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TAXATION AND CUSTOMS UNION DG

SUBJECT:

Design Document for National Transit Application (DDNTA)

FRAMEWORK CONTRACT TAXUD/2013/CC/124

SPECIFIC CONTRACT 09

Document History

Edition	Rev.	Date	Description	Action[1]	Pages
DDNTA 8	00	23/03/2005	Implementing QA review comments. Implementing TC's comments based on TCE-MTM02-L1SA8-v0.20-EN (TCP-ECS Workshop, Athens, March 9th 2005). Submitted for Acceptance to Taxation and Customs Union DG.	I, R	As Required
DDNTA 8	10	15/04/2005	Implementing QA verification comments. Re-submitted for Acceptance to Taxation and Customs Union DG.	I/R	ECS & NCTS Appendices
DDNTA 8	20	16/08/2007	Submitted for first pre-validation.	I/R	All
DDNTA 8	30	10/09/2007	Submitted for second pre-validation	I/R	All
DDNTA 8	40	20/09/2007	Submitted for third pre-validation	I/R	All
DDNTA 8	50	01/10/2007	Submitted for fourth pre-validation	I/R	As Required
DDNTA 8	60	10/10/2007	Incorporating review comments from pre-validation version from Taxation & Customs Union DG. Implementing DDNTA KEL 0.14 Submitted for review to Taxation & Customs Union DG.	I/R	As Required
DDNTA 9	00	16/11/2007	Incorporating review comments from pre-validation version from Taxation & Customs Union DG. Submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 9	10	23/11/2007	Incorporating verification comments from QA. Re-submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 10	00	19/03/2008	Implementing NAs comments based on the 58th ECG, Brussels, February 19th 2008. Implementing DDNTA KEL 0.15 Submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 10	10	09/04/2008	Incorporating verification comments from QA. Submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 10	20	30/05/2008	Implementing NAs comments. Re-submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 10	30	04/06/2008	Implementing verification comments. Re-submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 10	40	27/10/2009	Introduction of NCTS/TIR-RU pilot project.	I/R	As Required

[1] Action: I = Insert; R = Replace

Edition	Rev.	Date	Description	Action[1]	Pages
			Implementing DDNTA KEL 0.21 Submitted for review to Taxation & Customs Union DG.		
DDNTA 11	00	09/11/2009	Implementing QA review comment. Submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 11	10	15/04/2010	Implementing QTM 970 and QTM987. Implementing calls INC0907.140707, INC0902.121022, INC0912.141236 and INC0911.139247 Submitted for review to Taxation & Customs Union DG.	I/R	As Required
DDNTA 12	00	30/04/2010	Implementing QA review comment. Submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 12	10	27/07/2010	Implementing ECG NAs Consolidated Comments. Submitted for review to Taxation & Customs Union DG.	I/R	As Required
DDNTA 13	00	05/08/2010	Implementing QA review comments. Submitted for acceptance to Taxation & Customs Union DG.	I/R	As Required
DDNTA 14	00	14/02/2011	Project and contractual data updated. Aligned with KEL 0.23. Review comments implemented. Submitted for review and acceptance to Taxation & Customs Union DG.	I/R	1) Contractual data; 2) Sections I.I.8.6 I.I.7, I.III.1, I.III.2 III.III.2.1.4 III.III.2.1.11 I.I.4 I.I.5 III.I.2.10 VIII.I.2 X.I.1 updated; 3) Section "NCTS Guarantee Management" transferred; 4) Table "Suspension of sending messages for NCTS Phase 4.0" updated; 5) Section III "NCTS Phase 3.2",

Edition	Rev.	Date	Description	Action[1]	Pages
					XIII "NCTS Alignment and Upgrade for Migration" removed; 6) The table called "Suspension of sending messages for NCTS Phase 4.0" updated;
DDNTA 14	10	15/02/2012	Project and contractual data updated. Aligned with the KEL v0.24. Submitted for review to Taxation & Customs Union DG.	I/R	Sections: I.I.7, I.I.8.7 I.II.3, I.III.1 I.III.2
DDNTA 15	00	07/03/2012	The review comments are implemented. Submitted for acceptance to Taxation & Customs Union DG.	I, R	5, 15, 18, 26
DDNTA 15	01	27/03/2012	Aligned with KEL 0.23a. Sent to the internal and language review.	I/R	Sections: I.I.8.8, I.III.1
DDNTA 15	10	30/03/2012	Comments from the internal and language review are implemented. Submitted for review to Taxation and Customs Union DG.	I/R	As Required
DDNTA 15	50	27/04/2012	Submitted for acceptance to Taxation & Customs Union DG.	I	5
DDNTA 15	51	12/07/2012	Contractual data updated. Aligned with KEL 0.25. Appendix C2 is corrected by removing not applicable codelists 201 - 218. **WARNING: This version does NOT include the changes for KEL24a.** Sent to the internal review.	I/R	Pages 20, 25-26, 103, 107, 123, 126-127, 144, 153
DDNTA 15	52	03/08/2012	Comments from the internal review are implemented. Sent for internal language review.	I/R	As Required
DDNTA 15	60	07/08/2012	Comments from the language review are implemented. Submitted for review to DG TAXUD.	I/R	Page 5
DDNTA 16	00	04/09/2012	The review comments are implemented. Submitted for acceptance to Taxation and Customs Union DG.	I/R	Pages 5, 26, 108, 124, 127, 128, 145, 154
DDNTA 15	65	14/02/2013	Project and contractual data updated. Aligned with KEL 0.24a. **This and the next version were created in a side branch to address urgent business needs in DDNIA. This version was created from DDNTA v15.50.**	I,R	Pages 5, 20, 25, 26.

Edition	Rev.	Date	Description	Action[1]	Pages
			Submitted for review to Taxation and Customs Union DG.		
DDNTA 15	70	27/02/2013	The review comments are implemented. Submitted for acceptance to Taxation & Customs Union DG.	I,R	Page 20
DDNTA 16	01	05/03/2013	Project and contractual data updated. Aligned with the KEL v0.25a. **This version also includes the changes introduced within KEL v0.24a.** Sent for internal and language review.	I/R	Pages 20, 25-27
DDNTA 16	10	06/03/2013	Comments from the internal and language review are implemented. Submitted for review to Taxation & Customs Union DG.	I/R	As Required
DDNTA 16	50	08/04/2013	The review comments are implemented. Submitted for acceptance to Taxation and Customs Union DG.	I/R	Pages 5, 6, 20, 21
DDNTA 16	51	16/08/2013	Project and contractual data are updated. Aligned with the KEL v0.26 by implementing the KEL entries 327, 333, 339, 340, 341, 342, 343 and 345. Sent for internal review.	I/R	Sections: I.III.1, I.III.2, I.I.8.12, III.I.2.7, III.III.1.4.1, III.III.1.4.2, III.III.1.4.4, III.III.1.4.5, III.III.2.2, III.III.3.2, III.III.3.3.
DDNTA 16	60	04/09/2013	Comments from the internal review are implemented. Submitted for Review to Taxation & Customs Union DG.	I/R	As required
DDNTA 17	00	02/10/2013	No review comments. Submitted for acceptance to Taxation and Customs Union DG.	-	-
DDNTA 17	01	17/01/2014	Project and contractual data are updated. Aligned with the KEL v0.27. Sent for internal review.	I/R	Pages 22, 28 and 29
DDNTA 17	10	23/01/2014	Comments from the internal review are implemented. Submitted for Review to Taxation & Customs Union DG.	I/R	As required
DDNTA 18	00	20/02/2014	The review comments are implemented. Submitted for acceptance to Taxation and Customs Union DG.	I/R	As required
DDNTA 18	10	05/03/2014	Implementing QTM037 (RFC-List.28 Movements System). Submitted for Review (SfR) to Taxation & Customs Union DG. Also for review by the National Administrations.	I/R	Sections: I.I.6, I.III.1, I.III.2, III.III.2.2, III.III.3.2, III.III.3.3,

Edition	Rev.	Date	Description	Action[1]	Pages
					III.III.3.4
DDNTA 18	20	06/03/2015	Implementing DG TAXUD sanity check comments. Re-Submitted for Review (SfR2) to Taxation and Customs Union DG.	I/R	Sections: I.I.7, I.I.8, I.II.2, I.III.3, II.III, III.I.1.2, III.I.2.8, III.III.3.6.2
DDNTA 19	00	16/04/2015	Implementing DG TAXUD and NAs review comments. Submitted for Acceptance (SfA) to DG TAXUD.	I/R	As Required
DDNTA 19	10	24/04/2015	Incorporating DG TAXUD verification comments. Re-Submitted for Acceptance (SfA2) to DG TAXUD. Content and layout fixed.	I/R	As Required
DDNTA 19	20	14/09/2015	Implementing RFC entries 383 and 384. Submitted for Review (SfR) to DG TAXUD.	I, R	Sections I.I.8.15, I.III.2
DDNTA 19	30	28/09/2015	Implementing DG TAXUD and QA3 review comments. Submitted for Acceptance (SfA) to DG TAXUD.	I/R	As Required
DDNTA 19	40	26/10/2015	Implementing the comments of NA-DE under the call IM130029. Re-Submitted for Acceptance (re-SfA) to DG TAXUD.	I/R	Section I.I.8, I.III.2
DDNTA 19	50	09/02/2017	Implementing QTM142 (RFC-List.29 RFC#387, #388, #389, #392, #394 and RTCs 692, 21343, 21566). Submitted for Review (SfR) to DG TAXUD. Also for review by the National Administrations.	I/R	Sections: I.I.8, I.III.1, I.III.2, I.III.4, III.I.2.9, III.III.2.1.7, III.III.1.2, III.III.2.1.2, III.III.2.1.6, III.III.2.1.10, III.III.3.1.2, III.III.3.6.1
DDNTA 20	00	16/03/2017	Implementing DG TAXUD and QA3 review comments. Submitted for Acceptance (SfA) to DG TAXUD.	I/R	Sections: I.I.1, I.I.8, I.II.3, I.III.1, I.III.2, I.III.4, X.I.2, Sub-Section II.II, III.I.2.9.1, III.III.2.1.2, III.III.2.1.11

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Section I General Introduction

Sub-Section I.I   Document Overview

I.I.1   Purpose of DDNA document

The DDNA, the **Design Document for National Applications**, supersedes the Design Document for National Applications for NCTS, ECS and ICS. It specifies the design requirements to which any Customs Movement Application needs to conform. The DDNA is applicable to every Customs Movement Application and must be considered as a mandatory document for all implementation and verification activities.

The DDNA is **applicable to every Transit, Export and/or Import Control Application** and must be considered as a mandatory document for all implementation and verification activities.

The DDNA is aligned with [A4], [R8] and [R7].

Document [A4] contains the specifications for the entire NCTS (encompassing all Phases and sub-Phases), foreseeing a number of electronic and other (paper) Information Exchanges.

Documents [R8] and [R7] contain the specifications for ECS and ICS respectively, foreseeing a number of electronic exchanges.

The DDNA consists of four volumes. One volume exists for each system (Transit, Export and Import) defining the design requirements of the specific system and one common volume, which defines common operations and methods for all systems. This volume is the Design Document for Common Operations and Methods (DDCOM) volume. For more information about DDNTA's purpose and structure, please refer to chapters I.I.3 and I.I.6 respectively.

Information Exchanges are foreseen in the Common Domain (between National Administrations), in the National Domain (local to a National Administration), and in the External Domain (between National Administration and Traders). Common Domain exchanges will always take place via the CCN/CSI communication platform or the Inter(Extra)net. The different formatting and transport mechanisms will therefore be defined in detail in the DDNA. Moreover, additional design constraints and additional details on error and exception handling will be stated.

Within the Customs systems, the CPT will initially produce a number of Centrally Developed Customs Application (CDCA) tools (e.g. STTA, TTA, CS/RD2, and CS/MIS) in order to assist the NAs to implement, verify and operate their National Customs Application (NCA). All these CDCA tools must conform to this document, although their specification is not part of this document. In order to construct an NCA, the NA should therefore use this document, in order to decide which functionality remains to be implemented.

I.I.2   DDNA Structure

The DDNA consists of the following four volumes:

- Design Document for National Transit Application volume (DDNTA);

- Design Document for National Export Application volume (DDNXA);

- Design Document for National Import Application volume (DDNIA);

- Design Document for Common Operations and Methods volume (DDCOM).

It is complemented by the Design Document for National Reference Data Application volume (DDRDA) [A9], after the migration to CS/RD2 that is based on SOA and used by more central and national applications.

I.I.3 Purpose of the DDNTA volume

This volume, which is the **Design Document for National Transit Applications** is applicable to every National Transit Application and must be considered as a mandatory for all implementation and verification activities.

The purpose of the DDNTA document is twofold:
- To state unambiguously **what** needs to be developed. This will be achieved by specifying the sequences of Information Exchanges to be supported, as a number of message exchange protocols and the detailed structure and building rules of these Information Exchanges.
- To define **how** the Information Exchanges need to be performed and transported between the National Transit Applications. The UN/EDIFACT and/or XML format as well as the transport mechanisms are described in the DDCOM volume.

I.I.4 Scope of DDNTA volume

This version of the DDNTA volume is applicable to NCTS Phase 4.

This volume is restricted to the electronic Information Exchanges within NCTS and is aligned with [A4].

Document [A4] contains the specifications for NCTS, foreseeing a number of electronics exchanges.

NCTS Phase 4 covers the functionality of the NCTS Phase 3.2:

- NCTS Phase 3.2 can be considered as an extension to NCTS Phase 3.1, which is the initial implementation phase of NCTS, enhanced by the following functions:

    o Guarantee Management System;

    o Handle Enquiry;

NCTS Phase 4 can be considered as an extension to Phase 3.2 and introduces the following functionality:

- Safety and security as stipulated in the "security amendments legislation" in [A4];

- New enquiry processes [A4];

- Anti-Fraud Transit Information System (ATIS) [A4];

- Exchanges for the NCTS/TIR-DATA[2] Pilot project, defining the message handling between NA and Partner Countries (including Russia) [R10].

The [A2] defines the EBPs and IEs to be implemented and these are also specified in Appendix A of this volume.

It should be noted that [A2] identifies a certain number of mandatory Information Exchanges, while it provides only recommendations (or strong recommendations) for a number of other Information Exchanges. For the first category of (mandatory) Information Exchanges, DDNTA should therefore be considered as an applicable document, while for the latter category of (Recommended, Strongly Recommended or Optional) Information Exchanges, DDNTA should only be considered as a guideline with recommendations. The applicability of DDNTA is discussed further in this document (see Section II).

I.I.5 *Intended audience*

The intended audience for this document includes:

- Any person responsible for the functional specifications of NCTS;

- Any person responsible for the development of software in the context of NCTS;

- Any person responsible for the definition of tests for NCTS;

- Anyone within the affected service suppliers in the CCN/CSI projects responsible for the delivery of the required services to NCTS;

- Any other authorised body affected by NCTS, including Electronic Customs Group, OLAF, and Traders Associations;

- Any person responsible for the functional specifications of NCTS/TIR-DATA pilot project;

- Any person responsible for the development of software in the context of NCTS/TIR-DATA pilot project;

- Any person responsible for the definition of tests for NCTS/TIR-DATA pilot project exchanges with Partner Countries;

- Anyone within the affected service suppliers in the CCN/CSI projects responsible for the delivery of the required services to NCTS/TIR-DATA pilot project exchanges with Partner Countries;

- Any other authorised body affected by NCTS/TIR-DATA pilot project exchanges with Partner Countries, including EU Member States.

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[2] The initial name was SPEED Pilot project for exchange of NCTS TIR data with Russia only. Followed by NCTS/TIR-MD&UA with the Republic of Moldova and Ukraine.

Readers are assumed to have a good understanding of the IT concepts and terminology used in this document. Also, it is assumed that readers are familiar with [A1], [A2] and [A4].

I.I.6   *Structure of DDNTA volume*

The DDNTA volume specifies the NCTS specifications covering NCTS Phase 4. It is structured in sections (further subdivided in chapters) and a number of appendices.

This document comprises the sections, chapters and lists of appendices summarised below:

SECTION I GENERAL INTRODUCTION includes the following chapters:

- Sub-Section I.I describes the **purpose** and the **scope** of DDNTA, the **intended audience**, the **internal structure** of the document, plus some document **service information**;

- Sub-Section I.II contains **definitions** used in this document (terminology, acronyms and abbreviations);

- Sub-Section I.III describes the **relationship of this document with other Customs baseline documents**. It defines dependencies with these documents and states the applicability of these documents. It also explains how this document, together with the other Customs documentation, should be used during the development and verification of any Customs application;

- Sub-Section I.IV describes the **symbolism and the conventions** used in the various models included in this document. It also discusses the technical naming conventions used for the data dictionary that has been included in this document.

SECTION II SCOPE OF DEVELOPMENT discusses the items that need to be developed in NCTS Phase 4 applications. Appendix A for NCTS Phase 4 accompanies this section.

The following sections contain a detailed definition of the **message protocols** to be supported for the different Business Processes in Transit. These message protocols are described by a collection of **Time Sequence Diagrams**, supported by **State Transition Diagrams**. Each section deals with one of the following Business Process areas:
SECTION III NCTS PHASE 4 describes the Core Business for the complete NCTS Phase 4 phase. It deals with the Transit scenarios performed by the different parties in NCTS.

SECTION IV CENTRAL SERVICES deals with the centralised collection and distribution of data that is of common interest to the various NAs for NCTS and covers availability reporting and statistics. This section refers to the Design Document for Common Operations and Methods [A5], describing any deviations.

SECTION V SYSTEMS ADMINISTRATION deals with issues such as logging and tracing and any other administration function to be foreseen. This section refers to the [A5], describing any deviations.

SECTION VI TECHNICAL MESSAGE STRUCTURE defines the detailed technical structure of the Information Exchanges of NCTS. This section refers to the [A5], describing any deviations.

SECTION VII DESIGN PRINCIPLES explains how the system, defined in the previous sections, needs to be built. This section refers to the [A5], describing any deviations.

SECTION VIII EDIFACT MESSAGE FORMATTING defines in detail how messages need to be formatted in UN/EDIFACT. This section refers to the [A5], describing any deviations.

SECTION IX XML MESSAGE FORMATTING defines how messages need to be formatted in an XML format. This section refers to the [A5], describing any deviations.

SECTION X TRANSPORT OF MESSAGES VIA CCN/CSI defines how messages need to be transported across the CCN/CSI communication platform. This section refers to the [A5], describing any deviations.

SECTION XI TRANSPORT OF MESSAGES VIA THE INTER(EXTRA)NET defines how messages need to be transported across the Inter(Extra)net communication platform. This section refers to the [A5], describing any deviations.

APPENDICES FOR NCTS PHASE 4

- Appendix A presents all messages included in the scope of DDNTA for NCTS Phase 4;

- Appendix C contains a definition of all Codelists used for NCTS that are applicable to NCTS Phase 4;

- Appendix G defines the EDIFACT message structures used;

- Appendix I contains the EDIFACT mapping of the different messages. This Appendix is accompanied by Appendix H, which contains a definition of all EDIFACT segments used and their direct relation with the NCTS Phase 4 Data Items and groups;

- Appendix J presents how the different Data Groups and Data Items are correlated to the messages;

- Appendix Q contains the definition of all messages for NCTS Phase 4;

- Appendix R contains the XML mapping of all Data Items and Data Groups of the NCTS Phase 4 messages;

- Appendix T contains the Document Type Definitions of the NCTS Phase 4 messages;

- Appendix X contains the XML Schemas of the NCTS Phase 4 messages.

- Appendix Y and Appendix Z contain a data dictionary for all elements (Data Items and Data Groups) used to construct these messages.

I.I.7 Document service information

The different parts that make up DDNA will each be submitted individually to configuration and version control. Individual components may be upgraded and delivered separately.

Maintenance will be provided for this document. The Taxation and Customs Union DG will define and schedule the different deliveries.

Comments can be submitted to this document, either via organised reviews or via calls to the ITSM Central Service Desk.

After version 18.00 of the DDNA, the concept of 'Known Error List' (KEL) is replaced by 'Request for Change List' (RFC-List). The corrective and evolutive changes to this DDNA are maintained in the format of an RFC-List version published on CIRCABC.

Whenever a part of this document is referred to, reference will be given either to an entire section or an entire chapter (within a section) or a paragraph (for any other subdivision).

This document will be submitted as a Word file with the following naming convention:

- DDNTA-Main Document-v*yy.zz*-SfA, where *yy* and *zz* are version and revision numbers.

All appendices (except the appendix X) of NCTS will be delivered as:

- DDNTA-Appendix *W*-v*yy.zz*-SfA.*DDD*, where:

    o *W* stands for the Appendix name;

    o *yy* and *zz* are version and revision numbers;

    o *DDD* is the document type (PDF for an Adobe Acrobat 4-file, DOC for MS Word, MDB for MS Access).

I.I.8 Change history

I.I.8.1   Changes in DDNTA version 9.10

Version 9.10 of DDNTA incorporates the following changes:
- The DDNA has been divided into three volumes – one each for Common, NCTS and ECS.
- For NCTS Phase 3.2: implementation of KEL v0.14.
- For NCTS Phase 4: implementation of [A4] and KEL v0.14.

I.I.8.2   Changes in DDNTA version 10.30

Version 10.30 of DDNTA incorporates the following changes:
- The review comments of the 58th ECG meeting have been implemented.
- DDNTA Known Error List (KEL) v.015 has been incorporated.

I.I.8.3   Changes in DDNTA version 11.00

Version 11.00 of DDNTA incorporates the following changes:
- The introduction of NCTS/TIR-RU pilot project.

• DDNTA 10.30 Known Error List (KEL) 0.21 has been incorporated.

I.I.8.4   Changes in DDNTA version 12.00

Version 12.00 of DDNTA incorporates the following changes:
• The introduction of the updated Customs Business Statistics.
• Removal of the NCTS Phase 3.2.
• Alignment of the DDNTA with the FTSS [A4].
• Implementation of DDNTA 10.30 Known Error List (KEL) 0.22.
• Implementation of calls INC0907.140707, INC0902.121022, INC0912.141236 and INC0911.139247.

I.I.8.5   Changes in DDNTA version 13.00

Version 13.00 of DDNTA incorporates the following changes:
• Section III.I.2.5 was modified to mention NCTS Phase 4;
• Section III.III.3.1.3 was modified so that the NCTS will accept messages IE006/IE018 when the state of the movement is under "Recovery recommended";
• Section VIII.I.3 was modified so that the correct naming is used for the IE143 message.

I.I.8.6   Changes in DDNTA version 14.00

Version 14.00 incorporates the following changes:
• DDNA Known Error List (KEL) 0.23 has been incorporated, implementing KEL entries 223, 224, 225, 230, 231, 232, 233, 234, 235, 236, 237, 238, 239, 240, 241, 242, 243, 244, 245, 246, 247, 248, 249, 250, 251, 271 and 272.

I.I.8.7   Changes in DDNTA version 15.00

Version 15.00 incorporates the following changes:
• DDNA Known Error List (KEL) 0.24 has been incorporated, implementing KEL entries 278, 279, 281, 283, 285, 288, 290, 292, 293, 295, 300 and 302.

I.I.8.8   Changes in DDNTA version 15.50

Version 15.50 incorporates the following changes:
• DDNA Known Error List (KEL) 0.23a has been incorporated, implementing KEL entries 305 and 306.

I.I.8.9   Changes in DDNTA version 15.70

No changes were implemented in the DDNTA version 15.70. In the scope of the DDNA Known Error List (KEL) 0.24a only changes in the DDNIA are implemented (**this version was created in a side branch to address urgent business needs in DDNIA**).

I.I.8.10 Changes in DDNTA version 16.00

Version 16.00 incorporates the following changes (**WARNING: This version does NOT include the changes for KEL v0.24a**):

- DDNA Known Error List (KEL) 0.25 has been incorporated, implementing KEL entries 312, 314, 317, 319 and 320.

I.I.8.11 Changes in DDNTA version 16.50

Version 16.50 incorporates the following changes (**this version also includes the changes introduced within KEL v0.24a**):

- DDNA Known Error List (KEL) 0.25a has been incorporated, implementing KEL entries 322 and 323.

I.I.8.12 Changes in DDNTA version 17.00

Version 17.00 incorporates the following changes:

- DDNA Known Error List (KEL) 0.26 has been incorporated, implementing KEL entries 327, 333, 339, 340, 341, 342, 343 and 345.

I.I.8.13 Changes in DDNTA version 18.00

Version 18.00 incorporates the following changes:

- DDNA Known Error List (KEL) 0.27 has been incorporated, implementing KEL entries 347, 348, 350 and 351.

I.I.8.14 Changes in DDNTA version 19.10

Version 19.10 incorporates the following changes:

- DDNA RFC-List 0.28 has been incorporated implementing RFC#359, RFC#376 in the main document of DDNTA, RFC#353 in the main document as well as in the Appendices of DDNTA and finally RFC#358, RFC#360, RFC#361(see also below the bullet 4), RFC#362, RFC#375 in Appendices of DDNTA;
- The evolutive changes of TR9250 and the Technical Codelist values required by the invitation to be sent to MK and RS to join the Convention on the Common Transit procedure;
- The introduction of the Codelists for UNOG languages and UNOC Languages;
- The correction of the issue detected in IM104211 defined as 'new RFC#361';
- All the Codelists mentioned in Appendix Q2 are now identified with *CLn3* (in place of *n…3*), for example '12' becomes 'CL012'.

I.I.8.15 Changes in DDNTA version 19.30

Version 19.30 incorporates the following changes:

- Implementing two emergency RFCs (RFC entries 383 and 384).

I.I.8.16 Changes in DDNTA version 19.40

Version 19.40 incorporates the following changes:

- Implementing the comments of NA-DE under the call IM130029.

I.I.8.17 Changes in DDNTA version 20.00

Version 20.00 incorporates the following changes:
DDNA RFC-List.29 has been incorporated implementing:

- RFC#387 (Cancellation of Enquiry Request (IE059): sent [or not] after IE006 or IE018) - Main Document;
- RFC#388[3] (DDNTA: From 'NCTS TIR RU' to a more generic 'NCTS TIR DATA' description) - Main Document, Appendices Q2 and X (and DDCOM);
- RFC#389[4] (CUSTOMS/RFC: Fixing C001, C002, C030, C140, R010, R011, C140, R902, TR0601, TR0630) - Appendices Q2 & X;
- RFC#392[5] (TIR carnet Document Ref. (C902) & IE111-IE112 & HOLDER ID TIR) - Main Document, Appendices A1, A2, A3, C, I, J, Q2, R, T, X, Y, Z;
- RFC#394 (NCTS: Various corrections for CT & operations) - Main Document, Appendices I, J, Q2, R, T, X, Y, Z.

In addition, the following corrections have been applied:
- In the context of the development of CS/RD2, it was decided by DG TAXUD/A3 that the business codelist CL016 ('Geo-Nomenclature Code') will not be maintained in CS/RD2 (it was also not maintained and not disseminated by CS/RD). In consequence, the CL016 was removed from CSE export and from Appendix C and C2. This correction should have no impact on the National Applications. (see IM113310 in SYNERGIA, RTC-21566 for DG TAXUD / CUSTDEV3);
- The DDNTA Main Document and the Appendices produced as MS-Word Document have been corrected to avoid IE01, IE06, IE18 and any message mentioned as IExx, and to read IE**0**01, IE**0**06, IE**0**18 and IE**x**xx in general, in order to be aligned with FTSS and with Appendix Q2. It will facilitate the search functionality. (ref RTC-21343 for DG TAXUD/CUSTDEV3). This cosmetic documentary correction has no impact on the National Applications.
- In the context of the development of CS/RD2, it was decided by DG TAXUD/A5 that the technical codelist CL061 ('ISO 6346') will not be maintained in the new CS/RD2

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[3] Note: The approved RFC-List.29#388 included the incorrect string *<doc:condition rule="TR0640" />*. The Appendix X – CD012B.xsd correctly includes *<doc:**rule name**="TR0640" />*.

[4] The approved RFC-List.29#389 [(603) eCUSTOMS-RFC_C001,C002,C030,C140,R010,R011,R902, TR0601, TR0630-v1.10.pdf] made a distinction between the messages of the Common Domain and the External Domain messages, in respect to C001 / C002 / C140 / R010 / R011 / R902 / TR0630 / TR0601.

However, the updated wording in the aforementioned Conditions and Rules applies to all messages of the DDNTA. So, there can not be two versions of e.g. C001 in the same document. Therefore, the R902, TR0601 and TR0630 are also removed from the External Domain messages. Some National Project Teams (NPT) may decide to implement two versions of the R010/R011 : one (strict) version for the Common Domain messages, and one (less strict and unchanged) for the External Domain messages. This is a National Decision.

The DDNTA must remain consistent in the specifications, and the same C001 is applicable on all messages. We cannot have two versions of the C001 in one release of the DDNTA. The *same* new wording of C001 is applicable to *all* messages in DDNTA v20.00, therefore the TR0630 and the CL138 become obsolete. The same logic was applied on R902 (obsolete because covered by the new version of C030) and TR0601 (obsolete because covered by the new version of the C001 or C002).

The NPT are strongly recommended to verify in their National Transit Application the correct implementation of the Note added in R010 and R011.

[5] TR0104 was adapted, to take into account the removal of IE111 and IE112.

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application (it was not maintained and not disseminated by the CS/RD application, and it was never included in the file 'tcl.xsd'). In consequence, the CL061 was removed from CSE export and from Appendix C. This correction should have no impact on the National Applications. The use of the ISO 6346 was introduced in the DDCOM section V.6, therefore keeping it in the DDNTA, the information would become redundant.

- In the context of the development of CS/RD2, it was decided by DG TAXUD/A5 that the codelist Customs Offices that existed in CS/RD with no CLxxx identifier will be created in CS/RD2 as an RD entity with the codelist identifier CL141 (see IM151522/KE15234 in SYNERGIA, and see CS/RD2 application). The CL141 is mentioned in Appendices C, I, J and Q2.

- In the context of the development of CS/RD2, it was identified that the multiplicity of the data group "CUSTOMS OFFICE TIMETABLE LINE" was not consistent between [CD030B/CD031B] (9x) and [CD931B] (99x) in the DDNTA v19.40 (same for DDNXA and DDNIA). It was decided by DG TAXUD that only one structure of the codelist CL141 (Customs Office) would be defined in the CS/RD2 application and used by CS/RD2 for the dissemination of the Customs Office List (COL). In consequence, the structure of the messages CD030B and CD031B has been modified to have the multiplicity of the data group "CUSTOMS OFFICE TIMETABLE LINE" corrected (i.e. '9x' replaced by '99x'). This correction has no impact on the National Applications, as long as there is no Customs Office with more than 9x the data group "CUSTOMS OFFICE TIMETABLE LINE" in the CD031B sent by the application CS/RD2.

- It includes the clarification requested by NA-UK and provided by DG TAXUD/A3 regarding the reporting of the non-presented TAD during the Enquiry (Import procedure applied) in the context of IM57739 see the Known Error KE12259 in SYNERGIA (RTC-692 for DG TAXUD / CUSTDEV3).

Sub-Section I.II   Definitions

I.II.1   Definitions

Definitions of many of the terms used in this document may be found in the "Glossary of Terms" ([R1]). Definitions of the business terms relating to Transit may also be found in [R9].

I.II.2   Terminology

The corresponding chapter from DDCOM [A5] is applicable to NCTS.

I.II.3   Acronyms and Abbreviations

The following acronyms are used in this document:

Acronym	Description
AAR	Anticipated Arrival Record
AES	Automated Export System
API	Application Programming Interface
ATIS	Anti-fraud Transit Information System (OLAF)

Acronym	Description
ATR	Anticipated Transit Record
BANSTA	BANking STAtus message
BGM	Beginning of Message. This is the name of a segment of an EDIFACT-message.
CAEnq	Competent Authority of Enquiry
CAoDep	Competent Authority of Country of Departure
CARec	Competent Authority of Recovery
CASO	Central Application Security Officer
CCN	Common Communication Network
CD	Common Domain
CDCA	Centrally Developed Customs Application
CDIA	CCN/TC Directory Administrator
CoA	Confirm on Arrival
CoD	Confirm on Delivery
COL	Customs Office List
CONTRL	Syntax and service report message (CONTRL) EDIFACT message
CPT	Central Project Team
CS/MIS	Central Services Management Information System
CS/RD2	Central Services Reference Data 2
CSE	Consolidated Specifications Environment
CSI	Common Systems Interface
CSIDD	CCN/CSI Data Descriptor
CSO	CCN-TC Central Security Officer
CSS	Central Services Specification
CUSCAR	CUStoms CArgo Report EDIFACT message (UNSM)
CUSDEC	CUStoms DEClaration EDIFACT message (UNSM)
CUSRES	CUStoms RESponse EDIFACT message (UNSM)
DDCOM	Design Document for Common Operations and Methods
DDNA	Design Document for National Applications
DDNIA	Design Document for National Import Applications
DDNTA	Design Document for National Transit Applications
DDNXA	Design Document for National Export Applications
DDSPEED	Design Document for SPEED
DMR	Data Maintenance Request (UN/EDIFACT)
DTD	Document Type Definition
DTI	Direct Trader Input
EBP	Elementary Business Process
EC	European Community
ECS	Export Control System
ECTA	Export Control Test Application
EDI	Electronic Data Interchange
EDIFACT	Electronic Data Interchange for Administration, Commerce and Transport
EFTA	European Free Trade Association
EXC	Exception Report
EXP	Expiration Report
FCS	Federation Conformance System
FMS	Functional Message Structure

Acronym	Description
FSS	Functional System Specification
FTSS	Functional Transit System Specification
FTX	Free TeXt. This is the name of a segment of an EDIFACT-message.
GENRAL	GENeRAL purpose message
GESMES	GEneric Statistical MESsage EDIFACT (UNSM)
GMT	Greenwich Mean Time
GSS	Generic Security Services
GUI	Graphical User Interface
HAoDes	Higher Authority of the Office of Destination
HS6	Harmonised System 6
HTML	HyperText Markup Language
HTTP	HyperText Transfer Protocol
HTTPS	HTTP over SSL
ICR	Issue Control Report
ICS	Import Control System
IDL	Interface Definition Language
IE	Information Exchange
IETF	Internet Engineering Task Force
IFL	Implementation of Functional Languages
ISO	International Standards Organisation
IT	Information Technology
KEL	Known Error List
LAA	Local Application Administrator
LAD	Local Application Designer
LRN	Local Reference Number
LSO	Local Security Officer
LSA	Local System Administrator
MD5	Message Digest 5
MIME	Multipurpose Internet Mail Extensions
MRN	Movement Reference Number
NA	National Administration
NCA	National Customs Application
NCF	Notification of Crossing Frontier
NCTA	National Customs Test Application
NCTS	New Computerised Transit System
NDCA	Nationally Developed Customs Application
NTA	National Transit Application
NTSR	National Transit System Requirements
OLAF	Office européen de Lutte Anti-Fraude / European Anti-fraud Office
OoDep	(Customs) Office of Departure
OoDes	(Customs) Office of Destination
OoGua	(Customs) Office of Guarantee
OoTra	(Customs) Office of Transit
PARTIN	Party Information EDIFACT message (UNSM)
PARTTC	Party Transit Computerisation EDIFACT message (PARTIN + DMRs)
QA	Quality Assurance
QoS	Quality of Service

Acronym	Description
RD	Reference Data
RFC	Request For Change
RU	Russian Federation
SAD	Single Administrative Document
SAM	Single Administrative Message
SGML	Standard Generalised Markup Language
SMTP	Simple Message Transfer Protocol
SPEED	Single Portal for Entry or Exit of Data
SRO	System Requirements Overview
SSL	Secure Socket Layer
STD	State Transition Diagram
STTA	Standard Transit Test Application
SUG	Start-up Guide
TAXUD	TAXation and Customs Union DG
TC	Technical Centre
TCC	Transit Community / Common customs
TCP	Transit Computerisation Project
TIR	Transit International Routier
TLS	Transport Layer Security
TMS	Technical Message Structure
TraDep	Trader at Departure
TraDes	Trader at Destination
TSD	Time Sequence Diagram
TTA	Transit Test Application
TTSS	Technical Transit System Specification
UDP	Upload/Download Parsing
UML	Unified Modelling Language
UN	United Nations
UN/EDIFACT	See 'UN' and 'EDIFACT'
UNB, UNH, UNT, UNZ, UCD, UCI, UCM, UCS	These are not abbreviations but names of (service) segments of an EDIFACT-message.
UNSf	User Needs Specification
UNSM	United Nations Standard Message (e.g. CUSDEC)
URI	Universal Resource Identifier
UTF	UCS Transformation Format
WWW	World Wide Web
XML	eXtensible Markup Language
XSD	XML Schema Definition

Table 1: Acronyms and Abbreviations

Sub-Section I.III Applicable and Reference documents

I.III.1 *Applicable documents*

The following documents are applicable to this document:

Ref.	Reference	Title	Release
A1	FTSS 4_0 including Corr 1_2006	FTSS 4.00 as amended with Corrigendum 1/2006	Corrigendum 2006
A2	NCTS P4-SD	Scope of NCTS Phase 4	20.00
A3	N/A	GUIDELINES for PRINTING of AccDoc & LoI (and Annex)	N/A
A4	TSS-FSF-REL4	FTSS 4.00	Corrigendum *1/2017*
A5	DDCOM	Design Document for Common Operations and Methods	15.00
A6	CD3-FQP	Framework Quality Plan	1.00
A7	TAXUD/2013/CC/124	Framework Contract	Dated 11/11/2013
A8	SC09	Specific Contract 09 under the Framework Contract TAXUD/2014/DE/127a	Dated 09/12/2015
A9	DDRDA	Design Document for Reference Data Application	*1.00[6]*

Table 2: Applicable Documents[7]

Note that all documents listed above are applicable to this document (and are input to this document). Any change in any of the documents above is likely to have direct and immediate consequences for this document:

- The first document [A1] is the Functional Transit System Specification ("FTSS 4.00 as amended with Corrigendum 1/2006"). It defines the business model, the various operational scenarios and the logical data model for the Information Exchanges. This document encompasses all aspects of Transit, regardless of any implementation phase;
- The next document, [A2], defines the scope of NCTS Phase 4;
- Document [A3] describes a number of legal aspects when using the Transit system;
- Document [A4] is the Functional Transit System Specification ("FTSS 4.00 Corrigendum 1/2017"). It defines the business model, the various operational scenarios and the logical data model for the Information Exchanges for NCTS Security. It incorporates the logical data model for the Information Exchanges together with the operational scenarios for the New Enquiry process;
- Document [A5] defines common operations and methods for all systems (Transit, Export and Import);

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[6] Document is planned to be published on CIRCABC during 2017Q2/Q3.

[7] The Corrigendum 1/2017 will be aligned to RFC-List.29 and will be published during 2017Q2 (after MS Review).

- Documents from [A6] to [A8] are contractual documents, which are related to implementation of RFC List v0.29 in DDNTA.

The Central Project Team of NCTS will implement configuration management on all documents and CDCA software versions in order to assure coherence.

I.III.2 Reference documents

The following documents are also of interest to the Transit application designer:

Ref.	Reference	Title	Release
R1	TMP-GDL-GLSRY	TEMPO Glossary of Terms	3.11
R2	TSS-SEC-POL	Security Policy Document	3.05
R3	DDNXA	Design Document for National Export Application	11.00
R4	DDNIA	Design Document for National Import Application	13.00
R5	DDNA_RFC-List	List of Approved RFC Proposals on DDNA	29
R6	EDIWG/0100-10	Single Administrative Message - Mapping Specification	1.00
R7	FSS – AIS	FTSS – AIS Addendum: ICS	Corrigendum *1/2017*
R8	FSS – AES	FSS – AES Addendum: ECS	Corrigendum *1/2017*
R9	TSS-CSA-UNS	User Needs Specification	2.04-EN
R10	DDSPEED	Design Document for SPEED (DDSPEED) with Russian FCS – Phase 1	6.00

Table 3: Reference Documents[8]

The first document, [R1], contains the glossary applicable to NCTS and/or ECS (terminology, acronyms and abbreviations used in NCTS).

The second document defines the Security Policy [R2].

The [R3] and [R4] documents are the domain specific DDNA volumes for Export and Import domains.

The [R5] is the latest DDNA RFC-List version (Known Error List (KEL) was renamed). The SAM Mapping Specification, [R6], is a document describing the Interchange Exchange format.

The document [R7] presents various business process threads of the Import Core business.

The document [R8] presents various business process threads of the Export Control System Phase 2.

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[8] The Corrigendum 1/2017 will be aligned to RFC-List.29 and will be published during 2017Q2 (after MS Review).

The document [R9] presents the basic business needs for the Transit system.

The document [R10] is design document for NCTS/TIR-DATA (SPEED2).

I.III.3 DDNTA usage policy

This document should be considered as the main applicable document for all technical aspects regarding NCTS.

- Any NTA will be developed as the sum of two components: DDNTA plus National Specifications;

- The [A4] should be considered as the applicable document for all operation, legal and procedural issues for NCTS Phase 4;

- All CDCA tools will be based on this document.

I.III.4 The IRU compliance algorithm for Reference Document

The algorithm used by IRU to validate the TIR Carnet Number is published on CIRCABC:

– Direct link: https://circabc.europa.eu/w/browse/00205ce8-8219-4643-9c6c-ab108e0bb836,

– Interest Group "<e-Customs - IT aspects>",

– Path: Library > 02_NCTS > 03_TECHNICAL_SPECS > 01_DDNTA.

The version 1.00 of the TXT file (DDNTA_RFC-List.29#392 IRU's algorithm for TIR Carnet Nr _ v1'00.txt) is embedded in this DOC version for information. Please consult CIRCABC to be sure that the latest version is used.

Sub-Section I.IV Symbolism and Conventions Used

The section I.4 from DDCOM is applicable to NCTS Phase 4.

Section II Scope of development

Sub-Section II.I   Information Exchange overview

The scope of NCTS Phase 4 is depicted in sets of appendices:

- Appendix A1 presents an overall view of the Information Exchanges to be supported during NCTS Phase 4;

- Appendix A2 defines the applicability of this DDNTA. It defines for NCTS Phase 4, the Information Exchanges for which this DDNTA should be considered as an applicable document and the Information Exchanges for which this document should be considered as a guideline only;

- Appendix A3 performs a breakdown of the development related to IE messages for NCTS Phase 4.

Sub-Section II.II Information Exchange Map

The Information Exchanges to be supported in NCTS Phase 4 and the different parties involved for this functional stage are summarised in the diagram below (Figure 1). More detailed specifications of those message exchanges are presented in Section III.

Please note that this diagram is not a Time Sequence Diagram; it only summarises the different possible sources and destinations for the various Information Exchanges. This diagram highlights between which Domain the different exchanges are to be foreseen. The National Domain has been added only to indicate the location of NTA.

Note: In the context of the application of the UCC, the sensitive goods have been invalidated in CS/RD on 01.05.2016. In consequence, the message IE011 is no more sent to OLAF since then. The complete alignment of the DDNTA (including the figure on the next page) with the legal basis will be applied in the next release, after the Functional Specifications have been updated.
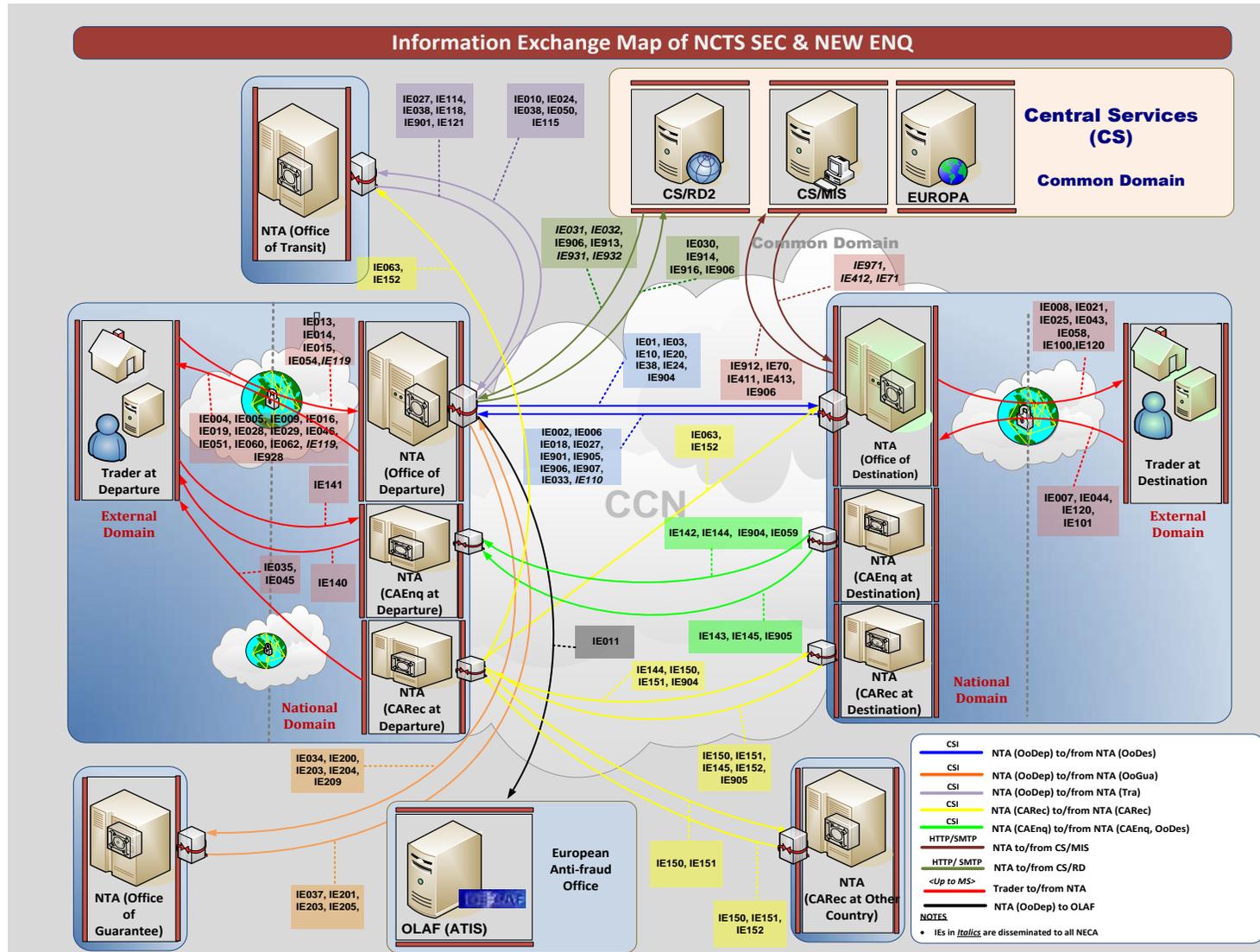
Figure 1: Information Exchange Map of NCTS Phase 4

Sub-Section II.III Message format definition policy

Within this document, the overall approach is to define the EDIFACT and XML format for all messages. The reason for this is that some national applications may perform internally conversions from EDIFACT to XML and vice versa (this is definitely the case for some CDCA tools that are internally using XML only). In some cases both formats can be used (i.e. IE030, IE031, IE032, IE913, IE931 and IE932). The DDNTA v19.10 includes in Appendix X the first version of the XSD files for NCTS P4. At this stage, those XML schemas are provided for information only.

Section III   NCTS Phase 4

This section describes the complete business for NCTS Phase 4. It deals with the main Transit scenarios performed by the different parties in Transit (Office of Departure, Office of Destination, Office of Transit, Competent Authority of Enquiry, Competent Authority of Recovery, Office of Guarantee, Principal, Trader at Departure and Trader at Destination), and is applicable to the complete Phase 4. It is divided into three sub-sections.

- **Sub-Section IV-I: NCTS Core Business**. This Sub-Section deals with the main Transit scenarios performed by the different parties in Transit (Office of Departure, Office of Destination, Office of Transit, Trader at Departure and Trader at Destination), and is applicable to the complete NCTS Phase 4;

- **Sub-Section IV-II: NCTS Handle Enquiry**. This Sub-Section deals with the Transit scenarios performed by the different parties in Transit (Office of Departure, Competent Authority of Enquiry, Office of Destination, Office of Transit, Competent Authority of Recovery and Principal) in NCTS Phase 4;

- **Sub-Section IV-III: NCTS Guarantee Management**. This Sub-Section deals with the main scenarios performed by the different parties in the Guarantee Management (Office of Departure, Office of Destination, Office of Guarantee and Principal) in NCTS Phase 4.

Sub-Section III.I NCTS Core Business

III.I.1 Introduction

III.I.1.1 Overview

The following section contains a detailed specification of the message exchange protocols for the NCTS Core Business area in the NCTS Phase 4. The different parties involved and the Information Exchanges to be supported are summarised in the diagram below. Please note that this diagram is not a Time Sequence Diagram; it is only summarising the different possible sources and Destinations for the various Information Exchanges.

This diagram highlights in which Domain the different exchanges are to be foreseen. A prefix of "C_" denotes exchanges in the Common Domain (between National Administrations), while a prefix of "E_" denotes exchanges in the External Domain (between National Administrations and Traders). A prefix of "N_" stands for exchanges that are purely local to a National Administration (National Domain): these mean local data capture in a National Administration. There is currently only one National Domain Information Exchange anticipated for NCTS Phase 4 [Departure Control Results N_DEP_CON (IE017), which is only playing a role at Office of Departure].

Information Exchanges that are not exchanged via EDI are shown in italics in the figure below. Some of these Information Exchanges have to be exchanged via paper documents. For others an NTA must anticipate data capture on screen as specified in Appendix B of FTSS [A4].

All Information Exchanges related to exceptions are discussed in Design principles.
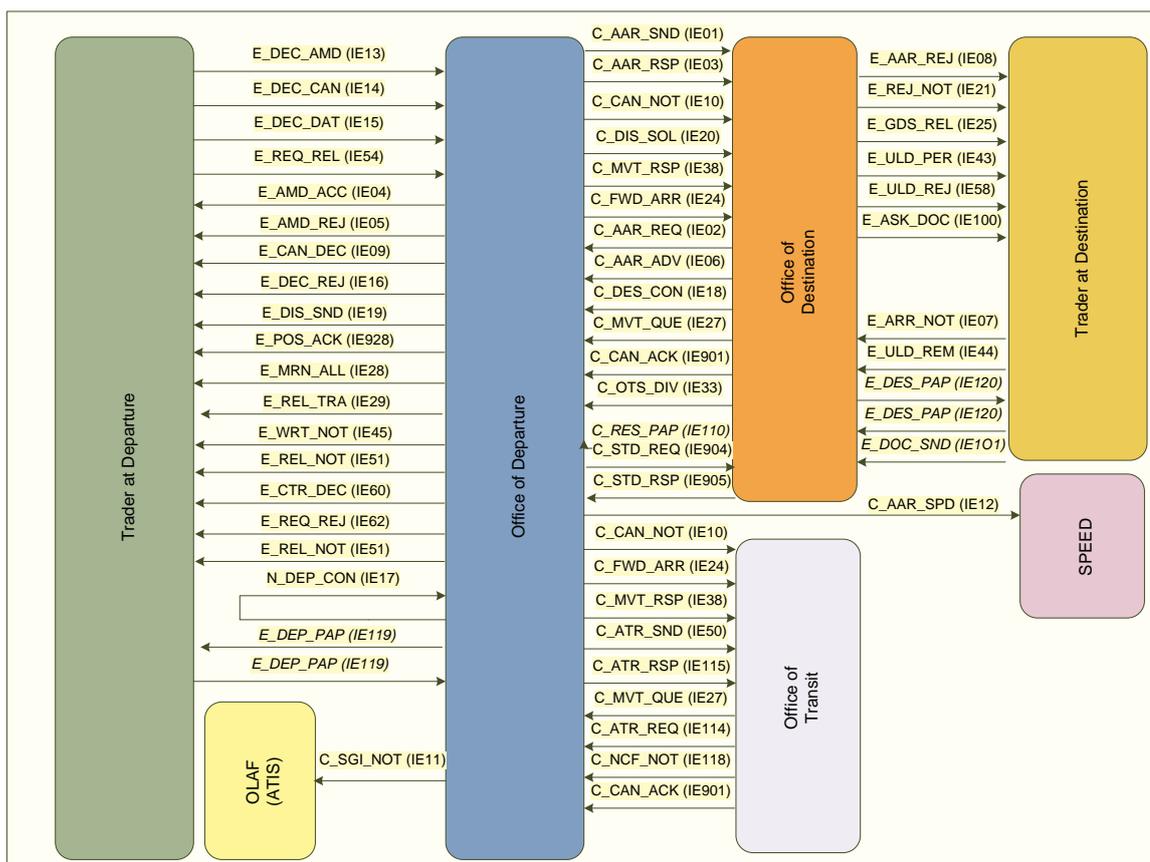
Figure 2: Overview of Information Exchange and roles regarding the NCTS Phase 4 Core Business

III.I.1.2 Scenarios and Time Sequence Diagrams

The different message exchange protocols are defined as a number of message exchange scenarios, each documented by maximally one Time Sequence Diagram.

The different possible scenarios have been grouped together as follows:
- Core flow:
  - Normal procedure.
  - Simplified procedure.
- Departure specific scenarios:
  - Rejection of declaration.
  - Release for Transit refused.
  - Control at Departure with release for Transit.
  - Control at Departure with release for Transit refused.
  - Release request accepted and release for Transit.
  - Release request accepted and release for Transit refused.
  - Negative release request.
  - Release request rejected.
  - Declaration amendment accepted.
  - Declaration amendment rejected.
  - Movement released for Transit and Goods contain sensitive goods with minimum quantity.
  - Manual Closure at Departure based on alternative proof

- Arrival specific scenarios:
  - Rejection of arrival notification.
  - Rejection of unloading remarks.
  - New unloading permission.
  - Ask documents.
  - Discrepancies found during control.
- Exceptions of message sequencing in the Common Domain:
  - AAR missing.
  - ATR missing.
  - NCF not received.
  - Status request/response.
- Diversions:
  - Diversion at Office of Transit - Accepted.
  - Diversion at Office of Transit - Rejected.
  - Diversion at Office of Destination - Accepted.
  - Diversion at Office of Destination - Rejected.
- Cancellation:
  - Cancellation by Trader before release for Transit.
  - Cancellation at Departure by Trader - accepted.
  - Cancellation at Departure by Trader - rejected.
  - Cancellation by Office of Destination after Release for Transit.
- Query Movement Information.
- Safety and Security
  - Departure Specific Safety and Security
    - Departure Activity
    - Release for Transit refused for safety and security reasons
    - Control by Office of Departure, no major discrepancies, threat to safety or security, with release for Transit refused
  - Office of Transit Specific Safety and Security
    - Office of Transit Activity
    - Movement Stopped at Office of Transit
    - Diversion at Office of Transit accepted, movement closed at Transit
  - Arrival Specific Safety and Security
    - Office of Destination Activity
    - Diversion at Office of Destination accepted, movement closed at destination
- Scenarios for NCTS/TIR-DATA Pilot Project
  - Normal Procedure-TIR movement data for NCTS/TIR-DATA Pilot Project
  - Other Possible Scenarios
  - National TIR Movements

The scenarios for the core flow should form the basis of every implementation. The other scenarios require the implementation of the core flow and should be considered as extensions to it.

