

**ACI/EMANIFEST
HIGHWAY
ELECTRONIC COMMERCE
CLIENT REQUIREMENTS
DOCUMENT**

**EDI HIGHWAY CARGO AND
CONVEYANCE
ADVANCE INFORMATION
FOR
ANSI AND EDIFACT MESSAGE
STANDARD**

Revision History

Date Changes Made	Version	Changes Made	Changes Made By
May 2010	1.3	Final version for website	A. Morey, EDI Reporting
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1.0 PURPOSE

- 1.0.1 This document is designed to provide clients with technical user information on how to submit, change, delete and amend advance commercial information under Phase III of Advance Commercial Information (ACI), also known as eManifest. This information is submitted to the Canada Border Services Agency (CBSA) through an Electronic Data Interchange (EDI) for highway cargo and conveyance submissions. Clients are advised the content in this document is subject to revision and amendment in the event of system upgrades and/or changing operational requirements. The Technical Support Unit (TSU) of the 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 TSU.
- 1.0.2 This document will supply information that is relevant to providing advance commercial information to the CBSA regarding highway cargo and conveyances via EDI. The main purpose of this document is to assist clients with their internal implementation.
- 1.0.3 Note: The eManifest Portal (currently in development) is also a tool that will be made available by CBSA to allow clients to comply with the eManifest program. Data requirements and business rules for the portal are the same as those outlined in this ECCRD for Highway. This ECCRD does not go into detail about portal usage; however, to get more information and to obtain a copy of the eManifest Portal User Guide, when it becomes available, please visit the CBSA website: <http://www.cbsa-asfc.gc.ca>.
- 1.0.4 The eManifest message maps (cargo, conveyance) are in ANSI and EDIFACT standards.
- 1.0.5 We recommend that clients review all narrative sections of this document in conjunction with the message maps as some operational rules impact system programming.
- 1.0.6 Any queries or documentation requests should be directed to:

Technical Support Unit

Canada Border Services Agency

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1-613-946-0762 for callers outside Canada and the U.S. between 08h00 to 17h00 ET

1-613-946-0763 for callers outside Canada and the U.S. between 17h00 to 08h00 ET.

2.0 INTRODUCTION

- 2.0.1 The ACI program is about providing CBSA officers with electronic pre-arrival cargo and conveyance information so that they have access to the right information at the right time to identify health, safety and security threats related to commercial goods before the goods arrive in Canada. Phase I of the ACI Program was implemented in April, 2004 requiring foreign marine carriers and freight forwarders where applicable to electronically transmit marine cargo and conveyance data to the CBSA 24 hours prior to loading cargo at a foreign port. Implementation of Phase II of the ACI program was completed in July, 2006 and requires all air carriers and freight forwarders, where applicable, to electronically transmit conveyance, cargo and supplementary cargo data to the CBSA four hours prior to arrival in Canada. As well, ACI Phase II also expanded marine requirements to include shipments loaded in the United States.
- 2.0.2 The eManifest initiative is the third phase of the ACI program. When fully implemented, eManifest will require all carriers, freight forwarders and importers in all modes of transportation (air, marine, highway and rail) to submit advance trade data to the CBSA prior to arrival at the border.
- 2.0.3 The Customs Self Assessment (CSA) program currently has an EDI process for carriers wishing to transmit cargo and conveyance data to the CBSA on a voluntary basis. The existing cargo and conveyance maps used in this voluntary process will continue to be supported for an interim period, and the ECCRD for CSA Carriers will remain a separate procedural document for this process until a later phase of eManifest.
- 2.0.4 The ANSI and EDIFACT maps have been developed using a single data requirements set to allow advance provision of cargo and conveyance information by different modes of transportation. The ANSI messages are based on version 5040, and the EDIFACT messages are based on version 08A.

3.0 SCOPE

- 3.0.1 This document addresses eManifest, the transmission and receipt of electronic cargo and conveyance data from carriers in the highway mode. This document focuses on the requirements for those carriers who are providing advance commercial information electronically to the CBSA either on their own or through a service provider.
- 3.0.2 The data elements requirements for providing electronic advance cargo and conveyance information are listed in Appendix B. In addition, Appendix B also contains all of the EDI mapping instructions and various code tables.
- 3.0.3 A Glossary of terms can be found in Appendix A.
- 3.0.4 Electronic advance information of crew data forms part of the conveyance submission; however, the crew data will not be required at this time. Crew and passenger data elements currently listed in the maps should not be transmitted to the CBSA at this time.
- 3.0.5 This document provides instructions to highway carriers on how to submit/ delete/ change and amend electronic cargo and conveyance information. Policy guidelines are outlined in the Reporting of Imported Goods Regulations and related D-Memoranda.
- 3.0.6 It is highly recommended that the Release Notification System (RNS) requirements be reviewed by clients in preparation for the filing of electronic advance cargo and conveyance information, and that carriers become RNS participants. The requirements for RNS can be found at <http://www.cbsa-asfc.gc.ca/eservices/eccrd-eng.html>.
- 3.0.7 Shipments that qualify for CSA clearance are exempt from the requirement for advance commercial information of cargo and conveyance. However, the conditions as outlined in this ECCRD apply to all cargo and conveyance documents submitted. Where there is a mixed load of both exempt and non-exempt cargo, clients will be required to send conveyance data and they will be required to send cargo data for the non-exempt cargo.
- 3.0.8 The requirements for electronic submission of secondary cargo (i.e. house bills, remanifests, abstracts) will be addressed in a separate ECCRD.
- 3.0.9 The reporting of exports (for shipments exiting Canada) will not change from current requirements as result of eManifest.
- 3.0.10 Note: This iteration of the eManifest ECCRD refers to specific systems and processes in use today such as PARS (Pre-Arrival Review System), ACROSS (Accelerated Commercial Release Operations Support System), etc. Future versions of this document will refer to the systems that will come online as eManifest evolves through developments such as an advance trade data set and an enhanced notification system. In addition, the introduction of transponder technology will provide alternatives to the process outlining the requirements for presenting the conveyance reference number.

4.0 HIGHWAY BUSINESS RULES AND FLOWS

- 4.0.1 This document provides instructions for submitting cargo and conveyance information for imports, including in-bond shipments, electronically.
- 4.0.2 Carriers will be responsible to transmit, via EDI or the eManifest Portal, all cargo and conveyance data to the CBSA for processing within the timeframes specified in the *Reporting of Imported Goods Regulations*. The CBSA will then verify the data and generate applicable notices to the carrier.
- 4.0.3 The following section outlines the business rules and flows involved when transmitting highway cargo and conveyance data to the CBSA.

4.1 CONVEYANCE SUBMISSION PROCESSING

- 4.1.1 The carrier, or authorized service provider, prepares and transmits to the CBSA the required conveyance information within the timeframes specified in the *Reporting of Imported Goods Regulations*.
- 4.1.2 The conveyance data must be transmitted electronically to the CBSA at least one hour prior to arrival at the First Point of Arrival (FPOA).
- 4.1.3 The highway conveyance submission will include but is not limited to the following:
- 1) The Conveyance Reference Number (CRN) of the carrier. The CRN begins with the carrier's 4-character, CBSA-assigned carrier code followed by a unique reference number assigned by the carrier for a specific movement of a conveyance and cannot contain spaces.
 - 2) The port code of the FPOA in Canada at which the conveyance is destined to cross the border.
 - 3) An estimated time of arrival (ETA) at the FPOA, which must be as accurate as possible. A time zone qualifier may be specified in the message.
 - 4) The Cargo Control Number (CCN) of all related cargo submissions. If multiple trailer and/or containers are being used in a single trip, CCNs should be organized by trailer and/or equipment.
- 4.1.4 Please see Appendix B for detailed data elements, mapping instructions and code tables.

4.2 CARGO SUBMISSION PROCESSING

- 4.2.1 The carrier, or authorized service provider, prepares and transmits to the CBSA the required cargo information within the timeframes specified in the *Reporting of Imported Goods Regulations*.

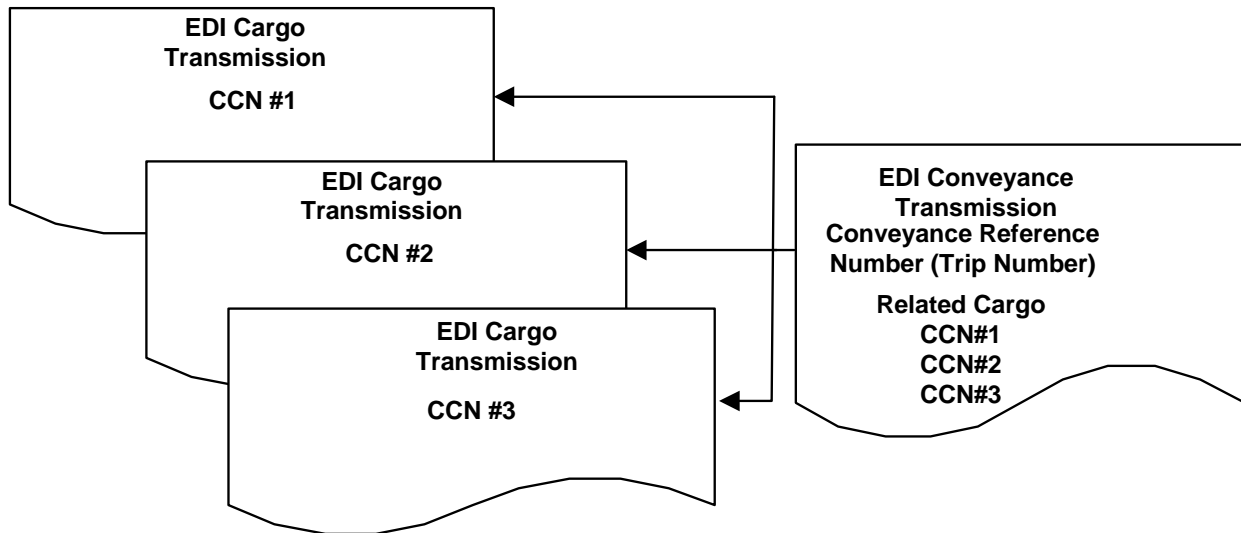
4.2.2 The cargo data should be transmitted as early as possible (up to 30 days in advance) and must be transmitted electronically to the CBSA no less than one hour prior to arrival at FPOA.

