

The Automated Export System

The ABCs of the AES

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Today's Speakers

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#foreigntrade

Fundamentals of Exporting

Created by the Foreign Trade Division of the U.S. Census Bureau, this in-depth webinar series provides the tools necessary for a strong foundation in the fundamentals of exporting.

Filing Export Information Electronically— The ABCs of AES

The fifth webinar in the 8-part series

http://www.census.gov/newsroom/releases/archives/news_conferences/webinars_exporting.html

Foreign Trade Division

The **Foreign Trade Division** is the *official* source for U.S. export and import statistics and is responsible for issuing regulations governing the reporting of all export shipments from the United States.

Today's Topics

- **Overview of the Automated Export System**
- **Before Filing the Shipment Data**
- **Filing Shipment Data and Avoiding Common Problems**
- **After Filing the Shipment Data**
- **AES Compliance and Fatal Error Reports**

Overview of the Automated Export System

- **AES is the database that processes and stores all Shipment Data.**
- **AES Filers**
 - **U.S. Principal Party in Interest (USPPI)**
 - **Authorized Agent**

AES Process Flow



AES Filing Methods

- **Direct connection to the AES**
 - Self-developed Software
 - Certified [Vendor Software](#)
 - Certified [Service Center](#)
- **AES Direct**
 - AES *PcLink*
 - Batch Filing (EDI Upload)
 - AES *WebLink*



Before Filing the Shipment Data

- **Gather Export Information from involved parties**
 - **Transportation Information**
 - **Examples: Origin, Date of export, Carrier Information**
 - **Parties Information**
 - **Examples: USPPI, Ultimate Consignee**
 - **Commodity Information**
 - **Examples: Schedule B, Units of Measure, License Information**

Before Filing the Shipment Data

- **Decide who is filing the Shipment Data**
 - **USPPI**
 - **Authorized U.S. Agent**
- **To avoid duplicate Shipment filings, only one party may file for each shipment**

Filing the Shipment Data and Avoiding Common Problems

- **Misreported Codes**
 - Carrier Codes
 - Port of Export
 - Schedule B
 - License Numbers and ECCN Codes (if applicable)
- **Research and Report all Required Information**
 - Transportation Information
 - USPPI
 - Ultimate Consignee
 - Commodity Details

After Filing the Shipment Data

- **AES Response Messages**
 - Fatal
 - Warning
 - Compliance Alerts
 - Verify
 - Informational
- **AES Reports**
 - AES Compliance Report
 - AES Fatal Error Report (supplemental)



AES Response Messages

Verify
Compliance Alerts
Warning
Informational

Shipment Accepted

**Internal Transaction
Number (ITN) Issued**

Fatal

Shipment Rejected

No ITN Issued

Fatal Error Response Sample

(121-FATAL) CARRIER CODE MUST BE 2-CHAR OR 3-LETTER
(970-FATAL) SHIPMENT REJECTED; RESOLVE & RETRANSMIT

SHIPMENT REFERENCE NUMBER : PRESENTATION1
AES ITN :

Fatal Error Response Sample

Response Code Response Type

Response Message

(121	FATAL	CARRIER CODE MUST BE 2-CHAR OR 3-LETTER SHIPMENT REJECTED; RESOLVE & RETRANSMIT
(970	FATAL	

SHIPMENT REFERENCE NUMBER : PRESENTATION1
AES ITN : ???

Where's the ITN?

Answer: No ITN Issued!!

Proper Actions for Fatal Error Responses

- Filers are required to correct - FTR 30.9
- Must correct Fatal Errors prior to exportation to receive AES ITN
- Refer to Appendix A of the AES Trade Interface Requirements (AESTIR)

* http://www.cbp.gov/xp/cgov/trade/automated/aes/tech_docs/aestir/june04_intro/appendices/

Proper Actions for Fatal Error Responses

Correcting the Shipment Data

- **If a Fatal Error message was generated and it is resolvable:**
 1. Retrieve the rejected Shipment
 2. Correct the data which generated the Fatal Error
 3. Resubmit to receive the ITN
- **Note: Do not enter a new Shipment Reference Number (SRN). Doing so will create a duplicate shipment.**

Proper Actions for Fatal Error Responses

Suppressing the Fatal Error

- **A Fatal Error may require suppression if:**
 - It cannot be corrected
 - The shipment was unintentionally duplicated with another SRN
 - The shipment never left the country for export
- **To request suppression, send an email to:**
 - Ftd.aes.fatal.reports@census.gov
 - Include the following
 - The original SRN
 - The new ITN (if applicable)

