

Federal International Trade Pilot Architecture

September 28, 2001



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Sponsored by the
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Introduction

The Federal International Trade Pilot Architecture was developed as part of a pilot effort to test the effectiveness of using the mandatory *DoD Architecture Framework*¹ products to document Federal Segment architectures. The pilot focuses on the federal activities which support international trade. The project intent was to lay groundwork for the architecture of the International Trade Federal Segment if and when such a segment is approved while fulfilling the primary objective of piloting the use of DoD architecture products with the Federal Enterprise Architecture Framework (FEAF).

This architecture description contains the work products, accompanying explanatory text, and diagram creation guidance for the work products developed for the Federal International Trade Pilot Architecture. The pilot products were developed through 15 interviews with federal government and private industry subject matter experts and examination of reports, web sites, and other sources.

For each type of product, guidance on the purpose of the product and considerations when creating it are presented first. Following the guidance, for products that include diagrams, text explanations provide detail on the content of the diagram. The diagram itself is shown on the facing page. Where the text explanations are longer than one page, the diagram is repeated on the facing page.

The following products are presented in this document:

1. Overview and Summary Information
2. High-Level Operational Concept Description
3. Activity Model
4. Operational Node Connectivity Description
5. Operational Information Exchange Matrix
6. System Interface Description
7. Integrated Dictionary

No Technical Architecture Profile was developed for the International Trade Pilot Architecture.

¹ The Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) Architecture Framework Version 2.0 is being updated and renamed the DoD Architecture Framework Version 1.0. The remainder of this document uses the DoD rather than C4ISR terminology.

1.0 Overview and Summary Information

Federal International Trade Pilot Architecture

Product Guidance and Characteristics

The Overview and Summary Information product serves two purposes. In the initial phases of architecture development it serves as a planning guide. Upon completion of an architecture project this product provides summary textual information concerning “who, what, when, why, and how.” See the *DoD Architecture Framework Version 1.0 DRAFT* Volume II Product Descriptions for further information.

Identification

Name: Federal International Trade Pilot Architecture

Sponsor: Federal CIO Council

Model Development: The MITRE Corporation

Subject Matter Experts: Federal agency and private industry experts

Modeling Tool Expertise: Ptech (to be completed)

Development Dates: March 5, 2001 to September 28, 2001

Purpose of Pilot Architecture Development and Analysis

The Federal Architecture Pilot Project consists of the Federal Grants Pilot Architecture and the Federal International Trade Pilot Architecture. Both pilots are intended to support a decision concerning incorporation of the *DoD Architecture Framework* products into the Federal Enterprise Architecture Framework (FEAF) and the decision whether or not to designate Grants and/or International Trade as Federal Segments. These pilots support the CIO Council Strategic Plan FY 2000

- Objective 3.2: develop the Federal Architecture Segments, and
- Objective 3.3: provide architecture tools to support segments.

For the Federal International Trade Pilot, the products developed address the FEAF’s Planner’s and Owner’s views.

The Federal International Trade Pilot provides a basis to begin exploring questions about the establishment of a segment. It is expected to identify major participants, processes, and data used at a high level. It is not expected that the pilot architecture alone will fully answer all questions about the international trade segment.

Grants and International Trade were selected for the pilots because they were two potential segments that volunteered to be piloted, not because of any perceived commonality between them.

The analysis of the pilot architectures will be manual; no automated analysis is planned.

Scope of the Architecture

The Federal International Trade Pilot examines primarily the Planner's and Owner's View's for federal international trade responsibilities. The views are documented with all mandatory DoD products except the Technical Architecture Profile. The product set includes the following:

- Overview and Summary Information (this product)
- High-Level Operational Concept Description
- Activity Model
- Operational Node Connectivity Description
- Operational Information Exchange Matrix
- System Interface Description
- Integrated Dictionary

Context

Mission

Federal international trade responsibilities seek to expand safe, legal, open international trade. The federal government actively promotes U.S. exports, protects the health and safety of its citizens by preventing unsafe or illegal goods from being imported, prevents the export of selected military, nuclear, and other goods, protects intellectual property rights, and collects \$22.1 billion in revenue from imports. Through trade policy and trade agreements, the federal government increases U.S. competitiveness in world markets and supports its policy of promoting stable economies world-wide by extending trade benefits to developing countries. Federal activities to support this wide variety of activities span many agencies. All their activities collectively contribute to the mission of performing federal international trade responsibilities. The federal agencies perform their responsibilities over about 5 million transactions per month totaling \$1.441 trillion in imported goods and services and \$1.065 trillion in exported goods and services in 2000. International trade is an engine of growth for the U.S. economy.

Operational Concept

International trade involves a sales transaction and delivery of goods or services across U.S. borders. Federal responsibilities for international trade have six main thrusts: promoting trade; managing trade transactions; enforcing U.S. and international laws; analyzing data; developing trade policy, often leading to negotiating trade agreements; and maintaining the infrastructure needed to support international trade. Each of these thrusts has different activities, but the participants may overlap. One estimate indicated 104 federal agencies or organizations have some involvement in international trade. The main participants are the United States Department of Agriculture (USDA) including its Foreign Agricultural Service (FAS), the United States Department of Commerce including its International Trade Administration (ITA), Bureau of Export Administration (BXA), and Bureau of the Census (Census), the Small Business Administration (SBA) and its Office of International Trade (OIT), the International Trade Commission (ITC), the Export-Import Bank (EX-IM Bank), the Department of the Treasury's U.S. Customs Service (Customs), and the United States Trade Representative (USTR).

Promoting International Trade

To promote export trade, the FAS, ITA, OIT, State Department, and other agencies encourage U.S. businesses to export and provide foreign market assessment, marketing, financial, and other assistance to the exporter. The ITA Trade Information Center (TIC) provides general how-to information and directs a potential exporter to the correct federal programs for his situation. The jointly sponsored Export Assistance Centers (EACs) guide an exporter through the particulars of his business deal.

Managing a Transaction

To import or export some goods, a license or permit is required from the particular agency granting them for that item. Customs receives arrival information from carriers for many shipments. Customs requires documentation to determine the safety and legality of importing or exporting goods. Customs and other agencies may inspect the goods, vehicles, and carrier crew citizenship and licenses to ensure their safety or legality. Many U.S. agencies provide inspections and certifications required by foreign governments for exporters. Congress sets U.S. tariff rates and ITC publishes them in the U.S. Harmonized Tariff Schedule (HTS). Customs uses import documentation to determine inspection candidates and assess tariffs and fees and collect payments. Census requires import and export documentation to compute statistics.

Enforcement

In addition to the Customs and other agency border inspections, Customs and BXA inspect the processes of importers and exporters to ensure their compliance with trade regulations. Customs, BXA, and other enforcement agencies also conduct investigations into suspected illegal transactions and prosecute such cases through the courts.

Performing Analysis

The Census and the Commerce Department Bureau of Economic Analysis (BEA) compile monthly trade statistics that are widely distributed and analyzed. Importers/exporters and government agencies examine them to identify market opportunities and trade trends. ITA, USDA, ITC, and other agencies analyze them in part to draft trade policy.

Developing Policy and Negotiating Trade Agreements

Congress and the Executive Agencies set trade policy, getting advice through an extensive advisory committee system that allows input from private industry, state and local governments, and many government agencies. Many trade policy statements become the basis for trade agreement negotiations. The USTR is the lead on trade agreement negotiations; other agencies provide negotiations support. Several agencies participate in the monitoring and enforcement of trade agreements.

Managing the Trade Infrastructure

International trade requires an infrastructure of approved warehouses, transportation services, licensed brokers, freight forwarders, courts, and other elements. The responsibilities for these elements lie with Customs, DOT, ITA, and other agencies.

Assumptions

TBD

Constraints

Partial List of Regulations and Laws controlling International Trade

Export Administration Regulations (EAR)

Trade Act of 1974 - Addresses unfair foreign practices

Trade Expansion Act of 1962 – established mechanisms to assist with trade policy development

Uruguay Round Agreements Act of 1994

Fastner Quality Act (Export Enforcement)

Foreign Trade Statistics Regulations (15 CFR Part 30)

Kyoto Convention

North American Free Trade Agreement (NAFTA) Implementation Act P.L 103-182 Dec 8, 1993

Agricultural Trade Act of 1978 (Consolidated authorization of FAS)

Small Business Export Enhancement Act of 1980 – Directed SBA to aggressively advance interests of small business in international trade.

Findings

The products developed provide an initial look at federal responsibilities for international trade. The information for the products was developed in part through 15-1 to 2 hour interviews at 8 government agencies and with two private industry experts. Government web sites, annual reports, strategic plans, and other documents were also used for source material. (See the list of references.) The resulting models represent an integration of these different, and sometimes conflicting, viewpoints. The basic six activities defined in the model eventually became stable, but the enforcement area still has some unresolved issues. There are many kinds of enforcement including company procedural compliance, criminal investigation, smuggling, licensing violation, import anti-dumping and counter-veiling duty issues, and foreign trade agreement monitoring. How to separate and organize these many kinds of enforcement still needs some analysis and discussion with the subject matter experts.

The products for this initial effort have varying levels of depth and maturity as expected given the labor budget for the project. The Activity Model captures the high level activities and associated inputs, outputs, controls, and mechanisms (participants and automated

systems). The Information Exchange Matrix (IEM) captures the high level exchanges, but has no detail on the characteristics of the exchanges. It has not been carefully cross-checked with other products. The System Interface Description (SID) captures information from the source materials used, but requires considerably more depth from the agencies to complete. When automated cross-checking tools are employed with the products, some inconsistencies may be found.

The pilot found no major problems using the DoD Architecture Framework products with the FEAF. The entity/relationship model required for the FEAF Owner’s View Data Architecture is not captured in the mandatory products, but is captured in the DoD Logical Data Model product.

The pilot project identified major participants, high-level processes, and high-level data areas used across agencies. More detailed information on this and other findings are in the *Federal Pilot Architecture Project Analysis and Lessons Learned* document.

Tools and File Formats Used

The international trade pilot architecture will be captured in the Ptech Framework, but this was not complete at this writing.

Level of Effort and Cost of Building the Architecture Description

<u>Item</u>	<u>Staff Months</u>
Planning	3.0
Model Development	7.0
Tool Capture	TBD
Total	TBD

The International Trade Pilot Architecture used a total of 7.0 staff months over a period of seven months, including one month for document review. The 7.0 months included about 3.5 staff months from the primary analyst; 2.7 staff months from other analysts providing interview, modeling expertise, sounding board, and review support; and 0.8 staff months of management time. This included time to develop the products using Microsoft Office tools, but not the time to prepare the associated analysis document and the Ptech tool capture. The project benefited from the previous experience with the Grants Pilot where many product issues had already been addressed.

Prior to initiation of the grants and international trade pilots, three staff months of management education and planning time was spent to educate the community on the value of an enterprise architecture, the value of a framework, and the value of having product descriptions in the framework, and to plan the pilots and establish tool selection criteria.

Lessons Learned in Building the Architecture Description

The lessons learned are covered in a separate document titled *Federal Pilot Architecture Project Analysis and Lessons Learned*.

2.0 High-Level Operational Concept Description

Product Guidance and Characteristics

The High-Level Operational Concept Description provides a graphical representation of operations in terms of such things as mission, functions, participants, organizations, and/or geographic locations of elements. It can be used in presentations to high-level decision makers and can help orient and focus detailed discussions. Any topics that should be addressed in discussions should be included in the facing page text. See the *DoD Architecture Framework Version 1.0* for further information.

Product Discussion

International trade involves a sales transaction and delivery of goods or services across U.S. borders. For this architecture, we examine commercial transactions - those import transactions with a value greater than \$2,000 and export transactions with a value greater than \$2,500. For ease of explanation showing the parties involved in the diagram below, the operational concept flow for trade promotion and transactions is discussed around the importer/exporter/broker. The government agencies involved in the operational flow for analysis, policy development, and trade agreement negotiation overlap with those involved in trade promotion and transactions, so that flow is shown to the right, adjacent to the trade promotion and transaction management flow. The flow of goods is shown in the diagram, but not discussed separately.

Promoting International Trade (See the magenta area in the center of the High-Level Operational Concept Description diagram on page 13)

To help the exporter with advice and marketing support, the ITA TIC, a call-in, internet, e-mail, fax, or walk-in advisory service, provides basic export information, helps the exporter locate federal programs or other information for his or her particular situation, counsels on foreign business practices, and offers other services. The USDA FAS, ITA, and State Department maintain overseas personnel who provide onsite assessments of foreign markets and business situations through country or regional reports. They also sponsor trade shows and trade missions to help the exporter find opportunities and contacts. The USDA FAS promotes trade for agricultural products. The ITA promotes trade for industrial products. The SBA OIT provides marketing and contact support for the small business exporter. There are also many government web sites with trade information and marketing leads.

Managing the Transaction

Export (Work counterclockwise around the Importer/Exporter/Broker icon in the aqua area of the diagram for most items. The import and export items are mixed together on the diagram on page 13)

When an exporter is ready to transact a sale and deliver goods or services, the Export Assistance Centers (EACs), jointly supported by USDA, ITA, SBA, and Ex-Im Bank, can help the exporter through the transaction. Federal agencies could be involved in many aspects of the transaction. ITA, USDA FAS, SBA OIT, or the U.S. Agency for International Development (USAID) may help with leads and contacts. The exporter may need to obtain an export license from the State Department's ODTC for military items or the BXA for dual use (items which can be for military or non military use) or other items. The deal must not involve Denied Persons specified on a list published by BXA or embargoed countries. The exporter can obtain foreign tariff rates and regulations through the TIC. He or she can obtain grants for feasibility studies through the Trade Development Agency (TDA). He or she may obtain loan guarantees, loan insurance, or loans from the Ex Im Bank for industrial products, FAS for agricultural products, ITA, or SBA for small businesses. The exporter may require assistance from ITA in overcoming a market access problem where a foreign regulation or standard prevents him from selling his goods in the foreign country. The ITA might advocate for the U.S. company to ensure fairness when negotiating the deal. The exporter must file a Shipper's Export Declaration (SED) which describes the goods, their destination, and an estimate of their value through Customs. Carriers notify Customs of the receipt of goods for export and provide a manifest detailing what is contained in the shipment. Customs may inspect goods being exported if, applying 'selectivity' rules, a shipment is identified as a high risk candidate for carrying illegal goods. Customs may also verify the export license for the goods if one is required. Census uses the SED to collect statistics on the transaction.

Import (Repeat the counterclockwise view in the aqua area around the Importer/Exporter/Broker icon on page 13)

An importer can hire and work through a broker who is licensed by Customs to act on his behalf to meet government requirements for the transaction. Imported goods must meet U.S. standards for safety, efficiency, etc. The importer/broker must obtain a license or permit for some imports. The agency granting the license, permit, or certification varies with the good being imported. For example, the USDA grants permits to import most agricultural products, the U.S. Fish and Wildlife Service issues certificates to import endangered species, and the Bureau of Alcohol, Tobacco, and Firearms (ATF) handles permits to import firearms. The importer/broker can obtain the tariff rate for his goods from the U.S. Harmonized Tariff Schedule (HTS) available on the ITC web site or from other sources. Tariff rates are a factor in the profitability of the deal. The importer/broker must file a bond guaranteeing payment of tariffs and entry documentation describing the shipment, buyer, seller, and point of origin with Customs. The importer/broker also files entry documentation with Customs. This documentation describes the goods, buyer, and seller, and provides other information. It is used by Customs to verify licenses and permits where possible, examine quota limits, and, through 'selectivity' rules, determine target inspection candidates for unsafe or illegal goods. Carriers notify Customs of the goods arrival. When the carrier presents the goods at the border, Customs, USDA, or the EPA may inspect the goods. INS may check the citizenship of the crew. DOT may check the safety of the vehicle and licenses of the vehicle operators. Goods that are illegal or hazardous may be seized or destroyed. If the necessary documentation has not been filed or an inspector is not available, the goods may enter a Customs-approved bonded warehouse. Goods intended for manufacture or other use, but not entry into the U.S. economy may be placed in a Foreign

Trade Zone (FTZ). Customs issues release notices when they approve goods for entry. The importer or broker must also file entry summary documentation that describes the goods, their tariff classification, valuation, and estimated tariffs and fees due and make payment within 10 days of entry into the U.S. Customs processes the entry summaries and payments to liquidate the transaction. Census compiles import statistics from the entry summary information.

Analysis, Policy Development, and Trade Agreement Negotiation (See the yellow area of diagram on page 13)

Compiling Statistics

The Census cleans and processes the entry summaries and SEDs to develop import and export statistics for goods. The Bureau of Economic Analysis (BEA) in the Commerce Department develops similar statistics for services using models rather than entry summaries or SEDs. The goods and services import and export statistics are released monthly about 6 weeks after the close of the data collection for the month. These statistics are available on CDs and are a major source of data for economic and policy analysis.

Trade Data Analysis

Analysis of trade data supports trade policy development, trade promotion, and enforcement activities. The USDA Economic Research Service (ERS) analyzes trade statistics for agricultural products. Similarly, the ITA Office of Trade and Economic Analysis (OTEA) analyzes trade statistics for industrial products. The USDA and ITA analysis, along with analysis by the U. S. International Trade Commission (USITC), an independent agency presenting an independent viewpoint, support the USTR, the White House, and Congress.

Trade Policy

Trade policy is set by Congress and the White House. The USTR is the lead on trade policy development, coordinating issues across agencies. The Trade Policy Staff Committee (TPSC) has members from many government agencies and does much of the staff work of policy preparation through FAS, ITA, and other agencies. FAS, building on analysis by USDA's ERS, drafts agricultural policy recommendations. ITA, supported by analysis from its Office of Trade and Economic Analysis (OTEA) and recommendations from its Industry Sector Advisory Committees (ISACs) and Industry Functional Advisory Committees (IFACs) drafts policy on manufactured items. The Trade Policy Review Group (TPRG) reviews policy. Some issues are escalated to the National Economic Council (NEC) Deputies Committee. Development of trade policy is a highly iterative process requiring coordination through many interested parties.

Trade Agreement Negotiation

Many trade policies become the basis for trade agreement negotiation. The USTR is the lead on U.S. trade negotiations and is appointed by the President. Some negotiations are delegated to agencies for areas involving that agency's specific domain, such as USDA's agricultural or ITA's manufactured goods expertise. Final agreements must be approved by Congress. Following policy

direction, the USTR seeks open trade with other countries. To foster stable economies in developing nations, the U.S. may offer unilateral tariff reductions to those countries. The ITC, FAS, and ITA, among others, support the USTR in trade agreement negotiations.

Enforcement (Process detail not shown in diagram)

International trade processes must satisfy many trade agreement, legal, and regulatory requirements. Enforcement activities are aimed at enforcing trade agreements, export restrictions, embargos, national security and foreign policy requirements, criminal interventions and prosecutions, and voluntary compliance by importers and exporters.

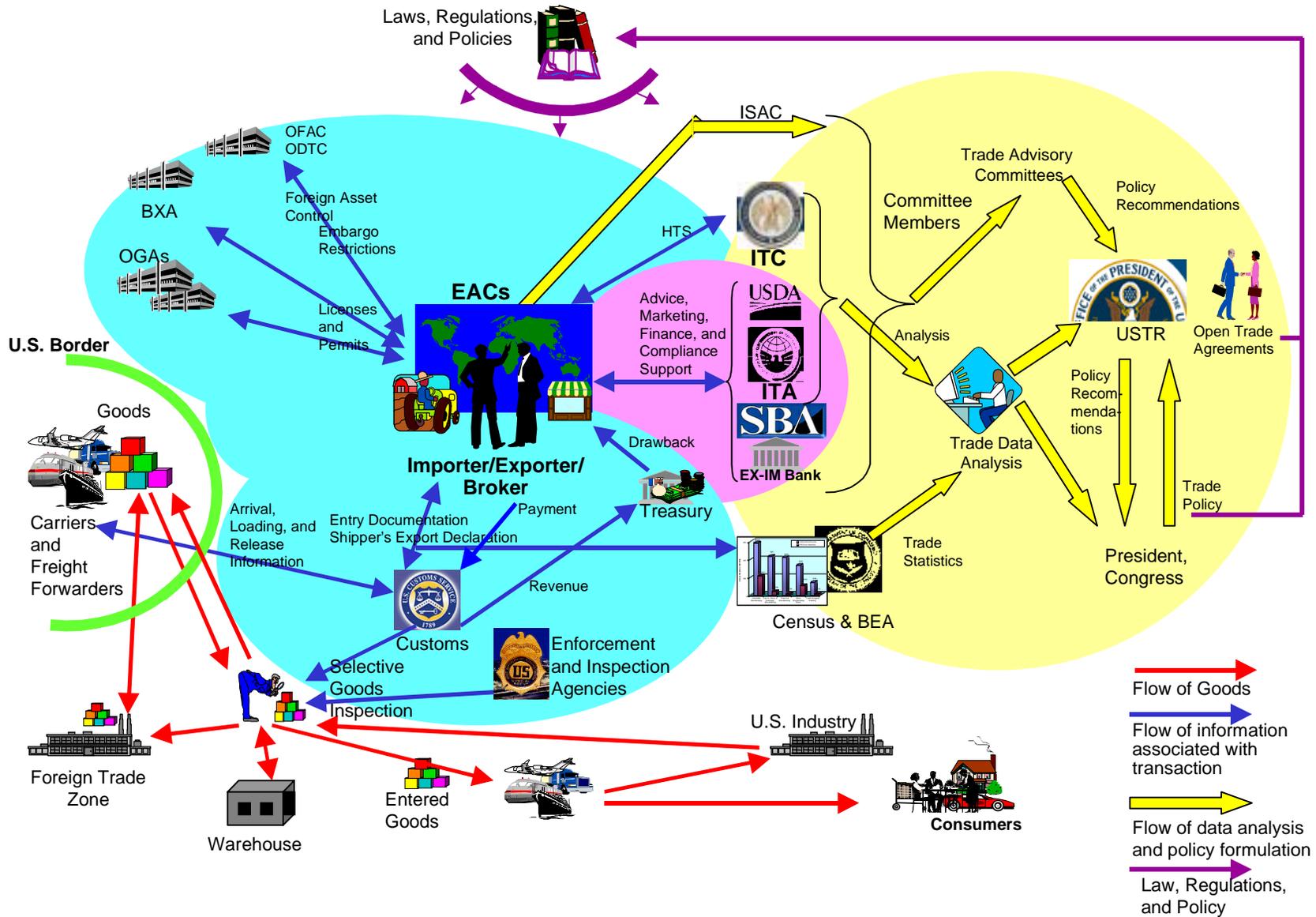
Recognizing the resource limitations on inspections at the border, procedural compliance violations without criminal intent are addressed in part through efforts to increase 'informed compliance.' Informed compliance means that a company's compliance with laws and regulations is increased by the government informing companies about the requirements they must meet and inspecting company processes for compliance with those laws and regulations. Customs and BXA perform informed compliance inspections.

Intentional trade law violation through criminal activity is investigated through offices of Customs, BXA, the Coast Guard, and the Drug Enforcement Agency (DEA), among others.

Trade agreement enforcement may include monitoring dumping activities and countervailing duty. Violations by foreign countries could be detected by government monitoring, or more likely by reports from U.S. companies affected by the actions. When such activity is detected, representatives from the USTR, USDA, ITA, or other appropriate officials may discuss the matter with foreign government trade ministers to resolve the problem, or may need to escalate the matter through the World Trade Organization (WTO), North American Free Trade Agreement (NAFTA), or other complaint process.

Infrastructure (Process detail not shown in diagram)

International trade requires an infrastructure of approved warehouses, transportation services, licensed brokers, freight forwarders, courts, and other elements. The responsibilities for these elements lie with Customs, DOT, ITA, and other agencies.



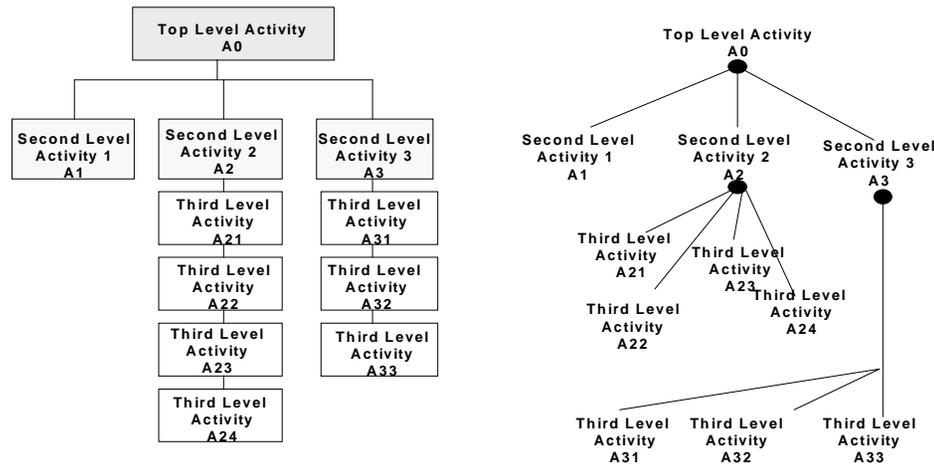
International Trade High-level Operational Concept Description

3.0 Activity Model

Product Guidance and Characteristics

To depict activities in the Federal International Trade Pilot Architecture, the Integrated Definition (IDEF0) language has been used, but it is not required by the DoD Architecture Framework. The activity model consists of several types of diagrams, including an activity hierarchy diagram, a context diagram, and decomposition diagrams. The following is a brief guide to reading IDEF0 diagrams.

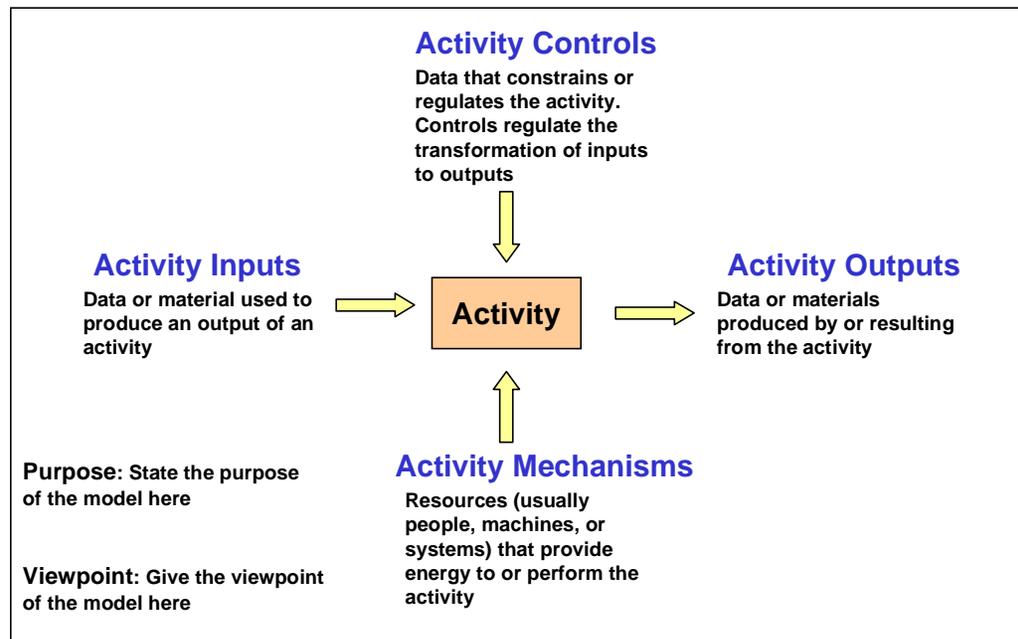
Activity Hierarchy Diagram - This diagram is sometimes called a Node Tree Diagram. It shows the hierarchical relationships among activities. The top box contains the overall activity of interest and is labeled A0. This overall activity is decomposed into sub activities labeled A1, A2, A3, etc. These activities can be further decomposed if appropriate. The diagram is usually presented in one of two forms. One uses a columnar arrangement of the activities. The other has a more tree-like appearance. The choice of which style to use is the modeler's and will depend on the number of boxes – breadth and depth of the hierarchy - to be presented and the customary practice of the modeling group.



Two Styles of the Activity Hierarchy Diagram

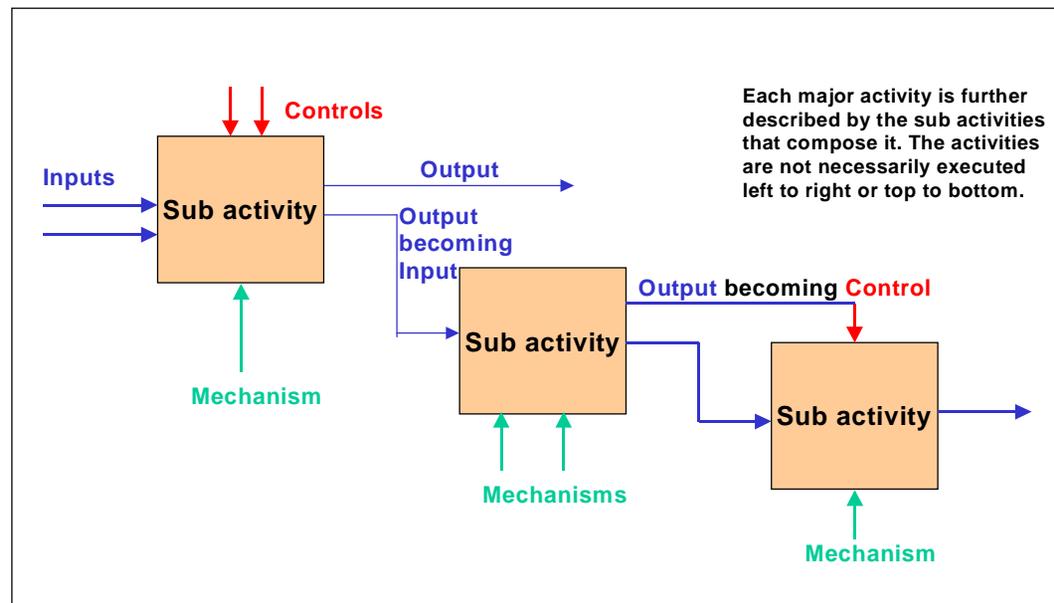
2/14/2001

Context Diagram – This diagram establishes the bounds for the model and depicts the major Inputs, Controls, Outputs, and Mechanisms (ICOMS) used to perform the activity. The diagram consists of a single box and its related ICOMS. It sets the general context and scope of what is being modeled and displays the purpose and viewpoint of the model. This diagram is labeled A-0 (A minus 0).



Context Diagram

Decomposition Diagram – This diagram describes the components of an activity and their relationships to one another. The diagrams also show the flow of ICOMs among activities. A decomposition diagram shows only one level of decomposition below its parent on each page. The first decomposition diagram of a model is labeled A0. The subsequent second level decomposition diagrams are labeled with the number of the box within A0 that they refine, e.g., A1 or A3. Third level decomposition labels could be, for example, A11 for a box that refines A1 or A32 for a box that refines A3. There is no significance to the size of boxes. Some are larger to accommodate spacing ICOMs neatly. By tradition the boxes are arranged upper left to lower right within a page. The order of boxes on the page does not imply a sequence of operation. Paired parentheses () around an ICOM indicate it is not shown in the next higher level diagram.



Decomposition Diagram

Facing Page Text – While each diagram should, by and large, stand on its own, the facing page text for the diagram provides a place to explain ambiguities or additional details not evident in the diagram.

The A-0 facing page text emphasizes the purpose and viewpoint of the model and the high-level ICOMs.

The A0 facing page text description emphasizes the interaction among the high-level activities performed. Lower level decomposition diagram facing page text emphasizes the interactions between the activities and how the activities support each other. The text can address input, output, control, or mechanism issues, who is involved in performing the activity, anomalies, what could change a process, who approves the outputs, or other aspects of interest.

3.1 Activity Hierarchy Diagram

Product Discussion

This diagram shows the activity hierarchy for federal responsibilities for international trade. The top box (A0) describes the overall activity of interest. This overall activity is decomposed into six sub activities (A1 through A6). These activities are further decomposed as shown in the diagram.

The activities are performed by federal agencies or organizations. The activities of importers, exporters, brokers, freight forwarders and other trade participants whom the agencies serve are outside the scope of the model except as suppliers and recipients of information or data. The White House and Congress, whom the agencies support, and foreign, state, or local governments, with whom the agencies interact, are also treated as outside the model.



FEDERAL INTERNATIONAL TRADE PILOT ARCHITECTURE ACTIVITY HIERARCHY CHART

15 Aug 2001

3.2 Perform Federal International Trade Responsibilities Context Diagram (A-0)

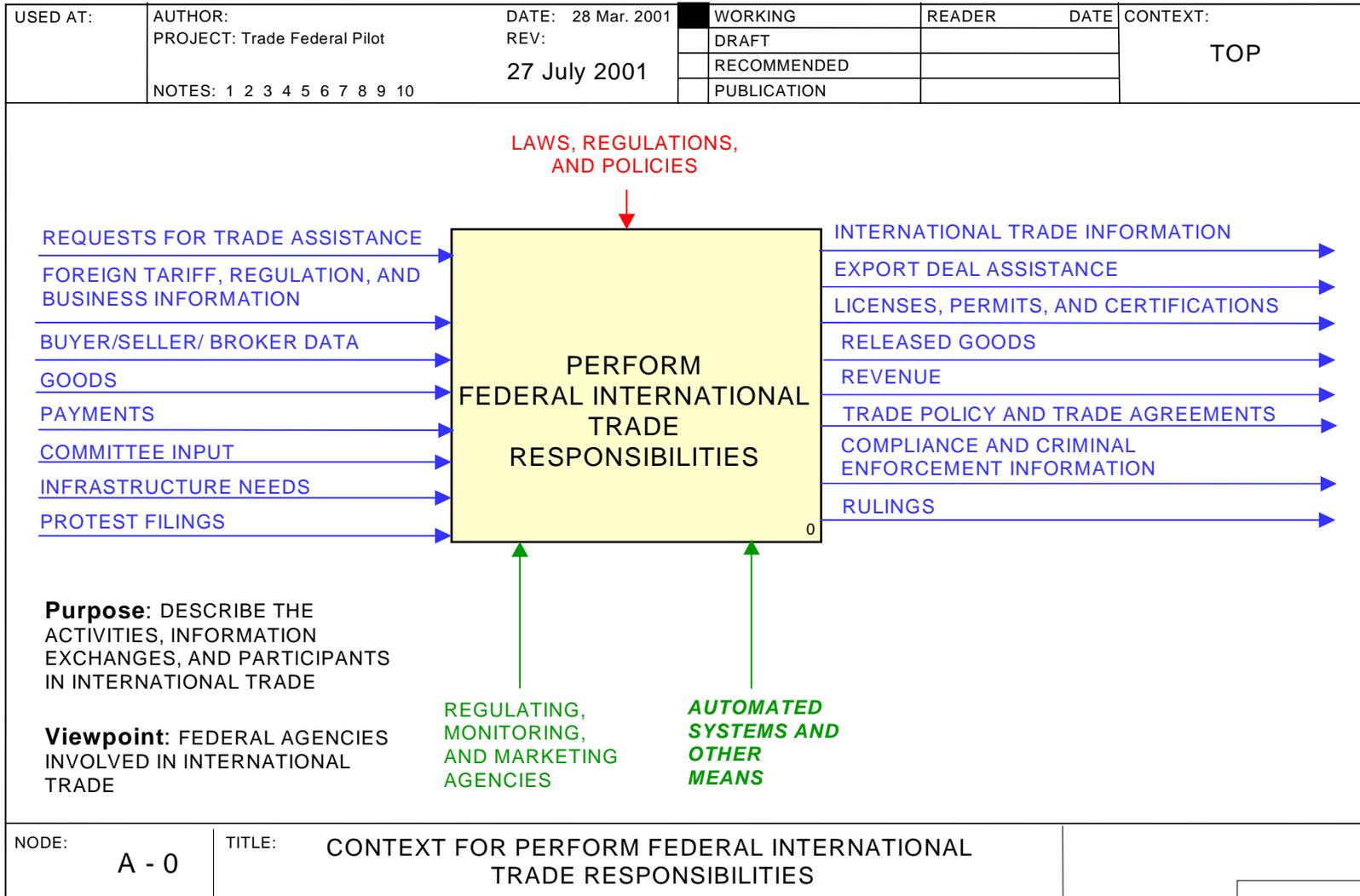
Product Discussion

The purpose of the Perform Federal International Trade Responsibilities Activity Model is to describe the activities, information exchanges, and federal government participants in international trade, and to provide a basis for the other work products in the Federal International Trade Pilot Architecture. The viewpoint taken in this model is that of the federal agencies involved in international trade. International trade includes the sale and subsequent transfer of goods and services across U.S. borders, but this model emphasizes goods during the transaction activities. The minimum value of the transactions is \$2,000 for imports and \$2,500 for exports.

Federal responsibilities include trade promotion, ensuring that imported goods are safe and legal thereby protecting the security of U.S. citizens, ensuring that exported goods are legal and do not violate U.S. national security, political, or non-proliferation concerns, collecting revenue on imported goods, enforcing laws and regulations concerning import and export, analyzing trade statistics to support economic decisions and marketing needs, developing trade policy, and negotiating foreign trade agreements. Federal agencies must also provide the infrastructure necessary to support these activities.

One estimate showed over 104 government organizations (agencies or offices) involved in international trade. The main agencies or offices are the Commerce Department's International Trade Administration (ITA), Bureau of Export Administration (BXA), and Foreign Trade Division (FTD) within Bureau of the Census, the United States Department of Agriculture (USDA) Foreign Agricultural Service (FAS), the Small Business Administration (SBA) Office of International Trade (OIT), the U.S. International Trade Commission (ITC), the Export-Import Bank (EX-IM Bank), the Treasury Department's U.S. Customs Service (Customs), and the U.S. Trade Representative (USTR). Several other agencies are involved in inspections and licensing. The government serves importers, exporters, brokers, carriers, and freight forwarders, to name a few, but the detail of their activities is outside the model except as sources and recipients of government information and services.

International trade is governed by several international as well as U.S. laws, U.S. regulations, and U.S. policy. To carry out federal responsibilities, agencies use automated systems and other mechanisms. The mechanisms are shown in green at the bottom of the following diagrams. The agencies are shown in normal arial font and appear entering on the left of the box. Automated systems are shown in arial bold *italics* font and are shown to the right. Other non automated system mechanisms are shown on the right, but not italicized.



3.3 Perform Federal International Trade Responsibilities (A0)

Product Discussion

The Perform Federal International Trade Responsibilities model presents the high-level activities necessary for the federal government to foster safe, legal, open trade. The presentation is from the viewpoint of the federal agencies involved in international trade. The model has six high level activities.

A1 Promote Export Trade

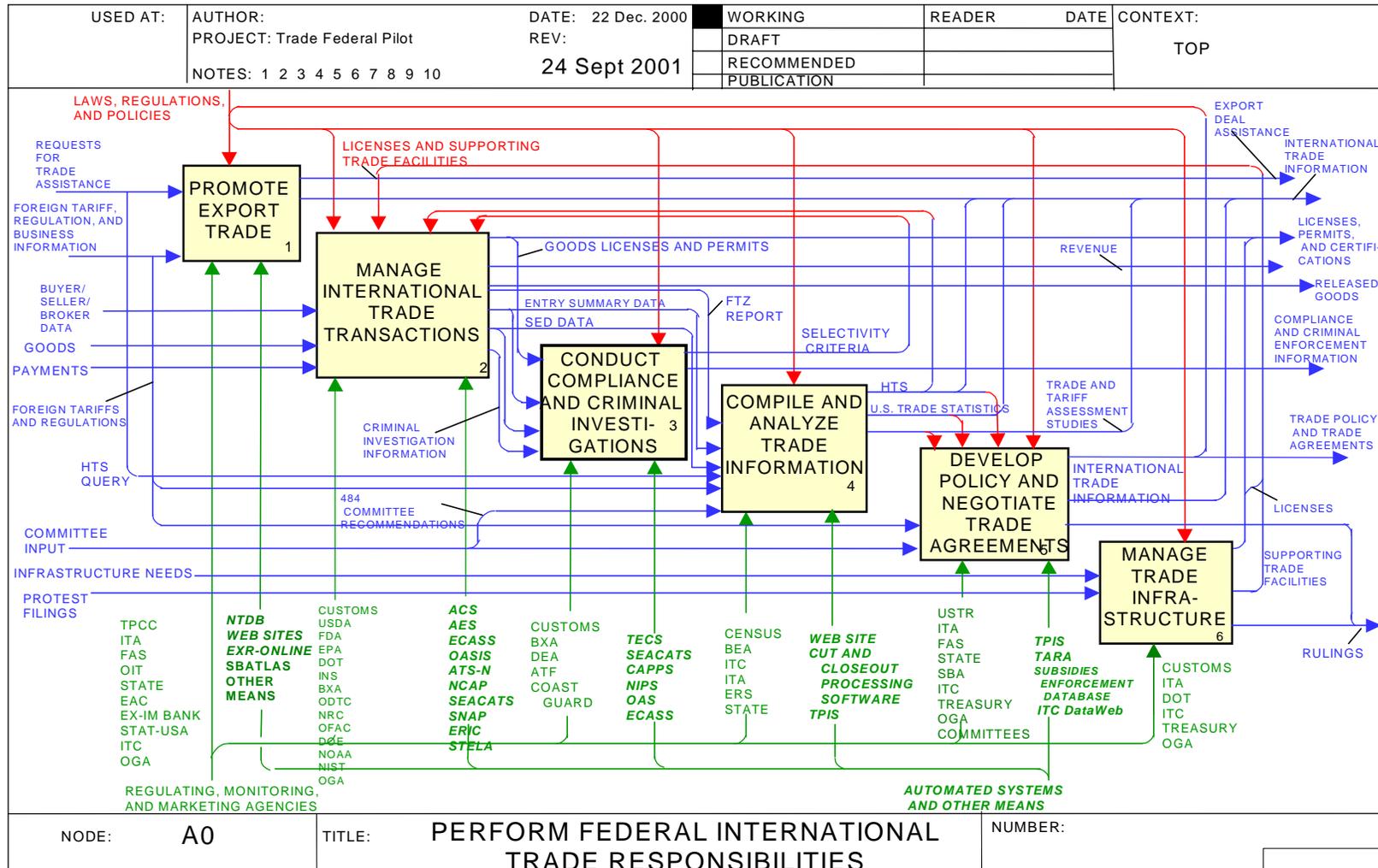
Trade promotion increases the export of U.S. goods and services. The ITA , FAS, State Department, and other agencies, all under the coordination of the Trade Promotion Coordinating Committee (TPCC), promote U.S. goods abroad and encourage U.S. companies to export. They provide basic information on the export process and government programs to increase exports. They report insights on foreign business environments to help exporters locate markets and can assist a business with its individual transaction through jointly sponsored Export Assistance Centers (EACs), including help with contacts, marketing, financing, and market access.

