

# NAFTA Duty Deferral

*This chapter provides records related to the entry summary processing of NAFTA Duty Deferral transactions.*

## RECORD DESCRIPTIONS

<b>Record Identifier D01 (Input)</b> .....	<b>NDD-3</b>
This is a mandatory input header record that provides NAFTA Duty Deferral entry summary data.	
<b>Record Identifier D02 (Input)</b> .....	<b>NDD-5</b>
This is an optional input header record that provides entry summary data.	
<b>Record Identifier D03 (Input)</b> .....	<b>NDD-6</b>
This is an optional input header record that provides entry summary data.	
<b>Record Identifier D10 (Input)</b> .....	<b>NDD-7</b>
This is a mandatory input record that provides entry summary data.	
<b>Record Identifier D11 (Input)</b> .....	<b>NDD-9</b>
This is a conditional input record that provides entry summary data.	
<b>Record Identifier D12 (Input)</b> .....	<b>NDD-10</b>
This is a mandatory input record that provides entry summary data.	
<b>Record Identifier D13 (Input)</b> .....	<b>NDD-11</b>
This is a conditional input record that provides entry summary data.	
<b>Record Identifier D14 (Input)</b> .....	<b>NDD-12</b>
This is a conditional input record that provides entry summary data.	
<b>Record Identifier D20 (Input)</b> .....	<b>NDD-13</b>
This is a conditional input record that provides entry summary data.	
<b>Record Identifier D30 (Input)</b> .....	<b>NDD-14</b>
This is a mandatory input record that provides entry summary data.	
<b>Record Identifier D31 (Input)</b> .....	<b>NDD-17</b>
This is a conditional input record that provides entry summary data.	
<b>Record Identifier D00 (Output)</b> .....	<b>NDD-18</b>
This is a conditional output record. This record provides ABI acceptance notification of a NAFTA Duty Deferral Claim.	
<b>Record Identifier DER (Output)</b> .....	<b>NDD-19</b>
This is a conditional output record. This record provides an ABI error message and error code when the D00 (output) record indicates "CLAIM REJECTED".	

# **NAFTA Duty Deferral**

The following ABI record layouts pertain to the NAFTA Duty Deferral Entry Program. NAFTA Duty Deferral entry summaries are identified by a new entry type code, 08. NAFTA Duty Deferral is defined as any good that has been imported into a NAFTA country under a duty deferral program, which is used as a material in the production of another good and is subsequently exported to the territory of another NAFTA country. Such a good shall be assessed U.S. Customs and Border Protection (CBP) duties as if the exported good had been withdrawn for domestic consumption.

The NAFTA Duty Deferral Entry Program represents a two-part process. The first part represents the “NAFTA Duty Deferral Entry” which will contain both header and detailed U.S. line item information. This information is reported at the time the merchandise is exported into the NAFTA Country. The second part, the claim portion, represents the NAFTA Country entry information related to the exportation reported in the first part. The claim information will include the NAFTA Country line item data.

***Input:*** Record Identifiers D01, D10, D12, and D30 are mandatory input records. Record Identifiers D02 and D03 are optional input records. Record Identifiers D11, D13, D14, D20, and D31 are conditional input records.

The input application identifier on Record Identifier B is KJ. For additional information on Record Identifier B, refer to the Application Control chapter of this document.

***Output:*** Record Identifier D00 is a mandatory output record. Record Identifier DER is a conditional output record.

The output application on Record Identifier B is KL. For additional information on Record Identifier B, refer to the Application Control chapter of this document.

## Record Identifier D01 (Input)

This is a mandatory input header record that provides NAFTA Duty Deferral entry summary data pertaining to the claim type indicator, entry type code, district/port of the claim, claim filer code, claim number, export date, importer of record number, ultimate consignee number, bond type, surety code, and location of goods.

