CBP and Trade Automated Interface Requirements

ACE Entry Summary Status Notification

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An Entry Summary Status Notification message will be provided to Automated Commercial Environment (ACE) Automated Broker Interface (ABI) filers as additional information is required or as entry summary processing conditions warrant.

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 a publication number from the CBP Office of Public Affairs 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.

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24	March 1, 2021	SO70 and SO71 records	**SO70 Record** **Note 3:** Added Reason code 52, under status code 11 **SO71 Record** **Note 4:** Added subreason code 191 under reason code 52.
23	February 22, 2021	SO70 and SO71 records	**SO70 Record** **Note 2:** Removed PGA line level status code 06 (Do not devan); Updated description for 08 PGA line level status code **Note 3:** Updated the column header title text to "Then a Valid Reason Code can be"; Added 06 (Do not devan) as a reason code under 02 (hold intact); Removed status code 06 with reason code 21; Added reason code 46 (release to CBP agriculture) under status code 07 (may proceed); Updated descriptions for reason codes 30 and 31 under status code 08; Removed reason code 53 under status code 08; Added reason code 30 and 31 under status code 11 **SO71 Record** **Note 4:** Updated the column header title text to "If the Reason Code is:"; Added reason code 06 and associated sub reason code188 (do not devan – exam); Added sub reason code 101 associated to reason code 11;

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
			Removed sub reason code 102 associated to reason code 11; Added sub reason codes 189, 190, associated to reason code 12; Removed sub reason code 145 (partial refuse), associated to reason code 40; Added sub reason codes 100, 101, 102 associated to reason code 40; Updated description of sub reason code 102 and 139;
22	August 3, 2020	SO70 record	**SO70** **Note 2:** Added two PGA Line Level Status Codes (12, 13); Added paragraph to the note **Note 3:** Added reason code 45, associated to 07, May Proceed; Added associated reason codes for resolving docs required (60) and resolving intensive (65, 66) Changed Status Reason Code numbers: from 45 (FWS Clearance Refused) and 46 (Partial Release and refused), to 35 and 36
21	May 5, 2020	E1	Updated description for Type R and Type 4 Updated Note 1 – description for Type 4 and Type R
20	April 24, 2020	E4	Added to Line Item Identifier that CBP added lines will contain an asterisk (*)
19	April 1, 2020	E1	Updated to add new UC Type R for a Post Summary Correction (PSC). Updated Note 1 to add explanation for UC Type R Updated Note 2 to include UC Type R for all reason code.
18	February 13, 2020	(A) SO70 record	**SO70:** **NOTE1:** Updated the paragraph explanation. **NOTE 3:** Changed the following Status Reason code numbers:

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
		(B) SO71 record	08-28 is now 08 – 52 08-29 is now 08 – 53 **NOTE 7:** Updated the formatting of the note, and added new PGA processing group version 03 Added **NOTE 9** to explain receipt of PG line 000 for some PGA related reviews. **SO71:** Added two data elements to replace the 'filler' field. This accommodates the FWS eDEC number and any future numbers whose length is greater than 12X. **NOTE 1:** Updated to indicate which Reference numbers can be returned in positions 7-18 and which Reference numbers will be returned in positions 61-62. **NOTE 4:** Updated the text for the following sub reason codes associated to Status reason code 14: 155, 172, 175, 176, 178 Added sub reason code 183 associated to Status reason code 14, for APHIS Core. Added the following sub reason codes for status code 26: 108, 109, 110, 111, 112, 120, 158 Changed Status Code 28 to 52.
17	November 12, 2019	(A) Record E4 Note 1	(A) Added (Q17) Quota Line Pending > 10 days and (Q28) License Line Pending > 10 days
16	June 20, 2019	(A) Record E4 Note 1 (B) Record E2	(A) Added 'Q15' (QTA Quantity must be > 0) to code list of Quota Line Status Code / Description in E4-Record. (B) Changed 'Class' designation of E2-Record 'CBP User' data element and E3-Record 'Remarks' data element from 'AN'

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
			to 'X'.
15	February 25,2018	(A) Introduction; Record E1; Record E1 Note 1, Note 3; Record E2 Note 3	(A) Removed reference to Disposition Type Code 9 (The liquidation date has changed); a UC of type 9 will no longer be generated. With the introduction of ACE liquidations in the G4 release the timing of the establishment of the liquidation date has changed. Request the latest liquidation status details for an Entry Summary by using the Entry Summary Query (JC transaction).
14	September 1, 2016	(A) Record E4 (B) SO70	(A) Specified 'Two decimal places are implied' for data element Requested Quota Quantity and Reserved Quota Quantity. (B) For NOTE 3: Added PGA Line Level Status Code 02, Status Reason code 51 "FWS CONDITIONAL RELEASE"; Added PGA Line level Status Code 07, Status Reason code 50 "FWS CLEARED"
13	July 18, 2016	(A) Record SO70	(A) For NOTE 1: Added PGA entry level status code 04 "DATA REJECTED PER PGA REVIEW." Added description sentence in note regarding this new PGA entry level status code.
12	July 12, 2016	(A) Record E1; Note 2 (B) Record E1; Note 4 (C) Record E1 (D) Record SO70	(A) Added two additional Notification Reason Codes: 022 (Quota Issue), 023 (Recon Reject). (Note '023' is for future use.) (B) Removed all reference to Certifying for ACS Cargo Release. (C) Added Disposition Type Code 'E' (TIB Extension Denied) (D) For Note 2: Changed description for code 10 from "Documents Required" to "Document Required"; For Note 4: Added text to the end of the first sentence in the note for clarification; For Note 7: Added value '02' to indicate next version of PGA Processing Group;

