

Canada Border Services Agency

ELECTRONIC COMMERCE CLIENT
REQUIREMENTS DOCUMENT

5.0 CUSTOMS SELF ASSESSMENT

5.1 PARTICIPANTS' REQUIREMENTS DOCUMENT FOR CARRIERS

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FOREWORD

The following document, which is a sub-section of the Electronic Commerce Client Requirements Document (ECCRD), is intended for reference purposes. Clients are advised that its content is subject to revision and amendment given the possibility of policy changes, system upgrades and changing operational requirements. That being said, the Electronic Commerce Unit (ECU) of the Canada Border Services Agency (CBSA) will endeavour to provide as much advance notice as possible of major system changes and will notify clients of upcoming changes via e-mail. Please ensure that your e-mail address information is kept up to date with the ECU.

This section of the ECCRD is the **Customs Self Assessment (CSA) Participants' Requirements Document (PRD) – for Carriers**. (Importers should consult the ECCRD, Chapter 5.2, CSA Importer PRD.) It is mandatory reading material for all CSA electronic data interchange (EDI) participants. It is recommended that EDI participants' technical staff review all narrative sections of this document in conjunction with the EDI message maps, supporting data element glossaries, and code tables, contained in the "CSA Carrier PRD Appendix B - EDI Message Maps and Code Tables" document ("Appendix B"), as some operational rules associated with the CSA program affect current systems programming.

This material has been prepared as an informational document for participants in the CSA program. The contents give an overview of the EDI environment at the CBSA and the implementation methodology associated with the CSA program. The main purpose of this document is to assist CSA participants with their internal implementation.

This document will be referred to as the **CSA Carrier PRD**. It is divided into several sections, with a number of appendices, to address the various levels of information required by the participants.

Note: The assumption in this PRD is that the client is already an EDI participant. If you are not already an EDI participant, you will require other ECCRD chapters as reference for existing CBSA EDI functionality, namely:

- **Section 3.0, ACROSS – EDI PRD**
- **Section 4.0, RNS PRD**
- **Section 6.0, Rail Cargo EDI System PRD**

Unless otherwise stated in the CSA Carrier PRD, all contents of the relevant ECCRD chapters (i.e., ACROSS – EDI PRD, RNS PRD, and Rail Cargo EDI System PRD) will still apply.

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1.0 PROFILE

1.1 INTRODUCTION

1.1.1 The Customs Self Assessment (CSA) program fundamentally re-engineers the Canada Border Services Agency (CBSA) commercial process for reporting and accounting of trade data and includes a new clearance process for low-risk shipments from the United States. It reflects a new generation of thinking, in response to the evolving global business environment.

1.1.2 CSA focuses on establishing a partnership agreement, based on risk assessment and improved technology, between the CBSA and businesses. This partnership eliminates many of the traditional impediments to the daily conduct of import business. Canadian businesses can depend on the predictable and timely release of goods, which in turn reduces costs and increases competitiveness. At the same time, the CBSA gets to know its commercial business clients better and concentrates its resources on unknown and high-risk clientele.

1.1.3 With CSA, we have moved from the existing transactional reporting approach to a self-assessment approach. Companies register with the CBSA, make reports to the government providing trade data, and assess their own duties, taxes, and interest.

1.1.4 To administer trade policy and meet the needs of Statistics Canada and other government departments (OGD's), the CBSA still requires trade data information from the importer. However, participating companies no longer have to supply detailed release information to the CBSA on a shipment-by-shipment basis. By changing trade data accounting from the current border transaction method to a mechanism triggered by the company's commercial books and records, the reporting burden for importers is significantly less.

1.1.5 Identifying trade partners as low risk enables the CBSA to streamline the clearance and accounting process for their shipments. Routine examination of goods for compliance is replaced with an agreement between the CBSA and known low-risk businesses. The CBSA looks at the compliance history of the company as a whole rather than numerous low-risk shipments.

1.1.6 The CBSA will manage risk through profile targeting of the importer, carrier, and driver. The CBSA will also verify compliance by occasionally examining goods at the border, by conducting compliance verification reviews, and monitoring activities.

1.1.7 Highway carriers will be required to use drivers who are registered with either the Commercial Driver Registration Program (CDRP) or the Free And Secure Trade (FAST) driver registration program to use CSA clearance service options. In order to qualify for either program, drivers must also meet all CBSA eligibility criteria. Qualifying drivers will be issued a registration card, which will be presented for verification to the CBSA inspector at the first point of arrival. Books and records used by approved CSA carriers must provide sufficient controls, as the CBSA will no longer maintain inventory control on CSA shipments. Carriers must demonstrate that they can segregate north- and southbound shipments, distinguish CSA from non-CSA shipments, provide an audit trail, and meet CSA eligibility requirements.

1.2 PURPOSE

1.2.1 The CBSA has developed a process of risk assessment to meet its clients' evolving needs. Such a process allows the CBSA to manage its workload more efficiently in a climate of cost restraint.

1.2.2 The CBSA's non-CSA reporting, release and accounting processes are based on a transactional model, which allows very little flexibility in terms of expediting the flow of goods through customs. Under CSA, pre-approved, low-risk importers, carriers and drivers have access to streamlined clearance of approved, low-risk goods. They are also required to use their own commercial business systems to generate customs reporting and accounting and for periodic verifications by the CBSA. In addition, importers self-assess the duties, taxes, and interest they owe and pay them through a Canadian financial institution. Carriers are responsible for creating and maintaining an audit trail that identifies and tracks CSA shipments from origin to delivery.

1.3 SCOPE

1.3.1 GENERAL

1.3.1.1 This document outlines the new Electronic Data Interchange (EDI) processes introduced by the CSA program, as well as details on bar-code requirements for paper-based CSA shipments. You can find more information on the CSA program in D Memorandum D3-1-7, *CSA Program for Carriers*, and D17-1-7, *CSA Program for Importers*.

1.3.1.2 Carriers wishing to obtain authorization to deliver CSA shipments must present bar-coded information (paper process) for:

- (a) CSA highway at the first point of arrival (see section 2.2);
- (b) CSA highway courier at the first point of arrival (see section 2.3);
- (c) CSA air courier at the destination airport (see section 2.4);
- (d) CSA air at first point of arrival (i.e., initial airport of landing at the time of arrival) for other air carriers (see section 2.5);
- (e) CSA marine (excluding overseas, but including "laker" and coastal marine traffic from the U.S.) at the first point of arrival (see section 2.5); and
- (f) CSA rail at the first point of arrival (see section 2.5).

1.3.1.3 Carriers may transmit the following electronically as required:

- (a) electronic highway cargo and conveyance data (see section 2.7); and
- (b) electronic rail participants can include CSA data elements on EDI cargo for automated authority to deliver (see section 2.6).

1.3.1.4 Carriers must also send the following to the CBSA. However, based on volume of data, they can send it via flat file, electronically or on paper:

- (a) updates to owner operator* listing (see section 3.4); and
- (b) updates to terminal/warehouse listing (see section 3.5).

***Note:** Updates to owner operator listing are applicable to **highway carriers only**.

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1.3.2 RELEASE NOTIFICATION SYSTEM (RNS)

1.3.2.1 When a CSA carrier wishes to become an EDI participant, they must be an RNS participant.

1.3.2.2 There is an optional query function for CSA carriers in the **air, rail, and marine modes** that provide the CSA data elements (importer Business Number, CSA carrier code and cargo control number) electronically for authority to deliver (see sections 2.8 and 2.9).

1.3.2.3 CADEX participants (typically the importer) that use the CADEX system to retrieve the Notification of Release report will not receive electronic notification of CSA clearances, as no transaction number is presented at the time of release. However, they will continue to receive release notification messages for service options where a transaction number is used.

1.3.3 CSA EDI MESSAGE TYPES

1.3.3.1 Implementation of the CSA program restricts the number of message standards and map versions that support the changes for CSA. Therefore, carriers who wish to transmit information to the CBSA electronically must choose from the following messages:

MESSAGE TYPE	INBOUND TO CBSA	OUTBOUND TO CLIENT	DATA FORMAT
Rail Cargo Report A8A	☐		ANSI X12 version 4010
Rail Conveyance Report A1	☐		ANSI X12 version 4010
Highway Cargo Report A8A (311)	☐		ANSI X12 version 4010
Highway Cargo Report A8A (309)	☐		ANSI X12 version 5020
Highway Conveyance Report A9 (311)	☐		ANSI X12 version 4010
Highway Conveyance Report A9 (358)	☐		ANSI X12 version 5020
Trade Chain Partner (TCP) Owner Operator and Terminal/Warehouse Updates	☐		ANSI X12 version 4010
997 – Functional Acknowledgment: <ul style="list-style-type: none"> • Rail Cargo Report A8A • Rail Conveyance Report A1 • Highway Cargo Report A8A • Highway Conveyance Report A9 • Owner Operator and Terminal/Warehouse Updates 		☐	ANSI X12 version 4010
997 – Functional Acknowledgment: <ul style="list-style-type: none"> • Highway Cargo Report A8A • Highway Conveyance Report A9 		☐	ANSI X12 version 5020

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MESSAGE TYPE	INBOUND TO CBSA	OUTBOUND TO CLIENT	DATA FORMAT
824 – Application Advice: <ul style="list-style-type: none"> • Rail Cargo Report A8A • Rail Conveyance Report A1 • Highway Cargo Report A8A • Highway Conveyance Report A9 • Owner Operator and Warehouse/Terminal Updates 		☐	ANSI X12 version 4010
824 – Application Advice: <ul style="list-style-type: none"> • Highway Cargo Report A8A • Highway Conveyance Report A9 		☐	ANSI X12 version 5020
Release Notice System (RNS) Arrival 96A	☐		UN/EDIFACT version 96A
Release Notice System (RNS) Response 96A		☐	UN/EDIFACT version 96A
Release Notice System (RNS) Arrival 99B	☐		UN/EDIFACT version 99B
Release Notice System (RNS) Response 99B		☐	UN/EDIFACT version 99B

***Technical note to UN/EDIFACT data format users:** When submitting an UN/EDIFACT transaction, any records larger than 80 characters, delimiters included, should wrap to a new record. For example, a 250-character record would be placed on three individual 80-character records and one 10-character record.

