ACE Portal

Consolidated Administration and Processing of Entries (CAPE) Declarations

April 2026

U.S. Customs and Border Protection

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Topic 1: Create and Upload a CAPE Declaration

Introduction

Trade users can submit a CAPE Declaration with multiple entry numbers for International Emergency Economic Powers Act (IEEPA) refunds to begin the Consolidated Administration and Processing of Entries (CAPE) refunds process to receive one consolidated refund amount. The CAPE process is being deployed in phases, and Phase 1 is limited to certain unliquidated entries and certain entries that are no more than 80 days past liquidation. The CAPE Declaration is uploaded in the ACE Portal, checked for accuracy, and submitted to a batch run to validate the refund data. Then successful CAPE Declarations are mass processed.

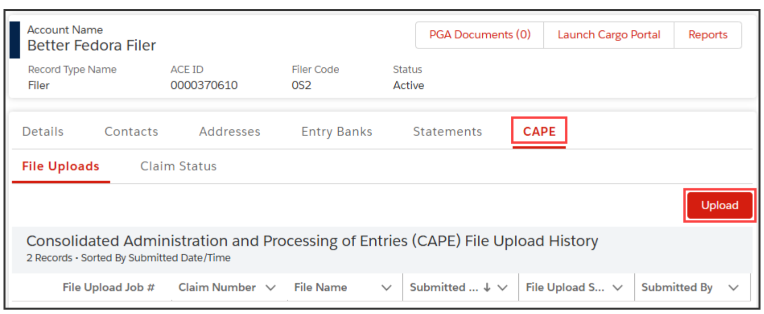
The **CAPE** tab in the **Importer**, **Filer**, and **Organizational Broker** accounts in the ACE Portal is used to create and submit the CAPE Declaration with IEEPA entry numbers for refund. The **File Uploads** subtab in the **CAPE** tab displays the **Upload** button and the file upload history.

The **Upload** button provides a template to create the CAPE Declaration and submits the file of entry numbers. The **CAPE File Upload History** displays the validation status for the CAPE Declaration and provides a summary download file with specific information for entry numbers in error. Reference Topic 2 for a comprehensive list of validations and how to review the download file.

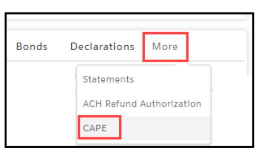
Additionally, upon file upload, a dialog box displays the progress and if applicable, an error reason, such as "**Not a CSV file**."

Create and Upload a CAPE Declaration

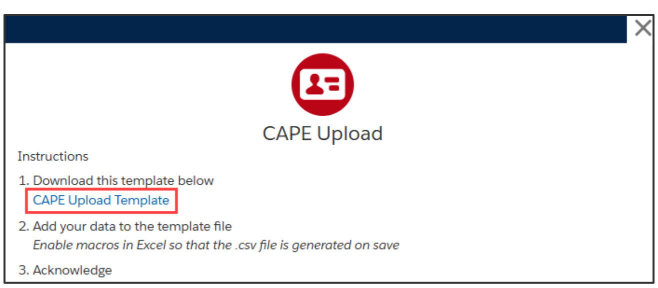
1. In the **CAPE** tab, in the default **File Uploads** subtab, select the **Upload** button.



NOTE: Use the **More** tab to display additional tabs in a drop-down menu.

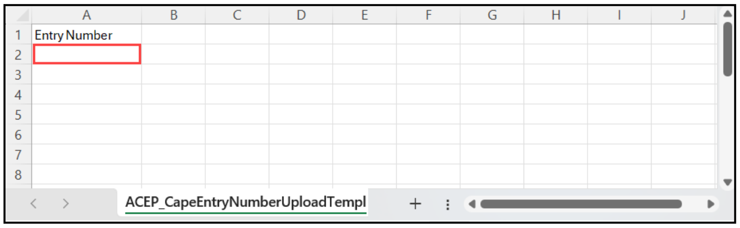


2. In the **CAPE Upload** dialog box, select the **CAPE Upload Template** hyperlink.



The Excel spreadsheet upload template file automatically downloads locally to the user's **Downloads** subdirectory.

