ACE Entry Summary
ACE Entry Summary

U.S. CUSTOMS AND BORDER PROTECTION
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Automated Commercial Environment Entry Summary Processing

**Overview**

The purpose of this document is to outline entry summary processing in the Automated Commercial Environment (ACE). Processing entry summaries in ACE will change the system of record for these import related transactions from a paper-based system to a true electronic system of record keeping. A change of this significance requires revised operational policies and procedures and this document will address those changes. This document will be a living document as the different entry summary types and associated downstream processing migrate from the Automated Commercial System (ACS) to ACE.

**ACE ESAR Release A2.3.2** This document coincides with the ACE Entry, Summary, Account, and Revenue (ESAR) Release A2.3.1a. The Federal Register Notice (FRN) published December 30, 2009 outlines specific National Customs Automation Program (NCAP) Test participant eligibility requirements. The FRN dated March 6, 2009 announced the deployment plan for the A2.2 test which preceded this release. Entry summaries filed in ACE must be filed via the Automated Broker Interface and paid via statement processing. Entry types 01-consumption, 03-antidumping/countervailing duty (AD/CVD), and 11-informal are the only entry types allowed to be filed in ACE at this time.

This document has been updated to reflect the functionality specific to the filing and processing of post summary corrections (PSC’s). A PSC may be filed for entry summaries filed on and after the PSC deployment date.

**Background**

The process governing the importation of goods into the United States, generally speaking, is a two-part process consisting of: 1) filing the cargo release documents necessary to determine whether merchandise may be released from U.S. Customs and Border Protection (CBP) custody, and 2) filing the entry summary documents that pertain to merchandise classification, duty, taxes, and fees.

Currently, over 99 percent of all entry summaries are filed electronically using the Electronic Data Interchange (EDI). The interface system that allows EDI transmissions to CBP’s automated systems is the Automated Broker Interface (ABI). Entry summaries are categorized into several entry types to facilitate more effective processing and management of these transactions. Ninety-six percent of all entry summaries filed are type 01-consumption and type 11-informal. Consumption entries cover mostly commercial shipments and are typically supported by a surety bond to ensure compliance and payment of duties, taxes, and fees. Informal entries are typically low-dollar valued commercial and personal imports that are also being entered into the United States for consumption. In general, informal entries are valued $2,000 or less unless the goods are subject to import restrictions for which other rules apply.

**Process Icons** The “process” icons are embedded throughout this document to indicate when either the filer or the CBP is initiating an action. System actions will also be indicated.
### 1.0 System Edits and Validations

#### 1.1 Filer generates and submits entry summary transaction via ABI to ACE.

EDI transmission is validated based on syntax rules. Entry summary control status is “Trade” during this processing.

1.1.1 Syntax validation fails – entry summary is rejected back to filer via ABI.

1.1.2 Syntax validation passes – entry summary proceeds to validation for Filing Action and Control Rules.

#### 1.2 Entry Summary Filing Action and Control Validation

Performed after syntax validation and entry summary transmission is accepted without conditions.

1.2.1 Validation of the entry summary header data

1.2.2 Census edit processing—all ACE entry summaries may be reviewed by the Department of Census. CBP will not accept paper census warning sheets for ACE entry summaries.

1.2.2.1 Entry summary Census edit process can result in no errors.

1.2.2.2 Entry summary Census edit processing can result in a Census warning and the filer may correct or enter Census Warning Override code and retransmit.

1.2.2.3 Filer may enter preemptive Census Warning Override code at initial transmission when it is known in advance that shipment parameters are outside of Census parameters for a valid reason.

1.2.3 Validation of entry summary line item data

1.2.4 Validation of entry summary port line and totals

### 2.0 Entry Summary record is created in ACE

#### 2.1 Entry summary status is indicated as “Accepted.”

The EDI transmission is accepted by ACE. Entry summary control status continues to be “Trade.” ACE does not track versions of the entry summary until the preliminary daily statement is generated for the entry summary—when entry summary control status is updated to “CBP” (See 2.2.2).

2.1.1 Trade users may make revisions to the ACE entry summary while the entry summary is in “Trade” control.
through the “Add” or “Replace” function.

2.1.2 Authorized CBP users can only modify an entry summary that is in “CBP” control through the ACE Portal. The number to the right of the decimal in the version number will increase (e.g., v 1.01) and the changes are captured in the entry summary change history. The change history will capture cumulative changes to an entry summary by CBP users. Trade users may make changes to the entry summary after it is in “CBP” control, for example, when the entry summary is rejected back to the filer. When the filer makes a revision, it will result in the number to the left of the decimal within the version number increasing (e.g., v. 2.0).

2.1.3 If an entry summary is in “CBP” control, the filer cannot perform the “Add”, “Replace”, or “Delete” functions to that entry summary.

2.1.4 Trade users will have visibility to the entry summary version numbers through the ACE Portal reports.

2.1.5 The filer remains responsible for the record keeping requirements found in 19 CFR 163.

This is the first point in the process where ACE interfaces with ACS. This synchronization between ACE and ACS will occur continually throughout ACE entry summary processing.

2.2 ACE writes entry summary data to ACS for cargo release and collection processing.

2.2.1 Cargo release processing occurs in ACS for ACE entry summaries requesting cargo release certification.

2.2.2 Collection processing occurs in ACS. Once a preliminary daily statement (periodic daily or regular daily) is generated for the entry summary, entry summary control is updated to “CBP.” Entry summary versioning begins at this point and the filer can no longer make changes to entry summary data transmitted without CBP intervention. The payment/collection status of an entry summary is determined in ACS, and ACE receives the status update through the ACE-ACS interface. Whenever there is a collection status update in ACS, the changes are updated in ACE.

Once an entry summary control status is “CBP”, the entry summary version and subsequent changes are logged. The change history will capture cumulative changes to an entry summary.

Trade users will have visibility to the entry summary version numbers through the ACE Portal reports.
2.2.1 ACE entry summaries must be paid via statement processing.

2.2.2 There may be extenuating circumstances when an ACE entry summary must be removed from a statement. Filer will submit ABI transmission to remove the entry summary from statement processing. The entry summary control will be changed from “CBP” to “Trade.” Once the debit authorization is processed for a statement the filer cannot move an entry summary from that statement to another statement. Single pay is the only option for the entry summary taken off the statement in this case. If entry summary is not posted to another statement, then filer will submit a transmittal form (a new test form - CBP Form 7501T) or the first page of the CBP Form 7501 along with the single payment at the respective processing port of entry. The unique identifier will be the entry number. Once collection is processed by CBP, entry summary control will change from “Trade” to “CBP”.

2.2.3 If no money is due on the entry summary that is taken off a preliminary daily statement, an authorized CBP user must manually place the entry summary in “CBP” control.

Notification to the filer will occur when entry summary is selected for team review. Prior to December 27, 2010 the filer was not receiving the docs requested notification. CSMS #10-000274

2.3 ACE entry summary review notification.

2.3.1 The filer may receive the following electronic notification as a result of targeting: The filer should be cognizant of the type of electronic entry summary filing they transmitted.  