The number of possible scenarios in Transit is quite large and not all of them have been included in detail as Time Sequence Diagrams. Indeed, in some cases different outcomes are possible and there are a number of cases where iterations and/or repetitions are possible. In such cases, only one Time Sequence Diagram with one possible outcome has been included and the other possibilities have been identified only textually. The latter cases should also be

taken into account and should also be supported. For some very simple scenarios, only explanatory text has been included (and no Time Sequence Diagram).

It should be noted that the following Time Sequence Diagrams always represent a very general case of an actual Transit operation. E.g. on almost all Time Sequence Diagrams, an Office of Transit (with the corresponding messages sent to and sent by this Office) is shown. In reality, for most Transit operations there is no Office of Transit involved. On the other hand, it is possible that there is more than one Office of Transit involved in a Transit operation.

III.I.1.3 Physical movements

Physical movements are not depicted on the Time Sequence Diagrams. Two physical movements are possible:

- Customs Control: this happens when the Office of Departure decides to control the consignment before releasing the goods for Transit. A Customs Officer inspects the consignment at the place of presentation. This can eventually lead to a "No Release for Transit" state.
- NCTS accompanying documents: this is the movement of the paper documents with the goods either from the Trader or the Customs Office at Departure to a Trader or Customs Office at Destination. This movement happens in every case, where the goods are released for Transit and the goods are actually moved to their Destination.

III.I.1.4 Time Sequence Diagrams versus State Transition Diagrams

The different Time Sequence Diagrams should be read in conjunction with the State Transition Diagrams that have been included in Chapter III.III.3. Every application should implement both the Time Sequence Diagrams and the State Transition Diagrams logic.

III.I.2 Time Sequence Diagrams

In the time sequence diagrams that follow, when more than one message starts from (or ends in) the same focus of control, this means these messages are sent (or received) shortly after each other. The arrows will appear close to each other in that case as well. Please note that in this case the sequence of sending the messages is not important

III.I.2.1 Core Flow

The core flow group of scenarios contains the basic normal and simplified procedures.

Regarding Information Exchanges, the distinction between normal procedure and simplified procedure affects the Office of Departure/Office of Destination. Under normal procedure at the Office of Departure, the message Positive Acknowledge E_POS_ACK (IE928) is used, which is not used for simplified procedure. Under simplified procedure at the Office of Destination, the messages Unloading Permission E_ULD_PER (IE043) and Unloading Remarks E_ULD_REM (IE044) are used, which are not used for normal procedure. The difference between normal and simplified procedure is mainly the location of the goods. In case of normal procedure, a Customs Officer has direct access to the goods, whereas in case of simplified procedure the goods are at the premises of a Trader or at an agreed location of goods.

III.I.2.1.1 Normal Procedure at Destination

Figure 3 shows the core flow for normal procedure without any problems.

The first arrow depicts the sending of a declaration message by the Trader at Departure to the Office of Departure, called Declaration Data E_DEC_DAT (IE015).

The Office of Departure allocates a Movement Reference Number (MRN) for identification of the Transit operation. The MRN is communicated to the Trader with an MRN Allocated E_MRN_ALL (IE028). The Trader now knows that the declaration is accepted. After the declaration is accepted, the Office of Departure sends out a 'released for Transit' message, called Release For Transit E_REL_TRA (IE029). The Trader may now transport the goods to their destination.

To inform the Office of Destination of this, the Office of Departure sends the AAR C_AAR_SND (IE001) at the latest when informing the Trader of the release for Transit. The Office of Departure also sends one or more ATR C_ATR_SND (IE050) to the Office(s) of Transit where the consignment is supposed to cross the external frontier(s) of the Common and/or Community Transit zones.

When the consignment passes such a frontier, the Office of Transit notifies the Office of Departure of this by sending an NCF C_NCF_NOT (IE118).

After the goods have arrived, the Office of Destination is notified by the Trader at Destination who sends an Arrival Notification, E_ARR_NOT (IE007). When the Office of Destination accepts the arrival, the latter notifies the Office of Departure of this through an Arrival Advice C_ARR_ADV (IE006).

After a control phase, during which a control of the goods may take place, the Office of Destination releases the goods from Transit and signals the Trader at Destination of this by sending the Goods Release Notification E_GDS_REL (IE025) and sends the control results to the Office of Departure using Destination Control Results C_DES_CON (IE018).

To be noted is that the Office of Destination can only release goods if the control results were found to be satisfactory.

Finally, the Office of Departure notifies the Trader at Departure that his movement has been written-off by sending a Write-Off Notification E_WRT_NOT (IE045).

Different variations are possible to this scenario (at Departure, in the Common Domain and at Arrival). They are discussed in subsequent paragraphs.
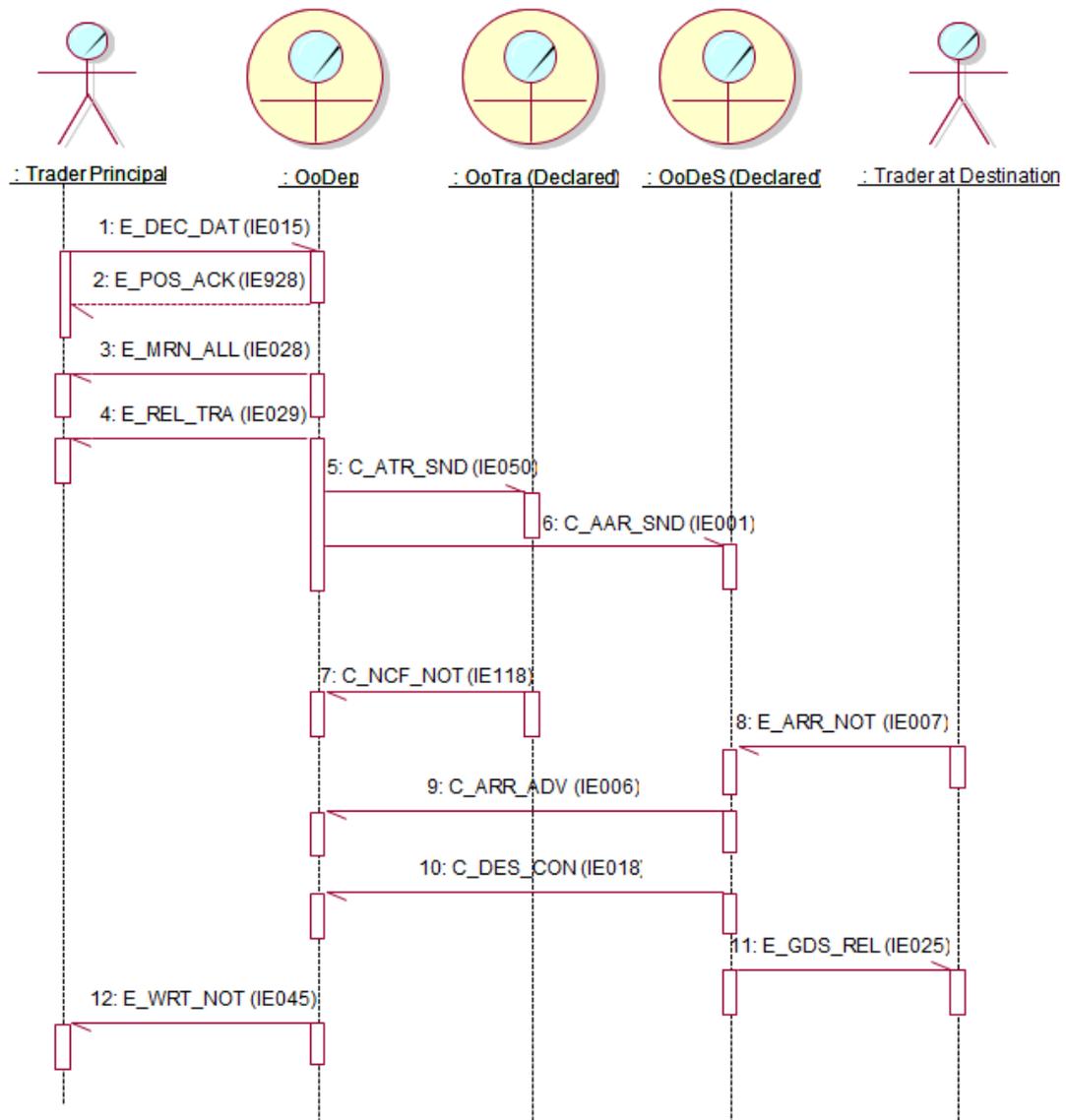
Figure 3: Core flow, normal procedure at Destination

The Office of Departure may send a positive acknowledge message E_POS_ACK (IE928) to the Trader in order to inform him of receipt. If, or when, the declaration is formally accepted, Office of Departure allocates a Movement Reference Number (MRN) for identification of the Transit operation. The MRN is communicated to the Trader with an MRN Allocated E_MRN_ALL (IE028). The Trader now knows that the declaration is accepted. When the declaration is agreed, the Office of Departure sends out a 'released for Transit' message, called Release For Transit E_REL_TRA (IE029). The Trader may now transport the goods to their destination.

III.I.2.1.2 Simplified Procedure at Destination

In Figure 4, the core flow using simplified procedure at Destination is shown with the Information Exchanges for Unloading Permission E_ULD_PER (IE043) and Unloading Remarks E_ULD_REM (IE044) as the only differences with Figure 3. In this case, it is assumed that the Customs Officer at Destination decides not to control the consignment. NCTS then notifies the Trader at Destination that the unloading of the goods can be started by means of Unloading Permission E_ULD_PER (IE043). After unloading, the Trader at Destination sends the Unloading Remarks E_ULD_REM (IE044) to the Office of Destination. The rest of the sequence is the same as for Normal Procedure.
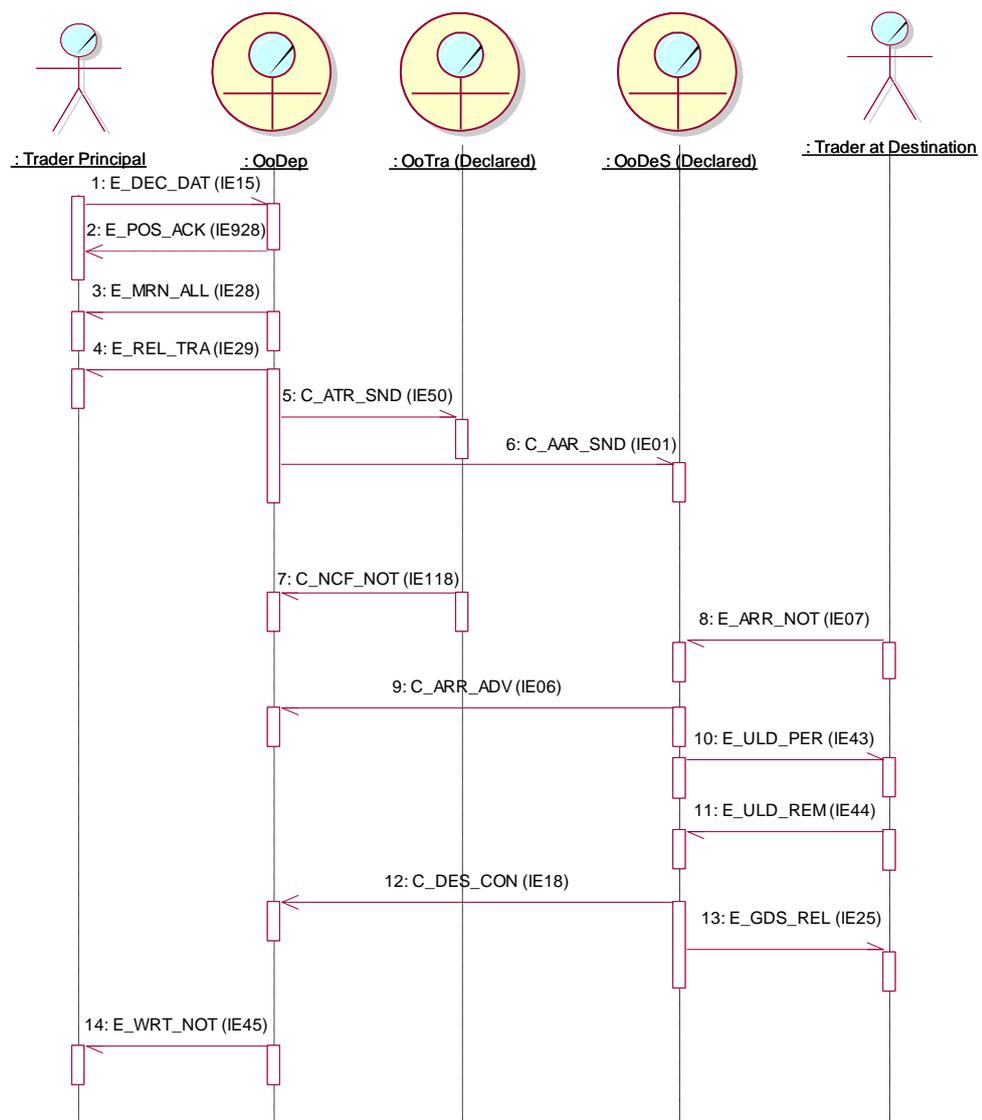
Figure 4: Core flow, simplified procedure at Destination

III.I.2.1.3 Simplified Procedure at Departure

The Office of Departure allocates a Movement Reference Number (MRN) for identification of the Transit operation. The MRN is communicated to the Trader with an MRN Allocated E_MRN_ALL (IE028). The Trader now knows that the declaration is accepted. After the declaration is accepted, the Office of Departure sends out a 'released for Transit' message, called Release For Transit E_REL_TRA (IE029). The Trader may now transport the goods to their destination.

To inform the Office of Destination of this, the Office of Departure sends the AAR C_AAR_SND (IE001) at the latest when informing the Trader of the release for Transit. The Office of Departure also sends one or more ATR C_ATR_SND (IE050) to the Office(s) of Transit where the consignment is supposed to cross the external frontier(s) of the Common and/or Community Transit zones.

When the consignment passes such a frontier, the Office of Transit notifies the Office of Departure of this by sending an NCF C_NCF_NOT (IE118).

After the goods have arrived, the Trader at Destination who sends an Arrival Notification, E_ARR_NOT (IE007), notifies the Office of Destination. When the Office of Destination accepts the arrival, the latter notifies the Office of Departure of this through an Arrival Advice C_ARR_ADV (IE006).

The rest of the sequence is the same as for Simplified Procedure at Destination.
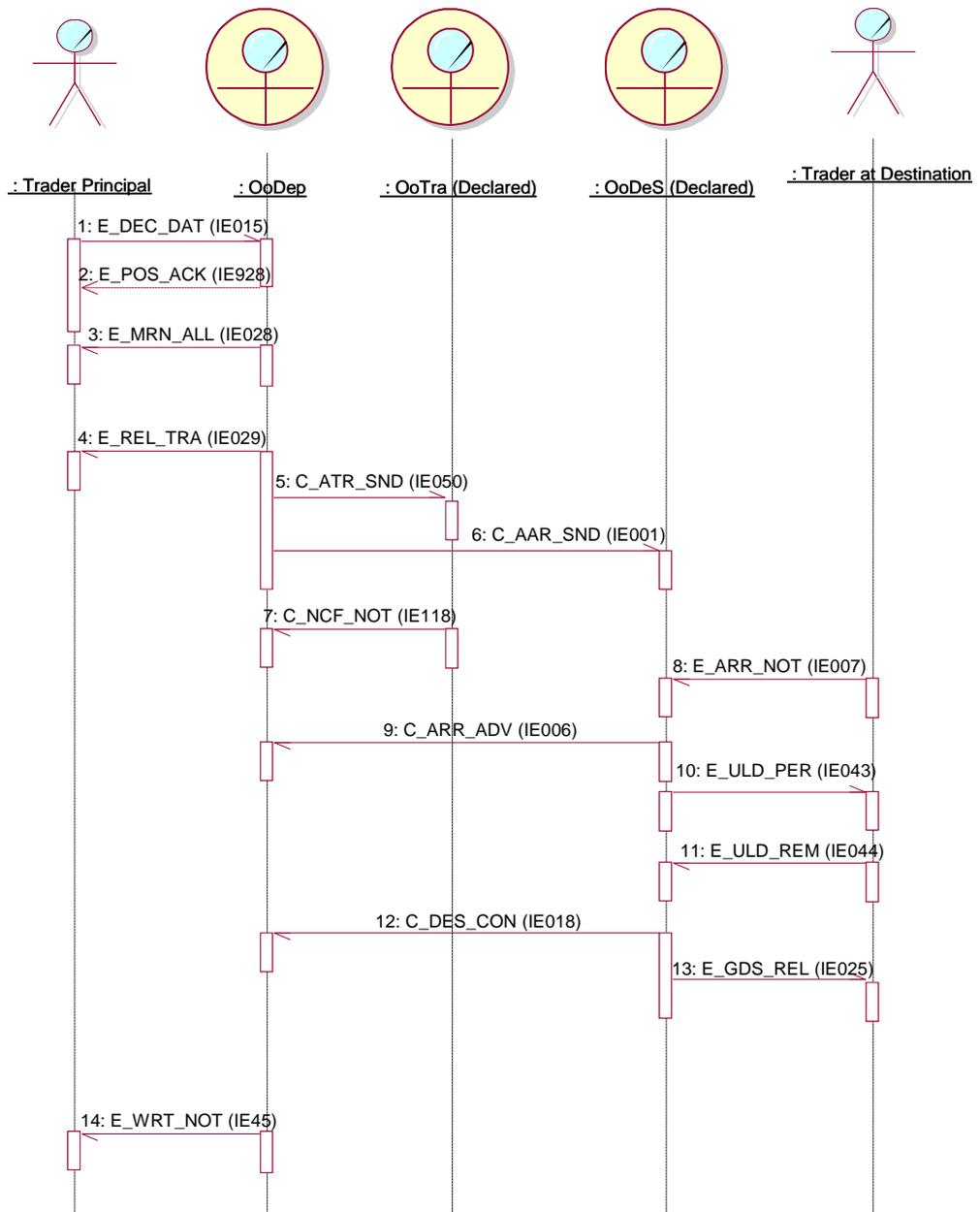
Figure 5: Core flow, simplified procedure at Departure/Destination

III.I.2.2 Departure specific scenarios

The following series of scenarios contain a number of variations upon the basic interaction between Office of Departure and Trader at Departure, as depicted previously.

Some major distinctions can be made between:
- Rejection or acceptance of a declaration at the Office of Departure.
- Release for Transit or a non-release for Transit at the Office of Departure.
- Control by the Office of Departure or not.
- Successful or unsuccessful control by Office of Departure.
- Release request accepted or not.
- Declaration amendment accepted or not.

It should be noted that control may or may not take place at Departure. Different scenarios are possible:
- The goods are released for Transit without control.
- The goods are not released for Transit, without control.
- The goods are controlled.

When control has taken place, different outcomes are possible:
- Control was satisfactory and the goods are released.
- Major discrepancies were found and the goods are not released.
- Minor revisions were required and the Trader gave no opposition. In this case, the goods can be released as well.
- Minor revisions were required but no Trader advice was given. In this case, the movement is set to "Under release request" and the Trader has to give advice (positive or negative) by means of a Request of Release E_REQ_REL (IE054).
- Minor revisions were required but there was opposition from the Trader. In this case, the movement is set to "Idle".

When NCTS is also used for the purpose of safety and security, then the full safety and security risks must additionally be considered. For the safety and security specific actions involved at Departure please refer to the section III.I.2.8.

When a movement is released and contains at least one goods item with sensitive goods achieving the minimum quantity, the Sensitive Goods Notification C_SGI_NOT (IE011) shall be sent to OLAF (ATIS) by EU countries. Different scenarios are possible:
- Movement released for Transit and Goods contain sensitive goods with minimum quantity.
- Manual Closure at Departure based on alternative proof.

III.I.2.2.1 Rejection of declaration

Figure 6 shows the sequence in case the declaration submitted by the Trader to the Office of Departure by a Declaration Data E_DEC_DAT (IE015) is rejected. The Office of Departure rejects the declaration by sending a Declaration Rejected E_DEC_REJ (IE016) to the Trader.

This rejection may happen because the Trader is not authorised or because the declaration information is incorrect (e.g. invalid 'Agreed location of goods').
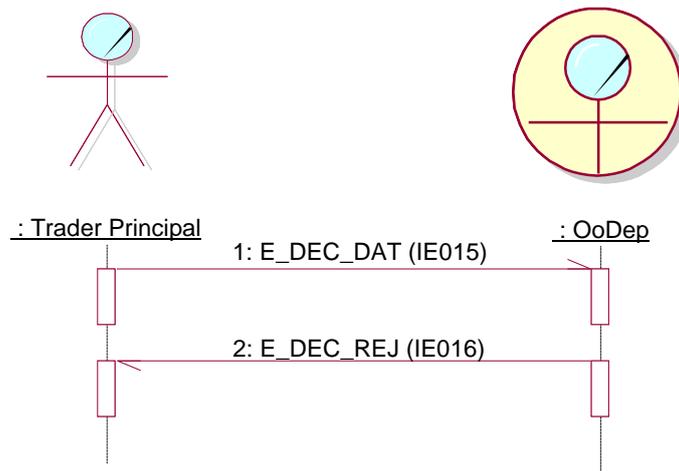
Figure 6: Rejection of declaration by the Office of Departure

To be noted is that a rejected declaration does not have an MRN allocated and as such is not in a meaningful state in the Transit sense. When a declaration has been rejected, the normal way of proceeding is to send a new declaration that is acceptable.

III.I.2.2.2 Release for Transit refused

Figure 7 shows the sequence when a declaration has been submitted by Declaration Data E_DEC_DAT (IE015) and has been accepted by the Office of Departure, the MRN Allocated E_MRN_ALL (IE028) has been sent to the Trader at Departure. The Office of Departure decides not to release the goods for Transit by means of a No Release For Transit E_REL_NOT (IE051). The status of the operation becomes "Not released for Transit"[9].
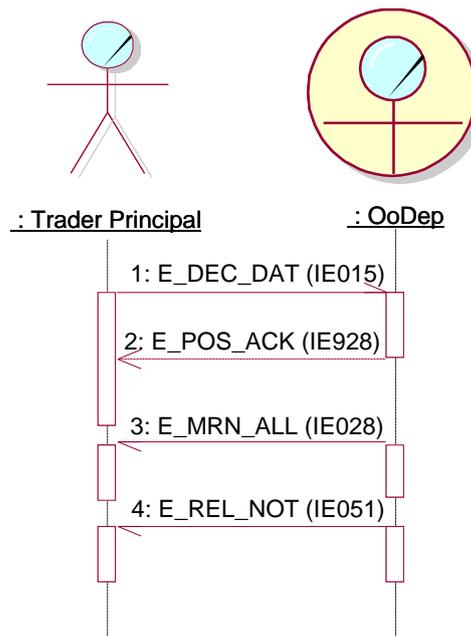
Figure 7: Release for Transit refused

The Office of Departure can decide not to release the goods for Transit without performing a control at the Trader's premises. This can happen in case of guarantee problems.

The Office of Departure may thus refuse release for Transit without any control at Departure.

III.I.2.2.3 Control by Office of Departure with release for Transit

This case corresponds to a successful control (no problems were found or minor revisions were required and no opposition was given by the Trader).

Figure 8 shows the case when the Office of Departure (under normal procedure) decides to control the goods. In that case, after the normal sequence of Declaration Data E_DEC_DAT (IE015) and MRN Allocated E_MRN_ALL (IE028), the Office of Departure sends a Control Decision Notification E_CTR_DEC (IE060) to the Trader in order to inform him upon upcoming control activities and the status of the movement is set to "Under control".

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[9] Please note that "Not released for Transit" is a final state and cancellation cannot occur once the state has been reached.

The results of the control activity are registered by means of the Departure Control Results N_DEP_CON (IE017). Note that the Departure Control Results N_DEP_CON (IE017) is a message that is local to the National Domain and only involves data capture in this domain (and no physical message exchange between domains).

It should be noted the Customs Officer, besides the Departure Control Results N_DEP_CON (IE017) for control purposes, can request a print of the accepted declaration and use it as Departure Control Results on Paper E_DEP_PAP (IE0119). That document can be used to mark discrepancies found during a control and, after control, to register the results of the control.

After a successful control, the Office of Departure releases the goods by means of a Release for Transit E_REL_TRA (IE029) and the process continues as for the basic normal procedure.
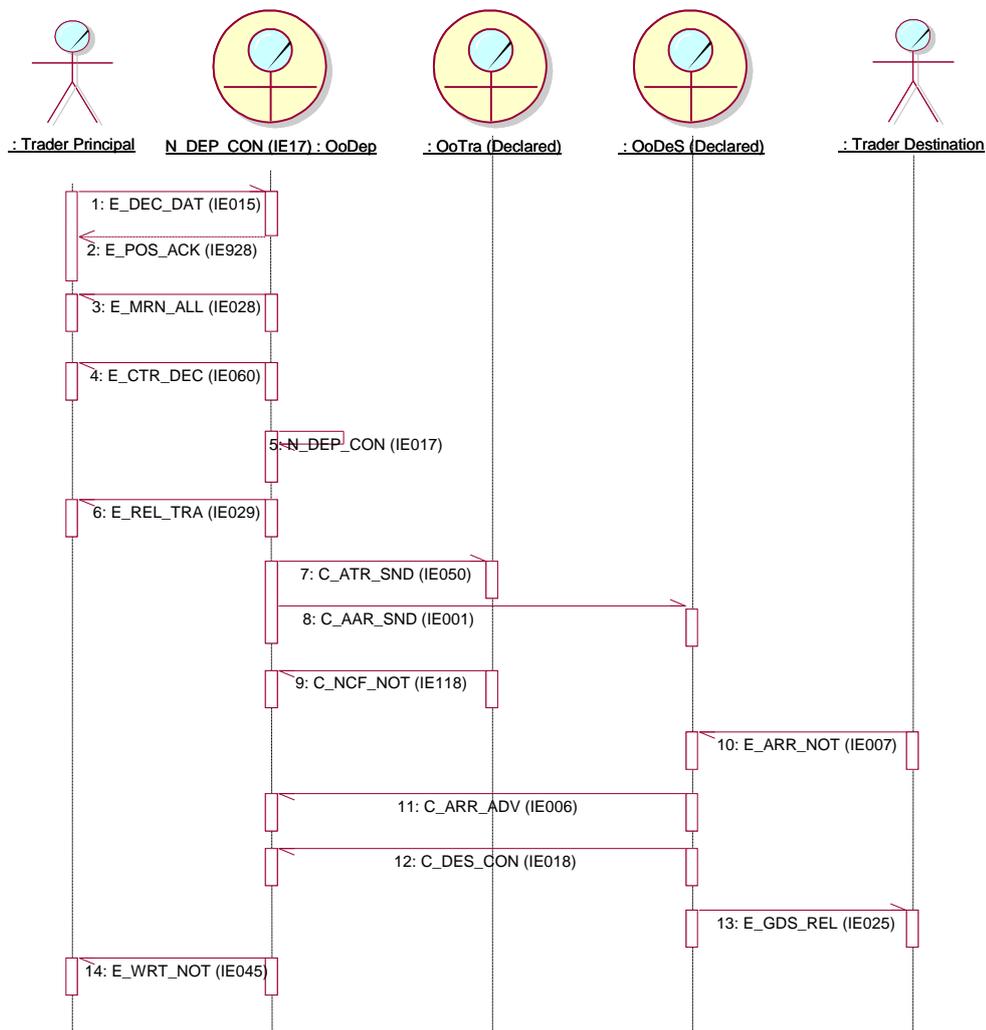
Figure 8: Control by Office of Departure with release for Transit

III.I.2.2.4 *Control by Office of Departure with release for Transit refused*

This case corresponds to an unsuccessful control (major problems were found).

Figure 9 shows the sequence in case the Office of Departure does not release the declared Transit operation for Transit after control under Normal Procedure. The Office of Departure decides to control the consignment before release and sends a Control Decision Notification E_CTR_DEC (IE060) to inform the Trader of this decision. The results of the control activity are registered by means of a Departure Control Results N_DEP_CON (IE017), local to the National Domain.

The Office of Departure decides that the consignment cannot be released for Transit and informs the Trader by sending a No Release for Transit E_REL_NOT (IE051). The state of the Transit Operation is put to "Not released for Transit".

The scenario below may also apply in case of successful control but when guarantee problems have been met afterwards.
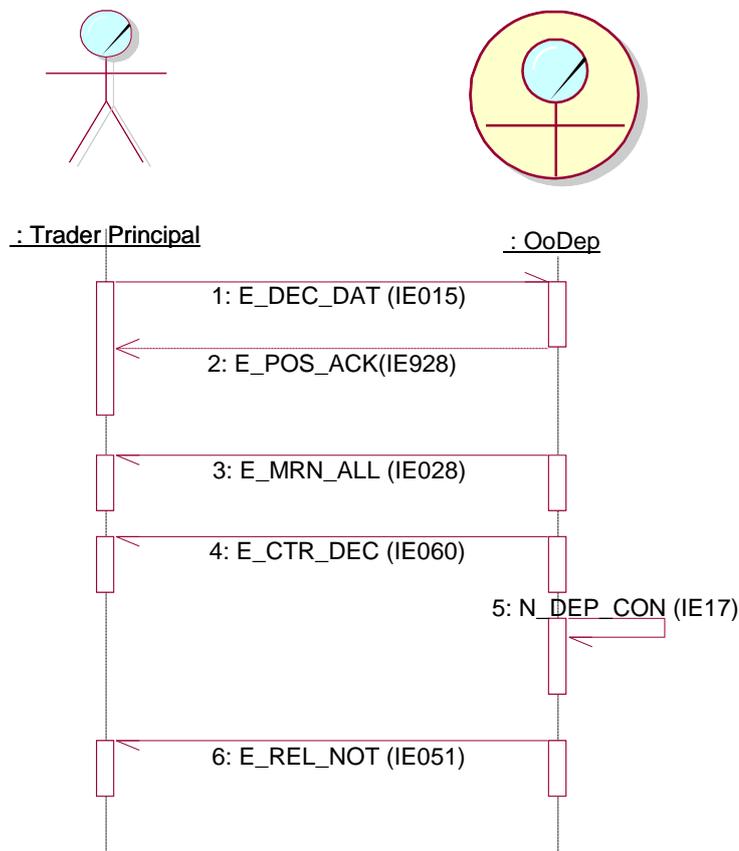
Figure 9: No release for Transit after control

III.I.2.2.5 *Release request with release for Transit*

This case corresponds to a control at Departure, whereby minor revisions were required (minor discrepancies detected during control) and whereby the Trader did not give any advice yet (he/she did not pronounce opposition or approval). In this case, the movement is set to "Under release request".

When goods have undergone control at Departure [Control Decision Notification E_CTR_DEC (IE060), Departure Control Results N_DEP_CON (IE017)] and when minor discrepancies have been found without any Trader advice, the status of the movement is set to "Under release request". Only in this state may the Trader ask the Office of Departure to release the consignment by means of a Request of Release E_REQ_REL (IE054). The release request can have two values:

- The Trader does not oppose minor revisions or positive release request.
- The Trader does oppose minor revisions or negative release request.

In case of a positive release request, the Office of Departure may decide to release the goods. This is the scenario shown below.
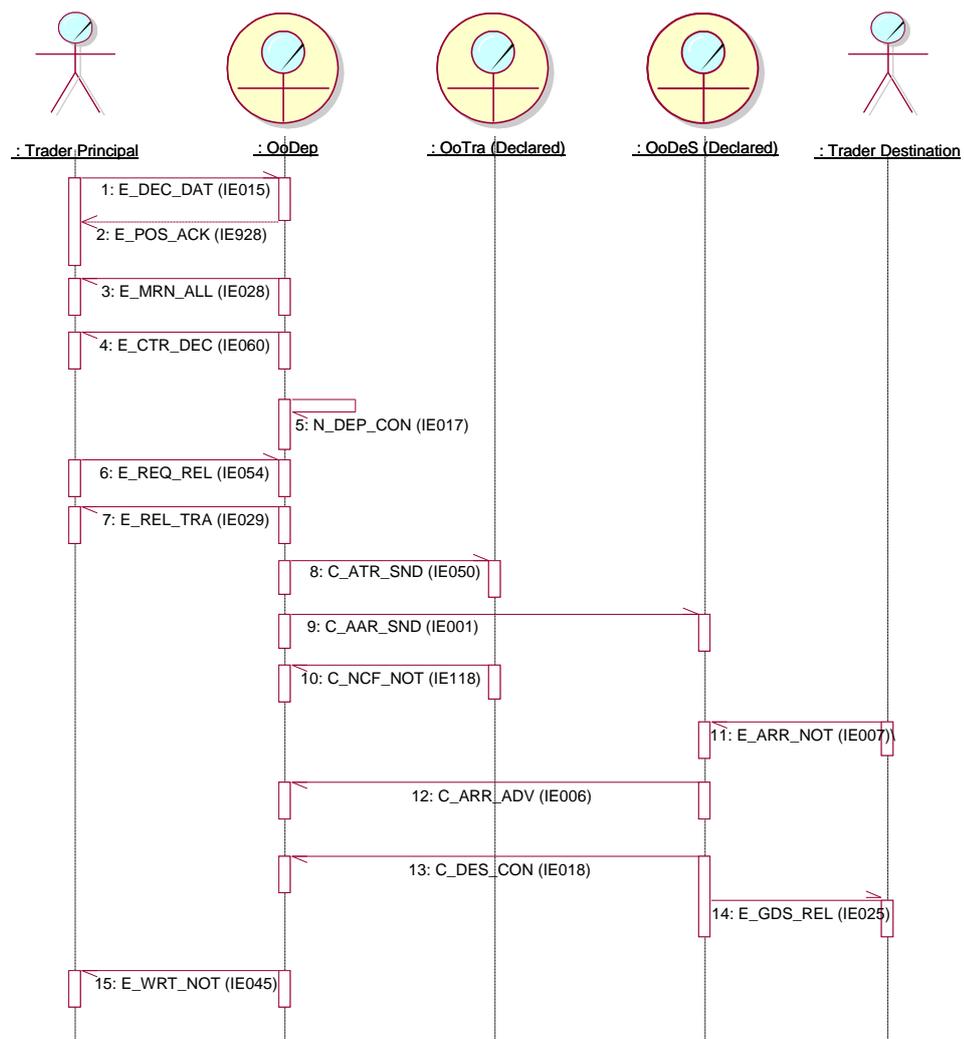
Figure 10: Release request accepted, release for Transit

III.I.2.2.6 *Release request and no release for Transit*

Even if the Trader does not make any opposition to minor revisions, the Office of Departure can still decide not to release the goods for Transit. This may e.g. happen in case of guarantee problems. This is the scenario shown below.

: Trader Principal   : OoDep

1: E_DEC_DAT (IE015)

2: E_POS_ACK (IE928)

3: E_MRN_ALL (IE028)

4: E_CTR_DEC (IE060)

5: N_DEP_CON (IE017)

6: E_REQ_REL (IE054)

7: E_REL_NOT (IE051)
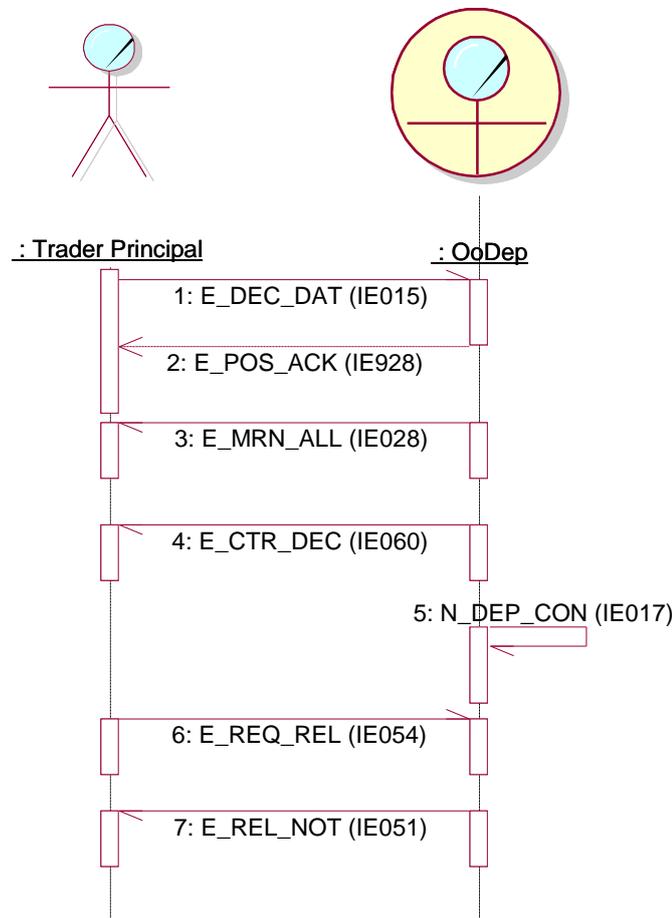
Figure 11: Release request accepted, not released for Transit

III.I.2.2.7 *Negative release request*

In case of a negative release request (Trader making opposition), the movement is set in an "Idle" state. In this state, the Office of Departure can still decide to release or not to release the movement for Transit:

- In the first case, a Release For Transit E_REL_TRA (IE029) is sent and the consignment is allowed to leave.
- In the second case, a No Release For Transit E_REL_NOT (IE051) is sent and the consignment cannot leave.

The Time Sequence Diagrams are exactly the same as in the previous two cases. Business wise, these are two completely different processes however.

III.I.2.2.8 Release request rejected

A release request can also be rejected by means of a Release Request Rejection E_REQ_REJ (IE062). This can happen because the request was not valid or because it was sent when the status of the movement was not equal to "Under release request" (this is the only state in which such request is acceptable).

There are many possible scenarios:
- Another (second) release request is generated and rejected again.
- Another (second) release request is generated and the consignment is released by means of Release For Transit E_REL_TRA (IE029) (this is the scenario shown below).
- The movement is refused and is marked as "Not released for Transit" by means of No Release For Transit E_REL_NOT (IE051).
- The movement is accepted and is released for Transit by means of Release For Transit E_REL_TRA (IE029).

To be noted is that the number of release requests that can be generated is in principle unlimited. However, release requests can only be sent when the status of the movement is equal to "Under release request". This means that:
- Control has already taken place [Departure Control Results N_DEP_CON (IE017) has been registered].
- Minor discrepancies were found.
- Trader did not give any advice yet.

In all other states, the Office of Departure should reply with a Release Request Rejection E_REQ_REJ (IE062).
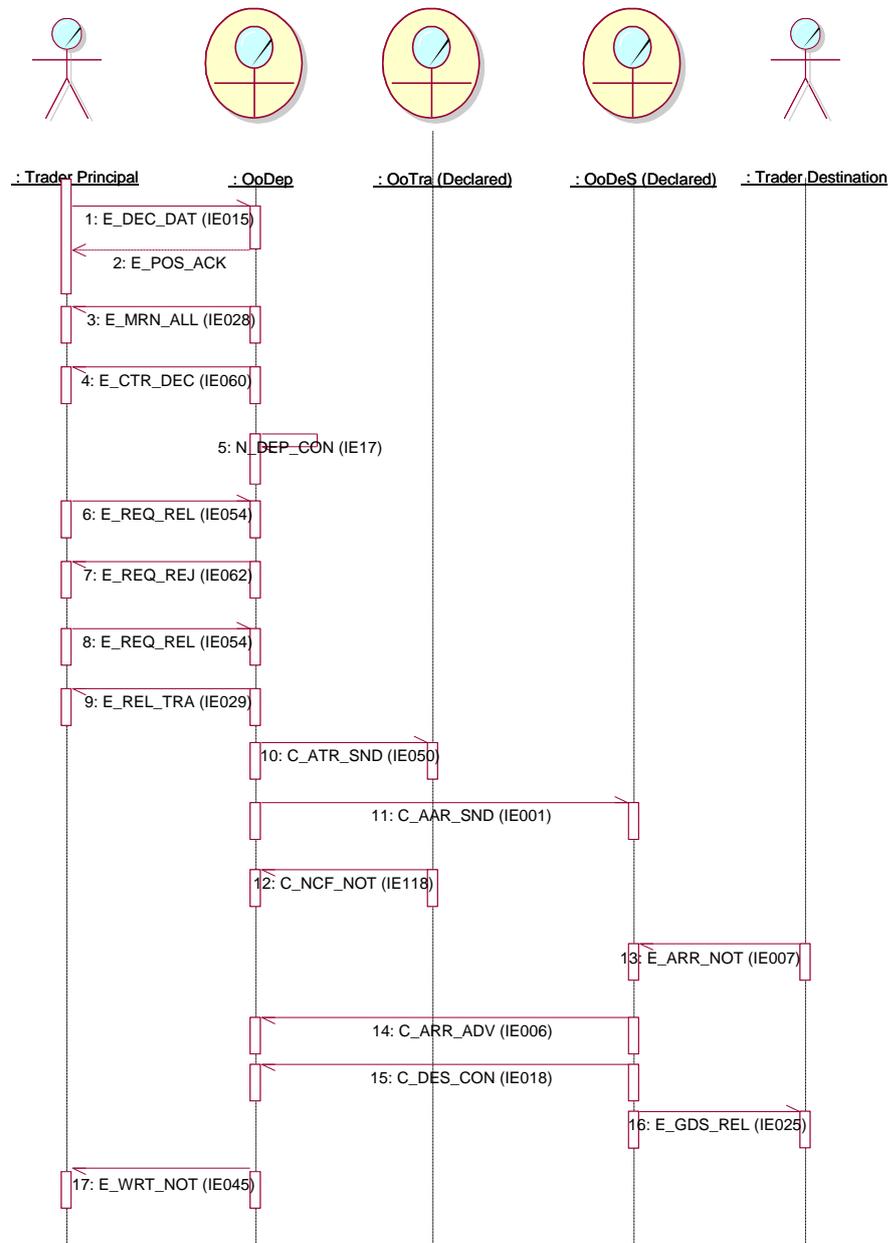
Figure 12: First release request rejected

III.I.2.2.9 Declaration amendment accepted

Amendments enable change of the declaration data right until the moment is released. A declaration amendment can be sent when the status of the movement is equal to "Accepted", that is to say while no decision has been taken yet what to do with the movement: control it, release it or refuse release. An amendment can thus not be sent (and should be rejected) when the movement has already been released or when release of the movement has been refused or when the decision to control has already been taken.

A declaration amendment can also be sent while the status is equal to "Declaration under amendment". This is discussed in the next paragraph.

A declaration amendment can have serious impact upon the further processing of a movement in Transit. E.g., it may have impact upon the decision to control at Departure or upon the route to be followed or upon control at Destination.

To be noted is that several amendments can be sent before the goods are finally released (or not released) for Transit. There is in principle no limit to the number of amendments that can be sent.

An example is shown below. In this case, the Trader at Departure notifies the Office of Departure of needed changes to the original declaration with a Declaration Amendment E_DEC_AMD (IE013), before the goods have been released for Transit. The Office of Departure notifies the Trader about the acceptance of the amendments with an Amendment Acceptance E_AMD_ACC (IE004). After this, the Office of Departure releases the goods for Transit and notifies the Trader of this with a Release for Transit E_REL_TRA (IE029) after which the usual sequence for normal procedure is shown. Based upon an amendment, the Office of Departure may also decide not to release the movement for Transit or to perform control.
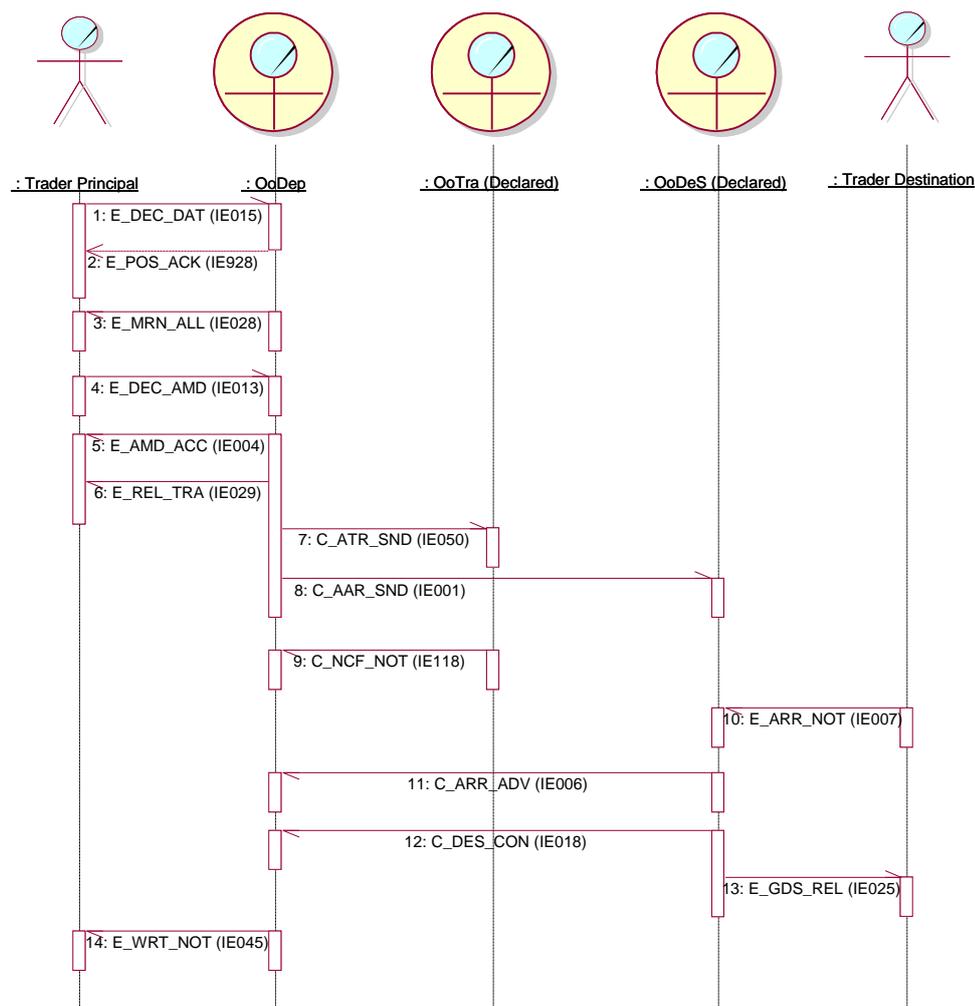
Figure 13: Amendment accepted

III.I.2.2.10 Declaration amendment rejected

Declaration amendments can be rejected for two principal reasons:
- While the status is equal to "Accepted" (no decision taken yet whether to release, control or refuse the goods), an invalid declaration amendment is sent. In that case, an Amendment Rejection E_AMD_REJ (IE005) is sent back to the Trader and the status of the movement becomes "Declaration under amendment". The only possible way to leave this state is to send a valid Declaration Amendment E_DEC_AMD (IE013) to Office of Departure, upon which an Amendment Acceptance E_AMD_ACC (IE004) is sent back and the state becomes again "Accepted". If an invalid declaration amendment is sent while the status is "Declaration under amendment", an Amendment Rejection E_AMD_REJ (IE005) is sent back and the status remains unchanged.
- A declaration amendment is sent while the status is not equal to "Accepted" or "Declaration under amendment". In that case, an Amendment Rejection E_AMD_REJ (IE005) is always sent back. This means, for example, that a declaration amendment is rejected when a movement has already been released or when a decision to control has already been taken or when release of the movement has been refused.

In the example below, an invalid declaration amendment is sent first. This amendment is rejected by means of Amendment Rejection E_AMD_REJ (IE005). The status becomes equal to "Under declaration amendment". A second (valid) Declaration Amendment E_DEC_DAT (IE013) is then sent and the status becomes equal to "Accepted" again. This is acknowledged by means of Amendment Acceptance E_AMD_ACC (IE004). Next, the decision to control is taken. From then on, amendments are no longer allowed. Should a third declaration amendment be sent, it will be rejected. In the scenario below, control is unsatisfactory and the movement is not released for Transit.

Several variants are possible to this scenario:
- Several amendments can be sent while in the status "Accepted".
- Amendments will also be rejected when the movement has been released or when release has been refused.
- A possible outcome of the control exercise could also be the release for Transit.
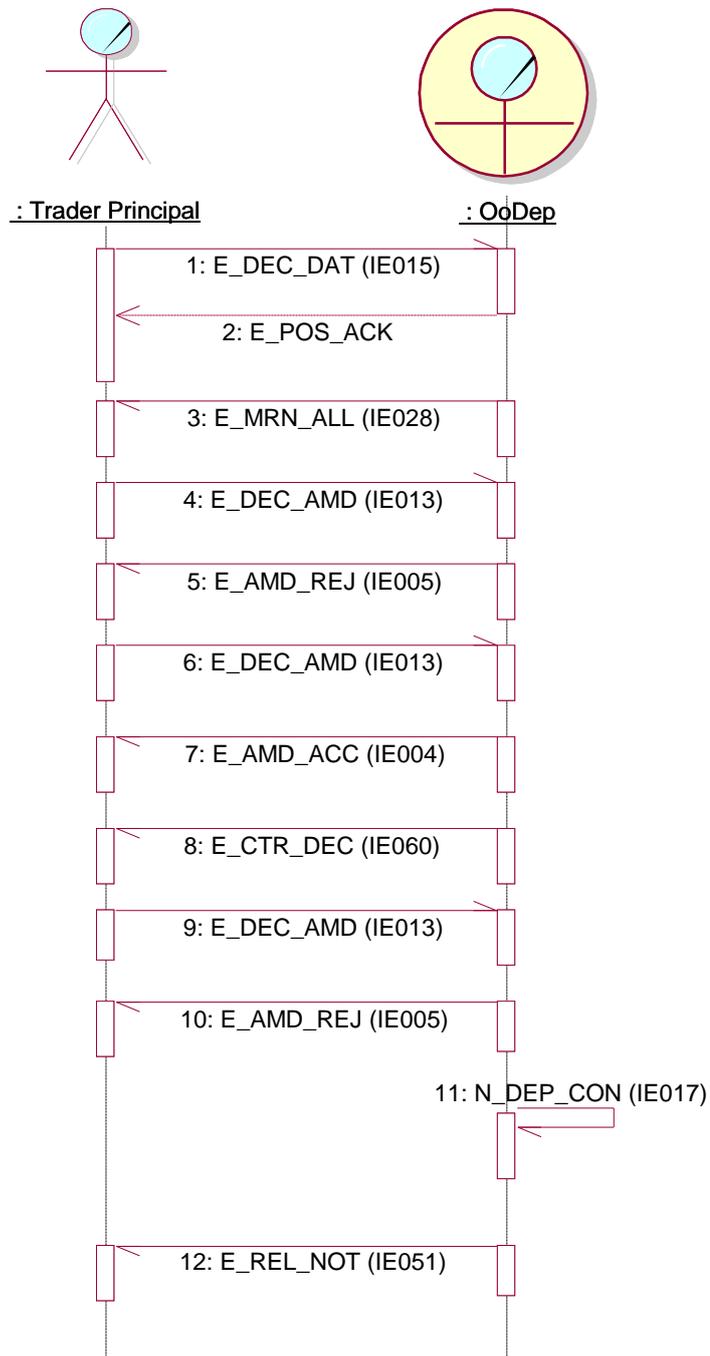
Figure 14: Declaration amendments rejected

III.I.2.2.11 Movement released for Transit and Goods contain sensitive goods with minimum quantity

The scenario below is based on the core flow for normal procedure without any problems as shown in Figure 3. However in this scenario the movement contains sensitive goods where the minimum quantity has been reached and a Sensitive Goods Notification C_SGI_NOT (IE011) is sent to OLAF.

It should also be noted that this scenario is also applicable to national transit movements that contain sensitive goods where the minimum quantity has been reached.
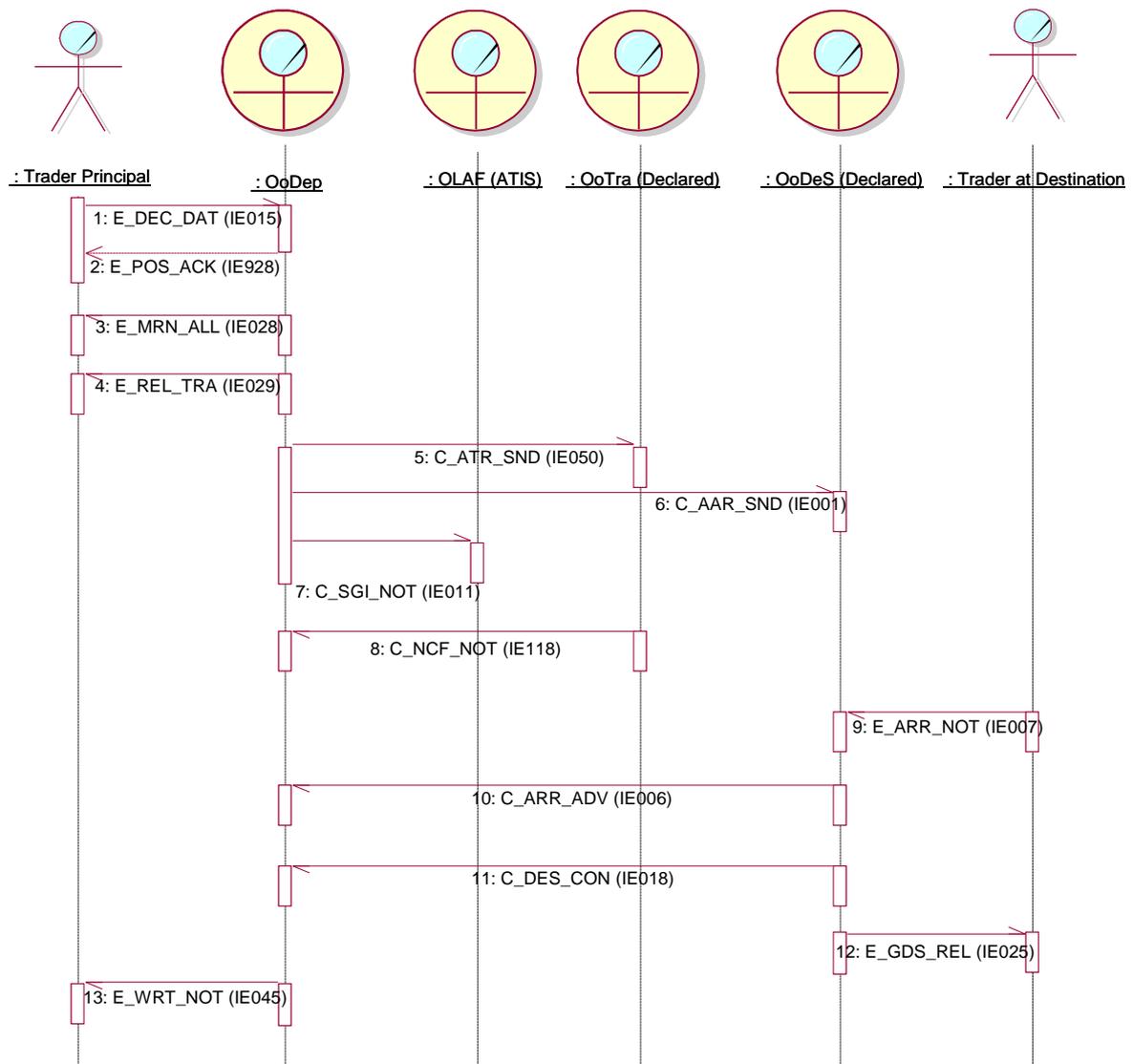
Figure 15: Movement released for Transit and Goods contain sensitive goods with minimum quantity

III.I.2.2.12 Manual Closure at Departure based on alternative proof

This scenario covers the case where the movement arrives at the Office of Destination but the arrival advice and the control results cannot be sent electronically. The movement is written off manually following the receipt of alternative proof of the goods being released at destination. Only the Common Domain exchanges are shown.

