**Appendix 1: Key Documents Analysis**

Contents

[Preferential Certificate of Origin (CoO) 2](#_Toc161915423)

[CODEX Generic Model Official Certificate (CODEX) 4](#_Toc161915424)

[Phytosanitary certificate (ePhyto) 6](#_Toc161915425)

[International Veterinary Certificates (WOAH) 7](#_Toc161915426)

[CITES Permit / Certificate (CPC) 10](#_Toc161915427)

[Certificate of Inspection for Organic Products (CIO) 12](#_Toc161915428)

[Dangerous Goods Declaration (DGD) 14](#_Toc161915429)

[Consignment Security Declaration (CSD) 16](#_Toc161915430)

[ATA Carnet (ATA) 18](#_Toc161915431)

[Tir Carnet (TIR) 20](#_Toc161915432)

[Transit Accompanying Document (TAD) 22](#_Toc161915433)

[Advance Ruling Application (ARA) 23](#_Toc161915434)

[Excise Guarantee (EG) 24](#_Toc161915435)

[Administrative Documents used in the Excise Movement Control System (EMCS) 26](#_Toc161915436)

[Export/import licence for agricultural products (EIL) 28](#_Toc161915437)

# Preferential Certificate of Origin (CoO)

|  |  |
| --- | --- |
| **Document name** | Preferential Certificate of Origin |
| **Purpose** | A Preferential Certificate of Origin (PCO) is a document that certifies that goods in a particular shipment qualify for preferential tariff treatment under a specific Free Trade Agreement (FTA). |
| **Sender** | The document is issued by a government agency in the exporting country, such as a chamber of commerce. It is sent by an exporter or authorised representative (e.g. freight forwarder). |
| **Receiver** | The receiver of the document is usually the importer and the Customs authority of the importer country. |
| **Legal Framework** | The overall framework is provided by the WTO Agreement on Rules of Origin, and the revised Kyoto Convention on Simplification and Harmonization of Customs Procedures. Every FTA has its own legal framework, the text/layout of the preferential Certificate of Origin is described in the relevant FTA. |
| **Usage** | More than 15 million a year. |
| **Key Standards** | Most preferential CoO have a similar lay-out.* [ICC-WCF Origin Guidelines Certificates](https://2go.iccwbo.org/international-certificate-of-origin-guidelines-config%2Bbook_version-Book/)
* [Appendix I, II and III of Annex K of the Revised Kyoto Convention](https://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/conventions/pf_revised_kyoto_conv/kyoto_new/spank.aspx)
* [UN/CEFACT](https://unece.org/sites/default/files/2023-07/BRS-PreferentialeCertofOrigin_v2.pdf)
* [OASIS UBL](https://docs.oasis-open.org/ubl/cs01-UBL-2.2/mod/summary/reports/UBL-CertificateOfOrigin-2.2.html)
* [WCO Data Model](https://www.wcoomd.org/DataModel)
 |
| **Differences**  | The layout of CoO is mostly similar, and there are no major differences between the definitions of different key data elements. |
| **Platforms** | In some countries, electronic CoO exchanges are enabled by National Single Window services. |
| **Key Data Elements**  | * Document: CoO Certificate Number; Additional Numbers (LC Number etc.)
* Party: Exporter- Consignor (applicant); importer- consignee – to order (facultative); Certifying body (details of the issuing organisation including place and the date of issuance and authorisation)
* Location: Origin of the Goods
* Transport: Particulars of transport details (facultative)
* Goods: Marks and numbers; Number and Kind of Package; Description of the Goods
* Measure: Gross weight- quantity
* Countries involved in the FTA
* Number of the customs declaration
* Other Information

A CoO is connected to a shipment, therefore information about the exporter and description of the goods has to be the same as that used in other documents. |
| **Adoption** | Digitalisation must be allowed in the text of the FTA, which may be long process. |
| **Document-Specific Challenges** | **Framing the Problem**: The following challenges should be taken into consideration regarding the digitalization of preferential CoO.* Legal framework: Achieving and concluding negotiation within the framework of an FTA with contracting parties to reach mutual agreement on the digital certificate of origin, noting that e-COs will not be accepted without the agreement of importing countries; However, currently many of the FTAs don’t include legal options for digital Certificate of Origin.
* There are around 400 FTAs globally. Most countries do have more than one FTA. Digitalisation from a technical perspective is not that difficult in a single FTA, the difficulty is that solution A developed in FTA X might not work in FTA Y because the countries are not the same in both FTA’s. The WCO is developing an Interconnectivity Framework for e-CoO with the aim to streamline and harmonize e-CoO interconnectivity at the global level.
* Self-certification: in a lot of FTA’s self-certification is becoming the standard practice. Self-certification (invoice declaration) might be a an aspect that has an influence on the digitalization of preferential CoO. For example if the aim is to use only self-certification in most FTA’s of a country the activity will be on the promotion of self-certification instead of the development of an e-CoO
 |
| **Document Specific Solutions** | Main challenge will be the legal aspect. Many older FTA’s do not have provision to work with digital CoO, if this legal aspect is not solved between contracting countries within an FTA it is not an option to start the development of an e-CoO system. |

