CBP and Trade Automated Interface Requirements

ABI Batch and Block Control

September 2016

U.S. Customs and Border Protection

ABI Batch & Block Control

This chapter provides trade participant interface information for the revised ACE-version of an Automated Broker Interface (ABI) electronic data submission. Presented are the Batch and Block input records used by an ABI Filer and the Batch and Block output records returned in response to an input or an ACE generated notification.

The reader should be advised that this technical document is considered final. However, the document retains the DRAFT designation in the footer until such time that an official OPA (Office of Public Affairs) publication number has been assigned to the new "ACE ABI CATAIR" publication. For your information, subsequent revisions to this document will be controlled through the official CBP document amendment process.

Table of Contents

Table of Changes 4
Record Layout Key 6
Batch and Block Control Input Structure Map 7
Input Structure Map Submission Notes 7
ABI Batch Filing - Usage Notes 14
a) Using Batch Control 14
b) Using Block Control 15
c) Entry/Entry Summary Filing Considerations – Non-Remote Location Filing (RLF) 15
d) Entry/Entry Summary Filing Considerations – Remote Location Filing (RLF) 16
e) Example Input Configurations 16
Batch and Block Control Output Structure Map 18
Batch OUTPUT Record Layouts 19
ABI Batch Response - Usage Notes 30
a) Response When a Batch Level Syntax or Authentication Condition Arises 30
b) Response When a Block Level Syntax or Authentication Condition Arises 31
c) Response When a Conditional Transaction Syntax Condition Arises 31
d) Response When Batch & Block Control and Transaction Syntax Unconditionally Accepted 32
e) CBP Generated Notifications 33

Table of Changes

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
12	Sept. 06,2016	Output B-Record Note 4	Changed all data elements description for Note 4 referencing Periodic Monthly Statement to Daily and Periodic Monthly Statements for pages BB 23-24.
11	June 23, 2016	Input A-Record (Note 3); Output A-Record (Note 2) Entry / Entry Summary Filing Considerations RLF Title Page	Listed all ACE current and future Application Identifier Codes (both INPUT and RESPONSE). Listed ACE current and future Application Identifier Codes allowed for RLF. Included title page.
10	Feb 10, 2016	Input B Record Output B Record	– Added **Note 4** to the Input B Record: Updated text and business rules to accommodate Remote Location Filing for stand-alone ACE Cargo Release transactions. – Updated text of **Note 1** to the Output B Record to note that Cargo Release Status Notifications are included in Output messaging for Remote filing.
9	March 16, 2015	Output X0-Record	Updated reference data text for BLOCK signpost to include remote filing details
8	Jan. 5, 2015	Input and Output A-Records	Updated the list of application identifier codes for eBond functionality.
7	Oct. 23, 2014	Input and Output A-Records	Updated the list of application identifier codes.
6	March 20, 2014	Input and Output ARecords	Updated the list of application identifier codes.
5	March 10, 2014	Input and Output A-Records Output B-Record	Updated the list of application identifier codes to include Periodic Monthly Statement functionality. Updated to include the data elements sent for a Periodic Monthly Statement.

4	April 23, 2012	Batch Control Input Record Layouts Batch Control Output Record Layouts	Documented the differences between the ACE ABI e-Manifest: Rail and Sea (eMAN) and the ACE ABI Entry Summary, Accounts, and Revenue (ESAR) Control A-, Y-, and Z-Records.
3	Jan. 18, 2011	Input and Output ARecords	Corrected the list of application identifier codes for each.
Revision Number	**Date of Change**	**Section(s) Affected**	**Brief Description of Change**
2	Feb. 26, 2009	Batch Output Record Layouts	In Batch Control Header (Output A-Record) for data element Application Identifier Code - inserted Designation of “C”.
1	Nov. 20, 2008		Initial release.

Record Layout Key

The following key describes the columns of the record layout definitions that follow.

Data Element:
Contains the name of the reported data field.

Length:
Indicates the maximum, allowed length of the reported data element.

Class:
Defines the domain of values accepted for the data element. The class definition represents the accepted domain to be used in **all** filing scenarios. Class codes are as follows:

S = Space ONLY.
A = Alphabetic Data. Consists of characters A through Z (uppercase ONLY).
N = Numeric Data Only. Consists of numerals 0 through 9.
(S)N = Numeric Data Variation. May contain '**Numeric Data Only**' **or** may consist of one or more spaces followed by numerals 0 through 9. Must consist of at least one right justified numeral. This variation of numeric class may be used for amounts, rates, and counts (where specified).
AN = Alphanumeric Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, and space.
D = Known Date. Consists of numerals 0 through 9 (format MMDDYY).
X = Special Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, space, and any other character found on a standard keyboard. The following characters are accepted:

! @ # $ % ^ & * ( ) - _ = + [{] } \ | ; : ' " , < . > / ? ` ~ ¢

Generally, the numeric data class is reserved for a data element used as an integer. It may also include a data element used as a sequencer (e.g., a line number).

Generally, any identifier or code is classed as alphanumeric. Note that this would include an identifier or code that may be required to be reported as all numerals.

Position:
Indicates the beginning and ending position, respectively, of the reported data element within the 80character record.

Designation:
Indicates the reporting requirement as follows:

M = Mandatory. A value conforming to the listed class is required in all filing scenarios.
C = Conditional. A value conforming to the listed class may or may not be required for a particular filing scenario. The usage notes will describe the specific cases in which the data element is required or not allowed to be reported.
O = Optional. A value conforming to the listed class will be conditionally accepted if provided. An optional data element may be subject to validation, however.

ESAR = refers to Entry Summary, Accounts, and Revenue transactions (AE/AX, JC/JD, UC, etc.)
eMAN = refers to e-Manifest: Rail and Sea transactions (QP/QT, WP/WT, BD, and NS)

Description:

Defines the data element and provides a further description of how it is to be reported. May include a list of acceptable values, an exception or further specification of the data class, and/or various rules regarding format, justification, and truncation.

Note:

Points to a further discussion regarding the reporting of the particular data element.

Batch and Block Control Input Structure Map

Input Structure Map Submission Notes

- Spaces must be transmitted in a data element marked 'filler'.
- Transmit ONLY uppercase alphabetic characters A through Z. CBP will routinely convert all Transaction Grouping lowercase alphabetic characters to uppercase alphabetic characters during its processing. CBP will routinely convert selected Batch Control and Block Control Grouping lowercase alphabetic characters to uppercase alphabetic characters during its processing. Alphabetic characters in any Transaction Grouping data elements received from CBP in a response or notification batch will be uppercase.
- Transmit ONLY displayable characters found on a standard keyboard. Do not transmit lowvalues, carriage return characters, or other non-standard characters.
- CBP will generally discard leading spaces in a Transaction Grouping data element when the class is A=Alphabetic, AN=Alphanumeric, or X=Special Data

The following table illustrates how the automated interface expects repeating groups to be structured in an ABI 'batch' filing.

