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Item 3 (c) of the provisional agenda

eTIR international system

NCTS-eTIR Proof of Concept

Annexes of the NCTS-eTIR Proof of Concept

Transmitted by the European Commission

Mandate and background

1. The Inland Transport Committee (ITC), at its eighty-second session (23–28 February 2020) approved (ECE/TRANS/294, para. 84¹) the establishment of the Group of Experts on Conceptual and Technical Aspects of Computerization of the TIR Procedure (WP.30/GE.1) and endorsed its Terms of Reference (ToR)² (ECE/TRANS/WP30/2019/9 and ECE/TRANS/WP.30/2019/9/Corr.1), pending approval by the United Nations Economic Commission for Europe (ECE) Executive Committee (EXCOM). EXCOM during its remote informal meeting (20 May 2020) approved the establishment of WP.30/GE.1 until 2022, based on the ToR included in document ECE/TRANS/WP.30/2019/9 and Corr.1, as contained in document ECE/TRANS/294 (ECE/EX/2020/L.2, para. 5(b)).³
2. The European Commission transmitted the Annexes I, II and III of the NCTS-eTIR Proof of Concept for consideration by WP.30/GE.1.

¹ Decision of the Inland Transport Committee para. 84 / ECE/TRANS/294

<http://www.unece.org/fileadmin/DAM/trans/doc/2020/itc/ECE-TRANS-294e.pdf>

² Terms of reference of the newly established Group approved by the Inland Transport Committee and the Executive Committee (EXCOM) of ECE

³ Decision of EXCOM, ECE/EX/2020/L.2 / para. 5(b)

http://www.unece.org/fileadmin/DAM/commission/EXCOM/Agenda/2020/Remote_informal_mtg_20_05_2020/Item_4_ECE_EX_2020_L.2_ITC_Sub_bodies_E.pdf

Annex I

Combined NCTS - eTIR Business processes

Important notes valid for all business process models and the description of the processes:

- The NCTS processes include communication between the holder and NCTS customs offices (IE170, IE028, IE029, IE007, IE045, ...). Those processes need further consideration and the sending of those messages might only be required in the case of authorized consignees and authorized consignors.

Important notes valid for all the descriptions of the processes:

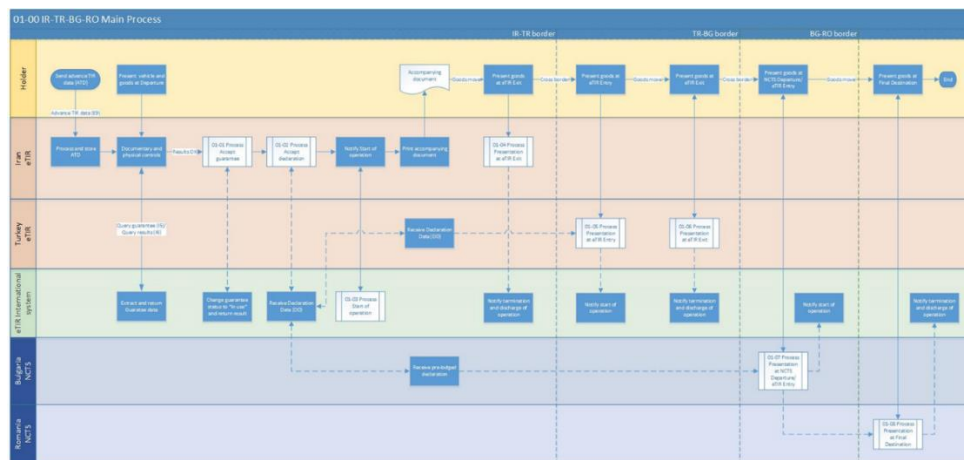
- In case the seals have been changed at any time during the journey, the start or termination messages will contain the new seals information and the eTIR international system notifies all the subsequent customs offices
- All communications between NCTS customs offices and the eTIR international system are done via the NCTS-eTIR converter, which uses standard NCTS messages to generate eTIR messages.
- The terms Customs Office of Departure (OoDep) and Customs Office of Destination (OoDest) have sometimes different meaning in eTIR and NCTS, therefore, when required, "NCTS" or "eTIR" is added in brackets after the acronyms OoDep and OoDest to indicate which definition applies.

I. 01-00 Transit movement starting in Iran, passing through Turkey, entering the EU in Bulgaria with the destination in Romania (IR-TR-BG-RO)

Assumption: In this scenario, Turkey is considered to be using their own national connection to the eTIR international system and not NCTS (using the NCTS-eTIR converter described in this document).

Figure I.I

01-00 IR-TR-BG-RO Main process



A full version of the diagram is available at: <https://unece.org/sites/default/files/2021-07/01-00 IR-TR-BG-RO Main process BPM v1.5.pdf>:

In this scenario, the TIR transport begins in Iran. The Trader lodges the advance TIR data (ATD) to the OoDep (eTIR) in Iran, which performs the tasks according to the eTIR processes. The ATD are processed and stored until the goods are presented to this OoDep.

When the goods are presented to the OoDep (eTIR), the customs authority performs the relevant controls, accepts the guarantee and accepts the ATD.

After accepting the ATD, the OoDep (eTIR) sends the Declaration Data (DD) to the eTIR international system, which notifies the subsequent customs administration along the itinerary. The DD is processed and stored, then a notification confirmation is sent back to the OoDep (eTIR) (including the national references returned by all customs administrations along the itinerary) which then notifies the Start of the first TIR operation to the eTIR international system. The eTIR international system notifies all subsequent customs administrations of the Start of the operation (which include the seals information).

The eTIR Accompanying Document (with the national references) is printed and the TIR transport can begin.

When the movement is presented at the OoExit (eTIR) in Iran (exiting the country where the TIR transport begun i.e. Iran), the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, the customs authorities of Iran notify the eTIR international system when this TIR operation is discharged.

The vehicle is then presented at the OoEntry (eTIR) of the next country (Turkey), where the DD is already available. The relevant controls are performed, and the notification of the Start of the second TIR operation is sent to the eTIR international system.

The vehicle moves to the OoExit (eTIR) in Turkey, where the goods are presented and the customs authority proceeds with the same steps as previously described when leaving Iran (Termination and Discharge of the TIR operation).

At this point, the vehicle is presented to the OoEntry into the EU in Bulgaria (Departure for NCTS). The declaration data is already available at the OoDep (NCTS) and the system performs the tasks according to the NCTS processes.

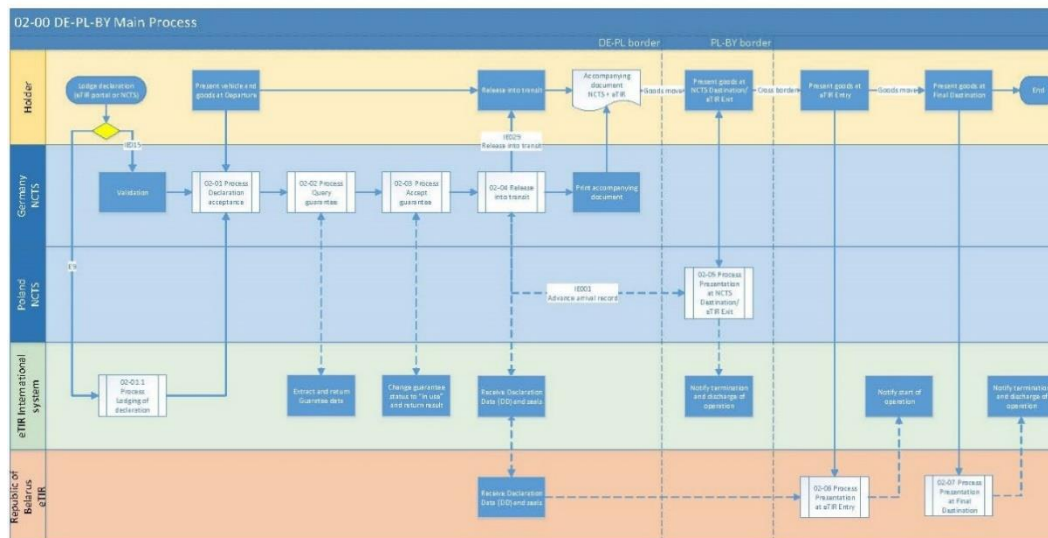
After the acceptance of the data, OoDep (NCTS) releases the movement into transit notifying the trader, the eTIR international system (Start of the third and last TIR operation) and the OoDest.

When the vehicle arrives at the Final Destination in Romania, the goods are presented at the OoDest and NCTS performs the tasks according to the standard processes. When the Destination Control Results are registered in NCTS, the information is communicated to the eTIR international system regarding the Termination of the TIR operation.

Finally, the OoDep (NCTS) writes off the movement and notifies the Trader. The eTIR system is also notified of the Discharge of the TIR Operation.

II. 02-00 Transit movement starting in Germany, exiting the EU in Poland with the destination in Belarus (DE-PL-BY).

Figure I.II
02-00 DE-PL-BY Main Process



A full version of the diagram is available at: <https://unece.org/sites/default/files/2021-07/02-00 DE-PL-BY Main process BPM v1.7.pdf>.

In this scenario, the TIR transport begins in the EU, in Germany. The Trader has the possibility to lodge either a transit declaration in NCTS (IE015) or the advance TIR data (ATD) in the eTIR international system to the OoDep in Germany. In both cases, the information is validated within NCTS.

When the goods are presented to the OoDep (NCTS), the customs authority accepts the declaration, performs the relevant controls, accepts the guarantees (process which includes the acceptance of the guarantee in the eTIR international system), and releases the movement into transit.

OoDep sends also the declaration data to the eTIR international system, which further notifies the subsequent customs administrations along the itinerary. The DD is processed and stored, then a notification confirmation is sent back to the OoDep (including the national references returned by all customs administrations along the itinerary) which then notifies the Start of the first TIR operation to the eTIR international system. The eTIR international system notifies all subsequent customs administrations of the Start of the operation (which include the seals information).

The eTIR Accompanying Document (with the national references) is printed, on request of the EO, the NCTS Accompanying Document is also printed, and the TIR transport can begin.

When the vehicle is presented at the OoDest (NCTS)/OoExit (eTIR) in Poland, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, further to receiving the positive notification of the control results, the customs authorities of Germany notify the eTIR international system when the movement is written off in NCTS by sending a message informing about the discharge of the TIR operation.

The vehicle is then presented at the OoEntry (eTIR) of the next country (Belarus), where the DD is already available. The relevant controls are performed, and the notification of the Start of the second TIR operation is sent to the eTIR international system.

