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# Trade Chain Partner Working Group (TCP WG)

**DRAFT – FOR DISCUSSION PURPOSES ONLY**

December 8, 2021

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**CARM** | CBSA Assessment and  
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# Teleconference Technical Guidelines

- Join the WebEx information from the invitation, upon joining the meeting the call in details (phone number, meeting ID and access ID) will be provided.
- You will be muted upon joining the meeting, to join the conversation press the unmute button at the bottom-middle of your WebEx screen.
- If you are only calling in, please mute your phone by pressing \*6 and unmute your phone press \*7 to join the discussion. Once you are finished speaking, please mute your phone again by pressing \*6.

# Agenda

Topic	Speaker and Support	Timing
Technical Rules of Engagement	Kevin Horseman	9:00-9:05
Opening Remarks/ CARM Project Updates	Stephanie Drouin	9:05-9:50
TCP Readiness Update	Kim Campbell	9:50-10:20
Break		10:20-10:35
Deep Cycle Testing Update	Brennan Badgley	10:35-11:05
Release 1 Lessons Learned	Thurstan Mathieson	11:05-11:25
Industry Walk-Through Update	Melanie Bedard / Oryst Dydynsky	11:25-11:50
TCP Portal Onboarding Update	Kevin Horseman	11:50-12:00
Q&A / Roundtable	All	12:00-12:25
Conclusion	Stephanie Drouin	12:25-12:30



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# Opening Remarks / CARM Project Updates

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# Opening Remarks/ CARM Project Updates

- R2 Update
- Financial Security
- CSA/CLVS
- Action Items
  - R1 Lessons Learned & Deep Cycle Testing Update
  - CCSH Support with Affinity Question responses
  - DoA session
  - Rulings visibility
- ARL Clean Up



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# TCP Readiness Update

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# Trade Chain Partners - State of Readiness

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## Key Areas:

### R1 – May 25, 2021

- Status update to include uptake numbers, onboarding challenges (i.e. notifications not working). **Standing request.**
- Rulings module visibility issue. Brokers/consultants losing access/visibility to original submissions and subsequent decisions of CBSA. **Request a response.**
- Status update of ARL clean up. TCP feedback on current process.

### Technical Support – June 23, 2021

- Need a complete and accurate ECCRD. **Still not complete.** Expectation that industry TCP's are supposed to triage multiple spreadsheets and updates not incorporated into the ECCRD is not acceptable. **Can not develop corrections and adjustments.**
- Inaccurate use cases in the ECCRD. Have been identified and need to be corrected.
- We do not consider the clock started for sufficient lead time for implementation with an unfinished ECCRD. CSA importers significantly impacted and will not meet the May 2022 Go Live because was not provided in time.
- When will ECCRD 2.0 be available? **\*New – Requesting Update**
- Review of testing plan. Testing is supposed to start August/September 2021 **\*New – Requesting Update**

# Trade Chain Partners - State of Readiness

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## Key Areas con't:

### Operational Workflow – Outstanding Issue

- Walkthrough of real-world scenarios. This has been requested since 2011. Need to prioritize for completion as impacts solutioning and TCP understanding of end state.
- A few scenarios presented to date. *Has been some progress.*
- We will be scheduling meetings over the next couple of months with specific topics/scenarios and request that a CBSA Subject Matter Expert(s) participate. External consultants are welcome to participate as observers. *In Progress.*

### RPP (Release Prior to Payment Privilege) – Outstanding Issue

- What is the plan for R2? *\*New – Requesting Update*

### Regulatory Package – Outstanding Issue

- Respecting “Cabinet Confidence” need to have visibility and understanding of the main components of these changes including timelines.



# Trade Chain Partners - State of Readiness

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## Key Areas con't:

### Data Matrix/CAD – Still Pending

- Need comprehensive review of data elements.
- CAD not feasible as presented.
- WCO data elements – level set understanding.
- ***Who should we contact to schedule 1<sup>st</sup> session?***

### CBSA Coordination – Ongoing Challenge

- Need to ensure not overlapping of meetings with other CBSA meetings and events.
- Need to ensure not competing large scale projects at the same time.
- Who will be assuming leadership at DG level for CARM? ***\*New***

### Emerging Go Live Issues – ***\*New***

- Payment
- API Limitations (Exchange Rate and Tariff) – When can access, limitation on returns and queries.