Control ID	Name	Designation	Loop Repeat
A	Batch Control Grouping	M	
	Batch Control Header	M	
	Block Control Grouping	M	> 1
	Block Control Header	M	
B	Transaction Grouping	M	> 1
	<specific transaction records>		
Y	Block Control Trailer	M	
Z	Batch Control Trailer	M	

Designation: **M** = Reporting Mandatory

Note: Only Batch and Block control has been described in this document. Other ACE documentation shall describe the individual transaction records.

Batch Control INPUT Record Layouts

Batch Control Input Grouping

A 'batch' consists of specific transaction information 'enclosed' in an envelope. The batch envelope identifies the Sender/Receiver (i.e., *transmitter*) of the enclosed blocks and transactions within that batch. Each input batch submitted by an ABI Sender/Receiver must begin with an A-Record and conclude with a Z-Record and must enclose at least one block control grouping.

While a single transmission can consist of more than one batch, EACH batch will be considered as a separate unit of work. For EACH batch received as input from an ABI Sender/Receiver, a single batch will be returned in response.

Batch Control Header (Input A-Record)

The A-Record begins a batch and is MANDATORY for all filings. An A-Record MUST be immediately followed by a B-Record (Block Control Header).

Input A-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **A**	
Sender/Receiver Site Code	4AN	2-5	M	The CBP assigned code for the 'data processing' site/location of the transmitter (i.e., both sender of the batch and recipient of the response).	1, 2
Sender/Receiver ID Code	3AN	6-8	M	Transmitter's identification code (as assigned by CBP).	1
Communication Password	6AN	9-14	M	A pre-established password used to authorize the transmitter of the data.	
Transmission Date	6D or 6S	15-20	O	Transmitter's date of batch transmission. These positions are returned, unmodified, in the A-Record returned in the response to the batch (format MMDDYY). Space fill if not used.	
Filler	5S	21-25	M	Space fill.	
Application Identifier Code	2AN	26-27	M-ESAR **OR** OeMAN	A code that identifies the type of transaction data within the batch.	3,4
Filler	10S	28-37	M	Space fill.	
Sender/Receiver Office Code	2AN	38-39	C	A code agreed upon by the transmitter and CBP representing a specific 'office' (or sub-location). Space fill if not used.	1
Filler	20S	40-59	M	Space fill.	
Input A-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**

Transmitter's User Data Text	21X	60-80	O	Provided for the transmitter's internal use. These positions are returned, unmodified, in the A-Record returned in the response to the batch. Space fill if not used.	5

Note 1

The Sender/Receiver Site Code, Sender/Receiver ID Code, and Sender/Receiver Office Code identify **BOTH** the transmitter of the batch and the recipient/address of the output response. The output response will be returned to the electronic address pre-established by CBP for that transmitter.

Note 2

By convention, this code is the U.S. port code that is nearest the party's physical data transmission/data receiving location.

Note 3

Currently Supported INPUT Transactions		
Transaction Name	**Input Code**	Response Code
ACE Reference Data Query/Extract	**FQ**	FO
AD/CVD Case Information Query	**AD**	AC
Cargo Release (Create/Update)	**SE**	SX
Cargo/Manifest/Entry Release Query	**CQ**	C1
Census Warning Override	**CW**	CO
Census Warning Query	**CJ**	CL
Customs eBond Create/Update	**CB**	CX
Entry Summary Create/Update	**AE**	AX
Entry Summary Query	**JC**	JD
Harmonized Tariff Schedule - Extract Reference File	**HB**	HZ
Harmonized Tariff Schedule - Query	**HA**	HY
Importer/Bond Query	**KI**	KR
Importer/Consignee Create/Update	**TI**	TR
In-bond Arrival/Export/Transfer of Liability/BTA Results (eMAN)	**WP**	WT
In-bond Transaction Processing Results (eMAN)	**QP**	QT
Manufacturer Query	**MA**	MY
Partner Government Agency Query (FDA Affirmation Compliance)	**AA**	AY
Partner Government Agency Query (FDA Product Code Query)	**PA**	PY
Periodic Monthly Statement – Request Reroute	**MO**	MQ
Quota Query	**QA**	QB

Future INPUT Transactions (Implementation …TBD…)		
Transaction Name	**Input Code**	Response Code
ACH Debit Authorization/Entry Summary Presentation	**RM**	PZ
Drawback Entry Summary Create/Update	**DE**	DX
FTZ Admission Create/Update	**FT**	FZ
NAFTA Duty Deferral Create/Update	**NE**	NX
Reconciliation Entry Summary Create/Update	**RE**	RX
Statement Update	**SU**	SQ
Temporary Importation Bond Extension/Close Request	**TE**	TX

Note 4

ACE ABI ESAR inbound transactions require the application identifier code to be submitted. ACE ABI eMAN transactions (QP and WP) allow it to be submitted.

Note 5

Only User Data Text entered in positions 70-80 will be returned for ACE ABI eMAN transactions (QP/QT and WP/WT).

Batch Control Trailer (Input Z-Record)

The Z-Record concludes a batch and is MANDATORY for all filings. A Z-Record MUST be immediately preceded by a Y-Record (Block Control Trailer).

Input Z-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **Z**	
Sender/Receiver Site Code	4AN	2-5	M	The CBP assigned code for the 'data processing' site/location of the transmitter (i.e., both sender of the batch and recipient of the response).	1
Sender/Receiver ID Code	3AN	6-8	M	Transmitter's identification code (as assigned by CBP).	1
Filler (ESAR) **OR** Communication Password (eMAN)	6S 6AN	9-14	M-ESAR MeMAN	Space fill. A pre-established password used to authorize the transmitter of the data.	2
Transmission Date	6D or 6S	15-20	C	Transmitter's date of batch transmission. Space fill if not used.	1
Filler	17S	21-37	M	Space fill.	
Sender/Receiver Office Code	2AN	38-39	C	A code agreed upon by the transmitter and CBP representing a specific 'office' (or sub-location).	1
Filler	41S	40-80	M	Space fill.	

Note 1

Value MUST be identical to the same value in the previous Batch Control Header (A-Record).

Note 2

ACE ABI eMAN transactions (QP and WP) require that the Communication Password be submitted in positions 9-14 and match the Communication Password reported in the A-record.

Block Control Input Grouping

An input 'block' consists of specific transaction information 'enclosed' in an envelope. The block identifies the type of transaction data included in the batch. Furthermore, the block envelope identifies the parties (i.e., ABI Filer [e.g., Broker], remote preparer) responsible for the information declared on the transactions enclosed within that block. Each block begins with a B-Record and concludes with a YRecord. Each block MUST enclose at least one transaction specific detail record. The Block Control Grouping (B-Record, Y-Record envelope) can be reported multiple times within a single Batch Control Grouping (A-Record, Z-Record envelope).

Block Control Header (Input B-Record)

The B-Record begins a block and is MANDATORY for all filings. A B-Record MUST be followed immediately by a transaction specific detail record.