- “Documents Requested” – request for entry summary documentation in accordance with 19 USC 1484. These documents must be submitted to CBP, by the time of summary filing in accordance with 19 CFR 142.2 at the port of entry in paper form. The option also exists for the filer to respond to the “documents requested” message through the ACE Portal. Once the filer receives the action number in a courtesy ABI message, the filer can log into the ACE portal, type in the action number and upload the requested documents. This message is for non-EIP/RLF entry summary submissions only.

- “Invoice Required” – request for electronic invoice data only if filer is an Automated Invoice Interface (AII) participant. The filer must transmit electronic invoice by the time of summary filing in
If filer does not submit documents requested or transmit electronic invoices by the time of summary filing in accordance with 19 CFR 142.2, CBP will initiate liquidated damage case for “No File”. If the filer submits the documents requested or transmits the electronic invoice untimely, the case can be converted to a “Late File.”

2.4 Deleting an entry summary.

2.4.1 An ACE entry summary may be deleted by an authorized trade user while the entry summary is in “Trade” control.

2.4.2 An entry summary cannot be deleted by the trade while the entry summary is in rejected status.

2.4.3 The filer is prevented from deleting an entry summary if an entry summary is filed, has a release date in ACS, and the entry summary is in “Trade” control.

### 3.0 Entry Summary Cancellation

3.1 Filer requests entry summary cancellation in accordance with policy.

The trade will submit the necessary documents to support the cancellation request. The entry summary must be in CBP control. If the entry is in trade control, the trade may perform a deletion. See Section 2.4.

Cancellation can only be performed by an authorized CBP user and cannot be performed by the filer.

3.1.1 The reason for canceling the entry summary is documented in ACE; therefore supporting cancellation information shall be submitted. Once CBP input is complete, cancellation status is systemically set in the entry summary record. Once an entry summary is placed in “cancel” status, it is no longer active. The entry summary number can no longer be re-used by the filer.

Note: If an ACE entry summary is cancelled in ACE, the Reconciliation flags are automatically removed. Therefore, it is not required to remove the Reconciliation flags before performing the cancellation function in ACE.

3.1.2 An ABI message is automatically sent to the filer once the cancellation status is set.
### 4.0 Methods of response to system notification

| 4.1 Filer receives ABI outbound message with notification. | 4.1.1 “Documents Requested” notification- The available methods of response to the system request are paper submission or through the ACE Secure Data Portal. **Response must be submitted to CBP at port of entry where entry summary is filed.**

4.1.2 The filer will receive notification of these requests through outbound ABI entry summary status messaging.

4.1.2.1 Importers or self filers with portal accounts, who have selected “portal” as their mode of communication, should check the portal on a weekly basis for forms sent by CBP.

4.1.2.2 For portal submissions: The filer shall use the Action Identification Number as the identifier in order to upload the requested documents via the ACE Secure Data Portal. ❆

4.1.2.3 For paper submissions: A **transmittal form (a new test form - CBP Form 7501T)** or page 1 of the CBP Form 7501 shall be used as a cover document to accompany paper submissions of required documents. Documents may also be submitted with a label affixed. The unique identifier will be the entry number. ❆

4.1.2.4 Importers with an ACE portal account who select “portal” as their mode of communication will now be able to view and respond to CBP Forms 28, 29, 4647 via the ACE portal for all entry summaries—both ACE and ACS.

4.1.2.5 “Invoice Required” notification – the only method of response to this message will be the transmission of the electronic invoice via AII. ❆ **See 6.0 Electronic Processing in ACE**

4.1.2.6 The filer remains responsible for the record keeping requirements found in 19 CFR 163.

| 4.2 Paper documents received at port of entry. | 4.2.1 The paper documents sent to CBP in response to the system generated “Documents Requested” message will be date (clocked) stamped upon receipt at the port of entry.

4.2.2 The original documents will be filed at the port of entry in accordance with the CBP records retention policy.

| 4.3 Filer receives ABI outbound message with acknowledgement of response. | 4.3.1 Once documents requested are received, CBP user will mark the “Documents Received” box within ACE. This electronic receipt in no way constitutes a statement regarding the accuracy, completeness, or compliance of the received... |
4.3.2 The filer will receive the receipt notification through outbound ABI entry summary status messaging. Entry summary documents, other than the entry summary form (CBP Form 7501), that are necessary to verify trade compliance may be requested electronically via ABI by the CBP user. See 7.0 Team Review for more details.

5.0 Single Transaction Bonds

Single Transaction Bonds filed for Type 01 and 03 ACE Entries

ABI filers of ACE type 01 and type 03 entries with a single transaction bond (STB) must email a scanned copy of the STB to ACE_STB@cbp.dhs.gov for the Revenue Division, Office of Administration (OA). This method of submitting the STB is similar to the process for Importer Security Filing (ISF) bonds. OA reserves the right to return the STB to the filer by email if the STB is inadequate and to take appropriate action. Filers who do not provide a copy of the STB as stated above may receive a liquidated damage claim for failure to file complete entry documents.

6.0 Electronic Invoice Processing in ACE

Electronic Invoice Program (EIP) and Remote Location Filing (RLF) will be available for ACE entry types 01 and 11. The AII is not functional in ACE; however, electronic invoices transmitted for ACE entry summaries will be visible to reviewing CBP personnel. As in the ACS environment, EIP/RLF is a completely electronic transmission of required entry summary documents.

6.1 Filer submits ACE entry summary with intent to submit electronic invoice via AII.

6.1.1 If the ACE entry summary is selected for examination or team review at the time of entry summary transmission via ABI, filer will receive the “Invoice Required” notification. The only method of response to this message is the transmission of the electronic invoice via AII. Filer must transmit the electronic invoice(s) by the time of entry summary filing in accordance with 19 CFR 142.2.

6.1.2 If the ACE entry summary is selected for review after the summary has been filed, but within 30 days of entry summary filing, filer will receive the “Invoice Required” notification through ABI—the only method of response to
this message will be the transmission of the electronic invoice via AII. Filer must transmit the electronic invoice **within 5 business days**.

More than 30 days after entry summary filing, requests will be made by means of CBP Form 28—the only method of response will be the transmission of the electronic invoice via AII. Filer must transmit the electronic invoice **within 30 days from the date of the CBP Form 28**.

6.1.3 The daily statement report will be modified by adding a “Z” to identify that an electronic invoice should be transmitted via ABI.

The new statement field with a “Z” value indicates that the electronic invoice data, if not previously submitted (via ABI) should be transmitted electronically. The requirement for the electronic invoice to be transmitted was put into production on December 27, 2010 per CSMS 10-000274.

