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## Introduction

The Canada Border Services Agency (CBSA) System Outage Contingency Plan sets out the procedures for importing goods in the commercial stream that clients, including carriers, brokers/importers, freight forwarders and warehouse operators, may follow in the event of a CBSA system outage. This contingency plan is an alternative to the general procedures for the reporting of goods, in bond movements, release of goods and final accounting. This contingency plan is applicable only in circumstances where system outages have occurred.

An *outage* is defined as “A temporary suspension of operation to the electronic systems”. Throughout this document, the term “client” refers to any external trade chain partner (TCP), including carriers, importers, freight forwarders, warehouse operators, agents and third-party service providers. The scope of this contingency plan includes both CBSA and Client systems outages (full and partial) affecting the ability for clients to submit/receive and CBSA to electronically process trade documents and outgoing notices and messages.

Stakeholders should know that improvements to facilitate and automate manual processes are already being discussed and developed for continual future incorporation as they become viable

## Key Principles

The CBSA recommended contingency processes outlined in this document are based on the following key principles:

- Outages lasting more than one hour should revert to contingency plans as invoked via hotline and bulletins communication protocols. However, the CBSA and/or clients may choose to revert to a contingency plan sooner or as business lines and operations dictate; Outages lasting days should revert to CBSA business continuity plan;
- Cargo and conveyance data can be transmitted up to 30 days (and will be changed to 90 when Build 2 rolls out) prior to arrival;
- Clients are required to submit all trade documents, processed via the contingency process, electronically once the outage is resolved - thus the recommendation throughout the plan to continue transmission of electronic data for queuing to the extent possible;
- Clients are encouraged to put in place their own contingency processes that will allow them to continue processing Advance Commercial Information (ACI) electronically for partial outage scenarios. For example; if feasible, using the eManifest portal, contracting the services of an Electronic Data Interchange (EDI) service provider etc.;
  - When utilizing another contingency method clients must keep in mind:
    - All outgoing communication for trade documents submitted through EDI is sent back to the client through EDI as well as posted in the eManifest portal; and
    - All outgoing communication for trade documents submitted through the eManifest portal is only sent back to the client through the eManifest portal, even if you are an EDI client.
- Electronic communication options may include the following: (provided the client is already set up) and depending on the outage scenario (i.e. whether functionality remains):
  - Customs Internet Gateway
  - Value Added Network
  - Direct Connect
  - Service provider
  - eManifest Portal
- In scenarios where the client has opted not to transmit the ACI information via an alternate method of electronic communication or it is not possible, the client should transmit the ACI information within 24 hours once the system functionality is restored. ACI information includes cargo, conveyance, house bills, Bay plan, releases and conveyance arrival messaging;
- When outbound processing for client messages is not functioning or there are backlogs preventing clients from receiving the outbound messages, and the goods are being moved towards the border, clients are expected to



assume the information submitted was received without error and is acceptable, **OR** use an alternate method to obtain outgoing messages e.g. eManifest portal **OR** contact the CBSA hotline;

- The CBSA recommends that clients transmit data to the CBSA at least 90 minutes prior to the start time of any scheduled outage to ensure that pre-arrival transmission timelines are met for all eManifest shipments expected to arrive at the border during the outage;
- The CBSA will attempt to process shipments in a timely manner during contingency plan situations where the ACI data was not able to be transmitted electronically and the client had to revert to contingency processes at the First Port of Arrival (FPOA), however, service standard levels may not be met due to high volumes, and operational conditions;
- CBSA will process electronic transmissions as soon as possible once systems have been restored; and
- Regardless of outage condition, requirements of OGDs/PGAs, e.g. permits, certificate, etc., must be presented in order for shipments to be release.