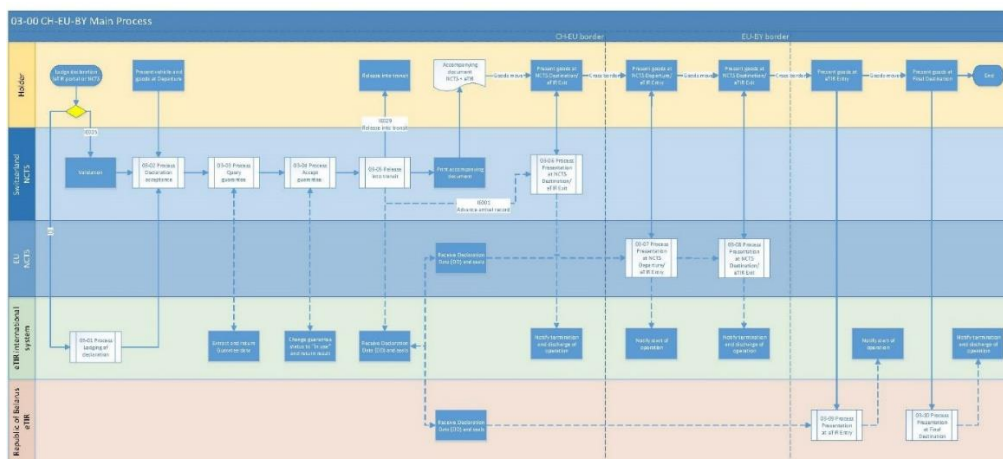
Finally, the vehicle moves to the Final Destination in Belarus where the goods are presented, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, the customs authorities of Belarus notify the eTIR international system when this TIR operation is discharged.

III. 03-00 Transit movement starting in Switzerland, passing through the EU with the destination in Belarus (CH-EU-BY)

Assumption: In this scenario, Switzerland is considered to be using NCTS (using the NCTS-eTIR convertor described in this document) and not their own national connection to the eTIR international system. This scenario also does not take into account that Switzerland will not implement the eTIR procedure since they have opted out of Annex 11.

Figure I.III

03-00 CH-EU-BY Main Process



A full version of the diagram is available at: <https://unece.org/sites/default/files/2021-07/03-00 CH-EU-BY Main process BPM v1.4.pdf>.

In this scenario, the TIR transport begins in Switzerland. The Trader has the possibility to lodge either a transit declaration in NCTS (IE015) or the advance TIR data (ATD) in the eTIR international system to the OoDep in Switzerland. In both cases, the information is validated within NCTS.

When the goods are presented to the OoDep (NCTS), the customs authority accepts the declaration, performs the relevant controls, accepts the guarantees (process which includes the acceptance of the guarantee in the eTIR international system) and releases the movement into transit.

OoDep sends also the declaration data to the eTIR international system, which further notifies the subsequent customs administrations along the itinerary. The DD is processed and stored, then a notification confirmation is sent back to the OoDep (including the national references returned by all customs administrations along the itinerary) which then notifies the Start of the first TIR operation to the eTIR international system. The eTIR international system notifies all subsequent customs administrations of the Start of the operation (which include the seals information).

The eTIR Accompanying Document (with the national references) is printed, on request of the EO, the NCTS Accompanying Document is also printed, and the TIR transport can begin.

When the vehicle is presented at OoDest (NCTS)/OoExit (eTIR) in Switzerland, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, further to receiving the positive notification of the control results, the customs authorities of Switzerland notify the eTIR international system when the movement is written off in NCTS by sending a message informing about the discharge of the TIR operation.

The vehicle is then presented to the OoEntry into the EU in Germany (Departure for NCTS). The declaration data is already available at the OoDep (NCTS) and the system performs the tasks according to the NCTS processes.

After the acceptance of the data, NCTS releases the movement into transit notifying the trader, the eTIR international system (Start of the second TIR operation) and the OoDest (NCTS).

When the vehicle is presented at the customs office of Destination (NCTS)/OoExit (eTIR) in Poland, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, further to receiving the positive notification of the control results, the customs authorities of Poland notify the eTIR international system when the movement is written off in NCTS by sending a message informing about the discharge of the TIR operation.

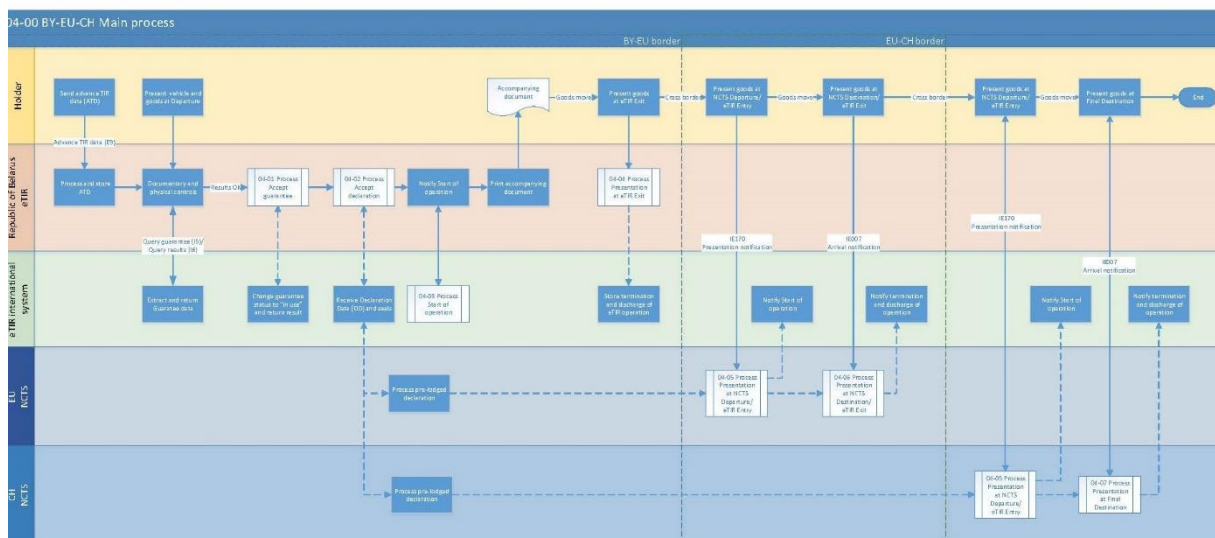
The vehicle is then presented at the OoEntry (eTIR) of the next country (Belarus), where the DD is already available. The relevant controls are performed, and the notification of the Start of the third and last TIR operation is sent to the eTIR international system.

Finally, the vehicle moves to the Final Destination in Belarus where the goods are presented, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, the customs authorities of Belarus notify the eTIR international system when this TIR operation is discharged.

IV. 04-00 Transit movement starting in Belarus, passing through the EU with destination in Switzerland (BY-EU-CH)

Assumption: In this scenario, Switzerland is considered to be using NCTS (using the NCTS-eTIR convertor described in this document) and not their own national connection to the eTIR international system. This scenario also does not take into account that Switzerland will not implement the eTIR procedure since they have opted out of Annex 11.

Figure I.IV
04-00 BY-EU-CH Main Process



A full version of the diagram is available at: [https://unece.org/sites/default/files/2021-07/04-00 BY-EU-CH Main process BPM v1.4.pdf](https://unece.org/sites/default/files/2021-07/04-00%20BY-EU-CH%20Main%20process%20BPM%20v1.4.pdf).

In this scenario, the TIR transport begins in Belarus. The Trader lodges the advance TIR data (ATD) to the OoDep (eTIR) in Belarus, which performs the tasks according to the eTIR processes. The ATD are processed and stored until the goods are presented to this OoDep.

When the goods are presented to the OoDep (eTIR), the customs authority performs the relevant controls, accepts the guarantee and accepts the ATD.

After accepting the ATD, the OoDep sends the DD to the eTIR international system, which notifies the subsequent customs administration along the itinerary. The DD is processed and stored, then a notification confirmation is sent back to the OoDep (including the national

references returned by all customs administrations along the itinerary) which then notifies the Start of the first TIR operation to the eTIR international system. The eTIR international system notifies all subsequent customs administrations of the Start of the operation (which include the seals information).

The eTIR Accompanying Document (with the national references) is printed and the TIR transport can begin.

When the vehicle is presented at the OoExit (eTIR) in Belarus (exiting the country where the TIR transport begun i.e. Belarus), the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, the customs authorities of Belarus notify the eTIR international system when this TIR operation is discharged.

The vehicle is then presented to the OoEntry into the EU in Poland (Departure for NCTS). The declaration data is already available at the OoDep (NCTS) and the system performs the tasks according to the NCTS processes.

After the acceptance of the data, NCTS releases the movement into transit notifying the trader, the eTIR international system (Start of the second TIR operation) and the OoDest (NCTS).

When the vehicle is presented at the OoDest (NCTS)/OoExit (eTIR) in Germany, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, further to receiving the positive notification of the control results, the customs authorities of Germany notify the eTIR international system when the movement is written off in NCTS by sending a message informing about the discharge of the TIR operation.

The vehicle is then presented to the OoEntry into Switzerland (Departure for NCTS). The declaration data is already available at the OoDep (NCTS) and the system performs the tasks according to the NCTS processes.

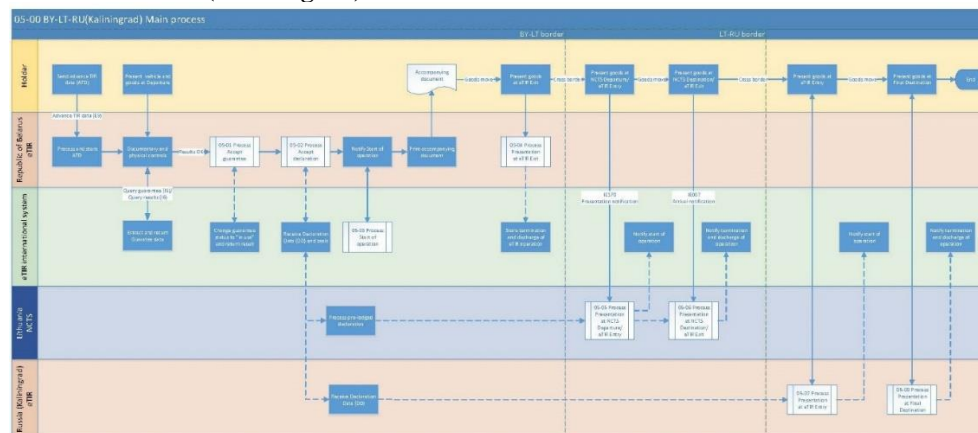
After the acceptance of the data, NCTS releases the movement into transit notifying the trader, the eTIR international system (Start of the third and last TIR operation) and the OoDest (NCTS).

When the vehicle arrives at the Final Destination in Switzerland, the goods are presented at the OoDest and NCTS performs the tasks according to the standard processes. When the Destination Control Results are registered in NCTS, the information is communicated to the eTIR international system regarding the Termination of the TIR operation.

Finally, the OoDep (NCTS) writes off the movement and notifies the Trader. The eTIR system is also notified of the Discharge of the TIR Operation.

V. 05-00 Transit movement starting in Belarus, passing through Lithuania with destination in Russia (BY-LT-RU).

Figure I.V

05-00 BY-LT-RU(Kaliningrad) Main Process

A full version of the diagram is available at: <https://unece.org/sites/default/files/2021-07/05-00 BY-LT-RU%28Kaliningrad%29 Main process BPM v1.4.pdf>.