Input B-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **B**	
Filler	2S	2-3	M	Space fill.	
Processing District/Port Code	4AN	4-7	M	The code for the U.S. port where the enclosed transaction(s) are to be 'processed'.	1
Filer Code	3AN	8-10	M	Filer's identification code (as assigned by CBP).	1
Application Identifier Code	2AN	11-12	M	A code that identifies the type of transaction data within the block.	2
Filler	32S	13-44	M	Space fill.	
Processing Filer Office Code	2AN	45-46	C	A code agreed upon by the Filer and CBP representing a specific Filer 'office' (or sub-location). Space fill if not used.	
Remote Preparer District/Port Code	4AN	47-50	C	The code for the U.S. port location of the Remote Preparer. Space fill if not a remotely prepared block.	4
Remote Preparer Filer Code	3AN	51-53	C	Remote Filer's (Preparer) identification code (as assigned by CBP). Space fill if not a remotely prepared block.	4
Remote Preparer Office Code	2AN	54-55	C	A code agreed upon by the Remote Preparer and CBP representing a specific Preparer 'office' (or sub-location). Space fill if not used or not a remotely prepared block.	4
Input B-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Remotely Filed Indicator	1AN	56-56	C	An indication that the block has been prepared and filed remotely in accordance with the Broker District permit rules as set forth in CBP regulation. **1** = Remote Entry Submission. Space fill if not used or not a remote submission.	3,4
Filler	3S	57-59	M	Space fill.	

Filer / Preparer's User Data Text	21X	60-80	O	Provided for the Filer/Preparer's internal use. These positions are returned, unmodified, in the B-Record returned in the response to the block. Space fill if not used.	

Note 1

The Processing District/Port Code and Filer Code are always required and a profile must be preestablished by CBP for that party.

Note 2

See the list of valid ACE input Application Identifier Codes above (*Batch Control Header – Input A-Record – Note 3*).

Note 3

Only a value of '1' (Remote Entry Submission) is allowed at this time. A value to support remote reconciliation shall be made available in the future.

Note 4

As of February 28, 2016, stand-alone Cargo Release transactions will be allowed to be submitted *in addition to* Entry Summary transactions.

This enhancement accommodates what is commonly referred to as the "Two-Part Process". The Cargo Release transaction can be summited as a stand-alone transaction, and then by the tenth business day after CBP has authorized release of the shipment, the associated entry summary can be submitted as a stand-alone transaction.

Block Control Trailer (Input Y-Record)

The Y-Record concludes a block and is MANDATORY for all filings. The Y-Record will be returned to the Sender/Receiver, unchanged, in an output response if the batch is accepted without fatal errors.

Input Y-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **Y**	
Filler	2S	2-3	M	Space fill.	
Processing District/Port Code	4AN	4-7	M	The code for the U.S. port where the enclosed transaction(s) are to be 'processed'.	1
Filer Code	3AN	8-10	M	Filer's identification code (as assigned by CBP).	1
Application Identifier Code	2AN	11-12	M	A code that identifies the type of transaction data within the block.	1

Filler (ESAR) **OR** Input Transaction Image Count (eMAN) Filler (eMAN)	32S 5N 27S	13-44 13-17 18-44	M-ESAR MeMAN MeMAN	Space fill. Number of input images (i.e., records) submitted in the block. The count does not include the B-Record or the Y-Record. Space fill.	2
Processing Filer Office Code	2AN	45-46	C	A code agreed upon by the Filer and CBP representing a specific Filer 'office' (or sub-location). Space fill if not used.	1
Filler	34S	47-80	C	Space fill.	

Note 1

Value MUST be identical to the same value in the previous Block Control Header (B-Record).

Note 2

ACE ABI eMAN transactions (QP and WP) require the Input Transaction Image Count be submitted in positions 13-17 and must be equal to the block record count excluding the B- and Y-Records.

ABI Batch Filing - Usage Notes

The following sub-sections contain information regarding the filing of an ABI batch.

a) Using Batch Control

Submit all ABI blocks 'wrapped' in a batch control envelope.

While a single transmission can consist of more than one batch, EACH batch will be considered as a separate unit of work. For EACH batch received as input from an ABI *Sender/Receiver*, a single batch will be returned in response.

The *Sender/Receiver* information on the A-Record identifies the pre-established party that has been authorized to transmit/receive ABI data from CBP. This party may be a service bureau (providing transmission service for multiple customers). This party may be a Broker, an Importer that is filing on its own behalf, or other *filer* that has been approved by CBP. The customer software that transmits an ABI batch to CBP may have been purchased from a software vendor or may have been developed by the transmitter. One or more electronic addresses have been associated to an authorized, pre-established Sender/Receiver party. The CBP generated response to a batch will be returned to the pertinent address of the Sender/Receiver party.

The Sender/Receiver party may further control where the output response is to be returned by using an office 'location' code. The Sender/Receiver party can define as many office codes as needed. Each code, however, must be agreed upon and pre-established by CBP; an electronic return address is associated with each.

Contact the assigned CBP Client Representative for assistance to establish a Sender/Receiver party, or office location code. The CBP Client Representative must be notified in the event that an ABI filer intends to use another Sender/Receiver party (e.g., a change from one service bureau to another).

Only a single type of ABI transaction or query data can be included in a batch. In an ACE batch, the Application Identifier code must be specified at BOTH the A-Record level and the B-Record level. The Application Identifier Code in each and every block enclosed in the batch must be the same and must match the A-Record code.

b) Using Block Control

Submit all ABI transactions and queries 'wrapped' in a block control envelope.

The Filer Code on the B-Record identifies the pre-established party that is responsible for the transaction data in each of the enclosed transactions or has authorization to query.

The B-Record Processing District/Port Code, Filer Code party may specify an office 'location' code as well. While CBP does not routinely allow office code use at the block level, CBP will allow the use of the B-Record Processing Filer Office Code when an alternate ABI transaction authorization is clearly needed (e.g., multiple software packages -- the use of one software package for a particular ABI transaction and the use of a different package for another ABI transaction). Each code, however, must be agreed upon and pre-established by CBP. Each B-Record Processing District/Port Code, Filer Code, and Office Code party must be pre-established by CBP.

When needed, use multiple Block Control envelopes within a single Batch. A *service bureau* Sender/Receiver party could use multiple Block Control envelopes to separate their individual customers' transactions in a single batch. The B-Record Processing District/Port Code, Filer Code, and Office Code party must be pre-authorized to be included in a batch from the A-Record Sender/Receiver party. The Application Identifier Code in each and every block enclosed in the batch must be the same and must match the A-Record code, as well.

c) Entry/Entry Summary Filing Considerations – Non-Remote Location Filing (RLF)

For an entry/entry summary related transaction, in a scenario in which the Filer has NOT made an RLF claim, the Processing District/Port Code represents the CBP port location in which the entry summary is to be 'handled' or 'processed'. For a non-RLF entry summary transaction, this is the CBP port location in which the statement is to be printed.

For example, a *service bureau* Sender/Receiver party could use multiple Block Control envelopes to separate their individual customer entry/entry summary transactions. The Filer Code must be the same for each and every entry/entry summary transaction enclosed within a block.

