



Canada Border  
Services Agency

Agence des services  
frontaliers du Canada

# CBSA Assessment and Revenue Management (CARM)

## **CARM Release 1 Playbook**

CARM Concepts, Scenarios, and Clarifications  
for Release 1 Processes

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## Document Version History

Version #	Date	Revised By	Nature of Revisions
<b>1.0</b>	December 2020	CARM Project Team	Initial draft
<b>1.1</b>	December 2020	CARM Project Team	Updated draft
<b>2.0</b>	January 2021	CARM Project Team	Draft final version
<b>2.1</b>	April 2021	CARM Project Team	Final version
<b>2.2</b>	May	CARM Project Team	Minor corrections post distribution of version 2.1
<b>2.3</b>	July	CARM Project Team	Minor corrections post distribution of version 2.2

## Acronyms and Abbreviations

Acronym Abbreviation	Definition
<b>.CSV</b>	Comma Separated Values
<b>API</b>	Application Programming Interface
<b>AR</b>	Advance Ruling
<b>BAM</b>	Business Account Manager
<b>BN9</b>	Business Number
<b>BN15</b>	Business Number and Program Extension
<b>CARM</b>	CBSA Assessment and Revenue Management
<b>CBSA</b>	Canada Border Services Agency
<b>CBSS</b>	Customs Broker Summary Statement
<b>CCP</b>	CARM Client Portal
<b>CCSSU</b>	CARM Client Service Support Unit
<b>CITT</b>	Canadian International Trade Tribunal
<b>CRA</b>	Canada Revenue Agency
<b>CUSMA</b>	Canada-United States-Mexico Agreement
<b>DN</b>	Daily Notice
<b>DOA</b>	Delegation of Authority

Acronym Abbreviation	Definition
<b>EDI</b>	Electronic Data Interchange
<b>FTA</b>	Free Trade Agreement
<b>NAFTA</b>	North American Free Trade Agreement
<b>NCR</b>	National Customs Ruling
<b>PAD</b>	Pre-Authorized Debit
<b>PAM</b>	Program Account Manager
<b>pBAM</b>	Third Party Business Account Manager
<b>POE</b>	Point of Entry
<b>POS</b>	Point of Sale
<b>pPAM</b>	Third Party or 'Proxy' Program Account Manager
<b>RM</b>	Program Extension
<b>RPP</b>	Release Prior to Payment
<b>SCR</b>	Same Condition Ruling
<b>SOA</b>	Statement of Account
<b>TCP</b>	Trade Chain Partner

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# CARM Release 1 Playbook

## CARM Concepts, Scenarios, and Clarifications for Release 1 Processes

### 1.0 Introduction

#### 1.1 DOCUMENT PURPOSE

The purpose of this document is to provide a holistic end-to-end overview of the CARM Release 1 functionalities from a Trade Chain Partner (TCP) perspective. The intent is to provide clarity and context for business processes when transacting with the CBSA through the CARM Client Portal (CCP) while detailing considerations and scenarios that can help TCPs effectively and efficiently navigate this functionality. The Release 1 Playbook provides a comprehensive overview of all Release 1 functionalities.

The CARM Playbook augments the TCP Onboarding Guides which provide overviews of the CARM concepts presented in this document and describe the first steps for TCPs when preparing to use CARM. Furthermore, links are referenced throughout the document to provide quick access to relevant CBSA policy.

This version is specific to CARM Release 1, and is intended to be used by existing clients with a business number (BN9) and a program identifier (RM) (e.g. 123456789RM0001) including Importers, Canadian Exporters, Customs Brokers, and on an as requested basis, Trade Consultants. New clients who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CBSA as one of the above client types to enable access.

**Note: This document is intended for use as a reference guide only. It does not supersede any other administrative, policy, or legislative instrument.**

#### 1.2 RELEASE 1 OVERVIEW

CARM, as of Release 1, creates efficiencies and addresses challenges that the trade community faces, including;

- Enabling existing Importers, Canadian Exporters, Customs Brokers and Trade Consultants to gain access to the CCP for enhanced self-service access to financial transactions to assist TCPs in managing their business.
- Providing direct visibility into TCPs' commercial importation activity.
- Receiving key documentation such as their Daily Notice (DN), Statement of Accounts (SOA), and Customs Broker Summary Statements (CBSS) electronically.
- Providing Application Programming Interface (APIs) for TCPs to call or request data.

■ The Electronic Commerce Client Requirements Document (ECCRD) details specifications for EDI connections with the CBSA and is available from the CARM Engagement Mailbox at [CBSA.CARM\\_Engagement-Engagement\\_de\\_la\\_GCRA.ASFC@cbsa-asfc.gc.ca](mailto:CBSA.CARM_Engagement-Engagement_de_la_GCRA.ASFC@cbsa-asfc.gc.ca).

- Continuing the use of Electronic Data Interchange (EDI) to provide a secure connection between the TCP and the CBSA.

### 1.3 IMPACTED TRADE CHAIN PARTNER TYPES

The CARM Release 1 functionalities are available to Importers, Exporters, Customs Brokers, and on an as requested basis, Trade Consultants. To access the CARM R1 functionality, a valid CRA issued BN9 and RM identifier, also referred to as a BN15, are required.

**Importers** in the CARM context are legal entities importing goods into the Canadian economy. All Importers are required to have a BN15 to conduct business with the CBSA.

**Customs Brokers** are licensed individuals, partnerships, or corporations that act as agents to transact business with the CBSA on behalf of the Importer or owner of goods. At the time of Release 1 go-live, all existing Customs Brokers will have been granted a BN15 that can be used to interface with CARM. Customs Brokers can be authorized to act on behalf of Importers provided they have the appropriate Delegation of Authority.

**Trade Consultants** are individuals in the Third Party program that provide assistance to the trade community for managing trade activities by acting as an agent for another TCP. Trade Consultants in Release 1 may be granted access to the CCP upon request to the CBSA.

**Exporters** are legal entities exporting goods from the Canadian economy. All Exporters are required to have a BN15 to conduct business with the CBSA.

■ Information on how to become an Importer during Release 1 can be found in [D-Memoranda 17-1-5 Registration, Accounting, and Payment for Commercial Goods](#).

■ Information on Delegation of Authority processes can be found in Section 3.0: *Delegation of Authority*.

■ Information on how to become a licensed Customs Broker in Release 1 can be found in [D-Memoranda 1-8-1 Licensing of Customs Brokers](#).

■ Information on how to become a Trade Consultant during Release 1 can be found in [D-Memoranda 1-6-1 Authority to Act as an Agent](#).

■ Information on how to become an Exporter during Release 1 can be found in [D-Memoranda 20-1-1 Exporter Reporting](#).

### 1.4 DOCUMENT STRUCTURE

The CARM Release 1 Playbook explains the functions relating to how existing clients use the CARM system during Release 1. These functions are separated into sections including;

- **Section 2.0: Portal Registration** – Explains how existing clients can create a user profile and link to their business account on the CCP.
- **Section 3.0: Delegation of Authority** – Explains how users can manage access delegation for their business and program accounts and establish relationships with Service Providers and employees.

Each section includes relevant scenarios to provide use cases for each process. This Playbook also includes processes for problem reporting and resolution and instructions on how to get support from the CBSA, detailed in Section 9.0: *Problem Reporting and Resolution*.

## 2.0 Portal Setup

### 2.1 OVERVIEW

The Portal Setup section describes how TCPs can register for the CCP by creating a user profile to act on behalf of an existing commercial TCP (with a BN9 and RM). Completing Portal Setup is the first step for TCPs to access the CCP. In Release 1, Portal Setup includes creating a user profile, linking the user to an existing commercial TCP, or requesting access to a business account already linked to the CCP.

■ Legislation, regulations, policies, and procedures the CBSA uses to administer registration can be found in [Memorandum D17-1-5 Registration, Accounting and Payment for Commercial Goods](#).

*Note:* Only existing Importers, Exporters, Customs Brokers, and Trade Consultants with a valid BN9 and RM can access CARM functionality via the CCP during Release 1. New TCPs who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CRA as one of the above TCP types to enable access to CARM functionality.

The Portal Registration comprises of one (1) section;

- Section 2.2: *Complete Portal Setup* includes information on how a new user for an existing TCP gains access to the CCP by creating a user profile and associating the user profile to a business account.

### 2.2 COMPLETE PORTAL SETUP

The Complete Portal Setup process includes the steps involved for TCPs to create a user profile on the CCP and associate this user profile to a business account to gain access to an existing business. This is comprised of two (2) components;

1. **Creating a user profile**, which includes creating a profile for an individual user to interact with the CARM system. Users in the CCP are not businesses, but rather individuals that act on behalf of business or program accounts.
2. **Associating a user to a business account**, which includes either linking the user to an existing business (that has a BN9 and RM) or requesting access to a business account as an employee.
  - a. Linking a user profile to an existing business acts as the first step for the legal entity to have an authorized user to act on their behalf within the CARM system. The business account needs to be linked if the business wishes to interact with CARM through the CCP.
  - b. Requesting access as an employee includes how the new user can request access to an already linked legal entity to act on the TCP's behalf through Delegation of Authority.

■ Information on the Delegation of Authority process can be found in Section 3.0: *Delegation of Authority*.

This section describes the following Portal Registration scenarios:

- Scenario 2.2.1: *Create User Profile*
- Scenario 2.2.2: *Link Business*



## Scenario 2.2.1: Create User Profile

### Scenario Overview

This scenario describes the steps and conditions for creating a user profile when the individual logs into the CCP for the first time. This includes how users create or use existing GCKey or Sign-in Partner credentials to log into the CCP, create a user profile, then associate their user profile with a business account by either linking the profile to an existing business or requesting access to act on behalf of a business. The process begins when a user requests a CCP account via the CBSA website for the first time.

■ **GCKey** provides the ability to reuse existing credentials used on other Government of Canada portals, or create new credentials. Information on GCKey can be found on the [Government of Canada website](#).

■ **Sign-in Partner** utilizes an existing set of financial services credentials. Information on Sign-in Partner can be found on the [Government of Canada website](#).

### Pre-requisites

- The user has personal information for profile creation.
- GCKey or Sign-in Partner log in credentials, if available.
- The TCP has a BN9 and RM for an existing business and the appropriate business information to either request access to a business account or to link the user profile to a business account for the CCP.

### Process

The following diagram (Figure 2.2.1) provides high-level context for the process by which a user completes portal setup.

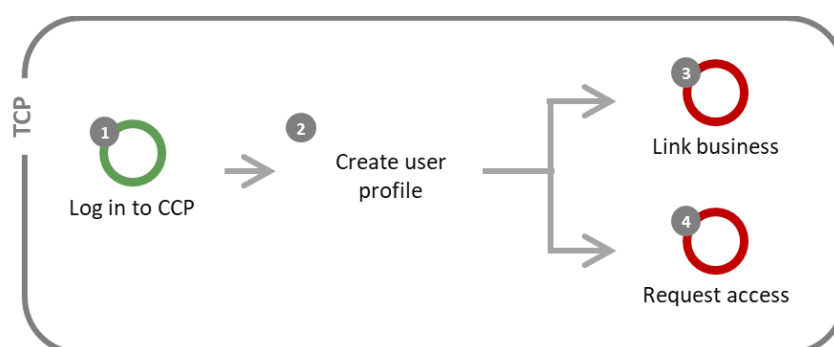


Figure 2.2.1: Process steps for creating a user profile.

Step	Business Role	Description
1	TCP	<p><b>Log in to CCP</b></p> <p>The user logs in by navigating to the CCP login page on the CBSA website. They enter their log in credentials using either GCKey or Sign-in Partner to sign into the CCP. If the user does not have an existing GCKey to use for log in, they can create the appropriate credentials via the GCKey service.</p> <p>The appropriate terms and conditions of use is displayed for the user to review.</p> <p>■ The GCKey service can be found on the <a href="#">Government of Canada website</a>.</p>

Step	Business Role	Description
		<i>Note: GCKey or Sign-in Partner log in credentials can only be associated with one portal user (i.e. person).</i>
2	TCP	<p><b>Create user profile</b> The user creates a personal profile for their CCP account. They are prompted to enter information including their first name, last name, phone number(s), email address, and account preferences (e.g. preferred language and email subscription for CCP notifications).</p> <p>If the business account has not yet been registered on the CCP, and the user has access to privileged information to act as the BAM, proceed to Step 3.</p> <p>If the user requires access to a business account that has already been linked on the CCP by a BAM from the business, proceed to Step 4.</p>
3	TCP	<p><b>Link business</b> The user chooses to link an existing business to the user profile that they have just created. This can be accomplished by successfully answering affinity questions in regards to legal entity and financial transactions.</p>
4	TCP	<p><b>Request access</b> The user submits an access request to obtain access to a business account already linked on the CCP. To submit an access request, a user needs to provide the business number (BN9) of their employer's business account as well as a justification comment to help the approver of the business account assess if the user should be granted access.</p> <p>■ Information on requesting and obtaining access to a business account can be found in Section 3.0: <i>Delegation of Authority</i>.</p>

### Scenario Outputs

- A user profile is created on the CCP.
- An access request is submitted or a business account is linked.

### Scenario 2.2.2: Link Business

#### Scenario Overview

An individual who has just created a new user profile would like to link their profile to an existing commercial TCP (with a BN9 and RM). This scenario is available to users that have sufficient access to privileged information to be the first Business Account Manager for the business on the CCP. This scenario describes the conditions and considerations for linking a business.

#### Scenario Outputs

The user links their user profile to their business on the CCP. To create the link between the user profile and the business, the user is required to provide the following information;

- Business Legal Name and Address (mailing or physical) as shown on the statement of account; and

- Two of the three affinity questions on financial transaction information for authentication purposes, if applicable;
  - Closing balance on the last SOA,
  - Amount of last payment to CBSA, or
  - Total duties and taxes of a recent B3 transaction.

The user who completes this initial business link is automatically granted the highest level of access (i.e. Business Account Manager [BAM]).

## 3.0 Delegation of Authority (DOA)

### 3.1 OVERVIEW

Delegation of Authority involves granting access, requesting or receiving access, and managing a CCP user's access to a business (BN9) or program account (RM). It also includes the ability for TCPs to view other businesses who have access to their account in real time and make appropriate updates to this access via the CCP.

■ Legislation, regulations, policies, and procedures the CBSA uses to administer Delegation of Authority can be found in [Memorandum D1-6-1 Authority to Act as an Agent](#).

*Note:* Only existing Importers, Exporters, Customs Brokers, and Trade Consultants with a valid BN9 and RM can access the CCP and complete Delegation of Authority during Release 1. New TCPs who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CRA as one of the above TCP types to enable access to CARM functionality.

Having the appropriate Delegation of Authority for employees and Service Providers enables multiple users to view information or act on behalf of the business. It is critical for TCPs to obtain and/or delegate the appropriate access so that CARM functions (e.g. view notifications, make payments, and submit rulings) can be performed by these authorized representatives.

Delegation of Authority is used to assign users with user roles, which have predefined access rights that control what the user can view and action in the CCP.

■ Information on user roles, permissions, employee relationships, business relationships, and visibility attributes can be found in Section 3.2: *DOA Concepts*.

Two forms of relationships are possible via the CCP;

1. Employer-to-employee relationships between a business account and a user of the same organization, and
2. Legal entity-to-legal entity relationships between a Client and their Third Party Service Provider (i.e. Customs Broker and Trade Consultant).

■ A **Service Provider** is a business account that has at least one program account of type Customs Broker or Third Party.

Legal entities in business relationships can also select Visibility Attributes to control if their authorized representative(s) can view information submitted by other parties.

■ A **Client** is any business account that has delegated access to a Service Provider.

Delegation of Authority includes three (3) sections which are described as follows;

- Section 3.2: *DOA Concepts* describes concepts that help users understand Delegation of Authority and its functionalities. This includes information on User Roles, Employee Relationships, Business Relationships, Permissions, Visibility Attributes, and Client Groups.
- Section 3.3: *DOA for Clients* includes information on how Clients can grant initial access for their employees and Service Providers, and how they can manage this access.
- Section 3.4: *DOA for Service Providers* includes information on how Service Providers can grant initial access and manage this access for their employees, and how they can request business relationships with their Clients.

## 3.2 DOA CONCEPTS

The DOA Concepts section introduces Delegation of Authority concepts that are important for Clients and Service Providers to understand when using Delegation of Authority functionalities.