##

# CODEX Generic Model Official Certificate (CODEX)

|  |  |
| --- | --- |
| **Document name** | CODEX Generic Model Official Certificate |
| **Purpose**  | To describe and attest to attributes of consignments of food destined for international trade. |
| **Sender/Receiver** | The certificate is issued by, or under the control of the exporting country’s competent authority, including by a certifying body recognized by the competent authority to issue such a certificate.The certificate is received by the competent authority of the importing country. |
| **Legal requirement** | Official certificates are a legal requirement to ensure through attestations and essential information that food safety and/or fair practices in the food trade requirements are met. |
| **Usage** | Paperless exchange of official certificates is the act of competent authorities or certifying bodies providing, receiving and archiving the identified information and relevant attestations required by the importing country in electronic form.The capability for electronic exchanges of certificates is larger than the implementation of paperless exchange of certificates.A rough estimation based on the answers of the 25 countries which answered a recent OECD survey is that currently a maximum of 8% of the certificates has been covered by electronic exchanges of which an unknown percentage of these exchanges is paperless. |
| **Standards** | CODEX GUIDELINES FOR DESIGN, PRODUCTION, ISSUANCE AND USE OF GENERIC OFFICIAL CERTIFICATES, CXG 38-2001: [fao.org/fao-who-codexalimentarius/sh-proxy/en/?lnk=1&url=https%253A%252F%252Fworkspace.fao.org%252Fsites%252Fcodex%252FStandards%252FCXG%2B38-2001%252FCXG\_038e.pdf](https://www.fao.org/fao-who-codexalimentarius/sh-proxy/en/?lnk=1&url=https%253A%252F%252Fworkspace.fao.org%252Fsites%252Fcodex%252FStandards%252FCXG%2B38-2001%252FCXG_038e.pdf)[UN/CEFACT Electronic SPS Certificate (eCert)](https://unece.org/trade/uncefact/ecert)[WCO Data Model](https://www.wcoomd.org/DataModel), LPCO package, Codex Derived Information Package |
| **Differences** | Basically there are no differences.The generic reference model (which is extracted from the UN/CEFACT Electronic SPS Certificate (eCert)) of the Codex generic model official certificate has been the primary guidance for any data standardization initiatives, including the updating the WCO Data Model Codex Derived Information Package. |
| **Platforms** | Exchanges are on bilateral G2G basis1. The electronic certification system of the importing competent authority retrieves (“pulls”) or receives (the information having been “pushed”) certificates data directly from the electronic certification system of the exporting competent authority or certifying body through a web service interface (e.g. Simple Object Access Protocol [SOAP]). 2. The electronic certification system of the exporting competent authority or certifying body provides certificates, to the competent authority or certifying body of the importing country through Simple Mail Transfer Protocol (SMTP). |
| **Data** | <http://www.fao.org/fao-who-codexalimentarius/sh-proxy/en/?lnk=1&url=https%253A%252F%252Fworkspace.fao.org%252Fsites%252Fcodex%252FMeetings%252FCX-733-25%252FWorking%2BDocuments%202020%252FPaperless_cert_Generic_Reference_Model.pdf><http://www.fao.org/fileadmin/user_upload/codexalimentarius/doc/Paperless_cert_Description_for_the_generic_model_draft.xlsx> |
| **Adoption** | Identification of automation needs for SPS-certification systems in a single window environment at the national level and consideration of the appropriate expansion of use of digital technologies for the capability to electronic exchange SPS certificates through single window interoperability. (OECD (2021), "Digital opportunities for Sanitary and Phytosanitary (SPS) Systems and the trade facilitation effects of SPS Electronic Certification", OECD Food, Agriculture and Fisheries Papers, No. 152, OECD Publishing, Paris, <https://doi.org/10.1787/cbb7d0f6-en>.) |
| **Other** | Examine the potential for further contributions from relevant international organisations to the identification of appropriate digital technological solutions to facilitate international paperless exchanges of health certificates in a single window environment. (OECD (2021), "Digital opportunities for Sanitary and Phytosanitary (SPS) Systems and the trade facilitation effects of SPS Electronic Certification", OECD Food, Agriculture and Fisheries Papers, No. 152, OECD Publishing, Paris, <https://doi.org/10.1787/cbb7d0f6-en>.) |