A2 Manage International Trade Transactions

Import and export transactions involve the trade of goods or services across borders. These transactions are regulated and subject to inspection by law to ensure that all imported goods are safe and legal and that all exported goods do not violate U.S. national security, foreign policy, non-proliferation, or other concerns. Much of the safeguarding is done through licensing, permit, and border inspection activities. Customs collects tariffs and fees on many imports. Import documentation is required to collect tariffs; import and export documentation is required to conduct screening to identify shipment inspection candidates, enforce laws, and to generate trade statistics.

A3 Conduct Compliance and Criminal Investigations

Customs inspects the import business procedures of companies to increase their compliance with U.S. laws and Customs regulations. This is called an ‘informed compliance’ approach because the importer is informed of his obligations. Similarly, BXA inspects the business procedures of exporters to ensure they meet export licensing requirements. Customs, the Drug Enforcement Agency (DEA), BXA, and other agencies undertake more aggressive enforcement investigations to combat smuggling and other illegal activities.



NODE: A0

TITLE: PERFORM FEDERAL INTERNATIONAL TRADE RESPONSIBILITIES

NUMBER:

Perform Federal International Trade Responsibilities (A0) (cont.)

A4 Compile and Analyze Trade Information

The ITC maintains the Harmonized Tariff Schedule (HTS) which specifies the tariff (duty and excise tax) rates for imports into the U.S. Census and BEA compile or derive monthly goods and services trade statistics. This information is combined with other data and analyzed by many agencies and private industry for trend analysis, economic impact studies, policy formulation, market research, and other purposes.

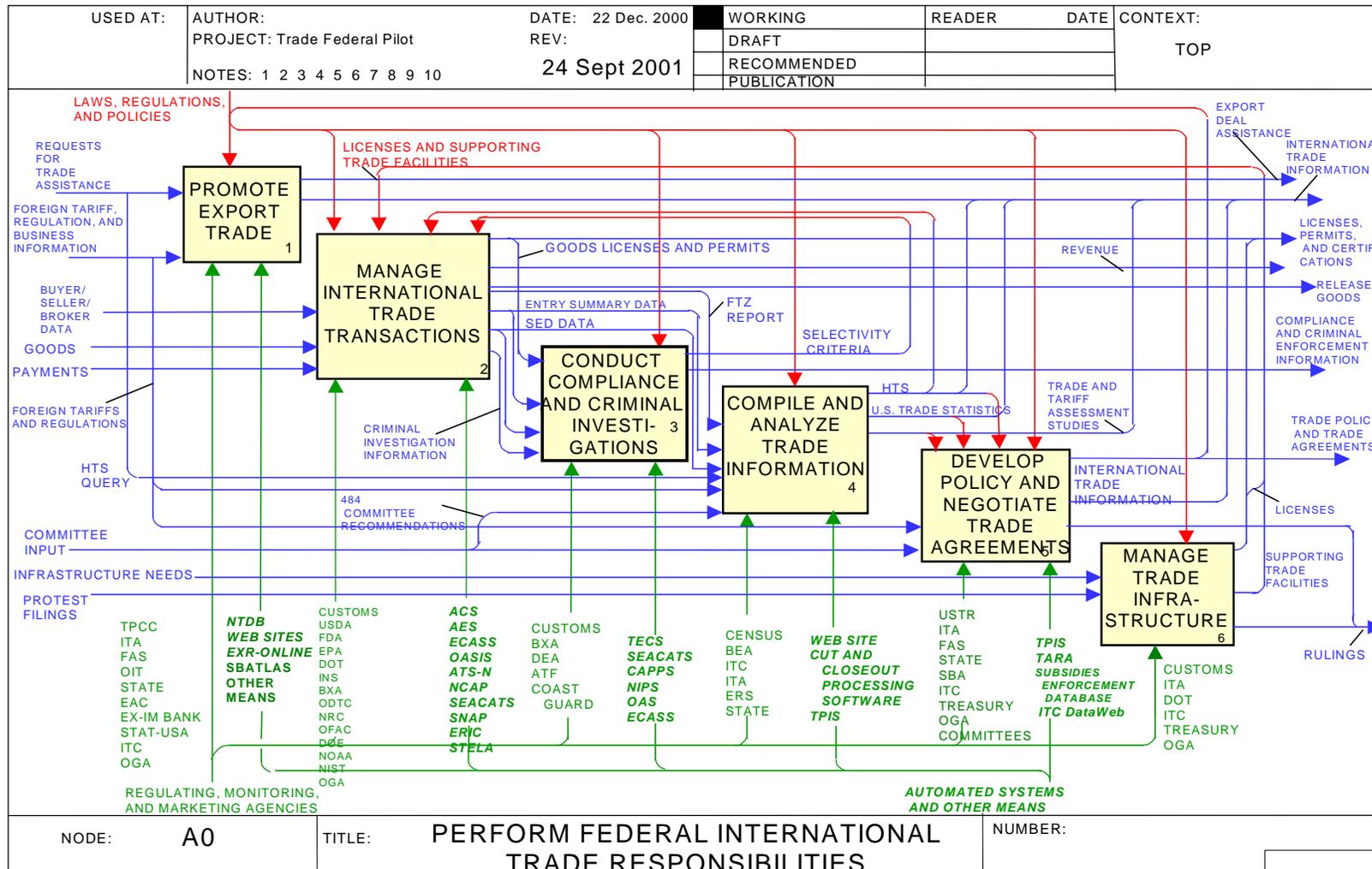
A5 Develop Policy and Negotiate Trade Agreements

Congress and the Executive Agencies establish trade policy. Policy formulation incorporates comments from private industry, state and local governments, and government agencies through an extensive advisory committee system. The USTR leads trade agreement negotiations and formulates positions assisted by ITA, FAS, ITC, and other agencies. Several agencies participate in trade agreement enforcement activities.

A6 Manage Trade Infrastructure

Importing or exporting goods and services requires a supporting infrastructure of brokers, transportation, warehouse, Foreign Trade Zone (FTZ), and other facilities and services to support the transaction.

When parties are grieved by government or other party trade-related actions, they can protest the actions to appropriate officials and courts.



3.4 Promote Export Trade (A1)

Product Discussion

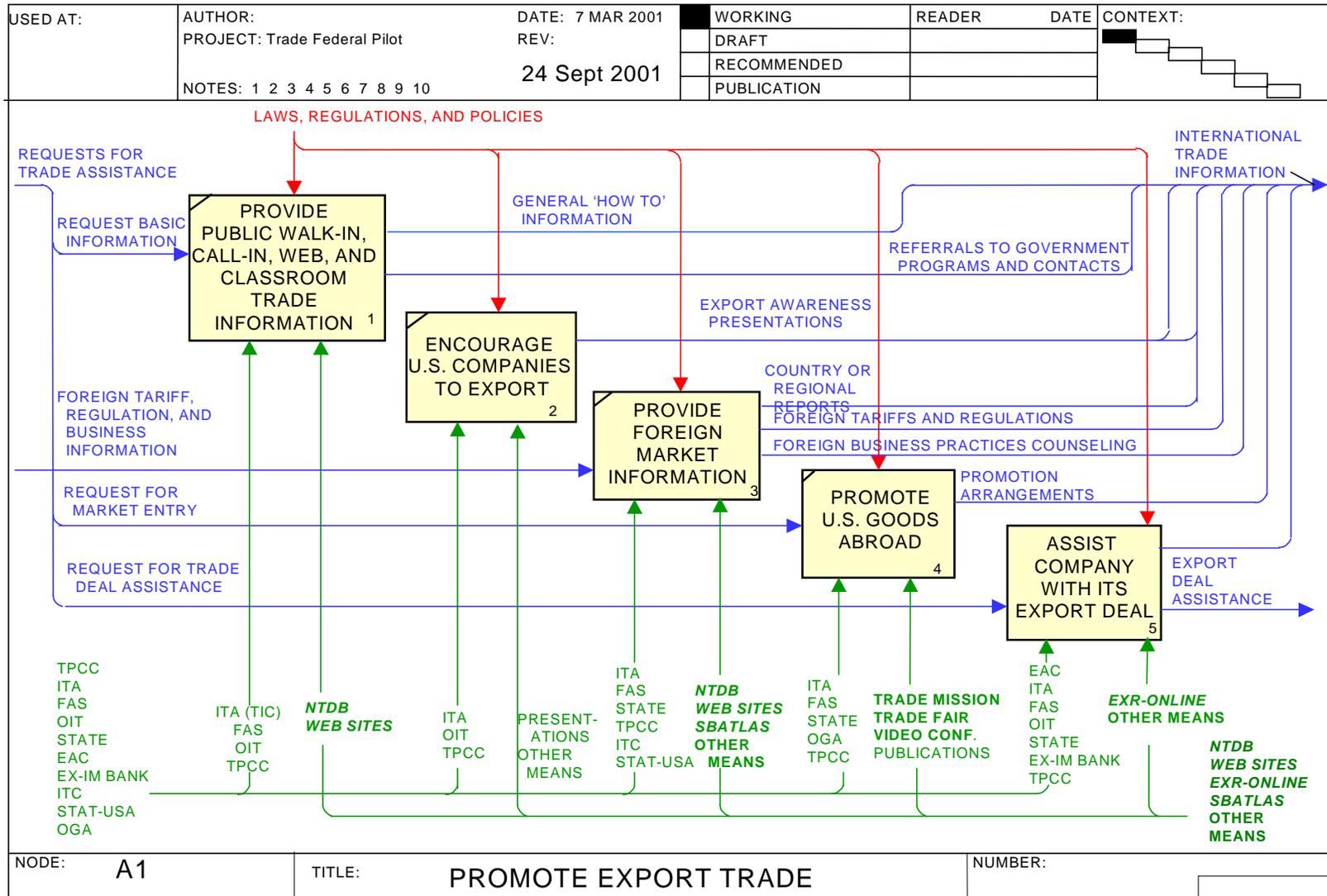
Trade promotion expands the export of U.S. goods and services. The Commerce Department International Trade Administration (ITA), U.S. Department of Agriculture (USDA) Foreign Agricultural Service (FAS), State Department, and other agencies, all under the coordination of the Trade Promotion Coordinating Committee (TPCC), promote U.S. goods abroad and encourage U.S. companies to export. They provide basic information on the export process and government programs to support exports. They report insights on foreign business environments to help exporters locate markets and can assist a business with its individual transaction through jointly sponsored Export Assistance Centers (EACs), including help with contacts, marketing, financing, and market access.

A11 Provide Public Walk-In, Call-In, Web, and Classroom Trade Information

The ITA Office of Trade Development operates the Trade Information Center (TIC) in the USA Trade Center in Washington, D.C. as the first stop for information for the exporter. TIC is a call-in and walk-in center that provides basic information on a wide range of topics and advises the exporter on which of 17 government agencies to contact for detailed assistance for his situation. Trade information can include foreign tariff rates, dates of trade shows or meetings, government programs available to the exporter, Customs regulations, etc. The TIC has 85,000 counseling contacts through calls, emails, and trade seminars, and over 700,000 hits on its web site per year. The ITA conducts regular seminars on exporting throughout the country. The Small Business Administration (SBA) Office of International Trade (OIT) provides call-in service to small businesses. The FAS Trade Assistance and Promotion Office (TAPO) is a first point of contact for agricultural products. There are several trade-related government web sites including USATRADE.gov (ITA Commercial Service), STATUSA.gov (Commerce Economics and Statistics Administration - includes NTDB), TRADENET.gov (Interagency including SBA, ITA, USAID, FAS, Census, and OGA), EXPORT.gov (ITA), and BUYUSA.gov (Commerce and IBM).

A12 Encourage U.S. Companies to Export

As part of government responsibilities to manage the economy, several agencies strive to increase the number of U.S. companies involved in export. ITA makes grants to organizations such as local Chambers of Commerce to promote trade awareness, educating U.S. companies on the benefits and process of exporting to increase business. The district offices conduct thousands of seminars and workshops in conjunction with other organizations including state and local agencies.



NODE: A1	TITLE: PROMOTE EXPORT TRADE	NUMBER:
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Promote Export Trade (A1) (cont.)**A13 Provide Foreign Market Information**

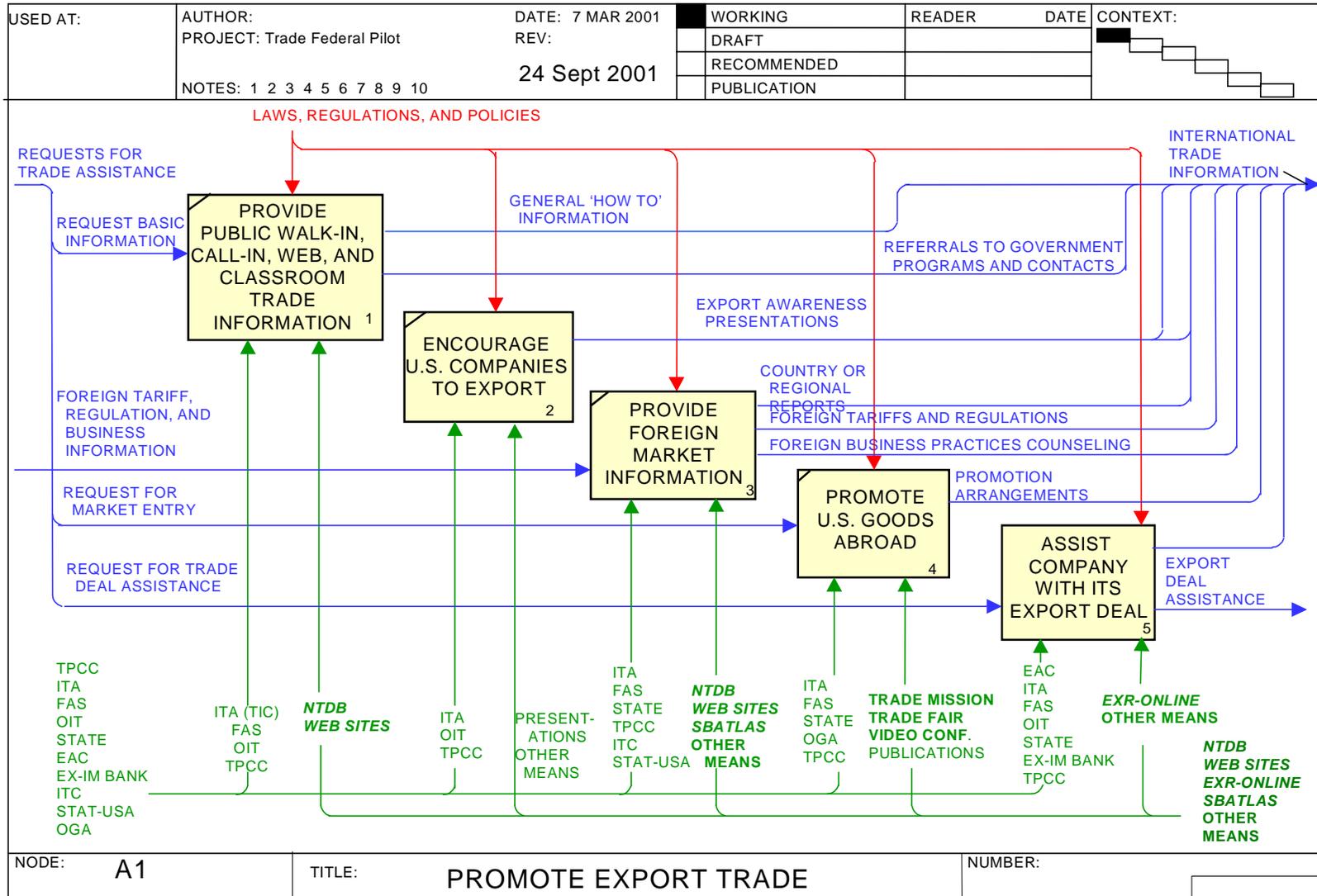
The FAS, State Department, and ITA's U.S. and Foreign Commercial Service (US&FCS) have personnel stationed abroad that observe country market conditions, industry activity, and individual companies first hand and report on the situation. This information is fed back to other offices, summarized or analyzed, and made available to the public as country or regional reports. Some reports are organized by sector as well as market. The ITA US&FAC produces Country Commercial Guides annually. The FAS TAPO provides Foreign Market Information Reports. The information is published through the TIC, NTDB, on web sites, and other sources, sometimes on a cost recovery basis. This information can help a potential exporter locate a market for his goods. The TIC also provides foreign tariff and regulatory information to call-in customers on request and counseling on foreign business practices. The TIC extracts the tariff and regulatory information from books, foreign web sites, and other sources. The ITC provides non-confidential U.S. export (and import) information by product, market, etc. on its DataWeb site without a fee. STAT-USA, part of the Economics and Statistics Administration of the Department of Commerce, maintains the National Trade Database (NTDB).

A14 Promote U.S. Goods Abroad

Once an exporter has determined the foreign market(s) she wishes to enter, she may take advantage of ITA, FAS, or other government agency (OGA) (e.g., HUD and DOE) sponsored trade shows and trade missions in foreign countries. The federal government also makes grants to state or private marketing efforts to promote U.S. goods abroad. The State Department, FAS, and ITA personnel stationed abroad promote U.S. goods.

A15 Assist Company with its Export Deal

Export Assistance Centers (EACs) are jointly sponsored by ITA's US&FCS, USDA, SBA, and EX-IM Bank. The EACs have 100 U.S. locations and 140 overseas locations where the public can obtain export assistance. The EAC works with an individual business to help them through an entire transaction. They help the business find leads, make contacts, locate appropriate loan guarantees, insurance, or even loans, and gain access to the many other government programs available to assist him.



3.5 Assist Company With Its Deal (A15)**Product Discussion**

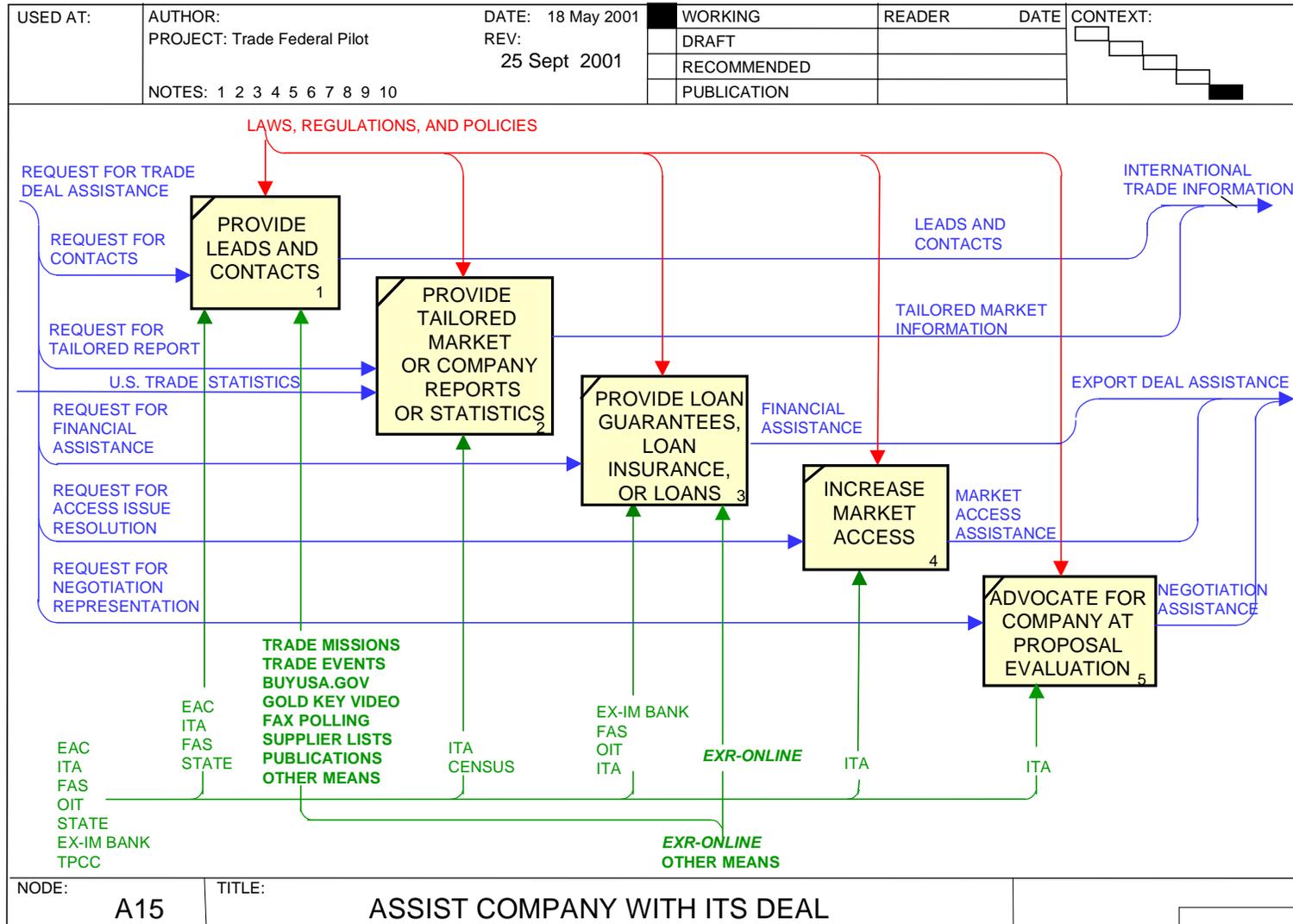
Export Assistance Centers (EACs) are jointly sponsored by ITA's US&FCS, USDA, SBA, and the EX-IM Bank. The EACs have 100 U.S. locations and 140 overseas locations where the public can obtain export assistance. The EAC works with an individual business to help them through an entire transaction. They help the business find leads, make contacts, locate appropriate loan guarantee, insurance, or even loans, and gain access to the many other government programs available to assist him.

A151 Provide Leads and Contacts

Government officials can direct the exporter to lists of contacts or set up appointments with prospective customers and foreign government officials as part of trade missions. They can also arrange gold key video conferencing with prospective customers. Contacts are available through a FAS Trade Leads Fax Polling System, internet home pages, the Commerce Department Electronic Bulletin Board, and other sources. The U.S. Agency for International Development (USAID) provides leads and procurement information through its Global Technology Network and AID Procurement Information Bulletin.

A152 Provide Tailored Market or Company Reports or Statistics

For a fee, the ITA US&FCS provides a U.S. business with specific requested information on a foreign market, company, potential buyer, or distributor when the information is not contained in the country guide available to the public. The Census, also for a fee, can provide selected statistical information such as the exports of a particular type to a particular country.



Assist Company With Its Deal (A15) (cont.)**A153 Provide Loan Guarantees, Loan Insurance, or Loans**

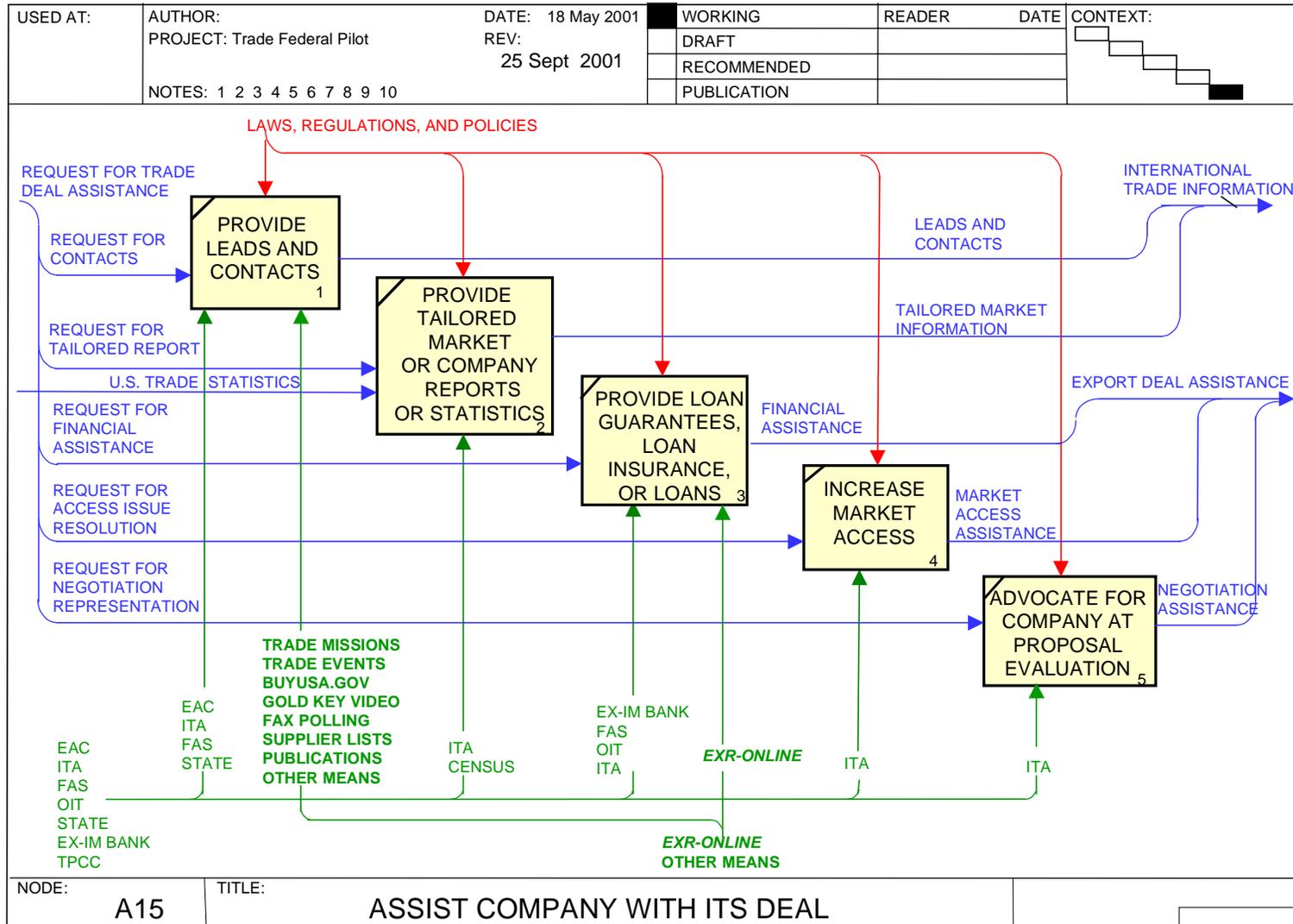
Several federal agencies including the Export-Import Bank, FAS, ITA, and SBA can assist the exporter and sometimes the importer with working capital and loan guarantees, in some cases loans, and export credit insurance to solidify the financials of a trade deal. The Ex-IM Bank provides working capital guarantees, export credit insurance, foreign buyer loan guarantees, and loans to foreign buyers. The SBA has its Export Working Capital Program (EWCP) which helps small businesses obtain working capital to complete export sales, and International Trade Loan Program which provides long and short term financing to small businesses involved in exporting as well as to businesses adversely affected by import competition (1999 source.) The SBA 504 Loan Program can provide long-term, fixed-asset financing to exporters through certified developers. In 1999, the SBA made 1,097 export related loans totaling \$390 million. The SBA OIT EXR-ONLINE tool can help assess the financial risk of a loan. REVIEWER - Verify ITA involvement in Loans

A154 Increase Market Access

If an exporter experiences problems with his deal because of what he sees as a non-tariff trade barrier, usually a regulation or standard issue denying the exporter access to the market with his product, he can approach the ITA Office of Market Access and Compliance (MAC) to work with the foreign country to address the barrier. ITA approaches foreign government officials or industry representatives to attempt to remove the barrier. These market access problems can also be presented to MAC by an industry segment or association instead of by an individual exporter.

A155 Advocate for Company at Proposal Evaluation

The ITA Advocacy Office can participate in trade negotiations where a U.S. company is competing against foreign countries in a foreign sale to ensure the U.S. company is treated fairly during the negotiations.



3.6 Manage International Trade Transactions (A2)

Product Discussion

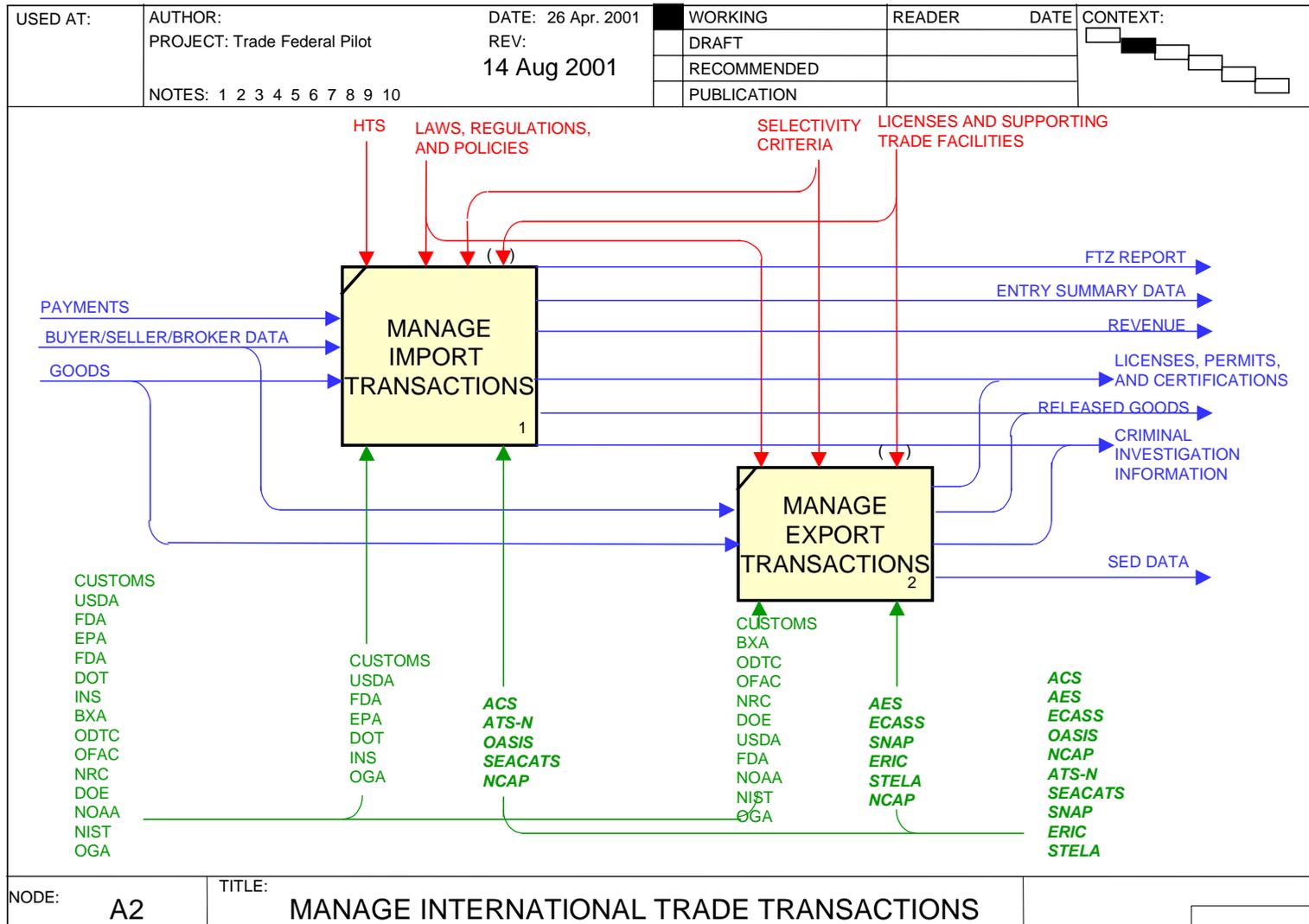
Import and export transactions involve the trade of goods or services across borders. These transactions are regulated and subject to inspection by law to ensure that all imported goods are safe and legal and that all exported goods do not violate U.S. national security, foreign policy, non-proliferation, or other concerns. Much of the safeguarding is done through licensing, permit, and border inspection activities. Customs collects tariffs and fees on many imports. Import documentation is required to collect tariffs; import and export documentation is required to conduct screening to identify shipment inspection candidates and to generate trade statistics.

A21 Manage Import Transactions

Federal responsibilities for import transactions include ensuring that goods brought into the U.S are safe, meet federal regulations and standards, and comply with U.S. quota requirements. Responsibilities also include collecting \$22.1 billion in tariffs on goods imported into the U.S. To ensure safety, goods may require permits, licenses, standards compliance certificates, and/or inspections. The commercial import transaction requires filing entry documentation used in part to identify target inspections candidates and an entry summary used in valuation and tariff assessment. In the past, an import transaction involved a single shipment on a single vehicle making a single border crossing. The supporting documentation and payment was handled per shipment. The concept of a transaction is gradually changing to include a sale shipped in several installments or all shipments to one particular importer to reduce the accounting and reporting burden. This concept leads to account-based payments rather than single transaction payments.

A22 Manage Export Transactions

No tariffs are levied by the U.S. on goods exported from the U.S. and no money is refunded as in a Value Added Tax (VAT). The Shipper's Export Declaration (SED), the export documentation which declares the value of goods being exported, was originally for statistical purposes, but now is being used to identify inspection candidates. It is simpler and processed differently than import entry documentation. Some exports, such as military or nuclear items, do require licenses. Some exports may be merely returned imported goods never used in the U.S. economy that entitle the exporter to refund of duties paid at import, called drawback.



3.7 Manage Import Transactions (A21)

Product Discussion

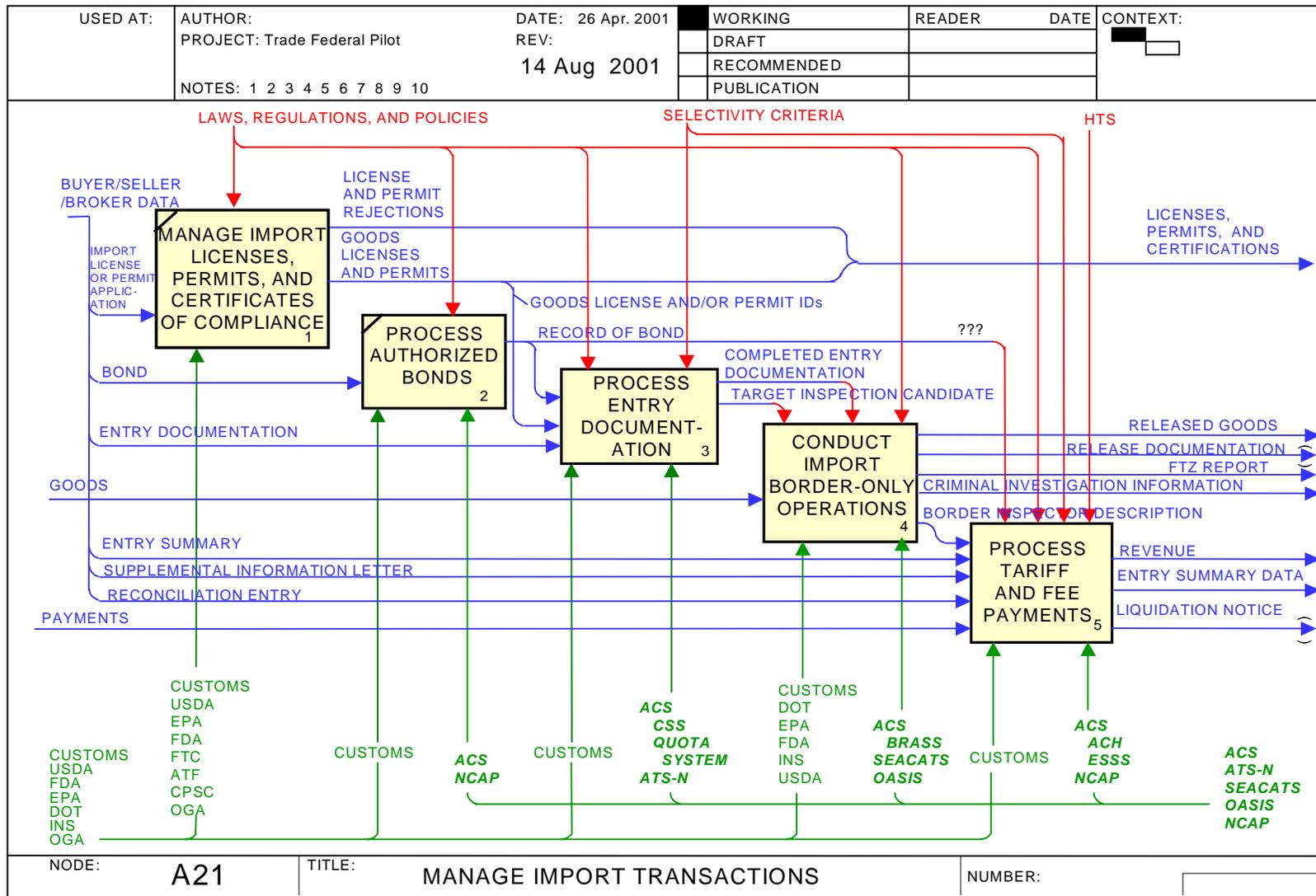
Federal responsibilities for import transactions include ensuring that goods brought into the U.S are safe, meet federal regulations and standards, and comply with U.S. quota requirements. Responsibilities also include collecting approximately \$22 billion in tariffs on goods imported into the U.S. To ensure safety, goods may require permits, licenses, standards compliance certificates, and/or inspections. The commercial entry requires filing entry documentation and an entry summary used in valuation and tariff assessment. In the past, an import transaction involved a single border crossing and supporting documentation handled individually for payment. The concept of a transaction is gradually changing to include a sale shipped in several installments or all shipments to one particular importer to reduce the accounting and reporting burden. This concept leads to account-based payments rather than single transaction payments.

A211 Manage Import Licenses, Permits, and Certificates of Compliance

Many government agencies are involved in the implementation and enforcement of standards and laws affecting goods imported into the U.S. Some products such as cheese or arms require licenses; others, like milk or some plant products, require permits; still others require onsite inspections, foreign certificates of inspections, safety or energy compliance certificates, or other approval documentation. The importer must assure Customs that these documents or approvals have been obtained when presenting the goods for entry and may be required to present them on demand. Licenses could apply to a specific transaction or be good for a period of time. There is no consistent process for Customs to verify licenses or quantities associated with licenses with the issuing agency. Some agencies fax license information to Customs.

A212 Process Authorized Bonds

Customs must have a bond on file for commercial import shipments to guarantee payment of tariffs and fees within 10 working days after the goods are released by Customs. The importer/broker secures the bond from a surety company and provides information about the bond to Customs. Bonds can be continuous bonds or single entry bonds. Continuous bonds are associated with a broker or importer and then applied to multiple shipments of that broker or importer and are continuously on file. Single entry bonds apply to a single shipment only and are normally filed with the entry documentation.



Manage Import Transactions (A21) (cont.)