In another scenario, a *Broker* Sender/Receiver party that is the responsible party for the enclosed transaction data could use multiple Block Control envelopes to designate that the enclosed entry summary transactions are to be processed in different CBP port locations. Generally, the port 'district' must be the same for each and every entry/entry summary transaction enclosed with a block. There are authorized cross-district exceptions however: any combination of district '10', '46', and '47' are allowed to be commingled within a block.

For example, in a scenario in which a cargo/shipment was handled in entry port 1106 (Wilkes Barre, Pennsylvania), the entry summary transaction B-Record Processing District/Port Code could be 1101 (Philadelphia). That same block, however, could also enclose entry/entry summary transactions where the entry district port was 1104 (Harrisburg), 1171 (Pittsburgh), as well as any other port in district 11.

For purposes of Daily Statement processing, the B-Record Processing District/Port Code of an entry summary block (Application Identifier Code = AE), designates the CBP location that statement is to be processed.

For example, in a scenario in which entry summaries from both port 3801 (Detroit) and 3802 (Port Huron) are enclosed in the same block where the B-Record Processing District/Port Code is 3801 (Detroit), then those entry summaries will be included in Detroit's daily statement. If a separate statement is desired for Port Huron, those Port Huron entry summaries must be enclosed separately in a block where B-Record Processing District/Port Code is 3802.

Note: This is a clarification of the use of block control and represents no change to the entry summary filing practice in the Automated Commercial System (ACS).

d) Entry/Entry Summary Filing Considerations – Remote Location Filing (RLF)

An Importer, filing on its own behalf, may file in any port; an RLF filing, therefore, is not generally necessary. A Broker, however, must be granted a national permit before an RLF filing will be accepted.

To file a Cargo Release transaction or an Entry Summary (including Certifying for Cargo Release from Entry Summary) 'remotely', use the B-Record Remote Preparer District/Port Code and Remote Preparer Filer Code. The B-Record Processing Remote Preparer District/Port Code, Remote Preparer Filer Code party may specify an office 'location' code as well. Each B-Record Remote Preparer District/Port Code, Remote Preparer Filer Code, and Office Code party must be pre-established by CBP. Furthermore, the B-Record Remote Preparer District/Port Code, Remote Preparer Filer Code, and Office Code party must be pre-authorized to be included in a batch from the A-Record Sender/Receiver party.

Before the first RLF submission is accepted, CBP must have established an authorizing relationship between the B-Record Remote Preparer District/Port Code, Remote Preparer Filer Code, Office Code party and the B-Record Processing District/Port Code.

Currently Supported RLF Transactions	
Transaction Name	**Input Code**
Cargo Release (Create/Update)	**SE**
Entry Summary Create/Update	**AE**

Future RLF Transactions	
Transaction Name	**Input Code**
Drawback Entry Summary Create/Update	DE
Statement Update	SU
Temporary Importation Bond Extension/Close Request	TE

e) Example Input Configurations

Input Configuration Example 1.

Multiple entry summary transactions in a single block from a Broker.

```
123456789-123456789-123456789-123456789...
A2704EEEPASSWD040108     AE
B  2704EEEAE
10 <detail suppressed>
... <other records suppressed>
90 <detail suppressed>
10 <detail suppressed>
... <other records suppressed>
90 <detail suppressed> Y
2704EEEAE
Z2704EEE      040108
123456789-123456789-123456789-123456789...
```

Input Configuration Example 2

Single entry summary transactions in multiple blocks from a service bureau.

```
123456789-123456789-123456789-123456789...
A3002SB1PASSWD040108     AE
B  3003CU1AE
10 <detail suppressed>
... <other records suppressed>
90 <detail suppressed>
Y  3003CU1AE
B  3004CU2AE
10 <detail suppressed>
... <other records suppressed>
90 <detail suppressed> Y
3004CU2AE
Z3002SB1      040108
123456789-123456789-123456789-123456789...
```

Input Configuration Example 3

Multiple entry summary queries in a single block from a Broker.

```
123456789-123456789-123456789-123456789...
A2704EEEPASSWD040108     JC B
2704EEEJC
J1 <detail suppressed>
J1 <detail suppressed>
J1 <detail suppressed> Y
2704EEEJC
Z2704EEE      040108
123456789-123456789-123456789-123456789...
```

Batch and Block Control Output Structure Map

The following table illustrates how repeating groups are structured and returned in an ABI filing response by ACE (when both input batch control and block control have been implicitly accepted) or for an ACE generated notification.

Control ID	Name	Designation	Loop Repeat
	Batch Control Grouping	M	
A	Batch Control Header	M	
	Block Control Grouping	M	> 1
B	Block Control Header	M	
	Transaction Grouping	M	> 1
	<specific response or notification records>	M	
Y	Block Control Trailer	M	
Z	Batch Control Trailer	M	

Designation: **M** = Mandatory

Note: Alphabetic characters in any Transaction Grouping data elements received from CBP in a response or notification batch will be uppercase.

The following table illustrates how repeating groups are structured and returned in an ABI format filing response by ACE when either an input batch control level, input block control level, or conditional transaction specific syntax problem condition has arisen.

Control ID	Name	Designation	Loop Repeat
	Batch Control Grouping	M	
A	Batch Control Header	M	
	Block Control Grouping	M	1
B	Block Control Header (ACE Generated)	M	
	Condition Grouping	M	> 1
	Block/Transaction Condition Reference	C	
X0	Batch/Block/Transaction **Condition**/Disposition Response	M	> 1
X1	Batch/Block/Transaction Condition/**Disposition** Response		
X1	Block Control Trailer (ACE Generated)	M	
Y	Batch Control Trailer (ACE Generated)	M	
Z			

Designation: **M** = Mandatory, **C** = Conditional

Batch OUTPUT Record Layouts

ACE will always return a response to an ABI input filing. In addition, ACE may transmit an unsolicited ACE generated notification.

Batch Control Output Grouping

ACE will always respond to an input submission with a syntactically valid batch consisting of an A-Record and Z-Record. Each output batch will enclose one or more output block control groupings and each output block will enclose one or more individual output transaction responses.

For ACE generated notifications, ACE will always generate a syntactically valid output batch consisting of an A-Record and Z-Record. Each output batch will enclose one or more output block control groupings and each output block may enclose one or more individual output notifications.

Batch Control Header (Output A-Record)

The A-Record begins an output batch and will be returned for all ABI input filings. For an A-Record returned in response to an input, the response will closely mirror the input A-Record. For ACE generated notifications, the A-Record will contain ACE generated data elements.

