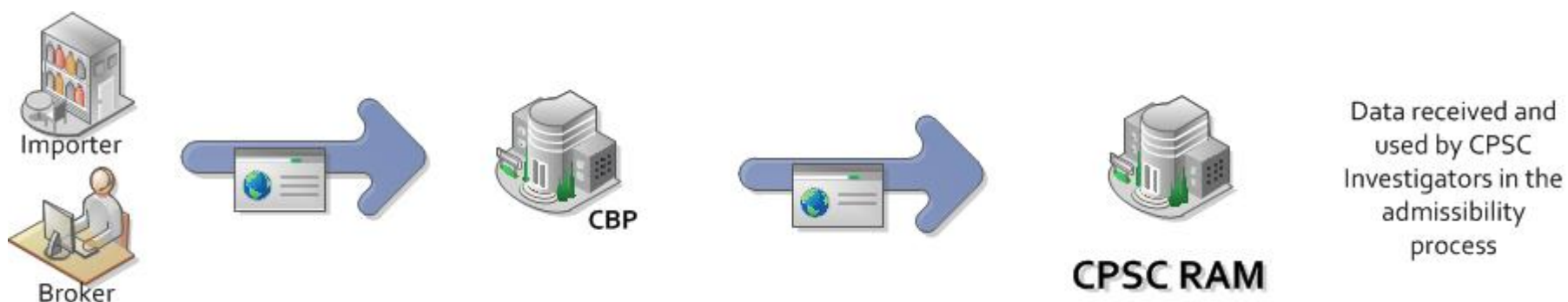
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- Expedite clearance
- Identify high risk cargo for inspection
- Conduct post-importation enforcement
- Generate reports to assist with:
  - Risk assessment
  - Setting agency priorities and goals
- Meet objectives of EO 13659, Streamlining the Export/Import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



# Full Certificate PGA Message Set

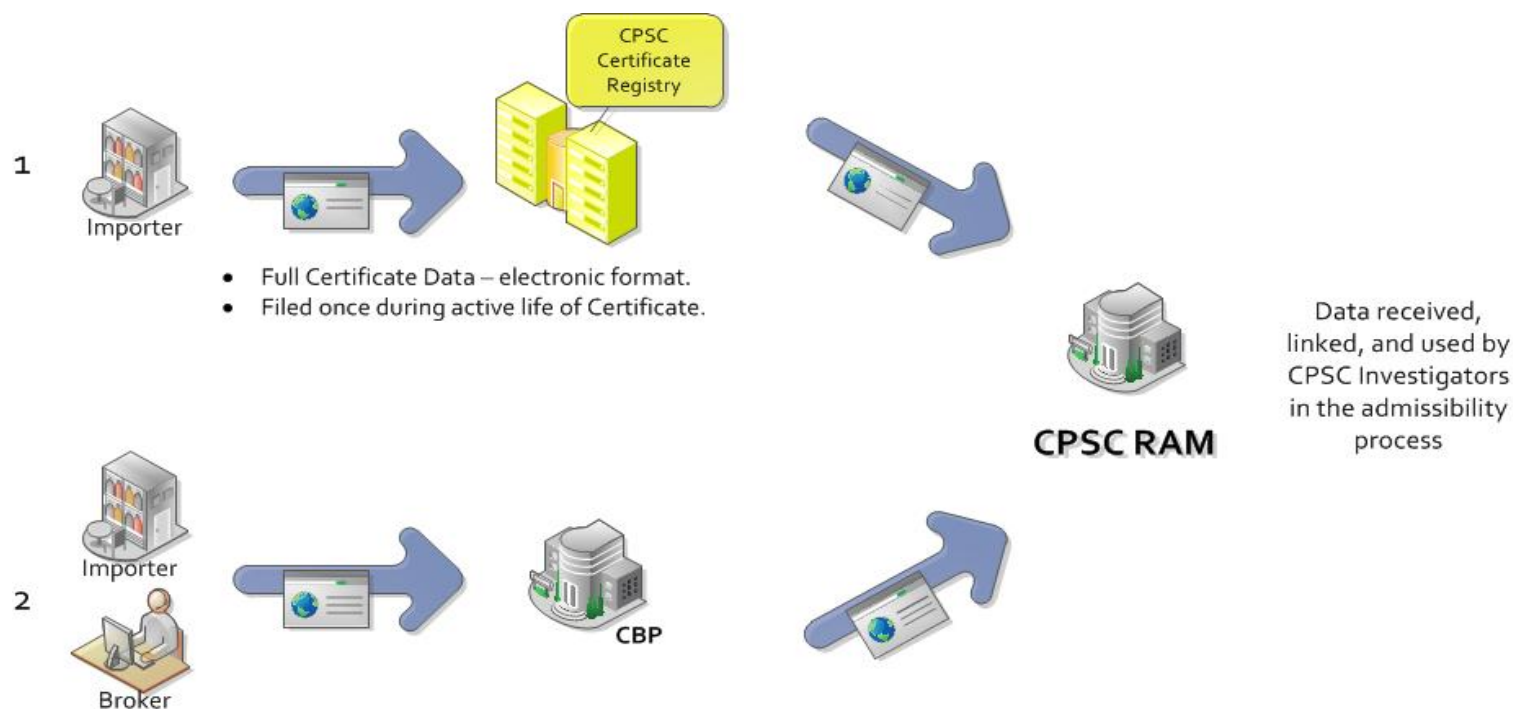
- A way to file product certificates at time of entry filing
- Full set of certificate data filed via the PGA Message Set with each entry line





# Reference Certificate PGA Message Set

- A way to pre-file a product certificate in the CPSC Certificate Registry in advance of entry filing
- Limits (but does not eliminate) the amount of data required to be filed via the PGA Message Set with each entry line





# What is the e-Filing Alpha Pilot?

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- A two-pronged approach to electronic data collection of importer certificate data
  - Full Certificate PGA Message Set or
  - Reference Certificate PGA Message Set with CPSC Certificate Registry
- A way to test implementation of e-filing in proposed 1110 rule
  - Electronic submission of certificates at entry
  - Using data elements from proposed 1110.11.