A213 Process Entry Documentation

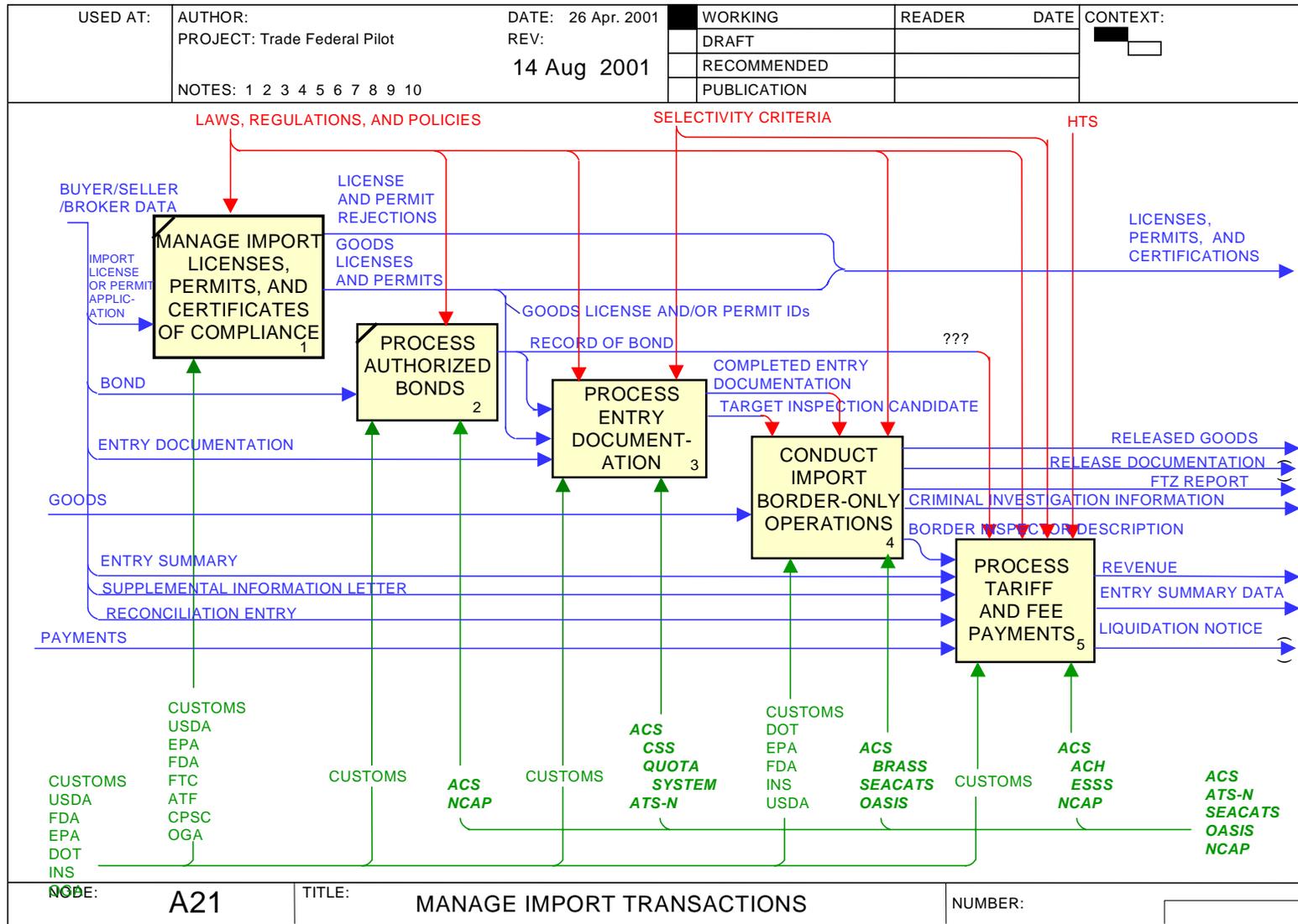
Entry of merchandise a two step process: 1. Filing documents, called entry documentation, that determine whether goods can be released from Customs custody, and 2. Filing a document called the entry summary that contains information for duty assessment and statistical purposes. Entry documentation normally must be filed within 5 working days of shipment arrival at the port of entry. (The time limit might vary for land, sea, or rail shipments.) Ninety-eight (98) percent of entry documentation is received through the Customs Automated Broker Interface (ABI) into the Automated Commercial System (ACS). Entry documents show the importer/buyer, seller, country of origin, that goods have the right to make entry, that proper licenses or permits have been obtained if necessary, that a bond guaranteeing payment of the tariff has been posted, and normally have an estimate of value. Some goods are subject to quota restrictions which must be reviewed. Based on the description of the goods and other information about the shipment and predetermined selectivity rules indicating shipments are at high risk for containing illegal or unsafe goods, target inspection candidates are identified. This information is available to the border inspector where the goods will enter the U.S.

A214 Conduct Import Border-Only Operations

Goods arriving at a U.S. border may go to a Foreign Trade Zone (FTZ) if they are not expected to enter the U.S. economy at that time or go to a warehouse before they can be inspected or have all the documentation on file. If a shipment has been identified as a high risk candidate, the shipment contains materials requiring agency examination, the vehicle looks unsafe, or at the border inspector's discretion, the shipment may be inspected when it arrives at the border. Customs performs inspections comparing goods against the manifest and for illegal or unsafe imports. USDA conducts meat and other food inspections. The Food and Drug Administration (FDA) may inspect food, drugs, or cosmetics. The Environmental Protection Agency (EPA) may inspect chemicals. Department of Transportation (DOT) representatives inspect the vehicles for safety and verify operator's licenses. INS or cross-designated Customs officials may process the crew. There are many notices of shipment arrival, inspection needs, and release that are not detailed in this model, but should be in a future version.

A215 Process Tariff and Fee Payments

If the imported goods are for consumption, importers must file an entry summary estimating the tariff and fees due and the tariff payment within 10 working days of the time the goods were released by Customs and entered the U.S. economy. These could be filed at the same time the entry documentation is filed. Importers can authorize Customs to collect tariff and fee payments electronically through the ACS Automated Clearing House (ACH) System where Customs removes the funds from the designated account. (This is not the same as an Electronic Funds Transfer where the importer would send the money to Customs.) The importer can also pay by cash or check. Customs reconciles the import transaction documentation with the payment and liquidates the transaction. The payments are eventually transferred into government accounts at the Federal Reserve Bank of New York. Importers can protest the tariff classification or valuation made by Customs if they disagree with the assessment.



3.8 Process Entry Documentation (A213)

Product Discussion

Entry of merchandise is a two step process: 1. Filing documents, called entry documentation, that determine whether goods can be released from Customs custody and 2. filing a document called the entry summary that contains information for duty assessment and statistical purposes. Entry documentation must be filed within 5 working days of shipment arrival at the port of entry. Ninety-eight (98) percent of entry documentation is received through the Customs Automated Broker Interface (ABI) into the Automated Commercial System (ACS). Entry documents show the importer/buyer, seller, country of origin, that goods have the right to make entry, that proper licenses or permits have been obtained if necessary, and that a bond guaranteeing payment of the tariff has been posted. Some goods are subject to quota restrictions which must be reviewed. Based on the description of the goods and other information about the shipment and predetermined selectivity rules indicating shipments are at high risk for containing illegal or unsafe goods, target inspection candidates are identified. This information is available to the border inspector where the goods will enter the U.S. If the imported goods are for consumption, the entry summary must be filed within 10 working days of the time the goods were released by Customs and entered the u.S. economy, but could be filed at the same time the entry documentation is filed.

A2131 Verify Bond Has Been Posted

If the entry documentation indicates the bond for the shipment is a continuous bond or has been previously filed, Customs examines a file of bonds on record to verify that the bond is indeed posted. Otherwise, the bond information included with the entry documentation is verified.

A2132 Examine Quota And Visa Restrictions And Documents

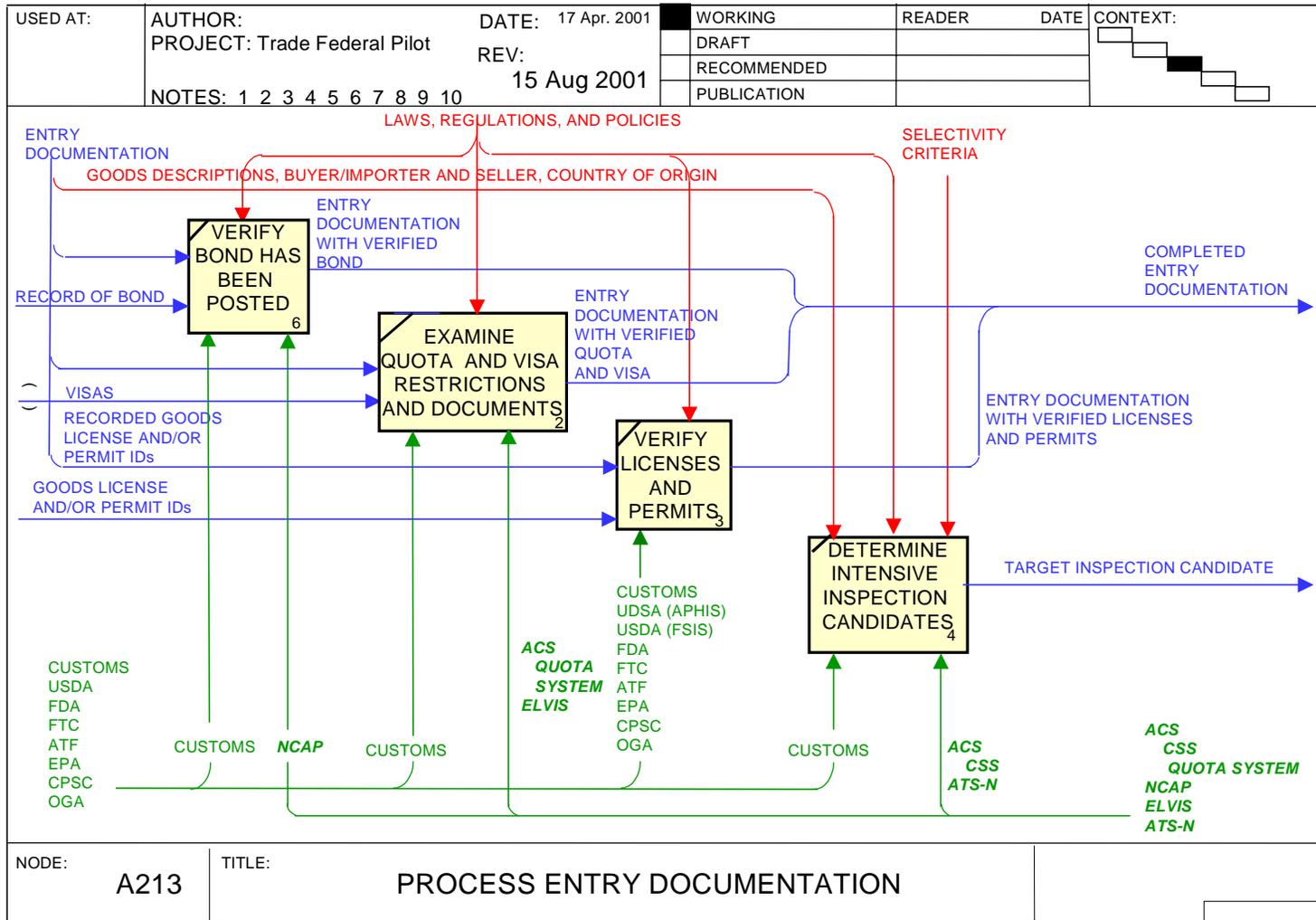
There are limits, or quotas, for some goods such as textiles on how much can be imported into the U.S. or how much may be imported from a particular country. Foreign governments may issue a visa to one of its exporters indicating that a particular shipment is within the quota limits for what that country can export to the U.S. The importer must present the visa to Customs before entry. Visas from Singapore are recorded in the Electronic Visa Information System (ELVIS). The ACS Quota System controls quota levels of imported goods.

A2133 Verify Licenses And Permits

The entry documentation contains the license or permit identification numbers when these are required for particular types of goods. Customs might verify the permits or licenses with the issuing agency, but no formal consistent or automated government wide mechanism exists to do this at this time. Some agencies fax license information to Customs.

A2134 Determine Intensive Inspection Candidates

Based on selectivity criteria developed by Customs, DEA, USDA, EPA, and other agencies, shipments that are more likely to contain illegal or unsafe items are identified based on the information in the entry documentation. The ACS Cargo Selectivity System (CSS) containing the rules is applied to import shipments and the border inspector has access to this target inspection shipment information to help determine which shipments to inspect. The Automated Targeting System-Narcotics (ATS-N) helps locate import shipments suspected of illegal narcotics activity.



3.9 Conduct Import Border-Only Operations (A214)

Product Discussion

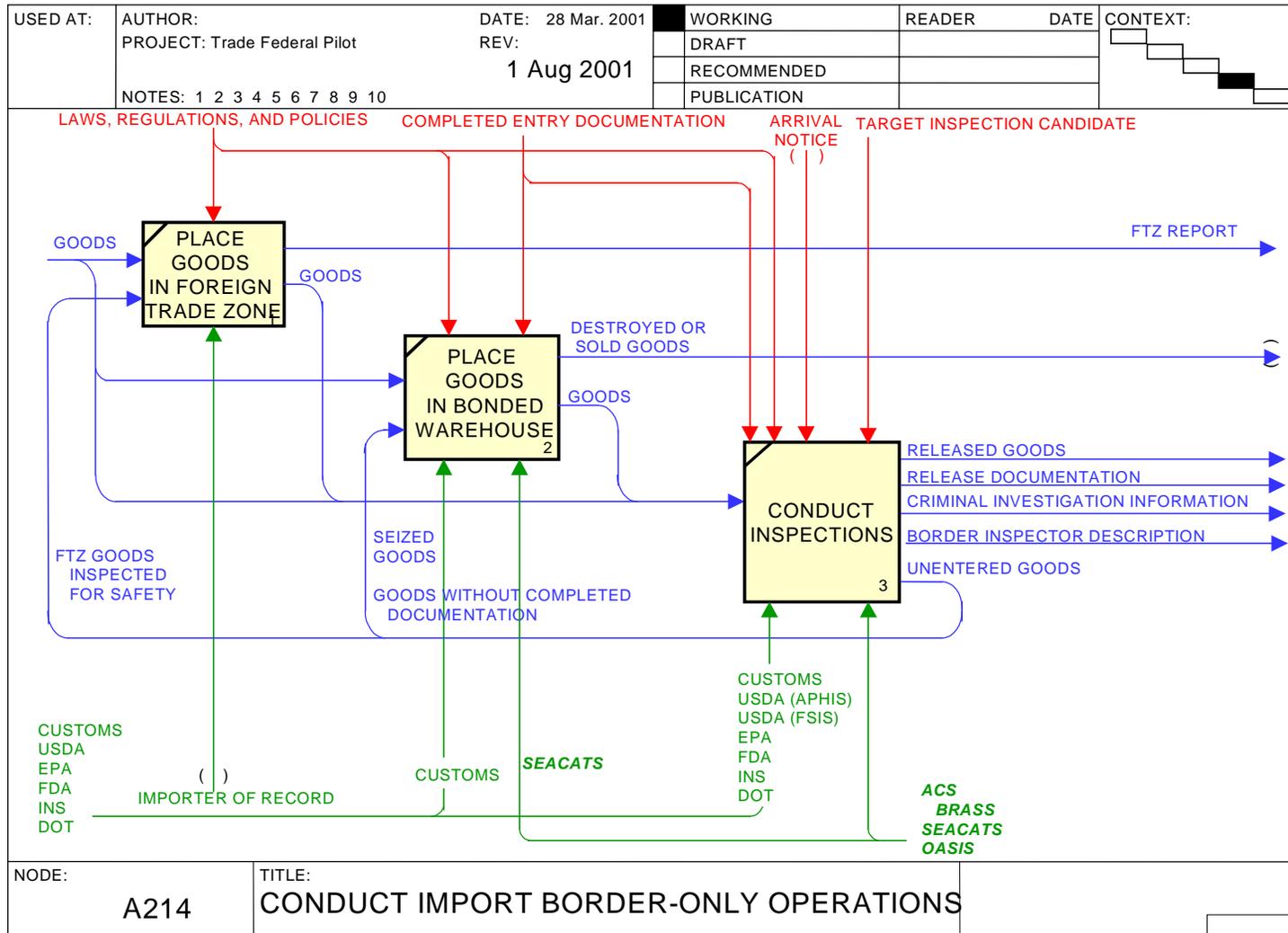
Goods arriving at a U.S. border may go to a Foreign Trade Zone (FTZ) if they are not expected to enter the U.S. economy at that time or go to a warehouse before they can be inspected or have all the documentation on file. If a shipment has been identified as a high risk candidate, the shipment contains materials requiring agency examination, the vehicle looks unsafe, or at the border inspector's discretion, the shipment may be inspected when it arrives at the border. Customs performs inspections comparing goods against the manifest and for illegal or unsafe imports. USDA conducts meat and other food inspections. FDA may inspect food, drugs, or cosmetics. EPA may inspect chemicals. DOT representatives inspect the vehicles for safety and verify operator's licenses. INS or cross-designated Customs officials may process the crew. There are many conditions and notices of shipment arrival, inspection need, and release that are not detailed in this model, but should be in a future version. (example - For some types of goods, such as goods from Canada or Mexico if approved, some fresh fruit and vegetables from Canada or Mexico, shipments for the US government, articles for free trade. By using the Immediate Release documents (CF 3461, the carrier can, through the AMS, receive conditional release authorizations up to 5 days prior to arrival and after leaving foreign country)

A2141 Place Goods in Foreign Trade Zone (FTZ)

Some goods brought to the border are not intended to enter the U.S. commerce for Customs tariff purposes, but are subject to other U.S. laws. Traders may bring goods into an FTZ where they can be part of a manufacturing operation, then exported directly from the FTZ with no tariff on the foreign goods which did not 'enter' the U.S. economy. Traders may place goods in a FTZ for manufacturing or repackaging, then import the finished product into the U.S., avoiding tariffs on waste or packaging. Importers may also place goods in an FTZ to stage them for rapid release, but avoid tariffs until they are actually imported.

A2142 Place Goods in Bonded Warehouse

Goods arriving at the border may not yet have all the necessary entry documentation filed for them, the quota for the period is filled and the importer is awaiting the opening of a new quota period, or the goods require inspection, but an inspector is not available. These goods can be placed in a Customs supervised or approved bonded warehouse until the documentation or bond is in place, a new quota period opens, or inspections are carried out.



NODE: A214

TITLE: CONDUCT IMPORT BORDER-ONLY OPERATIONS

Conduct Import Border-Only Operations (A214) (cont.)

A2143 Conduct Inspections

Carriers notify Customs of the expected arrival time and place of goods being imported. Based on the results of selectivity assessment or other factors, the goods may be inspected. Customs performs inspections comparing goods against the manifest and for illegal or unsafe imports. They make descriptive notes on the goods imported which may be used later for classification and valuation during liquidation. USDA's Animal and Plant Health Inspection Service (APHIS) or Food Safety Inspection Service (FSIS) conducts meat, other foods, plant, and animal inspections. The Food and Drug Administration (FDA) may inspect food, drugs, or cosmetics. The Environmental Protection Agency (EPA) may inspect chemicals. Some goods may cross the U.S. border at one location, but may be moved 'in-bond' and inspected at another locations possibly because of security or perishability concerns if the container holding the goods is opened. The border inspector makes compliance assessments and determines whether to allow the goods to make entry. In addition to the goods, the vehicle and crew may also be inspected. DOT representatives including the National Highway Safety Administration (NHTSA) and Federal Motor Carriers Safety Administration (FMCSA) (operator's license), Federal Aviation Administration (FAA), and Coast Guard may inspect the vehicles for safety and verify operator's licenses. INS or cross-designated Customs officials may process the crew.

Most goods coming to the border are allowed to enter and are released when proper documentation is filed and any necessary inspections passed. Goods might be held awaiting documentation or inspection approval, may be seized if found to be illegal, unsafe, or may be destroyed. Goods awaiting sale or destruction by Customs may be placed in a Customs supervised warehouse operated by a contractor. Drugs, firearms, munitions, and high value items go to a Customs operated warehouse. Unclaimed goods can be placed in a General Order warehouse

Some goods only transit the US and never enter US economy. These situations are addressed in this model.

3.10 Process Tariff and Fee Payments (A215)

Product Discussion

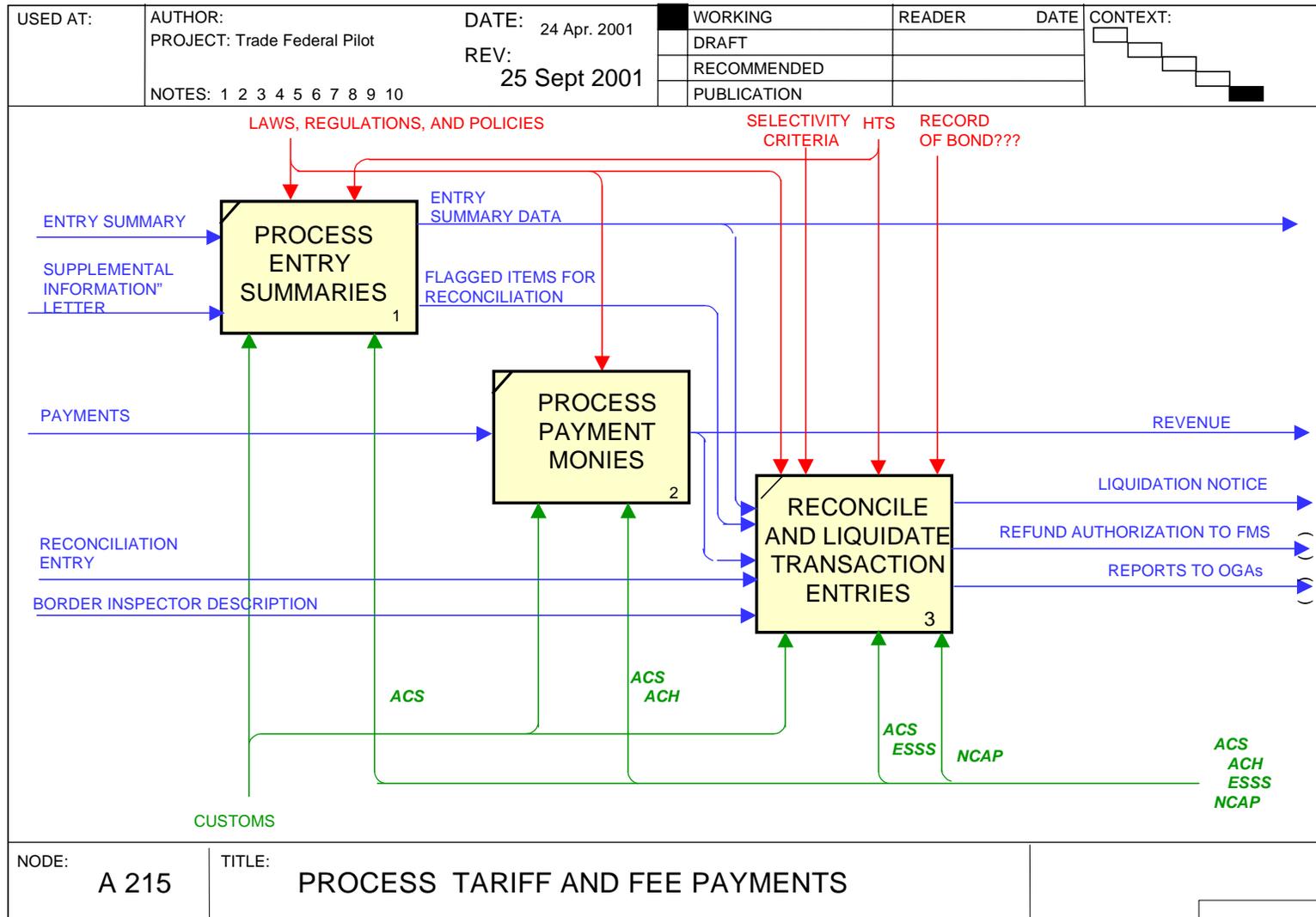
Importers must file an entry summary estimating the tariff and fees due and the payment within 10 working days of goods entry. Importers can authorize Customs to collect tariff and fee payments electronically through the ACS Automated Clearing House (ACH) System where Customs removes the funds from the designated account. (This is not the same as an Electronic Funds Transfer where the importer would send the money to Customs.) The importer can also pay by cash or check. Customs reconciles the import transaction documentation with the payment and liquidates the transaction. The payments are eventually transferred into government accounts at the Federal Reserve Bank of New York. The entry summary information is provided to Census to computer trade statistics. Importers can protest the tariff classification or valuation made by Customs if they disagree with the assessment.

A2151 Process Entry Summaries

An importer or his authorized agent must file an entry summary, CF 7501, an invoice, and other documentation if required, and the estimated tariff and fee payment with Customs. The entry summary includes the import number, importer, bond number, port, goods description, quantity, value, tariff rate, the duty due for goods, and other information. Normally the documents are filed electronically through the Customs ABI, but papers can be filed at the port customs house. Additional information correcting a filed entry summary can be made with a Supplemental Information Letter (SIL). The entry summary is later used by Census to develop statistics on imports.

A2152 Process Payment Monies

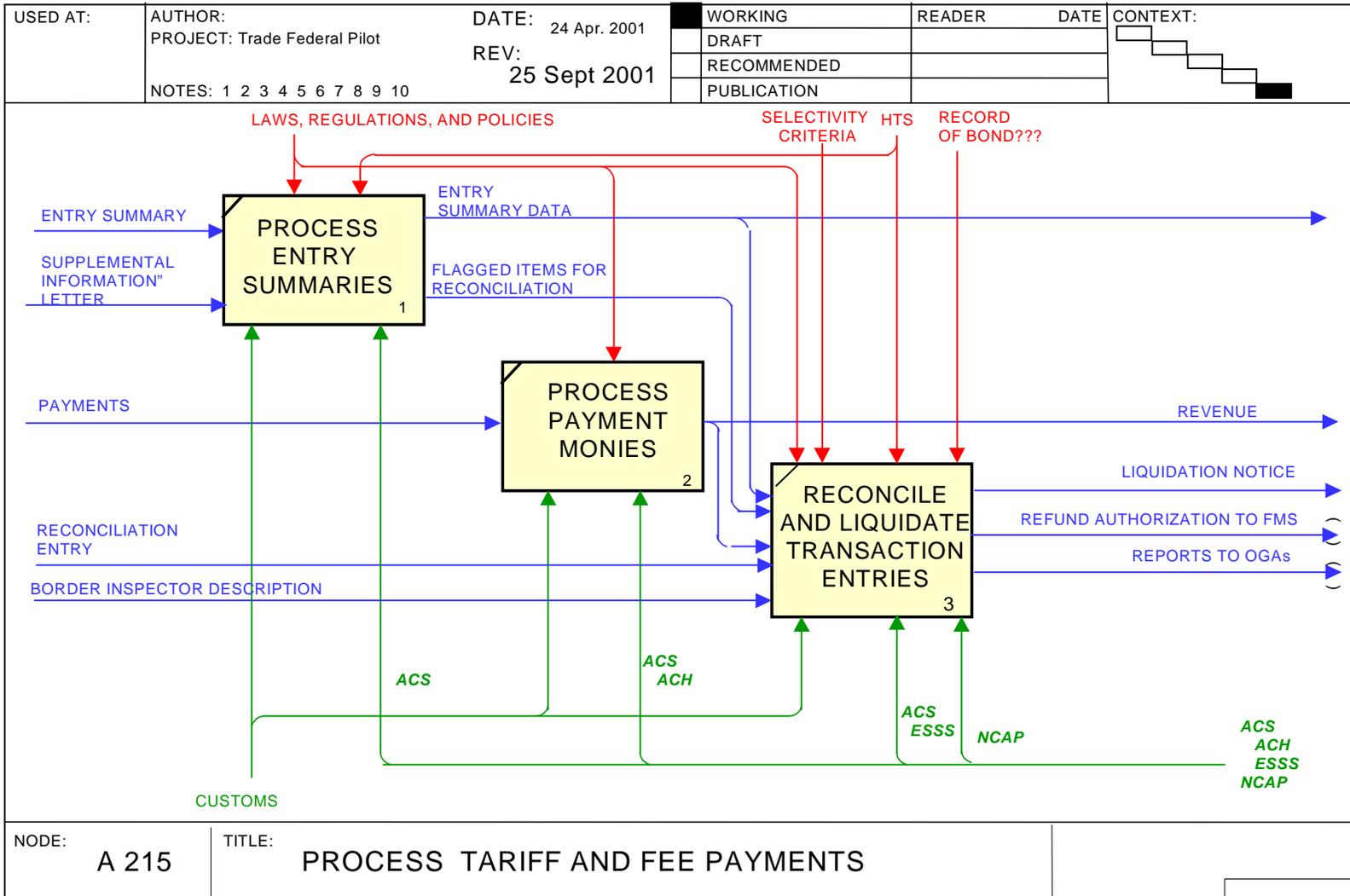
Payments for tariffs, including duties and excise taxes, and Customs usage fees can be made in cash, by check, or electronically through the Automated Clearing House (ACH) where importers authorize Customs to remove the funds from their designated account. (This is not the same as an Electronic Funds Transfer where the importer would send the money to Customs.) When a payment is received, it is referenced to the payment due on the entry summary. Eventually the money is transferred to the Federal Reserve.



NODE:	TITLE:	
A 215	PROCESS TARIFF AND FEE PAYMENTS	

Process Tariff and Fee Payments (A215) (cont.)**A2153 Reconcile and Liquidate Transaction Entries**

From the millions of entry summary documents filed, selectivity criteria are applied with the ACS Entry Summary Selectivity System (ESSS) to select those which will be reviewed manually. A Customs Import Specialist reviews the documentation for the selected transactions to verify the valuation and tariff classification. He may use notes describing the items provided by the border inspector. The specialist may request additional information from the importer if needed. Most entries are liquidated, or closed, shortly after entry. Sometimes, not all information can be determined by the time the entry summary is filed. As a prototype service, participant importers can flag an item on an entry summary as indeterminable for one of four reasons: value, HTS heading 9802, classification, or eligibility under NAFTA. The importer then has 15 months (12 months if NAFTA issue) to file additional reconciliation information to reconcile the issue. These reconciliation entries are filed through the ABI, with supporting spreadsheets looking like the importer's invoice provided on floppy diskettes. Customs reviews the reconciliation information, determines the final tariff due and requires additional payment or authorizes a refund. The review liquidates the entry for the item with indeterminable information at the time the entry summary was filed. Once all issues are resolved and all monies paid, a liquidation notice is sent to the importer and posted in the Customs house at the port of entry to complete the transaction. Several government agencies such as USDA and the IRS receive reports on the transactions.



NODE: A 215

TITLE: PROCESS TARIFF AND FEE PAYMENTS

3.11 Manage Export Transactions (A22)

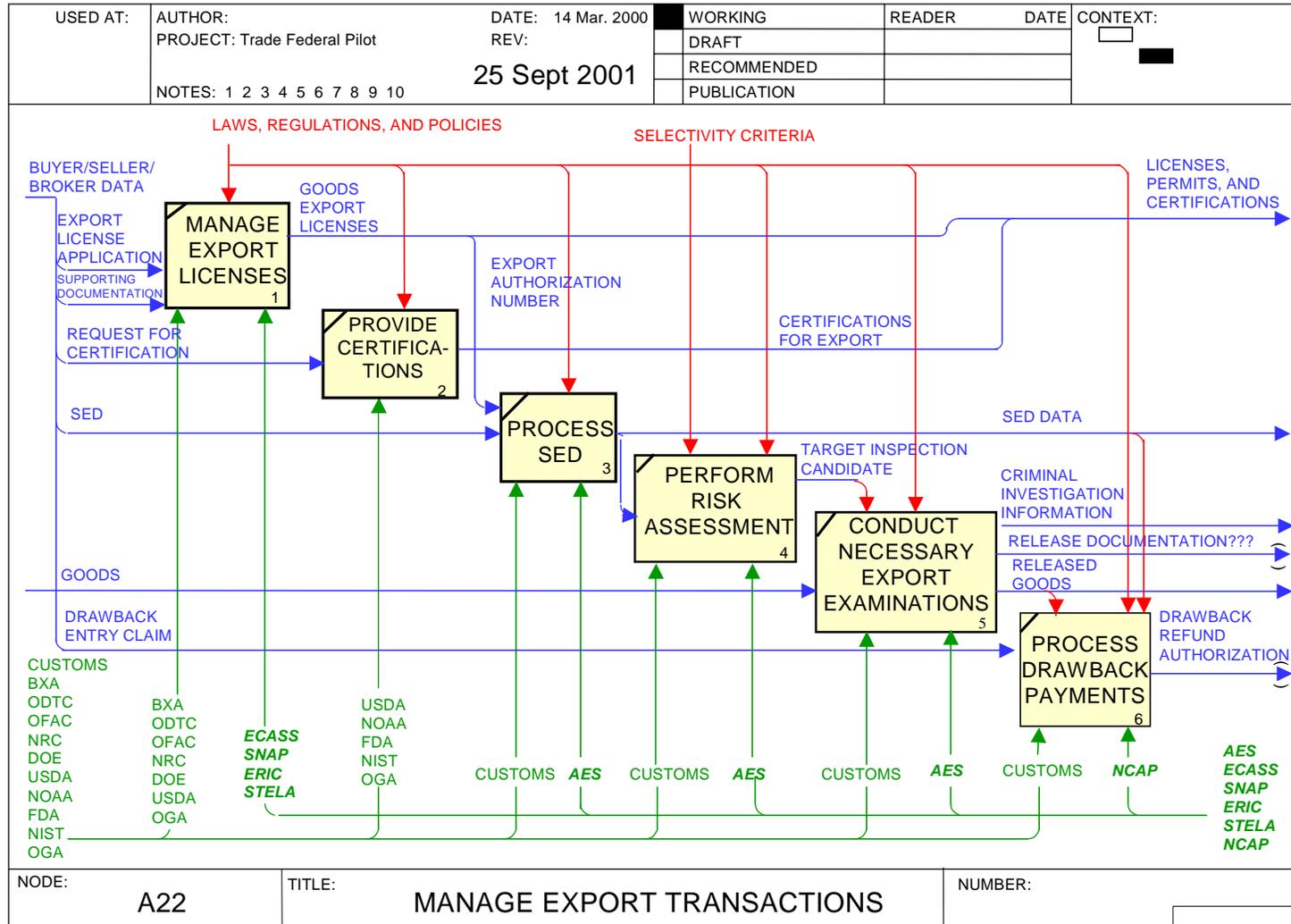
Product Discussion

A221 Manage Export Licenses

The Commerce Department Bureau of Export Administration (BXA) regulates and controls the export of most types of products as required by the Export Administration Regulations (EAR). The regulations control the movement of U.S. dual-use goods, software, and technology. Dual-use products are those that are not specifically designed for military use, but may be used for such applications. Only about four percent of exported goods require a license. License requirements depend on an item's technical characteristics, the destination, the end-use, the end-user, and other activities of the end-user. The EAR Commerce Control List (CCL) identifies individual items by an Export Control Classification Number (ECCN). BXA will supply the ECCN on written request, through its Electronic Request for Item Classification (ERIC), or its web based Simplified Application Network Process (SNAP). Before submitting a license application, the applicant is expected to verify that the recipient is not on the BXA Table of Denial Orders, also known as the Denied Persons List and the Treasury Department's Office of Foreign Assets Controls' List of Specially Designated Nationals. BXA receives export license applications (form 748P), on paper, through its web-based SNAP on line export application capability, or its Export License and Application Information Network (ELAIN) System. ERIC is the electronic equivalent of form 748P. BXA provides information on the status of a license application or classification request through its System for Tracking Export License Applications (STELA). BXA mails the approved license to the applicant. BXA maintains all license information in its Export Control Automated Support System (ECASS). The State Department Office of Defense Trade Controls (ODTC) licenses the export of defense articles and services, while the Nuclear Regulatory Commission (NRC) licenses nuclear materials and equipment. The Department of Energy (DOE) licenses nuclear technology, natural gas, and electricity. BXA coordinates with the OFAC and DOE on licenses. The Patent and Trademark Office (PTO) administers regulations for export of unclassified knowledge in the form of a patent application. USDA controls the export of livestock, dairy, and poultry items.

A222 Provide Certifications

Several U.S. agencies such as the FDA, USDA, and the National Oceanic and Atmospheric Administration (NOAA) provide inspections and certifications of goods exported from the U.S. that will be required from the exporter by foreign governments when the goods are imported to their country. The National Center for Standards and Certification (NCSCI) at NIST provides information on foreign standards and certifications.



Manage Export Transactions (A22) (cont.)**A223 Process SED**

The Shipper's Export Declaration (SED) (Form 7525-V) includes the exporter, consignee, Schedule B identification number (or, for most products, the Harmonized Tariff Schedule Annotated (HTSA) item numbers), port and date of export or HTSA item numbers, destination country, and estimated value of goods. It is used by Census to compute export trade statistics and by Customs to identify inspection candidates. The exporter can enter the SED electronically through his PC using the Census Automated Export System (AES) Direct mechanism, or with more sophisticated interfaces, through the AES system located at Customs. Seventy-eight percent of all export filings are now filed electronically. Alternatively, the carrier can hand a paper SED to Customs at the border, then Customs mails the form to a Census processing center in Jeffersonville, Indiana for data entry. The SED contains the export authorization number (license number) for exported goods when required and Customs verifies licenses where possible. No SED is required for Canadian exports (35% of U.S. exports) because Canadian import statistics are used in place of the SED.

A224 Perform Risk Assessment

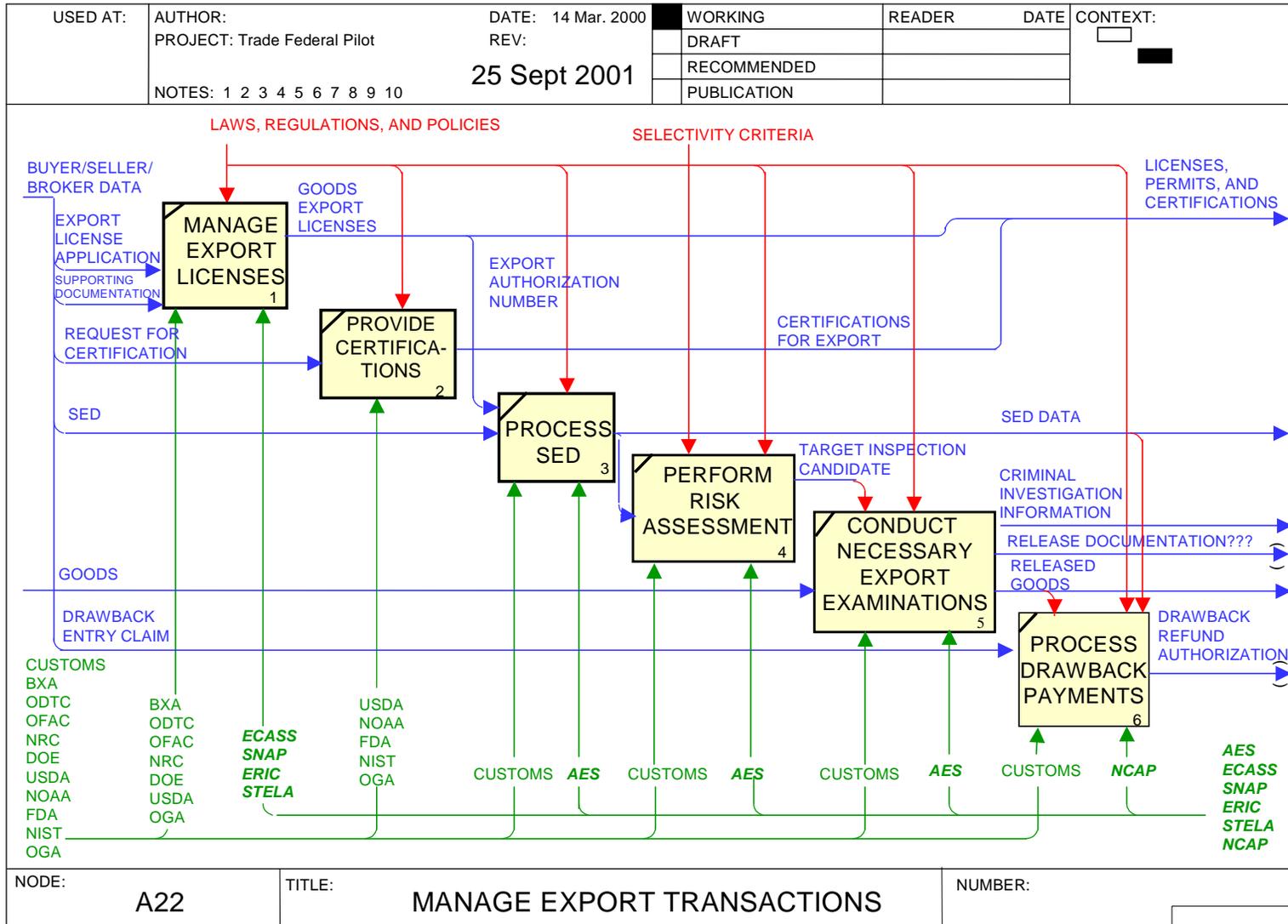
The information in the electronically filed SED is used by Customs to identify high risk shipments. The AES applies national and local port specific criteria to identify target inspection candidates. Customs inspectors have access to this information through on-site terminals to make hold, seize, or other release decisions.

A225 Conduct Necessary Export Examinations

The Customs inspector determines which export shipments to examine based on selectivity criteria and other judgement factors. Less than one percent of export shipments are inspected. Exports may also be examined for drawback purposes. No formal release documentation is provided for exports.

A226 Process Drawback Payments

Drawback is the refund of 99 percent of the tariffs collected on imported goods when they are re-exported or destroyed without entering the U.S. economy. One percent is kept for Customs expenses. A manufacturer or exporter sends a drawback proposal letter to the Customs Port Director and subsequently receives a letter of approval from Customs. Alternatively, he can file a Notice of Prior Waiver application with Customs. When the exporter is ready to export the imported goods, he files a Notice of Intent (Form 7553) and presents the goods at a Customs Drawback Center. Customs may choose to inspect the goods to be destroyed or returned. Then the exporter can file a drawback entry claim Form 7551 with Customs. Customs processes the claim and issues a payment authorization to FMS. Today, this is a paper intensive process.



3.12 Conduct Compliance and Criminal Investigations (A3)

Product Discussion

A31 Inspect Informed Compliance Procedures

To improve use of limited resources for inspections, Customs and BXA use an ‘informed compliance’ approach. Customs works with major frequent trade importers to inform them of compliance requirements and inspect their procedures. If the importer follows its approved import procedures, border transactions for that importer can be greatly simplified, saving both the importer and Customs time and labor costs at the border. Likewise, BXA conducts approximately 1000 inspections per year of exporters and freight forwarders for procedural compliance with export licensing requirements. Compliance inspectors deliver a report to the company on their findings and, if administrative fines or criminal penalties are appropriate, send the inspection results to investigative agents who may impose sanctions (fines or criminal prosecutions).