### Data Elements Required

Item	Name	Highway	Marine	Rail	Air	Freight Forwarder
<b>Pre-arrival</b>						
1	Conveyance Reference Number	Yes	Yes	Yes	Yes	Yes
2	First Port of Arrival from foreign	Yes	Yes	Yes	Yes	No
3	Cargo Control Number (CCN)	Yes	Yes	Yes	Yes	Yes
4	Container Number	No	Yes	No	No	Yes
5	Carrier Code belonging to the Conveyance Operating Carrier (air only)	No	No	No	Yes	No
6	Carrier Contact Phone Number (Recommended to submit a number that can be contactable 24/7) (Driver may provide contact information when requested by BSO)	Yes	Yes	Yes	Yes	Yes
7	Foreign Port or Place Of Loading for marine and Foreign Airport of Loading for air	No	Yes	No	Yes	No
8	Itinerary Routing- air and marine only	No	Yes	No	Yes	No
9	Consignee: <ul style="list-style-type: none"> <li>• Consignee Name</li> <li>• Consignee Address</li> <li>• Consignee City</li> <li>• Consignee Country Code</li> <li>• Consignee Province/State*</li> <li>• Consignee Postal/Zip Code*</li> </ul> <i>*required if Canada/US</i>	Yes	Yes	Yes	Yes	Yes

Item	Name	Highway	Marine	Rail	Air	Freight Forwarder
10	Shipper: <ul style="list-style-type: none"> <li>• Shipper Name</li> <li>• Shipper Address</li> <li>• Shipper City</li> <li>• Shipper Province/State*</li> <li>• Shipper Postal/Zip Code*</li> </ul> <i>*required if Canada/US</i>	Yes	Yes	Yes	Yes	Yes
11	Delivery: (Must be provided if different from consignee address.) <ul style="list-style-type: none"> <li>• Delivery Name</li> <li>• Delivery Address</li> <li>• Delivery City</li> <li>• Delivery Country Code</li> <li>• Delivery Province/State*</li> <li>• Delivery Postal/Zip Code*</li> </ul> <i>*required if Canada/US</i>	Yes	Yes	Yes	Yes	Yes
12	Notify Party: (Must provide if available. This would be the name and address of all parties other than the consignee and shipper on file requiring notification upon arrival of the goods in Canada.) <ul style="list-style-type: none"> <li>• Notify Party Name</li> <li>• Notify Party Address</li> <li>• Notify Party City</li> <li>• Notify Party Country Code</li> <li>• Notify Party Province/State*</li> <li>• Notify Party Postal/Zip Code*</li> </ul> <i>*required if Canada/US</i>	Yes	Yes	Yes	Yes	Yes
13	Cargo Description	Yes	Yes	Yes	Yes	Yes
14	Cargo Weight	Yes	Yes	Yes	Yes	Yes
15	Cargo Quantity	Yes	Yes	Yes	Yes	Yes
16	Dangerous Goods Code (Must be transmitted if dangerous goods code applies to the commodity code being reported)	Yes	Yes	Yes	Yes	Yes
17	Movement Type- Identify if it is an import, in transit or FROB	Yes	Yes	Yes	Yes	No
18	Trusted Trader indicator	Optional	n/a	Optional	Optional	No
<b>At Arrival</b>						
1	Transaction number (if release decision is requested)	Yes	Yes	Yes	Yes	
2	Sub-office Work location code (if moving in bond)	Yes	Yes	Yes	Yes	



## Communications Protocol during System Outages

CBSA provides ongoing technical support to trade partner stakeholders in support of commercial programs. Technical client service support for trade partners 24/7, whether or not system outages are occurring is available via two avenues:

### Via telephone / Client Service 'Hotline'

The CBSA provides a "hotline" services to assist clients with technical issues or problems relating to the exchange of data with the CBSA – **1-888-957-7224**.

Live client support is provided during regular business hours (8:00 to 17:00 ET), to clients currently using or seeking to use Electronic Data Interchange (EDI) or the eManifest portal. After hours support is available from 17:00 to 8:00 ET, Monday through Friday, weekends and on holidays. Clients are required to leave a detailed voice mail message and an officer will return the call.