3. In the **Downloads** subdirectory, open the **ACEP_CapeEntryNumberUploadTemplate** file.

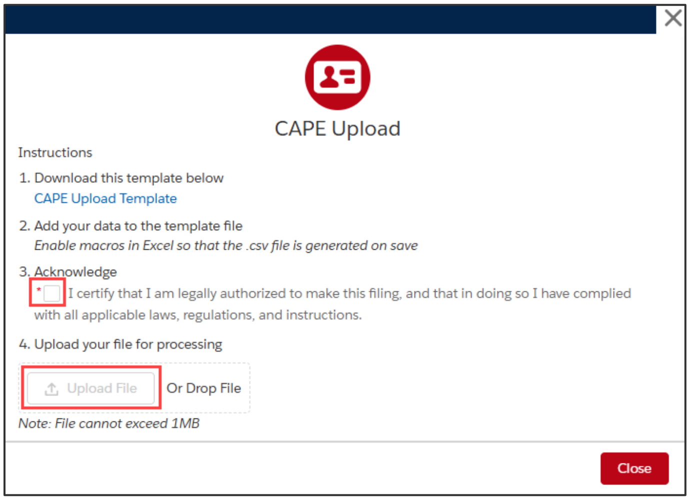


4. In the downloaded Excel spreadsheet upload template file:
   a. Enter the applicable entry number(s) in the first column, beginning in the second row below the **Entry Number** title row.
   b. In the **File** menu, select **Save As**.

IMPORTANT: The file save defaults in the **Downloads** folder, with the default template name, and the correct CSV file type. The file must be saved with the **CSV (Comma delimited) (*.csv)** file type.

   c. Select the **Save** button.
   d. If appropriate, close the Excel spreadsheet upload template file.

5. In the **CAPE Upload** dialog box:



a. Select the **Acknowledge** checkbox to indicate that you are legally authorized to make the filing.

NOTE: You must select the checkbox to enable the **Upload File** button.

b. Select the **Upload File** button.

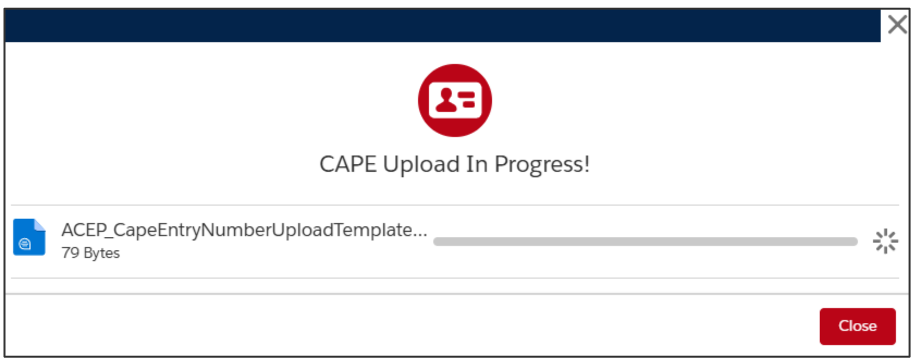
TIP: You can drag and drop the selected upload template file to the **Or Drop File** button.

6. In the **Open** dialog box:

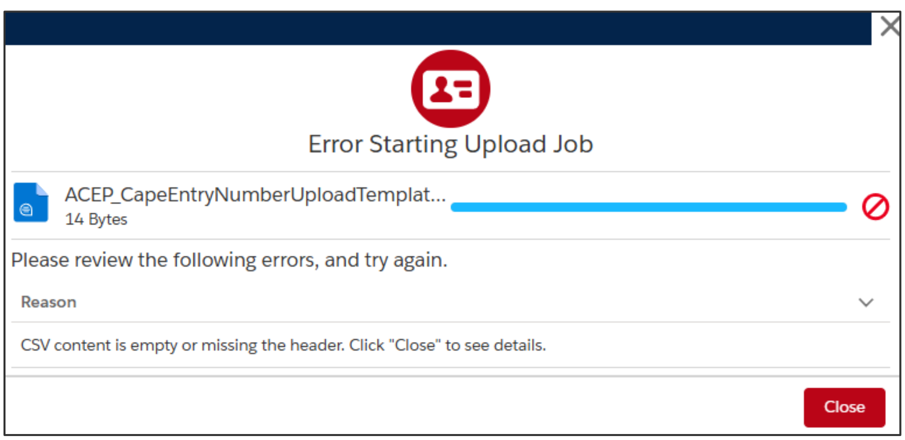
a. Locate and select the saved upload template file.

b. Select the **Open** button.

