



Ottawa, March 17, 2014

Memorandum D12-4-1

Pre-arrival Rail

In Brief

This memorandum outlines and explains the Canada Border Services Agency's (CBSA's) requirements and administrative policies regarding the transmission of pre-arrival cargo, conveyance data to the CBSA for goods being imported or transiting through Canada via the rail mode.

This memorandum does not outline the policies and procedures that occur after the goods have arrived in Canada, reporting of goods under the Customs Self-Assessment (CSA) Program, goods whether commercial or personal transported by an individual who does not meet the criteria for designation as a carrier or goods being exported from Canada. For information regarding arrival and post-arrival processes, refer to Memoranda [D3-1-1, Policy Respecting the Importation and Transportation of Goods](#), [D3-6-6, Rail Cargo – Import Movements](#), and [D3-6-7, Rail Cargo – In Transit Movements](#). For information on the Customs Self-Assessment (CSA) Program policies, guidelines and procedures; refer to [Memorandum D3-1-7, Customs Self-Assessment Program for Carriers](#). For information about the reporting and transportation of goods being exported from Canada, refer to [Memorandum D3-1-8, Cargo – Export Movements](#). For information on the release of commercial goods, refer to [Memorandum D17-1-4, Release of Commercial Goods](#).

Guidelines and General Information

1. The *Customs Act*, the *Reporting of Imported Goods Regulations* and the *Transportation of Goods Regulations*, establish the time, manner and who is required to send pre-arrival data pertaining to commercial cargo (for import or in-transit) and conveyances entering or moving in-transit through Canada. To obtain a copy of the regulations, see the [Department of Justice's Web site](#).
2. The receipt of pre-arrival cargo and conveyance data enables the CBSA to:
 - (a) More effectively manage higher risk goods and identify threats to health, safety, and security prior to the arrival of cargo and conveyances in Canada;
 - (b) Allow lower risk goods a more efficient, stream-lined process at the border; and,
 - (c) Control the movement of in bond goods.
3. Except as otherwise prescribed in the *Reporting of Imported Goods Regulations* and the *Transportation of Goods Regulations*, all goods that are imported or moving in-transit through Canada must be reported to the CBSA at the first port of arrival (FPOA), or first point of intervention (FPOI) in Canada, even when exempt from the requirement to provide advance electronic information. The requirement to report goods to the CBSA is effected electronically, orally or in writing, in the prescribed manner as described in the *Reporting of Imported Goods Regulations*.
4. FPOI indicates the first stop in Canada where the Canada Border Services Agency (CBSA) has the opportunity to board the rail conveyance, question crew, and/or exam cargo.

Liability

5. All carriers transporting specified goods into Canada must electronically transmit to the CBSA specified data pertaining to the cargo and conveyance within the prescribed timeframes as described in the [Reporting of Imported of Goods Regulations](#). Provision of this data within prescribed timeframes satisfies the requirement set out in Section 12.1 of the [Customs Act](#).
6. Freight forwarders requesting frontier release must present house bill information to CBSA at FPOA. Refer to [Memorandum D3-3-1, Forwarded and Consolidated Cargo – Import Movements](#) for more information.
7. Transmission of electronic pre-arrival conveyance/cargo data does not constitute “reporting” for the purposes of Section 12(1) of the [Customs Act](#). Report, as defined in Section 12(1) is not achieved until the operator or of the rail conveyance transmits an electronic arrival message once the conveyance crosses the international boundary between Canada and the United States. The CBSA will accept this electronic arrival message no sooner than 30 minutes prior to the arrival of the conveyance at the 49th parallel.
8. When the conveyance arrives at FPOA and the status is updated to “reported”, the CBSA will send a notification to the carrier who is the operator of the conveyance, as identified by the CBSA carrier code on the conveyance report detailing the Cargo Control Numbers (CCNs) of the related cargo transmissions that are deemed to have been reported as per Section 12(1) of the [Customs Act](#). This message will serve as the carrier’s “proof of report”.
9. As per Section 7.1 of the [Customs Act](#), carriers are liable to ensure all information provided to the CBSA, including pre-arrival information is true, accurate, and complete. Furthermore, as per Section 22 of the [Customs Act](#) and Section 7 of the [Transportation of Goods Regulations](#), the information transmitted must be supported by source documentation (i.e. bills of lading, invoices, contract of carriage) and made available to the CBSA upon request.
10. As per the [Reporting of Imported of Goods Regulations](#), the operator of a conveyance that transports specified goods to Canada is solely liable for providing all cargo and conveyance pre-arrival information by electronic means, in accordance with the technical requirements, specifications and procedures that are set out in Chapter 3: ACI/eManifest [Electronic Commerce Client Requirements Document](#) (ECCRD).
11. The operator of a conveyance (hereafter known as the “conveyance operating carrier”) is ultimately responsible for the conveyance and the cargo on board. It is their carrier code that must be quoted in the conveyance reference number (CRN) when transmitting conveyance data to the CBSA. Where business arrangements exist, another carrier may provide the pre-arrival data to the CBSA; however, it is the conveyance operating carrier that remains liable for pre-arrival cargo and conveyance information requirements in accordance with Section 12.1 of the [Customs Act](#).
12. The carrier whose carrier code is on the cargo transmission is liable for duties and taxes for the goods until released by the CBSA, or until liability is transferred in accordance with Section 20(2) of the [Customs Act](#).
13. Carriers may hire a service provider or agent to transmit advance cargo and/or conveyance data on their behalf. The carrier code on the electronic transmission must be that of the actual carrier, not the agent or service providers. In order for the CBSA to communicate with the agent or service provider on behalf of the carrier, a third party consent must be completed and on file with the Agency: www.cbsa.gc.ca/eservices/eccrd-eng.html.