# Alpha Pilot Goals

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- Inform the 1110 Rulemaking
- Test the certificate data e-filing concept for Regulated Products
- Identify and analyze the impact on industry, the government, and consumers
  - Advancing the “single” window environment
  - Impact on identification of noncompliant trade





## Project Milestones

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- Federal Register Notice – Out shortly
- Participant Recruitment – Summer '15
- Project Scope and Definition – Fall '15
- Go Live and Data Collection – Early '16





# Next Steps

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





## Q & A

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- [www.cpsc.gov/cpc](http://www.cpsc.gov/cpc)
- [www.cpsc.gov/gcc](http://www.cpsc.gov/gcc)
- [www.cpsc.gov/certify](http://www.cpsc.gov/certify)
- [www.cpsc.gov/en/Business--Manufacturing/Testing-Certification/](http://www.cpsc.gov/en/Business--Manufacturing/Testing-Certification/)
- [www.cpsc.gov/testing](http://www.cpsc.gov/testing) (3rd party testing)
- [www.cpsc.gov/en/Business--Manufacturing/Testing-Certification/Third-Party-Testing/](http://www.cpsc.gov/en/Business--Manufacturing/Testing-Certification/Third-Party-Testing/)

# APHIS READINESS

## Automated Commercial Environment



**Sean Blount**  
US Department of Agriculture  
Animal and Plant Health Inspection Service  
Quarantine, Policy, Analysis and Support

# Objectives

**APHIS ITDS Members**

**Timeline and Goals**

**Current Status**

**Support & Outreach**

**Potential Impact**

## APHIS ITDS Participants



**Animal Care**



**Veterinary Services**

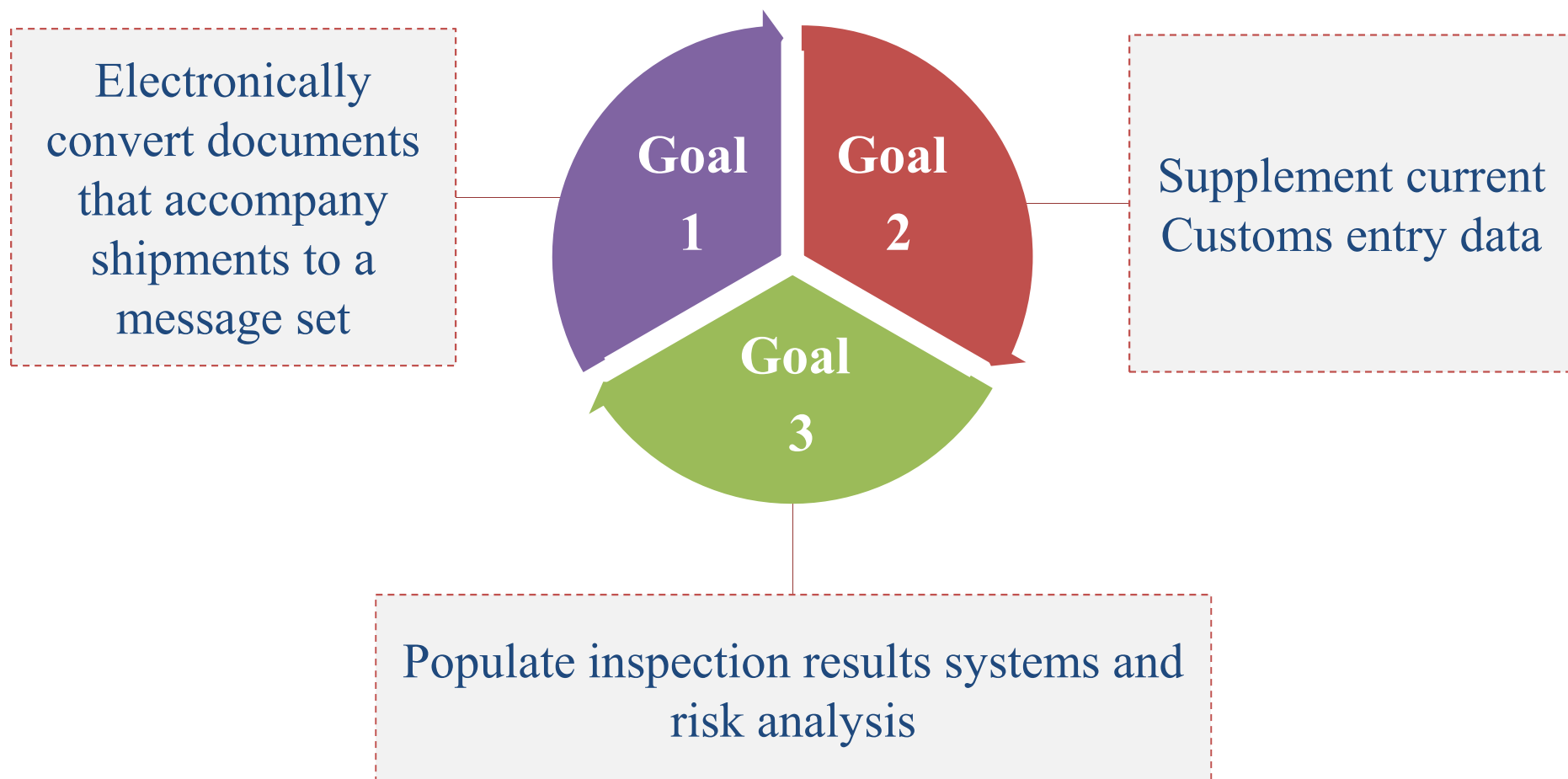


**Plant Protection  
And Quarantine**



**Biotechnology  
Regulatory Service**

## APHIS ACE ITDS Goals



# ACE Mandatory Use Dates

MAY

1

Mandatory use for electronic import & export manifest.

