

**Department of Commerce
U.S. Census Bureau
OMB Information Collection Request
Automated Export System (AES) Program
OMB Control No. 0607-0152**

B. Collection of Information Employing Statistical Methods

1. Universe and Respondent Selection

The precise respondent universe is unknown since the universe is comprised of exporters filing AES records on a one-time basis, regularly, and all variations in between for shipments valued over \$2,500 per Schedule B number, requiring an export license, subject to the International Traffic in Arms Regulations, requiring reporting under the Export Administration Regulations, or contain a rough diamond, or a used self-propelled vehicle. Currently, we estimate that approximately 287,314 firms are engaged in exporting. For shipments that require an AES record, the response rate for filing is 100 percent since export carriers must submit the Internal Transaction Number, postdeparture citation, exemption, or exclusion statement to the U.S. Customs and Border Protection (CBP) before clearance or permission to depart is granted.

2. Procedures for Collecting Information

The U.S. Census Bureau requires the filing of an AES record for the following shipments and processes these data for all countries with the exception of Canada: (1) virtually all shipments valued at over \$2,500 per Schedule B number or regardless of value when a license is required; (2) shipments subject to the International Traffic in Arms Regulations under 22 CFR Parts 120 through 130; (3) shipments requiring reporting under the Export Administration Regulations under 15 CFR 758.1(b); (4) shipments requiring a Department of Justice, Drug Enforcement Administration export permit under 21 CFR 1312; (5) Requiring a general or specific export license issued by the U.S. Nuclear Regulatory Commission under 10 CFR part 110; (6) shipments requiring an export license issued by any other federal government agency; (7) shipments destined for a country in Country Group E:1 and E:2; (8) shipments of rough diamonds filed under Schedule B subheadings 7102.10, 7102.21, and 7102.31; and, (9) used self-propelled vehicles as defined in 19 CFR 192.1 of U.S. CBP regulations.

Under the terms of a MOU with Canada, the United States substitutes Canadian import statistics for U.S. exports to Canada. Similarly, Canada substitutes U.S. import statistics for Canadian exports to the United States. This exchange of data includes only U.S. exports destined for Canada and does not include shipments en route through Canada destined for a third country, shipments of rough diamonds, shipments of used self-propelled vehicles as defined in 19 CFR 192.1 of U.S. CBP Regulations, or shipments requiring validated export licenses.

The Census Bureau estimates value data monthly for shipments valued \$2,500 or less using factors based on established percentages of individual country totals.

3. Methods to Maximize Response

The filing of export information via the AES is mandatory under Sections 301-307, Chapter 9, Title 13, U.S.C. Effective January 1990, the United States substituted Canadian import statistics for U.S. exports to Canada in accordance with a Memorandum of Understanding (MOU). Similarly, under this MOU, Canada is substituting U.S. import statistics for Canadian exports to the United States. This has eliminated any substantial undercount of shipments to Canada due to non-receipt of AES records.

In order to maintain a high level of quality in CBP's statistical operations, the Census Bureau reviews operations at the various ports, and provides training sessions for the CBP staff involved, including members of the CBP staff from several regions.

4. Testing Procedures

The Census Bureau performs webinars regularly and participates in seminars and conferences on an ongoing basis in cities all over the United States to instruct the public on how to complete the AES record properly. In addition, the Census Bureau has provided supplementary instruction in the form of export training videos. Prior to the AES moving to the Automated Commercial Environment (ACE) platform those who registered with ACE *AESDirect* had to pass a certification quiz in order to let the Census Bureau know that the filer was qualified to submit information properly through the system. However, with the new ACE platform the certification quiz will no longer be required; instead the filer will have to review and accept the AES Certification Statements (Attachment D), which addresses similar content contained in the previous quiz. The overall goal of the AES Certification Statements is to ensure that key filing requirements are addressed and understood by the filer.

5. Contacts for Statistical Aspects and Data Collection

The Governments and Trade Management Division of the Census Bureau is responsible for primary statistical design and regulations governing the statistical information required to be reported in the AES record. Specifically, the following persons serve as contacts:

Responsible for the International Trade Program:

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Attachments

- A. ACE AES*Direct* Record Formats
- B. AES Letter of Intent
- C. ACE Exporter Account Application and Quick User Guide
- D. AES Certification Statements
- E. ACE AES*Direct* User Guide
- F. Letter of Support from BEA