

DG TAXUD - TRANSIT COMPUTERISATION PROJECT	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION	
SECTION II : BUSINESS PROCESS THREADS FOR CORE BUSINESS	

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"Pure" NCTS

1.1 Introduction

This section presents the various business process threads of the Transit core business.

This introduction (and only this introduction) provides a description and a graphical overview of the core business which is not intended to be neither exhaustive nor methodologically correct. It is rather intended to highlight the major items of the core business and the links that exist between them. These major items will then be described in the rest of this section.

The major process threads are:

- process departure;
- process movement at Office of Transit;
- process arrival;
- handle enquiry.

Clearly, these process threads are inter-dependent, e.g., the processing of a Transit movement crossing a frontier will happen after the processing at departure. The 'link' between those two processes is the journey of the consignment from the Office of Departure to the Office of Destination via Offices of Transit. This link appears in the diagram below, but not in the process threads themselves.

An overview of the main path is:

The movement is initiated. Thereafter, the Principal receives the NCTS Accompanying Document and the vehicle with the consignment covered by this document goes to the first Office of Transit (if any).

The following might happen not at all or several times. The consignment arrives at an Office of Transit where the processing of crossing a frontier occurs. Afterwards, the consignment leaves either to the next Office of Transit, or to its final destination.

Normally, the consignment arrives at destination. The goods are presented to the Office of Destination which processes the arrival. Once the arrival processing is complete, the Office of Departure writes-off the movement.

In case the Office of Departure does not receive any feed-back about the arrival of the movement within the expected period, an enquiry procedure is started. Depending on the result of the enquiry, taxes and duties might be collected. In all cases, sooner or later, the movement is written-off.

The following diagram depicts that main path, but for purposes of clarity without showing details such as:

- amendments;
- declaration validation, acceptance and verification;
- risk analysis;
- control processes either at departure or at destination;

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- handling of control results;
- possibility to have a route without Office of Transit or with more than one Office of Transit;
- diversion.

1.2 These details will be covered in the remaining part of the section. Interfaces with other IT systems

1.2.1 Risk analysis system

- In the context of this document the term 'common safety and security risk analysis' refers to the risk analysis covered by regulation 648/2005 and 1875/2006 (the common risk analysis covered by the so called security amendment).
- National risk analysis is to be understood as other than common safety and security risk analysis (e.g. fiscal or additional safety and security risk analysis based on national provisions). The latter is national matter.
- NCTS interfaces with the national risk analysis systems of the Member States and ensures that risks analysis is initiated (when required) once the received transit data is validated and accepted by the Customs' NCTS.
- The national risk analysis systems of the Member States carry out the required common safety and security risk analysis – and, where appropriate, national risk analysis and sends the risk analysis results back to NCTS.
- The first four digits of the risk analysis result codes are defined and managed in the national risk analysis systems; they are not transparent to NCTS. NCTS initiates the appropriate further processing of the transit declaration based on the last (fifth) digit of the risk analysis result code (see Appendix A3- Code list) which is reported back and transparent to NCTS.
- NCTS forwards the relevant common safety and security risk analysis results related to a specific transaction to the relevant Customs Offices involved in the process.

1.2.2 Economic Operator registration and Identification (EORI)

- Where the regulation requires or allows Traders to be registered in the common EORI database, a unique Trader Identification Number (EORI-TIN number) is assigned to that Trader by the relevant Member State. The TIN is managed and registered in EORI.
- Where EORI registered Traders are to be declared in an NCTS message, the EORI-TIN shall be declared.
- When validating a received NCTS message, NCTS consults the EORI database in order to check the provided TIN.
- If the declared TIN is not valid or if it is not declared where it is required, NCTS rejects the transit data set using the appropriate NCTS error message.
- The interface between EORI and the risk management is not described in the NCTS specifications.

1.2.3 Authorised Economic Operator (AEO)

- AEO and their AEO-certificates are registered and managed in the AEO-database.

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- When validating a received data set for which the reduced AEO-dataset is declared, NCTS consults the AEO-database to check whether the appropriate Traders are registered as AEO and whether they have a valid AEO-certificate of the relevant type. The query will be performed on the basis of the declared TIN.
- The interface between AEO and the risk management is not described in the NCTS specifications.

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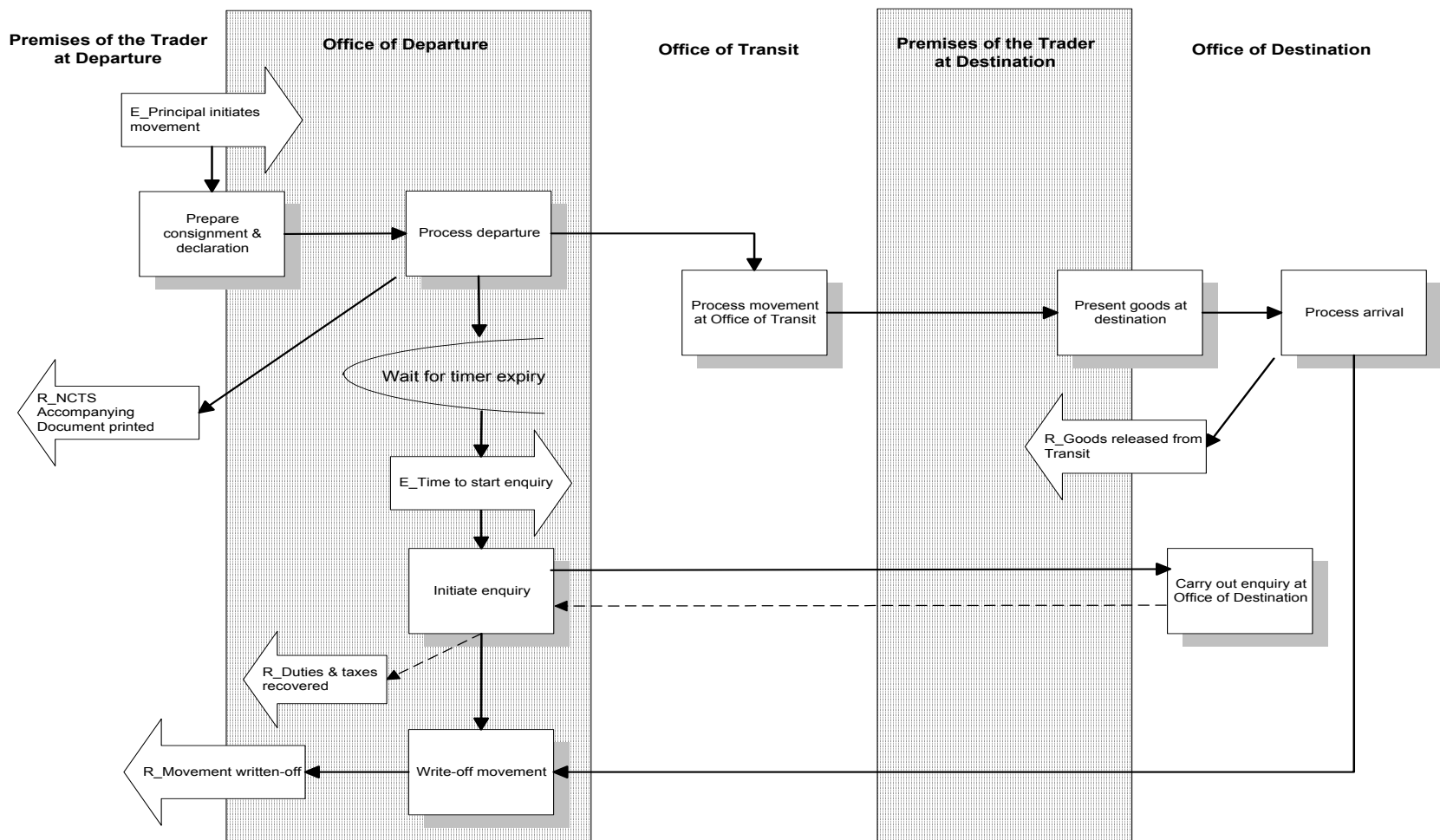


Figure 1: Overview of Transit Core Business

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In this overview, it is interesting to highlight the parts of processing that may be fully automated.

Unless human intervention is specifically required by national policy, NCTS will allow fully automated processing of:

- process departure (from declaration reception to departure of the movement);
- process arrival (from presentation to release of the goods);
- write-off movement.

Though this automated processing will occur for most movements of Authorised Traders (Consignors and Consignees), it will only happen under the following strict conditions:

- at departure (see UNdep.195):
 - the declaration is formally valid and;
 - the declaration is submitted within the hours agreed for that purpose and;
 - the risk analysis¹ does not propose to control the goods and / or documents and;
 - the verification of data indicates no problems.
- at destination (see UNdes.165):
 - the notification is submitted within the hours agreed for that purpose and;
 - the risk analysis does not propose to control the consignment and;
 - the unloading remarks indicate no problems.
- write-off:
 - no discrepancies are reported.

¹ Including the random selection of movement to control.

1.3 CO1A - Process Departure - Acceptance/Controls

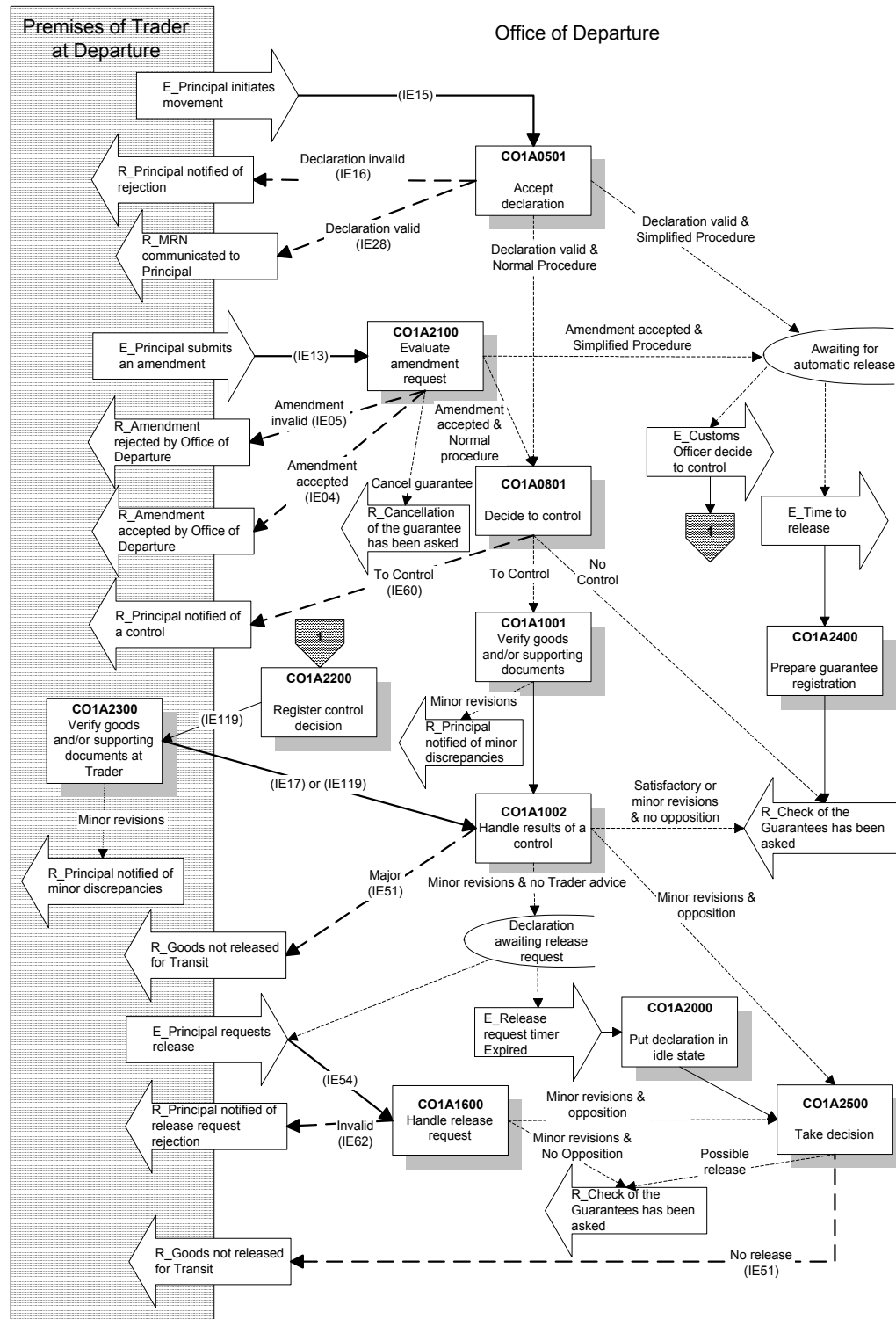


Figure 2: CO1A - Process Departure - Acceptance/Controls

Major Event

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E_Principal initiates movement
Organisation : Trader
Location : Premises of the Trader at Departure or Office of Departure
The Principal or Authorised Consignor initiates the Community / Common Transit movement.

Minor Events

E_Principal submits an amendment
Organisation : Trader
Location : Premises of the Trader at Departure or Office of Departure
The Principal or Authorised Consignor submits an amendment to his declaration.

E_Principal requests release
Organisation : Trader
Location : Premises of the Trader at Departure or Office of Departure
After a control, the Principal communicates his advice (opposition or non-opposition) on minor revisions by performing a release request. The request must arrive within the time limit at the Office of Departure.

E_Release request timer expired
Organisation : National Customs Administration
Location : Office of Departure
At the expiration of the timer 'Declaration awaiting release request' the declaration data is put in an idle state.

E_Customs Officer decide to control
Organisation : National Customs Administration
Location : Office of Departure
Customs take the decision to control the consignment.

E_Time to release
Organisation : National Customs Administration
Location : Office of Departure
The timer 'Awaiting for automatic release' under simplified procedure has expired, no decision to control was made; the preparation of the guarantee registration can start.

Processes

Accept declaration	Process: CO1A0501
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : It must be possible to use parameters in the risk analysis, to cope with differences from one country to another. If NCTS is also used for the purpose of safety and security and if the Office of Departure is located in an EU Member State, then full safety and security related risk analysis for all the goods shall be performed additionally within the prescribed time limits (see regulation).	

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Description :

The declaration data is submitted (IE015) via electronic means, on paper, or magnetic or optic media to the Office of Departure. (If - except for the fallback procedure - a declaration is submitted on paper- (normal procedure), the Customs at departure will key in the declaration into the NCTS system).

The Principal shall specify whether the NCTS declaration shall be used for the purpose of safety and security (IE015.TRANSIT OPERATION.Security' is set to '1') or not (IE015.TRANSIT OPERATION.Security' is not present).

Where a TIN (Trader Identification Number, EORI number) is declared, NCTS validates it against EORI (Economic Operator Registration and Identification system) and completes the Trader data (if necessary) in the declaration. If the TIN is not valid, the transit declaration will be rejected.

If the transit declaration contains the reduced safety and security data set for AEO (IE015.TRANSIT OPERATION.Specific circumstance indicator' value 'E' is present), NCTS checks (based on the declared TIN) the availability and validity of the required EORI number (ad hoc numbers are not considered valid in these cases and do not entitle to use the reduced data set) and of the AEO certificate in the AEO database. Following declared Traders must have a valid AEO certificate of type 'AEOS' (AEO certificate – Safety and Security) or 'AEOF' (AEO certificate – Customs simplifications/safety and security) to benefit from the reduced AEO data set:

- The Office of Departure is located in an EU Member State: The Principal and all declared Consignors-security;
- The Office of Departure is not located in an EU Member State: The Principal and all declared Consignees-security.

A declaration declared under simplified procedure (IE015.CONTROL RESULT is present), must be submitted by electronic means. When electronic means are used (under simplified as well as under normal procedure) then the Principal must provide a local reference number (IE015.TRANSIT OPERATION.LRN) that allows the Principal or the Office of Departure Officer to reference the data in the NCTS. NCTS checks that the provided LRN (IE015.TRANSIT OPERATION.LRN) is uniquely identified.

When declaration is submitted (IE015) under simplified procedure (IE015.CONTROL RESULT is present), NCTS checks that the Principal who is responsible for the declaration (IE015.TRADER Principal.TIN) is indeed authorised (Authorised Consignor) to use simplified procedure at that Office of Departure.

NCTS checks also the declared 'Authorised location of goods' (IE015.TRANSIT OPERATION. Authorised location of goods) where Customs can control the consignment. There are 2 options:

1. the Trader has not declared an 'Authorised location of goods' (IE015.TRANSIT OPERATION. Authorised location of goods is absent): in this case NCTS considers that the location of goods is the one specified in the authorisation for the Office of Departure;
2. the Trader has declared an 'Authorised location of goods' (IE015.TRANSIT OPERATION. Authorised location of goods is present): in this case NCTS checks it against the various authorised places, for the Office of Departure in question, specified in the authorisation.

When an Authorised Consignor uses seals (IE015.SEALS INFO) then NCTS checks them against the seals mentioned in the Authorisation. NCTS checks also the goods in order to be sure that none of them is excluded from the authorisation.

If he is not authorised to use simplified procedure or if he has declared an invalid 'Authorised location of goods' (including the case of no indication of one location amongst the several authorised locations for the Office of Departure in question) or invalid seals, NCTS rejects the declaration and notifies (IE016) the Trader that the declaration is invalid, giving the reason of the rejection (see dashed line labelled "Declaration invalid"). When a declaration is submitted (IE015) under normal procedure (IE015.CONTROL RESULT is absent), NCTS checks the declared 'location of goods' (IE015.TRANSIT OPERATION. Agreed location of goods, or IE015.TRANSIT OPERATION. Agreed location code or IE015.TRANSIT OPERATION.Customs sub place) where the consignment can be controlled. There are 3 options:

1. the Trader has not declared a 'location of goods' (IE015.TRANSIT OPERATION.Agreed location of goods and IE015.TRANSIT OPERATION.Agreed location code and IE015.TRANSIT OPERATION.Customs sub place are all absent): in this case, the presentation of the goods takes place at the Office of Departure;
2. the Trader has declared an 'Agreed location of goods' (IE015.TRANSIT OPERATION. Agreed location of goods and/or IE015.TRANSIT OPERATION. Agreed location code is present): in this case the system will notify the Customs Officer that he has to validate manually the declared location, no further

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processing is foreseen in NCTS to handle this kind of locations;

3. the Trader has declared a 'Customs sub place' (IE015.TRANSIT OPERATION.Customs sub place is present): in this case, NCTS checks it against the various Customs sub places registered in the system, for the Office of Departure in question.

If he has declared an invalid 'Agreed location of goods' or an invalid 'Customs sub place', NCTS or the Customs Officer rejects the declaration and notifies (IE016) the Trader that the declaration is invalid with the reason of the rejection (see dashed line labelled "Declaration invalid").

When the declaration is valid, the Office of Departure accepts the declaration and a new MRN is automatically generated. The MRN is allocated to the Transit Operation and communicated (IE028) to the Trader (see dashed line labelled "Declaration valid").

When the declaration is submitted (IE015) under **simplified procedure**, a timer "Awaiting for automatic release" is started to progress towards an automatic release after the timer has expired.

When the declaration has been presented **on paper** (SAD) by a Trader, that declaration has a legal value. Those papers have to be filed, and linked to the data in the system. The Customs Officer marks the MRN on the paper declaration and the system provides (on demand of a Customs Officer) a front page for filing purposes.

The automatic national risk analysis (other than safety and security) is performed at this stage.. The risk analysis is a service provided by the system to help the Customs Officer with his decision to control the goods and/or documents. The parameters that will be taken into account by NCTS to proceed with the automated part of the risk analysis will be chosen by the National Administrations, apart from those indicated at higher level (such as Joint Committees, national, regional, etc.). The declaration data itself takes always part in the risk analysis.

A feature of the risk analysis is that it proposes the movement randomly for control, and/or according to given parameters, and/or based on its level of risk: the higher the level of risk, the more the system will propose it for control. As a result of the risk analysis, or whenever Customs or the principal consider it necessary, the Office of Departure may prescribe a binding itinerary. A binding itinerary is to be prescribed for sensitive goods unless the principal is granted exemption.

If there is a positive risk analysis result, it is recorded in the transit declaration. The last digit of the risk analysis result code shall be 'N' (national risk analysis result). National risk analysis results are for the Office of Departure and will not be communicated by NCTS to any other involved Customs Office.

If NCTS is also used for the purpose of safety and security (IE015.TRANSIT OPERATION.Security' is set to '1') and if the Office of Departure is located in an EU Member State:

- Full safety and security related risk analysis shall be performed additionally for all the goods. The safety and security risk analysis shall be initiated by NCTS and carried out by the national risk analysis application according to the rules set out by the risk management framework. If positive risk is identified, the national risk analysis system generates the risk analysis code. If the identified risk relates to a specific goods item of the transit declaration, the relevant goods item number shall be identified by the national risk analysis system.
- The national risk analysis system records the risk analysis results in the NCTS transit declaration. If the risk analysis result relates to a specific goods item, then the relevant goods item is recorded (RISK ANALYSIS.Item number (box 32) involved). In any other case the 'RISK ANALYSIS.Item number (box 32) involved' is not used.
- The first four digits of the risk analysis code are not transparent to NCTS but managed by the national risk analysis systems. The last digit of the risk analysis result code is transparent to NCTS and used by NCTS to identify the appropriate actions.
 - The value is 'D': an immediate action at the Office of Departure is required; NCTS proposes the goods to be controlled at the Office of Departure (default case);
 - The value is 'E': the control should be carried out by another Community Customs Office involved in the transit movement (Office of Transit or Destination). This case is only applicable, if the regulation provides for a delegation of controls to other Customs Offices;
 - The value is 'Z': No risk analysis could be performed.

If the declaration is valid and it was declared under normal procedure:

- If risk is identified, the Customs Officer is alerted

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- The next step is to decide to control (see dashed line labelled "Declaration valid & Normal procedure").

If the declaration is valid and it was declared under simplified procedure:

- If risk (fiscal risk or risk related to safety and security) is identified, the timer "Awaiting for automatic release" is stopped. The Customs Officer is alerted and asked to register a control decision (CO1A2200).
- In any other case, NCTS awaits the timer "Awaiting for automatic release" to expire (see dashed line labelled "Declaration valid & Simplified procedure").

Final situation :

If the declaration is not valid or if the location where the consignment can be controlled is not valid, the declaration is rejected.

In the other cases, the declaration is accepted and a new MRN is generated and allocated. The Trader is notified of the rejection or the acceptance of the declaration. The result of the risk analysis is known. The state of the Transit Operation is set to 'Accepted'.

