

CANADA BORDER SERVICES AGENCY

CUSTOMS AUTOMATED DATA EXCHANGE

CADEX

PARTICIPANTS' REQUIREMENTS DOCUMENT (PRD)

February 2006

PUBLISHED BY THE CBSA
under the authority of
the Minister of Public Safety and Emergency Preparedness

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

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1.0 CADEX SYSTEM OVERVIEW

1.1 INTRODUCTION AND BACKGROUND

Although the Agency had considered the direct transmission of data from the automated systems of its clientele to its own for some time, the development of such a system had never enjoyed a sufficiently high priority for extensive development to have taken place. A number of events resulted in a more urgent need for the direct transmission of entry data.

The most important of these events involved the Agency's Cost Reduction Plan. As part of this plan, Canada Border Services Agency would lose 260 person-years associated with its data input function. Although in the short term, the "contracting out" of this function would permit the continued entry of data, it was recognized that an effort would have to be made to reduce significantly the cost associated with keying data into the Customs Commercial System (CCS) (estimated at approximately four million dollars/year). As a result, the development of a system to permit the direct transmission of data from importers/brokers, thereby reducing the need for data entry by the Agency, was accelerated as a cost reduction initiative.

The system is known as CADEX - Customs Automated Data Exchange System. The CADEX System Project was established in November, 1985, with an initial implementation date of January 1, 1988.

The CADEX System design work began in close consultation with the importing and brokerage community. Representatives from Customs and various associations as well as importers and brokers made up a CADEX Design and Development Committee that reviewed and made amendments to the CADEX development work. Early in the development phase of the design work, an enhancement to the Customs Commercial System was proposed to the Agency. A key premise of the enhancement was to obviate the need for a hardcopy accounting document. This proposal was well received by the Agency and major portions of the proposal were integrated into the Customs Commercial System design.

With the elimination of the requirement for the hardcopy for CADEX participants, the CADEX System became even more advantageous the CBSA and brokers and importers.

Brokers and importers configured into the CADEX System prepare their accounting documents as usual; however, a formatting program reorganizes the information to meet Agency transmission requirements. Instead of presenting a hardcopy B3 to the CBSA, the participant transmits this data to the CBSA computer over telecommunication lines. The transmitted accounting data accounts for goods already released. B3 type C cannot be transmitted.

Participants will also be able to query certain CBSA files, receive K84 accounting data, and also receive release notifications, file updates and listings of releases for which acquittal is overdue. This will all be accomplished via CADEX transmissions.

This document provides detailed narrative descriptions of the procedures to be followed by CADEX participants. In addition, technical hardware/software requirements are described and record formats for both inputs and outputs for the CADEX System are defined.

1.2 CADEX OBJECTIVES

The initial project objectives were:

1. To achieve a cost-saving for the Agency related to the capture of B3 data. Specific objectives as to the amount of data to be captured by CADEX were set out as below:
 - for the fiscal year 1988/89, 20% of national B3 volumes;
 - for the fiscal year 1989/90, 40% of national B3 volume;
 - for the fiscal year 1990/91, 60% of national B3 volume.

These objectives were met. The system now processes 95% of the B3 accounting volume (2004).

The system objectives are:

1. To ensure more timely accurate data entry through less physical handling and processing of data by importer/broker and CBSA staff (this means reduced change of errors during data input);
2. To permit the Agency to participate with automated importers/brokers in the full utilization and realization of state-of-the-art technology currently in place throughout much of the importing community;
3. To permit the Agency to begin working towards a paperless environment;
4. To permit clients to receive information related to accounting document preparation through transmission resulting in a higher level of voluntary compliance.

1.3 CADEX SUBSYSTEMS

The CADEX System is made up of three distinct subsystems:

- a. Participant Acceptance and Testing
- b. Production
- c. Performance Measurement

A brief description of each of these subsystems follows.

The PARTICIPANT ACCEPTANCE AND TESTING SUBSYSTEM, with both manual administration and automated testing components, handles the application, broker/importer system development and CBSA approval of a broker or importer for CADEX purposes. When a broker/importer submits a formal application to the CBSA for CADEX participation, a client representative is assigned to the participant. The broker/importer is responsible for acquiring any hardware/software required and ensuring that the system operates properly. The actual testing component evaluates first, the telecommunications capability of the participant's system and second, the operational application capabilities. Before being allowed onto the Production Subsystem, each broker/importer must pass a final test phase utilizing data from actual accounting documents. Each transmission site for a broker/importer will be tested separately.

The PRODUCTION SUBSYSTEM is the main component of the CADEX System. The production component includes a security program, and accounting document transmission and validation. CADEX participants receive, via transmission, data contained in certain CBSA files pertinent to accounting document preparation (Classification File, Exchange Rate File). Updates to these files are transmitted as needed and specific queries can be made, e.g. Classification, GST, Exchange Rate. The Production Subsystem also transmits a Release Notification and an Overdue Release Status Report. Minimum standards for participant performance must be maintained and performance levels are tracked by the Performance Measurement Subsystem. These minimum standards are outlined in section 3.1.

The PERFORMANCE MEASUREMENT SUBSYSTEM monitors the volume levels and performance levels of each broker/importer at each transmission site. Reports are produced by the subsystem for review by the CBSA.

Each month a personal performance report is sent to each broker/importer transmission site. The Performance Measurement Subsystem is used by client representatives to ensure that quality standards are maintained.

2.0 PARTICIPANT ACCEPTANCE AND TESTING SUBSYSTEM

2.1 APPLICATION PROCESS

Each broker or importer who is interested in participating in the CADEX System is required to submit to the CBSA a formal application (see Appendix A). The application includes basic information on the applicant and also a description of the client's automated system and volume of business. Once the information required to establish the applicant as a client is complete, the work on the interface system can begin.

2.1.1 Client Representatives

Each CADEX applicant is assigned a client representative who is located at CBSA Headquarters. The client representative acts as an official CADEX contact for the participants assigned. Advice additional to this document on the procedures and requirements of the CADEX System is available through the representative. Technical advice is also given where possible; however, the client representative's role is limited to CBSA electronic commerce systems and operational procedures. Each participant is responsible for the development of his/her own automated system, both hardware selection and software development.

The representative is an important contact and reference source both during system development and during live production. It is the client representative who provides the participant with test material during the development phase. The representative is also responsible for monitoring the Final Test Phase results, recommending approval/rejection of a potential participant for production in CADEX, and for monitoring the CADEX performance of participants on an on-going basis, during both test and production phases.

The client representatives as a group play a role in the ongoing development, refinement and enhancements to the CADEX System. This includes liaison work between clients and other areas of the Agency directly impacted by CADEX.

2.2 ACCEPTANCE TESTING

2.2.1 Requirements

Brokers/Importers interested in using the CADEX system must undergo transmission system acceptance testing during which they are required to:

- demonstrate that they meet hardware/software requirements; and
- satisfy CADEX production requirements by successfully completing a series of progressively more complex tests which verify whether or not:
 - the technical requirements are met;
 - various types and volumes of data records can be transmitted;
 - the quality of the data is acceptable; and
 - administrative messages, file updates and other feedback transmissions from CADEX can be accurately received.

2.2.2 Procedures

The following is a list of the procedures pertaining to client acceptance testing:

- CADEX communication line is ordered for those participants who have demonstrated they meet the hardware/software requirements.
- Once brokers/importers have had their communication line installed, they will be asked to sign on to the CADEX System and transmit and receive simple data records. This will continue until both the client representative and the client are satisfied any communication problems are resolved.
- CADEX test package(s) are sent to the broker/importer by the client representative at which time they are asked to schedule the actual test transmissions.

- During this acceptance phase, importers and brokers transmit accounting data and query data to the CBSA computer. The CBSA computer processes the data elements as it would under normal production mode operating procedures. This permits CBSA to verify importer/broker transmission format and content to ensure that the system has been correctly programmed and is being correctly used.

- The acceptance phase is conducted under the close supervision of CBSA through a series of progressively more complex tests which first verify that the technical requirements are met and secondly that the quality of the data is acceptable. During the acceptance phase, the broker/importers transmit to CBSA various data records. CBSA monitors and controls this data in the CBSA computer in a step-by-step manner through the use of an on-line function and evaluates the results for compliance and responsiveness. The importer/broker must also demonstrate the ability to receive feedback transmissions from CADEX during this period of time.

- Test results are then analyzed and documented. Once the client has satisfied the CADEX Acceptance Testing requirements a final Participant Test period will be scheduled.

2.3 PARTICIPANT TESTING

This is the final stage before the participant is allowed into live production mode on CADEX. Requirements for new participants, and for participants who are already on CADEX who wish to add a new site or sites using identical hardware and software to that already in place for transmission, are outlined below.

2.3.1 Requirements

Once a new client has successfully completed the acceptance phase using a CADEX test package, he must then complete the participant testing phase using live B3 data. During this phase:

- the Broker/Importer must transmit at least 90% of his daily confirming accounting document volume for 10 continuous working days;
- transmitted accounting documents must be error-free a minimum of 95% of the time. Fatal errors during this period will not be accepted and will necessitate starting the 10-day period over again;
- fatal errors include protocol and format problems, sign-on problems, and using duplicate transaction numbers;
- it should be noted that during this test stage hardcopy B3s will still be required and will be used for all normal CBSA activities e.g. CS review. Participants already on CADEX who wish to expand the number of CBSA offices handled by a particular transmission site may or may not be required to undergo additional testing. Adding new transmission sites utilizing identical hardware/software already in use will require additional participant testing ranging from a full ten day to a one or two day test period. The length and details of the testing will be determined by CBSA on a case-by-case basis and will depend on such factors as the amount of the additional B3 volume involved and of the participant's current transmission performance. This flexibility should ensure that unnecessary testing will not be conducted.

2.3.2 Procedures

The following is a list of procedures pertaining to participant testing:

- a time period acceptable to both the Broker/Importer and the CBSA will be identified and the actual testing will be carried out;
- the CADEX Representative will request, on an ad hoc basis, invoices to ensure that the invoice cross reference requirements are met for multi-line entries.
- the participant will be eligible to go into production (i.e. "live" transmission) two weeks after completing the test.
- note that all CADEX entries transmitted during the test period for Terminal Office releases must include an KI15 record and an Importer Number in the KI10 record. Please see section 3.2.5, Shadow Release, for details.

3.0 PRODUCTION SUBSYSTEM

3.1 PRODUCTION

After successfully completing both the acceptance and participant testing phases, the importer/broker will be permitted to go into production mode (i.e. "live" transmissions). During the production phase it should be the intent of each participant to transmit all accounting documents which the CADEX System can accept with no errors committed.

It is recognized that for various reasons, there will be some accounting documents which participants will present in a hardcopy format for manual handling. While this is acceptable, a minimum of 90% of acceptable accounting document types must be transmitted via CADEX.

Participants should track the quality of their accounting documents closely, making system changes where necessary. The fewer errors made, the faster accounting documents will be passed through the system in a reliable fashion without repeated transmissions of the same data. Client representatives will closely monitor the performance of participants and will contact the participant's CADEX reference person should any problems arise which are not being dealt with in an expedient manner.

When a participant's performance level falls below the 95% error-free benchmark, brokers/importers may, at the discretion of the Agency, be moved back into testing mode for further refinement and/or trouble-shooting of hardware or software as needed. At this point, the Agency will need to manually input B3 data from the hardcopy presented by the broker/importer.

Once the problem area has been identified and has been resolved, the client will again undergo testing. Once the CBSA is satisfied that the problem no longer exists, the participant will be moved back into production mode. The ten day participant test will not need to be repeated at this time. It will be the responsibility of the participant to resolve the problem in consultation with the assigned client representative.

3.2.2 GENERAL

3.2.1 System Availability and Accessibility

The CADEX System is available to participants for data transmission (both outgoing and incoming) 6 days per week, 18 hours per day (Sunday and statutory holidays excluded).

This means that a participant can transmit data from 6:00 a.m. to 12:00 midnight, eastern time. The B3 processing component of the Customs Commercial System operates between the hours of 7:00 a.m. and 9:00 p.m. eastern time. This means that data transmitted after 9:00 p.m. will not be processed or validated until the next day. Clients should also keep in mind that unless entries are received and validated prior to 9:00 p.m., they will not appear on the next day's K84. In addition, entry data sent on Saturday will not appear on the K84 until the following Tuesday morning. Transmissions should be planned accordingly.

Normally data will be accepted, processed and results (e.g. errors, messages) available for transmission back to the participant within a two-hour time frame. Through monitoring and feedback mechanisms, the Agency endeavors to provide the turnaround of data within two hours. If, however, a client does not receive output responses within two hours of transmission, they should contact the Electronic Commerce Unit of CBSA to verify that the data has been received.

CADEX clients have the capability of transmitting QO (Notification of Release Query Request) queries on a 7 day, 22.5 hour (7/22.5) basis. Every night, from approximately 21:00 hrs. to 22:30 hrs., the CADEX area is protected in order to run various jobs. During this time, no QO queries are being processed or release responses (AO) transmitted back to the clients. However, any queries that are transmitted by a client during this time will be held in a queue and processed after 22:30 hrs. in order of receipt.

3.2.2 Release Requirements

CADEX participants must meet RMD requirements prior to release as well as these additional requirements:

- 1) Invoices acceptable to CBSA for final accounting purposes must be presented;
- 2) The transaction number must be in bar-code format on the documents presented; and
- 3) The release package must be clearly notated "CADEX" in order to inform CBSA that the confirming accounting documents will be transmitted.

The notation is to be placed on the top copy of the CBSA invoice set or on the "release card". Regardless of which alternative is used for numbering, the notation should be clearly legible and readily apparent.

The word "CADEX" must be written or stamped in ink as close to the transaction number bar code as possible. The word should be in capital letters, with each letter a minimum of one centimeter in height. The notation should be located in an area that does not obstruct information contained on the document.

In addition, time frames regarding the length of time permitted between the release of goods and the transmission of confirming data will be in accordance with current D-Memorandum regulations.

In cases where a Machinery Board Remission applies to a given shipment, the following procedures apply.

If a CADEX participant does not have the machinery board remission application available at the time of release, the CADEX RMD package can be presented to CBSA without it. If the B3 is subsequently selected for review by the CBSA, the Commodity Specialist will request the CADEX participant fax or deliver the remission application to the CBSA regional office within 24 hours. Failure to comply with this 24 hour timeframe will result in suspension of this "delayed submission" privilege. This delayed submission policy applies only to Machinery Board Remissions.

3.2.3 Non-Terminal Office Releases and B3B Releases

Accounting document transmissions covering goods released at a non-terminal office (NTO) must include the Input NTO/B3B Record which contains the Cargo Control Number(s) and release date.

In addition, this record format must be used when transmitting B3's which require the B3B Cargo Control Continuation Sheet. The release date will be transmitted only where release was gained at a non-terminal office.

Failure to use the correct format and transmit the Cargo Control Number(s) and release date for NTO releases will result in the generation of an error message and rejection of the accounting document.

The following is a list of those Customs offices with their related office numbers which are currently automated for release purposes.

LIST OF AUTOMATED SITES

Halifax Main	009	Sorel	317*
Kentville	010*	St. Hyacinthe	320*
Liverpool	011*	Trois Rivières	322*
Lunenburg	013*	Victoriaville	327*
New Glasgow	015*	Philipsburg	328*
Port Hawkesbury	019*	Armstrong	329*
Shelburne	020*	Rivière-du-Loup	340*
Sydney	021*	Montmagny	344*
Truro	022*	Richmond	345*
Yarmouth	025*	Thetford Mines	347*
Charlottetown, P.E.I.	101*	Rouyn-Noranda	349*
Summerside	102*	Val d'Or	350*
Bathurst	201*	Stanhope	354*
Dalhousie	202*	Baie Comeau	355*
Fredericton	204	Cowansville	356*
Moncton	206	Sept-Iles	361*
Miramichi	207*	Cap-aux-Meules	363*
St. Andrews	209*		
St. John	210	St-Jean	321*
Woodstock	212	Valleyfield	323*
Edmunsten	213	Joliette	342*
Caraquet	221*	Lachute	343*
Grand Manan	224*	St-Jérôme	346*
St. Stephen	231	St-Bernard de Lacolle	351
Clarenville	900*	Montreal Main	395
Grand Falls	910*	Dorval	396
Corner Brook	911*	Cote de Liesse	398
Gander	912*	Mirabel	399
Goose Bay	913*		
St. John's	914	Peterborough	400
Fortune	919*	Belleville	402
Argentia	921*	Brockville	405
Harbour Grace	922*	Cornwall	409*
		North Bay	428
Chicoutimi	301*	Ottawa Main	431
Drummondville	303*	Prescott	439
Gaspé	304*	Sault Ste. Marie	441
Granby	305*	Sudbury	444
Quebec Main	312	Trenton	449
Rimouski	313*	Lansdowne	456
Rock Island	314*	Thunder Bay	461
Shawinigan	315*	Timmins	467
Sherbrooke	316*	Pembroke	469

(CONTINUED ON NEXT PAGE)

* Hardcopy entries presented at these sites will not appear on the CADEX K84 as these offices are not automated for B3 input purposes. For CADEX entry format purposes, these offices are also considered to be non-terminal.

LIST OF AUTOMATED SITES (CONTINUED)

Perth	470	Chatham	406
Cobourg	473	London Warehouse	423
Smith Falls	474	Sarnia	440
Pigeon River	475	St. Thomas	446
Lindsay	477	Tillsonburg	447
Fort Frances	478	Wallaceburg	450
Ottawa Air Cargo Centre	485	Windsor Tunnel	452
OACC	488*	Windsor Bridge	453
Rainy River	490	Windsor Main	454
Kenora	494	Leamington	464*
Arnprior		Woodstock	492
Midland	424	Emerson	502
Oshawa	430	Winnipeg Main	504
Barrie	459	Boissevain	507*
Bracebridge	460	Winnipeg Airport	510
Brampton/Warehouse/Main	480	Churchill	511*
Newmarket	486	Inuvik	512*
Toronto Main	495	Iqaluit	513*
Interport	496	Yellowknife	515*
PIA	497	North Portal	602
		Prince Albert	603
		Regina Main	604
		Saskatoon	605
		Regway	607
Kitchener Main/Warehouse	401	Calgary Main/Airport	701
Brantford	404	Edmonton Main/Airport	702
Fort Erie	410	Lethbridge	703
Guelph	414	Coutts	705
Hamilton Warehouse	417	Carway	707
Stratford	425	Del Bonita	708
Niagara Falls	427		
Orillia	429	Vancouver Main	809
Simcoe	442	United Terminals	810*
St. Catherines	445	Victoria	811
Hanover	448	Pacific Highway	813
Welland	451	Huntingdon	817
Cambridge	457	Kingsgate	818
Collingwood	458	Osoyoos	819
Port Colborne	471*	Vancouver Airport	821
Oakville	476	Roosville	824*
Owen Sound	482	Paterson	832
Halton Hills	483		

* Hardcopy entries presented at these sites will not appear on the CADEX K84 as these offices are not automated for B3 input purposes. For CADEX entry format purposes, these offices are also considered to be non-terminal.

3.2.4 Language Default

For each transmission site the participant will specify either English or French as his language of transmission. This will be the language in which the participant wishes to receive the majority of his transmissions, (e.g. feed-back, messages). However, the participant will also have the opportunity to specify the language of his choice in the header record, (i.e. "A" record) for each transmission. This will prove beneficial should the participant who normally receives transmissions in English wish to have certain transmission batches sent in French for a French-language office, or vice versa. Where no preference has been indicated, the system will default to the language specified on the participant's profile.

3.2.5 Shadow Release

To validate an entry, the CADEX system requires a release date. For non-terminal office releases, the CADEX confirmation must include a release date on the KI15 record. For terminal office releases, the release date is input by the CBSA. In some cases, it is possible that a terminal office entry will be transmitted via CADEX before the release information has been input by the CBSA. When this occurs, the system rejects the entry.

To alleviate the problem of entries rejected due to release data not on file, the participant has two alternatives when transmitting a terminal office entry.

Alternative 1

Transmit Release Data for Terminal Office Releases.

To transmit release data, the participant must send a KI15 record and the Business Number on the KI10.

If you transmit a KI15 for a terminal office release, the system will validate the entry as follows:

- (a) if there is no release on file, our system will accept the Business Number on the KI10, and the data on the KI15. The system will validate the entry based on the release data of the KI15. The K84 will include the Business Number transmitted by the participant and the corresponding Importer Name on file.

- (b) if there is a release on file, our system will verify the Business Number transmitted on the KI10 against the Business Number in the release system but will ignore the release date of the KI15. The system will validate the entry using the release data entered by CBSA. The K84 will include the Business Number input by CBSA and the corresponding Importer Name on file.

Alternative 2

Do not transmit release data for terminal office releases. That is, do not transmit a KI15 record.

If the participant does not transmit a KI15, the system will validate the entry as follows:

- (a) if there is no release on file, the CADEX system will reject the entry.
- (b) if there is a release on file, the CADEX system will validate the entry based on the release date input by the CBSA.

3.2.6 Registration Number [Importer or Business Number (BN)]

Each participant must transmit the BN of the importer of record for each accounting document regardless of where release of goods was gained (i.e. non-terminal or terminal offices).

The validation routine will check the transmitted number to ensure it matches the release; if one exists, is valid in format and in effect on the date of release. Transmitted data containing an invalid or unmatched number will be rejected.

X(15) - 9 numerics (Reg Number) + "RM" (Program Identifier) + 4 numerics (Account Number)

3.3 INPUTS

3.3.1 Accounting Document Data

Currently, the CADEX System accepts only confirming accounting documents, types AB, P, S, Type "F" entry for LVS courier goods and the Bonded Warehouse entries (type 10, 13, 20, 21, 22 and 30).

All files required for a confirming accounting document must be transmitted in the proper CADEX record format. These formats can be found in Section 8.1 of this document. Not only must the character type and size of each element within the record be adhered to, but so must the position of each element.

Records must also be transmitted in the proper sequence. Entry process records can be mandatory, conditional, or optional; inclusion of a particular record depends on this status. As a general rule, the entry process records must be transmitted in the following order:

KI10	-	header (mandatory)
KI15	-	NTO/B3B (conditional)
KI20	-	subheader (mandatory)
KI30	-	classification line 1 (mandatory)
KI40	-	classification line 2 (mandatory)
KI50	-	classification line 3 (mandatory)
KI60	-	ruling reference number (optional)
KI65	-	part number (automotive P & S entries only)
KI70	-	invoice cross reference (conditional)
KI90	-	trailer (mandatory)

Greater detail on each of these records can be found in Section 8.1 of this document.

It is important to note that while certain records, such as KI10, KI15, KI20 and KI90 relate to the entire B3, KI30, KI40, KI50, KI60 and KI70 records refer to a specific B3 line. For the purpose of the following illustrations "B3 line" refers to data contained in fields 21, 23 and 26 through 42 inclusive of the new B3 document.

KI10 is required for each B3 transmitted. A KI15, if required, will immediately follow the KI10. The KI20 will follow the KI15 if transmitted; otherwise it will follow the KI10. Because each B3 may have multiple sub headers, the second and subsequent KI20 record(s) will follow the previous KI70.

For the first B3 line in a particular sub header, KI30, KI40, KI50, in this order, must follow KI20. For the second and subsequent B3 lines in that sub header, KI30, KI40, and KI50 will follow the KI70 of the previous B3 line.

Where there is a new sub header, KI30, KI40, and KI50 will follow the new KI20. It should be noted that where the classification number requires a multiple rate of duty which must be expressed in two or three B3 lines, all KI40 records (up to a total of three) are to be inserted after the KI30 and before the KI50 record representing that classification number.

KI60 and KI70 are related to a classification line. KI60, if transmitted, must follow the last KI50 record of the pertinent classification line. Similarly, KI70, if transmitted, must follow KI60, if transmitted or the KI50.

The KI90 is related to the B3. KI90 follows the KI70, where it has been provided, or the KI60 where the KI70 has not been included, or the KI50 where neither KI60 nor KI70 have been transmitted.

Further information on the sequencing of accounting document records can be obtained from the client representative.

Omitted, incomplete, or invalid data will cause the B3 to be rejected back to the participant for correction. Since rejected B3's will not be stored in the CBSA database, the corrected B3 will have to be re-transmitted in its entirety. Errors will be counted in the performance measurement subsystem and will impact the participant's performance rating.

All B3 line extensions and trailer fields must be transmitted along with the other accounting document data. Each field will be validated by the accounting document processing system. There will be no tolerance factor built into the validation routines. Therefore, any field which is not in line with CBSA calculations will cause the B3 to be rejected, and an error message will be sent to the participant.

A limit of 100 B3's to a batch will be allowed. However, there is no limit to the number of batches within a transmission.

3.3.2 Invoice Cross-Reference

The invoice cross-reference, used as a tool by Commodity Specialists and other CBSA officers, will be required for certain entries since the invoices have not been rated. The cross-reference is necessary for each B3 line on multiple line entries.

As part of the transmission process, the broker/importer must transmit the corresponding invoice cross-reference data. The invoice cross-reference simply shows the relationship between each of the invoice page(s) and lines and the appropriate B3 line.

The invoice cross-reference includes:

- the B3 line number;
- the invoice page and line numbers, in the same order as they were presented to aid release; and
- the invoice value for each invoice line as it appears on the invoice, i.e., no deductions made for transport, insurance, etc.

Proper cross-referencing will enable Commodity Specialists and other CBSA officers to cross-reference the invoices and B3 lines quickly and accurately, facilitating timely review and adjustment.

For accounting documents for which one invoice page has been presented at time of release, the KI70 record(s) will contain the following:

- i) the data in the "Invoice Page Number" field is always 001.
- ii) the data in the "Invoice Line Number" field matches the line sequencing on the invoice. The first line of the invoice is line 001, the second is line 002, and so on.

- iii) the data in the "Invoice Value" field must match the value recorded on the invoice line.

For accounting documents for which more than one invoice page has been presented at time of release, the KI70 record(s) will contain the following:

- i) the data in the "Invoice Page Number" must match the page order of the invoice as presented in the RMD package. The first page is "page 1", the second is "page 2", and so on. The references to the page sequence in the invoice package must have unique numbers (i.e. there is only one page 1, etc.). It is unacceptable to have "sub-sets" of invoices in an invoice package.
- ii) the data in the "Invoice Line Number" field must match the line sequencing on the invoice pages. The first line on each page must be recorded as line 001 in the KI70 record. The second line on each page must be line 002 and so on.
- iii) the data in the "Invoice Value" field must match the value recorded on the invoice line.

For accounting documents for which an entire invoice page would be classified under the same H.S. code, the KI70 record(s) will contain the following:

- i) the data in the "Invoice Page Number" must match the page order of the invoice as presented in the RMD package. The first page is "page 1", the second "page 2", and so on. (See previously outlined instructions.)
- ii) the data in the "Invoice Line Number" may be "0" to represent the entire contents of the previously indicated page number.
- iii) the data in the "Invoice Value" field may be the total of the invoice line values for all lines on the page since all the lines would be classified under the same H.S. Code on the B3 line, KI30).

Note: Although not currently required, physically numbering the invoice pages helps CBSA regional personnel.

3.3.3 Accounting Document Corrections

Brokers/Importers will be required to make corrections to previously transmitted data which was rejected by the system and re-transmit all of the B3 data to the CBSA. Once the accounting documents accepted as being correct, post-validation processing such as accounting will take place.

3.3.4 File Queries and Requests

The CADEX System will permit participants to access certain control files. The access can be in a query mode (request information on portions of eligible files) or in a file request form (the most current version of the entire file will be "dumped" to the participant's system).

FILE QUERY

In addition to B3 data transmission, CADEX will provide for a query function. Brokers/Importers on the CADEX System will be able to access certain information contained in certain Agency control files on a query basis. The queries will provide information on limited portions of the file involved e.g. a classification number. Queries will be transmitted along with the B3 data transmission. There is no limit to the number of batches within the transmission. See below for the number of queries per batch.

Responses to queries will be transmitted to the user during a subsequent transmission. In the same manner, CADEX subscribers will be able to request the status of individual B3's that have been previously transmitted. The following files can be queried:

1) Classification File:

Information can be retrieved by classification code and classification code rate effective date. If no date is transmitted, the system will automatically default to the current date. Included in the response will be applicable duty rates, goods and services tax and excise tax rate information. A limit of two hundred and fifty queries to a batch will be allowed.

2) Tariff Code File:

Information can be retrieved by tariff code and tariff code effective date. If no date is transmitted, the system will automatically default to the current date. Included in the response will be applicable duty rates. A limit of two hundred and fifty queries to a batch will be allowed.

3) Exchange Rate File:

Information can be retrieved by country code, currency code and exchange rate effective date. If no date is transmitted, the system will automatically default to the current date. If there is no country code and currency code transmitted in the query, the participant will receive the entire currency file for the effective date requested. A limit of ten queries to a batch will be allowed.

4) Status Updates:

In addition to control file queries, information pertaining to the status of releases and entries, whether transmitted or not, is available. B3 status which includes release information can be queried by transaction number. A limit of five hundred queries to a batch will be allowed.

FILE REQUEST

CADEX will also provide users with the ability to request all data found in any of the applicable files for the current date. Information volumes involved here are much more extensive than for a file query. The files in question are:

- Classification file
- Tariff code file
- GST file
- Excise tax file

In the case of GST and excise tax files, automated file requests will be transmitted along with entry data transmission. Responses to requests will be transmitted to the user during a subsequent transmission.

Users will be required to transmit only the appropriate file identifier and an effective date for file requests. If no date is keyed in, the system will automatically default to the current date.

Due to the size of the classification and tariff code files which will require lengthy transmission times, the user must phone in his request to the appropriate client representative for approval.

If approved, the client representative will schedule a transmission date which is mutually agreeable. The file may be transmitted in sections over a period of time to avoid transmission line congestion and ensure access to the CADEX System by other participants for day-to-day business transactions

3.4 OUTPUTS

3.4.1 Automatic Updates

The purpose of this feature is to automatically provide all CADEX participants with file updates via transmission. This is intended to ensure that all CADEX participants have current up-to-date information in their files.

The CADEX system will write to the output file all updates as they become available. Once the participant initiates a transmission link, the update data is forwarded along with other output data destined for the participant.

