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ECONOMIC COMMISSION FOR EUROPE

INLAND TRANSPORT COMMITTEE
Working Party on Customs Questions
affecting Transport

<u>Informal ad hoc Expert Group on the</u> <u>Computerization of the TIR procedure</u>

Updates of the Reference Model of the TIR Procedure

Follow up to decision ExG/58 (1.4 Elaboration of the use cases)

Transmitted by the secretariat

A. BACKGROUND

- 1. At its third session on 1 and 2 September 2003 in Budapest, the Informal ad hoc Expert Group (hereafter called the Expert Group) mandated the secretariat to compile the work of the working groups which where requested to verify and complement the use cases in Chapter 1.4 of the Reference Model (ExG/COMP/2004/1, Decision No. 34).
- 2. At its fourth session on 1 and 2 march 2004 in Geneva, the Expert Group extensively discussed the contributions, submitted by the various 'homework groups' containing full descriptions of the various use cases and requested the secretariat to prepare a new working document, taking account of all observations submitted by the Expert Group at the session for discussion and, possibly, validation at its forthcoming session ExG/COMP/2004/10, Decision No. 58. According to that decision the secretariat has prepared document ExG/COMP/2004/14.

- 3. In the preparation of document ExG/COMP/2004/14, the secretariat noted a great variety in the level of detail in the various use case descriptions. In addition, it realized that some scenarios lacked the required structure to allow for a detail analysis of the procedural aspects of all use cases. Therefore, the secretariat took the initiative to redraft the various descriptions, providing each use case with a structure which should ensure that the descriptions are complete and exhaustive.
- 4. <u>Annexes 1 to 6</u> contain an amended version of the use case descriptions for further discussion and, possibly, validation by the Expert Group.
- 5. In addition, when elaborating the use cases, the secretariat noted that Chapter 1.3. (TIR Carnet life cycle use cases) needed some amendments. The situation where a TIR Carnet is not used for a TIR transport (for example, because its validity has expired), but is instead returned unused to the international organization, was not taken care of. Therefore, with the aim to align Chapter 1.3 with the revisions proposed to all use cases, the secretariat proposes some amendments to Chapter 1.3 in <u>Annex 7</u> for further discussion and, possibly, validation by the Expert Group.

Use case 1.4.1.: Distribution and issuance of TIR Carnets

Name	Distribution and issuance use case
Description	In the course of this use case, the TIR Carnet is produced (printed, stored), distributed and finally issued to authorized transport operators.
Actors	AC.2, international organization, issuing association, holder of TIR Carnet, TIRExB
Performance Goals	To provide authorized TIR Carnet holders with TIR Carnets, the TIR Carnet being a Customs declaration to place goods under the TIR procedure (transit procedure) and representing an internationally recognized financial guarantee to Customs authorities of Contracting Parties with which a TIR operation can be established, in accordance with the provisions of the TIR Convention
Preconditions	The international organization is authorized by AC.2 to centrally print and distribute TIR Carnets in accordance with Art. 6.2bis of the TIR Convention and Annex 8, Article 10 (b) of the TIR Convention under the supervision of TIR Executive Board
	The national association is authorized by its national Customs authorities, according to Art. 6.1 of the TIR Convention and Annex 9, Part I of TIR Convention, to issue TIR Carnets and to act as guarantor. The national association should be affiliated to an international organization.
	Transport operators have to be authorized by competent Customs authorities, according to Art 6.4 and 6.5 of the TIR Convention and Annex 9, Part II of TIR Convention, in order to obtain TIR Carnets from their issuing association and to utilize TIR Carnets, according to Art. 6.3.
Postconditions	In accordance with the TIR Carnet life cycle use case, this use case can be followed by: - the TIR transport use case; the Return and repository use case.
Scenario	While respecting the design, elaborated under the auspices of the United Nations Economic Commission for Europe and endorsed by AC.2, the international organization is responsible for printing TIR Carnets. The TIR Carnets may then be stored temporarily before being distributed by the international organization to its affiliated national issuing associations. Finally, after possibly another storage period, the issuing association fills-in fields 1 to 4 of the TIR Carnet cover page and issues the TIR Carnet to authorized TIR Carnets holders, according to Art.6.3 of the TIR Convention (to national or, in some situations, to foreign TIR Carnet holders, respecting, in such case, special requirements) within the quota fixed
	by the association. The TIRExB supervises the centralized printing and distribution in accordance with Annex 8, Article 10 (b) of the TIR Convention.
Alternative Scenario	The main scenario does not take into account that the TIR Carnet may be stolen or lost. The following scenarios are possible: 1. The TIR Carnet is lost/stolen after printing but before being stored at the premises of the international organization;
	2. The TIR Carnet is lost/stolen while still stored at the premises of the international organization;
	3. The TIR Carnet is lost/stolen during transport between the international organization and the national association;