In this scenario, the TIR transport begins in Belarus. The Trader lodges the advance TIR data (ATD) to the OoDep (eTIR) in Belarus, which performs the tasks according to the eTIR processes. The ATD are processed and stored until the goods are presented to this OoDep.

When the goods are presented to the OoDep (eTIR), the customs authority performs the relevant controls, accepts the guarantee and accepts the ATD.

After accepting the ATD, the OoDep (eTIR) sends the DD to the eTIR international system, which notifies the subsequent customs administration along the itinerary. The DD is processed and stored, then a notification confirmation is sent back to the OoDep (including the national references returned by all customs administrations along the itinerary) which then notifies the Start of the first TIR operation to the eTIR international system. The eTIR international system notifies all subsequent customs administrations of the Start of the operation (which include the seals information).

The eTIR Accompanying Document (with the national references) is printed and the TIR transport can begin.

When the vehicle is presented at the OoExit (eTIR) in Belarus (exiting the country where the TIR transport begun i.e. Belarus), the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, the customs authorities of Belarus notify the eTIR international system when this TIR operation is discharged.

The vehicle is then presented to the OoEntry into the EU in Lithuania (Departure for NCTS). The declaration data is already available at the OoDep (NCTS) and the system performs the tasks according to the NCTS processes.

After the acceptance of the data, NCTS releases the movement into transit notifying the trader, the eTIR international system (Start of the second TIR operation) and the OoDest (NCTS) in Lithuania.

When the vehicle is presented at the OoDest (NCTS)/OoExit (eTIR) in Lithuania, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, further to receiving the positive notification of the control results, the customs authorities of Lithuania notify the eTIR international system when the movement is written off in NCTS by sending a message informing about the discharge of the TIR operation.

The vehicle is then presented at the OoEntry (eTIR) of the next country (Russia - Kaliningrad), where the DD is already available. The relevant controls are performed, and the notification of the Start of the third and last TIR operation is sent to the eTIR international system.

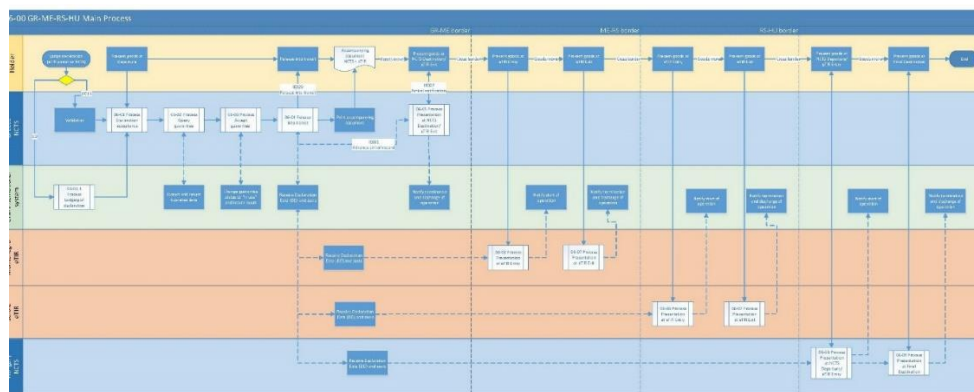
Finally, the vehicle moves to the Final Destination in Russia (Kaliningrad) where the goods are presented, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, the customs authorities of Russia notify the eTIR international system when this TIR operation is discharged.

VI. 06-00 Transit movement starting in Greece, passing through Montenegro, Serbia, with destination in Hungary (GR-ME-RS-HU)

Assumption: In this scenario, Serbia is considered to be using their own national connection to the eTIR international system and not NCTS (using the NCTS-eTIR convertor described in this document).

Figure I.VI

06-00 GR-ME-RS-HU Main Process



A full version of the diagram is available at: <https://unece.org/sites/default/files/2021-07/06-00-GR-ME-RS-HU-Main-process-BPM-v1.4.pdf>.

In this scenario, the TIR transport begins in the EU, in Greece. The Trader has the possibility to lodge either a transit declaration in NCTS (IE015) or the advance TIR data (ATD) in the eTIR international system to the OoDep in Greece. In both cases, the information is validated within NCTS.

When the goods are presented to the OoDep (NCTS), the customs authority accepts the declaration, performs the relevant controls, accepts the guarantees and releases the movement into transit.

OoDep (NCTS) sends also the declaration data to the eTIR international system, which further notifies the subsequent customs administrations along the itinerary. The DD is processed and stored, then a notification confirmation is sent back to the OoDep (including the national references returned by all customs administrations along the itinerary) which then notifies the Start of the first TIR operation to the eTIR international system. The eTIR international system notifies all subsequent customs administrations of the Start of the operation (which include the seals information).

The eTIR Accompanying Document (with the national references) is printed, on request of the EO, the NCTS Accompanying Document is also printed, and the TIR transport can begin.

When the vehicle is presented at the OoDest (NCTS)/eTIR Exit in Greece, the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, further to receiving the positive notification of the control results, the customs authorities of Greece notify the eTIR international system

when the movement is written off in NCTS by sending a message informing about the discharge of the TIR operation.

The vehicle is then presented at the OoEntry (eTIR) of the next country (Montenegro), where the DD is already available. The relevant controls are performed, and the notification of the Start of the second TIR operation is sent to the eTIR international system.

The vehicle moves to the OoExit (eTIR) in Montenegro, where the goods are presented and the customs authority proceeds with the relevant controls and notifies the eTIR international system with the Termination of the TIR operation. Then, the customs authorities of Montenegro notify the eTIR international system when this TIR operation is discharged.

The same steps as described for the movement crossing (Entry and Exit) Montenegro also apply when crossing Serbia.

At this point, after the movement crossed Serbia, the vehicle is presented to the OoEntry into the EU in Hungary (Departure for NCTS). The declaration data is already available at the OoDep (NCTS) and the system performs the tasks according to the NCTS processes.

After the acceptance of the data, NCTS releases the movement into transit notifying the trader, the eTIR international system (Start of the third and last TIR operation) and the OoDest (NCTS) in Hungary.

When the vehicle arrives at the Final Destination in Hungary, the goods are presented at the OoDest and NCTS performs the tasks according to the standard processes. When the Destination Control Results are registered in NCTS, the information is communicated to the eTIR international system regarding the Termination of the TIR operation.

Finally, the OoDep (NCTS) writes off the movement and notifies the Trader. The eTIR system is also notified of the Discharge of the TIR Operation.

VII. Other sub-processes

The following Business Processes have been created to support the Main Processes and to cover the highest range of possible scenarios. For simplicity, they are all based on the first two main scenarios (01-00 and 02-00) but they are applicable to all Main Processes.

Full versions of the diagrams are available at:

<i>Name</i>	<i>Description</i>	<i>Link</i>
Amendment (eTIR)	This sub-process covers the case when a new unloading point is identified during the journey and the data needs to be amended.	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Amendment %28new unloading point in Turkey%29 BPM v2.1_0.pdf
Discrepancies at EU Destination	This sub-process covers the case where discrepancies are found during the control at destination in the EU.	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Discrepancies at Destination BPM v1.4.pdf
Discrepancies at EU Entry	This sub-process covers the case where discrepancies are found during the control at the EU Entry.	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Discrepancies at EU Entry BPM v1.2.pdf
Diversion	This sub-process covers the case when a diversion to the original itinerary occurs during the journey (Turkey).	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Diversion BPM v1.2.pdf
Incident in the EU (with Destination in the EU)	This sub-process covers the case when an incident occurs in the EU – the Departure is in a non-EU country and the Final Destination is in the EU.	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Incident in EU territory BPM v2.8.pdf

<i>Name</i>	<i>Description</i>	<i>Link</i>
Incident in the EU (with Destination outside the EU)	This sub-process covers the case when an incident occurs in the EU – the Departure is in the EU and the Final Destination is in a non-EU country.	https://unece.org/sites/default/files/2021-07/DE-PL-UA-GE-Sub-process Incident in EU territory BPM v1.2.pdf
Incident in a non-EU country	This sub-process covers the case when an incident occurs outside the EU – the Departure is in a non-EU country and the Final Destination is in the EU.	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Accident in Turkey BPM v2.1.pdf
Query	This sub-process describes the cases when the data is not available in a certain country using NCTS, and queries the information to the eTIR international system.	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Query BPM v1.1.pdf
Rejection	This sub-process covers the case when an eTIR transport starts in a non-EU country and the declaration data is rejected in NCTS.	https://unece.org/sites/default/files/2021-07/IR-TR-BG-RO Sub-process Rejection BPM v4.1.pdf

Annex II

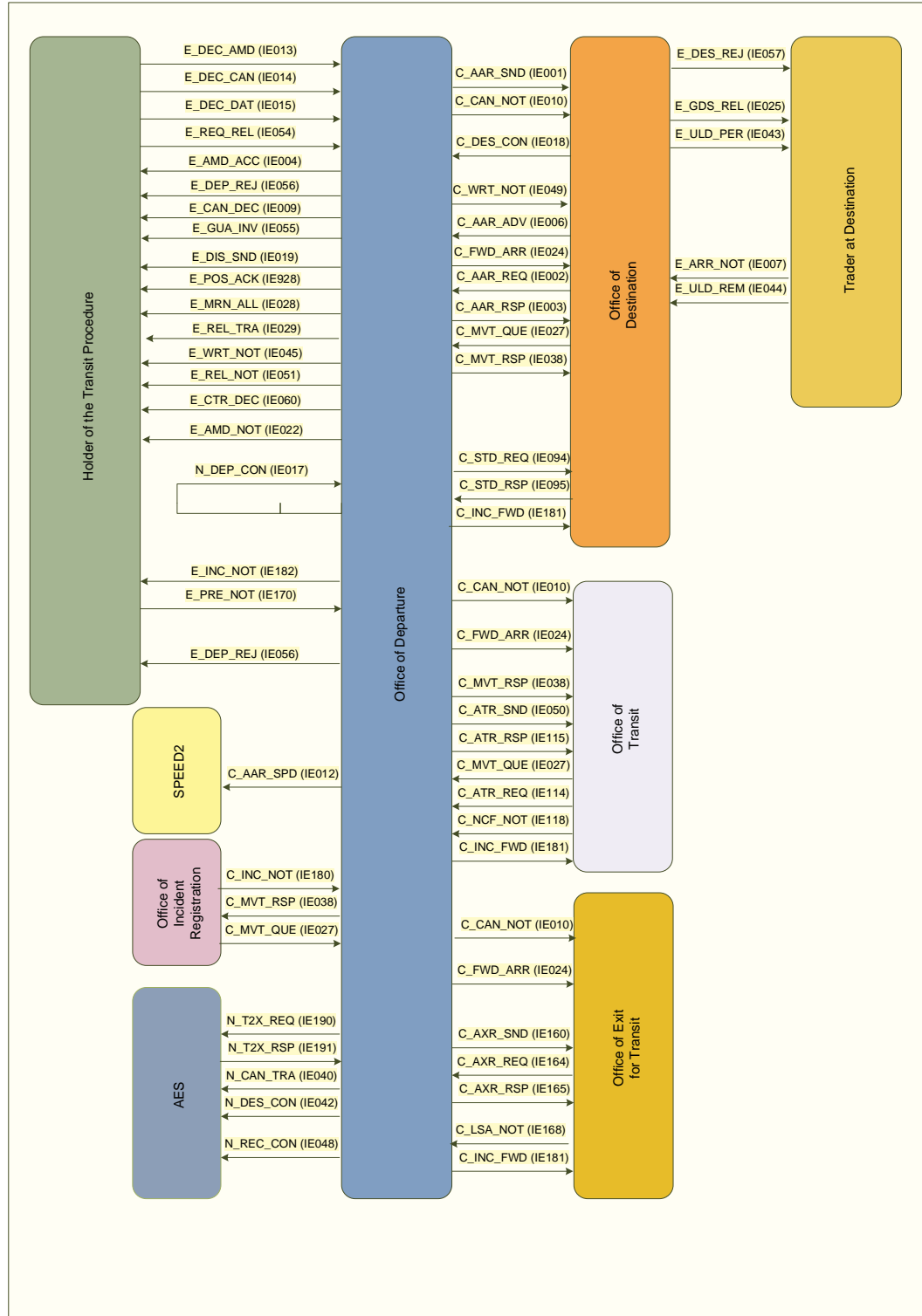
NCTS messages and processes used for eTIR