Updates will be sent to participants for the following files:

- Classification
- Tariff code
- GST
- Excise Tax

Each day, the participant will also receive a revised copy of the exchange rate file valid for that day.

3.4.2 Validation Responses

After the validation of a transmitted block of accounting documents, feedback messages will be available through CADEX on the acceptability of the accounting documents transmitted. CADEX-related error messages, i.e. format errors, will also be transmitted to the participant as required. All of these error types will be recorded by the Performance Measurement Subsystem.

3.4.3 Accounting Statements

Part of the information which is automatically transmitted to a broker/importer each day, once he has successfully signed onto the system, is accounting information (K84 invoices and/or notices) for all the approved and finalized transactions for the previous business day or deferred billing period. (This does not supersede any existing Agency regulations or guidelines regarding payment of duties and taxes.) CADEX participants will be able to account for their accounting documents at the CBSA offices of their choice. The participant will inform their client representative of which CBSA office(s) will be used for accounting. For each of the accounting offices specified the participant will identify the CBSA offices which will be accounted for at the accounting office. While changes can be made to these release office - accounting office relationships when necessary, the work this entails is significant. In addition to changes to the CBSA's automated files, the CBSA offices impacted by the change will have to be notified and any necessary operational changes made. For this reason, changes should be kept to an absolute minimum.

Each participant may specify any number of accounting offices, and any number of release offices can be accounted for at these accounting offices. However, an individual release office can only be accounted for at one accounting office; it cannot be divided between two accounting offices. In addition, where one accounting office serves more than a single transmission site, the participant must designate one site to which K84 data will be transmitted. Because a change in the chosen site will necessitate major programming adjustments, only exceptional circumstances will warrant such a change.

The accounting (K84) data transmitted to each CADEX participant will include all B3's which were transmitted through CADEX, as well as hardcopy B3's (including ex-warehouse) presented at automated CBSA offices. Accounting documents not included in the transmitted data will be the hardcopies presented at non-terminal CBSA offices. Hardcopies presented at non-automated CBSA offices will be accounted for at those offices, independent of the CADEX System.

Accounting documents from all release ports specified by the participant will be compiled for inclusion on a K84 for the accounting port chosen by the participant. This K84 data will also be transmitted to the CBSA office involved (i.e. accounting office). In this way, the participant will know before going to the CBSA office the amount required to be paid.

Whether or not the participant receives K84 accounting information via CADEX has no bearing on the fact that revenue owing is payable within time limits already established by the CBSA.

3.4.4 Overdue Release Transaction Notification

This status report will identify instances where confirming entry information is overdue for all automated release offices. The report will be automatically transmitted to each participant each business day and will report any overdue releases contained in the Release System files.

3.4.5 Notification of Release Transaction

Following the first successful sign-on of the day, the importer/broker will receive an automatic transmission identifying which shipments have been released since the last report for all automated release offices associated with the CADEX accounting office. Note that CADEX does not send notification of those releases performed at a non-automated office. It is necessary for the client to control these releases by other means to ensure they do not go overdue.

Should the importer/broker wish to receive this information more than once a day, a query request can be transmitted to CADEX to generate the release notification output. This report is non-cumulative. Therefore, the records are available only once for reporting whether by a query request or automatic transmission, then deleted from the output file.

3.4.6 Bulletins/Messages

As required, bulletins/messages regarding general information can be transmitted directly to CADEX users. The benefit of this feature is that information is available more quickly than through regular means of information dissemination. Information which may be transmitted in these bulletins/messages includes country code changes, significant changes to CBSA regulations, changes to previously transmitted exchange or classification rates, text changes for H.S. code descriptions, notices of changes in the CADEX System availability times (e.g. for scheduled maintenance) and other information deemed appropriate by the Electronic Commerce Unit.

4.0 PERFORMANCE MEASUREMENT SUBSYSTEM

The purpose of this component is to provide a facility to monitor and report upon the quantity and quality of transmitted data, its accuracy, as well as the CADEX System's efficiency in processing these entries.

The performance measurement system will keep data by account security number and transmission site of the number of transmissions, turnaround times, number of entries, number of error-free entries and breakdown of the types of errors made.

The system will provide for the CBSA's use daily, month-to-date, previous month and year-to-date reports for each participant. A summary report will be transmitted to importers/brokers each month on their performance during the previous month.

This will permit performance reviews of each participant by CADEX's client representatives to determine whether acceptable performance levels are being achieved and maintained by participants.

5.0 COMMUNICATIONS NETWORK AND ARCHITECTURE

In order to gain access to the CADEX system, the broker or importer must be automated and capable of transmitting and receiving data electronically via the CADEX communications network. This implies the use of standard communications protocols, character code, message formats, CBSA-determined line speeds and corresponding modems.

It is the responsibility of the broker or importer to ensure that his/her software is capable of preparing valid accounting documents and control file information requests. He/she must also be able to receive and correctly handle validation error messages, control file information, control file updates, broadcast messages and K84 reports.

Due to the complexity and technical nature of this subject, details on the specific implementation of the communication network, architecture, and sign-on procedures are outlined in Appendix D. This section contains only high-level descriptions of the general capabilities and features of the 3780 BSC and 3770/SNA protocols and the communications network.

To ensure maximum security, each CADEX participant will have a user identification number (remote ID) and a password that is valid for the remote ID. These security items are explained fully in Appendix D. The remote ID used during acceptance testing will be the same remote ID used in production.

The application password is entered as part of the "A" record for each batch and is verified by the system. If the password is invalid, an error message will be generated and validation of the data will cease. Each participant chooses his/her own application password that should be modified at regular intervals.

5.1 INTRODUCTION TO 3770/SNA SDLC PROTOCOL

The following is a brief description of the SDLC protocol.

The 3770/SNA communications protocol is SDLC. SDLC stands for Synchronous Data Link Control, and is referred to as a bit-oriented protocol. SDLC uses a variety of bit patterns to "flag" the beginning and end of a frame. Other bit patterns are used for the address, control and packet header fields which route the frame through the network to its destination.

SDLC can operate in both half and full duplex mode and permits up to 127 blocks of data to be outstanding before requiring an acknowledgement. When configured in full duplex mode, SDLC will allow simultaneous bi-directional transmissions across the line while in session.

5.2 CADEX IMPLEMENTATION OF THE 3770 SNA/RJE PROTOCOL

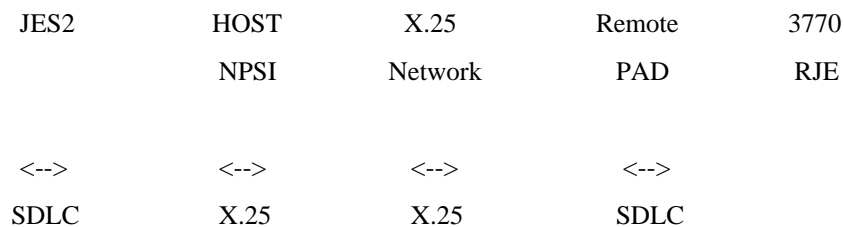
3770 SNA/RJE requires a point-to-point connection between the host program and the remote device. Connection can be established over leased lines, SNA/X.25 - such as Datapac 3303 SDLC, X.25 (Native X.25 - such as a Datapac 3000 link, or circuit switched facilities. Unlike the BSC protocol, however, there is no contending for the line.

The type of communication interface used will depend on the volumes and type of equipment in place at the user site. For most users, an SNA/X.25 or Native X.25 implementation would be sufficient.

The implementation of the SNA/X.25 service consists of a Datapac 3303 SDLC service at the user end and a Datapac 3000 link at the host. Installation of the 3303 service at the user end, implies the use of PADs to perform the necessary protocol conversion from SDLC to the X.25 format for transmission over the network. At the host, IBM's NCP Packet Switching Interface (NPSI) performs the necessary protocol conversion from the X.25 to the required SDLC format.

In the Datapac 3000 (Native X.25) implementation, all PAD functions are performed by the data terminating equipment at the host and remote/user end.

The end-to-end session appears as follows:



5.3 CADEX IMPACT ON EXISTING BROKER/IMPORTER SYSTEMS

Communications with the CBSA host computer will involve a file transfer process to and from the user's system.

Existing automated systems will require some modifications to satisfy the requirements of CADEX. Instead of (or in addition to) producing a hardcopy of transactions, the system must format this information into a disk-resident file for later transmission to the CBSA host. Once all the information is formatted, it is then enveloped in a JCL job stream before being transmitted to the host for processing (this JCL is provided by the user's Client Representative). Since the creation of this file will use information already stored on the user's system, and will be under software control, the potential for format errors or errors in transcribing the data will be significantly reduced.

After the transaction file has been created, the 3770 emulator software must be invoked to transfer the file to the host system. At the time of transmission, the user's system will also receive output from the host, concerning the editing and processing of earlier transactions. These output messages can either be stored on disk for subsequent processing or can be printed. Software will also be required to store and process CBSA control file information that will be transmitted to the user's system.

In the case of most broker/importer automated systems, CADEX will require three components in addition to the existing hardware and software:

- 1) Application software will be required to format transactions according to CADEX requirements and store these transactions on disk. Software will also be required for processing control file information received from the CBSA Host.
- 2) Software will be required to perform the required 3770 emulation during sessions with the host. The major functions of this software will include an operator interface to control RJE operation and to select the disk file to be transmitted, and emulation of the specific RJE device by interfacing with the communications hardware adapter. Standard software packages are available for most systems to perform these functions

- 3) A communications hardware adapter is required for attachment of the communications line. The modem and the line itself will be supplied by public carrier - Telecom Canada or CNCP. Standard SNA/SDLC adapters are available for most systems

5.4 HARDWARE AND SOFTWARE COSTS

The cost of hardware and software necessary for CADEX participation will vary widely from participant to participant. These costs are dependent on hardware/software currently in use by the participant as well as the individual participant's organization, e.g. on-site EDP personnel. Due to these factors and the large variety of hardware/software configurations currently in use, a cost estimate cannot be provided in this document.

5.5 CONCLUSION

It will be the responsibility of each user to acquire the necessary hardware and software for his/her system, to conform with the CADEX requirements. Also the user will assume responsibility for the acquisition and cost of all communication links to the CADEX network.

CBSA has implemented the appropriate host support software for SNA RJE and have also developed technical specifications for the remote configurations. Connections other than JES2 RJE (e.g. RJE) represent significant software development costs for both the user and for CBSA, and are not well suited for the requirements of the CADEX system

6.0 PROBLEM REPORTING AND RESOLUTION

6.1 PROBLEM REPORTING PROCEDURES

In the event a system and/or procedural problem is discovered by a broker/importer, he will contact his assigned client representative. The representative will log the information in the problem file and send a problem identification report to the CADEX testing and maintenance team.

After an initial analysis, which includes monitoring the appropriate PMS reports and the completion of a problem definition, a clarification request may be forwarded to the broker/importer in question should additional information be required.

Once it has been established that the problem is with the CBSA system, all relevant data will be compiled and analyzed after which a solution will be determined, tested and prepared for implementation. If the problem is determined to be in the broker's/importer's environment no further action is applicable under this policy. The broker/importer will however, be expected to identify, resolve and implement a solution in his/her environment and advise CBSA accordingly.

6.2 SYSTEM UPDATING PROCEDURES

Once a system enhancement or a solution to a problem has been developed CADEX personnel will update system specifications and all relevant documentation as part of the problem resolution process. After all updates have received final approval, the amended documentation as well as notification of the enhancement or corrected problem including procedural changes will be forwarded to CADEX users and appropriate personnel. This notification of CADEX System changes will be sent to participants as far in advance of the change as possible and will include the actual date the change will be implemented.

Should the broker/importer require any clarification or additional information regarding the problem in question, he should contact his client representative.

7.0 COSTS

The following outlines the responsibilities of both CADEX participants and the Agency concerning costs related to the CADEX system.

For any clarification or additional information regarding these costs, the appropriate client representative should be contacted.

7.1 COMMUNICATION HARDWARE/SOFTWARE

Participants will be responsible for the purchase of equipment and development of software necessary to gain access to the CADEX system (see section 5.2 and Appendix D for information regarding Hardware/Software/Communication requirements).

7.2 TELECOMMUNICATION CHARGES

Currently, the telecommunication costs which are incurred during data transmission are assumed by the CADEX participant

8.0 Record Formats

The following are record formats for CADEX inputs and outputs which may be followed precisely by participants.

Each record contains:

- 1) Name: abbreviated name for each field included in the record.
- 2) Character Type: identifies the type of character which can be included in the field.
 - 9 = numeric character
 - A = alphabetic character
 - X = alphanumeric character
- 3) Size: denotes maximum number of characters which are allowed in the field.
- 4) Position: identifies the starting position of each field in record. E.g. Position 23 denotes that the first character of the field is located in the 23rd character position of the 80 character record. Numerics must be right justified and zero-filled, while alphabetics and alphanumeric are to be left justified and blanked.
- 5) Status: this code denotes the applicability of the field i.e.
 - M = mandatory field
 - O = optional field
 - C = conditional field

Also included are format edit rules for the field.

8.1 INPUT RECORDS

RECORD STATUS: MANDATORY

APPLICATION NAME: CONTROL STATEMENT

RECORD NAME: INPUT 'A' RECORD

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Control Identifier	X	1	1	M	Equal 'A'
Importer Broker Control Office	X	3	2	O	Importer/Broker assigned code used to identify Importer/Broker work locations
Account Security Number	9	5	5	M	
Transmission Site	X	8	10	M	Valid Transmission site for previous account security number
Password	X	8	18	M	Valid Password for user/site combination
Current Date	9	8	26	M	YYYY MM DD format equal to today's date
Batch Number	X	3	34	M	Importer/Broker assigned reference code used to uniquely identify the batch
Application Identifier	X	2	37	M	see Appendix C
Language Code	X	1	39	O	Blank, 'E' or 'F'

Note: Please refer to the batch number when discussing a specific transmission with the client representative.

RECORD STATUS: MANDATORY

APPLICATION NAME: CONTROL STATEMENT

RECORD NAME: INPUT 'Z' RECORD

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Control Identifier	X	1	1	M	Equal 'Z'
Importer/Broker Control Office	X	3	2	O	Same as 'A' record
Account Security Number	9	5	5	M	Same as 'A' record
Transmission Site	X	8	10	M	Same as 'A' record
Filler	X	8	18	M	Blank
Current Date	9	8	26	M	Same as 'A' record
Batch Number	X	3	34	M	Same as 'A' record
Application Identifier	X	2	37	M	Same as 'A' record
Total Number of Records	9	5	39	M	Total records in A-Z batch including A and Z records

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**
 RECORD NAME **INPUT HEADER RECORD - KI10**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '10'
Account Security Number	9	5	5	M	Same as "A" record
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	Importer No. left justified, blank-filled, or if BN being sent Pos 28/29 to be "RM". See section 3.2.6 on Registration Number.
B3 Type Code	X	2	34	M	Entry type approved for CADEX: "AB", "P", "S", "F" or ** warehouse.
CBSA Office Code	9	4	36	M	Must be a valid office code as per D17-1-10, Appendix H.
GST Registration Number	9	10	40	O	Not required, if Registration Number complete. Must be a valid number.
***Payment Code	X	1	50	M	Must equal "I" or blank. See note below.
Mode of Transport	9	1	51	C	Must be a valid code as per D17-1-10. See note below.
Port of Unlading	9	4	52	C	Show CBSA office code. See note below.
Total Value for Duty	9	10	56	M	Rounded to the nearest dollar.
Carrier Code at Importation	X	4	66	C	Must be a valid carrier code. See note below. See D3-5-2

Mode of Transport is mandatory if:

1. the total VFD is equal to or greater than \$2500 Cdn; and

Port of Unlading is mandatory if:

- 1 the condition described above applies; and
- 2 the mode of transport equals "9" (marine); and
- 3 the place of export is a U.S. state code, foreign trade zone, PR, UM, or VI.

Carrier Code at importation is mandatory if:

- 1 the two conditions described above apply; and
- 2 the mode of transport equals "9" (marine) or "1" (air); and
- 3 the place of export is a U.S. state code, foreign trade zone, PR, UM, or VI.

*See Section 9.0 in PRD for more information.

**See Section 10.0 in PRD for more information.

***Input "I" in the payment code field to identify a transaction for which the importer of record has importer-based security. For brokers' use only. Leave blank if not applicable.

8.10.30

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT RELEASE/B3B - KI15

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '15'
Release Date	X	8	5	C	YYYYMMDD
Cargo Control Number	X	25	13	M	
Cargo Control Number	X	25	38	C	

Complete as many KI15 records as required to include all cargo control numbers for the entry. One release date per entry is allowable. If more than one KI15 is transmitted, the first KI15 must contain the release date.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT SUBHEADER RECORD - KI20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible record
Vendor Name	X	30	8	M	Vendor name only
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI, left justified. See note below
Vendor Zip Code	9	5	41	C	See note below
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10, Appendix H.
Place of Export Code	X	4	49	M	Name change from "Country of export". Must be a valid country code, state code, or foreign trade zone as per D17-1-10, Appendix H.
Tariff Treatment Code	9	2	53	M	As per D17-1-10
U.S. Port of Exit Code	9	5	55	C	Must be a valid code as per D17-1-10. Appendix H. See note below.
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	Must be a valid code as per D17-1-10, Appendix H.
B3 Time Limits	9	2	71	C	Must be completed if time limit unit is input.
Time Limit Unit	X	3	73	C	Must be completed if time limits are input.
Freight	9	5	76	C	Rounded to the nearest dollar (Cdn). See note below.

Vendor state code, zip code, port of exit code, and freight are mandatory if:

1. the total VFD is equal to or greater than \$2,500.00 Cdn; and
2. the place of export is a U.S. state code, foreign trade zone, PR, UM, or VI.

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT CLASSIFICATION LINE 1 RECORD - KI30**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	
Value for Duty Code	9	3	19	M	
Value for Currency Conversion	9	12V99	22	M	
Value for Duty	9	9V99	36	M	
Tariff Code	X	4	47	C	Replaces the annex code
*Special Authority	X	16	51	C	See note below
SIMA Code	9	3	67	C	Replaces the Special Assessment Code
SIMA Assessment	9	7v99	70	C	Replaces the Special Assessment Amount

*If the classification number requires an import permit number, this field must be completed with either:

- a valid permit number (left justified); or
- a valid order-in-council number (left justified).

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT CLASSIFICATION LINE 2 RECORD - KI40**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10v999	5	C	
Unit of Measure Code	A	3	18	C	Must be a valid code as per D17-1-10, Appendix H.
Weight in Kilograms	9	7	21	C	To the nearest kilogram. See note below.
Customs Duty Rate Input	X	10	28	M	To be right justified, blank filled. Decimal to be transmitted.
Customs Duty Amount	9	9V99	38	C	

Weight is mandatory for the entire shipment if the following conditions exist:

1. the total VFD is equal to or greater than \$2,500.00 Cdn;
2. the place of export is a U.S. state code, foreign trade zone, PR, UM, or VI; and
3. the mode of transport equals "9" (marine) or "1" (air).

Complete on the first KI40 only.

8.10.70

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 3 RECORD - KI50

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '50'
Excise Tax Rate	X	10	5	C	To be right justified, blank filled. Decimal to be transmitted.
Excise Tax Amount	9	8V99	15	C	
Value for Tax	9	10V99	25	M	
Rate of GST	X	10	37	C	To be right justified, blank filled. Decimal to be transmitted.
GST Amount	9	9V99	47	C	

RECORD STATUS: OPTIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT RULING REFERENCE NUMBER RECORD - KI60

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '60'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record.
Ruling Number	X	13	9	M	See note*

This record may be included if the user wishes to provide reference to a previous CBSA ruling on the commodities imported.

*Please quote the National Customs Ruling Number as opposed to the Case Number. However, if no ruling number exists, quote the case number.

RECORD STATUS: MANDATORY*

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT PART NUMBER RECORD - KI65

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '65'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record.
Part Number/Description	X	39	9	M	

*Automotive use only. Required for "P" and "S" type entries.

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT INVOICE CROSS-REFERENCE RECORD - KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record.
Invoice Page Number	9	3	9	M	
Invoice Line Number	9	3	12	M	Will accept either "0" or value
Invoice Value	9	12v99	15	M	From invoice page/line
Invoice Page Number	9	3	29	O	
Invoice Line Number	9	3	32	O	Will accept either "0" or value
Invoice Value	9	12v99	35	O	From invoice page/line
Invoice Page Number	9	3	49	O	
Invoice Line Number	9	3	52	O	Will accept either "0" or value
Invoice Value	9	12v99	55	O	From invoice page/line

Complete as many KI70 records as required to include all invoice cross-reference for the entry.

If all lines on a given invoice page are classified under the same H.S. code, the values may be totalled and transmitted. Show the invoice line as "0" on the KI70 to signify that the entire page is included in the B3 line.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT TRAILER RECORD - KI90

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	
Total SIMA Assessment	9	8V99	17	C	
Total Excise Tax	9	9V99	27	C	
Total GST	9	10V99	38	C	
Total Duty & Tax	9	10V99	50	M	

RECORD STATUS: MANDATORY

APPLICATION NAME: CLASSIFICATION/TARIFF CODE FILE QUERY

RECORD NAME: INPUT RECORD - QA10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'QA'
Record Type	9	2	3	M	Equals '10'
Classification Number	9	10	5	C	Not required if Tariff code is completed
Duty Rate Effective Date	9	8	15	O	Valid date, equal to or prior to today's date YYYY MM DD
Tariff Code	X	4	23	C	Not required if Classification Number Completed
Tariff Code Rate Effective Date	9	8	27	O	Valid date, equal to or prior to today's date YYYY MM DD
Importer/Broker Reference Number	X	4	35	O	Participant assigned number, used to identify specific transaction

All references to "annex code" has been changed to "tariff code".

Either classification number and/or tariff code must be entered.

RECORD STATUS: MANDATORY

APPLICATION NAME: EXCHANGE RATE QUERY

RECORD NAME: INPUT RECORD - QE10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	'QE'
Record Type	9	2	3	M	'10'
* Country Code	X	2	5	C	
* Currency Code	A	3	7	C	
Exchange Rate Effective Date Requested	9	8	10	M	Valid date less than today's date YYYY MM DD format
Importer/Broker Reference Number	X	4	18	O	Importer/Broker assigned number used to identify this transaction

* Note: If Country Code and Currency Code are both blank, a dump of the entire exchange rate file will be generated. If both are completed, a specific retrieval of the exchange rate file will be generated.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY/RELEASE STATUS QUERY

RECORD NAME: INPUT RECORD - QJ10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	'QJ'
Record type	9	2	3	M	'10'
Account Security Number	9	5	5	M	
Importer/Broker Transaction Number	9	9	10	M	
Importer/Broker Reference Number	X	4	19	O	Importer/Broker assigned number used to identify this transaction

RECORD STATUS: OPTIONAL

APPLICATION NAME: GST FILE REQUEST

RECORD NAME: INPUT RECORD - FC10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	'FC'
Record Type	9	2	3	M	'10'
Importer/Broker Reference Number	X	4	5	O	Importer/Broker assigned number used to identify this transaction

RECORD STATUS: MANDATORY

APPLICATION NAME: EXCISE TAX FILE REQUEST

RECORD NAME: INPUT RECORD - FD10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	'FD'
Record Type	9	2	3	M	'10'
Importer/Broker Reference	X	4	5	O	Importer/Broker assigned number used to identify this transaction

RECORD STATUS: MANDATORY

APPLICATION NAME: NOTIFICATION OF RELEASE QUERY REQUEST

RECORD NAME: INPUT RECORD - QO10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	'QO'
Record Type	9	2	3	M	'10'
Importer/Broker Reference Number	X	4	5	O	Importer/Broker assigned number used to identify this transaction

CADEX RECORD FORMAT

8.2 OUTPUT RECORDS

APPLICATION NAME: CONTROL STATEMENT

RECORD NAME: OUTPUT 'B' RECORD

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Control Identifier	X	1	1		Equal 'B'
Importer/Broker Control Office	X	3	2		From 'A' Record
Account Security Number	9	5	5		From 'A' Record
Transmission Site	X	8	10		From 'A' Record
Filler	X	8	18		Blank
Current Date	9	8	26		From 'A' Record
Batch Number	X	3	34		From 'A' Record
Application Identifier	X	2	37		From 'A' Record

APPLICATION NAME: **CONTROL STATEMENT**

RECORD NAME: **OUTPUT 'Y' RECORD**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Control Identifier	X	1	1		Equal 'Y'
Importer Broker Control Office	X	3	2		From 'B' Record
Account Security Number	9	5	5		From 'B' Record
Transmission Site	X	8	10		From 'B' Record
Filler	X	8	18		Blank
Current Date	9	8	26		From 'B' Record
Batch Number	X	3	34		From 'B' Record
Application Identifier	X	2	37		From 'B' Record
Filler	X	9	39		Blank
Number of Transactions	9	5	48		Number of transactions processed in the A-Z batch
Number of Valid Transactions	9	5	53		Number of transactions processed in the A-Z batch
Number of Invalid Transactions	9	5	58		Number of transactions processed in the A-Z batch
Total Number of Records	9	5	63		Number of Records in B-Y batch including the B and Y records

APPLICATION NAME: **CONTROL STATEMENT**

RECORD NAME: **OUTPUT RECORD - XX11**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'XX'
Record Type	9	2	3		'11'
Message Number	X	8	5		
Message Text	X	92	13		Error message text related to the A, Z or application identifier of any input records

Note: This record will be generated in conjunction with errors encountered on the "A" or "Z" records or invalid Application Identifiers on any input records. The record in error will be transmitted as input, followed by the "XX11" record.

If the Account Security Number or Transmission Site on the "A" or "Z" record are in error, there will be no feedback generated for the batch.

APPLICATION NAME: **CONTROL FILE UPDATES - CLASSIFICATION**

RECORD NAME: **OUTPUT RECORD - AA20**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'AA'
Record Type	9	2	3		'20'
Classification Number	9	10	5		
Area Code	9	1	15		
Area Code	9	1	16		
Area Code	9	1	17		
Classification Effective Date	9	8	18		YYYY MM DD format
Classification Expiry Date	9	8	26		YYYY MM DD format
Classification Authority Number	X	13	34		
Statistical UOM Code	A	3	47		
Exchange Date Determination Flag	A	1	50		
Inactive Indicator	A	1	51		
Tariff Authority Number	X	13	52		
Tariff Effective Date	9	8	65		
Tariff Expiry Date	9	8	73		
*Permit Indicator	A	1	81		'Y' or 'N'
**Quota Indicator	A	1	82		'Y' or 'N'

* If the permit indicator is 'Y' for the classification number, a valid permit number or order-in-council number must be transmitted in the special authority field of the KI30 record.

** If the quota indicator is 'Y' for the classification number, the goods are subject to a quota limit for validation processing of the first-come first-served Tariff Rate Quotas (TRQ). To successfully pass validation, the following conditions must be met:

- the classification number must be effective on the date of release and the date of accounting for the entry; and
- the imported quantity must keep within the national quota

APPLICATION NAME: **CONTROL FILE UPDATES - CLASSIFICATION**

RECORD NAME: **OUTPUT RECORD - AA30**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		AA
Record Type	9	2	3		'30'
*Classification Number	9	10	5		
Duty Rate Effective Date	9	8	15		YYYY MM DD format
Duty Rate Expiry Date	9	8	23		YYYY MM DD format
Free Indicator	A	1	31		
Unit of Measure Code	A	3	32		
Inactive Indicator	A	1	35		
Duty Rate Authority Number	X	13	36		

*The Classification number on any output records AA20, AA30, AA50 and AA60 will be produced at the 10-digit classification level.