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	 4. The TIR Carnet is lost/stolen, while in possession of the national association, before being issued; 5. The TIR Carnet is lost/stolen after having been issued to the authorized TIR Carnet holder.
Special requirements	Data on authorized TIR Carnet holders are stored in the International TIR Database (ITDB) maintained by the TIR Executive Board and TIR Secretariat. Data on lost/stolen TIR Carnets is maintained by the international organization in an electronic control system.
Extension Points	During the distribution and issuance, information will be sent to the electronic control system maintained by the international organization.
Requirements Covered	-

Use case 1.4.2. : TIR transport

Name	TIR Transport Use Case
Description	This use case describes the transport of goods from a Customs office of departure to a Customs office of destination under the TIR procedure.
Actors	Customs authorities, national association, TIR Carnet holder
Performance Goals	Reduce the time spent at frontiers during international transport of goods performed under cover of a TIR Carnet in accordance with the provisions of the TIR Convention
Preconditions	The authorized TIR Carnet holder must be issued with a valid TIR Carnet to begin the transport. The applicability of the TIR Carnet may depend on the type of the goods to be shipped (e.g. tobacco and alcohol require "Tobacco and Alcohol" TIR Carnets). For the transport of heavy or bulky goods, the TIR Carnet should bear the relevant inscription.
	The TIR transport has to be performed with an approved vehicle and container unless heavy or bulky goods are transported.
	The TIR transport must be guaranteed by associations approved in accordance with the provisions of Article 6 of the TIR Convention.
Postconditions	In accordance with the TIR Carnet life cycle use case, this use case shall be followed by:
	- The Return and repository use case
Scenario	The TIR transport is a sequence of TIR operations that shall start at a Customs office and terminate at a different one.
	The TIR Transport BEGINS when the first Customs office of departure starts the first TIR operation.
	- If other loading points in the same country: go to 1;
	- If additional loading will take place in other countries: go to 2;
	- If the loading phase is terminated: go to 3 ;
	1. At the next loading point, the Customs office of departure will terminate the current TIR operation (acting as Customs office of destination) before starting a new one.
	- If there is another loading place in the same country and if the number of loading points is still inferior to 3: repeat 1 ;
	- If additional loading will take place in other countries and if the number of loading points is still inferior to 3: go to 2.
	- If the loading phase is terminated: go to 3 .
	2. The Customs office of exit (<u>en route</u>) of the country will terminate the current TIR operation and the Customs office of entry (<u>en route</u>) of the following country will start a new TIR operation.
	- If it is a transit country: repeat 2 .
	- If it is a country where a loading will take place if the number of loading points is still inferior to 3: go to 2.1 .
	2.1. At the next loading point, the Customs office of departure will terminate the current TIR operation (acting as Customs office of destination) before starting a new one.
	- If there is another loading place in the same country and if the number of loading points is still inferior to 3: repeat 2.1 ;
	- If additional loading will take place in other countries and if the number of loading points is still inferior to 3: go to 2 ;
	- If the loading phase is terminated and there is no unloading in the current