This includes information captured by the following sub-sections;

- **User Roles** which describes the various roles that enable users to access business and program accounts.
- **Permissions** which describes what actions a user role may perform for specific CARM functions.
- **Employee Relationships** which describes the relationships that a business can have with their employees.
- **Business Relationships** which describes the relationships that a Client can have with their Service Provider(s).
- **Visibility Attributes** which describes the information that a Service Provider can view based on the Visibility Attribute assigned to them by the Client.
- **Client Groups** which describes how Service Providers can efficiently manage the access of multiple employees for many Client accounts.

### User Roles

User roles describe how users can access business and program accounts. Each user on the CCP has a role against their employer and, if applicable, to their Clients, for any delegated business and program account.

■ Details on the functionalities accessible for each user role is available in the Permissions sub-section.

These user roles can be assigned and managed via the CCP. Users with the appropriate permissions can approve, reject, update, or remove users with delegated authority.

The table below describes the available user roles.

Table 3.2.1: User roles available through Delegation of Authority.

User Role	Description
<b>Business Account Manager (BAM)</b>	<p>BAMs have full access to all CCP functionality for a business account and all its program accounts. The purpose of this role is to assume the management of the business account. This role can;</p> <ul style="list-style-type: none"> <li>• Manage all legal entity and program information</li> <li>• Perform operational activities in the CCP (e.g. request rulings, make payments, edit and view financial information).</li> </ul> <p><i>Note:</i> This role is not to be confused with the Business Owner or a Director of the business. This user role should be held by an individual with active involvement in the management of its business account (e.g. manage employee access, manage business relationships, manage business and program accounts information).</p> <p>■ The <b>Business Owner</b> or <b>Director</b> is the person legally listed in the incorporation, proprietorship, or partnership documentation. The BAM in the context of the CCP can be the Business Owner or Director, but can also be another individual from the business.</p>

User Role	Description
	<p>The BAM role is automatically given to the initial individual who links their user account to their business by completing the registration process. Due to the importance of this role, it is highly recommended to give the BAM role to at least one other user.</p> <p>■ Information on linking a user account to a business can be found in Section 2.0: <i>Portal Registration</i>.</p>
<b>Third Party Business Account Manager (pBAM)</b>	<p>The pBAM role gives a Service Provider near full access to all CCP functionality for a Client's business account and all its program accounts. The purpose of this role is to assume the management of the business account of a Client without interfering with its tombstone data (business or program profiles) or access details (employees and business relationships).</p> <p>The pBAM role has the same access as a BAM, with the following exceptions;</p> <ul style="list-style-type: none"> <li>Does not have access to the Client's sensitive information (e.g. bank account).</li> <li>Cannot see or manage the employees or business relationships of the Client.</li> </ul> <p>This role can;</p> <ul style="list-style-type: none"> <li>Perform operational activities in the CCP (e.g. request rulings, make payments, edit and view financial information).</li> </ul> <p>The pBAM role is automatically given to the BAM of a Service Provider when they are approved for a business relationship by a Client.</p> <p>The pBAM role can manage access only for its own employees (i.e. employees of the Service Provider). This role does not allow pBAM users to manage access for the Client's employees.</p>
<b>Program Account Manager (PAM)</b>	<p>The PAM role gives full access to all CCP functionality for a specific program account. The purpose of this role is to assume the management of a program account alongside the BAM. This role can;</p> <ul style="list-style-type: none"> <li>Manage program information and give access to employees for the program account.</li> <li>Perform operational activities in the CCP (e.g. request rulings, make payments, edit and view financial information at the RM level only).</li> </ul>
<b>Third Party Program Account Manager (pPAM)</b>	<p>The pPAM role gives a Service Provider near full access to their Client's specific program account for all CCP functionality. The purpose of this role is to assume the management of a Client's specific program account without interfering with its tombstone data (program profile) or access details (employees and business relationships).</p> <p>This role is automatically given to the BAM of a Service Provider when they are approved for a program management relationship by a Client. This applies because BAMs have full access to the accounts within its business.</p>

User Role	Description
	<p>The pPAM role has the same access as a PAM, with the following exceptions;</p> <ul style="list-style-type: none"> <li>Does not have access to the Client's sensitive information (e.g. bank account).</li> <li>Cannot see or manage the employees or business relationships of the Client.</li> </ul> <p>This role can;</p> <ul style="list-style-type: none"> <li>Perform operational activities in the CCP (e.g. request rulings, make payments, edit and view financial information at the RM level only).</li> </ul> <p>The pPAM role can manage access only for its own employees (i.e. employees of the Service Provider). This role does not allow pPAM users to manage access for the Client's employees.</p>
<b>Editor &amp; Third Party Editor</b>	<p>The Editor and Third Party Editor roles can;</p> <ul style="list-style-type: none"> <li>Perform operational activities in the CCP (e.g. request rulings, make payments, edit and view financial information at the RM level only).</li> </ul>
<b>Reader &amp; Third Party Reader</b>	<p>The Reader and Third Party Reader roles can;</p> <ul style="list-style-type: none"> <li>View operational activities in the CCP (e.g. rulings, payments, financial information at the RM level only).</li> </ul>
<b>Unassociated User</b>	<p>Unassociated users are users without any user role. It is intended for users that have registered on the CCP but have not yet linked their business or have not been accepted as an employee of a business.</p>

## Permissions

Each user role has a set of permissions that control what the user role can do in the CCP. The CCP contains webpages that can be grouped into nine (9) functions that have accompanying permissions for users.

The 9 CCP functions are described as follows;

1. **Organization:** Manage business profile information and list programs.
2. **User Access:** Manage pending access requests, manage list of users.
3. **Business Relationships:** Send requests, manage pending requests, manage list of business relationships, manage Client Groups.
4. **Documents:** Upload new documents against existing requests or transactions.
5. **Programs:** Manage program profile information and list of sub-programs.
6. **Finances:** Manage transaction history, SOAs, invoices, etc.
7. **Payments:** Manage credit allocation, credit card payments, Interac payments, etc.
8. **Pre-Authorized Debit:** Manage PAD agreements and banking information.
9. **Rulings:** List and request rulings.

The following table outlines the access that is available to each of the user roles for the 9 CCP functions.

Table 3.2.2: Permissions for CCP functions.

	Organization	User Access	Business Relationships	Documents	Programs	Finances	Payments	Pre-Authorized Debit	Rulings
<b>Business Account Manager (BAM)</b>									
Business Account	E	E							
Program Account	E	E	E	E	E	E	E	E	E
<b>Third Party Business Account Manager (pBAM)</b>									
Business Account	R	E <sup>1</sup>							
Program Account	R	E	R	E	R	E <sup>2</sup>	E	X	E
<b>Program Account Manager (PAM)</b>									
Business Account	X	X							
Program Account	X	E	E	E	E	E	E	X	E
<b>Third Party Program Account Manager (pPAM)</b>									
Business Account	X	X							
Program Account	X	E <sup>1</sup>	R	E	R	E <sup>2</sup>	E	X	E
<b>Editor</b>									
Business Account	X	X							
Program Account	X	X	X	E	X	E	E	X	E
<b>Third Party Editor</b>									
Business Account	X	X							
Program Account	X	X	X	E	X	E	E	X	E
<b>Reader</b>									
Business Account	X	X							
Program Account	X	X	X	X	X	R	R	X	R
<b>Third Party Reader</b>									
Business Account	X	X							
Program Account	X	X	X	X	X	R	R	X	R
<b>Unassociated User</b>									
Business Account	X	X							
Program Account	X	X	X	X	X	X	X	X	X

**Legend**

E: Edit access (Editor role)

R: Read-only access (Reader role)

X: No access

**Green cells:** User roles inherited from business relationships.

**Empty cells:** Permission is not applicable, as it relates to a program account function instead of business account.

**Notes**

<sup>1</sup> Allows user to give access of Service Provider employees to the Client. Does not allow to manage the Client's employees.

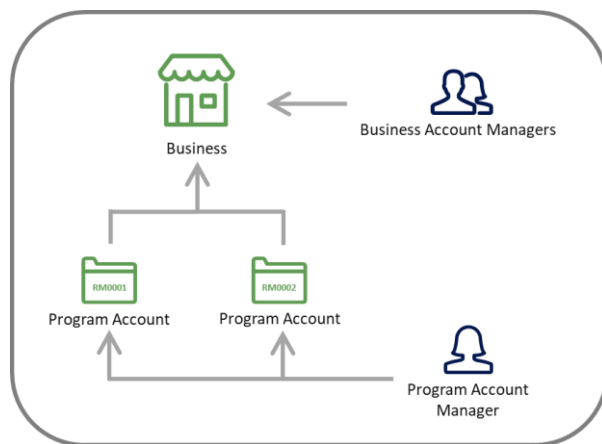
<sup>2</sup> Excludes collection information



## Employee Relationships

Employee relationships describe the relationships between a business account and its users within the same organization. An employee relationship must be established before the employee can act on behalf of the business. These relationships can likewise be updated or removed by users of the business that have the appropriate delegated authority.

The diagram below illustrates an example of the relationship between the BAM role, the business, and a PAM in relation to one or both of the Program accounts.



■ Detailed description of the roles found in this diagram are included in Table 3.2.1.

Figure 3.2.1: Example of user role relationships for a business with two program accounts that are managed by account managers and employees.

## Business Relationships

Business relationships are established between a Service Provider and its Client(s). A Client (e.g. Importer) can delegate access to the Service Provider (e.g. Customs Broker) for them to act on their behalf and manage their account(s) within the CBSA by establishing a relationship. A business relationship must be established before a Service Provider can act on behalf of a Client.

If a business account acts as a Service Provider, it can assign its employees to work on its Clients' accounts with which there are active business relationships. Employees are assigned roles to Client accounts by the Service Provider BAM or PAM.

The CCP supports two (2) business relationship **Access Types** between a Service Provider and a Client. The Client determines the relationship type to grant to its Service Provider. The two types of relationships are described as follows;

1. **Business management relationship:** delegates access to all program accounts to the Service Provider, including any programs added in the future.
2. **Program management relationship:** delegates access to only selected program accounts to the Service Provider.

The diagram below illustrates an example of a **business management relationship** Access Type where Service Provider employees gain access to a Client's business.

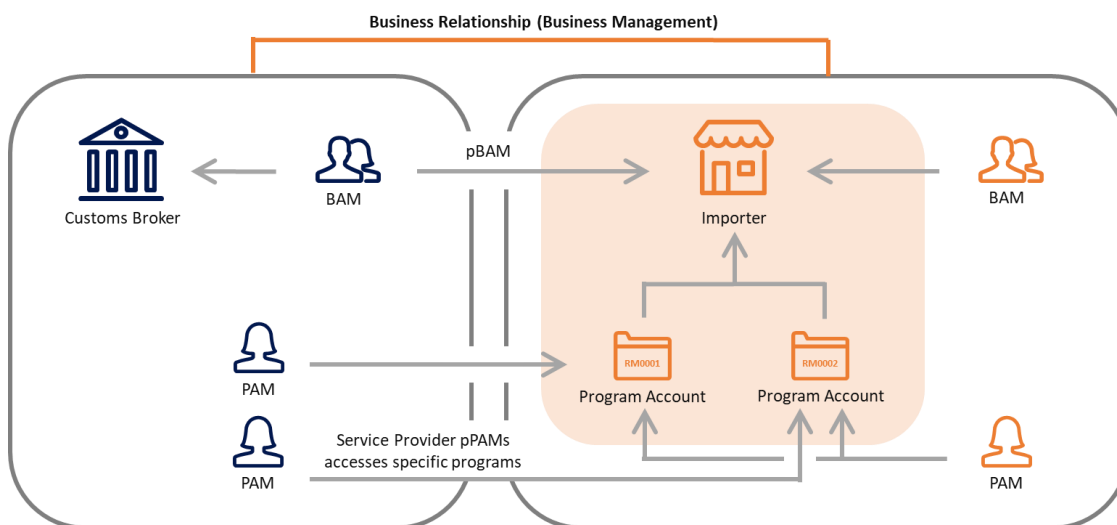


Figure 3.2.2: Example of employee user role assignment from a Service Provider to a Client that has a business management relationship Access Type.

The diagram below illustrates an example of a **program management relationship** Access Type where Service Provider employees gain access to specific Client program accounts.

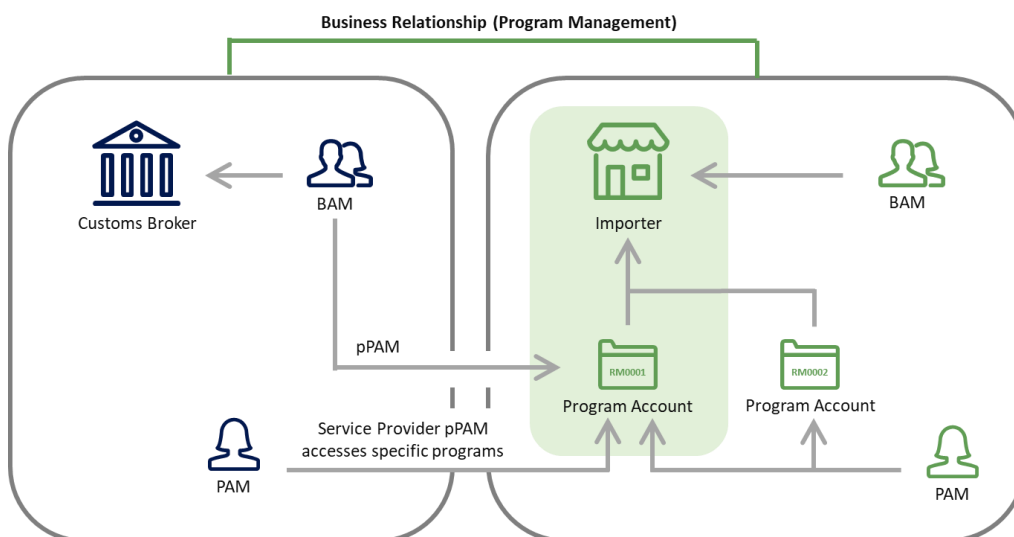


Figure 3.2.3: Example of employee user role assignment from a Service Provider to a Client that has a program management relationship Access Type.

The following table summarizes the different actions that can be completed by a Service Provider based on the Access Type.

Table 3.2.3: Permissions for webpage functions.

Actions	Business Management	Program Management
Business account information	Read only	No access
Program account information	Read only	Read only
List of programs	Read only	No access
Information regarding requests and transactions on the Client's behalf	Edit	Edit

■ More details on the available actions and Visibility Attributes can be found in the Permissions and Visibility Attributes sub-sections respectively.

The following actions are **restricted** for Service Providers in a relationship;

- ✗ Edit Client account tombstone information.
- ✗ View or edit Pre-Authorized Debit authorizations.
- ✗ View collection related notifications and payment arrangements.
- ✗ View or edit the Client's access requests.
- ✗ View or edit the Client's pending business relationship requests.
- ✗ View or edit the Client's list of active business relationships.

## Visibility Attributes

Visibility Attributes control which requests or transactions a Service Provider can view based on who submitted or filled the information. These Attributes are assigned to the Service Provider by the Client so that the Service Provider can view submissions made by the Service Provider themselves, the Client, and/or other businesses.

**Submitted by the Service Provider** includes the requests or transactions that an employee of the Service Provider submitted within the business relationship.

- This attribute is **enabled by default** for a Service Provider so that they can always see the work they have accomplished on behalf of their Client.
- When the business relationship expires, this attribute is disabled automatically for the Service Provider.

**Submitted by the Client** includes the requests or transactions that an employee of the Client submitted on their own behalf, outside of the business relationship.

- This attribute can be used in situations where the Client actively submits requests and declarations in parallel with the Service Provider and may require the Service Provider to act on behalf of these submissions.
- When the business relationship expires, this attribute is disabled automatically for the Service Provider.

**Submitted by other businesses** includes the requests or transactions that an employee of another Service Provider submitted for the Client within a separate business relationship.

- This attribute can be used in situations where a Client has multiple business relationships overlapping the same program accounts.
- When the business relationship expires, this attribute is disabled automatically for the Service Provider.

- *Note:* Rulings are not subject to this visibility attribute even if this attribute is enabled.

The following table outlines the visibility of submissions based on which party submitted the request or transaction, and the Visibility Attribute(s) assigned to the Service Provider by the Client.

Table 3.2.4: Visibility of submissions based on Visibility Attributes.