The hotline is also used to provide information to clients such as the status of CBSA systems in the event that there is an outage. The CBSA ensures that the 'Hotline' is updated immediately upon notification of a systems outage and/or backlog has been reported and is regularly updated throughout the outage period. Regular updates will be provided every 4 hours during regular business hours should the outage not be resolved. Messages will not be updated after hours until the outage is resolved or until regular business hours resume.

Hotline messages will revert back to 'all systems are functioning normally' as soon as CBSA's technical support teams are notified that the outage has been resolved.

### Via Bulletins

CBSA provides written e-mails or 'Bulletins' to clients on upcoming scheduled outages and messages on the system statuses during the outage. Updates to system outage messages will be provided every 4 hours during regular business hours. Messages will not be updated after hours until the outage is resolved or until regular business hours resume. Clients should make the assumption that the outage is still ongoing unless a "resolved" message is provided. The Technical Commercial Unit (TCCU) of the CBSA sends these messages via e-mail to clients. If you would like to receive these messages, you can send an e-mail to the TCCU at the following address to request to be added:

[tccu-ustcc@cbsa-asfc.gc.ca](mailto:tccu-ustcc@cbsa-asfc.gc.ca)

### Types of CBSA Outages

There are 15 different types of outages that can occur. Each, with the exception of the infrastructure problems, can be scheduled or unscheduled.

An unscheduled outage means that a problem has created a situation that was not expected and has caused some type of outage or delay. As it was unexpected, research and analysis must be conducted to locate and resolve the problem. There will be no estimated time of resolution until the research and analysis is completed and the problem has been identified. This will allow technical experts to assess the situation and provide a more accurate estimated time for resolving the problem.

A scheduled CBSA system outage is a planned outage that occurs for maintenance or a systems release of new functionality or problem fixes. A time period for the outage is established and published for the trade community in advance of the outage. This information is provided to allow our clients time to plan around the outage.

Scheduled outages are planned to take place in the early mornings on weekends which coincides with the lowest volume of transaction processing. This is done to minimize the impact of the outage on clients.

## 1. Full CBSA System Outage

A full CBSA system outage means that all CBSA systems; EDI, eManifest portal and CBSA internal systems are not functioning. ( Please note this outage type does not impact the ability to transmit data to CBSA, the data can be received and queued until the systems are back up the data is processed.)

- Clients may continue to submit trade documents and arrivals through EDI. The documents will remain in a queue until the system outage is resolved/over. E.g. cargo, conveyance, house bills, Bay plan, arrivals, release, B3 entries
- Clients that use the eManifest portal will not be able to submit or view trade documents. E.g. cargo, conveyance, house bills, arrivals, release, B3 entries and Bay plan
- CBSA officers are not able to conduct pre-arrival risking on electronic documents
- CBSA officers are not able to electronically process arrivals
- CBSA is not able to provide outgoing messages such as acknowledgements, reject messages, Section 12, Proof of Report, release notifications, B3 acceptances, K84s etc.
- Clients may be assessed late accounting penalties as accounting documents are not received within prescribed time limits

## 2. Delays in Processing – EDI

Delays in Processing – EDI means that the CBSA has a backlog of electronic messages being submitted or coming through EDI for processing. The time taken to receive or send an EDI message is impacting operations such that it is causing delays for business. Delays in processing is considered an outage anytime the CBSA is running 30 – 60 minutes behind in processing incoming/outgoing messages.

- Clients may continue to submit trade documents and arrivals through EDI. The documents will remain in a queue until the delay has been resolved/over at which time the messages will be processed in the order that they were received. E.g. cargo, conveyance, house bills, Bay plan, arrivals, release, and B3 entries (where a release decision has already been rendered)
- Clients (other than in air, rail and marine mode) may continue to submit trade documents through the eManifest portal. E.g. cargo, conveyance, house bills
- CBSA systems are able to validate and acknowledge receipt and acceptance or send rejects on cargo, conveyance, house bills, release and B3 entries (through EDI and if applicable portal) but there will be a delay in receiving the information through EDI only
- CBSA systems are able to conduct automated pre-arrival risking once received
- CBSA will electronically process arrivals trade documents received
- CBSA will render final decisions on cargo, conveyance, house bills and release trade documents once the pre-arrival risk decision/recommendation has been made
- CBSA is able to provide outgoing messages and notices such as Section 12, Proof of Report, release notifications, K84s etc. for all documents that the CBSA is able to process electronically (through EDI and if applicable portal)
- K84s will only contain those B3s that were received and accepted by the CBSA prior to 20:00 ET
- Clients may be assessed late accounting penalties if accounting documents are not received within prescribed time limits
- CBSA is not able to provide outgoing messages and notices on decisions that have not been recorded electronically in CBSA systems