The movement is released and the Office of Departure sends the AAR C_AAR_SND (IE001) to the Office of Destination and also sends one or more ATR C_ATR_SND (IE050) to the Office(s) of Transit. Following the arrival of the movement, the Office of Destination sends an alternative proof, that the goods have been arrived and controlled. The movement is written off manually and all involved offices are informed by sending the Forward Arrival Advice C_FWD_ARR (IE024). If the Office of Transit and the Office of Destination belongs to the same country, the Forward Arrival Advice C_FWD_ARR (IE024) shall be sent only once.

The Office of Departure is not allowed to write off the movement manually, when the Arrival Advice (IE006) has been previously received. In such a case the Office of Destination shall send the Destination Control Results electronically, via the IE018.
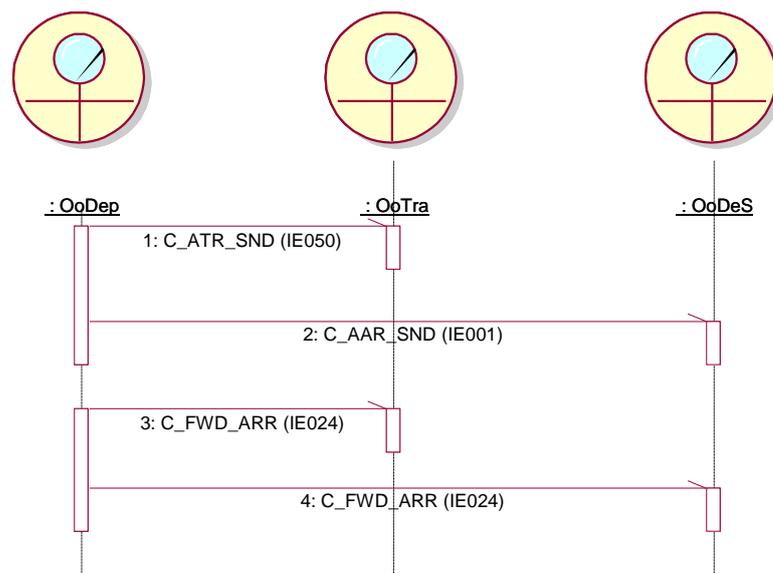
Figure 16: Manual Closure at Departure based on alternative proof

III.I.2.3 Arrival specific scenarios

The following scenarios depict specific situations that can exist during arrival of a movement. It is assumed that no diversion or forwarded arrival has taken place (these cases are discussed separately).

III.I.2.3.1 Rejection of Arrival Notification

If the Office of Destination rejects the arrival, it informs the Trader at Destination by sending an Arrival Notification Rejection E_ARR_REJ (IE008).

The normal way of proceeding then is to re-send an arrival notification that is acceptable to the Office of Destination.

This scenario applies to both normal and simplified procedures.

Note that the Arrival Advice C_ARR_ADV (IE006) should only be sent after the arrival notification has been accepted.
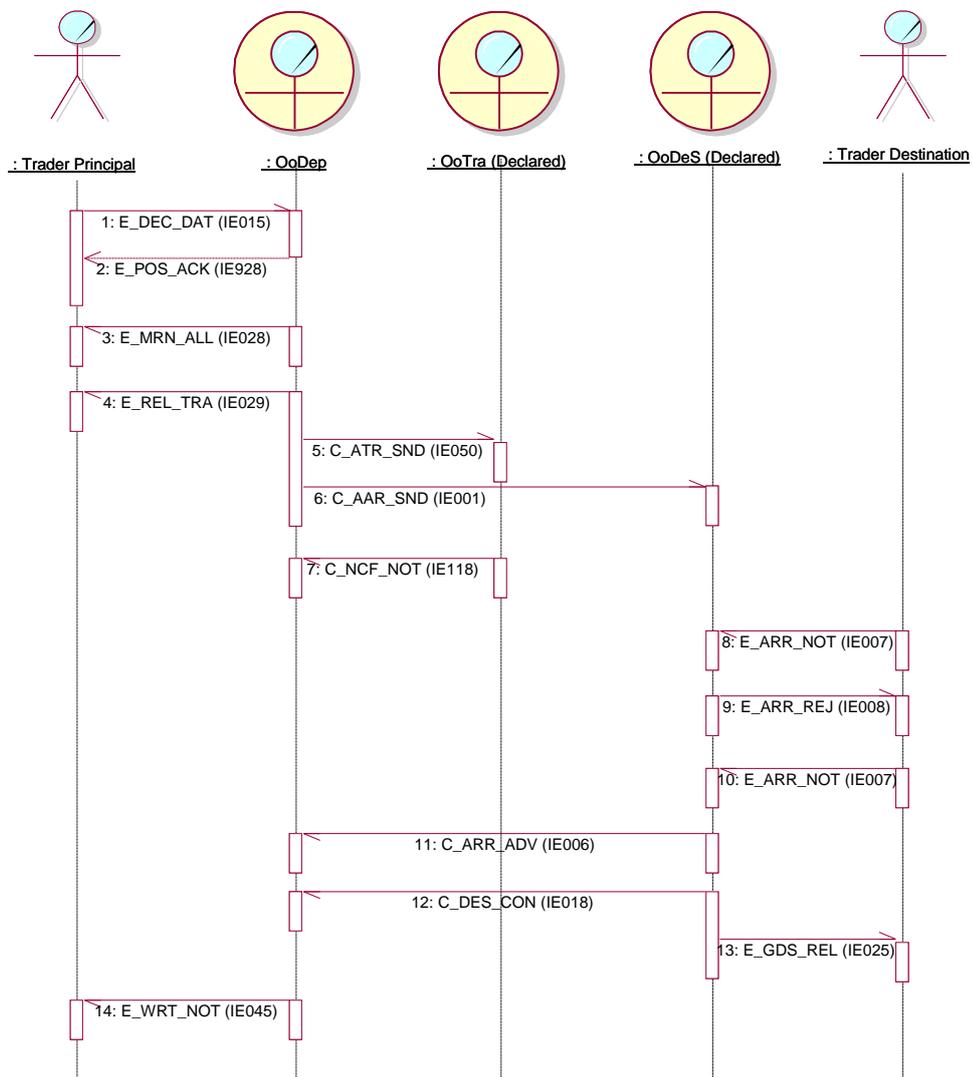
Figure 17: Arrival notification rejection

III.I.2.3.2 Unloading information rejected

This scenario applies to simplified procedure only.

When the Authorised Consignee sends the Unloading Remarks E_ULD_REM (IE044), the Office of Destination can reject these remarks by sending back an Unloading Remarks Rejection E_ULD_REJ (IE058).

The normal way of proceeding is then to re-send the Unloading Remarks E_ULD_REM (IE044) until they are acceptable to the Office of Destination. The status of the Transit movement remains equal to "Unloading", meanwhile.
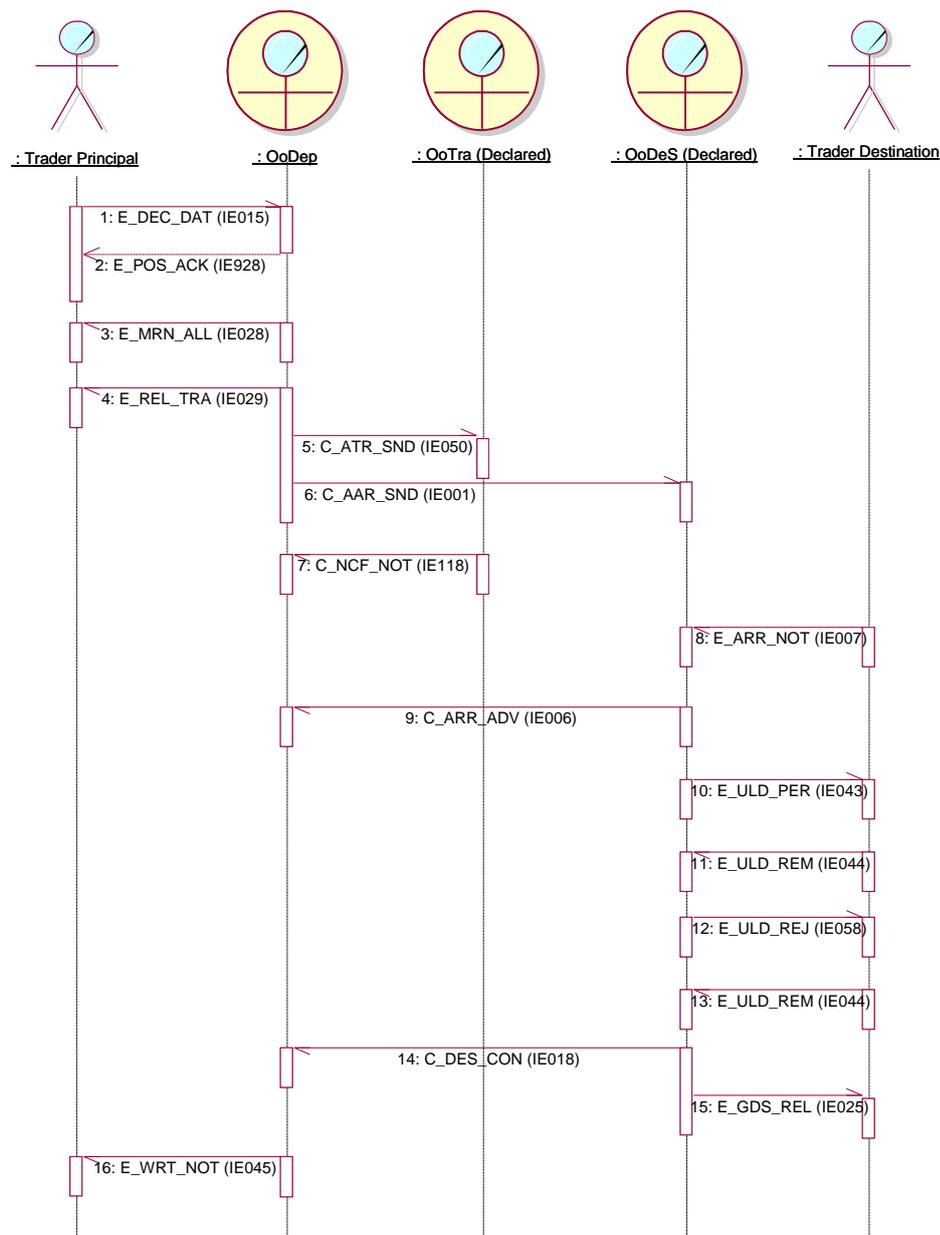
Figure 18: Unloading remarks rejection

III.I.2.3.3 New unloading permission

In case of problems detected in the unloading remarks message ("Unloading Completion" flag set to "no"), the Office of Departure may issue a new unloading permission to allow the unloading to continue. This is shown below.

The Unloading Remarks E_ULD_REM (IE044) can carry minor discrepancies from the information originally received in the Unloading Permission E_ULD_PER (IE043). In this particular case, minor discrepancies are discrepancies that do not require any actions to be taken by the Office of Destination. In this particular case, the Destination Control Results C_DES_CON (IE018) indicates that the control results are satisfactory (condition 185 of FMS, Appendix B of FTSS [A4]) and no information relevant to goods is exchanged (see also detailed structure of Destination Control Results C_DES_CON (IE018) in Appendix Q).

In other cases it might be necessary to verify the goods after all, e.g. in case the unloading was not completed.

Only that information is exchanged by an Unloading Remarks E_ULD_REM (IE044), which contains the minor discrepancies.
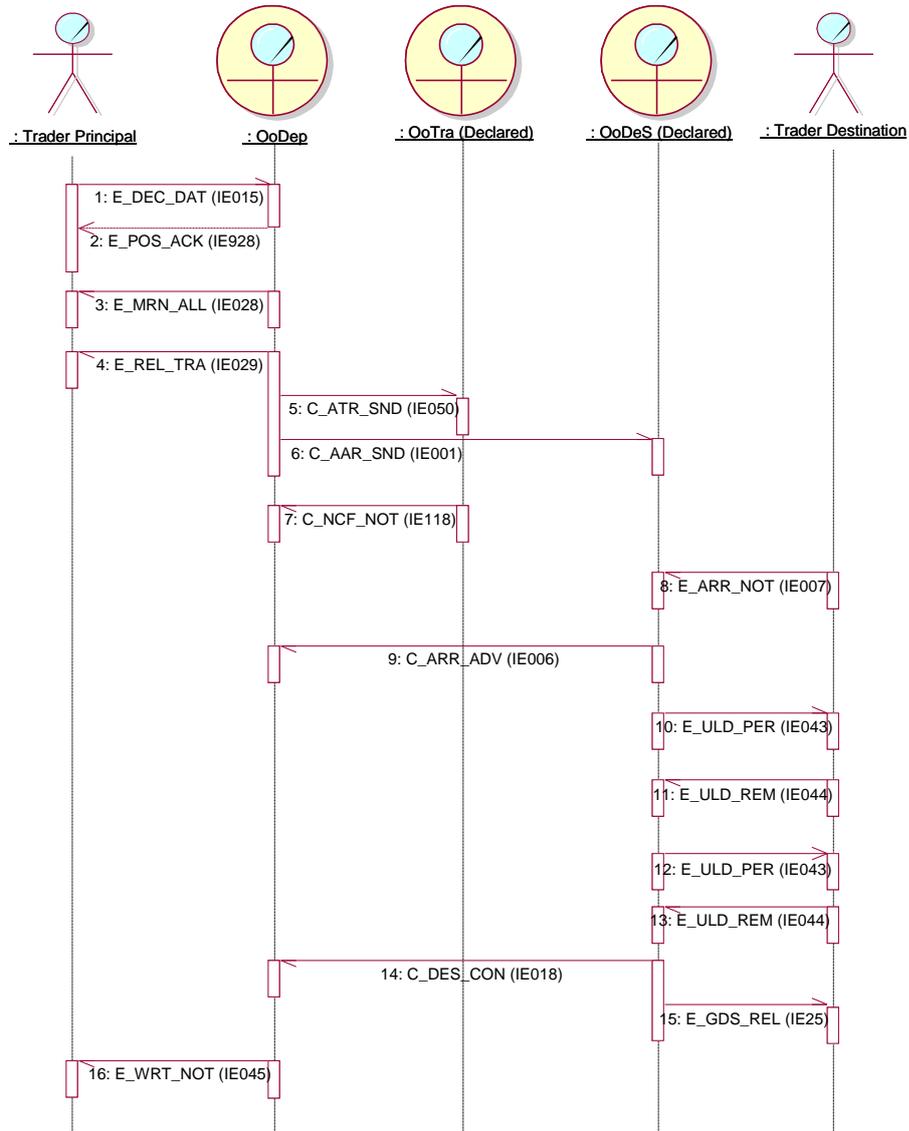
Figure 19: New unloading permission

III.I.2.3.4 Ask for documents

During any stage of the arrival process, the Office of Destination can ask the Trader at Destination to send documents by means of an Ask for Documents E_ASK_DOC (IE100). The documents are always sent back on paper in Phase 4.

Other paper exchanges can occur between Office of Destination and Trader at Destination.

III.I.2.3.5 Discrepancies found during control

Control at Destination can be either satisfactory or unsatisfactory.

In case of unsatisfactory control, the Office of Destination sends only the Destination Control Results C_DES_CON (IE018) back to the Office of Departure and will NOT immediately send the Goods Release Notification E_GDS_REL (IE025) to the Trader at Destination.

When the Office of Departure is informed of the discrepancies after receipt of the Destination Control Results C_DES_CON (IE018), it notifies the Trader at Departure of this with Discrepancies E_DIS_SND (IE019). Sorting out the discrepancies is a paper-based procedure.

After the discrepancies have been solved at Departure, the Office of Departure sends a Discrepancies Solved Notification C_DIS_SOL (IE020) to the Office of Destination to communicate the solution to the discrepancies after which the Office of Departure can release the consignment.
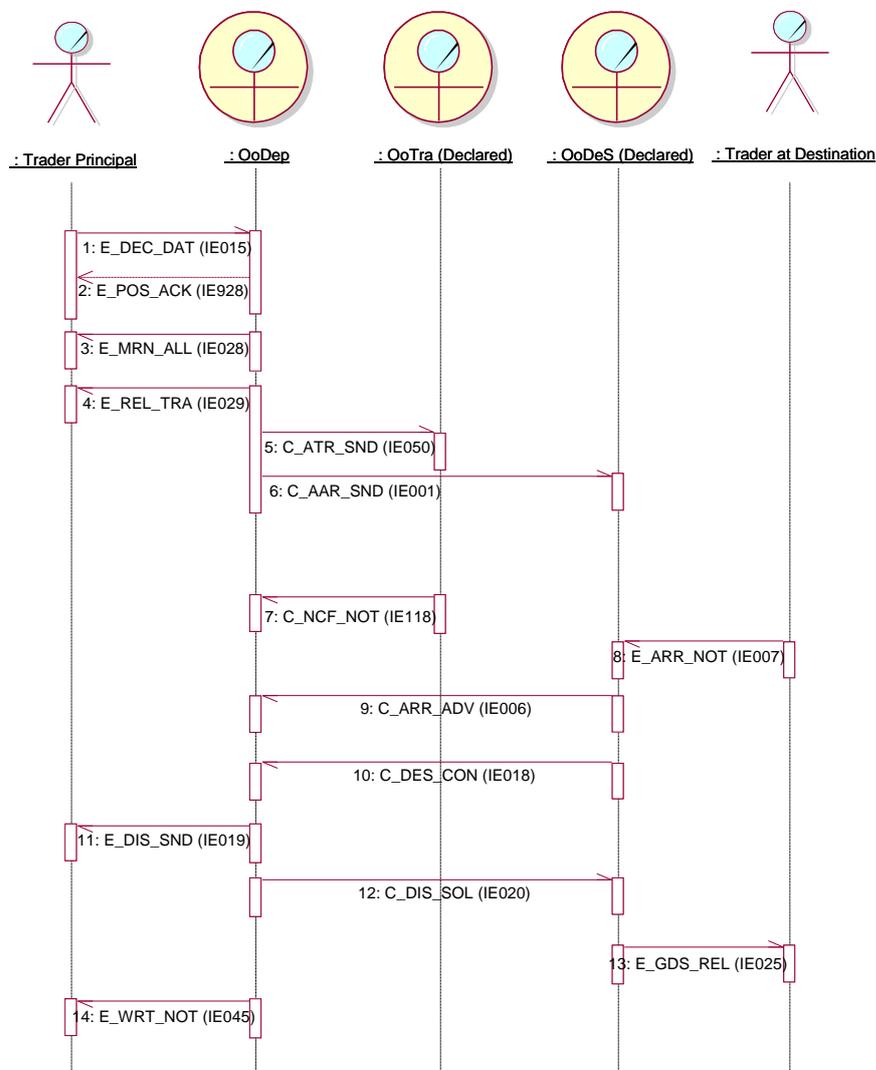
Figure 20: Waiting for discrepancies resolution at Destination

III.I.2.4 Exceptions of message sequencing in the Common Domain

There are four types of exceptions of message sequencing specified in the Common Domain:
- AAR missing: an Office of Destination does not receive an AAR and there is no case of diversion.
- ATR missing: an Office of Transit does not receive an ATR and there is no case of diversion.
- NCF not received: an Office of Departure is notified of the arrival of a consignment and the Office of Departure did not receive an expected notification that a Transit frontier was crossed.
- Status request/response of a Transit operation identified by a unique MRN: an answer to a previously submitted Information Exchange is not received in time.

Only the scenarios for exceptions in the Common Domain are specified. The same rules can be applied in the External Domain; however, this decision is at the discretion of each NA. The scenarios shown in this section refer to message sequencing exceptions.

Design principles specify exceptions with respect to message contents, which are not shown in this section.

The next four paragraphs specify the sequencing exceptions and show their Time Sequence Diagrams.

III.I.2.4.1 AAR missing

For one reason or another, an AAR may be lost by a NA in its role of Office of Destination without the Office of Departure being aware of it and the expected arrival date has not yet been met. Other reasons are possible why the AAR is missing at the Office of Destination. To represent this, the usual AAR C_AAR_SND (IE001) does not appear in this Time Sequence Diagram.

In this particular case, the Office of Destination issues a request for the lost AAR by sending an AAR Request C_AAR_REQ (IE002) to the Office of Departure. By default, a reply is sent with an AAR Response C_AAR_RSP (IE003), which in this case includes a copy of the original AAR C_AAR_SND (IE001) that had to be sent.

In case the request for the AAR is not justified or correct, the reply will be with the same AAR Response C_AAR_RSP (IE003) in which the reason for this rejection is specified (see also subsequent paragraphs on diversion). In case the MRN is not known at the Office of Departure, an AAR Response C_AAR_RSP (IE003) should be replied with the AAR Rejection Reason Code set to "3" (MRN Unknown).

In case the Office of Destination expects an AAR Response C_AAR_RSP (IE003) (because it has previously formulated a request by means of an AAR Request C_AAR_REQ (IE002)) but also receives the delayed AAR C_AAR_SND (IE001), either before or after the reception of AAR Response C_AAR_RSP (IE003), it should process the first message received, whether AAR C_AAR_SND (IE001) or AAR Response C_AAR_RSP (IE003), and ignore the second,

instead of sending an IE906 to reject it. In the case of processing AAR C_AAR_SND (IE001) first, the state of the movement is set to the state that would be normally set if the expected IE003 was received and registered first.

There is also an exceptional case that an Office of Destination requests the AAR C_AAR_SND (IE001) by sending the AAR Request C_AAR_REQ (IE002) to the Office of Departure. The Office of Departure sends the AAR Response C_AAR_RSP (IE003) to the requesting Office of Destination; however this is never used at this Office of Destination.

Upon receipt of the Arrival Advice C_ARR_ADV (IE006) the Office of Departure sends the Forwarded Arrival Advice C_FWD_ARR (IE024) to the Office of Destination, which has received the AAR Response C_AAR_RSP (IE003) and never used it. This way the 'open' AAR Response C_AAR_RSP (IE003) is closed at Destination.
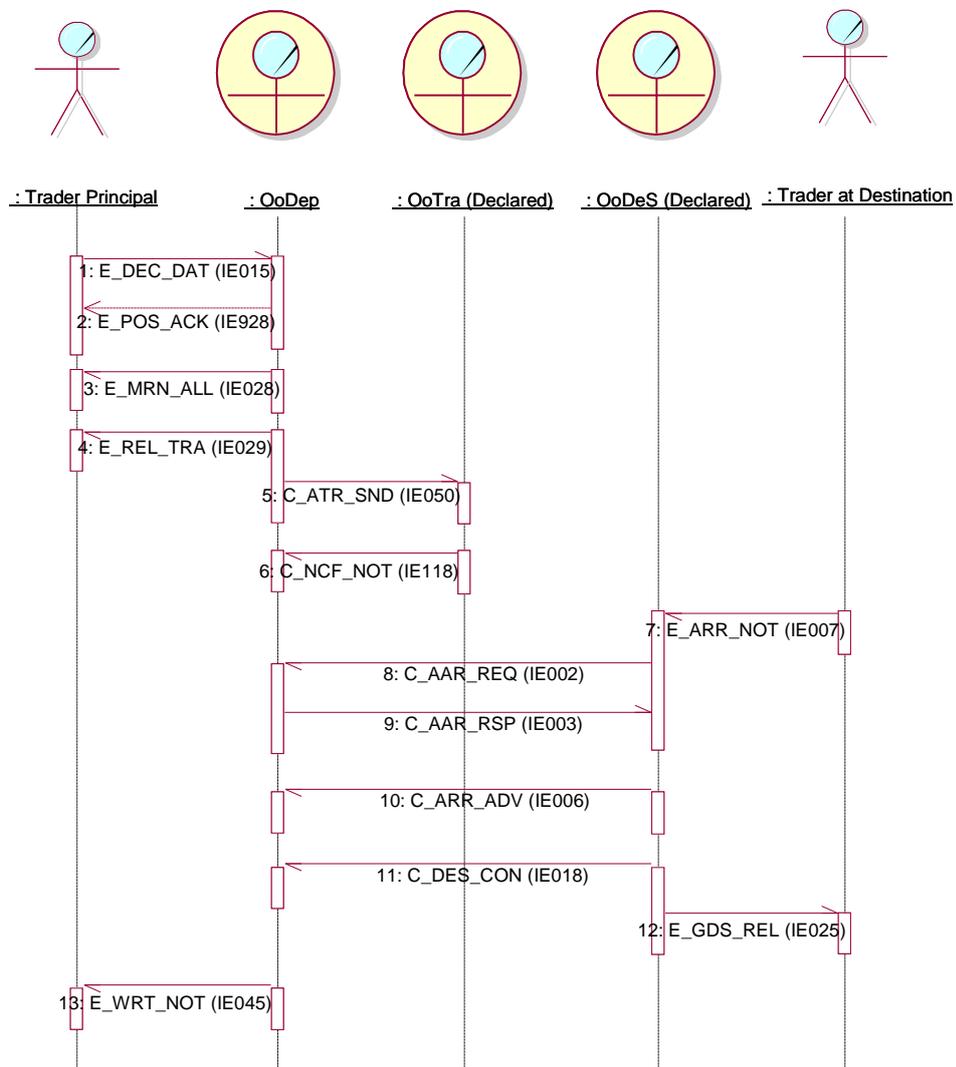
Figure 21: Recovery from a missing AAR

III.I.2.4.2 ATR missing

An ATR may be lost by or missing at a declared Office of Transit without the Office of Departure being aware of it. To represent this, the usual ATR C_ATR_SND (IE050) does not appear in this Time Sequence Diagram.

In this particular case, the Office of Transit issues a request for the lost ATR by sending an ATR Request C_ATR_REQ (IE114) to the Office of Departure. By default, a reply is sent with an ATR Response C_ATR_RSP (IE115), which in this case includes a copy of the original ATR C_ATR_SND (IE050) that had to be sent. Upon arrival of the ATR at the Office of Transit, the passage of the consignment can be notified by the Office of Transit to the Office of Departure with a NCF C_NCF_NOT (IE118).

In case the request for the ATR is not justified or correct, the reply will be with the same ATR Response C_ATR_RSP (IE115) in which the reason for this rejection is specified. In case the MRN is not known at the Office of Departure, a ATR Response C_ATR_RSP (IE115) should be replied with the ATR Rejection Reason Code set to "5" (MRN Unknown).

In case the Office of Transit expects an ATR Response C_ATR_RSP (IE115), (because it has previously formulated a request by means of an ATR Request C_ATR_REQ (IE114)) but also receives the delayed ATR C_ATR_SND (IE050), either before or after the reception of ATR Response C_ATR_RSP (IE115), it should process the first message received, whether ATR C_ATR_SND (IE050) or ATR Response C_ATR_RSP (IE115), and ignore the second, instead of sending an IE906 to reject it. In the case of processing ATR C_ATR_SND (IE050) first, the state of the movement is set to the state that would be normally set if the expected IE115 was received and registered first.

In all cases, the reply of the Office of Departure to the request of the Office of Transit should be sent as soon as possible in order not to slow down traffic flow at the border.
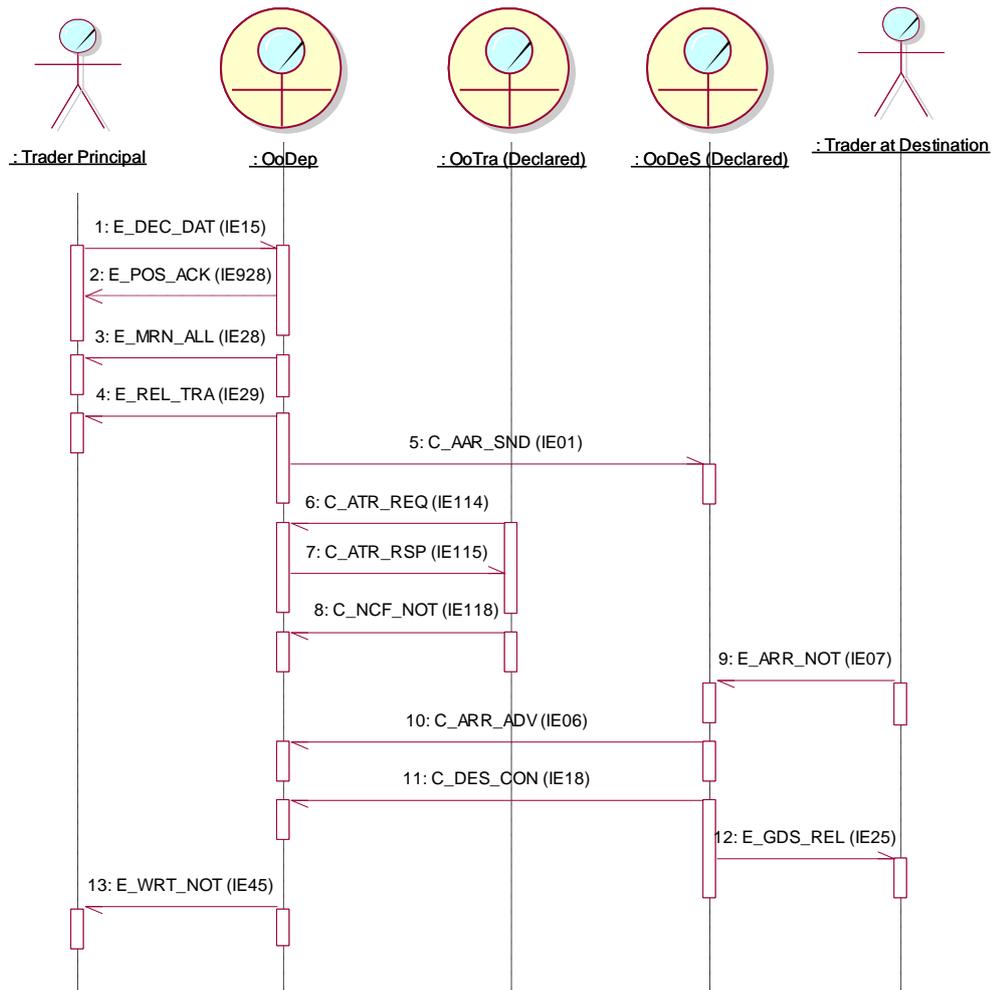
Figure 22: Recovery from a missing ATR

III.I.2.4.3 NCF not received

Situations are possible where a consignment arrives at its Destination (the Office of Departure is notified of the acceptance of the arrival by a Arrival Advice C_ARR_ADV (IE006) sent by the Office of Destination) but where a declared Transit border crossing [through ATR C_ATR_SND (IE050)] was not notified [via NCF C_NCF_NOT (IE118)] to the Office of Departure.

In this case, the Office of Departure will notify the Declared Office(s) of Transit of the arrival (and acceptance) of the consignment with a Forwarded Arrival Advice C_FWD_ARR (IE024).
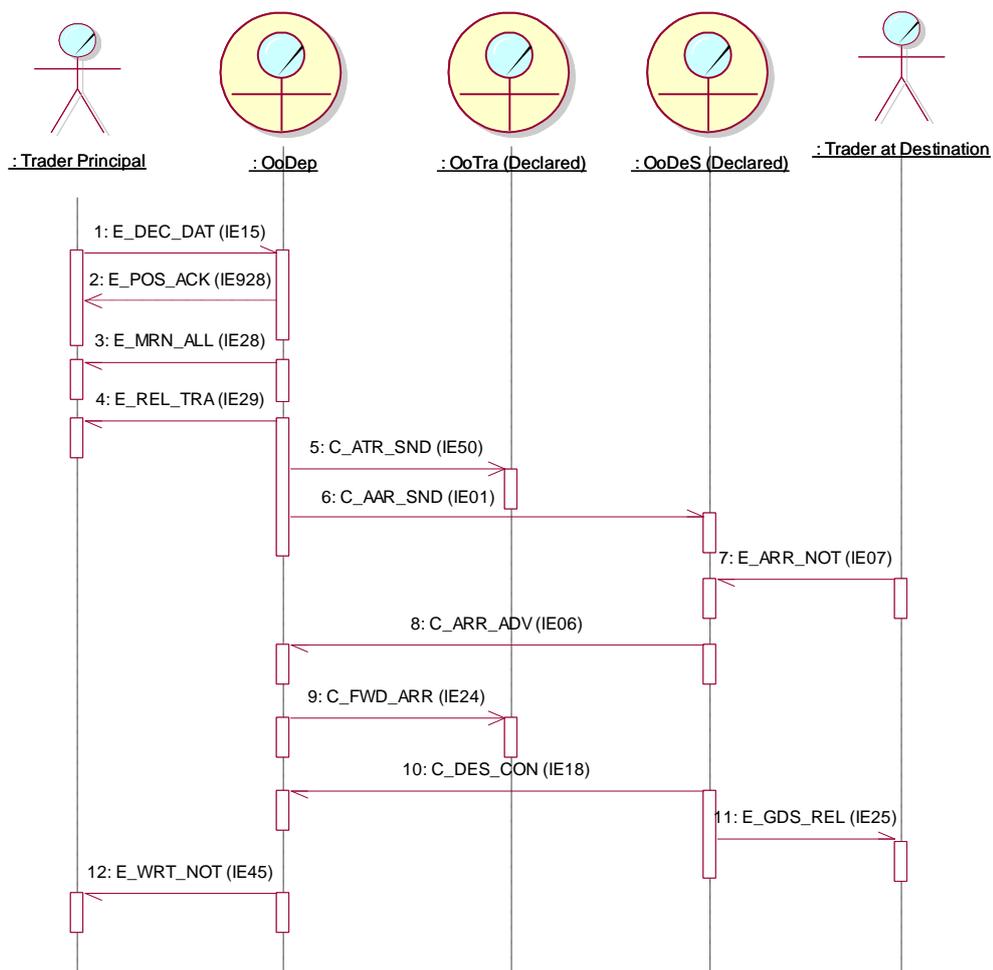
Figure 23: NCF not received by Office of Departure

There are other possibilities of NCF C_NCF_NOT (IE118) not received (see paragraph III.I.2.5 on diversions). The usage of the Forwarded Arrival Advice C_FWD_ARR (IE024) is discussed in detail in that paragraph.

III.I.2.4.4 Status request/response

Several Information Exchanges of a particular Transit operation (identified by a unique MRN) require a timely response by another Information Exchange. Due to exceptions, those responses may not arrive in time. Examples of these exceptions are given in the corresponding sections of FTSS [A4], the possible exceptions depending on the initiating Information Exchange. The omission of a timely response is detected by having a response timer set by the role expecting the response. After timer expiration, the status of that particular Transit operation is requested.

Business timers are discussed in more detail in chapter III.III.3.6.1.

Table 4 lists the responses and their timers set by a particular role and the next figure.

Figure 24 shows a Time Sequence Diagram of a Status Request C_STD_REQ (IE904) issued by the Office of Departure because the Arrival Advice C_ARR_ADV (IE006) was not received in time. An Office of Destination (or an Office of Transit) is not allowed to issue a status request.

Initiated IE	Expected response IE	Timer	Set by
AAR C_AAR_SND (IE001)	Arrival Advice C_ARR_ADV (IE006)	Arrival advice timer[1]	Office of Departure
	Destination Control Results C_DES_CON (IE018)	Destination control results timer[2]	Office of Departure
Cancellation notification C_CAN_NOT (IE010)	Cancellation Acknowledgement C_CAN_ACK (IE901)	Cancellation acknowledgement timer[3]	Office of Departure
Missing AAR Request C_AAR_REQ (IE002)	Missing AAR Response C_AAR_RSP (IE003)	Missing AAR timer[3]	Office of Destination
Status Request C_STD_REQ (IE904)	Status Response C_STD_RSP (IE905)	Status response timer[3]	Office of Departure
Guarantee Use C_GUA_USE (IE203)	Guarantee Use Result C_GUA_USR (IE205)	International guarantee registration response timer[4]	Office of Departure

Table 4: Responses, timers and roles that set the timers

The explanatory notes to this table are:

(1) This timer is a business timer whose value is based on a value related to a Transit operation. It is set by the expected arrival date calculated on the basis of information regarding the Destination country (see FTSS [A4], EBP CO1B1301).

(2) An Office of Departure sets the Destination control results timer to 6 days after reception of an Arrival Advice (C_ARR_ADV).

(3) These timers are technical timers. For the AAR Request C_AAR_REQ (IE002), the response should be returned within 1 minute. For the others, they can be set to a maximum of 15 minutes.

(4) This timer is a technical timer. It is used to denote the time the Guarantee Use Result C_GUA_USR (IE205) is expected from the International Office of Guarantee. Its duration is set to 5 minutes.

It is not the intention to issue a status request if the status response timer expires. User intervention and mechanisms like the phone are required to get the state of a Transit operation.

For (3) and (4) it must be noted that the values of these timers must be seen as target values for the technical implementation. The values defined here will be used to evaluate the performance.
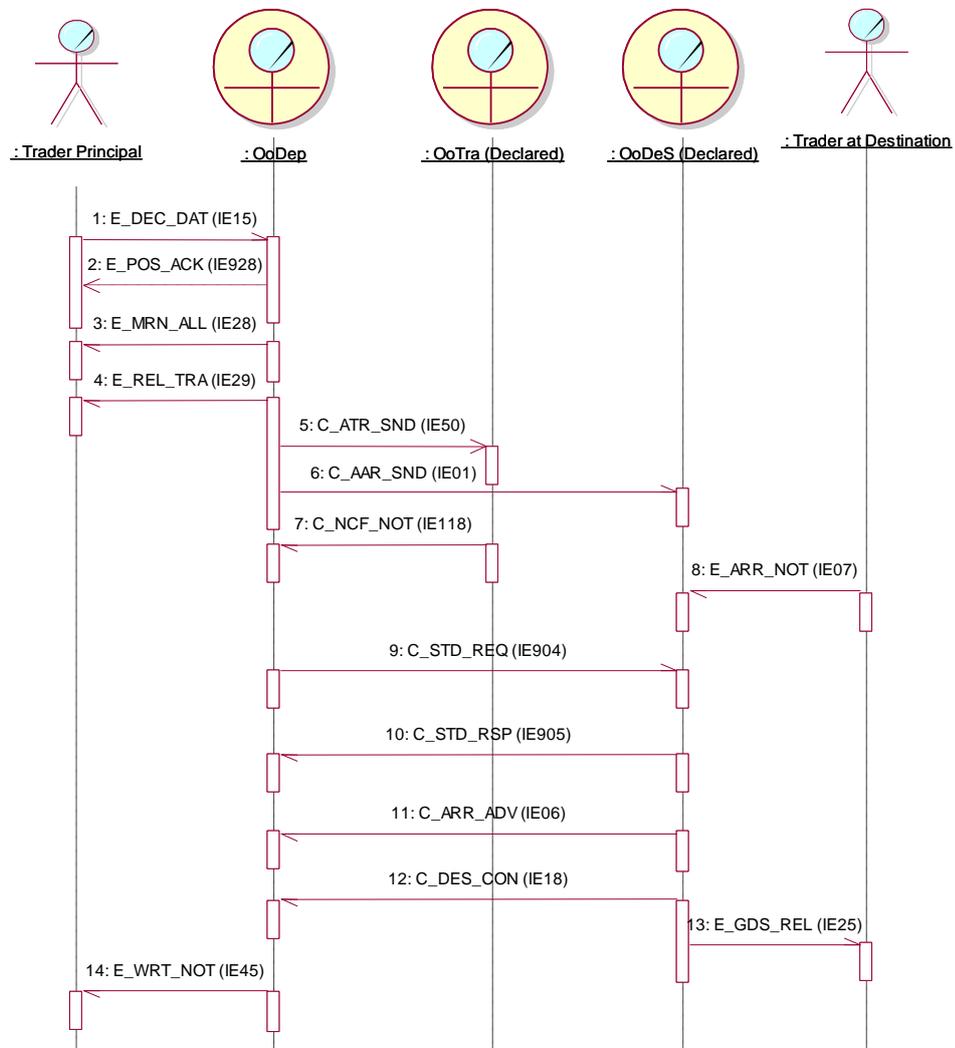
Figure 24: Status request/response

The Office of Departure can at any time request the status of the Office of Destination by means of a Status Request C_STD_REQ (IE904).

A Status Response C_STD_RSP (IE905) contains a state from the set of possible states of an MRN at an Office of Destination, as specified in the State Transition Diagram in chapter III.III.3.3of this section.

The list of states is given in the chapter III.III.3.1, III.III.3.3.

III.I.2.5 Diversion

NCTS Phase 4 supports International and National Diversions. Diversions can be notified by Offices of Transit as well as by an Office of Destination. The sequences are quite similar to the ones for missing AAR (for Office of Destination) and missing ATR (for Office of Transit) except that these Offices now are the Actual Offices instead of the Declared Office.

The Office of Departure is supposed to supervise the route of the consignment. This route is equal to a collection of Offices of Transit, plus one Office of Destination. For a given movement there may be 0, 1 or more Offices of Transit. There is only one Office of Destination.

Whenever a movement is released, the Office of Departure will define the boundary conditions for any movement, by defining:
- A number of Offices of Transit, where the consignment may cross the border (referred to as Declared Offices of Transit).
- One Office of Destination, where the consignment is supposed to arrive (referred to as declared Office of Destination).

These declared Offices of Transit and Destination will never change during the lifetime of a movement.

A diversion takes place whenever:
- A consignment arrives at a non-declared Office of Transit (referred to as Actual Office of Transit).
- A consignment is reported at a non-declared Office of Destination (referred to as Actual Office of Destination).

The Office of Departure will always resolve diversions. The general principle will be that the (non-declared) Offices of Transit and the Office of Destination will detect the diversion and communicate this immediately to the Office of Departure in order to take a decision. By default, the diversion will be accepted.

The different Declared Offices of Transit (Destination) on the route only know that the movement needs to cross (arrive) there. They do not have any further information on the overall route of the consignment.

When NCTS is also used for the purpose of safety and security the risk analysis results (if available) communicated by the Office of Departure shall either be accepted or taken into account when carrying out risk analysis at the Offices of Transit and the Actual Office of Destination.

III.I.2.5.1 *Diversion at Office of Transit rejected*

The most obvious case is when a consignment arrives at an Office of Transit that is unaware of the movement. The Actual (=Current) Office of Transit will then request the ATR from the Office of Departure with an ATR Request C_ATR_REQ (IE114).

Two cases are then possible:
- Lost ATR (see Figure 22). The Office of Departure can detect this by comparing the Actual Office of Transit with the declared Offices of Transit.
- Diversion at an Office of Transit (the movement has arrived at a non-declared Office of Transit).

In both cases, the Office of Departure will reply with an ATR Response C_ATR_RSP (IE115). By default, a positive reply is sent which, in this case, includes a copy of the original ATR C_ATR_SND (IE050). In case the request for the ATR is not justified or correct, the reply will be with the same ATR Response C_ATR_RSP (IE115) in which the reason for this rejection is specified.
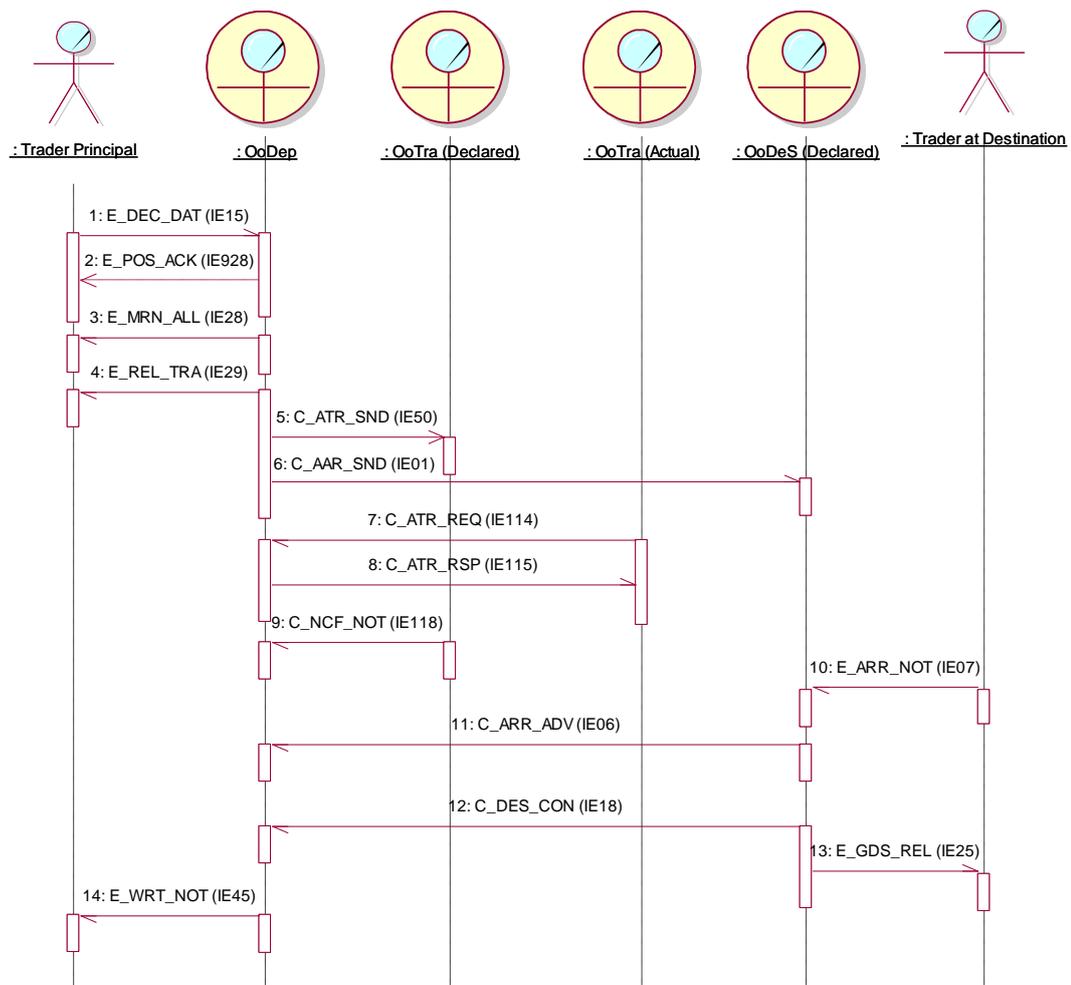
Figure 25: Diversion at Office of Transit rejected

III.I.2.5.2 *Diversion at Office of Transit accepted*

Upon receipt of the ATR Request C_ATR_REQ (IE114), the Office of Departure replies by sending a positive ATR Response C_ATR_RSP (IE115) and the consignment may leave the Actual Office of Transit (the Actual Office of Transit confirms this by sending a NCF C_NCF_NOT (IE118) to the Office of Departure).

The consignment may then continue (via declared or other Offices of Transit) to the Office of Destination. In the example below, there are no other border-crossings after the diversion.

There may still be declared Offices of Transit waiting for the movement. These offices did not send a NCF C_NCF_NOT (IE118) yet. In order to inform them upon the arrival of the consignment, the Office of Departure will send them a Forwarded Arrival Advice C_FWD_ARR (IE024) after the reception of the Arrival Advice C_ARR_ADV (IE006).

It should be stressed that the Forwarded Arrival Advice C_FWD_ARR (IE024) only have to be sent to those (declared) Offices of Transit that did not receive the consignment [did not send a NCF C_NCF_NOT (IE118)]. The Forwarded Arrival Advice C_FWD_ARR (IE024) should NOT be sent to those Offices of Transit that reported the movement by means of a NCF C_NCF_NOT (IE118).
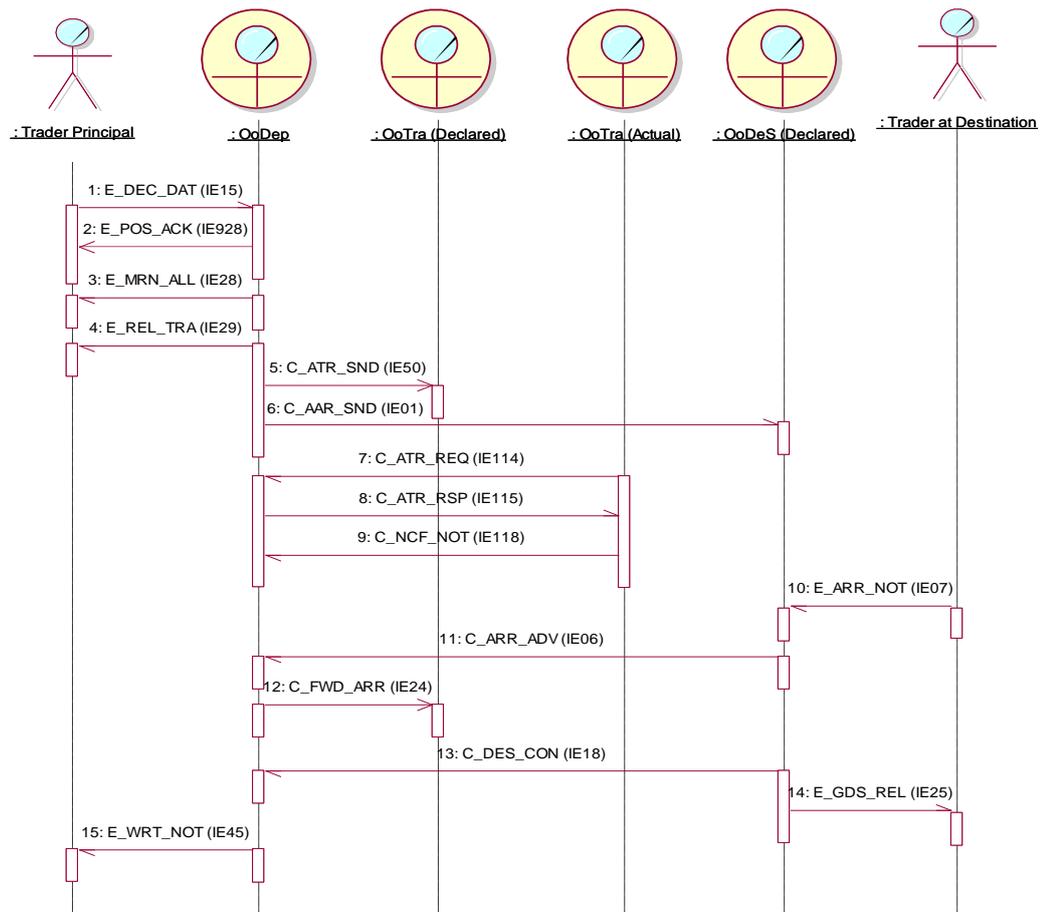
Figure 26: Diversion at Office of Transit accepted

III.I.2.5.3 Diversion at Office of Destination accepted

The Trader at Destination notifies the Actual Office of Destination of the arrival of the consignment with the usual Arrival Notification E_ARR_NOT (IE007). The latter requests the AAR from the Office of Departure with an AAR Request C_AAR_REQ (IE002) to which the Office of Departure replies with an AAR Response C_AAR_RSP (IE003). The Actual Office of Destination sends an Arrival Advice C_ARR_ADV (IE006) to the Office of Departure.

The Office of Departure then notifies the Declared Office of Destination of the arrival of the consignment at another Office of Destination by sending a Forwarded Arrival Advice C_FWD_ARR (IE024).

The sequence continues with the release of the Goods Release Notification E_GDS_REL (IE025) and sending of the Destination Control Results C_DES_CON (IE018) to the Office of Departure, followed by the Write-off Notification E_WRT_NOT (IE045).
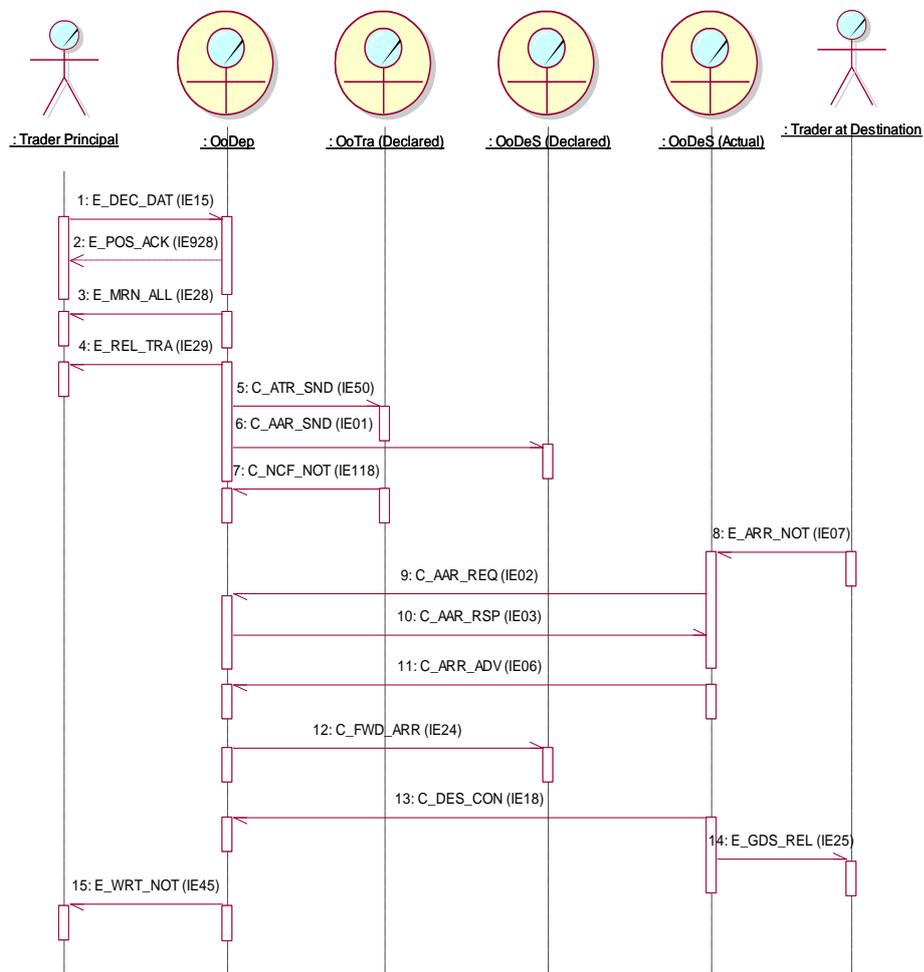
Figure 27: Diversion at Office of Destination accepted

III.I.2.5.4 Diversion at Office of Destination rejected

The Office of Departure can decide to reject the diversion to the Actual Office of Destination. The default, however, should be to accept the diversion.