2015

**Time Remaining: Completed**

NOV

1

Mandatory use for electronic cargo release & related entry summary.

2015

**Time Remaining: 5 months**

OCT

1

Mandatory use for all remaining portions of the cargo process

2016

**Time Remaining: 16 Months**

DEC

31

Full Implementation

2016

**Time Remaining: 18 Months**





## Accomplishments and Updates

Accomplishments	Pending
<ul style="list-style-type: none"><li>❖ APHIS PGA Message set document completed.</li><li>❖ APHIS received waivers to continue paper collection of certain forms and government-to-government certifications.</li><li>❖ APHIS has compiled a list of documents to be used in the Document Imaging System (DIS</li></ul>	<ul style="list-style-type: none"><li>❖ Currently, reviewing high volume filers and ports to determine locations for piloting activities.</li><li>❖ Increased outreach visits and remote webinars are being scheduled to communicate with top filers.</li></ul>



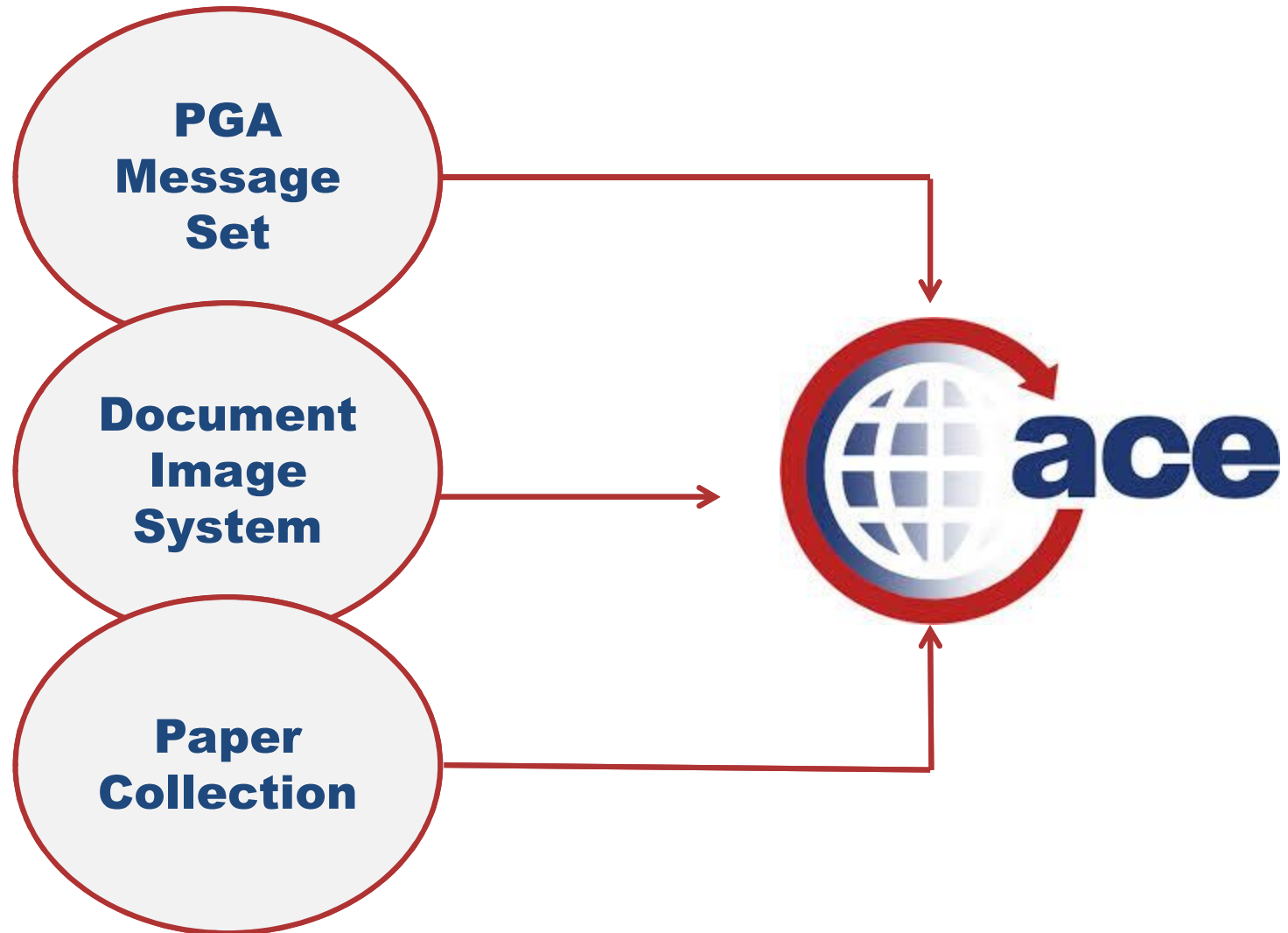
# 2015 Outreach Dates



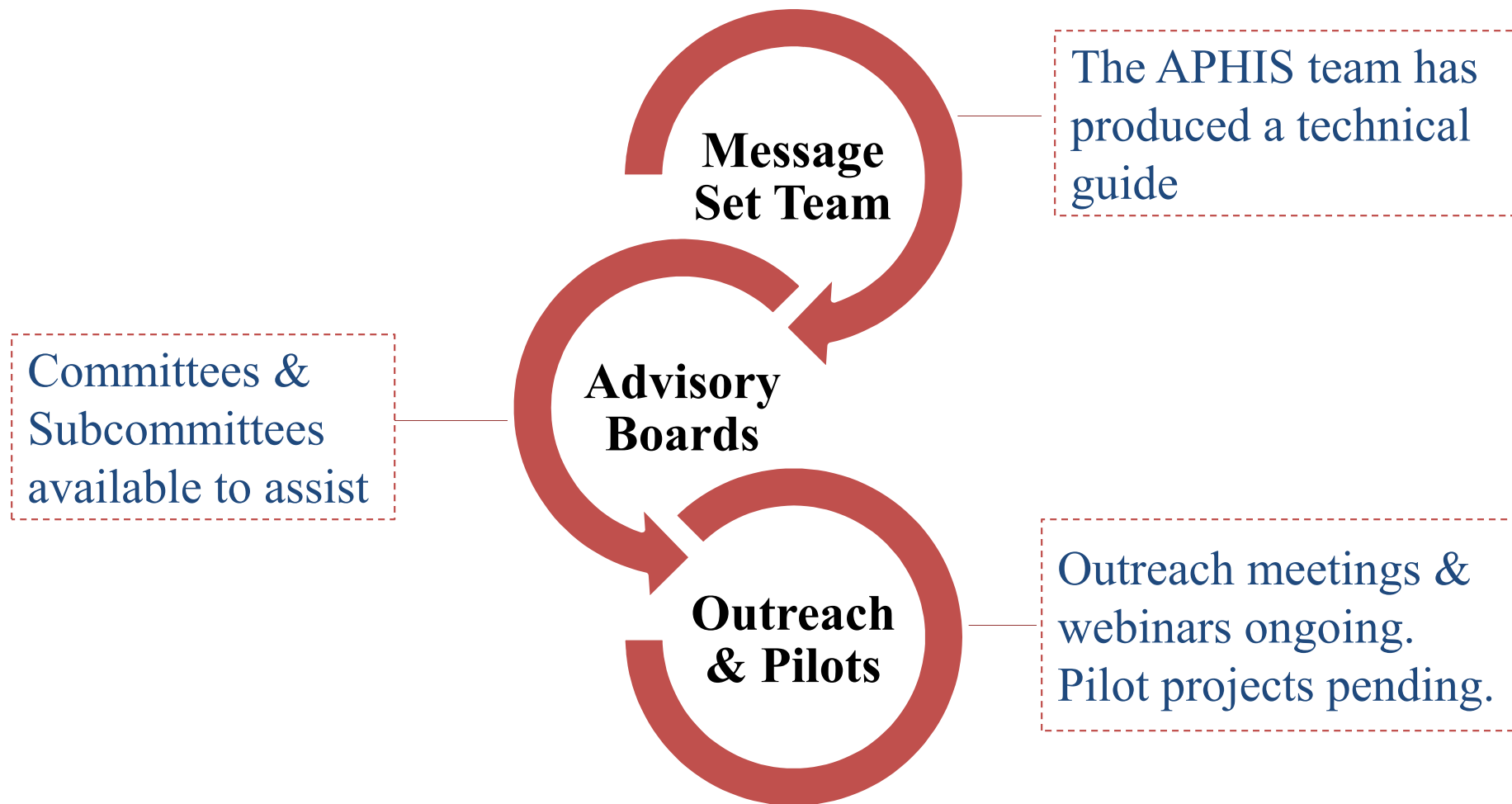
***\*\*HQ Staff Support via Webinar\*\****

Port/Area	Dates
LA/Long Beach, CA	06/11/15
San Diego/Calexico, CA	06/23/15
Philadelphia	06/25/15
Laredo, Hidalgo, TX	06/30/15
Buffalo, NY	07/07/15
Miami, FL	07/09/15
Nogales, AZ	07/14/15
Detroit/Port Huron, MI	07/16/15
Pembina, ND	07/21/15
Chicago, IL	07/30/15
Champlain, NY	08/04/15
New York/New Jersey	08/06/15
Sweetgrass , MT	08/13/15

# Data Collection Methods



## Guidance and Support



## What does this mean for APHIS?



Expedites the review and release of cargo



Allows for view of shipments at the granular level



Assist with risk analysis and provide feedback



