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Customs Systems

In memory of Marcel FREI

*With a thought to
Joep LANGE,
Сама ЗДАХОВИЧ and all*

NCTS Phase 5 - Design Document for National Transit Application (DDNTA)

DDNTA Main Document

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I General Introduction

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 Phase 4 (NCTS-P4), NCTS Phase 5 (NCTS-P5), ECS Phase 2 (ECS-P2), AES and ICS Phase 1 (ICS-P1). It specifies the design requirements to which any Customs Movement Application needs to conform.

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

The DDNA has as a basis [R10], [R2]. DDNA implements decisions from the technical specifications Project Group meetings and is aligned with [R9].

Documents [R9] and [R10], contain the specifications for NCTS-P5, ECS-P2, ICS-P1 and NCTS-P4, foreseeing a number of electronic exchanges.

The DDNA consists of six volumes. Two volumes exist for Transit (NCTS-P4 and NCTS-P5), two volumes for Export (ECS-P2 and AES) and one volume for ICS-P1 defining the design requirements of the specific system and phase. In addition, one common volume exists for all systems defining the common operations and methods. 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 sections 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 Central Project Team (CPT) will produce a number of Centrally Developed Customs Application (CDCA) tools (e.g. CS/RD2, CS/MIS2², CS/ieCA³ and CTA⁴) in order to assist the NAs in implementing, verifying and operating 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.

I.I.2 DDNA Structure

The DDNA consists of the following six volumes:

- Design Document for National Transit Application volume (DDNTA) for NCTS-P4;
- Design Document for National Export Application volume (DDNXA) for ECS-P2;
- Design Document for National Import Application volume (DDNIA) for ICS-P1;

² CSMIS is applicable to ICS-P1. It is being replaced by CS/MIS2 applicable in priority to NCTS-P5 and AES.

³ Applicable to NCTS-P5 and AES.

- Design Document for National Transit Application volume (DDNTA) for NCTS-P5;
- Design Document for National Export Application volume (DDNXA) for AES;
- Design Document for Common Operations and Methods volume (DDCOM).

1.1.3 Purpose of the DDNTA volume

This volume, which is the **Design Document for National Transit Applications** for NCTS 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:

- 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, the State Transition Diagrams and the detailed structure and building rules of these *Information Exchanges*.

Regarding the Message Exchange Protocols and the State Transition Diagrams, this volume will also define any Transitional Message Exchange Protocols (Transitional scenarios) for NCTS in case they are different from Message Exchange Protocols in Post Transitional phase.

- To define **how** the *Information Exchanges*, have to be performed and transported between the National Transit Applications. The message formatting as well as the transport mechanisms are described in the DDCOM volume.

This volume addresses two dimensions:

- the TO-BE functionality (chapter III)
- the transition from legacy AS-IS to final TO-BE (chapter IV).

1.1.4 Scope of DDNTA volume

NCTS automates the common and union transit procedures as well as control of the movements covered under the TIR procedure within the EU. NCTS also covers processing of safety and security data at entry and at exit (transit declaration with safety and security data).

The scope of the UCC NCTS upgrade project covers the creation of new phases of NCTS to implement the new requirements of the UCC, the DA and IA Annex B and the EU Customs Data Model (please refer to [A17] and [R3]) and to establish the necessary interfaces with other systems.

The DDNTA volume is applicable to NCTS-P5. It has as a starting point the FSS-UCC NCTS [R9] and NCTS-P5 L4 BPMs [R10] and as basis the relevant UCC DA/IA (i.e. please refer to [A10] and [A11]) and UCC Data Annex B (please refer to [A17] and Datasets D1, D2 and D3) applicable to Transit domain (TO-BE functionality). These are elaborated by implementing decisions from the technical specifications Project Groups meetings. It also includes the transitional analysis and the definition of necessary scenarios (and Time Sequence Diagrams) which shall be applied during the transitional period (hereafter Transitional Scenarios).

The NCTS-P5 covers the:

- NCTS Core Business, which defines the main transit scenarios performed by the different parties in transit (Office of Departure, Office of Destination, Office of Transit, Office of Exit for Transit, Office of Incident Registration, Holder of the Transit Procedure, and Trader at Destination), and is applicable to the NCTS-P5;
- NCTS Guarantee Management System, which deals with the main scenarios performed by the different parties in the Guarantee Management (Office of Departure, Office of Destination, Office of Guarantee and Holder of the Transit Procedure) in NCTS-P5;
- NCTS Handle Enquiry and Recovery, which 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 Holder of the Transit Procedure) for the Enquiry and Recovery procedures of NCTS-P5.

NCTS-P5 incorporates the following additional features compared to those introduced in the previous NCTS phases:

- Modification of the transit *Information Exchange* messages based on the new data requirements defined in Annex B of the UCC DA and IA;
- Declaration lodgement prior to presentation of the goods;
- Monitoring of the reference amount of the usage of comprehensive guarantees;
- Removal of the IE011 message sent to OLAF, since sensitive goods are no longer applicable as per the UCC;
- Registration of Incidents En-Route. For this reason, a new Office role is introduced, which is named “Office of Incidents Registration” (role ‘INC’);
- Introduction of a new Office role named “Office of Exit for Transit” to perform safety and security checks of the movement before it exits the Security Area⁴;
- Interface with AES to support the scenario “Export followed by Transit”;
- Resolution of major discrepancies reported into the destination control results by the Office of Departure (change of process compared to NCTS-P4);
- The Guarantee Query messages IE034 and IE037 become applicable only for the External Domain;
- Removal of the IE918 and IE919 messages.

[R10] has been used as a basis for the production of DDNTA. However, a substantive restructuring of data structures and messages has been implemented which resulted from the changes defined in the ANNEX B [A17]. Moreover, further analysis, elaboration and refinement has been performed for the following business processes to specify their IT implementation reducing complexity, aligning with operational practices and legal provisions:

1. NCTS-P5: Office of Exit for Transit related processes
2. NCTS-P5: Incident Registration related processes
3. NCTS-P5: Export followed by Transit related processes
4. NCTS-P5: Pre-lodgement of Transit declaration
5. NCTS-P5: Processes related to control results

⁴ The term “Security Area” must be understood as per definition of ‘Security and Safety Area’ in the documents [A26] and [A27].

For the remaining processes of NCTS-P5, it is assumed that [R10] remains the baseline in terms of functional system specifications.

It should be noted that for the (mandatory) Information Exchanges (Information Exchanges in the Common Domain), DDNTA should therefore be considered as an applicable document, while for the 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 Scope of Development in sub-section II).

Both functional and technical specifications comply in terms of process definitions, message and data structures and naming conventions across all artefacts with the UCC legal provisions and the UCC data Annex B [A17].

The EUCDM naming will reflect the UCC Annex B. The precise mapping between EUCDM and the WCO Data Model will be provided together with the revised EUCDM.

The final AES & NCTS Technical systems specifications delivered for external review and acceptance fully comply with this requirement being aligned to UCC Data Annex B [A17] plus the agreed changes as depicted in the following APOs.

The DDNTA is also aligned to the approved Vision Document that mentions that:

- The EU Customs Data Model (EUCDM) is provided as a supporting tool to consolidate the UCC data annexes and to demonstrate the mapping to WCO data model. The BPMs and Specifications including IE messages define the detailed implementation of data requirements with NA/Trade. New system specifications are to consider the legal (process and data) requirements and the existing specifications/systems at NA and EU level, whilst looking into enhancing further harmonisation at international level via the EUCDM. Transition and implementation solutions might impact the data implementation option.

1.1.5 Intended audience

The intended audience for this document includes:

- EC services and National Customs administration services and Economic Operators responsible for the functional specifications of NCTS;
- EC services and National Customs administration services and Economic Operators responsible for the development of software in the context of NCTS;
- EC services and National Customs administration services and Economic Operators 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 the Electronic Customs Coordination Group (ECCG), OLAF, and Traders Associations;
- Any person responsible for the NCTS/TIR-DATA pilot project.

The readers are assumed to have a good understanding of the IT concepts and terminology used in this document. Also, it is assumed that the readers are familiar with [R9] and [R10].

I.I.6 Structure of DDNTA volume

The DDNTA volume specifies the NCTS specifications covering NCTS-P5. It is structured in sections (further subdivided in sub-sections) and a number of appendices.

This document comprises the sections and lists of appendices summarised below.

I GENERAL INTRODUCTION includes the following:

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

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

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;

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.

II SCOPE OF DEVELOPMENT discusses the items that need to be developed in NCTS-P5 applications. In addition, describes the transitional scenarios that might be necessary for implementation during Transitional Period. Appendix A for NCTS-P5 accompanies this section. This section provides an overview of *Information Exchanges* between different business roles.

III NCTS-P5 describes the Core Business for the complete NCTS-P5. It deals with the Transit scenarios performed by the different parties in NCTS.

This section contains 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**.

IV NCTS-P5 TRANSITIONAL SCENARIOS provides the outcome of transitional analysis and the definition of necessary scenarios (and Time Sequence Diagrams and if any State Transition Diagrams) which shall be applied during the transitional period.

V 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 [A3], describing any deviations.

VI SYSTEMS ADMINISTRATION deals with issues such as logging and tracing and any other administration function to be foreseen. This section refers to the DDCOM [A3], describing any deviations.

VII TECHNICAL MESSAGE STRUCTURE defines the detailed technical structure of the *Information Exchanges* of NCTS. This section refers to the DDCOM [A3], describing any deviations.

VIII DESIGN PRINCIPLES explains how the system, defined in the previous sections, needs to be built. Basically, every Information Exchange, needs to be formatted in XML format and needs to be transmitted across CCN/CSI. This section states a number of principles that are common, regardless of the message format and transportation mechanism. This section refers to the DDCOM [A3], describing any deviations.

IX XML MESSAGE FORMATTING defines how messages need to be formatted in an XML format. This section refers to the DDCOM [A3], describing any deviations.

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 DDCOM [A3], describing any deviations.

APPENDICES FOR NCTS-P5

- Appendix A defines the message scope for NCTS;
- Appendix B provides the approach followed carrying out the transitional analysis for NCTS;
- Appendix C contains a definition of all Code Lists used for NCTS-P5;
- Appendix J presents how the different Data Groups and Data Items are correlated to the messages;
- Appendix K presented the mapping of Rules and Conditions;
- Appendix M defines the output of Scenarios Transition Analysis as per approach explained in Appendix B;
- Appendix N defines the output of State Machine Transition Analysis as per approach explained in Appendix B;
- Appendix Q2 contains the definition of all messages for NCTS-P5;
- Appendix R contains the XML mapping of all Data Items and Data Groups of the NCTS-P5 messages;
- Appendix S defines the recommended transitional measures on External Domain (ED) and National Domain (ND) messages;
- Appendix X contains the XML Schemas of the NCTS-P5 messages;
- Appendix Y and Appendix Z contain a data dictionary for all elements (Data Items and Data Groups) used to construct these messages.

1.1.7 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.

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

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

- DDNTA-Main Document-XX-YY.ZZ-Sfaa-vxx.yy, where ‘XX’, ‘YY’ and ‘ZZ’ are major version, minor version and hotfix increment numbers respectively. ‘aa’ identifies if the document is submitted for Information (‘I’) or for Review (‘R’) or for Acceptance (‘A’). ‘xx’ is the edition number of the document (major changes) and ‘yy’ is the revision number of the document.

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

- DDNTA-APP_W-XX.YY.ZZ-Sfaa-vxx.yy.DDD, where:
 - ‘W’ stands for the Appendix name;
 - ‘XX’, ‘YY’ and ‘ZZ’ are major version, minor version and hotfix increment numbers;
 - ‘xx’ is the edition number of the document (major changes) and ‘yy’ is the revision number of the document;
 - ‘aa’ identifies if the document is submitted for Information (‘I’) or for Review (‘R’) or for Acceptance (‘A’)
 - DDD is the document type.

1.1.8 Change history

The version 5.10 is the first baseline of DDNTA for NCTS-P5 (with acceptance by the ECCG of December 2019).

1.1.8.1 Changes in DDNTA Release 5.15.1 - version 1.00

This Release 5.15.1 - version 1.00 of DDNTA incorporates the following changes:

- [DDNTA RFC-List.37 \(v04\)](#) [published on CIRCABC on 31.01.2023 – accepted by NPMs] has been incorporated. The folder ‘Supporting Document’ of this DDNTA includes
 - all the RFC-Proposals (SfA), and
 - the RFC-Proposals with the implementation details to document very precisely the correction between DDNTA-5.15.0 and DDNTA-5.15.1. The ‘final’ [DDNTA RFC-List.37 \(v05\)](#) with all implementation details is also published on CIRCABC;
 - plus two extra emergency corrections required in the context of the first exchanges of NCTS-P5 messages between DE-ES-SI.

This Release of DDNTA combines:

- a number of urgent corrections required to avoid rejections on the Common Domain for NTA operating as NCTS-P5;
- a limited number of minor corrections for the External Domain requested by some NAs;
- a number of non-urgent corrections, applied to ensure consistency of the Main Document and CSE between NCTS-P5 (this DDNTA) and NCTS-P6 (DDNTA-6.2.0).

I.I.8.2 Changes in DDNTA Release 5.15.0 - version 1.00

This Release 5.15.0 - version 1.00 of DDNTA incorporates the following changes:

- [DDNTA RFC-List.36 \(v1.00\)](#) has been incorporated (accepted by ECCG). The folder ‘Supporting Document’ of this DDNTA includes
 - the RFC-Proposals (SfA) and also the SfA with implementation details for RFC_NCTS_0101, RFC_NCTS_0114, RFC_NCTS_0120 and RFC_NCTS_0172. Also in RFC-List.36 (v1.10) published on CIRCABC;
 - the [Meeting Decision on APO for comments raised during ECCG Review of DDNTA-5.15.0-v0.10\(SfR\)](#).

I.I.8.3 Changes in DDNTA Release 5.14.0 - version 1.00

This version applies the new change & release policy with the new numbering convention.

This Release 5.14.0 - version 1.00 of DDNTA incorporates the following changes:

- [DDNTA RFC-List.33\(v1.00\)](#) has been incorporated (accepted by ECCG-69) [RFC_NCTS_0053 to RFC_NCTS_0092] with implementation details also published on CIRCABC;
- [DDNTA RFC-List.34\(v1.00\)](#) has been incorporated as an *emergency RFC-List*
 - RFC_NCTS_0093: correction of R909, R911, R0507
 - RFC_NCTS_0094: ‘Reduced dataset indicator’ removed from CC170C
 - RFC_NCTS_0095: Optionality of ‘Risk analysis’ corrected for MS
 - RFC_NCTS_0096: Blocking issue with conversion for ‘Transport document’
 - RFC_DDCOM_0018: Documentary change for B1000 (Guideline during Transitional Period).

I.I.8.4 Changes in DDNTA version 5.13.1

Version 5.13.1 of DDNTA incorporates the following changes:

- Implementation of the DDNTA [RFC-List.32](#) published on CIRCABC
Correction of one XSD file as defined in *RFC_NCTS_0052_CUSTDEV3-RTC-IAR-RfC47663-v1.00.docx*.

I.I.8.5 Changes in DDNTA version 5.13

Version 5.13 of DDNTA incorporates the following changes:

- Implementation of the [RFC-List.31](#) [*NCTS-P5_TSS_RFC-List.31(v04) with implementation details + DDCOM RFCs - Approved by ECCG#60.7z*] published on CIRCABC.

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].

III.2 Terminology

The corresponding section from DDCOM [A3] is applicable to NCTS.

III.3 Acronyms and Abbreviations

The following acronyms are used in this document:

Acronym	Description
AAR	Anticipated Arrival Record
AES	Automated Export System
AER	Anticipated Export Record
ARC	Administrative Reference Code
ATR	Anticipated Transit Record
AXR	Anticipated Exit for Transit Record
CCN	Common Communication Network
CD	Common Domain
CDCA	Centrally Developed Customs Application
CoA	Confirm on Arrival
CoD	Confirm on Delivery
CPT	Central Project Team
CS	Central Services
CS/ieCA	Centrally developed and centrally operated ieCA
CS/MIS2	Central Services Management Information System
CS/RD2	Central Services Reference Data
CSE	Consolidated Specifications Environment
CSI	Common Systems Interface
CTA	Conformance Testing Application
DDCOM	Design Document for Common Operations and Methods
DDNA	Design Document for National Applications
DDNIA	Design Document for National Import Application
DDNTA	Design Document for National Transit Applications
DDNXA	Design Document for National Export Applications
DDSPEED	Design Document for SPEED
e-AD	Electronic Administrative Document
EDI	Electronic Data Interchange
EFBT	Export followed by Transit
EMCS	Excise Movement and Control System
EXC	Exception Report
EXP	Expiration Report
FCS	Federation Conformance System
FSS	Functional System Specification
FTSS	Functional Transit System Specification
GMS	Guarantee Management System
IE	Information Exchange
ieCA	IE Convertor Application
IT	Information Technology
LRN	Local Reference Number
MRN	Master Reference Number
MS	Member State
NA	National Administration

Acronym	Description
NCA	National Customs Application
NCF	Notification of Crossing Frontier
NCTS	New Computerised Transit System
NECA	National Export Control Application
N/ieCA	Centrally developed and nationally operated ieCA
NTA	National Transit Application
OoDep	Customs Office of Departure
OoDes	Customs Office of Destination
OoExp	Customs Office of Export
OoExt	Customs Office of Exit
OLAF	Office Européen de Lutte Anti-fraude / European Anti-fraud Office
QA	Quality Assurance
QoS	Quality of Service
R/C	Rules and Conditions
RfC	Request for Change
RNO	Release Notes
SC	Specific Contract
SPEED2	Single Portal for Entry or Exit of Data
STD	State Transition Diagram
TAXUD	Taxation and Customs Union DG
TIR	Transit International Routier
TP	Transitional Period
UCC	Union Customs Code
UCC DA	UCC Delegated Act
UCC IA	UCC Implementing Act
UN	United Nations
XML	eXtensible Mark-up Language
XSD	XML Schema Definition

Table 1: Acronyms and Abbreviations

I.III Applicable and Reference documents

I.III.1 Applicable documents

The following documents are applicable to this document:

Ref.	Reference	Title	Release
A1	DDNXA	Design Document for National Export Application	5.15.0-v1.00 (06/04/2022)
A2	Transit Manual	Transit Manual - TAXUD/A1/TRA/005/2020-EN	With the latest amendments
A3	DDCOM	Design Document for Common Operations and Methods	21.2.0-v1.00 (12/12/2022)
A4	TAXUD/2021/CC/162	Framework Contract	24/06/2021
A5	TAXUD/2022/DE/119 SC06	Specific Contract 06 under the Framework Contract TAXUD/2022/DE/119	22/04/2022

Ref.	Reference	Title	Release
A6	SLA-eCUST-TES-ACM	Service Level Agreement for Availability and Continuity of Customs Trans-European Systems	v3.20 25/12/2020
A7	UCC NCTS-P5 Vision	UCC New Computerised Transit System (NCTS Phase 5) - Vision	v1.10 (16/07/2020)
A8	AES NCTS-P5 Transition Implementation Plan	Implementation of the Transition from Legacy” NCTS-P4 & ECS-P2 to “To Be” NCTS-P5 & AES-P1	v1.00 (12/11/2020)
A9	UCC	Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code	Consolidated version 12/12/2022
A10	UCC IA	Commission Implementing Regulation (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code	Consolidated version 20/12/2022
A11	UCC DA	Commission Delegated Regulation (EU) 2015/2446 of 28 July 2015 supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards detailed rules concerning certain provisions of the Union Customs Code	Consolidated version 01/01/2022
A12	UCC TDA	Commission Delegated Regulation (EU) 2016/341 of 17 December 2015 supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards transitional rules for certain provisions of the Union Customs Code where the relevant electronic systems are not yet operational and amending Delegated Regulation (EU) 2015/2446	Consolidated version 15/03/2021
A13	SDEV-ieCA-SAD-System Architecture Document	ieCA System Architecture Document (ieCA-SAD)	v3.60 16/11/2022
A14	SOFT-DEV Framework Quality Plan	Framework Quality Plan	10/01/2023
A15	DDNEA	Design Document for National Excise Applications	v3.10 18/11/2022

Ref.	Reference	Title	Release
A16	UCC WP	Commission Implementing Decision (EU) 2019/2151 of 13 December 2019 establishing the work programme relating to the development and deployment of the electronic systems provided for in the Union Customs Code	16/12/2019
A17	Revised UCC Data ANNEX B	Annex B Commission Delegated Regulation (EU) 2021/234 and Commission Implementing Regulation (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code	07/12/2020 15/03/2021
A18	Recommendation No 1/93	Recommendation No 1/93 the EEC-EFTA Joint Committee on the simplification of formalities in trade in goods of 23 September 1993 for the amendment of the Convention of 20 May 1987 on the simplification of formalities in trade in goods	23/09/1993
A19	MASP_2019	Electronic Customs Multi-Annual Strategic Plan (MASP)	v1.1 (Revision 2019)
A20	ToC-eCUST-TES	Terms of Collaboration for the Customs Trans-European Systems	v5.20 (Revision 2020)
A21	NCTS-P5 AES AO	NCTS-P5/AES Architecture Overview	v2.60 03/08/2020
A22	Convention on the simplification of formalities in trade in goods	https://ec.europa.eu/taxation_customs/system/files/2016-09/convention_simplification_formalities_en.pdf	Consolidated text, updated at 27.04.2015
A23	Decision No 1/2017	Decision No 1/2017 of the EU-EFTA Joint Committee on common transit of 5 December 2017 amending the Convention of 20 May 1987 on a common transit procedure [2018/29]	12/01/2018
A24	NCTS-P5 SD	NCTS-P5 Scope Document	v5.20 (25/02/2020)
A25	CD3-CS/MIS2- Architecture Overview	CS/MIS2 Architecture Overview	v2.00 (05/08/2022)
A26	EU-CH Security and Safety Area	Decision No 1/2021 of the EU-Switzerland Joint Committee of 12 March 2021; published in OJ L 152, 3.5.2021, p. 1 – 32	12/03/2021

Ref.	Reference	Title	Release
A27	EU-NO Security and Safety Area	Decision of the EEA Joint Committee No 130/2021 of 15 March 2021; published in OJ L 226, 25.6.2021, p. 41 – 72	15/03/2021
A28	Convention on a Common transit procedure	https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A01987A0813%2801%29-20210601	Consolidated version 01/06/2021

Table 2: Applicable Documents

Note that all the 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:

[A1] is a Design Document for National Export Applications, applicable to every National Export Application and is a mandatory document for all implementation and verification activities in ECS Phase 2.

Document [A2] is a guidance document, which serves as a tool to promote a better understanding of how the transit procedure works and the roles of the various participants. It is also a tool to better ensure a harmonised application of the transit regulations and an equal treatment of all operators;

Document [A3] defines common operations and methods for all systems (Transit, Export and Import).

Documents from [A4] to [A5] are contractual documents.

Document [A6] is the Service Level Agreement for availability and continuity of Customs Trans-European Systems. It specifies the common processes, procedures and rules, which the National Administrations and DG TAXUD have agreed upon and adopted for the handling of the unavailability and prolonged interruptions in the continuity of services. SLA for both CCN/CSI and CCN2 is not in the scope of this document, since the CCN/CSI Service Level as agreed between DG TAXUD and users of the CCN/CSI services is provided in another document dedicated to the operational phase of the CCN/CSI system.

Document [A7] is the NCTS-P5 Vision document, which captures high-level requirements and design constraints to provide understanding of NCTS. It communicates the fundamental “why” and “what” related to the UCC NCTS upgrade project, and it is the reference against which all the NCTS-related future decisions should be validated.

Document [A8] is the Transition Strategy from NCTS-P4 to NCTS-P5.

Documents [A9] is the Union Customs Code (UCC), [A11] is the UCC Delegated Act (DA), [A10] is the UCC Implementing Act (IA) and [A12] is the UCC Transitional Delegated Act (TDA).

[A13] describes the architecturally significant aspects of the solution architecture of the ieCA.

[A14] is the Framework Quality Plan.

[A15] is the Design Document for National Excise Applications.

[A16] is the UCC Work Programme.

Annex B [A17] defines common data requirements for declarations, notifications and proof of the customs status of Union goods.

[A19] is the Electronic Customs Multi-Annual Strategic Plan (MASP).

[A20] is the Terms of Collaboration for the Customs Trans-European Systems.

[A21] is the Architecture Overview (AO), which defines the overall NCTS-P5 and AES TES architecture to be implemented by different logical components/applications.

[A24] is the NCTS-P5 Scope Document.

[A25] is the CS/MIS2 Architecture Overview Document.

[A26] and [A27] are the amendment of the Protocol 10 to the EEA Agreement for Switzerland and Norway respectively.

Document [A28] is the Convention on a Common transit procedure.

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	TEMPO-GLOSSARY	TEMPO WIKI – Glossary: Terms, Abbreviations and Acronyms	27/07/2022
R2	DDNTA (NCTS-P4)	Design Document for National Transit Application (NCTS-P4)	v20.00
R3	EUCDM	The EU Customs Data Model	v6.2
R4	DDSPEED	Design Document for SPEED (DDSPEED) with Russian FCS – Phase 1	v6.00
R5	NCTS-Conversion Technical Specifications	NCTS Conversion Technical Specifications	5.8.0-v1.00 (16/03/2023)
R6	31992R2913	Council Regulation (EEC) No 2913/92 of 12 October 1992 establishing the Community Customs Code	Consolidated version 01/01/2014
R7	31993R2454	Commission Regulation (EEC) No 2454/93 of 2 July 1993 laying down provisions for the implementation of Council Regulation (EEC) No 2913/92 establishing the Community Customs Code	Consolidated version 08/12/2015
R8	NCTS-DMP	Data Mapping Artefacts & Reports for NCTS-P5	5.8.0-v1.00 (06/03/2023)
R9	TSS-FSF-REL4	Functional Transit System Specification (FTSS) – NCTS Addendum	v4.20
R10	NCTS-P5 L4 BPMs	EU Customs Functional Requirements BPM Report for New Computerised Transit System (NCTS)	v7.00
R11	FSS-UCC NCTS-P5	FSS-UCC NCTS Phase 5 (SfA)	v5.30
R12	DDNA RFC-List	RFC-List.37 for NCTS-P5 v1.00-SfA-NPM with Implementation details (RFCs_0190-0212)	RFC-List.37 v1.00

Table 3: Reference Documents

The first document, [R1], contains the glossary encompassing terminology, acronyms and abbreviations used in NCTS.

[R2] is a Design Document for National Transit Applications in NCTS-P4, which is aligned to the RFC-List.29.

The EU Customs Data Model [R3] is a technical instrument that models the data requirements laid down by the EU customs legislation and presents a single, authoritative source of information for the technical developments of the different IT systems that are used for data processing by the customs in the EU.

The [R4] is a design document for NCTS/TIR-DATA (SPEED2).

[R5] aims at defining the conversion of the *Information Exchange* messages during the Transitional Period, namely the conversion of those messages from the current system (NCTS-P4) to the transitional structure of the UCC system (NCTS-P5) and vice-versa.

[R6] is the Community Customs Code (CCC) and [R7] is its implementing provisions.

Document [R8] is the Data Mapping Artefacts & Reports for NCTS-P5.

Document [R9] is the Functional Transit System Specification. It provides a detailed description of its functional specification, in alignment with the Functional Requirements Business Process Models and *Information Exchanges* for NCTS [R10];

Document [R10] presents the Level 4 Functional Requirements Processes for the New Computerised Transit System. This includes processes that show the human interaction tasks and the automated tasks, the data of the *Information Exchanges*, functional requirements and non-functional requirements, input and output data and services.

I.III.3 NCTS-P5 L4 BPMs/FSS & EUCDM

The Functional System Specifications for NCTS-P5 [R9] and L4 BPMs for NCTS [R10] will be revisited in alignment to the latest amendment of UCC legal provisions and the Technical Specifications following their approval. Consequently, DDNTA prevails in case of contradiction.

Similarly, EUCDM [R3] will be updated as above and in alignment to the UCC Data Annex B final accepted version. Consequently, DDNTA prevails in case of contradiction.

I.III.4 Alignment to UCC Data Annex B

DDNTA is aligned to the UCC Data Annex B version as indicated in [A17]. Nevertheless, the following topics must be considered during the reading of DDNTA in relationship to UCC Data Annex B [A17]:

- Mandatory elements (I.III.4.1)
- Date/Time fields (I.III.4.2)
- Justified deviations from UCC Data Annex B (I.III.4.3)
- Additional implemented data elements (I.III.4.4)

I.III.4.1 Mandatory elements

The mandatory elements in DDNTA message structures have been defined by considering:

- UCC Data Annex B [A17] including the annotation and applicable footnote(s).
- Operational practices as discussed in the Project Group meetings;
- Convertibility with “Legacy” phase

I.III.4.2 Date/Time fields

UCC Data Annex B defines in a more a generic format for date/time fields with a maximum length (Date has format an..10 and Date/time has format an..19).

DDNTA date/time format are defined in V.2.1.1.3 of DDCOM [A3]. Please note that DDCOM will mention that the Date and/or Time fields are as per W3C XML Schema specification with the following important points:

- all years in DateTime and Date fields are in the Common Era (i.e. AD), hence the negative sign is not permitted;
- for all times in DateTime fields the time zone must be omitted. For the Common Domain messages, the time in all DateTime fields must be the UTC time. The local time can be used for the External Domain messages, but the NCA must convert the local time into the UTC time before sending the message over the CCN. It is recommended that the recipient also store the DateTime fields in UTC (even if displayed for the NCA's end user in local time);
- the fractional seconds must not be used in DateTime fields.

Therefore, stricter format has been applied in the technical specifications as per applications needs. More details about Date/Time fields specifications can be found in section V.2.1.1.3 of DDCOM [A3].

I.III.4.3 Justified deviations from UCC Data Annex B

The following justified deviations must be considered with UCC Data Annex B [A17]. Although UCC Data Annex B [A17] defines some data elements as mandatory, other information must be combined for defining the optionality in the technical message structures of DDNA such as applicable footnotes of UCC Data Annex B [A17]. More information about mandatory elements in the technical message structures of DDNA is also provided in section I.III.4.1.

DE No	Data element/class name	Status in Annex B [A17] for NCTS applicable columns	Definition in Appendix Q2
11XXXXXXXXXX	Declaration goods item number	N/A under D columns	Mandatory
11XXXXXXXXXX	Limit date	N/A under D columns	Dependent
1103000000	Goods item number	A (definition in UCC) Annex B to update	Mandatory
1201000000	Previous document	A	Optional with guidelines ⁵
1201007000	Previous document / Goods item number	A for Columns D1, D2, D3 (HI only)	Optional with guidelines ⁵
1202000000	Additional information at House consignment level	N/A under D columns	Optional with guidelines ⁵

DE No	Data element/class name	Status in Annex B [A17] for NCTS applicable columns	Definition in Appendix Q2
1203000000	Supporting document (at Master consignment & House consignment levels)	A	Optional with guidelines ⁵
	Supporting document at House consignment level	N/A under D columns	Optional with guidelines ⁵
1203013000	Document line item number	A (under D1, D2 dataset)	Optional for the technical specifications
1204000000	Additional reference	A	Optional with guidelines ⁵
1205000000	Transport document	A (under D1, D2, D3 dataset) ⁶	Optional with guidelines ⁵
1212000000	Authorisation	A	Optional with guidelines ⁷
1302000000	Consignor	A (under A1 and A2 dataset)	Optional since this element must be provided when different from the declarant.
1302074076 1306074076 1307074076 1615074076	Contact person/Email	A	Optional since the Contact person may not always have an email address to provide.
1302074076	Consignor/ Contact person / E-mail address	A	Optional since the contact person may not always have an email address to provide
1303000000	Consignee at Consignment item level	A	Data Group will not be used post Transitional Period
1306000000	Representative	A with footnote [7]	Optional with guidelines ⁵
1306074076	Representative / Contact person / E-mail address	A	Optional since the contact person may not always have an email address to provide
1307074076	Holder of the transit procedure / Contact person / E-mail address	A	Optional since the contact person may not always have an email address to provide
1615074076	Location of goods / Contact person / E-mail address	A	Optional since the contact person may not always have an email address to provide
1615081025	House Number	A (for D1, D2 D3, D4)	Typo in Annex B (from Number to Number)

⁵ Guideline (G0825) indicates when his data element must be filled in.

⁶ UCC Annex B to be updated by adding the Footnote [8] in 12 05 000 000:

[8] This information shall only be provided where available.

⁷ An Authorisation is not always necessary in the declaration.

DE No	Data element/class name	Status in Annex B [A17] for NCTS applicable columns	Definition in Appendix Q2
1801000000	Net mass	A	Dependent to take into account the UCC Annex B DA Footnotes
1807000000	Dangerous Goods	"N/A under D columns" A for ENS/EXS	Optional since declared goods may not be always in the UN dangerous goods list.
1901000000	Container indicator	A (for 'MC' in columns D1, D2, D3)	Dependent to take into account the UCC Annex B DA Footnotes
1904000000	Inland mode of transport	B for D1 ⁸	Optional (for D1, D2, D3 and D4)
1905000000	Departure transport means	A (with footnotes[34], [35], [36])	Dependent to take into account the UCC Annex B DA Footnotes
1907000000	Transport Equipment	A (for D1, D2, D3 with footnote [62])	Dependent to take into account the UCC Annex B DA Footnotes
1910000000 1910068000 1910015000	Seal	A (for D1, D2, D3)	Dependent to take into account the UCC Annex B DA Footnotes

Table 4: Justified deviations from UCC Data Annex B [A17]

NOTE: It shall be noted that from the version DDNTA-5.15.0-v1.00, the Data Group <HOUSE CONSIGNMENT> is presented with 99x repetitions (instead of 999x) and the Data Group <CONSIGNMENT ITEM> is presented with 999x repetitions (instead of 9999x), applying different multiplicities from the maximum values defined in UCC IA Annex B [A10]. The maximum number of Goods Items in one transit declaration will be restricted from the theoretical 98 901 to 1 999, aligned to the business requirements and with the legal framework.

I.III.4.4 Other (temporary) discrepancies between DDNTA and UCC/DA Annex B

The following data elements are expected to become aligned in a next version of the UCC Data Annex B.

DE No	DDNTA-5.15.0	UCC/DA Annex B [A17]	Explanation / Resolution
1103000000	'Declaration goods item number' and 'Goods item number'	'Goods item number'	No change expected in DDNTA, both concepts are needed (Goods item number unique at HC level, Declaration goods item number unique at MC level)

⁸ UCC Annex B to be updated to include the Data Element 'Inland mode of transport' in columns D1, D2, D3 and D4 as Optional (with the tag 'B').

DE No	DDNTA-5.15.0	UCC/DA Annex B [A17]	Explanation / Resolution
			Change initiated for UCC/DA Annex B , to ensure increased interoperability (addition of 'Declaration goods item number'). Expected to become aligned to DDNTA.
1201007000	PREVIOUS DOCUMENT /Goods item number (optional with guidelines)	PREVIOUS DOCUMENT /Goods item identifier (required)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (change of the optionality). Expected to become aligned to DDNTA.
1203011000 (and others)	Validity date (<i>data elements related to 'date' or 'date and time' are always structured as «xxxx date»</i>)	Date of validity (<i>data elements related to 'date' or 'date and time' are structured like «xxx date» or «date of xxx»</i>)	No change expected in the DDNTA (discrepancies in naming of D.E. with date were approved by ECCG in December 2019).
1212002000	AUTHORISATION / Type	-	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (addition of the D.E.). Expected to become aligned to DDNTA.
1612000000	COUNTRY OF ROUTING OF CONSIGNMENT	COUNTRY OF ROUTING OF <i>THE</i> CONSIGNMENT	No change expected in DDNTA – Change initiated for UCC/DA Annex B (to get the text aligned).
1613000000	PLACE OF LOADING is included in CC170C	PLACE OF LOADING is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1617000000	Binding itinerary is included in CC015C (format n1)	Binding itinerary is not included in column D1 (format a1)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (to get the

DE No	DDNTA-5.15.0	UCC/DA Annex B [A17]	Explanation / Resolution
			D.E. introduced with modified format). Expected to become aligned to DDNTA.
1802000000	GOODS MEASURE / Supplementary units	Supplementary units is not included in column D1	No change expected in DDNTA (because required in case of Export Followed by Transit) – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D1, with typo fixed to get ‘Supplementary unit’ (singular)). Expected to become aligned to DDNTA.
1804000000	Gross mass	Total gross mass	No change expected in DDNTA – Change initiated for UCC/DA Annex B to ensure increased interoperability Expected to become aligned to DDNTA.
1901000000	Container indicator is included in CC170C	Container indicator is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1903000000	Mode of transport at the border is included in CC170C	Container indicator is not included in column D4 (but included in D1, D2)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1904000000	Inland mode of transport is included in CC170C	Inland mode of transport is not included in column D4 (but included in D1)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4).

DE No	DDNTA-5.15.0	UCC/DA Annex B [A17]	Explanation / Resolution
			Expected to become aligned to DDNTA.
1905000000	DEPARTURE TRANSPORT MEANS is included in CC170C	Departure transport means is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1905017000	DEPARTURE TRANSPORT MEANS.Identification number is included in CC170C	DEPARTURE TRANSPORT MEANS.Identification number is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1905061000	DEPARTURE TRANSPORT MEANS.Type of identification is included in CC170C	DEPARTURE TRANSPORT MEANS.Type of identification is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability. Expected to become aligned to DDNTA
1905062000	DEPARTURE TRANSPORT MEANS.Nationality is included in CC170C	DEPARTURE TRANSPORT MEANS.Nationality is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1907000000	TRANSPORT EQUIPMENT is included in CC170C	Transport equipment is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1907044000	GOODS REFERENCE is included in CC170C	-	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4).

DE No	DDNTA-5.15.0	UCC/DA Annex B [A17]	Explanation / Resolution
			Expected to become aligned to DDNTA.
1907063000	TRANSPORT EQUIPMENT.Container identification number is included in CC170C	TRANSPORT EQUIPMENT.Container identification number is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability. Expected to become aligned to DDNTA.
1910000000	SEAL is included in CC170C	Seal is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability (also in column D4). Expected to become aligned to DDNTA.
1910015000	SEAL.Identifier is included in CC170C	SEAL.Identifier is not included in column D4 (but included in D1, D2, D3)	No change expected in DDNTA – Change initiated for UCC/DA Annex B , to ensure increased interoperability. Expected to become aligned to DDNTA
None	Limit date is included in CC170C	-	No change expected in DDNTA – Change initiated for UCC/DA Annex B (to get the D.E. introduced), to ensure increased interoperability.
None	TRANSPORT EQUIPMENT. Number of seals is included in CC170C	-	No change expected in DDNTA – Change initiated for UCC/DA Annex B (to get the D.E. introduced), to ensure increased interoperability.
None	ACTIVE BORDER TRANSPORT MEANS. Customs office at border reference number is included in CC170C	-	No change expected in DDNTA – Change initiated for UCC/DA Annex B (to get the D.E. introduced), to ensure increased interoperability.
None	ACTIVE BORDER TRANSPORT MEANS. Conveyance reference number is included in CC170C	-	No change expected in DDNTA – Change initiated for UCC/DA Annex B (to get the D.E. introduced), to ensure increased interoperability.

DE No	DDNTA-5.15.0	UCC/DA Annex B [A17]	Explanation / Resolution
None	GOODS REFERENCE. Declaration goods item number is included in CC170C	-	No change expected in DDNTA – Change initiated for UCC/DA Annex B (to get the D.E. introduced), to ensure increased interoperability.

Table 5: Other (temporary) discrepancies between DDNTA and UCC/DA Annex B

I.III.5 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 [A17], [R11]⁹ and [R10]⁹ should be considered as the applicable documents for all operational, legal and procedural issues for NCTS
- All CDCA tools will be based on this document.
- The DDNTA does not consider the fallback procedure. The fallback scenarios will be defined in a separate fallback document which will be produced by DG TAXUD.

I.III.6 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.



IRU Algorithm v1.00

⁹ Once revised to align with the latest legal provisions and the final accepted technical specifications as stated in section I.III.3.

I.IV Key Decisions applied to Model the NCTS-P5 Messages

The RISK ANALYSIS will **not** point to the "HC identified + GI number", but directly to the Declaration goods item that is unique across the whole declaration (and from there, it is known in the NTA which HC is involved).

I.V Symbolism and Conventions Used

This section 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. Sub-Section I.4 from DDCOM [A3] is applicable to NCTS-P5.

II Scope of development

II.I Information Exchange overview

The scope of NCTS-P5 is defined in the NCTS-P5 Scope Document [A24].

II.II Information Exchange Map

The *Information Exchanges* to be supported in NCTS-P5 and the different parties involved for this functional stage are summarised in the below Figure 1. More detailed specifications of those message exchanges are presented in III. Please note that the below Figure 1 is not a Time Sequence Diagram; it only summarises the different possible sources and destinations of the various *Information Exchanges*. The Figure 1 also highlights between which Domains the different exchanges are to be foreseen. The National Domain has been added to indicate the location of NTA.

Figure 2 shows the main communication interfaces of the NTA with other Domains. The different types of NTA interactions shown in Figure 2 are the following:

- Economic Operator's Interactions in the External Domain;
- Interactions in the National Domain (including interactions with other TES National Applications such as AES NECA);
- Interactions in the Common Domain between National Applications (interactions of NTA at NAs under the different NCTS roles such as Departure and Destination);
- Interactions with CS;
- Interactions with CS/ieCA or N/ieCA (depending on the chosen approach) in the case of exchanges with a legacy NTA during the Transitional Period.

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

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

Common Domain consists of two major parts:

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

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

SPEED Domain refers to the network and the *Information Exchanges* between the National Administrations or the European Commission, and the Partner Countries (e.g. Russia) with which the EU has ongoing international cooperation, including the exchange of information in

an electronic way. The *Information Exchanges* in the SPEED Domain are governed by specific agreements between the EU and the Partner Countries (PC).

For more information, please consult the NCTS-P5/AES Architecture Overview [A21].

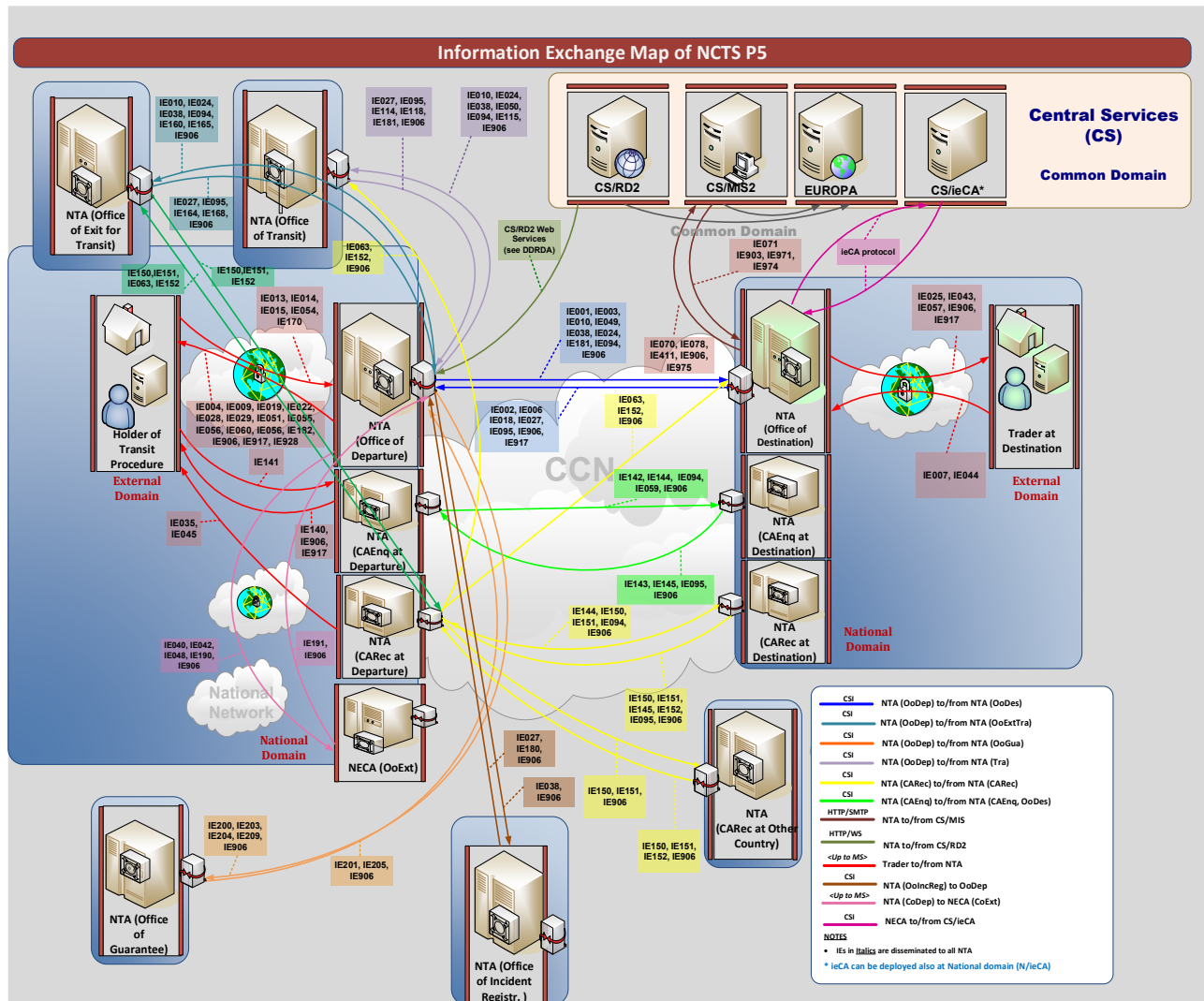


Figure 1: Information Exchange Map of NCTS-P5

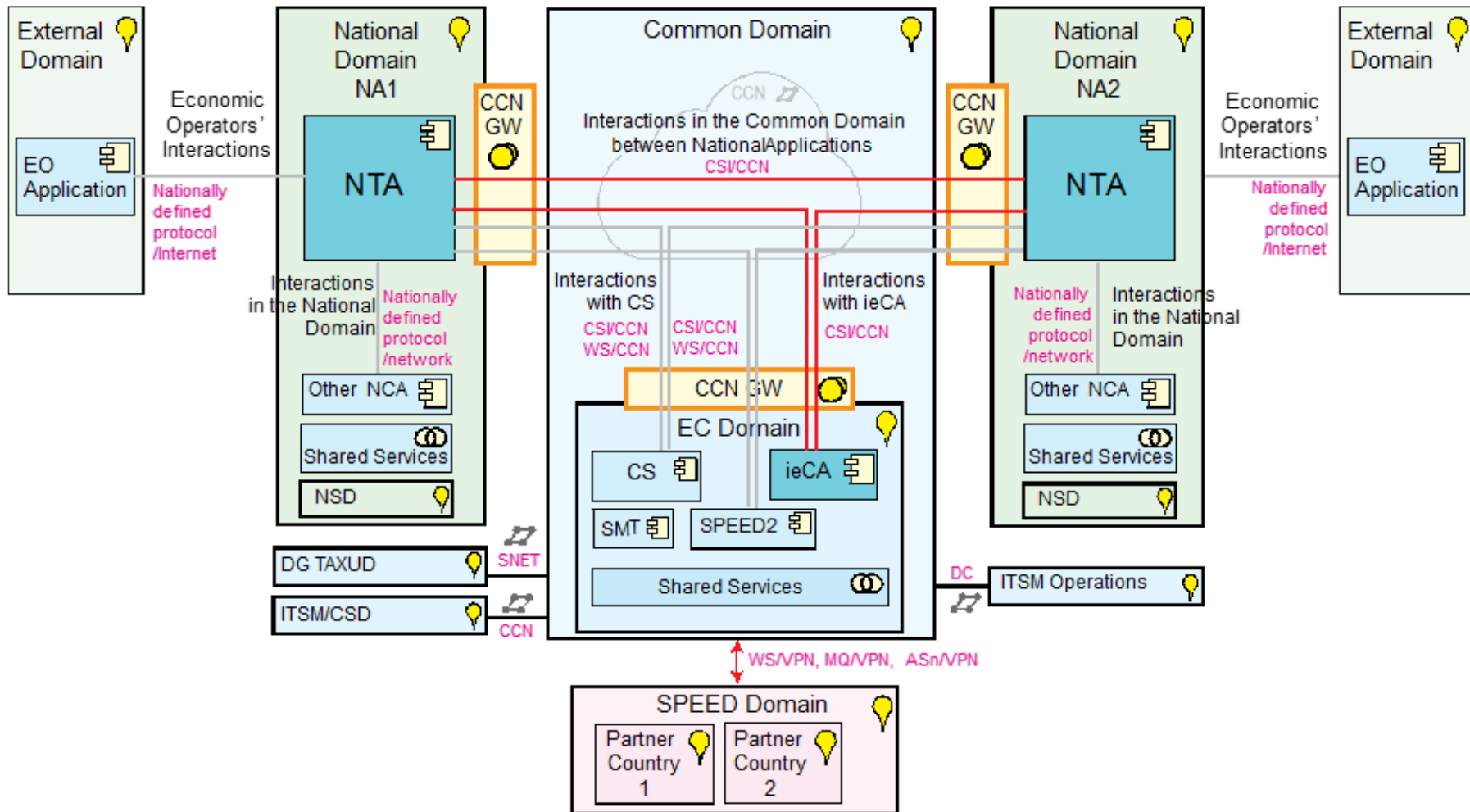


Figure 2: Domains and Interfaces

II.III Message format definition policy

Within this document, the overall approach is to define the XML format for all messages. Please refer to the technical message structure defined in the Section VII of this document and to the Section VIII of DDCOM [A3].

III NCTS-P5

The NCTS-P5 scenarios are classified according to the following approach:

- L0 is the root system (NCTS);
- L1 is the high-level Scenario Categories;
- L2 concerns grouping of scenarios, which belong to one category, on the basis of the covered business;
- L3 contains the various Scenarios belonging to a Scenario Group (L2).

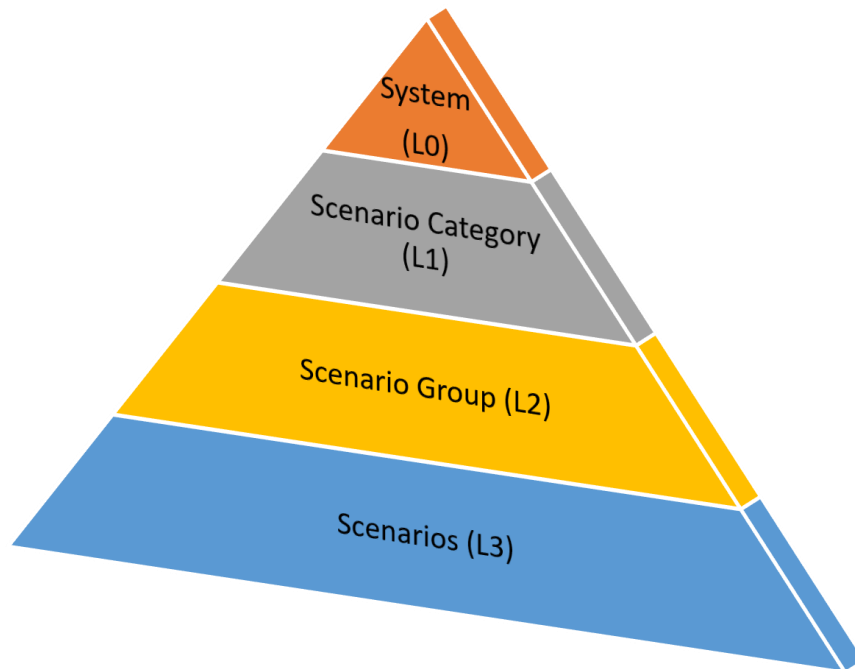


Figure 3: Hierarchical organisation of scenarios (levelling)

Section III describes the communication protocol between National Transit Applications for NCTS-P5, applicable after the Transitional Period. It covers the main transit scenarios performed by the different actors of the transit. The most important part is the sub-section III.V that defines the State Transition Diagram of NCTS-P5 (after the Transitional Period). It is followed by three sub-sections:

- **Sub-Section III-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, Office of Exit for Transit, Office of Incident Registration, Holder of the Transit Procedure, and Trader at Destination), and is applicable to the complete NCTS-P5;
- **Sub-Section III-II: NCTS Guarantee Management.** This sub-section deals with the main scenarios performed by the different parties involved in the Guarantee Management Procedure (Office of Departure, Office of Destination, Office of Guarantee and Holder of the Transit Procedure) in NCTS-P5;
- **Sub-Section III-III: NCTS Handle Enquiry & Recovery.** 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 Holder of the Transit Procedure) for the Enquiry and Recovery procedures in NCTS-P5.

To classify the NCTS-P5 scenarios, a unique identifier is introduced per scenario. The structure of the unique identifier (e.g. T-TRA-CFL-M-001) follows the convention defined in Figure 4 below:



Figure 4: Unique identification of scenarios

System (L0): T for NCTS (Transit).

Scenario Category (L1): TRA for NCTS Core Business, GMN for NCTS Guarantee Management and ENR for NCTS Handle Enquiry and Recovery.

Scenario Group (L2): please see the decomposition in Figure 5.

Scenario Type: M for Main Flow, A for Alternative Flow and E for Exception Flow (rejections).

Scenario Number: sequential number per group of scenarios.

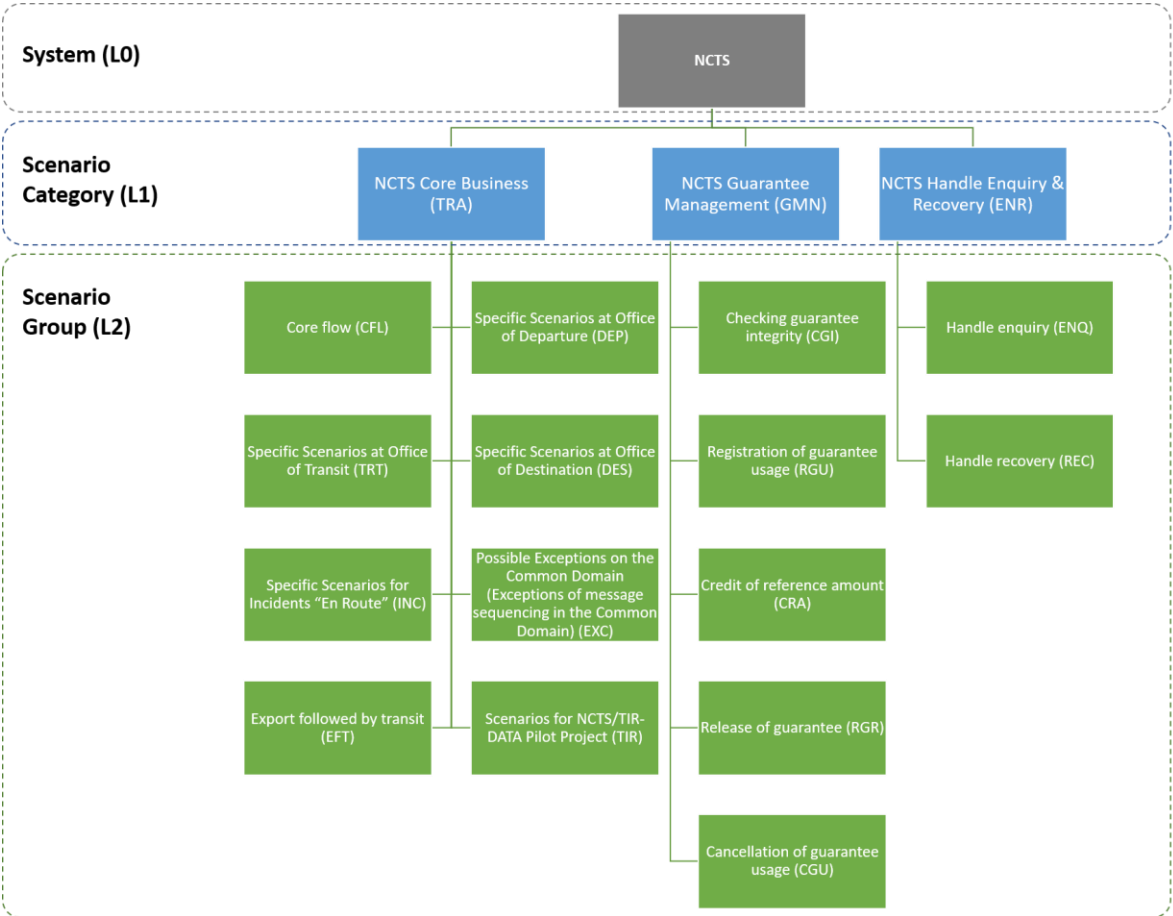


Figure 5: Classification of scenarios for NCTS system L0-L1-L2

III.I NCTS Core Business

III.I.1 Overview

The following sections present the detailed specification of the message exchange protocols for the NCTS Core Business area under NCTS-P5. 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.

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.

All *Information Exchanges* related to exceptions are discussed in Design principles, VIII.II of this document.

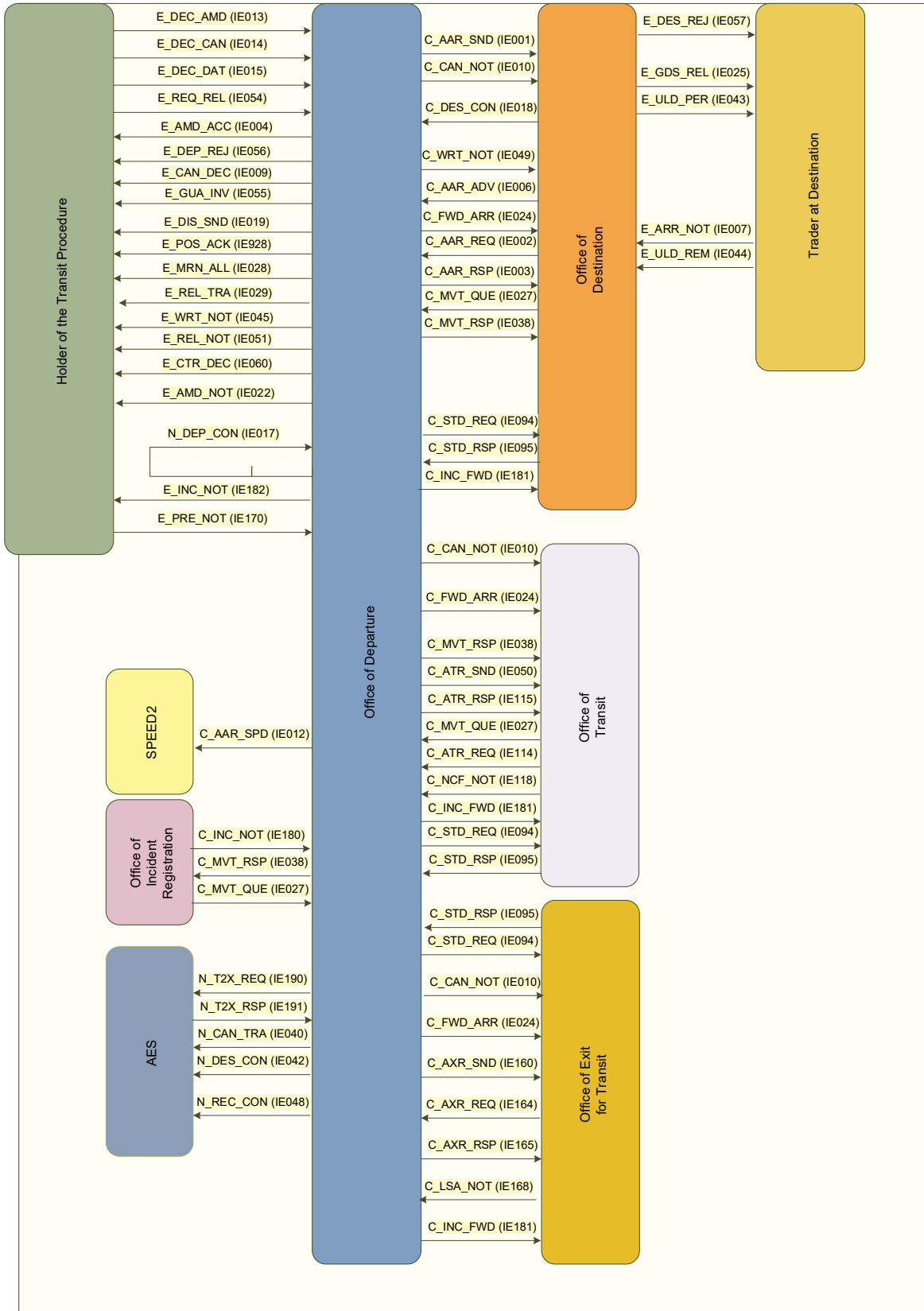


Figure 6: Overview of Information Exchange and roles regarding the NCTS-P5 Core Business

III.1.2 Scenarios and Time Sequence Diagrams

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 to be extensions of it. Every Scenario consists of a Time Sequence Diagram that visually depicts the sequence of messages exchanged between Offices (actors). Additionally, every Office (actor in a Time Sequence Diagram) has a State Transition Diagram that depicts the state transitions when a specific message is sent/received or when a specific event is triggered by the Officer. Please refer to DDCOM [A3] section I.4 for a detailed explanation of Time Sequence Diagrams and State Transition Diagrams.

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 considered 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.

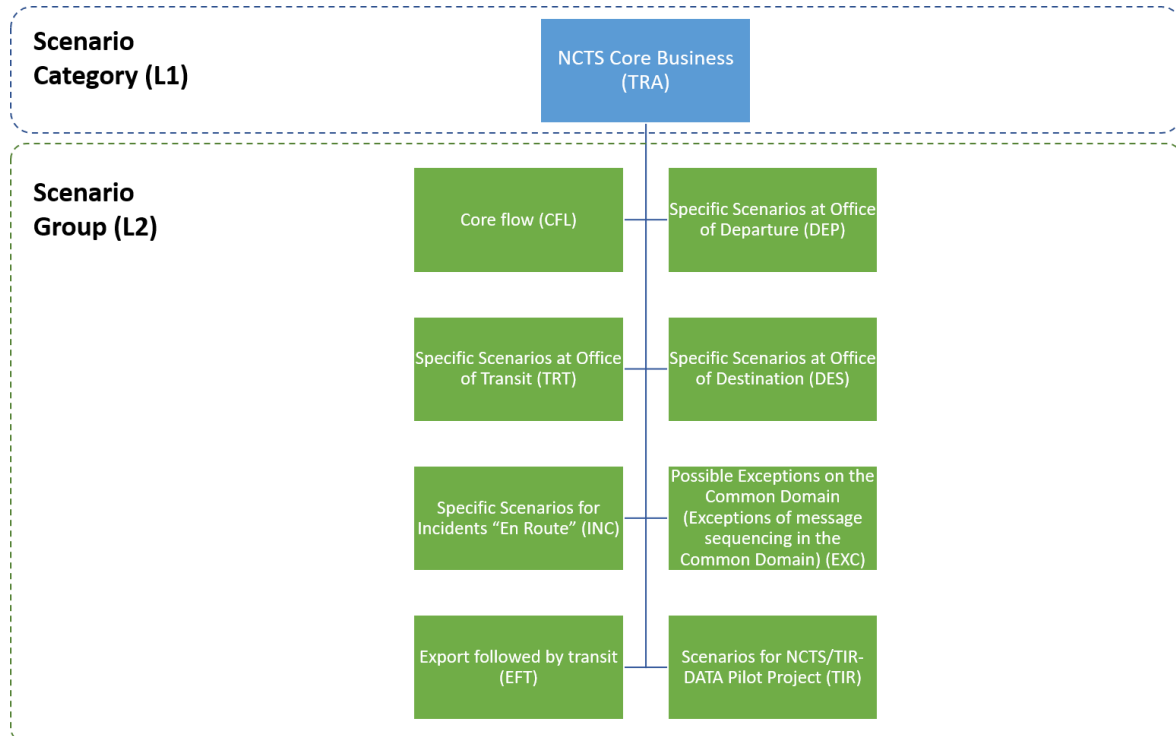


Figure 7: NCTS Core Business scenario groups

III.1.3 NCTS Actors

Role Name	Organisation	Definition
Office of Departure	Customs Office	The customs Office where the customs declaration placing goods under a transit procedure is lodged. This customs Office control the goods, allows (or not) the goods to be released for transit, initiates the Enquiry procedure if necessary and discharges the transit operation or initiates the Recovery procedure.
Office of Destination	Customs Office	The customs Office where the goods placed under a transit procedure are presented in order to end the procedure.
Office of Transit	Customs Office	<p>(a) The customs Office competent for the point of exit from the customs territory of the Union or from a common transit country when the goods are leaving that territory in the course of a transit operation via a frontier between the Union or a common transit country and a third country other than a common transit country, or</p> <p>(b) The customs Office competent for the point of entry into the customs territory of the Union in the course of a transit operation from a common transit country or a third country, or</p> <p>(c) The customs Office competent for the point of entry into the customs territory of a Contracting Party to the Convention on a Common Transit Procedure when the goods move under the common transit procedure, or the customs Office competent for the point of exit from the customs territory of a Contracting Party when the goods are leaving that territory in the course of a transit operation via a frontier between that Contracting Party and a third country¹⁰.</p>
Office of Exit for Transit*	Customs Office	<p>The customs Office competent for the point of exit from the Security Area responsible for assessing safety and security data. Specifically, the role Customs Office of Exit for Transit will be added in CS/RD2 to:</p> <ul style="list-style-type: none"> a) the Customs Offices that are located in the Security Area having a border with a CTC country (other than those that belong to the Security Area, such as NA-CH and NA-NO); b) the Customs Offices located in a National Administration that belongs to the Security Area with air/sea traffic.

¹⁰ [https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:01987A0813\(01\)-20171205&from=EN](https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:01987A0813(01)-20171205&from=EN)

Role Name	Organisation	Definition
Office of Incident Registration*	Customs Office	The nearest customs authority of the National Administration (participating in NCTS) in whose territory the goods and the means of transport are located responsible to register the incidents occurred in that territory during the journey of the consignment to the Office of Destination.
Competent Authority of Enquiry	Customs Office	The Customs Authority either at Departure or Destination, which is competent to handle the Enquiry activities of a movement.
Competent Authority of Recovery	Customs Office	The Customs Authority either at Departure or Destination or Other Country, which is competent to handle the Recovery activities of a movement.
Trader at Destination	Trader	The Trader who presents the consignment to the final destination where the transit movement ends.
Holder of the Transit Procedure	Trader	The person who lodges the customs declaration, or on whose behalf that declaration is lodged.

*This is a new role introduced in NCTS-P5

Table 6: Roles and organisations in NCTS

III.1.4 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.
- MRN Barcode: the MRN barcode accompanies the movement when the goods are released for Transit and are moved to their Destination.

III.1.5 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 Sub-Section III.V.

The State Transition Diagrams are the absolute foundation of the interoperability of the National Transit Applications.

Those State Transition Diagrams are applied in the different scenarios. The explanations provided for each Time Sequence Diagrams refer to the various change of state at each Customs Office role.

Each National Transit Application must implement the defined State Transition Diagrams logic, to ensure that the scenarios defined by the Time Sequence Diagrams can be performed without any rejection on the Common Domain.

At the end of each State Transition Diagram, a table lists all the states and their optionality (i.e. 'Required' for all Common Domain states, 'Required' or 'Strongly Recommended' for the states applicable before the release of the movement for transit).

III.II 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.1 Core Flow (CFL)

The core flow represents the standard transit procedure that can be normal or simplified.

The difference between normal and simplified procedure lies mainly in the type of location that the goods are placed at the Offices of Departure and Destination. In case of normal procedure, a Customs Officer has either direct access to the goods or at a designated/approved place, whereas in case of simplified procedure, the goods are placed at the premises of authorised consignor (at departure), or at the premises of the authorised consignee (at destination). A necessary precondition is that the Traders at Departure and Destination have received the necessary authorisations to perform the simplified procedure.

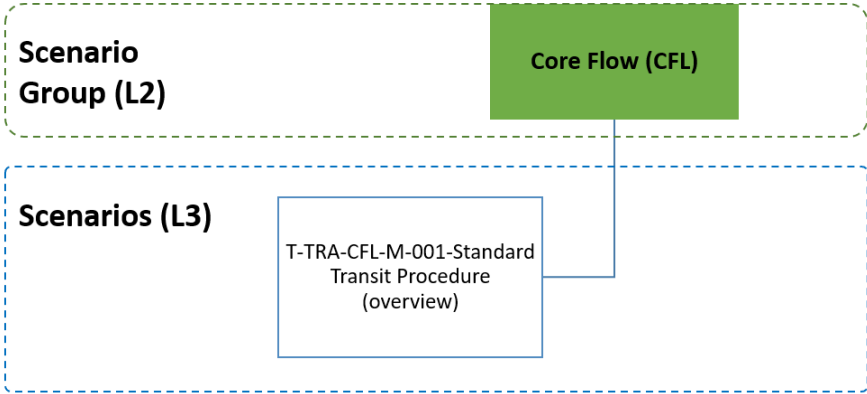


Figure 8: Core Flow scenario

III.II.1.1 T-TRA-CFL-M-001-Standard Transit Procedure (overview)

This scenario outlines the overview of the basic standard transit procedure at Departure when the goods are presented without delay by the Holder of the Transit Procedure.

[Step 1] The Holder of the Transit Procedure submits a transit declaration to the Office of Departure with the ‘Declaration Data’ E_DEC_DAT (IE015) message¹¹. The Office of Departure validates it and checks whether the transit declaration has been submitted under normal or simplified procedure.

[Step 2] If the transit declaration is valid in terms of syntactic and semantic validations (i.e. checks in message structure and R/Cs), the Office of Departure acknowledges the reception of the transit declaration with the ‘Positive Acknowledge’ E_POS_ACK (IE928) message.

Additionally, the Office of Departure generates the MRN, but it is not communicated to the Holder of the Transit Procedure until the acceptance of the transit movement.

The state of the movement at the Office of Departure is set to [Submitted](#).

[Step 3] As a following step in the basic flow, the Office of Departure communicates the MRN to the Holder of the Transit Procedure with the ‘MRN Allocated’ E_MRN_ALL (IE028) message. The state of the movement at the Office of Departure is set to [Accepted](#).

NOTE: Possible business variations of this core flow scenario after the ‘MRN Allocated’ E_MRN_ALL (IE028) message is sent to the Holder of the Transit Procedure may include either the below steps of the core flow (i.e. below step 4) OR any of the following:

- *The timer [T_Awaiting Automatic Release](#) is started (or restarted in case of valid amendment) in case of Simplified Procedure and no risk is identified to the transit movement – please refer to scenario [T-TRA-DEP-A-001-Simplified procedure at departure](#);*
- *The Office of Departure decides to control the transit movement– please refer to the scenarios: [T-TRA-DEP-M-006-Control by Office of Departure with release for transit](#) & [T-TRA-DEP-A-010-Control by Office of Departure with release for transit refused](#).*

Next, the Risk Analysis does not identify any risk for the transit movement. The Office of Departure decides not to control the movement. The state of the movement at the Office of Departure is set to [Guarantee under registration](#).

The Customs Officer at Departure accepts all the guarantee types ‘3’, ‘5’, ‘8’, ‘A’, ‘B’, ‘C’, ‘J’ or ‘R’ that are related with the given MRN (see also Section III.III.1.4 – Guarantee Types). Additionally, if the movement contains guarantee types ‘0’, ‘1’, ‘2’, ‘4’ or ‘9’ for the given movement (MRN), the Customs Officer accepts the reference amount¹² to be used for that transit movement.

¹¹ Alternatively, the Officer at Departure captures the transit declaration data manually on behalf of the Holder of the Transit Procedure. In that case, no further electronic communication exists between the Holder of the Transit Procedure and the Office of Departure.

¹² There is no specific algorithm for the calculation of the reference amount that should be specified in the DDNTA Main Document (national matter).

[Step 4] The ‘Guarantee Use’ C_GUA_USE (IE203) message is sent to the Guarantee Management System(s) to register the guarantee(s) managed by the Office of Guarantee (i.e. ‘0’, ‘1’, ‘2’, ‘4’ and ‘9’).

[Step 5] Provided that the ‘Guarantee Use Result’ C_GUA_USR (IE205) message(s) received from Guarantee Management System(s) do not contain an Invalid Guarantee Reason, the state of the transit declaration at the Office of Departure is set to [Guarantee registered](#).

The Office of Departure decides to release the movement. The state of the transit declaration at the Office of Departure is set to [Movement released](#).

[Step 6] The ‘Release for Transit’ E_REL_TRA (IE029) message is sent to Holder of the Transit Procedure.

[Step 7] The ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message is sent to all Office(s) of Exit for Transit (if involved into the movement and only if the transit declaration contains safety and security data).

Additionally, when an ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) is received, the Customs Office of Exit for Transit executes an automatic risk analysis on the received anticipated exit for transit record.

[Step 8] The ‘Anticipated Transit Record’ C_ATR_SND (IE050) message is sent to all Office(s) of Transit (if involved into the movement).

Additionally, when an ‘Anticipated Transit Record’ C_ATR_SND (IE050) is received, the Customs Office of Transit executes an automatic risk analysis on the received anticipated transit record.

[Step 9] The ‘Anticipated Arrival Record’ C_AAR_SND (IE001) message is sent to the Office of Destination.

Additionally, when an ‘Anticipated Arrival Record’ C_AAR_SND (IE001) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 10] The [T Await Arrival Advice](#) timer starts.

[Step 11] The [T Await Receipt Control Results](#) timer starts.

[Step 12] The [T Recovery Recommended](#) timer starts.

The movement arrives at the Office of Exit for Transit. As the transit declaration contains the safety and security data, the Officer scans the MRN of this movement. As the data has been received and is available at this Office of Exit for Transit, the safety security analysis has been performed.

If the ‘Anticipated Exit For Transit Record’ C_AXR_SND (IE160) message with the EXS data received from the Office of Departure cannot be validated in terms of safety & security

data by the sender being a CTC country (e.g. because the CTC country cannot validate the EORI record), the ‘Anticipated Exit For Transit Record’ C_AXR_SND (IE160) message will not be rejected by the NTA in EU (to be able to access any risk information that could be helpful) and the Customs Office of Exit for Transit might ask the Carrier, upon the arrival at the border, to lodge a separate EXS.

[Step 13] If the results of the risk analysis show no risk, the Customs Officer at the Office of Exit for Transit allows the movement to leave the Security Area. The ‘Notification leaving Security Area’ C_LSA_NOT (IE168) message is received by the Office of Departure from the Office of Exit for Transit. The state of the movement at the Office of Exit for Transit is set to [Movement left Security Area](#).

The movement arrives at the Office of Transit and the Officer checks the MRN of this movement. The Customs Officer at the Office of Transit locates the movement, checks the risk results of this movement, and decides to allow movement to cross the border of the Office of Transit.

[Step 14] The message ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) is received by the Office of Departure from the Office of Transit. The state of the movement at the Office of Transit is set to [NCF registered](#).

[Step 15] Upon arrival of the movement at the Office of Destination, the Trader at Destination announces it by submitting the ‘Arrival Notification’ E_ARR_NOT (IE007) message.

[Step 16] Provided that the message is valid, the Office of Destination checks whether the arrival notification has been submitted under normal or simplified procedure. Subsequently, the ‘Arrival Advice’ C_ARR_ADV (IE006) message is sent to the Office of Departure. Additionally, based on the information in the ‘Arrival Notification’ E_ARR_NOT (IE007), risk analysis is performed into the transit movement. The Office of Destination will also independently execute their own risk analysis (considering the risk results that may have already been communicated by the Office of Departure located in Security Area plus any other individual risk assessment performed based on the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) prior to the arrival of the movement) when the goods are presented.

The state of the movement at the Office of Destination is set to [Arrival accepted](#).

[Step 17] Upon reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) at the Office of Departure, the timer [T_Await_Arrival_Advice](#) stops. The state of the movement at the Office of Departure is set to [Arrived](#).

[Step 18] In case Guarantee types ‘0’ or ‘1’ have been used for this transit movement, the Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Guarantee Management System(s).

The goods have arrived at the premises of the Office of Destination. Subsequently, Risk analysis is performed. The Customs Officer at Destination evaluates the risk results and decides not to control the movement or controls the movement and enters satisfactory control results.

[Step 19] The goods are released from transit. The Office of Destination sends the ‘Goods Released Notification’ E_GDS_REL (IE025) message to the Trader at Destination (i.e.

“Release Indicator” flag is equal to “1-Full release of goods (as per declaration) - Movement closed”).

[Step 20] The message ‘Destination Control Results’ C_DES_CON (IE018) is sent to the Office of Departure with control result code that indicates satisfactory control results (i.e. ‘A1’ or ‘A2’ or ‘A5’). The state of the movement at the Office of Destination is set to [Goods released](#).

Upon reception of the ‘Destination Control Results’ C_DES_CON (IE018) message with satisfactory control result code (i.e. ‘A1’ or ‘A2’ or ‘A5’), the state of the movement at the Office of Departure is set to [Movement written off](#).

[Step 21] The Office of Departure sends the ‘Write-Off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure.

[Step 22] Finally, the Office of Departure sends the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message to the Guarantee Management System(s) to release the guarantee(s).

[Step 23] The timer [T_Await Receipt Control Results](#) at the Office of Departure stops.

[Step 24] The timer [T_Recovery Recommended](#) at the Office of Departure stops.

Upon completion of the above steps, the business flow of the transit procedure ends here.

NOTE: An Office of Transit is needed when the movement enters to a different Contracting Party from the Office of Departure. The Office of Exit of Transit can be at the border of the Security Area before the movement exits it. However, the Office of Exit for Transit shall not be included in case the security data are not included or includes only ENS (Security = ‘0’ or ‘1’). Based on these definitions, these Office roles are distinct and should not be equal into the transit declaration. For the MS having a physical border with a CTC country (except with CH/NO) or having an airport with Customs Office having the role DES and/or TRA defined in CSRD2, those Customs Offices also need to receive the EXS data, to be able to perform the risk analysis for safety and security, and to validate the exit outside the Security Area.

We have the following cases:

- *if goods are moved within the Security Area (i.e. without transiting via a CTC country outside the Security Area), there is no need for an Office of Exit for Transit (e.g. goods moved from Spain to Poland via Switzerland);*
- *if goods are moved within the Security Area and transiting via a CTC country (outside the Security Area), there must be an Office of Exit for Transit defined if ‘Security’ = ‘2’ or ‘3’ (e.g. goods are moved from Croatia to Bulgaria via Serbia);*
- *if goods are moved within the Security Area and transiting only via a third country then an Office of Exit for Transit is not used, only the ‘standard’ Offices of Transit are needed (e.g. goods moved from Poland to Lithuania via Russia);*
- *if goods are moved from the Security Area directly to a CTC country (outside the Security Area), there must be an Office of Exit for Transit defined if ‘Security’ = ‘2’ or ‘3’;*
- *for transit movement with declaration type ‘TIR’, no Office of Exit for Transit can be declared.*

When moving goods from within the Security Area (e.g. from Germany to Ireland or from Switzerland to Ireland), the trader could decide to anticipate a last moment choice on the itinerary – based on logistics constraints (e.g. to move the goods via France or via France and the UK). In this context, it is possible to include EXS data ('Security' = '2' or '3') and to define an Office of Exit for Transit and an Office of Transit that might be helpful if there is a chance for diversion outside the Security Area.

For instance, the Greek customs office of Krystallopigi (at the GR/AL border) receives the Transit declaration with Safety and Security in the context of NCTS-P4 and the procedure shall remain unchanged in NCTS-P5. Being Office of Transit or Office of Destination, it receives the 'Anticipated Arrival Record' C_AAR_SND (IE001) OR 'Anticipated Transit Record' C_ATR_SND (IE050) with EXS data included (if provided by the trader in the 'Declaration Data' E_DEC_DAT IE015). It is underlined that in Phase 5 the process remains the same. (e.g. in the 'Declaration Data' E_DEC_DAT (IE015) the Customs Office of Krystallopigi shall not be defined as 'Office of Exit for Transit' but only as 'Office of Transit' or 'Office of Destination'.

The 'Anticipated Transit Record' C_ATR_SND (IE050) and 'Anticipated Exit for Transit Record' C_AXR_SND (IE160) messages shall never be sent to the same Customs Office.

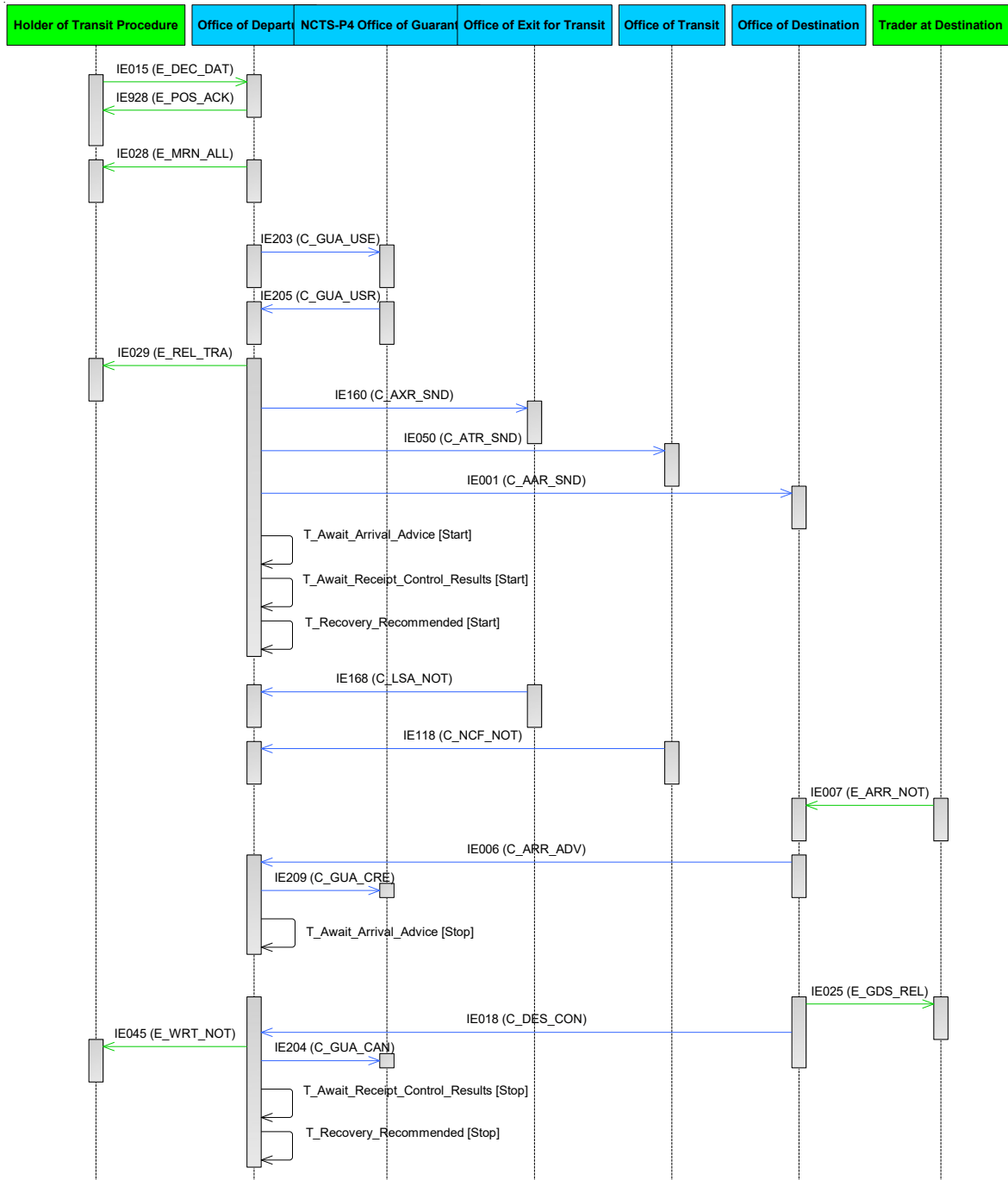


Figure 9: T-TRA-CFL-M-001-Standard Transit Procedure (overview)

III.II.2 Specific Scenarios at Office of Departure (DEP)

The following series of scenarios focus on the Office of Departure side.

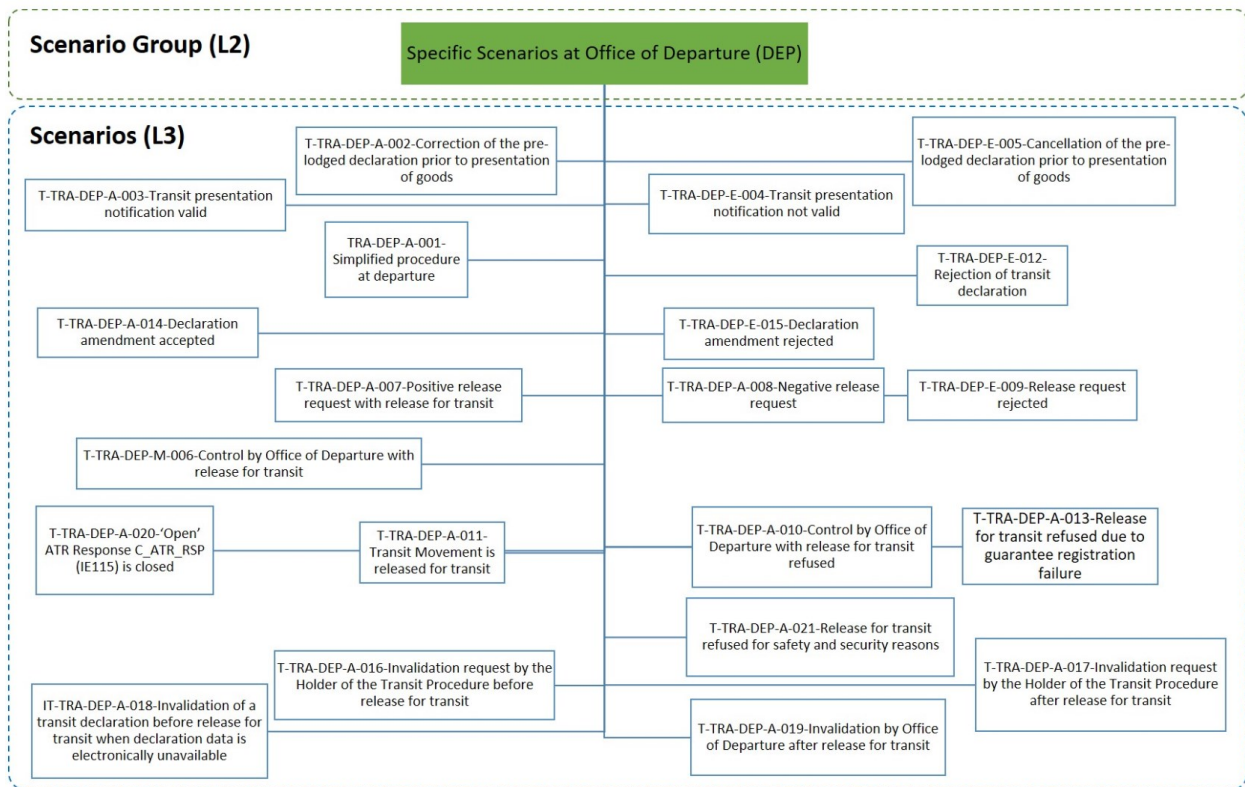


Figure 10: Departure specific scenarios organisation

The following scenarios depict the interaction between the Holder of the Transit Procedure and the Office of Departure:

- Declaration lodged prior to presentation of goods;
- Correction of declaration lodged prior to presentation of goods;
- Cancellation of declaration lodged prior to presentation of goods;
- Transit presentation notification valid or not;
- Rejection or acceptance of a declaration at the Office of Departure;
- Declaration amendment accepted or not;
- Release for Transit or a non-release for Transit at the Office of Departure;
- Release request accepted or not;

Another category of scenarios concern control at the Office of Departure. It should be noted that control may or may not take place at Departure. There are different possibilities:

- The goods are released for transit without control;
- The goods are not released for transit, without control;
- The goods are controlled.

When control takes place, different outcomes are possible:

- Control result is satisfactory: the movement is released for transit;
- Control result shows major discrepancies: the movement cannot be released for transit;

- Control result shows minor revisions are required, and the Holder of the Transit Procedure gives no opposition: the transit movement is released for transit;
- Minor revisions are required, and the Holder of the Transit Procedure gives no advice: the transit movement is set to “Under release request”. Subsequently, the Holder of the Transit Procedure has to provide an advice (positive or negative) within a timer limit by means of the ‘Request of Release’ E_REQ_REL (IE054) message (i.e. flag ‘Release requested’ is set to either ‘0-No’ or ‘1-Yes’);
- Minor revisions are required, and the Holder of the Transit Procedure gives opposition to these revisions: the movement’s state is set to “Idle” and the Office of Departure decides whether to release or not the transit movement. If the decision is that the transit movement can be released, then the guarantee registration takes place.

When NCTS is also used for the purpose of safety and security, the full safety and security risks must additionally be considered. For the safety and security specific actions involved at Departure, please refer to sub-section III.II.2.9.3.

III.II.2.1 Declaration Lodged Prior to Presentation of Goods

The customs declaration can be lodged for the purpose of risk analysis thirty (30) days prior to the presentation of the goods to the Office of Departure (i.e. the value of the ‘Additional Declaration Type’ is equal to “D” in the ‘Declaration Data’ E_DEC_DAT (IE015) message). If the declaration data are valid (i.e. message structure and R/Cs checks are successful), the ‘Positive Acknowledge’ E_POS_ACK (IE928) message is sent to the Holder of the Transit Procedure and the status is set to [Pre-Lodged](#).

The purpose of the ‘Positive Acknowledge’ E_POS_ACK (IE928) message is to inform the Holder of the Transit Procedure that the transit declaration has been received by the Customs Authorities and the validation of the transit declaration in terms of message structure and R/Cs checks has been successful. On top of that, the ‘Positive Acknowledge’ E_POS_ACK (IE928) message starts the thirty (30) days timer that defines the deadline to present the goods at the Office of Departure. The ‘Positive Acknowledge’ E_POS_ACK (IE928) message contains the LRN, as exists in the original declaration data sent by the Holder of the Transit Procedure and which identifies the transit movement. It is strongly recommended that the LRN is used in all subsequent communications with the Holder of the Transit Procedure before the acceptance of the transit declaration by customs.

In case of pre-lodgement, as soon as the ‘Positive Acknowledge’ E_POS_ACK (IE928) is sent, the NTA generates the MRN. This MRN is used by the risk analysis process. The NTA must be interfaced with the national risk analysis system. The risk analysis results are registered in the NTA. The MRN is not communicated immediately by the NTA to the Holder of the Transit Procedure. The purpose is to avoid that the provisional MRN is misused voluntarily/involuntarily with goods being already moved before formal release for transit. The MRN is communicated by the Customs Office of Departure to the Holder of the Transit Procedure after the acceptance of the transit declaration. This acceptance is performed by sending the message ‘MRN Allocated’ E_MRN_ALL (IE028) which occurs after the presentation of the goods.

NOTE: There is no conflict to have Simplified Procedure and Pre-Lodged Declaration. The declaration is re-validated after the reception of the CC170C, to ensure validity/consistency of the "CC015C + CC013C (if any) + CC170C" combined declaration. At the time the

'Presentation Notification for the Pre-lodged Declaration' E_PRE_NOT (IE170) is lodged with the final 'Location of goods', then the 'Location of goods' mentioned in the Authorisation (i.e. type ACR) is checked. In case that this validation check shows different locations of goods then the transit declaration is rejected.

After the risk analysis, the Office of Departure may control the movement and for this reason, the Holder of the Transit Procedure (provided that they are an AEO) is notified about the intention of the Customs Officer to potentially control the goods with the 'Control Decision Notification' E_CTR_DEC (IE060) message (having the data element TRANSIT OPERATION-Notification type = '2-Intention to Control'). The notification via the message 'Control Decision Notification' E_CTR_DEC (IE060) shall not be provided to AEO, where it may jeopardise the controls to be carried out or the results thereof.

As mentioned above, the duration of the timer 'Awaiting Presentation Notification' (i.e. max 30 days duration) denotes the time limit by when the goods need to be presented to the Office of Departure. In case no goods are presented by when this timer expires, the transit declaration is automatically rejected and the 'Rejection from Office of Departure' E_DEP_REJ (IE056) message is sent to the Holder of the Transit Procedure (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

It is noted that the legislation allows the flexibility to have different Representatives for the pre-lodged declaration and for the presentation notification of the same MRN. It remains the decision of the Holder of the Transit Procedure who may decide to make a contract with another Representative after having pre-lodged the declaration or even to stop the contract immediately after the pre-lodged declaration.

III.II.2.1.1 T-TRA-DEP-A-003-Transit presentation notification valid

Since the 'Additional Declaration Type' is 'D', it means that the goods have not been presented to the Office of Departure yet upon the submission of the transit declaration.

[Step 1] The Holder of the Transit Procedure submits the 'Declaration Data' E_DEC_DAT (IE015) message to the Office of Departure with 'Additional Declaration Type' to be equal to 'D'.

[Step 2] The Office of Departure validates this message successfully (i.e. in terms of message structure and R/Cs) and sends the 'Positive Acknowledge' E_POS_ACK (IE928) message to the Holder of the Transit Procedure to acknowledge the reception of the transit declaration.

The Office of Departure generates the MRN (i.e. Master Reference Number), but it is not communicated to the Holder of the Transit Procedure until the acceptance of the transit movement. The MRN (i.e. Master Reference Number) is generated so as to be used internally at the Office of Departure for risk analysis purposes. However, until the acceptance of the transit movement, the LRN (i.e. Local Reference Number) is to be used for all communications between the Holder of the Transit Procedure and the Office of Departure.

The state of the movement at the Office of Departure is set to [Pre-Lodged](#).

[Step 3] The timer [T_Await Presentation Notification](#) starts. This timer sets the deadline by when the goods have to be presented to the Office of Departure.

[Step 4] Following the result of the Risk Analysis engine, the Office of Departure may select the pre-lodged declaration for potential control of the goods prior to their presentation. In such case, the Office of Departure notifies the Holder of the Transit Procedure (provided that they are an AEO) about the intention to potentially control the goods, via the ‘Control Decision Notification’ E_CTR_DEC (IE060) message (having the data element TRANSIT OPERATION-Notification type = ‘2-Intention to Control’).

[Step 5] While the timer [T_Await_Presentation_Notification](#) is running, the Office of Departure receives a valid ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message from the Holder of the Transit Procedure¹³.

[Step 6] The Office of Departure validates successfully the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message and the timer [T_Await_Presentation_Notification](#) stops. In addition, based on the information contained in the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message, the Office of Departure re-validates the Transit Declaration information (considering the ‘Declaration Data’ E_DEC_DAT (IE015) and any latest ‘Declaration Amendment’ E_DEC_AMD (IE013)) and ensures the validity of the reference data.

In case all additional checks are successful, the state of the movement at the Office of Departure is set to [Accepted](#).

[Step 7] Finally, the MRN is communicated to the Holder of the Transit Procedure with message ‘MRN Allocated’ E_MRN_ALL (IE028).

The business flow of the transit procedure continues after [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: It shall be noted that if following the reception of the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message, the re-validation of the Transit Declaration information (considering the ‘Declaration Data’ E_DEC_DAT (IE015) and any latest ‘Declaration Amendment’ E_DEC_AMD (IE013)) is unsuccessful (i.e. reference data are not valid), then the pre-lodged Transit Declaration is rejected. In such case, the Office of Departure sends to the Holder of the Transit Procedure a ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) giving the reason for rejection. The state of the movement changes to [Rejected](#), which is a final state and the scenario stops here. When a Transit Declaration has been rejected, the normal way of proceeding is the Holder of the Transit Procedure to send a new ‘Declaration Data’ E_DEC_DAT (IE015).

¹³ The “TRANSPORT EQUIPMENT” (in case of containerised goods) and “LOCATION OF GOODS” recorded in the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message shall be considered as the baseline data (concerning transport equipment and location of goods) for the particular Transit Declaration.

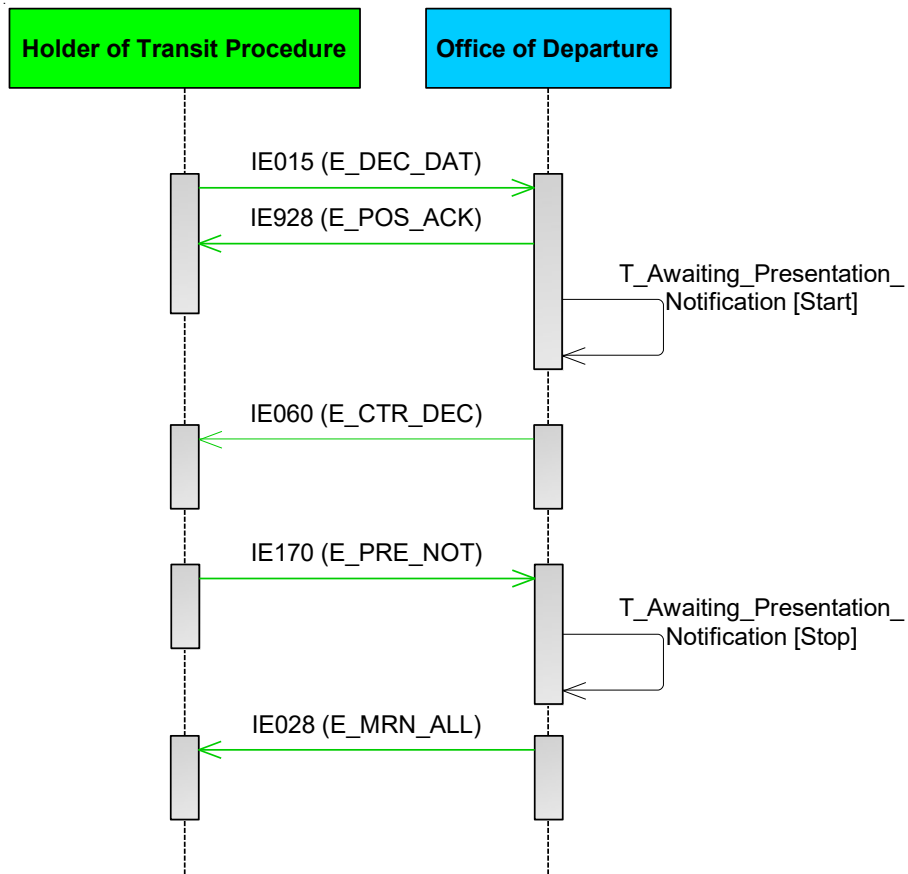


Figure 11: T-TRA-DEP-A-003-Transit presentation notification valid

III.II.2.1.2 T-TRA-DEP-A-002-Correction of the pre-lodged declaration prior to presentation of goods

Before the goods are presented and while the timer [T Await Presentation Notification](#) is running, the Holder of the Transit is allowed to correct the transit declaration as many times, as they want. This scenario examines this case.

The scenario starts after [\[Step 3\]](#) of the [T-TRA-DEP-A-003-Transit presentation notification valid](#).

[Step 4] The Holder of the Transit Procedure decides to correct the transit declaration and submits the ‘Declaration Amendment’ E_DEC_AMD (IE013) message.

[Step 5] At the first attempt, upon reception of the ‘Declaration Amendment’ E_DEC_AMD (IE013) message, the Office of Departure performs validation of the IE013 message in terms of structure and R/C. As the validation results are negative, the Office of Departure sends back the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) to the Holder of the Transit Procedure (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

[Step 6] Upon reception of the second ‘Declaration Amendment’ E_DEC_AMD (IE013) message, the Office of Departure validates it successfully in terms of structure and R/C and sends back its acceptance to the Holder of the Transit Procedure with the ‘Amendment Acceptance’ E_AMD_ACC (IE004) message. The state of the movement at the Office of Departure remains [Pre-Lodged](#).

Note: The 30-days timer [T Await Presentation Notification](#) is not reset if the Holder of the Transit Procedure sends a correction to the transit declaration.

[Step 7] Following the result of the Risk Analysis engine, the Office of Departure may select the pre-lodged declaration for potential control of the goods prior to their presentation. In such case, the Office of Departure notifies the Holder of the Transit Procedure (provided that they are an AEO) about the intention to potentially control the goods, via the ‘Control Decision Notification’ E_CTR_DEC (IE060) message (having the data element TRANSIT OPERATION-Notification type = ‘2-Intention to Control’).

[Step 8] While the timer [T Await Presentation Notification](#) is still running, the goods of the consignment are presented, and the Holder of the Transit Procedure notifies the Office of Departure of this fact by submitting the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message to the Office of Departure¹⁴.

The ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message is valid (i.e. in terms of message structure and R/Cs). In addition, based on the information contained in the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message, the Office of Departure re-validates the Transit Declaration information (considering the ‘Declaration Data’ E_DEC_DAT (IE015) and any latest

¹⁴ The “TRANSPORT EQUIPMENT” (in case of containerised goods) and “LOCATION OF GOODS” recorded in the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message shall be considered as the baseline data (concerning transport equipment and location of goods) for the particular Transit Declaration.

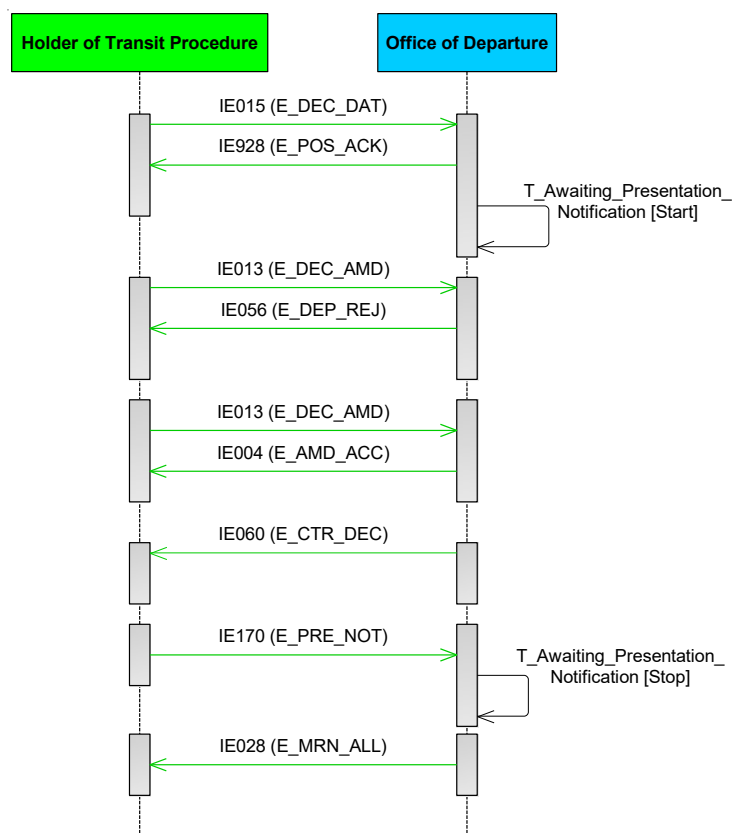
‘Declaration Amendment’ E_DEC_AMD (IE013)) and ensures the validity of the reference data.

[Step 9] The timer [T_Await Presentation Notification](#) stops¹⁵.

[Step 10] Since the additional checks are successful, the transit declaration is accepted. As a result, the MRN is communicated to the Holder of the Transit Procedure with the ‘MRN Allocated’ E_MRN_ALL (IE028) message.

The business flow of the transit procedure continues after [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: It shall be noted that if following the reception of the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message, the re-validation of the Transit Declaration information (considering the ‘Declaration Data’ E_DEC_DAT (IE015) and any latest ‘Declaration Amendment’ E_DEC_AMD (IE013)) is unsuccessful (i.e. reference data are not valid), then the pre-lodged Transit Declaration is rejected. In such case, the Office of Departure sends to the Holder of the Transit Procedure a ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) giving the reason for rejection. The state of the movement changes to [Rejected](#), which is a final state and the scenario stops here. When a Transit Declaration has been rejected, the normal way of proceeding is the Holder of the Transit Procedure to send a new ‘Declaration Data’ E_DEC_DAT (IE015).



¹⁵ In case the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message is found invalid, this timer continues running.

Figure 12: T-TRA-DEP-A-002-Correction of the pre-lodged declaration prior to presentation of goods

III.II.2.1.3 T-TRA-DEP-E-004-Transit presentation notification not valid

The scenario starts after [\[Step 3\]](#) of the [T-TRA-DEP-A-003-Transit presentation notification valid](#).

[Step 4] While the timer [T_Await_Presentation_Notification](#) is running, the Holder of the Transit Procedure notifies the Office of Departure for the presentation of goods with the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message.

[Step 5] However, the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) is invalid (i.e. in terms of message structure and R/Cs). Therefore, the Office of Departure rejects it by notifying back the Holder of the Transit Procedure with the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message.

The Holder of the Transit Procedure however has the right to resend a valid ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message within the time limit of the thirty (30) days.

[Step 6] The timer [T_Await_Presentation_Notification](#) expires and no further ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) is accepted afterwards.

[Step 7] In such a case, the Holder of the Transit Procedure is notified with the message ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) by the Office of Departure meaning that the status of the transit declaration is set to [Rejected](#). This is a final state (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The business flow of the transit procedure ends here.

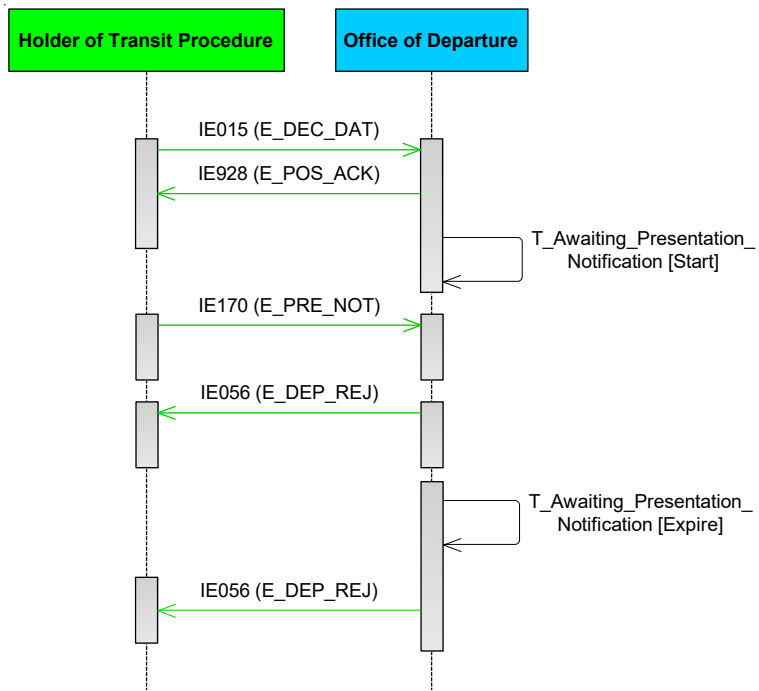


Figure 13: T-TRA-DEP-E-004-Transit presentation notification not valid

III.II.2.1.4 T-TRA-DEP-E-005-Cancellation of the pre-lodged declaration prior to presentation of goods

For a pre-lodged transit declaration and before presenting the goods to the Office of Departure, and while the timer [T_Await_Presentation_Notification](#) is running, the Holder of the Transit Procedure is allowed to cancel the pre-lodged transit declaration. This scenario examines this case.

The scenario starts after [\[Step 3\]](#) of the [T-TRA-DEP-A-003-Transit presentation notification valid](#).

[Step 4] The Holder of the Transit Procedure decides to cancel the pre-lodged declaration by sending the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message to the Office of Departure.

[Step 5] In case the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message is valid, the Office of Departure automatically sends a positive decision to cancel the pre-lodged declaration. The ‘Invalidation Decision’ E_INV_DEC (IE009) is sent to the Holder of the Transit Procedure. The state of the movement at the Office of Departure is set to [Cancelled](#). This is a final state.

[Step 6] The timer [T_Await_Presentation_Notification](#) stops.

The business flow of the transit procedure ends here.

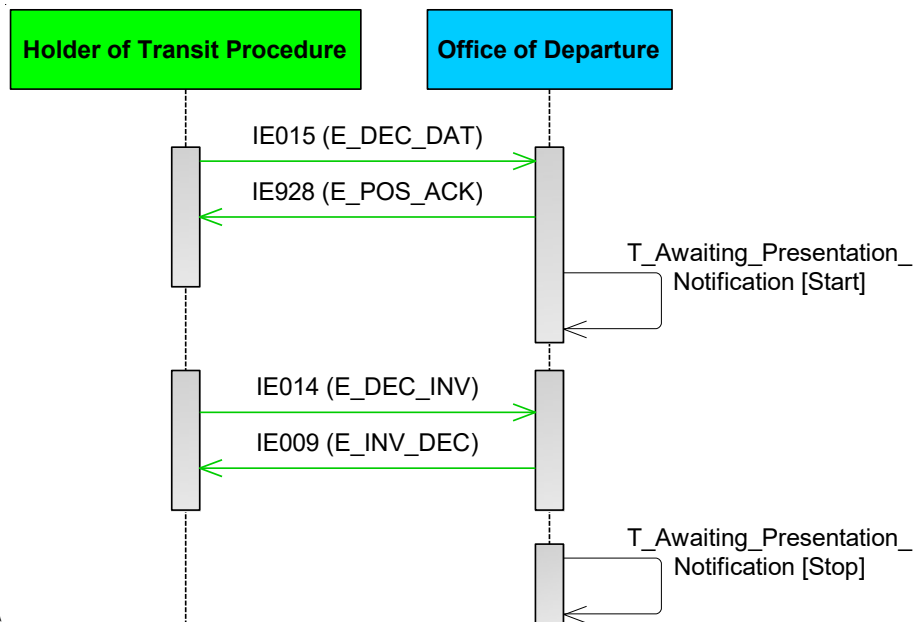


Figure 14: T-TRA-DEP-E-005-Cancellation of the pre-lodged declaration prior to presentation of goods

III.II.2.2 T-TRA-DEP-A-001-Simplified procedure at departure

When a transit declaration is submitted under simplified procedure (i.e. the 'Declaration Data' E_DEC_DAT (IE015) message includes the Data Item <AUTHORISATION.Type> with the value 'C521' and the valid authorisation reference number), NCTS checks that the Holder of the Transit Procedure, who is responsible for the declaration, is indeed authorised to use simplified procedure at that Office of Departure.

Additionally, after acceptance of the movement but before the timer [T_Awaiting Automatic Release](#) is started, risk analysis is performed. In case risk analysis evaluates the movement to be of high risk, the timer [T_Awaiting Automatic Release](#) is never started and the Office of Departure needs to take the decision to control or not.

NCTS also checks the authorised 'Location of goods' where an officer from the Office of Departure can control the consignment in case they decide to do that. When the Holder of Procedure uses seals, then NCTS checks them against the seals mentioned in the Authorisation. NCTS also checks that none of the goods are excluded from the Authorisation.

After acceptance of the transit declaration following simplified procedure, a special timer is initiated for the movement to proceed automatically to the next step of the process (i.e. to Guarantee registration), in case no control is decided until its expiration.

It should be noted that after acceptance of a transit declaration submitted under simplified procedure and provided that risk assessment shows no/low risk, the timer [T_Awaiting Automatic Release](#) is started to progress towards an automatic release of the transit after the timer has expired. We have the following cases:

- If the timer expires and no control decision has been taken by the Customs Officer, then the movement is automatically set to status [Guarantee under registration](#), or
- While the timer is running, the Office of Departure takes the decision not to control, then the movement is also set to status [Guarantee under registration](#) and the timer [T_Awaiting Automatic Release](#) stops, or
- While the timer is running, the Office of Departure takes the decision to control, then the timer stops, and the status of the movement is set to [Under control and the timer T_Awaiting Automatic Release](#) stops.

This scenario starts from [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] Since the movement is under simplified procedure, the timer [T_Awaiting Automatic Release](#) starts.

During the execution of this timer, the Officer at Departure has the option to decide for control or not. When the timer expires, and no control has been decided, the movement proceeds to the guarantee registration process.

[Step 5] The timer [T_Awaiting Automatic Release](#) expires and no control decision has been provided by the Officer at Departure. The state of the movement is set to [Guarantee under registration](#).

[Step 6] The ‘Guarantee Use’ C_GUA_USE (IE203) message is sent to the Guarantee Management System(s) to register the guarantee(s) managed by the Office of Guarantee (i.e. ‘0’, ‘1’, ‘2’, ‘4’ and ‘9’).

[Step 7] Provided that the ‘Guarantee Use Result’ C_GUA_USR (IE205) message(s) received from Guarantee Management System(s) do not contain an Invalid Guarantee Reason, the state of the transit declaration at the Office of Departure is set to [Guarantee registered](#).

The Office of Departure decides to release the movement. The state of the transit declaration at the Office of Departure is set to [Movement released](#).

The business flow of the transit procedure continues from [\[Step 6\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

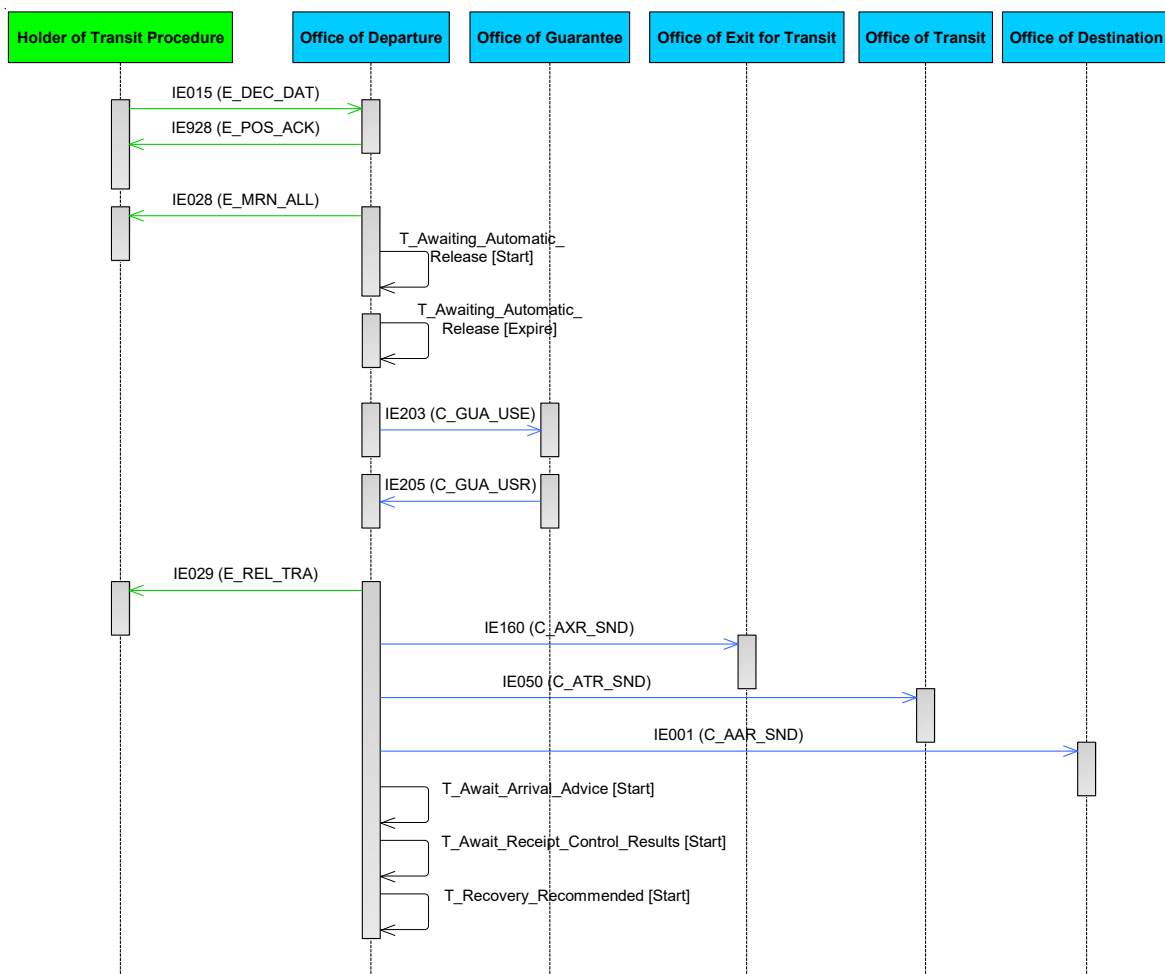


Figure 15: T-TRA-DEP-A-001-Simplified procedure at departure

III.II.2.3 T-TRA-DEP-E-012-Rejection of transit declaration

[Step 1] This scenario shows the case that the transit declaration, submitted by the Holder of the Transit Procedure to the Office of Departure with the ‘Declaration Data’ E_DEC_DAT (IE015) message, is rejected. Before submission of the transit declaration, the state of the movement at the Office of Departure is [None](#).

[Step 2] The Office of Departure validates the declaration data as invalid and thus rejects it by sending as response to the Holder of the Transit Procedure the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message. The state of the movement at the Office of Departure is set to [Rejected](#). This is a final state (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The business flow of the transit procedure ends here.

NOTE: This rejection may happen due to any of the following reasons:

- *the ‘Declaration Data’ E_DEC_DAT (IE015) is found invalid in terms of Syntax and/or Rules and/or Conditions. The previous state at the Office of Departure was [None](#);*
- *the transit declaration has been submitted under simplified procedure [The previous state at the Office of Departure was [None](#)], but:*
 - *the Holder of the Transit Procedure doesn’t have authorised consignor status, and/or has declared an invalid ‘Authorised location of goods’; and/or*
 - *the Holder of the Transit Procedure doesn’t have the authorisation to use of seals of a special type.*
- *the Holder of the Transit Procedure submits the transit declaration with a reduced dataset but doesn’t have the Authorisation (i.e. type TRD). The previous state at the Office of Departure was [None](#);*
- *the transit declaration has been submitted under normal procedure and the Customs Office of Departure does not approve the designated location of goods as declared in the declaration data [The previous state at the Office of Departure was [Submitted](#)];*
- *the timer [Awaiting Presentation Notification](#) expires (with thirty(30) days duration) and the goods have not been presented yet to the Office of Departure (i.e. no reception of ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170)) [The previous state at the Office of Departure was [Pre-lodged](#)];*
- *the transit declaration contains Export MRNs as previous references and upon submission of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit for the initial cross-check of these Export MRNs, a negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message is returned from the Office of Exit to the Office of Departure [The previous state at the Office of Departure was [Submitted](#)].*

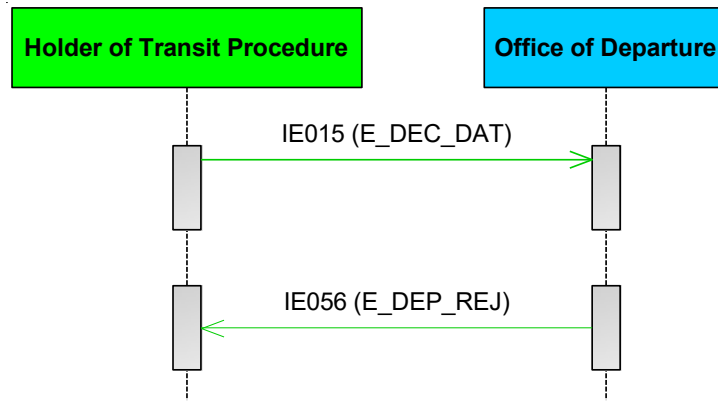


Figure 16: T-TRA-DEP-E-012-Rejection of transit declaration

III.II.2.4 Amendment of Transit Declaration

Amendments made by the Holder of the Transit Procedure enable changes to the declaration data right until the movement is released for transit. No amendment requests by the Holder of the Transit Procedure are allowed before the declaration is accepted and after it is released for transit. Moreover, amendment requests are rejected when declaration is under the status [Under control](#).

NOTE: Based on UCC, no amendments are allowed before the transit declaration is accepted. Therefore, prior to acceptance, the procedure is treated as 'correction' (T-TRA-DEP-A-002-Correction).

The amendment of the transit declaration as requested by the Holder of the Transit Procedure can cause the decision to control at Departure. This means that depending on the modifications, the Office of Departure may decide to perform control on the consignment, even though the amendment request has been accepted.

Several amendments can be sent before the movement is finally released (or not released) for Transit. There is, in principle, no limit to the number of amendments that can be sent. However, only one amendment request can be received at a time, meaning that the Office of Departure needs first to accept or reject the current amendment request before a new amendment request can be received. Otherwise, if there is a pending amendment request, while there is still no decision, any new incoming amendment request is automatically rejected.

III.II.2.4.1 T-TRA-DEP-A-014-Declaration amendment accepted

The scenario starts after [\[Step 3\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] In case of simplified procedure, the timer [T_Awaiting Automatic Release](#) at the Office of Departure starts.

[Step 5] The Holder of the Transit Procedure notifies the Office of Departure of needed changes to the original declaration with a valid 'Declaration Amendment' E_DEC_AMD (IE013) before the goods have been released for transit. It should be noted that the timer [T_Awaiting Automatic Release](#) is not affected (i.e. continues to run) when an amendment request is received (i.e. under Simplified Procedure).

[Step 6] The amendment request is valid in terms of message structure and R/Cs. Therefore, the Office of Departure notifies the Holder of the Transit Procedure about the acceptance of the amendment with the ‘Amendment Acceptance’ E_AMD_ACC (IE004) message. The state of the movement at the Office of Departure remains [Accepted](#).

After the ‘Declaration Amendment’ is accepted the Customs Officer can decide to control the consignment. To assist the Customs Officer a Risk analysis is performed.

[Step 7] In case the timer [T_Awaiting Automatic Release](#) at the Office of Departure is already running, then it restarts.

The business flow of the transit operation continues after [\[Step 3\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

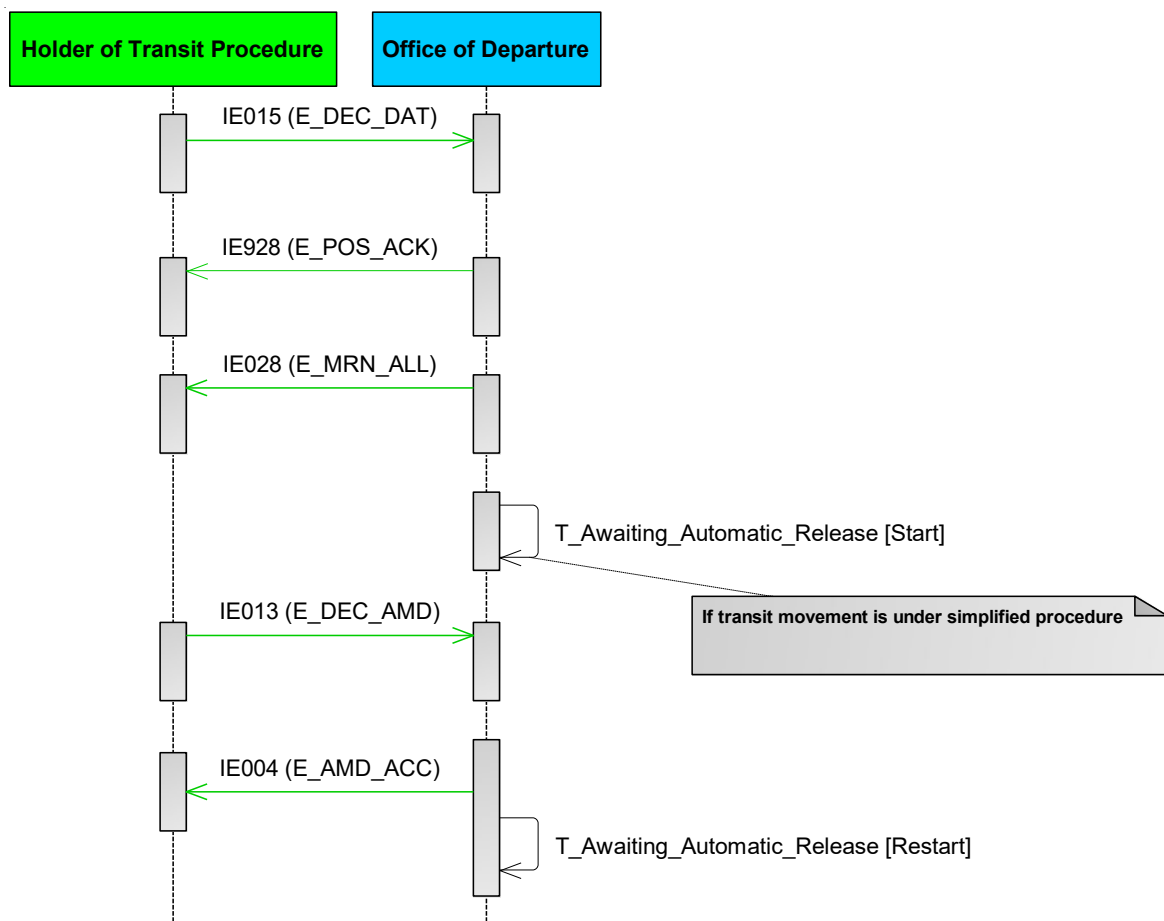


Figure 17: T-TRA-DEP-A-014-Declaration amendment accepted

III.II.2.4.2 T-TRA-DEP-E-015-Declaration amendment rejected

The scenario starts from [\[Step 3\]](#) of the T-TRA-CFL-M-001-Standard Transit Procedure (overview).

[Step 4] In case of simplified procedure, the timer [T_Awaiting Automatic Release](#) at the Office of Departure starts.

[Step 5] An invalid ‘Declaration Amendment’ E_DEC_AMD (IE013) message is sent by the Holder of the Transit Procedure (i.e. invalid in terms of message structure and/or R/Cs). It should be noted that the timer [T_Awaiting Automatic Release](#) is not affected (i.e. continues to run) when an amendment request is received (i.e. under Simplified Procedure).

[Step 6] The ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message is sent automatically to the Holder of the Transit Procedure to notify about the rejection of the amendment request (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

When the amendment request is rejected, there is no change in the previous version of the declaration data.

The business flow of the transit procedure may continue either:

- From [\[Step 5\]](#) of [T-TRA-DEP-A-014-Declaration amendment accepted](#), in case a valid amendment request is resent by the Holder of the Transit Procedure; or
- From [\[Step 5\]](#) above, in case an invalid amendment request is resent by the Holder of the Transit Procedure; or
- After [\[Step 3\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), in case no new amendment request is resent by the Holder of the Transit Procedure.

NOTE: The amendment request submitted by the Holder of Transit is automatically validated (i.e. no human intervention is needed). Therefore, the declaration amendment request shall be rejected for any of the following reasons:

- *The ‘Declaration Amendment’ E_DEC_AMD (IE013) message is invalid (failure of the syntactic or semantic validation);*
- *The ‘Declaration Amendment’ E_DEC_AMD (IE013) message is (possibly) valid but received in an inappropriate status.*

In both cases, the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message is automatically sent back to the Holder of the Transit Procedure (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes) and the state of the movement remains unchanged (i.e. the previous declaration data remains applicable).

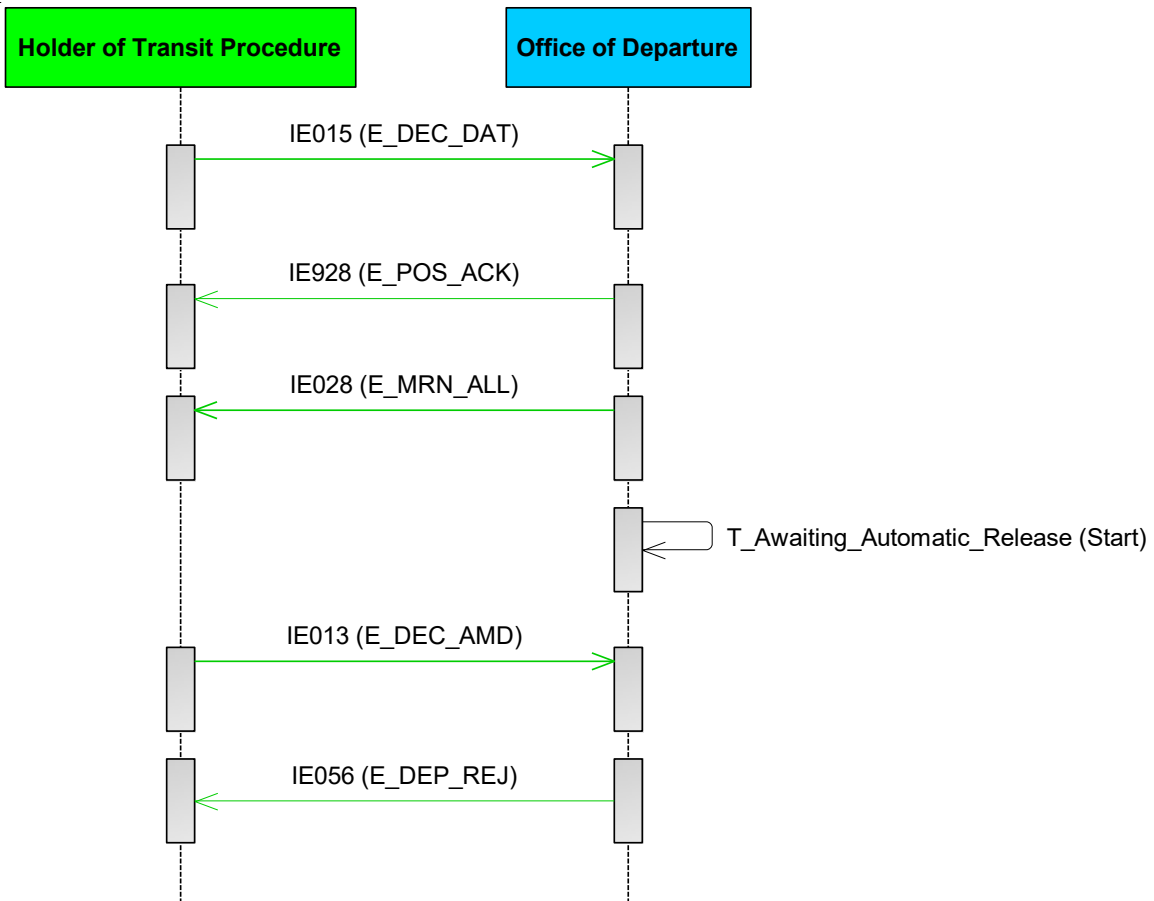


Figure 18: T-TRA-DEP-E-015-Declaration amendment rejected

III.II.2.5 T-TRA-DEP-M-006-Control by Office of Departure with release for transit

This scenario applies for both normal and simplified procedures. It describes what happens when control is decided. It starts from [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] In case of simplified procedure and no risk, the timer [T_Awaiting Automatic Release](#) at the Office of Departure starts.

NOTE: The Risk Analysis starts after the acceptance of the movement. Once the Risk Analysis is completed and if no risk has been identified, then the timer [T_Awaiting Automatic Release](#) (initiated under simplified procedure) is automatically started. If a risk is identified during the Risk Analysis, this timer is not triggered.

[Step 5] The Office of Departure decides to control the transit movement and as a result the timer [T_Awaiting Automatic Release](#) stops (i.e. if it has been previously initiated due to Simplified Procedure).

[Step 6] The Office of Departure sends the ‘Control Decision Notification’ E_CTR_DEC (IE060) message to the Holder of the Transit Procedure to notify about the upcoming control activities (having the data element TRANSIT OPERATION-Notification type = ‘0-Decision to Control (and requested documents if needed)’). The state of the movement at the Office of Departure is set to [Under control](#).

[Step 7] The results of the control activity are registered by means of the ‘Departure Control Results’ N_DEP_CON (IE017).

NOTE: The ‘Departure Control Results’ N_DEP_CON (IE017) message belongs to the National Domain and only involves control results data capture internally at the Office of Departure (i.e. there is no physical message exchange). This message is sent from the premises of the Holder of the Transit Procedure.

The Customs Officer at Departure accepts all the guarantee types ‘3’, ‘5’, ‘8’, ‘A’, ‘B’, ‘C’, ‘J’ or ‘R’ that are related with the given MRN (see also Section III.III.1.4 – Guarantee Types). Additionally, if the movement contains guarantee types ‘0’, ‘1’, ‘2’, ‘4’ or ‘9’ for the given movement (MRN), the Customs Officer accepts the reference amount¹⁶ to be used for that transit movement.

The business flow of the transit procedure may continue with one (1) of the following alternatives:

- Control results at the Office of Departure are satisfactory: in that case, the business flow continues from [\[Step 4\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#);
- Control results at the Office of Departure show minor discrepancies (not opposed by Holder of the Transit Procedure): the business flow continues from [\[Step 4\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#);

¹⁶ There is no specific algorithm for the calculation of the reference amount that should be specified in the DDNTA Main Document (national matter).

- Control results at the Office of Departure show minor discrepancies (Holder of the Transit Procedure does not provide advice and/or opposes these minor discrepancies): please refer to the business scenarios under section III.II.2.6;
- Control results at the Office of Departure are unsatisfactory: in that case, the business flow continues from [\[Step 8\]](#) of [T-TRA-DEP-A-010-Control by Office of Departure with release for transit refused](#).