Record Keeping

14. In addition to records required to be maintained for other program areas, every person who transports or causes goods to be transported into or within Canada is required, under the [Transportation of Goods Regulations](#), to keep records of the electronic data that has been transmitted to the CBSA and any acknowledgment of receipt of that data received from the CBSA. The records that must be kept include all source documents specifically related to the individual data elements transmitted.
15. For CBSA purposes, records related to the conveyance and cargo transmission must be kept for a period of three years commencing on the 1st day of January of the calendar year following the calendar year during which the cargo/conveyance referenced in the records were transported.

Monitoring

16. In addition to all other monitoring and verification activities, the CBSA will perform periodic monitoring of the records kept by carriers related to electronic conveyance and cargo information. The monitoring will confirm whether the conveyance and cargo data was submitted in a timely manner and that information transmitted pre-arrival is true, accurate and complete and corresponds to the information contained on the source documents on file. This includes the use of “exception/exemption” codes.

Carrier Identification Requirement

17. Any carrier transporting or causing specified goods to be transported into Canada must have a CBSA assigned carrier code.

18. The CBSA carrier code forms the prefix of the CCN and the CRN.

19. For the purpose of identifying carriers and freight forwarders, a bonded or non-bonded CBSA carrier code will be assigned to a company upon authorization. This carrier code number must be shown on all cargo control documents presented or transmitted to the CBSA.

20. CRN's must have the CBSA assigned carrier code of the legal entity (carrier) physically arriving at the border.

21. For information pertaining to carrier code requirements and how to obtain a carrier code, please refer to [Memorandum D3-1-1, Policy Respecting the Importation and Transportation of Goods](#).

Security Requirements

22. A carrier or Canadian freight forwarder desiring to become bonded under general authorization must complete an application and file security in a format as outlined in [forms found on the CBSA Web site](#).

23. To become a bonded carrier or freight forwarder security must be filed in accordance with [Memorandum D3-1-1, Policy Respecting the Importation and Transportation of Goods](#).

24. A Conveyance Arrival Certification Message (CACM) must also be received and can occur within a 30 minute window for electronic arrivals allowing rail carriers to send in their request for an arrival up to 30 minutes in advance of their actual arrival at the Canadian border.

Transmission Timeframes

25. Carriers (or an authorized third-party provider acting on the carrier's behalf), are required to prepare and transmit the required cargo and conveyance information within the timeframes specified in the [Reporting of Imported Goods Regulations](#).

26. In the rail mode, the conveyance and cargo information for specified goods must be received and validated by the CBSA, as outlined in the [Reporting of Importing Goods Regulations](#), at least two hours prior to the conveyance arriving at the FPOA. **Note:** Should the rail carrier choose to transmit their conveyance arrival message 30 minutes in advance of report at FPOA then this data must be sent 2½ hours in advance.

27. For exemptions from cargo data requirements please refer to Chapter 3: ACI/eManifest Rail ECCRD.

28. Properly formatted messages received less than two hours prior to the transmitted estimated time of arrival will be accepted by the system, but the client will also be warned via error message of “insufficient review time”, and penalties may be applicable.

29. Cargo and conveyance data may be transmitted up to 30 days in advance. The CBSA encourages clients to transmit pre-arrival data as early as possible.

Cargo Control Number and Conveyance Reference Number Reuse Timeframes

30. Rail CCN's and CRN's must be unique and cannot be reused for 3-years starting January 1st of the year following its initial use.

Electronic Communication With the CBSA

31. Carriers must transmit data using the CBSA's electronic data interchange (EDI) systems. Before initiating the application process (outlined below), carriers must have a valid CBSA assigned carrier code as per Section 12.1 of the [Customs Act](#).