I. Messages

Overview of the Information Exchange and roles regarding the NCTS-P5 Core Business:

Figure II.I

NCTS-P5 Information Exchange overview



The above diagram highlights in which domain the different exchanges are happening. A prefix of “C_” denotes exchanges in the Common Domain (between National Administrations), while a prefix of “E_” denotes exchanges in the External Domain (between National Administrations and Traders). A prefix of “N_” stands for exchanges that are purely local to a National Administration (National Domain): this means local data capture in a National Administration.

To complement the above diagram, the full names of all messages used in NCTS-P5 are available at: https://unece.org/sites/default/files/2021-07/List_of_NCTS_Messages%28DDNTAv5.14.00_SfA%29.xlsx

National Domain refers to the National Administration’s application, the underlying infrastructure, the network and the Information Exchanges within the National Administration. These Information Exchanges are governed by the National Administration.

External Domain refers to the network and the Information Exchanges between a National Administration and the Economic Operators interacting with it. These Information Exchanges are governed by the National Administration.

Common Domain consists of two major parts:

- the infrastructure and the services for exchanging information between all the National Administrations (i.e. the EU countries and the other contracting parties to the Convention on Common Transit, Andorra and San Marino) and also the European Commission (DG TAXUD, OLAF).
- the Central Services, the applications developed and managed by DG TAXUD (e.g. CS/RD2).

The Common Domain is the guarantee offered by the European Commission for security, integrity, consistency and business continuity of the Customs operations.

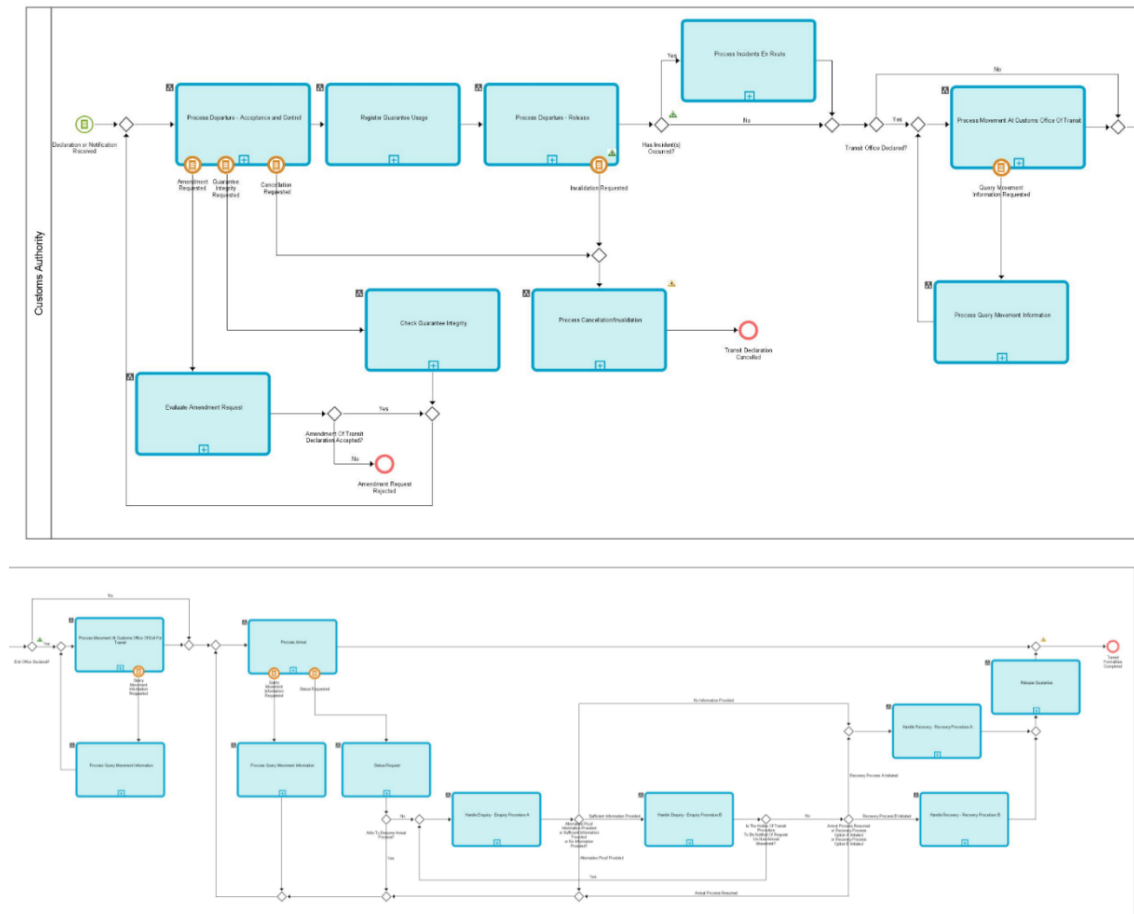
For the purpose of the Proof of Concept, the following messages are used to exchange information with the eTIR international system:

- IE018 (C_DES_CON) Destination Control Results: used to notify the Customs Office of Departure of the control results recorded at the Customs Office of Destination.
- IE029 (E_REL_TRA) Release for Transit: used to communicate to the Holder of the Transit Procedure that the movement was released for Transit.
- IE045 (E_WRT_NOT) Write-off Notification: notifies the Holder of the Transit Procedure that the movement is written-off.
- IE056 (E_DEP_REJ) Rejection from Office of Departure: the Holder of the Transit Procedure is notified in case the declaration validation fails and the movement is rejected.
- IE200 (C_GUA_CHE) Guarantee Check: used to check the integrity and the validity of the guarantee.
- IE203 (C_GUA_USE) Guarantee Use: used to notify the Office of Guarantee with the information about the guarantees which are to be checked out and registered.
- IE928 (E_POS_ACK) Positive Acknowledge: used to inform the Holder of the Transit Procedure that the declaration has been received by the Customs Authorities and the validation has been successful.

II. Processes

1. Transit Core Business Master Process

Figure II.II
NCTS-P5 core business process



The above diagram highlights the overview of the NCTS core business process.

In the following sections, the most relevant processes for the Proof of Concept are described.

2. Process Accept declaration

Accept Declaration

Process: L4-TRA-01-01-01

Organisation: National Customs Administration

Location: Customs Office of Departure

Constraint:

If NCTS is also used for the purpose of safety and security and the Customs Office of Departure is located in the Safety and Security Area or in case safety and security data are lodged in a CTC country and the Customs Office of Transit is the Customs Office of First Entry into the Safety and Security Area, then full safety and security related risk analysis for all the goods shall be performed additionally within the prescribed time limits.

Description:

The declaration data must be submitted (IE015) by electronic means to the Customs Office of Departure (except where the Business Continuity Procedure applies (Annex 72-04 of IA)).

The Holder of the Transit Procedure must provide a Local Reference Number (IE015.TRANSIT OPERATION. LRN) that allows the Holder of the Transit Procedure and the Customs Office of Departure Officer to reference the data in the NCTS before acceptance of the transit declaration. The Holder of the Transit Procedure shall specify whether the NCTS declaration shall be used for the purpose of safety and security (IE015.TRANSIT OPERATION. 'Security' is set to '1' (ENS), or '2' (EXS) or '3' (ENS and EXS) or not (IE015. TRANSIT OPERATION. 'Security' is set to '0' (Not used for safety and security purposes')). NCTS validates data contained in IE015 and performs checks if the provided LRN is unique. In case declaration validation fails (IE015 is rejected), the Holder is notified via IE056 (rejection reason included IE056.FUNCTIONAL ERROR. Error Reason).

Upon validation completion and in case the Country of Departure is EU MS, where an EORI number or a third country unique identification number (TCUIN) is declared, NCTS validates it against EOS (Economic Operators system) and completes the Trader data in the declaration. If the EORI number or the third country unique identification number (TCUIN) is not valid, the transit declaration will be rejected (IE056). Where a Holder of the Transit Procedure Identification Number is declared whose country code does not belong to EU MS, NCTS does not validate it against EOS but checks its existence later against the Guarantee Management System.

In case of valid IE015, the Customs Office of Departure sends a positive acknowledgement (IE928) to the Holder of the Transit Procedure. If upon the submission of the transit declaration, the goods of the consignment are also presented and all other checks are completed, the transit declaration is accepted and the MRN is generated and communicated to the Holder of the Transit Procedure (IE028). The case when the goods are not presented at the time when the transit declaration is submitted to the Customs Office of Departure is analysed below.

Acceptance of Declaration Declared Under Normal Procedure:

When a Transit declaration is submitted (IE015) under normal procedure (IE015.AUTHORISATION.Type = 'C521' is not present), NCTS checks whether the location of goods where the consignment can be controlled is declared (IE015. LOCATION OF GOODS is present). If this is the case the declared location of goods is manually validated by the Customs Officer. In case no location of goods is present in the transit declaration, then the goods need to be presented to the premises of the Customs Office of Departure.