	country: go to 3;
	- If the loading phase is terminated and there is an unloading point in the current country and if the number of loading points is still inferior to 3: go to 2.1.1 .
	2.1.1. At the first unloading point, the Customs office of destination will terminate the current TIR operation before starting a new one (acting as Customs office of departure).
	- The maximum number of loading and unloading places is limited to 4 and when reaching 2.1.1 the number of loading and unloading is already 3. Thus, only one more unloading point is possible. The goods loaded in one country cannot be unloaded in the same country. Therefore, the next step has to be the border: go to 3 .
	3. The Customs office of exit (<u>en route</u>) of the country will terminate the current TIR operation and the Customs office of entry (<u>en route</u>) of the following country will start a new TIR operation.
	- If it is a transit country: repeat 3 .
	- If it is a country where an unloading will take place if the number of loading + the number of unloading points is still inferior to 4: go to 3.1 .
	3.1. At the unloading point, the Customs office of destination will terminate the current TIR operation.
	- If it is the last unloading point: END .
	- If there are other unloading points: go to 3.1.1.
	3.1.1. At the unloading point, the Customs office of destination will start a new TIR operation (acting as Customs office of departure).
	- If there are other unloading points in other countries and if the number of loading + the number of unloading points is still inferior to 4: go to 3 .
	- If there are other unloading points in the same country and if the number of loading + the number of unloading points is still inferior to 4: go to 3.1 .
Alternative Scenario	The main scenario does not take account of the following scenarios:
	1. Falsified acceptance of a TIR Carnet: fraudsters may attempt to falsify the acceptance of a genuine TIR Carnet by using false Customs stamps and seals;
	2. Non-ending of a TIR transport: in case a TIR transport does not arrive at the Customs office of final destination, the voucher No. 1, taken out by the Customs office of entry en route, will remain outstanding because no matching voucher No. 2 is returned by a Customs office of destination. In such case, the Customs office of entry en route will start an inquiry procedure;
	3. Reservation: Any Customs Office of destination and exit (<u>en route</u>) may make reservations when terminating a TIR operation;
	4. Incident or accident en route: in such case, the so-called "certified report" should be filled-in by the competent authorities. In case the vehicle can no longer be used, the goods may be reloaded on a different truck and a new TIR Carnet is opened. If the goods are destroyed, competent authorities should state this fact. In this case, the TIR transport cannot be terminated at the intended Customs office(s) of destination;
	5. Under some conditions, the TIR Transport can be suspended (Art. 26).
Special requirements	-
Extension Points	

Use case 1.4.3.: Return and repository of TIR Carnets

Name	Return and repository use case
Description	The TIR Carnet is sent back by the TIR Carnet holder to the international organization, via his national association, to centrally store the used or invalid TIR Carnets.
Actors	TIR Carnet holder, national association, international organization.
Performance Goals	Store at a central point the evidence of the termination for the duration of the liability of the international guaranteeing chain.
Preconditions	In accordance with the TIR Carnet life cycle use case, this use case can be launched in two cases: - The TIR Carnet was issued to a TIR Carnet holder, who used it for a TIR Transport; - The TIR Carnet was issued to but not used by a TIR Carnet holder (usualy because the TIR Carnet expired)
Postconditions	-
Scenario	After having checked the TIR Carnet, the TIR Carnet holder returns it to the national association that issued him the TIR Carnet (within the deadline fixed by the association).
	What are the content and the outcome of the checking procedure?
	The national association checks whether the TIR Carnet was used properly and whether it was terminated (check of stamps against the electronic control system maintained by the international organization). The national association returns the TIR Carnets to the international organization.
	What is the outcome of the checking procedure?
	The international organization checks the TIR Carnets and archives them. All returned TIR Carnets are physically stored at the international organization for at least the period during which its liability can be invoked according to the TIR Convention.
	What are the content and the outcome of the checking procedure?
Alternative Scenario	The main scenario does not take account of the following scenarios:
	 The TIR Carnet is lost/stolen after the TIR Transport has ended; at the premises of the holder, the national association or the international organization;
	2. It may happen that the TIR Carnet is kept by the Customs authorities and not returned to the TIR Carnet holder. In such case, Customs are encouraged to provide the TIR Carnet holder with the return slip;
	3. Return of unused TIR Carnets to the national association.
	4. Return of TIR Carnets which the national association did not issue.
Special requirements	-
Extension Points	-
Requirements Covered	-