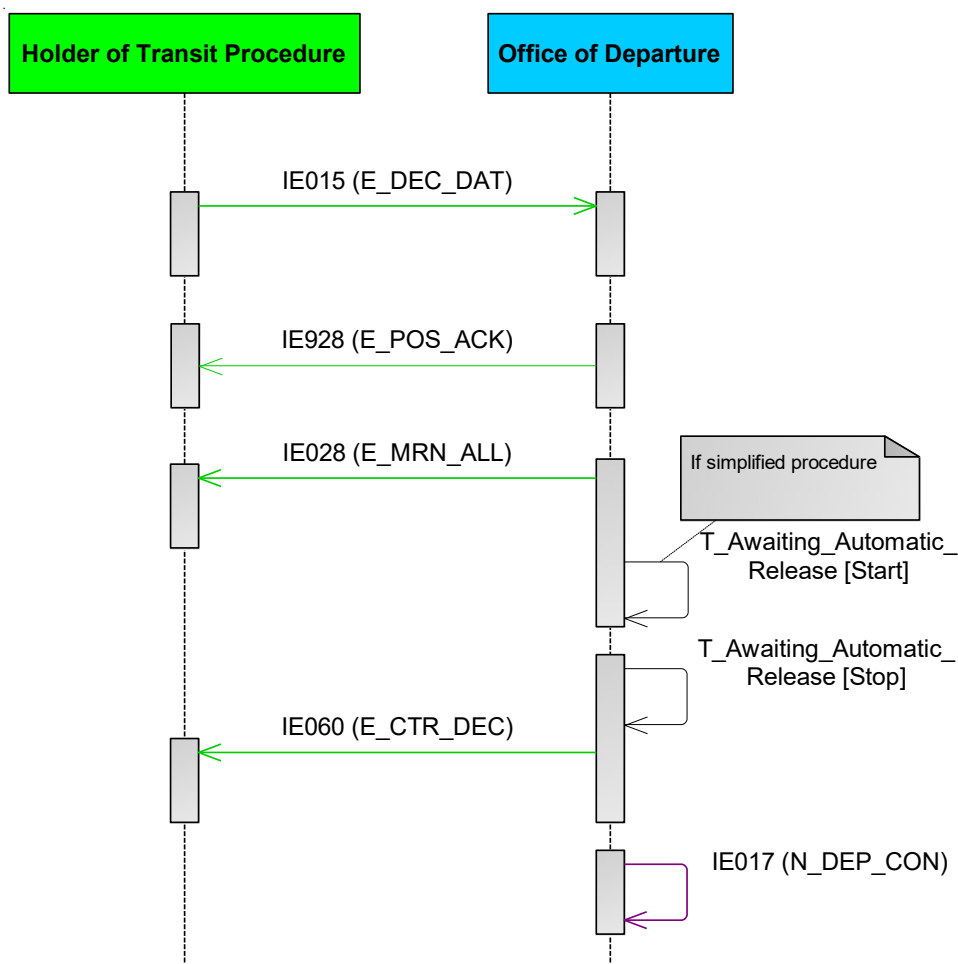


Figure 19: T-TRA-DEP-M-006-Control by Office of Departure with release for transit

III.II.2.6 Minor Discrepancies Found During Control

If control reveals minor discrepancies, the Holder of the Transit Procedure needs to provide their advice on the proposed revision(s) for these minor discrepancies.

If the Holder of the Procedure gives the advice right away (i.e. the flag ‘Release requested’ is present in ‘Departure Control Results’ N_DEP_CON (IE017)) and denotes no opposition (i.e. accepts the revisions in the transit declaration), then the Office of Departure revises the declaration data based on the results of control and the ‘Satisfactory’ control results code is registered. After calculation of the duties and taxes the process continues with the registration of the guarantee usage.

On the other hand, if the Holder of the Transit Procedure does not provide any advice right away after the control, the status of the movement is set to [Under release request](#). Next, the Holder of the Transit Procedure should give the advice through the ‘Request of Release’ E_REQ_REL (IE054) message within the defined time limit as set by the timer [T_Declaration_Awaiting_Release_Request](#). The ‘Request of Release’ E_REQ_REL (IE054) message may include one (1) of the following results:

- a. No opposition on minor revisions – a positive release request is communicated to the Office of Departure through the ‘Request of Release’ E_REQ_REL (IE054) message (i.e. the flag ‘Release requested’ is set to ‘1-Yes’);
- b. Opposition on minor revisions – a negative release request is communicated to the Office of Departure through the ‘Request of Release’ E_REQ_REL (IE054) message (the flag ‘Release requested’ is set to ‘0-No’).

The above two (2) alternative responses from the Holder of the Transit Procedure are analysed in the following two (2) sub-scenarios.

III.II.2.6.1 T-TRA-DEP-A-007-Positive release request with release for transit

This scenario starts from [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] The timer [T_Awaiting_Automatic_Release](#) at the Office of Departure starts in case of simplified procedure and risk assessment found no risk for the specific transit movement.

[Step 5] The Office of Departure decides to control the movement. For this reason, the timer [T_Awaiting_Automatic_Release](#) at the Office of Departure stops (i.e. in case it has been initiated due to Simplified Procedure).

[Step 6] The Office of Departure sends the ‘Control Decision Notification’ E_CTR_DEC (IE060) message to the Holder of the Transit Procedure in order to notify about the upcoming control activities (having the data element TRANSIT OPERATION-Notification type = ‘0-Decision to Control (and requested documents if needed)’). This message is sent in both cases of Normal and Simplified Procedures. The state of the movement at the Office of Departure is set to [Under control](#).

[Step 7] After the control is finished, the results are registered by means of the ‘Departure Control Results’ N_DEP_CON (IE017). The results of the control activity indicate minor discrepancies and advice is needed from the Holder of the Transit Procedure. However, the Holder of the Transit Procedure does not provide advice immediately. For this reason, the status of the movement at the Office of Departure is set to [Under release request](#).

[Step 8] The timer [T_Declaration_Awaiting_Release_Request](#) starts.

[Step 9] The Holder of the Transit Procedure sends the ‘Request of Release’ E_REQ_REL (IE054), containing the flag ‘Release Request’ set to “1-Yes”, to the Office of Departure.

[Step 10] The timer [T_Declaration_Awaiting_Release_Request](#) stops.

Since the Holder of the Transit Procedure has accepted the revisions, the state of the movement is set to [Guarantee under registration](#).

The Customs Officer at Departure accepts all the guarantee types ‘3’, ‘5’, ‘8’, ‘A’, ‘B’, ‘C’, ‘J’ or ‘R’ that are related with the given MRN (see also Section III.III.1.4 – Guarantee Types). Additionally, if the movement contains guarantee types ‘0’, ‘1’, ‘2’, ‘4’ or ‘9’ for the given movement (MRN), the Customs Officer accepts the reference amount¹⁷ to be used for that transit movement.

The business flow of the transit procedure continues from [\[Step 4\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

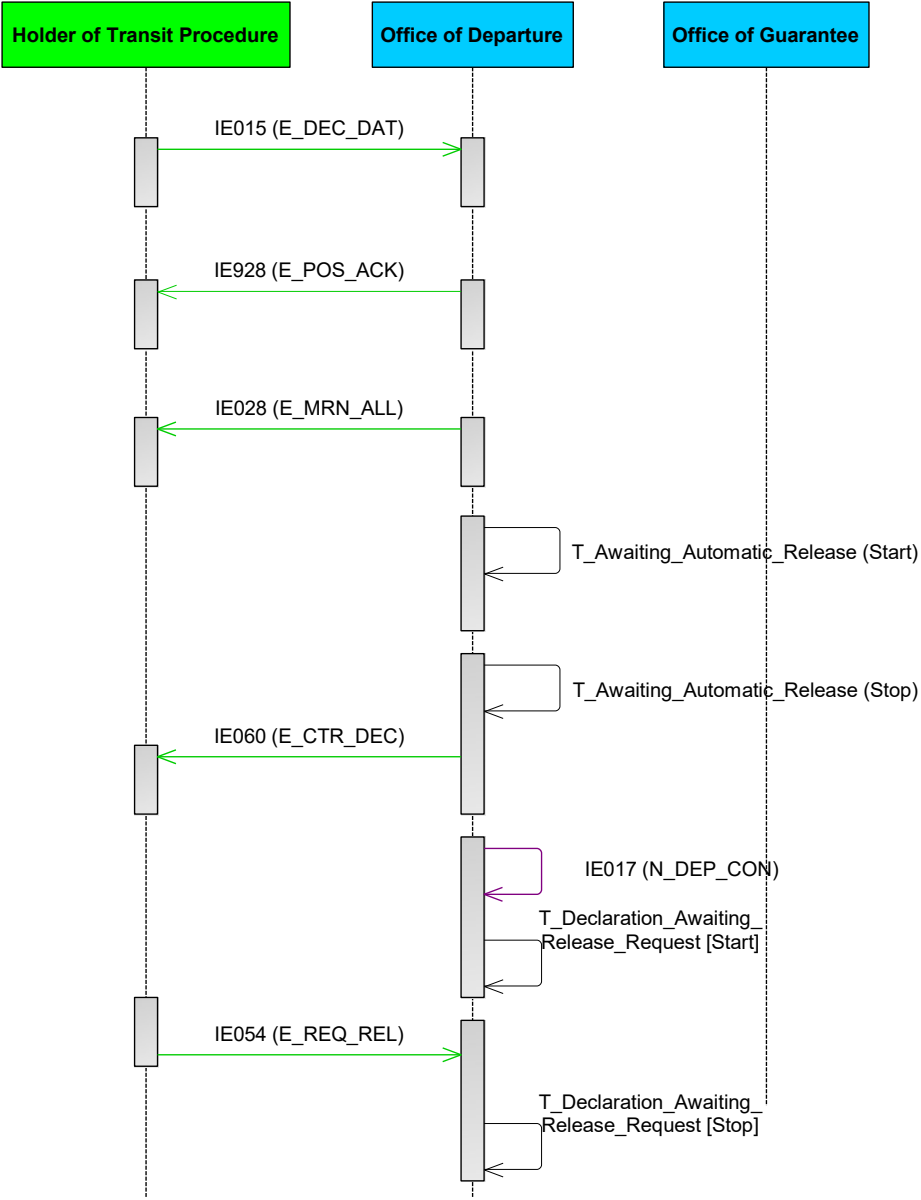


Figure 20: T-TRA-DEP-A-007-Positive release request with release for transit

¹⁷ There is no specific algorithm for the calculation of the reference amount that should be specified in the DDNTA Main Document (national matter).

III.II.2.6.2 T-TRA-DEP-A-008-Negative release request

This scenario starts from [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] The timer [T_Awaiting Automatic Release](#) at the Office of Departure starts in case of simplified procedure.

[Step 5] The Office of Departure decides to control the movement. For this reason, the timer [T_Awaiting Automatic Release](#) at the Office of Departure stops (i.e. in case it has been initiated due to Simplified Procedure).

[Step 6] The Office of Departure sends the ‘Control Decision Notification’ E_CTR_DEC (IE060) message to the Holder of the Transit Procedure in order to notify about the upcoming control activities (having the data element TRANSIT OPERATION-Notification type = ‘0-Decision to Control (and requested documents if needed)’). This message is sent in both cases of Normal and Simplified Procedures. The state of the movement at the Office of Departure is set to [Under control](#).

[Step 7] After the control is finished, the results are registered by means of the ‘Departure Control Results’ N_DEP_CON (IE017). The results of the control activity indicate minor discrepancies and advice is needed from the Holder of the Transit Procedure. However, the Holder of the Transit Procedure does not provide their advice immediately. For this reason, the status of the movement at the Office of Departure is set to [Under release request](#).

[Step 8] The timer [T_Declaration Awaiting Release Request](#) starts.

[Step 9] The Holder of the Transit Procedure sends the ‘Request of Release’ E_REQ_REL (IE054), containing the flag ‘Release Request’ set to “0-No”, to the Office of Departure.

[Step 10] The timer [T_Declaration Awaiting Release Request](#) stops.

Since the Holder of the Transit Procedure has rejected the discrepancies, the state of the movement is set to [Idle](#).

Under this state, the Office of Departure has to make the final decision whether to release or not the movement for transit.

The business flow of the transit procedure can continue with one (1) of the following two (2) alternatives:

- In case the Office of Departure decides to allow the movement to proceed towards release for transit despite the fact that there are minor discrepancies, the business flow continues from [\[Step 4\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) ; or
- In case the Office of Departure decides no release decision, the business flow continues from [\[Step 8\]](#) of [T-TRA-DEP-A-010-Control by Office of Departure with release for transit refused](#).

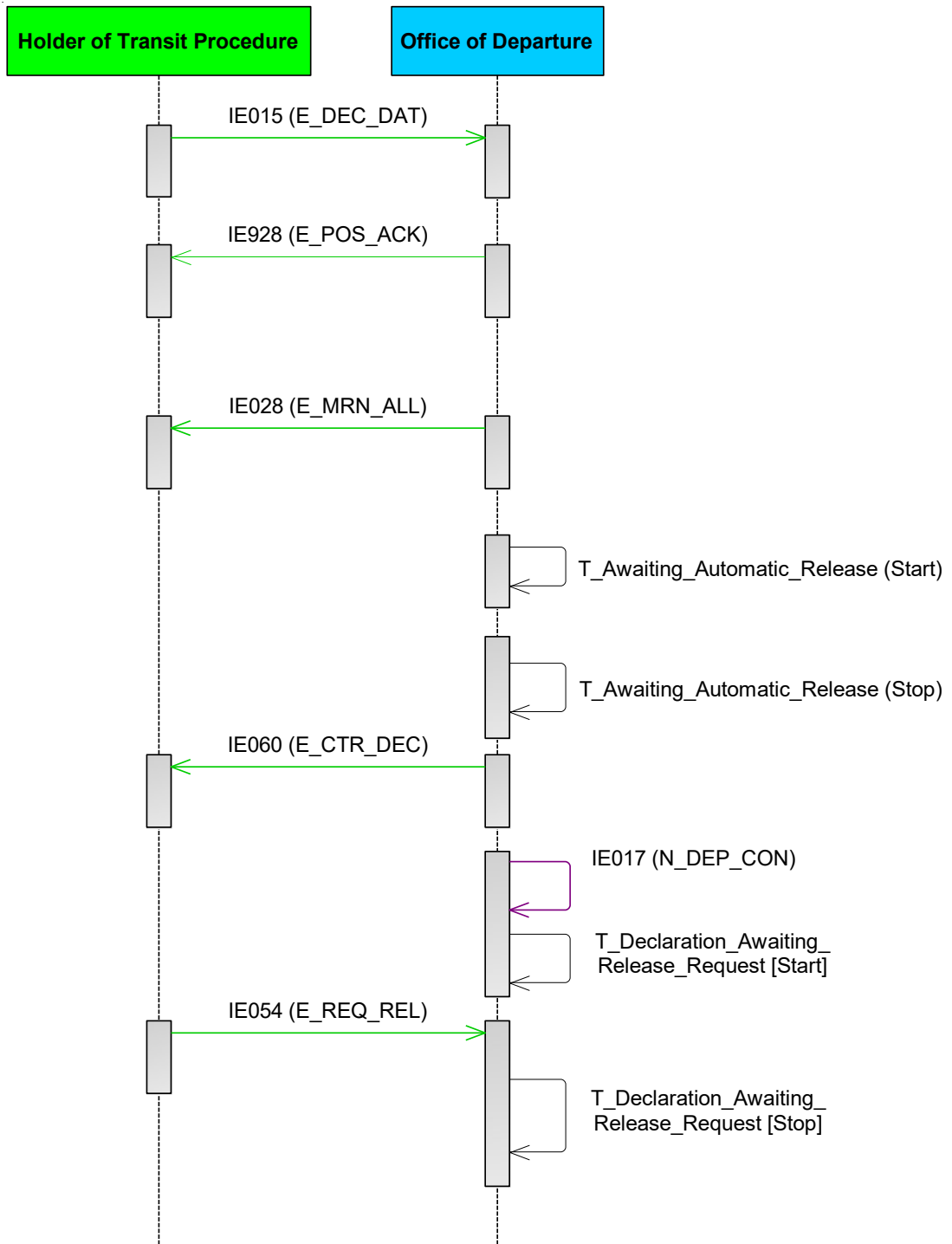


Figure 21: T-TRA-DEP-A-008-Negative release request

III.II.2.6.3 T-TRA-DEP-E-009-Release request rejected

This scenario starts from [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] The timer [T_Awaiting Automatic Release](#) at the Office of Departure starts in case of simplified procedure.

[Step 5] The Office of Departure decides to control the movement. For this reason, the timer [T_Awaiting Automatic Release](#) at the Office of Departure stops (i.e. in case it has been initiated due to Simplified Procedure).

[Step 6] The Office of Departure sends the ‘Control Decision Notification’ E_CTR_DEC (IE060) message to the Holder of the Transit Procedure in order to notify about the upcoming control activities (having the data element TRANSIT OPERATION-Notification type = ‘0-Decision to Control (and requested documents if needed)’). This message is sent in both cases of Normal and Simplified Procedures. The state of the movement at the Office of Departure is set to [Under control](#).

[Step 7] After the control is finished, the results are registered by means of the ‘Departure Control Results’ N_DEP_CON (IE017). The results of the control activity indicate minor discrepancies and advice is needed from the Holder of the Transit Procedure. However, the Holder of the Transit Procedure does not provide advice immediately. For this reason, the status of the movement at the Office of Departure is set to [Under release request](#).

[Step 8] The timer [T_Declaration Awaiting Release Request](#) starts.

[Step 9] The Holder of the Transit Procedure sends an invalid ‘Request of Release’ E_REQ_REL (IE054) message.

[Step 10] The ‘Request of Release’ E_REQ_REL (IE054) message is invalid and as a result it is rejected with the message ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) [please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes].

[Step 11] While the timer is still running, the Holder of the Transit Procedure re-submits another ‘Request of Release’ E_REQ_REL (IE054) message that is considered valid.

[Step 12] The timer [T_Declaration Awaiting Release Request](#) stops.

The business flow of the transit procedure continues with one (1) of the following two (2) alternatives:

- In case the Holder of the Transit Procedure does not oppose the minor discrepancies: the ‘Request of Release’ E_REQ_REL (IE054), containing the flag ‘Release Request’ set to “1-Yes” is received by the Office of Departure. The business flow continues from [\[Step 4\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#); or
- In case the Holder of the Transit Procedure opposes the minor discrepancies: the ‘Request of Release’ E_REQ_REL (IE054), containing the flag ‘Release Request’ set to “0-No” is received by the Office of Departure. The business flow continues with the alternatives mentioned after [\[Step 10\]](#) of [T-TRA-DEP-A-008-Negative release request](#).

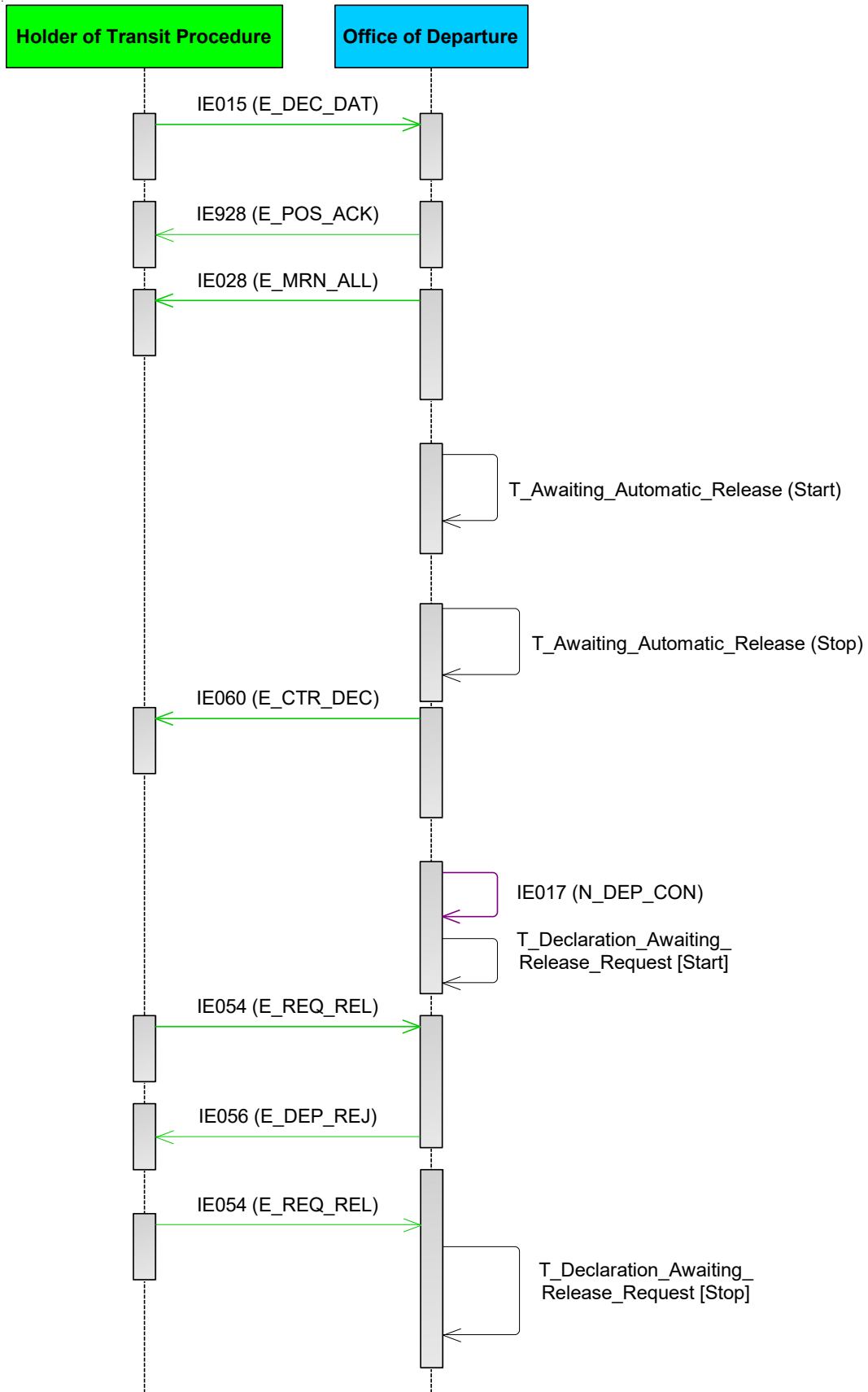


Figure 22: T-TRA-DEP-E-009-Release request rejected

III.II.2.7 T-TRA-DEP-A-011-Transit Movement is released for transit

The scenario starts from [\[Step 5\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 6] The movement is released for Transit and the Office of Departure sends out the message ‘Release for Transit’ E_REL_TRA (IE029) to notify the Holder of the Transit Procedure. The journey of the goods can be started towards their destination. The state of the movement at the Office of Departure is set to [Movement released](#).

[Step 7] In case such Office has been declared in the transit declaration by the Holder of the Transit Procedure, the Office of Departure notifies the Office of Exit for Transit by sending the ‘Anticipated Exit For Transit Record’ C_AXR_SND (IE160) message per Office declared in the transit declaration, where the consignment will leave from the Security Area following assessment of safety and security.

Upon reception of the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message, the state of the movement at the Office of Exit for Transit is set to [AXR created](#).

[Step 8] In case such Office has been declared in the transit declaration by the Holder of the Transit Procedure, the Office of Departure also sends one or more ‘Anticipated Transit Record’ C_ATR_SND (IE050) message(s) to the Office(s) of Transit (as declared in the transit declaration), where the consignment will cross the frontier of the Common and/or Union Transit territories.

Upon reception of the ‘Anticipated Transit Record’ C_ATR_SND (IE050) message, the state of the movement at the Office of Transit is set to [ATR created](#).

[Step 9] The Office of Departure sends the ‘Anticipated Arrival Record’ (AAR) C_AAR_SND (IE001) to the Office of Destination declared in the transit declaration.

Upon reception of the ‘Anticipated Arrival Record’ (AAR) C_AAR_SND (IE001) message, the state of the movement at the Office of Destination is set to [AAR Created](#).

Additionally, some timers are initiated when the movement is released for transit:

[Step 10] The timer [T_Await_Arrival_Advice](#) starts at the Office of Departure.

[Step 11] The timer [T_Await_Receipt_Control_Results](#) starts at the Office of Departure.

[Step 12] The timer [T_Recovery_Recommended](#) starts at the Office of Departure.

When the movement is under the Export followed by Transit scenario and when we have external transit (e.g. declaration type ‘T1’), the Office of Exit (i.e. AES) is also notified by the Office of Departure with the ‘Destination Control Results to AES’ N_DES_CON (IE042) message. Please refer to section III.II.7.1.1 for more details.

The business flow of the transit operation may continue as follows:

- In case the movement arrives at a declared Office of Exit for Transit and leaves the Security Area, the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message is received by the Office of Departure from the Office of Exit for Transit as

described in the scenario: [T-TRA-TRT-A-007- Movement allowed to leave the Security Area](#); and/or

- In case the movement arrives at an actual Office of Exit for Transit, the business flow continues as described in the scenarios under section III.II.3.2; and/or
- In case the movement arrives at a declared Office of Transit and crosses this Office, the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message is received by the Office of Departure from the Office of Transit as described in the scenario: [T-TRA-TRT-A-003-Control by Office of Transit with Passage Confirmed](#) and/or
- In case the movement arrives at an actual Office of Transit, the business flow continues as described in the scenarios under section III.II.3.1.4 Diversion at Office of Transit; and/or
- In case the movement arrives at a declared Office of Destination, the ‘Arrival Advice’ C_ARR_ADV (IE006) message is received by the Office of Departure from the Office of Destination as described in the scenario: T-TRA-DES-M-001-Arrival notification valid; and/or
- In case the movement arrives at an actual Office of Destination, the ‘Anticipated Arrival Record Request’ C_ARR_REQ (IE002) message is received by the Office of Departure from the actual Office of Destination as described in the section III.II.4.8 Diversion at Office of Destination; and/or
- In case no ‘Arrival Advice’ C_ARR_ADV (IE006) message is received by the Office of Departure and the timer [T_Await Arrival Advice](#) expires as described in the scenarios under section III.IV.2.1 T-ENR-ENQ-Handle Enquiry (ENQ); and/or
- In case incidents are registered to an Office of Incident Registration, the ‘Incident Notification’ C_INC_NOT (IE180) message is received by the Office of Departure as described in the scenario: [T-TRA-INC-A-003-Office of incident registration allows transit movement to continue its journey](#).

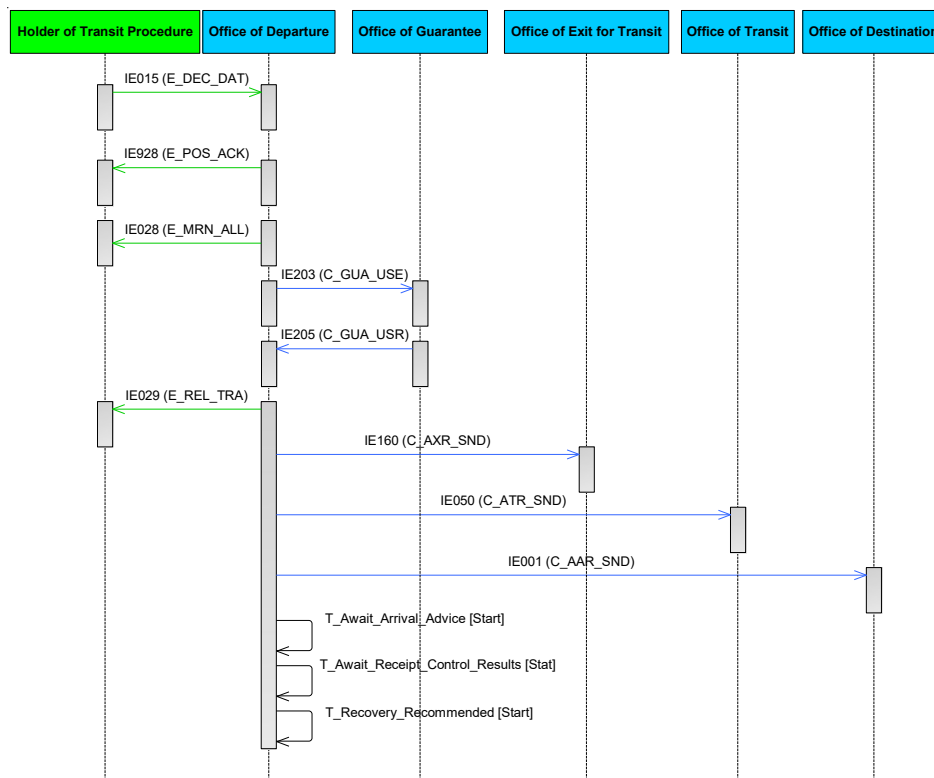


Figure 23: T-TRA-DEP-A-011- Transit Movement is released for transit

III.II.2.8 T-TRA-DEP-A-020 - ‘Open’ ATR Response C_ATR_RSP (IE115) is closed

This scenario starts after [\[Step 14\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 15] The consignment arrives at an Office of Transit where the transit record is neither available at that Actual Office of Transit nor nationally available. Consequently, since the Anticipated Transit Record (ATR) is not available in that NA, the Office of Transit requests it from the Office of Departure by sending the ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114). The state of the movement at this Office of Transit is set to [ATR Requested](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

[Step 16] The Office of Departure responds with a positive ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) to the requesting Office of Transit. The state of the movement at this Office of Transit is set to [ATR Created](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

Additionally, when a positive ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) is received, the Customs Office of Transit executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

However, this transit record is never used by this Office of Transit, meaning that no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) is sent to the Office of Departure.

[Step 17] At some point, the consignment arrives at its final destination. For this reason, the Trader at Destination notifies the Office of Destination with the ‘Arrival Notification’ E_ARR_NOT (IE007) message.

The Office of Destination validates successfully the ‘Arrival Notification’ E_ARR_NOT (IE007) message (i.e. in terms of messages structure and R/Cs). The state of the movement at the Office of Destination is set to [Arrival accepted](#).

Additionally, based on the information in the ‘Arrival Notification’ E_ARR_NOT (IE007) message, risk analysis is performed into the transit movement. The Office of Destination will also independently execute their own risk analysis (considering the risk results that may have already been communicated by the Office of Departure located in Security Area plus any other individual risk assessment performed based on the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) prior to the arrival of the movement) when the goods are presented.

[Step 18] In turn, the Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) message to the Office of Departure. The state of the movement at the Office of Destination remains [Arrival accepted](#) and the state of the movement at the Office of Departure is set to [Arrived](#).

[Step 19] The Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Office of Guarantee in case guarantee types ‘0’ or ‘1’ are involved into the transit movement.

[Step 20] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

[Step 21] The Office of Departure then sends the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to the respective Office of Transit, that has previously received the positive ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) message from the Office of Departure but didn’t reply back with the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message to the Office of Departure. However, no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall be sent by the Office of Departure in case this Office of Transit is located in the country from which:

- a ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message was received, or
- an ‘Arrival Advice’ C_ARR_ADV (IE006) message was received.

The state of the movement at the Office of Transit is set to [Arrived](#), while the state of the movement at the Office of Departure remains [Arrived](#).

The business flow of the transit procedure continues from [\[Step 19\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: The same approach of sending the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is followed in case of ‘open’ ‘Anticipated Exit For Transit Record Response’ C_AXR_RSP (IE165) message at Office of Exit for Transit or ‘open’ ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) message at Office of Destination that have never been used, meaning that no ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message or ‘Arrival Advice’ C_ARR_ADV (IE006) message has been received by these Offices respectively. However, no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall be sent by the Office of Departure in case this Office of Exit Transit belongs to the same National Administration where the movement arrived and thus an ‘Arrival Advice’ C_ARR_ADV (IE006) has been received. The same applies (no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall be sent) where, even though the IE002/IE003 are exchanged, the ‘Arrival Advice’ C_ARR_ADV (IE006) is eventually received by a different Office of Destination within the same National Administration.

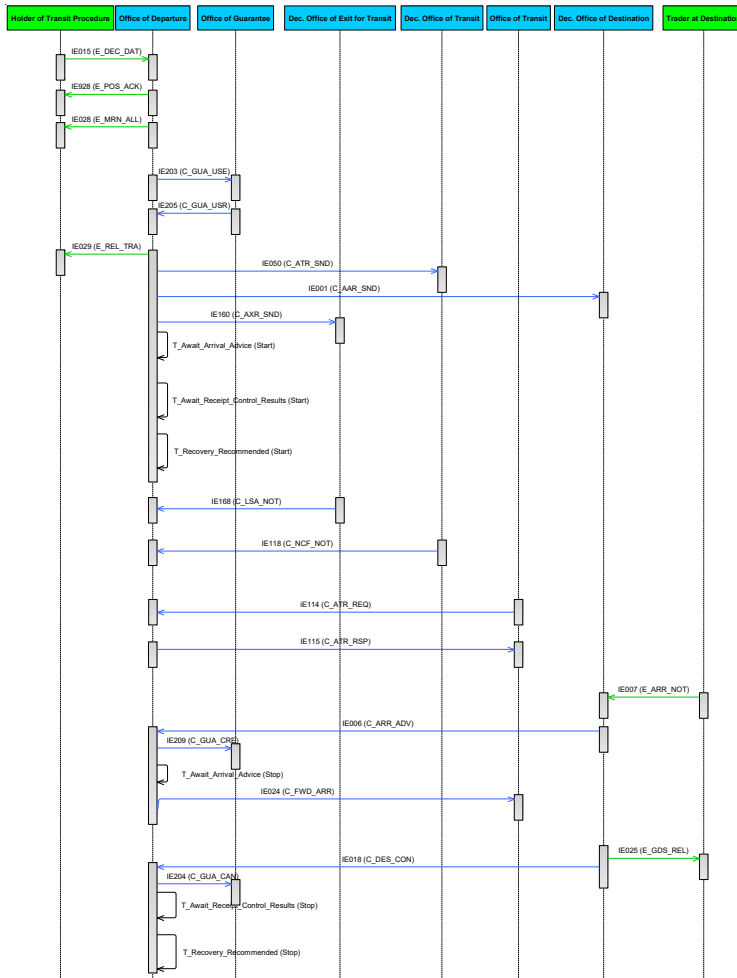


Figure 24: T-TRA-DEP-A-020 - 'Open' ATR Response C_ATR_RSP (IE115) is closed

III.II.2.9 Movement is not released for Transit

III.II.2.9.1 *T-TRA-DEP-A-010-Control by Office of Departure with release for transit refused*

Figure 25 shows the sequence in case the Office of Departure does not release the goods for transit after control under normal or simplified procedure.

This scenario starts from [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] In case of simplified procedure and no risk, the timer [T_Awaiting Automatic Release](#) at the Office of Departure starts.

[Step 5] The Office of Departure decides to control the transit movement and as a result the timer [T_Awaiting Automatic Release](#) stops (i.e. if it has been previously initiated due to Simplified Procedure).

[Step 6] The Office of Departure sends the ‘Control Decision Notification’ E_CTR_DEC (IE060) message to the Holder of the Transit Procedure to notify about the upcoming control activities (having the data element TRANSIT OPERATION-Notification type = ‘0-Decision to Control (and requested documents if needed)’). The state of the movement at the Office of Departure is set to [Under control](#).

[Step 7] The results of the control activity are registered by means of the ‘Departure Control Results’ N_DEP_CON (IE017).

NOTE: The ‘Departure Control Results’ N_DEP_CON (IE017) message belongs to the National Domain and only involves control results data capture internally at the Office of Departure (i.e. there is no physical message exchange).

The Office of Departure completes control and finds either major discrepancies or identifies that the goods pose a threat to the safety and security. Therefore, the Office of Departure decides that the consignment cannot be released for transit.

[Step 8] The Office of Departure informs the Holder of the Transit Procedure by sending the ‘No Release for Transit’ E_REL_NOT (IE051) message. The state of the transit operation is set to [Not released for Transit](#). This is a final state.

The business flow of the transit procedure ends here.

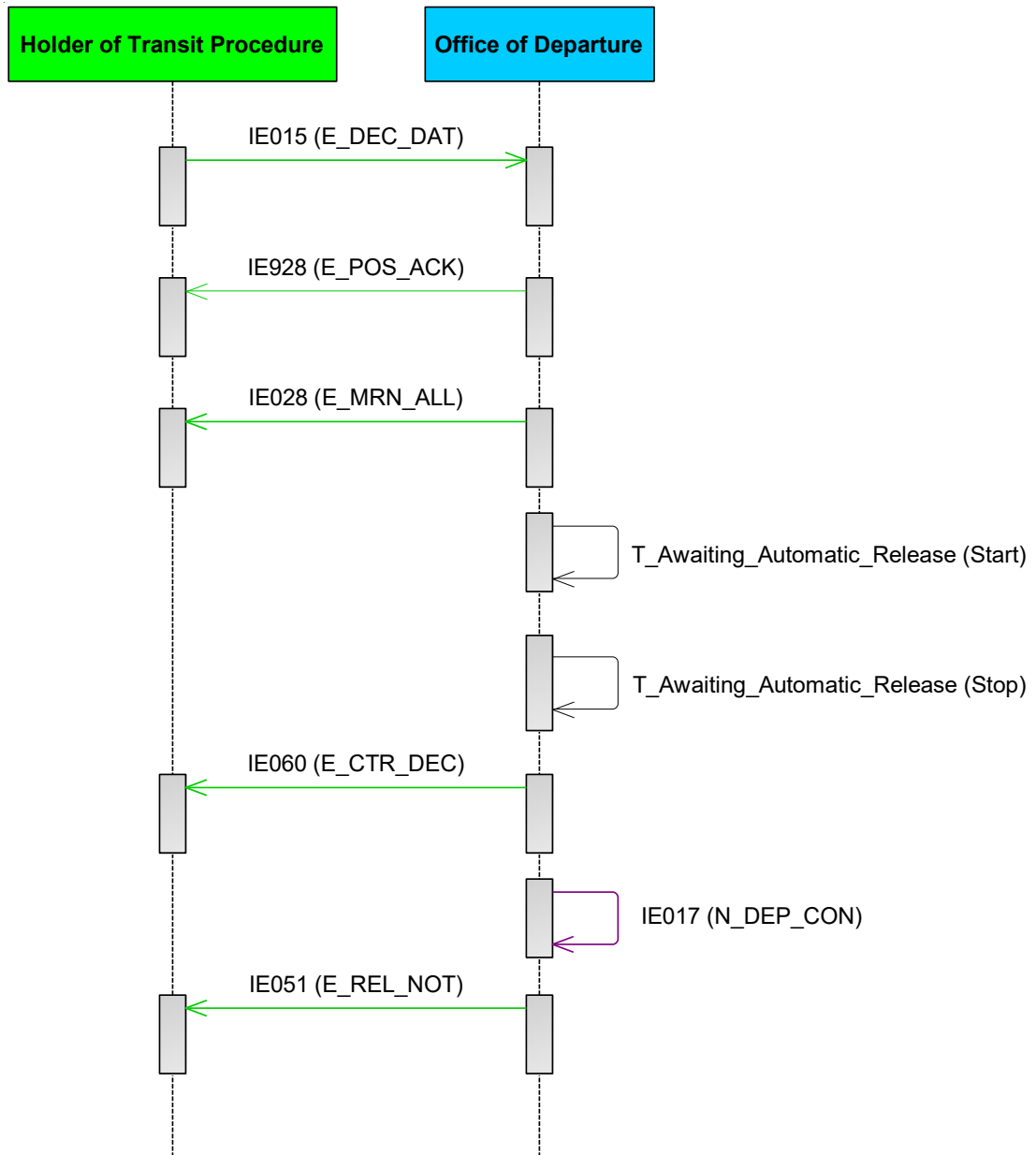


Figure 25: T-TRA-DEP-A-010-Control by Office of Departure with release for transit refused

III.II.2.9.2 T-TRA-DEP-A-013-Release for transit refused due to guarantee registration failure

The scenario starts from [\[Step 4\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 5] The result of the guarantee check is not successful. Consequently, the Office of Guarantee sends a negative ‘Guarantee Use Result’ C_GUA_USR (IE205) back to the Office of Departure (i.e. with the data group ‘Invalidity Guarantee Reason’ present in the message).

[Step 6] The timer at the Office of Departure [T Guarantee Awaiting Amendment](#) starts.

The state of the movement at the Office of Departure is set to [Guarantee under amendment](#).

[Step 7] The Holder of the Transit Procedure is notified with the ‘Guarantee Not Valid’ E_GUA_INV (IE055) message since the declared guarantee is not valid.

After reception of the ‘Guarantee Not Valid’ E_GUA_INV (IE055) message, the Holder of the Transit Procedure needs to amend the invalid guarantee by sending the ‘Declaration Amendment’ E_DEC_AMD (IE013) message.

[Step 8] However, the Holder of the Transit Procedure sends no ‘Declaration Amendment’ E_DEC_AMD (IE013) until when the timer [T Guarantee Awaiting Amendment](#) at the Office of Departure expires.

[Step 9] As a result, the movement is not released for transit and the ‘No Release for Transit’ E_REL_NOT (IE051) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Not released for transit](#). This is a final state.

The business flow of the transit operation ends here.

For more details about the registration of guarantees please refer to III.III “NCTS Guarantee Management”.

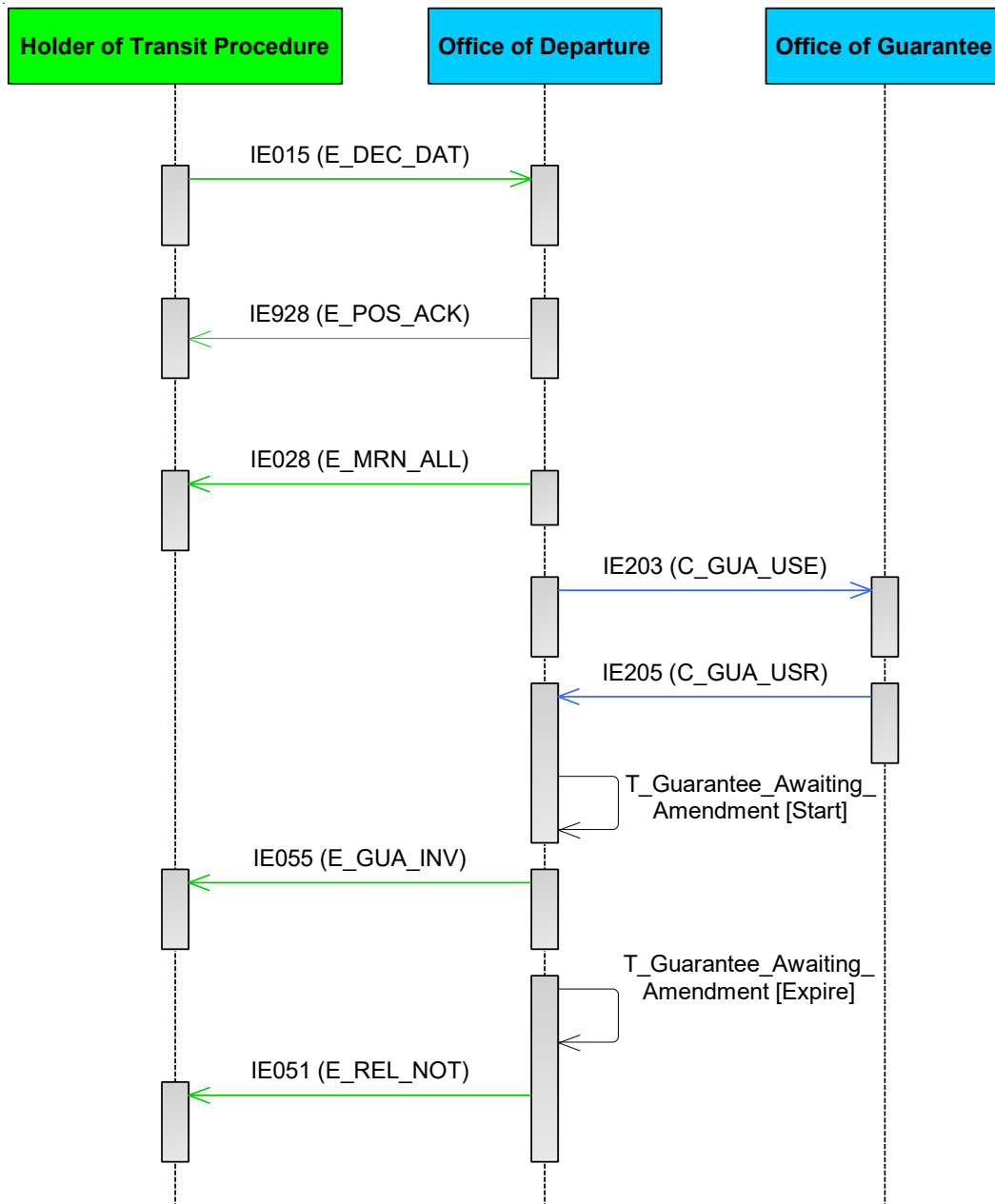


Figure 26: T-TRA-DEP-A-013-Release for transit refused due to guarantee registration failure

III.II.2.9.3 *Departure Specific Safety and Security*

III.II.2.9.3.1 *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 FSS UCC NCTS [R11].

The Holder of the Transit Procedure specifies whether the transit declaration will be used for safety and security purposes (i.e. the data element 'Security' is set to “1-ENS” or “2-EXS” or “3-ENS and EXS” in the ‘Declaration Data’ E_DEC_DAT (IE015) message). But, in case the transit declaration is not used for safety and security reasons the data element 'Security' is set to “0-Not used for safety and security purposes”.

NOTE: The transit declaration can be used with ENS data to waive the obligation of the Holder of the Transit procedure to lodge an Entry Summary Declaration when goods enter the Security Area. If the full journey of the transit movement is inside the Security Area, then there is no need for ENS.

If the transit declaration is used for safety and security purposes and the Office of Departure belongs to a country inside the Security Area (including EU, CH, NO - see the list of countries and territories defined in CS/RD2 in CL147), then full safety and security risk analysis is performed. The declaration data are sent to a risk analysis system and processed against risk rules (including common risk criteria and standards, where applicable). The risk analysis system sends back the risk analysis result.

NOTE: If the full journey of the transit movement is inside the Security Area, then there is no need for full Safety and Security risk analysis.

For transit declarations lodged prior to presentation of goods (i.e. Additional declaration type ='D'), risk analysis is performed after assignment of MRN. It is important to note that the MRN is not communicated immediately to the Holder of the Transit Procedure as described in section III.II.2.1.

In other cases, the transit declaration is risk-assessed after the MRN is sent to the Holder of the Transit Procedure and in case high risk is identified, the process continues with the Office of Departure to provide their decision whether the transit movement should be controlled or not controlled. If the declaration is lodged under simplified procedure, the timer [T_Awaiting Automatic Release](#) is not started after risk assessment is completed and high risk is identified. The Office of Departure is alerted for this.

In case of no control, the process continues with the guarantee registration. In case the declaration is lodged under simplified procedure (i.e. meaning that the [T_Awaiting Automatic Release](#) timer is running) but no control decision has been taken by the Office of Departure by when the timer [T_Awaiting Automatic Release](#) expires, the guarantee registration procedure follows.

In case of control is decided, the timer [T_Awaiting Automatic Release](#) stops (if running) so as control is performed to the transit movement.

NOTE: The Data Group “Active Border Transport Means” is used in the context of transit declaration combined with ENS and/or EXS (Safety & Security data), but not only. When the

Data Group “Active Border Transport Means” is optional, it can be used by the Holder of the Transit Procedure to facilitate the crossing of border (for road) by making available the data to the Customs Office of Transit or Customs Office of Destination located at the EU’s external border (where it would scan the plates of the truck (and of the trailer)).

III.II.2.9.3.2 *Safety and Security Risk Analysis when Declaration Amendment is Requested*

If the transit declaration pertaining to the amendment request is also used for safety and security purposes and the Office of Departure belongs to a country inside the Security Area (including EU, CH, NO - see the list of countries and territories defined in CS/RD2 in CL147), then full safety and security related risk analysis for all the goods is performed.

In case when the declaration has been lodged under normal procedure and amendment is requested:

- The amendment request is accepted if it is valid (in terms of structure and R/Cs) and risk assessment is performed. But in case the amendment request is invalid, no risk assessment is performed, and the Holder of the Transit Procedure is notified for the invalid amendment request. The invalid amendment request does not modify the declaration data;
- If the amendment request is valid and high risk is identified, the Office of Departure is alerted. The next step is for the Office of Departure to decide whether to control the goods or not.

In case when the declaration has been lodged under simplified procedure and amendment is requested:

- The amendment request is accepted if it is valid (in terms of structure and R/Cs) and risk assessment is performed. In case the amendment request is invalid, no risk assessment is performed, and the Holder of the Transit Procedure is notified of the invalid amendment request. The invalid amendment request does not modify the declaration data;
- If the amendment request is valid and if low/no risk is identified, the [T Awaiting Automatic Release](#) timer at the Office of Departure restarts;
- If the amendment request is valid and if high risk is identified, the timer [T Awaiting Automatic Release](#) is stopped. The next step is for the Office of Departure to decide whether to control the goods or not.

The amendment of a transit declaration is analysed in section III.II.2.4.

III.II.2.9.3.3 T-TRA-DEP-A-021-Release for transit refused for safety and security reasons

The scenario starts after [\[Step 3\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

The state of the movement is under [Accepted](#) at the Office of Departure.

Next, risk analysis is performed into the transit declaration and risk results show high risk with a threat to safety and security. In that case, the Office of Departure decides not to release the goods for transit.

[Step 4] The ‘No Release for Transit’ E_REL_NOT (IE051) message is sent to the Holder of the Transit Procedure. The state of the movement at the Office of Departure becomes [Not released for Transit](#). This is a final state.

The business flow of the transit procedure ends here.

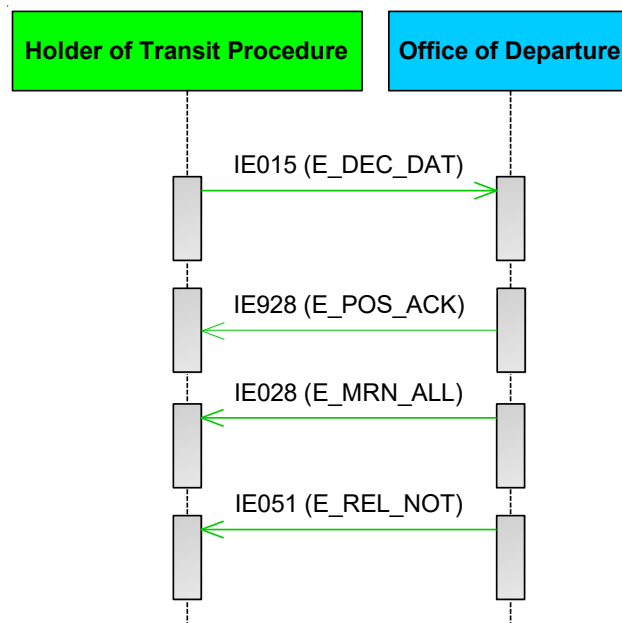


Figure 27: T-TRA-DEP-A-021-Release for transit refused for safety and security reasons

III.II.2.10 Invalidation of Transit Declaration

An already accepted transit declaration (i.e. after status [Accepted](#)) can be invalidated by the Holder of the Transit Procedure via the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message, but only before release for transit (i.e. before status [Movement released](#)). Upon reception of the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message, the Office of Departure examines the request and informs the Holder of the Transit Procedure accordingly of the result of such request via the ‘Invalidation Decision’ E_INV_DEC (IE009) message (i.e. positive or negative). However, where the Office of Departure has informed the Holder of the Transit Procedure of its intention to examine the goods with the ‘Control decision notification’ E_CTR_DEC (IE060) message (having the data element TRANSIT OPERATION-Notification type = ‘0-Decision to Control (and requested

documents if needed)'), a request for invalidation of the customs declaration will be automatically rejected at status [Under control](#).

Invalidation of the declaration can be performed under one (1) of the following conditions:

- The Holder of the Transit Procedure can electronically request invalidation of an accepted transit declaration before the goods are released for transit. Thus, invalidation can be requested via the 'Declaration Invalidation Request' E_DEC_INV (IE014) message, while the movement's status at the Office of Departure is under one (1) of the following: [Accepted](#), [Guarantee under registration](#), [Guarantee under amendment](#), [Guarantee registered](#), [Idle](#), [Under release request](#). The Office of Departure in all cases takes a decision whether to accept or reject the invalidation. The Officer's decision is communicated to the Holder of the Transit Procedure with the 'Invalidation Decision' E_INV_DEC (IE009) message. On the other hand, an invalidation request cannot be requested with the 'Declaration Invalidation Request' E_DEC_INV (IE014) message, when the movement has already been released for transit. In this case, the invalidation request can be asked by the Holder of the Transit Procedure from the Office of Departure outside the system;
- The Holder of the Transit Procedure can request from the Office of Departure to invalidate the transit declaration after the goods are released for transit only in two (2) specific cases:
 - Union goods have been declared in error for a transit procedure applicable only to non-Union goods, or
 - Goods have been erroneously declared under more than one (1) transit declaration.

However, after release for transit, this invalidation request cannot be requested via the 'Declaration Invalidation Request' E_DEC_INV (IE014) message, but outside the system;

- If the movement has already been released for transit, the Office of Departure can invalidate under one of the following statuses: [Movement released](#), [Enquiry recommended](#), [Under enquiry procedure](#). In other words, the movement cannot be invalidated when it has already passed from one (1) or more involved Offices and/or has arrived at its final destination.

Notwithstanding the above, a declaration can be invalidated in strictly determined cases up till the moment when either the 'Notification Leaving Security Area' C_LSA_NOT (IE168) message is received (from an Office of Exit for Transit) or the 'Notification Crossing Frontier' C_NCF_NOT (IE118) message is received (from an Office of Transit) or the 'Incident Notification' C_INC_NOT (IE180) message is received (from an Office of Incident Registration) or the 'Arrival Advice' C_ARR_ADV (IE006) message is received (from an Office of Destination).

After invalidation, no further actions are possible for the transit movement at the Office of Departure, and also at the Office(s) of Transit / Exit for Transit (if any such Offices are involved into the transit movement) and at the Office of Destination.

III.II.2.10.1 T-TRA-DEP-A-016-Invalidation request by the Holder of the Transit Procedure before release for transit

This is the simplest case of invalidation. The scenario starts after [\[Step 3\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] The ‘Guarantee Use’ C_GUA_USE (IE203) message is sent to the Guarantee Management System(s) to register the guarantee(s) managed by the Office of Guarantee (i.e. ‘0’, ‘1’, ‘2’, ‘4’ and ‘9’).

[Step 5] The ‘Guarantee Use Result’ C_GUA_USR (IE205) message received from Guarantee Management System contains an Invalid Guarantee Reason, the state of the transit declaration at the Office of Departure is set to [Guarantee under amendment](#).

[Step 6] The timer at the Office of Departure [T_Guarantee_Awaiting_Amendment](#) starts.

[Step 7] The Holder of the Transit Procedure is notified with the ‘Guarantee Not Valid’ E_GUA_INV (IE055) message that the declared guarantee is not valid.

[Step 8] Based on this information, the Holder of the Transit Procedure decides to invalidate the transit declaration and therefore notifies the Office of Departure with the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message. The state of the movement at the Office of Departure remains [unchanged](#).

The invalidation decision by the Customs Officer at the Office of Departure can be positive or negative (“Decision” is set to “1=Yes” when it is positive or to “0=No” when it is negative). This decision is communicated to the Holder of the Transit Procedure with the same message ‘Invalidation Decision’ E_INV_DEC (IE009) [If the “Decision” is set to “1=Yes”, the state of the movement at the Office of Departure is set to [Invalidated](#), but if the “Decision” is set to “0=No”, the state of the movement at the Office of Departure remains [unchanged](#)].

[Step 9] The Office of Departure examines the request and replies with the positive decision with the ‘Invalidation Decision’ E_INV_DEC (IE009) message (i.e. “Decision” is set to “1=Yes”).

[Step 10] Any of the timers at the Office of Departure: [T_Awaiting Automatic Release](#) or [T_Declaration_Awaiting_Release_Request](#) or [T_Guarantee_Awaiting_Amendment](#) stops, if initiated and are still running.

The state of the movement at the Office of Departure is set to [Invalidated](#). This is a final state.

The business flow of the transit operation ends here.

NOTES:

- 1. In case of simplified procedure at Departure, once the guarantee is registered, there is no possibility for the Holder of the Transit Procedure to invalidate the transit declaration. The transition from the status “Guarantee registered” to the status “Movement released” being automatic.*

2. In case of normal procedure, the transition from the status “Guarantee registered” to the status “Movement released” is not automatic, to enable the Customs Officer to define the ‘Limit date’ before the decision to release for transit is taken. In that context, as long as the manual acceptance is not performed, the Holder of the Transit Procedure can invalidate the transit declaration. In this case, any registered guarantee at the Office of Guarantee must be released with the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message.

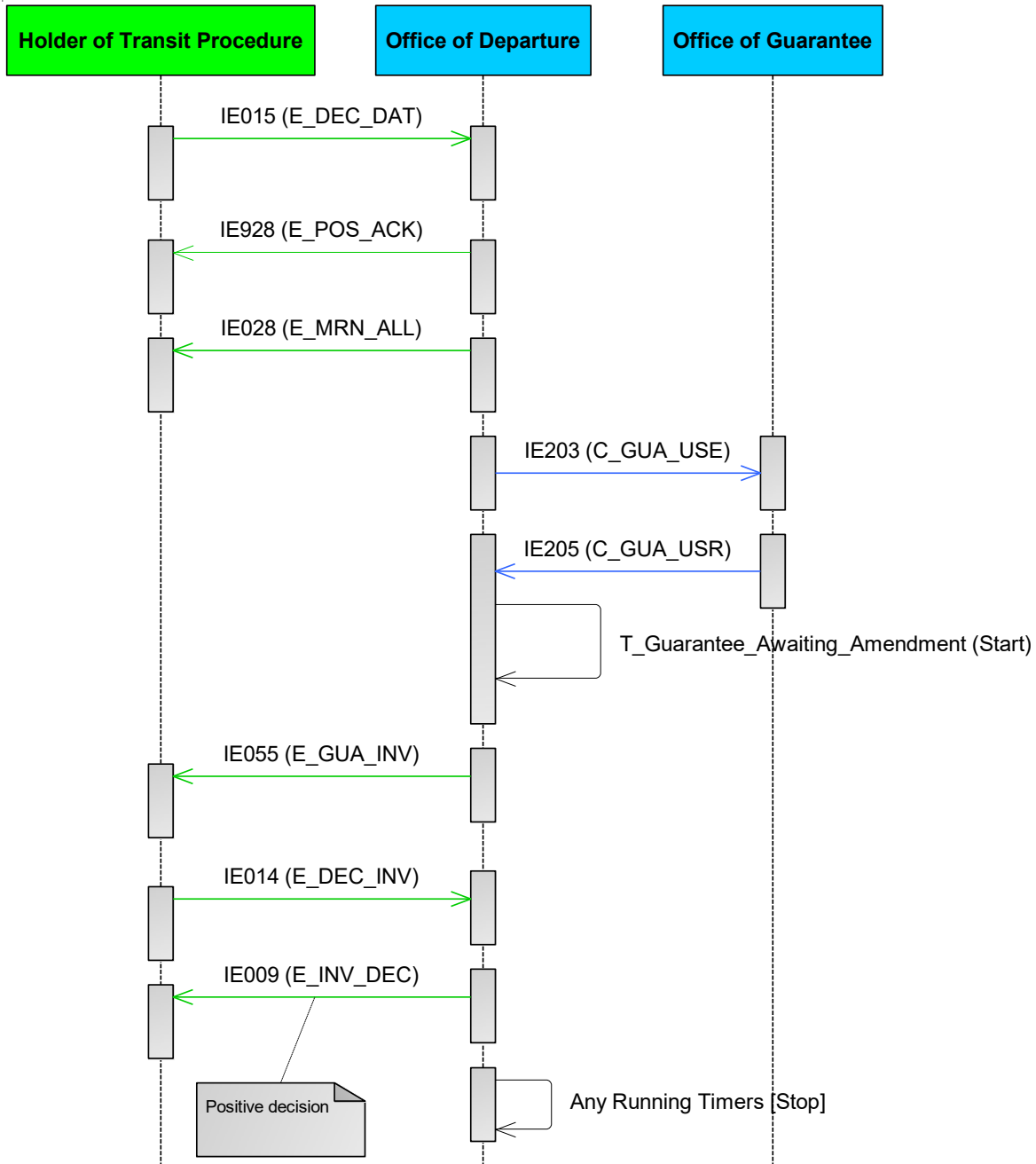


Figure 28: T-TRA-DEP-A-016-Invalidation request by the Holder of the Transit Procedure before release for transit – Accepted

Figure 29 shows the case when the negative decision is communicated with the ‘Invalidation Decision’ E_INV_DEC (IE009) message (“Decision” is set to “0=No”) and where the movement is not invalidated and continues normally.

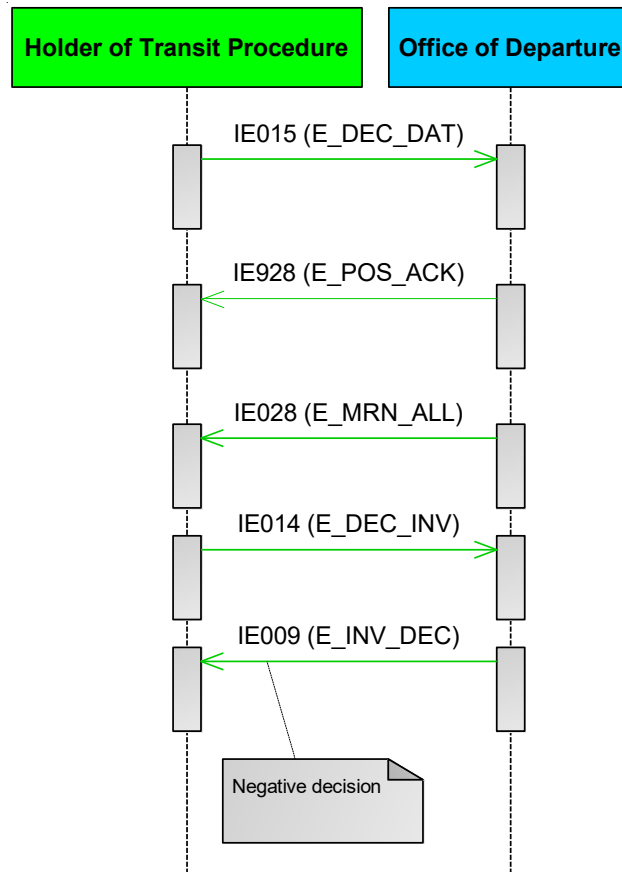


Figure 29: T-TRA-DEP-A-016-Invalidation request by the Holder of the Transit Procedure before release for transit – Rejected

III.II.2.10.2 T-TRA-DEP-A-017-Invalidation request by the Holder of the Transit Procedure after release for transit

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) scenario.

[Step 13] The Holder of the Transit Procedure sends the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message. The state of the movement at the Office of Departure is [Movement released](#).

However, the Holder of the Transit Procedure is not allowed to request invalidation of the transit declaration after release for transit.

[Step 14] The Office of Departure automatically rejects the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) by notifying the Holder of the Transit Procedure with the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message containing the error code ‘92-Message out of sequence’. The state of the movement at the Office of Departure remains [unchanged](#).

Figure 30 demonstrates the case that the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message is received after release for transit.

The business flow of the transit operation continues after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

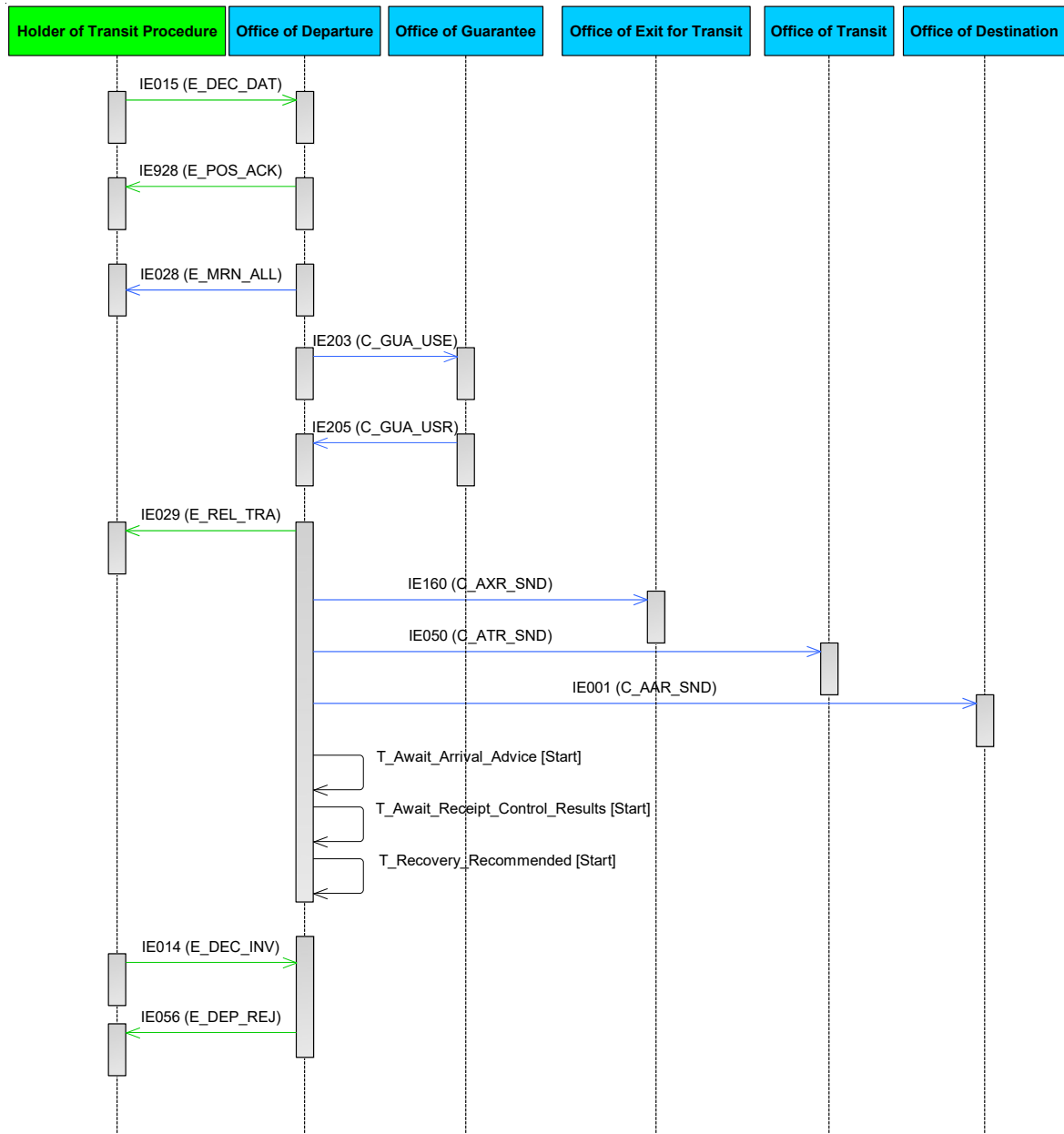


Figure 30: T-TRA-DEP-A-017-Invalidation request by the Holder of the Transit Procedure after release for transit

III.II.2.10.3 T-TRA-DEP-A-018-Invalidation of a transit declaration before release for transit when declaration data are electronically unavailable

In those cases when the Holder of the Transit Procedure was not able to send the ‘Declaration Data’ E_DEC_DAT (IE015) electronically, but the data of the transit declaration was manually captured by the Officer at Departure, the Office of Departure may invalidate the transit declaration before the goods are released for transit on behalf of the Holder of the Transit Procedure. The decision to invalidate the transit declaration is registered in NCTS. The state of the movement at the Office of Departure is set to [Invalidated](#).

Any of the timers at the Office of Departure: [T Awaiting Automatic Release](#) or [T Declaration Awaiting Release Request](#) or [T Guarantee Awaiting Amendment](#) stop if they are still running.

In this specific situation, the Office of Departure does not notify the Holder of the Transit Procedure of the invalidation by sending the ‘Invalidation Decision’ E_INV_DEC (IE009) message.

Additionally, when the declaration is invalidated, any registered guarantee is released if previously registered in Guarantee Management System with the ‘Guarantee use cancellation’ C_GUA_CAN (IE204) message.

III.II.2.10.4 T-TRA-DEP-A-019-Invalidation of a transit declaration after release for transit

In this scenario, a transit declaration is invalidated after the goods are released for transit. There are two (2) specific cases when a transit declaration can be invalidated:

- (1) Union goods have been declared in error for a transit procedure applicable only to non-Union goods; or
- (2) Goods have been erroneously declared under more than one (1) transit declaration.

In these situations, the Holder of the Transit Procedure submits the invalidation request by means other than electronic data processing techniques (i.e. the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message is rejected after release for transit – please refer to the above scenario [T-TRA-DEP-A-017-Invalidation request by the Holder of the Transit Procedure after release for transit](#)).

When the Office of Departure decides to invalidate the transit movement, the ‘Invalidation Notification’ C_INV_NOT (IE010) message is sent to all involved Customs Offices to notify them about the invalidation of the transit declaration. Additionally, when two (2) or more Offices belong to the same country, then only one (1) ‘Invalidation Notification’ C_INV_NOT (IE010) message is sent to the country.

The precondition is that a transit declaration can be invalidated after release for transit only when none of the following ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) and the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) and ‘Arrival Advice’ C_ARR_ADV (IE006) and the ‘Incident Notification’ C_INC_NOT (IE180) messages have

been received yet by the Office of Departure from the Office(s) of Exit for Transit, Office(s) of Transit, Office of Destination and Office of Incident Registration respectively.

The movement has been released for transit and this scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) has been executed.

[Step 13] The Office of Departure decides to invalidate the declaration. This means that all the possible running timers are stopped.

The state of the movement at the Office of Departure is set to [Invalidated](#). This is a final state.

[Step 14] The Holder of the Transit Procedure is notified with the ‘Invalidation Decision’ E_INV_DEC (IE009) message.

[Step 15] In case guarantee types ‘0’, ‘1’, ‘2’, ‘4’ or ‘9’ are used into the transit movement, the Office of Departure sends the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message to the Office of Guarantee(s) to release the guarantees of the invalidated transit movement.

Subsequently, the Customs Offices involved into the movement are notified by the Office of Departure for the invalidation decision:

- The Office of Destination receives **[Step 16]** the ‘Invalidation Notification’ C_INV_NOT (IE010) and the state of the movement at the Office of Destination is set to [Invalidated](#). This is a final state.
- The Office of Transit receives **[Step 17]** the ‘Invalidation Notification’ C_INV_NOT (IE010) and the state of the movement at the Office of Transit is set to [Invalidated](#). This is a final state.
- The Office of Exit for Transit receives **[Step 18]** the ‘Invalidation Notification’ C_INV_NOT (IE010) and the state of the movement at the Office of Exit for Transit is set to [Invalidated](#). This is a final state.

[Step 19] Afterwards, in case the ‘Arrival Notification’ E_ARR_NOT (IE007) message is sent by the Trader at Destination, it is rejected with the **[Step 20]** ‘Rejection from Office of Destination’ E_DES_REJ (IE057) message (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The business flow of the transit procedure ends here.

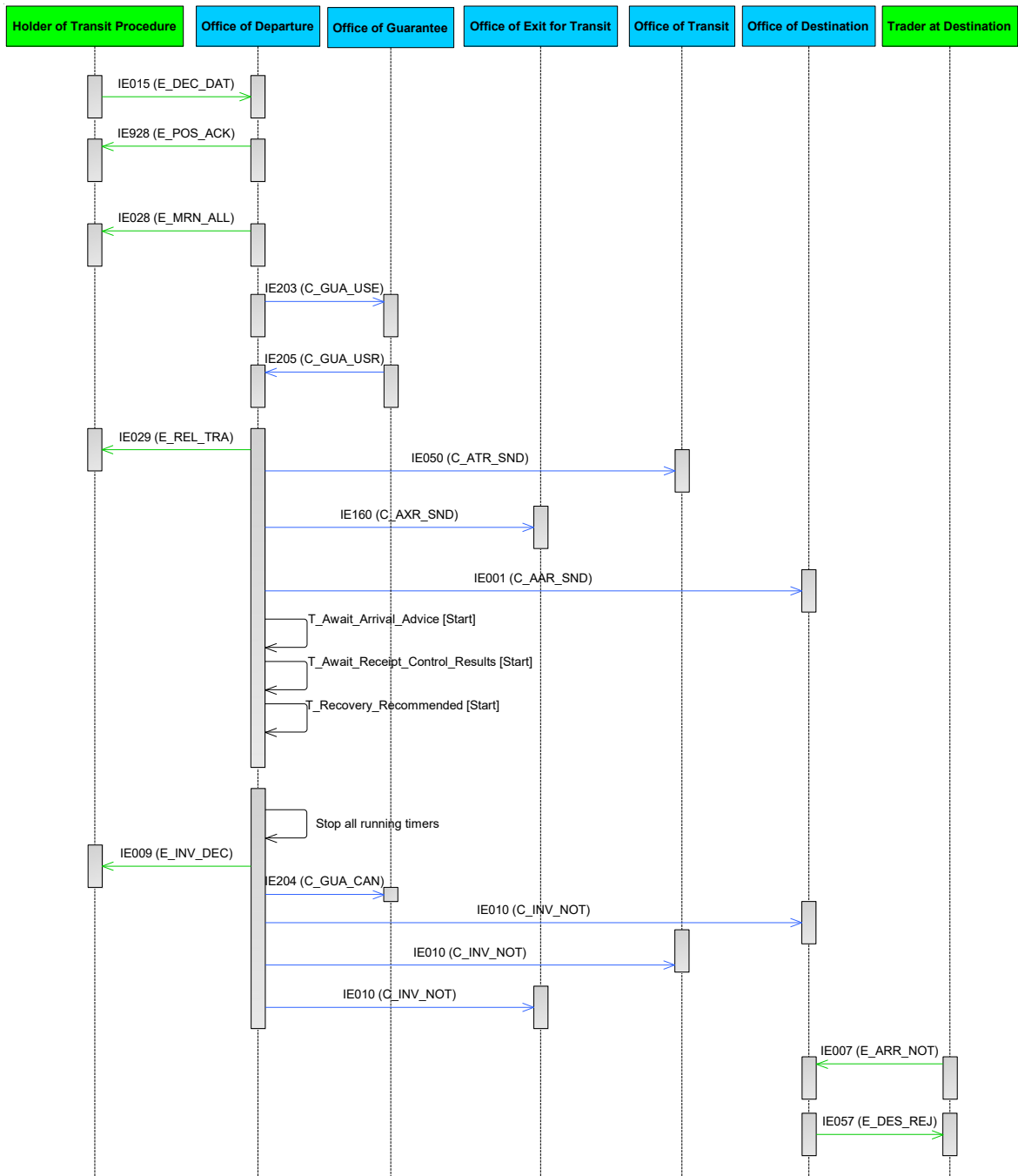


Figure 31: T-TRA-DEP-A-019- Invalidation of a transit declaration after release for transit

III.II.3 Specific Scenarios at Office of Transit (TRT)

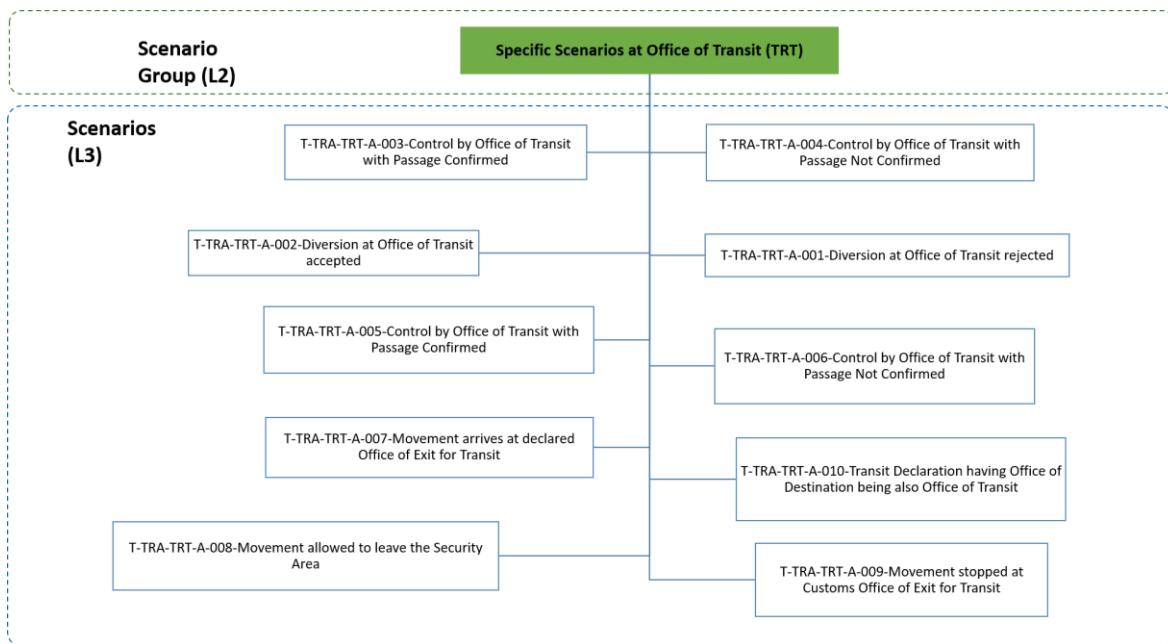


Figure 32: Specific scenarios at Office of Transit

III.II.3.1 Formalities at Office of Transit

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.

The safety and security risk analysis results are sent with the ‘Anticipated Transit Record’ C_ATR_SND (IE050) or ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) if all the following conditions are met:

- The Office of Departure is located in the Security Area;
- The requesting Office of Transit is located in the Security Area.

It should be noted that if the Office of Transit is not located in the Security Area, then no risk analysis results are communicated by the Office of Departure.

Between the Office of Departure and the Office of Destination, multiple offices of transit can be active in the process. Consequently, the ENS data can be re-used to enter multiple times the EU territory (e.g. NCTS movement from Türkiye to Croatia via Bulgaria and Serbia).

III.II.3.1.1 T-TRA-TRT-A-003-Control by Office of Transit with Passage Confirmed

The ‘Anticipated Transit Record’ C_ATR_SND (IE050) message is sent to the Office of Transit. The state of the movement at the Office of Departure is set to [Movement released](#) and the state of the movement at the Office of Transit is set to [ATR Created](#).

The carrier of the consignment arrives at the Office of Transit. The Customs Officer enters the MRN into NCTS, which then looks for the anticipated transit record information, that is, the ‘Anticipated Transit Record’ C_ATR_SND (IE050) message.

The Office of Transit retrieves the movement information via MRN and assesses that the goods shall cross the border of this Office of Transit.

The scenario starts after [\[Step 13\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 14] After the movement arrives at the Office of Transit and the passage is confirmed, the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message is sent to the Office of Departure. In that case, the state of the transit operation at the Office of Transit is set to [NCF registered](#). This is a final state. The state of the movement at the Office of Departure remains to [Movement released](#).

However, in case of transport of goods by rail¹⁸, the Office of Transit can verify the border passage of the goods by other means. Such verification shall only take place in case of need and may be executed retrospectively. Therefore, the Office of Transit does not need to send the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message in this case.

From the perspective of the Office of Transit, the business flow of the transit operation ends here.

From the perspective of the Office of Departure, the business flow of the transit operation continues from [\[Step 15\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

¹⁸ Please refer to Article 304 (6) of UCC-IA.

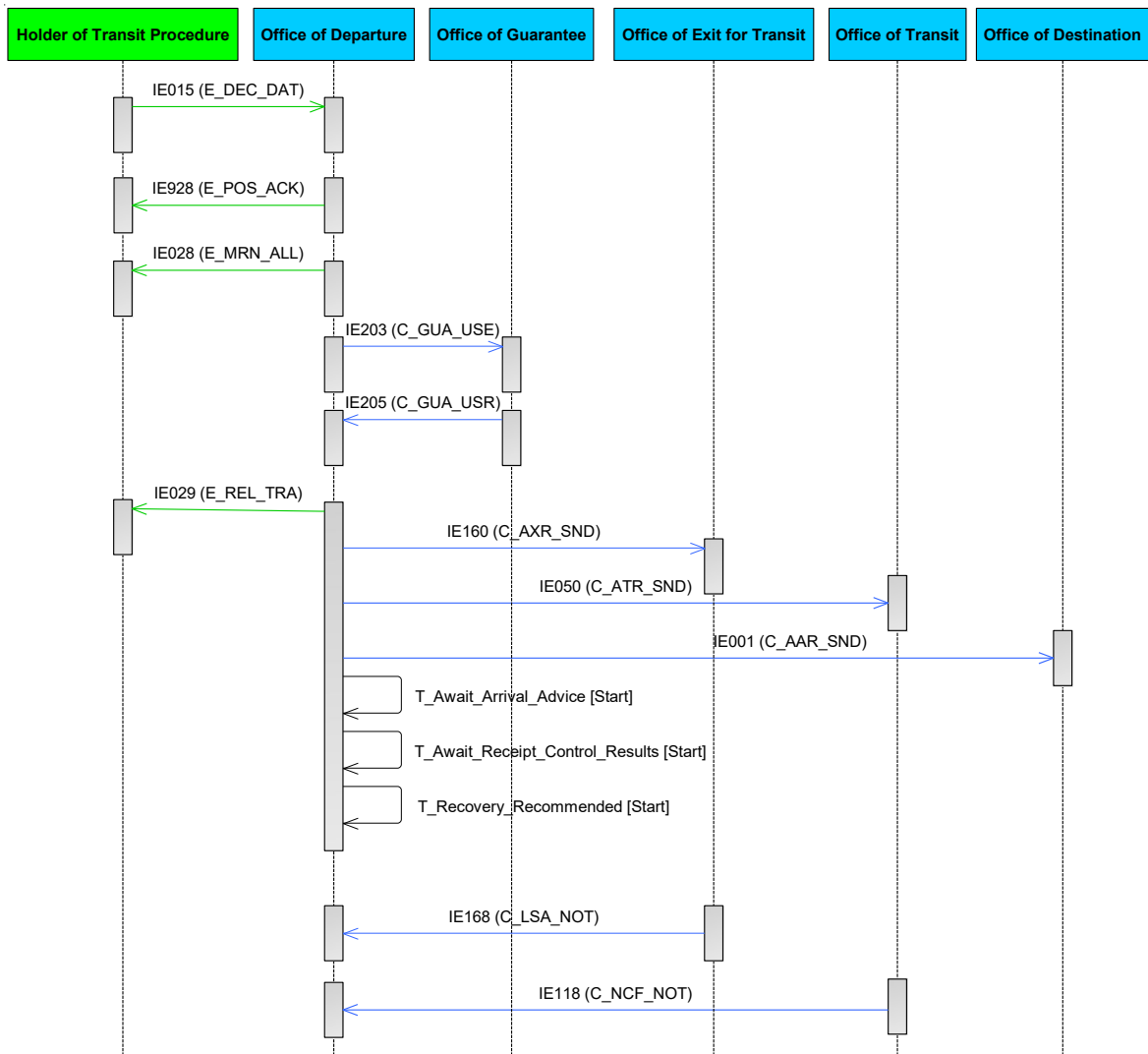


Figure 33: T-TRA-TRT-A-003-Control by Office of Transit with passage confirmed

III.II.3.1.2 T-TRA-TRT-A-004-Control by Office of Transit with Passage Not Confirmed

This scenario describes what happens when the carrier of the consignment arrives at the Office of Transit and after the Office of Transit retrieves the movement information via the MRN, it is assessed that the goods shall not cross the border of this Office of Transit. In that case, the movement is stopped as per scenario, and the Office of Transit becomes Actual Office of Destination. In case this is not feasible due to the fact that the specific office cannot possibly have that role, another relevant Office in the same country that possesses the role of Destination should be used to end the transit procedure.

The scenario starts after [\[Step 13\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 14] Since the movement arrives at the Office of Transit, and is stopped, this Office authorises the transit movement to end its journey to this country and thus this Office of Transit now acts as an Actual Office of Destination. Hence, the arrival process is triggered manually and in case the ‘Anticipated Arrival Record’ is not nationally available, the Office

of Destination sends the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) to the Office of Departure.

In that case, the state of the movement at the Office of Transit is set to [Movement stopped](#). This is a final status for the Office of Transit. If the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) message is sent, the state of the movement at the Actual Office of Destination is set to [AAR Requested](#) and the state of the movement at the Office of Departure remains [Movement released](#).

[Step 15] A positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) is received from the Office of Departure.

Additionally, when a positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 16] The ‘Arrival Advice’ C_ARR_ADV (IE006) is sent by the actual Office of Destination to the Office of Departure. The state of the movement at the Actual Office of Destination is set to [Arrival Accepted](#) and the state of the movement at the Office of Departure is set to [Arrived](#).

[Step 17] The Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Office of Guarantee in case guarantee types ‘0’ or ‘1’ are involved into the transit movement.

The ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is **not** sent to the declared Office of Transit which stops the movement since

- no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) has been previously received from the country where this Office is located, and
- this declared Office of Transit belongs to the same National Administration from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received.

The ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is sent to the **other** declared Office(s) of Transit -if any- from which no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) has been previously received and which do not belong to the same National Administration from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received.

Upon reception of the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) by this (those) other declared Office(s) of Transit, there is a normal state update of the movement at this (those) other Office(s) of Transit: it is set to [Arrived](#). This is a final state. The state of the movement at the Office of Departure is [Arrived](#).

[Step 18] The ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is also sent to the declared Office of Destination in case this declared Office of Destination does not belong to the same National Administration from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received. The state of the movement at the declared Office of Destination is set to [Arrived](#) and the state of the movement at the Office of Departure is [Arrived](#).

From the perspective of the Actual Office of Destination, the business flow of the transit operation continues with the control procedure and the dispatch of the ‘Destination Control Results’ C_DES_CON (IE018) message to the Office of Departure by taking into consideration one (1) of the following possibilities:

- In case of normal procedure at the Office of Destination with no control or control with satisfactory control results (i.e. ‘A1’ or ‘A2’ or ‘A5’), the business flow of the transit operation continues from [\[Step 20\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#); or
- In case of simplified procedure at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-M-001-Arrival notification valid](#); or
- In case of control with unsatisfactory control results (i.e. ‘B1’) at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination](#).

NOTE: When the Office of Transit stops the transit movement (no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) is sent to the Office of Departure), it does not mean that this Office of Transit will always act as an Actual Office of Destination. There might be several reasons:

1. *There is no guarantee valid in that country (i.e. EU MS or CTC), and therefore the goods are not authorised to enter the country;*
2. *According to the risk analysis results, the goods cannot enter the EU (or CTC country).*

The principle of “turning the truck back” may not apply in cases when the goods leave the EU to cross the third country. Transit is suspended in the third country, and it continues when the goods re-enter the territory of the EU or CTC country. In this case, the Office of Transit is situated at the EU exit border. If the goods cannot leave the EU, this Office of Transit becomes the Actual Office of Destination.

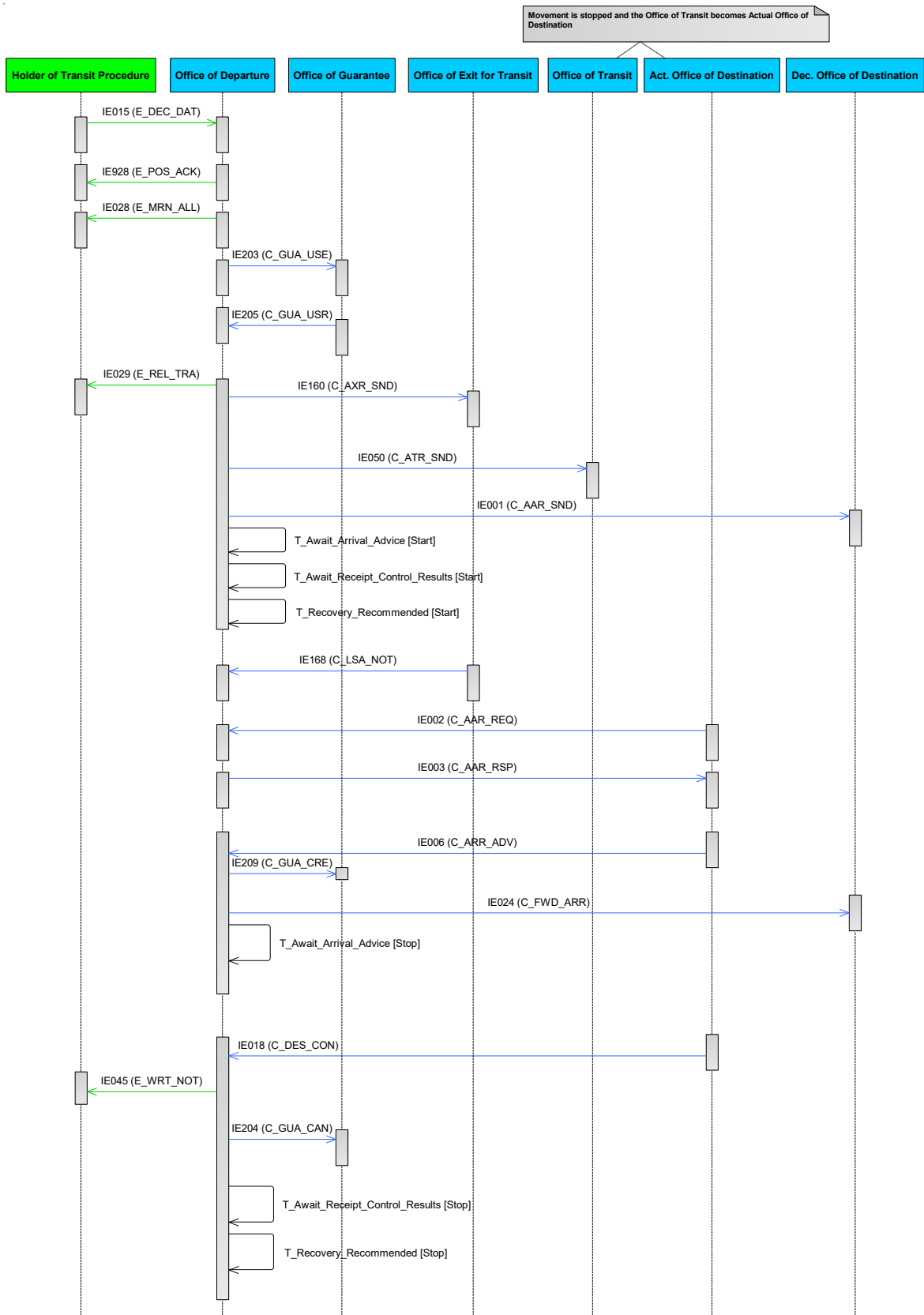


Figure 34: T-TRA-TRT-A-004-Control by Office of Transit with passage not confirmed

III.II.3.1.3 T-TRA-TRT-A-010-Transit Declaration having Office of Destination being also Office of Transit

There are occasions that the transit declaration lodged by the Holder of the Transit Procedure must include the same customs Office reference number for Office of Transit and for Office of Destination. For example, if the Authorised Consignee is located some few kilometres after the border, the Customs Office supervising this Authorised Consignee might be the same as the Office of Transit. In this case, it is important to notify the passage to the other Contracting Party (i.e. to the Office of Departure).

This means that the Office of Departure shall send the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) and ‘Anticipated Transit Record’ C_ATR_SND (IE050) to the same Customs Office when the movement is released for transit. This scenario examines below these message interactions when the movement starts its journey from the Office Departure until when the movement is written off at the Office of Departure.

This scenario starts from [\[Step 7\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 8] The ‘Anticipated Transit Record’ C_ATR_SND (IE050) message is sent upon release for transit. The state of the movement at the Office of Departure is [Movement released](#) and at the Office of Transit is [ATR Created](#).

Additionally, when an ‘Anticipated Transit Record’ C_ATR_SND (IE050) is received, the Customs Office of Transit executes an automatic risk analysis on the received anticipated transit record.

[Step 9] The ‘Anticipated Arrival Record’ C_AAR_SND (IE001) message is sent upon release for transit to the same Customs Office that has already received the ‘Anticipated Transit Record’ C_ATR_SND (IE050) message¹⁹. The state of the movement at the Office of Departure is [Movement released](#) and at the Office of Destination is [AAR Created](#).

Additionally, when an ‘Anticipated Arrival Record’ C_AAR_SND (IE001) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 10] The timer [T_Await_Arrival_Advice](#) at the Office of Departure starts.

[Step 11] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure starts.

[Step 12] The timer [T_Recovery_Recommended](#) at the Office of Departure starts.

[Step 13] The movement arrives at the Office of Exit for Transit, which decides that the movement is allowed to leave the Security Area. For this reason, the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message is sent to the Office of Departure. The state

¹⁹ Please note that the sequence can also be different, with the IE001 received *before* the IE050. Both sequences are valid and should not lead to rejections on the Common Domain.

of the movement at the Office of Exit for Transit is set to [Movement left Security Area](#) and the state of the movement at the Office of Departure remains [Movement released](#).

[Step 14] The movement crosses the border and arrives at the Customs Office of Transit before reaching the Authorised Consignee located at a short distance from that Office (which also possesses the role of Office of Destination as defined in the transit declaration). This Office sends the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) to the Office of Departure where it is not received or not processed for technical reasons. At this stage, the ‘Arrival Advice’ C_ARR_ADV (IE006) message shall not be sent to the Office of Departure.

[Step 15] The movement finally arrives at the premises of the Trader at Destination (i.e. an Authorised Consignee in our scenario) who notifies the Office of Destination about the arrival of the movement by sending the ‘Arrival Notification’ E_ARR_NOT (IE007) message.

Additionally, based on the information in the ‘Arrival Notification’ E_ARR_NOT (IE007) message, risk analysis is performed in the transit movement. The Office of Destination will also independently execute their own risk analysis (considering the risk results that may have already been communicated by the Office of Departure located in Security Area plus any other individual risk assessment performed based on the ‘Anticipated Arrival Record’ C_AAR_SND (IE001)/ ‘Anticipated Transit Record’ C_ATR_SND (IE050)) when the goods are presented.

[Step 16] The Office of Destination validates successfully the ‘Arrival Notification’ E_ARR_NOT (IE007) message in terms of message structure and R/Cs and sends the ‘Arrival Advice’ C_ARR_ADV (IE006) message to the Office of Departure.

[Step 17] The Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Office of Guarantee if the guarantee type ‘0’ or ‘1’ is involved into the transit movement.

[Step 18] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

In this exceptional case, despite the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) was sent by the Office of Transit but never received by the Office of Departure, the Office of Departure shall not send the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to this Office of Transit (which also acts as the Office of Destination) since the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received from the same Office that also acts as Office of Transit (and thus belongs to the same National Administration).

The flow continues from [\[Step 19\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

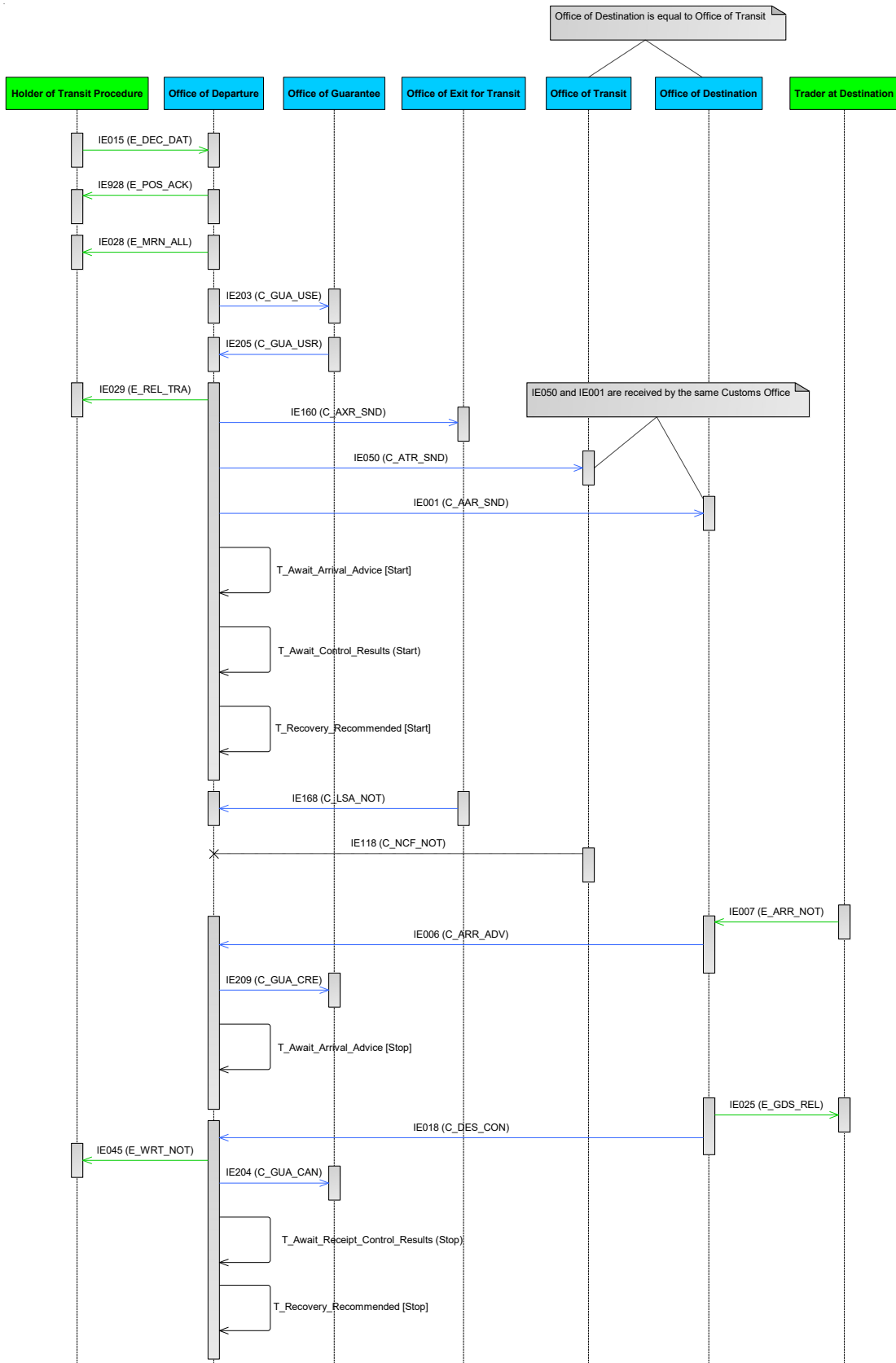


Figure 35: T-TRA-TRT-A-010-Transit Declaration having Office of Destination being also Office of Transit

III.II.3.1.4 Diversion at Office of Transit

NCTS-P5 supports International and National Diversions. Diversions can be notified by an Office of Transit. The sequences are quite like the ones for the missing 'ATR' at the Office of Transit.

Diversion at the Office of Transit takes place when consignment arrives at a non-declared Office of Transit (referred to as actual Office of Transit).

The Office of Departure will always resolve diversions. The general principle is that the (non-declared) Office of Transit will detect the diversion and communicate this immediately to the Office of Departure to take a decision. By default, the diversion will be accepted (however, it might also be rejected).

When NCTS is 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 be considered when carrying out risk analysis at the Office(s) of Transit. Additionally, it should be noted that risk analysis results can be exchanged only between Countries in the Customs Security Agreement Area.

The information related to the incidents that occurred during the journey of the movement are sent to the Risk Analysis Systems for risk evaluation. Actually, this incident information are contained in the 'Anticipated Transit Record Response' (C_ATR_RSP) IE115 message.

III.II.3.1.4.1 T-TRA-TRT-A-002-Diversion at Office of Transit accepted

This scenario examines what happens when a consignment arrives at an Office of Transit that is unaware of the movement, but the diversion at the Actual Office of Transit is accepted.

The scenario starts after [\[Step 13\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 14] The movement arrives at an actual (=current) Office of Transit that does not have any information for the transit movement (neither available at that Actual Office of Transit nor nationally available through the 'Anticipated Transit Record' C_ATR_SND (IE050)). Therefore, it will then request the 'ATR' from the Office of Departure with the 'Anticipated Transit Record Request' C_ATR_REQ (IE114).

The state of the movement at the Actual Office of Transit is set to [ATR requested](#) and the state of the movement at the Office of Departure remains [Movement released](#).

[Step 15] Upon receipt of the 'Anticipated Transit Record Request' C_ATR_REQ (IE114), the Office of Departure replies by sending a positive 'Anticipated Transit Record Response' C_ATR_RSP (IE115).

The state of the movement at the Actual Office of Transit is set to [ATR created](#).

The Customs Office of Transit executes an automatic risk analysis on the received anticipated transit record [i.e. based on the 'Anticipated Transit Record Response' C_ATR_RSP (IE115)].

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 16] The consignment may cross the actual Office of Transit. The actual Office of Transit confirms this by sending the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) to the Office of Departure. The consignment may then continue its journey (via declared or other Office(s) of Transit) to the Office of Destination.

The state of the movement at the Actual Office of Transit is set to [NCF registered](#). This is a final state. The state of the movement at the Office of Departure remains [Movement released](#).

[Step 17] The movement arrives at the Declared Office of Destination and the Trader at Destination informs the Office of Destination of the arrival of the goods by sending a valid (i.e. in terms of message structure and R/Cs) ‘Arrival Notification’ E_ARR_NOT (IE007). Additionally, based on the information in the ‘Arrival Notification’ E_ARR_NOT (IE007) message, risk analysis is performed into the transit movement. The Office of Destination will also independently execute their own risk analysis (considering the risk results that may have already been communicated by the Office of Departure located in Security Area plus any other individual risk assessment performed based on the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) prior to the arrival of the movement) when the goods are presented.

[Step 18] The ‘Arrival Advice’ C_ARR_ADV (IE006) is sent by the Office of Destination to the Office of Departure.

The state of the movement at the Office of Destination is set to [Arrival accepted](#) and the state of the movement at the Office of Departure is set to [Arrived](#).

[Step 19] The ‘Credit Reference Amount’ C_GUA_CRE (IE209) message is sent the Office of Guarantee in case guarantee types ‘0’ or ‘1’ are involved into the transit movement.

[Step 20] The Office of Departure will send then the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to the Declared Office of Transit, unless it belongs to the same National Administration:

- where the transit movement arrived, or
- that sent a message ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) following a National diversion at Office of Transit.

It should be stressed that the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) must only be sent to those (declared/actual) Office(s) of Transit that did not send the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118)]. The ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall NOT be sent to those Office(s) of Transit that reported the movement by means of the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118).

Additionally, the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is sent only once to the same country when more than one (1) actual Office(s) of Transit and/or actual Office(s) of Exit for Transit and/or actual Office of Destination belong to the same National Administration.

The business flow of the transit operation continues from [\[Step 18\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

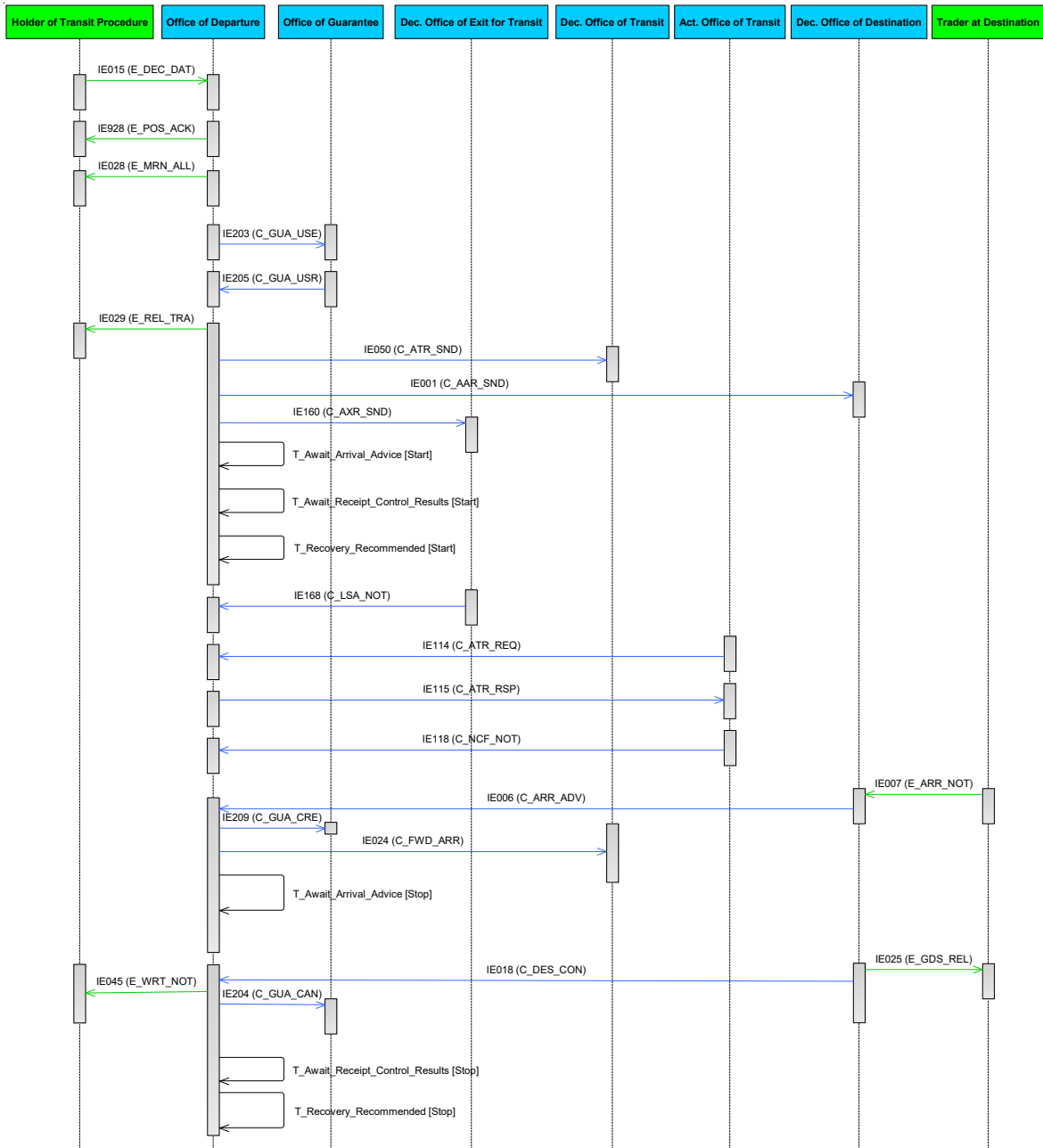


Figure 36: T-TRA-TRT-A-002-Diversion at Office of Transit accepted

III.II.3.1.4.2 T-TRA-TRT-A-001-Diversion at Office of Transit rejected

This scenario examines what happens when a consignment arrives at an Office of Transit that is unaware of the movement, but the diversion at the Actual Office of Transit is rejected. Two cases are possible:

- Lost 'ATR' (see Figure 63). 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).

The (required) flag 'Binding Itinerary' identifies if the goods must be moved from the Customs Office of Departure to the Customs Office of Destination along an economically justified itinerary (via the countries listed in the CC015C) (See also Article 298(2) IA).

If the declaration is flagged with value '1' as 'Binding Itinerary', the Data Group <COUNTRY OF ROUTING OF CONSIGNMENT> includes a sequence of country codes. The NCTS movement is not supposed to deviate from that itinerary. A deviation would lead to a rejection of the requested diversion. For example, if the Data Group <COUNTRY OF ROUTING OF CONSIGNMENT> includes the codes CZ-SK-HU-RO-BG-TR, the NCTS movement is not supposed to leave the EU in HR to enter RS. The Data Group <COUNTRY OF ROUTING OF CONSIGNMENT> should include at least the country code of the Country of Departure and the country code of Country of Destination (unless identical), and the countries of transit, if applicable.

Nevertheless, when an Incident for the deviation from the Binding Itinerary to a specific country is registered prior to any diversion request sent by any Actual Office of Transit that belongs to this specific country, then the Office of Departure will respond with a positive diversion transit record to the Actual Office of Transit (*for more details please refer to the scenario [T-TRA-EXC-A-008-Deviation from the Binding Itinerary at Actual Office of Transit - Movement is allowed Diversion after registering the Incident](#)*).

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] The movement arrives at the actual (=current) Office of Transit that does not have any information for the transit movement (neither available at that Actual Office of Transit nor nationally available through the 'Anticipated Transit Record' C_ATR_SND (IE050)). Therefore, it will then request the 'ATR' from the Office of Departure with the 'Anticipated Transit Record Request' C_ATR_REQ (IE114).

The state of the movement at the Actual Office of Transit is set to [ATR requested](#) and the state of the movement at the Office of Departure remains [Movement released](#).

[Step 14] The Office of Departure will reply with the 'Anticipated Transit Record Response' C_ATR_RSP (IE115). However, the reply is negative, meaning that no 'Anticipated Transit Record' C_ATR_SND (IE050) is included in the 'Anticipated Transit Record Response' C_ATR_RSP (IE115), which also contains the data element 'Request rejection reason code' and thus the reason for this rejection is specified.

The state of the movement for the Actual Office of Transit is set to [ATR rejected](#). This is a final state.

From the perspective of the Actual Office of Transit, the business flow of the transit operation ends here.

From the perspective of the Office of Departure, the business flow of the transit operation continues after [\[Step 12\]](#) of the scenario [T-TRA-DEP-A-011-Transit Movement is released for transit.](#)

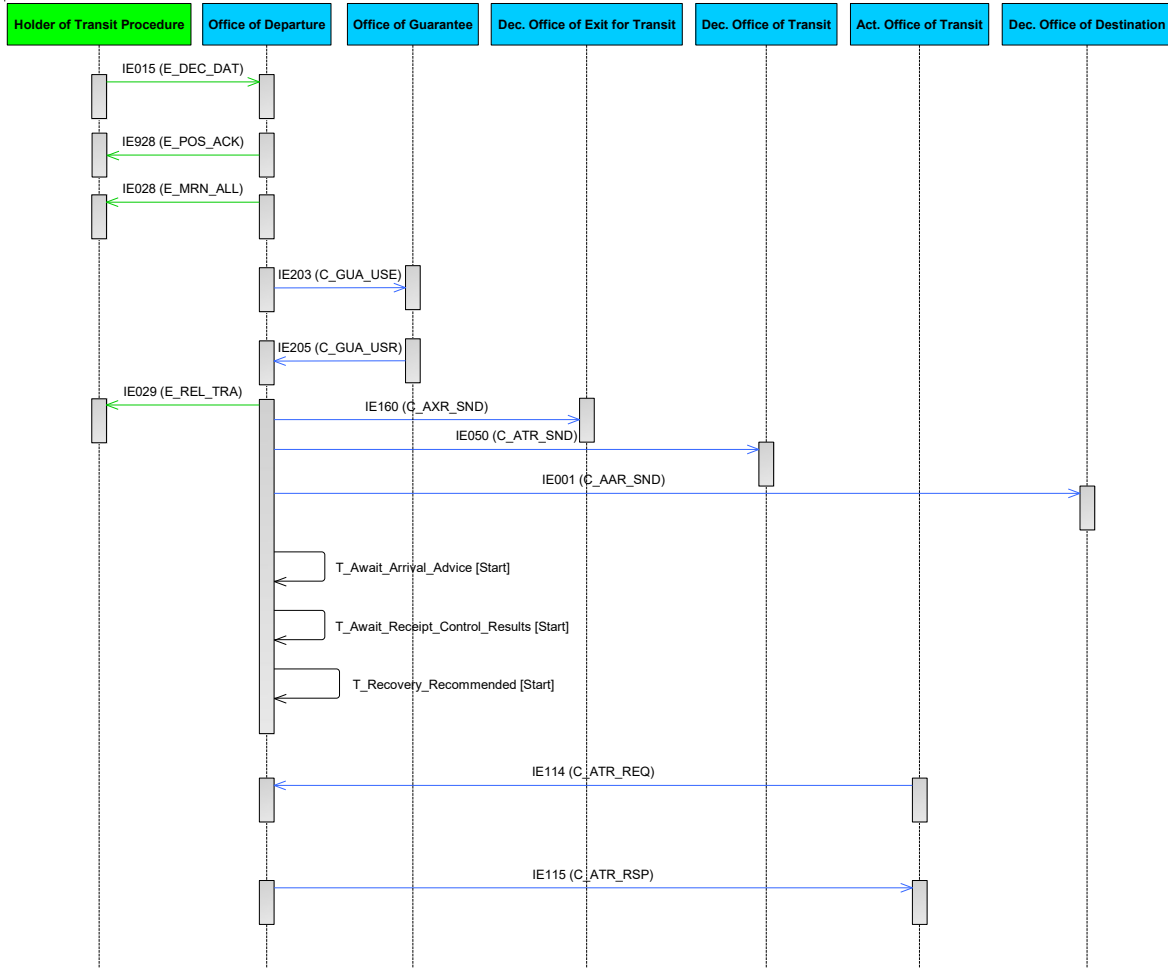


Figure 37: T-TRA-TRT-A-001-Diversion at Office of Transit rejected

III.II.3.2 Formalities Prior to Exit of Goods at Customs Office of Exit for Transit

III.II.3.2.1 T-TRA-TRT-A-005-Movement arrives at declared Office of Exit for Transit

If the transit declaration is also used for the purpose of safety and security, the Office of Departure notifies the Office of Exit for Transit with the 'Anticipated Exit For Transit Record' C_AXR_SND (IE160) message containing the transit declaration data along with EXS particulars, and risk analysis results (i.e. risk results are sent only when the Office of Departure belongs to the Security Area).

Upon arrival of the goods at the Office of Exit for Transit, national risk analysis is requested by the Officer at the Customs Office of Exit for Transit in order to decide whether the goods are eligible for exit from the Security Area. The result of the risk analysis becomes available to the customs Officer to decide.

Based on legislation, the role 'Office of Exit for Transit' (TXT) will be used as follows:

- the declaration messages (IE015/IE013) **cannot** include the **same** *Customs Office reference number* for the Office of Transit **and** for the Office of Exit for Transit;
- similarly, the 'Office of Exit for Transit' will **not** be included in the declaration if it is the same as the 'Office of Destination';
- no 'Office of Exit for Transit' is needed in case of crossing one or more third country(ies): e.g. for a movement with Departure in Poland to enter Russia (Kaliningrad) with Destination Lithuania, both the 'Office of Transit' in Poland and the 'Office of Transit' in Lithuania will be mentioned, no 'Office of Exit for Transit' will be included. The 'Office of Transit' in Poland will act like the 'Office of Exit for Transit': if the IE050 or IE115 does not include the EXS data (i.e. security = '0' or '1'), then a separate EXS must be lodged in Poland.

The role 'Exit for Transit' (TXT) will be added in CS/RD2 to any Customs Offices located in a Contracting Party that belong to the Security Area, from which goods can be moved directly to a CTC country not belonging to the Security Area (via any traffic type).

For example, the role "Exit for transit" (TXT) should be assigned by e.g. Italy or Germany to Customs Offices in airports and seaports. The role "Exit for transit" should be assigned to Greek Customs Offices located in airports, seaports and at the border with Türkiye and North Macedonia, not at the border with Albania (as long as Albania is not a Contracting Party to Convention on Common Transit Procedure).

III.II.3.2.2 T-TRA-TRT-A-007- Movement allowed to leave the Security Area

The movement arrives at the Office of Exit for Transit and risk analysis is performed. After checking the risk analysis results, the Office of Exit for Transit allows the movement to leave the Security Area, and thus the movement can continue its journey towards destination.

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] Since the movement is allowed to leave the Security Area, the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message is communicated to the Office of Departure.

The state of the movement at the Office of Exit for Transit is set to [Movement left security area](#). This is a final state. The state of the movement at the Office of Departure remains [Movement released](#).

From the perspective of the Office of Exit for Transit, the business flow of the transit operation ends here.

From the perspective of the Office of Transit, the business flow of the transit operation continues as per [\[Step 14\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

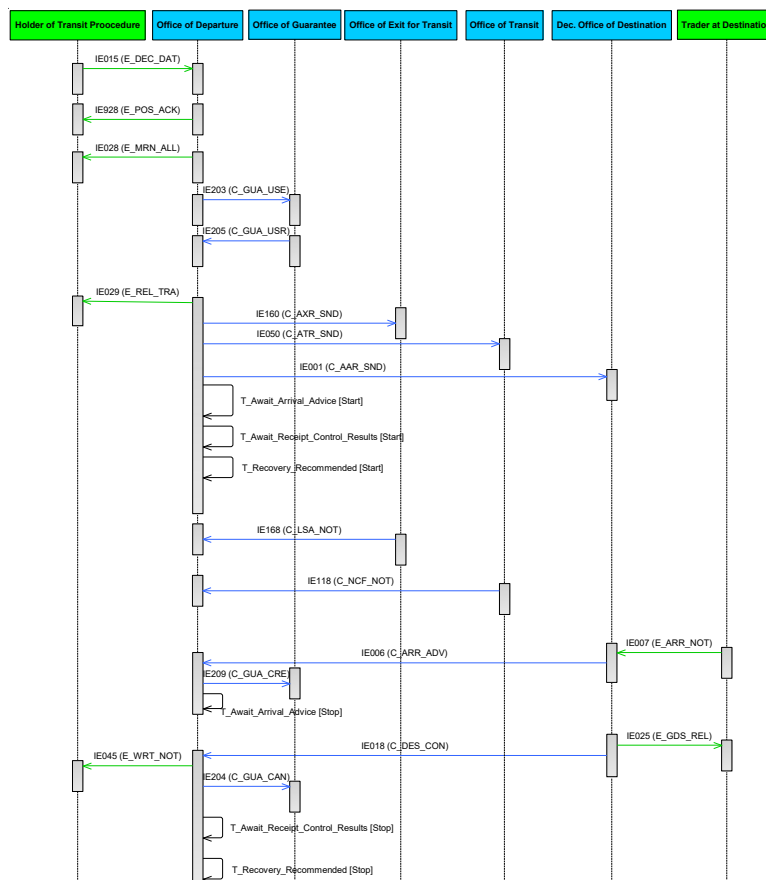


Figure 38: T-TRA-TRT-A-007-Movement allowed to leave the Security Area

III.II.3.2.3 T-TRA-TRT-A-006-Movement stopped at Customs Office of Exit for Transit

When the movement arrives at the Office of Exit for Transit, risk analysis is performed. Based on the risk results, the Office of Exit for Transit takes the decision whether the movement can leave the Security Area. This scenario examines what happens when the movement is not allowed to leave the Security Area.

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] The Office of Exit for Transit shall act as the actual Office of Destination for the movement and the process of arrival is triggered by sending the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) message to the Office of Departure.

When the transit movement stops at the Office of Exit for Transit, the state is set to [Movement stopped](#). This is a final state. Additionally, the state of the movement at the Actual Office of Destination (previous role was Office of Exit for Transit) is set to [AAR Requested](#). The state of the movement at the Office of Departure remains [Movement released](#).

[Step 14] The Office of Departure sends a positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003).

Additionally, when an ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 15] The actual Office of Destination (i.e. previous role was Office of Exit for Transit) sends the ‘Arrival Advice’ C_ARR_ADV (IE006) to the Office of Departure.

The state of the movement at the Actual Office of Destination (previous role was Office of Exit for Transit) is set to [Arrival accepted](#). The state of the movement at the Office of Departure is set to [Office of Departure 1Arrived](#).

[Step 16] The ‘Credit Reference Amount’ C_GUA_CRE (IE209) message is sent the Office of Guarantee in case guarantee types ‘0’ or ‘1’ are involved into the transit movement.

[Step 17] The timer [T_Await_Arrival_Advice](#) stops.

The Office of Departure then disseminates the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to the **[Step 18]** countries with declared Office(s) of Exit for Transit (which have not sent the IE168 and are different from the country from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received), **[Step 19]** countries with declared Office(s) of Transit (which have not sent the IE118 and are different from the country from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received) **[Step 20]** and to the declared Office of Destination that does not belong to the same National Administration from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received.

The ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is sent only once if more than one involved Customs Office in the transit movement belongs to the same country.

The business flow of the transit operation continues with the control procedure at the Office of Destination and the dispatch of the 'Destination Control Results' C_DES_CON (IE018) message to the Office of Departure by taking into consideration one (1) of the following possibilities:

- In case of normal procedure at the Office of Destination with no control or control with satisfactory control results (i.e. 'A1' or 'A2' or 'A5'), the business flow of the transit operation continues from [\[Step 20\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#); or
- In case of simplified procedure at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-004-Simplified procedure at destination](#); or
- In case of control with unsatisfactory control results (i.e. 'B1') at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination](#).

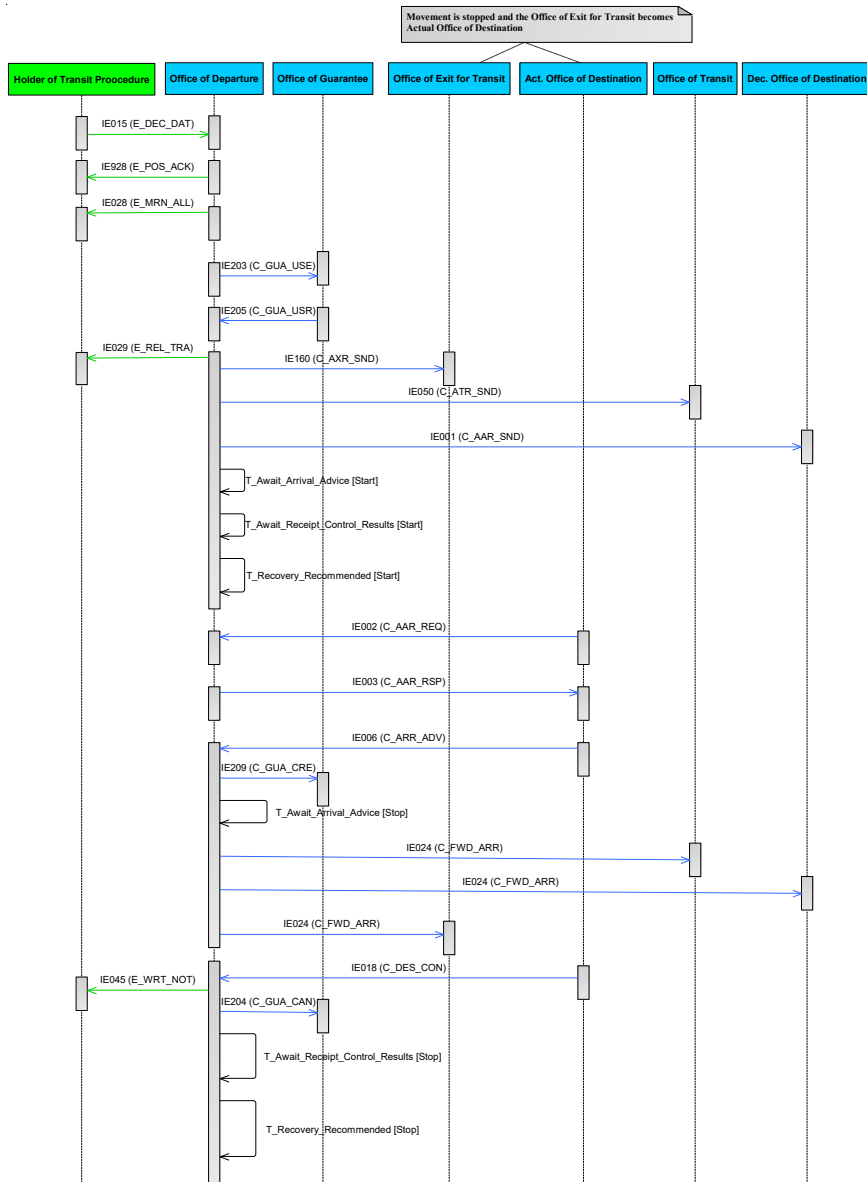


Figure 39: T-TRA-TRT-A-006-Movement stopped at Customs Office of Exit for Transit

III.II.3.2.4 *Diversion at Office of Exit for Transit*

Diversion at the Office of Exit for Transit takes place when the consignment arrives at a non-declared Office of Exit for Transit (referred to as actual Office of Exit for Transit).

The Office of Departure will always need to accept or reject the diversion from a declared Office of Exit for Transit. The actual Office of Exit for Transit will try to locate the movement information, and if unknown, it will request it from the Office of Departure. If a rejection reason code is communicated back, this means that the diversion is not accepted by the Office of Departure.

If the movement information is communicated without a rejection reason code, the actual Office of Exit for Transit performs risk analysis and based on this, it decides whether the movement can leave the Security Area.

The information related to the incidents that occurred during the journey of the movement are sent to the Risk Analysis Systems for risk evaluation. Actually, this incident information are contained in the ‘Anticipated Exit for Transit Record Response’ (C_AXR_RSP) IE165 message.

In the event that an ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) message is received and the data element ‘Security’ in the transit declaration is not equal to ‘2’ or ‘3’ (i.e. no EXS data are present in the declaration data), the Office of Departure will reply back with a negative ‘Anticipated Exit for Transit Record Response’ (C_AXR_RSP) IE165 message by using rejection reason code ‘11 - No EXS data included in the transit declaration’.

NOTE: In case of Export followed by Transit, if the export declaration includes EXS data, but the transit declaration does not include the EXS data (i.e. Transit Operation.Security = ‘0’ or ‘1’), then the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message shall not be sent by the Office of Departure. In case an ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) message is received by the Office of Departure, it will be responded with a negative ‘Anticipated Exit for Transit Record Response’ (C_AXR_RSP) IE165 message by using rejection reason code ‘When the Office of Departure receives the ‘Arrival Advice’ C_ARR_ADV (IE006) message from the Office of Destination, the timer [T Await Arrival Advice](#) stops. The state of 11 - No EXS data included in the transit declaration’. The carrier will be invited to lodge an EXS at the Office of Exit for Transit, even if the EXS was lodged as part of the Export declaration(s). Nevertheless, if the Office of Exit for Transit is located in the country of the Office of Departure, there is no need for separate EXS (the information HOUSE CONSIGNMENT.Security indicator from export declaration = ‘2-EXS’ shall be re-used, if it is the case for all the House Consignments), taking into account that all the EXS data are available in the Office of Exit (actual) that is located in the country of Office of Exit for Transit.

III.II.3.2.4.1 T-TRA-TRT-A-008-Diversion at Customs Office of Exit for Transit – Movement is allowed to leave the Security Area

The movement arrives at an Office of Exit for Transit other than the one initially declared in the declaration data, called actual Office of Exit for Transit.

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] The movement arrives at the actual Office of Exit for Transit. Since this Office has no information about the movement details (neither available at that Actual Office of Exit for Transit nor nationally available through the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160)), it uses the MRN of the movement and requests the movement information from the Office of Departure by sending the ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) message.

The state of the movement at the Office of Exit for Transit is set to [AXR requested](#). The state of the movement at the Office of Departure remains [Movement released](#).

[Step 14] The Office of Departure responds either with the positive or negative ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message to the Office of Exit for Transit.

The assumption for this scenario is that the response from the Office of Departure is positive and then the Customs Office of Exit for Transit executes an automatic risk analysis on the received anticipated exit for transit record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

The state of the movement at the Office of Exit for Transit is set to [AXR created](#). The state of the movement at the Office of Departure remains [Movement released](#).

The actual Office of Exit for Transit examines the results of the risk analysis to decide whether the movement can leave the Security Area. The decision is to allow the movement to leave the Security Area.

[Step 15] Therefore, the Office of Exit for Transit notifies the Office of Departure by sending the 'Notification Leaving Security Area' C_LSA_NOT (IE168) message.

The state of the movement at the Office of Exit for Transit is set to [Movement left the security area](#). This is a final state. The state of the movement at the Office of Departure remains [Movement released](#).

From the perspective of the Office of Exit for Transit, the business flow of the transit operation ends here.

From the perspective of the Office of Transit, the business flow of the transit operation continues as per [\[Step 14\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

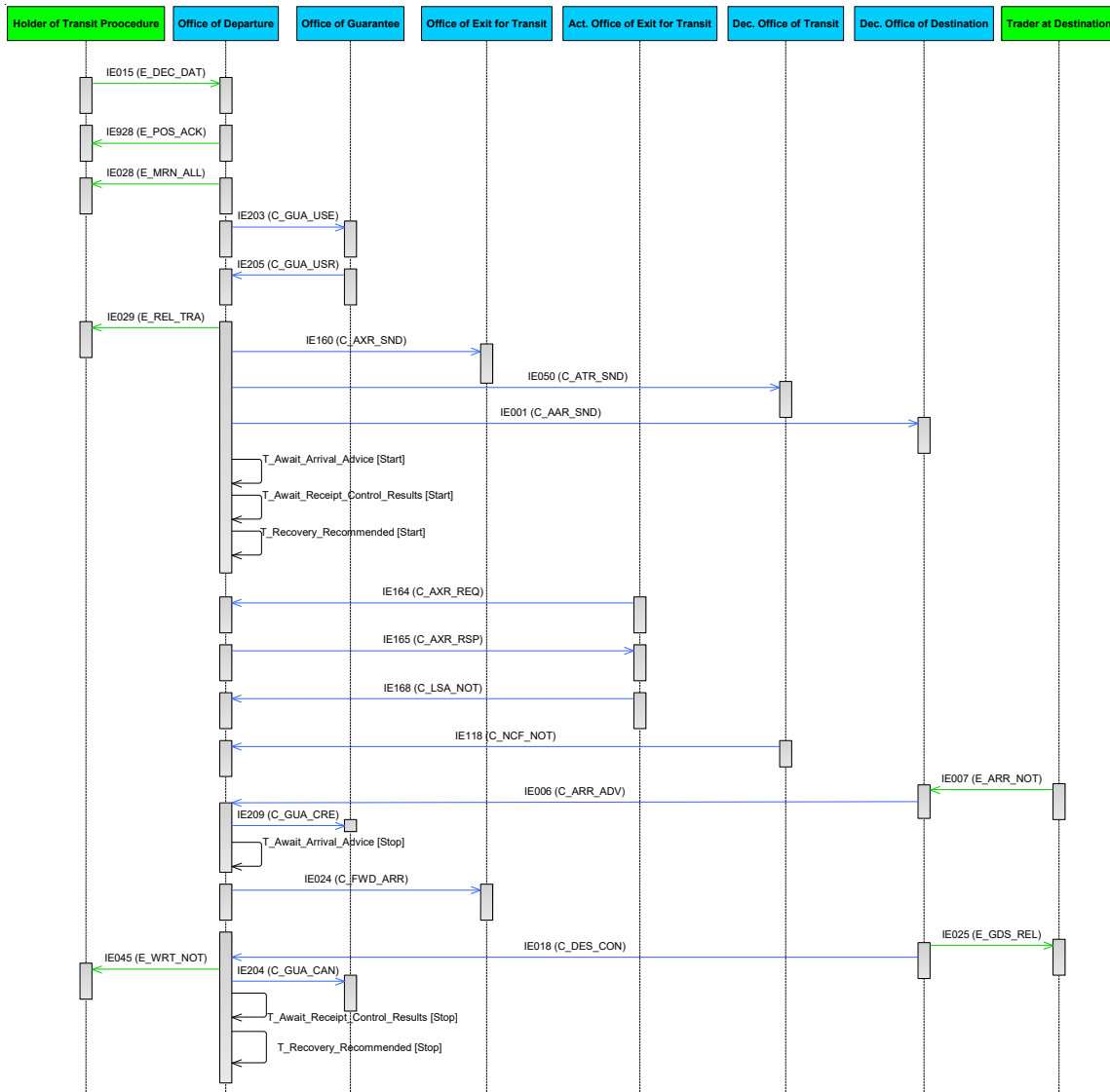


Figure 40: T-TRA-TRT-A-008-Diversion at Customs Office of Exit for Transit – Movement is allowed to leave the Security Area

III.II.3.2.4.2 T-TRA-TRT-A-009-Diversion at Customs Office of Exit for Transit – Movement stopped at the border of Office of Exit for Transit

This scenario describes the case when the movement arrives at a Customs Office of Exit for Transit that is not the one declared in the transit declaration.

If the movement is defined with ‘Binding Itinerary’ applicable²⁰, the ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) might be responded with a negative ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165). The movement

²⁰ The flag ‘Binding Itinerary’ means that the goods shall be moved from the Customs Office of Departure to the Customs Office of Destination along an economically justified itinerary (via the countries listed in the CC015C or CD001C) (Article 298(2) IA). For example, if the declaration is flagged with ‘Binding Itinerary’ and the Data Group <COUNTRIES OF ROUTING OF CONSIGNMENT> includes the codes CZ-SK-HU-RO-BG-TR, the NCTS movement is not supposed to leave the EU in HR to enter RS. In that case, the IE164 sent by NTA.HR to NTA.CZ will be responded with a negative IE165.

cannot cross the border at that Customs Office of Exit for Transit if it is intended to enter an ‘unauthorised’ country. In this case:

- Either the Holder of the Transit Procedure decides to end the transit at that Office and another customs procedure could be started. The Office of Exit for Transit becomes the final Destination, and the goods remain in the Security Area;
- Or the Holder of the Transit Procedure communicates with the carrier, and they decide to continue the journey to the Office of Exit for Transit (declared) as defined in the Declaration.

If the movement is defined with ‘Binding Itinerary’ not applicable or there is no risk to enter in an ‘unauthorised’ country, the ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) is responded with a positive ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165). Using the information received, the Actual Office of Exit for Transit performs risk analysis and it decides that the movement cannot leave the Security Area movement at that Border Crossing Point. In this case:

- Either the Holder of the Transit Procedure decides to end the transit at that Office and another customs procedure could be started. The Office of Exit for Transit becomes the Actual Office of Destination, and the goods remain in the Security Area;
- Or the Holder of the Transit Procedure communicates with the carrier and they decide to continue the journey to the Office of Destination using another itinerary (possibly without leaving the Security Area).

Nevertheless, if the movement is defined with ‘Binding Itinerary’ and an Incident for the deviation from the Binding Itinerary to a specific country is registered prior to any diversion request sent by any Actual Office of Exit for Transit that belongs to this specific country, then the Office of Departure will respond with a positive diversion transit record to the Actual Office of Exit for Transit (*for more details please refer to the scenario [T-TRA-EXC-A-008-Deviation from the Binding Itinerary at Actual Office of Transit - Movement is allowed Diversion after registering the Incident](#)*).

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] The Actual Office of Exit for Transit has no information about the movement details (neither available at that Actual Office of Exit for Transit nor nationally available through the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160)), it uses the MRN of the movement and requests the movement information from the Office of Departure by sending the ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) message.

The state of the movement at the Office of Exit for Transit is set to [AXR requested](#). The state of the movement at the Office of Departure remains [Movement released](#).

[Step 14] The Office of Departure responds either with the positive or negative ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message to the Office of Exit for Transit.