Decide to control	Process: CO1A0801
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : Normal procedure only.	
Description : <p>The Customs Officer compiles all the information he needs (the movement information retrieved by NCTS via the allocated MRN) and checks the result of an analysis of risk, in order to decide if a control is required. If the risk analysis results stated that goods shall not be released at departure because there are reasonable grounds for the Office of Departure to consider that the introduction of the goods into the customs territory of the Community would pose such a serious threat to the safety and security of the Community that immediate intervention is required or if preventive measures should be taken at the Office of Departure, then NCTS alerts the Customs Officer. This control consists of either a check of the supporting documents, or a check of the supporting documents and the goods. Even if the risk analysis is an automatic process, the final decision to control may be overruled by the Customs Officer.</p> <ul style="list-style-type: none"> • The Customs Officer decides to control: <p>The control will be performed at the Office of Departure (If IE015.TRANSIT OPERATION. Agreed location of goods and IE015.TRANSIT OPERATION. Agreed location code and IE015.TRANSIT OPERATION.Customs sub place are absent) or at the 'Agreed location of goods' (If IE015.TRANSIT OPERATION. Agreed location of goods and/or IE015.TRANSIT OPERATION. Agreed location code is present) or at a 'Customs sub place' (If IE015.TRANSIT OPERATION.Customs sub place is present).</p> <p>The Customs Officer registers the decision to control in NCTS.</p> <p>The Principal is notified (IE060) of the decision to control in order to allow him to be present during the control (declaration amendments are no longer accepted by the Office of Departure). The accepted declaration is printed on paper on demand of a Customs Officer, in order to allow him to perform a control of the consignment.</p> <p>(see dashed lines labelled "To control").</p> <ul style="list-style-type: none"> • The Customs Officer decides not to control: <p>No control is performed on goods and/or documents; the Customs Officer records the decision not to control in NCTS. The departure control result is set to 'Considered satisfactory'. The duties and taxes are calculated as described in process 'CO1A2400 - Prepare guarantee registration', before the guarantee can be registered (see dashed line labelled "No control").</p> <p>If risk analysis had proposed to take measures at the Office of Departure but the Customs Officer decides not to control, then NCTS requires the Customs Officer to confirm the decision not to control.</p> <p>Final situation :</p> <p>One of the following decisions is taken : no control at all, the state of the Transit Operation is set to</p>	

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'Guarantee under registration', or, a control will be performed, the state of the Transit Operation is set to 'Under control'.

Verify goods and/or supporting documents	Process: CO1A1001
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : Normal procedure only.	
Description : <p>The verification of the goods and/or supporting documents and/or seals is a manual process performed by a Customs Officer at the goods place.</p> <p>The Customs Officer goes to the goods place (as specified at presentation time) in order to verify the documents or goods (or both), taking with him the printout of the accepted declaration as a work document.</p> <p>The Customs Officer controls the consignment against the printout of the accepted declaration. He can also check the supporting documents such as: commercial documents, invoices, Optionally he affixes or re-affixes the seals.</p> <p>When minor discrepancies occur, they are communicated to the Principal. In order to solve the discrepancies, Customs must perform minor revisions on the declaration data (as explained in 'CO1A1002 - Handle results of a control') so that it is still possible to release the movement for Transit in case the revisions are accepted by the Principal.</p> <p>The Principal evaluates if he can agree with (make no opposition) the minor revisions. He can give his advice, opposition or no opposition, right away, or later when he is not able to respond at that time (see dashed line labelled "Minor revisions").</p> <p>The decision about what is a 'minor' discrepancy or what is a 'major' discrepancy is made by each National Administration.</p> Final situation : Control is performed by the Customs Officer and optionally the seals are affixed or re-affixed. If any, the minor revisions are communicated to the Principal.	

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Handle results of a control	Process: CO1A1002
Organisation : National Customs Administration	
Location : Office of Departure	
<p>Description :</p> <p>In any case, i.e. in case of minor, major or no discrepancies, the results of a control are registered at the Office of Departure.</p> <p>The following circumstances can be encountered:</p> <ol style="list-style-type: none"> 1. The control revealed no discrepancies, the controlled goods together with the 'Satisfactory' control results are registered. After calculation of the duties and taxes (see process 'CO1A2400 - Prepare guarantee registration') the processing continues with 'GU12 - Register guarantee usage' (see dashed line labelled "Satisfactory or minor revisions & no opposition"). 2. The control revealed minor discrepancies and the Principal gives his advice right away (IE017.TRANSIT OPERATION.Release requested flag is present), in this case he makes no opposition (i.e. he accepts the revisions). Customs registers the controlled goods and revises the declaration data based upon the results of a control and the 'Satisfactory' control results are logged. After calculation of the duties and taxes (see process 'CO1A2400 - Prepare guarantee registration') the processing continues with 'GU12 - Register guarantee usage' (see dashed line labelled "Satisfactory or minor revisions & no opposition"). 3. When minor discrepancies occurred and the Principal gives his advice right away (IE017.TRANSIT OPERATION.Release requested flag is present), and he makes opposition (i.e. he does not accept the revisions), the movement can no longer be released. Customs records the controlled goods and revises the declaration data based upon the results of a control. The declaration is put in an idle state where it waits until further action (see dashed line labelled "Minor revisions & opposition"). 4. Minor discrepancies are detected during the control of the goods and/or supporting documents. The Principal has not yet communicated his advice (IE017.TRANSIT OPERATION.Release requested flag is absent) on minor revisions. A timer "Declaration awaiting release request" is started to protect a non release request of the goods coming from the Principal. The Customs Officer records the controlled goods and revises the declaration data (see dashed line labelled "Minor revisions & no Trader Advice"). 5. The control revealed major discrepancies or reasonable grounds for the Office of Departure to consider that the introduction of the goods into the customs territory of the Community would pose a serious threat to the safety and security of the Community. The controlled goods, major discrepancies and the 'Unsatisfactory' control results are registered. The Office of Departure notifies (IE051) the Principal that the movement may not go to Destination, sanctions may be applied (see dashed line labelled "Major"). <p>Final situation :</p> <p>There are no discrepancies, the satisfactory results of the control are logged, the state of the Transit Operation is set to 'Guarantee under registration', or,</p> <p>There are minor discrepancies and the advice of the Trader is known, the movement is put in an idle state when he makes opposition, the state of the Transit Operation is set to 'Idle', the guarantee can be registered when he makes no opposition, the state of the Transit Operation is set to 'Guarantee under registration', or,</p> <p>there are minor discrepancies and Customs wait for a release request, the state of the Transit Operation is set to 'Under release request', or, there are major discrepancies or the threat to the safety and security of the Community is confirmed and the unsatisfactory control results are registered, the movement may not go to destination, the state of the Transit Operation is set to 'Not released for Transit'.</p>	

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Handle release request	Process: CO1A1600
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
<p>Description :</p> <p>A goods release request is received (IE054) from a Trader, who could not give his advice on minor revisions right away.</p> <ul style="list-style-type: none"> • Opposition: <p>When the Trader makes opposition (IE054.TRANSIT OPERATION.Release requested = 'No') (i.e. he does not accept the revisions), the movement can not be released. The timer 'Declaration awaiting release request' is stopped. The declaration is put in an idle state where it waits until further action (see dashed line labelled "Minor revisions & opposition").</p> <ul style="list-style-type: none"> • No opposition (IE054.TRANSIT OPERATION.Release requested = 'Yes'): <p>When the Trader makes no opposition (IE054.TRANSIT OPERATION.Release requested = 'Yes') (i.e. he accepts the revisions), the movement can still be released. The timer 'Declaration awaiting release request' is stopped. The 'Satisfactory' control results are registered. After calculation of the duties and taxes (see process 'CO1A2400 - Prepare guarantee registration'), the processing continues with the registration of the guarantee (see dashed line labelled "Minor revisions & no opposition").</p> <ul style="list-style-type: none"> • Invalid: <p>The release request received fails to pass the validation process. The rejection of the release request is communicated (IE062) to the Principal with reasons (see dashed line labelled "Invalid").</p> <p>Final situation :</p> <p>The release request is invalidated, the state of the Transit Operation stays in 'Under release request', or, the declaration is put in an idle state, the state of the Transit Operation is set to 'Idle', or, the guarantee is ready to be registered the state of the Transit Operation is set to 'Under guarantee registration'.</p>	

Put declaration in idle state	Process: CO1A2000
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
<p>Description :</p> <p>No release request is received (IE054) from a Trader in time (the timer "Declaration awaiting release request" has expired). NCTS will automatically put the declaration in an idle state waiting for further action.</p> <p>Final situation :</p> <p>The declaration is put in an idle state, the state of the Transit Operation is set to 'Idle'.</p>	

Evaluate amendment request	Process: CO1A2100
Organisation : National Customs Administration	
Location : Office of Departure	
<p>Constraint : If NCTS is also used for the purpose of safety and security and if the Office of Departure is located in an EU Member State, then full safety and security related risk analysis for all the goods shall be performed additionally within the prescribed time limits (see regulation).</p> <p>Description :</p> <p>This process handles amendment requests on the whole declaration data (IE013), this means that the amendment flag (IE013.Amendment type flag) indicates that it concerns an amendment on the declaration data (and not only on the guarantee details). The Principal shall specify whether the NCTS declaration shall be used for the purpose of safety and security (IE015.TRANSIT OPERATION.Security' is set to '1') or not</p>	

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(IE015.TRANSIT OPERATION.Security' is not present).

- The amendment request transports all values of the original declaration altered with the requested amendments. NCTS checks that the amendment is made on an already accepted declaration, i.e. it checks that the MRN is allocated.

If this is not the case then the amendment is automatically rejected, the rejection reason is registered and returned (IE005) to the Principal. The rejected amendment request will have no influence on the original declaration because there is no accepted declaration available. The evaluation process of the received amendment request stops here (see dashed line labelled "Amendment invalid").

- NCTS checks that the Office of Departure still can accept an amendment request. It can no longer accept an amendment request when one of the following conditions is met:
 - The Principal has been informed (IE060) that the Customs Authorities intend to examine the goods;
 - The Customs Authorities have established that the particulars in question are incorrect;
 - The Customs Authorities have released the goods.

If this is the case then the amendment is automatically rejected, the rejection reason is registered and returned (IE005) to the Principal. The rejected amendment request will have no influence on the original declaration because the amendment request came too late in the declaration data handling process. The evaluation process of the amendment request stops here (see dashed line labelled "Amendment invalid").

- NCTS performs an automatic validation and negative results, if any, are communicated (IE005) to the Principal. The validation process can be a completely automatic process, however there are some exceptions. A human intervention is always required in case a Principal alters the 'Type of goods' (IE013.GOODS ITEM.Commodity code and/or IE013.GOODS ITEM.Textual description) or the 'Quantity' ((IE013.TRANSIT OPERATION.Total number of items) or (IE013.TRANSIT OPERATION.Total number of packages) or (IE013.TRANSIT OPERATION.Total gross mass) or (IE013.GOODS ITEM.Number of packages) or (IE013.GOODS ITEM.Number of pieces) or (IE013.GOODS ITEM.Gross mass)). In both cases the system notifies the Customs Officer of the fact that he must decide whether he can accept the amendment or not.

Whether the amendment request data is valid or not, it will have an influence on the original declaration processing. The processing of the original declaration identified by the MRN is stopped and set back to this process ('CO1A2100 - Evaluate amendment request'). When the system is not able to treat the request fully automatically, then it will notify the Customs Officer of the fact that a Trader is requesting an amendment on his declaration. The notification is performed when:

- the Customs Officer is requested to accomplish the formal validation process (as explained above), or,
- at the point of registration of the control results (see 'CO1A1002 - Handle results of a control'), the system notifies the Customs Officer, that an amendment request is received while Customs was performing a control, he must take a decision if he can accept it or not.

Under simplified procedure the 'Awaiting for automatic release' timer is stopped (if not yet expired). It is also possible that the guarantee for the original declaration is already registered, as a consequence this guarantee must be cancelled (see dashed line labelled "Cancel guarantee").

If the amendment request is invalid, then the reasons for rejection are returned (IE005) to the Principal. Under simplified procedure the 'Awaiting for automatic release' timer remains stopped until another (valid) amendment is received (see dashed line labelled "Amendment invalid").

If the amendment is accepted, it is registered into NCTS, then the acceptance is communicated (IE004) to the Principal.

Under simplified procedure the 'Awaiting for automatic release' is restarted at its initial value (see dashed line labelled "Amendment accepted & simplified procedure").

Full risk analysis (safety and security related and other) is performed based on the amended data and results are recorded according to process CO1A0501.

If the declaration was declared under normal procedure:

- If risk is identified, the Customs Officer is alerted.
- The next step is to decide to control (see dashed line labelled "Declaration valid & Normal procedure").

If the declaration is declared under simplified procedure:

- If risk (e.g. related to safety and security) is identified, the timer "Awaiting for automatic release" is

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<p>stopped. The Customs Officer is alerted and asked to register a control decision (CO1A2200).</p> <ul style="list-style-type: none"> In any other case, NCTS awaits the timer "Awaiting for automatic release" to expire (see dashed line labelled "Declaration valid & Simplified procedure"). <p>Final situation :</p> <p>The amendment is rejected because it was not related to an accepted declaration, the state of the Transit Operation does not change, or,</p> <p>the amendment is rejected because it came too late in the declaration processing, the state of the Transit Operation does not change, or,</p> <p>the amendment is rejected because it failed to pass the validation process, the state of the Transit Operation is set to 'Declaration under amendment', or, it is accepted, the state of the Transit Operation is set to 'Accepted'.</p>

Register control decision	Process: CO1A2200
Organisation : National Customs Administration	
Location : Office of Departure	
<p>Constraint :</p> <p>This is a process performed only under simplified procedure, therefore it must be done within the agreed time period mentioned in the 'authorisation' of the simplified procedure.</p>	
<p>Description :</p> <p>If the risk analysis results stated that goods shall not be loaded/released at departure because there are reasonable grounds for the Office of Departure to consider that the introduction of the goods into the customs territory of the Community would pose such a serious threat to the safety and security of the Community that immediate intervention is required or if preventive measures should be taken at the Office of Departure, then NCTS alerts the Customs Officer.</p> <p>The Customs Officer takes the final decision to control. The control consists of either a check of the supporting documents, or a check of the supporting documents and the goods. The timer 'Awaiting for automatic release' is stopped.</p> <p>The Customs Officers will arrive at the 'Authorised location of goods' (IE015.TRANSIT OPERATION.Authorised location of goods) within the time period agreed in the Authorisation.</p> <p>The decision to control is always recorded in NCTS. This information will be used to handle any new amendment submitted after this stage. A Trader can submit an amendment request (IE013) between the moment the decision to control was made, and the capturing of the results of a control.</p> <p>On request of a Customs Officer the accepted declaration is printed on paper (IE119) in order to allow the Customs Officer to perform a control of the consignment.</p> <p>If risk analysis had proposed to take measures at the Office of Departure but the Customs Officer decides not to control, then NCTS requires the Customs Officer to confirm the decision not to control. The timer 'Awaiting for automatic release' is restarted.</p> <p>Final situation :</p> <p>If the decision to control is registered, the state of the Transit Operation is set to 'Under control'.</p> <p>If the decision not to control is registered, the Guarantee registration is prepared (CO1A2400).</p>	

Verify goods and/or supporting documents at Trader	Process: CO1A2300
Organisation : National Customs Administration	
Location : Premises of the Trader at Departure	
<p>Constraint :</p> <p>The execution of this process is always under simplified procedure.</p> <p>Customs must arrive within the agreed time period of the authorisation.</p> <p>The registration of the results of a control should be done by a Customs Officer. This implies the definition of information to be exchanged allowing the communication of the so called 'Departure control results (IE017)'. This IE is shown on the diagram (between the process 'CO1A2300 - Verify goods and/or supporting documents at Trader' and 'CO1A1002 - Handle results of a control'). To prove the validity of the IE017, the</p>	

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Customs Officer will add a code to the IE017. This code (a random number) is generated by the Customs system just before the Customs Officer goes to the goods place.

Description :

The verification of the goods and/or supporting documents and/or seals is a manual process performed by a Customs Officer at the goods place.

The Customs Officer goes to the goods place, in this case the Authorised goods place as specified in the authorisation, in order to verify the documents or goods (or both), taking with him the printout of the accepted declaration, as a work document.

The Customs Officer controls the consignment against the printout of the accepted declaration. He can also check the supporting documents such as: commercial documents, invoices, etc. Optionally he affixes or re-affixes the seals.

When minor discrepancies occur, they are communicated to the Principal. In order to solve the discrepancies, Customs will perform minor revisions on the declaration data so that it is still possible to release the movement for Transit in case the revisions are accepted by the Principal.

The Principal evaluates if he can agree with (make no opposition) the minor revisions. He can give his advice, opposition or no opposition, right away (IE017.TRANSIT OPERATION.Release requested), or later when he is not able to respond at that time (see dashed line labelled "Minor revisions").

When major discrepancies occur or when the Office of Departure has reasonable grounds to consider that the introduction of the goods into the customs territory of the Community would pose a serious threat to the safety and security of the Community, then the Customs Officer will go back to the Office of Departure with the unsatisfactory results of a control (IE119).

The decision about what is a 'minor' discrepancy or what is a 'major' discrepancy is made by each National Administration.

Final situation :

Control is performed by the Customs Officer and optionally the seals are affixed or re-affixed.

If any, the minor revisions are communicated to the Principal.

Prepare guarantee registration	Process: CO1A2400
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : Simplified procedure only.	
Description : The guarantees can be checked and registered. Duties and taxes are calculated : manually by the Customs Officer or automatically when such a facility is provided in the national application. NCTS will assist in offering the minimum rate for sensitive goods (annex I of Appendix I of the Convention / Art. 341 Implementing Provisions) and a pre-defined default value of duties and taxes i.e. 7000 EURO within the limits of Art 56 of Appendix I of the Convention / Art. 379 Implementing Provisions. The amount calculated is registered in NCTS.	
Final situation : Duties and taxes are calculated, the state of the Transit Operation is set to 'Under guarantee registration'.	

Take decision	Process: CO1A2500
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
Description : When the Customs Officer decides that the movement can not be released then the 'Unsatisfactory' control results are logged. The Office of Departure notifies (IE051) the Principal that the movement may not go to Destination, sanctions may be applied (see dashed line labelled "No release"). When the Customs Officer	

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decides that the movement can still be released then the 'Satisfactory' control results are logged. After calculation of the duties and taxes (see process 'CO1A2400 - Prepare guarantee registration'), the processing continues with 'GU12 - Register guarantee usage' (see dashed line labelled "Possible release").

Final situation :

Either unsatisfactory control results are registered and the movement can not be released, the state of the Transit Operation is set to 'Not released for Transit', or,

Satisfactory control results are registered, the state of the Transit Operation is set to 'Under guarantee registration'

Major Result

R_Check of the guarantees has been asked

Organisation : National Customs Administration

Location : Office of Departure

A check and registration of the guarantee(s) has been asked. This result activates the event "E_Office of Departure asks for the check of guarantees" which triggers the process GU12 "Register guarantee usage" at the Office of Guarantee.

R_Goods not released for Transit

Organisation : National Customs Administration

Location : Premises of the Trader at Departure or Office of Departure

The movement is not released because of major discrepancies detected by the Customs Officer or because of or safety and security reasons. The Principal is notified of the fact that he may not go to destination.

Minor Results

R_MRN communicated to Principal

Organisation : National Customs Administration

Location : Premises of the Trader at Departure or Office of Departure

The MRN is communicated to the Principal. The Principal will use it to complete other documents not related to the NCTS (import / export).

R_Principal notified of rejection

Organisation : National Customs Administration

Location : Premises of the Trader at Departure or Office of Departure

The Principal is notified of the fact that the declaration is rejected.

R_Principal notified of a control

Organisation : National Customs Administration

Location : Premises of the Trader at Departure or Office of Departure

The Principal is notified of the fact that Customs will perform a control on the consignment.

R_Principal notified of minor discrepancies

Organisation : National Customs Administration

Location : Office of Departure

The Principal is notified of the fact that Customs will perform minor revisions before the movement can be released.

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R_Principal notified of release request rejection
Organisation : National Customs Administration
Location : Premises of the Trader at Departure or Office of Departure
The Principal is notified of the fact that his request to release the goods is invalid.

R_Amendment accepted by Office of Departure
Organisation : National Customs Administration
Location : Premises of the Trader at Departure or Office of Departure
The amendment is accepted. The acceptance is communicated to the Principal.

R_Amendment rejected by Office of Departure
Organisation : National Customs Administration
Location : Premises of the Trader at Departure or Office of Departure
The amendment is rejected. The rejection is communicated to the Principal.

R_Cancellation of the guarantee has been asked
Organisation : National Customs Administration
Location : Office of Departure
The amendment is accepted. The guarantee for the original declaration was already registered, so it must be cancelled.

Constraints

1. Calculation of duties & taxes

Due to the facts that :

- the calculation of the duties & taxes involved in a movement is a national matter;
- the computerisation of this calculation implies a detailed description of the goods (by means of commodity codes), their value and the related rates of duties & taxes, which will not be present in all declarations;

the estimation of the duties & taxes will be done as stated in process CO1A2400 'Prepare guarantee registration'.

In any case, the Customs Officer will be allowed to use process CO09 to enter/modify the calculated/proposed amount (see under Heading 1.11.2.1.1 'The Customs Officer at departure').

Remark

1. Papers in NCTS

- The filing service offered by the NCTS only covers filing at departure of SAD paper declarations and presented by Principals, and associated documents.
- In the pure NCTS environment, the NCTS Accompanying Document is the only paper-based document printed by the system at departure, during the initiation of a movement.
- In case of an electronic declaration (EDI/DTI) the SAD copy 1 on paper no longer exists.

1.4 CO1B - Process Departure – Release

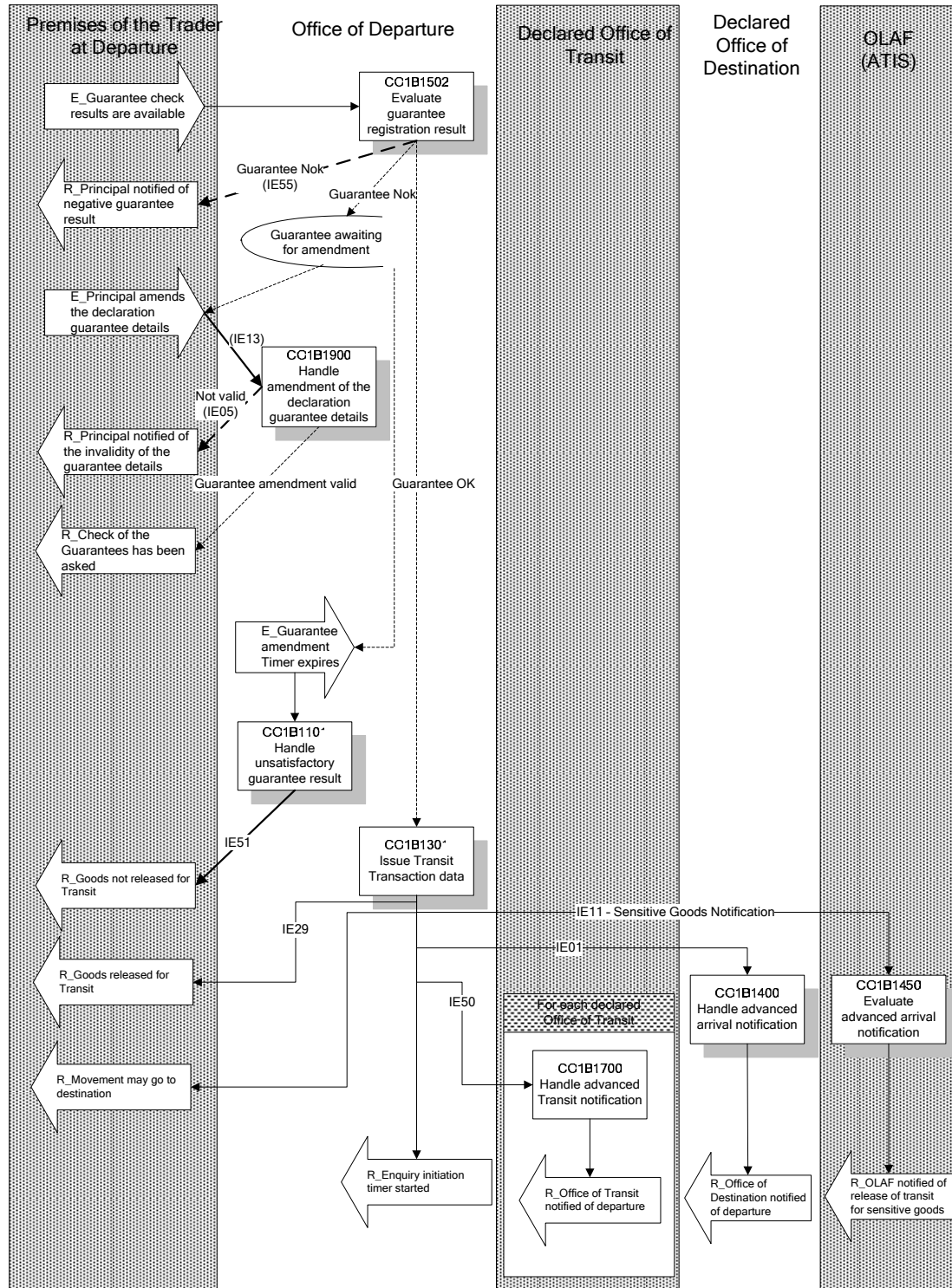


Figure 3: CO1B - Process Departure – Release

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Major Event

E_Guarantee check results are available
Organisation : National Customs Administration
Location : Office of Departure
The results of the check and registration of the guarantees are available.

