

Data Collection Branch



Guidelines on the Automated Export System

Topics

- What is AES?
- Preparing to File Your EEI
- Automated Commercial Environment (ACE)
- AES Responses
- AES Compliance Reports
- Live Simulation of the ACE AESDirect



Automated Export System (AES)

- AES is the U.S. Customs and Border Protection's system that processes and stores all Electronic Export Information
 - AES was migrated to the ACE platform in 2014

AES Filing Methods

How do you file to AES in ACE ?

- AESDirect
 - Web Portal Filing System
 - Bulk Upload
 - AESWebLink
- Direct connection to AES on ACE Platform
 - Self-developed Software
 - Certified Vendor Software
 - Certified Service Center



Current AES Process Flow



Preparing to File Your EEI

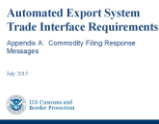
Gather & Review filing resources:



Preparing to File Your EEI

- AESTIR**

- Appendix A - Commodity Filing Response Messages
- Appendix D - Export Port Codes
- Appendix F - License & License Exemption Type Codes



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Exercise 1

- Port of Export Miami – 5201
- Mode of Transportation – Air
- What resources can we use to help us choose the correct Port of Export?



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Correct Port of Export

- The AESTIR on the CBP website
- Contact Carrier for POE information

AESTIR Appendices

- Appendix A - Commodity Filing Response Messages
- Appendix B - Transportation Filing Response Messages
- Appendix C - 525 Commodity Codes
- Appendix D - Export Port Codes
- Appendix E - Commodity Filing Exemption Codes
- Appendix F - License and License Exemption Type Codes
- Appendix G - Type of Transportation Service Codes

Export Port Code	CBP Post Location	Yrmt	Aut	Rept	Rept	Filed
5201	MIAMI, FL	Y	Y	Y	Y	Y
5202	MIAMI, FL	Y	Y	Y	Y	Y
5203	MIAMI, FL	Y	Y	Y	Y	Y
5204	MIAMI, FL	Y	Y	Y	Y	Y
5205	MIAMI, FL	Y	Y	Y	Y	Y
5206	MIAMI, FL	Y	Y	Y	Y	Y
5207	MIAMI, FL	Y	Y	Y	Y	Y
5208	MIAMI, FL	Y	Y	Y	Y	Y
5209	MIAMI, FL	Y	Y	Y	Y	Y
5210	MIAMI, FL	Y	Y	Y	Y	Y
5211	MIAMI, FL	Y	Y	Y	Y	Y
5212	MIAMI, FL	Y	Y	Y	Y	Y
5213	MIAMI, FL	Y	Y	Y	Y	Y
5214	MIAMI, FL	Y	Y	Y	Y	Y
5215	MIAMI, FL	Y	Y	Y	Y	Y
5216	MIAMI, FL	Y	Y	Y	Y	Y
5217	MIAMI, FL	Y	Y	Y	Y	Y
5218	MIAMI, FL	Y	Y	Y	Y	Y
5219	MIAMI, FL	Y	Y	Y	Y	Y
5220	MIAMI, FL	Y	Y	Y	Y	Y
5221	MIAMI, FL	Y	Y	Y	Y	Y
5222	MIAMI, FL	Y	Y	Y	Y	Y
5223	MIAMI, FL	Y	Y	Y	Y	Y
5224	MIAMI, FL	Y	Y	Y	Y	Y
5225	MIAMI, FL	Y	Y	Y	Y	Y
5226	MIAMI, FL	Y	Y	Y	Y	Y
5227	MIAMI, FL	Y	Y	Y	Y	Y
5228	MIAMI, FL	Y	Y	Y	Y	Y
5229	MIAMI, FL	Y	Y	Y	Y	Y
5230	MIAMI, FL	Y	Y	Y	Y	Y
5231	MIAMI, FL	Y	Y	Y	Y	Y
5232	MIAMI, FL	Y	Y	Y	Y	Y
5233	MIAMI, FL	Y	Y	Y	Y	Y
5234	MIAMI, FL	Y	Y	Y	Y	Y
5235	MIAMI, FL	Y	Y	Y	Y	Y
5236	MIAMI, FL	Y	Y	Y	Y	Y
5237	MIAMI, FL	Y	Y	Y	Y	Y
5238	MIAMI, FL	Y	Y	Y	Y	Y
5239	MIAMI, FL	Y	Y	Y	Y	Y
5240	MIAMI, FL	Y	Y	Y	Y	Y
5241	MIAMI, FL	Y	Y	Y	Y	Y
5242	MIAMI, FL	Y	Y	Y	Y	Y
5243	MIAMI, FL	Y	Y	Y	Y	Y
5244	MIAMI, FL	Y	Y	Y	Y	Y
5245	MIAMI, FL	Y	Y	Y	Y	Y
5246	MIAMI, FL	Y	Y	Y	Y	Y
5247	MIAMI, FL	Y	Y	Y	Y	Y
5248	MIAMI, FL	Y	Y	Y	Y	Y
5249	MIAMI, FL	Y	Y	Y	Y	Y
5250	MIAMI, FL	Y	Y	Y	Y	Y