Proper Actions for Verify Responses

- **Please review data thoroughly**
 - If data is correct, no further action necessary
 - If data is incorrect, correct and retransmit
- **Please report repetitive Verify Responses**
 - Provide Shipment Reference Numbers
 - Provide Schedule B or HTS Number
 - Provide 5 or more examples within a one month period with the same verify response per Schedule B number

Proper Actions for Compliance Alerts

- **Compliance Alerts cannot be corrected**
- **Common Causes:**
 - Late filing
 - Changing critical shipment information after export date
- **Document! Document!**
 - If Compliance Alerts are generated frequently, please address internal business practices.
 - Review [AES Best Practices](#) manual

Proper Actions for Warning and Informational Responses

- **Warning Messages**
 - **Sold En Route Shipments**
 - **MUST be corrected within 4 days**
- **Informational Responses**
 - **Non-critical notification to the filer**
 - **Follow informational message instructions**



AES Downtime Policy

- **When the AES is down**
 - You will be notified by an e-mail broadcast
 - Use AES Downtime Proof of Filing Citation to move cargo
- **When the AES filer's system is down**
 - Transmit through *AESDirect*
 - Select an Authorized U.S. Agent to report on your behalf
- **Shipments subject to Directorate of Defense Trade Controls (DDTC), whether licensed or ITAR exempt, cannot be moved under AES Downtime**

AES Downtime Citation

- If the AES is down, the Downtime Citation must be provided.

– Format for Citation:

AES DOWN	FILER ID	DATE OF EXPORT
AESDOWN	987654321	08/16/12

– **Example:**

- Maintain a log of unreported shipments
- When the system is back online, transmit Shipment Data moved under the AES Downtime Policy.

Proof of Filing Citations (FTR 30.7)

- **Pre-departure ITN**

- Format for Citation:

AES	ITN (YYYYMMDD#####)
AES	X20120816999999

- **Example:**

- **Common Exemptions**

For Low-value shipments: Must be less than \$2,500 per commodity, and not licensable.

NO EEI 30.37a

For Shipments going to Canada: Must not be licensable.

NO EEI 30.36a

Proof of Filing Citations (FTR 30.7)

- **Post-departure ITN**

If Authorized Agent files on behalf of USPPI

–Format:

AESPOST	USPPI ID – Filer ID	Date of Export
AESPOST	98765432100-123456789	08/06/2012

–Example:

If USPPI files directly to the AES

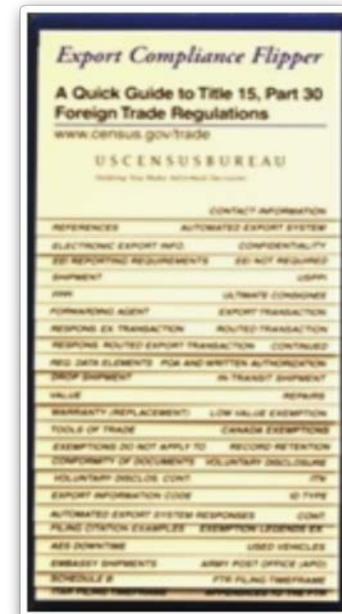
–Format:

AESPOST	USPPI ID	Date of Export
AESPOST	98765432100	08/06/2012

–Example:

Ensuring Compliance with AES

- Shipments are monitored for quality and timeliness
- AES filers can be penalized for:
 - Failure to file
 - Late filing
 - Providing false or misleading information



AES Compliance Reports

- **AES Compliance Reports are issued monthly**
- **AES Compliance Alerts and unresolved Fatal Errors will affect compliance rate**
- **Outstanding fatal errors will be calculated into monthly compliance rate**



AES Compliance Reports

- **Ultimate goal is a 100% Compliance Rate**
- **Shipments found out of compliance are subject to fines, penalties, and seizures.**
- **If the Compliance Rate falls below 100%**
 - **Filers will need to address filing issues**
 - **Review AES Best Practices**
- **Census follows up with companies with lower Compliance Rates**

AES Compliance Reports

- **To maintain a high Compliance Rate, filers should:**
 - **Ensure the AES Compliance and AES Fatal Error Reports are sent to the appropriate person in the company**
 - **Minimize the total number of monthly AES Compliance Alerts**
 - **Monitor and resolve outstanding Fatal Errors as soon as they are received**
 - **Properly suppress or resubmit rejected shipments**
 - **Become familiar with Appendix A – Commodity Filing Response Messages to correct Fatal Errors**

Additional Training Tools

- Export Training Videos
- Webinars
- Global Reach Blog
<http://globalreach.blogs.census.gov>

U.S. Exports of Goods Continue to Grow
 Posted on March 12, 2012

One of the primary tools of the [National Export Initiative \(NEI\)](#) is the U.S. merchandise trade statistics captured by the [Foreign Trade Division](#) of the U.S. Census Bureau. Examining the trade statistics provides a business with the information needed to make efficient and effective decisions for their export strategy. The statistics may also be used to evaluate the current and historical trends of U.S. exports and imports.