### Additional Items Raised by TCP Members



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# Break

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# Deep Cycle Testing

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# Overview of Deep Cycle Testing

Testing CARM R2 functionality with a focus on core CAD processes supported by EDI/API.

## PURPOSE

The purpose of Deep Cycle Testing is to run a series of tests across different scenarios to ensure our TCP solutions work to serve the CBSA and TCP businesses

## SCOPE

The scope is a comprehensive set of test scenarios with a focus on the submission of a CAD and the retrieval of the DN, SOA and CBSS.

## CONNECTIONS

Testing will focus on priority connections of Direct Connect EDI and Webservice API connections.

## PARTICIPANTS

Representative sample of the TCP community so that a variety of business scenarios and data types can be tested.

## TIMING

Testing will take place over a window of 8 weeks with an additional 2 week contingency period.

# Testing Scope

## DCT SCOPE



### Scenarios

#### ECCRD Alignment

- Scenarios are drafted based on technical requirements published in the ECCRD and are designed to be applicable to TCP business processes
- Scenarios include submissions and adjustments of AB, F, TT and warehouse CADs

#### Test Coverage

- Service Providers are required to test all scenarios using a combination of 1 or many importers / customs brokers
- Downstream systems are not included unless part of the CAD, DN & SOA transmission.

#### Data

- Customs Brokers, Software Providers or Service providers will test using importer data
- Data alignment for historical B3s is required as they will be referenced when submitting the CAD



### Submission Methods

#### EDI and API

- Testing will include testing the transmission of messages over Direct Connect EDI and the Webservice API

#### CAD Focus

- During DCT, TCPs will work through a comprehensive set of scenarios applicable to testing of CAD functionality across the business cycle

