

# Oracle Fusion Cloud Transportation and Global Trade Management

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## **Customs Filing Integration Guide**

Release 26C



Oracle Fusion Cloud Transportation and Global Trade Management  
Customs Filing Integration Guide

Release 26C

G56181-01

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Thanks for helping us improve our user assistance!



# 2 Customs Filing in Global Trade Management Cloud

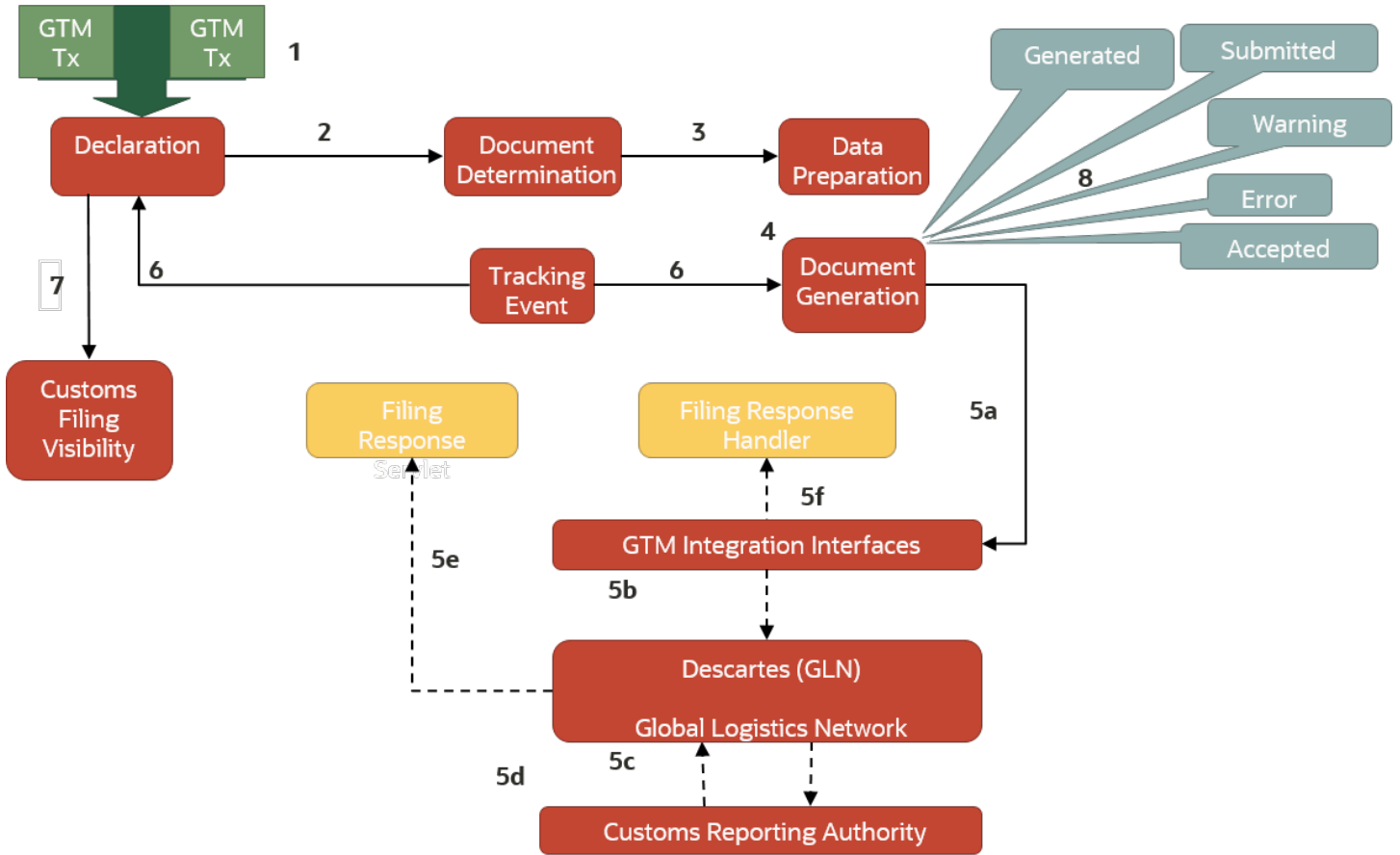
## Overview

This document is intended for Global Trade Management Cloud clients, Global Trade Management Cloud administrators, or Global Trade Management Cloud consultants who have an interest in creating and electronically filing trade documents for the purpose of reporting export declarations to trade regulatory authorities. This guide provides instructions on how to create filing documents and how to configure the integration components required for submitting the filing document to the US Trade regulatory authority, the US Census, via US Customs and Border Protection's (CBP) Automated Export System (AES).

The Customs Filing feature in Global Trade Management Cloud allows you to prepare documents for filing export declarations and subsequently transmit these documents to various customs reporting authorities, who could be national or other regulatory authorities, which govern trade compliance.

The process of customs filing broadly consists of the following pieces:

1. Declaration Creation
2. Filing Document Determination
3. Data Preparation
4. Filing Document Generation
5. Filing Document Transmission
6. Filing Response Processing (Optional)
7. Filing Process Visibility



**Note:** Global Trade Management Cloud is certified for AES filing using Descartes’ Global Logistics Network (GLN) using HTTP, but you can use your own configuration to perform filing using any of the Global Trade Management Cloud supported communication methods.

## Declaration Creation

A declaration is the business object for all customs related activities. Declarations can be created manually or automatically. You can consolidate one or more trade transactions into a declaration. This consolidation can be done via UI and agent actions. All compliance screening activities should be performed on the trade transactions prior to consolidating them into a declaration. Once a trade transaction has been consolidated into a declaration, if a change needs to be made to the trade transaction that impacts the declaration, the trade transaction must first be removed from the declaration, then any changes to the trade transaction are applied, and finally the updated trade transaction should be re-added to the declaration.

## Filing Document Determination

Customs regimes specify which documents need to be provided when filing export declarations, based on their regulatory requirements. You model the customs requirements as compliance rules. You run the compliance rules on the declaration to determine whether the declaration requires any documents and what the required document types

are. The compliance rules are of the Control Category **DOCUMENT**. After the compliance rules are run, the required document types are assigned to the declaration and are listed on the **Documents** tab of the **Declaration** manager.

**Note:** *AES\_FILING* is a declaration-level filing document type. So when creating rules to determine the required AES filing documents on a declaration, clear the **For Transaction Line** check box on the Compliance Rules page.

## Data Preparation

Data preparation is essentially a task that involves converting the data from one form to another mainly for various reporting purposes. Data preparation can be run for multiple end-uses such as creating trade documents for customs filing, commercial invoices, etc. Typically the data such as quantities and currencies on the declaration use UOMs that are relevant to your operational environment. Users might want to show the quantities and currencies on reports and trade documents using different UOMs. Global Trade Management Cloud provides both UI actions and automation agent actions that help convert the quantities from one UOM to another. After the action converts the UOMs, the converted quantities are stored in the **Reporting Quantities** grid fields.

## Filing Document Generation

If it is determined that a filing document is necessary after the data preparation, you can generate the filing document for the declaration by running the **Generate Document** action. When this action is run, the system retrieves all the information required to generate the document content, validates this information using the validation rules defined for the document type, and invokes the document creation mechanism. The action inspects all the lines belonging to the declaration, and selects only those lines that have been deemed reportable to be included in the filing document. Documents can be created via tools such as Oracle Analytics Publisher.

## Filing Document Transmission

After the filing document has been generated for a declaration, you can transmit the filing document for that declaration using the **File Customs** action. This action transmits the filing document using the standard Transportation and Global Trade Management Cloud communication mechanisms. The action takes as a parameter, an external system. Transportation and Global Trade Management Cloud provides multiple integration options such as XML, web services, data queues, etc. to interface with the reporting authority systems.

## Filing Response Processing

Inbound filing responses are modeled in Global Trade Management Cloud as **Tracking Events**. This allows filing responses, after entering Global Trade Management Cloud, to trigger notification or workflow, such as updating the statuses of the filing and updating the declaration with response codes and confirmation numbers.

## Filing Process Visibility

To indicate where a declaration is in the lifecycle of customs filing, Global Trade Management Cloud provides a number of statuses. Global Trade Management Cloud also has a **Customs Filing History** grid on the **Documents** tab of the **Declaration** manager UI, where you can see how the statuses change as the declaration passes through various stages of the customs filing process. Users can define their own external statuses on declarations or on the filing document to monitor other conditions.

# 3 Customs Filing with AES

## Overview

U.S. export shipments require an export declaration to be filed with the U.S. Census. The export declaration is represented as EEI (Electronic Export Information) and is filed with the U.S. Census. The US Census provides multiple options to allow the filing. Global Trade Management Cloud supports filing with U.S. Customs and Border Protection's (CBP) Automated Export System (AES) interface using Filing with AES via Descartes' GLN system.