Minor Events

E_Principal amends the declaration guarantee details
Organisation : Trader
Location : Premise of Trader at Departure or Office of Departure
The Principal or Authorised Consignor amends the original guarantee details in order to avoid a non-release for Transit.

E_Guarantee amendment timer expires
Organisation : National Customs Administration
Location : Office of Departure
At the expiration of the timer 'Guarantee awaiting for amendment' the declaration is automatically not released for Transit.

Processes

Handle unsatisfactory guarantee result	Process: CO1B1101
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
Description : When after an invalidation of the declared guarantee(s), the Principal does not amend the guarantee in time (timer "Guarantee awaiting for amendment" expires), the system registers automatically the unsatisfactory control results in order to have a history log of the declaration. The system also notifies (IE051) the Principal that the goods are not released for Transit.	
Final situation : The goods are not released, the state of the Transit Operation is set to 'Not released for Transit'.	

Issue Transit transaction data	Process: CO1B1301
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : If EDI is used to transmit the ATR and two or more of the Office(s) of Transit belong to the same National Administration, then only one ATR is sent (IE050) to the National Administration in question. The sensitive goods notification to OLAF shall be sent to OLAF within the agreed time limits. Safety and security risk analysis results shall be exchanged between the Community and other countries only if there is a legal basis for doing so.	
Description : The three following dates are defined in the appropriate way when the movement is issued: <ul style="list-style-type: none"> The expected arrival date of the movement at the Office of Destination (time allowed for the movement) is 	

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based only on the countries of departure and destination.

If no arrival advice has arrived by the date fixed, an enquiry will have to be started according to CO04 "Handle enquiry"

- The date when the control results are expected to be returned from the Office of Destination. This date is the expected arrival date plus a fixed number of days commonly defined by the national administrations (6 calendar days). If no control result is received by the date fixed, an enquiry will have to be started according to CO04 "Handle enquiry".
- The expected arrival date of the movement at the Offices of Transit (CUSTOMS OFFICE of Transit. Date and Time of arrival)
 - If the Transit declaration is used for security purposes (TRANSIT OPERATION. Security = '1') and
 - If the Office of Departure is located in another country than an EU Member State and
 - If the 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 Office of Destination (IE015.CUSTOMS OFFICE of Destination. Reference number).

If one or more goods items contain sensitive goods for which the minimum quantity is achieved (if any is specified in the regulation), then OLAF (Anti-Fraud Transit Information System -ATIS) is notified (IE011).

An anticipated transit record (ATR) is sent (IE050) to each declared Office of Transit (IE015.CUSTOMS OFFICE of Transit. Reference number).

If NCTS is also used for safety and security purposes (TRANSIT OPERATION. Security = '1'), then the additional safety and security data elements shall be included in the anticipated arrival record (IE001) and in the anticipated transit record (IE050)

The risk analysis results shall be included in the anticipated arrival record (IE001) and in the anticipated transit record (IE050) in the following cases only:

- IE001:
 - The Office of Departure and the Office of Destination are both located in an EU Member State and the last digit of the risk analysis result code is 'D', 'E' or 'Z'.
- IE050:
 - The Office of Departure and the Office of Transit are both located in an EU Member State and the last digit of the risk analysis result code is 'D', 'E' or 'Z'.

The release is communicated (IE029) to the Trader. 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. The NCTS Accompanying Document (TAD) is printed under the responsibility of the Office of Departure, either at the Office of Departure or at the Authorised Consignor's premises.

If sensitive goods are concerned (SGI-CODES (Box 31. is present)), OLAF are notified (IE011) of the issuing of the Transit transaction and the information of OLAF is recorded in NCTS.

Final situation :

The Transit transaction is issued; the declared Office(s) of Transit, the declared Office of Destination and - if sensitive goods are concerned – OLAF are notified of the issuing of the Transit transaction; the NCTS Accompanying Document is printed and provided; the movement may go to destination, the state of the Transit Operation is set to 'Movement released'. The sending of the sensitive goods notification to OLAF is recorded in NCTS.

Handle advanced arrival notification	Process: CO1B1400
Organisation : National Customs Administration	
Location : Declared Office of Destination	
Constraint :	
Description :	
The Office of Destination receives and stores (IE001), in advance, the movement description information of any movement in which it is declared as Office of Destination (IE015.CUSTOMS OFFICE of	

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Destination.Reference number), i.e. it needs the movement description information before the arrival of the consignment, in the form of an anticipated arrival record (AAR).

The Office of Destination executes an automatic risk analysis on the received anticipated arrival record. If risk analysis results are communicated by the Office of Departure, the results shall be recorded and either accepted or taken into account when carrying out own risk analysis.

The risk analysis results should influence the Customs' decision to control the consignment or not when it will be presented.

Once the anticipated arrival record has passed through the automatic risk analysis, the Office of Destination submits the findings to a preliminary movement follow-up; i.e. the Customs Officer has the possibility to update, or not to update the decision to control proposed by the system, to add practical information, such as who is the Customs Officer in charge of this movement or what is the estimated arrival date.

With the arrival of the AAR, it will be possible to deduce, if an Authorised Consignee identification (IE001.TRADER Authorised Consignee.TIN) is present in the declaration, whether the goods will be presented at the premises of an Authorised Consignee or not.

Final situation :

Office of Destination is ready to receive the consignment; the state of the Transit Operation is set to 'AAR Created'.

Evaluate advanced arrival notification	Process: CO1B1450
Organisation : OLAF	
Location : OLAF (Anti-Fraud Transit Information System -ATIS).	
Constraint :	
Description : If one or more goods items contain sensitive goods for which the minimum quantity is achieved (if any is specified in the regulation), then NCTS had notified (IE011) OLAF (Anti-Fraud Transit Information System - ATIS). The evaluation and processing of the received data is organised and handled by OLAF.	
Final situation : OLAF is notified of the release of transit for sensitive goods. The state of the Transit Operation does not change.	

Evaluate guarantee registration result	Process: CO1B1502
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
Description : When one of the checks of the registration of the guarantee usage failed, the Principal is notified (IE055) that the declared guarantee is not valid (see dashed line labelled "Guarantee Nok"). The Principal has the possibility to amend the invalid guarantee, so that the movement can still be released. A timer "Guarantee awaiting for amendment" is started to protect a non amendment of the guarantee (see dashed line labelled "Guarantee Nok"). When all the checks of the registration of the guarantee usage are successful, then the movement is ready to be issued (see dashed line labelled "Guarantee Ok").	
Final situation : Either the guarantee is registered, the state of the Transit Operation is set to 'Guarantee registered', or The Principal has to amend the guarantee, the state of the Transit Operation is set to 'Guarantee under amendment'.	

Handle advanced Transit notification	Process: CO1B1700
Organisation : National Customs Administration	

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Location : Declared Office of Transit
<p>Constraint :</p> <p>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 (see regulation) under following conditions:</p> <ul style="list-style-type: none"> • The Office of Departure is located in another country than an EU Member State and • The Office of Transit is located in an EU Member State.
<p>Description :</p> <p>The Office(s) of Transit receive(s) (IE050) and store(s), in advance, the movement description information of any movement in which it is declared as Office of Transit (IE015.CUSTOMS OFFICE of Transit.Reference number), i.e. it needs the movement description information before the arrival of the consignment, in the form of an anticipated Transit record (ATR).</p> <p>If risk analysis results are communicated by the Office of Departure, the results shall be recorded and either be accepted or taken into account when carrying out own risk analysis.</p> <p>If the constraint is met:</p> <ul style="list-style-type: none"> • Full safety and security related risk analysis for all the goods shall be initiated by NCTS and performed by the national risk application according to the rules set out by the risk management framework. If positive risk is identified, the national risk analysis system generates the risk analysis code. If the identified risk relates to a specific goods item of the transit declaration, the relevant goods item number shall be identified by the national risk analysis system. • The national risk analysis system records the risk analysis results in the NCTS transit declaration. If the risk analysis result relates to a specific goods item, then the relevant goods item is recorded (RISK ANALYSIS.Item number (box 32) involved). In any other case the 'RISK ANALYSIS.Item number (box 32) involved' remains unused. • The first four digits of the risk analysis code are not transparent to NCTS but managed by the national risk analysis systems. The last digit of the risk analysis result code is transparent to NCTS and used by NCTS to identify the appropriate actions. <ul style="list-style-type: none"> • The value is 'B': an immediate action at the Office of Transit (Entry into the Community) is required; NCTS proposes the goods to be controlled at the Office of Transit; • The value is 'E': the control should be carried out by the Office of Destination. However, since there is no communication between the Office of Transit and the Office of Destination, this option can be used only if the Office of Destination is located in the same country as the Office of Transit; • The value is 'Z': No risk analysis could be performed. • The value is 'N': National risk analysis result (national matter). • Random risk parameters shall be used additionally. <p>Final situation :</p> <p>Office(s) of Transit is (are) ready to receive the consignment, the state of the Transit Operation is set to 'ATR Created'.</p>

Handle amendment of the declaration guarantee details	Process: CO1B1900
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
<p>Description :</p> <p>This process handles amendment requests on the declaration guarantee details (IE013), this means that the amendment flag (IE013.Amendment type flag) indicates that it concerns an amendment on the declaration guarantee details (and not on the entire declaration data). The amendment request (IE013) transports only the values of the guarantee.</p> <p>The Office of Departure receives (IE013) a guarantee amendment within the agreed time limit, this means before the expiration of the 'Guarantee awaiting for amendment' timer.</p>	

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When the guarantee amendment failed to pass the formal validation process performed by the system, or when the amendment request contains other data to amend than guarantee details, it is rejected. The Office of Departure notifies (IE005) the Principal of the invalidation of the guarantee amendment with reasons (see dashed line labelled "Not valid").

When the formal validation process is successful, NCTS accepts the amended guarantee data and the processing continues with the check and the registration of the Guarantee. The timer "Guarantee awaiting for amendment" is stopped (see dashed line labelled "Guarantee amendment valid").

Final situation :

Either the guarantee amendment is valid, the state of the Transit Operation is set to 'Guarantee under registration', or

the guarantee amendment is rejected, the state of the Transit Operation stays 'Guarantee under amendment'.

Major Result

R_Movement may go to destination

Organisation : National Customs Administration

Location : Office of Departure

The Community/Common Transit movement may start and go to the destination.

Minor Results

R_Goods released for Transit

Organisation : National Customs Administration

Location : Premise of Trader at Departure or Office of Departure

The NCTS Accompanying Document is printed under responsibility of the Customs Officer at the Office of Departure or at the premises of the Authorised Consignor.

R_Enquiry initiation timer started

Organisation : National Customs Administration

Location : Office of Departure

The timer that initiates an enquiry procedure is started.

R_Office of Transit notified of departure

Organisation : National Customs Administration

Location : Declared Office of Transit

The declared Office(s) of Transit is (are) notified of the departure and where relevant of the safety and security risk analysis results of a movement.

R_Office of Destination notified of departure

Organisation : National Customs Administration

Location : Declared Office of Destination

The declared Office of Destination is notified of the departure and where relevant of the safety and security risk analysis results of a movement.

R_OLAF notified of sensitive goods

Organisation : National Customs Administration

Location : OLAF

OLAF (Anti-Fraud Transit Information System -ATIS) is notified of the release of transit of sensitive goods

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at the Office of Departure.

R_Principal notified of negative guarantee result
Organisation : National Customs Administration
Location : Premise of Trader at Departure or Office of Departure
The Principal or Authorised Consignor is notified of the fact that the declared guarantee was not acceptable.

R_Principal notified of the invalidity of the guarantee details
Organisation : National Customs Administration
Location : Premise of Trader at Departure or Office of Departure
The Principal or Authorised Consignor is notified of the fact that the amended guarantee details were not valid.

The results "R_Goods not released for Transit" and "R_Check of the guarantees has been asked" are explained under Heading "CO1A - Process Departure - Acceptance/Controls".

1.5 CO02 - Process arrival

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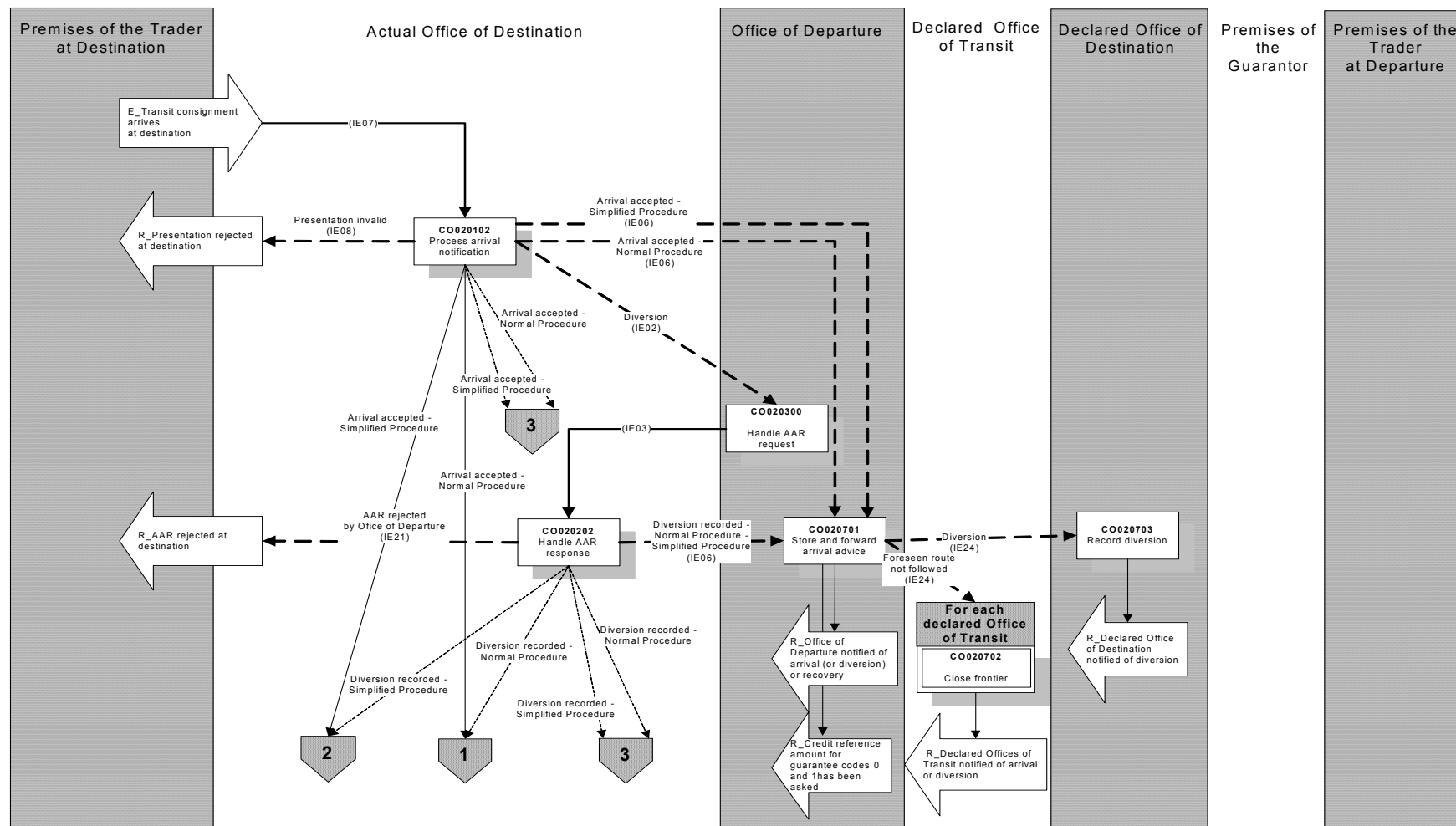


Figure 4: CO02 - Process Arrival part I

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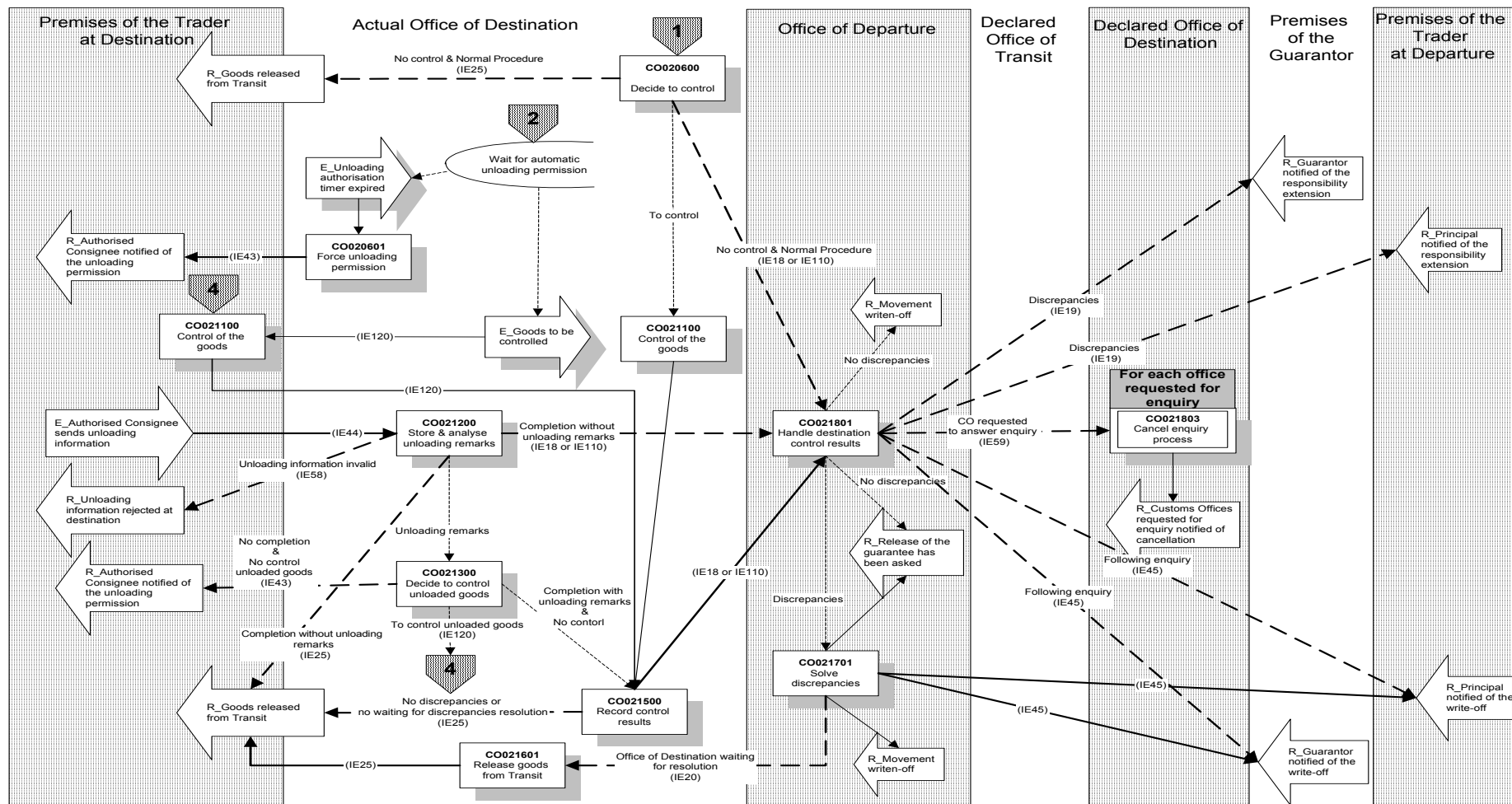


Figure 5: CO02 - Process Arrival part II

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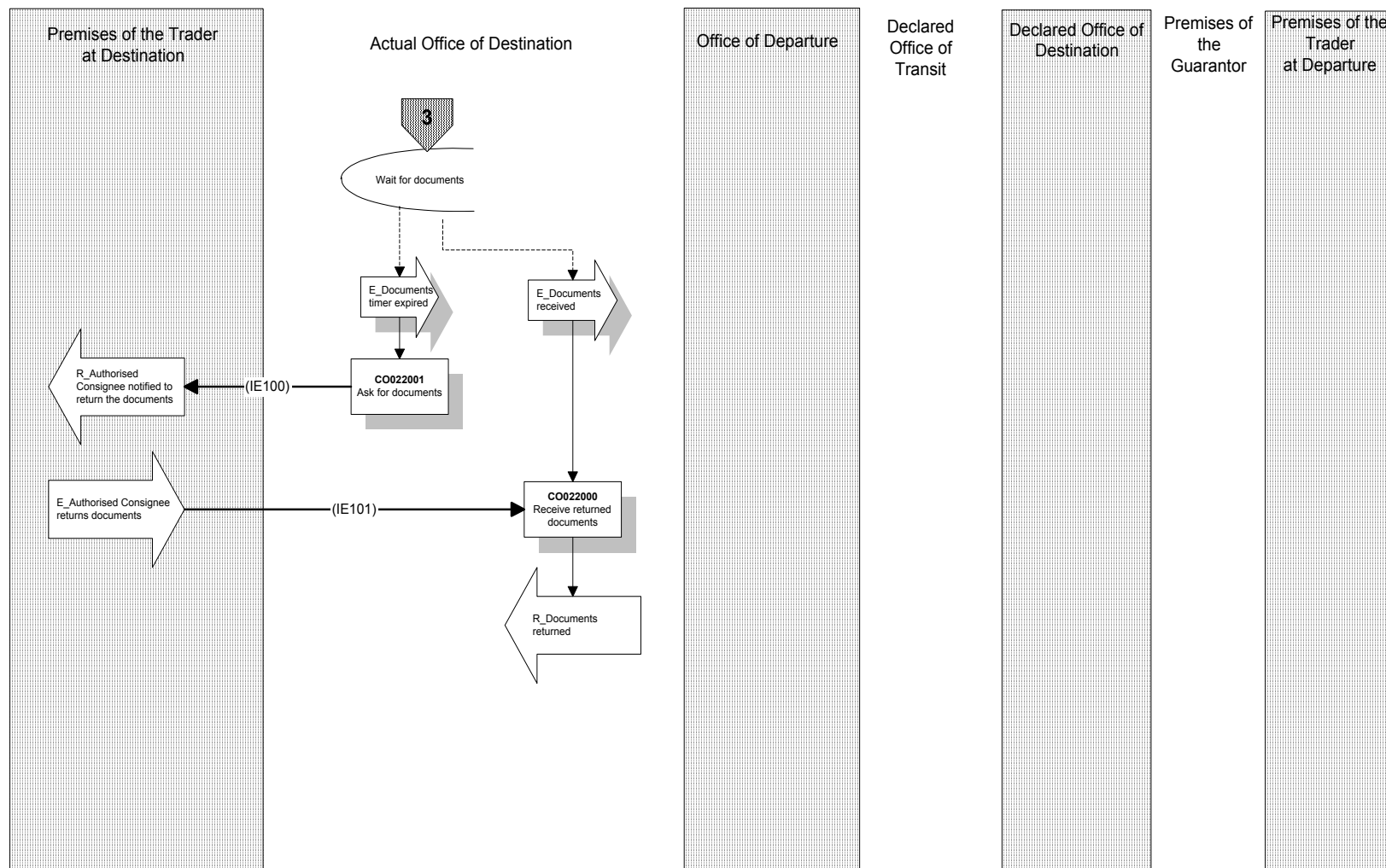


Figure 6: CO02 - Process Arrival part III

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Major Event

E_Transit consignment arrives at destination
Organisation : Trader
Location : Premises of the Trader at Destination or Actual Office of Destination
<p>The consignment has reached its destination.</p> <p>The consignment may either be at the Office of Destination or in some other place called the 'goods place' which will be specified to the Office of Destination. If the consignment is under the responsibility of an Authorised Consignee, the goods lay in the goods place.</p>

Minor Events

E_Authorised Consignee sends unloading information
Organisation : Trader
Location : Premises of the Trader at Destination
The Authorised Consignee communicates the unloading information.