<b>Record Identifier D01 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D01.	
Claim Type Indicator	1N	4	M	A code identifying the type of claim. The valid claim types are:  1 = Warehouse 2 = FTZ 3 = TIB	
Entry Type Code	2N	5-6	M	A code identifying the type of entry. The valid entry type for this application is 08.	
District/Port of Claim	4N	7-10	M	A code representing the district/port where the claim is being made.	
Claim Filer Code	3AN	11-13	M	A unique code assigned by CBP to all active entry document preparers.	
Claim Number	8N	14-21	M	The number assigned to the claim.	
Export Date	6N	22-27	M	A numeric date in the MMDDYY (month, day, year) format representing the importation date into Canada or Mexico. If more than one importation date is present due to multiple Canadian or Mexican entries represented on the claim, report the date of the first importation in this field. Must be greater than 010196.	
Importer of Record Number	12X	28-39	M	A code representing the importer of record.	
Ultimate Consignee Number	12X	40-51	M	A code representing the ultimate consignee.	
Bond Type	1N	52	M	A code representing the valid bond type. Must be either '8' or '9'.	
Team Number	3N	53-55	M	A code indicating the CBP import specialist team assigned to the claim.	
Surety Code	3N	56-58	C	A code identifying the surety company providing the bond coverage for the claim.	

*Customs and Trade Automated Interface Requirements*

<b>Record Identifier D01 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Surety Code (AD/CVD)	3N	59-61	C	A code representing the AD/CVD surety.	
Location of Goods	4AN	62-65	C	The Location of Goods code is a Facilities Information and Resources Management Systems (FIRMS) code and is provided by the CBP. This code is a 4-position serial number. If CLAIM TYPE INDICATOR = '1' or '2' then a valid FIRMS code must be present.	
NAFTA Duty Deferral Country	2A	66-67	M	The ISO code representing the NAFTA country. Currently, the valid ISO country codes will be CA - Canada and MX - Mexico.	
Filler	13AN	68-80	M	Space fill.	

## Record Identifier D02 (Input)

This is an optional input header record that provides entry summary data pertaining to the CBPF-4811 reference number and broker reference number.

<b>Record Identifier D02 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D02.	
CBPF-4811 Reference Number	12X	4-15	O	A reference number contained on CBP Form 4811, which is filed with the CBP. If there is no CBPF-4811 Reference Number, then space fill.	
Broker Reference Number	9X	16-24	O	This field is provided for the convenience of the user. An optional code provided by the participant, it is not edited or changed during ACS processing. It is for internal user system control in entry summary processing. The Broker Reference Number is mandatory when the Update Action Code <i>A</i> is used to replace previously entered entry summary data and must match exactly the Broker Reference Number as originally transmitted. ACS replaces data when the entry numbers match the entry number previously transmitted to ACS. Refer to Record Identifier 10 for additional information on update action codes.	
Filler	56AN	25-80	M	Space fill.	

## Record Identifier D03 (Input)

This is an optional input header record that provides entry summary data pertaining to the IE/TE number, IE/TE date, IE/TE quantity, and IE/TE unit.

<b>Record Identifier D03 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D03.	
IE/TE Number	12AN	4-15	M	A code representing the IE/TE number. If Record Identifier D03 has been reported then this field must be present with a value greater than zero.	
IE/TE Date	6N	16-21	M	A numeric date related to the IE/TE number in the MMDDYY (month, day, year) format. The date may not be less than 010196 or greater than the system (transmission) date.	
IE/TE Quantity	8N	22-29	M	A value representing the quantity associated with the IE/TE.	
IE/TE Unit	5X	30-34	M	An abbreviation representing the unit of measure.	
Filler	46AN	35-80	M	Space fill.	

## Record Identifier D10 (Input)

This is a mandatory input record that provides entry summary data pertaining to the line item number, export tariff number, import entry filer code, import entry number, import FTZ number, country of origin, country of export, zone status, privileged status filing date, and warehouse entry process type. Multiple D10 records can be used.

<b>Record Identifier D10 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D10.	
Line Item Number	3N	4-6	M	A line item refers to a commodity from one country, covered by a line that includes a net quantity, value and tariff number. Valid line item numbers are 001 to 999.	
Export Tariff Number	10AN	7-16	M	A code in the HTS representing the export tariff number.	
Import Entry Filer Code	3AN	17-19	C	The filer code of the entry summary from which the claim is being made.	1
Import Entry Number	8N	20-27	C	The entry number from which a claim is being made.	1
Import FTZ Number	7AN	28-34	C	A code representing the foreign trade zone from which a claim is being made.	
Country of Origin	2X	35-36	M	The ISO country code of the country of origin. Valid ISO country codes are listed in Appendix B.	
Country of Export	2X	37-38	C	The ISO country code of the exporting country. Valid ISO country codes are listed in Appendix B.	
Zone Status	1AN	39	C	A code representing the status of the foreign trade zone. Valid zone status codes are:  P = Privileged Foreign Merchandise N = Non-privileged Foreign Merchandise D = Domestic Merchandise Z = Zone Restricted Merchandise	
Privileged Status Filing Date	6N	40-45	C	A numeric date in MMDDYY (month, day, year) format representing the privileged status filing date.	