## 3. Delays in Processing - Portal

Delays in Processing – Portal means that the CBSA has a backlog of electronic messages being submitted or coming through the portal for processing. The time taken to receive or send a portal message is impacting operations such that it





is causing delays for business. A delay in processing is considered an outage anytime the CBSA is 30 – 60 minutes behind in processing incoming/outgoing messages or where response time is greater than 15 minutes.

- Clients may submit trade documents and arrivals through EDI. E.g. cargo, conveyance, house bills, arrivals, release, and B3 entries (where a release decision has already been rendered)
- Clients (other than in air, rail and marine modes) – may continue to submit trade documents through the eManifest portal. The documents will remain in a queue until the delay has been resolved/over at which time the messages will be processed in the order that they were received. E.g. cargo, conveyance, house bills
- CBSA systems are able to validate and acknowledge receipt and acceptance or send rejects on cargo, conveyance, house bills, release and B3 entries (through EDI and if applicable portal) but there will be a delay in receiving the information through the portal
- CBSA will electronically process arrivals for trade documents received
- CBSA will render final decisions on cargo, conveyance, house bills and release trade documents
- CBSA is able to provide outgoing messages and notices such as Section 12, Proof of Report, release notifications, K84s etc. for all documents that the CBSA is able to process electronically (through EDI and if applicable portal)
- CBSA is not able to provide outgoing messages and notices on decisions that have not been recorded electronically in CBSA systems

#### 4. Full EDI Outage

A full EDI system outage means that the CBSA is not able to process any of the electronic messages being received or sent through EDI. (The internal functionality of processing the inbound / outbound EDI data received from the external client is unavailable however it does not include the ability to transmit the data to CBSA, where it is received and queued until such time the EDI processing of the data is back online.)

- Clients may continue to submit trade documents and arrivals through EDI. The documents will remain in a queue until the outage has been resolved/over at which time the messages will be processed in the order that they were received. E.g. cargo, conveyance, house bills, Bay plan, arrivals, release, and B3 entries (where a release decision has already been rendered)
- Clients may continue to submit trade documents through the eManifest portal. E.g. highway cargo, conveyance, house bills
- CBSA systems are able to validate and acknowledge receipt and acceptance or send rejects on cargo, conveyance, house bills, Bay plan, release and B3 entries (sent through the portal or received through EDI prior to the outage)
- CBSA systems are able to conduct automated pre-arrival risking of all documents received; (sent through the portal or received through EDI prior to the outage)
- CBSA officers are able to record pre-arrival risking decisions electronically in CBSA systems for those documents already received (sent through the portal or received through EDI prior to the outage)
- CBSA officers are able to electronically process arrivals (for all modes) for trade documents received; (sent through portal or received prior to the outage)
- CBSA officers are able to render final decisions on cargo, conveyance, house bills and release trade documents once the pre-arrival risk decision/recommendation has been made (sent through the portal or received through EDI prior to the outage)
- CBSA is not able to provide outgoing messages and notices such as Section 12, Proof of Report, release notifications, K84s etc. through EDI
- CBSA is able to provide outgoing messages and notices (if applicable) through the eManifest portal e.g. Section 12, Proof of Report, Completeness notice
- K84s (paper) will be generated but will only contain those B3s that were received and accepted by the CBSA prior to 20:00 ET



- Clients may be assessed late accounting penalties if accounting documents are not received within prescribed time limits

## 5. No EDI Inbound

An EDI inbound system outage means that CBSA is not able to receive any new inbound EDI messages from clients.