If an invalid location of goods is declared, the transit declaration is rejected, and the Holder of the Transit procedure is notified (IE056) that the declaration is invalid with the reason of the rejection. The process ends at this point. Upon communication of Positive Acknowledgement (IE928), NCTS registers whether Goods are present or not where there are two options:

- If Goods are presented upon initial submission of the transit declaration, the Customs Office of Departure accepts the declaration and the MRN of the Transit Operation is communicated (IE028) to the Holder of the Transit Procedure.
- If Goods are not presented upon initial submission of the transit declaration, the Office of Departure generates the MRN (i.e. Master Reference Number), but it is not communicated to the Holder of the Transit Procedure until the acceptance of the transit movement. The MRN (i.e. Master Reference Number) is generated so as to be used internally by the Customs Office of Departure for risk analysis purposes. NCTS requests and records Risk Analysis Results and the Customs Officer decides whether to control or not the Goods prior to presentation. This decision is recorded in NCTS and the timer "Awaiting for Presentation Notification" (30 days duration) is initiated. In addition, in case of positive decision to control then NCTS sends message IE060 "Control Decision Notification" to the Holder of the Transit Procedure (and only in case he/she is AEO) to notify him/her on the Goods control.
 - If the timer "Awaiting for Presentation Notification" expires and Goods are not yet presented, then the Transit Declaration (IE015) is rejected and NCTS notifies the Holder of the Transit Procedure with message IE056 "Rejection from Office of Departure".
 - If Goods are presented before the timer "Awaiting for Presentation Notification" expires, the Holder of the Transit Procedure notifies the Customs Office of Departure with an IE170 "Transit Presentation Notification" which is validated by NCTS. Following the reception of the Presentation Notification (IE170) message, the re-validation of the full Transit Declaration information is performed (in terms of syntax and R/Cs), considering the initial data (IE015) and any latest corrections (IE013) as well as reference data validation (based on the date of reception) by the time the IE170 is received:

- IE170 is not valid, and thus it is rejected, but IE015 is still valid. IE170 is rejected and NCTS notifies the Holder of the Transit Procedure with message IE056. The Holder of the Transit Procedure is able to resend another IE170, only in case the timer “Awaiting for Presentation Notification” has not yet expired;
- The re-validation declaration data (IE015 + possible IE013 + IE170) is not valid, and as result both IE170 and IE015 are rejected. NCTS notifies the Holder of the Transit Procedure with message IE056 and the Transit Declaration is also rejected;
- In case validation results are positive, IE170 is recorded in NCTS and the timer “Awaiting for Presentation Notification” stops. The Customs Office of Departure accepts the declaration and the MRN is communicated (IE028) to the Trader at Departure.

Acceptance of Declaration Declared Under Simplified Procedure:

When the transit declaration is submitted (IE015) under simplified procedure (IE015.AUTHORISATION.Type = 'C521' & TRANSIT OPERATION.Limit date is present), NCTS checks that the Holder of the Transit Procedure who is responsible for the declaration (IE015. HOLDER OF THE TRANSIT PROCEDURE. 'Holder of the Transit Procedure identification n°') is indeed authorised to use simplified procedure at that Customs Office of Departure.

NCTS checks also the declared 'Location of goods' (IE015. LOCATION OF GOODS) where Customs can control the consignment. There are 2 options:

(a) The Holder of the Transit Procedure has not declared an 'Authorised place' (IE015. LOCATION OF GOODS.Type Of Location is not 'B'): in this case NCTS considers that the location of goods is the one specified in the authorisation for the Customs Office of Departure;

(b) The Holder of the Transit Procedure has declared an 'Authorised place' (IE015. LOCATION OF GOODS.Type Of Location is 'B'): in this case NCTS checks it against the various authorised places, for the Customs Office of Departure in question, specified in the authorisation.

When the Holder of the Transit Procedure uses seals (IE015.TRANSPORT EQUIPMENT.SEAL.Identifier) then NCTS checks them against the seals mentioned in the authorisation. NCTS also checks the type of goods in order to be sure that none of them is excluded from the authorisation.

If the Holder of the Transit Procedure is not authorised to use simplified procedure or if he/she has declared an invalid 'Authorised place' (including the case of no indication of one location amongst the several authorised locations for the Customs Office of Departure in question) or invalid seals, NCTS rejects the declaration and notifies (IE056) the Holder of the Transit Procedure that the declaration is invalid, giving the reason of the rejection.

When the declaration is valid, a positive acknowledge is communicated (IE928) to the Trader and the declaration data is recorded in the NCTS. NCTS registers the decision if there is a presentation notification and respective results are recorded in the NCTS where there are two options:

- If Goods are presented upon initial submission of the transit declaration, the Customs Office of Departure accepts the transit declaration and the MRN is communicated (IE028) to the Holder of the Transit Procedure.
- If Goods are not presented upon initial submission of the transit declaration, the Office of Departure generates the MRN (i.e. Master Reference Number), but it is not communicated to the Holder of the Transit Procedure until the acceptance of the transit movement. The MRN (i.e. Master Reference Number) is generated so as to be used internally at the Office of Departure for risk analysis purposes. NCTS requests and records Risk Analysis Results and the Customs Officer decides whether to control or not the Goods prior of presentation. This decision is recorded in NCTS and the timer “Awaiting for Presentation Notification” (30 days duration) is initiated. In addition, in case of positive decision to control then NCTS sends message IE060 "Control Decision Notification" to the Holder of the Transit Procedure (and only in case he/she is AEO) to notify him/her on the Goods control.
 - If the timer “Awaiting for Presentation Notification” expires and Goods are not yet presented, then the Transit Declaration (IE015) is rejected and NCTS notifies the Holder of the Transit Procedure with message IE056 “Rejection from Office of Departure”.
 - If Goods are presented before the timer “Awaiting for Presentation Notification” expires, the Holder of the Transit Procedure notifies the Customs Office of Departure with an IE170

Accept Declaration

Process: L4-TRA-01-01-01

“Transit Presentation Notification” which is validated by NCTS. Following the reception of the Presentation Notification (IE170) message, the re-validation of the full Transit Declaration information is performed (in terms of syntax and R/Cs), considering the initial data (IE015) and any latest corrections (IE013) as well as reference data validation (based on the date of reception) by the time the IE170 is received:

- IE170 is not valid, and thus it is rejected, but IE015 is still valid. IE170 is rejected and NCTS notifies the Holder of the Transit Procedure with message IE056. The Holder of the Transit Procedure is able to resend another IE170, only in case the timer “Awaiting for Presentation Notification” has not yet expired;
- The re-validation declaration data (IE015 + possible IE013 + IE170) is not valid, and as result both IE170 and IE015 are rejected. NCTS notifies the Holder of the Transit Procedure with message IE056 and the Transit Declaration is also rejected;
- In case validation results are positive, IE170 is recorded in NCTS and the timer “Awaiting for Presentation Notification” stops. The Customs Office of Departure accepts the declaration and the MRN is communicated (IE028) to the Holder of the Transit Procedure. When the declaration is submitted (IE015) under simplified procedure, the timer “Awaiting for automatic release” is started to progress towards no control decision and guarantee registration after the timer has expired.

Final situation:

If the declaration is invalid or if the location where the goods of the consignment can be controlled is invalid or it is not specified in the Authorisation (simplified procedure), the declaration is rejected and the IE056 message is sent to the Holder of the Transit Procedure. The state of the Transit Operation is set to ‘Rejected’.

In the other cases and only after the presentation of goods (if not present already by time the IE015 is received), the declaration is accepted and the MRN is communicated (IE028) to the Holder of the Transit Procedure. The result of the risk analysis is known. The state of the Transit Operation is set to ‘Accepted’.

3. Process Issue Transit transaction data (goods are released for Transit)

Issue Transit transaction data

Process: L4-TRA-01-02-02

Organisation: National Customs Administration

Location: Customs Office of Departure

Constraint:

If NCTS is also used for the purpose of safety and security, then full safety and security related risk analysis for all the goods shall be performed within the prescribed time limits and can be communicated between involved offices under following condition:

- All involved offices are located inside the Safety and Security Area.

Description:

The three following dates are defined in the appropriate way when the movement is issued:

- The expected arrival date of the movement at the Customs Office of Destination (time allowed for the movement) is based only on the countries of departure and destination. The timer “Awaiting of Receipt of Arrival Advice” is started. If no arrival advice has arrived by the date fixed and the timer “Awaiting of Receipt of Arrival Advice” is expired, an enquiry will have to be started according to Handle Enquiry (process starts with L4-TRA-01-05 Status Request).
- The date when the control results are expected to be returned from the Customs Office of Destination. The timer “Awaiting Receipt of Control Results” is started. This date is the expected arrival date plus a fixed number of days commonly defined by the national administrations (6 or 12 calendar days). If no control result is received by the date fixed and the timer “Awaiting Receipt Of Control Results” is

expired, an enquiry will have to be started according to “Handle Enquiry” (process starts with L4-TRA-01-05 Status Request).

- The expected arrival date of the movement at the Offices of Transit [CUSTOMS OFFICE OF TRANSIT (DECLARED).Arrival date and time (estimated)]
 - If the Transit declaration is used for security purposes (TRANSIT OPERATION. Security = '1'(ENS) and
 - If the Customs Office of Transit is located in an EU Member State.

This piece of information is used for risk analysis purposes in the context of safety and security.

The anticipated arrival record (AAR) is sent (IE001) to the Declared Customs Office of Destination [IE015. CUSTOMS OFFICE OF DESTINATION (DECLARED)].

If the Transit declaration is used for security purposes (TRANSIT OPERATION. Security = '2' (EXS) or '3' (ENS and EXS), a notification of the Anticipated Exit for Transit record (AXR) is sent (IE160) to the Customs Office of Exit for Transit. The Customs Office of Exit for Transit is responsible for the record of the risk analysis results, the record of control decision and the control results and whether the transit movement is allowed to leave the Safety and Security Area.

In addition, and only for the EU Member States, in case the Goods are released for Transit, and only under external transit, NCTS identifies if Transit follows Export and the destination control results to AES (IE042) message is sent to AES. This concludes the interaction between NCTS and AES and there is no further interconnection between them.

An anticipated transit record (ATR) is sent (IE050) to each declared Customs Office of Transit [IE015. CUSTOMS OFFICE OF TRANSIT (DECLARED)].

The risk analysis results shall be included in the anticipated transit record (IE001/IE050) under the following conditions:

- IE001:
 - The Customs Office of Departure and the Customs Office of Destination are both located inside the Safety and Security Area.
- IE050:
 - The Customs Office of Departure and the Customs Office of Transit are both located inside the Safety and Security Area.

The release information is communicated (IE029) to Holder of the Transit Procedure. The release information (IE029) corresponds always to the current (latest) version of the Transit operation data. This means that it contains the amended declaration data (if any) and/or the revised declaration data after a control (if any) and completed with the departure control results. At the request of the Holder of the Transit Procedure the NCTS Accompanying Document or MRN of Transit Declaration in an electronically readable format (TAD) is printed under the responsibility of the Customs Office of Departure, either at the Customs Office of Departure or at the Authorised Consignor's premises.

Final situation:

The Transit transaction is issued; the NCTS Accompanying Document or MRN of Transit Declaration in an electronically readable format is printed and provided on the request of the Holder of Transit Procedure; the movement may go to destination; the state of the Transit Operation is set to 'Movement released'. In case Transit follows Export, and only under external transit, the Customs Office of Exit is informed by the Customs Office of Departure with the destination control results to AES (IE042) message.

4. Process Arrival notification

Organisation: National Customs Administration

Location: Actual Customs Office of Destination

Constraint:

On reception of an arrival notification under simplified procedure, the Customs Office of Destination has to respond within the pre-defined time period defined in the authorisation of Authorised Consignee.