Application to Transmit Electronic Data to the CBSA

32. Carriers using EDI are required to complete an application form and submit it to the Electronic Commerce Unit (ECU).

33. EDI clients may choose to transmit their own data to the CBSA or they may choose to use a Service Provider. For more information on how to apply to participate in EDI, methods of electronic communication, obtain a copy of Chapter 3: ACI/eManifest Rail ECCRD, and general information on EDI go to: www.cbsa.gc.ca/eservices/comm-eng.html.

34. For all enquiries related to any problems with electronic transmission of data and the related application process, contact the ECU at:

Electronic Commerce Unit
Canada Border Services Agency
250 Tremblay Road, 6th floor
Ottawa, Ontario
K1A 0L8

Email: ecu.uce@cbsa-asfc.gc.ca

Phone: **1-888-957-7224** (Option 1) calls within Canada and the U.S.

1-613-946-0762 for overseas callers

Transmitting Accurate Data

35. When using the Pre-Arrival Review System (PARS), the electronically transmitted CCN on the cargo data must exactly match the CCN quoted in the PARS release request, inclusive of the acronym "PARS", where applicable.

36. It is not a requirement to embed the letters "PARS" into a PARS number, but if a carrier does embed letters into the PARS number, then the carrier must use the identical number in their pre-arrival cargo transmission.

37. Clients are also reminded to pay particular attention when using the letters "I" and "O" and the numbers "1" and "0" in their CCN or PARS numbers that they use the same letters/numbers when quoting the CCN in both the pre-arrival transmission and in arranging for the broker's release documents.

38. If the CCN quoted in the PARS release does not exactly match the electronically transmitted cargo data, this will affect the Release Notification System (RNS) capabilities and subscribers will not receive RNS messages. Inaccurate CCN transmissions by carriers could result in sanctions for non-compliance including the issuing of AMPS. Release may also be negatively affected.

Data Transmission Guidelines

Cargo Data

39. The cargo report must be electronically transmitted to the CBSA by the carrier, or a service provider authorized by that carrier to transmit on their behalf, within the prescribed timeframes as outlined in the [Reporting of Imported Goods Regulations](#). A rail cargo report is mandatory for all non-exempt import cargo.

40. 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 CCN that is either not on file or in reject status, the conveyance transmission will be rejected.

41. Electronic rail cargo data may be transmitted up to 30 days before arrival. If the cargo is not to be used, the carrier should transmit a delete for that cargo transmission data.

42. Electronic cargo submissions must be transmitted with an applicable movement type/service option, as found in Chapter 3: ACI/eManifest Rail ECCRD.

43. A sub-location code is not mandatory, even for shipments requesting release at FPOA. This option is available to provide a secondary (inland) port of release should the shipment not be able to obtain release at the border (i.e. failed PARS) and the goods qualify for in bond movement.

44. A complete list of the information that a rail carrier must include in the cargo transmission can be found in Chapter 3: ACI/eManifest Rail ECCRD.

Conveyance Data

45. The conveyance operating carrier or a service provider authorized by that carrier must prepare and transmit an electronic transmission to the CBSA with the required conveyance data within the timeframes as specified in the [Reporting of Imported Goods Regulations](#).

46. 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 CCN that is either not on file or in reject status, the conveyance transmission will be rejected.

47. Electronic pre-arrival conveyance data may be transmitted up to 30 days before arrival.

48. For an empty conveyance, an empty indicator must be utilized to indicate a conveyance with no cargo.

49. A complete list of the information that must be included in the conveyance data can be found in Chapter 3: ACI/eManifest Rail ECCRD.

Company Seals Applied Prior to Arrival at FPOA

50. If a railcar or part thereof that contains in-bond goods is sealed with a company seal, the seal number must be noted correctly on the pre-arrival conveyance transmission. The company seal will remain intact, unless the CBSA performs an examination. For further information refer to [Memorandum D3-6-6, Rail Cargo – Import Movements](#).

Conveyance Arrival Certification Message

51. To meet the reporting requirements under section 12(1) of the [Customs Act](#), the conveyance operating carrier must transmit an EDI CACM upon arrival at the FPOA.

52. The CACM is required in addition to the cargo and conveyance Advance Commercial Information (ACI) previously transmitted according to the prescribed timeframes as described in the [Reporting of Imported Goods Regulations](#).

53. The conveyance operating carrier, or a service provider authorized by that carrier to transmit on their behalf, prepares and transmits a CACM to the CBSA through EDI.

54. An arrival in the rail mode is defined as when the rail conveyance has physically arrived in Canada. The CACM must be transmitted and received within a 30 minute window, allowing rail carriers to transmit their arrival request up to 30 minutes in advance of their actual arrival at the Canadian border.

