

3.3 PRE-PLANNING PHASE

EXHIBIT A – FIRM Extraction Guidelines

Document Name	FIRM Extraction Guidelines
Document Number	3.3A
When/How Used	These guidelines can be used to assist the CVO to identify clients associated with a priority commodity or issue that requires verification.
Created on	July 5, 2003
Last Updated On	February 28, 2007
Document Owner	
Division	Compliance Management HQ
Contact	Contact your local compliance verification office at: http://cbsa.gc.ca/contact/listing/indexpages/index-e.html
Other Stakeholders	

FIRM Extraction Guidelines

Verification Parameters for Facility for Information Retrieval Management (FIRM) for extracting transactions for (Desk/On-site) in Pre-Planning

National Priorities for Single and Multi-Program Verifications

The only time that a FIRM report summary would be used to identify clients would be for regional priorities within single program verification. In all other cases the clients are already identified or determined by both the Research and Analysis Unit in Headquarters or the Risk Assessment Committee. Therefore, where the clients are already identified, you will use the detailed FIRM report outlined on page 4 to identify the import data (e.g., transaction numbers, country of origin, vendor, duty, value for duty, etc.) necessary to determine if there is compliance or non-compliance.

Regional Priorities for Single Program Verifications

This is the only time that a CVO will use a FIRM report summary to identify clients associated with a priority commodity or issue that requires verification.

The following screen print example suggests fields that could be used to run FIRM reports based on the issue at hand.

There are certain parameters and criteria that must be included in all FIRM reports. Refer to national FIRM Learner's Guide for specific instructions on creating FIRM reports.

FIRM report summary layout shown on next page.

SL - EXTRAS® Personal Client
Edit View Tools Session Options Help

Row 1 to 10 of 10
COMMAND ==> SCROLL ==> PAGE.
Enter numbers to select fields for layout order; press PF6 (PF1=more info)
----- REPORT LAYOUT SELECTION - ENTRYAH -----

OUTPUT: L# 08 DESC SUMMARY LIST REPORT TYPE SUMMARY

FIELD DESCRIPTION	LAYOUT	SRT	CON	TOT	HEADING
ACCOUNTING MONTH	1....	ACNT-MONTH-DATE-DECL-MOIS
HS HEADING	6....	HS-HDNG-NO.-POS
CLASSIFICATION NUMBER	CLASSN-NBR NO-DE CLASS
COUNTRY OF ORIGIN CODE	7....	CTRY-ORIG- -PAYS
PLACE OF EXPORT	PLC-EXP-LIEU-D'EXP
BUSINESS & ACCOUNT (13)	2....	2..	BUSN&ACNT-ENTREPRS-COMPTE
OFFICE NUMBER	3....	1..	OFFC-# NO-BUR
REGION CODE	4....	REG-CDE-REG
TRANSACTION NUMBER	5....	TRANS-NBR NO-DE TRANS
VFD	7....	Y..	VAL FOR-DUTY VAL-EN DOUANE
***** Bottom of data *****					

F1=HELP F3=END F5=PREVIOUS F6=NEXT F7=UP F8=DOWN F9=SWITCH

This summary report screen is available to users as part of all FIRM reports. The summary report is useful to see if the proper search criteria were used.

Ad-Hoc and Canned FIRM Reports

Canned Reports: These reports have been built by ITB based on on-going requirements for different program areas. For example; Overdue Release. The user has very limited ability to change the criteria with these reports, with the output fields selections screen, formula screen, etc., not being available. A user may create/use a canned report to run statistics that pertain to a certain program areas. An example of a canned report is **APADJCOR – Adjustment Correction/Override**.

Ad-Hoc Reports: With these reports, the user has a much broader ability to capture details, etc. and download and massage the data. These reports are used more often when users are creating reports from nothing. An example of an ad-hoc report is **ENTRYAH – Entry View**.

Creating Individual Program FIRM Reports Detailed

Regional Priorities

Once you have identified the clients/pre-determined clients associated with the priority commodity or issue, the next step is to identify the import data (e.g., transaction numbers, country of origin, vendor, duty, value for duty, etc.) necessary to determine if there is compliance or non-compliance. If non-compliance is the case, you will need to verify what the nature of the commodity or issue is. The criteria used to select records and the fields to be included on the FIRM report must be considered.