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Automated Commercial Environment (ACE)

- ACE AESDirect Web Portal – Highlighted Features
- ACE AESDirect PGA Requirements



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ACE AESDirect Web Portal

File ID	Shipment Ref #	Status	Last Action	File	Last Updated	Export Date	USPPI	USPPI ID	Consignee	Destination	Shipment Action
112815676	5792014 / EE	Cancelled	Cancel	X20180719163520	2018/07/19 11:16:55	01/11/2018	112815676	112815676	TEET SHANGHAI	ABCZ	Print
112815676	57946	Shipped	ASL	1713181	08/02/2018	08/02/2018	112815676	112815676	DEWEN	DE1788/7036	Print
112815676	MEXI02014 / EE	Cancelled	Cancel	X20180827093808	2018/08/27 09:38:10	08/29/2018	112815676	112815676	DEWEN	DE1788/7036	Print
112815676	CANAM14014 / EE	Cancelled	Cancel	X20180821190218	2018/08/21 19:02:46	08/29/2018	112815676	112815676	XXE COMPANY	CA14	Print
112815676	FRAN1 / EE	Cancelled	Cancel	X20180823023268	2018/08/23 10:38:30	08/29/2018	112815676	112815676	DEWEN	DE1788/7036	Print
112815676	SHAM14014 / EE	Cancelled	Cancel	X20180823023268	2018/08/23 10:38:30	08/11/2018	112815676	112815676	XXE COMPANY	FR14	Print



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ACE AESDirect Features

- Highlighted Features Include:
- Template feature is limited to 1000 templates per company
 - The Shipment Manager will initially show the filings for the last 90 days
 - Shipment Manager Filter will allow users to filter based on:
 - USPPI Name
 - USPPI ID
 - Consignee Name
 - Country of Destination
 - Port of Export
 - Carrier SCAC/ IATA
 - User Name
 - Filings Updated in: (Select a Date – AES will allow users to select specific and custom date ranges to see their filed EEI within the last 5 years (90 days at a time))



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Partnership Government Agencies

- Bureau of Alcohol, Tobacco Firearms and Explosives (ATF)
- Agriculture Marketing Service (AMS)
- Drug Enforcement Administration (DEA)
- U.S. Fish and Wildlife Service (FWS)
- U.S. Environmental Protection Agency (EPA)
- National Marine Fisheries Service (NMFS)
- Alcohol and Tobacco Tax and Trade Bureau (TTB)

PGA contact information is available at:
<https://www.cbp.gov/trade/ace/features#field-content-tab-group-tab-5>



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ACE AESDirect PGA Requirements

- Appendix A (Commodity Filing Response Messages) has been updated to show the error codes for the new PGA requirements
- Appendix Q (PGA Record Formats) provides the record formats and additional data elements for the PGA's
- Appendix X (HTS and Schedule B Codes for PGA's) provides the classification codes that apply to the PGA's and triggers the required additional data elements.
- All appendices can be found at:
<https://www.cbp.gov/trade/aes/aestir/appendices>



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Exercise 2

- What are the three data elements required to retrieve legacy AESDirect shipments in ACE?