The assumption for this scenario is that the response from the Office of Departure is positive and then the Customs Office of Exit for Transit executes an automatic risk analysis on the received anticipated exit for transit record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

The state of the movement at the Office of Exit for Transit is set to [AXR created](#). The state of the movement at the Office of Departure remains [Movement released](#).

This time, the Office of Exit for Transit decides that the movement is not allowed to leave the Security Area. Since the movement is stopped at the border, the Office of Exit for Transit acts as the actual Office of Destination for the movement and the process of arrival is started.

The state of the movement at the Office of Exit for Transit is set to [Movement stopped](#). The state of the movement at the Office of Departure remains [Movement released](#).

NOTE: When the movement stops at the Office of Exit for Transit, this Office can become the Actual Office of Destination without an 'Arrival Notification' E_ARR_ADV (IE007) message exchanged via EDI. In this case, the Officer of the Actual Office of Destination shall be able to manually register the 'arrival'.

[Step 15] First, the 'Anticipated Arrival Record Request' C_AAR_REQ (IE002) is sent to the Office of Departure, **[Step 16]** which replies with a positive 'Anticipated Arrival Record Response' C_AAR_RSP (IE003).

[Step 17] Provided that the message is valid, the Office of Destination checks whether the arrival notification has been submitted under normal or simplified procedure. Subsequently, the 'Arrival Advice' C_ARR_ADV (IE006) message is sent to the Office of Departure. The state of the movement at the Office of Destination is set to [Arrival accepted](#).

[Step 18] In case Guarantee types '0' or '1' have been used for this transit movement, the Office of Departure sends the 'Credit Reference Amount' C_GUA_CRE (IE209) message to the Guarantee Management System(s).

[Step 19] When the Office of Departure receives the 'Arrival Advice' C_ARR_ADV (IE006) message from the Office of Destination, the timer [T_Await Arrival Advice](#) stops. The state of the movement at the Office of Departure is set to [Arrived](#).

Moreover, when the Office of Departure receives the 'Arrival Advice' C_ARR_ADV (IE006) message from the Office of Destination, the 'Forwarded Arrival Advice' C_FWD_ARR (IE024) message is sent to **[Step 20]** the Declared Office of Destination [which have not yet transmitted the 'Arrival Advice' C_ARR_ADV (IE006) and does not belong to the same National Administration from where the 'Arrival Advice' C_ARR_ADV (IE006) has been received], to **[Step 21]** the Declared Office of Exit for Transit [which have not yet transmitted the 'Notification Leaving Security Area' C_LSA_NOT (IE168) and does not belong to the same National Administration from where the 'Arrival Advice' C_ARR_ADV (IE006) has been received] and to **[Step 22]** the Declared Office of Transit [which have not yet transmitted the 'Notification Crossing Frontier' C_NCF_NOT (IE118) and does not belong to the same National Administration from where the 'Arrival Advice' C_ARR_ADV (IE006) has been received].

The state of the movement at the Declared Office of Destination is set to [Arrived](#). This is a final state. Additionally, the state of the movement at the Declared Office of Exit for Transit is set to [Arrived](#). This is a final state. Lastly, the state of the movement at the Declared Office of Transit is set to [Arrived](#). This is a final state.

From the perspective of the Actual Office of Destination, the business flow of the transit operation continues with the control procedure and the dispatch of the ‘Destination Control Results’ C_DES_CON (IE018) message to the Office of Departure by taking into consideration one (1) of the following possibilities:

- In case of normal procedure at the Office of Destination with no control or control with satisfactory control results (i.e. ‘A1’ or ‘A2’ or ‘A5’), the business flow of the transit operation continues from [\[Step 20\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#); or
- In case of simplified procedure at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-004-Simplified procedure at destination](#); or
- In case of control with unsatisfactory control results (i.e. ‘B1’) at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination](#).

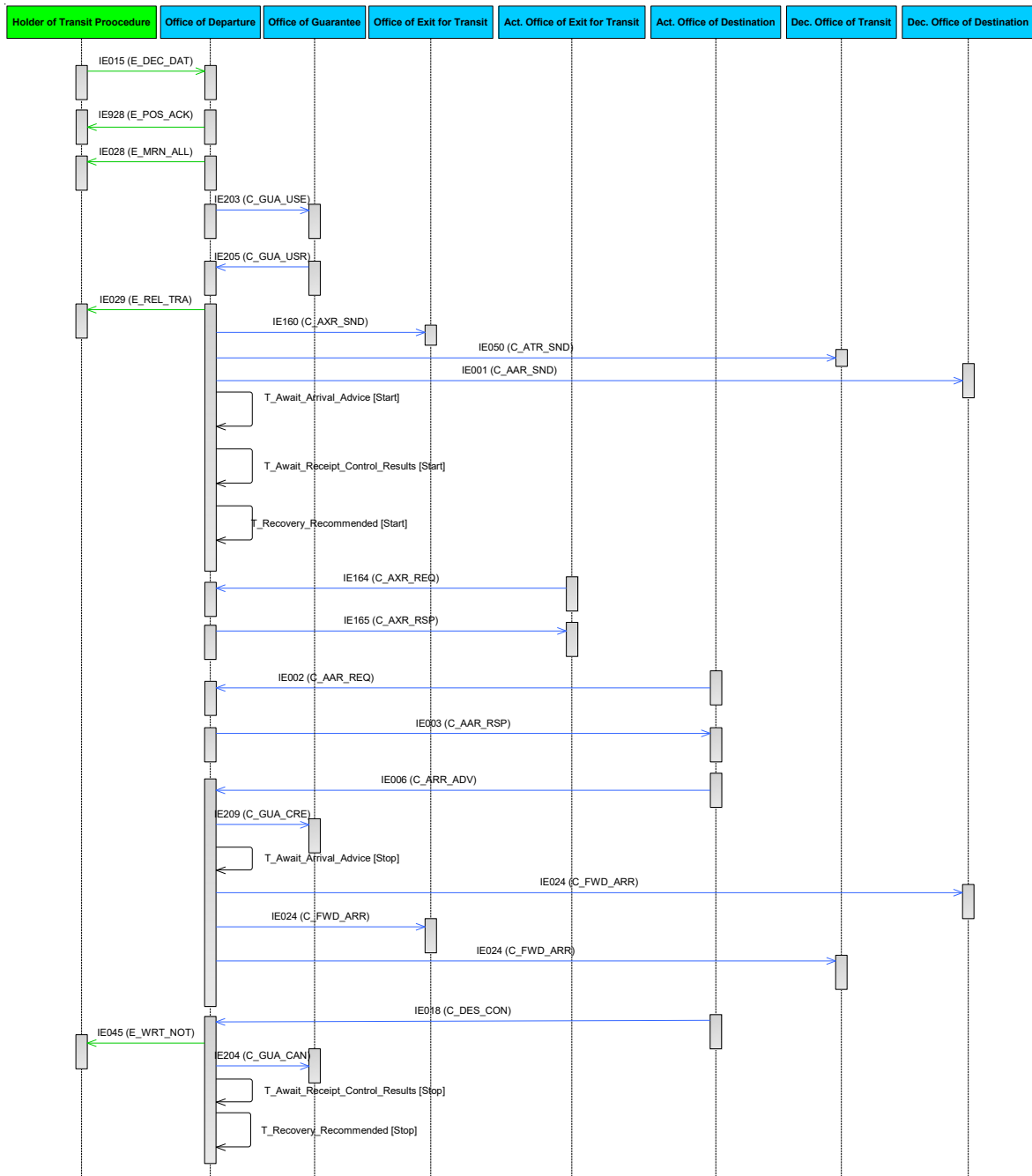


Figure 41: T-TRA-TRT-A-009-Diversion at Customs Office of Exit for Transit – movement stopped at the border of Office of Exit for Transit

III.II.4 Specific Scenarios at Office of Destination (DES)

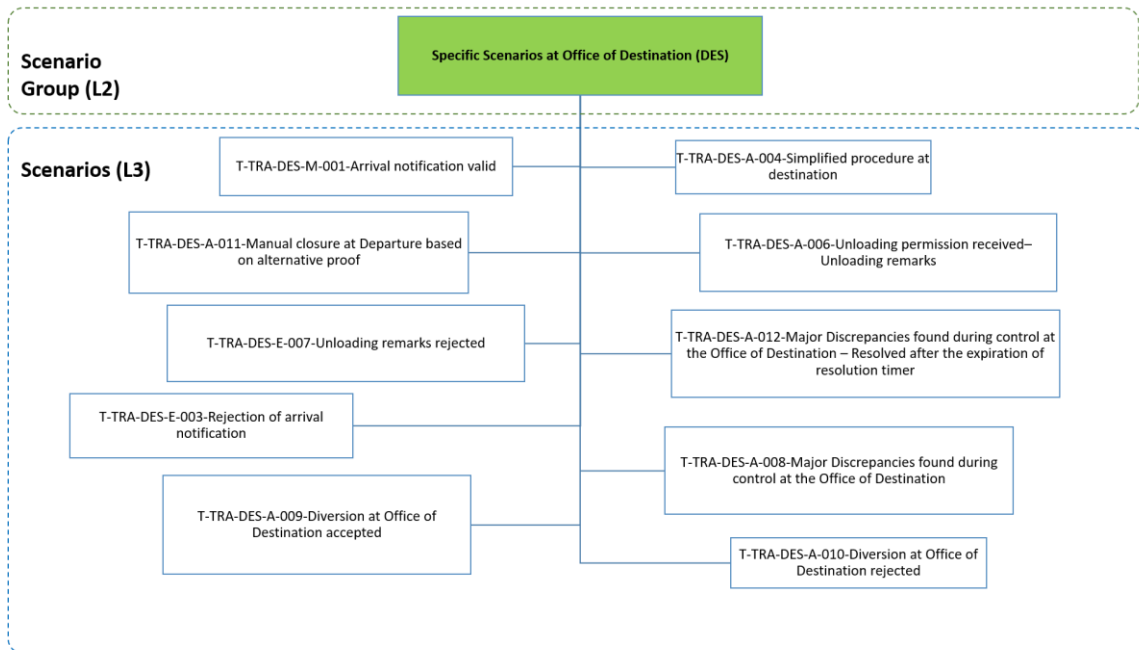


Figure 42: Specific Scenarios at Office of Destination

The consignment arrives at the Office of Destination at a designated or approved place. However, if the consignment is under the responsibility of an authorised consignee, the goods arrive at the authorised place. The following scenarios depict these arrival-specific cases.

III.II.4.1 T-TRA-DES-M-001-Arrival notification valid

When the consignment reaches its destination and operates under normal or simplified procedure, the Trader at Destination (authorised consignee in simplified procedure) sends the 'Arrival Notification' E_ARR_NOT (IE007) to the Office of Destination or the arrival notification is captured manually by the Officer at the Office of Destination (e.g. under normal procedure). NCTS performs validation of this message. If it is valid in terms of message structure and R/Cs, the Office of Destination checks whether the movement information is available.

The main assumption of this scenario is that the status of the movement at the Actual Office of Destination is already under [AAR created](#). However, in case of valid 'Arrival Notification' E_ARR_NOT (IE007) message (i.e. in terms of message structure and R/Cs), but the status of the movement at this Actual Office of Destination is still under [None](#) instead, the Office of Destination shall ask for the 'Anticipated Arrival Record' nationally.

The scenario starts after [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

After the reception of the 'Arrival Notification' E_ARR_NOT (IE007) message and based on the information in the 'Arrival Notification' E_ARR_NOT (IE007) message, risk analysis is performed into the transit movement. The Office of Destination will also independently execute their own risk analysis (considering the risk results that may have already been communicated by the Office of Departure located in Security Area plus any other individual risk assessment performed based on the 'Anticipated Arrival Record' C_AAR_SND (IE001) prior to the arrival of the movement) when the goods are presented.

[Step 16] In case of simplified procedure, the [T_Wait_Unloading_Permission](#) timer at the Office of Destination starts.

[Step 17] Upon reception of the valid 'Arrival Notification' E_ARR_NOT (IE007) message and if the movement information is available or found nationally, then the arrival of the goods is recorded in the system and consequently the Office of Destination sends the 'Arrival Advice' C_ARR_ADV (IE006) to the Office of Departure.

The state of the movement at the Office of Destination is set to [Arrival accepted](#). The state of the movement at the Office of Departure is set to [Arrived](#).

- **[Step 18]** The Office of Departure sends the 'Credit Reference Amount' C_GUA_CRE (IE209) message to the Office of Guarantee in case guarantee types the declaration messages (IE015/IE013) **cannot** include the same Customs Office reference number for the Office of Transit and for the Office of Exit for Transit;

similarly, the 'Office of Exit for Transit' will not be included in the declaration if it is the same as the '0' or '1' are involved into the transit movement.

[Step 19] The timer [T_Await_Arrival_Advice](#) stops at the Office of Departure.

The business flow of the transit operation continues with the control procedure at the Office of Destination and the dispatch of the 'Destination Control Results' C_DES_CON (IE018) message to the Office of Departure by taking into consideration one (1) of the following possibilities:

- In case of normal procedure at the Office of Destination with no control or control with satisfactory control results (i.e. ‘A1’ or ‘A2’ or ‘A5’), the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#); or
- In case of simplified procedure at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-004-Simplified procedure at destination](#); or
- In case of control with unsatisfactory control results (i.e. ‘B1’) at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination](#).

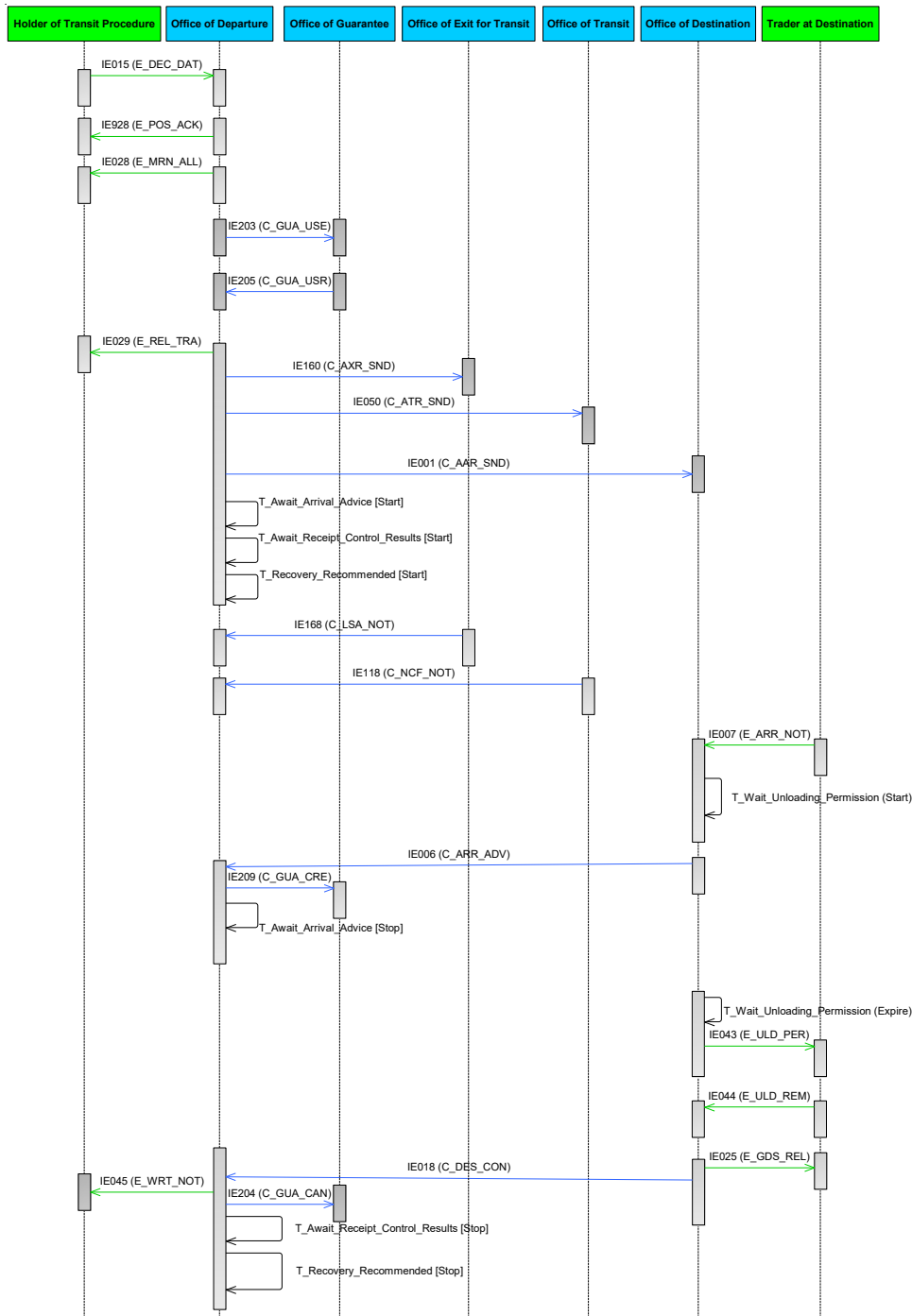


Figure 43: T-TRA-DES-M-001-Arrival notification valid

III.II.4.2 T-TRA-DES-A-004-Simplified procedure at destination

When the Trader at Destination sends the ‘Arrival Notification’ E_ARR_NOT (IE007) message under simplified procedure (simplified procedure flag = ‘Yes’), NCTS checks that the Trader at Destination is indeed authorised (i.e. Authorised Consignee) to use simplified procedure at that Office of Destination. NCTS also checks that the location where the consignment can be controlled is amongst the various authorised places specified in the Authorisation (i.e. ACE).

The main assumption is the status of the movement at the Actual Office of Destination is under [AAR created](#). However, in case of valid ‘Arrival Notification’ E_ARR_NOT (IE007)

message (i.e. in terms of message structure and R/Cs), but the status of the movement at the Actual Office of Destination is still under [None](#) instead, the Office of Destination shall ask for the ‘Anticipated Arrival Record’ nationally.

The scenario starts after [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 16] If the movement information is available or found nationally, then the arrival of the goods is recorded in the system and consequently the Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) to the Office of Departure.

The state of the movement at the Office of Destination is set to [Arrival accepted](#). The state of the movement at the Office of Departure is set to [Arrived](#).

[Step 17] The Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Office of Guarantee in case guarantee types ‘0’ or ‘1’ are involved into the transit movement.

[Step 18] The timer [T_Await_Arrival_Advice](#) stops at the Office of Departure.

[Step 19] When simplifications apply for an authorised consignee (i.e. simplified procedure at Destination), the timer [T_Wait_Unloading_Permission](#) starts at the Office of Destination.

[Step 20] The timer at the Office of Destination [T_Wait_Unloading_Permission](#) expires.

[Step 21] Since the Office of Destination did not provide into the system the decision to control the consignment, while the [T_Wait_Unloading_Permission](#) timer was running, the Office of Destination then notifies the Trader at Destination that the unloading of the goods can be started by means of ‘Unloading Permission’ E_ULD_PER (IE043).

The state of the movement at the Office of Destination is set to [Unloading](#).

[Step 22] After unloading, the Trader at Destination sends the ‘Unloading Remarks’ E_ULD_REM (IE044) to the Office of Destination indicating that the unloading has been completed with no unloading remarks (i.e. the ‘Unloading Remarks’ E_ULD_REM (IE044) message contains the flags Unloading completion = ‘1-Yes’ & Conform = ‘1-Yes’).

[Step 23] The goods are released from transit. The Office of Destination sends the ‘Goods Released Notification’ E_GDS_REL (IE025) message to the Trader at Destination (i.e. “Release Indicator” flag is equal to “*1-Full release of goods (as per declaration) - Movement closed*”).

[Step 24] The Office of Destination then communicates the control results to the Office of Departure using ‘Destination Control Results’ C_DES_CON (IE018) message, which contains a satisfactory control results code (i.e. control result code ‘A2’).

The state of the movement at the Office of Destination is set to [Goods released](#). This is a final state.

The business flow of the transit operation continues from [\[Step 21\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

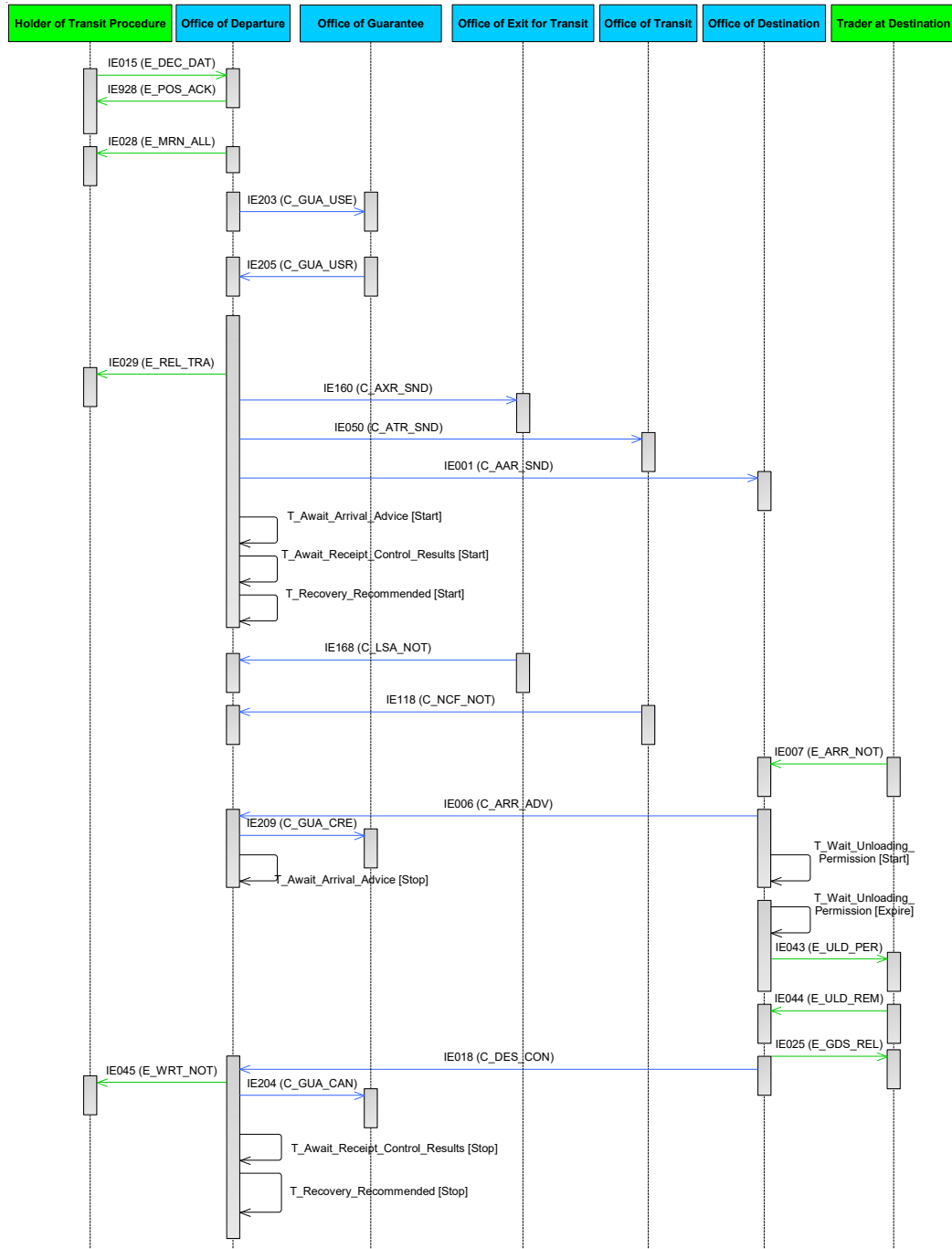


Figure 44: T-TRA-DES-A-004-Simplified procedure at destination

III.II.4.3 T-TRA-DES-A-011-Manual closure at Departure based on alternative proof

This scenario describes the case when the movement arrives at the Office of Destination, but the ‘Arrival Advice’ and the ‘Destination Control Results’ cannot be sent electronically. The movement is written off manually at the Office of Departure following the receipt of alternative proof from the Holder of the Transit Procedure that the goods have been released at Office of Destination.

The Office of Departure is not allowed to write off the movement manually, when the ‘Arrival Advice’ C_ARR_ADV (IE006) has been previously received. In such a case, the Office of Destination needs to send the Destination Control Results electronically, via the ‘Destination Control Results’ C_DES_CON (IE018) for the transit movement to close.

This scenario starts from [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

The Holder of the Transit Procedure presents evidence that the transit movement has arrived at its final destination. The Office of Departure checks the alternative evidence and decides that the movement can be written off manually.

The state of the movement at the Office of Departure is set to [Movement written off](#). This is a final state. Additionally, all involved Offices are informed as follows:

[Step 13] The ‘Forward Arrival Advice’ C_FWD_ARR (IE024) is sent to the Office(s) of Exit for Transit. The state of the movement at the Office of Exit for Transit is set to [Arrived](#). This is a final state.

[Step 14] The ‘Forward Arrival Advice’ C_FWD_ARR (IE024) is sent to the Office(s) of Transit. The state of the movement at the Office of Transit is set to [Arrived](#). This is a final state.

[Step 15] The ‘Forward Arrival Advice’ C_FWD_ARR (IE024) is sent to the Office(s) of Destination. The state of the movement at the Office of Destination is set to [Arrived](#). This is a final state.

[Step 16] The ‘Write-Off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

[Step 17] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

[Step 18] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure stops.

[Step 19] The timer [T_Recovery_Recommended](#) at the Office of Departure stops.

[Step 20] The ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) is sent to the Office of Guarantee.

The business flow of the transit operation ends here.

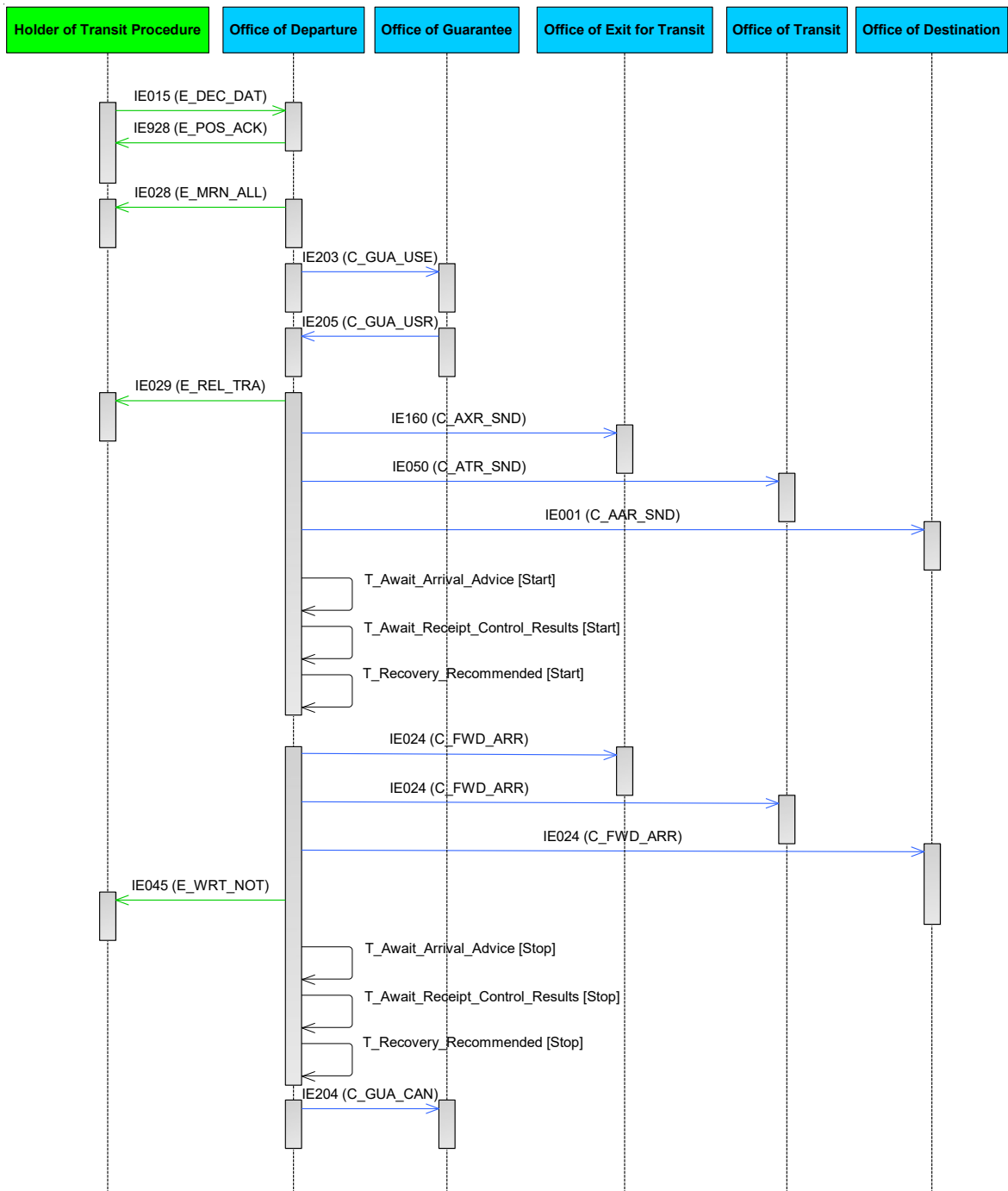


Figure 45: T-TRA-DES-A-011-Manual closure at Departure based on alternative proof

III.II.4.4 T-TRA-DES-A-006-Unloading Permission Received – Unloading Remarks

When the timer [Waiting for Automatic Unloading](#) expires, it means that the Office of Destination decides no control and that the authorised consignee can start unloading the goods. So, upon its expiration, the ‘Unloading Permission’ E_ULD_PER (IE043) message is automatically sent to the authorised consignee to allow him/her the unloading at the authorised place. Under no circumstances, the authorised consignee can start the unloading of the goods at the authorised place before the reception of the ‘Unloading Permission’ E_ULD_PER (IE043) message.

When the authorised consignee completes the unloading or because he/she just likes to inform the Office of Destination about the status of the unloading, he/she sends the ‘Unloading Remarks’ E_ULD_REM (IE044) message to the Office of Destination, which contains the following data elements:

- The data element ‘Conform’ indicates the presence / no presence of Unloading Remarks;
- The data element ‘State of Seals ok’ provides information about the state of the seals;
- The data element ‘Unloading completion’ indicates whether unloading is completed or not.

Based on the above, we have the following possibilities after the Office of Destination receives the ‘Unloading Remarks’ E_ULD_REM (IE044) message from the authorised consignee:

- A. If unloading is completed (i.e. Unloading completion = ‘1-Yes’), the state of seals is in good condition (i.e. State of seals = ‘1-Yes’) and we have no presence of Unloading Remarks (i.e. Conform flag = ‘1-Yes’), then the Office of Destination sends the ‘Destination Control Results’ C_DES_CON (IE018) message to the Office of Departure with satisfactory control results (i.e. Control Result Code is set to ‘A2’);
or
- B. If unloading is completed (i.e. Unloading completion = ‘1-Yes’), the state of seals is in good condition (i.e. State of seals = ‘1-Yes’) but we have presence of Unloading Remarks (i.e. Conform flag = ‘0-No’), then the Office of Destination needs to decide whether to control or not the transit movement;
or
- C. In all other cases that there are unloading remarks (i.e. Conform flag = ‘0-No’) and/or the state of seals is not in good condition (i.e. State of seals = ‘0-No’) and/or the unloading is not completed (i.e. Unloading completion = ‘0-No’), the Office of Destination needs to decide whether to control or not the transit movement. In case “no control” is decided, the Office of Destination sends a new ‘Unloading Permission’ E_ULD_PER (IE043) message, and the status of the transit movement is set to the status “Unloading”.

For the above possibility A please refer to [\[Step 22\]](#) of the scenario [T-TRA-DES-A-004-Simplified procedure at destination](#).

This scenario examines the other two (2) possibilities (i.e. B and C) where the Office of Destination needs to decide about control of the transit movement based on the unloading remarks received from the authorised consignee and starts from [\[Step 19\]](#) of the [T-TRA-DES-A-004-Simplified procedure at destination](#).

[Step 20] The timer at the Office of Destination [T_Wait_Unloading_Permission](#) expires.

[Step 21] Since the Office of Destination did not provide into the system the decision to control the consignment, while the [T_Wait_Unloading_Permission](#) timer was running, the Office of Destination then notifies the authorised consignee that the unloading of the goods can be started by means of the ‘Unloading Permission’ E_ULD_PER (IE043) message.

The state of the movement at the Office of Destination is set to [Unloading](#).

[Step 22] The authorised consignee sends the ‘Unloading Remarks’ E_ULD_REM (IE044) message to the Office of Destination indicating either the discovery of irregularities into the transit movement and/or non-completion of the unloading of the goods (i.e. please refer to the possibilities B and C above).

The status of the movement is set to [Unloading Remarks](#).

The Office of Destination has either to decide whether to control the transit movement or not to control the transit movement and allow the unloading in case such value is indicated in the received ‘Unloading Remarks’ E_ULD_REM (IE044) message (i.e. Unloading completion = ‘0-No’).

The business flow of the transit procedure at the Office of Destination continues with any of the following alternatives:

- In case of no control decision (i.e. with / without unloading remarks) or control after unloading remarks with satisfactory control results (i.e. ‘A1’ or ‘A2’ or ‘A5’), the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#); or
- In case of control after unloading remarks with unsatisfactory control results (i.e. ‘B1’) at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination](#); or
- In case the unloading is not completed, and the Office of Destination decides no control and allows the authorised consignee to continue the unloading, the business flow of the transit operation continues by the Office of Destination sending a new ‘Unloading Permission’ E_ULD_PER (IE043) message to the authorised consignee.

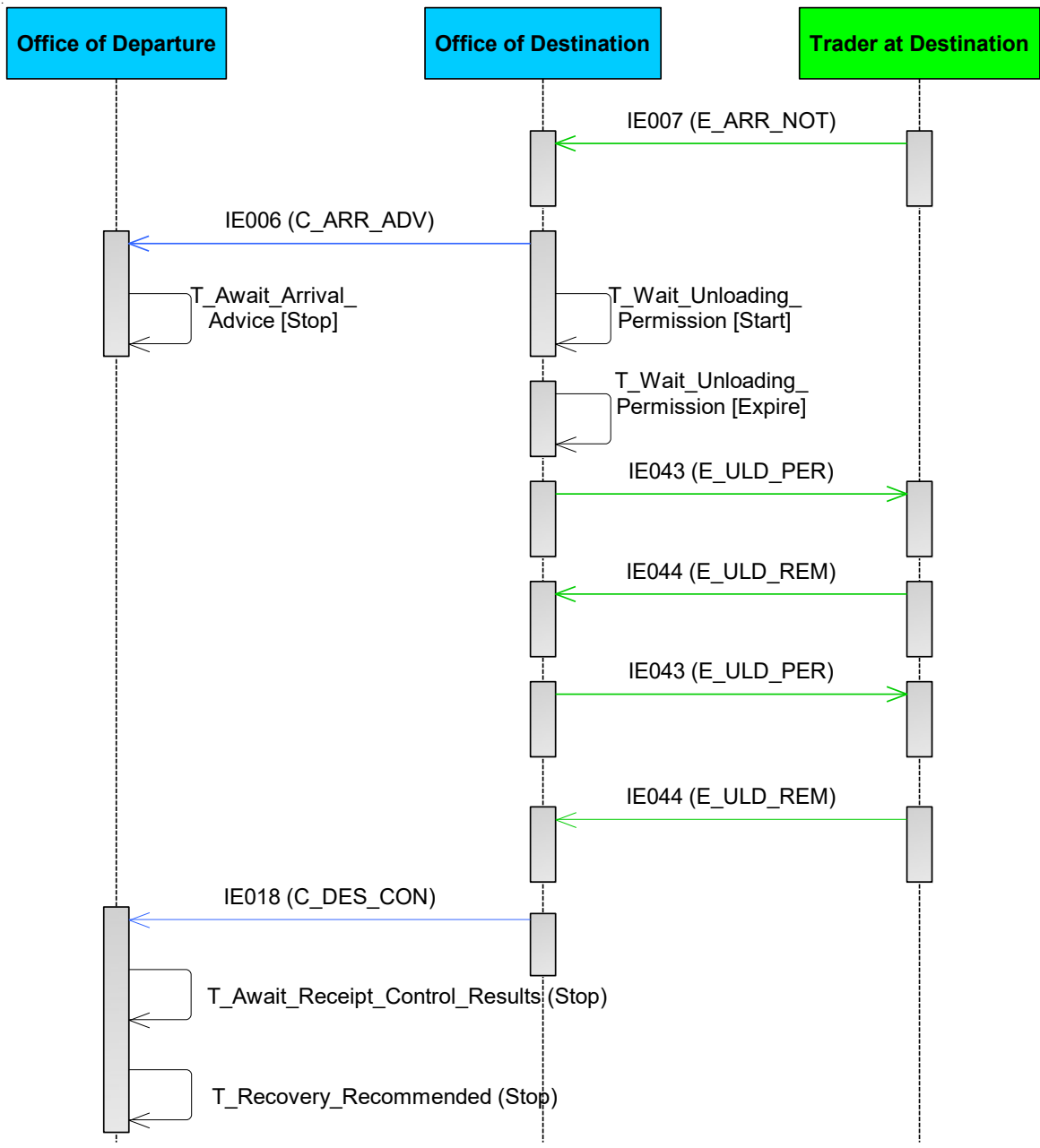


Figure 46: T-TRA-DES-A-006-Unloading permission received–unloading remarks

III.II.4.5 T-TRA-DES-E-007-Unloading remarks rejected

This scenario applies to simplified procedure only and describes what happens when the Office of Destination rejects the invalid ‘Unloading Remarks’ E_ULD_REM (IE044) message (i.e. in terms of structure and R/Cs) received by the authorised consignee.

The scenario starts after [\[Step 20\]](#) of the [T-TRA-DES-A-004-Simplified procedure at destination](#).

[Step 21] Since the Office of Destination did not provide into the system the decision to control the consignment, while the [T_Wait_Unloading_Permission](#) timer was running, the Office of Destination then notifies the Trader at Destination that the unloading of the goods can be started by means of ‘Unloading Permission’ E_ULD_PER (IE043).

The state of the movement at the Office of Destination is set to [Unloading](#).

[Step 22] After unloading, the Trader at Destination sends an invalid ‘Unloading Remarks’ E_ULD_REM (IE044) message to the Office of Destination.

[Step 23] The Office of Destination rejects these remarks by sending back a ‘Rejection from Office of Destination’ E_DES_REJ (IE057) message (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The normal way of proceeding is then to re-send the ‘Unloading Remarks’ E_ULD_REM (IE044) until it is acceptable to the Office of Destination.

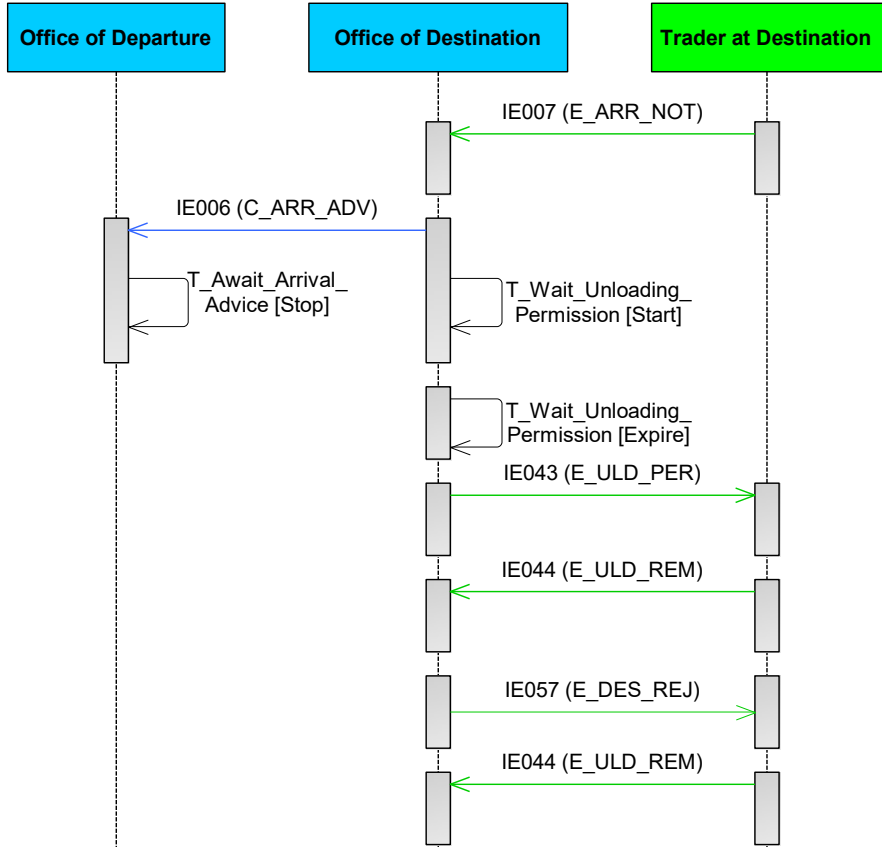


Figure 47: T-TRA-DES-E-007-Unloading remarks rejected

III.II.4.6 T-TRA-DES-E-003-Rejection of arrival notification

This scenario describes the case when the Trader at Destination sends the ‘Arrival Notification’ E_ARR_NOT (IE007) to an Actual Office of Destination that is invalid in terms of message structure and R/Cs.

The scenario starts after [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 16] The Trader at Destination sends the ‘Arrival Notification’ E_ARR_NOT (IE007) to the Office of Destination and NCTS performs validation of this message. If the ‘Arrival Notification’ E_ARR_NOT (IE007) has been found invalid after validation (i.e. in terms of message structure and R/Cs), NCTS rejects it.

[Step 17] The Office of Destination notifies the Trader at Destination by sending the ‘Rejection from Office of Destination’ E_DES_REJ (IE057) message (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The state of the movement at the Office of Destination is [AAR Created](#).

[Step 18] The Trader at Destination sends again another ‘Arrival Notification’ E_ARR_NOT (IE007) to the Office of Destination and NCTS performs validation of this message. This time, the ‘Arrival Notification’ E_ARR_NOT (IE007) has been found valid after validation (i.e. in terms of message structure and R/Cs), NCTS accepts it.

The state of the movement at the Office of Destination is set to [Arrival accepted](#).

[Step 19] In case of simplified procedure at the Office of Destination, the timer [T_Wait_Unloading_Permission](#) starts.

[Step 20] The Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) message to the Office of Departure.

The business flow of the transit procedure continues from [\[Step 18\]](#) of the [T-TRA-DES-M-001-Arrival notification valid](#).

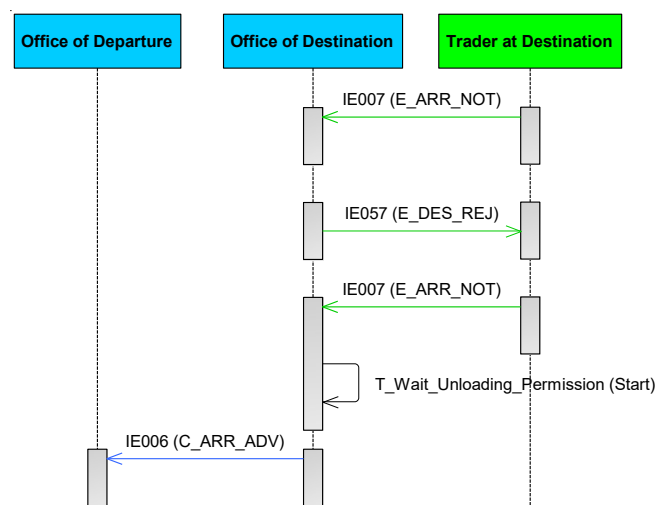


Figure 48: T-TRA-DES-E-003-Rejection of arrival notification

III.II.4.7 Control of the Goods at Destination

After receiving the ‘Arrival Notification’ E_ARR_NOT (IE007) message from the Trader at Destination (normal or simplified procedure), the Office of Destination registers the arrival and the “Arrival Advice” C_ARR_ADV (IE006) is sent to the Office of Departure. Then, the Customs Officer at Destination takes decision whether the goods are to be controlled or not. If the decision is to control, then physical control is to be performed. The decision to control is always recorded in NCTS. It should be noted that if the goods are under simplified procedure, the timer “Wait for automatic unloading permission” is stopped and the status of the movement is set to “Under Control”.

The outcome of control can be either satisfactory or unsatisfactory:

- A. In case of satisfactory control results, the goods are released and the ‘Destination Control Results’ C_DES_CON (IE018) message is sent to the Office of Departure containing the Control Result Code ‘A1-Satisfactory’ or ‘A5-Minor Discrepancies’. In case of no control, the goods are released and the ‘Destination Control Results’ C_DES_CON (IE018) message is sent to the Office of Departure containing the Control Result Code ‘A2-Considered Satisfactory’. Upon reception of the ‘Destination Control Results’ C_DES_CON (IE018) message, the movement is written off at the Office of Departure. Please refer to [\[Step 19\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) scenario that already describes what happens when the Office of Destination sends the ‘Destination Control Results’ C_DES_CON (IE018) message with satisfactory control results at the Office of Destination (i.e. with control result code ‘A1 or ‘A2’ or ‘A5’);
- B. In case of unsatisfactory control results, the ‘Destination Control Results’ C_DES_CON (IE018) message is sent to the Office of Departure containing the Control Result Code ‘B1-Major Discrepancies’. This means that the goods cannot be released from transit until the major discrepancies are fully resolved. Nevertheless, at the discretion of the Office of Destination, some of the goods at the Office of Destination can be released from Transit. On such occasion, the transit movement is not closed at the Office of Departure (i.e. not discharged)²¹ and the Guarantee remains locked until the major discrepancies are resolved. It should be stressed that the liability of the Holder of the Transit Procedure remains until all major discrepancies in the destination control results are resolved. If the Office of Destination is located within EU, and despite the fact that the major discrepancies are not yet resolved, those goods that can be released to the next procedure:
 - a. under the External transit, the goods are moved to Temporary Storage, before a possible release to free circulation;
 - b. under the Internal transit the Union goods don't need to be released for free circulation, but they can proceed to other business operations (e.g. processing, or sale).

Apart from the above cases, excess goods in the transit declaration may also be discovered by the Actual Office of Destination. The term ‘goods in excess’ refers to the goods discovered while performing control at the Actual Office of Destination whose:

²¹ Article 215 (2) UCC: The transit procedure shall be discharged by the customs authorities when they are in a position to establish, on the basis of a comparison of the data available to the customs office of departure and those available to the customs office of destination, that the procedure has ended correctly.

- A. commodity code is not included in the original declaration message received by the Actual Office of Destination (i.e. through the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) or ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) messages), and/or;
- B. commodity code is included in the original declaration (i.e. through the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) or ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) messages) but whose actual net mass exceeds the declared net mass as per the original transit declaration.

In case of ‘goods in excess’, the following control result codes may be assigned to the whole transit declaration (also to be sent to the Office of Departure through the ‘Destination Control Results’ C_DES_CON (IE018)):

- A. ‘B1’ control result code: Customs Debt incurred and thus ‘must be included in the ‘Destination Control Results’ C_DES_CON (IE018) meaning that:
 - a. All Goods (declared and delivered) are released from transit;
 - b. Recovery procedure should be initiated due to the existence of excess goods (i.e. competency to be determined based on which authority can collect the debt);
 - c. Movement is not written off until recovery is completed.
- B. ‘A5’ control result code: Customs Debt incurred but extinguished and thus ‘A5’ control result code must be included into the ‘Destination Control Results’ C_DES_CON (IE018) meaning that:
 - a. All goods (declared and delivered) are released from transit;
 - b. Transit movement can be written off at the Office of Departure (i.e. release of guarantee is also performed);
 - c. Excess goods are placed in a subsequent customs procedure.

The following scenarios describe what happens when major discrepancies are detected during control at the Office of Destination.

III.II.4.7.1 T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination – Resolved before the expiration of resolution timer

The unsatisfactory control results code (i.e. ‘Control Result Code’ = “B1”) is included in the destination control results message when there are goods of the consignment that are missing, or other major discrepancies are discovered during control after the consignment has been presented at the Office of Destination (i.e. transit procedure ended incorrectly). In turn, the Office of Destination may decide to release some of the goods to the next customs procedure. But, in this instance, the transit movement cannot be closed since not all major discrepancies are resolved.

According to this scenario, when major discrepancies are reported in the destination control results (i.e. ‘Control Result Code’ = “B1”), they are resolved within thirteen (13) days from the day the “Destination Control Results” C_DES_CON (IE018) message is sent to the Office of Departure and that their resolution justifies that the movement can be closed. Hence, the Office of Departure notifies the Office of Destination with the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) message having the flag ‘Discrepancies resolved’ equal to ‘1-Discrepancies resolved at departure, movement written-off’.

The scenario starts after [\[Step 18\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

Control is performed at the Office of Destination and major discrepancies are reported into the destination control results.

[Step 19] The message ‘Destination Control Results’ C_DES_CON (IE018) is sent to the Office of Departure with control result code that indicates unsatisfactory control results (i.e. ‘B1’).

The state of the movement at the Office of Destination is set to [Waiting for discrepancies resolution](#), while the state of the movement at the Office of Departure is set to [Movement under resolution](#).

[Step 20] The Office of Destination sends the ‘Goods Release Notification’ E_GDS_REL (IE025) message to the Trader at Destination in order to notify them that the transit procedure has not ended correctly at the Office of Destination due to the existence of major discrepancies in the destination’s control results (i.e. Release indicator is NOT equal to ‘1- Full release of goods (as per declaration) - Movement closed’).

However, the Office of Destination that sends this first ‘Goods Release Notification’ E_GDS_REL (IE025) message indicates those consignment items (i.e. type and quantity) of the transit movement, if any, that can be released to the next procedure (i.e. Release indicator is set to ‘2- Partial release of goods’). Indicatively, if the Office of Destination is located in the Union, the non-Union goods can be placed to the temporary storage or in the case of Union Goods, they can be released for other activities (e.g. sale).

Alternatively, the Office of Destination may indicate in the first ‘Goods Release Notification’ E_GDS_REL (IE025) message that no consignment item of the transit movement can be released to the next procedure (i.e. Release indicator is set to ‘4- No release’).

[Step 21] Upon reception of the message ‘Destination Control Results’ C_DES_CON (IE018), that shows that the transit procedure has ended incorrectly, the Office of Departure notifies the Holder of the Transit Procedure that major discrepancies are reported in the destination control results with the ‘Discrepancies’ E_DIS_SND (IE019) message. It should be noted that the sorting out and the resolution of the discrepancies is a paper-based procedure that is handled outside NCTS.

[Step 22] Upon reception of the ‘Destination Control Results’ C_DES_CON (IE018) message, the timer [T_Await Receipt Control Results](#) at the Office of Departure stops and the **[Step 23]** the timer [T_Discrepancies Resolution](#) at the Office of Departure starts.

[Step 24] When the Office of Departure resolves the major discrepancies in the destination control results, the Office of Departure then notifies the Office of Destination with the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049), having the flag ‘Discrepancies resolved’ equal to ‘1- Discrepancies resolved at departure, movementwritten-off’.

The state of the movement at the Office of Departure is set to [Movement written off](#), while the state of the movement at the Office of Destination is set to [Goods released](#).

This means that the movement can be discharged at the Office of Departure, and the guarantee amount used to secure the transit movement can be released.

[Step 25] The Office of Destination sends the ‘Goods Release Notification’ E_GDS_REL (IE025) message to the Trader at Destination in order to notify them that the transit procedure has ended successfully, and for instance all the goods can be released from transit (i.e. Release indicator is equal to ‘1- Full release of goods (as per declaration) - Movement closed’).

*NOTE: Alternatively, in case there are house consignments/ consignment items that cannot be justified as released from the transit procedure when the transit movement is closed, the Office of Destination may send the ‘Goods Release Notification’ E_GDS_REL (IE025) message specifying only those goods that are released from Transit, by having the Release indicator equal to ‘3-Partial release of goods - Movement closed’ --- **CONSIGNMENT DATA Group will be used to indicate the goods that are partially released and Movement is closed**’.*

[Step 26] The Office of Departure sends the ‘Write-Off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure for the discharge of the transit procedure and the release of the guarantee amount used to secure the transit movement.

[Step 27] Consecutively, the Office of Departure sends the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message to the Guarantee Management System(s) to release the guarantee(s).

[Step 28] The timer [T_Discrepancies_Resolution](#) at the Office of Departure stops and **[Step 29]** the timer [T_Recovery_Recommended](#) at the Office of Departure stops.

Upon completion of the above steps, the business flow of the transit procedure ends here.

NOTE: The Offices of Transit and Exit for Transit have been omitted from this business scenario for simplicity reasons, as they are not relevant for this process.

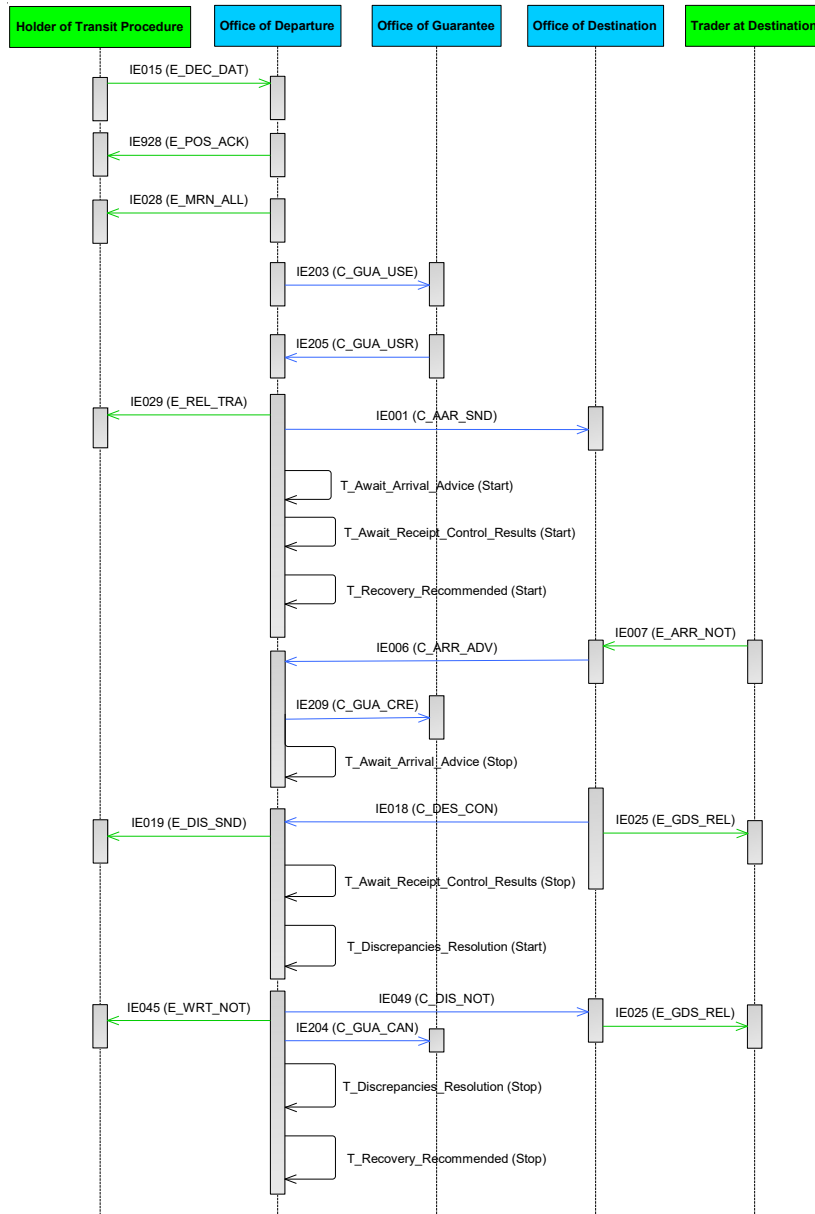


Figure 49: T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination – Resolved before the expiration of resolution timer

III.II.4.7.2 ***T-TRA-DES-A-013-Major Discrepancies found during control at the Office of Destination – Major Discrepancies are confirmed– Recovery to be started***

This scenario describes the case where major discrepancies reported in the destination control results (*i.e.* ‘Control Result Code’ = “B1”) which are confirmed but these major discrepancies justify the initiation of recovery. In such a situation, the Office of Departure notifies the Office of Destination with the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) message having the flag ‘Discrepancies resolved’ set to ‘2 - *Under investigation at departure*’.

The scenario starts after [Step 23\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination – Resolved before the expiration of resolution timer](#).

The Office of Departure confirms the discrepancies indicated in the destination control results and that those major discrepancies justify recovery.

[Step 24] In such an occasion, the Office of Departure notifies the Office of Destination by sending the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) having the flag ‘Discrepancies resolved’ equal to the value: ‘2 - *Under investigation at departure*’.

The state of the movement at the Office of Departure is set to [Recovery recommended](#), while the state of the movement at the Office of Destination is set to [Under recovery decision](#).

[Step 25] The timer [T Discrepancies Resolution](#) at the Office of Departure stops.

NOTE: The master timer [T Recovery Recommended](#) at the Office of Departure continues running (i.e. it never stops until expiration).

Upon completion of the above steps, the business flow of the transit procedure continues with recovery (please refer to Recovery scenarios in sub-section III.IV.2.2).

NOTE: The Offices of Transit and Exit for Transit have been omitted from this business scenario for simplicity reasons, as they are not relevant for this process.

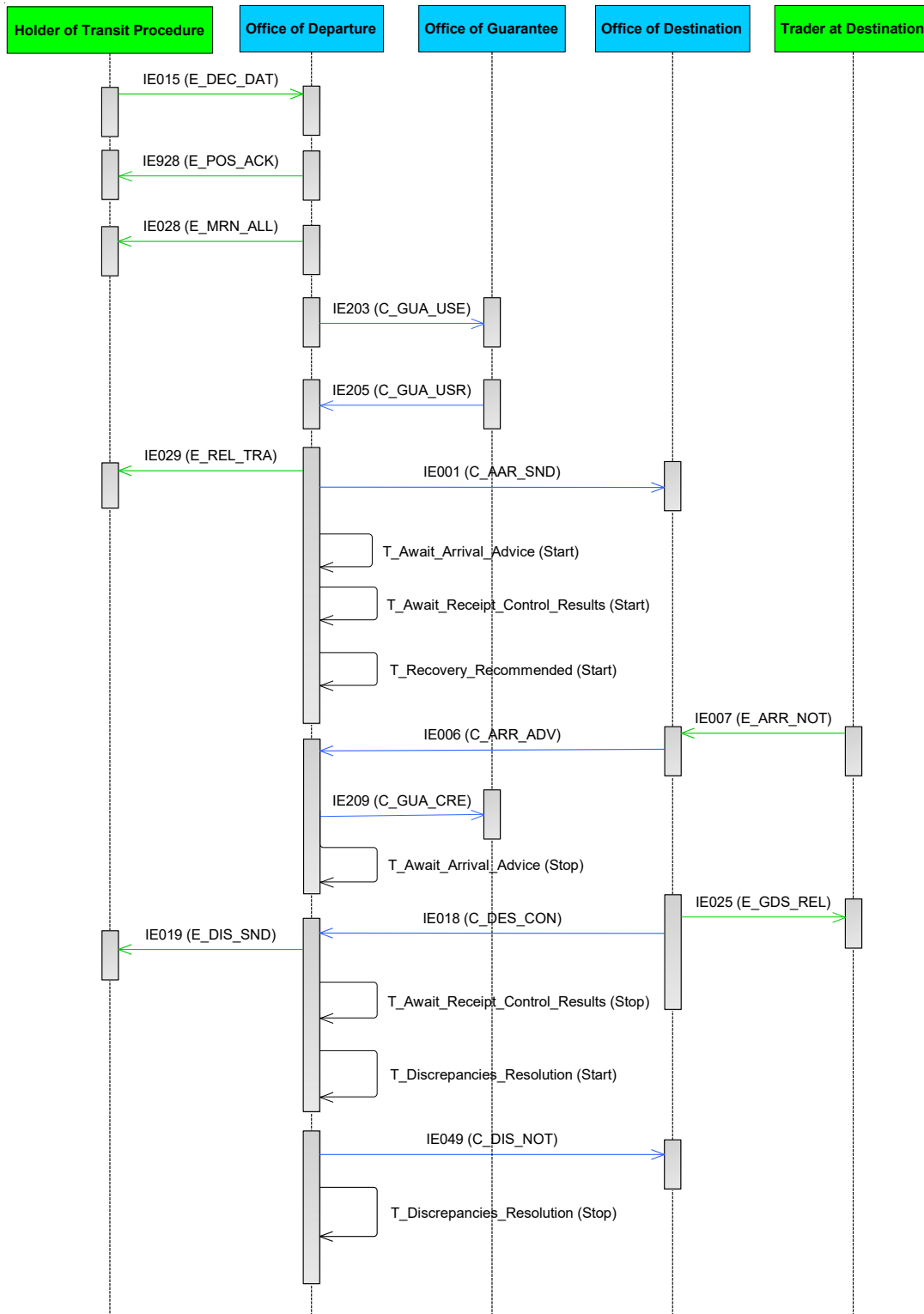


Figure 50: T-TRA-DES-A-013- Major Discrepancies found during control at the Office of Destination – Major Discrepancies are confirmed– Recovery to be started

III.II.4.7.3 T-TRA-DES-A-012-Major Discrepancies found during control at the Office of Destination – Resolved after the expiration of resolution timer

In contrast with the previous two (2) scenarios (*i.e.* [T-TRA-DES-A-008](#) & [T-TRA-DES-A-013](#)), this scenario describes what happens when major discrepancies reported in the destination control results (*i.e.* ‘Control Result Code’ = “B1”) are NOT resolved within thirteen (13) days from the day the “Destination Control Results” C_DES_CON (IE018) message is received by the Office of Departure.

Upon the expiration of the [T_Discrepancies_Resolution](#) timer, the Office of Departure notifies accordingly the Office of Destination with the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) message (*i.e.* having the flag ‘Discrepancies resolved’ equal to ‘3- Timer (13 days) has expired, no resolution of discrepancies. Investigation continues’), since there is still no settlement of the major discrepancies from the Office of Destination. Nevertheless, this scenario assumes that the major discrepancies are finally resolved overdue (*i.e.* instead of the transit movement to proceed to recovery), that is, after the thirteen-day period. Thus, the transit movement can be effectively closed.

The scenario starts after [Step 23\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination – Resolved before the expiration of resolution timer](#).

[Step 24] A period of thirteen (13) days has passed from the day that the IE018 (with control code ‘B1’) is received by the Office of Departure, but the major discrepancies in the destination control results still remain unresolved, meaning that the timer [T_Discrepancies_Resolution](#) at the Office of Departure expires.

[Step 25] The Office of Departure automatically notifies the Office of Destination by sending the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) having the flag ‘Discrepancies resolved’ equal to ‘3- Timer (13 days) has expired, no resolution of discrepancies. Investigation continues’. This means that the movement cannot yet be discharged at the Office of Departure, and recovery most probably needs to be initiated since the major discrepancies are not yet resolved (*i.e.* after thirteen (13) days).

The state of the movement at the Office of Departure is set to [Movement under resolution](#), while the state of the movement at the Office of Destination is set to [Under recovery decision](#).

[Step 26] Eventually, the major discrepancies are resolved after the timer [T_Discrepancies_Resolution](#) expires at the Office of Departure. Consequently, the Office of Departure notifies again the Office of Destination with the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) having this time the flag ‘Discrepancies resolved’ equal to ‘1- Discrepancies resolved at departure, movement written-off’.

The state of the movement at the Office of Departure is set to [Movement written off](#), while the state of the movement at the Office of Destination is set to [Goods released](#).

The movement can now be discharged at the Office of Departure, and the guarantee amount used to secure the transit movement can be released.

The business flow of the transit procedure continues from [\[Step 25\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination – Resolved before the expiration of resolution timer](#).

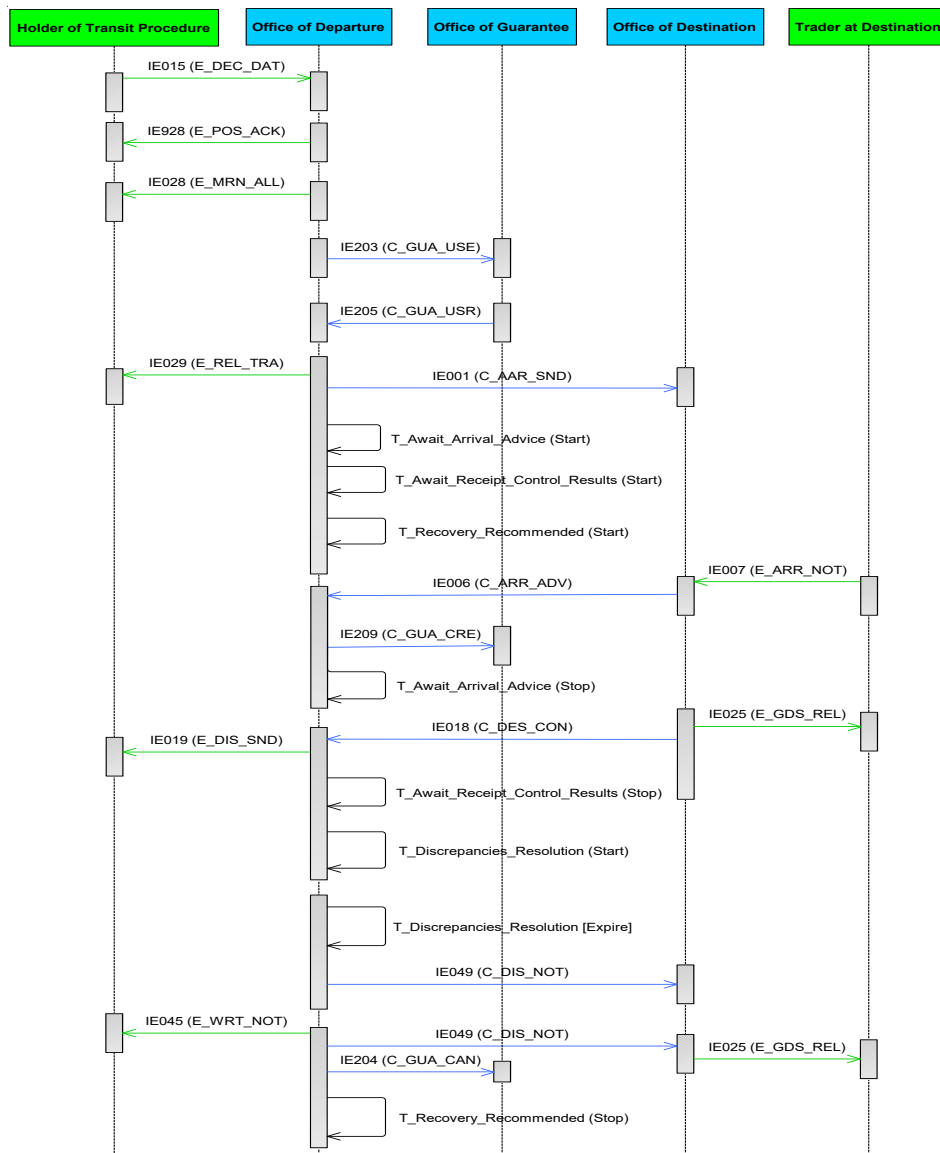


Figure 51: T-TRA-DES-A-012-Major Discrepancies found during control at the Office of Destination – Resolved after the expiration of resolution timer

NOTE: After the timer [T Discrepancies Resolution](#) expires, the status at the Office of Departure remains [Movement under resolution](#). Subsequently, the Office of Departure has the following alternatives:

- a. Resolve the major discrepancies and the movement to be written-off;*
- b. Confirm the major discrepancies and start recovery;*
- c. Wait for the expiration of the master timer [T Recovery Recommended](#) and start recovery.*

NOTE: The Offices of Transit and Exit for Transit have been omitted from this business scenario for simplicity reasons, as they are not relevant for this process.

III.II.4.8 Diversion at Office of Destination

NCTS-P5 supports International and National Diversions. An international diversion occurs when the goods are presented in another country than the Country of the “Declared” Office of Destination. A national diversion occurs when the goods are presented in the Country of the “Declared” Office of Destination but in another Customs Office than the “Declared” one.

When the consignment arrives at an “Actual” Office of Destination (i.e. the presentation Office), the “Actual” Office of Destination looks for the ‘Anticipated Arrival Record’ and if it does not find it, it tries to find it nationally. If it is also not available nationally, it notifies the Office of Departure about the diversion. The Office of Departure in most cases sends the ‘Anticipated Arrival Record’ and after it receives the arrival advice from the “Actual” Office of Destination, it notifies then the “Declared” Office of Destination that the movement arrived elsewhere.

The Office of Departure supervises the entire route of the consignment. This route is equal to a collection of Office(s) of Transit and Office(s) of Exit for Transit, plus one Office of Destination. For a given movement there may be zero (0) or more Offices of Transit. Additionally, zero (0) or more Office(s) of Exit for Transit may be declared, which is the last Customs Office before the consignment leaves the Security Area. But there is always only one (1) Office of Destination where the consignment ends its journey.

The information related to the incidents that occurred during the journey of the movement are sent to the Risk Analysis Systems for risk evaluation. Actually, this incident information are contained in the ‘Anticipated Arrival Record Response’ (C_AAR_RSP) IE003 message.

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).
- A number of Offices of Exit for Transit where the consignment may cross the last border before leaving the Security Area.
- One (1) Office of Destination, where the consignment is foreseen to arrive (referred to as declared Office of Destination).

The above Offices declared by the Holder of the Transit Procedure into the transit declaration are called declared Offices.

These declared Office(s) of Transit, Office(s) of Exit for Transit and Office of Destination will never change during the lifetime of the movement (as they are indicated in the transit declaration).

Diversion at the Office of Destination takes place when the arrival of consignment is reported at a non-declared Office of Destination (referred to as actual Office of Destination)²².

There are cases that the diversion to an Actual Office of Destination might be rejected by the Office of Departure (e.g. the movement has already been invalidated).

²² The ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message is not sent to the Declared Office of Destination if it belongs to the same NA as the Actual Office of Destination.

III.II.4.8.1 T-TRA-DES-A-009-Diversion at Office of Destination accepted

The scenario starts after [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 16] Upon reception of the ‘Arrival Notification’ E_ARR_NOT (IE007), and since the MRN is unknown into this Actual Office of Destination and unknown nationally as well, the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) is sent to the Office of Departure.

The state of the movement at the Actual Office of Destination is set to [AAR requested](#). The state of the movement at the Office of Departure remains [Movement released](#).

[Step 17] The Office of Departure replies with the positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), which contains the movement information and that also means that the diversion to this Actual Office of Destination is accepted.

Additionally, when a positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 18] The Actual Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) to the Office of Departure.

The state of the movement at the Actual Office of Destination is set to [Arrival accepted](#). The state of the movement at the Office of Departure is set to [Arrived](#).

[Step 19] The Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) to the Office of Guarantee in case guarantee type ‘0’ or ‘1’ are involved into the transit movement.

[Step 20] The Office of Departure then notifies the Declared Office of Destination of the arrival of the consignment at another Office of Destination by sending the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) in case the Declared Office of Destination does not belong to the same National Administration from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received.

[Step 21] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

The business flow of the transit operation continues with the control procedure at the Office of Destination and the dispatch of the ‘Destination Control Results’ C_DES_CON (IE018) message to the Office of Departure by taking into consideration one (1) of the following possibilities:

- In case of normal procedure at the Office of Destination with no control or control with satisfactory control results (i.e. ‘A1’ or ‘A2’ or ‘A5’), the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#); or

- In case of simplified procedure at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-004-Simplified procedure at destination](#); or
- In case of control with unsatisfactory control results (i.e. ‘B1’) at the Office of Destination, the business flow of the transit operation continues from [\[Step 19\]](#) of the [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination](#).

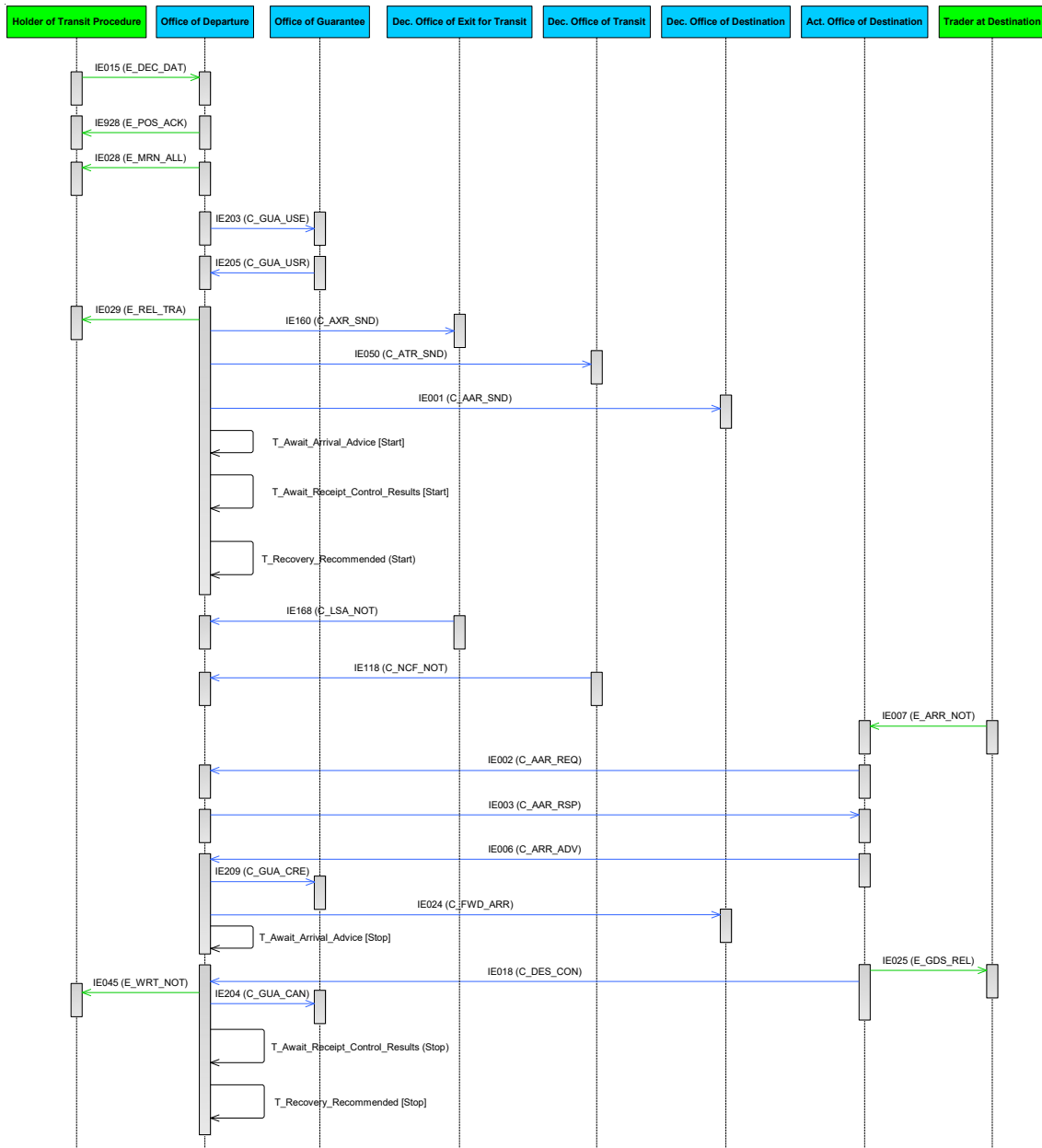


Figure 52: T-TRA-DES-A-009-Diversion at Office of Destination accepted

III.II.4.8.2 T-TRA-DES-A-010-Diversion at Office of Destination rejected

The Trader at Destination sends the ‘Arrival Notification’ E_ARR_NOT (IE007) to the Office of Destination and NCTS performs validation of this message. If it is valid in terms of message structure and R/Cs, NCTS checks whether the movement information is available in this Actual Office of Destination or, if not, then it looks for it.

The (required) flag ‘Binding Itinerary’ identifies if the goods must be moved from the Customs Office of Departure to the Customs Office of Destination along an economically justified itinerary (via the countries listed in the CC015C) (See also Article 298(2) IA).

If the declaration is flagged with value '1' as ‘Binding Itinerary’, the Data Group <COUNTRY OF ROUTING OF CONSIGNMENT> includes a sequence of country codes. The NCTS movement is not supposed to deviate from that itinerary. A deviation would lead to a rejection of the requested diversion. For example, if the Data Group <COUNTRY OF ROUTING OF CONSIGNMENT> includes the codes CZ-SK-HU-RO-BG-TR, the NCTS movement is not supposed to leave the EU in HR to enter RS. The Data Group <COUNTRY OF ROUTING OF CONSIGNMENT> should include at least the country code of the Country of Departure and the country code of Country of Destination (unless identical), and the countries of transit, if applicable.

Nevertheless, when an Incident for the deviation from the Binding Itinerary to a specific country is registered prior to any diversion request sent by any Actual Office of Destination that belongs to this specific country, then the Office of Departure will respond with a positive diversion transit record to the Actual Office of Destination (*for more details please refer to the scenario [T-TRA-EXC-A-008-Deviation from the Binding Itinerary at Actual Office of Transit - Movement is allowed Diversion after registering the Incident](#)*).

Therefore, the scenario starts after [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 16] The movement information is neither available in this Actual Office of Destination nor nationally, and thus the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) is sent to the Office of Departure.

The state of the movement at the Actual Office of Destination is set to [AAR requested](#). The state of the movement at the Office of Departure remains [Movement released](#).

[Step 17] The Office of Destination receives the ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), which contains no movement information but a rejection reason code.

The state of the movement at the Actual Office of Destination is set to [Diversion rejected](#). This is a final state. The state of the movement at the Office of Departure remains [Movement released](#).

[Step 18] The Office of Destination notifies the Trader at Destination about the rejected response from the Office of Departure with the ‘Rejection from Office of Destination’ E_DES_REJ (IE057) message.

From the perspective of the Actual Office of Destination, the business flow of the transit operation ends here. No new 'Arrival Notification' E_ARR_NOT (IE007) for the specific MRN by the Trader at Destination is possible afterwards at this Actual Office of Destination.

From the perspective of the Office of Departure, the business flow of the transit operation continues as described in the scenario [T-TRA-DEP-A-011-Transit Movement is released for transit.](#)

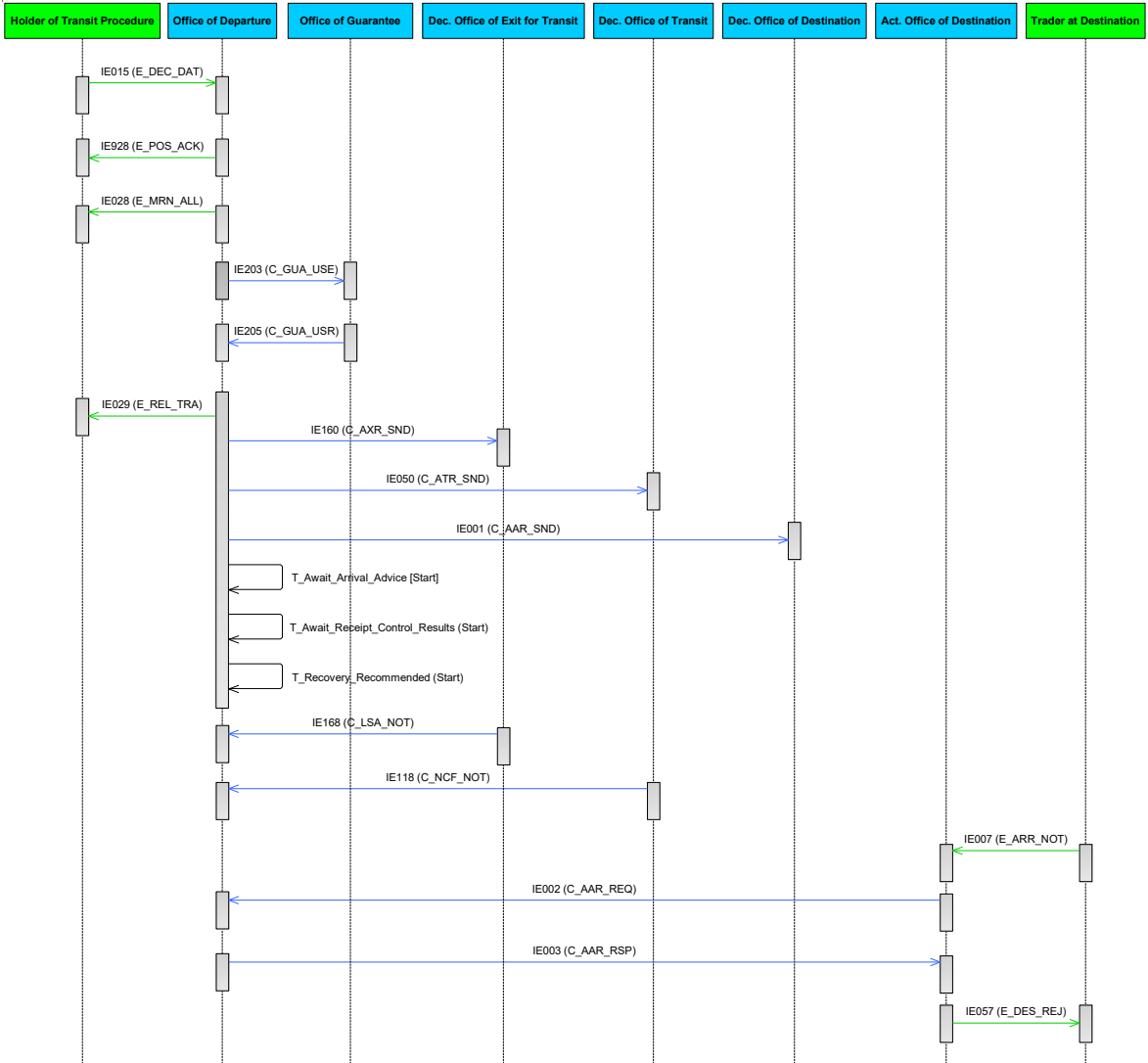


Figure 53: T-TRA-DES-A-010-Diversion at Office of Destination rejected

III.II.5 Specific Scenarios for Incidents “En Route” (INC)

During the movement of goods under the Union or common transit procedure, incidents En-Route can happen. For instance, we may have one or more of the following incidents:

- the carrier is obliged to deviate from the prescribed itinerary due to circumstances beyond their control;
- seals are broken or tampered during transportation for reasons beyond the carrier's control;
- goods are transferred from one means of transport to another;
- imminent danger necessitates immediate partial or total unloading of the sealed means of transport;
- an event occurs which may affect the ability of the Holder of the Transit Procedure or the carrier to comply with their obligations;
- etc.

Without any undue delay after the incident, the carrier presents the goods together with the MRN of the transit declaration to the nearest customs Office of the National Administration in whose territory the means of transport is located at that time²³. This customs Office is named the Office of Incident Registration.

It should be noted that if the nearest Customs Office for the registration of incident(s) is also involved in the movement as Customs Office of Transit or as Customs Office of Exit for Transit or as Customs Office of Destination, then this Customs Office **acts first** as a Customs Office of Incident Registration **and then** as involved Customs Office of the movement. The main reason is that there should be a proper ordering of the actions performed when an involved office acts as Office of Incident Registration as well. In this case, the incident registration takes precedence over the normal transit formalities of the involved office.

Notes:

- 1. The nearest Customs Office for the registration of incident(s) should be located in the same Contracting Party as the place where the incident occurred. The message ‘Incident Notification’ C_INC_NOT (IE180) should not be rejected, if it is sent by the Customs Office located on the other side of the border. This should remain exceptional cases.*
- 2. In case the transit movement arrives at a Customs Office of Incident Registration that does not possess the destination role (‘DES’) and this Customs Office decides that the transit movement needs to stop due to the significance of the incident(s), then this Customs Office of Incident Registration sends the ‘Incident Notification’ C_INC_NOT (IE180) message to the Office of Departure, but the arrival procedure is handled by another nearby Customs Office (to the Office of Incident Registration) that possesses the destination role (‘DES’) and will act as Actual Office of Destination.*
- 3. The Office of Departure should be able to accept the ‘Incident Notification’ C_INC_NOT (IE180) message that would have been prepared before the ‘Destination Control Results’ C_DES_CON (IE018) message was sent but is received by Office of Departure after the ‘Destination Control Results’ C_DES_CON (IE018) message is received. (To avoid*

²³ This National Administration also participates in NCTS.

rejecting information communicated with delay due to unavailability of the NTA in the country of the Incident, that could be helpful in case of control results 'B1').

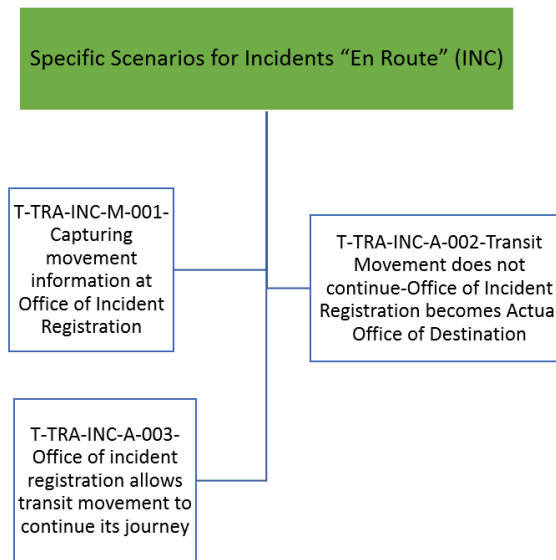


Figure 54: Specific scenarios for incidents “En Route”

III.II.5.1 T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration

The Union or Common transit movement is located at the Office of Incident Registration and the Customs Officer first looks up the MRN of the transit declaration in NCTS.

As per [Step 1] of Figure 55, even if the Office of Incident Registration is involved in the transit movement and thus the movement information may already be available, it always **acts first** as Office of Incident Registration. Therefore, the Office of Incident Registration always requests the movement information from the Office of Departure by sending the ‘Movement Query’ C_MVT_QUE (IE027) message in order to be informed about the latest status and details of the transit movement by the Office of Departure.

[Step 2] The movement information is found at the Office of Departure, and the Office of Departure sends it to the Office of Incident Registration with the ‘Response to Movement Query’ C_MVT_RSP (IE038) message containing the latest status and the details of the transit movement.

[Step 3] After reception of the ‘Response to Movement Query’ C_MVT_RSP (IE038) message, the Office of Incident Registration registers the Incident and then sends the ‘Incident Notification’ C_INC_NOT (IE180) message to the Office of Departure.

Afterwards, the Customs Officer at the Office of Incident Registration proceeds with deciding whether the transit movement can continue its journey based on the status of the movement. This decision is taken based on the status of the movement at Departure, which is included in the ‘Response to Movement Query’ C_MVT_RSP (IE038) message²⁴. For

²⁴ In case of unknown MRN, the Customs Officer at the Office of Incident Registration needs to re-send the IE027 by using the correct MRN.

instance, the movement may have already been written-off or arrived or under Recovery procedure and that means the movement must stop at the Office of Incident Registration.

Risk analysis results are included into the 'Response to Movement Query' C_MVT_RSP (IE038) message from the Office of Departure to other involved Offices that are located inside the Security Area.

Figure 55 shows that after the reception of the 'Response to Movement Query' C_MVT_RSP (IE038) message, the Customs Officer at the Office of Incident Registration always registers the incident information to the related offices and afterwards decides that the movement can continue its journey. This means the consignment is allowed to leave from the Office of Incident Registration.

The status at the Office of Incident Registration is set to [Incident registered](#).

Upon reception of the 'Incident Notification' C_INC_NOT (IE180) message, the [Step 4] Office of Departure forwards the incident information to the Holder of the Transit Procedure through the 'Forwarded Incident Notification To ED' E_INC_NOT (IE182) message and to the [Step 5], Step 6] and [Step 7] involved Offices (i.e. Exit for Transit / Transit / Destination) through the 'Forwarded Incident Notification to CD' C_INC_FWD (IE181) message and with the precondition that none of these Offices has sent the 'Incident Notification' C_INC_NOT (IE180) message. Additionally, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) 'Forwarded Incident Notification to CD' C_INC_FWD (IE181) message is sent to this National Administration.

The 'Forwarded Incident Notification to CD' C_INC_FWD (IE181) message will not be sent to those Customs Offices that have already reported back the 'Notification Crossing Frontier' C_NCF_NOT (IE118) or 'Notification Leaving Security Area' C_LSA_NOT (IE168) or 'Arrival Advice' C_ARR_ADV (IE006) message(s) and/or have not received the 'Forwarded Arrival Advice' C_FWD_ARR (IE024) message(s).

NOTE: The information related to the incidents that occurred during the journey of the movement are sent to the Risk Analysis Systems for risk evaluation. Actually, risk assessment of incidents is performed by all Offices involved into the transit movement (i.e. whether they receive the IE180/IE181 messages). In the event that a National Administration has more than one (1) involved Customs Offices into the transit movement, then only one (1) 'Forwarded Incident Notification to CD' C_INC_FWD (IE181) message is sent to this National Administration, which in turn sends this message to the Risk Analysis System for risk evaluation.

NOTE: The nearest Customs Office for the registration of incident(s) must be located in the same Contracting Party as the place where the incident occurred.

The business flow of the transit procedure continues with sending the relevant messages to the Office of Departure from a declared or an actual Office, depending on the case (including the case where the Office of Incident Registration is involved in the transit movement). The cases are the following:

- If the movement arrives at a Declared Office of Exit for Transit:
 - The business flow continues from [\[Step 13\]](#) of [T-TRA-TRT-A-007-Movement allowed to leave the Security Area](#) (for movement allowed to leave the Security Area);
 - The business flow continues from [\[Step 13\]](#) of [T-TRA-TRT-A-006-Movement stopped at Customs Office of Exit for Transit](#) (for movement not allowed to leave the Security Area).
- If the movement arrives at a Declared Office of Transit:
 - The business flow continues from [\[Step 14\]](#) of [T-TRA-TRT-A-003-Control by Office of Transit with Passage Confirmed](#) (for passage confirmed);
 - The business flow continues from [\[Step 14\]](#) of [T-TRA-TRT-A-004-Control by Office of Transit with Passage Not Confirmed](#) (for passage not confirmed).
- If the movement arrives at an Actual Office of Transit:
 - The business flow continues from [\[Step 14\]](#) of [T-TRA-TRT-A-002-Diversion at Office of Transit accepted](#) (for passage confirmed);
 - The business flow continues from [\[Step 13\]](#) of [T-TRA-TRT-A-001-Diversion at Office of Transit rejected](#) (for passage not confirmed).
- If the movement arrives at an Actual Office of Exit for Transit:
 - The business flow continues from [\[Step 13\]](#) of [T-TRA-TRT-A-008-Diversion at Customs Office of Exit for Transit – Movement is allowed to leave the Security Area](#) (for movement allowed to leave the Security Area);
 - The business flow continues from [\[Step 15\]](#) of [T-TRA-TRT-A-009-Diversion at Customs Office of Exit for Transit – Movement stopped at the border of Office of Exit for Transit](#) (for movement not allowed to leave the Security Area).
- If the movement arrives at a Declared Office of Destination:
 - The business flow continues from [\[Step 17\]](#) of [T-TRA-DES-M-001-Arrival notification valid](#) (for valid arrival notification);
 - The business flow continues from [\[Step 16\]](#) of [T-TRA-DES-E-003-Rejection of arrival notification](#) (for invalid arrival notification).
- If the movement arrives at an Actual Office of Destination:
 - The business flow continues from [\[Step 16\]](#) of [T-TRA-DES-A-009-Diversion at Office of Destination](#) accepted (for accepted diversion at the Actual Office of Destination);
 - The business flow continues from [\[Step 16\]](#) of [T-TRA-DES-A-010 \(for rejected diversion at the Actual Office of Destination\)](#);
 - The business flow continues from [\[Step 16\]](#) of [T-TRA-DES-E-003-Rejection of arrival notification](#) (for invalid arrival notification).
- If another incident occurs during the journey:
 - The business flow continues from [\[Step 1\]](#) of [T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration](#).

NOTE: The movement is released for transit and an incident may immediately occur. In that case, the Office of Incident Registration is the same Office as the Office of Departure. Therefore, the Office of Departure will act as Office of Incident Registration. No exchange of the IE027/IE038 is actually needed. Additionally, the IE180 will be exchanged in the same Office that possesses the two different roles (i.e. Departure and Incident Registration). Moreover, the IE181/IE182 messages must also be sent to all involved Offices into the transit movement and to the Holder of the Transit Procedure respectively. The logic applied on other messages (e.g. IE024, IE063) is also applicable on the IE181: if more than one of the

involved Custom Offices belong to the same country, then the Office of Departure will send the message IE181 only once to this country.

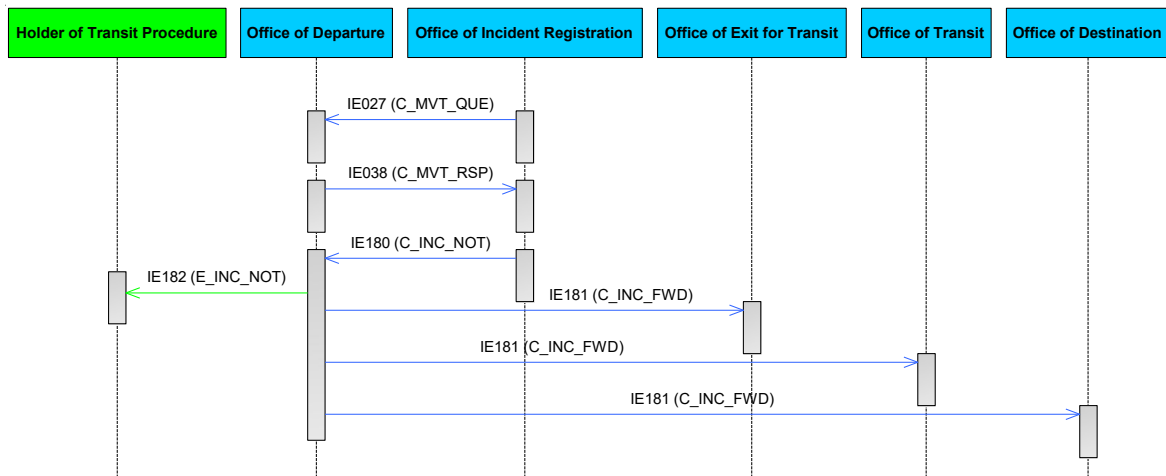


Figure 55: T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration

In case the Office of Departure cannot locate the movement information, then a negative ‘Response to Movement Query’ C_MVT_RSP (IE038) message is sent back to the Office of Incident Registration. The below Figure 56 illustrates the above case with a negative ‘Response to Movement Query’ C_MVT_RSP (IE038) that is sent by the Office of Departure. The business flow of the transit procedure ends here for the Office of Incident Registration.

Another possible scenario is that the Office of Incident Registration may already be involved into the transit movement as Office of Transit, or as Office of Exit for Transit or even as Office of Destination. In that occasion, when the Customs Officer at the Office of Incident Registration looks up the MRN of the transit declaration in NCTS, the movement information is already available. However, **the Office of Incident Registration always needs to act first before it acts as another involved Office.** Therefore, the Customs Officer at the Office of Incident Registration needs first to decide about the incidents and for this reason needs to send the ‘Movement Query’ C_MVT_QUE (IE027) message in order to receive the ‘Response to Movement Query’ C_MVT_RSP (IE038) message to get informed about the latest status at Departure and about the movement details. The process continues from the point where the Customs Officer registers the incident by sending the ‘Incident Notification’ C_INC_NOT (IE180), the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) (only one (1) is sent to a National Administration that has more than one (1) involved Customs Offices into the transit movement) and the ‘Forwarded Incident Notification To ED’ E_INC_NOT (IE182) to the related offices and to the Holder of the Transit Procedure respectively. Then, it updates the system with the decision whether the movement can continue or not its journey based on the reported incident information. If the movement is allowed to continue its journey, then the Office of Incident Registration can switch role and act as an involved Office, otherwise the transit movement stops at the Office of Incident Registration, which becomes Actual Office of Destination.

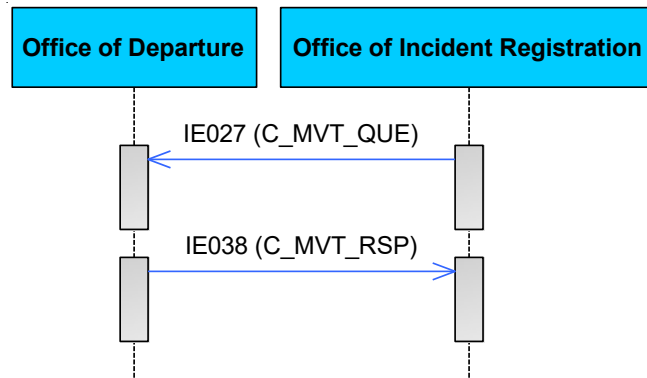


Figure 56: T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration (Movement not available or invalidated)

III.II.5.2 T-TRA-INC-A-003-Office of incident registration allows transit movement to continue its journey

Based on the reported incident information from the carrier of the transit movement, the Office of Incident Registration registers the incident and then decides that the movement can continue its journey.

After registration of the incident information, the Office of Departure is notified by receiving the ‘Incident Notification’ C_INC_NOT (IE180) message. Then, the Office of Departure checks to which involved Offices it must forward the Incident information. The ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message will be sent to:

- A Declared Office of Transit that received the ‘Anticipated Transit Record’ C_ATR_SND (IE050) message, with no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message received yet from it. Additionally, this Office has not previously sent the ‘Incident Notification’ C_INC_NOT (IE180) and finally the Office of Departure has not previously sent the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to this Office;
- An Actual Office of Transit that received the positive ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) message, with no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message received yet from it. Additionally, this Office has not previously sent the ‘Incident Notification’ C_INC_NOT (IE180) and finally the Office of Departure has not previously sent the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to this Office;
- A Declared Office of Exit for Transit that received the ‘Anticipated Exit For Transit Record’ C_AXR_SND (IE160) message, with no ‘Notification Crossing Frontier’ C_NCF_NOT (IE168) message received yet from it. Additionally, this Office has not previously sent the ‘Incident Notification’ C_INC_NOT (IE180) and finally the Office of Departure has not previously sent the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to this Office;
- An Actual Office of Exit for Transit that received the positive ‘Anticipated Exit For Transit Record Response’ C_AXR_RSP (IE165) message, with no ‘Notification Crossing Frontier’ C_NCF_NOT (IE168) message received yet from it. Additionally, this Office has not previously sent the ‘Incident Notification’ C_INC_NOT (IE180) and finally the Office of Departure has not previously sent the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to this Office;

- A Declared Office of Destination that received the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) message, with no ‘Arrival Advice’ C_ARR_ADV (IE006) message received yet from it. Additionally, this Office has not previously sent the ‘Incident Notification’ C_INC_NOT (IE180) and finally the Office of Departure has not previously sent the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to this Office;
- An Actual Office of Destination that received the positive ‘Arrival Record Response’ C_AAR_RSP (IE003) message, with no ‘Arrival Advice’ C_ARR_ADV (IE006) message received yet from it. Additionally, this Office has not previously sent the ‘Incident Notification’ C_INC_NOT (IE180) and finally the Office of Departure has not previously sent the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) to this Office.

Additionally, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration.

If the ‘Incident Notification’ C_INC_NOT (IE180) message is accepted by the Office of Departure, then it also notifies the Holder of the Transit Procedure with the ‘Forwarded Incident Notification To ED’ E_INC_NOT (IE182) message (i.e. provided the ‘Declaration Data’ E_DEC_DAT (IE015) has been submitted electronically).

Note: The Office of Departure will be able to accept the ‘Incident Notification’ C_INC_NOT (IE180) received after the ‘Destination Control Results’ C_DES_CON (IE018) message is received. The ‘Incident Notification’ C_INC_NOT (IE180) message must be stored if the control result is ‘B1’ (and discrepancies are not yet resolved). The ‘Incident Notification’ C_INC_NOT (IE180) message can be ignored if it is received after the IE018 with satisfactory control results or with ‘B1’ discrepancies resolved already. The objective is to avoid rejecting incident information communicated with delay due to the unavailability of the NTA in the country of the Incident. This information could be very helpful at Office of Departure in case of control results ‘B1’, even if it was received with a delay.

The information related to the incidents that occurred during the journey of the movement are sent to the Risk Analysis System for risk evaluation. Actually, risk assessment of incidents is performed by all Offices involved into the transit movement (i.e. whether they receive the ‘Incident Notification’ C_INC_NOT (IE180) / ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) messages). In case though a National Administration has more than one (1) involved Customs Offices into the transit movement, then it receives only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message, which then sends it to the Risk Analysis System for risk evaluation.

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] After the movement is released for transit, it arrives at the nearest Customs Office to report current incident(s). The Customs Office of Incident Registration sends the ‘Movement Query’ C_MVT_QUE (IE027) message to the Office of Departure.

[Step 14] The Office of Departure locates the movement based on its MRN and replies with a ‘Response to Movement Query’ C_MVT_RSP (IE038) message that contains the full transit record with the latest status of the movement at the Office of Departure.

It should be noted that risk analysis results are included into the ‘Response to Movement Query’ C_MVT_RSP (IE038) message from the Office of Departure to the other involved Offices only if these are located inside the Security Area.

Upon reception of the ‘Response to Movement Query’ C_MVT_RSP (IE038) message, the Office of Incident Registration reviews the details of the transit movement, its status at the Office of Departure, and the previous incident information (if exists). Eventually, the Office of Incident Registration registers the current incident and decides that the movement can continue its journey.

The business flow of the transit procedure continues from [\[Step 3\]](#) of the [T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration](#).

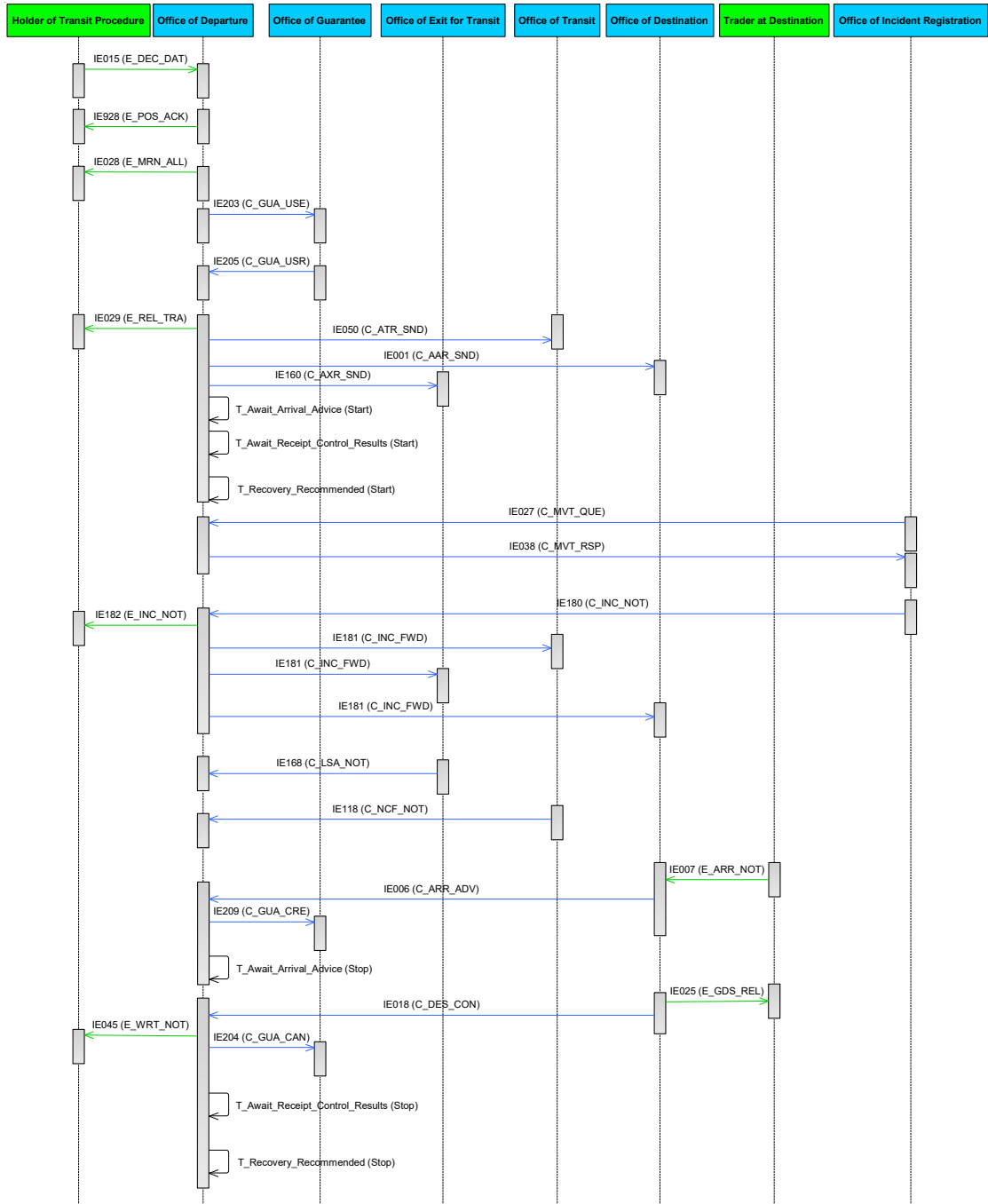


Figure 57: T-TRA-INC-A-003-Office of incident registration allows transit movement to continue its journey

III.II.5.3 T-TRA-INC-A-002-Transit Movement does not continue-Office of Incident Registration becomes Actual Office of Destination

This scenario describes the case where the Office of Incident Registration decides based on the reported incident information, that the transit movement cannot continue its journey. Therefore, after the Office of Incident Registration registers the incident, it becomes Actual Office of Destination.

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] After the movement is released for transit, it arrives at the nearest Customs Office to report incident(s) that occurred during the journey. The Office of Incident Registration sends the ‘Movement Query’ C_MVT_QUE (IE027) message to the Office of Departure.

[Step 14] The Office of Departure replies with a ‘Response to Movement Query’ C_MVT_RSP (IE038) message that contains the full transit record and the latest status of the movement at the Office of Departure.

Risk analysis results are included into the ‘Response to Movement Query’ C_MVT_RSP (IE038) message from the Office of Departure to other involved Offices that are located inside the Security Area.

[Step 15] The Office of Incident Registration registers the incident information and notifies the Office of Departure by sending it the ‘Incident Notification’ C_INC_NOT (IE180) message.

Afterwards, the Office of Incident Registration reviews all relevant information of the transit movement (e.g. status and previous incident information) and decides that the movement cannot continue its journey. Consequently, the Office of Incident Registration switches role and becomes the Actual Office of Destination.

Upon reception of the ‘Incident Notification’ C_INC_NOT (IE180) message, the Office of Departure forwards the incident information to **[Step 16]** the Holder of the Transit Procedure through the ‘Forwarded Incident Notification To ED’ E_INC_NOT (IE182) message (i.e. in case the ‘Declaration Data’ E_DEC_DAT (IE015) has been submitted electronically to the Office of Departure).

Additionally, the incident information is sent to the **[Step 17]**, **[Step 18]** and **[Step 19]** involved Offices (i.e. Exit for Transit / Transit / Destination) through the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message (i.e. please refer to the previous scenario in section III.II.5.2 which involved Offices are applicable to receive the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message). However, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration.

[Step 20] In case the ‘Anticipated Arrival Record’ is not available nationally, the process continues with the Actual Office of Destination (i.e. from the same Office that has previously

been Office of Incident Registration), which sends the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002).

The state of the movement at the Actual Office of Destination is set to [AAR Requested](#). There is no change of status of the movement at the Office of Departure.

[Step 21] The Office of Departure sends a positive response (*i.e.* no rejection reason code) with the ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003).

[Step 22] The Actual Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) to the Office of Departure.

The state of the movement at the Actual Office of Destination is set to [Arrival accepted](#). The state of the movement at the Office of Departure is set to [Arrived](#).

The business flow of the transit procedure continues from [\[Step 19\]](#) of the

[T-TRA-DES-A-009-Diversion at Office of Destination](#) accepted.

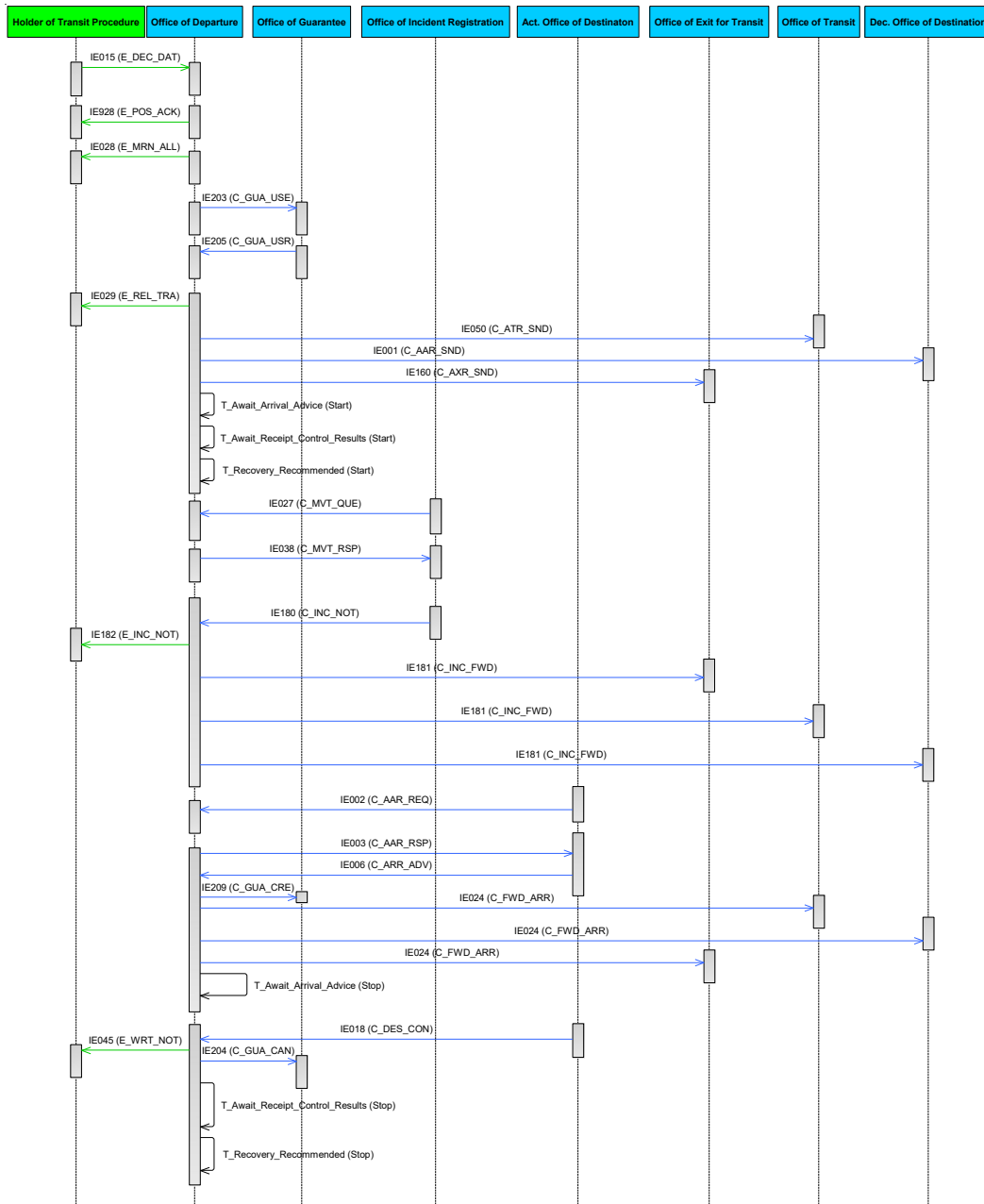


Figure 58: T-TRA-INC-A-002-Transit Movement does not continue-Office of Incident Registration becomes Actual Office of Destination

- If a declared/actual Office of Transit is involved (*i.e.* ‘Anticipated Transit Record’ C_ATR_SND (IE050) and/or positive ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) message(s) previously sent), but no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message has been received yet from this Office, and also no ‘Incident Notification’ C_INC_NOT (IE180) has been dispatched by this Office, then **first** the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message (only one (1) message is sent to a National Administration that has more than one (1) involved Customs Offices into the transit movement) **and afterwards** the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message are sent to this Office of Transit;
- If a declared/actual Office of Exit for Transit is involved (*i.e.* ‘Anticipated Exit For Transit Record’ C_AXR_SND (IE160) and/or positive ‘Anticipated Exit For Transit

Record Response' C_AXR_RSP (IE165) message(s) previously sent), but no 'Notification Leaving Security Area' C_LSA_NOT (IE168) message has been received yet from this Office, and also no 'Incident Notification' C_INC_NOT (IE180) has been dispatched by this Office, then **first** the 'Forwarded Incident Notification to CD' C_INC_FWD (IE181) message (only one (1) message is sent to a National Administration that has more than one (1) involved Customs Offices into the transit movement) **and afterwards** the 'Forwarded Arrival Advice' C_FWD_ARR (IE024) message are sent to this Office of Exit for Transit;

- If declared and/or actual Office(s) of Destination (*i.e.* 'Anticipated Arrival Record' C_AAR_SND (IE001) and/or positive 'Anticipated Arrival Record Response' C_AAR_RSP (IE003) message(s) previously sent) but no 'Arrival Advice' C_ARR_ADV (IE006) message has been received from this Office, and also no 'Incident Notification' C_INC_NOT (IE180) has been dispatched by this Office, then **first** the 'Forwarded Incident Notification to CD' C_INC_FWD (IE181) message (only one (1) message is sent to a National Administration that has more than one (1) involved Customs Offices into the transit movement) **and afterwards** the 'Forwarded Arrival Advice' C_FWD_ARR (IE024) message are sent to this Office of Destination.

III.II.6 Possible Exceptions in the Common Domain (Exceptions of message sequencing in the Common Domain) (EXC)

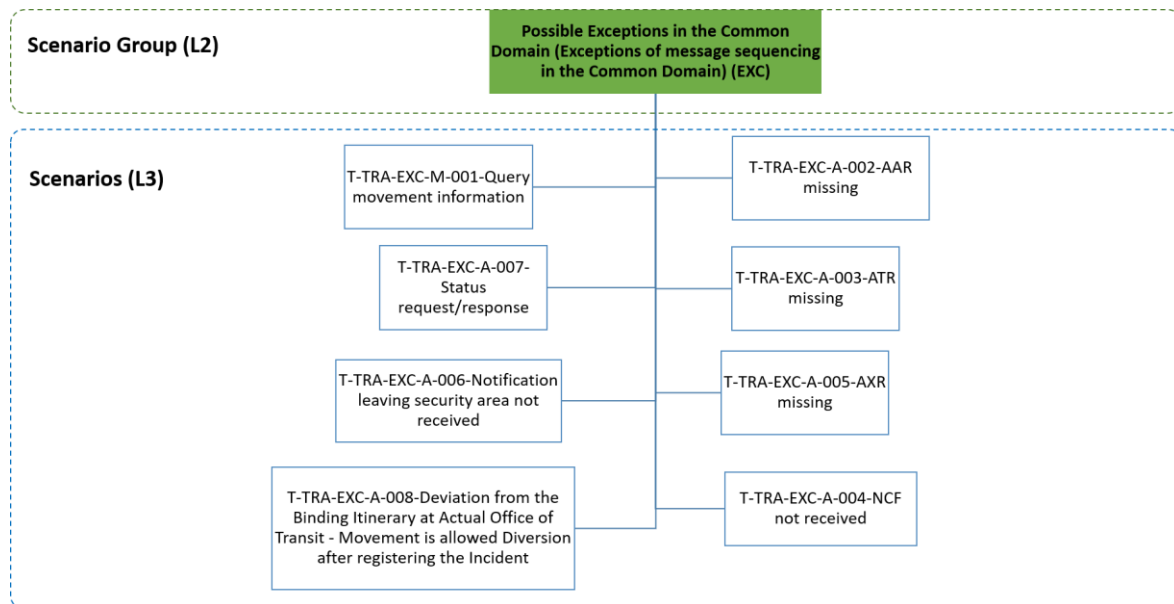


Figure 59: Scenarios of possible exceptions in the Common Domain

III.II.6.1 T-TRA-EXC-M-001-Query movement information

At any moment, after the movement is released for transit (i.e. MRN is considered unknown until the movement is released), any Customs Office, possessing any of the following roles: Departure, Exit for Transit, Transit, Destination, Guarantee or even the Office of Incident Registration, can request information about a movement from the Office of Departure (where the MRN is originated). This Customs Office can be either already involved or not involved in the transit movement.

[Step 1] Any Customs Office, located at a different Country from the Office of Departure, and for some reason, needs to retrieve the movement’s information with its latest status. Consequently, it sends the ‘Movement Query’ C_MVT_QUE (IE027) message to the Office of Departure.

[Step 2] The corresponding Office of Departure answers with a positive ‘Response to Movement Query’ C_MVT_RSP (IE038), when the MRN is known or else with a negative ‘Response to Movement Query’ C_MVT_RSP (IE038) when the MRN is unknown²⁵.

Risk analysis results are included into the ‘Response to Movement Query’ C_MVT_RSP (IE038) message from the Office of Departure to other involved Offices that are located inside the Security Area.

²⁵ A positive ‘Response to Movement Query’ C_MVT_RSP (IE038) message is returned (i.e. with full transit record), when the movement has been invalidated or under any other status after the movement is released for transit.

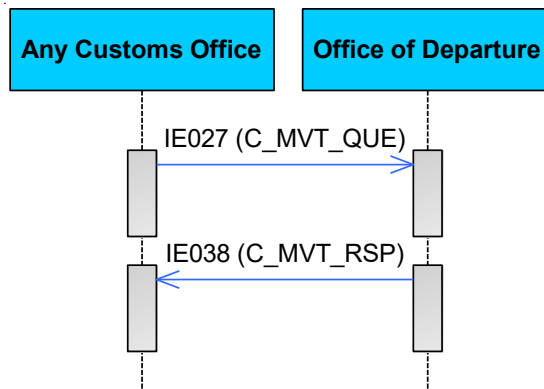


Figure 60: T-TRA-EXC-M-001-Query movement information

III.II.6.2 T-TRA-EXC-A-007-Status request/response

An Office of Departure can at any time request the state of a movement at the Office of Destination, at the Office of Transit or at the Office of Exit for Transit.

For the beginning of the process depicted in the Time Sequence Diagram in Figure 61, please read the description of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) from [\[Step 6\]](#) to [\[Step 14\]](#).

[Step 10] The Office of Departure sends the ‘Status Request’ C_STD_REQ (IE094) message to the Office of Destination in the depicted case [the Office of Departure may also need to get informed about the current status of the movement at the Office of Transit or at the Office of Exit for Transit (those involved into the transit movement) and thus ‘manually’ triggers the sending of the ‘Status Request’ C_STD_REQ (IE094) message to any of these Offices].

[Step 11] The Office of Destination then replies with the ‘Status Response’ C_STD_RSP (IE095) message, which contains a state from the set of possible required MRN states at an Office of Destination [the Office of Transit or the Office of Exit for Transit also replies with the IE095 message to the Office of Departure that has previously sent the ‘Status Request’ C_STD_REQ (IE094) message], as specified in the State Transition Diagrams in paragraphs III.V.1 or III.V.2 or III.V.3 or III.V.4 respectively²⁶ (i.e. the appropriate state to be used in the IE094/IE095 messages is indicated into the column “Reported to Requested NCTS Office” at the end of each aforementioned paragraph that displays in tabular format the applicable states of an Office).

After the exchange of the Status Request / Response messages between the Office of Departure and the Office of Destination [or the Office of Transit], the process flow may continue with [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

²⁶ It should be noted that the ‘Status Response’ C_STD_RSP (IE095) message shall include the latest information including the case of national diversion. Even though ‘Status Request’ C_STD_REQ (IE094) message is sent for instance to the Customs Office of Destination which received ‘Anticipated Arrival Record’ C_AAR_SND (IE001), the received National application shall respond with the latest information available nationally. This means that if national diversion has occurred, the ‘Status Response’ C_STD_RSP (IE095) message shall include the latest Customs Office of Destination handling the transit operation (following national diversions) and the latest status of the transit operation at that office.

NOTE: It is up to the national decision whether the Office of Departure sends at the same time the 'Status Request' C_STD_REQ (IE094) message to the involved Office(s) into the transit movement (i.e. Office of Transit and/or Office of Exit for Transit and/or Office of Destination), but it should be stressed that only one (1) 'Status Request' C_STD_REQ (IE094) message can be processed at a time by any receiving Office (i.e. to reply to the Office of Departure with the 'Status Response' C_STD_RSP (IE095) message).

NOTE: the re-synchronisation mechanism with the smart 'Status Response' C_STD_RSP (IE095) can be used to automatically re-send the 'Notification Leaving Security Area' C_LSA_NOT (IE168) and 'Notification Crossing Frontier' C_NCF_NOT (IE118) messages which have been rejected but can later be processed once the NTA (e.g. at Departure) has been fixed to avoid rejection. The re-synchronisation mechanism can also be used to resend the 'Notification Leaving Security Area' C_LSA_NOT (IE168) and 'Notification Crossing Frontier' C_NCF_NOT (IE118) messages whenever this is possible²⁷ in case these messages are lost.

²⁷ The Office of Transit may not always be possible to resend the 'Notification Crossing Frontier' C_NCF_NOT (IE118) message due to the passage of the border with rail (Please refer to Article 304 (6) of UCC-IA).

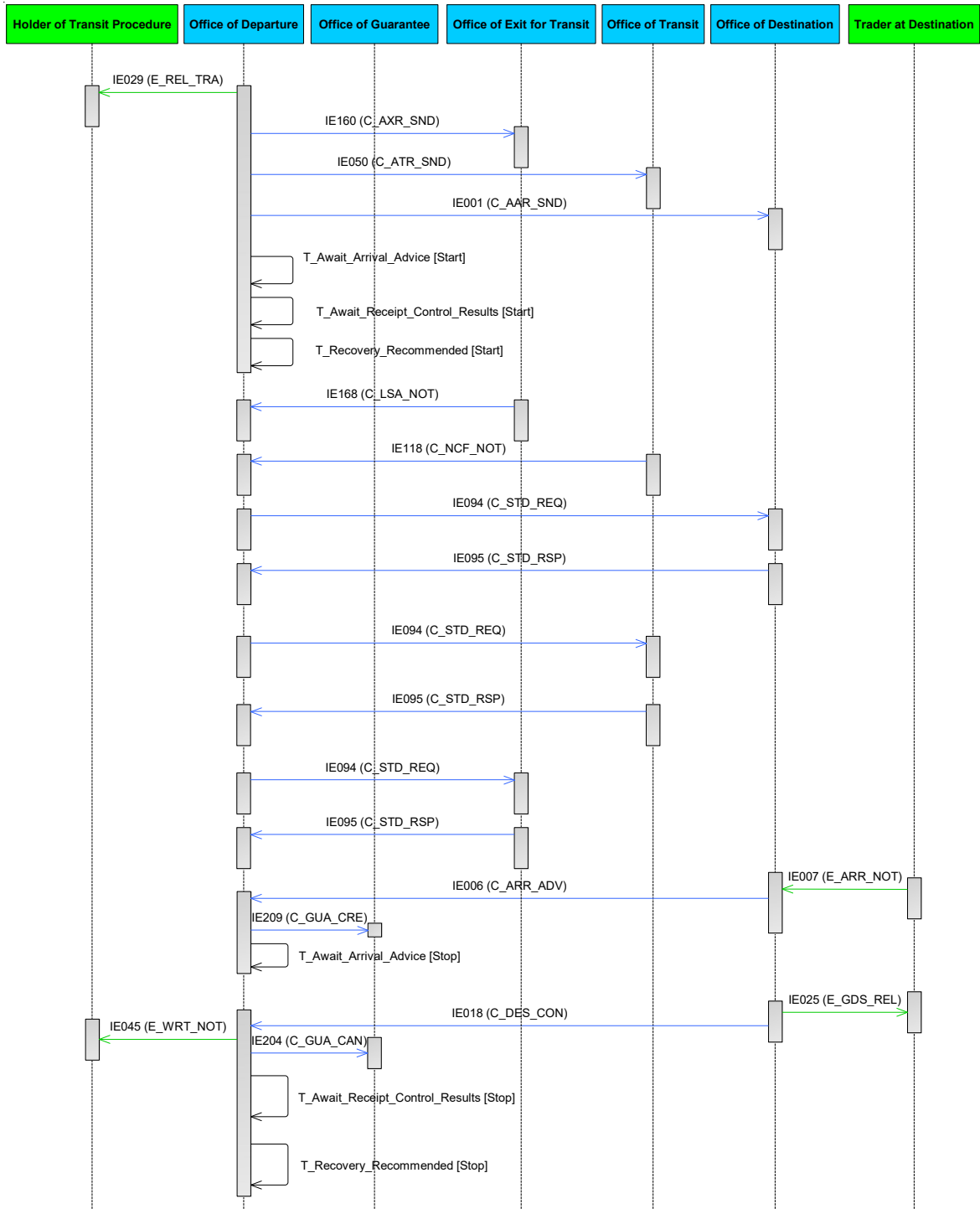


Figure 61: T-TRA-EXC-A-007-Status request/response

III.II.6.3 T-TRA-EXC-A-002-AAR missing

For one reason or another, an ‘Anticipated Arrival Record’ 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 ‘Anticipated Arrival Record’ is missing at the Office of Destination. To represent this, the usual ‘Anticipated Arrival Record’ C_AAR_SND (IE001) does not appear in Figure 62.

The scenario starts from [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 16] The transit movement arrives at the Declared Office of Destination where the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) was sent upon release but eventually not received and lost by this Office of Destination. Since the Declared Office of Destination does not locate the “Anticipated Arrival Record” nationally, it issues a request for the lost ‘Anticipated Arrival Record’ by sending an Anticipated Arrival Record Request C_AAR_REQ (IE002) to the Office of Departure.

The state of the movement at the Office of Destination is set to [AAR requested](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

[Step 17] By default, a reply is sent with the positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), which in this case includes a copy of the original ‘Anticipated Arrival Record’ C_AAR_SND (IE001) that had to be sent.

Additionally, when an ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 18] The Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) to the Office of Departure.

The state of the movement at the Office of Destination is set [Arrival accepted](#), while the state of the movement at the Office of Departure is set to [Arrived](#).

In case the Office of Destination expects an ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) (because it has previously formulated a request by means of an ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002)), but also receives the delayed ‘Anticipated Arrival Record’ C_AAR_SND (IE001), either before or after the reception of ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), it should process the first message received, whether ‘Anticipated Arrival Record’ C_AAR_SND (IE001) or ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), and ignore the second, instead of sending a ‘Functional NACK’ C_FUN_NACK (IE906) message to reject it.

In case the request for the ‘Anticipated Arrival Record’ is not justified or correct, the reply will be with the same ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), in which the reason for this rejection is specified.

There is also an exceptional case that an Office of Destination requests the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) by sending the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) to the Office of Departure. The Office of Departure sends the ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) to the requesting Office of Destination; however, this is never used at this Office of Destination (i.e. Arrival Advice’ C_ARR_ADV (IE006) has never been sent by this Office of Destination or the message was sent but not properly received by the Office of Departure, for instance it was sent to the wrong queue, rejection with IE906 or IE917).

The business flow of the transit procedure continues from [\[Step 17\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

Note: For this particular scenario no 'Forwarded Arrival Advice' C_FWD_ARR (IE024) message is needed, since the Actual Office of Destination, where the movement has been presented but which has never received the 'lost' Anticipated Arrival Record (i.e. IE001), is the same as the Declared Office of Destination.

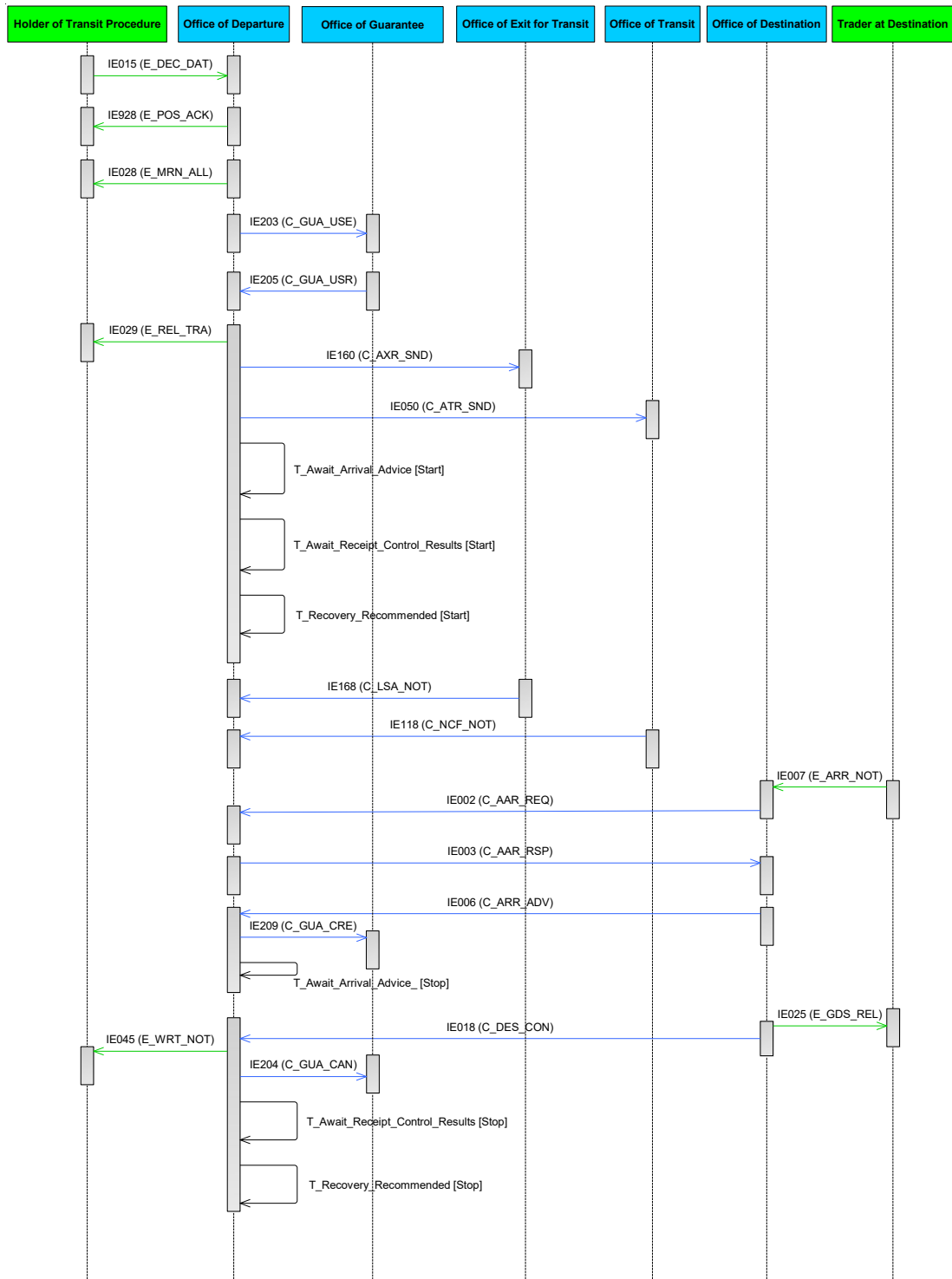


Figure 62: T-TRA-EXC-A-002-AAR missing

III.II.6.4 T-TRA-EXC-A-003-ATR missing

An ‘Anticipated Transit Record’ may be lost by or missing from the declared Office of Transit without the Office of Departure being aware of it. To represent this, the usual ‘Anticipated Transit Record’ C_ATR_SND (IE050) does not appear in Figure 63.

The scenario starts from [\[Step 13\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 14] The transit movement arrives at the Declared Office of Transit where the ‘Anticipated Transit Record’ C_ATR_SND (IE050) was sent upon release but eventually not received and lost by this Office of Transit. Since the ‘Anticipated Transit Record’ is not available, the Declared Office of Transit issues a request for the lost ‘Anticipated Transit Record’ by sending the ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114) to the Office of Departure.

The state of the movement at the Office of Transit is set to [ATR requested](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

[Step 15] By default, a reply is sent with the ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115), which in this case includes a copy of the original ‘Anticipated Transit Record’ C_ATR_SND (IE050) that had to be sent.

Additionally, when an ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) is received, the Actual Customs Office of Transit executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

The state of the movement at the Office of Transit is set to [ATR created](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

[Step 16] The passage of the consignment can be notified by the Office of Transit to the Office of Departure with a ‘Notification Crossing Frontier’ C_NCF_NOT (IE118).

The state of the movement at the Office of Transit is set to [NCF registered](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

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

In case the request for the ‘Anticipated Transit Record’ is not justified, the reply will be with the same ‘Anticipated Transit Record 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, the ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) should contain the ‘ATR Rejection Reason Code’ set to "1" (MRN Unknown).

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 the traffic flow at the border.

The business flow of the transit procedure continues from [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

Note: For this particular scenario no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message is needed since the Actual Office of Transit, where the movement has been presented but which has never received the ‘lost’ Anticipated Transit Record (i.e. IE050) is the same as the Declared Office of Transit.