APPLICATION NAME: CONTROL FILE UPDATES - CLASSIFICATION

RECORD NAME: OUTPUT RECORD - AA40

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'AA'
Record Type	9	2	3		'40'
Duty Rate Type	A	1	5		
Duty Rate Regular	9	(4)V(5)	6		
Duty Rate Minimum	9	(4)V(5)	15		
Duty Rate Maximum	9	(4)V(5)	24		
Duty Rate Type	A	1	33		
Duty Rate Regular	9	(4)V(5)	34		
Duty Rate Minimum	9	(4)V(5)	43		
Duty Rate Maximum	9	(4)V(5)	52		
Duty Rate Type	A	1	61		
Duty Rate Regular	9	(4)V(5)	62		
Duty Rate Minimum	9	(4)V(5)	71		
Duty Rate Maximum	9	(4)V(5)	80		
Duty Rate Type	A	1	89		
Duty Rate Regular	9	(4)V(5)	90		
Duty Rate Minimum	9	(4)V(5)	99		
Duty Rate Maximum	9	(4)V(5)	108		
Tariff Treatment Code	9	2	117		
Free Indicator	A	1	119		

APPLICATION NAME: **CONTROL FILE UPDATES - CLASSIFICATION**

RECORD NAME: **OUTPUT RECORD - AA50**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		AA
Record Type	9	2	3		'50'
Classification Number	9	10	5		
Regulation Effective Date	9	8	15		YYYY MM DD format
Regulation Expiry Date	9	8	23		YYYY MM DD format
Inactive Indicator	A	1	31		
GST Reference Number	X	3	32		
Excise Tax Reference Number	X	3	35		
GST Reference Number	X	3	38		
Excise Tax Reference Number	X	3	41		
GST Reference Number	X	3	44		
Excise Tax Reference Number	X	3	47		
GST Reference Number	X	3	50		
Excise Tax Reference Number	X	3	53		
GST Reference Number	X	3	56		
Excise Tax Reference Number	X	3	59		
GST Reference Number	X	3	62		
Excise Tax Reference Number	X	3	65		
GST Reference Number	X	3	68		
Excise Tax Reference Number	X	3	71		

APPLICATION NAME: **CONTROL FILE UPDATES - CLASSIFICATION**

RECORD NAME: **OUTPUT RECORD - AA50 (continued)**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
GST Reference Number	X	3	74		
Excise Tax Reference Number	X	3	77		
GST Reference Number	X	3	80		
Excise Tax Reference Number	X	3	83		
GST Reference Number	X	3	86		
Excise Tax Reference Number	X	3	89		
GST Reference Number	X	3	92		
Excise Tax Reference Number	X	3	95		
GST Reference Number	X	3	98		
Excise Tax Reference Number	X	3	101		
GST Tax Reference Number	X	3	104		
Excise Tax Reference Number	X	3	107		
GST Tax Reference Number	X	3	110		
Excise Tax Reference Number	X	3	113		
GST Tax Reference Number	X	3	116		
Excise Tax Reference Number	X	3	119		
GST Reference Number	X	3	122		
Excise Tax Reference Number	X	3	125		
GST Tax Reference Number	X	3	128		

APPLICATION NAME: **CONTROL FILE UPDATES - CLASSIFICATION**

RECORD NAME: **OUTPUT RECORD - AA60**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		AA
Record Type	9	2	3		'60'
Classification Number	9	10	5		
Excise Duty Effective Date	9	8	15		YYYY MM DD format
Excise Duty Expiry Date	9	8	23		YYYY MM DD format
Free Indicator	A	1	31		
Unit of Measure Code	A	3	32		
Duty Rate Type	A	1	35		
Duty Rate Regular	9	(4)V(5)	36		
Duty Rate Minimum	9	(4)V(5)	45		
Duty Rate Maximum	9	(4)V(5)	54		
Duty Rate Type	A	1	63		
Duty Rate Regular	9	(4)V(5)	64		
Duty Rate Minimum	9	(4)V(5)	73		
Duty Rate Maximum	9	(4)V(5)	82		
Inactive Indicator	A	1	91		

APPLICATION NAME: **CONTROL FILE UPDATES - TARIFF CODE**

RECORD NAME: **OUTPUT RECORD - AB20**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'AB'
Record Type	9	2	3		'20'
Tariff Code	X	4	5		
Tariff Code Authority Effective Date	9	8	9		YYYY MM DD format
Tariff Code Authority Expiry Date	9	8	17		YYYY MM DD format
Tariff Code Rate Effective Date	9	8	25		YYYY MM DD format
Tariff Code Rate Expiry Date	9	8	33		YYYY MM DD format
Tariff Code Authority Number	X	13	41		
Inactive Indicator	A	1	54		
Free Indicator	A	1	55		Y or N
GST 0-rate Indicator	A	1	56		Y or N

APPLICATION NAME: CONTROL FILE UPDATES - TARIFF CODE

RECORD NAME: OUTPUT RECORD - AB30

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'AB'
Record Type	9	2	3		'30'
Free Indicator	A	1	5		
Tariff Treatment Code	9	2	6		
Duty Rate Type	A	1	8		
Duty Rate Regular	9	(4)V(5)	9		
Duty Rate Minimum	9	(4)V(5)	18		
Duty Rate Maximum	9	(4)V(5)	27		
Duty Rate Type	A	1	36		
Duty Rate Regular	9	(4)V(5)	37		
Duty Rate Minimum	9	(4)V(5)	46		
Duty Rate Maximum	9	(4)V(5)	55		
Duty Rate Type	A	1	64		
Duty Rate Regular	9	(4)V(5)	65		
Duty Rate Minimum	9	(4)V(5)	74		
Duty Rate Maximum	9	(4)V(5)	83		
Duty Rate Type	A	1	92		
Duty Rate Regular	9	(4)V(5)	93		
Duty Rate Minimum	9	(4)V(5)	102		
Duty Rate Maximum	9	(4)V(5)	111		
Inactive Indicator	A	1	120		

APPLICATION NAME: **CONTROL FILE UPDATES - GST**

RECORD NAME: **OUTPUT RECORD - AC10**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'AC'
Record Type	9	2	3		'10'
GST Reference Number	X	3	5		
GST Tax Rate Effective Date	9	8	8		YYYY MM DD format
GST Rate Expiry Date	9	8	16		YYYY MM DD format
Excise Tax Rate Check Indicator	A	1	24		
GST Check Group	9	1	25		
GST Rate Type	X	1	26		
GST Rate	9	(4)V(5)	27		
Unit of Measure Code	A	3	36		
GST Title	X	60	39		English or French
Inactive Indicator	A	1	99		

APPLICATION NAME: **CONTROL FILE UPDATES - EXCISE TAX**

RECORD NAME: **OUTPUT RECORD - AD10**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'AD'
Record type	9	2	3		'10'
Excise Tax Reference Number	X	3	5		
Excise Tax Rate Effective Date	9	8	8		YYYY MM DD format
Excise Tax Rate Expiry Date	9	8	16		YYYY MM DD format
Excise Tax Rate Type	X	1	24		
Excise Tax Rate	9	(4)V(5)	25		
Unit of Measure Code	A	3	34		
Excise Tax Title	X	60	37		English or French
Inactive Indicator	A	1	97		

APPLICATION NAME: **CONTROL FILE UPDATE - EXCHANGE RATE**

RECORD NAME: **OUTPUT RECORD - AE10**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equal 'AE'
Record Type	9	2	3		Equal '10'
Country Code	X	2	5		
Country Name	X	30	7		English or French
Currency Code	A	3	37		
Currency Name	X	30	40		English or French
Exchange Rate Effective Date	9	8	70		YYYY MM DD format
Exchange Rate	9	(2)V(6)	78		

APPLICATION NAME: ENTRY PROCESS

RECORD NAME: OUTPUT RECORD 1 - RI

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equal 'RI'
Record Type	9	2	3		See chart below
Input Record	X	74	5		From input record pos. 5 - 80

Input Record

Output Record

KI10	Header	RI 10
KI15	NTO/B3B Record	RI 15
KI20	Sub header	RI 20
KI30	Classification Line 1	RI 30
KI40	Classification Line 2	RI 40
KI50	Classification Line 3	RI 50
KI60	Ruling Reference Number	RI 60
KI65	Part Number Record	RI 65
KI70	Invoice Cross Reference Rcd.	RI 70
KI90	Trailer Record	RI 90

APPLICATION NAME: ENTRY PROCESS

RECORD NAME: OUTPUT RECORD 2 - RI

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equal 'RI'
Record Type	9	2	3		See chart below
Importer/Broker Document	9	14	5		Combination of Account Identifier Security and Importer/Broker Transaction Number
Message Number	X	8	19		
Message Text	X	92	27		Error message text related to the RI10 record

Output Record

RI10 Header
RI15 NTO/B3B Record
RI20 Sub header
RI30 Classification Line 1
RI40 Classification Line 2
RI50 Classification Line 3
RI60 Ruling Reference Number
RI65 Part Number Record
RI70 Invoice Cross Reference Rcd.
RI90 Trailer Record

Error Message

Output Record

RI 11
RI 16
RI 21
RI 31
RI 41*
RI 51*
RI 61
RI 66
RI 71
RI 91

*The RI 41 and RI 51 records will be transmitted with an additional field included - the B3 LINE NUMBER of the corresponding KI30 record which will occupy positions 119-122 inclusive.

APPLICATION NAME: ENTRY PROCESS

RECORD NAME: OUTPUT RECORD 3 - RI

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equal 'RI'
Record Type	9	2	3		Equal '99'
Importer/Broker Document	9	14	5		Combination of Account Identifier Security and Importer/Broker Transaction Number
Message Number	X	8	19		
Message Text	X	92	27		See Note below

Note: This record denotes whether the entry records have been "accepted" or "rejected". If the entry validation feedback code has been set to "off", then no RI99 records will be generated for "accepted" entries, only for "rejected" ones.

APPLICATION NAME: CADEX ACCOUNT STATEMENT

RECORD NAME: OUTPUT RECORD - AK10

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'AK'
Record Type	9	2	3		'10'
Accounting Office Number	X	4	5		
Accounting Office Name	X	30	9		
Account Security Holder Name	X	30	39		
Statement Date	9	8	69		YYYY MM DD format
Accounting Date	9	8	77		YYYY MM DD format
Account Security Number	9	5	85		

APPLICATION NAME: CADEX ACCOUNT STATEMENT

RECORD NAME: OUTPUT RECORD - AK15

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'AK'
Record Type	9	2	3		'15'
Release Office Number	X	4	5		
Release Office Name	X	30	9		

APPLICATION NAME: CADEX ACCOUNTING STATEMENT

RECORD NAME: OUTPUT RECORD - AK20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '20'
Name	X	24	5		
Registration Number	X	15	29		
Importer/Broker Transaction Number	9	9	44		
Customs Duty	9	10V99	53		
SIMA Assessment	9	9V99	65		
Excise Tax	9	9V99	76		
GST	9	10V99	87		
Total Duty & Tax	9	10V99	99		
Late Filing Penalty	9	6V99	111		
Total Duty & Tax Penalty	9	10V99	119		

When available, both the importer number and name will be transmitted.

The AK20 record lists the duties and taxes and late filing penalty owing against a specific transaction number.

APPLICATION NAME: CADEX ACCOUNTING STATEMENT

RECORD NAME: OUTPUT RECORD - AK30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '30'
Office Total Customs Duty	9	10V99	5		
Office Total SIMA Assessment	9	9V99	17		
Office Total Excise Tax	9	9V99	28		
Office Total GST	9	10V99	39		
Office Total Duty & Tax	9	10V99	51		
Office Total Late Filing Penalty	9	6V99	63		
Office Total Duty & Tax & Penalty	9	10V99	71		

The AK30 record lists the duties and taxes and late filing penalties owing against all entries for a specific release office.

This record will not be generated if the K84 contains data for entries associated with only one release office when that release office is equal to the accounting office.

APPLICATION NAME: CADEX ACCOUNTING STATEMENT

RECORD NAME: OUTPUT RECORD - AK35

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '35'
Account Total Customs Duty	9	10V99	5		
Account Total SIMA Assessment	9	9V99	17		
Account Total Excise Tax	X	9V99	28		
Account Total GST	9	10V99	39		
Account Total Duty & Tax	9	10V99	51		
Account Total Late Filing Penalty	9	6V99	63		
Account Total Duty, Tax & Penalty	9	10V99	71		

The AK35 record lists the account totals owing for all transactions where the importer of record has importer-based security and for which the importer's broker has indicated "I" in the payment code field.

APPLICATION NAME: CADEX ACCOUNTING STATEMENT

**RECORD NAME: OUTPUT RECORD - AK36 (ACCOUNT TOTAL -
BROKER TRANSACTIONS)**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '36'
Account Total Customs Duty	9	10V99	5		
Account Total SIMA Assessment	9	9V99	17		
Account Total Excise Tax	9	9V99	28		
Account Total GST	9	10V99	39		
Account Total Duty & Tax	9	10V99	51		
Account Total Late Filing Penalty	9	6V99	63		
Account Total Duty, Tax & Penalty	9	10V99	71		

The AK36 record lists the account totals owing for all broker-based security transactions. To be generated only if an AK35(s) is/are produced.

APPLICATION NAME: CADEX ACCOUNTING STATEMENT

RECORD NAME: OUTPUT RECORD - AK40

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '40'
Statement Date	9	8	5		YYYY MM DD
Total Amount - Customs Duty	9	10V9 9	13		
Office Total SIMA Assessment	9	9V99	25		
Total Amount - Excise	9	9V99	36		
Total Amount - GST	9	10V9 9	47		
Total Amount - Duty and Tax	9	10V9 9	59		
Total Late Filing Penalty	9	6V99	71		
Total Duty & Tax & Penalty	9	10V9 9	79		
Message	X	44	91		See note below

The AK40 record shows the total duties and taxes and late filing penalties for all previous K84 records.

For account security holders with periodic payment privileges, the message field will contain the statement: Notice due/avis payable YYYY MM DD.

For account security holders with end of day settlement privileges, the following message will be generated: TTL DUE TODAY* TOTAL PAYABLE AUJOURD HUI.

APPLICATION NAME: CADEX PERIODIC ACCOUNTING MONTHLY STATEMENT

RECORD NAME: OUTPUT RECORD - AK49 - HEADER

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '49'
Accounting Office Number	X	4	5		
Accounting Office Name	X	30	9		
Account Security Holder Name	X	30	39		
Statement Date	9	8	69		YYYY/MM/DD Format Current date
Account Security Number	9	5	77		See note below

The AK49 record is generated for account security holders with periodic payment privileges.

**APPLICATION NAME: CADEX MONTHLY PERIODIC ACCOUNTING
STATEMENT - TOTALS FOR EACH DAY**

RECORD NAME: OUTPUT RECORD - AK50

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '50'
Notice Date	9	8	5		YYYY MM DD Format
Daily Total Account - Customs Duty	9	10V9 9	13		
Daily Total Account - SIMA Assessment	9	9V99	25		
Daily Total Account - Excise Tax	9	9V99	36		
Daily Total Account - GST	9	10V9 9	47		
Daily Total Account - Duty and Tax	9	10V9 9	59		

The AK50 record shows the total unadjusted duties and taxes owing (not including any penalties) for all accounting documents processed for each specific day of the billing period. The statement date will be date the previous AK40 notices were generated.

**APPLICATION NAME: CADEX PERIODIC ACCOUNTING
STATEMENT - MONTHLY TOTAL**

RECORD NAME: OUTPUT RECORD - AK51

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '51'
Monthly Total Account - Customs Duty	9	10V9 9	5		
Monthly Total Account - SIMA Assessment	9	9V99	17		
Monthly Total Account - Excise Tax	9	9V99	28		
Monthly Total Account - GST	9	10V9 9	39		
Monthly Total Account - Duty and Tax	9	10V9 9	51		

The AK51 record shows the total unadjusted duties and taxes owing (not including any penalties for all accounting documents processed for the billing period).

**APPLICATION NAME: CADEX PERIODIC ACCOUNTING
STATEMENT – CORRECTIONS**

RECORD NAME: OUTPUT RECORD - AK52

**CONDITIONAL RECORD - GENERATED IF CORRECTIONS ARE MADE DURING
BILLING PERIOD**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '52'
Notice Date	9	8	5		YYYY MM DD
Transaction Number	9	9	13		
Plus or Minus	X	1	22		Equals + or -
Corrected Customs Duty	9	10V9 9	23		
Plus or Minus	X	1	35		Equals + or -
Corrected SIMA Assessment	9	9V99	36		
Plus or Minus	X	1	47		Equals + or -
Corrected Excise Tax	9	9V99	48		
Plus or Minus	X	1	59		Equals + or -
Corrected GST	9	10V9 9	60		
Plus or Minus	X	1	72		Equals + or -
Corrected Duty and Tax Total	9	10V9 9	73		

The AK52 record shows the amount of correction to duties and taxes owing for each accounting document corrected during the billing period.

**APPLICATION NAME: CADEX PERIODIC ACCOUNTING
STATEMENT - CORRECTION TOTALS**

RECORD NAME: OUTPUT RECORD - AK53

**CONDITIONAL RECORD - GENERATED IF CORRECTIONS ARE MADE
DURING BILLING PERIOD**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '53'
Plus or Minus	X	1	5		Equals + or -
Total Corrected Account - Customs Duty	9	10V99	6		
Plus or Minus	X	1	18		Equals + or -
Total Corrected Account - SIMA Assessment	9	9V99	19		
Plus or Minus	X	1	30		Equals + or -
Total Corrected Account - Excise Tax	9	9V99	31		
Plus or Minus	X	1	42		Equals + or -
Total Corrected Account - GST	9	10V99	43		
Plus or Minus	X	1	55		Equals + or -
Total Corrected Account - Duty and Tax	9	10V99	56		

The AK53 record shows the total amount of correction to duties and taxes owing for all accounting documents corrected during the billing period.

APPLICATION NAME: CADEX PERIODIC INTERIM PAYMENT - NOTICE

RECORD NAME: OUTPUT RECORD - AK54

CONDITIONAL RECORD - GENERATED IF INTERIM PAYMENTS OF NOTICES ARE MADE

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '54'
Notice Date	9	8	5		YYYY MM DD Format
Interim Payment Customs Duty	9	10V99	13		
Interim Payment SIMA Assessment	9	9V99	25		
Interim Payment Excise Tax	9	9V99	36		
Interim Payment GST	9	10V99	47		
Interim Payment Duty and Tax	9	10V99	59		
Interim Payment Late Filing Penalty	9	6V99	71		
Total Interim Payment	9	10V99	79		

The AK54 record shows the total duties and taxes and late filing penalties as an interim payment processed for each specific notice paid in advance of the monthly statement.

APPLICATION NAME: CADEX PERIODIC INTERIM PAYMENT - TRANSACTIONS

RECORD NAME: OUTPUT RECORD - AK56

CONDITIONAL RECORD - GENERATED IF INTERIM PAYMENTS OF TRANSACTIONS ARE MADE

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '56'
Notice Date	9	8	5		YYYY MM DD
Transaction Number	9	9	13		
Interim Payment - Customs Duty	9	10V99	22		
Interim Payment - SIMA Assessment	9	9V99	34		
Interim Payment - Excise Tax	9	9V99	45		
Interim Payment - GST	9	10V99	56		
Interim Payment - Duty and Tax	9	10V99	68		
Interim Payment Late Filing Penalty	9	6V99	80		
Total Interim Payment	9	10V99	88		

The AK56 record shows the total duties and taxes and late filing penalty processed for each specific transaction paid in advance of the monthly statement.

APPLICATION NAME: CADEX MONTHLY ACCOUNTING STATEMENT - LATE FILING PENALTIES

RECORD NAME: OUTPUT RECORD - AK60

CONDITIONAL RECORD - GENERATED IF PENALTIES ARE ASSESSED

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '60'
Importer/Broker Transaction Number	9	9	5		
Statement Date	9	8	14		YYYY MM DD
Penalty	9	6V99	22		

The AK60 record lists the penalties owing against a specific transaction number. One AK60 record will be generated for each transaction subject to penalty during the accounting period.

APPLICATION NAME: **CADEX MONTHLY ACCOUNTING STATEMENT
LATE ACCOUNTING INTEREST**

RECORD NAME: **OUTPUT RECORD - AK61**

**CONDITIONAL RECORD - GENERATED IF LATE ACCOUNTING INTEREST IS
ASSESSED**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '61'
Importer/Broker Transaction Number	9	9	5		
Statement Date	9	8	14		YYYY MM DD
Late Accounting Interest	9	6V99	22		

The AK 61 record shows the late accounting interest for a specific transaction number. One AK61 record will be generated for each transaction subject to late accounting interest.

APPLICATION NAME: **CADEX MONTHLY ACCOUNTING STATEMENT
LATE K84 PAYMENT INTEREST CHARGES**

RECORD NAME: **OUTPUT RECORD - AK62**

CONDITIONAL RECORD - GENERATED IF LATE K84 INTEREST APPLIES

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals "AK'
Record Type	9	2	3		Equals '62'
Statement Date	9	8	5		YYYY MM DD
Late Payment of K84 Interest Penalty	9	6V99	13		

The AK 62 record shows the interest changes assessed for late K84 payment for the previous accounting period.

**APPLICATION NAME: CADEX MONTHLY ACCOUNTING STATEMENT
LATE FILING PENALTIES AND INTEREST TOTALS**

RECORD NAME: OUTPUT RECORD - AK65

CONDITIONAL RECORD - GENERATED IF PENALTIES OR INTEREST APPLIES

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '65'
Total Late Filing Penalty	9	6V99	5		
Total Late Account Interest	9	6V99	13		
Total Late K84 Interest Penalty	9	6V99	21		
Total Penalties & Interest	9	6V99	29		

The AK 65 record shows total for the information on the AK60, AK61 and AK62 records.

APPLICATION NAME: CADEX MONTHLY ACCOUNTING STATEMENT
INTEREST

RATES ASSESSED FOR LATE ACCOUNTING AND K84
PAYMENTS

RECORD NAME: OUTPUT RECORD - AK66

CONDITIONAL RECORD - GENERATED IF INTEREST CHARGES ARE ASSESSED

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '66'
Specified Interest Rate	X	6	5		Right Justified; Blank filled; Decimal to be transmitted.
Effective/Expiry Date	9	16	11		YYYY MM DD/YYYY MM DD
Specified Interest Rate	X	6	27		Right Justified; Blank Filled; Decimal to be transmitted.
Effective/Expiry Date	9	16	33		YYYY MM DD/YYYY MM DD

The AK66 record will show the applicable interest rate calculated for interest penalties.
If there is a rate change during the billing period, the different rates and their effective/expiry dates
will be shown.

APPLICATION NAME: CADEX PERIODIC ACCOUNTING MONTHLY STATEMENT

RECORD NAME: OUTPUT RECORD - AK70 - TOTALS

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AK'
Record Type	9	2	3		Equals '70'
Total Amount - Customs Duty	9	10V9 9	5		
Total Amount - SIMA Assessment	9	9V99	17		
Total Amount - Excise	9	9V99	28		
Total Amount - GST	9	10V9 9	39		
Total Duty and Tax	9	10V9 9	51		
Total Late Filing Penalties & Interest	9	6V99	63		
*Minus	X	1	71		"-"
*Total Late Filing Penalties Paid	9	6V99	72		
**Grand Total - Duty, Tax, Penalty, & Interest	9	10V9 9	80		
Message	X	39	92		TTL Due YYYYMMDD*

* denotes new field

** denotes realigned field

Notes:

1. The AK70 record represents the total duty, tax, penalties paid, due on the last business day of the month.
2. The totals for duty, SIMA, Excise, and GST have been adjusted for any corrections or interim payments made during the billing period.
3. Payments of late filing penalties during this period are not included in the adjusted totals and are therefore shown separately and deducted from the outstanding amount owing.
4. The statement will be generated on the second last business day of the month.

APPLICATION NAME: BROADCAST MESSAGE

RECORD NAME: OUTPUT RECORD - AL10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'AL'
Record Type	9	2	3		'10'
Message Text	X	128	5		

APPLICATION NAME: **CLASSIFICATION/TARIFF CODE FILE QUERY**

RECORD NAME: **OUTPUT RECORD - RA10**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA''
Record Type	9	2	3		'10'
Classification Number	9	10	5		From 'QA10' record
Duty Rate Effective Date	9	8	15		From 'QA10' record
Tariff Code	X	4	23		From 'QA10' record
Tariff Code Rate Effective Date	9	8	27		From 'QA10' record
Importer/Broker Reference Number	X	4	35		From 'QA10' record

This record is an exact duplication of the QA10 Input Record and will always be generated along with any 'RA' output records.

APPLICATION NAME: CLASSIFICATION/TARIFF CODE FILE QUERY

RECORD NAME: OUTPUT RECORD - RA11

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'11'
Message Number	X	8	5		
Message Text	X	92	13		Error message text related to RA10 record

This record will be generated in conjunction with the RA10 record.

APPLICATION NAME: **CLASSIFICATION/TARIFF CODE FILE QUERY**

RECORD NAME: **OUTPUT RECORD - RA20 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'20'
Classification Number	9	10	5		
Area Code	9	1	15		
Area Code	9	1	16		
Area Code	9	1	17		
Classification Effective Date	9	8	18		YYYY MM DD format
Classification Expiry Date	9	8	26		YYYY MM DD format
Classification Authority Number	X	13	34		
Statistical UOM Code	A	3	47		
Exchange Rate Determination Flag	A	1	50		
Inactive Indicator	A	1	51		
Tariff Authority Number	X	13	52		
Tariff Effective Date	9	8	65		YYYY MM DD format
Tariff Expiry Date	9	8	73		YYYY MM DD format
*Permit Indicator	A	1	81		'Y' or 'N'
**Quota Indicator	A	1	82		'Y' or 'N'

* If the permit indicator is 'Y' for the classification number, a valid permit number or order-in-council number must be transmitted in the special authority field of the KI30 record.

** If the quota indicator is 'Y' for the classification number, the goods are subject to a quota limit for validation processing of the first-come first-served Tariff Rate Quotas (TRQ). To successfully pass validation, the following conditions must be met:

- the classification number must be effective on the date of release and the date of accounting for the entry; and
- the imported quantity must keep within the national quota

APPLICATION NAME: **CLASSIFICATION/TARIFF CODE FILE QUERY**

RECORD NAME: **OUTPUT RECORD - RA21**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'21'
Classification Number	9	10	5		From QA10 record
Duty Rate Effective Date	9	8	15		From QA10 record
Message Number	X	8	23		
Message Text	X	92	31		See note below
Importer/Broker Reference Number	X	4	123		From 'QA10' record

This record is generated if no classification number/duty rate is found on the database for the number and date queried on the QA10 record.

APPLICATION NAME: **CLASSIFICATION/TARIFF CODE FILE QUERY**

RECORD NAME: **OUTPUT RECORD - RA30 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'30'
Classification Number	9	10	5		
Duty Rate Effective Date	9	8	15		YYYY MM DD format
Duty Rate Expiry Date	9	8	23		YYYY MM DD format
Free Indicator	A	1	31		
Unit of Measure Code	A	3	32		
Inactive Indicator	A	1	35		
Duty Rate Authority Number	X	13	36		

APPLICATION NAME: CLASSIFICATION/TARIFF CODE FILE QUERY

RECORD NAME: OUTPUT RECORD - RA40 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'40'
Duty Rate Type	A	1	5		
Duty Rate Regular	9	(4)V(5)	6		
Duty Rate Minimum	9	(4)V(5)	15		
Duty Rate Maximum	9	(4)V(5)	24		
Duty Rate Type	A	1	33		
Duty Rate Regular	9	(4)V(5)	34		
Duty Rate Minimum	9	(4)V(5)	43		
Duty Rate Maximum	9	(4)V(5)	52		
Duty Rate Type	A	1	61		
Duty Rate Regular	9	(4)v(5)	62		
Duty Rate Minimum	9	(4)V(5)	71		
Duty Rate Maximum	9	(4)V(5)	80		
Duty Rate Type	A	1	89		
Duty Rate Regular	9	(4)v(5)	90		
Duty Rate Minimum	9	(4)V(5)	99		
Duty Rate Maximum	9	(4)V(5)	108		
Tariff Treatment Code	9	2	117		
Free Indicator	A	1	119		

APPLICATION NAME: CLASSIFICATION/TARIFF CODE FILE QUERY

RECORD NAME: OUTPUT RECORD - RA52 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'52'
GST Reference Number	X	3	5		
GST Rate Effective Date	9	8	8		YYYY MM DD format
GST Rate Expiry Date	9	8	16		YYYY MM DD format
Excise Tax Rate Check Indicator	A	1	24		
GST Check Group	9	1	25		
GST Rate Type	X	1	26		
GST Rate	9	(4)v(5)	27		
Unit of Measure Code	A	3	36		
GST Title	X	60	39		English or French
Inactive Indicator	A	1	99		

APPLICATION NAME: CLASSIFICATION/TARIFF CODE FILE QUERY

RECORD NAME: OUTPUT RECORD - RA54 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'54'
Excise Tax Reference Number	X	3	5		
Excise Tax Rate Effective Date	9	8	8		YYYY MM DD format
Excise Tax Rate Expiry Date	9	8	16		YYYY MM DD format
Excise Tax Rate Type	X	1	24		
Excise Tax Rate	9	(4)v(5)	25		
Unit of Measure Code	A	3	34		
Excise Tax Title	X	60	37		English or French
Inactive Indicator	A	1	97		

APPLICATION NAME: **CLASSIFICATION/TARIFF CODE FILE QUERY**

RECORD NAME: **OUTPUT RECORD - RA60 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'60'
Classification Number	9	10	5		
Excise Duty Rate Effective Date	9	8	15		YYYY MM DD format
Excise Duty Rate Expiry Date	9	8	23		YYYY MM DD format
Free Indicator	A	1	31		
Unit of Measure Code	A	3	32		
Excise Duty Rate Type	X	1	35		
Excise Duty Rate Regular	9	(4)V(5)	36		
Excise Duty Rate Minimum	9	(4)V(5)	45		
Excise Duty Rate Maximum	9	(4)V(5)	54		
Excise Duty Rate Type	X	1	63		
Excise Duty Rate Regular	9	(4)V(5)	64		
Excise Duty Rate Minimum	9	(4)v(5)	73		
Excise Duty Rate Maximum	9	(4)V(5)	82		
Inactive Indicator	A	1	91		

APPLICATION NAME: **CLASSIFICATION/TARIFF CODE FILE QUERY**

RECORD NAME: **OUTPUT RECORD - RA70 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'70'
Tariff Code	X	4	5		
Tariff Code Authority Effective Date	9	8	9		YYYY MM DD format
Tariff Code Authority Expiry Date	9	8	17		YYYY MM DD format
Tariff Code Rate Effective Date	9	8	25		YYYY MM DD format
Tariff Code Rate Expiry Date	9	8	33		YYYY MM DD format
Tariff Code Authority Number	X	13	41		
Inactive Indicator	A	1	54		
Free Indicator	A	1	55		Y or N
GST 0-rate Indicator	A	1	56		Y or N
Importer/Broker Ref. No.	X	4	57		

APPLICATION NAME: **CLASSIFICATION/TARIFF CODE FILE QUERY**

RECORD NAME: **OUTPUT RECORD - RA71**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'71'
Tariff Code	X	4	5		From 'QA10' record
Tariff Code Rate Effective Date	9	8	9		From 'QA10' record
Message Number	X	8	17		
Message Text	X	92	25		See note below
Importer/Broker Reference Number	X	4	117		From 'QA10' record

This record is generated if no tariff code/duty rate is found on the database for the number and rate queried on the QA10 Record.

APPLICATION NAME: CLASSIFICATION/TARIFF CODE FILE QUERY

RECORD NAME: OUTPUT RECORD - RA80 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RA'
Record Type	9	2	3		'80'
Free Indicator	A	1	5		
Tariff Treatment Code	9	2	6		
Duty Rate Type	A	1	8		
Duty Rate Regular	9	(4)v(5)	9		
Duty Rate Minimum	9	(4)v(5)	18		
Duty Rate Maximum	9	(4)v(5)	27		
Duty Rate Type	A	1	36		
Duty Rate Regular	9	(4)v(5)	37		
Duty Rate Minimum	9	(4)v(5)	46		
Duty Rate Maximum	9	(4)v(5)	55		
Duty Rate Type	A	1	64		
Duty Rate Regular	9	(4)v(5)	65		
Duty Rate Minimum	9	(4)v(5)	74		
Duty Rate Maximum	9	(4)v(5)	83		
Duty Rate Type	A	1	92		
Duty Rate Regular	9	(4)V(5)	93		
Duty Rate Minimum	9	(4)V(5)	102		
Duty Rate Maximum	9	(4)V(5)	111		
Inactive Indicator	A	1	120		

APPLICATION NAME: **EXCHANGE RATE QUERY**

RECORD NAME: **OUTPUT RECORD - RE10**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RE'
Record Type	9	2	3		'10'
Country Code	X	2	5		From 'QE10' record
Currency Code	X	3	7		From 'QE10' record
Exchange Rate Effective Date Requested	9	8	10		From 'QE10' record
Importer/Broker Reference Number	X	4	18		From 'QE10' record

Note: This record is an exact duplication of the QE10 Input Record and will be generated with any 'RE' output records.