Using Global Trade Management Cloud, you can file an export declaration with AES for a trade-shipment. To file an export declaration, you generate within Global Trade Management Cloud a filing document for that trade-shipment. You then electronically submit the filing document to AES using Global Trade Management Cloud. AES asynchronously sends a filing response.

## Filing with AES via Descartes' GLN system

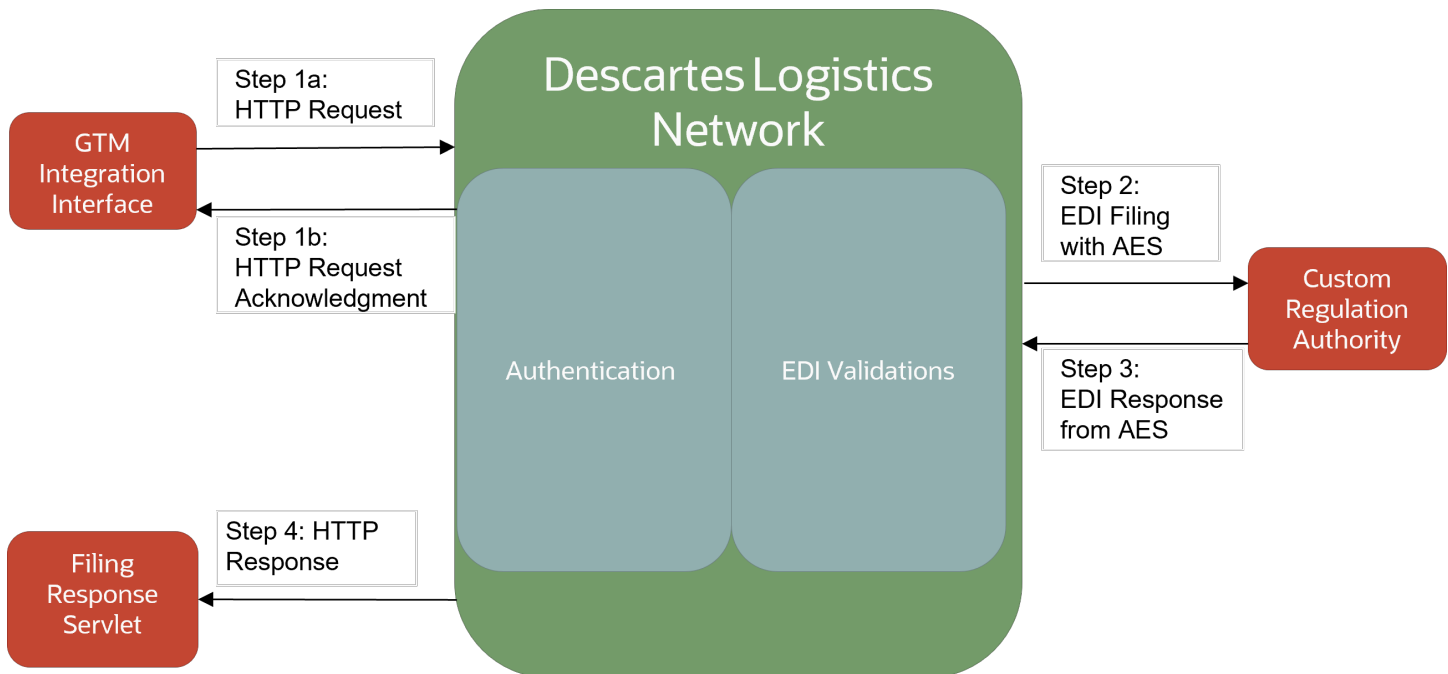
### Filing Requirements

You must get a license from Descartes to use this option.

### Filing Architecture

The following diagram describes the architecture overview of customs filing implementation with AES via Global Logistics Network (GLN) system.

Global Trade Management Cloud (GTM) sends the filing document to Descartes' Global Logistics Network which in turn files to AES on behalf of Global Trade Management Cloud and communicates back the AES response to Global Trade Management Cloud. The entire communication happens over HTTPS.



## Customs Filing (Outbound from Transportation and Global Trade Management Cloud)

- Global Trade Management Cloud sends the filing documents to the GLN. GLN authenticates the customer credentials. Once the credentials are authenticated, GLN validates the EDI data, including DUNS and EIN number.
- GLN sends an acknowledgment to Global Trade Management Cloud with success and failure details of authentication and validation.
- On successful validation, GLN files the EDI with AES.

## Filing Response (Inbound to Transportation and Global Trade Management Cloud)

- GLN receives the response back from AES.
- It passes the response to Global Trade Management Cloud at the filing ResponseServlet configured in GLN for you.
- Global Trade Management Cloud HTTP servlet processes the response.

# 4 AES Export Declaration Filing and Response Processing

## Outbound Export Declaration Filing Setup

### Declaration Creation

Declaration can be created manually through a consolidation process. You can consolidate one or more trade transactions to create a declaration. Consolidation can be performed via UI actions as well as automation agent actions.

All compliance related activities should have been completed on the trade transaction as they will not be available on the consolidated declaration.

AES uses a **Shipment Reference Number** to uniquely identify each shipment. This identifier should be created for each declaration and should remain constant for the declaration throughout the process of filing the export declaration. Global Trade Management Cloud provides an automation agent **GENERATE SHIPMENT REFERENCE NUMBER** to create this unique identifier when a new declaration is created. The identifier is added to the declaration as a reference number, using the Reference Number Qualifier ID, **SHIPMENT REFERENCE NUMBER**. You can either activate this automation agent, or use this automation agent as a template to create your own automation agent to generate an AES **Shipment Reference Number**.

### Document Determination

Using compliance rules, you can configure that based on specific criteria declarations must have certain types of documents. One such type of document is an export declaration. The documents that must be generated for a declaration are displayed in the **Required Documents** grid on the **Declaration** manager on the UI.

Global Trade Management Cloud ships with a pre-defined document type called **AES\_FILING**, which helps create an EDI formatted export declaration that can be filed with the U.S. Census via AES. The **AES\_FILING** document type is associated with the **EAR** and **ITAR** regimes. Document type to regime associations can be added or modified via the **Regime Document Definition** power data.

**Note:** *AES\_FILING* is a declaration-level filing document type. So when creating rules to determine the required AES filing documents on a declaration, clear the **For Transaction Line** check box on the Compliance Rules page.

You can create additional document types for use with other regimes or for other end uses such as a compliance invoice.

### Document Validation

Associated with each document type are validation rules. At the time of document generation, the document generation mechanism checks the document content against these rules. Validation rules are implemented as saved queries, so

you can add additional rules or modify any existing rules associated with a document type. Validation rules can be defined using the **Document Validation Rules** power data page. Validation rules are associated with a document type, on the Document Type power data page.

The following rules are pre-defined for the **AES\_FILING** document type:

1. The declaration must have a date defined with the date qualifier ID of **EXPORT DATE**.
2. The declaration must have a reference number with the reference number qualifier ID of **SHIPMENT REFERENCE NUMBER**.
3. The declaration must have at least three remarks with the following remark qualifier IDs: **RELATED COMPANY**, **EXPORT INFORMATION CODE**, and **FILING OPTION**.
4. The declaration must have a port defined using the port qualifier ID of **PORT OF EXPORT** and the port location must match a value from the Census Schedule-D list of locations.
5. The declaration must have a transport mode.
6. If the transport mode is one of **VESSEL-CH**, **VESSEL-CO**, or **VESSEL-NO**, the declaration must have a port with the port qualifier ID of **PORT OF UNLADING** and the port location must match a value from the AES Schedule-K list of locations.
7. The declaration must have at least three involved parties, using the involved party qualifier IDs of **USPPI**, **ULTIMATE CONSIGNEE**, and **CARRIER**.
8. The **USPPI** and **ULTIMATE CONSIGNEE** should have first name, last name, and address (including country) information. The **ULTIMATE CONSIGNEE** must have a consignee type defined in **UTLIMATE CONSIGNEE TYPE**.
9. The declaration should have at least one reportable line, and up to a maximum of 999 reportable lines.
10. Each reportable line can only have one control of reportable regimes.
11. Each reportable line must have a quantity with the quantity qualifier ID of **TOTAL GROSS WEIGHT**.
12. Each reportable line must have an HTS and/or Schedule-B classification code. If there is no Schedule-B classification code available, the HTS classification code on the line must be allowed by AES. An HTS classification code is allowed by AES, if that classification code has a classification code attribute of **IS\_AES\_REPORTABLE** with attribute value **Yes**.

## Document Data Preparation

Specific to filing with AES, the **AES\_FILING** document type expects that the quantities that need to be reported to AES are present in the reporting quantities fields. This means that you must either run the **Convert UOMs** action on the declaration to populate the reporting quantities fields, or if the quantities already use the correct UOMs, you must manually copy the quantities' values into the reporting quantities fields, for them to be correctly included in the filing document.