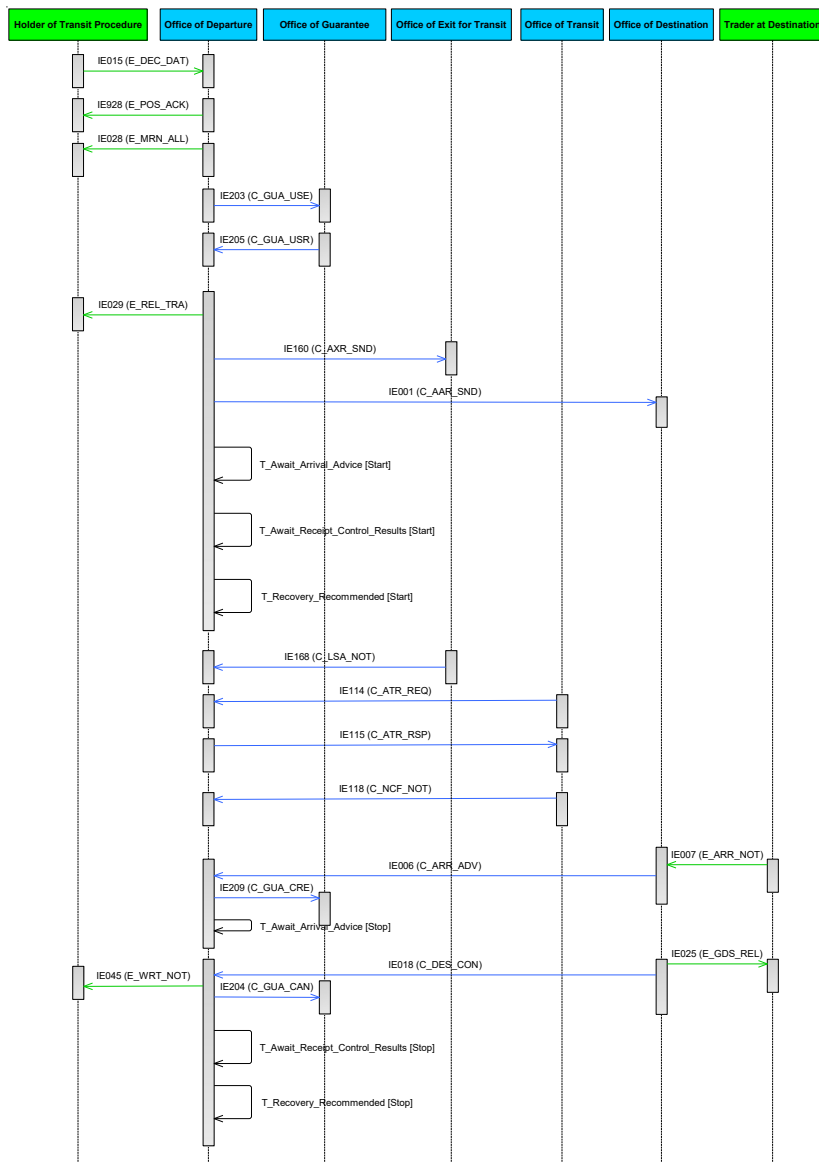


Figure 63: T-TRA-EXC-A-003-ATR missing

III.II.6.5 T-TRA-EXC-A-004-NCF not received

The ‘Notification Crossing Frontier’ may be lost by or missing from an Office of Transit when the movement crosses its borders without the Office of Departure being aware of it. To represent this, the usual ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) does not appear in Figure 64.

The scenario starts from [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 16] The Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) message to the Office of Departure.

The state of the movement at the Office of Destination is set to [Arrival Accepted](#). The state of the movement at the Office of Departure is set to [Arrived](#).

[Step 17] The Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Office of Guarantee in case guarantee types ‘0’ or ‘1’ are involved into the transit movement.

[Step 18] The timer [T Await Arrival Advice](#) at the Office of Departure stops.

[Step 19] The Office of Departure sends the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message to the Office of Transit since the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) has never been received from that country and in case this Office of Transit does not belong to the same National Administration from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received.

The state of the movement at the Office of Transit is set to [Arrived](#). This is a final state.

The business flow of the transit procedure at the Office of Destination (i.e. actual Office where the movement is presented) continues from [\[Step 19\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: If the Office of Departure has not received the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) from the Office of Transit, it will notify the Office(s) of Transit (from where the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) was expected but has not been received) of the arrival (and acceptance) of the consignment with the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024). Since the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is received in final state (i.e. [NCF registered](#)), the Office of Transit should not reject it with the ‘Functional NACK’ C_FUN_NACK (IE906) message but ignore it. However, no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall be sent by the Office of Departure in case this Office of Transit belongs to the same National Administration where the movement arrived and thus an ‘Arrival Advice’ C_ARR_ADV (IE006) has been received.

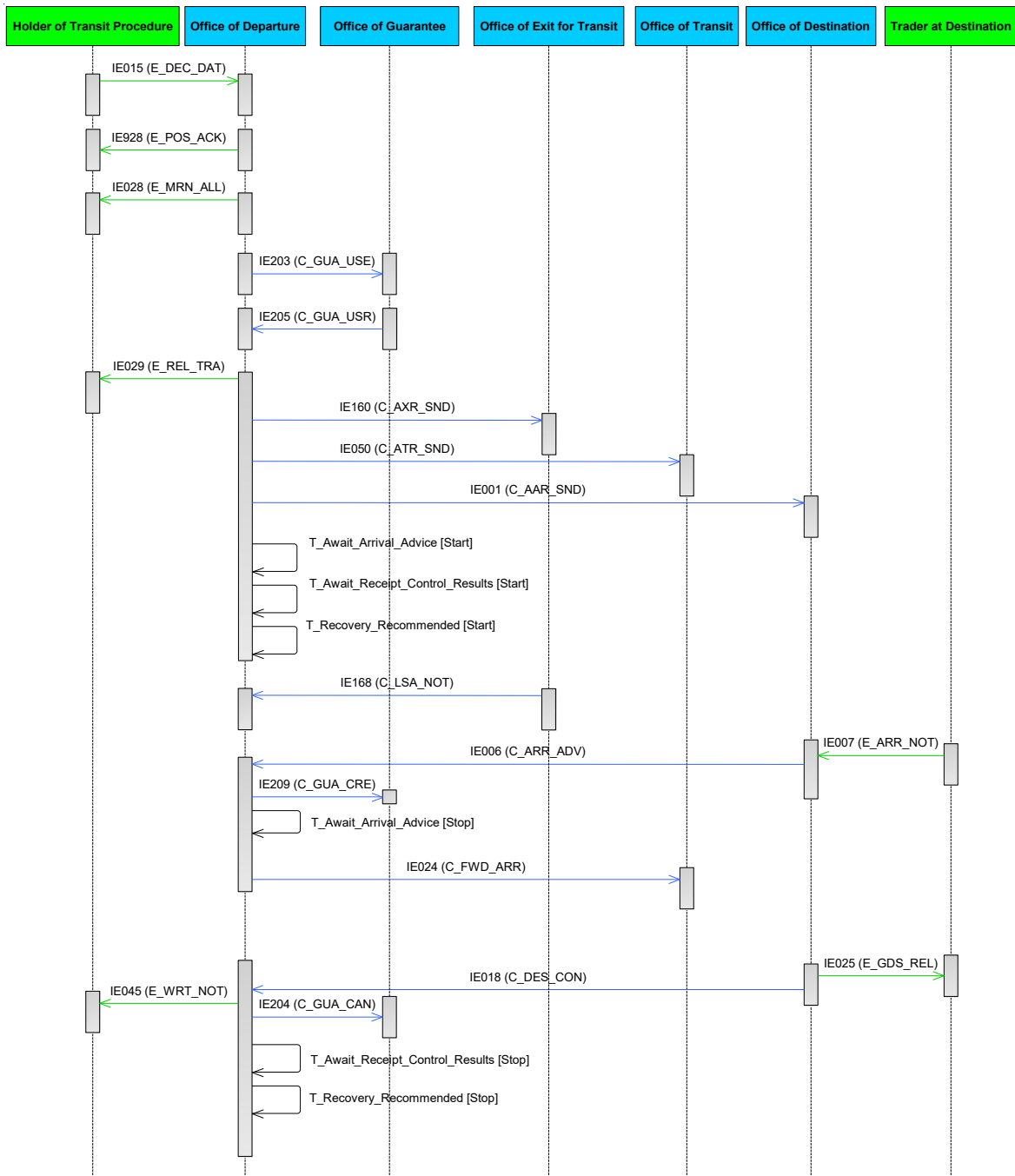


Figure 64: T-TRA-EXC-A-004-NCF not received

III.II.6.6 T-TRA-EXC-A-005-AXR Record missing

An ‘Anticipated Exit for Transit Record’ may be lost by or missing from the declared Office of Exit for Transit without the Office of Departure being aware of it. To represent this, the usual ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message does not appear in Figure 65.

The scenario starts after [\[Step 12\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] The transit movement arrives at the Declared Office of Exit for Transit where the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) was sent upon release but eventually not received and lost by this Office of Exit Transit. Since the ‘Anticipated Exit for Transit Record’ is not available, the Office of Exit for Transit issues a request for the lost ‘Anticipated Exit for Transit Record’ by sending the ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) message to the Office of Departure.

[Step 14] By default, a reply is sent with the ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message, which in this case includes a copy of the original ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message that had to be sent.

[Step 15] Upon receipt of the positive ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message, the Office of Exit for Transit can send the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message to the Office of Departure in case the movement is allowed to leave the Security Area.

Additionally, when a positive ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) is received, the Customs Office of Exit for Transit executes an automatic risk analysis on the received anticipated exit for transit record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

If the Office of Exit for Transit expects the ‘Anticipated Exit For Transit Record Response’ C_AXR_RSP (IE165) message, (because it has previously formulated a request by means of the ‘Anticipated Exit For Transit Record Request’ C_AXR_REQ (IE164) message) but also receives the delayed ‘Anticipated Exit For Transit Record’ C_AXR_SND (IE160) message, either before or after the reception of the ‘Anticipated Exit For Transit Record Response’ C_AXR_RSP (IE165) message, it should process the first message received, whether the ‘Anticipated Exit For Transit Record’ C_AXR_SND (IE160) or ‘Anticipated Exit For Transit Record Response’ C_AXR_RSP (IE165), and ignore the second, instead of sending an ‘Functional NACK’ C_FUN_NACK (IE906) message to reject it. In the case of processing the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message first, the state of the movement is set to the state that would be normally set if the expected positive ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message was received and registered first (*i.e.* AXR Created).

In case the request for the ‘Anticipated Exit for Transit Record’ is not justified, the reply will be with the same ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message, in which the reason for this rejection is specified. In case the MRN is not known at the Office of Departure, the ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message should contain a relevant ‘AXR Rejection Reason Code’ (*i.e.* ‘3 – MRN Unknown’).

In all cases, the reply of the Office of Departure to the request of the Office of Exit for Transit should be sent as soon as possible in order not to slow down the traffic flow at the EU border.

The business flow of the transit procedure continues from [\[Step 14\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

Note: For this particular scenario no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message is needed since the Actual Office of Exit for Transit, where the movement has been

presented but which has never received the 'lost' Anticipated Exit for Transit Record (i.e. IE160) is the same as the Declared Office of Exit for Transit.

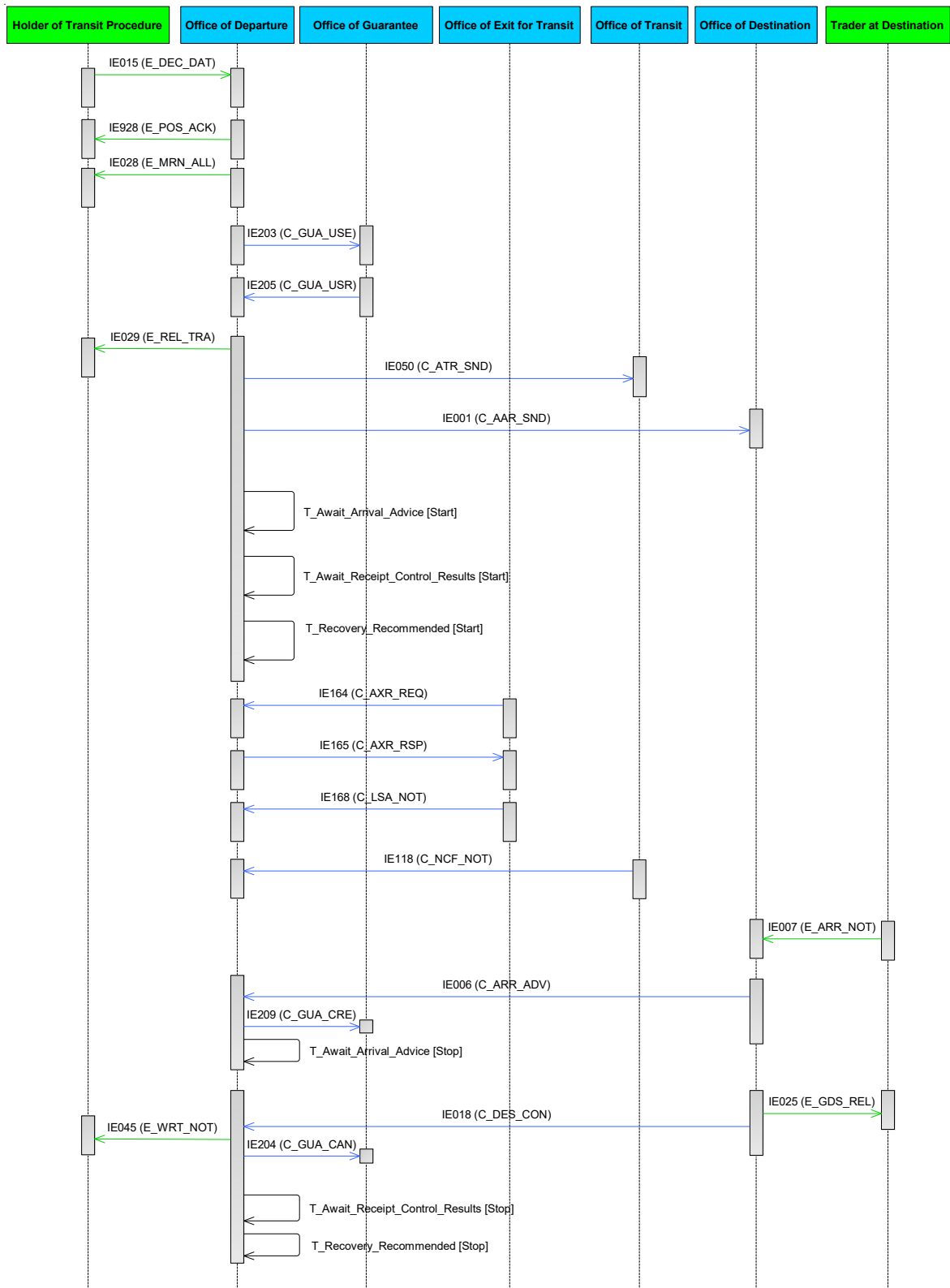


Figure 65: T-TRA-EXC-A-005-AXR missing

III.II.6.7 T-TRA-EXC-A-006-Notification leaving security area not received

The ‘Notification Leaving Security Area’ may be lost by the Office of Departure or missing from an Office of Exit for Transit, when the movement leaves the Security Area without the Office of Departure being aware of it. To represent this, the usual ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) does not appear in Figure 66.

The scenario starts after [\[Step 14\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 15] Upon arrival of the movement at the Office of Destination, the Trader at Destination announces it by submitting the ‘Arrival Notification’ E_ARR_NOT (IE007) message. Additionally, based on the information in the ‘Arrival Notification’ E_ARR_NOT (IE007) message, risk analysis is performed into the transit movement. The Office of Destination will also independently execute their own risk analysis (considering the risk results that may have already been communicated by the Office of Departure located in Security Area plus any other individual risk assessment performed based on the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) prior to the arrival of the movement) when the goods are presented.

[Step 16] The Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) message to the Office of Departure.

The state of the movement at the Office of Destination is set to [Arrival Accepted](#). The state of the movement at the Office of Departure is set to [Arrived](#).

[Step 17] The Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Office of Guarantee in case guarantee types ‘0’ or ‘1’ are involved into the transit movement.

[Step 18] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

[Step 19] The Office of Departure sends the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message to the Office of Exit for Transit since the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) has never been received. However, no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall be sent by the Office of Departure in case a message ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) was already received from the actual Office of Exit for Transit located in the same country.

The state of the movement at the Office of Exit for Transit is set to [Arrived](#). This is a final state.

The business flow of the transit procedure at the Office of Destination (i.e. actual Office where the movement is presented) continues from [\[Step 19\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: In this case, the Office of Departure will notify the Office(s) of Exit for Transit (from where the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message was expected but has not been received) of the arrival (and acceptance) of the consignment with the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message only in case the declared and actual Office(s) of Exit for Transit do not belong to the same National Administration. Since the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message is received in final state

(i.e. Movement left Security Area), the Office of Exit for Transit should not reject it with the 'Functional NACK' C_FUN_NACK (IE906) message but ignore it.

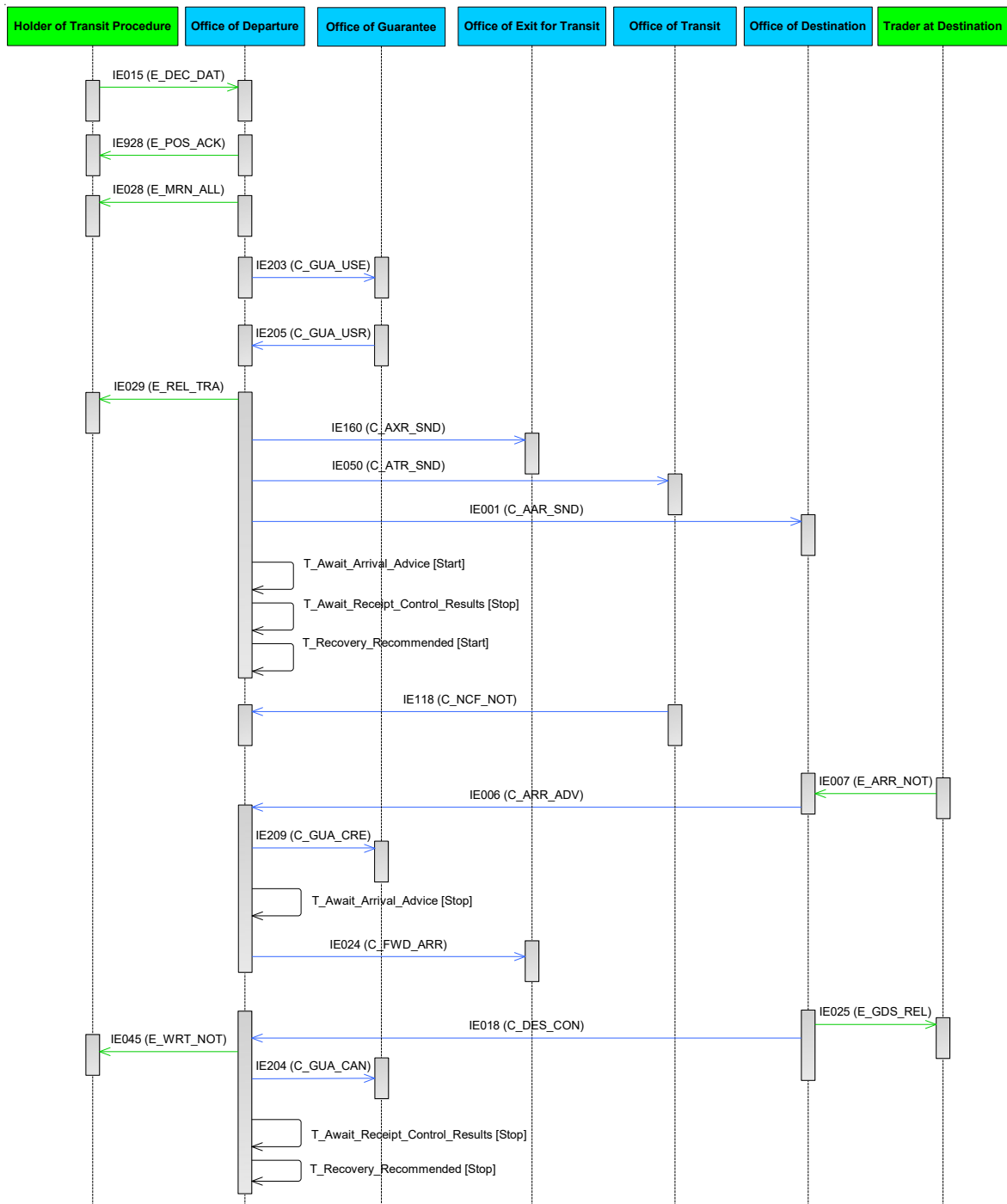


Figure 66: T-TRA-EXC-A-006-Notification leaving security area not received

III.II.6.8 T-TRA-EXC-A-008-Deviation from the Binding Itinerary at Actual Office of Transit - Movement is allowed Diversion after registering the Incident

This scenario describes what happens when the transit movement is declared with binding itinerary, but for reasons beyond the carrier's control, it is breached by arriving at a country that is not included into the list of countries of routing of consignment. The deviation of the transit movement from its binding itinerary must be treated as an incident (as per Article 305 (1a) UCC IA).

This scenario examines the situation that a transit movement contains binding itinerary and the carrier arrives at an Actual Office of Transit that does not have the transit record available in advance. As a result of no other information available, diversion is initially requested by this Actual Office of Transit, whose country does not belong to the list of countries of the Binding Itinerary declared for the transit movement. Also, there is no previous registration of any Incident for the deviation from the Binding Itinerary to this country. Under the above circumstances, the Office of Departure rejects the diversion to this Actual Office of Transit.

Nevertheless, when the Office of Departure has received an Incident for the deviation from the Binding Itinerary to a specific country, prior to any diversion request sent by any Actual Office of Transit that belongs to this specific country, then the Office of Departure will respond with a positive diversion transit record to the Actual Office of Transit.

In principle, the same functionality applies for the other Office Roles acting as Actual Office of Exit for Transit and Actual Office of Destination for the transit movement. Essentially, this means that diversion to any Office, whose country is not listed in the binding itinerary of the transit movement, will be rejected by the Office of Departure as long as there is no registered incident for the deviation from the binding itinerary. Nonetheless, diversion will be accepted to such an Office after the Office of Departure has received an incident for the non-conformity to the Binding Itinerary from an Office of Incident Registration that belongs to the related country where diversion is to be requested.

The scenario starts after [\[Step 13\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

The transit movement is declared with binding itinerary and arrives at an Actual Transit Office, where the transit record is not available (neither available at that Actual Office of Transit nor nationally available through the 'Anticipated Transit Record' C_ATR_SND (IE050)). Additionally, as per declaration data, the country of this Actual Transit Office is not listed into the countries of routing of consignment and the flag 'Binding Itinerary' is equal to '1-Yes').

[Step 14] Since the Actual Office of Transit does not locate the MRN nationally, it requests the transit record for the diversion of the transit movement from the Office of Departure by sending the 'Anticipated Transit Record Request' C_ATR_REQ (IE114). The state of the movement at this Actual Office of Transit is set to [ATR Requested](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

Upon reception of the 'Anticipated Transit Record Request' C_ATR_REQ (IE114) message, the Office of Departure locates the MRN and based on declaration data verifies that the movement is declared with binding itinerary and that the diversion request came from a country that is not listed into the binding itinerary of the movement. Additionally, the Office

of Departure does NOT find relevant incident registered for the deviation from the binding itinerary to this specific country.

[Step 15] Due to deviation from the Binding Itinerary and the fact that there is no registered incident for this deviation, the Office of Departure responds with a negative ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) to the requesting Actual Office of Transit. The state of the movement at this Actual Office of Transit is set to [ATR Rejected](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

After examining the rejection reason of the negative ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115), the Actual Office of Transit realises that the movement has deviated from its binding itinerary. Thus, following agreement with the carrier and the current circumstances of the transit movement to continue its journey to this country, this Customs Office now becomes Office of Incident Registration to register an incident for the deviation from the binding itinerary.

NOTE: In case it was decided the transit movement to turn back and follow its binding itinerary, there is no need to register an incident.

[Step 16] The Office of Incident Registration requests the movement information from the Office of Departure by sending the ‘Movement Query’ C_MVT_QUE (IE027) message in order to be informed about the latest status and details of the transit movement by the Office of Departure.

[Step 17] The Office of Departure replies to the Office of Incident Registration with the ‘Response to Movement Query’ C_MVT_RSP (IE038) message containing the latest status and the details of the transit movement.

Upon reception of the ‘Response to Movement Query’ C_MVT_RSP (IE038) message, the Office of Incident Registration reviews the past incident information of the transit movement (in case it exists) and decides that the movement can continue its journey.

NOTE: The Office of Incident Registration could stop the movement and would become Actual Office of Destination.

[Step 18] The Office of Incident Registration registers the incident and then sends the ‘Incident Notification’ C_INC_NOT (IE180) message to the Office of Departure (i.e. the Incident Code ‘1-The carrier is obliged to deviate from the itinerary’ is included into this message).

The state of the movement at the Office of Incident Registration is set to [Incident registered](#).

Upon reception of the ‘Incident Notification’ C_INC_NOT (IE180) message, the **[Step 19]** Office of Departure forwards the incident information to the Holder of the Transit Procedure through the ‘Forwarded Incident Notification To ED’ E_INC_NOT (IE182) message and to the **[Step 20], Step 21]** and **[Step 22]** involved Offices (i.e. Exit for Transit / Transit / Destination) through the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message. Additionally, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration.

After registration of the incident information, the Office of Incident Registration decides that the movement can continue its journey to this country that is not listed into its binding itinerary.

[Step 23] The Actual Office of Transit requests again diversion from the Office of Departure by sending the ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114). The state of the movement at this Actual Office of Transit is set to [ATR Requested](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

Upon reception of the ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114) message, the Office of Departure locates the MRN and based on declaration data verifies that the movement is declared with binding itinerary and that the diversion request came from a country that is not listed into the binding itinerary of the movement. Additionally, the Office of Departure verifies this time that there is registered incident for the deviation from the binding itinerary to this specific country.

[Step 24] Consequently, the Office of Departure responds with a positive ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) to the requesting Actual Office of Transit. The state of the movement at this Actual Office of Transit is set to [ATR created](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

[Step 25] The Actual Office of Transit eventually allows the movement to cross its border. Therefore, the message ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) is sent to the Office of Departure. The state of the movement at the Office of Transit is set to [NCF registered](#), while the state of the movement at the Office of Departure remains to [Movement released](#).

The scenario continues from the [\[Step 17\]](#) of [T-TRA-TRT-A-002-Diversion at Office of Transit accepted](#).

NOTE: In case the transit movement leaves this country and attempts to enter into another one that is also not listed into its binding itinerary then as per the above scenario registration of an incident for the deviation from the binding itinerary is needed before any diversion can be accepted.

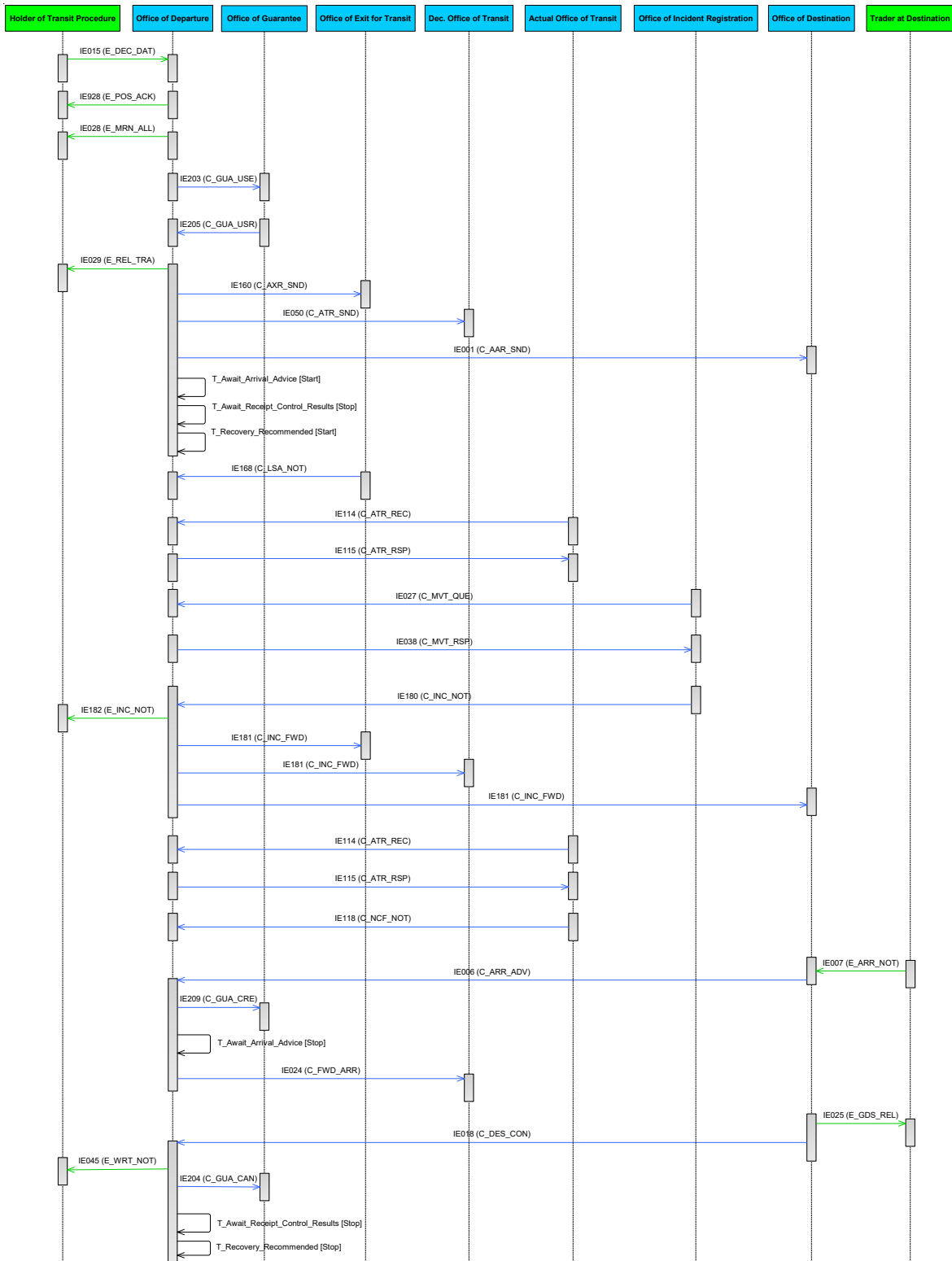


Figure 67: T-TRA-EXC-A-008-Deviation from the Binding Itinerary at Actual Office of Transit - Movement is allowed Diversion after registering the Incident

III.II.7 Export Followed by Transit (EFBT)

There are cases when transit has export as previous procedure. In that case, NCTS needs to interface with AES:

- When the goods are released for export and then the external transit procedure follows, the customs Office of exit shall be the customs Office of departure of the transit operation (UCC IA Article 329)²⁸;
- In case of internal transit, the customs Office of exit shall be the customs Office of departure and the Office of Destination is situated either:
 - in a common transit country (UCC IA Article 329), or
 - at the border of the customs territory of the Union and the goods are taken out of that customs territory, after having passed through a country or territory outside the customs territory of Union (UCC IA Article 329).

Additionally, when the transit declaration is pre-lodged (i.e. Additional Declaration Type is 'D'), meaning that the goods are not presented to the Office of Departure when the transit declaration is captured, then it cannot be used for the export followed by transit scenario.

The export followed by transit scenario is triggered when at least one (1) Export MRN is referenced in the transit declaration. Specifically, the Export MRNs should be declared by the Holder of the Transit Procedure into the Previous Document data group under the House Consignment data group of the transit declaration.

It is emphasised that each House Consignment data group into the transit declaration corresponds to the full details of only one (1) Export Movement²⁹. Moreover, one (1) transit

²⁸ Under Article 189 UCC/ DA - Reg. (EU) n° 2015/2446, external transit must also be used if either Union goods are exported to a common transit country or Union good exports pass through a common transit country and one of the following applies:

- (1) the Union goods have undergone customs export formalities with a view to refunds being granted on export to third countries under the common agricultural policy;
- (2) the Union goods have come from intervention stocks, they are subject to measures of control as to their use or destination, and they have undergone customs formalities on export to third countries under the common agricultural policy;
- (3) the Union goods are eligible for the repayment or remission of import duties on condition that they are placed under External transit in accordance with Article 118(4) of the Code.

²⁹ Exceptionally, for the following two (2) Data Groups in case of Export Followed by Transit,

- when the Data Group <TRANSPORT CHARGES> is available under the Data Group <GOODS SHIPMENT.CONSIGNMENT.GOODS ITEM> in the AES declaration, then it will be mapped with the relevant instance of the Data Group <TRANSPORT CHARGES> under the Data Group <CONSIGNMENT.HOUSE CONSIGNMENT> in the NCTS declaration after the end of the Transitional Period. Therefore, each different value of method of payment will “create” a new repetition of the Data Group <House Consignment> for the same export MRN of the Transit Declaration (declared in <CONSIGNMENT.HOUSE CONSIGNMENT.PREVIOUS DOCUMENT.Reference number>);
- when the transit declaration is a combined declaration with EXS data, and the Data Group <CONSIGNEE> is available under the Data Group <GOODS SHIPMENT.CONSIGNMENT.GOODS ITEM> in the AES declaration, then in transit declaration, information related to the Data Group <CONSIGNEE> will be filled in different instances of the Data Group <House Consignment> with the same Export MRN (declared in <CONSIGNMENT.HOUSE CONSIGNMENT.PREVIOUS DOCUMENT.Reference number>).

declaration can contain more than one (1) export MRNs, but one (1) export MRN cannot be referenced in more than one (1) transit declaration.

The validations to be performed as part of the cross-checking of the transit declaration against the export referenced data that is executed by the AES at the Office of Exit are classified according to their optionality (Minimum-Mandatory, Extended-Recommended, Excise-Specific), as follows:

- Minimum-Mandatory: MRN existence and appropriate state (at the Office of Exit);
- Extended-Recommended: The same Commodity Code (between Transit Declaration and Export Declaration for the referenced export MRN);
- Excise-Specific (in addition to the abovementioned checks):
 - ARC³⁰;
 - CN Code (in case the Extended-Recommended check is not enabled);
 - Net mass;
 - Supplementary units (note: the check of this data item is not mandatory).

In case of export followed by transit of goods under duty suspension (excise goods), there is no direct check between EMCS and NCTS. The approach is to rely on the existing matching between EMCS and AES that was validated (before the goods were released for export).

Furthermore, it is also validated that one (1) export MRN cannot be referenced in more than one (1) transit declaration.

In case that a transit declaration is lodged under simplified procedure, then additionally to the above checks, the location of goods declared in the transit declaration/authorisation (ACR) is validated against the location data registered at the Office of Exit.

The Export followed by Transit procedure is differentiated in case we have Internal Transit or External Transit:

- Under External Transit, the 'Destination Control Results to AES' N_DES_CON (IE042) (OoDep --> OoExt) and subsequently the 'Exit Results' C_EXT_RES (IE518) (OoExt --> OoExp) are sent when the movement is released for transit (i.e. when the 'Anticipated Arrival Record' C_AAR_SND (IE001) is sent);
- Under Internal Transit, the 'Destination Control Results to AES' N_DES_CON (IE042) is sent after the 'Destination Control Results' C_DES_CON (IE018) (appropriate Office of Destination) or after the 'Arrival Advice' C_ARR_ADV (IE006) (inappropriate Office of Destination).

For the Export followed by Transit (EFBT) process, it was decided not to change the NCTS procedures. Additionally, the Guarantees cover only the Transit operation but not the Export Operation, even though the exported goods are declared into the transit declaration.

³⁰ The 'ARC' is provided by the competent authorities of the Member State of dispatch upon validation of the draft 'e-AD' (electronic administrative document). See <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:02009R0684-20140213&from=EN> for more information.

NOTE: In case of Export followed by Transit, if the export declaration includes EXS data, but the transit declaration does not include the EXS data (i.e. Transit Operation.Security = '0' or '1'), then the 'Anticipated Exit for Transit Record' C_AXR_SND (IE160) message shall not be sent by the Office of Departure. In case an 'Anticipated Exit for Transit Record Request' C_AXR_REQ (IE164) message is received by the Office of Departure, it will be responded with a negative 'Anticipated Exit for Transit Record Response' (C_AXR_RSP) IE165 message by using rejection reason code '11 - No EXS data included in the transit declaration'. The carrier will be invited to lodge an EXS at the Office of Exit for Transit, even if the EXS was lodged as part of the Export declaration(s). Nevertheless, if the Office of Exit for Transit is located in the country of the Office of Departure, there is no need for separate EXS (the information HOUSE CONSIGNMENT.Security indicator from export declaration = '2-EXS' shall be re-used, if it is the case for all the House Consignments), taking into account that all the EXS data are available in the Office of Exit (actual) that is located in the country of Office of Exit for Transit.

The below scenarios describe the interface between NCTS and AES at the National Domain, taking place entirely within EU, as end to end for both AES and NCTS sides. However, only the NCTS part of the processes is elaborated.

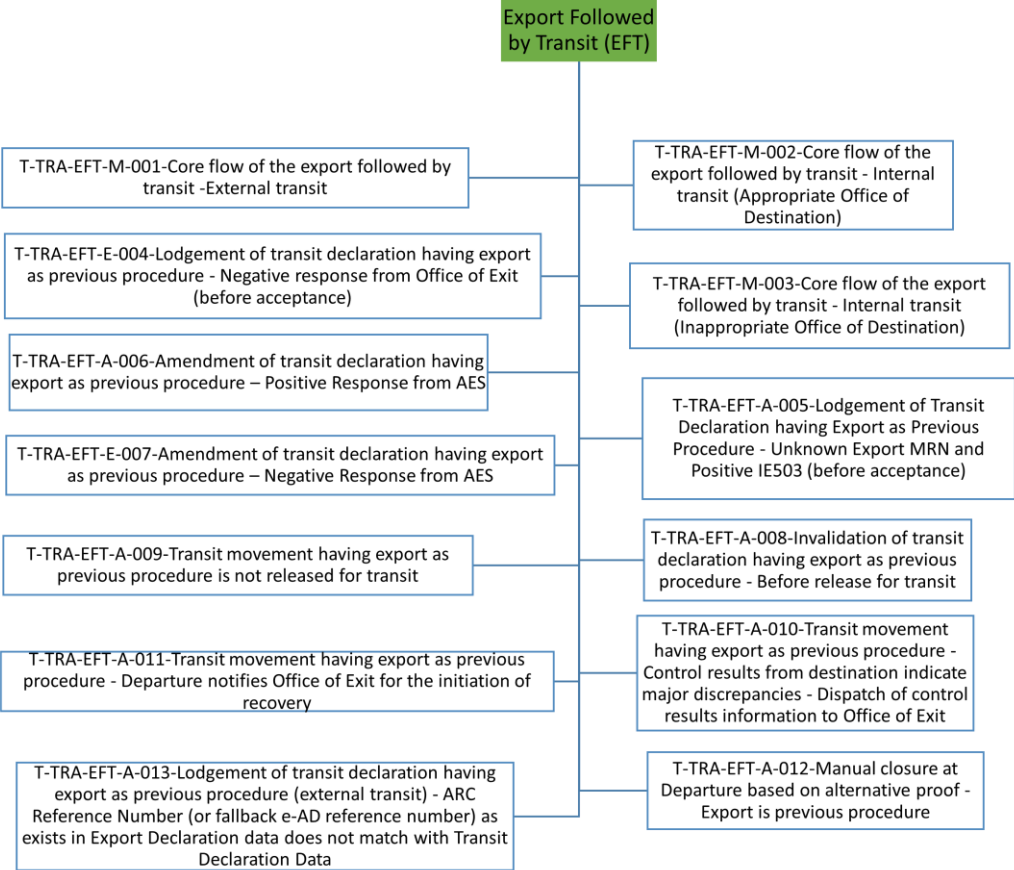


Figure 68: Scenarios of Export followed by Transit

Dispatch of the Inter-Domain Linking (IE078) message to CS/MIS2

When the transit movement includes one or more AES movements as previous procedure the Office of Departure also sends the 'Inter-Domain Linking' C_MRN_LNK (IE078) message to CS/MIS2³¹, according to the following rules:

- in case of direct export followed by national transit, the 'Inter-Domain Linking' C_MRN_LNK (IE078) shall **not** be sent by the Office of Departure to CS/MIS2;
- in case of indirect export followed by national transit, the 'Inter-Domain Linking' C_MRN_LNK (IE078) shall be sent by the Office of Departure to CS/MIS2 when the Country of Departure implemented the CCN GW Loopback of national messages. It will be sent together with the (national) 'Anticipated Arrival Record' C_AAR_SND (IE001) exchanged over the National Domain with CCN GW Loopback mode);
- in case of direct export followed by national transit that is diverted and becomes an international transit movement, the 'Inter-Domain Linking' C_MRN_LNK (IE078) shall be sent by the Office of Departure to CS/MIS2. It will be sent when the (positive) 'Anticipated Transit Record Response' C_ATR_RSP (IE115) is exchanged (in case of diversion to another CTC Contracting Party) or the 'Anticipated Arrival Record Response' C_AAR_RSP (IE003) is sent (in case of diversion within EU);
- in case of direct or indirect export followed by international transit, the 'Inter-Domain Linking' C_MRN_LNK (IE078) shall be sent by the Office of Departure to CS/MIS2 together with the 'Anticipated Arrival Record' C_AAR_SND (IE001) exchanged over the Common Domain.

See section II.4.6 of DDCOM [A3] for more information about the sending of 'Inter-Domain Linking' C_MRN_LNK (IE578) to CS/MIS2.

III.II.7.1 Core Flow of the Export followed by Transit

The core flow scenarios present end to end both NCTS and AES systems. When transit has export as previous procedure, the same Customs Office assumes two (2) roles: that of the Customs Office of Exit and that of the Customs Office of Departure. The core flow scenario presents the happy path with all the necessary message interactions that occur between NCTS and AES. The subsequent scenarios focus on more specialised cases of this interaction that are considered variations from the core flow.

The external Union transit procedure (T1), applies mainly to the movement of non-Union goods. It suspends import duties, other charges and commercial policy measures until the goods reach their destination in the Union. It should be noted that the excise goods referenced in an export declaration as previous procedure can only continue with the external transit procedure for the purpose of the export followed by transit scenario.

The internal Union transit procedure (T2) applies to Union goods where they are moved from one point to another within the customs territory of the Union and pass through a country or territory outside that territory without any change in their customs status. Where the goods are moved from the Union to a common transit country and transit procedure follows export procedure, internal Union transit procedure applies as well. This procedure is not used when the goods are carried entirely by sea or by air.

31 The CS/MIS application will process the 'Inter-Domain Linking' C_MRN_LNK (IE078) and use this inter-domain linking information to update the MRN Follow up section (see section II.4.6 of DDCOM [A3]).

Additionally, for the export followed by transit scenario, when the transit declaration type (i.e. at the Transit Operation data group) is any of T1 or TIR, the external Union transit applies, while for any of the transit declaration types T2 or T2F, the internal Union Transit applies.

In contrast, when the transit declaration type (i.e. at the Transit Operation level) is T (i.e. Mixed Consignment), one (1) of the following cases apply:

1. if all Consignment Items of one House Consignment have the same declaration type 'T1', then the related Export MRN will follow the external Union Transit,
2. if all Consignment Items of one House Consignment have the same declaration type 'T2', then the related Export MRN will follow the internal Union Transit,
3. if a House Consignment consists of multiple Consignment Items with a mix of declaration types 'T1' and ('T2' or 'T2F'), then the related Export MRN will follow the external Union Transit.

Nevertheless, if one (1) Transit movement includes a mix of House Consignment data groups (i.e. as explained in points 1 and 2; or points 2 and 3 above), then the Export followed by Transit process will follow two different paths (the one defined for External Transit and the one defined for Internal Transit).

The core flow scenario is divided to two sub-scenarios based on the type of transit procedure that follows export (i.e. Internal or External). The difference is that the export movement is closed upon release for transit when the external transit procedure is involved, but when the internal transit procedure is involved, the Export Movement is closed either after the destination control results are received from an 'appropriate' Office of Destination or after the arrival advice is received from a 'non-appropriate' Office of Destination. The differentiation of the transit procedure whether being external or internal is based on the declaration type.

That means, in case of internal transit, the Office of Departure validates the 'appropriateness' of the Declared Office of Destination initially during the validation process of the transit declaration. An 'appropriate' Office of Destination for the export movement purposes (referenced in the transit declaration) is considered that Office that either possesses the role 'EXT-Office of Exit' (i.e. in addition to the role 'DES-Office of Destination') or is located into a non-EU country that operates in NCTS under the Common Transit Convention. Therefore, a second validation is also taking place when the transit movement arrives at its final destination (i.e. to the Actual Customs Office of Destination) and the arrival advice is received by the Office of Departure, which reports accordingly to the Office of Exit with the destination control results message.

Finally, under the Export followed by Transit scenarios, Simplified Procedure is applicable for NCTS only as long as the Authorised Consignor possess the relevant Authorisation of Authorised Consignor (ACR) for Simplified Procedure at the Office of Departure. This means that the goods of the transit movement can be placed to a location as specified in the pertinent Authorisation.

It is also clarified that a transit declaration in the export followed by transit scenarios can be also lodged using the reduced data set; however, the net mass data item must be present.

III.II.7.1.1 T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit

When external transit follows export, NCTS notifies AES with the ‘Destination Control Results to AES’ N_DES_CON (IE042) message at the time the movement is released for transit. When AES receives this message, the exit control results are directly communicated to the Office of Export with the ‘Exit Results’ C_EXT_RES (IE518) message and that finalises the export movement. However, even though any further interaction with AES is finished, the transit procedure continues until the ‘Destination Control Results’ C_DES_CON (IE018) message is sent to the Office of Departure from the Office of Destination.

[Step 1] The Declarant or Representative submits an Export Declaration to the Office of Export with the ‘Export Declaration’ E_EXP_DAT (IE515) message.

[Step 2] The Office of Export validates it (i.e. in terms of message structure and R/Cs) and if valid, it accepts it. The ‘Export MRN Allocated’ E_MRN_EXP (IE528) message is sent to the Declarant or Representative.

The Office of Export decides to release the export movement.

[Step 3] In that case, the Office of Export sends the ‘Release for Export’ E_REL_EXP (IE529) message to the Declarant or Representative.

[Step 4] The Office of Export also sends the ‘AER’ C_AER_SND (IE501) message to the Office of Exit.

After the ‘AER’ C_AER_SND (IE501) message is received by the Office of Exit, the export movement arrives and thus the goods of the export movement are now located at the Office of Exit. However, the Declarant or Representative decides that the physical exit of goods from the Union Territory will be covered by the transit procedure.

[Step 5] The Holder of the Transit Procedure submits a transit declaration for external transit procedure by sending the ‘Declaration Data’ E_DEC_DAT (IE015) message to the Office of Departure that also possesses the role of Office of Exit. Additionally, the transit declaration data contains references to Export MRNs in the previous documents.

[Step 6] If the transit declaration is valid in terms of syntactic and semantic validations (i.e. checks in message structure and R/Cs), the Office of Departure acknowledges the reception of the transit declaration with the ‘Positive Acknowledge’ E_POS_ACK (IE928) message. The state of the transit declaration at the Office of Departure is set to [Submitted](#).

[Step 7] The Office of Departure sends the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit so as to perform the cross-check validation³². This validation comprises the existence of the declared export MRN along with the state appropriateness at the Office of Exit in the AES system. In case of Simplified Procedure, the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message also includes the location

³² The validations to be performed as part of the cross-checking that is provided by the AES at the Office of Exit are referenced in the introduction of the EFBT chapter (see III.II.7).

of goods as specified in the transit declaration/Authorisation of Authorised Consignor (ACR).

Upon reception of the 'Transit Presentation Notification' N_XFT_REQ (IE190) message, in the AES system, the Office of Exit verifies that the Export MRNs exist and are in appropriate state (i.e. AER Created).

[Step 8] The Office of Exit produces a positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message and sends it to the Office of Departure.

[Step 9] Upon reception of the positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message, the Office of Departure verifies if the ARC reference number(s) (or the fallback e-AD reference number(s)) received in the 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is/are also included in the 'Declaration Data' E_DEC_DAT (IE015). After verifying that the ARC reference number(s) (or fallback e-AD(s)) is/are included in the 'Declaration Data' E_DEC_DAT (IE015), the Office of Departure accepts the transit declaration and communicates the MRN to the Holder of the Transit Procedure with the 'MRN Allocated' E_MRN_ALL (IE028) message.

The state of the movement at the Office of Departure is set to [Accepted](#).

[Step 10] The 'Transit Presentation Notification' N_XFT_REQ (IE190) message is sent again to the Office of Exit to allocate the transit MRN for the Export MRNs since the transit declaration has been accepted.

While a response is expected from the Office of Exit, the state of the movement at the Office of Departure is set to [Pending response from AES](#).

Upon reception of the 'Transit Presentation Notification' N_XFT_REQ (IE190) message, the Office of Exit allocates the Transit MRN for the specific Export MRNs

[Step 11] The Office of Exit replies back with a positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message to acknowledge the successful allocation of the Transit MRN with the Export MRN(s).

Upon reception of a positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message, the state is set back to [Accepted](#).

Next, the risk analysis is performed into the transit movement. Following the completion of the risk analysis - in case of Simplified procedure - the timer [T Awaiting Automatic Release](#) is started when no risk is identified.

Following the successful allocation of the Transit MRN with the specific Export MRNs, the completion of risk analysis and in case of no control or control with satisfactory control results, or in case of Simplified Procedure the timer [T Awaiting Automatic Release](#) has been previously initiated and expired (meaning no control), the state of the movement at the Office of Departure is set to [Under guarantee registration](#).

The guarantee reference numbers in the transit declaration maintained in the Guarantee Management System (GMS) are to be registered.

[Step 12] The Office of Departure sends the ‘Guarantee use’ C_GUA_USE (IE203) message to Guarantee Management System (GMS).

[Step 13] The Guarantee Management System (GMS) sends the ‘Guarantee Use Result’ C_GUA_USR (IE205) message to Office of Departure without an Invalid Guarantee Reason error code indicating that the guarantees are registered.

When all guarantees are registered, the state of the movement at the Office of Departure is set to [Guarantee registered](#). Next, the Office of Departure update the system with their decision to release the movement. The state of the movement at the Office of Departure is set to [Movement released](#).

[Step 14] The Office of Departure sends the ‘Release for transit’ E_REL_TRA (IE029) message to the Holder of the Transit Procedure.

[Step 15] The Office of Departure also sends the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) message to the Office of Destination.

Additionally, when an ‘Anticipated Arrival Record’ C_AAR_SND (IE001) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 16] The Office of Departure also sends the ‘Destination Control Results to AES’ N_DES_CON (IE042) message upon release for transit to the Office of Exit (i.e. to AES) with control result code ‘A1’ (i.e. the ‘Destination Control Results to AES’ N_DES_CON (IE042) is sent upon release for transit when the transit movement is under the external transit procedure).

[Step 17] Upon reception of the ‘Destination Control Results to AES’ N_DES_CON (IE042) message, the Office of Exit prepares and sends the ‘Exit Results’ C_EXT_RES (IE518) to the Office of Export containing the same exit control result code ‘A1’.

Upon reception of the ‘Exit Results’ C_EXT_RES (IE518), the movement is closed at the Office of Export.

[Step 18] The Office of Export sends the ‘Export Notification’ E_EXP_NTF (IE599) message to the Declarant or Representative.

[Step 19] The timer [T_Await_Arrival_Advice](#) at the Office of Departure starts.

[Step 20] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure starts.

[Step 21] The timer [T_Recovery_Recommended](#) at the Office of Departure starts.

The business flow of the transit procedure continues with the arrival of the transit movement at the final Office of Destination, that is, from [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: The ‘Functional NACK’ E_FUN_NCK (IE906) (as defined in DDNTA Appendix Q2) is used to report Business Validation Errors (e.g. R/Cs violation) for the Export followed by

Transit national messages (i.e. IE190/IE191/IE040/IE042/IE048). The 'XML NACK' E_XML_NCK (IE917) will be used in general to reject External Domain and National Domain messages for syntactic validation errors (i.e. XSD errors).

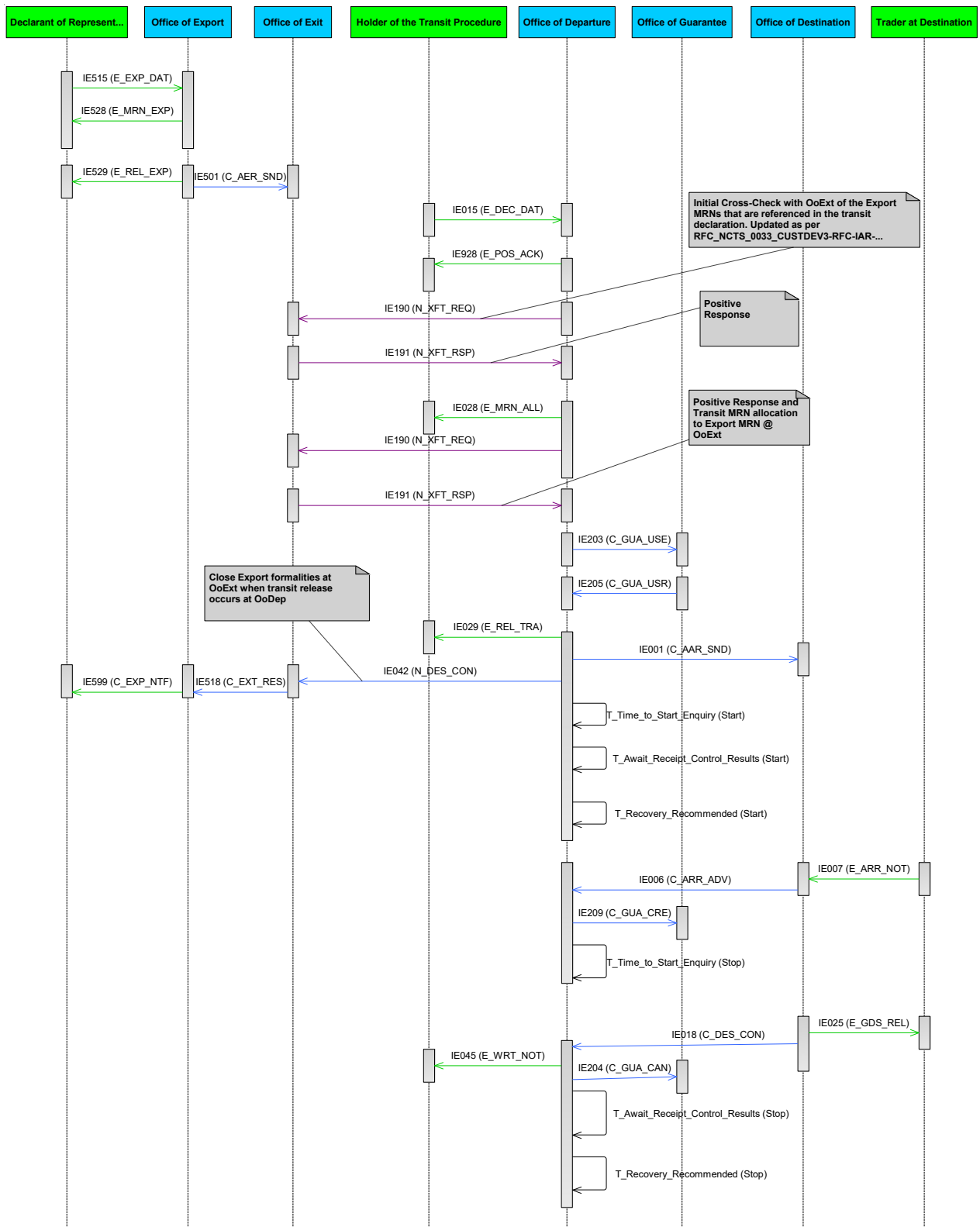


Figure 69: T-TRA-EFT-M-001-Core flow of the export followed by transit -External transit

III.II.7.1.2 T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit (Appropriate Office of Destination)

This scenario applies only for internal transit and examines the case that the transit movement ends its journey to a final destination that is considered an ‘appropriate’ Office of Destination. An ‘appropriate’ Office of Destination is considered that Office that either:

- Belongs to an EU MS and has the role ‘EXT-Office of Exit’; or
- Belongs to a Common Transit Convention country (i.e. that operates in NCTS).

The ‘appropriateness’ of the Office of Destination is checked by the Office of Departure twice:

- Firstly, during the validation of the transit declaration but before the allocation of the MRN to the transit movement, and
- Lastly, when the Office of Departure receives the ‘Arrival Advice’ C_ARR_ADV (IE006) message from the Office of Destination.

The reason that the ‘appropriateness’ of the Office of Destination is checked by the Office of Departure is to suitably inform the AES system with the ‘Destination Control Results to AES’ N_DES_CON (IE042) message so as proper actions are taken in AES to finalise the export movement.

This scenario depicts the case that the Holder of the Transit Procedure submits the ‘Declaration Data’ E_DEC_DAT (IE015) message to the Office of Departure that contains an appropriate Declared Office of Destination, and the transit movement arrives at this Declared Office of Destination.

[Step 1] The Declarant or Representative submits an Export Declaration to the Office of Export with the ‘Export Declaration’ E_EXP_DAT (IE515) message.

[Step 2] The Office of Export validates it (i.e. in terms of message structure and R/Cs) and accepts it. Therefore, the Office of Export dispatches the ‘Export MRN Allocated’ E_MRN_EXP (IE528) message to the Declarant or Representative.

The Office of Export decides to release the export movement.

[Step 3] In that case, the Office of Export sends the ‘Release for Export’ E_REL_EXP (IE529) message to the Declarant or Representative.

[Step 4] The Office of Export also sends the ‘AER’ C_AER_SND (IE501) to the Office of Exit.

After the ‘AER’ C_AER_SND (IE501) message is received by the Office of Exit, the export movement arrives and thus the goods of the export movement are now located at the Office of Exit. However, the Declarant or Representative decides that the physical exit of goods from the Union Territory will be covered by the transit procedure.

[Step 5] The Holder of the Transit Procedure submits a transit declaration for internal transit procedure by sending the ‘Declaration Data’ E_DEC_DAT (IE015) message to the Office of Departure that also possesses the role of Office of Exit. Additionally, the transit declaration data contains references to Export MRNs in the previous documents.

The Office of Departure performs all necessary validations in terms of:

- Message structure, R/Cs, and
- ‘Appropriateness’ of the Office of Destination since the transit movement is under internal transit - i.e. the Office of Destination either belongs to an EU MS and possesses the role ‘EXT-Office of Exit’ or the Office of Destination belongs to a CTC country. That means if any of above is valid, then the Office of Destination is considered ‘appropriate’.

If all the above validation checks are successful, the Office of Departure acknowledges the reception of the transit declaration with the ‘Positive Acknowledge’ E_POS_ACK (IE928) message. The transit declaration is set to the status [Submitted](#) (i.e. otherwise it is rejected).

[Step 6] The Office of Departure sends the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit as an initial cross-check so as to perform an initial validation. This initial validation comprises the existence of the declared export MRN along with the state appropriateness at the Office of Exit in the AES system³³. In case of Simplified Procedure, the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message also includes the location of goods as specified in the Authorisation of Authorised Consignor (ACR).

Upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit verifies that the Export MRNs exist and are in appropriate state (i.e. AER Created).

[Step 7] The Office of Exit produces a positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message and sends it to the Office of Departure.

[Step 8] Upon reception of the positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, the Office of Departure accepts the transit declaration and communicates the MRN to the Holder of the Transit Procedure with the ‘MRN Allocated’ E_MRN_ALL (IE028) message.

The state of the movement at the Office of Departure is set to [Accepted](#).

[Step 9] The Office of Departure sends again the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit to allocate the transit MRN for the Export MRNs since the transit declaration is accepted.

While a response is expected from the Office of Exit, the state of the movement at the Office of Departure is set to [Pending response from AES](#).

Upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit allocates the Transit MRN for the specific Export MRNs.

³³ The validations to be performed as part of the cross-checking that is provided by the AES at the Office of Exit are referenced in the introduction of the EFBT chapter (see III.II.7). However, the Excise-Specific cross check is not enabled since the excise goods are handled under external transit.

[Step 10] The Office of Exit replies back with a positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message to acknowledge the successful allocation of the Transit MRN with the Export MRN(s).

Upon reception of a positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, the state of the movement at the Office of Departure is set back to [Accepted](#).

Next, the risk analysis is performed into the transit movement. Following the completion of the risk analysis - in case of Simplified procedure - the timer [T_Awaiting Automatic Release](#) is started when no risk is identified.

Following the successful allocation of the Transit MRN with the specific Export MRNs, the completion of risk analysis and no control or control with successful control results, or in case of Simplified Procedure the timer [T_Awaiting Automatic Release](#) has been previously initiated and expired (meaning no control), the state of the movement at the Office of Departure is set to [Under guarantee registration](#).

The guarantee reference numbers in the transit declaration maintained in the Guarantee Management System (GMS) are to be registered.

[Step 11] The Office of Departure sends the ‘Guarantee use’ C_GUA_USE (IE203) message to Guarantee Management System (GMS).

[Step 12] The Guarantee Management System (GMS) sends the ‘Guarantee Use Result’ C_GUA_USR (IE205) message to Office of Departure without an Invalid Guarantee Reason error code indicating that the guarantees are registered.

When all guarantees are registered, the state of the movement at the Office of Departure is set to [Guarantee registered](#). Next, the Office of Departure update the system with their decision to release the movement. The state of the movement at the Office of Departure is set to [Movement released](#).

[Step 13] The Office of Departure sends the ‘Release for Transit’ E_REL_TRA (IE029) message to the Holder of the Transit Procedure.

[Step 14] The Office of Departure also sends the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) message to the Office of Destination. The state of the movement at the Office of Destination is set to [AAR created](#).

Additionally, when an ‘Anticipated Arrival Record’ C_AAR_SND (IE001) is received, the Customs Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

[Step 15] The Office of Departure also sends the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message to the Office of Exit for Transit. The state of the movement at the Office of Exit for Transit is set to [AXR created](#).

It should be noted that when an ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) is received, the Office of Exit for Transit executes an automatic risk analysis on the received anticipated exit for transit record.

[Step 16] The Office of Departure also sends the ‘Anticipated Transit Record’ C_ATR_SND (IE050) message to the Office of Transit. The state of the movement at the Office Transit is set to [ATR created](#).

It should be noted that when an ‘Anticipated Transit Record’ C_ATR_SND (IE050) is received, the Office of Transit executes an automatic risk analysis on the received anticipated transit record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 17] The timer [T_Await_Arrival_Advice](#) at the Office of Departure starts.

[Step 18] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure starts.

[Step 19] The timer [T_Recovery_Recommended](#) at the Office of Departure starts.

[Step 20] After release for transit, the Office of Exit for Transit notifies the Office of Departure with the message ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) indicating that the movement left the Security Area.

The state of the movement at the Office of Exit for Transit is set to [Movement left the Security Area](#). The state of the movement at the Office of Departure remains [Movement released](#).

[Step 21] The Office of Transit notifies the Office of Departure with the message ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) indicating that the movement was allowed to cross the border at this Office.

The state of the movement at the Office of Transit is set to [NCF registered](#). The state of the movement at the Office of Departure remains [Movement released](#).

[Step 22] The Trader at Destination sends the ‘Arrival Notification’ E_ARR_NOT (IE007) message to notify the Office of Destination that the movement has arrived at the Office of Destination.

Additionally, based on the information in the ‘Arrival Notification’ E_ARR_NOT (IE007) message, risk analysis is performed into the transit movement. The Office of Destination will also independently execute their own risk analysis (considering the risk results that may have already been communicated by the Office of Departure located in Security Area plus any other individual risk assessment performed based on the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) prior to the arrival of the movement) when the goods are presented.

The Office of Destination successfully validates this message (i.e. in terms of message structure and R/Cs) and the state is set to [Arrival accepted](#).

[Step 23] The Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) message to notify the Office of Departure that the movement has arrived at its final destination.

The state of the movement at the Office of Departure is set to [Arrived](#).

[Step 24] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

Upon reception of this message, the Office of Departure validates that the Office of Destination is appropriate (i.e. possesses either the role 'EXT-Office of Exit' or belongs to a CTC country). This is a signal for the Office of Departure to wait for the 'Destination Control Results' C_DES_CON (IE018) message before communicating with the Office of Exit (i.e. with the 'Destination Control Results to AES' N_DES_CON (IE042) message).

Following no control or control with satisfactory control results at the Office of Destination, the goods are finally released. The state of the movement at the Office of Destination is set to [Goods released](#).

[Step 25] The Office of Destination notifies the Trader at Destination with the 'Goods Release Notification' E_GDS_REL (IE025) message (i.e. "Release Indicator" flag is equal to "1-Full release of goods (as per declaration) - Movement closed").

[Step 26] The Office of Destination sends the 'Destination Control Results' C_DES_CON (IE018) message to the Office of Departure with satisfactory control results (i.e. 'A1' or 'A2' or 'A5').

[Step 27] The Office of Departure sends the 'Write-Off Notification' E_WRT_NOT (IE045) message to the Holder of the Transit Procedure.

[Step 28] The Office of Departure sends the 'Guarantee Use Cancellation' C_GUA_CAN (IE204) message to the Guarantee Management System(s) to release the guarantee(s).

[Step 29] The Office of Departure sends the 'Destination Control Results to AES' N_DES_CON (IE042) message to the Office of Exit with the relevant control result code per Export MRN that corresponds to the control result code included into the message 'Destination Control Results' C_DES_CON (IE018) (i.e. please refer to the [Table 7: Export followed by Transit – Correlation of Control Result Codes between the IE018 and IE042 messages](#) for the association of the control result codes between the 'Destination Control Results' C_DES_CON (IE018) and the 'Destination Control Results to AES' N_DES_CON (IE042) messages). As per assumption of this scenario, the 'Destination Control Results' C_DES_CON (IE018) contains a satisfactory control result code (i.e. 'A1' or 'A2' or 'A5').

The state of the movement at the Office of Departure is set to [Movement written off](#).

[Step 30] Upon reception of the 'Destination Control Results to AES' N_DES_CON (IE042) message, the Office of Exit prepares and sends the 'Exit Results' C_EXT_RES (IE518) for each Export MRN to the Office of Export containing the same exit control result code as the one included in the 'Destination Control Results to AES' N_DES_CON (IE042) message.

[Step 31] The Office of Export notifies the Declarant or Representative with the 'Export Notification' E_EXT_NTF (IE599) message.

[Step 32] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure stops.

[Step 33] The timer [T_Recovery_Recommended](#) at the Office of Departure stops.

The business flow of the transit procedure ends here.

NOTES:

In case of diversion at Destination, the 'Arrival Advice' C_ARR_ADV (IE006) message could be sent by an Office of Destination that is either 'appropriate' or 'not appropriate'. The Office of Exit will be informed accordingly with the 'Destination Control Results to AES' N_DES_CON (IE042) message after the 'Arrival Advice' C_ARR_ADV (IE006) message in case of inappropriate Office of Destination or after the 'Destination Control Results' C_DES_CON (IE018) message in case of appropriate Office of Destination.

The 'Functional NACK' E_FUN_NCK (IE906) (as defined in DDNTA Appendix Q2) is used to report Business Validation Errors (e.g. R/Cs violation) for the Export followed by Transit national messages (i.e. IE190/IE191/IE040/IE042/IE048). The 'XML NACK' E_XML_NCK (IE917) will be used in general to reject External Domain and National Domain messages for syntactic validation errors (i.e. XSD errors).

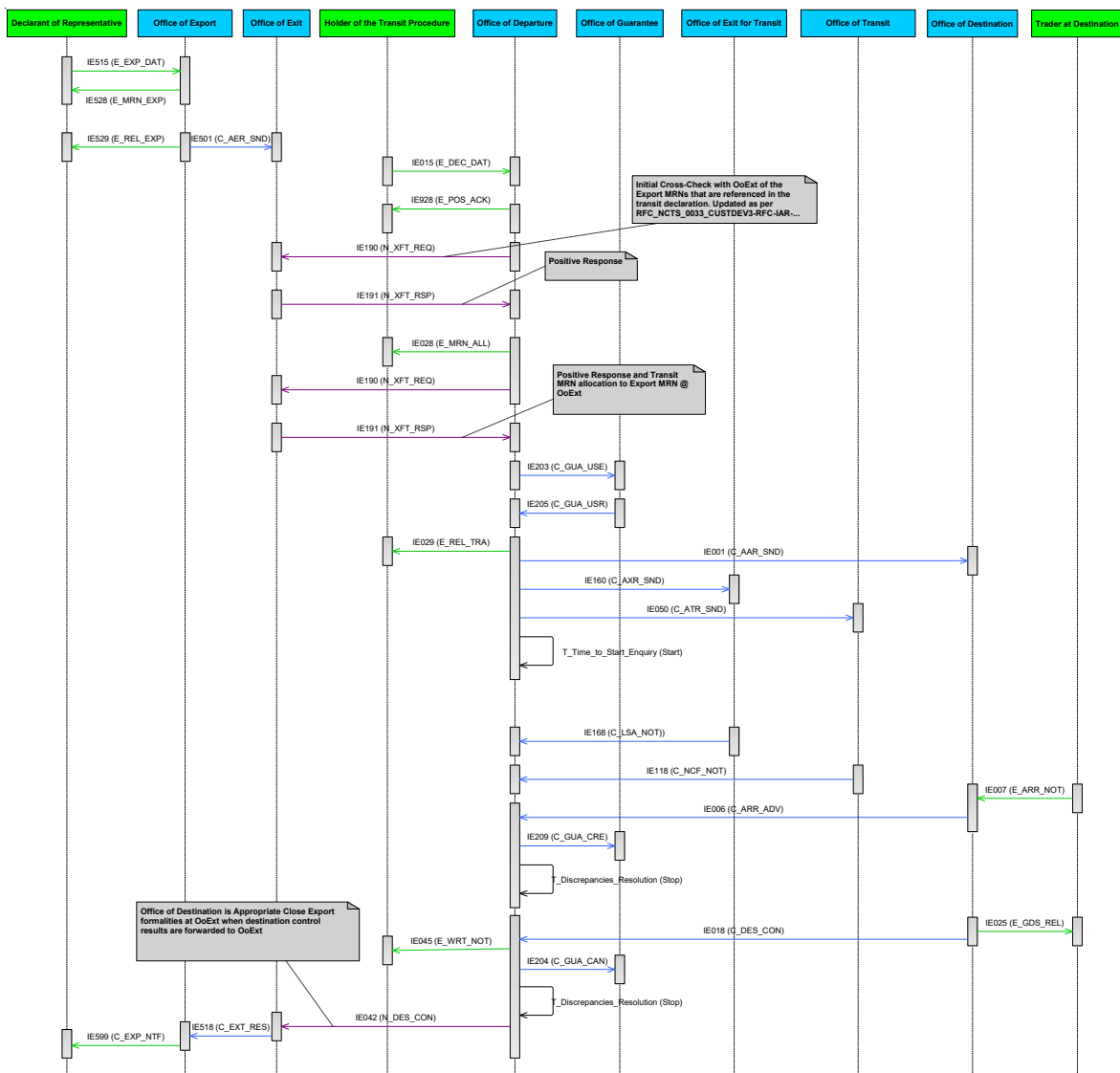


Figure 70: T-TRA-EFT-M-002-Core Flow of the export followed by Transit - Internal transit (Appropriate Office of Destination)

III.II.7.1.3 T-TRA-EFT-M-003-Core flow of the export followed by transit - Internal transit (Inappropriate Office of Destination)

This scenario applies only for internal transit and examines the case that the transit movement ends its journey to a final destination that is considered a ‘non-appropriate’ Office of Destination. An ‘appropriate’ Office of Destination is considered that Office that either:

- Belongs to an EU MS and has the role ‘EXT-Office of Exit’; or
- Belongs to a Common Transit Convention country (i.e. that operates in NCTS).

The ‘appropriateness’ of the Office of Destination is checked by the Office of Departure:

- Firstly, during the validation of the transit declaration but before the allocation of the MRN to the transit movement, and
- Lastly, when the Office of Departure receives the ‘Arrival Advice’ C_ARR_ADV (IE006) message from the Office of Destination.

The reason that the ‘appropriateness’ of the Office of Destination is checked by the Office of Departure is to suitably inform the AES system with the ‘Destination Control Results to AES’ N_DES_CON (IE042) message so as proper actions are taken in AES to finalise the export movement.

This scenario depicts the case that the Holder of the Transit Procedure submits the ‘Declaration Data’ E_DEC_DAT (IE015) message to the Office of Departure that even though it contains an appropriate Declared Office of Destination, the transit movement arrives to an inappropriate Actual Office of Destination.

The scenario starts after [\[Step 21\]](#) of the [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#).

[Step 22] The movement arrives at destination. The Trader at Destination sends the ‘Arrival Notification’ E_ARR_NOT (IE007) message to an Actual Office of Destination to notify for the arrival of the movement, but no ‘Anticipated Arrival Record’ C_AAR_SND (IE001) message has been received for this transit MRN.

[Step 23] Since the ‘Anticipated Arrival Record’ is not available nationally, the Office of Destination prepares and sends the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) message to the Office of Departure. The state of the movement at the Office of Destination is set to [AAR Requested](#).

[Step 24] The Office of Departure validates successfully the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) message and sends back to the Office of Destination the ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) message (positive).

Additionally, when a positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) is received, the Office of Destination executes an automatic risk analysis on the received anticipated arrival record.

Risk analysis results from the Office of Departure are only communicated to other involved Offices that are located inside the Security Area.

[Step 25] Successively, the Office of Destination sends the ‘Arrival Advice’ C_ARR_ADV (IE006) message to the Office of Departure that the movement has arrived at its final destination. The state of the movement at the Office of Departure is set to [Arrived](#), while the state of the movement at the Office of Destination is set to [Arrival accepted](#).

Upon reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) message, the Office of Departure validates that **the Office of Destination is NOT appropriate** (i.e. it does neither possess the role ‘EXT-Office of Exit’ nor is it located to a CTC country).

[Step 26] Consequently, the Office of Departure sends the ‘Destination Control Results to AES’ N_DES_CON (IE042) message to the Office of Exit with control result code ‘B2’ (please refer to the [Table 7: Export followed by Transit – Correlation of Control Result Codes between the IE018 and IE042 messages](#) for the association of the control result codes between the ‘Destination Control Results’ C_DES_CON (IE018) and the ‘Destination Control Results to AES’ N_DES_CON (IE042) messages).

[Step 27] Upon reception of the ‘Destination Control Results to AES’ N_DES_CON (IE042) message, the Office of Exit prepares and sends the ‘Exit Results’ C_EXT_RES (IE518) per Export MRN to the Office(s) of Export containing the exit control result code ‘B2’ to notify for further action the Office(s) of Export about the ‘inappropriateness’ of the Office of Destination.

NOTE: When the Office of Destination is inappropriate, the ‘Destination Control Results to AES’ N_DES_CON (IE042) is sent to the Office of Exit after the reception of ‘Arrival Advice’ C_ARR_ADV (IE006) from this inappropriate Office of Destination [i.e. not after the ‘Destination Control Results’ C_DES_CON (IE018)]. In this case, the Destination Control Results to AES’ N_DES_CON (IE042) is sent to the Office of Exit with control result code ‘B2’. When the Office of Exit receives the ‘Destination Control Results to AES’ N_DES_CON (IE042), then it sends the ‘Exit Results’ C_EXT_RES (IE518) with control result code ‘B2’ to the Office of Export.

Please note that the control result code ‘B2’ is applicable only for AES and not for NCTS.

[Step 28] The Office of Export sends the ‘Export Notification’ E_EXT_NTF (IE599) message to the Declarant or Representative.

[Step 29] The Office of Departure notifies the Declared Office of Destination with the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message only in case the Declared Office of Destination does not belong to the same National Administration from where the ‘Arrival Advice’ C_ARR_ADV (IE006) has been received. The state of the movement at the Declared Office of Destination is set to [Arrived](#).

The business flow of the transit procedure continues from [\[Step 17\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: The ‘Functional NACK’ E_FUN_NCK (IE906) (as defined in DDNTA Appendix Q2) is used to report Business Validation Errors (e.g. R/Cs violation) for the Export followed by Transit national messages (i.e. IE190/IE191/IE040/IE042/IE048). The ‘XML NACK’ E_XML_NCK (IE917) will be used in general to reject External Domain and National Domain messages for syntactic validation errors (i.e. XSD errors).

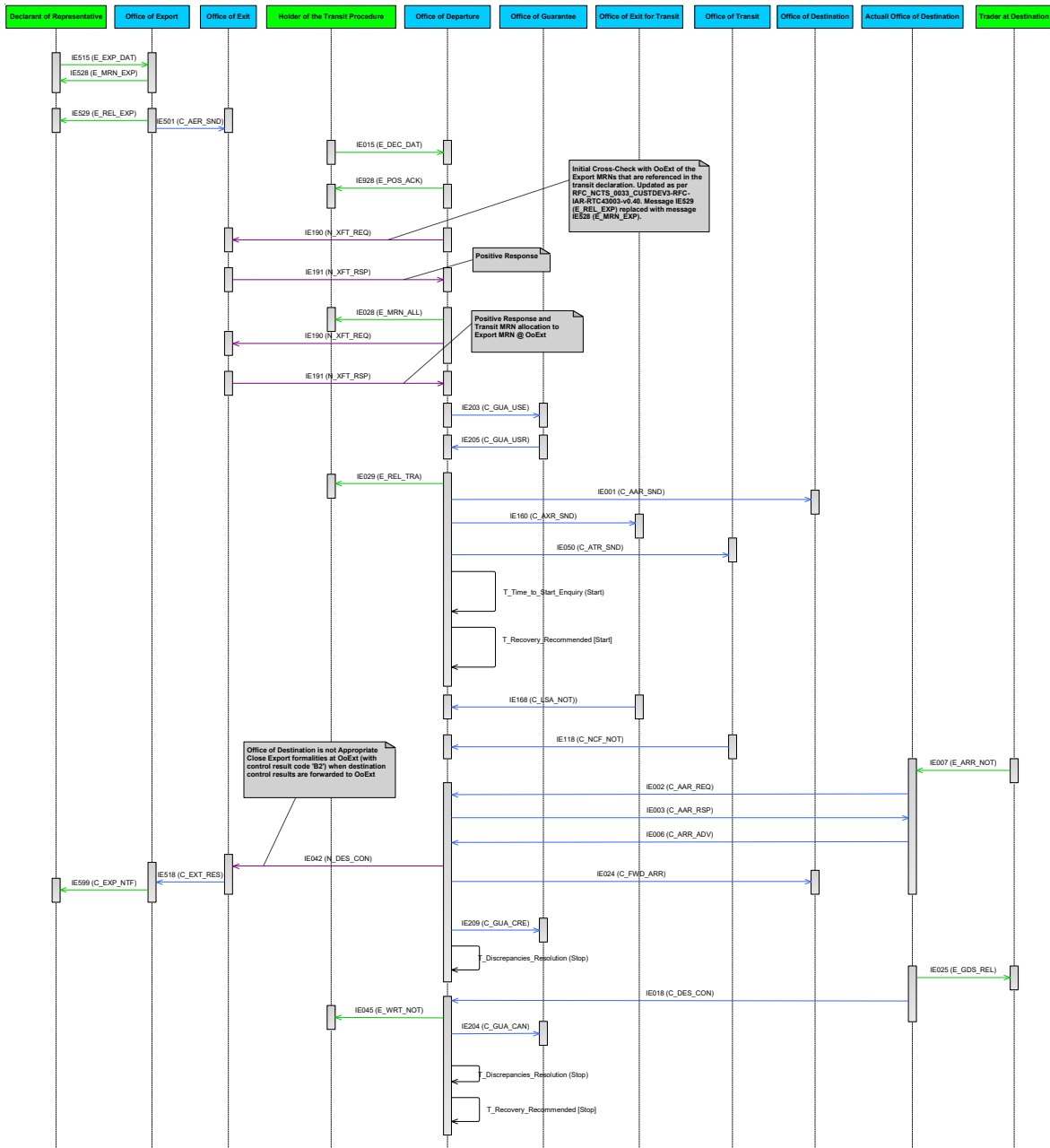


Figure 71: T-TRA-EFT-M-003-Core Flow of the export followed by Transit - Internal transit (Inappropriate Office of Destination)

III.II.7.2 Lodgement of Transit Declaration having Export as Previous Procedure

This section describes the lodgement of the Transit Declaration having Export as Previous Procedure, but it describes what happens when:

- One (1) or more of the Export MRNs declared in the Transit Declaration exists, but it is not in appropriate status at the Office of Exit; or
- One (1) or more of the Export MRNs declared in the Transit Declaration does not exist at the Office of Exit.

III.II.7.2.1 T-TRA-EFT-E-004-Lodgement of transit declaration having export as previous procedure - Negative response from Office of Exit (before acceptance)

This scenario describes the case when the Office of Departure performs an initial cross check of every Export MRN referenced in the transit declaration by sending the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit for validation purposes. However, the Office of Exit responds with a negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, due to the fact that one or more Export MRN(s) prove(s) to be problematic. In that case, the process stops in NCTS and the transit declaration is rejected by sending the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message to the Holder of the Transit Procedure (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The rejection of the transit declaration produces no message notification to the Office of Exit.

[Step 1] The Declarant or Representative submits an Export Declaration to the Office of Export with the ‘Export Declaration’ E_EXP_DAT (IE515) message.

[Step 2] The Office of Export validates it (i.e. in terms of message structure and R/Cs) successfully and thus the export movement is accepted. So, the Office of Export sends the ‘Export MRN Allocated’ E_MRN_EXP (IE528) message to the Declarant or Representative.

The Office of Export decides to release the export movement.

[Step 3] The Office of Export sends the ‘Release for Export’ E_REL_EXP (IE529) message to the Declarant or Representative.

[Step 4] Moreover, the Office of Export sends the ‘AER’ C_AER_SND (IE501) message to the Office of Exit.

After the ‘AER’ C_AER_SND (IE501) message is received by the Office of Exit, the export movement arrives and thus the goods of the export movement are now located at the Office of Exit. However, the Declarant or Representative decides that the physical exit of goods from the Union Territory will be covered by the transit procedure.

[Step 5] The Holder of the Transit Procedure submits a transit declaration by sending the ‘Declaration Data’ E_DEC_DAT (IE015) message to the Office of Departure (i.e. for internal or external transit procedure) that also possesses the role of Office of Exit. Additionally, the transit declaration data contains references to Export MRNs in the previous documents (i.e. under the House Consignment data group).

[Step 6] The Office of Departure performs first all necessary validations in terms of message structure and R/Cs. In case of internal transit, the appropriateness of the Declared Office of Destination is also validated. If everything is valid, the Office of Departure acknowledges the reception of the transit declaration with the ‘Positive Acknowledge’ E_POS_ACK (IE928) message. The state of the movement at the Office of Departure is set to [Submitted](#).

[Step 7] The Office of Departure sends the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit as an initial cross-check so as to perform an initial validation. This initial validation comprises the existence of the declared export MRN along with the state appropriateness at the Office of Exit in the AES system³⁴.

However, upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit does not verify one or more or all of the Export MRNs (e.g. they are not in ‘AER Created’ state).

[Step 8] The Office of Exit replies with a negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message and sends it to the Office of Departure.

[Step 9] Upon reception of the negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, the Office of Departure rejects the Transit Declaration and notifies the Holder of the Transit Procedure with the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message. The state is set to [Rejected](#). This status is final (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The business flow of the transit procedure ends here. The export movement can continue as previous procedure in another new transit declaration or proceed with another Office Exit business process.

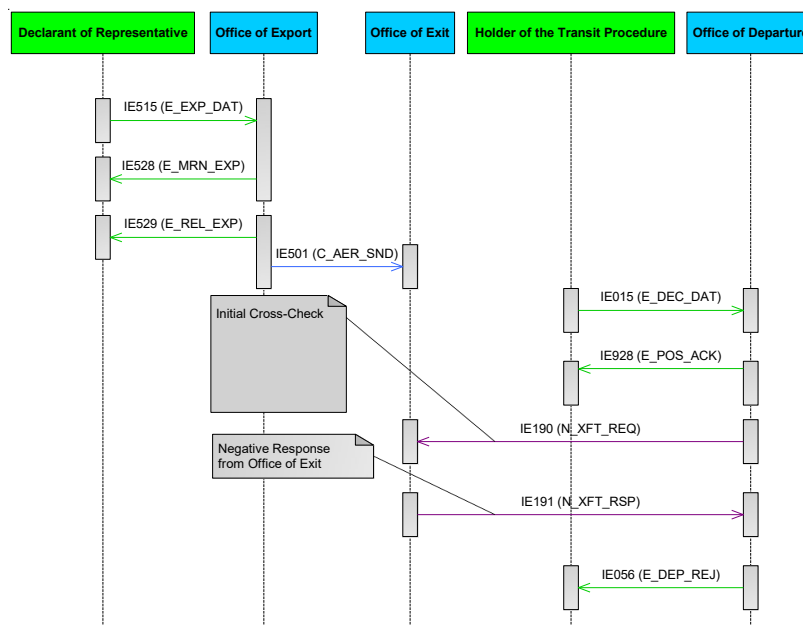


Figure 72: T-TRA-EFT-E-004-Lodgement of transit declaration having export as previous procedure - Negative response from Office of Exit (before acceptance)

³⁴ The validations to be performed as part of the cross-checking that is provided by the AES at the Office of Exit are referenced in the introduction of the EFBT chapter (see III.II.7).

III.II.7.2.2 T-TRA-EFT-A-005-Lodgement of Transit Declaration having Export as Previous Procedure - Unknown Export MRN and Positive IE503 (before acceptance)

The Holder of the Transit procedure lodges a transit declaration at the Office of Departure that references Export MRNs in the previous documents (under House Consignment data group). However, upon submission of the transit declaration, the Holder of the Transit procedure assumed that these Export MRNs are known at this Office that is also Office of Exit. But this is not the case and this scenario describes the situation in which the Export MRN is unknown at this Actual Office of Exit (i.e. the Office of Exit has received no 'AER' C_AER_SND (IE501) for these Export MRNs).

At first, the Office of Departure checks the validity of the Export MRNs referenced in the transit declaration by sending the 'Transit Presentation Notification' N_XFT_REQ (IE190) message to the Office of Exit for validation purposes. However, since these Export MRNs are unknown meaning that no 'AER' C_AER_SND (IE501) message has been received, the Office of Exit sends the 'Declaration Request Export' C_EXP_REQ (IE502) to the relevant Office(s) of Export for each of these unknown Export MRNs.

When all the 'AER Response' C_AER_RSP (IE503) messages from each relevant Office of Export are received that do not contain request rejection reason code (i.e. all positive), the Office of Exit prepares and sends a unified response with the 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message to the Office of Departure. The process continues by having the Office of Departure allocate the Export MRNs with the Transit MRN (by exchanging again the IE190/IE191 messages with the Office of Exit). If positive response is received again from AES, the Transit movement is accepted (i.e. transit MRN is allocated and sent to the Holder of the Transit Procedure) and the normal transit business process follows.

[Step 1] The Declarant or Representative submits an Export Declaration to the Office of Export with the 'Export Declaration' E_EXP_DAT (IE515) message.

[Step 2] The Office of Export validates the 'Export Declaration' E_EXP_DAT (IE515) in terms of message structure and R/Cs and if successful, accepts it. The Office of Export sends the 'Export MRN Allocated' E_MRN_EXP (IE528) message to the Declarant or Representative.

The Office of Export decides to release the export movement.

[Step 3] For each Export MRN, the Office of Export sends the 'Release for Export' E_REL_EXP (IE529) message to the Declarant or Representative;

[Step 4] The message 'AER' C_AER_SND (IE501) is also sent to the Office of Exit for each Export MRN.

[Step 5] The Holder of the Transit Procedure submits a transit declaration by sending the 'Declaration Data' E_DEC_DAT (IE015) message to the Office of Departure that also possesses the role of Office of Exit. Additionally, the transit declaration data contains references to Export MRNs in the previous documents (i.e. under the House Consignment data group).

[Step 6] The Office of Departure performs first all necessary validations in terms of message structure and R/Cs. In case of internal transit, the appropriateness of the Declared Office of Destination is also validated. If everything is valid, the Office of Departure acknowledges the reception of the transit declaration with the ‘Positive Acknowledge’ E_POS_ACK (IE928) message. The state of the movement at the Office of Departure is set to [Submitted](#).

[Step 7] The Office of Departure sends the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit as an initial cross-check so as to perform an initial validation. This initial validation comprises the existence of the declared export MRN along with the state appropriateness at the Office of Exit in the AES system³⁵.

However, upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit does not locate one or more Export MRN(s) (i.e. they are unknown to this Office of Exit meaning that no ‘AER’ C_AER_SND (IE501) message has been received for these Export MRNs).

[Step 8] As a result, the Office of Exit sends the ‘Declaration Request Export’ C_EXP_REQ (IE502) message to the Office(s) of Export (i.e. one separate message for each unknown Export MRN).

[Step 9] Upon reception of the ‘Declaration Request Export’ C_EXP_REQ (IE502) message, the Office of Export retrieves the MRN and sends a positive ‘AER Response’ C_AER_RSP (IE503)³⁶ back to the Office of Exit.

[Step 10] The Office of Export also notifies the Declared Office of Exit with the ‘Forwarded Arrival Advice’ C_ARR_FWD (IE524) message.

³⁵ The validations to be performed as part of the cross-checking that is provided by the AES at the Office of Exit are referenced in the introduction of the EFBT chapter (see III.II.7).

³⁶ After a submitted ‘Declaration Request Export’ C_EXP_REQ (IE502), an automated ‘AER Response’ C_AER_RSP (IE503) (positive/negative) will be sent by the Customs Office of Export. The automated ‘AER Response’ C_AER_RSP (IE503) should be issued within 60 seconds. Even though the actual implementation of the Export followed by Transit interface is a national issue (therefore the exception handling may vary depending on the national implementation), it is expected that the MRN export validation for a transit declaration shall wait 60 seconds, as per the timing response recommendations above.

In case of a delayed response from the Customs Office of Export:

1. The Holder of the Transit procedure might wait for the availability of the Export MRN(s) at the Customs Office of Exit (i.e. after receiving ‘AER Response’ C_AER_RSP (IE503) response from the Customs Office of Export);
2. The transit declaration might be accepted without the validation of the declared Export MRN(s). However, in such case, the Export MRN(s) must be checked/validated before the release of Transit, since a Transit movement cannot be released if the declared Export MRN(s) are not valid or cannot be validated.

In the very exceptional cases of unavailability of the service (like unavailability of the Customs Office of Export) prior lodging the transit declaration, as a pure fallback solution for unblocking the transit procedure, the transit declaration might not include the Export MRN(s). In such case, the transit declaration will be validated and accepted, and the Transit formalities will follow. However, the pertinent Export MRN(s) will remain open until Enquiry procedure is started for those Export MRN(s) and it is expected those Export MRN(s) to close with Alternative Evidence assuming that Transit movement is completed.

Nevertheless, the above are indicative, since the DDNTA does not define the fallback procedure. As per I.III.5 DDNTA usage policy, the fallback scenarios will be defined in a separate fallback document which will be produced by DG TAXUD.

[Step 11] Provided that all checks in AES are successful and after the Office of Exit collects all positive ‘AER Response’ C_AER_RSP (IE503) messages for the unknown Export MRN(s) from the Office(s) of Export, it produces one positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message and sends it to the Office of Departure.

[Step 12] Upon reception of the positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, and in case of external transit the Office of Departure verifies if the ARC reference number(s) (or the fallback e-AD reference number(s)) received in the ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) is/are also included in the ‘Declaration Data’ E_DEC_DAT (IE015). No such check is performed in case of internal transit. Therefore, if all validations are passed, the Office of Departure accepts the Transit Declaration and sends the ‘MRN Allocated’ E_MRN_ALL (IE028) message to the Holder of the Transit Procedure. The state of the transit movement at the Office of Departure is set to [Accepted](#).

[Step 13] The Office of Departure sends again the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message to the Office of Exit to allocate the transit MRN for the Export MRNs since the transit declaration has been accepted.

While a response is expected from the Office of Exit, the state of the movement at the Office of Departure is set to [Pending response from AES](#).

[Step 14] Upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit allocates the Transit MRN for the specific Export MRNs and replies back to the Office of Departure with the ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message to verify that the allocation of the Transit MRN with the Export MRN(s) is successful.

Upon reception of the positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, the state of the movement at the Office of Departure is set back to [Accepted](#).

The process continues after [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

NOTE: As an exceptional case, it should be considered if any Export MRN though is known but found invalid, a negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message is instantly sent to the Office of Departure.

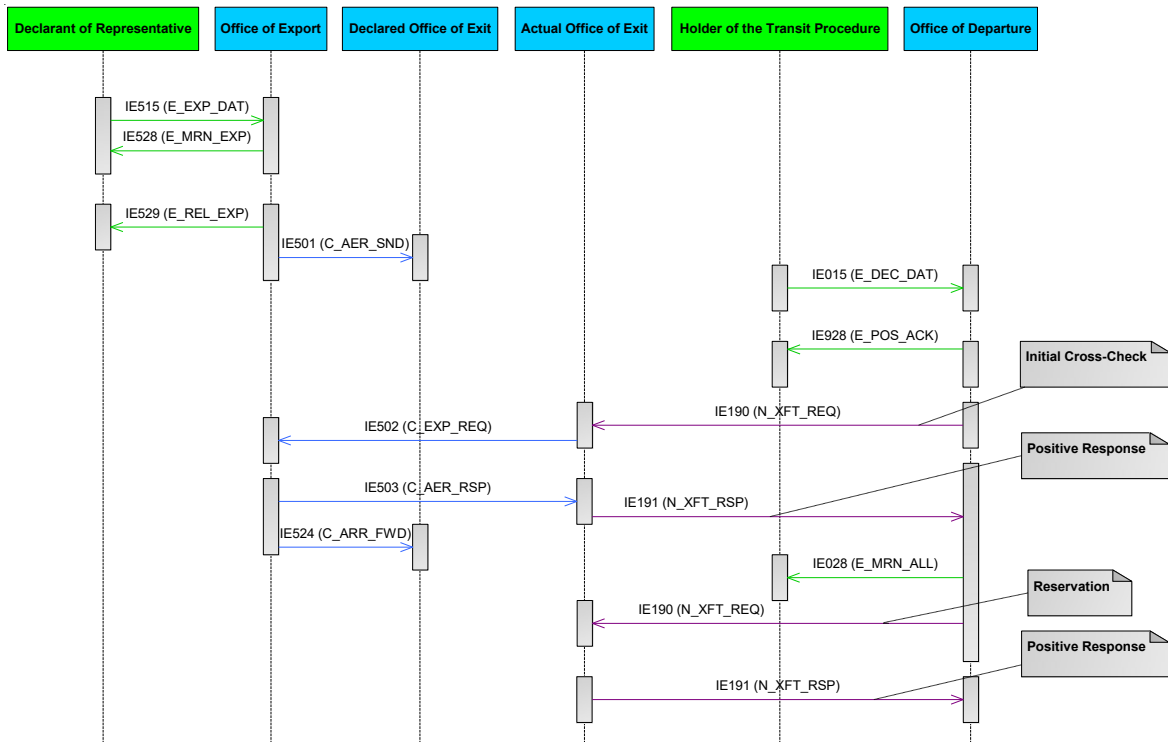


Figure 73: T-TRA-EFT-A-005-Lodgement of Transit Declaration having Export as Previous Procedure, Unknown Export MRN and Positive IE503 (before acceptance)

III.II.7.2.3 T-TRA-EFT-A-013-Lodgement of transit declaration having export as previous procedure (external transit) - ARC Reference Number (or fallback e-AD reference number) as exists in Export Declaration data does not match with Transit Declaration Data

The Holder of the Transit procedure lodges a transit declaration at the Office of Departure that references Export MRNs in the previous documents (under House Consignment data group). However, no or different ARC reference number(s) (or the fallback e-AD reference number(s)) is/are provided in the ‘Declaration Data’ E_DEC_DAT (IE015) (under the DG HOUSE CONSIGNMENT-CONSIGNMENT ITEM-ADDITIONAL REFERENCE) compared to the ARC Reference number(s) included in the Export Declaration. Therefore, this scenario examines this case where the transit movement is accepted but it is automatically set under control due to the minor discrepancy in the ARC reference number(s) between the Transit and Export Declarations.

This scenario starts after [\[Step 8\]](#) of [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#).

[Step 9] Upon reception of the positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, the Office of Departure does not verify some or all of the ARC reference number(s) (or the fallback e-AD reference number(s)) received in the ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) with those included in the ‘Declaration Data’ E_DEC_DAT (IE015) [under the under the DG HOUSE CONSIGNMENT-CONSIGNMENT ITEM-ADDITIONAL REFERENCE]. Nevertheless,

the Office of Departure accepts the transit declaration and communicates the MRN to the Holder of the Transit Procedure with the ‘MRN Allocated’ E_MRN_ALL (IE028) message.

The state of the movement at the Office of Departure is set to [Accepted](#).

[Step 10] The ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message is sent again to the Office of Exit to allocate the transit MRN for the Export MRNs since the transit declaration has been accepted.

While a response is expected from the Office of Exit, the state of the movement at the Office of Departure is set to [Pending response from AES](#).

Upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit allocates the Transit MRN for the specific Export MRNs

[Step 11] The Office of Exit replies back with a positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message to acknowledge the successful allocation of the Transit MRN with the Export MRN(s).

Upon reception of a positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, the state is set back to [Accepted](#).

Next, the risk analysis is performed into the transit movement. Following the completion of risk analysis but since no or different ARC reference number(s) (or the fallback e-AD reference number(s)) is/are provided in the ‘Declaration Data’ E_DEC_DAT (IE015) (under the DG HOUSE CONSIGNMENT-CONSIGNMENT ITEM-ADDITIONAL REFERENCE) compared to the ARC Reference number(s) included in the Export Declaration, the state of the movement at the Office of Departure is automatically set to [Under Control](#).

It should be noted that control is performed to the transit movement by taking into consideration the results of the risk analysis. In case of Simplified Procedure, the timer [T_Awaiting Automatic Release](#) is not initiated (even in case of no risk) since anyways the movement is to be controlled.

[Step 12] The Office of Departure sends the ‘Control Decision Notification’ E_CTR_DEC (IE060) message to the Holder of the Transit Procedure in order to notify about the upcoming control activities (having the data element TRANSIT OPERATION-Notification type = ‘0-Decision to Control (and requested documents if needed)’). This message is sent in both cases of Normal and Simplified Procedures. The state of the movement at the Office of Departure is set to [Under control](#).

[Step 13] After the control is finished, the results are registered by means of the ‘Departure Control Results’ N_DEP_CON (IE017). The results of the control activity indicate minor discrepancies due to the difference in ARC reference number(s) (or the fallback e-AD reference number(s)) between the Export and the Transit Declarations. Therefore, advice is needed from the Holder of the Transit Procedure. However, the Holder of the Transit Procedure does not provide their advice immediately. For this reason, the status of the movement at the Office of Departure is set to [Under release request](#).

[Step 14] The timer [T_Declaration Awaiting Release Request](#) starts.

[Step 15] The Holder of the Transit Procedure sends the ‘Request of Release’ E_REQ_REL (IE054), containing the flag ‘Release Request’ set to “1-Yes”, to the Office of Departure meaning that the Holder of the Transit Procedure does not oppose the minor discrepancies in the ARC reference numbers to be aligned in the transit declaration with those of the export declaration.

NOTE: In case the Holder of the Transit Procedure opposes the minor discrepancies due to no or different ARC reference number(s) between the Transit and Export Declarations, please refer to the scenario [T-TRA-DEP-A-008-Negative release request](#), where the case that the Office of Departure does not allow the transit movement to be released for transit is also described.

[Step 16] The timer [T_Declaration_Awaiting_Release_Request](#) stops.

The state of the movement at the Office of Departure is set to [Under guarantee registration](#).

The transit procedure continues after [\[Step 12\]](#) of the [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#).

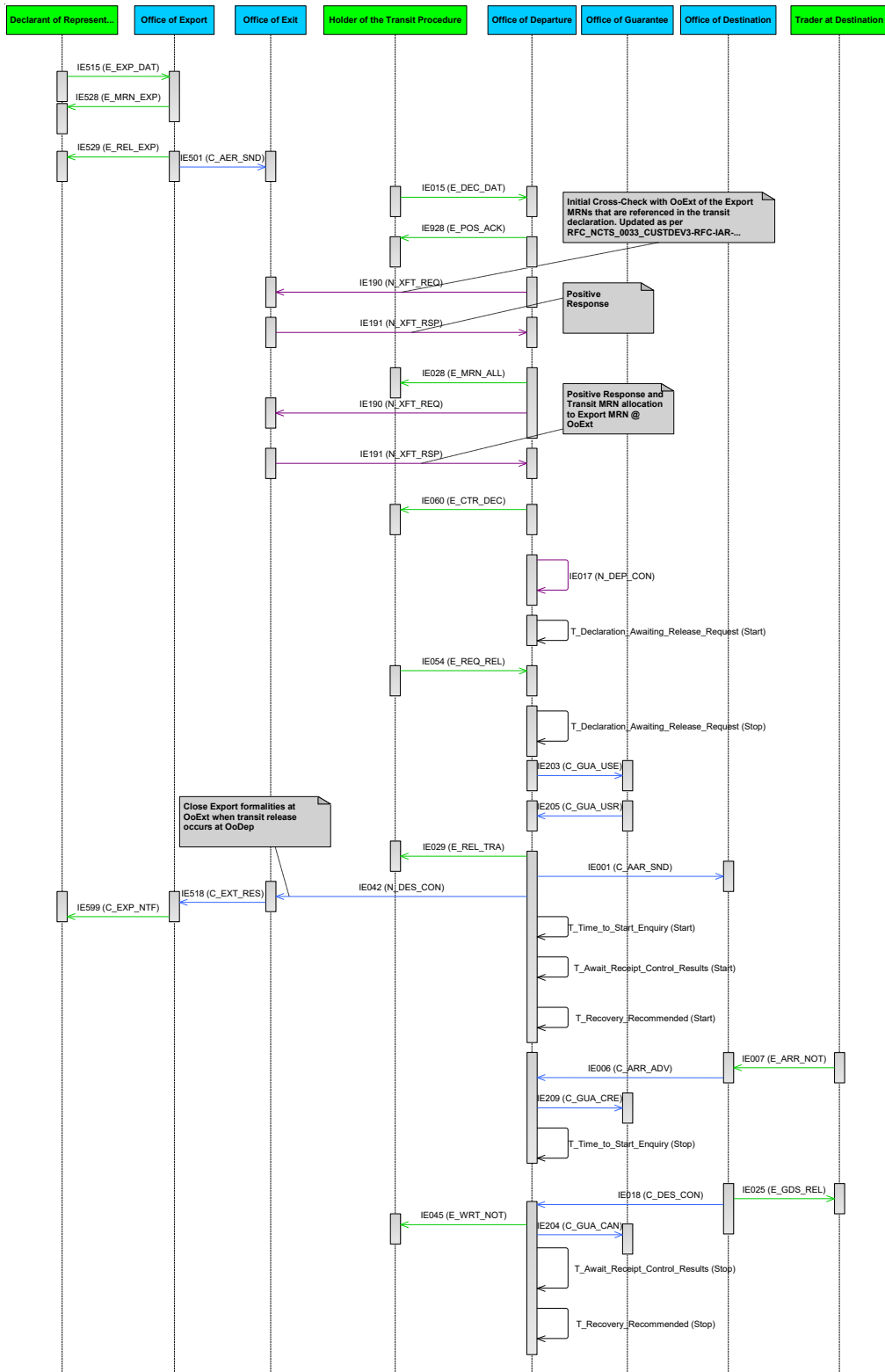


Figure 74: T-TRA-EFT-A-013-Lodgement of transit declaration having export as previous procedure (external transit) - ARC Reference Number (or fallback e-AD reference number) as exists in Export Declaration data does not match with Transit Declaration Data

III.II.7.3 Amendment of the Transit Declaration for the Export Followed by Transit

The below scenarios describe what happens when the Holder of the Transit Procedure requests amendment of the transit declaration having export as previous procedure (i.e. after its acceptance). Only if changes into the previous documents (i.e. under the House Consignment data group) of the transit declaration exist (i.e. added/updated/removed Export MRNs) and provided that the amendment request from the Holder of the Transit Procedure is valid (i.e. in terms of message structure and R/Cs), then the Office of Departure contacts the Office of Exit to allocate or de-allocate these Export MRNs.

In case Export MRNs are deleted or added (but at least one (1) Export MRN is present in the transit data) through amendment, this check is conducted by the Office of Departure with the 'Transit Presentation Notification' N_XFT_REQ (IE190) message. If positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is returned from the Office of Exit, then the transit declaration continues its normal processing with the amended data. However, if negative 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is returned from the Office of Exit, then the Holder of the Transit Procedure is notified with the 'Notification to Amend Declaration' E_AMD_NOT (IE022) message to submit an updated amendment request (i.e. this is a mandatory prerequisite for the transit movement). The process can only continue if the amended data on the 'problematic' Export MRNs is validated successfully from AES this time, meaning that the Office of Departure has received a positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message.

In case all Export MRNs are deleted through amendment, then the Office of Departure contacts the Office of Exit to de-allocate the Export MRNs from the Transit MRN through the 'Transit Invalidation Notification to AES' N_INV_TRA (IE040) message. In that case, the Office of Departure continues its normal business flow without having any Export MRNs as previous procedure.

III.II.7.3.1 *T-TRA-EFT-A-006-Amendment of transit declaration having export as previous procedure – Positive Response from AES*

This scenario examines what happens when the Office of Exit replies with positive response to the Office of Departure following amendment of the transit declaration altering Export MRNs referenced in the transit declaration (i.e. after valid amendment request submitted by the Holder of the Transit Procedure) or when due to amendment of the transit declaration, the Office of Exit receives an invalidation notification to de-allocate all Export MRNs.

This scenario starts either:

- After [\[Step 11\]](#) of [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#) in case of external transit; or
- After [\[Step 10\]](#) of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) in case of internal transit with 'appropriate' Office of Destination.

The state of the transit movement at the Office of Departure is under [Accepted](#).

[Step 11] The Holder of the Transit Procedure submits a 'Declaration Amendment' E_DEC_AMD (IE013) message to the Office of Departure.

[Step 12] The Office of Departure validates the amendment request sent by the Holder of the Transit Procedure (i.e. in terms of message structure and R/Cs) and if valid, communicates the acceptance with the ‘Amendment Acceptance’ E_AMD_ACC (IE004) message.

The state of the transit movement at the Office of Departure remains under [Accepted](#).

The Office of Departure verifies that changes are made into the Export MRNs under the Previous Document data group(s) due to the submitted amendment requested by the Holder of the Transit Procedure (i.e. added/updated/deleted Export MRNs).

CASE A: At least one (1) Export MRN is present after amendment

[Step 13] Since changes have been made in the Export MRNs, but at least one (1) Export MRN still remains present in the transit declaration after amendment of the transit declaration, the Office of Departure sends to the Office of Exit the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message (i.e. the value of the ‘AES communication purpose’ data element indicates ‘Amendment of Export MRNs referenced in Transit Declaration’) – please refer to Figure 75.

The state of the transit movement at the Office of Departure is set to [Pending response from AES](#).

[Step 14] The Office of Exit prepares and sends a positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) to the Office of Departure.

The state is set back to [Accepted](#).

The process continues regularly from the same step after the acceptance of the transit movement:

- After [\[Step 11\]](#) of [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#) in case of external transit; or
- After [\[Step 10\]](#) of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) in case of internal transit with ‘appropriate’ Office of Destination.

CASE B: No Export MRN is present after amendment

[Step 13] In case changes have been made in the Export MRNs by removing all Export MRNs from the transit declaration after amendment, the Office of Departure sends to the Office of Exit the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040) message - please refer to Figure 76.

The state is set back to [Accepted](#).

The process continues regularly for the transit movement without having Export MRNs as previous procedure(s) after [\[Step 7\]](#) of [T-TRA-DEP-A-014-Declaration amendment accepted](#).

NOTE: In case of amendment of a transit declaration (external transit only), and when excise goods are involved, the Office of Departure shall verify that the ARC reference number(s)

(or the fallback e-AD(s)) received in the 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is/are also included in the 'Declaration Amendment' E_DEC_AMD (IE013). If not, then the state of the transit declaration shall be set Under Control. In the latter case, the business flow of the transit procedure continues with [Step 11] of the T-TRA-EFT-A-013-Lodgement of transit declaration having export as previous procedure (external transit) - ARC Reference Number (or fallback e-AD reference number) as exists in Export Declaration data does not match with Transit Declaration Data.

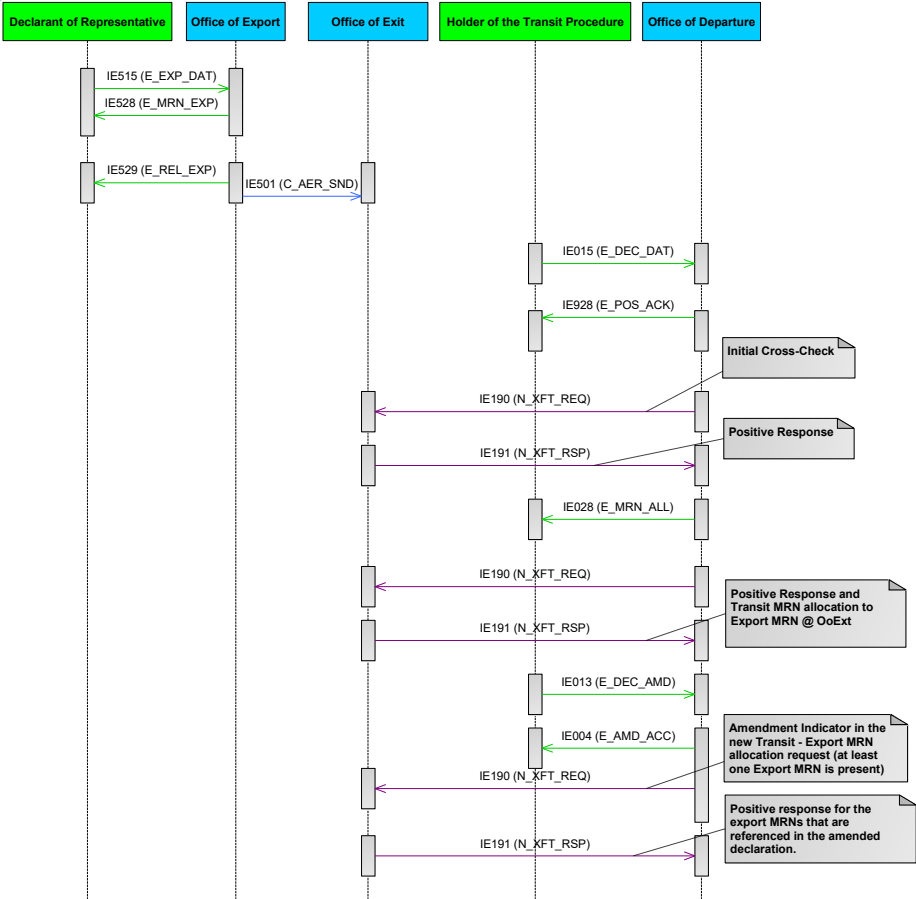


Figure 75: T-TRA-EFT-A-006-Amendment of transit declaration having export as previous procedure – Positive Response from AES (Case A)

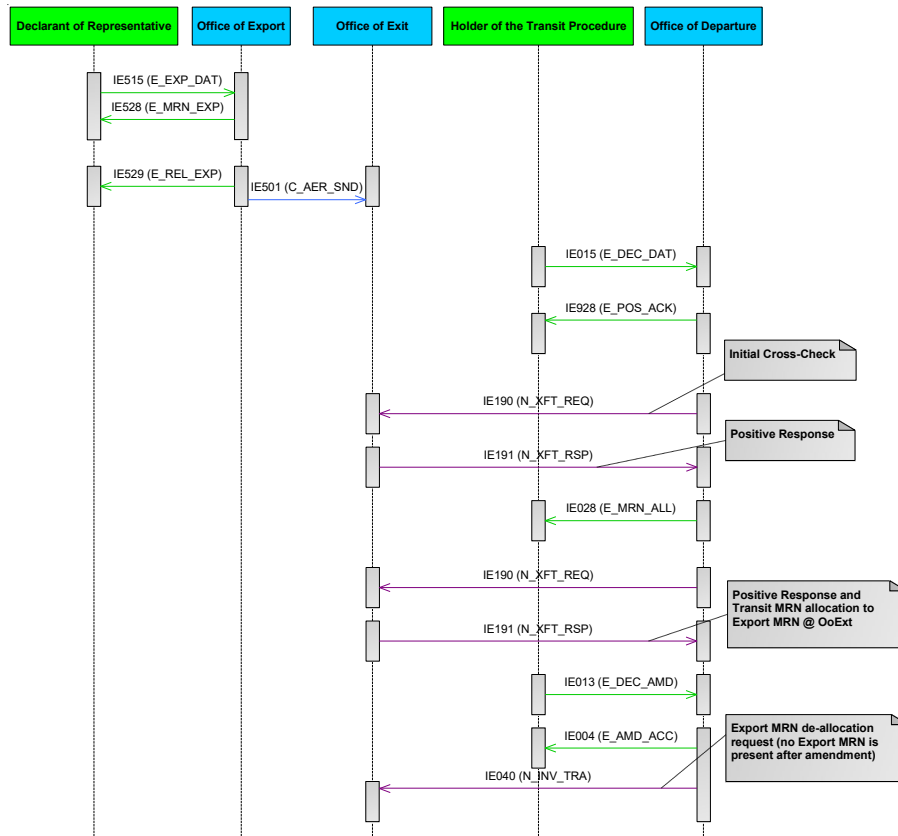


Figure 76: T-TRA-EFT-A-006-Amendment of transit declaration having export as previous procedure – Positive Response from AES (Case B)

III.II.7.3.2 T-TRA-EFT-E-007-Amendment of transit declaration having export as previous procedure – Negative Response from AES

This scenario examines what happens when a negative response is returned from the Office of Exit due to the amendment of the Export MRNs referenced in the transit declaration as requested by the Holder of the Transit Procedure. In that case, the Office of Departure notifies the Holder of the Transit Procedure with the ‘Notification to Amend Declaration’ E_AMD_NOT (IE022) message to submit an updated amendment request. This is a mandatory next step for the Holder of the Transit Procedure.

This scenario starts either:

- After [Step 11] of [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#) in case of external transit; or
- After [Step 10] of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) in case of internal transit with ‘appropriate’ Office of Destination.

The state of the transit movement at the Office of Departure is under [Accepted](#).

[Step 11] The Holder of the Transit Procedure submits a ‘Declaration Amendment’ E_DEC_AMD (IE013) message to the Office of Departure.

[Step 12] The Office of Departure validates (i.e. in terms of message structure and R/Cs) the amendment request sent by the Holder of the Transit Procedure and communicates its acceptance with the ‘Amendment Acceptance’ E_AMD_ACC (IE004) message.

NOTE: In the event that the Office of Departure does not validate successfully (i.e. in terms of message structure and R/Cs) the amendment request sent by the Holder of the Transit Procedure, it communicates its rejection with the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes). The state remains [Accepted](#) and a new amendment request is needed by the Holder of the Transit Procedure.

The state of the transit movement at the Office of Departure is still under [Accepted](#).

The Office of Departure verifies that changes to the Export MRNs exist to the Previous Document data group(s) due to the amendment from the Holder of the Transit Procedure (i.e. added/updated/deleted Export MRNs).

[Step 13] Since changes have been made in the Export MRNs, the Office of Departure sends to the Office of Exit the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message (i.e. the value of the ‘AES communication purpose’ data element indicates ‘Amendment of Export MRNs referenced in Transit Declaration’).

It should be stressed that the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message contains all the Export MRNs present into the Previous Documents of the transit declaration (i.e. under the House Consignment data group) after the amendment.

The state of the transit movement at the Office of Departure is set to [Pending response from AES](#).

[Step 14] However, the Office of Exit does not successfully validate the amendment request sent by the Holder of the Transit (e.g. the Export MRNs are under an inappropriate status at the Office of Exit) and prepares and sends a negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) to the Office of Departure.

The state of the movement at the Office of Departure is set to [Under amendment request due to EFBT](#).

[Step 15] Upon reception of the negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191), the Office of Departure notifies the Holder of the Transit Procedure with the ‘Notification to Amend Declaration’ E_AMD_NOT (IE022) message.

[Step 16] The timer [T_Declaration_Awaiting_Amendment_Export](#) at the Office of Departure starts.

NOTE: That means the Holder of the Transit Procedure must re-submit a valid amendment request in order AES to get contacted again while the timer is running. If the Holder of Transit Procedure does not submit such an amendment request by the expiration of the timer [T_Declaration_Awaiting_Amendment_Export](#), the status of the transit declaration will be set to [Not released for transit](#).

[Step 17] The Holder of the Transit Procedure submits another ‘Declaration Amendment’ E_DEC_AMD (IE013) message to the Office of Departure.

[Step 18] The Office of Departure validates (i.e. in terms of message structure and R/Cs) the amendment request sent by the Holder of the Transit Procedure and communicates its acceptance with the ‘Amendment Acceptance’ E_AMD_ACC (IE004) message.

[Step 19] The timer [T_Declaration_Awaiting_Amendment_Export](#) at the Office of Departure stops.

However, if negative ‘Transit presentation notification response’ N_XFT_RSP (IE191) message is received from AES following the second valid amendment, the Holder needs to submit again a new ‘Declaration Amendment’ E_DEC_AMD (IE013) message. The previously submitted Transit Declaration continues to be active (i.e. not in final state), while a valid amendment is expected to get a positive response from AES with a ‘Transit presentation notification response’ N_XFT_RSP (IE191) message and that triggers the change of the state to [Under amendment request due to EFBT](#) and the timer [T_Declaration_Awaiting_Amendment_Export](#) at the Office of Departure restarts. The process repeats from [\[Step 11\]](#) above.

But if, the Office of Exit eventually sends a positive ‘Transit presentation notification response’ N_XFT_RSP (IE191) message, the process continues regularly from the same step after the acceptance of the transit movement:

- After [\[Step 11\]](#) of [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#) in case of external transit; or
- After [\[Step 10\]](#) of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) in case of internal transit with ‘appropriate’ Office of Destination.

NOTE: When the Office of Exit receives the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message (i.e. due to the amendment of the transit declaration), and the Export MRNs are unknown (i.e. no ‘AER’ C_AER_SND (IE501) exists for these Export MRNs), the Office of Exit sends the ‘Declaration Request Export’ C_EXP_REQ (IE502) message to the Office of Export for each unknown Export MRN. If all the ‘AER Response’ C_AER_RSP (IE503) messages, received by each Office of Export, are positive (i.e. they do not contain request rejection reason code), the Office of Exit sends to the Office of Departure a positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message, otherwise a negative ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) message.

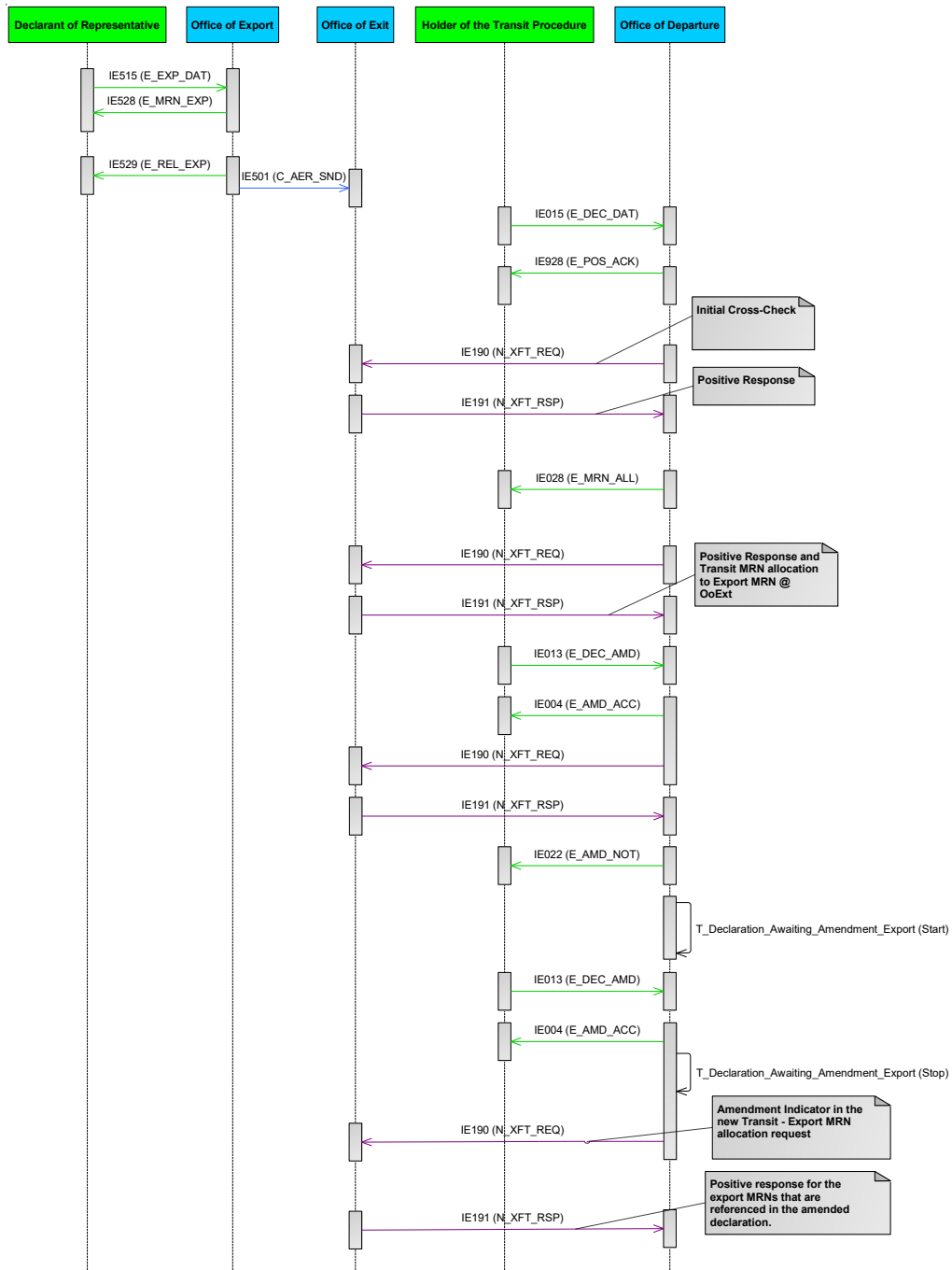


Figure 77: T-TRA-EFT-E-007-Amendment of transit declaration having export as previous procedure – Negative Response from AES

III.II.7.3.3 Example business scenarios of allocation and amendment of the Export MRNs referenced in the transit Movement

The following section is strongly recommended for implementation by the National Customs Applications of NCTS and AES. It outlines the interface details that take place between AES and NCTS with two (2) short business scenarios. It presents step by step and in tabular format what kind of information is exchanged between NCTS and AES and how it is processed afterwards, so as to illustrate how the allocation and/or the de-allocation between the Transit MRN with the Export MRNs occurs during the Acceptance and the Amendment of the Transit Declaration.

III.II.7.3.3.1 Scenario A - Initial Cross-Check & Allocation of the Export MRNs with the Transit Declaration

The Holder of the Transit Procedure submits a transit declaration with the ‘Declaration Data’ E_DEC_DAT (IE015) message to the Office of Departure that references three (3) Export MRNs into the Previous Documents data group (declaring one (1) Export MRN into the Previous Document data group per House Consignment data group). After all validations of the ‘Declaration Data’ E_DEC_DAT (IE015) message are complete and successful, the dispatch of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message from the Office of Departure to the Office of Exit is triggered to validate these Export MRNs.

The information entered in the initial ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message has the following basic association between the MRNs of the Export Movements and the LRN of the transit declaration:

Transit	Export
LRN	MRN ₁
	MRN ₂
	MRN ₃

Upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Export MRNs are validated successfully in AES (OoExt), but nothing is stored in the Office of Exit yet:

Transit	Export	Assessment of AES per Export MRN
LRN	MRN ₁	Valid
	MRN ₂	Valid
	MRN ₃	Valid

The Office of Exit responds with the ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) (Positive) message to inform the Office of Departure of the successful validation. In that case, the Transit Declaration can be accepted at the Office of Departure and the Office of Departure sends the ‘MRN Allocated’ E_MRN_ALL (IE028) message to the Holder of the Transit Procedure containing the MRN of the transit movement. Then, the Office of Departure sends again the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, but with the transit MRN this time instead of the LRN. The new ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message now contains the allocation request per Export MRN:

Transit	Export	Request from NCTS
MRN	MRN ₁	Allocation request
	MRN ₂	Allocation request
	MRN ₃	Allocation request

Upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit accepts the allocation requests of the Export MRNs with the Transit MRN and the information is now stored at the Office of Exit internally as follows:

Transit	Export	Allocation Status in AES	Movement Status in AES
MRN	MRN ₁	Allocated	Goods presented for transit
	MRN ₂	Allocated	Goods presented for transit
	MRN ₃	Allocated	Goods presented for transit

III.II.7.3.3.2 Scenario B: Amendment of the Transit Declaration that references Export MRNs

As a continuation of the previous Scenario A, the Holder of the Transit Procedure decides to submit an amendment request for the transit declaration with the ‘Declaration Amendment’ E_DEC_AMD (IE013) message, which is accepted by the Office of Departure. Consequently, the ‘Amendment acceptance’ E_AMD_ACC (IE004) message is sent to the Holder of the Transit Procedure. Due to the amendment of the transit declaration, the Export MRNs are now represented as follows in the transit declaration:

Transit	Export
MRN	MRN ₁
	MRN ₂
	MRN ₄ *

* The new Export MRN₄ entered is depicted in turquoise, and the MRN₃ is not depicted since it has been removed following amendment by the Holder of the Transit Procedure.

Since two (2) changes (i.e. addition and deletion) have been performed in the Export MRNs referenced in the transit declaration, the Office of Departure sends the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message with the above export Master Reference Numbers: MRN₁, MRN₂, MRN₄.

Upon reception of the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message, the Office of Exit examines the contents of this message and compares it with the latest allocations table of the Export MRNs with the Transit MRN, which has been the following based on Scenario A above:

Transit	Export	Allocation status in AES	Movement Status in AES
MRN	MRN ₁	Allocated	Goods presented for Transit
	MRN ₂	Allocated	Goods presented for Transit
	MRN ₃	Allocated	Goods presented for Transit

Following this change, the Office of Exit performs the following changes in the allocations table:

Transit	Export	Allocation status in AES	Movement Status in AES
MRN	MRN ₁	Allocated	Goods presented for Transit
	MRN ₂	Allocated	Goods presented for Transit
	MRN ₃	De-allocated	AER Created
	MRN ₄	Allocated	Goods presented for Transit

Accordingly, the Office of Exit returns a ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) (Positive) message to inform the Office of Departure of the successful validation of the amendment of the Export MRNs referenced in the transit declaration (i.e. MRN₁, MRN₂, MRN₄).

NOTE: No interaction between NCTS and AES takes place after the initial allocation of the Transit MRN in the Office of Exit in case the amendment of the transit declaration has no changes in the Export MRNs.

However, assuming that the initial allocation table at the Office of Departure and the Office of Exit is the following:

Transit	Export	Allocation Status in AES	Movement Status in AES
MRN	MRN ₁	Allocated	Goods presented for transit
	MRN ₂	Allocated	Goods presented for transit
	MRN ₃	Allocated	Goods presented for transit

The Holder of the Transit Procedure decides to submit an amendment request for the transit declaration with the ‘Declaration Amendment’ E_DEC_AMD (IE013) message, which is accepted by the Office of Departure. Consequently, the ‘Amendment acceptance’ E_AMD_ACC (IE004) message is sent to the Holder of the Transit Procedure. Due to the amendment of the transit declaration, all Export MRNs are now deleted from the transit declaration. In that case, the Office of Departure sends the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040) message.

Following this change, the Office of Exit performs the following changes in the allocations table:

Transit	Export	Allocation status in AES	Movement Status in AES
MRN	MRN1	De-allocated	AER Created
	MRN2	De-allocated	AER Created
	MRN3	De-allocated	AER Created

III.II.7.4 Export followed by Transit – Destination Control Results are received from the Office of Destination

The below scenarios describe various cases when the destination control results are received with major discrepancies and what happens when they are resolved and when they are not resolved into the NCTS. Additionally, what happens when the movement is manually discharged by the Officer at Departure, because alternative proof has been provided by the Holder of the Transit Procedure instead of receiving destination control results from the Office of Destination. All scenarios in this sub-section apply only for internal transit as deviations from the core flow scenario [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) of the export followed by transit.

Specifically, the [T-TRA-EFT-A-010-Transit movement having export as previous procedure - Control results from destination indicate major discrepancies - Dispatch of control results information to Office of Exit](#) scenario examines what happens when control results are sent by the Office of Destination and these control results contain major discrepancies. The scenario [T-TRA-EFT-A-011-Transit movement having export as previous procedure - Departure notifies Office of Exit for the initiation of Recovery](#) examines the case that the major discrepancies into the destination control results are not resolved and as a result Recovery is initiated for the transit movement. Finally, the scenario [T-TRA-EFT-A-012-Manual closure at Departure based on alternative proof - Export is previous procedure](#) examines what happens when the transit movement is written off manually when alternative proof is presented by the Holder of the Transit Procedure.

The following Table 7 illustrates the mapping of each Control Results Code included into the ‘Destination Control Results’ C_DES_CON (IE018) message with the relevant Control Result Code included into the ‘Destination Control Results to AES’ N_DES_CON (IE042) message.

Control Result Code in the IE018 (OoDes → OoDep)	Control Result Code in the IE042 (OoDep → OoExt)
A1	A1
N/A	B2 ³⁷ <i>NOTE: The Office of Departure sends the ‘Destination Control Results To AES’ N_DES_CON (IE042) message to the Office of Exit after the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) message, when it validates that the Actual Office of Destination is inappropriate. For more details, please refer to the scenario T-TRA-EFT-M-003-Core flow of the export followed by transit - Internal transit (Inappropriate Office of Destination).</i>
A2	A2

³⁷ The value of the control result code ‘B2’ can be ONLY used in the ‘Destination Control Results To AES’ N_DES_CON (IE042) message.

Control Result Code in the IE018 (OoDes → OoDep)	Control Result Code in the IE042 (OoDep → OoExt)
B1	<p>B3³⁸</p> <p><i>NOTE: The Office of Departure sends the 'Destination Control Results To AES' N_DES_CON (IE042) message indicating destination control result code 'B3' per Export MRN when the 'Destination Control Results' C_DES_CON (IE018) message contains the unsatisfactory control result code 'B1' (i.e. the respective House consignment (or the incorporated Consignment items in this House consignment) that corresponds to the reported Export MRN has/have been reported with major discrepancies in the destination control results). For the AES system, the 'B3' control results code will indicate that control results at destination were unsatisfactory which subsequently means that:</i></p> <ul style="list-style-type: none"> ○ <i>the process at the Office of Exit will trigger the transition to the final state 'Handled elsewhere';</i> ○ <i>The Office of Exit will send the 'Exit Results' C_EXT_RES (IE518) message with 'B3' control results code to the Office of Export to indicate that the export operation has to be continued by the Office of Export with the Alternative Evidence process (similarly to the case of Non-Appropriate Office of Destination).</i>
A5	A4

Table 7: Export followed by Transit – Correlation of Control Result Codes between the IE018 and IE042 messages

III.II.7.4.1 T-TRA-EFT-A-010-Transit movement having export as previous procedure - Control results from destination indicate major discrepancies - Dispatch of control results information to Office of Exit

This scenario applies for internal transit, but not for external transit. It describes what happens when major discrepancies are reported in the destination control results and the relevant notification that is sent subsequently to the Office of Exit.

In the initial declaration data, the Export MRNs are declared per House Consignment. When the movement arrives and control is finished, the Office of Destination report their control results to the Office of Departure with the 'Destination Control Results' C_DES_CON (IE018) message, which includes control results information for the entire transit movement.

If the control result code indicates Satisfactory Control Results (i.e. 'A1' or 'A2'), the control result code for a specific House Consignment that contains an Export MRN can take the following value in the 'Destination Control Results to AES' N_DES_CON (IE042) message:

³⁸ The value of the control result code 'B3' can be ONLY used in the in the 'Destination Control Results To AES' N_DES_CON (IE042) message.

- If the control result code is ‘A1’ in the ‘Destination Control Results’ C_DES_CON (IE018), then every control result code per House Consignment shall only be ‘A1’ (i.e. no other control result codes are allowed); OR
- If the control result code is ‘A2’ in the ‘Destination Control Results’ C_DES_CON (IE018), then every control result code per House Consignment shall only be ‘A2’ (i.e. no other control result codes are allowed).

Nevertheless, if the control result code indicates minor/major discrepancies (i.e. ‘A5’ or ‘B1’), the control result code for a specific House Consignment that contains an Export MRN can take the following value in the ‘Destination Control Results to AES’ N_DES_CON (IE042) message:

- If discrepancies are only reported for specific House Consignment(s) that contain(s) an Export MRN in the ‘Destination Control Results’ C_DES_CON (IE018), then the control result code for the specific House Consignment(s) shall only be ‘A4’ or ‘B3’. For all the other House Consignments (that do not report discrepancies), the control result code will be ‘A1’ (i.e. no other control result codes are allowed); OR
- If discrepancies are reported for the entire transit declaration in the ‘Destination Control Results’ C_DES_CON (IE018), (e.g. the data element ‘Other things to report’ is filled in) then the control result code for all House Consignments that contain an Export MRN shall only be ‘A4’ or ‘B3’ (i.e. no other control result codes are allowed).

A single ‘Destination Control Results to AES’ N_DES_CON (IE042) message is generated and sent to the Office of Exit that contains an appropriate control result code per Export MRN. Upon reception of the ‘Destination Control Results to AES’ N_DES_CON (IE042) message, the Office of Exit generates and sends a dedicated ‘Exit Results’ C_EXT_RES (IE518) message per Export MRN to the Office of Export. Alternatively, if the Office of Departure does not receive the ‘Destination Control Results’ C_DES_CON (IE018) message, and Recovery is initiated, then the Office of Exit will be notified for the Recovery initiation process in NCTS with the ‘Recovery Communication to AES’ N_REC_COM (IE048) message.