APPLICATION NAME: EXCHANGE RATE QUERY

RECORD NAME: OUTPUT RECORD - RE11

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RE'
Record Type	9	2	3		'11'
Message Number	X	8	5		
Message Text	X	92	13		Error message text related to RE10 record

Note: This record will be generated in conjunction with the RE10 Record.

APPLICATION NAME: EXCHANGE RATE QUERY

RECORD NAME: OUTPUT RECORD - RE20 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RE'
Record Type	9	2	3		'20'
Country Code	X	2	5		From 'QE10' record
Country Name Title	A	30	7		English or French
Currency Code	A	3	37		From 'QE10' record
Currency Name Title	A	30	40		English or French
Exchange Rate Effective Date Requested	9	8	70		From 'QE10' record
Exchange Rate	9	(2)v(6)	78		
Importer/Broker Reference Number	X	4	86		From 'QE10' record

APPLICATION NAME: **EXCHANGE RATE QUERY**

RECORD NAME: **OUTPUT RECORD - RE21**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RE'
Record Type	9	2	3		'21'
Country Code	X	2	5		From 'QE10' record
Currency Code	A	3	7		From 'QE10' record
Exchange Rate Effective Date Requested	9	8	10		From 'QE10' record
Message Number	X	8	18		
Message Text	X	92	26		See note below
Importer/Broker Reference Number	X	4	118		From 'QE10' record

Note: This record will be generated if no exchange rate or country/currency code is found on the database for the codes and dates queried on the RE10 Record.

APPLICATION NAME: ENTRY/RELEASE STATUS QUERY

RECORD NAME: OUTPUT RECORD - RJ10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RJ'
Record Type	9	2	3		'10'
Account Security Number	9	5	5		From 'QJ10' record
Importer/Broker Transaction Number	9	9	10		From 'QJ10' record
Importer/Broker Reference Number	X	4	19		From 'QJ10' record

Note: This record is an exact duplication of the QJ10 Input Record and will be generated with any 'RJ' output records.

APPLICATION NAME: ENTRY/ RELEASE STATUS QUERY

RECORD NAME: OUTPUT RECORDS - RJ11

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RJ'
Record Type	9	2	3		'11'
Account Security Number	9	5	5		From 'QJ10' record
Importer/Broker Transaction Number	9	9	10		From 'QJ10' record
Message Number	X	8	19		
Message Text	X	92	27		Error message text related to 'QJ10' record

Note: This record will be generated in conjunction with the RJ10 record.

APPLICATION NAME: **ENTRY/RELEASE STATUS QUERY**

RECORD NAME: **OUTPUT RECORDS - RJ20 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'RJ'
Record Type	9	2	3		'20'
Account Security Number	9	5	5		From 'QJ10' record
Importer/Broker Transaction Number	9	9	10		From 'QJ10' record
Release Status Date	9	8	19		YYYY MM DD format
Release Status Text*	X	100	27		English or French
Office Number	X	4	127		

*If a shipment is released by the CBSA, but must remain at destination until the government department (i.e. Canadian Food Inspection Agency (CFIA)) has approved shipment for release into the Canadian market, a message will be generated indicating that the goods have been released and are detained to destination.

APPLICATION NAME: **ENTRY/RELEASE STATUS QUERY**

RECORD NAME: **OUTPUT RECORDS - RJ30 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'RJ'
Record Type	9	2	3		'30'
Account Security Number	9	5	5		From 'QJ10' record
Importer/Broker Transaction Number	9	9	10		From 'QJ10' record
Entry Status Date	9	8	19		YYYY MM DD format
Entry Status Text	X	100	27		English or French
Importer/Broker Reference Number	X	4	127		From 'QJ10' record

APPLICATION NAME: **OVERNIGHT FILE REQUEST - CLASSIFICATION**

RECORD NAME: **OUTPUT RECORDS - GA10 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'GA'
Record Type	9	2	3		'10'
Transmission File Flag	A	1	5		"Y" or "N" - see note below
Range Start Classification	9	10	6		Code
Range End Classification	9	10	16		Code
Language Code	X	1	26		
File Selection End Date	9	8	27		YYYY MM DD format
High Speed Tape Indicator	X	1	35		"Y" or "N"

Note: "Y" if entire Classification File is to be transmitted.

"N" if only partial Classification File is to be transmitted as indicated by the 'START' and 'END' ranges.

APPLICATION NAME: OVERNIGHT FILE REQUEST - CLASSIFICATION

RECORD NAME: OUTPUT RECORD - GA20 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'GA'
Record Type	9	2	3		'20'
Classification Number	9	10	5		
Area Code	9	1	15		
Area Code	9	1	16		
Area Code	9	1	17		
Classification Effective Date	9	8	18		YYYY MM DD format
Classification Expiry date	9	8	26		YYYY MM DD format
Classification Authority Number	X	13	34		
Statistical UOM Code	A	3	47		
Exchange Date Determination Flag	A	1	50		
Inactive Indicator	A	1	51		
Tariff Authority Number	X	13	52		
Tariff Effective Date	9	8	65		YYYY MM DD format
Tariff Expiry Date	9	8	73		YYYY MM DD format
*Permit Indicator	A	1	81		'Y' or 'N'
**Quota Indicator	A	1	82		'Y' or 'N'

- * If the permit indicator is 'Y' for the classification number, a valid permit number or order-in-council number must be transmitted in the special authority field of the KI30 record.

- * If the quota indicator is 'Y' for the classification number, the goods are subject to a quota limit for validation processing of the first-come first-served Tariff Rate Quotas (TRQ). To successfully pass validation, the following conditions must be met:
 - the classification number must be effective on the date of release and the date of accounting for the entry; and
 - the imported quantity must keep within the national quota

APPLICATION NAME: **OVERNIGHT FILE REQUEST - CLASSIFICATION**

RECORD NAME: **OUTPUT RECORD - GA30 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'GA'
Record Type	9	2	3		'30'
Classification Number	9	10	5		
Duty Rate Effective Date	9	8	15		YYYY MM DD format
Duty Rate Expiry Date	9	8	23		YYYY MM DD format
Free Indicator	A	1	31		
Unite of Measure Code	A	3	32		
Inactive Indicator	A	1	35		
Duty Rate Authority Number	X	13	36		

APPLICATION NAME: OVERNIGHT FILE REQUEST - CLASSIFICATION

RECORD NAME: OUTPUT RECORD - GA40 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'GA'
Record Type	9	2	3		'40'
Duty Rate Type	A	1	5		
Duty Rate Regular	9	(4)v(5)	6		
Duty Rate Minimum	9	(4)v(5)	15		
Duty Rate Maximum	9	(4)v(5)	24		
Duty Rate Type	A	1	33		
Duty Rate Regular	9	(4)V(5)	34		
Duty Rate Minimum	9	(4)V(5)	43		
Duty Rate Maximum	9	(4)V(5)	52		
Duty Rate Type	A	1	61		
Duty Rate Regular	9	(4)v(5)	62		
Duty Rate Minimum	9	(4)v(5)	71		
Duty Rate Maximum	9	(4)v(5)	80		
Duty Rate Type	A	1	89		
Duty Rate Regular	9	(4)v(5)	90		
Duty Rate Minimum	9	(4)v(5)	99		
Duty Rate Maximum	9	(4)v(5)	108		
Tariff Treatment Code	9	2	117		
Free Indicator	A	1	119		

APPLICATION NAME: OVERNIGHT FILE REQUEST - CLASSIFICATION

RECORD NAME: OUTPUT RECORD - GA50 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		GA
Record Type	9	9	3		'50'
Classification Number	9	10	5		
Regulation Effective Date	9	8	15		YYYY MM DD format
Regulation Expiry Date	9	8	23		YYYY MM DD format
Inactive Indicator	A	1	31		
GST Reference Number	X	3	32		
Excise Tax Reference Number	X	3	35		
GST Reference Number	X	3	38		
Excise Tax Reference Number	X	3	41		
GST Reference Number	X	3	44		
Excise Tax Reference Number	X	3	47		
GST Reference Number	X	3	50		
Excise Tax Reference Number	X	3	53		
GST Reference Number	X	3	56		
Excise Tax Reference Number	X	3	59		
GST Reference Number	X	3	62		
Excise Tax Reference Number	X	3	65		
GST Reference Number	X	3	68		
Excise Tax Reference Number	X	3	71		

APPLICATION NAME: OVERNIGHT FILE REQUEST - CLASSIFICATION

RECORD NAME: OUTPUT RECORD - GA50 (VALID OUTPUT RESULTS) (continued)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
GST Reference Number	X	3	74		
Excise Tax Reference Number	X	3	77		
GST Reference Number	X	3	80		
Excise Tax Reference Number	X	3	83		
GST Reference Number	X	3	86		
Excise Tax Reference Number	X	3	92		
GST Reference Number	X	3	95		
Excise Tax Reference Number	X	3	98		
GST Reference Number	X	3	101		
Excise Tax Reference Number	X	3	104		
GST Reference Number	X	3	107		
Excise Tax Reference Number	X	3	110		
GST Reference Number	X	3	113		
Excise Tax Reference Number	X	3	116		
GST Reference Number	X	3	119		
Excise Tax Reference Number	X	3	122		
GST Reference Number	X	3	125		
Excise Tax Reference Number	X	3	128		

APPLICATION NAME: OVERNIGHT FILE REQUEST - CLASSIFICATION

RECORD NAME: OUTPUT RECORD - GA60 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'GA'
Record Type	9	2	3		'60'
Classification Number	9	10	5		
Excise Duty Rate Effective Date	9	8	15		YYYY MM DD format
Excise Duty Rate Expiry Date	9	8	23		YYYY MM DD format
Free Indicator	A	1	31		
Unit of Measure Code	A	3	32		
Duty Rate Type	A	1	35		
Duty Rate Regular	9	(4)v(5)	36		
Duty Rate Minimum	9	(4)v(5)	45		
Duty Rate Maximum	9	(4)v(5)	54		
Duty Rate Type	A	1	63		
Duty Rate Regular	9	(4)v(5)	64		
Duty Rate Minimum	9	(4)v(5)	73		
Duty Rate Maximum	9	(4)v(5)	82		
Inactive Indicator	A	1	91		

APPLICATION NAME: **OVERNIGHT FILE REQUEST - TARIFF CODE**

RECORD NAME: **OUTPUT RECORD - GB10**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'GB'
Record Type	9	2	3		'10'
Transmission File Flag	A	1	5		"Y" or "N" - See note below
Range Start Tariff Code	X	4	6		
Range End Tariff Code	X	4	10		
File Selection End Date	9	8	14		YYYY MM DD format
High Speed Tape Indicator	X	1	22		

Enter "Y" if entire Tariff Code file is to be transmitted. Enter "N" if only partial Tariff Code file is to be transmitted as indicated by the "START" and "END" ranges.

APPLICATION NAME: **OVERNIGHT FILE REQUEST - TARIFF CODE**

RECORD NAME: **OUTPUT RECORD - GB20 (VALID OUTPUT RESULTS)**

<u>RECORD NAME</u> NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'GB'
Record Type	9	2	3		'20'
Tariff Code	X	4	5		
Tariff Code Authority Effective Date	9	8	9		YYYY MM DD format
Tariff Code Authority Expiry Date	9	8	17		YYYY MM DD format
Tariff Code Rate Effective Date	9	8	25		YYYY MM DD format
Tariff Code Rate Expiry Date	9	8	33		YYYY MM DD format
Tariff Code Authority Number	X	13	41		
Inactive Indicator	A	1	54		
Free Indicator	A	1	55		Y or N
GST 0-rate Indicator	A	1	56		Y or N

APPLICATION NAME: OVERNIGHT FILE REQUEST - TARIFF CODE

RECORD NAME: OUTPUT RECORD - GB30 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'GB'
Record Type	9	2	3		'30'
Free Indicator	A	1	5		
Tariff Treatment Code	9	2	6		
Duty Rate Type	A	1	8		
Duty Rate Regular	9	(4)v(5)	9		
Duty Rate Minimum	9	(4)v(5)	18		
Duty Rate Maximum	9	(4)v(5)	27		
Duty Rate Type	A	1	36		
Duty Rate Regular	9	(4)v(5)	37		
Duty Rate Minimum	9	(4)v(5)	46		
Duty Rate Maximum	9	(4)v(5)	55		
Duty Rate Type	A	1	64		
Duty Rate Regular	9	(4)v(5)	65		
Duty Rate Minimum	9	(4)v(5)	74		
Duty Rate Maximum	9	(4)v(5)	83		
Duty Rate Type	A	1	92		
Duty Rate Regular	9	(4)v(5)	93		
Duty Rate Minimum	9	(4)v(5)	102		
Duty Rate Maximum	9	(4)v(5)	111		
Inactive Indicator	A	1	120		

APPLICATION NAME: GST FILE REQUEST

RECORD NAME: OUTPUT RECORD - GC10 (VALID OUTPUT RESULTS)

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'GC'
Record Type	9	2	3		'10'
GST Reference Number	X	3	5		
GST Rate Effective Date	9	8	8		YYYY MM DD format
GST Rate Expiry Date	9	8	16		YYYY MM DD format
Excise Tax Rate Check Indicator	A	1	24		
GST Check Group	9	1	25		
GST Rate Type	X	1	26		
GST Rate	9	(4)V(5)	27		
Unit of Measure	A	3	36		
GST Tax Title	X	60	39		English or French
Inactive Indicator	A	1	99		

APPLICATION NAME: GST FILE REQUEST

RECORD NAME: OUTPUT RECORD - GC11

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'GC'
Record Type	9	2	3		'11'
Message Number	X	8	5		
Message Text	X	92	13		Error message text related to GC20 record

Note: This record will be generated in conjunction with the GC Record.

APPLICATION NAME: GST FILE REQUEST

RECORD NAME: OUTPUT RECORD - GC20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'GC'
Record Type	9	2	3		'20'
Importer/Broker Reference Number	X	4	5		From 'FC10' record

Note: This record is an exact duplication of the FC10 Input Record and will be generated with any 'GC' output records.

APPLICATION NAME: **EXCISE TAX FILE REQUEST**

RECORD NAME: **OUTPUT RECORD - GD10 (VALID OUTPUT RESULTS)**

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'GD'
Record Type	9	2	3		'10'
Excise Tax Reference Number	X	3	5		
Excise Tax Rate Effective	9	8	8		YYYY MM DD format Date
Excise Tax Rate Expiry Date	9	8	16		YYYY MM DD format
Excise Tax Rate Type	X	1	24		
Excise Rate	9	(4)V(5)	25		
Excise Tax Unit of Measure Code	A	3	34		
Excise Tax Title	X	60	37		English or French
Inactive Indicator	A	1	97		

APPLICATION NAME: EXCISE TAX FILE REQUEST

RECORD NAME: OUTPUT RECORD - GD11

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'GD'
Record Type	9	2	3		'11'
Message Number	X	8	5		
Message Text	X	92	13		Error message text related to the GD20 record

Note: This record will be generated in conjunction with the GD20 Record.

APPLICATION NAME: EXCISE TAX FILE REQUEST

RECORD NAME: OUTPUT RECORD - GD20

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1		'GD'
Record Type	9	2	3		'20'
Importer/Broker Reference Number	X	4	5		From 'FD10' record

Note: This record is an exact duplication of the FD10 Input Record and will be generated with any 'GD' output records.

APPLICATION NAME: PERFORMANCE MEASUREMENT SYSTEM -
IMPORTER/BROKER

**MONTH-TO-DATE PARTICIPANT'S
REPORT**

RECORD NAME: OUTPUT RECORD - AP10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Always 'AP'
Record Type	9	2	3		'10'
Classification File Request Count	9	6	5		
Classification Query Request Count	9	6	11		
Classification Query Error Count	9	6	17		
Entry Status Query Request Count	9	6	23		
Entry Status Query Error Count	9	6	29		
Entry Record Count	9	6	35		
Header Record Error Count	9	6	41		
Sub header Record Error Count	9	6	47		
Classification Line Record Error Count	9	6	53		
Trailer Record Error Count	9	6	59		
Cross-Reference Record Error Count	9	6	65		
Non-Terminal Office/Cargo Control Number Record Error Count	9	6	71		
Ruling Record Error Count	9	6	77		
Part Number Record Error Count	9	6	83		

APPLICATION NAME: PERFORMANCE MEASUREMENT SYSTEM
IMPORTER/BROKER

MONTH-TO-DATE PARTICIPANT'S

REPORT

RECORD NAME: OUTPUT RECORD - AP20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'AP'
Record Type	9	2	3		'20'
Tariff Code File Request Count	9	6	5		
GST File Request Count	9	6	11		
GST File Request Error Count	9	6	17		
Excise Tax File Request Count	9	6	23		
Excise Tax File Request Error Count	9	6	29		
Exchange Rate File Request Count	9	6	35		
Exchange Rate File Request Error Count	9	6	41		
Tariff Code Query Count	9	6	47		
Tariff Code Query Error Count	9	6	53		
Exchange Rate Query Count	9	6	59		
Exchange Rate Query Error Count	9	6	65		

Format of output report is left to the discretion of the participant, i.e., the participant decides if data will be viewed on screen or if data is output on hard copy. If output is on hardcopy, participant will determine the report layout.

APPLICATION NAME: OVERDUE RELEASE TRANSACTION NOTIFICATION

RECORD NAME: OUTPUT RECORD - AR10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AR'
Record Type	9	2	3		Equals '10'
Release Office	X	4	5		
Registration Number	X	15	9		Either Importer or Business Number
Name	X	30	24		
Transaction Number	X	9	54		
Cargo Control Number	X	25	63		Only first CCN where multiple CCNs exist
Release Type	X	5	88		See table below
LVS Indicator	X	1	93		"Y" or blank
Release Date	9	8	94		YYYYMMDD
Age in Days	9	3	102		No. of days since goods released.
AQ Indicator	X	1	105		"Y" or blank

1. AQ indicator will advise clients whether or not ACROSS has received the invoice data.
"Y" = Customs has invoice data or the release is not an EDIRMD type.
"Blank" = Customs is waiting for invoice data and release is not complete.
2. Release Type Code
00067= ETA (entered to arrive)
00075= FIRST
00117= PARS (presented paper)
00125= PARS (E.D.I.)
00174= RMD (presented paper)
00232= V.I. (value included)
00257= RMD (E.D.I.)
00463= EDIPARSOGD
00471= EDIRMDOGD

APPLICATION NAME: OVERDUE RELEASE TRANSACTION NOTIFICATION

RECORD NAME: OUTPUT RECORD - AR20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AR'
Record Type	9	2	3		Equals '20'
English Message	X	128	5		See Below

"All LVS Transactions and all others 5 days or older are now overdue. Penalty will be assessed unless exemption is given."

APPLICATION NAME: OVERDUE RELEASE TRANSACTION NOTIFICATION

RECORD NAME: OUTPUT RECORD - AR30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AR'
Record Type	9	2	3		Equals '30'
French Message	X	128	5		See Below

"Transactions EFV et toutes les autres de 5 jours ou plus en souffrance. Il y aura pénalité à moins qu'une exemption ne soit accordée."

APPLICATION NAME: NOTIFICATION OF RELEASE TRANSACTION
RECORD NAME: OUTPUT RECORD - AO10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		Equals 'AO'
Record Type	9	2	3		Equals '10'
Release Office	X	4	5		
Transaction Number	X	9	9		
Release Date	9	8	18		YYYY MM DD format
Registration Number	X	15	26		Either Import Number or Business Number
Name	X	30	41		
Cargo Control Number	X	25	71		Only first CCN where multiple CCN's exist
*Release Type	X	5	96		See table for codes
**LVS Indicator	X	1	101		"Y" or blank
***Detain to destination	X	2	102		DTD code or Blank

* denotes change in field size

** LVS indicator will be passed from ACROSS to the new release area. New field added to the Notification of Release Report and Query.

*** If applicable, a Detain to Destination code will be passed from ACROSS to DCMT/Release. The new field added to the Notification of Release Report is a numeric 'DTD code ' or blank. DTD Decision types have been converted to a numerical reference. For example, DTD Decision type that applies to a Canadian Food Inspection Agency (CFIA) decision is represented by code 02.

1. Release types have been converted to a numerical reference; the table below indicates the new codes assigned to the current release types.

Release Type Code
00034=Aerospace
00067= ETA (entered to arrive)
00075= FIRST
00117= PARS (presented paper)
00125= PARS (E.D.I.)
00174= RMD (presented paper)
00232= V.I. (value included)
00257= RMD (E.D.I.)
00463=EDIPARSOGD
00471=EDIRMDOGD

2. New field has been added to indicate if the release documentation was presented as an LVS.
3. New field has been added to indicate if a shipment is released by CBSA, but must remain at destination until the government department (i.e. Canadian Food Inspection Agency (CFIA)) has approved shipment for release into the Canadian market.

APPLICATION NAME: **NOTIFICATION OF RELEASE TRANSACTION**

RECORD NAME: **OUTPUT RECORD - AO11**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'AO'
Record Type	9	2	3		'11'
Message Number	X	8	5		
Message Text	X	92	13		Error message text related to AO20

Note: This record will be generated in conjunction with the AO20 Record when an error condition is detected on the QO10 Input Record.

APPLICATION NAME: **NOTIFICATION OF RELEASE TRANSACTION**

RECORD NAME: **OUTPUT RECORD - AO20**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'AO'
Record Type	9	2	3		'20'
Importer/Broker Reference Number	X	4	5		From 'QO10' record

Note: This record is an exact duplication of the QO10 Input Record and will be generated only when an error in the 'QO' input record is detected.

APPLICATION NAME: **NOTIFICATION OF RELEASE TRANSACTION**

RECORD NAME: **OUTPUT RECORD AO21**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1		'AO'
Record Type	9	2	3		'21'
Message Number	X	8	5		
Message Text	X	92	13		Message text related to AO20 record when no release records are found

Note: This record will be generated in conjunction with the AO20 Record.

9.0 CUSTOMS LOW VALUE SHIPMENT

Amended February 2010

CUSTOMS LOW VALUE SHIPMENTS

9.1 LVS SYSTEM

Carriers who qualify for the LVS program will summarize shipments valued at less than \$1600 Canadian on a Cargo/Release List. The carrier will direct the release information for each shipment to the appropriate Customs Broker/Importer.

If a Broker/Importer does not wish to have their shipments released under this system, the regular RMD/Accounting procedures should be followed.

9.1.1 **Entry Types**

To account for LVS releases under the new system, CADEX transmissions are type "F", hard copy entries are also type "F". The following are the three types of acceptable formats:

1) Total Consolidation

This national B3 is a monthly summary of total duties and taxes. Separate subheaders are used to summarize each Tariff treatment used. Many data fields require either "dummy" information or blanks; while other fields will require legitimate information.

2) Consolidation by Importer

Consolidation by importer is an alternative to the total consolidation method. It is a monthly B3 summarizing duties and taxes by importer number. The entry consolidation can be done at a national or regional level or by release office. The same data requirements listed under "Total Consolidation" apply here also.

3) Consolidation by OIC

Shipments released under this program, using a Special Authority number, must be accounted for either individually on a "transaction-by-transaction" basis or in a consolidated manner. Multiple transactions using the same Special Authority number can be combined into one line if the following information is the same for each transaction:

- Business Number;
- Special Authority (OIC number);
- GST Registration Number;
- Classification Number**
- Tariff Treatment;
- Customs Duty Rate Input;
- Excise Tax Rate;
- Rate of GST.

In cases where one importer uses more than one Special Authority number, the information can be consolidated into one entry with each Special Authority number reported on a separate line on the entry.

9.2.1 Accounting

These entries must be submitted/transmitted by the 24th of the month following the month of release. If the 24th falls on a weekend or holiday, the entry must be accepted by the last business day prior to the 24th. Payment must be made by the last business day of the month.

9.3 PROCESS

Input-Detailed field explanations for the three accounting formats are listed in Section 9.2.2 of this document.

Output-The system edits the field formats as per the record layouts in section 9.2.1 in addition to verifying that the data is acceptable.

9.2.1 Record Formats For Type "F"

The following are record formats for CADEX inputs and outputs which may be followed precisely by participants.

Each record contains:

- 1) Name: abbreviated name for each field included in the record.
- 2) Character Type: identifies the type of character which can be included in the field.

9 = numeric character

A = alphabetic character

X = alphanumeric character

- 3) Size: denotes maximum number of characters that are allowed in the field.

- 4) Position: identifies the starting position of each field in record.

E.g. Position 23 denotes that the first character of the field is located in the 23rd character position of the 80 character record. Numerics must be right justified and zero-filled, while alphabets and alphanumerics are to be left justified and blank-filled.

5) Status: this code denotes the applicability of the field i.e.

M = mandatory field

O = optional field

C = conditional field

Also included are format edit rules for the field.

9.2.2 Customs Low Value Shipment

F Type Consolidated Entry

INPUT RECORDS

RECORD STATUS:

MANDATORY

APPLICATION NAME: CONTROL STATEMENT

RECORD NAME: INPUT 'A' RECORD

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Control Identifier	X	1	1	M	Equal 'A'
Importer Broker Control Office	X	3	2	O	Importer/Broker assigned code used to identify Importer/Broker work locations
Account Security Number	9	5	5	M	
Transmission Site	X	8	10	M	Valid Transmission site for previous account security number
Password	X	8	18	M	Valid Password for user/site combination
Current Date	9	8	26	M	YYYY MM DD format equal to today's date
Batch Number	X	3	34	M	Importer/Broker assigned reference code used to uniquely identify the batch
Application Identifier	X	2	37	M	see Appendix C
Language Code	X	1	39	O	Blank, 'E' or 'F'

Note: Please refer to the batch number when discussing a specific transmission with the client representative.

RECORD STATUS:

MANDATORY

APPLICATION NAME: CONTROL STATEMENT

RECORD NAME: INPUT 'Z' RECORD

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Control Identifier	X	1	1	M	Equal 'Z'
Importer/Broker Control Office	X	3	2	O	Same as 'A' record
Account Security Number	9	5	5	M	Same as 'A' record
Transmission Site	X	8	10	M	Same as 'A' record
Filler	X	8	18	M	Blank
Current Date	9	8	26	M	Same as 'A' record
Batch Number	X	3	34	M	Same as 'A' record
Application Identifier	X	2	37	M	Same as 'A' record
Total Number of Records	9	5	39	M	Total records in A-Z batch including A and Z records

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING - TYPE "F"**

RECORD NAME: **INPUT HEADER RECORD - KI10**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'.
Record Type	9	2	3	M	Equals '10'.
Account Security Number	9	5	5	M	Same as "A" record.
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	*Use your own BN specifically for LVS **/** Use actual importer's BN where they exist and your own BN specifically for LVS when one does not exist.
B3 Type Code	X	2	34	M	Equals "F".
CBSA Office Code	9	4	36	M	Valid as per D17-1-10, App. H.
GST Registration Number	9	10	40	C	*Leave blank or zero fill **/** Use actual number if available, otherwise leave blank or zero fill.
Payment Code	X	1	50	M	Filler. Should equal blanks.
Mode of Transport	9	1	51	C	Enter "2" if VFD greater than \$2500 CAD.
Port of Unlading	9	4	52	C	Leave blank or zero fill.
Total Value for Duty	9	10	56	M	Rounded to the nearest CAD for all lines (see NOTE 1 below).
Carrier Code at Importation	X	4	66	C	Leave blank if not required.

Specific requirements for each type of entry:

- * Total Consolidation
- ** Consolidation by importer
- *** Special Authority Shipments

Note: For shipments other than U.S. origin/export, use regular B3 coding in applicable fields.

NOTE 1: An additional line is required for "Goods released Under the courier LVS Program Which Have not Been Delivered to the Importer or Owner Thereof (Customs Notice 09-008). This only applies to * Total Consolidation and ** Consolidation by Importer shipments.

RECORD STATUS:

MANDATORY

APPLICATION NAME: ENTRY PROCESSING - TYPE "F"

RECORD NAME: INPUT RELEASE - KI15

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '15'
Release Date	X	8	5	M	YYYYMMDD indicate the 1st of the current month

Same requirements for each entry Type "F".

RECORD STATUS:

MANDATORY

APPLICATION NAME: ENTRY PROCESSING - TYPE "F"

RECORD NAME: INPUT SUBHEADER RECORD - KI20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Sequentially numbered if more than one
Vendor Name	X	30	8	M	Enter "Various"
Vendor State Code	A	3	38	C	Enter "UNY" if greater than \$2500 CAD
Vendor Zip Code	9	5	41	C	Enter 55555 if greater than \$2500 CAD
Country of Origin Code	A	3	46	M	*Enter "UNY"
Place of Export Code	X	4	49	M	*Enter "UNY"
Tariff Treatment Code	9	2	53	M	As per D17-1-10
U.S. Port of Exit Code	9	5	55	C	Enter "01001" if greater than \$2500 CAD
Direct Shipment Date	9	8	60	C	Zero fill
Currency Code	A	3	68	M	Enter "CAD"
B3 Time Limits	9	2	71	C	Complete if required
Time Limit Unit	X	3	73	C	Complete if required
Freight	9	5	76	C	Enter "00001" if greater than \$2500 CAD

Separate subheaders are required to indicate the appropriate tariff treatment (introduced April 2, 2003)

* if using tariff treatment codes other than 02, 10, 12 and 13, the country code of UNY will not be accepted. Indicate the correct country code for these fields as per D17-1-10

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING - TYPE "F"**

RECORD NAME: **INPUT CLASSIFICATION LINE 1 RECORD - KI30**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	*/** Enter dummy classification number "0000999900" for all lines (see NOTE 1 below). *** Enter valid classification number
Value for Duty Code	9	3	19	M	Enter "013"
Value for Currency Conversion	9	12V99	22	M	Show in CAD
Value for Duty	9	9V99	36	M	Show in CAD
Tariff Code	X	4	47	C	*/** Leave blank – if additional line input as per NOTE 1 below – show 0016 *** Show the applicable code
Special Authority	X	16	51	C	*/** Leave blank for all lines (see NOTE 1 below). *** Show the applicable OIC
SIMA Code	9	3	67	C	Enter "051" if SIMA is applicable, otherwise leave blank or zero fill– if additional line input as per NOTE 1 below, leave blank or zero fill.
SIMA Assessment	9	7V99	70	C	Enter the total SIMA assessment payable, if applicable; otherwise leave blank or zero fill– if additional line input as per NOTE 1 below, leave blank or zero fill.