# Phytosanitary certificate (ePhyto)

|  |  |
| --- | --- |
| **Document name** | Phytosanitary certificate  |
| **Purpose**  | To attest that consignment meet phytosanitary import requirements and is undertaken by a national plant protection organization (NPPO) |
| **Sender/Receiver** | The phytosanitary certificate is issued by the exporting country’s NPPO official Authority.The certificate is received by the NPPO official Authority of the importing country. |
| **Legal requirement** | There are legal requirements for phytosanitary certificates when importing or exporting plants and plant products. These requirements are in place to protect against the spread of harmful pests and diseases across borders. |
| **Usage** | More than 5,000,000 electronic phytosanitary certificates (ePhyto) exchanged in a productive environment since its implementation in 2020. Monthly exchange average: 200,000 ePhytos. |
| **Standards** | <https://www.ephytoexchange.org/landing/harmonization/index.html> |
| **Differences** | No differences. All implementations use IPPC Standard 17A |
| **Platforms** | Multilateral (HUB-IPPC), Regional (IOPACK Pacific Alliance), Bilateral (G-to-G) |
| **Data** | <https://www.ephytoexchange.org/landing/harmonization/index.html> |
| **Adoption** | Dissemination and training |
| **Other** | Examine the potential for further contributions from relevant international organisations to the identification of appropriate digital technological solutions to facilitate international paperless exchanges of health certificates in a single window environment. (OECD (2021), "Digital opportunities for Sanitary and Phytosanitary (SPS) Systems and the trade facilitation effects of SPS Electronic Certification", OECD Food, Agriculture and Fisheries Papers, No. 152, OECD Publishing, Paris, <https://doi.org/10.1787/cbb7d0f6-en>. |

# International Veterinary Certificates (WOAH)

|  |  |
| --- | --- |
| **Document name** | International Veterinary Certificates for:* Veterinary certificate for international trade in live animals and hatching eggs
* Veterinary certificate for international trade in oocytes, embryos or semen
* Veterinary certificate for international trade in products of animal origin
* Veterinary certificate for international trade in bees and brood combs
* Veterinary certificate for international movement of dogs, cats and ferrets originating from countries considered infected with Rabies
* Veterinary certificate for international trade in laboratory animals

Passport for international movement of competition horsesInternational Aquatic Animal Health Certificate for:* Health certificate for international trade in live aquatic animals and gametes
* Health certificate for international trade in products of aquatic animal origin
 |
| **Purpose**  | To assure that commodities introduced into the importing country comply with the standards of the World Organisation for Animal Health (WOAH). |
| **Sender/Receiver** | The veterinary certificate is issued by the exporting country’s Veterinary Authority and received by the Veterinary Authority of the importing country.The aquatic animal health certificate is issued by the exporting country’s certifying official authorised by the Competent Authority and received by the Competent Authority of the importing country. |
| **Legal requirement** | International veterinary certificates means a certificate, issued in accordance with Chapter 5.2. of the Terrestrial Code, describing the animal health and public health requirements that are fulfilled by the exported commodities.International aquatic animal health certificates means a certificate, issued in conformity with the provisions of Chapter 5.11. of the Aquatic Code, describing the aquatic animal health and public health requirements that should be fulfilled prior to export of commodity. |
| **Usage** | A rough estimation based on the answers of the 25 countries which answered a recent OECD survey is that currently a maximum of 8% of the certificates has been covered by electronic exchanges of which an unknown percentage of these exchanges is paperless |
| **Standards** | * Section 5, Veterinary certification (chapters 5.1, 5.2, 5.10-5.13) of the Terrestrial Animal Health Code: [Terrestrial Code Online Access - WOAH - World Organisation for Animal Health](https://www.woah.org/en/what-we-do/standards/codes-and-manuals/terrestrial-code-online-access/?id=169&L=1&htmfile=titre_1.5.htm)
* Section 5, Health certification (chapters 5.1, 5.2 and 5.11) of the Aquatic Animal Health Code: [Aquatic Code Online Access - WOAH - World Organisation for Animal Health](https://www.woah.org/en/what-we-do/standards/codes-and-manuals/aquatic-code-online-access/?id=169&L=1&htmfile=titre_1.5.htm)
* UN/CEFACT Electronic SPS Certificate (eCert): <https://unece.org/trade/uncefact/ecert>
* WCO Data Model, LPCO package, WOAH Derived Information Package (WCO work expected to start in 2024)
 |
| **Differences** | Basically there are no differences.The WOAH reference data models of the WOAH international veterinary certificates and the WOAH international aquatic animal health certificates will be modelled using the UN/CEFACT Electronic SPS Certificate (eCert).The WOAH reference data models of the WOAH international veterinary certificates and the WOAH international aquatic animal health certificates certificate will become the primary guidance for any data standardization initiatives, including the updating the WCO Data Model Codex Derived Information Package. |
| **Platforms** | Exchanges are on bilateral G2G basis1. The electronic certification system of the importing competent authority retrieves (“pulls”) or receives (the information having been “pushed”) certificates data directly from the electronic certification system of the exporting competent authority or certifying body through a web service interface (e.g. Simple Object Access Protocol [SOAP]). 2. The electronic certification system of the exporting competent authority or certifying body provides certificates, to the competent authority or certifying body of the importing country through Simple Mail Transfer Protocol (SMTP). |
| **Data** | Data modelling standardisation WOAH work is expected to start in 2024 with regards to the following certificates:Chapter 5.10 : [Terrestrial Code Online Access - WOAH - World Organisation for Animal Health](https://www.woah.org/en/what-we-do/standards/codes-and-manuals/terrestrial-code-online-access/?id=169&L=1&htmfile=chapitre_certif_live_animals.htm)Chapter 5.11: [Terrestrial Code Online Access - WOAH - World Organisation for Animal Health](https://www.woah.org/en/what-we-do/standards/codes-and-manuals/terrestrial-code-online-access/?id=169&L=1&htmfile=chapitre_certif_rabies.htm)Chapter 5.12: [Terrestrial Code Online Access - WOAH - World Organisation for Animal Health](https://www.woah.org/en/what-we-do/standards/codes-and-manuals/terrestrial-code-online-access/?id=169&L=1&htmfile=chapitre_certif_compet_horses.htm)Chapter 5.13: [Terrestrial Code Online Access - WOAH - World Organisation for Animal Health](https://www.woah.org/en/what-we-do/standards/codes-and-manuals/terrestrial-code-online-access/?id=169&L=1&htmfile=chapitre_certify_labo_ani.htm)Chapter 5.11: [Aquatic Code Online Access - WOAH - World Organisation for Animal Health](https://www.woah.org/en/what-we-do/standards/codes-and-manuals/aquatic-code-online-access/?id=169&L=1&htmfile=chapitre_model_certifs_aqua_ani_and_prod.htm) |
| **Adoption** | * Development of reference data models of the WOAH international veterinary certificates and the WOAH international aquatic animal health certificates
* Alignment of the WCO Data Model, LPCO package, WOAH Derived Information Package with the reference data models of the WOAH international veterinary certificates and the WOAH international aquatic animal health certificates.
* Identification of automation needs for SPS-certification systems in a single window environment at the national level and consideration of the appropriate expansion of use of digital technologies for the capability to electronic exchange SPS certificates through single window interoperability. (OECD (2021), "Digital opportunities for Sanitary and Phytosanitary (SPS) Systems and the trade facilitation effects of SPS Electronic Certification", OECD Food, Agriculture and Fisheries Papers, No. 152, OECD Publishing, Paris, <https://doi.org/10.1787/cbb7d0f6-en>.)
 |
| **Other** | Examine the potential for further contributions from relevant international organisations to the identification of appropriate digital technological solutions to facilitate international paperless exchanges of veterinary and aquatic animal health certificates in a single window environment:<https://doi.org/10.1787/cbb7d0f6-en> |