After receipt of the AAR Response C_AAR_RSP (IE003) from the Office of Departure in which the reason for the rejection is mentioned, the Office of Destination notifies the Trader at Destination of the rejection reason with an AAR Rejection Notification E_DIV_NOT (IE021). In the scenario below, the situation gets eventually solved, by reporting at the correct Office of Destination.
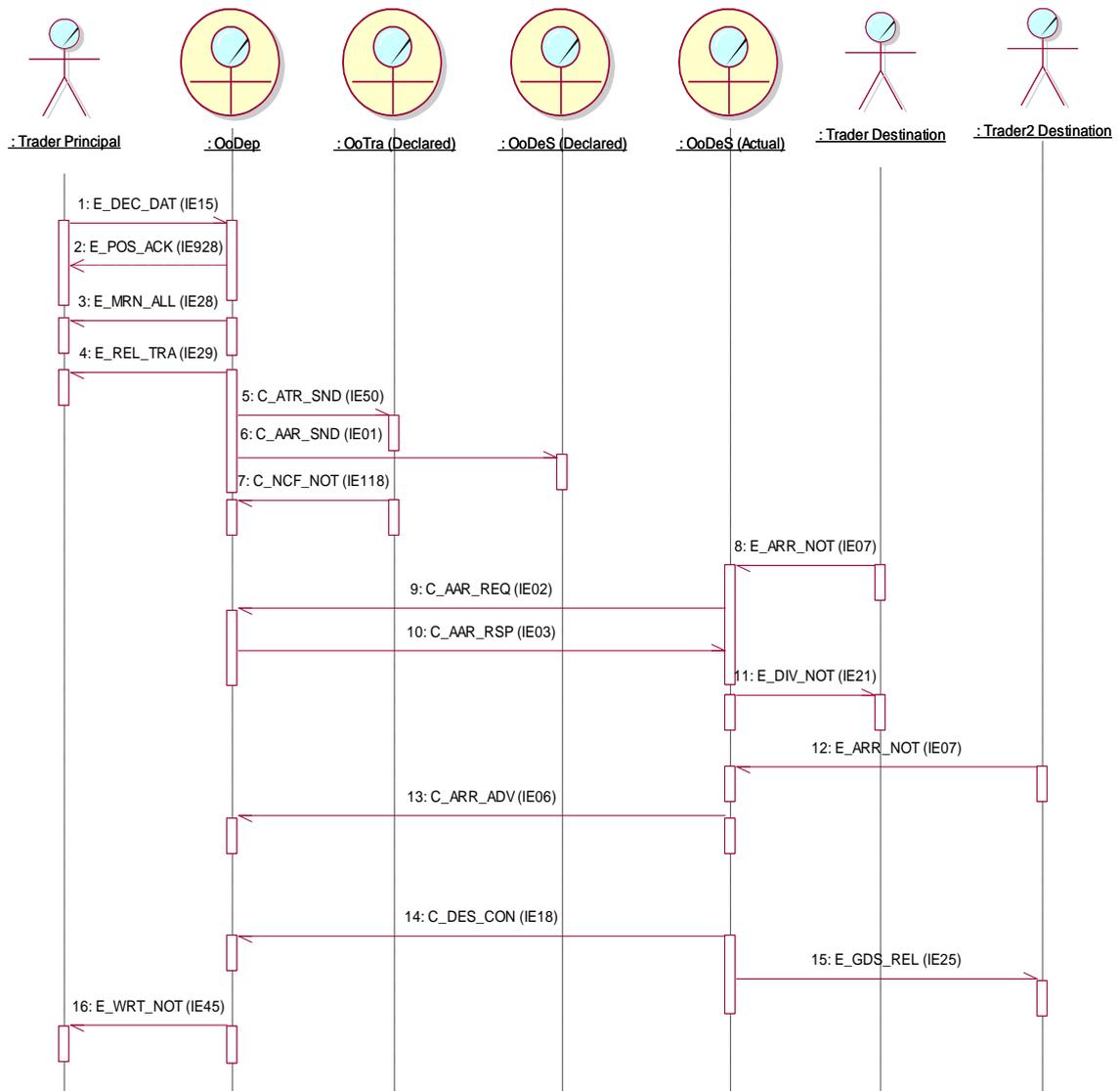
Figure 28: Diversion at Office of Destination rejected

III.I.2.5.5 'Open' ATR Response C_ATR_RSP (IE115) and 'open' AAR Response C_AAR_RSP (IE003) are 'closed'

An Office of Transit has requested the ATR C_ATR_SND (IE050) from the Office of Departure by sending the ATR Request C_ATR_REQ (IE114). As a consequence the Office of Departure sends the ATR Response C_ATR_RSP (IE115) to the requesting Office of Transit, however this is never used at this Office of Transit.

The Office of Departure will then send the Forwarded Arrival Advice C_FWD_ARR (IE024) to the respective Office of Transit as long as the former receives the Arrival Advice C_ARR_ADV (IE006) from the Office of Destination.

The same approach is to be followed in the case of 'open' AAR Response C_AAR_RSP (IE003) at Destination.
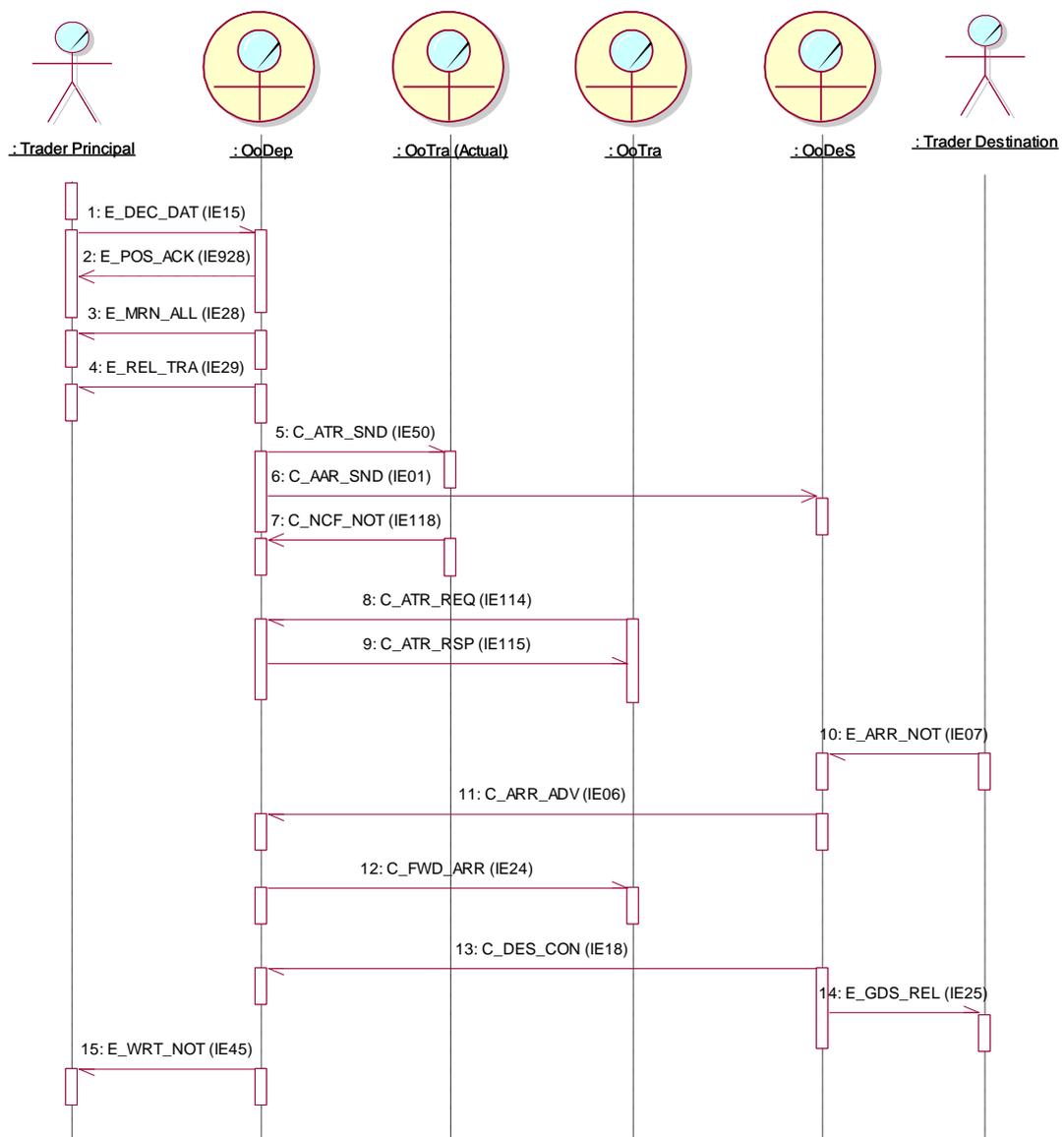
Figure 29: Open ATR Response is closed at Office of Transit by the receipt of the Forwarded Arrival Advice

III.I.2.5.6 Summary

Many complex schemes are possible with several diversions at both Office of Transit and Office of Destination. As an example, the following scenario is given.

Suppose there are 3 declared Office of Transit: T1, T2 and T3 and the declared Office of Destination D. Suppose there are also a number of (non-declared) Office of Transit (T4, T5 and T6) and (non-declared) Office of Destination (D3) and a Trader at Destination. The following could happen (only messages from release until the sending of the Destination Control Results C_DES_CON (IE018) are included):

- **Upon release:**
  OoDep -> T1, T2, T3:   C_ATR_SND
  OoDep -> D: C_AAR_SND
- **Consignment goes to T4 (diversion takes place at Office of Transit)**
  T4 -> OoDep: C_ATR_REQ
  OoDep-> T4:   C_ATR_RSP (Positive)
  T4 -> OoDep: C_NCF_NOT
- **Consignment goes to T2 (declared Office of Transit)**
  T2 -> OoDep: C_NCF_NOT
- **Consignment goes to T5 (second diversion at Office of Transit)**
  T5 -> OoDep: C_ATR_REQ
  OoDep -> T5:   C_ATR_RSP
- **Consignment goes to T3 (declared Office of Transit)**
  T3 -> OoDep: C_NCF_NOT
- **Consignment goes to T6 (again diversion at Office of Transit)**
  T6-> OoDep: C_ATR_REQ
  OoDep -> T6:   C_ATR_RSP (Positive)
  T6->OoDep: C_NCF_NOT
- **Consignment arrives at D3**
  TraDes -> D3:   E_ARR_NOT
  D3 -> OoDep: C_AAR_REQ
  OoDep -> D3:   C_AAR_RSP (Positive)
  D3 -> OoDep: C_ARR_ADV
  OoDes -> T1, D: C_FWD_ARR
  D3 -> OoDep: C_DES_CON

Please note that the Forwarded Arrival Advice C_FWD_ARR (IE024) is only sent to T1 and D. T2 and T3 have processed the goods and therefore do not need to be notified of the arrival.

III.I.2.6 Cancellation

Cancellations can only take place at Departure. The Trader at Departure can request them or the cancellations can be initiated by the Office of Departure itself. A cancellation is always performed on an accepted declaration (an MRN is already allocated). Cancellations can take place at the following moments in time:

- Before release for Transit (no AAR has been sent yet by the Office of Departure).
- After release for Transit (but before the goods arrive at an Office of Transit or an Office of Destination)[10].

Cancellations can be performed under the following conditions:

- The Trader at Departure can request cancellation before the movement has been released. After release of the movement, a cancellation request by the trader should be automatically rejected. He/she can thus request cancellation while the movement status is one of the following: "Accepted", "Declaration under amendment", "Guarantee under registration", "Guarantee under amendment", "Guarantee registered", "Under control", "Idle", "Under release request". The Office of Departure can in all cases take a decision whether or not to accept the cancellation.
- The Office of Departure can cancel a movement at any moment up till the moment when either a NCF C_NCF_NOT (IE118) has been received (from an Office of Transit) or an Arrival Advice C_ARR_ADV (IE006) has been received (from an Office of Destination). The Office of Departure can thus cancel up to the moment that a movement has gone into the Common Domain and no other Office (Office of Transit or Office of Destination) has reported on the movement (by means of NCF C_NCF_NOT (IE118) or Arrival Advice C_ARR_ADV (IE006). Valid states for cancellation by the Office of Departure are thus all the allowed states defined previously (for the Trader at Departure), plus the state "Movement released" (in so far no NCF C_NCF_NOT (IE118) or Arrival Advice C_ARR_ADV (IE006) has been received).

Cancellation requests (by Trader at Departure) after arrival at either Office of Transit or Office of Destination must always be rejected. The Office of Departure itself should never issue a cancellation after this moment.

Three Time Sequence Diagrams of realistic situations are given here:

- Cancellation by the Trader before the goods have been released for Transit.
- Cancellation by the Trader after the goods have been released for Transit rejected by the Office of Departure.
- Cancellation by the Office of Departure after Release for Transit.

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[10] Please note that for EU countries the cancellation of a movement after release is only available to Customs Officers and a cancellation request by the trader should be automatically rejected.

III.I.2.6.1 *Cancellation by Trader before Release for Transit*

This is the simplest case of cancellation: after receipt of the MRN of the consignment, the Trader decides to cancel the consignment and notifies the Office of Departure with a Declaration Cancellation Request E_DEC_CAN (IE014). The Office of Departure accepts the cancellation by replying with a Cancellation Decision E_CAN_DEC (IE009).

Since it is very unlikely that the Office of Departure would reject the cancellation, this case is not shown.
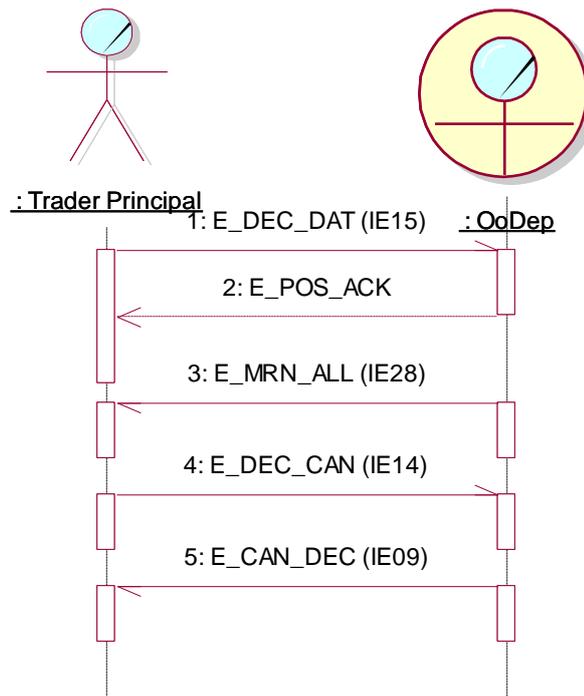
Figure 30: Cancellation by Trader before Release for Transit

III.I.2.6.2 Cancellation by Trader rejected after Release for Transit

In the following sequence, the Office of Departure rejects the demand from the Trader to cancel the consignment by replying to the Declaration Cancellation Request E_DEC_CAN (IE014) with the same Cancellation Decision E_CAN_DEC (IE009) that is used to accept the cancellation. In this case, the Office of Departure rejects the cancellation because the consignment has already been released for Transit. The remainder of the sequence stays the same.
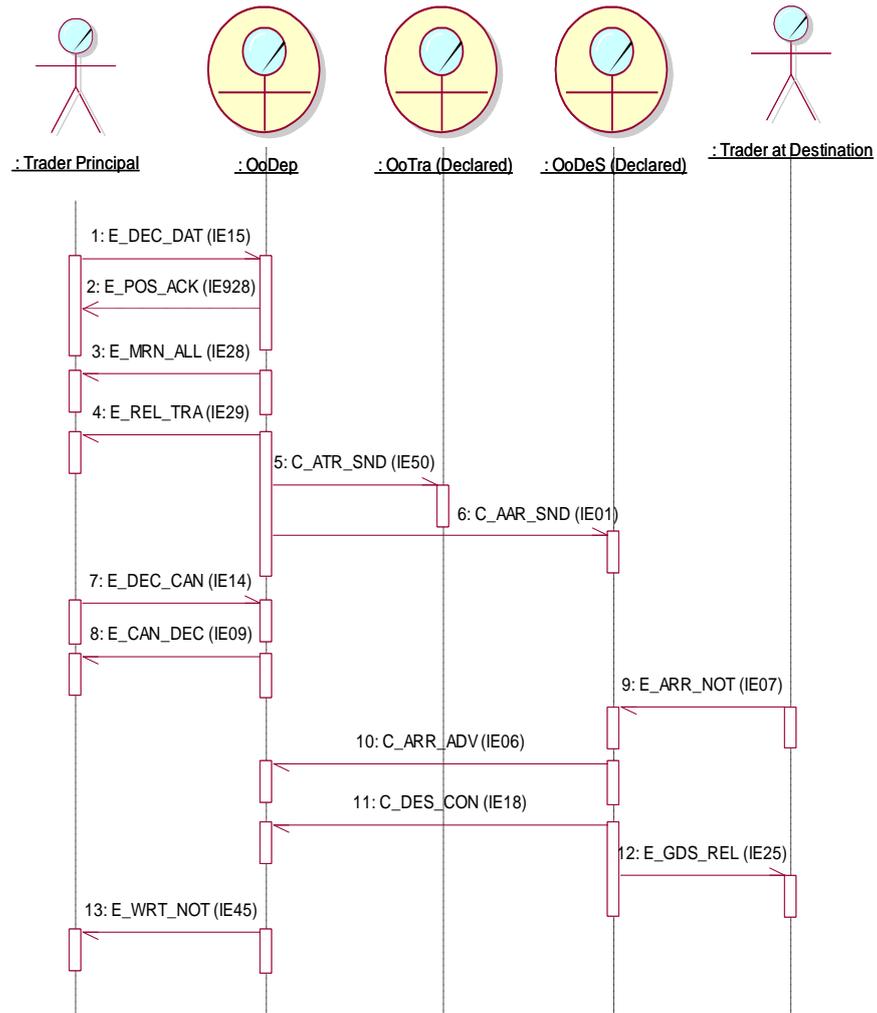
Figure 31: Cancellation by Trader refused by Office of Departure

III.I.2.6.3 Cancellation by Office of Departure after Release for Transit

Figure 32 shows the initiation of a cancellation by the Office of Departure and the reception of an arrival notification by an Office of Destination. In this case, the arrival notification is rejected and the cancellation notification is acknowledged. It implies this particular Transit operation can only be undone by an exception specified by the NA having the role of Office of Departure.
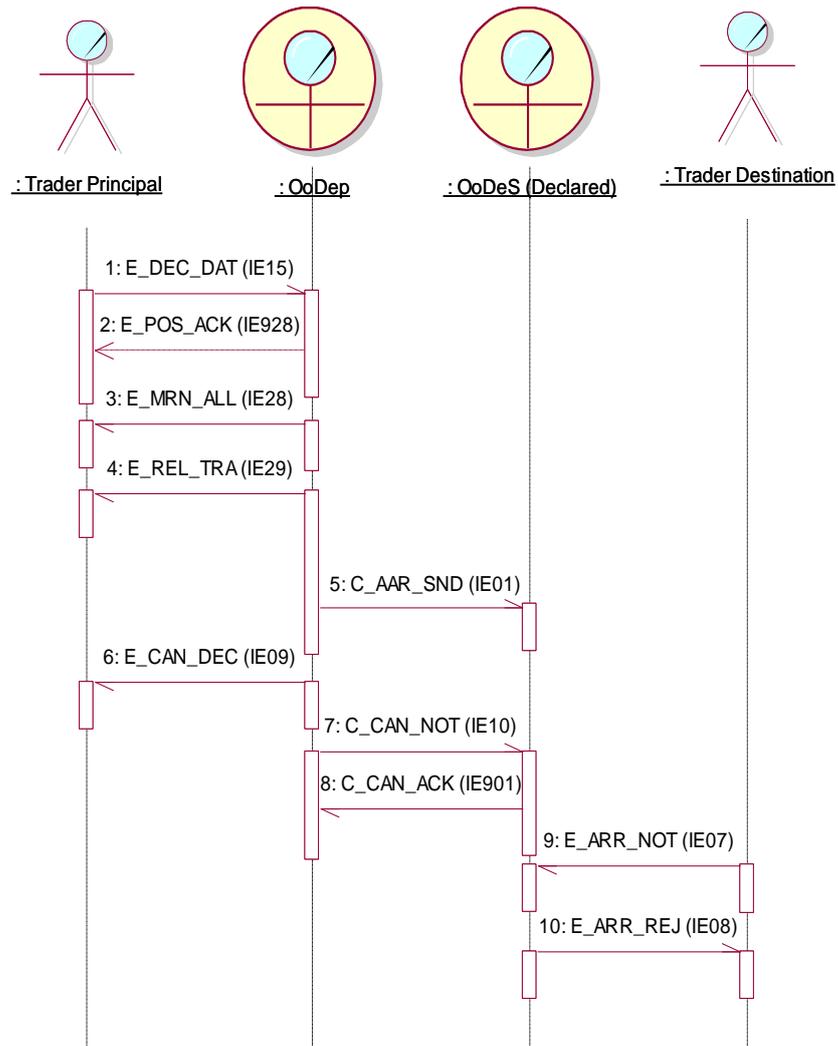
Figure 32: Office of Departure initiated cancellation

III.I.2.7 Query Movement Information

At any moment, any Customs Office, with any of the roles Departure, Destination, Transit or Guarantee can obtain information about a movement at the Office of Departure. If the Office of Departure is in a different Country this is done by sending a Movement Query C_MVT_QUE (IE027). The corresponding Office of Departure answers with a Response to Movement Query C_MVT_RSP (IE038) when MRN is known or with a non-acknowledgement C_FUN_NCK (IE906) when MRN is unknown.
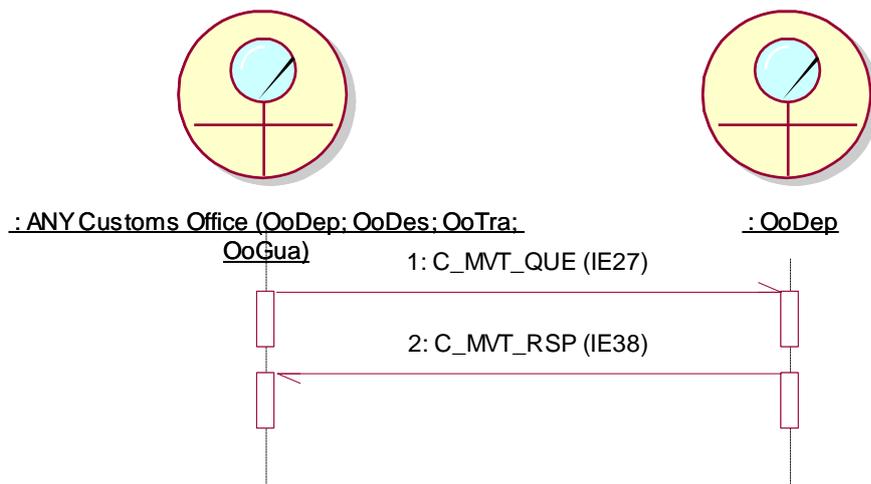
Figure 33: Query on Movement Information

III.I.2.8 Safety and Security Specific Actions and Scenarios

This section specifies the new activity which occurs when NCTS is used for Safety and Security. It also identifies some specific scenarios that are introduced as a result.

III.I.2.8.1 *Departure Specific Safety and Security*

III.I.2.8.1.1 *Departure Activity*

There is some additional activity which needs to take place at Departure when NCTS is also used for the purpose of safety and security. These activities are described in the [A4].

III.I.2.8.1.2 *Release for Transit refused for safety and security reasons*

Figure 34 shows the sequence when a declaration has been submitted by Declaration Data E_DEC_DAT (IE015) and has been accepted by the Office of Departure, the MRN Allocated E_MRN_ALL (IE028) has been sent to the Trader at Departure. The Office of Departure determines that there is a threat to safety or security and decides not to release the goods for Transit by means of a No Release For Transit E_REL_NOT (IE051). The status of the operation becomes "Not released for Transit".

The general scenario about the Release for Transit refused is presented at the section III.I.2.2.2.
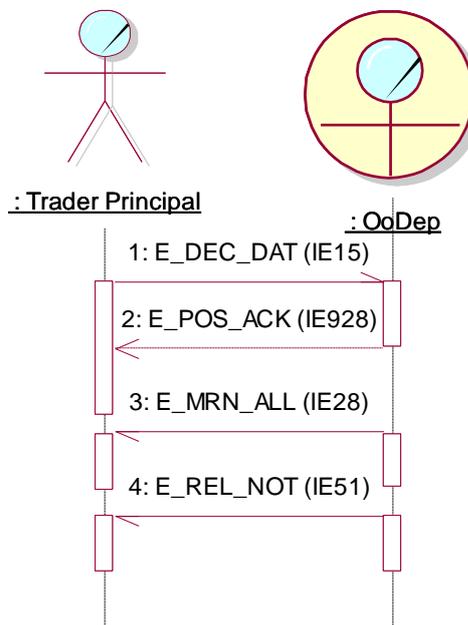
Figure 34: Release for Transit refused for safety and security reasons

III.I.2.8.1.3 *Control by Office of Departure, no major discrepancies, threat to safety or security, with release for Transit refused*

Figure 35 shows the sequence in case the Office of Departure does not release the declared Transit operation for Transit after control under Normal Procedure. The Office of Departure decides to control the consignment before release and sends a Control Decision Notification E_CTR_DEC (IE060) to inform the Trader of this decision. The results of the control activity are registered by means of a Departure Control Results N_DEP_CON (IE017), local to the National Domain.

The Office of Departure finds no major discrepancies but identifies a threat to the safety or security and decides that the consignment cannot be released for Transit. The Office of Departure informs the Trader by sending a No Release for Transit E_REL_NOT (IE051). The state of the Transit Operation is put to "Not released for Transit".

The general scenario about the Control by Office of Departure with release for Transit refused is presented at the section III.I.2.2.4.
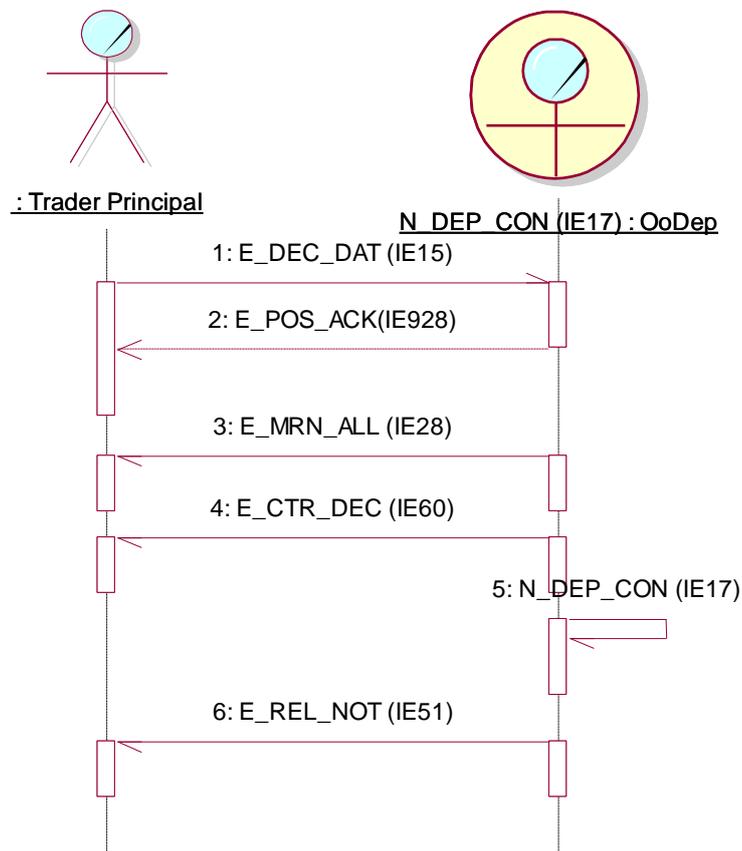
Figure 35: Control by Office of Departure, no major discrepancies, threat to safety or security, with release for Transit refused

III.I.2.8.2 Office of Transit Specific Safety and Security

III.I.2.8.2.1 Office of Transit Activity

There is some additional activity, which needs to take place at the Office of Transit when NCTS is also used for the purpose of safety and security. These activities are described in the [A4].

III.I.2.8.2.2 Movement Stopped at Office of Transit

The Trader at Departure submits the Declaration Data E_DEC_DAT (IE015) and this has been accepted by the Office of Departure, the MRN Allocated E_MRN_ALL (IE028) has been sent to the Trader at Departure. The movement is released and the Office of Departure sends Release for Transit E_REL_TRA (IE029) to the Trader at Departure, sends the AAR C_AAR_SND (IE001) to the Office of Destination and also sends one or more ATR C_ATR_SND (IE050) to the Office(s) of Transit.

The ATR C_ATR_SND (IE050) indicates that the movement is used for safety and security. Either the Office of Transit is acting as the Office of Entry or the risk analysis results communicated by the Office of Departure signal that action should be taken. The Office of Transit analyses the risks and considers that goods shall not enter the Customs territory of the Community.
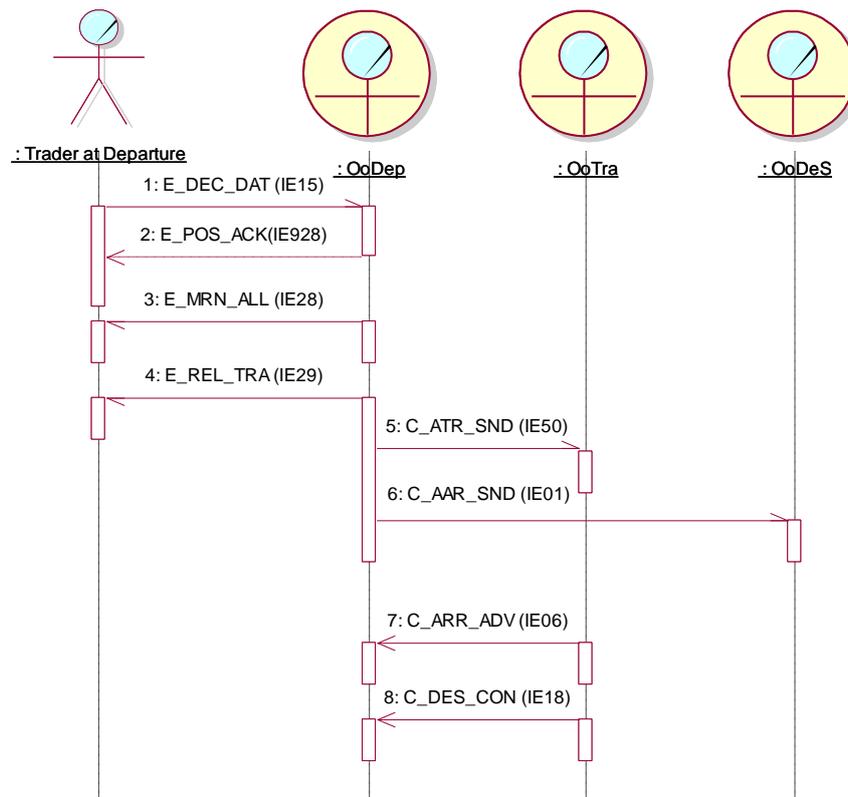
Figure 36: Movement Stopped at Office of Transit

III.I.2.8.2.3 *Diversion at Office of Transit accepted, movement closed at Transit*

The Trader at Departure submits the Declaration Data E_DEC_DAT (IE015) and this has been accepted by the Office of Departure, the MRN Allocated E_MRN_ALL (IE028) has been sent to the Trader at Departure. The movement is released and the Office of Departure sends Release for Transit E_REL_TRA (IE029) to the Trader at Departure, sends the AAR C_AAR_SND (IE001) to the Office of Destination and also sends one or more ATR C_ATR_SND (IE050) to the Office(s) of Transit.

The consignment arrives at an Office of Transit that is unaware of the movement. The Actual (=Current) Office of Transit will then request the ATR from the Office of Departure with an ATR Request C_ATR_REQ (IE114). The Office of Departure replies by sending a positive ATR Response C_ATR_RSP (IE115) which indicates that the movement is used for safety and security.

The Office of Departure is located outside the EU and the Office of Transit is acting as the Office of Entry. The Office of Transit analyses the risks and considers that goods shall not enter the Customs territory of the Community.
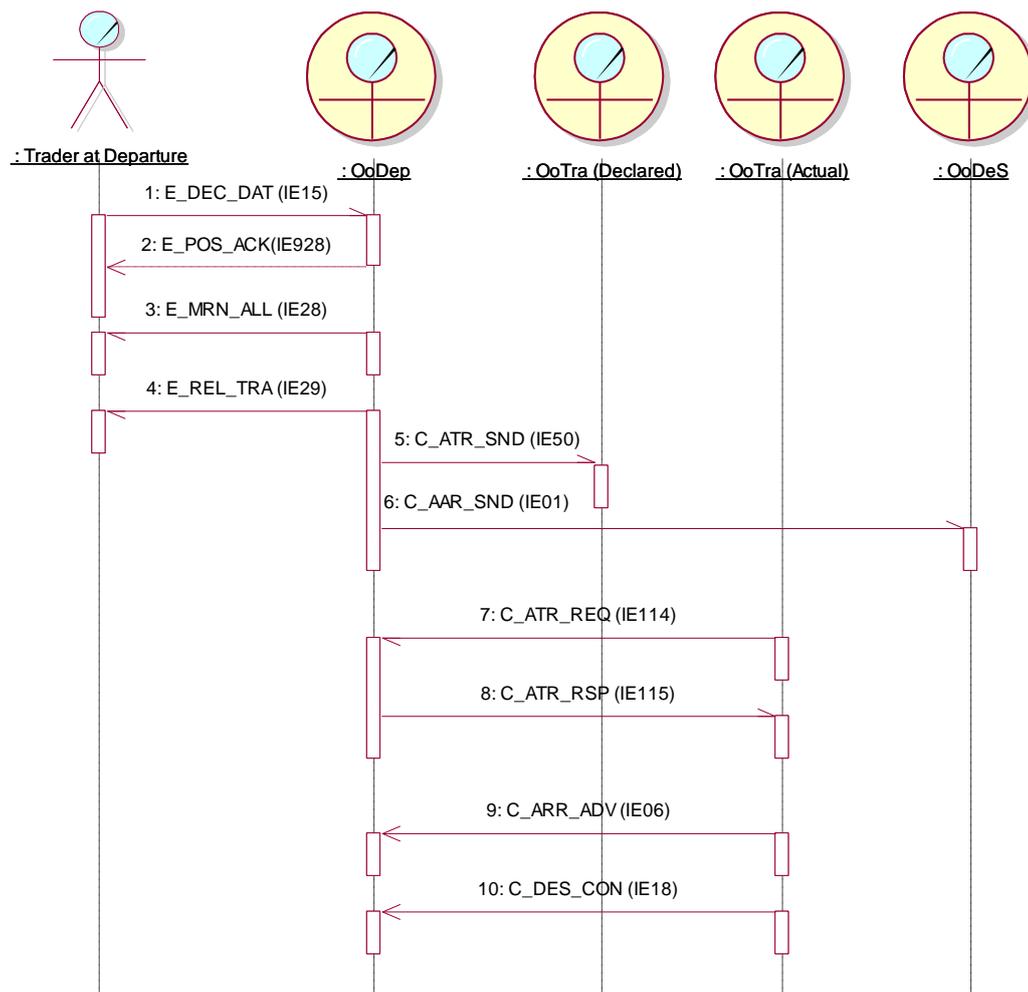
Figure 37: Diversion at Office of Transit accepted, movement closed

III.I.2.8.3 Arrival Specific Safety and Security

III.I.2.8.3.1 Office of Destination Activity

There is some additional activity, which needs to take place at the Office of Destination when NCTS is also used for the purpose of safety and security. These activities are described in the [A4].

III.I.2.8.3.2 Diversion at Office of Destination accepted, movement closed at destination

The Trader at Destination notifies the Actual Office of Destination of the arrival of the consignment with the usual Arrival Notification E_ARR_NOT (IE007). The latter requests the AAR from the Office of Departure with an AAR Request C_AAR_REQ (IE002) to which the Office of Departure replies with an AAR Response C_AAR_RSP (IE003). The Actual Office of Destination sends an Arrival Advice C_ARR_ADV (IE006) to the Office of Departure. The Office of Departure then notifies the Declared Office of Destination of the arrival of the consignment at another Office of Destination by sending a Forwarded Arrival Advice C_FWD_ARR (IE024).

The AAR Response C_AAR_RSP (IE003) indicates that the movement is used for safety and security. Either the Office of Destination is acting as the Office of Entry or the risk analysis results communicated by the Office of Departure signal that action should be taken. The Office of Destination analyses the risks and considers that goods shall not enter the Customs territory of the Community. Therefore the movement is closed at Destination and the Control Results C_DES_CON (IE018) are sent to the Office of Departure.

The general scenario about the Diversion at the Office of Destination accepted with is presented at the section III.I.2.5.3.
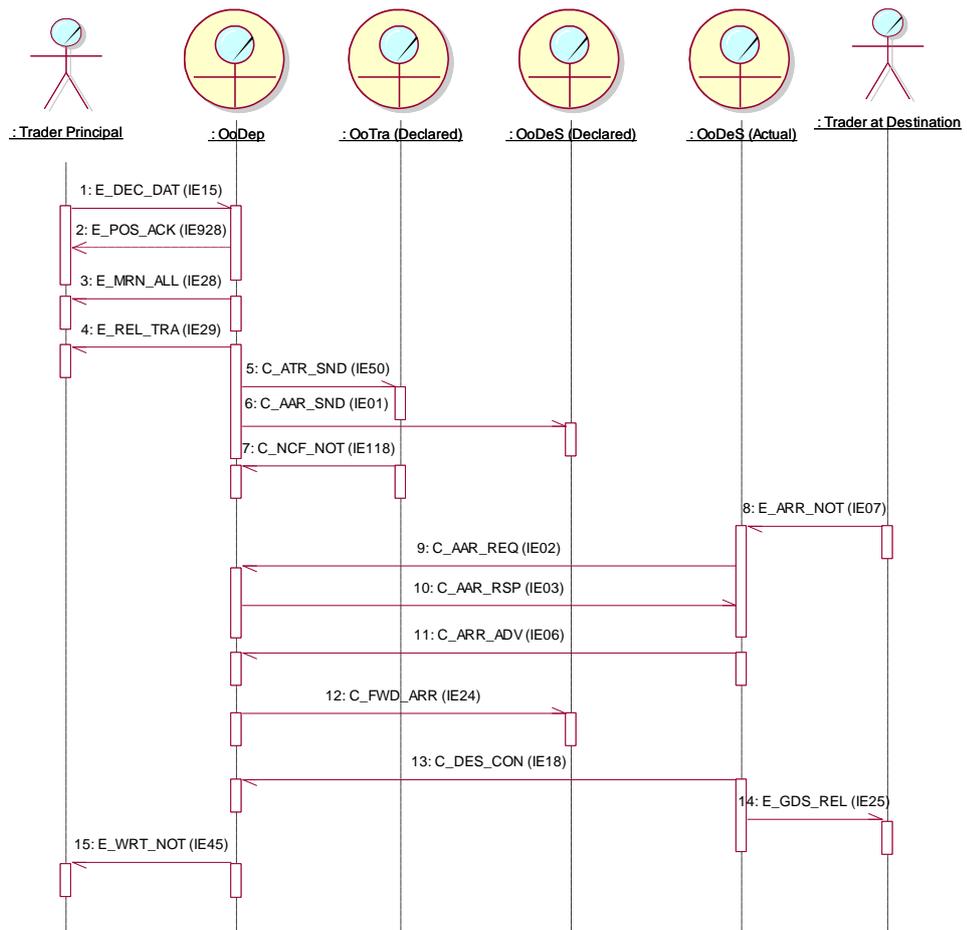
Figure 38: Diversion at Office of Destination accepted, movement stopped

III.I.2.9 Scenarios for NCTS/TIR-DATA Pilot Project

III.I.2.9.1 Normal Procedure-TIR movement data for NCTS/TIR-DATA Pilot Project

The transmission of information for NCTS/TIR-DATA Pilot Project will take place for NCTS movements, which follows the DDNTA business scenarios. The following pre-conditions for the EU-Partner Country Pilot Project have to be met:

1. Member State of the Office of Departure is a partner having committed to the NCTS/TIR-DATA Pilot Project, for one or multiple Partner Country(ies).

2. The Transit declaration (IE015) is of type "TIR" (i.e. Declaration Type (box 1) = "TIR").

3. The Destination Country declared in IE015 either at Header level or in at least one Goods Item level is a Partner Country (e.g. Russia).

The movement has been released for Transit (IE001 sent to OoDes). Figure 39 shows the core flow for normal procedure without any problems, with Destination Country in one Partner Country (e.g. Ukraine) for some Goods Items and in another Partner Country (e.g. Republic of Moldova) for some other Goods Items.

The Trader at Departures sends a declaration message to the Office of Departure, called Declaration Data E_DEC_DAT (IE015). This declaration fulfils conditions 2 & 3 of the above list.

The Office of Departure may send a Positive Acknowledge message E_POS_ACK (IE928) to the Trader in order to inform him of receipt. If, or when, the declaration is formally accepted, Office of Departure allocates a Movement Reference Number (MRN) for identification of the Transit operation. The MRN is communicated to the Trader with an MRN Allocated E_MRN_ALL (IE028). The Trader now knows that the declaration is accepted. When the declaration is released, the Office of Departure sends out a 'released for Transit' message, called Release for Transit E_REL_TRA (IE029). The Trader may now transport the goods to their destination.

To inform the Office of Destination of this, the Office of Departure sends the AAR C_AAR_SND (IE001). Finally, the Office of Departure creates a copy of AAR as an advanced arrival notification for NCTS/TIR-DATA pilot project C_AAR_SPD (IE012) and sends it to EC SPEED2 platform.

Upon the reception of advanced arrival notification for NCTS/TIR-DATA pilot project C_AAR_SPD (IE012), the EC SPEED2 Platform converts it to the agreed TIR notification C_AAR_SRU (IES01) and sends it to the Partner Country.

Please note that the rest core flow scenario of NCTS remains unaffected until the movement has been written-off.
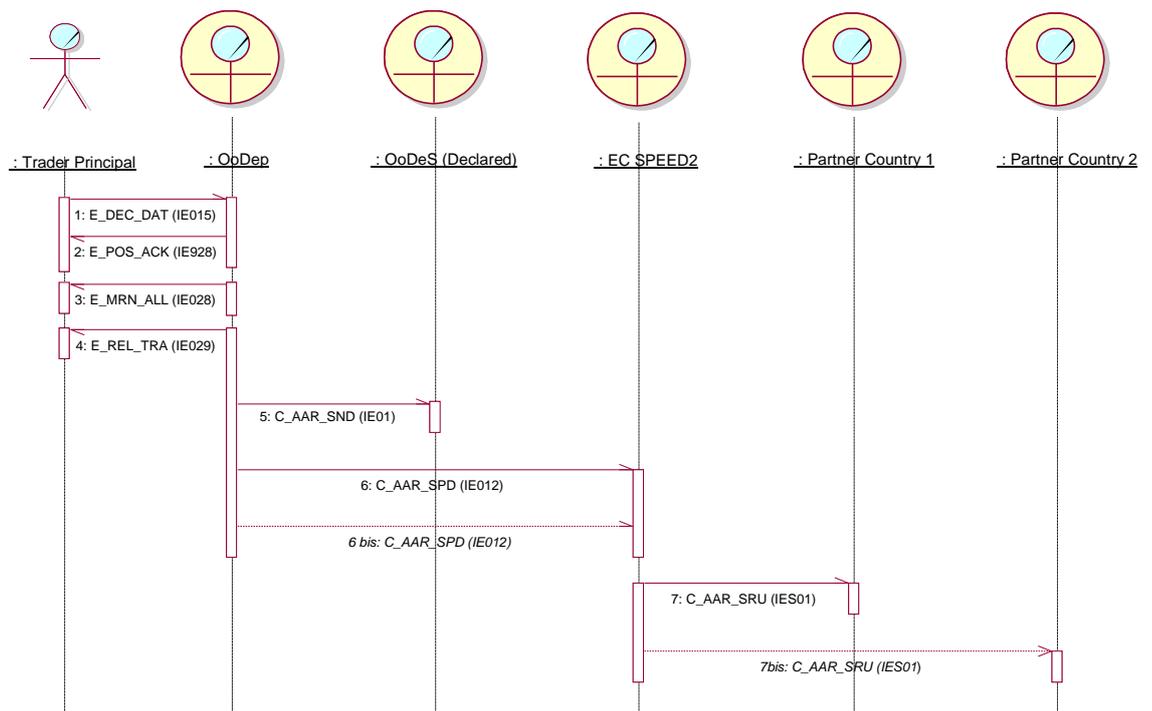
Figure 39: Core flow for NCTS TIR DATA pilot project Phase 1 (with Goods Items for two different Partner Countries)

Note: The Participating MS will send the same message IE012 to <u>different</u> CCN/CSI queues on the <u>same</u> DG TAXUD Gateway if more than one Partner Country is involved (one CCN/CSI queue per Partner Country, as defined in DDCOM).

III.I.2.9.2 Other Possible Scenarios

At NCTS level, various scenarios can be performed (e.g. Control by Office of Departure with release for Transit) for a TIR movement assuming that all rules and conditions for a TIR movement are satisfied. More information about the possible scenarios can be found in Section III.I.2.2. However, the NCTS/TIR-DATA pilot project exchanges are not affected. As soon as the movement satisfying conditions of III.I.2.9.1 is released for Transit, the Office of Departure creates a copy of AAR as an advanced arrival notification for NCTS/TIR-DATA pilot project C_AAR_SPD (IE012) and sends it to EC SPEED2 platform.

Upon the reception of advanced arrival notification for NCTS/TIR-DATA pilot project C_AAR_SPD (IE012), the EC SPEED2 Platform converts it to the agreed TIR notification C_AAR_SRU (IES01) and sends to the Partner Country.

Therefore, in all cases, the Partner Country will receive a message C_AAR_SRU (IES01) from EC SPEED2 Platform.

III.I.2.9.3 National TIR Movements

NCTS/TIR-DATA pilot project exchanges are also required for national TIR movements where the Office of Departure and the Office of Destination are located in the same EU MS. Although, no Information Exchanges are performed in such case, the Office of Departure shall create an advanced arrival notification for NCTS/TIR-DATA pilot project C_AAR_SPD (IE012) and sends it to EC SPEED2 platform upon the release of movement for Transit. C_AAR_SPD (IE012) is based on IE001B exchanged in the scope of NCTS P4.

Upon the reception of advanced arrival notification for NCTS/TIR-DATA pilot project C_AAR_SPD (IE012), the EC SPEED2 Platform converts it to the agreed TIR notification C_AAR_SRU (IES01) and sends to Partner Country.

III.I.3 State Transition Diagrams

The State Transition Diagrams for the NCTS Phase 4 are presented in the Section III.III.3.

III.I.4 Timers

Every Transit Application needs to conform to a number of timing rules. The Core Business Timers are presented in III.III.3.6.1.

Sub-Section III.II NCTS Guarantee Management

III.II.1 Introduction

III.II.1.1 Overview

The following section contains a detailed specification of the message exchange protocols to be foreseen for the Guarantee Management area. It should also be mentioned that NCTS supports the information to be exchanged in the Common Domain, between the different parties involved in Guarantee Management.

The Information Exchanges to be supported and the different parties involved are summarised in Figure 40 below. Please note that this diagram is not a Time Sequence Diagram; it is only summarising the different possible sources and destinations for the various Information Exchanges.

In particular, Figure 40 illustrates the different exchanges foreseen for Guarantee Management. These messages are exchanged within the Common Domain between the roles: Office of Departure and Office of Guarantee.

All Information Exchanges related to the External Domain, though not presented in this section, are "Recommended" to be implemented under the responsibility of the NAs. However, the External Domain Information Exchanges are presented in the Appendices.
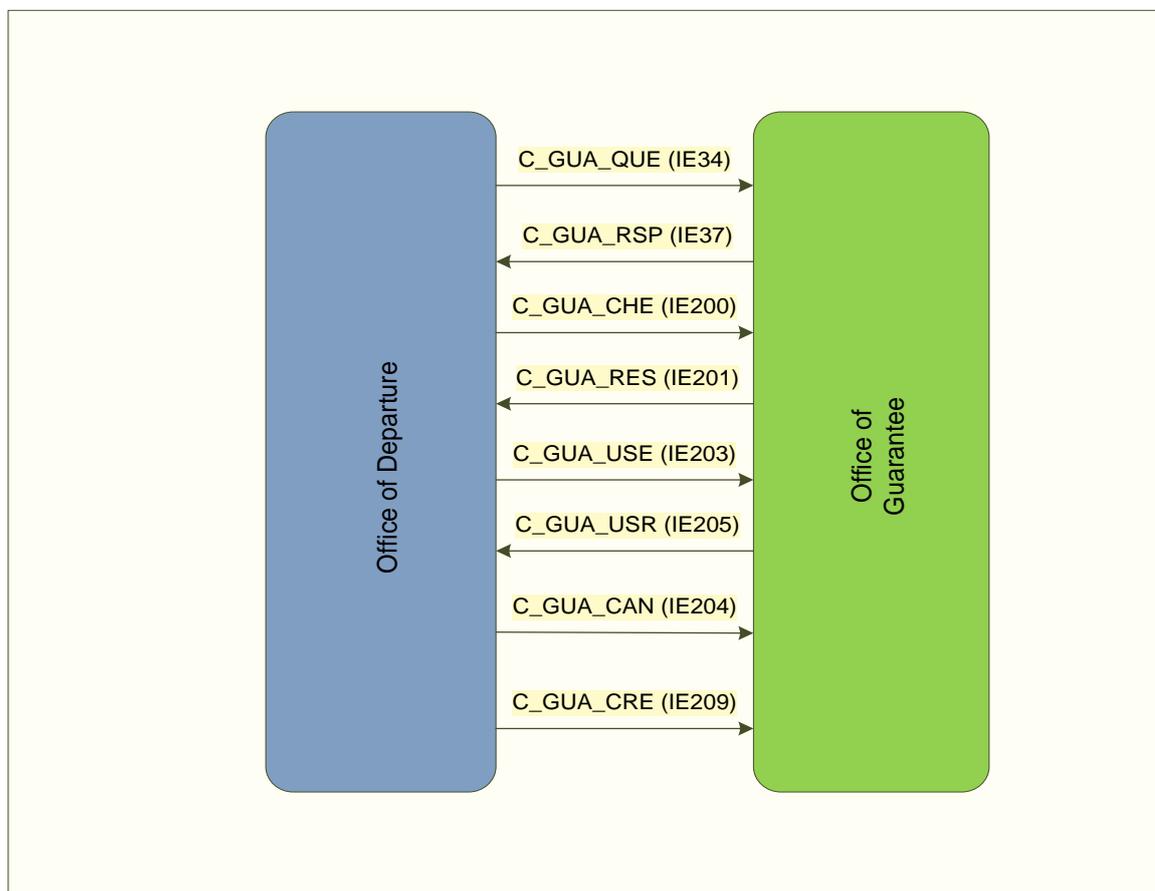
Figure 40: Overview of Information Exchange regarding the Guarantee Management

III.II.1.2 Messages Overview

In the business area 'Guarantee Management', the Common Domain Information Exchanges planned in Phase 4 are:

- Query on Guarantees C_GUA_QUE (IE034) as identified in the process thread GU10 'Process Query on Guarantees' (see FTSS [A4], Section III, Heading 1.10).
- Response Query on Guarantees C_GUA_RSP (IE037) as identified in the process thread GU10 'Process Query on Guarantees' (see FTSS [A4], Section III, Heading 1.10).
- Guarantee Check C_GUA_CHE (IE200) as identified in the process thread GU11 'Check Guarantee Integrity' (see FTSS [A4], Section III, Heading 1.11).
- Guarantee Check Result C_GUA_RES (IE201) as identified in the process thread GU11 'Check Guarantee Integrity' (see FTSS [A4], Section III, Heading 1.11).
- Guarantee Use C_GUA_USE (IE203) as identified in the process thread GU12 'Register Guarantee Usage' (see FTSS [A4], Section III, Heading 1.12).
- Guarantee Use Cancellation C_GUA_CAN (IE204) as identified in the process threads GU15 'Cancel Guarantee Usage' and GU14 'Release Guarantee' (see FTSS [A4], Section III, Heading 1.15).
- Guarantee Use Result C_GUA_USR (IE205) as identified in the process thread GU12 'Register Guarantee Usage' (see FTSS [A4], Section III, Heading 1.12).
- Credit Reference Amount C_GUA_CRE (IE209) as identified in the process thread GU13 'Credit Reference Amount' (see FTSS [A4], Section III, Heading 1.13).

III.II.1.3 Guarantee Actors

The following **roles** are defined in the Guarantee Management:

Role type	Role name	Organisation
OoDep	Office of Departure	Customs Office
OoGua	Office of Guarantee	Customs Office
Trader	Principal Trader	Principal Trader

Table 5: Role types and organisations in Guarantee Management

The Customs Office, Office of Departure, is responsible for the transit movement release and for managing specific types of guarantees, recording and processing of related data.

The Customs Office, Office of Guarantee, is responsible for the management of the comprehensive guarantees data, flat-rate guarantees and associated NCTS vouchers data, along with guarantee waiver data. The role Office of Guarantee represents either the actual central Office of Guarantee of each country or the country of guarantee. Every NA can have one or more Offices of Guarantees.

The Principal Trader can raise a query for his guarantees towards the Office of Guarantee in his country and receive a response for his query from the Office of Guarantee.

III.II.1.4 Guarantee Types

In the Common Domain, the Guarantee Management deals with the guarantee types:
- Code 0: Guarantee waiver.

- Code 1: Comprehensive guarantee.
- Code 2: Individual guarantee (by guarantor).
- Code 4: Individual guarantee in the form of vouchers.
- Code 9: Individual guarantee with multiple usage.

The above types of guarantees are governed by the Office of Guarantee. The detailed description of the above mentioned guarantee codes can be found in Section III, paragraph 1.1.2.2 of FTSS [A4].

III.II.1.5 Scenarios and Time Sequence Diagrams

The different message exchange protocols are defined as a number of message exchange scenarios, each documented by one Time Sequence Diagram.

The different possible scenarios are grouped for the main guarantee processes in the following categories:
- Query guarantees.
- Check guarantee integrity.
- Registration of guarantee usage.
- Credit of reference amount.
- Release of a guarantee.
- Cancellation of guarantee usage:
    - Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage.
    - Cancellation of guarantee registration usage due to a movement cancellation request submitted by Principal.

The scenarios for the guarantee management flow should form the basis of every implementation.

III.II.1.6 Time Sequence Diagrams versus State Transition Diagrams

The different Time Sequence Diagrams should be read in conjunction with the State Transition Diagrams that have been included in Section III.III.3. Every application should implement both Time Sequence Diagrams and State Transition Diagrams.

III.II.2 Time Sequence Diagrams

In the time sequence diagrams that follow, when more than one message starts from (or ends in) the same focus of control, this means these messages are sent (or received) shortly after each other. The arrows will appear close to each other in that case as well. Please note that in this case the sequence of sending the messages is not important.

III.II.2.1 Query on guarantees

At any moment, the Office of Departure can obtain information about guarantees managed in the Office of Guarantee as depicted in Figure 41 below. The interested party can issue a request for a Query on Guarantees, by sending the Query on Guarantees C_GUA_QUE (IE034) to the responsible Country of Guarantee.