1.3.4 HARMONIZED 309/358 MESSAGE MAPS WITH THE U.S.

1.3.4.1 Two maps (309/358) found in Appendix B use the same transaction sets as the U.S. Customs and Border Protection (CPB) use in its Automated Commercial Environment (ACE) system.

1.3.4.2 In the past, the CBSA used only an ANSI X.12 311 transaction set for both CSA highway cargo and conveyance messages. The additional messages use the 358 transaction set for conveyance and the 309 transaction set for cargo. Both the 311 and 309/358 message sets will be accepted by the CBSA for CSA EDI highway.

1.3.4.3 The 309/358 maps are an alternative format for the existing EDI highway system. They provide the same functionality as the 311 transaction set.

1.4 OVERVIEW

1.4.1 Before carriers can qualify under the CSA Program, the CBSA will ensure that their business systems and processes meet the mandatory requirements for CSA. CSA clients will:

- (a) have a sound communication process with all parties involved with the transporting of goods including importers, shippers, logistics brokers, internal departments such as customs and accounts payable, and with their designated CBSA service provider (if applicable), to ensure accurate and complete reporting to the CBSA
- (b) ensure that a minimum \$25,000.00 carrier surety bond is obtained
- (c) ensure that their business systems support the elimination of cargo control by the CBSA
- (d) ensure the format of data meets CBSA specifications (UN/EDIFACT or ANSI)
- (e) complete systems testing with the CBSA before using any of the electronic transactions
- (f) maintain a current list of Trade Chain Partners (TCPs). **CSA participants must maintain these lists electronically**, or submit the list via flat file, if they have more than 25 TCPs:
 - (i) carriers must maintain current lists of owner operators* who transport CSA shipments;
 - (ii) carriers must maintain current lists of terminal/warehouses owned or operated by the CSA carrier;
 - (iii) carriers must provide updates, at a minimum, on a monthly or quarterly basis;
 - (iv) participating EDI carriers (see Section 2.7) must maintain these lists electronically only – there is no option for EDI carriers to submit updates via flat file

***Note:** Updates to owner operator listing are applicable to **highway carriers only**.

- (g) maintain high levels of compliance with CBSA programs.

1.5 DESIGN CONSIDERATIONS

1.5.1 GENERAL

1.5.1.1 Importers may elect to use a streamlined clearance process for eligible shipments, carried by CSA-approved carriers, and - for highway mode - reported by registered drivers. This clearance option will provide:

- (a) increased certainty at the border, resulting in more assurance that goods will not be held up by the CBSA; and
- (b) the elimination of transactional release information from the importer. Instead, importers will go through a comprehensive application process and maintain a current list of U.S. and Mexico vendors and direct-delivery consignees with the CBSA.

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1.5.1.2 The CBSA does not apply a release date to CSA shipments at the time of importation. However, importers must transmit a release date on all accounting documents. Therefore, for CSA shipments, the date the goods are physically received by the importer, owner or direct ship consignee is the release date transmitted to the CBSA on the accounting document.

1.5.1.3 CSA shipments are not released at the border, but rather are “authorized to deliver”. Similar to in-bond shipments, CSA carriers will be responsible for duties and taxes of the CSA shipments, if the shipment is not delivered to the authorized importer, owner, or consignee (see section 2.1). For this reason, carriers are required to obtain and keep proof of delivery to the authorized importer, owner, or consignee for all CSA shipments.

1.5.1.4 CSA carriers must maintain a current list of trade chain partners (i.e., owner operators* and terminal/warehouses) with the CBSA to be updated monthly or quarterly:

- (a) If the CSA participant has more than 25 trade chain partners, the CSA participant must update the list electronically or via flat file.
- (b) If the CSA participant has fewer than 25 trade chain partners, the CSA participant can notify the CBSA CSA compliance manager by hard copy.
- (c) **Participating EDI carriers (see Section 2.7) must update the list electronically, regardless of the number of trade chain partners.**

***Note:** Updates to owner operator listing are applicable to highway carriers only.)

1.5.2 ALL MODES

1.5.2.1 If the CSA carrier does not provide cargo and conveyance information electronically pre-arrival, the CSA carrier must present bar-coded* information upon arrival (see section 2.5).

***Note:** A bar-coded CSA lead sheet is recommended for expedited clearance. (See Memorandum D3-1-7 for correct bar code sequence and technical requirements)

1.5.3 HIGHWAY MODE

1.5.3.1 CBSA cargo control documents can be eliminated for CSA highway shipments; however, drivers must have available, at the time of report, commercial documents (such as bills of lading) that provide a general description of the goods, name and address of where the goods were picked up, quantity, weight, and the name and address of the consignee.

1.5.3.2 CSA highway carriers may elect to transmit cargo and conveyance data electronically before arrival (see Section 2.7). The benefits of transmitting this information electronically include more certainty at the border.

1.5.3.3 Related non-CSA release requests such as PARS that are in an invalid status (e.g., not on file, not processed) at the time of arrival will be treated as an in-bond shipment, and the conveyance will be allowed to move in bond to an authorized warehouse.

1.5.3.4 Port limitations on the number of PARS processed at the primary inspection line are eliminated.

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1.5.3.5 The pre-arrival information required for the cargo and conveyance data sets are mandatory.

1.5.3.6 At the time of report, a bar-coded lead sheet must be presented referencing the unique conveyance report number that was transmitted before arrival (see D3-1-7 for bar code requirements).

1.5.3.7 The conveyance report number links the cargo report number(s) transmitted on the conveyance message and eliminates the need to present individual PARS numbers or CSA importer business numbers at time of report.

1.5.3.8 If the CSA carrier does not provide cargo and conveyance information electronically before arrival, the CSA carrier must present bar-coded information at the time of arrival. A CSA lead sheet is recommended for expedited clearance (see Memorandum D3-1-7 for suggested bar code sequence and technical requirements).

1.5.4 OTHER MODES - AIR, RAIL, AND MARINE

1.5.4.1 Other modes generally require data to be transmitted pre-arrival electronically.

1.5.4.2 If as a CSA rail carrier, the CSA participant chooses to transmit cargo and conveyance data electronically pre-arrival, the transmission must be modified to include the CSA-required data elements, i.e. the importer Business Number (BN) and CSA indicator (see section 2.6).

1.5.4.3 If the CSA carrier does not provide cargo and conveyance information electronically pre-arrival, bar-coded information must be presented upon arrival (see section 2.5).

1.5.4.4 In order to remain consistent across modes of transport, cargo control documents will not be required to clear a CSA shipment. However commercial documentation may be requested periodically. Alternatively, the CSA carrier can use the RNS arrival message (see section 2.8).

2.0 CSA CLEARANCE PROCESS

2.1 GENERAL BUSINESS RULES

2.1.1 All eligible commercial goods entering Canada and cleared under CSA must be imported by a CSA-approved importer and transported by a CSA-approved carrier using a registered driver.

2.1.2 Generally, CSA clearance requires three bar-coded data elements (i.e. registered driver number, CSA Carrier Code, and CSA Importer Business Number (BN)). The mode-specific CSA clearance data elements can be found under the specific mode business flows.

2.1.3 Standard lead sheets are used to present this information, which facilitates processing and reduces errors. (See D Memorandum D3-1-7, for more information on bar-code requirements.)

2.1.4 The submitted data elements will be verified electronically at the primary inspection line (PIL) in highway mode or upon arrival for other modes. When all submitted data elements are validated, the carrier will be authorized to deliver the CSA shipment.

2.1.5 The primary CSA carrier will be liable for the duties and taxes on imported CSA shipments until received at the place of business of the importer, owner, or consignee. The primary carrier must obtain and keep proof of delivery for audit trail purposes. Proof of delivery will represent CBSA release and transfer the liability for the shipment from the CSA carrier to the CSA importer.

2.1.6 Goods eligible for CSA clearance are currently defined as follows: goods that have been shipped directly from the United States, or Mexico, where those goods do not require, under any Act of Parliament or of the legislature of a province, a permit, license or other similar document to be presented at time of report.

2.1.7 Goods imported by a CSA approved importer are not eligible for reporting under the CSA service option if they are:

- (a) a prohibited, controlled or regulated import into Canada in accordance with the provisions of an Act of Parliament or of the legislature of a province, as well as the regulations made pursuant to any Act, that prohibits, controls, or regulates their importation, unless an arrangement has been made with another government department (OGD); or
- (b) subject to regulation by an OGD.

2.1.8 Importers must indicate to their carriers those goods/shipments that are eligible for CSA clearance.

2.2 HIGHWAY PAPER

2.2.1 GENERAL

2.2.1.1 A highway carrier must be CSA approved to be eligible to participate in the EDI process – see Section 2.7. However, the carrier must also be aware of the highway paper processing rules prior to participating in the EDI process.

2.2.2 HIGHWAY PAPER BUSINESS RULES

See D3-1-7 for additional detail.

2.2.2.1 CSA-approved carriers must report CSA shipments at the first point of entry into Canada.

2.2.2.2 For the CSA Highway Paper clearance service option (497) three barcodes are required at time of report, which are:

- (a) Driver registration card number (CDRP or FAST),
- (b) CSA carrier code, and
- (c) CSA importer Business Number (BN).

2.2.2.3 Drivers must present their registration card at the time of report.

2.2.2.4 Where there are multiple CSA shipments for a single CSA importer, the CSA importer Business Number is presented only once per passage.

2.2.2.5 A CSA carrier is permitted to contract with another CSA authorized secondary carrier to transport CSA goods into Canada on behalf of the primary CSA carrier. However, the liability and audit trail of the shipment will remain with the primary CSA carrier. The goods must be reported to the CBSA identifying the Registered driver(s), the carrier code of the CSA carrier, the CSA Importer and the secondary CSA carrier code.

2.2.2.6 Where a secondary CSA carrier reports using the CSA Highway Paper service option (497) on behalf of another CSA carrier, both the primary CSA carrier code and the secondary CSA carrier code must be presented in a bar-coded format.