4.2.3 The highway cargo submission will include but is not limited to the following:

- 1) A CCN that begins with the carrier's 4-character, CBSA-assigned carrier code followed by a unique reference number assigned by the carrier/service provider and cannot contain spaces.
- 2) Port of report and port of destination.
- 3) A description of the goods.
- 4) Shipper and consignee.

4.2.4 Please see Appendix B for detailed data elements, mapping instructions and code tables.

Figure 1 – Cargo Transmission Relationship to Conveyance Transmission



4.3 EMANIFEST CARGO AND CONVEYANCE BUSINESS RULES

- 4.3.1 Transmission of EDI highway cargo and conveyance data must be received and validated by the CBSA no later than **one hour** before arrival at FPOA.¹ Properly formatted messages received less than one hour prior to arrival will be accepted by the system, but the client will also be warned via error message V67 (“Insufficient review time”). Note: transmission of EDI conveyance/cargo data does not constitute “reporting” for the purposes of Section 12(1) of the *Customs Act* until a physical report is made to the BSO at FPOA.
- 4.3.2 The applicable data elements and message maps associated with EDI highway cargo and conveyance transactions are found in Appendix B, “ECCRD EDI Message Maps & Code Tables”. The data element glossary provides the data elements and outlines the associated definitions and conditions.
- 4.3.3 Electronic cargo and conveyance submissions must be transmitted with an applicable movement type/service option, such as an import movement or a CSA movement.
- 4.3.4 Electronic messages transmitted to the CBSA must include all mandatory data elements – and conditional elements, where applicable – identified for that message map.
- 4.3.5 Transmissions must be sent in ANSI X12 or EDIFACT format.
- 4.3.6 All cargo data must be accepted by the system and on file in order to be subsequently linked to a conveyance. If a conveyance is transmitted quoting a cargo control number that is either not on file or in reject status, the conveyance will be rejected.
- 4.3.7 EDI highway cargo and conveyance data may be presented up to 30 days before arrival. If either the cargo or conveyance is not to be used, the carrier should transmit a delete for that cargo or conveyance data.
- 4.3.8 The CCN and CRN cannot be the same, even if there is only one cargo reference on the conveyance. These numbers must not be duplicated for a three-year period (plus current year).
- 4.3.9 A machine-readable bar-code must be presented to the BSO at the FPOA. The bar code must either be the CRN or a CCN associated to the trip. If the CCN is provided, the CRN must be hand-written on the document provided to the BSO.
- 4.3.10 The carrier may use any frontier port of report, subject to local restrictions on certain commodities e.g. HAZMAT.
- 4.3.11 The port of report on the conveyance submission must be the same as the port of report on the cargo submission. However, if the carrier reports at a port that is different from the port of report listed in the EDI cargo and/or conveyance submission, the CBSA will not require the carrier to provide an amended cargo or conveyance submission to change the port of report.
- 4.3.12 The port of destination for cargo is the port where the shipment is expected to obtain release. The port of report and port of destination for cargo reporting must show the same

¹ The source of the timeframes is the *Reporting of Imported Goods Regulations*.

port unless the cargo is a planned in-bond movement, in which case the sub-location code for that in-bond destination must be provided.

- 4.3.13 **Failed PARS:** When a release is planned for the FPOA, a sub-location code can also be provided. This code designates the warehouse where the goods will be bonded in case of a failed PARS, provided the carrier is a bonded carrier. If this conditional field is not provided and the PARS fails, the carrier will have to provide an amended cargo report.
- 4.3.14 **Inland Arrival:** For goods that move in-bond, the CBSA port of destination and CBSA sub-location warehouse code associated with that inland port must be provided. If the warehouse operator at the destination warehouse is a Release Notification System (RNS) participant, they will be required to acknowledge receipt of the freight by transmitting an electronic arrival message to the CBSA. When the CBSA has released the shipment, the applicable trade chain partner (including the carrier) will receive an RNS message if they are an RNS participant.
- 4.3.15 Paper manifests are generally not required at FPOA when the carrier is providing electronic advance commercial information of cargo that is linked to a CRN. However, paper manifests representing EDI cargo will still be required in other circumstances such as in the event of a systems outage, or goods subject to exceptional processes e.g. LVS/Courier Program or flying trucks. Contingency plans for systems outages, including required documentation for drivers to have available at FPOA, can be found in the document *System Outage Contingency Plan - Highway Mode*.
- 4.3.16 Once the cargo has been linked to a conveyance, cargo data may be updated and received by the CBSA up until **one hour** before arrival at FPOA. If new cargo is added or an existing cargo is deleted (cancelled), the conveyance data must reflect these changes. See section 5.2.1, EDI Change Rules for Cargo and Conveyance Submissions.
- 4.3.17 Cargo or conveyance data submissions, if found to be in error post-arrival, must be amended to accurately reflect overages, shortages or other discrepancies. Note: such an amendment in itself does not remove the requirement for correcting any accounting or release documents.
- 4.3.18 Submission of advance CSA cargo data is optional. The existing paper process for reporting CSA goods at FPOA using a bar-coded lead sheet can continue to be used. However, if CSA-eligible goods are included on an ACI EDI cargo submission, the Business Number of the approved CSA importer – along with all other ACI EDI cargo data elements – must be included in the submission in order for the goods to be “authorized to deliver” under the CSA program.
- 4.3.19 The CBSA will continue to support existing carriers currently using the EDI Less-than-Truckload (LTL) process until CSA system processes can be aligned with ACI. Clients not currently participating in the existing EDI LTL process will transmit advance cargo and conveyance data as outlined in this document.
- 4.3.20 For empty conveyances, conveyance data must be provided. See Section 4.5 for further information on exceptional processing.

4.4 EDI HIGHWAY BUSINESS FLOW

4.4.1 The following is the standard eManifest process flow:

- 1) The carrier compiles data concerning future shipments. Unless subject to an exemption or exception (Section 4.5), the carrier must provide a cargo submission to the CBSA for each shipment destined to Canada not being cleared as CSA. For goods subject to CSA clearance, cargo data may also be provided.
- 2) The carrier prepares the required cargo data for submission via EDI or the eManifest Portal. If CSA cargo data is voluntarily transmitted, the following business rules also apply to the CSA cargo data submission.
- 3) The carrier transmits each cargo submission via EDI (see Appendix B).
- 4) The CBSA acknowledges receipt of the cargo submission by responding with either an **accept** (positive acknowledgement) or **reject** (negative acknowledgement) message:
 - (a) For those cargo submissions not in error, the CBSA will transmit an acceptance message to the carrier.
 - (b) If the cargo submission contains any translation or validation errors, a reject message will be returned to the carrier for correction. The request may also be manually rejected by a BSO. The carrier must then correct the error(s) and retransmit the cargo submission to the CBSA. When the data meet the specifications, the acceptance message is transmitted back to the carrier.
- 5) When the conveyance is assigned to the cargo, the carrier transmits the conveyance submission with the required conveyance data elements (see Appendix B).
- 6) The CBSA acknowledges receipt of the conveyance submission by responding with either an **accept** (positive acknowledgement) or **reject** (negative acknowledgement) message.

Note: EDI cargo is considered as “reported” when it is linked to the conveyance number and when that conveyance number has then been arrived and reported at FPOA.
- 7) When the conveyance crosses the border and arrives at FPOA, the driver must provide, on the lead sheet or other document, the following mandatory bar-coded data elements as follows:
 - (a) CRN, or another number that will link to the trip for identification purposes (i.e. the CCN). Note: the CRN must be provided whether bar-coded or not.

Note: If the carrier chooses to devise their own bar-code, see Memorandum D3-1-1 for bar-code specifications.