Use case 1.4.4.: Discharge of a TIR operation

Name	The discharge of a TIR operation
Description	Comparison of the data or information available at the Customs office of destination or exit (en route) and that available at the Customs office of departure or entry (en route).
Actors	Customs authorities
Performance Goals	Ensure that a TIR operation has been terminated correctly, in order to release the holder of his responsibilities and the national association of its guarantee.
Preconditions	This use case is launched after the Start of a TIR operation.
Postconditions	-
Scenario	Three major scenarios can be envisaged depending on the national practice:
	a) The discharge procedure is performed by the Customs office that has started the TIR operation; in that case the Customs office that has terminated the TIR operation sends either voucher No. 2 or the certificate of termination to the Customs office having started the TIR operation.
	b) The discharge procedure is performed by a central Customs office; in that case both the Customs office that has started the TIR operation and the Customs office that has terminated the TIR operation send respectively voucher No. 1 and voucher No. 2 or the certificate of termination to a central Customs office.
	c) In exceptional cases it may happened that the discharge procedure is performed by the Customs office that has terminated the TIR operation; in that case the Customs office that has started the TIR operation sends voucher No. 1 to the Customs office having terminated the TIR operation (this Customs office should in this case be known in advance).
	Except from these differences all three scenarios are mainly similar.
	1. The discharge procedure BEGINS when the Customs office responsible for the discharge receives voucher no. 1 duly filled-in. A deadline for the reception of voucher No. 2 is then fixed.
	- If voucher No. 2 <u>arrives</u> before the deadline: go to 2
	- If voucher No. 2 <u>does not arrive</u> before the deadline: go to 3
	2. The information between voucher No. 1 and voucher No. 2 (or the certificate of termination) is compared.
	- If the comparison <u>leads</u> Customs to the assumption that a Customs infringement has taken place and taxes and duties are due: go to 3
	- If the comparison <u>does not lead</u> Customs to the conclusion that a Customs infringement has taken place and taxes and duties are due: go to 4
	3. Inquiry procedures are launched:
	- If the inquiry procedure concludes that a Customs infringement <u>has not taken place</u> and taxes and duties <u>are not due</u> : go to 4
	4. The TIR operation is discharged: END
Alternative Scenario	The main scenario does not take account of the following scenarios:
	 Instead of sending vouchers by post, an exchange of electronic messages between different Customs offices may take place;
	 In case the certificate of termination of the TIR operation has been obtained in an improper or fraudulent manner or in case no termination has taken place, neither the holder would be released of his responsibilities nor the national association of its

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	guarantee;
Special requirements	-
Extension Points	
Requirements Covered	-

