The Automated Export System

The ABCs of the AES

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Today’s Speakers

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Public Affairs and Media Events
Public Information Office

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The U.S. Census Bureau measures the nation's People, Places, and our Economy

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#foreigntrade
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
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

EXPORT COMMUNITY
- AesDirect
- AesPcLink
- CBP Connections
- Third Party Vendor

RESPONSES
- ITN
- Fatal Error
- Verify Messages
- Warning

Electronic Export Information (EEI)
AES Filing Methods

• Direct connection to the AES
  • Self-developed Software
  • Certified Vendor Software
  • Certified Service Center

• AESDirect
  • AESPcLink
  • Batch Filing (EDI Upload)
  • AESWebLink
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

- Fatal

- Shipment Accepted
- Internal Transaction Number (ITN) Issued

- 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

<table>
<thead>
<tr>
<th>Response Code</th>
<th>Response Type</th>
<th>Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>(121) FATAL</td>
<td></td>
<td>CARRIER CODE MUST BE 2-CHAR OR 3-LETTER</td>
</tr>
<tr>
<td>(970) FATAL</td>
<td></td>
<td>SHIPMENT REJECTED; RESOLVE &amp; RETRANSMIT</td>
</tr>
</tbody>
</table>

**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)

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:
  - Example:

<table>
<thead>
<tr>
<th>AES DOWN</th>
<th>FILER ID</th>
<th>DATE OF EXPORT</th>
</tr>
</thead>
<tbody>
<tr>
<td>AESDOWN</td>
<td>987654321</td>
<td>08/16/12</td>
</tr>
</tbody>
</table>

- 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############) |
  - Example: AES X201208169999999

• 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
• Post-departure ITN

If Authorized Agent files on behalf of USPPI

– Format:  
  AESPOST  USPPI ID – Filer ID  Date of Export

– Example:  
  AESPOST  98765432100-123456789  08/06/2012

If USPPI files directly to the AES

– Format:  
  AESPOST  USPPI ID  Date of Export

– Example:  
  AESPOST  98765432100  08/06/2012
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](http://globalreach.blogs.census.gov)

Foreign Trade

**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: $163.0 Billion
  - Imports: $234.8 Billion
  - Next release: June 6, 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](http://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*