- Clients may continue to submit trade documents and arrivals through EDI. The documents will remain in a queue until the delay has been resolved/over at which time the messages will be processed in the order that they were received. E.g. cargo, conveyance, house bills, Bay plan, arrivals, release, and B3 entries (where a release decision has already been rendered)
- Clients may continue to submit trade documents through the eManifest portal. E.g. highway cargo, conveyance, house bills
- CBSA systems are able to validate and acknowledge receipt and acceptance or send rejects on cargo, conveyance, house bills, release and B3 entries (sent through the portal or received through EDI prior to the outage)
- CBSA systems are able to conduct automated pre-arrival risking of all documents received (sent through the portal or received through EDI prior to the outage)
- CBSA officers are able to record pre-arrival risking decisions electronically in CBSA systems for those documents already received (sent through the portal or received through EDI prior to the outage)
- CBSA officers are able to electronically process arrivals (for all modes) for trade documents received (sent through portal or received prior to the outage)
- CBSA officers are able to render final decisions on cargo, conveyance, house bills and release trade documents once the pre-arrival risk decision/recommendation has been made (sent through the portal or received through EDI prior to the outage)
- CBSA officers are not able to render a final decision on cargo, conveyance, house bills and release trade documents in CBSA systems on trade documents that have not been received and risked
- CBSA is able to provide outgoing messages and notices such as Section 12, Proof of Report, release notifications, K84s etc. for all documents that the CBSA is able to process electronically (documents received through EDI prior to the outage and if applicable those sent through portal)
- K84s (paper & EDI) will be generated but will only contain those B3s that were received and accepted by the CBSA prior to 20:00 ET
- Clients may be assessed late accounting penalties if accounting documents are not received within prescribed time limits

## 6. No EDI Outbound

An EDI outbound system outage means that the CBSA is not able to send messages to clients through EDI.

- Clients may continue to submit trade documents and arrivals through EDI. The documents will be processed. E.g. highway cargo, conveyance, house bills, Bay plan, arrivals, release, and B3 entries (where a release decision has already been rendered)
- Clients may continue to submit trade documents through the eManifest portal. E.g. cargo, conveyance, house bills
- CBSA systems are able to validate and acknowledge receipt and acceptance or send rejects on cargo, conveyance, house bills, release and B3 entries (through EDI and if applicable portal) but there will be a delay in the clients receiving the information through EDI only
- CBSA systems are able to conduct automated pre-arrival risking once received
- CBSA officers are able to record pre-arrival risking decisions electronically in CBSA systems for those documents received. (This may mean that the goods could arrive in Canada prior to the risking process being completed)
- CBSA officers are able to electronically process arrivals (for all modes) for trade documents received

- CBSA officers are able to render final decisions on cargo, conveyance, house bills and release trade documents once the pre-arrival risk decision/recommendation has been made
- CBSA will not be able to provide outgoing messages and notices such as Section 12, Proof of Report, release notifications, K84s etc. for all documents that the CBSA is able to process electronically (through EDI )
- There may be delays in transmitting K84s out to the external client
- CBSA is not able to provide outgoing messages and notices on decisions that have been recorded electronically in CBSA systems E.g. cannot send the release decision in the CBSA system because the EDI outbound outage therefore release notification will not be sent
- Clients would not receive the outbound responses from CBSA for EDI, client could access through outbound messages through the Portal if they have an account

## 7. Full eManifest Portal Outage

A full eManifest portal outage means that the eManifest portal is not operational.

- All clients using the eManifest portal are not able to access the portal, change profile information, submit to, view or receive information from the CBSA
- All EDI clients that use the portal to make corrections are not able to submit or receive information from the CBSA unless they are made through EDI
- CBSA officers are able to conduct pre-arrival risking and make recommended decisions on all documents received
- CBSA officers are able to electronically process arrivals (highway) for those documents received
- Clients are unable to submit arrival messages through the portal
- Clients are unable to receive outgoing messages from the portal

Note: A full portal outage does not technically affect EDI. The eManifest portal clients may wish to consider putting in place their own contingency plan that would make use of EDI E.g. contracting a service provider or employing their own EDI communication method e.g. Customs Internet Gateway (CIG)

## 8. No eManifest Portal Inbound

An inbound portal outage means that the CBSA is not receiving information submitted through the eManifest portal.

