

Trade Data Collection Branch



Guidelines on the Automated Export System

Topics

- AES Process/Filing Methods
- Preparing to File Your EEI
- AES Responses
- AES Compliance Reports
- Automated Commercial Environment (ACE)
- Live Demonstration 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
- Current Statistics (March 2020):
 - Total Statistical Shipments: 1,418,974
 - Total Statistical Value: \$108.6 billion
 - Unique Filer ID's (YTD): 16,964
 - USPPI's represented for the year: 245,803

Current AES Process Flow



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

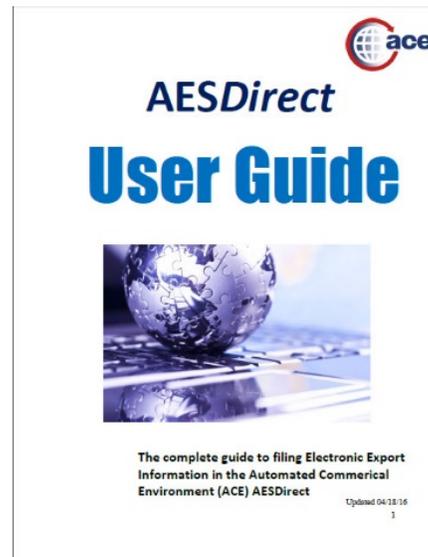


Preparing to File Your EEI

Gather & Review filing resources:

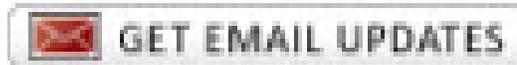


**FOREIGN TRADE
REGULATIONS
(FTR)**



**Automated Commercial
Environment (ACE)**

**Refactored AESDirect
Demo**



Preparing to File Your EEI

AESTIR

- [Appendix A - Commodity Filing Response Messages](#)
- [Appendix D - Export Port Codes](#)
- [Appendix F - License & License Exemption Type Codes](#)
- [Summary of Changes](#)

Automated Export System Trade Interface Requirements

Appendix A: Commodity Filing Response
Messages

July 2015



U.S. Customs and
Border Protection

Partnership Government Agencies

REQUIRED:

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

SUSPENDED:

- Agriculture Marketing Service (AMS)
- U.S. Fish and Wildlife Service (FWS)

PGA contact information is available at:

<https://www.cbp.gov/trade/ace/features#field-content-tab-group-tab-5>

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>

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?



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 - ISO Country Codes](#)

[Appendix D - Export Port Codes](#)

[Appendix E - Commodity Filing Export Information Codes](#)

[Appendix F - License and License Exemption Type Codes](#)

[Appendix G - Type of Transportation Service Codes](#)

Export Port Code	CBP Port Location	Vessel	Air	Rail	Road	Fixed
5104	CHRISTIANSTED, VI	Y	Y	N	N	N
5105	FREDERIKSTED, VI	Y	N	N	N	N
5201	MIAMI, FL	Y	N	N	N	N
5202	KEY WEST, FL	Y	Y	N	N	N
5203	PORT EVERGLADES, FL	Y	N	N	N	N
5204	WEST PALM BEACH, FL	Y	Y	N	N	N
5205	FORT PIERCE, FL	Y	Y	N	N	N
5206	MIAMI INTL AIRPORT, FL	N	Y	N	N	N
5210	FT. LAUDERDALE-HOLLYWOOD INTL.	N	Y	N	N	N
5270	INT. COURIER ASS., FL	N	Y	N	N	N

AES Responses

Shipment Accepted

ITN Issued

- Verify
- Compliance
- Warning
- Informational

Shipment Rejected

No ITN Issued

Or Update Rejected

(Invalid ITN)

Fatal

Fatal Error Code Example

Step 1: Shipment Step 2: Parties Step 3: Commodities **Step 4: Transportation 1** [Save As Template](#)