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
			Added Note 8 about reviewing status action time
		(E) Record SO71	(E) For Note 1: Added codes: 03 (AMS Confirmation Number); 04 (AMS FV6 Number); 05 (AMS LPS-222 Number); 06 (FWS eDECS Confirmation Number); For Note 4: Updated description for status reason code 26, sub reason code 149, per PGA
11	February 26, 2016	(A) Introduction	(A) Added information indicating that a UC message will be returned for Quota processing, USDA License processing.
		(B) Record E1	(B) Added Disposition Type Code 'Q' for Quota accepted. Added Notification Reason Code '022' and its description to Note 2 of the E1-Record.
		(C) Record E4	(C) Created new output E4-Record for Quota Line Status. Added new condition codes for USDA Licenses.
10	February 25, 2016	(A) Introduction	(A) Added information indicating that a UC message will be returned with PGA status.
		(B) Record E1	(B) Added Disposition Type Code 'P' for conditional PGA disposition.
		(C) Records SO70, SO71, and SO72	(C) Created new output SO70-, SO71-, and SO72-Records for conditional PGA status. Includes 2016/01/14 SO70- and SO71-Record clarifications.
		(D) Record E1; Note 4	(D) Added table to clarify how to respond to a Document Submission Request for Disposition Type Code '1' or '2'.
9	May 17, 2014	Record E1	Designated Import Specialist Team as a mandatory data element to be sent in all UC messages.
8	July 10, 2013	Record E2	Revised grouping designation as conditional and revised Note 3 for the E2-Record.

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
7	December 2, 2012	Record E1	Added Disposition Type Code '9' (Liquidation Date Change). Added new data elements to the E1-Record (Liquidation Date, Entry Summary Redlined Indicator)
6	June 4, 2011	Record E1	Added Disposition Type Code '8' (PSC presented by another filer).
5	October 31, 2010	(A) Record E1 (B) Record E2	(A) Added Notification Reason Code to the E1-Record. Added Note 2 to the E1-Record with a list of rejection reason codes and descriptions. (B) Added Telephone Extension Number to the E2-Record. Clarified Note 1 concerning when the CBP user's telephone number is provided.
4	April 29, 2009	(A) Record E1 (B) Record E2	(A) Added reserved space for a possible future Due Date data field. (B) Clarified the creation of this record and data elements when an automated request.
3	February 4, 2009	Record E2, Telephone Number	Telephone number for the CBP user to be provided only for rejected entry summary status notifications.
2	November 5, 2008	(A) Output Record Descriptions (B) Records E1, E2, and E3 (C) Record E1 (D) Record E1, Note 1	(A) Added a new output record structure 'map'. (B) Added a 'name' for each of the three output records for reference on the structure map. (C) Added Disposition Type Code 7. (D) For Disposition Type Codes 2 and 3, in lieu of submitting paper copies of documents, scanned codes of documents in response to these requests may be submitted electronically by uploading the documents via the ACE Secure Data Portal.

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
			Added an explanation of Disposition Type Code 7. (E) Added text to clarify that the E3-Record may be repeated up to seven times.
		(E) Record E3	
1	May 7, 2008	(A) Table of Contents	(A) Added a new table of contents to the document.
		(B) Record E1	(B) Removed Disposition Type Code of 7.
		(C) Record E1, Note 1	(C) Revised regulatory reference in description of Disposition Type Code 2. Removed remarks text in Disposition Type Codes 5 and 6 – none will be sent with these actions. Removed the explanation of disposition Type Code 7.

Entry Summary Status Notification - Introduction

The Entry Summary Status Notification message is a new ABI response message generated from Customs and Border Protection's (CBP) ACE entry summary processing, from CBP manual review of entry summary and related information, or from an action taken by CBP with agreement or request from the entry summary filer. This message will only be sent to ACE ABI filers for those entry summaries filed in ACE.

Filers may receive an Entry Summary Status Notification message indicating that additional documentation is required, an entry summary has been rejected, canceled, or inactivated, TIB denial, quota status, or that documentation has been received by CBP.

Please see the description of the E1-Record layout for the specific entry summary status disposition type codes for an explanation of the actions being taken or requested.

Input: There are no input records for entry summary status notification messages.

Output: Record Identifier E1 is an entry summary status notification output record that provides data to identify the entry summary for which an action has been taken or for which information is requested.

Record Identifier E2 is an entry summary status notification output record which, depending upon the source of creation, may contain information identifying the CBP user, his/her telephone number, and/or the unique action identification number assigned to this request.

Record Identifier E3 is a conditional entry summary status output record which, if present, will contain remarks from a CBP user. This record may be repeated.

Record Identifier E4 is a conditional entry summary status output record which, if present, will present Quota status information for each Quota line in the Entry Summary. A UC will be returned for CBP Quota when the quota request is either accepted or rejected.