The Office of Guarantee communicates the result of the Query on Guarantees via the Response Query on Guarantees C_GUA_RSP (IE037) to the interested parties. Also, the Principal Trader can request a Guarantee query to the responsible Country of Guarantee in his/her country and receive back information on his/her guarantees through the Response Query on Guarantees IE037 from the corresponding Office of Guarantee as depicted in Figure 42 below.
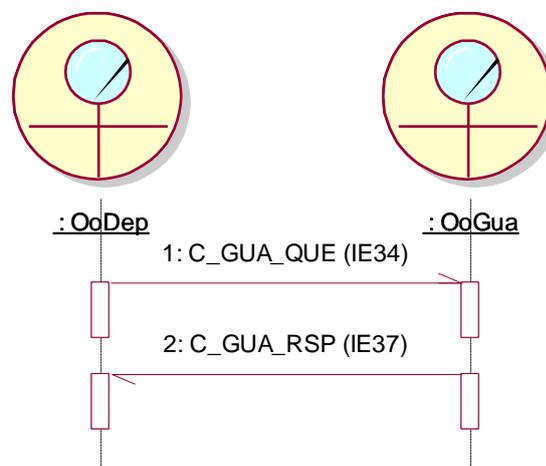
Figure 41: Query on guarantees (Common Domain)
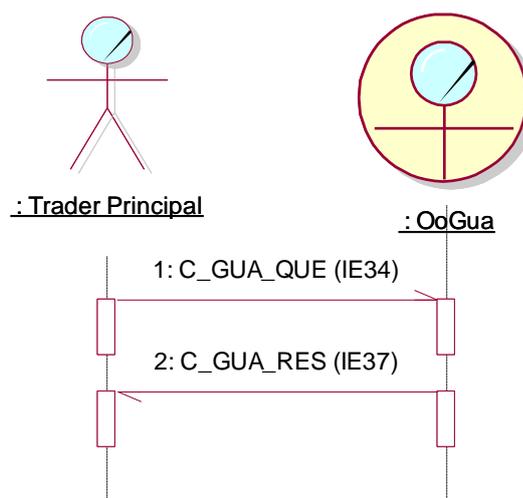
Figure 42: Query on guarantees (External Domain)

III.II.2.2 Check guarantee integrity

As part of the services required by the Customs Officers at Departure and Destination, together with the DTI Trader, functionality is required to check the validity of particular guarantees, both locally and internationally.

The Trader at Departure sends the Declaration Data E_DEC_DAT (IE015) to the Office of Departure. Upon receipt of the declaration and before accepting the declaration and allocating the MRN, the Office of Departure performs the necessary validation on the declaration data.

After the declaration data is validated and the MRN has been allocated (but the goods are not released for transit), the check for validity and integrity of the presented guarantee(s) can commence. The Office of Departure issues the request on the check of the integrity and the validity of the guarantee(s) by sending the Guarantee Check C_GUA_CHE (IE200) to each Office of Guarantee. The Office of Guarantee performs the appropriate checks and communicates the results via the Guarantee Check Result C_GUA_RES (IE201) to the interested party. Note that there are specific integrity checks for the different guarantee types.

Figure 43 below illustrates the specific scenario.
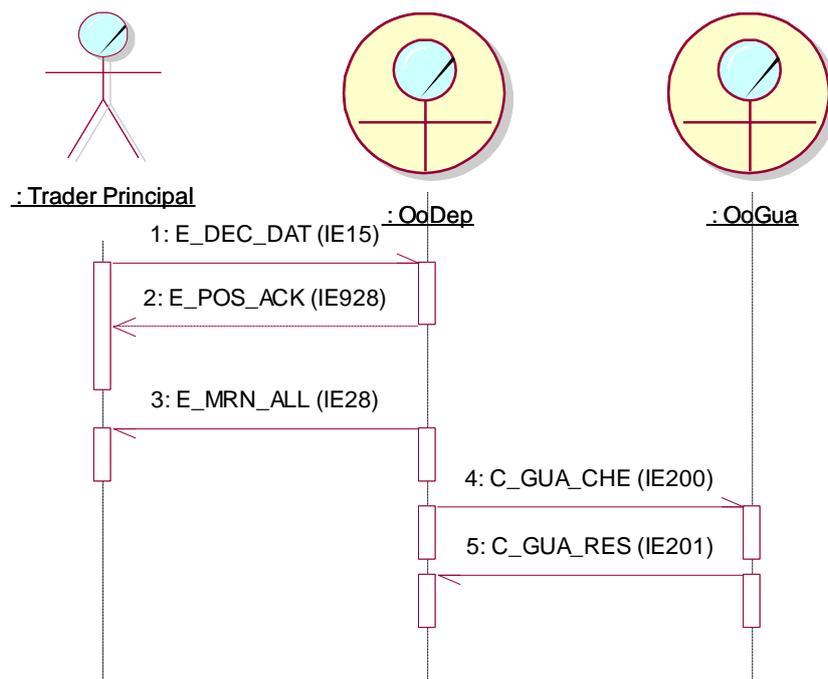
Figure 43: Check guarantee integrity

III.II.2.3 Registration of guarantee usage

The registration of the guarantee usage indicates the check and the registration of the usage of the guarantee of a transit operation in NCTS.

The Office of Departure proceeds to the check of the guarantees before proceeding with the issue of the transit transaction data. In particular, the Office of Departure selects the guarantee(s) of types '0', '1', '2', '4' and '9' and sends the guarantee(s) to each of the competent Country of Guarantee for checking and registration.

The Country of Guarantee receives the Guarantee Use C_GUA_USE (IE203) message and evaluates the guarantee data (amount, period of validity, type, etc.). The assessment of the guarantee data can result in one of the following outcomes:
- The result of the guarantee check is successful. The guarantee usage is recorded.
- The result of the guarantee check is not successful. The guarantee usage is not registered. In case of already registered guarantee the cancellation of the guarantee usage takes place.

In every case, the results of the guarantee registration usage are communicated to the Office of Departure via the Guarantee Use Result C_GUA_USR (IE205) message.

This scenario presents the case of a successful Guarantee Use Result C_GUA_USR (IE205). This means that the validation processing has been terminated successfully and the guarantee usage is registered. After the receipt of the Guarantee Use Result C_GUA_USR (IE205), the Office of Departure sends the AAR C_AAR_SND (IE001) to the Office of Destination.

Figure 44 below illustrates the sequence of the messages exchanged between the Office of Guarantee, Office of Departure, and the Office of Guarantee in regards to the registration of the guarantee usage in transit.
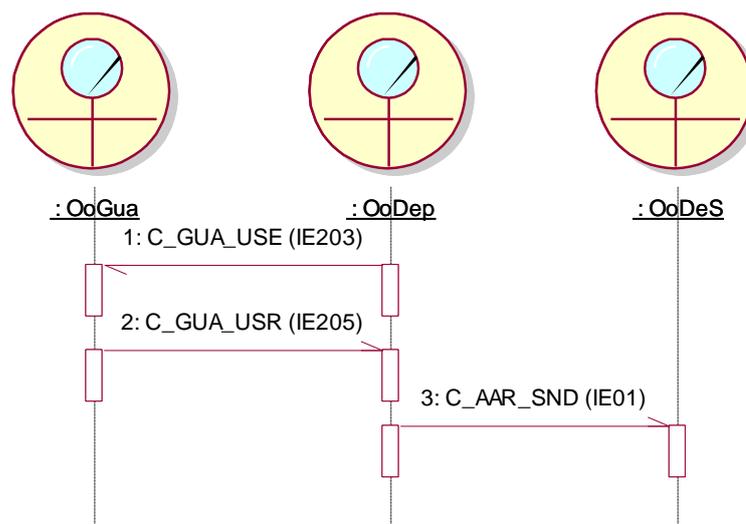
Figure 44: Registration of guarantee usage

III.II.2.4 Credit of reference amount

Upon receipt of the Arrival Advice C_AAR_ADV (IE006) at the Office of Departure in respect of a movement covered by guarantee types of '0' or '1', the Office of Departure selects the various responsible Offices of Guarantees and asks them to credit the reference amount via the Credit Reference Amount C_GUA_CRE (IE209) message. Then the Office of Guarantee credits as appropriate the locked reference amount.

The Destination Control Results C_DES_CON (IE018) is received at a later stage from the Office of Destination. In case of successful control results, the movement can be finally written-off at the Office of Departure.

The following Figure 45 depicts the exchange of the messages involved in this scenario.
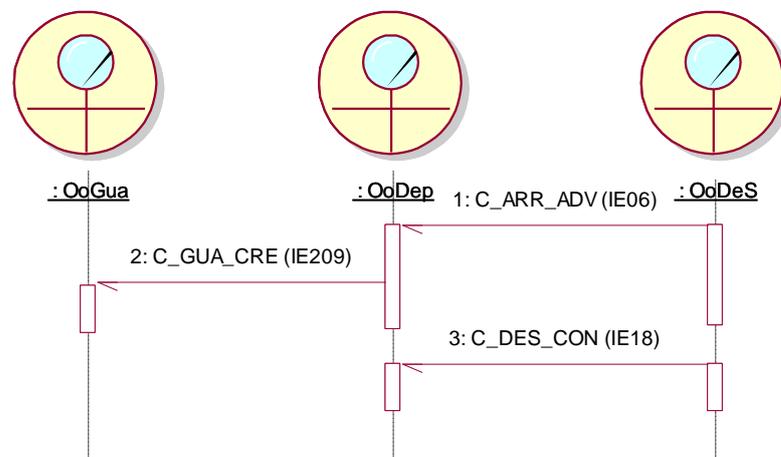
Figure 45: Credit of reference amount

III.II.2.5 Release of a guarantee

The Office of Departure asks from the Office of Guarantee the release of the guarantees that are under the responsibility of the Office of Guarantee, guarantees of types '0', '1', '2', '4', and '9'. The guarantees have to be released when the movement is written off.

In particular, upon receipt at the Office of Departure of the Destination Control Results C_DES_CON (IE018) message, with no discrepancies, the Customs Officer at the Office of Departure selects the guarantees of these types and sends them to the responsible Offices of Guarantee via the Guarantee Use Cancellation C_GUA_CAN (IE204) for the release of their usage. In the specific case of manually writing off following recovery, the IE204 triggers the credit of the reference amount before performing the usage release. The release of the guarantee is performed after the movement has been written-off and the Write-off Notification E_WRT_NOT (IE045) is sent to the Trader at Departure.

The following Figure 46 depicts the exchange of the messages involved in this scenario.
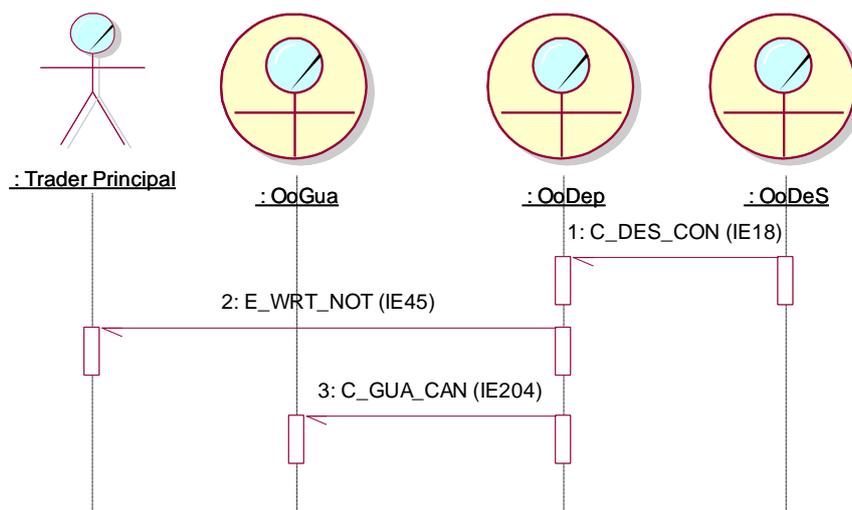
Figure 46: Release of a guarantee

III.II.2.6 Cancellation of guarantee usage

The Cancellation of the guarantee usage is triggered by various actions. In particular, a guarantee registration usage is to be cancelled for the different mentioned cases below:
   • The Guarantee Use Cancellation C_GUA_CAN (IE204) has been sent to the Office of Guarantee from the Office of Departure requesting the cancellation of the use of guarantees under the responsibility of the Office of Guarantee.
   • The Office of Departure selects the guarantees that are included in the declaration upon cancellation of the movement.

As a consequence, the following scenarios are envisaged for the cancellation of the guarantee usage:

- Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage.
- Cancellation of guarantee registration usage due to a movement cancellation request submitted by the Principal.

III.II.2.6.1 Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage

In this particular scenario, the Office of Departure deals with two kinds of guarantees: one national guarantee and one international guarantee. Therefore, when the guarantees have to be registered, the Office of Departure sends two Guarantee Use C_GUA_USE (IE203) messages, one to the National Office of Guarantee and one to the International Office of Guarantee respectively.

As depicted in Figure 47 of this scenario, the National Office of Guarantee proceeds with the check on the guarantee data (amount, type, validity period, etc.) upon receipt of the Guarantee Use C_GUA_USE (IE203) message from the Office of Departure. The guarantee registration processing reveals a successful check result on the national guarantee. Consequently the national guarantee is registered. The guarantee registration usage result is communicated to the Office of Departure via the Guarantee Use Result C_GUA_USR (IE205).

Upon the successful completion of the national guarantee registration usage at the National Office of Guarantee, the International Office of Guarantee receives the second Guarantee Use C_GUA_USE (IE203) and proceeds with the check on the international guarantee data (amount, type, validity period, etc.). This specific scenario deals with the case that the international guarantee usage cannot be registered at the International Office of Guarantee due to unsuccessful check results. The unsuccessful guarantee registration usage check results are communicated to the Office of Departure via the Guarantee Use Result C_GUA_USR (IE205).

Due to the fact that the international guarantee registration usage is not successful, the already registered national guarantee usage has to be cancelled. Therefore, the Guarantee Use Cancellation C_GUA_CAN (IE204) will be sent to the National Office of Guarantee.

Thus, if any negative Guarantee Use Result C_GUA_USR (IE205) is received, a Guarantee Use Cancellation C_GUA_CAN (IE204) must be sent in respect of each positive Guarantee Use Result C_GUA_USR (IE205) received.
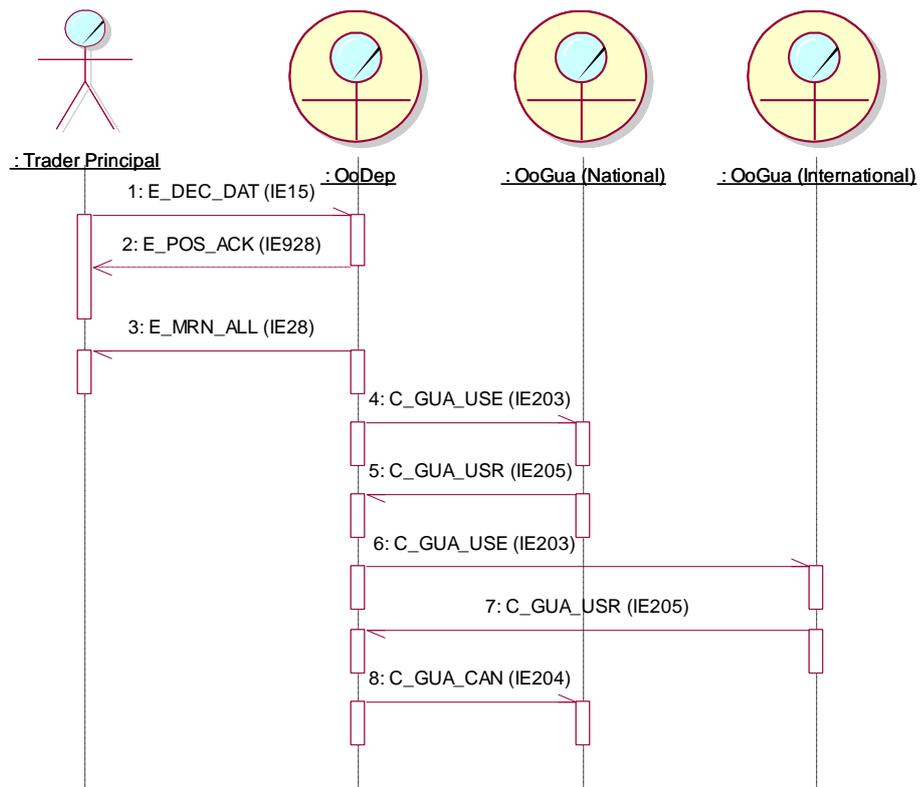
Figure 47: Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage

III.II.2.6.2 Cancellation of guarantee registration usage due to a movement cancellation request submitted by the Principal

The Principal submits a Declaration Cancellation Request E_DEC_CAN (IE014) to the Office of Departure, quoting the MRN of a movement, which has previously been accepted.

When the Customs Officer at Office of Departure accepts the cancellation request from a Principal, he/she communicates the Cancellation Decision E_CAN_DEC (IE009) confirming the cancellation of the movement to the Principal.

When the movement is cancelled, then the Office of Departure requests the Office(s) of Guarantee to cancel the already registered guarantee(s) usage (with guarantee types '0', '1', '2', '4', and '9') via the Guarantee Use Cancellation C_GUA_CAN (IE204).

A similar scenario exists when the cancellation is initiated by the Office of Departure.
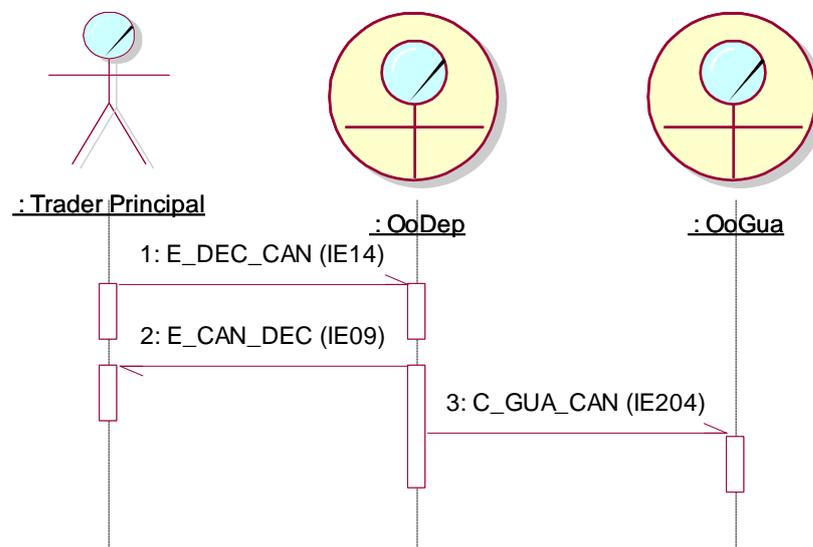
Figure 48: Cancellation of guarantee registration usage due to a movement cancellation request submitted by the Principal

III.II.3 State Transition Diagrams

The Guarantee Management states, as well as the State Transition Diagram, are presented in Chapter III.III.3.

III.II.4 Timers

The Guarantee Management business timers are presented in Chapter III.III.3.6.

Sub-Section III.III   NCTS Handle Enquiry

III.III.1 Introduction

III.III.1.1 Overview

This section is only applicable to NCTS Phase 4. This section introduces the detailed specification of the message exchange protocols foreseen for the business processes: Handle Enquiry and Handle Recovery. As well as containing the Information Exchanges, Time Sequence Diagrams and Timers related to Handle Enquiry and Handle Recovery this section also includes the State Transition Diagrams for NCTS Phase 4.

The Information Exchanges to be supported and the different parties involved are summarised in Figure 49 below. Please note that this diagram is not a Time Sequence Diagram; it is only summarising the different possible sources and destinations for the various Information Exchanges.
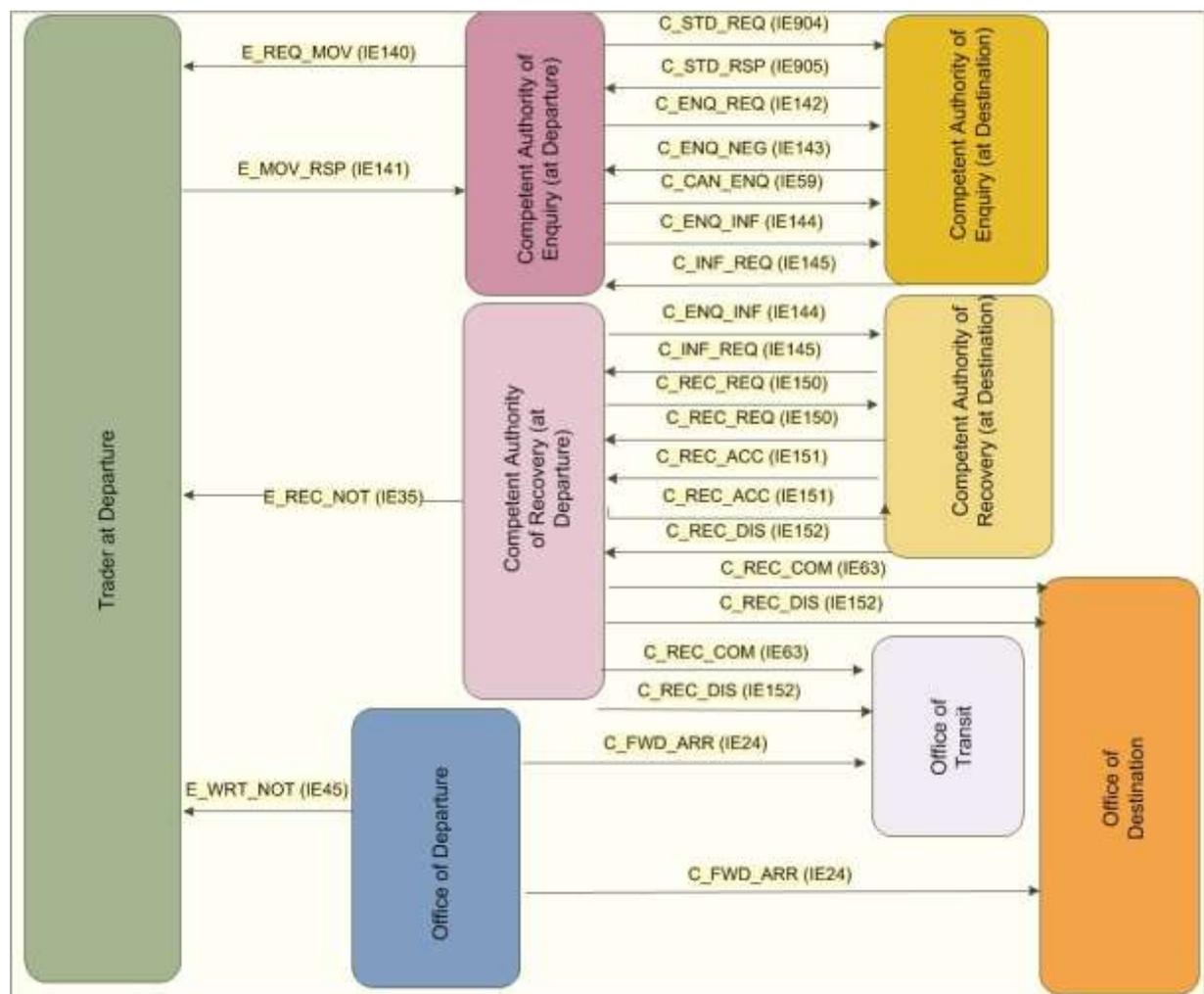
Figure 49: Overview of Information Exchange regarding Handle Enquiry and Handle Recovery

III.III.1.2 Messages Overview regarding Handle Enquiry and Handle Recovery

In the business areas Handle Enquiry and Handle Recovery, the Common Domain Information Exchanges foreseen in Phase 4 are:

- Arrival Advice C_ARR_ADV (IE006) as identified in the process threads CO041200 'Handle Status Request' and CO040800 'Carry out enquiry at requested office' (see [A4]).
- Destination control results (type A or B) C_DES_CON (IE018) as identified in the process threads CO041200 'Handle Status Request' and CO040800 'Carry out enquiry at requested office' (see [A4]).
- Forwarded Arrival advice C_FWD_ARR (IE024) as identified in the process threads CO043100 'Check Provided Information' and CO040002 'Waiting for paper control result to arrive' (see [A4]).
- Cancel Enquiry Notification C_CAN_ENQ (IE059) as identified in the process threads CO20701 'Store and forward arrival advice', CO021803 'Cancel enquiry process', CO021801 'Handle destination control results', CO040402 'Send enquiry to the indicated office', and CO040800 'Carry out enquiry at requested Office' (see [A4]).
- Recovery Communication C_REC_COM (IE063) as identified in the process threads CO050400 'Accomplish Recovery procedure at Departure' and CO050700 'Sends information to involved parties' (see [A4]).
- Enquiry Request C_ENQ_REQ (IE142) as identified in the process thread CO042100 'Send Enquiry Request – Start of enquiry procedure' and CO040402 'Send enquiry to the indicated office' (see [A4]).
- Enquiry response C_ENQ_NEG (IE143) as identified in the process thread CO040800 'Carry out enquiry at requested office' (see [A4]).
- Enquiry Information C_ENQ_INF (IE144) as identified in the process thread CO040001 'Information exchange' (see [A4]).
- Enquiry Information Request C_INF_REQ (IE145) as identified in the process thread CO040001 'Information exchange' (see [A4]).
- Recovery Request C_REC_REQ (IE150) as identified in the process threads CO050200 'Send Recovery request to the Competent Authority of Country of Destination' and CO040005 'Recovery Request from Office of Destination or any other office' (see [A4]).
- Recovery Acceptance Notification C_REC_ACC (IE151) as identified in the process threads CO050300 'Country checks competency' and CO050900 'Decide about transfer of competency' (see [A4]).
- Recovery Dispatch Notification C_REC_DIS (IE152) as identified in the process thread CO050500 'Accomplish recovery procedure at Destination' (see [A4]).
- Status Request C_STD_REQ (IE904) as identified in the process thread CO041100 'Send Status Request' (see [A4]).
- Status Response C_STD_RSP (IE905) as identified in the process thread CO041200 'Handle Status Request' (see [A4]).

III.III.1.3 Handle Enquiry and Handle Recovery Actors

The following **roles** are defined for Handle Enquiry and Handle Recovery and will be distributed via NCTS Phase 4 specific C_REF_MOD (IE032) and C_REF_DAT (IE932).

Role type	Role name	Organisation
CAEnq	Competent Authority of Enquiry	Customs Office
CARec	Competent Authority of Recovery	Customs Office
OoDep	Office of Departure	Customs Office
OoDes	Office of Destination	Customs Office
OoTra	Office of Transit	Customs Office

Table 6: Role types and organisations in Handle Enquiry and Recovery

The roles of Competent Authority of Enquiry and Competent Authority of Recovery will be defined as optional. If no such roles are defined in the Customs Office List for a given customs office, then this office is considered as competent for the enquiry and recovery processes.

III.III.1.3.1 *Competent Authority of Enquiry*

Following the exchange of Status Request and Status Response the Competent Authority of Enquiry (at Departure) asks the Competent Authority of Enquiry (at Destination) about the non-arrived movement or non-receipt of control results within the expected time by sending an Enquiry request. The Competent Authority of Enquiry (at Destination) is responsible for sending the Enquiry response and within this can notify the Competent Authority of Enquiry (at Departure) that the Competent Authority of Enquiry (at Destination) requests recovery at Destination. The Competent Authority of Enquiry (at Departure) is responsible for sending Enquiry information to the Competent Authority of Enquiry (at Destination). The Competent Authority of Enquiry (at Destination) is responsible for sending the Request for Enquiry Information to the Competent Authority of Enquiry (at Departure). Finally, the Competent Authority of Enquiry (at Departure) is responsible for sending the request on a non-arrived movement to the Trader at Departure and receiving from him/her the information about non-arrived movement.

It should be noted that only the Competent Authority of Enquiry (e.g. at Destination) is responsible for the enquiry messages communication. If no Competent Authority is specified for a customs office then the office itself is considered as competent for the enquiry processes.

III.III.1.3.2 *Competent Authority of Recovery*

The Competent Authority of Recovery (at Departure) is responsible for communicating the recovery procedure notification to all involved Customs Offices i.e. Offices of Transit and Destination. The Competent Authority of Recovery (at Departure) checks who is responsible for recovery and if it is not responsible sends a recovery request to the Competent Authority of Recovery of the country it regards as competent otherwise the Competent Authority of Recovery (at Departure) is responsible for the recovery at Departure.

If the response to the request for recovery is negative, then the Office of Departure is competent to accomplish recovery. If the response to the request for recovery at destination is positive then the Competent Authority of Recovery (at Other Country) accomplishes recovery. It is responsible for notifying the Competent Authority of Recovery (at Departure) upon the completion of recovery. The Competent Authority of Recovery (at Other Country) is also responsible for responding to a message from Competent Authority of Recovery (at Departure) requesting it to assume competence for recovery. If the response to the request for recovery is negative, then the Office of Departure is competent to accomplish recovery.

The Competent Authority of Recovery (at Other Country) can issue a request for recovery to the Competent Authority of Recovery (at Departure). It is also responsible for responding to a message from Competent Authority of Recovery (at Departure) requesting it to assume competence for recovery. If competence is accepted then it is responsible for the recovery in the other country. It is responsible for notifying the Competent Authority of Recovery (at Departure) upon the completion of recovery. The Competent Authority of Recovery (at Other Country) is responsible for sending the Request for Enquiry Information to the Competent Authority of Recovery (at Departure).

It should be noted that only the Competent Authority of Recovery (e.g. at Destination) is responsible for the recovery messages communication. If no Competent Authority is specified for a customs office then the office itself is considered as competent for the recovery processes.

III.III.1.3.3   Office of Departure

In the area of Handle of Enquiry and Recovery, the Office of Departure is responsible for the release of the transit movement. It is responsible for write-off of the movement and notifying the other offices involved in the movement when the movement has been written off.

III.III.1.3.4   Office of Destination

In the area of Handle of Enquiry and Recovery, the Office of Destination is responsible for sending a response for the indicated movement to the Competent Authority of Enquiry (at Departure) within a short time (subject to administrative agreement). The response can be one of − arrival advice, control results or return copy notification. It is notified of the commencement of the recovery procedure by the Competent Authority of Recovery (at Departure) and once the recovery is completed, it receives from the Competent Authority of Recovery (at Departure) the Recovery Dispatch Notification.

III.III.1.3.5   Office of Transit

In the area of Handle of Enquiry and Recovery the Office of Transit is notified of the commencement of the recovery procedure by the Competent Authority of Recovery (at Departure). Once the recovery is completed, it receives from the Competent Authority of Recovery (at Departure) the Recovery Dispatch Notification.

III.III.2 Time Sequence Diagrams

This section presents the Time Sequence Diagrams for Handle Enquiry and Handle Recovery as they will be supported in NCTS Phase 4. Therefore this section is divided into two sub-sections:

- Handle Enquiry Time Sequence Diagrams;
- Recovery Time Sequence Diagrams;

In the time sequence diagrams that follow, when more than one message starts from (or ends in) the same focus of control, this means these messages are sent (or received) shortly after each other. The arrows will appear close to each other in that case as well. Please note that in this case the sequence of sending the messages is not important.

III.III.2.1 Handle Enquiry

Handle Enquiry can be initiated when either the time allotted for receipt of movement arrival at destination, or the time for receipt of the control results from the Office of Destination has expired. The expiration of the timer "Time to start enquiry" which comprises both the timers for the receipt of movement arrival and the receipt of control results, is the indication that an enquiry procedure should start.

The Office of Departure defines the value of the timers when the transit transaction is issued.

The following dates are considered to trigger the enquiry process:

- The expected arrival date of the movement at the Office of Destination, the time allowed for the movement to arrive at destination, is based on the countries of Departure and Destination. The system at the Office of Departure will propose the default value to the Customs Officer who will be able to overwrite it.
- The date when the control results are expected from the Office of Destination. This date is the expected arrival date plus a grace period (a fixed number of days commonly defined by the NAs).

The "Time to start enquiry" timer stops when arrival advice is received at Office of Departure and/or control results are sent from the Office of Destination, or if Recovery is started. The specific timer can be expired manually by the Customs Officer at the Competent Authority of Enquiry (at Departure) in specific cases like a fraud suspicion or an occurrence of an abnormal incident.

The expiration of either of the above timers is the indication that Handle Enquiry should start. The Customs Officer at the Competent Authority of Enquiry (at Departure) sends a Status Request C_STD_REQ (IE904) to the (declared or actual) Office of Destination.

The master timer "recovery recommended" is initiated upon the release of the movement and its value is set to: "expected arrival date" + 7 months.

Receipt of the Arrival Advice and/or Control Results will resume the Arrival process. Otherwise the Competent Authority of Enquiry (at Departure) shall start the enquiry procedure.

The Competent Authority of Enquiry (at Departure) determines whether it has enough information to start the enquiry. If it does not it sends a Request on non-Arrived Movement E_REQ_MOV (IE140) to the Principal. The "Wait for response IE141" timer starts. The

Principal responds by sending Information about non-Arrived Movement E_MOV_RSP (IE141)[11].

Either based on the information about the movement received from the Principal or on the information it already had the Competent Authority of Enquiry (at Departure) sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

Further Enquiry Requests may be sent to other Competent Authorities of Enquiry though only one Enquiry Request is pending at any time. Throughout this section it will be treated as if the Enquiry Request C_ENQ_REQ (IE142) is only sent to one Competent Authority of Enquiry (at Destination).

At any point within Handle Enquiry the Customs Officer at the Competent Authority of Enquiry (at Departure) can request the cancellation of the Enquiry Request C_ENQ_REQ (IE142) via the Cancel Enquiry Notification C_CAN_ENQ (IE059). In that case the Customs Officer at the Competent Authority of Enquiry (at Destination) terminates each action related to the enquiry request.

If the Enquiry does not manage to produce results, the Competent Authority of Enquiry (at Destination) sends an Enquiry Response C_ENQ_NEG (IE143) to the Competent Authority of Enquiry (at Departure) specifying that the movement is unknown at Destination.

This section introduces the scenarios that take place when the "Time to start enquiry" timer expires.

The following Handle Enquiry scenarios are presented below in the form of Time Sequence Diagrams:
- Status Request with Arrival Processing Resumed
- Sufficient information – Enquiry with Arrival Processing Resumed
- Sufficient information – Enquiry with "Return Copy" returned
- Sufficient information – Enquiry with duplicate movement
- Exchange of additional information
- Sufficient information – Enquiry where Destination requests recovery
- Sufficient information – Enquiry with movement unknown at Destination – Principal contacted
- Insufficient information – alternative proof and movement closed
- Insufficient information – Enquiry started- Recovery started
- Insufficient information – Principal provides negative response
- Enquiry in the case of suspected fraud
- Cancellation of Enquiry Request

All scenarios following Handle Enquiry which involve Handle Recovery are described in the section III.III.2.2. The master-timer 'Recovery recommended' will expire and Competent Authority of Recovery (at Departure) determines which country is competent for recovery.

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[11] If the Principal does not respond within the time allowed it is considered as a negative response.

III.III.2.1.1 *Status Request with Arrival Processing Resumed*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Expected arrival date" timer starts.

This scenario describes the case where the Arrival Advice C_ARR_ADV (IE006) has not been received at the Office of Departure when the "Expected arrival date" timer has expired. In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

In the scenario shown in Figure 50, the Competent Authority of Enquiry (at Destination) identifies from the state of the movement at the Office of Destination that the goods have been released. The Office of Destination sends the Arrival Advice C_ARR_ADV (IE006) and Control Results C_DES_CON (IE018) to the Office of Departure.

It should be noted that within this scenario there are two other possible conclusions. First that initially only the Arrival Advice C_ARR_ADV (IE006) is sent. Secondly if the Arrival Advice C_ARR_ADV (IE006) had already been sent and the timer for receipt of Control Results C_DES_CON (IE018) expired, then the Control Results C_DES_CON (IE018) is sent.

In the Status Request C_STD_REQ (IE904), the state anterior to the enquiry states ("movement released" and "arrived") is placed. In this way, the Destination will always know which of the messages C_ARR_ADV (IE006), C_DES_CON (IE018) needs to be sent to the Office of Departure.
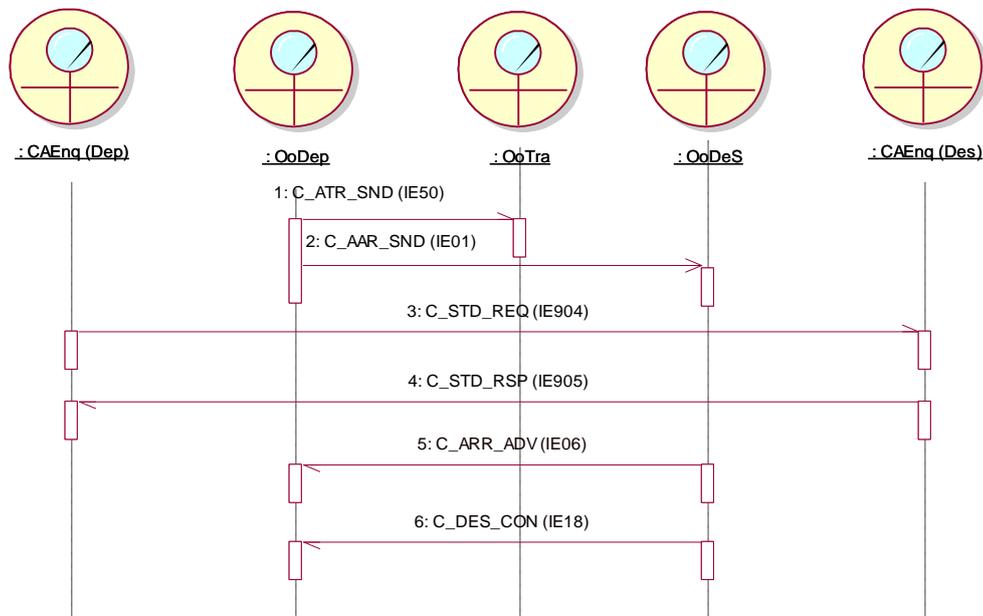
Figure 50: Status Request with Arrival Processing Resumed

III.III.2.1.2 *Sufficient information – Enquiry with Arrival Processing Resumed*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Time to start enquiry" timer expires.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Based on the information that the Competent Authority of Enquiry (at Departure) has about the movement, it sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

In this scenario the Competent Authority of Enquiry (at Destination) now locates the movement and, as a consequence, the normal arrival process is resumed. The Office of Destination sends the Arrival Advice C_ARR_ADV (IE006) and Control Results C_DES_CON (IE018) to the Office of Departure.

Note that in this instance the Enquiry Response C_ENQ_NEG (IE143) does not need to be sent.

- If the Office of Departure receives an Arrival Advice C_ARR_ADV (IE006) from an Office of Destination which is different from the Competent Authority of Enquiry that has received the Enquiry Request C_ENQ_REQ (IE142), the Cancel Enquiry Notification C_CAN_ENQ (IE059) shall be sent to the Competent Authority of Enquiry that has received the IE142 but has not responded yet (see Figure 51), even if the Office of Destination that sent the IE006 and the Competent Authority of Enquiry are located in the same country. A similar exchange shall be applied if the IE142 was sent after the IE006 (due to the absence of IE018).
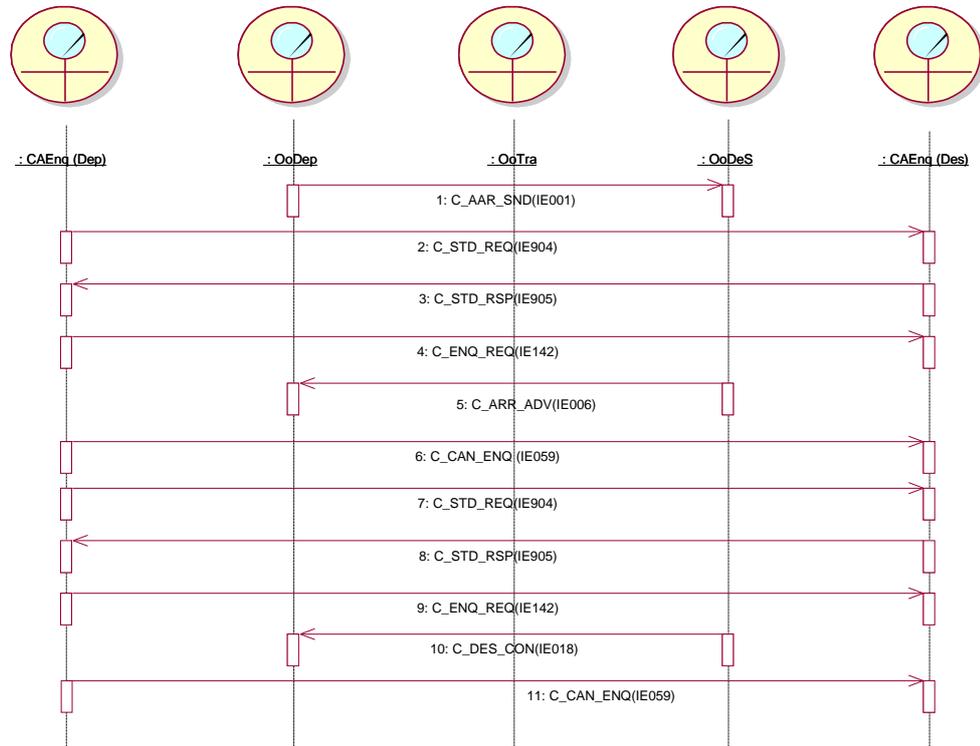
Figure 51: Sufficient information – Enquiry with Arrival Processing Resumed

- If the Office of Departure receives an Arrival Advice C_ARR_ADV (IE006) from an Office of Destination which also plays the role of Competent Authority of Enquiry, the Cancel Enquiry Notification C_CAN_ENQ (IE059) shall not be sent to this Customs Office that received the IE142 and responded with IE006 (see Figure 52).
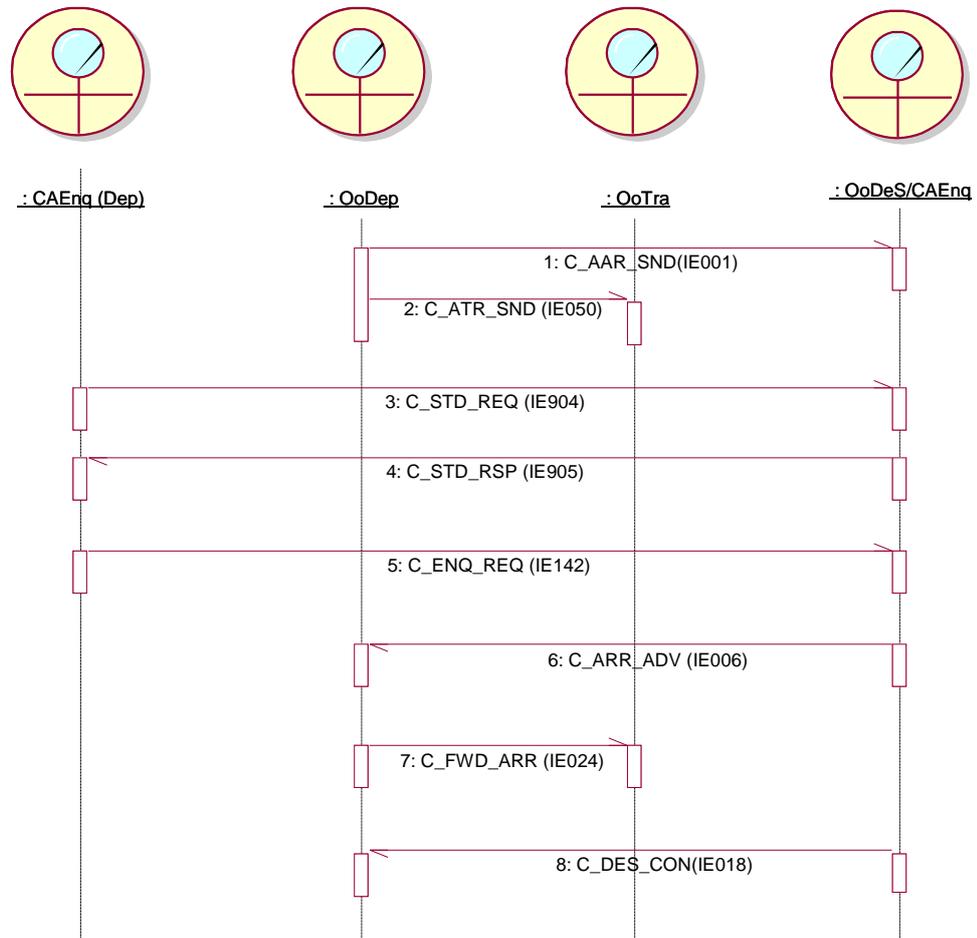
Figure 52: Sufficient information – Enquiry with Arrival Processing Resumed (OoDes plays also the role of CAEnq(Des))

III.III.2.1.3   *Sufficient information – Enquiry with "Return Copy" returned*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Time to start enquiry" timer expires.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Based on the information that the Competent Authority of Enquiry (at Departure) has about the movement, it sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

In this scenario the Competent Authority of Enquiry (at Destination) now locates the movement but in this rare case it is not possible to send the Arrival Advice C_ARR_ADV (IE006) and Control Results C_DES_CON (IE018) so the Enquiry Response C_ENQ_NEG (IE143) is sent indicating that "return copy returned on" and the paper control results are sent. When the control results have arrived, the movement is written off manually and all the involved offices are informed by sending the Forward Arrival Advice C_FWD_ARR (IE024) as defined in chapter III.I.2.2.12.
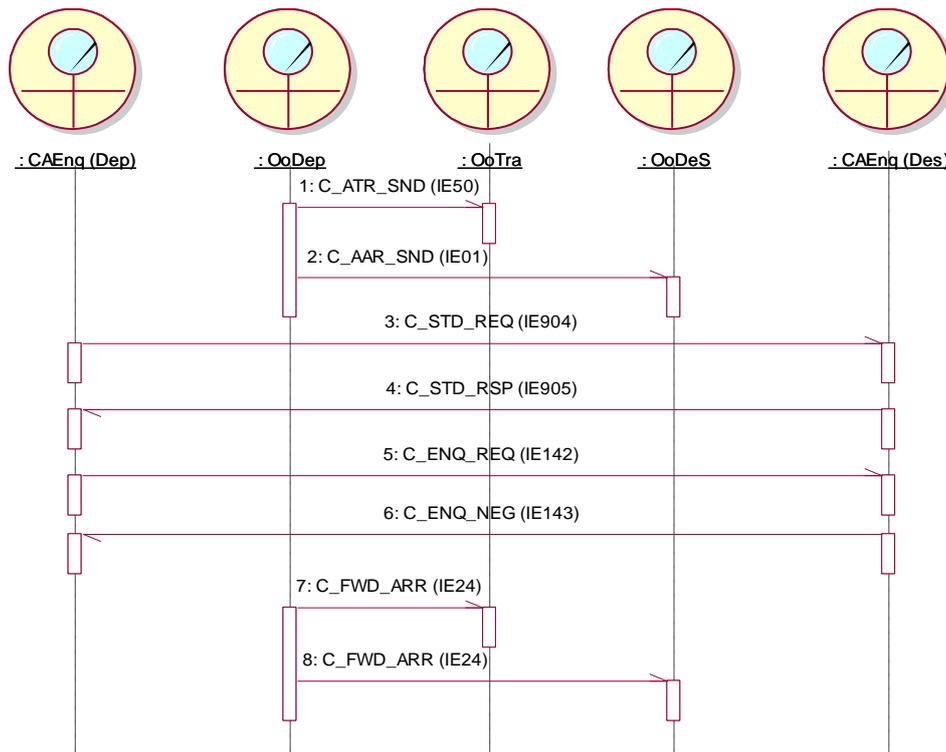
Figure 53: Sufficient information – Enquiry with "Return Copy" returned

III.III.2.1.4   *Sufficient information – Enquiry with duplicate movement*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Time to start enquiry" timer expires.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Based on the information that the Competent Authority of Enquiry (at Departure) has about the movement, it sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

The Competent Authority of Enquiry (at Destination) sends an Enquiry Response C_ENQ_NEG (IE143) indicating that the movement is a duplicate[12].

At this point, the Office of Departure can take the decision to cancel the duplicated movement or to make a further investigation. In the case shown in the following sequence diagram, the Office of Departure takes the decision to cancel the movement and the C_CAN_NOT (IE010) is sent to the Office of Destination and to all Offices of Transit.
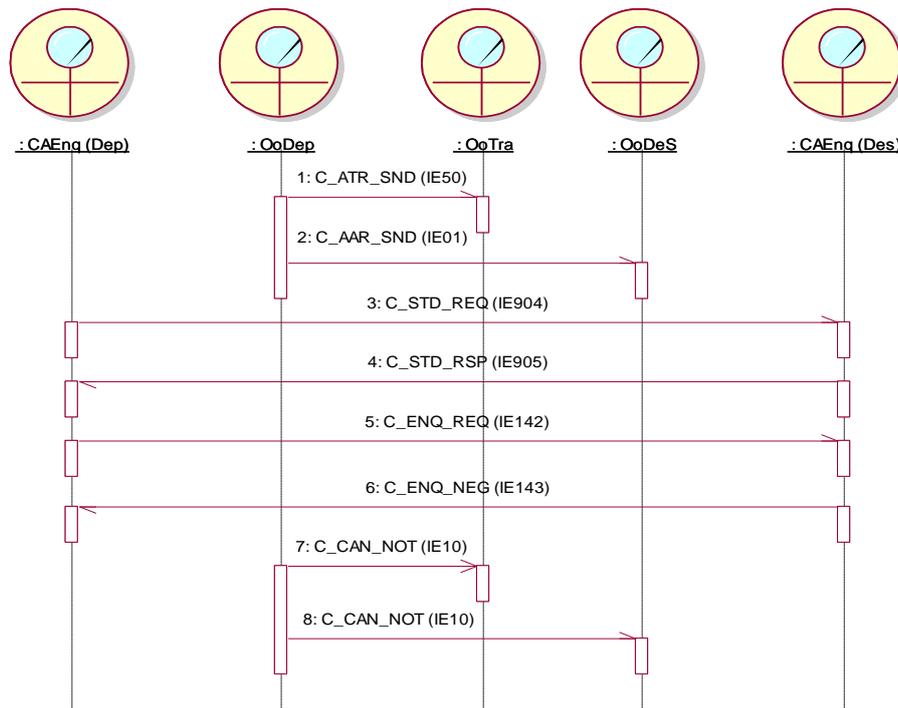
Figure 54: Sufficient information – Enquiry with duplicate movement

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[12] In particular two MRNs for the same consignment.

III.III.2.1.5 Sufficient information – Enquiry with movement unknown at Destination – Principal contacted

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Time to start enquiry" timer expires.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Based on the information that the Competent Authority of Enquiry (at Departure) has about the movement, it sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

The Competent Authority of Enquiry (at Destination) sends an Enquiry Response C_ENQ_NEG (IE143) indicating that the movement is unknown. The Competent Authority of Enquiry (at Departure) does not have sufficient information and therefore sends a Request on Non-Arrived Movement E_REQ_MOV (IE140) to the Principal. The Principal responds with an Information about Non-Arrived Movement E_MOV_RSP (IE141).

Processing can continue as shown in the three scenarios that follow (III.III.2.1.6, III.III.2.1.7 and III.III.2.1.8). In the present scenario, the response of the Trader via the E_MOV_RSP (IE141) enables the Customs Officer to write off the movement. Upon this action, the Forward Arrival Advice C_FWD_ARR (IE024) is sent to all the involved Offices.
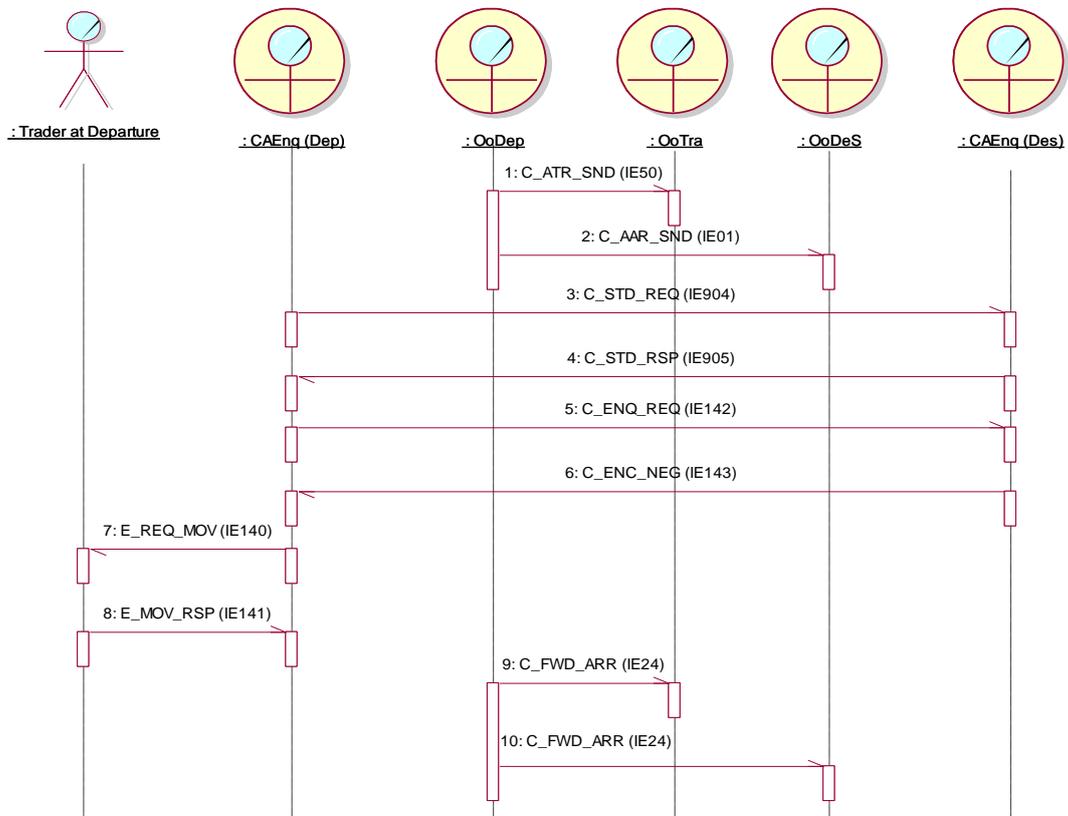
Figure 55: Sufficient information – Enquiry with movement unknown at Destination – Principal contacted

III.III.2.1.6   *Insufficient information – alternative proof and movement closed*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Time to start enquiry" timer expires.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Due to the insufficient information that the Competent Authority of Enquiry (at Departure) has about the movement, it requests information about the non-arrived movement by sending a Request on non-Arrived Movement E_REQ_MOV (IE140) to the Principal. The "Wait for response IE141" timer starts. The Principal responds by sending an alternative proof and the Customs Officer at the Competent Authority of Enquiry (at Departure) will be enabled to write off the movement manually as defined in chapter III.I.2.2.12. Upon this action the Forward Arrival Advice C_FWD_ARR (IE024) is sent to all the involved Offices.
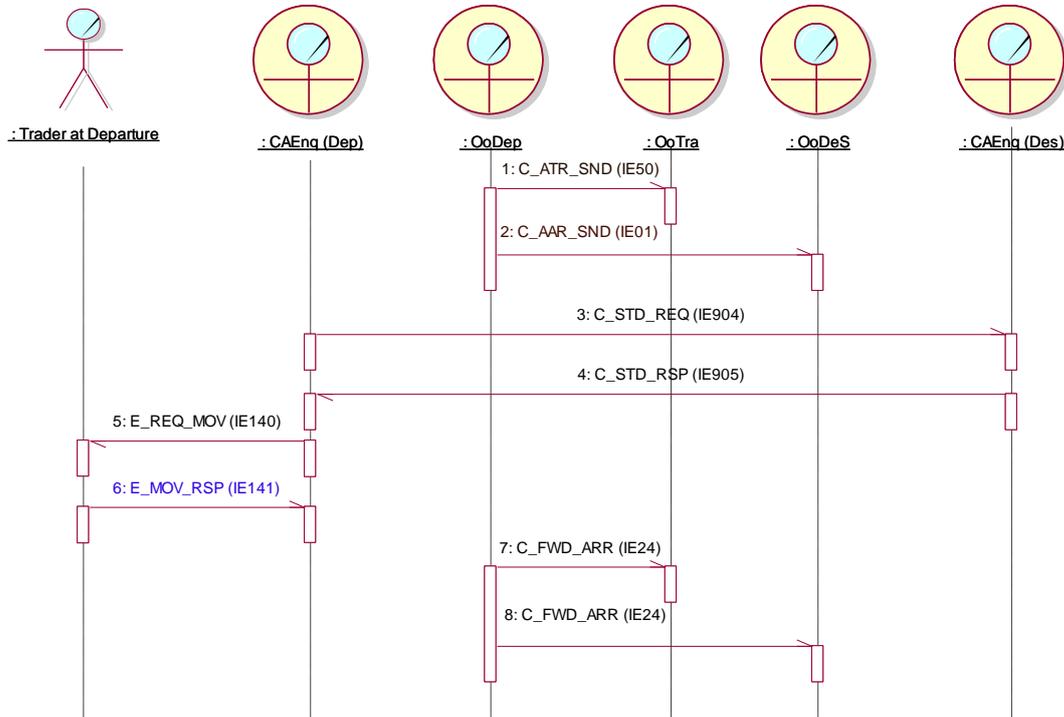
Figure 56: Insufficient information – alternative proof and movement closed

Note: This scenario intends to test the exchange of the messages for cancelling an open enquiry request and when the Customs Officer at the Competent Authority of Enquiry (at Departure) opened an enquiry at the Competent Authority of Enquiry (at Destination) before it decides to write off the movement manually, closing the movement upon registration of alternative proof, the message Cancel Enquiry Notification C_CAN_ENQ (IE059) will be sent to the Competent Authority of Enquiry (at Destination) and the Forward Arrival Advice C_FWD_ARR (IE024) to the Office of Destination (and Office(s) of Transit if applicable).