The information requested from the FIRM database by each program may differ, but the following are the basic requirements needed to produce the information to perform the first step in the verification process.

Each Region may have their own database containing templated FIRM reports that are available to the CVO. The following are guidelines for creating Program FIRM reports either ad-hoc or canned.

For FIRM Reports Summary – **Single Program – Regional Priorities**

The following are guidelines for various summary FIRM reports that would be used to identify clients associated with a priority commodity or issue that requires verification.

Origin

Input Data Selection

Accounting
Vendor Code
H.S. Chapter(s)

Output Data Selection

Month Accounting Date
Tariff Classification
Line Number
Sub-header Number
Country of Origin
Business and Account Number
Rate of Duty
Region Code
Tariff Treatment Code
Transaction Number
Value for Currency Conversion
Adjustment Reason code

Tariff Classification

Input Data Selection

Accounting Month
Tariff classification to the sixth or eighth digit

Output Data Selection

Accounting Date
Classification
Chapter 99 Tariff Items
Rate of Duty
Region Code
Tariff Treatment Code
B3 Transaction Number
B3 Line Number
Business and Account Number
Vendor Code
Value for or Currency Conversion
Adjustment Reason Code

Valuation

Input Data Selection

Accounting Month
Business and Account Number

Output Data Selection

Tariff Classification
Accounting Date
Region Code
Transaction Number
Line Number
Vendor Code
Value for Duty Code
Value for Currency Conversion
Adjustment Reason Code

Duties Relief

Input Data Selection

Accounting Month
Business and Account Number
Special Authority Number

Output Data Selection

Tariff Classification
Accounting Date
Line Number
Region Code
Transaction Number
Remitted GST Amount
Value for Currency Conversion Remitted
Excise Amount
Remitted Duty Amount
Adjustment Reason Code

SIMA

Input Data Selection

Accounting Month
Classification Number

Output Data Selection

Accounting Date
Line Number
Country of Origin Code
Business and Account Number
Rate of Duty
Region Code
SIMA Amount
SIMA Code
Transaction Number
Vendor Code
Value for Currency Conversion
Adjustment Reason Code

End Use

Input Data Selection

Accounting Month
Tariff Code

Output Data Selection

Accounting Date
Tariff Classification
Line Number
Country of Origin Code
Business and Account Number
Rate of Duty
Region Code
Transaction Number
Vendor Code
Value for Currency Conversion
Adjustment Reason Code

NOTE: For the FIRM reports detailed where the clients are already identified, you can use the guidelines above, just remove the business number from the Output Data Selection list, and always include the business number in the Input Data Selection criteria when initially creating the FIRM report detailed.

Downloading a FIRM report into Excel

The following guidelines are used to download your FIRM only after the report has been completed, submitted, and the status of the report is “Report Complete” in FIRM.