 - (b) If a CSA shipment is on the conveyance, the driver must also provide:
 - (i) valid registered driver card (CDRP or FAST)
 - (ii) secondary CSA carrier code (if applicable)

- 8) At the FPOA, the BSO will “arrive” the conveyance in the system. The CBSA acknowledges the arrival of the conveyance by responding with a Section 12(1) message. This message indicates the carrier has met their obligation to report under Section 12(1) of the *Customs Act* for all shipments detailed on cargo submissions that are linked to that conveyance.
- 9) The RNS will transmit a response message to RNS participants, indicating whether each shipment has been released or referred. The RNS message will be associated to a cargo control 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 response message “Authorized to Deliver” is transmitted if the carrier is an RNS participant.
 - (b) For PARS shipments at FPOA:
 - (i) When the conveyance is authorized to move, the response message “Goods Released” will be transmitted if a “to be released” recommendation is on file and if the carrier is an RNS participant.
 - (ii) If a “refer” or “reject” decision is on file, the conveyance will automatically be referred at the FPOA for further processing.
 - (iii) If the cargo control number has no release request associated with it in the CBSA system, the request must be updated with the new port of clearance. This can either be captured by the BSO upon arrival or transmitted as a post-arrival amendment to the cargo.
 - (iv) If an examination of a shipment is performed, and the status of the shipment is updated to “released” after the examination, the response message “Goods Released” will be transmitted if the carrier is an RNS participant.
 - (c) For in-bond shipments (PARS or other):
 - (i) When the in-bond shipment arrives at the port of destination, if the RNS participant (e.g. warehouse operator) has arrival certification capability, they will transmit an arrival certification message to the CBSA. The applicable release/hold for exam response message will then be returned to the appropriate party.

4.4.1.1 EDI Arrival Note: Where an EDI arrival is transmitted from the inland warehouse in error (e.g. the sender recognizes that they have transmitted an arrival that they should not have), the sender of the EDI arrival must immediately notify a superintendent at the CBSA port of destination that the cargo was arrived in error. This error cannot be corrected electronically.

4.4.2 The following is an example of the flow for conveyance only.

- 1) Where for example the truck is empty or has goods that qualify for an exception under ACI cargo transmission requirements (see Section 4.5.2), the carrier transmits the conveyance submission with the required conveyance data elements including the applicable exception code (e.g. empty conveyance, Courier LVS – see Appendix B).
- 2) The CBSA acknowledges receipt of the conveyance submission by responding with either an **accept** or **reject** message.
- 3) When the conveyance crosses the border and arrives at FPOA, the driver must provide, on the lead sheet or other document, the following mandatory bar-coded data elements as follows:
 - (a) CRN or another number that will link to the trip for identification purposes (i.e. the CCN). Note: the CRN must be provided whether bar-coded or not.

Note: If the carrier chooses to devise their own bar-code, see Memorandum D3-1-1 for bar-code specifications.
- 4) At the FPOA, the BSO will arrive the conveyance in the system. The release process for any cargo qualifying for an exception will remain paper-based.
- 5) The driver will be advised whether or not they are to proceed or are being referred for examination.

4.4.3 The following is an example of the flow for a mix of cargo, some of which qualifies for an exception under Section 4.5.2, and some of which requires ACI cargo transmission data.

- 1) The carrier compiles data concerning future shipments. Unless subject to an exemption or exception (Section 4.5), for each shipment destined to Canada not being cleared as CSA the carrier must provide a cargo submission to the CBSA. For goods subject to CSA clearance, cargo data may also be provided.
- 2) For those shipments that must be transmitted, or for the voluntary inclusion of CSA cargo, the carrier prepares the required cargo data and the required conveyance data as outlined in Section 4.4.1 #2-#7 above.
- 3) Where the conveyance is also carrying goods qualifying for an exception under Section 4.5.2, existing paper documentation must be prepared and included on board the conveyance. An exception code(s) must be provided for each type of goods being excepted (see Appendix B). The release process for any cargo qualifying for an exception will remain paper-based.
- 4) At the FPOA, the BSO will arrive the conveyance in the system. The CBSA acknowledges the arrival of the conveyance by responding with a Section 12(1) message. This message indicates the carrier has met their obligation to report under Section 12(1)

of the *Customs Act* only for the shipments detailed on cargo submissions that are linked to that conveyance.

- 5) The RNS process as outlined in #9, Section 4.4.1 above will apply to the cargo for which an EDI message has been transmitted. The release process for the cargo qualifying for an exception will remain paper-based.

4.5 EMANIFEST PROCESS EXEMPTIONS AND EXCEPTIONS

4.5.0.1 Full advance commercial information (ACI) data is defined as the transmission of the following data sets:

- 1) Cargo
- 2) Conveyance

4.5.0.2 In certain scenarios (Section 4.5.1), carriers entering Canada are fully exempt from the requirement to transmit full mandatory ACI data.

4.5.0.3 For certain types of exceptional cargo (Section 4.5.2), only conveyance reporting is required.

4.5.0.4 If a carrier is transmitting cargo that is subject to ACI requirements, as well as cargo specified in Section 4.5.2, then ACI conveyance data is required and a full ACI cargo data set is only required for the non-excepted cargo. This also means there could be multiple exception codes or Instruments of International Trade (IIT) listed along with non-excepted CCNs on the same conveyance.

4.5.0.5 For each shipment type that qualifies under Section 4.5.2, an appropriate exception code must be detailed on the conveyance data set (See Appendix B).

4.5.0.6 If not specifically listed in 4.5.1 or 4.5.2, full ACI cargo and conveyance data sets must be provided.

Note: This list is subject to change. This list is for the initial highway deployment only and does not include Crew or Secondary data.

4.5.1 Exemptions (cargo and conveyance)

- 1) Emergency response vehicles/personnel/equipment for use in emergency situations, such as transportation of human organs for transplant, first response fire brigades, ambulance patient transport, teams assisting in disaster relief circumstances
- 2) Customs Self Assessment (CSA) clearance (paper CSA release, 3 bar codes)
- 3) US. Customs Border Protection (CBP) turnarounds
- 4) Continuous Transmission Commodities (CTC), e.g. electricity, gas, oil
- 5) Military goods on board a military owned or leased conveyance
- 6) Bobtails

- (i) i.e. tractor with no trailer or semi-trailer. Excludes tractor-trailers or any other ‘complete’ truck, e.g. cube vans. The Bobtail highway conveyance must:
 - (a) be without any equipment attached (for example a trailer, chassis, etc.); (for the purposes of the definition above (a), a dolly or device used to link trailers is not considered to be a trailer, chassis or semi-trailer)
 - (b) be without any commercial goods; and
 - (c) not be being imported.
- (ii) Just the tractor component of a tractor and trailer combination
- 7) Mail (Canada Post, U.S. Mail, International) – full load only
- 8) Hand Carried Goods. Defined as:
 - (a) commercial goods carried by paying passengers onboard travelers commercial conveyances (bus, taxi, plane, ship etc.); or
 - (b) Commercial goods being imported and accounted for at the port of entry by the owner of a business, or an employee, driving a “not for hire,” non-commercial conveyance.
- 9) In-transit movements*
- 10) Empties for CSA carriers with CDRP/FAST approved driver
- 11) Ancillary Equipment

4.5.2 Exceptions to Cargo Data (Conveyance Data Required)

The first four exceptions noted below are reported on the conveyance using a cargo exception code at either the tractor, trailer or container level. (In Appendix B see ANSI MBL05 and/or EDIFACT G011 GEI.)

- 1) Goods that are being imported into Canada under the Courier Low Value Shipment (LVS) Program by an approved courier under the CBSA Courier LVS Program
- 2) ‘Flying trucks’, i.e. air cargo that arrives in Canada on a highway conveyance*
- 3) IIT e.g. approved empty racks, etc.
- 4) Mail (Canada Post, US Mail, International) – as part of a mixed load
- 5) Empties (Reported on the conveyance at the tractor level only. In Appendix B see ANSI VID10 and/or EDIFACT G010 EQD(1).)

* **Note:** Items marked with an asterisk (*) appear in Section 4.5 for an interim period only and will be removed in future iterations of this document.

4.5.3 IIT Scenario examples

The following are examples of combinations that would be required for transmitting the conveyance using Instruments of International Trade (IIT) and/or regular freight on the same conveyance. In these examples, the ANSI codes are used for conveyance (358) and cargo (309). (For EDIFACT, 358 = CUSREP and 309 = CUSCAR.)

Scenario 1: There are only IITs in the conveyance

- Transmit only the 358 message with 02 (IIT) exception code.
- No 309 transmission is required.

Scenario 2: There are both IITs and regular freight on the conveyance

- Transmit a 309 for the regular freight only.
- Do not transmit any 309 for the IIT since the IIT is being reported with exception code 02 on the conveyance.
- Transmit a 358 with:
 - the associated CCN(s) for the regular freight; and
 - 02 exception code for IIT.

4.6 PROGRAM MONITORING

4.6.1 The following points reflect the processes involved in monitoring client compliance and the quality of data being submitted.

- 1) The CBSA will monitor the compliance of the external client.
- 2) The CBSA will monitor that the client is submitting quality data within the established standards.
- 3) The reviewing officer may contact the client to discuss corrective action in terms of improving the data quality of the transmissions or any compliance issues.