Record Identifier E4 is also used to present USDA License status information if there are issues with a USDA License on a line. If there are no license issues, a UC will not be returned.

Record Identifiers SO70- SO71, and SO72 are used to convey PGA processing status information for when the PGA dataset was submitted on an Entry Summary Create/Update (AE) transaction and there is no conventional entry on file (i.e., an expedited release).

The application identifier in Record Identifier B is UC. For additional information on Record Identifier B, refer to the *"ABI Batch & Block Control"* chapter of the ACE ABI CATAIR.

Record Layout Key: A new description of the contents of each column of the record layouts has

been developed for ACE. Please refer to ACE ABI CATAIR Appendix Q for a description of this new record layout key.

Output Record Descriptions

Output Record Structure Map

The following table illustrates how repeating groups are structured and returned in an Entry Summary Status Notification response by ACE. Note that a returned Batch (A-, Z-Record envelope) shall contain a single Block (B-, Y-Record envelope), and that single block shall contain a **SINGLE** Entry Summary Status Notification Grouping (i.e., a notification for a **SINGLE** Entry Summary only).

Control ID	Name	Designation	Loop Repeat
	Entry Summary Status Notification Grouping	M	1
E1	Entry Summary Notification	M	
	CPB Action Grouping	C	1
E2	CBP User & Action Identifier	M	
	CBP User Remarks Grouping	C	7
E3	CBP User Remarks	M	
	Quota Status Grouping	C	998
E4	Quota Line Status	M	
	PGA Processing Grouping	C	> 1
SO70	PGA Processing Disposition	M	
	PGA Review Grouping	M	> 1
SO71	PGA Review	M	
	PGA Comment	M	> 1
SO72	PGA Comment	M	

Designation: **M** = Reporting Mandatory; **C** = Reporting Conditional; **O** = Reporting Optional

Entry Summary Notification (Output E1-Record)

This is an entry summary status output record that provides filers with entry summary identification and status information or information concerning a request for additional documentation.

Record Identifier E1 (Output)					
Data Element	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	2AN	1-2	M	Always E1.	
Disposition Type Code	1AN	3-3	M	For Entry Summary Status Notification messages, this is an indication as to CBP's request for information, a status change, or the disposition of this entry summary. 1 = Request for electronic invoice data only 2 = Request for the entry summary package 3 = Request for specific documents 4 = Entry summary rejected/PSC rejected 5 = ACE entry summary inactivated 6 = Entry summary canceled 7 = Document receipt acknowledgement 8 = A Post Summary Correction (PSC) has been presented by another filer P = PGA processing status information Q = Quota accepted E = TIB extension denied R = A Post Summary Correction (PSC) Filed was reverted.	1, 4
Source of Action/Request	1AN	4-4	M	A code indicating whether this entry summary status message was created by a CBP User manually or from an automated process. 1 = Manual request 2 = Automated action/request	
Import Specialist Team	3AN	5-7	M	A code indicating the import specialist team which has taken action on this entry summary or to which the entry summary is assigned.	

Record Identifier E1 (Output)					
Data Element	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Notification Reason Code	3AN	8-10	C	A code indicating the reason that the CBP action was taken. Space fill if not a Disposition Type Code of 4 and R.	2
Date of Action	6D	11-16	M	The date in MMDDYY (month, day, year) format that the action was taken or the date the request for documentation was made.	
Filler	1S	17-17	M	Space fill.	
Filler	6S	18-23	M	Space fill. [Reserved for possible future use for a new Due Date (MMDDYY) data field indicating when the request for information should be satisfied.]	
Filler	27S	24-50	M	Space fill.	
Entry Filer Code	3AN	51-53	M	Filer's identification code as reported on the previously filed entry summary (the entry filer code as assigned by CBP).	
Filler	2S	54-55	M	Space fill. Reserved filler for possible future expansion of Entry Filer Code and/or Entry Number.	
Entry Number	8AN	56-63	M	Unique identifying number assigned to the Entry by the Filer as reported on the previously submitted entry summary.	

Record Identifier E1 (Output)					
Data Element	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Filler	2S	64-65	M	Space fill. Reserved filler for future expansion of the Line Item Identifier when fully ACE compatible.	
Entry Summary Line Item Identifier	3X	66-68	C	The filer/transmitter's identity of the specific line item within an Entry Summary.	
Broker Reference Number	9X	69-77	C	Conditionally, the Filer/Preparer's internal Entry Summary identifier as reported on the previously filed entry summary.	
Filler	3S	78-80	M	Space fill. Reserved filler for the future expansion of the Broker Reference Number when fully ACE compatible.	

Note 1

Further explanation and requirements associated with the disposition type codes are as follows:

Code	Description
1	Request for electronic invoice data only – this request is for electronic invoice data only to be filed and only if the filer is an Automated Invoice Interface participant. Please also see Note 4 below.
2	Request for the entry summary package – this request is for the entry summary documentation in accordance with 19 USC 1484 and 19 CFR parts 142 and 143. Documents for this type of request may be filed on paper with the import specialist team identified in this record **or** may be scanned and uploaded electronically via the ACE Secure Data Portal using the Action Identification Number in record E2 as the document's identification. Please also see Note 4 below.