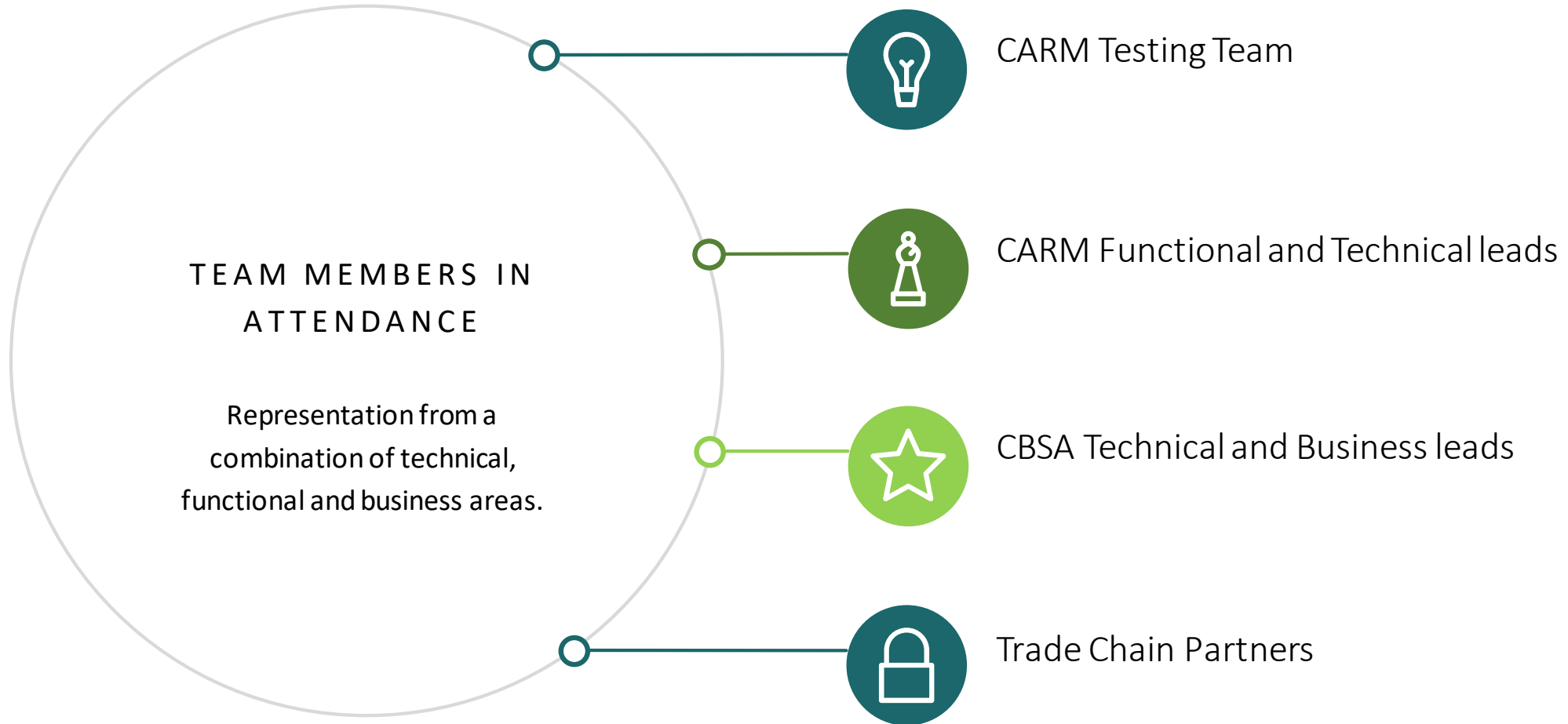
#### Portal

- Submission of the CAD via the portal is considered out of scope.
- Portal test cases are limited to viewing specific information in end-to-end to scenarios

# Scenarios List

#	Scenario	Pre-CARM
0.	Single Line CAD Entry – Type AB (Smoke Test)	
1.	CAD Entry for Excise Taxes, Surtax, and safeguard – Type AB	*
2.	CAD Entry for Excise Taxes, Surtax, and safeguard – Type AB	*
3.	CAD SIMA Entry – Type AB	*
4.	CAD Entry with Provincial Tax Implications – Type AB	*
5.	CAD Entry, Commercial Goods, CLVS Consolidation by Classification Number – Type F	*
6.	CAD Entry, CLVS Non-Commercial Goods – Type F	*
7a.	Customs Bonded Warehouse CADs – Type 10 Submitted	
7b.	Customs Bonded Warehouse CADs – Type 10 Converted	
8.	Canadian Goods Returned - Type AB	*
9.	CAD Adjustment with Line Splitting Resulting in a Refund – Type AB	*
10.	CAD Entry, CSA Replace Entire Line Method Adjustment – Type TT (PreCarm Only)	*
11.	CAD Entry, CSA Net Change Method Adjustment – Type TT (Pre-CARM only)	*
12.	CAD Entry with Consolidated Lines Adjustment – Type TT (Pre-CARM only)	*
13.	BN Change	
14.	Cancel a CAD	
15.	CAD Error Messages	
16.	TT CAD	

# Who has been involved?



# Participants

Various Service Providers, Brokers and Importers have volunteered resulting in a representative sample of the TCP community.