2.2.2.7 The CSA carrier must report to the CBSA compliance manager any shipment that has not been delivered within 40 days. As per D3-1-1, the carrier must establish final disposition of the goods within the next 30 days, e.g. deliver, export, pay duties & taxes, etc.

2.2.2.8 CBSA cargo control documents are not required for CSA shipments; however, drivers must present, upon request, commercial documents (such as bills of lading).

2.2.2.9 CSA defines an Owner Operator as an individual who owns their own equipment, and fleet operators (i.e. owners of multiple pieces of equipment) who, through written contractual agreement, dedicate equipment to a transporter or carrier. CSA approved carriers are required to maintain an inventory of registered owner

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operators (i.e. registered drivers) with the CBSA. A copy of the written contractual agreement between the carrier and owner operator must be carried in the cab of each truck dedicated by that owner operator to the CSA approved carrier for presentation to the CBSA if requested.

2.2.3 HIGHWAY PAPER BUSINESS FLOW

2.2.3.1 When the truck crosses the Canadian border and arrives at the PIL, the driver must provide bar-coded data elements* (see Memorandum D3-1-7, for bar code specifications) as follows:

- (a) three **mandatory** data elements:
 - (i) Valid driver registration card (CDRP or FAST).
 - (ii) CSA carrier code
 - (iii) CSA importer Business Number (BN)

In addition to the three mandatory data elements:

- (b) one conditional data element:
 - (iv) Secondary CSA carrier code
- (c) two optional data elements:
 - (v) CSA service option code (00497 – five digits with leading zeros required on bar code)
 - (vi) transport document number

***Note:** A CSA lead sheet is recommended for expedited clearance. (See Memorandum D3-1-7, for suggested bar code sequence and technical requirements.)

2.2.3.2 At the PIL, the CBSA officer will input the presented data in the Accelerated Commercial Release Operating Support System (ACROSS) and render a decision, either “authorized to deliver” or “refer.”

2.2.3.3 Where the CSA shipment is “authorized to deliver”, an RNS message will be generated only in those instances where the optional transport document number is presented.

2.2.3.4 The requirements for both **transport document number** and **cargo control number** are the same: **up to 25 characters**, with the **first four digits being the carrier code**, and **unique for three years** (see the CSA Carrier PRD Appendix B - EDI Message Maps & Code Tables: “Glossary of Data Elements for CSA EDI – Arrival”).

Note: The system will automatically assess a penalty against the CSA carrier if a driver who is not a valid registered driver presents a CSA shipment .

2.3 HIGHWAY COURIER

2.3.1 HIGHWAY COURIER BUSINESS RULES

2.3.1.1 The following requirements apply to highway mode, including air shipments that cross the border by truck. CSA approved carriers operating as highway couriers may elect to present CSA clearances as detailed in section 2.2 Highway Paper.

2.3.1.2 The courier will not account for **any** shipment destined to a CSA importer, unless acting as the service provider on behalf of the CSA importer for these shipments. Otherwise, the CSA importer will account for all shipments received.

2.3.1.3 For CSA shipments, the courier must obtain and keep proof of delivery to the importer, owner or consignee for purposes of CBSA compliance verifications.

2.3.1.4 The courier's drivers entering Canada must be registered where the conveyance contains CSA shipments.

2.3.1.5 When an examination has been required by the CBSA, the CBSA may examine the specific shipment(s) or truck at the border and/or at destination, depending on the type of examination required (i.e. contraband or compliance verification). The courier will identify and hold CSA shipments selected for examination and CBSA inspection at a facility approved by the CBSA.

2.3.2 HIGHWAY COURIER BUSINESS FLOW

See 2.2.3 for business flows.

2.3.2.1 Existing procedures for release and examination of shipments for the Courier/LVS program remain unchanged.

2.3.2.2 For all CSA shipments "authorized for delivery", the courier must obtain and keep proof of delivery to the importer, owner or consignee, as per the carrier requirements of the CSA program.

2.3.2.3 The courier will not account for **any** shipment destined to a CSA importer, unless acting as the service provider on behalf of the CSA importer for these shipments. Otherwise, the CSA importer will account for all shipments received.

Note: A penalty will be issued to the carrier in those situations where a CSA shipment is presented by a driver who is not registered nor in good standing.

2.4 AIR COURIER

2.4.1 AIR COURIER BUSINESS RULES

2.4.1.1 CSA approved carriers operating as air couriers may elect to use the CSA clearance process described in sections 2.5 Other Modes and 2.8 EDI Arrival.

2.4.1.2 The courier will not account for **any** shipment destined to a CSA importer, unless acting as the service provider on behalf of the CSA importer for these shipments. Otherwise, the CSA importer will account for all shipments received.

2.4.1.3 For CSA shipments, the courier must obtain and keep proof of delivery to the importer, owner or consignee for purposes of CBSA compliance verifications.

2.4.1.4 When the CBSA has determined an examination is necessary, they will examine the specific shipment(s) at the airport of destination.

2.4.1.5 The courier will identify and hold CSA shipments selected for examination and CBSA inspection at a facility approved by the CBSA.

2.4.2 AIR COURIER BUSINESS FLOW

2.4.2.1 Existing procedures for release and examination of shipments for the Courier/LVS program remain unchanged.

2.4.2.2 For all CSA shipments “authorized for delivery”, the courier must obtain and keep proof of delivery to the importer, owner or consignee.

2.4.2.3 The courier will not account for **any** shipment destined to a CSA importer, unless acting as the service provider on behalf of the CSA importer for these shipments. Otherwise, the CSA importer will account for all shipments received.

2.5 OTHER MODES - AIR, RAIL, AND MARINE (PAPER)

2.5.1 OTHER MODES BUSINESS RULES

See section 2.1, "General Business Rules."

2.5.1.1 This service option (521) is used in **air, rail, and marine** modes where:

- (a) goods qualify for CSA; and
- (b) the shipment was not reported via EDI prior to arrival to Canada.

2.5.1.2 To obtain authority to deliver under this service option, CSA participants must present bar-coded CSA data elements upon arrival to Canada.

2.5.1.3 As an alternative to this service option, participants may elect to transmit the CSA arrival message post-arrival to Canada (see section 2.8).

2.5.2 OTHER MODES BUSINESS FLOW

2.5.2.1 To clear a CSA shipment, the current reporting requirements remain the same as non-CSA for air, marine, and rail modes with the following exceptions for CSA clearance (See D Memorandum D3-1-7 for mode-specific CSA shipment clearance requirements.). The following bar-coded data elements** are required:

- (a) two **mandatory** data elements:
 - (i) the transport document number, which includes the mandatory CSA carrier code; and
 - (ii) CSA importer Business Number
- (b) one optional data element:
 - (iii) CSA service option code (00521 – five digits with leading zeros required on bar code)

****Note:** A bar-coded CSA lead sheet is recommended for expedited clearance. (see Memorandum D3-1-7, for suggested bar code sequence and tab requirements)

2.5.2.2 In order to remain consistent across modes of transport, cargo control documents will not be required to clear a CSA shipment.

2.5.2.3 The CBSA officer will input the presented data in ACROSS and render a decision, either "authorized to deliver" or "refer."

2.5.2.4 Where the CSA shipment is "authorized to deliver", an RNS message may be generated.

2.6 RAIL – EDI CARGO

2.6.1 EDI RAIL BUSINESS RULES

See section 2.1, “General Business Rules.”

2.6.1.1 Rail carriers who report cargo and conveyance information electronically for CSA must use this option (displayed in ACROSS as service option code 505).

2.6.1.2 To reduce the costs associated with CSA implementation, the existing record formats will be used with two modifications (see Appendix B: “Rail Cargo Message Map”):

(a) For non-CSA qualifying automotive goods:

- (i) In segment **N103** Code **ZZ** will continue to be used in the **ID Code Qualifier** field to identify non-CSA qualifying automotive goods.
- (ii) In segment **N104** existing automotive codes will continue to be used in the **ID Code** field to identify non-CSA qualifying automotive production/service parts or complete vehicles.

(b) For CSA qualifying goods:

- (i) In segment **N103** Code **M5** will be used in the **ID Code Qualifier** field to identify CSA qualifying goods.
- (ii) In segment **N104** a qualifying **CBSA (15-digit) importer Business Number (BN)** will be used in the **ID Code** field to identify the CSA importer for CSA qualifying goods

2.6.1.3 Rail carriers are required to change existing reporting for CSA participants, including automotive participants. Under CSA, only those automotive shipments that do **not** originate in the U.S. are reported as automotive production/service parts or complete vehicles. All automotive shipments originating in the U.S. (excluding in-transit movements) are reported as CSA goods using code **M5** on the **ID Code Qualifier** field of the **N103** segment as outlined above.

2.6.1.4 If the CSA data elements are not available at the time the cargo is transmitted, rail carriers may elect to use the CSA arrival message to provide the CSA data elements (see section 2.8).

2.6.2 EDI RAIL BUSINESS FLOWS

2.6.2.1 The existing business flows for automotive shipments (production/service parts or complete vehicles) remain unchanged by CSA implementation.

2.7 HIGHWAY – EDI CARGO & CONVEYANCE

2.7.1 EDI HIGHWAY BUSINESS RULES

2.7.1.1 The applicable data elements associated with EDI highway cargo and conveyance transactions are found in Appendix B:

- (a) “Glossary of Data Elements for Highway Cargo Report A8A” (service option 539), and
 - (b) “Glossary of Data Elements for Highway Conveyance Report A9” (service option 547).
- The glossaries define the data elements and outline associated rules and conditions.

2.7.1.2 Transmission of EDI highway cargo and conveyance reports must be received and processed before arrival (i.e. received by the CBSA a minimum of **one hour** before arrival at first point of entry).

2.7.1.3 Messages must include all mandatory data elements identified for that service option.

2.7.1.4 Transmissions must be sent in ANSI X12 v4010 format.

2.7.1.5 EDI highway cargo and conveyance reports may be presented up to **30 days** before arrival. If the cargo is not used after 30 days, the cargo data will either have to be resubmitted, or cancelled by the carrier.