3	Request for specific documents – this request is for one or more specific type(s) of document(s) as the CBP user has specified in the remarks text in the E3-Record(s). Documents for this type of request may be filed on paper with the import specialist team identified in this record **or** may be scanned and uploaded electronically via the ACE Secure Data Portal using the Action Identification Number in the E2-Record as the document's identification.
4	Entry summary rejected/PSC rejected – an entry summary or a PSC can be rejected by an authorized CBP user. When an authorized CBP user has rejected this entry summary, please see the CBP user's remarks in the E3 record(s) for a further explanation of the reason. The filer has 2 working days to respond to this rejection.
5	ACE entry summary inactivated – an authorized CBP user has inactivated this entry summary as requested by the filer.
6	Entry summary canceled – an authorized CBP user has canceled this entry summary as requested by the filer.
7	Document receipt acknowledgement – a CBP user has received the paper documentation as requested from a previous entry summary status notification message or the filer has successfully uploaded documents using the ACE Secure Data Portal
8	A Post Summary Correction (PSC) has been presented by another filer for the entry summary. (For a further discussion of PSC functionality and entry summary ownership, see 'PSC and Entry Summary "Ownership" Considerations' in the "*Entry Summary Create/Update"* ACE ABI CATAIR chapter, Entry Summary Filing – Usage Notes, section gg.)
P	PGA status information regarding the PGA disposition in a scenario where the PGA dataset was submitted with a Create/Update Entry Summary (AE) transaction and there is no conventional entry.
Q	Quota accepted – the Quota request for this entry summary has been processed and accepted. See E4-Record(s) for Quota line details.
E	TIB extension denied – an authorized CBP user has denied the request for a TIB extension.
R	A Post Summary Correction (PSC) Filed was reverted - an entry summary post summary correction (PSC) can be reverted by an authorized CBP user. When an authorized CBP user has reverted this entry summary PSC, please see the

CBP user's remarks in the E3 record(s) for a further explanation of the reason.

Note 2

A code that further describes the reason for the notification.

When the entry summary has been **Rejected** (Disposition Type Code = 4 or R), the reasons for CBP rejection are as follows:

Code	Description
001	ES Header Change Required
002	Entry Type Change Required
003	Classification
004	Special Program Indicator
005	Value – Line Value
006	Value – Currency Conversion
007	Line Change – Duty
008	Line Change – Country of Origin
009	Line Change – Country of Export
010	AD/CVD Required
011	AD/CVD – Cash Deposit Required
012	AD/CVD –Scope Change
013	AD/CVD – Non-Reimbursement Statement Missing
014	Single Transaction Bond
015	Continuous Bond
016	Missing Invoice
017	Insufficient Invoice Description
018	OGA Certificate Required
019	Visa Required
020	Incorrect Fee
021	Incorrect Tax
022	Quota Issue
023	Recon Reject

998 Other

Note 3

<Note removed Revision 15>

Note 4

Responding to a Document Submission Request

The following table clarifies the action required on the part of the filer when receiving a UC with a Disposition Type Code of '1' or '2'. This table shows the accepted combinations of the corresponding AE entry summary transaction data elements:

- Certify for Cargo Release (10-Record Cargo Release Certification Request Indicator)
- RLF Claim (B-Record Remotely Filed Indicator)
- EIP Claim (10-Record Electronic Invoice Indicator)

Certify for Cargo Release	**RLF Claimed**	**EIP Claimed**	**Action Required when UC Disposition Type '1' RECEIVED *Request for electronic invoice data only***	**Action Required when UC Disposition Type '2' RECEIVED *Request for the entry summary package***
No (AE 'Certify for Cargo Release' not used)	No	No	n/a	Send Documents to Document Image System
No (AE 'Certify for Cargo Release' not used)	No	Yes	Send Invoices to Document Image System	n/a
A=ACE	No	No	n/a	Send Documents to

Certify for Cargo Release	**RLF Claimed**	**EIP Claimed**	**Action Required when UC Disposition Type '1' RECEIVED** ***Request for electronic invoice data only***	**Action Required when UC Disposition Type '2' RECEIVED** ***Request for the entry summary package***
				Document Image System
A=ACE	Yes	No	Send Invoices to Document Image System	n/a

CBP User & Action Identifier (Output E2-Record)

This is an entry summary status output record that provides filers with identifying information concerning the CBP user and the action identification number associated with the action taken or request for additional documentation.

Record Identifier E2 (Output)					
Data Element	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	2AN	1-2	M	Always E2.	
Filler	2S	3-4	M	Space fill.	
CBP User	30X	5-34	C	The last name and first name of the CBP user who has taken this action or who is requesting additional documentation.	1, 2, 3
Filler	2S	35-36	M	Space fill.	
Telephone Number	10AN	37-46	C	When the Disposition Type Code in the E1-Record equals 4 (entry summary rejected), the telephone number of the CBP User. (This telephone number omits dashes.) Space fill if not a Disposition Type Code of 4.	1, 2, 3
Filler	2S	47-48	M	Space fill.	
Action Identification Number	12AN	49-60	C	A unique number assigned by ACE to identify this specific action or request.	1, 2, 3
Filler	1S	61-61	M	Space fill.	
Telephone Extension Number	4AN	62-65	C	The Telephone Number Extension. Space fill if not a Disposition Type Code of 4 or when there is no telephone extension.	1, 2, 3
Filler	15S	66-80	M	Space fill.	

