PROTECTED B when completed

This information is being collected according to the provisions of the Access to Information Act. It is being stored in the Accelerated Commercial Release Operations Support System (ACROSS) under Program Record Number RC CTA 125.

CUSTOMS SELF ASSESSMENT PROGRAM
CARRIER APPLICATION – PART II

The Customs Self Assessment (CSA) program is a progressive new trade option that offers approved carriers the benefits of a streamlined clearance option for CSA eligible goods.

Do you qualify for the CSA program?
You may qualify for the CSA program if you:

- are a CBSA bonded carrier with a minimum $25,000 bond;
- have a history of actively transporting goods internationally;
- are without contraband or major commercial infractions;
- are willing to be liable for and maintain control of CSA shipments until delivered to the destination; and
- are willing to provide senior management representation that your business processes and system will support the CSA program requirements.

How do you apply to the CSA program?
Approval to use the CSA program requires you to successfully complete a two part application process:

- you must have received written notification of Part I approval from the CBSA and an invitation to proceed to Part II of the application process;
- Part II requires you to document the business processes and audit trails that will support CSA program requirements; and
- you will be asked to sign a Summary of Program Requirements which outlines specific requirements, once the application is approved.

You are required to provide documentation that accurate cargo reporting exists and that the appropriate audit trails and linkages are in place to support the CSA clearance process.

Instructions
Applications must be completed by an authorized officer of your company and forwarded to the CSA/FAST Carrier Compliance Unit, located at the address provided at the end of this application. If you do not complete all sections, the application may be returned to you.

This part of the application includes:
Section A – Applicant Identification
Section B – Books and Records
Section C – Certification of Part II

If you need more space to answer a question, attach a separate sheet of paper cross-referenced to the corresponding question.

More Information
If you need more information about the CSA program, or would like help completing the application, please visit our website at www.cbsa-asfc.gc.ca

The CBSA reserves the right to request additional information for the purposes of this application process.

Applicant

Business name (legal)	Business number (BN) ☐ N/A	Carrier code	Language preference ☐ English ☐ French

Complete below ONLY if changes have been made since Part I

Business address (Street no., P.O. box no. and/or RR no.)					
City	Province or state	Country	Postal or zip code	Telephone number	Fax number
Mailing address (if different from above) (Street no., P.O. Box no. and/or RR no.)					
City	Province or state	Country	Postal or zip code	Telephone number	Fax number
Web site ☐ N/A					

Contact name (last name)	First name	Title	Email address
Contact mailing address (if different from above) (Street no., P.O. Box no. and/or RR no.)			

City	Province or state	Country	Postal or zip code	Telephone number	Fax number

NOTE: As part of the CSA application process, the carrier must demonstrate that their business systems are able to provide accurate controls and maintain appropriate audit trails. This includes internal controls and links from the initial order through to final billing. In addition to current procedures, there are additional requirements that must be met specifically related to the CSA program. It is recommended that you review questions 30 to 39 before proceeding to ensure that you will be able to meet those requirements.

Are separate systems and/or procedures used for individual clients (contracts)?

☐ Yes ☐ No

Note: If you have responded yes, you must answer the questions below, for each system and/or procedure used.

Numbering your responses to correspond with each question of the application is required.

Control Number

1. (a) What is your Control Number (PRO Number, Trip Number, Order Number, etc.) and when in the process is it generated?

   _____

   (**NOTE:** This number must be assigned by the carrier applicant and must be used to identify the shipment.)

   (b) Is the Control Number assigned in a sequential manner with all numbers accounted for (including deleted, voided or cancelled numbers)?

   ☐ Yes ☐ No

2. Do all documents, pertaining to each shipment, reference this Control Number?

   ☐ Yes ☐ No

3. Is the Control Number system generated?

   ☐ Yes ☐ No

   If not, how is it generated?

   _____

4. Does your Control Number ever repeat?

   ☐ Yes ☐ No

   If so, how frequently?

   _____

Sales

5. How are shipment orders taken (by phone, fax, email, scheduled runs, contracts, etc.)?

   ☐ Phone ☐ Scheduled runs

   ☐ Fax ☐ Contracts

6. How are shipments linked from sales through to billing? Linkages between Sales, Dispatch, Process, Delivery and Billing must be demonstrated.

   _____

7. What documents are generated at the time an order is taken? If no document is generated at this time, how is the order information captured in your system and/or records?

   _____

Dispatch

8. (a) Is your dispatch system?

☐ Automated ☐ Manual

If automated, what is the name of the dispatch system you use?

(b) Please provide a brief description of your dispatch system, including:
- How the drivers receive the shipment details (e.g. satellite, phone, scheduled runs etc.);
- How many dispatch locations do you have;
- Whether you own your own dispatch system or you use the services of a third party.

9. What documents are generated at time of dispatch? If no documents are generated at this time, how is the driver and equipment information captured in your system and/or records?

10. Do you broker Canada-bound loads to other carriers?

☐ Yes ☐ No

If so, what is the percentage of your total Canada-bound shipments that are brokered to other carriers? How are these brokered loads identified in your system and/or records?