Improvement of internal electronic systems

## What changes will industry see?

Impact to  
trade industry  
mainly at the  
filer level

Custom  
brokers will  
need to learn  
the “Single  
Window”  
environment

Software  
vendors will  
need to  
adhere to  
APHIS  
guidelines

CBP &  
APHIS  
working with  
importers to  
ensure  
compliance by  
Nov. 1st



**Cindy Walters**

APHIS ACE ITDS Liaison

Office: 301-851-2273

[Cindy.L.Walters@aphis.usda.gov](mailto:Cindy.L.Walters@aphis.usda.gov)







# Agricultural Marketing Service

Section 8e Requirements  
for Imported Fruits & Vegetables

And

Imported Shell Eggs & Shell Egg Products

# Welcome



# Today's goals

- Who Are We
- Commodities
- Pilot
- As is: Stamp & Fax
- To Be: Electronic Filing
- CATAIR Document



# We are:

- **The Agricultural Marketing Service**  
(AMS) or (AgMS)
  - Fruit & Vegetable Programs  
(F&V)
    - Marketing Orders and Agreements Division  
(MOAD)
  - Livestock, Poultry & Seed Programs  
(LPS)
    - Shell Eggs & Shell Egg Products (SHP)



# Commodities:

- Avocados
- Grapefruit
- Kiwifruit
- Onions
- Oranges
- Potatoes
- Table Grapes
- Tomatoes
- Dates (other than for processing)
- Hazelnuts
- Olives (other than Spanish style green olives)
- Raisins
- Walnuts

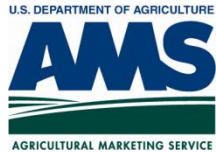


# Pilot

- Federal Register Notice
  - Invitation to importers and filers to participate
- Focus
  - Fruit & Vegetable Imports
  - Shell Eggs & Egg Products to be added as the pilot progresses
- Time Frame: July, 2015
- Port Locations: Los Angeles, CA & Philadelphia, PA...Additional Ports to be added as the pilot progresses.