Note 1

For a manually generated request for additional information or an action taken, the CBP User and Action Identification Number will always be provided. The CBP User's Telephone Number will only be provided for rejected entry summaries (when E1-Record, Disposition Type Code = 4).

Note 2

For a request which is generated from an automated process, such as entry summary selectivity, and for which the entry summary is in "Trade" control, the E2-Record will be blank except for the Control Identifier. When an entry summary in this situation is moved to "CBP" control (i.e. placed on a statement), another, or second "courtesy copy" UC message will be provided to the filer which will contain an E2-Record with the Action Identification Number. The filer may then use the Action Identification Number as the identifier to upload documents via ACE Secure Data Portal.

Note 3

When the E1-Record Disposition Type Code = '8' or 'P', no E2-Record is provided.

CBP User Remarks (Output E3-Record)

This is a conditional entry summary status output record that provides filers with specific remarks the CBP User may have provided to further explain the action taken, the documents required, or simply to provide the filer with additional information. This record will only be transmitted if the source of action/request as identified in record E1 is a manual request and only for a request for specifics documents or for the rejection of an entry summary. This record may be repeated (up to seven times) to provide the full text of the remarks which may be a maximum of 500 characters.

Record Identifier E3 (Output)					
Data Element	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	2AN	1-2	M	Always E3.	
Remarks	78X	3-80	M	Remarks provided by the CBP User to further explain the action or request.	

Quota Line Status (Output E4-Record)

This is a conditional entry summary status output record that provides information concerning Quota status. This record is returned when the UC message Disposition Type Code = Q (Quota Accepted) or Disposition Type Code = 4 (Entry Summary Rejected) with a Notification Reason Code = 022 (Quota Issue). This record will be repeated to provide the status for each Quota line for the entry summary.

Record Identifier E4 (Output)					
Data Element	**Length/ Class**	**Position**	**Desig**	**Description**	**Note**
Control Identifier	2AN	1-2	M	Always E4.	
Line Item Identifier	3X	3-5	M	The filer/transmitter's identity of the specific line item within an Entry Summary. Can also include lines added to the entry by CBP. CBP added lines with contain an asterisk (*)	
Quota Line Status Code	3AN	6-8	M	Code that clarifies the status of the Quota line.	1
Filler	3S	9-11	M	Space fill	
Quota Line Status Description	30AN	12-41	M	Text description that corresponds to the Quota Line Status Code.	1
Requested Quota Quantity	12N	42-53	M	The total quantity originally reported on the entry summary line. Two decimal places are implied.	
Quota Requested Unit of Measure Code	3AN	54-56	M	The unit of measure code that corresponds to the Requested Quota Quantity.	
Reserved Quota Quantity	12N	57-68	C	If the full requested quantity is not available, this is the apportioned/prorated quantity that is reserved for this Entry Summary as determined by CBP. Filer must refile the entry summary within 5 days to receive the Reserved Quota Quantity. The Reserved Quota Quantity is returned if Quota is apportioned or prorated by CBP, otherwise, this field will be space filled. Two decimal places are implied.	
Reserved Quota Unit of Measure	3AN	69-71	C	The unit of measure code that corresponds to the Reserved Quota Quantity.	

Record Identifier E4 (Output)					
Code				The Reserved Quota Unit of Measure Code is returned if Quota is apportioned or prorated by CBP, otherwise, this field will be space filled.	
Filler	9S	72-80	M	Space fill	

Note 1

A code that describes the Quota status of the entry summary line.

Code	Description
Q01	Quota Processed / Accepted
Q02	Quota Apportioned
Q03	Quota Filled
Q04	Quota Filled or Expired
Q05	Banned Import
Q15	QTA Quantity must be > 0
Q17	Quota Line Pending > 10 days
Q25	Licenses Filled
Q26	License Expired
Q27	Licenses Processed / Accepted
Q28	License Line Pending > 10 days

PGA Processing Disposition (Output SO70-Record)

This is a conditional cargo release processing results output record that provides data pertaining to the review date, time, code, and a narrative message of PGA data. This record is returned when the UC message Disposition Type Code = P (PGA Processing Status Information). This record is repeated as often as necessary.

This record provides information to trade about a PGAs review of the data at the PGA Entry or PGA Line level.