Description:

The consignment has reached its destination, or the Customs Office of Destination is notified (IE007) by the Authorised Consignee or by the Holder of Transit procedure representative of the arrival of a consignment.

When an arrival notification (IE007) is presented under simplified procedure (IE007.TRANSIT OPERATION. Simplified procedure flag = 'Yes'), NCTS checks that the Trader who communicates the arrival (IE007.TRADER AT DESTINATION.Identification number) is indeed authorised (Authorised Consignee) to use simplified procedure at that Customs Office of Destination and checks that the location where the consignment can be controlled (IE007.CONSIGNMENT.LOCATION OF GOODS.Type of location = 'B') is amongst the various authorised places specified in the authorisation.

When an arrival notification (IE007) is presented under normal procedure (IE007.TRANSIT OPERATION. Simplified procedure flag = 'No'), then the location where the consignment can be controlled is either:

- At the Customs Office of Destination, when IE007. 'Type Of Location' is not 'A' or 'C' or 'D';
- At a designated location of goods, when IE007. 'Type Of Location' = 'A' and acceptable by the Customs Office, the system will notify the Customs Officer that he/she has to validate manually the location, no further processing is foreseen in NCTS to handle this kind of locations;
- At an approved place, when IE007. 'Type Of Location' = 'C'; in this case NCTS checks it against the various Customs sub places acceptable for the Customs Office of Destination.

When the arrival is invalid, NCTS rejects the arrival notification and notifies (IE057) the Trader at Destination that the presentation is invalid with the reason of the rejection.

When the arrival is valid, NCTS looks for the movement information referenced by the MRN brought in by the arrival notification (IE007.TRANSIT OPERATION.MRN).

If the movement information is not available either in case of international diversion or in case the consignment stops at this Office and the Anticipated Arrival Record has not been previously received (or is not nationally available), NCTS requests (IE002) that information from the Country of Departure.

If an AAR request is made (IE002) to the Country of Departure, then this process ends by recording that the AAR has been requested.

If no diversion occurred, NCTS notifies (IE006) the Customs Office of Departure with the arrival advice and the arrival is recorded into NCTS. In case of simplified procedure, the timer "Wait for automatic unloading permission" is started to protect a non-decision to control the goods that could be taken by the Customs Officer.

Final situation:

If the arrival notification is not valid then it is rejected; the state of the Transit Operation is changed to 'Diversion rejected';

If there is an international diversion or it is decided to stop the movement (e.g. after registration of incidents En route), the Actual Customs Office of Destination sends an Anticipated Arrival Record request (IE002) and awaits the Anticipated Arrival Record information (IE003) from the Customs Office of Departure; the state of the Transit Operation is set to 'AAR Requested';

In the other cases, the arrival is accepted and recorded into NCTS, the Customs Office of Departure is notified of the arrival, the state of the Transit Operation is set to 'Arrival Accepted'.

The risk analysis is carried out (common and/or national) and the result is recorded in NCTS.

5. Process Record control results

Record control results

Process: L4-TRA-01-03-11

Organisation: National Customs Administration

Location: Actual Customs Office of Destination

Constraint:

Description:

In case control is decided, the Customs Officer at the Customs Office of Destination records the results of control in NCTS or (only under Simplified Procedure) control may be decided after receiving unloading remarks (IE044) from an Authorised Consignee and these are translated to control results of type 'A' or 'B'.

In case control results indicate major discrepancies, these are recorded into the destination control results sent to the Customs Office of Departure (IE018. CONTROL RESULT.Code = 'B1'). In case of major discrepancies, the Customs Office of Destination must always wait for the resolution of discrepancies performed at the Customs Office of Departure. Additionally, the Trader at Destination is notified that the goods cannot be fully released yet with the goods release notification (IE025) having the appropriate release indicator (IE025.TRANSIT OPERATION.Release indicator is equal to '2-Partial release' or '4-No release of goods').

Even though the transit movement is not closed at the Office of Departure (i.e. not discharged), at the discretion of the Office of Destination, some of the goods at the Office of Destination can be released from Transit. If the Office of Destination is located within EU, and despite the fact that the major discrepancies are not yet resolved, those goods that can be released to the next procedure:

(a) under the External transit, the goods are moved to Temporary Storage, before a possible release to free circulation;

(b) under the Internal transit, the Union goods do not need to be released for free circulation, but they can proceed to other business operations (e.g. processing, or sale).

In case control results indicate no or minor discrepancies, these are recorded into the destination control results sent to the Customs Office of Departure (IE018. CONTROL RESULT.Code = 'A1' or 'A5'), then NCTS records that the goods are ready for the next procedure / activity (e.g. temporary storage, import procedure). Additionally, the Trader at Destination is notified that the goods are fully released with the goods release notification (IE025) having the appropriate release indicator (IE025.TRANSIT OPERATION.Release indicator = '1-Full release – Movement closed').

Excess goods in the transit declaration may also be discovered by the Actual Office of Destination. The term 'goods in excess' refers to the goods discovered while performing control at the Actual Office of Destination whose:

(a) commodity code is not included in the original declaration message received by the Actual Office of Destination (i.e. through the 'Anticipated Arrival Record' (IE001/IE003); and/or

(b) commodity code is included in the original declaration (i.e. through the 'Anticipated Arrival Record' (IE001/IE003), but whose actual net mass exceeds the declared net mass as per the original transit declaration.

In case of 'goods in excess', the following control result codes may be assigned to the whole transit declaration also to be sent to the Office of Departure through the destination control results (IE018):

(a) 'B1' control result code: Customs Debt incurred and thus must be included in the destination control results (IE018) meaning that:

- (i) All goods (declared and delivered) are released from transit;
- (ii) Recovery procedure should be initiated due to the existence of excess goods (i.e. competency to be determined based on which authority can collect the debt);

Movement is not written off until recovery is completed.

(b) 'A5' control result code: Customs Debt incurred but extinguished and thus 'A5' control result code must be included into the destination control results (IE018) meaning that:

- (i) All goods (declared and delivered) are released from transit;

*Record control results**Process: L4-TRA-01-03-11*

- (ii) Transit movement can be written off at the Office of Departure (i.e. release of guarantee is also performed);

- (iii) Excess goods are placed in a subsequent customs procedure.

Final situation:

Control results are stored into NCTS. The Customs Office of Departure is notified of the control results; if there are no or minor discrepancies, the state of the Transit Operation is set to 'Goods released'; if there are major discrepancies, these must first be resolved by the Customs Office of Departure; the state of the Transit Operation is set to 'Waiting for discrepancies resolution'.

6. Process Release goods from Transit

*Release goods from Transit**Process: L4-TRA-01-03-12***Organisation:** National Customs Administration**Location:** Actual Customs Office of Destination**Constraint:****Description:**

In case the destination control results sent to the Customs Office of Departure indicate no or minor discrepancies (IE018. CONTROL RESULT.Code = 'A1' or 'A5'), then NCTS records that the goods are ready for the next procedure / activity (e.g. temporary storage, import procedure). Even when the destination control results indicate major discrepancies (IE018. CONTROL RESULT.Code = 'B1'), at the discretion of the Office of Destination, some of the goods at the Office of Destination can be released from Transit. However, the movement is not written off at the Customs Office of Departure; the liability on the Holder of the Transit Procedure remains until the resolution of the major discrepancies.

In case the destination control results sent to the Office of Departure contain major discrepancies (IE018. CONTROL RESULT.Code = 'B1'), the Actual Office of Destination expects the discrepancies solved notification (IE049) from the Office of Departure. When the discrepancies solved notification (IE049) is received, the Actual Office of Destination determines whether these major discrepancies are resolved or not:

- If discrepancies are resolved (IE049.TRANSIT OPERATION.Discrepancies resolved = "1") within thirteen calendar days, the goods can be released from transit. NCTS records that the goods are ready for the next procedure / activity (e.g. temporary storage, import procedure). Additionally, the Trader at Destination is notified that the goods are fully released with the goods release notification (IE025) having the appropriate release indicator (IE025.TRANSIT OPERATION.Release indicator = '1-Full release – Movement closed');
- If discrepancies remain unresolved after thirteen calendar days (IE049.TRANSIT OPERATION.Discrepancies resolved = "3"), recovery most probably needs to be initiated since the major discrepancies are not yet resolved; the state of the transit operation is set to "Under recovery decision"; an additional discrepancies solved notification (IE049) may be received afterwards indicating whether discrepancies are resolved (IE049.TRANSIT OPERATION.Discrepancies resolved = "1") or not resolved and thus recovery needs to be initiated (IE049.TRANSIT OPERATION.Discrepancies resolved = "2");

If discrepancies are not resolved (IE049.TRANSIT OPERATION.Discrepancies resolved = "2"), recovery needs to be initiated; the state of the transit operation is set to "Under recovery decision".

Final situation:

In case of no / minor discrepancies, or in case of major discrepancies that are resolved by the Customs Office of Departure, the goods are released from transit (the Trader can dispose of the goods); the state of the Transit Operation is set to 'Goods released'. The goods are ready for the next procedure / activity (e.g. temporary storage, import

*Release goods from Transit**Process: L4-TRA-01-03-12*

procedure). In case of major discrepancies that are not resolved by the Customs Office of Departure, then recovery is justified; the state of the Transit Operation is set to “Under recovery decision”.

7. Process Incidents en route

*Process Query Movement Information**Process: L4-TRA-01-11*

Organisation: National Customs Administration

Location: Customs Office of Incident Registration

Constraint:

- Nearest Customs Office to the place of the incident occurred is notified of the incident.
- In justified cases, Customs Officer may decide to perform a control of the goods (part of decision by Customs to continue or end the movement).

Description:

The process is triggered when an En-route incident occurs to a Transit movement. Such an incident can be:

- (a) the carrier is obliged to deviate from the itinerary prescribed in accordance with Article 298 of UCC/IA Regulation due to circumstances beyond his control;
- (b) seals are broken or tampered with in the course of a transport operation for reasons beyond the carrier's control;
- (c) under the supervision of the customs authority, goods are transferred from one means of transport to another means of transport;
- (d) imminent danger necessitates immediate partial or total unloading of the sealed means of transport;
- (e) there is an incident which may affect the ability of the holder of the procedure or the carrier to comply with his obligations;
- (f) any of the elements constituting a single means of transport as referred to in Article 296(2) UCC/IA is changed.

The carrier presents without undue delay after the incident the goods together with the NCTS Accompanying Document or MRN of Transit Declaration in an electronically readable format, to the nearest customs authority (Customs Office of Incident Registration) of the National Administration in whose territory the means of transport is located.

In case the Customs Office of Incident Registration was not included in the declared Transit movement and Movement Information is not available, then it requests the consignment information from the Customs Office of Departure based on the MRN provided (see Process L4-TRA-01-11-Process Query Movement Information).