## Document Generation

If it is determined, based on running compliance rules on a declaration, that a document is required, you can generate the document for the declaration by running the **Generate Document** action. When this action is run, Global Trade Management Cloud retrieves all the information required to generate the document content, validates this information using the validation rules defined for the document type, and invokes the document creation mechanism. Documents can be created via tools such as Oracle Analytics Publisher.

Global Trade Management Cloud ships with default templates to generate using Oracle Analytics Publisher, EDI formatted export declaration documents that can be filed with the US Census via AES. Currently the default template being shipped can be found in the report path which is "Reports/aes/aes\_filing.xdo". From 25B, users can use the

custom code mapping used in X107 element of AES by using a new report template “Reports/aes\_v1/aes\_filing\_v1.xdo”. In the future we are planning to make the new report template as the default one and will stop supporting the old one.

To use these templates to generate EDI filing documents, the following report additional parameters must be set up -

To specify AES authentication details:

```
P_TRANSMITTER_ID  
P_COMMUNICATION_PASSWORD_ID  
P_FILER_ID
```

Optionally if the Transmitter ID and Filer ID can vary on a transactional basis, they can be configured on each shipment. Global Trade Management Cloud will first look at the shipment to see if a Transmitter and/or Filer is specified as an Involved Party. If so, Global Trade Management Cloud will use the reference number on the associated Involved Party to populate the Transmitter ID and Filer ID. The Involved Party Qualifiers and Reference Number Qualifiers expected are listed in the Appendix. If the Involved Parties or the Reference Numbers are not present, Global Trade Management Cloud will use the values in the additional parameters when generating the EDI filing document.

To indicate whether sample test data or actual export information is being sent:

```
P_IS_PRODUCTION
```

To indicate the quantity qualifier ID and currency qualifier ID that should be reported:

```
P_REPORTING_QUANTITY (default=ORDERED)  
P_REPORTING_CURRENCY (default=TOTAL VALUE)
```

To indicate the reference numbers and time zone that should be reported:

```
P_REPORTING_REFERENCE_NUMBER (default=BN)  
P_REPORTING_REPORTING_FOREIGN_ENTITY (default=FOREIGN ENTITY)  
P_REPORTING_TIMEZONE (default=US/Eastern)
```

To indicate the classification code type that should be reported:

```
P_CLASSIFICATION_CODE_TYPE (default=HTS US)
```

To indicate whether an alternate code type can be reported:

```
P_ALLOW_ALTERNATE_CODE_TYPE (default=YES)
```

AES allows you to report the HTS or Schedule-B codes when filing export declarations. By setting the above report additional parameters, you can configure which code type to report and whether Global Trade Management Cloud can report an alternate code type. This means that if a user prefers to report the HTS codes and there is either no HTS code on the declaration line or if the HTS code is not reportable, then Global Trade Management Cloud will report a Schedule-B code.

To indicate the Filer ID type that must be reported:

```
P_FILER_ID_TYPE
```

To indicate the license value that must be reported:

```
P_REPORTING_LICENSE_VALUE
```

To indicate which code mappings should be used for X107:

```
P_CUSTOM_MAPPING_ID (default= AES FILING MAPPING DEFAULT)
```

This report additional parameter is applicable only for the new report template “Reports/aes\_v1/aes\_filing\_v1.xdo”. This new report template uses code present in P\_CUSTOM\_MAPPING\_ID to populate the X107 element in the EDI. The default value “AES FILING MAPPING DEFAULT” contains the mapping of codes on current regulations. On overriding

the `P_CUSTOM_MAPPING_ID` with custom code mapping ID, it will use the code contains in the custom one when generating the EDI filing document

To generate the filing document, Global Trade Management Cloud iterates through all the declaration lines and selects those lines that have been marked, during report determination, with control types and control codes specific to the regime associated with the document type. Declaration lines that need to be included in the filing document have a control type in the **Reporting Results** grid in the Declaration Line manager in the UI.

Once all the information is retrieved, the document generation mechanism invokes a callback helper process. This callback helper process essentially performs miscellaneous tasks such as validating the statuses before and after document generation, plus any additional pre and post document generation tasks specific to the document type. For AES, Global Trade Management Cloud has defined a specific callback process **AESFilingCallback** that is associated with the **AES\_FILING** document type. You can use the **AES\_FILING** document type or you can create your own document types. However, any document type created for the purpose of creating a filing document that will be filed via AES must use the **AESFilingCallback** process. The document type to the callback helper process association is defined via the following property.

```
glog.reqdoc.reqdocCallbacks.<DOCUMENT_TYPE>=<callback-helper-java-class>
```

By default, the property is set as follows to indicate that **AES\_FILING** document type is associated to the callback `gtm.server.agent.business.transaction.AESFilingCallback`.

```
glog.reqdoc.reqdocCallbacks.AES_FILING=gtm.server.agent.business.transaction.AESFilingCallback
```

The **AESFilingCallback** does the following:

- Validates the statuses before generating the document.
- Sets the status after generating the document.
- Creates the filing reference numbers for the declaration lines.
- Creates a tracking number for the filing document.

Global Trade Management Cloud tags the filing document with a tracking number which is returned in the filing response, allowing Global Trade Management Cloud to match a filing response back to the original filing document.

Documents generated for the declaration are listed on the Documents tab of the Declaration manager. You can view the generated document content and document statuses via the Document Manager.

## Document Filing

After a document has been generated for a declaration, you can transmit the filing document for that declaration using the **File Customs** action. This action transmits the filing document using the standard Transportation and Global Trade Management Cloud communication mechanisms and updates filing statuses. The File Customs action takes document type, communication method, and external system as input. From 6.3.4 onwards, File Customs action supports the AES filing via HTTP with Descartes as third party vendor who can file on behalf of Global Trade Management Cloud. You can also file the generated EDI through a customer-defined action with any communication method but they must take care to update the statuses.

To facilitate sending the filing document to AES, File Customs action supports the following communication methods.

- **HTTP:** Global Trade Management Cloud is shipped with an AES FILING VIA DESCARTES GLN, a sample external system, to send HTTPS requests to the Descartes's GLN system. You can modify the public shipped external system or create a new external system by copying the information from public shipped external system. You must specify GLN URL/User Name and Password. File Custom action sends the filing documents to the HTTP URL of GLN specified on the external system. Next, GLN authenticates the HTTP request and validates

the data present in the input EDI. If authentication and validation is successful, it responds back with an acknowledgement of the EDI receipt and files the EDI file to AES system.

**Note:** The external system used for either of the above options must include External System Translations “GTM\_DOCUMENT\_TO\_AES” to extract the EDI content from the document XML.

## Inbound Filing Response Processing

The government system authenticates, validates the EDI and processes it. The government responds back with success, failure, and warning messages. Inbound filing responses are modeled in Global Trade Management Cloud as tracking events. This allows filing responses, after entering Global Trade Management Cloud, to trigger notification or workflow, such as updating the statuses of the filing, updating the declaration with response codes and confirmation numbers such as the ITN.

The filing responses can enter Global Trade Management Cloud via a variety of integration mechanisms such as the standard XML integration, web services, or data queues. AES uses EDI-formatted filing responses and interfaces with GLN based on the communication method used for filing.

- **Global Logistics Network:** Descarte’s GLN receives the EDI Response from AES system which it sends back to (gtm.integration.aes.servlet.AESFilingResponseServlet) HTTP servlet in Global Trade Management Cloud. Customer must provide the HTTPS servlet URL, user name, and password to GLN so that GLN can configure to forward the response from AES to Global Trade Management Cloud. Descarte can configure these details in GLN as one time setup.

## Tracking Event Processing

Global Trade Management Cloud ships with an automation agent for processing filing responses. The automation agent **PROCESS CUSTOMS FILING RESPONSE V1** of type **TRACKING EVENT** is triggered when a new tracking event enters the system, or if an existing tracking event is re-processed. The automation agent, when triggered, attempts to match the tracking event to a filing document. If the matching is successful, the automation agent updates the status on the document according to the filing response status. The automation agent by default is not active. It is recommended that you use this automation agent as a template, to create your own automation agents to process filing responses.

**Note:** PROCESS CUSTOMS FILING RESPONSE agent is deprecated. PROCESS CUSTOMS FILING RESPONSE V1 is a new agent that has the agent actions set up to handle response codes like 97H and 97R with the narrative texts shipment on hold and shipment hold release, respectively.

## Customs Filing Statuses

Statuses are a good way to trace where a declaration, or the associated filing document, is in the lifecycle of the filing process. Global Trade Management Cloud by default has a set of status types and values on the filing document that are specific to the AES filing process. These status types and values are listed below.