<b>Record Identifier D10 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Warehouse Entry Process Type	1AN	46	C	A code representing the type of warehouse processing. Valid warehouse processing type codes are:  1 = Manipulation 2 = Smelting or Manufacturing	2
Filler	34AN	47-80	M	Space fill.	

**Note 1**

The import filer/entry number must be resident on the ENA/ENX file. If the CLAIM TYPE INDICATOR = 2 then this field shall not be required.

**Note 2**

If the CLAIM TYPE INDICATOR (located in Record Identifier D01) = 1 then this field must be reported containing one of the valid codes. If the CLAIM TYPE INDICATOR = 2 or 3 then this field shall be space filled.

## Record Identifier D11 (Input)

This is a conditional input record that provides entry summary data pertaining to the antidumping case number, antidumping duty, antidumping specific deposit value, antidumping deposit rate, antidumping bonded duty indicator, countervailing case number, countervailing duty, countervailing specific deposit value, countervailing deposit rate, and countervailing bonded duty indicator.

<b>Record Identifier D11 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D11.	
Antidumping Case Number	10AN	4-13	C	The specific antidumping case number.	
Antidumping Duty	10N	14-23	C	The antidumping duty associated to the line item.	
Antidumping Specific Deposit Value	10N	24-33	C	A value in whole U.S. dollars to be used exclusively and in lieu of any other line item value to calculate antidumping duty.	
Antidumping Deposit Rate	5N	34-38	C	The decimal representation of the percentage of the antidumping deposit rate.	
Antidumping Bonded Duty Indicator	1AN	39	C	A code indicating if the antidumping duty is bonded. Valid codes are:  0 = ADD is not bonded 1 = ADD is bonded Space fill = No ADD case	
Countervailing Case Number	10AN	40-49	C	The specific countervailing duty case number.	
Countervailing Duty	10N	50-59	C	The countervailing duty associated with the line item.	
Countervailing Specific Deposit Value	10N	60-69	C	A value in whole U.S. dollars to be used exclusively and in lieu of any other line item value to calculate countervailing duty.	
Countervailing Deposit Rate	5N	70-74	C	The decimal representation of the percentage of the countervailing duty deposit rate.	
Countervailing Bonded Duty Indicator	1AN	75	C	A code indicating if the CVD is bonded. Valid codes are:  0 = CVD is not bonded 1 = CVD is bonded Space fill = No CVD case	
Filler	5AN	76-80	M	Space fill.	

## Record Identifier D12 (Input)

This is a mandatory input record that provides entry summary data pertaining to the special programs indicator (primary or country), tariff number, value, duty, quantity (1), unit of measure (1), and special programs indicator (secondary).

<b>Record Identifier D12 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D12.	
Special Programs Indicator (Primary or Country)	2X	4-5	C	A code representing the primary or country Special Program Indicator (SPI).	
Tariff Number	10AN	6-15	M	A code in the HTS representing the import tariff number.	
Value	10N	16-25	M	The value of the line item in whole U.S. dollars.	
Duty	10N	26-35	C	A value representing the duty associated with the tariff number. Two decimal places are implied. If the value is a whole number, the two low order (cents) positions contain zeros. If zero duty is valid then use zeros or space fill in this field.	
Quantity (1)	12N	36-47	C	A value representing the first or only quantity associated with the tariff number.	
Unit of Measure (1)	3AN	48-50	C	A code representing the first or only unit of measure associated with the tariff number.	
Special Programs Indicator (Secondary)	1X	51	C	A code representing the secondary SPI.	
Filler	29AN	52-80	M	Space fill.	

## Record Identifier D13 (Input)

This is a conditional input record that provides entry summary data pertaining to the quantity (2), unit of measure (2), quantity (3), and unit of measure (3).

<b>Record Identifier D13 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D13.	
Quantity (2)	12N	4-15	M	A value representing the second quantity associated with the tariff number.	
Unit of Measure (2)	3AN	16-18	M	A code representing the second unit of measure associated with the tariff number.	
Quantity (3)	12N	19-30	C	A value representing the third quantity associated with the tariff number.	
Unit of Measure (3)	3AN	31-33	C	A code representing the third unit of measure associated with the tariff number.	
Filler	47AN	34-80	M	Space fill.	