2.7.1.6 The conveyance report number, transmitted as part of the conveyance report prior to arrival, must be presented to the CBSA officer at the PIL in bar-coded format, at the first point of arrival.

2.7.1.7 Where a secondary CSA carrier reports using the EDI Highway Conveyance service option (547), the secondary CSA carrier code must be presented in a bar-coded format in addition to the primary carrier code.

2.7.1.8 A conveyance report will be rejected if any cargo report associated with the conveyance report contains discrepancies.

2.7.1.9 The port of entry (POE) is the port where the cargo physically crosses into Canada, and is the “Port of Report”. The carrier may use any automated POE. All cargos (539) on board a conveyance (547) must match the POE.

2.7.1.10 The “Port of Destination” is the port where the cargo is expected to obtain release. The Port of Report and Port of Destination for cargo reporting must show the same port unless the cargo is a planned in-bond movement. The sub-location code is the inland warehouse location to where the cargo is destined as planned in-bond cargo, or in the event a customs release at the border is not obtained.

2.7.1.11 In those instances where the carrier reports under the EDI Highway service option and does not receive expected related release requests (such as a “Declaration Accepted” RNS message indicating a PARS was submitted to the CBSA), the carrier must ensure the Port of Destination matches that of the warehouse sub-location at least one hour prior to arrival. When the driver reports to the CBSA at the time of arrival, the cargo will be treated as an in-bond shipment, and the conveyance will be authorized to move to the valid sufferance warehouse reported on the EDI cargo.

2.7.1.12 The expectation associated with EDI carriers reporting electronically is that clearance takes place at the first point of arrival. However, when intended release is beyond first point of arrival, the Port of Destination

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and warehouse code associated with the Port of Release must be associated in the data transmitted. The warehouse will be required to electronically arrive the cargo upon receipt at the warehouse so that an appropriate release request is submitted. When the CBSA has released the shipment, the carrier will receive an RNS message.

2.7.1.13 A maximum of 999 cargo control numbers will be allowed for each conveyance report transmitted.

2.7.1.14 The cargo and conveyance numbers cannot be the same. The first four digits of both the cargo control number and conveyance report number must be the CSA approved 4-digit carrier code assigned by the CBSA.

2.7.1.15 Add/Change/Delete functions:

- (a) An **add** is used for the first submission (original) of any data, whether it is a cargo report or a conveyance report. Multiple records can be added at the same time. However, cargo reports must not be mixed with conveyance reports within the same functional group. A cargo report must exist on file with the CBSA, having passed all edits, before the associated conveyance report is added for a given highway cargo movement. A unique number must be used to identify all additions.
- (b) A **change** involves the transmission of the entire new record (all applicable data elements), which will then replace the entire original record. As a rule, the highway carrier will be required to transmit a change to update the current conveyance report or cargo report when any of the data elements on the current report (submitted to the CBSA) change. Individual data elements are **not** to be transmitted separately. Changes may be made at any time before arrival at the port of report, after the addition (original) has been processed. A change to a record must **not** be sent in the same transmission as the addition for that same record.
- (c) A **delete** is used for the complete removal of records or packages of records. If individual data elements or loops of segments are to be deleted, these must be processed as changes. Deletions may be made at any time before arrival at the port of report, after the addition has been processed. A *delete* of a record must not be sent in the same transmission as the *add* for that same record.

2.7.1.16 **Post-arrival changes to EDI cargo or conveyance reports are not allowed via EDI.** Any post-arrival changes to the cargo or conveyance reports must be submitted on hard copy at the Port of Destination. An error message will be returned if EDI changes are attempted post-arrival.

2.7.1.17 The original cargo control number or conveyance report number must be used when submitting a change or deletion.

2.7.1.18 It is recommended that multiple changes to the same field of the same cargo not be sent in the same batch, as they are not read in order.

2.7.1.19 A cargo number may be reused, provided the same number is not repeated within a 3-year period. Similarly, if the cargo was cancelled prior to linking the 539 to a 547, a carrier may reuse the same cargo number.

2.7.1.20 Paper manifests are not required when the EDI carrier is reporting electronic cargo that is linked to a conveyance number. However, paper manifests representing EDI cargo may be used to report an overage or in the event of a systems outage.

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- 2.7.1.21 A mix of EDI cargo and paper cargo reporting for a single conveyance will **not** be accepted at the PIL.
- 2.7.1.22 Cargo records attached to an electronic conveyance must be an in-bond manifest, a CSA shipment or related to a release request. Goods subject to admissibility requirements (i.e. prohibited, controlled or subject to inspection) will **not** be authorized to move in bond until the requirements have been met.
- 2.7.1.23 Any cargo record linked to an electronic conveyance post arrival may be de-linked from the conveyance by the CBSA in the event a detention of cargo is required at arrival to Canada.
- 2.7.1.24 Once the cargo has been linked to a conveyance, cargo data may be updated and received by the CBSA a minimum of **one hour** before arrival at first point of entry. If new cargo is added or an existing cargo is removed, the conveyance data must reflect these changes.

2.7.2 EDI HIGHWAY BUSINESS FLOW

- 2.7.2.1 The EDI Highway Cargo System allows highway carriers to transmit conveyance report data and cargo report data to the CBSA electronically, as an alternative to submitting paper documentation. To transmit electronically:
- 1) The carrier compiles data concerning future shipments.
 - 2) For each shipment destined to Canada that the carrier opts to report to the CBSA via EDI, the carrier prepares a cargo report with the required cargo data (see Appendix B: “Glossary of Data Elements for the Highway EDI Cargo Report”).
 - 3) The carrier transmits the cargo report electronically, including the identification of any CSA clearances.
 - 4) The CBSA acknowledges receipt of the cargo report by responding with either an **accept** or **reject** message:
 - (a) If the cargo report contains a translation/edit/verification error or errors, an error message will be returned to the carrier for correction. The carrier corrects the error(s) and retransmits the cargo report to the CBSA, and the acceptance message is transmitted back to the carrier.
 - (b) For those cargo reports not in error, the CBSA will transmit an acceptance message to the carrier.
 - 5) When the conveyance is assigned, the carrier transmits the conveyance report, with the required conveyance data elements (see Appendix B: “Glossary of Data Elements for the Highway EDI Conveyance Report”). This includes:
 - (a) a conveyance report number, which is made up of the 4-digit carrier code plus a unique number assigned by the carrier; and
 - (b) a cargo report number (cargo control number or transport document number), which is made up of the 4-digit carrier code plus a unique number assigned by the carrier, for each shipment loaded on the conveyance.

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The conveyance report number cannot be the same as the cargo report number.

- 6) The CBSA acknowledges receipt of the conveyance report by responding with either an accept or reject message:
- (a) If the conveyance report contains a translation/edit/verification error or errors, an error message will be returned to the carrier for correction. The carrier corrects the error(s) and retransmits the conveyance report to the CBSA, and the acceptance message is transmitted back to the carrier.
 - (b) For those conveyance reports not in error, the CBSA will transmit an acceptance message to the carrier.

Note: EDI cargo is considered as “REPORTED” when it is linked to the conveyance number.

- 7) When the truck crosses the Canadian border and arrives at the PIL, the driver must provide bar-coded data elements* (see Memorandum D3-1-7, for bar-code specifications) as follows:
- (a) two **mandatory** data elements:
 - (i) service option code (00547 – five digits with leading zeros required on bar code)
 - (ii) conveyance report number

In addition to the mandatory data elements:

- (b) two **conditional** data elements:
 - (i) valid registered driver card (required if CSA shipment is on board)
 - (ii) secondary CSA carrier code

***Note:** A Highway EDI lead sheet is recommended for expedited clearance (see Memorandum D3-1-7 for suggested bar-code sequence and technical requirements)

- 8) At the PIL, the CBSA officer will input the presented data in ACROSS.
- 9) The RNS will transmit a Customs Response (CUSRES) message to RNS participants. The RNS message will be associated to a cargo control number or transport document number, and a transaction number where a related release request exists as follows:
- (a) For CSA shipments:
 - (i) When an “authorized to deliver” decision is entered, the CUSRES message “Authorized To Deliver” is transmitted.
 - (b) For PARS shipments:
 - (i) If a “to be released” recommendation is on file, and where the conveyance is authorized to move, the CUSRES message “Goods Released” will be transmitted.
 - (ii) If a “refer” or “reject” decision is on file, the conveyance will automatically be referred at the port of arrival for further processing.

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- (iii) In those instances where the cargo control number has no release request associated with it (“failed PARS”), and the carrier does not receive expected related release requests (such as a “Declaration Accepted” RNS message indicating a PARS was submitted to the CBSA), the carrier must ensure the Port of Destination matches that of the warehouse sub-location at least one hour prior to arrival. When the driver reports to the CBSA at the time of arrival, the cargo will be treated as an in-bond shipment, and the conveyance will be authorized to move to the valid sufferance warehouse reported on the EDI cargo.
- (iv) If a PARS is submitted by the broker and is worked by the CBSA within the one-hour timeframe prior to arrival, but after the carrier has made the change to the Port of Destination, the carrier will not be required to take further action. The PARS will then be processed at first point of arrival.

Note: The Port of Destination transmitted must match the release office on the release request (e.g. PARS/RMD).

- (v) If an examination is required, it will be performed at the port of arrival. If ACROSS is updated with a “released” decision after the examination, the CUSRES message “Goods Released” will be transmitted.

(c) For in-bond shipments:

- (i) When the in-bond shipment arrives at the Port of Destination, RNS participants who have arrival certification capability may transmit an arrival certification message to the CBSA. The applicable release/hold for exam/error CUSRES message will then be returned to the originator of the arrival message.

Notes: Existing EDI arrival rules apply (i.e. the release port must equal the port on the arrival message). The warehouse operator may also have to perform additional queries regarding the status of the cargo. See the ACROSS – EDI PRD and RNS PRD for more information.

2.7.2.2 Refer to D3-1-7 for the following exceptional scenarios: shortages, overages, re-manifests, diversions, in-transits, furtherance to a third party, and related exceptions specifically for CSA cargo.