III.III.2.1.7 *Insufficient information – Enquiry started - Recovery started*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Time to start enquiry" timer expires.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Declared Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

The Competent Authority of Enquiry (at Departure) requests information about the non-arrived movement by sending a Request on non-Arrived Movement E_REQ_MOV (IE140) to the Principal. The "Wait for response IE141" timer starts. The Principal responds by sending an Information about non-Arrived Movement E_MOV_RSP (IE141) that contains the Presentation Office.

Based on the information provided by the trader, the Competent Authority of Enquiry (at Departure) sends the Status Request C_STD_REQ (IE904) to the Competent Authority of Enquiry (at Actual Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

The Competent Authority of Enquiry (at Departure) continues the enquiry procedure with an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Actual Destination). The Competent Authority of Enquiry (at Actual Destination) sends an Enquiry Response C_ENQ_NEG (IE143), indicating that the movement is unknown at Destination. The Competent Authority of Recovery (at Departure) is competent for recovery and all the involved offices related to the movement are notified for the recovery via the C_REC_COM (IE063).

Once the recovery is completed the Competent Authority for Recovery (at Departure) informs all the Offices that have received the Recovery Notification C_REC_COM (IE063) by sending Recovery Dispatch Notification C_REC_DIS (IE152).

Please note that:

- the sending of the C_STD_REQ (IE904) is strongly recommended to be performed before the enquiry process but it is an obligation of the Customs Officer. The NTA may send the IE904 automatically when the timer 'Time to Start Enquiry' expires. But, the automatic sending of the IE142 by the NTA at Departure - immediately after the expiration of this timer - is not possible.
- the enquiry procedure shall be started on the basis of the decision of a customs officer either with the principal by sending IE140 message or with the declared office of destination by sending IE142 message, depending on the information available.
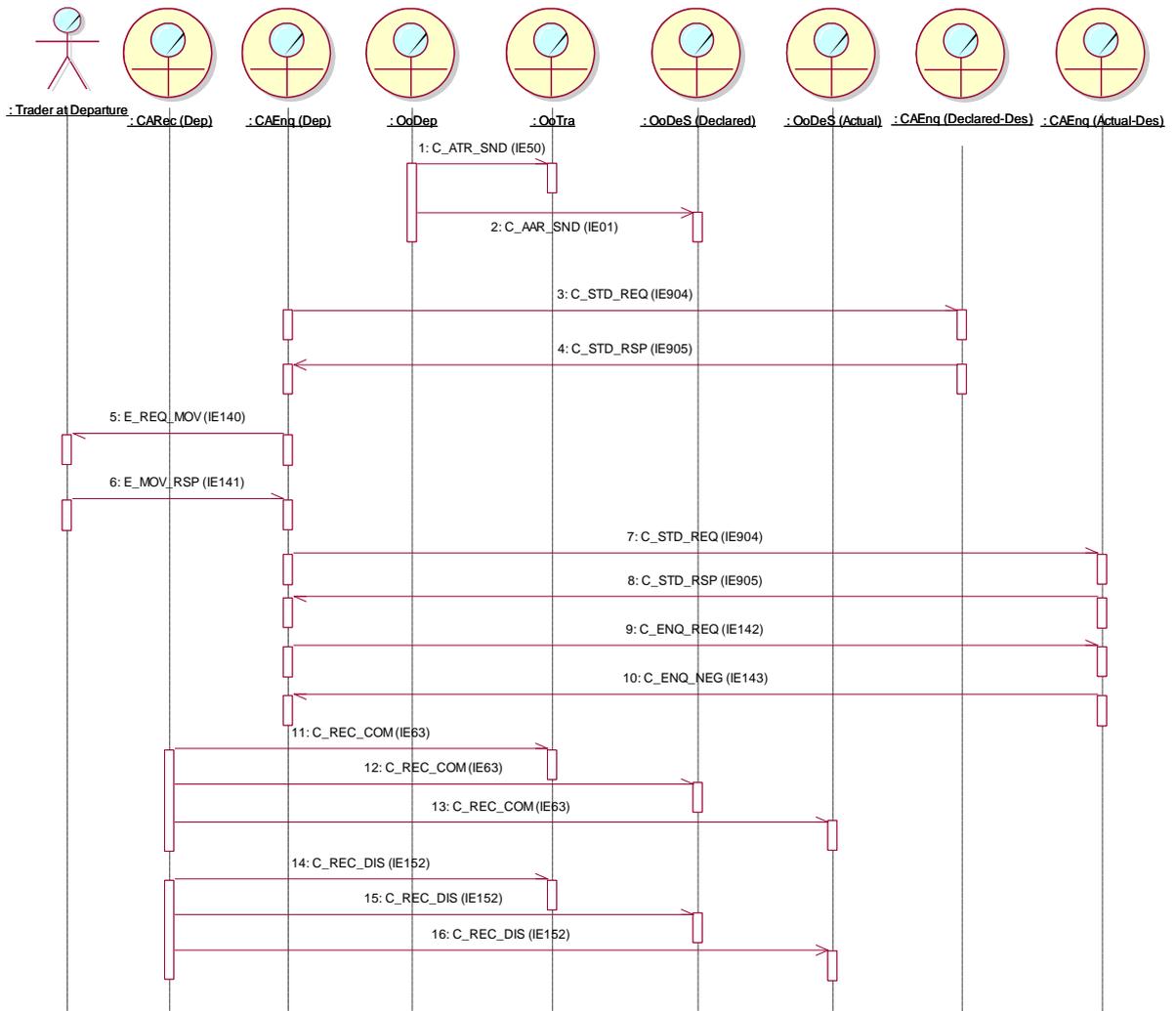
Figure 57: Insufficient information – Enquiry started- Recovery started

III.III.2.1.8   *Insufficient information – Principal provides negative response*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit. The "Time to start enquiry" timer expires.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

The Competent Authority of Enquiry (at Departure) requests information about the non-arrived movement by sending a Request on non-Arrived Movement E_REQ_MOV (IE140) to the Principal. The "Wait for response IE141" timer starts. The Principal responds by sending an Information about non-Arrived Movement E_MOV_RSP (IE141). In this scenario the information provided by the Principal legitimates a recovery.[13] The Competent Authority of Recovery (at Departure) is competent for recovery and all the involved offices related to the movement are notified for the recovery via the C_REC_COM (IE063).

Once the recovery is completed the Competent Authority for Recovery (at Departure) informs all the Offices that have received the Recovery Notification C_REC_COM (IE063) by sending Recovery Dispatch Notification C_REC_DIS (IE152).
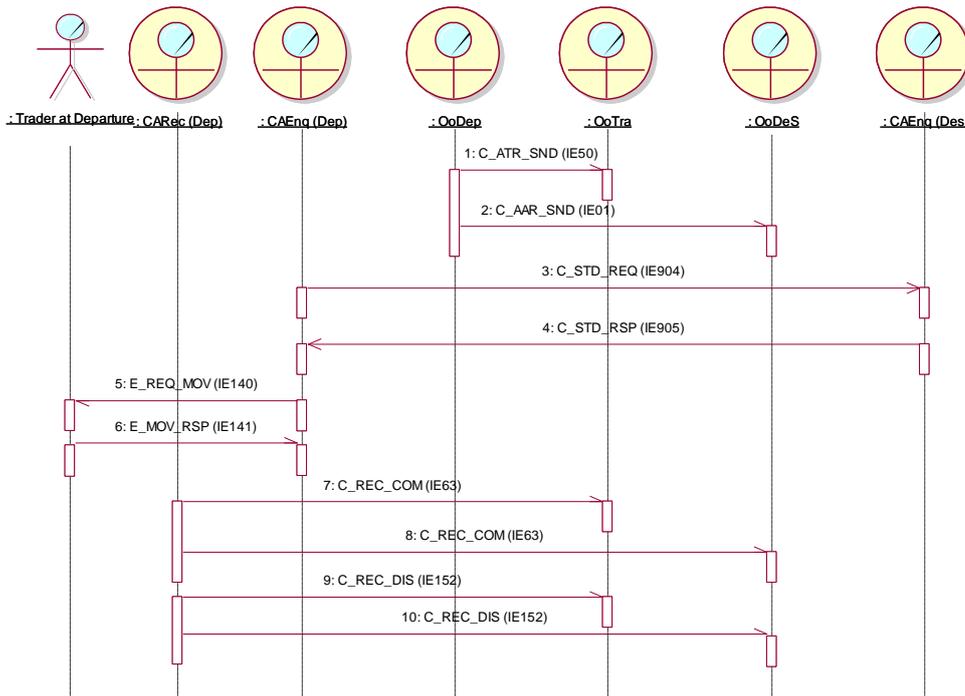
Figure 58: Insufficient information – Principal provides negative response

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[13] If the Principal does not respond before the expiration of the timer "Wait for IE0141 response" it is treated as a negative response. The scenario would be the same as sending a negative response.

III.III.2.1.9 *Enquiry in the case of suspected fraud*

This is an exceptional scenario that may occur when the Customs Officer suspects that a fraud or another abnormal incident may have taken place.

While the movement is under the "Movement released" or the "Arrived" state, and despite the fact that the respective timers "Expected Arrival Date" or "Expected Control Results" have not expired, the Customs Officer can initiate the Handle Enquiry process with a manual expiration of the timers.

Upon this action, the "Expected Arrival Date"/"Expected Control Results" timers are expired and the Competent Authority of Enquiry (at Departure) sends the Status Request C_STD_REQ (IE904) to the Country of the Office of Destination. NCTS at the Country of the Office of Destination automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Competent Authority of Enquiry (at Departure) issues the Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.
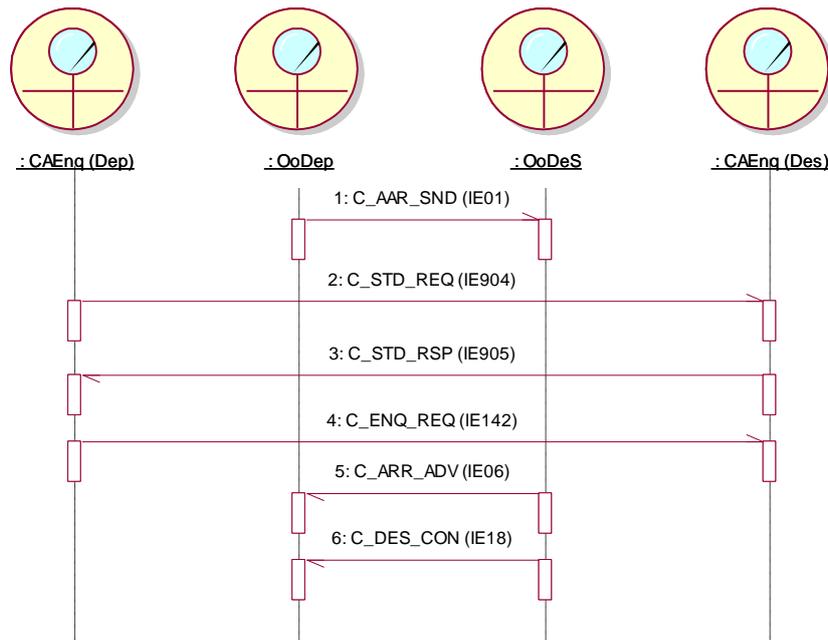
Figure 59: Enquiry in case of suspected fraud

III.III.2.1.10 Cancellation of Enquiry Request

Various cases can occur:

a) At any time after the Handle Enquiry has been started, the Competent Authority of Enquiry (at Departure) can interrupt the enquiry process by sending the Enquiry Cancellation C_CAN_ENQ (IE059) to the Competent Authority of Enquiry (at Destination). Upon receipt of the Enquiry Cancellation C_CAN_ENQ (IE059) each investigation concerning the enquiry is terminated.

b) In the case the Competent Authority of Enquiry (at Departure) has sent an Enquiry Request C_ENQ_REQ (IE142) to a Competent Authority of Enquiry (at Destination) and the timer "Wait for enquiry response" expires with no Enquiry Response C_ENQ_NEG (IE143) received, the Enquiry Request C_ENQ_REQ (IE142) has to be cancelled by the Competent Authority of Enquiry (at Departure) by sending the Enquiry Cancellation C_CAN_ENQ (IE059).

c) In the case the Competent Authority of Enquiry (at Departure) intends to extend the enquiry by the same Competent Authority, a new Enquiry Request C_ENQ_REQ (IE142) may be sent, but the Competent Authority of Enquiry (at Departure) must first send the IE059 to this same Competent Authority of Enquiry.

The above three cases are illustrated by the Figure 60:
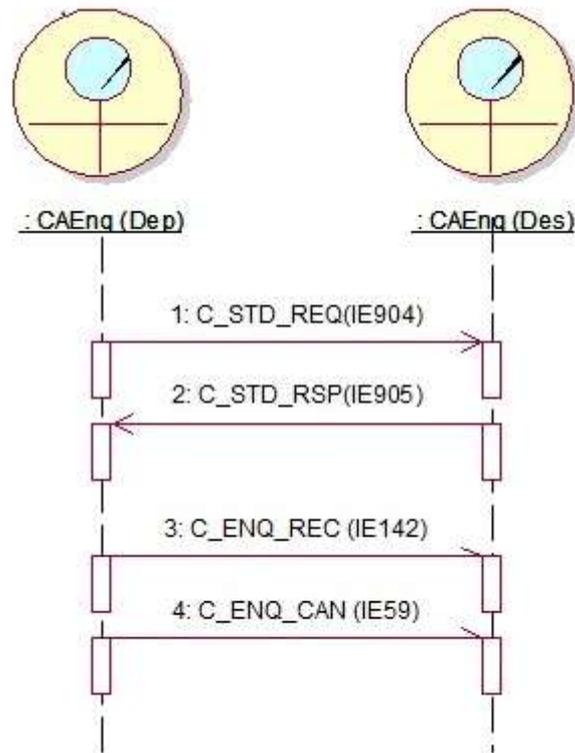
Figure 60: Cancellation of Enquiry Request

d) As soon as the Arrival Advice C_ARR_ADV (IE006) or the Destination Control Results C_DES_CON (IE018) is received from an Office of Destination which is different from the Office that received the Enquiry Request C_ENQ_REQ (IE142), the Competent Authority of Enquiry (at Departure) shall automatically cancel the Enquiry Request C_ENQ_REQ (IE142) by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Competent Authority of Enquiry (if the Enquiry Request C_ENQ_REQ (IE142) has not been responded yet).
The above case is illustrated by the Figure 51 in Section III.III.2.1.2

The following two exceptional cases (e, f) can also occur:

e) In the case Paper Control Results C_RES_PAP (IE0110) is received by the Office of Departure from the Actual Office of Destination, the Enquiry Request C_ENQ_REQ (IE142) has to be cancelled by the Competent Authority of Enquiry (at Departure) by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Competent Authority of Enquiry that has previously received an Enquiry Request C_ENQ_REQ (IE142) but has not responded with an IE143 yet. Afterwards, the movement can be written-off manually as described in Section III.I.2.2.12.

f) In the case the Trader provides an alternative proof to the Office of Departure regarding the release of goods at destination, and upon acceptance from the Office of Departure, the Enquiry Request C_ENQ_REQ (IE142) has to be cancelled by the Competent Authority of Enquiry (at Departure) by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Competent Authority of Enquiry that has previously received an Enquiry Request C_ENQ_REQ (IE142) but has not responded yet.

g) In the case where the movement moves to the "Recovery recommended" state at Departure, the Competent Authority of Enquiry (at Departure) shall cancel any open enquiry by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Office that has previously received an Enquiry Request C_ENQ_REQ (IE142) but has not yet responded.
This case is also illustrated by the Figure 60 above.

h) In the case:
- the Competent Authority of Enquiry (at Departure) has sent an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination) before the exchange of the Arrival Advice C_ARR_ADV (IE006) or the Destination Control Results C_DES_CON (IE018),
- and, the Office of Destination also plays the role Competent Authority of Enquiry,
- and, the Office of Destination send the Arrival Advice C_ARR_ADV (IE006) or the Destination Control Results C_DES_CON (IE018),
then the Cancel Enquiry Notification C_CAN_ENQ (IE059) shall not be sent by the Competent Authority of Enquiry (at Departure) (i.e. the IE059 will be rejected with IE906 as out-of-sequence if it is received for this movement).
This case is illustrated by the Figure 52 in Section III.III.2.1.2.

III.III.2.1.11 *Exchange of additional information*

The exchange mechanism of the Enquiry Information C_ENQ_INF (IE144) and Enquiry Information Request C_INF_REQ (IE145) can be applied only during the Enquiry and Recovery procedures of the NCTS Phase 4.

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit.

Either the Competent Authority of Enquiry (at Departure) or the Competent Authority of Enquiry (at Destination) can initiate the exchange, and no reply is mandatory as the initial message may be only information.

In this scenario the Competent Authority of Enquiry (at Departure) sends the Status Request C_STD_REQ (IE904) to the Competent Authority of Enquiry (at Destination). The second one automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Based on the information that the Competent Authority of Enquiry (at Departure) has about the movement, it sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

Before receiving an Enquiry Response C_ENQ_NEG (IE143), the Competent Authority of Enquiry (at Departure) sends Enquiry Information C_ENQ_INF (IE144) to the Competent Authority of Enquiry (at Destination).

The Competent Authority of Enquiry (at Destination) requests further information by sending Enquiry Information Request C_INF_REQ (IE145) to the Competent Authority of Enquiry (at Departure). The Competent Authority of Enquiry (at Departure) sends Enquiry Information C_ENQ_INF (IE144) to the Competent Authority of Enquiry (at Destination). The Competent Authority of Enquiry (at Destination) after the receipt of the Enquiry Information can send an Enquiry Response C_ENQ_NEG (IE143).

It should be noted that only the Departure can send the Enquiry Information (IE144) and only the Destination can send Enquiry Information Request (IE145). The Enquiry Information (IE144) and the Enquiry Information Request (IE145) are not correlated and any of them can be sent spontaneously. In addition, the use of IE144/ IE145 messages is allowed after the enquiry procedure has been started and until the enquiry (or recovery) procedure is completed.
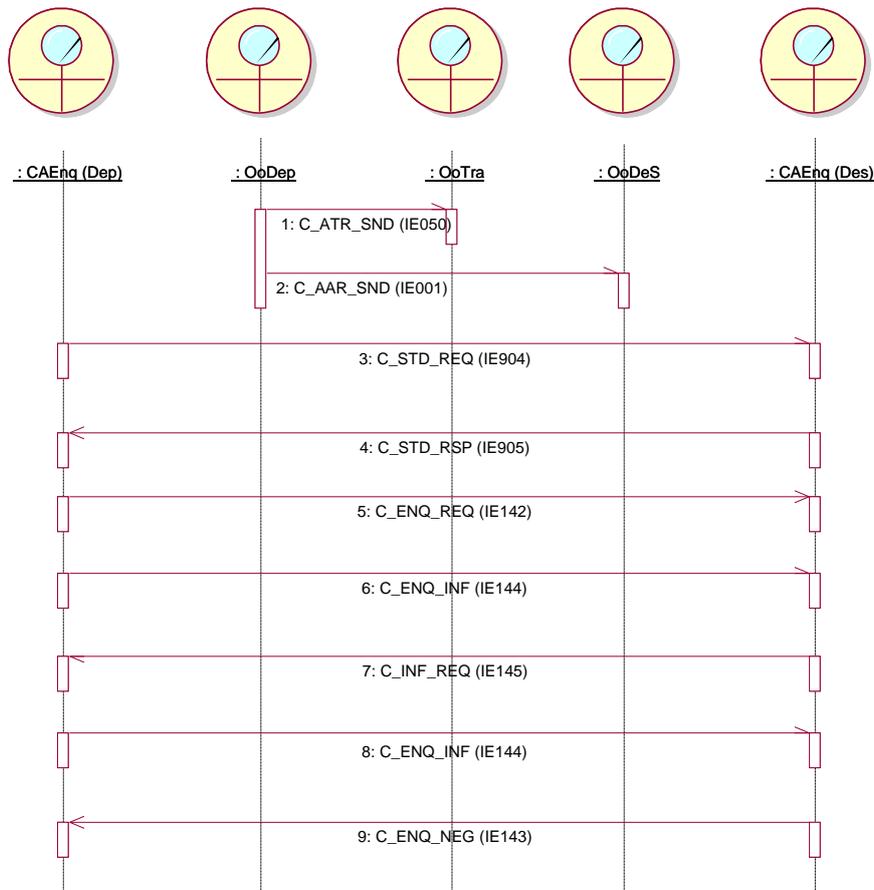
Figure 61: Exchange of additional information

III.III.2.2 Recovery

Recovery usually starts as a follow up to the Enquiry procedure but it can also be initiated in any state after the movement release in specific cases like when a Customs Officer in the Competent Authority suspects that a fraud or another abnormal incident took place. There are a number of events that will trigger the start of Recovery:

- The expiration of the timer "Recovery recommended";
- The receipt of a recovery request from the Competent Authority of Recovery of another country (including the country of Destination);
- A request on non-arrived movement has been sent by the Competent Authority of country of departure to the Trader at Departure and:
  - o Trader has not sent any information about non-arrived movement;
  - o Trader has sent insufficient information;
  - o Trader has sent information that legitimates a recovery.
- An enquiry response is received from the Competent Authority of country of Destination requested to perform a recovery at destination;
- In other specific cases after the movement is released, where the customs officer has reasons to start recovery.

Upon the expiration of the master-timer 'Recovery recommended' the Competent Authority of Recovery (at Departure) determines which country is competent for recovery. If the Country of Departure is competent it shall carry out the recovery.

In case the Competent Authority of Recovery (at Departure) is not competent a Recovery Request C_REC_REQ (IE150) is sent to the Competent Authority of Recovery in another country. It is possible that this country has already played a role (transit or destination) in NCTS for this movement, but it is also possible that the movement is unknown in NCTS for this country. The Competent Authority of Recovery in the other country responds by sending the message 'Recovery acceptance notification' C_REC_ACC (IE151). If the requested Competent Authority is competent it will start the recovery procedure. Otherwise the Competent Authority of Recovery (at Departure) will accomplish the recovery.

The Competent Authority of Recovery in another country may also decide that it is competent and will send a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery (at Departure). The latter responds with the message 'Recovery acceptance notification' C_REC_ACC (IE151). If the message contains a positive response the competency is transferred to the Competent Authority of Recovery in another country who undertakes the recovery. If the message contains a negative response the Competent Authority of Recovery (at Departure) retains the responsibility for recovery.

Following an Enquiry the Competent Authority of Enquiry (at Destination) may respond with a request for Recovery at Destination. The Competent Authority of Recovery (at Departure) responds with the message 'Recovery acceptance notification' C_REC_ACC (IE151). If the message contains a positive response the competency is transferred to the Competent Authority of Recovery (at Destination) who undertakes the recovery. If the message contains a negative response the Competent Authority of Recovery (at Departure) retains the responsibility for recovery.

Upon the beginning of the recovery process, irrespectively of the place that this process will be carried out, the Competent Authority of Recovery (at Departure) informs all involved parties about the recovery by sending a Recovery Communication C_REC_COM (IE063). The IE063 shall be sent to all the countries that have received any of the IE001, IE050, IE003 and IE115 messages. Additionally, the IE063 shall not be sent to the country that has received a positive IE151. If the Office of Transit and the Office of Destination belong to the same country, the Recovery Communication C_REC_COM (IE063) shall be sent once.

Following the completion of Recovery the Competent Authority of Recovery in either the country of Destination, Transit or the country of Actual Destination - will notify the Competent Authority of Recovery (at Departure) by sending a Recovery Dispatch Notification C_REC_DIS (IE152), which is also forwarded by the Competent Authority of Recovery (at Departure) to all the Offices that had previously received the Recovery Communication C_REC_COM (IE063).

In case the Recovery is accomplished at Departure, the Competent Authority of Recovery (at Departure) informs all the Offices that have received the Recovery Notification C_REC_COM (IE063) by sending Recovery Dispatch Notification C_REC_DIS (IE152).

The following Handle Recovery scenarios are presented below in the form of Time Sequence Diagrams:
- Early Recovery in specific cases

- Recovery at Destination – Destination's Recovery request accepted
- Recovery at Departure – Destination's Recovery Request rejected
- Recovery at Other Country – Other Country's Recovery Request accepted
- Recovery at Departure – Other Country's Recovery Request rejected
- Recovery at Departure – Departure Recovery request sent to other country rejected
- Recovery at Other Country – Departure Recovery request sent to other country accepted

III.III.2.2.1 *Early Recovery in specific cases*

This is a scenario that may occur when the Customs Officer decides to start the recovery in special cases (e.g. a fraud or another abnormal incident may have taken place).

After the movement has been released, and despite the fact that the respective timers "Expected Arrival Date", "Expected Control Results", "Wait for enquiry response", "Wait for response IE141", have not expired, the Customs Officer can initiate the Handle Recovery process by manually expiring the timer "Recovery recommended". Upon this action all the aforementioned timers are stopped.

The Customs Officer at the Competent Authority of the Recovery (at Departure) may decide perform the recovery at departure and send the C_REC_COM (IE063) to Office of Destination and all Offices of Transit or may decide to send a Recovery request C_REC_REQ (IE150) to another office.

In the scenario below, the recovery process is performed at departure. The Recovery Notification C_REC_COM (IE063) is sent to all the offices involved in the movement. The Principal is also notified about the recovery upon the receipt of the E_REC_NOT (IE035) from the Competent Authority of Recovery (at Departure).

Once the recovery is completed the Competent Authority for Recovery (at Departure) informs all the Offices that have received the Recovery Notification C_REC_COM (IE063) by sending Recovery Dispatch Notification C_REC_DIS (IE152).

The Trader is informed from Departure for the write-off of the movement via the E_WRT_NOT (IE045).
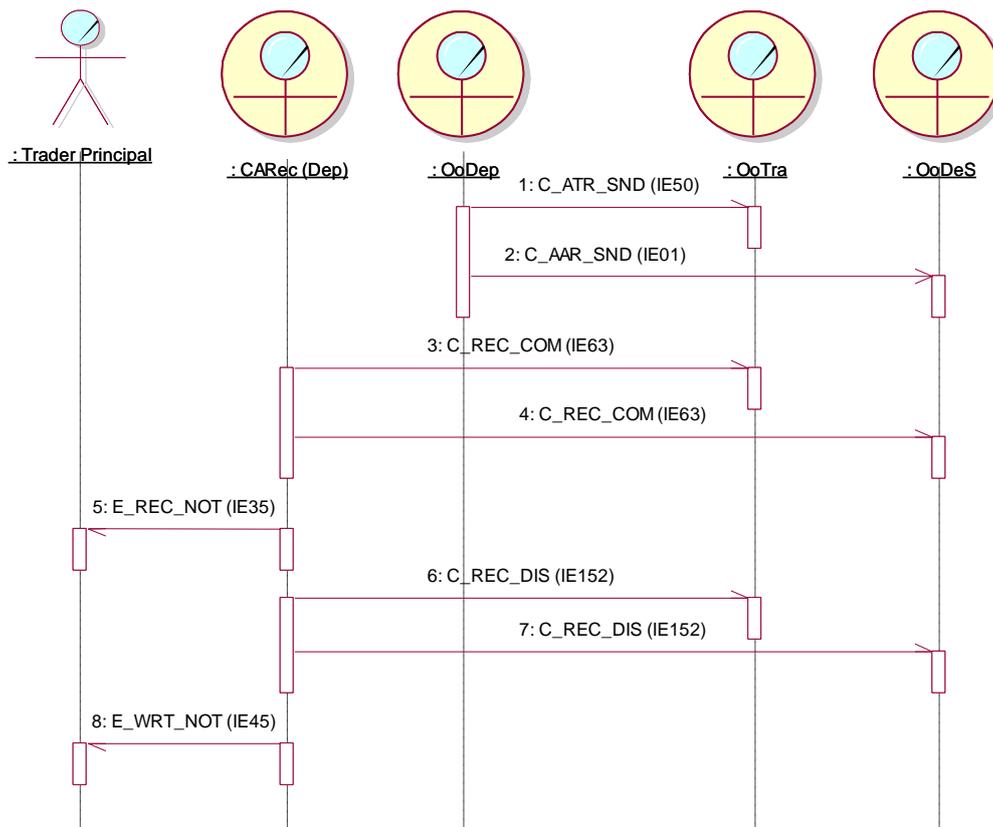
Figure 62: Early Recovery in specific cases

III.III.2.2.2 Recovery at Destination - Destination's Recovery Request accepted

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Based on the information that the Competent Authority of Enquiry (at Departure) has about the movement, it sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

The Competent Authority of Enquiry (at Destination), based on the information received, assumes itself responsible for recovery, and sends an Enquiry Response C_ENQ_NEG (IE143) to the Competent Authority of Enquiry (at Departure) requesting recovery at Destination.

In this scenario the Competent Authority of Recovery (at Departure) decides that the Competent Authority of Recovery (at Destination) is competent and sends it a positive Recovery Acceptance Notification C_REC_ACC (IE151) and informs all involved parties

apart from this received the positive C_REC_ACC (IE151) about the recovery by sending a Recovery Communication C_REC_COM (IE063). The Competent Authority of Recovery (at Departure) informs the Principal by sending the Recovery Notification E_REC_NOT (IE035).

Once the recovery is completed the Competent Authority for Recovery (at Destination) informs the Competent Authority of Recovery (at Departure) by sending Recovery Dispatch Notification C_REC_DIS (IE152), which is also forwarded by the Departure to all the Offices that had previously received the Recovery Communication C_REC_COM (IE063). The Trader is informed from Departure for the write-off of the movement via the E_WRT_NOT (IE045).
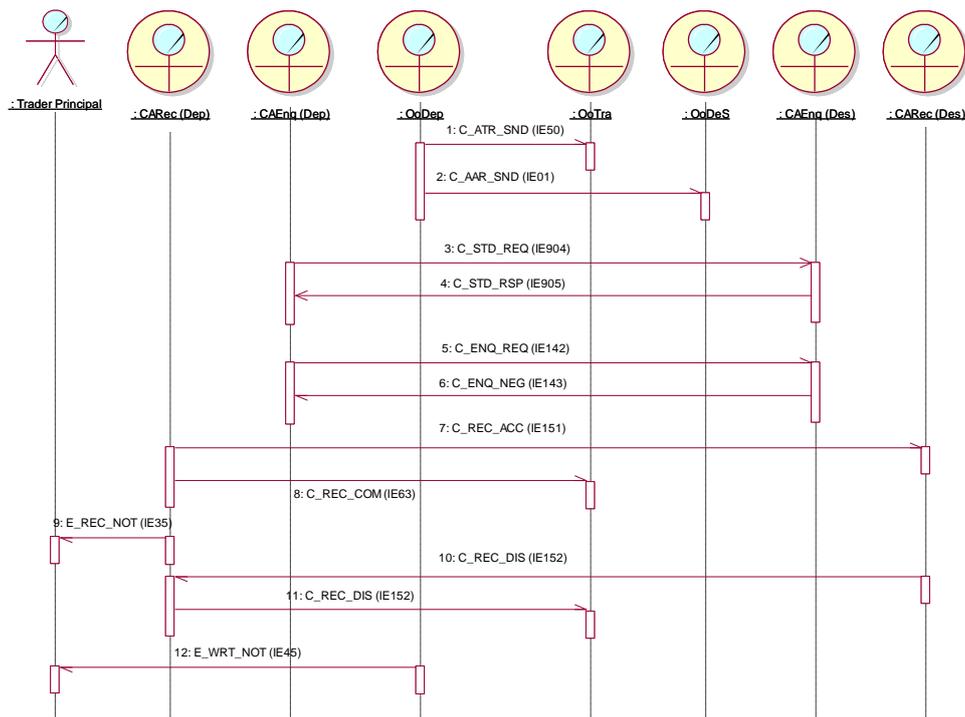
Figure 63: Recovery at Destination – Destination's Recovery Request accepted

III.III.2.2.3   *Recovery at Departure –Destination's Recovery Request rejected*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit.

In this case the Status Request C_STD_REQ (IE904) is sent to the Competent Authority of Enquiry (at Destination). This office automatically sends the Status Response C_STD_RSP (IE905) to the Competent Authority of Enquiry (at Departure).

Based on the information that the Competent Authority of Recovery (at Departure) has about the movement, it sends an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination). The "Wait for enquiry response" timer starts.

The Competent Authority of Enquiry (at Destination), based on the information received, assumes itself responsible for recovery, and sends an Enquiry Response C_ENQ_NEG (IE143) to the Competent Authority of Recovery (at Departure) requesting recovery at Destination.

In this scenario the Competent Authority of Recovery (at Departure) decides that the Competent Authority of Recovery (at Destination) is not competent and sends it a negative Recovery Acceptance Notification C_REC_ACC (IE151).

The Competent Authority of Recovery (at Departure) decides that it is competent and starts the recovery procedure, and informs all involved parties about the recovery by sending a Recovery Communication C_REC_COM (IE063). The Competent Authority of Recovery (at Departure) informs the Principal by sending the Recovery Notification E_REC_NOT (IE035).

Once the recovery is completed the Competent Authority for Recovery (at Departure) informs all the Offices, which have previously received the Recovery Notification C_REC_COM (IE063), by sending Recovery Dispatch Notification C_REC_DIS (IE152).

The Trader is also informed from Departure for the write-off of the movement via the E_WRT_NOT (IE045).

Figure 64: Recovery at Departure – Destination's Recovery Request rejected

III.III.2.2.4 *Recovery at Other Country – Other Country's Recovery Request accepted*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit.

The Competent Authority of Recovery in other Country, based on the information it has assumes itself responsible for recovery, and sends a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery (at Departure).

In this scenario the Competent Authority of Recovery (at Departure) decides that the Competent Authority of Recovery in the other Country is competent and sends it a positive Recovery Acceptance Notification C_REC_ACC (IE151) and informs all involved parties, apart from the one that received the positive IE151, about the recovery by sending a Recovery Communication C_REC_COM (IE063). The Competent Authority of Recovery (at Departure) informs the Principal by sending the Recovery Notification E_REC_NOT (IE035).

Once the recovery is completed the Competent Authority for Recovery in the other country informs the Competent Authority of Recovery (at Departure) by sending Recovery Dispatch Notification C_REC_DIS (IE152) which is also forwarded by the Departure to all the Offices that had previously received the Recovery Communication C_REC_COM (IE063). The Trader is informed from Departure for the write-off of the movement via the E_WRT_NOT (IE045).

Figure 65: Recovery at Other Country – Other Country's Recovery Request accepted

III.III.2.2.5 *Recovery at Departure – Other Country's Recovery Request rejected*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit.

The Competent Authority of Recovery at other Country, based on the information it has assumes itself responsible for recovery, and sends a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery (at Departure).

In this scenario the Competent Authority of Recovery (at Departure) decides that the Competent Authority of Recovery in the other Country is not competent and sends it a negative Recovery Acceptance Notification C_REC_ACC (IE151).

The Competent Authority of Recovery (at Departure) decides that it is competent and starts the recovery procedure, and informs all involved parties about the recovery by sending a Recovery Communication C_REC_COM (IE063). The Competent Authority of Recovery (at Departure) informs the Principal by sending the Recovery Notification E_REC_NOT (IE035).

Once the recovery is completed the Competent Authority for Recovery (at Departure) informs all the Offices, which have previously received the Recovery Notification C_REC_COM (IE063), by sending Recovery Dispatch Notification C_REC_DIS (IE152).

The Trader is also informed from Departure for the write-off of the movement via the E_WRT_NOT (IE045).


Figure 66: Recovery at Departure – Other Country's Recovery Request rejected

III.III.2.2.6   *Recovery at Departure – Departure Recovery request sent to other country rejected*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit.

The Competent Authority of Enquiry (at Departure) decides that an irregularity took place in another country, and sends a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery in another Country[14]. The "Wait for Recovery Acceptance Notification" timer starts.

In this scenario the Competent Authority of Recovery in the other Country decides that it is not competent and sends a negative Recovery Acceptance Notification C_REC_ACC (IE151) to the Competent Authority of Recovery (at Departure).

Following the negative response the Competent Authority of Recovery (at Departure) starts the recovery procedure, and informs all involved parties about the recovery by sending a Recovery Communication C_REC_COM (IE063). The Competent Authority of Recovery (at Departure) informs – the Principal by sending the Recovery Notification E_REC_NOT (IE035).

Once the recovery is completed the Competent Authority for Recovery (at Departure) informs all the Offices, which have previously received the Recovery Notification C_REC_COM (IE063), by sending the Recovery Dispatch Notification C_REC_DIS (IE152).

The Trader is also informed from Departure for the write-off of the movement via the E_WRT_NOT (IE045).

The same message exchanges appear also in the case that the timer "Wait for Recovery Acceptance Notification" expires and the Competent Authority of Recovery in the other Country has not sent the C_REC_ACC (IE151).

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[14] The "other Country" can be the country of the Office of Transit (or even the Office of Destination), or another country based on information provided by the Principal. The scenario is the same whichever country is sent the IE150.
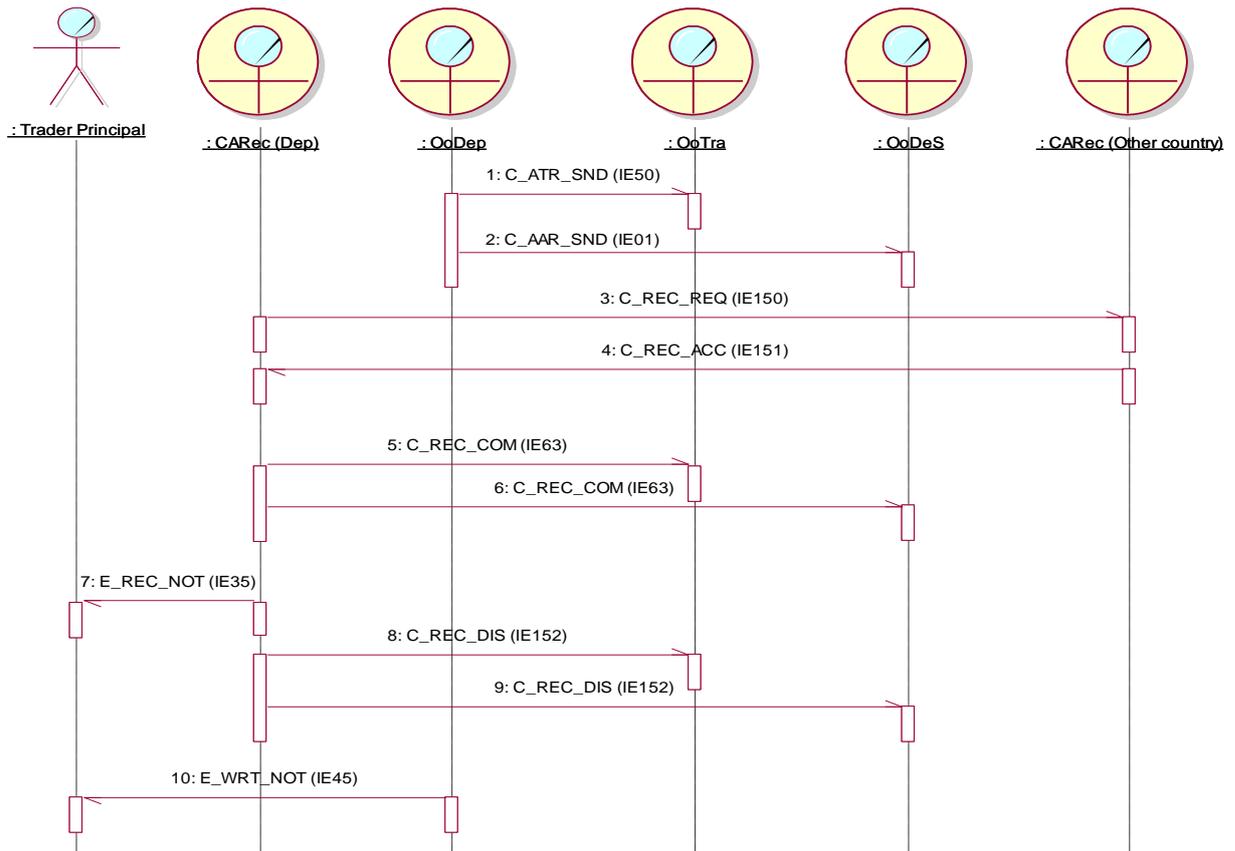
Figure 67: Recovery at Departure – Departure Recovery request sent to other country rejected

III.III.2.2.7 *Recovery at Other Country – Departure Recovery request sent to other country accepted*

The movement is released for Transit and the AAR C_AAR_SND (IE001) is sent from the Office of Departure to the Declared Office of Destination. The ATR C_ATR_SND (IE050) is sent to all Offices of Transit.

The Competent Authority of Recovery (at Departure) decides that the irregularity took place in another country, and sends a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery in another Country. The "Wait for Recovery Acceptance Notification" timer starts.

In this scenario the Competent Authority of Recovery in the other Country decides that it is competent and sends a positive Recovery Acceptance Notification C_REC_ACC (IE151) to the Competent Authority of Recovery (at Departure). The Competent Authority of Recovery (at Departure) informs all involved parties about the recovery by sending a Recovery Communication C_REC_COM (IE063).

The Competent Authority of Recovery (at Departure) informs – the Principal by sending the Recovery Notification E_REC_NOT (IE035).

Once the recovery is completed the Competent Authority for Recovery in the other country informs the Competent Authority of Recovery (at Departure) by sending Recovery Dispatch Notification C_REC_DIS (IE152), which in turn is forwarded by the Departure to all the Offices that had previously received the Recovery Communication C_REC_COM (IE063). The Trader is informed from Departure for the write-off of the movement via the E_WRT_NOT (IE045).

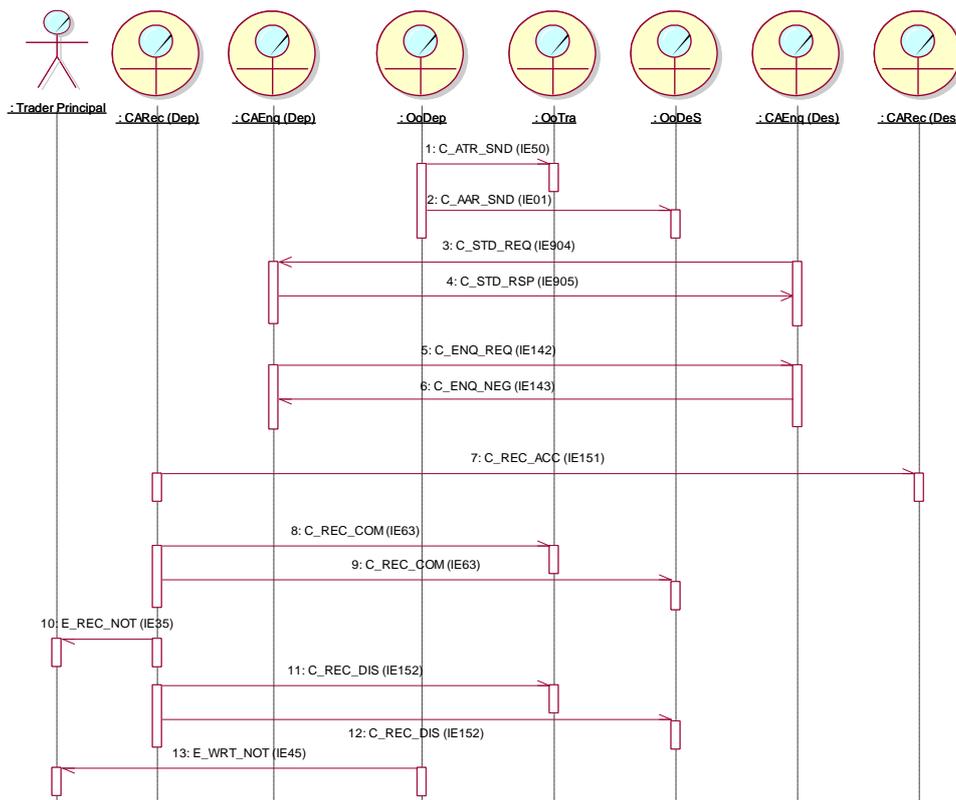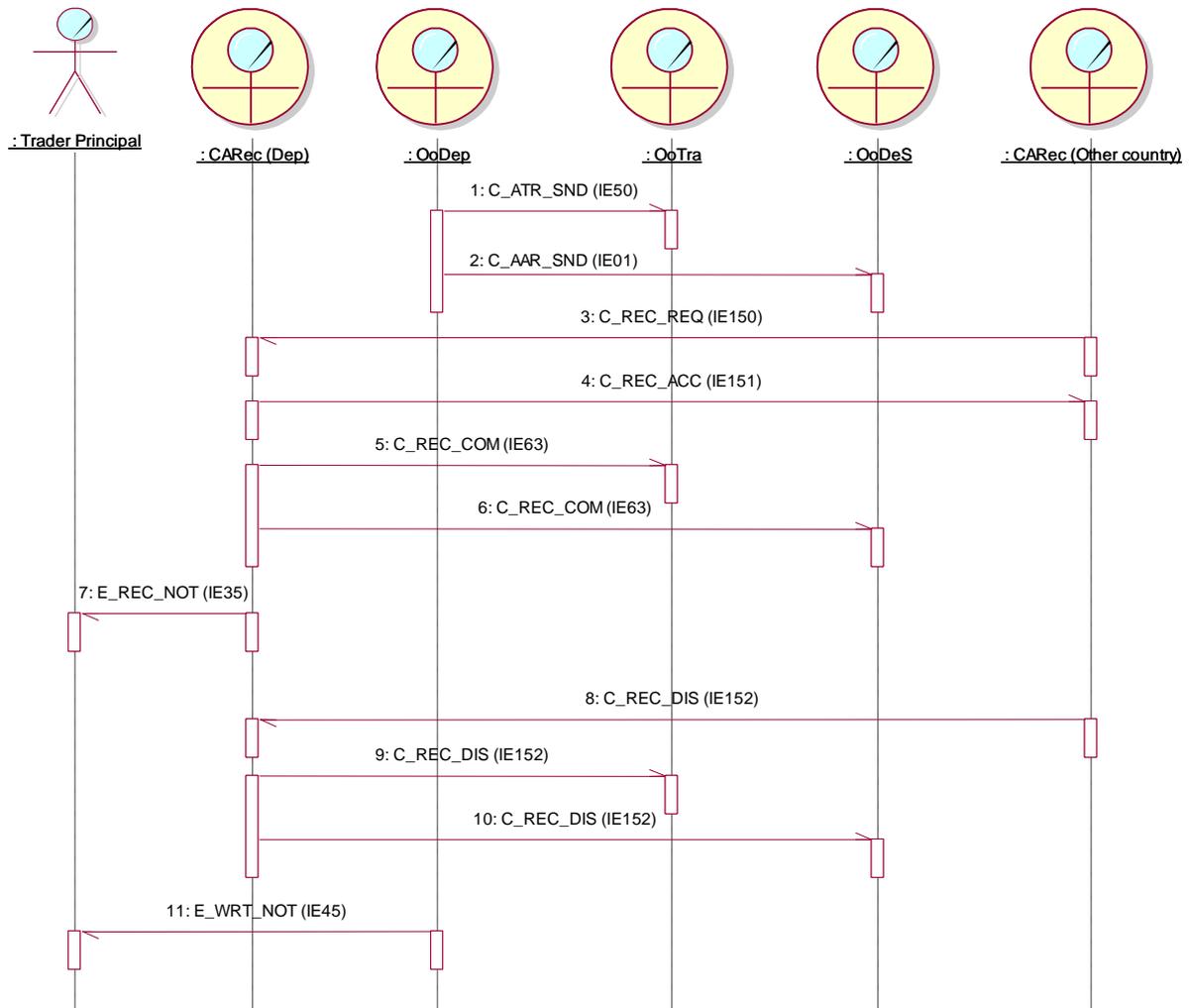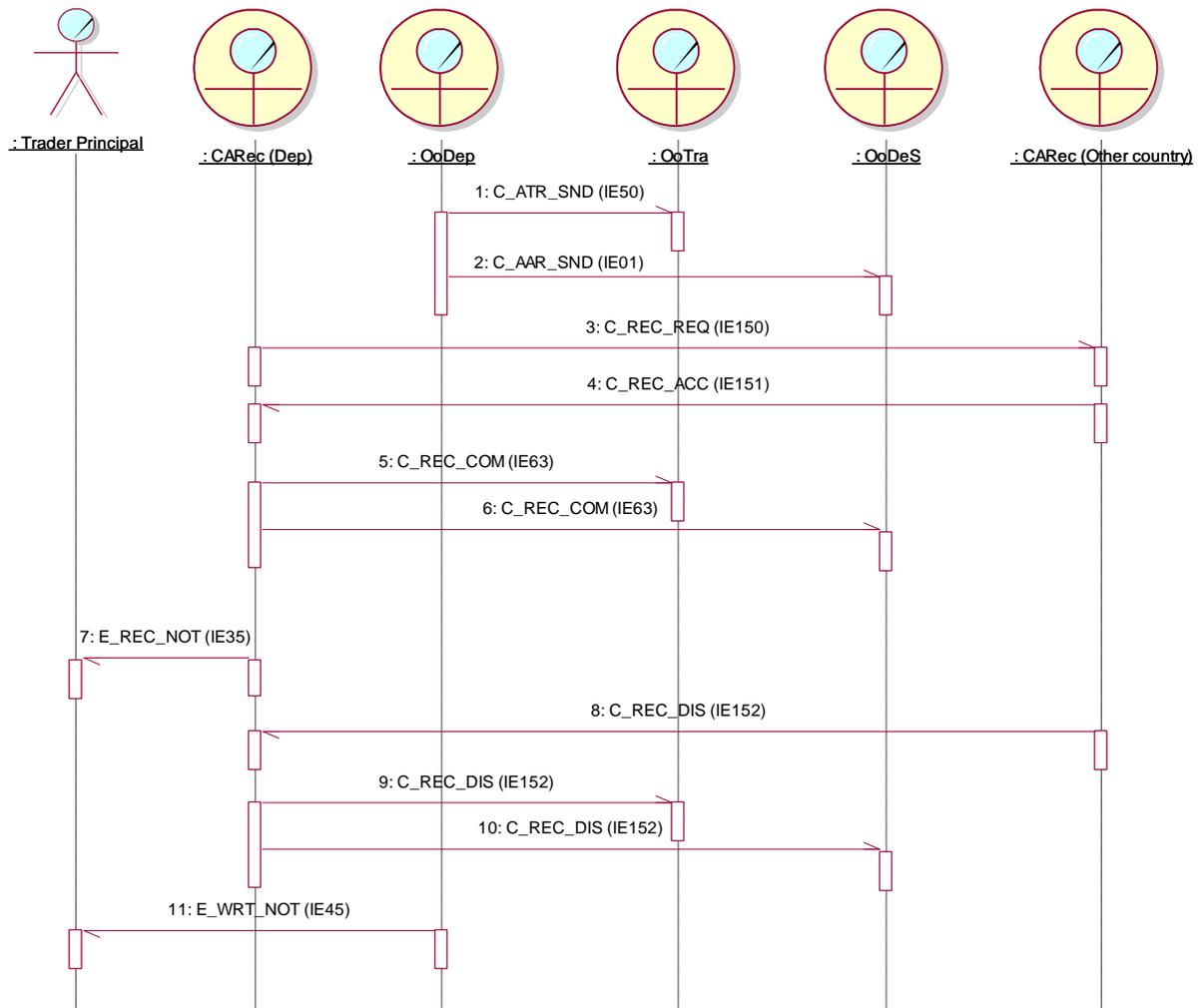**Figure 68: Recovery at Other Country – Departure Recovery request sent to other country accepted**

III.III.3 State Transition Diagrams

This chapter contains the State Transition Diagrams for all Core Business operations together with the ones of the Handle Enquiry and Recovery, which has introduced new transitions in the movement states of an MRN. Any Transit Application should in principle be capable of maintaining the mandatory roles of Office of Departure, Office of Transit and Office of Destination. Additionally any NA shall be capable of maintaining the optional roles of:

- Competent Authority of Enquiry at Departure and Destination side;
- Competent Authority of Recovery at Departure, Destination and Transit side.