Record Identifier SO70 (Output)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Control Identifier	4AN	1-4	M	Must always equal SO70.	
Government Agency Code	3AN	5-7	M	A code indicating the Partner Government Agency. Valid codes can be found in Appendix V (Government Agency Codes) in the ACE ABI CATAIR Appendices.	
Government Agency Program Code	3AN	8-10	C	A code indicating an agency's program for which the PGA data set is related. Refer to Appendix PGA for valid codes.	
Status Action Date	6N	11-16	C	A numeric date in MMDDYY (month, day, year) format representing the status action date.	
Status Action Time	4N	17-20	C	The military time in HHMM (hour, minute) format representing the time of the status action.	8
PGA Entry Level Status code	2AN	21-22	C	A code representing the status of a PGAs review, at the Entry Level.	1
PGA Entry Level Status message	28X	23-50	C	The narrative message associated with the Entry Review Status code	
Entry Line Level Status Code	2AN	51-52	C	FUTURE USE	
PGA Line Level Status Code	2AN	53-54	C	A code representing the status of a PGAs review at the PGA Line level.	2
Status Reason Code	2AN	55-56	C	A code representing the reason for a PGAs status review	3
Beginning CBP line	4N	57-60	C	The beginning CBP line number	
Beginning Tariff Position	1N	61	C	The associated tariff position.	4
Beginning PGA Line	3N	62-64	C	The beginning PGA line number.	9
Ending CBP line	4N	65-68	C	The ending CBP line number	
Ending Tariff Position	1N	69		The associated tariff position.	
Ending PGA Line	3N	70-72	C	The ending PGA line number	

Document Type Code	5AN	73-77	C	A code representing a required document.	5
PGA Entry Hold Type	1X	78	C	A code indicating the type of PGA hold on the entry	6
PGA Processing Group Version	2N	79-80	C	A code indicating which version of the SO70, SO71, SO72 grouping is being sent out to trade.	7

Note 1

Valid PGA Entry Level Status Codes are:

Code	Description
01	DATA UNDER PGA REVIEW
02	HOLD INTACT
04	DATA REJECTED PER PGA REVIEW
07	MAY PROCEED

If all PGA Line Level Status Codes are 'May Proceed', the PGA Entry Level Status code will be 'May Proceed'. If at least one PGA Line Level Status Code is 'Hold Intact', the PGA Entry Level Status code will be 'Hold Intact'. If at least one PGA Line Level Status Code is 'Data Rejected per PGA Review', the PGA Entry Level Status Code will be 'Data Rejected per PGA Review.' If one PGA Line Level Status Code is 'Hold Intact' and one PGA Line Level Status Code is 'Data Rejected per PGA review', then the PGA Entry Level Status code will be 'Data Rejected per PGA Review.' Otherwise, the PGA Entry Level Status code will be 'Data Under PGA Review'.

Note 2

Valid PGA Line Level Status Codes are:

Code	Description
01	DATA UNDER PGA REVIEW
02	HOLD INTACT
04	DATA REJECTED PER PGA REVIEW
07	MAY PROCEED
08	PN ONLY – PGA DATA RELATED ENFORCEMENT ACTION
10	DOCUMENT REQUIRED
11	INTENSIVE – EXAM/SAMPLE
12	DOCS REQUIRED – SATISFIED
13	EXAM- RESOLVED

If on a single Entry, any PGA line with Prior Notice (PN) data is rejected by FDA, then trade will only receive the information related to the PN reject(s). Trade will not receive PN

confirmation numbers for PGA lines in this situation that may have been accepted. Trade must cancel and resubmit the entry with the updated PN data.

If an agency's Intensive or Document Required is resolved by CBP, trade may not receive this SO70 notification of Satisfied or Resolved (12, 13) by PGAs. However, the SO60 message with the entry's status will always be sent.

Note that Codes 10, 11, 12 and 13 indicate activity at the Entry level. The PGA line number, if provided, is only for information.

Note 3

If PGA Line Level Status Code is:	Then a Valid Reason Code can be:	Description
02	06	DO NOT DEVAN
02	11	GENERAL
02	12	EXAM/SAMPLE
02	15	DATA INACCURATE - CONTACT PGA
02	25	ADDITIONAL VERIFICATION NEEDED
02	28	LAB RESULTS PENDING
02	29	LAB RESULTS FAILED
02	40	REFUSED
02	44	FAILURE TO PRESENT
02	51	FWS CONDITIONAL RELEASE
04	14	DATA REJECTED PER PGA REVIEW
04	26	PN DATA REJECTED
07	22	GENERAL
07	23	RELEASED
07	24	RELEASED WITH COMMENTS
07	45	PGA EXPECTS THAT ITS DATA HAS NOT CHANGED ON THIS VERSION. THEREFORE A MAY PROCEED IS GRANTED.
07	46	RELEASE TO CBO AGRICULTURE
07	50	FWS CLEARED
08	30	PN REFUSED - PRIOR NOTICE NOT SUBMITTED FOR ALL FOODS
08	31	PN - REGISTRATION HOLD – MANUFACTURER NOT REGISTERED
08	52	PN REFUSED INACCURATE PN

If PGA Line Level Status Code is:	Then a Valid Reason Code can be:	Description
10	90	ADDITIONAL INFORMATION NEEDED
11	30	PN REFUSED - PRIOR NOTICE NOT SUBMITTED FOR ALL FOODS
11	31	PN- REGISTRATION HOLD - MANUFACTURER NOT REGISTERED
11	34	EXAM
11	35	FWS CLEARANCE REFUSED
11	36	PARTIAL RELEASE AND REFUSED
11	52	PN REFUSED – INACCURATE PRIOR NOTICE
12	60	DOCS REQUIRED - SATISFIED
13	65	RESOLVED - GENERAL
13	66	NO THREAT FOUND

Note 4

If no range is provided, then the single line will be provided in this position and no "ending tariff position" value will be provided. If a range of lines is returned, the beginning and ending tariff positions will be provided.