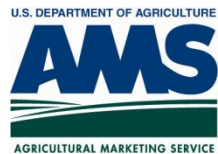




# Stamp and Fax Procedure

- 1) Importer faxes CF 3461/7501 to USDA, AgMS inspection Office before entry
- 2) Inspection offices stamps and faxes back within 2 hours
- 3) The stamped CF 3461/7501 allows Customs to release the load conditionally
- 4) AGMS Inspection Required. Importer responsible for scheduling AgMS inspection shortly after entry





# Stamp and Fax

**BOX 20 Mike Wells**  
**K-210**

DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

ENTRY/IMMEDIATE DELIVERY  
AGRA-SERVICES BROKERAGE CO., INC.  
221-20 147TH AVENUE  
JAMAICA, NY 11413  
TEL. (718) 527-0560

Form 3461  
OMB No. 1515-0065

(118) 723-8645  
**D.A.D.**  
Merry Christmas  
240 BOX # 210 **ABI Certified**

1. ARRIVAL DATE 122996	2. ENTRY DATE 122996	3. ENTRY TYPE CODE/NAME 01 CONSUMPTION	4. ENTRY NUMBER H67-1097772-8
5. PORT 4601	6. SINGLE TRANSIT BOND	7. BROKER/IMPORTER FILE NUMBER 11590	8. IMPORTER NUMBER SAME
9. CONSIGNEE NUMBER 13-3838441	10. U.S. PORT OF UNLADG 13000	11. IMPORTER BY ACCORD NAME SAME	12. CARRIER CODE CAMN
13. ULTIMATE CONSIGNEE NAME 654 Madison Ave NY NY 10021	14. VESSEL CODE/NAME ALBANIA	15. VESSEL CODE/NAME ALBANIA	16. LOCATION OF BOND CODE(S)/NAME(S) E355 H AND M TERMINAL
17. MANIFEST NUMBER	18. Q O NUMBER	19. TOTAL VALUE 2850	20. DESCRIPTION OF MERCHANDISE 1X40' / PAPA & TOMATOES
21. ITA CARRIER CODE I	22. ITA BULK NO V350017141	23. HS NUMBER 0807200000	24. COUNTRY OF ORIGIN MK
25. ITA CARRIER CODE HI	26. ITA BULK NO PRON6M000717	27. HS NUMBER 0702006090	28. COUNTRY OF ORIGIN MK
29. BROKER OR OTHER GOVT. AGENCY USE IF IMPORTED BY CLEAN VESSEL AND EXAMINATION IS REQUIRED THE CARGO WILL BE TRANSFERRED TO THE EXAM SITE DESIGNATED BELOW BY THE TRUCKER UNDER THE BOND TYPE NOTED BELOW Cntr(s): CMCU S-01751	30. DELIVERY AUTHORIZED	31. SIGNATURE	32. DATE

**AgMS U.S.D.A. NOTIFIED**  
*Maureen E. Branch 12/19/96*  
AgMS Inspector Date  
Examination to be performed by  
AgMS after release from  
U.S. Customs custody.  
IMPORTER MUST REQUEST INSPECTION  
File No. 261

Trucker: H & M / CES  
Exam Site: H & M

Paperwork Reduction Act Notice: This information is needed to determine the admissibility of imports into the United States and to provide the necessary information for the examination of the cargo and to establish the liability for payment of duties and taxes. Your response is necessary.

Form 3461  
or  
Form 7501





## "To Be"

- Request For Inspection
  - "AMS-MO1" Message in AMS CATAIR Document
- Successful Filing Of Information Will Return A "HOLD INTACT" Message
- Unsuccessful will return an "ERROR"





# CATAIR Document

<http://www.cbp.gov/document/guidance/ams-catair-guidelines>





# Agricultural Marketing Service

Section 8e Requirements  
for Imported Fruits & Vegetables

And

Imported Shell Eggs & Shell Egg Products

# Thank You





United States Department of Agriculture

**One Team, One Purpose**



# **Food Safety and Inspection Service**

Protecting Public Health and Preventing Foodborne Illness



**ACE/ITDS/Single Window**  
**FSIS PGA Message Set Pilot**

June 11, 2015

# FSIS PGA Message Set Pilot

- Electronic submission of Import Inspection Application for meat, poultry and egg products (FSIS Form 9540-1)
- Started April 27, 2014
  - Two brokers and three Ports of Entry (Champlain NY, Houston TX and Philadelphia PA)
  - Expanded to include additional POEs in 2014 (Sweetgrass MT, NY/Newark NJ, Wilmington DE, and Savannah GA)
  - Expanded to include additional POEs in 2015 (Los Angeles; Long Beach; San Francisco; Oakland; Seattle; and Miami)
- FSIS 2015 Expansion
  - ABI Software Vendors: 3 in production environment; 2 in test environment; 3 in development
  - Direct outreach to Customs Brokers
  - Direct outreach to Importers



# Getting Started

- Contact ABI Software Vendor **now**
  - Software vendors must be certified to file ACE entry summary
- Ensure software vendors/developers understand the complete business process, including the importer and broker requirements
  - Critical for successful implementation
- Ensure engagement with CBP Client Representatives
- Engage with customers further along the supply chain to maintain continuity of operations
  - Coordinate data needs in a paperless environment