Output A-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **A**	
Sender/Receiver Site Code	4AN	2-5	M	The CBP assigned code for the 'data processing' site/location of the recipient (i.e., both sender of the batch and recipient of the response).	1
Sender/Receiver ID Code	3AN	6-8	M	Recipient's identification code (as assigned by CBP).	1
Filler (ESAR) **OR** Communication Password (eMAN)	6S 6AN	9-14	M-ESAR CeMAN	Space fill. A pre-established password used to authorize the transmitter of the data.	4
Transmission Date	6D or 6S	15-20	C	For an A-Record returned in response to an input: transmitter's date of input batch transmission. For ACE generated notification: the date that ACE prepared the notification batch for transmission.	1
Filler	2S	21-22	M	Space fill.	
Filler	3S	23-25	M	Space fill.	3
Application Identifier Code	2AN	26-27	C	A code that identifies the type of transaction data within the batch. Space will be returned if the batch is rejected.	2

Output A-Record Data Element	Length/ Class	Position	Desig	Description	Note
Filler	10S	28-37	M	Space fill.	
Sender/Receiver Office Code	2AN	38-39	C	A code agreed upon by the receiver and CBP representing a specific recipient 'office' (or sub-location).	1
Filler	20S	40-59	M	Space fill.	
Transmitter's User Data Text	21X	60-80	C	For an A-Record returned in response to an input: the exact value submitted in the input A-Record. For ACE generated notification: always space fill.	1

Note 1

For an A-Record returned in response to an input, the value is returned, unchanged, from the Batch Control Header (A-Record) received as input by ACE.

Note 2

Currently Supported RESPONSE Transactions		
Transaction Name	Input Code	**Response Code**
ACE Reference Data Query/Extract	FQ	**FO**
AD/CVD Case Information Query	AD	**AC**
AMS Broker Download (eMAN)		**BD**
Cargo Release (Create/Update)	SE	**SX**
Cargo Release Status Notification		**SO**
Cargo/Manifest/Entry Release Query	CQ	**C1**
Census Warning Override	CW	**CO**
Census Warning Query	CJ	**CL**
Customs eBond Create/Update	CB	**CX**
Customs eBond Status Notification		**BS**
Entry Summary Create/Update	AE	**AX**
Entry Summary Query	JC	**JD**
Entry Summary Status Notification		**UC**
Harmonized Tariff Schedule - Extract Reference File	HB	**HZ**
Harmonized Tariff Schedule - Query	HA	**HY**
Importer/Bond Query	KI	**KR**
Importer/Consignee Create/Update	TI	**TR**
In-bond Arrival/Export/Transfer of Liability/BTA Results (eMAN)	WP	**WT**
In-bond Transaction Processing Results (eMAN)	QP	**QT**
Manufacturer Query	MA	**MY**

Partner Government Agency Query (FDA Affirmation Compliance)	AA	**AY**
Partner Government Agency Query (FDA Product Code Query)	PA	**PY**
Periodic Monthly Statement		**MS**
Periodic Monthly Statement – Request Reroute	MO	**MQ**
Quota Query	QA	**QB**
Status Notification (eMAN)		**NS**

Please note: The application identifier for ACE ABI eMAN outbound transactions BD, NS, QT, and WT is not returned in the outbound A-Record.

Future RESPONSE Transactions (Implementation …TBD…)		
Transaction Name	Input Code	**Response Code**
ACH Debit Authorization/Entry Summary Presentation	**RM**	**PZ**
Courtesy Notice (of Liquidation)		**NR**
Daily Statement		**PF**
Drawback Entry Summary Create/Update	DE	**DX**
FTZ Admission Create/Update	FT	**FZ**
NAFTA Duty Deferral Create/Update	NE	**NX**
Reconciliation Entry Summary Create/Update	RE	**RX**
Seized Assets (SEACATS) Download		**AP**
Statement Update	SU	**SQ**
Surety Billing Notification (ASI)		**AR**
Surety Download (ASI) – Daily Entry Summary		**AS**
Surety Download (ASI) – Monthly Continuous Bond		**BO**
Surety Download (ASI) – Quarterly Entry Summary		**AQ**
Temporary Importation Bond Expiration Notice		**TS**
Temporary Importation Bond Extension/Close Request	TE	**TX**

Note 3

Field reserved for future application specific information.

Note 4

ACE ABI eMAN transactions (QT and WT) return the Communication Password in the output A-Record.

Batch Control Trailer (Output Z-Record)

The Z-Record ends an output batch and will be returned for all ABI input filings. For a Z-Record returned in response to an input (when both input batch control and block control have been implicitly accepted), the response will mirror the input Z-Record. For ACE generated notifications, the Z-Record will contain ACE generated data elements.

Output Z-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **Z**	2
Sender/Receiver Site Code	4AN	2-5	M	The CBP assigned code for the 'data processing' site/location of the recipient (i.e., both sender of the batch and recipient of the response).	1
Sender/Receiver ID Code	3AN	6-8	M	Recipient's identification code (as assigned by CBP).	1
Filler (ESAR) **OR** Communication Password (eMAN)	6S 6AN	9-14	M-ESAR CeMAN	Space fill. A pre-established password used to authorize the transmitter of the data.	3
Transmission Date	6D or 6S	15-20	C	For a Z-Record returned in response to an input: transmitter's date of input batch transmission. For ACE generated notification: the date that ACE prepared the notification batch for transmission.	1
Filler	17S	21-37	M	Space fill.	
Sender/Receiver Office Code	2AN	38-39	C	A code agreed upon by the receiver and CBP representing a specific recipient 'office' (or sub-location).	1
Filler	41S	40-80	M	Space fill.	

Note 1

For a Z-Record returned in response to an input, the value is returned, unchanged, from the Batch Control Trailer (Z-Record) received as input by ACE.

Note 2

In the event that either an input batch control level, input block control level, or conditional transaction specific syntax problem condition has arisen, an ACE *generated* Z-Record will be returned. With the exception of the 'Control Identifier' and the 'ACE Generated Record Indicator', the ACE *generated* Z Record will contain *spaces*.

ACE Generated Output Z-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**

Control Identifier	1A	1-1	M	Always **Z**	
Filler	78S	2-79	M	Space fill.	
ACE Generated ZRecord Indicator	1A	80-80	M	Always **Z**.	

Note 3

ACE ABI eMAN transactions (QT and WT) return the Communication Password in the output Z-Record.

Block Control Output Grouping

ACE will always respond to an input submission with at least one syntactically valid block consisting of a B-Record and Y-Record. Each block may enclose one or more individual transaction responses.

For ACE generated notifications, ACE will always generate at least one syntactically valid block consisting of a B-Record and Y-Record. Each block will enclose one or more individual notifications.

Block Control Header (Output B-Record)

The B-Record begins an output block and will be returned for all ABI input filings. For a B-Record returned in response to an input (when both input batch control and block control have been implicitly accepted), the response will mirror the input B-Record (with the exception of the Application Identifier Code). For ACE generated notifications, the B-Record will contain ACE generated data elements.