Use case 1.4.5. : Start of a TIR operation

Use Case Name	Start TIR operation use case
Use Case Description	The TIR Carnet is filled-in by the TIR Carnet holder and presented with the vehicle and goods to the Customs office of departure; in continuation, TIR Carnet, vehicle and goods have to be presented at intermediate Customs offices of departure and/or Customs offices of entry (en route).
Actors	TIR Carnet holder, Customs authorities.
Performance Goals	Start a transit procedure in a given country for a specific leg of the TIR Transport.
Preconditions	In accordance with the TIR Transport use case, this use case applies in one of the following situations: - The TIR Carnet holder has provided and validated all information for the TIR Transport (in case this use case applies at the first Customs office of departure); - The preceding TIR operation has been terminated (in case this use case is not applied at the first Customs office of departure).
Postconditions	Start the discharge procedure.
Scenario	1. The start of a TIR operation BEGINS when the TIR Carnet holder presents a valid and duly filled-in TIR Carnet, together with the goods and a TIR approved vehicle at a Customs office. The Customs officer may first check the validity of the TIR Carnet and END procedure if the TIR Carnet is not valid.
	- If the vehicle is not sealed at a Customs office of departure: go to 1.1 ;
	- If the vehicle is sealed (at a Customs office of entry): go to 1.2 ;
	- If the vehicle is not sealed at an intermediate Customs office of destination: go to 1.3;
	- If the vehicle is not sealed at a Customs office of entry: go to 1.1.2;
	1.1. If necessary, the TIR Carnet holder is requested to update the information in the TIR Carnet. The Customs office of departure checks the data of the TIR Carnet and other accompanying documents with the load.
	- If any problem is encountered: go to 1.1.1 ;
	- If checks are OK: go to 1.1.2.
	1.1.1. Update the information on the TIR Carnet.
	- If updating is possible: Go to 1.1.2 .
	- If no updating is possible: END .
	1.1.2. In case any updating in the TIR Carnet has taken place (goods, itinerary,) the Customs officer validates those changes in all remaining vouchers of the TIR Carnet by stamping and signing them. The Customs officer affixes new seals to the load compartment and validates the TIR Carnet by inscribing the number and identification of the seals in field 16, and by applying the stamp, signature, date and name of the intermediate Customs office of departure in field 17 of all vouchers No. 1 and No. 2 remaining in the TIR Carnet. Go to 2 .
	1.2. The Customs officer checksthe data of the TIR Carnet and other accompanying documents, as well as the seals and carries out a routine check of the truck.
	- If checks are OK: go to 1.2.1;
	- If checks are not OK: go to 1.2.2 or 1.2.1.1 if seals are still in place
	1.2.1. The Customs officer ticks box 19 on both vouchers 1 and 2 for the

	current operation and assesses the risk in order to estimate if the load should be checked. - If the risk is low: go to 2; - If the risk is high (exceptional cases): go to 1.2.1.1. 1.2.1.1. The Customs officer removes the seals: go to 1.2.2. 1.2.2. The Customs officer checks the load and compares it with the data the TIR Carnet and other accompanying documents. - If everything is OK: go to 1.2.2.1; - If any problem is encountered: END. 1.2.2.1. The Customs officer affixes new seals to the load compartment and inscribes the number and identification of the seals in field 16 of all vouchers No. 1 and No. 2 remaining in the TIR Carnet: go to 2.
	 At an intermediate Customs office of destination, the seals are removed, part of the load is taken out and the data in the TIR Carnet are updated accordingly. Once the previous operation has been terminated, the Customs officer will act as a Customs officer at a Customs office of departure: go to 1.1. The Customs officer completes fields 18 and 20 to 23 of both vouchers No. 1 and No. 2 corresponding to the TIR operation, he completes counterfoil No. 1 he removes voucher No. 1 he returns the TIR Carnet to the holder: END.
Alternative Scenario	The main scenarios do not take account of the following scenarios: 1. Non validation of the TIR Carnet by Customs; 2. Falsified acceptance of the TIR Carnet; 3. Use of lost or stolen TIR Carnets.
Special requirements	In case of heavy and bulky goods with own identification marks, neither sealing nor a TIR approved vehicle is required. Specific identification marks will be mentioned in the TIR Carnet.
Extension Points	In the process of checking the validity of the TIR Carnet, Customs authorities may make use of information stored in the electronic control system maintained by the international organization.
Requirements Covered	