E_Unloading authorisation timer expired
Organisation : National Customs Administration
Location : Actual Office of Destination
At the expiration of the timer 'Wait for automatic unloading permission' the Trader is automatically notified that he can start the unloading of the goods.

E_Goods to be controlled
Organisation : National Customs Administration
Location : Actual Office of Destination
The Customs Officer takes the decision to control the consignment. This event stops the timer 'Wait for automatic unloading permission'.

E_Documents timer expired
Organisation : National Customs Administration
Location : Actual Office of Destination
At the expiration of the timer 'Wait for documents' the Authorised Consignee is automatically notified that he has to return the document(s).

E_Authorised Consignee returns documents
Organisation : Trader
Location : Premises of the Trader at Destination
The Authorised Consignee returns the documents to the Office of Destination.

E_Documents received
Organisation : National Customs Administration
Location : Actual Office of Destination
The Customs Officer receives the document(s) from the Authorised Consignee. This event stops the timer 'Wait for documents'.

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Processes

Process arrival notification	Process: CO020102
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint : On reception of an arrival notification under simplified procedure, the Office of Destination has to respond within the pre-defined time period defined in the authorisation of Authorised Consignee.	
Description : <p>The Office of Destination is notified (IE007) by the Authorised Consignee or by the Principal’s representative of the arrival of a consignment.</p> <p>When an arrival notification (IE007) is presented under simplified procedure (IE007.CTL_CONTROL.Simplified procedure flag is present), NCTS checks that the Trader who communicates the arrival (IE07.TRADER.TIN) is indeed authorised (Authorised Consignee) to use simplified procedure at that Office of Destination and checks that the location where the consignment can be controlled (IE007.TRANSIT OPERATION.Arrival location of goods authorised) is amongst the various authorised places specified in the authorisation.</p> <p>When an arrival notification (IE007) is presented under normal procedure (IE007.CTL_CONTROL.Simplified procedure flag is absent), then the location where the consignment can be controlled is either:</p> <ul style="list-style-type: none"> • at the Office of Destination, when IE007.TRANSIT OPERATION.Arrival agreed location of goods and IE007.TRANSIT OPERATION.Arrival agreed location code and IE007.TRANSIT.OPERATION.Customs sub place are absent; • at an agreed location of goods, when IE007.TRANSIT OPERATION.Arrival agreed location of goods or IE007.TRANSIT OPERATION.Arrival agreed location code is present and acceptable by the Customs Office, the system will notify the Customs Officer that he has to validate manually the location, no further processing is foreseen in NCTS to handle this kind of locations; • at a Customs sub place, when IE007.TRANSIT OPERATION. Customs sub place is present; in this case NCTS checks it against the various Customs sub places acceptable for the Office of Destination. <p>When the arrival is invalid, NCTS rejects the arrival notification and notifies (IE008) the Trader that the presentation is invalid with the reason of the rejection (see dashed line labelled “Presentation invalid”).</p> <p>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).</p> <p>If the movement information is not available either in case of international diversion² or in exceptional situations³, NCTS asks (IE002) that information to the Country of Departure (see dashed lines labelled “Diversion”).</p> <p>If an AAR request is made (IE002) to the Country of Departure, then this EBP ends by recording that the AAR has been requested.</p> <p>If no diversion occurred, NCTS notifies (IE006) the Office of Departure that the arrival is accepted and the arrival is recorded into NCTS (see dashed line labelled “Arrival accepted – Simplified Procedure” (see connector 2) or “Arrival accepted - Normal Procedure” (see connector 1)). In case of simplified procedure, a 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 (see dashed line labelled “Arrival accepted – Simplified Procedure”).</p> <p><u>Processing common to EBP CO020202.</u></p> <p>If transshipment and/or incident occurred during the journey, the related information is a part of the arrival notification information (IE007.EN ROUTE EVENT) and is recorded into NCTS. It will be forwarded (IE018) automatically to the Office of Departure with the destination control results.</p>	

² International diversion: movement diverted to another country than the one of the declared Office of Destination.

National diversion: movement diverted to another Office of Destination but in the same country than the one of the declared Office of Destination.

³ These exceptions situations are analysed in Section IX “Exception handling”.

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If the Trader is present at the Office of Destination, he gives the NCTS Accompanying Document (and optionally the NCTS Return Copy to the Customs Officer. If some incidents occurred to the movement and the competent authorities (e.g. Police) provided the lorry driver with additional documents then these documents are also provided to the Office of Destination. The Customs Officer records into NCTS the reception of these documents, a filing reference number is associated to the movement data that allows the filing of the received document(s) in the Office of Destination.

If the Principal's representative is not present at the Office of Destination, NCTS starts a timer "Wait for documents" to protect the non reception of the documents within an agreed time period (see connector 3).

An analysis of risk is done at this stage in order to help the Customs Officer in his decision to control the consignment. Risk analysis results if available (in particular the ones on Community level with the value 'E' where the control should be carried out by the Office of Destination involved in the transit movement) communicated by the Office of Departure or Transit (since there is no communication between the Office of Transit and the Office of Destination, this option can be used only if the Office of Destination is located in the same country as the Office of Transit) shall either be accepted or taken into account when carrying out risk analysis at the Office of Destination. This case is only applicable, if the regulation provides for a delegation of controls to other Customs Offices.

NCTS records the results of the risk analysis.

Final situation :

If the arrival notification is not valid then it is rejected, the state of the Transit Operation remains 'AAR Created';

If there is an international diversion, the Office of Destination waits the information from the 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 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 and the result is recorded in NCTS.

Handle AAR response	Process: CO020202
Organisation : National Customs Administration	
Location : Actual Office of Destination	
<p>Constraint :</p> <p>Goods may be diverted to an Office of Destination which at the same time may be the Office of first Entry into the Community. However, the Office may not be aware of this, considering that it is not informed when an Office of Entry located in another Member state send a notification of crossing frontier (IE118) to the Office of Departure confirming that the safety and security checks at the first Entry have been performed already.</p> <p>Therefore, if the Office receiving the AAR-response is the Office of first Entry or if it can not determine, whether or not it is the first Office of Entry, it shall apply the safety and security regulation and perform all related tasks within the prescribed time limits (see regulation) under following conditions:</p> <ul style="list-style-type: none"> • The actual Office of Destination is located in an EU Member State and no Entry has been registered there (no IE118- notification crossing border created) and • The Office of Departure is located in another country than an EU Member State 	
<p>Description :</p> <p>The Office of Destination receives (IE003) the answer from the Office of Departure about a Transit movement.</p> <p>If the answer does not contain the requested AAR (IE003.TRANSIT OPERATION. AAR rejection reason is present), NCTS rejects the arrival and notifies (IE021) the Trader about the rejection (see dashed line labelled "Diversion AAR rejected by Office of Departure").</p> <p>In case of use of special mention codes DG0 or DG1, NCTS notifies the Customs officer at the Office of Destination that the goods shall be kept under its control and not allow their removal other than to the Contracting Party having jurisdiction over the Office of Departure, unless specifically authorised by the latter.</p> <p>The provided AAR-response (IE003) contains the relevant safety and security data elements under following</p>	

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conditions:

- The requested AAR-data is provided (IE003.TRANSIT OPERATION. AAR rejection reason is not present)

- NCTS is used for safety and security (IE003.TRANSIT OPERATION.Security = '1'),

Diversion: If the constraint is met (Office is considered to be the Office of first Entry into the Community):

- Full safety and security related risk analysis for all the goods shall be initiated by NCTS and performed by the national risk application according to the rules set out by the risk management framework.
- If positive risk is identified, the national risk analysis system generates the risk analysis code. If the identified risk relates to a specific goods item of the transit declaration, the relevant goods item number shall be identified by the national risk analysis system.
- The national risk analysis system records the risk analysis results in the NCTS transit declaration. If the risk analysis result relates to a specific goods item, then the relevant goods item is recorded (RISK ANALYSIS.Item number (box 32) involved). In any other case the 'RISK ANALYSIS.Item number (box 32) involved' is not used.
- The first four digits of the risk analysis code are not transparent to NCTS but managed by the national risk analysis systems. The last digit of the risk analysis result code is transparent to NCTS and used by NCTS to identify the appropriate actions.
 - The value is 'B': an immediate action at the Office of Destination (Entry into the Community) is required; NCTS proposes the goods to be controlled;
 - The value is 'Z': No risk analysis could be performed;
 - The value is 'N': National risk analysis result (national matter).
- Random risk parameters shall be used additionally.
- If risk is identified:
 - The Customs Officer is alerted and asked to register a control decision.
 - Normal procedure: Next step is CO020600 (Decide to control).
 - Simplified procedure: The sending of the unloading permission is blocked. Next step is CO021100 (Control of the goods).

When diversion occurred (movement information not available at the Office of Destination), NCTS records the movement information (IE003.C_AAR_SND) into the system (see dashed lines labelled "Diversion recorded - Simplified Procedure" or "Diversion recorded - Normal Procedure") and notifies (IE006) the Office of Departure that the arrival is accepted. In case of simplified procedure, a 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 (see dashed line labelled "Diversion recorded - Simplified Procedure" (see connector 2)).

For the rest of the processing, see common processing described in EBP CO020102.

Final situation :

Where the AAR is not provided the trader is informed consequently.

The diversion is recorded into NCTS, the Office of Departure is notified of the arrival, and the state of the Transit Operation is set to 'Arrival Accepted'.

Handle AAR request	Process: CO020300
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : This business process is used to obtain data on a Transit Operation for which data is not available in the country of the actual Office of Destination (international diversion or exceptional case). Automated response should be returned to Office of Destination in maximum 60 seconds. Safety and security risk analysis results shall be exchanged between the Community and other countries only if there is a legal basis for doing so.	
Description :	

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The Country of Departure is asked (IE002) by the Office of Destination to provide information about a movement. NCTS retrieves the movement information referenced by the MRN brought in the received information (IE002.TRANSIT OPERATION.MRN).

NCTS automatically sends (IE003) back to the Office of Destination the required information about the movements. If the provided request (IE002) relates to a transit movement which is also used for safety and security (IE001.TRANSIT OPERATION.Security = '1'), and if the requested data is available at departure, then the response (IE003) shall contain the relevant additional safety and security data elements.

The safety and security risk analysis results shall be sent in IE003 if all of the following conditions are met:

- The requesting (actual) Office of Destination is located in an EU Member State;
- The declared Office of Departure is located in an EU Member State;
- The last digit of the risk analysis result code is 'D', 'E' or 'Z'.

When the case occurs, the customs officer notifies (IE003) the office of destination that the requested AAR is not sent and the related reasons.

Final situation :

IE003 is sent to the Office of Destination.

Decide to control	Process: CO020600
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint : This process can only occur for movements under Normal Procedure.	
Description : <p>The Customs Officer compiles all the information he needs (the movement information retrieved by NCTS via the MRN brought in with the arrival notification (IE007.TRANSIT OPERATION.MRN) and the result of an analysis of risk in order to decide if a control is required.</p> <p>If the Actual Office of Destination is located in an EU Member State, then risk analysis results (if available, in particular the ones on Community level) communicated by the Office of Departure shall either be accepted or taken into account when deciding to control.</p> <p>Even if the risk analysis is an automatic process, the final decision to control may be overruled by the Customs Officer.</p> <p><u>First case:</u> the Customs Officer decides to control.</p> <p>On request, the Customs Officer can ask for the printout of the movement description information based on the MRN brought in the arrival notification (IE007.TRANSIT OPERATION.MRN).</p> <p>The control will be performed at the Office of Destination (when IE07.TRANSIT OPERATION.Arrival agreed location of goods and IE007.TRANSIT OPERATION.Arrival agreed location code and IE007.TRANSIT OPERATION.Customs sub place are absent), at an agreed location of goods (when IE007.TRANSIT OPERATION.Arrival agreed location of goods or IE007.TRANSIT OPERATION.Arrival agreed location code is present and acceptable by the Customs Officer) or at a Customs sub place (when IE007.TRANSIT OPERATION. Customs sub place is present) in which case the Customs Officer goes to that place, without time constraint (see dashed line labelled "To control").</p> <p><u>Second case:</u> the Customs Officer decides not to control.</p> <p>If risk analysis had proposed to take measures at the Office of Destination but the Customs Officer decides not to control, then NCTS requires the Customs Officer to confirm the decision not to control.</p> <p>The goods are ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.). In case of internal community transit, the goods are released from transit (the Trader can dispose of the goods). NCTS notifies (IE025) the Trader of that fact.</p> <p>NCTS notifies (IE018) the Office of Departure about the control results set to "Considered satisfactory" together with the transshipment and/or incidents if they occurred during the journey and converts the Transit Operation Data into a format reusable by other applications (see dashed lines</p>	

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labelled "No control & Normal Procedure").

NCTS converts the Transit Operation Data into a format reusable by other applications (see dashed lines labelled "No control & Normal Procedure").

The Customs Officer records the decision not to control the consignment.

Final situation :

One of the following decision is taken: no control at all, the state of the Transit Operation is set to 'Goods released', or a control will be performed, the state of the Transit Operation is set to 'Under Control'.

Force unloading permission	Process: CO020601
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint : This process can only occur for movements under simplified procedure.	
Description : The Customs Officer at Destination didn't take the decision to control the goods within the agreed time period. Thus NCTS notifies (IE043) the Trader that he can start the unloading of the goods and records the unloading permission. Final situation : The Trader is notified that he can start the unloading of the goods. The state of the Transit Operation is set to 'Unloading'.	

Store and forward arrival advice	Process: CO020701
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : When the IE024 is transmitted via EDI and when two or more Offices of Transit or an Office of Transit and the Office of Destination belong to the same National Administration, then only one IE024 is sent to the National Administration in question.	
Description : The Office of Departure is notified (IE006) about the acceptance of an arrival by the Office of Destination. Based on the MRN brought in the arrival advice (IE006.TRANSIT OPERATION.MRN), NCTS records the arrival or diversion of the consignment. NCTS notifies (IE024) the declared Office of Destination (in case of diversion) (see dashed line labelled "Diversion") and the declared Offices of Transit (which have not notified that the consignment has crossed the frontier) related to the movement of the arrival at destination (see dashed line labelled "Foreseen route not followed"). In addition, if a Customs Office has asked for IE003 or IE115, but these messages are not used, then an IE024 will also be sent to these offices in order to close the IE003, and/or the IE115. If the case occurs, NCTS notifies the Customs Officer that the movement has ended in a Contracting Party other than the one declared so that the Office of Departure can take, where necessary, measures to regularise the situation. In case of use of Guarantee codes '0' and '1', NCTS asks the office of Guarantee to credit the reference amount. When an enquiry at another Office of Destination is in progress, NCTS records the cancellation of the enquiry (see Process: CO021803) and notifies (IE059) all Customs Offices (except the one which sent the control results) that were requested to answer to the enquiry about the cancellation (see dashed line labelled "CO requested to answer enquiry"). If during an enquiry the Office of Departure is notified via IE143 with code 3 (return copy returned on) about the arrival by the Office of Destination, the Office of Departure awaits the arrival of the alternative proof and NCTS records the arrival of the consignment. When the Office of Departure receives the alternative proof (see CO043100, CO040002 waiting for paper control result to arrive), the IE024 is sent to all involved offices	

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to close the movement in their system.

Final situation :

The Office of Departure is notified of the arrival of the movement at destination, the state of the Transit Operation is set to 'Arrived'; the credit of the reference amount is asked.

Close frontier	Process: CO020702
Organisation : National Customs Administration	
Location : Declared Office of Transit	
Constraint :	
Description : The declared Office of Transit, related to the movement, is notified (IE024) by the Office of Departure about the arrival of the consignment at destination. The same occurs in case the office of Transit has requested an IE115, but has not used it. Based on the MRN brought in the forwarded arrival advice (IE024.TRANSIT OPERATION.MRN), NCTS records the arrival of the consignment and so avoids any future usage of that MRN.	
Final situation : The relevant Office(s) of Transit is/are notified about the arrival of the movement at destination; the state of the Transit Operation is set to 'Arrived'.	

Record diversion	Process: CO020703
Organisation : National Customs Administration	
Location : Declared Office of Destination	
Constraint :	
Description : The Declared Office of Destination is notified (IE024) by the Office of Departure about a diversion. The same occurs in case the office of Destination has requested an IE 03, but has not used it. Based on the MRN brought in the forwarded arrival advice (IE024.TRANSIT OPERATION.MRN), NCTS records the arrival of the consignment.	
Final situation : The relevant Office(s) of Destination no longer waits/wait for a movement with that MRN, the state of the Transit Operation is set to 'Arrived'.	

Control of the goods	Process: CO021100
Organisation : National Customs Administration	
Location : Actual Office of Destination, Premises of the Trader at Destination	
Constraint :	
Description : This manual process is performed only if the Customs Officer decided to do it. The Customs Officer goes to the goods place (as specified in the arrival notification IE007) in order to verify the seals, documents or goods (or all of them), taking with him the printout of the movement description information (IE120) based on the MRN brought in the arrival notification (IE007.TRANSIT OPERATION.MRN)). The Customs Officer controls the consignment and the supporting documents against the printout of the movement description information.	
Final situation : Seals, documents and consignment are controlled.	

Store & analyse unloading remarks	Process: CO021200
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Organisation : National Customs Administration
Location : Actual Office of Destination
Constraint : This process can only occur for movements under simplified procedure.
Description : <p>The Office of Destination receives (IE044) unloading information from the Authorised Consignee. NCTS checks the validity of the received information.</p> <p>NCTS notifies (IE058) the Trader in case the validity checks are not successful.</p> <p>NCTS stores the unloading information into NCTS related to the movement information referenced by the MRN brought in the unloading remarks (IE044.TRANSIT OPERATION.MRN).</p> <p>When the unloading is completed (IE044.TRANSIT OPERATION. Completion is present) without unloading remarks, then NCTS records that the goods are ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.). In case of internal community transit, the goods are released from transit (the Trader can dispose of the goods). NCTS notifies (IE025) the Trader of that fact.</p> <p>NCTS notifies (IE018) the Office of Departure about the control results set to "Considered satisfactory" and converts the Transit Operation Data into a format reusable by other applications (see dashed lines labelled "Completion without unloading remarks").</p> <p>When the unloading is not completed (IE044.TRANSIT OPERATION. Completion is absent) and thus there are unloading remarks then NCTS notifies the Customs Officer that he has to decide to control or not the consignment (see dashed line labelled "Unloading remarks").</p> <p>Final situation :</p> <p>The goods are ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.), the state of the Transit Operation is set to 'Goods released'; or</p> <p>The Customs Officer has to decide to control or not the consignment, the state of the Transit Operation is set to 'Unloading Remarks'.</p>

Decide to control unloaded goods	Process: CO021300
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint : This process can only occur for movements under simplified procedure.	
Description : <p>The Customs Officer compiles all the information he needs (the movement information retrieved by NCTS via the MRN brought in by the unloading remarks (IE044.TRANSIT OPERATION.MRN) and the unloading remarks received (IE044) from the Authorised Consignee in order to decide if a control is required.</p> <p>If the Actual Office of Destination is located in an EU Member State, then risk analysis results communicated (IE001/IE003) by the Office of Departure (if available, in particular the ones on Community level) shall be taken into account when deciding to control.</p> <p>When the Customs Officer decides to control, NCTS records this decision (IE043, flag '0') and the Customs Officer goes to the unloading place (IE007.TRANSIT OPERATION. Arrival location of goods authorised) and controls the consignment (IE120) (see dashed line labelled "To control unloaded goods").</p> <p>When the Customs Officer decides not to control and the unloading is not completed, NCTS records this decision and notifies (IE043) the Authorised Consignee of the decision allowing him to continue the unloading (IE043.TRANSIT OPERATION. Continue unloading present) (see dashed line labelled "No completion & No control unloaded goods").</p> <p>When the Customs Officer decides not to control and the unloading is completed, NCTS notifies the Customs Officer at the Office of Destination that he has to analyse the unloading remarks in order to translate them into controls results of type "A" or "B" (see dashed line labelled "Completion with unloading remarks & No control").</p> <p>Final situation :</p> <p>One of the following decision is taken :</p>	

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No control at all, the state of the Transit Operation is set respectively to 'Unloading' (if the unloading is not completed) or to 'Goods released' (if the unloading is completed).
A control has been decided, the state of the Transit Operation is set to 'Under control'.

Record control results	Process: CO021500
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint :	
<p>Description :</p> <p>The Customs Officer at the Office of Destination has to record the results of a control after he returns from the control of the goods (IE120) or (only under Simplified Procedure) he has to translate unloading remarks received (IE044) from an Authorised Consignee into control results of type A (satisfactory) or B (discrepancies found).</p> <p>If the control revealed that goods shall not enter the Customs territory of the Community because there are reasonable grounds for the Office of Destination - which is at the same time the Office of first Entry - to consider that the introduction of the goods into the customs territory of the Community would pose a serious threat to the safety and security of the Community, this is recorded in NCTS.</p> <p>When applicable, i.e. when control results are of type B and official report(s) related to incident(s) is(are) available, the Customs Officer at the Office of Destination indicates in the control results that these reports will be provided (later on) on a paper-based manner or other means to the Office of Departure (IE018.RESULT OF CONTROL. Description).</p> <p>In case of control results of type B (Discrepancies), the Customs Officer at the Office of Destination may decide on his own to wait for the resolution of the discrepancies at the Office of Departure before releasing the goods. The Office of Departure will be informed if the Office of Destination decided so (IE018.TRANSIT OPERATION. Waiting for discrepancies resolution set to yes).</p> <p>NCTS records the control results.</p> <p>When there are no discrepancies or the Customs Officer decides not to wait for the discrepancies resolution at the Office of Departure, then NCTS records that the goods are ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.). In case of internal community transit, the goods are released from transit (the Trader can dispose of the goods). NCTS notifies (IE025) the Trader of that fact. NCTS converts the Transit Operation Data, into a format reusable by other applications (see dashed line labelled "No discrepancies or no waiting for discrepancies resolution").</p> <p>When the Customs Officer decides to wait for the discrepancies resolution at the Office of Departure, then NCTS records the fact that the Office of Destination is waiting.</p> <p>NCTS notifies (IE018) the Office of Departure about the control results, together with the transshipment and/or incidents if they occurred during the journey.</p> <p>Final situation :</p> <p>Control results are stored into NCTS. The Office of Departure is notified of the control results; the goods are either ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.), the state of the Transit Operation is set to 'Goods released' or discrepancies have first to be solved by the Office of Departure, the state of the Transit Operation is set to 'Waiting for discrepancies resolution'.</p>	

Release goods from Transit	Process: CO021601
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint :	
<p>Description :</p> <p>The Office of Destination is notified (IE020) by the Office of Departure that the discrepancies for the movement identified by IE020.TRANSIT OPERATION.MRN are solved or not at the Office of Departure. NCTS records that the goods are ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.). In case of internal community transit, the goods are released from transit (the Trader can dispose of the goods). NCTS notifies (IE025) the Trader of that fact. NCTS converts the Transit Operation</p>	

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Data into a format reusable by other applications.