5.0 EDI SYSTEM PROCEDURES

5.1 RECEIVE DATA VIA EDI

- 5.1.1 The external clients will electronically transmit cargo/conveyance data for imports, including in-bond goods.
- 5.1.2 When a client transmits an electronic submission, the request will undergo a series of validations by the CBSA's systems. If there are no errors, the data is stored in the format in which it was sent and the appropriate acknowledgement notice to indicate successful receipt of the transmission is sent to the applicable sender.
- 5.1.3 The following identifies the steps the system undergoes to receive and accept EDI data:
- 1) Receives transmission(s) from the client.
 - 2) Authenticates the sender by verifying against the sender profile. This will confirm that the sender is valid for the specific message standard.
 - 3) Accepts sender if authentication proves valid, or rejects sender if authentication proves invalid.
 - 4) Verifies that:
 - (a) The transmission contains the appropriate number of segments.
 - (b) The data elements in each segment are present and that the structure of the cargo data meets syntax rules.
 - (c) The size (min / max) and format (numeric / alphanumeric / coded values) requirements are met.
 - (d) The segments are properly defined.
 - (e) The segments appear in proper order.
 - (f) Document contains the correct number of loops.
 - 5) Converts data to readable format for next steps in processing.
 - 6) Sends an electronic acknowledgment notice to the sender if no syntax errors are found.
 - 7) Sends an electronic reject message to the sender if any syntax errors are found via the same route as the incoming transmission.

5.2 PROCESS EDI DATA

- 5.2.0.1 The processing of conveyance and cargo data begins after the electronic transmission has been received and has successfully passed verification of syntax. When the transmission has been received by the system, it will subsequently be processed according to the CBSA business rules.
- 5.2.0.2 If the data fails to pass validation, an electronic reject notice will be transmitted to the original sender of the message with the appropriate reason code. Refer to Appendix B,

Table #1 for a list of outbound error message response codes. Otherwise, an electronic acknowledgement of the successful process of the information will be generated and transmitted electronically to the original sender.

5.2.0.3 Clients are provided the functionality to change, delete and amend cargo and conveyance submissions.

Note: Any reject that the client does not correct will not be authorized to proceed into Canada from FPOA.

5.2.1 EDI Change/Amend Rules for Cargo and Conveyance Submissions

5.2.1.1 Changes or amendments involve the transmission of the entire submission, which will replace the entire original submission. Individual data elements may not be transmitted separately. A change to a submission may not be sent in the same transmission as an original for that same submission.

5.2.1.2 Should the actual Cargo Control Number on a cargo submission or the actual Conveyance Reference Number on a conveyance submission need to be changed, the client must first transmit a record to delete the CCN or CRN, and then transmit an Add for the new CCN or CRN. A change request will not be accepted in that case.

5.2.1.3 However, if a conveyance submission requires correction as a result of a change or amendment to one of the CCNs that has been referenced on the conveyance, then the client can send a change or amendment to the conveyance submission to correct the related CCN.

5.2.1.4 Where a cargo on file is attached to a conveyance and the cargo needs to be deleted, the client must first change the conveyance to remove that cargo, and then delete the cargo. If you attempt to delete a cargo that is linked to a conveyance this will result in the request being rejected and an appropriate notice will be sent.

5.2.1.5 Changes or amendments to cargo data should be made as soon as they are known. Electronic changes by clients will be accepted up to the arrival of the goods. After this point all modifications must be transmitted as an amendment. (The one exception to this rule occurs if the conveyance has been manually rejected by the officer post-arrival. In this case, the client must transmit a change post-arrival and not an amendment.) Amendments will be identified by the use of an amendment code in the change record, the purpose of which will identify the type of amendment being made.

5.2.1.6 Add/Change/Delete (Cancel)/Amendment functions:

- (a) An **add** is used for the first submission (original) of any data, whether it is cargo or conveyance data. It must be submitted no later than **one hour** before arrival at FPOA. Multiple submissions can be added at the same time (see Section 5.4). However, cargo submissions must not be mixed with conveyance submissions within the same functional group. A unique number must be used to identify all additions.
- (b) A **change** involves the pre-arrival transmission of the entire new record (all applicable data elements), which will then replace the entire record on file. As a rule, the highway carrier will be required to transmit a change to update the current conveyance record or cargo record when any of the data elements on the current submission to the CBSA change. Individual data elements are **not** to be transmitted separately. Changes can be made at any time until arrival at the port of report, and 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. Any changes required post-arrival will be made as an **amendment**.

- (c) A **delete (cancel)** 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. The specific data transmitted on the delete does not necessarily have to be identical to the original add or change – only the “key” data (i.e. CCN or CRN and whether the record is a cargo or conveyance) must be identical. The remaining minimal fields must be provided only in order for the record to pass syntax validation. Deletions may be made at any time up until arrival at the port of report, and after the addition has been processed. A *delete* of a record must not be sent in the same transmission as the *add* or a *change* for that same record. If a conveyance submission is on file, it must be changed or cancelled before an associated cargo can be cancelled. Note cargo and conveyance records are to be deleted (cancelled) if unused within 30 days. Note also that if a deletion must be made post-arrival, this cannot be transmitted electronically but must be submitted manually to CBSA.
- (d) Like a change, an **amendment** also involves the transmission of the entire new record (all applicable data elements), which will then replace the entire record on file. An amendment occurs **after** arrival at the port of report. Each amendment requires the use of an amendment code, specifying the type of amendment being made. Amendment codes can be found in Appendix B Code Tables. Amendments may be made to any data element with the following “key” exceptions:
- (i) On the conveyance, amendments cannot be made to the CRN or the service option (i.e. the code that defines whether the message is either a conveyance or a cargo transmission).
 - (ii) On the cargo, amendments cannot be made to the CCN, the service option or the CSA indicator – that which identifies whether the shipment is CSA or not.

Should the client wish to make changes to these key data elements, the request must be presented to the CBSA in person. Amendments will be accepted by the CBSA system until the record has been transferred to the archival history database, usually after 120 days.

5.2.1.7 The original CCN or CRN must be used when submitting a change, deletion or amendment.

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

5.2.1.9 A CCN/CRN may be reused, provided the same number is not repeated within a 3-year period. Similarly, if a CCN was cancelled prior to linking it to a conveyance (i.e. prior to transmitting conveyance data referencing that CCN), a carrier may reuse the same CCN.

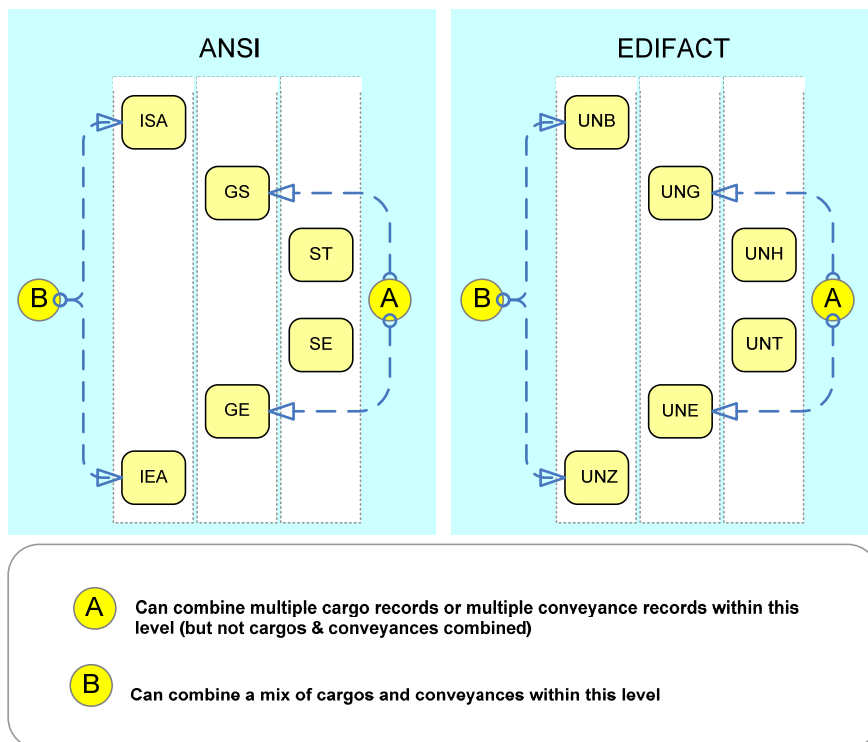
5.3 ANSI AND UN/EDIFACT MESSAGE FORMATS

5.3.1 Questions regarding the specific use of CBSA messages should be discussed with the Technical Support Unit.

- 5.3.2 The message maps define the data elements and structure associated with submitting an Electronic Data Interchange (EDI) message to supply EDI highway cargo and conveyance data to the CBSA.
- 5.3.3 The message maps for cargo (import including in-bond) and conveyance submission have been designed using ANSI ASC X12 version 5040. UN/EDIFACT message maps using version 08A will also be available for use.
- 5.3.4 For ANSI, the cargo submission message map is based on the ANSI 309 (Customs Manifest transaction set), and the conveyance submission message map is based on the ANSI 358 (Customs Consists Information transaction set). For UN/EDIFACT, the cargo submission message map is based on the CUSCAR/HWYCGO (Cargo Import), and the conveyance submission message map is based on the CUSREP/HWYCNV (Highway Conveyance Report).
- 5.3.5 The message maps themselves do not define all the details of the data element rules. For further information on data elements, refer to Appendix B.
- 5.3.6 The message format, transaction and code sets are subject to change as EDI technology, message standards, data elements and code sets evolve. Before changing to a new version or standard, the CBSA will send a notice of intent to upgrade.

5.4 FILING MULTIPLE MESSAGES IN ONE TRANSMISSION

- 5.4.1 In accordance with both ANSI and EDIFACT EDI standards, clients have the option of combining cargo and conveyance message types in the same transmission and/or within a single EDI interchange, depending on the message type. See the following diagram:



For more information regarding bundling of messages please contact the Technical Support Unit.