6.2 **Filer transmits electronic invoices via AII.**

<table>
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<tr>
<th>6.2.1</th>
<th>Filer will transmit electronic invoices to ACS.</th>
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<td>6.2.2</td>
<td>ACS will store the invoices and send a “receipt” message to the pending ACE entry summary transaction requiring the electronic invoice. ACE will update the invoice status to “received” for the CBP entry summary view.</td>
</tr>
<tr>
<td>6.2.3</td>
<td>The filer remains responsible for the record keeping requirements found in 19 CFR 163.</td>
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If filer does not transmit electronic invoices to ACS via AII within the prescribed timeframe, CBP will initiate liquidated damage case for “No File”. If filer transmits electronic invoice untimely, the case can be converted to a “Late File.”

6.3 **Filer does not transmit electronic invoice as requested.**

7.0 **Entry Summary Team Review**

7.1 **Entry summary is selected for review by CBP Commodity Specialist Team (CST).**

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<tr>
<th>7.1.1</th>
<th>“Specific Document Request” – request for one or more specific types of documents as the CBP user has specified in the remarks text. Filer shall submit only the document(s) requested and not the entire summary package. Any extra documentation submitted will be returned to the filer.</th>
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<tbody>
<tr>
<td>7.1.2</td>
<td>The “Documents Requested” option will be available to</td>
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CBP users if the review is initiated post summary filing. If the system previously generated a “Documents Requested” message to the filer via ABI at the time of summary filing, this option will not be available to CBP users.

7.1.3. These documents must be submitted to CBP, **within 5 business days from request date**, either through the ACE Secure Data Portal in electronic form or at the port of entry in paper form.

7.1.3.1 Response may be submitted to CBP through the ACE Secure Data Portal if user has portal account. The filer has the ability to upload documents through the portal without cross account access for a “documents requested” message. Trade user will scan and upload documents as PDF. The filer can respond through the ACE portal on behalf of the importer of record. The unique identifier will be the action number generated by the system.

7.1.3.2 If response is not submitted through the ACE Secure Data Portal, the response must be submitted to CBP at port of entry where entry summary is filed. A transmittal form (a new test form - CBP Form 7501T) or page 1 of the CBP Form 7501 shall be used as a cover document to accompany paper submissions of required documents. Documents may also be submitted with a label affixed. The unique identifier will be the action number or entry number.

7.1.3.3 The original documents will be filed at the port of entry in accordance with the CBP records retention policy.

7.1.3.4 The filer remains responsible for the record keeping requirements found in 19 CFR 163.

**7.2 Entry summary has been rejected by CBP user in accordance with policy**

Filer will receive CATAIR outbound message with notification that entry summary has been rejected. Generally, filer has two business days to respond to reject.

The only exception for resubmission of rejected entries is for AD/CVD entry summaries rejected after 10 working days for failure to post bond/cash for merchandise subject to AD/CVD cases. Regardless of when the entry summaries are rejected, those summaries must be resubmitted to CBP within 10 working days from the date of the reject.

A PSC which has been rejected back to the filer may only be retransmitted as a PSC. The filer has two business days to retransmit. If the filer does not retransmit the PSC within the prescribed timeframe, may result in CBP performing an online change (if required) and liquidating the entry summary (two-
An ACE AE allows entry summary content to be changed while in the period between the generation of the preliminary statement and the marking of the entry summary as Paid (i.e., the ACS period between preliminary statement and final statement) if the ACE entry summary is in a CBP Rejected state.

ACE will reject a replacement AE transaction if the entry summary is in a CBP Rejected state and the preliminary statement has been generated but the entry summary has not yet been marked as Paid.

When the Trade receives a CBP Reject message (i.e., the UC transaction) the Trade will be allowed to:
- immediately submit the replacement AE transaction (as long as the entry summary has been marked paid),
- remove the entry summary from statement and then submit the replacement (entry summary would now be single pay), or
- wait until the entry summary has been marked as Paid and then submit a replacement.

7.2.1 Currently, there is only one reject reason code which will be transmitted in the outbound message. The remarks may be used by the CBP user to identify the reason for the rejection.

7.2.2 Filer has two business days to retransmit the entry summary with the necessary corrections, except for AD/CVD entry summaries which have 10 working days.

7.2.3 Filer can use a reject response template that will be made available at CBP.gov to communicate with the port regarding the entry summary rejection.

7.2.4 If the entry summary is rejected because it should have been filed as another entry type (other than a 01, 03, or 11), the filer shall retransmit the entry summary with the correct entry type and any necessary corrections. In order to do so, filer shall submit a request that CBP inactivate the ACE entry summary so that the entry summary may be retransmitted to ACS using the same entry number.

If CBP user inactivates the entry summary in ACE, CBP user will return any documents received with a copy of the inactivation request (or reject response document) via the
### 7.3 A CBP Form 28 may be initiated by a CBP user in ACE.

This form can either be sent to the importer of record through the ACE Portal, if the importer of record has an account, through the U.S. mail, or both. Portal account owner will be able to designate the preferred method of communication for these CBP forms. CBP shall use the desired method designated by the portal account owner.

7.3.1 CBP Form 28 is initiated by CBP user in ACE. Importer of record will be sent the form according to the predetermined method of communication. Otherwise, the form will be mailed to the importer of record.

7.3.2 CBP user will print a “courtesy” copy of the CBP Form 28 and either place in broker’s box at the port of entry or mail.

7.3.3 Importer of record or designated agent must respond to the CBP Form 28 within 30 calendar days from the date of the form.

7.3.3.1 Response may be submitted to CBP through the ACE Secure Data Portal, if user has portal account. Trade user will scan and upload documents as PDF. The unique identifier will be the action identification number. CBP form initiator will receive an inbox notification of trade response.

7.3.3.2 Response may be submitted to CBP at port of entry where entry summary is filed. A transmittal form (a new test form - CBP Form 7501T) or page 1 of the CBP Form 7501 will be used as a cover document to accompany paper submissions of required documents. Documents may also be submitted with a label affixed. The unique identifier will be the action identification number generated by the system.

7.3.3.3 The original documents will be filed at the port of entry in accordance with the CBP records retention policy.

### 7.4 A CBP Form 29 may be initiated by a CBP user in ACE.

This form can either be sent to the importer of record through the ACE Portal, if the importer of record has an account, through the U.S. mail, or both. Portal account owner will be able to designate the preferred method of communication for these CBP forms. CBP shall use the desired method designated by the portal account owner.

7.4.1 CBP Form 29 is initiated by CBP user in ACE. Importer of record will be sent the form according to the predetermined method of communication. Otherwise, the form will be mailed to the importer of record.
7.4.2 CBP user will print a “courtesy” copy of the CBP Form 29 and either place in broker’s box at the port of entry or mail.

7.4.3 If the action is proposed, the importer of record or designated agent has 20 calendar days from the date of the form to respond to CBP. (See 7.3.3.1 and 7.3.3.2 for response options.)

This form can either be sent to the importer of record through the ACE Portal, if the importer of record has an account, through the U.S. mail, or both. Portal account owner will be able to designate the preferred method of communication for these CBP forms. CBP shall use the desired method designated by the portal account owner.