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Legacy AESDirect Shipments

You must provide the following three data elements to retrieve legacy AESDirect shipments in ACE:

1. Internal Transaction Number (ITN)
2. Shipment Reference Number (SRN)
3. Filer ID

[Amend Accepted Filing](#)



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AES Responses

Shipment Accepted
 ITN Issued

- Verify
- Compliance
- Warning
- Informational

Shipment Rejected
 No ITN Issued
 Or Update Rejected
 (Invalid ITN)

Fatal



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Fatal Error Code Example



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Proper Action for Fatal Errors

- Filers are required to correct – FTR 30.9
- Must be corrected for a valid AES ITN
- Predeparture filers must correct prior to exportation
- Refer to Appendix A of AESTIR documentation on CBP's website



<https://www.cbp.gov/trade/aes/aestir/appendices>



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Compliance Alert Example

Step 1: Shipment Step 2: Parties Step 3: Commodity Step 4: Transportation See As Template

COMPLIANCE ALERT: FTR SHIPMENT REPORTED LATE (FTR 30.9)
COMPLIANCE ALERT: SHIPMENT ASSES: COMPLIANCE ALERT

Email Response Address(es)	Shipment Reference Number	Filing Option
		2 - PREDEPARTURE
Mode of Transport (MOT)	Port of Export	Port of Unloading
11 - VESSEL, CONTAINERIZED	1303 - BALTIMORE, MD	77701 - SIBROUTI
Departure Date	Origin State	Country of Destination
02/20/2018	DE - DELAWARE	DE - SIBROUTI
Inbound Type	Foreign Trade Zone	Import Entry
70 - MERCHANDISE NOT SHIPPED RECORD		



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Proper Action for Compliance Alerts

- Compliance Alerts cannot be corrected
- Common Causes:
 - Late Filing
 - Changing critical shipment information after export date
 - Submitting shipment with incorrect export date
- Account for all compliance alerts with documentation



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Warning Message Example

Ultimate Consignee *

Sold En Route? Yes No
WARNING: SCHEDULE B/HTS CONS MUST BE REPORTED WITHIN 4 DAYS

ID Number Type
Please Select

First Name

Address Line 1 *

SEA

Postal Code *

Please Select

Narrative Text: ULT CONS MUST BE REPORTED WITHIN 4 DAYS

Reason: The Party Type is C for Ultimate Consignee and the To Be Sold en Route Indicator is reported as Yes.

Resolution: Incomplete ultimate consignee information may be declared on an EEI when a 'To Be Sold en Route' declaration has been made. However, the actual ultimate consignee must be declared within 4 days of the Estimated Date of Export. Verify, correct, and retransmit.



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Proper Action for Warning Messages

- Sold En Route Shipments
- Ultimate Consignee not known at time of export
- Must be corrected within 4 days



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Verify Message Example

Line 1 Details

Export Information Code *

001 - ALL OTHER EXPORTS Schedule B or HTS Number Schedule B Search Engine

8801.99.0000

1st Quantity	1st UOM	2nd Quantity	2nd UOM
X			

Value of Goods (excl. US Dollars) *

25000

Shipping Weight (excl. kilograms) *

10

VERIFY: B/W VALUE/SHIPPING WGT OUT OF RANGE

Narrative Text: VALUE/SHIPPING WGT OUT OF RANGE

Reason: For the reported Schedule B/HTS Number, the Value of Goods/Shipping Weight ratio is outside of the expected range.

Resolution: Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods divided by the shipping weight should fall within a certain parameter based on historical statistical averages for that goods...