Specific requirements for each type of entry.

- * Total Consolidation
- ** Consolidation by Importer
- *** Special Authority Shipments

NOTE 1: An additional line is required for "Goods released Under the courier LVS Program Which Have not Been Delivered to the Importer or Owner Thereof (Customs Notice 09-008). This only applies to * Total Consolidation and ** Consolidation by Importer shipments.

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING - TYPE "F"**

RECORD NAME: **INPUT CLASSIFICATION LINE 2 RECORD - KI40**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	M	Show the number of shipments consolidated on this B3 line unless otherwise required by classification number– if additional line input as per NOTE 1 below – show the number of individual shipments not delivered
Unit of Measure Code	A	3	18	C	Enter if required by classification number
Weight in Kilograms	9	7	21	M	Enter "0000001"
Customs Duty Rate Input	X	10	28	M	*/** Enter "1.0". To be right justified, blank filled. Decimal to be transmitted. Duties and taxes should have been calculated off original entries using the appropriate duty rate(s) – if additional line input as per NOTE 1 below, leave blank or show 0.0 *** Use the rate of duty associated with the classification number or tariff code, if applicable.
Customs Duty Amount	9	9V99	38	M	Enter the actual Customs duty amount – if additional line input as per NOTE 1 below, leave blank or zero fill

Specific requirements for each type of entry.

- * Total Consolidation
- ** Consolidation by Importer
- *** Special Authority Shipments

NOTE 1: An additional line is required for "Goods released Under the courier LVS Program Which Have not Been Delivered to the Importer or Owner Thereof (Customs Notice 09-008). This only applies to * Total Consolidation and ** Consolidation by Importer shipments.

9.22.70

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING - TYPE "F"

RECORD NAME: INPUT CLASSIFICATION LINE 3 RECORD - KI50

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '50'
Excise Tax Rate	X	10	5	M	*/** Enter "44.0" Excise tax should have been calculated off original entries using the appropriate rate(s) for all lines (see NOTE 1 below). *** Use the excise tax rate associated with the classification number.
Excise Tax Amount	9	8V99	15	C	Enter the actual excise tax amount – if additional line input as per NOTE 1 below, leave blank or zero fill
Value for Tax	9	10V99	25	M	Show in CAD.
Rate of GST	X	10	37	C	*/** Enter "39.0". To be right justified, blank filled. GST should have been calculated off original entries using the appropriate rate(s) for all lines (see NOTE 1 below). *** Use the GST rate or code associated with the classification number.
GST Amount	9	9V99	47	M	Enter the actual GST amount– if additional line input as per NOTE 1 below, leave blank or zero fill.

Specific requirements for each type of entry.

- * Total Consolidation
- ** Consolidation by Importer
- *** Special Authority Shipments

NOTE 1: An additional line is required for "Goods released Under the courier LVS Program Which Have not Been Delivered to the Importer or Owner Thereof (Customs Notice 09-008). This only applies to * Total Consolidation and ** Consolidation by Importer shipments.

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING - TYPE "F"

RECORD NAME: USE ONLY FOR MULTI-LINE ENTRIES - KI70

NAME	CHAR TYPE	SIZE	POSITION	STATU S	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B# Line Number	9	4	5	M	Equals the B3 line number of the KI30 record.
Invoice Page Number	9	3	9	M	Enter "001"
Invoice Line Number	9	3	12	M	Enter "001"
Invoice Value	9	12V99	15	M	Enter "00000000000001"

Same requirements for each Type "F".

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING - TYPE "F"

RECORD NAME: INPUT TRAILER RECORD - KI90

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	M	Enter the total Customs Duty payable
Total SIMA Assessment	9	8V99	17	C	Enter the total SIMA assessment payable
Total Excise Tax	9	9V99	27	C	Enter the total Excise Tax payable
Total GST	9	10V99	38	C	Enter the total GST payable
Total Duty and Tax	9	10V99	50	M	Enter the grand total payable

Same requirements for each Type "F".

10. WAREHOUSE RECORDS

Input Records

TYPE 10 -- WAREHOUSE

RECORD STATUS:
MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT HEADER RECORD - KI10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '10'
Account Security Number	9	5	5	M	Same as "A" record
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	As detailed below
B3 Type Code	X	2	34	M	Equals '10'
CBSA Office Code	9	4	36	M	Must be a valid office code as per D17-1-10
GST Registration Number	9	10	40	O	As detailed below
Payment Code	X	1	50		Filler. Must equal blanks
Mode of Transport	9	1	51	C	As detailed below
Port of Unlading	9	4	52	C	As detailed below
Total Value for Duty	9	10	56	M	
Carrier Code at Importation	X	4	66	C	As detailed below
Warehouse Number	9	3	70	M	Required for type 10

See next page.

Registration Number field may contain one of the following:

1. X(9) Importer Number left justified, blank-filled; or
2. X(11) 9 numerics (registration number) plus "RM" (the program identifier), left justified, blank filled.
To be used only if the client has one BN account number with Customs; or
3. X(15) 9 numerics (registration number) plus "RM" (the program identifier) plus 4 numerics (account number).

GST Registration Number is not required if an BN (2 or 3 above) is transmitted, as the GST registration number is part of the BN.

Mode of Transport is mandatory if:

1. the total VFD is equal to or greater than \$2500 Cdn.

Port of Unlading is mandatory if:

1. the total VFD is equal to or greater than \$2500 Cdn;
2. the mode of transport equals "9" (marine);
3. the place of export is a U.S. state code, foreign trade zone, PR, UM, or VI.

Carrier Code at importation is mandatory if:

1. the total VFD is equal to or greater than \$2500 Cdn;
2. the mode of transport equals "9" (marine) or "1" (air);
3. the place of export is a U.S. state code, foreign trade zone, PR, UM, or VI.

CONDITIONAL

RECORD

STATUS:

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT RELEASE/B3B - KI15

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '15'
Release Date	X	8	5	M	YYYYMMDD
Cargo Control Number	X	25	13	M	
Cargo Control Number	X	25	38	C	

The KI15 record is mandatory for releases obtained at an office not automated for entry purposes. It is optional for releases obtained at an automated office.

Complete as many KI15 records as required to include all cargo control numbers for the entry. One release date per entry is allowed. If more than one KI15 is transmitted, the first KI15 must contain the release date.

RECORD STATUS:**MANDATORY****APPLICATION NAME: ENTRY PROCESSING****RECORD NAME: INPUT SUBHEADER RECORD - KI20**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible number
Vendor Name	X	30	8	M	Vendor name only
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI. See note below
Vendor Zip Code	9	5	41	C	See note below
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10
Place of Export Code	X	4	49	M	Must be a valid country code, state code or foreign trade zone as per D17-1-10
Tariff Treatment Code	9	2	53	M	Must be a valid code as per D17-1-10
U.S. Port of Exit Code	9	5	55	C	As per D17-1-10. See note below
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	As per D17-1-10
B3 Time Limits	9	2	71	M	Required for type 10
Time Limit Unit	X	3	73	M	Required for type 10
Freight	9	5	76	C	Rounded to the nearest dollar. See note below

Vendor state code, zip code, port of exit code, and freight are required if:

1. the total VFD is equal to or greater than \$2,500 Cdn.; and
2. the place of export is a US state, foreign trade zone, PR, UM, or VI.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 1 RECORD - KI30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	
Value for Duty Code	9	3	19	M	
Value for Currency Conversion	9	12V99	22	M	
Value for Duty	9	9V99	36	M	
Tariff Code	X	4	47	C	
Special Authority	X	16	51	C	
SIMA Code	9	3	67	C	
SIMA Assessment	9	7V99	70	C	

RECORD STATUS:
MANDATORY

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT CLASSIFICATION LINE 2 RECORD - KI40**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	C	
Unit of Measure Code	A	3	18	C	As per D17-1-10
Weight in Kilograms	9	7	21	C	See note below
Customs Duty Rate Input	X	10	28	M	To be right justified, blank filled. Decimal to be transmitted
Customs Duty Amount	9	9V99	38	C	
Previous Transaction No.	9	14	49		Not required for type 10. Zero fill
Previous Line Number	9	4	63		Not required for type 10. Zero fill

Weight is mandatory if:

1. the total VFD is equal to or greater than \$2500 Cdn.;
2. the mode of transport equals "9" (marine) or "1" (air);
3. the place of export is an U.S. state, foreign trade zone, PR, UM or VI.

10.21.60

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 3 RECORD - KI50

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '50'
Excise Tax Rate	X	10	5	C	To be right justified, blank filled. Decimal to be transmitted
Excise Tax Amount	9	8V99	15	C	
Value for Tax	9	10V99	25	M	
Rate of GST	X	10	37	C	To be right justified, blank filled. Decimal to be transmitted
GST Amount	9	9V99	47	C	

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT INVOICE CROSS-REFERENCE RECORD -KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record
Invoice Page Number	9	3	9	M	
Invoice Line Number	9	3	12	M	Will accept either "0" or value
Invoice Value	9	12V99	15	M	From invoice page/line
Invoice Page Number	9	3	29	O	
Invoice Line Number	9	3	32	O	Will accept either "0" or value
Invoice Value	9	12V99	35	O	From invoice page/line
Invoice Page Number	9	3	49	O	
Invoice Line Number	9	3	52	O	Will accept either "0" or value
Invoice Value	9	12V99	55	O	From invoice page/line

Complete as many KI70 records as required to include all invoice cross-references for the entry.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT TRAILER RECORD - KI90

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	Equals zero
Total SIMA Assessment	9	8V99	17	C	Equals zero
Total Excise Tax	9	9V99	27	C	Equals zero
Total GST	9	10V99	38	C	Equals zero
Total Duty & Tax	9	10V99	50	M	Equals zero. See note below

No duty, SIMA, or excise tax or GST are owing on a type 10 entry, although participants are asked to calculate and transmit these amounts for each classification line. All fields on this record will equal zero.

TYPE 13 -- RE-WAREHOUSE

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT HEADER RECORD - KI10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '10'
Account Security Number	9	5	5	M	Same as "A" record
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	As detailed below
B3 Type Code	X	2	34	M	Equals '13'
CBSA Office Code	9	4	36	M	Must be a valid office code as per D17-1-10
GST Registration Number	9	10	40	O	As detailed below
Payment Code	X	1	50		Filler. Must equal blanks
Mode of Transport	9	1	51		Not required for type 13. Zero fill
Port of Unlading	9	4	52		Not required for type 13. Zero fill
Total Value for Duty	9	10	56		Not required for type 13. Zero fill
Carrier Code at Importation	X	4	66		Not required for type 13. Blank fill
Warehouse Number	9	3	70	M	Required for type 13

Registration Number field will contain one of the following:

1. X(9) Importer Number left justified, blank-filled; or
2. X(11) 9 numerics (registration number) plus "RM" (the program identifier), left justified, blank filled. To be used only if the client has one BN account number with Customs; or
3. X(15) 9 numerics (registration number) plus "RM" (the program identifier) plus 4 numerics (account number).

GST Registration Number is not required if an BN (2 or 3 above) is transmitted, as the GST Registration Number is part of the BN.

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT SUBHEADER RECORD - K120

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible record
Vendor Name	X	30	8	M	Vendor name only
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI. See note below
Vendor Zip Code	9	5	41	C	See note below
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10
Place of Export Code	X	4	49	M	Must be a valid country code, state code or foreign trade zone as per D17-1-10
Tariff Treatment Code	9	2	53	M	Must be a valid code as per D17-1-10
U.S. Port of Exit Code	9	5	55		Not required for type I1. Zero fill
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	As per D17-1-10
B3 Time Limits	9	2	71	M	Required for type 13.
Time Limit Unit	X	3	73	M	Required for type 13.
Freight	9	5	76		Not required for type 13. Zero fill

Vendor state code and zip code are required if:

1. the total VDF is equal to or greater than \$2500 Cdn; and
2. the place of export is a US state, foreign trade zone, PR, UM, or VI.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 1 RECORD - KI30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	
Value for Duty Code	9	3	19	M	
Value for Currency Conversion	9	12V99	22	M	
Value for Duty	9	9V99	36	M	
Tariff Code	X	4	47	C	
Special Authority	X	16	51	C	
SIMA Code	9	3	67	C	
SIMA Assessment	9	7V99	70	C	

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT CLASSIFICATION LINE 2 RECORD - KI40**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	C	
Unit of Measure Code	A	3	18	C	As per D17-1-10
Weight in Kilograms	9	7	21		Not required for type 13. Zero fill
Customs Duty Rate Input	X	10	28	M	To be right justified, blank filled. Decimal to be transmitted
Customs Duty Amount	9	9V99	38	C	Not required for type 13. Zero fill.
Previous Transaction No.	9	14	49	C	Required for type 13
Previous Line Number	9	4	63	C	Required for type 13

Previous transaction number and previous line number are mandatory on the first KI40. If more than one KI40 is required due to multiple duty rates, data in these fields are not required and the fields are to be zero-filled.

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT CLASSIFICATION LINE 3 RECORD - KI50**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '50'
Excise Tax Rate	X	10	5	C	To be right justified, blank filled. Decimal to be transmitted
Excise Tax Amount	9	8V99	15		Not required for type 13. Zero fill
Value for Tax	9	10V99	25		Not required for type 13. Zero fill
Rate of GST	X	10	37	C	To be right justified, blank filled. Decimal to be transmitted
GST Amount	9	9V99	47		Not required for type 13. Zero fill

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT INVOICE CROSS-REFERENCE RECORD -KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record
Invoice Page Number	9	3	9	M	
Invoice Line Number	9	3	12	M	Will accept either "0" or value
Invoice Value	9	12V99	15	M	From invoice page/line
Invoice Page Number	9	3	29	O	
Total Line Number	9	3	32	O	Will accept either "0" or value
Invoice Value	9	12V99	35	O	From invoice page/line
Invoice Page Number	9	3	49	O	
Invoice Line Number	9	3	52	O	Will accept either "0" or value
Invoice Value	9	12V99	55	O	From invoice page/line

Complete as many KI70 records as required to include all invoice cross-references for the entry.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT TRAILER RECORD - K190

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	
Total SIMA Assessment	9	8V99	17	C	
Total Excise Tax	9	9V99	27	C	
Total GST	9	10V99	38	C	
Total Duty & Tax	9	10V99	50	M	

TYPE 20 -- EX-WAREHOUSE, CONSUMPTION

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT HEADER RECORD - KI10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '10'
Account Security Number	9	5	5	M	Same as "A" record
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	As detailed below
B3 Type Code	X	2	34	M	Equals '20'
CBSA Office Code	9	4	36	M	Must be a valid office code as per D17-1-10
GST Registration Number	9	10	40	O	As detailed below
Payment Code	X	1	50		Filler. Must equal blanks
Mode of Transport	9	1	51		Not required for type 20. Zero fill
Port of Unlading	9	4	52		Not required for type 20. Zero fill
Total Value for Duty	9	10	56		Not required for type 20. Zero fill
Carrier Code at Importation	X	4	66		Not required for type 20. Blank fill
Warehouse Number	9	3	70	M	Required for type 20

Registration Number field will contain one of the following:

1. X(9) Importer Number left justified, blank-filled; or
2. X(11) 9 numerics (registration number) plus "RM" (the program identifier), left justified, blank filled. To be used only if the client has one BN account number with Customs; or
3. X(15) 9 numerics (registration number) plus "RM" (the program identifier) plus 4 numerics (account number).

GST Registration Number is not required if a BN (2 or 3 above) is transmitted, as the GST Registration Number is part of the BN.

(Revised April 13, 2005)

10.22.10

RECORD STATUS:

MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT RELEASE/B3B -KI15

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '15'
Release Date	X	8	5	M	Required for type 20. Should equal transmission date.
Cargo Control Number	X	25	13		Not required for type 20. Blank fill
Cargo Control Number	X	25	38		Not required for type 20. Blank fill

10.22.20

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT SUBHEADER RECORD - KI20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible record
Vendor Name	X	30	8	M	Vendor name only
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI. See note below
Vendor Zip Code	9	5	41	C	See note below
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10
Place of Export Code	X	4	49	M	Must be a valid country code, state code or foreign trade zone as per D17-1-10
Tariff Treatment Code	9	2	53	M	Must be a valid code as per D17-1-10
U.S. Port of Exit Code	9	5	55		Not required for type 21. Zero fill
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	As per D17-1-10
B3 Time Limits	9	2	71		Not required for type 21. Zero fill
Time Limit Unit	X	3	73		Not required for type 21. Blank fill
Freight	9	5	76		Not required for type 21. Zero fill

Vendor state code and zip code are required if:

1. the total VFD is equal to or greater than \$2500 Cdn; and
2. the place of export is a US state, foreign trade zone, PR, UM, or VI.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 1 RECORD - KI30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	
Value for Duty Code	9	3	19	M	
Value for Currency Conversion	9	12V99	22	M	
Value for Duty	9	9V99	36	M	
Tariff Code	X	4	47	C	
Special Authority	X	16	51	C	
SIMA Code	9	3	67	C	
SIMA Assessment	9	7V99	70	C	

10.22.40

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 2 RECORD - KI40

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	C	
Unit of Measure Code	A	3	18	C	As per D17-1-10
Weight in Kilograms	9	7	21		Not required for type 20. Zero fill
Customs Duty Rate Input	X	10	28	M	To be right justified, blank filled. Decimal to be transmitted
Customs Duty Amount	9	9V99	38	C	
Previous Transaction No.	9	14	49	C	Required for type 20
Previous Line Number	9	4	63	C	Required for type 20

Previous transaction number and previous line number are mandatory on the first KI40. If more than one KI40 is required due to multiple duty rates, data in these fields are not required and the fields are to be zero-filled.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 3 RECORD - KI50

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '50'
Excise Tax Rate	X	10	5	C	To be right justified, blank filled. Decimal to be transmitted
Excise Tax Amount	9	8V99	15	C	
Value for Tax	9	10V99	25	M	
Rate of GST	X	10	37	C	To be right justified, blank filled. Decimal to be transmitted
GST Amount	9	9V99	47	C	

10.22.60

RECORD STATUS: OPTIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT RULING REFERENCE NUMBER
RECORD - K160

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '60'
B3 Line Number	9	4	5	M	Equals the B3 line number of the K130 record
Ruling Number	X	13	9	M	

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT INVOICE CROSS-REFERENCE RECORD -KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record
Invoice Page Number	9	3	9	M	
Invoice Line Number	9	3	12	M	Will accept either "0" or value
Invoice Value	9	12V99	15	M	From invoice page/line
Invoice Page Number	9	3	29	O	
Total Line Number	9	3	32	O	Will accept either "0" or value
Invoice Value	9	12V99	35	O	From invoice page/line
Invoice Page Number	9	3	49	O	
Invoice Line Number	9	3	52	O	Will accept either "0" or value
Invoice Value	9	12V99	55	O	From invoice page/line

Complete as many KI70 records as required to include all invoice cross-references for the entry.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT TRAILER RECORD - KI90

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	
Total SIMA Assessment	9	8V99	17	C	
Total Excise Tax	9	9V99	27	C	
Total GST	9	10V99	38	C	
Total Duty & Tax	9	10V99	50	M	

10.22.90

TYPE 21 -- EX-WAREHOUSE, EXPORT & APPROVED
DEFICIENCIES

**RECORD STATUS:
MANDATORY**

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT HEADER RECORD - KI10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '10'
Account Security Number	9	5	5	M	Same as "A" record
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	As detailed below
B3 Type Code	X	2	34	M	Equals '21'
CBSA Office Code	9	4	36	M	Must be a valid office code as per D17-1-10
GST Registration Number	9	10	40	O	As detailed below
Payment Code	X	1	50		Filler. Must equal blanks
Mode of Transport	9	1	51		Not required for type 21. Zero fill
Port of Unlading	9	4	52		Not required for type 21. Zero fill
Total Value for Duty	9	10	56		Not required for type 21. Zero fill
Carrier Code at Importation	X	4	66		Not required for type 21. Blank fill
Warehouse Number	9	3	70	M	Required for type 21

Registration Number field will contain one of the following:

1. X(9) Importer Number left justified, blank-filled; or
2. X(11) 9 numerics (registration number) plus "RM" (the program identifier), left justified, blank filled.
To be used only if the client has one BN account number with Customs; or
3. X(15) 9 numerics (registration number) plus "RM" (the program identifier) plus 4 numerics (account number).

GST Registration Number is not required if a BN (2 or 3 above) is transmitted, as the GST Registration Number is part of the BN.

(Revised April 13, 2005)

10.23.10

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT SUBHEADER RECORD - KI20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible record
Vendor Name	X	30	8	M	Vendor name only
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI. See note below
Vendor Zip Code	9	5	41	C	See note below
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10
Place of Export Code	X	4	49	M	Must be a valid country code, state code or foreign trade zone as per D17-1-10
Tariff Treatment Code	9	2	53	M	Must be a valid code as per D17-1-10
U.S. Port of Exit Code	9	5	55		Not required for type 21. Zero fill
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	As per D17-1-10
B3 Time Limits	9	2	71		Not required for type 21. Zero fill
Time Limit Unit	X	3	73		Not required for type 21. Blank fill
Freight	9	5	76		Not required for type 21. Zero fill

Vendor state code and zip code are required if:

1. the total VFD is equal to or greater than \$2500 Cdn; and
2. the place of export is a US state, foreign trade zone, PR, UM, or VI.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 1 RECORD - KI30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	
Value for Duty Code	9	3	19	M	
Value for Currency Conversion	9	12V99	22	M	
Value for Duty	9	9V99	36	M	
Tariff Code	X	4	47	C	
Special Authority	X	16	51	C	
SIMA Code	9	3	67	C	
SIMA Assessment	9	7V99	70	C	

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT CLASSIFICATION LINE 2 RECORD - KI40**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	C	
Unit of Measure code	A	3	18	C	As per D17-1-10
Weight in Kilograms	9	7	21		Not required for type 21. Zero fill
Customs Duty Rate Input	X	10	28		Not required for type 21. Blank fill
Customs Duty Amount	9	9V99	38		Not required for type 21. Zero fill
Previous Transaction No.	9	14	49	C	Required for type 21
Previous Line Number	9	4	63	C	Required for type 21

Previous transaction number and previous line number are mandatory on the first KI40. If more than one KI40 is required due to multiple duty rates, data in these fields are not required and the fields are to be zero-filled.

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT INVOICE CROSS-REFERENCE RECORD- KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record
Invoice Page Number	9	3	9	M	
Invoice Line Number	9	3	12	M	Will accept either "0" or value
Invoice Value	9	12V99	15	M	From invoice page/line
Invoice Page Number	9	3	29	O	
Invoice Line Number	9	3	32	O	Will accept either "0" or value
Invoice Value	9	12V99	35	O	From invoice page/line
Invoice Page Number	9	3	49	O	
Invoice Line Number	9	3	52	O	Will accept either "0" or value
Invoice Value	9	12V99	55	O	From invoice Page/line

Complete as many KI70 records as required to include all invoice cross-references for the entry.

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT TRAILER RECORD - KI90**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	
Total SIMA Assessment	9	8V99	17	C	
Total Excise Tax	9	9V99	27	C	
Total GST	9	10V99	38	C	
Total Duty & Tax	9	10V99	50	M	

TYPE 22 -- EX-WAREHOUSE, SHIPS' STORES & SALES
TO THE GOVERNOR GENERAL

RECORD
STATUS:MANDATOR
Y

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT HEADER RECORD - KI10

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '10'
Account Security Number	9	5	5	M	Same as "A" record
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	As detailed below
B3 Type Code	X	2	34	M	Equals '22'
CBSA Office Code	9	4	36	M	Must be a valid office code per DI7-1-10
GST Registration Number	9	10	40	O	As detailed below
Payment Code	X	1	50		Filler. Must equal blanks
Mode of Transport	9	1	51		Not required for type 22. Zero fill
Port of Unlading	9	4	52		Not required for type 22. Zero fill
Total Value for Duty	9	10	56		Not required for type 22. Zero fill
Carrier Code at Importation	X	4	66		Not required for type 22. Blank fill
Warehouse Number	9	3	70	M	Required for type 22

Registration Number field will contain one of the following:

1. X(9) Importer Number left justified, blank-filled; or
2. X(11) 9 numerics (registration number) plus "RM" (the program identifier), left justified, blank filled. To be used only if
the client has one BN account number with Customs; or
3. X(15) 9 numerics (registration number) plus "RM" (the program identifier) plus 4 numerics (account number).

GST Registration Number is not required if a BN (2 or 3 above) is transmitted, as the GST registration number is part of the BN.

10.24.10
(Revised April 13, 2005)

**RECORD STATUS:
MANDATORY**

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT SUBHEADER RECORD - KI20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible record
Vendor Name	X	30	8	M	Vendor name only
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI. See note below
Vendor Zip Code	9	5	41	C	See note below
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10
Place of Export Code	X	4	49	M	Must be a valid country code, state code or foreign trade zone as per D17-1-10
Tariff Treatment Code	9	2	53	M	Must be a valid code as per D17-1-10
U.S. Port of Exit Code	9	5	55		Not required for type 22. Zero fill
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	As per D17-1-10
B3 Time Limits	9	2	71		Not required for type 22. Zero fill
Time Limit Unit	X	3	73		Not required for type 22. Blank fill
Freight	9	5	76		Not required for type 22. Zero fill

Vendor state code and zip code are required if:

1. the total VFD is equal to or greater than \$2,500 Cdn; and
2. the place of export is a US state, foreign trade zone, PR, UM, or VI.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 1 RECORD - KI30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	
Value for Duty Code	9	3	19	M	
Value for Currency Conversion	9	12V99	22	M	
Value for Duty	9	9V99	36	M	
Tariff Code	X	4	47	C	
Special Authority	X	16	51	C	
SIMA Code	9	3	67	C	
SIMA Assessment	9	7V99	70	C	

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 2 RECORD - KI40

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	C	
Unit of Measure Code	A	3	18	C	As per D17-1-10
Weight in Kilograms	9	7	21		Not required for type 22. Zero fill
Customs Duty Rate Input	X	10	28		Not required for type 22. Blank fill
Customs Duty Amount	9	9V99	38		Not required for type 22. Zero fill
Previous Transaction No.	9	14	49	C	Required for type 22
Previous Line Number	9	4	63	C	Required for type 22

Previous transaction number and previous line number are mandatory on the first KI40. If more than one KI40 is required due to multiple duty rates, data in these fields are not required and the fields are to be zero-filled.

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT INVOICE CROSS-REFERENCE RECORD -KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record
Invoice Page Number	9	3	9	M	
Invoice Line Number	9	3	12	M	Will accept either "0" or value
Invoice Value	9	12V99	15	M	From invoice page/line
Invoice Page Number	9	3	29	O	
Invoice Line Number	9	3	32	O	Will accept either "0" or value
Invoice Value	9	12V99	35	O	From invoice page/line
Invoice Page Number	9	3	49	O	
Invoice Line Number	9	3	52	O	Will accept either "0" or value
Invoice Value	9	12V99	55	O	From invoice page/line

Complete as many KI70 records as required to include all invoice cross-references for the entry.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT TRAILER RECORD - KI90

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	
Total SIMA Assessment	9	8V99	17	C	
Total Excise Tax	9	9V99	27	C	
Total GST	9	10V99	38	C	
Total Duty & Tax	9	10V99	50	M	

TYPE 30 -- TRANSFER OF GOODS WITHIN
A CBSA OFFICE

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT HEADER RECORD - KI10**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '10'
Account Security Number	9	5	5	M	Same as "A" record
Importer/Broker Transaction Number	9	9	10	M	
Registration Number	X	15	19	M	As detailed below
B3 Type Code	X	2	34	M	Equals '30'
CBSA Office Code	9	4	36	M	Must be a valid office code per I7-1-10
GST Registration Number	9	10	40	O	As detailed below
Payment Code	X	1	50		Filler. Must equal blanks
Mode of Transport	9	1	51		Not required for type 30. Zero fill
Port of Unlading	9	4	52		Not required for type 30. Zero fill
Total Value for Duty	9	10	56		Not required for type 30. Zero fill
Carrier Code at Importation	X	4	66		Not required for type 30. Blank fill
Warehouse Number	9	3	70	M	Required for type 30

Registration Number field will contain one of the following:

1. X(9) Importer Number left justified, blank-filled; or
2. X(11) 9 numerics (registration number) plus "RM" (the program identifier), left justified, blank filled. To be used only if the client has one BN account number with Customs; or
3. X(15) 9 numerics (registration number) plus "RM" (the program identifier) plus 4 numerics (account number).

GST Registration Number is not required if a BN (2 or 3 above) is transmitted, as the GST registration number is part of the BN.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT SUBHEADER RECORD - KI20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible record
Vendor Name	X	30	8	M	Vendor name only
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI. See note below
Vendor Zip Code	9	5	41	C	See note below
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10
Place of Export Code	X	4	49	M	Must be a valid country code, state code or foreign trade zone as per D17-1-10
Tariff Treatment Code	9	2	53	M	Must be a valid code as per D17-1-10
U.S. Port of Exit Code	9	5	55		Not required for type 30. Zero fill
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	As per D17-1-10
B3 Time Limits	9	2	71	M	Required for type 30
Time Limit Unit	X	3	73	M	Required for type 30
Freight	9	5	76		Not required for type 30. Zero fill

Vendor state code and state code are required if:

1. the total VFD is equal to or greater than \$2,500 Cdn; and
2. the place of export is a US state, foreign trade zone, PR, UM or VI.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT CLASSIFICATION LINE 1 RECORD - KI30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	
Value for Duty Code	9	3	19	M	
Value for Currency Conversion	9	12V99	22	M	
Value for Duty	9	9V99	36	M	
Tariff Code	X	4	47	C	
Special Authority	X	16	51	C	
SIMA Code	9	3	67	C	
SIMA Assessment	9	7V99	70	C	

RECORD STATUS: **MANDATORY**

APPLICATION NAME: **ENTRY PROCESSING**

RECORD NAME: **INPUT CLASSIFICATION LINE 2 RECORD - KI40**

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	C	
Unit of Measure Code	A	3	18	C	As per D17-1-10
Weight in Kilograms	9	7	21		Not required for type 30. Zero fill
Customs Duty Rate Input	X	10	28		Not required for type 30. Blank fill
Customs Duty Amount	9	9V99	38		Not required for type 30. Zero fill
Previous Transaction No.	9	14	49	C	Required for type 30
Previous Line Number	9	4	63	C	Required for type 30

Previous transaction number and previous line number are mandatory on the first KI40. If more than one KI40 is required due to multiple duty rates, data in these fields are not required and the fields are to be zero-filled.