## Record Identifier D14 (Input)

This is a conditional input record that provides entry summary data pertaining to the class code and user fee amount.

<b>Record Identifier D14 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D14.	
Class Code	3N	4-6	M	A code that identifies the type of fee being collected. Codes are listed in Appendix B.	
User Fee Amount	8N	7-14	M	A value associated with the line item data that represents the declared fee as imposed by federal regulation.	
Filler	66AN	15-80	M	Space fill.	

## Record Identifier D20 (Input)

This is a conditional input record that provides entry summary data pertaining to the NAFTA country entry number, NAFTA country entry date, NAFTA country harmonized tariff number, NAFTA country duty rate, NAFTA country paid duty in NAFTA country dollars, and NAFTA country paid duty in U.S. dollars.

<b>Record Identifier D20 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D20.	
NAFTA Country Entry Number	14AN	4-17	M	The number assigned to the NAFTA country's export entry.	1
NAFTA Country Entry Date	6N	18-23	M	A date in MMDDYY (month, date, and year) format representing the entry date of the NAFTA countries exports entry. Must be greater than or equal to 010196 and less than or equal to the system (transmission) date.	
NAFTA Country Harmonized Tariff Number	10AN	24-33	M	A code representing the NAFTA country tariff number. For Mexico only, when the HS number reported is at the 6 or 8-digit level, left justify the field and space fill the remaining positions with zeros (0).	2
NAFTA Country Duty Rate	12N	34-45	M	A value representing the Canadian or Mexican duty rate associated with the Canadian or Mexican tariff number.	
NAFTA Country Paid Duty (In NAFTA Country Currency)	12N	46-57	M	A value representing the paid duty.	
NAFTA Country Paid Duty (In U.S. Dollars)	12N	58-69	M	A value representing the NAFTA country paid duty in U.S. dollars for the associated tariff.	
Filler	11AN	70-80	M	Space fill.	

### Note 1

List either the Canadian or Mexican Pedimento (entry) number. The Mexican Pedimento number is 15-digits. For purposes of this transaction, the first digit of the Pedimento is not used. The Pedimento number should be left justified beginning in position 4.

### Note 2

For Canada, the HS number must always be reported at the 10-digit level, no less. For Mexico, use the HS number as found on the Pedimento.

## Record Identifier D30 (Input)

This is a mandatory input record that provides entry summary data pertaining to the total value of claim, total estimated duty (U.S.), total NAFTA country paid duty (in U.S. dollars), total duty owed, total fee, payment type indicator, preliminary statement print date, client branch designation, and NAFTA country entry list disclaimer.

<b>Record Identifier D30 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D30.	
Total Value of Claim	11N	4-14	M	A value representing the total value of the claim.	
Total Estimated Duty (U.S.)	11N	15-25	C	A value representing the total estimated U.S. duty of the claim.	
Total NAFTA Country Paid Duty (In U.S. Dollars)	11N	26-36	C	A value representing the NAFTA country paid duty, in U.S. dollars for the claim.	
Total Duty Owed	11N	37-47	M	A value representing the total duty owed the CBP. The value is equal to the TOTAL ESTIMATED DUTY (U.S.) minus TOTAL NAFTA COUNTRY PAID DUTY (IN U.S. DOLLARS). If no duty is owed, report zeros in this field. If the TOTAL NAFTA COUNTRY PAID DUTY (IN U.S. DOLLARS) is greater than the TOTAL ESTIMATED DUTY (U.S.) then zeros shall appear in this field. If the TOTAL NAFTA COUNTRY PAID DUTY (IN U.S. DOLLARS) is less than the TOTAL ESTIMATED DUTY (U.S.) then the difference between the two amounts shall appear in this field.	
Total Fee	11N	48-58	C	A value representing the total user fee amount for the claim, two decimal places are implied.	