The tariff position represents the order of appearance of the HTS in the CATAIR. Trade is expected to map this accordingly.

Note 5

Valid Document Type codes are listed in the ACE Cargo Release/SE Status Notification chapter of the ACE CATAIR (see SO60-Record, Note 3).

Note 6

If a PGA requires an intensive-exam sample or document required status, the following indicators may be provided to trade:

Code	Description
1	Intensive or document required set by CBP on behalf of the agency listed in positions 5-7

2 Intensive or document required set directly by agency listed in positions 5-7

Note 7

Output values for this data field are:

Value	Description
{***Space Fill***}	Pre-existing version of PGA Processing Group
01	February 3, 2016 version of PGA Processing Group
02	July 16, 2016 version of PGA Processing Group
03	April 4, 2020 version of PGA Processing Group

Prior to February 3, 2016 the output value for this field is *Space Fill.*

After February 3, 2016, this field will indicate the version of the PGA Processing Group (SO70, SO71, and SO72).

On July 16, 2016, PGA Processing Group Version 02 will be in place. This will include the increase in length for 'Document Type Code' from 3AN to 5AN and the removal of the filler, in the SO71 record.

On April 4, 2020, PGA Processing Group Version 03 will be in place. This will include the addition of a second PGA Reference Identification Number Qualifier and PGA Reference Identification Number pair in the SO71, to allow for submission of numbers greater than the existing 12X.

Note 8

In some instances, trade may receive an SO message that includes different PGA Entry and line statuses for the same PGA data on the same line.

In such cases, trade should review the status action time (positions 17-20) and should use the most recent status.

SO70FDADEV052616091901DATA UNDER PGA REVIEW 01 00011001 01
SO70FDADEV052616093207MAY PROCEED 072200011001 01

Due to the timing of when PGAs may send reviews and when CBP sends out the SO messaging, it is possible that this may occur, and trade should be aware.

Note 9

For entries where a PGA participates in 1USG without their message set being provided on the

entry/entry summary (e.g., Consumer Product Safety Commission), trade will receive an SO70 with PGA line number of '000', along with the associated agency code in positions 5-7.

PGA Review (Output SO71-Record)

This is a conditional cargo release processing results output record that provides data pertaining to PGA processing of data (e.g., rejections, refusals). This record may be returned when the UC message Disposition Type Code = P (PGA Processing Status Information). Multiple SO71-Records may accompany a single SO70-Record.

Record Identifier SO71 (Output)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Control Identifier	4AN	1-4	M	Must always equal SO71.	
PGA Reference Identification Number Qualifier	2AN	5-6	C	A code representing the type of number being provided from the PGA, in response to data submitted by trade	1
PGA Reference Identification Number	12X	7-18	C	The identifier being provided by the PGA, in response to data submitted by trade	2
PGA Reference Identification Number Receipt Date	6N	19-24	C	A numeric date in MMDDYY (month, day, year) format representing the date that the PGA confirmation was generated.	3
PGA Reference Identification Number Receipt Time	6N	25-30	C	The military time in HHMMSS (hour, minute, second) format representing the time that the PGA confirmation was generated.	3
PGA Line Sub Reason Code	3AN	31-33	C	Code identifying PGA review reason.	4
PGA Line Sub Reason Code	3AN	34-36	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	37-39	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	40-42	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	43-45	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	46-48	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	49-51	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	52-54	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	55-57	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	58-60	C	Code identifying PGA review reason.	

PGA Reference Identification Number Qualifier	2AN	61-62	C	A code representing the type of number being provided from the PGA, in response to data submitted by trade	1
PGA Reference Identification Number	18X	63-80	C	The identifier being provided by the PGA, in response to data submitted by trade	

Note 1

Additional codes will be added by PGAs as they are known. Valid qualifier codes are:

For positions 5-6, valid qualifier codes are:

Code	Description
1	Prior Notice Confirmation Number
2	Permit Number
3	AMS Confirmation Number
4	AMS FV6 Number
5	AMS LPS-222 Number

For positions 61-62, valid qualifier codes are:

Code	Description
6	FWS eDECS Confirmation Number

Note 2

For FDA, this field would be used to provide the prior notice confirmation number, which is the validation and certification from FDA that the prior notice data was received for the merchandise. This should be retained by the filer.

Note 3

For FDA, the prior notice receipt date and time are returned when FDA generates a prior notice received message to the filer for the merchandise. This information should be retained with the confirmation number.

Note 4

There can be multiple sub reason codes for a given PGA line.