2.7.2.3 **EDI Arrival Note:** Where an EDI arrival is transmitted in error (i.e. the sender recognizes that they have transmitted an arrival that they should not have), the sender of the EDI arrival must immediately notify the CBSA at the Port of Destination that the cargo was arrived in error.

2.8 EDI “931” ARRIVAL (SO 513)

2.8.1 In modes other than highway frontier CSA clearance, there is another facility for effecting CSA clearance – sending an EDI Arrival message. For example, there are two options for CSA clearance in other modes:

- (a) immediately upon arrival in Canada, present the CSA bar codes to the CBSA (as in section 2.5); or
- (b) use the RNS EDI arrival message both to present the request for CSA clearance and to ‘arrive’ the shipment via EDI.

2.8.2 This message is available in the Arrival UN/EDIFACT 99.B version of the Customs Report (CUSREP) only.

2.8.3 The RNS arrival message includes:

- (a) CSA Importer Business Number
- (b) Cargo control number (including the CSA carrier code)
- (c) Release office
- (d) Warehouse office

2.8.4 Occasionally, the request will be sampled and a copy of the bill of lading/manifest may be required prior to authorizing delivery. Otherwise, an ‘authorized to deliver’ message will be returned.

2.8.5 The RNS response message responds with the 3-digit response/error codes found in “Code Table # 1 -- EDI Responses/Error Codes” in Appendix B. See also the “Arrival” message maps for more information.

2.9 RNS MESSAGES

2.9.1 Once the CSA shipment has arrived, the RNS will transmit a Customs Response (CUSRES) message to RNS participants.

2.9.2 For the RNS message to be successfully transmitted, the Port of Destination of the 539 cargo, sent as an arrival, must match the port of release of the entry submitted by the importer or their licensed agent (e.g. PARS).

2.9.3 The message will be associated with the cargo control number or transport document number of the CSA shipment, where provided, and will read as follows:

- (a) If the cargo is not selected for examination, the CUSRES message “Authorized To Deliver” will be transmitted (e.g. GIS + 23).
- (b) If the cargo is referred for examination, the CUSRES message “Goods Required For Examination – Referred” will be transmitted (e.g. GIS + 5).

3.0 TRADE CHAIN PARTNER REQUIREMENTS

3.1 MAINTAINING PROFILE – OWNER OPERATORS AND TERMINAL/WAREHOUSES

3.1.1 CSA carriers are required to maintain a profile with the CBSA of owner operators who will carry CSA goods, as well as a list of the terminal/warehouses they use in Canada and the U.S.

3.1.2 Carriers must provide the initial Trade Chain Partner (TCP) listing during the CSA application process. See Appendix D for instructions.

3.1.3 As outlined in D Memorandum D3-1-7, CSA carriers are required to maintain with the CBSA:

- (a) A current list of the terminal/warehouses, in the U.S.A. and Canada, that the CSA carrier owns or uses and where international freight destined to Canada is transferred before it is delivered to the consignee. This also includes the sufferance warehouses licensed by the CBSA and the terminals (e.g. breakbulk facilities) owned or operated by the carrier, where CSA shipments will be either examined by the CBSA or transferred for delivery (all transport modes).
- (b) A current list of the owner operators that the CSA carrier will use in the CSA clearance process. Owner operators, for the purposes of CSA, are defined as an individual who owns their own equipment, and fleet operators (i.e. owners of multiple pieces of equipment) who, through written contractual agreement, dedicate equipment to a transporter or carrier.

Note: Owner Operator updates are required by CSA highway carriers only.

3.1.4 Once approved for CSA, carriers are responsible for providing the CBSA with monthly or quarterly updates to their list of:

- (a) owner operators (with whom they have made arrangements to deliver CSA goods to Canada) and
- (b) terminal/warehouses (that they will use when they ship CSA-eligible freight).

3.1.5 Updates are submitted in one of two formats.

- (a) CSA EDI carriers must transmit additions and deletions to their current lists of owner operators and terminal/warehouses using the EDI Transaction Set Message Map (see Appendix B: “Trade Chain Partner Owner Operator and Terminal/Warehouse Updates”).
- (b) Non-EDI CSA carriers use the same method that is used to create the original file during the initial application process – contact your CSA Compliance Manager if you require assistance.

3.2 TCP GENERAL BUSINESS RULES

3.2.1 The following rules apply to all types of trade chain partners (i.e. owner operators and terminal/warehouses):

- (a) When there is a change to the status of a contracted owner-operator or terminal/warehouse, the CBSA must be advised. This includes additions, changes and deletions.
- (b) If using an owner operator that is not listed on their profile, the CSA participant may lose the benefit of the streamlined CSA clearance process. In this case the driver must be prepared to present a copy of the owner operator contract.

Note: Failure to maintain the TCP list is a CSA contravention. This could result in penalties and sanctions against the CSA participant. You can find more details on CSA contraventions in D Memoranda D3-1-7.

3.2.2 If transmitted electronically, as per first update format above (i.e. 3.1.5 (a) – mandatory for EDI Carriers):

- (a) Each addition or deletion from a CSA participant's trade chain partner file will result in an acknowledgment or a rejection message from the CBSA.
- (b) Data that contain errors will be rejected and sent back to the CSA participant.
- (c) Messages must include all mandatory data elements as identified in Appendix B: "Trade Chain Partner Owner Operator and Terminal/Warehouse Updates".
- (d) An **add** is used for the submission of a trade chain partner. Multiple records of the same type may be added at the same time.
- (e) A **delete** is used for the complete removal of a single trade chain partner. A *delete* of a record must not be sent in the same transmission as an *add* for the same owner operator or terminal/warehouse.
- (f) To **change*** information on file for a single trade chain partner, such as a name or address, it is necessary to first transmit a *delete* for the existing record, followed by an *add* of a new record in a separate transmission.

***Note:** A separate **change** function **does not exist**.

- (g) It is highly recommended that participants use a unique numbering system to transmit the trade chain partners as an EDI standard so that they can ensure that all updates have been successfully processed. If errors occur, a unique numbering system will facilitate corrections.
- (h) Trade chain partners are maintained at the legal entity level for carriers.

3.3 TCP GENERAL BUSINESS FLOWS

3.3.1 ELECTRONIC ADDITIONS

3.3.1.1 The client transmits an original message with a new trade chain partner to the CBSA.

3.3.1.2 The CBSA will validate the EDI profile to ensure that the CSA participant has been approved for maintaining a list of trade chain partners. If the client has not been approved, the CBSA will return a rejection message to the client.

3.3.1.3 If the CSA participant has been approved for sending trade chain partner updates, the system will search to find out if the new record already exists on file. If the record already exists, the EDI update will be rejected with the message "DUPLICATE (*Owner Operator or Terminal/Warehouse*)."

3.3.1.4 The data transmitted will be validated (see Appendix B: "Trade Chain Partner (TCP) Updates" message maps).

3.3.1.5 Each addition accepted by the CBSA will receive an acknowledgment message. For more information, see the following message maps in Appendix B for owner operator and terminal/warehouse updates:

- (a) 997 Functional Acknowledgment
- (b) 824 Application Advice

3.3.2 ELECTRONIC DELETIONS

3.3.2.1 The client transmits a delete message for an existing trade chain partner.

3.3.2.2 If the trade chain partner is found for the CSA division, the record is expired and an acknowledgment is returned.

3.3.2.3 If the trade chain partner to be deleted cannot be matched to a record on file with the CBSA, a rejection message will be sent to the client.

Note: The matching of a trade chain partner to a record on file with CBSA occurs at both the name and address level.

3.4 TCP - OWNER OPERATOR UPDATES

3.4.1 OWNER OPERATOR BUSINESS RULES

3.4.1.1 Transmissions must be sent in ANSI X12 v4010 format.

3.4.1.2 The owner operator carrier code is optional; however, we highly recommend that CSA carriers transmit the owner operator carrier code to avoid errors commonly associated with automated text matching.

3.4.1.3 If the owner operator carrier code is not provided, the CSA carrier must send the business name of the owner operator. If the owner operator carrier code and business name are not provided, the CSA carrier must send the first and last names of the owner operator. See D Memorandum D3-1-7 for definition of owner operator.

3.4.2 OWNER OPERATOR ADDITIONS

3.4.2.1 An addition to a CSA carrier's list of owner operators is required when the CSA carrier has made arrangements to use the services of an owner operator to transport CSA goods from the U.S.A. to Canada, and this owner operator is not yet listed on that CSA carrier's list of trade chain partners with the CBSA. It should be noted that only CSA Highway carriers are required to update their list of owner operators with the CBSA.

3.4.2.2 Adding a new owner operator:

- (a) If the owner operator carrier code and business name are not provided, the CSA carrier must send the first and last names of the owner operator.
- (b) If the originator's carrier code is not included in the add message, the CBSA will respond with an error message advising the originator that "APPLICATION ID IS MANDATORY".
- (c) If the originator's carrier code is not found in the ACROSS data base, the CBSA will respond with an error message advising the originator that "APPLICATION ID MUST EXIST TO ALLOW UPDATES."
- (d) If the originator's carrier code is not in **Approved CSA** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."
- (e) If the originator's carrier code is in **Denied CSA** or **Cancelled** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."
- (f) If the owner operator's carrier code, business name, or surname and given name are not included in the add message, the CBSA will respond with an error message advising the originator that "ONE

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OF THE FOLLOWING MUST BE SENT: OWNER OPERATOR'S BUSINESS NAME, CARRIER CODE, SURNAME AND GIVEN NAME".

- (g) If the owner operator's carrier code is transmitted and not found in the ACROSS database, the CBSA will respond with an error message advising the originator that "OWNER OPERATOR CARRIER CODE IS NOT VALID".
- (h) If the country code for the owner operator's **address** is **CA** (Canada) or **US** (U.S.), but the owner operator's Province/State code and Postal/Zip code is not included in the add message, the CBSA will respond with an error message advising the originator that "IF COUNTRY CODE IS 'CA' OR 'US', THEN PROVINCE OR STATE CODE AND POSTAL OR ZIP CODE IS MANDATORY".
- (i) If the submitted owner operator's **carrier code** or **name** (Business Name or Surname and Given Name) **and address** is already listed on the originating carrier's TCP file, the CBSA will respond with an error message advising the originator of a "DUPLICATE OWNER OPERATOR".
- (j) If the submitted owner operator's **carrier code** or **name** (Business Name or Surname and Given Name) **and address** is not already listed on the originating carrier's TCP file, the CBSA will acknowledge acceptance of the message by returning an acknowledgment message to the originator.