FATAL:970:SHIPMENT REJECTED; RESOLVE & RETRANSMIT

Carrier SCAC/IATA ◆ **Conveyance Name/Carrier Name** ◆ **Transportation Reference Number** ◆

FATAL:120:CARRIER UNKNOWN

[Add Equipment Line](#)

Line No.	Equipment Number	Seal Number	Actions
No data available in table			

[Clear Transportation](#)

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>

Compliance Alert Example

Step 1: Shipment Step 2: Parties Step 3: Commodities Step 4: Transportation [Save As Template](#)

COMPLIANCE ALERT:700:SHIPMENT REPORTED LATE; OPT 2
COMPLIANCE ALERT:973:SHIPMENT ADDED; COMPLIANCE ALERT

Email Response Address(es) * i <input type="text"/>	Shipment Reference Number * i <input type="text"/>	Filing Option * i 2 - PREDEPARTURE ▼
Mode of Transport (MOT) * i 11 - VESSEL, CONTAINERIZED × ▼	Port of Export * i 1303 - BALTIMORE, MD × ▼	Port of Unlading ♦ i 77701 - DJIBOUTI × ▼
Departure Date * i 01/10/2018	Origin State * i DE - DELAWARE × ▼	Country of Destination * i DJ - DJIBOUTI × ▼
Inbond Type * i 70 - MERCHANDISE NOT SHIPPED INBOND × ▼	Foreign Trade Zone ♦ i <input type="text"/>	Import Entry # ♦ i <input type="text"/>

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



Warning Message Example

Ultimate Consignee *

Sold En Route? * Yes No

WARNING:341:ULT 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

Severity: WARNING

Proprietary Record ID/Data Elements: Input SC1 Record/Estimated Date of Export; Input N01 Record/Party Type, To Be Sold en Route Indicator

X.12 Segment ID/Data Elements: DTM01; DTM02; N1 segment; for N101 = CN

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.

Proper Action for Warning Messages

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



Verify Message Example

Line 1 Details

Export Information Code *	Schedule B or HTS Number ◆ [Schedule B Search Engine]		
OS - ALL OTHER EXPORTS x ▾	6815.99.0000 x ▾		
1st Quantity ◆	1st UOM ◆	2nd Quantity ◆	2nd UOM ◆
	X ▾		
Value of Goods (whole US Dollars) *	Shipping Weight (whole Kilograms) ◆		
25000	10		

VERIFY:8VW:VALUE/SHPING WGT OUT OF RANGE

Narrative Text: VALUE/SHPING WGT OUT OF RANGE

Severity: VERIFY

Proprietary Record ID/Data Elements: Input CL2 Record/Schedule B/HTS Number, Value of Goods, Shipping Weight

X.12 Segment ID/Data Elements: L1301; L1302; L1305; L1306; L1310; L1311

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. Ratios outside this established parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Verify the reported gross shipping weight, checking that the proper metric unit of measure (kilograms) is used and verifying any conversions made to metric units such as pounds or tons to kilograms. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

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	DDTC ITAR Exemption Number	
<input type="text"/>	<input type="text"/> INFORMATIONAL:591:AVAIL S05 LIC VALUE=\$ 4851205.00	<input type="text" value="Please Select"/>	
DDTC Registration Number	DDTC Quantity	DDTC UOM	DDTC USML Category Code
<input type="text"/>	<input type="text"/>	<input type="text" value="x"/>	<input type="text" value="x"/>
DDTC Significant Military Equipment Indicator	<input type="radio"/> Yes <input checked="" type="radio"/> No		
DDTC Eligible Party Certification Indicator	<input type="radio"/> Yes <input type="radio"/> 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	X20200731999999

Postdeparture:

If USPPPI files

Format:	AESPOST	USPPI ID	Date of Export
Example:	AESPOST	1111111100	07/31/2020

If Authorized Agent files on behalf of USPPPI

Format:	AESPOST	USPPI ID – Filer ID	Date of Export
Example:	AESPOST	1111111100-22222222	07/31/2020