The following are valid PGA line sub reason codes:

If the Reason code is:	then a valid Sub Reason Code is:	Description
06	188	DO NOT DEVAN - EXAM
11	100	DETAINED
11	101	CANCEL DETENTION
11	104	PGA INSPECTION NEEDED
12	105	EXAM
12	106	EXAM NOTIFY
12	189	TRANSFER TO APHIS CUSTODY
12	190	TRANSFER TO APHIS FACILITY
14	107	FOREIGN ULTIMATE CONSIGNEE
14	108	MISSING REGISTRATION
14	109	REGISTRATION NOT ON FILE
14	110	MISMATCH IN REGISTRATION
14	111	CANCELLED MANUFACTURER FACILITY REGISTRATION
14	112	FACILITY REGISTRATION INVALIDATED BY FDA DATA
14	113	INVALID QUANTITY FORMAT
14	114	INVALID ID FOR MANUFACTURER
14	115	INVALID ID FOR SHIPPER
14	116	INVALID ID FOR IMPORTER
14	117	INVALID ID FOR ULTIMATE CONSIGNEE
14	118	INVALID STATE/ZIP FOR US MANUFATURER
14	119	INVALID COUNTRY OF PRODUCTION
14	120	INVALID COUNTRY OF SHIPPING
14	126	INVALID FILER
14	127	INVALID OWNER ENTITY ID
14	128	INVALID SUBMITTER ENTITY ID
14	129	INVALID TRANSMITTER ENTITY ID
14	130	INVALID DELIVER TO PARTY ENTITY ID
14	131	MISSING BILL OF LADING OR AIR WAY BILL
14	151	MISSING DATA
14	152	INVALID CANADIAN PROVINCE
14	153	INVALID PRODUCT CODE
14	154	MISSING OR INVALID DATE

If the Reason code is:	then a valid Sub Reason Code is:	Description
14	155	MISSING, INVALID, OR EXPIRED FWS IMPORT/EXPORT LICENSE NUMBER
14	156	INVALID FWS PORT
14	157	INACCURATE FWS INTENDED USE DESCRIPTION
14	158	MISSING CARRIER NAME
14	159	MISSING OR INVALID MODE OF TRANSPORTATION CODE
14	160	MISSING OR INACCURATE BONDED LOCATION FOR INSPECTION
14	161	MISSING OR INVALID NUMBER OF CARTONS CONTAINING WILDLIFE
14	162	MISSING OR INVALID FWS US IMPORTER
14	163	MISSING OR INVALID FWS FOREIGN EXPORTER
14	164	MISSING OR INVALID SHIPPING AGENT
14	165	MISSING OR INVALID FREIGHT FORWARDER
14	166	MISSING OR INVALID SCIENTIFIC GENUS NAME
14	167	MISSING OR INVALID SCIENTIFIC SPECIES NAME
14	168	MISSING OR INVALID SCIENTIFIC SUBSPECIES NAME
14	169	MISSING OR INVALID COMMON NAME
14	170	MISSING OR INVALID FOREIGN CITES PERMIT NUMBER
14	171	MISSING OR INVALID U.S. CITES PERMIT NUMBER
14	172	MISSING OR INVALID MARKINGS ON CARTONS CONTAINING WILDLIFE
14	173	MISSING OR INVALID FWS DESCRIPTION CODE
14	174	MISSING OR INVALID PGA COMMODITY QUALIFIER CODE (FWS SOURCE CODE)
14	175	MISSING OR INVALID FWS QUANTITY OR UNIT OF MEASURE
14	176	FWS CORPORATE ACCOUNT PAYMENT IS OVERDUE
14	177	MISSING OR INVALID FWS VALUE
14	178	INVALID FWS COUNTRY OF SPECIES ORIGIN
14	179	MISSING OR INVALID VENOMOUS WILDLIFE FLAG
14	183	INVALID UNITS OF MEASURE FOR COMMODITY
25	132	DOCUMENTATION NEEDED
26	108	MISSING REGISTRATION
26	109	REGISTRATION NOT ON FILE

If the Reason code is:	then a valid Sub Reason Code is:	Description
26	110	MISMATCH IN REGISTRATION
26	111	CANCELLED MANUFACTURER FACILITY REGISTRATION
26	112	MANUFACTURER FACILITY REGISTRATION INVALIDATED BY FDA
26	120	INVALID COUNTRY OF SHIPPING
26	122	INVALID EXEMPTION (FME) QUALIFIER
26	123	INVALID PNC NUMBER
26	124	EXPIRED PNC NUMBER
26	125	CANCELLED PNC NUMBER
26	149	FDA PRODUCT CODE MISMATCH TO GROWER/CONSOLIDATOR/MANUFACTURER ROLE CODE
26	158	MISSING CARRIER NAME
40	100	DETAINED
40	101	CANCEL DETENTION
40	102	FULL REFUSE
40	103	PARTIAL RELEASE AND REFUSE
40	144	REFUSAL SATISFIED
40	180	DIVERT TO ACCEPTABLE USE
52	133	INACCURATE MANUFACTURER
52	134	INACCURATE ULTIMATE CONSIGNEE
52	135	INACCURATE SHIPPER
52	136	INACCURATE IMPORTER
52	137	INACURRATE FDA PRODUCT CODE
52	138	INACCURATE BILL OF LADING OR AIRWAY BILL
52	139	INACCURATE PRIOR NOTICE INFORMATION
52	191	UNTIMELY PRIOR NOTICE

PGA Comment (Output SO72-Record)

This is a conditional output record that provides information to trade from PGAs. This record may be returned when the UC message Disposition Type Code = P (PGA Processing Status Information). Multiple SO72-Records may accompany a single SO70-Record.

Record Identifier SO72 (Output)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Control Identifier	4AN	1-4	M	Always SO72	
Comments to Trade from PGA	76X	5-80	M	A narrative message from PGAs to the trade regarding a particular PGA line.	