7.5 A CBP Form 4647 may be initiated by a CBP user in ACE.

7.5.1 CBP Form 4647 is initiated by CBP user in ACE. Importer of record will be sent the form according to the predetermined method of communication. Otherwise, the form will be mailed to the importer of record.

7.5.2 CBP user will print a “courtesy” copy of the CBP Form 4647 and either place in broker’s box at the port of entry or mail.

Note: PGA’s do not necessarily receive copies of requests for redeliveries based upon PGA refusal of admission.

7.5.3 Importer of record or designated agent must respond to the CBP Form 4647 within the time prescribed in the notice, generally 30 calendar days from the date of the form.

7.5.3.1 Response may be submitted to CBP through the ACE Secure Data Portal, if user has portal account. Trade user will scan and upload documents as PDF. The unique identifier will be the action number generated by the system. CBP form initiator will receive an inbox notification of trade response.

7.5.3.2 If response is not submitted through the ACE Secure Data Portal, the response must be submitted to CBP at port of entry where entry summary is filed. A transmittal form (a new test form - CBP Form 7501T) or page 1 of the CBP Form 7501 shall be used as a cover document to accompany paper submissions of required documents. Documents may also be submitted with a label affixed. The unique identifier will be the action number generated by the system.

7.5.3.3 The original documents will be filed at the port of entry in accordance with the CBP records retention policy.
7.5.4 CBP will send electronic or paper notification of final disposition.

NOTE: Samples and/or proof of marking corrections need to be coordinated between the appropriate CBP and trade parties. If a sample or any part of a shipment is requested to be re-examined, the completed CBP 4647 should be forwarded to the team noting when the merchandise will be made available.

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8.0 Blanket Declaration Records in the ACE Portal

Authorized trade participants will be able to create certain blanket declaration records in the ACE Secure Data Portal at an importer account level. CBP users and authorized trade participants will be able to display declaration records in ACE. Authorized CBP personnel and trade account owners will be able to cancel declaration records. Brokers with an ACE Portal account will now be able to create declaration records for their non-portal accounts. (Brokers with clients possessing their own importer portal accounts, however, will not be able to create declaration records on behalf of those clients. Brokers will have to be granted access as a “user” on the importer's portal account in order to create the declaration records). The following declaration records are currently permitted:

- Affidavit of Manufacture: AM
- Importer Certifying Statement: ICS
- North American Free Trade Agreement Certificate of Origin: NAFTA CO
- Non-Reimbursement Blanket Statement (AD/CVD): NRBS

Attachments may be made to declaration records and will be date and time stamped as part of the created declaration electronic file.

Currently, there are no reports available to be run for blanket declaration records.

8.1 Create Blanket Affidavit of Manufacture record in ACE Portal.

8.1.1 This document would support an importer statement or certificate of origin. (The intended use of this affidavit is not associated with 9802.) It is submitted by the producer of the raw materials that are used in an article in which a preference claim for duty is made. Affidavits are not accepted from
converters or agents. *See TBT 07-019 for CBP verification guidelines*

8.1.2 Once trade user selects the AM: Affidavit of Manufacture declaration record type, the following fields are mandatory to complete creation of the declaration record in the ACE portal:

1. Date Valid From
2. Date Valid To
3. HTS #
4. MID #; MID Name will be auto-populated (Cannot select MID ALL)

4. If the broker is creating the blanket affidavit of manufacturer record on behalf of an importer without an ACE Portal account, the broker’s filer code and the importer’s importer of record number are required.

8.2 Create Blanket Importer Certifying Statement record in ACE Portal.

8.2.1 This is a statement by an importer to declare that they qualify for a Free Trade Agreement or tariff preference program. This is not a requirement of entry, but can be posted to the ACE portal to cover multiple shipments of identical goods over a period of time, not to exceed 12 months.

8.2.2 Once trade user selects the ICS: Importer Certifying Statement declaration record type, the following fields are mandatory to complete creation of the declaration record in the ACE portal:

1. Date Valid From
2. HTS #
3. MID #; MID Name will be auto-populated (Cannot select MID ALL)

4. If the broker is creating the blanket importer certifying statement record on behalf of an importer without an ACE Portal account, the broker’s filer code and the importer’s importer of record number are required.

8.3 Create Blanket NAFTA Certificate of Origin declaration

8.3.1 In order to make a NAFTA preference claim, the NAFTA Certificate of Origin (CBP Form 434) or a substantially similar alternate document must be in the
Claims under the North American Free Trade Agreement Tariff Preference Levels Program

8.3.2 Once trade user selects the NAFTA CO: NAFTA Certificate of Origin declaration record type, the following fields are mandatory to complete creation of the declaration record in the ACE portal:

1. Date Valid From
2. Date Valid To
3. HTS #
4. If the broker is creating the blanket NAFTA Certificate of Origin record on behalf of an importer without an ACE Portal account, the broker's filer code and the importer's importer of record number are required.

8.3.3 This blanket declaration record requires the actual NAFTA Certificate of Origin to be uploaded/attached to complete the declaration record posting.

8.3.4 A blanket NAFTA Certificate of Origin declaration record may be cancelled and replaced by the importer only to make the following amendments:

- Description change
- Classification change
- Criterion change
- Name change of exporter, producer, or importer
- Address, email, telephone change for exporter, importer, or signer
- Net cost indicator from “No” to “NC”

8.3.5 A blanket NAFTA Certificate of Origin declaration record may be cancelled outright and not replaced by an importer upon discovery that the good(s) in block 5 do not originate. When canceling a blanket certificate declaration
### 8.4 Create Blanket Non-Reimbursement Statement record in ACE Portal

The importer must file a post entry summary correction (PSC) or prior disclosure to pay the duties and fees due on the subject goods.

8.3.6 A CBP user may cancel a blanket NAFTA Certificate of Origin declaration record if the good(s) in block 5 do not originate or the uploaded certificate is invalid.

Pursuant to 19 CFR 351.402(b), the importer must file, prior to liquidation of the entry, a certificate stating that the importer has not been reimbursed by the manufacturer, producer, seller, or exporter for antidumping or countervailing duties (AD/CVD). The importer has the option of filing a blanket non-reimbursement statement (NRBS) record through the ACE Portal to cover both ACS and ACE entry summaries.

**Guidance: AD/CVD Reimbursement Statement**

**Guidance: Blanket Reimbursement Certificates**

8.4.1 Once trade user selects the NRBS record type, the following fields are mandatory to complete creation of the declaration record in the ACE portal:

1. Case #
2. Date Valid From
3. Date Valid To
4. MID # or MID ALL; MID Name will be auto-populated
5. AD/CVD Statement Check Box
6. If the broker is creating the NRBS record on behalf of an importer without an ACE Portal account, the broker’s filer code and the importer’s importer of record number are required.

8.4.2 The case number as input is validated against the ACE case file and can be seven or ten digits. Up to 50 case numbers can be included in an NRBS record. The NRBS record can contain multiple seven digit cases, multiple ten digit cases, or multiple seven and ten digit cases. However, seven and ten digits cannot be of the same seven digit case.