Request or Transaction Submitted By: <i>Visibility Attributes Assigned to Service Provider:</i>	Employee of Service Provider	Employee of Client	Employee of other businesses
<input checked="" type="checkbox"/> Submitted by the Service Provider <input type="checkbox"/> Submitted by the Client <input type="checkbox"/> Submitted by other businesses	Visible	Not visible	Not visible
<input checked="" type="checkbox"/> Submitted by the Service Provider <input checked="" type="checkbox"/> Submitted by the Client <input type="checkbox"/> Submitted by other businesses	Visible	Visible	Not visible
<input checked="" type="checkbox"/> Submitted by the Service Provider <input type="checkbox"/> Submitted by the Client <input checked="" type="checkbox"/> Submitted by other businesses	Visible	Not visible	Visible
<input checked="" type="checkbox"/> Submitted by the Service Provider <input checked="" type="checkbox"/> Submitted by the Client <input checked="" type="checkbox"/> Submitted by other businesses	Visible	Visible	Visible

## Client Groups

Client Groups are used by Service Providers to efficiently manage the access of multiple employees for many Client accounts.

A Client Group includes a set of Clients and Service Provider employees. The employees in a group automatically inherit the user role they were assigned against the group for all the delegated program accounts of the Clients within the Client Group. This enables Service Providers to assign user access en masse to a large set of Clients.

If the Service Provider has a business management relationship with the Client, the employee user roles are assigned to all programs in the business account.

If the Service Provider has a program management relationship with the Client, the employee user roles are assigned to only the specific programs that the Service Provider has been granted access to in the relationship.

The following diagram illustrates how user roles are assigned to employees acting on behalf of the Client Group.

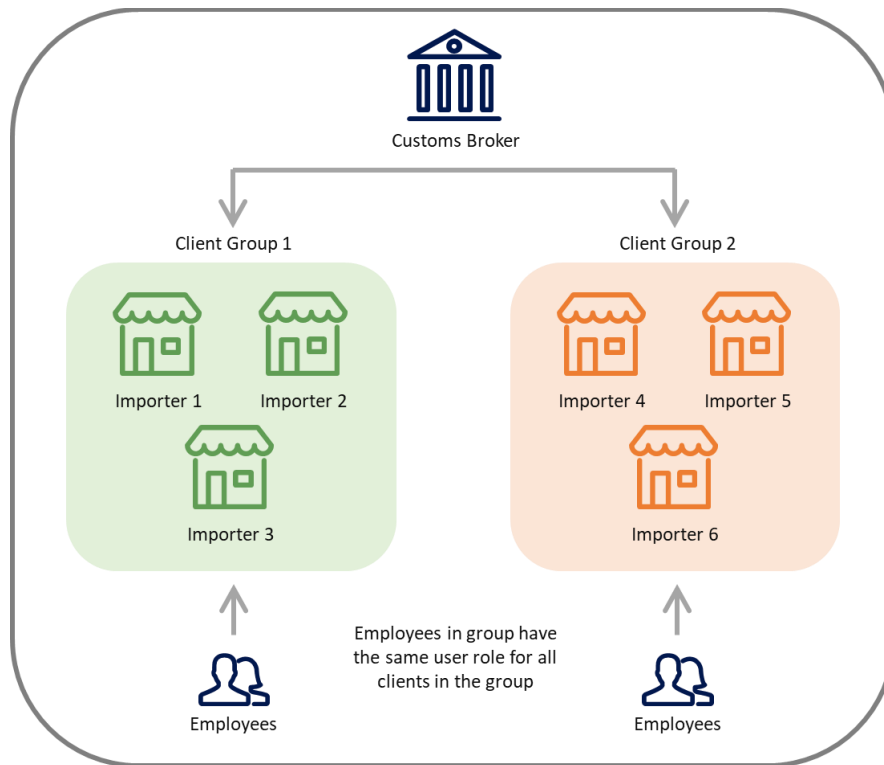


Figure 3.2.4: Example of how user roles are assigned to employees acting on behalf of the Client Group.

### 3.3 DOA FOR CLIENTS

Delegation of Authority for Clients outlines how a business can grant their employees initial access to their accounts, manage their employees' access, grant new business relationships, and manage existing business relationships.

The DOA for Clients section includes four (4) subsections;

- Sub-section *Grant Employee Access* which describes the steps and considerations for an organization and their employees to establish a new employee relationship.
- Sub-section *Manage Employee Access* which describes the steps and considerations for an organization to manage their employee relationships.
- Sub-section *Grant Business Relationships* which describes the steps and considerations for a Client to grant a Service Provider a new business relationship.
- Sub-section *Manage Business Relationships* which describes the steps and considerations for a Client to update or expire their business relationships with a Service Provider.

## Grant Employee Access

Employees within an organization can be granted access to act on behalf of the business or program account(s). This is the first step in creating an employee relationship between a user and a business and must be completed before an employee can act on behalf of an account.

■ Information on employee relationships can be found in the Employee Relationships subsection in Section 3.2: *DOA Concepts*.

To grant access to an employee, the employee must first submit an access request. An authorized user for the organization can then approve the request and assign the employee a user role or reject the request.

This sub-section includes the following scenarios;

- Scenario 3.3.1: *Manage Employee Delegation of Authority*
- Scenario 3.3.2: *Request Access as an Employee*
- Scenario 3.3.3: *Pending Employee Access Request*
- Scenario 3.3.4: *Approve Employee Access Request*
- Scenario 3.3.5: *Reject Employee Access Request*
- Scenario 3.3.6: *List Employees and Employee Details*
- Scenario 3.3.7: *Assign User Role to Employee*

### *Scenario 3.3.1: Manage Employee Delegation of Authority*

#### Scenario Overview

Managing employee Delegation of Authority is comprised of a series of steps, including approving, accepting, rejecting, and updating a user's access. This scenario provides a high-level overview of how Delegation of Authority is managed via the CCP and the associated resources that should be referenced for more information, and is applicable to both Clients and Service Providers.

■ Information on user roles, permissions, employee relationships, business relationships, and visibility attributes that are referenced in this scenario can be found in Section 3.2: *DOA Concepts*.

#### Pre-requisites

- The requesting user has completed portal registration and is an employee of the business.
- The business account is linked on the CCP.
- Only the BAM and PAM can manage the access of their employees.
  - The BAM may manage the access for the whole business account, thus all programs.
  - The PAM may only manage the access for their specific program account.

■ Information on portal registration can be found in Section 2.0: *Portal Registration*.

#### Process

The following diagram (Figure 3.3.1) provides high-level context for the process by which a BAM or PAM manages an employee's access via the CCP.

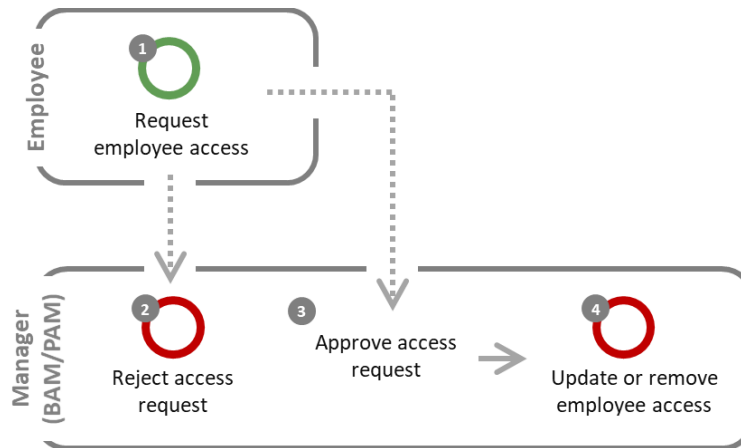


Figure 3.3.1: Process steps for managing Delegation of Authority for an employee via the CCP.

Step	Business Role	Description
1	Employee	<p><b>Request employee access</b></p> <p>The user requests to become an employee of a business by submitting an employee access request. The Manager receives a notification that a new request has been received.</p> <p>If the Manager of the account rejects the employee access request, proceed to Step 2.</p> <p>If the Manager of the account accepts the employee access request, proceed to Step 3.</p>
2	Manager (BAM/PAM)	<p><b>Reject access request</b></p> <p>The access request is rejected by the Manager and the request is updated to a rejected status on the CCP. The process ends.</p>
3	Manager (BAM/PAM)	<p><b>Approve access request</b></p> <p>The access request is accepted by the Manager and the Manager sets the employee's user role in the CCP. The request is updated to an approved status on the CCP.</p> <p><i>Note: All employees are assigned a user role when their access request is approved.</i></p>
4	Manager (BAM/PAM)	<p><b>Update or remove employee access</b></p> <p>After an employee access request has been accepted, Managers of the account can modify the employee's access. They can also remove the employee from the business.</p>

Step	Business Role	Description
		<p>If the business is a Service Provider and is enrolled in a Service Provider program, the Managers of the account can assign, modify, or remove the employee's access to a Client directly or using the Client Group functionality.</p> <p>■ Information on updating and removing user access for Clients and Service Providers can be found in Section 3.3: <i>DOA for Clients</i> Sub-section <i>Manage Employee Access</i> and Section 3.4: <i>DOA for Service Providers</i> Sub-section <i>Manage Employee Access</i> respectively.</p>

### Scenario Outputs

- An employee access request is rejected, an employee access request is approved, employee access is updated, or employee access is removed.

### *Scenario 3.3.2: Request Access as an Employee*

#### Scenario Overview

An employee requires delegated access to a business account. This scenario describes the conditions and considerations for an employee to request access for a business account.

#### Scenario Outputs

*Note:* Only Unassociated Users, who do not currently have access can submit an employee access request to a business account. The BAM or PAM of the business account then decides which RM and user role they will be granted. A BAM can edit the access of any employee against any of its employer's program accounts and all its Clients' business accounts.

All users, excluding those that completed business account registration, must request access to their employer's business account before viewing, editing, or creating requests and transactions against any account(s).

Employees of Service Providers may only gain access to Client accounts by first requesting access to their Service Provider employer's business account. Then they can be assigned to Client account(s).

To submit an employee access request, the user needs to have the BN9 of their employer's business account.

An Unassociated User follows these steps via the CCP to submit an employee access request;

1. Log in to the CCP and complete the initial set-up.
2. Select the option to send an employee access request.
3. Provide the BN9 of the employer's business account and a justification comment to help the managers of the business account assess if the user should be granted access.
4. Submit the request.

■ Information on how to complete the initial CCP setup can be found in Section 2.2: *Complete Portal Setup*

The request remains pending until the employer assigns a user role to the employee or rejects the employee access request.



### *Scenario 3.3.3: Pending Employee Access Request*

#### **Scenario Overview**

An employee submitted an access request and the employer has not yet rendered a decision on the request. This scenario describes the conditions and considerations for an employee with a pending access request.

#### **Scenario Outputs**

The following considerations apply for Unassociated Users with a pending employee access request;

- An Unassociated User's access request remains in a pending state until a BAM or PAM of the employer's business account either approves or rejects it.
- The user who requested access may cancel the request at any point while it is in a pending status.
- The user can view their pending access requests via the CCP.

### *Scenario 3.3.4: Approve Employee Access Request*

#### **Scenario Overview**

A Manager needs to approve an employee's access request. This scenario describes the conditions and considerations for approving access requests.

#### **Scenario Outputs**

The BAM or PAM of a business can approve an employee access request. **It is the responsibility of the Manager approving the request to validate that the user is an employee of the business.** An approved request automatically grants the user access to the employer's account, depending on the user role and accounts selected by the Manager.

If the user is granted a BAM role, the user gains the highest level of management for the business account and automatically gains access to all the employer's program accounts. Additionally, if the employer acts as a Service Provider, the BAM gains access to all business relationships.

If the user is granted a PAM, Editor, or Reader role, the user only has access to the program accounts for which they have been assigned a user role.

### *Scenario 3.3.5: Reject Employee Access Request*

#### **Scenario Overview**

A Manager rejects an employee access request. This scenario describes the conditions and considerations for rejecting an employee access request.

#### **Scenario Outputs**

An employee access request can be rejected by a BAM or PAM of the employer's business account. A justification must be provided in the comments of the rejection notice.

The Unassociated User can view and acknowledge the rejected request and its comment. The rejected request must be cancelled by the Unassociated User before a new access request can be sent.

### *Scenario 3.3.6: List Employees and Employee Details*

#### **Scenario Overview**

The Manager of a business or program account can view a list of all the employees associated to their employer's business account to manage employee access and to review pending access requests. This scenario describes the conditions and considerations for a Manager to list employees and employee details for a business account via the CCP.

#### **Scenario Outputs**

*Note:* Only the BAM and PAM of a business account can view and maintain employees' access details. Additional considerations apply to updating and removing users.

Employees are maintained through the *Manage My Employees* webpage on the CCP. The BAM and PAM of a business account can navigate to the *Manage My Employees* webpage to perform the following actions;

- View the access details of users;
- View pending access requests;
- Approve or reject employee access requests;
- Assign user roles;
- Edit user access; or
- Remove user access (BAM only).

■ Information on how to edit or remove user access can be found in Section 3.3: *DOA for Clients* Sub-section *Manage Employee Access*.

Viewing the details of an employee shows both the specific roles that the user has for any account and for Service Providers, any association the user has to Client Group(s).

### *Scenario 3.3.7: Assign User Role to Employee*

#### **Scenario Overview**

A BAM or a PAM for a business account needs to assign a user role to an employee. This scenario describes the conditions and considerations for assigning a user role to an employee via the CCP.

■ Information on user roles can be found in the User Roles subsection in Section 3.2: *DOA Concepts*.

*Note:* All employees are assigned a user role when their access request is approved.

#### **Scenario Outputs**

A user that has BAM or PAM access to the business account follows these steps via the CCP to assign a user role to an employee;

1. Select one or more employees that will have the same user role across business programs.
2. Select if the role is to be applied to all programs or selected programs for the business account.
3. Select the role to assign to the employee(s).

## Manage Employee Access

Authorized users from an organization can manage employee user roles after an employee relationship has been established. The user has the ability to update employee user roles and to remove user access to business or program accounts.

This sub-section includes the following scenarios;

- Scenario 3.3.8: *Update Employee User Role*
- Scenario 3.3.9: *Remove Employee User Role*

### *Scenario 3.3.8: Update Employee User Role*

#### Scenario Overview

A BAM or a PAM for a business account needs to update a user role of an employee. This scenario describes the conditions and considerations for updating a user role of an employee via the CCP.

#### Scenario Outputs

*Note:* Only the BAM and PAM of a business account can update user roles.

■ Information on user roles can be found in the User Roles subsection in Section 3.2: *DOA Concepts*.

A user that has BAM or PAM access to the business account follows these steps via the CCP to update a user role;

1. Select one or more employees that will have the same user role across business programs.
2. Select which business to make the change (i.e. for their employer's account or for their client's account).
3. Select if the role is to be applied to all programs or selected programs for the business account.
4. Select the new role to assign to the employee(s).

The following considerations apply for updating user roles;

- To edit an employee's details, the user must have at least the same hierarchy of user role. For example;
  - Only a BAM can edit another BAM;
  - A BAM can edit any employee's access details;
  - A PAM can't edit the access of a BAM; and
  - A PAM can edit the access of any PAM, Editor, and Reader employee.
- Users can't edit their own access details.
- A BAM can edit the access of any employee against any of its employer's program accounts and all its Clients' business accounts.
- A PAM can only edit the access for their delegated employer's program account.

### *Scenario 3.3.9: Remove Employee User Role*

#### Scenario Overview

A BAM for a business account needs to remove a user from a business account, or a BAM or PAM for a program account needs to remove a user from a program account. This scenario describes the conditions and considerations for removing a user via the CCP.

## Scenario Outputs

**Note:** Only the BAM can remove users of a business account. The BAM or PAM can remove users of a program account.

Removing an employee completely revokes all access to the employer's business account and to its business relationships.

The following considerations apply for removing users;

- Only a BAM can remove an employee's access to their employer.
  - Removing an employee cannot be undone.
  - If the removed user is approved back for the same business account after they are removed, all their previous access details will not be restored.
- Both a BAM and a PAM can remove the access of an employee to a specific employer program account.
- The user cannot remove their own access.

## Grant Business Relationships

Business relationships are established between a Service Provider and their Client(s). A Client (e.g. Importer) can delegate access to the Service Provider (e.g. Customs Broker or Trade Consultant) for them to act on their behalf and manage their account(s) within the CBSA by establishing a relationship.

■ Information on business relationships can be found in the Business Relationships subsection in Section 3.2: *DOA Concepts*.

Service Providers can be granted access to a Client's business or program accounts to act on the Client's behalf. This is the first step in creating a business relationship between a Client and a Service Provider and must be completed before a Service Provider can act on behalf of a Client.

For a Client to grant access to a Service Provider, the Service Provider must first submit a business relationship request.

