

## Automated Commercial Environment—Requirements Recommendation

<b>Date:</b>	May 23, 2002
<b>Number:</b>	MMM – FR 05 Account Requirements
<b>Requestor:</b>	Multi-Modal Manifest Committee
<b>Customs Co-Chair:</b>	John Considine
<b>Trade Co-Chair:</b>	Len Podgurny

### Requirement

**Trade Carrier Account Requirements**  
See attached text for requirements.

### Business Need

To allow both federal government agencies and the trade to manage information/accessibility to data through a trade account.

### Technical Need

Show relevant data to allow the account to quickly monitor any and all types of transactions involving the account's dealings with Customs/PGAs.

Allows the account owner to define access.

Prevent unauthorized users.

Provide a report generating tool.

### Benefits

Allows the trade to control access to proprietary data, to ensure accuracy of their information, to permit the use of the account's bond, and to designate the electronic routing of information to a specific party.

### Risks

Security failure causing unauthorized access to account information.

Inadvertently granting access to the wrong party.

**Related Committees**

**Account Management Committee**

**Revenue Management Committee**

**Priority:**    **Critical**         **High** **XX**        **Medium**         **Low**

**Customs Use Only**

**Approved**         **Not Approved**         **Further Evaluation Required**

**Trade Carrier Account Requirements**  
**Multi-Modal Manifest TSN Committee**  
**May 23, 2002**

This document was last updated as a result of discussion at the MMM Committee meeting, May 17, 2002.

**SubCommittee Membership:**

Adi Abel	(Sandler Travis)
Susan Maskell (Convener)	(USCS)
Len Podgurny	(CN)
Glenys Oldham	(United Airlines)
Matt Haffner	(DHL)
Peggy Rutledge	(Hapag Lloyd)
Kathy Hansen	(CNF)

**NOTE:**

- 1. For the purposes of this document any reference to electronic data or electronic transmission will include any means agreed upon by Customs and the transmitting partners including, but not limited to, X12, EDIFACT, XML, Web Portal, etc.**
- 2. For the purposes of this document a Carrier Account will apply to any party who produces a bill of lading and/or air waybill.**

**Requirements:**

1. The Carrier Account shall include all codes by which the carrier is known, i.e. SCAC, IATA, DUNS, IRS, ICAO, etc.
2. The Carrier Account shall include all bond information including type, amount, location of issuance, and effective period related to a specific account.
3. The Carrier Account shall include all programs in which the carrier participates, i.e., NCAP, CTPAT, CIP, LBCIP, BRASS, etc. If port specific, the port(s) at which the carrier participates shall be displayed. This shall not be limited to U.S. Customs programs, but shall include any programs sponsored by Participating Government Agencies (PGAs).
4. The Carrier Account shall allow the carrier to indicate which parties are permitted to obligate the carriers' bond. The Account will also include the bond type since a carrier may have more than one bond type, i.e., International Carrier, Custodial, CFS, etc. Any party obligating a carrier's bond (on any transaction) shall be validated against the carrier account for existing permission. The validation shall also include the type of bond the party is permitted to use.
5. The Carrier requires the capability to view a history of all instances where a third party obligates his bond.

6. The Carrier requires the capability to view a history of all transactions. This history shall contain the current status of the transaction. The carrier requires the capability to sort the data using a variety of keys including location of activity, but the primary key to the data shall be the bill of lading number/air waybill number. The history of transactions must also be available at a higher level (or roll up of the transactions) that can be accessed at the 'trip' level by indicating the conveyance, voyage number, flight number, or any other number used to identify the 'trip'. When rolled up to the trip level, the carrier requires the capability to sort the data by 'status' of the trip (for example: all bills of lading or air waybills that are in 'open' status.) This history shall also include other relevant data as applicable, such as entry number, entry type, in-transit number, in-transit status, general order number, general order status, etc. All historical data shall be available for as long as the data may be audited by a participating government agency.
7. The Carrier requires the capability to receive Administrative Messages. The Carrier shall have the flexibility to receive ALL Administrative Messages, only messages specifically designated for Carriers, or to decline to receive any messages except those designated as 'URGENT' by the issuing government agency.
8. The Carrier requires access to ALL Reference Data and the Reference Data shall include all statutes, regulations, rulings and directives pertaining to Carriers. The Reference Data shall not be restricted to that pertaining to U.S. Customs, but should include statutes, regulations, rulings, and directives pertaining to Carriers that are issued by PGAs.
9. The Carrier requires access to the 'Sanction List' and 'Denied Party List' in the same manner as access to the Reference Data.
10. The Carrier requires the capability to access all penalties/liquidated damages issued to the specific carrier. The information shall include a description of the penalty/liquidated damage, date issued, status, and disposition if closed including the amount paid, if applicable.
11. The Carrier requires the capability to send petitions (including supplemental petitions) relative to penalties/liquidated damages electronically.
12. The Carrier requires the capability to receive all notices issued relative to penalty/liquidated damages, including decisions on petitions/mitigations, electronically. Through the Carrier Account, the carrier may designate a specific point of contact to which these notices shall be addressed.
13. The Carrier requires that all notices of seizure/detention be transmitted to the carrier electronically. Through the Carrier Account, the carrier may designate a specific point of contact to which these notices shall be addressed.
14. The Carrier requires the capability to order overtime electronically from all Participating Government Agencies (PGAs.) The carriers' request shall include the date, time, and location for the overtime and the government agency requested. The Carrier requires

confirmation from the specified government agency, which includes the date, time and location of the overtime to be performed.

15. The Carrier requires the capability to download all data related to their Account including history of manifest transactions, penalty/liquidated damages, bond obligations, compliance data, statistical data, etc.
16. The Carrier shall have access to their compliance rates and any 'report card' type information recorded about the carrier. This may include transmission rejects and the reasons for those rejects. This will allow the carriers to monitor their compliance in this area.
17. The Carriers require that all monies owed for penalty/liquidated damages cases may be presented on a periodic statement. The carriers could then make payment for ALL or PART of this statement with one check or utilizing an electronic payment capability such as ACH. (This requirement will be optional, based on the Carrier's indication to elect this form of payment.)
18. The Truck Carriers require that the \$5 user fee be tracked by truck crossing and billed to the carrier on a periodic basis. Refer to Revenue Requirement REV-011 dated 5/15/02.
19. The Carrier Account may include a listing of pre-registered crewmembers with their pertinent information such as date of birth, citizenship, etc. so that full crewmember information would not be required with each manifest (trip) transaction. This shall include the capability to update/add/delete all data relating to pre-registered crewmembers. (For the purposes of this requirement, Crewmember includes conveyance operator for all modes.)
20. The Carrier Account may include a listing of all pre-registered conveyances with their pertinent information such as VIN, License Tag number, Lloyds Code, Tail Number, etc. so that full conveyance information would not be required with each manifest (trip) transaction.
21. The Carrier Account may include any existing certificates and/or licenses issued to that carrier by any Participating Government Agency (PGA). The Carrier Account shall include an indication that a particular certificate and/or license is national in scope or, if port specific, the port at which the certificate and/or license is valid.
22. The Carrier requires the capability to act as the 'Account Administrator' to its' account. The Account Owner must be able to designate specific functions to specific users of their account, and to add and delete functions as the Account Owner deems necessary. All Account access information should be available to the Account Owner including the tools necessary to administer access to the Account data. (For example: Account Owner may want to designate only one individual to electronically order overtime – see requirement #14)