Final situation :

The goods are ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.). In case of internal community transit, the goods are released from transit (the Trader can dispose of the goods), the state of the Transit Operation is set to 'Goods released'.

Solve discrepancies	Process: CO021701
Organisation : National Customs Administration	
Location : Office of Departure	
<p>Constraint :</p> <p>If the Office of Destination decided to wait for the discrepancies resolution, the Office of Departure is notified of that decision. The Customs Officer at the Office of Departure is then aware that the release of the goods is suspended until the end of the resolution.</p>	
<p>Description :</p> <p>This is a procedure to be handled if control results are of type 'B' (IE018.CONTROL RESULT. Control result type equal to 'B'). If the Office of Destination decided to wait for the discrepancies resolution, the Customs Officer at the Office of Departure is notified of that decision by the system (IE018.TRANSIT OPERATION. Waiting for discrepancies resolution is set on yes). He is then aware that the further process of the goods is suspended until the entire clarification of the irregularities.</p> <p>This procedure mainly consists of exchanging information between the Office of Destination or the Principal and the Office of Departure. Papers related to the movement are checked against the data in the system. During the enquiry and the recovery procedure the IE144 and IE145 can be used to exchange information or questions, whereas the IE144 is sent only by the customs office of departure and IE145 is sent only by the customs office of destination. This information exchange can be started either by the Office of Departure or the Office of Destination, no reply is needed since it can be only information sent and not a question asked. NCTS will provide Customs Officer at Office of Departure and Office of Destination with:</p> <ol style="list-style-type: none"> 1. Access to the information about that movement, based on the MRN brought in the control results (IE018.TRANSIT OPERATION.MRN); 2. Tools to allow them to record and track the operations performed in order to solve those discrepancies (see under Heading 1.11 'CO09 - Assist users in their daily work'). IE144 and IE145 can be used to exchange information during the enquiry and recovery procedure. <p>When applicable, i.e. when incident occurred and the Office of Destination notified (IE018) via the control results that other official documents will follow (IE018.TRANSIT OPERATION. Incident documents on paper set to present), the Office of Departure may decide to wait for these documents in order to solve the discrepancies.</p> <p>After the discrepancies are solved:</p> <ul style="list-style-type: none"> • NCTS records the write-off, notifies (IE045) the Principal and the Guarantor that the movement is written-off and asks the release of the guarantee. • When the Office of Destination decided to wait for the discrepancies resolution (IE018.TRANSIT OPERATION. Waiting for discrepancies resolution is present), NCTS notifies (IE020) this Office of Destination that the discrepancies are solved so that he can release the goods (see dashed line labelled "Office of Destination waiting for resolution"). <p>Final situation :</p> <p>When the discrepancies are solved, then the movement is written-off; the release of the guarantee is asked; the state of the Transit Operation is set to 'Movement written off'.</p> <p>If requested, the Office of Destination is notified of the discrepancies resolution.</p>	

Handle destination control results	Process: CO021801
Organisation : National Customs Administration	
Location : Office of Departure	

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Constraint :
<p>Description :</p> <p>The Office of Departure receives (IE018) the control results from the Office of Destination. Based on the MRN brought in the control results (IE018.TRANSIT OPERATION.MRN), NCTS records these control results together with the incidents if they occurred (IE018.EN ROUTE EVENT is present).</p> <p>When there are discrepancies detected (IE018.CONTROL RESULT. Control result type is equal to "B" or then :</p> <ul style="list-style-type: none"> • The Customs Officer or NCTS records that the Principal's responsibility is extended and notifies (IE019) the Guarantor and the Principal about their extended responsibility (see dashed lines labelled "Discrepancies (IE019)"). • When the Customs Officer at the Office of Destination decided to wait for the discrepancies resolution before releasing of the goods (IE018.TRANSIT OPERATION. Waiting for discrepancies resolution is set on yes), NCTS notifies the Customs Officer at Departure that the Office of Destination is waiting for the discrepancies resolution (see dashed line labeled "Discrepancies"). <p>When there are no discrepancies detected (IE018.CONTROL RESULT.Control result type equal to "A" then :</p> <ul style="list-style-type: none"> • The Customs Officer or NCTS records the write-off. • NCTS asks the release of the guarantee (see dashed line labelled "No discrepancies" which connects to the process GU14 "Release Guarantee"); • When an enquiry was in progress, NCTS notifies (IE045) the Principal and the Guarantor that the movement is written-off (see dashed line labelled "Following enquiry"). <p>When an enquiry is in progress about the movement, NCTS records the cancellation of the enquiry and notifies (IE059) all Customs Offices (except the one which sent the control results) that were requested to answer to the enquiry about the cancellation (see dashed line labelled "CO requested to answer enquiry").</p> <p>Final situation :</p> <p>If there are no discrepancies then the movement is written-off; the release of the guarantee is asked; any enquiry is cancelled; the state of the Transit Operation is set to 'Movement written off'. If there are discrepancies, these have first to be solved; the state of the Transit Operation is set to 'Movement under resolution'.</p>

Cancel enquiry process	Process: CO021803
Organisation : National Customs Administration	
Location : Declared Office of Destination	
Constraint :	
<p>Description :</p> <p>The Customs Office, requested for enquiry, is notified (IE059) that the enquiry related to the movement identified by IE059.TRANSIT OPERATION.MRN can be cancelled. NCTS records the cancellation.</p> <p>Final situation :</p> <p>Customs Office requested for enquiry is notified of its cancellation and any work related to that enquiry can stop.</p>	

Receive returned documents	Process: CO022000
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint :	
<p>Description :</p> <p>The Office of Destination receives (IE101) the documents related to the movement from the Authorised Consignee. The Customs Officer records into NCTS that the documents were returned, a filing reference number which is associated to the movement data and which allows the filing of the received document(s) is allocated.</p>	

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Final situation : Documents are returned.

Ask for documents	Process: CO022001
Organisation : National Customs Administration	
Location : Actual Office of Destination	
Constraint :	
Description : Until the documents are returned, NCTS periodically notifies (IE100) the Authorised Consignee that he has to return them to the Office of Destination where the consignment arrived.	
Final situation : The Authorised Consignee is notified by the Office of Destination that he still must return the documents.	

Major Result

R_Movement written-off
Organisation: National Customs Administration
Location: Office of Departure
The Transit Movement is written-off.

Minor Results

R_Goods released from Transit
Organisation: National Customs Administration
Location: Premises of the Trader at Destination or Actual Office of Destination
The goods are ready for the next procedure / activity (e.g. temporary storage, import procedure, etc.). In case of internal community transit, the goods are released from transit (the Trader can dispose of the goods). The information confirming that the goods are ready for the next procedure/ activity, is communicated where necessary to the Authorised Consignee or to the Principal representative (e.g. for EU T2 Transit operation issued to cross EFTA countries).

R_Presentation rejected at destination
Organisation: National Customs Administration
Location: Premises of the Trader at Destination or Actual Office of Destination
The Trader is notified of the fact that the presentation is not valid.

R_AAR rejected at destination
Organisation: National Customs Administration
Location: Premises of the Trader at Destination or Actual Office of Destination
The AAR is rejected. The Customs Officer takes a business decision.

R_Authorised Consignee notified of the unloading permission
Organisation: National Customs Administration
Location: Premises of the Trader at Destination
The Authorised Consignee receives the unloading permission.

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R_Unloading information rejected at destination
Organisation: National Customs Administration
Location: Premises of the Trader at Destination
The Authorised Consignee is notified of the fact that the unloading information is not valid.

R_Office of Departure notified of arrival (or diversion)
Organisation: National Customs Administration
Location: Office of Departure
The arrival advice is received by the Office of Departure.

R_Credit reference amount for guarantee codes 0 and 1 has been asked
Organisation: National Customs Administration
Location: Office of Departure
This result activates the event “E_Office of Departure requests for credit reference amount” which triggers the process GU14A “Credit reference amount” at the Office of Guarantee.

R_Declared Offices of Transit notified of arrival or diversion
Organisation: National Customs Administration
Location: Declared Office of Transit
The arrival advice is received by the declared/relevant Office(s) of Transit.

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R_Declared Office of Destination notified of diversion
Organisation: National Customs Administration
Location: Declared Office of Destination
The arrival advice (which indicates a diversion) is received by the declared/relevant Office(s) of Destination.

R_Principal notified of the responsibility extension
Organisation: National Customs Administration
Location: Premises of the Trader at Departure
The Principal receives a description of the encountered discrepancies. This implies that his liability is still engaged.

R_Guarantor notified of the responsibility extension
Organisation: National Customs Administration
Location: Premises of the Guarantor
The Guarantor receives a description of the encountered discrepancies. This implies that his liability is still engaged.

R_Customs Offices requested for enquiry notified of cancellation
Organisation: National Customs Administration
Location: Declared Office of Destination
An Office of Destination was requested by the Office of Departure to respond to an enquiry. Another Customs Office which was also requested to respond to this enquiry answered positively the request. By this notification to all requested Customs Offices, the Office of Departure prevents them to perform useless work.

R_Principal notified of the write-off
Organisation: National Customs Administration
Location: Premises of the Trader at Departure
The Principal is informed of the write-off of the movement.

R_Guarantor notified of the write-off
Organisation: National Customs Administration
Location: Premises of the Guarantor
The Guarantor is notified of the write-off of the movement.

R_Release of the guarantee has been asked
Organisation: National Customs Administration
Location: Office of Departure
This result activates the event “E_Office of Departure requests for release of guarantees” which triggers the process GU14 “Release guarantee” at the Office of Guarantee.

R_Authorised Consignee notified to return the documents
Organisation : National Customs Administration
Location : Premises of the Trader at Destination
The Authorised Consignee is notified that he has to return the documents to the Office of Destination.

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R_Documents returned
Organisation: National Customs Administration
Location: Actual Office of Destination
The documents that were carried by the Goods Carrier and sent by the Authorised Consignee are returned to the Office of Destination.

Remarks

1. Once the Office of Destination has decided to perform a control of the goods at the Authorised Consignee's premises, the Customs Officer leaves the goods place with the final results of the controls, i.e., he does not control only a part of the consignment and does not leave the goods place before the Authorised Consignee has finished the unloading, or even if he does so, his control results will cover the whole shipment.
2. Once the Office of Destination allows the Authorised Consignee to unload the goods, he will not subsequently perform control (unless the Authorised Consignee sends unloading remarks that require a control of the goods). This prevents the Office of Destination to allow the Authorised Consignee to start the unloading and perform afterwards a 'surprise visit (or unannounced control)', within the Transit procedure itself. Such a "surprise visit" is of course a possibility at any time, outside of the specific processing of a given Transit movement.
3. Neither the Authorised Consignee nor the Principal's representative at destination is notified by the Customs that the movement is written-off.
4. Once the goods are released from Transit, they are submitted to another customs procedure or put in a temporary storage, as far as they are not fully released. These procedures are not in the scope of NCTS.
5. Safety and security related data and risk analysis results sent (IE001/IE003) by the Office of Departure to the Office of Destination shall not be forwarded to the trader at destination by means of the unloading permission (IE043).
6. Safety and security related data shall not to be included neither in the unloading remarks (IE044) nor in the Destination control results (IE018).

1.6 CO03 - Process movement at office of transit

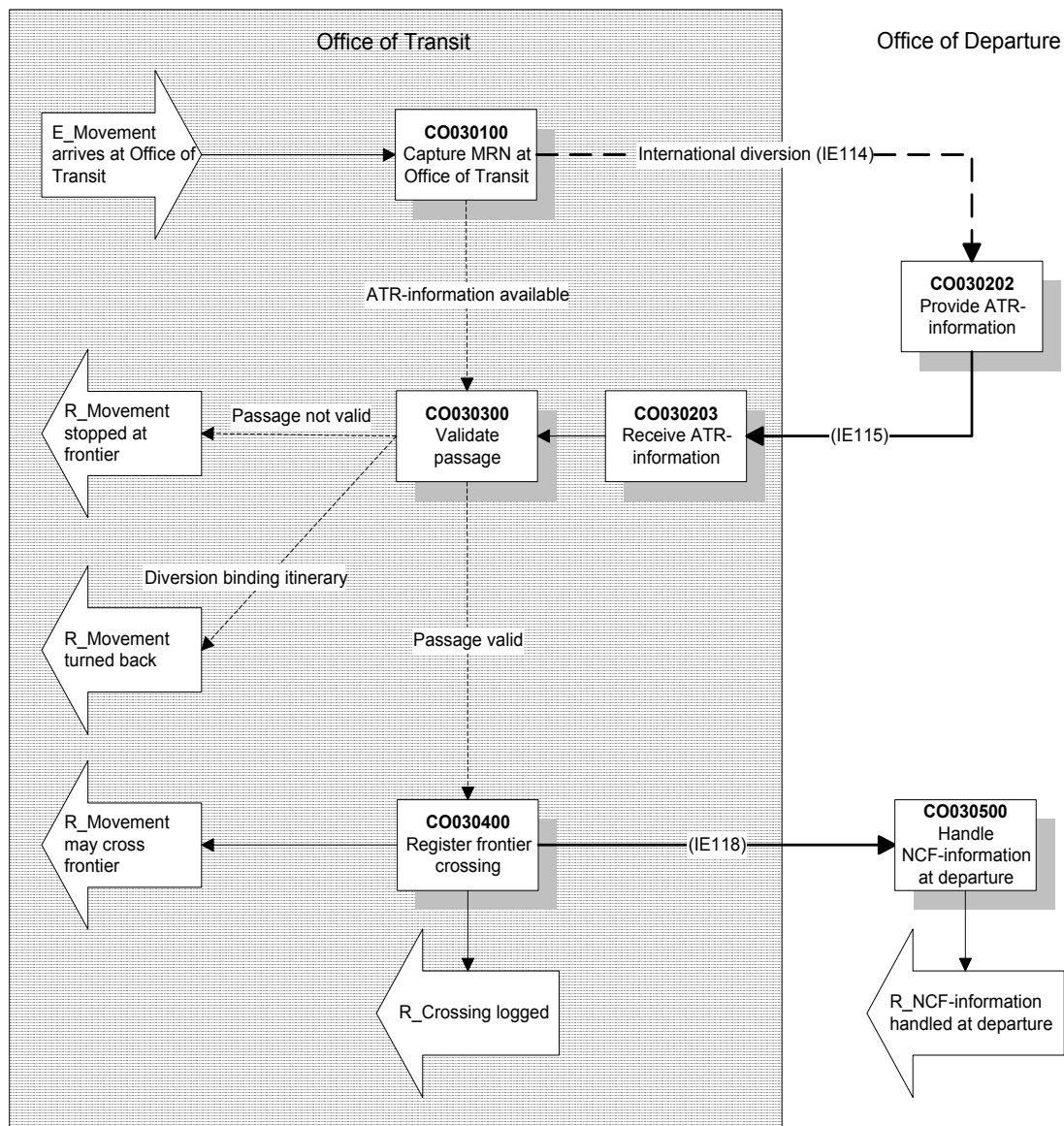


Figure 7: CO03 - Process movement at Office of Transit

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Major Event

E_Movement arrives at Office of Transit
Organisation : National Customs Administration
Location : Office of Transit
The vehicle with the Transit consignment arrives at the Office of Transit. The consignment and the NCTS Accompanying Document are presented to the Office of Transit Officer.

Processes

Capture MRN at Office of Transit	Process: CO030100
Organisation : National Customs Administration	
Location : Office of Transit	
Constraint : This process must be done as soon as possible in order not to slow down the traffic flow.	
Description : The Customs Officer is notified by the Goods Carrier about the arrived consignment and he captures the MRN into NCTS from the NCTS Accompanying Document. NCTS looks for the Anticipated Transit Record (ATR) information: <ul style="list-style-type: none"> when the movement information is not available either in case of international diversion⁴ or in exceptional situations ⁵, NCTS asks (IE114) that information to the Country of Departure and warns the Customs Officer (see dashed line labelled “International diversion”). when the ATR information is available then the passage can be validated by the Customs Officer (see dashed line labelled “ATR-information available”). Final situation : If the ATR-information is available the passage can be validated. If there is an international diversion, the Office of Transit waits for the information from the Office of Departure; the state of the Transit Operation is set to ‘ATR Requested’.	

Provide ATR-information	Process: CO030202
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : This process must be done as soon as possible in order not to slow down the traffic flow. Safety and security risk analysis results shall be exchanged between the Community and other countries only if there is a legal basis for doing so.	
Description : This process is automatically performed by the system without a human intervention. The Country of Departure is asked (IE114) by the Office of Transit to provide the ATR-information about a movement. NCTS looks for the movement information identified by IE114.TRANSIT OPERATION.MRN and automatically sends (IE115) back the required ATR-information about the movement or the reason of their rejection. IF the provided request (IE114) relates to a transit movement which is also used for safety and security (IE001.TRANSIT OPERATION.Security = '1'), and if the requested data is available at departure, then the response (IE115) shall contain the relevant additional safety and security data elements. The safety and security risk analysis results shall be sent in IE115 if all of the following conditions are met: <ul style="list-style-type: none"> The requesting (actual) Office of Transit is located in an EU Member State; 	

⁴ International diversion: movement diverted to another country than the one of the declared Office of Transit.

⁵ These exceptions situations are analysed in Section IX “Exception handling”.

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- The declared Office of Departure is located in an EU Member State;
- The last digit of the risk analysis result code is 'D', 'E' or 'Z'.

Final situation :

The response about the ATR-information is sent to the Office of Transit.

Receive ATR-information	Process: CO030203
Organisation : National Customs Administration	
Location : Office of Transit	
<p>Constraint :</p> <p>If the Office receiving the ATR-response is the Office of first Entry of the Community or if it can not determine, whether or not it is the first Office of Entry of the Community, it shall apply the safety and security regulation and perform all related tasks within the prescribed time limits (see regulation) under following conditions:</p> <ul style="list-style-type: none"> • NCTS is also used for the purpose of safety and security; • The Office of Departure is located in another country than an EU Member State; • The (actual) Office of Transit is located in an EU Member State. 	
<p>Description :</p> <p>The Office of Transit receives (IE115) the ATR-information from the Office of Departure. NCTS records automatically the ATR-information about the movement identified by IE115.TRANSIT OPERATION.MRN. IF the provided ATR response (IE115) contains the requested ATR (IE115.TRANSIT OPERATION.ATR rejection reason is not present) and if it is used for safety and security (IE001.TRANSIT OPERATION.Security = 'I'), then the ATR response contains the relevant safety and security data elements.</p> <p>If risk analysis results are communicated by the Office of Departure, the results shall be recorded and either be accepted or taken into account when carrying out own risk analysis.</p> <p>If the constraint is met:</p> <ul style="list-style-type: none"> • Full safety and security related risk analysis for all the goods shall be initiated by NCTS and performed by the national risk application according to the rules set out by the risk management framework. If positive risk is identified, the national risk analysis system generates the risk analysis code. If the identified risk relates to a specific goods item of the transit declaration, the relevant goods item number shall be identified by the national risk analysis system. • The national risk analysis system records the risk analysis results in the NCTS transit declaration. If the risk analysis result relates to a specific goods item, then the relevant goods item is recorded (RISK ANALYSIS.Item number (box 32) involved). In any other case the 'RISK ANALYSIS.Item number (box 32) involved' remains unused. • The first four digits of the risk analysis code are not transparent to NCTS but managed by the national risk analysis systems. The last digit of the risk analysis result code is transparent to NCTS and used by NCTS to identify the appropriate actions. <ul style="list-style-type: none"> • The value is 'B': an immediate action at the Office of Transit (Entry into the Community) is required; NCTS proposes the goods to be controlled at the Office of Transit; • The value is 'E': the control should be carried out by the Office of Destination. However, since there is no communication between the Office of Transit and the Office of Destination, this option can be used only if the Office of Destination is located in the same country as the Office of Transit; • The value is 'Z': No risk analysis could be performed. • The value is 'N': National risk analysis result (national matter). • Random risk parameters shall be used additionally. <p>The system notifies the Customs Officer that the information to validate the passage is available. If risk is identified, the Customs Officer is alerted and asked to register a control decision</p> <p>Final situation :</p> <p>The ATR-information is available to support any control which may be appropriate; the state of the Transit</p>	

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Operation is set to ‘ATR Created’.	