In case the Office of Departure does not receive the ‘Destination Control Results’ C_DES_CON (IE018) message, but instead Recovery is initiated, then the Office of Exit will be notified for the Recovery initiation process in NCTS with the ‘Recovery Communication to AES’ N_REC_COM (IE048) message and that concludes any further communication between NCTS and AES (i.e. the outcome of recovery performed for the transit movement and its completion do not concern the export movement). For more details, please refer to the scenario [T-TRA-EFT-A-011-Transit movement having export as previous procedure - Departure notifies Office of Exit for the initiation of Recovery](#).

Likewise, after the Office of Departure dispatches the ‘Destination Control Results to AES’ N_DES_CON (IE042) message, the Office of Exit cannot receive afterwards the ‘Recovery Communication to AES’ N_REC_COM (IE048) message in case Recovery is initiated for the transit movement (e.g. due to major discrepancies in the destination control results). This happens because the export movement is finalised for the Office of Departure after the ‘Destination Control Results to AES’ N_DES_CON (IE042) message is sent.

This scenario starts after [\[Step 24\]](#) of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#).

Following control by the Office of Destination, unsatisfactory control results are reported into the transit movement that contains Export MRN(s) as previous documents.

[Step 25] The Office of Destination sends the ‘Goods Release Notification’ E_GDS_REL (IE025) message to the Trader at Destination in order to notify them that the transit procedure has not ended correctly at the Office of Destination due to the existence of major discrepancies in the destination’s control results (i.e. Release indicator is NOT equal to ‘1- Full release of goods (as per declaration) - Movement closed’).

However, the Office of Destination that sends the first ‘Goods Release Notification’ E_GDS_REL (IE025) message may indicate those consignment items (i.e. type and quantity) of the transit movement that can be partially released (i.e. Release indicator is set to ‘2- Partial release of goods’). Alternatively, the Office of Destination may indicate in the first ‘Goods Release Notification’ E_GDS_REL (IE025) message that not any consignment item (i.e. type and quantity) of the transit movement can be released to the next procedure (i.e. Release indicator is set to ‘4- No release’).

[Step 26] The message ‘Destination Control Results’ C_DES_CON (IE018) is sent to the Office of Departure with control results code that indicates major discrepancies ‘B1’.

The state of the movement at the Office of Departure is set to [Movement under resolution](#) and at the Office of Destination is set to [Waiting for discrepancies resolution](#).

[Step 27] The Holder of the Transit Procedure is notified with the ‘Discrepancies’ E_DIS_SND (IE019) message that there are major discrepancies in the destination control results.

[Step 28] Upon reception of the ‘Destination Control Results’ C_DES_CON (IE018) message, the timer [T_Await Receipt Control Results](#) at the Office of Departure stops.

[Step 29] Since the destination control results indicate major discrepancies (i.e. Control result code ‘B1’), the timer [T_Discrepancies Resolution](#) at the Office of Departure starts.

[Step 30] The message ‘Destination Control Results to AES’ N_DES_CON (IE042) is sent to the Office of Exit.

[Step 31] Upon reception of the ‘Destination Control Results to AES’ N_DES_CON (IE042), the Office of Exit prepares and sends one ‘Exit Results’ C_EXT_RES (IE518) message per Export MRN to the Office(s) of Export with either exit control result code ‘B3’ (if the discrepancies in the ‘Destination Control Results’ C_DES_CON (IE018) message concern the whole transit movement or if they concern the explicit House Consignment that contains the export movement) or exit control result code ‘A1’ (if the discrepancies in the ‘Destination Control Results’ C_DES_CON (IE018) message do not concern discrepancies for the specific House Consignment that contains the export movement).

The dispatch of the ‘Destination Control Results to AES’ N_DES_CON (IE042) message to the Office of Exit closes any further interaction between NCTS and AES. However, the transit movement continues as described in the below steps.

NOTE: When the Office of Destination sends the ‘Destination Control Results’ C_DES_CON (IE018) to the Office of Departure with control result code ‘B1-Major Discrepancies’, then the ‘Destination Control Results to AES’ N_DES_CON (IE042) that is

subsequently sent by the Office of Departure to the Office of Exit will report the control result code 'B3' only for the Export MRN(s) reported with major discrepancies in the destination control results of the transit movement. The significance of the control result code 'B3' is the following for AES:

1. the status of the movement at the Office of Exit will be set to the final state 'Handled elsewhere';
2. the Office of Exit will send the 'Exit Results' C_EXT_RES (IE518) to the Office of Export that contains control results code 'B3', indicating that the export operation has to be continued in the Office of Export by triggering the Alternative evidence process.

[Step 32] At some point afterwards, this scenario assumes that the Office of Departure resolves the major discrepancies of the destination control results and the message 'Discrepancies Solved Notification' C_DIS_NOT (IE049) is sent to the Office of Destination having the flag 'Discrepancies resolved' equal to '1-Discrepancies resolved at departure, movementwritten-off'.

Please refer to the sub-section III.II.4.7 for more scenarios that describe the resolution of major discrepancies in the destination control results.

The state of the movement at the Office of Departure is set to [Movement written off](#) and at the Office of Destination is set to [Goods released](#).

[Step 33] The Office of Destination sends the 'Goods Release Notification' E_GDS_REL (IE025) message to the Trader at Destination in order to notify them that the transit procedure has ended successfully, and for instance all the goods can be released from transit (i.e. Release indicator is equal to '1- Full release of goods (as per declaration) - Movement closed').

NOTE: Alternatively, in case there are consignment items that cannot be justified as released from the transit procedure when the transit movement is closed, the Office of Destination may send the 'Goods Release Notification' E_GDS_REL (IE025) message specifying only those goods that are released from Transit, by having the Release indicator equal to '3- Partial release of goods - Movement closed' --- CONSIGNMENT DATA Group will be used to indicate the goods that are partially released and Movement is closed'.

[Step 34] The Holder of the Transit Procedure is notified with the 'Write-Off Notification' E_WRT_NOT (IE045) message.

[Step 35] The 'Guarantee Use Cancellation' C_GUA_CAN (IE204) message is sent to the Guarantee Management System (GMS) to release the guarantee(s).

[Step 36] Since the major discrepancies in the destination control results are resolved, the timer [T Discrepancies Resolution](#) at the Office of Departure stops.

[Step 37] The timer [T Recovery Recommended](#) at the Office of Departure stops.

The business process of the transit procedure ends here.

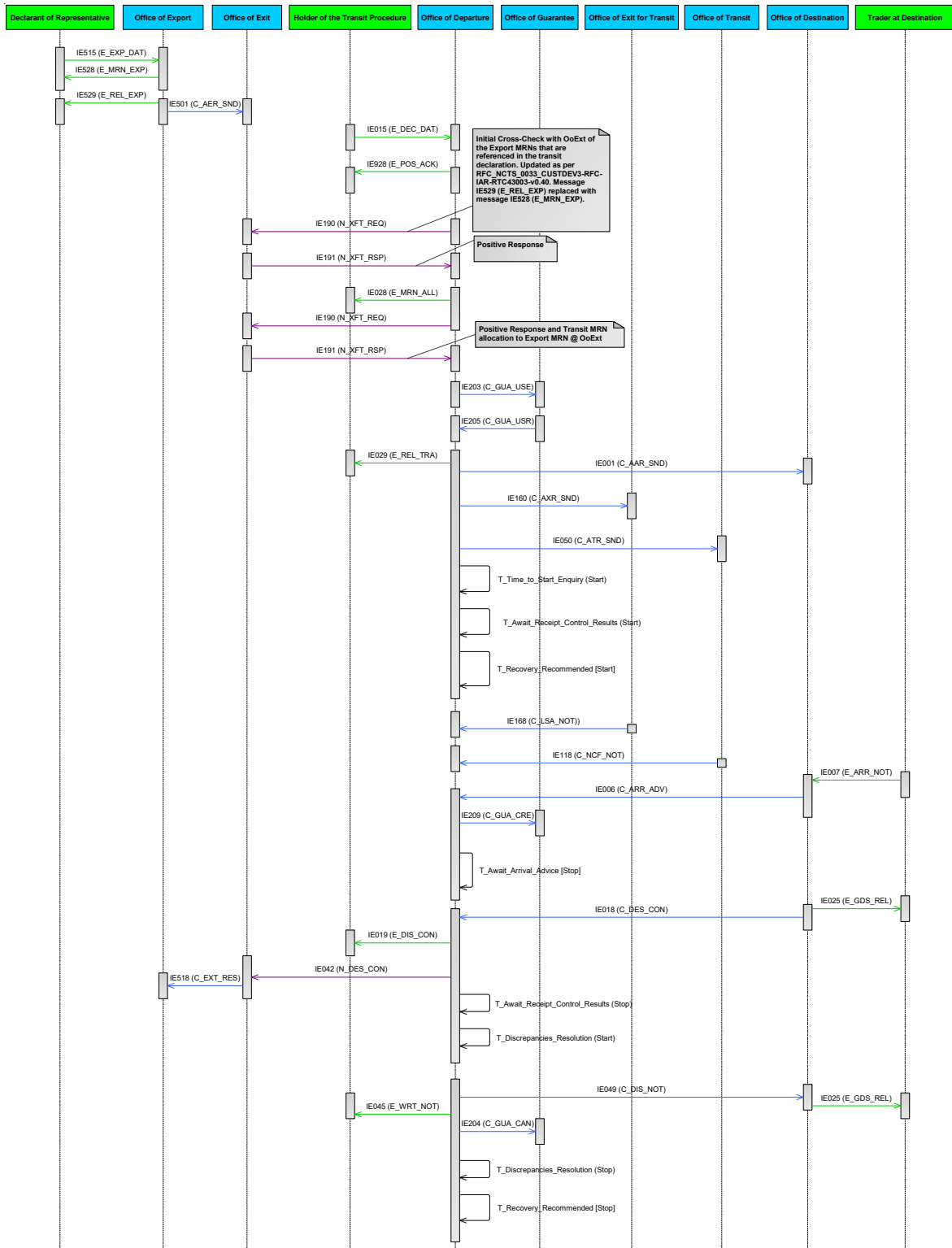


Figure 78: T-TRA-EFT-A-010-Transit movement having export as previous procedure - Control results from destination indicate major discrepancies - Dispatch of control results information to Office of Exit after resolution of discrepancies

III.II.7.4.2 T-TRA-EFT-A-011-Transit movement having export as previous procedure - Departure notifies Office of Exit for the initiation of Recovery

This scenario describes the case that Recovery is initiated for the transit movement having export as previous procedure and only applies for Internal Transit.

The Competent Authority of Recovery at Departure notifies for the Recovery initiation all the involved Offices (related to the transit movement) with the ‘Recovery Communication’ C_REC_COM (IE063) message, the Holder of the Transit Procedure with the ‘Recovery Notification’ E_REC_NOT (IE035) message and finally the Office of Exit with the message ‘Recovery Communication to AES’ N_REC_COM (IE048).

It is also highly likely that Recovery may be initiated in NCTS due to major discrepancies in the destination control results (i.e. due to their non-resolution). For this case, NCTS shall not notify AES with the ‘Recovery Communication to AES’ N_REC_COM (IE048) message. The reason is when the Office of Destination sends the ‘Destination Control Results’ C_DES_CON (IE018) message to the Office of Departure with unsatisfactory control results (i.e. control result code ‘B1’), the Office of Departure at that moment sends the ‘Destination Control Results’ N_DES_CON (IE042) message with control result code ‘B3’ to AES. But the dispatch of the ‘Destination Control Results’ N_DES_CON (IE042) message basically closes any further interaction between NCTS and AES and thus it is not applicable to notify AES for the initiation of Recovery in NCTS. For more details, please also refer to the [*T-TRA-EFT-A-010-Transit movement having export as previous procedure - Control results from destination indicate major discrepancies - Dispatch of control results information to Office of Exit scenario.*](#)

This scenario examines the case that Recovery is initiated in case that no ‘Destination Control Results’ C_DES_CON (IE018) has been received and starts from [*\[Step 21\]*](#) of [*T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\).*](#)

[Step 22] The timer [*T Time to Start Enquiry*](#) expires and no ‘Arrival Advice’ C_ARR_ADV (IE006) and no ‘Destination Control Results’ C_DES_CON (IE018) have been received for the transit movement. The state at the Office of Departure is set to [*Enquiry recommended.*](#)

Consequently, **[Step 23]** the ‘Status Request’ C_STD_REQ (IE094) message is sent to the Office of Destination. In the ‘Status Request’ C_STD_REQ (IE094) message, the state anterior to the Enquiry states (“Movement Released” and “Arrived”) is placed. In this way, the Office of Destination will always know which of the messages, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 24] The Office of Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Office of Departure. But, no ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) are sent to the Office of Departure.

[Step 25] The timer [T_Recovery_Recommended](#) at the Office of Departure expires and that means Recovery must be started.

Recovery is decided to be performed by the Competent Authority of Recovery at Departure. The status of the transit movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#).

[Step 26] The Competent Authority of Recovery at Departure sends the ‘Recovery Notification’ E_REC_NOT (IE035) message to the Holder of the Transit Procedure.

[Step 27] The ‘Recovery Communication’ C_REC_COM (IE063) message is sent to the Office of Exit for Transit. The status is set to [Under recovery procedure](#).

[Step 28] The ‘Recovery Communication’ C_REC_COM (IE063) message is sent to the Office of Transit. The status is set to [Under recovery procedure](#).

[Step 29] The ‘Recovery Communication’ C_REC_COM (IE063) message is sent to the Office of Destination. The status is set to [Under recovery procedure](#).

[Step 30] The message ‘Recovery Communication to AES’ N_REC_COM (IE048) is sent to the Office of Exit.

[Step 31] Upon reception of the ‘Recovery Communication to AES’ N_REC_COM (IE048) message, the Office of Exit sends the ‘Exit Results’ C_EXT_RES (IE518) message with a negative exit control result code (i.e. ‘B1’).

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#). Likewise, the state of the movement at the Office of Exit for Transit is set to [Under recovery procedure](#) the state of the movement at the Office of Transit is set to [Under recovery procedure](#) and the state of the movement at the Office of Destination is set to [Under recovery procedure](#).

The Competent Authority of Recovery at Departure completes Recovery and sends to those Offices that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 32]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Transit;
- **[Step 33]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Destination;
- **[Step 34]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Exit for Transit.

[Step 35] Finally, the ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). The state of the movement at the Office of Exit for Transit is set to [Recovery completed](#), the state of the movement at the Office of Transit is set to [Recovery completed](#) and the state of the movement at the Office of Destination is set to [Recovery completed](#).

The business process of the transit procedure ends here.

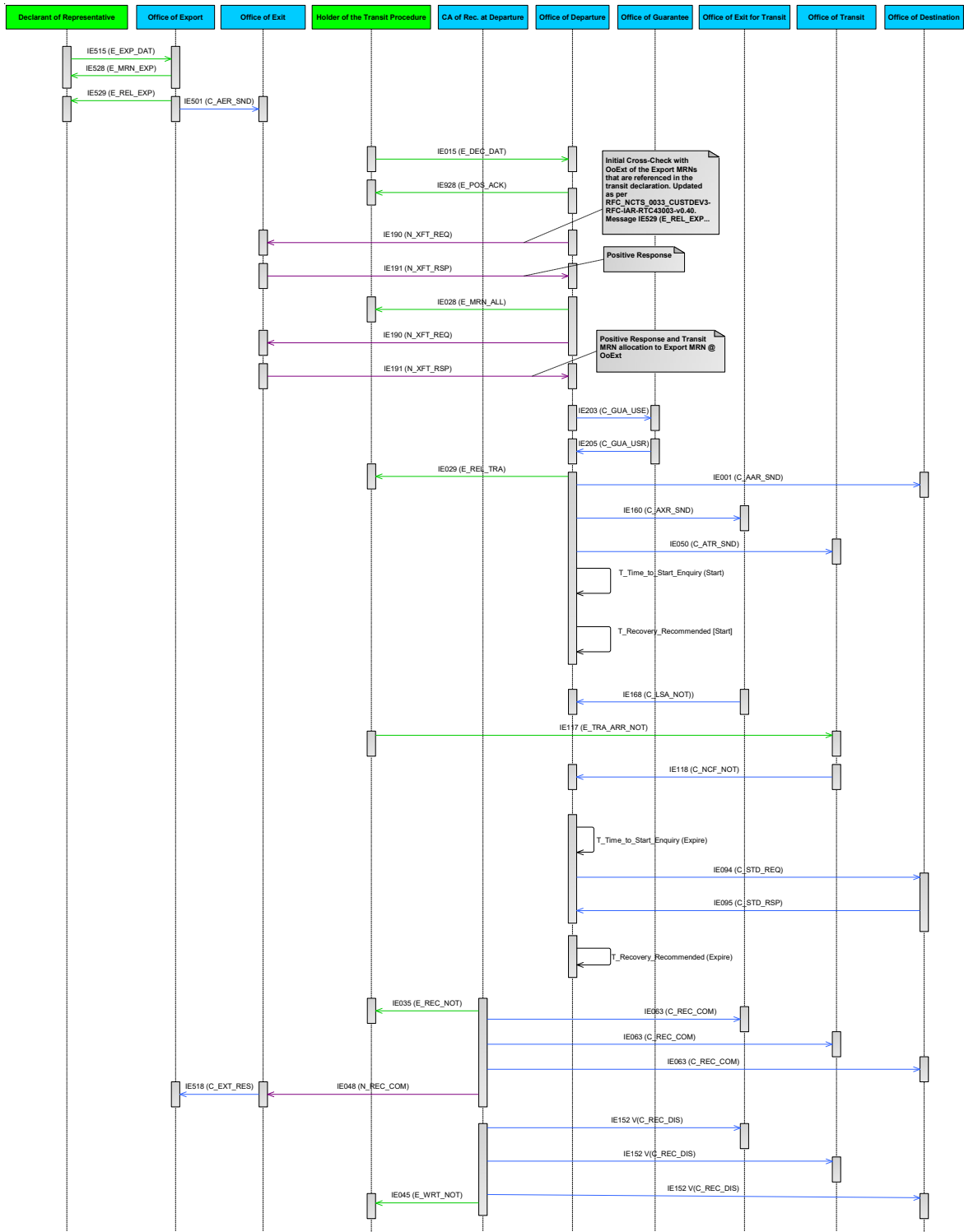


Figure 79: T-TRA-EFT-A-011-Transit movement having export as previous procedure - Departure notifies Office of Exit for the initiation of Recovery

III.II.7.4.3 T-TRA-EFT-A-012-Manual closure at Departure based on alternative proof - Export is previous procedure

This scenario describes the case that the transit movement that includes references of Export MRNs in its previous documents is released for transit. However, no ‘Arrival Advice’

C_ARR_ADV (IE006) and ‘Destination Control Results’ C_DES_CON (IE018) messages have been received from the Office of Destination yet. The Holder of the Transit Procedure presents alternative proof to the Office of Departure that the movement has arrived at its final destination. Next, the Office of Departure manually writes the transit movement off and the message ‘Destination Control Results to AES’ N_DES_CON (IE042) is sent to the Office of Exit containing the control result code of type ‘A1’.

This scenario continues from [\[Step 19\]](#) of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) in case of internal transit.

No ‘Arrival Advice’ C_ARR_ADV (IE006) and ‘Destination Control Results’ C_DES_CON (IE018) messages have been received from the Office of Destination yet, and the Holder of the Transit Procedure presents alternative proof that proves that the movement has arrived at the final destination.

[Step 19] By examining the alternative proof, the Office of Departure decides to manually write off the movement, so it sends the ‘Write-off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure.

[Step 20] The Office of Departure sends the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message to the Office of Exit for Transit. The state of the movement at the Office of Exit for Transit is set to [Arrived](#).

[Step 21] The Office of Departure sends the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message to the Office of Transit. The state of the movement at the Office of Transit is set to [Arrived](#).

[Step 22] The Office of Departure sends the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message to the Office of Destination. The state of the movement at the Office of Destination is set to [Arrived](#).

[Step 23] The ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message is sent to GMS to release the guarantee.

The Office of Departure validates whether the Office of Destination (Actual) presented in alternative evidence is appropriate or not (i.e. whether it possesses the role ‘EXT’ or is located to a CTC country).

[Step 24] The Office of Departure sends the ‘Destination Control Results to AES’ N_DES_CON (IE042) message to the Office of Exit with control result code ‘A1’ per Export MRN if it is considered ‘appropriate’ or with control result code ‘B2’ per Export MRN if it is considered ‘inappropriate’.

[Step 25] Upon reception of the ‘Destination Control Results to AES’ N_DES_CON (IE042), the Office of Exit prepares and sends the ‘Exit Results’ C_EXT_RES (IE518) message per Export MRN to the Office Export containing the same exit control result code ‘A1’ if such code has been included into the ‘Destination Control Results to AES’ N_DES_CON (IE042) by the Office of Departure (i.e. due to appropriate Office of Destination) or with exit control result code ‘B2’ per Export MRN if control result code ‘B2’ has been included into the ‘Destination Control Results to AES’ N_DES_CON (IE042) by the Office of Departure (i.e. due to inappropriate Office of Destination).

[Step 26] The Office of Export notifies the Declarant or Representative with the ‘Export Notification’ E_EXP_NTF (IE599) message.

[Step 27] The timer T Time to Start Enquiry that concerns the arrival of the expected control results from Destination stops.

[Step 28] The timer T Recovery Recommended at the Office of Departure stops.

The business process of the transit procedure ends here.

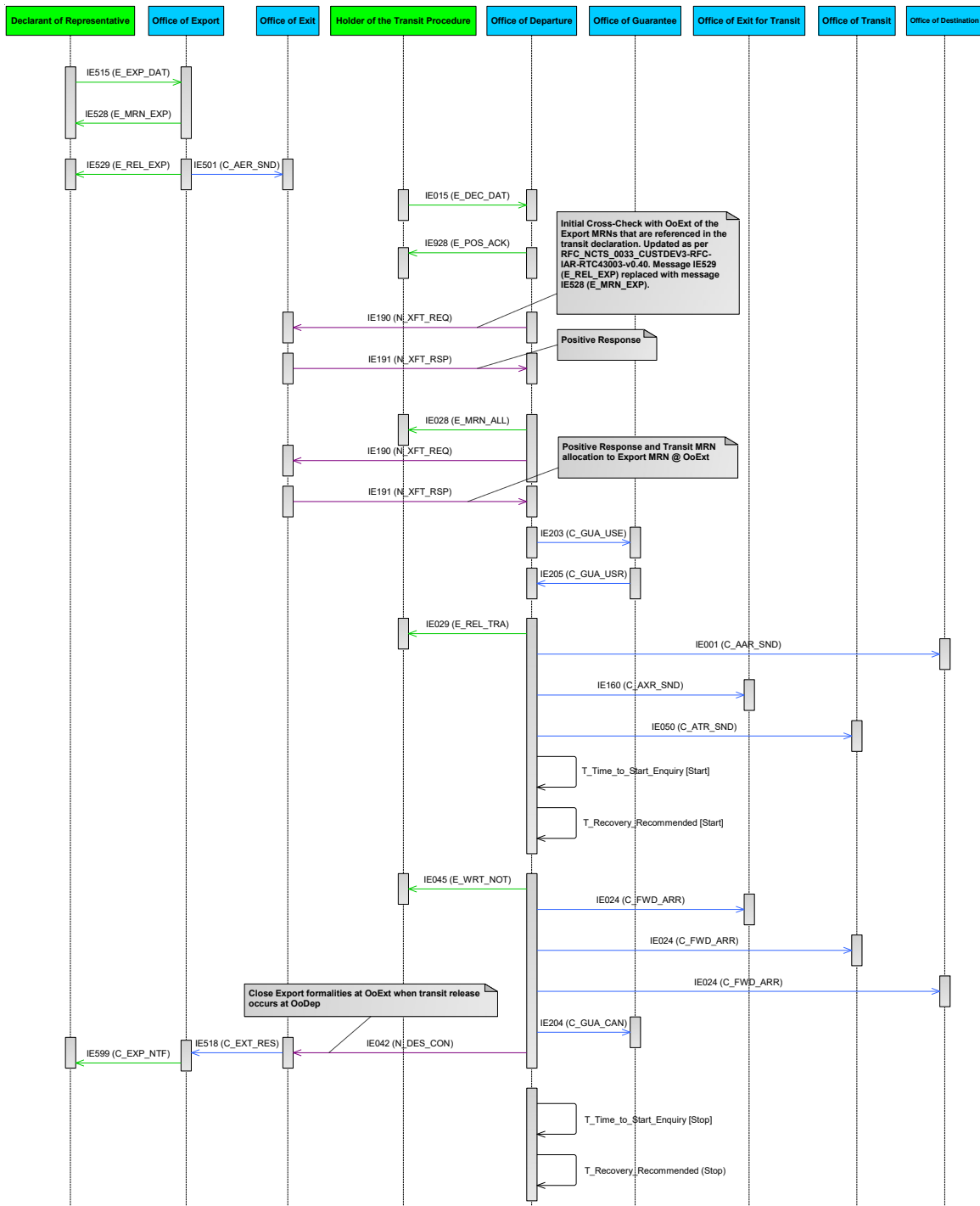


Figure 80: T-TRA-EFT-A-012-Manual closure at Departure based on alternative proof - Export is previous procedure

III.II.7.5 Transit Movement having Export as Previous Procedure is invalidated or not released for transit

The below scenarios describe what happens when the transit declaration having Export MRNs as previous documents is invalidated by the Holder of the Transit Procedure (accepted by Office of Departure) or the transit movement is not released for transit.

It should be noted that no invalidation of the transit movement is allowed when the movement has already been released for transit. This constraint is only valid when the transit movement contains Export MRNs in its previous documents.

Upon decision is taken by the Office of Departure to accept the invalidation request submitted by the Holder of the Transit Procedure or not to release the transit declaration, the 'Transit Invalidation Notification to AES' N_INV_TRA (IE040) message is sent by the Office of Departure to the Office of Exit. Subsequently, the Office of Exit de-associates the Export MRNs from the Transit MRN. This means that the Export MRNs at the Office of Exit can follow a different process or be referenced into another transit declaration.

III.II.7.5.1 T-TRA-EFT-A-008-Invalidation of transit declaration having export as previous procedure - Before release for transit

This scenario describes what happens when the transit declaration that references Export MRNs into its previous documents is invalidated following request from the Holder of the Transit Procedure. However, invalidation is not allowed when the declaration is under the status [Under control](#).

This scenario starts from [\[Step 11\]](#) of [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#) in case of external transit or [\[Step 10\]](#) of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) in case of internal transit (i.e. with appropriate Office of Destination).

The state of the transit movement at the Office of Departure is under [Accepted](#).

[Step 11] The Holder of the Transit Procedure submits a 'Declaration Invalidation Request' E_DEC_INV (IE014) message.

The Office of Departure examines the invalidation request submitted by the Holder of the Transit Procedure and decides to accept it.

The state of the movement at the Office of Departure is set to [Invalidated](#).

[Step 12] The Office of Departure prepares and sends to the Holder of the Transit Procedure the 'Invalidation Decision' E_INV_DEC (IE009) message.

[Step 13] The Office of Departure prepares and sends to the Office of Exit the message 'Transit Invalidation Notification to AES' N_INV_TRA (IE040).

Upon reception of the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040) message, the Office of Exit de-associates the Transit MRN from the Export MRNs. That way, the Export MRNs become available for another procedure.

The business process of the transit procedure ends here.

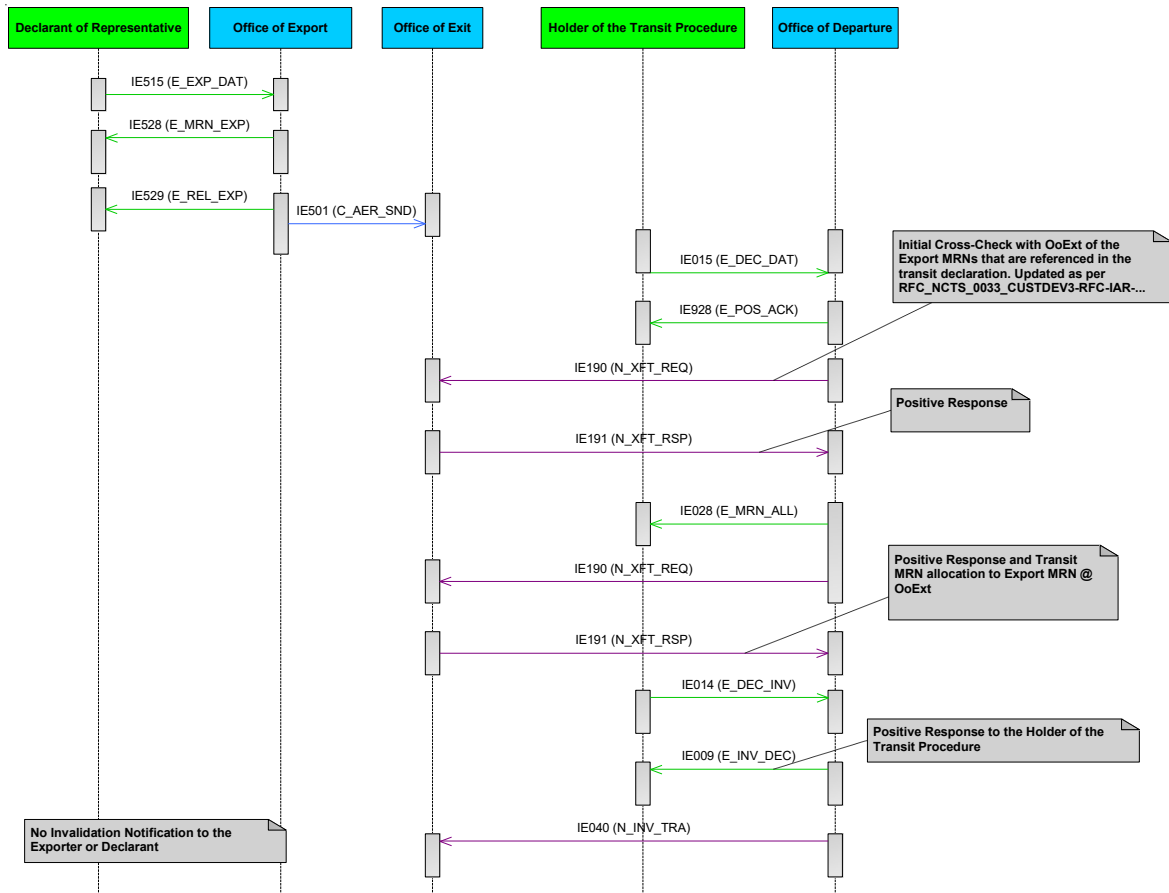


Figure 81: T-TRA-EFT-A-008-Invalidation of transit declaration having export as previous procedure - Before release for transit

III.II.7.5.2 T-TRA-EFT-A-009-Transit movement having export as previous procedure is not released for transit

This scenario describes what happens when the transit declaration that references Export MRNs into its previous documents is not released for transit. In that case, the Office of Exit is notified with the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040) message to de-associate the Transit MRN for the Export MRNs. The transit movement is closed, but the Export MRNs are available for a different process such as submission of an ‘Arrival at Exit’ E_ARR_EXT (IE507) from the Declarant or Representative into this Office of Exit or be referenced into a different transit declaration.

This scenario starts from [\[Step 11\]](#) of [T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit](#) in case of external transit or [\[Step 10\]](#) of [T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit \(Appropriate Office of Destination\)](#) in case of internal transit (i.e. with appropriate Office of Destination).

The state of the transit movement at the Office of Departure is under [Accepted](#).

The Office of Departure decides not to release the transit movement for transit. The state at the Office of Departure is set to [Not released for transit](#).

[Step 11] The Office of Departure sends the ‘No Release for Transit’ E_REL_NOT (IE051) message to the Holder of the Transit Procedure.

[Step 12] Additionally, the Office of Departure prepares and sends to the Office of Exit the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040) message.

Upon reception of the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040), the Office of Exit de-associates the Transit MRN from the Export MRNs. These export movements are now available for another process.

The business process of the transit procedure ends here.

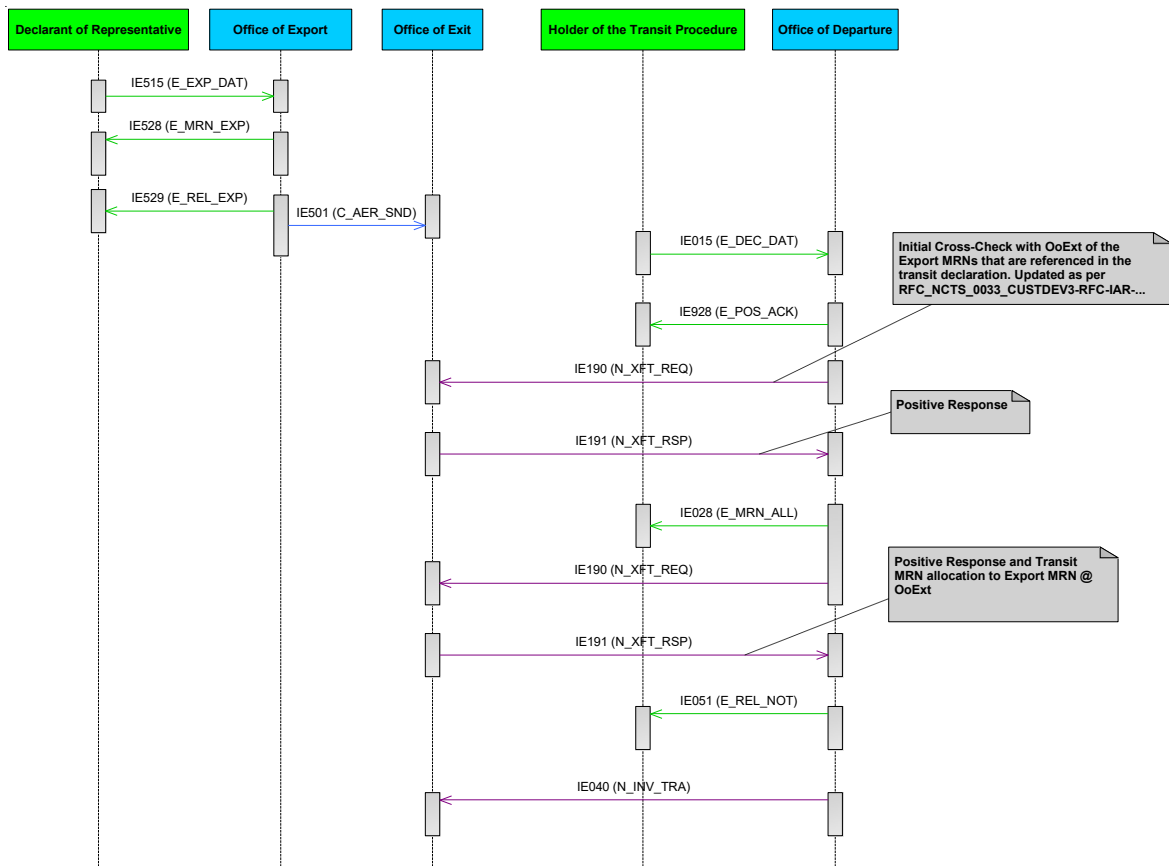


Figure 82: T-TRA-EFT-A-009-Transit movement having export as previous procedure is not released for transit

III.II.8 Scenarios for NCTS/TIR-DATA Pilot Project (TIR)

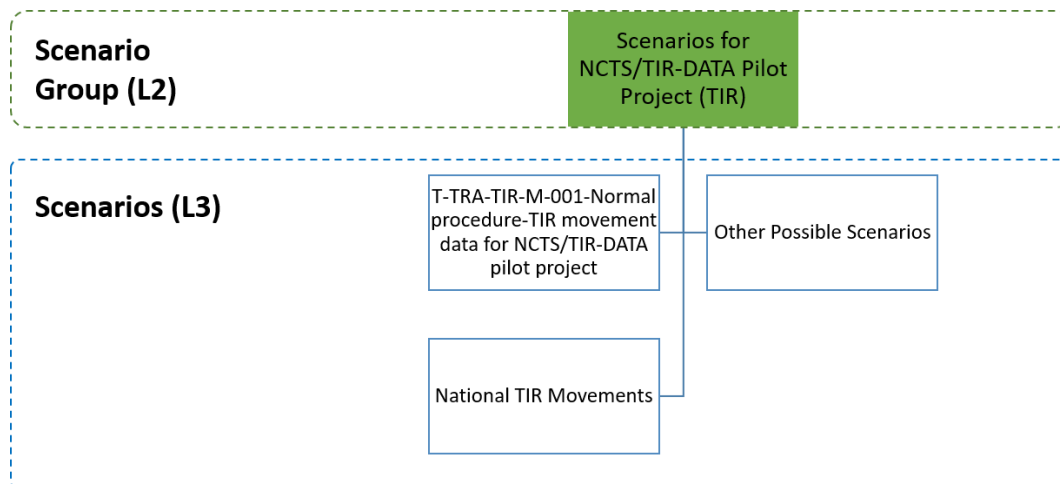


Figure 83: NCTS/TIR-DATA scenario organisation

III.II.8.1.1 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 NCTS/TIR-DATA Pilot Project must be met:

1. EU 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 ‘Declaration Data’ E_DEC_DAT (IE015) is of type “TIR”;
3. The Country of Destination declared in the ‘Declaration Data’ E_DEC_DAT (IE015) either at Consignment level or in at least one Consignment Item level is a Partner Country to the NCTS/TIR-DATA Pilot Project;
4. The Office of Destination of the transit declaration should also be located in an EU Member State

III.II.8.1.1.1 T-TRA-TIR-M-001-Normal procedure-TIR movement data for NCTS/TIR-DATA pilot project

The movement has been released for Transit (IE001 sent to Office of Destination). Figure 84 shows the core flow for normal procedure without any problems, with Destination Country in Russia (if applicable based on the movement) for some Goods Items and in another Partner Country for some other Goods Items.

The movement has been released for transit. The state of the movement at the Office of Departure is Movement released. The timers T_Await_Arrival_Advice & T_Await_Receipt_Control_Results & T_Recovery_Recommended at the Office of Departure start.

Upon release for transit, the following messages are sent:

- The ‘Release for Transit’ E_REL_TRA (IE029) to Holder of the Transit Procedure;
- The ‘Anticipated Arrival Record-TIR-Speed’ C_AAR_SPD (IE012) to SPEED2;
- The ‘Anticipated Arrival Record’ C_AAR_SND (IE001) to the Office of Destination.

Upon reception of the ‘Anticipated Arrival Record-TIR-Speed’ C_AAR_SPD (IE012), SPEED2 generates and sends the ‘AAR TIR SPEED’ C_AAR_SRU (IES01) to the responsible Partner Country.

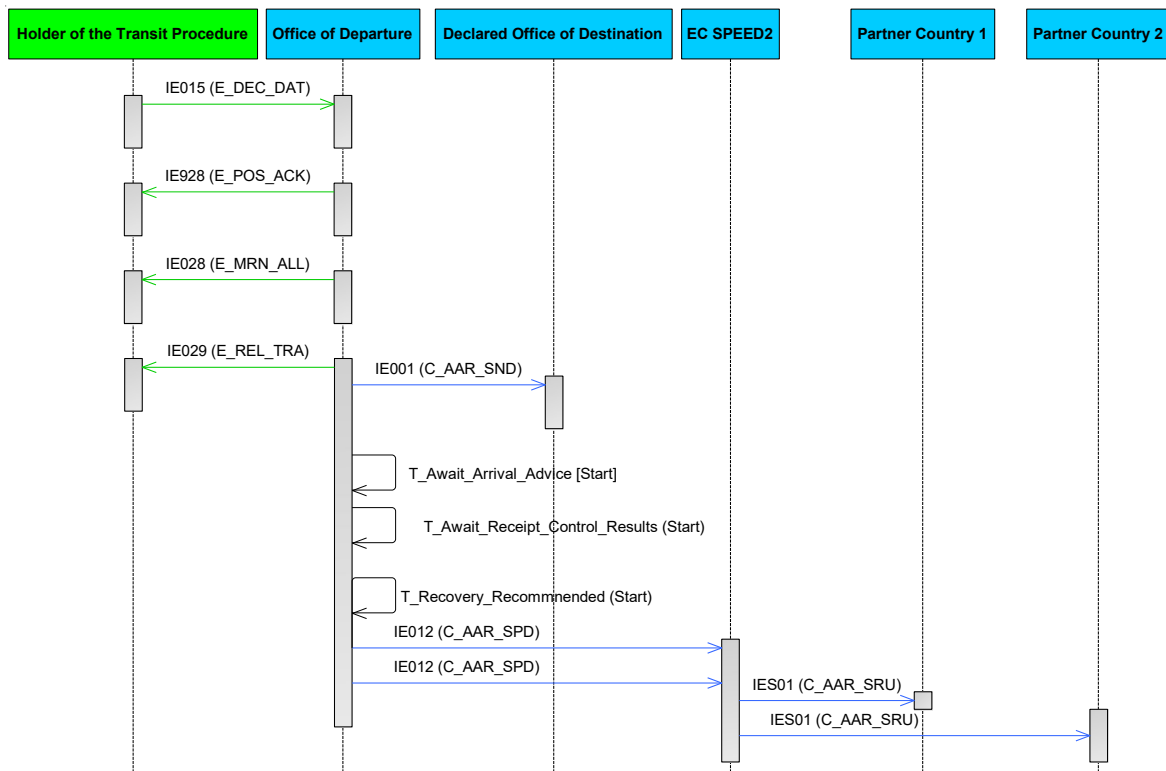


Figure 84: T-TRA-TIR-M-001-Normal procedure-TIR movement data for NCTS/TIR-DATA pilot project

Note: The Participating MS will send the same message ‘Anticipated Arrival Record-TIR-Speed’ C_AAR_SPD (IE012) to different CCN/CSI queues on the same DG TAXUD Gateway if more than one Partner Country is involved (one CCN/CSI queue per Partner Country, as defined in DDCOM).

III.II.8.2 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 if all rules and conditions for a TIR movement are satisfied. However, the NCTS/TIR-DATA pilot project exchanges are not affected. As soon as the movement is released for Transit, the Office of Departure prepares an advanced arrival notification for NCTS/TIR-DATA pilot project via the ‘Anticipated Arrival Record-TIR-Speed’ C_AAR_SPD (IE012) message and sends it to EC SPEED2 platform.

Upon the reception of advanced arrival notification for NCTS/TIR-DATA pilot project ‘Anticipated Arrival Record-TIR-Speed’ 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.

III.II.8.3 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 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 ‘Anticipated Arrival Record-TIR-Speed’ C_AAR_SPD (IE012) and sends it to EC SPEED2 platform upon the release of movement for Transit.

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

III.III NCTS Guarantee Management (GMN)

III.III.1 Introduction

III.III.1.1 Overview

The following sections contain 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 85 below. 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*.

In particular, Figure 85 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 implement under the responsibility of the NAs. However, the External Domain *Information Exchanges* are presented in the Appendices.

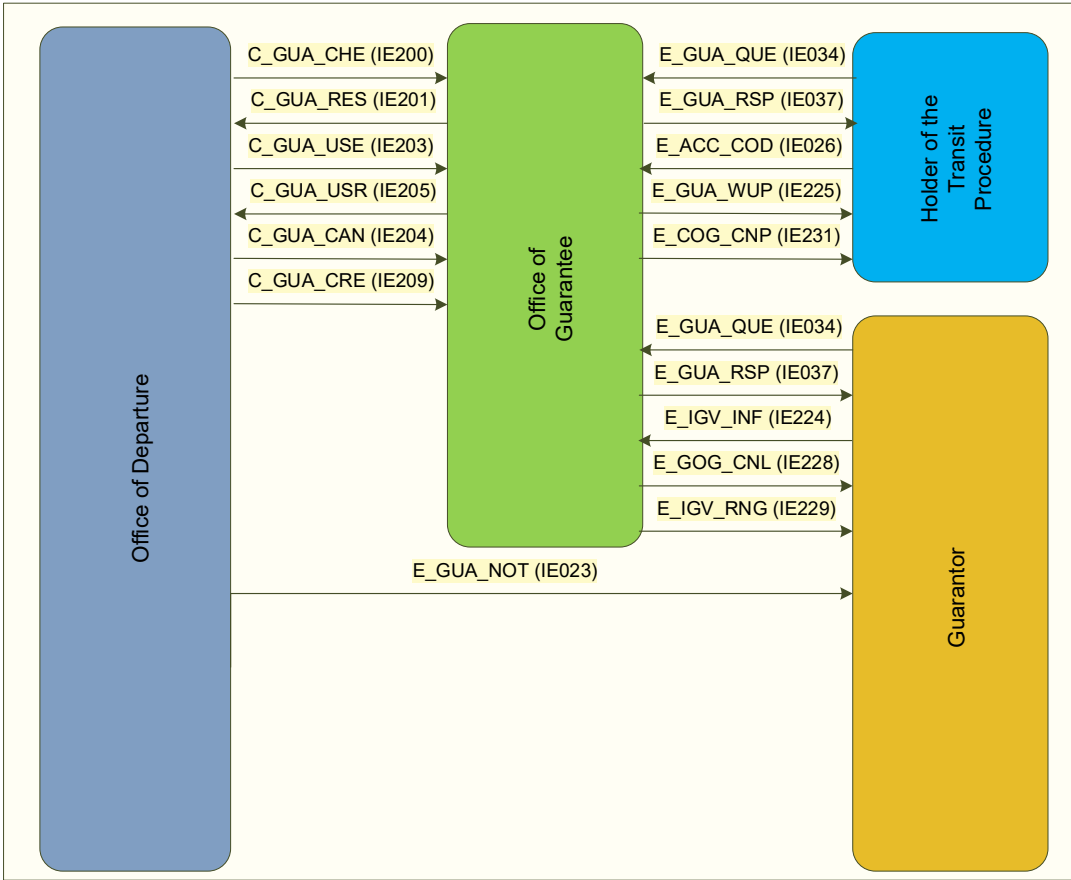


Figure 85: Overview of Information Exchange regarding the Guarantee Management

The External Domain messages depicted in the above Figure have the following meaning:

- **‘Guarantor Notification’ E_GUA_NOT (IE023):** When the recovery procedure is initiated, the Office of Departure will automatically inform the Guarantor about the start of the Recovery Procedure;
- **‘Guarantee Access Codes’ E_ACC_COD (IE026):** The Holder of Transit the procedure assigns (re-assigns) one or more guarantee access codes to one of their own guarantees. Therefore, they communicate (IE026) the information to the Office of Guarantee;
- **‘Query on Guarantees’ E_GUA_QUE (IE034):** The Holder of the Transit Procedure or the Guarantor can query on guarantees in the Office of Guarantee;
- **‘Response Query on Guarantees’ E_GUA_RSP (IE037):** The Office of Guarantee responds (IE037) to the Holder of the Transit Procedure or the Guarantor (that sent the IE034);
- **‘Individual Guarantee Voucher Sold’ E_IGV_INF (IE224):** The Guarantor must inform (IE224) the Office of Guarantee (at which the concerned individual guarantee in the form of vouchers document is lodged) about the sold individual guarantee voucher(s);
- **‘Guarantee Update Notification’ E_GUA_WUP (IE225):** The Office of Guarantee registers the comprehensive guarantee data. The updated guarantee data are communicated (IE225) to the Holder of Transit the procedure;
- **‘Comprehensive Guarantee Cancellation Liability Liberation’ E_GOG_CNL (IE228):** If no more movements are covered by the cancelled comprehensive guarantee (when all the movements are ‘written off’), the liability of the Guarantor (related to a cancelled comprehensive guarantee) is released and the Guarantor is informed by the Office of Guarantee;
- **‘Individual Guarantee Voucher Revocation Notification’ E_IGV_RNG (IE229):** The revocation of the individual guarantee in the form of vouchers is communicated to the Guarantor by the Office of Guarantee;
- **‘Comprehensive Guarantee Cancellation Notification’ E_COG_CNP (IE231):** The Holder of Transit the procedure is informed about the cancelled comprehensive guarantee by the Office of Guarantee.

III.III.1.2 Common Domain Messages Overview

In the business area ‘Guarantee Management’, the Common Domain *Information Exchanges* planned in NCTS-P5 are:

- ‘Guarantee Check’ C_GUA_CHE (IE200) as identified in the process thread L4-TRA-02-01 - ‘Check Guarantee Integrity’ (see [R9] FSS UCC NCTS Section II);
- ‘Guarantee Check Result’ C_GUA_RES (IE201) as identified in the process thread L4-TRA-02-01 - ‘Check Guarantee Integrity’ (see [R9] FSS UCC NCTS Section II);
- ‘Guarantee Use’ C_GUA_USE (IE203) as identified in the process thread L4-TRA-02-03 - ‘Register Guarantee Usage’ (see [R9] FSS UCC NCTS Section II);
- ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) as identified in the process threads L4-TRA-02-06 - ‘Cancel Guarantee Usage’ and L4-TRA-02-05 - ‘Release Guarantee’ (see [R9] FSS UCC NCTS Section II);
- ‘Guarantee Use Result’ C_GUA_USR (IE205) as identified in the process thread L4-TRA-02-03 - ‘Register Guarantee Usage’ (see [R9] FSS UCC NCTS Section II);

- ‘Credit Reference Amount’ C_GUA_CRE (IE209) as identified in the process thread L4-TRA-02-04 - ‘Credit Reference Amount’ (see [R9] FSS UCC NCTS Section II).

III.III.1.3 Guarantee Actors

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

Role name	Organisation
Office of Departure	Customs Office
Office of Guarantee	Customs Office
Holder of the Transit Procedure	Trader

Table 8: Roles and organisations in Guarantee Management

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

The Office of Guarantee is responsible for the management of the data of comprehensive guarantees, individual guarantees and individual guarantees in the form of vouchers. 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.

III.III.1.4 Guarantee Types

In the Common Domain, the Guarantee Management deals with the guarantee types:

- ‘0’ = Guarantee waiver (Article 95(2) of the Code, Article 75(2)(c) of Appendix I of the CTC);
- ‘1’ = Comprehensive guarantee (Article 89(5) of the Code), Article 75(1) and (2)(a) and (b) of Appendix I of the CTC);
- ‘2’ = Individual guarantee in the form of an undertaking by a guarantor (Article 92(1)(b) of the Code), Article 20 of Appendix I of the CTC);
- ‘4’ = Individual guarantee in the form of vouchers (Article 92(1)(b) of the Code and Article 160), Article 21 of Appendix I of the CTC);
- ‘9’ = Individual guarantee with multiple usage (point 3 of Annex I to Appendix I of the CTC)³⁹.

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 1.1.2.2 of FSS UCC NCTS, Section II (please refer to [R9]).

There are also guarantee types that are not managed by the Office of Guarantee but rather by the Office of Departure (i.e. non-GMS related Guarantees).

³⁹ The usage of Guarantee type '9' is limited to the common transit operations started at a Customs Office of Departure located in a non-EU country. Additionally, the monitoring code '3' is also used for this Guarantee type '9'.

These are:

- ‘3’ = Individual guarantee in cash or other means of payment recognised by the customs authorities as being equivalent to a cash deposit, made in euro or in the currency of the Member State in which the guarantee is required (Article 92(1)(a) of the Code), Article 19 of Appendix I of the CTC);
- ‘5’ = Guarantee waiver where the amount of import or export duty to be secured does not exceed the statistical value threshold for declarations laid down in accordance with Article 3(4) of Regulation (EC) No 471/2009 of the European Parliament and of the Council (Article 89(9) of the Code);
- ‘8’ = Guarantee not required for certain public bodies (Article 89(7) of the Code);
- ‘A’ = Guarantee waiver by agreement (Article 10(2)(a) of the CTC);
- ‘B’ = Guarantee furnished for goods dispatched under TIR procedure;
- ‘C’ = Guarantee not required for goods carried by fix transport installations (Article 89(8)(b) of the Code, Article 13(1)(c) of Appendix I of the CTC);
- ‘J’ = Guarantee not required for the journey between customs office of departure and customs office of transit - Article 10(2)(b) of the Convention of 20 May 1987 on a common transit procedure;
- ‘R’ = Guarantee not required for goods carried on the Rhine, the Rhine waterways, the Danube or the Danube waterways (Article 89(8)(a) of the Code).

III.III.1.5 Monitoring Usage of Guarantee

“Monitoring” means the way Guarantee Management will be tracking the usage of a guarantee, i.e. the data that is recorded at the use time. There are three (3) types of monitoring, coded as follows:

- Code 1: MRN, date;
- Code 2: MRN, date and amount;
- Code 3: MRN, date, amount and update account (decrease at lock-time, increase at release-time).

As per NCTS-P5, only the monitoring code 3 is applicable for the comprehensive guarantee types ‘0’, ‘1’ and ‘9’, while only the monitoring codes ‘1’ or ‘2’ apply for the other guarantee types ‘2’ and ‘4’.

III.III.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.

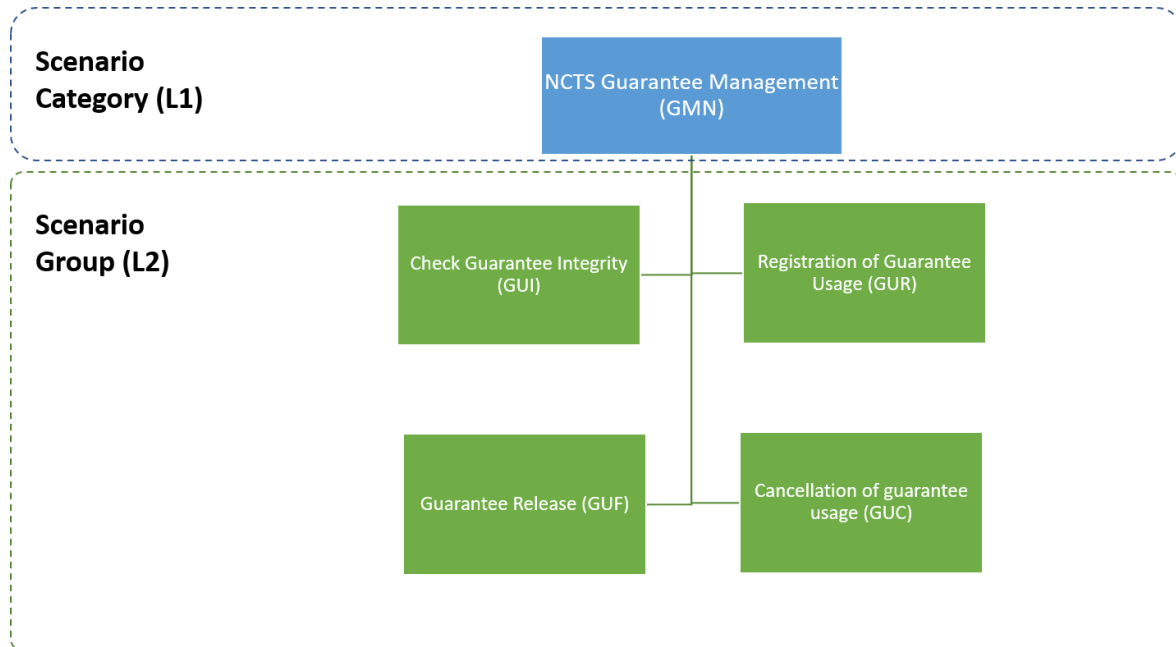


Figure 86: NCTS Guarantee Management scenario groups (L2)

III.III.2.1 Check Guarantee Integrity (GUI)

Both the Customs Officer at Departure and the Holder of the Transit Procedure need a functionality to check the validity of guarantees, both nationally and internationally.

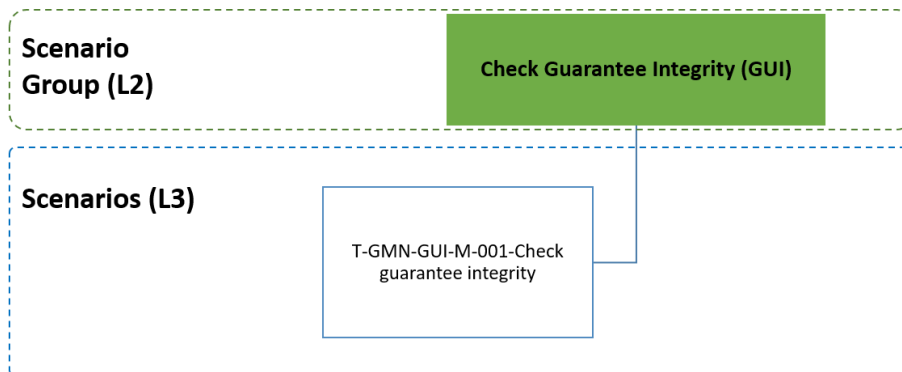


Figure 87: Check guarantee integrity scenario

The Holder of the Transit Procedure sends the ‘Declaration Data’ E_DEC_DAT (IE015) to the Office of Departure. Upon receipt of the ‘Declaration Data’ and after accepting the transit declaration and allocating the MRN, and up until the moment when the transit movement is released for transit, the Office of Departure is entitled to perform a guarantee integrity check. Hence, the Office of Departure sends the ‘Guarantee Check’ C_GUA_CHE (IE200) message

to the Office of Guarantee, which replies back the guarantee integrity result with the 'Guarantee Check Result' C_GUA_RES (IE201) message.

After the 'Declaration Data' is validated and the MRN has been allocated (but the goods are not yet 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:

- For an individual guarantee voucher (code 4), the following integrity checks will be performed:
 - Check if the individual guarantee voucher exists and is still valid;
 - Check the validity of the access code against the voucher presented;
 - Check if the Holder of the Transit procedure of the voucher corresponds to the Holder of the Transit procedure of the declaration.
- For an individual guarantee by Guarantor (code 2), the following integrity checks will be performed:
 - Check if the guarantee exists and has not been used;
 - Check the guarantee amount;
 - Check the validity of the access code against the guarantee;
 - Check if the Holder of the Transit procedure of the guarantee corresponds to the Holder of the Transit procedure of the declaration;
 - Check about the territorial validity;
- For a comprehensive guarantee (type 1) and for guarantee waiver (type 0) and for individual guarantee with multiple usage (type 9), the following integrity checks will be performed:
 - Check if the guarantee exists and is valid;
 - Check the validity of the access code against the guarantee;
 - Check if the Holder of the Transit procedure of the guarantee corresponds to the Holder of the Transit procedure of the declaration;
 - Check if the reference amount(s) is (are) being exceeded;
 - Check about the territorial validity⁴⁰.

⁴⁰ The data group 'VALIDITY LIMITATION' is included in the reply guarantee messages (i.e. IE201/IE205) from the Office of Guarantee, when the Guarantee is registered with territorial validity (i.e. countries where the Guarantee is not considered valid). So, these countries need to be excluded from the transit movement. For instance, in case this data group is present when the Office of Guarantee returns a negative guarantee result (i.e. invalid guarantee reason is 'G08') in the IE201/IE205 messages, this means that the transit declaration contains one or more involved countries where the Guarantee is not considered valid. Moreover, the Office of Departure uses the information received from the Office of Guarantee (i.e. from the data group 'VALIDITY LIMITATION') to reject a diversion request (as Office of Transit or as Office of Destination) in case the Guarantee has no jurisdiction in the specific country.

III.III.2.1.1

T-GMN-GUI-M-001-Check guarantee integrity

This scenario describes the basic integrity check performed by the Office of Departure for guarantee types maintained in the Guarantee Management System.

The scenario starts after [\[Step 3\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] The Office of Departure decides to check the integrity of Guarantees used for a transit movement against the Guarantee management system. For this reason, the Office of Departure sends the ‘Guarantee Check’ C_GUA_CHE (IE200) message to the Guarantee Management System.

NOTE: The guarantee integrity check can be either automated or manual. There is no restriction and it is up to the National Administration to decide whether the process should be automated or not.

Upon reception of the ‘Guarantee Check’ C_GUA_CHE (IE200) message, GMS tries to locate the GRNs included into this message whether they are associated with the specific MRN.

[Step 5] After this and all other validation checks are completed for the specific GRNs, GMS returns a result with the ‘Guarantee Check Result’ C_GUA_RES (IE201) message.

In case the ‘Invalid Guarantee Reason error code’ is missing from the ‘Guarantee Check Result’ C_GUA_RES (IE201) message, the result from GMS is considered positive, otherwise negative.

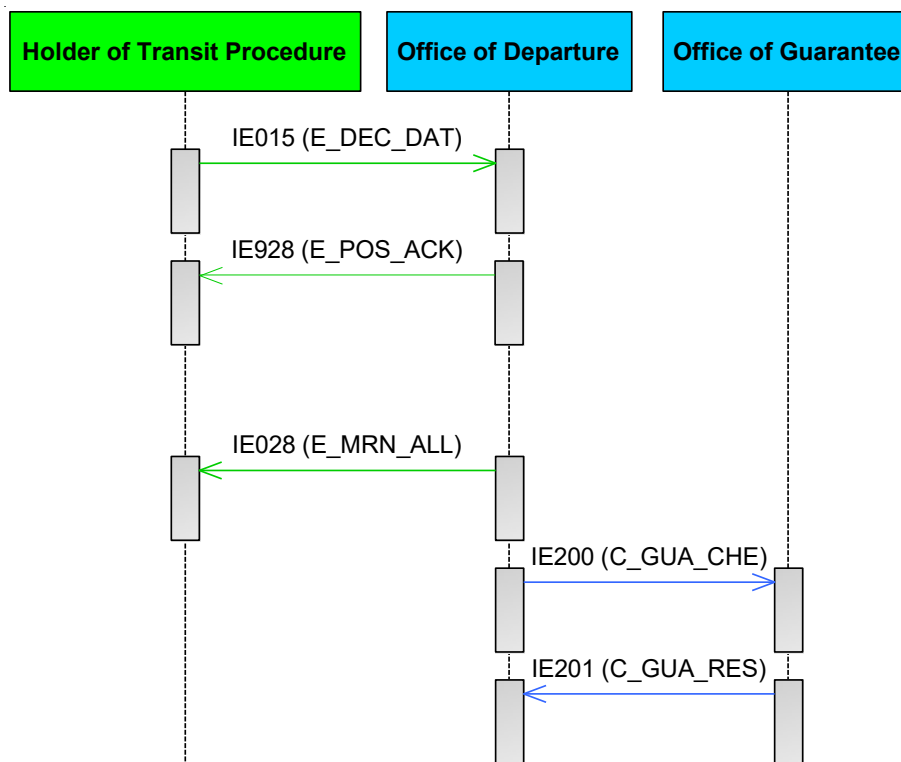


Figure 88: T-GMN-GUI-M-001-Check guarantee integrity

III.III.2.2 Registration of Guarantee Usage (GUR)

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 checks 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.

At any point of time, the Holder of the Transit Procedure or the Guarantor is allowed to perform guarantee queries to the Guarantee Management System to check the details of their own guarantees even though no MRN may have been allocated to the transit movement yet. For this reason, the ‘Query on Guarantees’ E_GUA_QUE (IE034) message is sent to GMS, which replies back to the Holder of the Transit Procedure with the ‘Response Query on Guarantees’ E_GUA_RSP (IE037) message.

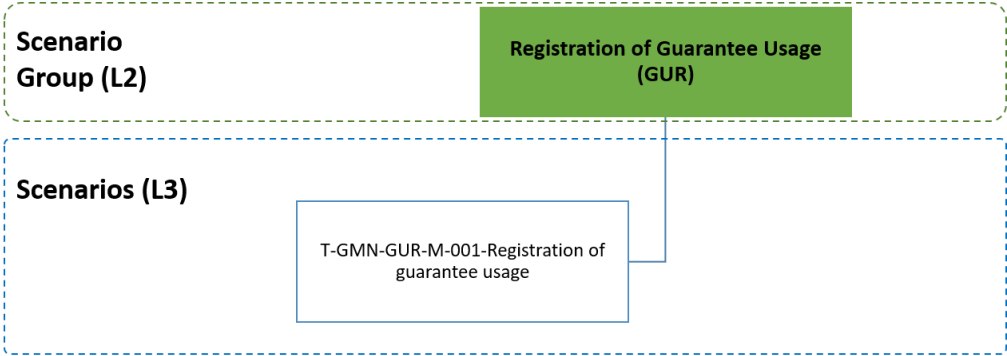


Figure 89: Registration of guarantee usage scenario

III.III.2.2.1 T-GMN-GUR-M-001-Registration of guarantee usage

This scenario describes the registration of guarantees used by a transit movement. It is performed by the Office of Departure after control is finished and the movement is awaiting to be released for transit by the Office of Departure.

The scenario starts after [\[Step 3\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 4] The Customs Officer at Departure decides to accept the guarantees. For this reason, the ‘Guarantee Use’ C_GUA_USE (IE203) message is sent to the Guarantee Management System in order to register these guarantees used by the transit movement.

Upon reception of the ‘Guarantee Use’ C_GUA_USE (IE203) message, GMS tries to locate the GRNs included into this message, if they are associated with the specific MRN and that the guarantees are owned by the Holder of the Transit Procedure.

[Step 5] After this and all other validation checks are completed for the specific GRNs (e.g. sufficient funds), GMS returns a result with the ‘Guarantee Use Result’ C_GUA_USR (IE205) message.

If the guarantee registration fails, the Guarantee Management replies with the ‘Guarantee Use Result’ C_GUA_USR (IE205) message that contains an appropriate ‘Invalid Guarantee Reason error code’. On the other hand, if no invalid reason code is included in the reply from the Guarantee Management (*i.e.* in the IE205), this means that the guarantee registration is successful, and the transit movement for the specific MRN can be released for transit (provided that the registration of all other guarantees used by the transit movement is completed successfully as well).

The business flow of the transit procedure may continue as follows:

- In case a positive ‘Guarantee Use Result’ C_GUA_USR (IE205) message is returned from the Guarantee Management System (*i.e.* ‘Invalid Guarantee Reason error code’ is missing), the business flow of the transit procedure continues from [\[Step 5\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#);
- In case a negative ‘Guarantee Use Result’ C_GUA_USR (IE205) message is returned from the Guarantee Management System (*i.e.* ‘Invalid Guarantee Reason error code’ is present), the business flow of the transit procedure continues from [\[Step 6\]](#) of the [T-TRA-DEP-A-013-Release for transit refused due to guarantee registration failure](#).

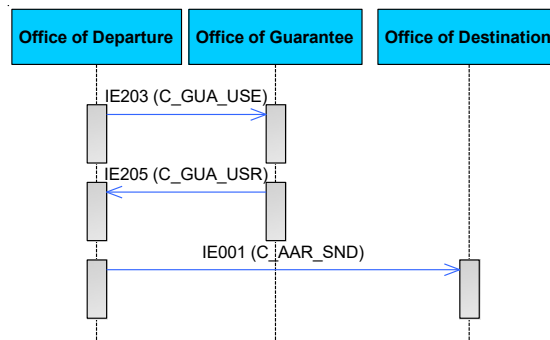


Figure 90: T-GMN-GUR-M-001-Registration of guarantee usage

III.III.2.3 Guarantee Release (GUF)

The below scenarios describe the message interactions between the Office of Departure and the Guarantee Management System to release the guarantee usage for a specific MRN.

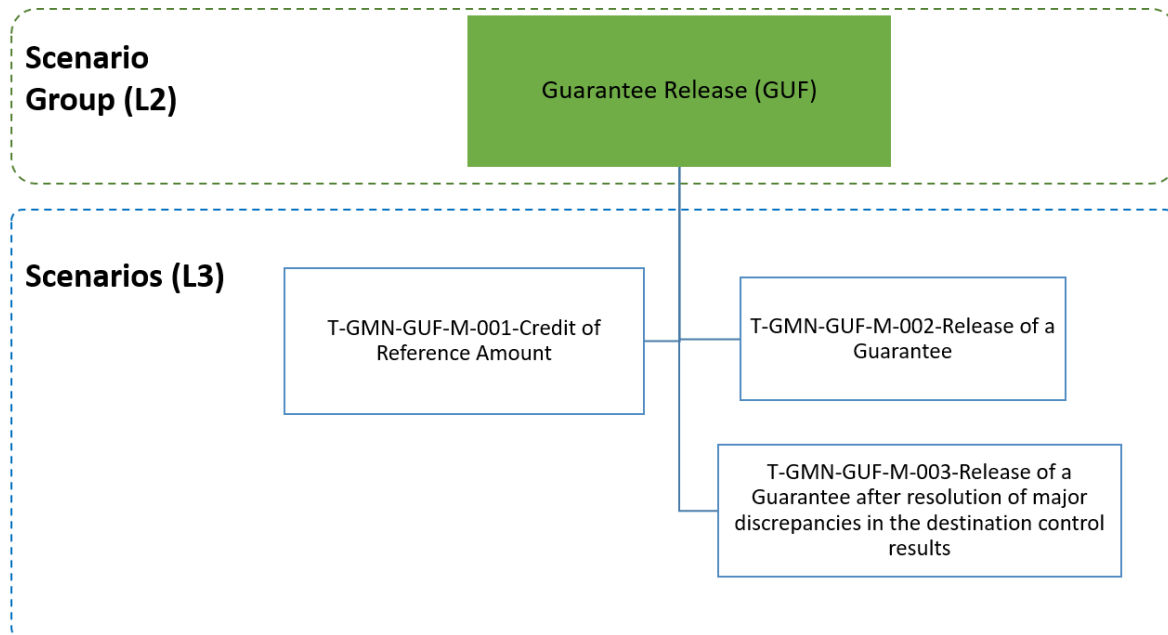


Figure 91: Guarantee release scenarios

III.III.2.3.1 T-GMN-GUF-M-001-Credit of Reference Amount

The scenario starts after [\[Step 15\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 16] The Office of Departure receives the ‘Arrival Advice’ C_AAR_ADV (IE006) message from the Office of Destination.

[Step 17] Provided that the used guarantees are of type ‘0’ or ‘1’, the Office of Departure needs to credit the reference amount that was locked after the exchange of ‘Guarantee Use’ C_GUA_USE (IE203) / ‘Guarantee Use Result’ C_GUA_USR (IE205). For this reason, the Office of Departure sends the ‘Credit Reference Amount’ C_GUA_CRE (IE209) message to the Office of Guarantee in case Guarantee types ‘0’ or ‘1’ have been used for this transit movement. The Office of Guarantee credits the locked reference amount [i.e. the reserved amount is placed back to the balance of the guarantee].

The business flow of the transit procedure continues from [\[Step 18\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

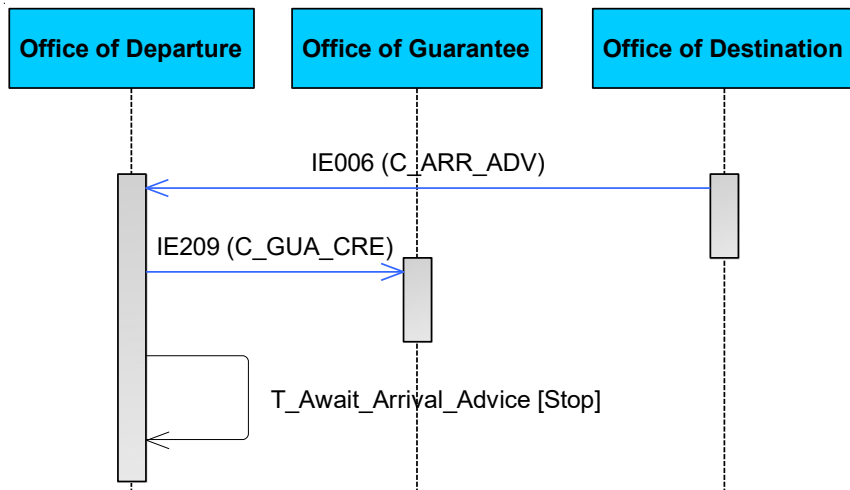


Figure 92: T-GMN-GUF-M-001-Credit of Reference Amount

III.III.2.3.2 T-GMN-GUF-M-002-Release of a Guarantee

The below scenario demonstrates that upon receipt of the ‘Destination Control Results’ C_DES_CON (IE018) message with no major discrepancies (i.e. control results code ‘A1’ or ‘A2’ or ‘A5’), 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, that is, guarantee types ‘0’, ‘1’, ‘2’, ‘4’, and ‘9’. When the guarantees are released, the movement can be written off.

The scenario starts after [\[Step 20\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 21] The Office of Destination notifies the Trader at Destination with the ‘Goods Release Notification’ E_GDS_REL (IE025) message (i.e. “Release Indicator” flag is equal to “1-Full release of goods (as per declaration) - Movement closed”).

[Step 22] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure stops.

[Step 23] The Office of Departure sends the ‘Write-Off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure.

[Step 24] Upon reception of the ‘Destination Control Results’ C_DES_CON (IE018) message with no major discrepancies (i.e. control results code ‘A1’ or ‘A2’ or ‘A5’), the Office of Departure sends the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) for the release of the guarantee usage to the Guarantee Management System(s).

[Step 25] Finally, since the movement is closed, the timer [T_Recovery_Recommended](#) at the Office of Departure stops.

The business flow of the transit procedure ends here.

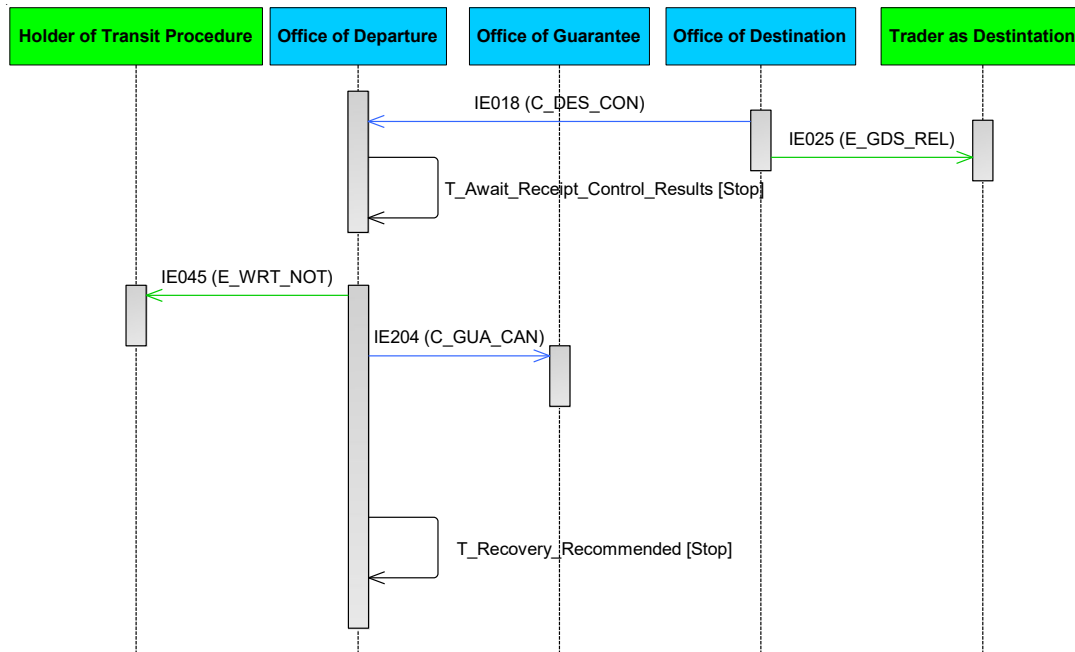


Figure 93: T-GMN-GUF-M-002-Release of a Guarantee

III.III.2.3.3 T-GMN-GUF-M-003-Release of a Guarantee after resolution of major discrepancies in the destination control results

The below scenario demonstrates what happens when the ‘Destination Control Results’ C_DES_CON (IE018) message is received that reports major discrepancies (i.e. control results code ‘B1’) in the destination control results.

When the major discrepancies are resolved, 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, that is, guarantee types ‘0’, ‘1’, ‘2’, ‘4’, and ‘9’. After the guarantees are released, the movement can be written off.

The scenario starts after [\[Step 18\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 19] Upon reception of the ‘Destination Control Results’ C_DES_CON (IE018) message with major discrepancies (i.e. control results code ‘B1’), the timer [T_Await_Receipt_Control_Results](#) stops.

[Step 20] The Office of Departure sends a ‘Discrepancies’ E_DIS_SND (IE019) message to the Holder of the Transit Procedure and **[Step 21]** starts the timer [T_Discrepancies_Resolution](#).

[Step 22] The Office of Destination notifies the Trader at Destination for the major discrepancies with the ‘Goods Release Notification’ E_GDS_REL (IE025) message (i.e. Release indicator is set to ‘2- Partial release of goods’ or ‘4-No Release’).

The status of the movement at the Office of Departure is set to [Movement under resolution](#) and the status of the movement at the Office of Destination is set to [Waiting for discrepancies resolution](#).

When the discrepancies are resolved, the status of the movement at the Office of Departure is set to [Movement written off](#).

[Step 23] The ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure. Additionally, **[Step 24]** the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) is sent to the Office of Destination with the flag set to ‘1- Discrepancies resolved at departure, movementwritten-off’.

[Step 25] Since the discrepancies are now resolved, the guarantees can be released and for this reason, the Office of Departure sends the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) for the release of the guarantee usage to the Guarantee Management System(s). Moreover, **[Step 26]** the timer [T_Discrepancies_Resolution](#) stops.

[Step 27] The Office of Destination notifies the Trader at Destination with the ‘Goods Release Notification’ E_GDS_REL (IE025) message (i.e. Release indicator is set to ‘1- Full release of goods (as per declaration) - Movement closed’ or ‘3- Partial release of goods - Movement closed’). The status of the movement at the Office of Destination is set to [Goods released](#).

[Step 28] Finally, since the movement is closed, the timer [T_Recovery_Recommended](#) at the Office of Departure stops.

The business flow of the transit procedure ends here.

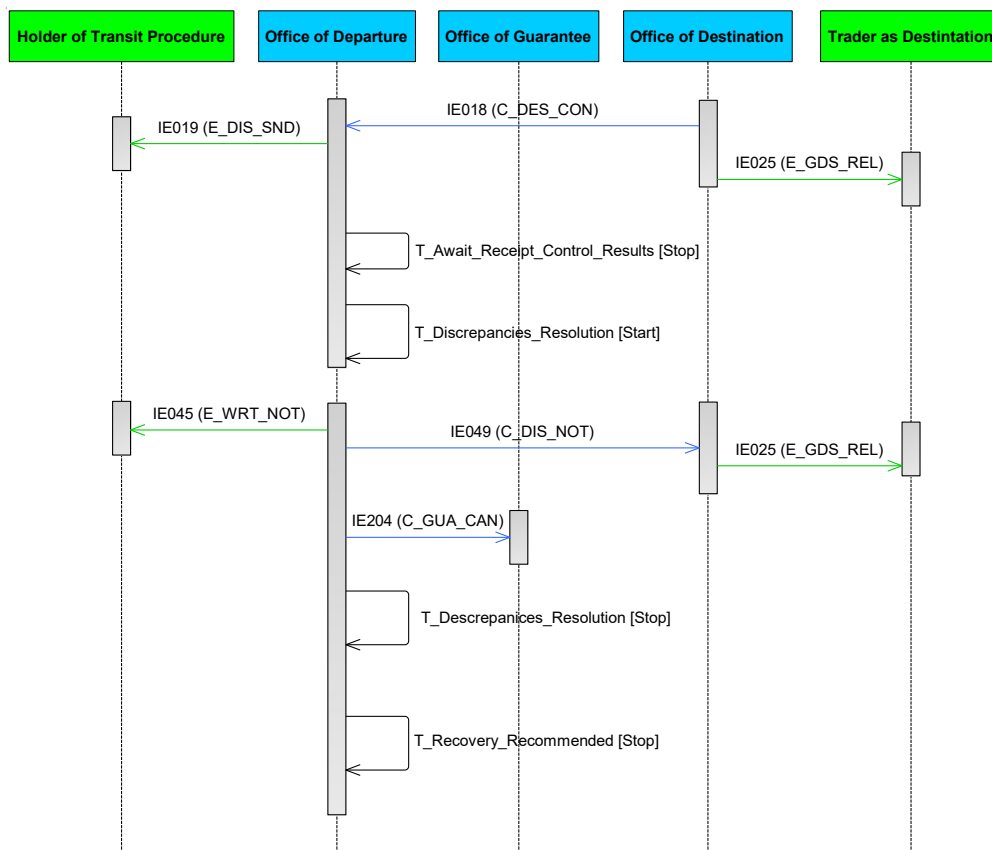


Figure 94: T-GMN-GUF-M-003-Release of a Guarantee after resolution of major discrepancies in the destination control results

III.III.2.4 Cancellation of guarantee usage (GUC)

The cancellation of the guarantee usage is triggered by various actions. Guarantee registration usage is to be cancelled for different reasons mentioned 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.

Consequently, 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 the International Guarantee Registration Usage Due to the Failure of the National Guarantee Registration Usage;
- Cancellation of Guarantee Registration Usage Due to a Transit Declaration Invalidation Request Submitted by the Holder of the Transit Procedure before Release for Transit;
- Cancellation of Guarantee Registration Usage Due to the Invalidation of Transit Declaration after Release for Transit.

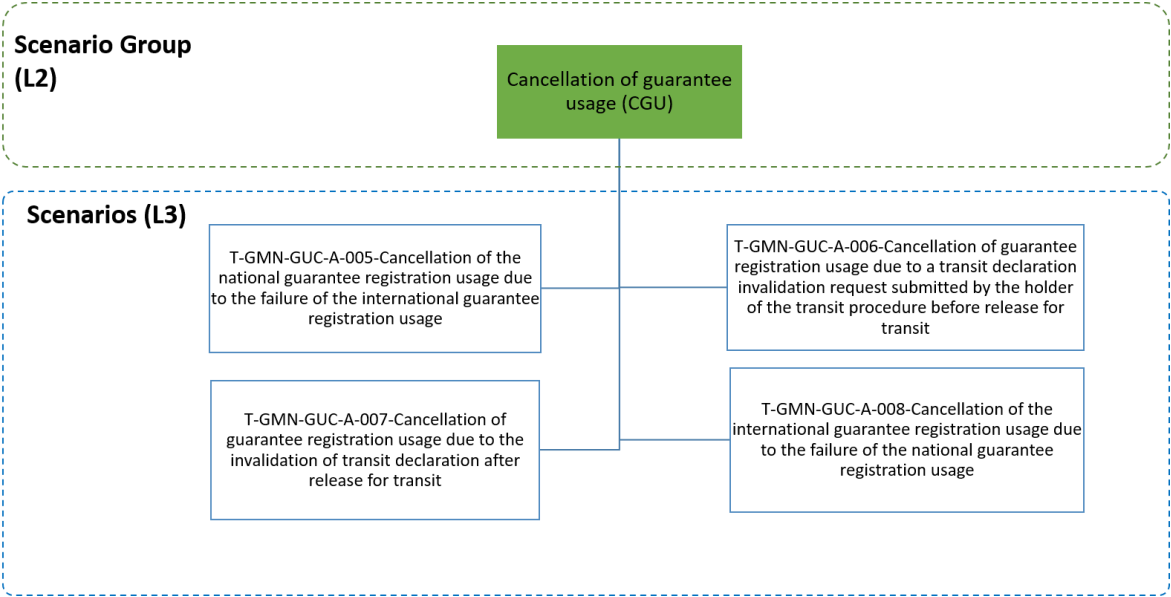


Figure 95: Cancellation of guarantee usage scenarios

III.III.2.4.1 T-GMN-GUC-A-005-Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage

In this scenario, the Office of Departure deals with two (2) kinds of guarantees: one national guarantee and one international guarantee. Therefore, when the guarantees must be registered, the Office of Departure sends two (2) ‘Guarantee Use’ C_GUA_USE (IE203) messages, one (1) to the National Office of Guarantee and one (1) to the International Office of Guarantee, respectively.

The scenario starts after [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) is executed.

[Step 4] As depicted in Figure 96, the National Office of Guarantee proceeds with the check of 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. **[Step 5]** The result of the guarantee registration usage is communicated to the Office of Departure via the ‘Guarantee Use Result’ C_GUA_USR (IE205).

[Step 6] Upon 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 of 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. **[Step 7]** The unsuccessful guarantee registration usage check results are communicated to the Office of Departure via the ‘Guarantee Use Result’ C_GUA_USR (IE205).

Since the international guarantee registration usage is not successful, the already registered national guarantee usage must be cancelled. **[Step 8]** 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, the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) must be sent in respect of each negative ‘Guarantee Use Result’ C_GUA_USR (IE205) received.

NOTE: This scenario assumes that national and international guarantees are used by the transit movement and depicts the cancellation of the national guarantee with the dispatch of the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message when the international guarantee fails from the perspective of the Office of Guarantee. Under no circumstances this scenario attempts to establish a definite approach about the order/timing of the ‘Guarantee Use’ C_GUA_USE (IE203) messages sent by the Office of Departure. The implementation is purely a national decision, but it is highly recommended that the Office of Departure should send the ‘Guarantee Use’ C_GUA_USE (IE203) messages concurrently and expect the guarantee registration outcome with the relevant ‘Guarantee Use Result’ C_GUA_USR (IE205) messages so as to assess whether the cancellation of the successfully registered guarantees is needed.

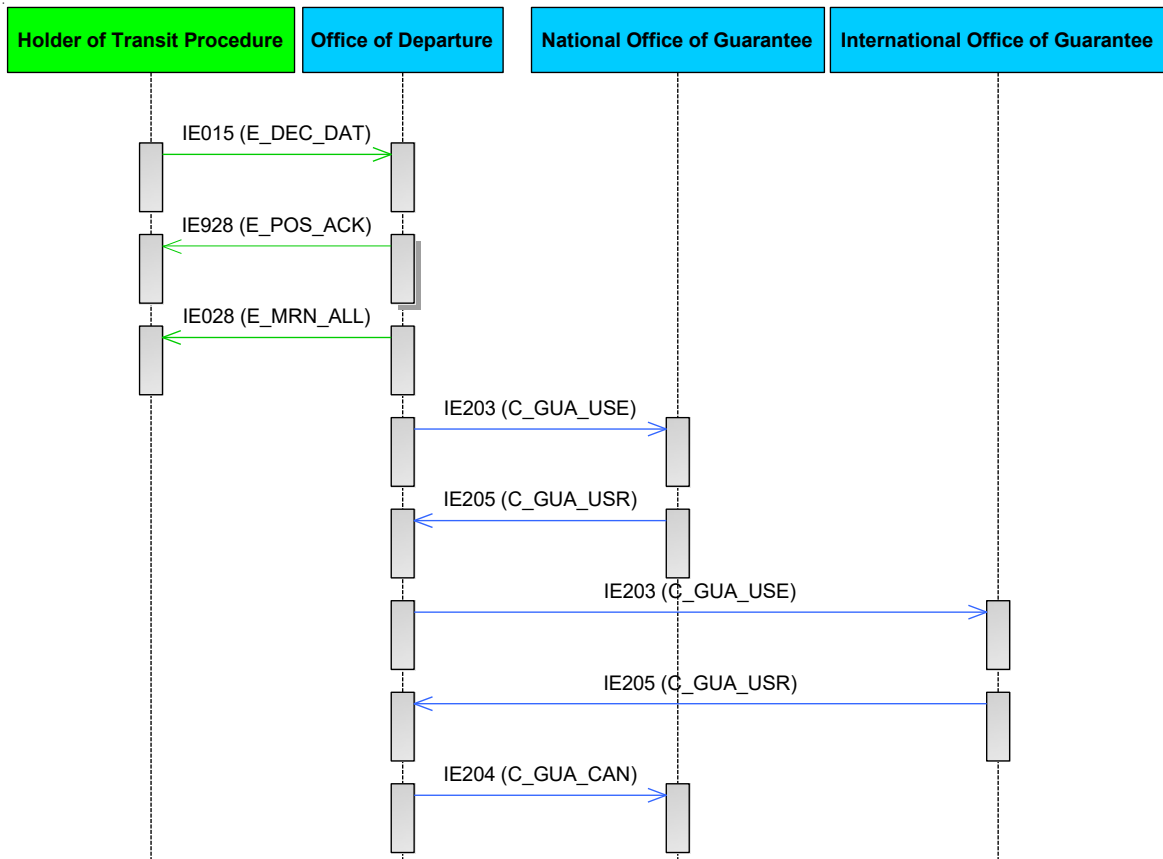


Figure 96: T-GMN-GUC-A-005-Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage

III.III.2.4.2 T-GMN-GUC-A-008-Cancellation of the international guarantee registration usage due to the failure of the national guarantee registration usage

In this scenario, the Office of Departure deals with two (2) kinds of guarantees: one national guarantee and one international guarantee. Therefore, when the guarantees must be registered, the Office of Departure sends two (2) ‘Guarantee Use’ C_GUA_USE (IE203) messages, one (1) to the National Office of Guarantee and the other one (1) to the International Office of Guarantee, respectively.

The scenario starts after [\[Step 3\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) is executed.

[Step 4] As depicted in Figure 97, the International Office of Guarantee proceeds with the check of 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 international guarantee. Consequently, the international guarantee is registered. **[Step 5]** The result of the guarantee registration usage is communicated to the Office of Departure via the ‘Guarantee Use Result’ C_GUA_USR (IE205).

[Step 6] Upon successful completion of the international guarantee registration usage at the International Office of Guarantee, the National Office of Guarantee receives the second ‘Guarantee Use’ C_GUA_USE (IE203) and proceeds with the check of the national guarantee data (amount, type, validity period, etc.). This specific scenario deals with the case that the national guarantee usage cannot be registered at the National Office of Guarantee due to unsuccessful check results. **[Step 7]** The unsuccessful guarantee registration usage check results are communicated to the Office of Departure via the ‘Guarantee Use Result’ C_GUA_USR (IE205).

Since the national guarantee registration usage is not successful, the already registered international guarantee usage must be cancelled. **[Step 8]** Therefore, the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) will be sent to the International Office of Guarantee.

Thus, if any negative ‘Guarantee Use Result’ C_GUA_USR (IE205) is received, the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) must be sent in respect of each negative ‘Guarantee Use Result’ C_GUA_USR (IE205) received.

NOTE: This scenario assumes that national and international guarantees are used by the transit movement and depicts the cancellation of the international guarantee with the dispatch of the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message when the national guarantee fails from the perspective of the Office of Guarantee. Under no circumstances this scenario attempts to establish a definite approach about the order/timing of the ‘Guarantee Use’ C_GUA_USE (IE203) messages sent by the Office of Departure. The implementation is purely a national decision, but it is highly recommended that the Office of Departure should send the ‘Guarantee Use’ C_GUA_USE (IE203) messages concurrently and expect the guarantee registration outcome with the relevant ‘Guarantee Use Result’ C_GUA_USR (IE205) messages so as to assess whether the cancellation of the successfully registered guarantees is needed.

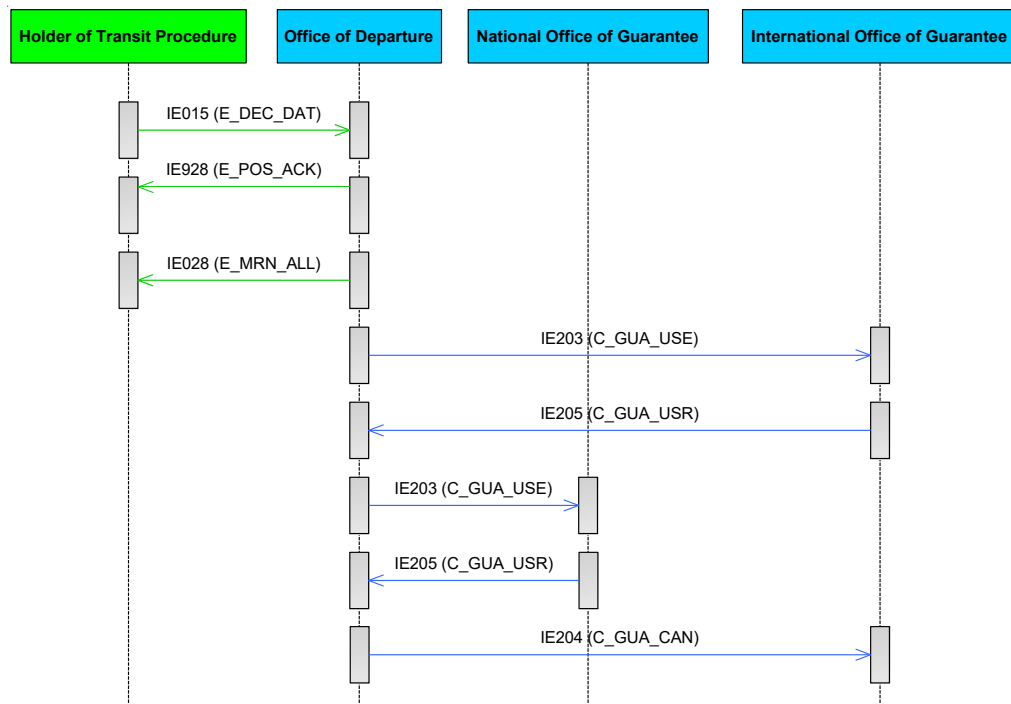


Figure 97: T-GMN-GUC-A-008-Cancellation of the international guarantee registration usage due to the failure of the national guarantee registration usage

III.III.2.4.3 T-GMN-GUC-A-006-Cancellation of guarantee registration usage due to a transit declaration invalidation request submitted by the holder of the transit procedure before release for transit

[Step 1] The Holder of the Transit Procedure submits a ‘Declaration Invalidation Request’ E_DEC_INV (IE014) to the Office of Departure, quoting the MRN in the transit declaration, which has previously been accepted.

[Step 2] When the Customs Officer at the Office of Departure accepts the ‘Declaration Invalidation Request’ from the Holder of the Transit Procedure, he/she communicates the ‘Invalidation Decision’ E_INV_DEC (IE009) confirming the invalidation of the Transit Declaration to the Holder of the Transit Procedure.

[Step 3] When the Transit Declaration is invalidated, 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 invalidation / cancellation is initiated by the Office of Departure.

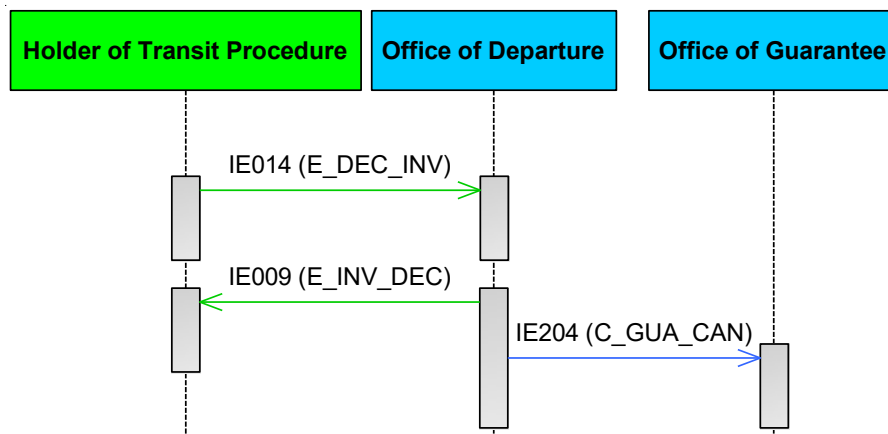


Figure 98: T-GMN-GUC-A-006-Cancellation of guarantee registration usage due to a transit declaration invalidation request submitted by the holder of the transit procedure before release for transit

III.III.2.4.4 T-GMN-GUC-A-007-Cancellation of guarantee registration usage due to the invalidation of transit declaration after release for transit

The first three (3) steps of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) are executed and the movement is released for transit.

The Customs Officer at the Office of Departure decides to invalidate the transit movement on behalf of the Holder of the Transit Procedure.

The system notifies the [Step 4] Office of Transit, the [Step 5] Office of Exit for Transit and the [Step 6] Office of Destination with the ‘Invalidation Notification’ C_INV_NOT (IE010) message.

[Step 7] Since the Transit Declaration is invalidated, 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’) with the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message.

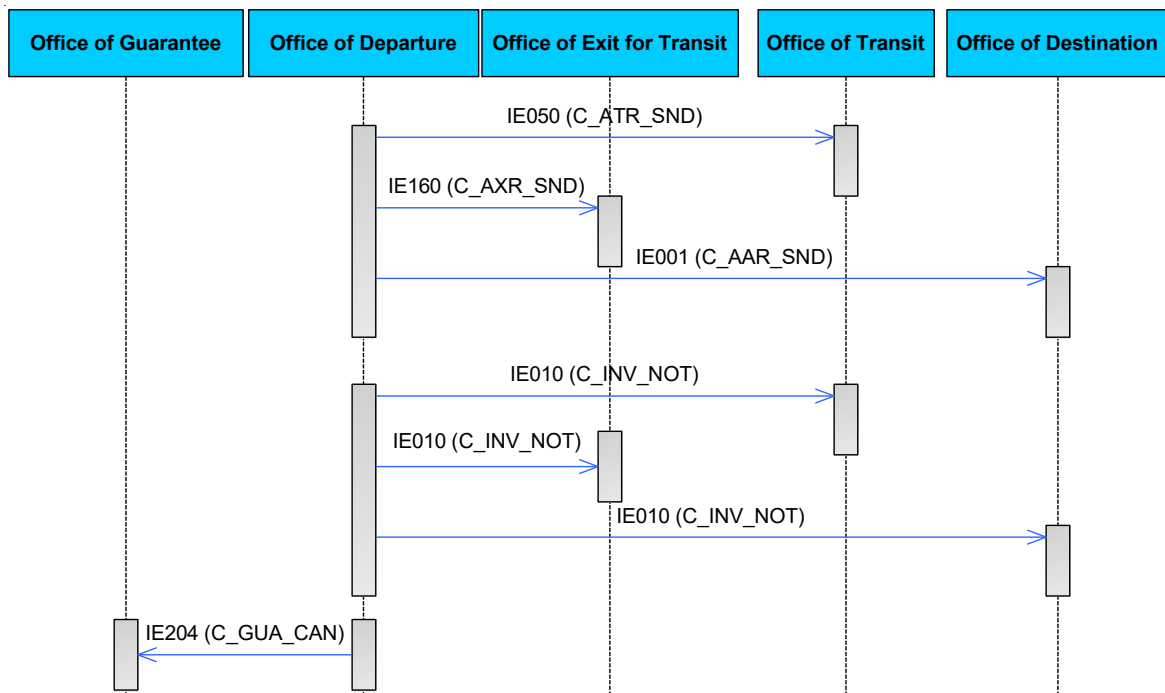


Figure 99: T-GMN-GUC-A-007-Cancellation of guarantee registration usage due to the invalidation of transit declaration after release for transit

III.IV NCTS Handle Enquiry & Recovery

III.IV.1 Introduction

III.IV.1.1 Overview

The section introduces detailed specification of the message exchange protocols foreseen for the business processes: “Handle Enquiry” and “Handle Recovery”. It contains the *Information Exchanges* and time sequence diagrams of “Handle Enquiry” and “Handle Recovery” for NCTS-P5.

The *Information Exchanges* to be supported and the different parties involved are summarised in Figure 100 below. 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*.

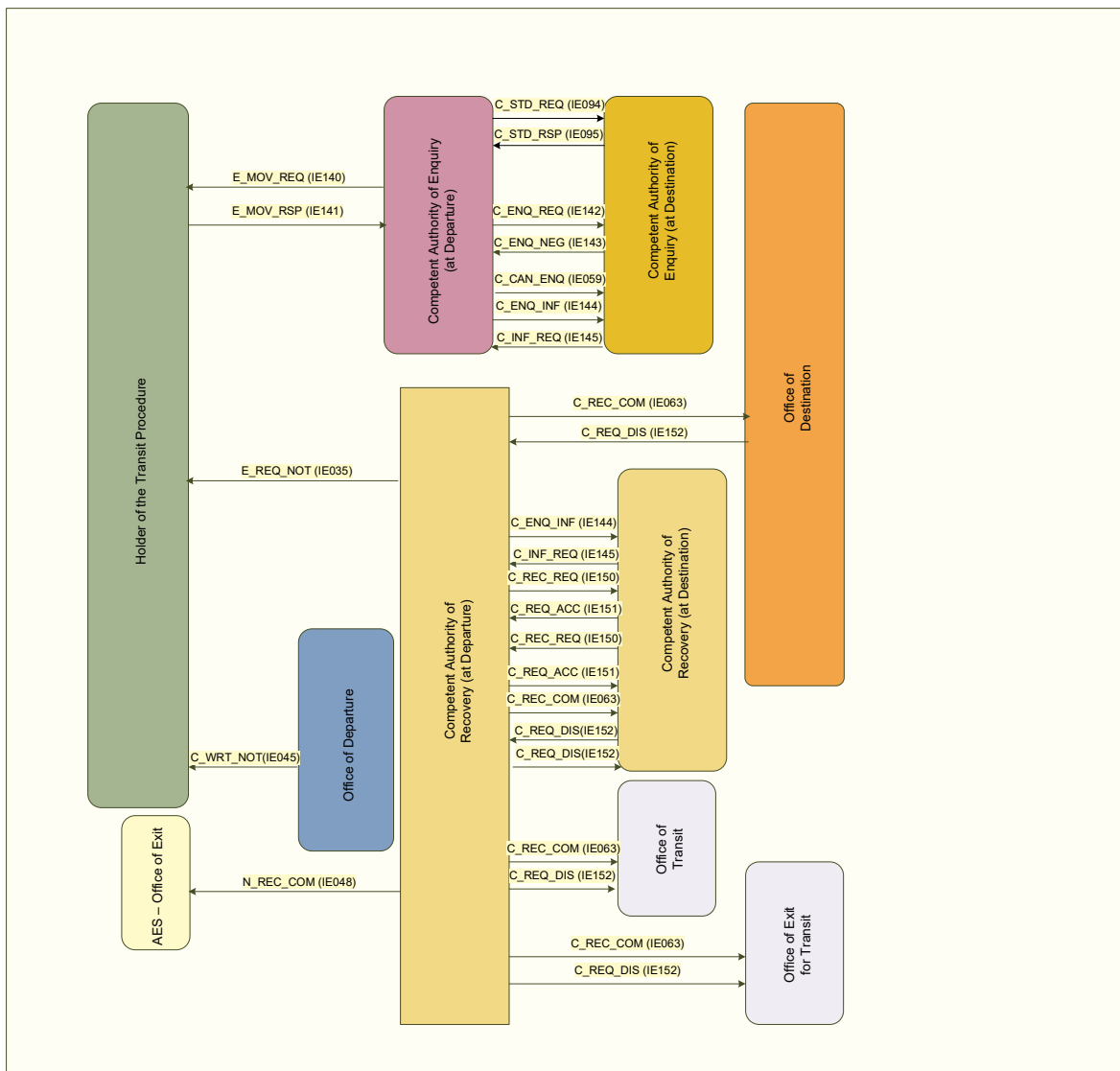


Figure 100: Overview of Information Exchange regarding Handle Enquiry and Handle Recovery

III.IV.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 NCTS-P5 are:

- ‘Arrival Advice’ C_ARR_ADV (IE006) as identified in the process threads ‘L4-TRA-01-05-02-Handle Status Request’ and ‘L4-TRA-01-07-03-Carry Out Enquiry at Requested Office’ (see [R9]).
- ‘Destination Control Results’ C_DES_CON (IE018) as identified in the process threads ‘L4-TRA-01-05-02-Handle Status Request’ and ‘L4-TRA-01-07-03-Carry Out Enquiry at Requested Office’ (see [R9]).
- ‘Forwarded ‘Arrival Advice’ C_FWD_ARR (IE024) as identified in the process threads ‘L4-TRA-01-06-02-Check Provided Information’ and ‘L4-TRA-01-07-05-Waiting for Paper Control Result to Arrive’ (see [R9]).
- ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059) as identified in the process threads ‘L4-TRA-01-03-03-Store and Forward Arrival Advice’, L4-TRA-01-03-09-Handle Destination Control Results, L4-TRA-01-06-03-Send Enquiry Request To The Indicated Office, and ‘L4-TRA-01-07-03-Carry Out Enquiry At Requested Office’ (see [R9]).
- ‘Recovery Communication’ C_REC_COM (IE063) as identified in the process threads ‘L4-TRA-01-08-05-Accomplish Recovery Procedure at Departure’ and ‘L4-TRA-01-08-06-Sends Information to Involved Parties’ (see [R9]).
- ‘Enquiry Request’ C_ENQ_REQ (IE142) as identified in the process thread ‘L4-TRA-01-06-03-Send Enquiry Request to The Indicated Office’ (see [R9]).
- ‘Enquiry Response’ C_ENQ_NEG (IE143) as identified in the process thread ‘L4-TRA-01-07-03-Carry Out Enquiry at Requested Office’ (see [R9]).
- ‘Enquiry Information’ C_ENQ_INF (IE144) as identified in the process thread ‘L4-TRA-01-07-Handle Enquiry - Enquiry Procedure Option B’ (see [R9]).
- ‘Enquiry Information Request’ C_INF_REQ (IE145) as identified in the process thread ‘L4-TRA-01-07-Handle Enquiry - Enquiry Procedure Option B’ (see [R9]).
- ‘Recovery Request’ C_REC_REQ (IE150) as identified in the process threads ‘L4-TRA-01-08-02 Send Recovery request to the Competent Authority of Country of Destination’ (see [R9]).
- ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) as identified in the process threads ‘L4-TRA-01-08-03-Country Checks Competency’ and ‘L4-TRA-01-09-01-Decide About Transfer of Competency’ (see [R9]).
- ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) as identified in the process thread ‘L4-TRA-01-08-04 - Accomplish Recovery procedure at Destination’ and ‘L4-TRA-01-08-07-Departure Discharges MRN In the System’ (see [R9]).
- ‘Status Request’ C_STD_REQ (IE094) as identified in the process thread ‘L4-TRA-01-05-Status Request’ (see [R9]).
- ‘Status Response’ C_STD_RSP (IE095) as identified in the process thread ‘L4-TRA-01-05-02-Handle Status Request’ (see [R9]).

III.IV.1.3 Handle Enquiry and Handle Recovery Actors

The following table summarises the **roles** for Handle Enquiry and Handle Recovery business processes.

Role name	Organisation
Competent Authority of Enquiry	Competent Authority
Competent Authority of Recovery	Competent Authority
Office of Departure	Customs Office
Office of Destination	Customs Office
Office of Transit	Customs Office
Office of Exit for Transit	Customs Office
Office of Incident Registration	Customs Office
Office in Other Country	Customs Office

Table 9: Roles 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 (maintained in CS/RD2) for a given customs Office, then this Office is considered as competent for the Enquiry and Recovery procedures.

III.IV.1.3.1 *Competent Authority of Enquiry*

Following the exchange of ‘Status Request’ and ‘Status Response’ messages, the Competent Authority of Enquiry at Departure decides to initiate Enquiry about the non-arrived movement and/or non-receipt of control results within the expected time. In that case, the timer “Time to Enquire Holder on non-arrived movement” starts. If the information on the Consignee is sufficient and no ‘Arrival Advice’ has been received yet, then an ‘Enquiry Request’ is sent to the Office of Destination or the Competent Authority of Enquiry at Destination. Also, if the ‘Arrival Advice’ has already been received, there is no need to contact the Holder of the Transit Procedure and the ‘Enquiry Request’ is sent to the Office of Destination or to the Competent Authority of Enquiry at Destination. The Office of Destination or the Competent Authority of Enquiry at Destination is responsible for sending the ‘Enquiry Response’ in the content of which can even request the Competent Authority of Enquiry at Departure for competency to perform Recovery at Destination.

Only one (1) Enquiry request can be pending at a time. The Competent Authority of Enquiry at Departure needs to cancel the open Enquiry request, sent to the Actual Office of Destination before it decides to send a new Enquiry request to another Actual Office of Destination. In any case, an open Enquiry request is cancelled if the timer “Wait for Enquiry response” expires and/or the ‘Arrival Advice’ and/or ‘Control Results’ are received from the Actual Office of Destination during the Enquiry procedure. A ‘Cancel Enquiry Notification’ message is sent to the Office of Destination that has received the ‘Enquiry Request’ and has not replied with ‘Enquiry Response’ yet.

On the other hand, after the initiation of Enquiry, the Competent Authority of Enquiry at Departure verifies that the information on the Consignee is not sufficient. Therefore, it sends the 'Request on a Non-Arrived Movement' to the Holder of the Transit Procedure. The timer "Time to Enquire Holder on non-arrived movement" stops but the timer "Wait for Response IE141" starts. If the Holder of the Transit Procedure provides negative response or no response, Recovery is recommended, although it does not exclude that the Competent Authority of Enquiry at Departure, instead of starting Recovery, may continue Enquiry with the Competent Authority of Enquiry at Destination by sending the 'Enquiry Request'. Each time the decision is taken by the Competent Authority of Enquiry at Departure.

When the timer 'Time to Enquire Holder on non-arrived movement' expires and no 'Request on a Non-Arrived Movement' has been sent to the Holder of the Transit Procedure yet, then the information on the Consignee is considered sufficient and the Competent Authority of Enquiry at Departure can proceed with the dispatch of the 'Enquiry Request'. Nonetheless, the expiration of this timer does not exclude the possibility to send the 'Request on a Non-Arrived Movement' before the 'Enquiry Request'.

The Competent Authority of Enquiry at Destination requests further information by sending 'Enquiry Information Request' to the Competent Authority of Enquiry at Departure. The Competent Authority of Enquiry at Departure sends 'Enquiry Information' to the Competent Authority of Enquiry at Destination. The exchange of these messages between the Competent Authorities is only allowed if the Enquiry and/or Recovery procedures have been previously initiated.

It should be noted that only the Competent Authority of Enquiry (at Departure or Destination) is responsible for the communication of Enquiry messages. If no Competent Authority is specified for a customs Office, then the Office itself is considered competent for the Enquiry processes.

III.IV.1.3.2 *Competent Authority of Recovery*

Recovery can be decided by the Competent Authority for many reasons. For instance, the master timer Recovery recommended expired and the movement has not been discharged yet, and/or during the Enquiry procedure when the Competent Authority of Enquiry at Destination requests competency for Recovery from Departure and/or because the Customs Authorities suspect fraud and/or because they consider in general that duties and taxes of the specific movement are at stake.

The Competent Authority of Recovery at Departure always decides when Recovery should be initiated by first checking who is competent for Recovery. In case competency falls outside its own area, it sends a 'Recovery Request' to the Competent Authority of Recovery in the other country, which it considers competent (*i.e.* any country participating in NCTS). Otherwise, the Competent Authority of Recovery at Departure is competent for the Recovery at Departure. However, the other country may request to perform Recovery as well on its own initiative. In that case, if the request is accepted by the Competent Authority of Recovery at Departure, Recovery is performed by the other country, otherwise by the Departure. We have the following two (2) alternatives:

1. Recovery is always performed at Competent Authority of Recovery at Departure when any one of the following scenarios is valid:
 - Departure considers by default itself competent for Recovery;

- Departure requests the Other Country to perform Recovery, but the Other Country considers that it does not have competency for Recovery and sends a negative Recovery response to Departure;
 - Other Country requests Departure to perform Recovery, but Departure considers that the Other Country does not have competency for Recovery and therefore sends a negative Recovery response to the Other Country.
2. Recovery is always performed at Competent Authority of Recovery at Other Country when any one of the following scenarios is valid:
- Departure requests the Other Country to perform Recovery. The Other Country accepts the competency for Recovery and sends a positive Recovery response to Departure;
 - Other Country requests Departure to perform Recovery. Departure accepts that the Other Country has competency for Recovery and therefore sends a positive Recovery response to the Other Country.

NOTE: When the master [T Recovery Recommended](#) timer at the Office of Departure expires, Recovery must always be started⁴¹.

Only a single exchange of ‘Recovery Request’ / ‘Recovery Response’ messages is allowed between the Competent Authority of Recovery at Departure and the Competent Authority of Recovery at Other Country. After the exchange of ‘Recovery Request’ / ‘Recovery Response’ messages are taking place, it should always be decided who has competency to perform Recovery (*i.e.* Departure or Other Country). Recovery cannot be requested / performed by more than one (1) National Administrations at the same time.

When Recovery is started, the Competent Authority of Recovery at Departure is responsible for communicating the ‘Recovery Notification’ to all the involved Customs Offices, *i.e.*, Offices of Transit and Destination to notify the involved countries for the initiation of Recovery procedure. If Recovery is performed in the other country, the other country notifies the Competent Authority of Recovery at Departure with the ‘Recovery Notification’, which is then forwarded by Departure to the other involved countries.

When Recovery is completed, the Competent Authority of Recovery at Departure is responsible for communicating the ‘Recovery Dispatch Notification’ to all the involved Customs Offices, *i.e.*, Offices of Transit and Destination to notify the involved countries for the completion of Recovery procedure and the discharge of the transit movement. If Recovery is performed in the other country, the other country notifies the Competent Authority of Recovery at Departure with the ‘Recovery Dispatch Notification’, which is then forwarded by Departure to the other involved countries.

During the Recovery business process, the Competent Authorities can exchange the Enquiry & Recovery Information request/response messages. The message ‘Enquiry & Recovery Information Request’ is always sent by the Competent Authority of Recovery at Destination and the message ‘Enquiry & Recovery Information’ is always sent by the Competent Authority of Recovery at Departure. The exchange of these messages between the Competent Authorities is only allowed if the Enquiry and/or Recovery procedures have been previously initiated.

⁴¹ Please refer to Article 87 (2) of UCC & Article 77 of UCC DA.

It should be noted that only the Competent Authority of Recovery (at Departure or Destination or Transit or Other Country) is responsible for the communication of Recovery messages. If no Competent Authority is specified for a customs Office, then the Office itself is considered competent for the Recovery procedure.

III.IV.1.3.3 Office of Departure

Regarding the processes “Handle Enquiry / Recovery”, the Office of Departure is responsible for the discharge of the transit movement and the notification of the Holder of the Transit Procedure for the write-off.

III.IV.1.3.4 Office of Destination

Regarding the processes “Handle Enquiry / Recovery”, the Office of Destination is responsible for sending the Enquiry response on the indicated movement to the Competent Authority of Enquiry at Departure within a short time (subject to administrative agreement). The response can also be ‘Arrival Advice’, ‘Control Results’ or ‘Return Copy Notification’.

The Office of Destination is competent to clarify the case and solve discrepancies it has found by sending the ‘Control Results’ with code ‘A5’ (minor discrepancies). However, in case of control result code ‘B1’ (major discrepancies), the state of the movement at the Office of Destination cannot be closed, but the Office of Departure needs to notify the Office of Destination for the resolution of major discrepancies. Then, the movement can also be closed at the Office of Destination. Otherwise, if the major discrepancies in the destination control results are not resolved, Recovery should be initiated, and the Office of Destination is informed accordingly.

The Competent Authority of Recovery at Departure notifies the Office of Destination of the commencement of the Recovery procedure. Once the Recovery procedure is completed, the Office of Destination receives the ‘Recovery Dispatch Notification’ from the Competent Authority of Recovery at Departure.

III.IV.1.3.5 Office of Transit

Regarding the processes “Handle Enquiry / 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.IV.1.3.6 Office of Exit for Transit

Regarding the processes “Handle Enquiry / Recovery”, the Office of Exit for 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.IV.1.3.7 Office of Incident Registration

Regarding the processes “Handle Enquiry / Recovery”, the Office of Incident Registration is notified of the commencement of the Recovery procedure by the Competent Authority of Recovery at Departure only when the Incident Notification has been previously received by the Office of Departure, indicating that the incident has been previously registered at the Office of

Incident Registration. Once the Recovery is completed, it receives from the Competent Authority of Recovery at Departure the Recovery Dispatch Notification.

III.IV.1.3.8 Office in Other Country

Regarding the processes “Handle Enquiry / Recovery”, the Office in the Other Country is the Competent Authority of Recovery that is not involved into the transit movement. It 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.IV.2 Time Sequence Diagrams

This section presents the Time Sequence Diagrams for “Handle Enquiry / Handle Recovery” as they will be supported in NCTS-P5. Therefore, this section is divided into two sub-sections:

- Handle Enquiry Time Sequence Diagrams;
- Handle 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.

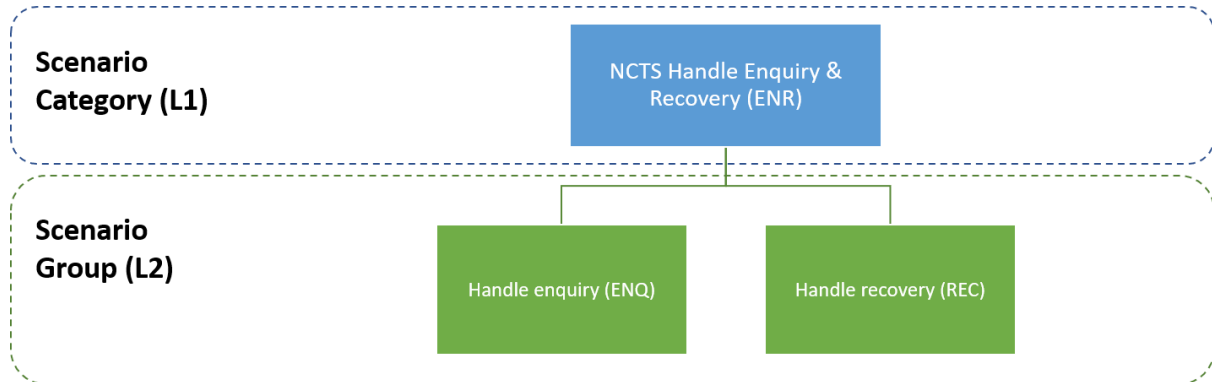


Figure 101: Handle Enquiry and handle Recovery scenario groups

III.IV.2.1 T-ENR-ENQ-Handle Enquiry (ENQ)

The “Handle Enquiry” process can be initiated when either the time allotted for the receipt of movement arrival at destination (Time Limit – “Awaiting Receipt of Arrival Advice”), or the time for receipt of the control results from the Office of Destination (Time Limit – “Awaiting Receipt of Control Results”) has expired. The Office of Departure defines the value of the timers when the transit transaction is issued. The “Time to start Enquiry” comprises both aforementioned timers. Its expiration is the indication that the Enquiry procedure should start. The Office of Departure sends a request for information (Enquiry) to the Holder of the Transit Procedure or to the Office of Destination within a period of (7) seven days after the expiry of the Time Limit – “Awaiting Receipt of Arrival Advice” or the Time Limit – “Awaiting Receipt of Control Results”. However, if, before the expiry of those time-limits, the Competent Authority of Enquiry at Departure receives information that the transit procedure has not been ended correctly, or suspects that to be the case, it shall send the request without delay.

The following dates trigger the Enquiry process:

- The expected arrival date of the movement at the Office of Destination. The system at the Office of Departure will propose the default value of the arrival date to the Customs Officer who will be able to overwrite it, if necessary;
- The date when the control results are expected from the Office of Destination. This date is the expected arrival date plus a grace period (i.e. the message IE018 should be transmitted to the Office of Departure within six (6) days after the arrival of the movement at the Office of Destination). In case of transit by railway, this period should be extended to twelve (12) days, when goods are carried by rail and one or more carriages or wagons are withdrawn from a set of coupled railway carriages or wagons due to technical problems, as referred to in Article 305(4) of the UCC IA [A10].

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 timers (“Awaiting Receipt of Arrival Advice” or “Awaiting Receipt of Control Results”) is the indication that the Enquiry procedure should start. As soon as any of the timers expires, the Competent Authority of Enquiry (at Departure) sends the ‘Status Request’ C_STD_REQ (IE094) message to the declared Office of Destination, which replies with the ‘Status Response’ C_STD_RSP (IE095) message. In the ‘Status Request’ C_STD_REQ (IE094) message, the state anterior to the Enquiry states (“Movement Released” and “Arrived”) is placed. In this way, the Office of Destination will always know which of the messages, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

However, if after the exchange of the ‘Status Request’ C_STD_REQ (IE094) / ‘Status Response’ C_STD_RSP (IE095), it is proved that the statuses between Offices of Departure and Destination are not synchronised, the Office of Destination forwards to the Office of Departure the ‘Arrival Advice’ C_AAR_ADV (IE006) and/or the ‘Destination Control Results’ C_DES_CON (IE018), which will resume the arrival process. Otherwise, the Competent Authority of Enquiry (at Departure) decides that the Enquiry procedure should start.

The Competent Authority of Enquiry at Departure initiates the Enquiry procedure by checking if they have received the 'Arrival Advice' C_ARR_ADV (IE006). The timer "Time to Enquire Holder on non-arrived movement" starts.

If the 'Arrival Advice' C_ARR_ADV (IE006) is not available, the Competent Authority of Country of Departure checks the information on the Consignee and decides whether the information is sufficient or not. If it is considered insufficient, the Competent Authority sends the 'Request on Non-Arrived Movement' E_REQ_MOV (IE140) to the Holder of the Transit Procedure, the timer "Time to Enquire Holder on non-arrived movement" stops and the timer "Wait for response IE141" starts. The Holder of the Transit Procedure must react within the time limit of twenty-eight (28) days and send the 'Information about Non-Arrived Movement' E_MOV_RSP (IE141) message. If no information is provided within the time limit, it is considered to be a negative answer and the system recommends initiation of Recovery to the Customs Officer. However, the decision is always taken by the Competent Authority of Enquiry, whether Recovery has to be initiated or Enquiry to be continued with the Office of Destination.

Either based on the information about the movement received from the Holder of the Transit Procedure or on the information it already had, the Competent Authority of Enquiry at Departure sends the 'Enquiry Request' C_ENQ_REQ (IE142) message to the Office of Destination or to the Competent Authority of Enquiry at Destination. The "Wait for Enquiry response" timer starts. Its duration is manually set by the Officer at the Competent Authority of Enquiry at Departure and depends on whether the Competent Authority of Enquiry at Departure has satisfactory information or not. Specifically, the Competent Authority of Enquiry at Destination/Office of Destination needs to answer within 28 days (in case of unsatisfactory information) or 40 days (in case of satisfactory information) of the receipt of the 'Enquiry Request' C_ENQ_REQ (IE142) message. However, in case of suspicion for fraud, the Officer at the Competent Authority of Enquiry at Departure always sets the duration of this timer to 28 days.

Further Enquiry requests may be sent to another Office of Destination or Competent Authority of Enquiry at Destination, but only one Enquiry Request can be pending at a time. The open Enquiry request needs first to be cancelled by sending the 'Cancel Enquiry Notification' C_CAN_ENQ (IE059) to the Office of Destination or Competent Authority of Enquiry at Destination before sending a new 'Enquiry Request' C_ENQ_REQ (IE142) message to another Office of Destination or Competent Authority of Enquiry at Destination. Nonetheless, at any point within the Enquiry procedure, the Customs Officer at the Competent Authority of Enquiry at Departure can request the cancellation of the Enquiry request for any other reason.

The Office of Destination or the Competent Authority of Enquiry at Destination replies with the 'Enquiry Response' C_ENQ_NEG (IE143) message to the Competent Authority of Enquiry at Departure, specifying a response code information for the movement or unknown if the Actual Office of Destination has no information.

This section introduces the scenarios that happen after the [T_Time to Start Enquiry](#) timer expires.

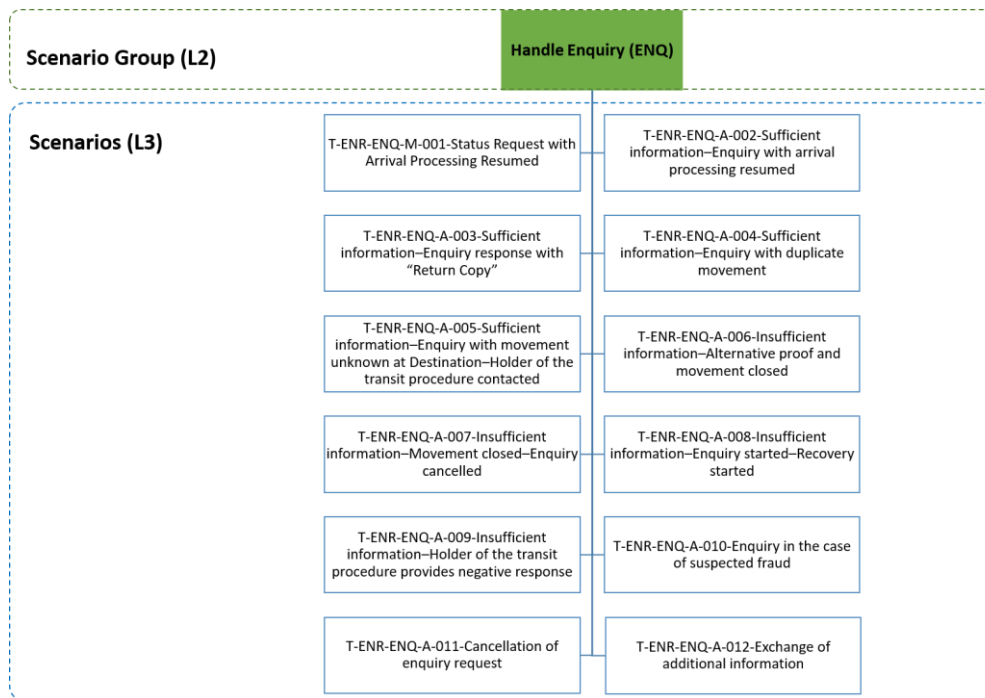


Figure 102: Handle Enquiry scenarios

III.IV.2.1.1 T-ENR-ENQ-M-001-Status Request with Arrival Processing Resumed

This scenario continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#).

[Step 13] The timer [T Time to Start Enquiry](#) expires. The state is set to [Enquiry recommended](#).

[Step 14] Upon expiration of the [T Time to Start Enquiry](#) timer, meaning that either the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has not received on time, the timer [T Notify IE140](#) starts and **[Step 15]** the ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, the state anterior to the Enquiry states (“Movement Released” and “Arrived”) is placed. In this way, the Office of Destination will always know which of the messages, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

In case the expiration of the timer [T Time to Start Enquiry](#) concerns the non-timely reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) by the Office of Departure, the ‘Status Request’ C_STD_REQ (IE094) / ‘Status Response’ C_STD_RSP (IE095) may be exchanged

automatically with the involved Office(s) of Transit (i.e. the Office of Transit received the ‘Anticipated Transit Record’ C_ATR_SND (IE050) message or positive ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) message but did not reply with the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message) or manually with any Office of Transit. The same exchanges may also be performed with the Office of Exit for Transit. It is up to the National Administration to decide on this.

Following the reception of the ‘Status Request’ C_STD_REQ (IE094) initiated by the Office of Departure, the Office of Destination identifies that there is a status de-synchronisation. The Office of Destination replies with the ‘Status Response’ C_STD_RSP (IE095) and immediately after this, it re-sends **[Step 17]** the ‘Arrival Advice’ C_ARR_ADV (IE006) and/or **[Step 18]** the ‘Destination Control Results’ C_DES_CON (IE018) to the Office of Departure, as they were sent earlier by the Office of Destination but “lost” by the Office of Departure.

In case the ‘Destination Control Results’ C_DES_CON (IE018) message contains satisfactory control results code (i.e. ‘A1’ or ‘A2’ or ‘A5’), the state of the movement at the Office of Departure is set to [Movement written off](#), while the state of the movement at the Office of Destination is under [Goods released](#). Nevertheless, in case the ‘Destination Control Results’ C_DES_CON (IE018) message contains unsatisfactory control results code (i.e. ‘B1’), the state of the movement at the Office of Destination is under [Waiting for discrepancies resolution](#), while the state of the movement at the Office of Departure is set to [Movement under resolution](#).

NOTE: the re-synchronisation mechanism with the smart ‘Status Response’ C_STD_RSP (IE095) can be used to automatically re-send the ‘Arrival Advice’ C_ARR_ADV (IE006) and ‘Destination Control Results’ C_DES_CON (IE018) messages which have been rejected but can later be processed once the NTA (e.g. at Departure) has been fixed to avoid rejection. . The re-synchronisation mechanism cannot be applied by the Office of Departure if the state at the Office of Departure is “Recovery recommended” or “Under recovery procedure”. Consequently, it is recommended to send the ‘Status Request’ C_STD_REQ (IE094) before the expiration of the master timer [T_Recovery Recommended](#).

[Step 19] The timer [T_Notify_IE140](#) stops.

The business flow of the transit procedure continues either:

- after **[Step 20]** of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) in case the ‘Destination Control Results’ C_DES_CON (IE018) message to the Office of Departure contains satisfactory control results code (i.e. ‘A1’ or ‘A2’ or ‘A5’), **or**
- with an applicable scenario of section III.II.4.7 Control of the Goods at Destination, in case the ‘Destination Control Results’ C_DES_CON (IE018) message to the Office of Departure contains unsatisfactory control results code (i.e. ‘B1’).

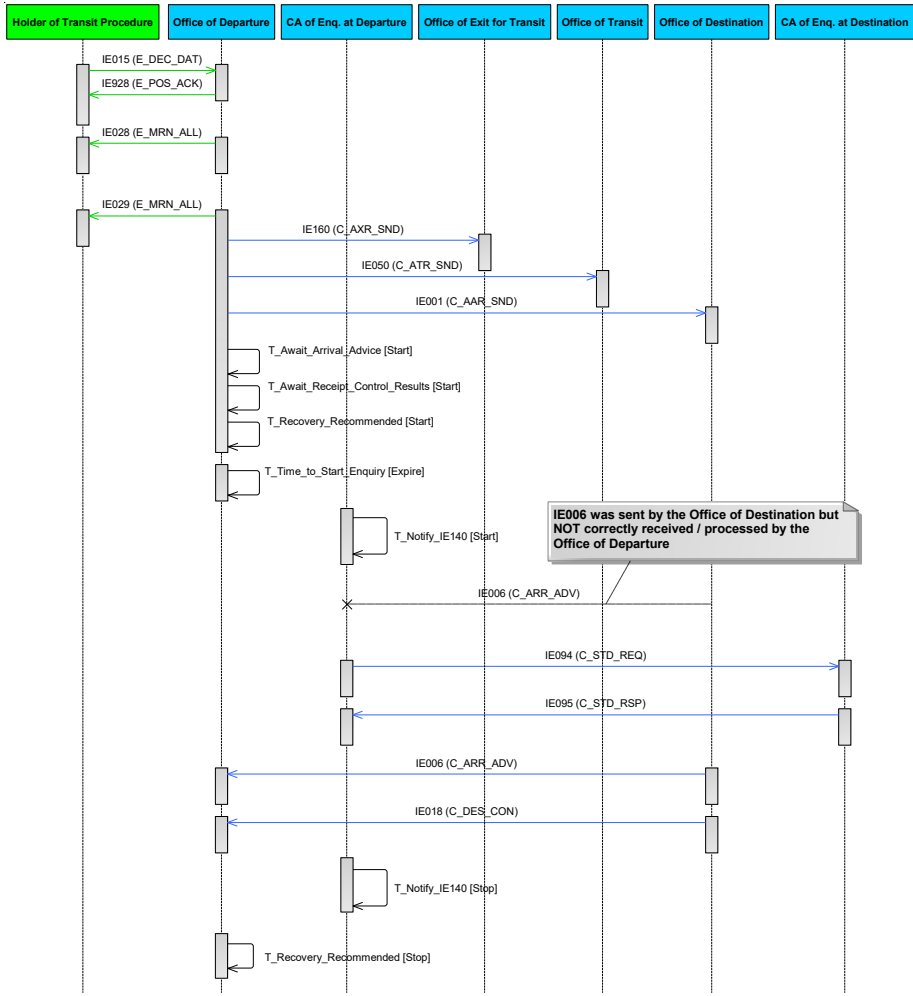


Figure 103: T-ENR-ENQ-M-001-Status request with arrival processing resumed

III.IV.2.1.2 T-ENR-ENQ-A-002-Sufficient information–Enquiry with arrival processing resumed

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired. Based on information of the Competent Authority of Enquiry at Departure, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to a Competent Authority of Enquiry at Destination that is not related to the transit movement. However, the declared Office of Destination (i.e. involved into the transit movement) sends both the ‘Arrival Advice’ C_ARR_ADV (IE006) and ‘Destination Control Results’ C_DES_CON (IE018) messages to the Office of Departure before the ‘Enquiry Response’ C_ENQ_NEG (IE143) message is received by the Office of Departure.

The process continues from [\[Step 14\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit, the relevant timers have been started (i.e. the [T Time to Start Enquiry](#) & [T Recovery Recommended](#)) and the relevant passage notifications have been received from the Office(s) of Exit for Transit and Office(s) of Transit (i.e. the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) and ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) messages).

[Step 15] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 16] The timer [T Notify IE140](#) starts.

[Step 17] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) is missing and thus needs to be sent to the Office of Departure.

[Step 18] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

[Step 19] The timer [T Notify IE140](#) stops since the Competent Authority of Enquiry at Departure decides how to proceed with the enquiry procedure.

[Step 20] Based on the information that the Competent Authority of Enquiry at Departure has about the movement, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to another office that is not involved into the transit movement.

[Step 21] The timer [T Wait Enquiry Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 40 days since they possess sufficient information to conduct enquiry). The state is set to [Under enquiry procedure](#).

[Step 22] The Declared Office of Destination (i.e. involved into the transit movement) resumes the normal arrival process by sending the ‘Arrival Advice’ C_ARR_ADV (IE006). Upon reception, the state at the Office of Departure is set to [Arrived](#).

[Step 23] The timer [T_Wait_Enquiry_Response](#) stops.

[Step 24] The ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059) is sent to the Competent Authority of Enquiry at Destination to close the pending ‘Enquiry Request’ C_ENQ_REQ (IE142) message.

[Step 25] Additionally, the Declared Office of Destination (i.e. involved into the transit movement) sends the ‘Destination Control Results’ C_DES_CON (IE018) to the Office of Departure. As per scenario, the assumption is that it contains satisfactory control result code (i.e. ‘A1’ or ‘A2’ or ‘A5’).