6.0 OUTBOUND RESPONSE MESSAGES

6.1.0.1 All eManifest data received will be validated and processed through the CBSA's systems. The CBSA will transmit response messages back to the sender. Once the notice has been translated, it is sent to the sender via the same route as the incoming transmission.

6.1.0.2 There are two types of response messages clients can expect to receive from the CBSA systems when submitting eManifest submissions via EDI:

- 1) Positive Responses
- 2) Error Responses

6.1 POSITIVE RESPONSE MESSAGES

6.1.0.3 Positive responses are issued in the form of Acknowledgements. Acknowledgements are generated when the EDI transmission has successfully passed all syntactical, conformance and validation edits.

6.1.0.4 Two types of positive acknowledgment notices (Functional and Application) can be sent to the client. However, the client has the option to suppress receipt of the Functional Acknowledgement and receive only the Application Acknowledgement.

6.1.1 ANSI Acknowledgement Messages

6.1.1.1 ANSI X12 997 and ANSI X12 824 Acknowledgement messages can be sent in response to cargo/conveyance submissions.

6.1.1.2 Appendix B contains ANSI X12 997 and ANSI X12 824 message maps used by CBSA.

1) **ANSI X12 997 Positive Functional Acknowledgment**

This message is used to acknowledge acceptance of correct functional group syntax data, transaction set syntax data, segment syntax data, and data element syntax data.

2) **ANSI X12 824 Application Advice Acknowledgement**

This message is used to acknowledge acceptance of transmitted data. An ANSI X12 824 Application Advice Acknowledgment indicates that the transmitted data has been validated for specific edits by CBSA systems and has passed those edits.

6.1.2 EDIFACT Acknowledgement Messages

6.1.2.1 Two types of acknowledgment notices can be sent in response to cargo/conveyance submissions.

6.1.2.2 Appendix B contains the EDIFACT CUSRES message map for cargo / conveyance submissions.

1) **Functional Acknowledgement**

An acknowledgement that notifies the sender that CBSA has received the message and the message was syntactically correct. This acknowledgement is generated before the validation is performed.

2) **Application Acknowledgement**

An acknowledgement that notifies the sender that CBSA has received and successfully validated the data and found no errors.

6.2 Error Response Messages

6.2.0.1 Error messages are issued in the form of Reject Notices. Reject notices are generated when invalid data or omissions of data are detected.

6.2.0.2 Two types of reject notices can be sent to the client: Syntax and Validation Reject Notices will be generated for all syntax or validation errors.

6.2.0.3 A specific error will cause only the specific submission within which it occurred to be rejected. For example, if a transmission contains several cargo submissions where one submission contains a syntax error, only that specific cargo submission will be rejected. The exception to this occurs when an error is made in the functional group syntax, in which case the entire transmission will be rejected.

6.2.0.4 A reject message will indicate the nature of any error and will, if appropriate, contain the following:

- 1) Identification of the type of error.
- 2) The data that was transmitted in error.

6.2.1 ANSI Error Messages

6.2.1.1 ANSI X12 997 Negative Functional Acknowledgment and ANSI X12 824 Application Advice reject messages can be sent in response to cargo/conveyance submissions.

6.2.1.2 Appendix B contains ANSI X12 997 and ANSI X12 824 message maps, and Appendix B, Table #1 contains outbound error message response codes.

ANSI X12 997 Negative Functional Acknowledgment messages

6.2.1.3 This message is used to indicate a functional group syntax error, transaction set syntax error, segment syntax error, and/or data element syntax error.

6.2.1.4 The following are the types of errors a client can expect to see for syntax rejects:

- 1) **Functional group syntax errors** which refer to errors in the way a transmission was structured.
- 2) **Transaction set syntax errors** which refer to errors in the way a specific message, for example, a conveyance submission or cargo submission was structured.
- 3) **Segment syntax errors** which refer to errors in the way a series of data elements or fields were strung together.
- 4) **Data element syntax errors** which refer to errors in a specific field.

6.2.1.5 If this error message is received, the CBSA system was not able to process the message and store a record. Therefore, a new original EDI transmission is required.

6.2.1.6 Please refer to the ANSI Response Maps in Appendix B for a further breakdown of the error types.

ANSI X12 824 Application Advice Reject messages

6.2.1.7 This message is used to respond to application specific edits. An ANSI X12 824 Application Advice reject message indicates that the transmitted data has been validated for

specific edits by CBSA systems and one or more errors have been detected. This message will also allow clients to easily identify the reason for the rejected transmission(s). Element 02 of the TED segment refers to a list of error codes found in Appendix B, Table #1.

6.2.1.8 The ANSI 824 Application Advice Map in Appendix B indicates the corresponding Transaction Set Purpose Codes, Application Acknowledgement Codes, and Reference Identification Qualifiers.

6.2.1.9 Where the client receives an ANSI X12 824 Application Advice reject message with error code V67 in TED02, this message is not a reject but is instead a warning message. Code IE will be displayed in OTI01. This message is transmitted to the client when there is insufficient review time (i.e. less than one hour) between the time the message was transmitted to the CBSA and the ETA time quoted on the cargo or conveyance transmission by the client. Note error message V67 is generated independently of either an accept or a reject message – it is a completely separate (second) message that is generated based on the ETA of the cargo or conveyance only.

6.2.2 EDIFACT Error Messages

6.2.2.1 EDIFACT CUSRES messages for conveyance and cargo will provide for the transmission of error code(s) and the textual value of coded information.

6.2.2.2 There are four General Indicator segments (GEI):

- 1) GEI(1) is used for Positive responses.
- 2) GEI(2) is used for Error responses.
- 3) GEI(3) is used for the Section 12 Report message.
- 4) GEI(4) is used for the Insufficient Review Time warning message (error code V67).

6.2.2.3 Where GEI(2) is used, the Error Point Details segment (ERP) provides the error details.

6.2.2.4 Appendix B contains the EDIFACT CUSRES message map for cargo / conveyance submissions. Appendix B, Table #1 contains outbound error message response codes.

Syntax Rejects

6.2.2.5 This message is generated when a syntax error is detected. The Reject Notice will identify the error as a syntax error by using the code 28 or 29 in the ERP segment to identify the invalid data element and another field providing an explanation.

6.2.2.6 When this type of message is received, the CBSA system was not able to process the message and store a record of it. Therefore, a new original EDI transmission with the corrected data is required. For more information regarding original/change/cancel rules, please refer to Section 5.2.1.

6.2.2.7 The following are the four types of errors a client can expect to see for syntax rejects:

- 1) **Functional group syntax errors** which refer to errors in the way a transmission was structured.
- 2) **Message syntax errors** which refer to errors in the way a specific message, for example, a conveyance submission or cargo submission was structured.

- 3) **Segment syntax errors** which refer to errors in the way a series of data elements or fields were strung together.
- 4) **Data element syntax errors** which refer to errors in a specific field.

6.2.2.8 Please refer to the EDIFACT Response Maps in Appendix B for a further breakdown of the error types.

Validation Rejects

6.2.2.9 Validation rejects are issued for all system validation errors. A Validation Reject indicates that the transmitted data has been validated and one or more errors were detected. The Reject Notice will identify the error as a validation error by using the codes 20, 21 or 22 in the ERP segment to identify the invalid data element and include another coded field providing an explanation of the error.

6.2.2.10 When a Validation Reject is received for a non-key error, an EDI change request with the corrected data is required. When a Validation Reject is received for a key error (example Cargo Control Number /Conveyance Reference Number), CBSA system is unable to store the information therefore an EDI original/add request is required. The “Group” column of Table #1 Outbound Error Response Message Codes will identify if the error is on a key data element. For more information regarding original/change/cancel rules, please refer to Section 5.2.1.

6.2.2.11 Where the client receives a Validation Reject message with error code V67 in ERC element 9321, this message is not a reject but is instead a warning message. Code 66 will be displayed in GEI element 7365. This message is transmitted to the client when there is insufficient review time (i.e. less than one hour) between the time the message was transmitted to the CBSA and the ETA time quoted on the cargo or conveyance transmission by the client. Note error message V67 is generated independently of either an accept or a reject message – it is a completely separate (second) message that is generated based on the ETA of the cargo or conveyance only.

6.3 STATUS NOTIFICATION MESSAGES

6.3.1 After the arrival of the conveyance, a status notification will be sent out advising the client of the status of each shipment on the conveyance:

- 1) If the cargo is proceeding inbond, a Customs response message will be transmitted to the client advising the goods have been authorized to proceed.
- 2) If the cargo is referred for examination, a Customs response message that the goods are required for examination will be transmitted.
- 3) If the goods have been released, a customs response message will be transmitted to the client advising that the goods have been released.
- 4) In the case of approved CSA shipments, a message will be transmitted indicating the goods are authorized to deliver.

6.3.2 **Section 12(1) report notification:** Upon the conveyance arrival at the FPOA, when the BSO updates the status of the conveyance to arrived, the CBSA will send a notification to the carrier detailing the CCNs of the related cargo submissions that are deemed to have been reported as per section 12(1) of the *Customs Act*. There will be one message sent for

each trip, but each message will detail all of the CCNs related to that trip – see Appendix B, ASC350 Section 12(1) Report. This notification does not mean the goods have been released from customs control. Release notification will still be delivered via RNS until ACI enhanced notifications are available.