## Service Providers



- 11 EDI Direct Connections being tested

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## Brokers



- 10 brokers participating on behalf of importers

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## Importers

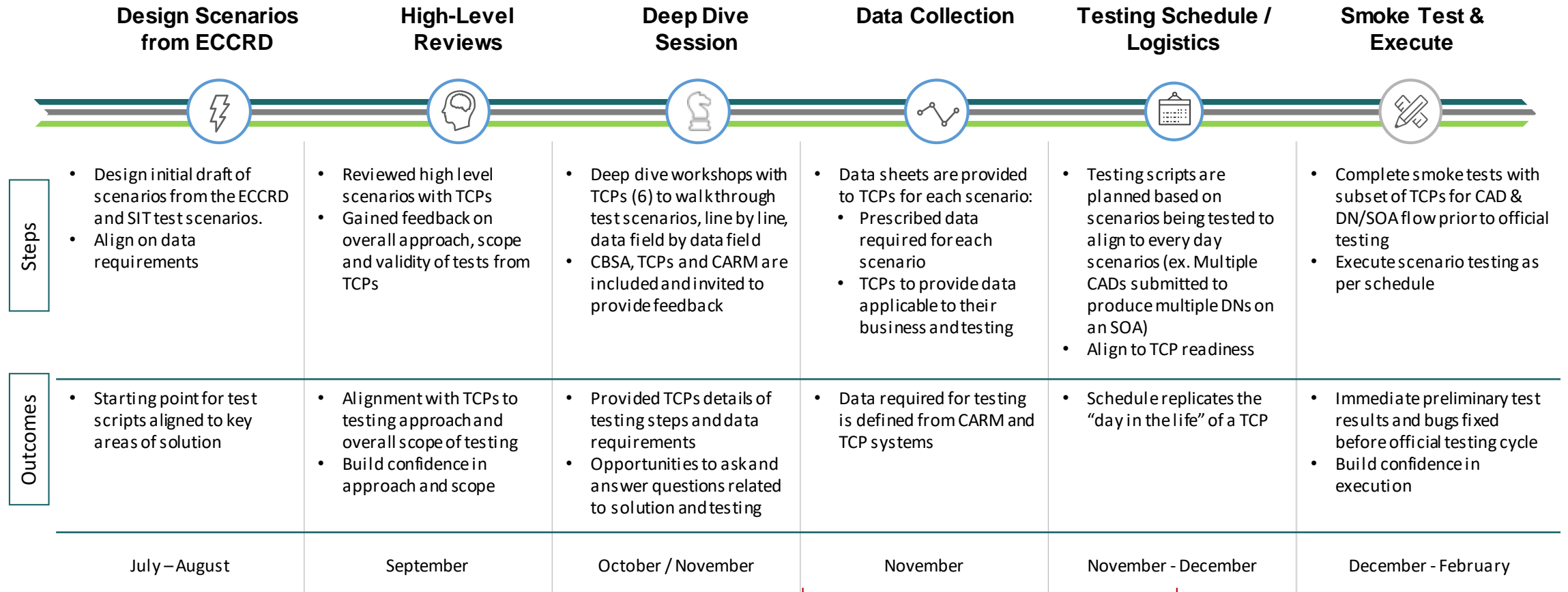


- ~50+ various importers and/or data being utilized for testing scenarios



# Approach to Testing Scenarios

Defining test scenarios, scripts and schedule is an iterative approach with CARM, CBSA and TCPs






We are here!

# Timeline

ACTIVITIES	August	September	October	November	December	January	February
Design <ul style="list-style-type: none"> <li>• Test scenarios and test cases</li> <li>• Test package</li> <li>• TCP Enrolment</li> <li>• Testing process</li> </ul>	█						
Build <ul style="list-style-type: none"> <li>• Test scenarios and packages</li> <li>• Update systems (SAP, B2B, etc.) for TCP data</li> <li>• Workshops for testing scenarios</li> <li>• Data required for testing</li> </ul>		█					
Kick-off(s) <ul style="list-style-type: none"> <li>• Communicate testing processes and logistics</li> <li>• Kick-off testing cycle</li> </ul>		█			█		
Smoke Test <ul style="list-style-type: none"> <li>• Test EDI, API and Portal connectivity</li> <li>• Run execution with TCP for data flow</li> </ul>					█		
Execute Testing <ul style="list-style-type: none"> <li>• Execution period</li> <li>• Capture / Fix defects</li> <li>• Capture results</li> </ul>						█	

We are here

# Next Steps

-  Kickoff session with DCT participants and CARM program
-  Execute smoke testing for EDI DC and API connections
-  Execute testing



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# Release 1 Lessons Learned

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# The CARM journey

The CARM team has successfully deployed two releases and is planning the final release

So far...

## High-Level Design Phase (2018-2019)

- Defined the project vision and established a target operating model
- Defined the business requirements for the target state
- Initiated stakeholder engagement with CBSA business areas, Other Government Departments (OGDs), and external industry groups
- Defined a release approach, staging implementation in three releases (R0, R1 and R2)

## R0 Go-live | Jan. 18, 2021

- “Lift-and-Shift” to AWS cloud and upgrade to S/4HANA
- CARM Managed Services starts full operation

What's still to come...