AES Downtime Policy

When the AES filer's system is down

- Transmit through ACE AES*Direct*
–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	07/31/2020

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 2013

E-mail	jane@abccompany.com	
Filer ID	XX-XXXX123	

Report Summary

Compliance Rate for	July 2013	85%
	June 2013	99%
	May 2013	99%
Total Shipments for	July 2013	588
	June 2013	515
	May 2013	495
Shipments with Response Messages:		
Unresolved Fatal Errors		2
Compliance Alerts		2
Informational Messages		2
Warning Messages		0
Verify Messages		86

Details for Shipments with Unresolved Fatal Errors as of August 08, 2013:

Shipment Reference Number	AES Response Code	AES Response Narrative
ABC123	120	Carrier Unknown
XYZ987	121	Carrier Code Must be 2 Char or 3 Letters

Details for Shipments with Compliance Alerts for July 2013

Shipment Reference Number	AES Response Code	AES Response Narrative
DEF456	700	Shipment Reported Late
EFG756	700	Shipment Reported Late

About this report:
* This report is sent out monthly and details all export filings made to the AES for the specified month. If your report contains any Unresolved Fatal Errors or Compliance Alerts, it is important to revise your current business practices to help ensure

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**

Fatal Error Reports

- 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 TDCB'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.

ACE AESDirect Web Portal

Shipment Manager

[+ Create Export Filing](#) [+ Create from Template](#) [Amend Accepted Filing](#)

Show Filters

Filings Updated in:

[Clear Filters](#)

Showing 1 to 9 of 9 Filings

Search [Search](#) [Reset](#)

Filer ID	Shipment Ref. # [Count]	Status	Last Action	ITN	Last Updated	Last Updated By	Export Date	USPPI	USPPI ID	Consignee	Destination	Shipment Actions
112610676	07092018 / [3]	Accepted	Cancel	X20180709636537	07/09/2018 11:19:55	EG11F6CD	07/09/2018	TEST CENSUS	11261067600	TEST TANGO	AR 	Print
112610676	55666	Draft	Add		07/02/2018 17:13:01	AN521545		JUBRAN EXPORTS	112610676	DIXON DISTRIBUTORS	CA 	Edit Print Delete
112610676	MEXICOSTATE / [3]	Accepted	Cancel	X20180627030835	06/27/2018 08:59:10	AG6204FB	06/29/2018	JUBRAN EXPORTS	11261067600	DIXON DISTRIBUTORS	MX 	Print
112610676	CARSAMPLESHIPMENT / [2]	Accepted	Cancel	X20180621698215	06/21/2018 10:06:49	JE225107	06/30/2018	123 COMPANY	11261067600	XYZ COMPANY	CA 	Print
112610676	FE667 / [2]	Accepted	Cancel	X20180523052508	05/23/2018 10:08:30	AG6204FB	06/01/2018	JUBRAN EXPORTS	11261067600	DIXON DISTRIBUTORS	CU 	Print
112610676	SAMPLESHIPMENT1 / [2]	Accepted	Cancel	X20180426506889	05/16/2018 07:46:04	AG6204FB	05/15/2018	123 COMPANY	11261067600	XYZ COMPANY	JP 	Print

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])

Exercise 2

- What are the three data elements required to use the **Amend Accepted Filing** option in ACE? (*Also used to retrieve and amend legacy AESDirect shipments*)

Legacy AESDirect Shipments

You must provide the following three data elements to use the **Amend Accepted Filing** in ACE:

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

A screenshot of a web application dialog box titled "Amend Accepted Filing". The dialog has a blue header bar with a close button (X) on the right. Below the header, there are three input fields: "ITN" (empty), "Shipment Ref. No." (empty), and "Filer ID" (containing the value "123456789"). At the bottom right of the dialog, there are two buttons: "Amend" (dark blue) and "Cancel" (light gray).