Output B-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **B**	3
Filler	2S	2-3	M	Space fill.	
Processing District/Port Code	4AN	4-7	M	The code for the U.S. port where the enclosed transaction(s) are to be 'processed'.	1
Filer Code	3AN	8-10	M	Filer's identification code (as assigned by CBP).	1
Application Identifier Code	2AN	11-12	M	A code that identifies the type of transaction data within the block.	2
Statement Status	1A	13-13	C	A code representing the Daily and Periodic Monthly Statement status. **P** = Preliminary Statement **F** = Final Statement	4

Statement Number	10AN	14-23	C	The number assigned to the Daily and Periodic Monthly Statement.	4
Preliminary Statement Print Date	6D	24-29	C	The date on which the preliminary statement was generated for this Daily or Periodic Monthly Statement.	4
Payment Type Code	1N	30-30	C	The Daily and Periodic Monthly Statement types: 2 = Daily Broker Statement 3 = Daily Importer Statement (including suffix) 5 = Daily Importer Statement (excluding suffix) 6 = Monthly Broker statement 7 = Monthly Importer statement (including suffix) 8 = Monthly Importer statement (excluding suffix)	4
Importer of Record Number	12X	31-42	C	For Payment Type Codes 3, 5, 7 and 8, the importer of record for the Daily and Periodic Monthly Statement.	4
Statement Client Branch Identifier	2AN	43-44	C	A code representing a further grouping of Daily and Periodic Monthly Statements as designated by the filer.	4
Processing Filer Office Code	2AN	45-46	C	A code agreed upon by the Filer and CBP representing a specific Filer 'office' (or sub-location).	1
Remote Preparer District/Port Code	4AN	47-50	C	For a B-Record returned in response to an input: the code for the U.S. port location of the Remote Preparer. For ACE generated notifications: always space fill.	1
Remote Preparer Filer Code	3AN	51-53	C	For a B-Record returned in response to an input: Remote Filer's (Preparer) identification code (as assigned by CBP). For ACE generated notifications: always space fill.	1
Remote Preparer Office Code	2AN	54-55	C	For a B-Record returned in response to an input: a code agreed upon by the Remote Preparer and CBP representing a specific Preparer 'office' (or sub-location). For ACE generated notifications: always space fill.	1

Remotely Filed Indicator	1AN	56-56	C	For a B-Record returned in response to an input: an indication that the block has been prepared and filed remotely in accordance with the Broker District permit rules as set forth in CBP regulation. **1** = Remote Entry submission. For ACE generated notifications: always space fill.	1
Filler	3S	57-59	M	Space fill.	
Filer / Preparer's User Data Text	21X	60-80	C	For a B-Record returned in response to an input: the exact value submitted in the input B-Record. For ACE generated notifications: always space fill.	1

Note 1

For a B-Record returned in response to an input, the value is returned, unchanged, from the Block Control Header (B-Record) received as input by ACE.

For a B-Record created for ACE generated notifications (such as the Cargo Release Status Notification, Entry Summary Status Notification, UC transaction and the Status Notification (eMan), NS transaction), the remote preparer fields, remotely filed indicator, and user data text fields will always be spaced filled.

For a B-Record created by ACE for the distribution of Periodic Monthly Statements in the MS transaction, the remote preparer fields in addition to the remotely filed indicator may be populated.

Note 2

See the list of valid ACE output Application Identifier Codes above (*Batch Control Header – Output ARecord – Note 2*).

Note 3

In the event that either an input batch control level, input block control level, or conditional transaction specific syntax problem condition has arisen, an ACE *generated* B-Record will be returned. With the exception of the 'Control Identifier' and the 'ACE Generated Record Indicator', the ACE *generated* BRecord will contain *spaces*.

***ACE Generated Output B-Record* Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **B**	
Filler	78S	2-79	M	Space fill.	
ACE Generated B Record Indicator	1A	80-80	M	Always **B**.	

Note 4

These data elements will only be populated appropriately by ACE for Daily and Periodic Monthly Statements as generated in ACE transactions PF and MS.

Block Control Trailer (Output Y-Record)

The Y-Record ends an output block and will be returned for all ABI input filings. For a Y-Record returned in response to an input (when both input batch control and block control have been implicitly accepted), the response will mirror the input Y-Record (with the exception of the Application Identifier Code). For ACE generated notifications, the Y-Record will contain ACE generated data elements.

Output Y-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1A	1-1	M	Always **Y**	2
Filler	2S	2-3	M	Space fill.	
Processing District/Port Code	4AN	4-7	M	The code for the U.S. port where the enclosed transaction(s) are to be 'processed'.	1
Filer Code	3AN	8-10	M	Filer's identification code (as assigned by CBP).	1
Application Identifier Code	2AN	11-12	M	A code that identifies the type of transaction data within the block.	
Output Transaction Image Count	5N	13-17	M	Number of output images (i.e., records) returned in the block. The count does not include the B-Record or the Y-Record.	
Filler	27S	18-44	M	Space fill.	
Processing Filer Office Code	2AN	45-46	C	A code agreed upon by the Filer and CBP representing a specific Filer 'office' (or sub-location).	1
Filler	34S	47-80	C	Space fill.	

Note 1

For a Y-Record returned in response to an input, the value is returned, unchanged, from the Block Control Header (Y-Record) received as input by ACE.

Note 2

In the event that either an input batch control level, input block control level, or conditional transaction specific syntax problem condition has arisen, an ACE *generated* Y-Record will be returned. With the exception of the 'Control Identifier', the 'Output Transaction Image Count', and the 'ACE Generated Record Indicator', the ACE *generated* Y-Record will contain *spaces*.

ACE Generated Output Y-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	1AN	1-1	M	Always **Y**	
Filler	11S	2-12	M	Space fill.	

Output Transaction Image Count	5N	13-17	M	Number of output images (i.e., records) returned in the block. The count does not include the B-Record or the Y-Record.	
Filler	62S	18-79	M	Space fill.	
ACE Generated YRecord Indicator	1A	80-80	M	Always **Y**.	

Block/Transaction Condition Reference (Output X0-Record)

The Block/Transaction Condition Reference will be returned in the output to identify an input block in which a syntax or authentication problem condition has been found. Conditionally, a Block/Transaction Condition Reference will also be returned to identify an input transaction record or record grouping in which a syntax problem condition has been found.

The output record conveys to the Sender/Receiver which record or record grouping component in the submission has caused the failed syntax or authentication condition. The X0-Record will not be returned if the failed syntax/authentication condition is limited to the Batch Control grouping (A-, Z-Record). An output X0-Record shall never be generated when both input batch control and block control have been implicitly accepted and there are no transaction level syntax conditions, or for an ACE generated notification.

***X0-Record* Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	2AN	1-2	M	Always **X0**	
Filler	1S	3-3	M	Always space.	
Reference Data Type Code	6AN	4-9		An indication as to the type of reference information returned. See Table 1 '*Returned Reference Data*'.	
Filler	1S	10-10	M	Always space fill.	
Occurrence Position	6N	11-16	M	If a repeating group, the relative position of the submitted input detail within the grouping, otherwise zero.	
Filler	1S	17-17	M	Always space fill.	
Reference ID Constant	7X	18-24	M	Always '**REF ID:**'.	
Filler	1S	25-25	M	Always space fill.	
Reference Data Text	55X	26-80	M	Identifying data extracted from the submitted input that corresponds to the Reference Data Type Code. See Table 1 '*Returned Reference Data*'.	

Table 1: **Returned Reference Data**

Reference Data Type Code	**Description / Usage**	**Returned 'Reference Data Text' Content**

<table>
<tr>
<td>BLOCK</td>
<td><u>Description:</u> Block Identifier.