3.4.3 OWNER OPERATOR DELETIONS

3.4.3.1 A deletion to a CSA carrier's list of owner operators is required when the CSA carrier decides that the services of an owner operator, who is currently on the list, to transport CSA goods from the U.S.A. to Canada are no longer required. The CSA carrier can transmit a deletion of an owner operator electronically at any time; however, it is best to transmit the delete request as soon as possible.

3.4.3.2 Deleting an existing owner operator:

- (a) In the cases where updates are based on name, the address on the delete message must match that on file with CBSA.
- (b) If the originator's carrier code is not included in the delete message, the CBSA will respond with an error message advising the originator that "APPLICATION ID IS MANDATORY".
- (c) If the originator's carrier code is not found in the ACROSS data base, the CBSA will respond with an error message advising the originator that "APPLICATION MUST EXIST TO ALLOW UPDATES."
- (d) If the originator's carrier code is not in **Approved CSA** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."
- (e) If the originator's carrier code is in **Denied CSA** or **Cancelled** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."

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- (f) If the owner operator's carrier code, business name, or surname and given name are not included in the delete message, the CBSA will respond with an error message advising the originator that "ONE OF THE FOLLOWING MUST BE SENT: OWNER OPERATOR'S BUSINESS NAME, CARRIER CODE, SURNAME AND GIVEN NAME".
- (g) If the owner operator's carrier code is not found in ACROSS database, the CBSA will respond an error message advising the originator that "OWNER OPERATOR CARRIER CODE IS NOT VALID".
- (h) If the country code for the owner operator's **address** is **CA** (Canada) or **US** (U.S.), but the owner operator's Province/State code and Postal/Zip code is not included in the delete message, the CBSA will respond with an error message advising the originator that "IF COUNTRY CODE IS 'CA' OR 'US', THEN PROVINCE OR STATE CODE AND POSTAL OR ZIP CODE IS MANDATORY".
- (i) If the submitted owner operator's **carrier code** is not listed on the originating carrier's TCP file, the CBSA will respond with an error message advising the originator that "CARRIER CODE NOT FOUND IN APPLICATION".
- (j) If the submitted owner operator's **name** (Business Name or Surname and Given Name) **and address**, is not listed on the originating carrier's TCP file, the CBSA will respond with an error message advising the originator that "OWNER OPERATOR NOT FOUND. DELETE NOT PROCESSED".
- (k) If the submitted owner operator's **name** (Business Name or Surname and Given Name) **and address** is already listed on the originating carrier's TCP file, the CBSA will acknowledge acceptance of the delete message by returning an acknowledgment message to the originator.

3.4.4 OWNER OPERATOR TRANSMISSION ACKNOWLEDGMENTS

3.4.4.1 The CSA carrier must send a unique number to allow the CBSA to acknowledge messages. For each TCP update transmission received from the CSA carrier, the CBSA will respond with an acknowledgment or error message. TCP error messages can be found in Appendix B: Code Table # 1 -- EDI Response/Error Codes.

3.4.5 OWNER OPERATOR TRANSMISSION MESSAGE MAP

3.4.5.1 See Appendix B: "ANSI X12 v4010, Owner Operator and Terminal/Warehouse Message Map."

3.5 TCP – TERMINAL/WAREHOUSE UPDATES

3.5.1 TERMINAL/WAREHOUSE BUSINESS RULES

3.5.1.1 Transmissions must be sent in ANSI X12 v4010 format.

3.5.1.2 The business name and address of the terminal/warehouse must be included in the transmission to the CBSA.

3.5.2 TERMINAL/WAREHOUSE ADDITIONS

3.5.2.1 An addition to a CSA carrier's list of a terminal/warehouses is required when the CSA carrier has made arrangements to use a terminal/warehouse in Canada or the U.S., and the terminal/warehouse is not yet listed on that CSA carrier's list of trade chain partners with the CBSA.

3.5.2.2 Adding a new terminal/warehouse:

- (a) The CSA carrier transmits an original message with a new terminal/warehouse. The carrier must include the business name of the terminal/warehouse in the transmission to the CBSA.
- (b) If the originator's carrier code is not included in the add message, the CBSA will respond with an error message advising the originator that "APPLICATION ID IS MANDATORY".
- (c) If the originator's carrier code is not found in the ACROSS data base, the CBSA will respond with an error message advising the originator that "APPLICATION MUST EXIST TO ALLOW UPDATES."
- (d) If the originator's carrier code is not in **Approved CSA** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."
- (e) If the originator's carrier code is in **Denied CSA** or **Cancelled** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."
- (f) If the country code for the terminal/warehouse's **address** is **CA** (Canada) or **US** (U.S.), but terminal/warehouse's Province/State code and Postal/Zip code is not included in the add message, the CBSA will respond with an error message advising the originator that "IF COUNTRY CODE IS 'CA' OR 'US', THEN PROVINCE OR STATE CODE AND POSTAL OR ZIP CODE IS MANDATORY".

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- (g) If the submitted terminal/warehouse's **business name and address** is already listed on the originating carrier's TCP file, the CBSA will respond with an error message advising the originator of a "DUPLICATE TERMINAL/WAREHOUSE."
- (h) If the submitted terminal/warehouse's **business name and address** is not already listed on the originating carrier's TCP file, the CBSA will acknowledge acceptance of the message by returning an acknowledgment message to the originator.

3.5.3 TERMINAL/WAREHOUSE DELETIONS

3.5.3.1 A deletion to a CSA carrier's list of terminal/warehouses is required when there is a change to the CSA carrier's terminal/warehouse, and that terminal/warehouse is currently listed on the CSA carrier's list of trade chain partners with the CBSA. A deletion of a terminal/warehouse can be transmitted electronically at any time; however, it is best to transmit the delete request as soon as possible.

3.5.3.2 Deleting an existing terminal/warehouse:

- (a) The CSA carrier transmits an original message with an existing terminal/warehouse to be deleted. The carrier must include the business name of the terminal/warehouse in the transmission to the CBSA. In the cases where updates are based on name, the address on the delete message must match that on file with CBSA.
- (b) If the originator's carrier code is not included in the delete message, the CBSA will respond with an error message advising the originator that "APPLICATION ID IS MANDATORY".
- (c) If the originator's carrier code is not found in the ACROSS data base, the CBSA will respond with an error message advising the originator that "APPLICATION MUST EXIST TO ALLOW UPDATES."
- (d) If the originator's carrier code is **not** in **Approved CSA** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."
- (e) If the originator's carrier code is in **Denied CSA** or **Cancelled** status, the CBSA will respond with an error message advising the originator that "APPLICATION IS NOT IN A VALID STATUS. UPDATES NOT ACCEPTED."
- (f) If the country code for the terminal/warehouse's **Address** is **CA** (Canada) or **US** (U.S.), but the terminal/warehouse's Province/State code and Postal/Zip code is not included in the delete message, the CBSA will respond with an error message advising the originator that "IF COUNTRY CODE IS 'CA' OR 'US', THEN PROVINCE OR STATE CODE AND POSTAL OR ZIP CODE IS MANDATORY".
- (g) If the submitted terminal/warehouse's **business name and address** is not listed on the originating carrier's TCP file, the CBSA will respond with an error message advising the originator that "TERMINAL/WAREHOUSE NOT FOUND. DELETE NOT PROCESSED".

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- (h) If the submitted terminal/warehouse's **business name and address** is already listed on the originating carrier's TCP file, the CBSA will acknowledge acceptance of the message by returning an acknowledgment message to the originator.

3.5.4 TERMINAL/WAREHOUSE TRANSMISSION ACKNOWLEDGMENTS

3.5.4.1 The CSA carrier must send a unique number to allow the CBSA to acknowledge messages. For each TCP update transmission received from the CSA carrier, the CBSA will respond with an acknowledgment or error message. TCP error messages can be found in Appendix B: Code Table # 1 -- EDI Response/Error Codes.

3.5.5 TERMINAL/WAREHOUSE TRANSMISSION MESSAGE MAP

3.5.5.1 See Appendix B: "ANSI X12 v4010, Owner Operator and Terminal/Warehouse Location Message Map."

4.0 OTHER GOVERNMENT DEPARTMENTS

4.1 Processing which involves any other government department at the point of arrival (e.g., permits, certificates, licenses, inspection, etc.) will not be allowed within CSA, **unless a waiver has been obtained**. See D Memoranda D3-1-7 for more detail.

Appendix A – Glossary of Acronyms

The following is a list of the acronyms used throughout the document:

ACROSS	Accelerated Commercial Release Operational Support System
AMPS	Administrative Monetary Penalty System
ASN	Advanced Shipping Notification System
ANSI	American National Standards Institute
BN	Business Number
CAD	Canadian Dollars
CADEX	Customs Automated Data Exchange
CBSA	Canada Border Services Agency
CDRP	Commercial Driver Registration Program
CRL	Cargo/Release List
CSA	Customs Self Assessment
CUSDEC	Customs Declarations Message
CUSRES	Customs Response Message
ECCRD	Electronic Commerce Client Requirements Document
EDI	Electronic Data Interchange
FAST	Free And Secure Trade
LVS	Low Value Shipment
MFN	Most Favoured Nation
PARS	Pre-Arrival Review System
PIL	Primary Inspection Line
PRD	Participants' Requirement Document
OIC	Order In Council
RM	RM – Import/Export is the Program Account Identifier portion of Business Number (BN) (i.e., 123456789RM0001)
RMD	Release on Minimum Documentation
RNS	Release Notification System
RSF	Revenue Summary Form
TCP	Trade Chain Partner
UN/EDIFACT	The United Nations EDI International standard “Electronic Data Interchange For Administration, Commerce, and Transport”

Appendix B – EDI Message Maps & Code Tables

For EDI Message Maps and Code Tables: Please refer to “**CSA Carrier PRD EDI MESSAGE MAPS & CODE TABLES – APPENDIX ‘B’ of the CSA Carrier PRD**” document.