- Clients are able to create or edit trade documents in the eManifest portal but they are not able to submit the trade documents (will remain in their drafts)
- CBSA officers are able to conduct pre-arrival risking and make recommended decisions on all documents received prior to the outage
- CBSA officers are able to electronically process arrivals (highway) and record decisions for those documents received
- Clients are able to submit arrival messages through the portal, but will receive an “updating” status message
- Clients are able to receive outgoing messages from the portal for those documents received prior to the outage

## 9. No eManifest Portal Outbound

An outbound portal outage means that the CBSA is not able to post responses in the eManifest portal

- Clients are able to create or edit trade documents in the eManifest portal and submit them to the CBSA but will receive an “updating” status message
- CBSA officers are able to conduct pre-arrival risking and make recommended decisions on all documents received
- CBSA officers are able to electronically process arrivals (highway) and record decisions for those documents received



- Clients are able to submit arrival messages through the portal, but will receive an “updating” status message
- Clients are unable to receive outgoing messages from the portal e.g. no acknowledgement, completeness or status notices, manifest forwards, rejects, Section 12, Proof of report etc.

#### 10. Direct Connect or VAN Outage

A Direct Connect (DC) or VAN outage is an outage that **only** affects those clients that utilize the impacted Direct Connect or VAN as their electronic communication method.

- Clients are not able to create or edit trade documents (unknown as to what the DC/VAN would do with data transmitted to them)
- CBSA officers are able to conduct pre-arrival risking and make recommended decisions on all documents received
- CBSA officers are able to electronically process arrivals (for all modes) and record decisions for those documents received
- Clients are unable to submit arrival messages through the DC or VAN
- Clients are unable to receive outgoing messages e.g. no acknowledgement, completeness or status notices, manifest forwards, rejects, Section 12, Proof of report etc.
- K84s (paper & EDI) will be generated but will stay in the queue for the externals until the system is back up and will only contain those B3s that were received and accepted by the CBSA prior to 20:00 ET
- Clients may be assessed late accounting penalties if accounting documents are not received within prescribed time limits

#### 11. Customs Internet Gateway (CIG) Outage

A CIG outage is an outage that **only** affects those clients that utilizes the CIG as their electronic communication method.

- Clients are not able to create or edit trade documents
- CBSA officers are able to conduct pre-arrival risking and make recommended decisions on all documents received
- CBSA officers are able to electronically process arrivals (for all modes) and record decisions for those documents received
- Clients are unable to submit arrival messages through the CIG
- Clients are unable to receive outgoing messages e.g. no acknowledgement, completeness or status notices, manifest forwards, rejects, Section 12, Proof of report etc.
- K84s (paper & EDI) will be generated but will stay in the queue for the externals until the system is back up and will only contain those B3s that were received and accepted by the CBSA prior to 20:00 ET
- Clients may be assessed late accounting penalties if accounting documents are not received within prescribed time limits
- Clients are unable to receive outgoing messages e.g. no acknowledgement, completeness or status notices, manifest forwards, rejects, Section 12, Proof of report etc.

#### 12. Blackout

CBSA's National Security Policy under the Emergency Preparedness Act would be put into effect.

A blackout refers to an infrastructure problem e.g. flood, earthquake, windstorm, terrorist attack that is affecting the entire country, means that all CBSA or client systems; EDI, eManifest portal and CBSA internal systems are not functioning.