The following EDI interactions should be defined:

- When acting as Office of Departure:
  - o Interacting with Trader at Departure;
  - o Interacting with Office of Transit;
  - o Interacting with Office of Destination;
  - o Interacting with Other Office;
  - o Interacting with Office of Guarantee.
- When acting as Office of Transit:
  - o Interacting with Office of Departure.
- When acting as Office of Destination:
  - o Interacting with Trader at Destination;
  - o Interacting with Office of Departure.

This should lead in principle to 6 different State Transition Diagrams. For practical reasons, however, the following approach has been followed:

- Combination of the State Transition Diagrams for Office of Departure into 3 State Transition Diagrams: one to contain the state transitions up to release of the movement (which consists of interaction between Office of Departure with Trader at Departure and Office of Guarantee), the second contains all state transitions after the release of the movement (and contains all interactions from Office of Departure with Office of Destination, Office of Transit and Trader at Departure after the release of the movement), the third to contain the state transitions for the recovery at Departure.
- Combination of the last two interactions in one single diagram showing the overall model for Office of Destination. The interactions between Office of Destination and Trader at Destination are indeed also heavily influenced by the interaction between Office of Destination and Office of Departure.

The State Transition Diagrams do not include cancellation in order not to overload them. State Transition Diagrams for cancellation are included in a separate section.

Status requests and responses, movement queries and responses and integrity validity checks of a guarantee(s) have not been included either. These can in principle happen in any state.

III.III.3.1 Office of Departure

III.III.3.1.1 Office of Departure (until movement release)

The State Transition Diagram below shows the interaction between the Office of Departure, the Trader at Departure, and the Office of Guarantee up to the moment of the release of the goods.
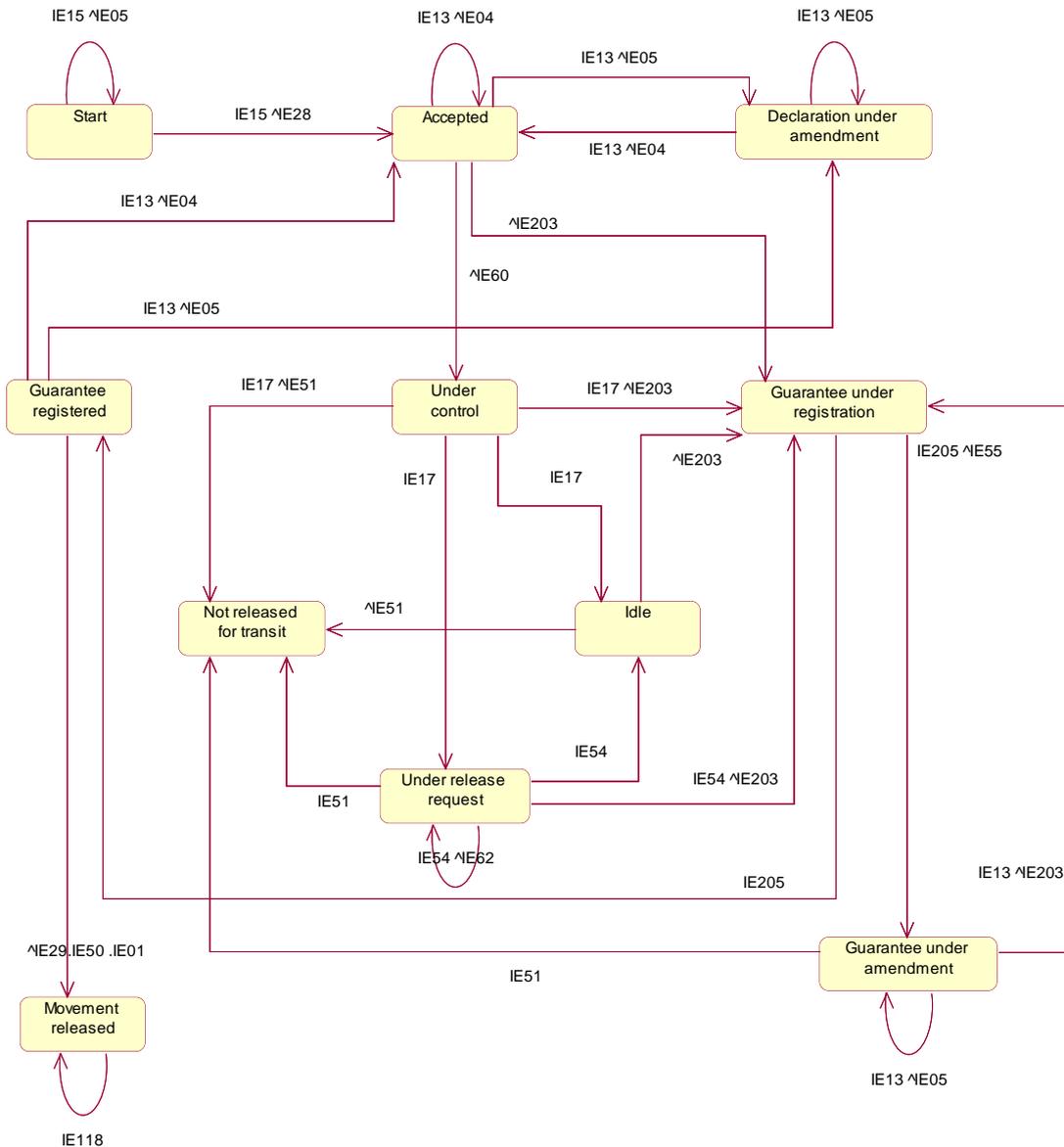
Figure 69: State Transition Diagram for Office of Departure (up till release of movement)

Any movement is initiated at the Office of Departure through the receipt of the Declaration Data E_DEC_DAT (IE015), received from Trader at Departure. Rejected declarations do not have any meaning within Transit [a Declaration Rejected E_DEC_REJ (IE016) will only be sent back to the Trader]. Whenever a Declaration Data E_DEC_DAT (IE015) is accepted, by

sending a MRN Allocated E_MRN_ALL (IE028) back to the Trader, the movement status is set to "Accepted". The Office of Departure can then proceed as follows:

- Decide to control, which will be marked by sending a Control Decision Notification E_CTR_DEC (IE060) to the Trader, whereby the status will be set to "Under control".
- Decide to perform no control on goods and/or documents; therefore the declared guarantee is prepared for guarantee registration by sending the Guarantee Use C_GUA_USE (IE203) to the responsible Office of Guarantee. The state of the Transit Operation is set to "Guarantee under registration".

When a movement is "Under control", it will remain in this state until the control has been performed. This will be marked formally by the registration of the Departure Control Results N_DEP_CON (IE017). Different cases apply:

- The movement is ready for guarantee registration by sending the Guarantee Use C_GUA_USE (IE203) to the responsible Office(s) of Guarantee, in case no discrepancies found during control. The results of control are registered via the Departure Control Results N_DEP_CON (IE017) and the status will become "Guarantee under registration".
- In case major discrepancies were found during control or because of guarantee problems (even after successful control) a No Release for Transit E_REL_NOT (IE051) is sent to the Trader and the status will become "Not released for Transit".
- Minor discrepancies are found and the Trader has not yet sent his advice on minor revisions. The status will be set to "Under release request".
- Minor discrepancies are found and the Trader communicated his/her advice and made no opposition (accepted the revisions). The Guarantee Use C_GUA_USE (IE203) is sent to the responsible Office of Guarantee and the status will be set to "Guarantee under registration".
- Minor discrepancies were found and the Trader made opposition (did not accept the revisions). The status will be set to "Idle". In this case the Office of Departure can still decide to release or not the movement. Upon his/her decision the movement state will become "Under guarantee registration" or "Not released for Transit".

When the movement is in the "Guarantee under registration" state, the following cases apply:

- When one of the checks of the registration of the guarantee usage failed, the Principal is notified by the Guarantee not Valid E_GUA_INV (IE055) that the declared guarantee is not valid. The status will be set to "Guarantee under amendment".
- In case of successful registration of the guarantee usage at the Office of Guarantee, indicated by the receipt of a successful Guarantee Use Result C_GUA_USR (IE205) at the Office of Departure, the status of the Transit operation will be set to "Guarantee registered".

When the movement is under "Guarantee under amendment", the following cases apply:

- When the Office of Departure receives an invalid Declaration Amendment E_DEC_AMD (IE013), i.e. Declaration Amendment E_DEC_AMD (IE013) contains other data to amend than guarantee details, it is rejected and the Amendment Rejection E_AMD_REJ (IE005) is sent to the Principal. The status remains to "Guarantee under amendment".
- When the formal validation process of a Declaration Amendment E_DEC_AMD (IE013) containing a guarantee amendment is successful, NCTS accepts the

amended guarantee data and again sends the Guarantee Use C_GUA_USE (IE203) to the responsible Office(s) of Guarantee, awaiting a response. The status of the Transit operation will be set to "Guarantee under registration".

- When the Principal does not amend the guarantee on 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 notifies the Principal via the No Release for Transit E_REL_NOT (IE051). The status of the Transit operation will be set to "Not released for Transit".

When the movement is under "Guarantee registered", the following cases apply:
- The Office of Departure receives a Declaration Amendment E_DEC_AMD (IE013) from the Principal. In case the amendment is rejected via sending the Declaration Rejected E_DEC_REJ (IE016) to the Principal (because it fails to pass the validation process), the state of the Transit operation is set to 'Declaration under amendment'.
- The Office of Departure receives a Declaration Amendment E_DEC_AMD (IE013) from the Principal. In case the amendment is accepted the state of the Transit operation is set to "Accepted".
- The Transit transaction is issued; the declared Office(s) of Transit and the declared Office of Destination are notified via the AAR C_AAR_SND (IE001) and ATR C_ATR_SND (IE050) of the issuing of the Transit transaction. The state of the Transit operation is set to "Movement released". The State Transitions after the release of the movement is presented in Section III.III.3.1.2.

While "Under release request", the Trader can send a Request of Release E_REQ_REL (IE054) or No Release for Transit E_REL_NOT (IE051).

This can have the following consequences:
- The release request is rejected [Release Request Rejection E_REQ_REJ (IE062) is sent back to the Trader] and the status remains equal to "Under release request".
- The release request is accepted and the status will be set to "Guarantee under registration". The Guarantee Use C_GUA_USE (IE203) is sent to the responsible Office of Guarantee.
- The movement is set to "Idle". This will typically happen when the Trader expresses opposition on discrepancies found or upon the expiration of the timer "Declaration Awaiting Release Request".
- If No Release for Transit was sent, the movement is set to Not Released for Transit state.

The Trader by means of a Declaration Amendment E_DEC_AMD (IE013) can perform declaration amendments. Amendments on declarations can be sent when the status of the movement is equal to "Accepted", "Guarantee registered" or "Declaration under amendment" (meaning that an invalid declaration amendment has previously been sent). In all other states, they will be rejected. These transitions are not shown in the State Transition Diagram above in order not to overload it.

A declaration amendment will always be replied by an Amendment Acceptance E_AMD_ACC (IE004) or an Amendment Rejection E_AMD_REJ (IE005).

When an invalid amendment has been sent, the status will become "Declaration under amendment". The status can change in case an acceptable declaration amendment is received. In this case the status will become "Accepted" again.

III.III.3.1.2   *Office of Departure (after movement release)*

The State Transition Diagram of Figure 70 depicts the movement states transition at the Office of Departure after the movement has been released for Transit and incorporates the Handle Enquiry and Recovery states. The State Transition Diagram in Figure 70 shows the states of the movement after it is released for Transit.
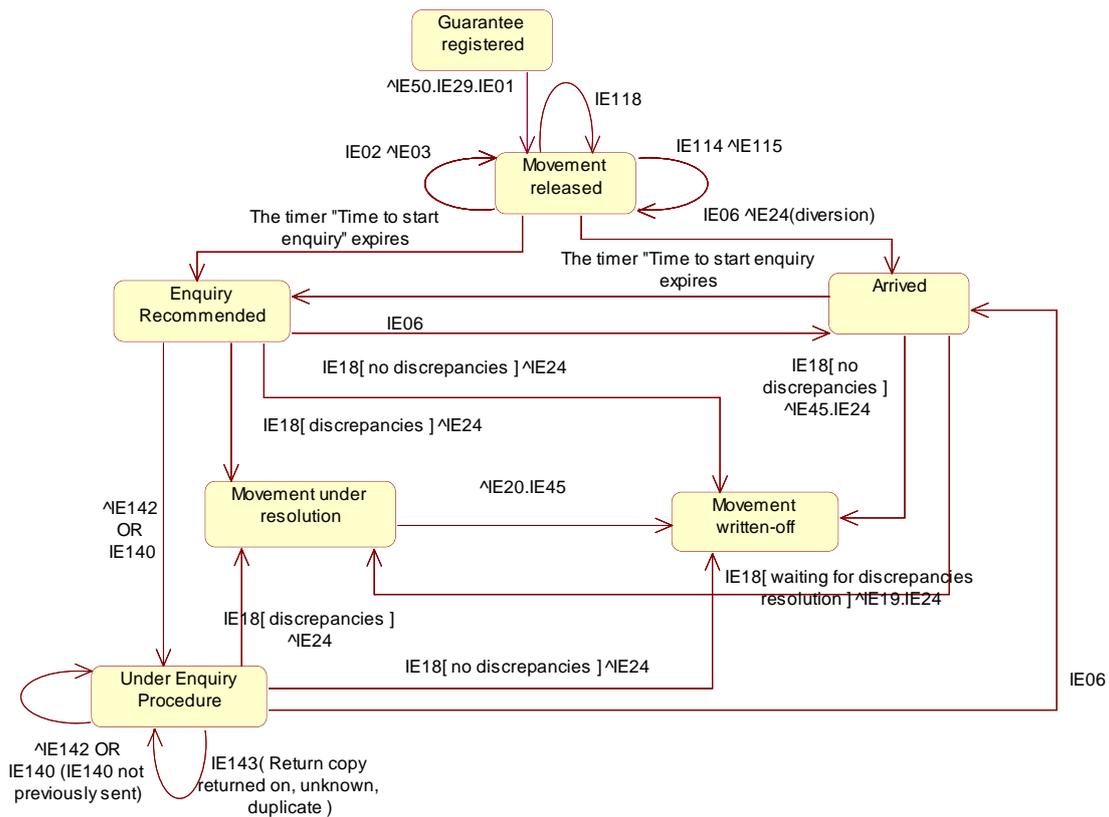
Figure 70: State Transition Diagram for Office of Departure after the movement is released in NCTS Phase 4

This State Transition Diagram starts right before the sending of the Release for Transit E_REL_TRA (IE029) to the Trader at Departure. Any message arrival, except those explicitly depicted in the State Transition Diagrams for Office of Departure, should be rejected, either by a Functional NACK C_FUN_NCK (IE906) (see Design principles) or by a dedicated rejection message (such as for release requests and declaration amendments). This is not shown in the Office of Departure State Transition Diagrams, in order not to overload them.

Whenever a movement is released, the following will happen:
- The Release for Transit E_REL_TRA (IE029) is sent to Trader at Departure;
- The AAR C_AAR_SND (IE001) is sent to Office of Destination;
- The ATR C_ATR_SND (IE050) is sent to Office of Transit (possibly there is no Office of Transit).

The status of the movement will become "Movement released".

While the consignment is in this state, the following can happen:
- A NCF C_NCF_NOT (IE118) is received by Office of Departure, indicating a border crossing. In this case, the status will remain the same;
- An ATR Request C_ATR_REQ (IE114) is received from an Office of Transit. In this case an ATR Response C_ATR_RSP (IE115) will be sent and the state will remain "Movement released";
- An AAR Request C_AAR_REQ (IE002) is received from an Office of Destination. In this case an AAR Response C_AAR_RSP (IE003) will be sent and the state will remain "Movement released";
- The Arrival Advice C_ARR_ADV (IE006) is received from the Office of Destination. The status of the movement will then be set to "Arrived". In case diversions took place at Office of Transit, a Forwarded Arrival Advice C_FWD_ARR (IE024) will be sent to all declared Office of Transit that did not report the movement. In case a diversion took place at Office of Destination, a Forwarded Arrival Advice C_FWD_ARR (IE024) will also be sent to the declared Office of Destination.

After arrival of the movement at Departure, the Office of Departure will wait until the Destination Control Results C_DES_CON (IE018) or the Paper Control Results C_RES_PAP (IE0110) is sent back by the Office of Destination. There are two possible outcomes:
- The Destination Control Results C_DES_CON (IE018) or Paper Control Results C_RES_PAP (IE0110) shows no problems. The Write-off Notification E_WRT_NOT (IE045) is sent back to the Trader at Departure. After this, the status of the transaction is set to "Movement written off". In the case of Paper Control Results C_RES_PAP (IE0110) are received, the Forwarded Arrival Advice C_FWD_ARR (IE024) shall be sent to all the involved offices upon the manual registration of the control results at Departure;
- Discrepancies are found during control at Destination. In this case, the Office of Departure sends a Discrepancies E_DIS_SND (IE019) to the Trader at Departure. The status of the movement is set to "Movement under resolution". When the discrepancies have been solved, a Discrepancies Solved Notification C_DIS_SOL (IE0020) is sent to the Office of Destination and the Write-off Notification E_WRT_NOT (IE045) is sent to the Trader. The status becomes "Movement written off". In the case of Paper Control Results C_RES_PAP (IE0110) are received, the Customs Officer at Departure shall proceed with the manual closure of the movement and the Forwarded Arrival Advice C_FWD_ARR (IE024) shall be sent to all the involved offices.

The state of the movement becomes "Enquiry Recommended" in the following cases:
- When the state of the movement is "Movement released" and the movement has not arrived at the Office of Destination within the expected arrival date (the timer "Time to start enquiry" expires);
- When the state of the movement is "Arrived" and the destination control results have not arrived from the Office of Destination within the expected time (the timer "Time to start enquiry" expires);
- When the state of the movement is either "Movement released" or "Arrived" and the Customs Officer at Departure takes the decision to expire manually the timer "Time to start enquiry" and start the enquiry process.

When the state of the movement becomes "Enquiry Recommended", a Status Request C_STD_REQ (IE904) is sent to the Country of Office of Destination. Then the following cases apply:

- The Office of Destination system checks the state and automatically sends a Status Response C_STD_RSP (IE905). If the state at destination does not correspond then the system automatically sends to the Office of Departure:
  o The Arrival Advice C_ARR_ADV (IE006). The state of the movement will change from "Enquiry Recommended" to "Arrived";
  o And/or the Destination Control Results C_DES_CON (IE018):
    - If the Control Results show no discrepancies. The movement is written-off at Departure. The movement state becomes "Movement written off";
    - If the Control Results show discrepancies, the state of the movement will change to "Movement under resolution" and then to "Movement written off" in the way that this is described above when the Destination Control Results C_DES_CON (IE018) are received;

- The Office of Destination system checks the state and automatically sends a Status Response C_STD_RSP (IE905). If the state at Destination corresponds with the state at Departure, the state of the movement will remain "Enquiry Recommended".

At this stage if the Customs Officer at the Competent Authority of Enquiry (at Departure) does not have sufficient information to start the enquiry the Request on Non-Arrived Movement E_REQ_MOV (IE140) is sent to the Principal. The state of the movement changes from "Enquiry recommended" to "Under enquiry procedure" state.

If the Customs Officer at the Competent Authority of Enquiry (at Departure) has sufficient information to start the enquiry the Enquiry Request C_ENQ_REQ (IE142) is sent to the Competent Authority of Enquiry (at Destination) in order to locate the movement. The state of the movement changes from "Enquiry recommended" to "Under enquiry procedure" state.

When the movement is in "Under enquiry procedure" state and the Competent Authority of Enquiry (at Destination) has received the Enquiry Request C_ENQ_REQ (IE142) the following cases apply.

- The Competent Authority of Enquiry (at Destination) manages to locate the movement and to resume the arrival process. The Office of Destination sends:
  o The Arrival Advice C_ARR_ADV (IE006). The movement changes from "Under enquiry procedure" to "Arrived" state;
  o And/or the Destination Control Results C_DES_CON (IE018) to the Office of Departure:
    - If the Control Results show no discrepancies the movement is written-off at Departure. The movement state becomes "Movement written off";
    - If the Control Results show discrepancies the state of the movement will change to "Movement under resolution" and then to "Movement written off" in the way that this is described above when the Destination Control Results C_DES_CON (IE018) are received;

- The Competent Authority of Enquiry (at Destination) manages to locate the movement but is unable to send the Arrival Advice C_ARR_ADV (IE006) or the Destination Control Results C_DES_CON (IE018) to the Office of Departure. In this case the Competent Authority of Enquiry (at Destination) responds with an Enquiry Response C_ENQ_RSP (IE143) indicating 'Returned copy returned on'. The movement state remains "Under enquiry procedure" and the Customs Officer waits for the paper control results. When they are received the state of the movement changes as it does when the Destination Control Results C_DES_CON (IE018) are received;

- The Competent Authority of Enquiry (at Destination) discovers that the movement is a duplicate and responds with an Enquiry Response C_ENQ_RSP (IE143) indicating 'duplicate'. At this point the Customs Officer at the Competent Authority of Enquiry (at Departure) could decide to cancel the duplicated movement;

- The Competent Authority of Enquiry (at Destination) does not manage to locate the movement. In this case either the Competent Authority of Enquiry (at Destination) responds with a negative Enquiry Response C_ENQ_RSP (IE143), 'Movement unknown at Destination', and the movement state remains "Under enquiry procedure"; This case covers also the scenario when the Competent Authority of Enquiry (at Destination) established that the goods have been entered to the Import procedures and all duties have been paid but the Transit procedures have not been completed. In this specific case the data group 'INFORMATION' in IE143 message should be used in order to provide information that the goods are entered into free circulation indicating MRN of import declaration.

- If the Competent Authority of Enquiry (at Departure) has not previously contacted the principal it can send a Request on non-arrived movement E_REQ_MOV (IE140) to the principal, the movement state remains "Under enquiry procedure";

- Provided that no other enquiry is pending, the Competent Authority of Enquiry (at Departure) can send an IE142 setting the timer "Wait for enquiry response". If an IE142 has been previously sent, the Competent Authority of Enquiry (at Departure) shall send an IE059, and then it can proceed with sending of the new IE142 and resetting the timer "Wait for enquiry response". The state of the movement remains "Under enquiry procedure";

- If the IE140 has previously been sent and no IE141 has been received upon the expiration of the "Wait for IE141" timer the master timer "Recovery recommended" stops. The state of the movement becomes "Recovery recommended". This state transition is displayed in the Figure 71;

- The Competent Authority of Enquiry (at Destination) decides that it is responsible for recovery and sends an Enquiry Response C_ENQ_RSP (IE143), 'Request for Recovery at Destination' to the Competent Authority of Enquiry (at Departure), within the expected time period (time limit defined by the "Wait for enquiry response" timer). The state of the movement becomes "Recovery recommended". This state transition is displayed in the Figure 71.

III.III.3.1.3   Office of Departure (recovery states)

The State Transition Diagram in Figure 71 depicts the recovery states of the movement at Departure.
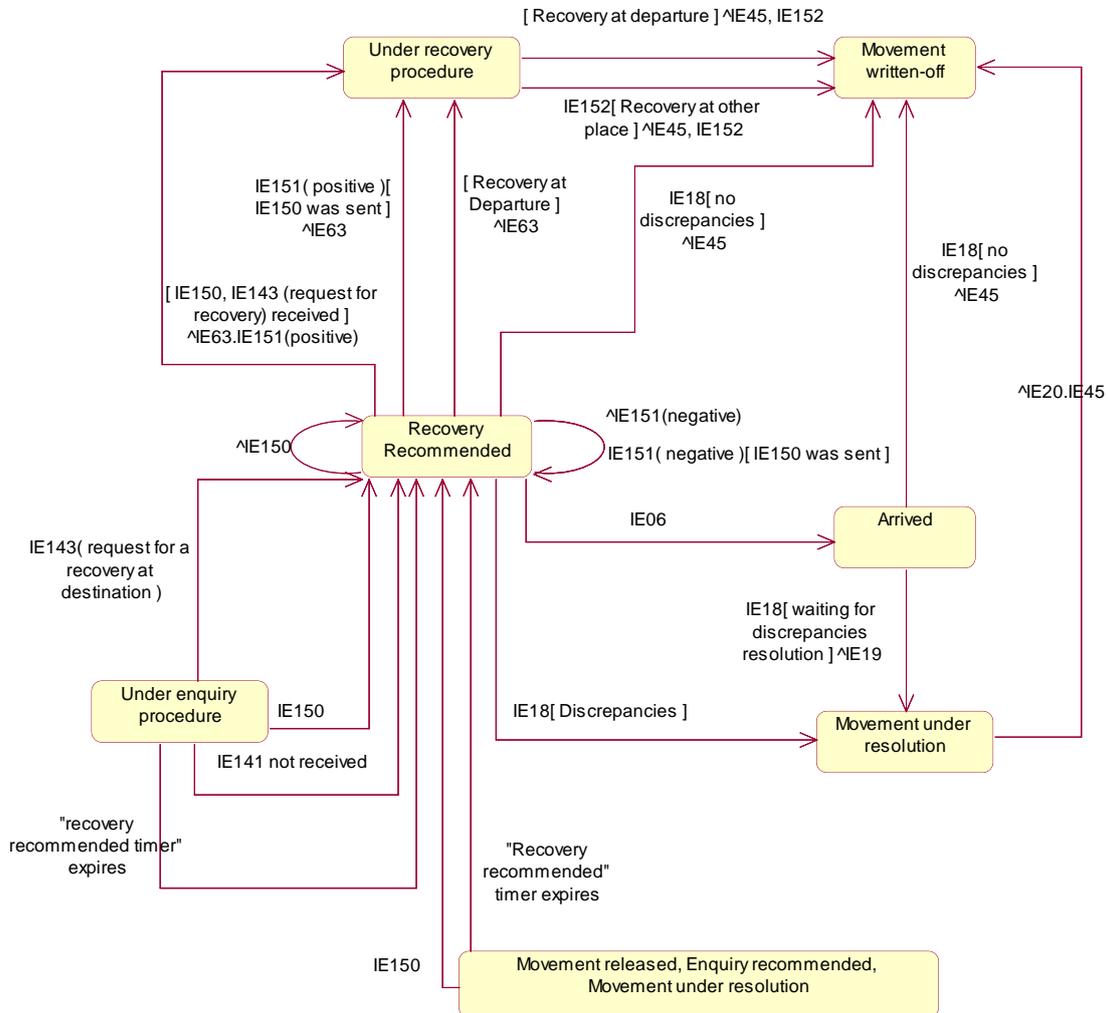
Figure 71: State Transition Diagram of the recovery states in the Departure in the NCTS Phase 4

While the movement at the Departure is at the "Movement Released", "Enquiry Recommended", "Movement under resolution", "Under Enquiry procedure" and "Arrived" state the following events can take place:

- The Competent Authority of Recovery in another country can decide that it is responsible for recovery and send a Recovery Request C_REC_REQ (IE150) to the Competent Authority of country of Departure. The state of the movement is set to "Recovery recommended";
- The timer "Recovery recommended" expires, or the Competent Authority of Recovery (at Departure) decides to manually expire it. The state of the movement is set to "Recovery recommended".

Whilst the movement is in the state "Recovery recommended" the following cases apply.

- Following the receipt of an Enquiry Response C_ENQ_RSP (IE143), 'Request for Recovery at Destination' the Competent Authority of Recovery (at Departure) accepts that the Competent Authority of Recovery (at Destination) is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure" state, and recovery is carried out at Destination;

- Following the receipt of an Enquiry Response C_ENQ_RSP (IE143), 'Request for Recovery at Destination' the Competent Authority of Recovery (at Departure) does not accept that the Competent Authority of recovery (at Destination) is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state remains "Recovery recommended". The Competent Authority of Recovery (at Departure) will have to carry out the recovery;

- Following the receipt of an Arrival Advice C_ARR_ADV (IE006), the state is set to "Arrived";

- Following the receipt of Destination Control Results C_DES_CON (IE018), the state is set to "Movement under resolution" if there are discrepancies or it is set to "Movement written-off" if there are no discrepancies;

- Following the receipt of a Recovery request (IE150), the Competent Authority of Recovery (at Departure) accepts that the other country is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure" state, and recovery is carried out at the other country;

- Following the receipt of a Recovery request (IE150), the Competent Authority of Recovery (at Departure) does not accept that the other country is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state remains "Recovery recommended". The Competent Authority of Recovery (at Departure) will have to carry out the recovery;

- The Competent Authority of Recovery (at Departure) is competent and decides to carry out the recovery. The movement is set to "Under recovery procedure";

- The Competent Authority of Recovery (at Departure) decides that it is not competent and sends a Recovery request C_REC_REQ (IE150) to the Competent Authority of Recovery in another country[15] and sets the timer "Wait for recovery acceptance notification". The state remains "Recovery recommended":
  - If the Competent Authority of Recovery in the other country accepts that it is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure" state, and recovery is carried out in the other country;
  - If the Competent Authority of Recovery in the other country does not accept that it is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151). The state remains "Recovery recommended". The Competent Authority of Recovery (at Departure) will have to carry out the recovery.

In all the aforementioned cases, irrespectively of the place that the recovery is performed when the state of the movement is set to "Under recovery procedure", the Competent

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[15] The other country is usually the declared Office of Destination but it may be another country e.g. an Office of Transit.

Authority of Recovery (at Departure) informs all involved parties, apart from the one that received a positive Recovery Acceptance Notification C_REC_ACC (IE151), about the recovery by sending a Recovery Communication C_REC_COM (IE063).

Upon completion of the recovery at the Office of Departure, or at the Other country, the Recovery Dispatch Notification C_REC_DIS (IE152) is sent by the Competent Authority of Recovery (at Departure) to all the parties that have previously received the IE063 and the state of the movement becomes "Movement written off".

The possible status values for Office of Departure are summarised in the table below. This table is also showing which status values are required (R) or optional (O). All states related to the Common Domain are required, while all states related to National and External Domains are optional.

Name	Status
Accepted	O
Declaration under amendment	O
Under control	O
Idle	O
Under release request	O
Not released for Transit	O
Movement released	R
Arrived	R
Enquiry recommended	R
Under enquiry procedure	R
Recovery recommended	R
Under recovery procedure	R
Movement under resolution	R
Movement written off	R
Cancelled	R
Guarantee under registration	O
Guarantee registered	R
Guarantee under amendment	O

Table 7: States of an MRN in an Office of Departure

III.III.3.2 Office of Transit

The State Transition Diagram has been amended in NCTS Phase 4 to include the accomplishment of recovery at the country of the Office of Transit.

The State Transition Diagram for Office of Transit is shown below.
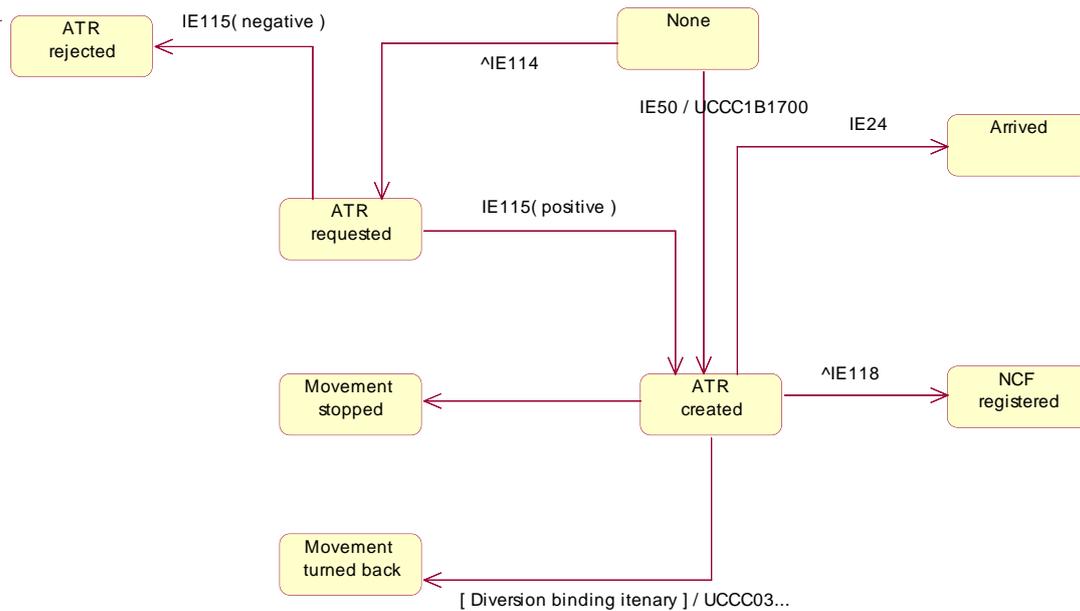
Figure 72: State Transition Diagram for Office of Transit in NCTS Phase 4 without Recovery States

There are two major possibilities: the consignment is known, in case the ATR C_ATR_SND (IE050) is already received at the Office of Transit or is not known beforehand (case of missing ATR).

In the first case, the declared Office of Transit will receive the ATR C_ATR_SND (IE050), after which the status will be marked as "ATR created".

If the consignment then passes the border, the NCF C_NCF_NOT (IE118) will be sent back to the Office of Departure and the status will become "NCF registered". The role of the Office of Transit stops here. It is thus implicitly assumed that only one border crossing can take place for a declared Office of Transit.

If diversion at Office of Transit took place during the movement, this declared Office of Transit would receive a Forwarded Arrival Advice C_FWD_ARR (IE024). In that case, the status will be set to "Arrived".

If the consignment does not pass the declared Office of Transit, the Office of Departure will inform all declared Offices of Transit upon arrival at the Office of Destination, by means of a Forwarded Arrival Advice C_FWD_ARR (IE024). The status will then be marked as "Arrived". Again, the role of the Office of Transit stops here. Additionally the "Arrived" state will be reached in case a Forwarded Arrival Advice C_FWD_ARR (IE024) is sent to 'close' any 'open' ATR Response (C_ATR_RSP) (IE115), which was requested by the Office of Transit but never used at this Customs Office.

In case an unknown consignment shows up or no ATR C_ATR_SND (IE050) is yet received, the Office of Transit will always request the ATR from Office of Departure by means of ATR Request C_ATR_REQ (IE114).

If the response to the ATR Request C_ATR_REQ (IE114) was positive, case of positive ATR Response C_ATR_RSP (IE115), the status will be set to "ATR created" and a similar

lifecycle will start as for the known movement. In case the ATR C_ATR_SND (IE050) is received and processed before the ATR Response C_ATR_RSP (IE115), the state of the movement will again be set to "ATR created". When the consignment crosses the border, it will become "NCF registered".

If the response to the ATR Request C_ATR_REQ (IE114) from Office of Departure is negative, case of negative ATR Response C_ATR_RSP (IE115), the status will be set to the final state "ATR rejected".

In case the passage is validated and the Transit movement must be turned back the state of the Transit operation is set to "Movement turned back". In case the passage is validated and the Transit movement must be stopped at the frontier, the state of the Transit Operation is set to "Movement stopped".

The State Transition Diagram in the Figure 73 depicts the recovery states in the Office of Transit for the NCTS Phase 4.

The states 'ATR rejected', 'Arrived', 'NCF registered', 'Movement stopped' and 'Movement turned back' are considered to be final. Movements in this state may be archived. If a recovery request is received or need to be sent for an archived movement, the recovery procedure shall be performed according to the 'Recovery at Other country', see chapters III.III.2.2.4 and III.III.2.2.7.
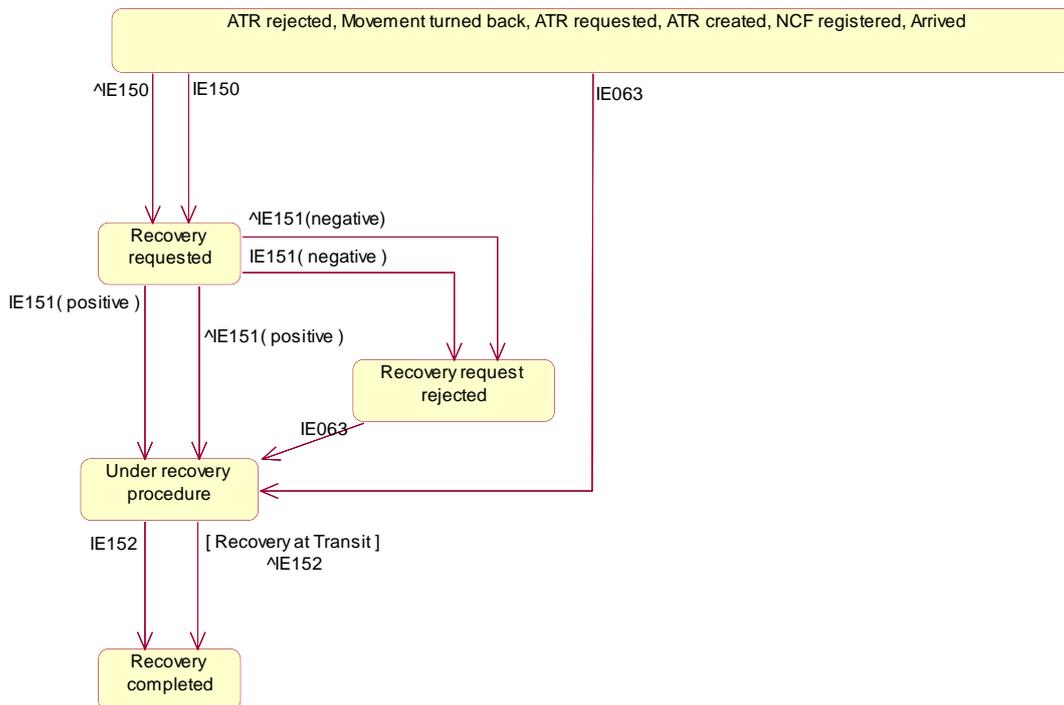
Figure 73: State Transition Diagram of the recovery states at Office of Transit in the NCTS Phase 4

When a movement is not under the state of "Movement stopped" the following can occur.

- The Office of Transit receives the Recovery Communication C_REC_COM (IE063), and the system records the start of the recovery procedure. The state of the movement is set to "Under recovery procedure";

- The Competent Authority of Recovery in the country of Transit receives the Recovery Request C_REC_REQ (IE150) from the Competent Authority of Recovery (at Departure) and the state of the movement is set to "Recovery Requested":

  o If the Competent Authority of Recovery in the country of Transit accepts that it is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure":

  − When recovery has been completed at Transit the Competent Authority of Recovery in the country of Transit sends a Recovery Dispatch Notification C_REC_DIS (IE152) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery completed".

  o If the Competent Authority of Recovery in the country of Transit does not accept that it is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Recovery Request Rejected". Recovery is then carried out at the Office of Departure which sends the Recovery Communication C_REC_COM (IE063) to the Office of Transit. The state of the movement at Transit is then set to "Under recovery procedure";

- The Competent Authority of Recovery in the country of Transit[16] decides that it is competent and sends a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery requested":

  o If the Competent Authority of Recovery (at Departure) accepts that the country of Transit is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure" state, and recovery is carried out at the country of Transit:

  − When recovery has been completed at the country of Transit the Competent Authority of Recovery in the country of Transit sends a Recovery Dispatch Notification C_REC_DIS (IE152) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery completed";

  o If the Competent Authority of Recovery (at Departure) does not accept that the country of Transit is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Recovery Request Rejected". Recovery is then carried out at the Office of Departure which sends the Recovery Communication C_REC_COM (IE063) to the Office of Transit. The state of the movement at Transit is then set to "Under recovery procedure".

In all the cases that the recovery has not been performed at the country of the Office of Transit, the Competent Authority in the Country of Transit will receive from the Competent Authority of Recovery (at Departure) a Recovery Dispatch Notification C_REC_DIS (IE152) and the state will be set to "Recovery completed".

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[16] This action is covered by CO040005 Recovery Request from Competent Authority of Recovery (at Destination) or any other office where the country of Transit is acting as "any other country which assumes itself as competent for recovery".

In the case the movement is not active anymore (archived) at the receiving Customs Office, the IE063 message and following the IE152 message must be accepted for information.

The list of states for Office of Transit is given in the following table:

Name	Status
None	R
Cancelled	R
ATR created	R
ATR requested	R
ATR rejected	R
Arrived	R
NCF registered	R
Movement turned back	R
Movement stopped	R
Under recovery procedure	R
Recovery requested	R
Recovery Request rejected	R
Recovery completed	R

Table 8: States of an MRN in an Office of Transit

III.III.3.3 Office of Destination

The State Transition Diagram has been amended in NCTS Phase 4 to include the accomplishment of recovery at the Office of Destination.

The State Transition Diagram for Office of Destination has been split into two Figures. Figure 74 covers all the states apart from the ones related to the recovery process and Figure 75 covers only the recovery states.
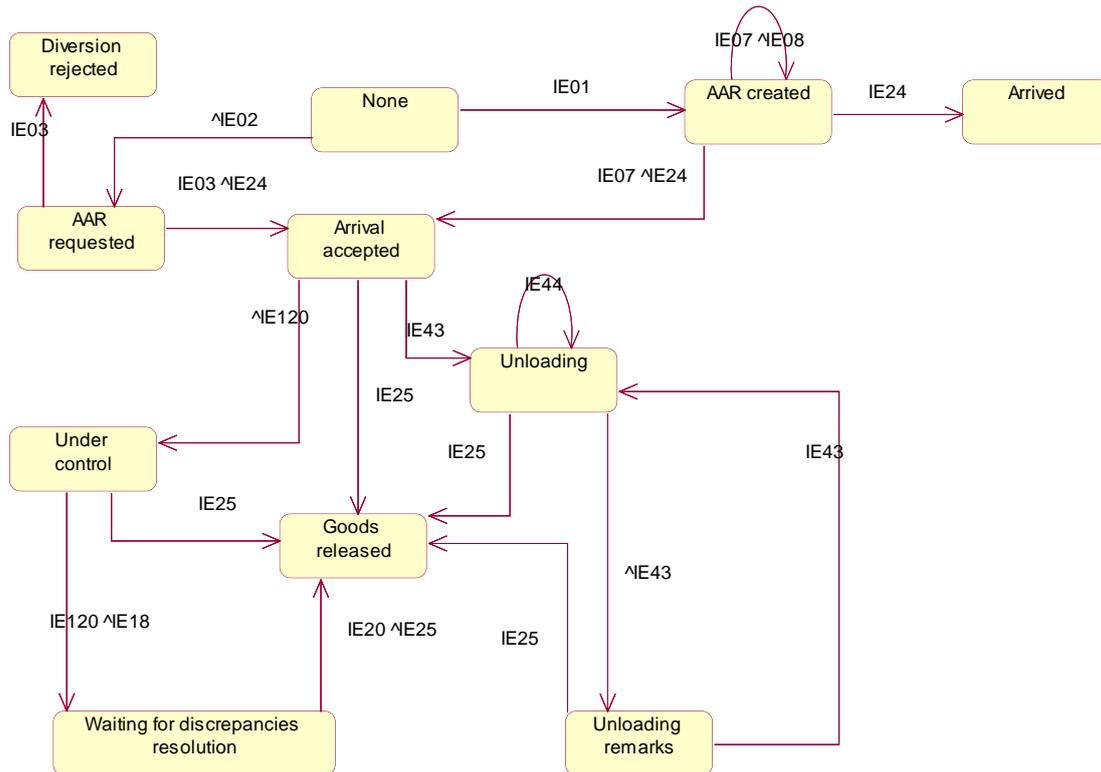
Figure 74: State Transition Diagram for Office of Destination in NCTS Phase 4 without Recovery States

Upon reception of the AAR C_AAR_SND (IE001) from Office of Departure, the status will be set to "AAR created". Normally, the next event should be the Arrival Notification E_ARR_NOT (IE007) received from Trader at Destination. If the presentation of the arrival is invalid an Arrival Notification Rejection E_ARR_REJ (IE008) will be sent back to the Trader and the status will remain "AAR created". If the arrival notification is acceptable, the status will change to "Arrival accepted" and the Arrival Advice C_ARR_ADV (IE006) will be sent back to the Office of Departure.

Under normal procedure, one may or may not perform control. If no control is performed, the Destination Control Results C_DES_CON (IE018) is sent to Office of Departure and the goods are released by sending a Goods Release Notification E_GDS_REL (IE025) to Trader at Destination and the status becomes "Goods released".

In case the Customs Officer decides to control he/she can request a print of the movement details and use it as Destination Control Results on Paper E_DES_PAP (IE0120). The status of the movement will become "Under control".

In case of a successful control, the Destination Control Results C_DES_CON (IE018) will be sent to Office of Departure and the goods will be released [Goods Release Notification E_GDS_REL (IE025) is sent to Trader at Destination] and the status will be set to "Goods released".

In case of discrepancies detected during control, only the Destination Control Results C_DES_CON (IE018) will be sent to Office of Departure [the Goods Release Notification E_GDS_REL (IE025) will NOT be sent to Trader at Destination] and the status will be set to "Waiting for discrepancies resolution". This state will change after reception of the

Discrepancies Solved Notification C_DIS_SOL (IE020) from the Office of Departure, upon which the goods will be released [Goods Release Notification E_GDS_REL (IE025) is sent to Trader at Destination]. The status will become "Goods released".

In case of simplified procedure, the Unloading Permission E_ULD_PER (IE043) will be sent to the Trader at Destination and the status will become "Unloading". The Unloading Permission E_ULD_PER (IE043) message contains detailed information about the goods expected. Unloading remarks will be sent back by the Trader to the Office of Destination by means of an Unloading Remarks E_ULD_REM (IE044) message. This may or may not be rejected.

In the first case, a rejection message the Unloading Remarks Rejection E_ULD_REJ (IE058) will be sent back to the Trader and the status will remain "Unloading". In the second case, the status will become "Unloading remarks": the Office of Destination will now analyse the Unloading remarks. There are 3 possibilities after having received the Unloading remarks:
- No control is performed, the Destination Control Results C_DES_CON (IE018) is sent and the goods are released.
- A decision to control is taken; the printout of the movement details has been requested to be used for the Destination Control Document on Paper E_DES_PAP (IE0120). This is performed in the same way as for normal procedure.
- Difficulties are detected during the unloading and a new unloading permission is sent (the status will become "Unloading").

Three special cases are also taken into consideration.

- The first case concerns a missing AAR. The consignment arrives and an arrival notification is sent from Trader at Destination to Office of Destination. In this case, an AAR Request C_AAR_REQ (IE002) will be sent to the Office of Departure and the status will become "AAR requested".

- The Office of Destination will recognise this as a case of missing AAR. In this case, after the reception of the AAR Response C_AAR_RSP (IE003), the Office of Destination will send back the Arrival Advice C_ARR_ADV (IE006) to the Office of Departure and the status will become "Arrival accepted". In case the AAR C_AAR_SND (IE001) is received and processed before the AAR Response C_AAR_RSP (IE003), the state of the movement will again be set to "Arrival Accepted".

If however, the request for the AAR is refused, by a "negative" AAR Response C_AAR_RSP (IE003), then the status will become "Diversion rejected" and no further processing is executed in NCTS.

- In case of diversion, the consignment will never arrive. A Forwarded Arrival Advice C_FWD_ARR (IE024) will then be sent to the declared Office of Destination. In that case, the status will be set to "Arrived". It should also be mentioned that when the Office of Destination receives the AAR Response C_AAR_RSP (IE003) the state of the movement changes from "AAR requested" to "AAR created". In case the Office of Destination receives a Forwarded Arrival Advice C_FWD_ARR (IE024) the movement reaches the final state: "Arrived".

The State Transition Diagram for a non-declared Office of Destination is similar. In these cases, the Office of Destination always needs to send an AAR Request C_AAR_REQ (IE002) upon receipt of the Arrival Notification E_ARR_NOT (IE007). This is also shown in Figure 93. In case of a positive AAR Response C_AAR_RSP (IE003), an Arrival Advice C_ARR_ADV (IE006) will be sent and the status will become "Arrival accepted".

The State Transition Diagram in the Figure 75 depicts the recovery states in the Office of Destination for the NCTS Phase 4.
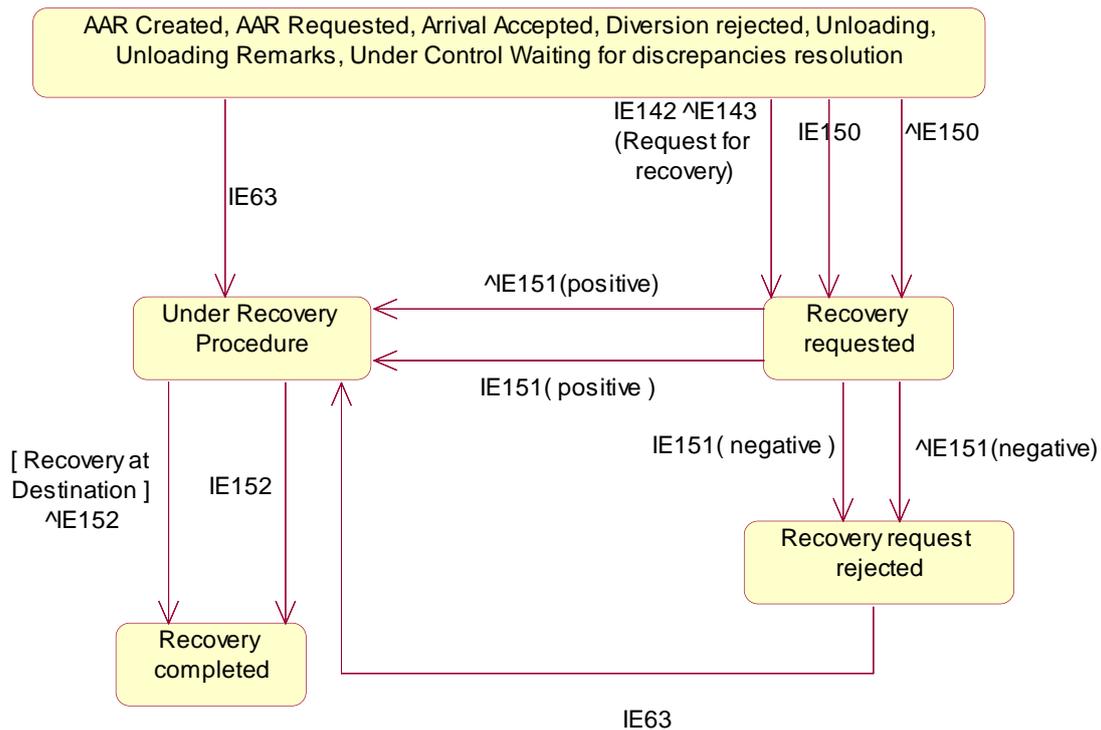
Figure 75: State Transition Diagram of the recovery states in the Destination in the NCTS Phase 4

Finally, when a movement is not in the "Goods released" or "Arrived" state the following can occur:

- The Competent Authority of Enquiry (at Destination) decides that it is responsible for recovery. If it has received the Enquiry Request C_ENQ_REQ (IE142) it sends an Enquiry Response C_ENQ_RSP (IE143), 'Request for Recovery at Destination' to the Competent Authority of Enquiry (at Departure) within the expected time period. Otherwise it sends a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery requested".
  - o If the Competent Authority of Recovery (at Departure) accepts that the country of Destination is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure" state, and recovery is carried out at Destination.
    - – When recovery has been completed at Destination the Competent Authority of Recovery (at Destination) sends a Recovery Dispatch Notification C_REC_DIS (IE152) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery completed".

    o   If the Competent Authority of Recovery (at Departure) does not accept that the country of Destination is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Recovery Request Rejected". Recovery is then carried out at the Office of Departure which sends the Recovery Communication C_REC_COM (IE063) to the Office of Destination. The state of the movement at Destination is then set to "Under recovery procedure".

- The Competent Authority of Recovery (at Destination) receives a Recovery request C_REC_REQ (IE150) from the Competent Authority of Recovery (at Departure) and the state of the movement is set to "Recovery requested".
  - o If the Competent Authority of Recovery (at Destination) accepts that it is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure".
    - − When recovery has been completed at Destination the Competent Authority of Recovery (at Destination) sends a Recovery Dispatch Notification C_REC_DIS (IE152) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery completed".
  - o If the Competent Authority of Recovery (at Destination) does not accept that it is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Recovery Request Rejected". Recovery is then carried out at the Office of Departure which sends the Recovery Communication C_REC_COM (IE063) to the Office of Destination. The state of the movement at Destination is then set to "Under recovery procedure".

In all the cases that the recovery has not been performed at the country of the Office of Destination, the Competent Authority of Recovery (at Destination) will receive from the Competent Authority of Recovery (at Departure) a Recovery Dispatch Notification C_REC_DIS (IE152) and the state will be set to "Recovery completed".

In the case the movement is not active anymore at the receiving Customs Office, the IE063 message and following the IE152 message must be accepted for information.

The list of states for Office of Destination is given in the following table:

Name	Status
Cancelled	R
AAR created	R
AAR requested	R
Arrived	R
Arrival accepted	R
Goods released	R
Diversion rejected	O
None	R
Waiting for discrepancies resolution	R
Unloading	O
Unloading remarks	O
Under control	O
Under recovery procedure	R

Name	Status
Recovery requested	R
Recovery Request rejected	R
Recovery completed	R

Table 9: States of an MRN in Office of Destination

III.III.3.4 Other Country

NCTS Phase 4 introduces the concept of recovery being accomplished in a country other than the country of Departure, the country of Destination or a country of Transit. This is reflected in the state transition below, where the movement is unknown. A country of Transit or Destination (actual) can also participate in the recovery procedure if the corresponding movement have reached the final state and is archived. In this case, the country of Transit or Destination acts as Other Country.
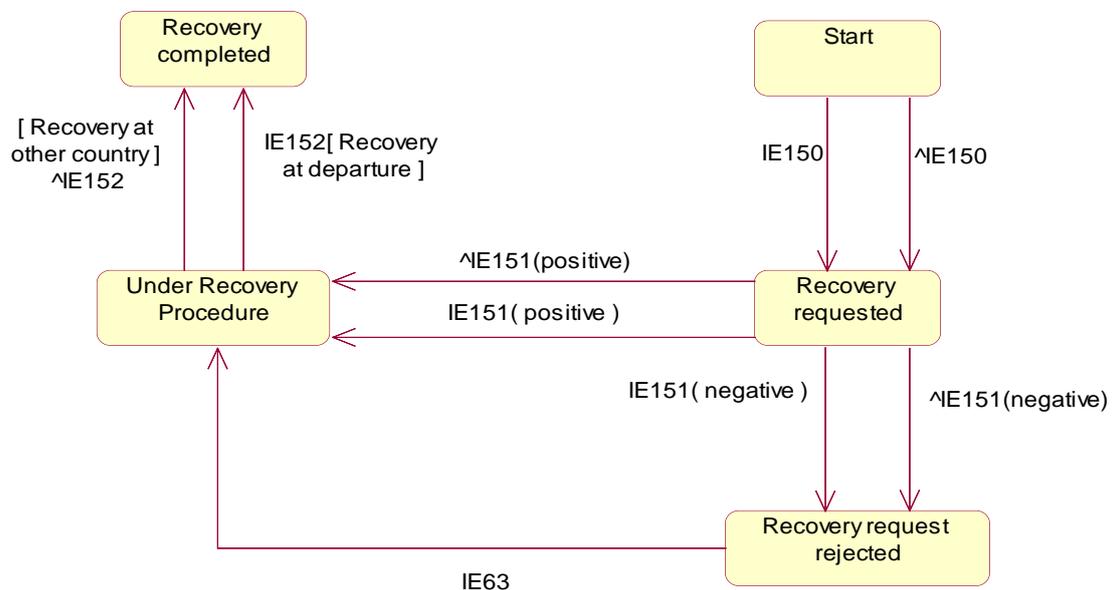
Figure 76: State Transition Diagram for another Office

- The Competent Authority of Recovery in another country receives the Recovery Request C_REC_REQ (IE150) from the Competent Authority of Recovery (at Departure) and the state of the movement is set to "Recovery requested".
  - o If the Competent Authority of Recovery in another country accepts that it is competent, it sends a positive Recovery Acceptance Notification C_REC_ACC (IE151) to the Competent Authority of Recovery (at Departure). The system records the start of the recovery procedure at the other country and the state of the movement is set to "Under recovery procedure".
    - – When recovery has been completed in the other country the Competent Authority of Recovery in the other country sends a Recovery Dispatch Notification C_REC_DIS (IE152) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery completed".
  - o If the Competent Authority of Recovery in another country does not accept that it is competent, it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Recovery Request Rejected". Recovery is then carried out at the Office of Departure

which sends the Recovery Communication C_REC_COM (IE063) to the Other Country. The state of the movement at the Competent Authority of Recovery in the other country is then set to "Under recovery procedure".