If the Movement information is available, then the Customs Office of Incident Registration proceeds to register the incident and notify the Customs Office of Departure (IE180) and then decide whether the transit movement can continue its journey or not. If the Customs Officer decides that the transit movement cannot continue then the Customs Office of Incident Registration becomes the actual Customs Office of Destination and starts performing the relevant transit formalities (see Process L4-TRA-01-03-Process Arrival).

If the Customs Office of Incident Registration decides that the transit movement can continue, then the transit movement continues its journey.

If an incident occurs at an involved with the transit movement Customs Office of Transit or at Customs Office of Exit for Transit or at Customs Office of Destination, then this particular office acts first as a Customs Office of Incident Registration. and then as a Customs Office of Transit or as a Customs Office of Exit for Transit or as a Customs Office of Destination accordingly.

Final situation:

- The movement continues its journey after the incident registration.

Process Query Movement Information

Process: L4-TRA-01-11

- When the Transit cannot continue the Customs Office where the Incident was registered performs the Actual Customs Office of Destination formalities.

The Incident information is registered to the system.

Handle Incident Information

Process: L4-TRA-01-12-01

Organisation: National Customs Administration

Location: Customs Office of Departure

Constraint:

Description:

The Customs Office of Departure is notified (IE180) by the Customs Office of Incident Registration of the incident.

When Incident Information is recorded, Customs Office of Departure forwards to the involved Offices the incident(s) notification (IE181) based on the following conditions:

- In case a Customs Office of Transit is involved and identifies that no (IE118) Notification Crossing Frontier -information was received earlier for that particular movement and no IE024 was sent, Customs Office of Departure notifies the particular Customs Office of Transit of the incident information (IE181).
- In case a Customs Office of Exit for Transit is involved and identifies that no (IE168) Notification Leaving Security Area -information was received earlier for that particular movement and no IE024 was sent, Customs Office of Departure notifies the particular Customs Office of Exit for Transit of the incident information (IE181).
- In case no Arrival Advice (IE006) and/or no Destination Control Results (IE018) for that particular movement and no IE024 was sent, Customs Office of Departure notifies the particular Declared/Actual Customs Office of Destination of the incident information (IE181).

Customs Office of Departure also notifies the Holder of the Transit Procedure (IE182) in case the transit declaration data was received electronically.

Final situation :

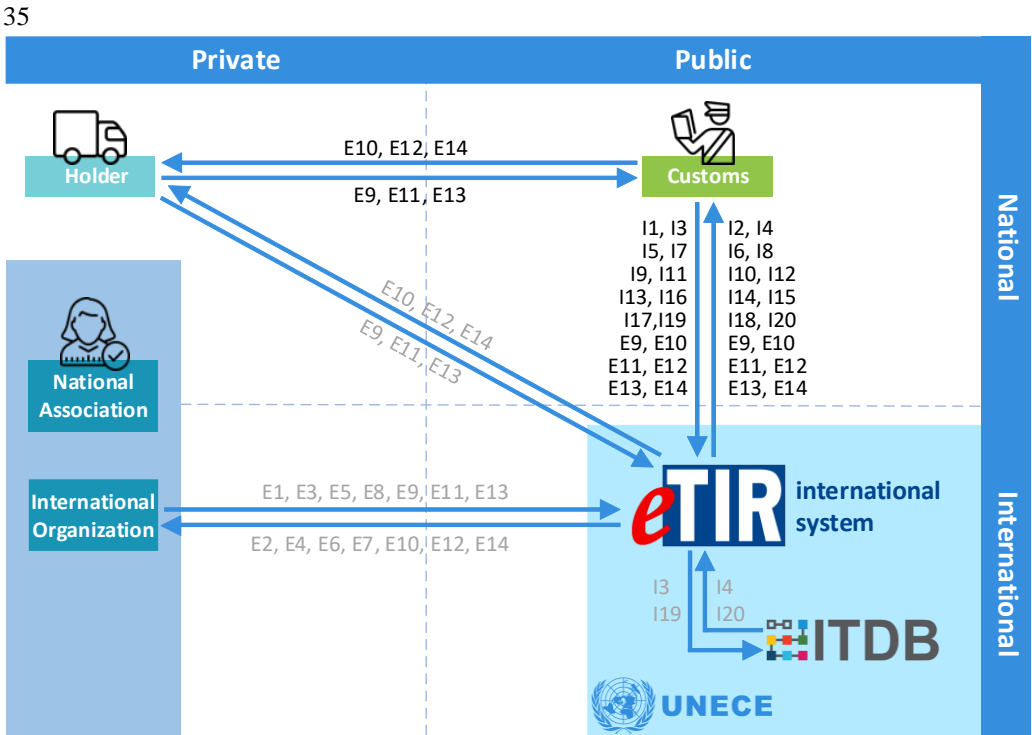
Incident information is communicated to the involved Customs Offices and to the Holder of the Transit Procedure.

Annex III

eTIR messages and processes

I. Messages

Figure III.I
eTIR Information Exchange overview



The figure above shows all messages exchanged between the actors and are described in detail both in the eTIR functional and technical specifications. The messages displayed in black are the ones that need to be implemented and processed by customs. The only exceptions that remain optional are the following:

- From Customs to the eTIR international system: I3, E9, E11, E13
- From the eTIR international system to Customs: I4, E10, E12, E14
- From the guarantee chain to the eTIR international system: E9, E11, E13
- From the eTIR international system to the guarantee chain: E10, E12, E14

External messages are used to exchange information between customs systems (including the eTIR international system) and other actors (guarantee chain and holder).

External messages

No.	Description	Response to:
E1	Register guarantee This message allows the Guarantee chain to register a guarantee in the eTIR international system.	-
E2	Registration results This message is a response to message E1. It confirms the registration of the guarantee or provides error codes.	E1

<i>No.</i>	<i>Description</i>	<i>Response to:</i>
E3	Cancel guarantee This message allows the Guarantee chain to cancel a guarantee it had previously registered in the eTIR international system.	-
E4	Cancellation results This message is a response to message E2. It confirms the cancellation of the guarantee or provides error codes.	E3
E5	Query guarantee This message allows the Guarantee chain to query the eTIR international system to obtain information on a guarantee it had previously registered.	-
E6	Query results This message is a response to message E5. It provides the information requested regarding the guarantee(s) or error codes.	E5
E7	Notify guarantee chain This message informs the Guarantee chain of the availability of new information concerning a guarantee it has issued.	-
E8	Notification confirmation This message is a response to message E7. It confirms the reception of the notification.	E7
E9	Advance TIR data This message allows the holder to provide customs authorities of departure with all information required to begin a TIR transport.	-
E10	Advance TIR data results This message is a response to message E9. It confirms the reception of the advance TIR data or indicates the errors in the advance TIR data.	E9
E11	Advance amendment data This message allows the holder to send a request to customs authorities to amend the declaration and complement it in case of multiple loading and unloading places.	-
E12	Advance amendment data results This message is a response to message E11. It confirms the reception of the advance amendment data or indicates the errors in the amendment request.	E11
E13	Cancel advance data This message allows the holder to send a request to customs authorities to cancel a previously sent E9 or E11 message.	-
E14	Cancel advance data results This message is a response to message E13. It confirms the reception of the request to cancel advance data or indicates the errors in the cancellation request.	E13

Internal messages refer to the messages exchanged within the customs international environment (between the eTIR international system and national customs system).

Internal messages

<i>No.</i>	<i>Description</i>	<i>Response to:</i>
I1	Accept Guarantee This message allows customs authorities to indicate that they have accepted a guarantee.	-
I2	Acceptance results This message is a response to message I1. It confirms the acceptance of the guarantee.	I1
I3	Get holder information This message allows customs authorities or the eTIR international system to retrieve information about holders in the ITDB.	-
I4	Holder information This message is a response to message I3. It provides the information regarding the holder(s) or error codes.	I3
I5	Query guarantee This message allows customs authorities to query the eTIR international system to obtain information on a guarantee.	-
I6	Query results This message is a response to message I5. It provides the information requested regarding the guarantee(s) or error codes	I5
I7	Record declaration data This message allows customs authorities to record all information related to an accepted declaration or amendments thereto.	-
I8	Record declaration data results This message is a response to message I7. It confirms the recording of the declaration data and returns national references of the countries along the itinerary that received the declaration data.	I7
I9	Start TIR operation This message allows customs authorities to record information related to the start of TIR operations.	-
I10	Start results This message is a response to message I9. It confirms the recording of the start of the TIR operation or error codes.	I9
I11	Terminate TIR operation This message allows customs authorities to record information related to the terminations of TIR operations.	-
I12	Termination results This message is a response to message I11. It confirms the recording of the termination of the TIR operation or error codes.	I11
I13	Discharge TIR operation This message allows customs authorities to record information related to the discharge of TIR operations.	-

<i>No.</i>	<i>Description</i>	<i>Response to:</i>
I14	Discharge results This message is a response to message I13. It confirms the recording of the discharge of the TIR operation or error codes.	I13
I15	Notify customs This message is used by the eTIR international system to send to customs authorities declaration data and relevant TIR operation data.	-
I16	Notification confirmation This message is a response to message I15. It confirms the reception of the notification and, when receiving declaration data, provides a national reference.	I15
I17	Refusal to start a TIR operation This message allows customs authorities to record information related to the refusal to start a TIR operation.	-
I18	Refusal to start results This message is a response to message I17. It confirms the reception of the refusal to start a TIR operation.	I17
I19	Check customs offices This message allows customs authorities or the eTIR international system to retrieve information about customs offices in the ITDB.	-
I20	Customs offices validation This message is a response to message I19. It provides the information regarding customs offices or error codes.	I19

II. Processes

A. Accept guarantee

<i>Name</i>	<i>Accept guarantee use case</i>
Description	The customs authorities notify the eTIR international system that the guarantee has been accepted.
Actors	Customs authorities
Performance Goals	-
Preconditions	The guarantee must be registered and its status must be “issued”. The customs authorities at departure must also have received a TIR declaration. The holder must be registered in ITDB and authorized.
Postconditions	The guarantee status is changed to “in use” or remains at its current status.
Scenario	Accept guarantee Customs authorities send a secure electronic message to the eTIR international system informing that the guarantee has been accepted for a TIR transport.
Alternative Scenario	Fallback scenario

<i>Name</i>	<i>Accept guarantee use case</i>
	If electronic messages cannot be sent to the eTIR international system by means of the web services, the accompanying document will serve as a proof that the guarantee has been accepted.
Special requirements	-
Extension Points	-
Requirements Covered	-

B. Query guarantee

<i>Name</i>	<i>Query guarantee use case</i>
Description	Customs authorities or a guarantee chain request the eTIR international system information on issued guarantees.
Actors	Guarantee chain, Customs authorities
Performance Goals	-
Preconditions	-
Postconditions	-
Scenario	<p>Query the guarantee</p> <p>A guarantee chain or customs authorities send a secure electronic query to the eTIR international system. The eTIR international system extracts all data from the database concerning the guarantee and combines them with data on the holder (get holder info) and sends all information to customs authorities or to the guarantee chain. If the guarantee has not yet been registered, the customs authorities or the guarantee chain are informed accordingly.</p>
Alternative Scenario	<p>Fallback scenario</p> <p>Customs authorities can obtain information about the transport from the accompanying document and can use the web services or consult the web application developed by the guarantee chain.</p>
Special requirements	A guarantee chain can only query information on those guarantees which it has issued and which have been registered by the eTIR international system. The eTIR international system also provides the guarantee chain with information on TIR transports attached to the guarantees it has issued.
Extension Points	-
Requirements Covered	-