- Clients may not be able to transmit until certain recovery processes are implemented. For example, outages impacting processing queues can take several hours to be re-established. Documents transmitted during this time are placed in a queue
- The documents will remain in a queue until the system outage is resolved/over. E.g. cargo, conveyance, house bills, Bay plan, arrivals, release, B3 entries
- Clients that use the eManifest portal will not be able to submit or view trade documents. E.g. cargo, conveyance, and house bills
- CBSA would not be able to electronically process arrivals
- CBSA is not able to provide outgoing messages such as acknowledgements, reject messages, Section 12, Proof of Report, release notifications, B3 acceptances, K84s etc.
- Clients may be assessed late accounting penalties as accounting documents are not received within prescribed time limits
- Note that for ongoing outages, CBSA Business Continuity Plans would need to be activated

### 13. Brownout

A brownout refers to an infrastructure problem e.g. hydro, communication lines etc. that is affecting one or multiple locations within Canada.

It will impact receiving and providing inbound and outbound messages to some clients as opposed to a full CBSA system outage means that all CBSA systems; EDI, eManifest portal and CBSA internal systems are not functioning.

- Clients are not able to create or edit trade documents through EDI. The documents will remain in a queue until the system outage is resolved/over. E.g. cargo, conveyance, house bills, Bay plan, arrivals, release, B3 entries
- Clients that use the eManifest portal will not be able to submit or view trade documents. E.g. cargo, conveyance, and house bills
- CBSA would not be able to electronically process some arrivals
- CBSA is not able to provide some outgoing messages such as acknowledgements, reject messages, Section 12, Proof of Report, release notifications, B3 acceptances, K84s etc.
- Some clients may be assessed late accounting penalties as accounting documents are not received within prescribed time limits
- CBSA able to electronically process arrivals (highway) and record decisions for those documents received
- Some Clients are unable to submit arrival messages
- Some Clients are unable to receive outgoing messages e.g. no acknowledgement, completeness or status notices, manifest forwards, rejects, Section 12, Proof of report etc.

### 14. Client Planned Outage

A client or service provider's system outage that has been pre-scheduled for maintenance purposes that will prevent the transmission of customs information to and receipt of customs information from the CBSA.

### 15. Client Unplanned Outage

A client or service provider's unplanned system outage that is preventing the transmission of customs information to and/or receipt of customs information from the CBSA.

In cases of a full client outage full paper documentation must be presented. For release requests this must include an Exception Lead Sheet as outlined in D17-1-4.



When transmission is mandatory, eg Cargo/Conveyance/Housebill, it is expected that client will inform CBSA's Technical Commercial Client Unit (TCCU) former ECU/TSU of such outages as far in advance as possible.

Compliance with pre-arrival requirements will be assessed on a case-by-case basis.

### **Determining the release status of a shipment during an RNS outage**

This section describes the procedure a client may use to determine the release status of a shipment during a systems outage affecting the primary communication method, i.e. the Release Notification System (RNS).

Clients include importers, brokers, carriers, freight forwarders and warehouse operators.

The primary communication method may be down for various reasons, including a CBSA, client, or third party service provider outage affecting inbound and/or outbound communication between the client and the CBSA.

The CBSA ACROSS system must be operational in order for this process to be used and release requests must already be transmitted to the CBSA for processing prior to the system outage.

#### Option 1 – Cargo Control Document

- 1) The client will present the paper Cargo Control Document for the shipment, with a CBSA machine readable barcoded Cargo Control Number or Transaction Number, at a CBSA office and indicate that they would like to know the release status.
- 2) The CBSA Border Service Officer (BSO) will verify the status in the system. In the event it is released the BSO will release-stamp the Cargo Control Document and return it to the client as proof of release. This proof is acceptable by all trade chain partners in original or faxed form as long as the CBSA stamp is clearly visible on the original or faxed copy.

#### Option 2 - Multiple Shipment Release Query form

In order to streamline the querying of multiple shipments, the Multiple Shipment Release Query form (see Appendix F) may be used. The form may be modified by clients as long as the barcoded data remains CBSA machine readable.

This form is to be submitted to the CBSA office of release.

The original CBSA stamped copy will be returned to the client.