Appendix C – Carrier Mapping Examples

INBOUND A8A Highway Cargo Report message:

Example:

A carrier by the name of Rocky Mountain Express with an authorized Canadian carrier code of 9999 is reporting multiple cargos as imports to Canada on May 1, 2005 at 15:35 (eastern standard time).

Qualifier used: ZZ

Interchange Sender ID: Rocky

Receiver ID: RCCECECPP

Transmission site name: U12345SA.

Cargo one: (Submitted as an original: code 00)

Carriers Manifest number (CCN): 9999123456

Shipper: Laurie's Locks of 123 Maple St. Boston MA 123456 US
(Carrier picked up cargo in Chicago IL)

Consignee: Andre's Hardware of 456 Ash Ave. Ottawa ON K2E6S2 CA
(Non-CSA/FAST)

Description: Metal Lock Bolts weighing 100 pounds in 4 carton boxes

Customs Port of Entry (Arrival to Canada): Sarnia ON

Expected Port of Release (PARS): Sarnia ON

Warehouse location (if cargo is not released): Toronto ON

Cargo two: (Submitted as an original: code 00)

Carriers Manifest number (CCN): 9999123457

Shipper: Pauline's Plastics of 567 Sandy St. West Palm Beach FL 234567 US
(Carrier picked up cargo in Miami FL relayed through Atlanta GA & Albany NY)

Consignee: Terry's Tent Supply of 890 St Catherine Montreal QC L2E6S2 CA
(CSA BN# 123456789RM0001)

Description: Plastic utensils, dishes and cups weighing 20 pounds in 20 carton boxes and 2 rolls of plastic sheets weighing 200 pounds in cartons

Customs Port of Entry (Arrival to Canada): Lacolle QC

Expected Port of Release: Lacolle QC

Warehouse location (if cargo is not released): Montreal QC

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Cargo three: (Submitted as a change: code 04)

Carriers Manifest number (CCN): 9999123458

Shipper: Salinas Sporting Goods of 789 Sabina St. Monterrey MX

(Carrier picked up cargo in Monterrey MX relayed through Laredo TX & Salt Lake City UT)

Consignee: Paul's Paintball City of 900 Ridge Ave. Cochrane, AB T2T5P3 CA

(Non-CSA/FAST) (Special Instructions: Hold at dock & call for pick up)

Description: Target Panels weighing 800 pounds on 2 skids

Customs Port of Entry (Arrival to Canada): Coutts AB

Expected Port of Release (PARS): Coutts AB

Warehouse location (if cargo is not released): Calgary, AB

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ISA*00* *00* *ZZ*ROCKY
*ZZ*RCCECECPP*050501*1535*U*00200*000123456*0*T*<
GS*SO* U12345SA*HA8A*20050501*1535*123456*X*004010
ST*311*000000001
B2A*00*37
N9*AAO*9999
N9*XC*9999123456
N1*SH*Laurie's Locks
N3*123 MAPLE ST.
N4*BOSTON*MA*123456*US
N1*CN*ANDRE'S HARDWARE*ZZ*00
N3*456 ASH AVE.
N4*OTTAWA*ON*K2E 6S2*CA
R4*J*SC*CHICAGO IL**US
R4*3*CD*0440
R4*4*CD*0440***9496
LX*1
LO*1***100*G***1*CTN**L
L5*1* METAL LOCK BOLTS
SE*17*000000001
ST*201*000000002
B2A*00*37
N9*AAO*9999
N9*XC*9999123457
N9*ABQ*123456789RM0001
N1*SH* PAULINE'S PLASTICS
N3*567 SANDY ST
N4*WEST PALM BEACH*FL*234567*US
N1*CN* TERRY'S TENT SUPPLY*ZZ*01
N3*890 ST CATHERINE
N4*MONTREAL*QC*L2E 6S2*CA
R4*J*SC*MIAMI FL**US
R4*J*SC*ATLANTA GA**US
R4*J*SC*ALBANY NY**US
R4*3*CD*0351
R4*4*CD*0351***9398
LX*2
LO*1***20*G***1*CTN**L
L5*1* PLASTIC UTENSILS, DISHES AND CUPS
LO*1***200*G***2*CTN**L
L5*2* ROLLS OF PLASTIC SHEETS
SE*22*000000002
ST*201*000000003
B2A*04*37
N9*AAO*9999
N9*XC*9999123458
N1*SH*SALINAS SPORTING GOODS
N3*789 SABINA ST.
N4*MONTERREY*LE*123456*MX
N1*CN*PAUL'S PAINTBALL CITY*ZZ*00
N3*900 RIDGE AVE.
N4*COCHRANE*AB*T2T5P3*CA
R4*J*SC* MONTERREY LE***MX
R4*3*CD*0705
R4*4*CD*0705***9701
R4*T*CD* LAREDO TX**US
R4*T*CD* SALT LAKE CITY UT**US
K1* HOLD AT DOCK & CALL FOR PICK UP*
LX*1
LO*1***800*G***2*SKD**L
L5*1*TARGET PANELS
SE*20*000000003
GE*3*123456
IEA*1*000123456

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NOTES

B2A Purpose	Type Codes	Entity Codes
00 – original	37 – Imports	00-non CSA
03 – delete	38 – Exports	01-CSA goods
04 –change	39 – In transit	02-A49 auto goods

N9	N1	N3
AAO – Canadian carrier assigned code (4 digits)	SH- shipper (mandatory)	N3*Second N3 address*Second N3 address (where multiple addresses are used)
XC – cargo control number # (unique for 3 yrs)	CN- consignee (mandatory)	
ABQ - BN	*ZZ*00(cond if CN is used)	

RJ	LO1 Weight units	Other
J - bill of lading port of loading Where carrier takes contractual possession of cargo	K = Kilo	CD for port function codes 3 and 4
3 - customs office of manifest origin (Port of Entry / Arrival)	L = Pounds	SC for port function code J
4 - customs office of manifest dest (Port of expected Release)	E = Metric ton	Country code if port function codes = 3 or 4
T - transshipment port Mandatory when J = other than US		Sub-port Mandatory if office of mfst of dest=4

INBOUND A9 Highway Conveyance Report message:

Example:

A carrier by the name of Rocky Mountain Express with an authorized Canadian carrier code of 9999 is reporting a conveyance as an import to Canada with 10 cargos transmitted on May 11, 2005 at 15:45 (eastern standard time).

Qualifier used: ZZ

Interchange Sender ID: Rocky

Receiver ID: RCCECECPP

Transmission site name: U12345SA.

- The driver will identify the conveyance by showing the number 9999123456789 in bar coded format at customs upon arrival to Canada.
- The conveyance has a tractor bearing Manitoba plates: ABC 123 and sealed trailer bearing Alberta plates 123456T and seal 987654 with expected arrival at the port of Pacific Highway, BC on May 11, 2005 @ 17:00 hrs.
- The 10 cargo control numbers are listed as 9999000001, 9999000002 to 9999000010.
- The conveyance is submitted as an original transmission.

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ISA*00* *00* *ZZ*ROCKY *ZZ*RCCECECPP
 *050511*1545*U*00200*000012345*0*T*<
 GS*SO*U12345SA*HA9*20050511*1545*12345*X*004010
 ST*311*000067899
 B2A*00*37
 N9*AAO*9999
 N9*TG*9999123456789
 V2*MB*ABC 123
 DTM*371****DT*200505111700
 N1*CA*ROCKY MOUNTAIN EXPRESS
 R4*G*CD*0813
 LX*1
 ED*AB*123456T*L
 M7*987654
 L0*1
 L5*****9999000001*SM
 L5*****9999000002*SM
 L5*****9999000003*SM
 L5*****9999000004*SM
 L5*****9999000005*SM
 L5*****9999000006*SM
 L5*****9999000007*SM
 L5*****9999000008*SM
 L5*****9999000009*SM
 L5*****9999000010*SM
 SE*23*000067899
 GE*1*1432
 IEA*1*000001432

NOTES

B2A Purpose	Type Codes
00 – original	37 – Imports
03 – delete	38 – Exports
04 –change	39 – In transit

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Appendix D – Load Specifications for Terminals, Warehouses, and Owner Operators

CUSTOMS SELF ASSESSMENT PROGRAM TRADE CHAIN PARTNER FLAT FILE SPECIFICATIONS

As part of the Customs Self Assessment (CSA) application and approval process, carriers must submit a preliminary inventory of their trade chain partners to the Canada Border Services Agency (CBSA), as follows:

- A list of terminals and warehouses owned and/or operated by the applicant carrier must accompany the Part I CSA application; and,
- A list of the owner-operators that the carrier intends to use for CSA clearance must be submitted to the CBSA prior to the completion of Part II of the application process.

The following outlines the medium on which the list of **terminals and warehouses** must be submitted:

Number of Terminals and Warehouses	Medium to be Used
Less than 25	Include in writing on Part I application
Between 25 and 1000	Diskette or CDROM
Between 1001 and 6000	CDROM
More than 6000	Magnetic Tape

The following outlines the medium on which the list of **owner-operators** must be submitted:

Number of Owner-Operators	Medium to be Used
Less than 25	Include in writing prior to completion of Part II
Between 25 and 1000	Diskette or CDROM
Between 1001 and 6000	CDROM
More than 6000	Magnetic Tape

The following instructions are for carriers who have more than 25 terminals and warehouses, and/or more than 25 owner-operators to submit to the CBSA.

MEDIA SPECIFICATIONS

It is important that the media submitted conform to the media specifications outlined below. Submissions that do not conform to the specifications and cannot be uploaded to CBSA systems will be returned to the applicant carrier. This will lead to delays in the application and approval process.

If a diskette is being submitted, please indicate in writing on the diskette the name of your company, whether there are terminals and warehouses or owner-operators saved on the diskette, and the name of the file.