- Completing solution testing, security reviews and organizational readiness for R2
- Production CARM solution (as deployed in R0 and R1) continues to be managed as a service



## Detailed Design and Build Phase (2019 – 2021)

- Stood up infrastructure prepared to transition CBSA’s legacy SAP system to the cloud as part of CARM R0
- Built and tested the CARM R0 and R1 solution
- Met all CBSA IT security and Treasury Board gating requirements to get Authority to Operate the CARM R0 and R1 solution
- Partnered with CBSA business owners to prepare for the deployment of each release by establishing a business readiness framework
- Conducted extensive internal and external change management, stakeholder engagement, and training for CARM R0 and R1
- Established our managed services function to operate the R0 and R1 solution

## R1 Go-live | May 25, 2021

- Launched the CARM Client Portal, enabling existing importers, brokers, and trade consultants to view their transactions, make payments, request rulings, and support the accurate classification of goods

## R2 Go-live

- Deploy full suite of CARM functionality including: a one-stop self-service ability to register as a commercial client; submit, correct, and adjust declarations; post financial security, request an appeal, increased reporting and analytics functionality for CBSA; and tools to conduct compliance and targeted intervention

# Release 1 Lessons Learned– (1 of 3)

After each major stage of Release 1 (Testing, UAT, SA&A, Training and Go-Live) the project team has reflected on what was learned, to improve delivery and success of R2 and future CARM enhancements. Below are the key lessons collated by the project team, grouped by topic.

## Lessons Learned (1/3):

### Testing

#### R1 Lessons:

- System integration testing generally went very well, and sizing of time/effort in the plan was accurate.
- Gaps in the design of one integration between CARM and CBSA legacy systems were discovered in testing. These gaps required further investigation and re-work, resulting in de-scoping of the integration from R1. This highlighted the importance of **review and confirmation of integration design** by all impacted parties. The delayed integration will be deployed as a point release ahead of R2.
- The integration gap also demonstrated that full **end-to-end testing** (CARM to all impacted legacy systems) must be incorporated into the test plans.
- The team discovered the performance testing approach for R1 was too optimistic, and did not include sufficient time to resolve and re-test identified defects. **Modeling of possible performance defects and resolution timeframes** must be included in the R2 plan.

### UAT

#### Learning brought forward from R0:

- Key items from R0 UAT included; the need to perform knowledge transfer of system functionality and testing process to testers, ensuring test cases and test data are of good quality and that the support function includes all parties (CARM, ISTB, SSC, etc.)

#### R1 Lessons:

- The project went through a steep learning curve to conduct UAT in a 100% remote setting (due to the pandemic). The team required the use of **remote collaboration tools, virtual “pods”** and having **fall-back plans** for testers with connectivity issues.
- The UAT activity would benefit from **increased CBSA management presence** to resolve resourcing issues and priority conflicts for testers with operational duties.
- **Early access to a sandbox system** and **training material** should be provided to allow testers to familiarize themselves with the solution.
- Many testers advised that more **end-user focus** is needed in UAT planning and test script development.

# Release 1 Lessons Learned– (2 of 3)

After each major stage of Release 1 (Testing, UAT, SA&A, Training and Go-Live) the project team has reflected on what was learned, to improve delivery and success of R2 and future CARM enhancements. Below are the key lessons collated by the project team, grouped by topic.

## Lessons Learned (2/3):

### SA&A

#### Learning brought forward from R0:

- Based on R0 experience, CARM established a very detailed, integrated plan for all stages in the SA&A process for R1.
- The scope of security controls for SA&A evaluation was clearly established.

#### R1 Lessons:

- The results of the Final Security Assessment cannot be predicted, so in addition to time for review and planning for remediation, **schedule contingency** should be included in the plan. This contingency allows the project team time to manage or mitigate unforeseen findings.
- The findings from the Critical Security Assessment (the interim review prior to the Final Review) should be **prioritized for early remediation**, and the results of that remediation submitted to back into the FSAR process.