# CITES Permit / Certificate (CPC)

|  |  |
| --- | --- |
| **Document name** | CITES Permit / Certificate |
| **Purpose**  | The document is the confirmation by the issuing authority that the conditions for authorizing the trade in CITES-listed species, parts or derivatives thereof, are fulfilled; this means that the trade is legal, sustainable and traceable in accordance with Art. III, IV and V of the Convention. The Convention on International Trade in Endangered Species of Wild Fauna and Flora ([CITES](https://cites.org/eng)) aims to ensure that international trade in specimens of wild animals and plants does not threaten their survival.The types of permits and certificates include the Export Permit, Import Permit, Introduction from the sea Certificate, Re-export Certificate, Certificate of Origin and special provisions of the Convention (Pre-convention certificate, Musical instrument certificate etc.). |
| **Sender/Receiver** | Issuer: [CITES Management Authority](https://cites.org/eng/parties/country-profiles/national-authorities) with supporting information from the CITES Scientific Authority when required by the Convention. Sender or Receiver – traders (exporter, importers), zoos, academic institutions, research bodies etc. Customs or border control authorities need to have access to the ePermitting system. |
| **Legal requirement** | Articles [III](https://cites.org/eng/disc/text.php#III), [IV](https://cites.org/eng/disc/text.php#IV), [V](https://cites.org/eng/disc/text.php#V), [VI](https://cites.org/eng/disc/text.php#VI) and [VII](https://cites.org/eng/disc/text.php#VII) of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).Stricter domestic laws and measures, or simplified procedures under the Convention may be followed for the issuance of CITES Permits or Certificates. |
| **Usage** |  |
| **Standards** | There are two data models. The mapping between the CITES implementations in the two data models enables B2G and G2B data exchanges to be shared efficiently. * UN/CEFACT Reference Data Models. The CITES ePermit data model subset is based on the UN/CEFACT Buy-Ship-Pay global supply chain reference data model.
* WCO Data Model. The data model is based on the WCO Data Model version 3.11.