[Step 26] Upon reception of the ‘Destination Control Results’ C_DES_CON (IE018) message that contains satisfactory control result code (i.e. ‘A1’ or ‘A2’ or ‘A5’), the movement is written-off and thus the Office of Departure sends the ‘Written-off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure. The state of the movement at the Office of Departure is set to [Movement written off](#).

[Step 27] The timer [T_Recovery_Recommended](#) stops.

The business process of the transit operation ends here.

NOTE: If the Office of Departure receives an ‘Arrival Advice’ C_ARR_ADV (IE006) and/or ‘Destination Control Results’ C_DES_CON (IE018) from the 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 has received the ‘Enquiry Request’ C_ENQ_REQ (IE142) message and has responded with ‘Arrival Advice’ C_ARR_ADV (IE006) and/or ‘Destination Control Results’ C_DES_CON (IE018).

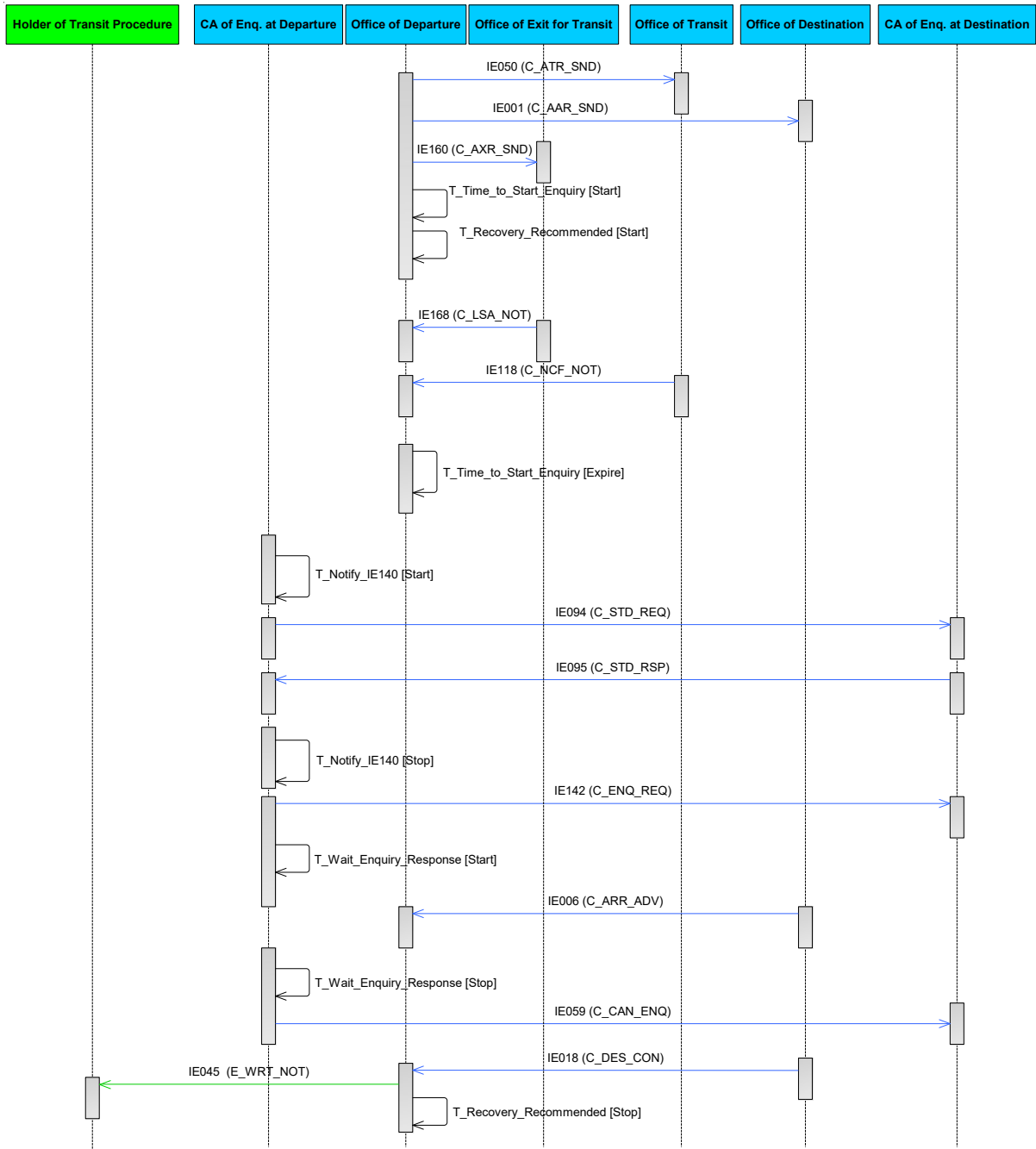


Figure 104: T-ENR-ENQ-A-002-Sufficient information–Enquiry with arrival processing resumed

III.IV.2.1.3 T-ENR-ENQ-A-003-Sufficient information–Enquiry response with “Return Copy”

This scenario shows what happens when the Competent Authority of Enquiry at Departure has no information about the movement and sends an ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination, which responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating ‘Return copy returned on’.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit and the relevant timers have been started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

[Step 17] The timer [T Notify IE140](#) stops since the Competent Authority of Enquiry at Departure decides how to proceed with the enquiry procedure.

[Step 18] Based on the information that the Competent Authority of Enquiry at Departure has about the movement, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination.

[Step 19] The timer [T Wait Enquiry Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 40 days since they possess sufficient information to conduct enquiry). The state is set to [Under enquiry procedure](#).

The Office of Destination locates the movement, but, in this rare case, it is not possible to send the ‘Arrival Advice’ C_ARR_ADV (IE006) and the ‘Destination Control Results’ C_DES_CON (IE018), so the **[Step 20]** ‘Enquiry Response’ C_ENQ_NEG (IE143) is sent indicating that “return copy returned on”.

[Step 21] Upon reception of the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, the timer [T Wait Enquiry Response](#) stops.

After the reception of the ‘Enquiry Response’ C_ENQ_NEG (IE143) message and the provided evidence by the Holder of the Transit Procedure, the Customs Officer at the Office of Departure can manually write the movement off.

[Step 22] The Office of Departure sends the ‘Written-off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure. The state of the movement at the Office of Departure is set to [Movement written off](#).

All the Offices involved in the transit movement (declared and actual), from which the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) and/or the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message(s) have not been received, are informed by the Office of Departure. The Office of Departure sends the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message:

- **[Step 23]** To the Office of Exit for Transit:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Exit for Transit is set to [Arrived](#);

- **[Step 24]** To the Office of Transit:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Transit is set to [Arrived](#);

- **[Step 25]** To the Office of Destination:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Destination is set to [Arrived](#).

[Step 26] The timer [T_Recovery_Recommended](#) stops and the business process of the transit operation ends here.

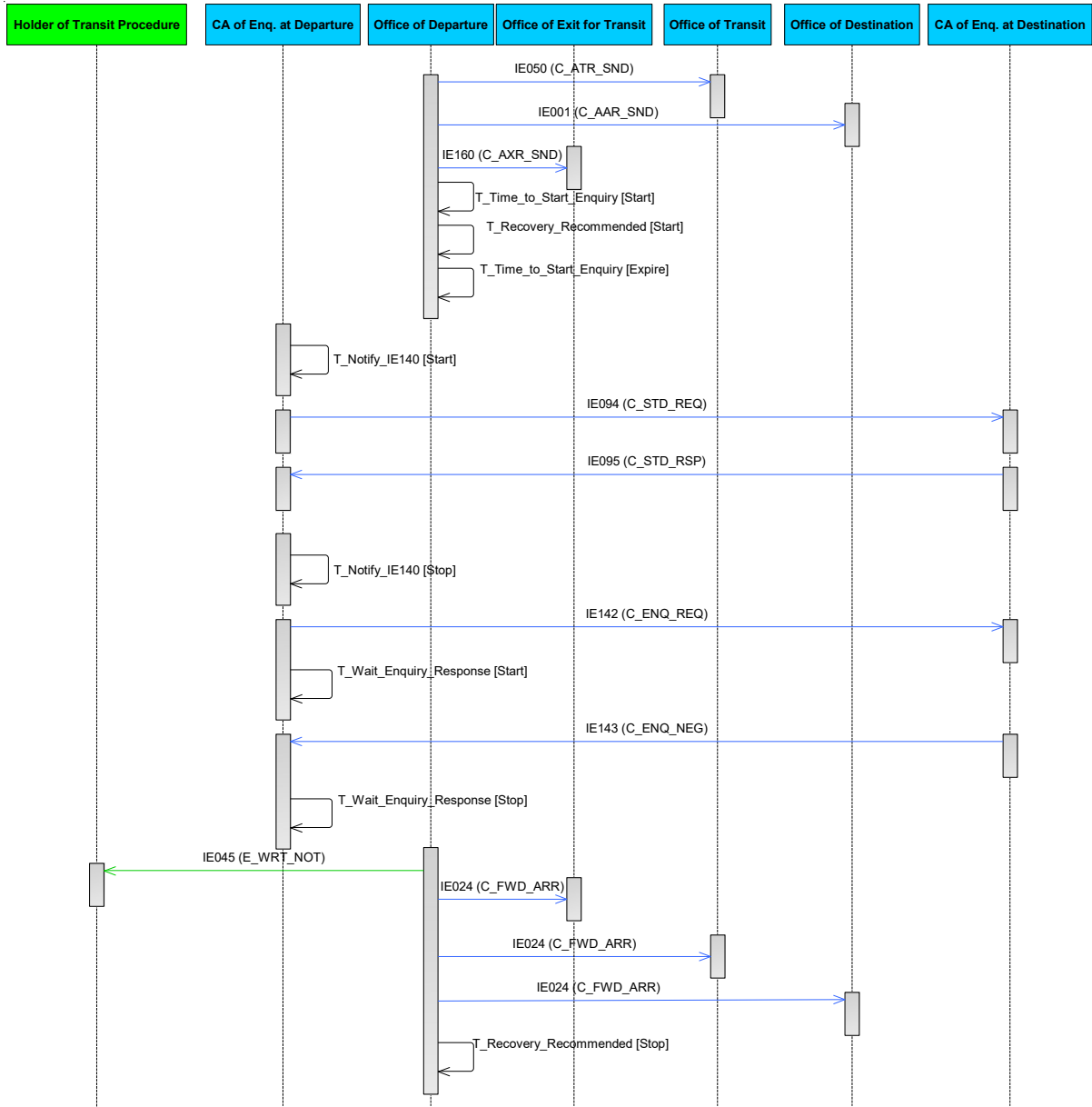


Figure 105: T-ENR-ENQ-A-003-Sufficient information–Enquiry response with “Return Copy”

III.IV.2.1.4 T-ENR-ENQ-A-004-Sufficient information–Enquiry with duplicate movement

This scenario shows what happens when the Competent Authority of Enquiry at Departure has no information about the movement and sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination, which responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating ‘Duplicate Movement’.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

[Step 17] The timer [T Notify IE140](#) stops since the Competent Authority of Enquiry at Departure decides how to proceed with the enquiry procedure.

[Step 18] Based on the information that the Competent Authority of Enquiry at Departure has about the movement, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination.

[Step 19] The timer [T Wait Enquiry Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 40 days since they possess sufficient information to conduct enquiry). The state is set to [Under enquiry procedure](#).

The Competent Authority of Enquiry at Destination responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating “Duplicate Movement”. Upon reception of the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, the [Step 20] timer [T Wait Enquiry Response](#) stops and also the [Step 21] timer [T Recovery Recommended](#) stops at the Office of Departure.

The Office of Departure invalidates the movement and the status of the movement is set to [Invalidated](#).

All the involved Offices of the movement (declared & actual), from which the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) and/or the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) and/or ‘Arrival Advice’ C_ARR_ADV (IE006) message(s) have not been received yet, are informed. Specifically, the Office of Departure sends to:

- the [Step 22] Office of Exit for Transit, the ‘Invalidation Notification’ C_INV_NOT (IE010) message. Upon reception of the ‘Invalidation Notification’ C_INV_NOT (IE010) message, the state is set to [Invalidated](#). This is a final status;
- the [Step 23] Office of Transit, the ‘Invalidation Notification’ C_INV_NOT (IE010) message. Upon reception of the ‘Invalidation Notification’ C_INV_NOT (IE010) message, the state is set to [Invalidated](#). This is a final status.
- the [Step 24] Office of Destination, the ‘Invalidation Notification’ C_INV_NOT (IE010) message. Upon reception of the ‘Invalidation Notification’ C_INV_NOT (IE010) message, the state is set to [Invalidated](#). This is a final status.

The business process of the transit operation ends here.

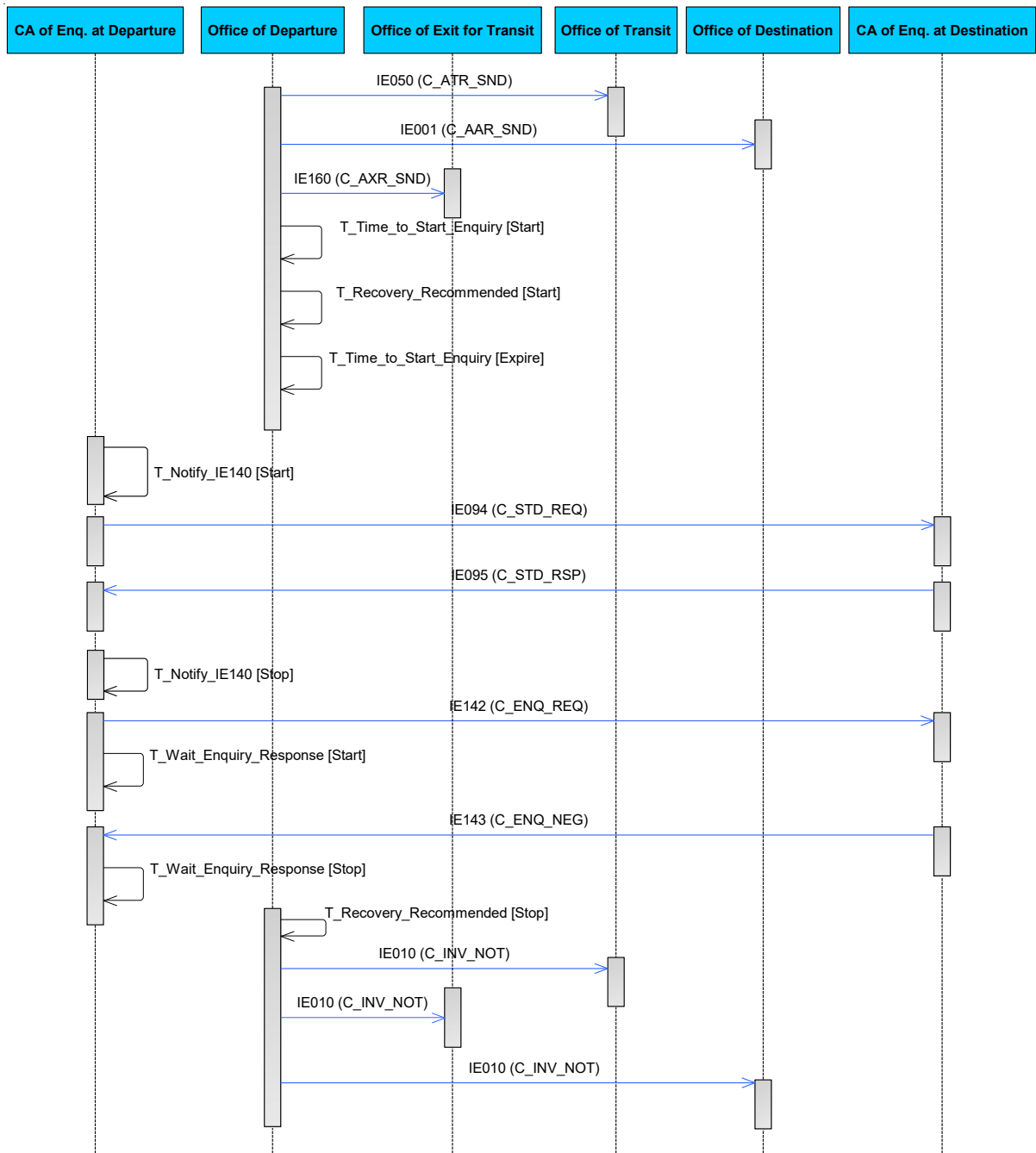


Figure 106: T-ENR-ENQ-A-004-Sufficient information–Enquiry with duplicate movement

III.IV.2.1.5 T-ENR-ENQ-A-005-Sufficient information–Enquiry with movement unknown at Destination–Holder of the transit procedure contacted

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired and the Competent Authority of Enquiry at Departure has no information about the movement. Therefore, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent

Authority of Enquiry at Destination, which responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating ‘Movement unknown’.

Subsequently, since the Competent Authority of Enquiry at Departure does not have sufficient information, that would allow for the discharge of the transit procedure, sends a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message to the Holder of the Transit Procedure. The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. The movement is then written off manually by the Office of Departure.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

[Step 17] The timer [T Notify IE140](#) stops since the Competent Authority of Enquiry at Departure decides how to proceed with the enquiry procedure.

[Step 18] Based on the information that the Competent Authority of Enquiry at Departure has about the movement, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination.

[Step 19] The timer [T Wait Enquiry Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 40 days since they consider that they possess sufficient information to conduct enquiry). The state is set to [Under enquiry procedure](#).

The Competent Authority of Enquiry at Destination responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating “Movement unknown”. Upon reception of the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, the **[Step 20]** timer [T Wait Enquiry Response](#) stops.

The Competent Authority of Enquiry at Departure does not have sufficient information that would allow for the discharge of the transit procedure and therefore sends a **[Step 21]** ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message to the Holder of the Transit Procedure. The **[Step 22]** timer [T Wait Response IE141](#) starts.

The Holder of the Transit Procedure responds within the time limit with the **[Step 23]** ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. The **[Step 24]** timer [T_Wait_Response_IE141](#) stops.

The response of the Holder of the Transit Procedure via the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message enables the Customs Officer to write off the movement manually.

All the Offices involved in the transit movement (declared and actual), from which the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) and/or the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message(s) have not been received and no ‘Arrival Advice’ C_ARR_ADV (IE006) has been received from the same National Administration where these Offices belong, are informed by the Office of Departure. The Office of Departure sends the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message:

- **[Step 25]** To the Office of Exit for Transit:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Exit for Transit is set to [Arrived](#);

- **[Step 26]** To the Office of Transit:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Transit is set to [Arrived](#);

- **[Step 27]** To the Office of Destination:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Destination is set to [Arrived](#).

[Step 28] The timer [T_Recovery_Recommended](#) stops.

The business process of the transit operation ends here.

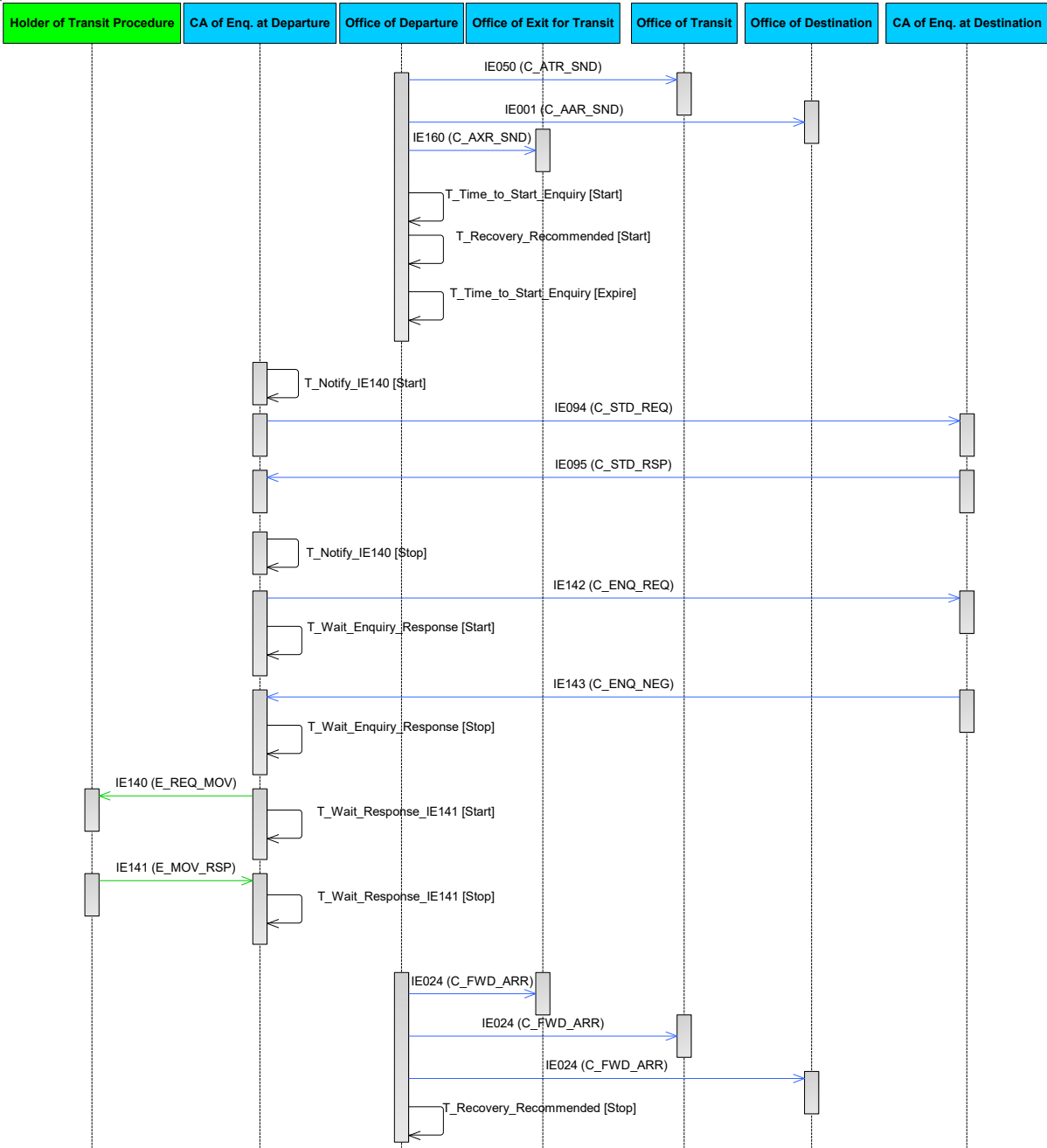


Figure 107: T-ENR-ENQ-A-005-Sufficient Information–Enquiry with Movement Unknown at Destination–Holder of the Transit Procedure Contacted

III.IV.2.1.6 T-ENR-ENQ-A-006-Insufficient information–Alternative proof and movement closed

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired and the Competent Authority of Enquiry at Departure does not have sufficient information and contacts the Holder of the Transit Procedure by sending a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message. The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. The movement is then closed by the Office of Departure based on the alternative proof provided by the Holder of the Transit Procedure.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

Due to the insufficient information about the movement, the Competent Authority of Enquiry at Departure initiates Enquiry. The state is set to [Under enquiry procedure](#).

The Competent Authority of Enquiry at Departure does not have sufficient information that would allow for the discharge of the transit procedure and therefore sends **[Step 17]** a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) to the Holder of the Transit Procedure. The **[Step 18]** timer [T Notify IE140](#) stops and the **[Step 19]** timer [T Wait Response IE141](#) starts.

[Step 20] The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. The **[Step 21]** timer [T Wait Response IE141](#) stops.

The response from the Holder of the Transit Procedure via the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message enables the Customs Officer to write off the movement manually via the alternative proof provided by the Holder of the Transit Procedure. The state of the movement is set to [Movement written-off](#).

All the Offices involved in the transit movement (declared and actual), from which the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) and/or the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message(s) have not been received, are informed by the Office

of Departure. The Office of Departure sends the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message:

- [Step 22] To the Office of Exit for Transit:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Exit for Transit is set to Arrived;

- [Step 23] To the Office of Transit:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Transit is set to Arrived;

- [Step 24] To the Office of Destination:

Upon reception of the ‘Forward Arrival Advice’ C_FWD_ARR (IE024) message, the state in the Office of Destination is set to Arrived.

[Step 25] The timer T_Recovery_Recommended stops.

The business process of the transit operation ends here.

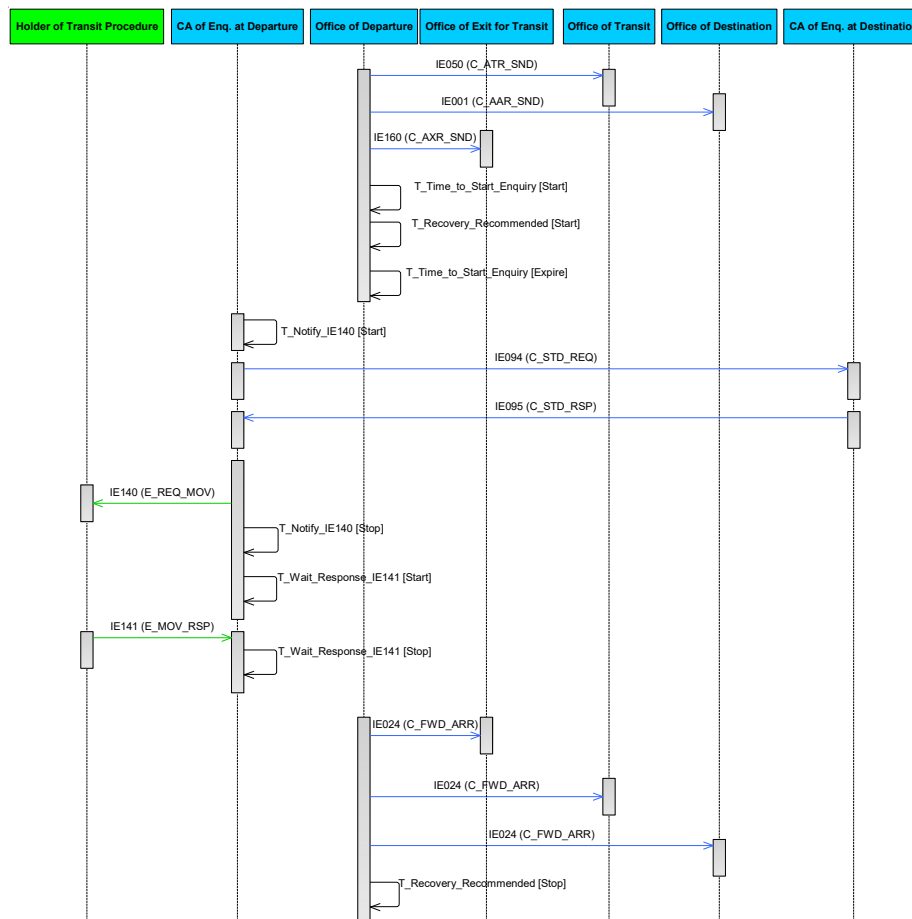


Figure 108: T-ENR-ENQ-A-006-Insufficient information–Alternative proof and movement closed

III.IV.2.1.7 T-ENR-ENQ-A-007-Insufficient information – Movement closed– Enquiry cancelled

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired and the Competent Authority of Enquiry at Departure does not have sufficient information and contacts the Holder of the Transit Procedure by sending a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message. The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. Afterwards, the Competent Authority of Enquiry at Departure sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message. However, new information arrived at the Competent Authority of Enquiry at Departure and the movement is then closed by the Office of Departure with alternative proof. The open Enquiry request is cancelled with the ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059) message sent to the Office of Destination.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T_Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T_Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

Due to the insufficient information about the movement, the Competent Authority of Enquiry at Departure initiates Enquiry. The state is set to [Under enquiry procedure](#).

The **[Step 17]** Competent Authority of Enquiry at Departure does not have sufficient information that would allow for the discharge of the transit procedure and therefore sends a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) to the Holder of the Transit Procedure. The **[Step 18]** timer [T_Notify IE140](#) stops and the **[Step 19]** timer [T_Wait Response IE141](#) starts.

[Step 20] The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. **[Step 21]** The timer [T_Wait Response IE141](#) stops.

[Step 22] The Competent Authority of Enquiry at Departure sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message. **[Step 23]** The timer [T_Wait Enquiry Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 40 days since they consider that they possess sufficient information to conduct enquiry).

New information arrives that justifies the write-off of the movement via alternative proof. Therefore, the Customs Officer manually writes off the movement. **[Step 24]** The timer [T_Wait_Enquiry_Response](#) stops.

[Step 25] The open Enquiry request is cancelled with the 'Cancel Enquiry Notification' C_CAN_ENQ (IE059) message that is sent to the Office of Destination. The state of the movement is set to [Movement written-off](#).

All the Offices involved in the transit movement (declared and actual), from which the 'Notification Leaving Security Area' C_LSA_NOT (IE168) and/or the 'Notification Crossing Frontier' C_NCF_NOT (IE118) message(s) have not been received, are informed by the Office of Departure. The Office of Departure sends the 'Forward Arrival Advice' C_FWD_ARR (IE024) message:

- **[Step 26]** To the Office of Exit for Transit:

Upon reception of the 'Forward Arrival Advice' C_FWD_ARR (IE024) message, the state in the Office of Exit for Transit is set to [Arrived](#);

- **[Step 27]** To the Office of Transit:

Upon reception of the 'Forward Arrival Advice' C_FWD_ARR (IE024) message, the state in the Office of Transit is set to [Arrived](#);

- **[Step 28]** To the Office of Destination:

Upon reception of the 'Forward Arrival Advice' C_FWD_ARR (IE024) message, the state in the Office of Destination is set to [Arrived](#).

[Step 29] The timer [T_Recovery_Recommended](#) stops.

The business process of the transit operation ends here.

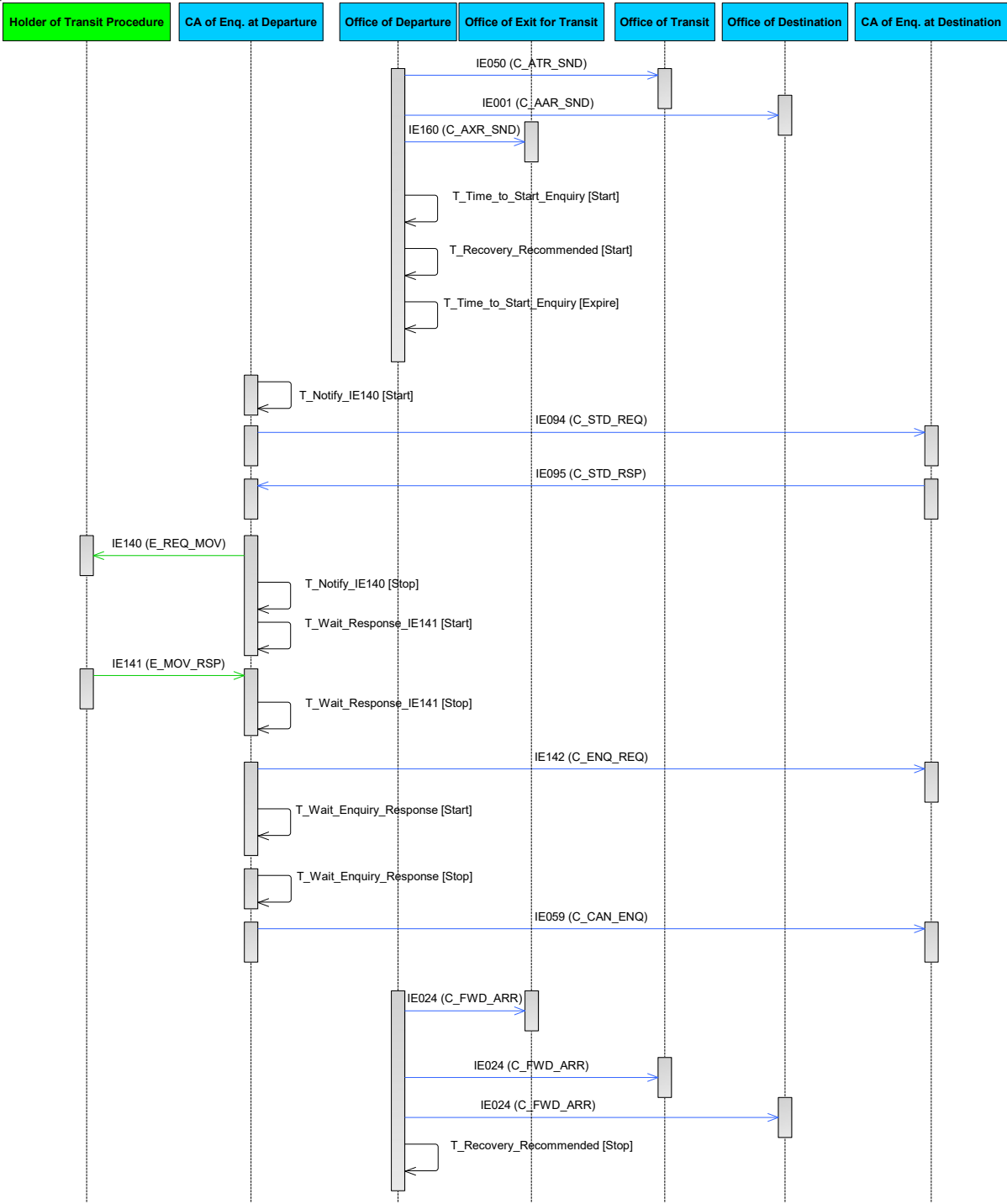


Figure 109: T-ENR-ENQ-A-007-Insufficient information-Movement closed-Enquiry cancelled

III.IV.2.1.8 T-ENR-ENQ-A-008-Insufficient information-Enquiry started-Recovery started

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired and the Competent Authority of Enquiry at Departure does not have sufficient information for the transit movement. Therefore, it sends a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message to the Holder of the Transit Procedure. The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. However, the Competent Authority of Enquiry at Departure has still received no information about the movement from the Holder of the Transit Procedure and sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination, which responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating ‘Movement unknown’. Subsequently, the Competent Authority of Recovery (at Departure) decides to start Recovery. The message ‘Recovery Communication’ C_REC_COM (IE063) is sent to inform all involved parties that Recovery has been initiated. When Recovery is completed, the message ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) is sent to the Offices that have previously received the ‘Recovery Communication’ C_REC_COM (IE063).

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

Due to the insufficient information about the movement, the Competent Authority of Enquiry at Departure initiates Enquiry. The state is set to [Under enquiry procedure](#).

The **[Step 17]** Competent Authority of Enquiry at Departure does not have sufficient information that would allow for the discharge of the transit procedure and therefore sends a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) to the Holder of the Transit Procedure. The **[Step 18]** timer [T Notify IE140](#) stops and the **[Step 19]** timer [T Wait Response IE141](#) starts.

[Step 20] The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. **[Step 21]** The timer [T_Wait_Response_IE141](#) stops.

[Step 22] Due to insufficient information, the Competent Authority of Enquiry at Departure sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination (actual). **[Step 23]** The timer [T_Wait_Enquiry_Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 28 days since they consider that they possess insufficient information to conduct enquiry).

[Step 24] The Office of Destination or the Competent Authority of Enquiry at Destination replies with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating ‘Movement unknown’. **[Step 25]** The timer [T_Wait_Enquiry_Response](#) stops.

The Office of Departure decides afterwards to recommend recovery. The state at the Office of Departure is set to [Recovery recommended](#). The master timer [T_Recovery_Recommended](#) continues running (i.e. the timer never stops, meaning that it is running until the movement goes under recovery or closed or the timer expires).

The Competent Authority of Recovery at Departure decides to initiate Recovery and sends:

- **[Step 26]** The ‘Recovery Communication’ C_REC_COM (IE063) message to the Office of Transit, whose state is set to [Under recovery procedure](#);
- **[Step 27]** The ‘Recovery Communication’ C_REC_COM (IE063) message to the Office of Declared Destination, whose state is set to [Under recovery procedure](#);
- **[Step 28]** The ‘Recovery Communication’ C_REC_COM (IE063) message to the Office of Exit for Transit, whose state is set to [Under recovery procedure](#).

[Step 29] The timer [T_Recovery_Recommended](#) stops. The state at the Office of Departure is set to [Under recovery procedure](#).

The Competent Authority of Recovery at Departure completes Recovery and sends to those Offices that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 30]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Transit, whose state is set to [Recovery completed](#);
- **[Step 31]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Declared Destination, whose state is set to [Recovery completed](#);
- **[Step 32]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Exit for Transit, whose state is set to [Recovery completed](#).

The state of the movement at the Office of Departure is set to [Movement written off](#).

The business process of the transit operation ends here.

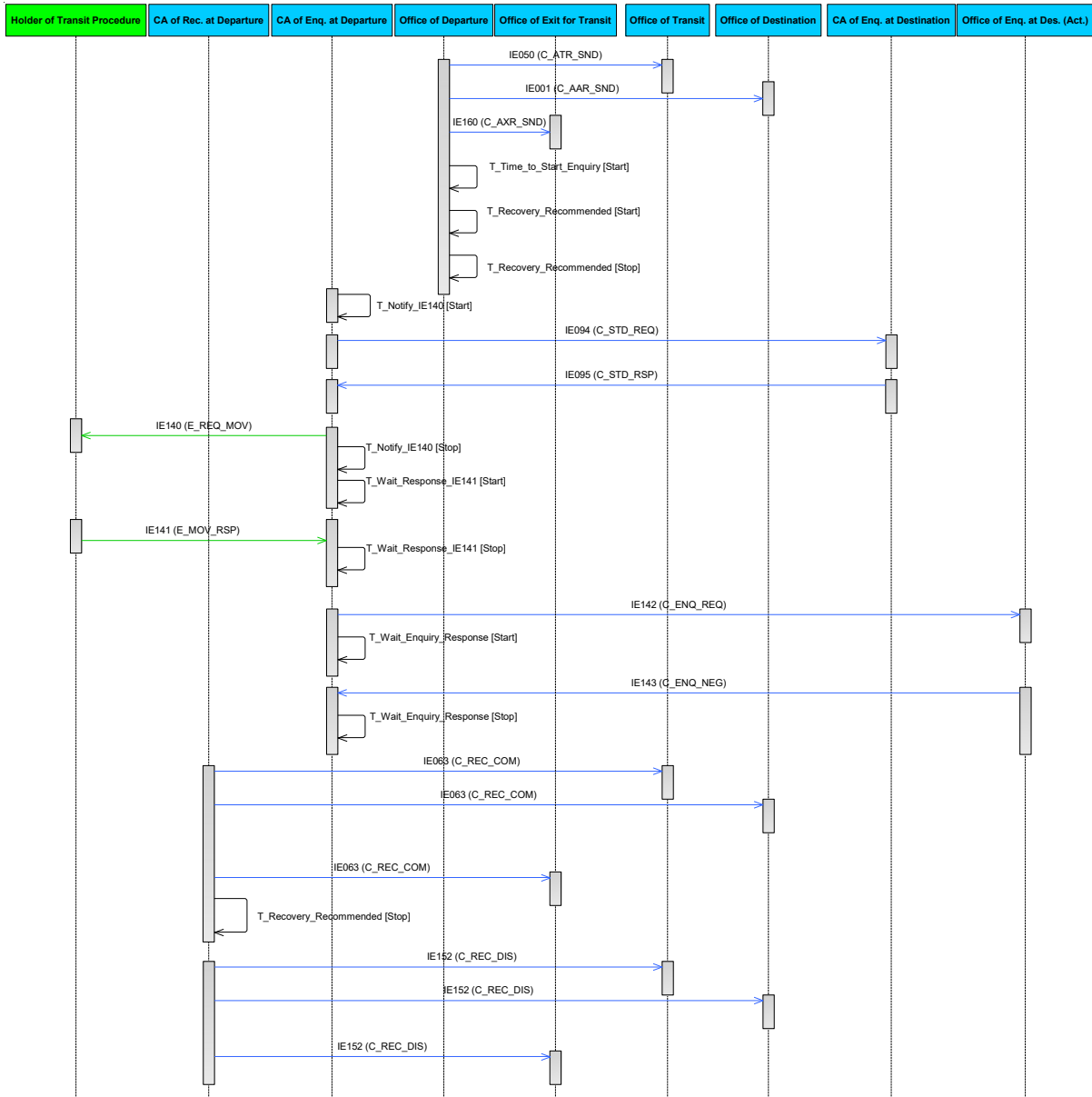


Figure 110: T-ENR-ENQ-A-008-Insufficient information-Enquiry started-Recovery started

III.IV.2.1.9 T-ENR-ENQ-A-009-Insufficient information–Holder of the transit procedure provides negative response

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired and the Competent Authority of Enquiry at Departure does not have sufficient information for the transit movement and sends a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message to the Holder of the Transit Procedure. The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. However, the information provided by the Holder of the Transit Procedure legitimates Recovery that is initiated by the Competent Authority of Recovery at Departure.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

Due to the insufficient information about the movement, the Competent Authority of Enquiry at Departure initiates Enquiry. The state is set to [Under enquiry procedure](#).

The **[Step 17]** Competent Authority of Enquiry at Departure does not have sufficient information that would allow for the discharge of the transit procedure and therefore sends a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) to the Holder of the Transit Procedure. The **[Step 18]** timer [T Notify IE140](#) stops and the **[Step 19]** timer [T Wait Response IE141](#) starts.

[Step 20] The Holder of the Transit Procedure responds within the time limit with the ‘Information about Non-Arrived Movement’ E_MOV_RSP (IE141) message. **[Step 21]** The timer [T Wait Response IE141](#) stops.

The information provided by the Holder of the Transit Procedure is negative. Therefore, the Office of Departure decides to recommend recovery. The state at the Office of Departure is set to [Recovery recommended](#). The master timer [T Recovery Recommended](#) continues running (i.e. the timer never stops, meaning that it is running until the movement goes under recovery or closed or the timer expires).

The Competent Authority of Recovery at Departure decides to initiate Recovery. Therefore, the state at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#), which sends:

- **[Step 22]** The ‘Recovery Communication’ C_REC_COM (IE063) message to the Office of Transit, whose state is set to [Under recovery procedure](#);
- **[Step 23]** The ‘Recovery Communication’ C_REC_COM (IE063) message to the Office of Declared Destination, whose state is set to [Under recovery procedure](#);
- **[Step 24]** The ‘Recovery Communication’ C_REC_COM (IE063) message to the Office of Exit for Transit, whose state is set to [Under recovery procedure](#).

[Step 25] The timer [T_Recovery_Recommended](#) at the Office of Departure also stops.

The Competent Authority of Recovery at Departure completes Recovery and sends:

- **[Step 26]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Transit, whose state is set to [Recovery completed](#);
- **[Step 27]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Declared Destination, whose state is set to [Recovery completed](#);
- **[Step 28]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Exit for Transit, whose state is set to [Recovery completed](#).

The state of the movement at the Office of Departure is set to [Movement written off](#).

The business process of the transit operation ends here.

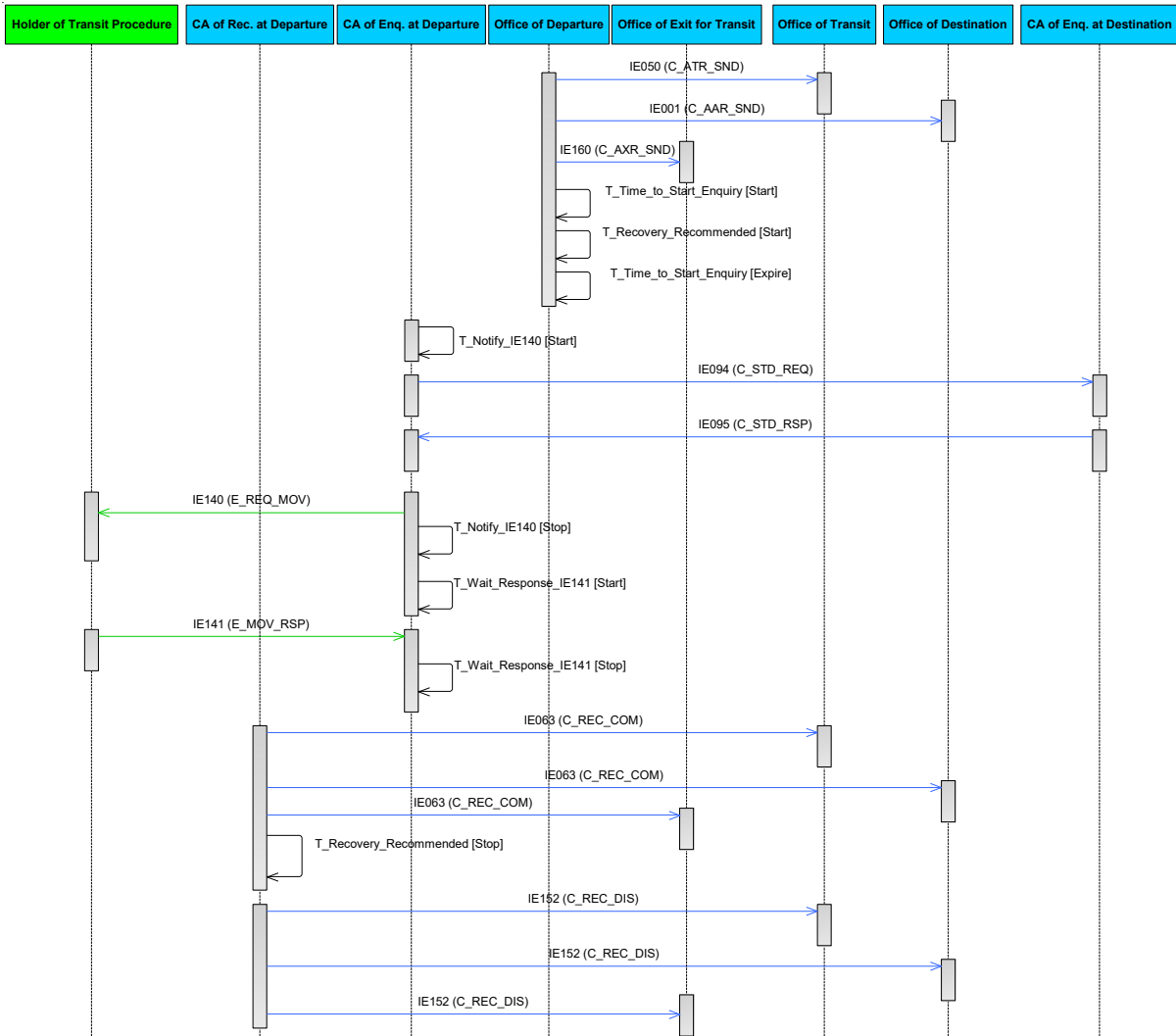


Figure 111: T-ENR-ENQ-A-009-Insufficient information–Holder of the transit procedure provides negative response

III.IV.2.1.10 T-ENR-ENQ-A-010-Enquiry in the case of suspected fraud

This is an exceptional scenario that may occur when the Customs Officer suspects that fraud or another abnormal incident may have taken place. The Customs Officer initiates the Handle Enquiry process with a manual expiration of the [T Time to Start Enquiry](#) timer.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The Office of Departure suspects fraud and thus they manually expire the timer [T Time to Start Enquiry](#). The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

[Step 17] The timer [T Notify IE140](#) stops since the Competent Authority of Enquiry at Departure decides how to proceed with the enquiry procedure.

[Step 18] Based on information, the Competent Authority of Enquiry at Departure suspects fraud for the movement or is informed of another abnormal incident and sends without delay the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination without contacting the Holder of the Transit Procedure. **[Step 19]** The timer [T Wait Enquiry Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 28 days). The state is set to [Under enquiry procedure](#).

The same Competent Authority of Enquiry at Destination, that has received the ‘Enquiry Request’ C_ENQ_REQ (IE142) message, locates the movement and, therefore, the normal arrival process is resumed by **[Step 20]** sending the ‘Arrival Advice’ C_ARR_ADV (IE006). Therefore, the **[Step 21]** timer [T Wait Enquiry Response](#) stops. The state of the transit movement at the Office of Departure is set to [Arrived](#).

Since no ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) and no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) messages have been received from the Office of Exit for Transit and Office of Transit respectively, the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) is sent to:

- **[Step 22]** To the Office of Exit for Transit, whose state is set to [Arrived](#);
- **[Step 23]** To the Office of Transit, whose state is set to [Arrived](#).

[Step 24] Additionally, the ‘Destination Control Results’ C_DES_CON (IE018) message is received by the Office of Departure, which contains as per scenario’s assumption a satisfactory control result code (i.e. ‘A1’ or ‘A2’ or ‘A5’).

[Step 25] The timer T_Recovery_Recommended also stops.

The movement is then written off at the Office of Departure and the state of the movement is set to Movement written off.

The business process of the transit operation ends here.

NOTE: If the Office of Departure receives an 'Arrival Advice' C_ARR_ADV (IE006) and/or 'Destination Control Results' C_DES_CON (IE018) from the 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 has received the 'Enquiry Request' C_ENQ_REQ (IE142) message and has responded with 'Arrival Advice' C_ARR_ADV (IE006) and/or 'Destination Control Results' C_DES_CON (IE018).

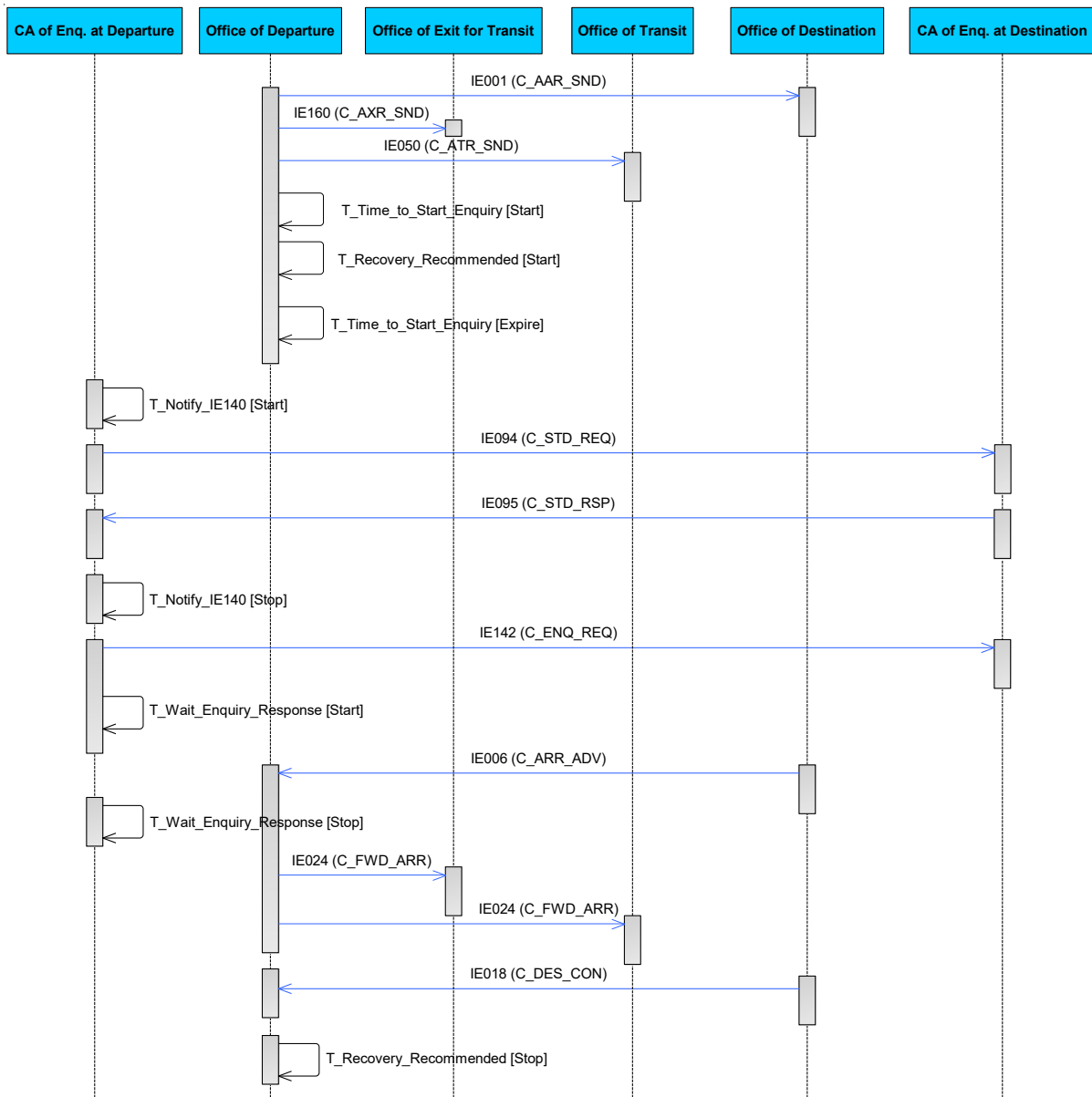


Figure 112: T-ENR-ENQ-A-010-Enquiry in the case of suspected fraud

III.IV.2.1.11 T-ENR-ENQ-A-011-Cancellation of Enquiry request

Various cases can occur:

1. 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 ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059) message to the Competent Authority of Enquiry at Destination. Upon receipt of the ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059), each investigation concerning the Enquiry is terminated.
2. In case the Competent Authority of Enquiry at Departure has sent the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to a Competent Authority of Enquiry at Destination and the timer “Wait for Enquiry Response” expires with no ‘Enquiry Response’ C_ENQ_NEG (IE143) message received, the ‘Enquiry Request’ C_ENQ_REQ (IE142) message has to be cancelled by the Competent Authority of Enquiry at Departure by sending the ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059).
3. In case the Competent Authority of Enquiry at Departure intends to extend the Enquiry, a new ‘Enquiry Request’ C_ENQ_REQ (IE142) message may be sent to the same Competent Authority of Enquiry, but the Competent Authority of Enquiry at Departure must first send the ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059) to this same Competent Authority of Enquiry.

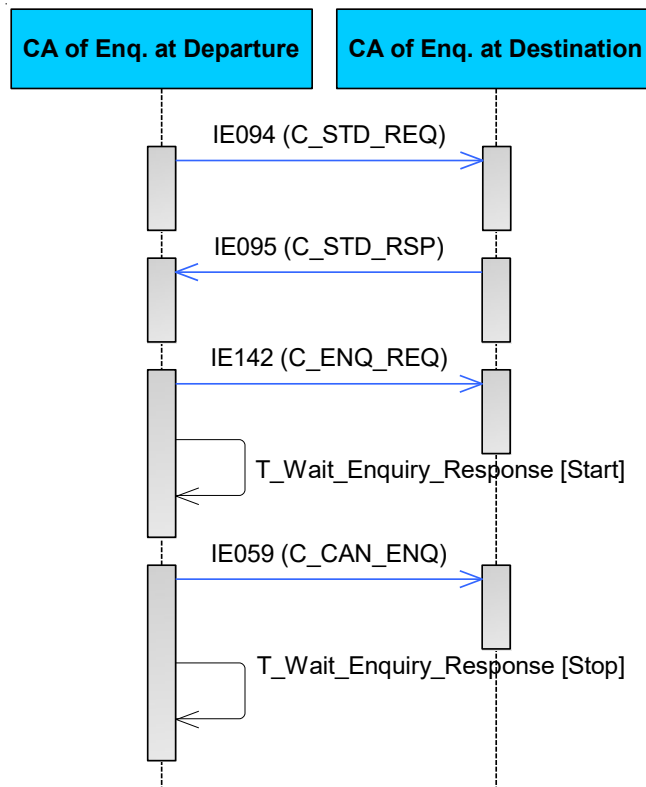


Figure 113: T-ENR-ENQ-A-011-Cancellation of Enquiry request

4. 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) message, the Competent Authority of Enquiry at Departure shall automatically cancel

the 'Enquiry Request' C_ENQ_REQ (IE142) message by sending the 'Cancel Enquiry Notification' C_CAN_ENQ (IE059) to the Competent Authority of Enquiry (if no reply to the 'Enquiry Request' C_ENQ_REQ (IE142) message has been received yet).

The following exceptional cases can also occur:

5. In case the movement is written-off manually as described in scenario [T-TRA-DES-A-011-Manual closure at Departure based on alternative proof \(i.e. the Holder of the Transit Procedure provides alternative proof to the Office of Departure regarding the release of goods at destination\)](#), the 'Enquiry Request' C_ENQ_REQ (IE142) message 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 the 'Enquiry Request' C_ENQ_REQ (IE142) message but has not responded with the 'Enquiry Response' C_ENQ_NEG (IE143) message yet.
6. In 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 the 'Enquiry Request' C_ENQ_REQ (IE142) message but has not yet responded. This case is also illustrated in Figure 113.
7. In case:
 - the Competent Authority of Enquiry (at Departure) has sent the 'Enquiry Request' C_ENQ_REQ (IE142) message 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 (as described in scenario [T-ENR-ENQ-A-002-Sufficient information-Enquiry with arrival processing resumed](#))
 - 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 'Cancel Enquiry Notification' C_CAN_ENQ (IE059) message will be rejected with the 'Functional NACK' C_FUN_NCK (IE906) as out-of-sequence if it is received for this movement),
 - or the movement is invalidated before the Competent Authority of Enquiry at Destination replies (i.e. with 'Enquiry Response' C_ENQ_NEG IE143) and before any other response is received from any involved Offices. In that circumstance, the Office of Departure sends the 'Cancel Enquiry Notification' C_CAN_ENQ (IE059) message (i.e. for the cancellation of the 'open' enquiry request) to the Competent Authority of Enquiry at Destination and the 'Invalidation Notification' C_INV_NOT (IE010) message (i.e. for the invalidation of the transit movement) to all involved Offices into the transit movement,
 - or, in case the master timer [T_Recovery_Recommended](#) has not yet expired (i.e. keeps running), but the status is already under [Recovery recommended](#) (e.g. due to manual

decision of the Officer to recommend recovery) and there is no open 'Recovery Request' C_REC_REQ (IE150) that has been sent or received from/to the Competent Authority of Recovery at Departure (no pending 'Recovery Acceptance Notification' C_REC_ACC (IE151) message), the Competent Authority of Enquiry at Departure decides to initiate enquiry for the movement and sends the 'Enquiry Request' C_ENQ_REQ (IE142) message. In that event, the timer [T_Wait_Enquiry_Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be either 28 days or 40 days if they consider that they possess insufficient / sufficient information to conduct enquiry, unless fraud is suspected and in that case its duration is set to 28 days) and the status is set to [Under enquiry procedure](#). The master timer [T_Recovery_Recommended](#) still keeps running. However, if the master timer [T_Recovery_Recommended](#) expires and the enquiry request is still open (i.e. no 'Enquiry Response' C_ENQ_NEG (IE143) has been yet received), the timer [T_Wait_Enquiry_Response](#) stops, the 'Cancel Enquiry Notification' (IE059) is sent to the Customs Office/Competent Authority that received the 'Enquiry Request' C_ENQ_REQ (IE142) and then the Competent Authority of Recovery at Departure needs to proceed with the recovery procedure (i.e. in all cases where the master timer expires, recovery must be started).

III.IV.2.1.12 T-ENR-ENQ-A-012-Exchange of additional information

This scenario demonstrates the exchange mechanism of the ‘Enquiry Information’ C_ENQ_INF (IE144) message and ‘Enquiry Information Request’ C_INF_REQ (IE145) message. These messages can be applied only during the Enquiry and Recovery procedures.

It should be noted that only the Departure can send the ‘Enquiry Information’ C_ENQ_INF (IE144) message and only the Destination can send ‘Enquiry Information Request’ C_INF_REQ (IE145) message. The ‘Enquiry Information’ C_ENQ_INF (IE144) and the ‘Enquiry Information Request’ C_INF_REQ (IE145) messages are not correlated and any of them can be sent spontaneously. In addition, the use of ‘Enquiry Information’ C_ENQ_INF (IE144) / ‘Enquiry Information Request’ C_INF_REQ (IE145) messages is allowed after the Enquiry (or Recovery) procedure has been started and until the Enquiry (or Recovery) procedure is completed.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) message is sent to the Competent Authority of Enquiry at Destination.

In the ‘Status Request’ C_STD_REQ (IE094) message, 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, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 16] The Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

[Step 17] The timer [T Notify IE140](#) stops since the Competent Authority of Enquiry at Departure decides how to proceed with the enquiry procedure.

[Step 18] Based on the information that the Competent Authority of Enquiry at Departure has about the movement, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination. **[Step 19]** The timer [T Wait Enquiry Response](#) starts. The state is set to [Under enquiry procedure](#).

[Step 20] Before receiving the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, the Competent Authority of Enquiry at Departure sends the ‘Enquiry Information’ C_ENQ_INF (IE144) message to the Competent Authority of Enquiry at Destination. **[Step 21]** The Competent Authority of Enquiry at Destination requests further information by sending the ‘Enquiry Information Request’ C_INF_REQ (IE145) message to the Competent Authority of Enquiry at Departure. **[Step 22]** The Competent Authority of Enquiry at Departure responds with the ‘Enquiry Information’ C_ENQ_INF (IE144) message to the Competent Authority of Enquiry at Destination.

[Step 23] After the receipt of the Enquiry Information, the Competent Authority of Enquiry at Destination responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message. **[Step 24]** Upon reception of the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, the timer [T_Wait_Enquiry_Response](#) stops.

The business process of the transit operation may continue with:

- The reception of the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message from the Declared Office of Exit for Transit (i.e. please refer to [\[Step 13\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#)); or
- The reception of the ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) message from the Actual Office of Exit for Transit (i.e. please refer to the scenarios of sub-section [Diversion at Office of Exit for Transit](#)); or
- The reception of the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) from the Declared Office of Transit (i.e. please refer to [\[Step 14\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#)); or
- The reception of the ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114) message from the Actual Office of Transit (i.e. please refer to the scenarios of sub-section [Diversion at Office of Transit](#)); or
- The reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) and/or ‘Destination Control Results’ C_DES_CON (IE018) message(s) from the Declared Office of Destination (i.e. please refer to [\[Step 16\]](#) or [\[Step 20\]](#) of the [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#) or the scenarios of the sub-section [Control of the Goods at Destination](#) in case the ‘Destination Control Results’ C_DES_CON (IE018) contains unsatisfactory control results); or
- The reception of the ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) from the Actual Office of Destination (i.e. please refer to the scenarios of sub-section [Diversion at Office of Destination](#)); or
- The Competent Authority of Enquiry at Departure dispatches a new ‘Enquiry Request’ C_ENQ_REQ (IE142) to an Office of Destination or to a Competent Authority of Enquiry at Destination (i.e. please refer to the scenarios of sub-section [T-ENR-ENQ-Handle Enquiry \(ENQ\)](#)); or
- The Recovery Procedure is initiated (i.e. please refer to the scenarios of sub-section [T-ENR-REC-Handle Recovery \(REC\)](#)).

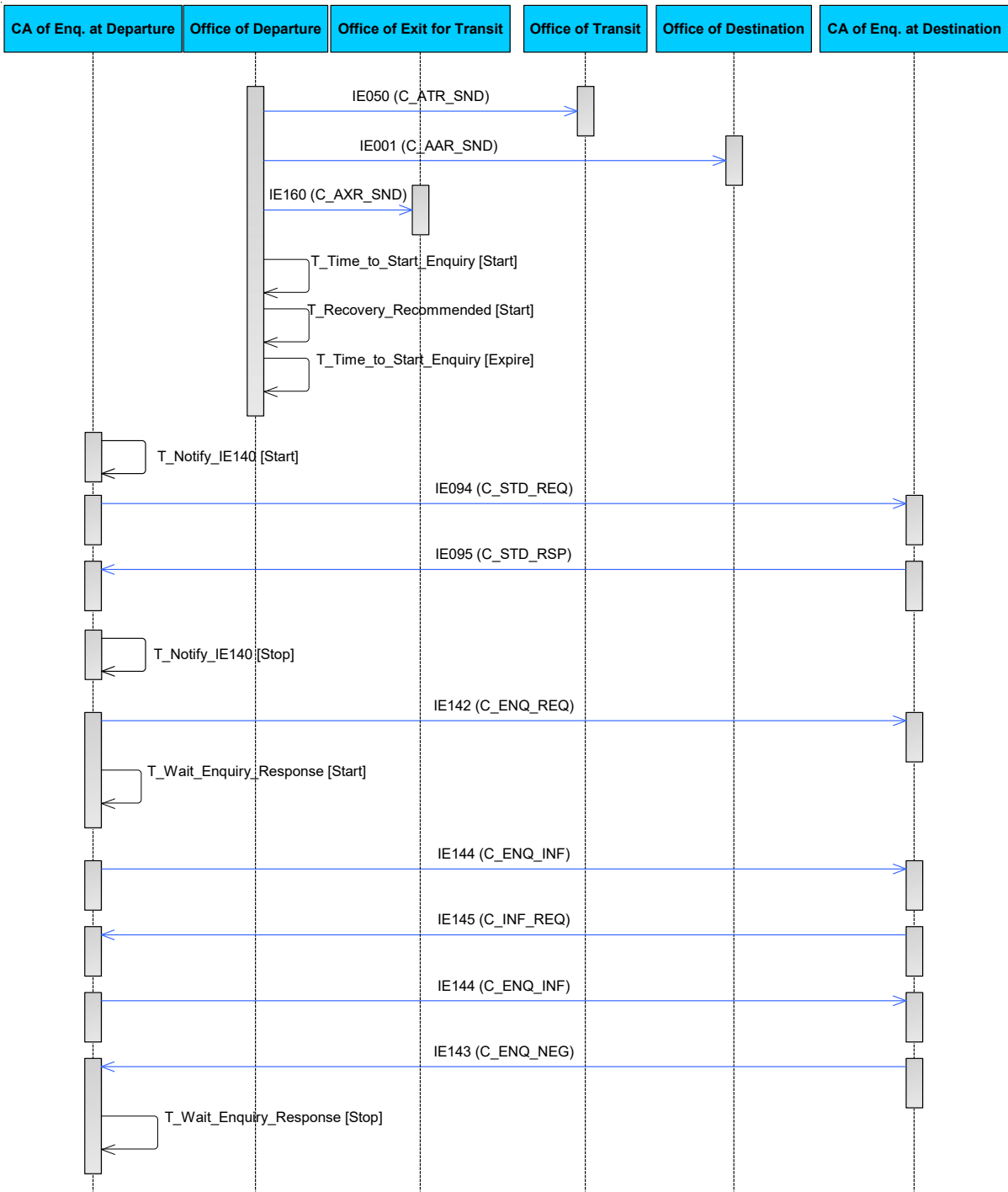


Figure 114: T-ENR-ENQ-A-012-Exchange of additional information

III.IV.2.2 T-ENR-REC-Handle Recovery (REC)

The Recovery procedure usually starts as a follow up to the Enquiry procedure. The Recovery can be initiated if the goods never arrive at any Office of Destination, or alternatively when the goods have arrived, but major discrepancies have been identified by the Customs Office of Destination. Other than that, in any state after the movement was released for transit (when a Customs Officer in the Competent Authority of Recovery - in any country – has good reasons to suspect that a fraud or another abnormal incident took place). The Recovery procedure can be initiated in different ways, in different contexts, including:

- The Competent Authority of Recovery in the Country of Departure shall start the Recovery after the expiration of the master timer [T_Recovery Recommended](#), and shall inform the other involved countries (i.e. the Country of Destination, and if applicable, the other countries that have received at least one message for that movement);
- The Competent Authority of Recovery in the Country of Departure receives a ‘Recovery Request’ C_REC_REQ (IE150) from the Competent Authority of Recovery of another country (i.e. the Country of Destination, a Country of Transit, a Country of Exit for Transit or another country that has received no message for that movement);
- A ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message has been sent by the Competent Authority of Country of departure to the Holder of the Transit Procedure and:
 - the Holder of the Transit Procedure has not sent the ‘Information About Non-Arrived Movement’ E_MOV_RSP (IE141) message or alternative proof;
 - the Holder of the Transit Procedure has sent insufficient information;
 - the Holder of the Transit Procedure has sent information that confirms the need to start the Recovery procedure.
- The ‘Enquiry Request’ C_ENQ_REQ (IE142) message is responded with an ‘Enquiry Response’ C_ENQ_NEG (IE143) message sent by the Competent Authority in the Country of Destination to the Competent Authority in the Country of Departure, and this message [i.e. ‘Enquiry Response’ C_ENQ_NEG (IE143)] includes the ‘Response code’ ‘4’ (Request for Recovery at Destination), requesting to perform the Recovery at Destination;
- At any time after the movement is released for transit, any Customs Officer at Departure may have information that justifies to manually start the Recovery Procedure.

The master timer [“Recovery Recommended”](#) is initiated upon the release of the movement and its duration is set to: “expected arrival date” + 7 months. This timer never stops. After its expiration the Recovery Procedure must be started⁴². The first action of the Competent Authority of Recovery at Departure is to determine which country needs to perform the Recovery Procedure:

- If the Country of Departure considers that it is competent, it shall carry out the Recovery Procedure;
- If the Competent Authority of Recovery at Departure considers that it is not responsible for the Recovery, a ‘Recovery Request’ C_REC_REQ (IE150) message is sent to the Competent Authority of Recovery in another country (it is possible that this country

⁴² Please refer to Article 87 (2) of UCC & Article 77 of UCC DA.

has already played a role (transit or exit for transit or destination or incident registration) in NCTS for this movement, but it is also possible that the movement is unknown in the National Transit Application of this country. The timer “Wait for Recovery Acceptance Notification” starts when the ‘Recovery Request’ C_REC_REQ (IE150) is exchanged. Before this timer expires, the Competent Authority of Recovery in another country responds by sending the message ‘Recovery Acceptance Notification’ C_REC_ACC (IE151), which may contain:

- If this message contains a positive response: The requested Competent Authority becomes responsible for the Recovery and it will carry out the Recovery Procedure, OR
 - If this message contains a negative response: The Competent Authority of Recovery at Departure retains the responsibility to carry out the Recovery Procedure.
- If the Competent Authority of Recovery in another country requests the competency by sending 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 this message contains a positive response: the competency is transferred to the Competent Authority of Recovery in another country which carries out the Recovery Procedure.
 - If this message contains a negative response: The Competent Authority of Recovery at Departure carries out the Recovery Procedure.
 - If the Competent Authority of Enquiry at Destination respond to the ‘Enquiry Request’ C_ENQ_REQ (IE142) message with the ‘Request for Recovery at Destination’ (‘Response Code’ “4 - Request for Recovery at Destination” in the ‘Enquiry Response’ C_ENQ_NEG (IE143) message), then the Competent Authority of Recovery at Departure responds with the message ‘Recovery Acceptance Notification’ C_REC_ACC (IE151):
 - If this message contains a positive response: the competency is transferred to the Competent Authority of Recovery at Destination which carries out the Recovery Procedure.
 - If this message contains a negative response: The Competent Authority of Recovery at Departure which carries out the Recovery Procedure.

In the beginning of the Recovery Procedure, irrespectively of the place where this process will be carried out, the Competent Authority of Recovery at Departure informs all involved parties about the initiation of the Recovery by sending a ‘Recovery Communication’ C_REC_COM (IE063). The ‘Recovery Communication’ C_REC_COM (IE063) shall be sent to all the countries that participate into the movement. However, the ‘Recovery Communication’ C_REC_COM (IE063) message shall not be sent to the country that has received or has sent the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message. If the Office of Transit and/or the Office of Exit for Transit and/or the Office of Destination belong to the same country, the ‘Recovery Communication’ C_REC_COM (IE063) shall be sent only once. In case the Internal Transit movement follows an Export movement, the ‘Recovery Communication to AES’ N_REC_COM (IE048) message is also sent by NCTS to AES, to notify AES about the beginning of the Recovery, and no further communication message is exchanged afterwards between NCTS and AES for the specific transit movement. Specifically, upon reception of the ‘Recovery Communication to AES’ N_REC_COM (IE048) message, the

Office of Exit sends the ‘Exit Results’ C_EXT_RES (IE518) message to the Office of Export with control result code ‘B1’.

As soon as the Recovery is completed, the Competent Authority of Recovery at Departure informs all the Customs Offices that have received before the ‘Recovery Notification’ C_REC_COM (IE063) by sending the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152).

But, if the Recovery is completed by the Competent Authority of Recovery in either the Country of Destination or Transit or Exit for Transit or any Other Country, this country (that performed the Recovery Procedure) will first notify the Competent Authority of Recovery at Departure by sending the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152), and then the Competent Authority of Recovery at Departure forwards this message to all the involved countries that had previously received the ‘Recovery Communication’ C_REC_COM (IE063) message.

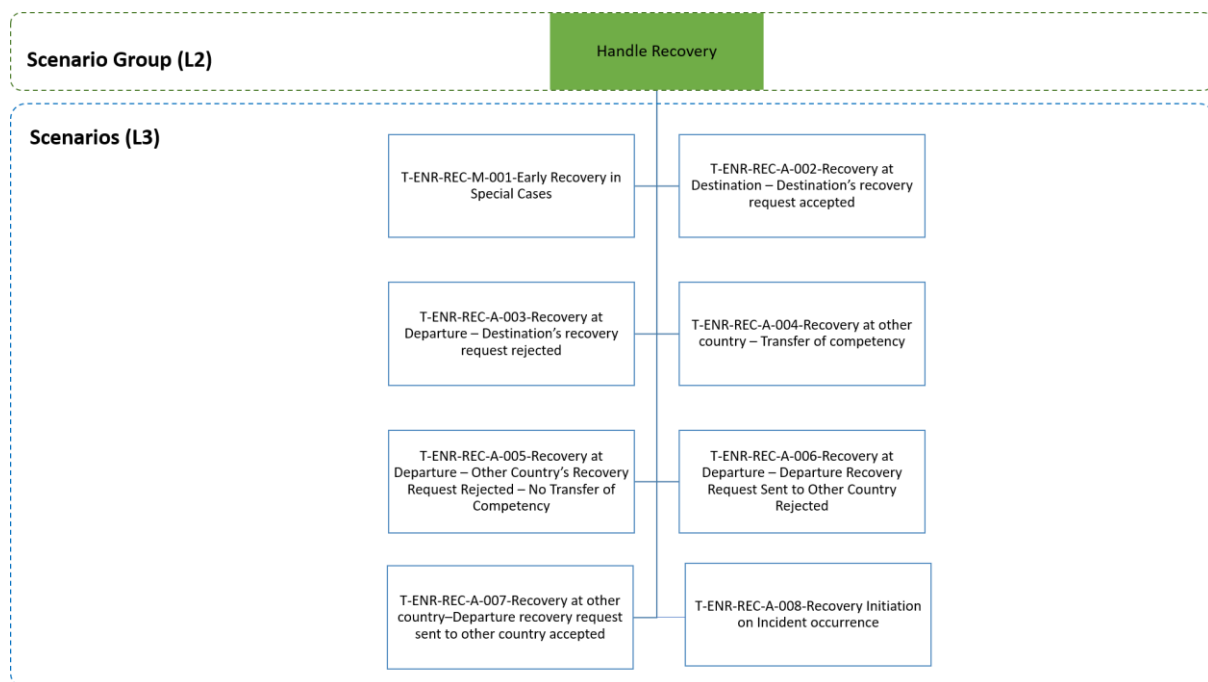


Figure 115: Handle Recovery scenarios

III.IV.2.2.1 T-ENR-REC-M-001-Early Recovery in Special Cases

This is a scenario that may occur when the Competent Authority of Recovery at Departure decides to start Recovery in special cases before the expiration of the master timer [T Recovery Recommended](#) and when no Country has sent the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure to request to perform Recovery.

These special cases may concern that major discrepancies have been received by the Office of Departure with the ‘Destination Control Results’ C_DES_CON (IE018) message (i.e. unsatisfactory control result code ‘B1’) that cannot be resolved (i.e. discrepancies cannot be justified by an error and beyond any doubt customs debt has been incurred), or due to the suspicion of fraud.

The case of the early initiation of the Recovery Procedure by the Competent Authority of Recovery at Departure due to the suspicion of fraud is examined in the present scenario.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The Office of Departure suspects fraud and manually updates the system to recommend recovery. The state of the movement at the Office of Departure is set to [Recovery recommended](#). The master timer [T Recovery Recommended](#) continues running (never stops until it expires or until the movement is closed or until recovery is initiated).

The Customs Officer at the Competent Authority of the Recovery at Departure decides to perform the Recovery at departure. The state of the movement at the Office of Departure is set to [Under recovery procedure](#). Consequently, the Competent Authority of Recovery at Departure initiates the Recovery by sending:

- **[Step 14]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 15]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Destination (declared and actual, if applicable);
- **[Step 16]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable.

NOTE: The ‘Recovery communication’ C_REC_COM (IE063) message is sent to the declared and actual offices in case diversion occurs in the transit movement upon the initiation of recovery.

[Step 17] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

[Step 18] The master timer [T Recovery Recommended](#) stops since Recovery is initiated.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#). Likewise, the state of the movement at the Office of Exit for Transit is set to [Under recovery procedure](#) the state of the movement at the Office of Transit is set to [Under recovery procedure](#) and the state of the movement at the Office of Destination is set to [Under recovery procedure](#).

The Competent Authority of Recovery at Departure completes Recovery and sends to those Offices that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 19]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Transit;
- **[Step 20]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Destination;
- **[Step 21]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Exit for Transit.

[Step 22] Finally, the ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). The state of the movement at the Office of Exit for Transit is set to [Recovery completed](#), the state of the movement at the Office of Transit is set to [Recovery completed](#) and the state of the movement at the Office of Destination is set to [Recovery completed](#).

The business process of the transit procedure ends here.

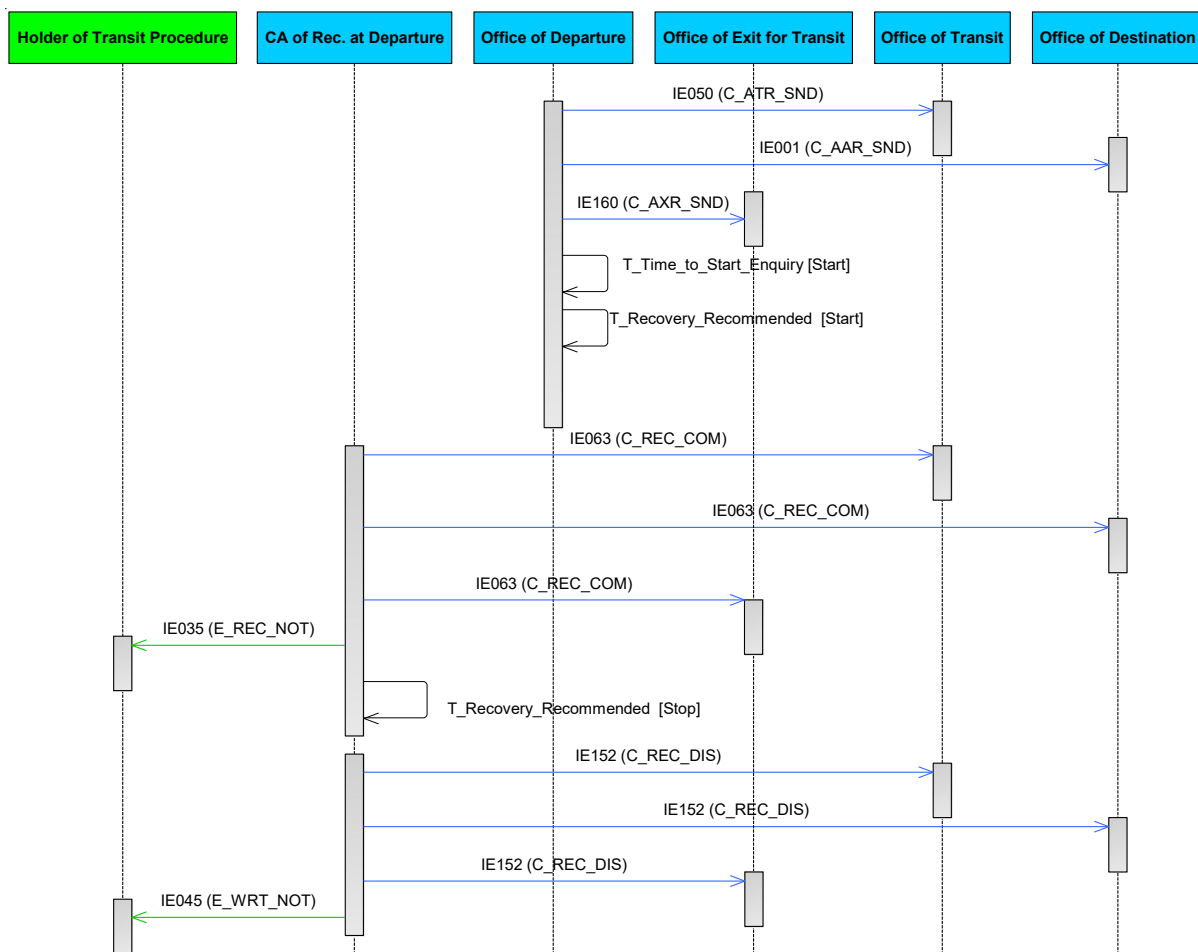


Figure 116: T-ENR-REC-M-001- Early Recovery in Special Cases

III.IV.2.2.2 T-ENR-REC-A-008-Recovery Initiation on Incident occurrence

This scenario shows what happens when the Competent Authority of Recovery at Departure decides to start Recovery due to the occurrence of incident(s) during the journey of the transit movement.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started. Moreover, this scenario assumes that an incident takes place during the journey of the movement. Therefore, please refer to any of the following scenarios for the continuation of the business flow from:

- [\[Step 13\]](#) of [T-TRA-INC-A-003-Office of incident registration allows transit movement to continue its journey](#); OR
- [\[Step 13\]](#) of [T-TRA-INC-A-002-Transit Movement does not continue-Office of Incident Registration becomes Actual Office of Destination](#).

[Step 13] The Office of Departure suspects fraud or any other irregularity and manually updates the system to recommend recovery. The state of the movement at the Office of Departure is set to [Recovery recommended](#). The master timer [T_Recovery_Recommended](#) continues running (never stops until it expires or until the movement is closed or until recovery is initiated).

The Customs Officer at the Competent Authority of the Recovery at Departure decides to perform the Recovery at departure. The state of the movement at the Office of Departure is set to [Under recovery procedure](#). Consequently, the Competent Authority of Recovery at Departure initiates the Recovery by sending:

- **[Step 14]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 15]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Destination (declared and actual, if applicable);
- **[Step 16]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable;
- **[Step 17]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Incident Registration that previously sent the ‘Incident Notification’ C_INC_NOT (IE180) message to the Office of Departure.

[Step 18] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

[Step 19] The master timer [T_Recovery_Recommended](#) stops since Recovery is initiated.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#). Likewise, the state of the movement at the Office of Exit for Transit is set to [Under recovery procedure](#), and the state of the movement at the Office of Transit is set to [Under recovery procedure](#). Furthermore, the state of the movement at the Office of Destination is set to [Under recovery procedure](#) and finally the state of the movement at the Office of Incident Registration is set to [Under recovery procedure](#).

The Competent Authority of Recovery at Departure completes Recovery and sends to those Offices that have previously received the 'Recovery Communication' C_REC_COM (IE063) message:

- **[Step 20]** The 'Recovery Dispatch Notification' C_REC_DIS (IE152) message to the Office(s) of Transit;
- **[Step 21]** The 'Recovery Dispatch Notification' C_REC_DIS (IE152) message to the Office(s) of Destination;
- **[Step 22]** The 'Recovery Dispatch Notification' C_REC_DIS (IE152) message to the Office(s) of Exit for Transit.
- **[Step 23]** The 'Recovery Dispatch Notification' C_REC_DIS (IE152) message to the Office(s) of Incident Registration.

[Step 24] Finally, the 'Write-off Notification' E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office(s) of Departure is set to [Movement written off](#). The state of the movement at the Office(s) of Exit for Transit is set to [Recovery completed](#), the state of the movement at the Office(s) of Transit is set to [Recovery completed](#), the state of the movement at the Office(s) of Destination is set to [Recovery completed](#) and the state of the movement at the Office(s) of Incident Registration is set to [Recovery completed](#).

The business process of the transit procedure ends here.

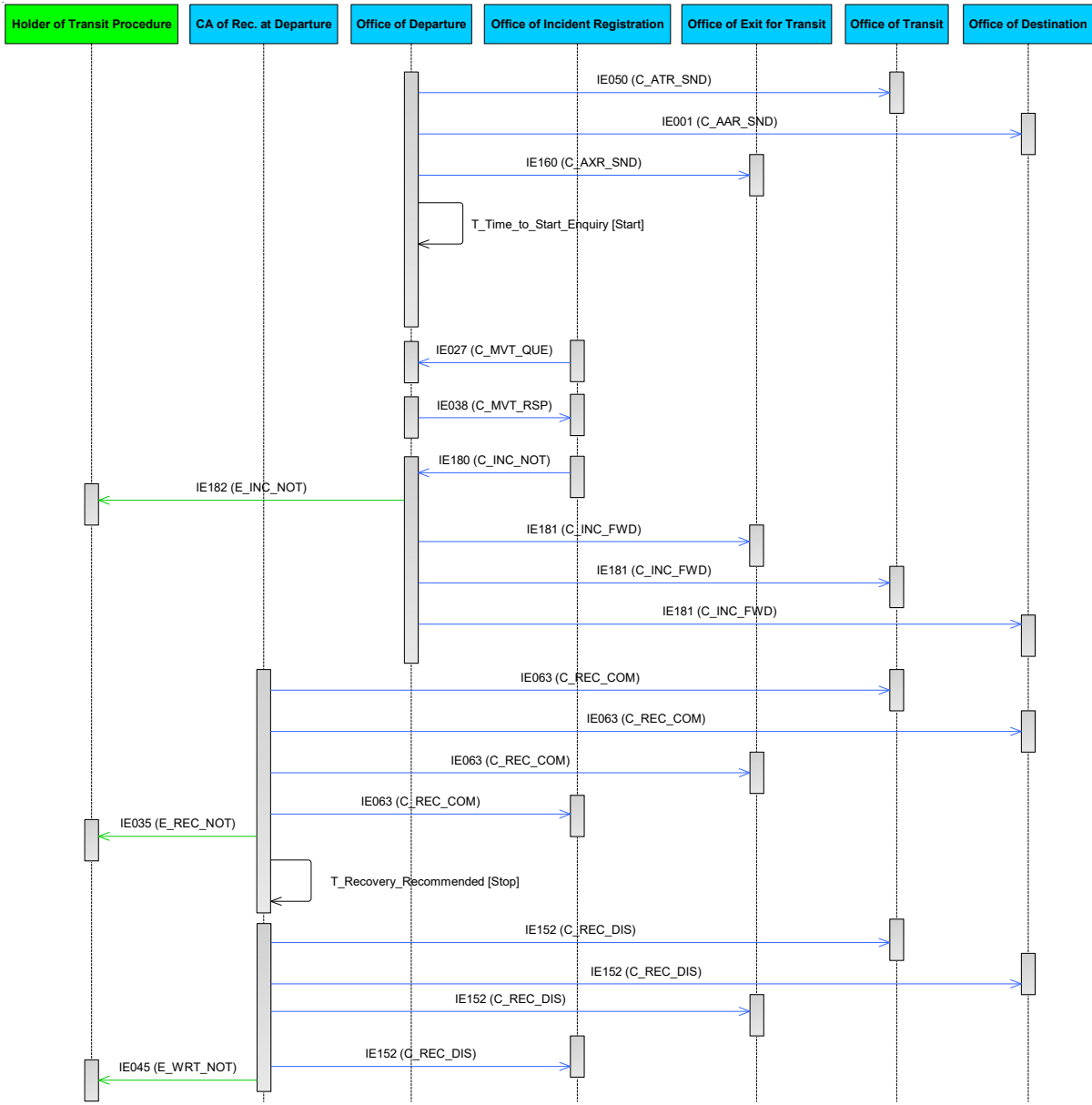


Figure 117: T-ENR-REC-A-008-Recovery Initiation on Incident occurrence

III.IV.2.2.3 T-ENR-REC-A-002-Recovery at Destination – Destination’s Recovery request accepted

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired and the Competent Authority of Enquiry at Departure has still received no information about the movement. Therefore, the Competent Authority of Enquiry at Departure sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination, which responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message having the value set to ‘4-Request for Recovery’.

The Competent Authority of Recovery at Departure decides to accept the request for Recovery received from Competent Authority of Recovery at Destination with the ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery acceptance’ is set to ‘1-Yes’). Upon dispatch of the ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message, the Competent Authority of Recovery at Departure sends the ‘Recovery Communication’ C_REC_COM (IE063) to inform all involved parties that Recovery has been initiated.

When Recovery is completed, the Competent Authority of Recovery at Destination notifies with the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message the Competent Authority of Recovery at Departure, which then forwards the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Countries that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message to inform them that Recovery has been completed.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The ‘Status Request’ C_STD_REQ (IE094) is sent to the Competent Authority of Enquiry at Destination. In the ‘Status Request’ C_STD_REQ (IE094), the state anterior to the Enquiry states (“Movement released”) is placed.

[Step 16] The Competent Authority of Enquiry at Destination replies with the message ‘Status Response’ C_STD_RSP (IE095) to the Competent Authority of Enquiry at Departure with its current status that does not confirm the arrival of the movement.

Due to the insufficient information about the movement, the Competent Authority of Enquiry at Departure initiates the Enquiry. Note that in the case that the Holder of the Transit Procedure is contacted, please refer to the scenario [T-ENR-ENQ-A-005-Sufficient information–Enquiry with movement unknown at Destination–Holder of the transit procedure](#) contacted). The state is set to [Under enquiry procedure](#).

[Step 17] The timer [T Notify IE140](#) stops since the Competent Authority of Enquiry at Departure decides how to proceed with the enquiry procedure.

[Step 18] The Competent Authority of Enquiry at Departure sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message. **[Step 19]** The timer [T_Wait_Enquiry_Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 40 days since they consider that they possess sufficient information to conduct enquiry).

[Step 20] The Office of Destination or the Competent Authority of Enquiry at Destination replies with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating ‘Request for Recovery’ (i.e. Response code ‘4 – Request Recovery’ in the ‘Enquiry Response’ C_ENQ_NEG (IE143) message). **[Step 21]** The timer [T_Wait_Enquiry_Response](#) stops. The state of the movement at the Office of Departure is set to [Recovery recommended](#). However, the master timer [T_Recovery_Recommended](#) continues running (never stops until it expires or until the movement is closed or until recovery is initiated).

[Step 22] The Competent Authority of Recovery at Departure decides to accept the Recovery request from the Competent Authority of Recovery at the Destination by replying with a positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) (i.e. ‘Recovery Acceptance’ is set to ‘1-Yes’). Additionally, the Competent Authority of Recovery at Departure sends:

- **[Step 23]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 24]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable.

[Step 25] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

[Step 26] The timer [T_Recovery_Recommended](#) stops since Recovery is initiated.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#) and the state of the movement at the Office of Destination is set to [Under recovery procedure](#). Upon reception of the ‘Recovery Communication’ C_REC_COM (IE063) message, the state:

- at the Office(s) of Exit for Transit is set to [Under recovery procedure](#);
- at the Office(s) of Transit is set to [Under recovery procedure](#).

[Step 27] The Competent Authority of Recovery at Destination completes the Recovery and sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Departure. The state of the movement at the Office of Destination is set to [Recovery completed](#). Subsequently, the Competent Authority of Recovery at Departure sends to those that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 28]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Transit;
- **[Step 29]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office(s) of Exit for Transit.

[Step 30] Finally, the ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). Upon reception of the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message, the state:

- at the Office(s) of Exit for Transit is set to [Recovery completed](#);
- at the Office(s) of Transit is set to [Recovery completed](#).

The business process of the transit procedure ends here.

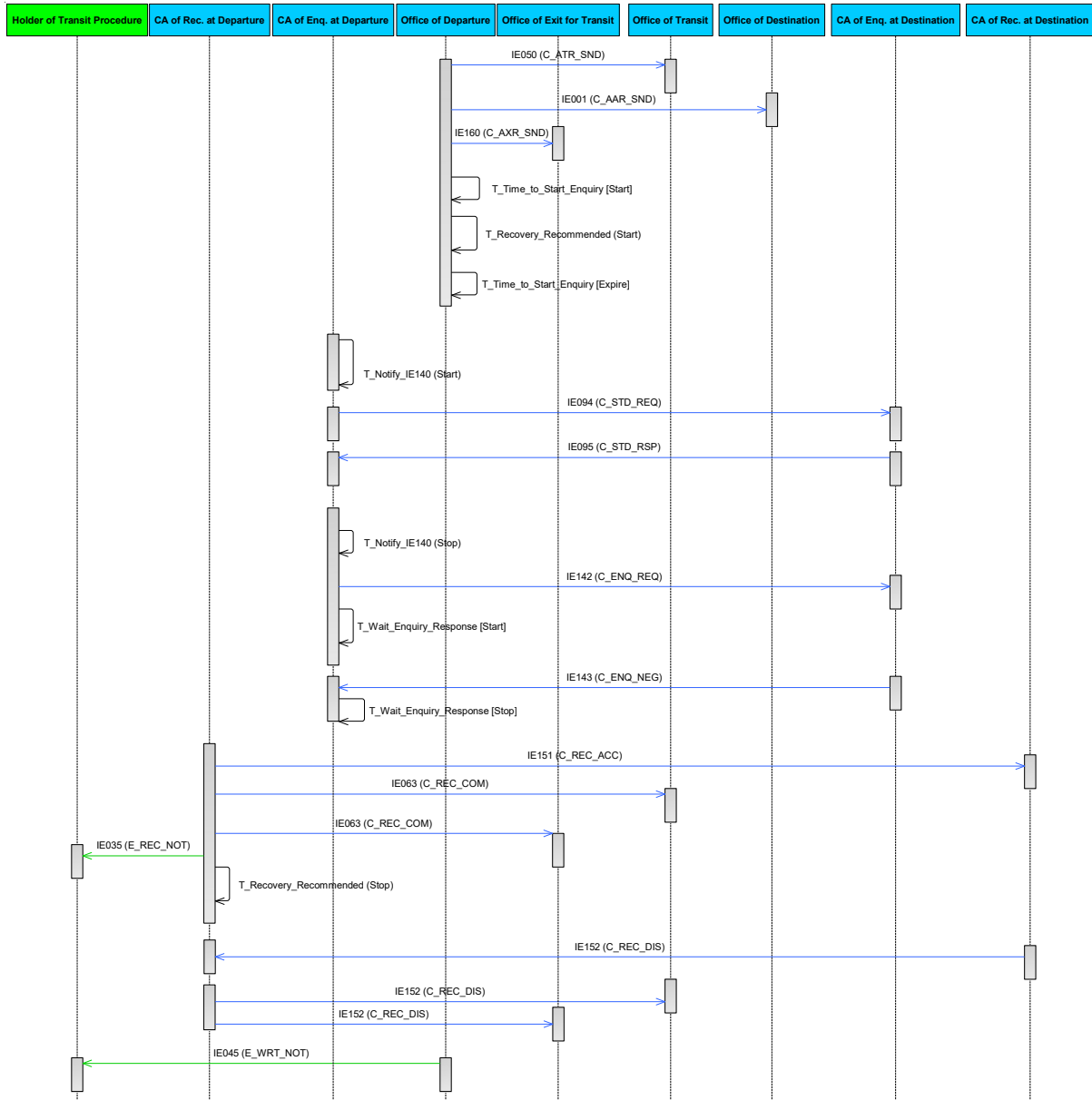


Figure 118: T-ENR-REC-A-002-Recovery at Destination – Destination’s Recovery request accepted

III.IV.2.2.4 T-ENR-REC-A-003-Recovery at Departure – Destination’s Recovery request rejected

This scenario shows what happens when the time limit for the reception of the ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has expired and the Competent Authority of Enquiry at Departure has still received no information about the movement. Therefore, it sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination, which responds with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message having the value set to ‘4-Request for Recovery’.

The Competent Authority of Recovery at Departure decides to reject the request for Recovery from the country of Destination with the ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery acceptance’ is set to ‘0-No’). This means that Recovery must be performed by departure. Then, the Competent Authority of Recovery at Departure sends the ‘Recovery Communication’ C_REC_COM (IE063) message to inform all involved countries that Recovery has been initiated.

When Recovery is completed, the message ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) is sent to the countries that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) to inform them that Recovery has been completed.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The timer [T Time to Start Enquiry](#) expires meaning that no ‘Arrival Advice’ C_ARR_ADV (IE006) or ‘Destination Control Results’ C_DES_CON (IE018) has been received yet. The state is set to [Enquiry recommended](#).

[Step 14] The timer [T Notify IE140](#) starts.

[Step 15] The Competent Authority of Enquiry sends the ‘Status Request’ C_STD_REQ (IE094) message to the Competent Authority of Enquiry at Destination.

[Step 16] In turn, the Competent Authority of Enquiry at Destination responds with the ‘Status Response’ C_STD_RSP (IE095) message to the Competent Authority of Enquiry at Departure.

In the ‘Status Request’ C_STD_REQ (IE094) message, the state anterior to the Enquiry states (“Movement Released” and “Arrived”) is placed. In this way, the Office of Destination will always know which of the messages, ‘Arrival Advice’ C_ARR_ADV (IE006) or/and ‘Destination Control Results’ C_DES_CON (IE018) needs to be sent to the Office of Departure.

[Step 17] Due to the insufficient information about the movement, the Competent Authority of Enquiry at Departure initiates Enquiry and the timer [T Notify IE140](#) stops. The state is set to [Under enquiry procedure](#).

[Step 18] The Competent Authority of Enquiry at Departure sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message. **[Step 19]** The timer [T Wait Enquiry Response](#) starts (i.e. the Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be 40 days since they consider that they possess sufficient information to conduct enquiry).

[Step 20] The Office of Destination or the Competent Authority of Enquiry at Destination replies with the ‘Enquiry Response’ C_ENQ_NEG (IE143) message having the value ‘4-Request for Recovery’. **[Step 21]** The timer [T_Wait Enquiry Response](#) stops. The state is set to [Recovery recommended](#). The master timer [T_Recovery Recommended](#) continues running (never stops until it expires or until the movement is closed or until recovery is initiated).

[Step 22] The Competent Authority of Recovery at Departure decides to reject the Recovery request from destination by replying to it with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to ‘No’). Therefore, Recovery must be performed at Departure.

Upon initiation of Recovery, the Competent Authority of Recovery at Departure sends:

- **[Step 23]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 24]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable;
- **[Step 25]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Destination (declared and actual, if applicable).

[Step 26] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

[Step 27] The timer [T_Recovery Recommended](#) stops since Recovery is initiated.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#).

Upon reception of the ‘Recovery Communication’ C_REC_COM (IE063) message, the state:

- at the Office of Exit for Transit is set to [Under recovery procedure](#);
- at the Office of Transit is set to [Under recovery procedure](#);
- at the Office of Destination is set to [Under recovery procedure](#).

The Competent Authority of Recovery at Departure completes Recovery and sends to those that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 28]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Transit;
- **[Step 29]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Destination;
- **[Step 30]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Exit for Transit.

[Step 31] Finally, the ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). Upon reception of the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message, the state:

- at the Office of Exit for Transit is set to [Recovery completed](#);

- at the Office of Transit is set to [Recovery completed](#);
- at the Office of Destination is set to [Recovery completed](#).

The business process of the transit procedure ends.

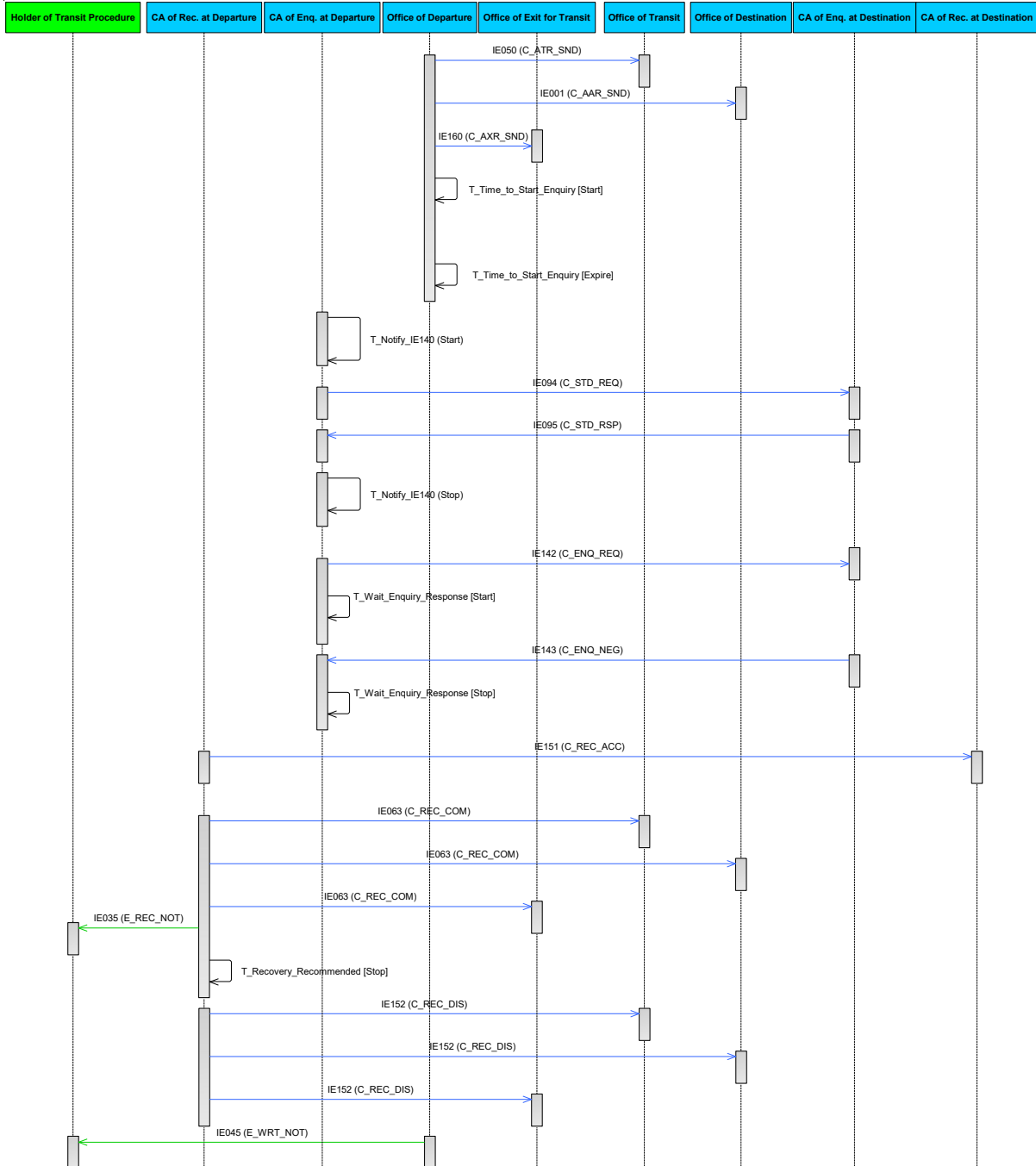


Figure 119: T-ENR-REC-A-003-Recovery at Departure – Destination’s Recovery request rejected

III.IV.2.2.5 *T-ENR-REC-A-004-Recovery at other country – Transfer of competency*

The Competent Authority of Recovery in other Country, based on the information it has, assumes itself responsible for Recovery. Therefore, it requests to perform Recovery by sending the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure. The Competent Authority of Recovery at Departure decides that the Competent Authority of Recovery in other Country is responsible for Recovery and sends it the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to “Yes”), as well as informs all the involved parties, about the initiation of Recovery by sending the message ‘Recovery Communication’ C_REC_COM (IE063) and the Holder of the Transit Procedure by sending the ‘Recovery Notification’ E_REC_NOT (IE035) message.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The Competent Authority of Recovery at other Country, based on the information it has, assumes itself responsible for Recovery, and thus sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure.

[Step 14] Upon reception of the ‘Recovery Request’ C_REC_REQ (IE150) message by Departure, the timer [T Time to Start Enquiry](#) stops. The state is set to [Recovery recommended](#). The master timer [T Recovery Recommended](#) continues running (never stops until it expires or until the movement is closed or until recovery is initiated).

[Step 15] The Competent Authority of Recovery at Departure decides to accept the Recovery request from other country by replying to it with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to ‘Yes’).

After this, the Competent Authority of Recovery at Departure also sends:

- **[Step 16]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 17]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Destination (declared and actual, if applicable);
- **[Step 18]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable.

[Step 19] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

[Step 20] The timer [T Recovery Recommended](#) also stops since Recovery is initiated.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#).

Upon reception of the ‘Recovery Communication’ C_REC_COM (IE063) message, the state:

- at the Office of Exit for Transit is set to [Under recovery procedure](#);
- at the Office of Transit is set to [Under recovery procedure](#);
- at the Office of Destination is set to [Under recovery procedure](#).

[Step 21] The Competent Authority of Recovery at Other Country completes Recovery and sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Departure.

Subsequently, the Competent Authority of Recovery at Departure sends to those that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 22]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Transit;
- **[Step 23]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Destination;
- **[Step 24]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Exit for Transit.

[Step 25] Finally, the Office of Departure sends the ‘Write-off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). Upon reception of the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message, the state:

- at the Office of Exit for Transit is set to [Recovery completed](#);
- at the Office of Transit is set to [Recovery completed](#);
- at the Office of Destination is set to [Recovery completed](#).

The business process of the transit procedure ends here.

NOTE: A non-involved country into the transit movement can retrieve the transit record by exchanging the ‘Movement Query’ C_MVT_QUE (IE027) / ‘Response to Movement Query’ C_MVT_RSP (IE038) messages with the Office of Departure.

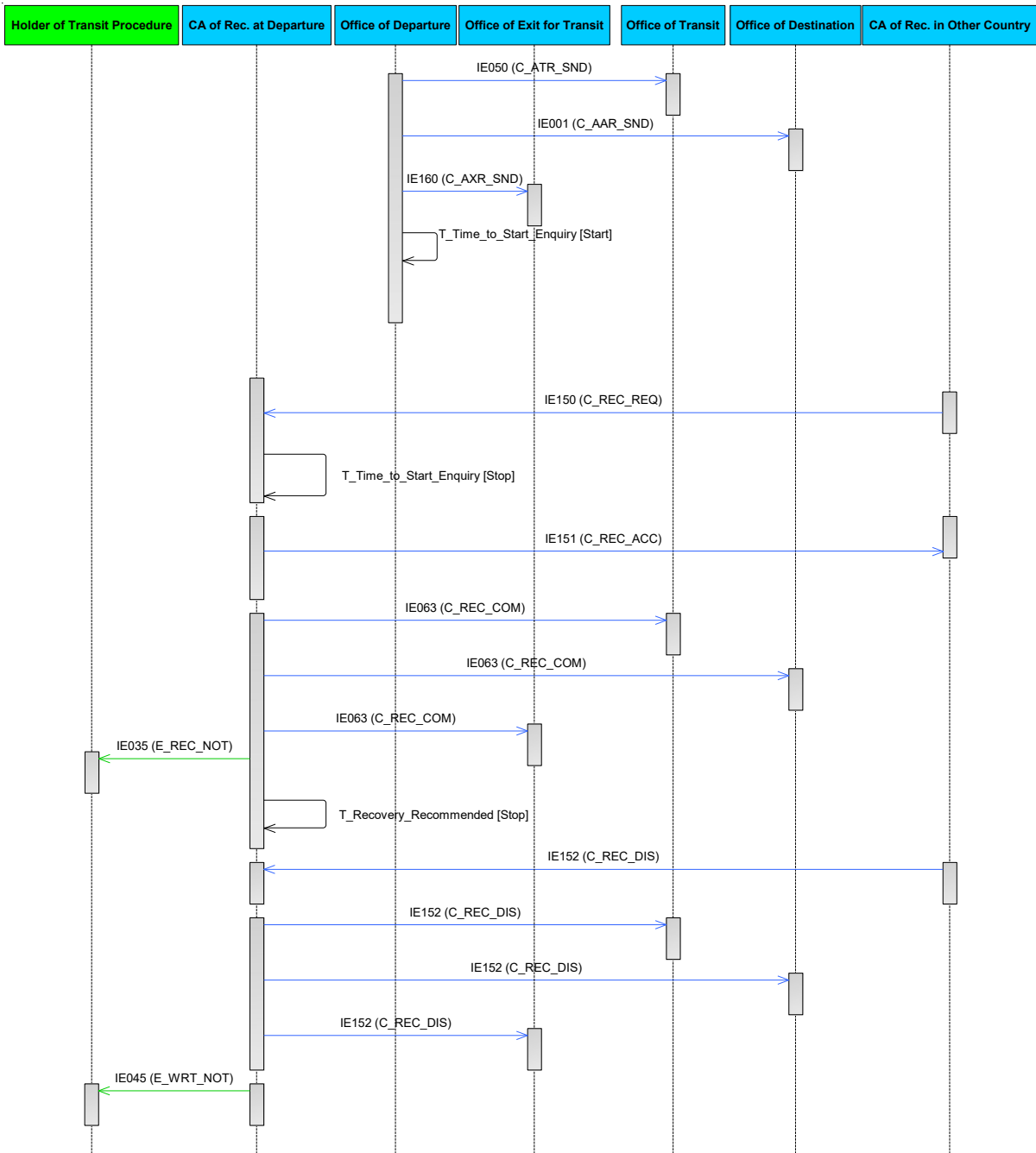


Figure 120: T-ENR-REC-A-004-Recovery at other country-Transfer of competency

III.IV.2.2.6 T-ENR-REC-A-005-Recovery at Departure – Other Country’s Recovery Request Rejected – No Transfer of Competency

The Competent Authority of Recovery in other Country, based on the information it has, assumes itself responsible for Recovery. Therefore, it requests to perform Recovery by sending the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure.

This scenario shows what happens when the Competent Authority of Recovery at Departure decides that the Competent Authority of Recovery in other Country is not responsible for Recovery and sends it the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to “No”).

Since the Competent Authority of Recovery at Departure rejected the Recovery Request of the other Country, Recovery must be performed by departure. Therefore, the Competent Authority of Recovery at Departure informs all the involved parties, about the Recovery by sending the message ‘Recovery Communication’ C_REC_COM (IE063) and also informs the Holder of the Transit Procedure by sending the ‘Recovery Notification’ E_REC_NOT (IE035) message.

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The Competent Authority of Recovery at other Country, based on the information it has, assumes itself responsible for Recovery, and requests competency for Recovery by sending the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure.

[Step 14] Upon reception of the ‘Recovery Request’ C_REC_REQ (IE150) message by Departure, the timer [T Time to Start Enquiry](#) stops. The state is set to [Recovery recommended](#). The master timer [T Recovery Recommended](#) continues running (never stops until it expires or until the movement is closed or until recovery is initiated).

[Step 15] The Competent Authority of Recovery at Departure decides to reject the Recovery request from other country by replying to it with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to ‘No’). In that case, Recovery must be performed by Departure.

The Competent Authority of Recovery at Departure sends:

- **[Step 16]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 17]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Destination (declared and actual, if applicable);
- **[Step 18]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable.

[Step 19] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

[Step 20] The timer [T Recovery Recommended](#) also stops.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#).

Upon reception of the ‘Recovery Communication’ C_REC_COM (IE063) message, the state:

- at the Office of Exit for Transit is set to [Under recovery procedure](#);
- at the Office of Transit is set to [Under recovery procedure](#);
- at the Office of Destination is set to [Under recovery procedure](#).

The Competent Authority of Recovery at Departure completes Recovery and sends to those that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 21]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Transit;
- **[Step 22]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Destination;
- **[Step 23]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Exit for Transit.

[Step 24] Finally, the Office of Departure sends the ‘Write-off Notification’ E_WRT_NOT (IE045) message to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). Upon reception of the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message, the state:

- at the Office of Exit for Transit is set to [Recovery completed](#);
- at the Office of Transit is set to [Recovery completed](#);
- at the Office of Destination is set to [Recovery completed](#).
- at the Office of Destination is set to [Recovery completed](#).

The business process of the transit procedure ends here.

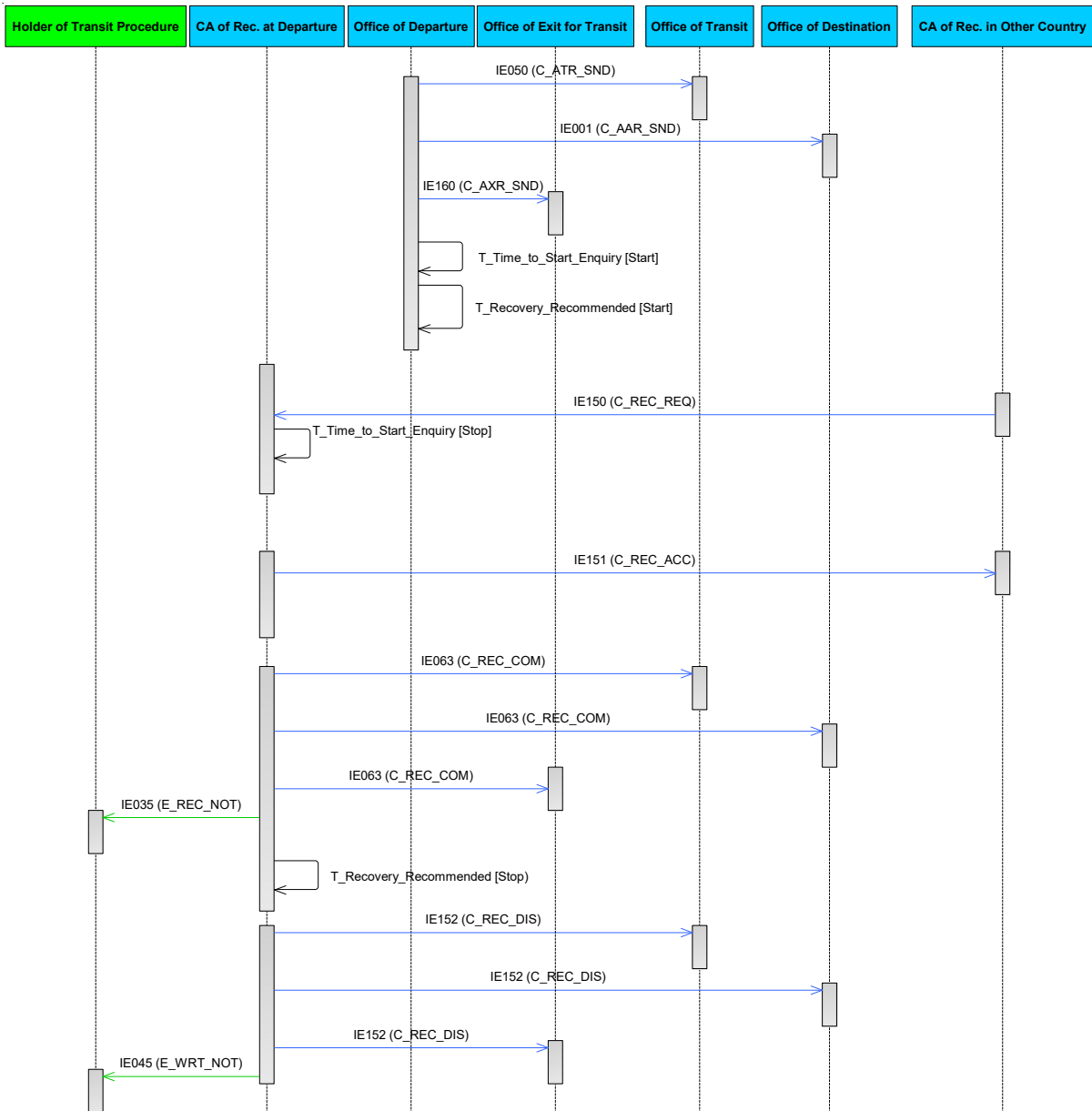


Figure 121: T-ENR-REC-A-005-Recovery at Departure – Other Country’s Recovery Request Rejected – No Transfer of Competency

III.IV.2.2.7 T-ENR-REC-A-006-Recovery at Departure – Departure Recovery Request Sent to Other Country Rejected

This scenario shows what happens when the master timer [T_Recovery_Recommended](#) expires and since Recovery must be started, the Competent Authority of Recovery at Departure decides that the Competent Authority of Recovery in another Country is responsible for Recovery and sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at the Other Country.

However, the Other Country replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to “No”) as it does not consider itself responsible to perform Recovery. In that case, Recovery must be performed by departure.

Subsequently, the Competent Authority of Recovery at Departure informs all the involved parties, about the initiation of Recovery by sending the message ‘Recovery Communication’ C_REC_COM (IE063) and also informs the Holder of the Transit Procedure by sending the ‘Recovery Notification’ E_REC_NOT (IE035).

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The master timer [T_Recovery_Recommended](#) expires and that means Recovery must be performed. The state at the Office of Departure is set to [Recovery recommended](#).

[Step 14] The Competent Authority of Recovery at Departure, based on the information it has, assumes that another Country is responsible for Recovery, and sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at the Other Country.

[Step 15] The timer [T_Await_Recovery_Acceptance_Notif](#) starts.

[Step 16] The Competent Authority of Recovery at Other Country decides that it is not competent for Recovery and rejects the Recovery request from departure by replying to it with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to ‘No’).

[Step 17] Upon reception of the ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message at Departure, the timer [T_Await_Recovery_Acceptance_Notif](#) stops.

Due to the above result, Recovery must be performed by the Competent Authority of Recovery at Departure. Therefore, the Competent Authority of Recovery at Departure initiates Recovery and sends:

- **[Step 18]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 19]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Destination (declared and actual, if applicable);
- **[Step 20]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable.

[Step 21] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#).

Upon reception of the ‘Recovery Communication’ C_REC_COM (IE063) message, the state:

- at the Office of Exit for Transit is set to [Under recovery procedure](#);
- at the Office of Transit is set to [Under recovery procedure](#);
- at the Office of Destination is set to [Under recovery procedure](#).

The Competent Authority of Recovery at Departure completes Recovery and sends to those that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 22]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Transit;
- **[Step 23]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Destination;
- **[Step 24]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Exit for Transit.

[Step 25] Finally, the ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). Upon reception of the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message, the state:

- at the Office of Exit for Transit is set to [Recovery completed](#);
- at the Office of Transit is set to [Recovery completed](#);
- at the Office of Destination is set to [Recovery completed](#).

The business process of the transit procedure ends here.

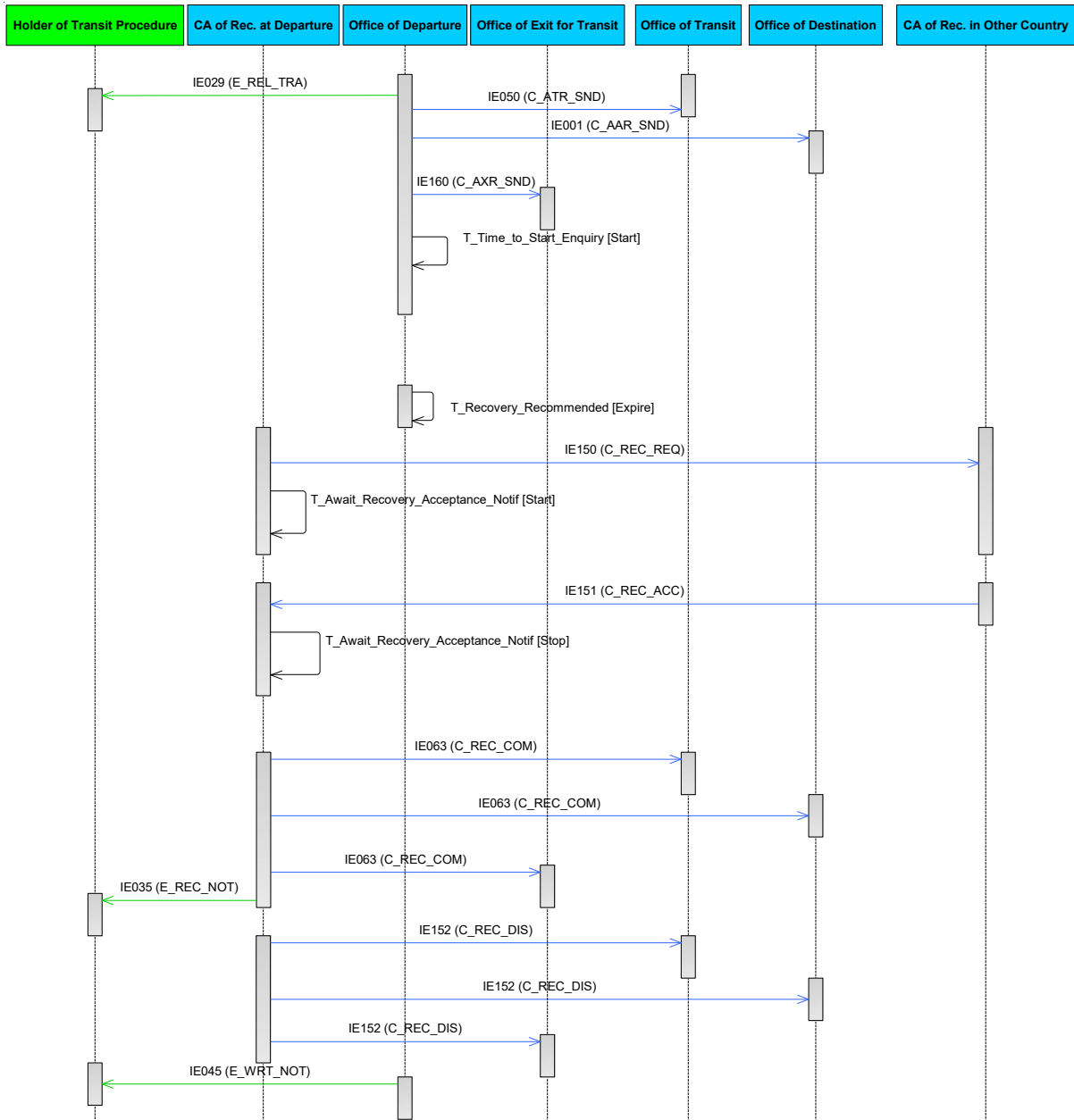


Figure 122: T-ENR-REC-A-006-Recovery at Departure – Departure Recovery Request Sent to Other Country Rejected

III.IV.2.2.8 T-ENR-REC-A-007-Recovery at other country–Departure Recovery request sent to other country accepted

This scenario shows what happens when the Competent Authority of Recovery at Departure decides that the Competent Authority of Recovery in other Country is competent for Recovery and sends it the ‘Recovery Request’ C_REC_REQ (IE150) message. The Other Country replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to “Yes”). Therefore, the Competent Authority of Recovery at Departure informs all the involved parties, about the Recovery by sending the message ‘Recovery Communication’ C_REC_COM (IE063). The Competent Authority of Recovery at Departure also informs the Holder of the Transit Procedure by sending the ‘Recovery Notification’ E_REC_NOT (IE035).

The process continues from [\[Step 12\]](#) of [T-TRA-CFL-M-001-Standard Transit Procedure \(overview\)](#), when the movement has been released for transit and the relevant timers are started.

[Step 13] The Competent Authority of Recovery at Departure, based on the information it has, assumes that the Other Country is responsible for Recovery, and requests competency for Recovery by sending the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at the Other Country. **[Step 14]** The timer [T_Await_Recovery_Acceptance_Notif](#) starts. The state is set to [Recovery recommended](#).

[Step 15] The Competent Authority of Recovery at Other Country decides that it is competent for Recovery and accepts the Recovery request from departure by replying to it with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message (i.e. ‘Recovery Acceptance’ is set to ‘Yes’).

[Step 16] Upon reception of the ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message at Departure, the timer [T_Await_Recovery_Acceptance_Notif](#) stops.

The Competent Authority of Recovery at Departure sends:

- **[Step 17]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Transit (declared and/or actual), if applicable;
- **[Step 18]** The ‘Recovery communication’ C_REC_COM (IE063) message to the Office(s) of Destination (declared and actual, if applicable);
- **[Step 19]** The ‘Recovery communication’ C_REC_COM (IE063) message to the (various) Office(s) of Exit for Transit (declared and/or actual), if applicable.

[Step 20] Additionally, the Holder of the Transit Procedure is notified with the ‘Recovery Notification’ E_REC_NOT (IE035) message.

The state of the movement at the Competent Authority of Recovery at Departure is set to [Under recovery procedure](#).

Upon reception of the ‘Recovery Communication’ C_REC_COM (IE063) message, the state:

- at the Office of Exit for Transit is set to [Under recovery procedure](#);
- at the Office of Transit is set to [Under recovery procedure](#);
- at the Office of Destination is set to [Under recovery procedure](#).

[Step 21] The Competent Authority at the Other Country completes Recovery and sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) to the Office of Departure. Subsequently, the Competent Authority of Recovery at Departure sends to those that have previously received the ‘Recovery Communication’ C_REC_COM (IE063) message:

- **[Step 22]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Transit;
- **[Step 23]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Destination;
- **[Step 24]** The ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Office of Exit for Transit.

[Step 25] Finally, the ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure.

The state of the movement at the Office of Departure is set to [Movement written off](#). Upon reception of the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message, the state:

- at the Office of Exit for Transit is set to [Recovery completed](#);
- at the Office of Transit is set to [Recovery completed](#);
- at the Office of Destination is set to [Recovery completed](#).

The business process of the transit procedure ends here.

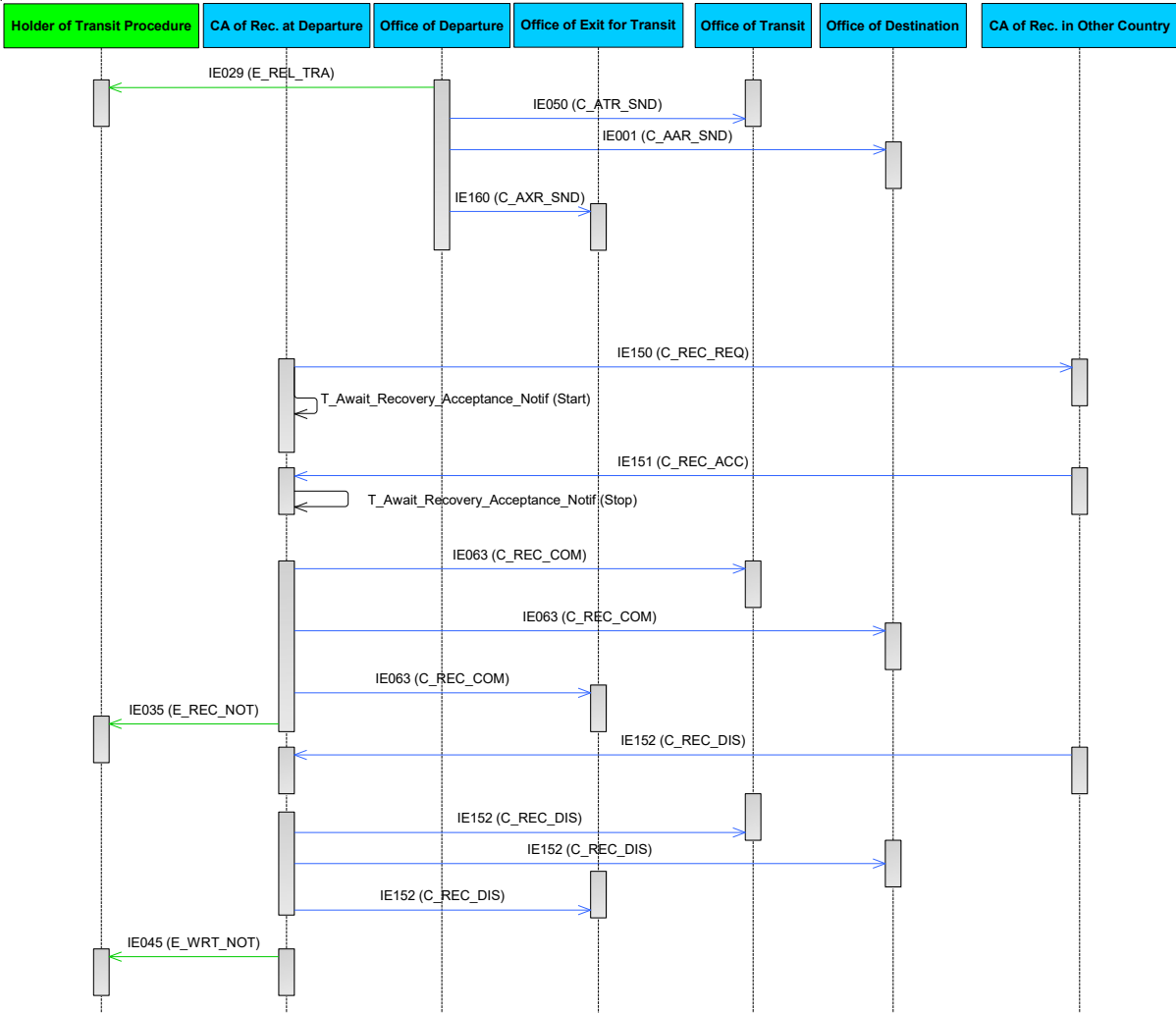


Figure 123: T-ENR-REC-A-007-Recovery at other country–Departure Recovery request sent to other country accepted

III.V State Transition Diagrams

This sub-section contains the State Transition Diagrams of all “Core Business” operations together with the ones of the “Handle Enquiry” and “Handle Recovery”. Any Transit Application should, in principle, be capable of maintaining the mandatory roles of Office of Departure, Office of Transit, Office of Incident Registration, Office of Exit for 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:
 - Interacting with Holder of the Transit Procedure;
 - Interacting with Office of Transit;
 - Interacting with Office of Exit for Transit;
 - Interacting with Office of Destination;
 - Interacting with Office of Incident Registration;
 - Interacting with Other Office for diversion purposes;
 - Interacting with Office of Guarantee.
- When acting as Office of Transit:
 - Interacting with Office of Departure.
- When acting as Office of Exit for Transit:
 - Interacting with Office of Departure.
- When acting as Office of Incident Registration:
 - Interacting with Office of Departure.
- When acting as Office of Destination:
 - Interacting with Trader at Destination;
 - Interacting with Office of Departure.

The following approach has been followed for the State Transition Diagrams:

- 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 Holder of the Transit Procedure 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 Exit for Transit, Office of Transit, Office of Incident Registration and Holder of the Transit Procedure after the release of the movement), the third to contain the state transitions for the Recovery at Departure.
- Combination of the State Transition Diagrams for Office of Destination into 2 State Transition Diagrams: one to contain the state transitions with Recovery and the second – without Recovery states.
- Combination of the State Transition Diagrams for Office of Transit into 2 State Transition Diagrams: one to contain the state transitions with Recovery and the second – without Recovery states.
- A single State Transition Diagram for Office of Exit for Transit.
- A single State Transition Diagram for Office of Incident Registration.
- A single State Transition Diagram for Other Country.

- The State Transition Diagrams do not include invalidation/cancellation states in order not to overload them. State Transition Diagrams for invalidation/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, as these can, in principle, happen in any state.

III.V.1 Office of Departure STD

III.V.1.1 Office of Departure (until movement release)

The State Transition Diagram below shows the interaction between the Office of Departure, the Holder of the Transit Procedure, and the Office of Guarantee up to the moment of the release of the goods.

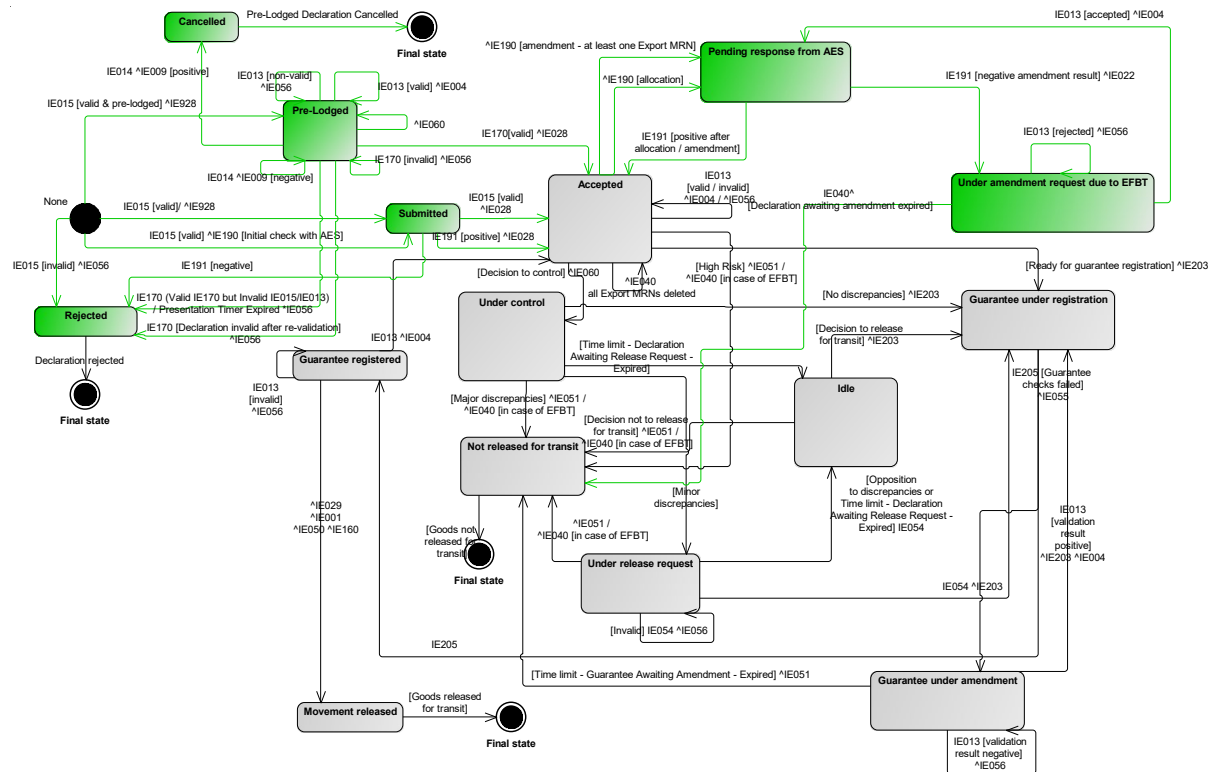


Figure 124: State Transition Diagram for Office of Departure (until release of movement)

Any movement is initiated at the Office of Departure through the receipt of the ‘Declaration Data’ E_DEC_DAT (IE015), received from the Holder of the Transit Procedure. Rejected declarations do not have any meaning in Transit. A ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message is sent back to the Holder of the Transit Procedure and the movement status is set to “Rejected” (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

The movement status is set to “Rejected” in case of:

- valid ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message but failure to validate the latest Declaration Data (e.g. Reference Data validation); or
- upon expiration of the timer “Awaiting Presentation Notification” an invalid or no ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message has been received from the Holder of the Transit Procedure yet.