8.4.3 Up to 50 MID numbers can be included in the NRBS record. MID numbers will be validated against the MID file and the MID name will be auto-populated in the NRBS record.
record. Anytime a seven digit case is used, including use of a combination of seven and ten digit case numbers, MID # ALL must be selected.

8.4.4 The trade is not required to scan and attach a signed copy of a blanket AD/CVD Non-Reimbursement Certificate; however, CBP reserves the right to request a copy.

8.4.5 Once the trade submits a NRBS record in ACE, it is considered to be submitted according to CBP regulations and filed at every port of entry; ACE NRBS records apply to both ACE and ACS entries.

8.4.6 The time period for a NRBS record or certificate is 12 months, or the administrative review period, whichever is longer.

8.4.7 If the importer has been reimbursed for AD/CV duties by the manufacturer, producer, seller, or exporter, the importer is required to cancel the NRBS record in the ACE portal and notify the AD/CVD Branch Chief (at Declarations mailbox).

8.4.8 If reimbursement has not occurred, the trade should check the "MID# All" box rather than enter MID numbers to protect against inadvertent/clerical errors. If reimbursement has occurred, then the trade should enter only ten digit case numbers making sure not to include those case numbers where reimbursement has occurred; the trade should also enter specific MID numbers.

An importer can also comply with 19 CFR 351.402(b) by declaring a NRBS on an ACE type 03 AD/CVD entry summary line. However, CBP reserves the right to request a signed paper copy of an AD/CVD Non-Reimbursement Certificate.

8.5 ACE Entry Summary Line Non-Reimbursement Statement Declaration

8.5.1 The filer has two options to declare the NRBS on the ACE entry summary line:

8.5.1.1 Option 1: a one-time single transaction declaration, by inputting a Y on the transmission record to declare "I hereby certify that I have not entered into any agreement or understanding for the payment or for the refunding to me, by the manufacturer, producer, seller, or exporter, of all or any part of the antidumping or countervailing duties assessed upon merchandise entered under this AD/CVD line of this entry summary. I further certify that U.S. Customs and Border Protection will be
notified if there is any reimbursement of antidumping or countervailing duties by the manufacturer, producer, seller, or exporter to the importing company at any time in the future for this AD/CVD line.”

8.5.1.2 Option 2: declare the ACE NRBS record number (the number from the importer’s ACE portal NRBS record).

8.5.2 If the importer has been reimbursed for AD/CV duties by the manufacturer, producer/seller, or exporter, and declared the AD/CVD NRBS using option 1 at the entry summary line level, the importer is required to notify the port where the entry summary was filed. See 8.4.7 for instructions when the blanket NRBS record number was used.

8.6 Search for declaration record in ACE Portal.

A search may be performed by authorized CBP and trade users for declarations created in the ACE portal based on all applicable fields.

9.0 Post Summary Correction

9.1 Post Summary Correction (PSC) Overview

9.1.1 The post summary correction process is a new ACE process. PSC replaces post-entry amendments (PEAs) for all ACE entry summaries. PSC is a means for the importer to make electronic corrections via ACE on entry summary data presented to and accepted by CBP. Each PSC will be a full replacement of the entry summary data, and CBP will consider the PSC to be the importer’s “assertion” that the entry summary data is correct. The trade must transmit a PSC in order to notify CBP of corrections. Presentation of a PEA for an ACE entry summary will not be allowed.

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

9.1.2 The PSC is essentially a new entry summary version. Accordingly, CBP will not agree or disagree with every PSC. CBP will accept the data as the most up-to-date available data and change the associated collection information to reflect any resulting monetary changes. ACE will track versions of each submission. CBP will not review every PSC. Census warnings will continue to be generated, when applicable. There is no limit to the number of PSC filings that can be transmitted for an entry summary.
<table>
<thead>
<tr>
<th>9.2 PSC Basic Rules</th>
</tr>
</thead>
<tbody>
<tr>
<td>Since all changes to ACE entry summaries are made online (either by the trade or CBP) quarterly submissions are not allowed for ACE entry summaries.</td>
</tr>
</tbody>
</table>

**9.2.1** The PSC filing must be transmitted within 270 calendar days of the date of entry, and the entry summary or previously filed PSC cannot be filed within 20 calendar days of the scheduled liquidation date.

**9.2.2** ACE will reject the transmission and the filer must file a protest if the entry summary is less than 20 days from the liquidation date.

**9.2.3** A PSC may only be filed on an entry summary in CBP control and in “accepted” status. “CBP Control” is defined as when the entry summary is scheduled for payment on an ACH statement. “Accepted” status is defined as an entry summary that has passed through all technical edits and validations.

**9.2.4** A filer may not submit a PSC for an entry paid on a periodic monthly statement until CBP has received payment for that statement, which may be up to 45 days following the entry date.

**9.2.5** For PSCs affecting a type 03 entry, all applicable AD/CVD cash deposits (or if bonding for the cash deposit is allowed, the appropriate bond) due as result of the change must be submitted with the PSC. AD/CVD cash deposits should be transmitted using **transmittal form (a new test form - CBP Form 7501T)** or the first page of the CBP 7501 coversheet referencing the entry summary number. STB's should be submitted using existing procedures for ACE entry summaries.

**9.2.6** ACE will automatically reject a PSC transmission which is currently being reviewed by CBP. 

**9.2.7** A PSC is not permitted on informal (type 11) entries.

**9.2.8** A PSC is not permitted to change an AD/CVD entry (type 03) to a different entry type.

For entries requiring a change under 9.2.8, the filer must submit an ACE Entry Summary Rejection Response Form **requesting that CBP inactivate** the ACE entry summary in order to retransmit the entry summary to ACS using the same entry number. Documents substantiating the request should accompany the Rejection Response Form. If CBP agrees
with the request, CBP will inactivate the ACE entry summary, and return a copy of the Rejection Response Form via the broker's box at the port of entry. Filers should then transmit the ACS entry summary within two business days.

The same deadlines for filing a PSC apply to filing the inactivation request.

9.2.9 Filers are required to transmit one or more reason codes for the change, at the header and/or line level, and a description of the change. Up to five reason codes at the header and/or line level may be identified on a single PSC. Additional changes may be detailed in the PSC Filing Explanation Record also. See PSC.CATAIR.

9.2.10 The previous entry summary version cannot have been reconciled on a reconciliation entry.

9.2.11 Reconciliation fields such as flagging or unflagging an entry summary are not permitted using PSC.

9.2.12 Importer of record number is not permitted to be changed by PSC. A list of additional data elements not permitted to be changed via PSC is available in the ACE ABI CATAIR. See PSC.CATAIR.

9.2.13 The option of filing a CBP Form 4811 is the responsibility of the importer and/or filer.

Importers who choose to have a different filer (other than the original entry filer) file a PSC, shall be cognizant of whether a CBP Form 4811 has been submitted and to whom they have selected to receive the specific bills, refunds, liquidation notices, etc. It is not a requirement to file a CBP Form 4811 to change ownership of the entry summary—simply having another filer file the PSC changes the “ownership”.