The CITES ePermitting data models are available in CITES Electronic CITES Permitting Toolkit Version 3.0, available in [English](https://cites.org/sites/default/files/eng/prog/e/toolkit/CITES%20e-permitting%20toolkit_latest_EN.pdf), [French](https://cites.org/sites/default/files/fra/prog/e/cites_e-toolkit_latest_FR.pdf) and [Spanish](https://cites.org/sites/default/files/eng/prog/e/CITES-EPIX-Guidelines-2022_ES.pdf). The class diagrams and the schemas are also available in [html](https://svn.gefeg.com/svn/eCites-Publication/ePermit3/a11.htm).The description of CITES Permits and Certificates and the Standard CITES Form are available in [Resolution Conf 12.3 (Rev CoP19) on *Permits and Certificates*](https://cites.org/sites/default/files/documents/E-Res-12-03-R19.pdf). |
| **Differences** | UN/CEFACT BSP Data Model defines its semantics from the perspective of the global supply chain which supports the B2B data as well as the B2G data across trade, transport and cross-border management. WCO defines all the semantics in its data model from the perspective of the cross-border agency regulatory processes thereby supporting G2G and G2B data exchange requirements. |
| **Platforms** | There are no global platforms for exchanging eCITES permits and certificates. [Species+ API, developed by UNEP-WCMC,](https://speciesplus.net/species) provides the up-to-date lists of species in the CITES Appendices including details of quota, suspension etc. This API can be integrated with ePermitting systems. |
| **Data** | Mandatory information (data elements) that should be included in CITES permits and certificates are available in Annex 1 of the [Resolution Conf 12.3 (Rev CoP19) on *Permits and Certificates*](https://cites.org/sites/default/files/documents/E-Res-12-03-R19.pdf). Under normal procedures, all data elements are required. However, under Exemption and other special provisions ([Article VII](https://cites.org/eng/disc/text.php#VII) of the Convention), or in case of stricter domestic measures by countries additional information or conditions may apply. |
| **Adoption** | The adoption of digitalisation for the CITES permit/certificate could increase by:1. improving the capacity and resources of the CITES Management Authorities to implement and manage the ePermit systems;
2. enabling the interoperability of ePermit systems with other national systems like National Single Windows;
3. increasing the collaboration among Management Authorities and Customs or border control authorities.
 |

# Certificate of Inspection for Organic Products (CIO)

|  |  |
| --- | --- |
| **Document name** | Certificate of Inspection for Organic Products (CIO) |
| **Purpose**  | The Certificate of Inspection for Organic Products (CIO) ensures the organic products imported into the country conforms to internationally recognized standards for organic product life cycle i.e. growing, production, processing, animal raising practices, pest & weed control, and compliant with applicable laws/organic standards of the countries. |
| **Sender/Receiver** | The certificate is generated by Third Party Certification agencies accredited under the organic standards of Participatory Guarantee Systems (PGS). TheInternational Federation of Organic Agriculture Movements ([IFOAM](https://www.ifoam.bio/) - Organics International) supports Participatory Guarantee Systems (PGS) that certify producers based on active participation of stakeholders. They are built on a foundation of trust, social networks and knowledge exchange.The certificate is a mandatory document for Exporting & Importing country certifying that products grown & produced are organic as per the organic standards of the country. |
| **Legal requirement** | CIO is a mandatory custom document and the products are allowed to be exported or imported only when certificate issued by the certification agency confirms compliance under the country organic standards. |
| **Usage** | The documents are issued in paper & digital forms. Currently, various countries are using the certificate issued through digital channel i.e. Trade Control and Expert System (TRACES) – EU and Tracenet – India etc. it will be difficult to estimate the number of documents issued in paper/digital form in a year. |
| **Standards** | The technical standards are linked to the specific standard of the country of import. For example:* + US National Organic Program (NOP), from USDA Organic Regulations 7 CFR Part 205
	+ European Regulation (EU), from EC 834/2007 & 889/2008
	+ Japan Agricultural Standards (JAS)
	+ India National Standards for Organic Products (India NSOP)
	+ Canadian Organic Standards
	+ China - National Organic Standard GB/T19630-2019
* IFOAM : International Federation of Organic Agriculture Movements
 |
| **Differences** | There are no major differences between certificates of Inspection for Organic Products required by various countries except specific national standards along basic details common to all CIO. |
| **Platforms** | Trade Control and Expert System (TRACES) – EU: The integrated statistical tool allows the extraction of valuable data in relation to imports into the EU, exports from the EU and intra-Union trade.Tracenet is a platform offered by APEDA (India) for facilitating process certification of export of organic products from India which comply with the National Programme for Organic Production (NPOP). |
| **Data** | * Organic Standard
* Issuing certification body
* Importer
* Exporter
* Product Exported From
* Import Certificate Number
* Country of Origin
* Country of Export
* Country of Destination
* Harmonized Tariff Code
* Marks and numbers. Container No(s). Number and kind, Trade name of the product :Invoice, BL No, Container No, Ship & Vessel Name
* Product Name
* Total Net Weight
 |
| **Adoption** | The major hurdles encountered are the legal, technical and regulatory environment of the country. To enable adoption, there should be harmonisation of standards among various countries. IFOAM has been upfront in promoting harmonization and equivalence in organic agriculture since 2002.  |