For each ‘Declaration Data’ E_DEC_DAT (IE015) that is syntactically and semantically valid, the message ‘Positive Acknowledge’ E_POS_ACK (IE928) is sent to the Holder of the Transit Procedure and:

- if the ‘Declaration Data’ E_DEC_DAT (IE015) is a pre-lodged declaration, the movement status is set to “Pre-Lodged”;
 - For the movement in status “Pre-Lodged”, and following the risk analysis, the Office of Departure may intend to control the transit movement. For this reason, the Office of Departure notifies the Holder of the Transit Procedure (provided that they are an AEO) about the ‘intention to control’ with the ‘Control Decision Notification’ E_CTR_DEC (IE060) message (having the data element TRANSIT OPERATION-Notification type = ‘2-Intention to Control’). The state remains “Pre-Lodged”;

Upon reception of the ‘Presentation Notification for the Pre-Lodged Declaration’ E_PRE_NOT (IE170) message from the Holder of the Transit Procedure, the ‘MRN Allocated’ E_MRN_ALL (IE028) message is sent back to the Holder of the Transit Procedure and the movement status is set to “Accepted”.

The Holder of the Transit Procedure has the right to correct the pre-lodged transit declaration multiple times while the timer “Awaiting Presentation Notification” is still running. For this reason, the Holder of the Transit Procedure sends the ‘Declaration amendment’ E_DEC_AMD (IE013) message. The ‘Amendment acceptance’ E_AMD_ACC (IE004) message is sent back to acknowledge the valid amendment to the Holder of the Transit Procedure or the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message is sent back to notify about the invalid amendment (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes). In all cases, the movement status remains as “Pre-Lodged”.

The Holder of the Transit Procedure has the right to cancel the pre-lodged transit declaration while the timer “Awaiting Presentation Notification” is still running. For this reason, the Holder of the Transit Procedure sends the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) message. The ‘Invalidation Decision’ E_INV_DEC (IE009) message is sent back to Holder of the Transit Procedure. If it is positive the movement status is set to “Cancelled”, otherwise if it is negative the movement status remains “Pre-Lodged”.

In case the transit declaration is valid (all pre-validation checks are completed) and contains Export MRNs in its previous documents, then the ‘Transit Presentation Notification’ N_XFT_REQ (IE190) message is sent to AES (Office of Exit) as an initial check to verify these Export MRNs. While an answer is expected from AES, the movement status is set to “Submitted”. If positive ‘Transit Presentation Notification Response’ N_XFT_RSP (IE191) is returned from AES, the movement status is set to “Accepted”, otherwise if a negative ‘Transit

Presentation Notification Response' N_XFT_RSP (IE191) is returned from AES, the movement status is set to "Rejected".

Upon reception of the positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message, the Office of Departure accepts the transit declaration and communicates the MRN to the Holder of the Transit Procedure with the 'MRN Allocated' E_MRN_ALL (IE028) message. The second 'Transit Presentation Notification' N_XFT_REQ (IE190) message is sent to AES (Office of Exit) to allocate the Export MRNs. While an answer is expected from AES, the movement status is set to "Pending response from AES". If again a positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is returned from AES, the movement status is set back to "Accepted". Otherwise, if a negative 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is returned from AES, the movement status is set to "Under amendment request due to EFBT" and the 'Notification to amend declaration' E_AMD_NOT (IE022) is sent to the Holder of the Transit Procedure requiring to submit a 'Declaration Amendment' E_DEC_AMD (IE013) message to modify the transit declaration (i.e. correct the problematic Export MRNs). Additionally, the [T_Declaration_Awaiting_Amendment_Export](#) timer is started to set the deadline for the reception of the 'Declaration Amendment' E_DEC_AMD (IE013) message from the Holder of the Transit Procedure to remove the problematic Export MRNs. However, in case the [T_Declaration_Awaiting_Amendment_Export](#) timer expires and no 'Declaration Amendment' E_DEC_AMD (IE013) message has been received, the status of the movement is set to "Not released for Transit". Additionally, the 'Transit Invalidation Notification to AES' N_INV_TRA (IE040) message is sent to the Office of Exit and the 'No Release for Transit' E_REL_NOT (IE051) message is sent to the Holder of the Transit Procedure.

When the movement status is "Accepted", the Office of Departure can then proceed as follows:

- The Office of Departure receives a valid or invalid (Syntax or R/Cs) 'Declaration Amendment' E_DEC_AMD (IE013) message from the Holder of the Transit Procedure. The status of the movement remains 'Accepted';
- A decision for control means that the 'Control Decision Notification' E_CTR_DEC (IE060) message (having the data element TRANSIT OPERATION-Notification type = '0-Decision to Control (and requested documents if needed)') is sent to the Holder of the Transit Procedure, and the status will be set to "Under control".
- A decision for no control on goods and/or documents means that the declared guarantees (maintained in GMS) are prepared for guarantee registration by sending the 'Guarantee Use' C_GUA_USE (IE203) to the responsible Office of Guarantee. In that case, the state of the Transit Operation is set to "Guarantee under registration".

An amendment to the transit declaration can be sent by the Holder of the Transit Procedure, while the status of the movement is any of "Accepted", "Guarantee registered". For the Export followed by Transit scenarios, the Holder of the Transit Procedure is required to send an amendment request when a negative response is returned from AES with the 'Transit Presentation Notification Response' N_XFT_RSP (IE191) message. In that case, the status is set to "Under amendment request due to EFBT" (meaning that an invalid declaration amendment has previously been sent to AES and the Holder of the Transit Procedure is notified to submit a new amendment request). In all other statuses, any amendment requests sent by the Holder of the Transit Procedure are automatically rejected with the 'Rejection from Office of Departure' E_DEP_REJ (IE056) message and the status is reverted to the previous one (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes).

After the acceptance of the transit declaration that contains Export MRNs in its previous documents (under the House Consignment level), a valid 'Declaration amendment' E_DEC_AMD (IE013) message is sent by the Holder of the Transit Procedure where at least one (1) Export MRN is present. The 'Amendment acceptance' E_AMD_ACC (IE004) message is sent and then the 'Transit Presentation Notification' N_XFT_REQ (IE190) message is sent to AES (Office of Exit) for validation. While an answer is expected from AES, the movement status is set to "Pending response from AES". If positive 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is returned from AES, the movement status is set back to "Accepted", otherwise if negative 'Transit Presentation Notification Response' N_XFT_RSP (IE191) is returned from AES, the message 'Notification to Amend Declaration' E_AMD_NOT (IE022) is sent to the Holder of the Transit Procedure and the movement status is set "Under amendment request due to EFBT". The transit declaration remains under this status until a valid 'Declaration Amendment' E_DEC_AMD (IE013) message is received from the Holder of the Transit Procedure. The process repeats by sending the 'Amendment acceptance' E_AMD_ACC (IE004) message to the Holder of the Transit Procedure and the 'Transit Presentation Notification' N_XFT_REQ (IE190) message to AES (Office of Exit).

However, it is also possible that after the acceptance of the transit declaration that contains Export MRNs in its previous documents (under the House Consignment level), a valid 'Declaration amendment' E_DEC_AMD (IE013) message is sent by the Holder of the Transit Procedure where all Export MRNs are deleted. The 'Amendment acceptance' E_AMD_ACC (IE004) message is sent and then the 'Transit Invalidation Notification to AES' N_INV_TRA (IE040) message is sent to AES (Office of Exit) to de-allocate all Export MRNs. The process continues normally without having Export MRNs as previous procedure and the state remains Accepted.

While the movement is "Under control", control has been performed and finished. The registration of control results may take place with the 'Departure Control Results' N_DEP_CON (IE017) message. Different cases apply next:

- In case no discrepancies are found during control, the movement is ready for guarantee registration by sending the 'Guarantee Use' C_GUA_USE (IE203) message to the responsible Office(s) of Guarantee. The status becomes "Guarantee under registration";
- In case major discrepancies are found during control, a 'No Release for Transit' E_REL_NOT (IE051) message is sent to the Holder of the Transit Procedure and the status becomes "Not released for Transit". In case of Export followed by Transit, the Office of Departure sends the 'Transit Invalidation Notification to AES' N_INV_TRA (IE040) message to the Office of Exit.
- In case minor discrepancies are found during control, and the Holder of the Transit Procedure has not yet sent their advice on minor revisions. The status will be set to "Under release request".
- In case minor discrepancies are found during control, and the Holder of the Transit Procedure has communicated advice on minor revisions by making no opposition (accepted the revisions), the status becomes "Guarantee under registration".
- In case minor discrepancies are found during control, and the Holder of the Transit Procedure made opposition (did not accept the revisions), the status becomes "Idle".

While the status of the movement is 'Idle', the Office of Departure needs to decide whether to release or not to release the movement. Upon positive release decision, the movement status becomes "Guarantee under registration", otherwise upon negative release decision the movement status becomes "Not released for Transit" and in case of Export followed by Transit,

the Office of Departure sends the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040) message to the Office of Exit.

While the movement is under the status “Guarantee under registration”, the following cases apply:

- When one of the checks of the registration of the guarantee usage failed, the Holder of the Transit Procedure is notified with the ‘Guarantee Not Valid’ E_GUA_INV (IE055) message 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 becomes “Guarantee registered”.

While the movement is under the status “Guarantee under amendment”, the following cases apply:

- When the Office of Departure receives an invalid ‘Declaration Amendment’ E_DEC_AMD (IE013) message, e.g. ‘Declaration Amendment’ E_DEC_AMD (IE013) contains other amended data than the guarantee details, it is rejected and the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message is sent to the Holder of the Transit Procedure (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes). The status remains as “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, the message ‘Amendment Acceptance’ E_AMD_ACC (IE004) is sent to the Holder of the Transit Procedure 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 becomes again “Guarantee under registration”.
- When the Holder of the Transit Procedure does not amend the guarantee in time (timer “Guarantee awaiting amendment” expires), the system automatically registers the ‘no release’ decision of the transit movement. The system notifies the Holder of the Transit Procedure with the ‘No Release for Transit’ E_REL_NOT (IE051) message. The status of the transit operation becomes “Not released for Transit”.

While the movement is under the status “Guarantee registered”, the following cases apply:

- The Office of Departure receives a valid or invalid (Syntax or R/Cs) ‘Declaration Amendment’ E_DEC_AMD (IE013) message from the Holder of the Transit Procedure. All the declaration data elements that can be amended are defined in R/Cs (i.e. TRANSIT OPERATION.Amendment type flag is ‘0’; please also refer to R0520). The status of the movement remains “Guarantee registered” in case of invalid amendment request or the status of the movement is set to “Accepted” in case of valid amendment request;
- The Office of Departure receives a ‘Declaration Amendment’ E_DEC_AMD (IE013) from the Holder of the Transit Procedure. In case the amendment request is valid (Syntax and/or R/Cs), the ‘Amendment acceptance’ E_AMD_ACC (IE004) message is sent to the Holder of the Transit Procedure, the state of the transit operation becomes “Accepted”. In case guarantees maintained in GMS are involved into the transit, the Office of Departure sends the ‘Guarantee Use Cancellation’ C_GUA_CAN (IE204) message to cancel the registration usage of these guarantees.

- The movement is released for Transit. That means the declared Office(s) of Transit, Office(s) of Exit for Transit and the declared Office of Destination are notified via the ‘Anticipated Arrival Record’ C_AAR_SND (IE001), ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) and ‘Anticipated Transit Record’ C_ATR_SND (IE050) messages respectively. The state of the MRN is set to “Movement released”. The State Transitions after the release of the movement is presented in sub-section III.V.1.2.

NOTE: It is considered acceptable practice for a National Administration to have an automatic state transition from ‘Guarantee registered’ to ‘Movement released’ in case of simplified procedure at departure (with an Authorised Consignor).

While the movement is under the status “Under release request”, the ‘Request of Release’ E_REQ_REL (IE054) message is expected by the Holder of the Transit Procedure to denote whether it accepts or rejects the minor revisions proposed by the Office of Departure. This can have the following consequences:

- The release request sent by the Holder of the Transit Procedure is rejected, since it is invalid meaning that the ‘Rejection from Office of Departure’ E_DEP_REJ (IE056) message is sent back to the Holder of the Transit Procedure (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes). In that case, the status remains the same as “Under release request”.
- The release request is valid and positive, meaning that the Holder of the Transit Procedure accepts the minor revisions proposed by the Office of Departure, and the status becomes “Guarantee under registration”.

NOTE: The Office of Departure needs to accept the reference amount to be used for the specific transit declaration and then the ‘Guarantee Use’ C_GUA_USE (IE203) message needs to be sent. Nevertheless, the IE203 is not applicable for non-GMS guarantee types (e.g. type ‘3’).

- The release request is valid and negative, meaning that the Holder of the Transit Procedure rejects the minor revisions proposed by the Office of Departure. The movement is set to “Idle”.
- While the ‘Request of Release’ E_REQ_REL (IE054) message is expected from the Holder of the Transit Procedure, the Office of Departure sends the ‘No Release for Transit’ E_REL_NOT (IE051) message. The status of the movement is set to “Not Released for Transit”.

If the IE002/IE027/IE114/IE164 is received for an unknown MRN (e.g. MRN not yet generated or movement archived) or is received out-of-sequence for a known MRN (e.g. Movement arrived at Office of Destination), then a negative IE003/IE038/IE115/IE165 response will be sent (using the codes of CL221/CL184/CL225/CL224 respectively) and **not an IE906**.

III.V.1.2 Office of Departure (after movement release)

The State Transition Diagram of Figure 125 depicts the movement states transition at the Office of Departure after the movement has been released for transit and incorporates the “Handle Enquiry” and “Handle Recovery” states. The State Transition Diagram in Figure 125 shows the states of the movement after it is released for transit.

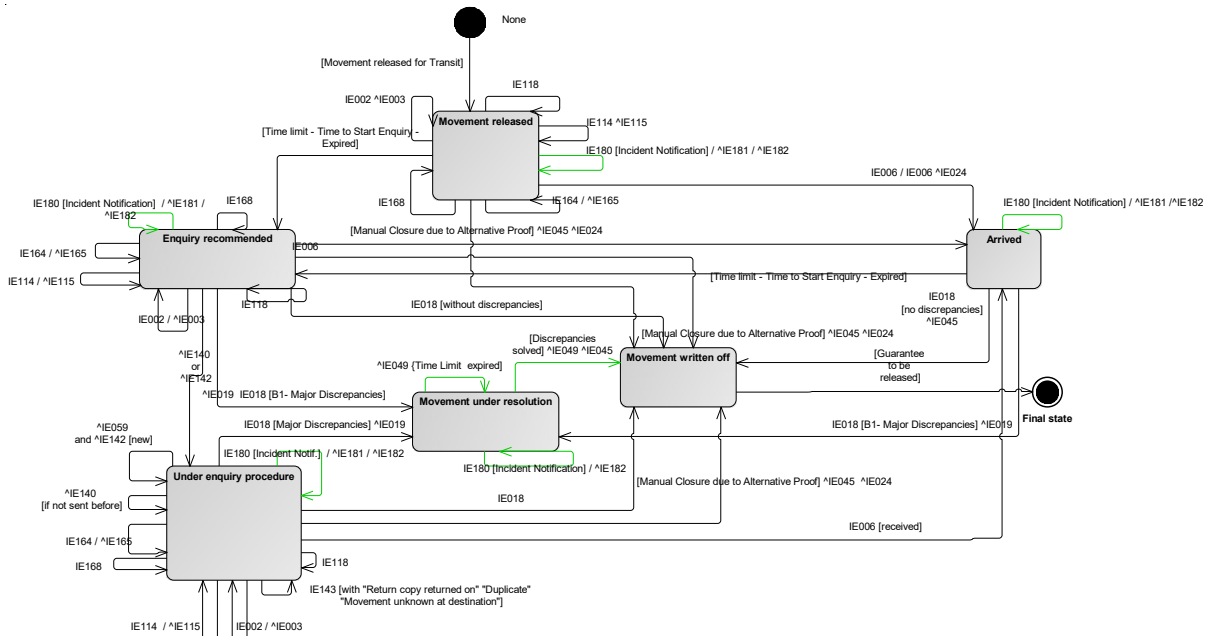


Figure 125: State Transition Diagram for Office of Departure after the movement is released

This State Transition Diagram starts right before the sending of the ‘Release for Transit’ E_REL_TRA (IE029) to the Holder of the Transit Procedure. 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 the Holder of the Transit Procedure;
- The ‘Anticipated Arrival Record’ C_AAR_SND (IE001) is sent to Office of Destination;
- The ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message is sent to the Office of Exit for Transit (note, that it is possible that there is no Office of Exit for Transit);
- The ‘Anticipated Transit Record’ C_ATR_SND (IE050) is sent to Office of Transit (note, that it is possible that there is no Office of Transit).

The status of the movement will become “Movement released”.

While the consignment is in the “Movement released” state, the following can happen:

- ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) is received by Office of Departure, indicating the border crossing. In this case, the status will remain the same;
- ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) is received by Office of Departure, indicating whether the EU border is crossed or is not crossed. In this case, the status will remain the same;
- ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114) is received from an Office of Transit. In this case, an ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) message will be sent and the state will remain “Movement released”;
- ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) is received from an Office of Exit for Transit. In this case, the ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message will be sent and the state will remain “Movement released”;
- ‘Incident Notification’ C_INC_NOT (IE180) message is sent by the Office of Incident Registration to the Office of Departure when incidents are registered. There is no update of status at the Office of Departure, but in turn sends the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message only to those involved Offices (i.e. participate in transit movement as declared/actual Offices of Transit/Exit for Transit/Destination) that have not reported back with the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) or ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) or ‘Arrival Advice’ C_ARR_ADV (IE006) message(s) and/or have not received the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message or have not sent the ‘Incident Notification’ C_INC_NOT (IE180) message. However, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration. Additionally, the ‘Forwarded Incident Notification to ED’ E_INC_NOT (IE182) message is sent to the Holder of the Transit Procedure for informational purposes (if the declaration data has been submitted electronically);
- ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) is received from an Office of Destination. In this case, an ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003) will be sent and the state will remain “Movement released”;
- ‘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 or Office of Exit for Transit or Office of Destination, a ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) will be sent to all countries (except the country of destination actual) with declared Office(s) that did not report the movement. The same applies (no IE024 shall be sent) when the Actual Office of Destination (where the transit movement is presented) belongs to the same National Administration as the Declared Office of Destination.

After arrival of the movement at Departure is reported, the Office of Departure will wait until the ‘Destination Control Results’ C_DES_CON (IE018) message is sent back by the Office of Destination. There are two possible outcomes:

- The ‘Destination Control Results’ C_DES_CON (IE018) show no problems. The ‘Write-off Notification’ E_WRT_NOT (IE045) is sent back to the Holder of the Transit Procedure. After this, the status of the transaction is set to “Movement written off”. But, in the event that the movement is manually written-off via alternative proof (i.e. with

main precondition being that no ‘Arrival Advice’ C_ARR_ADV (IE006) message has been yet 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;

- Major Discrepancies (i.e. control result code ‘B1’) are communicated to the Office of Departure via the ‘Destination Control Results’ C_DES_CON (IE018). In this case, the Office of Departure sends a ‘Discrepancies’ E_DIS_SND (IE019) to the Holder of the Transit Procedure and the timer [T_Discrepancies_Resolution](#) is initiated. The status of the movement is set to “Movement under resolution”. If discrepancies are resolved before the timer [T_Discrepancies_Resolution](#) expires, the status becomes “Movement written off” and the ‘Write-off Notification’ E_WRT_NOT (IE045) message is sent to the Holder of the Transit Procedure. Additionally, the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) is sent to the Office of Destination with the flag “Discrepancies resolved” equal to *‘1-Discrepancies resolved at departure, movementwritten-off’*. When the timer [T_Discrepancies_Resolution](#) expires and the discrepancies are not yet resolved, the Office of Departure sends the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) to the Office of Destination with the flag “Discrepancies resolved” equal to *‘3-Timer (13 days) has expired, no resolution of discrepancies. Investigation continues’*. The status at the Office of Departure remains to “Movement under resolution”. But the discrepancies might be resolved after the expiration of the timer [T_Discrepancies_Resolution](#). In that case, the Office of Departure can send to the Office of Destination a ‘delayed’ message ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) with the flag “Discrepancies resolved” equal to *‘1-Discrepancies resolved at departure, movementwritten-off’*. There is also the possibility that the major discrepancies are confirmed, and these justify recovery. In that case, the ‘Discrepancies Solved Notification’ C_DIS_NOT (IE049) is sent to the Office of Destination with the flag “Discrepancies resolved” equal to *‘2- Under investigation at departure’*. The status of movement will be set to “Recovery recommended” and then recovery will have to be carried out. The master timer [T_Recovery_Recommended](#) keeps running (i.e. it never stops) until it expires or until recovery is started.

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 been received 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 an IE002/IE114/IE164 is received under the state “Enquiry Recommended” AND the movement has NOT been invalidated AND the movement did NOT arrive at the Office of Destination (i.e. no IE006 has been received by the Office of Departure), a positive IE003/IE115/IE165 response will be sent respectively, otherwise a negative IE003/IE115/IE165 response will be sent (i.e. no IE906);

When the state of the movement becomes “Enquiry Recommended”, a ‘Status Request’ C_STD_REQ (IE094) message 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 (IE095) message. If the state of the movement at destination does not correspond then the system automatically sends to the Office of Departure:
 - The ‘Arrival Advice’ C_ARR_ADV (IE006). The state of the movement will change from “Enquiry Recommended” to “Arrived”;
 - And/or the ‘Destination Control Results’ C_DES_CON (IE018):
 - If the Destination Control Results show no discrepancies, the movement is written-off at Departure. The movement state becomes “Movement written off”;
 - If the ‘Destination Control Results’ show major discrepancies (control result code ‘B1’), 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.
- ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) is received by the Office of Departure when the transit movement crosses the frontiers of an Office of Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C_ARR_ADV (IE006) and/or no ‘Destination Control Results’ C_DES_CON (IE018) have been previously received. In that case, the status remains ‘Enquiry recommended’.
- ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) is received by the Office of Departure when the transit movement leaves the Security Area from an Office of Exit for Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C_ARR_ADV (IE006) and/or no ‘Destination Control Results’ C_DES_CON (IE018) have been previously received. In that case, the status remains ‘Enquiry recommended’.
- ‘Incident Notification’ C_INC_NOT (IE180) message is sent by the Office of Incident Registration to the Office of Departure when incidents are registered. There is no update of status at the Office of Departure, but in turn sends the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message only to those involved Offices (i.e. participate in transit movement as declared/actual Offices of Transit/Exit for Transit/Destination) that have not reported back with the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) or ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) or ‘Arrival Advice’ C_ARR_ADV (IE006) message(s) and/or have not received the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message or have not received the ‘Incident Notification’ C_INC_NOT (IE180) message. However, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration. Additionally, the ‘Forwarded Incident Notification to ED’ E_INC_NOT (IE182) message is sent to the Holder of the Transit Procedure for informational purposes (in case the declaration have been submitted electronically).

The Office of Destination system checks the state and automatically sends a ‘Status Response’ C_STD_RSP (IE095). If the state of the movement at Destination corresponds with the state of the movement 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) message is sent to the Holder of the Transit Procedure. 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) message is sent to the Competent Authority of Enquiry at Destination. 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) message, 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:
 - The ‘Arrival Advice’ C_ARR_ADV (IE006). The movement changes from “Under enquiry procedure” to “Arrived” state;
 - And/or the ‘Destination Control Results’ C_DES_CON (IE018) to the Office of Departure:
 - If the ‘Destination Control Results’ C_DES_CON (IE018) show no discrepancies, the movement is written-off at Departure. The movement state becomes “Movement written off”;
 - If the destination Control Results C_DES_CON (IE018) 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 the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, 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 the ‘Enquiry Response’ C_ENQ_NEG (IE143) message indicating ‘duplicate’. At this point the Customs Officer at the Competent Authority of Enquiry at Departure could decide to invalidate the second (duplicated) transit declaration;
- 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 the negative ‘Enquiry Response’ C_ENQ_NEG (IE143) message, ‘Movement unknown at Destination’, and the movement state remains “Under enquiry procedure”; The data group ‘ENQUIRY’ in the ‘Enquiry Response’ C_ENQ_NEG (IE143) message should be used in order to provide information about the status of the goods.

- If the Competent Authority of Enquiry at Departure has not previously contacted the Holder of the Transit Procedure, it can send a ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message to the Holder of the Transit Procedure, the movement state remains “Under enquiry procedure”;
- Provided that no other Enquiry is pending, the Competent Authority of Enquiry at Departure can send the ‘Enquiry Request’ C_ENQ_REQ (IE142) message, setting the timer “Wait for Enquiry response”. But, if the ‘Enquiry Request’ C_ENQ_REQ (IE142) message has been previously sent, the Competent Authority of Enquiry at Departure shall send the ‘Cancel Enquiry Notification’ C_CAN_ENQ (IE059) first, and then it can proceed with sending of the new ‘Enquiry Request’ C_ENQ_REQ (IE142) message and resetting the timer “Wait for Enquiry response”. The state of the movement remains “Under enquiry procedure”;
- If the ‘Request on Non-Arrived Movement’ E_REQ_MOV (IE140) message has previously been sent and no reply message ‘Information about non-Arrived Movement’ E_MOV_RSP (IE141) has been received from the Holder of the Transit Procedure upon the expiration of the “Wait for IE141” timer, but the master timer “Recovery recommended” continues running (i.e. it never stops until expiration). The state of the movement becomes “Recovery recommended”. This state transition is displayed in Figure 126;
- The Competent Authority of Enquiry at Destination decides that it is responsible for Recovery and sends the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, containing ‘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 126;
- An IE002/IE114/IE164 is received. In case the movement has NOT been invalidated AND the movement did NOT arrive at the Office of Destination (i.e. no IE006 has been received by the Office of Departure), a positive IE003/IE115/IE165 response will be sent respectively, otherwise a negative IE003/IE115/IE165 response will be sent (i.e. **no IE906, including for ‘MRN unknown’** that would be justified by an erroneous MRN or by an archived MRN);
- ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) is received by the Office of Departure when the transit movement crosses the frontiers of an Office of Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C_ARR_ADV (IE006) and/or no ‘Destination Control Results’ C_DES_CON (IE018) have been previously received. In that case, the status remains ‘Under enquiry procedure’;
- ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) is received by the Office of Departure when the transit movement leaves the Security Area from an Office of

Exit for Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C_ARR_ADV (IE006) and/or no ‘Destination Control Results’ C_DES_CON (IE018) have been previously received. In that case, the status remains ‘Under enquiry procedure’;

- ‘Incident Notification’ C_INC_NOT (IE180) message is sent by the Office of Incident Registration to the Office of Departure, which can also be accepted when the message ‘Destination Control Results’ C_DES_CON (IE018) has been previously received. In case, though, the movement at the Office of Departure is already closed, then the ‘Incident Notification’ C_INC_NOT (IE180) message is ignored (i.e. it is not rejected with IE906). There is no update of status at the Office of Departure, but in turn sends the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message only to those involved Offices (i.e. participate in transit movement as declared/actual Offices of Transit/Exit for Transit/Destination) that have not reported back with the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) or ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) or ‘Arrival Advice’ C_ARR_ADV (IE006) and/or have not received the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message(s). However, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration. Additionally, the ‘Forwarded Incident Notification to ED’ E_INC_NOT (IE182) message is sent to the Holder of the Transit Procedure for informational purposes. The ‘Incident Notification’ C_INC_NOT (IE180) message can also be sent when the Enquiry request is still open. That means an ‘Enquiry Request’ C_ENQ_REQ (IE142) has been sent but no ‘Enquiry Response’ C_ENQ_NEG (IE143) has been received yet. In case of an open Enquiry request, the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message can also be sent by the Office of Departure (only one (1) is sent to a National Administration that has more than one (1) involved Customs Offices into the transit movement).

III.V.1.3 Office of Departure (Recovery states)

The State Transition Diagram in Figure 126 depicts the Recovery states of the movement at Departure.

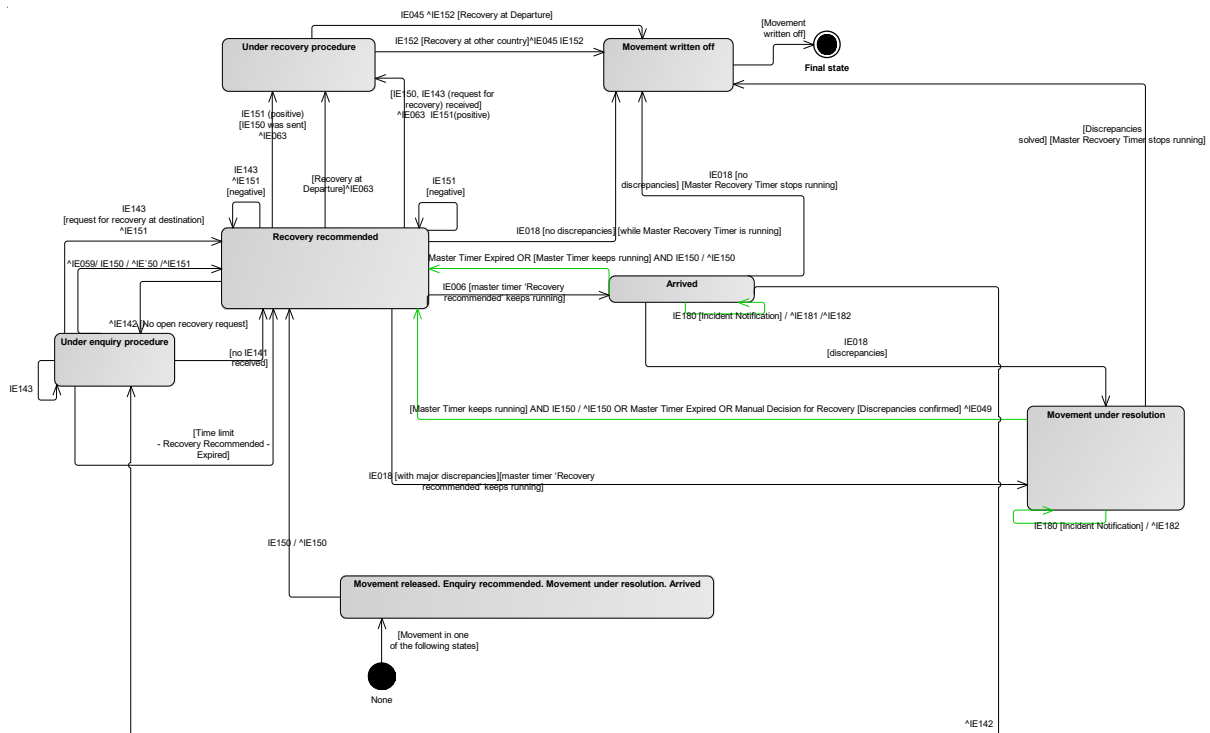


Figure 126: State Transition Diagram of the Recovery states at Departure

While the movement at Departure is in the “Movement Released”, “Enquiry Recommended”, “Movement under resolution”, “Under enquiry procedure” or “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 the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Country of Departure. The timer "Recovery recommended" continues running (it never stops until it expires). The state of the movement is set to “Recovery recommended”;
- The Competent Authority of Recovery at Departure can decide that another country is responsible for Recovery and send the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Country of Other Country (that also might or might not be involved into the transit movement). The timer "Recovery recommended" continues running (it never stops until it expires). The state of the movement is set to “Recovery recommended”;
- The timer "Recovery recommended" expires (after seven months from the expected arrival date). In this case, recovery will have to be carried out. The state of the movement is set to “Recovery recommended”;
- The Competent Authority of Recovery at Departure decides to recommend recovery due to the suspicion of fraud. In this case, the master timer "Recovery recommended" continues running (i.e. it never stops until expiration) and the state of the movement is set to “Recovery recommended”. But, in case the master timer “Recovery recommended” has already expired, the status remains “Recovery recommended” and that means recovery will have to be carried out;

In conclusion:

- The ‘Arrival Advice’ C_ARR_ADV (IE006) and ‘Destination Control Results’ C_DES_CON (IE018) messages shall be accepted under the status ‘Recovery Recommended’, when the master timer [T_Recovery_Recommended](#) has NOT expired, otherwise recovery must start;
- The ‘Arrival Advice’ C_ARR_ADV (IE006) and ‘Destination Control Results’ C_DES_CON (IE018) messages shall be rejected under the status ‘Recovery Recommended’, when the master timer [T_Recovery_Recommended](#) has expired, meaning that recovery must start in this case.

While the movement is in the “Movement under resolution”:

- There are major discrepancies, which the Office of Departure finds that they cannot be justified by an error, that is, beyond any doubt finds that the customs debt was incurred. Therefore, the Recovery procedure must start. In this case, the Officer at the Competent Authority of Recovery at Departure recommends Recovery and the state of the movement is set to “Recovery recommended”. However, the master timer [T_Recovery_Recommended](#) keeps running until it expires or until recovery is initiated;
- ‘Incident Notification’ C_INC_NOT (IE180) message is sent by the Office of Incident Registration to the Office of Departure. In this case, the Holder of the Transit Procedure shall be notified with the ‘Forwarded Incident Notification to ED’ E_INC_NOT (IE182) message (i.e. if the declaration data has been submitted electronically).

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

- The state of the movement is set to “Under recovery procedure”:
 - Following the receipt of the ‘Enquiry Response’ C_ENQ_NEG (IE143) message with ‘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 the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message, and Recovery is carried out at Destination;
- Following the receipt of ‘Enquiry Response’ C_ENQ_NEG (IE143) message containing the ‘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 the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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”. However, the master timer [T_Recovery_Recommended](#) keeps running until it expires. No ‘Arrival Advice’ C_ARR_ADV (IE006) can be accepted after the expiration of the master timer [T_Recovery_Recommended](#) since recovery will have to be carried out;
- Following the receipt of ‘Destination Control Results’ C_DES_CON (IE018) with major discrepancies (i.e. control result code is ‘B1’), the state is set to “Movement under resolution”. However, the master timer [T_Recovery_Recommended](#) keeps running until it expires. No ‘Destination Control Results’ C_DES_CON (IE018) can be accepted after the expiration of the master timer [T_Recovery_Recommended](#) since recovery will have to be carried out;

- Following the receipt of ‘Destination Control Results’ C_DES_CON (IE018) with no discrepancies and while the master timer [T_Recovery_Recommended](#) is still running, the state is set to “Movement written off”;
- Following the receipt of the ‘Recovery Request’ C_REC_REQ (IE150) message, the Competent Authority of Recovery at Departure accepts that the other country is competent and thus replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message. The state of the movement is set to “Under recovery procedure” state, and Recovery is carried out at the other country. Additionally, the master timer [T_Recovery_Recommended](#) stops (if still running);
- Following the receipt of the ‘Recovery Request’ C_REC_REQ (IE150) message, the Competent Authority of Recovery at Departure does not accept that the other country is competent it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message and the state remains "Recovery recommended". The Competent Authority of Recovery at Departure will have to carry out the Recovery. The master timer [T_Recovery_Recommended](#) keeps (if not expired) until recovery is started;
- In case the master timer [T_Recovery_Recommended](#) has not yet expired, and there is no open ‘Recovery Request’ C_REC_REQ (IE150) that has been sent or received from/to the Competent Authority of Recovery at Departure (no pending ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message), the Competent Authority of Enquiry at Departure decides to initiate enquiry for the movement and sends the ‘Enquiry Request’ C_ENQ_REQ (IE142) message. The timer [T_Wait_Enquiry_Response](#) starts. The Officer at the Competent Authority of Enquiry at Departure manually sets its duration to be either 28 days (in case of insufficient information or suspicion for fraud) or 40 days (in case of sufficient information) and the status is set to “Under enquiry procedure”. The master timer [T_Recovery_Recommended](#) still keeps running. However, if the master timer expires and the enquiry request is still open (e.g. no ‘Enquiry Response’ C_ENQ_NEG (IE143) has been yet received), the timer [T_Wait_Enquiry_Response](#) stops, the ‘Cancel Enquiry Notification’ (IE059) is sent to the Customs Office/Competent Authority that received the ‘Enquiry Request’ C_ENQ_REQ (IE142) and then the Competent Authority of Recovery at Departure needs to proceed with the recovery procedure (i.e. in all cases where the master timer expires, recovery must be started);
- 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 master timer [T_Recovery_Recommended](#) stops (if still running);
- The Competent Authority of Recovery at Departure decides that it is not competent and sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery in another country (i.e. the declared Office of Destination, but it may be another country e.g. an Office of Transit or Office of Exit for Transit or even the Office of Incident Registration) and sets the timer “Wait for Recovery acceptance notification” (The master timer [T_Recovery_Recommended](#) keeps running until it expires or is already expired). The state remains “Recovery recommended”:
 - If the Competent Authority of Recovery in the other country accepts that it is competent it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message. 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 Authority of Recovery at Departure informs all involved parties, apart from the one that received the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message, 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) message is sent by the Competent Authority of Recovery at Departure to all the parties that have previously received the ‘Recovery Communication’ C_REC_COM (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 strongly recommended (SR). All states related to the Common Domain are required, while the majority of states related to National and External Domains are strongly recommended.

Name	Status	Final	Reported to Requested NCTS Office
None	SR	No	None (unknown MRN response) ⁴³
Submitted	SR	No	None (unknown MRN response)
Rejected	SR	Yes	None (unknown MRN response)
Pre-Lodged	SR	No	None (unknown MRN response)
Cancelled	SR	Yes	None (unknown MRN response)
Pending response from AES	SR	No	None (unknown MRN response)
Under amendment request due to EFBT	SR	No	None (unknown MRN response)
Accepted	R	No	Accepted
Under control	R	No	Under control
Idle	SR	No	Under control
Under release request	SR	No	Under control
Not released for Transit	R	Yes	Not released for Transit
Movement released	R	No	Movement released
Invalidated	R	Yes	Invalidated
Arrived	R	No	Arrived
Enquiry recommended	R	No	Enquiry recommended
Under enquiry procedure	R	No	Under enquiry procedure

⁴³ Under this state, the unknown MRN response shall be provided given that movement is not accepted yet and therefore shall be treated as “unknown”.

Name	Status	Final	Reported to Requested NCTS Office
Recovery recommended	R	No	Recovery recommended
Under recovery procedure	R	No	Under recovery procedure
Movement under resolution	R	No	Movement under resolution
Movement written off	R	Yes	Movement written off
Guarantee under registration	R	No	Guarantee under registration
Guarantee registered	R	No	Guarantee registered
Guarantee under amendment	R	No	Guarantee under amendment

Table 10: States of an MRN at the Office of Departure

III.V.2 Office of Transit STD

The State Transition Diagram for Office of Transit is shown below.

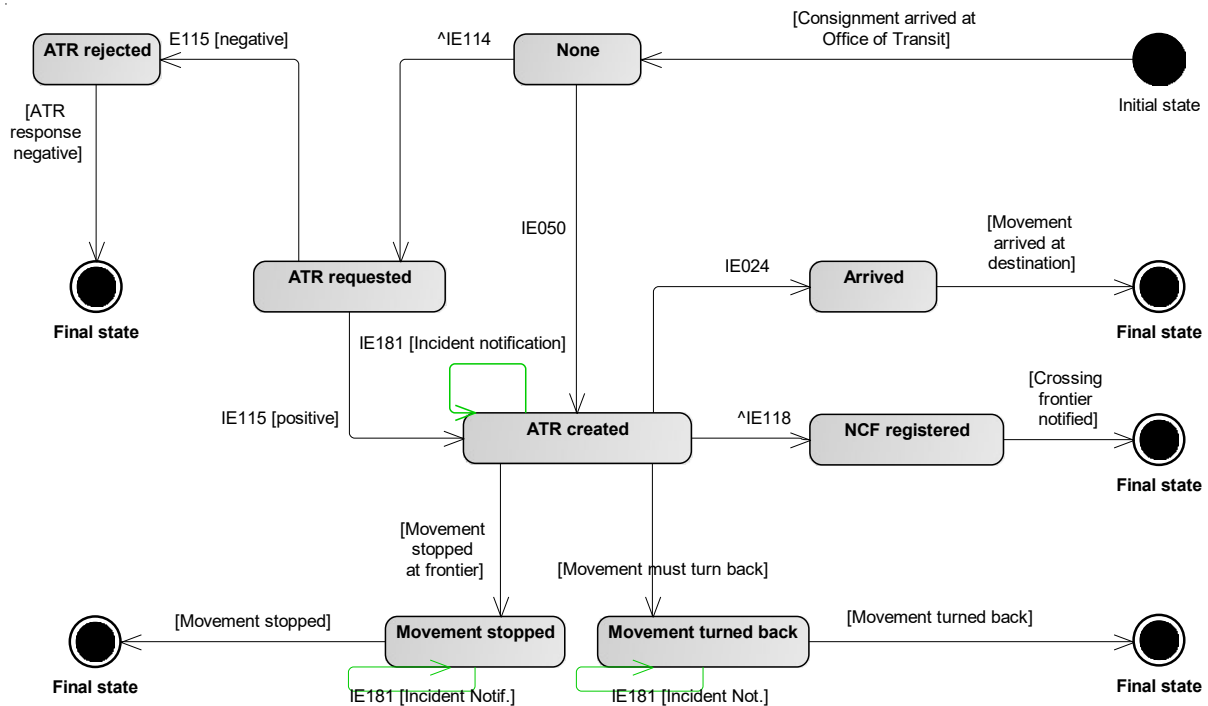


Figure 127: State Transition Diagram for Office of Transit without Recovery States

There are two major possibilities:

- The consignment is known at the Office of Transit (‘Anticipated Transit Record’ C_ATR_SND (IE050) is already received); or
- It is not known beforehand (no ‘Anticipated Transit Record’ C_ATR_SND (IE050) is received).

In the first case, the declared Office of Transit has received the ‘Anticipated Transit Record’ C_ATR_SND (IE050), after which the status becomes “ATR created”.

If the consignment then passes the border, the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message will be sent 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.

In case of an international diversion from the pre-defined itinerary at Office of Transit occurs during the journey of the movement and the consignment reports to another Office of Transit instead of the declared Office of Transit based on the declaration data, the declared Office of Transit will receive the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message, provided that no ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) message has been previously sent by that declared Office of Transit. In this case, the ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) message will be sent by the Office of Departure to the Declared Office of Transit when the movement arrives at the Office of Destination which notifies the Office of Departure with the ‘Arrival advice’ C_ARR_ADV (IE006) message. Therefore, no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall be sent when:

- the Declared Office of Transit belongs to the same National Administration as the Actual Office of Destination where the transit movement is presented, or
- a 'Notification Crossing Frontier' C_NCF_NOT (IE118) message has been received after national diversion.

In that case, the state of the movement at the Declared Office of Transit will be set to "Arrived".

If the consignment does not pass the declared Office of Transit, the Office of Departure will inform the declared Office of Transit upon the arrival of the consignment at the Office of Destination, by means of a 'Forwarded Arrival Advice' C_FWD_ARR (IE024). The status will then be marked as "Arrived".

However, if the movement is stopped at the Office of Transit, and this Office authorises the transit movement to end its journey to this country, then this Office becomes Actual Office of Destination. In that case no 'Forwarded Arrival Advice' C_FWD_ARR (IE024) shall be sent to the Declared Office of Transit, the status of the movement will remain "Movement stopped". Again, the role of the Office of Transit stops here.

NOTE: It is not always mandatory when the Office of Transit stops the transit movement - no 'Notification Crossing Frontier' C_NCF_NOT (IE118) is sent to the Office of Departure) - that this Office may always act as an Actual Office of Destination. Several reasons might be:

1. *There is no guarantee valid in that country (i.e. EU MS or CTC), and therefore the goods are not authorised to enter;*
2. *According to the risk analysis results, the goods cannot enter the EU (or CTC country). However, note that this principle of "turning the truck back" may not apply in cases when goods leave the EU to cross a third country, transit is suspended, then continues when the goods re-enter the territory of the EU or CTC country. In this case the transit Office is situated at the EU exit border. If the goods cannot leave the EU, this transit Office becomes the destination.*

Moreover, in case the movement is turned back due to the binding itinerary, the 'Forwarded Arrival Advice' C_FWD_ARR (IE024) will be sent to this Office of Transit as well, but the status of the movement will remain "Movement turned back".

Additionally, the "Arrived" state will be reached in case the 'Forwarded Arrival Advice' C_FWD_ARR (IE024) is sent to close any open 'Anticipated Transit Record 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 'Anticipated Transit Record' C_ATR_SND (IE050) is yet received nationally, the Office of Transit will always request the 'ATR' from Office of Departure by means of 'Anticipated Transit Record Request' C_ATR_REQ (IE114). The state at the Office of Transit is set to "ATR Requested".

If the response message 'Anticipated Transit Record Response' C_ATR_RSP (IE115) to the 'Anticipated Transit Record Request' C_ATR_REQ (IE114) is positive, the status will be set to "ATR created" and a similar lifecycle will start as for the known movement. In case the 'Anticipated Transit Record' C_ATR_SND (IE050) is received and processed before the 'Anticipated Transit Record 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 ‘Anticipated Transit Record Response’ C_ATR_RSP (IE115) to the ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114) is negative, the status will be set to the final state “ATR rejected”. However, another ‘Anticipated Transit Record Request’ C_ATR_REQ (IE114) can be possibly received for this transit movement.

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”.

Under the state “ATR Created”, the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) can be received when incidents occur in the common domain.

The states “ATR rejected”, “Arrived”, “NCF registered”, “Movement stopped” and “Movement turned back” are considered 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 III.IV.2.2.5.

Finally, it is also possible the Office of Transit under the statuses: “Movement stopped” or “Movement turned back” to receive from the Office of Departure the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message.

Additionally, if a National Administration has more than one (1) involved Customs Office (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration.

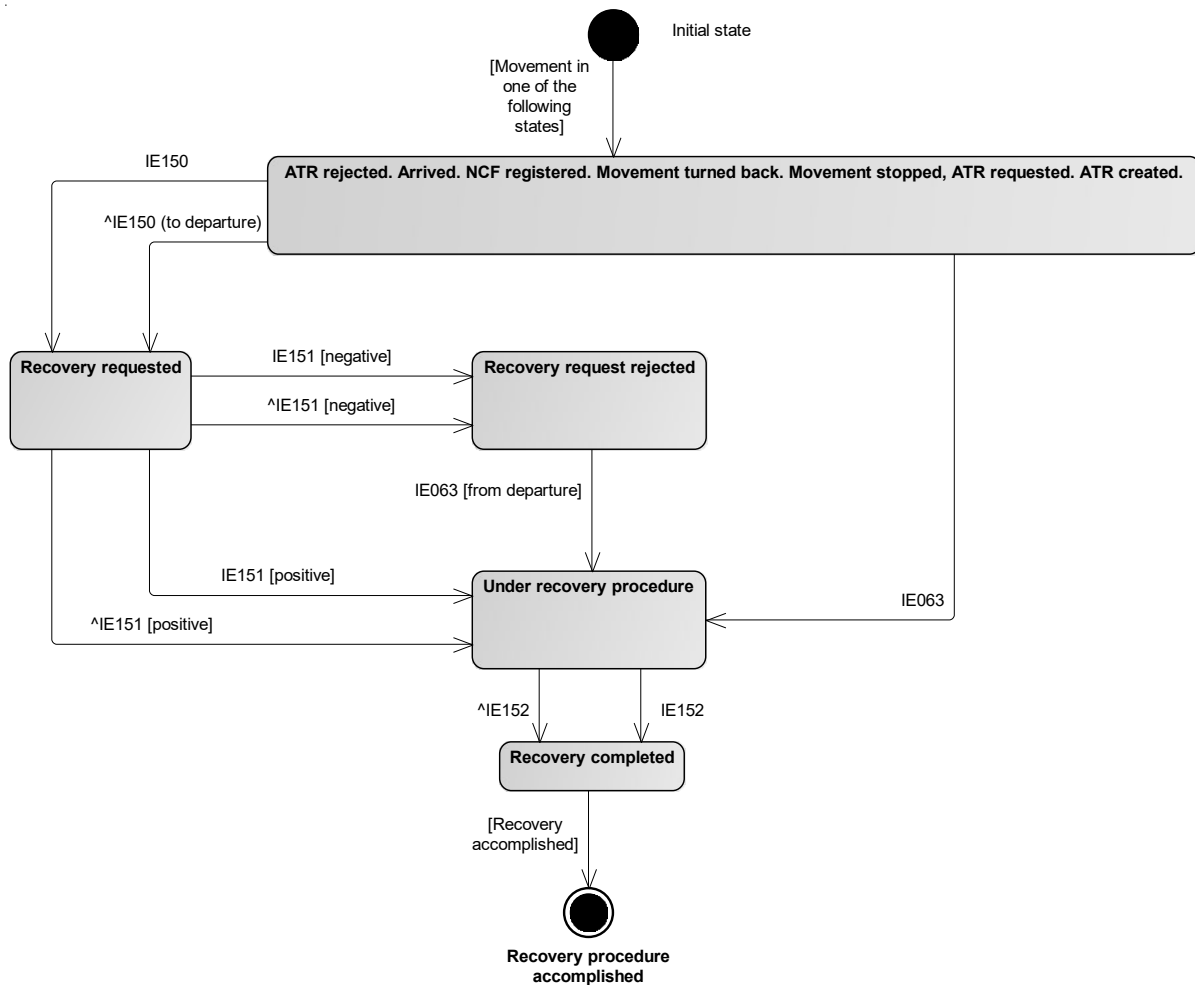


Figure 128: State Transition Diagram of the Recovery states at Office of Transit

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) message from the Competent Authority of Recovery at Departure and the state of the movement is set to “Recovery Requested”:
 - If the Competent Authority of Recovery in the Country of Transit accepts that it is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”.
 - If the Competent Authority of Recovery in the Country of Transit does not accept that it is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 Transit⁴⁴ decides that it is competent and sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery requested”:
 - If the Competent Authority of Recovery at Departure accepts that the Country of Transit is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message and the state of the movement is set to “Under recovery procedure” state. 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 the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”;
 - If the Competent Authority of Recovery at Departure does not accept that the Country of Transit is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message and the state will be set to “Recovery completed”.

In the case the movement is not active anymore (archived) at the receiving Customs Office, the ‘Recovery Communication’ C_REC_COM (IE063) message and the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message must be accepted for information.

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

⁴⁴ This action is covered by L4-TRA-01-07-Handle Enquiry - Enquiry Procedure (Option B) Part B, where the Country of transit is acting as “any other country which assumes itself as Competent for Recovery”.

Name	Status	Final	Reported to Requested NCTS Office
None	R	No	N/A
Invalidated	R	Yes	Invalidated
ATR created	R	No	ATR created
ATR requested	R	No	ATR requested
ATR rejected	R	Yes	ATR rejected
Arrived	R	Yes	Arrived
NCF registered	R	Yes	NCF registered
Movement turned back	R	Yes	Movement turned back
Movement stopped	R	Yes	Movement stopped
Under recovery procedure	R	No	Under recovery procedure
Recovery requested	R	No	Recovery requested
Recovery request rejected	R	No	Recovery request rejected
Recovery completed	R	Yes	Recovery completed

Table 11: States of an MRN at the Office of Transit

III.V.3 Office of Destination STD

The State Transition Diagram for Office of Destination has been split into two Figures. Figure 129 covers all the states apart from the ones related to the Recovery procedure and Figure 130 covers only the Recovery states.

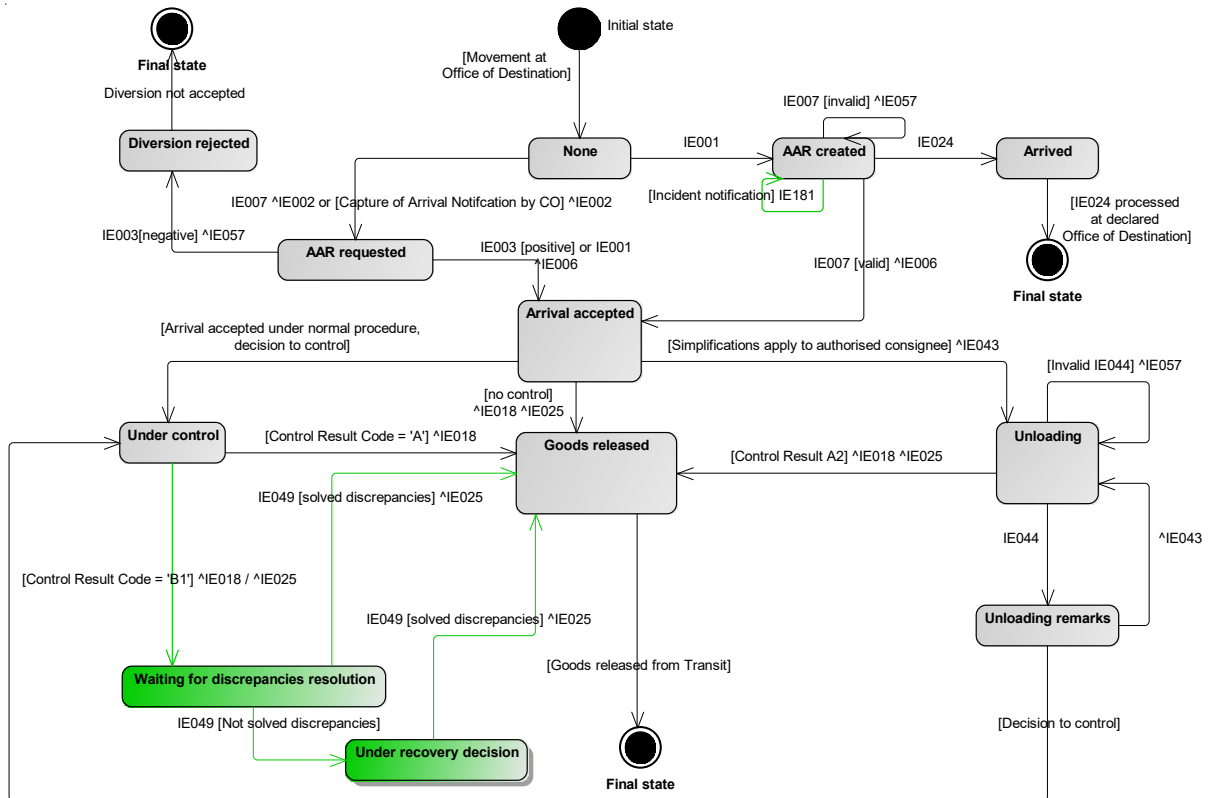


Figure 129: State Transition Diagram for Office of Destination without Recovery States

Upon reception of the ‘Anticipated Arrival Record’ C_AAR_SND (IE001) from the Office of Departure, the state of the movement at the Office of Destination will be set to “AAR created”. Normally, the next event should be the ‘Arrival Notification’ E_ARR_NOT (IE007) received from the Trader at Destination. If the presentation of the arrival is invalid, a ‘Rejection from Office of Destination’ E_DES_REJ (IE057) will be sent back to the Trader and the status will remain “AAR created” (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes). 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 the status ‘AAR Created’, the Office of Destination can receive from the Office of Departure the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message, when incidents have occurred during the journey of the consignment. Additionally, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration.

Under normal procedure, one may or may not perform controls. If no control is performed, the 'Destination Control Results' C_DES_CON (IE018) are sent to the Office of Departure and the goods are released from transit by sending the 'Goods Release Notification' E_GDS_REL (IE025) to Trader at Destination (i.e. "Release Indicator" flag is equal to "*1-Full release of goods (as per declaration) - Movement closed*"). The status then becomes "Goods released".

In case the Customs Officer updates the system with the decision to control, the status of the movement will become "Under control".

In case no/minor discrepancies are detected during control (i.e. control result code starts with 'A'), the 'Destination Control Results' C_DES_CON (IE018) will be sent to the Office of Departure and the goods will be released from transit [the 'Goods Release Notification' E_GDS_REL (IE025) is sent to the Trader at Destination]. The state of the movement at the Office of Destination will be set to "Goods released".

In case of major discrepancies detected during control (i.e. control result code is 'B1'), the 'Destination Control Results' C_DES_CON (IE018) will be sent to Office of Departure [the 'Goods Release Notification' E_GDS_REL (IE025) will be also sent to the Trader at Destination having the data element "Release indicator" flag equal to "*2-Partial release*" or "*4-No Release*". The status will be set to "Waiting for discrepancies resolution".

In case the Office of Departure has not resolved the major discrepancies, and the Office of Destination receives the 'Discrepancies Solved Notification' C_DIS_NOT (IE049) that indicates that the discrepancies have not been resolved having the flag "Discrepancies resolved" equal to "*2-Discrepancies confirmed. Under investigation at departure*". The recovery process will be started (e.g. at departure)" or "*3-Timer (13 days) has expired, no resolution of discrepancies. Investigation continues*", the status of the movement is set to "Under recovery decision".

After reception of the 'Discrepancies Solved Notification' C_DIS_NOT (IE049) from the Office of Departure that indicates that the discrepancies have been resolved [having the flag "Discrepancies resolved" equal to "*1-Discrepancies resolved at departure, movementwritten-off*"], a notification is sent that goods are released ['Goods Release Notification' E_GDS_REL (IE025) is sent to the Trader at Destination having the data element "Release indicator" flag equal to "*1- Full release of goods (as per declaration) - Movement closed*" or "*3- Partial release of goods - Movement closed*"]. 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 case the 'Unloading Remarks' E_ULD_REM (IE044) message is rejected, a rejection message 'Rejection from Office of Destination' E_DES_REJ (IE057) will be sent back to the Trader and the status will remain "Unloading" (please refer to Table 33 of DDCOM [A3] for applicable Functional Error Codes). In case the 'Unloading Remarks' E_ULD_REM (IE044) message is accepted, the status will become "Unloading remarks". The Office of Destination will now analyse the 'Unloading Remarks'. There are three (3) possibilities after having received the 'Unloading Remarks':

- Unloading is completed and there are no unloading remarks; the ‘Destination Control Results’ C_DES_CON (IE018) are sent and the goods are released. The ‘Goods Release Notification’ E_GDS_REL (IE025) message is sent to the Trader at Destination (i.e. “Release Indicator” flag is equal to “1-Full release of goods (as per declaration) – Movement closed”);
- There are unloading remarks and/or the state of seals is not in good condition and/or the unloading is not completed, and the Office of Destination needs to decide whether to control or not the transit movement. A decision to “control” is taken; the status of the transit movement is set to “Under Control”.
- There are unloading remarks and/or the state of seals is not in good condition and/or the unloading is not completed, and the Office of Destination needs to decide whether to control or not the transit movement. A decision to “no control” is taken; the Office of Destination sends a new ‘Unloading Permission’ E_ULD_PER (IE043) message, and the status of the transit movement is set to “Unloading”.

Three (3) special cases are also taken into consideration.

The first case concerns a missing ‘Anticipated Arrival Record’. The consignment arrives, and an arrival notification is sent from the Trader at Destination to the Office of Destination. In this case, an ‘Anticipated Arrival Record 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 ‘Anticipated Arrival Record’. In this case, after the reception of the ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), the Actual 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 ‘Anticipated Arrival Record’ C_AAR_SND (IE001) is received and processed before the ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), the state of the movement will again be set to “Arrival Accepted”.

If, however, the request for the ‘Anticipated Arrival Record’ is refused by a “negative” ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), then the status will become “Diversion rejected” and no further processing is executed in NCTS.

In case of international diversion, the consignment will never arrive at the declared Office of Destination. The message ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) will then be sent to the declared Office of Destination (in case of national diversion, no ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) shall be sent). In that case, the status will be set to “Arrived”. It should also be mentioned that when the Actual Office of Destination receives the positive ‘Anticipated Arrival Record Response’ C_AAR_RSP (IE003), the state of the movement changes from “AAR requested” to “Arrival Accepted”. In case the Declared 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 ‘Anticipated Arrival Record Request’ C_AAR_REQ (IE002) upon the receipt of the ‘Arrival Notification’ E_ARR_NOT (IE007). In case of a positive ‘Anticipated Arrival Record 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 130 depicts the Recovery states in the Office of Destination.

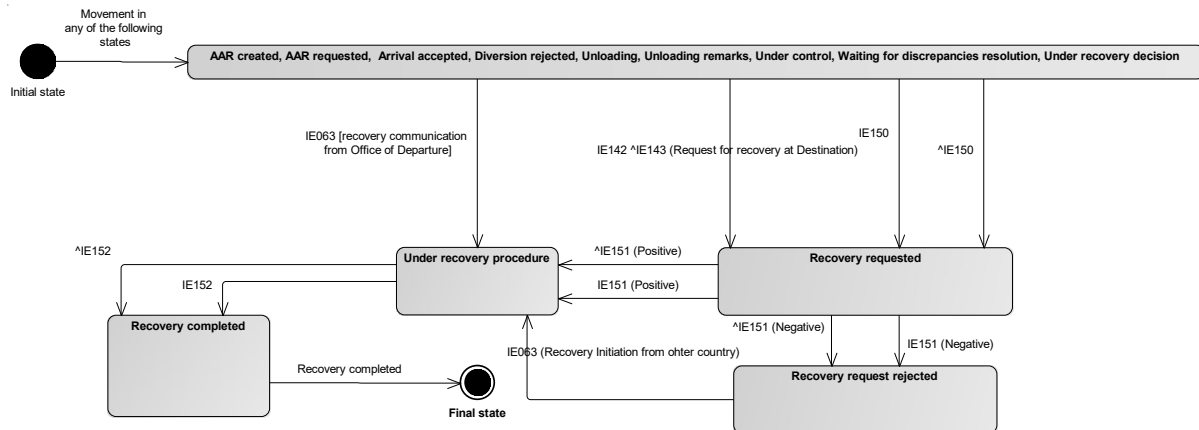


Figure 130: State Transition Diagram with Recovery States at Destination

When a movement is not in the “Goods released” or “Arrived” state the following can occur:

- The Customs Officer at the Competent Authority of Enquiry at Destination decides that their country is responsible for Recovery. If it has received the ‘Enquiry Request’ C_ENQ_REQ (IE142) message, it sends the ‘Enquiry Response’ C_ENQ_NEG (IE143) message, containing ‘Request for Recovery at Destination’, to the Competent Authority of Enquiry at Departure within the expected time. Otherwise it sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery requested”.
 - If the Competent Authority of Recovery at Departure accepts that the Country of Destination is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message, and the state of the movement is set to “Under recovery procedure” state, Recovery is carried out at Destination.
 - When Recovery has been completed at Destination, the Competent Authority of Recovery at Destination sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”.
 - If the Competent Authority of Recovery at Departure does not accept that the Country of Destination is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 the ‘Recovery Request’ C_REC_REQ (IE150) message from the Competent Authority of Recovery at Departure and the state of the movement is set to “Recovery requested”.
 - If the Competent Authority of Recovery at Destination accepts that it is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 the ‘Recovery Dispatch

Notification' C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to "Recovery completed".

- If the Competent Authority of Recovery at Destination does not accept that it is competent, it replies with the negative 'Recovery Acceptance Notification' C_REC_ACC (IE151) message, 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 the 'Recovery Dispatch Notification' C_REC_DIS (IE152) message and the state will be set to "Recovery completed".
- In case the movement is not active anymore at the receiving Customs Office, the 'Recovery Communication' C_REC_COM (IE063) message and the 'Recovery Dispatch Notification' C_REC_DIS (IE152) message must be accepted for information.

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

Name	Status	Final	Reported to Requested NCTS Office
Invalidated	R	Yes	Invalidated
AAR created	R	No	AAR created
AAR requested	R	No	AAR requested
Arrived	R	Yes	Arrived
Arrival accepted	R	No	Arrival accepted
Waiting for discrepancies resolution	R	No	Waiting for discrepancies resolution
Under recovery decision	R	No	Under recovery decision
Goods released	R	Yes	Goods released
Diversion rejected	R	Yes	Diversion rejected
None	R	No	None (unknown MRN response)
Unloading	R	No	Unloading
Unloading remarks	R	No	Unloading remarks
Under control	R	No	Under control
Under recovery procedure	R	No	Under recovery procedure
Recovery requested	R	No	Recovery requested
Recovery request rejected	R	No	Recovery Request rejected
Recovery completed	R	Yes	Recovery completed

Table 12: States of an MRN at the Office of Destination

III.V.4 Office of Exit for Transit STD

Prior to the arrival of the goods to the borders of the Customs Territory of the Union, the Office of Departure notifies the Office of Exit for Transit about the consignment with the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160) message. The state of the movement at the Office of Exit for Transit becomes “AXR created”.

Upon arrival of the movement at the Office of Exit for Transit, NCTS requests an automatic national risk analysis in order to decide whether the goods are eligible for exit from the Security Area. The Office of Exit for Transit notifies the Office of Departure by sending the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) message in case the movement is allowed to leave the Security Area. The state of the movement is set to “Movement left Security Area”.

If the movement is not allowed to leave the Security Area, the state of the movement is set to “Movement stopped”. The Office of Exit for Transit acts as the actual Office of Destination for the movement and the process of arrival is manually triggered with its individual state transitions (as described in III.V.3).

In case the Office of Exit for Transit has no information regarding the movement due to the diversion of the route (neither available at that Actual Office of Exit for Transit nor nationally available through the ‘Anticipated Exit for Transit Record’ C_AXR_SND (IE160)), it requests the Office of Departure the movement information by sending the ‘Anticipated Exit for Transit Record Request’ C_AXR_REQ (IE164) message. The state of the movement at the Office of Exit for Transit is set to “AXR requested”. The Office of Departure responds with the ‘Anticipated Exit for Transit Record Response’ C_AXR_RSP (IE165) message to the Office of Exit for Transit. If the response is positive, then the state of the movement becomes “AXR created”. If the response is negative, then the state is set to “AXR rejected”.

After international diversion, when consignment arrives at its actual destination, a notification message ‘Forwarded Arrival Advice’ C_FWD_ARR (IE024) will automatically be sent by the Office of Departure to the declared Office of Exit for Transit, informing that the movement left the Security Area from a different Office of Exit for Transit. In that case, the state is set to “Arrived”.

Under the state “AXR Created”, the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) can be received when incidents occur in the common domain. In case an incident is registered, through the ‘Incident Notification’ C_INC_NOT (IE180) message in that Office before the dispatch of the ‘Arrival Advice’ C_ARR_ADV (IE006), no ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) needs to be sent by the Office of Departure to that same Office from where the Incident Registration occurred. Additionally, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration.

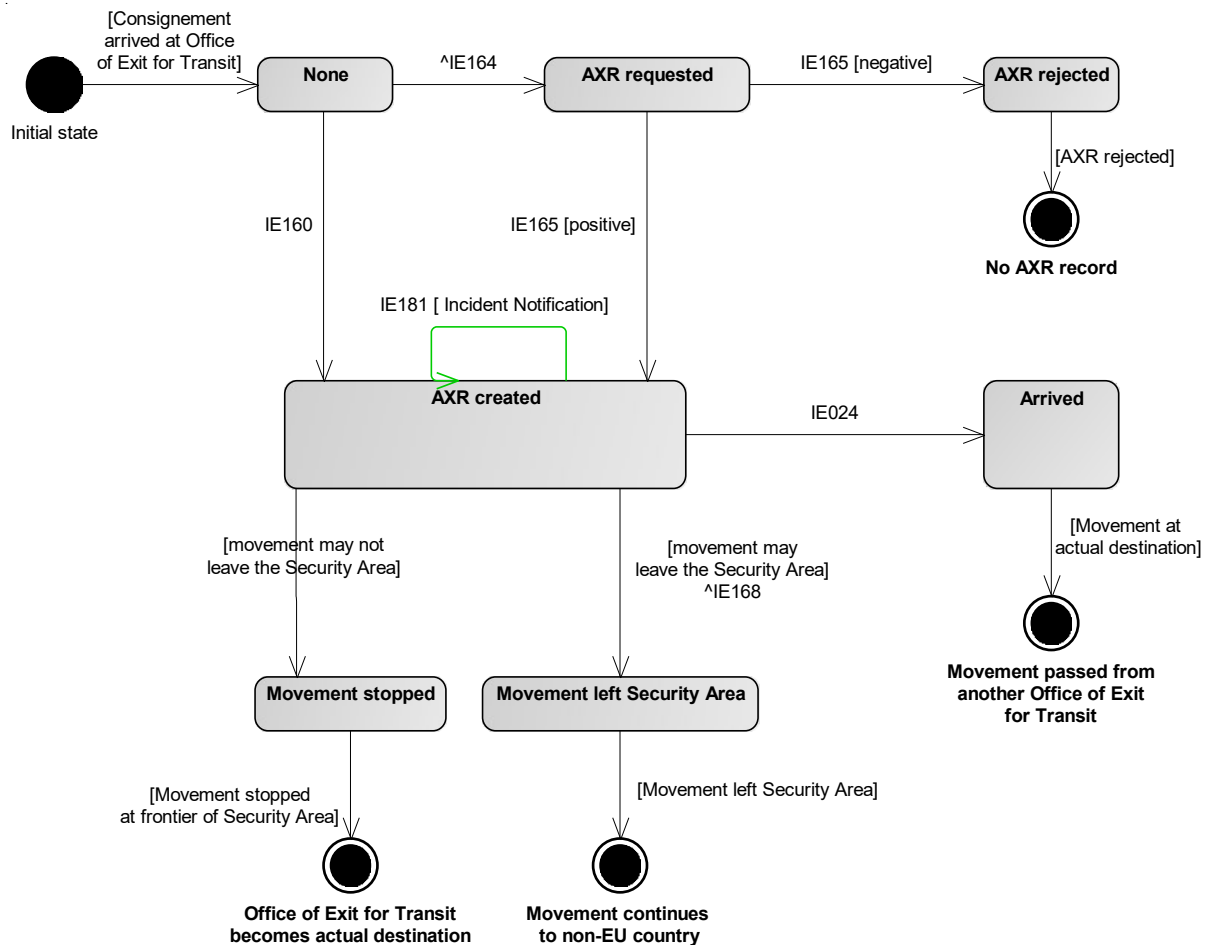


Figure 131: State Transition at Office of Exit for Transit

About the Recovery states at the Office of Exit for Transit, when the movement is not under the “Movement stopped” state, the following can occur:

- The Office of Exit for 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 Exit for Transit receives the ‘Recovery Request’ C_REC_REQ (IE150) message from the Competent Authority of Recovery at Departure and the state of the movement is set to “Recovery Requested”:
 - If the Competent Authority of Recovery in the Country of Exit for Transit accepts that it is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message and the state of the movement is set to “Under recovery procedure”:
 - When Recovery has been completed at the Country of Exit for Transit, the Competent Authority of Recovery in the Country of Exit for Transit sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”.
 - If the Competent Authority of Recovery in the Country of Exit for Transit does not accept that it is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 Exit for Transit. The state of the movement at the Office of Exit for Transit is then set to “Under recovery procedure”;

- The Competent Authority of Recovery in the Country of Exit for Transit decides that it is competent and sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery requested”:
 - If the Competent Authority of Recovery at Departure accepts that the Country of Exit for Transit is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message and the state of the movement is set to “Under recovery procedure” state. Recovery is carried out at the Country of Exit for Transit:
 - When Recovery has been completed at the Country of Exit for Transit, the Competent Authority of Recovery in this country sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”;
 - If the Competent Authority of Recovery at Departure does not accept that the Country of Exit for Transit is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 Exit for Transit. The state of the movement at the Office of Exit for Transit is then set to “Under recovery procedure”.

In all the cases that the Recovery has not been performed at the Country of Exit for Transit, the Competent Authority in the Country of Exit for Transit will receive the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message from the Competent Authority of Recovery at Departure and the state will be set to “Recovery completed”.

In the case the movement is not active anymore (archived) at the receiving Customs Office, the ‘Recovery Communication’ C_REC_COM (IE063) message and the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message must be accepted for information.

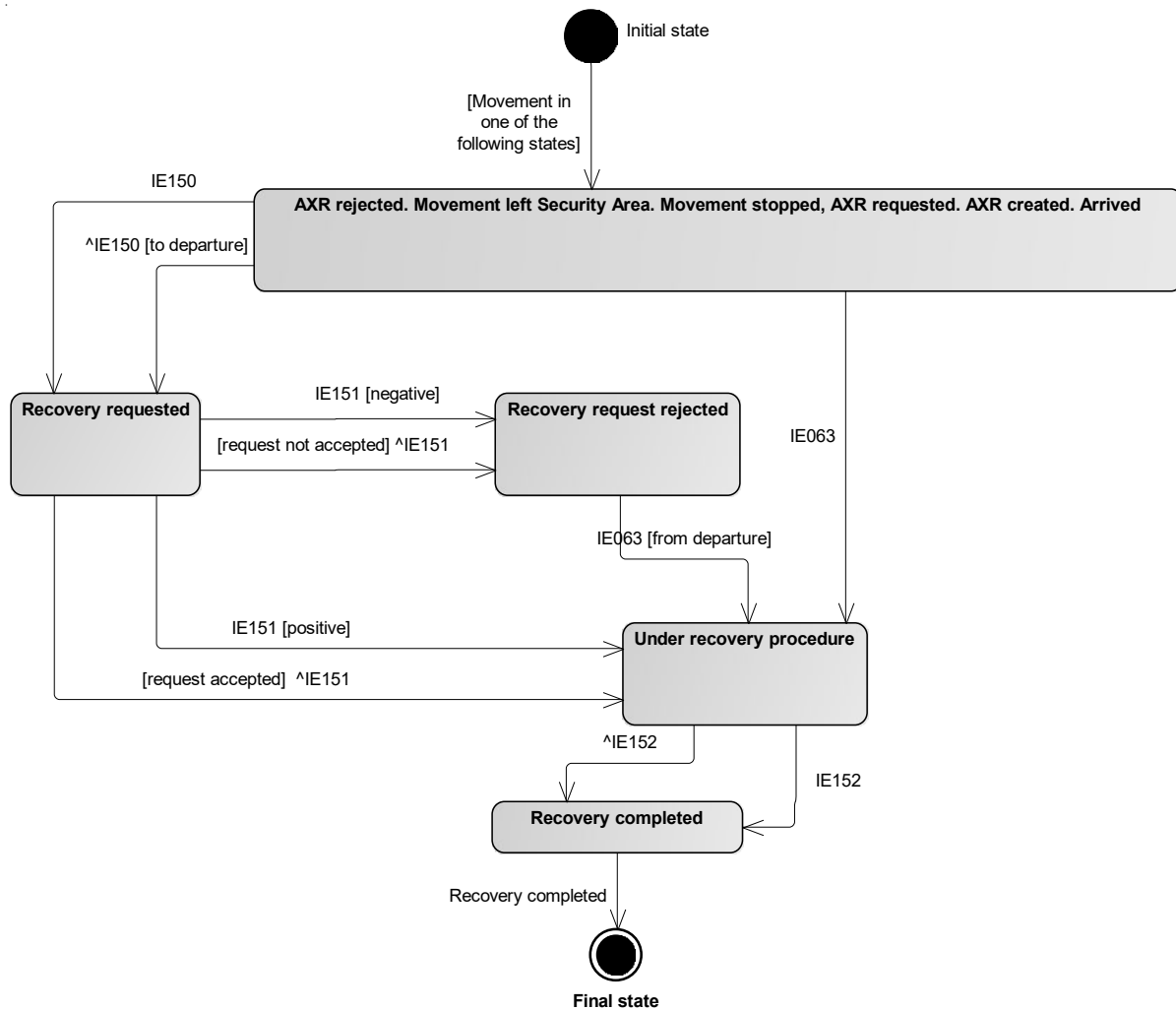


Figure 132: State Transition at Office of Exit for Transit with Recovery States

The list of all the states for Office of Exit for Transit is given in the table below:

Name	Status	Final	Reported to Requested NCTS Office
None	R	No	N/A
AXR requested	R	No	AXR requested
AXR rejected	R	Yes	AXR rejected
AXR created	R	No	AXR created
Arrived	R	Yes	Arrived
Movement stopped	R	Yes	Movement stopped
Movement left Security Area	R	Yes	Movement left Security Area
Invalidated	R	Yes	Invalidated
Recovery requested	R	No	Recovery requested
Recovery request rejected	R	No	Recovery request rejected
Under recovery procedure	R	No	Under recovery procedure
Recovery completed	R	Yes	Recovery completed

Table 13: States of an MRN at the Office of Exit for Transit

III.V.5 Office of Incident Registration STD

The state diagram of the Office of Incident Registration is illustrated below.

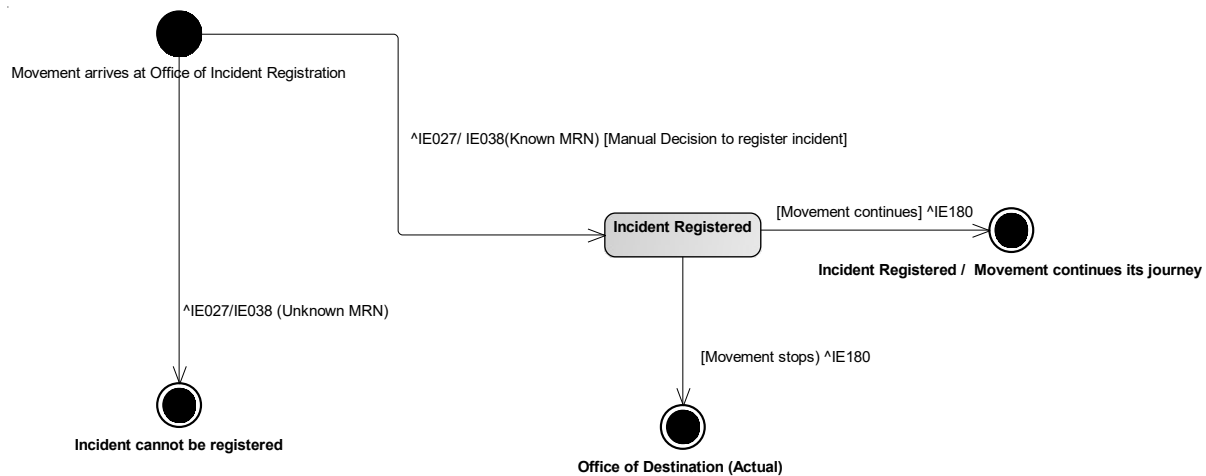


Figure 133: State Transition in Office of Incident Registration

When incidents for a transit movement are reported to the nearest and active NCTS Office, where the means of transport are located, then this Office turns out to be the Office of Incident Registration, which needs to request the consignment information from the Office of Departure by sending the ‘Movement Query’ C_MVT_QUE (IE027) message. That should always happen regardless if the Office of Incident Registration is also involved into the transit movement (as any other Office role) so as to retrieve the latest status of the movement from the Office of Departure. The registration of incidents from the Office of Incident Registration always takes precedence over the involved Office. That way, incident information is handled first and then the specific Office (involved into the transit movement) performs its normal activities (provided that it does not become Actual Destination).

In the occasion that the Office of Departure cannot locate the movement information, then it replies back with a negative ‘Response to Movement Query’ C_MVT_RSP (IE038) message to the Office of Incident Registration. No further processing action is possible from this point onto the Office of Incident Registration.

But, if the movement information is found at the Office of Departure, then it replies back to the Office of Incident Registration with a ‘Response to Movement Query’ C_MVT_RSP (IE038) message that contains the full transit record and the latest status of the movement from the Office of Departure

Afterwards, the Office of Incident Registration takes the decision whether the movement can continue its journey or not and registers the incident(s) by sending the ‘Incident Notification’ C_INC_NOT (IE180) message to the Office of Departure with any of the following outcomes:

- In case the Office of Incident Registration provides a positive decision that the movement can continue its journey despite the reported incident(s);
- In case the Office of Incident Registration provides a negative decision, meaning that the movement needs to end its journey due to the reported incident(s), then the Office of Incident Registration must switch roles and become the final Office of Destination (Actual).

Upon reception of the ‘Incident Notification’ C_INC_NOT (IE180) message, the Office of Departure forwards the incident information to the Holder of the Transit Procedure through the ‘Forwarded Incident Notification To ED’ E_INC_NOT (IE182) message and to the involved Offices (i.e. Exit for Transit / Transit / Destination) through the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message. Additionally, if a National Administration has more than one (1) involved Customs Offices (with the role of Declared/Actual Office of Transit and/or Declared/Actual Office of Exit for Transit and/or Declared/Actual Office of Destination) participating into the transit movement, then only one (1) ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is sent to this National Administration.

About the Recovery states at the Office of Incident Registration, when the movement is under the “Incident registered” state, the following can occur:

- The Office of Incident Registration 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 Incident Registration receives the ‘Recovery Request’ C_REC_REQ (IE150) message from the Competent Authority of Recovery at Departure and the state of the movement is set to “Recovery Requested”:
 - If the Competent Authority of Recovery in the Country of Incident Registration accepts that it is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message and the state of the movement is set to “Under recovery procedure”:
 - When Recovery has been completed at the Country of Incident Registration, the Competent Authority of Recovery in the Country of Incident Registration sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”.
 - If the Competent Authority of Recovery in the Country of Incident Registration does not accept that it is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 Incident Registration. The state of the movement at the Office of Incident Registration is then set to “Under recovery procedure”;
- The Competent Authority of Recovery in the Country of Incident Registration decides that it is competent and sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery requested”:
 - If the Competent Authority of Recovery at Departure accepts that the Country of Incident Registration is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message and the state of the movement is set to “Under recovery procedure” state. Recovery is carried out at the Country of Incident Registration:
 - When Recovery has been completed at the Country of Incident Registration, the Competent Authority of Recovery in this country sends the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”;

- If the Competent Authority of Recovery at Departure does not accept that the Country of Incident Registration is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 Incident Registration. The state of the movement at the Office of Incident Registration is then set to “Under recovery procedure”.

In all the cases that the Recovery has not been performed at the Country of Incident Registration, the Competent Authority in the Country of Incident Registration will receive the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message from the Competent Authority of Recovery at Departure and the state will be set to “Recovery completed”.

In case the Office of Incident Registration is also an involved Office to the Transit movement (e.g. Office of Transit), then the statuses as the other involved Office are considered for Recovery. But, in case the Office of Incident Registration is not involved into the transit movement, then it is also considered an involved Office to the transit movement (for the Recovery purposes) at the “Incident registered” status since the ‘Incident Notification’ C_INC_NOT (IE180) message is communicated to the Office of Departure.

But, in all other statuses than the ‘Incident registered’ status, the Office of Incident Registration is considered as another country. Please refer to section III.V.6.

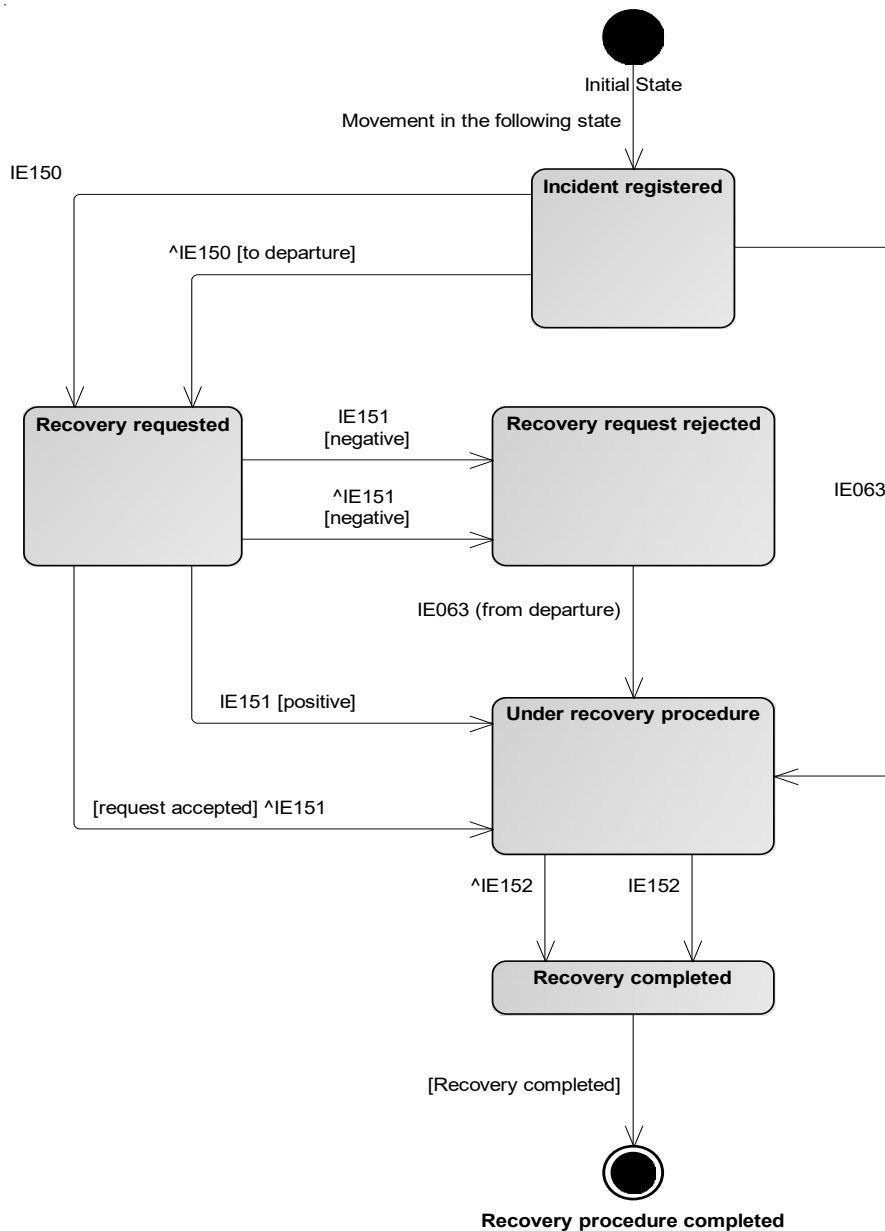


Figure 134: State Transition at Office of Incident Registration with Recovery States

The list of all the states for Office of Incident Registration is given in the table below:

Name	Status	Final
Incident registered	R	Yes
Recovery requested	R	No
Recovery request rejected	R	No
Under recovery procedure	R	No
Recovery completed	R	Yes

Table 14: States of an MRN at the Office of Incident Registration

III.V.6 Other Country STD

Recovery may be accomplished in a country other than the Country of Departure, the Country of Destination or the Country of Exit for Transit or the Country of Transit. This is reflected in the state transition diagram below, where the movement is unknown. A Country of Transit or Destination (actual) can also participate in the Recovery procedure if the corresponding movement has reached the final state and is archived. In this case, the Country of Transit or Destination acts as Other Country.

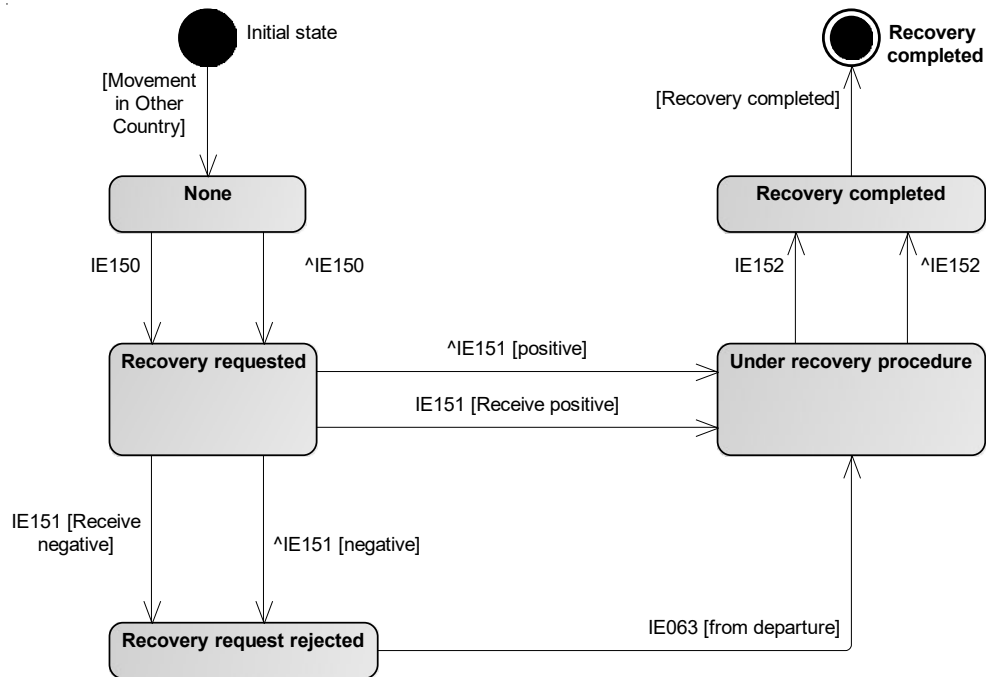


Figure 135: State Transition Diagram for Other Country

- The Competent Authority of Recovery in Other Country receives the ‘Recovery Request’ C_REC_REQ (IE150) message from the Competent Authority of Recovery at Departure and the state of the movement is set to “Recovery requested”.
 - If the Competent Authority of Recovery in Other Country accepts that it is competent, it sends the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”.
 - If the Competent Authority of Recovery in Other Country does not accept that it is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 Other Country decides that it is competent and sends the ‘Recovery Request’ C_REC_REQ (IE150) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery requested”.
 - If the Competent Authority of Recovery at Departure accepts that the Other Country is competent, it replies with the positive ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message to the Competent Authority of Recovery at Departure. The state of the movement is set to “Recovery completed”.
 - If the Competent Authority of Recovery at Departure does not accept that the other country is competent, it replies with the negative ‘Recovery Acceptance Notification’ C_REC_ACC (IE151) message 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 in Other Country, the Competent Authority of Recovery in the Other Country will receive from the Competent Authority of Recovery at Departure the ‘Recovery Dispatch Notification’ C_REC_DIS (IE152) message and the state will be set to “Recovery completed”.

NOTE: A non-involved country into the transit movement can retrieve the transit record by exchanging the ‘Movement Query’ C_MVT_QUE (IE027) / ‘Response to Movement Query’ C_MVT_RSP (IE038) messages with the Office of Departure.

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

Name	Status	Final
None	R	No
Under recovery procedure	R	No
Recovery requested	R	No
Recovery request rejected	R	No
Recovery completed	R	Yes

Table 15: States of an MRN in the Office of Other Country

III.V.7 Invalidation STD

The following diagrams present invalidation of the transit declaration at the Office of Departure before and after release for transit. Additionally, it presents what happens to the Office of Transit, Office of Exit for Transit and Office of Destination after the ‘Invalidation Notification’ C_INV_NOT (IE010) message is received.

III.V.7.1 Invalidation at Office of Departure

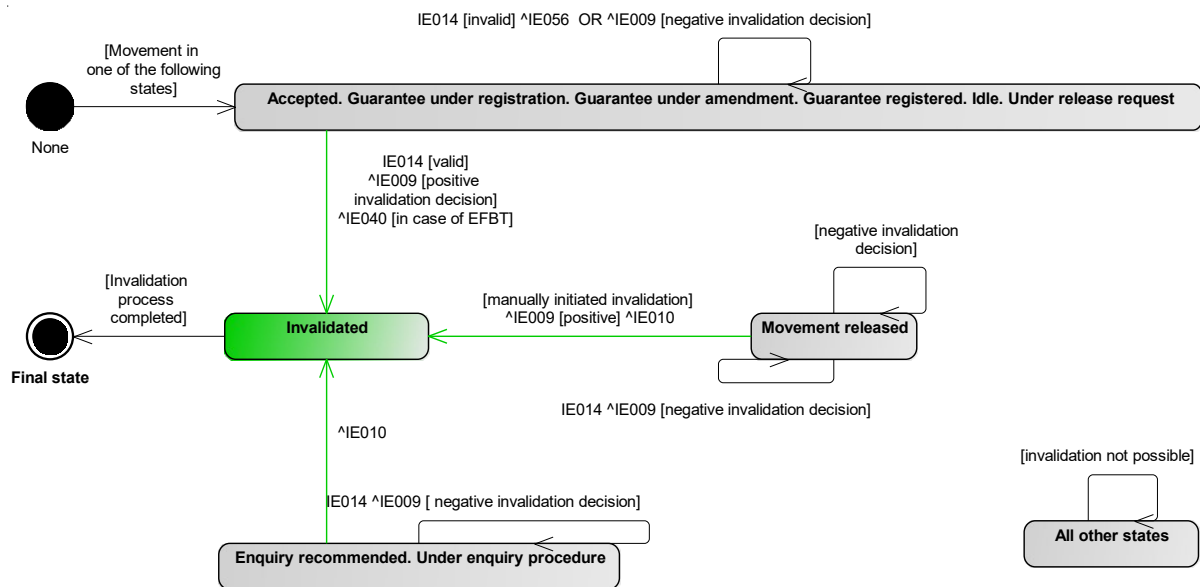


Figure 136: Invalidation at Office of Departure

Please note that only the Holder of the Transit Procedure may initiate invalidation of a transit declaration. A valid ‘Declaration Invalidation Request’ E_DEC_INV (IE014) will be replied with a ‘Invalidation Decision’ E_INV_DEC (IE009) message that contains a negative invalidation decision once the movement has been released for transit. In case of Export followed by Transit, the Office of Departure sends the ‘Transit Invalidation Notification to AES’ N_INV_TRA (IE040) message to the Office of Exit.

However, if it is found after the movement has been released for transit that any of the following erroneous cases happen: a) Union goods have been declared in error for a customs procedure applicable to non-Union goods or b) the goods have been erroneously declared under more than one customs declaration, the Office of Departure requests to invalidate the transit movement.

No invalidation is possible when the Office of Exit for Transit or the Office of Transit or the Office of Destination or the Office of Incident Registration have sent any of the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) or ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) or the ‘Arrival Advice’ C_ARR_ADV (IE006) or the ‘Incident Notification’ C_INC_NOT (IE180) message(s).

Before release for transit, the Holder of the Transit Procedure sends a ‘Declaration Invalidation Request’ E_DEC_INV (IE014), and the Office of Departure responds with an ‘Invalidation Decision’ E_INV_DEC (IE009), if the ‘Declaration Invalidation Request’ E_DEC_INV (IE014) is valid (in terms of syntax and R/Cs), and when the following condition is satisfied:

1. The state of the movement is any of the following:

- Accepted, or
- Under release request, or
- Idle, or
- Guarantee under registration, or
- Guarantee under amendment, or
- Guarantee registered.

In case the 'Declaration Invalidation Request' E_DEC_INV (IE014) message, which is received from the Holder of the Transit Procedure, is invalid (e.g. in terms of R/Cs), the Office of Departure sends to the Holder of the Transit Procedure the 'Rejection from Office of Departure' E_DEP_REJ (IE056).

However, in the specific case that the 'Declaration Invalidation Request' E_DEC_INV (IE014) message, sent by the Holder of the Transit Procedure, is received in an inappropriate state (e.g. after release for transit), then the Office of Departure sends to the Holder of the Transit Procedure a 'Invalidation Decision' E_INV_DEC (IE009) message with a negative invalidation decision.

Note: The term 'cancellation' is used for the Pre-Lodged Declaration and not the term 'invalidation'.

After release for transit, the Office of Departure shall be able to invalidate the transit declaration (after receiving a request from the Holder of the Transit Procedure by alternative non-electronic means), if the following two conditions are satisfied:

1. The state of the movement is any of the following:

- Movement released, or
- Enquiry recommended, or
- Under enquiry request;

2. The 'Arrival Advice' C_ARR_ADV (IE006), the 'Notification Crossing Frontier' C_NCF_NOT (IE118), the 'Notification Leaving Security Area' (IE168), the 'Incident Notification' C_INC_NOT (IE180) messages have not been received.

Once the Customs Officer has invalidated the movement, the Office of Departure informs:

- The Holder of the Transit Procedure with an 'Invalidation Decision' E_INV_DEC (IE009) message;
- The Office of Destination, the Office of Transit and the Office of Exit for Transit (if any) with the 'Invalidation Notification' C_INV_NOT (IE010) message.

When the transit declaration references Export MRN(s) in Previous Documents and the goods have been released for transit, the transit declaration cannot be invalidated.

III.V.7.2 Invalidation at Office of Transit, at Office of Exit for Transit and Office of Destination

This is best summarised as follows:

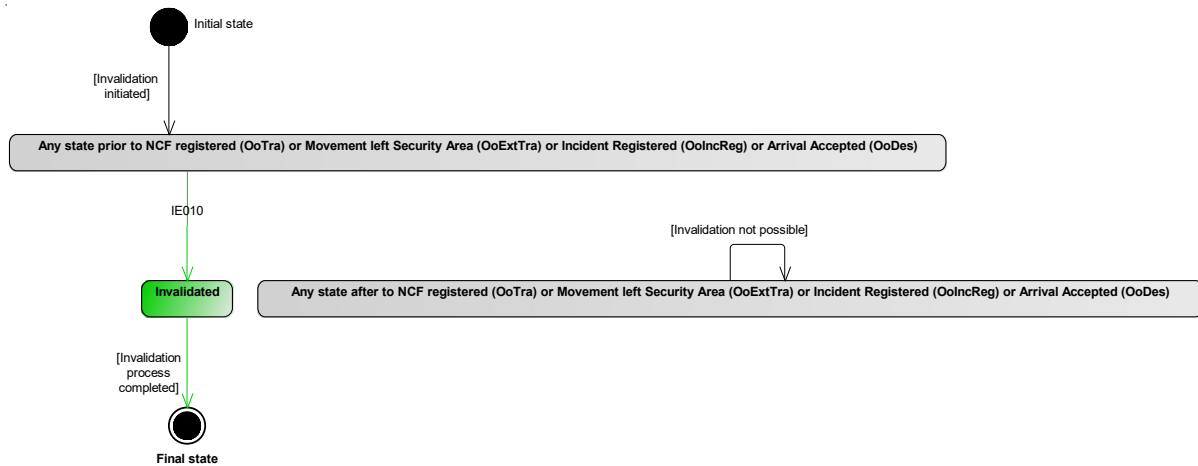


Figure 137: Invalidation at Office of Transit, at Office of Exit for Transit and Office of Destination

No invalidation of a transit declaration is possible when the Office of Departure has received the ‘Notification Crossing Frontier’ C_NCF_NOT (IE118) or the ‘Notification Leaving Security Area’ C_LSA_NOT (IE168) or the ‘Arrival Advice’ C_ARR_ADV (IE006) or the ‘Incident Notification’ C_INC_NOT (IE180) message(s).

III.VITimers

Every Transit Application needs to conform to several timing rules. The different timing aspects are in this sub-section. Basically, there are the following types of timers and/or timing rules to be implemented:

- Functional timers, as foreseen in Functional Transit System Specification (FTSS NCTS-P5 L4 BPMs [R9]).
- Timers and timing rules related to exceptions (these are also defined in the FTSS NCTS-P5 L4 BPMs [R9]).

III.VI.1 Business Timers

The following table lists the functional timers. For each timer, the table lists:

- Timer name;
- Process, event or condition when the timer starts;
- Process, event or condition when the timer stops;
- Process, event or condition when the timer is reset (not for all timers);
- Process, event or condition when the timer expires.

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
Awaiting Presentation Notification (T_Await_Presentation_Notification)	When the Declaration Data E_DEC_DAT (IE015) is submitted prior to the presentation of the goods, the timer Awaiting Presentation Notification is started to set the deadline for the presentation of the goods at the Office of Departure	Customs Office of Departure	M	30D	The Holder of the Transit Procedure submits the 'Declaration Data' E_DEC_DAT (IE015) message by setting the DI 'Additional Declaration Type' to be equal to 'D'; AND The state is set to Pre-Lodged .	The Goods are presented, and the Holder of the Transit Procedure notifies the Office of Departure with a valid 'Presentation Notification for the Pre-Lodged Declaration' E_PRE_NOT (IE170) message.	N/A	The status of the transit movement at the Office of Departure is set to Rejected .
Awaiting Automatic Release (T_Awaiting_Automatic_Release)	When the Declaration Data E_DEC_DAT (IE015) is submitted under simplified procedure, the timer Awaiting for automatic release is started to progress towards an automatic release of the transit movement in case the Office of Departure decides no control	Customs Office of Departure	SR	46	The transit declaration is lodged under simplified procedure; AND The state is set to Accepted ; AND	Customs Office of Departure decides to control the transit movement while the timer is running.	The Holder of the Transit Procedure submits a valid 'Declaration Amendment' E_DEC_AMD	The status of the transit movement at the Office of Departure is set to Under guarantee registration .

⁴⁵ Possible values:

- **Mandatory (M):** This timer is mandatory. Its duration is defined (in most cases based on legislation) in Hours (H), or Days (D) or Months (M)
- **Strongly Recommended (SR):** This timer is strongly recommended. Its duration is not legally defined.

⁴⁶ Nationally defined duration, which can be varied per Customs Office.

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
					The transit movement is NOT assessed to be of high risk.		(IE013) message. When the Office of Departure accepts it, the running timer restarts.	
Declaration Awaiting Release Request (T_Declaration_Awaiting_Release_Request)	After control at the Office of Departure, minor discrepancies are discovered. The Holder of the Transit Procedure does not provide advice for these discrepancies. Therefore, this timer is started to wait for the Holder of the Transit Procedure's advice with the IE054 message.	Customs Office of Departure	SR		The Office of Departure detects minor discrepancies during the control of the transit movement and registers the results by means of the 'Departure Control Results' N_DEP_CON (IE017) message; AND The 'Release requested flag' is absent in the 'Departure Control Results' N_DEP_CON (IE017) message (i.e. Holder did not provide advice on minor revisions); AND The status of the movement at the	The Office of Departure receives the 'Request of Release' E_REQ_REL (IE054) message from the Holder of the Transit Procedure. This message contains the Holder's advice on the minor revisions (i.e. agreement or rejection)	N/A	The status of the transit movement at the Office of Departure is set to Idle .

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
					Office of Departure is set to Under release request			
Guarantee Awaiting Amendment (T_Guarantee_Awaiting_Amendmen t)	When the registration of the guarantee usage fails, the Holder of the Transit procedure is notified (IE055) that the declared guarantee is not valid and has the possibility to amend the invalid guarantee. The timer Guarantee awaiting for amendment is started to set the deadline for the amendment of the guarantee details.	Customs Office of Departure	SR		When one of the checks of the registration of the guarantee usage failed, the Holder of the Transit procedure is notified (IE055) that the declared guarantee is not valid so as to send the 'Declaration Amendment' E_DEC_AMD (IE013) message to amend the guarantee details.	The Office of Departure receives a valid 'Declaration Amendment' E_DEC_AMD (IE013) message that amends the guarantee details.	N/A	The timer expires and the Office of Departure has not received a valid 'Declaration Amendment' E_DEC_AMD (IE013) message that amends the guarantee details; AND The status of the transit movement is set to Not released for transit . AND The Office of Departure notifies the Holder of the Transit Procedure with the 'No Release for Transit' E_REL_NOT (IE051).
Declaration Awaiting Amendment due to Export (T_Declaration_Awaiting_Amendme nt_Export)	When the Export MRNs referenced into the transit declaration are amended by the Holder of the Transit procedure (i.e. IE013 and IE004 messages exchanged), the Office of Departure sends the 'Transit	Customs Office of Departure	SR		When the Office of Exit sends a negative reply 'Transit Presentation Notification response' N_XFT_RSP (IE191) message to the Office	While the timer is running, the Holder of the Transit Procedure sends a 'Declaration Amendment' E_DEC_AMD (IE013), which is valid, and in return the Office of Departure replies with the 'Amendment Acceptance' E_AMD_ACC (IE004) message;	Every time a negative reply 'Transit Presentati on	The timer expires and the Office of Departure has not received from the Holder of the Transit Procedure a valid 'Declaration Amendment'

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
	<p>Presentation Notification' N_XFT_REQ (IE190) message to validate the modifications of the Export MRNs from the Office of Exit. In case of negative response from the Office of Exit via the 'Transit Presentation Notification response' N_XFT_RSP (IE191) message, the Holder of the Transit Procedure needs to amend the transit declaration by removing the 'problematic' Export MRNs. For this purpose, the Holder of the Transit Procedure receives the 'Notification to Amend Declaration' E_AMD_NOT (IE022) message from the Office of Departure. While the Office of Departure expects the reception of another 'Declaration Amendment' E_DEC_AMD (IE013) message by the Holder of the Transit Procedure, the timer Declaration Awaiting Amendment due to Export is started to set the deadline for the amendment of the transit declaration details that reference Export MRNs.</p>				<p>of Departure due to the invalid amendment of the transit declaration (e.g. Export MRNs in an inappropriate status at the Office of Exit), the status of the transit declaration is set to Under amendment request due to EFBT;</p> <p>AND</p> <p>The timer is started.</p>	<p>AND</p> <p>The Office of Departure sends the 'Transit Presentation Notification' N_XFT_REQ (IE190) message to the Office of Exit. In that case, the timer is stopped.</p>	<p>Notification response' N_XFT_RSP (IE191) message to the Office of Departure due to the invalid amendment is returned to the Office of Departure, the timer starts.</p>	<p>E_DEC_AMD (IE013) message that removes the problematic Export MRNs from the transit declaration. In that case, the status of the transit movement is set to Not released for transit;</p> <p>AND</p> <p>The Office of Departure notifies the Office of Exit with the 'Transit Invalidation Notification to AES' N_INV_TRA (IE040) message;</p> <p>AND</p> <p>The Office of Departure notifies the Holder of the Transit Procedure with the 'No Release for Transit' E_REL_NOT (IE051) message.</p>
International / National Guarantee registration response (International/National_Guarantee_Registration_Response)	The timers International Guarantee registration response & National Guarantee registration response set the deadline for the registration of the Guarantee(s) at the Office of	Customs Office of Departure	R	Not less than 5min	The 'Guarantee Use' C_GUA_USE (IE203) message(s) is/are sent to the Office of Guarantee(s) located	When the Office of Departure receives the 'Guarantee Use Result' C_GUA_USR (IE205);	N/A	<p>In case the IE205 is not received within five (5) minutes (a timer is defined)</p> <p>AND</p>

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
	Guarantee(s) (i.e. located nationally and internationally) that are related to the transit movement.				nationally and internationally;	When the Office of Departure decides to manually accept/reject the Guarantee(s).		<p>An unavailability was communicated by the Country of Guarantee via CS/MIS2 and the GMS fallback procedure was started, the movement can be released for transit at Departure;</p> <p>OR</p> <p>If an IE205 is received AFTER five (5) minutes and AFTER the release of the movement for transit, this IE205 will not be rejected by the Office of Departure:</p> <ul style="list-style-type: none"> • If the IE205 is positive, the process continues as usual, with IE209 and IE204 exchanged as per normal flow. • Nevertheless, in case the IE205 is negative, the procedure for solving this

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
								kind of issue will be handled outside NCTS (by the National Help Desks) ⁴⁷ .
Awaiting Receipt of Arrival Advice (T_Await_Arrival_Advice or T_Time_to_Start_Enquiry)	The Office of Departure sets the time limit within which the goods shall be presented at the Office of Destination. This timer is initiated when the transit movement is released for transit.	Customs Office of Departure	M ⁴⁸		When there is decision that the movement is released for transit; AND The status of the movement is set to Movement released	When the Office of Departure receives the ‘Arrival Advice’ C_ARR_ADV (IE006); OR When the Competent Authority of Enquiry at Departure decides to recommend enquiry and thus the timer is stopped; OR When the Competent Authority of Recovery at Departure decides to recommend Recovery; OR When the ‘Recovery Request’ C_REC_REQ (IE150) message is received by the Competent	The Enquiry process is postponed. Therefore, the Office of Departure resets the timer “Awaiting Receipt of Arrival Advice” as necessary; AND The status of the movement is reverted	The “Awaiting Receipt of Arrival Advice” timer expires and no ‘Arrival Advice’ C_ARR_ADV (IE006) has been received. In that case, the status of the movement is set to Enquiry recommended ; AND The IE094 and IE095 are exchanged automatically between the Office of Departure and the Office of Destination to synchronise status

⁴⁷ Fallback GMS Procedure will be described in a Business Continuity document.

⁴⁸ The duration of this timer is set by the Office of Departure when the movement is released for transit by considering specific details of the transit declaration (e.g. means of transport, itinerary, other information etc.). For more details, please refer to the Transit Manual [A2]. The expected date of arrival at the Office of Destination is communicated to the Common Domain with the IE001/IE050/IE160 messages that include the data element “CONTROL RESULT.Date”.

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
						Authority of Recovery at Departure.	to Movement released.	(in case the IE006 has been sent but not received).
Awaiting Receipt of Control Results (T_Await_Receipt_Control_Results or T_Time_to_Start_Enquiry)	The timer Awaiting Receipt of Control Results is started when the movement is released for transit. Its purpose is to set the deadline for the reception of the destination control results message (IE018) from the Office of Destination where the transit movement is presented.	Customs Office of Departure	M ⁴⁹	<p>When there is decision that the movement is released for transit;</p> <p>AND</p> <p>The status of the movement is set to Movement released.</p>	<p>When the Office of Departure receives the ‘Destination Control Results’ C_DES_CON (IE018);</p> <p>OR</p> <p>When the Competent Authority of Enquiry at Departure decides to recommend enquiry and thus the timer is stopped;</p> <p>OR</p> <p>When the Competent Authority of Recovery at Departure decides to recommend Recovery;</p> <p>OR</p> <p>When the ‘Recovery Request’ C_REC_REQ (IE150) message is received by the Competent Authority of Recovery at Departure.</p>	<p>The Enquiry process is postponed .</p> <p>Therefore, the Office of Departure resets the timer “Awaiting Receipt of Control Results” as necessary;</p> <p>AND</p> <p>The status of the movement is reverted to Arrived in case the movement has arrived at the Office</p>	<p>The “Awaiting Receipt of Control Results” timer expires and no ‘Destination Control Results’ C_DES_CON (IE018) has been received. In that case, the status of the movement is set to Enquiry recommend;</p> <p>AND</p> <p>The IE094 and IE095 are exchanged automatically between the Office of Departure and the Office of Destination to synchronise status (in case the IE018 has been sent but not received).</p>	

⁴⁹ The duration of this timer is “Date of Expected Arrival of IE006+Grace Period”. The grace period is nationally configurable (up to 12 days).

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
							of Destination (i.e. IE006 has been received) OR the status of the movement remains Movement released (i.e. no IE006 has been received).	
Recovery Recommended (T_Recovery_Recommended)	The timer Recovery Recommended is started when the movement is released for transit. Its purpose is to set the deadline for the closure of the transit movement, otherwise Recovery needs to be started by the Office of Departure (collection of debt).	Customs Office of Departure	M	7M 50	When the status of the movement is set to Movement released , the timer starts.	When the Office of Departure receives the 'Destination Control Results' C_DES_CON (IE018) with satisfactory control result code (i.e. A1, or A2 or A5), the movement is closed and thus the timer stops as well; OR Under the status Recovery recommended and while this timer is running, recovery is initiated, and the status is set to Under recovery procedure . In that case, the timer stops.	N/A <i>Note: This timer never restarts since it runs constantly up until its expiration</i>	The "Recovery Recommended" timer expires, and the transit movement has not been closed yet. In that case, the status of the movement is set to/remains Recovery recommended . <i>NOTE: After the expiration of the master timer, recovery must be initiated and the IE006/IE018</i>

⁵⁰ The duration of the Master Recovery Recommended timer is set to seven (7) months after the expected arrival date at Destination.

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
								<i>messages are rejected⁵¹.</i>
Wait for automatic unloading permission (T_Wait_Unloading_Permission)	When the 'Arrival Notification' E_ARR_NOT (IE007) is accepted under simplified procedure at the Office of Destination, the timer Wait for automatic unloading permission starts. Essentially, this timer sets the period during which the Office of Destination needs to decide about controlling of the transit movement or not. So, if this timer expires, the Authorised Consignee is notified to unload the goods located in their own premises with the 'Unloading Permission' E_ULD_PER (IE043) message.	Customs Office of Destination	SR	52	The 'Arrival Notification' E_ARR_NOT (IE007) is registered successfully under simplified procedure AND The transit movement is NOT assessed to be of high risk.	Customs Office of Destination decides to control the transit movement while the timer is running.	N/A	The status of the transit movement at the Office of Destination is set to Unloading ; AND The Office of Destination sends the 'Unloading Permission' E_ULD_PER (IE043) message to the Authorised Consignee.
Awaiting for Discrepancies Resolution (T_Discrepancies_Resolution)	When the 'Destination Control Results' C_DES_CON (IE018) message is received at the Office of Departure that contains unsatisfactory control results (i.e. control result code is equal to 'B1'), this timer is initiated at the Office of Departure. It sets up the suggested time period during which the major discrepancies should be resolved by the Office of Departure, otherwise	Customs Office of Departure	M	13D	The 'Destination Control Results' C_DES_CON (IE018) message is received at the Office of Departure that contains unsatisfactory control results (i.e. control result code is equal to 'B1').	The Office of Departure decides about the resolution of major discrepancies and sends the 'Discrepancies Solved Notification' C_DIS_NOT (IE049) before the deadline of the thirteen (13) days passes, containing one (1) of the following values for the flag 'Discrepancies resolved': <ul style="list-style-type: none"> '1- Discrepancies resolved at departure, movementwritten-off', or 	N/A	When the timer expires, and the Office of Departure has not yet decided about the resolution of the major discrepancies during the time period of thirteen (13) days from the reception of the 'Destination Control Results'

⁵¹ Please refer to Article 87 (2) of UCC & Article 77 of UCC DA.

⁵² Nationally defined duration, which can be varied per Customs Office.

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
	the Office of Destination should be notified, and recovery should most probably be started.					<ul style="list-style-type: none"> • '2-Discrepancies confirmed. Under investigation at departure.' <p><i>NOTE: When the flag 'Discrepancies resolved' is equal to '2- Discrepancies Confirmed. Under investigation at departure', then <u>recovery must be started</u>. In that case, the status at the Office of Departure is set to Recovery recommended, while the status at the Office of Destination is set to Under recovery decision.</i></p>		<p>C_DES_CON (IE018) (with control result code 'B1'), the Office of Departure automatically sends the 'Discrepancies Solved Notification' C_DIS_NOT (IE049) message to the Office of Destination with the flag 'Discrepancies resolved' set to the value: '3 - Timer (13 days) expired and customs office of departure did not resolve discrepancies yet'</p> <p>AND</p> <p>The status at the Office of Departure remains Movement under resolution, while the status at the Office of Destination is set to Under recovery decision.</p> <p><i>NOTE: The master recovery timer continues to run until it expires OR until recovery is</i></p>

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
								<i>initiated OR until the movement is closed.</i>
Time to Enquire Holder on non-arrived movement (T_Notify_IE140)	The Office of Departure has not received the 'Arrival Advice' C_ARR_ADV (IE006) message within the defined time-limit or the 'Destination Control Results' C_DES_CON (IE018) message from the Office of Destination within the defined time-limit. The timer "Time to Enquire Holder on non-arrived movement" (T_Notify_IE140) starts automatically to set deadline for the 'Request on Non-Arrived Movement' E_REQ_MOV (IE140) message to be sent by the Office of Departure to the Holder of the Transit Procedure, requesting them to provide information regarding the authorised consignee of the movement.	Customs Office of Departure	M	7D	The timer Time to Start Enquiry (i.e. refers to non-reception of the IE006/IE018 within the defined time limit) expires; AND The status at the Office of Departure is set to Enquiry recommended.	The Office of Departure decides to contact the Holder of the Transit Procedure by sending the IE140 message AND The status at the Competent Authority of Enquiry at Departure is set to Under enquiry procedure OR The Office of Departure receives a valid 'Arrival Advice' C_ARR_ADV (IE006) message from the Office of Destination. OR The Office of Departure receives a valid 'Destination Control Results' C_DES_CON (IE018) message from the Office of Destination.	N/A	The Office of Departure has not sent any 'Request on Non-Arrived Movement' E_REQ_MOV (IE140) message to the Holder of the Transit Procedure within the defined time-limit. In that case, the information of the Actual Consignee is considered to be sufficient and the Competent Authority of Enquiry at Departure can proceed to send the 'Enquiry Request' C_ENQ_REQ (IE142) message to the Competent Authority of the Enquiry at Destination (nonetheless, the expiration of this timer does not exclude the possibility that the 'Request on Non-Arrived Movement' E_REQ_MOV (IE140) message is

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
								sent after the timer's expiration).
Wait for Response IE141 (T_Wait_Response_IE141)	When the Competent Authority at Departure decides to send the 'Request on non-Arrived Movement' E_REQ_MOV (IE140) message to the Holder of the Transit Procedure, the Wait for Response IE141 timer is started. It sets the deadline by when the Holder of Transit Procedure needs to reply to the Competent Authority of Enquiry at Departure with the 'Information about Non-Arrived Movement' E_MOV_RSP (IE141) message.	Competent Authority of Enquiry at Departure	M	28D	The Competent Authority of Enquiry at Departure sends the 'Request on non-Arrived Movement' E_REQ_MOV (IE140) message to the Holder of the Transit Procedure and the timer starts.	While the timer is running, the Holder of the Transit Procedure sends the 'Information about Non-Arrived Movement' E_MOV_RSP (IE141) message to the Competent Authority of Enquiry at Departure; OR While waiting for the reception of the 'Information About Non-Arrived Movement' E_MOV_RSP (IE141) message, the Office of Departure is notified with the 'Arrival Advice' C_ARR_ADV (IE006) and/or the 'Destination Control Results' C_DES_CON (IE018) message from the Office of Destination; OR The Office of Departure decides to invalidate the transit movement; OR The Office of Departure starts the 'Handle Recovery' procedure in special cases (e.g. fraud or another incident may have taken place). The state of the movement is set to Recovery recommended . However, the master 'Recovery recommended'	N/A	The timer expires and no 'Information about Non-Arrived Movement' E_MOV_RSP (IE141) message is received by the Holder of the Transit Procedure. In that case, the status at the Office of Departure is set to Recovery recommended . However, the master 'Recovery recommended' timer continues running up until its expiration or up until recovery is initiated.

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
						timer continues running up until its expiration or up until recovery is initiated.		
Wait for Enquiry response (T_Wait_Enquiry_Response)	The Competent Authority of Enquiry at Departure starts the Enquiry procedure by sending the 'Enquiry Request' C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination / Office of Destination. This timer sets the deadline by when the Competent Authority of Enquiry at Destination / Office of Destination needs to reply with the 'Enquiry Response' C_ENQ_NEG (IE143) message.	Competent Authority of Enquiry at Departure	M	28D / 40D 53	The Competent Authority of Enquiry at Departure sends the 'Enquiry Request' C_ENQ_REQ (IE142) message to the Competent Authority of Enquiry at Destination.	The Competent Authority of Enquiry at Departure receives the 'Enquiry Response' C_ENQ_NEG (IE143) message, while the timer is running; OR While waiting for the reception of the 'Enquiry Response' C_ENQ_NEG (IE143) message, the Office of Departure is notified with the 'Arrival Advice' C_ARR_ADV (IE006) and/or the 'Destination Control Results' C_DES_CON (IE018) message from the Office of Destination; OR The Office of Departure decides to invalidate the transit movement and the Competent Authority of Enquiry at Departure sends the	N/A	The timer expires and no 'Enquiry Response' C_ENQ_NEG (IE143) message has been received. The Competent Authority of Enquiry at Departure sends the 'Cancel Enquiry Notification' C_CAN_ENQ (IE059) message to the Competent Authority of Enquiry at Destination / Office of Destination so as to cancel the pending 'Enquiry Request' C_ENQ_REQ (IE142) message.

⁵³ The expiration date of this timer is manually set by the Officer and can either be equal to 28 days or 40 days from the date the IE142 is sent by the Competent Authority of Enquiry at Departure. The Competent Authority of Enquiry at Departure assesses the information provided by the Holder of the Transit Procedure and the Competent Authority of Enquiry at Destination/Office of Destination needs to answer within 28 days (in case of unsatisfactory information) or 40 days (in case of satisfactory information) by the date receiving the enquiry request. Nevertheless, in case the Holder of the Transit Procedure is not contacted, because the Competent Authority of Enquiry at Departure already has satisfactory information, then the Office of Destination/Competent Authority of Enquiry at Destination needs to answer within 40 days. However, in case of suspicion for fraud, the time limit for the Office of Destination/Competent Authority of Enquiry at Destination is set to 28 days. Additionally, when enquiry is performed due to the fact that no IE018 message was received on time, but the IE006 has been received, the Competent Authority of Enquiry at Destination/Office of Destination needs to answer within 40 days. In the latter case, the expiration date of this timer will be set to 40 days by the Officer.

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration		
					Start	Stop	Restart			
						<p>'Cancel Enquiry Notification' C_CAN_ENQ (IE059) message to close the pending 'Enquiry Request' C_ENQ_REQ (IE142) message;</p> <p>OR</p> <p>The Customs Officer starts the 'Handle Recovery' procedure in special cases (e.g. fraud or another incident may have taken place). The state of the movement is set to Recovery recommended. However, the master 'Recovery recommended' timer continues running up until its expiration or up until recovery is initiated. The Competent Authority of Enquiry at Departure sends the 'Cancel Enquiry Notification' C_CAN_ENQ (IE059) message to close the pending 'Enquiry Request' C_ENQ_REQ (IE142) message</p>				
Wait for Recovery Acceptance Notification (T_Await_Recovery_Acceptance_Notif)	The Competent Authority of Recovery at Departure decides that it is not competent for Recovery and sends the 'Recovery Request' C_REC_REQ (IE150) message to the Competent Authority of Recovery in the Other Country. This timer sets the deadline by when the Other Country needs to reply with the 'Recovery Acceptance Notification' C_REC_ACC (IE151) message.	Competent Authority of Recovery at Departure	M	28D	The Competent Authority of Recovery at Departure decides that it is not competent for Recovery and sends the 'Recovery Request' C_REC_REQ (IE150) message to the Competent Authority of Recovery at the Other Country.	The Competent Authority of Recovery at the Other Country replies with the 'Recovery Acceptance Notification' C_REC_ACC (IE151) message and Recovery is started;	AND	The status at the Competent Authority of Recovery at Departure is set to Under Recovery procedure;	N/A	The timer expires and the status remains Recovery recommended . The Competent Authority of Recovery at Departure needs to decide whether the Country of Departure will perform Recovery or send another 'Recovery Request'

Timer Name	Description	Role	Duration ⁴⁵		Timer Actions			Event following Expiration
					Start	Stop	Restart	
								C_REC_REQ (IE150) message to another Competent Authority of Recovery at the Other Country.

Table 16: Business timers

III.VI.2 Exception Timers

Two major examples of business exceptions are found in the amendment of a declaration (i.e. please refer to the relevant DDNTA Main Document scenarios in section III.II.2.4) and in the invalidation of a Transit Operation (i.e. please refer to the relevant DDNTA Main Document scenarios in section III.II.2.10). 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.

When acknowledgement is implemented, either the acknowledgement or an error notification must be received within a set period. The non-reception of either an acknowledgement or an error notification within this set period is considered as a failure of the information interchange mechanism. A transaction involving an information interchange will therefore not be completed if an acknowledgement has not been received. For more details, please refer to the Service Level Agreement for Availability and Continuity of Customs Trans-European Systems [A6].

III.VI.3 CCN/CSI Related Timers

A CCN/CSI report message (please refer to 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.

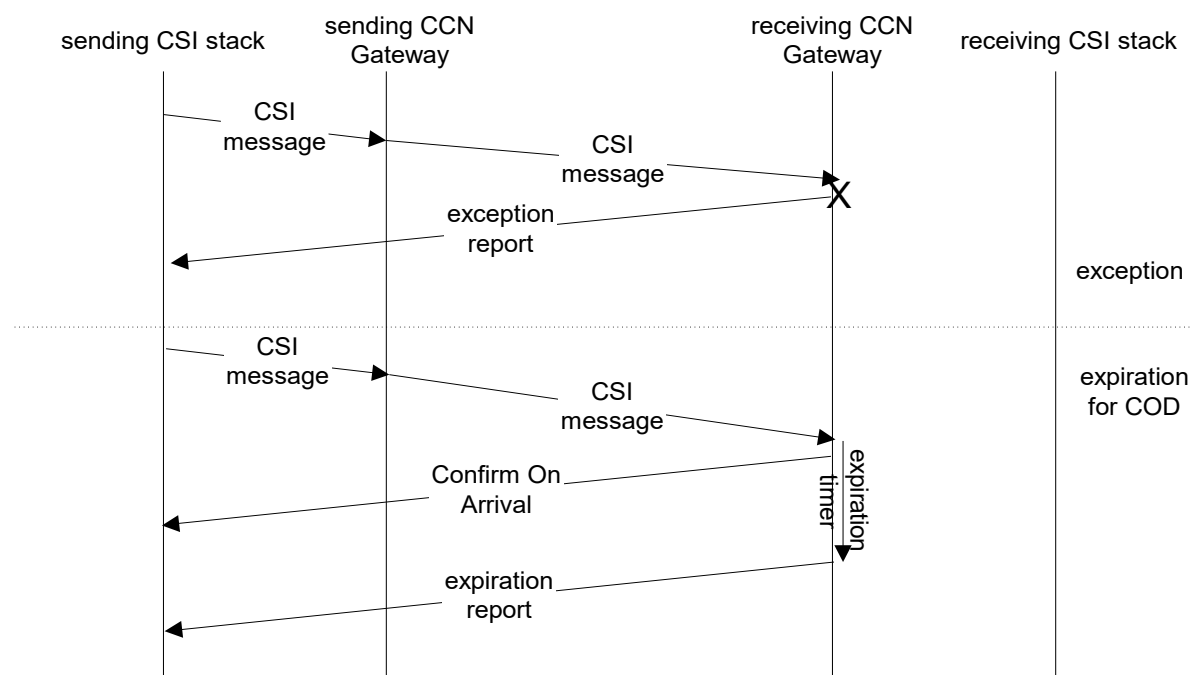


Figure 138: Exception and expiration reports

All possible options for the use of the QoS parameters and their exceptions are defined in Section VIII of DDCOM [A3]. 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.

IV NCTS-P5 Transitional Scenarios

This section provides the principles to be applied by NAs implementing NCTS-P5 functionality during the Transitional Period. In addition, it provides the outcome of transitional analysis and the definition of necessary scenarios (and Time Sequence Diagrams, and State Transition Diagrams, if any) which shall be applied during the transitional period (hereafter Transitional Scenarios).

IV.I Introduction

The current operational phase ‘New Computerised Transit System Phase 4’ (NCTS-P4) implements the functionality for Transit formalities including the safety and security features, as described in the Community Customs Code (CCC) [R6] and its Implementing Provisions [R6].

NCTS-P5 is a new phase implementing the new requirements of the Union Customs Code (UCC) [A9] with its Delegated Act (DA) [A11] and Implementing Act (IA) [A10].

A brief description of NCTS-P5 functionality is provided in section I.I.4. The NCTS-P5 Vision Document [A7] defines the scope of the NCTS-P5.

As per Transition Strategy from NCTS-P4 to NCTS-P5 [A8], the *Progressive Start of Operation* approach has been selected for the transition from NCTS-P4 to NCTS-P5 to ensure business continuity. This will enable NAs to adapt their development considering the various national constraints (resources, technical, etc.) and trader constraints (offering flexibility to EOs in countries with many EOs), while tackling the incompatibility and major evolution of the processes and messages between NCTS-P4 and NCTS-P5.

At this point, two key terms for this document are introduced: “Legacy” and “To Be” situation during the Transitional Period. Hereafter the term “Legacy” refers to NCTS-P4, currently operating in compliance with the CCC and transitional arrangement of the UCC, whereas the term “To Be” refers to the “To Be” NAs during the Transitional Period supporting “To Be” processes, as specified in the “To Be” DDNTA (please see *Scope during Transitional Period* in sub-section IV.III) with the applicable restrictions and relaxations during the Transitional Period, and the processing of the movements (including the “Legacy” ones). “To Be” must comply with the *Common Domain Protocol Policy* during the Transitional Period (please see section IV.V), so as to interoperate and exchange IEs with other NAs, which would be in “Legacy” or “To Be” operation mode. Detailed information about *Transition Sequencing for the TES & an NA* is provided in section 4.1.3.1 of the ‘Implementation of the Transition from “Legacy” NCTS-P4 & ECS-P2 to “To Be” NCTS-P5 & AES-P1’ document [A8].

In addition to this section, the AES and NCTS-P5 Transition Implementation document [A8] presents and clarifies the time sequencing and planning of the transition strategy. Moreover, it defines the policy for the open movements, analyses the implications for the NAs and the Traders and describes the operation management during the Transitional Period. Finally, it summarises the timeline of the transition.

IV.II Identification of “To Be” NA operational mode in Common Domain

IV.II.1 Start of operations in the “To Be” NA operational mode in Common Domain

Each NA shall declare and maintain (when necessary) the start date of operations in the “To-Be” operational mode in Common Domain. This information is critical for the operations during the Transitional Period.

IV.II.2 Not implemented/supported functionality

Each NA running in the “To Be” NA operational mode in Common Domain must also declare any functionality not implemented/operated via the “Availability Management” in CS/MIS2.

In particular, the *Business service not implemented (System Unavailability Type “N”)* shall be used for “specific” functionalities (if any) not implemented yet by a pertinent NA in the scope of the “To Be” phase. These functionalities cannot be any of functionalities/scenarios of the “To Be” phase, guarantying the business continuity as defined in sub-section IV.III.1. Finally, this unavailability must be declared before the start of operations.

IV.II.3 Identification of Recipient NA operational mode by Sender in “To Be”

The sending NCA, operating in the “To Be” NA operational mode in Common Domain must check:

1. The operational mode of NAs of receiving offices and (IV.II.1);
2. Whether a specific business service is implemented and ready to receive and process IEs (IV.II.2).

The check shall be performed before sending an IE to the Common Domain in order to decide which protocol should be used. Please refer to “Protocol for Common Domain exchanges during TP” in sub-section IV.V.

IV.III Scope during Transitional Period

This section defines the scope of Transitional Period by assembling the functionality into the following clusters:

1. [Mandatory Existing processes \(continuity\)](#): it defines the UCC compliant scenarios/processes, states and IEs that must be implemented by an NA in “To Be” phase so as to ensure business continuity with “Legacy” phase.
2. [New processes for a “To Be” country](#): it defines the “To Be” scenarios/processes, states and IEs that must be implemented from NAs in “To Be” phase implementing pertinent new processes. Nevertheless, new processes require specific pre-conditions to be satisfied as defined per process.
3. [Existing processes being phased out](#): it defines the “Legacy” scenarios/processes, states, and IEs phased-out in the “To Be” phase for which there is no interoperability problem in case of communication with “Legacy” NA.
4. [Existing processes upgraded under UCC to be applied at the end of the Transitional Period](#): it defines existing processes/scenarios in “Legacy” that have been upgraded in “To Be” phase but cannot be performed during Transition due to incompatibility between “Legacy” and “To Be” phases. These processes/scenarios can be applied in operations with Big-Bang after end of Transition period.

The above resulted from transitional analysis performed. Details about transitional analysis approach are provided in Appendix B of DDNTA. The detailed transitional analysis of all NCTS-P5 scenarios is provided in the Appendix M excel file which accompanies DDNTA. This is also complemented with the State Machine Transition Analysis, which is provided in the Appendix N.

IV.III.1 Mandatory Existing processes (continuity)

This category includes processes and IEs in relation to processing of a Transit Declaration that exists both in “To Be” and “Legacy”.

IV.III.1.1 Core Business

IV.III.1.1.1 Scenarios

Table 17 presents the NCTS-P5 Core Business scenarios, so as to ensure smooth transition in the Common Domain (interoperability with the NCTS-P4 phase).

NCTS-P5 L2 Scenario Group	NCTS-P5 Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁵⁴	Gap Analysis Indicator ⁵⁵	Remarks	Reference to Transitional Scenario
T-TRA-CLF	NCTSP5/TRA/CFL/T-TRA-CFL-M-001-Standard Transit Procedure (overview)	NCTSP4/TRA/CFL/Normal Procedure at Destination	1	2		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-001-Simplified procedure at departure	NCTSP4/TRA/CFL/Simplified Procedure at Departure	1	2		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-M-006-Control by Office of Departure with release for transit	NCTSP4/TRA/DEP/Control by Office of Departure with release for Transit	1	2		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-007-Positive release request with release for transit	NCTSP4/TRA/DEP/Release request with release for Transit	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-008-Negative release request	NCTSP4/TRA/DEP/Negative release request	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-E-009-Release request rejected	NCTSP4/TRA/DEP/Release request rejected	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-010-Control by Office of Departure with release for transit refused	NCTSP4/TRA/DEP/Control by Office of Departure with release for Transit refused	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-011-Transit Movement is released for transit	NCTSP4/TRA/CFL/Normal Procedure at Destination	1	2		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-E-012-Rejection of transit declaration	NCTSP4/TRA/DEP/Rejection of declaration	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-013-Release for transit refused due to guarantee registration failure	NCTSP4/TRA/DEP/Release for Transit refused	1	1		

⁵⁴ The following TAO values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

⁵⁵ The following GAI values are possible:

- 1: Continuity: A message exchange protocol of previous phase also exists in new phase.
- 2: Phase In: Particular process of the message exchange protocol introduced in new phase and has no previous equivalent in previous phase.
- 3: Phase Out: Particular process of the message exchange protocol of previous phase is discontinued.