9.2.14 Typically, CBP does not process bills or refunds under $20. However, if requested, CBP will process the bill or refund. Using the PSC functionality, the filer will request accelerated liquidation as identified above. See 9.4 for more information on accelerated liquidation.

9.2.15 For allowable changes affecting type 03 entries requested through a PSC, administrative refunds may be permitted—use the PSC Filing Explanation Record identifying the administrative refund is requested. The reject response template shall also be used to communicate with the port of the request for an administrative refund.

9.2.16 The filer remains responsible for the record keeping...
### 9.3 Post summary corrections are received in ACE

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.3.1 Once the PSC has successfully been transmitted, if the liquidation status is set as liquidated (meaning a liquidation date is in the future), ACE will automatically unset the liquidation in ACS and ACE.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.3.1.1 If a PSC has been selected for review, ACE will not allow another PSC to be transmitted. A PSC being reviewed will either be agreed or disagreed with. Requests in the form of CBP Form 28 or CBP Form 29 may be issued in order to further review the PSC.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement</th>
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<tbody>
<tr>
<td>If CBP agrees with the PSC submission the entry summary will be liquidated as a “no change” (two-week cycle).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>If CBP disagrees with the PSC change, the CBP user shall reject the PSC back to the filer. A PSC which has been rejected back to the filer may only be retransmitted as a PSC. A rejected PSC must be retransmitted to CBP within two business days. Failure to retransmit within the allotted timeframe may result in CBP performing an online change and liquidating the entry summary (2-week cycle).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.3.1.2 For a PSC that is not selected for review, ACE will process the PSC change.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.3.1.3 A PSC that has been rejected (disagreed) may only be replaced with another version of the PSC.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement</th>
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</thead>
<tbody>
<tr>
<td>9.3.1.4 A PSC that is not reviewed must be manually placed back into the liquidation cycle (314-day liquidation cycle) in order to allow the possibility of another PSC to be submitted.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.3.1.5 The Courtesy Notice of Liquidation will only be sent to the current PSC filer and not to both the original filer and the PSC filer.</td>
</tr>
</tbody>
</table>

### 9.4 Accelerated liquidation request

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>When a PSC results in a change in duties, taxes, or fees, the filer has the option of requesting that CBP liquidate the entry using the two-week liquidation cycle. This is called “accelerated liquidation.” The filer may request accelerated liquidation using an indicator within the ABI message.</td>
</tr>
</tbody>
</table>
## 9.4 Request for bills or refunds under $20

| 9.4.1 CBP will review all PSCs which have requested accelerated liquidation before those PSCs that have not. |
| 9.4.2 A PSC for which no Accelerated Liquidation Request has been made by the importer, and which is not under review by CBP, will be accepted with the requested changes and the version number will be updated, and CBP will manually liquidate the entry summary (314-day liquidation cycle) in order to allow the possibility of another PSC to be submitted. Any additional PSCs if needed may be transmitted. CBP will process the refund or bill at the end of the liquidation cycle. |
| 9.4.3 Accelerated Liquidation Request is not allowed for AD/CVD entry summaries. |

## 9.5 Request for bills or refunds under $20

| 9.5.1 Typically, CBP does not process bills or refunds under $20. However, if requested using the accelerated liquidation functionality, CBP will process the bill or refund. Using the PSC functionality, the filer will request accelerated liquidation as identified above. See 9.4. |
| 9.5.2 When the PSC is received with an accelerated liquidation request under $20, CBP will perform a review and liquidate the entry summary (two-week cycle). |
| 9.5.3 For changes affecting type 03 entries requested through a PSC, administrative refunds may be permitted. |

## 9.6 Entry Summary Query to determine PSC Information

| 9.6.1 The original filer can use the ABI ES Query to receive the limited information below: |
| • Entry Filer Code |
| • Entry Number |
| • Version Number |
| • Accept Date Time (date and time that ACE last accepted the entry summary filing while in trade control) |
| • PSC Indicator |
| • PSC Accept Date (PSC accepted by ACE) |
| • Ownership Data Returned Indicator (Y=owner / space=not owner) |
| • Liquidation Status Code |
| • Liquidation Date |

## 10.0 AD/CVD Case Management/Messages
ACE AD/CVD case management information contains comprehensive AD/CVD case information for trade portal users. It allows trade portal users to identify entry summary and liquidation requirements.

ACE, like ACS, does not require the filing of “03” entry summaries. The responsibility for properly filing the entry summary remains with the importer or his authorized agent. Trade users accessing the AD/CVD case information should consult the CATAIR as needed.

For disclosure purposes, the Department of Commerce, Import Administration (DOC/IA) is the responsible agency for the release of most of the information contained in the AD/CVD case management file.

AD/CVD case management information is available in the Task Selector under the Reference Tab in the ACE Portal. ACE AD/CVD information is logically presented by means of hyperlinks within sub-tabs. These sub-tabs group together case information and permit a streamlined access to the instruction messages issued by the DOC/IA.

10.1 View AD/CVD Case Information.

10.1.1 The company header information is shown at the top of the portal and sub-tabs with hyperlinks are shown in the bottom portion. The company header information on the left shows the case number followed by a hyperlinked related case number field so the ACE Portal user can immediately determine whether the case is subject to only, for example, antidumping or to both antidumping and countervailing duties.

10.1.2 The country of origin (COO) is displayed next showing both the ISO country code and the country name with a hyperlink to the country code file.

10.1.3 The COO is followed by the short verbal description of the products covered by the order, for example, antifriction bearings, pasta, lined paper products, or wooden bedroom furniture. Under the short description field is a hyperlink to the official case name. The official case name data field in ACE will be input by DOC/IA from the case name used in the Federal Register Notice.

10.1.4 Trade portal users must be mindful that the case name is not the scope. In order to determine whether a product is within the scope of an AD/CVD order, trade portal users must follow the instructions issued by DOC/IA that contain this information, e.g. preliminary determination, order, scope, etc. (See messages section.)
10.1.5 The case status is next. When the case status is listed as active, the case is currently under investigation or subject to an order. When the case status is inactive, ACE displays a reason, for example, “Company Revoked.”

10.1.6 The final field on the company header detail of the “View AD/CVD Case” is the Suspend ES data field which shows a “yes” or “no” indicator of whether liquidation of the entry is currently suspended for this case.

10.1.7 The final element in the upper half of the “View AD/CVD Case,” is standardized DOC/IA contact information which appears on the right side of case detail portal view.

10.1.8 The bottom half of the AD/CVD Company Case detail display contains several sub-tabs with hyperlinks.

10.2 Rates Information

The “Rates” sub-tab provides the trade portal user with rate information. The first field is the effective date of the rate for entry summary processing. Trade portal users should compare the effective date of the rate to the “Added Date” field to determine whether the effective date precedes the added date field.

10.2.1 Trade portal users are responsible for the correct bonding and deposit of AD/CVD and should promptly submit any additional bond or cash deposit when the rate(s) have been retroactively updated.