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT INVOICE CROSS-REFERENCE RECORD -KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record
Invoice Page Number	9	3	9	M	
Invoice Line Number	9	3	12	M	Will accept either "0" or value
Invoice Value	9	12V99	15	M	From invoice page/line
Invoice Page Number	9	3	29	O	
Invoice Line Number	9	3	32	O	Will accept either "0" or value
Invoice Value	9	12V99	35	O	From invoice page/line
Invoice Page Number	9	3	49	O	
Invoice Line Number	9	3	52	O	Will accept either "0" or value
Invoice Value	9	12V99	55	O	From invoice page/line

Complete as many KI70 records as required to include all invoice cross-references for the entry.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING

RECORD NAME: INPUT TRAILER RECORD - KI90

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	
Total SIMA Assessment	9	8V99	17	C	
Total Excise Tax	9	9V99	27	C	
Total GST	9	10V99	38	C	
Total Duty & Tax	9	10V99	50	M	

**11.0 COLLECTION OF THE HARMONIZED
SALES TAX, THE PROVINCIAL SALES TAXES,
PROVINCIAL TOBACCO TAXES AND
ALCOHOL MARK-UPS/FEEES ON CASUAL
IMPORTATION**

11.0 COLLECTION OF THE HARMONIZED SALES TAX, THE PROVINCIAL SALES TAXES, PROVINCIAL TOBACCO TAXES AND ALCOHOL MARK-UPS/FEES ON CASUAL IMPORTATION

11.1 DEFINITION

GENERAL

1. The applicable rates for the PST and tobacco taxes can be found in Appendix A of Memorandum D2-3-6, Provincial Tax Collection Program. A schedule for the rates of alcohol mark-up/liquor fees can be found in Appendix B of the same memorandum.

This section provides information on the application of harmonized sales tax, provincial sales tax, tobacco and alcohol taxes on an all non-commercial goods imported by mail, commercial courier/carrier or by any other means via CADEX. More information on this application of PST can be found in Memorandum D17-1-22. Non-commercial goods are defined as goods for individual use not intended for resale, commercial, institutional, occupational or other like use.

11.2 APPLICATION

- 2.. The HST (15%) applies on all imported casual goods which are destined to the participating provinces regardless of their point of entry or release into Canada. The HST is applied to all goods that are currently subject to the GST. In the case of imported commercial goods, only the 7% GST, as currently required, is payable at time of importation regardless of the destination. However, the remaining 8% provincial portion is payable through the self assessment provisions of the legislation.
3. The HST may be accounted and paid for in the normal manner of accounting for federal duties and taxes, i.e., by means of a LVS consolidated entry, a CADEX transmission or Canada Customs Coding Form, B3. The HST may be consolidated using a separate "dummy" classification line. "Dummy" classification numbers have been designated for each province. See the list of dummy classification numbers on page 11.30. An example of an accounting document B3 and CADEX example of the HST can be found at the end of this section.
4. Provinces have requested that certain commodities be exempt of the provincial taxes. It was agreed that provinces can choose to exempt up to three commodity groups involving books, footwear and/or clothing. The definition of the exemptions by classification number can be found in Appendix C – British Columbia and Ontario and Appendix D - Saskatchewan of Memorandum D2-3-6.

5. The following schedule indicates which provincial taxes the CBSA is currently authorized to collect on non-commercial goods arriving by mail, commercial courier/carrier or by any other means. This schedule also indicates which goods are exempted.

<u>PROVINCE</u>	<u>PROVINCIAL SALES TAX</u>	<u>TOBACCO TAX</u>	<u>ALCOHOL MARK-UP/ LIQUOR FEES*</u>	<u>EXEMPTIONS</u>
New Brunswick	HST	Y	Y	N/A
Nova Scotia	HST	N	Y*	N/A
Newfoundland	HST	N	Y*	N/A
Quebec	PST	Y	Y	Books, vehicles, tobacco
Manitoba	PST	Y	Y	Books, clothing, footwear, vehicles
Ontario	PST	Y	Y	Books, footwear <\$30, children's clothing, basic groceries, vitamins, dietary supplements, wood for fuel, vehicles
Saskatchewan	PST	Y	Y	Books, children's clothing, children's footwear, basic groceries, vehicles
British Columbia	PST	Y	Y	Children's clothing, children's footwear
P.E.I.	N/A	N/A	Y*	Basic groceries, vehicles, tobacco
Yukon Territory	N/A	N/A	Y*	
Alberta	N/A	N/A	Y*	

11.3. ENTRY TYPES

Payments of HST, PST, provincial tobacco and/or alcohol mark-ups/fees may be made when accounting for federal duties and taxes, via CADEX either using an AB, an LVS consolidated "F" type entry or by hard copy.

The HST, PST, provincial tobacco and alcohol mark-ups/fees may be consolidated using separate classification lines for each different type of provincial tax. "Dummy" classification numbers have been designated for each province and for each type of provincial tax. The following is a list of dummy classification numbers. These numbers have been issued for all provinces and territories in anticipation of agreements being reached. Only those identified with an * are to be used at this time, as agreements with these provinces have been signed.

DUMMY CLASSIFICATION NUMBERS

PROVINCE

CLASSIFICATION NUMBERS

	<u>HST/PST</u>	<u>Tobacco Tax</u>	<u>Alcohol Tax</u>
Newfoundland	0000.99.99.03*	0000.99.99.43*	0000.99.99.23*
Nova Scotia	0000.99.99.04*	0000.99.99.44*	0000.99.99.24*
New Brunswick	0000.99.99.05*	0000.99.99.45*	0000.99.99.25*
Prince Edward Is.	0000.99.99.06	0000.99.99.46	0000.99.99.26
Quebec	0000.99.99.07*	0000.99.99.47*	0000.99.99.27*
Ontario	0000.99.99.08*	0000.99.99.48*	0000.99.99.28*
Manitoba	0000.99.99.09*	0000.99.99.49*	0000.99.99.29*
Saskatchewan	0000.99.99.10*	0000.99.99.50*	0000.99.99.30
Alberta	0000.99.99.11	0000.99.99.51	0000.99.99.31
British Columbia	0000.99.99.12*	0000.99.99.52*	0000.99.99.32*
Yukon	0000.99.99.13	0000.99.99.53	0000.99.99.33
Northwest Territory.	0000.99.99.14	0000.99.99.54	0000.99.99.34

The applicable rates for the provincial sales and tobacco taxes can be found in Appendix A and the rates of alcohol mark-ups/liquor fees can be found in Appendix B of Memorandum D2-3-6.

11.4 PROCESS

Input - Detailed field explanations for HST, PST, provincial tobacco tax and alcohol tax accounting formats are given in Section 11.5 of this document. Please follow the normal reporting requirement procedures according to entry type, and include HST/PST, where applicable as outlined in Section 11.5.

Output - The system edits the field formats as per the record formats detailed in section 11.4.1 in addition to validating the data. There are three examples outlined in Section 11.6.

11.4.1 Record formats

The following are record formats for CADEX inputs and outputs which are to be followed by the participants.

Each record contains:

- 1) Name: abbreviated name for each field included in the record.
- 2) Character Type: identifies the type of character which can be included in the field.

9 = numeric character
A = alphabetic character
X = alphanumeric character
- 3) Size: denotes maximum number of characters which are allowed in the field.
- 4) Position: identifies the starting position of each field in record. E.g. Position 23 denotes that the first character of the field is located in the 23rd character position of the 80-character record. Numeric must be right justified and zero-filled, while alphabetic and alphanumeric are to be left justified and blank-filled.
- 5) Status: this code denotes the applicability of the field i.e.,

M = mandatory field
O = optional field
C = conditional field

Also included are format edit rules for the field.

11.5 INPUT RECORDS

11.50

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING - HST/PST, TOBACCO & ALCOHOL TAXES

RECORD NAME: INPUT SUBHEADER RECORD - KI20

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '20'
B3 Sub header Number	9	3	5	M	Next possible record.
Vendor Name	X	30	8	M	Vendor name only.
Vendor State Code	A	3	38	C	Must be valid state code, UM, PR, or VI, left justified. See note below.
Vendor Zip Code	9	5	41	C	See note below.
Country of Origin Code	A	3	46	M	Must be a valid country code or state code as per D17-1-10, Appendix H.
Place of Export Code	X	4	49	M	Name change from "country of export". Must be a valid country code, state code, or foreign trade zone as per D17-1-10, Appendix H.
Tariff Treatment Code	9	2	53	M	As per D17-1-10.
U.S. Port of Exit Code	9	5	55	C	Must be a valid code as per D17-1-10. Appendix H. See note below.
Direct Shipment Date	9	8	60	C	YYYYMMDD
Currency Code	A	3	68	M	*CAD
B3 Time Limits	9	2	71	C	Must be completed if time limit unit is input.
Time Limit Unit	X	3	73	C	Must be completed if time limits are input.
Freight	9	5	76	C	Rounded to the nearest (Cdn) dollar. See note below.

Vendor state code, zip code, port of exit code, and freight are mandatory if:

1. the total VFD is equal to or greater than \$2,500 Cdn.; and the place of export is a U.S. state code, foreign trade zone, PR, UM, or VI.
 - If a currency other than Canadian dollars is used, a new KI20 showing CAD must be transmitted for any HST/PST, Tobacco or Alcohol Tax.

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING - HST/PST, TOBACCO & ALCOHOL TAXES

RECORD NAME: INPUT CLASSIFICATION LINE 1 RECORD - KI30

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '30'
B3 Line Number	9	4	5	M	Next possible number
Classification Number	9	10	9	M	Enter dummy classification as per section 11.3
Value for Duty Code	9	3	19	M	Enter "013"
Value for Currency Conversion	9	12V99	22	M	Show in CAD 00000000000001
Value for Duty	9	9V99	36	M	Show in CAD 000000000001
Tariff Code	X	4	47	C	Leave blank
Special Authority	X	16	51	C	
SIMA Code	9	3	67	C	
SIMA Assessment	9	7V99	70	C	

RECORD STATUS:

MANDATORY

APPLICATION NAME: ENTRY PROCESSING - HST/PST, TOBACCO & ALCOHOL TAXES

RECORD NAME:

INPUT CLASSIFICATION LINE 2 RECORD - KI40

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '40'
Classification Line Quantity	9	10V999	5	C	Enter if required by classification number.
Unit of Measure Code	A	3	18	C	Enter if required by classification number.
Weight in Kilograms	9	7	21	C	Enter "0000001"
Customs Duty Rate Input	X	10	28	M	Enter "0.0". To be right justified, blank filled. Decimal to be transmitted.
Customs Duty Amount	9	9V99	38	C	Enter "00000000000"

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING - HST/PST, TOBACCO & ALCOHOL TAXES

RECORD NAME: INPUT CLASSIFICATION LINE 3 RECORD - KI50

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '50'
Excise Tax Rate	X	10	5	C	
Excise Tax Amount	9	8V99	15	C	
Value for Tax	9	10V99	25	M	Enter "000000000001"
Rate of GST	X	10	37	C	Enter "39.0" or "99". To be right justified, blank filled.
GST Amount	9	9V99	47	C	Enter the actual amount.

RECORD STATUS: CONDITIONAL

APPLICATION NAME: ENTRY PROCESSING -HST/PST, TOBACCO & ALCOHOL TAXES

RECORD NAME: USE ONLY FOR MULTI-LINE ENTRIES - KI70

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '70'
B3 Line Number	9	4	5	M	Equals the B3 line number of the KI30 record
Invoice Page Number	9	3	9	M	Enter "001"
Invoice Line Number	9	3	12	M	Enter "001"
Invoice Value	9	12V99	15	M	Enter "00000000000001"

RECORD STATUS: MANDATORY

APPLICATION NAME: ENTRY PROCESSING - HST/PST, TOBACCO & ALCOHOL TAXES

RECORD NAME: INPUT TRAILER RECORD - KI90

NAME	CHAR TYPE	SIZE	POSITION	STATUS	FIELD DESCRIPTION
Application Identifier	X	2	1	M	Equals 'KI'
Record Type	9	2	3	M	Equals '90'
Total Customs Duty	9	10V99	5	C	
Total SIMA Assessment	9	8V99	17	C	
Total Excise Tax	9	9V99	27	C	
Total GST	9	10V99	38	C	*
Total Duty & Tax	9	10V99	50	M	Enter the grand total payable

* Total GST shall include the GST total, the HST total, the PST total, and the provincial tobacco and alcohol taxes.

Other pertinent fields should be completed as per regular CADEX processing routines.

**11.6 Calculation of the HST and PST
and completion of the Fields on the form B3,
Canada Customs Coding Form and the CADEX layout**

Example # 1

HST and PST

The sample shows a completed form B3, "AB" type entry and the CADEX format, for accounting of the HST and PST for casual goods entering Manitoba in the commercial stream. In this example there are a total of 10 shirts, valued at \$40 Canadian each, however, 5 shirts are destined for Manitoba and 5 shirts are destined for New Brunswick.

Form B3 is completed as per normal reporting procedures as detailed in Memorandum D17-1-10, Coding of Customs Accounting Documents. The CADEX layout is provided as per instructions in the CADEX PRD. The HST and the PST is calculated off-entry and accounted for on a separate line using "dummy" classification numbers specific to the province as listed on page 11.30. For calculation and rates of the applicable PST, please refer to Appendix A of Memorandum D2-3-6, Provincial Tax Collection Program.

See Example #1 of the B3 and CADEX layout on the next two pages.

Note: To account for the HST, code 99 should be used in the GST field to exempt the GST on the normal classification line.

Example # 1

HST and PST

KI101234500000002123456789RM0001AB0502 20000000000400
KI15980110014-00350921
KI20001XYZ EXPORTING COMPANY LTD 78161UTXUTX 1005506980101CAD00 00000
KI30000161052000310130000000002000000000020000 000000000000
KI400000000000000 0000001 0.000000000000
KI50 000000000000000020000 7.000000001400
KI7000010010010000000020000
KI3000020000999909013000000000000100000000001 000000000000
KI400000000000000 0000001 0.000000000000
KI50 000000000000000000000 39.000000001400
KI7000020010020000000000001
KI30000361052000310130000000002000000000020000 000000000000
KI400000000000000 0000001 0.000000000000
KI50 000000000000000020000 9900000000000
KI7000030010030000000000001
KI3000040000999905013000000000000100000000001 000000000000
KI400000000000000 0000000 0.000000000000
KI50 00000000000000000000001 3900000003000
KI7000040010040000000000001
KI9000580000000005800

Example #2

Tobacco Taxes

The customs duties and GST amounts are to be shown as per normal reporting procedures detailed in Memorandum D17-1-10. Provincial taxes, and HST where applicable, are accounted for using the "dummy" classification numbers listed on page 11.30. The rates and calculation formula for provincial tobacco taxes are found in Appendix A of Memorandum D2-3-6.

The example below shows the completed B3 form and the CADEX layout for reporting the Manitoba tobacco and PST information on a casual importation of 200 regular size cigarettes, with a value for duty of \$14 CAN:

See Example #2 of the B3 and CADEX layout on the next two pages.

Example #2

Tobacco Taxes

KI101234500000001123456789RM0001 F0502 20000000000014
KI15980105014-00350920
KI20001XYZ EXPORTING COMPANY LTD 78161UTXUTX 1005506980101CAD00 00000
KI30000124022000100130000000000140000000001400 000000000000
KI4000000000000200MIL0000000 0.000000000000
KI4000000000000200MIL0000000 27.475000000000550
KI50 26.7760000000536000000002486 7.000000000174
KI7000010010010000000001400
KI3000020000999949013000000000000100000000001 000000000000
KI400000000000000 0000001 0.000000000001
KI50 00000000000000000000000000000000 39.00000001600
KI70000200100200000000000001
KI3000030000999909013000000000000100000000001 000000000000
KI400000000000000 0000001 0.000000000000
KI50 00000000000000000000000000000001 39.00000000248
KI70000300100300000000000001
KI90000000000550000000000000000000053600000002022000000003108

Example #3

Alcohol Mark-up

The customs duties and GST amounts are to be shown as per the normal reporting procedures detailed in Memorandum D17-1-10. Provincial taxes and/or HST are accounted for using the "dummy" classification numbers listed on page 11.30. The rates and calculation formula for provincial alcohol taxes are found in Appendix A of Memorandum D3-1-3, Importation Intoxicating Liquors.

The example on the next page shows the completed B3 form and the CADEX Layout for reporting the Manitoba alcohol taxes and PST information on a casual importation of a 40 ounce bottle (1.14 Litre) of wine with a value of \$8 CAN

Example #3

Alcohol Mark-up

KI101234500000003123456789RM0001AB0502 20000000000008
KI15980104014-00350922
KI20001XYZ EXPORTING COMPANY LTD 78161UTXUTX 1003506 CAD00 0000
KI3000012204211020013000000000080000000000800 000000000000
KI400000000001140LTR000000 0.000000000000
KI50 .51220000000058000000000858 7.000000000060
KI7000010010010000000000800
KI300002000099992901300000000000100000000001 000000000000
KI400000000001140LTR0000001 0.000000000001
KI50 000000000000000000001 39.000000000480
KI7000020010020000000000001
KI300003000099990901300000000000100000000001 000000000000
KI4000000000000 000001 0.000000000000
KI50 000000000000000000001 39.000000000094
KI7000030010030000000000001
KI90000000000000000000000000000580000000063400000000692

**APPENDIX A: CADEX TRANSMISSION APPLICATION
FORM**

CADEX TRANSMISSION APPLICATION FORM

Note: Please complete a separate application for each unique Account Security/Transmission Site combination and send to:

Canada Border Services Agency
Electronic Commerce Unit
6th Floor
250 Tremblay Road
Ottawa, Ontario K1A 0L8
Telephone: 1-888-957-7224
Fax: (613) 952-9979

Section I

- DATE OF APPLICATION: _____
- ACCOUNT SECURITY NUMBER: _____
- PASSWORD (8 characters): _____
- ACCOUNT SECURITY HOLDER NAME: _____

ACCOUNT SECURITY HOLDER ADDRESS: _____

CITY: _____ PROV.: _____
POSTAL CODE: _____
- LOCAL OFFICE ADDRESS (if different from above): _____

CITY: _____ PROV.: _____
POSTAL CODE: _____
- TRANSMISSION SITE CO. NAME (if different from above): _____

TRANSMISSION SITE ADDRESS: _____
CITY: _____ PROV.: _____

POSTAL CODE: _____
- TRANSMISSION SITE CONTACT PERSON : (1) _____
CONTACT TITLE : _____
PHONE NUMBER : _____
FAX NUMBER : _____
- TRANSMISSION SITE CONTACT PERSON : (2) _____
CONTACT TITLE : _____
PHONE NUMBER : _____

CADEX TRANSMISSION APPLICATION FORM

Section II

In COLUMN A, please indicate the CBSA Office(s), including Office Code Number, at which you wish to conduct your accounting business for those B3's sent from the transmission site previously indicated.

In COLUMN B, please indicate beside each of the Accounting Offices, the Release Offices (s), including Office Code Number, which you will be including in your entry transmissions and wish to receive on your Accounting Statement (K84) for that Accounting Office.

Should you wish to release at more than one office, you must have the proper level of security posted with the Agency.

If you wish to receive only one Accounting Statement to include B3's transmitted for all Release Offices, write "ALL" in COLUMN B.

COLUMN A

1) ACCOUNTING OFFICE NAME:

OFFICE CODE NBR: _____

Note: If more space is required to list additional release offices, please continue on a separate page, and cross-reference to COLUMN A.

COLUMN B

1) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

2) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

3) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

4) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

5) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

6) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

COLUMN A

2) ACCOUNTING OFFICE NAME: _____

OFFICE CODE NBR: _____

COLUMN B

1) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

2) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

3) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

4) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

5) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

6) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

7) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

8) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

9) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

10) RELEASE OFFICE NAME: _____

OFFICE CODE NBR: _____

CADEX TRANSMISSION APPLICATION FORM

Section III

- Please list the approximate number of tariff lines per annum which you expect will be transmitted

from the Transmission Site specified on Page 1: _____

- Approximately what percentage of your B3's will have completed invoices suitable for final accounting at the time of release? (a minimum of 90% of your volume is required)

- Will your company be transmitting Bonded Warehouse type entries.

Yes _____ No _____ If yes, approximately how many entries per year _____.

- In which official language do you wish to receive the majority of your output transmissions?

English _____ French _____ (Choose one only)

- Please check the regular file updates you would like to receive to support your preparation of accounting documents:

Classification Number Data	_____
Tariff Code Data	_____
Excise Tax Data	_____
GST Data	_____
Exchange Rate Data	_____

- Your company will automatically be put on a distribution list for the importing community. This will be done to encourage the acceptance of CADEX release notification messages by warehouse operators, etc.

If you are opposed to being on this list, please indicate with an "X". _____

Section IV

Client Configuration Information

Can your system accommodate 3770 SNA/RJE protocol? _____

The following is the client's current system configuration which will be used to communicate with the RC-CE Host.

System Hardware/Software

System Type:

Micro-computer () Mini-computer () Mainframe ()

System Make:

Model:

Operating System Software:

Release:

Communications Hardware/Software

Communications Controller Type:

Integrated Controller: ()

Front-End-Processor: ()

Comm. Board/Adapter: ()

Controller Make:

Model:

Type of modem requested

Stand-alone: ()

Rack-Mounted: ()

Communications cabinet circuit number:
(If rack mounted modem specified).

CADEX Software

Client/User Developed: ()

Purchased Product : ()

Software Name: _____

Purchase Date: _____

YEAR 2000

Software supports Year 2000 8-digit date format: () yes

() no

Company official's name (printed)

Company official's title (printed)

Company official's signature

APPENDIX B: (deleted)

APPENDIX C: LIST OF APPLICATION IDENTIFIERS

LIST OF APPLICATION IDENTIFIERS

I. INPUTS

<u>A. Queries</u>	<u>Identifier</u>
(1) Classification/Tariff Code File Query	QA
(2) Exchange Rate File Query	QE
(3) Entry/Release File Query	QJ
(4) Notification of Release Query	QO
<u>B. File Requests</u>	
(1) GST File Request	FC
(2) Excise Tax File Request	FD
(3) Exchange Rate File Request	QE
<u>C. Entry Processing</u>	
(1) Entry Input for entries the release date of which is equal to or later than 910101.	KI

II. OUTPUTS

<u>A. Queries</u>	
(1) Classification/Tariff Code File Query	RA
(2) Exchange Rate File Query	RE
(3) Entry/Release File Query	RJ
(4) Notification of Release Query	AO
<u>B. File Requests</u>	
(1) GST File Request	GC
(2) Excise Tax File Request	GD
(3) Exchange Rate File Request	RE
(4) Classification File Request	GA
(5) Tariff Code File Request	GB
<u>C. Entry Processing</u>	
(1) Entry Validation Response	RI

D. Automatic Updates

(1)	Classification File Update	AA
(2)	Tariff Code File Update	AB
(3)	GST File Updates	AC
(4)	Excise Tax File Updates	AD
(5)	Exchange Rate File Update	AE
(6)	Account Statement (K84)	AK
(7)	Broadcast Message	AL
(8)	Notification of Release	AO
(9)	Overdue Release Notification	AR
(10)	Performance Measurement Statistics	
	Importer/Broker Month-to-Date	
	Participant's Report	AP

**APPENDIX D: CADEX COMMUNICATION
REQUIREMENTS**

APPENDIX D

1.0 Preface

2.0 CADEX Network Services

- 2.1 Communications Service Types
- 2.2 Dedicated Lines

3.0 Communication and Software Descriptions

- 3.1 Physical Connection to CADEX
- 3.2 Host & Network Software Configuration Options
- 3.3 User RJE Emulator Configuration

4.0 RJE Emulation

- 4.1 Host Connection Procedures
- 4.2 Host SIGN-ON Procedure
- 4.3 Host Disconnection Procedure
- 4.4 Communications Testing Procedure

5.0 CADEX Application Process

- 5.1 CADEX Input Processing
- 5.2 CADEX Output Processing

6.0 Security

- 6.1 Network Security
- 6.2 Host System Security
- 6.3 Application Security

7.0 Network Management and Support

- 7.1 Problem Reporting
- 7.2 Common Problems
- 7.3 Processing CADEX Line Requests

1.0 Preface

This document describes the technical specifications for the communication facilities required to implement a CADEX client. Detailed parameters are described for the network, RJE emulator software, and the host computer interfaces. The document also describes the general procedures for initiating, operating, and maintaining the communication link.

To provide a total picture of the end-to-end processing, the complete communications network is described, including the CBSA Host system and the user's RJE interface. Portions of this document can be read selectively, depending on the level of detail required by the interested parties at the user location. Any questions regarding this document should be directed to your Client Representative. Please note, that Bell is no longer approving requests for new CADEX communication lines. The following sections are designed for existing clients only.

Section 2 provides a high-level description of the major components of the network. It defines the various client accesses that are provided for the CADEX system. It also defines the host support for these services.

Section 3 provides more technical in-depth data on the various configuration components. It describes the physical and software configuration specifications.

Section 4 describes the communication procedures and protocol. It provides general information on the emulator operation and the JES2 Sign-on and Sign-off processes. The recommended initial communication testing procedure is also described in this section.

Section 5 defines the general application operation environment, as it applies specifically to CADEX. Information is provided on the application input and output processing.

Section 6 outlines the various security features which are provided for CADEX. The network, system, and application security components are described in general terms.

Section 7 provides information on the network management and support, as provided by CBSA. The problem reporting procedures, as well as common problems and their potential causes, are described. Information is also provided related to the acquisition or subsequent re-location of a CADEX communication modem.

2.0 CADEX NETWORK SERVICES

The communications service implemented to support CADEX is 3770 Systems Network Architecture (SNA) RJE. This service allows brokers and importers to transmit information to the CBSA mainframe computer. The client's information will be processed by the CADEX application and the output will be returned via the same 3770/SNA RJE interface.

The network design and configuration is the responsibility of CBSA. All network services are ordered, maintained, and funded by the client. The selection of a specific network service is based on volume estimates and equipment configuration of the particular client with the objective of providing a cost-effective and operationally suitable communication service. A description of the available user accesses is provided later in this section.

The remote device will appear to the host as standard 3770/SNA remote with 1 card reader, 1 printer and a console defined. The host communication interface will be controlled by IBM's Job Entry Subsystem - JES2. All input will be received as an 80 byte card images, and output will be transmitted as 132 byte print records.

Communications between the user's system and the CADEX application will be through the submission of batch jobs which will update a common input file on the host. When application processing is completed, the output will be routed via JES2 to the originating remote destination.

The following describe the different types of communication services which are currently supported for the CADEX network.

2.1 Communications Service Types

The communications service types implemented for the CADEX application are Telecom Canada's Datapac 3000/3303. For high volume users, dedicated facilities from either Telecom Canada or Unitel are installed.

Datapac 3000/3303

The Agency has adopted Telecom Canada's Datapac 3303 SDLC service as the preferred access to CADEX. Datapac 3303 uses Telecom Canada's X.25 network to provide communication facilities between the CBSA host computer and the remote system. Data are transmitted across the X.25 network in discrete data blocks called packets.

Some X.25 control information, called a packet header, is added to each packet. Among other functions, the packet header contains address information, packet sequence numbers, and also indicates whether the packet contains data or control information. It also allows for X.25 session control.

As the user's implementation is a 3770/SNA (SDLC) protocol and is not compatible with the X.25 protocol, a network feature called a Packet Assembler/Disassembler (PAD) is provided with each access. The function of the PAD is to provide a device, which does not communicate in X.25 format, the necessary translation functions. The PAD accepts the user's 3770/SNA protocol and re-formats the data into X.25 packets for transmission across the network. The function of the PAD is transparent to the device which is transmitting and receiving using the SNA/SDLC protocol.

The implementation of this service at the host consists of two high speed (56 KBPS) Datapac 3000 links in a "hunt group" configuration with a common call number. Each 3000 link contains 40 Switched Virtual Circuits or SVCs and are capable of supporting a total of 80 concurrent users.

Datapac 3000 is Telecom Canada's native X.25 service. Unlike the 3303 service, implemented at the user's end, no PADs are used. Instead, IBM's NCP Packet Switching Interface (NPSI) software is used at the host end to provide the necessary X.25 to SDLC to X.25 conversion.

It should be noted that although the Datapac network is capable of transmitting network messages to the remote station, this feature has been disabled to avoid user application problems (most emulators cannot handle these messages and they could end up being stored in existing print files when received).

Session control and link errors will be handled at the modem level which should advise the emulator if an abnormal termination of the session has occurred.

2.2 Dedicated Lines

The second service which is provided for CADEX communications is dedicated (point-to-point) lines between the user's location and the CBSA host. These lines are only provided for users with high volumes of data transmission. The cost of using an X.25 service with a PAD device increases proportionally as the volume increases. With high volume transmissions, there is a point where the cost of the X.25 service exceeds the cost of a dedicated line. Again, it should be noted that the circuit design is the responsibility of the CBSA and is based on volume estimates provided for a particular user.

With the dedicated line configuration, the user is communicating directly with the CBSA host and JES2. The protocol used on is 3770/SNA (SDLC). From the user's perspective, there is no difference whether communicating via a DATAPAC line or a dedicated line; all operational procedures remain the same. As the implementation is a dedicated, point-to-point service, there is no host port contention for establishing a session.