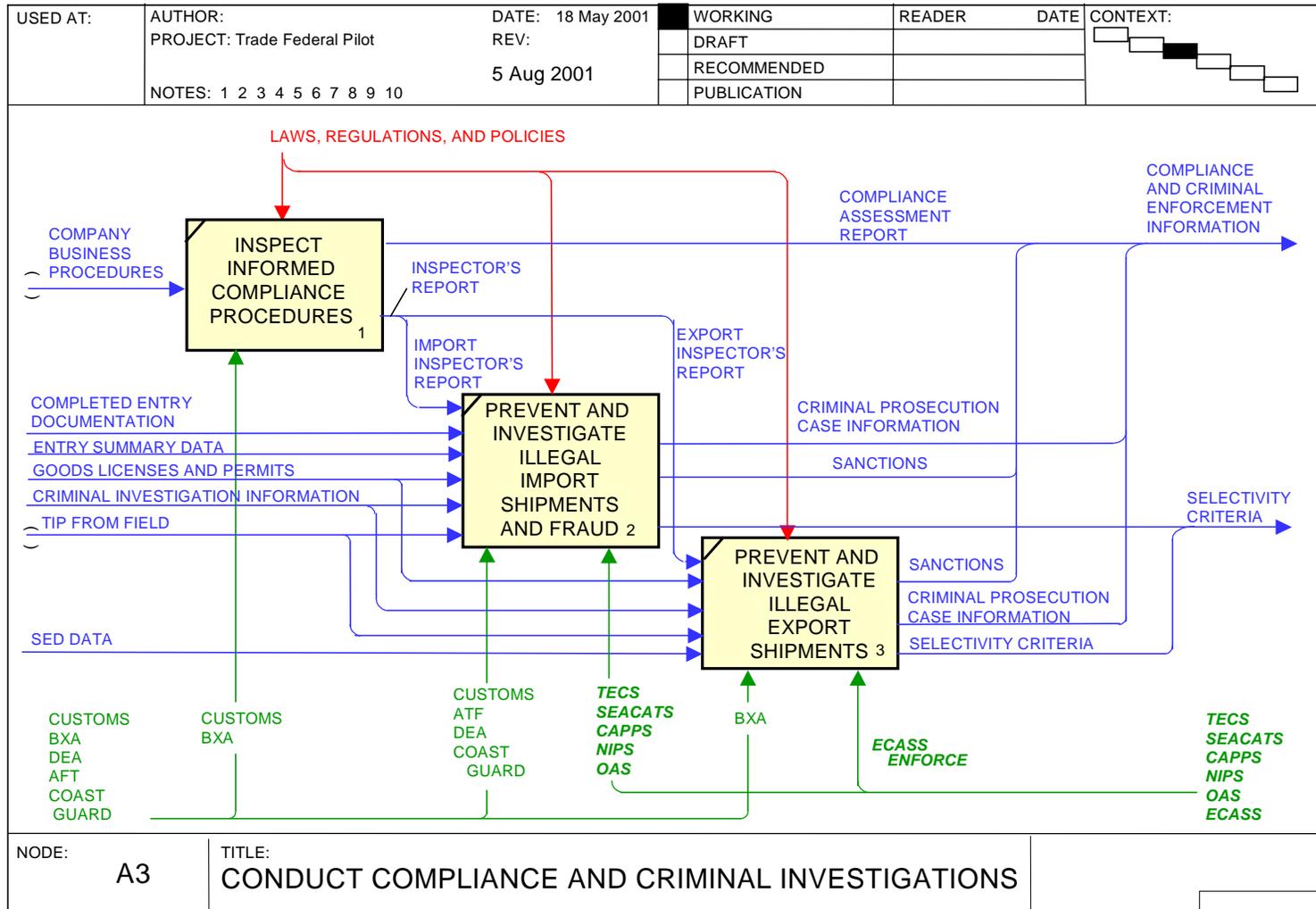
A32 Prevent and Investigate Illegal Import Shipments and Fraud

Customs, in cooperation with other agencies, develops selectivity criteria to identify target shipments to be inspected at the border. The Customs Automated Port Profile System (CAPPS) provides compliance reports for commercial shipments entering the U.S. to assess the effectiveness of cargo examination targeting and develop new selectivity criteria. The ACS Numerical Integrated Profiling System (NIPS) allows the user to identify trends in ACS data which might indicate illegal activity. The Entry Summary Findings Analysis System (ESFAS) is used with CAPPS to collect compliance rates and helps identify risk areas.

Customs and other agencies conduct criminal investigations and prosecute cases. Raw intelligence for cases might come to a field agent as a tip from a company employee, intelligence community reports, or analysis of entry documentation. Field agents investigate the case and can prosecute if appropriate. Some import violations are prosecuted in a Customs District Court.

A33 Prevent and Investigate Illegal Export Shipments

The Commerce Department BXA Office of Export Enforcement investigates suspected violations of U.S. export control laws. Raw intelligence for cases might come to a field agent as a tip from a company employee, intelligence community reports, or analysis of SEDs. Field agents investigate the case and can prosecute the case in the Justice Department’s U.S. Attorney’s court of administrative law judges. The U.S. can penalize foreign individuals and companies through fines, seizing assets, and placing them on the Denied Persons List which effectively shuts down the company.



3.13 Compile and Analyze Trade Information (A4)

Product Discussion

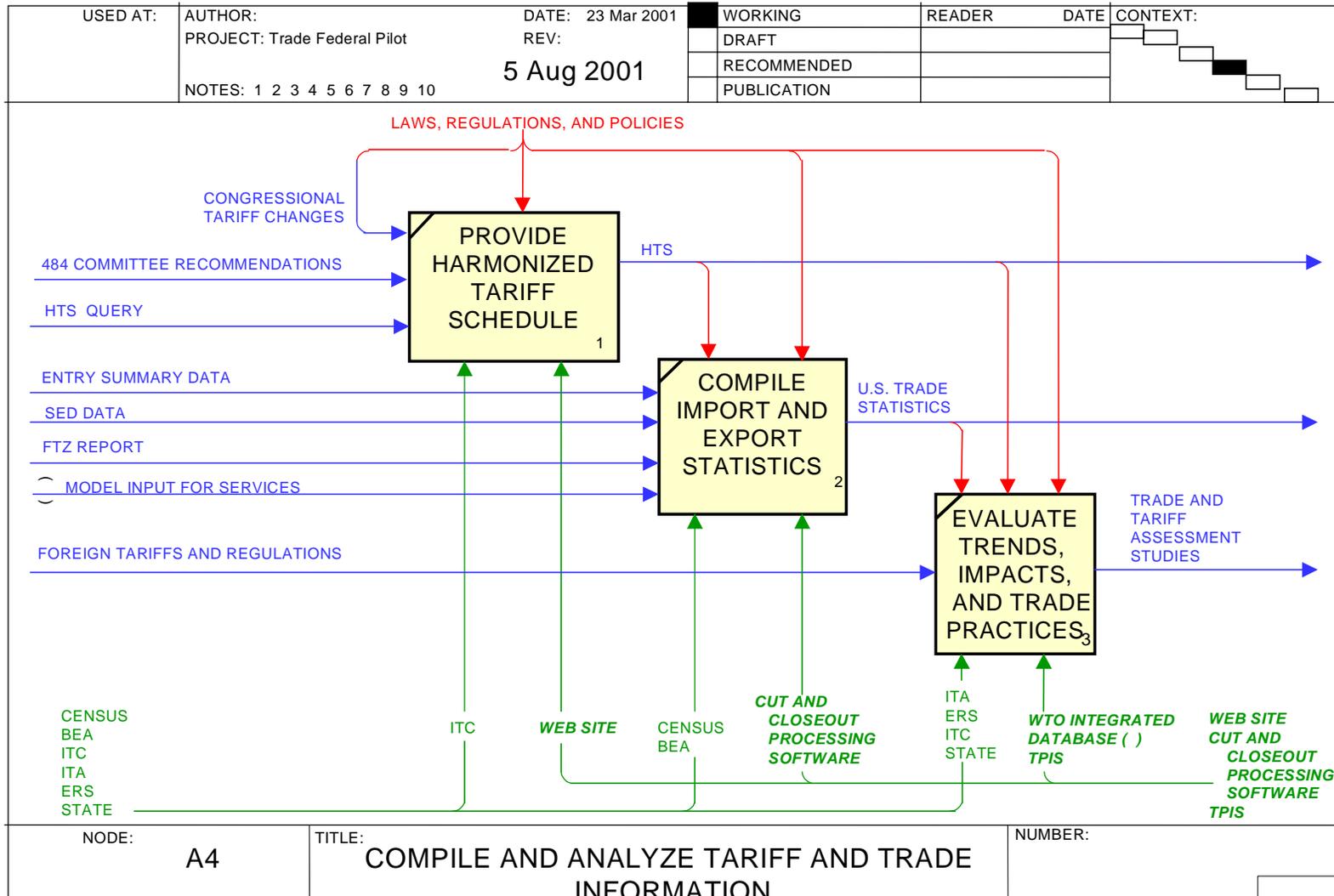
A41 Provide Harmonized Tariff Schedule

U.S. tariff rates are established by Congress. Tariffs include duties and excise taxes. The U.S. International Trade Commission (USITC) is responsible for publishing those rates in the Harmonized Tariff Schedule (HTS) of the United States. The HTS is a set of about 12,000 - 8 digit codes which identify categories of goods for tariff determination purposes, a description of the goods associated with each code, and the tariff for importing those goods. The HTS is based on the 6 digit international Harmonized System (HS) and can be refined to 10 digits for statistical purposes. USITC heads the Committee for Statistical Annotation of the Tariff Schedule, sometimes called the 484 Committee, with representatives from Treasury and Commerce, that makes statistical breakouts of the duty categories. The categories change about 10-12 times per year. USITC provides the HTS to Customs and other government agencies. They also make the HTS available to the public on their web site.

A42 Compile Import and Export Statistics

Title 13, Chapter 9 of the U.S. Code directs the Secretary of Commerce to collect, compile, and publish foreign trade statistics on a monthly and cumulative basis. The Census Foreign Trade Division (FTD) compiles the information for import and export of goods. Import goods statistics are derived from the Entry Summary form (CF7501) containing the HTS code and valuation of the goods which the importer files with Customs within 10 days of entry. Simple Census edits of the entry summary data are applied through the Customs ABI interface when the data is filed. The entry summary data is extracted from the ACS each Sunday and electronically transmitted to Census. There are about 2.74 million transactions (summaries) per month. Census also keys in about 18,000 paper entry summaries at its Jeffersonville, Indiana processing site and receives an additional 36,400 entry summary documents from automated Foreign Trade Zones.

Export data is collected either from the Shippers Export Declaration (SED) (Form 7525-V) or, for Canadian exports, from Canadian government import data. SEDs contain identification of products using Schedule B codes based on the international Harmonized System (HS) of tariff codes, or the US HTSA. The HTSA and Schedule B match each other at the 6-digit level. SEDs also contain the estimated value of the goods. The exporter or shipper completes the SED. About 78 percent of the 2 million monthly total are filed electronically through the joint Customs/Census Automated Export System (AES). Others are given to Customs as paper forms by the carrier at the border. Customs mails the forms to Census at Jeffersonville, Indiana for data entry. About 35% of export information comes from Canadian government import data (no SED is filed by U.S. exporters). Generally speaking, import statistics (from entry summaries) are better than export statistics (from SEDs) because money is involved in the transaction, so to improve reporting the U.S. and Canada have agreed to exchange import information. Canadian import data is used to determine exports to Canada. This arrangement is possible only with a nearby country with up-to-date computer records and capable of timely transfer of data.



Compile and Analyze Trade Information (A4) (cont.)**A42 Compile Import and Export Statistics (cont.)**

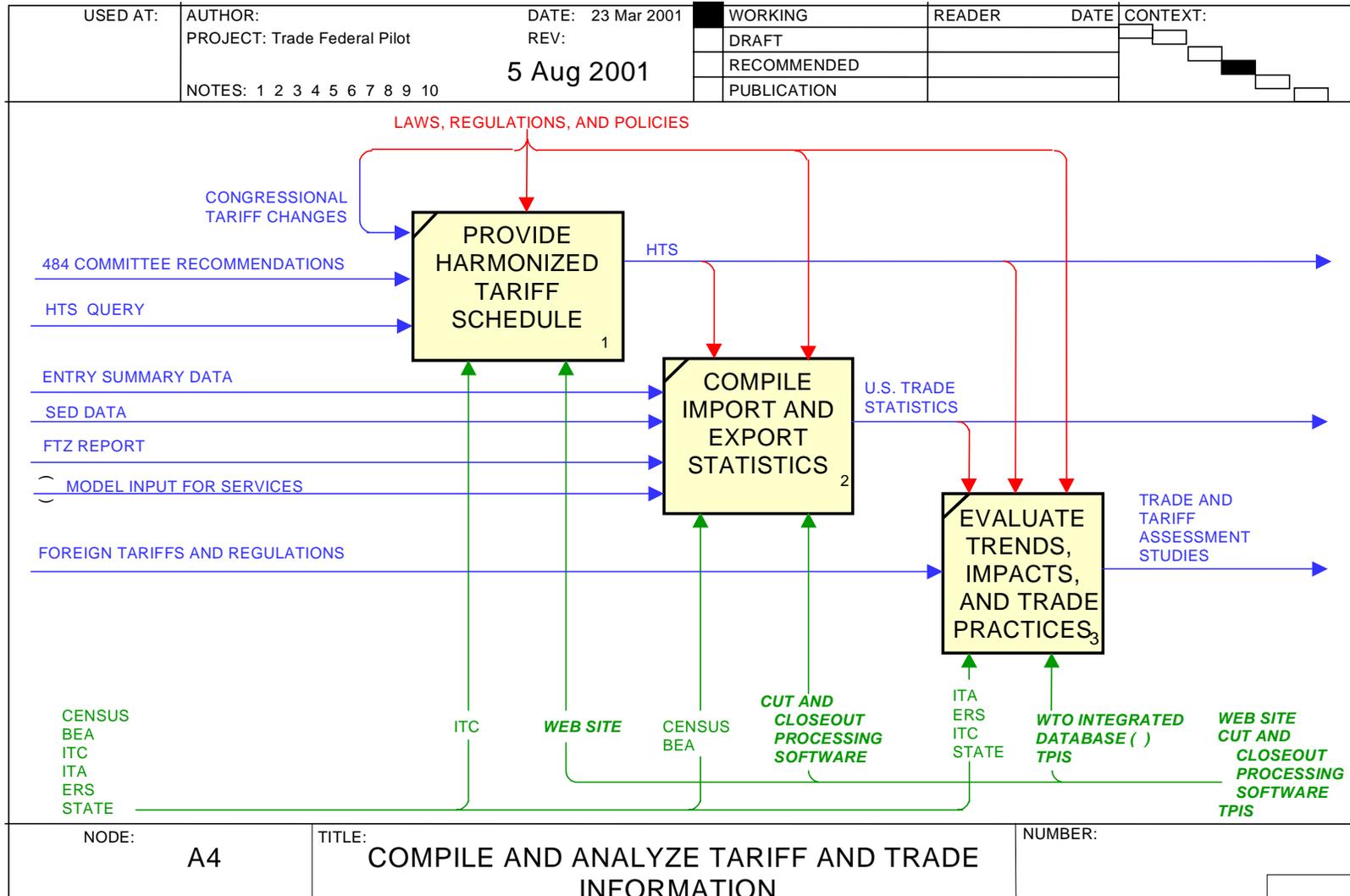
The Census Bureau has a weekly 'cut process' that edits import and export data as it is received from Customs. Its closeout process combines the cut process data into one set of data for the month, then combines the data into desired products. Before publication, the data is examined for reasonableness, how it fits with previous month's data, etc. The six week lag time in publishing statistics can be broken into three segments. The importer/exporter has roughly two weeks to file his entry summary/SED. It takes about two weeks to transfer the data from Customs to Census and edit the data. It then takes about 1 1/2 weeks for Census internal examination and review once the data has been processed.

Data for import and export of services is produced by the Commerce Dept. Bureau of Economic Analysis (BEA). The information is developed from surveys, freight information, and other data using modeling techniques. The BEA also produces balance of payment information.

The goods and services information is jointly published at the same time once a month, normally about six weeks after the close of the month of the data. Press announcements are prepared, the Undersecretary of Commerce briefed, and the news media informed, usually beginning at 7:30 AM on the day of publication. The trade statistics are available by subscription service from several web sites, on CD-ROM from Census, and on other media for a cost recovery fee. There are over 3,000 customers of the trade statistic information, including many government agencies.

A43 Evaluate Trends, Impacts, and Trade Practices

Trade import and export statistics, legislation, policy, economic data, and many other pieces of information are analyzed for a variety of reasons by several government agencies. The ITC, as an independent agency, may review the impact of international trade on the competitiveness of U.S. industries for the President or Congress, may assess the impact of an import injury (Anti dumping or countervailing duty situation) requested by the President or Congress, or a proposed tariff reduction at the request of Congress. The USDA Economic Research Service (ERS) provides economic analysis for the USDA FAS and Congress including help identifying priorities, assessment of trade barriers, and assessment of the effects of trade agreements, all related to agricultural products. They also produce agricultural trade reports based on Census statistics. The Commerce Department ITA analyzes trade data to support trade agreement negotiations and assess other economic issues for industrial products.



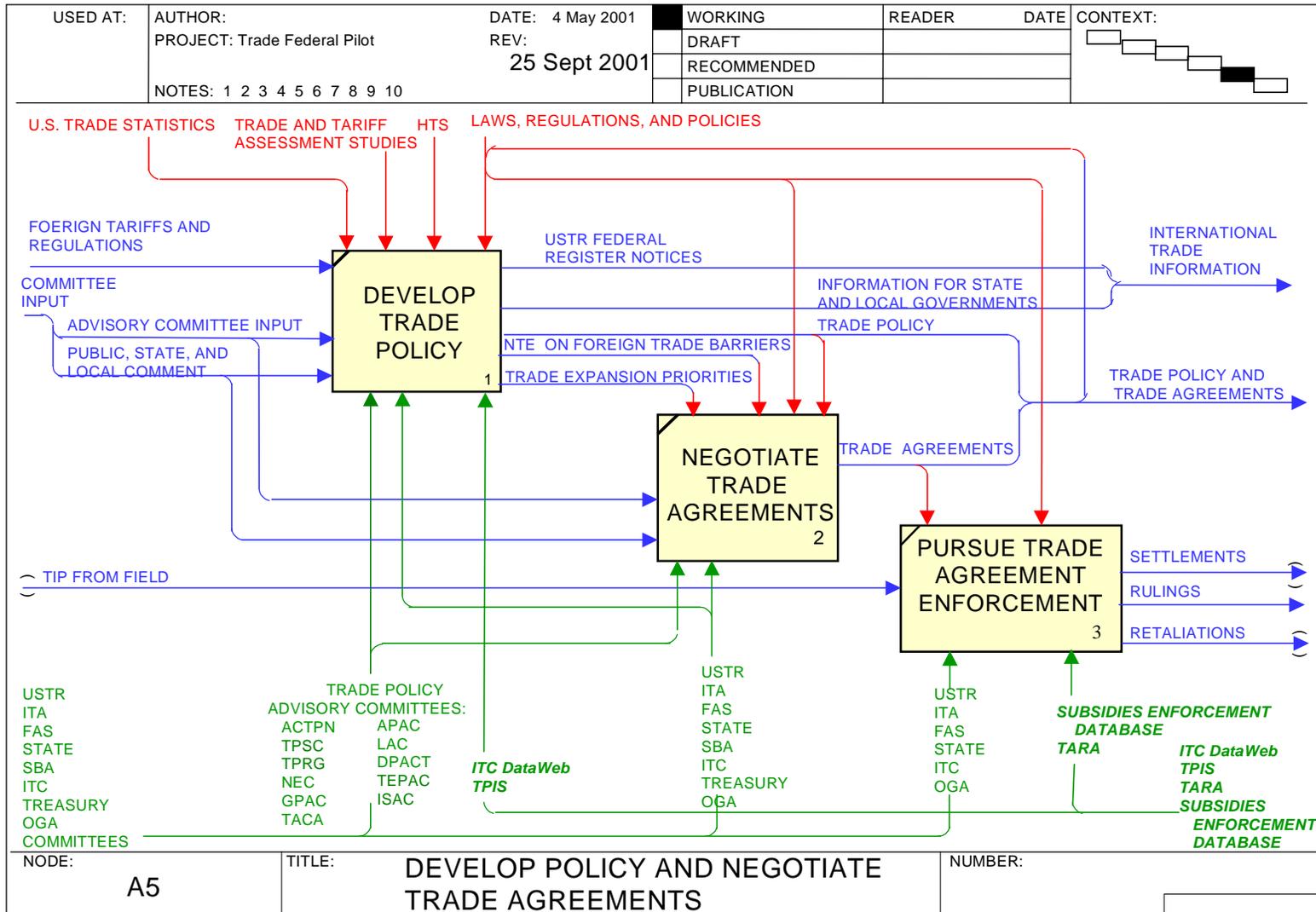
3.14 Develop Policy and Negotiate Trade Agreements (A5)

Product Discussion

A51 Develop Trade Policy

Trade policy defines U.S. trade priorities and U.S. goals leading to more open trade. Trade policy builds upon U.S. laws and is set by Congress and the President with support from the Trade Policy Committee (TPC). Trade policy development is an iterative process involving extensive coordination and review with Congress, federal government agencies, state and local governments, and private industry. The process incorporates comment from industry, the public, and government agencies. The USTR has the lead responsibility for developing and coordinating policy on international trade and trade-related investments. The Defense, Commerce, or Agricultural Departments may take responsibility for issues within their domain. The day-to-day work of policy formulation is done by the Trade Policy Staff Committee (TPSC), an all-government committee with members from many agencies. The USTR may assign responsibility for analyzing an issue to members of the appropriate subgroup within the interagency TPSC or to a special task force. For agricultural items, the analysis is usually done by the USDA FAS. For manufactured items, the analysis is often done through the Commerce Department's ITA with input from its Industry Sector Advisory Committees (ISACs) or Industry Functional Advisory Committees (IFACs). The ISACs are composed of private industry and some Non Government Agency (NGO) representatives. The IFACs address functional areas such as e-commerce. The ITA researches issues through its Trade Policy Information System (TPIS) containing Census-produced U.S. import and export statistics, IMF monetary data, and UN data on products by country. ITA also uses foreign tariff information. As part of researching an issue, ITA presents information to an ISAC to get industry priorities on a particular trade issue. ITA will then prepare a short memo for the USTR on the industry recommended position. Likewise, the USDA FAS works with a set of advisory committees - the Agriculture Policy Advisory Committee (APAC) and the Agriculture Technical Advisory Committees (ATACs) - to develop and assess possible policy positions on agriculture-related issues. The advisory committees are part of a three-tiered advisory committee system topped by the Committee for Trade Policy and Negotiations (ACTPN) to gather industry input. The FAS analyzes impacts of proposed trade policy positions, and works with Other Government Agencies (OGAs), Congress, and the USTR in an iterative fashion to develop a final policy position. The International Trade Commission (ITC), an independent agency, may do economic impact analysis for a proposed policy issue at the request of the USTR or others. The USTR may also solicit public comment through the Federal Register. The USTR keeps state and local governments informed of and communicates with them on trade policy issues and developments. Conclusions and recommendations of the subgroup or task force are reviewed by the full TPSC, and, if the topic is a major policy question, by the Trade Policy Review Group (TPRG). Unresolved issues are escalated to the National Economic Council (NEC) Deputies Committee. Materials used to develop trade policy are sensitive and close held prior to publication.

Trade policy is published in the annual Trade Policy Agenda and Annual Report of the President of the United States on Trade Agreements Program. The USTR also publishes the Super 301 report which identifies U.S. trade expansion priorities, the Special 301 report which identifies countries not providing appropriate intellectual property protection for US items, the 1377 report which discusses telecommunications trade agreements, the Title VII report which discusses discriminatory (foreign) government trade practices, and the National Trade Estimate (NTE) Report on Foreign Trade Barriers which surveys significant foreign barriers to U.S. exports.



Develop Policy and Negotiate Trade Agreements (A5) (cont.)

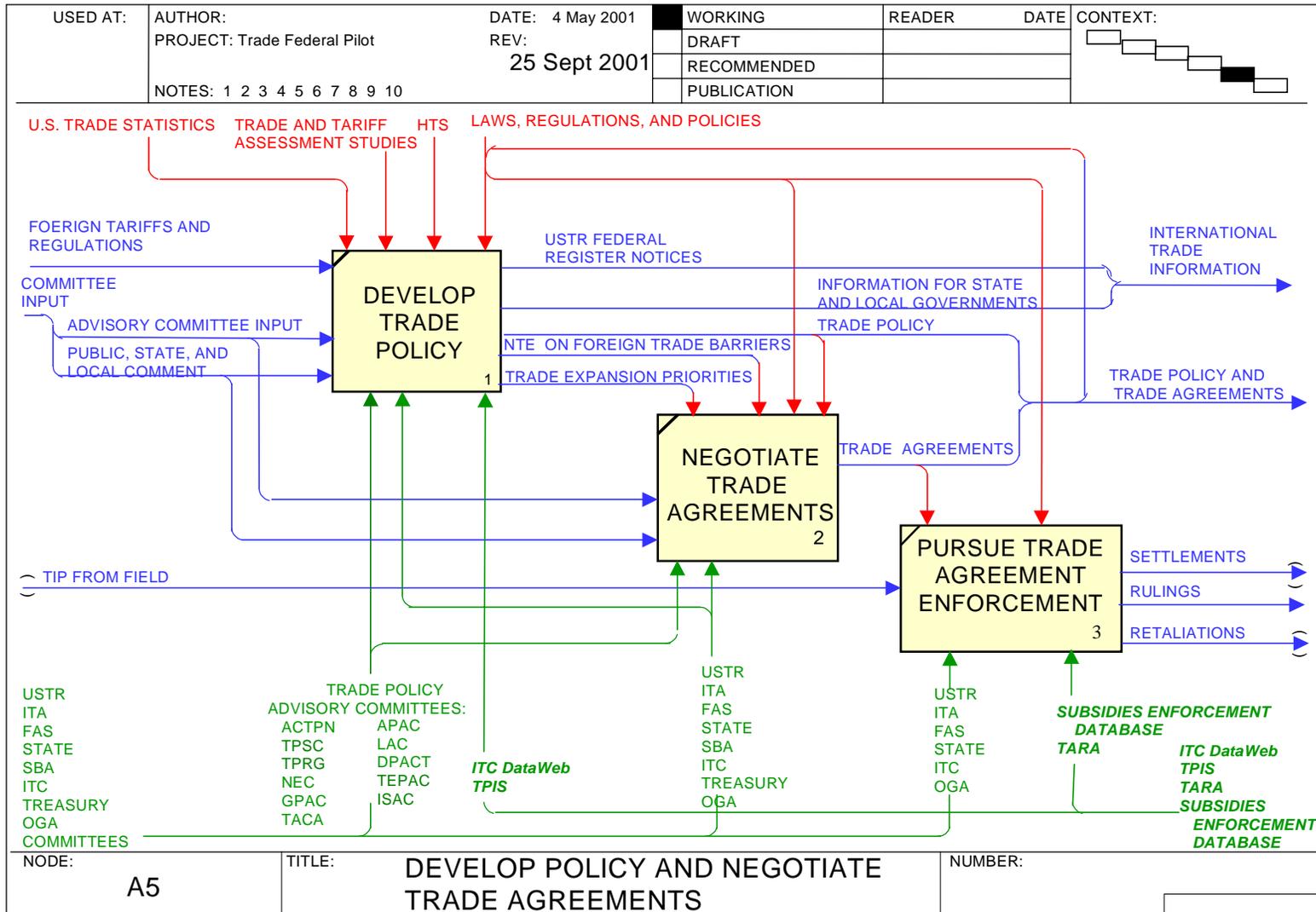
A52 Negotiate Trade Agreements

The USTR has the primary responsibility to negotiate international trade agreements. U.S. trade laws are the building blocks for trade negotiations. Negotiating positions often result from trade policy. The traditional approach to developing a negotiation position is through the interagency TPSC and consultations with Congress and the public in a process very similar to that used to develop trade policy. ISACs provide input for non agricultural sectors. USDA advisory committees provide input for agriculture related issues. The USTR also seeks ITC analysis, Congressional comment, and public comment through Federal Register notices. The emerging negotiating positions are confidential information and closely held while being developed.

The USTR regularly advises Congress during the course of negotiation. The U.S. can negotiate several types of agreements. In a unilateral agreement, common with African developing nations, the U.S. decides what benefits to extend to that country. Bilateral agreements involve two-sided exchange of trade benefits. Multilateral agreements may involve a region of the world or some other grouping of several countries with mutual trade benefits and an international forum such as the World Trade Organization (WTO). Negotiations take place between the USTR and the foreign government's representative, often a ministry of trade, economics, or foreign affairs. If Congress has granted the President Trade Promotion Authority as is currently being sought, called fast track authority when granted in the past, executive agencies can negotiate agreements with foreign governments, then once completed, present to Congress for an up or down vote on the agreement, without amendments.

A53 Pursue Trade Agreement Enforcement

Reports of a foreign country's noncompliance with trade agreements can come from many sources including U.S. embassy personnel (State, Agriculture, Commerce, etc.) observing the situation in a foreign country; private industry reports on a country exceeding its WTO bounded tariff rate, providing subsidies, or other actions; or monitoring by the Commerce Department ITA. The ITA Office of Import Administration (IA) monitors Anti Dumping and Countervailing Duty (AD/CVD) issues and tracks subsidies in their Subsidies Enforcement Database. ITA also maintains the Trade and Related Agreements (TARA) database which contains the text of trade agreements and is used by lawyers. Once a suspected violation has been investigated, the USTR may confer with legal advisors, Commerce, USDA, and other members of an interagency team on how to proceed. Development of a position may involve development of a retaliation list which identifies possible tariff increases that could be charged on items imported from the offending country. Potential retaliation items are published in the Federal Register and go through a public review and comment period before any action is taken. In the case of a WTO member violation, the USTR, USDA, Commerce Dept., or other appropriate U.S. official can approach the foreign country's foreign minister, agriculture ministry, etc. to discuss the evidence of a trade violation. If this discussion does not resolve the issue and result in compliance, the U.S. can escalate it, reporting it to an appropriate committee, e.g., the Agriculture Committee, of the World Trade Organization (WTO). The country could present its own data to that committee indicating there is no trade violation, or the meeting could result in a settlement. If the matter cannot be resolved in the specific committee, it can be escalated to the WTO dispute settlement process. The U.S. makes a formal complaint, a panel is convened, and lawyers present their case. The WTO then makes a ruling. Compliance with trade agreements results in more competitive trade.



3.15 Manage Trade Infrastructure (A6)

Product Discussion

Importing or exporting goods and services requires a supporting infrastructure of transportation, licenses, warehouses, courts, and other facilities and services to support trade transactions, protests, and other activities.

A61 License Surety Companies

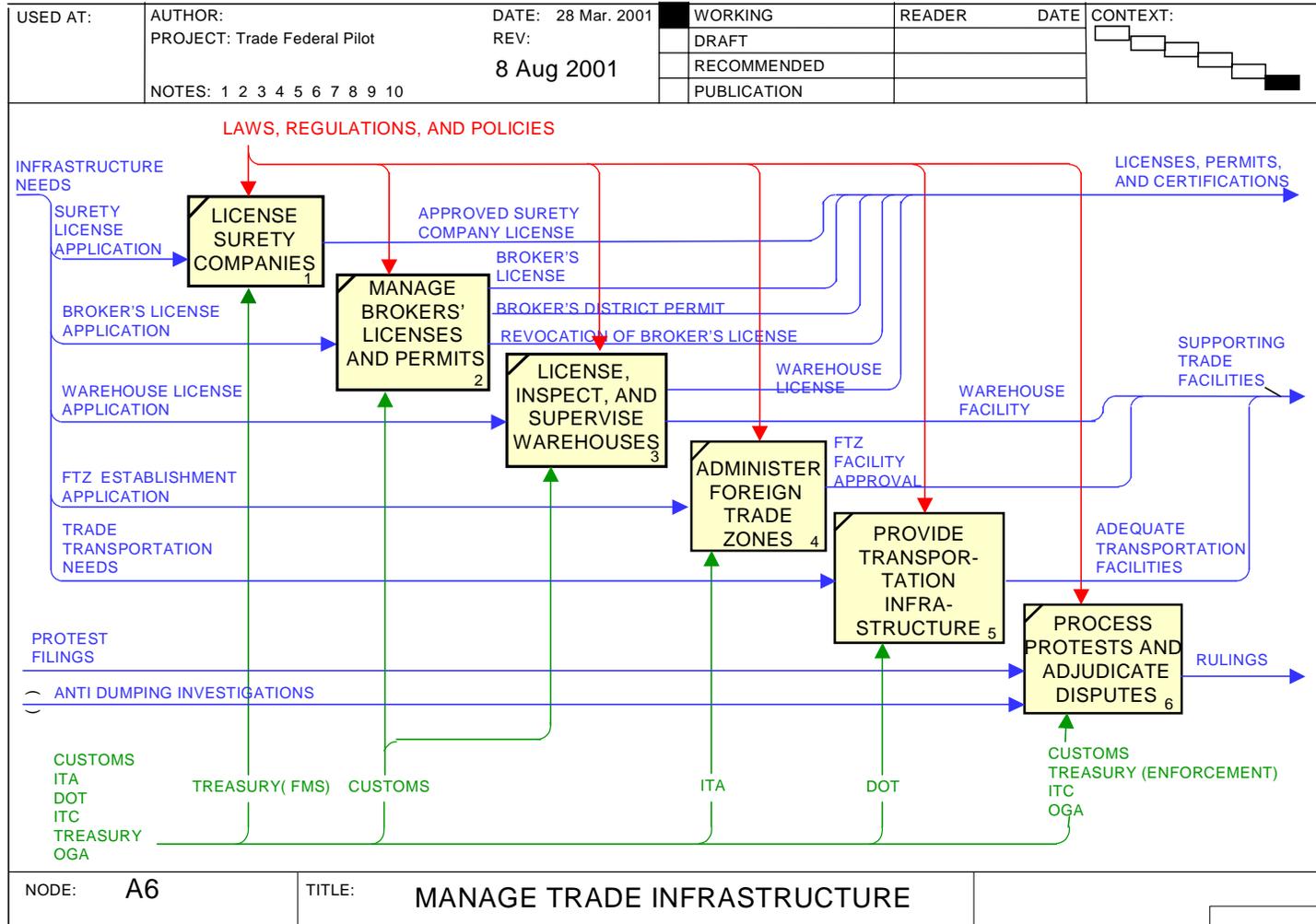
Surety companies must be licensed to provide bonds for payment of tariffs and fees due the U.S. Government. Licensing of surety companies for these and other payments due the government is done by the Treasury Department's Financial Management Service (FMS).

A62 Manage Brokers' Licenses and Permits

To obtain a broker's license, an individual must pass the U.S. Customs Brokers License Examination, which is administered twice a year. The license application is filed with the Port Director at the port where the applicant wishes to conduct business. Customs conducts a background investigation, the results of which, along with all other pertinent information and the Port Director's recommendation, are forwarded to Customs Headquarters in Washington, D.C. At Customs Headquarters, a final determination of the eligibility of the candidate is made and the license is issued. In addition, each licensed broker must have a permit to operate for each Customs District in which he/she conducts Customs business. With the move toward electronic filing and remote entry filing, there is a trend toward a national permit. Each licensed broker is required to submit a status report and pay a \$100 fee every 3 years to remain active. Customs may revoke a broker's license.

A63 License, Inspect, and Supervise Warehouses

Customs inspects and licenses warehouses where goods presented for entry are stored by an importer until they are released, where unclaimed goods are stored (a General Order warehouse), or where seized goods are stored. Customs operates warehouses where seized drugs, munitions, firearms, high value goods, or other special items are stored awaiting disposition.



NODE: **A6**

TITLE: **MANAGE TRADE INFRASTRUCTURE**

Manage Trade Infrastructure (A6) (cont.)

A64 Administer Foreign Trade Zones

Foreign Trade Zones (FTZs) are areas treated as outside the U.S. Customs territory for tariff and entry purposes, but subject to other U.S. federal laws. FTZs allow importers to manufacture goods for export within the zone using foreign parts and not pay duty on the foreign parts, or then import the manufactured item, paying duty on only the parts imported, not waste. Importers can also use a FTZ to stage goods for rapid entry to the U.S. market without paying duty until entry, or to store goods prior to entry. The Commerce Department International Trade Administration (ITA) administers FTZs and approves requests to establish new FTZs.

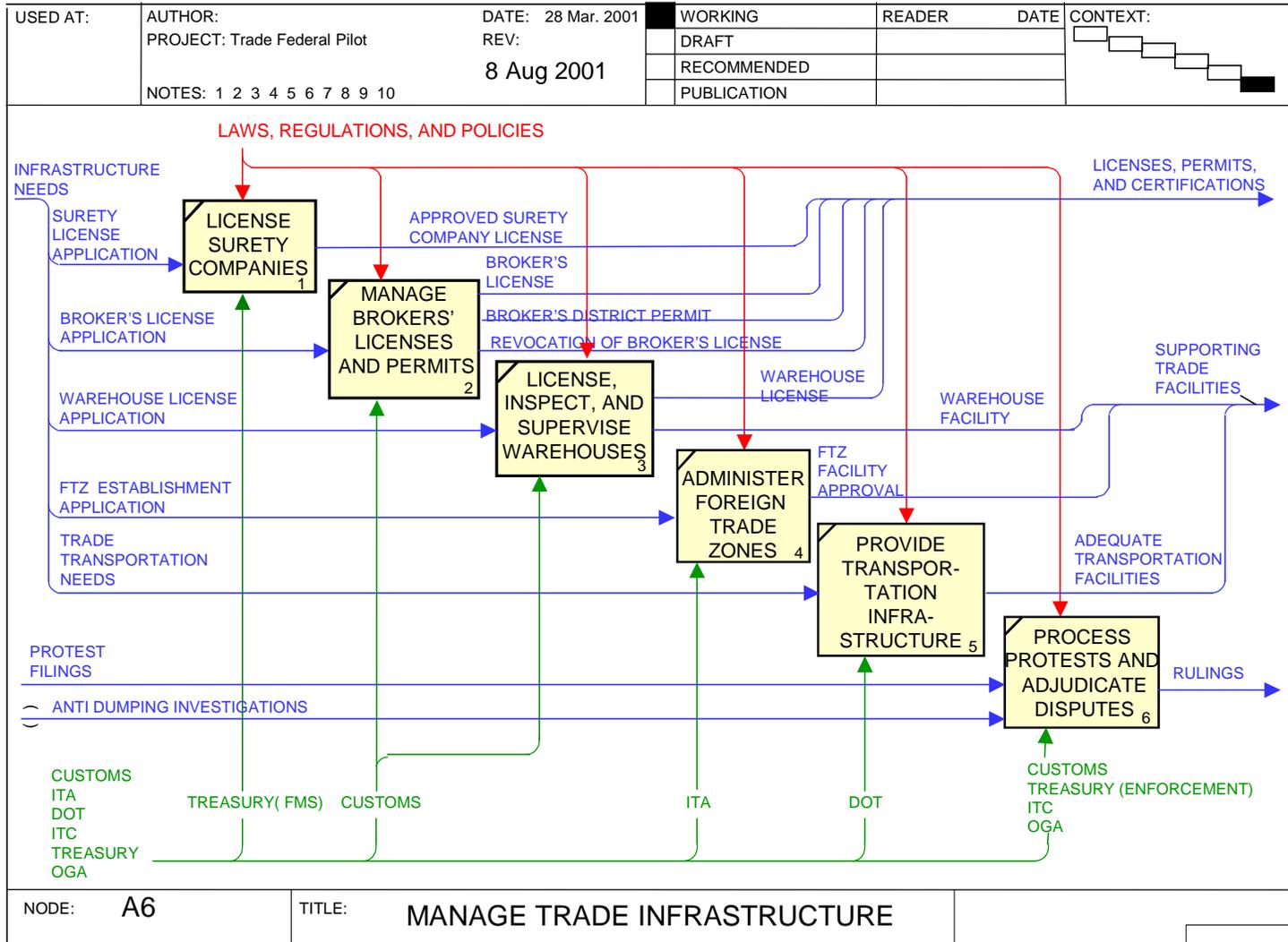
A65 Provide Transportation Infrastructure

Highway, rail, air, and ship transportation infrastructures are necessary to support the delivery of goods to and removal of goods from ports. The Department of Transportation oversees the transportation infrastructure. The detail of this support is outside the scope of the model.

A66 Process Protests and Adjudicate Disputes

Parties which feel they were treated incorrectly by the government, for example a broker feeling her license has been unfairly revoked, an importer feeling his goods have been improperly classified requiring a higher tariff rate, or an exporter believing she has been denied a license to export a particular item incorrectly, can protest the government decision. First the agency, such as Customs, may examine the case based on information filed by the protestor. If the protestor is not satisfied with the decision, he can appeal it to a review authority, such as the Treasury Department's Office of Enforcement.

Parties can also bring law suits against other parties involved in Trade. These cases could be handled by several courts, including the ITC.



NODE: **A6**

TITLE: **MANAGE TRADE INFRASTRUCTURE**

4.0 Operational Node Connectivity Description (ONCD)

The Operational Node Connectivity Description (ONCD) emphasizes the nodes or node types and the information exchanges between them. *Nodes* represent an element of the architecture that produces, consumes, or processes data. An *operational node* is a node that performs a role or a mission. *External Nodes* are operational nodes that send information to or receive information from the architecture's nodes but are outside the scope of the architecture itself; i.e., they do not perform the architecture activities. The activities from the Activity Model that are performed at each node are also shown. Information exchanges between nodes are collectively represented as *needlines*. Needlines simply indicate the need to transfer information from one node to another without specifying the path the information takes or the systems used. The information to be exchanged over the needlines is described in more detail in the Operational Information Exchange Matrix. As the activity model is being developed, an awareness of the nodes or node types and the information exchanges develops. The Operational Node Connectivity Description is developed from this awareness, then iteratively refined along with the Activity Model as activities are associated with the nodes and as the information exchanges become more evident. See *DoD Architecture Framework Version 1.0 DRAFT Volume II: Product Descriptions*.