*Customs and Trade Automated Interface Requirements*

<b>Record Identifier D30 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Payment Type Indicator	1N	59	C	<p>A code representing the method of payment. Valid payment type indicators are:</p> <p>1 = If payment of the claim is to be made on an individual basis.</p> <p>2 = If payments are to be batched by preliminary statement print date and filer code.</p> <p>3 = If payments are to be batched by preliminary statement print date and importer of record number.</p> <p>5 = If payments are to be batched by preliminary statement print date and importer of record for an importer with several suffixes.</p> <p>If the PAYMENT TYPE INDICATOR equals 2, 3, or 5 then at least one valid D20 record must be present.</p>	
Preliminary Statement Print Date	6N	60-65	C	<p>This field applies to ACS participants authorized for Daily Statement capabilities. It is the date selected for this entry summary to appear on the Preliminary Daily Statement. It must be greater than the current date and it cannot be a Saturday, Sunday, or holiday. It may be prior to the date on which the claim will be paid. Transmitting a Preliminary Statement Print Date that allows timely filing and payment of the statement is the filer's responsibility. A Preliminary Statement Print Date of 90 days greater than the system date will be rejected. Enter the Preliminary Statement Print Date in MMDDYY (month, day, year) format when the Payment Type Indicator = 2, 3, or 5. Space fill this data element when the Payment Type Indicator = 1 or if not authorized for batch payment.</p>	
Client Branch Designation	2AN	66-67	O	<p>A code that allows a filer to designate separate statements for individual branches within the same district/port code.</p>	

*Customs and Trade Automated Interface Requirements*

<b>Record Identifier D30 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
NAFTA Country Entry List Disclaimer	1AN	68	M	<p>A code, which indicates that NAFTA country entry data associated with the claim, will or will not be provided. Valid codes are:</p> <p>Space fill = Associated NAFTA country entry data will be provided. 1 = Associated NAFTA country entry data will not be provided.</p> <p>If NAFTA COUNTRY DISCLAIMER = 'space fill' then the transaction must contain at least one valid D20 record. If NAFTA COUNTRY DISCLAIMER = '1' then the transaction shall not contain a valid D20 record.</p>	
Filler	12AN	69-80	M	Space fill.	

## Record Identifier D31 (Input)

This is a conditional input record that provides entry summary data pertaining to the total bonded antidumping duty, total payable antidumping duty, grand total antidumping duty, total bonded countervailing duty, total payable countervailing duty, and grand total countervailing duty.

<b>Record Identifier D31 (Input)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D31.	
Total Bonded Antidumping Duty	11N	4-14	C	A value representing the total bonded antidumping duty.	
Total Payable Antidumping Duty	11N	15-25	C	A value representing the total payable antidumping duty.	
Grand Total Antidumping Duty	11N	26-36	C	A value representing the total bonded and payable antidumping duty.	
Total Bonded Countervailing Duty	11N	37-47	C	A value representing the total bonded countervailing duty.	
Total Payable Countervailing Duty	11N	48-58	C	A value representing the total payable countervailing duty.	
Grand Total Countervailing Duty	11N	59-69	C	A value representing the total bonded and payable countervailing duty.	
Filler	11AN	70-80	M	Space fill.	

## Record Identifier D00 (Output)

This is a conditional output record that provides data pertaining to the claim filer code, claim number and narrative message. This record provides ABI acceptance notification of a NAFTA Duty Deferral Claim.

<b>Record Identifier D00 (Output)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal D00.	
Claim Filer Code	3AN	4-6	M	The filer code assigned to the claim.	
Claim Number	8N	7-14	M	The number assigned to the claim.	
Filler	3AN	15-17	M	Space fill.	
Narrative Message	25AN	18-42	M	A narrative message that the claim has been received. The messages are: "CLAIM ACCEPTED ERROR FREE" or "CLAIM ACCEPTED WITH WARNINGS" when the claim has been accepted.	
Filler	38AN	43-80	M	Space fill.	

## Record Identifier DER (Output)

This is a conditional output record that provides data pertaining to the claim filer code, claim number, error message identifier, and narrative message. This record provides an ABI error message and error code when the D00 (output) record indicates “CLAIM REJECTED”.

<b>Record Identifier DER (Output)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	3AN	1-3	M	Must always equal DER.	
Claim Filer Code	3AN	4-6	M	The filer code assigned to the claim.	
Claim Number	8N	7-14	M	The number assigned to the claim.	
Error Message Identifier	3AN	15-17	M	A code identifying the error message.	
Narrative Message	34AN	18-51	M	The error message indicating that the claim data associated with the record did not meet edit criteria.	
Filler	29AN	52-80	M	Space fill.	