Process

11. How does the driver obtain each of the documents related to a shipment (i.e. CBSA documents, bill of lading etc.)?

12. Does the driver contact dispatch when the trailer has been loaded at the shipper location?

☐ Yes ☐ No

What does dispatch do with the information (e.g. update the status of the load)?

13. In what form (original, imaged document, photocopy) is proof of CBSA release kept on file for a Canada-bound shipment?

☐ Original ☐ Imaged document ☐ Photocopy

Delivery

14. (a) How does the driver inform dispatch that a shipment has been delivered? What does dispatch do with the information(e.g. updatethe status of the load)?

(b) How is the delivery date captured in your system and/or records?

15. Once the shipment is delivered, how is the paperwork submitted (trip envelope, etc.) and how is it referenced to the Control Number?

16. What is retained as proof of delivery (e.g. signed bill of lading etc.) and how is it filed?

17. When the documentation pertaining to a shipment is returned by the driver, is there a designated person who is responsible to ensure that all required documents (e.g. proof of report and proof of delivery documents) have been provided?

18. What is your procedure for tracing missing proof of report and proof of delivery documents?

19. If you broker loads to other carriers how do you know that the shipment has been delivered and what documentation do you receive from the delivering carrier?

Billing

20. Please describe your company's automated or manual billing system.

21. Are the Invoice Number and Control Number the same

☐ Yes ☐ No

If different, how is the Control Number referenced on the invoice?

22. How is the hard copy documentation pertaining to each shipment filed?

☐ PRO Number ☐ Invoice Number ☐ Alphabetically ☐ Customer

☐ Other: _____

Discrepancies

The following questions relate to your company's internal controls and CBSA reporting procedures regarding shipment discrepancies discovered after crossing the border. Your procedures must adhere to the requirements outlined in CBSA Memorandum D3-1-1, Policy Respecting the Importation and Transportation of Goods, which may be viewed at:
http://www.cbsa-asfc.gc.ca/publications/dm-md/d3/d3-1-1-eng.pdf

23. Overages and/or shortages.
    (a) How do company personnel become aware of an overage or shortage of freight?

    (b) How is the discrepancy identified within the audit trail for your delivery and billing systems?

    (c) If an overage is found on a shipment reported to CBSA, what are your procedures for reporting the excess freight to CBSA?

    (d) If an overage or shortage is found prior to being reported to CBSA, what are your procedures for reporting?

24. Damaged freight.
    (a) How do company personnel become aware of damages to delivered freight?

    (b) How is this identified/documented within the audit trail for that shipment?

25. Lost and/or astray freight.
    (a) What are the procedures, in the event that cargo is on board and there is neither a shipper nor consignee as a point of contact?

    (b) In the case of international shipments, what are the procedures for reporting these goods to CBSA?

Discrepancies (continued)

26. Refused freight.
    (a) In the event that international freight is refused by the consignee in Canada, how would this be identified within the audit trail for that shipment?

    (b) What are your procedures for reporting it's new destination to CBSA?

Canada-Bound Shipment Listing

27. CSA approved carriers must be able to provide detailed listings of all Canada-bound shipments for a specified period of time. Attach a list or printout of at least 25 Canada-bound shipments, sorted by the sequential control number. These shipments must have originated in the United States or Mexico and been delivered to a consignee in Canada. This list should be in the form of a report either generated directly from your system or prepared manually. The list must include, but is not limited to, the information below:•
    - Internal Control Number (identified in question 1)
    - Date of order or pickup
    - Date of customer delivery receipt
    - Shipper name and complete address
    - Pick-up location and complete address
    - Billing name and complete address
    - Customer Consignee name and complete address
    - Delivery location name and complete address

    How did you extract this Canada-bound shipment information from your systems?

28. **For the 1st shipment only,** from the Canada-bound Shipment Listing provided above in Question 27, provide a copy of all related documents and/or screen prints. This must include a copy of all documents and screens you have identified in the Books and Records section of this application (e.g. bill of lading, waybill, invoice, CBSA control document, dispatch record, proof of delivery, etc.).

29. CSA approved carriers will be required to provide detailed listings of all shipments for a specified period of time. Attach a list or printout of at least 25 sequential shipments, (including Canada-bound, US-bound and domestic) beginning with the Control Number assigned to the first shipment in the Canada-bound listing you have provided for question 27. There should be no gaps in the sequential control numbers in this listing. This list or printout must include:
    - Internal Control Number (identified in question 1)
    - Date of order or pickup
    - Date of customer delivery receipt
    - Shipper/Pick-up location city and state/province
    - Customer Consignee/Delivery location city and state/province

NOTE: CSA approved carriers will be asked periodically to produce the above listings, as well as listings of all CSA cleared shipments, covering a ***selected*** period of time. It is important to ensure that this information can be readily obtained when required. If your system is not capable of producing reports with this information, the data must be compiled on an on-going basis (in a manual spreadsheet format).

CSA Requirements

It is the CSA approved importer that determines which goods are eligible for the CSA service option. Not all shipments for a CSA approved customer contain eligible CSA goods or are consigned to a CSA eligible consignee. Therefore, at time of the order, the CSA carrier must be able to differentiate between shipments that will be reported using the CSA service option and those that will be reported under another service option (e.g. PARS).