Product Discussion

The complete ONCD for international trade showing all nodes and needlines on a single diagram would overwhelm the reader. To reduce the presentation complexity, the ONCD is presented in several layers based on activities. The first diagram shows all the nodes with no needlines. For this architecture, nodes are the federal organizations performing some international trade responsibility. Some lower level office identification detail is given rather than just the agency in some cases because of different roles within the organization. No attempt to assign geographic locations to the agencies has been made other than separating Customs HQ from border operations, separating BXA field operations from BXA HQ in the enforcement ONCD, and depicting the embassy or other personnel stationed overseas for the departments of State, Agriculture, and Commerce. The next four ONCD diagrams add needlines for different activity areas. The first shows needlines for promoting export trade. The second shows needlines for managing trade import and export transactions. The third shows needlines for compliance and criminal investigations. The fourth shows needlines for compiling and analyzing trade information, developing policy, and negotiating trade agreements. No ONCD is presented for managing the trade infrastructure.

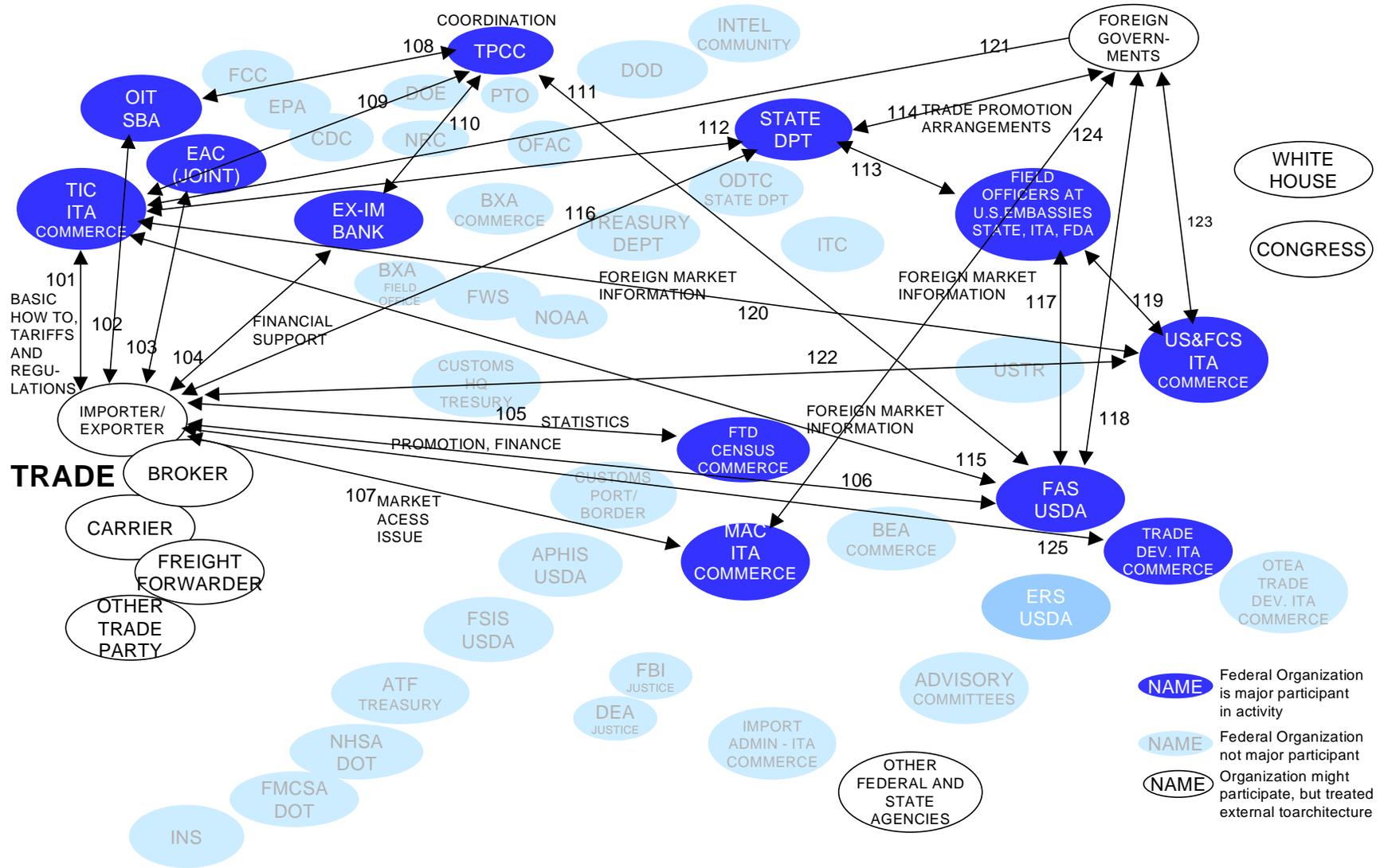
Because of the complexity of the diagrams, bi-directional needlines are shown as double-headed arrows rather than as two separate single-headed arrows. The needlines are numbered and, where space permits, the type of information being communicated across the needline is indicated. On the facing page text, all numbered needlines are listed with the nodes they connect and the types of information being communicated on the needline. Also because of space reasons, the activities at each node are not listed in the ONCD. This information is recoverable in the Information Exchange Matrix by sorting the Excel spreadsheet on producing and receiving node.

In the first ONCD presenting all nodes, the dark blue nodes are federal organizations with significant participation in international trade. In subsequent ONCDs covering a particular related group of activities such as promote export trade, federal organizations with no major participation in that activity area are shown in a lighter blue. The importer, exporter, broker, carrier, White House, Congress, and other nodes considered external to the architecture are shown in white. They are external to the architecture, but are sources and recipients of information from the architecture. While an attempt has been made to keep the nodes in all diagrams in the same positions, in some cases additional nodes have been added and the nodes have been moved slightly from their original positions to improve the readability of the diagram.

The ONCDs shown are high level and represent a first cut at capturing the interchanges between nodes. As this architecture matures, increased knowledge of the interchanges between nodes will add more detail to the ONCDs.

As Is Promote Export Trade (A1) Types of Information Communicated on Needlines Operational Node Connectivity Description

Needline Number and Nodes From ONCD	Types of Information Transferred
101 - Trade and TIC	- Basic questions, how-to information, referrals, foreign tariffs and regulations, country/business counseling
102 - Trade and SBA OIT	- Business or country counseling, programs, referrals for small businesses
103 - Trade and EAC	- Hands-on help walking exporter through his deal and development of export business
104 - Exporter and Ex-IM Bank	- Financial guarantees and loans to exporters and their buyers
105 - Trade and Census	- Request and supply tailored trade data reports based on U.S. statistics
106 - Trade and FAS	- Promotion assistance, trade show or mission participation arrangements, financial assistance
107 - Trade and ITA MAC	- Communications about assistance resolving industrial product market access problem
108 - SBA OIT and TPCC	- Trade promotion coordination communications
109 - TIC and TPCC	- Trade promotion coordination communications
110 - EX-IM Bank and TPCC	- Trade promotion coordination communications
111 - FAS and TPCC	- Trade promotion coordination communications
112 - TIC and State	- Foreign market and business practices information
113 - State and Field officers	- Foreign market and business practices information
114 - State and Foreign Governments	- Trade promotion arrangements
115 - TIC and FAS	- Foreign market and business practices information
116 - STATE and TRADE	- Trade promotion arrangements
117 - FAS and Field Officers	- Foreign market and business practices information
118 - FAS and Foreign Governments	- Trade promotion arrangements
119 - US&FCS and Field Officers	- Foreign market and business practices information
120 - TIC and US&FCS	- Foreign market and business practice information
121 - TIC and Foreign Governments	- Foreign Tariff, regulation, and business information
122 - US&FCS and TRADE	- Foreign market information, trade promotion events, export awareness presentations
123 - US&FCS and Foreign Governments	- Trade promotion events information
124 - MAC and Foreign Governments	- Negotiation on market access issue
125 - TRADE DEV. and TRADE	- Trade promotion information



9/27/2001

**As Is Promote Export Trade (A1)
Operational Node Connectivity Description**

As Is Transactions (A2) Types of Information Communicated on Needlines Operational Node Connectivity Description

Needline Number and Nodes From ONCD Types of Information Transferred

- 1 - TRADE and EPA- Notice of hazardous waste export
- 2 - TRADE and CDC- Unknown at this time
- 3 - Available
- 4 - TRADE and BXA- Export license information, denied persons list
- 5 - TRADE and OFAC- Embargoed countries information
- 6 - TRADE and ODTIC- License to export military use items
- 7- TRADE and FWS- Certificates for import of endangered species
- 8 - Customs HQ and Foreign Governments - Visa information
- 9 - TRADE and ITC- HTS information
- 10 - TRADE and FTD- SED
- 11 - TRADE and Customs HQ- Entry documentation, bond, entry summary, payment, SED
- 12 - TRADE and Customs Port - Goods inspection, goods release
- 13 - TRADE and APHIS- Animal and plant inspections
- 14 - TRADE and FSIS- Food inspections
- 15 - TRADE and ATF- Firearms and Munitions Import License
- 16 - Carrier and Customs Border Port- Arrival Information
- 17 - Carrier and NHSA- Vehicle safety inspection
- 18 - Carrier and FMCSA- Crew operating licenses
- 19 - Carrier and INS (or Customs) - Crew citizenship
- 20 - INS and Customs- Crew citizenship procedures

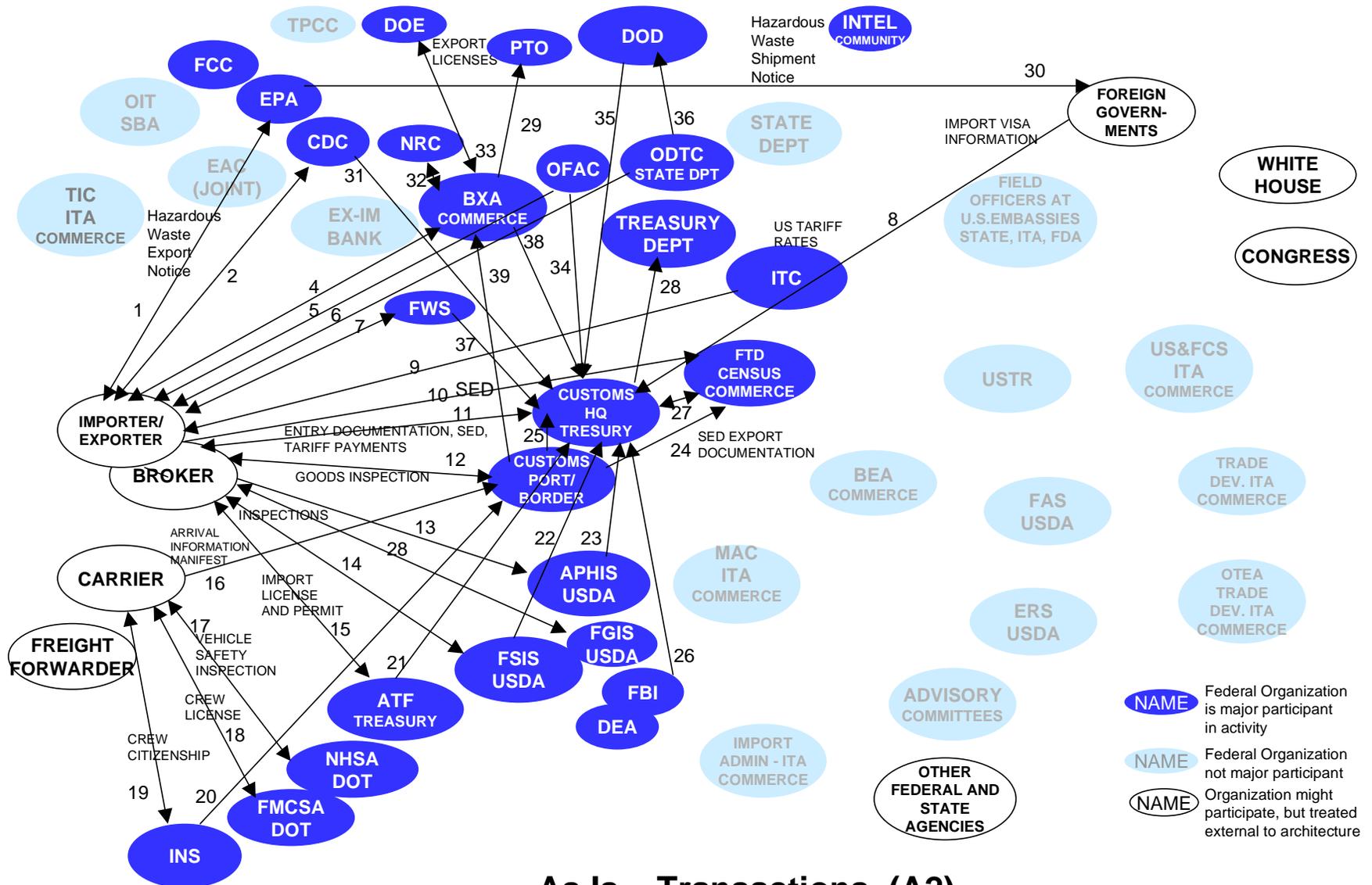
Note - TRADE is being used as a general term to cover the importer, exporter, broker, or other public party.

Note - Operational nodes have been slightly rearranged to make diagram more readable

As Is Transactions (A2) Types of Information Communicated on Needlines (cont.) Operational Node Connectivity Description

Needline Number and Nodes From ONCD	Types of Information Transferred
21	- ATF and Customs HQ- Firearms import license information
22	- FSIS and Customs HQ- Inspections, certifications
23	- APHIS and Customs HQ- Import meat and meat food product inspections
24	- Customs Port and Census- Shipper's Export Documents (SEDs)
25	- Customs Port and Customs HQ- Target inspection candidates, goods descriptions, entry documentation, SEDs
26	- FBI and Customs HQ- Selectivity criteria recommendations
27	- Customs HQ and Census- SEDs
28	- Customs HQ and Treasury- Revenue, refund payment authorization
29	- BXA and PTO- EAR regulations on patents
30	- EPA and Foreign Governments- Notice of hazardous waste shipment
31	- Customs HQ and CDC- Unknown at this time
32	- BXA and NRC- Export license information
33	- BXA and DOE- Export License information
34	- OFAC and Customs HQ- Embargo on exports
35	- DoD and Customs HQ- Unknown at this time
36	-ODTC and DoD- Export of military goods information
37	-FWS and Customs HQ- Licenses, permits, and certifications
38	- BXA and Customs HQ- Export license information
39	- BXA and Customs Port Border- Criminal investigation information

Note - Operational nodes have been slightly rearranged to make diagram more readable

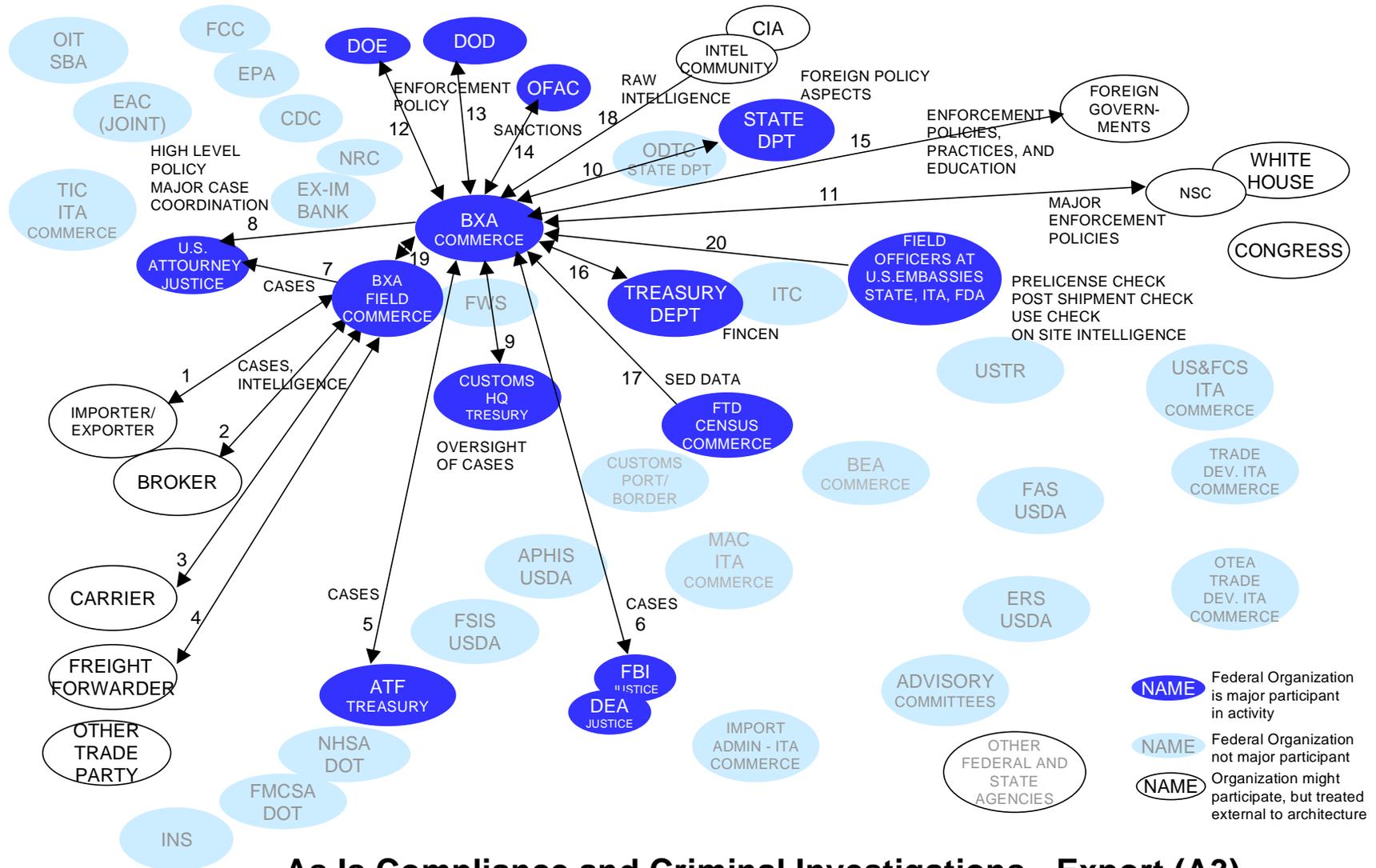


**As Is Transactions (A2)
Operational Node Connectivity Description**

**As Is Compliance and Criminal Investigations (A3)
Types of Information Communicated on Needlines
Operational Node Connectivity Description**

Needline Number and Nodes from ONCD	Types of Information Transferred
1 - BXA Field and Importer/Exporter	- Case information
2 - BXA Field and Broker	- Case information
3 - BXA-Field and Carrier	- Case information
4 - BXA Field and Freight Forwarder	- Case information
5 - BXA and ATF	- Case information
6 - BXA and FBI	- Case information
7 - BXA Field and U.S. Attorney	- Case information
8 - BXA and U.S. Attorney	- High level policy, major case information
9 - BXA and Customs	- Case oversight
10 - BXA and State	- Foreign policy aspects of investigation
11 - BXA and NSC	- Major enforcement policies
12 - BXA and DOE	- Enforcement policy
13 - BXA and DoD	- Enforcement policy
14 - BXA and OFAC	- Sanctions
15 - BXA and Foreign Governments	- Enforcement policy, practices, education
16 - BXA and Treasury	- FINCEN database information
17 - BXA and Census FTD	- SED data
18 - BXA and INTEL Community	- Raw intelligence
19 - BXA and BXA Field	- Case information
20 - BXA and Field Officers	- Pre shipment license checks, post shipment checks, usage checks, on site intelligence

Note: Operational nodes have been slightly rearranged to improve readability of diagram



**As Is Compliance and Criminal Investigations - Export (A3)
Operational Node Connectivity Description**

8159/2001

Note- Import Enforcement needs to be added

As Is Analysis and Policy (A4 and A5) Types of Information Communicated on Needlines Operational Node Connectivity Description

Needline Number and Nodes From ONCD	Types of Information Transferred
1 - Trade and Advisory committees	- Trade policy recommendations
2 - Other federal and state agencies	- Trade policy recommendations
3 - Advisory committees and USTR	- Trade policy recommendations
4 - ITC and Customs HQ	- HTS
5 - Customs HQ and Census FTD	- Raw import and export data
6 - Customs Border and Census FTD	- Raw import and export data
7 - Census FTD and OTEA ITA	- Trade statistics
8 - Census FTD and ERS USDA	- Trade statistics
9 - ERS and FAS	- Trade data analysis
10 - ERS and FAS	- Trade data analysis
11 - OTEA ITA and Trade Devp. ITA	- Trade data analysis
12 - FAS and Field Officers	- Situation analysis
13 - US&FCS and Field Officers	- Situation analysis
14 - State and Field Officers	- Situation analysis
15 -FAS to Congress	- Agricultural trade analysis reports and issues
16 - Trade Devp. ITA and Congress	- Industrial trade analysis reports and issues
17 -USTR and Congress	- Trade policy, trade agreements, issues
18 -ITC and Congress	- Trade analysis reports
19 - FAS and White House	- Agricultural trade issues and reports
20 - Trade Development ITA and White House	- Industrial trade issues and reports
21 - USTR and White House	- Trade policy and trade agreement issues
22 - ITC and White House	- Trade analysis reports

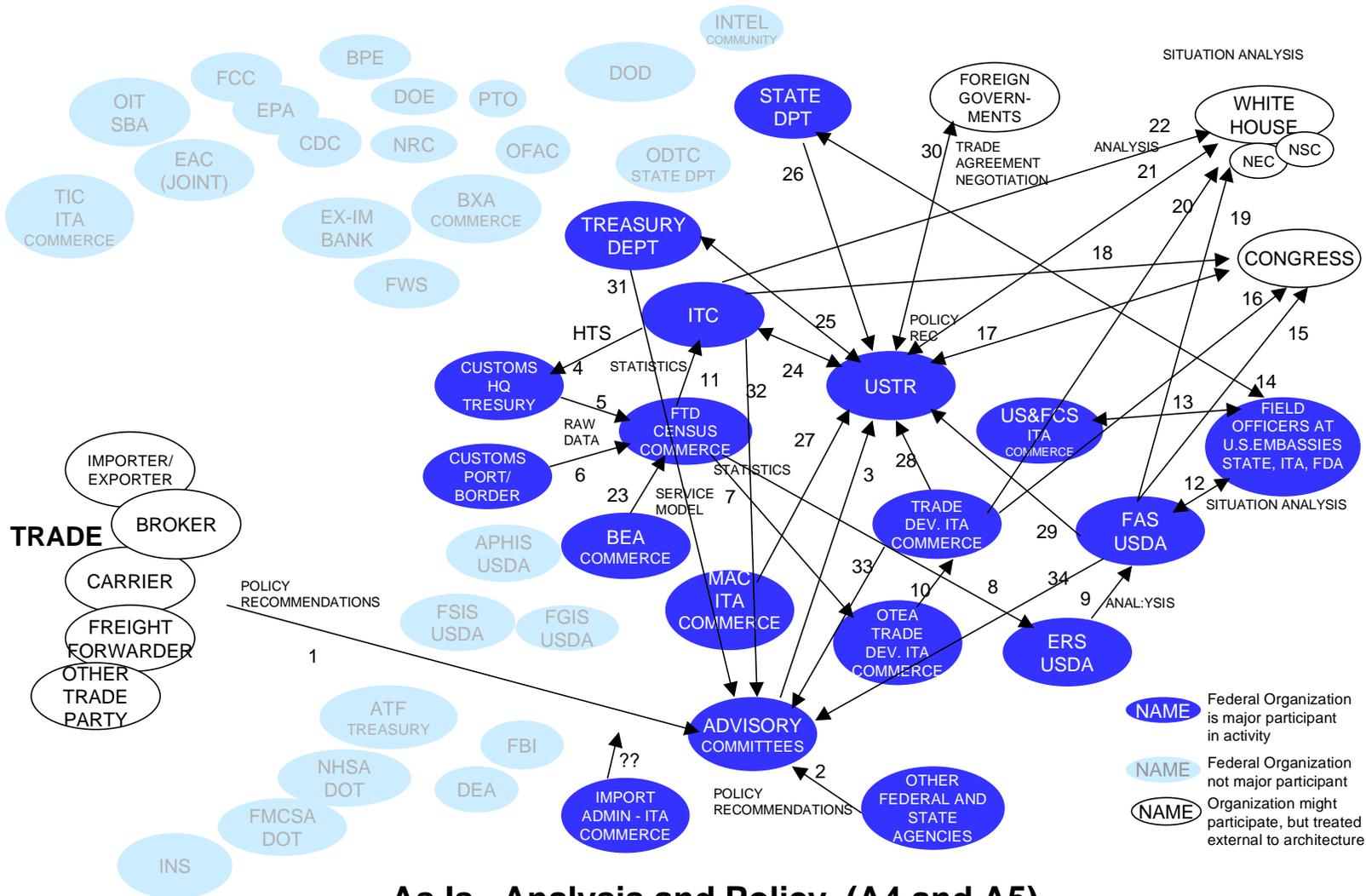
Note - Operational nodes have been slightly rearranged to make diagram more readable

As Is Analysis and Policy (A4 and A5)
Types of Information Communicated on Needlines (cont.)
Operational Node Connectivity Description

Needline Number and Nodes From ONCD	Types of Information Transferred
23 - BEA and Census FTD	- Services import and export statistics
24 - ITC and USTR	- Issue analysis, trade agreement negotiation support
25 - Treasury and USTR	- Draft policy, draft trade agreements, trade agreement negotiation support
26 - State and USTR	- Draft policy, draft trade agreements, trade agreement negotiation support
27- MAC ITA and USTR	- Market access issue resolution information, negotiation support
28 - Trade Devp. ITA and USTR	- Draft policy, draft trade agreement trade agreement negotiation
29 - FAS and USTR	- Draft policy, draft trade agreements, trade agreement negotiation support
30 - USTR and Foreign Governments	- Trade agreement negotiation, dispute negotiations
31 - Treasury and Advisory committees	- Trade policy groundwork
32 - ITC and Advisory committees	- Trade policy groundwork
33 - Trade Devp. ITA and Advisory committees	- Trade policy groundwork
34 - FAS and Advisory Committees	- Trade policy groundwork

Note - Operational nodes have been slightly rearranged to make diagram more readable

Note - Treasury, FAS, ITA and other organizations may interface directly with a foreign government on a trade agreement or negotiation issue. However, these contacts are not shown directly to simplify the diagram, but implied in the USTR connection with foreign governments. Similarly, many government organizations participate in the advisory committees, but the direct link is not shown in the diagram for all organization.



**As Is Analysis and Policy (A4 and A5)
Operational Node Connectivity Description**

5.0 Operational Information Exchange Matrix

Product Guidance and Characteristics

Information exchanges express the relationship across three basic entities (activities, operational nodes, and information flow) with a focus on specific aspects of the information flow. Information exchanges identify *who* exchanges *what* information with *whom*, *why* the information is necessary, and what degree of information exchange sophistication is required. The matrix describes relevant attributes of the exchange and keys the exchange to the producing and using activities and nodes and to the needline the exchange satisfies.

The specific attributes included are dependent on the objectives of the architecture effort, but may include the information media (e.g., data, voice, and video), quality (e.g., frequency, timeliness, and security), and quantity (e.g., volume and speed). Particular capabilities such as the security level of communications may also be captured for each exchange. The emphasis in this product is on the logical and operational characteristics of the information (e.g., what information is needed by whom, from whom, and when). For further information see *DoD Architecture Framework Version 1.0 DRAFT* Volume II: Product Descriptions.

For the pilots, the information exchange matrices have been developed in a spreadsheet rather than a document table to take advantage of the sorting power and printer scaling of the spreadsheet tool Excel.

Product Discussion

The following table shows the column headings that were used for this architecture. See the appendix for further information and attached spreadsheet for the full Operational Information Exchange Matrix.

Operational Information Exchange Matrix Column Headings

Identifier of Needline Supported	Identifier of Information Exchange	Nature of Transaction					Triggering Event	Information Source		Information Destination	
		Content	Size /Units	Media	Collaborative?	LI SI		Identifier of Producing Node	Identifier of Producing Activity	Identifier of Receiving Node	Identifier of Receiving Activity

Operational Information Exchange Matrix Column Headings (cont.)

Performance Requirements				Information Assurance Attributes		Threats	
Frequency	Timeliness	Throughput	Other	Privacy/Dissemination Controls	Authentication Required ?	Electronic (Hackers, etc.)	Other

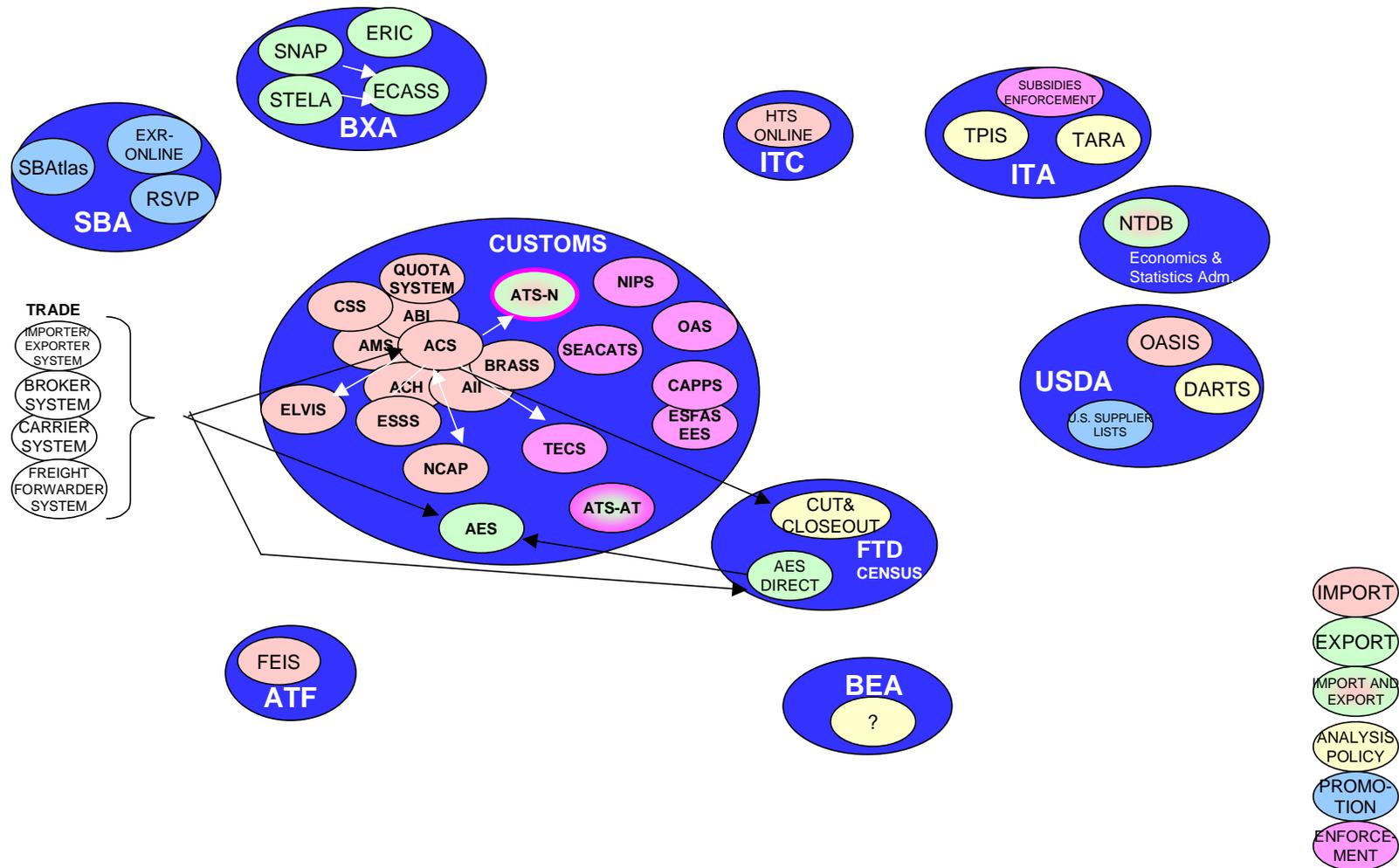
6.0 System Interface Description (SID)

Product Guidance or Characteristics

This diagram helps link together the owner's perspective and designer's perspective by depicting the assignments of specific systems and their interfaces to the nodes and needlines described in the Operational Node Connectivity Description (ONCD). The ONCD for a given architecture shows operational nodes (not always defined in physical terms) while the SID shows the corresponding system nodes and the systems resident at those nodes. If physical nodes are shown in the ONCD, then the operational nodes and the system nodes will be the same. For further information, see *DoD Architecture Framework Version 1.0 DRAFT* Volume II: Product Descriptions.

Product Discussion

The SID shows automated systems and their electronic interfaces identified during the course of research for this pilot. It is a very high level presentation and while it does include the systems identified in the activity model, there are probably additional systems involved that further investigation would reveal. Systems are identified at very few nodes compared to the number of nodes in the ONCD. The capabilities of the many organizations involved in licenses, permits, and certifications were not investigated on this initial effort. Much of the communication in policy development takes the form of reports, brief memos, and e-mail. Since no dedicated computer system past office tools is involved, these essential links do not show up on the high level SID. Analysis systems in all likelihood exist at BEA. As the architecture matures, the SID should include additional systems and interfaces.



**System Interface Description (SID)
Federal International Trade Pilot Architecture**

9/26/2001

7.0 Integrated Dictionary

Product Guidance or Characteristics

The integrated dictionary provides a central source for the definitions and metadata associated with the graphical products and other definitions that may be provided for convenience with any of the products. At a minimum, the dictionary is a glossary of definitions of terms used in the given architecture description. It makes the set of architecture products stand alone and allows it to be read and understood without reference to other documents. See *DoD Architecture Framework Version 1.0 DRAFT* Volume II: Product Descriptions.

Product Discussion

This dictionary is organized by product: Overview and Summary (Section 7.1), High-Level Operational Concept Description (Section 7.2), Activity Model (Section 7.3), ONCD (Section 7.4), Operational Information Exchange Matrix (Section 7.5), and SID (Section 7.6).

Within the activity model, the entries are organized by

- model in Section 7.3.1,
- activity in Section 7.3.2,
- ICOM inputs, outputs, and controls in Section 7.3.2,
- ICOM mechanisms which are organizations in Section 7.3.3,
- ICOM Mechanisms which are automated systems and other means in Section 7.3.4, and
- Other Terms in Section 7.3.5.

The dictionary has many terms whose definitions are incomplete at this writing.

7.1 Overview and Summary Entries

Model Attribute	Model Attribute Values
Federal International Trade Pilot Architecture Project	<p><i>Project Name:</i> Federal International Trade Pilot Architecture <i>Architect:</i> MITRE Corporation <i>Project Purpose:</i> Test the use of eight DoD Architecture Framework products for use with the Federal Enterprise Architecture Framework (FEAF) <i>Assumptions and Constraints:</i> <i>Project Dates:</i> March 5, 2001 to September 28, 2001</p>
Architecture	<p><i>Architecture Name:</i> Federal International Trade Pilot Architecture <i>Date Completed:</i> TBD</p>
Architecture View	<p><i>As-Planned, Planner and Owner Views of FEAF’s Data, Applications, and Technology Perspectives</i></p>
Architecture Product	<p><i>Name:</i> <i>Product Type:</i> Overview and Summary Information <i>Timeframe:</i> As Is <i>Hardcopy Location:</i> Contact George Brundage, Department of the Treasury <i>Softcopy Location:</i> TBD</p>
Architecture Product	<p><i>Name:</i> <i>Product Type:</i> High-Level Operational Concept Description <i>Timeframe:</i> As Is <i>Hardcopy Location:</i> Contact George Brundage, Department of the Treasury <i>Softcopy Location:</i> TBD</p>
Architecture Product	<p><i>Name:</i> <i>Product Type:</i> Activity Model <i>Timeframe:</i> As Is <i>Hardcopy Location:</i> Contact George Brundage, Department of the Treasury <i>Softcopy Location:</i> TBD</p>
Architecture Product	<p><i>Name:</i> <i>Product Type:</i> Operational Node Connectivity Diagram <i>Timeframe:</i> As Is <i>Hardcopy Location:</i> Contact George Brundage, Department of the Treasury <i>Softcopy Location:</i> TBD</p>
Architecture Product	<p><i>Name:</i></p>

	<p><i>Product Type:</i> Operational Information Exchange Matrix <i>Timeframe:</i> As Is <i>Hardcopy Location:</i> Contact George Brundage, Department of the Treasury <i>Softcopy Location:</i> TBD</p>
Architecture Product	<p><i>Name:</i> <i>Product Type:</i> System Interface Description <i>Timeframe:</i> As Is <i>Hardcopy Location:</i> Contact George Brundage, Department of the Treasury <i>Softcopy Location:</i> TBD</p>
Architecture Product	<p><i>Name:</i> <i>Product Type:</i> Integrated Dictionary <i>Timeframe:</i> As Is <i>Hardcopy Location:</i> Contact George Brundage, Department of the Treasury <i>Softcopy Location:</i> TBD</p>
Mission of Federal International Trade Responsibilities	<p><i>Mission:</i> Expand safe, legal, open international trade <i>Authorization:</i> Various laws and regulations</p>
Pilot Project Sponsor	<p><i>Sponsor:</i> Chief Information Officers (CIO) Council</p>
Pilot Project Developer	<p><i>Company:</i> MITRE Corporation <i>Address:</i> 1820 Dolley Madison Blvd. , McLean, VA 22102</p>
Rules, Criteria, or Conventions	<p><i>Document Containing Information:</i> See the Overview and Summary product</p>
Development Tool	<p><i>Tool Name:</i> Ptech FrameWork for Windows <i>Tool Vendor:</i> Ptech Inc. 160 Federal Street Boston, AM 02110 617 434-1170 <i>Tool Description:</i> TBD <i>Tool Output Format:</i> TBD</p>
Analysis	<p><i>Analysis Process:</i> Manual <i>Analysis Technique:</i> Observation <i>Date Performed:</i> September, 2001 <i>Products Used:</i></p>

	<i>Document Containing Analysis Results:</i> Federal Architecture Pilot Project Analysis and Lessons Learned
Analysis Tool	<i>Tool Name:</i> TBD <i>Tool Vendor:</i> <i>Tool Description:</i> <i>Tool Output Format:</i>
Recommendations	<i>Document Containing Recommendations:</i> Federal Architecture Pilot Project Analysis and Lessons Learned <i>Document Location:</i> TBD

7.2 High-Level Operational Concept Description Entries

Model Attribute	Model Attribute Values
	TBD

7.3 Activity Model Entries

7.3.1 Model

Model Attribute	Model Attribute Values
Name	Federal International Trade Pilot Architecture: Perform Federal International Trade Responsibilities Grants
Type	IDEF0 style model
Purpose	Document As-Is business context for federal organizations with international trade responsibilities. Model lays groundwork to establish a proposed Federal Enterprise Architecture Segment for international trade. The model has been developed as part of a pilot effort to test the effectiveness using DoD Architecture Framework products to document Federal Segment architectures.
Viewpoint	Federal agencies involved in international trade

7.3.2 Activities

Activity Name	Description
Administer Foreign Trade Zones (A64)	Foreign Trade Zones (FTZs) are areas treated as outside the U.S. Customs territory for tariff and entry purposes, but subject to other U.S. federal laws. FTZs allow importers to manufacture goods for export within the zone using foreign parts and not pay duty on the foreign parts, or then import the manufactured item, paying duty on only the parts imported, not waste. Importers can also use a FTZ to stage goods for rapid entry to the U.S. market without paying duty until entry, or to store goods prior to entry. The Commerce Department International Trade Administration (ITA) administers FTZs and approves requests to establish new FTZs.
Advocate for Company At Proposal Evaluation (A154)	The ITA Advocacy Office can participate in trade negotiations where a U.S. company is competing against foreign countries in a foreign sale to ensure the U.S. company is treated fairly during the negotiations.
Assist Company with its Export Deal (A15)	Export Assistance Centers (EACs) are jointly sponsored by ITA’s US&FCS, USDA, SBA, and EX-IM Bank. The EACs have 100 U.S. locations and 140 overseas locations where the public can obtain export assistance. The EAC works with an individual business to help them through an entire transaction. They help the business find leads, make contacts, locate appropriate loan guarantees, insurance, or even loans, and gain access to the many other government programs available to assist

	him.
<p>Compile and Analyze Trade Information (A4)</p>	<p>The ITC maintains the Harmonized Tariff Schedule (HTS) which specifies the tariff (duty and excise tax) rates for imports into the U.S. Census and BEA compile or derive monthly goods and services trade statistics. This information is combined with other data and analyzed by many agencies and private industry for trend analysis, economic impact studies, policy formulation, market research, and other purposes.</p>
<p>Compile Import and Export Statistics (A42)</p>	<p>Title 13, Chapter 9 of the U.S. Code directs the Secretary of Commerce to collect, compile, and publish foreign trade statistics on a monthly and cumulative basis. The Census Foreign Trade Division (FTD) compiles the information for import and export of goods. Import goods statistics are derived from the Entry Summary form (CF7501) containing the HTS code and valuation of the goods which the importer files with Customs within 10 days of entry. Simple Census edits of the entry summary data are applied through the Customs ABI interface when the data is filed. The entry summary data is extracted from the ACS each Sunday and electronically transmitted to Census. There are about 2.74 million transactions (summaries) per month. Census also keys in about 18,000 paper entry summaries at its Jeffersonville, Indiana processing site and receives an additional 36,400 entry summary documents from automated Foreign Trade Zones.</p> <p>Export data is collected either from the Shippers Export Declaration (SED) (Form 7525-V) or, for Canadian exports, from Canadian government import data. SEDs contain identification of products using Schedule B codes based on the international Harmonized System (HS) of tariff codes, or the US HTSA. The HTSA and Schedule B match each other at the 6-digit level. SEDs also contain the estimated value of the goods. The exporter or shipper completes the SED. About 78 percent of the 2 million monthly total are filed electronically through the joint Customs/Census Automated Export System (AES). Others are given to Customs as paper forms by the carrier at the border. Customs mails the forms to Census at Jeffersonville, Indiana for data entry. About 35% of export information comes from Canadian government import data (no SED is filed by U.S. exporters). Generally speaking, import statistics (from entry summaries) are better than export statistics (from SEDs) because money is involved in the transaction, so to improve reporting the U.S. and Canada have agreed to exchange import information. Canadian import data is used to determine exports to Canada. This arrangement is possible only with a nearby country with up-to-date computer records and capable of timely transfer of data. The Census Bureau has a weekly ‘cut process’ that edits import and export data as it is received from Customs. Its closeout process combines the cut process data into one set of data for the month, then combines the data into desired products. Before publication, the data is examined for reasonableness, how it fits with previous month’s data, etc. The six week lag time in publishing statistics can be broken into three segments. The importer/exporter has roughly two weeks to file his</p>