# Dangerous Goods Declaration (DGD)

|  |  |
| --- | --- |
| **Document name** | Dangerous Goods Declaration |
| **Purpose**  | A dangerous goods declaration is used when shipping hazardous materials. By signing the declaration, the shipper confirms that the goods have been packaged, labelled, and declared according to the regulations. The declaration informs the carrier about the exact nature of the dangerous goods being shipped. Chapter 5.4 of the [UN Recommendations on the Transport of Dangerous Goods](https://unece.org/transport/dangerous-goods/un-model-regulations-rev-23) specifies the provisions for the mandatory documentation to be used during the transport of dangerous goods by all modes (air, maritime, road, rail and inland navigation). They allow the use of electronic data processing and electronic data interchange transmission as an alternative to paper documentation.As a matter of aviation safety, the International Civil Aviation Organization (ICAO) has developed a specific requirement for a transport document for dangerous goods transported by air. |
| **Sender/Receiver** | Sender: Supplier, Shipper, Logistic service provider, ConsignorReceiver: Buyer, Regulator, Bank, Government agency, Operator, Carrier, Customs Authority, Consignee |
| **Legal requirement** | For carriage of dangerous goods by road and inland navigation, the recommendations of the UN Model Regulations are implemented through the [Agreement concerning the International Carriage of Dangerous Goods by Road (ADR)](https://unece.org/transport/standards/transport/dangerous-goods/adr-2023-agreement-concerning-international-carriage) and the European [Agreement concerning the International Carriage of Dangerous Goods by Inland Waterways (ADN](https://unece.org/transport/dangerous-goods/adn-2023)) , as well as those for rail through the Regulation concerning the [International Carriage of Dangerous Goods by Rail (RID)](https://otif.org/fileadmin/new/3-Reference-Text/3B-RID/RID_2023_e_30_June_2023.pdf) . Detailed provisions including a multimodal dangerous goods form are provided in Chapter 5.4 of these legal instruments.The air declaration is part of ICAO guidance on how States may comply with the Standards and Recommended Practices of Annex 18 – The Safe Transport of Dangerous Goods by Air to the Convention on International Civil Aviation ([ICAO Doc 7300](https://www.icao.int/publications/Pages/doc7300.aspx)). This guidance is fully detailed in the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air ([Doc 9284](https://www.icao.int/publications/pages/publication.aspx?docnum=9284)). The declaration may be in hard copy or electronic.As a matter of public law, States may apply this ICAO guidance through their national regulations, giving them legal force.Regarding private law, consignors may be required to prepare a form certifying that the cargo has been packed, labelled and declared according with the International Air Transport Association (IATA) Dangerous Goods Regulations (DGR). |
| **Usage** |  |
| **Standards** | According to the [guidelines](https://unece.org/DAM/trans/danger/publi/adr/guidelines/ADR_Guidelines_Telematics_e.pdf) on the use of RID/ADR/ADN 5.4.0.2 the electronic data exchange is allowed to satisfy the documentation requirements of Chapter 5.4, provided the procedure for capturing, storing and processing the data meet the legal requirements as regards evidential value and availability during transport in a manner at least equivalent to that of paper documentation. However, RID/ADR/ADN does not further define this equivalence. The IATA e-DGD initiative began at the end of 2016. |
| **Differences** | The UN Recommendations on the Transport of Dangerous Goods: Model Regulations lay down the provisions for required documentation in transport of goods by all modes and are aligned with the Convention on International Civil Aviation, specifically Annex 18 and the ICAO Technical Instructions For The Safe Transport of Dangerous Goods by Air (Doc 9284). However, IATA does not authorize the use of the multimodal forms—as permitted by the Model Regulations for transport—in the IATA Dangerous Goods Regulations, which are industry standards beyond the ICAO requirements.Such exclusion of a multimodal solution in the contemporary operating environment yields duplication in documentation requirements that can impede multimodal transport of goods at a time when they are a growing trend. Eliminating this exclusion for air could simplify processes, considering the trend and enable more seamless sharing of safety-critical cargo information across the entire supply chain. |
| **Platforms** | Cargo Community Systems (CCS) are the emerging platform for sharing DGDs and data from other relevant documents. |
| **Data** | * Address and contact details of shipper and receiver
* Emergency contact details
* Proper shipping name of the dangerous goods (e.g. Acetone)
* Quantity
* UN number (e.g. UN 1090) - The four-digit number that identifies the type of dangerous goods being shipped; it is found on the Safety Data Sheet (SDS) under section 14.
* Class or division (subsidiary hazard)
* Net weight of dangerous goods and total shipment weight (if required)
* DG packing group I, II or III (if required)
* Whether the dangerous goods are radioactive or not
* Additional handling information (if required)
 |
| **Adoption** | Increased digitalization of regulators and authorities who require the document, as well as concomitant standards are necessary for increased digital adoption. An example is the European Commission, which is working now on the implementation of the Electronic Freight Transport Information Regulation (eFTI) and will use the MMT RDM—itself incorporating the DGD—as the common interface for multimodal data exchange. Emerging standards that could further increase digital adoption include verifiable credentials and other decentralized architectures. |