C. Record declaration

<i>Name</i>	<i>Record declaration data use case</i>
Description	The declaration data is recorded to the eTIR international system.
Actors	Customs authorities

Name	Record declaration data use case
Performance Goals	
Preconditions	<p>The guarantee must have been accepted. The holder should be authorized and not currently excluded from any country along the itinerary.</p> <p>The declaration has been accepted by customs authorities.</p>
Postconditions	-
Scenario	<p>First customs office of departure</p> <p>The first customs office of departure will send the declaration data to the eTIR international system after having accepted the declaration and sealed the loading unit. The eTIR international system provides all subsequent countries indicated in the itinerary and the guarantee chain with the information. Customs authorities will provide the holder with an accompanying document.</p>
Alternative Scenario	<p>Intermediate customs office of departure</p> <p>The intermediate customs office of departure will send all data contained in the declaration to the eTIR international system together with the information on the new seals, after having accepted the declaration and resealed the vehicle or container. The eTIR international system provides all subsequent countries indicated in the itinerary and the guarantee chain with the updated information. Customs authorities will provide the holder with an accompanying document.</p> <p>Intermediate customs office of destination</p> <p>After having sent a termination message and unloaded the goods concerned, the intermediate customs office of destination will send information on the new seals affixed. The eTIR international system provides all subsequent countries indicated in the itinerary and the guarantee chain with the updated information. Customs authorities provide the holder with an updated accompanying document.</p> <p>Customs checks</p> <p>Having removed the seals from the vehicle or container, performed the necessary checks and resealed the vehicle or container, customs authorities send a message to provide the eTIR international system with information on the new seals affixed. The eTIR international system provides all subsequent countries indicated in the itinerary and the guarantee chain with the updated information. Customs authorities provide the holder with an updated accompanying document.</p> <p>Change of itinerary</p> <p>After having been informed by the holder that the routing of the transport has changed, customs authorities send a message to provide the eTIR international system with information on the new itinerary. The eTIR international system provides all subsequent countries indicated in the itinerary and the guarantee chain with the updated information. It also informs the countries removed from the itinerary that the TIR transport will not transit their country. Customs authorities provide the holder with an updated accompanying document.</p> <p>Vehicles change</p> <p>After having been informed by the holder that a new vehicle (usually the tractor unit) will be used, customs authorities send a message to provide the eTIR international system with information on the new vehicle. The eTIR international system provides all subsequent countries indicated in the itinerary and the guarantee chain with the updated information.</p> <p>Rerouting due to a refusal to start</p> <p>After having been refused to start a TIR operation in a country and assuming the guarantee still allows for sufficient TIR operations, the holder can request to</p>

Name	Record declaration data use case
	<p>amend the itinerary in order to use its guarantee to return to the departure or select a new itinerary avoiding the country that refused to start the TIR operation. If Customs accept the amendment of the declaration data, they will record the new declaration data in the eTIR international system. The eTIR international system changes back the guarantee status to “in use” and provides all subsequent countries indicated in the itinerary and the guarantee chain with the updated information.</p> <p>Fallback scenario</p> <p>In case the transmission of information to the eTIR international system fails, the customs authorities nevertheless accept the holder to start the TIR transport. Customs authorities will transmit the electronic data to the eTIR international system at the first opportunity. In the meantime, other customs authorities will obtain the required information from the accompanying document.</p>
Special requirements	
Extension Points	-
Requirements Covered	-

D. Starting of TIR operation

Name	Starting of TIR operation use case
Description	Customs authorities provide the eTIR international system with information regarding the start of a TIR operation.
Actors	Customs authorities
Performance Goals	-
Preconditions	Ensure the validity of the guarantee and the authorization for the holder.
Postconditions	-
Scenario	Customs authorities send a message to the eTIR international system notifying that a TIR operation has started. If the holder is authorized and the guarantee status is “in use”, the eTIR system saves the information and notifies the guarantee chain of the start of a TIR operation. If seals have been applied, removed or changed, the eTIR international system notifies all subsequent countries.
Alternative Scenario	<p>Fallback scenario</p> <p>If electronic messages cannot be exchanged with the eTIR international system, the information regarding the start should be provided on the accompanying document. The status of the guarantee can be queried using the web services or the web application developed by the guarantee chain. Customs authorities will nevertheless send the start message at a later stage.</p>
Special requirements	-
Extension Points	-
Requirements Covered	-

E. Terminate TIR operation

<i>Name</i>	<i>Terminate TIR operation use case</i>
Description	Customs authorities provide the eTIR international system with information regarding the termination of a TIR operation.
Actors	Customs authorities
Performance Goals	-
Preconditions	-
Postconditions	-
Scenario	Customs authorities send a message to the eTIR international system notifying that a TIR operation has terminated. The eTIR system stores the information, changes the status of the guarantee to cancelled in case the guarantee chain has requested cancellation and notifies the guarantee chain of the termination of all TIR operations, including the final termination, providing the data as required by Annex 10 of the TIR Convention. When the termination type is incident or accident, the status of the guarantee is changed accordingly. If seals have been applied, removed or changed, the eTIR international system notifies all subsequent countries.
Alternative Scenario	<p>Fallback scenario</p> <p>If electronic messages cannot be exchanged with the eTIR international system, the information regarding the termination should be provided on the accompanying document. Customs authorities will nevertheless send the termination message at a later stage.</p>
Special requirements	Termination can be made with reservations.
Extension Points	-
Requirements Covered	-

F. Discharge TIR operation

<i>Name</i>	<i>Discharge TIR operation use case</i>
Description	Customs authorities provide the eTIR international system with information regarding the discharge of a TIR operation.
Actors	Customs authorities
Performance Goals	
Preconditions	-
Postconditions	-
Scenario	Customs authorities send a message to the eTIR international system notifying that a TIR operation has been discharged. The eTIR international system stores the information and notifies the guarantee chain of the discharge of the TIR operations constituting a single TIR transport. When all goods have reached their final destination and all TIR operations covered by the guarantee have been discharged, the status of the guarantee is changed to “discharged in all countries”.

Name	Discharge TIR operation use case
Alternative Scenario	Fallback scenario If electronic messages cannot be exchanged with the eTIR international system, customs authorities will nevertheless send the discharge message at a later stage.
Special requirements	-
Extension Points	-
Requirements Covered	-

G. Notify guarantee chain

Name	Notify guarantee chain use case
Description	The eTIR international systems notifies the guarantee chain of changes in the information related to a guarantee it has issued.
Actors	Guarantee chain
Performance Goals	
Preconditions	-
Postconditions	-
Scenario	The eTIR international system notifies the guarantee chain of changes in the information related to a guarantee it has issued by sending an electronic message.
Alternative Scenario	Fallback scenario In case the computer system of the guarantee chain cannot be reached, the eTIR international system will continue to try sending the information. A monitoring system will detect problems and trigger prompt and appropriate reactions.
Special requirements	-
Extension Points	-
Requirements Covered	-

H. Notify subsequent Countries

Name	Notify subsequent Countries use case
Description	The eTIR international system notifies customs authorities of information related to a consignment that will transit their territory.
Actors	Customs authorities
Performance Goals	
Preconditions	-
Postconditions	-

<i>Name</i>	<i>Notify subsequent Countries use case</i>
Scenario	The eTIR international system notifies customs authorities of information related to consignments that will transit their territory by sending them electronic messages.
Alternative Scenario	Fallback scenario In case a national system is not available, the eTIR international system will continue to try sending the information. A monitoring system will detect problems and trigger prompt and appropriate reactions.
Special requirements	-
Extension Points	-
Requirements Covered	-

I. Advance data

<i>Name</i>	<i>Advance data use case</i>
Description	<p>Sending advance data covers 3 cases: sending advance TIR data, sending advance amendment data or cancelling advance data.</p> <p>The holder transmits advance TIR data to the eTIR international system, either directly via a declaration mechanism provided by the customs authorities of his/her country of residence or a private international declaration mechanism, which will then forward the data to the customs authorities of the country of first customs office of departure.</p> <p>Before the declaration is accepted, the holder may send a cancel advance data message to cancel previously sent advance TIR data.</p> <p>Once the declaration has been accepted by customs, the holder may then transmit advance amendment data to request an amendment to the accepted declaration data. The holder may then also send a cancel advance data message to cancel previously sent advance amendment data.</p>
Actors	Holder, Customs authorities, private provider of an international declaration services (e.g. guarantee chain).
Performance Goals	
Preconditions	The holder, the customs system of the country of residence of the holder or the private provider of an international declaration services is registered in the authentication database (see 1.3.2.9).
Postconditions	-
Scenario	.
Alternative Scenario	Fallback scenario In case transmission by means of web services is not available, the holder should use other available declaration mechanisms.
Special requirements	-

<i>Name</i>	<i>Advance data use case</i>
Extension Points	-
Requirements Covered	-

J. Refusal to start TIR operation

<i>Name</i>	<i>Refusal to start a TIR operation use case</i>
Description	Customs authorities provide the eTIR international system with information regarding the refusal to start a TIR operation.
Actors	Customs authorities
Performance Goals	-
Preconditions	-
Postconditions	-
Scenario	Customs authorities send a message to the eTIR international system notifying that they refused to start a TIR operation (including the reason). The eTIR international system saves the information and notifies the guarantee chain of the refusal to start a TIR operation.
Alternative Scenario	<p>Fallback scenario</p> <p>If electronic messages cannot be exchanged with the eTIR international system, the information regarding the refusal to start a TIR operation should be provided on the accompanying document. Customs authorities will nevertheless send the refusal to start electronic message at a later stage.</p>
Special requirements	-
Extension Points	-
Requirements Covered	-

K. Accident or incident

<i>Name</i>	<i>Accident or incident use case</i>
Description	An Accident or incident happens en route.
Actors	Customs authorities, other authorities en route (e.g. police)
Performance Goals	-
Preconditions	-
Postconditions	-
Scenario	Authorities en route fill in the certified report at the back of the accompanying document. At the first opportunity, customs authorities provide the eTIR international system with information regarding the accident or incident, either by updating the TIR transport information, if the TIR transport could continue, or by

Name	Accident or incident use case
Alternative Scenario	sending a termination message with type “Accident or incident” in case the TIR transport could not be resumed.
	<p>Fallback scenario</p> <p>If electronic messages cannot be exchanged with the eTIR international system, information regarding the accident or incident is already available in the certified report and customs authorities shall amend the accompanying document accordingly. Customs authorities will nevertheless send the required electronic messages at a later stage.</p>
Special requirements	-
Extension Points	-
Requirements Covered	-