6.4 ARRIVAL NOTIFICATION AND RELEASE OF CARGO SHIPMENTS

6.4.1 In order to obtain release of the goods submitted at an in-bond sufferance warehouse, an arrival notification must still be received by the CBSA once the goods have arrived at the warehouse. An RNS electronic arrival certification will automatically update the shipment to arrived status in the CBSA's system.

6.4.2 To obtain further information regarding the RNS, contact the Electronic Commerce Unit at:

Electronic Commerce Unit

Canada Border Services Agency

250 Tremblay Road, 6th Floor

Ottawa, Ontario K1A 0L8

Phone: 1-888-957-7224 calls within Canada and the U.S.

1-613-946-0762 for callers outside Canada and the U.S. between 08h00 to 17h00 ET

1-613-946-0763 for callers outside Canada and the U.S. between 17h00 to 08h00 ET

6.5 OUTBOUND NOTICE FLOW

6.5.1 The outbound electronic notifications (from the CBSA to Client) that a carrier can expect from this process are as follows:

1. **Functional Acknowledgement – Cargo and Conveyance**
This will be sent to a client to inform them whether or not the message sent to the CBSA has passed syntactical validation.
Example: a negative functional acknowledgement (997 or CUSRES) will be sent if a mandatory data element has not been sent.
2. **Application Advice – Cargo and Conveyance**
This will be sent to a client to inform them whether or not the message sent to the CBSA has passed business rule validation.
Example: a negative application advice (Reject Notice) will be sent if a mandatory data element is invalid.
3. **Declaration Accepted, Awaiting Arrival (RNS) – Cargo Only**
This will be sent to a carrier if:
 - i. They are a RNS participant
 - ii. The related release request has been transmitted by the importer/broker
 - iii. The cargo and release submissions have passed all validations and the CBSA has completed its review of them
 - iv. The conveyance has not yet arrived

Note: It is possible that this message can be sent out before the cargo messages above if the user is an RNS participant and the importer or broker has processed the cargo before the carrier submits the same cargo to CBSA.

4. Section 12(1) – Conveyance Only

This notice will be sent to the carrier who submitted a conveyance, once that conveyance has arrived at the frontier and has been “arrived” in the CBSA’s system by an officer. This message will contain a list of all related cargo submissions that have been electronically submitted and linked to the conveyance, and will serve as the carrier’s “Proof of Report”.

5. Release Notification (RNS) – Cargo Only

This will be sent to a carrier if:

- i. They are a RNS participant
- ii. The related release request has been filed by the importer/broker
- iii. The CBSA has placed the related release request in a status of released

6. Referral Notification (RNS) – Cargo Only

This will be sent to a carrier if:

- i. They are a RNS participant
- ii. The related release request has been filed by the importer/broker
- iii. The CBSA has placed the related release request in a status of referred

Note: For information on becoming an RNS participant please see 6.4.2 above.

6.5.2 The following flowcharts demonstrate:

- (a) the types of messages as noted in 6.5.1;
- (b) at what point in the process they occur;
- (c) to which client they are sent; and
- (d) from where (which ‘system’) they are generated.

The outbound messages to the carriers in the following diagrams are displayed with arrows pointing towards the left. The messages noted as “ACI” are those for which message maps and code tables have been included in this ECCRD. Those messages noted as “RNS” are covered by the RNS Participant Requirements Document.

Figure 2 – CBSA ACI Highway and Release Notification System (RNS) Flow (Pre-Arrival)

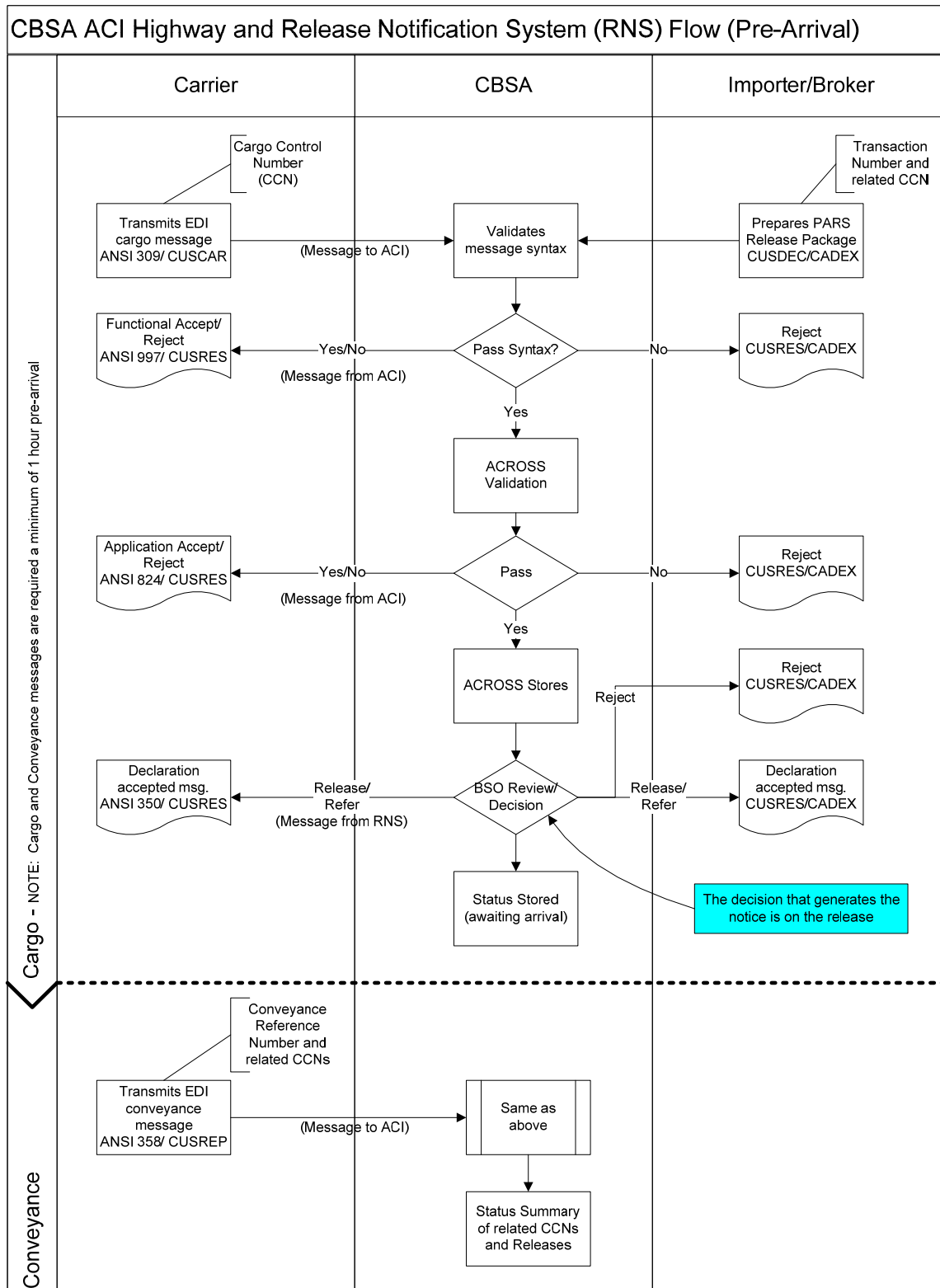
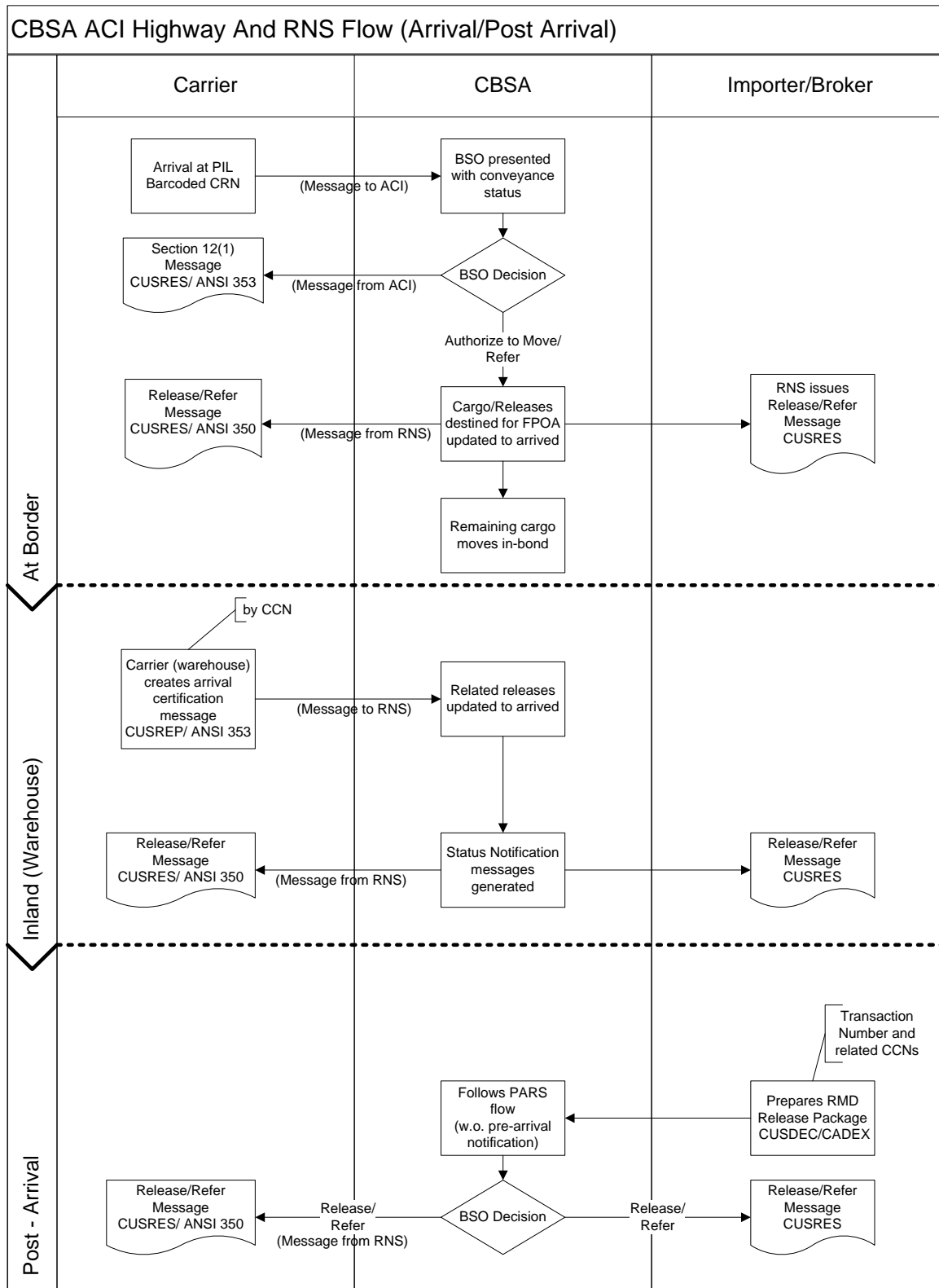