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Proper Action for Verify Messages

- Review data thoroughly
- If data is correct, no further action is necessary
- If data is incorrect, correct and retransmit



Informational Message Example

State Department License - DSP-5 PERMANENT EXPORT OF UNCLASSIF

Export License Number # [] License Value # [] DDIC ITAR Exemption Number # []

INFORMATIONAL DSP-AVAL DSP LIC VALUE\$ 4831205.00

DDIC Registration Number # [] DDIC Quantity # [] DDIC UOM # [] DDIC USML Category Code # []

DDIC Significant Military Equipment Indicator # Yes No

DDIC Eligible Party Certification Indicator # Yes No

Proper Action for Informational Messages

- Non-critical notification to the filer
- Follow Informational message instructions
- No AES action is required



Proof of Filing Citations

Predeparture:

Format:	AES	ITN (YYYYMMDD#####)
Example:	AES	XZ0181017999999

Postdeparture:

If USPPI files

Format:	AESPOST	USPPI ID	Date of Export
Example:	AESPOST	11111111100	10/17/2018

If Authorized Agent files on behalf of USPPI

Format:	AESPOST	USPPI ID - Filer ID	Date of Export
Example:	AESPOST	11111111100-22222222	10/17/2018

AES Downtime Policy

When the AES filer's system is down

- Transmit through ACE AESDirect -OR-
- Select an authorized agent to report on your behalf

When the AES is down

- You will be notified by a nationwide e-mail broadcast
- Maintain log of unreported shipments and transmit when system comes back up
- Shipments subject to U.S. State Department, whether licensed or ITAR exempt, cannot be moved under AES Downtime
- Use Downtime Proof of Filing Citation to move cargo
- AES Down Citation:

AESDOWN	FILER ID	DATE OF EXPORT
AESDOWN	111111111	10/17/2018

AES Compliance Reports

- Issued monthly to the Account Owner
 - Ensure contact information is current on ACE
- Unresolved fatal errors & compliance alerts impact your compliance rate

AES Compliance Report August 2018

Reported Compliance Rate for July 2018	85%
Reported Compliance Rate for Aug 2018	99%
Total Shipments for July 2018	100
Total Shipments for Aug 2018	100
Unresolved Fatal Errors	2
Unresolved Compliance Alerts	2
Submittal/Change Warning Messages	0
Validity Messages	0

Details for Shipments with Unresolved Fatal Errors as of August 08, 2018

Message Reference Number	AES Request Code	AES Request Type	Custom Clearance
AE0121	115	Custom Clearance	
AE0122	115	Custom Clearance	

Details for Shipments with Unresolved Alerts as of Aug 08, 2018

Message Reference Number	AES Request Code	AES Request Type	Required Payment Line
AE0121	115	Custom Clearance	
AE0122	115	Custom Clearance	

Alerts Message # 1
This report is generated monthly and details all unreported errors made to the AES for the month. It is important to review your compliance status to ensure you are in compliance.

AES Compliance Reports

- Ultimate Goal is a 100% Compliance Rate
- If Compliance falls below 100%
 - Review internal filing processes

*Shipments found out of compliance are subject to fines, penalties and seizures



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Fatal Error Reports

- Issued if there are Unresolved Fatal Errors remaining from AES Compliance Report
- Issued each week there are outstanding Fatal Errors, until the next AES Compliance Reports are disseminated
- Resolve Fatal Errors - Appendix A
- For shipments that cannot be corrected:
 - Send an email to DCB's Fatal Error Team at ftd.aes.fatal.reports@census.gov
 - Include: ITN for the shipment that replaced the Fatal Error and the SRN of the shipment that generated the error.



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Live Simulation of the ACE AESDirect



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Want to Learn More?

- General Questions about AES & AESDirect
Data Collection Branch
1-800-549-0595 option 1
askaes@census.gov
Chief, Data Collection Branch: Paul Newman
- General Questions about ACE Accounts and ACE Export Reports
CBP Account Service Desk
1-866-530-4172 option 1, then option 2
ACE.Support@cbp.dhs.gov

Questions?