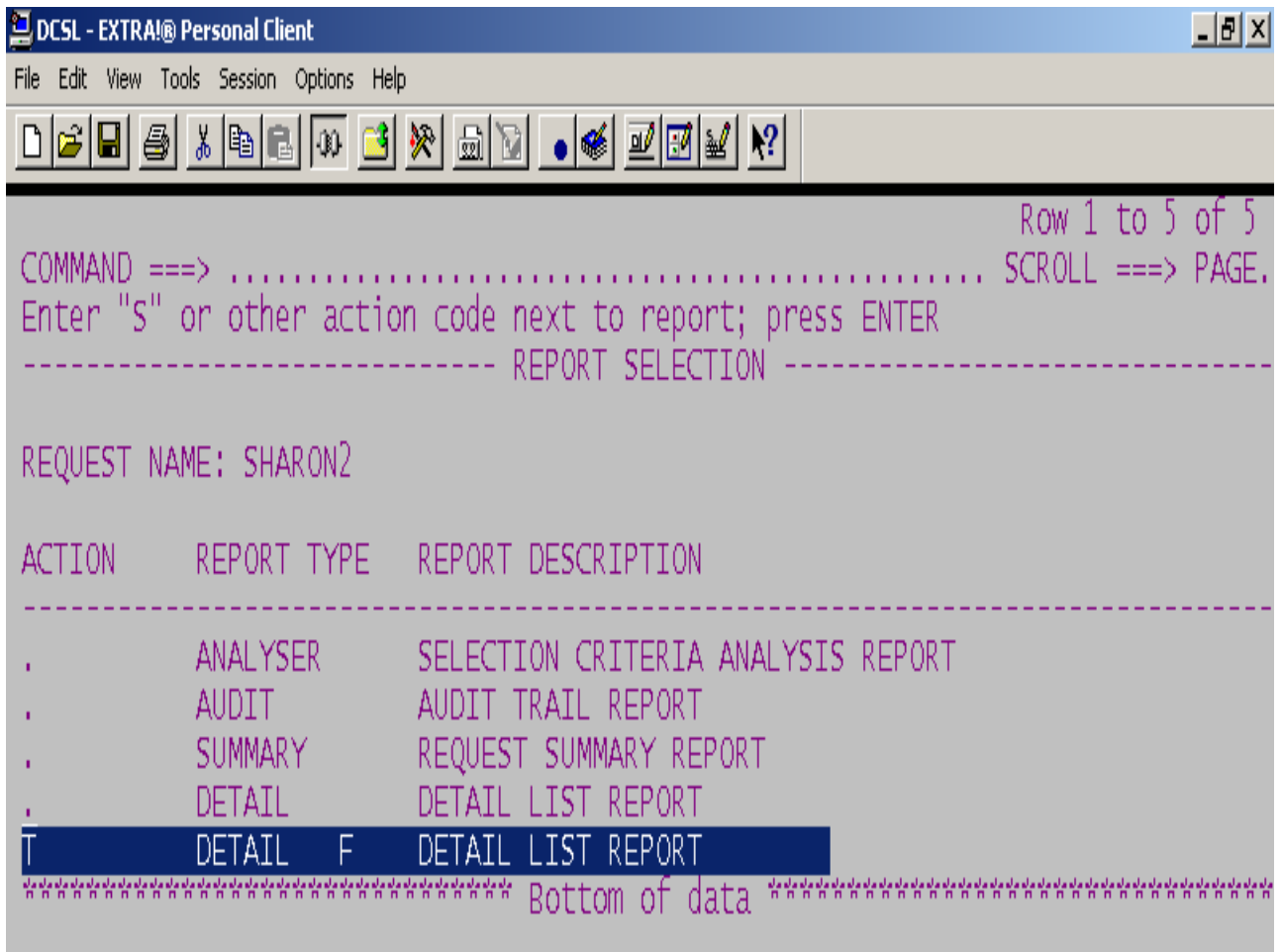
These guidelines can also be found in the national FIRM Learner’s Guide 2006, Unit V.

Before you download the report from FIRM, ensure that you have a folder in the drive that you will be transferring to. To do this just following these steps:

1. Double click on the L:/drive or whatever drive contains the FIRM folder
2. Double click on the FIRM folder.
3. Scroll down through the to see if you have a folder with your user ID on it. If you do not have one, contact your local IT and they can create one for you.
4. If your folder with your user ID is there, you can now download from FIRM.