3.0 Communication and Software Descriptions

The following describes the parameters of the communication interfaces between the end-user's RJE system and the CBSA host system. This information will apply to all line services provided for access to CADEX. Any specific differences will be noted in the appropriate text. Detailed end-user configuration information cannot be provided due to the vast number of systems and software that is supported.

The information provided is the general specifications required for 3770/SNA RJE within the CBSA environment.

3.1 Physical Connection to CADEX

The end user's hardware and software must support the following specifications:

- Physical connection to the network modem is RS-232C serial interface.

- Synchronous Data Link Control (SDLC) protocol. For detailed information refer to the appropriate IBM manuals on Synchronous Data Link Control Communications.

- RJE system must support line speeds of 2400 to 128K

3.2 Host & Network Software Configuration Options

Each end-user must configure the 3770/SNA emulator software with the appropriate options to ensure effective communications. There are a number of standard configuration options which must match the CBSA host definitions.

The following are the required parameters for proper Host transmission control :

- Physical Unit (PU) Type is PUTYPE=2 (SNA)

- Logical Unit (LU) Type is LUTYPE=1 - RJE (SNA)

- NRZI Encoding - No (SNA)

- Cluster and LU Addresses (SNA)

- Application Id. - APPLID (SNA)

- Device Type - IDBLK (SNA)

- Device Type - IDBLK (SNA)
- Station Number - IDNUM (SNA)
- Polling Address (SNA)
- The RJE device is the secondary station
- Line protocol is half-duplex
- Transparency Mode is supported
- Transmission to the Host is 80 byte card images
- Transmission from the Host is 132 byte print images with 1 byte carriage control.

The Cluster and LU addresses, APPLID, IDBLK, IDNUM, and Poll addresses are supplied by the Agency. These must be included in the user's configuration, and match those defined on the host to ensure successful communication with the CADEX network.

Depending on the user's CADEX modem interface, the emulator interface parameter will be different. The following are definitions that should be used for the various services:

- DATAPAC 3303/SDLC - Switched Line
- Dedicated DATAROUTE - Dedicated Line

3.3 User RJE Emulator Configuration

There are a number of control parameters which must be defined by the user. These parameters may vary, depending on the specific emulator program used. The purpose of these parameters are to ensure proper interaction with the "Job Entry Subsystem" (JES2) on the host system. Most emulators have two basic types of program execution: operator control and executable batch control files. It is recommended that the latter be used in all cases where possible. By automating all functions of transmission, potential operator error would be eliminated.

The emulator control features must support certain standard functions required for RJE batch transmission.

The following is a list of the major functions:

- Support of multiple file receives within the same transmission session. For better application support, the emulator should be capable of creating distinct user files for each JES2 output file.

4.0 RJE Emulation

This section describes the general operating requirements of a suitable 3770/SNA RJE emulator. The Agency reserves the right to disallow access to any user whose emulator does not conform to basic IBM operating standards.

The remote system must emulate all general functions of a standard IBM 3770 RJE device with one card reader, one printer and an operator console. It is important that the RJE emulator and operational procedures be capable of detecting an abnormal transmission termination. This detection is usually handled by the emulator monitoring critical modem control signals. In the case of an aborted transmission to the host, the user will have to save the input job for later transmission. Output which is not received in its entirety must be discarded, since it will be completely retransmitted automatically by the host.

The SNA/RJE uses IBM's Synchronous Data Link Control (SDLC) protocol to transmit data. Under SNA, the RJE is configured as a VTAM node (a node is an addressable remote logical unit). Each node is defined with a specific POLL or address id. A device type (IDBLK) and station id (IDNUM) is also defined for the specific remote. These definitions must be included in the user's remote configuration file for successful communications to take place.

Connection to the host is achieved by sending a LOGON request to the network.

The SNA remotes are defined with specific JES2 parameters.

Some advantages of using the SNA/RJE include simultaneous transmit and receive ability and better network problem determination and support tools. SDLC allows for up to 127 blocks of data to be transmitted before requiring acknowledgement from the receiver.

4.1 Host Connection Procedures

The CADEX network has been designed to provide fast and easy connection access to the CBSA host. The physical connection will vary slightly depending on the type of service used. The following describes the connection procedure for each service type:

(Note: Users should not leave their emulator software active when not communicating with CADEX as the software may generate a modem condition which will cause a call to be placed every few seconds to the CBSA Host.)

The Datapac 3303/SDLC service is installed with a "Direct Call" feature. Users are provided with the required SNA parameters, IDBLK, IDNUM, Poll ID, which should be included in their emulator configuration before attempting to connect to the host. Each remote is defined in the network with a specific Poll id. and exchange id. (XID - IDBLK+IDNUM).

To successfully connect to the network, the emulator must transmit the correct poll and xid.

Once connection has been established with the network, the user should then transmit the proper logon request to establish the remote session.

Under the 3303/SDLC service, access to the host is achieved via Logical Channels (LC's) or Switched Virtual Circuits (SVCs), defined on a single Datapac 3000 Host link (a maximum of 256 channels may be defined to a single link). This many-to-one access offers considerable savings on the FEP by reducing the number of ports required to support users.

There is one minor difference between the 3000 and 3303 service: with the Native X.25 (3000) service, PAD functions are preformed by the DTE's (Host and remote ends); with the SNA/X.25 (3303), PAD functions are performed by the network i.e., DATAPAC.

A hunt group configuration is implemented for the Datapac 3303/SDLC service. A call is automatically established with the host as soon as the emulator is activated by the user.

IBM's NCP Packet Switching Interface (NPSI) software is installed on the CBSA network to support the Datapac 3000 and Datapac 3303/SDLC service.

DEDICATED LINES - There is no need to establish a connection procedure with the dedicated lines. As long as JES2 and the particular line is activated, the RJE station will be able to establish a session with the host. The user need only activate the emulator and transmit the SIGNON/LOGON record to the host.

4.2 Host SIGN-ON Procedure

3770 SNA/RJE

Establishing an RJE session under SNA is accomplished by sending a LOGON request. The LOGON string should be entered as follows:

```
LOGON APPLID(XXXX) DATA(RMT###,,PASWD)
```

where XXXX = Host defined Application Id.
 ### = User's unique Remote Number
 PASWD= User's JES2 Remote Password

4.3 Host Disconnection Procedure

It should be noted that an automatic SIGNOFF from the host is provided by JES2. To reduce potential network contention, an "IDLE TIMEOUT" feature is enabled. Any user's session which is inactive for 1 minute will automatically be disconnected from the host.

3770 SNA/RJE

To terminate the SNA/RJE session, simply issue the signoff command:

```
SIGNOFF
```

4.4 Communications Testing Procedure.

This section identifies the recommended initial communication testing procedure to be used by all clients. There are many components related to establishing an effective communication link with a new user. The purpose of the initial communication tests is to verify that all facilities and configurations are operating properly. After the communication line has been installed, and the user has completed the installation and configuration of their communications hardware and software, the following steps should be followed:

1. Contact your ECU client representative and advise him/her that you are ready for the initial testing. The client representative will ensure that a test receive file is placed on the user's JES2 output queue.

2. Establish a communications session with the host and transmit the LOG-ON record. The RJE emulator should then be instructed to receive the test file from the host. After the receive, a LOG-OFF record should be transmitted and the session will be terminated. Verify the received output to ensure that it was processed correctly. If this step is not successful, contact the client representative and report a problem.

3. After successful completion of the step #2, another session should be established to transmit a job to the host. When the test transmission is completed, the emulator should be instructed to receive. A job acknowledgement file should be automatically transmitted to the user. After the receive, a LOG-OFF record should be sent to the host. Verify the received output and ensure it was processed correctly. If this step is not successful, contact the client representative and report a problem.

5.0 CADEX Application Process

This section briefly describes the user and host process for the CADEX application. These processes are common to all users independent of the network accesses used. The access to the JES2 lines is only available between certain production hours. At present the lines are active between 07:00 hrs and 24:00 hrs, Monday through Saturday (please note that data received after 20:00 hrs will be held by the system and processed the next business day). The users can signon and submit or receive output on an ad-hoc basis during the available hours. There is no set limit to the number of sessions per day; it will depend on the user's volume and production scheduling.

5.1 CADEX Input Processing

All users will be provided with a specific Job Control Language (JCL) stream to input data to the CADEX application. A single job stream will be used for all functions of processing. These functions include inputting new entries, transaction queries, and down-load of control file information.

After each job is transmitted to the host, it is usually placed on a holding file immediately. Normally within the same session an output file is sent to the user indicating that the job was received and placed on the holding file. The acknowledgement file indicates the JES2 job number that was assigned, the current date and time and the number of records that were processed. The user should verify this job to ensure that all records were received and processed by the host. If any problems occur, the information in this file is required to track the actions of the particular transmission, and should be provided when reporting a problem.

5.2 CADEX Output Processing

Once a user's input job has been received, there are a number of application processes which must be completed before the requested output is available. The entire process can take up to 2 hours, but on the average the output is available within 1 hour of submission. Users should not report a problem of missing output within less than 2 hours of input.

As well as user requested input processing and associated output, there are a number of automatic reports which can also be provided by the system. Depending on the user's request and their system profile, various reports will be supplied at the beginning of each day. The K-84 account statement, overdue release report and release notification report are prepared during the previous night's processing and are available first thing the following morning. It is important to note that JES2 will transmit multiple files for the various output and the user's application must be able to generate these files and process them as appropriate.

6.0 Security

This section briefly describes the security measures which have been established for the CADEX network. Strict network security, in accordance with the RCMP standards, have been implemented to ensure authorized access to the CBSA host. There is no support of general dial services to the network; the only dial is secure private dial access. Listed below are the security controls which have been implemented to protect the data integrity for both the Clients and the Agency.

NOTE: Any security passwords provided to the users by the Agency must be protected. Each password is unique and essential for ensuring the privacy of information.

6.1 Network Security

All circuits installed for CADEX provide various security features. All client accesses are dedicated services ordered by the Agency. In the case of dedicated point-to-point lines the network security is inherent in the design. For the Datapac and Circuit Switched lines a software security feature called a "Closed User Group" (CUG) is used. Only circuits with the proper CUG code can access the CBSA mainframe. As well, all packet-switched and circuit-switched remote accesses can only call to a specific number at the CBSA host.

6.2 Host System Security

There are two components of system software that provide security functions. The first is JES2 which requires a password verification at Signon prior to any transmission. Each user is assigned a specific JES2 Remote Number and associated unique password. The second component is a mainframe security software package that allows only authorized program execution and user data set access. For security reasons, no specific details are provided, nor are they required by users. These controls are managed by the CBSA applications security section.

6.3 Application Security

As well as the above security measures, there is also extensive application security that is provided. Each user is assigned an application security password for access to the CADEX application. All transactions must pass application security prior to processing.

7.0 Network Management and Support

All client accesses for CADEX are funded by the client. The modem services provided are only, and can only, be used for access to the CADEX system. The entire network is centrally supported from Ottawa for both application and network problems.

The Agency will provide all necessary support to users up to the point of connection to the network. All problems beyond the modem interface are the responsibility of the user.

7.1 Problem Reporting

Each user is provided a client representative who acts as the single point of contact within the Agency, and to whom all problems must be reported. They will ensure that the problems are routed to the appropriate section for resolution. For other than functional problems, all are reported to a central Help Centre to be entered into an online problem management database. Problems are logged, assigned, and tracked via this online system. Network and application support technicians are available to deal with all problems.

The following basic information is required when reporting a problem to ECU Client Representatives:

- . Client organization, location, and remote number.

- . Client contact name and telephone number.

- . General description of problem including date and time of occurrence.

- . In the case of suspected communication problems, the client's circuit number.

NOTE: Users should never call the local telephone service number to report communications problems.

7.2 Common Problems

The following is a list of common problems encountered with the CADEX application:

<u>PROBLEM</u>	<u>PROBABLE CAUSES</u>
Unable to SIGNON to the host.	Host system is down. JES2 Lines are inactive. All lines are busy. Invalid Sign-oncard/ password. Potential line failure.
User cannot input to host.	Emulator procedure error. Software Configuration error. Input job JCL error. Potential line problem.
User does not receive output.	Input data error/rejects. CADEX processing halted. Emulator procedure error. Potential line problem.

7.3 Processing CADEX Line Requests

All potential participants wishing to connect with CADEX must complete the Agency application form in Appendix "A". This request itself does not process the requirement for connection to CADEX. All users must notify their client representative when they consider themselves ready to interface with the host system. A client information questionnaire will have to be completed prior to request. This information defining the client's operating system and environment, is essential for network planning and ordering of facilities. Once all current information is acquired, a formal communication line order and software

configuration change request will be placed. The clients must consider when planning their project, that there is a considerable lead time for processing these requests. The minimum lead time required for a new line service is 8 to 10 weeks.

Should any existing client plan to move their office location, affecting the CADEX modem service, they must advise the Agency 3 months before the planned move. Without such notice, the Agency cannot guarantee continued service. The client cannot process a request for a re-location of the CADEX circuit.

**APPENDIX E: CONTROL FILE DEFINITIONS AND
EXPLANATIONS**

The following definitions/explanations are intended to assist the participant in interpreting the classification control file output records.

AREA CODE

A unique code used to identify the geographical area within Canada to which a CBSA office belongs. These codes are:

- 1 New Brunswick, Nova Scotia and Prince Edward Island
- 2 Quebec and Ontario (except offices in area 3)
- 3 Offices of Fort Frances, Kenora, Thunder Bay and all others in Western Canada
- 4 Newfoundland, HQ and pre-clearance offices operating outside Canada
- 9 All geographical areas in Canada

CLASSIFICATION AUTHORITY NUMBER

The file number appearing in the memorandum that authorized the classification number to be added or modified on the control file.

CLASSIFICATION EFFECTIVE DATE

The calendar date in the form of year, month, day, on which a particular classification number becomes operative.

CLASSIFICATION EXPIRY DATE

The calendar date in the form of year, month, day, on which a particular classification number is no longer valid.

DUTY RATE AUTHORITY NUMBER

The file number appearing in the memorandum authorizing the rate of duty for a classification number or tariff code.

DUTY RATE EFFECTIVE DATE

The calendar date in the form of year, month, day, on which a particular rate of duty becomes operative, as indicated on the memorandum issued concerning a classification number or tariff code.

DUTY RATE EXPIRY DATE

The calendar date in the form of year, month, day, on which a particular rate of duty terminates, as indicated on the memorandum issued concerning a classification number or tariff code.

DUTY RATE MAXIMUM

The rate of duty resulting in the maximum acceptable amount of duty payable for a classification number. For example, \$1.50/kgm, maximum 15% VFD.

DUTY RATE MINIMUM

The rate of duty resulting in the minimum acceptable amount of duty payable for a classification number. For example, \$0.50/pce, minimum 10% VFD.

DUTY RATE REGULAR

The one duty rate used to determine the amount of duty for a particular classification number.

DUTY RATE TYPE

A code to identify whether the rate of duty is:

- S specific
- V ad valorem
- F free
- T an internal code for CBSA use only
- X the corresponding rate of duty must be verified by the participant as it has not been determined by the system. This B3 line type will be subject to CS review

EXCHANGE RATE DETERMINATION FLAG

An indicator which allows the system to check if the classification number was in effect for the date of direct shipment if it was determined not to be in effect for the validation date. This flag is usually used for classification numbers which attract fluctuating duty rates, e.g., seasonal rates of duty.

EXCISE DUTY EFFECTIVE DATE

The date in the form of year, month, and day on which a particular excise duty rate becomes operative, as indicated in a memorandum, budget, or other official document.

EXCISE DUTY EXPIRY DATE

The date in the form of year, month, and day on which a particular excise duty rate terminates, as indicated in a memorandum, budget or other official document.

EXCISE TAX REFERENCE NUMBER

A code representing a particular excise tax rate found on excise tax, classification, or tariff code files.

FREE INDICATOR

A flag signaling that the classification number or tariff code is not subject to duty under any trade agreement.

- Y yes (i.e., no duty applicable)
- N no (i.e., duty applicable)

INACTIVE INDICATOR

A flag indicating whether or not the particular classification number, duty rate or excise duty rate has become inactive.

REGULATION EFFECTIVE DATE

The date in the form of year, month, day, on which a particular GST code/rate or excise tax rate becomes effective for a particular classification number or tariff code.

REGULATION EXPIRY DATE

The date in the form of year, month, day, on which a regulation pertaining to a particular sales tax code/rate or excise tax rate expires for a particular classification number or tariff code.

GST REFERENCE NUMBER

A code used for referencing a particular sales tax code or rate on the GST, classification, or tariff code files.

STATISTICAL UOM CODE

A default value for Statistics Canada purposes when the unit of measure code is not required by the HS Tariff.

TARIFF AUTHORITY NUMBER

The File number appearing on the memorandum that authorized the tariff number to be added or modified on the file.

TARIFF EFFECTIVE DATE

The first date (YYMMDD) that a tariff number (8-digit level) can be used, as indicated in the authorizing memorandum.

TARIFF EXPIRY DATE

The expiry date (YYMMDD) of a tariff number (8-digit level) as indicated in the authorizing memorandum.

UOM CODE

A code that identifies the standard unit of measure for goods as identified in the HS Tariff.

The following definitions/explanations are intended to assist the participant in interpreting the tariff code control file output records.

TARIFF CODE AUTHORITY EFFECTIVE DATE

The calendar date in the form of year, month, day, on which a particular tariff code becomes operative.

TARIFF CODE AUTHORITY EXPIRY DATE

The calendar date in the form of year, month, day, on which a particular tariff code terminates.

TARIFF CODE AUTHORITY NUMBER

The file number appearing in the memorandum that authorized the tariff code to be added or modified on the file.

DUTY RATE EFFECTIVE DATE

The calendar date in the form of year, month, day, on which a particular rate of duty becomes operative, as indicated on the memorandum issued concerning a classification number or tariff code.

DUTY RATE EXPIRY DATE

The calendar date in the form of year, month, day, on which a particular rate of duty terminates, as indicated on the memorandum issued concerning a classification number or tariff code.

DUTY RATE MAXIMUM

The rate of duty resulting in the maximum acceptable amount of duty payable for a classification number. For example, \$1.50/kgm, maximum 15% VFD.

DUTY RATE MINIMUM

The rate of duty resulting in the minimum acceptable amount of duty payable for a classification number. For example, \$0.50/pce, minimum 10% VFD.

DUTY RATE REGULAR

The one duty rate used to determine the amount of duty for a particular classification number.

DUTY RATE TYPE

A code to identify whether the rate of duty is:

- S specific
- V ad valorem
- F a free rate
- T an internal code for CBSA use only
- X the corresponding rate of duty must be verified by the participant as it has not been determined by the system.
This B3 line type will be subject to CS review

FREE INDICATOR

A flag signaling that the classification number or tariff code is not subject to duty under any trade agreement.

- Y yes (i.e., no duty applicable)
- N no (i.e., duty applicable)

GST 0-RATE INDICATOR

A flag indicating whether or not the tariff code exempts the commodity from GST, regardless of the GST status indicated for the classification number.

- Y yes (i.e., exempts)
- N no (i.e., does not exempt)

INACTIVE INDICATOR

A flag indicating whether or not the particular tariff code number has become inactive.

The following definitions/explanations are intended to assist the participant in interpreting the GST control file output records.

EXCISE TAX RATE CHECK INDICATOR

A flag on GST file to identify whether the classification file must be checked for excise tax rate applicability.

- Y yes
- N no

INACTIVE INDICATOR

A flag indicating whether or not the particular GST reference number has become inactive without being replaced.

GST CHECK GROUP

A digit which identifies in what manner a GST code or rate is checked against the classification or tariff code files. The groups are:

- 1 verified by classification or tariff code file
- 2 no classification or tariff code file checking

GST RATE EFFECTIVE DATE

The date in the form of year, month, and day on which a particular GST rate becomes operational, as indicated in a memorandum, budget, or other official document.

GST RATE EXPIRY DATE

The date in the form of year, month, and day on which a particular GST rate terminates, as indicated in a memorandum, budget, or other official document.

GST RATE TYPE

A code used to identify whether the GST rate is:

- S specific
- V ad valorem
- E involves an exemption

GST REFERENCE NUMBER

A code used for referencing a particular GST code or rate on the GST, classification or tariff code files.

The following definitions/explanations are intended to assist the participant in interpreting the excise tax control file output records.

EXCISE TAX RATE EFFECTIVE DATE

The date in the form of year, month, and day on which a particular excise tax rate becomes operative, as indicate in a memorandum, budget, or other official document.

EXCISE TAX RATE EXPIRY DATE

The date in the form of year, month, and day on which a particular excise tax rate terminates, as indicated in a memorandum, budget, or other official document.

EXCISE TAX RATE TYPE

A code to identify whether the excise tax rate is:

- S specific
- V ad valorem
- X the corresponding excise tax rate must be verified by the participant as it has not been determined by the system.
This B3 line type will be subject to CS review.

EXCISE TAX REFERENCE NUMBER

A code representing a particular excise tax rate found on the excise tax, classification or tariff code files.

INACTIVE INDICATOR

A flag indicating whether or not the particular excise tax reference number has become inactive without being repeated.

APPENDIX F: CADEX B3 PROCESSING

INTRODUCTION

This document is intended to assist Agency clientele in understanding how the CBSA computer systems receive and process data. There are three parts to the document:

- Part I This is a basic description of the processes data undergoes for edit and validation purposes when transmitted via CADEX and when validated by the B3 validation component.

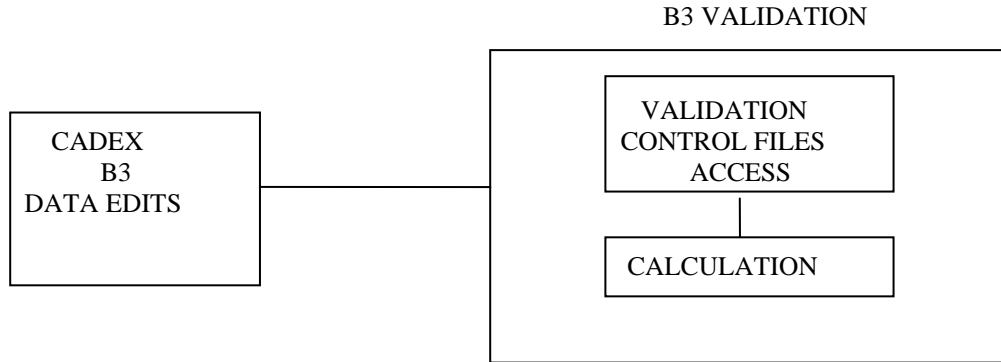
- Part II This part of the document lists all CADEX and LVS data edits and related error messages and the B3 validation error messages.

- Part III In this part of the document, the processes used by the CBSA computer in calculating duties and taxes for all conditions (normal processes, machinery remission, order in council processing) on classification lines and for the trailer are discussed.

The document, although seemingly technical in nature, provides the information necessary for an importer or broker to understand what edits and validation checks are made on B3 data, and the processes the CBSA uses to calculate amounts owing. If importers and brokers ensure their systems, manual or automated, prepare B3 data with these factors taken into account and in conjunction with the B3 Documentation Requirements and CADEX Participants Requirements Document (for those users of CADEX), few error situations should arise.

I. CBSA B3 EDIT AND VALIDATION PROCESSING

This section describes the edits and validation checks carried out on B3 data. Data undergoes checks both by the CADEX component and the B3 Validation component. The following chart describes the CADEX B3 processing by the CBSA mainframe:



CADEX is the data entry facility providing for the transmission of a sequential file of B3's comprised of the following records:

- | | | |
|----------------------------|----|----|
| 1) Header | KI | 10 |
| 2) Release Data | KI | 15 |
| 3) Sub header | KI | 20 |
| 4) Classification Line 1 | KI | 30 |
| 5) Classification Line 2 | KI | 40 |
| 6) Classification Line 3 | KI | 50 |
| 7) Ruling Cross-reference | KI | 60 |
| 8) Part Number Record | KI | 65 |
| 9) Invoice Cross Reference | KI | 70 |
| 10) Trailer | KI | 90 |

Each record is processed in the CBSA' computer by two distinct components:

- 1) CADEX B3 Data Edits
- 2) B3 Validation

Cadex B3 Data Edits

All Cadex B3 Data Edits are performed on the Header. If any errors are detected, the entire accounting document (B3) is rejected and the rest of the B3 records are ignored.

All Cadex B3 Data Edits are performed on the Sub header. If any errors are detected, the entire Sub header is rejected and the rest of the records for that Sub header are ignored.

All Cadex B3 Data Edits are performed on the Classification Line records (KI30 to KI70). The edits are performed on all the Classification Line records regardless of whether an error was detected on a previous record for the same Classification Line.

Cadex B3 Data Edits are also performed on the Trailer. All messages related to the Cadex B3 Data Edits are attached.

B3 Validation

The B3 Validation process is accessed for each Classification Line if no edit errors have been detected on the Header, Sub header and the Classification Line records. It is also accessed after the Trailer has been edited and no errors were detected.

The Calculation process is a component of the B3 Validation process. It is executed only if there were no errors detected during the Validation Control Files Access. All messages related to B3 Validation are attached.

II. EDIT AND VALIDATION ERROR MESSAGES

Following is a listing of error messages associated with each of the edits/validation checks undertaken by the CADEX, LVS and B3 validation components.

<u>MESSAGE #</u>	<u>MESSAGE TEXT</u>
940217	ERROR* RELEASE DATE INVALID
940252	MUST BE A VALID CURRENCY CODE
940263	COUNTRY OF ORIGIN NOT ON FILE
940265	PLACE OF EXPORT IS NOT ON FILE
940272	DIRECT SHIPMENT DATE IS MISSING
940273	DIRECT SHIPMENT DATE IS INVALID
940275	CURRENCY CODE IS MISSING
940283	CLASSIFICATION NUMBER IS MISSING
940284	CLASSIFICATION NUMBER IS NOT ON FILE
940285	CLASSIFICATION NUMBER IS NOT VALID FOR AREA OF RELEASE
940287	VALUE FOR DUTY CODE IS MISSING
940288	VALUE FOR DUTY CODE IS INVALID
940289	SPECIAL ASSESSMENT CODE IS INVALID
940293	SPECIAL ASSESSMENT AMOUNT IS MISSING
940298	QUANTITY IS MISSING
940299	UNIT OF MEASURE MUST BE INPUT RATE MISSING
940305	EXCISE TAX RATE NOT ON FILE
940323	TARIFF (AND CLASS) NUMBER NOT ON FILE
940343	SPCL AUTH NO. INPUT IS NOT ON FILE
940397	OFFICE NO. INPUT IS NOT ON FILE
940585	INVALID TRANSACTION NUMBER
941225	VENDOR NAME MUST BE ENTERED
941226	COUNTRY OF ORIGIN IS MISSING
941227	COUNTRY OF EXPORT IS MISSING
941228	TIME LIMIT IS MISSING
941229	SPECIAL AUTHORITY INDICATES 1/60, 1/120 TIME LIMIT INVALID
941231	SPECIAL ASSESSMENT CODE IS MISSING

941234 LAST DIGIT OF MACHINERY OIC NUMBER IS MISSING
 941235 NO RATE ON FILE FOR THIS TARIFF TREATMENT
 941236 TARIFF TREATMENT INVALID FOR CNTRY OF EXP AND/OR CNTRY OF ORIG
 941237 TARIFF TREATMENT MISSING OR INVALID
 941238 CURRENCY CODE HAS NO VALID EXCH RT FOR EXCH RT DATE
 941240 ET RATE INPUT AS &01, SALES TAX CODE INDIC ET EXEMPTION
 941241 EXCISE TAX INPUT DOES NOT APPLY TO CLASSIFICATION NUMBER
 941242 EXCISE TAX RATE IS REQUIRED BY THE CLASSIFICATION NUMBER
 941263 DEPOSIT AMOUNT IS INVALID
 941338 OFFICE CODE MUST BE NUMERIC
 941392 CRITICAL* IMPORTER NUMBER NOT ON FILE-NUMBER IS VALID IN
 FORMAT, BUT NON-EXISTENT IN CUSTOMS.
 942165 SPECIAL AUTHORITY REQUIRES TIME LIMIT, MISSING
 942195 EXCISE TAX RATE INPUT IS INVALID
 942196 DUTY RATE INPUT IS INVALID
 942266 "A" RECORD MISSING
 942275 A/S NOT EQUAL TO A/S OF THE "A" RECORD
 942276 TRANSMISSION SITE NOT = TRANSMISSION SITE OF THE "A" RECORD
 942277 CURRENT DATE NOT EQUAL TO CURRENT DATE OF THE "A" RECORD
 942278 APPLIC'N IDENTIFIER MUST = APPLIC'N IDENTIFIER OF "A" RECORD
 942280 BATCH NO NOT = TO BATCH NO OF THE "A" RECORD
 942282 INVALID PASSWORD
 942290 INVALID DATE
 942297 INVALID IMPORTER/BROKER CONTROL OFFICE
 942298 INVALID RECORD COUNT
 942304 OFFICE NUMBER INVALID FOR THE ACCOUNT SECURITY NUMBER
 942305 INVALID ENTRY TYPE
 942306 MAXIMUM OF 1000 QUERY TRANSACTIONS ALLOWED PER BATCH
 942311 CLASS NUMBER NOT NUMERIC
 942312 VALUE FOR DUTY CODE INVALID OR NOT ENTERED
 942314 VALUE FOR DUTY INVALID OR NOT ENTERED
 942317 INVALID SPECIAL ASSESSMENT CODE