Use of this form provides a flexible means to help ensure the most efficient use of CBSA and trade resources in facilitating alternate notification of release statuses to continue the movement of goods during outage periods.

### **Late Accounting Penalties**

Clients may be assessed late accounting penalties if accounting documents are not received within prescribed time limits. Relief may be granted in relation to delays caused by system outages, with the type and length of the outage determining how the relief will be processed:

- For all outages **under 4 hours**, brokers and importers are required to submit applications for waiver/cancellation to the Recourse Directorate (Recourse Policy, Fax # 613-960-5112).



- For CBSA outages **over 4 hours**, Recourse Directorate will proactively waive late accounting penalties. TCCU will communicate the Recourse broadcast message regarding the proactive waiver within 1 day of the outage.
- For Direct Connect, VAN or CIG outages **over 4 hours**, brokers and importers are required to submit applications for waiver/cancellation to the Recourse Directorate (Recourse Policy, Fax # 613-960-5112).
- For CBSA outages **of over a day**, CBSA will extend the accounting time limit from 5 days to a period which includes the length of the outage. The late accounting penalty will not be assessed.

Customs brokers and importers should submit a waiver application immediately after a prospective penalty is identified on the daily K-84, rather than waiting until the monthly statement is generated. This will ensure, whenever possible, that the penalty will not be assessed on the monthly statement if it is eligible to be waived.

### Post-outage Message Transmission Structure

Client must ensure all messages transmitted to the CBSA after an outage are submitted in the order listed below, in order to avoid receiving error or reject messages:

#### Highway:

- Cargos: Must be transmitted/captured in our system first before the conveyance is transmitted/captured.
- Conveyance: Must be transmitted once all related cargos are captured in our system.
- House Bills: Must be transmitted/captured in our system before close message is transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.
- Close Message: Must be transmitted/captured after all related house bills are transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.
- Releases: There is no order for releases to be transmitted, it can be transmitted/captured before or after cargos & conveyance.
- Conv. Arrival: There is no EDI highway arrival.
- Cargo Arrival: For inland cargos, the arrival should be transmitted last.

#### Rail:

- Cargos: Must be transmitted/captured in our system first before the conveyance is transmitted/captured.
- Conveyance: Must be transmitted once all related cargos are captured in our system.
- House Bills: Must be transmitted/captured in our system before close message is transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.

**Close Message:** Must be transmitted/captured after all related house bills are transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.

**Releases:** There is no order for releases to be transmitted, it can be transmitted/captured before or after cargos & conveyance.

**Conv. Arrival:** EDI conveyance arrival must be transmitted once all related cargos & releases have been transmitted/captured.

**Cargo Arrival:** For inland cargos, the arrival should be transmitted last.

#### **Air:**

**Cargos:** No specific order in which cargos and conveyance must be transmitted/captured.

**Conveyance:** No specific order in which cargos and conveyance must be transmitted/captured.

**House Bills:** Must be transmitted/captured in our system before close message is transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.

**Close Message:** Must be transmitted/captured after all related house bills are transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.

**Releases:** There is no order for releases to be transmitted, it can be transmitted/captured before or after cargos & conveyance.

**Conv. Arrival:** EDI conveyance arrival must be transmitted once all related cargos & releases have been transmitted/captured.

**Cargo Arrival:** For inland cargos, the arrival should be transmitted last.

#### **Marine:**

**Cargos:** No specific order in which cargos and conveyance must be transmitted/captured.

**Conveyance:** No specific order in which cargos and conveyance must be transmitted/captured.

**House Bills:** Must be transmitted/captured in our system before close message is transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.

**Close Message:** Must be transmitted/captured after all related house bills are transmitted/captured. It will not reject if transmitted/captured before primary cargo is transmitted/captured.

**Releases:** There is no order for releases to be transmitted, it can be transmitted/captured before or after cargos & conveyance.



Conv. Arrival: EDI conveyance arrival must be transmitted once all related cargos & releases have been transmitted/captured.

Cargo Arrival: For inland cargos, the arrival should be transmitted last.