	<p>entry summary/SED. It takes about two weeks to transfer the data from Customs to Census and edit the data. It then takes about 1 1/2 weeks for Census internal examination and review once the data has been processed.</p> <p>Data for import and export of services is produced by the Commerce Dept. Bureau of Economic Analysis (BEA). The information is developed from surveys, freight information, and other data using modeling techniques. The BEA also produces balance of payment information.</p> <p>The goods and services information is jointly published at the same time once a month, normally about six weeks after the close of the month of the data. Press announcements are prepared, the Undersecretary of Commerce briefed, and the news media informed, usually beginning at 7:30 AM on the day of publication. The trade statistics are available by subscription service from several web sites, on CD-ROM from Census, and on other media for a cost recovery fee. There are over 3,000 customers of the trade statistic information, including many government agencies.</p>
<p>Conduct Compliance and Criminal Investigations (A3)</p>	<p>Customs inspects the import business procedures of companies to increase their compliance with U.S. laws and Customs regulations. This is called an ‘informed compliance’ approach because the importer is informed of his obligations. Similarly, BXA inspects the business procedures of exporters to ensure they meet export licensing requirements. Customs, the Drug Enforcement Agency (DEA), BXA, and other agencies undertake more aggressive enforcement investigations to combat smuggling and other illegal activities.</p>
<p>Conduct Import Border-Only Operations (A214)</p>	<p>Goods arriving at a U.S. border may go to a Foreign Trade Zone (FTZ) if they are not expected to enter the U.S. economy at that time or go to a warehouse before they can be inspected or have all the documentation on file. If a shipment has been identified as a high risk candidate, the shipment contains materials requiring agency examination, the vehicle looks unsafe, or at the border inspector’s discretion, the shipment may be inspected when it arrives at the border. Customs performs inspections comparing goods against the manifest and for illegal or unsafe imports. USDA conducts meat and other food inspections. The Food and Drug Administration (FDA) may inspect food, drugs, or cosmetics. The Environmental Protection Agency (EPA) may inspect chemicals. Department of Transportation (DOT) representatives inspect the vehicles for safety and verify operator’s licenses. INS or cross-designated Customs officials may process the crew. There are many notices of shipment arrival, inspection needs, and release that are not detailed in this model, but should be in a future version.</p>
<p>Conduct Inspections (A2143)</p>	<p>Carriers notify Customs of the expected arrival time and place of goods being imported. Based on the results of selectivity assessment or other factors, the goods may be inspected. Customs performs inspections comparing goods against the manifest and for illegal or unsafe imports. They make descriptive notes on the goods imported which may be used later for classification and valuation</p>

	<p>during liquidation. USDA’s Animal and Plant Health Inspection Service (APHIS) or Food Safety Inspection Service (FSIS) conducts meat, other foods, plant, and animal inspections. The Food and Drug Administration (FDA) may inspect food, drugs, or cosmetics. The Environmental Protection Agency (EPA) may inspect chemicals. Some goods may cross the U.S. border at one location, but may be moved ‘in-bond’ and inspected at another locations possibly because of security or perishability concerns if the container holding the goods is opened. The border inspector makes compliance assessments and determines whether to allow the goods to make entry. In addition to the goods, the vehicle and crew may also be inspected. DOT representatives including the National Highway Safety Administration (NHTSA) and Federal Motor Carriers Safety Administration (FMCSA) (operator’s license), Federal Aviation Administration (FAA), and Coast Guard may inspect the vehicles for safety and verify operator’s licenses. INS or cross-designated Customs officials may process the crew.</p> <p>Most goods coming to the border are allowed to enter and are released when proper documentation is filed and any necessary inspections passed. Goods might be held awaiting documentation or inspection approval, may be seized if found to be illegal, unsafe, or may be destroyed. Goods awaiting sale or destruction by Customs may be placed in a Customs supervised warehouse operated by a contractor. Drugs, firearms, munitions, and high value items go to a Customs operated warehouse. Unclaimed goods can be placed in a General Order warehouse</p>
<p>Conduct Necessary Export Examinations (A225)</p>	<p>The Customs inspector determines which export shipments to examine based on selectivity criteria and other judgement factors. Less than one percent of export shipments are inspected. Exports may also be examined for drawback purposes. No formal release documentation is provided for exports.</p>
<p>Determine Intensive Inspection Candidates (A2134)</p>	<p>Based on selectivity criteria developed by Customs, DEA, USDA, EPA, and other agencies, shipments that are more likely to contain illegal or unsafe items are identified based on the information in the entry documentation. The ACS Cargo Selectivity System (CSS) containing the rules is applied to import shipments and the border inspector has access to this target inspection shipment information to help determine which shipments to inspect. The Automated Targeting System-Narcotics (ATS-N) helps locate import shipments suspected of illegal narcotics activity.</p>
<p>Develop Policy and Negotiate Trade Agreements (A5)</p>	<p>Congress and the Executive Agencies establish trade policy. Policy formulation incorporates comments from private industry, state and local governments, and government agencies through an extensive advisory committee system. The USTR leads trade agreement negotiations and formulates positions assisted by ITA, FAS, ITC, and other agencies. Several agencies participate in trade agreement enforcement activities.</p>
<p>Develop Trade Policy (A51)</p>	<p>Trade policy defines U.S. trade priorities and U.S. goals leading to more open trade. Trade policy builds upon U.S. laws and is set by Congress and the President with support from the Trade Policy</p>

	<p>Committee (TPC). Trade policy development is an iterative process involving extensive coordination and review with Congress, federal government agencies, state and local governments, and private industry. The process incorporates comment from industry, the public, and government agencies. The USTR has the lead responsibility for developing and coordinating policy on international trade and trade-related investments. The Defense, Commerce, or Agricultural Departments may take responsibility for issues within their domain. The day-to-day work of policy formulation is done by the Trade Policy Staff Committee (TPSC), an all-government committee with members from many agencies. The USTR may assign responsibility for analyzing an issue to members of the appropriate subgroup within the interagency TPSC or to a special task force. For agricultural items, the analysis is usually done by the USDA FAS. For manufactured items, the analysis is often done through the Commerce Department's ITA with input from its Industry Sector Advisory Committees (ISACs) or Industry Functional Advisory Committees (IFACs). The ISACs are composed of private industry and some Non Government Agency (NGO) representatives. The IFACs address functional areas such as e-commerce. The ITA researches issues through its Trade Policy Information System (TPIS) containing Census-produced U.S. import and export statistics, IMF monetary data, and UN data on products by country. ITA also uses foreign tariff information. As part of researching an issue, ITA presents information to an ISAC to get industry priorities on a particular trade issue. ITA will then prepare a short memo for the USTR on the industry recommended position. Likewise, the USDA FAS works with a set of advisory committees - the Agriculture Policy Advisory Committee (APAC) and the Agriculture Technical Advisory Committees (ATACs) - to develop and assess possible policy positions on agriculture-relates issues. The advisory committees are part of a three-tiered advisory committee system topped by the Committee for Trade Policy and Negotiations (ACTPN) to gather industry input. The FAS analyzes impacts of proposed trade policy positions, and works with Other Government Agencies (OGAs), Congress, and the USTR in an iterative fashion to develop a final policy position. The International Trade Commission (ITC), an independent agency, may do economic impact analysis for a proposed policy issue at the request of the USTR or others. The USTR may also solicit public comment through the Federal Register. The USTR keeps state and local governments informed of and communicates with them on trade policy issues and developments. Conclusions and recommendations of the subgroup or task force are reviewed by the full TPSC, and, if the topic is a major policy question, by the Trade Policy Review Group (TPRG). Unresolved issues are escalated to the National Economic Council (NEC) Deputies Committee. Materials used to develop trade policy are sensitive and close held prior to publication.</p> <p>Trade policy is published in the annual Trade Policy Agenda and Annual Report of the President of the United States on Trade Agreements Program. The USTR also publishes the Super 301 report</p>
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	<p>which identifies U.S. trade expansion priorities, the Special 301 report which identifies countries not providing appropriate intellectual property protection for US items, the 1377 report which discusses telecommunications trade agreements, the Title VII report which discusses discriminatory (foreign) government trade practices, and the National Trade Estimate (NTE) Report on Foreign Trade Barriers which surveys significant foreign barriers to U.S. exports.</p>
<p>Encourage U.S. Companies to Export (A12)</p>	<p>As part of government responsibilities to manage the economy, several agencies strive to increase the number of U.S. companies involved in export. ITA makes grants to organizations such as local Chambers of Commerce to promote trade awareness, educating U.S. companies on the benefits and process of exporting to increase business. The district offices conduct thousands of seminars and workshops in conjunction with other organizations including state and local agencies.</p>
<p>Evaluate Trends, Impacts, and Trade Practices (A43)</p>	<p>Trade import and export statistics, legislation, policy, economic data, and many other pieces of information are analyzed for a variety of reasons by several government agencies. The ITC, as an independent agency, may review the impact of international trade on the competitiveness of U.S. industries for the President or Congress, may assess the impact of an import injury (Anti dumping or countervailing duty situation) requested by the President of Congress, or a proposed tariff reduction at the request of Congress . The USDA Economic Research Service (ERS) provides economic analysis for the USDA FAS and Congress including help identifying priorities, assessment of trade barriers, and assessment of the effects of trade agreements, all related to agricultural products. They also produce agricultural trade reports based on Census statistics. The Commerce Department ITA analyzes trade data to support trade agreement negotiations and assess other economic issues for industrial products.</p>
<p>Examine Visa and Quota Restrictions and Documents (A2132)</p>	<p>There are limits, or quotas, for some goods such as textiles on how much can be imported into the U.S. or how much may be imported from a particular country. Foreign governments may issue a visa to one of its exporters indicating that a particular shipment is within the quota limits for what that country can export to the U.S. The importer must present the visa to Customs before entry. Visas from Singapore are recorded in the Electronic Visa Information System (ELVIS). The ACS Quota System controls quota levels of imported goods.</p>
<p>Increase Market Access (A154)</p>	<p>If an exporter experiences problems with his deal because of what he sees as a non-tariff trade barrier, usually a regulation or standard issue denying the exporter access to the market with his product, he can approach the ITA Office of Market Access and Compliance (MAC) to work with the foreign country to address the barrier. ITA approaches foreign government officials or industry representatives to attempt to remove the barrier. These market access problems can also be presented to MAC by an industry segment or association instead of by an individual exporter.</p>

<p>Inspect Informed Compliance Procedures (A31)</p>	<p>To improve use of limited resources for inspections, Customs and BXA use an ‘informed compliance’ approach. Customs works with major frequent trade importers to inform them of compliance requirements and inspect their procedures. If the importer follows its approved import procedures, border transactions for that importer can be greatly simplified, saving both the importer and Customs time and labor costs at the border. Likewise, BXA conducts approximately 1000 inspections per year of exporters and freight forwarders for procedural compliance with export licensing requirements. Compliance inspectors deliver a report to the company on their findings and, if administrative fines or criminal penalties are appropriate, send the inspection results to investigative agents who may impose sanctions (fines or criminal prosecutions).</p>
<p>License, Inspect, and Supervise Warehouses (A63)</p>	<p>Customs inspects and licenses warehouses where goods presented for entry are stored by an importer until they are released, where unclaimed goods are stored (a General Order warehouse), or where seized goods are stored. Customs operates warehouses where seized drugs, munitions, firearms, high value goods, or other special items are stored awaiting disposition.</p>
<p>License Surety Companies (A61)</p>	<p>Surety companies must be licensed to provide bonds for payment of tariffs and fees due the U.S. Government. Licensing of surety companies for these and other payments due the government is done by the Treasury Department’s Financial Management Service (FMS).</p>
<p>Manage Brokers’ Licenses and Permits (A62)</p>	<p>To obtain a broker’s license, an individual must pass the U.S. Customs Brokers License Examination, which is administered twice a year. The license application is filed with the Port Director at the port where the applicant wishes to conduct business. Customs conducts a background investigation, the results of which, along with all other pertinent information and the Port Director’s recommendation, are forwarded to Customs Headquarters in Washington, D.C. At Customs Headquarters, a final determination of the eligibility of the candidate is made and the license is issued. In addition, each licensed broker must have a permit to operate for each Customs District in which he/she conducts Customs business. With the move toward electronic filing and remote entry filing, there is a trend toward a national permit. Each licensed broker is required to submit a status report and pay a \$100 fee every 3 years to remain active. Customs may revoke a broker’s license.</p>
<p>Manage Export Licenses (A221)</p>	<p>The Commerce Department Bureau of Export Administration (BXA) regulates and controls the export of most types of products as required by the Export Administration Regulations (EAR). The regulations control the movement of U.S. dual-use goods, software, and technology. Dual-use products are those that are not specifically designed for military use, but may be used for such applications. Only about four percent of exported goods require a license. License requirements depend on an item’s technical characteristics, the destination, the end-use, the end-user, and other activities of the end-user. The EAR Commerce Control List (CCL) identifies individual items by an</p>

	<p>Export Control Classification Number (ECCN). BXA will supply the ECCN on written request, through its Electronic Request for Item Classification (ERIC), or its web based Simplified Application Network Process (SNAP). Before submitting a license application, the applicant is expected to verify that the recipient is not on the BXA Table of Denial Orders, also known as the Denied Persons List and the Treasury Department’s Office of Foreign Assets Controls’ List of Specially Designated Nationals. BXA receives export license applications (form 748P), on paper, through its web-based SNAP on line export application capability, or its Export License and Application Information Network (ELAIN) System. ERIC is the electronic equivalent of form 748P. BXA provides information on the status of a license application or classification request through its System for Tracking Export License Applications (STELA). BXA mails the approved license to the applicant. BXA maintains all license information in its Export Control Automated Support System (ECASS). The State Department Office of Defense Trade Controls (ODTC) licenses the export of defense articles and services, while the Nuclear Regulatory Commission (NRC) licenses nuclear materials and equipment. The Department of Energy (DOE) licenses nuclear technology, natural gas, and electricity. BXA coordinates with the OFAC and DOE on licenses. The Patent and Trademark Office (PTO) administers regulations for export of unclassified knowledge in the form of a patent application. USDA controls the export of livestock, dairy, and poultry items.</p>
<p>Manage Export Transactions (A22)</p>	<p>No tariffs are levied by the U.S. on goods exported from the U.S. and no money is refunded as in a Value Added Tax (VAT). The Shipper’s Export Declaration (SED), the export documentation which declares the value of goods being exported, was originally for statistical purposes, but now is being used to identify inspection candidates. It is simpler and processed differently than import entry documentation. Some exports, such as military or nuclear items, do require licenses. Some exports may be merely returned imported goods never used in the U.S. economy that entitle the exporter to refund of duties paid at import, called drawback.</p>
<p>Manage Import Licenses, Permits, and Certificates of Compliance</p>	<p>Many government agencies are involved in the implementation and enforcement of standards and laws affecting goods imported into the U.S. Some products such as cheese or arms require licenses; others, like milk or some plant products, require permits; still others require onsite inspections, foreign certificates of inspections, safety or energy compliance certificates, or other approval documentation. The importer must assure Customs that these documents or approvals have been obtained when presenting the goods for entry and may be required to present them on demand. Licenses could apply to a specific transaction or be good for a period of time. There is no consistent process for Customs to verify licenses or quantities associated with licenses with the issuing agency. Some agencies fax license information to Customs.</p>

<p>Manage Import Transactions (A21)</p>	<p>Federal responsibilities for import transactions include ensuring that goods brought into the U.S are safe, meet federal regulations and standards, and comply with U.S. quota requirements. Responsibilities also include collecting \$22.1 billion in tariffs on goods imported into the U.S. To ensure safety, goods may require permits, licenses, standards compliance certificates, and/or inspections. The commercial import transaction requires filing entry documentation used in part to identify target inspections candidates and an entry summary used in valuation and tariff assessment. In the past, an import transaction involved a single shipment on a single vehicle making a single border crossing. The supporting documentation and payment was handled per shipment. The concept of a transaction is gradually changing to include a sale shipped in several installments or all shipments to one particular importer to reduce the accounting and reporting burden. This concept leads to account-based payments rather than single transaction payments.</p>
<p>Manage International Trade Transactions (A2)</p>	<p>Import and export transactions involve the trade of goods or services across borders. These transactions are regulated and subject to inspection by law to ensure that all imported goods are safe and legal and that all exported goods do not violate U.S. national security, foreign policy, non-proliferation, or other concerns. Much of the safeguarding is done through licensing, permit, and border inspection activities. Customs collects tariffs and fees on many imports. Import documentation is required to collect tariffs; import and export documentation is required to conduct screening to identify shipment inspection candidates, enforce laws, and to generate trade statistics.</p>
<p>Manage Trade Infrastructure (A6)</p>	<p>Importing or exporting goods and services requires a supporting infrastructure of brokers, transportation, warehouse, Foreign Trade Zone (FTZ), and other facilities and services to support the transaction. When parties are grieved by government or other party trade-related actions, they can protest the actions to appropriate officials and courts.</p>
<p>Negotiate Trade Agreements (A52)</p>	<p>The USTR has the primary responsibility to negotiate international trade agreements. U.S. trade laws are the building blocks for trade negotiations. Negotiating positions often result from trade policy. The traditional approach to developing a negotiation position is through the interagency TPSC and consultations with Congress and the public in a process very similar to that used to develop trade policy. ISACs provide input for non agricultural sectors. USDA advisory committees provide input for agriculture related issues. The USTR also seeks ITC analysis, Congressional comment, and public comment through Federal Register notices. The emerging negotiating positions are confidential information and closely held while being developed. The USTR regularly advises Congress during the course of negotiation. The U.S. can negotiate several types of agreements. In a unilateral agreement, common with African developing nations, the U.S decides what benefits to extend to that country. Bilateral agreements involve two-sided exchange</p>

	<p>of trade benefits. Multilateral agreements may involve a region of the world or some other grouping of several countries with mutual trade benefits and an international forum such as the World Trade Organization (WTO). Negotiations take place between the USTR and the foreign government’s representative, often a ministry of trade, economics, or foreign affairs. If Congress has granted the President Trade Promotion Authority as is currently being sought, called fast track authority when granted in the past, executive agencies can negotiate agreements with foreign governments, then once completed, present to Congress for an up or down vote on the agreement, without amendments.</p>
<p>Perform Federal International Trade Responsibilities (A0)</p>	<p>The purpose of the Perform Federal International Trade Responsibilities Activity Model is to describe the activities, information exchanges, and federal government participants in international trade, and to provide a basis for the other work products in the Federal International Trade Pilot Architecture. The viewpoint taken in this model is that of the federal agencies involved in international trade. International trade includes the sale and subsequent transfer of goods and services across U.S. borders, but this model emphasizes goods during the transaction activities. The minimum value of the transactions is \$2,000 for imports and \$2,500 for exports.</p> <p>Federal responsibilities include trade promotion, ensuring that imported goods are safe and legal thereby protecting the security of U.S. citizens, ensuring that exported goods are legal and do not violate U.S. national security, political, or non-proliferation concerns, collecting revenue on imported goods, enforcing laws and regulations concerning import and export, analyzing trade statistics to support economic decisions and marketing needs, developing trade policy, and negotiating foreign trade agreements. Federal agencies must also provide the infrastructure necessary to support these activities.</p> <p>One estimate showed over 104 government organizations (agencies or offices) involved in international trade. The main agencies or offices are the Commerce Department’s International Trade Administration (ITA), Bureau of Export Administration (BXA), and Foreign Trade Division (FTD) within Bureau of the Census, the United States Department of Agriculture (USDA) Foreign Agricultural Service (FAS), the Small Business Administration (SBA) Office of International Trade (OIT), the U.S. International Trade Commission (ITC), the Export-Import Bank (EX-IM Bank), the Treasury Department’s U.S. Customs Service (Customs), and the U.S. Trade Representative (USTR). Several other agencies are involved in inspections and licensing. The government serves importers, exporters, brokers, carriers, and freight forwarders, to name a few, but the detail of their activities is outside the model except as sources and recipients of government information and services.</p>

	International trade is governed by several international as well as U.S. laws, U.S. regulations, and U.S. policy.
Perform Risk Assessment (A2233)	The information in the electronically filed SED is used by Customs to identify high risk shipments. The AES applies national and local port specific criteria to identify target inspection candidates. Customs inspectors have access to this information through on-site terminals to make hold, seize, or other release decisions.
Place Goods In Bonded Warehouse (A2142)	Goods arriving at the border may not yet have all the necessary entry documentation filed for them, the quota for the period is filled and the importer is awaiting the opening of a new quota period, or the goods require inspection, but an inspector is not available. These goods can be placed in a Customs supervised or approved bonded warehouse until the documentation or bond is in place, a new quota period opens, or inspections are carried out.
Place Goods in Foreign Trade Zone (A2141)	Some goods brought to the border are not intended to enter the U.S. commerce for Customs tariff purposes, but are subject to other U.S. laws. Traders may bring goods into an FTZ where they can be part of a manufacturing operation, then exported directly from the FTZ with no tariff on the foreign goods which did not ‘enter’ the U.S. economy. Traders may place goods in a FTZ for manufacturing or repackaging, then import the finished product into the U.S., avoiding tariffs on waste or packaging. Importers may also place goods in an FTZ to stage them for rapid release, but avoid tariffs until they are actually imported.
Prevent and Investigate Illegal Export Shipments (A32)	The Commerce Department BXA Office of Export Enforcement investigates suspected violations of U.S. export control laws. Raw intelligence for cases might come to a field agent as a tip from a company employee, intelligence community reports, or analysis of SEDs. Field agents investigate the case and can prosecute the case in the Justice Department’s U.S. Attorney’s court of administrative law judges. The U.S. can penalize foreign individuals and companies through fines, seizing assets, and placing them on the Denied Persons List which effectively shuts down the company.
Prevent and Investigate Illegal Import Shipments and Fraud (A33)	Customs, in cooperation with other agencies, develops selectivity criteria to identify target shipments to be inspected at the border. The Customs Automated Port Profile System (CAPPS) provides compliance reports for commercial shipments entering the U.S. to assess the effectiveness of cargo examination targeting and develop new selectivity criteria. The ACS Numerical Integrated Profiling System (NIPS) allows the user to identify trends in ACS data which might indicate illegal activity. The Entry Summary Findings Analysis System (ESFAS) is used with CAPPS to collect compliance rates and helps identify risk areas. Customs and other agencies conduct criminal investigations and prosecute cases. Raw intelligence for

	cases might come to a field agent as a tip from a company employee, intelligence community reports, or analysis of entry documentation. Field agents investigate the case and can prosecute if appropriate. Some import violations are prosecuted in a Customs District Court.
Process Authorized Bonds (A212)	Customs must have a bond on file for commercial import shipments to guarantee payment of tariffs and fees within 10 working days after the goods are released by Customs. The importer/broker secures the bond from a surety company and provides information about the bond to Customs. Bonds can be continuous bonds or single entry bonds. Continuous bonds are associated with a broker or importer and then applied to multiple shipments of that broker or importer and are continuously on file. Single entry bonds apply to a single shipment only and are normally filed with the entry documentation.
Process Drawback Payments (A226)	Drawback is the refund of 99 percent of the tariffs collected on imported goods when they are re-exported or destroyed without entering the U.S. economy. One percent is kept for Customs expenses. A manufacturer or exporter sends a drawback proposal letter to the Customs Port Director and subsequently receives a letter of approval from Customs. Alternatively, he can file a Notice of Prior Waiver application with Customs. When the exporter is ready to export the imported goods, he files a Notice of Intent (Form 7553) and presents the goods at a Customs Drawback Center. Customs may choose to inspect the goods to be destroyed or returned. Then the exporter can file a drawback entry claim Form 7551 with Customs. Customs processes the claim and issues a payment authorization to FMS. Today, this is a paper intensive process.
Process Entry Documentation (A213)	Entry of merchandise a two step process: 1. Filing documents, called entry documentation, that determine whether goods can be released from Customs custody, and 2. Filing a document called the entry summary that contains information for duty assessment and statistical purposes. Entry documentation normally must be filed within 5 working days of shipment arrival at the port of entry. (The time limit might vary for land, sea, or rail shipments.) Ninety-eight (98) percent of entry documentation is received through the Customs Automated Broker Interface (ABI) into the Automated Commercial System (ACS). Entry documents show the importer/buyer, seller, country of origin, that goods have the right to make entry, that proper licenses or permits have been obtained if necessary, that a bond guaranteeing payment of the tariff has been posted, and normally have an estimate of value. Some goods are subject to quota restrictions which must be reviewed. Based on the description of the goods and other information about the shipment and predetermined selectivity rules indicating shipments are at high risk for containing illegal or unsafe goods, target inspection candidates are identified. This information is available to the border inspector where the goods will enter the U.S.
Process Entry Summaries (A2151)	An importer or his authorized agent must file an entry summary, CF 7501, an invoice, and other documentation if required, and the estimated tariff and fee payment with Customs. The entry summary

	includes the import number, importer, bond number, port, goods description, quantity, value, tariff rate, the duty due for goods, and other information. Normally the documents are filed electronically through the Customs ABI, but papers can be filed at the port customs house. Additional information correcting a filed entry summary can be made with a Supplemental Information Letter (SIL). The entry summary is later used by Census to develop statistics on imports.
Process Payment Monies (A2152)	Payments for tariffs, including duties and excise taxes, and Customs usage fees can be made in cash, by check, or electronically through the Automated Clearing House (ACH) where importers authorize Customs to remove the funds from their designated account. (This is not the same as an Electronic Funds Transfer where the importer would send the money to Customs.) When a payment is received, it is referenced to the payment due on the entry summary. Eventually the money is transferred to the Federal Reserve.
Process Protests and Adjudicate Disputes (A66)	Parties which feel they were treated incorrectly by the government, for example a broker feeling her license has been unfairly revoked, an importer feeling his goods have been improperly classified requiring a higher tariff rate, or an exporter believing she has been denied a license to export a particular item incorrectly, can protest the government decision. First the agency, such as Customs, may examine the case based on information filed by the protestor. If the protestor is not satisfied with the decision, he can appeal it to a review authority, such as the Treasury Department’s Office of Enforcement. Parties can also bring law suits against other parties involved in Trade. These cases could be handled by several courts, including the ITC.
Process SED (A223)	The Shipper’s Export Declaration (SED) (Form 7525-V) includes the exporter, consignee, Schedule B identification number (or, for most products, the Harmonized Tariff Schedule Annotated (HTSA) item numbers), port and date of export or HTSA item numbers, destination country, and estimated value of goods. It is used by Census to compute export trade statistics and by Customs to identify inspection candidates. The exporter can enter the SED electronically through his PC using the Census Automated Export System (AES) Direct mechanism, or with more sophisticated interfaces, through the AES system located at Customs. Seventy-eight percent of all export filings are now filed electronically. Alternatively, the carrier can hand a paper SED to Customs at the border, then Customs mails the form to a Census processing center in Jeffersonville, Indiana for data entry. The SED contains the export authorization number (license number) for exported goods when required and Customs verifies licenses where possible. No SED is required for Canadian exports (35% of U.S. exports) because Canadian import statistics are used in place of the SED.
Process Tariff and Fee Payments (A215)	If the imported goods are for consumption, importers must file an entry summary estimating the tariff and fees due and the tariff payment within 10 working days of the time the goods were released by

	<p>Customs and entered the U.S. economy. These could be filed at the same time the entry documentation is filed. Importers can authorize Customs to collect tariff and fee payments electronically through the ACS Automated Clearing House (ACH) System where Customs removes the funds from the designated account. (This is not the same as an Electronic Funds Transfer where the importer would send the money to Customs.) The importer can also pay by cash or check. Customs reconciles the import transaction documentation with the payment and liquidates the transaction. The payments are eventually transferred into government accounts at the Federal Reserve Bank of New York. Importers can protest the tariff classification or valuation made by Customs if they disagree with the assessment.</p>
<p>Promote Export Trade (A1)</p>	<p>Trade promotion increases the export of U.S. goods and services. The ITA , FAS, State Department, and other agencies, all under the coordination of the Trade Promotion Coordinating Committee (TPCC), promote U.S. goods abroad and encourage U.S. companies to export. They provide basic information on the export process and government programs to increase exports. They report insights on foreign business environments to help exporters locate markets and can assist a business with its individual transaction through jointly sponsored Export Assistance Centers (EACs), including help with contacts, marketing, financing, and market access.</p>
<p>Promote U.S. Goods Abroad (A14)</p>	<p>Once an exporter has determined the foreign market(s) she wishes to enter, she may take advantage of ITA, FAS, or other government agency (OGA) (e.g., HUD and DOE) sponsored trade shows and trade missions in foreign countries. The federal government also makes grants to state or private marketing efforts to promote U.S. goods abroad. The State Department, FAS, and ITA personnel stationed abroad promote U.S. goods.</p>
<p>Provide Certifications (A222)</p>	<p>Several U.S. agencies such as the FDA, USDA, and the National Oceanic and Atmospheric Administration (NOAA) provide inspections and certifications of goods exported from the U.S. that will be required from the exporter by foreign governments when the goods are imported to their country. The National Center for Standards and Certification (NCSCI) at NIST provides information on foreign standards and certifications</p>
<p>Provide Foreign Market Information (A13)</p>	<p>The FAS, State Department, and ITA’s U.S. and Foreign Commercial Service (US&FCS) have personnel stationed abroad that observe country market conditions, industry activity, and individual companies first hand and report on the situation. This information is fed back to other offices, summarized or analyzed, and made available to the public as country or regional reports. Some reports are organized by sector as well as market. The ITA US&FAC produces Country Commercial Guides annually. The FAS TAPO provides Foreign Market Information Reports. The information is published through the TIC, NTDB, on web sites, and other sources, sometimes on a cost recovery basis. This information can help a potential exporter locate a market for his goods. The TIC also</p>

	<p>provides foreign tariff and regulatory information to call-in customers on request and counseling on foreign business practices. The TIC extracts the tariff and regulatory information from books, foreign web sites, and other sources. The ITC provides non-confidential U.S. export (and import) information by product, market, etc. on its DataWeb site without a fee. STAT-USA, part of the Economics and Statistics Administration of the Department of Commerce, maintains the National Trade Database (NTDB).</p>
<p>Provide Leads and Contacts (A151)</p>	<p>Government officials can direct the exporter to lists of contacts or set up appointments with prospective customers and foreign government officials as part of trade missions. They can also arrange gold key video conferencing with prospective customers. Contacts are available through a FAS Trade Leads Fax Polling System, internet home pages, the Commerce Department Electronic Bulletin Board, and other sources. The U.S. Agency for International Development (USAID) provides leads and procurement information through its Global Technology Network and AID Procurement Information Bulletin.</p>
<p>Provide Loan Guarantees, Loan Insurance, or Loans (A153)</p>	<p>Several federal agencies including the Export-Import Bank, FAS, ITA, and SBA can assist the exporter and sometimes the importer with working capital and loan guarantees, in some cases loans, and export credit insurance to solidify the financials of a trade deal. The Ex-IM Bank provides working capital guarantees, export credit insurance, foreign buyer loan guarantees, and loans to foreign buyers. The SBA has its Export Working Capital Program (EWCP) which helps small businesses obtain working capital to complete export sales, and International Trade Loan Program which provides long and short term financing to small businesses involved in exporting as well as to businesses adversely affected by import competition (1999 source.) The SBA 504 Loan Program can provide long-term, fixed-asset financing to exporters through certified developers. In 1999, the SBA made 1,097 export related loans totaling \$390 million. The SBA OIT EXR-ONLINE tool can help assess the financial risk of a loan. REVIEWER - Verify ITA involvement in Loans</p>
<p>Provide Harmonized Tariff Schedule (A41)</p>	<p>U.S. tariff rates are established by Congress. Tariffs include duties and excise taxes. The U.S. International Trade Commission (USITC) is responsible for publishing those rates in the Harmonized Tariff Schedule (HTS) of the United States. The HTS is a set of about 12,000 - 8 digit codes which identify categories of goods for tariff determination purposes, a description of the goods associated with each code, and the tariff for importing those goods. The HTS is based on the 6 digit international Harmonized System (HS) and can be refined to 10 digits for statistical purposes. USITC heads the Committee for Statistical Annotation of the Tariff Schedule, sometimes called the 484 Committee, with representatives from Treasury and Commerce, that makes statistical breakouts of the duty categories. The categories change about 10-12 times per year. USITC provides the HTS to Customs and other government agencies. They also make the HTS available to the public on their web site.</p>

<p>Provide Public Walk-in, Call-in, Web, and Classroom Trade Information (A11)</p>	<p>The ITA Office of Trade Development operates the Trade Information Center (TIC) in the USA Trade Center in Washington, D.C. as the first stop for information for the exporter. TIC is a call-in and walk-in center that provides basic information on a wide range of topics and advises the exporter on which of 17 government agencies to contact for detailed assistance for his situation. Trade information can include foreign tariff rates, dates of trade shows or meetings, government programs available to the exporter, Customs regulations, etc. The TIC has 85,000 counseling contacts through calls, emails, and trade seminars, and over 700,000 hits on its web site per year. The ITA conducts regular seminars on exporting throughout the country. The Small Business Administration (SBA) Office of International Trade (OIT) provides call-in service to small businesses. The FAS Trade Assistance and Promotion Office (TAPO) is a first point of contact for agricultural products. There are several trade-related government web sites including USATRADE.gov (ITA Commercial Service), STATUSA.gov (Commerce Economics and Statistics Administration - includes NTDB), TRADENET.gov (Interagency including SBA, ITA, USAID, FAS, Census, and OGA), EXPORT.gov (ITA), and BUYUSA.gov (Commerce and IBM).</p>
<p>Provide Tailored Market or Company Reports or Statistics (A152)</p>	<p>For a fee, the ITA US&FCS provides a U.S. business with specific requested information on a foreign market, company, potential buyer, or distributor when the information is not contained in the country guide available to the public. The Census, also for a fee, can provide selected statistical information such as the exports of a particular type to a particular country.</p>
<p>Provide Transportation Infrastructure (A65)</p>	<p>Highway, rail, air, and ship transportation infrastructures are necessary to support the delivery of goods to and removal of goods from ports. The Department of Transportation oversees the transportation infrastructure. The detail of this support is outside the scope of the model.</p>
<p>Provide Harmonized Tariff Schedule (A41)</p>	<p>U.S. tariff rates are established by Congress. Tariffs include duties and excise taxes. The U.S. International Trade Commission (USITC) is responsible for publishing those rates in the Harmonized Tariff Schedule (HTS) of the United States. The HTS is a set of about 12,000 - 8 digit codes which identify categories of goods for tariff determination purposes, a description of the goods associated with each code, and the tariff for importing those goods. The HTS is based on the 6 digit international Harmonized System (HS) and can be refined to 10 digits for statistical purposes. USITC heads the Committee for Statistical Annotation of the Tariff Schedule, sometimes called the 484 Committee, with representatives from Treasury and Commerce, that makes statistical breakouts of the duty categories. The categories change about 10-12 times per year. USITC provides the HTS to Customs and other government agencies. They also make the HTS available to the public on their web site.</p>
<p>Pursue Trade Agreement Enforcement (A53)</p>	<p>Reports of a foreign country’s noncompliance with trade agreements can come from many sources including U.S. embassy personnel (State, Agriculture, Commerce, etc.) observing the situation in a</p>

	<p>foreign country; private industry reports on a country exceeding its WTO bounded tariff rate, providing subsidies, or other actions; or monitoring by the Commerce Department ITA. The ITA Office of Import Administration (IA) monitors Anti Dumping and Countervailing Duty (AD/CVD) issues and tracks subsidies in their Subsidies Enforcement Database. ITA also maintains the Trade and Related Agreements (TARA) database which contains the text of trade agreements and is used by lawyers. Once a suspected violation has been investigated, the USTR may confer with legal advisors, Commerce, USDA, and other members of an interagency team on how to proceed. Development of a position may involve development of a retaliation list which identifies possible tariff increases that could be charged on items imported from the offending country. Potential retaliation items are published in the Federal Register and go through a public review and comment period before any action is taken. In the case of a WTO member violation, the USTR, USDA, Commerce Dept., or other appropriate U.S. official can approach the foreign country’s foreign minister, agriculture ministry, etc. to discuss the evidence of a trade violation. If this discussion does not resolve the issue and result in compliance, the U.S. can escalate it, reporting it to an appropriate committee, e.g., the Agriculture Committee, of the World Trade Organization (WTO). The country could present its own data to that committee indicating there is no trade violation, or the meeting could result in a settlement. If the matter cannot be resolved in the specific committee, it can be escalated to the WTO dispute settlement process. The U.S. makes a formal complaint, a panel is convened, and lawyers present their case. The WTO then makes a ruling. Compliance with trade agreements results in more competitive trade.</p>
<p>Reconcile and Liquidate Transaction Entries (A2153)</p>	<p>From the millions of entry summary documents filed, selectivity criteria are applied with the ACS Entry Summary Selectivity System (ESSS) to select those which will be reviewed manually. A Customs Import Specialist reviews the documentation for the selected transactions to verify the valuation and tariff classification. He may use notes describing the items provided by the border inspector. The specialist may request additional information from the importer if needed. Most entries are liquidated, or closed, shortly after entry. Sometimes, not all information can be determined by the time the entry summary is filed. As a prototype service, participant importers can flag an item on an entry summary as indeterminable for one of four reasons: value, HTS heading 9802, classification, or eligibility under NAFTA. The importer then has 15 months (12 months if NAFTA issue) to file additional reconciliation information to reconcile the issue. These reconciliation entries are filed through the ABI, with supporting spreadsheets looking like the importer’s invoice provided on floppy diskettes. Customs reviews the reconciliation information, determines the final tariff due and requires additional payment or authorizes a refund. The review liquidates the entry for the item with indeterminable information at the time the entry summary was filed. Once all issues are resolved and all monies paid, a liquidation notice is sent to the importer and posted in the Customs house at the port</p>

	of entry to complete the transaction. Several government agencies such as USDA and the IRS receive reports on the transactions.
Verify Bond Has Been Posted (A2131)	If the entry documentation indicates the bond for the shipment is a continuous bond or has been previously filed, Customs examines a file of bonds on record to verify that the bond is indeed posted. Otherwise, the bond information included with the entry documentation is verified.
Verify Licenses and Permits (A2133)	The entry documentation contains the license or permit identification numbers when these are required for particular types of goods. Customs might verify the permits or licenses with the issuing agency, but no formal consistent or automated government wide mechanism exists to do this at this time. Some agencies fax license information to Customs.