This sub-section includes the following scenarios;

- Scenario 3.3.10: *Manage Business Relationships*
- Scenario 3.3.11: *List Relationships and Relationship Details*
- Scenario 3.3.12: *Pending Business Relationship Request*
- Scenario 3.3.13: *Approve Business Relationship Request*
- Scenario 3.3.14: *Rejected Business Relationship Request*

### Scenario 3.3.10: Manage Business Relationships

#### Scenario Overview

The Service Provider and Client need to create and manage a business relationship in the CCP either by approving, rejecting, updating, or expiring a Service Provider's access. This scenario provides a high-level overview of how Clients and Service Providers can initiate and manage a business relationship and describes the associated resources that should be referenced for more information.

■ Information on user roles, permissions, employee relationships, business relationships, and visibility attributes that are referenced in this scenario can be found in Section 3.2: *DOA Concepts*.

#### Pre-requisites

- The Service Provider and Client have both completed portal registration.

■ Information on portal registration can be found in Section 2.2: *Complete Portal Setup*.

#### Process

The following diagram (Figure 3.3.2) provides high-level context for the process by which a Service Provider and Client manage a business relationship via the CCP.

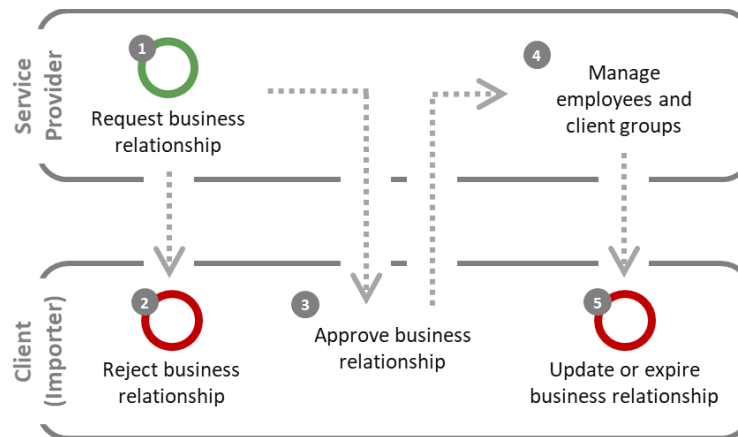


Figure 3.3.2: Process steps for managing a business relationship between a Service Provider and a Client via the CCP.

Step	Business Role	Description
1	Service Provider	<p><b>Request business relationship</b></p> <p>The Service Provider requests a business relationship with a Client via the CCP. The Client receives a notification that a new business relationship request was received.</p> <p>If the Client rejects the request for a business relationship, proceed to Step 2.</p> <p>If the Client accepts the request for a business relationship, proceed to Step 3.</p>
2	Client (Importer)	<p><b>Reject business relationship</b></p>

■ Information on how Service Providers can request relationships can be found Section 3.4: *DOA for Service Providers Sub-section Request Business Relationships*.

Step	Business Role	Description
		The business relationship is rejected by the Client and the Service Provider is notified via the CCP that their relationship request was rejected. The process ends.
3	Client (Importer)	<p><b>Approve business relationship</b> The business relationship is accepted by the Client and the Client sets the conditions of the relationship in the CCP. The Service Provider is notified via the CCP that their relationship request was accepted.</p> <p><i>Note:</i> When approving a relationship request, the Client must choose the Access Type and the Visibility Attributes of the Service Provider.</p>
4	Service Provider	<p><b>Manage employees and Client Groups</b> The Service Provider assigns user roles to the employees within its organization or manages the Client in a Client Group.</p> <p>The Service Provider can alter employees and group assignments as a part of normal business operations or due to changes in Client relationships.</p> <p>■ Information on how Service Providers can Create and Manage Client Groups can be found in Section 3.4: DOA for Service Providers Sub-sections <i>Create Client Groups</i> and <i>Manage Client Groups</i>.</p>
5	Client (Importer)	<p><b>Update or expire business relationship</b> After a business relationship is accepted, the Client can update or expire the business relationship. The Client can maintain the access, visibility attributes, and expiry date of the business relationship.</p> <p>■ Information on how Clients update or expire business relationship can be found in Section 3.3: DOA for Clients Sub-section <i>Manage Business Relationships</i>.</p>

### Scenario Outputs

- A business relationship is rejected, a business relationship is accepted, a business relationship is updated, or a business relationship is expired.

### Scenario 3.3.11: List Relationships and Relationship Details

#### Scenario Overview

The Client views all relationships and relationship requests. This scenario describes the conditions and considerations for listing relationships and relationship details via the CCP.

#### Scenario Outputs

*Note:* Only the BAM of a business account can view and maintain relationship details. Additional considerations apply to updating and expiring relationships.

Business relationships are viewed through the *Manage Business Relationships* webpage on the CCP. The BAM and PAM of a business account can navigate to the *Manage Business Relationships* webpage to list the active and inactive business relationships. Clients in business relationships can also view any received relationship requests. Service Providers can view any sent requests.

Viewing the details of a relationship shows both the Access Type and Visibility Attributes of the relationship and for Service Providers, any association the Client has to Client Group(s).

### ***Scenario 3.3.12: Pending Business Relationship Request***

#### **Scenario Overview**

A Service Provider submitted a business relationship request and the request is pending a Client decision. This scenario describes the conditions and considerations for pending business relationship requests.

#### **Scenario Outputs**

The following considerations apply for pending business relationship requests;

- A request remains in a pending state until the Client either approves or rejects it.
- A request can be cancelled at any time when it's in a pending status.
- Only the BAM or the PAM of the Service Provider can cancel the request.

### ***Scenario 3.3.13: Approve Business Relationship Request***

#### **Scenario Overview**

A Client needs to approve a Service Provider's business relationship request. This scenario describes the conditions and considerations for approving business relationship requests via the CCP.

#### **Scenario Outputs**

An approved business relationship automatically grants a Service Provider access to the delegated Client.

A BAM of the Client follows these steps via the CCP to approve a business relationship request;

1. Review the information of a business relationship request and either approve or reject the request.
2. If the request is approved, the BAM chooses the Access Type and the Visibility Attributes of the Service Provider.

■ Information on Access Types and Visibility Attributes can be found in the *Business Relationships and Visibility Attributes* sub-sections of Section 3.2: *DOA Concepts*.

### ***Scenario 3.3.14: Rejected Business Relationship Request***

#### **Scenario Overview**

A Client needs to reject a Service Provider's business relationship request. This scenario describes the conditions and considerations for rejected business relationship requests.

#### **Scenario Outputs**

A business relationship can be rejected only by a BAM of the Client. A justification must be provided in the comments of the rejection notice.

The BAM of the Service Provider can view and acknowledge the rejected request and its comment. The rejected request must be cancelled by the Service Provider before a new request can be sent to the same Client.

## Manage Business Relationships

Managing business relationships entails how users can manage the business relationship between two legal entities. By managing the relationship, the Client can update the access the Service Provider has to their accounts and what information the Service Provider can see. The Client can also end business relationships so that their Service Provider no longer acts on their behalf.

Authorized Client users can manage business relationships after a relationship has been established. The user has the ability to update Access Type and Visibility Attributes, and to expire the business relationship.

This sub-section includes the following scenarios;

- Scenario 3.3.15: *Update Business Relationship*
- Scenario 3.3.16: *Expire Business Relationship*

### *Scenario 3.3.15: Update Business Relationship*

#### Scenario Overview

A Client needs to update their relationship with a Service Provider. This scenario describes the conditions and considerations for updating business relationships via the CCP.

#### Scenario Outputs

*Note:* Only the BAM of the Client can update the business relationship.

The BAM of the Client can maintain the access, visibility attributes, and expiry date of the business relationship.

The BAM of the Client can also update the Access Type of an active business relationship. However, these Access Type updates can have downstream impacts on the Service Providers. These impacts and results can occur;

- If a Client upgrades a relationship to business management;
  - All the BAMs of the Service Providers that have been acting as pPAMs, are promoted to pBAMs.
  - All the employees associated to a Client Group containing the updated Client automatically gain access to all the programs per their group role.
- If a Client downgrades a relationship to program management;
  - All the pBAMs of the Service Provider are demoted to pPAMs.
- If a Client removes a program account from a business relationship;
  - All Service Provider employees lose access to the removed program(s).
- An active business management relationship must always have at least one (1) program account, otherwise the Client should expire the relationship.

■ A business relationship can be downgraded to program management to allow for the removal of access for one or multiple program accounts.

The BAM of the Client can always update the Visibility Attributes and expiry date of an active business relationship. By default, a business relationship does not have an expiry date. The expiry date can only be set for a future date and takes effect at the start of the selected date.

### *Scenario 3.3.16: Expire Business Relationship*

#### Scenario Overview



A Client needs to expire their relationship with a Service Provider. This scenario describes the conditions and considerations for expiring business relationships via the CCP.

### Scenario Outputs

*Note:* Only the BAM of the Client can expire the business relationship.

When expiring a business relationship, the expiry date can only be set for a future date. The expiration of the business relationship takes effect at the start of the selected expiry date.

The following considerations apply for expiring business relationships;

- All employees including the BAM of the Service Provider lose all access to the Client's program accounts.
- Visibility Attributes are automatically removed.
- A business relationship can be re-established between the Service Provider and Client, but re-establishing a business relationship after it is expired will **not**;
  - Retrieve the previous configuration (Access Type and Visibility Attributes) of the relationship.
  - Retrieve the user roles and Client Group structure the Service Provider had for the Client.

## 3.4 DOA FOR SERVICE PROVIDERS

Delegation of Authority for Service Providers outlines how Service Providers can grant their employees initial access to accounts, manage their employees' access, request new business relationships, manage existing business relationships, create Client Groups, and manage Client Groups.

The DOA for Service Providers section includes six (6) subsections;

- Sub-section *Grant Employee Access* which describes the steps and considerations for an organization and their employees to establish a new employee relationship.
- Sub-section *Manage Employee Access* which describes the steps and considerations for an organization to manage their employee relationships.
- Sub-section *Request Business Relationships* which describes the steps and considerations for a Service Provider to request a new business relationship with a Client.
- Sub-section *Manage Business Relationships* which describes the steps and considerations for managing a business relationships between a Service Provider and a Client.
- Sub-section *Create Client Groups* which describes the steps and considerations for a Service Provider to create and assign employees to Client Groups.
- Sub-section *Manage Client Groups* which describes the steps and considerations for a Service Provider when the Service Provider updates or deletes Client Groups or when updates occur due to changes made to a business relationship for a Client within the Client Group.

## Grant Employee Access

Employees within an organization can be granted access to act on behalf of the business or program account(s). This is the first step in creating an employee relationship between a user and a business and must be completed before an employee can act on behalf of an account.

Service Providers follow the same steps and considerations as Clients when granting initial access for their employees to act on behalf of their accounts.

However, Service Provider users do not automatically gain access to Client accounts. This can be done either by assigning an employee to a specific Client or by assigning the employee to a Client Group for bulk access management.

Information on assigning an employee to a specific Client is described in Scenario 3.4.1: *Assign Employee to Client* of this sub-section.

### *Scenario 3.4.1: Assign Employee to Client*

#### Scenario Overview

A Service Provider needs to assign an employee to a specific client. This scenario describes the conditions and considerations for Service Providers to grant employee access to a Client via the CCP.

#### Scenario Outputs

The following considerations apply for assigning an employee to a specific Client;

- Giving access to a Service Provider employee for a Client business account is done the same way as for a program under the employer's own business account.
- Only a BAM or PAM can assign employees to Clients, and the BAM or PAM must also be a pBAM or pPAM for the Client. The following implications apply;
  - A Service Provider BAM automatically has access to all Client business accounts based on the applicable Third Party user role (i.e. pBAM for a business management relationship or pPAM for a program management relationship).
  - A Service Provider PAM must be assigned as either a pBAM or pPAM against each Client to assign a user role to an employee against a Client's account. Otherwise, a Service Provider PAM that is not a pBAM or pPAM can only delegate access for the program accounts where they act as PAM.
  - Service Provider employees acting as an Editor or Reader, even with a pBAM or pPAM user role, are not able to manage the access of its Service Provider employees to a Client business account because they do not have the BAM or PAM access that is required for employee management webpages.

*Note:* This role can be overwritten for any Client program account when a user's access is updated for a Client Group. The user role that takes effect against a Client program account is always the last one that was updated.

■ Information on employee relationships can be found in the Employee Relationships subsection in Section 3.2: *DOA Concepts*.

■ Information on granting employee access can be found in Section 3.3: *DOA for Clients* subsection *Grant Employee Access*.

■ Information on Client Groups can be found in Section 3.2: *DOA Concepts*.

■ Information on how to assign an employee to a Client Group can be found Section 3.4: *DOA for Service Providers* sub-section *Create Client Groups*.

## Manage Employee Access

Authorized users from an organization can manage employee user roles after an employee relationship has been established. Service Providers follow the same steps and considerations as Clients when managing employee access for employees acting on behalf of the Service Providers.

Service Providers also have the ability to update employee user roles and to remove user access to business or program accounts. These functionalities are described in the following scenarios;

- Scenario 3.4.2: *Update Employee User Role*
- Scenario 3.4.3: *Remove Employee User Role*

Service Providers can furthermore manage employee access to Clients in bulk through the Client Group functionality.

### *Scenario 3.4.2: Update Employee User Role*

#### Scenario Overview

A Service Provider needs to update access of an employee to a Client. This scenario describes the conditions and considerations for Service Providers to update employee access to a Client via the CCP.

#### Scenario Outputs

- To delegate access to a Client, assuming the business relationship is active, the Service Provider BAM or PAM must also be a pBAM or pPAM for the Client. This implies the following:
  - A Service Provider PAM must also be assigned as either a pBAM or pPAM against a Client to also be able to delegate access of an employee to its Client's account. Otherwise, a Service Provider PAM that is not a pBAM or pPAM can only delegate access for the program accounts where they act as PAM.
  - A Service Provider BAM automatically has access to all Client business accounts. This is because they have the higher Third Party user role eligibility (i.e. pBAM or pPAM).
  - For any Service Provider employee acting as an Editor or Reader that does not have a pBAM or pPAM user role, they will not be able to manage the access of Service Provider employees to a Client business account as they lack the employee role of BAM or PAM to access the required employee management web pages.

### *Scenario 3.4.3: Remove Employee User Role*

#### Scenario Overview

A Service Provider needs to remove employee access from a specific Client. This scenario describes the conditions and considerations for Service Providers to remove employee access to a Client via the CCP.

#### Scenario Outputs

The following considerations apply for removing the access of an employee to a Client;

■ Information on managing employee access can be found in Section 3.4: *DOA for Service Providers* sub-section *Manage Employee Access*.

■ Information on user roles can be found in the User Roles subsection in Section 3.2: *DOA Concepts*.

■ Information on how to assign an employee to a Client Group can be found Section 3.4: *DOA for Service Providers* sub-section *Manage Client Groups*.

■ Information on assigning employees to Clients can be found in Section 3.4.1: *Assign Employee to Client*.

- Removing access of an employee from a Client is executed in the same way as assigning an employee to a Client, except the role of the user is changed to 'No access'.

## Request Business Relationships

Business relationships are established between a Service Provider and their Client(s). Service Providers can be granted access to a Client's business or program accounts to act on the Client's behalf. This is the first step that must be completed before a Service Provider can act on behalf of a Client.

For a Client to grant access to a Service Provider, the Service Provider must first submit a relationship request. An authorized user for the Client can then approve the request and assign an Access Type and Visibility Attributes to the Service Provider, or reject the request.

■ Information on business relationships, Access Types, and Visibility Attributes can be found in the Business Relationships and Visibility Attributes subsections in Section 3.2: *DOA Concepts*.

This sub-section includes the following scenarios;

- Scenario 3.4.4: *List Relationships and Relationship Details*
- Scenario 3.4.5: *Request New Business Relationship*
- Scenario 3.4.6: *Pending Business Relationship Request*
- Scenario 3.4.7: *Approved Business Relationship Request*
- Scenario 3.4.8: *Rejected Business Relationship Request*

### *Scenario 3.4.4: List Relationships and Relationship Details*

#### Scenario Overview

The Service Provider can view all existing relationships and relationship requests. This scenario describes the conditions and considerations for listing relationships and relationship details via the CCP.

#### Scenario Outputs

*Note:* Only the BAM and PAM of a business account can view and maintain relationship details. Additional considerations apply to updating and expiring relationships.

Business relationships can be viewed through the *Manage Business Relationships* webpage on the CCP. The BAM and PAM of a business account can navigate to the *Manage Business Relationships* webpage to list the available business relationships and pending relationship requests.