30. (a) How will you be advised, at the time of order entry, that a shipment is eligible for CSA?

(b) When you have been advised that a shipment is eligible for CSA, how will it be identified as a CSA shipment? Attach a screen print from your system or a copy of your paper record showing the CSA indicator.

(c) If a shipment is not reported using the CSA service option, how will you update this information internally?

31. How will you identify an approved CSA importer in your system? Attach a screen print showing the CSA indicator in your system.If you have a manual system, how will you identify an approved importer?

32. How will dispatch identify approved CDRP or FAST registered drivers?

33. Describe the procedures that will be implemented to ensure the driver:
(a) Is made aware that a shipment is eligible for CSA.
(b) Has the correct bar codes (or lead sheet) to be presented upon arrival at the border with a CSA shipment.

It is the carrier's responsibility to ensure that a CDRP or FAST registered driver presents the following required information in approved barcode format:
- Driver registration card (CDRP or FAST)
- Carrier code
- Importer number

Please see the Bar Code Specifications found in D3-1-7, Appendix D
http://www.cbsa-asfc.gc.ca/publications/dm-md/d3/d3-1-7-eng.pdf

34. CSA approved carriers are required to be able to provide a detailed list showing all shipments that were reported using the CSA service option, for a specified period of time.
(a) In order to substantiate that you can extract a CSA list, you are required to create a CSA "test" shipment. Attach screen prints or copies of documentation to illustrate. Once you have created the CSA "test" shipment you must be able to generate a report either directly from your system or prepared manually. The list must include the same information as listed above in question 27, as well as the CSA indicator referred to in question 30.
(b) Describe how you will produce this segregated listing of all CSA shipments.

35. Approved CSA carriers are required to identify all CSA and in-bond shipments that entered Canada and were not delivered to the consignee within 40 days from the date of report. Procedures must be in place regardless of whether or not this situation has occurred in the past.
    (a) What are the steps that will be taken to check your records to identify any of these shipments(Attach screen prints or copies of documentation to illustrate)?
    (b) How often will these steps be taken?

    (c) How will you advise CBSA of the details of these shipments when identified?

36. Proof of delivery must be maintained for goods that have been "Authorized to deliver".
    What will the proof of delivery be for CSA shipments and how will it be filed?

37. The CSA program requires that the CSA approved carrier maintain a current listing with the CBSA of the owner/operators, contracted by your company, who have a CDRP or FAST card and who will be transporting goods into Canada, using your carrier code to report CSA freight to the CBSA. Only those operators who have a written contract, dedicating specified equipment exclusively to the carrier for a specified time are considered to be "owner/operators" for the purpose of CSA.
    (a) Provide a listing (see below for format details) of the owner/operators who meet this definition, including the following information:
    - Name of owner/operator;
    - Business name of owner/operator, if applicable;
    - Complete physical address of owner/operator including postal/zip code;
    - Carrier code assigned to the owner/operator, if applicable.

    If you have less than 25 owner/operators you may provide this information by attaching a list including the specified information for each owner/operator. For more than 25 owner/operators, this listing is required to be prepared as per the specifications D3-1-7, Appendix C.

38. What is the approximate frequency regarding turnover with the identified owner/operators?

    ☐ Weekly ☐ Monthly ☐ Less frequent than monthly

NOTE: CSA approved carriers are required to update this list on a monthly or quarterly basis, as determined by the CBSA. This will include "no changes" notification, if applicable.

39. The CSA program requires that CSA approved carriers maintain a current listing of the terminals and warehouses owned or operated. What is the approximate frequency regarding changes to your terminals and warehouses?

    ☐ Weekly ☐ Monthly ☐ Less frequent than monthly

NOTE: CSA approved carriers are required to update this list on a monthly or quarterly basis, as determined by the CBSA. This will include "no changes" notification, if applicable.

Section C - Certification of Part II

Return to First Page

PROTECTED B when completed

It is a contravention of section 8 of the Customs Act to knowingly omit information or give false information in this application. You must inform the CBSA of any changes to the information you have provided in this application.

As an authorized officer of the applicant company, I certify that the information given on this form and in any attached document is, to the best of my knowledge, true and complete.

Authorized person's name	Signature	Title or office	Date

There are a total of _____ pages in this application.

The following is optional. You should only fill it out if you want to have your company's name posted on the Internet as a CSA carrier.

If the company I represent is approved as a CSA carrier, I authorize the Canada Border services Agency (CBSA) to post the company's name on their corporte website to identify this applicant as a CSA - approved carrier.

Authorized person's name	Signature	Title or office	Date

The completion of this application does not constitute authority to act as a CSA carrier. You will officially become a CSA approved carrier only after you have successfully completed the three part application process as outlined on page 1.

It is recommended that you do not make any CSA specific changes to your business systems until you have received confirmation of your part II submission from the CBSA.

Please forward the completed application to the CSA application office listed below.

CSA Application Office
Canada Border Services Agency
Manager, CSA/FAST Carrier Compliance Unit
55 Bay Street North, 6th floor
Hamilton, On
L8R 3P7