55. Upon receipt, validation and acceptance of the CACM, the CBSA system updates the status of the conveyance and related cargo, and acknowledges the arrival of the conveyance with a Section 12(1) “Reported Notice” to the originator of the arrival message. This notice indicates the carrier operating the conveyance (as identified by the CBSA carrier code transmitted within the conveyance report) has met their obligation to report under Section 12(1) of the [Customs Act](#) for the conveyance and all shipments detailed on cargo documents that are linked to that conveyance. The CACM will generate any release (for shipments requesting FPOA release)/referral notification messages accordingly. Please refer to the Advance Commercial Information (ACI)/eManifest Non-Highway Conveyance Arrival Certification Message Implementation Guide for more information.

56. All Section 12(1) “Reported Notices” sent to the carrier must be kept on file and made available to the CBSA when requested during compliance monitoring, supported by the requirements in the [Transportation of Goods Regulations](#).

57. For a complete list of the information that must be included in the Conveyance Arrival Certification Message, please refer to the Advance Commercial Information (ACI)/eManifest Non-Highway Conveyance Arrival Certification Message Implementation Guide. For a copy of this guide, please contact the Electronic Commerce Unit.

Exemptions

Exemptions From Cargo Data – Only Conveyance Data Required

58. The following are exempt from cargo data where only conveyance data is required:

(a) 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;

HVS/LVS mixed loads (cargo required for HVS) **Note:** Low value shipments not imported under the LVS Program require cargo and conveyance advance data.

(b) Instruments of International Trade (IIT) – Instruments of international trade are empty shipper or importer owned containers and also those registered under Ottawa file or with container bank numbers, which are used to transport commercial goods to and from Canada. For example: shipping tanks, pallets, baskets, bins, boxes, cartons, crates, gaylords, load lock/spacers, racks, trays, totes or similar goods used to ship goods internationally.

(c) Mail (Canada Post, US Mail, International) – as part of a mixed load.

(d) Emergency Repairs – includes conveyances that have been repaired outside Canada as a result of an unforeseen contingency that occurred outside Canada; and the repairs were necessary to ensure the safe return to Canada of the conveyance.

(e) Domestic In-transit Movements Train With Partial In-transit Shipments – interim period (an electronic intransit process will be available in a future iteration) (an electronic in-transit process is under development).

(f) Dunnage – Packaging material such as boards, blocks, planks, metal or plastic bracing, used in supporting and securing packages for shipping and handling.

(g) Loaded Buffer Cars – used for the protection of the train crew from hazardous or combustible materials and the materials themselves, from sources of ignition.

(h) Empty Conveyances – conveyance transmission requires an indicator identifying the conveyance as being empty.

59. Report on arrival requirements under Section 12(1) of the [Customs Act](#), for all of the above exemptions are outlined in [Memorandum D3-6-6, Rail Cargo – Import Movements](#).

Unique Shipment Processes

60. The following are not exempt from pre-arrival data; however the reporting and or pre-arrival requirements differ in some manner.

Courier LVS/HVS Requirements

61. Shipments that qualify and are reported under the Courier Low Value Shipment (LVS) Program are exempt from pre-arrival cargo requirements. A conveyance data transmission to CBSA is still required, quoting the appropriate cargo exception code. For additional information concerning the LVS Courier Program see [Memorandum D17-1-2, Reporting and Accounting for Low Value Commercial Goods \(Not Exceeding CAD\\$2,500\)](#), and [Memorandum 17-4-0, Courier Low Value Shipment Program](#).

62. Should cargo previously reported under the Courier LVS Program be removed from the LVS stream post-arrival through the issuance of Form Y50 by the CBSA, the client is not to transmit pre-arrival data.

63. Should cargo previously reported under the Courier LVS Program be removed from the LVS stream post-arrival by the courier, as the client has identified that the shipment did not qualify under the LVS Program, the client is not to transmit pre-arrival data. However, if removed from the LVS stream prior to arrival; full eManifest pre-arrival data is required.

64. Should the client identify that a shipment no longer qualifies for report and release privileges under the Courier LVS Program prior to the shipment's arrival in Canada, there is both an expectation and an obligation to provide pre-arrival data to the Agency.

Goods Found Astray (Misrouted Goods)

65. Carriers must transmit pre-arrival cargo data for all goods being transported to Canada, including Canadian goods found astray outside Canada, unless there is an exemption or exception.

66. Foreign goods found astray in Canada must be electronically transmitted post arrival as soon as they are discovered by the carrier. The goods may then be exported in accordance with the [Reporting of Exported Goods Regulations](#) and as outlined in [Memorandum D3-1-8, Cargo – Export Movements](#).