**SHIPMENT\_CUSTOMS\_STATE:** Indicates the state of the declaration that the document is associated with. Indirectly, it indicates the submission state of the filing document. This status type has the status values:

- **New:** Declaration has not been filed yet.
- **Update:** Declaration has been modified after filing at least once.
- **Cancel:** Declaration has been cancelled after filing at least once.

**CUSTOMS\_FILING\_GENERATION:** Indicates the generation status of the filing document. This status type has the status values:

- **Not Generated:** Document has not yet been generated.
- **Generated:** Document has been generated.

**CUSTOMS\_FILING:** Indicates the status of the filing process. This status type has the status values:

- **Not Started:** Filing process not started.
- **Submitted:** Filing document has been submitted.
- **Cancellation Submitted:** Cancellation of a prior filing has been submitted.
- **Replacement Submitted:** Replacement of a prior filing has been submitted.
- **Accepted:** Filing response that the filing has been accepted.
- **Accepted Verify:** Filing response is conditionally accepted.
- **Replaced:** Filing response that a prior filing has been replaced.
- **Cancelled:** Filing response that a prior filing has been cancelled.
- **Compliance:** Filing response that filing has compliance problems.
- **Rejected Fatal:** Filing response that filing has been rejected with fatal errors.
- **Rejected Warning:** Filing response that filing has been rejected with warnings.

When you generate a document, using the **Generate Document** action on a declaration, the status value for **CUSTOMS\_FILING\_GENERATION** is set to **Generated**.

When you transmit the filing document, for the very first time, the status value for **CUSTOMS\_FILING** is set to **Submitted**. When a response is received from AES, the status value is set to indicate the response result.

If you want to modify a declaration, after its filing document has been submitted and want to re-file the export declaration for the declaration, first you must run the action **Update Shipment Custom State**, which sets **SHIPMENT\_CUSTOMS\_STATE** to **Modified**, and **CUSTOMS\_FILING\_GENERATION** to **Not Generated**. Next, you must re-generate the filing document by running the **Generate Document** action, which sets the status value for **CUSTOMS\_FILING\_GENERATION** to **Generated**. Finally, you must run the **File Customs** action to transmit the modified filing document, which sets the status value for **CUSTOMS\_FILING** to **Replacement Submitted** or **Cancellation Submitted**, based on the intent of modifying the declaration.

You can define your own customs status types and values to indicate other conditions that you might be interested in or when filing with other regimes.

# 5 AES Regulatory Changes

## Amendments to Cuba Sanctions and New Voluntary Disclosure License Code Types

In January 2015 the Automated Export System deployed changes to allow new License Codes that can be used in export filings. Global Trade Management Cloud is updated to accommodate the use of these new License Codes. The format and query templates have been modified to fulfill the new reporting requirements and will appear in the **X107** field of the EDI filing document. The new License Codes, their use and the configuration necessary is described below.

### **C62 – SUPPORT FOR THE CUBAN PEOPLE**

This is a standard license exception code that would normally be found in either a Compliance Rule Exception Code field or the Authorization field. The user-friendly code that should be entered is **SCP**. The templates will map this to the EDI License Code **C62**.

- VDC – COMMERCE DEPARTMENT VOLUNTARY SELF DISCLOSURE
- VDS – STATE DEPARTMENT VOLUNTARY DISCLOSURE
- VDO – OTHER PARTNER GOVERNMENT AGENCY VOLUNTARY DISCLOSURE

These three are neither License Codes or License Exception Codes, but other information. However, it is expected to find these either in a Compliance Rule Exception Code or the Authorization field. There is no user-friendly code, so the actual values, VDC/VDS/VDO are expected to be found in the Compliance Rule Exception Code or Authorization field.

Users are expected to capture the need for voluntary disclosure by either entering the values directly into the Authorization field or by modeling a Compliance Rule on a Transaction Remark. The Remark Text should be one of the three values listed above and this same value would be used in the Exception Control Code.

## FTR Changes

In April 2014 the Automated Export System (AES) deploys the FTR changes that were detailed in AES Broadcast #201316. Global Trade Management Cloud is updated to accommodate these regulatory changes. The format and query templates are modified to fulfill the new reporting requirements. However, you should note the following changes need to be configured in the templates to query and report the values correctly.

### **1. Ultimate Consignee Type – Element N106**

The N106 element is used to report the Ultimate Consignee Type. This value is required when the N101 Element value is CN. The Ultimate Consignee Type should be stored on the party master using the User-defined Category / Type / Code mechanism. A new AES FILING category and a new ULTIMATE CONSIGNEE TYPE are added. The Ultimate Consignee Type options are:

- XT : Direct Consumer
- QW : Government Entity
- DU : Reseller

- o B2 : Other

There must be one Ultimate Consignee Type set per party. The documentation validation rule pertaining to the ultimate consignee is modified to validate that any party designated as an ultimate consignee has the Ultimate Consignee Type value assigned.

## 2. License Value – Element X114

A license value must be reported for certain license codes in the X114 Element. The license value is defined as the value for a licensable shipment which does not include any overhead charges like insurance, domestic freight, and other charges in US dollars.

If the EDI license code being reported is one of the

**C30, N01, N02, S05, S61, S73, S85, S94, T10, T12 code,**

then the license value is reported as the Assigned License Value of the shipment line (i.e. the *Value* field in the Assigned Licenses grid).

If the EDI license code being reported is one of the **C35, C43, C59** code, then these exception codes has no assigned license value to report. In this case, you should assign a value to the shipment line that they want to report as the license value. You should indicate which value qualifier was used to assign the value, by setting the **report additional parameter P\_REPORTING\_LICENSE\_VALUE**.

## 3. New License Codes

A number of additional license codes are now supported with changes in the format and query templates. However, the DY6 License Code deserves special mention. A new control DY6 is created in AES for reporting of items that fall under the “600 series” ECCNs with a paragraph “.y”. If an AES filer submits export information containing a “600 series” ECCN with a paragraph “.y”, then filer must report using the C60 EDI code.

Global Trade Management Cloud has built-in logic templates to automatically report a DY6 control when certain conditions are met. If a transaction contains an “NLR” license but is classified with a “600 series” ECCN US code, then the C60 EDI code must be reported irrespective of any other conditions.

# Removal of AES License Type Code C32, No License Required (NLR)

Effective from October 1, 2016, the Department of Commerce, Bureau of Industry and Security has removed the license type C32, No License Required (NLR), from the list of License Types in the Automated Export System (AES). As a result of this action, C33 will be the only License Type in AES designating a NLR shipment.

For items that have a reason for control other than or in addition to Anti-Terrorism (AT), report No License Required (C33) as the license type in the EEI filing.

## Removal of AES License Type Codes C49 Trans-Alaska Pipeline Authorization Act (TAPS); C55, Short Supply Crude Oil Samples; and C56 Short Supply Strategic Petroleum Reserves

On May 12, 2016, the Department of Commerce, Bureau of Industry and Security published a final rule that amended the Export Administration Regulations (EAR) to comply with the requirements of Division O, Title 1, Section 101 of Public Law 114–113 (the Consolidated Appropriations Act, 2016) concerning exports of crude oil from the United States. Consistent with this requirement, the final rule amended part 754 of the EAR by removing and reserving § 754.2, which described the short supply license requirements and licensing policies that applied to exports of crude oil from the United States to all destinations.

As a result of this rule, License Types TAPS (C49), Short Supply Crude Oil Samples (C55) and Short Supply Strategic Petroleum Reserves (C56) are removed from the Automated Export System.

## Removal of AES License Code C37, Civil End Users (CIV)

On Tuesday, April 28, 2020, the Department of Commerce, Bureau of Industry and Security published a final rule (*Federal Register Volume 85, Number 82 (Tuesday, April 28, 2020)*) that becomes effective June 29, 2020. Because of this rule, the following change will be made to AES in order for exporters and authorized agents to successfully report electronic export information in the AES. BIS is removing License Exception Civil End-Users (CIV) (§ 740.5 of the EAR), which authorized exports, reexports, and transfers (incountry) of certain national security-controlled items, without prior review by BIS provided the exception's criteria were met, to most civil end users for civil end uses in Country Group D:1.

Because of this rule, AES License Code C37, Civil End Users (CIV) is no longer supported. As such, the mapping has been removed. Based on the regulatory changes, if you specify CIV as the license code or license exception code, then "S00" will be reported.

## New BIS License Type C63 – (YFA) for ECCN 0A501.y Firearms Related Commodities

On Thursday, January 23, 2020, the Department of Commerce, Bureau of Industry and Security published a final rule (*Federal Register / Vol. 85, No. 15 / Thursday, January 23, 2020 / Rules and Regulations*) that became effective March 9, 2020. As a result of this rule, the following change will be made to AES in order for exporters and authorized agents to successfully report electronic export information in the AES.