Use case 1.4.6.: Termination of a TIR operation

Name	Terminate TIR operation use case
Description	The road vehicle, the combination of vehicles or the container with the goods and the TIR Carnet are presented for purposes of control to the Customs office of exit, destination or to at the intermediate Customs office of departure.
Actors	TIR Carnet holder, Customs authorities.
Performance Goals	Terminate the transit procedure in a given country for a specific leg of the TIR Transport.
Preconditions	In accordance with the TIR Transport use case, this use case can be launched only after the start of the TIR operation has been completed.
Postconditions	A termination message is sent to the control system for TIR Carnets A termination message (Voucher N°2 or certificate of termination) is sent to the office in charge of the discharge of the TIR operation
Scenario	 The termination of a TIR operation BEGINS when the TIR Carnet holder presents a valid and duly filled-in TIR Carnet, together with the goods and a TIR approved vehicle at a Customs office. The Customs officer may first check the validity of the TIR Carnet and END procedure if the TIR Carnet is not valid. The Customs officer may also examine all parts of the vehicle in addition to the sealed load compartment (Explanatory Note 0.21-1 to Article 21 of the TIR Convention). Customs of destination: go to 1.1; Customs of exit or intermediate departure: go to 1.2; 1.1. The Customs officer checks the integrity of all seals and their number against the seals' number(s) mentioned in the TIR Carnet If seals are not OK: go to 1.1.1; If seals are not OK: go to 1.1.2. 1.1.1 Indicate that seals were intact by ticking box 25 in voucher N°2; Go to 1.1.2. 1.1.2. The Customs officer takes the seals off and checks the goods

	1.2.2.1. The Customs officer affixes new seals and records on the TIR Carnet vouchers used in that Contracting Party, on the corresponding counterfoils, and on the vouchers remaining in the TIR Carnet, particulars of the new seals affixed and of the controls carried out (Art. 24 of the TIR Convention): go to 2. 2. If any of checks were not satisfactory to the Customs officer, because he notices any irregularity in connection with the TIR operation itself, he may nevertheless certify the termination of this TIR operation but with reservation. In this case, the Customs officer completes field 27 by placing an "R": go to 3. 3 The Customs officer completes fields 23, 26 and 28 of voucher No. 2 corresponding to the TIR operation; - he completes counterfoil No. 2; - he removes voucher No. 2; - he returns the TIR Carnet to the holder; - he also should sent and electronic message to the control system for TIR Carnets; - and finally send a termination message to the discharge office (see discharge use case for details): END.
Alternative Scenario	The main scenarios do not take account of the following scenarios: 1. Non validation of the TIR Carnet by Customs; 2. Falsified acceptance of the TIR Carnet; 3. Use of lost or stolen TIR Carnets
Special requirements	The goods unloaded at destination are no longer under the TIR regime: they are put under another Customs regime.
Extension Points	In the process of checking the validity of the TIR Carnet, Customs authorities may make use of information stored in the electronic control system maintained by the international organization.
Requirements Covered	-

Updates to chapter 1.3 TIR Carnet life cycle use cases

The table 1.2 TIR Carnet life cycle use case description, should be amended as follows:

Scenario	An international organization prints (organizes the printing) of the TIR Carnets and distributes them to the authorized national associations. An authorized transport operator (TIR Carnet Holder) can then request from his national association a TIR Carnet. The National association issues the carnet to the TIR Carnet holder. The National association may in certain cases also return the TIR Carnet to the international organization before issuing it to a transport operator.
	The TIR Carnet is then used within the limits of its validity by the TIR Carnet holder to perform a TIR Transport. The TIR Carnet represents not only the international Customs document, but also the guarantee. If the TIR Carnet expires before having been used, the TIR Carnet holder returns it to his issuing association.
	Once the TIR Transport has ended, the TIR Carnet is returned to the TIR Carnet holder, then to the association and finally to the international organization.

The figure 1.4 TIR Carnet life cycle activity diagram, should be replaced by the following:

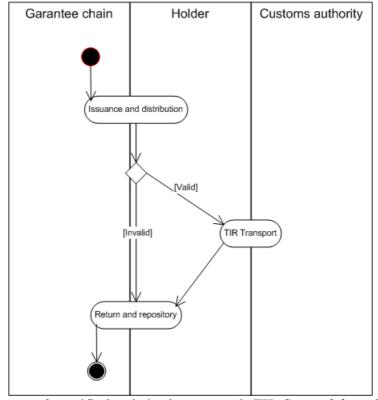


Figure Error! No text of specified style in document.. 1 TIR Carnet life cycle activity diagram