Viewing the details of a relationship shows both the Access Type and Visibility Attributes of the relationship for Service Providers, and any association the Client has to Client Group(s).

### *Scenario 3.4.5: Request New Business Relationship*

#### Scenario Overview

A Service Provider needs to request a new business relationship with a Client. This scenario describes the conditions and considerations for a Service Provider to request a business relationship with a Client via the CCP.

#### Scenario Outputs

**Note:** Only a BAM or PAM of the Service Provider can submit a business relationship request. It is also expected that the Service Provider and Client have agreed to the relationship through processes external to the CCP.

To establish a business relationship between a Service Provider and a Client on the CCP, the Service Provider must first submit a business relationship request.

A BAM or a PAM of the Service Provider follows these steps via the CCP to submit a business relationship request;

1. Search for a valid and registered Client's 9-digit Business Number (BN9).
2. Provide a meaningful comment justifying the request to help the managers of the business account assess if the Service Provider should be granted access or not and the level of access the Service Provider needs.
3. Submit the request.

The following considerations apply for Service Providers requesting a business relationship with a Client;

- A request can only be created by a BAM or a PAM of a Service Provider.
- A request can only be sent to a Client with a registered business account.
- Only one (1) pending or rejected business relationship request can exist for a Client account from a specific Service Provider, thus:
  - A request can't be created for a Client that already is in an active business relationship with the requesting Service Provider; and
  - A rejected request must be cancelled before a new request can be sent for the same Client.

The Client then renders a decision on the relationship request which determines if the business relationship will be established. The request remains pending until the Client approves or rejects the relationship request.

### ***Scenario 3.4.6: Pending Business Relationship Request***

#### **Scenario Overview**

A Service Provider submitted a business relationship request and the request is pending a Client decision. This scenario describes the conditions and considerations for pending business relationship requests.

#### **Scenario Outputs**

The following considerations apply for pending business relationship requests;

- A request remains in a pending state until the Client either approves or rejects it.
- A request can be cancelled at any time when it's in a pending status.
- Only the BAM or the PAM of the Service Provider can cancel the request.

### ***Scenario 3.4.7: Approved Business Relationship Request***

#### **Scenario Overview**

A Service Provider's business relationship is approved by the Client. This scenario describes the conditions and considerations for approved business relationship requests.

#### **Scenario Outputs**

An approved business relationship automatically grants access to the delegated Client account(s) for all the BAMs and the requester (e.g. if a PAM submitted the request) of the Service Provider.

If the Client approves a business management relationship, all the BAMs and the requester of the Service Provider are automatically assigned as pBAMs for the Client.

If the Client approves a program management relationship, all the BAMs and the requester of the Service Provider are automatically assigned as pPAMs for the delegated Client program account(s).

### ***Scenario 3.4.8: Rejected Business Relationship Request***

#### **Scenario Overview**

A Service Provider's business relationship request is rejected by the Client. This scenario describes the conditions and considerations for rejected business relationship requests.

#### **Scenario Outputs**

A business relationship can be rejected only by a BAM of the Client. A justification must be provided in the comments of the rejection notice.

The BAM and the requester of the Service Provider can view and acknowledge the rejected request and its comment. The rejected request must be cancelled by the Service Provider before a new request can be sent to the same Client.

## **Manage Business Relationships**

Managing business relationships entails how users can manage the business relationship between two legal entities. Managing business relationships can only be completed by the Client, thus the Service Provider and Client must communicate outside of CARM in regards to making changes to their existing business relationship.

■ Information on how Service Provider access can be impacted by updated or expired business relationships can be found in Section 3.3: *DOA for Clients* subsection *Manage Business Relationships*.

When managing the business relationship, the Client can update the access the Service Provider has to their accounts and what information the Service Provider can see (i.e. update Access Type and Visibility Attributes). The Client can also end business relationships so that their Service Provider no longer acts on their behalf (i.e. expire the business relationship).

## **Create Client Groups**

Employees and Clients of a Service Provider can be added to a Client Group to automatically assign Clients to employees and enable the employees to automatically have pre-defined user roles. This enables Service Providers to deliver user access en masse to a large set of Clients.

■ Information on Client Groups can be found in the Client Groups subsection in Section 3.2: *DOA Concepts*.

Service Providers can begin using Client Groups by accessing the Client Group list, creating a new Client Group, and assigning employees to the Client Group.

This sub-section includes the following scenarios;

- Scenario 3.4.9: *Understanding Client Groups*
- Scenario 3.4.10: *List Client Groups*
- Scenario 3.4.11: *Create Client Group*
- Scenario 3.4.12: *Assign Employees to Client Group*

### *Scenario 3.4.9: Understanding Client Groups*

#### **Scenario Overview**

The Service Provider can manage a Client Group in the CCP by creating a Client Group, adding Clients to the Group, adding employees to the Group, or making updates to the Client Group. This scenario describes the conditions and considerations for managing Client Groups via the CCP.

#### **Pre-requisites**

- The Service Provider and Clients to be added to the Client Group have established business relationships via the CCP.
- The Service Provider has approved access for its employees.

#### **Process**

The following diagram (Figure 3.7.1) provides high-level context for the process by which a Service Provider manages Clients and employees in Client Groups via the CCP.

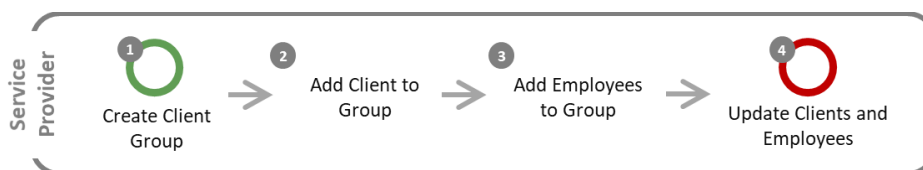


Figure 3.4.1: Process steps for managing Client Groups via the CCP.

Step	Business Role	Description
1	Service Provider	<b>Create Client Group</b> Once a business relationship has been established between the Service Provider and the Client, the Service Provider creates a new Client Group via the CCP. <div> <span>■</span> Information on initiating a business relationship can be found in Section <i>Request Business Relationships</i>.                 </div>
2	Service Provider	<b>Add Client to Group</b> The Service Provider adds the Clients with existing business relationships to the Client Group.
3	Service Provider	<b>Add Employees to Group</b>

Step	Business Role	Description
		The Service Provider adds their employees and their roles to the Client Group. Once the employees are added to the Group, they can begin viewing or acting on behalf of the Clients in the Group.
4	Service Provider	<p><b>Update Clients and Employees</b></p> <p>The Service Provider can make the following updates to the Client Group after the group has been created;</p> <ul style="list-style-type: none"> <li>• Update the membership of Clients in the Group.</li> <li>• Update employees assigned to the Client Group.</li> <li>• Delete the Client Group.</li> </ul> <p>Clients in a Client Group can still alter or expire a business relationship. This automatically updates the relationship within the Client Group.</p>

### Scenario Outputs

- A Client Group is created, Clients are added to the Group, employees are added to the Group, or the Client Group is updated.

### Scenario 3.4.10: List Client Groups

#### Scenario Overview

The Service Provider needs to list all existing Client Groups to view or maintain Groups. This scenario describes the conditions and considerations for listing Client Groups via the CCP.

#### Scenario Outputs

*Note:* Only the BAM of the Service Provider can view and maintain the Client Groups. Additional considerations apply to updating and deleting Client Groups.

Client Groups are maintained through the *Manage Client Group* webpage on the CCP. The BAM of the Service Provider can navigate to the *Manage Client Group* webpage to perform the following actions;

- View the list of all created Client Groups;
- Manage employee assignments to Client Group(s); and
- Manage Client Groups that have updates processing.

■ Information on managing Client Groups can be found in Section 3.4: *DOA for Service Providers* sub-section *Manage Client Groups*.

*Note:* Viewing the details of an employee displays any associations the employee has to a Client Group in addition to specific roles the user has for any program accounts.

### Scenario 3.4.11: Create Client Group

#### Scenario Overview

The Service Provider needs to create a new Client Group. This scenario describes the conditions and considerations for creating Client Groups via the CCP.



## Scenario Outputs

*Note:* Only the BAM of the Service Provider can create new Client Groups.

By creating a Client Group, the Service Provider can manage the access of multiple employees for many Client accounts.

A Service Provider BAM follows these steps via the CCP to create a new Client Group;

1. Input a Client Group name.
2. Select at least one (1) available Client to be added to the Client Group. To be an available Client, the Client business account must;
  - a. Not be associated to a Client Group by the Service Provider; and
  - b. Be in an active business relationship.

The following considerations apply for creating new Client Groups;

- A Client Group must have at least one Client.
- Each new Client Group must have a name, and the name must not be of an active or previously deleted Group.
- There is no limit to the number of Groups that a Service Provider creates.
- There are no restrictions on the maximum number of Client business accounts that can be included within the same Client Group.
- A Client business account can be associated to multiple Client Groups across multiple Service Providers, but cannot be associated to more than one Client Group within one Service Provider.

### *Scenario 3.4.12: Assign Employees to Client Group*

## Scenario Overview

The Service Provider needs to assign an employee to a Client Group. This scenario describes the conditions and considerations for assigning employees to Client Groups via the CCP.

## Scenario Outputs

*Note:* Only PAM, Editor, or Reader Service Provider employees can be assigned to a Client Group. This is because Service Provider BAMs already have access to all Client business accounts.

When assigning employees to a Client Group, the access of the selected employees is automatically set to the chosen Group user role for all the Client's program accounts.

The following considerations apply when assigning employees to Client Groups;

- PAMs, Editors, and Readers can be assigned to as many Client Groups as needed.
- Updating the role of an employee against a Client Group refreshes the user role for all the program account(s) associated to the Clients within the group.
- The assigned role can be overwritten for specific Client program accounts when an employee's access is updated for a specific Client. The updated user role that takes effect against a Client's program account is always the last one that was updated.

■ Information on configuring employee access can be found in Section 3.4: *DOA for Service Providers* sub-section *Grant Employee Access*.

## Manage Client Groups

Managing Client Groups entails how Service Providers make and monitor changes to their Client Groups. When managing Client Groups, the Service Provider can update the access of their employees for the Client Group, update which Clients are in the Client Group, view updates that are being processed for the Client Groups, delete Client Groups, and understand implications to their Client Groups when Clients update any relevant business relationships.

This sub-section includes the following scenarios;

- Scenario 3.4.13: *Update Client Group*
- Scenario 3.4.14: *Delete Client Group*
- Scenario 3.4.15: *Processing Update Requests for Client Groups*
- Scenario 3.4.16: *Client Updates or Expires Business Relationship in Client Group*

### *Scenario 3.4.13: Update Client Group*

#### **Scenario Overview**

The Service Provider needs to update the Client Group. This scenario describes the conditions and considerations for updating Client Groups via the CCP.

#### **Scenario Outputs**

*Note:* Only the BAM of the Service Provider can update Client Groups.

The BAM of the Service Provider can make changes to the name and composition of the Client Group via the same CCP webpage as creating a new Client Group.

Updating a Client Group can create large downstream impacts on the access of employees associated with the Group. The following considerations apply for updating Client Groups;

- When removing Clients from an existing Group, employee access associated with that Client's business account is removed (except for Business Account Managers). This action cannot be undone.
- When adding Clients to an existing Group, employees associated with the group are automatically given access to the Client accounts based on the default roles that were assigned for the Client Group. The BAM can subsequently update the user role of the employees against the Client Group or the BAM can override the user's group role by managing the employees' access for a specific business and program account in the *Manage My Employees* webpage.

■ Information on configuring employee access can be found in Section 3.4: *DOA for Service Providers* sub-section *Manage Employee Access*.

### *Scenario 3.4.14: Delete Client Group*

#### **Scenario Overview**

The Service Provider needs to delete a Client Group. This scenario describes the conditions and considerations for deleting Client Groups via the CCP.

#### **Scenario Outputs**

*Note:* Only the BAM of the Service Provider can delete a Client Group.

Deleting a Client Group removes the association of the Service Provider employees and Clients from the Group. This means that all the employees that were associated with the Client Group are impacted the same way as when a Client is removed from a group. In other words, employees, excluding those with BAM roles, lose their access for all the Client program account(s) of the deleted group.

Once a Client Group is deleted, the Client(s) become available and can be associated with a new or existing Client Group.

The following considerations apply for deleting Client Groups;

- Deleting a Client Group is not an action that can be undone.
- Deleting a Client Group has no impact on the Service Provider BAMs.

### *Scenario 3.4.15: Processing Update Requests for Client Groups*

#### **Scenario Overview**

Updates to large Client Groups, such as those with thousands of Client program accounts, may require the processing of a large number of system operations in order to complete the update of Service Provider employee user roles. As a result, changes may not be automatically implemented or need to be completed via an offline CARM process.

The Service Provider needs to monitor the progress of update(s) to a large Client Group. This scenario describes the conditions and considerations for monitoring Client Group updates via the CCP.

#### **Scenario Outputs**

*Note:* Only the BAM of the Service Provider can monitor progress on update(s) to a Client Group.

The process request table allows the BAM of the Service Provider to monitor if any operations may be pending, completed, or failed. This process request table contains fields such as the following that help inform the BAM on the status of the update(s).

- **System ID** uniquely identifies each system operation triggered by a change against a Client Group. This provide a reference for technical support troubleshooting in case of any errors.
- **Operation Type** describes the operation or update requested to the system.
- **Group Name** identifies which Client Group is impacted by the operation.
- **Initiator** identifies which user triggered the operation.
- **Status** identifies which stage the operation is on.
- **Requested On** tracks when the operation was initiated (i.e. date and time).

### *Scenario 3.4.16: Client Updates or Expires Business Relationship in Client Group*

#### **Scenario Overview**

The Client in a Service Provider's Client Group updates or expires the business relationship. This scenario describes the conditions and considerations for updated or expired business relationships in the context of Client Groups.

### Scenario Outputs

If a Client in a Service Provider's Client Group updates parameters or expires a business relationship with the Service Provider, the changes to the relationship are automatically applied as defined by the permissions, Access Types, and Visibility Attributes of the modified relationship.

■ Information on permissions, Access Types, and Visibility Attributes can be found in Section 3.2: *DOA Concepts*.

The following additional considerations also apply for these updated or expired relationships;

- If a new program account is added to the relationship, the employees associated to the Client Group gains access to the added program account with the group role they were each assigned.
- If the relationship expires, the Client is automatically removed from the Client Group.

## 4.0 Billing

### 4.1 OVERVIEW

The CARM Billing functionality provides TCPs with the ability to view and manage financials in real time and electronically receive billing documents via the CCP. This section details how TCPs can use the billing function in CARM to access and manage their transactions and billing documents, including statements, invoices, and receipts. It also provides context on the billing cycles to help TCPs understand their obligations for making payments and managing their accounts receivable.

■ Legislation, regulations, policies, and procedures the CBSA uses to administer each type of billing document can be found in [Customs Notice 16-01 \[Replacement of Implementation of ARL\]](#).

*Note:* Only existing Importers, Exporters, Customs Brokers, and Trade Consultants with a valid BN9 and RM can access billing functionality via the CCP during Release 1. New TCPs who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CRA as one of the above TCP types to enable access to CARM functionality.

Billing under CARM Release 1 is comprised of four (4) functionalities which are covered in the sections described below;

- Section 4.2: *Manual Billing* includes information related to manually generated bills (i.e. K23s and K9s) and invoices that are posted to TCP accounts when TCPs transact with the CBSA on an ad-hoc basis.
- Section 4.3: *Transaction History* includes information related to viewing and managing trade transactions, account balances, and receipts in real time via the CCP.
- Section 4.4: *Statements* includes information related to automatically generated statements delivered via the CCP (i.e. SOAs and CBSSs) and statements delivered via EDI (i.e. SOAs, DNs, and CBSSs) on a regular basis.
- Section 4.5: *Billing Cycle* includes information regarding the timelines for which billing, accounting, and payments occur.

### 4.2 MANUAL BILLING

Manual bills are generated by the CBSA and are generated for all fees and charges to a TCP's account when TCPs transact with the CBSA on an ad-hoc basis. These bills can include;

- Miscellaneous invoices (K23s) and its respective subtypes.
- Ascertained forfeitures (K9s) and its respective subtypes.

Manual bills are reflected on the TCP's transaction history page and reflected on summary statements (i.e. SOAs, DNs, and CBSSs) even if the amount due has been paid during the applicable summary statement period. Miscellaneous invoices (i.e. K23s) can be downloaded via the invoices page as a PDF document for use outside of CARM.

■ **K23s** are issued by the CBSA for any monies owing.