Validate passage	Process: CO030300
Organisation : National Customs Administration	
Location : Office of Transit	
<p>Constraint : This process requires retrieval of data within one minute so as not to hold up traffic.</p> <p>If the Office of Transit acts as an Office of Entry or if it can not determine, whether or not it is the first Office of Entry, it shall apply the safety and security regulation and shall perform all related tasks within the prescribed time limits (see regulation) under the following conditions:</p> <ul style="list-style-type: none"> • NCTS is also used for the purpose of safety and security • The Office of Departure is located in another country than an EU Member State • The Office of Transit is located in an EU Member State 	
<p>Description : On request of a Customs Officer NCTS retrieves the movement information identified by the MRN and responds with the state of the movement, having performed the following checks:</p> <ol style="list-style-type: none"> 1. Movement known at Office of Departure and ‘en route’. 2. Movement known at Office of Departure but state not consistent with presentation at this Office of Transit (e.g. movement has already arrived at destination). 3. National diversion (movement declared to this country but not this Office of Transit): <ul style="list-style-type: none"> • NCTS warns the Customs Officer if the movement is marked as “binding itinerary” (IE115.TRANSIT OPERATION. Binding itinerary flag is present). • NCTS warns the Customs Officer if the movement is already recorded as entered in this country (of the Office of Transit). 4. International diversion (movement not declared to this country): <ul style="list-style-type: none"> • NCTS warns the Customs Officer if the movement is marked as “binding itinerary” (IE115.TRANSIT OPERATION. Binding itinerary flag is present); • NCTS warns the Customs Officer if the guarantee is not valid for the country (IE115. CUSTOMS OFFICE Actual Office of Transit. Guarantee not valid for flag is present); • NCTS warns the Customs Officer if the movement is already recorded as entered in this country (of the Office of Transit). 5. Safety and security: <ul style="list-style-type: none"> • NCTS warns the Customs Officer if the movement is used for safety and security purposes (IE050/IE115.TRANSIT OPERATION. Security = '1'); • NCTS warns the Customs Officer if the received ATR/ATR response (IE050/IE115) contains positive risk analysis results from the Office of Departure (IE050/IE115.RISK ANALYSIS is present) and/or if the risk analysis performed upon reception of the IE050/IE115 had identified risk. • If risk analysis had proposed to take measures at the Office of Transit but the Customs Officer decides not to control, then NCTS requires the Customs Officer to confirm the decision not to control. <p>The Customs Officer takes the appropriate action and NCTS:</p> <ul style="list-style-type: none"> • records the action and notifies the Goods Carrier if the consignment has to be controlled prior to the registration of the frontier crossing or if it has to be stopped (see dashed line “Passage not valid”); • records the action and notifies the Goods Carrier if the consignment has to be turned back (see dashed line “Diversion binding itinerary”); • notifies the Customs Officer that he has to register the NCF-information if the consignment may cross the frontier (see dashed line “Passage valid”). <p>Final situation :</p> <p>The passage has been validated and the Transit movement either may cross the frontier, or is turned back, the state of the Transit Operation is set to ‘Movement turned-back’, or must be stopped at the frontier, the state of the Transit Operation is set to ‘Movement stopped’.</p>	

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Register frontier crossing	Process: CO030400
Organisation : National Customs Administration	
Location : Office of Transit	
Constraint :	
Description : <p>The Customs Officer has decided that the consignment can cross the frontier; when transshipment (box 55 on the NCTS Accompanying Document) has been established by the Competent Authority, he may if necessary capture this information.</p> <p>Note</p> <p>Where other incidents during carriage (box 56 on the NCTS Accompanying Document) have been established by the Competent Authority, this data is normally not captured at the Office of Transit. However, if required, the Customs Officer may capture it.</p> <p>NCTS records the Notification Crossing Frontier-information (including transshipment and or other incidents information, when applicable) and notifies (IE118) the Office of Departure about the NCF-information. The Goods Carrier is notified that he can cross the frontier.</p> <p>Final situation :</p> <p>The NCF-information is recorded into NCTS. The Office of Departure is notified of the NCF-information. The movement may cross the frontier, the state of the Transit Operation is set to 'NCF registered'.</p>	

Handle NCF-information at departure	Process: CO030500
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
Description : <p>This process is performed automatically by the system of Departure.</p> <p>The Office of Departure receives (IE118) the NCF-information for the movement identified by IE118.TRANSIT OPERATION.MRN from an Office of Transit; NCTS records this NCF-information together with the transshipments and/or other incidents if they occurred (IE118.EN ROUTE EVENT is present).</p> <p>If the NCF-information contains transshipment and/or other incidents information (IE118.EN ROUTE EVENT is present), before inserting it, NCTS checks first that the same information was not received earlier from another Office of Transit. In such a case, the redundant information is merely dropped.</p> <p>The system of Departure performs the required checks to detect anomalies in the pattern of frontiers crossing and notifies the Customs Officer when appropriate.</p> <p>Final situation :</p> <p>The NCF-information has been handled at the Office of Departure.</p>	

Major Results

R_Movement may cross frontier
Organisation : National Customs Administration
Location : Office of Transit
No irregularities were detected so the Transit movement may cross the frontier.

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R_ Movement stopped at frontier
Organisation : National Customs Administration
Location : Office of Transit
The Transit movement has been stopped at the frontier and has to be considered as arrived at destination. The Office of Transit must then be considered as an actual Office of Destination, so the event "Transit consignment arrives at destination" is activated for the process "CO02 - Process arrival".

R_ Movement turned back
Organisation : National Customs Administration
Location : Office of Transit
In case of diversion and binding itinerary, the Transit movement is not allowed to cross the frontier (i.e. must continue its journey to a different Office of Transit without crossing the frontier).

R_NCF-information handled at departure
Organisation : National Customs Administration
Location : Office of Departure
The NCF-information (concerning a passage through an Office of Transit) has been handled at departure.

Minor Result

R_Crossing logged
Organisation : National Customs Administration
Location : Office of Transit
The frontier crossing has been logged with the NCF-information.

Assumptions

- The logic for the fraud detection (in the context of "bureau de passage" and especially in case of diversion) can only be based on:
 - At the Office of Transit (on-line):
 - ◇ The existence of the movement in the NCTS will be checked (by retrieving or requesting the ATR-information). If the movement doesn't exist at the Office of Departure, the presented NCTS Accompanying Document will be considered as forged.
 - ◇ A warning will be given by the system if the movement is already recorded as having entered this country (of the Office of Transit). However, it has to be noted that two Offices of Transit in the same country can occur. Office of Entry and Office of Exit in case where a movement exits from a Contracting Party towards a third country,
 - At the Office of Departure (off-line):
 - ◇ If a diversion has been reported, a check is performed against the consistency of the "frontier crossing pattern", and the system gives a warning if irregularities are detected. UGen.060 describes the rules which will be applied to check the consistency.
- In case of diversion of a movement marked as binding itinerary, the Office of Transit will not request the authorisation from the Office of Departure to allow the Transit movement to cross the frontier. In other words the aspect of binding itinerary will be limited to a warning to the Customs Officer at the Office of Transit. As stated above, the Office of

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Transit will only inform the Office of Departure by means of the NCF-information. According to the user need UNtra.040, no further action will be taken by the system towards the declared Offices of Transit.

Constraints

1. Transshipment:

All Offices of Transit where the movement is presented after the transshipment occurred must be able to capture the transshipment information. Consequently, it must be possible to capture transshipment information at Office of Transit. The transshipment information must be sent to the Office of Departure. The objective is only to inform the Office of Departure.

Thus, if a **Transshipment** (box 55 on the NCTS Accompanying Document) has been established by the Competent Authority, the Office of Transit Officer may if necessary, at the moment of the frontier crossing, capture this information and add it to the NCF-information (destined to the Office of Departure).

2. Other incidents during carriage:

If other incidents occurred to the movement, the goods carrier has to provide the Office of Transit with official documents related to the incident.

If there is a problem, then the movement is stopped at this Office of Transit which then becomes the actual Office of Destination for that movement. Processing relating to the incident is then performed in CO02 - 'Process Arrival'.

If there is no problem, the Customs Officer may, if required, capture this information and add it to the NCF-information, but normally no further handling/processing related to the incident is performed at the Office of Transit.

Remark

In all cases, the Office of Transit will inform the Office of Departure by means of the NCF-information.

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1.7 CO04 - Handle enquiry

1.7.1 Status request

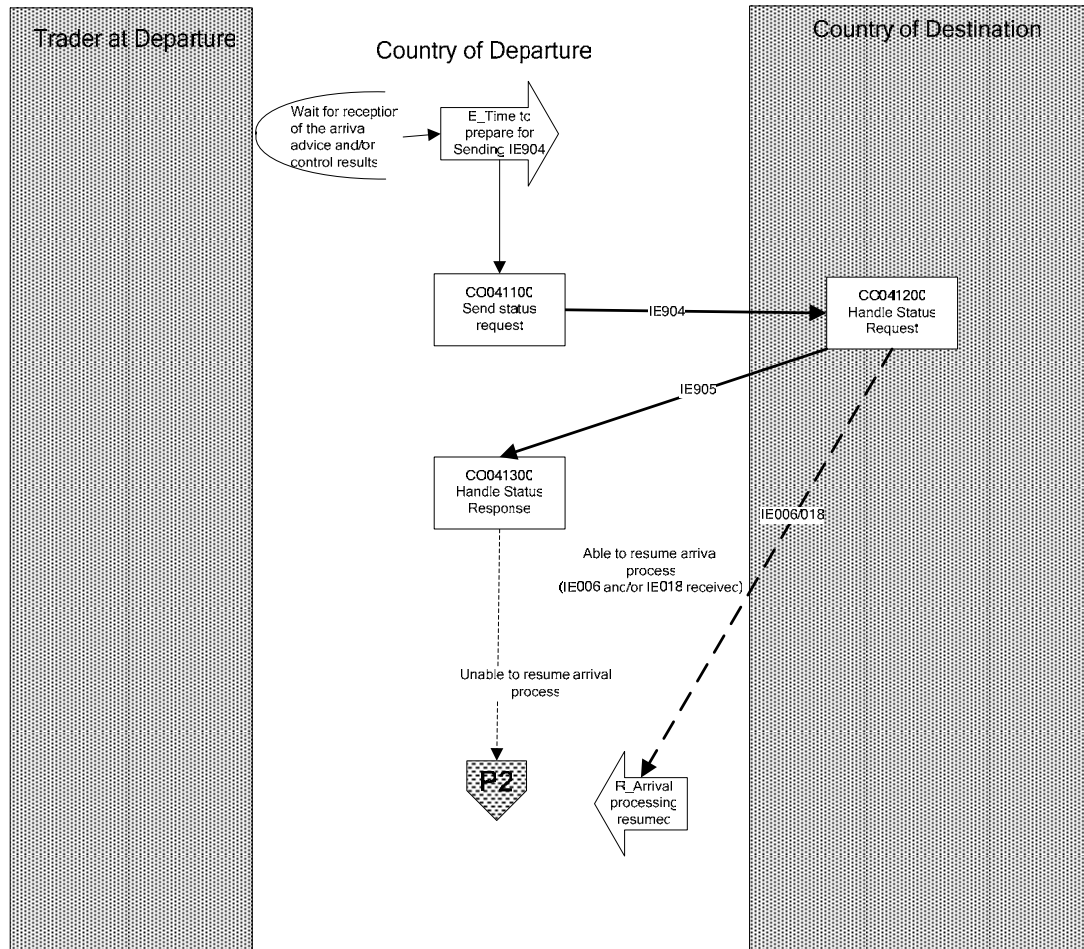


Figure 8: CO04 – Status Request

Event

E_Time to prepare for Sending Status Request
Organisation : National Customs Administration
Location : Competent Authority of Country of Departure
<p>(Timed event)</p> <p>The time allotted for the receipt of the arrival advice (IE006) or of the control result (IE018) (See Process CO1B1301) has expired and the transit movement is set to the 'Enquiry recommended' state. These time-out periods that indicate that the status request should be sent are defined by the Competent Authority of Country of Departure using the values permitted in the relevant legal framework.</p> <p>The value of this/these “timer(s)” may evolve during the lifetime of the movement. Upon receipt of the arrival advice, its value will change. It may also be manually shortened by a Customs Officer.</p> <p>When the control results are received (IE018) from the Office of Destination, or when the movement is written-off for other reasons, the timer stops.</p> <p>N.B. This event can also consist of information received by the Competent Authorities of Country of Departure that the transit procedure has not ended, or they suspect that to be the case (Art. 41(2) Appendix I Convention / Art. 365(2) Implementing Provisions).</p>

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Processes

Send Status Request	Process: CO041100
Organisation : National Customs Administration	
Location : Country of Departure	
Constraint :	
<p>Description : The master timer 'Recovery recommended' to start the recovery is started. In case the Country of Departure has not received an IE006 it sends the status request (IE904) to the Country of Office of Destination (declared), else in cases where it has received an IE006 the status request will be sent to the Country of Office of Destination where the IE006 was issued (can be the declared or the new, actual one). 'This process should be repeated every time before sending another IE142. (This shall not imply to not sending the IE904. It is just to not block the procedure in case the IE905 gets 'lost'.)</p> <p>Final situation : The state is set to 'Enquiry recommended' and the master timer 'recovery recommended' is set. The status request is sent.</p>	

Handle Status Request	Process: CO041200
Organisation : National Customs Administration	
Location : Country of Destination	
Constraint :	
<p>Description : The NCTS system at the Country of Office of Destination (declared or actual) checks the state and automatically replies to the Country of Departure with the IE905 containing the state at destination. If the state at destination doesn't correspond with the one at departure and no error message has been generated the missing message(s) (IE006 and/or IE018) must be sent as well (intelligent IE905 = IE905 and at the same time IE006/IE018 as well without any intervention from a Customs Officer). If the original messages IE006 and/or IE018 caused an error message, the amended message(s) has (have) to be resent otherwise it should be done automatically. If this is not possible within a given time limit (Art. 41(2) Appendix I Convention / Art. 365(2) Implementing Provisions), the Country of Office of Destination immediately transmits by all possible means the missing information in order to allow the Country of Departure to give the proper follow up of the procedure.</p> <p>Final situation : The status request is answered. Missing message(s) is/are resent or missing information is forwarded by other means.</p>	

Handle Status Response	Process: CO041300
Organisation : National Customs Administration	
Location : Country of Departure	
Constraint :	
<p>Description : The NCTS-System at Country of Departure automatically checks if the state at destination is corresponding to the state at departure, and whether in the meanwhile, an IE006 and/or an IE018 has/have been received.</p> <p>If the state does not correspond and an IE006 and/or IE018 has/have been received the Arrival processing is resumed (see "CO02 – Process Arrival").</p> <p>If the state does correspond or there is/are no IE006 and/or IE018 received within the given time limit the Competent Authority of Country of Departure shall start the enquiry procedure.</p> <p>When not done directly by the Competent Authority of Country of Departure, NCTS retrieves the movement information identified by the MRN brought in the timer(s) "Time to start enquiry" (time allotted for the receipt of the arrival advice and/or the control results from the Office of Destination) started by the process CO1B1301 "Issue Transit transaction data" and notifies the Customs Officer, who either starts the enquiry process or postpones it to a later time. In the latter case, he re-sets the relevant timer.</p> <p>The state remains 'Enquiry recommended'.</p> <p>Final situation : Either the movement can be written off, the timer is re-set or the enquiry procedure can be</p>	

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started.

Result

R_ Arrival Processing resumed
Organisation : National Customs Administration
Location : Competent Authority of Country of Departure
The IE006 and IE018 are received and the movement can be written off (see "CO02 – Process Arrival").

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1.7.2 Enquiry Procedure (Option A) – 1st step Contacting the Principal

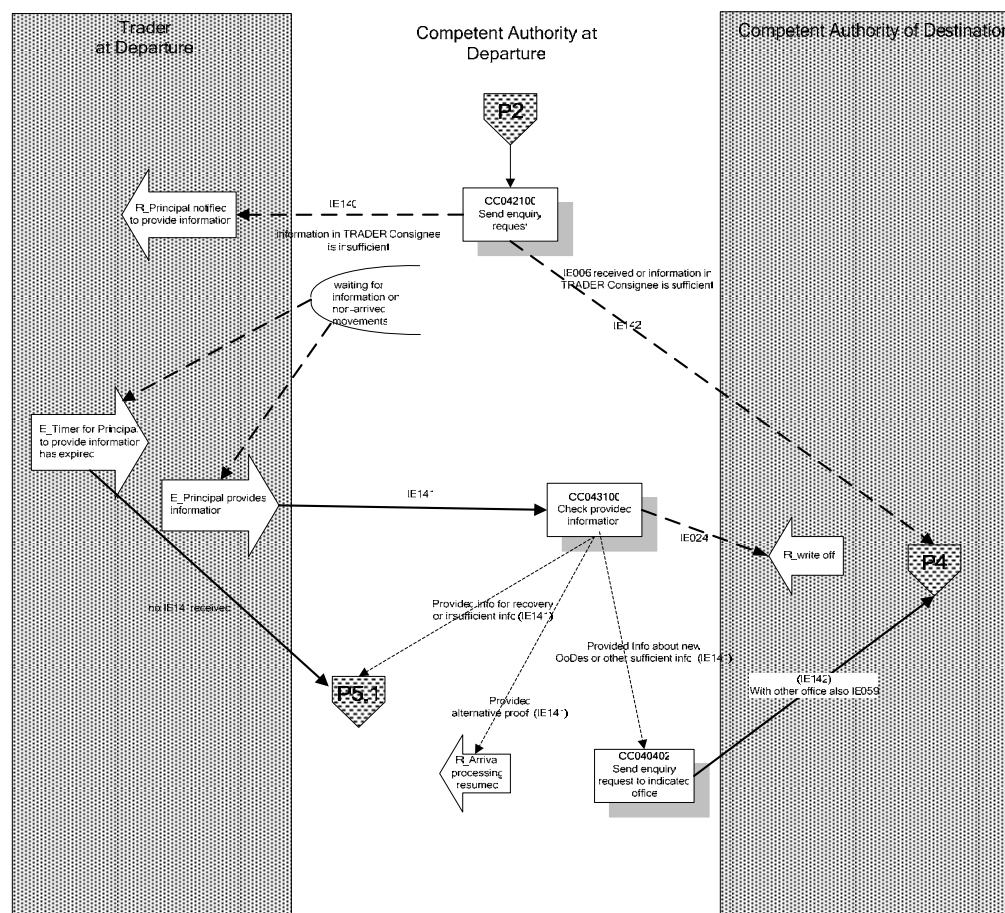


Figure 9: CO04 – Enquiry Procedure (Option A)

Event

E_ Timer for Principal to provide information has expired
Organisation : Principal
Location : Premises of the Principal at Departure
(Timed event) The Principal provides no information within the time limit and a time-out has occurred. This time-out period is defined by the Competent Authority of Country of Departure when the enquiry procedure is initiated, using the values permitted in relevant legal framework.

E_ Principal provides information
Organisation : Principal
Location : Premises of the Principal at Departure
(Timed event) The Principal provides information within the defined time limit.

Processes

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Send Enquiry Request - Start of enquiry procedure	Process: CO042100
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
<p>Description : This process demands always an intervention of a Customs Officer.</p> <p>The competent authority of the country of Departure initiates the enquiry procedure by checking if they have received the arrival advice (IE006 - see Process CO020701 "Store and forward arrival advice"). If it is available IE142 will be sent directly to the actual Office of Destination asking for the IE018.</p> <p>If IE006 is not available the competent authority of country of departure checks the content of TRADER Consignee (box 8) and decides whether the information is sufficient or not. If it is considered insufficient the competent authority starts the enquiry with IE140 and the timer 'Wait for response IE141' is set. The principal must react within the time limit with an IE141. This time-out period is defined by the Competent Authority of Country of Departure when the enquiry procedure is initiated, using the values permitted in relevant legal framework. If no information is provided within the time limit this is considered to be a negative answer.</p> <p>If the information in TRADER Consignee (box 8) is considered sufficient it starts the enquiry procedure with the IE142 to the declared Office of Destination and the timer 'Wait for enquiry response' is set.</p> <p>If an arrival advice has already been received (IE006 - see Process CO020701 "Store and forward arrival advice") and/or the information in TRADER Consignee (box 8) is considered sufficient or the IE140 has already been sent at an earlier stage the Principal will not be contacted at this point of the operation (Art. 116c Appendix I Convention / Art. 450a Implementing Provisions).</p> <p>Nevertheless, NCTS allows the Customs Officer either to continue with the enquiry process immediately or to postpone it to a later time. In the latter case, NCTS will allow the Customs Officer to reset the timer "Time to start enquiry" as needed.</p> <p>NCTS records an information request for the requested trader or an enquiry request for the Requested Office and sets the timers for answering IE140/IE142, using the values permitted in current law and/or in the relevant administrative arrangements, to protect a non answer of the trader or the Office of Destination and to be able to inform the Principal in time (Art. 41(4) Appendix I Convention / Art. 365(4) Implementing Provisions).</p> <p>The Competent Authority of Country of Departure after having sent the IE140 to the trader or the IE142 to the Office of Destination sets the state of the transit movement to 'Under enquiry procedure'.</p> <p>The reception of any IE143 (no matter which code it contains) or an IE018 will stop the timer 'wait for enquiry response'.</p> <p>Final situation : Enquiry procedure has been started.</p> <ul style="list-style-type: none"> - The Transit Operation is set to "Under enquiry procedure", - the Principal has been requested for information on the movement and the relevant timer is set, or - an enquiry is sent to the actual or declared Office of Destination and the relevant timer is set. 	

Check Provided Information	Process: CO043100
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
<p>Description :</p> <p>If the principal provides an alternative proof (in accordance with current law) the movement can be written-off (CO021801) and the IE024 is sent to all involved offices to close that movement.</p> <p>If the principal provides the Competent Authority of Country of Departure with other sufficient information (no alternative proof) or a new Office of Destination this information will be forwarded to the Office of Destination (declared or actual).</p> <p>If the principal did not provide information at all or the provided information legitimates a recovery or it is considered insufficient for enquiry, the recovery procedure (see "CO05") is started within one month after the expiry of the time given to the principal to answer (CCIP art. 450a 2nd indent).</p>	

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The movement is set to the 'Recovery recommended' state.

Final situation : The arrival process is resumed, additional information is forwarded to the declared or the actual Office of Destination or Recovery procedure will be started.

Send enquiry request to the indicated office	Process: CO040402
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
<p>Description : This process demands always an intervention of a Customs Officer.</p> <p>The Competent Authority of Country of Departure continues the enquiry procedure with a request at the Office of Destination. Based on the information provided by the trader the IE142 (indicating additional information is available) will be sent to the actual Office of Destination.</p> <p>In case there had been a IE142 sent to the Declared Office of Destination or any other Customs Office, which is different from the one provided by the trader before, this IE142 shall be cancelled beforehand by sending the IE059 (see Process CO021803 "Cancel enquiry process"). There shall never be more than one IE142 pending. NCTS records the cancellation. If it is the same office information exchange via IE144/IE145 takes place (see CO040001).</p> <p>The movement remains in the 'Under enquiry procedure' state.</p> <p>The timer 'Wait for enquiry response' is set.</p> <p>Final situation : An enquiry request has been sent to the Office of Destination and the timer is set. An eventual pending enquiry is cancelled (state remains 'Under enquiry procedure') and the Customs Office requested for enquiry is notified of its cancellation and any work related to that enquiry can stop, or additional info is forwarded to the Requested Office.</p>	

Results

R_ Principal Notified to Provide Information
Organisation : Principal
Location : Premises of the Principal at Departure
The principal is notified to provide information.

R_ Carry out enquiry at Destination
Organisation : National Customs Administration
Location : Competent Authority of Country of Departure
The enquiry procedure is carried out at destination.

R_ Arrival Processing resumed
Organisation : National Customs Administration
Location : Competent Authority of Country of Departure
Alternative proof allows to write off the movement.

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E_Recovery request from any other office
Organisation : National Customs Administration
Location : Any office
Any office can send an IE150 asking for competency for recovery.

Processes

Carry out enquiry at requested Office	Process: CO040800
Organisation : National Customs Administration	
Location : Requested Office of Destination	
Constraint : The NCTS must warn the requested Office of Destination when an enquiry request has arrived.	
<p>Description :</p> <p>Remark : This process may be interrupted upon reception (IE059) of an enquiry cancellation. (see Process CO021803 "Cancel enquiry process").</p> <p>The Customs Officer performs the required action in order to provide the enquiry results to the Competent Authority of Country of Departure.</p> <p>This might include completing the actual controlling of the consignment if it was delayed for some reason. Or it might merely be that the control results were not recorded into the system yet. Or, consignees may be contacted to establish the whereabouts of the movement. The general "Customs' movements' state system" will be available to support these actions (see "CO09 - Assist users in their daily work").</p> <p>When the Office of Destination needs the available additional information (indicated in IE142) from the Competent Authority of Country of Departure, or the arrival of the paper control result takes unexpectedly long an exchange of extra information (via IE144 and IE145) will take place (see CO040001) whereas the IE144 is sent only by the customs office of departure and IE145 is sent only by the customs office of destination. This information exchange can be started either by the Office of Departure or the Office of Destination, no reply is needed since it can be only information sent and not a question asked.</p> <p>When the consignment is not located, the Office of Destination sends (IE143) the negative enquiry response to the Competent Authority of Country of Departure, confirming that the movement was never presented at this Office of Destination or a duplicate (in particular two MRNs for the same consignment) has been found (see dashed line labelled "unknown" or "duplicate").</p> <p>When the movement is located (arrived) and control results are available these must be communicated with the IE006/IE018 (see dashed line labelled "Able to send IE006 and/or IE018)", no IE143 is needed in these cases since the IE006 and the IE018 or where the IE006 has already been received earlier the IE018 are positive answers to the IE142. <u>In rare, exceptional cases</u> where it is not possible to send the available IE006/IE018 the IE143 containing code 3 (see dashed line labelled "return copy returned on") and the paper control result must be sent. This does not concern the movements that are under the fallback procedure. The principle 'What starts in NCTS must end in NCTS!' remains valid.</p> <p>The sending of the IE006 and IE018 or the IE018 is only allowed when the transit operation has ended within the prescribed time limits and there is no withdrawal from Customs supervision. It has to be a regular ended procedure within the time limit (e.g. registration of TAD forgotten) or an acceptance of a late presentation in accordance with current law.</p> <p>In case the Office of Destination assumes itself competent for recovery it sends an enquiry response (IE143 containing code 4) to the Competent Authority of Country of Departure asking for competency for recovery (see dashed line labelled "recovery request").</p> <p>Final situation : Either the Competent Authority of Country of Departure has been informed with a negative response, or normal arrival processing can be resumed (positive response), or recovery is requested by the Office of Destination.</p>	

Information exchange	Process: CO040001
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure or Competent Authority of Country of Destination	
Constraint : It is only allowed to use these messages IE144/145 where the movement state is "Under	

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enquiry procedure", "Recovery recommended" or "Under recovery procedure".