Overages

67. Any excess in the number of pieces transmitted in the same shipment and found by the carrier post arrival are considered overages. Carriers are required to report any overages to the CBSA as soon as they are discovered by transmitting an amendment to the cargo transmission. An overage only occurs where pre-arrival data was transmitted and a quantity of goods was initially reported upon arrival at FPOA, and subsequently the number of pieces is found, by the carrier, to exceed the number of pieces reported to the CBSA pre-arrival and upon arrival. If no data was transmitted pre-arrival and no report occurred, and the goods are discovered post arrival, this constitutes non-report, not an overage, and may be subject to penalty action.

Shortages

68. A shortage occurs only where pre-arrival data was transmitted and a quantity of goods was initially reported upon arrival at FPOA, and subsequently the number of pieces found, by the carrier, is less than the number of pieces reported to the CBSA pre-arrival and upon arrival. Carriers are required to report any shortages to the CBSA as soon as they are discovered by transmitting a post arrival change to the original cargo transmission.

Failure to Submit Pre-arrival Information

69. The CBSA requires complete information pertaining to all specified goods arriving in Canada. Where no pre-arrival information was transmitted and no other exemption or exception exists, the carrier must transmit a cargo report as soon as it is discovered. Should the CBSA discover goods for which no pre-arrival data was transmitted, and for which no report was made to CBSA, sanctions may be issued to the carrier for non-report.

70. When the conveyance is known, the CRN must also be amended to add this post arrival cargo.

71. Post arrival cargo that is not attached to a related CRN will be presented to the nearest CBSA office to have the status electronically updated to "arrived". This must be done to enable release of the goods.

Non-resident Importer

72. For shipments being delivered to Canada where the consignee is a non-resident importer, the foreign name and address of the consignee will be accepted in the consignee name and address fields in the cargo transmission.

73. The Canadian party to whom the cargo is being delivered to must be provided in the delivery party name and address fields. The delivery party name and address may be a warehouse, rail yard, etc., if that is where the carrier's contract of carriage ends.

Transmitting "To Order" Shipments

74. In acknowledgment of common business practices the CBSA will accept "To Order"; "To Order of Shipper"; or "To Order of Bank"; or "Other Named Entity" in the consignee field provided the name and address of the owner or owner's representative is transmitted as a notify party. To help clarify, the following examples illustrate the CBSA's requirements:

Example 1: "To Order" and "To Order of Shipper"

The CBSA will accept "To Order" and "To Order of Shipper" in the consignee name field. The address information, city name, and country are mandatory fields for the consignee and ideally the Shipper's

coordinates would be repeated. However, the CBSA will accept terms such as “Same as Shipper”; “See Above”; etc., in the address information field and city name.

The name and address of the owner or owner’s representative would be provided in the Notify Party fields. The delivery address, if different, would be transmitted in the Delivery Address fields.

Example 2: “To Order of Bank or Other Named Entity”

The name of the bank or the named entity must be transmitted in the consignee name field. Again, because the address information, city name, and country are mandatory fields, the complete address of the bank, or other named entity, must be transmitted in the consignee name and address fields. The name and address of the party taking receipt of the goods in Canada must be transmitted in the Notify Party fields. The delivery address, if different, from the address provided in the Notify Party fields must be transmitted in the Delivery Address fields.

Moving Company and Personal Effects

75. When personal effects are being imported into Canada the name and address of the actual consignee is required. The name of the moving company may be provided in the Notify Party field.

Non-emergency Repairs

76. For repairs to conveyances that were completed outside of Canada and do not meet the definition of emergency repairs, carriers must transmit cargo and conveyance data to the CBSA within the prescribed advance timeframes, identifying the repair as the cargo.

In Transit Shipments for Export by Marine

77. Rail shipments transiting Canada intended for transfer to a marine carrier for export from Canada must be documented as follows:

- (a) There has to be one electronic cargo transmission for each container.
- (b) The electronic cargo transmission requires a designated code indicating the shipment as in transit for export by marine.
- (c) The “Number of Packages” area must show “1”, representing one container, and the actual number of packages (piece count) must be shown in the “Description and Marks” area.
- (d) The exporting marine carrier must be identified in the “Description and Marks” area.

78. Carriers must transmit pre-arrival electronic cargo data to the CBSA. The carrier must give two copies of the white paper manifests to the marine carrier, to give to CBSA with the vessel outward report. CBSA will return one copy of the white paper manifests to the carrier after processing.

79. For additional Export procedures refer to [Memoranda D20 Exportations series](#).

Electronic Freight Ex-vessel (Transportation of Marine Containers)

80. The following procedures will apply except if the marine carrier is using overland movement and [Form A6, General Declaration](#), under security of the marine carrier’s bond.