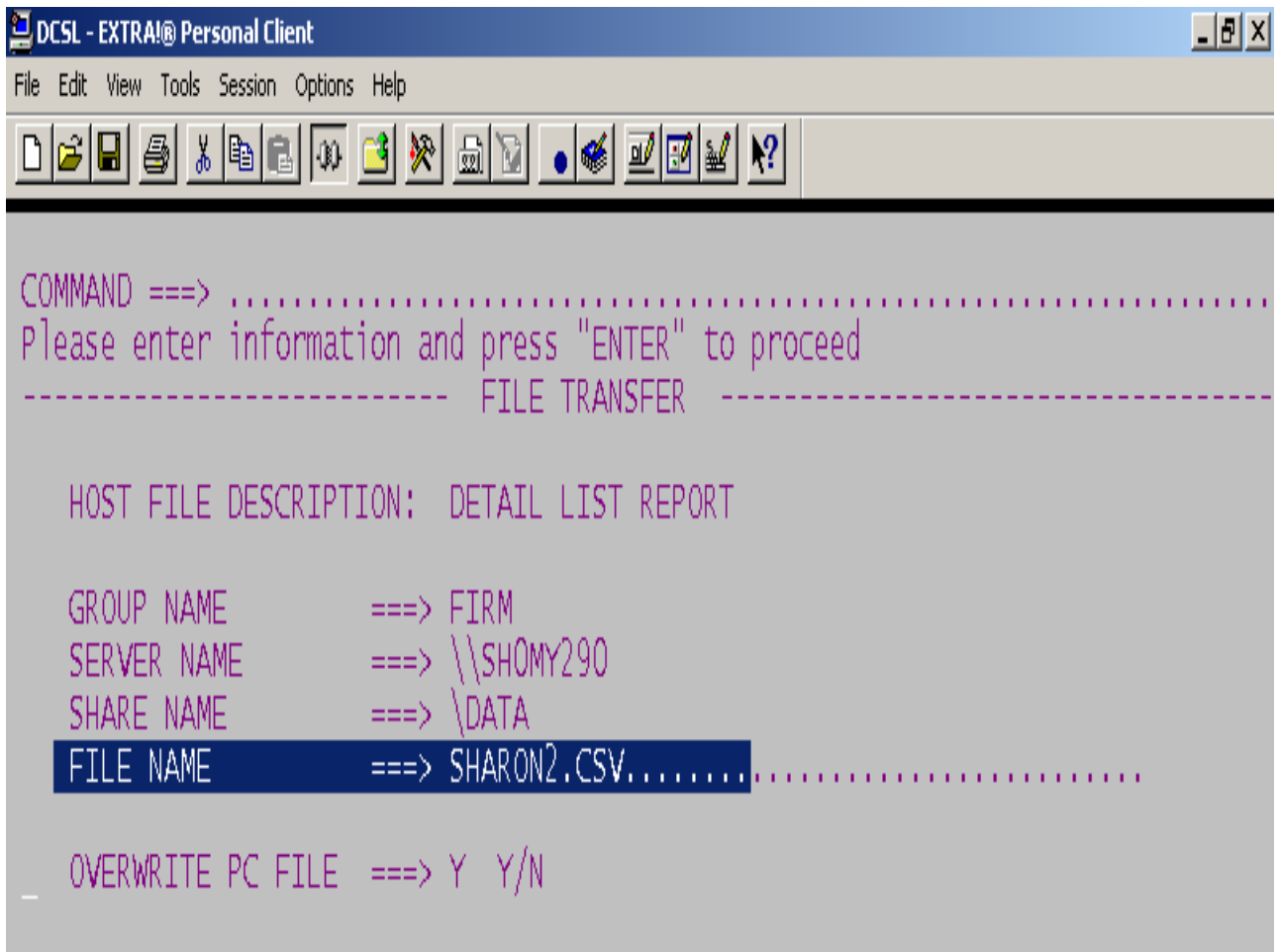
Downloading the Report

To download the generated report into the “L Drive” under your user ID, tab to the “DETAIL F” line, select the line with a “T” and press enter.