# Getting Started with PGA

- Contact FSIS directly at onset
  - Can assist with coordination of efforts
- FSIS will provide:
  - Guidance on regulatory requirements
  - Guidance on business process flows
  - Guidance on FSIS technical specifications
  - Monitor cert (test environment) data mapping
  - Monitor initial files in production (live environment)

# FSIS Capabilities

- **When are Compliance Guidelines available to industry and software vendors?**
  - FSIS has revised Compliance Guidelines for filing FSIS form 9540-1 electronically posted on FSIS website:  
[http://www.fsis.usda.gov/wps/wcm/connect/98c45f3c-8a5b-47d7-9907-2fdc7352547f/Data\\_Samples\\_Guidelines\\_PGA\\_Message\\_Set.pdf?MOD=AJPERES](http://www.fsis.usda.gov/wps/wcm/connect/98c45f3c-8a5b-47d7-9907-2fdc7352547f/Data_Samples_Guidelines_PGA_Message_Set.pdf?MOD=AJPERES)
- **When will testing be available in CERT (test environment)?**
  - FSIS has CERT (test environments) established now!
- **When will it be available in production (live environment)?**
  - FSIS will coordinate with importers/brokers that have adequately developed and tested software first and move them into production (live environment)

# FSIS Additional Capabilities

- Hold and Release Messaging
  - Coordinating with government and industry stakeholders
  - Messaging for “Hold Intact”, “May Proceed” or “Rejected”
  - Messaging for shipments that fail to present (FTP) to FSIS for inspection

# FSIS Contacts

Bob Berczik

202-690-4163

[Robert.Berczik@fsis.usda.gov](mailto:Robert.Berczik@fsis.usda.gov)

Mary Stanley

202-720-0287

[Mary.Stanley@fsis.usda.gov](mailto:Mary.Stanley@fsis.usda.gov)





# **EPA ACE Pilots: Overview and Actions**

**LACBFFA**

June 11, 2015



# Topics

- Pilot Overview
- Getting Ready for a Pilot
- Testing Tips
- Pilot Timing
- Questions



# Pilot Overview

- Current pilots

- **Vehicle and Engine Declarations Imports**

- Starting in ports of **Long Beach, Newark (Vessel)**



- **Hazardous Waste Exports** (*Spent Lead Acid Batteries*)

- Starting in ports of **Hidalgo, Laredo (Truck)**

- **Pilot for Notice of Arrival for Pesticide Imports**  
(*No Earlier than April 15, 2015*)

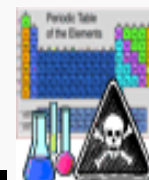
- Test in CERT now!
    - Starting in ports of **Detroit, Port Huron, Chicago, Newark (Rail, Vessel)**



- Planned for 2015

- **Ozone Depleting Substances (ODS) Imports is being wrapped into the Toxic Substance Control Act (TSCA) program**

- Expected capability in Summer







# Getting Started

- ***Be an ACE Filer*** - Talk to your CBP Client Rep.
- ***Let EPA, CBP know which commodity, port, mode*** so we can coordinate
- ***File these commodities at pilot ports***
  - *HTS Codes (Chapters 29, 38, 84, 85, 86, 87, 89 initially) to be provided*
- ***Construct message sets to file***

Updated CATAIR documentation, additional information:  
<http://www.cbp.gov/trade/ace/catair#field-content-tab-group-tab-4>
- ***What you need to file (boiled down):***
  - Vehicle/Engine Declaration: Data from forms 3520-1 and 21; certification number
  - Pesticides Notice of Arrival: Data from form 3540-1; Pesticide label; registration number, producer establishment number
  - Hazardous Waste Exports: Consent number
  - ODS/Toxic Substances (TSCA) TSCA certification statements



# Testing Tips

1. **Availability of key data** for filing (electronic is best)
2. **Review CATAIR/ EPA Supplemental** ask questions, meet with EPA if needed
3. **Test samples/cases** including disclaimer
4. **Confirm active filing in CERT with Client Rep** at which ports
5. **Heads up** to CBP and EPA when starting testing
6. **Use unique entry numbers** so we can provide feedback.
7. **Feedback on messaging/timing.**
8. **Confirm active filing in PROD, Go Live!**

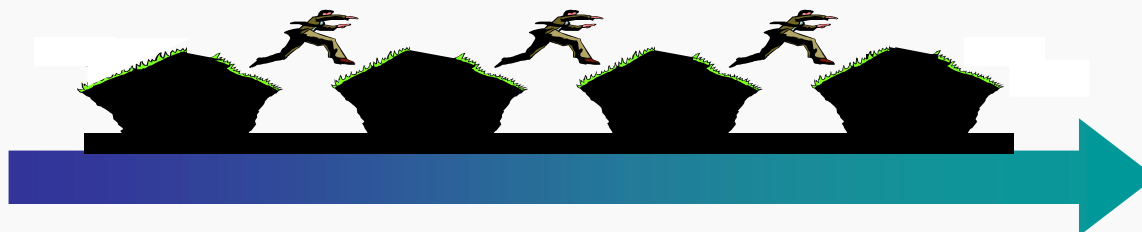


# Pilot Timing

Program	Guidance Available	CERT Testing Available SE, AE certify from summary	Production Filing Available AE certify from summary	Production Filing Available SE with messaging
<b><i>Imports</i></b>				
Vehicles & Engines	Now	Now	Now -ACS ending November 1	July 2015
Pesticides	Now	Now	Now -ACS ending November 1	July 2015
ODS/TSCA	Now	Summer	Fall	Fall
<b><i>Exports</i></b>	EEI	EEI	EEI	EEI
Hazardous Waste (spent lead acid batteries)	Now	Now	Now	Now