81. Containerized freight landed at US ports for transport to Canada are to be manifested by the rail carrier based on ocean bill of lading information. Each ocean bill of lading has to be covered by a separate cargo control document. If a bill of lading covers a multi-container shipment, each container load will be manifested except where all the relative containers arrive in Canada on the same train. For more information on freight ex-vessel, refer to paragraph 60 (Railway car ferries) of [Memorandum D3-5-2, Marine Cargo – Import Movements](#).

82. The conveyance transmission must state the container and seal numbers (when available from documents in the carrier’s possession).

ETA - Entered to Arrive and VI - Value Included Shipments

83. Cargo and conveyance data is required for ETA and VI type shipments. The CBSA will manually acquit the cargo data with the original Transaction number associated with the goods.

Ships' Stores (Goods Imported for Ships Stores)

84. Defined as goods imported into Canada by airlines or vessels specifically for delivery to vessels or a bonded warehouse. Please refer to [Memorandum D4-2-1, Ships' Stores Regulations](#) for additional information.

85. Pre-arrival cargo and conveyance information pertaining to goods imported for ships stores into Canada must be transmitted electronically within the guidelines and procedures outlined in the [Reporting of Imported Goods Regulations](#) and this memorandum.

Duty Free Shops (Goods Imported by Duty Free Shops)

86. Defined as goods imported into Canada by Duty Free Shops and delivered directly to a licensed Duty Free Shop facility. Please refer to Memoranda [D4-3-4, Duty Free Shop – Operational Responsibilities](#) and [D4-3-5, Duty Free Shop – Inventory Control and Sales Requirements](#) for additional information on Duty Free Shops.

87. Pre-arrival cargo and conveyance information pertaining to goods imported and delivered directly to a licensed duty free shop must be transmitted electronically within the guidelines and procedures outlined in the [Reporting of Imported Goods Regulations](#) and this memorandum.

Notifications and Error Messages

88. All pre-arrival data received will be validated and processed through CBSA's systems, and the CBSA will transmit response messages back to the sender. Notices are sent to the sender via the same route as the incoming transmission.

89. There are two types of response messages clients can expect to receive from CBSA systems when transmitting pre-arrival transmissions by electronic means:

- (a) Positive Responses
- (b) Error Responses

90. 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.

91. An error code will be transmitted to the sender indicating the nature of the error. Carriers must make corrections to transmissions in error and re-send to the CBSA in a timely manner.

Risk Assessment Notices

92. Risk assessment notices may be issued when the CBSA requires the client to provide more information regarding the cargo or, to provide the client with specific instructions regarding the unloading of the cargo.

93. Similar to reject notices (or error codes), risk assessment notices will include a coded field identifying the reason the notice was issued and the specific data element requiring clarification or further explanation. In addition, risk assessment notices may also include a free text remarks field providing external clients with additional information concerning the coded field or instructions.

94. CBSA systems will send, 'Hold' and/or 'Cancellation' coded messages back to the sender and other relevant parties. The message is sent out to the party(ies) via the same electronic means as the incoming transmission. These messages will reference the CCN.

95. For a complete description of all notifications, error messages and codes and their application, as well as risk assessment notices, refer to the [Electronic Commerce section](#) of the CBSA Web site or Chapter 3: ACI/eManifest Rail [ECCRD](#).

Corrections

Corrections to Cargo and/or Conveyance data

96. Changes or amendments to cargo and/or conveyance data shall be made as soon as they are known.

Add/Change/Delete (Cancel)

97. An “Add” is used for the first transmission (original) of any data, whether it is cargo or conveyance data. It must be transmitted within the timeframes as prescribed in the [Reporting of Importing Goods Regulations](#).

98. A “Change” involves the pre-arrival re-transmission of the entire record (all applicable data elements), which will then replace the entire record on file. As a rule, the 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 transmission to the CBSA change. Individual data elements are **not** to be transmitted separately.

99. However, if a CCN on a cargo submission or the actual CRN on a conveyance transmission needs to be changed, the client must first transmit a record to delete the cargo or conveyance, and then transmit an “Add” for the new report with the new CCN or CRN. A change request will not be accepted in that case.

100. 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.

101. Deletions may be made at any time up until arrival at the port of report. If a conveyance transmission is on file, it must be changed or cancelled before an associated cargo can be cancelled. Note un-arrived cargo and conveyance records are to be deleted (cancelled) if unused within 30 days.

Post Arrival Amendments

102. Cargo and Conveyance data transmissions, if found by the carrier to be in error post-arrival, must be amended as soon as the error is discovered.

103. Some key data elements cannot be electronically amended or deleted post arrival. If amendments/deletions to these data elements are required, the online [Highway and Rail Cargo and Conveyance Post Arrival Manual Correction Request Form](#) (BSF673) must be completed. Carriers/freight forwarders have up to 90 days to present the correction request to CBSA.