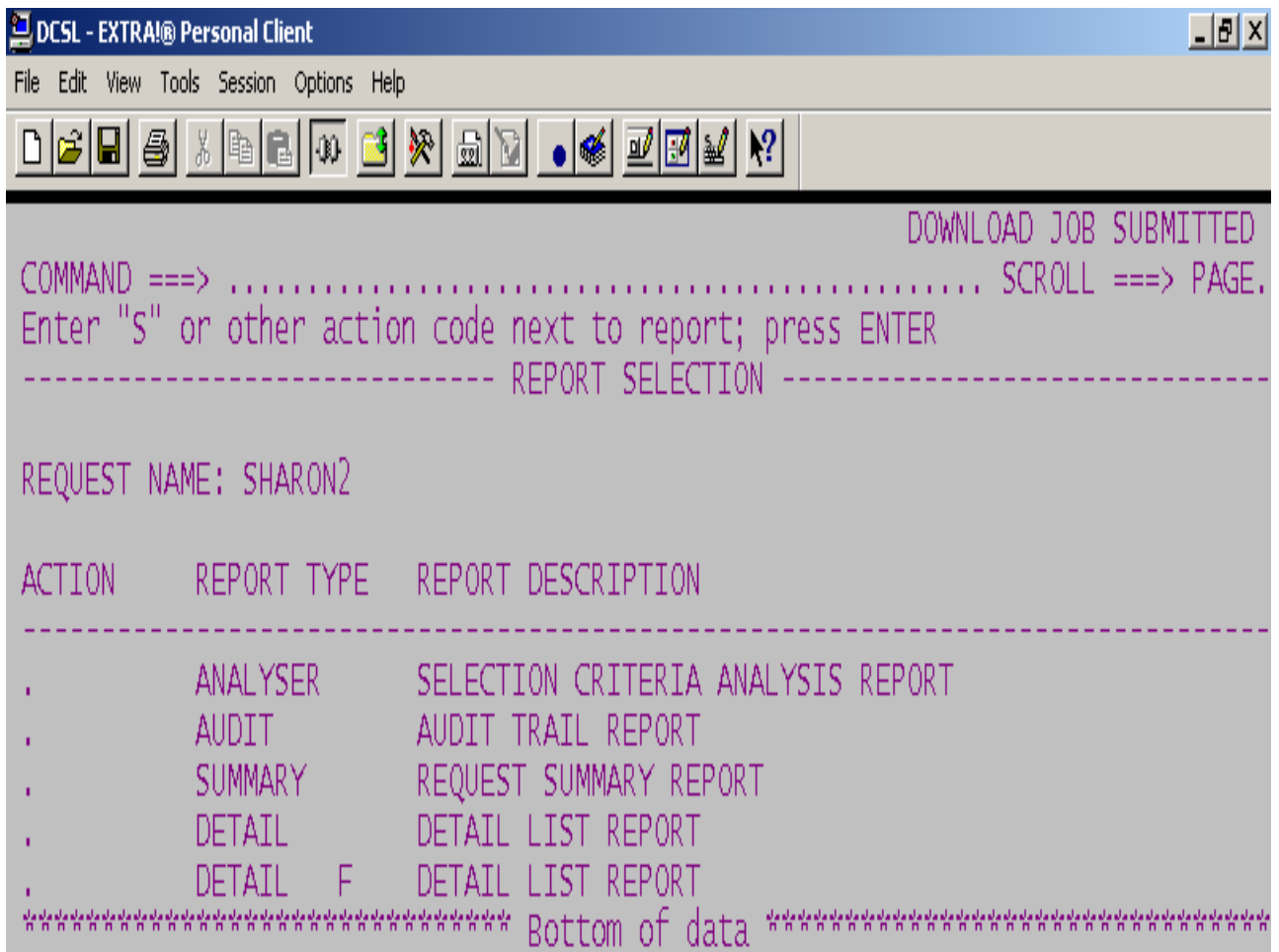


This will take you to the "File Transfer" screen. Ensure the Group name, Server name, and Share name, are as shown below. You should only have to fill in these fields once, but the file name needs to be completed for each report, as this is the title that will appear in your "L" drive folder.

Type in the file name you wish, but always end the name with (.csv), if you are bringing the report up in Microsoft Excel, otherwise just name the report without the extension (.csv).