Figure 3 – CBSA ACI Highway and RNS Flow (Arrival/Post Arrival)



7.0 EDI COMMUNICATION OPTIONS

- 7.0.1 Please note: the CBSA does not endorse any particular service and its responsibility is limited to making this information available to clients. Any decision on transmission services is the client's and any agreement to purchase is strictly between the vendor and the client. Before submitting an application for Electronic Data Interchange (EDI) services, the client is to ensure that the transmission option chosen is available for the CBSA application they wish to use. The client is responsible for all transmission costs to the CBSA.
- 7.0.2 Below is a brief description of the options for clients to transmit EDI to the CBSA's host system.
- 1) **Customs Internet Gateway (CIG):** the CBSA developed the CIG to provide clients a method to transmit and receive data over the Internet. The CBSA adopted a Public Key Infrastructure (PKI) to provide for the security and integrity of the data. Clients are required to use the Entrust software for encryption and decryption and to develop or purchase the protocol software to connect to the CIG. Clients would need to transmit the data from a Canadian office as the certificate is only assigned to a device in Canada. Further information on the Entrust software is available at: cbsa-asfc.gc.ca/eservices/cig-pid/menu-eng.html.
 - 2) **Direct Connect to CBSA:** The Direct Connect option is a more expensive alternative, but provides clients with a direct connection to the CBSA.
 - 3) **eManifest Portal:** The eManifest Portal offers a convenient option for small and medium sized businesses to securely submit electronic information directly to the CBSA. To obtain more information please visit the eManifest Portal section of the CBSA website at cbsa-asfc.gc.ca/prog/manif/portal-portail-eng.html.
 - 4) **Third Party Service Provider:** There are a variety of approved third party service providers who currently transmit data to the CBSA, using a variety of different communication modes. A list of EDI capable service providers is available at cbsa-asfc.gc.ca/eservices/sp-fs/01-eng.html.
 - 5) **VAN (Value Added Network):** A VAN is a public EDI network which provides an opportunity to exchange EDI transactions with a large number of trading partners using a single communication interface. VANs generally offer a wide range of EDI services. Clients will be responsible for the payment of their VAN connection and membership fees as well as for the transmission of their messages through the VAN to the CBSA. A list of VANs is available at cbsa-asfc.gc.ca/eservices/sp-fs/01-eng.html.

For information on any of the above-mentioned communication protocols, please refer to cbsa-asfc.gc.ca/eservices/sp-fs/01-eng.html or contact the Technical Support Unit:

Technical Support Unit
Canada Border Services Agency
250 Tremblay Road, 6th Floor
Ottawa, Ontario K1A 0L8
Email: TSU.UST@cbsa-asfc.gc.ca

Fax: 613-952-9979

Phone: 1-888-957-7224 calls within Canada and the U.S.

1-613-946-0762 for callers outside Canada and the U.S. between 08h00 to 17h00 ET

1-613-946-0763 for callers outside Canada and the U.S. between 17h00 to 08h00 ET.

8.0 AVAILABILITY OF THE CBSA SYSTEM

8.0.1 The EDI System receives and processes transmitted cargo and conveyance information 24 hours a day, 7 days a week.

8.0.2 The CBSA's EDI System will, under normal conditions, endeavour to send acknowledgement and error messages back through the respective method of transmission from the client within minutes from the receipt of the transmitted message. However, circumstances beyond the CBSA's control may cause delays.

9.0 RELIABILITY OF THE CBSA SYSTEM

9.0.1 The CBSA systems are designed to provide clients with a safe and secure environment in which to transmit their data.

9.1 SECURITY

9.1.1 Each trading partner shall undertake all steps necessary to prevent unauthorized access to and use of any portion of the EDI Cargo/Conveyance System that is in their control. In addition, each trading partner shall comply with the security procedures as outlined in their respective trading partners' list of instructions or instruction manual.

9.1.2 The CBSA will use dedicated lines to those trading partners who use VANs or who have direct connect. These lines will have audit trails and password protection within the CBSA. The same audit trails and password protection is used for trading partners who use CIG and third party service providers.

9.2 CONFIDENTIALITY

9.2.1 Each trading partner shall protect the confidentiality of information of the other trading partner.

9.3 AUTHORIZATION

9.3.1 Each trading partner takes responsibility for controlling access by its employees to the EDI System. It is assumed that any message received by the CBSA would have been properly processed and authorized by the trading partner.

9.4 AUTHENTICATION

9.4.1 Authentication refers to each document incorporating criteria permitting the receiver to verify that it is an authentic document of the sender. A password will be incorporated in the functional group segment for this purpose.

9.4.2 In addition, each trading partner will follow the authentication procedures specified in their respective trading partners' list of instructions or instruction manual.

9.5 INCOMPLETE, INACCURATE OR CORRUPTED DOCUMENTS

9.5.1 The risk of an undetectable error in transmission lies with the sender. The client is responsible for the cost and maintenance of their data, either through an agreement with their trading partner or through their own facility. The CBSA is not responsible for lost data or the cost of the retransmission of lost data.

10.0 PROBLEM REPORTING & RESOLUTION

- 10.0.1 In the event the client discovers a system and/or procedural problem, the client will contact the Technical Support Unit. See Section 1.0.6 for contact information. The Technical Support Unit will perform a preliminary assessment and if necessary will log the information in a problem file.
- 10.0.2 After an initial analysis, a clarification request may be forwarded to the client should additional information be required.
- 10.0.3 Once it has been established that the problem is with the CBSA system, all relevant data will be compiled and analyzed after which a solution will be determined, tested, and implemented.
- 10.0.4 If the problem is determined to be in the client's environment, it will be the responsibility of the client to identify the problem area, resolve it and implement a solution.

10.1 BACK-UP-PROVISIONS

- 10.1.1 The CBSA will keep a backup of all transmissions received from the respective service providers. Similarly, clients and service providers should keep a backup of all transmissions sent and received from the CBSA or other service providers. Note: carriers are legally responsible to maintain their books and records, including electronic transmissions, for a period of 3 years plus the current year.

10.2 CONTINGENCY PLAN IN THE EVENT OF SYSTEM FAILURE

- 10.2.1 In the event of an outage in either the CBSA's, the client's or the service provider's systems, each party must make all efforts to continue normal communications, and to restore their systems to normal operating condition as soon as is reasonably possible.
- 10.2.2 The eManifest policy and specific procedures to follow in the event of CBSA or external system outages can be found in the proposed document *System Outage Contingency Plan - Highway Mode*.
- 10.2.3 In the event of disruption to client and/or CBSA systems, clients must retain the ability to produce hard copy cargo/conveyance declarations as outlined in the above document.

11.0 THE APPLICATION & TESTING PROCESS

- 11.0.1 EDI is simply a mechanism for transferring data in a machine-usable form from one computer system to another. However, EDI's practical application requires certain conditions. Both ends of the link (i.e. both trading partners) need to be computerized. Telecommunication capability, translator software and back-up provisions will be required.
- 11.0.2 Therefore, the CBSA has created a testing process to ensure that the electronic communication between the Trading Partner or their service provider and the CBSA is fully functional.