Contingency Plan in the Event of System Failure

104. In the event of a CBSA system outage, all efforts will be made to continue normal communications, and restore systems to normal operating condition as soon as is reasonably possible.

105. Clients must retain the ability to produce hard copy cargo/conveyance declarations in the event of disruption CBSA systems.

Penalty Information

106. For information on administrative penalties, refer to [Memorandum D22-1-1, Administrative Monetary Penalty System](#). [Information on AMPS](#) penalties is also available on the CBSA Web site.

107. Pre-arrival AMPS are currently under development.

Additional Information

108. The CBSA’s Border Information Service (BIS) line responds to public inquiries related to import requirements of other government departments. More [BIS information](#) can be found on the CBSA’s Web site.

109. More information can be obtained by consulting Chapter 3: ACI/eManifest Rail ECCRD. Direct all correspondence to:

Advance Commercial Information (ACI) Policy Unit
Commercial Targeting and Advance Information Programs Division
Pre-border Programs Directorate
Programs Branch
Canada Border Services Agency
222 Queen Street, 4th Floor
Ottawa, Ontario
K1A 0L8

Email: aci-ipecc@cbas-asfc.gc.ca

Appendix

Glossary of Terms

ACI – Advance Commercial Information

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.

Buffer Car – A rail car that can be either empty or loaded with a non-hazardous inert material, that makes up a section of train for the protection of the train crew from hazardous or combustible materials and the materials themselves, from sources of ignition.

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 Document (CCD) – A manifest or other control document that acts as the record of a shipment entering or exiting Canada e.g. A8A

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

This number cannot be re-used for 3 years.

Carrier – For the purpose of assessing carrier code eligibility, the CBSA defines a carrier as the entity operating a conveyance transporting specified goods to Canada. To operate a conveyance means to have legal custody and control of the conveyance as:

- (a) an owner,
- (b) a lessee under a lease or agreement of hire,
- (c) a charterer under an agreement of hire,
- (d) as a purchaser under a conditional sale or hire purchase agreement that reserves to the vendor the title to the conveyance until the purchase price is paid or certain conditions are performed, or
- (e) a mortgagor.

Carrier Code – As stated in the *Customs Act*, means the unique identification number issued by the Minister either under subsection 12.1(4) or before the coming into force of that subsection.

CBSA – Canada Border Services Agency

Client – Anyone who:

- (a) Sends to the CBSA a collection of information; or
- (b) Receives notices from the CBSA

Consignee – The definition of consignee is to be understood as follow given the applicable context:

The consignee definition to be used by carriers when transmitting electronic ACI/eManifest data: The name and address of the party to which the cargo/goods are being shipped to as shown on carrier's contract of carriage (For example: bill of lading, air waybill or other shipping document).

The consignee definition used with respect to freight forwarders who are providing the CBSA with detailed information pertaining to a consolidated shipment will be: The name and address of the party to which the

cargo/goods are being “shipped to” as shown on carrier’s contract of carriage (For example: bill of lading, air waybill, or other shipping document).

The consignee definition used with respect to freight forwarders who are providing the CBSA with detailed information pertaining to a deconsolidated shipment will be: The name and address of the party to which the goods are being “shipped to” as shown on the commercial sales contract (For example: commercial invoice, bill of sale, or other sales contract).

Note: The freight forwarder is limited to the information they have on hand at the time of the transmission. The consignee may change more than one time throughout a voyage to Canada. The freight forwarder will provide updates to the transmission as they receive updated information.

Example: For business or legal reasons goods are consigned to a bank (foreign or Canadian domestic) or “to order” of a bank. In this case, the consignee field of the house bill transmitted by the FF will reflect the party to whom the goods are legally consigned at the time of transmission (the bank). If the goods are sold while en route, and/or if the bank chooses to endorse the goods to a third party (as per the “to order”) or if the consignee information otherwise changes; the FF will submit an electronic change to the house bill data as soon as they become aware of the change, updating the consignee field.

Conveyance – Taken from *Customs Act* ss.2(1). Any vehicle, aircraft or water-borne craft or any other contrivance that is used to move persons or goods.

Conveyance Arrival Certification Message (CACM) – The Canada Border Services Agency (CBSA) requires that rail conveyance operating carriers, or their authorized service provider transmit without delay a CACM to the CBSA, using an Electronic Data Interchange (EDI) method, following arrival in Canada. An arrival in the rail mode is defined as when the rail conveyance has physically arrived in Canada. The CACM must be transmitted and received within a 30 minute window, allowing rail carriers to transmit their arrival request up to 30 minutes in advance of their actual arrival at the Canadian border.