7.3.3 ICOM Inputs, Outputs, and Controls

Input or Output Name	Description
484 Committee Recommendations	<i>Description:</i> Recommendations to change the statistical breakout of the HTS categories made by the 484 Committee, also called the Committee for Statistical Annotation of the Tariff Schedule, headed by USITC with Treasury and Commerce <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Provide Harmonized Tariff Schedule
Adequate Transportation Facilities	<i>Description:</i> Transportation facilities needed to support international trade with adequate capacity to avoid bottlenecks <i>Type:</i> Output <i>Source:</i> Provide Transportation Infrastructure <i>Destination:</i> External
Advisory Committee Input	<i>Description:</i> Policy recommendations from any of the trade policy advisory committees <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Develop Trade Policy
Antidumping Investigations	<i>Description:</i> TBD <i>Type:</i> Input <i>Source:</i> TBD <i>Destination:</i> Process Protests and Adjudicate Disputes

<p>Approved Surety Company License</p>	<p><i>Description:</i> License granted by FMS to allow company to author bonds guaranteeing payment to the U.S. Government <i>Type:</i> Output <i>Source:</i> License Surety Companies <i>Destination:</i> External</p>
<p>Basic Information Request</p>	<p><i>Description:</i> Request from potential exporter for basic information or explanations on export process <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Provide Public Walk-In, Call-In, Web, and Classroom Trade Information</p>
<p>Bond (Customs)</p>	<p><i>Description:</i> A Customs bond is a guarantee from a surety company to the United States government that the importer will faithfully abide by all laws and regulations governing the importation of merchandise into the United States. The purpose of the bond is to guarantee that all customs duties, customs penalties, and other charges assessed by U.S. Customs will be properly paid and that all trade procedures will be followed. Any corporation, company or individual who wishes to import goods into the U.S. is required to post a bond or its cash equivalent. The bond is submitted on Customs Form 301. Customs bonds are issued by surety companies. The Treasury Department annually approves insurance companies for the issuance of Federal surety bonds. There are two types of bonds: the single transaction bond and the continuous bond. Single transaction bonds cover single importations, and may cost as much as three times the value of the goods depending upon the goods. The bond covers only one import entry. Single importation bonds are used by the importer who conducts very few importations. The second type of bond is the continuous bond. This bond remains in force for one year and must be renewed annually. This bond is useful to the importer who is involved in trade throughout the year. The amount of this bond is usually equal to 10 percent of the total customs duties paid for the previous year or reasonably estimated for the current year, but not less than \$50,000 <i>Type:</i> Input <i>Source:</i> External - Broker/Importer <i>Destination:</i> Process Authorized Bonds</p>
<p>Border Inspector Description</p>	<p><i>Description:</i> Brief description of goods written by Customs border inspector which may be used in classification and valuation <i>Type:</i> Output <i>Source:</i> Conduct Inspections <i>Destination:</i> Reconcile and Liquidate Transaction Entries</p>
<p>Broker’s District Permit</p>	<p><i>Description:</i> Permit issued to broker allowing him or her to conduct business within a particular Customs district. With the advent of electronic business transactions, this is disappearing</p>

	<p><i>Type:</i> Output <i>Source:</i> Manage Broker’s Licenses and Permits <i>Destination:</i> External</p>
Broker License Application	<p><i>Description:</i> After passing an exam administered by Customs, a broker applies for a license to Customs. The license allows him to act on behalf of importers when dealing with Customs <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Manage Broker’s Licenses and Permits</p>
Broker’s License	<p><i>Description:</i> License issued by Customs to Broker on application and after passing exam allowing individual to act as a broker. License must be renewed every 3 years <i>Type:</i> Output <i>Source:</i> Manage Broker’s Licenses and Permits <i>Destination:</i> External</p>
Buyer/Seller/Broker Data	<p><i>Description:</i> Generic rollup term to cover all of the forms and other information input by buyers, sellers, and/or brokers related to transactions <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Perform Federal International Trade Responsibilities, Manage International Trade Transactions, Manage Import Transactions, Manage Export Transactions, Manage Import Licenses, Permits, and Certificates of Compliance, Process SED, Process Drawback Payments</p>
Certifications for Export	<p><i>Description:</i> Certifications or inspections performed by U.S. government agencies to provide needed documentation to foreign country customs offices to allow goods to enter foreign country <i>Type:</i> Output <i>Source:</i> Provide Certifications <i>Destination:</i> External</p>
Committee Input	<p><i>Description:</i> Generic rollup input to represent various committee and state and local government input to trade processes. Includes policy advisory committees and 484 Committee providing category recommendations for HTS <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Perform Federal International Trade Responsibilities, Provide Harmonized Tariff Schedule, Develop Trade Policy</p>
Company Business	<p><i>Description:</i> Importer or Exporter company procedures for complying with Customs and other laws</p>

Procedures	and regulations to be inspected for compliance <i>Type: Input</i> <i>Source: External</i> <i>Destination: Inspect Informed Compliance Procedures</i>
Completed Entry Documentation	<i>Description: Verified, edited, assessed entry documentation produced by reviewing the importer’s entry documentation. Normally, this review is done electronically by the Customs ACS system</i> <i>Type: Output</i> <i>Source: Process Entry Documentation</i> <i>Destination: Conduct Import Border-Only Operations, Process Tariff and Fee Payments, Prevent and Investigate Illegal Import Shipments and Fraud</i>
Compliance Assessment Report	<i>Description: Report on compliance assessment performed by Customs or BXA on the importing or exporting procedures of a company to assist the company to increase its compliance with U.S. trade laws and regulations</i> <i>Type: Output</i> <i>Source: Inspect Informed Compliance Procedures</i> <i>Destination: External</i>
Compliance and Criminal Enforcement Information	<i>Description: Information generated in process of conducting compliance or criminal investigations</i> <i>Type: Output</i> <i>Source: Conduct Compliance and Criminal Investigations (Inspect Informed Compliance Procedures, Prevent and Investigate Illegal Import Shipments and Fraud, Prevent and Investigate Illegal Export Shipments)</i> <i>Destination: External</i>
Congressional Tariff Changes	<i>Description: Tariff rate changes to the HTS directed by Congress. Only Congress can change the tariff rates.</i> <i>Type: Input</i> <i>Source: External</i> <i>Destination: Provide Harmonized Tariff Schedule</i>
Country of Origin	<i>Description: Officially defined location where goods were produced</i> <i>Type: Input</i> <i>Source: External</i> <i>Destination: Determine Intensive Inspection Candidates</i>
Country or Regional Reports	<i>Description: Reports produced by ITA and FAS based on information supplied by personnel stationed in foreign countries describing business or market issues in that country or region</i>

	<p><i>Type:</i> Output <i>Source:</i> Provide Foreign Market Information <i>Destination:</i> External</p>
Criminal Investigation Information	<p><i>Description:</i> A border inspector may report suspicious situations to investigative agents based on activities and inspections at the border <i>Type:</i> Output <i>Source:</i> Conduct Inspections <i>Destination:</i> Prevent and Investigate Illegal Import Shipments and Fraud, Prevent and Investigate Illegal Export Shipments</p>
Criminal Prosecution Case Information	<p><i>Description:</i> Case information for prosecution of importer, exporter, or other party believed in violation of trade laws <i>Type:</i> Output <i>Source:</i> Prevent and Investigate Illegal Import Shipments and Fraud, Prevent and Investigate Illegal Export Shipments <i>Destination:</i> External</p>
Drawback Entry Claim	<p><i>Description:</i> Completed Customs form 7551 for filing to receive drawback <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Process Drawback Payments</p>
Drawback Refund Authorization	<p><i>Description:</i> Refund authorization due exporter for exporting goods previously imported on which tariff was paid <i>Type:</i> Output <i>Source:</i> Process Drawback Payments <i>Destination:</i> External</p>
Entry Documentation	<p><i>Description:</i> The documentation required to secure the release of imported merchandise from Customs. <i>Formal entry</i> is supported by a bond and covers goods for resale or to be used in business or a profession. All formal entries require a valid importer identification number (IRS number, social security number, or Customs assigned number). <i>Informal entries</i> are not supported by a bond and are generally used to enter personal shipments or commercial shipments of less than \$2000. Goods may be entered for consumption, for warehouse, or they may be transported in-bond to another port of entry and entered there under the same conditions as at the port of arrival. <i>Type:</i> Input <i>Source:</i> External</p>

	<i>Destination:</i> Process Entry Documentation
Entry Documentation with Verified Bond	<i>Description:</i> The entry documentation which has had the associated bond verified <i>Type:</i> Output <i>Source:</i> Verify Bond Has Been Posted <i>Destination:</i> Conduct Inspections, Place Goods in Bonded Warehouse
Entry Documentation with Verified Licenses and Permits	<i>Description:</i> The entry documentation which has had the associated licenses and permits verified <i>Type:</i> Output <i>Source:</i> Verify Licenses and Permits <i>Destination:</i> Conduct Inspections, Place Goods in Bonded Warehouse
Entry Documentation with Verified Quota and Visa	<i>Description:</i> The entry documentation which has had the associated quota and visa verified <i>Type:</i> Output <i>Source:</i> Examine Quota and Visa Restrictions and Documents <i>Destination:</i> Conduct Inspections, Place Goods in Bonded Warehouse
Entry Summary	<i>Description:</i> Completed Customs form CF7501 which shows the merchandise imported, its HTS classification, and the duty and fees due for importation of the goods. May be paper or electronic. The Entry Summary is normally filed up to 10 days after entry and filed with the tariff payment <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Process Tariff and Fee Payments
Entry Summary Data	<i>Description:</i> Entry Summary data that has been electronically captured and validated by U.S. Customs ACS system <i>Type:</i> Output <i>Source:</i> Process Entry Summaries <i>Destination:</i> Prevent and Investigate Illegal Import Shipments and Fraud, Compile Import and Export Statistics

Export Authorization Number	<p><i>Description:</i> ID number on export licenses which is supplied on SED</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Manage Export Licenses</p> <p><i>Destination:</i> Process SED</p>
Export Awareness Presentations	<p><i>Description:</i> Presentations or materials provided to potential exporters to encourage increased export by U.S. companies</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Encourage U.S. Companies to Export</p> <p><i>Destination:</i> External</p>
Export Deal Assistance	<p><i>Description:</i> ID number on export licenses which is supplied on SED</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Manage Export Licenses</p> <p><i>Destination:</i></p>
Export Inspector’s Report	<p><i>Description:</i> Report from export compliance inspector to investigative agent indicating sanctions against company may be appropriate based on informed compliance inspection</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Inspect Informed Compliance Procedures</p> <p><i>Destination:</i> Prevent and Investigate Illegal Export Shipments</p>
Export License Application	<p><i>Description:</i> Exporters are required to obtain export licenses for military, selected dual use items, and nuclear items. They submit the application form to BXA for non military items</p> <p><i>Type:</i> Input</p> <p><i>Source:</i> External</p> <p><i>Destination:</i> Manage Export Licenses</p>
Financial Assistance	<p><i>Description:</i> Loan guarantee, credit insurance, loans, or other financial support provided by government agency to help exporter or sometimes the importer finance his deal</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Provide Loan Guarantees, Loan insurance, or Loans</p> <p><i>Destination:</i> External</p>
Flagged Items for Reconciliation	<p><i>Description:</i> TBD</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Process Entry Summaries</p> <p><i>Destination:</i> Reconcile and Liquidate Transaction Entries</p>
Foreign Business Practices	<p><i>Description:</i> Advice on foreign business practices provided by ITA, FAS, or SBA to familiarize</p>

Counseling	<p>exporter with how to conduct business in foreign country <i>Type:</i> Output <i>Source:</i> Provide Foreign Market Information <i>Destination:</i> External</p>
Foreign Tariff, Regulation, and Business Information	<p><i>Description:</i> Foreign tariffs, foreign business laws or regulations which an exporter must satisfy to sell goods in a foreign country, and foreign business practices that an exporter must know to conduct business for foreign buyers <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Provide Foreign Market Information, Compile and Analyze Trade Information, Develop and Negotiate Trade Agreements</p>
Foreign Tariffs and Regulations	<p><i>Description:</i> Foreign tariffs or foreign business laws or regulations which an exporter must satisfy to sell goods in a foreign country <i>Type:</i> Output <i>Source:</i> Provide Foreign Market Information (PASS THROUGH) <i>Destination:</i> External <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Evaluate Trends, Impacts, and Trade Practices, Develop Trade Policy</p>
FTZ Establishment Application	<p><i>Description:</i> Application from the private sector to establish a Foreign Trade Zone <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Administer Foreign Trade Zones</p>
FTZ Facility Approval	<p><i>Description:</i> Approval to create a Foreign Trade Zone (FTZ). FTZs are secured areas legally outside a nation’s customs territory established to attract and promote international trade and commerce. Located within 60 miles (or 90 minutes driving) of the port of entry and treated as outside the customs territory for tariff and customs entry purposes, but subject to other federal laws of the U.S. Goods placed in a Foreign Trade Zone are not entered at the customhouse. Allows importer to have goods staged for rapid entry to U.S. market without paying duty until entry, or store goods prior to entry. Goods can be manufactured in the zone combining foreign and domestic materials, paying duty only on the foreign materials when the finished product enters for U.S. consumption. <i>Type:</i> Output <i>Source:</i> Administer Foreign Trade Zones <i>Destination:</i> External</p>

<p>FTZ Goods Inspected for Safety</p>	<p><i>Description:</i> Goods arriving at the border for placement in an FTZ are not subject to tariffs, but are subject to safety or other inspections at the discretion of the inspector. This ICOM represents goods which have been inspected before they are placed in an FTZ <i>Type:</i> Output <i>Source:</i> Conduct Inspections <i>Destination:</i> Place Goods in Foreign Trade Zone</p>
<p>FTZ Report</p>	<p><i>Description:</i> Information on Imports from FTZs used by Census to compute import statistics <i>Type:</i> Output <i>Source:</i> Place Goods in Foreign Trade Zone <i>Destination:</i> Compile Import and Export Statistics</p>
<p>General ‘How To’ Information</p>	<p><i>Description:</i> General information on trade practices and procedures and government programs available to the exporter <i>Type:</i> Output <i>Source:</i> Provide Public Walk-In, Call-In, Web, and Classroom Trade Information <i>Destination:</i> External</p>
<p>Goods</p>	<p><i>Description:</i> Goods for import or export <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Manage Import Transactions, Manage Export Transactions, Conduct Import Border-Only Operations, Place Goods in Foreign Trade Zone, Place Goods in Bonded Warehouse, Conduct Inspections, Release, Hold, Seize, or Destroy Cargo</p>
<p>Goods Description</p>	<p><i>Description:</i> Description of goods to be imported provided in entry documentation. <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Determine Intensive Inspection Candidates</p>
<p>Goods Export Licenses</p>	<p><i>Description:</i> Licenses to export those goods requiring an export license. Contains an Export Authorization Number which must be supplied on the SED <i>Type:</i> Output <i>Source:</i> Manage Export Licenses <i>Destination:</i> External, Process SED</p>
<p>Goods Licenses and Permits</p>	<p><i>Description:</i> Import licenses and permits obtained from various federal agencies or certificates that imported goods meet U.S. safety, efficiency, or other standards requirements <i>Type:</i> Output</p>

	<p><i>Source:</i> Manage Import Licenses, Permits and Certificates of Compliance <i>Destination:</i> Process Entry Documentation, Conduct Import Border-Only Operations</p>
Goods License and/or Permit ID	<p><i>Description:</i> ID numbers for Licenses or permits for comparison with that supplied on the entry documentation when permits are verified with the issuing agency <i>Type:</i> Output <i>Source:</i> Manage Import Licenses, Permits and Certificates of Compliance <i>Destination:</i> Process Entry Documentation</p>
Goods Without Completed Documentation	<p><i>Description:</i> Goods arriving at the border that do not have the required documentation completed and verified may be placed in a bonded warehouse awaiting disposition. They may be held because a bond has not been filed, they have not been inspected, or other reasons. <i>Type:</i> Output <i>Source:</i> Conduct Inspections <i>Destination:</i> Place Goods in Bonded Warehouse</p>
Harmonized Tariff Schedule (HTS)	<p><i>Description:</i> Adopted by U.S. in 1989. Provides applicable tariff rates for merchandise that enters the country. Composed of approximately 14,000 commodity classifications which are administered by the USITC. The codes are used by Customs to administer tariffs and process import entries. The HTS assigns 4 and 6 digit codes to identify general categories based on the global Harmonized System (developed and administered by the World Customs Organization in Brussels). More detailed 8-digit codes are used for tariff assessment and 10-digit codes are used for statistical reporting purposes. (See Schedule B codes for export) http://www.usitc.gov/taffairs.htm <i>Type:</i> Output <i>Source:</i> Provide Harmonized Tariff Schedule <i>Destination:</i> Compile Import and Export Statistics, Evaluate Trends, Impacts, and Trade Practices, Negotiate Trade Agreements</p>
Harmonized Tariff Schedule Annotated (HTSA)	<p><i>Description:</i> HTS which includes the 10-digit statistical breakouts and language. The HTSA and Schedule B match each other at the 6-digit level and match the tariff schedules of other countries at the HTS 6-digit level. They differ at the more detailed levels. HTSA can be used on the SED with a few exceptions as noted in the HTSA. <i>Type:</i> <i>Source:</i> <i>Destination:</i></p>
HTS Query	<p><i>Description:</i> Query from the public or other agency for the tariff rate in the HTS for a particular category of goods</p>

	<p><i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Provide Harmonized Tariff Schedule</p>
Import License or Permit Application	<p><i>Description:</i> Application to government agency to allow import of particular good <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Manage Import Licenses, Permits, and Certificates of Compliance</p>
Import Release Documentation	<p><i>Description:</i> Customs notifications to carrier, importer, and/or broker on release of cargo presented to Customs for entry into U.S. economy <i>Type:</i> Output <i>Source:</i> Release, Hold, Seize, or Destroy Cargo <i>Destination:</i> External</p>
Information for State and Local Governments	<p><i>Description:</i> Trade policy and other information provided by the USTR to State and Local Governments to keep them informed <i>Type:</i> Output <i>Source:</i> Develop Trade Policy <i>Destination:</i> External</p>
Infrastructure Needs	<p><i>Description:</i> Roll up term for all the infrastructure support needed for international trade including transportation facilities, warehouses, brokers, surety companies, and others <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Manage Trade Infrastructure, License Surety Companies, Manage Broker’s Licenses and Permits, License, Inspect, and Supervise Warehouses, Administer Foreign Trade Zones, Provide Transportation Infrastructure</p>

<p>Import Inspector’s Report</p>	<p><i>Description:</i> Report from import compliance inspector to investigative agent indicating sanctions against company may be appropriate based on informed compliance inspection <i>Type:</i> Output <i>Source:</i> Inspect Informed Compliance Procedures <i>Destination:</i> Prevent and Investigate Illegal Import Shipments and Fraud</p>
<p>Inspector’s Report</p>	<p><i>Description:</i> Report from compliance inspector to investigative agent indicating sanctions against company may be appropriate based on informed compliance inspection <i>Type:</i> Output <i>Source:</i> Inspect Informed Compliance Procedures <i>Destination:</i> Prevent and Investigate Illegal Import Shipments and Fraud, Prevent and Investigate Illegal Export Shipments and Fraud,</p>
<p>International Trade Information</p>	<p><i>Description:</i> Umbrella roll up term for all the information and responses the U.S. government provides the trade industry <i>Type:</i> Output <i>Source:</i> Perform Federal International Trade Responsibilities <i>Destination:</i> External</p>
<p>Laws, Regulations, and Policies</p>	<p><i>Description:</i> Control items directing how international trade will be conducted <i>Type:</i> Control <i>Source:</i> External <i>Destination:</i> Perform Federal International Trade Responsibilities</p>
<p>Leads and Contacts</p>	<p><i>Description:</i> Sales leads and business contacts that may lead to buyers for export transaction <i>Type:</i> Output <i>Source:</i> Provide Leads and Contacts <i>Destination:</i> External</p>
<p>License and Permit Rejections</p>	<p><i>Description:</i> Some applications may be rejected and the applicant is notified. These rejections may become the basis for a later protest filing <i>Type:</i> Output <i>Source:</i> Manage Import Licenses, Permits, and Certificates of Compliance <i>Destination:</i> External</p>
<p>Licenses, Permits, and Certifications</p>	<p><i>Description:</i> Rollup of licenses, permits, and certifications for import and export of goods, brokers’ licenses, and facilities licenses <i>Type:</i> Output <i>Source:</i> Manage Trade Infrastructure, Manage International Trade Transactions</p>

	<p><i>Destination: External</i> <i>Type: Control</i> <i>Source: Manage Trade Infrastructure, Manage International Trade Transactions</i> <i>Destination: Manage International Trade Transactions</i></p>
Liquidation Notice	<p><i>Description: Notice to importer and/or broker stating entry summary entry classification and valuation have been done and the associated tariffs and fees computed and payments received, liquidating the entry. Normally more than one entry would be liquidated at the same time.</i> <i>Type: Output</i> <i>Source: Reconcile and Liquidate Transaction Entries</i> <i>Destination: External</i></p>
Market Access Assistance	<p><i>Description: Discussions, negotiations, and other actions taken by ITA to reduce trade barrier to allow U.S. company to sell goods in foreign market</i> <i>Type: Output</i> <i>Source: Increase Market Access</i> <i>Destination: External</i></p>
Model Input For Services	<p><i>Description: Information used by BEA to produce trade statistics for services</i> <i>Type: Input</i> <i>Source: External</i> <i>Destination: Compile Import and Export Statistics</i></p>
Negotiation Assistance	<p><i>Description: Discussions, negotiations, and other actions taken by ITA to ensure company is treated fairly when proposals are evaluated</i> <i>Type: Output</i> <i>Source: Advocate for Company at Proposal Evaluation</i></p>
NTE of Foreign Trade Barriers	<p><i>Description: Report prepared by USTR with assistance from other agencies which surveys significant trade barriers for U.S. exports</i> <i>Type: Output</i> <i>Source: Develop Trade Policy</i> <i>Destination: Negotiate Trade Agreements</i></p>
Payments	<p><i>Description: Payments for tariffs and fees made by importers or their brokers to Customs</i> <i>Type: Input</i> <i>Source: External</i> <i>Destination: Process Tariff and Fee Payments</i></p>
Promotion Arrangements	<p><i>Description: Messages associated with arranging and conducting trade fairs, trade missions, and other</i></p>

	<p>marketing events <i>Type:</i> Output <i>Source:</i> Promote U.S. Goods Abroad <i>Destination:</i> External</p>
Protest Filings	<p><i>Description:</i> Protest: An importer who disagrees with the dutiable status after entry has been liquidated and file on Customs Form 19 within 90 days after liquidation requesting a decision. Protests can also be filed about other matters. <i>Type:</i> Output <i>Source:</i> Manage Import Licenses, Permits, and Certifications, Examine Visa and Quota Restrictions, Release, Hold, Seize, or Destroy Goods, Reconcile and Liquidate Transaction Entries <i>Destination:</i> Process Protests and Adjudicate Disputes</p>
Public, State, and Local Comment	<p><i>Description:</i> Comment and recommendations on Trade Policy provided by public, state government, or local government sources <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Develop Trade Policy</p>
Reconciliation Entry	<p><i>Description:</i> TBD <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Reconcile and Liquidate Transaction Entries</p>
Record of Bond	<p><i>Description:</i> Database entry recording bond has been submitted <i>Type:</i> Output <i>Source:</i> Process Authorized Bonds <i>Destination:</i> Verify Bond has been Posted</p>
Recorded Goods License and/or Permit ID	<p><i>Description:</i> ID numbers for Licenses or permits supplied with the entry documentation for comparison with that supplied by the issuing agency to Customs <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Verify Licenses and Permits</p>
Referrals to Government Programs and Contacts	<p><i>Description:</i> Information about applicable government programs and contact points for those programs or for other assistance to help exporters <i>Type:</i> Output <i>Source:</i> Provide Public Walk-in Call-In, Web, and Classroom Trade Information</p>

	<i>Destination: External</i>
Refund Authorization to FMS	<i>Description: When an importer has overpaid tariffs and fees based on the Customs classification and valuation, Customs issues an authorization to FMS to refund the excess payment to the importer/broker Type: Output Source: Reconcile and Liquidate Transaction Entries Destination: External</i>
Release Documentation	<i>Description: Notification that goods have been released by Customs for entry into the U.S. or are permitted to transit the U.S. Type: Output Source: Conduct Inspections Destination: External</i>
Released Goods	<i>Description: Imported goods which have been released by U.S. Customs and are ready to enter the U.S. economy Type: Output Source: Conduct Inspections Destination: External</i>
Reports to OGAs	<i>Description: Customs produces reports for the IRS (IRS Interest Summaries) and USDA (USDA User Fee Reports) on the transactions it has liquidated Type: Input Source: Reconcile and Liquidate Transaction Entries Destination: External</i>
Request Basic Information	<i>Description: Request form public or other party for basic information about international trade Type: Input Source: External Destination: Provide Walk-In, Call-In, Web, and Classroom Trade Information</i>
Request for Certification	<i>Description: Requests from exporters for U.S. government certifications and inspections required by foreign governments to import goods to their country Type: Input Source: External Destination: Provide Certifications</i>
Request for Contacts	<i>Description: Exporter request to government programs to assist with finding leads and contacts to pursue sale</i>

	<p><i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Provide Leads and Contacts</p>
Request for Financial Assistance	<p><i>Description:</i> Exporter request to receive loan guarantee, Loan Insurance, Loan, or other financial assistance through government agency program <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Provide Loan Guarantees, Loan Insurance, or Loans</p>
Request for Access Issue Resolution	<p><i>Description:</i> Request from exporter who has been unable to complete sale to foreign country due to country restriction, usually a standard or regulation, to ITA for assistance reducing trade barrier thereby increasing market access <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Increase Market Access</p>
Request for Market Entry	<p><i>Description:</i> Request from Exporter to participate in trade show, trade mission, or other marketing activity overseas sponsored by U.S. government <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Promote U.S. Goods Abroad</p>
Request for Negotiation Representation	<p><i>Description:</i> Request from company bidding against foreign competitors on foreign trade deal to ITA Advocacy Office to ensure U.S. bidder is being treated fairly at negotiations. <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Advocate for Company at Proposal Evaluation</p>
Request for Tailored Report	<p><i>Description:</i> Request from exporter for report on particular foreign market in particular location or foreign company, or statistics on particular U.S. exports or imports <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Provide Tailored Market or Company Reports or Statistics</p>
Request for Trade Assistance	<p><i>Description:</i> Roll up term covering all requests for information or other types of support from U.S. federal agencies to support international trade (Foreign Tariff and Regulation information is covered separately) <i>Type:</i> Input</p>

	<p><i>Source:</i> External <i>Destination:</i> Perform Federal Trade Responsibilities, Promote Export Trade</p>
Request for Trade Deal Assistance	<p><i>Description:</i> Request from exporter to Export Assistance Center (EAC) or other government agency for assistance with his trade deal <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Assist Company With its Export Deal</p>
Retaliations	<p><i>Description:</i> Tariff or other retaliatory actions taken by the U.S. government when a foreign country fails to comply with trade agreement after being approached to correct violation <i>Type:</i> Output <i>Source:</i> Pursue Trade Agreement Enforcement <i>Destination:</i> External</p>
Revenue	<p><i>Description:</i> U.S. government income received from tariff and fee payments on imports <i>Type:</i> Output <i>Source:</i> Process Tariff and Fee Payments <i>Destination:</i> External</p>
Revocation of Broker’s License	<p><i>Description:</i> Customs decision to revoke broker’s license for improper actions or other reasons <i>Type:</i> Output <i>Source:</i> Manage Broker’s Licenses and Permits <i>Destination:</i> External</p>
Rulings	<p><i>Description:</i> Court rulings issues by ITC or other rulings issued by Treasury as decision resolution to protest. Trade dispute rulings issued by WTO <i>Type:</i> Output <i>Source:</i> Process Protests, Pursue Trade Agreement Enforcement <i>Destination:</i> External</p>
Sanctions	<p><i>Description:</i> Administrative fines or criminal penalties imposed on violators of trade laws and regulations <i>Type:</i> Output <i>Source:</i> Prevent and Investigate Illegal Import Shipments and Fraud, Prevent and Investigate Illegal Shipments <i>Destination:</i> External</p>
SED	<p><i>Description:</i> Shipper’s Export Declaration Census form 7525-V required from exporters describing goods being exported. Contains ultimate consignee, agent, loading information, export license</p>

	<p>number, Schedule B number description of goods, weight, quantity and value of goods. May be in paper or electronic form <i>Type: Input</i> <i>Source: External</i> <i>Destination: Process SED</i></p>
SED Data	<p><i>Description: Electronically captured SED which has been edited and validated by the Customs/Census AES system</i> <i>Type: Output</i> <i>Source: Process SED</i> <i>Destination: Prevent and Investigate Illegal Export Shipments, Compile Import and Export Statistics</i></p>
Seized Goods	<p><i>Description: Goods arriving at the border that, after inspection, are seized by Customs. Normally these goods enter a warehouse before disposition.</i> <i>Type: Output</i> <i>Source: Conduct Inspections</i> <i>Destination: Place Goods in Bonded Warehouse</i></p>
Selectivity Criteria	<p><i>Description: Rules developed by Customs and other agencies that are electronically applied to entry documentation, SEDs, and entry summaries to identify shipments or entry summaries that are ‘high risk’. High risk import or export shipments are those likely to contain illegal or unsafe goods. High risk entry summaries are those likely to have improper goods classifications or valuations and hence miscalculation of revenues due</i> <i>Type: Output</i> <i>Source: Prevent and Investigate Illegal Import Shipments and Fraud, Prevent and Investigate Illegal Export Shipments</i> <i>Destination: Determine Intensive Inspection Candidates (Control), Perform Risk Assessment, Reconcile and Liquidate Transaction Entries</i></p>
Settlements	<p><i>Description: Trade agreement dispute settlements worked out between nations without escalating to WTO panel for ruling</i> <i>Type: Output</i> <i>Source: Pursue Trade Agreement Enforcement</i> <i>Destination: External</i></p>
Supplemental Information Letter	<p><i>Description: Additional information supplementing information provided by importer or broker on entry summary that is supplied to complete or clarify original information supplied</i> <i>Type: Input</i></p>

	<p><i>Source:</i> External <i>Destination:</i> Process Entry Summaries</p>
Supporting Trade Facilities	<p><i>Description:</i> <i>Type:</i> Output , Control <i>Source:</i> <i>Destination:</i> Manage International Trade Transactions</p>
Surety License Application	<p><i>Description:</i> Application from company to be licensed to issue bonds to guarantee payment of obligations to the U.S. government <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> License Surety Companies</p>
Tailored Market Information	<p><i>Description:</i> Reports prepared for a fee by ITA , USDA, or Census in response to a U.S. company request for specific information or statistics on a foreign market or company <i>Type:</i> Output <i>Source:</i> Provide Tailored Market or Company Reports or Statistics <i>Destination:</i> External</p>
Target Inspection Candidate	<p><i>Description:</i> Shipment identified as high risk by applying selectivity criteria to entry documentation or SED and therefore an inspection candidate <i>Type:</i> Output <i>Source:</i> Determine Intensive Inspection Candidates, Perform Risk Assessment <i>Destination:</i> Conduct Inspections, Conduct Necessary Export Inspections</p>
Tip From Field	<p><i>Description:</i> Tip from informant such as employee or competitor in field that possibly illegal activities are taking place <i>Type:</i> Input <i>Source:</i> External <i>Destination:</i> Prevent and Investigate Illegal Import Shipments and Fraud, Prevent and Investigate Illegal Export Shipments</p>
Trade Agreements	<p><i>Description:</i> Agreement between U.S. and one or more foreign countries on tariffs between countries and not tariff trade barriers <i>Type:</i> Output <i>Source:</i> Negotiate Trade Agreements <i>Destination:</i> External</p>
Trade and Tariff	<p><i>Description:</i> Studies performed by FAS, ITA, ITC, and other agencies to assess trade issues and</p>

Assessment Studies	<p>impacts for the USTR, Congress, the White House, or representing the interests of industry or agricultural segments</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Evaluate Trends, Impacts, and Trade Practices</p> <p><i>Destination:</i> Develop Trade Policy, External</p>
Trade Expansion Priorities	<p><i>Description:</i> Areas where the U.S. wants to emphasize increased trade</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Develop Trade Policy</p> <p><i>Destination:</i> Negotiate Trade Agreements</p>
Trade Policy	<p><i>Description:</i> Policy setting priorities, practices and other direction for U.S. international trade</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Develop Trade Policy</p> <p><i>Destination:</i> External</p>
Trade Policy and Trade Agreements	<p><i>Description:</i> Rollup output covering Trade Policy and Trade Agreements</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Develop Trade Policy, Negotiate Trade Agreements</p> <p><i>Destination:</i> External</p>
Trade Statistics	<p><i>Description:</i> Monthly U.S. import and export statistics on goods and services identifying types of goods and services imported and exported and country or origin or destination</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Compile Import and Export Statistics</p> <p><i>Destination:</i> Evaluate Trends, Impacts, and Trade Practices, External</p>
Trade Transportation Needs	<p><i>Description:</i> The air, rail, sea, and road transportation facilities needed to support the vehicles carrying import and export goods</p> <p><i>Type:</i> Input</p> <p><i>Source:</i> External</p> <p><i>Destination:</i> Provide Transportation Infrastructure</p>
Unentered Goods	<p><i>Description:</i> Goods presented for entry to Customs or requiring an inspection before placed in an FTZ, but not granted entry for some reason, possibly because documentation was not on file, inspections had not been completed, goods were illegal or unsafe, or in the case of FTZ goods, the goods were not intended to enter the U.S.</p> <p><i>Type:</i> Output</p> <p><i>Source:</i> Release, Hold, Seize, or Destroy Cargo</p>

	<i>Destination: Place Goods in Foreign Trade Zone, Place Goods in Bonded Warehouse</i>
U.S. Tariff Query	<i>Description: Request for U.S. tariff rates posed (electronically) the ITC web HTS system by an importer or broker Type: Input Source: External Destination: Provide Harmonized Tariff Schedule</i>
USTR Federal Register Notices	<i>Description: Notifications to public on trade policy, possible retaliation actions, and other trade matters Type: Output Source: Develop Trade Policy Destination: External</i>
Visas	<i>Description: For textiles, a visa is an endorsement – a stamp on an invoice or export control license, from a foreign government that controls the export of textiles and textile products to the U.S. The visa may cover quota or non quota merchandise. Type: Input Source: External Destination: Examine Quota and Visa Restrictions and Documents</i>
Warehouse Facility	<i>Description: Properly licensed, inspected, and supervised warehouse for storage of goods prior to entry to the U.S. or after seized by Customs Type: Output Source: License, Inspect, and Supervise Warehouses Destination: External</i>
Warehouse License	<i>Description: License to operate a warehouse for goods prior to Customs entry to the U.S. Type: Output Source: License, Inspect, and Supervise Warehouses Destination: External</i>
Warehouse License Application	<i>Description: Application from private sector to establish a warehouse related to storage of trade goods at ports Type: Input Source: External Destination: License, Inspect, and Supervise Warehouses</i>

7.3.4 ICOM Mechanisms - Organizations

*** indicates not currently a mechanism shown in model	
Organization	Description
Advisory Committee for Trade Policy and Negotiations (ACTPN)	President’s committee at first tier of advisory committee system for trade policy. At most 45 members are representative of key economic sectors affected by trade. The advisory committee system has evolved from the Trade Expansion Act of 1962.
Agricultural Policy Advisory Committee (APAC)	Part of trade policy committee advisory system at second tier of committees below ACTPN. Advises on agricultural policy
Animal and Plant Health Inspection Service (APHIS), USDA	Inspect meat and meat food products derived from cattle, sheep, swine, goats, and horses offered for entry into the U.S.
Broker	Brokers are private individuals or companies, regulated by the Customs Service, who aid importers and exporters in moving their merchandise through Customs and providing the proper paper work and payments. They charge a fee for this service. A Customs Broker prepares and files the necessary Customs entries, arranges for the payment of duties found due, takes steps to effect the release of the goods in Customs custody, and represents clients in custody matters. An importer authorizes a customs broker to act as his agent by giving him power of attorney.
Bureau of Alcohol, Tobacco and Firearms (ATF), Department of the Treasury	TF) is a law enforcement agency with responsibilities for protecting the public, reducing violent crime, and collecting revenue. ATF enforces the Federal laws and regulations relating to alcohol, tobacco products, firearms, explosives, and arson. ATF issues licenses for importing firearms.
Bureau of the Census (Census)	Primary source of trade statistics that breakdown the quantity and dollar value of U.S. exports and imports by commodity and country. Statistics are available from Commerce District Offices.
Bureau of Economic Analysis (BEA), Department of Commerce	The Bureau of Economic Analysis (BEA) is an agency of the Department of Commerce. Along with the Census Bureau, BEA is part of the Department's Economics and Statistics Administration. The mission of BEA is to produce and disseminate accurate, timely, relevant, and cost-effective economic accounts statistics that provide government, businesses, households, and individuals with a comprehensive, up-to-date picture of economic activity. BEA's national, regional, and international economic accounts

	present basic information on such key issues as U.S. economic growth, regional economic development, and the Nation's position in the world economy. The international economic accounts encompass the international transactions accounts (balance of payments) and the estimates of U.S. direct investment abroad and foreign direct investment in the United States. BEA also makes estimates of U.S. import and export of services.
**Bureau of Economic and Business Affairs, Dept. of State	Primary responsibility within the State department for formulating policy regarding foreign economic matters, trade promotion, and business services of and international nature. Coordinates regional economic policy with other bureaus.
Bureau of Export Administration (BXA), Department of Commerce	BXA is responsible for export controls. They grant licenses for export, enforces Export Administration Regulations (EAR), provide Export Control Classification Numbers (ECCN) upon request to exporter, and receive requests for Commodity Jurisdiction.
Carrier	Person or company with conveyance bringing the goods to the port of entry (External node shown in ONCD)
***Center for Trade Investment, U.S. AID	Develops and disseminates regional and industry specific guides to U.S. AID programs to business community. Has development information service clearinghouse (DISC)
Commerce, Department of (Commerce)	<p>The Department of Commerce promotes job creation, economic growth, sustainable development and improved living standards for all Americans by working in partnership with business, universities, communities and workers to:</p> <ol style="list-style-type: none"> 1. Build for the future and promote U.S. competitiveness in the global marketplace by strengthening and safeguarding the nation's economic infrastructure. 2. Keep America competitive with cutting-edge science and technology and an unrivaled information base. 3. Provide effective management and stewardship of the nation's resources and assets to ensure sustainable economic opportunities. <p>The Department of Commerce Bureau of Export Administration (BXA) administers the EAR and deals with export licenses and investigates violations of U.S. export control laws, enforces anti boycott regulations, and develops preventative measures. The International Trade Administration (ITA) strengthens international trade and investment, especially for industrial products. The Bureau of Economic Analysis (BEA) develops service import and export statistics and analyzes trade data. The Bureau of the Census (Census) compiles import and export statistics for goods.</p>
Committees	A rollup term for the various committees participating in international trade. The main committees in this model are the trade policy advisory committees and the 484 Committee which makes category recommendations for the HTS

***Commodity Credit Corporation??(CCC), USDA	Operates export credit guarantee programs to provide U.S. agricultural exporters or financial institutions a guarantee that they will be repaid for short and intermediate term commercial export financing to foreign buyers
Consumer Product Safety Commission (CPSC)	The CPSC sets standards for product safety with which imported goods, toys, bicycle helmets, lead paint restrictions must comply
Customs	See U.S. Customs Service
Defense Policy Advisory Committee (DPAC)	Part of trade policy committee advisory system at second tier of committees below ACTPN. Advises on defense matters
Department of Defense (DoD)	Controls export of military use items in conjunction with the State Department
Drug Enforcement Agency (DEA)	The mission of the Drug Enforcement Administration (DEA) is to enforce the controlled substances laws and regulations of the United States and bring to the criminal and civil justice system of the United States, or any other competent jurisdiction, those organizations and principal members of organizations, involved in the growing, manufacture, or distribution of controlled substances appearing in or destined for illicit traffic in the United States; and to recommend and support non-enforcement programs aimed at reducing the availability of illicit controlled substances on the domestic and international markets. This includes investigation and preparation for the prosecution of major violators of controlled substance laws operating at interstate and international levels and seizure and forfeiture of assets derived from, traceable to, or intended to be used for illicit drug trafficking.
Economic Research Service (ERS), USDA	Provides economic analysis on efficiency, adequacy, and equity issues related to agriculture, food, natural resources, and rural development to improve public and private decision making. Supports the USDA FAS and hence the USTR and Congress with analysis to support trade policy development
Energy, Department of (DOE)	The DOE administers regulations concerning export and re export of technology related to the production of special nuclear materials
Environmental Protection Agency (EPA)	The EPA inspects chemicals entering the U.S.
Export Assistance Center (EAC)	Export Assistance Centers provide one-on-one assistance for a company wanting to export. They are jointly sponsored by Commerce (ITA), USDA, SBA, EX-IM Bank, and U.S. AID. They have over 100 locations in the U.S. and 140 overseas.
Export-Import Bank (EX-IM Bank)	The Export-Import Bank of the United States (Ex-Im Bank) is an independent U.S. Government agency that helps finance the overseas sales of U.S. goods and services. In over 60 years, Ex-Im Bank has supported more than \$300 billion in U.S. exports. Ex-Im Bank's mission is to create jobs through exports. It provides guarantees of working capital loans for U.S. exporters, guarantees the repayment of

	loans or makes loans to foreign purchasers of U.S. goods and services. Ex-Im Bank also provides credit insurance that protects U.S. exporters against the risks of non-payment by foreign buyers for political or commercial reasons. Ex-Im Bank does not compete with commercial lenders, but assumes the risks they cannot accept. It must always conclude that there is reasonable assurance of repayment on every transaction financed www.exim.gov
Federal Motor Carriers Safety Administration (FMCSA) (DOT)	Grants truck operator licenses and railroad licenses. Involved in safety equipment
Financial Management Service (FMS), Department of Treasury	The Financial Management Service is responsible for administering the surety bond program under 31 U.S 9304-9308. FMS inspects and monitors companies that write federal bonds and publishes them in Treasury Circular 570. http://www.fms.treas.gov/c570/
Fish and Wildlife Service (FWS)	The FWS issues import permits for some products.
Food and Drug Administration (FDA), Health and Human Services (HHS)	The FDA ensures that food is safe, pure, and wholesome, human and animal drugs, biological products, and medical devices are safe and effective, and electronic products that emit radiation are safe. The FDA inspects food and cosmetics imported to the U.S.
Food Safety and Inspection Service (FSIS), USDA	Inspects all meet and meat food products offered for entry into the U.S. Also see APHIS. Also inspect and issue inspection certificates for selected fruits, vegetables and nuts
Foreign Agricultural Service (FAS), USDA	Opens, expands and maintains global market opportunities through international trade, cooperation, and sustainable development activities. Promotes international agricultural trade policies that provides market access for U.S. agricultural commodities, maintains international field offices, administers export promotion programs. Monitors global food aid needs
Freight Forwarder	A person engaged in the business of assembling, collection, consolidating, shipping, and distributing less-than-carload or less-than-truckload freight. Also, a person acting as agent in the transshipping of freight to or from foreign countries and the clearing of freight through customs, including full preparation of documents, arrangements for shipping, warehousing, delivery, and export clearance.
Immigration and Naturalization Service (INS)	INS verifies the citizenship of the crews for conveyances crossing into the U.S.
Intergovernmental Policy Advisory Committee (IGPAC)	Part of trade policy committee advisory system at second tier of committees below ACTPN.