942318 INVALID SPECIAL ASSESSMENT AMOUNT
942638 ACCOUNT SECURITY MUST BE NUMERIC
942640 INVALID ACCOUNT SECURITY NUMBER
942641 INVALID TRANSMISSION SITE ID
942683 INVALID APPLICATION IDENTIFIER
942684 "Z" RECORD MISSING
942759 IMPORTER NUMBER IS MISSING OR INVALID
942761 DIRECT SHIPMENT DATE MISSING OR INVALID
942764 INVALID TIME LIMIT UNIT
942768 INVALID CLASS LINE QUANTITY
942770 INVALID UNIT OF MEASURE
942771 DUTY RATE INPUT INVALID OR NOT ENTERED
942773 INVALID EXCISE TAX RATE
942774 INVALID DUTY AMOUNT
942775 INVALID DUTY PAID VALUE
942777 INVALID EXCISE TAX AMOUNT
942781 CURRENCY CONVERSION VALUE INVALID OR NOT ENTERED
942782 RELEASE DATE MUST BE ENTERED
942783 INVALID RELEASE DATE
942784 CARGO CONTROL NUMBER MUST BE ENTERED
942785 INVALID TOTAL SPECIAL ASSESSMENT AMOUNT
942786 INVALID TOTAL DUTY AMOUNT
942787 INVALID TOTAL SALES TAX AMOUNT
942788 INVALID TOTAL EXCISE TAX AMOUNT
942789 INVALID TOTAL DUTY TAX AMOUNT
942790 INVALID TOTAL VALUE FOR DUTY
942792 INVALID RECORD TYPE
942801 DATE IS INVALID
942802 CLASS NO AND TARIFF CODE MISSING
942803 TARIFF CODE RATE INACTIVE
942812 INVALID CNTRY-CDE/CURCY-CDE COMBINATION
942813 COUNTRY CODE NOT ON FILE

942814 CURRENCY CODE NOT ON FILE
942815 IMPRT-BRKR-TRANS-NBR NOT NUMERIC
942819 ENTRY HAS NOT BEEN RELEASED
942855 IMPRT NO NOT EQUAL TO IMPRTR NO OF RELEASE RECORD
942861 ENTRY HAS BEEN CONFIRMED
942866 RECORD TYPE OUT OF SEQUENCE
942923 VFD NOT EQUAL TO CALCULATED VFD
942924 UNIT OF MEASURE INPUT NOT EQUAL TO UNIT OF MEASURE ON FILE
942925 DUTY RATE INPUT NOT EQUAL TO DUTY RATE ON FILE
942927 DUTY AMOUNT INPUT NOT EQUAL TO CALCULATED DUTYAMOUNT
942928 DUTY PAID VALUE INPUT NOT = CALCULATED DUTY PAID VALUE
942930 EXCISE TAX AMT INPUT NOT = TO CALCULATED EXCISE TAX AMT
942991 ENTRY REJECTED
942992 ENTRY ACCEPTED
943009 DUPLICATE TRAILER RECORD
943039 INVALID RECORD TYPE
943152 INVALID RELEASE STATUS
943155 CURRENCY CODE INVALID OR NOT ENTERED
943156 INVALID TIME LIMIT
943173 RELEASE DATE MUST NOT BE GREATER THAN TODAY'S DATE
943174 COUNTRY OF ORIGIN CODE INVALID OR NOT ENTERED
943175 COUNTRY OF EXPORT CODE INVALID OR NOT ENTERED
943183 IMPORTER/BROKER TRANSACTION NUMBER INVALID OR NO ENTERED
943186 FIRST OCCURANCE OF INVOICE INFORMATION MUST BE ENTERED
943187 REGION CODE MUST BE ENTERED AND IT MUST BE A VALID CODE
943199 INVALID DUTY RATE INPUT
943202 INVALID BATCH ID
943203 TOTAL NUMBER OF RECORDS MUST BE NUMERIC
943204 DUPLICATE ENTRY
943213 INVALID SUBHEADER LINE NUMBER
943223 CLASSIFICATION NUMBER INVALID OR NOT ENTERED
943226 OFFICE NUMBER MUST EQUAL THE OFFICE NUMBER ON THE RELEASE
OFFICE

943368 INVALID EXCISE TAX RATE FOR CLOCKS/WATCHES
 943426 FIELD 39 (TOTAL DUTY) TRUNCATED - PLEASE VERIFY
 943428 FIELD 41 (TOTAL EXCISE TAX) TRUNCATED - PLEASE VERIFY
 943429 FIELD 42 (TOTAL) TRUNCATED - PLEASE VERIFY
 943456 INVALID OIC NO. FORMAT
 943516 CARGO CONTROL NUMBER IS MISSING
 943533 RELEASE OFFICE NOT APPROVED FOR CADEX TRANSMISSION
 943534 INVALID ENTRY TYPE. A/S NUMBER IS NON-AUTOMOTIVE
 943543 INVOICE INFORMATION MUST BE NUMERIC
 943544 INVC AMT MUST BE ENTERED IF PG AND LN NO ARE ENTERED
 943545 BOTH OF INVOICE PAGE NO AND LINE NO MUST BE ENTERED
 943556 PROCESSING STOPPED. NO OF ERRORS EXCEEDS MAXIMUM FOR AN
 ENTRY.
 943564 PROCESSING STOPPED. NO OF ERRORS EXCEEDS MAXIMUM FOR A BATCH.
 943575 CLASS NUMBER NOT ELIGIBLE FOR REMISSION UNDER SECTION 13
 OF THE DUTY REMISSION ACT
 943604 DRA SEC. 13 REMISSION - NO PARTS PROVISION
 943605 DRA SEC. 13 REMISSION - PARTS PROVISION HAS EXPIRED
 943622 CURRENCY CODE MUST BE ENTERED IF COUNTRY CODE ENTERED
 943627 INVALID COUNTRY/CURRENCY CODE COMBINATION
 943643 BATCH REJECTED
 943644 TRF-NBR NOT IN EFFECT FOR VALIDATION DATE
 943653 TOTAL DUTY AMOUNT INPUT NOT EQUAL TO CALCULATED VALUE
 943654 TTL EXCISE TAX AMT INPUT NOT EQUAL TO CALCULATED VALUE
 943656 TOTAL VALUE FOR DUTY INPUT NOT EQUAL TO CALCULATED VALUE
 943703 MACHINERY PROVISION OF THIS OIC NO LONGER VALID
 943704 DEPOSIT PROVISION OF THIS OIC NO LONGER VALID
 943706 NO RATES ON FILE FOR REQUESTED DATE
 943724 DIRECT SHIPMENT DATE CAN'T BE GREATER THAN RELEASE DATE
 943748 UOM CODE IS INVALID
 943757 OFFICE NUMBER INPUT IS NOT EFFECTIVE FOR THE DATE OF INPUT
 944415 VENDOR STATE CODE MISSING OR INVALID

944471 VENDOR ZIP CODE MISSING OR INVALID
 944472 U.S. IS INVALID CTRY OF EXPORT, SPECIFY STATE CODE
 944711 COUNTRY CODE U.S. INVALID, MUST SHOW 3 CHARACTER STATE CODE
 944862 THE INV. PAGES FOR A "O" LINE # SHOULD NOT BE REUSED
 945066 8000 SERIES TARIFF CODE NOT ALLOWED WITH OIC
 945234 U.S. PORT OF EXIT CODE IS MISSING OR INVALID
 945568 INVALID GST REGISTRATION NUMBER
 945569 INVALID MODE OF TRANSPORT
 945570 INVALID PORT OF UNLADING
 945571 INCORRECT APPLICATION IDENTIFIER FOR RELEASE DATE
 945572 WEIGHT FIELD IS MISSING OR INVALID
 945573 FREIGHT FIELD MUST BE NUMERIC
 945574 INVALID SIMA AMOUNT
 945575 INVALID GST AMOUNT
 945576 INVALID SIMA CODE
 945577 INVALID VALUE FOR TAX
 945578 VALUE FOR TAX INPUT NOT = CALCULATED VALUE FOR TAX
 945580 AMOUNT INPUT NOT = CALCULATED GST AMOUNT
 945581 GST RATE INPUT INVALID OR NOT ENTERED
 945582 TOTAL AMOUNT INPUT AS &01 IS CALCULATED AS &02
 945583 INVALID TOTAL GST AMOUNT
 945584 TOTAL GST AMOUNT NOT = TO CALCULATED TOTAL GST AMOUNT
 945585 INVALID TOTAL SIMA ASSESSMENT AMOUNT
 945586 TOTAL SIMA ASSESSMENT AMOUNT NOT = CALCULATE TOTAL SIMA
 ASSESSMENT AMOUNT
 945587 PLACE OF EXPORT CODE INVALID OR NOT ENTERED
 945588 INVALID TARIFF CODE
 945611 IMPORTER NUMBER MISSING OR INVALID
 945654 SIMA ASSESSMENT AMOUNT IS MISSING
 945655 SIMA CODE IS INVALID
 945656 SIMA CODE IS MISSING
 945677 GST CODE/RATE &01 IS INCORRECT FOR CLASS CODE ENTERED

945695 GST CODE/RATE NOTE ON FILE
 945698 TARIFF CODE IS NOT ON FILE
 945735 FREIGHT FIELD IS MISSING OR INVALID
 945736 US-PORT-XT IS MISSING OR INVALID
 945737 CARRIER CODE AT IMPORTATION IS MISSING OR INVALID
 945763 HEADER RECORD (KI10) MISSING
 945764 TRAILER RECORD (KI90) MISSING
 945765 CLASSIFICATION LINE 2 (KI40) MISSING FOR B3 LINE &01
 945766 MORE THAN 3 CLASSIFICATION LINE 2 (KI40) RECORDS
 945767 DUPLICATE RULING (KI60) RECORDS
 945768 DUPLICATE TRAILER (KI90) RECORD
 945769 CROSS REFERENCE RECORD (KI70) MISSING FOR B3 LINE &01
 945770 CLASSIFICATION LINE 1 (KI30) MISSING FOR SUB-HEADER &01
 945771 SUB-HEADER RECORD (KI20) MISSING
 945772 RECORD (KI15) MISSING
 945773 CLASSIFICATION LINE 3 (KI50) MISSING FOR B3 LINE &01
 945774 DUPLICATE CLASSIFICATION LINE 3 (KI50) RECORD
 945775 AUTOMOTIVE PART NUMBER RECORD (KI65) MISSING FOR B3 LINE &01
 945776 PART NUMBER RECORD (KI65) INPUT FOR A NON-AUTOMOTIVE ENTRY
 945777 PART NUMBER DESCRIPTION (KI65) MUST BE ENTERED
 946109 TARIFF CODE NOT EFFECTIVE
 946110 TARIFF CODE DOES NOT APPLY TO THE TARIFF TREATMENT
 946147 THIS CLASS NUMBER CAN ONLY BE USED WITH AN E29B FORM
 946707 IMPORTER NUMBER/REG# MUST BE 9 DIGITS-FIRST PART OF THE FIELD
 MUST BE AT LEAST 9 CHARACTERS.
 946708 REG# DOES NOT MEET CHECK DIGIT TEST-LAST CHARACTER IN THE 9
 DIGIT NUMBER WRONG.
 946709 REG# NOT ON FILE - NUMBER IS VALID IN FORMAT, BUT NON EXISTENT IN
 SBRN.

946711 RELEVANT ACCT-ID REQUIRED - If reg number has more than one account, then the specific account must be included. Client will also get this message if they try to send 0000 as an account id and it does not match release.

946714 REG# KEYED AS XXXXXXXXXXXXXXXX DIFFERENT THAN THAT RELEASED - B3 has Reg Number and release has either different Reg Number or an Importer Number.

946715 IMP NO KEYED AS XXXXXXXXXX DIFF THAN IN RELEASE - B3 has Importer Number and release has either different Importer Number or a Reg Number.

946823 REG# NOT EFFECTIVE FOR DATE OF RELEASE - could be expired or not effective yet.

946824 LAST 4 DIGITS OF REG# REQUIRED

946895 LAST 4 DIGITS OF REG# MUST BE NUMERIC - the last 4 digits of the 15 character field should be when you use an Registration Number.

946954 REG NUMBER PROGRAM IDENTIFIER INVALID - always has to be RM for customs.

947042 IMPORTER NO. NOT EFFECTIVE FOR DATE OF RELEASE - could be expired or not effective yet.

947052 LAST 6 DIGITS OF IMP# MUST BE BLANK - the last 6 digits of the 15 character field should be when you use an Importer Number.

947087 CCN Indicates mode of transport should be marine (CODE 9)

947093 WAREHOUSE NUMBER MUST BE ENTERED AND NUMERIC

947094 PREVIOUS TRANSACTION NUMBER MUST BE ENTERED AND NUMERIC

947095 PREVIOUS LINE NUMBER MUST BE ENTERED AND NUMERIC

947096 KI15 NOT REQUIRED FOR TYPES 13, 21, 22, OR 30 ENTRIES

947097 KI50 NOT REQUIRED FOR TYPES 21, 22, OR 30 ENTRIES

947098 KI60 NOT REQUIRED FOR TYPE 10, 21, 22, OR 30 ENTRIES

947099 B3 TIME LIMIT MUST BE ENTERED AND NUMERIC

947100 TIME LIMIT UNIT MUST BE ENTERED

947145 PERMIT NUMBER INVALID FORMAT

947146 PERMIT NUMBER REQUIRED FOR SPECIAL AUTHORITY FIELD

947159 CANNOT ACCEPT ENTRY, STILL AWAITING INVOICE DATA

947188 CLASSIFICATION NUMBER NOT EFFECTIVE FOR DATE OF RELEASE AND ACCOUNTING DATE

III. B3 CALCULATION PROCESSES

1.0 INTRODUCTION

The purpose of the calculations process is to calculate the Customs duties and taxes payable for each B3. Data input from the B3 document or received in the form of a CADEX transmission are validated against data elements on the CCS control files and used in the calculation process.

2.0 PROCESS

The Calculations process is made up of the following sections:

1. Normal Classification Line Type Calculations (no special authority)
2. Machinery Remission Classification Line Type Calculations ("0" or "1" in last character)
3. Machinery Remission Minimum Payment Line Type Calculations ("9" in last character)
4. Regular Order-In-Council Classification Line Type Calculations
5. Trailer Calculations

2.1 Normal Classification Line Calculations

If the classification line type is "normal", the following calculations are performed:

- A. Value for Duty Calculation
- B. Normal Duty Calculation
- C. Normal SIMA Assessment Calculation
- D. Normal Duty Paid Value Calculation
- E. Normal Excise Tax Calculation
- F. Normal Value for Tax Calculation
- G. Normal GST Calculation

A. Value for Duty Calculation

The value for duty is calculated using the following formula:

$$\text{Value for Duty} = \text{Value for Currency Conversion} \times \text{Exchange Rate}^1$$

¹ For all calculations: Standard Rounding is applied to the result. If the number in the third decimal place is greater than 4, the second decimal (cents) is increased by one. This process is done by the standard COBOL Rounding Facility.

e.g. 12.344 becomes 12.34
12.345 becomes 12.35

Value for Currency Conversion is an input field from the classification line. Exchange Rate is determined from the currency code and the direct shipment date from the sub header relating to the classification line.

B. Normal Duty Calculation

The calculation of normal duty is dependent upon the rate type, rates of duty, and, where applicable, unit of measure and condition flag. These are all provided by the classification or Tariff file.

The first step in the duty calculation process is the checking of the rate type for each rate of duty. The rate type will be "free", "accept" (T or X), "ad valorem" or "specific".

Free Rate:

If the rate type is "free", "0" is stored as the normal duty. No other processing is required.

Ad Valorem:

If the rate type is "ad valorem", the system performs the following calculation:

$$\text{Duty} = \text{Value for Duty} \times \text{Rate of Duty}$$

Specific Duties:

If the rate type is "specific", the system performs the following calculations:

$$\text{Duty} = \text{Rate of Duty} \times \text{Quantity}$$

The Quantity is that transmitted on the classification line linked to the unit of measure specified for the Rate of Duty.

Accept Rate (X):²

If the Rate of Duty is "Accept (X)", the system will accept duty amount as transmitted; the system is unable to calculate duty.

Accept Rate (T):²

If the Rate of Duty is "Accept (T)", the system will accept the rate of duty as transmitted. The duty type is identified by the rate structure: if a decimal is not input or if a decimal is followed by only one number, the rate is ad valorem (eg. 999, 99, 9, 999.9, 99.9, 9.9, .9). If any other format is input, the rate type defaults to specific.

² Automatic selection is done for these classification lines.

Once the duty has been calculated, the system checks for a condition flag for each rate of duty. If there are no condition flags, the system adds the duty calculated for each rate of duty and stores the result as normal duty for the classification line.

If a condition flag identifies a minimum rate of duty, the rate is used by the calculation process to determine the minimum duty applicable. If the flag identifies a maximum rate of duty, the process uses that rate to calculate the maximum duty payable. The regular duty is also calculated and is compared to the minimum/maximum duty.

Where more than one normal rate of duty is applicable to a classification line, an "and" indicator notifies the calculation process that the calculation results for each of these rates must be added together to obtain the regular duty applicable for that line.

C. Normal SIMA Assessment Calculation

The normal SIMA Assessment Amount is accepted as transmitted on the classification line.

D. Normal Duty Paid Value Calculation

The Normal Duty Paid Value is calculated using the following formula:

$$\text{Normal Duty Paid Value} = \text{Value for Duty} + \text{Normal Duty} \\ + \text{Normal SIMA Assessment}$$

However, if the SIMA assessment code for the classification line is equal to "32" (Provisional Duty Deferred by Bond), the SIMA assessment amount is not to be included in the duty paid value.

E. Normal Excise Tax Calculation

The excise tax rate type is determined in the same manner as the duty rate type.

The calculation of excise tax is dependent upon the excise tax rate and the excise tax rate type. If the excise tax rate type is "accept", the system will accept the excise tax amount as transmitted.

If the excise tax rate type is "ad valorem", the system will calculate normal excise tax using the following formula:

$$\text{Normal Excise Tax} = \text{Normal Duty Paid Value} \times \text{Excise Tax Rate}$$

If the excise tax rate type is "specific", the system will calculate normal excise tax using the following formula:

$$\text{Normal Excise Tax} = \text{Excise Tax Rate Quantity} \times \text{Excise Tax Rate}$$

The Excise Tax Rate Quantity is an input field from the classification line where it is associated to the unit measure specified for the Excise Tax Rate on the Excise Tax File.

If the classification number identifies exciseable watches, the system will calculate normal excise tax in the following manner:

The quantity related to the unit of measure "NMB" is retrieved from the classification line and multiplied by fifty. If the result is greater than or equal to the Normal Duty Paid Value, "0" is stored as the Normal Excise Tax. If the result is less than the Normal Duty Paid Value this result is subtracted from the Normal Duty Paid Value and the result is multiplied by the Excise Tax Rate to obtain the Normal Excise Tax.

F. Normal Value for Tax Calculation

Normal value for tax is calculated in the following manner:

Normal value for tax = Value for duty + normal duty + normal
SIMA amount + normal Excise Tax.

Note that if the normal SIMA assessment code for the classification line is equal to "32" (provisional duty deferred by bond), the normal SIMA assessment amount is not included in this calculation.

G. Normal GST Calculation

The GST rate type is determined in the same manner as the duty rate type. The calculation of GST is dependent upon the GST rate and the GST rate type. If the GST rate type is "accept", the system will accept the GST amount as transmitted. If the GST rate type is "ad valorem", the system will calculate normal GST using the following formula:

Normal GST = Normal Value for Tax X GST Rate

If the GST rate type is "specific", the system will calculate normal GST using the following formula:

Normal GST = GST Quantity X GST Rate

2.3 Machinery Classification Line Calculations

If the classification line is "Machinery Remission Classification Line", the system performs all normal calculations in the same manner as specified for a normal classification line except that if the tariff code is an 8000 series code, the classification rate, and not the tariff code rate, is used in the calculation of normal duty. Therefore, the rate of duty corresponding to the classification number and tariff treatment must be input on the II/KI40 when using an 8000 series code.

Note also that the full value for duty must be input on the KI30 and that the remission value for tax must be input on the KI50. In addition to the normal calculations, the following calculations are performed:

- A. Remission Duty Calculation
- B. Remission SIMA Assessment Calculation
- C. Remission Duty Paid Value Calculation
- D. Remission Excise Tax Calculation
- E. Remission Value for Tax Calculation
- F. Remission GST Calculation

A. Remission Duty Calculation

Remission Duty = Normal Duty - (Normal Duty X Machinery
Remission Percentage)

B. Remission SIMA Assessment Calculation

Remission SIMA Assessment = SIMA Assessment input

C. Remission Duty Paid Value Calculation

Remission Duty Paid Value = Value for Duty + Remission
Duty + Remission SIMA Assessment

However, if the SIMA assessment code for the classification line is equal to "32" (Provisional Duty Deferred by Bond), the remission SIMA assessment is not to be included in the remission duty paid value.

D. Remission Excise Tax Calculation

If Excise Tax Rate is ad valorem:

Remission Excise Tax = Remission Duty Paid Value X
Excise Tax Rate

If Excise Tax Rate is not ad valorem:

Remission Excise Tax = Normal Excise Tax

E. Remission Value for Tax Calculation

Remission Value for Tax = Value for Duty + Remission Duty +
Remission SIMA Assessment +
Remission Excise Tax

F. Remission GST Calculation

If GST Rate is ad valorem:

Remission GST = Remission Value for Tax X GST rate

If GST Rate is not ad valorem:

Remission GST = Normal GST

2.3 Machinery Remission Minimum Payment Line Calculations

Calculations for this line type are identical to normal line calculations with the following exceptions:

1) Value for Duty = Machinery Minimum Value

The Machinery Minimum Value is retrieved from the Systems Value File.

2) Duty Paid Value = Normal Duty

3) Value for Tax = Normal Duty

Note that machinery remission minimum payment type entries cannot be transmitted by CADEX at the present time.

2.4 Regular Order-in-Council Classification Line Calculations

If the classification line type is "Regular Order-In-Council Line", the system performs all normal calculations in the same manner as specified for a normal classification line as well as the following calculations:

- A. Remission Duty Calculation
- B. Remission SIMA Assessment Calculation
- C. Remission Duty Paid Value Calculation
- D. Remission Excise Tax Calculation
- E. Remission Value for Tax Calculation
- F. Remission GST Calculation

When transmitting OIC lines, the full value for duty must be input on the KI30. The duty rate applicable to the classification number and tariff treatment must be input on the appropriate KI40 field. The remission value for tax must be entered on the KI50.

For a 1/60 remission, either the full value for duty or the (full VFD X time limit ÷ 60) may be input in the VFD field on the KI30. The value for tax input can be the remission value for tax (full value for duty + remission duty + remission excise tax + remission SIMA) or the (full VFD X time limit ÷ 60 + duty, excise tax, and SIMA).

A. Remission Duty Calculation

The calculation of Remission Duty is dependent upon the calculation formula specified on the OIC file for the special authority number input on the classification line. The following outlines the applicable formulas for calculating Remission Duty:

1/60 Remission Formula:

Remission Duty = Normal Duty X Time Limit ÷ 60

The Time Limit is an input field from the sub header which relates to the classification line.

1/120 Remission Formula:

Remission Duty = Normal Duty X the Time Limit ÷ 120

Imported Spirits for blending Remission Formula:

Remission Duty = Normal Duty - Excise Duty

Specified Percentage Formula:

Remission Duty = Normal Duty - (Normal Duty X Remission Percentage)

Remission percentage is a field on the OIC file which designates the portion of duty to be remitted.

New Trade Agreement Formula:

The system calculates remission duty based on the rate of duty applicable for the tariff treatment specified on the OIC file rather than the tariff treatment indicated on the sub header record. The rate of duty determination process is then performed in the normal manner.

New Rate of Duty Formula:

The system calculates remission duty using the rate of duty specified on the OIC file for the special authority number input on the classification line. The rate of duty specified is always ad valorem. The following formula applies:

$$\text{Remission Duty} = \text{Value for Duty} \times \text{Remission Rate of Duty}$$

Accept Formula:

If the Duty Calculation Formula on the OIC file indicates "Accept", the system will accept the duty amount as transmitted.

No Remission Formula:

$$\text{Remission Duty} = \text{Normal Duty}$$

B. Remission SIMA Assessment Calculation

$$\text{Remission SIMA Assessment} = \text{SIMA Assessment Input}$$

C. Remission Duty Paid Value Calculation

$$\begin{aligned} \text{Remission Duty Paid Value} &= \text{Value for Duty} + \text{Remission Duty} \\ &\quad + \text{Remission SIMA Assessment} \end{aligned}$$

However, if the SIMA assessment code for the classification line is equal to "32" (provisional duty deferred by bond), the remission SIMA assessment is not to be included in the remission duty paid value.

D. Remission Excise Tax Calculation

The calculation of Remission Excise Tax is dependent upon the calculation formula specified on the OIC file for the Special Authority Number input on the classification line. The following outlines the applicable formula for calculation of Remission Excise Tax:

New Duty Paid Value Formula:

$$\text{Remission Excise Tax} = \text{Excise Tax Rate} \times \text{Remission Duty Paid Value}$$

This formula applies only if the excise tax rate is ad valorem. If the excise tax rate is not ad valorem:

$$\text{Remission Excise Tax} = \text{Normal Excise Tax}$$

Specified Percentage Formula:

$$\text{Remission Excise Tax} = \text{Normal Excise Tax} - (\text{Normal Excise Tax} \times \text{Remission Percentage})$$

Remission Percentage is a field on the OIC file which designates the portion of excise tax to be remitted.

1/60 Remission Formula:

$$\text{Remission Excise Tax} = \text{Normal Excise Tax} \times \text{the Times Limit} \div 60$$

The Time Limit is an input field from the sub header which relates to the classification line.

1/120 Remission Formula:

$$\text{Remission Excise Tax} = \text{Normal Excise Tax} \times \text{the Time Limit} \div 120$$

New Excise Tax Rate Formula:

The system calculates Remission Excise Tax using the Excise Tax Rate specified on the OIC file rather than the Excise Tax Rate input on the classification line. The Excise Tax Rate specified on the OIC file must always be ad valorem. The following formula applies:

$$\text{Remission Excise Tax} = \text{Remission Duty Paid Value} \times \text{Remission Excise Tax Rate}$$

Accept Formula:

If the Excise Tax Calculation formula on the OIC File indicates "Accept", the system will accept the excise tax amount as transmitted.

No Remission Formula:

$$\text{Remission Excise Tax} = \text{Normal Excise Tax}$$

E. Remission Value for Tax Calculation

$$\text{Remission Value for Tax} = \text{Value for Duty} + \text{Remission Duty} + \text{Remission SIMA Assessment} + \text{Remission Excise Tax}$$

F. Remission GST Calculation

The calculation of Remission GST is dependent upon the calculation formula specified on the OIC file for the Special Authority Number input on the classification line. The following outlines the formula for calculating Remission GST:

Value for Tax Formula:

Remission GST = GST Rate X Remission Value for Tax

This formula applies only if the GST rate is ad valorem. If the GST rate is not ad valorem:

Remission GST = Normal GST

Specified Percentage Formula:

Remission GST = Normal GST - (Normal GST X Remission Percentage)

Remission Percentage is a field on the OIC file which designates the portion of GST to be remitted.

1/60 Remission Formula:

Remission GST = Normal GST X the Time Limit ÷ 60

The Time Limit is an input field from the sub header which relates to the classification line.

1/120 Remission Formula:

Remission GST = Normal GST X the Time Limit ÷ 120

New GST Rate Formula:

The system calculates Remission GST using the GST Rate specified on the OIC File rather than the GST Rate input on the classification line. The GST Rate specified on the OIC file must always be ad valorem and, therefore, the following formula applies:

Remission GST = Remission Value for Tax X Remission GST Rate

Accept Formula:

If the GST Calculation Formula on the OIC file indicates "Accept", the system will accept the GST amount as transmitted.

No Remission Formula:

Remission GST = Normal GST

2.5 Trailer Calculations

- A. Total Value for Duty Calculation
- B. Total Duty Calculation
- C. Total SIMA Assessment Calculation
- D. Total GST Calculation
- E. Total Excise Tax Calculation
- F. Deposit Calculation
- G. Minimum Payment Calculation
- H. Total Amount Payable Calculation

A. Total Value for Duty Calculation

Total Value for Duty = The sum of all Value for Duty amounts from the classification lines.

The Total Value for Duty calculated must be rounded to the nearest dollar, upward if 50¢ or greater, downward if 49¢ or less.

B. Total Duty Calculation

Total Duty = The sum of all Normal Duty amounts for all "Normal" classification line types and Machinery Remission Minimum Payment Classification line types plus the sum of all Remission Duty amounts for all other classification line types within an entry (B3) plus the Deposit.

C. Total SIMA Assessment Calculation

Total SIMA Assessment = The sum of all Normal SIMA Assessment amounts for all Normal classification line types plus the sum of all Remission SIMA Assessment amounts for all other classification line types within an entry (B3). However, if a SIMA assessment code for any classification line is equal to "32" (provisional duty deferred by bond), the SIMA assessment amount for that line is not to be included in the total.

D. Total GST Calculation

Total GST = The sum of all Normal GST amounts for all Normal classification line types and Machinery Remission Minimum Payment classification line types plus the sum of all remission GST amounts for all other classification line types within an entry (B3).

E. Total Excise Tax Calculation

Total Excise Tax = The sum of all Normal Excise Tax Amounts for all Normal classification line types and Machinery Remission Minimum Payment classification line types plus the sum of all Remission Excise Tax Amounts for all other classification line types within an entry (B3).

F. Deposit Calculation

If the accounting document (B3) type is AD:

Deposit = 10% of the Total Value for Duty

When 10% of the Total Value for Duty is less than the Minimum Deposit Amount specified on the Systems Values File, the Deposit equals the Minimum Deposit Amount.

When 10% of the Total Value for Duty is greater than the Maximum Deposit Amount specified on the Systems Values File, the Deposit equals the Maximum Deposit Amount.

When the Deposit is less than the Minimum Deposit Amount or greater than the Maximum Deposit Amount, an error message for the total is sent.

Note that CADEX does not accept AD type accounting documents.

G. Minimum Payment Condition

1/60 Minimum Payment:

If the accounting document (B3) contains classification lines that use 1/60 remission OICs, the system adds up the Remission Duty for all 1/60 lines.

If this total duty is greater than the 1/60 Minimum Payment Amount specified on the System Values File, no further processing is required. If, however, the total is less than the Minimum Payment Amount, the system will assign the Minimum Payment Amount to the total duty.

1/120 Minimum Payment:

If the accounting document (B3) contains classification lines that use 1/120 remission OICs, the system calculates and applies the 1/120 Minimum Payment in the same manner as described above for 1/60 Minimum Payment.

H. Total Amount Payable Calculation

Total Amount Payable = Total Customs Duties + Total Excise Tax
+ SIMA Assessment + Total GST

3.0 Outputs

The Calculation process results in calculated values as described in the Process section.

PLEASE SEE ATTACHMENT FOR COMPLETE APPENDIX G