A change has been made to AES to create a new license type C63 (YFA) that will be specific to the .y commodities that do not have the same destination controls as the “600 series” .y and 9x515 .y commodities to ensure exporters and authorized agents can successfully report electronic export information in the AES for these commodities.

As a result of this rule, AES License Code C63 (YFA) for ECCN 0A501.y Firearms Related Commodities has been added. This license code is used for .y components under 0A501.y and former USML items containing .y subparts.

For more information about the AES filing regulations, please refer to the U.S. Customs and Border Protection website.

## New BIS License Type C64 - (ACE) Authorized Cybersecurity Exports

On Thursday, October 21, 2021, the Department of Commerce, Bureau of Industry and Security (BIS) published an interim final rule (<https://www.govinfo.gov/content/pkg/FR-2021-10-21/pdf/2021-22774.pdf>) that becomes effective January 19, 2022. This interim final rule establishes a new control on cyber security items and a new License Exception "Authorized Cybersecurity Exports" (ACE) that authorizes exports of these items to most destinations except in the circumstances described in the rule. As a result of this rule, the following changes will be made to the Automated Export System (AES) in order for exporters and authorized agents to successfully report electronic export information in the AES.

### The Addition of Two Export Control Classification Numbers (ECCN)

ECCNs 4A005 and 4D004 will be added to the AES ECCN reference table.

**Note:** By using any of the License Exceptions or "No License Required" (NLR), you are certifying that the terms, provisions, and conditions described in the Export Administration Regulations (EAR) have been met.

### A New License Code Has Been Added to the AES

An update has been made to AES to create a new License Code C64 Authorized Cybersecurity Exports (ACE) that authorizes exports, reexports and transfers (in-country) of cybersecurity items and certain IP network surveillance products, which are not also controlled in Category 5-Part 2 of the Commerce Control List (CCL) or for Surreptitious Listening (SL) reasons. License Exception ACE allows the export, reexport and transfer (in- country) of "cybersecurity items" to most destinations, except to destinations listed in Country Groups E:1 and E:2 of supplement no. 1 to part 740 of the EAR. (<https://www.bis.doc.gov/index.php/documents/regulations-docs/2255-supplement-no-1-to-part-740-country-groups-1>).

AES filers must adhere to the following new reporting when using C64 (ACE) to prevent the return of fatal errors from AES.

- **Report License Code:** C64 Authorized Cybersecurity Exports (ACE)
- **Allowable ECCNs:** The following ECCNs are eligible 4A005, 4D001, 4D004, 4E001, 5A001, 5B001, 5D001, and 5E001 to the extent permitted under part 740 of the EAR and the respective ECCN entry.
- **Allowable Export Information Codes:** All except UG
- **Allowable Modes of Transportation:** All except "70" (Fixed Transport)

As a result of this, if the exception control code or the license number is "ACE" , then "C64" is reported.

# New BIS License Types C65 – (TGL) Temporary General License and C66 – (SCAL) Supply Chain Authorization Letter

In the Automated Export System (AES), Customs and Border Protection (CBP) has activated new BIS License Types C65 – (TGL) TEMPORARY GENERAL LICENSE and C66 – (SCAL) SUPPLY CHAIN AUTHORIZATION LETTER.

On October 13, 2022, the Department of Commerce, Bureau of Industry and Security (BIS) published an interim final rule (<https://www.govinfo.gov/content/pkg/FR-2022-10-13/pdf/2022-21658.pdf>) that became effective on October 7, 2022. Among other actions, this interim final rule established a new Temporary General License to avoid disruption of supply chains for certain items that are ultimately destined to customers outside of People's Republic of China (China) or Macau. In a separate series of actions, the BIS Deputy Assistant Secretary for Export Administration issued a number of Supply Chain Authorization Letters which describe specific authorizations granted pursuant to requests based on exigent circumstances of actual or potential supply chain disruptions. As a result of these actions, the following change will be made to the Automated Export System (AES) in order for exporters and authorized agents to successfully report electronic export information in the AES.

## New License Code C65 (TGL)

An update has been made to AES to create new License Codes C65 "Temporary General License" (TGL), which authorizes certain exports, reexports, in-country transfers, and exports from abroad destined to or within China or Macau by companies not headquartered in Country Groups D:1 or D:5 or E (see supplement no. 1 to part 740 of the EAR) to continue or engage in integration, assembly (mounting), inspection, testing, quality assurance, and distribution of items covered by ECCN 3A090, 4A090, and associated software and technology in ECCN 3D001, 3E001, 4D090, or 4E001; or any item that's a computer, integrated circuit, "electronic assembly" or "component" and associated software and technology, specified elsewhere on Commerce Control List (supplement no. 1 to part 774), which meets or exceeds the performance parameters of ECCN 3A090 or 4A090. The full terms of this Temporary General License are described in General Order No. 4 of in paragraph (d) in supplement no. 1 to part 736 of the EAR.

AES filers must adhere to the following new reporting when using C65 (TGL) to prevent the return of fatal errors from AES:

- Report License Code: C65 Temporary General License (TGL)
- Allowable ECCNs: 3A090, 4A090, 3D001, 3E001, 4D090, 4E001, or any item that's a computer, integrated circuit, "electronic assembly" or "component" and associated software and technology, specified elsewhere on Commerce Control List (supplement no. 1 to part 774), which meets or exceeds the performance parameters of ECCN 3A090 or 4A090.
- Allowable Export Information Codes: All except UG
- Allowable Modes of Transportation: All except "70" (Fixed Transport)

As a result of this, if the exception control code or the license number is "TGL", then "C65" is reported.

## New BIS License Types C67 (NAC) (Notification Required)

On Wednesday, October 25, 2023, the Department of Commerce, Bureau of Industry and Security (BIS) published an interim final rule (<https://www.bis.doc.gov/index.php/documents/federal-register-notices-1/3369-88-fr-73458-acs-ifr-10-25-23/file>) with an effective date of November 17, 2023 for most provisions. Among other actions, this interim final rule established a new License Exception Notified Advanced Computing (NAC) in § 740.8 of the Export Administrations Regulations (EAR), 15 C.F.R. parts 730 - 774. This license exception as specified under the paragraph (a) (Eligibility requirements) authorizes the export, reexport, and transfer (in-country) of any item classified in ECCNs 3A090, 4A090, 3A001.z, 4A003.z, 4A004.z, 4A005.z, 5A002.z, 5A004.z, 5A992.z, 5D002.z, or 5D992.z, except for items designed or marketed for use in a data center and meeting the parameters of 3A090.a.

Exports and reexports authorized under License Exception NAC to Macau or a destination specified in Country Group D:5 (in Supp. No. 1 to part 740 of the EAR), or to an entity headquartered in, or with an ultimate parent headquartered in, Macau or a destination specified in Country Group D:5, wherever located, must meet the notification requirements under § 740.8(a)(2) of the EAR and identified by License Type C67 – (NAC) Notified Advanced Computing (Notification required), which is identified in the Electronic Export Information (EEI) filing in the Automated Export System (AES) by reporting C67 and the NAC confirmation number "(A#####)" in the license number block, as described further.

License Exception NAC also authorizes exports, reexports, and transfers (in-country) to or within any destination specified in Country Groups D:1 or D:4, and transfers (in-country) within Macau or any destination specified in Country Group D:5, provided the export, reexport, or transfer (in-country) meets all the applicable criteria identified under paragraph (b) of this section. **The NAC notification requirement does not apply** to exports or reexports to any destination specified in Country Groups D:1 or D:4 (other than Macau or destinations also specified in Country Group D:5) nor does it apply to transfers (in-country) to any destination under § 740.8(a)(2) of the EAR and identified by License Type C68 – (NAC) Notified Advanced Computing (No notification required).

As a result of these actions, the following changes will be made to the AES in order for exporters and authorized agents to successfully report electronic export information in the AES.

### New License Code C67 (NAC) (Notification required)

An update has been made to AES to create License Type Code C67 "Notified Advanced Computing Authorized" (NAC) (Notification required).

An update has been made to AES to create new License Code C67 "Notified Advanced Computing" (NAC), which authorizes certain exports and reexports of any item classified in ECCNs 3A090, 4A090, 3A001.z, 4A003.z, 4A004.z, 4A005.z, 5A002.z, 5A004.z, 5A992.z, 5D002.z, or 5D992.z, except for items designed or marketed for use in a datacenter and meeting the parameters of 3A090.a. The notification requirements under NAC are limited to exports and reexports to Macau or any destination specified in Country Group D:5, or to an entity headquartered in, or with an ultimate parent headquartered in, Macau or a destination specified in Country Group D:5, wherever located. Transactions under NAC must meet all of the applicable criteria identified under paragraph § 740.8(a) and must comply with the restrictions set forth in paragraph § 740.8(b).

The full terms of License Exception NAC are described in § 740.8.