■ **K9s** are monetary penalties issued when the CBSA believes that goods have been imported into Canada illegally (or without reporting the goods) and is issued when the goods cannot be seized.

■ Information on how to view the transaction history can be found in Section 4.3: *Transaction History*.

*Note:* K9s only apply to Importers. This invoice type will not appear on transaction histories for other TCP types. Customs Brokers who wish to see an Importer's K9 must obtain the appropriate Delegation of Authority.

This section details how the invoices are created and posted to the TCP's account. It describes the following invoice scenario:

- Scenario 4.2.1: *Process and Access Manual Bills*

### Scenario 4.2.1: Process and Access Manual Bills

#### Scenario Overview

This scenario describes the steps and conditions for how manual bills are created then posted to an account for the TCP to access via the CCP or sent to the TCP via EDI. It also includes information on how TCPs can access K23 invoices via the CCP. The process is initiated when the CBSA identifies the need to issue a manual bill to a TCP. Manual bills in the context of this scenario include K23s, K9s, and all respective sub-types.

#### Pre-requisites

- TCP's account details, dates, amounts, and all other parameters required to issue a K23 or K9 are available.
- If the user is accessing the bill via the CCP then they have registered for the CCP and have the appropriate access to view the bill.
- If the results of the bill are being delivered to a TCP via EDI then the TCP has a valid EDI connection with the CBSA to receive the information.

#### Process

The following diagram (Figure 4.2.1) provides high-level context for the process by which a manual bill is created and issued via CARM and accessed by TCPs via the CCP or EDI.

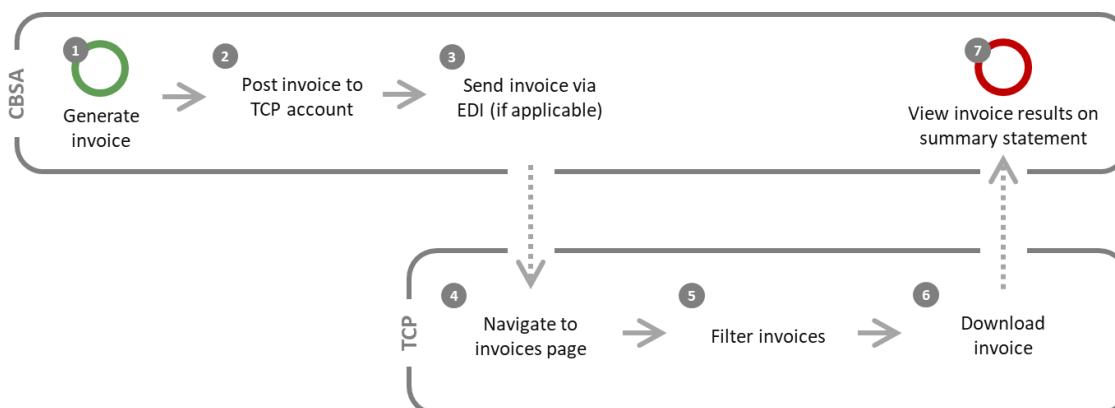


Figure 4.2.1: Process steps for issuing and accessing an invoice via CARM.

Step	Business Role	Description
1	CBSA	<b>Generate invoice</b> The CBSA can initiate the issuing of a manual bill when the need arises or when the TCP requests a service that results in a manual bill. An invoice is then generated for K23s based on available information.

Step	Business Role	Description
2	CBSA	<p><b>Post bill to TCP account</b></p> <p>The manual bill is posted to the TCP's account as a transaction. If the manual bill is associated with a K23, then the K23 invoice is also posted to the TCP's account.</p> <p>■ Information on permissions, Access Types, and Visibility Attributes can be found in Section 3.2: <i>DOA Concepts</i>.</p> <p>A notification is sent to the TCP's inbox to inform them that a posting was made to their account.</p> <p>The posting adds a debit or credit to the TCP's account. The result of the posting is also reflected in the TCP's transaction history and updates the account balance if applicable. The TCP can then view their transaction history for information about the posting.</p>
3	TCP	<p><b>Send invoice via EDI (if applicable)</b></p> <p>If the TCP received an invoice and has an EDI connection with the CBSA for CARM, they can also view the invoice in the most recent EDI transfer that occurs after the invoice was posted to their account.</p>
4	TCP	<p><b>Navigate to invoices page</b></p> <p>TCPs that received an invoice and are registered on the portal can access their invoices in real time by navigating to the invoices page on the CCP. This page displays the account's invoices in a list along with associated invoice numbers and posting dates. The invoices are also reflected on the TCP's transaction history page.</p>
5	TCP	<p><b>Filter invoices</b></p> <p>If the TCP received an invoice, the user has the option to display invoices based on available filter parameters. This presents the invoices based on the criteria entered by the user.</p>
6	TCP	<p><b>Download invoice</b></p> <p>TCPs that received an invoice can view the details of the invoice by downloading the invoice as a PDF document.</p>
7	TCP	<p><b>View invoice results on summary statement</b></p> <p>The results of the manual bill are reflected on the summary statement that is posted to the TCP's account. These statements can include SOAs, DNs, and CBSSs.</p> <p>■ Information on statements can be found in Section 4.4: <i>Statements</i>.</p>

### Scenario Outputs

- Manual bill is posted and invoice is generated.
- Transaction information is reflected in TCP's summary statement.

## 4.3 TRANSACTION HISTORY

The CCP enables authorized users to view and manage their transaction history in real-time.

TCPs can see transactions based on available filters and parameters, that allow TCPs to access data including but not limited to;

- Line item details for amounts owed occurring in a given time frame (such as miscellaneous invoices or any fees and penalties),
- New credits posted to the account (such as payments, credits due to amendments or interest credits, or any refunds), and
- Due date for the transaction, if applicable.

The user can also view the account balance in real time via the CCP. The account balance includes any amounts owed to or from the CBSA. TCPs can make a payment for any amounts owing directly via the page on which their account balance is displayed.

All or parts of the transaction data captured by the transaction history can be downloaded in real time using the reporting functionality.

This section details how TCPs can view their transaction history. It describes the following scenario:

- Scenario 4.3.1: *View Transaction History*

### *Scenario 4.3.1: View Transaction History*

#### Scenario Overview

CARM enables TCPs to access their transaction details online in real time. This scenario describes the steps and conditions for a TCP to view their transaction history via the CCP.

#### Pre-requisites

- The user has registered for the CCP.
- The account for which data is being accessed is a registered legal entity on the CCP and is enrolled in a program.
- The user has the appropriate access to the account for viewing transaction history.

#### Process

The following diagram (Figure 4.3.1) provides high-level context for the process by which a user views transaction history via the CCP.

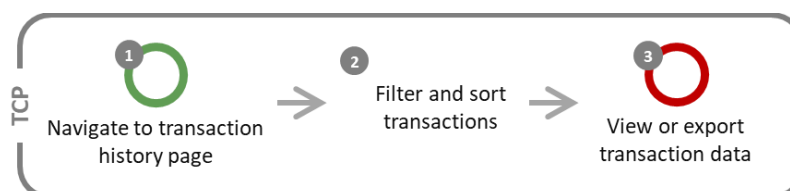


Figure 4.3.1: Process steps for viewing transaction history via the CCP.



Step	Business Role	Description
1	TCP	<p><b>Navigate to transaction history page</b></p> <p>The user navigates to the transaction history page on the CCP which by default displays the account's transactions in a list for the current billing period. The transactions reflect real-time information available for the TCP's account. Most recent transactions are also displayed on the account dashboard.</p> <p>The user can view receipt(s) available for transactions. The receipts are available through the transaction history page as PDF documents which can be downloaded and stored outside of CARM.</p>
2	TCP	<p><b>Filter and sort transactions</b></p> <p>The user has the option to display transactions based on available filter and search parameters. This presents the transactions based on the criteria entered by the user.</p>
3	TCP	<p><b>View or export transaction data</b></p> <p>The user can view or download all or parts of the transaction history based on any applicable filtering or sorting criteria.</p> <p>■ Information on how to download transaction data can be found in Section 8.0: <i>Reporting</i>.</p>

#### Scenario Outputs

- User views the transaction history, with the option to filter, sort, or export the transaction data.

## 4.4 STATEMENTS

Statements are generated automatically by the CBSA to summarize account activity on a regular basis. These statements can include;

- Statements of Account (SOA), delivered on the 25<sup>th</sup> day of each month.
- Daily Notice (DN), delivered daily.
- Customs Broker Summary Statement (CBSS), delivered on the 25<sup>th</sup> day of each month. The CBSS only applies to Customs Brokers. This statement will not appear on transaction histories for other TCP types.

In Release 1, SOAs and CBSSs are accessible via the CCP and are delivered via EDI to EDI-enabled TCPs. DNs are only delivered to TCPs via EDI and are not accessible via the CCP.

Statements are reflected on the TCP's transaction history page, and can be downloaded via the statements of account page as a PDF document for use outside of CARM.

■ **SOAs** summarize transactions for the statement period, including payments made, interest owing, credits on account, and disbursements issued. SOAs do not reflect line item details.

■ **DNs** reflect the transactions posted on the transaction date specified.

■ **CBSSs** contain the same information as SOAs but tailored to Customs Brokers.

■ Information on how to view the transaction history can be found in Section 4.3: *Transaction History*.

This section details how the statements are created and posted to the TCP's account. It describes the following statement scenario:

- Scenario 4.4.1: *Process and Access Statements*

### Scenario 4.4.1: Process and Access Statements

#### Scenario Overview

This scenario describes the steps and conditions for how statements are created then either posted to an account for the TCP to access or sent to the TCP via EDI. The process is initiated when a statement needs to be generated for posting on a regular basis. Statements in the context of this scenario include SOAs, DNs, and CBSSs.

*Note: DNs are delivered only to TCPs with a valid EDI connection with the CBSA for CARM.*

#### Pre-requisites

- The account for which data is being accessed is a registered legal entity with the CBSA and is enrolled in a program.
- If the user is accessing the statement via the CCP then they have registered for the CCP and have the appropriate access to view the statement.
- If the statement is being delivered to a TCP via EDI then the TCP has a valid EDI connection with the CBSA to receive statements.

#### Process

The following diagram (Figure 4.4.1) provides high-level context for the process by which a statement is processed, posted, and delivered for a TCP.

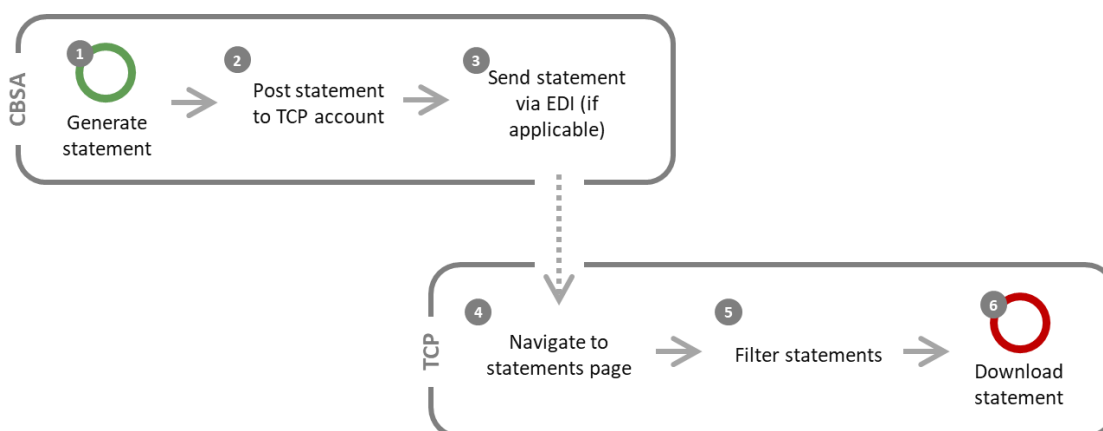


Figure 4.4.1: Process steps for processing, posting, and accessing a statement.

Step	Business Role	Description
1	CBSA	<b>Generate statement</b> A statement is generated for the TCP's account based on available information. This summarizes account activities including but not limited to payments made, interest owing, credits on account, and disbursements issued.

Step	Business Role	Description
		Statements are generated at regular intervals. SOAs and CBSSs are generated on the 25 <sup>th</sup> day of each month, and DNs are generated daily.
2	CBSA	<p><b>Post statement to TCP account</b>  The statement is posted to the TCP's account. The posting is also reflected in the TCP's transaction history.</p> <p>■ Information on how to view the transaction history can be found in Section 4.3: <i>Transaction History</i>.</p> <p>A notification is sent to the TCP's inbox to inform them that a statement was posted to their account.</p>
3	TCP	<p><b>Send statement via EDI (if applicable)</b>  If the TCP has an EDI connection with the CBSA for CARM, they can also view the SOA, DN, or CBSS in the most recent EDI transfer that occurs after the statement was posted to their account.</p>
4	TCP	<p><b>Navigate to statements page</b>  TCPs that are registered on the portal can access their SOA or CBSS in real time by navigating to the statements of account page on the CCP. This page displays the account's statements in a list for the available billing periods.</p>
5	TCP	<p><b>Filter statements</b>  The user has the option to display statements based on available filter parameters. This presents the statements based on the criteria entered by the user.</p>
6	TCP	<p><b>Download statement</b>  To view the details of the statement, the user can download the statement as a PDF document.</p>

### Scenario Outputs

- Statement is generated and can be accessed on the portal and via EDI (if applicable).
- User views and/or downloads the statement.

## 4.5 BILLING CYCLE

TCPs are obligated to meet payment requirements and manage accounting during specified periods based on the billing cycles as per policy. Billing cycles encompass the key accounting dates relevant to TCPs, including accounting due dates, payment due dates, SOA generation dates, and adjustment periods. These cycles can vary based on the program in which the TCP is enrolled.

The billing cycles for all TCPs in Release 1 do not change (i.e. follow the current state billing cycle).

■ Information on billing cycles can be found on the CBSA website on the [Commercial payments and accounts](#) page.

## 5.0 Payments

### 5.1 OVERVIEW

Payment processing enables TCPs to make payments for amounts owing to the CBSA resulting from commercial transactions. This section captures the payment options and channels for TCPs to make and allocate payments.

*Note:* Only existing Importers, Exporters, Customs Brokers, and Trade Consultants with a valid BN9 and RM can access payments functionality via the CCP during Release 1. New TCPs who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CRA as one of the above TCP types to enable access to CARM functionality.

■ Legislation, regulations, policies, and procedures the CBSA uses to administer Payment Processing can be found in [Memorandum D17-1-5 Registration, Accounting and Payment for Commercial Goods](#), [Memorandum D22-1-1 Administrative Monetary Penalty System \(AMPS\)](#), and [Customs Notice 16-01 \[Replacement of Implementation of ARL\]](#).

Payments under CARM Release 1 are described in the two following sections;

- Section 5.2: *Payment Processing* provides context for how TCPs make and allocate payments to their account balance or specific transactions.
- Section 5.3: *Payment Methods* includes information related to the eight (8) payment options available to TCPs in Release 1, including Online Payment via the CCP, Online Banking Payment, EDI Payment, PAD Payment, Bank Remittances, Credit or Debit Card Payment via POS, Cash Payment, and Bank Draft or Certified Cheque Payment.

### 5.2 PAYMENT PROCESSING

TCPs can make payments for amounts owing on their account using the payment methods described in Section 5.3. All payments must be made in Canadian Dollars and must be paid by the payment due date otherwise interest and penalties may accrue.

Payment amounts and their respective due dates are outlined in statements and invoices that are posted to TCP accounts. Payments collected are recorded in CARM and reflected on the TCP's account via the transaction history and account balance.

■ Information on invoices, transaction history, and account balance can be found in Section 4.0: *Billing*.

Payments are generally made towards the TCP's account balance. Once the payment is made, the TCP has two (2) options;

- 5.1 Leave the payment on the account and allow for automatic clearing to occur; or
- 5.2 Use the payment credit to clear a specific transaction via the *Apply Credits as Payments* page on the CCP.

■ Information on clearing rulings can be found on the [Commercial Payments and Accounts page of the CBSA website](#).

## 5.3 PAYMENT METHODS

In Release 1, TCPs have the option to use eight (8) payment methods. The following table outlines the methods available.

■ Details about payment submissions can be found on the [Commercial Payments and Accounts page of the CBSA website](#).

Table 5.3.1: Payment options available to TCPs via CARM.