If a CDROM is being submitted, please indicate in writing on the CDROM the name of your company, whether there are terminals and warehouses or owner-operators on the CDROM, and the name of the file.

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Also, the CDRom **must**:

- be Compact Disc Recordable, CD-R (i.e. write once);
- have a disc density of either 640 MB or 700 MB; and,
- be properly closed.

If a magnetic tape is being submitted, please indicate in writing on the magnetic tape or an attachment the following:

- name of your company;
- whether there are terminals and warehouses, or owner-operators on the magnetic tape;
- the name of the file;
- whether the tape is round or square;
- if applicable, whether the tape is 18 or 36 tracks; and,
- the tape number of the magnetic tape.

Also, the magnetic tape **must**:

- be standard label (SL);
- be round (3420) or square (3480/3490); and,
- have a tape density of 6520 bpi, or 18 or 36 tracks.

Note: One file with multi-volume tapes with only one header and one trailer can be copied, up to a maximum of 8 volumes.

FLAT FILE SPECIFICATIONS

It is important that the information provided on diskette, CDRom, or magnetic tape, conform to the flat file specifications outlined below. Only flat files in fixed length records with a .txt extension, with all fields left aligned, can be accepted by the CBSA and uploaded into CBSA systems. Submissions that do not conform to the specifications and cannot be uploaded to CBSA systems will be returned to the applicant carrier. This will lead to delays in the application and approval process.

CBSA will not manipulate submissions to conform to the flat file specifications. Should corrections or updates to submissions be required, the CBSA cannot accept them by email.

Flat files consist of the following:

- a header record;
- data records; and,
- a trailer record.

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Header Record

The file must begin with a header record, which must be 450 bytes (i.e. 450 characters, including spaces). All the fields listed below are mandatory at the specified length. Complete the header record with a hard return (i.e. press 'enter').

Field	Data Element	Length	Specifications
1	Record Identifier	2 numeric	Must be '01'
2	Carrier Code	4 alphanumeric	Must be valid carrier code of CSA carrier applicant
3	Filler	444 spaces	444 spaces

Example: If your carrier code were 30AA, the header would be 0130AA followed by 444 spaces. **Do not fill with zeros.**

Data Records

Terminal and Warehouse Records

Each line (i.e. each terminal and/or warehouse record) must contain 450 bytes (i.e. 450 characters, including spaces). All of the fields listed below are mandatory at the set length specified. Any unused characters must be spaces. At the end of each line include a hard return (i.e. press 'enter').

Field	Data Element	Length	Specifications	Example
1	Record Identifier	2 numeric	Must be '05'	05
2	Carrier Code	4 alphanumeric	Must be valid carrier code of CSA carrier applicant	30AA
3	Address Line 1	30 alphanumeric	Must have at least 2 alphanumeric, one of which must be numeric; Will accept punctuation and symbols	1234 Apple Drive
4	Address Line 2	30 alphanumeric	Will accept punctuation and symbols	Suite 6
5	City	30 alphanumeric	Must have at least 2 characters; Will accept punctuation and symbols	Calgary
6	Province/State Code	2 alpha	A valid province or state code is mandatory; See reference table attached	AB
7	Country Code	2 alpha	Must be a valid country code of either 'CA' for Canada, or 'US' for the United States	CA
8	Postal/Zip Code	10 alphanumeric	Must be a valid postal or zip code; Do not include spaces between alphanumeric characters in a postal code	N9D7H4
9	Business Name	175 alphanumeric	Must be at least 2 alphanumeric; do not send punctuation and symbols i.e. '	Burts Terminal
10	Filler	165 spaces	Must fill with 165 spaces	165 spaces

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Owner-Operator Records

Each line (i.e. each owner-operator record) must contain 450 bytes (i.e. 450 characters, including spaces). All of the fields listed below are mandatory at the set length specified. Any unused characters must be spaces. At the end of each line include a hard return (i.e. press 'enter').

Note: An owner-operator is defined as an individual driver who owns their equipment, or an owner of multiple pieces of equipment (i.e. fleet operators), who dedicates their equipment to the CSA approved carrier by written contractual agreement.

At least one of the following owner-operator data elements is required or the file will be rejected:

- Owner-operator carrier code (Field 3); or
- Owner-operator surname and given name (Fields 10 and 11); or,
- Owner-operator business name (Field 12)

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However, where the owner-operator is an individual driver, please include the owner-operator code if the owner-operator has one (Field 3), the surname (Field 10), the given name (Field 11) and, if applicable, the business name (Field 12), and/or, where the owner-operator is a fleet operator, please include the owner-operator code if the owner-operator has one (Field 3) and the business name (Field 12).

Field	Data Element	Length	Specifications	Example
1	Record Identifier	2 numeric	Must be '04'	04
2	Carrier Code	4 alphanumeric	Must be valid carrier code of CSA carrier;	30AA
3	Owner-Operator Carrier Code	4 alphanumeric	Must be valid carrier code of owner-operator; If owner-operator does not have a carrier code insert 4 spaces	7ZZZ
4	Address Line 1	30 alphanumeric	Must have at least 2 characters, one of which must be numeric; Will accept punctuation and symbols	88 128 th Street
5	Address Line 2	30 alphanumeric	Will accept punctuation and symbols	Unit 456
6	City	30 alphanumeric	Must have at least 2 characters; Will accept punctuation and symbols	New York
7	Province/State Code	2 alpha	A valid province or state code is mandatory; See reference table attached	NY
8	Country Code	2 alpha	Must be a valid country code of either 'CA' for Canada, or 'US' for the United States	US
9	Postal/Zip Code	10 alphanumeric	Must be a valid postal or zip code; Do not include spaces between alphanumeric characters in a postal code.	12345
10	Individual's Surname	50 alphanumeric	If applicable, a surname is required; If not applicable, insert 50 spaces	Smith
11	Individual's Given Name	30 alphanumeric	If applicable, a given name is required; If not applicable, insert 30 spaces	John
12	Owner-Operator's Business Name	175 alphanumeric	Must be at least 2 alphanumeric characters; Will accept punctuation and symbols	Smith's Trucking Inc.
13	Filler	81 spaces	Must fill with 81 spaces	81 spaces

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Trailer Record

The file must end with a trailer record, which must be 450 bytes (i.e. 450 characters, including spaces). All the fields listed below are mandatory at the specified length. Any unused characters must be spaces. **Do not include a hard return at the end of the trailer record (i.e. do not press 'enter')**.

Field	Data Element	Length	Specifications
1	Record Identifier	2 numeric	Must be '99'
2	Number of Records	9 numeric	The number of records (e.g. Number of terminals and warehouses) in the file, including the header and trailer records. This number must have preceding zeros (e.g. 000000076)
3	Filler	439 spaces	439 spaces

Example: If you had 74 terminals and warehouses in the file and remembering to add in the header and trailer records, the trailer would be 99000000076 followed by 439 spaces. **Do not fill with zeros.**

REASONS FOR REJECTION OF FLAT FILE SUBMISSIONS

Submissions will be **rejected** if:

- The header record does not exist, is duplicated, or is found elsewhere in the file
- The header record does not begin with '01'
- The 4-character carrier code is not valid with the CBSA
- The header or trailer record does not have exactly 450 characters, including spaces
- No terminal and warehouse, or owner operator records exist (i.e. no data records were provided)
- The terminal and warehouse, or owner operator records are not exactly 450 characters, including spaces
- The business name is duplicated
- There is a space in the postal code
- The data in each field is not left aligned
- The trailer record does not exist, is duplicated, or is found elsewhere in the file
- The trailer record does not begin with '99'
- The total record count does not equal the count in the trailer record, including the header and trailer records
- The record count field is not 9 digits (e.g. '000000076')
- There is a hard return after the trailer

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Province/State Code Reference Table

PROVINCE/TERRITORY	CODE	PROVINCE/TERRITORY	CODE
Alberta	AB	Northwest Territories	NT
British Columbia	BC	Nunavut	NU
Manitoba	MB	Ontario	ON
New Brunswick	NB	Prince Edward Island	PE
Newfoundland	NF	Quebec	QC
Nova Scotia	NS	Saskatchewan	SK
		Yukon Territory	YK

STATE	CODE	STATE	CODE
Alaska	AK	Mississippi	MS
Alabama	AL	Montana	MT
Arkansas	AR	North Carolina	NC
Arizona	AZ	North Dakota	ND
California	CA	Nebraska	NE
Colorado	CO	New Hampshire	NH
Connecticut	CT	New Jersey	NJ
District of Columbia	DC	New Mexico	NM
Delaware	DE	Nevada	NV
Florida	FL	New York	NY
Georgia	GA	Ohio	OH
Hawaii	HI	Oklahoma	OK
Iowa	IA	Oregon	OR
Idaho	ID	Pennsylvania	PA
Illinois	IL	Rhode Island	RI
Indiana	IN	South Carolina	SC
Kansas	KS	South Dakota	SD
Kentucky	KY	Tennessee	TN
Louisiana	LA	Texas	TX
Massachusetts	MA	Utah	UT
Maryland	MD	Virginia	VA
Maine	ME	Vermont	VT
Michigan	MI	Washington	WA
Minnesota	MN	Wisconsin	WI
Missouri	MO	West Virginia	WV
		Wyoming	WY

Appendix E – Related ACROSS PRD Sections

There is additional related information in Section 3.0 of the ECCRD, the ACROSS PRD. The EDI protocols for these areas of ACROSS remain unchanged for CSA. If you have any questions, please refer to the relevant section under the following numbered headings in the ACROSS PRD:

- 2.0 OPERATING ENVIRONMENT
- 3.0 EDI RELEASE PROCESSING OVERVIEW
- 5.0 MESSAGE SCENARIOS
- 6.0 PARTICIPANT INFORMATION/REQUIREMENTS
- 7.0 SUPPORT INFORMATION
- 8.0 TESTING AND IMPLEMENTATION REQUIREMENTS
- 9.0 PROBLEM REPORTING AND ESCALATION
- 10.0 CLARIFICATION OF MESSAGE AND FUNCTIONALITIES
- 11.0 ELECTRONIC CODE TABLES