# For More Information



**Roy Chaudet**

Office of Information Collection

Office of Environmental Information

U.S. Environmental Protection Agency

**202-566-1703**

[chaudet.roy@epa.gov](mailto:chaudet.roy@epa.gov)



# **Pesticide Import Enforcement and Compliance Program**

June 11, 2015

Allison Watanabe

USEPA Region 9

Enforcement Division





# Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA)

- Registration of Pesticides
- Distribution and Sale of Pesticides
- And Use of Pesticides









## Requirements

Just to name a few:

- Comply with US pesticide law
- Registered with EPA (unless exempt)
- Not be adulterated or otherwise violative
- Properly labeled
- Produced in an EPA registered establishment





## What do we do?

- Review and approve Notices of Arrival
- Inspections
- Enforcement



# NOA

- **Prior** to importation, the broker or importer must submit a NOA (EPA Form 3540-1)
- The NOA must be submitted to the regional office applicable to the intended port of entry
- <http://www.epa.gov/region9/pesticides/>

United States Environmental Protection Agency Form 3540-1 <b>EPA Notice of Arrival of Pesticides and Devices</b>		Send Completed Form to Appropriate Regional Office Listed on the Reverse of this Form.	Print Form Form Approved OMB No. 2070-0020
<b>Note:</b> Read Instructions on reverse before completing form.			
<b>Part I: To Be Completed by Importer or Agent</b>			
1. Name and Complete Address of Broker or Agent		2. Name and Complete Address of Importer or Consignee	
<input type="checkbox"/> Return Form to this Address		<input type="checkbox"/> Return Form to this Address	
3. Name and Address of Shipper		4. EPA Registration Number	5. EPA Producer Establishment No.
		6. Brand name of Product	
7. Major Active Ingredients and Percentage of Each			
8. Unit Size	9. Quantity	10. Total Net Weight	11. Country of Origin
12. Port of Entry		13. Carrier	
14. Entry Number	15. Entry Date		16. I assert that information constituting Confidential Business Information is shown in the above blocks numbered. (Note: Blocks 4, 5, 6, 7 are not entitled to CBI treatment—see instructions)
17. Location of Goods for Examination after Importation			
18. Remarks			
<b>Certification</b> I certify that the statements I have made on this form, and all attachments thereto are true, accurate, and complete; I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.			
19. Printed Name of Importer or Agent		20. Signature of Importer or Agent	Date Signed
<b>Part II: To Be Completed by U.S. Environmental Protection Agency</b>			
Action to be taken by U.S. Customs Service: <input type="checkbox"/> Release Shipment <input type="checkbox"/> Detain for Inspection <input type="checkbox"/> Release shipment to consignee under bond. Shipment must be held intact pending inspection. <input type="checkbox"/> Other			
Remarks			
Signature and Title of EPA Official			Date
<b>Part III: To Be Completed by U.S. Customs Service</b>			
The information shown in Part I was compared with the entry papers for this shipment and no discrepancies were noted. The shipment was handled as instructed by EPA in Part II. Any deviations should be brought to the attention of EPA before releasing shipment and			
Remarks			
Signature of District Director of Customs			Date

EPA Form 3540-1 (Rev. 2-88) Official File Copy



## Review of the NOA

For example:

- Registered product
- Registered establishment
- Registered establishment reporting
- Country of origin
- Review of the label



# Pesticide Import Inspections





# Enforcement

- Deny Entry / Refuse Delivery
- Release under bond (inspection)
- Seizure
- Penalty Action





## Contact

Allison Watanabe

213-244-1807

[watanabe.allison@epa.gov](mailto:watanabe.allison@epa.gov)



# **ACE / Single Window Implementation**

## **Moderator:**

**Karen Quintana**, Treasurer & Board Member, Los Angeles Customs Brokers and Freight Forwarders Association

## **Panelists:**

**Pauline Hogue**, Field Readiness Coordinator, Los Angeles, OFO, CBP

**Sandra Langford-Coty**, Vice President, OHL

**Vincent Annunziato**, Director, ACE Business Office, OT, CBP

**James Swanson**, Cargo and Conveyance Security, OFO, CBP



Air  
+ Ocean



Customs  
Brokerage



Road  
+ Rail



Warehousing  
+ Fulfillment

# ACE / ITDS / Single Window Implementation

Thursday, June 11, 2015

# ACE Cargo Release – ACE Entry Summary



## ACE Cargo Release Ports

- Permitted Ports Only
- RLF –Enable Cargo Release for all Ports
- All – Eliminated in ACE
- More Entry Types RLF?

## Benefits ACE Entry Summary

- Reduced Entry Summary “Docs Required – UC2”
- Document received “Time Stamp”
- No ACH Statement if DIS or ACE Portal
- Census Error Override
- Post Summary Correction

## Benefits ACE Cargo Release

- Splits
- eBond –No documents Required !!!
- Paper Reduction
- Less Data Elements for Release
- Replace / Update
- Cancellation
- Expedited Processing When Documents Required

## New in ACE , June 2015

- Air In-Bond changing to QP/WP
- New ACE Manifest Query





# ACE Cargo Release Data



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

## ACE Cargo Release Data Elements

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



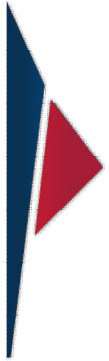


## Party Type ACE Entry Summary and ACE Cargo Release Transactions



- Entry Summary Line level party reporting
  - Sold to party
  - Delivered to party (Optional)
  - Foreign exporter (ADD/CVD)
  - Manufacturer
- The Definitions are based on 19 CFR 149.3
- **Consignee** is defined as the individual or firm in the United States on **whose account the merchandise is shipped**. This is the same as used in ACE Cargo Release in the SE50-record and ACE AE 11-record. The term ultimate consignee is not used in either transaction – only consignee
- Must be EIN/SS#