*** Import Administration, ITA, Dept. of Commerce	Manages anti-dumping and counter-veiling duty aspects of import trade (Shown in ONCD)
Importer of Record	Owner, purchaser, or licensed customs broker designated by the owner, purchaser or consignee. The owner of record arranges for the examination and release of goods
Industry Sector Advisory Committee (ISAC)	Industry committee representing an industry sector and sponsored by the ITA to provide industry input on trade policy
International Trade Administration (ITA), Dept. of Commerce	The ITA strengthens international Trade and investment position of the U.S., especially for industrial products. Their Import Administration office administers antidumping and countervailing duty laws and administers Foreign Trade Zones (FTZ). The Office of Trade Development advises on international policy and investment for industrial sectors and promotes U.S> participation in trade. The U.S. and Foreign Commercial Service (US&FCS) maintains overseas personnel to provide on site situation assessment and reports, promotes trade overseas, and manages the Export Assistance Centers (EAC). The Market Access and Compliance (MAC) advises on policy, strengthens market access, promotes trade, strengthens investment, and deals with monitoring and enforcing trade agreements.
International Trade Commission (ITC)	See USITC
Labor Advisory Committee (LAC)	Part of trade policy committee advisory system at second tier of committees below ACTPN. Advises on labor policy
***National Council on International Trade Development (NCITC)	TBD
National Economic Council (NEC)	Top level participant in trade policy advisory committee system. Chaired by President with Vice President, State, Treasury, Agriculture, Commerce, Labor, Housing and Urban Development, Transportation, Energy, EPA, Office of management and Budget, USTR, National Security, and others as participants
National Highway Safety Administration (NHSA)	Sets vehicle safety standards, conducts vehicle inspections for safety compliance
National Institute of Standards and Technology (NIST)	The National Center for Standards and Certification (NCSCI) at NIST provides information on foreign standards and certifications
National Oceanic and	The National Marine Fisheries Service, part of NOAA, facilitates access to foreign markets. They also

Atmospheric Administration (NOAA)	inspect fishery exports and issues U.S. certification attesting to findings.
National Security Council (NSC)	Top level participant in trade policy
Nuclear Regulatory Commission (NRC)	See U.S. Nuclear Regulatory Commission
Office of Defense Trade Controls (ODTC), Department. of State	Administers International Traffic in Arms Regulations. Approves export of military use items
Office of Foreign Assets Control (OFAC), Department of the Treasury	Administers embargo and other controls with foreign countries. Trading with the Enemy Act, International Emergency Economic Powers Act. www.treas.gov/ofac/
Office of International Trade (OIT), Small Business Administration (SBA)	Assists small businesses with export counseling, export feasibility assessment, legal assistance, training, and export financing. Represents small business community in trade negotiations and disputes. Participant in U.S. Export Assistance Centers (EACs) www.sba.gov/oit/ (Be aware that other agencies also have offices named OIT. In this model, it refers to the SBA OIT)
***Office of Trade and Economic Analysis (OTE), ITA, Dept. of Commerce	The Office of Trade and Economic Analysis (OTE) conducts a comprehensive program of data development, dissemination, and research and analysis on international and domestic trade and investment issues to support trade promotion and trade policy responsibilities of Trade Development, International Trade Administration, Department of Commerce and U.S. Government organizations and officials. The office also coordinates the trade policy implementation activities of the Trade Development unit.
Other Government Agencies (OGA)	Place holder for names of other government agencies when space on page prevents listing all agencies, or major agencies have been listed but other agencies are involved
***Overseas Private Investment Corporation (OPIC)	Provides loans and guarantees on overseas investments
Patent and Trademark Office (PTO)	Administer regulations providing for export or unclassified technology in the form of a patent application or amendment, modification, or supplement thereto or division thereof (Authority delegated to BXA for items subject to the EAR)
Regulating, Monitoring, and Marketing Agencies	Rollup term for all federal agencies with responsibilities for international trade
Small Business	The SBA aids, counsels, assists, and protects the interests of the small business. The SBA Office of

Administration (SBA)	International Trade(OIT) provides export financing and promotion services to small businesses. They are joint sponsor of the EACs
State Department	For international trade, participates in policy development and trade agreement negotiations. Maintains overseas staff that contributes on site foreign business information and promotes U.S. goods abroad
STAT-USA (Dept. of Commerce)	STAT-USA is a service organization within the Commerce Department’s Bureau of Economic Analysis that delivers vital economic, business, and international trade information produced by the U.S. Government. They maintains the STAT-USA.GOV web site for the U.S. business, economic and trade community, providing authoritative information from the Federal government.
***Surety Company	Surety companies issue bonds that guarantees that the importer will comply with U.S. Customs regulations concerning payment of tariffs and fees. The surety company will be called on for payment when the importer cannot or will not fulfill his obligations to the United States government
Trade Advisory Committee on Africa (TACA)	Part of trade policy committee advisory system at second tier of committees below ACTPN
Trade and Environment Policy Advisory Committee (TEPAC)	Part of trade policy committee advisory system at second tier of committees below ACTPN
***Trade and Development Agency	Supports feasibility studies to encourage U.S. projects and contracts overseas
Trade Information Center (TIC), ITA, Department of Commerce	The TIC is a call-in, walk-in, email source of basic trade information and direction to the appropriate government programs available to an exporter. The TIC also provides foreign tariff, trade statistics, foreign market reports, and business practices counseling
Trade Policy Review Group (TPRG)	Part of policy advisory committee system to develop trade policy. Sub cabinet level review group chaired by the USTR
Trade Policy Staff Committee (TPSC)	Part of policy advisory committee system composed of senior level government civil service personnel that leads the work of other committees in analysis of trade issues
Trade Promotion Coordinating Committee (TPCC)	The TPCC manages U.S. Government export promotion and activities. They coordinate activities for 20 agencies
Transportation, Department of (DOT)	The DOT plans and funds transportation facilities essential to international trade. They also, through their NHTSA, FAA, and Coast Guard inspect vehicles for safety and through their FMCSA, FAA, and Coast Guard license and inspect the credentials of vehicle operators
Treasury, Department of	The Mission of the Department of the Treasury is to: Promote Prosperous and Stable American and

(Treasury)	World Economies; Manage the Government's Finances; Safeguard Our Financial Systems; Protect Our Nation's Leaders; and Secure a Safe and Drug-Free America. Treasury enforcement resolves protests filed objecting to Customs decisions not resolved at a lower level. Treasury Financial Management Service licenses surety companies. The Customs Service is a bureau within Treasury.
U.S. Agency for International Development (USAID)	USAID administers economic and humanitarian assistance programs. They provide trade leads for business in developing nations.
U.S. Coast Guard	TBD
U.S. Customs Service (Customs)	Customs is the primary enforcement service protecting the nation's borders. They enforce U.S. laws, protect revenue through the collection of tariffs (duties and taxes) and fees, and foster lawful international trade and travel.
U.S. Department of Agriculture (USDA)	The USDA mission is to enhance the quality of life for the American people by supporting production of agriculture. This includes ensuring a safe, affordable, nutritious, and accessible food supply; caring for agricultural, forest, and range lands; supporting sound development of rural communities; providing economic opportunities for farm and rural residents; expanding global markets for agricultural and forest products and services; and working to reduce hunger in America and throughout the world. The USDA promotes trade in agricultural products through its Foreign Agricultural Service (FAS) and analyzes trade statistics through its Economic Research Service (ERS), and provides food, animal, plant, and grain inspections through its Food and Safety Inspection Service (FSIS) and Animal and Plant Health Inspection Service (APHIS), and Grain Inspectors, Packers, and Stockyards Administration (GIPSA).
U.S. and Foreign Commercial Service (US&FCS), ITA, Dept. of Commerce	See ITA. Gather trends and actual trade leads in foreign countries. Includes hundreds of foreign nationals employed by U.S. Embassies or consulates provide understanding of local market conditions and practices. Operates EACs jointly with other agencies.
***U.S. Court of International Trade	Has jurisdictional authority to decide any civil action against the United States, its officers, or its agencies arising out of any law pertaining to international trade. Court to which importer may appeal protest within 180 days after denied by Customs
U.S. International Trade Commission (USITC). Also ITC	Independent, non partisan agency which provides independent analysis of trade and tariff issues to the President, Congress, and the USTR, supports trade agreement negotiation, and maintains the Harmonized Tariff Schedule (HTS). Quasi-judicial agency with broad investigative powers on matters of trade. Their Office of Administrative Law Judges hold hearings and make determinations on international trade cases.

U.S. Nuclear Regulatory Commission (NRC)	Administer regulations controlling the export and reexport of commodities related to nuclear reactor vessels
U.S. Trade Assistance and Promotion Office (TAPO), Foreign Agricultural Service (FAS) , Dept. of Agriculture (USDA)	Promotes export of agricultural products. Provide Foreign Market Information Reports containing prospects and contacts. http://ffas.usda.gov/ffas
U.S. Trade Representative (USTR)	The U.S. Trade Representative is America's chief trade negotiator and the principal trade policy advisor to the President. In this role, the USTR and the Agency's staff are responsible for developing and implementing trade policies which promote world growth, and create new opportunities for American businesses, workers and agricultural producers. www.ustr.gov
***USTR Office of Intergovernmental Affairs and Public Liaison (IAPL)	The IAPL administers the federal trade advisory system and provides outreach and facilitates dialogue with state and local governments, the business and agricultural communities, labor, environmental, consumer, and other domestic groups on trade policy issues.

7.3.5 ICOM Mechanisms – Automated Systems

Automated System	Description
Automated Broker Interface (ABI)	(Customs) Provides a communications link for the transmission of entry and entry summary data on imported merchandise among all ABI users (brokers, importers, carriers, port authorities and computer service centers) and ACS. ABI saves Customs considerable data entry time and provides better quality data in a timelier manner. ABI benefits the importing community by expediting general examination releases and providing timely entry and import information.
Automated Clearinghouse (ACH)	Customs module for collection of tariffs and fees electronically. It is part of the Collection System which is part of ACS. The collections system is the billing and accounting system for ACS.
***Automated Commercial Environment (ACE)	(Customs) Future replacement for ACS
Automated Commercial System (ACS)	(Customs) ACS is an automated information system that tracks, controls, and processes all goods imported into the United States, including protests and summons to court. Through the use of Electronic Data Interchange (EDI), and the automated targeting of high risk shipments, ACS facilitates merchandise processing, significantly cuts costs, and reduces paperwork requirements for both Customs and the importing community. The system became operational in 1984 and continues

	to implement improvements, enhancements and new features. It operates 24 hours a day, 365 days a year on one large mainframe in Newington, Virginia. ACS has several modules including ABI, AMS, CSS, ACH, ESSS, and the Quota System.
Automated Export System (AES)	(Joint Customs and Census effort, resides at Customs) Provides paperless filing for Shippers Export Declaration (SED) Allows three record formats for interface: Custom proprietary Record format of AES, ANSI X.12, UN/EDIFACT. See Automated Export System Trade Interface Requirements (AESTIR). In January 2001, AES handled 683,984 shipments, including 159,272 AES Direct shipments. BUDGET: \$228 million for software development for ACE, an Internet-based system that can handle a greater volume of imports than the 17-year-old Automated Commercial System
AES Direct	AESDirect is the U.S. Census Bureau's free, internet based system for filing Shipper's Export Declaration (SED) information to the Automated Export System (AES). It is the electronic alternative to filing a paper SED, and can be used by U.S. Principal Parties in Interest (USPPIs), forwarders, or anyone else responsible for export reporting. Returns confirmation numbers and messages by e-mail, Customs proprietary or X-12 interface, AES Weblink integrates AES application with AESDirect. Gain access by letter of intent to U.S. Census Bureau
Automated Manifest System (AMS)	(Customs) AMS is both an imported merchandise inventory control and a cargo release notification system. AMS is a means of speeding the flow of cargo through an electronic release notification system reducing paperwork for both Carriers and Customs.
Automated Systems and Other Means	Rollup term for all non-human mechanisms to assist in performing an activity. Included automated systems, publications, fax systems, trade fairs, and other means
Automated Targeting System – Narcotics (ATS-N)	ATS is a Customs application used to target manifests for compliance verification. Includes ATS-Antiterrorism for export files in AES, ATS-Passenger, and ATS-Narcotics. The ATS System contains four major components: <ul style="list-style-type: none"> • ATS-Anti-Terrorism (ATS-AT) – supports the Congressional mandate for the Customs to develop a system able to target high-risk outbound shipments aboard passenger aircraft. This decision support tool helps the Customs more efficiently interdict, investigate, and support prosecution of violators of outbound laws, embargoes, and sanctions, with the primary focus on terrorism, currency, stolen vehicles, and controlled commodities. A rule-based expert system, ATS-AT automatically reviews electronically filed export documentation processed through the Automated Export System (AES). Through its rule manager, ATS-AT compares each documentation record with inspector-defined criteria for high-risk shipments and ranks the shipments based upon their level of suspicion. Guided by the results of the system, inspectors can devote more of their time to likely export violations.

	<ul style="list-style-type: none"> • ATS-Passenger (ATS-P) – Replaces the Worldwide Alien Narcotics Trafficking System (WANTS) effective October 1999. • ATS-Narcotics (ATS-N) – Assists Customs inspectors and other field operations staff by performing high-speed automated review and analysis of shipment data, and ranking shipments by level of suspicion for illegal narcotics activity. ATS-N will provide inspectors with a Web-based decision support tool to: <ul style="list-style-type: none"> – Screen arriving cargo for narcotics or contraband and other violations of import regulations and laws – Target suspicious shipments for examination – Seize contraband or initiate controlled delivery to apprehend the involved criminals – Assess and collect fines and duties owed to the United States under prevailing tariffs, regulations, and law <p>Trend Analysis and Analytical Selectivity Prototype (TAP) – Improves Customs ability to examine, locate, and target for action violations of United States laws, treaties, quotas, and policies regarding international trade. TAP offers trend analysis and targeting components. The trend analysis function summarizes historical statistics that provide the “big picture” of trade activity for commodities, importers, manufacturers, shippers, nations, and filers. The targeting component reviews shipments and generates risk scores for imports. Targeted findings allow users to perform research in the trend analysis component and detect other areas of noncompliance. The trend analysis component lets users identify anomalous trade activity in aggregate. By rapidly reviewing shipping documentation and identifying high-risk shipments, TAP allows import specialists to devote more time to potential trade violations, thus improving the effectiveness of trade law enforcement.</p>
<p>Border Release Advanced Selectivity System (BRASS)</p>	<p>Customs ACS module PC based system that used bar code technology to identify merchandise, shipper, manufacturer, etc. to track and release highly repetitive shipments at land border locations</p>
<p>BUYUSA.gov</p>	<p>Web site operated by Commerce and IBM to bring suppliers of U.S. products and services together with foreign companies outside the U.S.</p>

Cargo Selectivity System (CSS)	(Customs) CSS is a principal enforcement tool that specifies the type of examination (intensive or general) to be conducted for imported merchandise. A database of cargo selectivity criteria is established by National Import Specialists (NIS), national and local intelligence units, the Operational Analysis Staff (OAS) and local enforcement disciplines. This database of criteria is used to assess risks. Part of ACS
Customs Automated Port Profile System (CAPPS)	(Customs) CAPPS provides reports on compliance rates for commercial shipments entering the United States. In addition, it provides discrepancy rates for imported merchandise that is examined as a result of non-compliance measurement (CM) targets. This information allows Customs Officers to assess the effectiveness of their cargo exam targets, while also identifying areas of risk, so that they can focus their resources in areas that will improve the Trade's compliance with importing laws and regulations. It is distributed as a Windows application with data warehouse on CD-ROM.
Cut and Closeout Processing Software	(Census) Invented umbrella name for over 700 ??? modules which process entry summary data received by Census from Customs to develop goods import statistics
*** Data Access and Retrieval System (DARTS)	USDA ERS Sequel Server database containing Census statistics, foreign tariffs, HTS, and other information used by the USDA ERS in analyzing agricultural trade data (shown in ONCD)
Electronic Visa Information System (ELVIS)	U.S. Customs system which allows the electronic transmission of visa information for textile merchandise from a specific country to Customs. Contains data from Singapore
Entry Summary Findings Analysis System (ESFAS)	(Customs) ESFAS enables the production of reports on Entry Summary targeting effectiveness. Used in conjunction with CAPPS for collecting compliance rates, the Entry Summary Findings Analysis System assists Customs Officers to identify risk areas so that they can focus their resources on areas that will improve the Trade's compliance with importing laws and regulations.
Entry Summary Selectivity System (ESSS)	(Customs) Part of ACS. The entry summary selectivity system provides an automated review of entry summary data to determine whether commodity specialist team or routine review is required for classification and valuation. National and local entry summary selectivity criteria are matched to the input data for review determination
ERIC	Electronic equivalent of commodity classification request Form BXA-748P
Export Control Automated Support System (ECASS)	BXA database of export licenses
Export Risk Analysis-Online (EXR-Online)	SBA internet based foreign-risk-analysis tool used with Export Working Capital and International Trade Loan programs
Fax Polling	Trade Leads fax polling system used by USDA to distribute sales leads
Firearms & Explosives Import System (FEIS)	ATF system used to "track and manage" firearm importation.

Gold Key Service, also called gold key video	Service to facilitate communications between U.S. seller and foreign buyer which includes video teleconferencing
ITC DataWeb	Provides U.S. export information by product, market, etc.
***International Trade Data System (ITDS)	Future system prototype for integrated trade data system. Early documentation for system ideas documents many of the ideas for a futuristic international trade system. Was originally joint project with oversight committee from many agencies.
National Customs Automated Program (NCAP)	An automated Customs system for processing commercial importation that includes electronic filing of protests, drawback claims, bonds, import activity statements, reconciliation entries, and provides for remote location filing. NCAP was developed in response to legislative requirements in the Customs Modernization Act and to demonstrate selected aspects of the trade compliance program, such as Track 4 processing. It is currently deployed and operational at three ports of entry: Detroit, Port Huron, and Laredo. After pre-identifying parties to transactions, their relationships, and commodity data, trade participants will be able to import goods at the given locations with a minimal amount of data before arrival. Entry summary data will be transmitted electronically after the border crossing. This will allow Customs to provide for payment of duties, taxes, and fees on a monthly statement cycle and to generate detailed summary reports of accounts on a monthly basis. Other planned components of NCAP include electronic bond filing, electronic penalty processing, and remote location filing.
National Trade Data Base (NTDB)	The NTDB is a for fee access repository that contains a wealth of over 20,000 trade information items including foreign trade reports, tariff and trade statistics, documents, and ECCNs. Contains export promotion and international trade data collected by 15 U.S. government agencies; Census import and export by commodity and country, Country commercial guides, market research reports, international contacts, Country reports on economic policy and trade practices. www.stat-usa.gov . The system is maintained by the Commerce Department Economics and Statistics Administration Agency's STAT-USA organization
Numerical Integrated Profiling System (NIPS)	(Customs) NIPS provides a graphical interface for ACS data. NIPS allows the user to identify trends and anomalies in import data which may be indicative of illegal activities. These trends are not limited by port. Analyses can be done by commodity, importer, manufacturer, country of origin, port of entry, visa category, and broker. NIPS also allows for comparison of 7501, 3461, Bank Secrecy Act data, and Export Data.
Operational and Administration System for Import Support (OASIS)	FDA import control system. Provides basic shipment information. No selectivity capability

Operational Analysis System (OAS)	(Customs) Operational Analysis System (OAS) is the system used to provide analyses of information to support the targeting and enforcement functions of trade compliance. The results of analysis are used to define or update business rules for those functions. OAS obtains data from ACS.
<i>Other Means</i>	Rollup term used to refer to other mechanisms not specifically listed. These may be listed in a lower level activity diagram
Publications	Magazines or other printed materials published by agencies involved in international trade that contain trade leads or related trade promotion information
Quota System	(Customs) Part of ACS. The quota system controls quota levels of imported merchandise established by Presidential Proclamations, Executive Orders or other legislation.
***Research Strategic Venture Partners (RSVP)	On-line system for matching U.S. small businesses with potential venture partners at www.sbaonline.sba.gov
Seized Asset and Case Tracking System (SEACATS)	Customs system that creates and manages cases for seized property and liquidated damages and penalties. It allocates revenue to members of the Treasury Forfeiture Fund. Tracks all activity associated with seizures from the initial enforcement interest in the property until its final disposition. Activities include: recording values associated with the property; tracking and recording costs associated with the seizure, maintenance, storage, and disposition of the property; processing all financial activity associated with the property to include fines, collections, and equitable sharing of proceeds from the disposition of the property with other law enforcement entities. Agencies which are members of the Treasury Forfeiture Fund are: U.S. Customs, Secret Service, Alcohol, Tobacco, and Firearms (ATF), and Internal Revenue Service (IRS).
Simplified Network Application Process (SNAP)	BXA system for submitting export and re-export license applications, commodity classification requests, high performance computer notices, and multipurpose reporting forms using a WEB interface www.snapbxa.gov SNAP uses Secure Socket Layers (SSL) for encryption, authentication, and access control
Small Business Administration Automated Trade Locator Assistance System (SBAtlas)	(Current market information to SBA clients on world markets suitable for their products and services. Helps select best markets for product or service. Contains Country Reports which detail products imported and exported by foreign nations. Data supplied by DOC USBC and UN members.
Subsidies Enforcement Database	Referenced in USTR report as containing monitoring information for trade agreement violation
Supplier Lists	TBD
System for Tracking Export Licenses (STELA)	BXA telephone response system for tracking export licenses. User can dial in, enter their application control number, and obtain license application and commodity classification request status

Trade Fair	ITA or FAS sponsored show in foreign country at which U.S. goods are displayed to potential buyers. Also called Trade Show
Trade Mission	ITA or FAS sponsored trip of US company participants who travel to foreign countries and meet with selected foreign government and commercial representatives to discuss possible trade deals.
Trade and Related Agreements (TARA)	ITA database of negotiated agreements. Searchable text of more than 250 trade agreements accessible by title, service industry, goods industry, issue, or country/signatory of interest. (Not authentic copies and therefore not usable for legal purposes, (Trade Compliance Center, Commerce Department
Trade Policy Information System (TPIS)	(ITA) TPIS contains detailed current and historical trade data from various sources. US goods trade statistics from Census back to 1978 with full commodity detail, UN trade data from over 170 countries, International Monetary Fund and World Bank statistics on international finance, direction of trade, balance of payments, and developing country debt. TPIS is distinguished by its ability to do retrieval and manipulate operations on a variety of consistent, current detailed and extensive data series. TPIS is used by ITA, Congress, ITC and occasionally by USDA, Treasury, GAO, OMB, and the USTR
Treasury Enforcement Communication System (TECS)	(Customs) TECS is the cornerstone of Customs’ information management strategy for providing support for federal law enforcement missions. The primary mission of TECS is to support inspection personnel at borders and ports of entry, but a variety of other mission areas are also supported, including investigations, interdiction, and intelligence analysis. TECS provides major automation for the Interagency Border Inspection System (IBIS), serving as the clearinghouse for law enforcement data, as well as providing border inspection support software and communications. TECS also provides significant support for the Seized Asset Case Tracking System (SEACATS). Within TECS, a suite of different subsystems provides a number of query capabilities and access to other systems.
Video Conferencing	See Gold Key Service
Web Sites	Many agencies maintain web sites containing trade information. See the references for a list.
***World Trade Organization (WTO) Integrated Database	International trade data from the WTO containing import and export data from foreign countries as reported annually by those countries

7.3.6 Other Terms

Term	Description
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Ad Valorem	According to Value – Usually seen in context of HTS tariff rate is a percentage of the value of the good.
AES exemption statement	Statement on shipping documents (bill of lading, air waybill, etc. that states SED is not required for shipment and has reference number
Anti dumping duty	Duty assessed on imported goods likely to be sold in the U.S. at less than its fair value which is the amount the foreign market value exceeds the US price of the merchandise
ATA Carnet	Standardized international customs document used to obtain duty-free temporary admission of certain goods into country (French ATA is Admission Temporaire). The carnet is a guarantee against the payment of customs duties if temporarily imported goods do not eventually get reexported. U.S allows to be used for samples, professional equipment, and advertising.
Binding Tariff Classification	Ruling obtained through Customs port director or National Commodity Specialist Division that establishes classification of goods for tariff
Bonded Warehouse	A Customs bonded warehouse is a building or other secured area in which dutiable goods may be stored, manipulated, or undergo manufacturing operations without payment of duty. Upon entry of goods into the warehouse, the importer and warehouse proprietor incur liability under a bond. There are nine classes of bonded warehouses. Class 1 is a premise owned or operated by the government and used for the storage of merchandise that is undergoing Customs examination, is under seizure, or is pending final release from Customs custody. Unclaimed merchandise stored in such premises shall be held under ‘general order’. www.customs.gov/imp-exp2/comm-imp/bonded.htm
Carrier’s Certificate	Document issued by carrier that certifies who the owner of the goods is for customs purposes
Code of Federal Regulations (CFR)	TBD
Commodity Classification Request	Request by potential exporter to BXA to determine ECCN form CCL and other sources. Request is submitted on BXA 748P application
Commodity Jurisdiction Request	Request for ruling on which government agency has export ruling authority on proposed export item.
Commodity Classification Automation Tracking System (CCATS) Number	Number comes from BXA classification request. Must put on Export license application if have one
Commerce Control List (CCL)	Lists all commodities, technology, and software subject to licensing authority of BXA. EAR Part 774 Supplement 1
Compliance Assessment	Systematic evaluation of an importer’s systems supporting his or her Customs-related operations. Compliance assessments are conducted in accordance with 19 U.S.C. 1509 using statistical sampling

	and auditing techniques.
Compliance Measurement	The primary tool Customs uses to assess the accuracy of port-of-entry transactions to determine the compliance rate for all commercial importations. Based on statistical sampling.
Countervailing Duties (CVD)	Duties assessed to counter subsidies provided to merchandise that is exported to the U.S.
Drawback	Tax relief in which a lawfully collected customs duty is refunded or remitted wholly or in part because of the particular use made of commodity on which duty was collected. Items imported, processed or assembled, and re exported are candidates for drawback
Drawback Center	One of 8 (9? Baltimore) U.S. ports where a manufacturer or exporter can file a proposal for drawback under section 1313 a and subsequently file claims for drawback on the approved proposal
Drawback Proposal	A statement filed with the Customs Port Director (for 1313a) or with the Duty and Refund Determination Branch, Customs HQ for other types of drawback
Drawback Contract (Drawback Rate)	The drawback proposal submitted by the manufacturer/ exporter plus the letter approval constitute the drawback contract. Amendments to the contract are made by filing a new proposal statement
Duty	(Customs) A tax levied by a government on the import, export, or consumption of goods. Usually a tax imposed on imports by the customs authority of a country. Duties are generally based on the value of the goods (ad valorem duties), some other factor such as weight or quantity (specific duties), or a combination of value and other factors (compound duties)
Export Administration Regulation (EAR)	Government regulations controlling export available from NTIS. BXA is responsible for administering most parts of the EAR.
Export Control Classification Number (ECCN)	Classification number in the CCL which identifies individual item classes to be exported
Export License	Authorization issued by BXA to allow export of specific CCL identified item to stated country. License is valid for two years.
Export Reference Manual	Foreign country shipping, tariff, and other information. Produced by the Bureau of National Affairs
Export Trade Certificate of Review	Certificate from Dept. of Commerce and possibly Justice which provides some immunity from antitrust laws
Fees (User Fees)	Fees charged by Customs to defray cost of customs merchandise processing of imported merchandise, and harbor maintenance. Merchandise Processing Fee (MPF) does not apply to directly imported Canadian and Mexican origin goods under NAFTA
Formal Entry	Generally speaking, entries valued over \$ 2000. Compare with informal entry, those valued less than

	\$2000
FT900	Census report of trade statistics
FT925	Referenced in SBA literature – possibly old report of monthly country specific breakdown of imports and exports by SITC number available from the Government Printing Office
General Drawback Contract	Type of drawback contract which eliminates the need for submission of a proposal
General Order Warehouse	Location where Customs can place goods for which no entry has been filed within 5 working days of arrival at owners risk and expense. If goods are not entered within 1 year, they can be sold at public auction
Generalized System of Preferences (GSP)	The GSP is a program for providing for free rates of duty for certain merchandise from beneficiary developing independent countries and dependent countries and territories to encourage their economic growth
In-Bond	Moving Goods "In-bond" The term "In-Bond"(19 CFR 144.0 definition of "In-Bond") is used to explain the system of admitting merchandise provisionally to a country without payment of duties and under customs supervision -- either for storage in a bonded warehouse or for trans-shipment to another point. In the United States, the "Warehouse Entry Summary" is the document (19 CFR 144.11 Customs Form 7501) that identifies goods imported that will be placed in a bonded warehouse. The duties are not assessed on the products while stored in the warehouse but will be collected when they are withdrawn for delivery or consumption. Furthermore, Customs requires that a bond (19 CFR 144.13 Customs Form 301) be obtained by the importer at the time of entry for warehouse in addition to Customs Form 7501. http://www.itds.treas.gov/in_bond.html
Informed Compliance	A shared responsibility between Customs and the import community wherein Customs effectively communicates its requirements to the trade, and the people and businesses subject to those requirements conduct their regulated activities in accordance with U.S. laws and regulations. A key concept if informed compliance is that the importer is expected to exercise reasonable care in his or her importing operations.
International Company Profiles (ICP)	Developed by U.S. Embassies and consulates on request at a fee.
Liquidation	The point at which the Customs Services ascertainment of the rate and amount of duty becomes final for most purposes. Liquidation is accomplished by posting a notice on a public bulletin board at the customs house. Protest rights accrue when the notice is posted. An importer may receive an advance notice on Customs form 4333A Courtesy Notice stating when and in what amount duty will be liquidated.

Notice of Intent (NOI)	Customs Form 7553 Notice of Intent to Export, Destroy, or return merchandise for purposes of drawback 19 CFR 191.25, 35, 71
Port of Arrival	TBD
Port of Entry	Places (seaports, airports, or land border ports) designated by the Secretary of the Treasury where Customs officers or employees are assigned to accept entries of merchandise, clear passengers, collect duties, and enforce the various provisions of Customs and related laws. There are over 300 U.S. ports of entry.
Proof of Export	Must be submitted with Drawback Entry to prove goods exported (or destroyed???)
Reasonable Care	The importer is responsible for exercising reasonable care in his transactions. This includes but is not limited to proper dealings to 1. determine the correct description and HTS classification of goods, 2. provide correct valuation, costing, and payment information, 3. determine and correctly label country of origin, 4. ensure no fraudulent transshipment is involved, 5. comply with quota and visa requirements, 6. verify legality of trademark, patent, or copyright aspects of shipment, 7. obtained proper licenses or permits from FDA, EPA, DOT, FTS, etc. when applicable to goods 8. comply with anti dumping and countervailing- duty requirements 9. assure right to make entry, 10. file correct entry type and other paperwork with Customs. 11. Ensure shipments are properly packaged and labeled, 12. Assess the reliability and reputability of other importers and parties in the transaction.
Reconciliation	Reconciliation: The process which allows an importer to identify undeterminable information (other than that affecting admissibility) to Customs, and provide the outstanding information at a later date. Reconciliation also refers to the entry on which the outstanding information is provided. Reconciliation allows the importer, using reasonable care, to file entry summaries with Customs with the best available information, with the mutual understanding that certain elements, such as the declared value, remain outstanding. At a later date, when the specifics have been determined, the importer files a Reconciliation which provides the final and correct information. The Reconciliation is then liquidated, with a single or refund, as appropriate. http://www.customs.gov/imp-exp2/comm-imp/recon/index.htm
Right to Make Entry	Evidence that goods have right to enter the U.S. Normally, a bill of lading endorsed by the consignee or an air waybill provide such evidence.
Schedule B Codes	10 digit codes based on the HS and administered by the U.S. Census Bureau to report exported goods. There are about 8,000 product codes www.census.gov/foreign-trade/www/
Specially Designated Nationals List	Lists entities with whom certain export and export related transactions are prohibited or restricted, primarily frontrunners for trade with embargoed nations. Maintained by OFAC (Treasury)
Table of Denial Orders	Lists entities with whom certain export and export related transactions are prohibited. Available

	through BXA www.primenet.com/~bxawest
Tariff	Tariffs include duties and excises taxes.
Trade Act of 1974	Section 301 of this act is the principal U.S. statute for addressing foreign unfair practices affecting U.S. exports of goods or services. It provides the U.S. authority to enforce trade agreements, resolve trade disputes, and open foreign markets to U.S. goods and services. It prescribes the consultation and dispute settlement procedures the USTR must follow for an alleged violation of a U.S. trade agreement.
Trade Expansion Act of 1962	Established the Office of the U.S. Trade Representative
Transaction Value	The Customs value of the merchandise exported to the U.S. The transaction value includes the price of the goods plus such costs at packing, selling commission, value of any assist, royalty or license fee, and the proceeds accruing to the seller of any subsequent resale, disposal, or use of the imported merchandise.
Temporary Importation Under Bond (TIB)	Selected types of goods such as manufacturer samples, models, existing emergency clearance equipment, temporary importation for racing or other contests, animals for breeding, exhibition, or competition, or merchandise to be repaired, altered, or processes, all not for sale, can be admitted under bond without payment of duty, for exportation within a period of up to one year with possible extensions
Waiver of Prior Notice	19 C.F.R. 191.91 For unused merchandise drawback claimants. Frees exporter from notifying Customs in advance of pending exportation and normally precludes customs inspection of drawback entities

7.4 Operational Node Connectivity Diagram Entries

Operational Nodes

Operational Node Name	Attributes
	See descriptions in Section 7.3 for Organizations

Needlines

Needline Identifier	Other Needline Attributes
	TBD – See the ONCD Facing page text and Information Exchange Matrix

7.5 Operational Information Exchange Matrix Entries

Column Contents

Identifier	Description
Information Exchange Identifier	<p><i>Definition:</i> A unique identifier given to each information exchange to allow easy reference to it. The information exchange matrix is (will be) arranged by needline, then sequence of the exchange over the needline in a ‘big picture’ story</p> <p><i>Example Contents:</i> TBD</p>
Size/Units	<p><i>Definition:</i> A rough estimate of the size the information to be exchanged. <i>Bounded</i> indicates that an upper bound on the size of the information exchanged should exist. <i>Small</i> indicates the range of information to be exchanges is probably not significantly above 1 Megabyte, but no firm requirement has been established at this time. <i>Indeterminate</i> indicates that no upper bound has been established at this time or an upper bound may not be possible to compute, and the information is likely to be larger than one megabyte. In cases where it is not possible to compute an upper bound, it may be possible to compute an average size.</p>
Media:	<p><i>Definition:</i> The means or agent that will be used to transfer information. <i>Data</i> implies the information will be exchanged electronically.</p> <p><i>Example Contents:</i> Data, Paper, Phone, FAX</p>
Collaborative?	<p><i>Definition:</i> An information exchange is <i>collaborative</i> if it takes place in an interactive session such as a web session in which the user is completing a web form where a two way information exchange (involving two needlines) is implied. This type of exchange implies that a response time adequate to support human interaction is required. An information exchange is identified as <i>Supports Collaborative (SC)</i> if it is a back end query or response to or from another system and that query/response will be used in a collaborative session.</p> <p><i>Example Contents:</i> Yes, No, SC</p>
LISI	<p><i>Definition:</i> Levels of Information Systems Interoperability (LISI) – a level indicating the degree of sophistication required to accomplish interaction between information systems. See DoD Architecture Framework Version 1.0 for further information</p> <p><i>Example Contents:</i> 0 (Isolated), 1 (Connected), 2 (Functional), 3 (Domain), 4 (Enterprise)</p>
Frequency	<p><i>Definition:</i> The number of times an information exchange takes place over some unit of time.</p>
Timeliness	<p><i>Definition:</i> The time during which the information exchanged retains its business usefulness to make the exchange meaningful for the parties involved. Note that this is different from the desired response time for the parties involved</p>

	<i>Example Contents:</i> Seconds, Minutes, Hours, Days
Throughput	<i>Definition:</i> The total number of units that must be exchanged over some unit of time
Privacy/Dissemination Controls	<i>Definition:</i> Indicates that some privacy or dissemination control may be needed for this information exchange because the information is covered by the Privacy Act, contains corporate competitive or financial information, or for some other reason. C/I indicates confidential and contains information that may be proprietary (i.e., commercially sensitive information). C/F indicates confidential and contains financial information (may also contain Privacy Act information). C/P indicates confidential and contains information covered by the Privacy Act. <i>Example Contents:</i> C/F, C/I, C/P
Authentication Required?	<i>Definition:</i> A yes or no indication that the recipient needs to verify the identify of the source of the message to ensure the authenticity of the source and message
Threats -Electronic	Indicates what the threat might be to an electronic information exchange. UA indicates unauthorized access. UM indicates unauthorized modification. L indicates loss or destruction. Umessage indicates unauthorized message or information exchange (i.e., either fraudulent or sent by a party without proper authority)

7.6 System Interface Description (SID) Entries

SID Systems Nodes

Systems Node Name	Attributes
	TBD - System descriptions are in Section 7.3

SID Systems

System Name	Other Attributes
	TBD - High-level system descriptions are in Section 7.3

SID Links

Link Name	Other Attributes
	This level of detail is not available at this time

SID System Functions

Name	Description
	TBD - High-level system functions are covered in Section 7.3

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Web Sites

www.bxa.doc.gov Bureau of Export Administration

www.customs.gov

www.exim.gov – Export-Import Bank of the United States

www.treas.gov/ofac/ Treasury Department Office of Foreign Assets Controls

www.fas.usda.gov

www.ers.usda.gov

www.osec.doc.gov/bmi/35-la.htm BEA responsibilities

www.sba.gov/oit/

www.trade.gov - ITA web site

www.usitc.gov

www.wcoomd.org - World Customs Organization - G7 data harmonization and other information

<http://www.business.gov/busadv/maincat.cfm?catid=22> Has links to all the other sites – gives brief description of organizations

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Bureau of the Census, Foreign Trade Division

Monk, C. Harvey, Chief, FTD

Woods, Charles A., Assistant Division Chief, FTD

BXA

Leacy, Stephen S., Senior International Advisor, Export Enforcement, BXA

DOT

M.J. Fiocco, Transportation Specialist, Intermodal Freight, Office of Intermodalism, Office of the Secretary

ITA

Bohling, Brinton, Industrial Trade, Office of Trade and Economic Analysis, ITA

Hale, Peter, Acting Assistant Secretary for Market Access and Compliance, ITA

Macklin, Renee A., Chief Information Officer, ITA

McMahon, Bernard E., Director, Office of Information Resources Management, ITA
Smith, Wendy Haimes, Director, Interagency Export Programs Division and the Trade Information Center (TIC)

U.S. Customs

Hill, John, Director, Trade Systems Branch, Software Development Division, Office of Information and Technology
Nolle, William L., Trade Systems Branch, Software Development Division, Office of Information and Technology

USDA

Gibson, Paul, Coordinator of Economic Research Database and Modeling Systems, ERS, USDA
Grueff, James D., Assistant Deputy Administrator, International Trade Policy, FAS, USDA

USITC

MacKnight, Peggy J., Tariff and Trade Information Manager, USITC
Smith, Martin, Director, Office of Information Services, USITC

USTR

Moore, Paul W., Director, Market Access, USTR

Private Industry

Kent, J.H., Kent and O'Connor, Inc., Washington, D.C.
Scott, Sandra, Roadway Express

In addition to some of the interviewees listed above, copies of the document draft for review and comment were provided to:

U.S. Customs

Mary C. King

USDA

Pat Sheikh

USTR

Carmen Suro-Bredie

MITRE

Ray Beamer

Appendix

Operational Information Exchange Matrix

Additional Product Discussion

At this time, some of the information exchange matrix in the attached spreadsheet is organized by the top level activities in the Activity Model rather than by needline. This allows one to check the matrix more easily as one reviews the Activity Model. The matrix needs to be checked against the Activity Model and the ONCD. When it matures, all of the matrix will be organized by needline so one can group all the information exchanged between two nodes to begin summarizing the characteristics required for a particular needline. The information presented is preliminary and will be completed gradually as more is known about the information exchanges. Subject Matter Expert (SME) input is needed to improve the quality and quantity of information in the matrix.

Assumptions

TBD

Column Contents Definitions and Codes

- Size/Units: “Bounded” indicates that an upper bound on the size of the information exchange should exist, “small” indicates that the range is in the Megabytes; “Indeterminate” indicates that the upper bound cannot be calculated although an average size may be estimated.
- LISI (Levels of Information Systems Interoperability) – a characterization of the level of sophistication of information exchange required (not filled in for this draft)
- Timeliness: The values in this column (seconds, minutes, hours, days) indicate the required response time for the information exchange to be meaningful for the parties involved.
- Privacy/Dissemination Controls: C/P - confidential, contains privacy information (covered by Privacy Act); C/F - confidential, contains financial information (may also be covered by Privacy Act); C/I - confidential, contains information that may be proprietary (i.e., industrial or commercially sensitive information); C - confidential for other reasons

- Authentication Required?: “Yes” indicates that current documentation shows some degree of authentication is or will be performed; “No” indicates that no documentation or information regarding authentication has been found for the information exchange in question.
- Threats: These columns focus on the “what” of the threat, rather than the “who” or “how.” UA - unauthorized access; UM - unauthorized modification; L - loss or destruction; Umessage - unauthorized message or information exchange (i.e., either fraudulent or sent by a party without proper authority)