The table below displays the top five U.S. export commodities (NAICS-based) with the highest growth rate from 2009 – 2011, based on total dollar value in millions. By studying the data, we can see that over that two-year period, U.S. exports of goods have increased **40.2%**. Iron ores registered the largest individual increase at 274.0%. Cattle (206.0%), coal (164.7%), swine (152.9%), and cotton (151.2%) completed the top five.

Foreign Trade

Main About Foreign Trade Data AES Regulations Reference Defin

Important Links

- Global Reach Blog
- Newsletters
- AESDirect
- DropBox
- Guide to Foreign Trade
- Foreign Trade Products
- USA Trade Online

Related Sites

- Business and Industry
- Briefing Room

VIDEOS

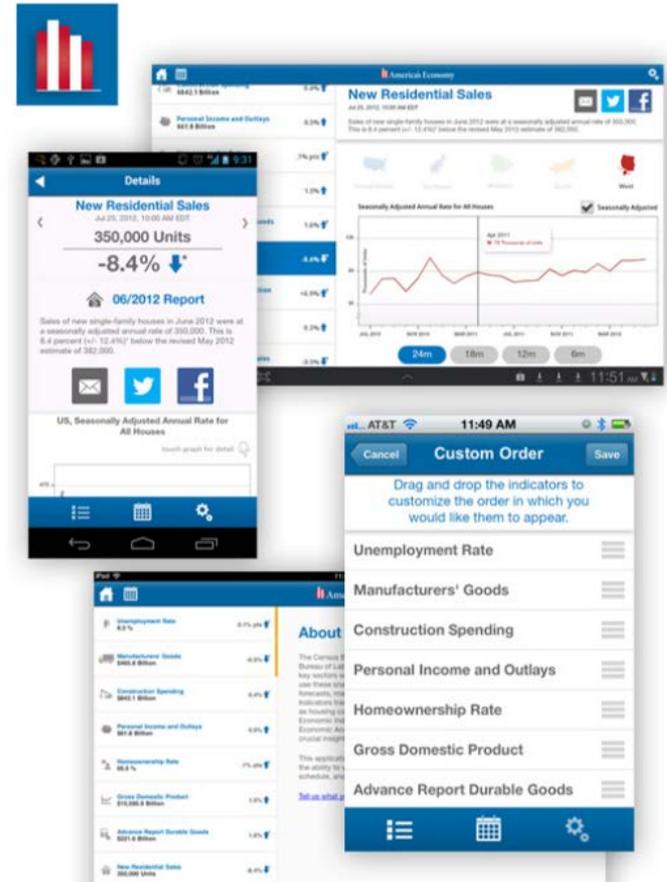
- [Export Compliance and Regulations](#)
- [Reporting Electronic Export Information \(EEI\)](#)
- [Using Trade Data for Export Planning and Strategy](#)
- [Trade Agreements](#)
- [Mandatory AES](#)

March 2012 Trade Numbers
 Deficit: \$51.8 Billion
 Exports: \$186.8 Billion
 Imports: \$238.6 Billion
 Next release: June 8, 2012
[Complete Release Schedule](#)

Upcoming Seminars and Workshops
 June 5-6, 2012
 AES Compliance, Glen Ellyn, Illinois

America's Economy Mobile App

- www.census.gov/mobile
- 16 Key Economic Indicators, including International Trade
- Available for iPhone, iPad and Android devices



Questions?



For More Information

- **Media Inquiries:**
 - Public Information Office: 301-763-3030

- **FTD Call Center: 800-549-0595**
 - Option 1 – AES Assistance
 - Option 2 – Commodity Classification Assistance
 - Option 3 – Regulations Assistance
 - Option 4 – Data Dissemination Branch

- **Fax: 301-763-8835 (secure)**

- **E-mail: askaes@census.gov**

Upcoming Webinars

For more information or to sign up for our next webinar go to:

http://www.census.gov/newsroom/releases/archives/news_conferences/webinars_exporting.html

- **Your Free Tools of Trade — *AESDirect* and *AESPcLink*:**
September 19, 2012 (RSVP available Monday, September 10)
- **Getting it Right the First Time — How to Avoid Common Penalties:**
October 3, 2012
- **What is a Foreign Trade Zone and How Can It Help You?:**
October 17, 2012