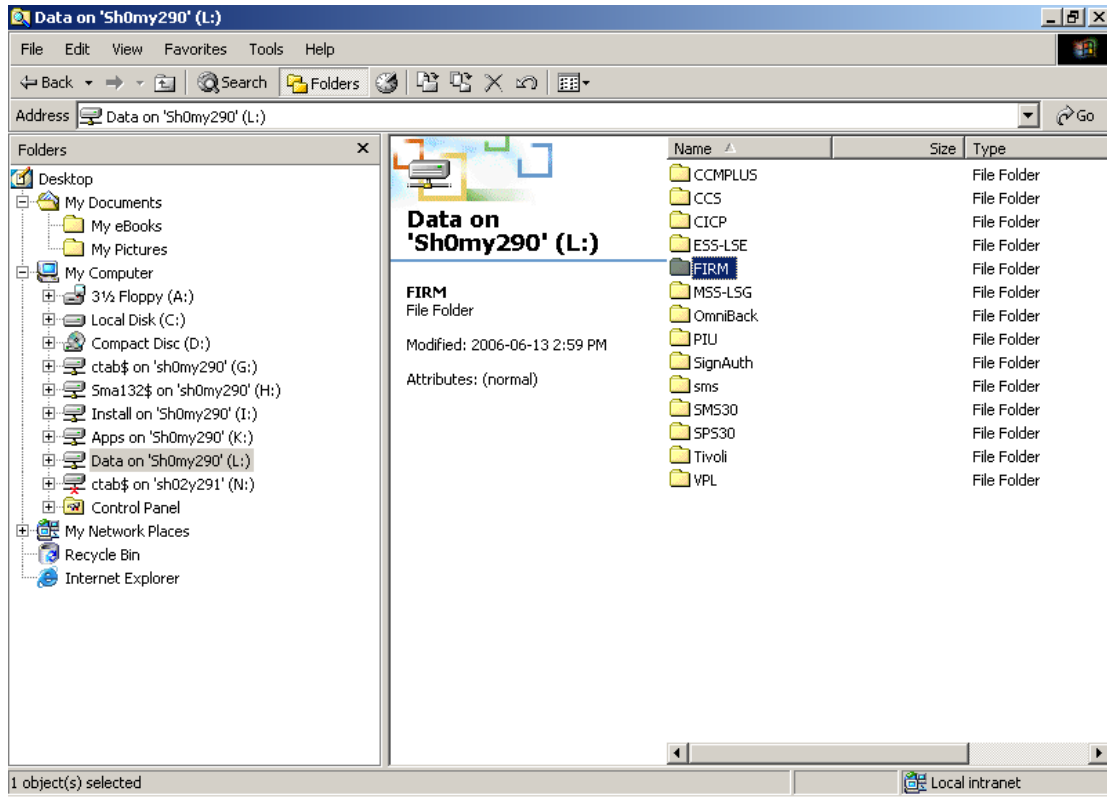


The Report Selection screen will appear again, with a message stating the download job has been submitted. You may now press F3 and begin to submit a new report, or retrieve the report from the "L" drive.