## Combined ISF and ACE Cargo Release Pilot

- Federal Register Notice on 02/10/15
- Must meet ISF Timeliness Requirement
- Customs Business
- File ISF / Cargo Release and then Entry Summary
- Cannot combine multiple ISF into one Entry
- No “Flexible” filing option
- HTS 10-digit number
- Current Limitations:
  - Limited Entry Type and No PGA
  - What happens to ISF if you have to cancel Entry?
  - Two Step process to correct Cargo Release and ISF?
    - *No, you can file a Unified Replacement to replace Cargo Release and ISF at the same time. You can also file a Replacement ISF just as if it were a separate filing. ACE provides for replacing both ACE Cargo Release and ISF at the same time, under the same bond obligation.*
- NEI Webinar and Q&A

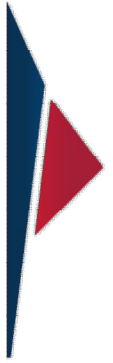


# ACE CARGO RELEASE MESSAGES

- RELEASED (no Paperless vs. Release)
- HOLD – CBP places holds on the manifest in all modes of transportation that suspend the release of cargo
- MANIFEST
  - BOL TYPE INELIGIBLE FOR ENTRY PROCESSING – FROB
  - RELEASE SUSPENDED
    - IN-BOND PORT DISCREPANCY
    - CARRIER UPDATES THE MANIFEST TO A SPLIT
  - AIR RELEASE POSTING WHEN TRANSFER CHANGED – UPDATE does not “refresh” How to re-route? FRC – FSQ
  - BILL MATCH
  - BILL DEPARTURE / BILL ARRIVAL
    - Air Shipments when a flight has not “arrived” .







# SPLIT

- HOLD ALL – Is the default
  - Release will not post until all parts have arrived
  - Splits will post automatically
  
- INCREMENTAL RELEASE
  - If Split indicator “2” is transmitted prior to arrival, entry date will be set when the first portion of the split shipment has arrived, if Updated after a portion of the splits have arrived, release date will be the entry date.
  
  - Release for each part that has arrived will post automatically
  
  - 10 days for all parts to arrive. More than 10 days from release date or arrival (whatever is latest), must do a new entry for the balance. (“SPLIT BILL NOT ELIGIBLE FOR RELEASE” message will be received)
  
  - Second entry – send Split Indicator “2”





# Paperless Document – Submission Options



- Document upload for ACE entry summary in the ACE portal
  - The ACE portal does **not** allow submission of unsolicited documents
  - ABI Entry Summary Status Notification Message (UC message)
  - Action Identification Number to upload the requested documents to the portal
- ACE cargo release document **email** process
  - DIS email protocol will be made available for PGA's as well as Cargo Release to allow the trade to send documents via email that will move into the DIS system as if sent via DIS EDI Communication (Solicited and Unsolicited Messages)
- Document Imaging System (DIS)
  - DIS allows trade partners to submit document images and associated descriptive meta data to CBP and PGAs in an automated manner using EDI communication (Solicited and Unsolicited Messages)





## Tips



- Second Level Review – DIS and Portal
- Trade vs. CBP Control – Manage **Prior** to Statement Date
- Robust UC/Entry Summary Status Message Management
- Manage Cargo Release and Summary Correction
- Versions
- Census
  - Manage Census Override prior to statement date
  - Post Summary Correction – H99 Header Reason
  - ESM-7001 Entry Summary Census Warning and Override
- Post Summary Corrections
  - Manage and report on PSC – Software and ACE Portal Reports
  - Modify ESM Reports
  - AM100 – Liquidation Report Modify to include
  - ACE Entry Summary Rules and Cargo Release Business Process
    - <http://www.cbp.gov/trade/entry-summary/ace>
    - <http://www.cbp.gov/document/guidance/ace-cargo-release-business-transformation-process-document>

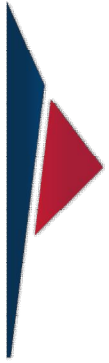
 Tips

# Elimination of 3461 / 7501 / Bond



- How to handle Local Exams now that no 3461 exists
  - **5.2.5 Exam site designation**
    - How to notify CBP of Exam site
    - CTPAT Status
  - F&W receives a copy of 3461
  - Non Automated CFS Challenge
  - Warehouse Entry “Permit” / Live Quota





## PGA forms or data required at time of Cargo Release or Entry Summary

- PGA data that is filed electronically today via Electronic Data Interchange (EDI) at time of entry or entry summary **must** be filed via the PGA Message Set in ACE
- PGA requirements at time of entry or entry summary that are met today via the submission of paper documents will require transmission by either the PGA Message Set or DIS.
- Documents requested by CBP after an entry i.e., “docs required”, must be submitted via DIS. Documents requested by CBP post summary, i.e., “docs required,” may be submitted either via DIS or the Portal
- <http://www.cbp.gov/document/guidance/ace-november-1-pga-forms>





# New Messaging



- CBP Initiated Corrections
- PGA Request for Redelivery
- Line Release
- Hold Intact
- One USG Release
- Manage New Messaging



## 4. Cargo Release Notifications to the Trade Community

<http://www.cbp.gov/document/guidance/ace-cargo-release-business-transformation-process-document>



## Time to Embrace ACE



- As the trade community, we have an obligation to actively participate in ACE Cargo Release/Entry Summary Process. Early adopters are willing to pilot to ensure minimal interruption November, 2015





# **An Update on ACE – Single Window**

## **QUESTIONS and ANSWERS**