Payment Channel	Payment Method	Limit (in \$CAD)	CBSA Approved Bank Required?
Electronic Payment	<b>Online via CCP</b> (Credit Card and Interac)	5K for Credit Card 100K for Interac	N/A
	<b>Online Banking</b>	Unlimited	Yes
	<b>Electronic Data Interchange (EDI)</b>	Unlimited	Yes
	<b>Pre-Authorized Debt (PAD)</b> (One-time and On-going)	100M	Yes
	<b>Bank Remittance</b> (Phased out as of Release 2)	Unlimited	N/A
Point of Sale (POS) Payment	<b>Credit or Debit</b>	5K <sup>1</sup>	N/A
	<b>Cash</b> (Phased out as of Release 2)	50K	N/A
	<b>Bank Draft or Certified Cheque</b> (Phased out as of Release 2)	25M	N/A

The following considerations apply when using **Online via CCP** as a payment method:

- Online Payment can be accessed on the CCP via the *Transaction History* page or through the *Make Payments* page.
- TCPs are prompted on the CCP to enter in the required credit or debit card information to complete the transaction.
- If a TCP has a credit balance on their account, they can clear a transaction by applying funds as desired. This can be completed via the *Apply Credits as Payments* page on the CCP.

The following considerations apply when using **Online Banking** as a payment method:

- Online Banking Payment is not accepted for payments made at POEs. This is because there is a delay in receiving payment when using online banking applications which prevents goods from being released at the border. Payment needs to be received in real-time at the POE, otherwise the goods cannot be released.

<sup>1</sup> *Note:* Debit limits are subject to the limits imposed by the cardholder's financial institution and can differ from the limit noted in this document.

- TCPs make Online Banking Payments by entering their CCP account information via their financial institution's banking platform. The TCP can then allocate funds via the CCP as necessary.

The following considerations apply when using **EDI** as a payment method:

- TCPs must have an established EDI820 connection with the CBSA to use this payment method.

The following considerations apply when using **PAD** as a payment method:

- In Release 1, only TCPs with an Importer RM can register for PADs in CARM.
- PAD Payment can be accessed on the CCP via the *Make Payments* page.
- TCPs can create new PAD agreements or manage existing PAD agreements through the Make Payments page on the CCP.
- PAD Payment withdrawals are for the full amount owing on the TCP's SOA, and the full amount owing must be available in the TCP's bank account at the time of withdrawal. Otherwise, the PAD will not be completed.
- PAD payments must be set up at minimum 10 business days before the payment due date.
- TCPs are able to cancel a PAD anytime, except within 24 hours of the next PAD run.
- TCPs are able to enter an effective date for PAD payments and cancellations.
- Future PAD agreements are only displayed on the CCP once they become active.
- Changes to PAD agreements that are not yet effective can be made by contacting the CBSA.
- Each PAD agreement has an accompanying PDF document which can be downloaded and includes the details of the agreement.

## 6.0 Rulings

### 6.1 OVERVIEW

The Rulings process facilitates the request, and subsequent execution, modification, or revocation of a ruling decision. It provides registered TCPs with the ability to electronically submit requests for ruling decisions to the CBSA and view their rulings via the CCP.

*Note:* Only existing Importers, Exporters, Customs Brokers, and Trade Consultants with a valid BN9 and RM can access the rulings functionality via the CCP during Release 1. New TCPs who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CRA as one of the above TCP types to enable access to CARM functionality.

The Rulings process applies to three types of rulings; Advance Rulings (ARs), National Customs Rulings (NCRs), and Same Condition Rulings (SCRs). Each type of ruling is described below.

- Advance Rulings:** ARs are initiated by the Importer or Importer's agent and are binding by legislation under the *Customs Act*. ARs help provide definitive information on the importation of particular goods. ARs can be requested for tariff classification, and country of origin provisions for Free Trade Agreement (FTA) countries. ARs are issued within 120 days of receiving all the necessary information and can be appealed to CBSA Recourse within 90 days of the date of issuance (i.e. the date the ruling decision letter is sent).
 

■ Legislation, regulations, policies, and procedures the CBSA uses to administer ARs can be found in [Tariff Classification Advance Rulings Regulations](#), [Free Trade Agreement Advance Rulings Regulations](#), [Memorandum D11-4-16 Advance Rulings for Origin Under Free Trade Agreements](#), and [Memorandum D11-11-3 Advance Rulings for Tariff Classification](#), and [Customs Act Section 43.1 Advance Rulings](#).
- National Customs Rulings:** NCRs are provided as an administrative service for the convenience and guidance of Importers, Foreign Exporters, and Foreign Producers. Similar to ARs, NCRs must be issued within 120 days of request. NCRs may be initiated by the Importer, Importer's agent, or the CBSA. NCRs outline how provisions of existing customs legislation apply to the importation of a specific commodity into Canada. If initiated by a TCP, NCRs are not requested for tariff classification; however, an NCR will provide instruction concerning the origin (Most-Favoured Nation Tariff Treatment or non-FTA preferential tariff treatment), and valuation or country of origin marking of goods. If initiated by the CBSA, an NCR may be issued for a tariff classification as well as the reasons for when a TCP initiates the request. NCRs for tariff classification can only be initiated by the CBSA and not TCPs. If initiated by the CBSA, an NCR may be issued for a tariff classification as well as the reasons for when a TCP initiates the request. NCRs for tariff classification can only be initiated by the CBSA and not TCPs.
 

■ Legislation, regulations, policies, and procedures the CBSA uses to administer NCRs can be found in [Memorandum D11-11-1 National Customs Rulings](#).

If an eligible requestor disagrees with an NCR instruction, the requestor may, before the importation of the good(s) subject to the NCR, request that the CBSA review the NCR. If an importer, foreign exporter or foreign producer who disagrees with the results of an informal review may challenge the decision by first importing and accounting for the goods in accordance with the NCR and then

submitting a Form B2, Canada Customs – Adjustment Request, and an explanation as to why the importer, foreign exporter or foreign producer believes the NCR (and therefore, the import accounting document) is incorrect. Should the adjustment request be denied, a request for a re-determination or further re-determination under section 60 of the Customs Act may be submitted.

- Same Condition Rulings:** SCRs may be initiated by any person who is the Importer or Exporter of the imported or exported goods, or is the processor, owner or producer of those goods between the time of their direct shipment to Canada and their export or deemed export. SCRs provide decisions as to whether the processes performed in Canada on non-originating imported goods that will be exported to a North American Free Trade Agreement (NAFTA) or Canada-United States-Mexico Agreement (CUSMA) partner qualify for the relief of duties under paragraph 89(1)(a) of the *Customs Tariff*, section 9 of the *Duties Relief Regulations*, Article 303 of NAFTA and Article 2.5 of the CUSMA and the Uniform Regulations. There are no formal time standards for the CBSA to issue an SCR. SCRs can be appealed to the Federal Court within 30 days of the date of issuance.
  - Legislation, regulations, policies, and procedures the CBSA uses to administer SCRs can be found in [Memorandum D7-4-3 NAFTA Requirements for the Duty Drawback and the Duties Relief Programs](#).

The Rulings process includes two (2) sections on how to execute a ruling decision and how to execute the modification or revocation of a ruling decision.

- Section 6.2: *Execution of Ruling Decision* includes information on the steps involved in requesting and determining a ruling decision. All types of rulings follow a standard process, and are stored in the same database with a unique identifier denoting the ruling and type of ruling.
- Section 6.3: *Modification or Revocation of Ruling Decision* includes information on modifications or revocations to a previous ruling decision. TCPs may request or the CBSA may initiate a modification or revocation of a ruling decision.

TCPs can also view publicly available rulings outside of the CARM system.

## 6.2 EXECUTION OF RULING DECISION

The Execution of Ruling Decision process includes the steps involved in requesting and determining a ruling decision. The objective of the Execution of Ruling Decision process is to issue a binding decision to the requestor of the ruling, which cannot be changed unless modified or revoked.

This section describes Rulings scenarios that includes the following:

- Scenario 6.2.1: *Submit Ruling Request*
- Scenario 6.2.2: *Submit Additional Information*
- Scenario 6.2.3: *Withdraw Ruling Request*
- Scenario 6.2.4: *Appeal Ruling Decision*



## ***Scenario 6.2.1: Submit Ruling Request***

### **Scenario Overview**

This scenario describes the steps and conditions for a TCP to make a submission of an AR, SCR, or NCR ruling request via the CCP. TCPs cannot request NCRs for tariff classification.

### **Pre-requisites**

- AR requests must be made by the:
  - Importer of goods into Canada; or
  - Person who is authorized to account for goods under paragraph 32(6)(a) or subsection 32(7) of the *Customs Act* (i.e. Agents, Customs Brokers, or legal representatives of the Importer importing goods into Canada);
    - If a Customs Broker or Trade Consultant is submitting a ruling as an Agent without Delegation of Authority, they are required to upload written confirmation that indicates they are authorized to act on the TCP's behalf; or
  - Exporter or producers of those goods outside of Canada.
- NCR requests follow the same pre-requisites as AR requests, with these additional exceptions and provisions:
  - Requests for valuation, origin (Non-FTA), and marking NCRs must identify all valuation, origin, and marking issues or elements associated with a single transaction for one commodity or multiple commodities; a separate NCR request would have to be made for a transaction with different valuation elements or for a different commodity.
- SCR requests must be made by the:
  - Importer or exporter of the imported or exported goods; or
  - Processor, owner, or producer of those goods between the time of their direct shipment to Canada and their export or deemed export; or
  - Agents, Customs Brokers, or legal representatives of the TCP;
    - If a Customs Broker or Trade Consultant is submitting a ruling request as an Agent without Delegation of Authority on the CCP, they are required to upload written confirmation that indicates they are authorized to act on the TCP's behalf.

### **Process**

The following diagram (Figure 6.2.1) provides an overview for the process by which a ruling request is submitted via the CCP.

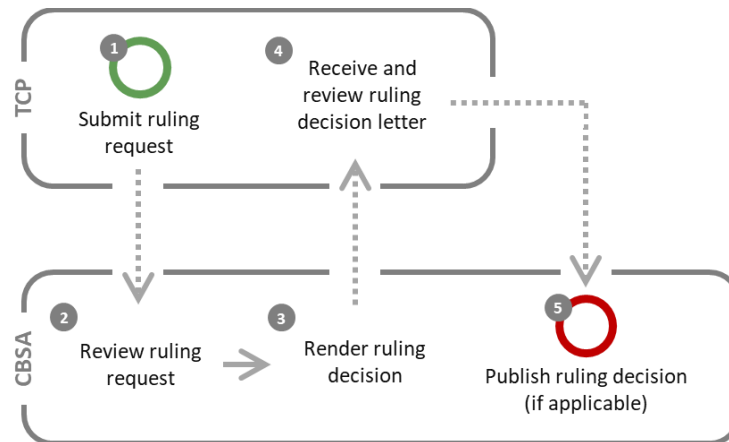


Figure 6.2.1: Process steps for submitting a ruling request via the CCP.

Step	Business Role	Description
1	TCP	<p><b>Submit ruling request</b> The TCP can initiate a ruling request via the CCP.</p> <p>When requesting a ruling decision, the TCP must provide all required information to the CBSA. The TCP is prompted on the CCP to complete all required fields and to attach any relevant documentation when initiating the request. If the TCP is submitting ARs or NCRs, the applicant also indicates whether they give consent to publish the ruling decision to the public.</p> <p><i>Note:</i> TCPs cannot request NCRs for tariff classification. Additionally, a ruling request can be withdrawn by the TCP at any point in the ruling request submission process.</p> <p>■ Information on how to withdraw a ruling request can be found in Scenario 6.2.3: <i>Withdraw Ruling Request</i>.</p>
2	CBSA	<p><b>Review ruling request</b> The CBSA reviews the ruling request based on the information provided by the TCP through the CCP. The process continues if there is sufficient information in the initial ruling request to render a decision.</p> <p>If there is insufficient information to complete the ruling request, the CBSA can request additional information from the TCP. If the TCP is able to complete the information request, they submit additional information through the CCP and the process continues. If the TCP is unable to complete the information request, the ruling request is rejected and the process ends.</p> <p>■ Information on completing this request for additional information can be found in Scenario 6.2.2: <i>Submit Additional Information</i>.</p>
3	CBSA	<p><b>Render ruling decision</b></p>

Step	Business Role	Description
		Based on the information available, the CBSA renders a decision on the ruling request. This decision is communicated to the TCP via a ruling decision letter.
4	TCP	<p><b>Receive and review ruling decision letter</b></p> <p>The TCP receives the ruling decision letter along with any subsequent information related to the ruling decision via the CCP. The notification of the ruling decision may also include a notification indicating that the ruling is postponed, revoked, or rejected.</p> <p>The TCP reviews the ruling decision. If the TCP agrees with the decision, the process is complete. If the TCP does not agree with the ruling decision, they can appeal the decision.</p> <p><b>Note:</b> If an appeal is initiated the process does not continue to publication.</p> <p>■ Information on how to appeal a ruling decision can be found in Scenario 6.2.4: <i>Appeal Ruling Decision</i>.</p>
5	CBSA	<p><b>Publish ruling decision (if applicable)</b></p> <p>If the TCP provided consent to publish an AR or NCR ruling decision to the public, the CBSA publishes the ruling decision for public access in both official languages on the CBSA website and CCP home page. The TCP also has the option to request that the ruling decision be published to the public after the process has ended or request to have the ruling decision removed from public access. Adding or removing a ruling from public access can be completed by contacting the CBSA outside of the CCP.</p> <p><b>Note:</b> Only ARs and NCRs can be published to the public. This step does not apply to SCRs.</p>

### Scenario Outputs

- Ruling request is approved (decision rendered), rejected, cancelled, or withdrawn.
- Ruling decision is published for public access if consent is provided (not applicable to SCRs).

### Scenario 6.2.2: Submit Additional Information

#### Scenario Overview

The TCP receives a request from the CBSA for additional information via the CCP. This scenario describes the conditions and considerations for submitting additional information in regards to the execution of a ruling decision.

#### Scenario Outputs

The TCP receives a notification indicating that they have received a request for additional information from the CBSA via the CCP. Additional information can include but is not limited to: additional documentation, answers to specific CBSA questions, photos of the item or process in question, or samples for lab analysis. This information request must be completed to continue the Execution of Ruling Decision process.

If the TCP has sufficient information to fulfill the request for additional information, the TCP submits the information when applicable via the CCP based on the instructions found in the request for additional information. TCPs can also upload documentation from third party lab analysis or other 'sample' type information such as a material composition or bills of materials. Physical samples must be sent to the CBSA Science and Engineering Lab or, where applicable, the Trade Incentives Unit.

If the TCP does not have sufficient information and cannot complete the request for additional information, the TCP must withdraw the ruling request, which ends the process.

### *Scenario 6.2.3: Withdraw Ruling Request*

#### **Scenario Overview**

This scenario describes the conditions and considerations for withdrawing the rulings request via the CCP.

#### **Scenario Outputs**

A rulings request withdrawal can occur at any point during the Execution of Ruling Decision process. To do so, the TCP views in-progress rulings requests on the CCP. The TCP then withdraws the desired request. The TCP is required to indicate the reason for the withdrawal. The status of the case is then set to reflect the withdrawal. They will then receive a withdrawal letter via the CCP.

### *Scenario 6.2.4: Appeal Ruling Decision*

#### **Scenario Overview**

The TCP does not agree with the decision made by the CBSA with regards to a ruling, and has the option to appeal said decision. This scenario describes the conditions and considerations for appealing the decision.

#### **Scenario Outputs**

The TCP can appeal a rulings decision if the appeal is in relation to the decision or a modification decision. Decisions to revoke rulings cannot be appealed.

Appeals are broken down as follows:

- AR appeals are processed through the CBSA appeal process and are sent to CBSA Recourse.
- SCR appeals must be processed via the CITT or via Judicial Review at the Federal Court, respectively, within 30 days of the date of decision.
- An NCR may be disputed after the goods have been imported by submitting a Form B2, Canada Customs – Adjustment Request under either section 32.2 or 74 of the Act. Once the decision on the B2 has been made, a request under section 60 of the Customs Act may be submitted within 90 days of the Detailed Adjustment Statement (DAS) being issued.

■ Information on the current state appeals process can be found in [Memorandum D11-6-7 Request under Section 60 of the Customs Act for a Re-determination, a further Re-determination or a Review by the President of the Canada Border Services Agency](#).

Once an Advanced Ruling has been reviewed, a subsequent request for modification cannot be initiated by the TCP or by the CBSA unless there's a change in legislation.

*Note:* There is no appeals functionality in CARM Release 1. All appeals must be made via the current state appeals process. Details for ARs that have been appealed can, however, be viewed via the CCP.