<u>Usage:</u> Occurrence Position = the relative sequence of the Block within the Batch Control Grouping.</td>
<td>
<table>
<tr><th>Position</th><th>Description / Source</th></tr>
<tr><td>26-29</td><td>Processing District/Port Code (BRecord)</td></tr>
<tr><td>30-30</td><td>Space.</td></tr>
<tr><td>31-33</td><td>Filer Code (B-Record)</td></tr>
<tr><td>34-34</td><td>Space.</td></tr>
<tr><td>35-36</td><td>Processing Filer Office Code (BRecord)</td></tr>
<tr><td>37-37</td><td>Space.</td></tr>
<tr><td>38-39</td><td>Application Identifier Code (BRecord)</td></tr>
<tr><td>40-40</td><td>Space.</td></tr>
<tr><td>41-61</td><td>Filer / Preparer’s User Data Text (BRecord)</td></tr>
<tr><td>62-62</td><td>Space.</td></tr>
<tr><td>63-66</td><td>Remote Preparer Port (B-Record)</td></tr>
<tr><td>67-69</td><td>Remote Preparer Filer Code (BRecord)</td></tr>
<tr><td>70-71</td><td>Remote Preparer Office Code (BRecord)</td></tr>
<tr><td>72-72</td><td>Remotely Filed Indicator (B-Record)</td></tr>
<tr><td>73-80</td><td>Space.</td></tr>
</table>
</td>
</tr>
<tr>
<td>TRNACT</td>
<td><u>Description:</u> Transaction Identifier.

<u>Usage:</u> Occurrence Position = the relative sequence of the Transaction within the Block Control Grouping.</td>
<td>
<table>
<tr><th>Position</th><th>Description / Source</th></tr>
<tr><td>26-32</td><td>Relative position of the 80-Character record within the batch</td></tr>
<tr><td>33-33</td><td>Space</td></tr>
<tr><td>34-35</td><td>Relative position of the syntax problem within the 80-Character record - ‘00’ when the condition applies to the entire record.</td></tr>
<tr><td>36-80</td><td>Space</td></tr>
</table>
</td>
</tr>
</table>

Batch/Block/Transaction Condition/Disposition Response (Output X1-Record)

The Batch/Block/Transaction Condition/Disposition Response will be returned in the output multiple times within a single output batch in the event that an input A-, Z-, B-, or Y-Record problem, or conditional transaction syntax problem has been encountered.

The output record conveys to the Sender/Receiver a single, discreet *condition* regarding an input A-, Z-, B-, Y-Record, or transaction level record or the *final ‘rejected batch’ disposition* when such a problem is found. An output X1-Record shall never be generated when both input batch control and block control have been implicitly accepted and there are no transaction level syntax conditions, or for an ACE generated notification.

Output X1-Record **Data Element**	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	2AN	1-2	M	Always **X1**	

Disposition Type Code	1AN	3-3	M	An indication as to CBP's final disposition of the batch. **Space** = Not a final disposition record. **R** = Final disposition; the batch has been **REJECTED** by CBP.	1, 3
Severity Code	1AN	4-4	M	Always **F** - 'Fatally' invalid data or critical error.	
Condition Code	3AN	5-7	M	Code that identifies the condition or final disposition regarding the rejected batch.	2, 3
Filler	2S	8-9	M	Always space fill.	
Reason Code	1AN	10-10	C	A further identification of the condition for CBP internal use ONLY.	
Narrative Text	40AN	11-50	M	Text description that corresponds to the Condition Code.	3
Filler	30S	51-80	M	Always space fill.	

Note 1

The data element will be space if the record is NOT the final disposition.

Note 2

The following condition codes may arise.

Condition Code	Narrative Text 123456789-123456789-123456789-123456789-
X01	<reserved for CBP use>
X02	<reserved for CBP use>
X03	BLOCK CONTROL MISSING - B-RECORD
X04	TRANSACTION DETAIL MISSING
X05	BLOCK CONTROL MISSING - Y-RECORD
X06	BATCH CONTROL MISSING - Z-RECORD
X07	SENDER/RECEIVER SITE CODE MISSING
X08	SENDER/RECEIVER ID CODE MISSING
X09	SENDER/RECEIVER NOT AUTHORIZED

X10 TRANSMISSION DATE UNKNOWN

Condition Code	Narrative Text
	123456789-123456789-123456789-123456789-
X11	APPLICATION ID CODE MISSING
X12	NOT A KNOWN ACE APPLICATION ID CODE
X13	APPLICATION NOT CURRENTLY AVAILABLE
X14	Z-REC DOES NOT MATCH A-REC
X15	PROCESSING PORT CODE MISSING
X16	FILER CODE MISSING
X17	FILER NOT AUTHORIZED
X18	PROC PORT/FLR NOT AUTHRZD FOR SENDR/RCVR
X19	BLOCK APP ID / BATCH APP ID CONFLICT
X20	FILER NOT AUTHORIZED FOR APPLICATION ID
X21	REMOTELY FILED INDICATOR UNKNOWN
X22	REMOTE PREPARER/REMOTE IND CONFLICT
X23	REMOTE FILING NOT ALLOWED FOR APPLCTN ID
X24	REMOTE PREPARER PORT CODE MISSING
X25	REMOTE PREPARER FILER CODE MISSING
X26	REMOTE AND PRSSNG FILER NOT THE SAME
X27	BRKR DOES NOT HOLD NATIONAL PERMIT
X28	REMOTE PREPARER UNKNOWN
X29	REMOTE PREPARER NOT AUTHORIZED
X30	REMOTE PREPARER NOT AUTHRZD FOR APP ID
X31	REMOTE PREPARER NOT AUTHRZD FOR PORT
X32	Y-REC DOES NOT MATCH B-REC
X33	TRANSACTION HDR CONTROL MISSING
X34	UNKNOWN RECORD ID FOUND IN GROUPING
X35	OUT OF SEQUENCE RECORD FOUND IN GROUPING
X36	LOOP EXCEEDED
X37	MISSING DATA RECORD FOUND IN GROUPING
X38	NON-CONTIGUOUS ITEM FOUND IN GROUPING
X39	DATA FOUND IN FILLER
X40	NON-STANDARD DATA FOUND
X41	MULTIPLE QUERIES IN BATCH NOT ALLOWED
X42	LAST RECORD LESS THAN 80-CHAR LENGTH

X43 RMT PORT/FLR NOT AUTHRZD FOR SENDR/RCVR

Note 3

If the Batch is rejected due to one of the conditions above, the Condition Code will be **999** and the corresponding Narrative Text shall be '**BATCH REJECTED**' in the final disposition X1-Record.

ABI Batch Response - Usage Notes

The following sub-sections contain information regarding the return of an ABI batch in ACE.

a) Response When a Batch Level Syntax or Authentication Condition Arises

When any control records are missing or out of sequence, or a problem is found on the A-, or ZRecord, one or more fatal condition X1-Records will be returned. All condition X1-Records will follow an ACE *generated* B-Record. The final disposition X1-Record narrative text is BATCH REJECTED. An ACE *generated* Y-Record and Z-Record immediately follow. A fatal batch condition shall result in ALL input block control groupings (and ALL input transactions enclosed within each block control grouping) to be IGNORED. The validity of any input block (and any transaction data enclosed within) will NOT be determined.