AES filers must adhere to the following new reporting when using C67 (NAC) (Notification required) to prevent the return of fatal errors from AES:

- Report License Code: C67 Notified Advanced Computing (NAC) (Notification required), if advanced notification was required.
- Report License Number: Report the NAC confirmation number "(A#####)" received from BIS in the license number block.
- Allowable ECCNs: 3A090, 4A090, 3A001, 4A003, 4A004, 4A005, 5A002, 5A004, 5A992, 5D002, or 5D992.
- Allowable countries: All destinations.
- ".z" must be entered as the first characters to appear in the Commodity Description block for 3A001.z, 4A003.z, 4A004.z, 4A005.z, 5A002.z, 5A004.z, 5A992.z, 5D002.z, or 5D992.z.
- Allowable Export Information Codes: All except UG
- Allowable Modes of Transportation: All except "70" (Fixed Transport)

As a result of this, if the authorization type is "NAC", then "C67" is reported with confirmation number from authorization field value.

## Update to License Code C68 (NAC) to C68(ACA) (No Notification Required)

On October 25, 2023, the Department of Commerce, Bureau of Industry and Security (BIS) published an interim final rule "Export Controls on Semiconductor Manufacturing Items" (SME IFR) and "Implementation of Additional Export Controls: Certain Advanced Computing Items; Supercomputer and Semiconductor End Use; Updates and Corrections" (AC/S IFR). On April 4, 2024, BIS published a rule (<https://www.federalregister.gov/documents/2024/04/04/2024-07004/implementation-of-additional-export-controls-certain-advanced-computing-items-supercomputer-and>) to correct inadvertent errors in those rules and make additional clarifications for the rule. This rule revises the header of § 740.8 to reference License Exception ACA in addition to License Exception NAC. BIS has separated License Exception NAC into two separate license exceptions that will reside in the same section of the EAR § 740.8: Notified Advanced Computing (NAC) will authorize exports and reexports of specified items to Macau and destinations in Country Group D:5 and entities headquartered in, or with an ultimate parent headquartered in, Macau or a destination specified in Country Group D:5, wherever located, that require a notification to BIS, while Advanced Computing Authorized (ACA) will authorize exports, reexports, and transfers (in-country) of specified items to destinations in Country Group D:1 or D:4 (except Macau and destinations specified in Country Group D:5) that don't require a notification to BIS. License Exception ACA will also authorize transfers (in-country) to Macau and destinations in Country Group D:5, and entities headquartered in, or with an ultimate parent headquartered in, Macau or a destination specified in Country Group D:5, that don't require a notification to BIS.

## Update to License Code C68 (NAC) (NO notification required)

An update has been made to AES to revise the name of License Code C68 to Advanced Computing Authorized (ACA) (**NO** notification required).

The full terms of License Exception ACA are described in § 740.8.

AES filers must adhere to the following new reporting when using C68 (ACA) (No notification required) to prevent the return of fatal errors from AES:

- Report License Code: C68 Advanced Computing Authorized (ACA) (**NO** notification required), if no advanced notification was required.
- Report License Number: Report "ACA" in the license number block.
- Allowable ECCNs: 3A090, 4A090, 3A001, 4A003, 4A004, 4A005, 5A002, 5A004, 5A992, 5D002, or 5D992.
- Allowable countries: Destinations specified in Country Groups D:1, D:4, and D:5.
- ".z" must be entered as the first characters to appear in the Commodity Description block for 3A001.z, 4A003.z, 4A004.z, 4A005.z, 5A002.z, 5A004.z, 5A992.z, 5D002.z, or 5D992.z.
- Allowable Export Information Codes: All except UG.
- Allowable Modes of Transportation: All except "70" (Fixed Transport).

As a result of this, if the exception control code or the license number is "ACA", then "C68" is reported.

## New BIS License Type C69 License Exception (MED)

On Monday, April 29, 2024, the Department of Commerce, Bureau of Industry and Security (BIS) published a final rule, Amendment to Existing Controls on Russia and Belarus Under the Export Administration Regulations (EAR) Adding New License Exception Medical Devices (MED); *Corrections with an effective date of April 29, 2024*. This final rule established a new License Exception Medical Devices (MED) in § 740.23 of the Export Administrations Regulations (EAR), 15 C.F.R. parts 730 - 774. This license exception as specified under the paragraph (a) (Scope) authorizes the export, reexport, and transfer (in-country) of "medical devices" designated as EAR99 to or within Russia, Belarus, the temporarily occupied Crimea region of Ukraine, or the covered regions of Ukraine (as specified in § 746.6(a)(2) of the EAR). Paragraph (a) directs exporters, re-exporters, and transferors to see Supplement no. 3 to part 774 – Statements of Understanding under paragraph (a) (Statement of Understanding medical equipment) for guidance on classifying medical equipment and the definition of "medical device" in § 772.1 of the EAR.

Paragraph (a) also specifies that License Exception MED authorizes the export, reexport, or transfer (in country) to or within Russia, Belarus, the temporarily occupied Crimea region of Ukraine, or the covered regions of Ukraine of "parts", "components", "accessories", and "attachments" designated as EAR99 that are exclusively for use in or with "medical devices" designated as EAR99. For "parts", "components", "accessories", and "attachments" authorized under License Exception MED, such replacement "parts", "components", "accessories", and "attachments" might only be exported, reexported, or transferred (in-country) if they also meet the additional requirements under paragraphs (a)(1) and (2) of § 740.23.

Exports, reexports, and transfers (in-country) authorized under License Exception MED must not be restricted under § 740.23(b) (Restrictions), which restricts "proscribed persons" and any item destined to a "production" "facility" or when you've "knowledge" that the item is intended to develop or produce items. Exports, reexports, and transfers (in-country) authorized under License Exception MED must also comply with the verification requirements specified in paragraph (c) (Verification) and the recordkeeping requirements specified in paragraph (d) Recordkeeping and review or inspection of records.

As a result of these actions, the following changes will be made to the AES in order for exporters and authorized agents to successfully report electronic export information in the AES.

## New License Code C69 License Exception (MED)

An update has been made to AES to create License Type Code C69 MED.

An update has been made to AES to create new License Code C69 "License Exception Medical Devices" (MED), which authorizes certain exports, reexports of any item "medical devices" designated as EAR99 and "parts", "components", "accessories", and "attachments" designated as EAR99 that are exclusively for use in or with "medical devices" designated as EAR99.

The full terms of License Exception MED are described in § 740.23.

AES filers must adhere to the following new reporting when using C69 (MED) to prevent the return of fatal errors from AES:

- Report License Code: C69 MED.
- Allowable ECCNs: No ECCNs are allowed. Only EAR99 is allowable.
- Allowable countries: Belarus, Russia, and Ukraine. (Note that although all of Ukraine is specified as an allowable country in AES, that License Exception MED is only needed to authorize exports, reexports, and transfers (in-country) to or within temporarily occupied Crimea region of Ukraine, or the covered regions of Ukraine (as specified in § 746.6(a)(2) of the EAR)).
- Allowable Export Information Codes: All except UG.
- Allowable Modes of Transportation: All except "70" (Fixed Transport).

As a result of this, if the exception control code or the license number is "MED", then "C69" is reported.

## New BIS License Type C70 – Implemented Export Control (IEC)

On Thursday, September 5, 2024, the Department of Commerce, Bureau of Industry and Security (BIS) published an interim final rule with an effective date of September 6, 2024 - <https://public-inspection.federalregister.gov/2024-19633.pdf>

This interim final rule establishes new controls on advanced technologies consistent with international partners and creates the new License Exception "Implemented Export Control" (IEC) that authorizes exports of certain items to destinations in the circumstances described in the rule. As a result of this rule, the following change will be made to the Automated Export System (AES) in order for exporters and authorized agents to successfully report electronic export information in the AES.

### The Addition of Export Control Classification Numbers (ECCN)

ECCNs 2B910, 2D910, 2E903, 2E910, 3A901, 3A904, 3B903, 3B904, 3C907, 3C908, 3C909, 3D002, 3D901, 3D907, 3E901, 3E905, 4A906, 4D906, and 4E906 will be added to the AES ECCN reference table.

**Note:** By using any of the License Exceptions or "No License Required" (NLR), you are certifying that the terms, provisions, and conditions described in the Export Administration Regulations (EAR) have been met.

### A New License Code has been added to the AES

An update has been made to AES to create a new License Code C70 Implemented Export Control (IEC) that authorizes exports, reexports and transfers (in-country) to and by countries that have implemented equivalent technical controls

for these newly added items. License Exception IEC allows the export, reexport and transfer (in-country) of these items to Canada, France, Germany, Italy, Japan, Spain, and the United Kingdom as described in part 740 of the EAR.