- The Competent Authority of Recovery in another country decides that it is competent and sends a Recovery Request C_REC_REQ (IE150) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery requested".
  - o If the Competent Authority of Recovery (at Departure) accepts that the other country is competent it replies with a positive Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Under recovery procedure" state, and recovery is carried out in the other country.
    - − When recovery has been completed in the other country the Competent Authority of Recovery in the other country sends a Recovery Dispatch Notification C_REC_DIS (IE152) to the Competent Authority of Recovery (at Departure). The state of the movement is set to "Recovery completed".
  - o If the Competent Authority of Recovery (at Departure) does not accept that the other country is competent it replies with a negative Recovery Acceptance Notification C_REC_ACC (IE151) and the state of the movement is set to "Recovery Request Rejected". Recovery is then carried out at the Office of Departure which sends the Recovery Communication C_REC_COM (IE063) to the Other Country. The state of the movement at the other country is then set to "Under recovery procedure".

In all the cases that the recovery has not been performed at the other country the Competent Authority of Recovery in the other country will receive from the Competent Authority of Recovery (at Departure) a Recovery Dispatch Notification C_REC_DIS (IE152) and the state will be set to "Recovery completed".

The list of states for an Office in an Other country is given in the following table:

Name	Status
None	R
Under recovery procedure	R
Recovery requested	R
Recovery request rejected	R
Recovery completed	R

Table 10: States of an MRN in the Office of Other Country

III.III.3.5 Cancellation

Please note that within NCTS cancellation of a movement after release is not available for EU countries. Therefore this functionality (cancellation of a movement after release) is only applicable to non-EU countries according to their legislation.

III.III.3.5.1   *Cancellation at Office of Departure*
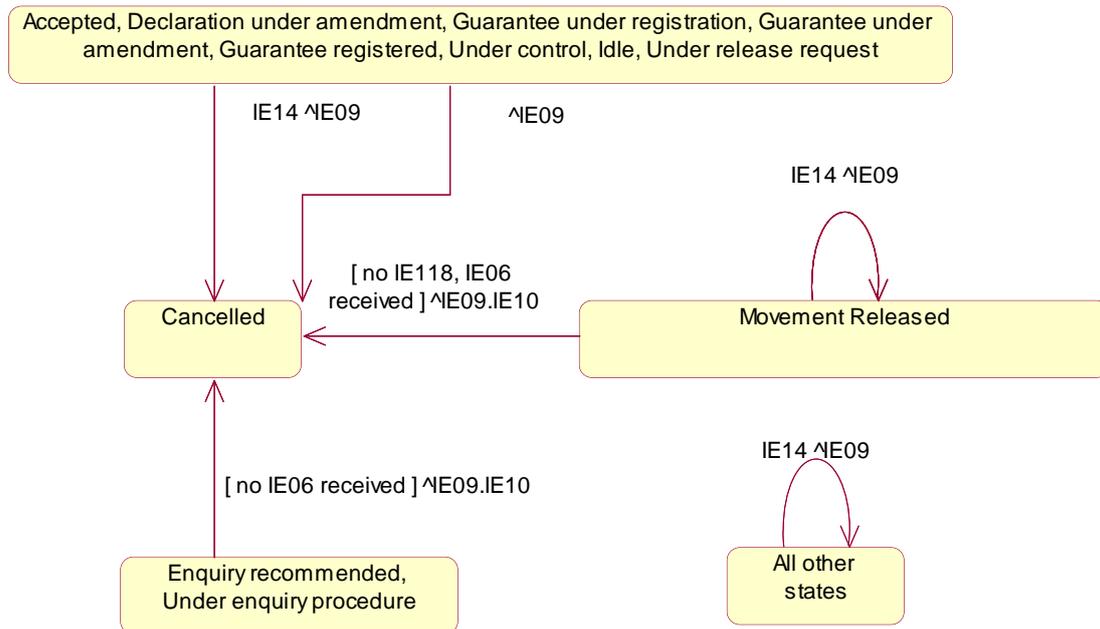
Figure 77: Cancellation at Departure

Please note that both Trader at Departure and Office of Departure can initiate cancellations. However, a Declaration Cancellation Request E_DEC_CAN (IE014) will be rejected once a transaction has been released for Transit. The Office of Departure can initiate cancellations itself.

No cancellations are possible when an Office of Destination or an Office of Transit has reported upon the movement.

Cancellation can happen as follows:
- Trader at Departure sends a Declaration Cancellation Request E_DEC_CAN (IE014), (before the movement has been released for Transit) replied by Office of Departure with a Cancellation Decision E_CAN_DEC (IE009); OR
- Office of Departure initiates a cancellation and informs the Trader at Departure with a Cancellation Decision E_CAN_DEC (IE009).
  - In case goods are released (IE001 and IE050 have been sent) and the NCF (IE118) and Arrival advice (IE006) have not been received.
  - In case the movement is under the "enquiry recommended" or "under enquiry procedure" and the arrival advice (IE006) has not been received.

For all states after the release of the movement, the cancellation will first be forwarded to Office of Destination and Office of Transit by means of Cancellation Notification C_CAN_NOT (IE010). These will reply by means of Cancellation Acknowledgement C_CAN_ACK (IE901).

III.III.3.5.2 *At Office of Transit and Office of Destination*

This is best summarised as follows:
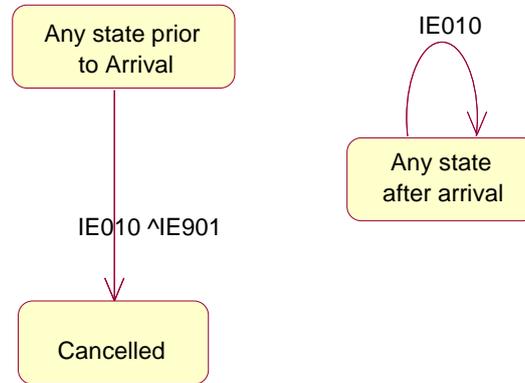
Figure 78: Cancellation at Office of Transit and Office of Destination

No cancellations are possible when the Office of Departure has received an NCF C_NCF_NOT (IE118) or Arrival Advice C_ARR_ADV (IE006) message.

III.III.3.6 Timers

Every Transit Application needs to conform to a number of timing rules. The different timing aspects are in this chapter. Basically, there are the following types of timers and/or timing rules to be implemented:
- Functional timers, as foreseen in FTSS [A4].
- Timers and timing rules, related to exceptions (these are also defined in FTSS [A4]).
- "Status request/response" and "International guarantee registration response" timers. These are defined in this document in paragraph III.I.2.4.4.

Except for the "Status request/response" and "International guarantee registration response" timers, the other timers will now be discussed in detail.

III.III.3.6.1 *Business Timers*

There are specific enquiry timers that trigger the initiation of the Handle Enquiry and Handle Recovery. The following table lists the functional timers related to the business threads and Elementary Business Processes of [A4]. For each timer, the table lists:
- Timer name.
- Process, event or condition triggering the timer.
- Process, event or condition stopping the timer.
- Process, event or condition started when the timer elapses (expires).

Declaration awaiting release request	
Started:	**CO1A1002-Handle results of a control** The Customs Officer performs control and optionally the seals are affixed or re-affixed. If any, the minor revisions are communicated to the Principal. Minor discrepancies are detected during the control of the goods and/or supporting documents. The Principal has not yet communicated his advice (IE017.HEADER.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.
Stopped:	The timer can be stopped in CO1A1600 if the Principal asks for release. The timer can also be stopped in the case the Trader makes opposition, i.e. the Trader does not accept the revisions and the movement cannot be released. Then the timer "Declaration awaiting release request" is stopped and the declaration is put in an idle state where it waits until further action.
Expires:	**Event E_Release request timer expired** The timer expires if the Principal does not ask for release; In that case, process CO1A2000 is started. The declaration is put in an idle state; the state of the Transit Operation is set to 'Idle'.
Awaiting for automatic release	
Started:	**CO1A0501 Accept declaration** The Declaration Data E_DEC_DAT (IE015) is submitted via electronic means, on paper or magnetic or optic media to the Office of Departure. When the Declaration Data E_DEC_DAT (IE015) is submitted 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 is valid and it was declared under simplified procedure then it awaits for the timer "Awaiting for automatic release" to expire. The state of the Transit Operation is set to 'Accepted'.
Stopped:	**CO1A0501 Accept declaration** When the declaration is declared under simplified procedure and is also used for the purpose of safety and security, if 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. **CO1A2100: Evaluate amendment request** Under simplified procedure the "Awaiting for automatic release" timer is stopped (if not yet expired). If the amendment request is invalid, then the reasons for rejection are returned via Amendment Rejection E_AMD_REJ (IE005) to the Principal. Under simplified procedure the "Awaiting for automatic release" timer remains stopped until another (valid) amendment is received. When the declaration is declared under simplified procedure and is also used for the purpose of safety and security, if 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. If the amendment is accepted, it is registered into NCTS, then the acceptance is communicated via Amendment Acceptance E_AMD_ACC (IE004) to the Principal. Under simplified procedure the 'Awaiting for automatic release' is restarted at its initial value.

	CO1A2200: Register control decision If the declaration 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 Otherwise the control consists of either a check of the supporting documents or a check of the supporting documents and the goods. 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. The Customs Officer takes the final decision to control. The timer "Awaiting for automatic release" is stopped.
Expires:	**Event "E_Time to release"** 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: CO1A2400 Prepare guarantee registration is started. Duties and taxes are calculated, the state of the Transit Operation is set to "Under guarantee registration".
Guarantee awaiting for amendment	
Started:	**CO1B1502: Evaluate guarantee registration result** 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. The state of the Transit Operation is set to "Guarantee under amendment".
Stopped:	**CO1B1900: Handle amendment of the declaration guarantee details** The Office of Departure receives a guarantee amendment via Declaration Amendment E_DEC_AMD (IE013) within the agreed time limit, this means before the expiration of the "Guarantee awaiting for amendment" timer. 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.
Expires:	**Event E_Guarantee amendment timer expires** At the expiration of the timer "Guarantee awaiting for amendment" the declaration is automatically not released for Transit. CO1B1101: Handle unsatisfactory guarantee result is executed. The system registers automatically the unsatisfactory control results in order to have a history log of the declaration. The system also notifies via No Release for Transit E_REL_NOT (IE051) the Principal that the goods are not released for Transit. The goods are not released, the state of the Transit Operation is set to "Not released for Transit".
Wait for automatic unloading permission	
Started:	**CO020102: Process arrival notification (Actual Office of Destination)** If no diversion occurred or if the national diversion is not prohibited, NCTS notifies via Arrival Advice C_ARR_ADV (IE006) the Office of Departure that the arrival is accepted and the arrival is recorded into NCTS. 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. **CO020202: Handle diversion response**

	When no diversion occurred (movement information not available at the Office of Destination) or when the diversion is accepted by the Office of Departure (IE003.HEADER.AAR rejection reason is absent), NCTS records the movement information (IE003.C_AAR_SND) into the system and notifies via the Arrival Advice C_ARR_ADV (IE006) the Office of Departure that the arrival is accepted. If the AAR-response identifies that NCTS is used for safety and security and if the Office receiving is the Office of first Entry, or if it can not determine whether or not it is the first Office of Entry, it shall perform full safety and security related risk analysis for all the goods. If risk is identified the Customs Officer is alerted and asked to register a control decision. In case of normal procedure the Customs Officer decides whether to control. In case of simplified procedure, if no risk is identified or if NCTS is not used for safety and security, 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.
Stopped:	The Customs Officer takes the decision to control the consignment. This event stops the timer "Wait for automatic unloading permission". **CO020202: Handle diversion response** In case of simplified procedure the sending of the unloading permission is blocked and the timer "Wait for automatic unloading permission" stopped and the next step is the Control of the goods.
Expires:	**E_Unloading authorisation timer expired** At the expiration of the timer "Wait for automatic unloading permission" the Trader is automatically notified that he/she can start the unloading of the goods.
Wait for documents	
Started:	**CO020102: Process arrival notification (Actual Office of Destination).** 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. 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.
Stopped:	The Customs Officer receives the document(s) from the Authorised Consignee. This event stops the timer "Wait for documents".
Expires:	At the expiration of the timer "Wait for documents" the Authorised Consignee is automatically notified that he/she has to return the document(s).
Time to start enquiry	
Started:	**CO1B1301 "Issue Transit transaction data"** The following dates are defined in the appropriate way when the movement is issued: • The expected arrival date of the movement at the Office of Destination, the date allowed for the movement to arrive at destination. This date, the expected arrival date, is commonly defined by the NAs; however, the Customs Officer at Departure will be able to overwrite it. This time-out indicates that an enquiry procedure should be started. • The date when the control results are expected to be returned from the Office of Destination (if no result is received within that period, an enquiry will have to be started - see CO04: Handle Enquiry). This date is the expected or actual arrival date plus a grace period (a fixed number of days (6) commonly

	defined by the NAs), which triggers the beginning of the enquiry.
Stopped:	**CO021801: Handle destination control results** The Office of Departure receives (IE018) the control results from the Office of Destination and NCTS records these control results. The timer is stopped. **CO020701: Store and forward arrival advice** The Office of Departure is notified (IE006) about the acceptance of an arrival by the Office of Destination. NCTS records the arrival of the consignment and the timer is stopped. **E_ start recovery** The Customs Officer initiates the Handle Recovery process in special cases (e.g. A fraud or another abnormal incident may have taken place) by manually expiring the timer "Recovery recommended". The state of the movement is set to "Recovery recommended".
Reset:	**CO042100: Send Enquiry Request - Start of enquiry procedure** The system allows the Customs Officer to postpone the enquiry process to a later time. The Customs Officer at the Office of Departure can choose to reset the timer as needed.
Expires:	**E_Time to prepare for sending Status Request** Major Event starting CO04: Handle Enquiry The time allotted for the receipt of the arrival advice or the receipt of the control results from the Office of Destination has expired. These time-outs indicate that an enquiry procedure should be started. These time-out points are defined by the Office of Departure when the Transit transaction is issued. In particular, the expected time of the receipt of control results is defined, as: • The time the transaction was issued, plus. • The estimated movement duration (i.e. the relevant value in the "box D"), plus. • Administratively defined grace period. The value of this "timer" may evolve during the lifetime of the movement. Upon receipt of the arrival advice, its value will change. When the Destination Control Results C_DES_CON (IE018) is received from the Office of Destination or when the movement is written-off for other reasons, the timer "disappears". The state is set to " Enquiry recommended" **E_start recovery** The mastertimer 'Recovery recommended' has expired. This time out indicates that recovery procedure should be started. A Customs Officer can also start the Recovery procedure manually at any time after the release of the movement. In the specific case that a Customs Officer suspects that a fraud or another abnormal incident may have taken place, he/she can initiate the enquiry process with a manual expiration of the "Time to start enquiry" timer. The state of the movement is set to "Enquiry recommended".
Wait for Response IE141	
Started:	**CO042100: Send Enquiry Request - Start of enquiry procedure** The Competent Authority at departure decides that it does not have sufficient information and sends a Request on non-Arrived Movement E_REQ_MOV (IE140) to the Principal. The state is set or remains to "Under enquiry

	procedure".
Stopped:	**CO043100: Check Provided Information** The Principal sends an Information about non-Arrived Movement E_MOV_RSP (IE141). Depending upon the information received the Competent Authority at Departure resumes the arrival process or forwards additional information to the declared or the actual Office of Destination or starts the recovery procedure. **CO021801: Handle destination control results** The Office of Departure receives (IE018) the control results from the Office of Destination and NCTS records these control results. The timer is stopped. **CO020701: Store and forward arrival advice** The Office of Departure is notified (IE006) about the acceptance of an arrival by the Office of Destination. NCTS records the arrival of the consignment and the timer is stopped. **E_ start recovery** The Customs Officer initiates the Handle Recovery process in special cases (e.g. a fraud or another abnormal incident may have taken place) by manually expiring the timer "Recovery recommended". The state of the movement is set to "Recovery recommended".
Expires:	**CO043100: Check Provided Information** The Principal does not respond and a negative response is assumed. The state is set to "Recovery recommended".
Recovery Recommended	
Started:	**CO1B1301 "Issue Transit transaction data"** When the movement is issued, the timer "recovery recommended" is set at as the expected arrival date plus a grace period (a fixed number of 7 months commonly defined by the NAs).
Stopped:	**CO021801 Handle destination control results** When no discrepancies have been detected (IE018.CONTROL RESULT Control result type equal to "A") then the Customs Officer at Departure records the write-off. The "Recovery recommended" timer stops. **CO021701 Solve Discrepancies** Discrepancies have been reported in C_DES_CON (IE018). After the discrepancies have been solved the Office of Departure records the write-off. The "Recovery recommended" timer stops. **CO040005 Recovery Request from Office of Destination or any other office** The Office of Destination based on the information available, assumes itself competent for recovery and therefore it sends an Enquiry Response C_ENQ_NEG (IE143) with the value "competent for recovery" set. The Competent Authority of Recovery (at other country) assumes itself competent for recovery and therefore it sends a Recovery Request C_REC_REQ (IE150) to the Office of Departure. **CO050200 Send Recovery request to the Competent Authority of Country of Destination** The Competent Authority of Recovery at Departure decides that it is not competent for recovery and therefore sends a Recovery request C_REC_REQ (IE150) to the Competent Authority in another country. In both cases the timer "Recovery recommended" stops and the state of the movement is set to "Recovery recommended".
Expires:	**E_start recovery**

	The timer expires and the time out indicates that recovery procedures should be started. The time out period is defined by the Competent Authority of Country of Departure using the values permitted in the legal framework.
	Furthermore, in special cases (e.g. a fraud or another abnormal incident may have taken place), the Customs Officer can initiate the Handle Recovery process by manually expiring the timer "Recovery recommended". The state of the movement is set to "Recovery recommended".
Wait for Enquiry response	
Started:	**CO042100:Send Enquiry Request – Start of enquiry procedure** If the information available is considered sufficient it starts the enquiry procedure by sending the Enquiry Request C_ENQ_REQ (IE142) to the declared Office of Destination and the timer "Wait for enquiry response" is set. **CO40402:Send enquiry request to the indicated office** Based on information received from the trader the Competent Authority of Country of Departure sends the Enquiry Request C_ENQ_REQ (IE142) to the actual Office of Destination and the timer "Wait for enquiry response" is set.
Stopped:	**CO040002:Waiting for paper control results to arrive** The Office of Destination sends an Enquiry Response C_ENQ_NEG (IE143), indicating that the movement has arrived and it can be written off based on the paper copy that will arrive. Upon the receipt of the paper control results, the arrival process is resumed. **CO040003:Handle negative enquiry response** The Office of Destination sends an Enquiry Response C_ENQ_NEG (IE143) indicating that the movement is unknown at destination or a duplicate has been found. **CO021803- Cancel enquiry process** The Customs Officer at Departure, that has previously requested an enquiry, can proceed with a cancellation of an enquiry and the timer "wait for enquiry response" is stopped. **CO020701 Store and forward arrival advice** Upon receipt of a valid Arrival Advice C_ARR_ADV (IE006) at the Office of Departure, the "Wait for Enquiry Response" timer stops if it has already been initiated. **CO021801 Handle destination control results** Upon receipt of a valid Destination Control Results C_DES_CON (IE018) at the Office of Departure, the "Wait for Enquiry Response" timer stops if it has already been initiated. **CO040005 Recovery Request from Office of Destination or any other office** The Office of Destination based on the information available, assumes itself competent for recovery and therefore it sends an Enquiry Response C_ENQ_NEG (IE143) with the value "competent for recovery" set. The Competent Authority of Recovery (at other country) assumes itself competent for recovery and therefore it sends a Recovery Request C_REC_REQ (IE150) to the Office of Departure. The "Wait for enquiry response" timer stops if it has already been initiated. In both cases, the movement is set in the "Recovery recommended" state. **E_ start recovery** The Customs Officer initiates the Handle Recovery process in special cases (e.g. a fraud or another abnormal incident may have taken place) by manually expiring the timer "Recovery recommended". The state of the movement is set

	to "Recovery recommended".
Expires:	**CO040003:Handle negative enquiry response** The Competent Authority of Enquiry that received the IE142 does not respond with an IE143 and the "Wait for enquiry response" timer expires. The state remains "Under Enquiry procedure" and the cancellation of the pending enquiry is performed by sending the Enquiry Cancellation C_CAN_ENQ (IE059) to the Competent Authority of Enquiry that received the latest IE142. The Customs Officer at Departure can send a new Enquiry Request C_ENQ_REQ (IE142) afterwards.
Wait for Recovery Acceptance Notification	
Started:	**CO050200:Send Recovery request to the Competent Authority of Country of Destination** The Competent Authority at departure decides that it is not competent and sends a Recovery request C_REC_REQ (IE150) to the Competent Authority in another country.
Stopped:	**CO050400:Accomplish Recovery procedure at Departure** The Competent Authority in another country sends a negative Recovery acceptance notification C_REC_ACC (IE151) and the Competent Authority at departure starts the recovery procedure. **CO050700:Sends information to involved parties** The Competent Authority in another country sends a positive Recovery acceptance notification C_REC_ACC (IE151) and starts the recovery procedure.
Expires:	**CO050400:Accomplish Recovery procedure at Departure[17]** The Competent Authority in another country does not send a negative Recovery acceptance notification C_REC_ACC (IE151). The Competent Authority at Departure starts the recovery procedure.

Table 11: Business timers

III.III.3.6.2 *Exception Timers*

Two major examples of business exceptions are found in the amendment of a declaration (which is included in process thread CO1A - Process Departure) and in the cancellation of a Transit Operation (which corresponds to process thread CO06 - Handle Cancellation). But the same situation is encountered any time an exceptional situation has been considered important enough to be treated as a part of the normal business flow. For example, various timers have been included in the normal business flow to deal with situations where a given Transit Operation is not completed within a pre-set time.

If an exception must be satisfactorily dealt with within a limited period of time and this time limit is already defined, it is documented in the column *Time Constraint* of Appendix D of FTSS [A4].

When acknowledgement is implemented, either the acknowledgement or an error notification must be received within a set period of time. The non-reception of either an acknowledgement or an error notification within this set period of time is considered as a failure of the information interchange mechanism. A transaction involving an information

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[17] The FTSS does not cater for the case where no IE151 is sent, but it has been assumed that if there is no response departure will assume competence.

interchange will therefore not be completed as long as an acknowledgement has not been received.

This table gives the detailed results of the analysis of functional exception handling. All individual cases of exception are sorted per Elementary Business Process and are documented with the following information:

Exception Handling Information Type	Description
Description	Shortly describes the exception, based on the normal description of the corresponding Elementary Business Process.
Security impact	States whether this exception has a security impact (Yes/No).
Time constraint	Gives the time limit for the handling of this exception, if it has already been defined.
Specific solution	Describes the specific business response to this exception or comments on the applicability of generic solutions or on time constraints.
Generic solution	Provides reference to the generic business response(s) applicable to this exception, as described in Section VII, chapter Exception Handling.
Prevention	Describes possible ways to prevent this exception or to limit its impact.

Table 12: Exception Handling Information Type

The following table describes the timers that are related to exceptions. Additional information on the affected EBPs is also provided in the table.

EBP / Description	Impact Business / Secur.	Time constraint	Specific Solution / Comments Generic Solution(s)	Prevention
CO020300-HANDLE DIVERSION				
AAR response cannot be transmitted to requesting Office of Destination [Failure of AAR response C_AAR_RSP (IE003)].	International/Yes	< 60 seconds	2.1.7 Take a Business Decision. 2.1.4 Broadcast Information on Unavailability. 2.2.6 No Intervention - Wait. 2.3.4 Repeat an Operation. 2.2.1 Use Alternate Communication Medium.	
CO020600 DECIDE TO CONTROL				
No control and normal procedure but control results cannot be sent to Office of Departure [Failure of Destination Control Results C_DES_CON (IE018)].	International / Yes	Grace period	Time constraint depends on 'Grace period' defined in CO1B1301. 2.1.7 Take a Business Decision. 2.1.4 Broadcast Information on Unavailability. 2.2.6 No Intervention - Wait. 2.3.4 Repeat an Operation. 2.2.1 Use Alternate Communication Medium.	
CO021200 STORE & ANALYSE UNLOADING REMARKS				
Validity of received information cannot be checked or Unloading remarks cannot be stored or releasing of the goods from Transit cannot be recorded. Assimilated to system failure	Local/ No	Grace period	Time constraint depends on 'Grace period' defined in CO1B1301. 2.1.7 Take a Business Decision. 2.1.4 Broadcast Information on Unavailability. 2.2.6 No Intervention - Wait. 2.2.3 Revert to Manual with Subsequent Input. 2.3.5 Enter Data Using the Normal NCTS Procedure.	
Control results cannot be sent to Office of Departure [Failure of Destination Control Results C_DES_CON (IE018)].	International/ Yes	Grace period	Time constraint depends on 'Grace period' defined in CO1B1301. 2.1.7 Take a Business Decision. 2.1.4 Broadcast Information on Unavailability. 2.2.6 No Intervention - Wait. 2.3.4 Repeat an Operation.	
CO021500 RECORD CONTROL RESULTS				
Control results cannot be recorded	International/ No	Grace period	Time constraint depends on 'Grace period' defined in CO1B1301. 2.1.7 Take a Business Decision. 2.2.6 No Intervention - Wait. 2.2.3 Revert to Manual with Subsequent Input. 2.3.5 Enter Data Using the Normal NCTS Procedure.	

EBP / Description	Impact Business / Secur.	Time constraint	Specific Solution / Comments Generic Solution(s)	Prevention
CO030300 VALIDATE PASSAGE				
Data cannot be retrieved and/or checked within time limit = system unavailable	International/ Yes	1 minute	2.1.7 Take a Business Decision. 2.2.6 No Intervention - Wait. 2.2.3 Revert to Manual with Subsequent Input. 2.3.5 Enter Data Using the Normal NCTS Procedure.	
CS1A0200 NOTIFY MODIFICATION TO COMMON DOMAIN				
National System unavailable to process modification of Customs Office	International/ No	1 month	Changes should reach NCTS countries 1 month before activation date. If alternate communication medium is used, transitional process CO010900 can be used by the Central Services Office to introduce changes into the system 2.2.6 No Intervention - Wait. 2.2.1 Use Alternate Communication Medium.	If NAs communicate the changes to Common Domain as soon as they are known, this relieves the time constraint.
CS1A0300 PROCESS MODIFICATION FROM NA				
Notification of Customs Offices Modification to Common Domain is not received [loss of Notification of Customs Offices Modification to Common Domain C_COL_COM (IE030)].	International/ No	1 month	Changes should reach NCTS countries 1 month before activation date The NA that initiated the change will never be able to implement it and should enquire. If needed Notification of Customs Offices Modification to Common Domain C_COL_COM (IE030) can be resent. 2.1.1 Enquire on Missing Information. 2.3.4 Repeat an Operation.	Acknowledgement of Notification of Customs Offices Modification to Common Domain C_COL_COM (IE030) by Common Domain.
Notification of Customs Offices Modification to Common Domain C_COL_COM (IE030) cannot be processed (Common Domain system unavailable).	International/ No	1 month	Changes should reach NCTS countries 1 month before activation date. 2.2.6 No Intervention - Wait.	If NAs communicate the changes to Common Domain as soon as they are known, this relieves the time constraint.
CS1A0500 PROCESS MODIFICATION FROM COMMON DOMAIN INTO NATIONAL DOMAIN				
Notification of Customs Offices Modification to National Domain is not received by the NA that initiated the change [loss of Notification of Customs Offices Modification to Common Domain C_COL_COM	International/ No	1 month	Changes should reach NCTS countries 1 month before activation date. 2.1.1 Enquire on Missing Information. 2.1.7 Take a Business Decision.	Systematic verification of the received information by the NA that initiated the change would permit to insure that the modification procedure has been correctly implemented

EBP / Description	Impact Business / Secur.	Time constraint	Specific Solution / Comments Generic Solution(s)	Prevention
(IE030) or failure of Central Services or loss of Notification of Customs Offices modification to National Domain C_COL_NAT (IE031)].				

Table 13: Timers related to exceptions

III.III.3.7 Status request/response timers

Please refer to paragraph III.I.2.4.4.

Moreover, it should be mentioned that the Office of Transit needs the missing ATR very fast (e.g. to avoid traffic jams at the frontiers) and, thus, it is recommended to be sent within 1 minute.

III.III.3.8 CCN/CSI Related Timers

A CCN/CSI report message (see Section X) is sent back to the sender:
- CoD report [CCN/CSI Confirm on Delivery Acknowledgement C_COD_ACK (IE908)] when the message has been read by the receiving application and deleted from the queue;
- CoA report [CCN/CSI Confirm on Arrival Acknowledgement C_COA_ACK (IE909)] when the message has arrived on the remote Gateway;
- Expiration report [CCN/CSI Expiration Notification C_EXP_NOT (IE910)] when a value of time lapse set in the CSIMQMD.Expiry variable has expired: the message, once arrived on destination queue (CoA), was not fetched from this queue by an application program during the time allotted.

An exception report [CCN/CSI Exception Notification C_EXC_NOT (IE911)] is generated if the CSI message is blocked and the message cannot be put in the destination queue for whatever reason. The receiving CCN Gateway generates an *exception report*.

When the CCN/CSI Confirm on Arrival Acknowledgement C_COA_ACK (IE909) has been received but the original message has not been read from the destination queue before the timer set by the 'Expiry' field of the message descriptor expires, an expiration report is generated. The *expiration timer* is handled by the destination CCN Gateway.
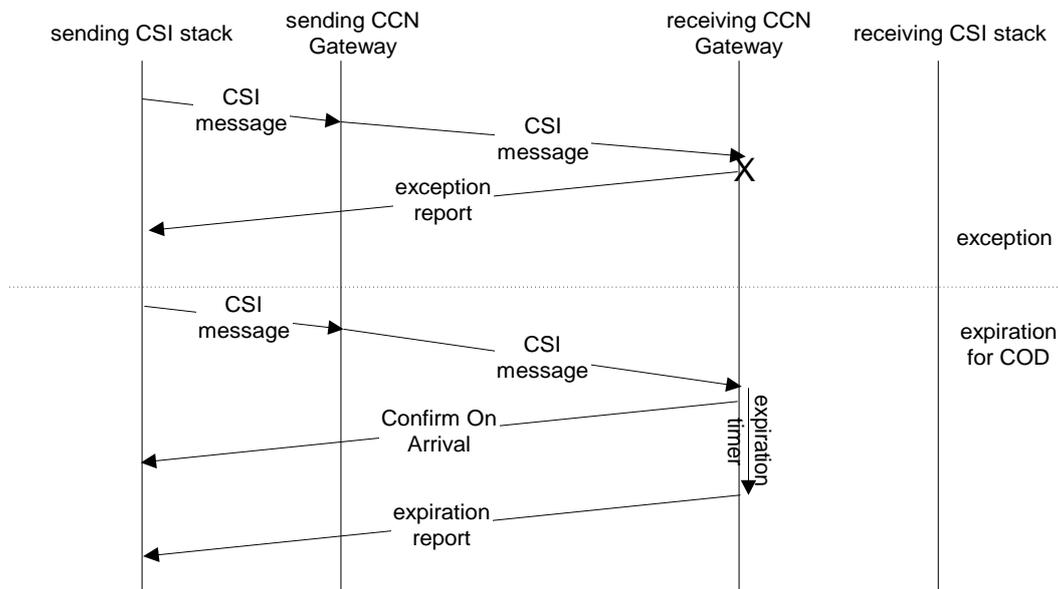
Figure 79: Exception and expiration reports

All possible options for the use of the QoS parameters and their exceptions are defined in Section VIII of [A5]. This State Transition Diagram specifies the states of one CSI message

present in the sending CSI stack, with respect to the use of CCN. It assumes that the binding of the CSI stack to the CCN Gateway has successfully taken place.

Section IV   Central Services

This Section from [A5] Section II is applicable to NCTS Phase 4.

Section V   Systems Administration

This Section from [A5] Section III is applicable to NCTS Phase 4.

Section VI   Technical Message Structure

This Section from [A5] Section IV is applicable to NCTS Phase 4.

Section VII   Design principles

The Section V of [A5] is applicable to NCTS. Any deviation or NCTS specific information is specified below.

Sub-Section VII.I Approach

The Section V.1 [A5] is applicable to NCTS.

Sub-Section VII.II   Exception Handling

The Section V.3 of [A5] is applicable to NCTS Phase 4. However it should be noted that for NCTS External Domain the following messages are used to report functional errors:
- Arrival notification rejection (IE008: E_ARR_REJ)
- Declaration rejected   (IE016: E_DEC_REJ)
- Unloading remarks rejection (IE058: E_ULD_REJ)
- Amendment rejection (IE005: E_AMD_REJ)
- Release request rejection (IE062: E_REQ_REJ).

Sub-Section VII.III   Constraints

VII.III.1   Introduction

This section describes constraints that National Applications must fulfil in order to participate in one of the Customs systems. The following types of constraints are considered:
- Performance constraints.
- Timing constraints.
- Availability constraints.

VII.III.2   Performance Constraints

The section V.4.2 of [A5] is applicable to NCTS.

VII.III.3   Timing constraints

See Chapters III.III.3 and III.III.3.6 for the timing constraints applicable to NCTS.

VII.III.4   Availability Constraints

The section V.4.4 of [A5] is applicable to NCTS.

VII.III.5   *Suspension of sending messages*

The following table identifies, which messages should not be sent to an NA when each of the following specific Business Services is unavailable at that NA.

Technical code	Messages
A – All	IE001, IE002, IE006, IE010, IE018, IE020, IE024, IE027, IE031, IE032, IE034, IE050, IE063, IE071, IE114, IE118, IE142, IE143, IE144, IE145, IE150, IE151, IE152, IE200, IE203, IE204, IE209, IE904
B – Departure Processing	IE002, IE006, IE018, IE027, IE114, IE118
C – Arrival Processing	IE001, IE010, IE020, IE024, IE904
D – Guarantee	IE034, IE200, IE203, IE204, IE209
E – Enquiry	IE142, IE144, IE145, IE150, IE152, IE063, IE059
G – Office of Transit Processing	IE010, IE024, IE050, IE904
H – Reference Data	IE031, IE032, IE071
M - OLAF	IE011

Table 14: Suspension of sending messages for NCTS Phase 4

Section VIII EDIFACT message formatting

The Section VI of [A5] is applicable to NCTS defining the EDIFACT message formatting principles. Any deviation or NCTS specific information is specified below.

Sub-Section VIII.I Mapping of Information Exchanges

This chapter contains the structure of all messages for NCTS. It also contains various tables that list which Information Exchanges of NCTS are mapped to the EDIFACT message templates (e.g. CUSDEC, CUSRES). These are all part of the D96B-directory.

VIII.I.1 Mapping overview

The following tables contain the lists of the mapping of the Information Exchanges of NCTS to UN/EDIFACT UNSMs and their code used in that particular UNSM. In general, an Information Exchange of NCTS is mapped to CUSDEC D96B when it is used to exchange declaration data or when it is the first message initiated between two communicating organisations. If an Information Exchange is a response to a received Information Exchange and is not used to exchange declaration data, it is mapped to CUSRES D96B. The other UNSM serve specific purposes.

The correlation between the Information Exchanges and the EDIFACT UNSMs can be found in Appendix I for NCTS.

The tables below also define the message type string (to be included in segment UNH) for the various Information Exchanges. CD identifies the exchange across the Common Domain. The 'A' represents the version of the FMS structure ('A' being the first version implemented).

VIII.I.2 CUSDEC (CORE) Correlation Table

Table 15 below lists the Information Exchanges that are mapped to CUSDEC D96B. For each Information Exchange, the table shows the Information Exchange number, name, reference name and the Message Type string used for the Information Exchange (mapped to the UNH[1].S009.0057 (Association assigned code) element in EDIFACT).

IE	IE Name	Reference	Message Type string
IE001	AAR	C_AAR_SND	CD001B
IE002	AAR Request	C_AAR_REQ	CD002A
IE003	AAR Response	C_AAR_RSP	CD003B
IE004	Amendment Acceptance	E_AMD_ACC	CC004A
IE007	Arrival Notification	E_ARR_NOT	CC007A
IE010	Cancellation Notification	C_CAN_NOT	CD010A
IE011	Sensitive Goods Notification	C_SGI_NOT	CD011A
IE012	AAR-TIR-SPEED	C_AAR_SPD	CD012B

IE	IE Name	Reference	Message Type string
IE013	Declaration Amendment	E_DEC_AMD	CC013B
IE014	Declaration Cancellation request	E_DEC_CAN	CC014A
IE015	Declaration Data	E_DEC_DAT	CC015B
IE017	Departure Control Results	N_DEP_CON	CC017B
IE018	Destination Control Results	C_DES_CON	CD018B
IE019	Discrepancies	E_DIS_SND	CC019A
IE020	Discrepancies Solved Notification	C_DIS_SOL	CD020A
IE021	AAR Rejection Notification	E_REJ_NOT	CC021A
IE023	Guarantor Notification	E_GUA_NOT	CC023A
IE027	Movement Query	C_MVT_QUE	CD027A
IE029	Release for Transit	E_REL_TRA	CC029B
IE038	Response to Movement Query	C_MVT_RSP	CD038B
IE043	Unloading Permission	E_ULD_PER	CC043A
IE044	Unloading Remarks	E_ULD_REM	CC044A
IE045	Write-off Notification	E_WRT_NOT	CC045A
IE050	ATR	C_ATR_SND	CD050B
IE051	No Release for Transit	E_REL_NOT	CC051B
IE054	Request of Release	E_REQ_REL	CC054A
IE055	Guarantee not Valid	E_GUA_INV	CC055A
IE059	Cancel Enquiry Notification	C_CAN_ENQ	CD059A
IE100	Ask for Documents	E_ASK_DOC	CC100A
IE114	ATR Request	C_ATR_REQ	CD114A
IE115	ATR Response	C_ATR_RSP	CD115B
IE118	NCF	C_NCF_NOT	CD118A
IE140	Request on non-Arrived Movement	E_REQ_MOV	CC140A
IE142	Enquiry Request	C_ENQ_REQ	CD142A
IE145	Enquiry Information Request	C_INF_REQ	CD145A
IE150	Recovery Request	C_REC_REQ	CD150A

IE	IE Name	Reference	Message Type string
IE152	Recovery Dispatch Notification	C_REC_DIS	CD152A
IE200	Guarantee Check	C_GUA_CHE	CD200A
IE203	Guarantee Use	C_GUA_USE	CD203A
IE204	Guarantee Use Cancellation	C_GUA_CAN	CD204A
IE209	Credit Reference Amount	C_GUA_CRE	CD209A
IE904	Status Request	C_STD_REQ	CD904A

Table 15: Information Exchanges of NCTS mapped to CUSDEC D96B

VIII.I.3 CUSRES (Core) Correlation Table

Table 16 below lists the Information Exchanges that are mapped to CUSRES D96B. For each Information Exchange, the table shows the Information Exchange number, name, reference name and the Message Type string used for the Information Exchange (mapped to the UNH[1].S009.0057 (Association assigned code) element in EDIFACT).

IE	IE Name	Reference	Message Type string
IE006	Arrival Advice	C_ARR_ADV	CD006A
IE009	Cancellation Decision	E_CAN_DEC	CC009A
IE024	Forwarded Arrival Advice	C_FWD_ARR	CD024A
IE025	Goods Release Notification	E_GDS_REL	CC025A
IE028	MRN Allocated	E_MRN_ALL	CC028A
IE035	Recovery Notification	E_REC_NOT	CC035A
IE060	Control Decision Notification	E_CTR_DEC	CC060A
IE063	Recovery Communication	C_REC_COM	CD063A
IE141	Information about non-Arrived Movement	E_MOV_RSP	CC141A
IE143	ENQUIRY RESPONSE	C_ENQ_NEG	CD143A
IE151	Recovery Acceptance Notification	C_REC_ACC	CD151A
IE201	Guarantee Check Result	C_GUA_RES	CD201A
IE205	Guarantee Use Result	C_GUA_USR	CD205A
IE901	Cancellation Acknowledgement	C_CAN_ACK	CD901A
IE905	Status Response	C_STD_RSP	CD905A
IE913	Upload Parsing Response	C_UPL_RSP	CD913A

IE	IE Name	Reference	Message Type string
IE928	Positive Acknowledge	E_POS_ACK	CC928A

Table 16: Information Exchanges of NCTS mapped to CUSRES D96B

All rejection messages, serving to reject previously sent information, as well as the functional error message Functional NACK C_FUN_NCK (IE906), are mapped to CUSRES. These rejection messages (in total) now use the same technique as used for the notification of a functional error via Functional NACK C_FUN_NCK (IE906). The Data Group FUNCTIONAL ERROR has been added for this purpose.

Appendix I contains the correlation tables for the different UNSMs. The correlation between these messages and CUSRES is shown under the label FUNACK to distinguish the core messages mapped to CUSRES from the functional error messages mapped to CUSRES (see also Table 17).

IE	IE Name	Reference	Message Type string
IE005	Amendment Rejection	E_AMD_REJ	CC005A
IE008	Arrival Notification Rejection	E_ARR_REJ	CC008A
IE016	Declaration Rejected	E_DEC_REJ	CC016A
IE058	Unloading Remarks Rejection	E_ULD_REJ	CC058A
IE062	Release Request Rejection	E_REQ_REJ	CC062A
IE906	Functional NACK	C_FUN_NCK	CD906A

Table 17: Rejection and functional error messages of NCTS

A minimal requirement for the Functional NACK C_FUN_NCK (IE906) is to exchange the first error detected in a message that has been received. Optionally any other detected errors in the same message can be exchanged in the same Functional NACK C_FUN_NCK (IE906). It is not allowed to exchange more than one Functional NACK C_FUN_NCK (IE906) to report several functional errors detected in one message.

The Amendment Rejection E_AMD_REJ (IE005), Arrival Notification Rejection E_ARR_REJ (IE008), Declaration Rejected E_DEC_REJ (IE016), Unloading Remarks Rejection E_ULD_REJ (IE058) and Release Request Rejection E_REQ_REJ (IE062) have to contain all errors detected in an Declaration Amendment E_DEC_AMD (IE013), Arrival Notification E_ARR_NOT (IE007), Declaration Data E_DEC_DAT (IE015), Unloading Remarks E_ULD_REM (IE044) and Request of Release E_REQ_REL (IE054) respectively.

The Functional NACK C_FUN_NCK (IE906) is a high-priority message.

VIII.I.4 PARTIN Correlation Table

Table 18 below lists the Information Exchanges that are mapped to PARTIN D96B. For each Information Exchange, the table shows the Information Exchange number, name, reference name and the Message Type string used for the Information Exchange (mapped to the UNH[1].S009.0057 (Association assigned code) element in EDIFACT). These messages are not high-priority messages.

IE	IE Name	Reference	Message Type string
IE030	Notification of Customs Offices Modification to Common Domain	C_COL_COM	CD030B
IE031	Notification of Customs Offices Modification to National Domain	C_COL_NAT	CD031B
IE914	COL Request	C_COL_REQ	CD914A
IE931	COL Data	C_COL_DAT	CD931A
IE931	COL Data	C_COL_DAT	CD931B

Table 18: Information Exchanges of NCTS mapped to PARTIN D96B

VIII.I.5 GESMES Correlation Table

Table 19 below lists the Information Exchanges that are mapped to GESMES D96B. For each Information Exchange, the table shows the Information Exchange number, name, reference name and the Message Type string used for the Information Exchange (mapped to the UNH[1].S009.0057 (Association assigned code) element in EDIFACT). These messages are not high-priority messages.

IE	IE Name	Reference	Message Type string
IE032	Notification of Common Reference Data Modification to ND	C_REF_MOD	CD032B
IE411	Sending of Statistics Data	C_STA_SND	CD411B
IE916	Common RD Request	C_REF_REQ	CD916A
IE932	Common RD Data	C_REF_DAT	CD932B

Table 19: Information Exchanges of NCTS mapped to GESMES D96B

VIII.I.6 BANSTA Correlation Table

Table 20 below lists the Information Exchanges that are mapped to BANSTA D96B. For each Information Exchange, the table shows the Information Exchange number, name, reference name and the Message Type string used for the Information Exchange (mapped to the UNH[1].S009.0057 (Association assigned code) element in EDIFACT). These messages are not high-priority messages.

IE	IE Name	Reference	Message Type string
IE034	Query on Guarantees	C_GUA_QUE	CD034A
IE037	Response Query on Guarantees	C_GUA_RSP	CD037A

IE	IE Name	Reference	Message Type string
IE918	MRN List Query	C_MRN_QUE	CD918A
IE919	MRN List Response	C_MRN_RSP	CD919A

Table 20: Information Exchanges of NCTS mapped to BANSTA D96B

VIII.I.7 FINSTA Correlation Table

Table 21 below lists the Information Exchanges that are mapped to FINSTA D96B. For each Information Exchange, the table shows the Information Exchange number, name, reference name and the Message Type string used for the Information Exchange (mapped to the UNH[1].S009.0057 (Association assigned code) element in EDIFACT). These messages are not high-priority messages.

IE	IE Name	Reference	Message Type string
IE225	Guarantee Update Notification	E_GUA_WUP	CC225A
IE228	Comprehensive Guarantee Cancellation Liability Liberation	E_GOG_CNL	CC228A
IE229	Individual Guarantee Voucher Revocation Notification	E_IGV_RNG	CC229A
IE231	Comprehensive Guarantee Cancellation Notification	E_COG_CNP	CC231A

Table 21: Information Exchanges of NCTS mapped to FINSTA D96B

VIII.I.8 SANCRT Correlation Table

Table 22 below lists the Information Exchanges that are mapped to SANCRT D96B. For each Information Exchange, the table shows the Information Exchange number, name, reference name and the Message Type string used for the Information Exchange (mapped to the UNH[1].S009.0057 (Association assigned code) element in EDIFACT). These messages are not high-priority messages.

IE	IE Name	Reference	Message Type string
IE026	Guarantee Access Code	E_ACC_COD	CC026A
IE224	Individual Guarantee Voucher Sold	E_IGV_INF	CC224A

Table 22: Information Exchanges of NCTS mapped to SANCRT D96B

VIII.I.9 CONTRL Correlation table

The EDIFACT NACK C_EDI_NCK (IE907) is the only message mapped upon CONTRL. Its message type string is equal to CD907A. It is a high-priority message.

Sub-Section VIII.II   Message Hierarchies

The correct order of the Data Groups can be found in Appendix Y.

Section IX   XML message formatting

The Section VII of DDCOM [A5] is applicable to NCTS.

Section X   Transport of messages via CCN/CSI

The Section VIII of [A5] is applicable to NCTS defining the principles for the Transport of messages via CCN/CSI. Any deviation or NCTS specific information is specified below.

Sub-Section X.I   The CCN communication reminder

X.I.1   The quality of service

The Section VIII.2.6 of [A5] is applicable to NCTS.

In the following table the main messages for NCTS are defined.

IE	IE Name	Reference	Message Type string	H.P	CORE
IE001	AAR	C_AAR_SND	"CD001B-MSG.NCTS"		✓
IE002	AAR Request	C_AAR_REQ	"CD002A-MSG.NCTS"	✓	✓
IE003	AAR Response	C_AAR_RSP	"CD003B-MSG.NCTS"	✓	✓
IE006	Arrival Advice	C_ARR_ADV	"CD006A-MSG.NCTS"	✓	✓
IE010	Cancellation Notification	C_CAN_NOT	"CD010A-MSG.NCTS"	✓	✓
IE011	Sensitive Goods Notification	C_SGI_NOT	"CD011B-MSG.NCTS"		✓
IE012	AAR-TIR-SPEED	C_AAR_SPD	"CD012B-MSG.NCTS"		
E018	Destination Control Results	C_DES_CON	"CD018B-MSG.NCTS"		✓
IE020	Discrepancies Solved Notification	C_DIS_SOL	"CD020A-MSG.NCTS"		✓
IE024	Forwarded Arrival Advice	C_FWD_ARR	"CD024A-MSG.NCTS"	✓	✓
IE027	Movement Query	C_MVT_QUE	"CD027A-MSG.NCTS"	✓	✓
IE030	Not. Of COL mod. To CD	C_COL_COM	"CD030B-MSG.NCTS"		
IE031	Not. Of COL mod. To ND	C_COL_NAT	"CD031B-MSG.NCTS"		
IE032	Not. Of RD mod. To ND	C_REF_MOD	"CD032B-MSG.NCTS"		
IE034	Query on Guarantees	C_GUA_QUE	"CD034A-MSG.NCTS"		✓
IE037	Response Queries on Guarantees	C_GUA_RSP	"CD037A-MSG.NCTS"		✓
IE038	Response to Movement Query	C_MVT_RSP	"CD038B-MSG.NCTS"	✓	✓
IE050	ATR	C_ATR_SND	"CD050B-MSG.NCTS"		✓

IE	IE Name	Reference	Message Type string	H.P	CORE
IE059	Cancel Enquiry Notification	C_CAN_ENQ	"CD059A-MSG.NCTS"		✓
IE063	Recovery Communication	C_REC_COM	"CD063A-MSG.NCTS"		
IE114	ATR Request	C_ATR_REQ	"CD114A-MSG.NCTS"	✓	✓
IE115	ATR Response	C_ATR_RSP	"CD115B-MSG.NCTS"	✓	✓
IE118	NCF	C_NCF_NOT	"CD118A-MSG.NCTS"	✓	✓
IE142	Enquiry Request	C_ENQ_REQ	"CD142A-MSG.NCTS"		✓
IE143	Enquiry Response	C_ENQ_NEG	"CD143A-MSG.NCTS"		✓
IE144	Enquiry Information	C_ENQ_INF	"CD144A-MSG.NCTS"		✓
IE145	Enquiry Information Request	C_INF_REQ	"CD145A-MSG.NCTS"		✓
IE150	Recovery Request	C_REC_REQ	"CD150A-MSG.NCTS"		✓
IE151	Recovery Acceptance Notification	C_REC_ACC	"CD151A-MSG.NCTS"		✓
IE152	Recovery Dispatch Notification	C_REC_DIS	"CD152A-MSG.NCTS"		✓
IE200	Guarantee Check	C_GUA_CHE	"CD200A-MSG.NCTS"	✓	✓
IE201	Guarantee Check Result	C_GUA_RES	"CD201A-MSG.NCTS"	✓	✓
IE203	Guarantee Use	C_GUA_USE	"CD203A-MSG.NCTS"	✓	✓
IE204	Guarantee Use Cancellation	C_GUA_CAN	"CD204A-MSG.NCTS"	✓	✓
IE205	Guarantee Use Results	C_GUA_USR	"CD205A-MSG.NCTS"	✓	✓
IE209	Credit Reference Amount	C_GUA_CRE	"CD209A-MSG.NCTS"		✓
IE411	Sending of Statistics data	C_STA_SND	"CD411B-MSG.NCTS"		
IE901	Cancellation Acknowledgement	C_CAN_ACK	"CD901B-MSG.NCTS"	✓	✓
IE904	Status Request	C_STD_REQ	"CD904A-MSG.NCTS"	✓	
IE905	Status Response	C_STD_RSP	"CD905A-MSG.NCTS"	✓	
IE906	Functional NACK	C_FUN_NCK	"CD906A-MSG.NCTS"	✓	
IE907	EDIFACT NACK (CONTRL)	C_EDI_NCK	"CD907A-MSG.NCTS"	✓	
IE913	Upload Parsing Response	C_UPL_RSP	"CD913A-MSG.NCTS"		
IE914	COL Request	C_COL_REQ	"CD914A-MSG.NCTS"		
IE916	Common RD Request	C_REF_REQ	"CD916A-MSG.NCTS"		
IE918	MRN List Query	C_MRN_QUE	"CD918A-MSG.NCTS"		

IE	IE Name	Reference	Message Type string	H.P	CORE
IE919	MRN List Response	C_MRN_RSP	"CD919A-MSG.NCTS"		
IE931	COL Data	C_COL_DAT	"CD931B-MSG.NCTS"		
IE932	Common RD Data	C_REF_DAT	"CD932B-MSG.NCTS"		

Table 23: Main Information Exchanges for NCTS

X.I.2 *National movements containing sensitive information*

Whenever a national movement contains sensitive goods (OLAF) and an IE011 has been sent to OLAF, then all messages linked to this movement and which are of the message type defined in the Table 24 should be sent through the CCN GW in loopback mode. This is to ensure that CCN audit files will be generated for these messages, which will allow OLAF to monitor these movements.

IE	IE Name	Reference	Message Type string
IE001	AAR	C_AAR_SND	CD001B
IE006	Arrival Advice	C_ARR_ADV	CD006A
IE010	Cancellation Notification	C_CAN_NOT	CD010A
IE018	Destination Control Results	C_DES_CON	CD018B
IE020	Discrepancies Solved Notification	C_DIS_SOL	CD020A
IE024	Forwarded Arrival Advice	C_FWD_ARR	CD024A
IE050	ATR	C_ATR_SND	CD050B
IE059	Cancel Enquiry Notification	C_CAN_ENQ	CD059A
IE063	Recovery Communication	C_REC_COM	CD063A
IE142	Enquiry Request	C_ENQ_REQ	CD142A
IE143	Enquiry Response	C_ENQ_NEG	CD143A
IE144	Enquiry Information	C_ENQ_INF	CD144A
IE145	Enquiry Information Request	C_INF_REQ	CD145A
IE150	Recovery Request	C_REC_REQ	CD150A
IE151	Recovery Acceptance Notification	C_REC_ACC	CD151A
IE152	Recovery Dispatch Notification	C_REC_DIS	CD152A

Table 24: Common Domain IEs for NCTS included in the audits

Section XI   Transport of messages via the Inter(extra)net

The Section IX of [A5] is applicable to NCTS defining the principles for the Transport of messages via Inter(extra)net.