### Training

#### R1 Lessons:

- The hybrid delivery approach (a mixture of self-paced and instructor-led training) worked well for R1, as did the “drop-in” sessions post Go-Live.
- Business SMEs should be engaged more broadly on training content, **ensuring a business perspective** (as opposed to system perspective) is taken in the material.
- Providing **training material early and a “sandbox” system** for users to familiarize themselves with the new solution will assist with adoption.
- The delays in R1 User Acceptance Testing compressed the time between the finalization of training material and commencement of training. Going forward, **an increased level of plan detail** regarding the activities and timing of training material review and finalization will be included in the project plan. This is to ensure dependencies and resource requirements are clear and can be met sufficiently.
- The project has implemented **“in-house” translation services** to add agility and responsiveness for translating training materials (and other artifacts).

# Release 1 Lessons Learned– (3 of 3)

After each major stage of Release 1 (Testing, UAT, SA&A, Training and Go-Live) the project team has reflected on what was learned, to improve delivery and success of R2 and future CARM enhancements. Below are the key lessons collated by the project team, grouped by topic.

## Lessons Learned (3/3):

### Managed Services

#### Learning brought forward from R0:

- The implementation of Managed Services with R0 represented a very different model of support, so new roles and responsibilities in the model needed to be heavily socialized and communicated to improve the understanding and acceptance by all involved parties.

#### R1 Lessons:

- Collaboration of impacted stakeholders for R1 changes to Managed Services was very good. The continuous improvement of the service has been well managed.
- Some challenges were experienced with the issue management process that spans multiple organizational boundaries (CBSA, CRA, SSC). **Increased engagement of key representatives** from these organizations, at all levels should be prioritized.
- **Draft MS documentation should have been made available earlier**, to allow increased time for feedback and revision.



# Looking Ahead

## Applying lessons learned

- The CARM project continuously engages with project stakeholders and capture feedback on key activities and achievements
- The feedback is formally recorded and presented for discussion in various project forums to disseminate the information, and identify how to apply it to future project work
- The learning from previous releases is being actively referenced in the review of the Release 2 plan, and adjustments have already been made as a result
- After Release 2, the CARM Managed Services team will be the owner of these lessons for reference in future projects



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# Industry-Led Walk-through Update

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# Industry-Led Walk-through Update

- Industry stakeholders led walk-through sessions with CBSA CARM on October 5th and 27th.
- Truck shipments, C Types and temporary entries were done and the sessions were very efficient and productive.
- Several questions were raised and answers are forthcoming by CBSA.
- Dates of future walk-throughs to be determined.



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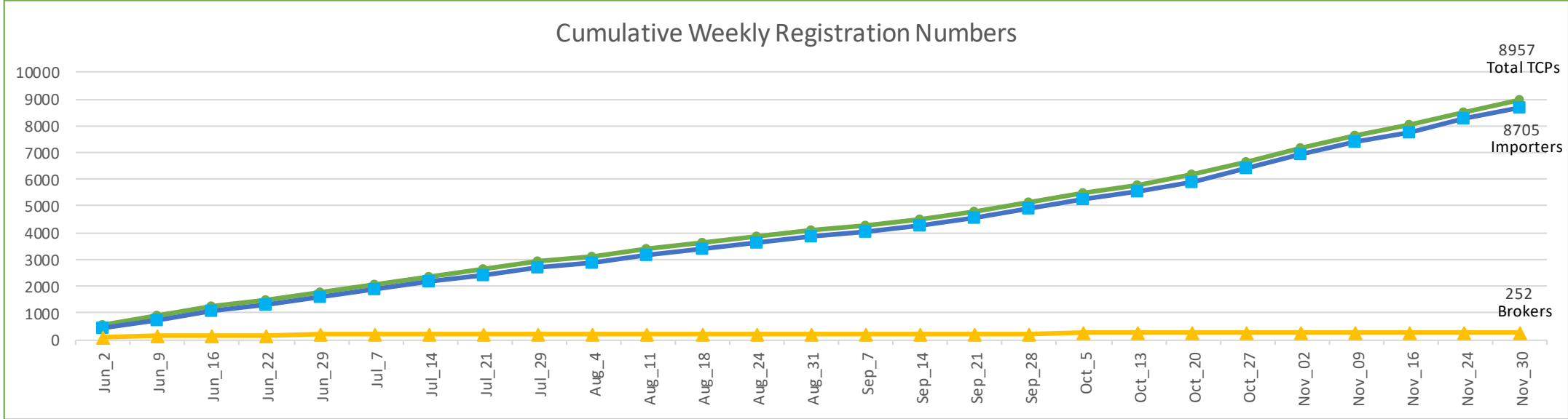
# TCP Portal Onboarding Update