AES filers must adhere to the following new reporting when using C70 (IEC) to prevent the return of fatal errors from AES:

- Report License Code: C70 Implemented Export Control (IEC).
- The following ECCNs are eligible: 2B910, 2D910, 2E903, 2E910, 3A901, 3A904, 3B001, 3B903, 3B904, 3C907, 3C908, 3C909, 3D001, 3D002, 3D901, 3D907, 3E001, 3E901, 3E905, 4A906, 4D906, and 4E906 to the extent permitted under part 740 of the EAR and the respective ECCN entry.
- Allowable Countries: Australia, Canada, France, Germany, Italy, Japan, Spain, and the United Kingdom as described in part 740 of the EAR.
- Allowable Export Information Codes: All except UG.
- Allowable Modes of Transportation: All except "70" (Fixed Transport).

As a result of this, if the exception control code or the license number is "IEC", then "C70" is reported.

## Removal of AES License Codes C39/CTP, C47/APR, C48/KMI

These license codes are not supported by the Automated Export System (AES) currently.

## New BIS License Type C71 – High Bandwidth Memory (HBM)

**Description:** High Bandwidth Memory (HBM) that authorizes exports, reexports, and transfers (in-country) of items specified in ECCN 3A090.c if all terms and conditions within paragraphs §740.25 (a) through (e) are met. See §740.25 and §740.2 of the EAR for additional restrictions.

**Mandatory:** 3A090

## New BIS License Type C72 – Restricted Fabrication Facility (RFF)

**Description:** Restricted Fabrication Facility (RFF) that authorizes exports, reexports, and transfers (in-country) of items not specified in ECCNs 3B001, 3B002, 3B993, 3B994, 3D992, 3D993, 3D994, 3E992, 3E993, or 3E994 to specific entities on the Entity List (Supplement No. 4 to Part 744) when § 740.26 is referenced in the Entity List entry. See §740.26 and §740.2 of the EAR for additional restrictions.

**Mandatory:** All except 3B001, 3B002, 3B993, 3B994, 3D992, 3D993, 3D994, 3E992, 3E993, or 3E994.

## New BIS License Type C73 – Artificial Intelligence Authorization (AIA)

**Description:** Artificial Intelligence Authorization (AIA) authorizes the export, reexport, or transfer (in-country) of eligible advanced computing ICs and associated software and technology to entities located in a destination listed in paragraph (a) of Supplement No. 5 to part 740 and other parameters. See § 740.27(a).

**Mandatory:** 3A001.z, 3A090.a, 3A090.z, 3D001, 4A003.z, 4A004.z, 4A005.z, 4A090.a, 4A090.z, 4D001, 4D090, 4E001, 4E091, 5A002.z, 5A004.z, 5A992.z, 5D002.z, 5D992.z, 5E002, 5E992.

## New BIS License Type C74 – Advanced Compute Manufacturing (ACM)

**Description:** Advanced Compute Manufacturing (ACM) authorizes the export, reexport, and transfer (in-country) of eligible items to a "private sector end user" that is located in a destination not listed in Country Group D:5 or Macau. See § 740.28.

**Mandatory:** 3A001.z, 3A090, 3D001, 3E001, 4A003.z, 4A004.z, 4A005.z, 4A090, 4D001, 4D090, 4E001, 5A002.z, 5A004.z, 5A992.z, 5D002.z, 5D992.z, 5E002, 5E992.

## New BIS License Type C75 – Exception Low Processing Performance (LPP)

**Description:** Exception Low Processing Performance (LPP) authorizes the export and reexport of low amounts of compute that do not present significant national security risks, up to 26,900,000 Total Processing Performance (TPP) of advanced computing ICs per calendar year to any individual ultimate consignee. See § 740.29.

**Mandatory:** 3A001.z.1.a, 3A001.z.2.a, 3A001.z.3.a, 3A001.z.4.a, 3A090.a, 4A003.z.1.a, 4A003.z.2.a, 4A004.z.1, 4A005.z.1, 4A090.a, 5A004.z.1.a, 5A004.z.2.a, 5A992.z.1, 5A992.z.1.a.

## New BIS License Type C76 – Universal VEU (UVEU)

**Description:** Universal VEU (UVEU) Companies headquartered in, or whose ultimate parent is headquartered in destinations specified in paragraph (a) of Supplement No. 5 to part 740 may apply for the UVEU Authorization. See § 740.15.

**Mandatory:** See Supplement 7 to part 748 for specific end users and ECCNs.

## New BIS License Type C77 – National VEU (NVEU)

**Description:** National VEU (NVEU) Companies headquartered in, or whose ultimate parent is headquartered in, all destinations worldwide except Macau or destinations specified in Country Group D:5 may apply for the NVEU Authorization. See § 740.15.

**Mandatory:** All ECCNs EXCEPT 600 series and ECCNs with a reason for control: Missile Technology and/or Crime Control.

## New BIS License Type Code C78 - Syria Peace and Prosperity (SPP)

**Description:** Syria Peace and Prosperity (SPP) Part 740.5 of the BIS Export Administration Regulations (EAR). EAR99 may be reported as an ECCN.

**Mandatory:** ECCN EAR99

# 6 Customizable mapping of Codes to EDI-accepted Codes used for X107

## Customs Codes Mapping Overview

You can configure the mapping of code to EDI-accepted code used in generation of X107 element in AES Report. You can add the custom code mapping using Code Mappings UI in any of the categories Authorization, Authorization Type, Exception Control Code and License Code.

The mapping of codes to EDI-accepted codes on current regulations in the Code Mapping “AES FILING MAPPING DEFAULT” is included as seed data.

### How to Use Custom Codes Mapping for X107

1. Go to **Master Data > Power Data > Configurations > Code Mappings**, run the “Copy Code mapping” action on the “AES FILING MAPPING DEFAULT” code mapping and create a new code mapping. “AES FILING MAPPING DEFAULT” is the default code mapping used in AES Filing shipped and maintained by GTM, which you should not change. All changes should be made to the copy you just created, or create a new code mapping with the Type of “AES FILING MAPPING” to modify the code mappings.
2. You can modify the code mappings using the following ways:
  - a. **Add New Code Mapping:** Use the button “Add New Mapping Data” to create a new mapping for any of the four parameter groups. Enter the code and override external code values on the screen.
  - b. **Update Default Code Mapping:** Select the **Edit** button and:
    - i. Provide a new value in **Override External Code** field to override the default code mapping.
    - ii. Empty the **Override External Code** field to stop using the default code mapping.

**Note:** You can fall back to default mapping by deleting the overridden code mapping.



# 7 Troubleshooting

## Troubleshooting Process

When filing your export data with AES, you will receive a response. If your filing is correct and includes all the required data in the proper format, AES will accept the filing and send back a response code and an ITN which is your confirmation number. If there is a problem with your submission and it is not accepted, you will need to troubleshoot the issues, make changes and retransmit your data to AES.

There are a few things you can do when troubleshooting an issue:

- If there is an issue, AES will send back a response code and severity related to that code. To find more detail about a response code and how to resolve the corresponding issue, you can refer to the 'Appendix A – Commodity Filing Response Matrix' document which is available on the Customs and Border Protection (CBP) website. This document includes details for each response code including the severity, the reason you received the response code, and the resolution.
- The "ANSI X-12: 601 – Export Shipment Information" document is the EDI specification which CBP uses to support electronic filing of data. This EDI implementation guide provides the details of the data which CBP wants to be submitted for export filing with AES. This document is available on the CBP website.
- The "GTM - AES X12 601 Mapping.xlsx" document provides the details of how the data which needs to be filed with AES is mapped to Global Trade Management Cloud. You can see the data element from the 'ANSI X-12: 601 – Export Shipment Information' document, where the data resides in the Global Trade Management Cloud database, and where the data should be entered on the Global Trade Management Cloud user interface.
- As part of troubleshooting, these three documents can be used together to determine what the issue is, how to resolved it, and where the data resides in Global Trade Management Cloud. For example, you submit a filing to AES from Global Trade Management Cloud. You receive a response back from AES with a response code of 116. You do not receive back the ITN. To troubleshoot this, you can:
- Look up Response Code 116 in the "Appendix A – Commodity Filing Response Matrix" document provided by CBP. This document shows the following:

<p><b>Response Code: 116</b> <b>Narrative Text:</b> RELATED COMPANY INDICATOR MISSING <b>Severity:</b> FATAL <b>Proprietary Record ID/Data Elements:</b> Input SC1 Record/Related Company Indicator <b>X.12 Segment ID/Data Elements:</b> BA101 <b>Reason:</b> The Related Company Indicator on the SC1 record is missing. <b>Resolution:</b> A declaration must be made on an <u>EEI</u> as to whether the USPPI and foreign ultimate consignee are 'related'. For an explanation of related/non-related transactions, see the Foreign Trade Statistical Regulations, 30.7(v). Verify whether the parties to the transaction are related, correct the SC1 record and retransmit.</p>
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- If you are looking for more detail about the Related Company Indicator, you can refer to the "ANSI X-12: 601 – Export Shipment Information" document and

search for "Related Company Indicator". This document shows the following:

User Attribute	Ref. Des.	Data Element	Name	Attributes
M	BA101	645	<b>Related Company Indication Code</b> Code indicating parties to a transaction <b>RELATED COMPANY INDICATOR</b>  An indication that, during the fiscal year, either the USPPI or foreign ultimate consignee reported, owned 10% or more of the other's voting securities.  N NO - Companies NOT related Y YES - Companies related  Equivalent AESTIR Proprietary Element: SC1 - Related Company Indicator.	M 1 ID 1/1

You can see that AES wants to know if ‘...during the fiscal year, either the USPPI or foreign ultimate consignee reported, owned 10% or more of the other’s voting securities’.