10.2.2 DOC/IA normally will transmit an instruction message for each effective date. Trade portal users with questions on an applicable rate should research the DOC/IA messages to determine whether previously transmitted instructions resolve the question.

10.2.3 ACE next displays the ad valorem rate column. The entry summary AD/CVD calculations must be correct or the entry summary will be placed in reject status.

10.2.4 ACE provides a data field for a specific rate of duty, that is, a set dollar amount for a given quantity. Units of measure (UOM) for products vary with the nature of the product and normal terms of sale so ACE also provides a UOM field and a description of that field. Common UOM are kg for kilograms, pcs for pieces, etc. When DOC/IA determines a specific rate of duty for a 10-digit case number, entry summaries filed in ACE will need to include the UOM for that rate.

10.2.5 When DOC/IA applies a specific rate of duty while
bonding is permitted for a case, an STB is required. A continuous bond only, therefore, is never allowed, unless the importer elects to pay cash.

10.2.6 The final column on the rates portal view is the “Inactivated Date” field. When this column is completed, trade portal users should identify whether an inactive date is followed by a retroactive update of a rate. (See procedures above for retroactive update of rates.)

10.3 Events Information

The “Events” sub-tab makes it much easier for trade portal users to identify when changes in suspension of entry summaries, bonding and cash deposits are likely to occur. Data fields common to all events are the effective date, the name of the event, the determination, the FR Cite, the added date, and the inactivated date. As with company details, the effective date and the added date may differ. The inactivated date should be interpreted in the same manner as for inactivated rates dates. Normally, the effective date will be the same as the date of the FR Cite. In order to view the text of the FR Cite, portal users may access the text by selecting the volume number, which is the first 2-digits of the citation and inputting the page number from the second portion of the FR Cite into the “Retrieve an FR Page” provided by the Government Printing Office. The Federal Register is not part of the ACE secure network so the FR must be accessed outside of ACE.

10.4 Bond/Cash Requirements

The bond/cash sub-tab provides the trade portal user with enhanced information on the current requirement for the AD/CVD case as well as clear information of these requirements for previously filed entry summaries.

10.4.1 The normal progression for a case is from “N/A” (not applicable) at the time of initiation of an AD/CVD investigation to “bond or cash” at the time of an affirmative preliminary determination by DOC/IA to “cash” at the time of an AD/CVD order.

10.4.2 However, when DOC/IA approves a request for a “New Shipper Review” (NSR), in addition to the above, “bond” will follow “cash” for the NSR company to indicate that a bond is permitted for the named producer or foreign exporter or combination identified by the case. Once DOC/IA has completed its NSR investigation cash will be required.

10.4.3 Trade portal users are responsible for the correct bonding and deposit of AD/CVD and should promptly submit any additional bond or cash deposit when this indicator has been retroactively updated.
10.4.4 DOC/IA normally will transmit an instruction message for each effective date in this tab. Trade portal users with questions on the applicable bond/cash requirement should research the DOC/IA messages to determine whether previously transmitted instructions resolve the question.

See Section 5.0 for more information regarding filing a Single Transaction Bond.

10.5 Administrative Review

The information contained in the Administrative Review (AR) sub-tab are the POR #, the Period of Review, Event, Event Effective Date, Added Date, Event FR Cite, and Msg #. Information on each of these data fields is set forth below. The AR sub-tab is designed to easily identify entry summaries which should be liquidated by providing an entry summary date range with a hyperlink to associated liquidation instruction messages. Trade portal users must not rely solely on the absence of a hyperlinked message in this sub-tab since this is a manual input process. When portal users expect a liquidation instruction should be present based on the stage of the AD/CVD case, they should perform a search of messages.

DOC/IA will complete the AR sub-tab for AD/CVD cases after ACE A2.3.1a is released so historical information is not included, except as DOC/IA determines is necessary for clarity on and AD/CVD case.

10.5.1 The HTS sub-tab contains only 3 data fields: HTS number, added date and inactivated date. ACE validates HTSs that are added to the case file to ensure the HTS exists and that it is an active HTS at the time it is added.

New HTSs may be added to an AD/CVD case from the time of the preliminary determination to the order (see “Events” sub-tab) or they may be inactivated during this time period. Once the AD/CVD case goes to order the scope of the order is finalized, except as described below under “changed circumstances” and “anticircumvention.” The new ACE data field “added date” is intended to simplify identification of entry summaries that may be subject to an AD/CVD case.

10.5.2 Written Description Dispositive—Trade portal users must always remember that the HTS in the AD/CVD case file are present to facilitate the filing of AD/CVD entry summaries in compliance with AD/CVD orders. The written description of the AD/CVD order is always dispositive as to whether any given product is within the scope of an order. Trade users

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should conclude that a product is within or is not within the scope of an order based on the presence or absence of an HTS in the AD/CVD case file.

10.5.3 Addition of HTS—
DOC/IA may add HTS numbers to an AD/CVD case file after a case has gone to order for reasons such as changes in the HTS, CBP change in classification of a product, results of a changed circumstances review, and results of an anti-circumvention determination.

10.5.4 “Changed Circumstances” Review—Interested parties may request that the DOC/IA conduct a changed circumstances review of an AD Order or suspension agreement. A changed circumstances review addresses questions about the applicability of the order (for example, “no interest revocations,” where partial or total revocation of the order is warranted because domestic parties are no longer interested in covering certain products). When DOC/IA finds products should no longer be covered by the order, it will publish the notice in the Federal Register and issue an instruction message to CBP.

10.5.5 Anti-circumvention—
A petitioner may request that DOC/IA conduct a review of products which are not explicitly covered by the scope of the order, but which a petitioner believes should be covered in order to prevent circumvention.

10.5.6 Susp ES—
ACE greatly simplifies the identification of entry summaries within a time period that are subject to suspension of liquidation. The Susp ES sub-tab contains only 4 data fields: Effective Date, Suspend ES, Added Date and Inactivated Date.

10.5.7 Maintenance of ACE Data—
When the DOC/IA creates an AD/CVD case in ACE (published in the FR and INI instruction message issued), the DOC/IA will input the date of initiation of investigation on the Events sub-tab and the “N/A” indicator and effective date on the Susp ES sub-tab because entry summaries are not subject to the suspension of liquidation at the initiation of an investigation. When the DOC/IA makes an affirmative preliminary or final determination that entry summaries are subject to suspension of liquidation, the DOC/IA will input the effective date the suspension of liquidation begins and the “Start” indicator. When the DOC/IA makes a determination that entry summaries should no longer be suspended, for example, the start of a GAP period, the
exclusion of a company from an AD/CVD investigation, the revocation of a company after an order, the revocation of an AD/CVD case resulting from a Sunset Review, the DOC/IA will complete the effective date field and insert the “STOP” indicator. CBP and trade portal users should be mindful that DOC/IA updates the Susp ES sub-tab separately from the Events, B/C and other sub-tabs.