The **CAPE Upload In Progress!** dialog box displays the progress of the file upload.



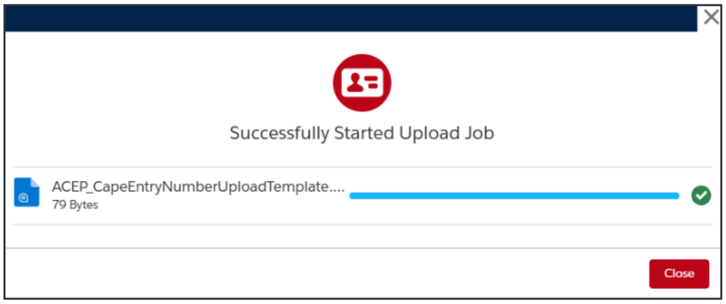
If applicable, the **Error Starting Upload Job** dialog box displays the **Reason** for the file upload error.



NOTE: The **Reason** displays the file error if the file format is not CSV or the file is empty. The **Reason** displays **Failed initial validation** if the error involves an entry number(s) format issue, such as the wrong number of characters.

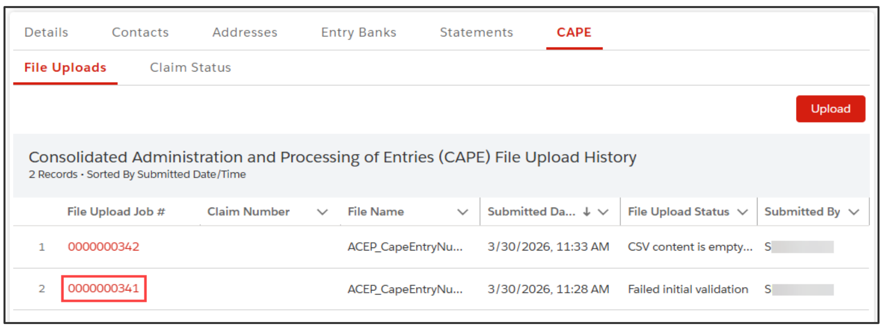
The **Reason** displays **Rejected by batch validation** if the entry number processing is not successfully validated, such as the entry number does not exist or is not associated with the correct IOR number.

The **Successfully Started Upload Job** dialog box displays for a successful upload.



c. Select the **Close** button to close the dialog box.

The file upload job displays in the **Consolidated Administration and Processing of Entries (CAPE) File Upload History** list. If applicable, the reason displays in the **File Upload Status** column. Otherwise, **Accepted** displays.



Topic 2: Review CAPE Declaration Status Details

Introduction

Once the refund file is uploaded in the **File Uploads** subtab, the job number and status of the file upload is listed in the **CAPE File Upload History**. Selecting the job number hyperlink displays the file upload information and if applicable, reason for errors. Also, if appropriate, a **Download File** hyperlink displays validation details.

The following validations apply to the upload file with the noted reason for errors.

Upload File Format Validations (**Reason**: specific file format error):

- The upload file cannot be empty
- The header title row cannot be missing
- The upload file format must be .csv

Entry Number Format Validations (**Reason**: **Failed initial validation**):

- Entry number format
  - 11 alphanumeric characters
  - Dash is optional (any special characters will be stripped prior to 11-character validation)
- No duplicate entry numbers
- For Filer (only Filer Type - Importer) and Organizational Broker accounts:
  - First three characters of entry number must match the Filer Code of account

NOTE: For a Filer other than Filer Type of Importer, the CAPE tab is visible but displays **This functionality is not available for non-importer filer.**

Entry Number of Submitted Entry Summary Validations (**Reason**: **Rejected by batch validation**):

- IOR number of importer account must match IOR number of submitted entry summary (**Account Mismatch**)
- Entry number must exist

Once these initial validations pass successfully, additional validation processing occurs. In the **CAPE File Upload History**, the **File Upload Status** displays **Accepted** and a claim number displays in the **Claim Number** column of the file upload job.

The claim number also displays in the **Claim Status** subtab, with additional claim information. The **Claim Status** column displays: **Rejected** if all entries fail the validations, **Accepted with Error(s)** if at least one entry fails a validation, and **Accepted** if all entries pass the validations. The claim number **Download File** hyperlink displays the status of all entry numbers included in the upload file.