# Consignment Security Declaration (CSD)

|  |  |
| --- | --- |
| **Document name** | Consignment Security Declaration (CSD) |
| **Purpose**  | The Consignment Security Declaration (CSD) is one of the regulatory tools used in the protection of air cargo and mail throughout its movement in the supply chain. It certifies that the cargo has been cleared in accordance with regulated agent’s, known consignor’s, or aircraft operator’s security programmes. It is developed by the United Nations specialized agency for civil aviation—the International Civil Aviation Organization (ICAO).  |
| **Sender/Receiver** | The declaration is completed by the entity that makes the cargo secure: the known consignor, regulated agent, aircraft operator that originally issued the security status.It is accessible to all parties in the supply chain. |
| **Legal requirement** | This declaration is part of ICAO guidance on how States may comply with the Standards and Recommended Practices of Annex 17 – Aviation Security to the Convention on International Civil Aviation ([ICAO Doc 7300](https://www.icao.int/publications/Pages/doc7300.aspx)), signed at Chicago on 7 December 1944. This guidance is fully detailed in the ICAO Aviation Security Manual ([ICAO Doc 8973 — Restricted](https://www.icao.int/Security/SFP/Pages/SecurityManual.aspx)), 13.5.7.27 to 13.5.7.33. This same document provides the template in Appendix 33. The declaration may be in hard copy or electronic.States may apply this ICAO guidance through their national regulations, giving them legal force. |
| **Usage** |  |
| **Standards** | Existing digital standards include: IATA Cargo Interchange Message Procedures (IMP), IATA Cargo Extensible Markup Language (XML), IATA ONE Record as well as the Universal Postal Union (UPU) for airmail.IATA, working closely with other stakeholders, developed an electronic version of the CSD, the eCSD, similarly intended to provide a common international standard for cargo shipments. IATA adopted the eCSD in Resolution 651 as a universal standard, that provides consignment information in accordance with the guidance provided in ICAO Aviation Security Manual (ICAO Doc 8973 — Restricted) and the regulatory requirements of the European Commission Implementing Regulation (EU) 2015/1998.ICAO and UNECE have collaborated through the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) to include the CSD in the Multimodal Transport Reference Data Model (MMT RDM). These standards enable interoperability between existing digital standards for the CSD through re-use of the data elements and are available as free-of-charge, public goods at: <https://unece.org/trade/uncefact/mainstandards> |
| **Differences** | The ICAO Aviation Security Manual provides the template for the CSD. |
| **Platforms** | Cargo Community Systems (CCS) are the emerging platform for sharing CSDs and data from other relevant documents. |
| **Data** | 1. Regulated Entity Category (RA, KC or AO) and Identifier
2. Unique Consignment Identifier: The identification of the consignment itself must be entered. This may be an air waybill, a house bill or a mail consignment identifier.
3. Contents of consignment
4. Origin
5. Destination
6. Transfer/Transit Points
7. Security Status
8. Received From: The coded identification of the category (i.e. regulated agent RA, known consignor KC or aircraft operator AO) that tendered the consignment must be entered.
9. Screening Method
10. Grounds for Exemption
11. Other Screening Method(s)
12. Security Status issued by
13. Security Status issued on
14. Regulated Entity Category (RA, KC or AO) and Identifier
15. Additional Security Information
 |
| **Adoption** | Increased digitalisation of regulators and authorities who require the document, as well as concomitant standards are necessary for increased digital adoption. An example is the European Commission, which is working now on the implementation of the Electronic Freight Transport Information Regulation (eFTI) and will use the MMT RDM—itself incorporating the CSD—as the common interface for multimodal data exchange. Emerging standards that could further increase digital adoption include verifiable credentials and other decentralized architectures. |