NCTS-P5 L2 Scenario Group	NCTS-P5 Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁵⁴	Gap Analysis Indicator ⁵⁵	Remarks	Reference to Transitional Scenario
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-014-Declaration amendment accepted	NCTSP4/TRA/DEP/Declaration amendment accepted	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-E-015-Declaration amendment rejected	NCTSP4/TRA/DEP/Declaration amendment rejected	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-016-Invalidation request by the Holder of the Transit Procedure before release for transit	NCTSP4/TRA/INV/Cancellation by Trader before Release for Transit	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-017-Invalidation request by the Holder of the Transit Procedure after release for transit	NCTSP4/TRA/INV/Cancellation by Office of Departure after Release for Transit	1	2		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-018-Invalidation of a transit declaration before release for transit when declaration data are electronically unavailable	NCTSP4/TRA/INV/Cancellation by Trader before Release for Transit	1	1		
T-TRA-DEP-	NCTSP5/TRA/DEP/T-TRA-DEP-A-019-Invalidation of a transit declaration after release for transit	NCTSP4/TRA/INV/Cancellation by Office of Departure after Release for Transit	1	3		TRN-T-TRA-DEP-A-019
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-020-‘Open’ ATR Response C_ATR_RSP (IE115) is closed	NCTSP4/TRA/DIV/‘Open’ ATR Response C_ATR_RSP (IE115) and ‘open’ AAR Response C_AAR_RSP (IE003) are ‘closed’	1	2		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-021-Release for transit refused for safety and security reasons	NCTSP4/TRA//Release for Transit refused for safety and security reasons	1	1		
T-TRA-DEP	NCTSP5/TRA/DEP/T-TRA-DEP-A-010-Control by Office of Departure with release for transit refused	NCTSP4/TRA//Control by Office of Departure, no major discrepancies, threat to safety or security, with release for Transit refused	1	1		
T-TRA-TRT	NCTSP5/TRA/TRT/T-TRA-TRT-A-001-Diversion at Office of Transit rejected	NCTSP4/TRA/DIV/Diversion at Office of Transit rejected	1	1		
T-TRA-TRT	NCTSP5/TRA/TRT/T-TRA-TRT-A-002-Diversion at Office of Transit accepted	NCTSP4/TRA/DIV/Diversion at Office of Transit accepted	1	1		
T-TRA-TRT	NCTSP5/TRA/TRT/T-TRA-TRT-A-003-Control by Office of Transit with Passage Confirmed	NCTSP4/TRA/CFL/Normal Procedure at Destination	1	1		

NCTS-P5 L2 Scenario Group	NCTS-P5 Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁵⁴	Gap Analysis Indicator ⁵⁵	Remarks	Reference to Transitional Scenario
T-TRA-TRT	NCTSP5/TRA/TRT/T-TRA-TRT-A-004-Control by Office of Transit with Passage Not Confirmed	NCTSP4/TRA//Movement Stopped at Office of Transit	1	1		
T-TRA-TRT	NCTSP5/TRA/TRT/T-TRA-TRT-A-010-Transit Declaration having Office of Destination being also Office of Transit	NCTSP4/TRA/DEP/Control by Office of Departure with release for Transit	1	2		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-M-001-Arrival notification valid	NCTSP4/TRA/CFL/Normal Procedure at Destination	1	1		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-E-003-Rejection of arrival notification	NCTSP4/TRA/DES/Rejection of Arrival Notification	1	1		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-004-Simplified procedure at destination	NCTSP4/TRA/CFL/Simplified Procedure at Destination	1	2		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-006-Unloading Permission Received – Unloading Remarks	NCTSP4/TRA/DES/New unloading permission	1	1		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-E-007-Unloading remarks rejected	NCTSP4/TRA/DES/Unloading information rejected	1	1		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination – Resolved before the expiration of resolution timer	NCTSP4/TRA/DES/Discrepancies found during control	2	3		TRN1-TRA-DES-A-008 TRN2-TRA-DES-A-008
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-012-Major Discrepancies found during control at the Office of Destination – Resolved after the expiration of resolution timer	NCTSP4/TRA/DES/Discrepancies found during control	2	3		TRN1-TRA-DES-A-008 TRN2-TRA-DES-A-008
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-013-Major Discrepancies found during control at the Office of Destination – Major Discrepancies are confirmed– Recovery to be started	NCTSP4/TRA/DES/Discrepancies found during control				TRN1-TRA-DES-A-008 TRN2-TRA-DES-A-008
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-009-Diversion at Office of Destination accepted	NCTSP4/TRA/DIV/Diversion at Office of Destination accepted	1	2		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-010-Diversion at Office of Destination rejected	NCTSP4/TRA/DIV/Diversion at Office of Destination rejected	1	1		

NCTS-P5 L2 Scenario Group	NCTS-P5 Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁵⁴	Gap Analysis Indicator ⁵⁵	Remarks	Reference to Transitional Scenario
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-011-Manual closure at Departure based on alternative proof	NCTSP4/TRA/DEP/Manual Closure at Departure based on alternative proof	1	2		
T-TRA-DES	NCTSP5/TRA/DES/T-TRA-DES-A-009-Diversion at Office of Destination accepted	NCTSP4/TRA//Diversion at Office of Destination accepted, movement closed at destination	1	2		
T-TRA-EXC	NCTSP5/TRA/EXC/T-TRA-EXC-M-001-Query movement information	NCTSP4/TRA/EXC/Query Movement Information	2	1		TRN1-T-TRA-EXC-M-001 TRN2-T-TRA-EXC-M-001
T-TRA-EXC	NCTSP5/TRA/EXC/T-TRA-EXC-A-002-AAR missing	NCTSP4/TRA/EXC/AAR missing	1	2		
T-TRA-EXC	NCTSP5/TRA/EXC/T-TRA-EXC-A-003-ATR missing	NCTSP4/TRA/EXC/ATR missing	1	2		
T-TRA-EXC	NCTSP5/TRA/EXC/T-TRA-EXC-A-004-NCF not received	NCTSP4/TRA/EXC/NCF not received	1	2		
T-TRA-EXC	NCTSP5/TRA/EXC/T-TRA-EXC-A-007-Status request/response	NCTSP4/TRA/EXC/Status request/response	1	1		
T-TRA-TIR	NCTSP5/TRA/TIR/T-TRA-TIR-M-001-Normal procedure-TIR movement data for NCTS/TIR-DATA pilot project	NCTSP4/TRA/TIR/Normal Procedure-TIR movement data for NCTS/TIR-DATA Pilot Project	1	1		
T-GMN-GUI	NCTSP5/GMN/GUI/T-GMN-GUI-M-001-Check guarantee integrity	NCTSP4/GMN/GUI/Check guarantee integrity	1	1		
T-GMN-GUR	NCTSP5/GMN/GUR/T-GMN-GUR-M-001-Registration of guarantee usage	NCTSP4/GMN/GUR/Registration of guarantee usage	1	1		
T-GMN-GUF	NCTSP5/GMN/GUF/T-GMN-GUF-M-001-Credit of Reference Amount	NCTSP4/GMN/GUF/Credit of reference amount	1	1		
T-GMN-GUF	NCTSP5/GMN/GUF/T-GMN-GUF-M-002-Release of a Guarantee	NCTSP4/GMN/GUF/Release of a guarantee	1	1		

NCTS-P5 L2 Scenario Group	NCTS-P5 Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁵⁴	Gap Analysis Indicator ⁵⁵	Remarks	Reference to Transitional Scenario
T-GMN-GUC	NCTSP5/GMN/GUC/T-GMN-GUC-A-005-Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage	NCTSP4/GMN/GUC/Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage	1	1		
T-GMN-GUC	NCTSP5/GMN/GUC/T-GMN-GUC-A-006-Cancellation of guarantee registration usage due to a transit declaration invalidation request submitted by the holder of the transit procedure before release for transit	NCTSP4/GMN/GUC/Cancellation of guarantee registration usage due to a movement cancellation request submitted by the Principal	1	1		
T-GMN-GUC	NCTSP5/GMN/GUC/T-GMN-GUC-A-007-Cancellation of guarantee registration usage due to the invalidation of transit declaration after release for transit	NCTSP4/TRA/INV/Cancellation by Office of Departure after Release for Transit	1	1		
T-GMN-GUC	NCTSP5/GMN/GUC/T-GMN-GUC-A-008-Cancellation of the international guarantee registration usage due to the failure of the national guarantee registration usage	NCTSP4/GMN/GUC/Cancellation of the national guarantee registration usage due to the failure of the international guarantee registration usage	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-M-001-Status Request with Arrival Processing Resumed	NCTSP4/ENR/ENQ/Status Request with Arrival Processing Resumed	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-002-Sufficient information–Enquiry with arrival processing resumed	NCTSP4/ENR/ENQ/Sufficient information – Enquiry with Arrival Processing Resumed	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-003-Sufficient information–Enquiry response with “Return Copy”	NCTSP4/ENR/ENQ/Sufficient information – Enquiry with “Return Copy” returned	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-004-Sufficient information–Enquiry with duplicate movement	NCTSP4/ENR/ENQ/Sufficient information – Enquiry with duplicate movement	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-005-Sufficient information–Enquiry with movement unknown at Destination–Holder of the transit procedure contacted	NCTSP4/ENR/ENQ/Sufficient information – Enquiry with movement unknown at Destination – Principal contacted	1	1		

NCTS-P5 L2 Scenario Group	NCTS-P5 Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁵⁴	Gap Analysis Indicator ⁵⁵	Remarks	Reference to Transitional Scenario
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-006-Insufficient information–Alternative proof and movement closed	NCTSP4/ENR/ENQ/Insufficient information – alternative proof and movement closed	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-007-Insufficient information – Movement closed–Enquiry cancelled	NCTSP4/ENR/ENQ/Insufficient information – alternative proof and movement closed	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-008-Insufficient information–Enquiry started–Recovery started	NCTSP4/ENR/ENQ/Insufficient information – Enquiry started - Recovery started	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-009-Insufficient information–Holder of the transit procedure provides negative response	NCTSP4/ENR/ENQ/Insufficient information – Principal provides negative response	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-010-Enquiry in the case of suspected fraud	NCTSP4/ENR/ENQ/Enquiry in the case of suspected fraud	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-011-Cancellation of enquiry request	NCTSP4/ENR/ENQ/Cancellation of Enquiry Request	1	1		
T-ENR-ENQ	NCTSP5/ENR/ENQ/T-ENR-ENQ-A-012-Exchange of additional information	NCTSP4/ENR/ENQ/Exchange of additional information	1	1		
T-ENR-REC	NCTSP5/ENR/REC/T-ENR-REC-M-001-Recovery is started earlier at Departure	NCTSP4/ENR/REC/Early Recovery in specific cases	1	1		
T-ENR-REC	NCTSP5/ENR/REC/T-ENR-REC-A-002-Recovery at Destination – Destination’s Recovery request accepted	NCTSP4/ENR/REC/Recovery at Destination - Destination’s Recovery Request accepted	1	1		
T-ENR-REC	NCTSP5/ENR/REC/T-ENR-REC-A-003-Recovery at Departure – Destination’s Recovery request rejected	NCTSP4/ENR/REC/Recovery at Departure –Destination’s Recovery Request rejected	1	1		
T-ENR-REC	NCTSP5/ENR/REC/T-ENR-REC-A-004-Recovery at other country – Transfer of competency	NCTSP4/ENR/REC/Recovery at Other Country – Other Country’s Recovery Request accepted	1	1		
T-ENR-REC	NCTSP5/ENR/REC/T-ENR-REC-A-005-Recovery at Departure – Other Country’s Recovery Request Rejected – No Transfer of Competency	NCTSP4/ENR/REC/Recovery at Departure – Other Country’s Recovery Request rejected	1	1		
T-ENR-REC	NCTSP5/ENR/REC/T-ENR-REC-A-006-Recovery at Departure – Departure Recovery Request Sent to Other Country Rejected	NCTSP4/ENR/REC/Recovery at Departure – Departure Recovery	1	1		

NCTS-P5 L2 Scenario Group	NCTS-P5 Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁵⁴	Gap Analysis Indicator ⁵⁵	Remarks	Reference to Transitional Scenario
		request sent to other country rejected				
T-ENR-REC	NCTSP5/ENR/REC/T-ENR-REC-A-007-Recovery at other country–Departure Recovery request sent to other country accepted	NCTSP4/ENR/REC/Recovery at Other Country – Departure Recovery request sent to other country accepted	1	1		

Table 17: Core Business scenarios related to Mandatory Existing processes (continuity)

IV.III.1.1.2 State Machine

IV.III.1.1.2.1 Customs Office of Departure STD

For the Mandatory Existing processes (continuity) - Core Business (IV.III.1.1), the Office of Departure STD (III.V.1) is applicable with the deviations that are defined in Table 18.

It is worth noting that:

- The blue columns represent the [*Office of Departure STD*](#) for NCTS-P5 (“To Be”), as defined in section III.V.1. The blue columns are explained in Table 10: States of an MRN at the Office of Departure.
- The orange columns show the relevant deviations for the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1).
- Column ‘Not applicable state transitions to other states’ defines state transitions from the concerned state to other states, which are not applicable to the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1). All other states that are not mentioned, remain applicable, as per the Office of Departure STD for NCTS-P5 (“To Be”) in sub-section III.V.1.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected states to be reported when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the Office of Departure STD for NCTS-P5 (“To Be”), which are not applicable at all, are excluded from Table 18.**

NCTS-P5 Office of Departure STD for NCTS-P5 (“To Be”) - III.V.1				Deviations for Mandatory Existing processes (continuity) - Core Business (IV.III.1.1)	
Name	Status	Final	Reported to Requesting NCTS-P5 Office	Not applicable state transitions to other states	Reported to Requesting “Legacy” Office
Accepted	R	No	Accepted	<ul style="list-style-type: none"> No transitions to <i>Pending response from AES</i> state 	Accepted
Under Control	R	No	Under Control		Under control
Idle	SR	No	Under control	<ul style="list-style-type: none"> No self-transition with IE014 [invalid] ^IE009 [negative] 	Under control
Under release request	SR	No	Under control		Under control
Not Released for Transit	R	Yes	Not Released for Transit		Not released for Transit
Movement released	R	No	Movement released	<ul style="list-style-type: none"> No self-transitions with IE168 or [negative invalidation decision] 	Movement released
Invalidated	R	Yes	Invalidated		Cancelled
Arrived	R	No	Arrived	<ul style="list-style-type: none"> No transition to <i>Recovery recommended</i> state with IE150 or [Time limit - Recovery recommended - Expired] 	Arrived
Enquiry recommended	R	No	Enquiry recommended		Enquiry recommended
Under enquiry procedure	R	No	Under enquiry procedure	<ul style="list-style-type: none"> No transition to <i>Recovery recommended</i> state with IE150 [from another country] 	Under enquiry procedure
Recovery recommended	R	No	Recovery recommended	<ul style="list-style-type: none"> No transition to <i>Under Recovery procedure</i> state with IE150 ^IE151 [positive] or IE151 [negative] 	Recovery recommended
Under recovery procedure	R	No	Under recovery procedure		Under Recovery procedure
Movement under resolution	R	No	Movement under resolution	<ul style="list-style-type: none"> No transition to <i>Recovery recommended</i> state with [Discrepancies not solved] [master timer ‘Recovery recommended’ stops] 	Movement under resolution
Movement written off	R	Yes	Movement written off		Movement written off
Guarantee under registration	R	No	Guarantee under registration	<ul style="list-style-type: none"> No self-transition with IE014 [invalid] ^IE009 [negative] 	Guarantee under registration
Guarantee registered	R	No	Guarantee registered	<ul style="list-style-type: none"> No self-transition with IE013 [invalid] ^IE056 or IE014 [invalid] ^IE009 [negative] 	Guarantee registered
Guarantee under amendment	R	No	Guarantee under amendment	<ul style="list-style-type: none"> No self-transition with IE014 [invalid] ^IE009 [negative] 	Guarantee under amendment

Table 18: States of an MRN at the Office of Departure during TP for Mandatory Existing processes (continuity) – Core Business (IV.III.1.1)

IV.III.1.1.2.2 Customs Office of Destination STD

For the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1), the NCTS-P5 state machine of the Office of Destination (III.V.3) is applicable with the deviations that are defined in Table 19.

It is worth noting that:

- The blue columns represent the [*Office of Destination STD*](#) for NCTS-P5 (“To Be”), as defined in paragraph III.V.3. The blue columns are explained in Table 12: States of an MRN at the Office of Destination.
- The orange columns show the relevant deviations for Mandatory Existing processes (continuity) – Core Business (IV.III.1.1).
- Column ‘Not applicable state transitions to other states’ defines state transitions from the concerned state to other states, which are not applicable for the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1). All other states that are not mentioned remain applicable as per the Office of Destination STD for NCTS-P5 (“To Be”) in sub-section III.V.3.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected states to be reported, when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the Office of Destination STD for NCTS-P5 (“To Be”), which are not applicable at all, are excluded from Table 19.**

NCTS-P5 Office of Destination STD for NCTS-P5 (“To Be”) - III.V.3				Deviations for Mandatory Existing processes (continuity) - Core Business (IV.III.1.1)	
Name	Status	Final	Reported to NCTS-P5 Office	Not applicable state transitions to other states	Reported to Requesting “Legacy” Office
None	R	No	<i>None (unknown MRN response)</i>		<i>None (unknown MRN response)</i>
AAR created	R	No	AAR created	<ul style="list-style-type: none"> No self-transition with [Forwarded Incident Notification to CD] IE181 	AAR created
Invalidated	R	Yes	Invalidated		Cancelled
AAR requested	R	No	AAR requested		AAR requested
Arrived	R	Yes	Arrived		Arrived
Arrival accepted	R	No	Arrival accepted	<ul style="list-style-type: none"> No self-transition with [Forwarded Incident Notification to CD] IE181 	Arrival accepted
Waiting for discrepancies resolution	R	No	Waiting for discrepancies resolution		Waiting for discrepancies resolution
Goods released	R	Yes	Goods released		Goods released
Diversion rejected	R	Yes	Diversion rejected		Diversion rejected
Unloading	R	No	Unloading		Unloading
Unloading remarks	R	No	Unloading remarks	<ul style="list-style-type: none"> No transition to <i>Under control</i> state with [Decision to control] 	Unloading remarks
Under control	R	No	Under control		Under control
Under recovery procedure	R	No	Under recovery procedure		Under Recovery procedure
Recovery requested	R	No	Recovery requested		Recovery requested
Recovery Request rejected	R	No	Recovery Request rejected		Recovery request rejected
Recovery completed	R	Yes	Recovery completed		Recovery completed

Table 19: States of an MRN at the Office of Destination during TP for Mandatory Existing processes (continuity) - Core Business (IV.III.1.1)

IV.III.1.1.2.3 *Customs Office of Transit*

For the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1), the NCTS-P5 state machine of the Office of Transit (III.V.2) is applicable with the deviations that are defined in Table 20.

It is worth noting that:

- The blue columns represent the [*Office of Transit STD*](#) for NCTS-P5 (“To Be”), as defined in paragraph III.V.2. The blue columns are explained in Table 11: States of an MRN at the Office of Transit.
- The orange columns show the relevant deviations for Mandatory Existing processes (continuity) – Core Business (IV.III.1.1).
- Column ‘Not applicable state transitions to other states’ defines state transitions from the concerned state to other states, which are not applicable for the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1). All other states that are not mentioned remain applicable as per the Office of Transit for NCTS-P5 (“To Be”) in sub-section III.V.2.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected states to be reported, when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the Office of Transit STD for NCTS-P5 (“To Be”), which are not applicable at all, are excluded from Table 20.**

NCTS-P5 Office of Transit STD for NCTS-P5 (“To Be”) - III.V.2				Deviations for Mandatory Existing processes (continuity) - Core Business (IV.III.1.1)	
Name	Status	Final	Reported to NCTS-P5 Office	Not applicable state transitions to other states	Reported to Requesting “Legacy” Office
None	R	No	<i>None (unknown MRN response)</i>		<i>None (unknown MRN response)</i>
Invalidated	R	Yes	Invalidated		Cancelled
ATR created	R	No	ATR created		ATR created
ATR requested	R	No	ATR requested		ATR requested
ATR rejected	R	Yes	ATR rejected		ATR rejected
Arrived	R	Yes	Arrived		Arrived
NCF registered	R	Yes	NCF registered		NCF registered
Movement turned back	R	Yes	Movement turned back		Movement turned back
Movement stopped	R	Yes	Movement stopped		Movement stopped
Under recovery procedure	R	No	Under recovery procedure		Under recovery procedure
Recovery requested	R	No	Recovery requested		Recovery requested
Recovery Request rejected	R	No	Recovery Request rejected		Recovery Request rejected
Recovery completed	R	Yes	Recovery completed		Recovery completed

Table 20: States of an MRN at the Office of Transit during TP for Mandatory Existing processes (continuity) - Core Business (IV.III.1.1)

IV.III.1.1.2.4 *Other country STD*

For the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1), the NCTS-P5 state machine of the Office of Transit (III.V.2) is applicable with the deviations that are defined in Table 21.

It is worth noting that:

- The blue columns represent the *Other Country STD* for NCTS-P5 (“To Be”), as defined in paragraph III.V.6. The blue columns are explained in Table 15: States of an MRN in the Office of Other Country.
- The orange columns show the relevant deviations for Mandatory Existing processes (continuity) – Core Business (IV.III.1.1).
- Column ‘Not applicable state transitions to other states’ defines state transitions from the concerned state to other states, which are not applicable for the Mandatory Existing processes (continuity) – Core Business (IV.III.1.1). All other states that are not mentioned remain applicable as per the Office of Transit for NCTS-P5 (“To Be”) in sub-section III.V.2.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected states to be reported, when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the Office of Transit STD for NCTS-P5 (“To Be”), which are not applicable at all, are excluded from Table 21.**

NCTS-P5 Other Country STD for NCTS-P5 (“To Be”) - III.V.6				Deviations for Mandatory Existing processes (continuity) - Core Business (IV.III.1.1)	
Name	Status	Final	Reported to NCTS-P5 Office	Not applicable state transitions to other states	Reported to Requesting “Legacy” Office
None	R	No	<i>None (unknown MRN response)</i>		<i>None (unknown MRN response)</i>
Under recovery procedure	R	No	Under recovery procedure		Under recovery procedure
Recovery requested	R	No	Recovery requested		Recovery requested
Recovery request rejected	R	No	Recovery request rejected		Recovery request rejected
Recovery completed	R	Yes	Recovery completed		Recovery completed

Table 21: States of an MRN at other country during TP for Mandatory Existing processes (continuity) - Core Business (IV.III.1.1)

IV.III.1.1.3 Information Exchanges⁵⁶

The following IEs in Table 22 must be implemented in the scope of Mandatory Existing processes (continuity) - Core Business (IV.III.1.1):

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁵⁷	NCTS-P5 IE Receive ⁵⁸	IE Status compared to NCTS-P4 ⁵⁹
CD	IE001	CD001C	ANTICIPATED ARRIVAL RECORD	CD001B	M	M	Modified

⁵⁶This list does not include messages for interfacing with CS/MIS2, which must be supported by NA. Please refer to Appendix A.

⁵⁷ This column determines if the construction and the submission of the IE must be processed.

An “M” means that the NA must implement the construction and the sending of this Information Exchange in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be sent during NCTS-P5;
- C_ IE, the IE shall not be sent during NCTS-P5.

⁵⁸ This column determines if the reception and the processing of the IE must be implemented.

An “M” means that the NA must implement the reception and the processing of this IE in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be received during NCTS-P5;
- C_ IE, the IE shall not be received during NCTS-P5.

⁵⁹ This column provides a status of IE compared to NCTS-P4.

- If the IE exists in NCTS-P5 with a different version (message type) compared to NCTS-P4, then it is indicated as "*Modified*".
- If the IE exists in NCTS-P5 with the same version (message type) as in NCTS-P4, then it is indicated as "*Unchanged*".
- If a new IE introduced in NCTS-P5 with a different number and version (message type) so as to replace an IE of NCTS-P4, then it is indicated as "*Replacement (To Be)*". The previous IE number is presented in the list.
- If an IE does not exist anymore in NCTS-P5 but only in NCTS-P4 since it was replaced, then it is indicated as "*Replacement (Legacy)*". The new IE number is presented in the list.
- If a new IE introduced in NCTS-P5 (no predecessor in NCTS-P4), then it is indicated as "*Added*".

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁵⁷	NCTS-P5 IE Receive ⁵⁸	IE Status compared to NCTS-P4 ⁵⁹
CD	IE002	CD002C	ANTICIPATED ARRIVAL RECORD REQUEST	CD002A	M	M	Modified
CD	IE003	CD003C	ANTICIPATED ARRIVAL RECORD RESPONSE	CD003B	M	M	Modified
CD	IE006	CD006C	ARRIVAL ADVICE	CD006A	M	M	Modified
CD	IE010	CD010C	INVALIDATION NOTIFICATION	CD010A	M	M	Modified
CD	IE018	CD018C	DESTINATION CONTROL RESULTS	CD018B	M	M	Modified
CD	IE024	CD024C	FORWARDED ARRIVAL ADVICE	CD024B	M	M	Modified
CD	IE027	CD027C	MOVEMENT QUERY	CD027A	M	M	Modified
CD	IE038	CD038C	RESPONSE TO MOVEMENT QUERY	CD038A	M	M	Modified
CD	IE049	CD049C	DISCREPANCIES SOLVED NOTIFICATION	CD020A	M	M	Modified
CD	IE050	CD050C	ANTICIPATED TRANSIT RECORD	CD050B	M	M	Modified
CD	IE059	CD059C	CANCEL ENQUIRY NOTIFICATION	CD059A	M	M	Modified
CD	IE063	CD063C	RECOVERY COMMUNICATION	CD053A	M	M	Modified
CD	IE071	CD071C	NOTIFICATION OF SYSTEM UNAVAILABILITY TO ND	CD071A	N/A	M	Modified
CD	IE094	CD094C	STATUS REQUEST	CD904A	M	M	Added
CD	IE095	CD095C	STATUS RESPONSE	CD905A	M	M	Added
CD	IE114	CD114C	ANTICIPATED TRANSIT RECORD REQUEST	CD114A	M	M	Modified

- If an IE of NCTS-P4 does not exist in NCTS-P5 (no successor in NCTS-P5), then it is indicated as "*Deleted*".

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁵⁷	NCTS-P5 IE Receive ⁵⁸	IE Status compared to NCTS-P4 ⁵⁹
CD	IE115	CD115C	ANTICIPATED TRANSIT RECORD RESPONSE	CD115B	M	M	Modified
CD	IE118	CD118C	NOTIFICATION CROSSING FRONTIER	CD118A	M	M	Modified
CD	IE142	CD142C	ENQUIRY REQUEST	CD142A	M	M	Modified
CD	IE143	CD143C	ENQUIRY RESPONSE	CD143A	M	M	Modified
CD	IE144	CD144C	ENQUIRY INFORMATION	CD144A	M	M	Modified
CD	IE145	CD145C	ENQUIRY INFORMATION REQUEST	CD145A	M	M	Modified
CD	IE150	CD150C	RECOVERY REQUEST	CD150A	M	M	Modified
CD	IE151	CD151C	RECOVERY ACCEPTANCE NOTIFICATION	CD151A	M	M	Modified
CD	IE152	CD152C	RECOVERY DISPATCH NOTIFICATION	CD152A	M	M	Modified
CD	IE200	CD200C	GUARANTEE CHECK	CD200A	M	M	Modified
CD	IE201	CD201C	GUARANTEE CHECK RESULT	CD201A	M	M	Modified
CD	IE203	CD203C	GUARANTEE USE	CD203A	M	M	Modified
CD	IE205	CD205C	GUARANTEE USE RESULT	CD205A	M	M	Modified
CD	IE204	CD204C	GUARANTEE USE CANCELLATION	CD204A	M	M	Modified
CD	IE209	CD209C	CREDIT REFERENCE AMOUNT	CD209A	M	M	Modified
CD	IE906	CD906C	FUNCTIONAL NACK	CD906A	M	M	Modified
CD	IE917 ⁶⁰	CD917C	XML NACK		M	M	Added
ED	IE004	CC004C	AMENDMENT ACCEPTANCE	CC004A	SR		Modified
ED	IE007	CC007C	ARRIVAL NOTIFICATION	CC007A		SR	Modified
ED	IE009	CC009C	INVALIDATION DECISION	CC009A	SR		Modified
ED	IE013	CC013C	DECLARATION AMENDMENT	CC013A		SR	Modified

⁶⁰ This is a new IE (“Added”). In case a conversion is needed due to communication with “Legacy” NA this will be done as per DDCOM [A3] exception handling V.III.2.1.5.

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁵⁷	NCTS-P5 IE Receive ⁵⁸	IE Status compared to NCTS-P4 ⁵⁹
ED	IE014	CC014C	DECLARATION CANCELLATION REQUEST	CC014A		SR	Modified
ED	IE015	CC015C	DECLARATION DATA	CC015A		SR	Modified
ED	IE025	CC025C	GOODS RELEASE NOTIFICATION	CC025A	SR		Modified
ED	IE028	CC028C	MRN ALLOCATED	CC028A	SR		Modified
ED	IE029	CC029C	RELEASE FOR TRANSIT	CC029A	SR		Modified
ED	IE035	CC035C	RECOVERY NOTIFICATION	CC035A	SR		Modified
ED	IE051	CC051C	NO RELEASE FOR TRANSIT	CC051A	SR		Modified
ED	IE056	CC056C	REJECTION FROM OFFICE OF DEPARTURE	Previous IE Number: IE016 (CC016A), IE005 (CC005A), IE062 (CC062A)	SR		Replacement (To Be)
ED	IE057	CC057C	REJECTION FROM OFFICE OF DESTINATION	Previous IE Number: IE008 (CC008A), IE021 (CC021A), IE058 (CC058A)	SR		Replacement (To Be)
ED	IE060	CC060C	CONTROL DECISION NOTIFICATION	CC060A	SR		Modified
ED	IE0140	CC140C	REQUEST ON NON-ARRIVED MOVEMENT	CC140A	SR		Modified
ED	IE0141	CC141C	INFORMATION ABOUT NON-ARRIVED MOVEMENT	CC141A		SR	Modified

Table 22: Information Exchanges scope for Mandatory Existing processes (continuity) - Core Business

IV.III.1.2 Other Scenarios from “Legacy” phase to be supported in “To Be”

IV.III.1.2.1 Scenarios

Table 23 defines some scenarios from the “Legacy” phase, for which there are no corresponding scenarios in “To Be”, but which can be supported with the scenarios and the state machines, defined in Core Business (IV.III.1.1) for Mandatory Existing processes (continuity).

NCTS L2 Scenario Group	NCTS Scenario	NCTS-P4 L1 Scenario Group	NCTS-P4 L2 Scenario Group	NCTS-P4 Scenario	Transition Analysis Outcome ⁶¹	Gap Analysis Indicator ⁶²	Remarks	Reference to Transitional Scenario
-	-	-	-	NCTSP4/GMN/Query on guarantees	1	3	In NCTS-P5, the Guarantee Query messages IE034 and IE037 become applicable only for the External Domain.	N/A

Table 23: Other Scenarios from “Legacy” phase to be supported in “To Be”

⁶¹ The following TAO values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

⁶² The following GAI values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

IV.III.1.2.2 State Machine

The state machine for the *Other Scenarios from “Legacy” phase to be supported in “To Be”* is covered by the state machines during TP for Core Business (IV.III.1.1.2).

IV.III.2 New processes for a “To Be” country

IV.III.2.1 Core Business – Declaration lodged prior to presentation of goods

IV.III.2.1.1 Scenarios

Table 24 presents the Core Business – Declaration lodged prior to presentation of goods scenarios related to the ‘New processes for a “To Be” country’.



Pre-condition during TP: All the processes/scenarios below can be executed only if:

- The Holder of the Transit Procedure is in the “To Be” phase;

AND

- The Office of Departure is in the “To Be” phase.

NCTS L2 Scenario Group	NCTS Scenario	NCTS-P4 Scenario ⁶³	Transition Analysis Outcome ⁶⁴	Gap Analysis Indicator ⁶⁵	Remarks	Reference to Transitional Scenario
Specific Scenarios at Office of Departure	NCTSP5/TRA/DEP/T-TRA-DEP-A-003-Transit presentation notification valid	NCTSP4/TRA/CFL/Normal Procedure at Destination ⁶⁶	1	2	A new state "Pre-lodged" has been added for this functionality. No impact to the Common Domain.	N/A
Specific Scenarios at Office of Departure	NCTSP5/TRA/DEP/T-TRA-DEP-A-002-Correction of the pre-lodged declaration prior to presentation of goods	NCTSP4/TRA/CFL/Normal Procedure at Destination	1	2		N/A
Specific Scenarios at Office of Departure	NCTSP5/TRA/DEP/T-TRA-DEP-E-005-Cancellation of the pre-lodged declaration prior to presentation of goods	N/A	1	2		N/A
Specific Scenarios at Office of Departure	NCTSP5/TRA/DEP/T-TRA-DEP-E-004-Transit presentation notification not valid	NCTSP4/TRA/CFL/Normal Procedure at Destination	1	2		N/A

Table 24: Core Business – Declaration lodged prior to presentation of goods scenarios related to ‘New processes for a “To Be” country’

⁶³ The NCTS-P4 scenario indicated in this column is the scenario from the business continuity scenarios that complement the new processes.

⁶⁴ The following TAO values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

⁶⁵ The following GAI values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

⁶⁶ This scenario indicated with Gap Analysis Indicator = 2 since no similar NCTS-P4 scenario identified in [R2]. Nevertheless, it is linked with NCTS-P4 scenario for interoperability in terms of common domain exchanges when “Legacy” office is involved.

IV.III.2.1.2 State Machine

IV.III.2.1.2.1 Office of Departure STD

For the Core Business – Declaration lodged prior to presentation of goods – scenarios related to the ‘New processes for a “To Be” country’, the Mandatory Existing processes (continuity) - Core Business state machine for NCTS-P5 (IV.III.1.1.2) is extended with the following changes, defined in Table 25.

It is worth noting that:

- The blue columns represent the [*Office of Departure STD*](#) for NCTS-P5 (“To Be”), as defined in section (III.V.1). The blue columns are explained in Table 10: States of an MRN at the Office of Departure.
- The orange columns show the relevant **state changes/extensions** of the state machine from paragraph ‘Mandatory Existing processes (continuity)’ (IV.III.1) that are needed for the ‘Core Business – Declaration lodged prior to presentation of goods’ scenarios.
- Column ‘Change Type’ defines the type of extension.
 - ‘**New State Transition**’ means that a state in the state machine in paragraph ‘Mandatory Existing processes (continuity)’ - Core Business (IV.III.1.1) applies and is extended with some new state transitions to other states for the purpose of Core Business – Declaration lodged prior to presentation of goods.
 - ‘**New State**’ means that the state machine in paragraph ‘Mandatory Existing processes (continuity)’ - Core Business (IV.III.1.1) is extended with a new state and this includes the addition of all state transitions of this new state to other states. Therefore, the state transitions are not mentioned but a reference is made to the applicable STD.
- Depending on the ‘Change Type’, column ‘Changes to state transitions to other states’ defines which changes must be made to the state transitions from the pertinent state to other states in ‘Mandatory Existing processes (continuity) - Core Business (IV.III.1.1) state machine.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected state to be reported when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. III.II.6.2 T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the Mandatory Existing processes (continuity) - Core Business (IV.III.1) state machine, which are not affected at all, are not included in Table 25.**

NCTS-P5 Office of Departure STD for NCTS-P5 (To Be) - III.V.1				Changes for Core Business – Declaration lodged prior to presentation(IV.III.2.1)		
Name	Status	Final	Reported to Requested NCTS Office	Change Type	Changes to State Transitions <u>To other states</u>	Reported to Requested “Legacy” Office
None	SR	No	<i>None (unknown MRN response)</i>	New State	State Transitions from this state to other states as per STD (III.V.1)	<i>None (unknown MRN response)</i>
Submitted	SR	No	<i>None (unknown MRN response)</i>	New State	State Transitions from this state to other states as per STD (III.V.1)	<i>None (unknown MRN response)</i>
Rejected	SR	Yes	<i>None (unknown MRN response)</i>	New State		<i>None (unknown MRN response)</i>
Pre-Lodged	SR	No	<i>None (unknown MRN response)</i>	New State	State Transitions from this state to other states as per STD (III.V.1)	<i>None (unknown MRN response)</i>
Cancelled	SR	Yes	<i>None (unknown MRN response)</i>	New State		<i>None (unknown MRN response)</i>

Table 25: States changes of an MRN at the Office of Departure for Core Business – Declaration lodged prior to presentation of goods scenarios related to ‘New processes for a “To Be” country’

IV.III.2.1.3 Additional Information Exchanges

The following IEs must be implemented in addition to Mandatory Existing processes (continuity) (section IV.III.1) in the scope of Core Business – Declaration lodged prior to presentation of goods.

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁶⁷	NCTS-P5 IE Receive ⁶⁸	IE Status compared to NCTS-P4 ⁶⁹
ED	IE060	CC060C	CONTROL DECISION NOTIFICATION	CC060A	SR	-	Modified
ED	IE170	CC170C	PRESENTATION NOTIFICATION FOR THE	-	-	SR	Added

⁶⁷ This column determines if the construction and the submission of the IE must be processed.

An “M” means that the NA must implement the construction and the sending of this Information Exchange in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be sent during NCTS-P5;
- C_ IE, the IE shall not be sent during NCTS-P5.

⁶⁸ This column determines if the reception and the processing of the IE must be implemented.

An “M” means that the NA must implement the reception and the processing of this IE in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be received during NCTS-P5;
- C_ IE, the IE shall not be received during NCTS-P5.

⁶⁹ This column provides a status of IE compared to NCTS-P4.

- If the IE exists in NCTS-P5 with a different version (message type) compared to NCTS-P4, then it is indicated as "*Modified*".
- If the IE exists in NCTS-P5 with the same version (message type) as in NCTS-P4, then it is indicated as "*Unchanged*".
- If a new IE introduced in NCTS-P5 with a different number and version (message type) so as to replace an IE of NCTS-P4, then it is indicated as "*Replacement (To Be)*". The previous IE number is presented in the list.
- If an IE does not exist anymore in NCTS-P5 but only in NCTS-P4 since it was replaced, then it is indicated as "*Replacement (Legacy)*". The new IE number is presented in the list.
- If a new IE introduced in NCTS-P5 (no predecessor in NCTS-P4), then it is indicated as "*Added*".
- If an IE of NCTS-P4 does not exist in NCTS-P5 (no successor in NCTS-P5), then it is indicated as "*Deleted*".

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁶⁷	NCTS-P5 IE Receive ⁶⁸	IE Status compared to NCTS-P4 ⁶⁹
			PRE-LODGED DECLARATION				
ED	IE056	CC056C	REJECTION FROM OFFICE OF DEPARTURE	-	SR	-	Added

Table 26: Additional Information Exchanges for Core Business – Declaration lodged prior to presentation of goods related to ‘New processes for a “To Be” country’

IV.III.2.2 Core Business – Specific Scenarios for Export Followed by Transit

IV.III.2.2.1 Scenarios

Table 27 presents the NCTS Core Business – Specific Scenarios for Export Followed by Transit– scenarios as part of the ‘New processes for a “To Be” country’.



Pre-condition during TP: All the processes/scenarios below can be executed only if:

- the AES Customs Office of Exit is in the “To Be” phase and have implemented the Export Followed by Transit (EFBT) of AES-P1 and NCTSP5 as specified in this document.

AND

- the NCTS-P5 Customs Office of Departure (same country and same office with AES Customs Office of Exit) is in the “To Be” phase and have implemented the Export Followed by Transit (EFBT) of AES-P1 and NCTSP5

AND

- For NCTS-P5, the Holder of the Transit Procedure at the Customs Office of Departure must also be in “To Be” phase.

Important Note:

During the Transition Period, since one house consignment will be available in a Transit declaration, then the export Goods Items declared in the Transit declaration will be accommodated in the consignment items of this one house consignment.

NCTS L2 Scenario Group	NCTS Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁷⁰	Gap Analysis Indicator ⁷¹	Remarks	Reference to Transitional Scenario
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit	N/A	1	2	The interface between NCTS and AES is newly introduced in the new phases. There is no impact on the Common Domain since only National Domain messages are exchanged between NCTS and AES.	N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit (Appropriate Office of Destination)	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-M-003-Core flow of the export followed by transit - Internal transit (Inappropriate Office of Destination)	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-E-004-Lodgement of transit declaration having export as previous procedure - Negative response from Office of Exit (before acceptance)	N/A	1	2		N/A
Specific Scenarios for	NCTSP5/TRA/EFT/T-TRA-EFT-A-005-Lodgement of Transit Declaration having	N/A	1	2		N/A

⁷⁰ The following TAO values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

⁷¹ The following GAI values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

NCTS L2 Scenario Group	NCTS Scenario	NCTS-P4 Scenario	Transition Analysis Outcome⁷⁰	Gap Analysis Indicator⁷¹	Remarks	Reference to Transitional Scenario
Export Followed by Transit (EFT)	Export as Previous Procedure - Unknown Export MRN and Positive IE503 (before acceptance)					
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-A-013- Lodgement of transit declaration having export as previous procedure (external transit) - ARC Reference Number (or fallback e-AD reference number) as exists in Export Declaration data does not match with Transit Declaration Data	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-A-006- Amendment of transit declaration having export as previous procedure – Positive Response from AES	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-E-007- Amendment of transit declaration having export as previous procedure – Negative Response from AES	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-A-008- Invalidation of transit declaration having export as previous procedure - Before release for transit	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-A-009- Transit movement having export as previous procedure is not released for transit	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-A-010- Transit movement having export as previous procedure - Control results from destination indicate discrepancies - Dispatch of control results information to Office of Exit	N/A	1	2		N/A

NCTS L2 Scenario Group	NCTS Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁷⁰	Gap Analysis Indicator ⁷¹	Remarks	Reference to Transitional Scenario
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-A-011- Transit movement having export as previous procedure - Departure notifies Office of Exit for the initiation of Recovery	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-A-012- Manual closure at Departure based on alternative proof - Export is previous procedure	N/A	1	2		N/A
Specific Scenarios for Export Followed by Transit (EFT)	NCTSP5/TRA/EFT/T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit (Appropriate Office of Destination)	N/A	1	2		N/A

Table 27: Core Business – Specific Scenarios for Export Followed by Transit related to ‘New processes for a “To Be” country’

IV.III.2.2.2 State Machine

IV.III.2.2.2.1 Office of Departure STD

For Core Business – Specific Scenarios for Export Followed by Transit related to the ‘New processes for a “To Be” country’, the Mandatory Existing processes (continuity) - Core Business state machine for NCTS-P5 (IV.III.1.1.2) is extended with the changes that are defined in Table 28.

It is worth noting that:

- The blue columns represent the [*Office of Departure STD*](#) for NCTS-P5 (“To Be”), as defined in section (III.V.1). The blue columns are explained in Table 10: States of an MRN at the Office of Departure.
- The orange columns show the relevant **state changes/extensions** of the state machine from paragraph ‘Mandatory Existing processes (continuity)’ (IV.III.1) that are needed for the Core Business – Specific Scenarios for Export Followed by Transit.
- Column ‘Change Type’ defines the type of extension.
 - ‘**New State Transition**’ means that a state in the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business applies and is extended with some new state transitions to other states for the purpose of Core Business – Specific Scenarios for Export Followed by Transit.
 - ‘**New State**’ means that the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business is extended with a new state and this includes the addition of all state transitions of this new state to other states. Therefore, the state transitions are not mentioned but a reference is made to the applicable STD.
- Depending on the ‘Change Type’, column ‘Changes to state transitions to other states’ defines which changes must be made to the state transitions from the pertinent state to other states in regard to the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected state to be reported, when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. III.II.6.2 T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business, which are not affected at all, are not included in Table 28.**

NCTS-P5 Office of Departure STD for NCTS-P5 (To Be) - III.V.5				Changes for Core Business – Specific Scenarios for Export Followed by Transit (IV.III.2.2)		
Name	Status	Final	Reported to Requesting NCTS-P5 Office	Change Type	Changes to State Transitions <u>To other states</u>	Reported to Requesting “Legacy” Office
None	SR	No	<i>None (unknown MRN response)</i>	New State	<u>State Transitions from this state to other states</u> as per STD (III.V.1)	<i>None (unknown MRN response)</i>
Submitted	SR	No	<i>None (unknown MRN response)</i>	New State	<u>State Transitions from this state to other states</u> as per STD (III.V.1)	<i>None (unknown MRN response)</i>
Pending response from AES	SR	No	<i>None (unknown MRN response)</i>	New State	<u>State Transitions from this state to other states</u> as per STD (III.V.1)	<i>None (unknown MRN response)</i>
Under amendment request due to EFBT	SR	No	<i>None (unknown MRN response)</i>	New State	<u>State Transitions from this state to other states</u> as per STD (III.V.1)	<i>None (unknown MRN response)</i>
Rejected	SR	Yes	<i>None (unknown MRN response)</i>	New State		<i>None (unknown MRN response)</i>
Accepted	R	No	Accepted	New State Transition	<u>New transition to Pending response from AES state with ^IE190 [allocation] / ^IE190 [amendment]</u>	Accepted

Table 28: State changes of an MRN at the Office of Departure for Core Business – Specific Scenarios for Export Followed by Transit related to ‘New processes for a “To Be” country’

IV.III.2.2.3 Additional Information Exchanges

The following IEs must be implemented in addition to Mandatory Existing processes (continuity) (section IV.III.1) in the scope of Core Business – Specific Scenarios for Export Followed by Transit.

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁷²	NCTS-P5 IE Receive ⁷³	IE Status compared to NCTS-P4 ⁷⁴
ED	IE022	CC022C	NOTIFICATION TO AMEND DECLARATION	-	SR	-	Added

⁷² This column determines if the construction and the submission of the IE must be processed.

An “M” means that the NA must implement the construction and the sending of this Information Exchange in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be sent during NCTS-P5;
- C_ IE, the IE shall not be sent during NCTS-P5.

⁷³ This column determines if the reception and the processing of the IE must be implemented.

An “M” means that the NA must implement the reception and the processing of this IE in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be received during NCTS-P5;
- C_ IE, the IE shall not be received during NCTS-P5.

⁷⁴ This column provides a status of IE compared to NCTS-P4.

- if the IE exists in NCTS-P5 with a different version (message type) compared to NCTS-P4, then it is indicated as "*Modified*".
- If the IE exists in NCTS-P5 with the same version (message type) as in NCTS-P4, then it is indicated as "*Unchanged*".
- if a new IE introduced in NCTS-P5 with a different number and version (message type) so as to replace an IE of NCTS-P4, then it is indicated as "*Replacement (To Be)*". The previous IE number is presented in the list.
- if an IE does not exist anymore in NCTS-P5 but only in NCTS-P4 since it was replaced, then it is indicated as "*Replacement (Legacy)*". The new IE number is presented in the list.
- if a new IE introduced in NCTS-P5 (no predecessor in NCTS-P4), then it is indicated as "*Added*".
- if an IE of NCTS-P4 does not exist in NCTS-P5 (no successor in NCTS-P5), then it is indicated as "*Deleted*".

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁷²	NCTS-P5 IE Receive ⁷³	IE Status compared to NCTS-P4 ⁷⁴
ND	IE040	CC040C	TRANSIT INVALIDATION NOTIFICATION TO AES	-	SR	-	Added
ND	IE042	CC042C	DESTINATION CONTROL RESULTS TO AES	-	SR	-	Added
ND	IE048	CC048C	RECOVERY COMMUNICATION TO AES	-	SR	-	Added
ND	IE190	CC190C	TRANSIT PRESENTATION NOTIFICATION	-	SR	-	Added
ND	IE191	CC191C	TRANSIT PRESENTATION NOTIFICATION RESPONSE	-		SR	Added

Table 29: Additional Information Exchanges for Core Business – Specific Scenarios for Export Followed by Transit related to ‘New processes for a “To Be” country’

IV.III.2.3 Core Business – Specific Scenarios for Incidents “En Route”

IV.III.2.3.1 Scenarios

Table 30 presents the NCTS Core Business – Specific Scenarios for Incidents “En Route” – scenarios as part of the ‘New processes for a “To Be” country’.



Pre-condition during TP: All the processes/scenarios below can be executed only if:

- The country where the incident has occurred is in NCTS-P5 and the relevant Customs Office has the role 'INC'.

NCTS L2 Scenario Group	NCTS Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁷⁵	Gap Analysis Indicator ⁷⁶	Remarks	Reference to Transitional Scenario
Specific Scenarios for Incidents “En Route” (INC)	NCTSP5/TRA/INC/T-TRA-INC-M-001- Capturing movement information at Office of Incident Registration	N/A	2	2	New processes and a new Customs Office role have been introduced to handle incidents <i>En-route</i> . Such Customs Office will be competent for recording the incidents that occurred during the movement into NCTS. The processes can be partially performed during the Transitional Period, as described in the relevant transitional scenarios.	TRN-T-TRA-INC-M-001
Specific Scenarios for Incidents “En Route” (INC)	NCTSP5/TRA/INC/T-TRA-INC-A-002- Transit Movement does not continue-Office of Incident Registration becomes Actual Office of Destination	N/A	1	1		N/A
Specific Scenarios for Incidents “En Route” (INC)	NCTSP5/TRA/INC/T-TRA-INC-A-003- Office of incident registration allows transit movement to continue its journey	N/A	2	2		TRN-T-TRA-INC-A-003

Table 30: Core Business – Specific Scenarios for Incidents “En Route” related to ‘New processes for a “To Be” country’

⁷⁵ The following TAO values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

⁷⁶ The following GAI values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not Feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

IV.III.2.3.2 State Machine

IV.III.2.3.2.1 Office of Departure STD

For Core Business – Specific Scenarios for Incidents “En Route” related to the ‘New processes for a “To Be” country’, the Mandatory Existing processes (continuity) - Core Business state machine for NCTS-P5 (IV.III.1.1.2) is extended with the changes that are defined in Table 31.

It is worth noting that:

- The blue columns represent the [*Office of Departure STD*](#) for NCTS-P5 (“To Be”), as defined in section (III.V.1). The blue columns are explained in Table 10: States of an MRN at the Office of Departure.
- The orange columns show the relevant **state changes/extensions** of the state machine from paragraph ‘Mandatory Existing processes (continuity)’ (IV.III.1) that are needed for the Core Business – Specific Scenarios for Incidents “En Route” scenarios.
- Column ‘Change Type’ defines the type of extension.
 - ‘**New State Transition**’ means that a state in the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business applies and is extended with some new state transitions to other states for the purpose of Core Business – Specific Scenarios for Incidents “En Route”.
 - ‘**New State**’ means that the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business is extended with a new state and this includes the addition of all state transitions of this new state to other states. Therefore, the state transitions are not mentioned but a reference is made to the applicable STD.
- Depending on the ‘Change Type’, column ‘Changes to state transitions to other states’ defines which changes must be made to the state transitions from the pertinent state to other states in regard to the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected state to be reported, when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. III.II.6.2 T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business, which are not affected at all, are not included in Table 31.**

NCTS-P5 Office of Departure STD for NCTS-P5 (To Be) - III.V.5				Changes for Core Business – Specific Scenarios for Incidents “En Route” (IV.III.2.3)		
Name	Status	Final	Reported to Requested NCTS-P5 Office	Change Type	Changes to State Transitions <u>To other states</u>	Reported to Requested “Legacy” Office
Movement released	R	No	Movement released	New State Transition	Self-transition with IE180[Incident Notification]/^IE181/^IE182 as per STD (III.V.1)	Movement released
Enquiry recommended	R	No	Enquiry recommended	New State Transition	Self-transition with IE180[Incident Notification] [No IE018]/^IE181/^IE182 as per STD (III.V.1)	Enquiry recommended
Arrived	R	No	Arrived	New State Transition	Self-transition with IE180[Incident Notification]/^IE181/^IE182 as per STD (III.V.1)	Arrived
Under enquiry procedure	R	No	Under enquiry procedure	New State Transition	Self-transition with IE180[Incident Notification] [no IE018]/^IE181/^IE182 as per STD (III.V.1)	Under enquiry procedure
Movement released	R	No	Movement released	New State Transition	Self-transition with IE180[Incident Notification]/^IE181/^IE182 as per STD (III.V.1)	Movement released
Enquiry recommended	R	No	Enquiry recommended	New State Transition	Self-transition with IE180[Incident Notification] [No IE018]/^IE181/^IE182 as per STD (III.V.1)	Enquiry recommended

Table 31: State changes of an MRN at the Office of Departure for Core Business – Specific Scenarios for Incidents “En Route” related to ‘New processes for a “To Be” country’

IV.III.2.3.2.2 Office of Destination STD

For Core Business – Specific Scenarios for Incidents “En Route” related to the ‘New processes for a “To Be” country’, the Mandatory Existing processes (continuity) - Core Business state machine for NCTS-P5 (IV.III.1.1.2) is extended with the changes that are defined in Table 32.

It is worth noting that:

- The blue columns represent the [*Office of Destination STD*](#) for NCTS-P5 (“To Be”), as defined in section (III.V.3). The blue columns are explained in Table 12: States of an MRN at the Office of Destination.
- The orange columns show the relevant **state changes/extensions** of the state machine from paragraph ‘Mandatory Existing processes (continuity)’ (IV.III.1) that are needed for the Core Business – Specific Scenarios for Incidents “En Route” scenarios.
- Column ‘Change Type’ defines the type of extension.
 - ‘**New State Transition**’ means that a state in the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business applies and is extended with some new state transitions to other states for the purpose of Core Business – Specific Scenarios for Incidents “En Route”.
 - ‘**New State**’ means that the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business is extended with a new state and this includes the addition of all state transitions of this new state to other states. Therefore, the state transitions are not mentioned but a reference is made to the applicable STD.
- Depending on the ‘Change Type’, column ‘Changes to state transitions to other states’ defines which changes must be made to the state transitions from the pertinent state to other states in regard to the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected state to be reported, when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. III.II.6.2 T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business, which are not affected at all, are not included in Table 32.**

NCTS-P5 Office of Destination STD for NCTS-P5 (To Be) - III.V.3				Changes for Core Business – Specific Scenarios for Incidents “En Route” (IV.III.2.3)		
Name	Status	Final	Reported to Requesting NCTS-P5 Office	Change Type	Changes to State Transitions <u>To other states</u>	Reported to Requesting “Legacy” Office
AAR created	R	No	AAR created	New State Transition	<u>Self-transition</u> with [Forwarded Incident Notification to CD] IE181 as per STD (III.V.3)	AAR created

Table 32: State changes of an MRN at the Office of Destination for Core Business – Specific Scenarios for Incidents “En Route” related to ‘New processes between “To Be” countries’

IV.III.2.3.2.3 Office of Transit STD

For Core Business – Specific Scenarios for Incidents “En Route” related to the ‘New processes for a “To Be” country’, the Mandatory Existing processes (continuity) - Core Business state machine for NCTS-P5 (IV.III.1.1.2) is extended with the changes that are defined in Table 33.

It is worth noting that:

- The blue columns represent the Office of Transit STD for NCTS-P5 (“To Be”), as defined in section (III.V.2). The blue columns are explained in Table 11: States of an MRN at the Office of Transit.
- The orange columns show the relevant **state changes/extensions** of the state machine from paragraph ‘Mandatory Existing processes (continuity)’ (IV.III.1) that are needed for the Core Business – Specific Scenarios for Incidents “En Route” scenarios.
- Column ‘Change Type’ defines the type of extension.
 - ‘**New State Transition**’ means that a state in the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business applies and is extended with some new state transitions to other states for the purpose of Core Business – Specific Scenarios for Incidents “En Route”.
 - ‘**New State**’ means that the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business is extended with a new state and this includes the addition of all state transitions of this new state to other states. Therefore, the state transitions are not mentioned but a reference is made to the applicable STD.
- Depending on the ‘Change Type’, column ‘Changes to state transitions to other states’ defines which changes must be made to the state transitions from the pertinent state to other states in regard to the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected state to be reported, when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. III.II.6.2 T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.

- The states from the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business, which are not affected at all, are not included in Table 33.

NCTS-P5 Office of Transit STD for NCTS-P5 (To Be) – (III.V.2)				Changes for Core Business – Specific Scenarios for Incidents “En Route” (IV.III.2.3)		
Name	Status	Final	Reported to Requesting NCTS-P5 Office	Change Type	Changes to State Transitions <u>To other states</u>	Reported to Requesting “Legacy” Office
ATR created	R	No	ATR created	New State Transition	Self-transition with IE181 [Forwarded Incident Notification to CD] as per STD (III.V.3)	ATR created

Table 33: State changes of an MRN at the Office of Transit for Core Business – Specific Scenarios for Incidents “En Route” related to ‘New processes between “To Be” countries’

IV.III.2.3.3 Additional Information Exchanges

The following IEs must be implemented in addition to Mandatory Existing processes (continuity) (section IV.III.1) in the scope of Core Business – Specific Scenarios for Incidents “En Route”.

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁷⁷	NCTS-P5 IE Receive ⁷⁸	IE Status compared to NCTS-P4 ⁷⁹
CD	IE180	CD180C	INCIDENT NOTIFICATION	-	M	M	Added
CD	IE181	CD181C	FORWARDED INCIDENT NOTIFICATION	-	M	M	Added

⁷⁷ This column determines if the construction and the submission of the IE must be processed.

An “M” means that the NA must implement the construction and the sending of this Information Exchange in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be sent during NCTS-P5;
- C_ IE, the IE shall not be sent during NCTS-P5.

⁷⁸ This column determines if the reception and the processing of the IE must be implemented.

An “M” means that the NA must implement the reception and the processing of this IE in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be received during NCTS-P5;
- C_ IE, the IE shall not be received during NCTS-P5.

⁷⁹ This column provides a status of IE compared to NCTS-P4.

- if the IE exists in NCTS-P5 with a different version (message type) compared to NCTS-P4, then it is indicated as "*Modified*".
- If the IE exists in NCTS-P5 with the same version (message type) as in NCTS-P4, then it is indicated as "*Unchanged*".
- if a new IE introduced in NCTS-P5 with a different number and version (message type) so as to replace an IE of NCTS-P4, then it is indicated as "*Replacement (To Be)*". The previous IE number is presented in the list.
- if an IE does not exist anymore in NCTS-P5 but only in NCTS-P4 since it was replaced, then it is indicated as "*Replacement (Legacy)*". The new IE number is presented in the list.
- if a new IE introduced in NCTS-P5 (no predecessor in NCTS-P4), then it is indicated as "*Added*".
- if an IE of NCTS-P4 does not exist in NCTS-P5 (no successor in NCTS-P5), then it is indicated as "*Deleted*".

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁷⁷	NCTS-P5 IE Receive ⁷⁸	IE Status compared to NCTS-P4 ⁷⁹
			TO CD				
ED	IE182	CC182C	FORWARDED INCIDENT NOTIFICATION TO ED	-	SR	-	Added

Table 34: Additional Information Exchanges for Core Business – Specific Scenarios for Incidents “En Route” related to ‘New processes for a “To Be” country’

IV.III.2.4 Core Business – Specific Scenarios at Office of Transit (Scenarios for Office of Exit for Transit)

NCTS interfaces with the national risk analysis systems of the National Administrations and ensures that risk analysis is initiated once the transit data are received and validated by NCTS. The national risk analysis systems of the National Administrations carry out the risk analysis and send the risk analysis results back to NCTS. NCTS records the risk analysis results as well as the control results. This is then communicated to the other Customs Offices involved in the EU. It is emphasised that the EXS and ENS data can be sent by any country to EU country and the risk analysis is only exchanged between the countries of the Security Area, not to the CTC countries.

The code list used to indicate the presence of the Safety and Security information in a transit declaration has been updated in NCTS-P5 compared to NCTS-P4. The number of values was extended with new values to define precisely if the EXS and/or ENS declaration(s) are lodged together with the transit declaration.

For the cases where the pre-departure declaration takes the form of a Transit Declaration, with the transit starting or/and ending outside the Security Area, new data elements have been introduced to the Transit Declaration [‘Declaration Data’ E_DEC_DAT (IE015) for security and safety purposes. These data elements then need to be communicated to the Customs Office from where the goods leave the Security Area. A new Customs Office role ‘Office of Exit for Transit’ has been introduced in order to identify the Customs Offices to receive the IE messages with EXS data. New NCTS-P5 scenarios have been created to define the formalities at this Customs Office, as well as new IE messages have been created to send the security and safety data (EXS) to the Office of Exit for Transit.

It is emphasised that there will be no communication of EXS data between an Office of Departure, which is in NCTS-P4, and an Office of Exit for Transit (NCTS-P5) during the transitional period. The following cases are applicable:

- 1) An Office of Exit which is also an Office of Transit under NCTS-P4 (i.e. located at the border of the Security Area) cannot perform the tasks related to Office of Exit for Transit of NCTS-P5.
- 2) The risk assessment along with the decision whether a movement should leave the Security Area or not has to be taken only if the movement is created in NCTS-P5 and ends up at an Office of Exit for Transit under NCTS-P5 (located at the border of the Security Area).

Based on the above, during the Transitional Period, the processes related to the Office of Exit for Transit will be triggered only when a movement is initiated by a NCTS-P5 Office of Departure and a NCTS-P5 Office of Exit for Transit is involved. Please see section III.II.3.2 for the description of the pertinent scenarios.

IV.III.2.4.1 Scenarios

Table 35 presents the NCTS Core Business – Specific Scenarios at Office of Exit Transit, as part of the ‘New processes for a “To Be” country’.



Pre-condition during TP: All the processes/scenarios below can be executed only if:

- The Holder of the Transit Procedure is in the “To Be” phase;

AND

- The Office of Departure is in the “To Be” phase.

AND

- The Office of Exit for Transit is in the “To Be” phase.

NCTS L2 Scenario Group	NCTS Scenario	NCTS-P4 Scenario	Transition Analysis Outcome ⁸⁰	Gap Analysis Indicator ⁸¹	Remarks	Reference to Transitional Scenario
Specific Scenarios at Office of Transit	NCTSP5/TRA/TRT/T-TRA-TRT-A-005-Movement arrives at declared Office of Exit for Transit	N/A	3	2	A new Customs Office role, Office of Exit for Transit, has been introduced and new processes have been created to enable the exchange and processing of security and safety data in a transit declaration. All the relevant processes will apply only in NCTS-P5, therefore, there is impact on the Common Domain during the Transitional Period.	N/A
Specific Scenarios at Office of Transit	NCTSP5/TRA/TRT/T-TRA-TRT-A-006-Movement stopped at Customs Office of Exit for Transit	N/A	3	2		N/A
Specific Scenarios at Office of Transit	NCTSP5/TRA/TRT/T-TRA-TRT-A-007- Movement allowed to leave the Security Area	N/A	3	2		N/A
Specific Scenarios at Office of Transit	NCTSP5/TRA/TRT/T-TRA-TRT-A-008-Diversion at Customs Office of Exit for Transit – Movement is allowed to leave the security area	N/A	3	2		N/A
Specific Scenarios at Office of Transit	NCTSP5/TRA/TRT/T-TRA-TRT-A-009-Diversion at Customs Office of Exit for Transit – Movement stopped at the border of Office of Exit for Transit	N/A	3	2		N/A

Table 35: Core Business – Specific Scenarios at Office of Transit – scenarios related to ‘New processes for a “To Be” country’

⁸⁰ The following TAO values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

⁸¹ The following GAI values are possible:

- 1: Feasible: Transition is feasible based on IE and STD continuity indicators
- 2: Feasible with resolution: a special resolution/transitional message exchange protocol is necessary for resolving discontinuity.
- 3: Blocking/Not feasible: there is no resolution with transitional message exchange protocol for the particular scenario.

IV.III.2.4.2 State Machine

IV.III.2.4.2.1 Office of Departure STD

For Core Business – Specific Scenarios at Office of Transit related to the ‘New processes for a “To Be” country’, the Mandatory Existing processes (continuity) - Core Business STD (IV.III.1.1.2) is extended with the changes, defined in Table 36.

It is worth noting that:

- The blue columns represent the [Office of Departure STD](#) for NCTS-P5 (“To Be”), as defined in paragraph (III.V.1). The blue columns are explained in Table 10: States of an MRN at the Office of Departure.
- The orange columns show the relevant **state changes/extensions** of the state machine from paragraph IV.III.1.1.2 of ‘Mandatory Existing processes (continuity)’ - Core Business that are needed for the Core Business – Specific Scenarios at Office of Transit.
- Column ‘Change Type’ defines the type of extension.
 - ‘**New State Transition**’ means that a state in the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business applies and is extended with some new state transitions to other states for the purpose of Core Business – Specific Scenarios at Office of Transit.
 - ‘**New State**’ means that the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business is extended with a new state and this includes the addition of all state transitions of this new state to other states. Therefore, the state transitions are not mentioned but a reference is made to the applicable STD.
- Depending on the ‘Change Type’, column ‘Changes to state transitions to other states’ defines which changes must be made to the state transitions from the pertinent state to other states in regard to the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business.
- The ‘Reported to Requesting “Legacy” Office’ column indicates the expected state to be reported when the status of the movement must be reported to a “Legacy” NA with a response message, as per applicable mechanism in each Office (e.g. III.II.6.2 T-TRA-EXC-A-007-Status request/response) for both ‘R’ or ‘SR’ states.
- **The states from the state machine in paragraph IV.III.1.1.2 of Mandatory Existing processes (continuity) - Core Business, which are not affected at all, are not included in Table 36.**

NCTS-P5 Office of Departure STD for NCTS-P5 (To Be) - III.V.1				Changes for Core Business – Specific Scenarios at Office of Transit (IV.III.2,4)		
Name	Status	Final	Reported to Requesting NCTS-P5 Office	Change Type	Changes to State Transitions <u>To other states</u>	Reported to Requesting “Legacy” Office
Movement released	R	No	Movement released	New State Transition	<u>Self-transition</u> with IE168 as per STD (III.V.4)	Movement released

Table 36: State changes of an MRN at the Office of Departure for Core Business – Specific Scenarios at Office of Transit related to ‘New processes between “To Be” countries’

IV.III.2.4.3 Additional Information Exchanges

The following IEs must be implemented in addition to Mandatory Existing processes (continuity) (section IV.III.1) in the scope of Core Business – Specific Scenarios at Office of Transit.

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁸²	NCTS-P5 IE Receive ⁸³	IE Status compared to NCTS-P4 ⁸⁴
CD	IE160	CD160C	ANTICIPATED EXIT FOR TRANSIT RECORD	-	M	M	Added
CD	IE164	CD164C	ANTICIPATED EXIT FOR TRANSIT RECORD	-	M	M	Added

⁸² This column determines if the construction and the submission of the IE must be processed.

An “M” means that the NA must implement the construction and the sending of this Information Exchange in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be sent during NCTS-P5;
- C_ IE, the IE shall not be sent during NCTS-P5.

⁸³ This column determines if the reception and the processing of the IE must be implemented.

An “M” means that the NA must implement the reception and the processing of this IE in full compliance with Appendix Q2 in order to comply with NCTS legal base, while “R”, “SR” and “O” indicate that it is recommended, strongly recommended and optional for the NA to do so, respectively.

A blank cell means that in case of:

- E_ IE, the IE does not need to be received during NCTS-P5;
- C_ IE, the IE shall not be received during NCTS-P5.

⁸⁴ This column provides a status of IE compared to NCTS-P4.

- if the IE exists in NCTS-P5 with a different version (message type) compared to NCTS-P4, then it is indicated as "*Modified*".
- If the IE exists in NCTS-P5 with the same version (message type) as in NCTS-P4, then it is indicated as "*Unchanged*".
- if a new IE introduced in NCTS-P5 with a different number and version (message type) so as to replace an IE of NCTS-P4, then it is indicated as "*Replacement (To Be)*". The previous IE number is presented in the list.
- if an IE does not exist anymore in NCTS-P5 but only in NCTS-P4 since it was replaced, then it is indicated as "*Replacement (Legacy)*". The new IE number is presented in the list.
- if a new IE introduced in NCTS-P5 (no predecessor in NCTS-P4), then it is indicated as "*Added*".
- if an IE of NCTS-P4 does not exist in NCTS-P5 (no successor in NCTS-P5), then it is indicated as "*Deleted*".

NCTS-P5 IE Domain	IE Number	NCTS-P5 IE Version	NCTS-P5 IE Name	NCTS-P4 IE Version	NCTS-P5 IE Send ⁸²	NCTS-P5 IE Receive ⁸³	IE Status compared to NCTS-P4 ⁸⁴
			REQUEST				
CD	IE165	CD165C	ANTICIPATED EXIT FOR TRANSIT RECORD RESPONSE	-	M	M	Added
CD	IE168	CD168C	NOTIFICATION LEAVING SECURITY AREA	-	M	M	Added

Table 37: Additional Information Exchanges for Core Business – Specific Scenarios at Office of Transit related to ‘New processes for a “To Be” country’

IV.III.3 Existing processes being phased out

The scenarios below concern the NCTS-P4 functionality [R2]. Those NCTS-P4 scenarios are not valid **when Holder of the Transit Procedure is in NCTS-P5 (phased out in new phase, GAI=3)**:

1. Movement released for Transit and Goods contain sensitive goods with minimum quantity (paragraph III.I.2.2.11 in DDNTA NCTS-P4 [R2]);
2. Query on guarantees (paragraph III.II.2.1 in DDNTA NCTS-P4 [R2]);
3. Ask for documents (paragraph III.I.2.3.4 in DDNTA NCTS-P4 [R2]).

IV.III.4 Existing processes upgraded under UCC to be applied at the end of the Transitional Period

There are no such processes for NCTS-P5.

IV.III.5 NCTS-P5 Scenarios and Time Sequence Diagrams

The transitional analysis for the following scenarios concluded that they require special resolution/transitional scenario for resolving discontinuity (TAO value 2). These scenarios are the following:

- [*T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination-Resolved before the expiration of resolution timer*](#)
- [*T-TRA-DES-A-13-Major Discrepancies found during control at the Office of Destination-Resolved after the expiration of resolution timer-Major discrepancies are confirmed-Recovery to be started*](#)
- [*T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration*](#)
- [*T-TRA-INC-A-003-Office of incident registration allows transit movement to continue its journey*](#)
- [*T-TRA-DEP-A-019-Invalidation of a transit declaration after release for transit*](#)
- [*T-TRA-EXC-M-001-Query movement information*](#)

The above scenarios are further defined in subsequent sections. Detailed information can be found in Appendix M.

IV.III.5.1 Resolution of Major Discrepancies reported in the Destination Control Results

When an NCTS-P4 at the Office of Destination reports major discrepancies (i.e. control result code 'B1') in the destination control results, it may decide not to wait for the discrepancies resolution by the Office of Departure (i.e. 'Waiting for discrepancies resolution' flag is set to '0-No'). In this case the movement is transitioned to a final state at the Office of Destination ('Goods released') and the NCTS-P4 Office of Departure does not send the 'Discrepancies Solved Notification' C_DIS_SOL (IE020).

The process of the resolution of major discrepancies in the destination control results has been amended in NCTS-P5 compared to NCTS-P4. The NCTS-P5 Office of Destination always waits for the resolution of discrepancies by the Office of Departure. The 'Discrepancies Solved Notification' C_DIS_NOT (IE049) message is always sent to the Office of Destination when

the major discrepancies are resolved by the Office of Departure, so that the Office of Destination closes the movement as well.

The following scenarios demonstrate two (2) cases that NCTS-P5 at the Customs Office of Departure must consider as valid the reception of 'Functional NACK' C_FUN_NCK (IE906) message during the transitional period. This is due to the dissimilar procedures between NCTS-P4 and NCTS-P5 for the resolution of major discrepancies by the Office of Departure.

The first transitional scenario examines what happens when the Office of Departure resolves the major discrepancies reported in the destination control results and the second transitional scenario examines what happens when the major discrepancies are not resolved, and Recovery is initiated. However, due to value of the flag 'Waiting for discrepancies resolution' (i.e. '0-No'), the state of the movement at the NCTS-P4 Office of Destination has been already finalised.

IV.III.5.1.1 TRN1-TRA-DES-A-008- Major Discrepancies found during control at the Office of Destination during Transitional Period

In the scenario [T-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination-Resolved before the expiration of resolution timer](#), all Offices are in the same Phase (i.e. NCTS-P5). However, this is a transitional scenario that shows the Common Domain message exchanges when:

1. The Office of Departure is in NCTS-P5;
2. The Office of Destination is NCTS-P4.

This scenario describes the case when the Office of Destination operates under NCTS-P4 and reports in the destination control results major discrepancies (i.e. control result code 'B1') but decides not to wait for their resolution (i.e. 'Waiting for discrepancies resolution' flag is set to '0-No'). On the other hand, the Office of Departure that operates under NCTS-P5 always notifies the Office of Destination for the written-off movement.

Please refer to the Figure 139 for the visual representation of the below steps.

[Step 1] When the movement is released for transit, the Office of Departure sends to the Office of Destination the 'Anticipated Arrival Record' C_AAR_SND (IE001) message.

The state of the movement at the Office of Departure is set to [Movement Released](#), while the state of the movement at the Office of Destination is set to [AAR Created](#) (same status between NCTS-P4 and NCTS-P5).

[Step 2] The timer [T_Await_Arrival_Advice](#) at the Office of Departure starts.

[Step 3] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure starts.

[Step 4] The timer [T_Recovery_Recommended](#) at the Office of Departure starts.

[Step 5] The movement arrives at the Office of Destination that operates under NCTS-P4 and notifies the Office of Departure with the 'Arrival Advice' C_ARR_ADV (IE006) message.

The state of the movement at the Office of Departure is set to [Arrived](#), while the state of the movement at the Office of Destination is set to [Arrival accepted](#) (same status between NCTS-P4 and NCTS-P5).

[Step 6] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

[Step 7] Following control, the Office of Destination found major discrepancies and notifies the Office of Departure with the 'Destination Control Results' C_DES_CON (IE018) message (i.e. control result code 'B1'). However, the Office of Destination decides not to wait for the resolution of the discrepancies from the Office of Departure (i.e. 'Waiting for discrepancies resolution' flag is set to '0-No').

The state of the movement at the Office of Departure is set to [Movement under resolution](#), while the state of the movement at the Office of Destination is set to [Goods released](#) (final state).

[Step 8] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure stops.

[Step 9] Since the destination control results indicate major discrepancies, the timer [T_Discrepancies_Resolution](#) starts at the Office of Departure.

[Step 10] After the resolution of major discrepancies, the Office of Departure sends to the Office of Destination the 'Discrepancies Solved Notification' C_DIS_NOT (IE049) message (i.e. the flag 'Discrepancies resolved' is equal to '*I-Discrepancies resolved at departure, movement written-off*'), which is downgraded to the 'Discrepancies Solved Notification' C_DIS_SOL (IE020) and this message is delivered to the Office of Destination in P4.

The state of the movement at the Office of Departure is set to [Movement written off](#), while the state of the movement at the Office of Destination has already been set to [Goods released](#).

[Step 11] Since the major discrepancies in the destination control results are resolved by the Office of Departure, the timer [T_Discrepancies_Resolution](#) stops at the Office of Departure.

[Step 12] The timer [T_Recovery_Recommended](#) at the Office of Departure stops.

[Step 13] Eventually, the 'Discrepancies Solved Notification' C_DIS_SOL (IE020) is rejected by the Office of Destination with the 'Functional NACK' C_FUN_NACK (IE906) message.

This rejection happens, because the movement at the NCTS-P4 Office of Destination has been closed (i.e. its status is under the final status 'Goods released'), when it has sent the 'Destination Control Results' C_DES_CON (IE018) with the 'Waiting for discrepancies resolution' flag to be equal to '0-No'.

It is noted that in NCTS-P4, the message 'Discrepancies Solved Notification' C_DIS_SOL (IE020) is not sent by a NCTS P4 Office of Departure when the 'Destination Control Results' C_DES_CON (IE018) message contains the 'Waiting for discrepancies resolution' flag to be equal to '0-No'. On the other hand, in NCTS-P5, the 'Discrepancies Solved Notification' C_DIS_NOT (IE049) message is always sent to the Office of Destination when the major discrepancies are either resolved or not resolved by the Office of Departure. The reception of the 'Discrepancies Solved Notification' C_DIS_NOT (IE049) will enable the Office of Destination either to finalise the movement as well in case the discrepancies are resolved by the Office of Departure or decide to request to perform recovery or expect recovery initiation from the Office of Departure.

However, the frequency of the mentioned rejections is expected to be low. A guideline to the operational NCTS-P4 systems to avoid the use of ‘Waiting for discrepancies resolution’ flag = ‘0-No’ during the Transitional Period would decrease the above-mentioned rejections.

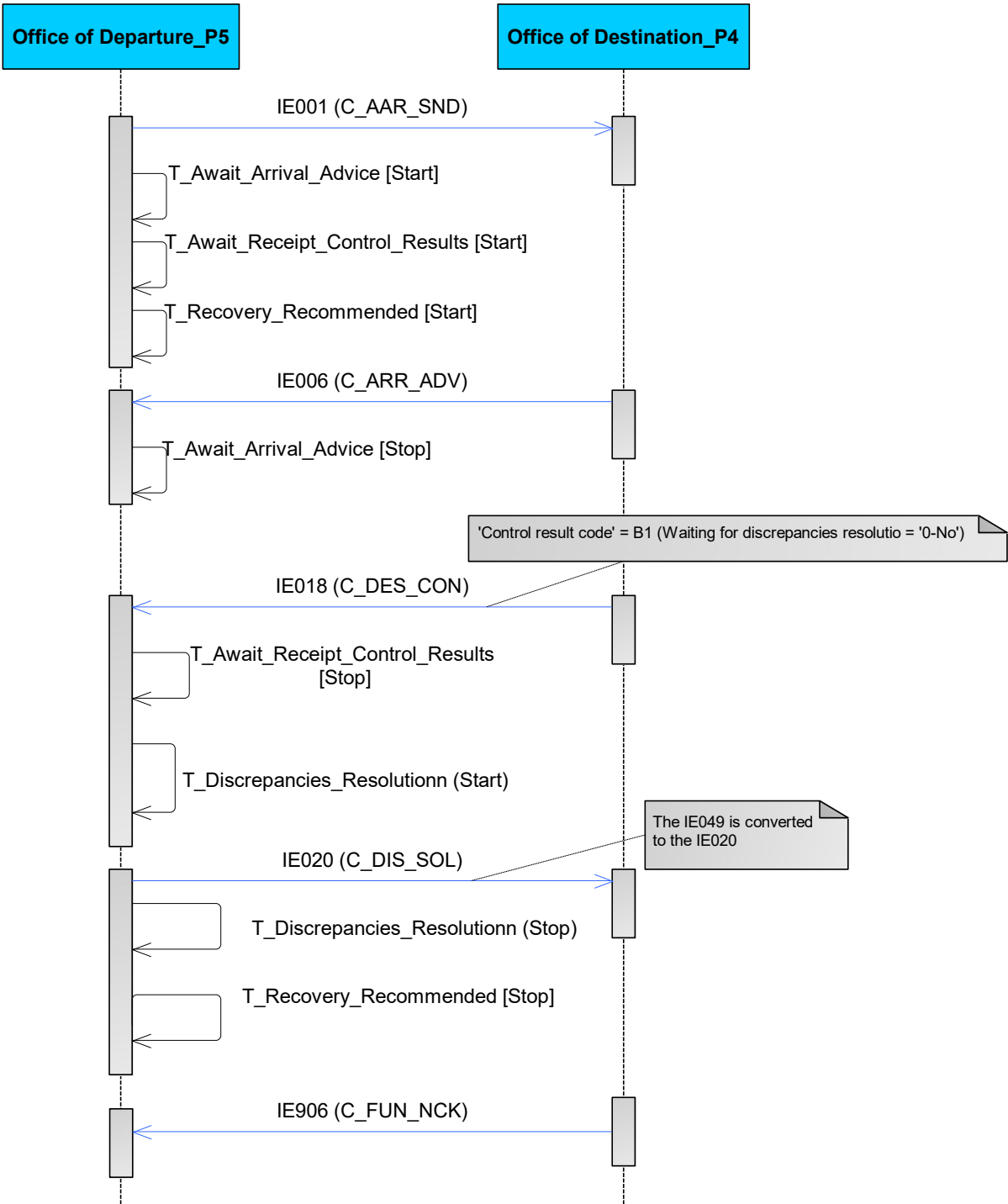


Figure 139: TRN1-TRA-DES-A-008- Major Discrepancies found during control at the Office of Destination during Transitional Period

IV.III.5.1.2 TRN2-TRA-DES-A-008-Major Discrepancies found during control at the Office of Destination during Transitional Period - Recovery initiation

In the scenario [T-TRA-DES-A-13-Major Discrepancies found during control at the Office of Destination-Resolved after the expiration of resolution timer-Major discrepancies are confirmed-Recovery to be started](#), all Offices are in the same Phase (i.e. NCTS-P5). However, this is a transitional scenario that shows the Common Domain message exchanges when:

1. The Office of Departure is in NCTS-P5;
2. The Office of Destination is NCTS-P4.

NOTE: This scenario is applicable for these countries that might not accept the 'Recovery Communication' C_REC_COM (IE063) in final status (under KELv0.26 it was stated that an IE063 shouldn't be rejected at 'Goods Release' state, although the DDNTA Phase 4 was never updated to reflect that).

This scenario describes the case when the Office of Destination operates under NCTS-P4 and reports in the destination control results major discrepancies (i.e. control result code 'B1') but decides not to wait for their resolution (i.e. 'Waiting for discrepancies resolution' flag is set to '0-No'). On the other hand, the Office of Departure that operates under NCTS-P5 does not resolve the major discrepancies and initiates Recovery.

Please refer to the Figure 140 for the visual representation of the below steps.

[Step 1] When the movement is released for transit, the Office of Departure sends to the Office of Destination the 'Anticipated Arrival Record' C_AAR_SND (IE001) message.

The state of the movement at the Office of Departure is set to [Movement Released](#), while the state of the movement at the Office of Destination is set to [AAR Created](#) (same status between NCTS-P4 and NCTS-P5).

[Step 2] The timer [T_Await_Arrival_Advice](#) at the Office of Departure starts.

[Step 3] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure starts.

[Step 4] The timer [T_Recovery_Recommended](#) at the Office of Departure starts.

[Step 5] The movement arrives at the Office of Destination that operates under NCTS-P4 and notifies the Office of Departure with the 'Arrival Advice' C_ARR_ADV (IE006) message.

The state of the movement at the Office of Departure is set to [Arrived](#), while the state of the movement at the Office of Destination is set to [Arrival accepted](#) (same status between NCTS-P4 and NCTS-P5).

[Step 6] The timer [T_Await_Arrival_Advice](#) at the Office of Departure stops.

[Step 7] Following control, the Office of Destination found major discrepancies and notifies the Office of Destination with the 'Destination Control Results' C_DES_CON (IE018) message (i.e. control result code 'B1'). However, the Office of Destination decides not to wait for the resolution of the discrepancies from the Office of Departure (i.e. 'Waiting for discrepancies resolution' flag is set to '0-No').

The state of the movement at the Office of Departure is set to [Movement under resolution](#), while the state of the movement at the Office of Destination is set to [Goods released](#) (final state).

[Step 8] The timer [T_Await_Receipt_Control_Results](#) at the Office of Departure stops.

[Step 9] Since the destination control results indicate major discrepancies, the timer [T_Discrepancies_Resolution](#) starts at the Office of Departure.

[Step 10] The Office of Departure confirms the major discrepancies and decides to initiate Recovery. Therefore, the Office of Departure sends the 'Discrepancies Solved Notification' C_DIS_SOL (IE020) to notify the Office of Destination for this fact.

[Step 11] For this reason, the timer [T_Discrepancies_Resolution](#) stops.

[Step 12] Eventually, the 'Discrepancies Solved Notification' C_DIS_SOL (IE020) is rejected by the Office of Destination with the 'Functional NACK' C_FUN_NACK (IE906) message.

This rejection happens, because the movement at the NCTS-P4 Office of Destination has been closed (i.e. its status is under the final status 'Goods released'), when it has sent the 'Destination Control Results' C_DES_CON (IE018) with the 'Waiting for discrepancies resolution' flag to be equal to '0-No'.

[Step 13] The timer [T_Recovery_Recommended](#) at the Office of Departure stops.

[Step 14] The Office of Departure also notifies all the involved Offices for the initiation of Recovery including the Office of Destination (in P4) with the 'Recovery Communication' C_REC_COM (IE063) message.

The state of the movement at the Office of Departure is set to [Under recovery procedure](#), while the state of the movement at the Office of Destination has already been set to [Goods released](#) (same status between NCTS-P4 and NCTS-P5).

[Step 15] Eventually, the 'Recovery Communication' C_REC_COM (IE063) is rejected by the Office of Destination with the 'Functional NACK' C_FUN_NACK (IE906) message.

This rejection happens, because the movement at the NCTS-P4 Office of Destination has been finalised when the latter sent the 'Destination Control Results' C_DES_CON (IE018) with the 'Waiting for discrepancies resolution' flag to be equal to '0-No'. After that, no other message can be accepted at the Office of Destination. On the other hand, the NCTS-P5 Office of Departure always needs to notify the involved Offices with the 'Recovery Communication' C_REC_COM (IE063) message when Recovery is initiated. However, the frequency of the mentioned rejections is expected to be very low.

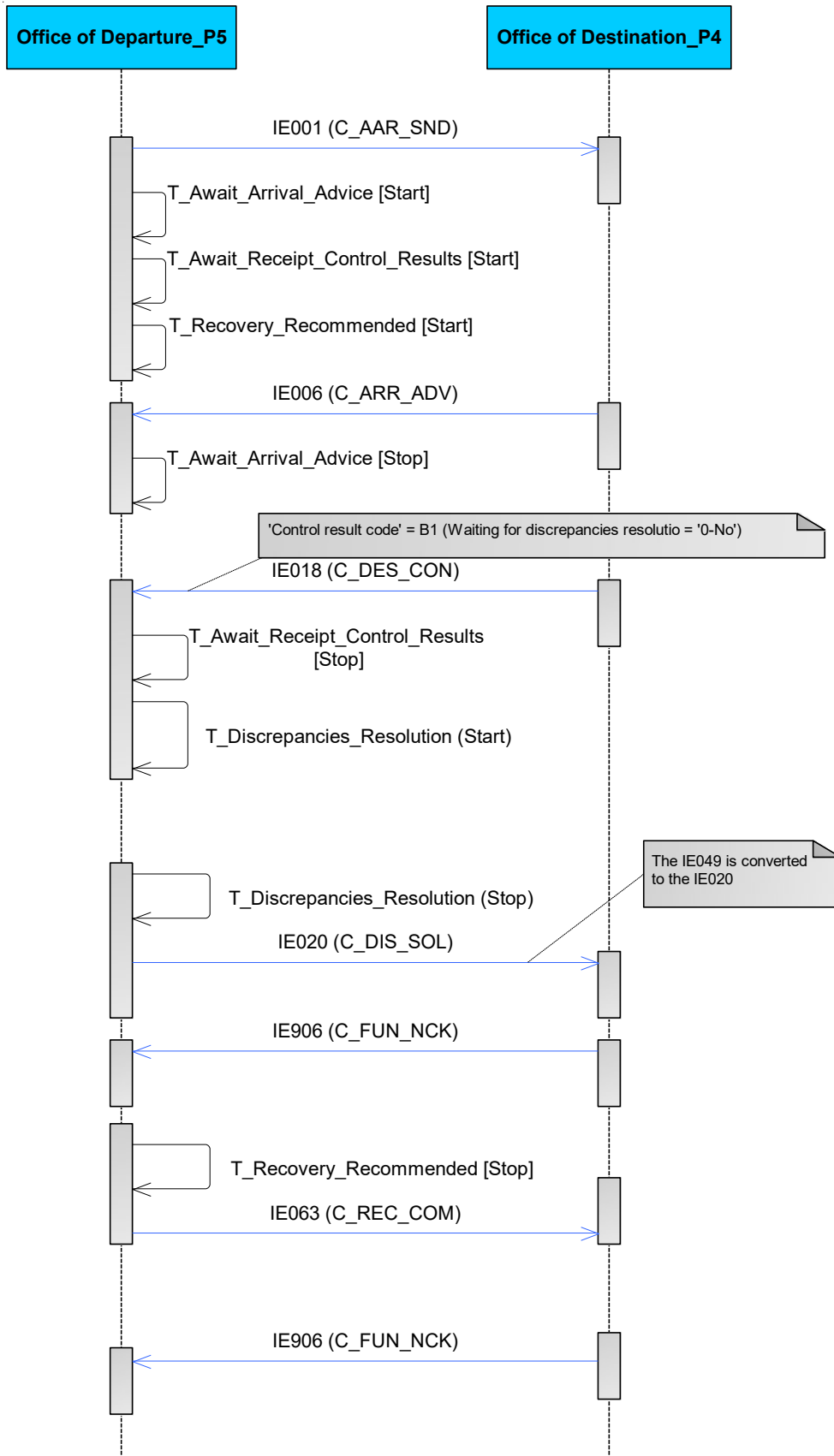


Figure 140: TRN2-TRA-DES-A-008- Major Discrepancies found during control at the Office of Destination during Transitional Period

IV.III.5.2 Incidents En-Route during Transitional Period

The following scenarios demonstrate how the incident registration process is realised when an Office of Incident Registration cooperates with the Office of Departure and Office of Destination that operate in NCTS-P4.

The entire set of possible combination of the Offices that do not operate in the same operation phase is specified in the Appendix M (please see the worksheet: Incident Registration).

IV.III.5.2.1 *TRN-T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration during Transitional Period*

The scenario that follows shows the Common Domain message exchanges when:

1. The Office of Departure is in NCTS-P4;
2. The Office of Incident Registration is NCTS-P5.

[Step 1] An incident occurs, and the movement arrives at the Office of Incident Registration to register it. The Office of Incident Registration sends the ‘Movement Query’ C_MVT_QUE (IE027) message to the Office of Departure that operates in NCTS-P4 to request the movement information.

[Step 2] The Office of Departure responds with the ‘Response to Movement Query’ C_MVT_QUE (IE038) message that contains all the movement information.

Following reception of the ‘Response to Movement Query’ C_MVT_QUE (IE038) message, the Office of Incident Registration registers the incidents and allows the movement to continue its journey. Nevertheless, the ‘Incident Notification’ C_INC_NOT (IE180) message is not sent, because the Office of Departure is under NCTS-P4 and this message is new for NCTS-P5.

However, during the Transitional period, the incident information shall be registered inside and outside the system of the NCTS-P5 Office of Incident Registration. All the incident information is written on the (S)TAD and the transit movement continues its journey.

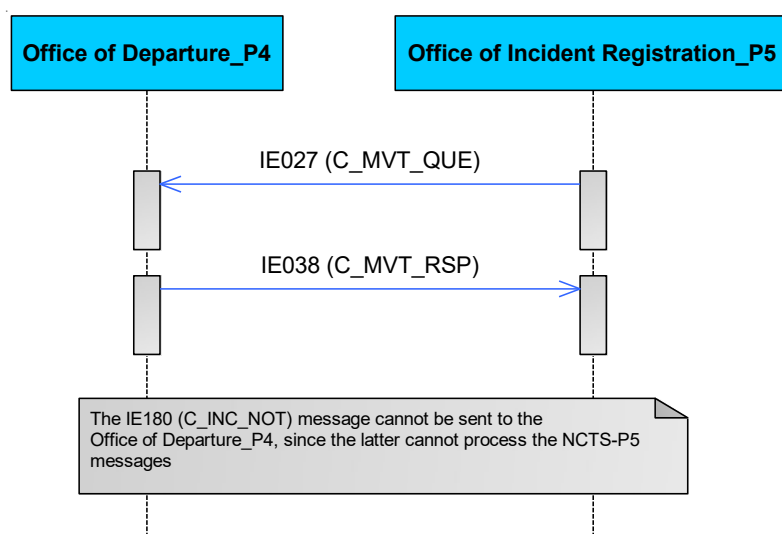


Figure 141: TRN-T-TRA-INC-M-001-Capturing movement information at Office of Incident Registration during Transitional Period

IV.III.5.2.2 TRN-T-TRA-INC-A-003-Office of incident registration allows transit movement to continue its journey during Transitional Period

The scenario that follows shows the Common Domain message exchanges when:

1. The Office of Departure is in NCTS-P5;
2. The Office of Incident Registration is NCTS-P5;
3. The Office of Transit is NCTS-P4;
4. The Office of Destination is NCTS-P4.

[Step 1] An incident occurs, and the movement arrives at the Office of Incident Registration to register it. The Office of Incident Registration sends the ‘Movement Query’ C_MVT_QUE (IE027) message to the Office of Departure that operates in NCTS-P5 to request the movement information.

[Step 2] The Office of Departure responds with the ‘Response to Movement Query’ C_MVT_QUE (IE038) message that contains all the movement information.

Following reception of the ‘Response to Movement Query’ C_MVT_QUE (IE038) message, the Office of Incident Registration registers the incidents and allows the movement to continue its journey.

[Step 3] Therefore, the Office of Incident Registration sends the ‘Incident Notification’ C_INC_NOT (IE180) message to the Office of Departure (P5).

However, the ‘Forwarded Incident Notification to CD’ C_INC_FWD (IE181) message is not forwarded to the other involved Offices, because both the Office of Transit and Office of Destination is under NCTS-P4 and this message is new for NCTS-P5.

NOTE: It is assumed that in this scenario the Holder of the Transit Procedure is also in NCTS-P5 and that they are informed with the ‘Forwarded Incident Notification to ED’ E_INC_NOT (IE182) message.

However, during the Transitional period, the incident information shall be registered inside and outside the system of the NCTS-P5 Office of Incident Registration. All the incident information is written on the (S)TAD and the transit movement continues its journey. Upon reaching the Office of Destination, the incident information will be recorded in the system via IE007. It is noted that the CC007A contains incident information. The Office of Departure will not be able to receive any incident information via the CD018B (and thus no information included in the CD018C obtained after upgrade of the CD018B) since CD018B does not incorporate the relevant data elements. However, the incident information is already known to the NCTS-P5 Office of Departure via the reception of the ‘Incident Notification’ C_INC_NOT (IE180) message.

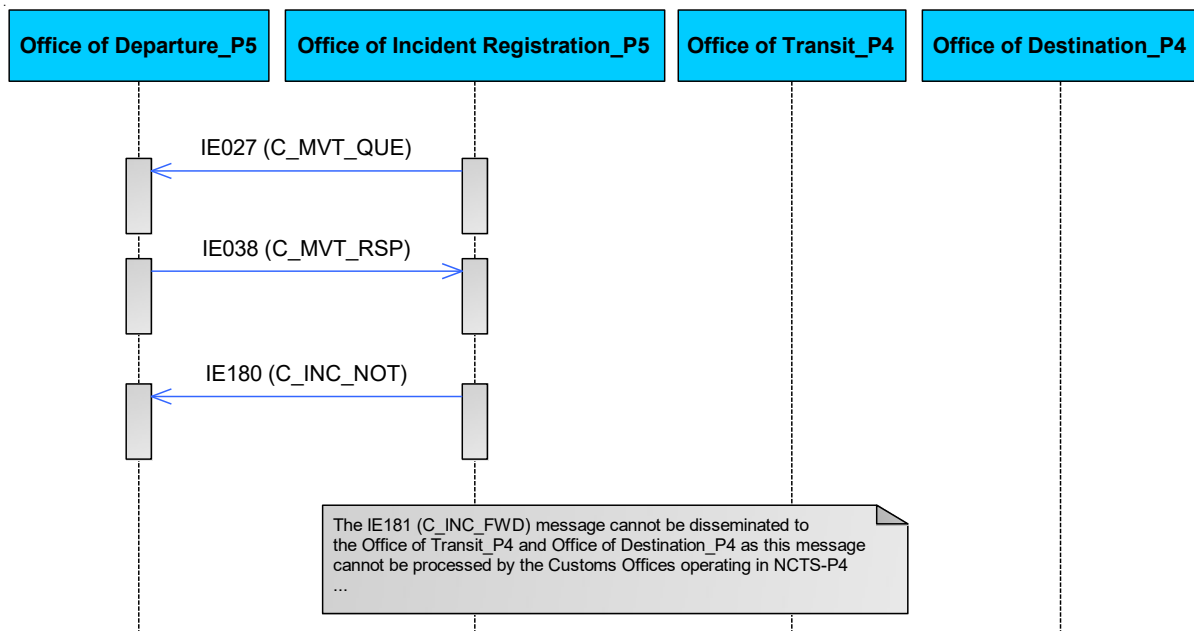


Figure 142: TRN-T-TRA-INC-A-003-Office of incident registration allows transit movement to continue its journey during Transitional Period

IV.III.5.3 Movement Query Information

In NCTS-P5, the ‘Response to Movement Query’ C_MVT_RSP (IE038) will be either positive or negative. Please refer to the scenario [T-TRA-EXC-M-001-Query movement information](#) for more details.

However, the negative ‘Response to Movement Query’ C_MVT_RSP (IE038) will be exchanged only when both NCAs operate under NCTS-P5. The below scenarios demonstrate the exchange of the ‘Functional NACL’ C_FUN_NCK (IE906) message when NCAs operate under different phases instead of a negative ‘Response to Movement Query’ C_MVT_RSP (IE038).

IV.III.5.3.1 TRN1-T-TRA-EXC-M-001-Movement Query Information during Transitional Period

This is a transitional scenario that shows the Common Domain message exchanges when:

1. The Office of Departure is in NCTS-P4;
2. Any Customs Office is in NCTS-P5.

This scenario defines that an NCTS-P5 Requesting Customs Office must consider as valid the reception of ‘Functional NACK’ C_FUN_NCK (IE906) (e.g. unknown MRN) from the Customs Office of Departure which is in NCTS-P4 as a negative response alternative of a ‘Response to Movement Query’ C_MVT_RSP (IE038).

[Step 1] Any Customs Office in NCTS-P5 sends the ‘Movement Query’ C_MVT_QUE (IE027) message to the Office of Departure that operates in NCTS-P4 to request for Movement information.

[Step 2] The Office of Departure responds with the ‘Functional NACL’ C_FUN_NCK (IE906) message, meaning that the movement information not available.

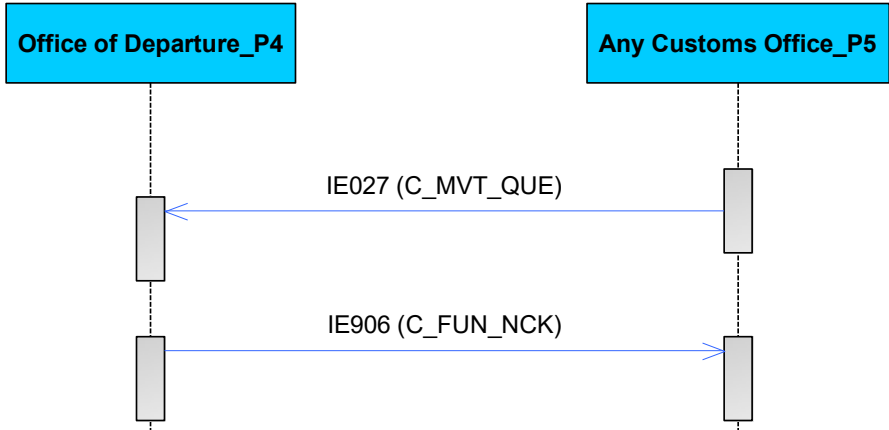


Figure 143: TRN1-T-TRA-EXC-M-001-Movement Query Information during Transitional Period

IV.III.5.3.2 TRN2-T-TRA-EXC-M-001-Movement Query Information during Transitional Period

This is a transitional scenario that shows the Common Domain message exchanges when:

1. The Office of Departure is in NCTS-P5;
2. Any Customs Office is in NCTS-P4.

[Step 1] Any Customs Office in NCTS-P4 sends the ‘Movement Query’ C_MVT_QUE (IE027) message to the Office of Departure that operates in NCTS-P5 to request for Movement information.

[Step 2] The Office of Departure queries for the movement information and since the information is not available, the Office of Departure provides the response to the export query to the Requesting Customs Office via a Functional NACK C_FUN_NCK (IE906) message.

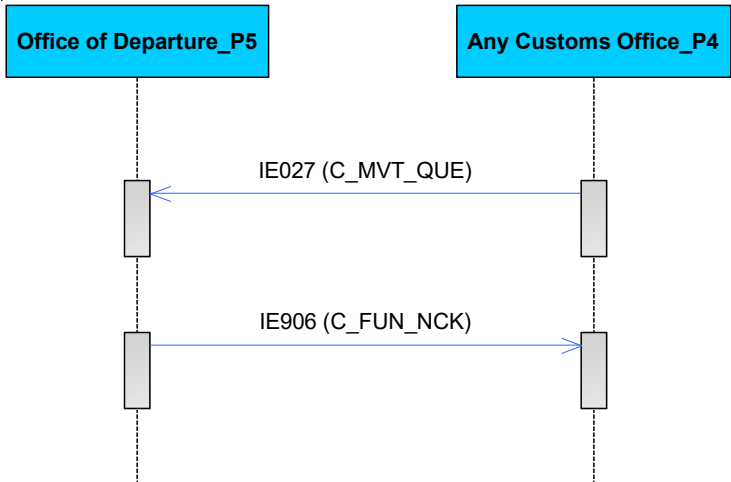


Figure 144: TRN2-T-TRA-EXC-M-001-Movement Query Information during Transitional Period

IV.III.5.4 TRN-T-TRA-DEP-A-019-Invalidation after Release for Transit during Transitional Period

This is a transitional scenario that shows the Common Domain message exchanges when:

1. The Office of Departure is in NCTS-P5;
2. Any Involved Customs Office is in NCTS-P4;
3. Any Involved Customs Office is in NCTS-P5.

[Step 1] The Office of Departure that operates in NCTS-P5 decides to invalidate the transit movement, after it has been released for transit. Therefore, it sends the ‘Invalidation Notification’ C_INV_NOT (IE010) message to all Involved Customs Offices to the transit movement that operate both in NCTS-P4 and in NCTS-P5.

[Step 2] Upon reception of the ‘Invalidation Notification’ C_INV_NOT (IE010) message, the Involved Customs Offices that operate in NCTS-P4 reply with the ‘Cancellation Acknowledgement’ C_CAN_ACK (IE901) message, while no such message is sent by the Involved Customs Offices that operate in NCTS-P5.

When the Office of Departure that operates in NCTS-P5 receives a ‘Cancellation Acknowledgement’ C_CAN_ACK (IE901) message⁸⁵, it ignores it (i.e. message is neither converted nor rejected nor recorded).

The status of the movement at the Office of Departure is set to [Invalidated](#) and all the running timers are stopped. Moreover, the status of the movement at all Involved Customs Offices that operate in NCTS-P5 is set to [Invalidated](#) and the status of the movement at all Involved Customs Offices that operate in NCTS-P4 is set to [Cancelled](#).

Note: There is also the other corresponding alternative case, where the Office of Departure operates in NCTS-P4 and there are other Involved Customs Offices that operate in NCTS-P5. In that case, no ‘Cancellation Acknowledgement’ C_CAN_ACK (IE901) message is generated by the Involved Customs Offices that operate in NCTS-P5, when they receive the ‘Invalidation Notification’ C_INV_NOT (IE010) message. However, there is no impact to the Office of Departure from the non-reception of the ‘Cancellation Acknowledgement’ C_CAN_ACK (IE901) message.

⁸⁵ NCTS-P5 at the OoDep can identify the C_CAN_ACK (IE901) message from the CSI message type and therefore neither convert it nor process it.

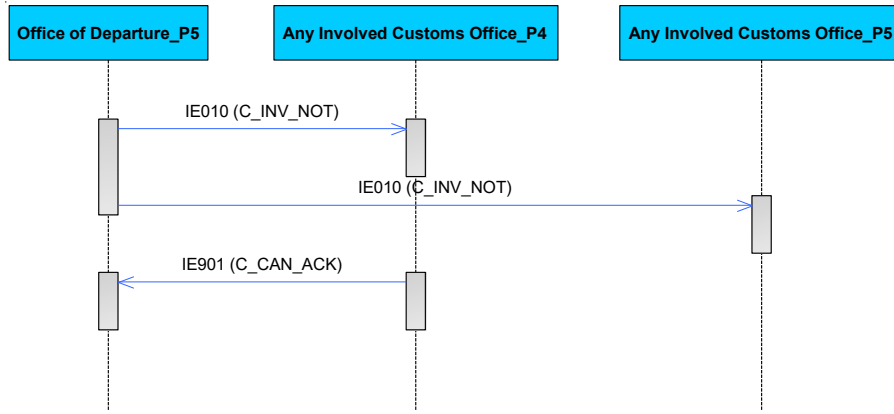


Figure 145: TRN-T-TRA-DEP-A-019-Invalidation after Release for Transit during Transitional Period

IV.IV Principles for Data Structures and IEs during TP

IV.IV.1 Data Mapping and Conversion of IEs

The conversion of IEs from one phase to another can be employed by NAs in the “To Be” phase for the smooth transition of operations during the Transitional Period and to facilitate the Protocol for Common Domain exchanges during TP as defined in section IV.V and the communication with “Legacy” protocol.

There are two sub-types of the IE conversion process as shown in Figure 146:

- **Upgrade:** a process when a source IE message in “Legacy” structural format is to be converted (upgraded) to the target IE message in “To Be” structural format applicable during the Transitional Period.
- **Downgrade:** a process when a source IE message in “To Be” structural format is to be converted (downgraded) to the target IE message in “Legacy” structural format.

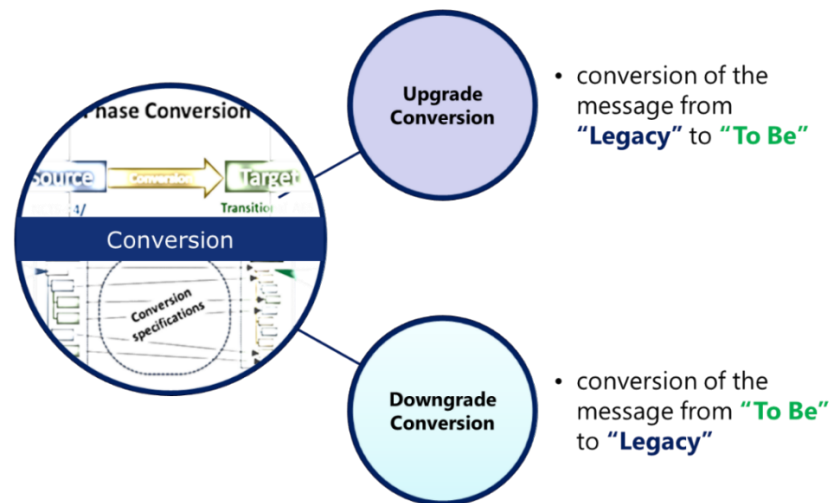


Figure 146: Upgrade and Downgrade IE conversion

The Data Mapping Package (DMP) [R8] of “Legacy” vs. “To Be” defines the Data Mapping Artefacts & Reports for the “To Be”. The DMP incorporates, amongst other artefacts, the definition of Data Mapping per IE message. The latter specifies:

- The data elements (Data Groups and Data Items) applicable to pertinent IE message of the “To Be” system under assessment and for each data element;
- Mapping to the relevant data elements (Data Groups and Data Items) of current operational systems (“Legacy”);
- Per data element information like multiplicity, optionality, format, applicable codelist, applicable R&Cs;
- For each data mapping item, the resolution for Upgrade and Downgrade and whenever a TRT and/or BRT (IV.IV.2) must be applied along with tracking information.

The DMP [R8] is the major input along with the messages structures of DDNTA appendices in order to define the Conversion Technical Specifications (CTS) package [R5]. The Conversion Technical Specifications (CTS) are the technical specifications for the conversion of IEs by

defining for each IE the conversion (upgrade or downgrade) both in human readable format and technical format (XSLT). The Conversion Technical Specifications (CTS) complements the common specifications of the DDNTA for the conversion process during the Transitional Period.

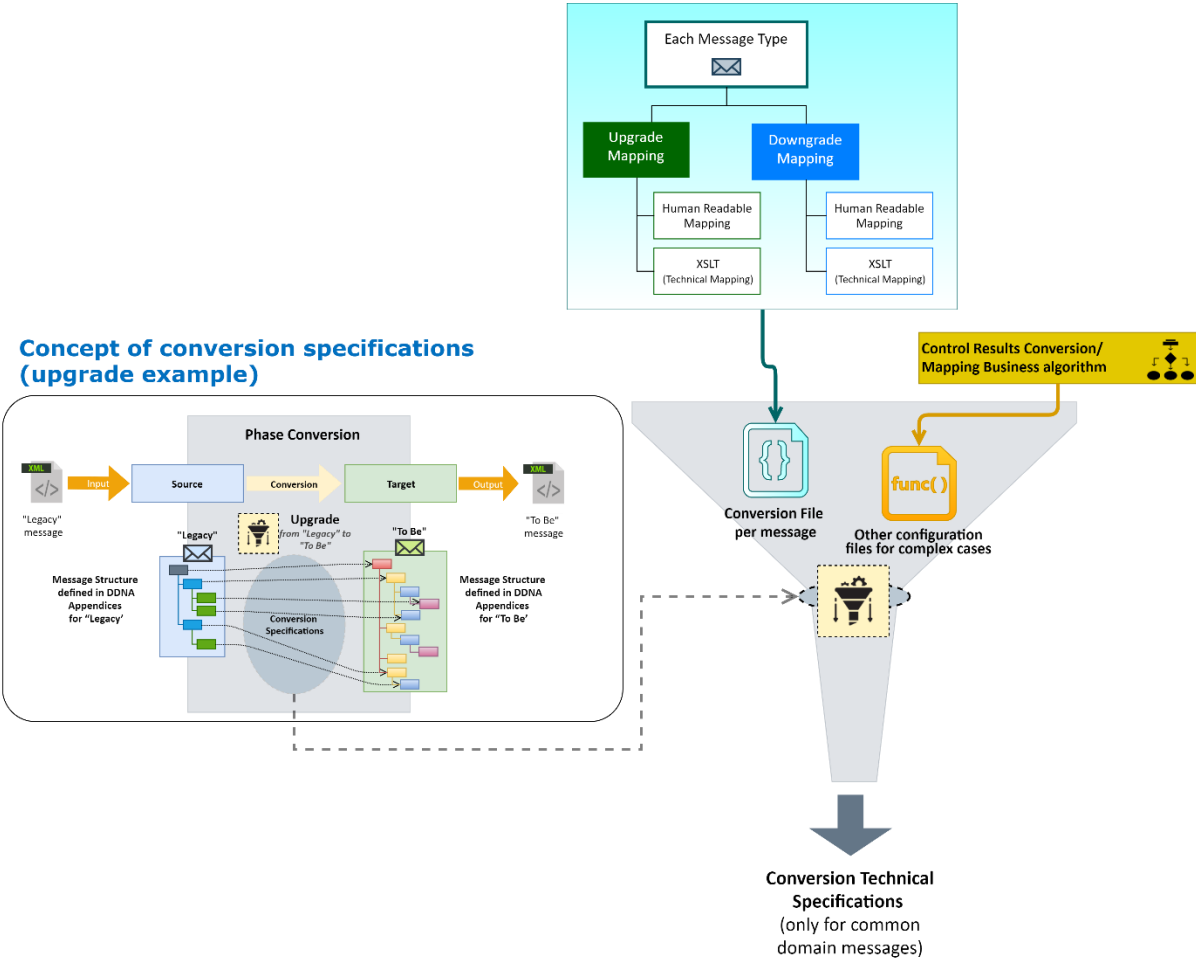


Figure 147: Conversion Technical Specifications

1. The Conversion Technical Specifications (CTS) [R5] package will be the reference package for the conversion process during the Transitional Period.
 2. The Conversion Technical Specifications (CTS) [R5] package concerns only the Common Domain IEs. For External Domain, only data mapping is provided as strongly recommended in DMP [R8].
 3. The conversion of IEs irrespective of implementation (National implementation, N/ieCA, C/ieCA) must be compliant with Conversion Technical Specifications (CTS) [R5].
 4. CS/ieCA will use the Conversion Technical Specifications (CTS) package [R5] for the conversion.

Please refer to Table 22 in section IV.III.1.1, which presents Common Domain IEs for conversion.

IV.IV.2 Technical Message Structures

The Technical Message Structure for “To Be” phase is defined in IV.3 of DDCOM [A3] and further explained in ‘AES NCTS Transition Implementation’ [A8]. Therefore, the *Transitional Structural Constraints* with the form of TRTs (Technical Rules for Transition) and the *Business Structural Changes/Constraints* with the form of BRTs (Business Rules for Transition) have been added on top of applicable Rules and Conditions to facilitate the smooth transition with one implementation of “To Be” NA.

TRTs and BRTs (category 1 (BRT-1) and category 2 (BRT-2)) are applied based on certain timing conditions:

- A TRT is a restriction enforcing stricter message structure before the end of the TP. Its purpose is to ensure message compatibility with pre-UCC (“Legacy”) NCAs during TP. A TRT is applicable when message submission date \leq end of TP;
- A BRT-1 enforces a relaxed validation of R/C before the end of the TP and is applicable for the whole lifecycle of any movement opened during the Transitional Period. A BRT-1 is applicable (validated) only when Decisive date \leq end of TP (i.e. please refer below to the Table 38 for the explanation of ‘Decisive date’). So, BRT-1 is related with the movement lifecycle;
- A BRT-2 applies some UCC data requirements, defining the final structure for movements accepted after transition. A BRT Category 2 is applicable (validated) when Decisive date $>$ end of TP (i.e. please refer below to the Table 38 for the explanation of ‘Decisive date’). So, BRT-2 is related with the movement lifecycle.

Figure 148 shows all classes of Rules and Conditions applicable in a Technical Message Structure of “To Be” phase as per DDCOM principles [A3].

Section IV.IV.3 defines the decisive date for validating TRTs and BRTs per case.

Finally, Figure 148 shows that there is a sequence of validation. The logic of validation is defined in IV.6 of DDCOM [A3]. Figure 149 shows how the Technical Message Structure is adapted based on the applicability of TRTs and BRTs during Transitional Period and after Transition (final period).

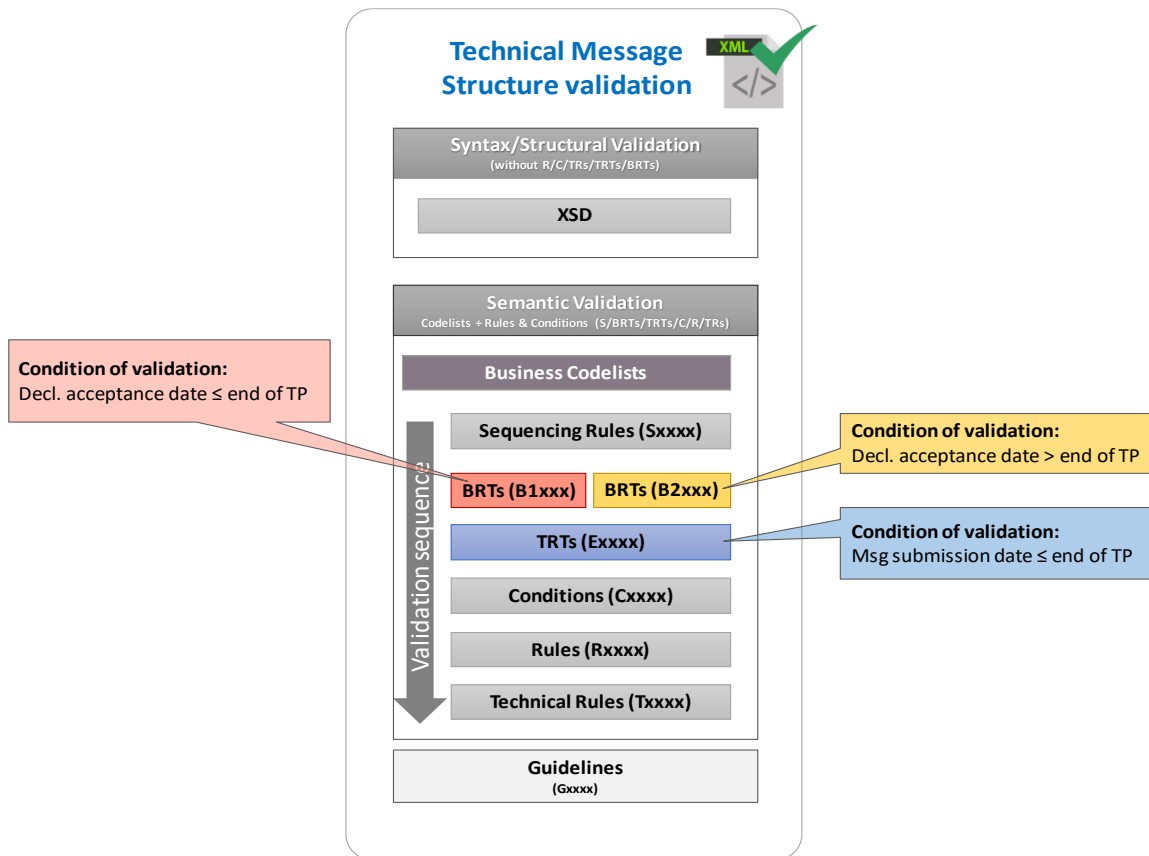


Figure 148: Technical Message Structures and BRTs/TRTs

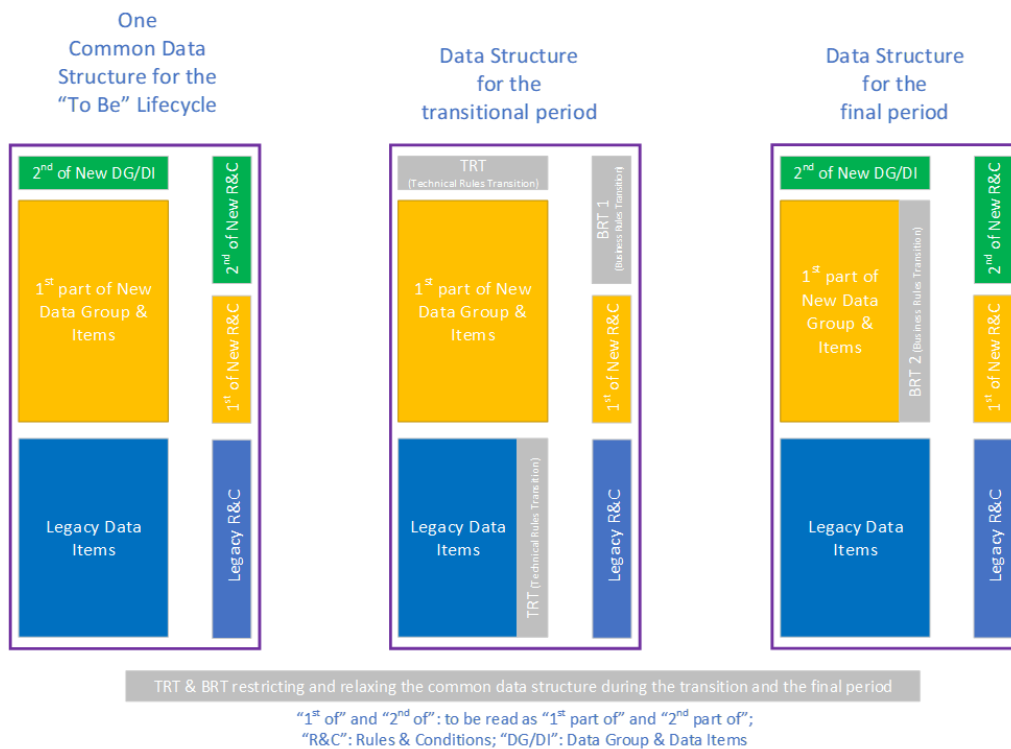


Figure 149: The data structure for the transition and final periods by orchestrating the BRT and TRT

IV.IV.3 Decisive date for BRT/TRT validation

The following Table 38 defines the decisive date and the timing conditions per case for validating TRTs and BRTs.

Class of Rule	Related CD IEs	Related ED/ND IEs	Decisive Date	Timing Condition for TRT/BRT Validation
TRT	All IEs where TRTs are applicable		Submission date/Reception date of IE by NCA (system date and time)	Decisive Date ≤ end date of TP
BRT-1	All IEs where BRT-1s are applicable	IE015, IE007, IE044	Reception date of IE by NCA (system date and time)	Decisive Date ≤ end date of TP
		All IEs except IE015, IE007, IE044 where BRT-1s are applicable	Declaration acceptance date (declarationAcceptanceDate)	Decisive Date ≤ end date of TP
BRT-2	All IEs where BRT-2s are applicable	IE015, IE007, IE044	Reception date of IE by NCA (system date and time)	Decisive Date > end date of TP
		All IEs except IE015, IE007, IE044 where BRT-2s are applicable	Declaration acceptance date (declarationAcceptanceDate)	Decisive Date > end date of TP

Table 38: Decisive date for BRT/TRT validation

IV.IV.4 Codelist Analysis and Mapping between “Legacy” and “To Be”

A number of new codelists defined and some existing codelists changed in compliance with UCC [A9] requirements. The “To Be” codelists are used in the “To Be” message structures as defined in DDNTA Appendices of “To Be”.

A codelist mapping and codelist value mapping analysis performed between “Legacy” and “To Be” only for the common codelists (defined in CS/RD2). This codelist analysis is important during the Transitional Period and is required for the proper IE conversion process. The codelist analysis outcome for common codelists is defined in NCTS-DMP [R8].

For national Codelists or Codelists containing national values, it is the NA’s responsibility to perform such mapping. This activity is considered as required in the context of transition in external domain.

IV.IV.5 R&Cs in NCTS-P4/ECS-P2

Any R/Cs common to “Legacy” and “To Be” must remain synchronised to avoid rejections in Common Domain exchanges (after conversion) during the Transitional Period. Any change on NCTS-P4/ECS-P2 will be handled via change management of those systems.

IV.V Protocol for Common Domain exchanges during TP

The Common Domain Protocol Policy is the set of Technical Systems Specifications applicable during the Transitional Period. It contains the “Legacy” DDNA, the “To Be” DDNA and the transitional rules of interoperability defined below.

The framework of common domain policy protocol is defined in AES and NCTS-P5 Transition Implementation [A8] built on the rules of **Protocol interoperability**:

- The applicable DDNA (“Legacy” or “To Be”) for the IE at stake, and the associated upgrade-conversion or downgrade-conversion of the IE at the sending & receiving side.

Note there is no need for a receiving “To Be” NA to firewalling its “Legacy” traders from undue new “To Be” IEs as the previous sections have NOT identified ANY scenario which would raise such a risk and therefore justify such a defensive mechanism.

To be noted that during the transition window (see 4.1.3 of AES and NCTS-P5 Transition Implementation [A8]) some “To Be” NA may only serve/support the business continuity part of the “To Be” scope. They will declare this in CS/MIS2 (see section IV.II.2).

IV.V.1 General principles

The following generic principles must be applied by NA in “To Be” operational mode during TP:

1. Sender NA in “To Be” operational mode shall always perform identification of Recipient NA operational mode prior submission to the Common Domain and check in CS/MIS2 whether the receiving NA is supporting the scenario/IE/State in which the sending NA wishes to engage the receiving NA;
2. Receiving NA in “To Be” operational mode shall check and assign the incoming IE to the system which will be responsible to handle it as per national implementation and on the basis whether it concerns movement record creation (e.g. IE001/IE003) or movement record update (other IEs such as IE010).

IV.V.2 Common domain exchange patterns

During the TP, the Common Domain exchanges will involve NAs in the following operational modes:

- NA in “Legacy” operational mode;
- NA in “To Be” operational mode.

Combining the above cases, the following five common domain exchange patterns have been identified during the Transitional Period as defined below in Table 39. Each pattern refers at IE level and for each IE per scenario. A scenario might use more than one CD exchange pattern.

Pattern	Group	Sending NA operational mode	Receiving NA operational mode	STD-IE Scope Applicable in the CD
1	CD exchanges between NAs in “Legacy”	“Legacy”	“Legacy”	<ul style="list-style-type: none"> • “Legacy” protocol [R2]
2	CD exchanges between NA in “Legacy” and NA in “To Be”	“Legacy”	“To Be”	<ul style="list-style-type: none"> • “Legacy” protocol [R2]
3		“To Be”	“Legacy”	<ul style="list-style-type: none"> • “Legacy” protocol [R2]
4	CD exchanges between NAs in “To Be”	“To Be” (sending in “To Be” Interface)	“To Be”	<ul style="list-style-type: none"> • Mandatory Existing processes (continuity)(IV.III.1) • ‘New processes for a “To Be” country’ (IV.III.2) • Existing processes upgraded under UCC to be applied at the end of the Transitional Period (IV.III.4)
5		“To Be” (sending in “Legacy” Interface) ⁸⁶	“To Be”	<ul style="list-style-type: none"> • “Legacy” protocol [R2]

Table 39: Common Domain exchanges patterns during TP

⁸⁶ If IE is produced from “Legacy” system of NA, then it is highly strongly recommended to use the native format (“Legacy” interface) to minimise conversion needs between the two (2) countries running to-be and legacy applications in parallel. For more details, please refer to the Transition document [A8].

V Central Services

Section II from DDCOM [A3] is applicable to NCTS-P5.

VI Systems Administration

Section III from DDCOM [A3] is applicable to NCTS-P5.

VII Technical Message Structure

Section IV from DDCOM [A3] is applicable to NCTS-P5.

VIII Design principles

Section V of DDCOM [A3] is applicable to NCTS. Any deviation or NCTS specific information is specified below.

VIII.I Approach

Sub- Section V.1 from DDCOM [A3] is applicable to NCTS.

VIII.II Exception Handling

Sections V3 and V5 of DDCOM [A3] are applicable to NCTS-P5 and define the exception handling mechanism and principles. These sections define what shall be implemented for NCTS-P5 in terms of exception handling both after and during Transition Period. It should be noted that for NCTS External Domain the following messages are used to report functional errors:

- Rejection from Office of Departure (IE056: E_DEP_REJ);
- Rejection from Office of Destination (IE057: E_DES_REJ).

VIII.III Constraints

VIII.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.

VIII.III.2 Performance Constraints

Section V.6.2 of DDCOM [A3] is applicable to NCTS.

VIII.III.3 Timing constraints

See III.VI of this document for the timing constraints applicable to NCTS.

VIII.III.4 Availability Constraints

Section V.6.4 of DDCOM [A3] is applicable to NCTS.

VIII.III.5 Suspension of sending messages

The following table clarifies the DDNTA-v20 that defines which NCTS-P4 messages (now listed precisely as CDxxxA or CDxxxB) should not be sent to an NA when each of the following specific Business Services is unavailable at that NA. The messages identified below *in grey* with (*) are de-facto no more used.

Technical code	Messages
A – All	CD001B, CD002A, CD003B, CD006A, CD010A, CD018B, CD020A, CD024A, CD027A, <i>CD031B*</i> , <i>CD032B*</i> , <i>CD034A*</i> , CD050B, CD063A, CD071A, <i>CD111A*</i> , CD114A, CD115B, CD118A, CD142A, CD143A, CD144A, CD145A, CD150A, CD151A, CD152A, CD200A, CD203A, CD204A, CD205A, CD209A, CD904A, CD905A
B – Departure Processing	CD002A, CD006A, CD018B, CD027A, CD114A, CD118A
C – Arrival Processing	CD001B, CD010A, CD020A, CD024A, CD904A
D – Guarantee	<i>CD034A*</i> , CD200A, CD203A, CD204A, CD209A
E – Enquiry	CD142A, CD144A, CD145A, CD150A, CD152A, CD063A, CD059A
G – Office of Transit Processing	CD010A, CD024A, CD050B, <i>CD904A*</i>
H – Reference Data	<i>CD031B*</i> , <i>CD032B*</i> , CD071A
M – OLAF	CD011A*

Table 40: Suspension of sending messages for NCTS-P4

At the end of the Transitional Period, all NTAs shall stop sending NCTS-P4 messages.

During and after the Transitional Period, the NTAs will use the following table that identifies which messages shall not be sent to an NA when each of the following specific Business Services is unavailable at that NA.

The Suspension of sending messages must apply only in case of System Unavailability of Type “N” (i.e. permanent unavailability) as described in II.2.4 of DDCOM [A3]).

Technical code	Messages
Z – All	CD001C, CD002C, CD006C, CD010C, CD018C, CD049C, CD024C, CD027C, CD050C, CD063C, CD114C, CD115C, CD118C, CD142C, CD143C, CD144C, CD145C, CD150C, CD151C, CD152C, CD160C, CD164C, CD165C, CD168C, CD180C, CD181C, CD200C, CD203C, CD204C, CD209C, CD094C, CD095C
Y – Guarantee Management System	CD200C, CD203C, CD204C, CD209C
X – Office of Exit for Transit Processing	CD160C
W – Office of Transit Processing	CD050C, CD115C
R – Incident Registration to Departure	CD180C
Q – Incident Notification from Departure	CD181C

Table 41: Suspension of sending messages for NCTS-P5

IX XML message formatting

Section VII of DDCOM [A3] is applicable to NCTS.

X Transport of messages via CCN/CSI

Section VIII of DDCOM [A3] is applicable to NCTS defining the principles for the Transport of messages via CCN/CSI. Any deviation or NCTS specific information is specified below.

X.I The CCN communication reminder

Section VIII.2.6 of DDCOM [A3] is applicable to NCTS. In the following table the main messages for NCTS are defined.

IE	IE Name	Reference	Message Type string	CORE
IE001	Anticipated Arrival Record	C_AAR_SND	“CD001C-MSG.NCTS”	✓
IE002	Anticipated Arrival Record Request	C_AAR_REQ	“CD002C-MSG.NCTS”	✓
IE003	Anticipated Arrival Record Response	C_AAR_RSP	“CD003C-MSG.NCTS”	✓
IE006	Arrival Advice	C_ARR_ADV	“CD006C-MSG.NCTS”	✓
IE010	Invalidation Notification	C_INV_NOT	“CD010C-MSG.NCTS”	✓
IE012	Anticipated Arrival Record-TIR-Speed	C_AAR_SPD	“CD012C-MSG.NCTS”	
IE018	Destination Control Results	C_DES_CON	“CD018C-MSG.NCTS”	✓
IE024	Forwarded Arrival Advice	C_FWD_ARR	”CD024C-MSG.NCTS”	✓
IE027	Movement Query	C_MVT_QUE	“CD027C-MSG.NCTS”	✓
IE038	Response to Movement Query	C_MVT_RSP	“CD038C-MSG.NCTS”	✓
IE049	Discrepancies Solved Notification	C_DIS_NOT	“CD049C-MSG.NCTS”	✓
IE050	Anticipated Transit Record	C_ATR_SND	“CD050C-MSG.NCTS”	✓
IE059	Cancel Enquiry Notification	C_CAN_ENQ	“CD059C-MSG.NCTS”	✓
IE063	Recovery Communication	C_REC_COM	“CD063C-MSG.NCTS”	✓
IE070	Notification of System Unavailability to CD	C_UNA_COM	“CD070C-MSG.NCTS”	
IE071	Notification of System Unavailability to ND	C_UNA_NAT	“CD071C-MSG.NCTS”	
IE078	Inter-Domain Linking	C_MRN_LNK	“CD078C-MSG.NCTS”	
IE094	Status Request	C_STD_REQ	“CD094C-MSG.NCTS”	✓
IE095	Status Response	C_STD_RSP	“CD095C-MSG.NCTS”	✓
IE114	Anticipated Transit Record Request	C_ATR_REQ	“CD114C-MSG.NCTS”	✓
IE115	Anticipated Transit Record Response	C_ATR_RSP	“CD115C-MSG.NCTS”	✓
IE118	Notification Crossing Frontier	C_NCF_NOT	“CD118C-MSG.NCTS”	✓
IE142	Enquiry Request	C_ENQ_REQ	“CD142C-MSG.NCTS”	✓
IE143	Enquiry Response	C_ENQ_NEG	“CD143C-MSG.NCTS”	✓
IE144	Enquiry Information	C_ENQ_INF	“CD144C-MSG.NCTS”	✓
IE145	Enquiry Information Request	C_INF_REQ	“CD145C-MSG.NCTS”	✓
IE150	Recovery Request	C_REC_REQ	“CD150C-MSG.NCTS”	✓

IE	IE Name	Reference	Message Type string	CORE
IE151	Recovery Acceptance Notification	C_REC_ACC	“CD151C-MSG.NCTS”	✓
IE152	Recovery Dispatch Notification	C_REC_DIS	“CD152C-MSG.NCTS”	✓
IE160	Anticipated Exit For Transit Record	C_AXR_SND	“CD160C-MSG.NCTS”	✓
IE164	AXR Request of Exit for Transit	C_AXR_REQ	“CD164C-MSG.NCTS”	✓
IE165	AXR Response of Exit for Transit	C_AXR_RSP	“CD165C-MSG.NCTS”	✓
IE168	Notification Leaving Security Area	C_LSA_NOT	“CD168C-MSG.NCTS”	✓
IE180	Incident Notification	C_INC_NOT	“CD180C-MSG.NCTS”	✓
IE181	Forwarded Incident Notification to CD	C_INC_FWD	“CD181C-MSG.NCTS”	✓
IE200	Guarantee Check	C_GUA_CHE	“CD200C-MSG.NCTS”	✓
IE201	Guarantee Check Result	C_GUA_RES	“CD201C-MSG.NCTS”	✓
IE203	Guarantee Use	C_GUA_USE	“CD203C-MSG.NCTS”	✓
IE204	Guarantee Use Cancellation	C_GUA_CAN	“CD204C-MSG.NCTS”	✓
IE205	Guarantee Use Results	C_GUA_USR	“CD205C-MSG.NCTS”	✓
IE209	Credit Reference Amount	C_GUA_CRE	“CD209C-MSG.NCTS”	✓
IE411	Sending of Statistics data	C_STA_SND	“CD411D-MSG.NCTS”	
IE903	Warning Message	C_MSG_WRN	“CD903D-MSG.NCTS”	
IE906	Functional NACK	C_FUN_NCK	“CD906C-MSG.NCTS”	
IE917	XML NACK	XML NACK	“CD917C-MSG.NCTS”	
IE974	NCA Availability Request	C_AVA_REQ	“CD974C-MSG.NCTS”	
IE975	NCA Availability Response	C_AVA_RSP	“CD975C-MSG.NCTS”	

Table 42: Main Information Exchanges for NCTS

*** End of document ***

(...) The work of the EU represents “fraternity between nations”, and amounts to a form of the “peace congresses” to which Alfred Nobel refers as criteria for the Peace Prize in his 1895 will.

[Oslo, 12 October 2012](#)