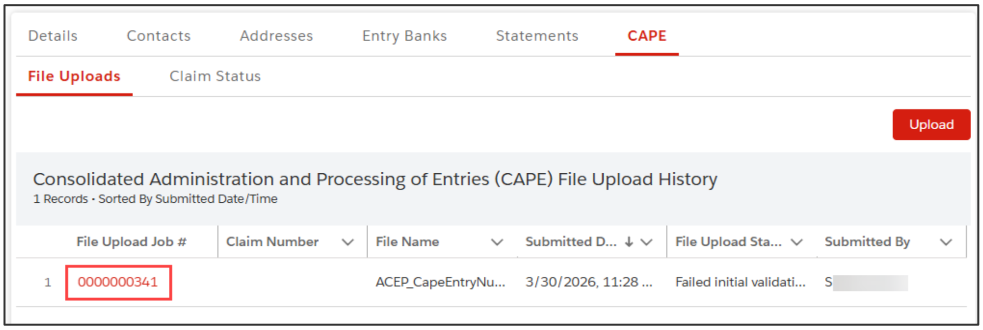
Claim Status Validations:

- Entry Summary Status must be Accepted
- Control Status must be CBP
- Entry must have at least one IEEPA HTS
- Entry Type cannot be Duty Deferral (08), Recon (09), TIB (23), or Drawback (47)
- Entry cannot be flagged for Reconciliation
- CBP not authorized to reliquidate entry summary due to original liquidation date (liquidated entry summaries over 80 days past their liquidation date)

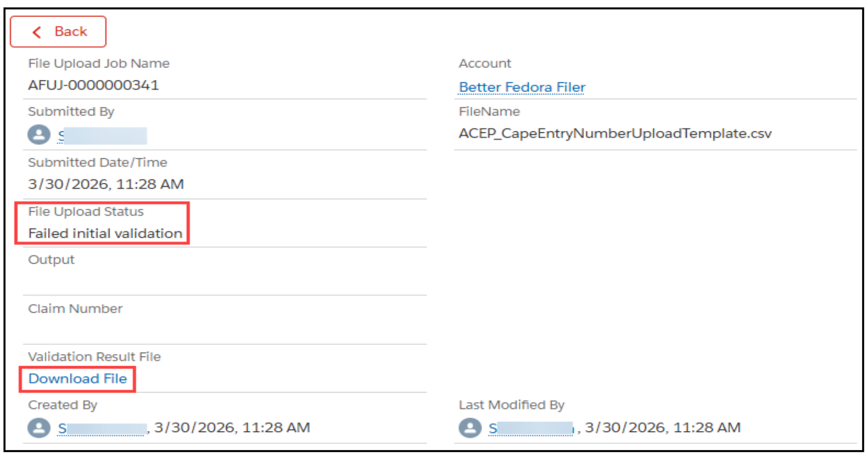
IMPORTANT: For File Upload errors with a specific reason, correct the errors and upload the entire file again. For claim errors, only upload the appropriate corrected entries.

REVIEW CAPE DECLARATION UPLOAD JOB STATUS

1. In the **CAPE** tab, in the default **File Uploads** subtab, in the **File Upload Job #** column, select the job number hyperlink.



The file upload information displays. The **Reason** displays in the **File Upload Status** field.



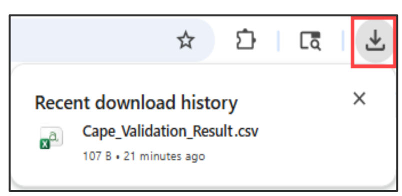
NOTE: For **Failed initial validation** and **Rejected by batch validation** statuses, the **Download File** option in the **Validation Result File** field provides additional information for each entry number.

2. In the **Validation Result File** field, select the **Download File** hyperlink.

The **Cape_Validation_Result.csv** file downloads.