The N/A indicator in the Susp ES sub-tab means that entry summaries are not subject to the suspension of liquidation. Notification to the importer and sureties of the suspension of liquidation remain performed for type 03 entry summaries.

Public messages will be available to the trade via ACE and the ADVCVD Search Application on cbp.gov. ACE enhancements allow CBP and trade portal users to more readily identify actions that need to be taken with respect to ACE and ACS transmitted and unliquidated entry summaries.

10.6 AD/CVD Messages

10.6.1 Portal users should refer to the events sub-tab to determine the most likely source of a message, for example, an active case that went to order in 1995 would have the initiation of investigation message, the preliminary determination message, the final determination message, the order message, and liquidation instructions originating in ACS. For events that occur under ACE, messages will originate in ACE.

10.6.2 DOC/IA messages now contain searchable information on specific foreign companies by the addition of the companies sub-tab to messages. Messages now contain not just the 10-digit case number but the party name and role (i.e. manufacturer and/or foreign exporter) as well as the party ID number.

10.6.3 Trade portal users are reminded that ACE entry summaries for named manufacturers and foreign exporters must only be made in accordance with DOC/IA’s instructions, that is, where the instructions state that a particular manufacturer and exporter combination have been given a 10-digit case number, both those firms must be present and acting in the role named.

11.0 Liquidation of ACE Entry Summaries
<table>
<thead>
<tr>
<th>11.1 No change liquidation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liquidation processing will occur in ACS. Entry summaries will be updated with liquidation data. The entry summary status will be set to “liquidated” with a scheduled liquidation date. ACS will interface with ACE to write liquidation data fields to entry summary record. When an AD/CVD entry summary has more than one case on the entry summary and liquidation instructions have not been issued for all the cases on the entry summary, the entry summary will remain suspended until suspension is lifted for all cases on the entry summary.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>11.2 Change liquidation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classification, value, duty, fee, quantity, etc., changes made by CBP will be captured online in the ACE entry summary record. (Not all fields in entry summary will be changeable. Data validations will be performed on changed entry summary fields.)Authorized CBP user will process change liquidation in ACS. ACS will interface with ACE to write liquidation data fields to entry summary record.</td>
</tr>
<tr>
<td>11.2.1 When a line on an AD/CVD entry summary requires processing for a change liquidation and the suspension of the entry has not been lifted, CBP will make the appropriate changes to the line(s). The liquidation of the entry will remain suspended until suspension is lifted for all cases on the entry.</td>
</tr>
<tr>
<td>11.2.2 Once liquidation instructions for all AD/CVD cases have been received and all appropriate changes have been made, authorized CBP user will process change liquidation in ACS. ACS will interface with ACE to write liquidation data fields to entry summary record.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>11.3 Deemed liquidations.</th>
</tr>
</thead>
<tbody>
<tr>
<td>11.3.1 When AD/CVD entries have liquidated by operation of law and AD/CVD duties have been deposited, an authorized CBP user will process a “no change” liquidation in ACS. ACS will interface with ACE to write liquidation data fields to entry summary record.</td>
</tr>
<tr>
<td>11.3.2 When AD/CVD entries have liquidated by operation of law and AD/CVD duties have not been deposited and have secured by a bond, an authorized CBP user will process a “change” liquidation in ACS. A bill will be sent to the importer of record (IOR) and/or SEB surety for the amount that would have been deposited at the time of entry, if the IOR elected to provide cash in lieu of surety. ACS will interface with ACE to write liquidation data fields to entry summary record.</td>
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</table>

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<thead>
<tr>
<th>11.4 By-pass liquidation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACS will process the auto liquidation batch jobs to process the by-pass liquidated entries. ACS will interface with ACE to write liquidation data fields to entry summary record. (314-day...)</td>
</tr>
<tr>
<td>11.5 Unset liquidation.</td>
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<td>11.6 Extend liquidation.</td>
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<td>11.7 Suspend liquidation.</td>
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<td>11.8 Informal entry summary liquidation.</td>
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<td>11.9 Reliquidation.</td>
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### 12.0 ACE Entry Summaries Flagged for Reconciliation

<table>
<thead>
<tr>
<th>12.1 Reconciliation entry is filed ACS.</th>
<th>ACE entry summaries can be flagged on an entry-by-entry or blanket basis for reconciliation. The reconciliation entry summary must be filed in ACS.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>12.1.1 ACS will process the ABI reconciliation transaction to perform the reconciliation for all the underlying entries. The reconciliation entry can be associated with both ACE and ACS underlying entries summaries.</td>
</tr>
<tr>
<td></td>
<td>12.1.2 The underlying flagged entry summaries will be updated with a new status code in ACE or ACS. This is a status on ACE entry summaries.</td>
</tr>
<tr>
<td></td>
<td>12.1.3 If an ACE entry summary is cancelled in ACE, the Reconciliation flags are automatically removed. Therefore, it is not required to remove the Reconciliation flags before performing the cancellation function in ACE.</td>
</tr>
<tr>
<td></td>
<td>12.1.4 Upon successful processing of reconciliation for all underlying entry summaries, ACS will interface with ACE to write reconciliation data to ACE.</td>
</tr>
</tbody>
</table>
13.0 Protest filing for ACE Entry Summaries

A protest may be submitted referencing an ACE entry summary. Protests may be made in writing or electronically. CBP shall use the information within ACE to decide electronic protests, and shall use the documentation provided by the protestant for paper protests. Accepted protests should be corrected within ACE at the line level if appropriate.

ACE Policy Document Updates--Table of Changes

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<td>7.1.1 Documents required clarification</td>
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<td>7.1.3.2 Clarification of cover document</td>
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<td>7.3 CBP shall identify the designated method of communication</td>
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<td>Section 10 (AD/CVD Case Management/Messages)</td>
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<tr>
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<td>Section 12 (ACE Entry Summaries Flagged for Reconciliation)</td>
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<td>10.4.4 Added STB hyperlink</td>
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<td>5.0 Consequence of not filing STB.</td>
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<td>6.1.3 Statement Indicator for electronic invoice required.</td>
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</table>
| 3.2            | April 2011     | Section 2 (Entry Summary Record Created in ACE) | 2.1.5 Recordkeeping requirements.  
2.3 Removed filer docs requested note. |
|                |                | Section 4 (Methods of Response to System Generated Notifications) | 4.1.3 Removed filer docs requested note.  
4.1.4 Recordkeeping requirements. |
|                |                | Section 6 (Electronic Invoice Processing) | 6.0 Clarification.  
6.1.3 Removed filer docs requested note and clarified paragraph.  
6.2.3 Recordkeeping requirements. |
|                |                | Section 7 (Entry Summary Team Review) | 7.1.3.4 Recordkeeping requirements.  
7.2 PSC rejection timeframes; outcome of failure to respond to PSC rejection.  
7.2.4 Clarified section. |
|                |                | Section 9 (Replace PEA process with PSC) | 9.0 New Chapter. |
|                |                | Section 11 Liquidation of ACE entry summaries | 11.3 Updated Section to read “Deemed”. |