- If you want to see where this data resides in Global Trade Management Cloud, you can use the "GTM – AES X12 601 Mapping.xlsx" document. In this document, search for "Related Company Indicator". This document shows the following:

Data Element	Segment/Element Name	Element Details	Hard Coded Value (Pre Defined Value)	Comments	Database Mapping	Location of Data in Declaration
BA101	Related Company Indicator Code	Related Company Indicator		Possible Codes: "N" - NO Companies are NOT related; "Y" - YES Companies related	GTM_TRANSACTION_REMARK.REMARK_TEXT  where GTM_TRANSACTION_REMARK.REMARK_QUAL_GID = RELATED_COMPANY	Declaration > Remark Text where Remark Qualifier ID = RELATED_COMPANY  GTM converts from the GTM-specific values displayed on the UI to the AES-required values for reporting purposes as follows:  "NO" is converted to "N" "YES" is converted to "Y"

When you do this search, you can see that AES expects this data to be sent in the BA101 element. There are two possible codes: “N” – NO Companies are NOT related or “Y” – YES Companies related. You can also see that this data should be populated on the Declaration as a remark with a qualifier of "RELATED COMPANY". You can verify if the ultimate consignee is related to the USPPI, add this data to Global Trade Management Cloud and retransmit to AES.

For a copy of either the "ANSI X-12: 601 – Export Shipment Information" and "Appendix A – Commodity Filing Response Matrix" documents, please go to the CBP website at <http://www.cbp.gov>. For a copy of the "GTM – AES X12 601 Mapping.xlsx" document, go to My Oracle Support and refer to the [KB153929: Oracle Transportation and Global Trade Management Documentation Resources](#).

## 8 Appendix

### Sample Outbound X12.601 EDI Filing Document

```
ISA*03*000000000 *01* *01*000000000 *ZZ*USCSAESTEST *130813*1026*^*00405*777100077*0*T*~
GS*SE*000000000 *USCSAESTEST*20130813*1026*777100077*X*00405~
ST*601*777100077~
BA1*N*1*A*JP*SHIPMENT_01**NO*MD**AA**AMERICAN AIRLINES~
YNQ*RZ*N*****~
YNQ*QQ*N*****~
DTM*274*20130904****~
P5*L*D*1305~
M12*70***N*****~
N1*FW*SUPER FREIGHT FORWARDING*24*54123678900*01*~
N2*JOE BOXMAN*8027662017~
N3*100 DERBY LINE ROAD*~
N4*DERBY*VT*05829*US***~
N1*CN*XYZ COMPANY* **01*~
N3*1 PURCHASE PLACE*~
N4*OKINAWA**47211*JP***~
N1*EX*123 COMPANY*24*0000000000*01*~
N2*JOHN SMITH*9876543210~
N3*1 PROFIT PLACE*~
N4*SUITLAND*MD*20746*US***~
L13*B*1905320000*KG*840*10*3500*1000*0*K*840*WAFLES AND WAFERS*OS*1**~
X1**NLR*1****C33**D*****EAR99**~
SE*21*777100077~
GE*1*777100077~
IEA*1*777100077~
```

### Sample Inbound X12.824 EDI Filing Response: Shipment Added Response

```
ISA*00*000000000 *01* *ZZ*USCSAESTEST *01*000000000 *130813*1627*^*00405*000000043*0*P*~
GS*AG*USCSAESTEST* *20130813*1627*43*X*004050
ST*824*0043
BGN*01*000000000*20130813***XT
N1*01*123 COMPANY*24*0000000000
REF*01*100077
OTI*02*A1*000000000
OTI*02*B1*0000000000
OTI*02*SC1*SHIPMENT_01
OTI*02*ES1*X20130813000054
TED*974* A SHIPMENT ADDED
OTI*02*Y1*0000000000
OTI*02*Z1*000000000
SE*12*0043
GE*1*43
IEA*1*000000043
```

# Sample Inbound X12.824 EDI Filing Response: Shipment Rejected Response

```

ISA*00*000000000 *01* **ZZ*USCSAESTEST *01*000000000 *130819*1357*^^*00405*000000057*0*P~~
GS*AG*USCSAESTEST* *20130819*1357*57*X*004050
ST*824*0057
BGN*01*000000000*20130819***XT
N1*01*123 COMPANY*24*00000000000
REF*01*100144
OTI*02*A1*0000000000
OTI*02*B1*00000000000
OTI*02*SC1*AES_SHIPMENT_06
OTI*02*CL1*1000SWT BISCTS;WFLS,NT FRO,OTH
OTI*02*CL2*1905310049
TED*642*F QUANTITY 1 CANNOT EXCEED 99,999,999 *L13
TED*8W1*V SHPING WGT/QUANTITY 1 OUT OF RANGE *L13
OTI*02*ES1
TED*970*F R SHIPMENT REJECTED; RESOLVE & RETRANSMIT
OTI*02*Y1*00000000000
OTI*02*Z1*0000000000
SE*16*0057
GE*1*57
IEA*1*000000057
    
```

## Important Qualifiers

Qualified IDs that are referenced in the default Oracle Analytics Publisher templates used to generate the EDI formatted filing document.

### Important Qualifiers

Type of Qualifier	Qualifier ID
Date Qualifier	EXPORT DATE
GTM Transaction Line Refnum Qualifier	FILING REFERENCE NUMBER
GTM Transaction Line Refnum Qualifier	VEHICLE IDENTIFICATION NUMBER
GTM Transaction Line Refnum Qualifier	VEHICLE TITLE NUMBER
GTM Transaction Refnum Qualifier	SHIPMENT REFERENCE NUMBER
GTM Transaction Refnum Qualifier	BN
Involved Party Qualifier	CARRIER
Involved Party Qualifier	FORWARDING AGENT
Involved Party Qualifier	INTERMEDIATE CONSIGNEE

Type of Qualifier	Qualifier ID
Involved Party Qualifier	SHIP FROM
Involved Party Qualifier	ULTIMATE CONSIGNEE
Involved Party Qualifier	USPPI
Involved Party Qualifier	TRANSMITTER
Involved Party Qualifier	FILER
Location Refnum Qualifier	SCHEDULE_D
Location Refnum Qualifier	SCHEDULE_K
Party Refnum Qualifier	DDTC REGISTRATION NUMBER
Party Refnum Qualifier	DUNS
Party Refnum Qualifier	FOREIGN ENTITY NUMBER
Party Refnum Qualifier	AES TRANSMITTER ID
Party Refnum Qualifier	AES FILER ID
Port Qualifier	PORT OF EXPORT
Port Qualifier	PORT OF UNLADING
Product Classification Type	ECCN US
Product Classification Type	SCHEDULE B
Quantity Qualifier	ORDERED
Quantity Qualifier	TOTAL GROSS WEIGHT
Remark Qualifier	FILING OPTION
Remark Qualifier	ORIGIN
Remark Qualifier	EQUIPMENT INITIAL NUMBER
Remark Qualifier	EXPORT INFORMATION CODE
Remark Qualifier	ELIGIBLE PARTY CERTIFICATION
Remark Qualifier	RELATED COMPANY
Remark Qualifier	ROUTED EXPORT TRANSACTION
Remark Qualifier	VEHICLE TITLE STATE CODE
Value Qualifier	TOTAL VALUE

## References

- **CBP recommended VPN options:** <http://www.cbp.gov> and search for Communication Access.
- **Census Schedule D Port Locations found in AES Appendix D – Export Port Codes:** <http://www.cbp.gov> and search for AESTIR Appendices.
- **Census Schedule K (Classification of Foreign Ports by Geographic Trade Area and Country) found in AES Appendix Z – Additional Information Sources:** <http://www.cbp.gov> and search for AESTIR Appendices
- **ANSI X-12: 601 – Export Shipment Information:** <http://www.cbp.gov> and search for 601
- **Appendix A – Commodity Filing Response Matrix:** <http://www.cbp.gov> and search for AESTIR Appendices.
- **GTM – AES X12 601 Mapping.xlsx:** *KB153929: Oracle Transportation and Global Trade Management Documentation Resources.*