11.1 THE FORMAL APPLICATION PROCESS

- 11.1.1 Clients and their service provider must complete and submit the formal application in Appendix C to the CBSA. The application has two purposes: it identifies the client to the CBSA and it provides the CBSA with basic information on the client, a description of their automated system, and their anticipated volumes. A senior representative of the client's firm must sign the formal application. **The application may be submitted by the carrier's agent on behalf of the carrier with a letter of authorization on the carrier's letterhead signed by an officer/senior representative with legal signing authority.**
- 11.1.2 During the client's development stage, the Technical Support Unit will provide assistance on matters such as interpretation of the message standards and code sets. Once completed, the application form can be emailed to TSU.UST@cbsa-asfc.gc.ca or faxed to 613-952-9979, to the attention of the Manager, Technical Support Unit (see Section 1.0.6). Once the application has been processed by the CBSA, a client profile will be created and, if necessary, the testing process can begin.

11.2 CLIENT ACCEPTANCE TESTING

- 11.2.1 Clients or their service providers involved in the EDI process must undergo acceptance testing. As part of the required testing process, clients or their service providers will be provided a test package that they will be required to complete. In preparation for testing, the number of transmissions that will be required to be sent during the test period will be established for the purposes of e.g. volume testing.
- 11.2.2 During testing, clients or their service providers are required to satisfy production requirements by successfully completing a series of progressively complex tests that will verify whether:
- 1) Various types and volumes of data submissions are capable of being transmitted.
 - 2) The quality of the data is acceptable, i.e. data transmitted are accepted by the system.
 - 3) The accurate reception of error messages, acknowledgements and other feedback transmissions from the EDI system is taking place.
 - 4) Transmissions are error free a minimum of 95% of the time during 5 consecutive days of volume testing.

11.2.3 To receive information on the testing procedures and the test package, please contact the Technical Support Unit (see Section 1.0.6).

APPENDIX A – GLOSSARY OF TERMS AND ACRONYMS

TERM	DEFINITION
ACI	Advance Commercial Information
ACROSS	Accelerated Commercial Release Operations Support System
AMPS	Administrative Monetary Penalty System
Ancillary Equipment	Any equipment which enhances the safety, security, containment and preservation of goods carried in vehicles falling within the terms of tariff item 9801.10.10. Ancillary equipment can be imported pursuant to tariff item 9801.10.20 without documentation in accordance with the Reporting of Imported Goods Regulations, when it is used in international service. A dolly or device used to link trailers would be considered ancillary equipment.
ANSI	American National Standards Institute
CBSA	Canada Border Services Agency
CCN	Cargo Control Number
CRN	Conveyance Reference Number
CUSRES	United Nations EDIFACT standardized message directory for Customs response message.
Cargo	A term used to describe a collection of goods. It consists of a grouping of related goods. The cargo is detailed on the waybill, the manifest or a Cargo Control Document.
Cargo Control Number (CCN)	The Cargo Control Number is a number assigned to a transport document. It uniquely identifies cargo detailed on a cargo submission. The Cargo Control Number consists of the Carrier code followed by a unique reference number assigned by the Carrier/Representative and cannot contain spaces. First 4 characters = CBSA-assigned carrier code Remaining characters = Carrier/Representative assigned reference number. This number cannot be re-used for 3 years.
Cargo Submission	Information used to describe the cargo entering Canada.
Carrier	The owner or person in charge of a conveyance that is engaged in international commercial transportation of specified goods.
Carrier Code	A unique ID assigned by the CBSA to an approved carrier.
Client	Anyone who: <ul style="list-style-type: none"> ○ sends to the CBSA a collection of information; or ○ receives notices from the CBSA
Client Document	A document produced by the CBSA that sets out the specifications, terms and conditions to send advance notice of data on goods and conveyances by electronic means.
Consignee	The name and address of the party to whom the cargo/goods are being "shipped to" as shown on the BOL/shipping document.

TERM	DEFINITION
Conveyance	Taken from <i>Customs Act ss. 2(1)</i> . Any vehicle, aircraft or water-borne craft or any other contrivance that is used to move persons or goods.
Conveyance Data	Information used to describe a conveyance transporting goods or people entering Canada. It is comprised of the data elements that are transmitted within the conveyance submission.
Conveyance Submission	A conveyance submission is the package of conveyance data that is transmitted. It is comprised of the conveyance reference number (CRN) along with the corresponding conveyance data, as well as a cargo control number for each shipment on the conveyance.
Conveyance Reference Number (CRN)	A unique reference number given by the carrier to a certain journey or departure of a means of transport. The first 4 digits must be the carrier code and the remaining characters equal the carrier-assigned conveyance reference number and cannot contain spaces. Note: the conveyance reference number cannot be greater than a max of 25 characters. This number cannot be re-used for 3 years.
ECCRD	Electronic Commerce Client Requirements Document (see Client Document)
EDI	Electronic Data Interchange
EDIFACT or UN/EDIFACT	United Nations Electronic Data Interchange For Administration, Commerce, and Transport. EDIFACT is the United Nations EDI International message standard.
Estimated Time of Arrival (ETA)	Generally used in the context of 'Pre-Arrival' for the purpose of knowing the approximate time that a conveyance will arrive at the port of entry in Canada. Use Eastern Standard/Daylight Saving Time.
Exception (Cargo)	Where ACI cargo data is not required and only ACI conveyance data is required for certain types of exceptional cargo (see Section 4.5.2).
Exemption (Cargo and Conveyance)	Where carriers entering Canada are fully exempt from the requirement to transmit full mandatory ACI data (ACI Cargo and Conveyance Data is not required – see Section 4.5.1).
FAST	Free And Secure Trade
FPOA	First Point of Arrival
Freight Forwarder	A person who transmits in the prescribed manner and form the prescribed information regarding specified goods that have been imported but have not been released on behalf of the importer, owner or consignee of the goods.
Goods	As per the <i>Reporting of Imported Goods Regulations</i> , “specified goods” means commercial goods; empty cargo containers to be imported into Canada and that are not for sale; and any other goods to be transported to Canada for a fee. Commercial goods are goods to be imported into Canada for sale or for any commercial, industrial, occupational, institutional or other like use.
OGD	Other Government Department
PARS	Pre-Arrival Review System
Port of report	The port where highway cargo physically crosses into Canada at the FPOA. The carrier may use any automated port of report. The port of arrival of all cargo on board a conveyance should match the port of report.

TERM	DEFINITION
Port of destination	The port where highway cargo is expected to obtain release. Will be the same as the port of report unless travelling in-bond.
Pre-arrival	Prior to a conveyance or cargo arriving in Canada.
Pre-arrival Information	Data pertaining to the importation of goods that is sent to the CBSA in advance of the actual arrival.
RNS	Release Notification System
Secondary Notify Party	A party other than the originator of a transmission who is to receive an electronic notification from the CBSA regarding the shipment
Service Option (SO)	Options available in ACROSS for the servicing of requests. This code indicates what type of transmission was sent to the CBSA.
Shipment	A collection of commercial goods on a conveyance consigned to a single importer.
Sub-location code	The sub-location code is a unique 4-digit ID assigned by the CBSA to a warehouse.
UN/EDIFACT	The United Nations Electronic Data Interchange for Administration, Commerce, and Transport. EDIFACT is the United Nations EDI International message standard.

APPENDIX B – EDI MESSAGE MAPS & CODE TABLES

For EDI Message Maps and Code Tables: Please refer to **“ECCRD EDI MESSAGE MAPS & CODE TABLES – APPENDIX ‘B’ of the eMANIFEST HIGHWAY CLIENT DOCUMENT”**.

APPENDIX C – CLIENT APPLICATION

APPENDIX C – CLIENT APPLICATION

eManifest Application Form

Please forward completed application form to:

Technical Support Unit
250 Tremblay Road, 6th Floor
Ottawa, Ontario,
K1A 0L8
Email: TSU.UST@cbsa-asfc.gc.ca
Fax: (613) 952-9979

Note: This application form is **not** required if you wish to use the **eManifest Portal**. For more information, please visit the CBSA Web site: www.cbsa-asfc.gc.ca/prog/manif/menu-eng.html.

SECTION I: APPLICANT IDENTIFICATION

Date of Application: _____ CBSA Carrier Code: _____

Name of Applicant: _____

Head Office Address: _____

City: _____

Province/State: _____ Postal/ZIP Code: _____

Country: _____ Telephone #: _____

Fax/Telex: _____

E-Mail: _____

Contact Person & Title: _____

Canadian Business Office (if different from Head Office): _____

City: _____

Province/State: _____ Postal/ZIP Code: _____

Telephone #: _____ Fax/Telex: _____

E-Mail: _____

Contact Person & Title: _____

APPENDIX C – CLIENT APPLICATION

SECTION II: BUSINESS INFORMATION

Please specify mode

HIGHWAY: _____ **MARINE:** _____ **AIR:** _____ **RAIL:** _____

Projected Monthly Business Volume: Conveyance: _____ Cargo: _____

Are you a CSA Carrier? Yes _____ No _____

Will you be transmitting cargo reports containing CSA goods? Yes _____ No _____

Please circle the Communication Method you will be using:

Value Added Network (VAN)

Direct Connect

Customs Internet Gateway (CIG)

Third Party Service Provider

Please provide the name of Communication Method: _____

Sender / Receiver ID: _____ Qualifier: _____

If not communicating with a CBSA approved Service Provider or Communication Method, who will perform the interconnection between the CBSA and you? _____

In which official language do you wish to communicate verbally and in written form?

English: _____ French: _____

Company official's name (printed)

Company official's title (printed)

Company official's signature