Description : For additional information or question exchange the messages IE144 and IE145 can be used whereas the IE144 is sent only by the customs office of departure and IE145 is sent only by the customs office of destination. This information exchange can be started either by the Office of Departure or the Office of Destination, no reply is needed since it can be only information sent and not a question asked. Additional documents will be sent by other than NCTS means. These two messages can be sent during the whole process of enquiry and recovery to assure the exchange of information between the different offices.

Final situation : information and/or questions have been sent.

Waiting for paper control result to arrive	Process: CO040002
Organisation : National Customs Administration	
Location : Customs Administration of Departure	
Constraint :	
<p>Description : The Office of Departure is informed by IE143 containing Code 3 (Return Copy returned on) that the movement has arrived and can be written off based on the paper copy that will arrive. If the time between the IE143 and the arrival of the mentioned proof is unexpectedly long it can use the IE144/145 to solve the issue.</p> <p>When the proof arrives the Customs Office of Departure sends the IE024 to all involved offices to close that movement.</p> <p>Final situation : Paper control result arrived, arrival process can be resumed, all involved offices are informed about the closing.</p>	

Handles negative enquiry response	Process: CO040003
Organisation : National Customs Administration	
Location : Customs Administration of Departure	
<p>Constraint : In case an IE006 has been received the answer IE143 containing code 1 (movement unknown at destination) cannot be used.</p> <p>Description : If the timer 'Wait for Enquiry response' has expired and no response was received or a negative IE143 ('unknown') from Office of Destination has been received, a check will be performed if the trader was informed via IE140 at an earlier stage. In case the 'request on non-arrived movement' (IE140) has not already been sent to the principal the Competent Authority of Country of Departure proceeds to Process CO042100. The state remains 'Under enquiry procedure'.</p> <p>In case it has already been sent the Competent Authority of Country of Departure shall wait - regarding further actions - until the state is set to 'Recovery recommended' (Art. 116(1c) Appendix I Convention / Art. 450a Implementing Provisions). Once this state is reached, recovery procedure shall be started.</p> <p>If a negative answer 'duplicate' was received the Office of Departure has to perform the required checks. A negative enquiry response (IE143 'unknown'; 'duplicate') which indicates that enquiries at the Office of Destination are completed stops the timer 'Wait for enquiry response'. A new IE142 can be sent to another office or to the same office if additional information from the principal is available (see 1.6.2). In case the timer 'Wait for Enquiry response' has not yet expired but the Customs Officer has serious proof that justify the start of a recovery procedure he can force the movement into recovery by manually expire the timer (see also 1.6.4). In these cases the movement is set to 'Recovery recommended'. This can be done at any time after the movement has been released.</p> <p>Final situation : A check will be performed whether the principal was informed, if not IE140 is sent or another IE142 is sent or 'duplicate' will be checked, or recovery starts.</p>	

Recovery Request from Office of Destination or any other office	Process: CO040005
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	

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Description : The IE143 with 'competent for recovery' is received by the Competent Authority of Country of Departure because, based on the information available, the Customs Office of Destination assumes itself as competent for recovery.

Alternatively, a recovery request (IE150) has been received from any other country which assumes itself as competent for recovery. This may occur at any time within an enquiry or recovery procedure.

The movement is set in the 'Recovery recommended' state.

Final situation : The movement is in the state 'Recovery recommended'.

Results

R_ Arrival Processing resumed

Organisation : National Customs Administration

Location : Office of Destination

IE006 and/or IE018 had been sent and the movement will be written off.

R_ write off

Organisation : National Customs Administration

Location : Office of Destination, Offices of Transit

IE024 had been sent to all involved offices and the movement is written off.

R_ Handle cancellation request

Organisation : National Customs Administration

Location : Customs Administration of Departure

See "CO07 – Process cancellation".

1.7.5 Recovery Procedure (Option B) – IE143 'Recovery request' or IE150 from any office

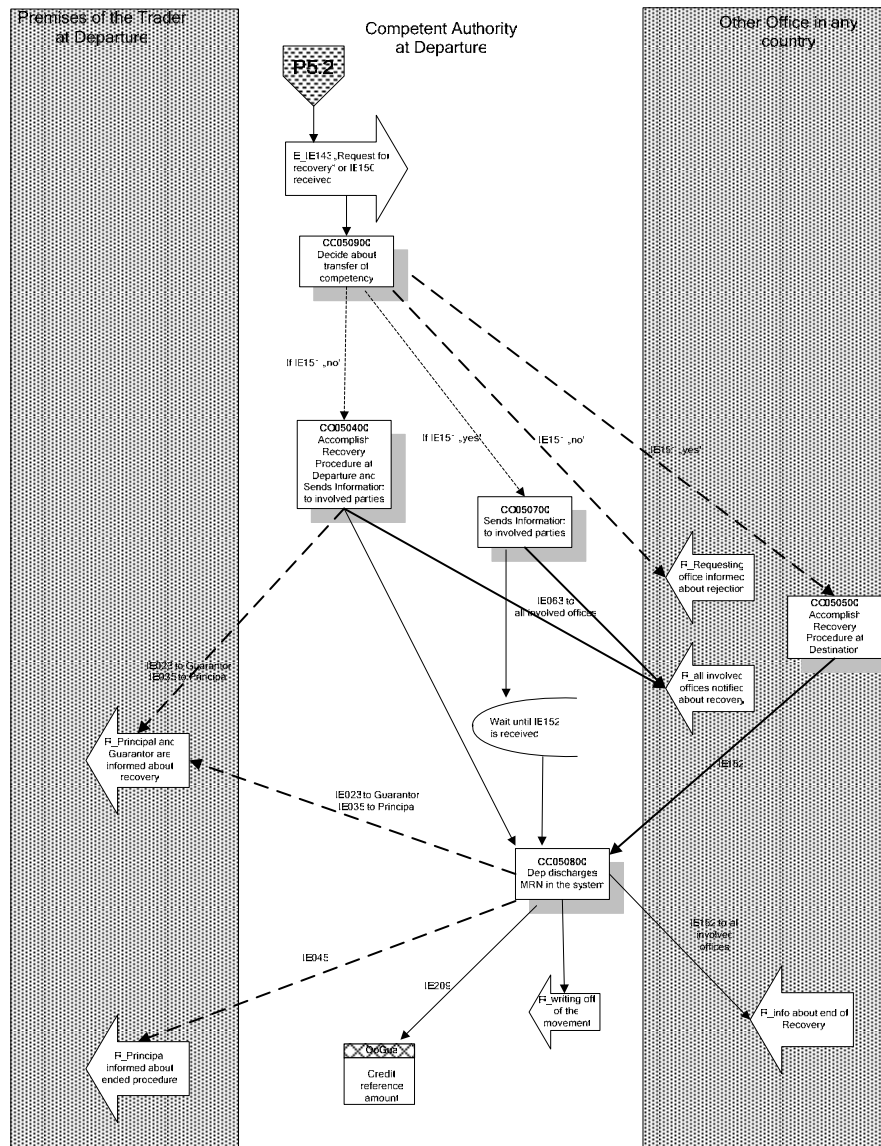


Figure 12: CO05 – Recovery Procedure (Option B)

Events

E_start recovery
Organisation : National Customs Administration
Location : Competent Authority of Country of Departure
<p>(Timed event)</p> <p>The mastertimer 'Recovery recommended' has expired. This time out indicates that recovery procedure should be started.</p> <p>This time-out period is defined by the Competent Authority of Country of Departure using the values permitted in relevant legal framework.</p> <p>A Customs Officer can also start the Recovery procedure manually at any time after the release of the movement.</p>

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E_IE141 with insufficient information or with information for recovery or no IE141 received
Organisation : National Customs Administration
Location : Competent Authority of Country of Departure
No IE141 within the given time limit (see process CO043100) or an IE141 with insufficient information or with information for recovery has been received.

E_IE143 'Request for Recovery' or IE150 received
Organisation : National Customs Administration
Location : Competent Authority of Country of Departure
An IE143 containing code 4 (request for Recovery at Destination) from the actual Office of Destination has been received or an IE150 from any other office has been received.

Processes

Checks if place of irregularity is in Country of Departure	Process: CO050100
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
<p>Description The Competent Authority at departure investigates if the place of irregularity is in the Country of Departure to decide if it is competent or not. If it is in its own country it is competent and shall carry out recovery. The movement remains in the 'Recovery recommended' state. For the case of missing or insufficient IE141, the state has already been set to 'Recovery recommended' in CO043100.</p> <p>If the irregularity did not take place in the Country of departure the competency shall be transmitted to the responsible Country (may also be the country of transit). The movement stays in the 'Recovery recommended' state. Upon reception of acceptance of competency the state shall be changed into 'Under recovery procedure'.</p> <p>Final situation : Recovery will be started or recovery request will be sent.</p>	

Send Recovery request to the Competent Authority of Country of Destination	Process: CO050200
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
<p>Description : In case the Competent Authority at departure is not competent a Recovery request (IE150) is sent to the Competent Authority in an other country. The timer 'Wait for Recovery Acceptance Notification' is set.</p> <p>In cases where there is an IE118 the IE150 will be sent to the country where the last Office of Entry is situated.</p> <p>Final situation : Recovery request is sent and timer started.</p>	

Country checks competency	Process: CO050300
Organisation : National Customs Administration	
Location : Other Office in any Country	
Constraint :	
<p>Description : The request for Recovery is received and the Competent Authority decides if it is competent or not. The answer (competent or not) is sent with the message Recovery acceptance notification (IE151). In cases where there is an IE118 the IE151 from the same country may only contain the answer 'yes'.</p> <p>If the requested Competent Authority is competent it will start the Recovery Procedure.</p> <p>Final situation : The answer is sent to Comp Auth of Dep. Eventually Recovery will be started at</p>	

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Destination.

Accomplish Recovery procedure at Departure	Process: CO050400
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
<p>Description :</p> <p>If the Country of Departure is competent or an IE151 with a negative answer (no answer within the time limit is considered to be a negative one) was sent, the Competent Authority at departure starts the Recovery and all involved offices that have received an IE001, IE003, IE050 or IE115, related to the movement, are notified (IE063). Based on the MRN brought in the recovery communication (IE063.TRANSIT OPERATION.MRN), NCTS records the start of the recovery procedure and so avoids any future usage of that MRN. The state is set to 'Under recovery procedure'.</p> <p>The IE035 is sent to the Principal and the IE023 is sent to the Guarantor.</p> <p>The amount of duties and other taxes to be recovered is calculated.</p> <p>The recovery procedure seeks to recover the duties and taxes first from the Principal or from any identified debtor; if this is not possible, from the Guarantor (unless the movement was covered by a cash guarantee) within three years of the date of acceptance of the Transit declaration (Art. 118(2) Appendix I Convention / Art. 450 c.1a Implementing Provisions).</p> <p>Upon completion of the recovery procedure, with successful recovery of duties and taxes from Principal or Guarantor, the Competent Authority for Recovery at departure writes off the movement (CO02 arrival process) and, the relevant Office of Guarantee is informed about the outcome.</p> <p>Final situation : The Recovery Procedure has been completed and the movement can be written-off (CO02). The Principal and the Guarantor are informed about the Recovery Procedure, the declared Office of Destination no longer waits for a movement with that MRN and every involved Customs Office is informed about recovery via IE063.</p>	

Accomplish recovery procedure at destination	Process: CO050500
Organisation : National Customs Administration	
Location : Competent Authority of Country of Destination	
Constraint :	
<p>Description : The amount of duties and other taxes to be recovered is calculated.</p> <p>The Recovery Procedure seeks to recover the duties and taxes first from the Principal or from any identified debtor (IE035); if this is not possible, from the Guarantor (unless the movement was covered by a cash guarantee).</p> <p>Upon completion of the Recovery Procedure, with successful recovery of duties and taxes from Principal or Guarantor, the Competent Authority for Recovery at destination informs the Competent Authority at departure with a Recovery dispatch notification (IE152) of the outcome, the movement will then be written off (CO02 arrival process) and, the relevant Office of Guarantee is informed about the outcome.</p> <p>Final situation : The recovery procedure has been completed the Competent Authority of Country of Departure is informed and the movement can be written-off (CO41200).</p>	

Sends information to involved parties	Process: CO050700
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
<p>Description : The Recovery acceptance notification (IE151) on the request for Recovery is received (positive answer).</p> <p>The Competent Authority of the Country of Departure forwards the files by other means to the Competent</p>	

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Authority in the other country. The Principal will be informed by other means about the new Competent Authority. All involved offices that have received an IE001, IE003, IE050 or IE115, related to the movement, are notified (IE063). Based on the MRN brought in the recovery communication (IE063.TRANSIT OPERATION.MRN), NCTS records the start of the recovery procedure and therefore, avoids any future usage of that MRN.

The movement is set in the state ‘Under recovery procedure’.

Final situation : Recovery will be started at departure or in an other country. All involved offices are informed via IE063 and do no longer wait for a movement with that MRN.

Departure discharges MRN in the system	Process: CO050800
Organisation : National Customs Administration	
Location : Competent Authority of Country of Departure	
Constraint :	
Description : <p>Upon completion of the Recovery Procedure, with successful recovery of duties and taxes from Principal or Guarantor, the Competent Authority for Recovery at departure writes off the movement (CO02 arrival process) and, the relevant Office of Guarantee is informed about the outcome.</p> <ul style="list-style-type: none"> - NCTS records the write-off and notifies (IE045) the Principal that the movement is written-off. - NCTS notifies (IE045) the Guarantor (unless the movement was covered by a cash guarantee) that the movement is written-off. - NCTS notifies (IE152) all involved offices from which it has not already received an IE 152 of the collection of duties and taxes. <p>In case it has not been done before the IE035 is sent to the Principal and the IE023 is sent to the Guarantor.</p> <p>Final situation :</p> <p>The movement is written-off; the release of the guarantee is recorded into NCTS; the state of the Transit Operation is set to 'Movement written off', the Principal and the Guarantor are informed about the Recovery Procedure.</p>	

Decide about transfer of competency	Process: CO050900
Organisation : National Customs Administration	
Location : Competent Authority of Country Departure	
Constraint :	
Description : An IE143 with the request for recovery (containing code 4) or an IE150 has arrived. The Competent Authority of Country of Departure decides whether the competency shall be transferred or not. <p>If the Competent Authority of Country Departure has decided to not transfer the competency, the IE151 with a negative answer is sent to the Requesting Office.</p> <p>In case the Requesting Office has additional information the IE144/145 can be used.</p> <p>If the Competent Authority of Country Departure has decided to transfer the competency, the IE151 with a positive answer is sent to the requesting office.</p> <p>Final situation : Decision about transferring competency has been taken, Recovery Procedure at Departure or at Destination will start.</p>	

Major Result

The result “R_Movement written-off” is explained in the paragraph “CO02 : Process arrival”.

Minor Results

R_ Principal notified about recovery
Organisation : National Customs Administration

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Location : Premises of the Trader at Departure
The Principal or any identified debtor is notified of the recovery and its amount.

R_ Guarantor notified about recovery
Organisation : National Customs Administration
Location : Premises of the Guarantor
The relevant Guarantor is notified of the recovery and its amount.

R_all involved Offices notified about start of recovery
Organisation: National Customs Administration
Location: Declared Office of Transit
The recovery communication is received by all involved Offices.

R_writing off the movement
Organisation: National Customs Administration
Location: Office of Departure
The movement is written off in the system.

R_info about end of Recovery
Organisation: National Customs Administration
Location: all involved customs offices
All involved customs offices are informed about the end of the recovery procedure.

R_Requesting office informed about rejection
Organisation: National Customs Administration
Location: requesting office
Requesting office is informed about non-handing over of competency.

Remark

The results “R_Guarantor notified of the write-off”, “R_Principal notified of the write-off” and “R_Movement written-off” are explained in the paragraph “CO02 : Process arrival”.

Handling of discrepancies	Process: CO040010
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
Description : The Office of Departure decides upon the discrepancies whether the procedure can be discharged. Exceptional handling shall be sorted out via the Helpdesks (for technical problems) or via the Transit Coordinators (for other problems) or via any other means outside NCTS.	
Final situation : Movement is written off.	

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1.8 CO06 - Process Cancellation

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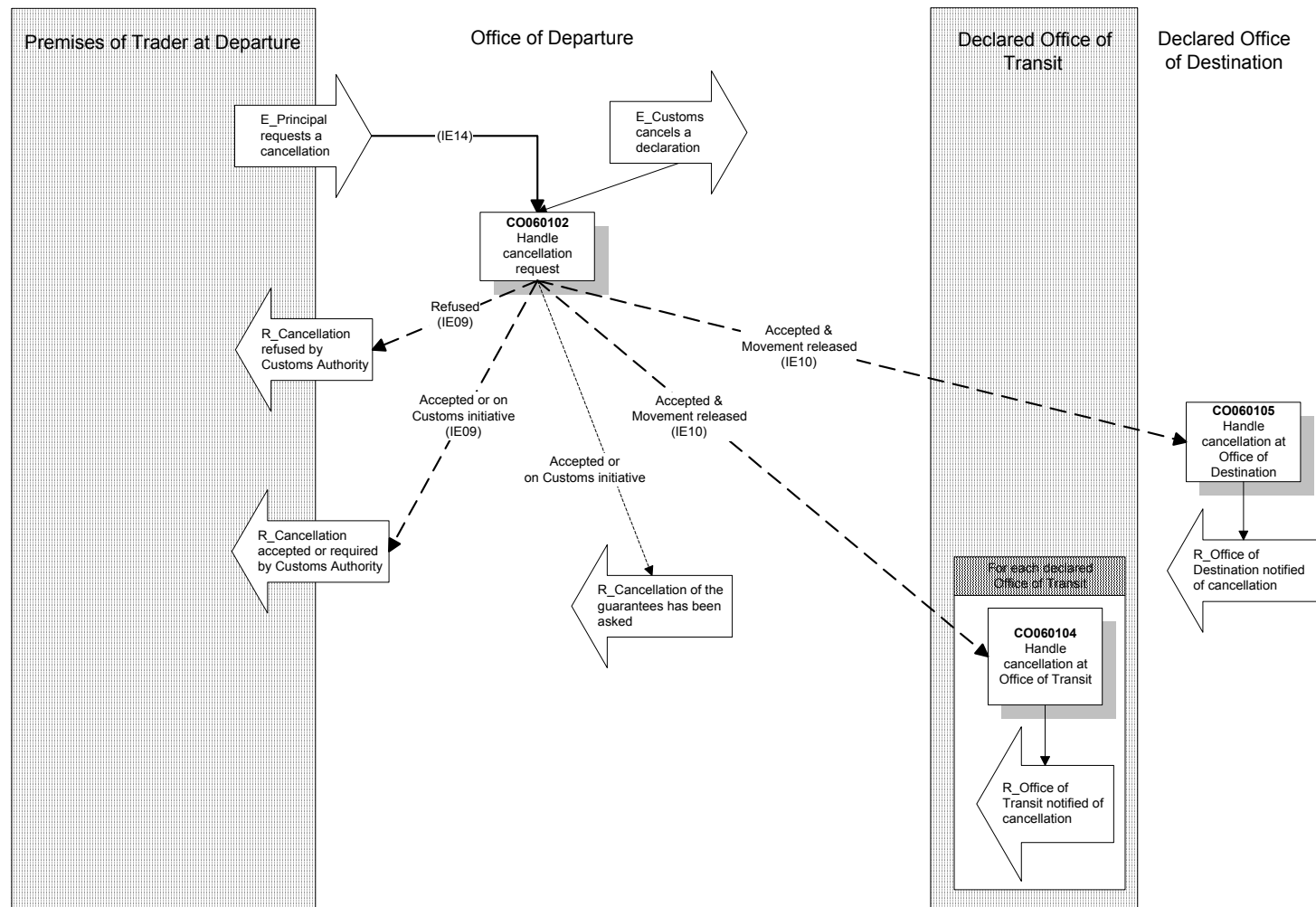


Figure 13: CO06 - Process Cancellation

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Major Events

E_Principal requests a cancellation
Organisation : Trader
Location : Premises of the Trader at Departure or Office of Departure
The Principal submits a cancellation of his declaration, which has previously been accepted.

E_Customs cancels a declaration
Organisation : National Customs Administration
Location : Office of Departure
The Customs Officer wants to annul/revoke the decision to accept the declaration or to release the goods.

Processes

Handle cancellation request	Process: CO060102
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : When the IE010 is transmitted via EDI and when two or more Offices of Transit belong to the same National Administration, or an (some) Office(s) of Transit and the Office of Destination belong to the same National Administration, then only one IE010 is sent to the National Administration in question.	
Description : Either the Office of Departure receives (IE014) a cancellation request from a Principal or the Customs Officer wants to annul/revoke the decision to accept the declaration or to release the goods. In both cases the cancellation of a movement is handled manually. The Principal must furnish the proof (IE014.TRANSIT OPERATION.Cancellation reason) that goods were declared in error or that, as a result of special circumstances, the placing of the goods under Transit is no longer justified. When the Customs Officer of the Office of Departure can not accept the cancellation request, he communicates (IE009) the rejection of the cancellation request (IE009.TRANSIT OPERATION.Cancellation decision = ‘No’) with reasons. One of the rejection reasons can be that already an NCF (IE118) was received from an Office of Transit. (see dashed line labelled “Refused”). When the Customs Officer of the Office of Departure accepts the cancellation request from a Principal, he communicates (IE009) the cancellation of the movement to the Principal (IE009.TRANSIT OPERATION.Initiated by Customs = ‘No’ and IE009.TRANSIT OPERATION.Cancellation decision = ‘Yes’) (see dashed line labelled “Accepted or on Customs initiative”). When the cancellation is on Customs initiative, the Customs Officer communicates (IE09) to the Principal that a cancellation is required by Customs (IE009.TRANSIT OPERATION.Initiated by Customs = ‘Yes’) (see dashed line labelled “Accepted or on Customs initiative”). When the Customs Officer accepts the cancellation request after the movement was already released for Transit, this means that the declared Office(s) of Transit and the declared Office of Destination are already notified (IE050 and IE01) of the release for Transit. He communicates (IE009) the acceptance of the cancellation to the Principal (see dashed line labelled “Accepted or on Customs initiative”) and also a cancellation notification is sent (IE010) to all declared Office(s) (see dashed line labelled “Accepted & Movement released”). When the movement is cancelled then the already registered guarantee is released (see dashed line labelled “Accepted or on Customs initiative”).	
Final situation : The cancellation request is accepted, the state of the Transit Operation is set to ‘Cancelled’, or refused, the state of the Transit Operation is not changed. The Principal, the declared Office of Destination and all declared Office(s) of Transit are notified.	