	A	B	C
1	Not 11 characters long	Duplicate entry numbers	Filer code not matching
2	0S2-12345	0S2-12345678	0S3-12345679
3			

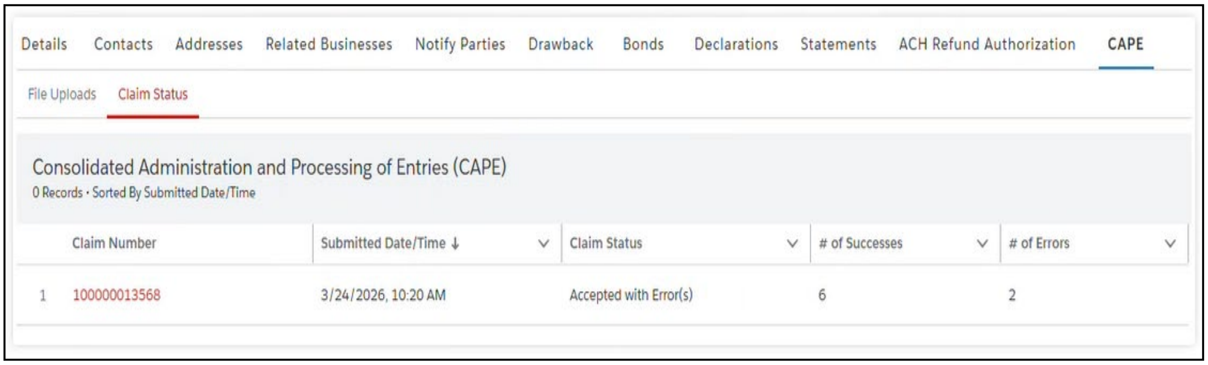
NOTE: The file displays in a separate tab or select the file name in the **Downloads** list in the browser title bar to open the file.



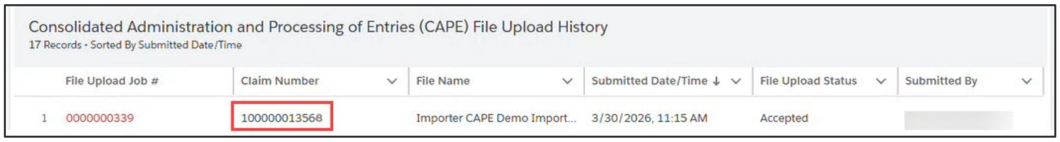
REVIEW CAPE DECLARATION CLAIM STATUS

1. In the **CAPE** tab, select the **Claim Status** subtab.

   The submitted and processed CAPE Declaration(s) displays.

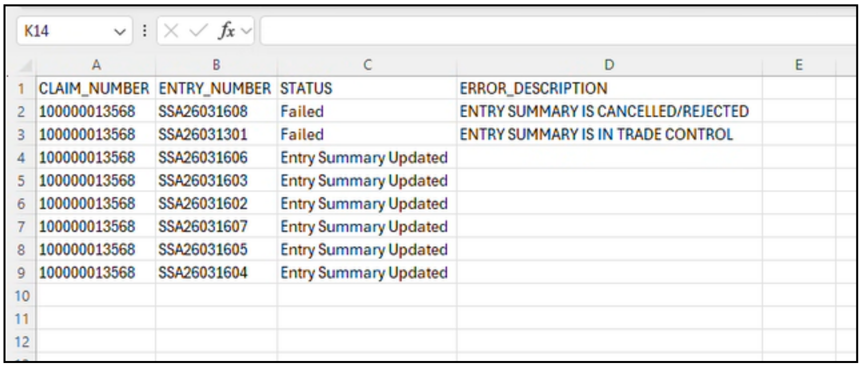


NOTE: The **Claim Number** in the **Claim Status** subtab also displays in the **File Uploads** subtab.



2. In the **Claim Number** column, select the claim number hyperlink.

   The **Claim Details** file displays in a separate tab or select the file name in the **Downloads** list in the browser title bar to open the file.



	A	B	C	D	E
1	CLAIM_NUMBER	ENTRY_NUMBER	STATUS	ERROR_DESCRIPTION	
2	100000013568	SSA26031608	Failed	ENTRY SUMMARY IS CANCELLED/REJECTED	
3	100000013568	SSA26031301	Failed	ENTRY SUMMARY IS IN TRADE CONTROL	
4	100000013568	SSA26031606	Entry Summary Updated		
5	100000013568	SSA26031603	Entry Summary Updated		
6	100000013568	SSA26031602	Entry Summary Updated		
7	100000013568	SSA26031607	Entry Summary Updated		
8	100000013568	SSA26031605	Entry Summary Updated		
9	100000013568	SSA26031604	Entry Summary Updated		
10					
11					
12					