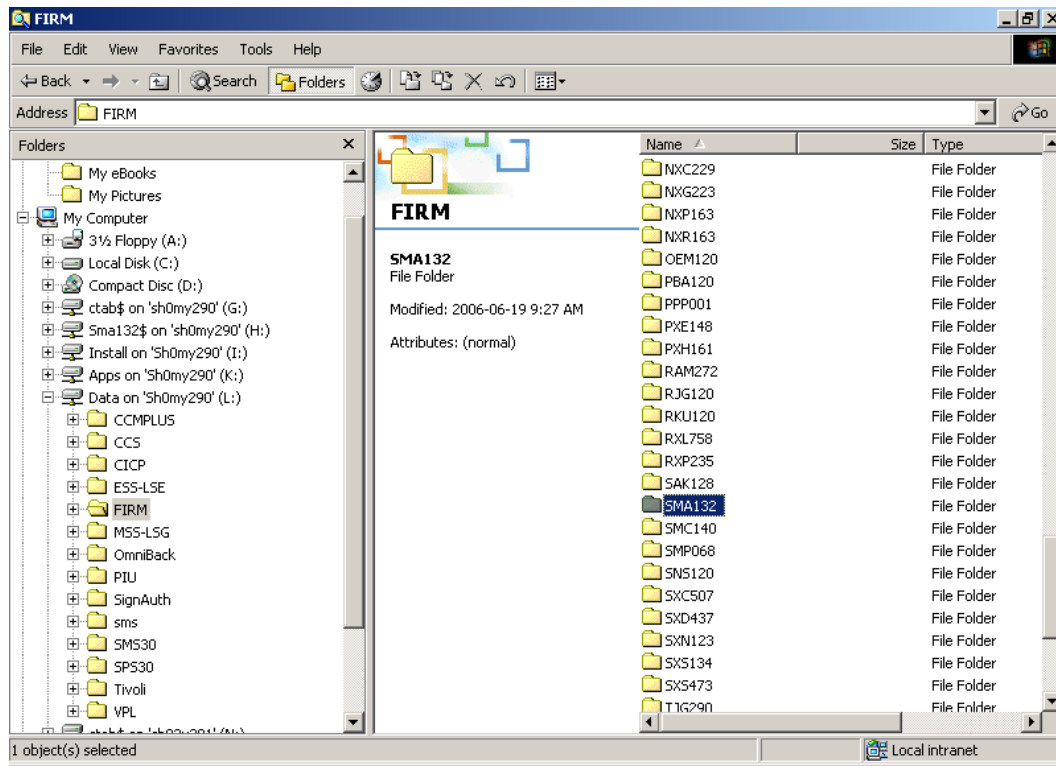
Retrieving Downloaded from L:\drive

From Windows NT Explorer select the “L” drive. From the “L” drive double click on the “FIRM” folder.

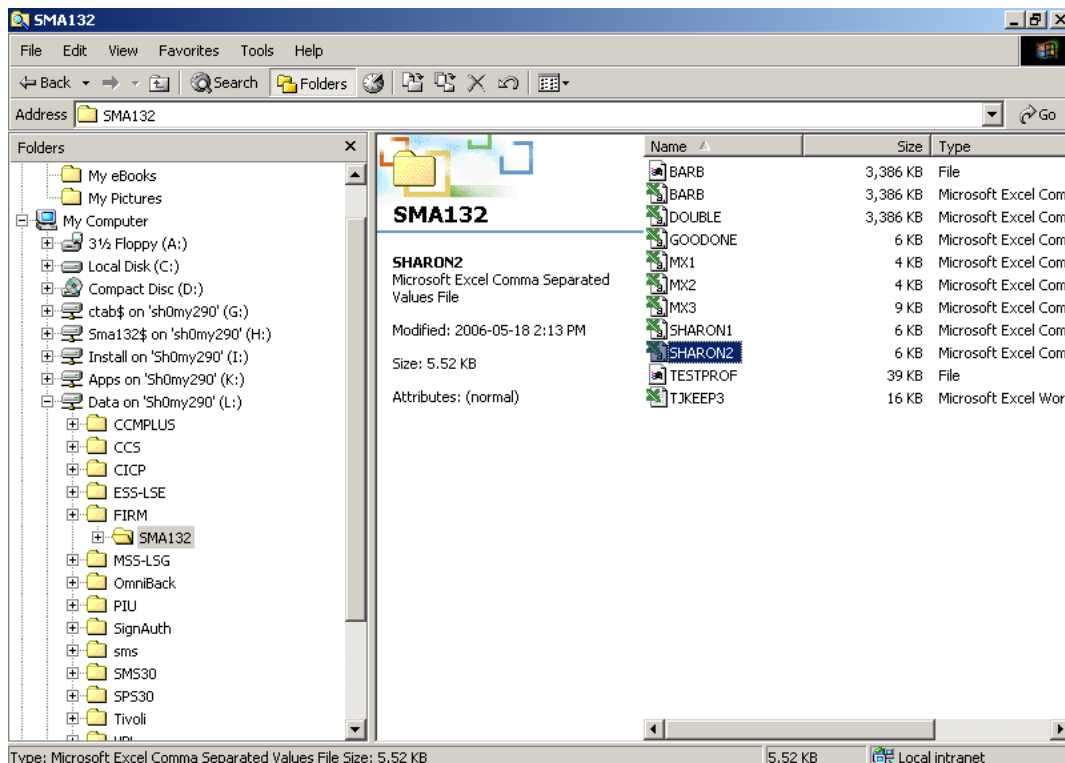


Locating your user ID Folder

Locate your user ID folder and double click on that folder.



Your user ID folder contains all the FIRM reports that you have or will be downloading. Find your downloaded report, double click on it and it will come up in Excel.



Save the report to your H:\drive under the company name for example in your working folder that will be easy to access. Remember that your file was downloaded with the extension at the end .csv which is comma delimited. When you save it in Excel, you need to change it to a Microsoft Excel Workbook. See screen below.

Now delete the downloaded version from the L:/drive, just to keep it clean so it continues to run efficiently and quickly.