Batch Rejection Example.

Submitted input:

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01PASSED010108     EI                                  BATCH-AAAAAA-TEXT-001
B  1201N01AE                                                 BLOCK-AAAAAA-TEXT-001
... <other records suppressed>
Y  1201N01AE
Z1234N01      010108
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

Response by CBP:

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01      040108                                         BATCH-AAAAAA-TEXT-001
B                                                                                B
```

```
X1 FX12   NOT A KNOWN ACE APPLICATION ID CODE
X1RF999   BATCH REJECTED
Y                                                                          0000
                                                                           2
                                                                           Y
Z                                                                          Z
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

b) Response When a Block Level Syntax or Authentication Condition Arises

When a problem is found on any B- or Y-Record, one or more fatal condition X1-Records will be returned accompanied by a Block/Transaction Condition Reference X0-Record that will identify the problem block. All X0- and X1-Records will follow an ACE *generated* B-Record. The final disposition X1-Record narrative text is BATCH REJECTED. An ACE *generated* Y-Record and Z-Record immediately follow. A single fatal block condition shall result in ALL input transactions enclosed within ALL block control groupings to be IGNORED. The validity of any transaction will NOT be determined.

Block Rejection Example.

Submitted input:

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01PASSWD040108     AE                                BATCH-AAAAAA-TEXT-001
B  1201N01AE                                1232N01  1    BLOCK-AAAAAA-TEXT-001
... <other records suppressed>
Y  1201N01AE
B  1202N01AE                                              BLOCK-BBBBBB-TEXT-002
... <other records suppressed>
Y  1202N01AE
B  1202N01EI                                1232N01  1    BLOCK-CCCCCC-TEXT-003
... <other records suppressed>
Y  1203N01AE
Z1234N01      040108
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

Response by CBP:

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01      040108                                        BATCH-AAAAAA-TEXT-001
B                                                                          B
X0 BLOCK  000001 REF ID: 1201 N01    AE BLOCK-AAAAAA-TEXT-001 1232N01  1
X1 FX31   REMOTE PREPARER NOT AUTHRZD FOR PORT
X0 BLOCK  000003 REF ID: 1202 N01    AE BLOCK-CCCCCC-TEXT-003
X1 FX12   NOT A KNOWN ACE APPLICATION ID CODE
X1 FX19   BLOCK APP ID / BATCH APP ID CONFLICT               1232N01  1
X1 FX32   Y-REC DOES NOT MATCH B-REC
X1RF999   BATCH REJECTED
Y                                                                          0000
                                                                           7
                                                                           Y
Z                                                                          Z
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

c) Response When a Conditional Transaction Syntax Condition Arises

Conditionally, when a syntax problem is found on any transaction level record enclosed within the block, one or more fatal condition X1-Records will be returned accompanied by Block/Transaction Condition Reference X0-Records that will identify the problem block and problem transaction. All X0- and X1-Records will follow an ACE *generated* B-Record. The final disposition X1-Record narrative text is BATCH REJECTED. An ACE *generated* Y-Record and Z-Record immediately follow. A single fatal transaction syntax condition shall result in ALL input transactions enclosed within ALL block control groupings to be IGNORED. The validity of any transaction will NOT be determined.

Transaction Syntax Rejection Example.

Submitted input:

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01PASSWD040108     CW                                  BATCH-AAAAAA-TEXT-001
B  1201N01CW                                  1232N01  1    BLOCK-AAAAAA-TEXT-001
CW01  <see CW/CO chapter for details>
CW02  <see CW/CO chapter for details>
CW03
Y  1201N01CW
Z1234N01      040108
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

Response by CBP:

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01      040108                                  BATCH-AAAAAA-TEXT-001
B                                                                            B
X0 BLOCK  000001 REF ID: 1201 N01    CW BLOCK-AAAAAA-TEXT-001 1232N01  1
X0 TRNACT 000001 REF ID: 0000005 00
X1 FX34   UNKNOWN RECORD ID FOUND IN GROUPING
X1RF999   BATCH REJECTED
Y                                                                       0000
                                                                        4
                                                                        Y
Z                                                                       Z
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

d) Response When Batch & Block Control and Transaction Syntax Unconditionally Accepted

When all input batch control, block control, and transaction records have been successfully evaluated for syntax and authentication, neither X0-, nor X1-Records will be returned; batch and block acceptance is implicit. Output that conforms to that described in the CATAIR chapter for the specific transaction will be returned within the same block control structure submitted. Transaction output shall be returned in the same order as the transaction input submitted.

This example is based on input records described in the ACE CATAIR '*Entry Summary Create/Update*' chapter. See that document for details of the input and response records.

Batch Acceptance Example.

Submitted input (using an AE/AX Entry Summary Create/Update example):

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01PASSED010108     AE                                  BATCH-AAAAAA-TEXT-001
B  1201N01AE                                                 BLOCK-AAAAAA-TEXT-001
```

```
10  <see AE/AX chapter for details>
... <other records suppressed; see AE/AX chapter for details>
90  <see AE/AX chapter for details>
Y  1201N01AE
B  1202N01AE                                                BLOCK-BBBBBB-TEXT-002
10  <see AE/AX chapter for details>
... <other records suppressed; see AE/AX chapter for details>
90  <see AE/AX chapter for details>
10  <see AE/AX chapter for details>
... <other records suppressed; see AE/AX chapter for details>
90  <see AE/AX chapter for details>
Y  1202N01AE
Z1234N01      010108
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

Response by CBP (using an AE/AX Entry Summary Create/Update example):

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01      010108     AX                                 BATCH-AAAAAA-TEXT-001
B  1201N01AX                                                BLOCK-AAAAAA-TEXT-001
E0 SUMMRY 000001 REFID: N01 50000035 1234567-1
E1A    995 SUMMARY HAS BEEN ADDED                 N01 50000035     1234567-1
Y  1201N01AX00002
B  1202N01AX                                                BLOCK-BBBBBB-TEXT-002
E0 SUMMRY 000001 REFID: N01  50000043 2345678-2
E1A    995 SUMMARY HAS BEEN ADDED                 N01 50000043     2345678-2
E0 SUMMRY 000002 REFID: N01  50000051 3456789-3
E1A    996 SUMMARY HAS BEEN REPLACED              N01 50000051     3456789-3
Y  1201N02AX00004
Z1234N01      010108
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```

e) CBP Generated Notifications

For ACE generated notifications, ACE will always generate a syntactically valid output batch consisting of an A-, Z-Record batch control envelope. Each output batch will enclose one or more B-, Y-Record block control envelopes and each output block will enclose one or more individual output notifications.

This example is based on output records described in the ACE CATAIR '*Entry Summary Status Notification*' chapter. See that document for details of the response records.

Notification by CBP (using a UC Entry Summary Status Notification example):

```
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
A1234N01      010109     UC
B  1201N01UC
E121694   010109                                  N01  50000035     1234567-1
Y  1201N01UC00001
Z1234N01      010109
123456789-123456789-123456789-123456789-123456789-123456789-123456789-123456789-
```