Live Simulation of the ACE AES*Direct*

Create Export Filing (Filer ID [REDACTED], ITN TBD)

* Required Field ◆ Conditional Field

Step 1: Shipment

Step 2: Parties

Step 3: Commodities

Step 4: Transportation

Save As Template

Email Response Address(es) * ⓘ

ENTER COMMA (,) SEPARATED ADDRESSES

Mode of Transport (MOT) * ⓘ

Please Select ▾

Departure Date * ⓘ

MM/DD/YYYY 

Inbond Type * ⓘ

70 - MERCHANDISE NOT SHIPPED INBOND ✕ ▾

Is this a Routed Transaction? * ⓘ Yes No

Are USPPI and Ultimate Consignee companies related? * ⓘ Yes No

Does shipment contain hazardous material? * ⓘ Yes No

Clear Shipment

Shipment Reference Number * ⓘ

Port of Export * ⓘ

Please Select ▾

Origin State * ⓘ

Please Select ▾

Foreign Trade Zone ◆ ⓘ

Filing Option * ⓘ

2 - PREDEPARTURE ▾

Port of Unlading ◆ ⓘ

Please Select ▾

Country of Destination * ⓘ

Please Select ▾

Import Entry # ◆ ⓘ

Close

Previous

Next

Print View

Submit Filing

Create Export Filing (Filer ID [REDACTED], ITN TBD)

Draft last saved: 05/09/2016 14:55:46

* Required Field ◆ Conditional Field

Step 1: Shipment

Step 2: Parties

Step 3: Commodities

Step 4: Transportation

Save As Template

USPPI * ⓘ

Load from Profile

ID Number Type * ⓘ

ID Number *

Company Name * ⓘ

IRS Number ◆ ⓘ

First Name * ⓘ

Last Name * ⓘ

Phone Number *

Address Line 1 * ⓘ

Address Line 2

Postal Code *

City *

State *

Clear USPPI

Save to Profile

[Load from Profile](#)

Ultimate Consignee * **i**

Sold En Route? * **i** Yes No

Consignee Type * **i**

Please Select ▾

ID Number Type **i**

Please Select ▾

ID Number **i**

Company Name *

First Name **i**

Last Name **i**

Phone Number

Address Line 1 * **i**

Address Line 2

Country *

Please Select ▾

Postal Code ♦ **i**

Please Select ▾

City * **i**

State ♦ **i**

Please Select ▾

[Clear Ultimate Consignee](#)

[Save to Profile](#)

Save Line

Delete Line

+ Add New Line

Line 1 Details



Line 1 Details

Export Information Code *

Schedule B or HTS Number [Schedule B Search Engine]

Commodity Description *

1st Quantity

1st UOM

2nd Quantity

2nd UOM

Origin of Goods

Value of Goods (whole US Dollars) *

Shipping Weight (whole Kilograms)

ECCN

License Type Code/License Exemption Code *

Does this filing require Participating Government agency data?

Yes No

Save Line

Delete Line

+ Add New Line

Create Export Filing (Filer ID: [REDACTED], ITN TBD)

Draft last saved: 05/09/2016 14:57:03

* Required Field ◆ Conditional Field

Step 1: Shipment

Step 2: Parties

Step 3: Commodities

Step 4: Transportation

Save As Template

Carrier SCAC/IATA ◆ i

Conveyance Name/Carrier Name ◆ i

Transportation Reference Number ◆ i

Transportation Reference Number, Equipment Number, and Seal Number can only be added for the following modes of transport:

- Air
- Rail
- Vessel
- Truck

Clear Transportation

Close

Previous

Next

Print View

Submit Filing

Want to Learn More?

- General Questions about AES & *AESDirect*

Trade Data Collection Branch

1-800-549-0595 option 1

askaes@census.gov

Chief, Trade 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?