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# Trade Chain Partner Portal Onboarding Status

8957 TCPs have registered on the portal to date.



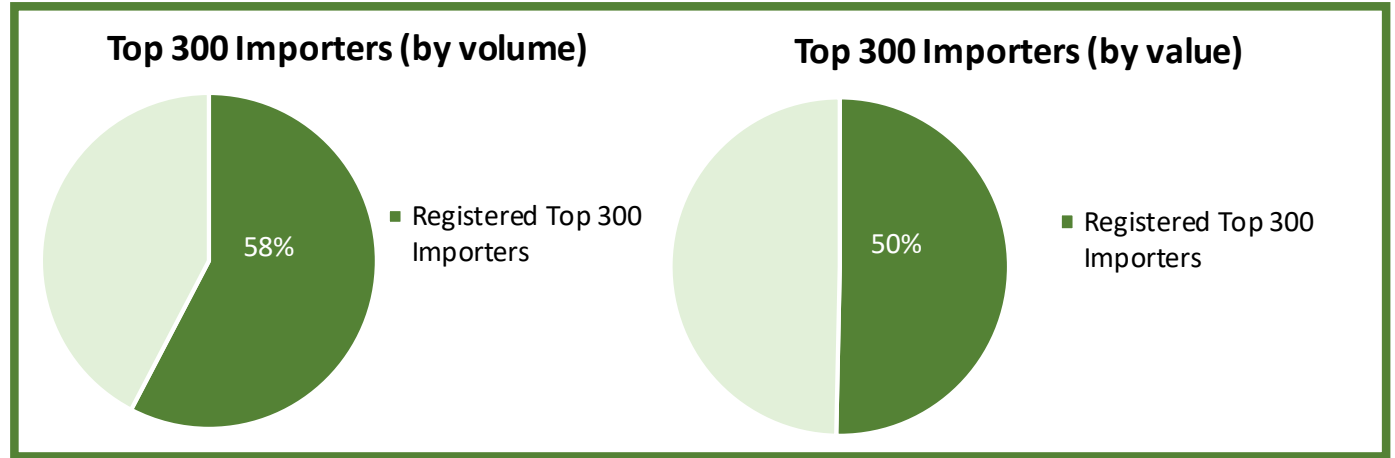
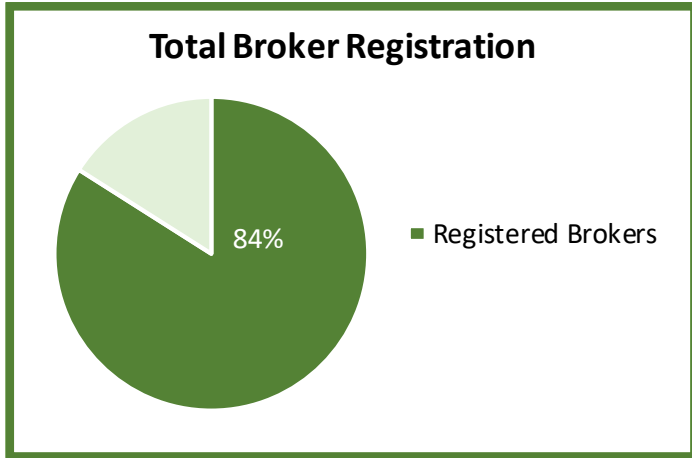
Registration Numbers								
		Last 2 Weeks (November 17 to November 30)	Prior 2 Weeks (November 3 to November 16)	Month over Month				YTD
				August	September	October	November	
<b>All TCPs</b>		935	836	1133	1195	1690	1968	8957
<b>Brokers</b>	All Brokers	2	1	13	11	8	3	252
	Top 30 Brokers (value)	N/A	N/A	N/A	N/A	N/A	N/A	30
<b>Importers</b>	All Importers	933	835	1120	1184	1682	1965	8705
	Top 3000 Importers (value)	65	75	127	122	154	153	1042
	CSA Importers	1	0	6	2	3	1	74

Notes: Year-to-date registration total include registrations beginning from May 25<sup>th</sup>.