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Handle cancellation at Office of Transit	Process: CO060104
Organisation : National Customs Administration	
Location : Declared Office of Transit	
Constraint :	
Description : The declared Office of Transit receives (IE010) a cancellation notification from the Office of Departure. The already registered anticipated Transit record is cancelled. Final situation : The movement information at the declared Office of Transit is cancelled, the state of the Transit Operation is set to 'ATR Cancelled'.	

Handle cancellation at Office of Destination	Process: CO060105
Organisation : National Customs Administration	
Location : Declared Office of Destination	
Constraint :	
Description : The declared Office of Destination receives (IE010) a cancellation notification from the Office of Departure. The already registered anticipated arrival record is cancelled. Final situation : The movement information at the declared Office of Destination is cancelled, the state of the Transit Operation is set to 'AAR Cancelled'.	

Major Results

R_Cancellation accepted or required by Customs Authority
Organisation : National Customs Administration
Location : Premises of the Trader at Departure or Office of Departure
The Transit movement is cancelled by the Principal or by Customs.

R_Cancellation refused by Customs Authority
Organisation : National Customs Administration
Location : Premises of the Trader at Departure or Office of Departure
The Principal can not cancel his declaration.

Minor Results

R_Office of Transit notified of cancellation
Organisation : National Customs Administration
Location : Declared Office of Transit
Each declared Office of Transit is notified of the cancellation of a movement.

R_Office of Destination notified of cancellation
Organisation : National Customs Administration
Location : Declared Office of Destination
The declared Office of Destination is notified of the cancellation of a movement.

The result "R_Cancellation of the guarantees has been asked" is explained under Heading "CO1A - Process Departure - Acceptance/Controls".

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1.9 CO07 - Process query movement information

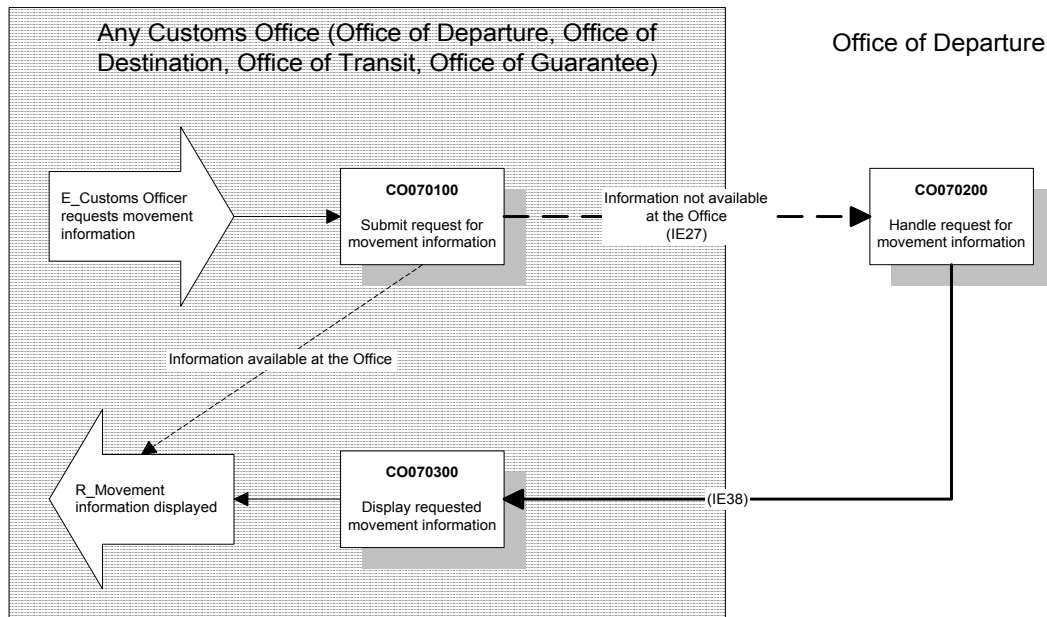


Figure 14: CO07 - Query Movement Information

Major Event

E_Customs Officer requests movement information
Organisation : National Customs Administration
Location : Office of Departure, Office of Destination, Office of Guarantee, Office of Transit
A Customs Officer with an appropriate level of authorisation and access to NCTS at any Customs Office, requests the movement information for a movement with a given MRN. N.B. This includes the case of an en-route control, if access to the NCTS is available.

Processes

Submit request for movement information	Process: CO070100
Organisation : National Customs Administration	
Location : Office of Departure, Office of Destination, Office of Guarantee, Office of Transit	
Constraint : The movement information may be located in a different country (that of the Office of Departure).	
A Customs Officer submits a request for movement information based on a given MRN. NCTS looks for the movement :	
<ul style="list-style-type: none"> when the movement information is available at the Office where the request is submitted, NCTS retrieves and displays it to the Customs Officer immediately (see dashed line labelled “Information available at the Office”). when the movement information is not available at the Office where the request is submitted, NCTS notifies the Customs Officer that the information is not available and automatically sends (IE027) a request to the Country of Departure (see dashed line labelled “Information not available at the Office”). 	
Final situation :	
The movement information is returned or a request for movement information is submitted to the Office of Departure.	

Handle request for movement information	Process: CO070200
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Organisation : National Customs Administration
Location : Office of Departure
<p>Constraint : IF the provided request (IE027) relates to a transit movement which is used for safety and security (IE01.TRANSIT OPERATION.Security = 'I'), then the response (IE038) shall contain the relevant additional safety and security data elements.</p> <p>Safety and security risk analysis results shall be exchanged between the Community and other countries only if there is a legal basis for doing so.</p> <p>The Country of Departure receives (IE027) a request for movement information from a Customs Office. NCTS looks for the movement based on the MRN identified by IE027.TRANSIT OPERATION.MRN and provides (IE038) the requesting Customs Office with the movement information or, according to Section IX, 'EXCEPTION HANDLING, Pt 2.1.3 with an advice of non-acknowledgement (NACK) if the movement doesn't exist at the Office of Departure.</p> <p>Safety and security related risk analysis results shall be included in IE38 if all of the following conditions are fulfilled:</p> <ul style="list-style-type: none"> • The Office of Departure and the Office performing the movement query are both located in an EU Member State; • The last digit of the risk analysis result code is 'D', 'E' or 'Z'. <p>Final situation :</p> <p>If available, the movement information is conveyed to the requester, otherwise a non-acknowledgement (NACK) is conveyed.</p>

Display requested movement information	Process: CO070300
Organisation : National Customs Administration	
Location : Office of Departure, Office of Destination, Office of Guarantee, Office of Transit	
<p>Constraint : IF the provided response (IE038) relates to a transit movement which is used for safety and security (IE01.TRANSIT OPERATION.Security = 'I'), then the response (IE038) contains the relevant additional safety and security data elements.</p> <p>The requesting Customs Offices receives (IE038) the response to the request. NCTS displays the received information or the received error message.</p> <p>Final situation :</p> <p>The requested movement information is displayed.</p>	

Result

R_Movement information displayed
Organisation : National Customs Administration
Location : Office of Departure, Office of Destination, Office of Guarantee, Office of Transit
The information on the requested movement is displayed.

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1.10 CO08 - Process confirm authorised consignee

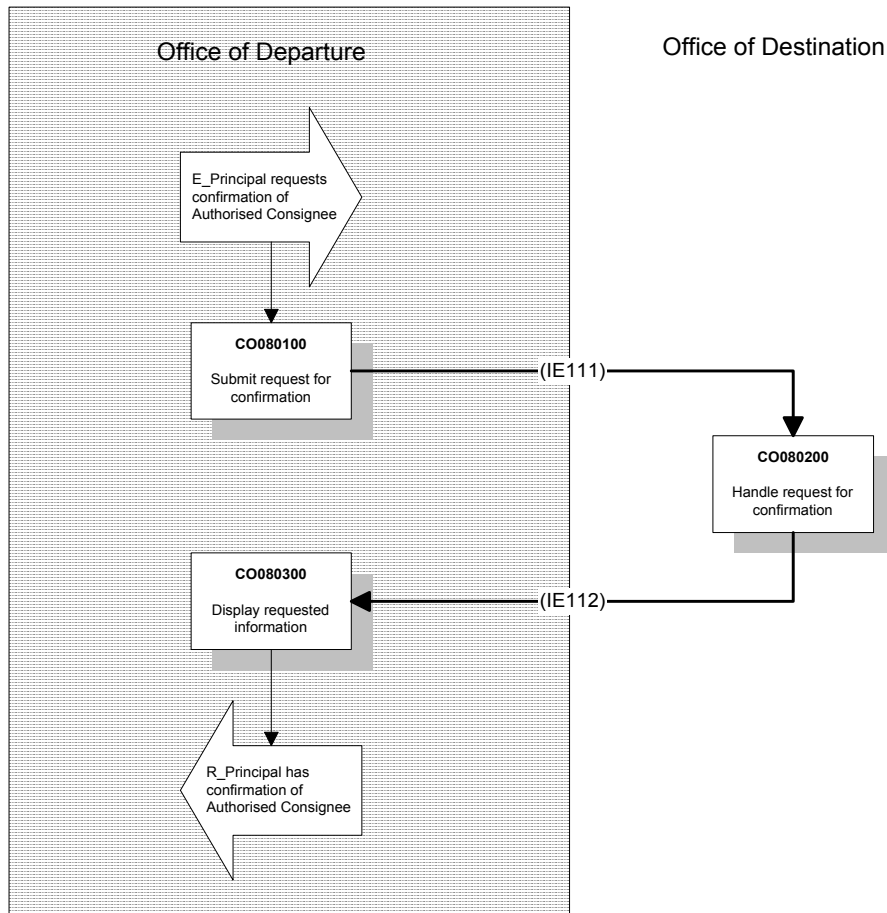


Figure 15: CO08 - Confirm Authorised Consignee

Major Event

E_Principal requests confirmation of an Authorised Consignee
Organisation : Trader
Location : Office of Departure
A Principal requests confirmation, at an Office of Departure, that a specified Consignee genuinely is an Authorised Consignee at a specified Office of Destination.

Processes

Submit request for confirmation	Process: CO080100
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint : The confirmation data may be located in a different country.	
Description : A Customs Officer receives from a Principal a request for confirmation of an Authorised Consignee. The Customs Officer sends (IE111) the request for the information of the Authorised Consignee to the Office of Destination.	
Final situation : The request for confirmation is submitted.	

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Handle request for confirmation	Process: CO080200
Organisation : National Customs Administration	
Location : Office of Destination	
Constraint :	
Description : The information based on the content of the IE111.TRADER Authorised Consignee is looked up. The Customs Officer has to look for the TIN corresponding to the data received. If the TIN is available then he can see if an authorisation exists. If so, the list of the authorised goods locations at which this Trader enjoys simplified Transit procedures at the requested Office of Destination is conveyed (IE112) to the requester, otherwise a negative answer is sent.	
Final situation : The confirmation information, or a negative answer, is conveyed to the requester.	

Display requested confirmation	Process: CO080300
Organisation : National Customs Administration	
Location : Office of Departure	
Constraint :	
Description : NCTS displays the response (IE112), received from the Office of Destination, (the list of the authorised goods locations at which the given Authorised Consignee enjoys simplified Transit procedures, or a negative answer) to the Customs Officer. The latter then confirms, or otherwise, to the requesting Principal, that the specified Consignee is indeed an Authorised Consignee who may operate simplified Transit procedures in relation to the Office of Destination.	
Final situation : The requested confirmation or a negative answer is given to the Principal.	

Result

R_Principal has confirmation of an Authorised Consignee
Organisation : Trader
Location : Office of Departure
The Principal has confirmation or denial that a given consignee is an Authorised Consignee at the specified Office of Destination.

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1.11 CO09 - Assist users in their daily work

Beside the processes described in the previous parts of this section, the NCTS must provide systems to help users in their daily work by providing the services described below. Those services are presented for information to guide development at National level and so, they are only indicative.

A major concern for users, either Customs Officer or Trader, is to know the states of the Transit movements (i.e. which processes they passed through) in order to organise the work in the Customs (or Traders) Offices and to track a specific movement.

The identification of the main states of a Transit operation is presented below in a 'State Transition Diagram'. The diagram is used to serve both the identification of the 'history' and the 'follow-up' of the movement.

1.11.1 State transition diagrams can be found in the DDNTA

1.11.2 Services

Customs' movements state system (UNgen.010)

1.11.2.1.1 The Customs Officer at departure

The Customs Officer needs a system to manage the accepted declarations, from the acceptance to the release for Transit.

He needs a system in order to be able to:

1. List the declarations in a tabular view with the following columns:

- LRN (required because it is possible to load declaration from magnetic or optic media; so, those declarations are treated in batch mode and the Trader doesn't know immediately the MRN);
- MRN;
- declaration type;
- state (as defined in the state transition diagram);
- date: the date related to the state change: e.g. acceptance date if the movement is not yet released for Transit;
- TIN (Trader Identification Number);
- Sensitiveness (are sensitive goods present in the consignment?: Y/N);
- Security (Y/N)
- risk analysis result (an integer value between 0 and 100);
- delay of the authorisation (only present for simplified procedures);
- reminder delay to control.

This list can be filtered using the following criteria:

- MRN in a given range;
- type of declaration set to a given value;
- state set to a given value;
- date (related to the current state) between two given dates: this filter can only be used in conjunction with the 'state' filter;
- a given Office of Departure;

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- a given Office of Destination;
- a given TIN (Principal);
- a given TIN (Authorised Consignee);
- Simplified/Normal procedure: Yes or No or All;
- Security (Y/N)
- risk analysis result greater or equal to a given value;
- Proposed for control: Yes or No or All.

Remark: those criteria are cumulative and the current selection may be printed.

2. After selection of a declaration:

- access the declaration details view in update mode⁶ (corrections), with possibility to:
 - ◊ print declaration description information;
 - ◊ access full NCTS information on item referenced in the declaration (navigation mode): countries, commodity codes, sensitive goods, Customs Offices and other reference lists.
- update the state of the declaration (decide to control, decide to release, ...);
- register decision to control;
- register departure control results;
- enter/modify the amount calculated/proposed for duties & taxes;
- modify the default value for the allowed travel time;
- modify the calculated value for the date when the control results are expected;
- perform a risk analysis;
- overrule a risk analysis result;
- describe a binding itinerary;
- access the 'forecast events system' (agenda);
- access the declaration state history;
- access the declaration data history;
- access the guarantee information (GU11 - 'Check Guarantee Integrity');
- access movement related parameters (enquiry timer, ...).

1.11.2.1.2 The DTI Trader at destination

The DTI Trader needs a system to capture and to manage his movement data.

He needs a system in order to be able to:

1. List the movement data in a tabular view with the following columns:

- MRN;
- declaration type;
- date : the date related to the state change: e.g.
 - ◊ expected arrival date;
 - ◊ arrival date;
 - ◊ release from Transit date.
- state (see state transition diagram);

⁶ Any data captured must follow the same rules that those of the corresponding IE and business rules expressed in the logical data model.

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- TIN (Trader Identification Number).

This list can be filtered using the following criteria:

- MRN in a given range;
- type of declaration set to a given value;
- date (related to the current state) between two given dates;
- state set to a given value;
- a given Office of Departure;
- a given TIN;
- simplified/normal procedure: Yes or No or All.

Remark: those criteria are cumulative, and the current selection may be printed.

2. After selection of a movement data:

- access the movement data view in read only mode, with possibility to:
 - ◊ print the description information;
 - ◊ access full NCTS information on item referenced in the declaration (navigation mode): countries, commodity codes, sensitive goods, Customs Offices and other reference lists.
- capture and submit arrival data (incident & transshipment);
- capture and submit unloading remarks and completion;
- access the movement state history.

1.11.2.1.3 The Customs Officer at destination

The Customs Officer needs a system to manage movement data, from the AAR arrival to the release from Transit.

He needs a system in order to be able to:

1. List the movement data in a tabular view with the following columns:

- MRN;
- declaration type;
- state (as defined in the state transition diagram);
- date : the date related to the state change: e.g.
 - ◊ expected arrival date, if the movement is not yet arrived at destination;
 - ◊ arrival date, if the movement is arrived at destination.
- TIN (Trader Identification Number of the Principal's representative at Destination);
- TIN (Trader Identification Number of the Authorised Consignee, in case of simplified procedure)
- sensitiveness (are sensitive goods present in the consignment?: Y/N);
- Security (Y/N)
- risk analysis result (an integer value between 0 and 100);
- delay of the authorisation (only present for simplified procedures);
- reminder delay to control.

This list can be filtered using the following criteria:

- MRN in a given range;
- type of declaration set to a given value;
- state set to a given value;

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- date (related to the current state) between two given dates: this filter can only be used in conjunction with the 'state' filter;
- a given Office of Departure;
- a given Office of Destination;
- a given TIN (Trader Identification Number of the Principal's representative at Destination);
- a given TIN (Trader Identification Number of the Authorised Consignee, in case of simplified procedure);
- simplified/normal procedure: Yes or No or All;
- Security (Y/N)
- risk analysis result greater or equal to a given value;
- Proposed for control: Yes or No or All.

Remark: those criteria are cumulative and the current selection may be printed.

2. After selection of a movement data:

- access the movement data view in read only mode, with possibility to:
 - ◇ print the description information;
 - ◇ access full NCTS information on item referenced in the declaration (navigation mode): countries, commodity codes, sensitive goods, Customs Offices and other reference lists.
- capture and submit arrival data (incident & transshipment);
- capture and submit unloading remarks and completion;
- update the state of the movement (decide to control, decide to release, ...);
- register decision to control;
- register destination control results;
- perform a risk analysis ;
- overrule a risk analysis result;
- access the 'forecast events system' (agenda);
- access the movement data state history;
- access the movement data history.

Forecast events system

The Customs Officer needs a system in order to be able to:

1. list forecast events about all movements (see preceding paragraph) in a tabular view with the following columns: expected date, MRN, type of event, associated free text and state of the event. Additional features include:
 - this list can be filtered using the following criteria: expected date between two given dates, one type of event, state set to a given value; those criteria are cumulative;
 - the current selection can be printed.
2. after the selection of an event which is always related to a movement:
 - access the same functionality as in the customs' movements' state system, after the selection of a movement.

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Customs' declarations state system

The Customs Officer needs a system to capture and to manage declaration of those Traders who are not electronically (neither EDI nor DTI) connected to the system.

He needs a system in order to be able to:

1. List his declarations in a tabular view with the following columns:

- LRN;
- declaration type;
- the date related to the state change: e.g.
 - ◊ creation date if the declaration is currently in preparation and has not yet been submitted in order to be formally validated;
 - ◊ submission date if the declaration is ready and has been submitted in order to be formally validated;
 - ◊ rejection date if the acceptance failed.
- state (see state transition diagram);
- TIN (Principal's identification number).

Remark: MRN is not amongst the columns because when the MRN is known the Customs Officer will use the '**Customs movements' state system**'.

This list can be filtered⁷ using the following criteria:

- LRN in a given range;
- type of declaration set to a given value;
- date (related to the current state) between two given dates;
- state set to a given value;
- a given TIN (Principal's identification number);
- a given user (the declaration can have been prepared by the current user himself or by one of his colleagues).

Remark: those criteria are cumulative, and the current selection may be printed.

2. After selection of a declaration:

- access the declaration details view in update mode⁸ (corrections), with possibility to:
 - ◊ print declaration description information;
 - ◊ access full NCTS information on item referenced in the declaration (navigation mode): countries, commodity codes, sensitive goods, Customs Offices and other reference lists.
- submit the declaration;
- amend the declaration;
- rectify minor discrepancies;
- access the declaration state history;
- access the declaration data history;
- access the guarantee information (GU11 - 'Check Guarantee Integrity').

⁷ meaning that the grid will only contain rows matching the value of the filter

⁸ Any data captured must follow the same rules that those of the corresponding IE and business rules expressed in the logical data model.

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Trader's declarations state system

The DTI Trader needs a system to capture and to manage his declarations.

He needs a system in order to be able to:

- List his declarations in a tabular view with the following columns:
 - LRN;
 - MRN if available;
 - declaration type;
 - date : the date related to the state change: e.g.
 - ◇ creation date if the declaration is currently in preparation and has not yet been submitted in order to be formally validated;
 - ◇ submission date if the declaration is ready and has been submitted in order to be formally validated.
 - ◇ acceptance date if the movement is not yet released for Transit;
 - ◇ release for Transit date.
 - state (see state transition diagram).

This list can be filtered using the following criteria:

- LRN in a given range;
- MRN in a given range;
- type of declaration set to a given value;
- date (related to the current state) between two given dates;
- state set to a given value.

Remark: those criteria are cumulative, and the current selection may be printed.

- After selection of a declaration:
 - access the declaration details view in update mode⁹ (corrections), with possibility to:
 - ◇ print declaration description information;
 - ◇ access full NCTS information on item referenced in the declaration (navigation mode): countries, commodity codes, sensitive goods, Customs Offices and other reference lists.
 - submit the declaration;
 - amend the declaration;
 - access the declaration state history;
 - access the declaration data history;
 - ask for release;
 - access the guarantee information (GU11 - 'Check Guarantee Integrity').

Listing system (UNtdp.060)

Traders, using NCTS through DTI, need a system in order to be able to pre-prepare the input for a declaration with several items:

- create, update, remove and view lists. A list will be identified by a local list number; each item in the list will include the following (see Draft of Accompanying Document and List of Items -DGXXI/1471/97 Rev. 1):

⁹ Any data captured must follow the same rules that those of the corresponding IE and business rules expressed in the logical data model.

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- number of the item;
- container number(s), packages (marks & numbers, number and kind);
- description of the goods and optionally its commodity code;
- optionally, sensitive code, quantity
- optionally additional information;
- country of dispatch/export;
- net mass;
- gross mass (in Kg);
- optionally the consignor;
- optionally the consignee.

Enquiry state system

The Customs Officers need a system in order to be able to:

1. list enquiry requests in a tabular view with the following columns: MRN, received date, state (see 'State Transitional Diagram'), reminder flag (equivalence of TC20/ TC22)¹⁰, origin (country, town, Office), Principal, movement "known or not" flag. Additional features include:
 - this list can be ordered by MRN or received date or state or origin;
 - this list can be filtered using the following criteria : MRN in a given range (thus filtered on origin), received date between two given dates, Principal set to a given identification, state set to a given value; those criteria are cumulative;
 - the current selection may be printed.
2. at Office of Departure, after selection of an enquiry request:
 - access Principal information (telephone/fax number, address, responsible persons);
 - access the movement details view as in the customs' movements' state system.

Recovery state system

The Customs Officers need a system in order to be able to:

1. list of recoveries in progress in a tabular view with the following columns: MRN, received date, state (see 'State Transitional Diagram'), origin (country, town, Office), Principal/Guarantor, movement "known or not" flag. Additional features include:
 - this list can be ordered by MRN or received date or state or origin;
 - this list can be filtered using the following criteria : MRN in a given range (thus filtered on origin), received date between two given dates, Principal/Guarantor set to a given identification, state set to a given value; those criteria are cumulative;
 - the current selection may be printed.
2. at Office of Departure, after selection of a recovery request:
 - access Principal/Guarantor information (telephone/fax number, address, responsible persons);
 - access the movement details view as in the customs' movements' state system.

¹⁰ Reminder only to be used for movements released before 01.07.2009 (old enquiry procedure).

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TRANSITIONAL OTS/NCTS

This document does not contain Sections 2.1 -2.8 anymore. In addition, it does not contain figures 18- 25.