The CACM allows carriers to meet the reporting requirements under section 12(1) of the *Customs Act*.

The CACM is required in addition to the cargo and conveyance Advance Commercial Information (ACI) previously transmitted according to the prescribed time frames as described in the *Reporting of Imported Goods Regulations*.

Conveyance Operating Carrier – The carrier company operating the conveyance transporting goods to Canada. This is true whether the carrier company owns the conveyance outright, leases the conveyance, or whether any type of security interest is registered 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 characters 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.

Conveyance Transmission – A conveyance transmission 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.

Courier LVS – LVS goods being imported under the courier LVS program by an approved courier.

CSA – Customs Self-Assessment

ECCRD – Electronic Commerce Client Requirements Document

EDI – Electronic Data Interchange

FPOA – First Port of Arrival

FPOI – First Point of Intervention - indicates the first stop in Canada where the CBSA has the opportunity to board the rail conveyance, question crew, and/or exam cargo.

Freight Forwarder – a person who, on behalf of one or more owners, importers, shippers or consignees of goods, causes specified goods to be transported by one or more carriers.

Goods – Goods includes conveyances, animals and any document in any form.

Hand-carried Goods – Goods that will be released after they have been accounted for and all duties with respect to them have been paid under subsection 32(1) of the Act if

- (a) the goods are or will be in the actual possession of a person arriving in Canada, or
- (b) the goods form or will form part of a person's baggage and the person and the baggage arrive or will arrive in Canada on board the same conveyance.

HVS – High Value Shipment

Instruments of International Trade (IIT) – Empty shipper or importer owned containers and also those registered under Ottawa file or with container bank numbers, which are used to transport commercial goods to and from Canada. For example: shipping tanks, pallets, baskets, bins, boxes, cartons, crates, gaylords, load lock/spacers, racks, trays, totes or similar goods used to ship goods internationally.

In-transit – The movement of foreign goods through Canada from a point outside Canada to another foreign point, as well as the movement of goods from a point in Canada to another point in Canada through the United States.

LVS – Low Value Shipment – LVS goods are not exempt from the eManifest process. See “Courier LVS” definition is this Appendix.

Multi-modal Movement – A cargo documented on a transport document (e.g. air waybill, bill of lading) used for a specific mode of transportation, but arrives in Canada using a different mode of transport.

OGD – Other Government Department

PARS – Pre-Arrival Review System

Port of report – The port where rail 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.

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.

Record – Any material on which data are recorded or marked and which is capable of being read or understood by a person or a computer system or other device. RNS – Release Notification System

Shipment –

- (a) a shipment for which a carrier is responsible is one that consists of
 - (i) a specified good or collection of specified goods that is listed in a single bill of lading, waybill or other similar document that is issued by the carrier and that relates to the carriage of those goods, or
 - (ii) a specified good that is an empty cargo container that is not for sale that is transported by the carrier but that is not listed in a bill of lading, waybill or other similar document; and
- (b) a shipment for which a freight forwarder is responsible is one that consists of a specified good or collection of specified goods that is listed in a single bill of lading, waybill or other similar document that is issued by the freight forwarder and that relates to the carriage of those goods.

Specified Goods (under the Customs Act) – commercial goods, goods that are or will be imported to Canada for a fee and empty cargo containers that are not for sale but does not include

- (a) goods that will be released after they have been accounted for and all duties with respect to them have been paid under subsection 32(1) of the Act if
 - (i) the goods are or will be in the actual possession of a person arriving in Canada, or
 - (ii) the goods form or will form part of a person's baggage and the person and the baggage arrive or will arrive in Canada on board the same conveyance,
- (b) mail,

- (c) commercial goods that are used in a repair that is made outside Canada to a conveyance that was built in Canada or in respect of which duties have been paid, if the repair is made as a result of an unforeseen contingency that occurs outside Canada and is necessary to ensure the conveyance's safe return to Canada,
- (d) a military conveyance within the meaning of subsection 18(1) of the *Canadian Transportation Accident Investigation and Safety Board Act* or goods that are transported on board that conveyance,
- (e) an emergency conveyance or goods that are transported on board that conveyance, or
- (f) a conveyance that returns to Canada immediately after being denied entry to the United States or goods that are transported on board that conveyance.

References	
Issuing Office	Advance Information and Programs Division Pre-border Programs Directorate Programs Branch
Headquarters File	
Legislative References	<u>Customs Act</u> <u>Reporting of Imported Goods Regulations</u> <u>Transportation of Goods Regulations</u>
Other References	<u>D3-1-1</u> , <u>D3-5-2</u> , <u>D3-6-6</u> <u>ECCRD</u>
Superseded Memorandum D	N/A