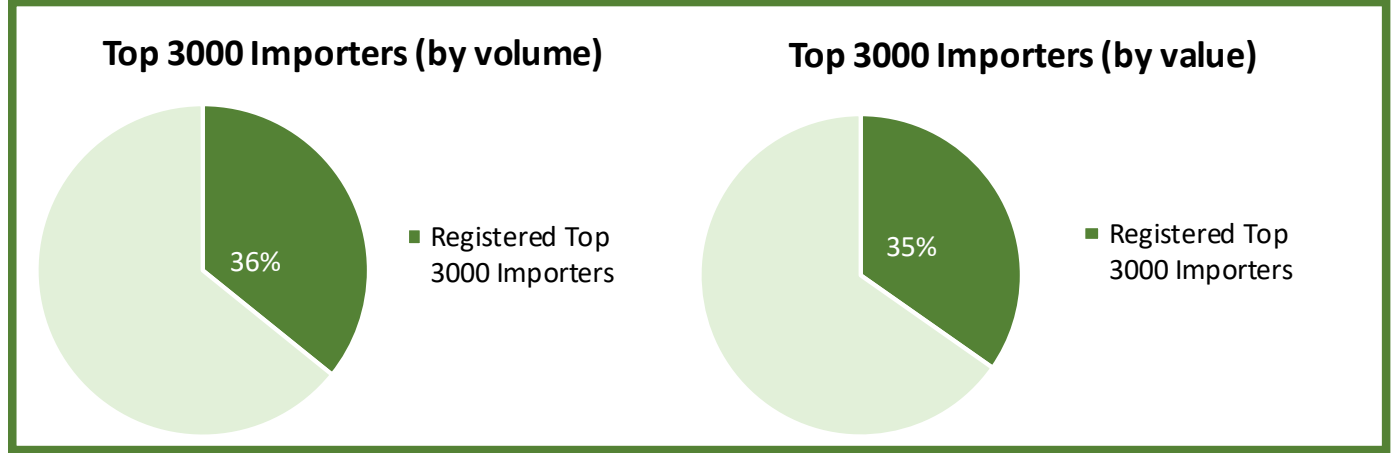
Updated December 1<sup>st</sup>, 2021

# Trade Chain Partner Portal Onboarding Status

Broker outreach continues and brokers remain strong advocates for importer registration onto the CARM Client Portal.



- ### Highlights
- Brokers continue to be strong advocates for importer registration.
  - CARM Project Team members will be presenting at Broker and Importer association meetings in December.
  - Planning is underway for 2022 outreach activities that will continue to support Brokers and expand to reach more Importers through new channels.



Updated December 1<sup>st</sup>, 2021

#### Key Notes and Assumptions:

- Top 30 Brokers (by value) make up >80% of Total Broker Accounts Receivable (A/R) Value. Top 3000 Importers (value) make up >80% of Total Importer A/R.
- Top 30 Brokers make up >80% of Total Broker Volume and Top 3000 Importers make up 79% of Total Importer Volume.



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# Q&A Period/Roundtable

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# Conclusion

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# Thank You!

## For more information:

- Visit the [CARM section of the CBSA website](#)
- Visit the [CARM Client Portal](#)
- Visit the [CARM Google Drive](#) for resources
- Join the [CARM LinkedIn Group](#) for the latest news
- Questions? Email: [CBSA.CARM\\_Engagement-Engagement\\_de\\_la\\_GCRA.ASFC@cbsa-asfc.gc.ca](mailto:CBSA.CARM_Engagement-Engagement_de_la_GCRA.ASFC@cbsa-asfc.gc.ca)
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