## 6.3 MODIFICATION OR REVOCATION OF RULING DECISION

The Modification or Revocation of Ruling Decision process includes the steps involved in requesting a change to a ruling decision. The objective of the process is to provide accurate information on ruling decisions by either modifying or revoking an original ruling. The following table describes the parties that are able to modify or revoke AR, NCR, or SCR ruling decisions.

Table 6.3.1: TCP and CBSA capabilities for initiating the Modification or Revocation of Ruling Decision process.

Ruling Type	TCP Capabilities	CBSA Capabilities
<b>AR</b>	Can request modification, cannot request revocation	Can initiate modification and revocation
<b>NCR</b>	Can request modification, cannot request revocation	Can initiate modification and revocation
<b>SCR</b>	Cannot request modification or revocation <sup>2</sup>	Can initiate modification and revocation

This section describes the following Rulings scenarios:

- Scenario 6.3.1: *Submit Ruling Modification Request*
- Scenario 6.3.2: *CBSA Initiated Modification or Revocation*

### *Scenario 6.3.1: Submit Ruling Modification Request*

#### Scenario Overview

This scenario describes the steps and conditions for a TCP to make a request to modify an AR or NCR ruling decision via the CCP.

#### Pre-requisites

- The request is submitted by a qualified requestor.
- A ruling decision is complete.

#### Process

The following diagram (Figure 6.3.1) provides high-level context for the process by which a request to modify a ruling decision is submitted via the CCP.

<sup>2</sup> If circumstances related to an SCR changes, the TCP is obligated to inform the CBSA. A revocation may then be initiated by the CBSA for the SCR or the TCP may be advised to submit a new SCR.

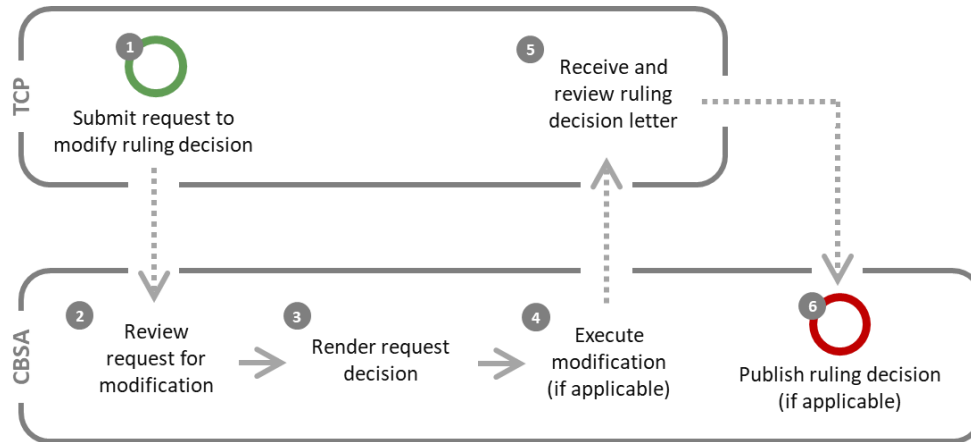


Figure 6.3.1: Process steps for submitting a request to modify a ruling decision via the CCP.

Step	Business Role	Description
1	TCP	<p><b>Submit request to modify ruling decision</b></p> <p>The TCP can initiate a request to modify an AR or NCR ruling decision via the CCP. The TCP follows the same steps to request a modification to a ruling as they do to request a new ruling.</p> <p>The TCP provides all necessary information required by the CBSA to make a decision. The TCP is prompted on the CCP to complete all required fields and to attach any relevant documentation.</p> <p><i>Note:</i> A TCP cannot request to modify or revoke SCRs, nor can they request to revoke an AR or NCR ruling decision.</p>
2	CBSA	<p><b>Review request for modification</b></p> <p>The CBSA reviews the request for modification based on the information provided by the TCP through the CCP. The process continues if there is sufficient information available to render a decision.</p> <p>If there is insufficient information to complete the request for modification, the CBSA can request additional information from the TCP. If the TCP is unable to complete the information request, the request is rejected and the process ends.</p> <p>■ Information on completing this request for additional information can be found in Scenario 6.2.2: <i>Submit Additional Information</i>.</p> <p>■ Information on how to withdraw a ruling request can be found in Scenario 6.2.3: <i>Withdraw Ruling Request</i>.</p>
3	CBSA	<p><b>Render request decision</b></p> <p>The CBSA renders a decision on the request to modify a ruling. If the CBSA renders that the ruling should be modified, the process continues to Step 4. If the CBSA renders that the ruling should not be modified, the request for modification is</p>

Step	Business Role	Description
		rejected and the TCP is notified via the CCP that their request has been rejected. The process continues to Step 5.
4	CBSA	<b>Execute modification (if applicable)</b> If the CBSA renders that the ruling should be modified, the applicable modification to the ruling is executed.
5	TCP	<b>Receive and review ruling decision letter</b> The TCP receives the decision letter for the request to modify a ruling decision via the CCP. This letter communicates to the TCP either that their requested modifications were executed or that their request for modification was rejected.  The TCP reviews the decision letter. If the TCP agrees with the decision, the process continues if the original ruling decision was published to the public, or ends if the ruling was not published to the public. If the TCP does not agree with the decision, they can appeal the decision and the process ends.
6	CBSA	<b>Publish ruling decision (if applicable)</b> If the original ruling decision was published to the public, the CBSA publishes the ruling decision for public access in both official languages on the CBSA website and CCP home page. Adding or removing a ruling from public access can be completed by contacting the CBSA outside of the CCP.

■ Information on how to appeal a decision for ruling modification can be found in Scenario 6.2.4: *Appeal Ruling Decision*.

### Scenario Outputs

- Request for modification is approved (modifications are executed), withdrawn, or rejected.
- Ruling decision is published for public access (if consent is provided).

### *Scenario 6.3.2: CBSA Initiated Modification or Revocation*

#### Scenario Overview

The CBSA may initiate modifications or revocations for ARs, SCRs, and NCRs via CARM. This scenario describes the conditions and considerations for a CBSA initiated ruling modification or revocation.

### Scenario Outputs

The CBSA has the ability to initiate the Modification or Revocation of Ruling Decisions process when a modification or revocation is deemed necessary. In this scenario, the same process as described in Scenario 6.3.1: *Submit Ruling Modification Request* is completed, with the following exceptions:

- The same process is followed to execute ruling revocations.
- The process begins with the CBSA submitting the request for modification or revocation. Once the request is submitted, the TCP can view the progress of the modification or revocation request and the resulting decision letter on the CCP.
- If the TCP does not agree with the modification decision, they can appeal the decision and the process ends. The TCP cannot appeal a revocation decision.

■ Information on how to appeal a decision for ruling modification can be found in Scenario 6.2.4: *Appeal Ruling Decision*.



## 7.0 Tariff Management and Publication

### 7.1 OVERVIEW

The Tariff Calculation process facilitates CBSA management and maintenance of tariff data, the subsequent distribution and publication of the data to TCPs, and tools to help TCPs estimate their duties and taxes payable via the CCP.

*Note:* Only existing Importers, Exporters, Customs Brokers, and Trade Consultants with a valid BN9 and RM can access tariff functionality via the CCP during Release 1. New TCPs who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CRA as one of the above TCP types to enable access to CARM functionality.

Advance Rulings published by the CBSA also help the importing community determine the proper tariff classification of goods that need a determination for the correct classification. These rulings can impact the *Customs Tariff*.

■ Legislation, regulations, policies, and procedures the CBSA uses to administer the *Customs Tariff* can be found in [Memorandum D10 Tariff Classification – Commodities](#) and [Memorandum D11 General Tariff Information](#).

■ More information on rulings as they relate to CARM can be found in Section 6.0: *Rulings*.

TCPs can use the Tariff Management and Publication process in two broad senses, which are covered in the sections described below;

- Section 7.2: *Access Tariff Information* describes how to access information and documents related to the *Customs Tariff*, including how to view the *Customs Tariff* via the CBSA website as well as using the Tariff API.
- Section 7.3: *Use Tariff Tools* relates to using the Duties and Taxes calculator to obtain estimates for duties and taxes applicable to imported goods and using the Tariff Classification Assistance tool to identify the appropriate Tariff Classification Number for goods.

### 7.2 ACCESS TARIFF INFORMATION

TCPs are required to access *Customs Tariff* information to inform what duties and taxes need to be paid based on HS classification, duty and tax rates, country of origin, trade agreements, and tariff treatments. This information is maintained by the CBSA through CARM, is accessible by TCPs via the published *Customs Tariff* on the CBSA website, is sent to EDI-enabled TCPs, and can be queried using the Tariff API.

This section describes the following scenarios associated with accessing *Customs Tariff* information:

- Scenario 7.2.1: *Accessing Data via the Customs Tariff*
- Scenario 7.2.2: *Accessing Data via the Customs Tariff API*

#### *Scenario 7.2.1: Accessing Data via the Customs Tariff*

##### **Scenario Overview**

Tariff data is managed via CARM. The latest version of the *Customs Tariff*, inclusive of any updates to tariff data, is available via the CBSA website. This scenario describes the conditions and considerations for obtaining *Customs Tariff* information via the CBSA website.

## Scenario Outputs

The CBSA makes updates to the *Customs Tariff* based on the latest customs and trade information. Information associated with tariff item descriptions, duty and tax rates, countries, and tariff treatments can be updated. These updates are to reflect the latest customs information for TCPs to use when importing commercial goods.

The most up-to-date version of the *Customs Tariff*, along with previous versions of the *Customs Tariff*, can be found on the CBSA website. They can be accessed as individual chapters or as a complete file and can be obtained in PDF, HTML, and .XLSX formats.

■ The CBSA website can be accessed at [www.cbsa-asfc.gc.ca](http://www.cbsa-asfc.gc.ca).

### Scenario 7.2.2: Accessing Data via the Customs Tariff API

## Scenario Overview

TCPs need to query for *Customs Tariff* data. This scenario describes the conditions and considerations for querying *Customs Tariff* data via the *Customs Tariff* API.

## Scenario Outputs

TCPs have the ability to query or request a file from CARM to access certain information via the *Customs Tariff* API.

Users can query information including;

- Tariff Classification codes
- GST codes
- Excise Tax codes
- Rates of duty

Users can filter the queries data by units of measure. This information provides recipients with the data required to calculate duties and taxes. This information does not calculate duties and taxes based on relief and remission codes. All chapters (i.e. Chapters 1 to 99) of the Customs Tariff can be queried.

## 7.3 USE TARIFF TOOLS

Tariff Classification tools are available through the CARM system to help TCPs obtain estimates for the duties and taxes owed on imported goods and identify the appropriate Tariff Classification Number (i.e. HS Code). This is enabled by two tools; the Duties and Taxes Calculator and the Classification Assistance Tool.

This section describes the following scenarios associated with using Tariff Calculation tools:

- Scenario 7.3.1: *Duties and Taxes Calculator*
- Scenario 7.3.2: *Classification Assistance Tool*

■ **Tariff Classification Number**, or HS Code, is a 10-digit number that must be provided on import documentation to communicate what the good that is being imported is. H.S. codes are based on the World Customs Organization's (WCO) International Convention on the Harmonized Commodity Description and Coding System, Can. T.S. 1988 No. 38. Canada is a signatory to this Convention.

### *Scenario 7.3.1: Duties and Taxes Calculator*

#### **Scenario Overview**

The TCP needs to estimate the amount of duties and taxes owed on goods being imported into Canada. This scenario describes the conditions and considerations for obtaining a duties and taxes estimate via the CCP.

#### **Scenario Outputs**

The Duties and Taxes Calculator is a tool TCPs can use to estimate the duties and taxes for a specific commodity. This self-serve calculation tool is meant to support the assessment and re-assessment of duties and taxes to support TCPs in submitting accurate accounting declarations. The Calculator can be accessed through the CCP.

The TCP obtains the estimate by entering Customs information including but not limited to;

- Tariff Classification Number
- Country of Origin
- Place of Export
- Quantity

The tool allows for a single commodity per calculation. It is the TCP's responsibility to update the estimate if they are subject to program-specific duties and taxes, or remission of duties.

If the TCP needs to identify the Tariff Classification Number for their commodity, they can use the Classification Assistance Tool.

Note: The CBSA is not responsible for ensuring that the TCP has entered accurate information in the displayed fields when using the Calculator. This tool does not replace professional advice.

■ More information on the Classification Assistance Tool can be found in Scenario 7.3.2: *Classification Assistance Tool*.

### *Scenario 7.3.2: Classification Assistance Tool*

#### **Scenario Overview**

The TCP needs to identify the appropriate Tariff Classification Number for goods they are importing. This scenario describes the conditions and considerations for using the Classification Assistance Tool.

#### **Scenario Outputs**

The Classification Assistance Tool provides recommended Tariff Classification Numbers based on characteristics that are inputted by the TCP.

The tool can be accessed through the Duties and Taxes Calculator.

The TCP is prompted to include information including but not limited to;

- Country of Origin
- Product description
- Assumed and known characteristics (optional)

The assistance tool then displays the Tariff Schedule with further definitions of the good (i.e. HS Code). The TCP can then use the information for their accounting or other purposes.

*Note:* This tool is intended to be used to assist TCPs in identifying an HS Code based on the information provided by the TCP. TCPs are responsible for providing the correct information. This tool is not intended to provide a definitive classification for the goods in question. The TCP can submit a ruling request if they deem that a determination from the CBSA is necessary in regards to a classification.

■ Information on submitting ruling requests can be found in Section 6.0: *Rulings*.

## 8.0 Reporting

### 8.1 OVERVIEW

The Reporting functionality in CARM Release 1 provides TCPs with a simple and centralized self-service solution allowing them to view and download their data from the CCP.

TCPs can access financial transaction information related to the activities of the programs they operate within. They can further filter the data based on available search parameters and field filters. This data can then be downloaded by the TCP for reporting and analysis purposes.

■ Legislation, regulations, policies, and procedures the CBSA uses to administer Reporting and Analytics can be found in [Memorandum D17-1-5 Registration, Accounting, and Payment for Commercial Goods](#).

*Note:* Only existing Importers, Exporters, Customs Brokers, and Trade Consultants with a valid BN9 and RM can access reporting functionality via the CCP during Release 1. New TCPs who wish to use CARM during Release 1 need to first obtain a BN9 and RM by registering and enrolling with the CRA as one of the above TCP types to enable access to CARM functionality.

### 8.2 ACCESS REPORTING DATA

TCPs are able to download portions or all of the data via the CCP. The downloaded file can be used by TCPs to report and analyze the data in software of their choice outside of the CARM environment.

In Release 1, only financial data such as accounting transaction details and payments made are available via the CCP.

This section describes the following Reporting scenario:

- Scenario 8.2.1: *Download Reporting Data*

#### *Scenario 8.2.1: Download Reporting Data*

##### **Scenario Overview**

This scenario describes the steps and conditions for a TCP to download a flat file of a large data set to allow for reporting and analysis of their financial data using software of their choice. The data is downloaded in .CSV format.

### Pre-requisites

- The user has registered for the CCP.
- The account for which data is being downloaded is a registered legal entity on the CCP and is enrolled in a program.
- The user has the appropriate access to the account for data download.

### Process

The following diagram (Figure 8.2.1) provides high-level context for the process by which a data set is requested then downloaded via the CCP.



Figure 8.2.1: Process steps for requesting and downloading a data set via the CCP.

Step	Business Role	Description
1	TCP	<b>Select data for export</b> The TCP views the available financial data (i.e. accounting transaction details and payments made) on the account then selects some or all of the data for export. The selection can be made on an individual transaction basis, or based on the filtering parameters available. <div> <span>■</span> More information on how to view financial data can be found in Section 4.3: <i>Transaction History</i>.                 </div>
2	TCP	<b>Request export of data</b> The TCP requests to export the chosen data by selecting the export functionality available on the CCP. The CARM system then prepares the selected data for export by compiling the data into a .CSV file.
3	TCP	<b>Download data file</b> The TCP downloads the .CSV file from the CCP. The data contained in this file can then be used in software outside of the CARM environment for reporting and analysis purposes.

### Scenario Outputs

- A .CSV copy of the data set is available for TCPs to report and analyze using software of their choice.

## 9.0 Problem Reporting and Resolution

For CARM support, please contact:

<https://www.cbsa-asfc.gc.ca/services/carm-gcra/support-eng.html>

## 10.0 Conclusion

This section concludes the playbook. Additional information and relevant CARM documents can be accessed via the CBSA website ([www.cbsa-asfc.gc.ca](http://www.cbsa-asfc.gc.ca)).