# ATA Carnet (ATA)

|  |  |
| --- | --- |
| **Document name** | ATA Carnet |
| **Purpose**  | The ATA Carnet is an international customs document that permits duty-free and tax-free temporary import of goods for up to one year. Using an ATA Carnet, the goods - mainly professional equipment, exhibition and fair goods, and commercial samples – can be declared in multiple countries/customs territories using one unified document. Import duties and taxes temporarily exempted are secured by an ATA Carnet International Guaranteeing Chain (ATA Chain) administered by the International Chamber of Commerce’s World Chambers Federation (ICC WCF). The term "ATA" is a combination of the initial letters of the French words "Admission Temporaire" and the English words "Temporary Admission". |
| **Sender/Receiver** | ATA Carnets are issued worldwide by guaranteeing and issuing associations approved by national customs authorities and affiliated with the ICC WCF ATA Chain.The target users of the ATA Carnet are companies or individuals sending or carrying goods for overseas missions. It can also be used by their representatives. |
| **Legal requirement** | The ATA Carnet procedure including the template of the document is governed by international conventions, namely the [Customs Convention on ATA Carnets for the temporary admission of goods](http://www.wcoomd.org/-/media/wco/public/global/pdf/about-us/legal-instruments/conventions-and-agreements/ata/pf_ata_conv_text.pdf?la=en) (ATA Convention) and / or the [Convention on Temporary Admission](http://www.wcoomd.org/-/media/wco/public/global/pdf/about-us/legal-instruments/conventions-and-agreements/istanbul/istanbul_legal_text_eng.pdf?la=en) (Istanbul Convention). National laws also apply where the Conventions remain silence . The document is a facility (thus not mandatory). |
| **Usage** | ATA Carnets are accepted in approximately 80 countries/customs territories. More than 200,000 documents are issued per year, equivalent to at least 800,000 transactions per year. |
| **Standards** | The ICC WCF, through its World ATA Carnet Council (WATAC), has been responsible for the administration of the ATA Chain since 1963 and leading the digitalisation of ATA Carnets (eATA) in cooperation with the World Customs Organization (WCO). A digital ATA Carnet System has been made available by the ICC.Following the end of eATA pilot phase on 30 June 2023, [the eATA project](https://iccwbo.org/business-solutions/ata-carnet/eata-carnet/) entered its global transition preparation phase. The global transition kick-off is scheduled to start in early 2025 and the ATA Carnet procedure is expected to go fully digital by 2027. |
| **Differences** | N/A |
| **Platforms** | The ICC’s ATA Carnet System, a comprehensive real-time lifecycle management system, features a centralized database that connects with other components, creating a network that efficiently handles carnet data for various users. This system is divided into two system interfaces and three user interfaces, catering to the specific needs of different ATA Carnet stakeholders such as ICC ATA Carnet APP (ACA, for carnet holders) ,and ICC ATA Carnet Customs (ACC, for customs officials).The system's functionality is straightforward yet robust: holders order carnets online through National Issuing and Claims Systems (NICS) integrated with ICC’s ATA Carnet System, download them onto a smartphone app (ACA), and use QR codes for transactions at border crossings. Customs officials can scan these QR codes to access detailed carnet information, confirm transactions, and manage potential claims using ACC. This process ensures secure and efficient handling of carnets, enhancing the ease of international business transactions. |
| **Data** | * Carnet Holder Information: Name and address.
* Representative
* Intended use
* Countries/customs territories to use
* Carnet number
* Issuing association and guaranteeing association
* Issuing Date and Place
* Expiration Date: The validity of the carnet.
* Goods Description: Detailed description of the goods being transported, including their quantity, value, weight/volume, country of origin, and any relevant serial numbers or identifiers.
* Additional Declarations and Signatures
* Declaration date and place
* Final date of re-exportation (given by Customs at the time of declaration)
* Final date of re-importation (given by Customs at the time of declaration)
* Customs remarks
 |
| **Adoption** | To increase the digital adoption of the ATA Carnet document, it is essential to have proper support from the World Customs Organization (WCO), DG TAXUD (the Taxation and Customs Union Directorate-General of the European Commission), and other national customs authorities, i.e. contracting parties to the ATA/Istanbul Conventions.  |

# Tir Carnet (TIR)

|  |  |
| --- | --- |
| **Document name** | TIR Carnet |
| **Purpose**  | A TIR Carnet is an internationally recognized customs document used to facilitate the movement of goods across borders by road freight transport. It acts as both a transit declaration and a security guarantee, simplifying and standardising customs procedures and ensuring the payment of all duties and taxes. |
| **Sender/Receiver** | The TIR Carnet document is issued by national associations affiliated with the International Road Transport Union (IRU), the guaranteeing organization for the TIR system.The primary users of the TIR Carnet system are the transport companies involved in the international movement of goods by road and Customs authorities of Contracting Parties to the TIR Convention, 1975. |
| **Legal requirement** | The legal instrument the [Customs Convention on the International Transport of Goods under Cover of TIR Carnets (TIR Convention), 1975](https://treaties.un.org/PAGES/ViewDetails.aspx?src=TREATY&mtdsg_no=XI-A-16&chapter=11&clang=_en), an international treaty administered by the United Nations Economic Commission for Europe (UNECE). |
| **Usage** | TIR Carnets are accepted in 78 countries/customs territories. As of 2019, the IRU reported that over 3 million TIR Carnets were issued annually worldwide. |
| **Standards** | In 2003, the Contracting Parties to the TIR Convention launched the “[eTIR project](https://unece.org/about-etir)” to fully computerize the TIR procedure.The aim of the eTIR Project, and in particular the eTIR International System, was to ensure the secure exchange of data between national customs systems for the international transit of goods, vehicles or containers according to the provisions of the TIR Convention and to allow customs to manage the data on guarantees, issued by the guarantee chain to authorized users of the TIR system. The standard is based on the [World Customs Organization (WCO) SAFE Framework of Standards](https://www.wcoomd.org/-/media/wco/public/global/pdf/topics/facilitation/instruments-and-tools/tools/safe-package/safe-framework-of-standards.pdf?la=en) and the WCO Data Model. |
| **Differences** | N/A |
| **Platforms** | For the TIR Carnet there is no IT platform. However, the fully digitised TIR Mechanism it is managed by the eTIR International System. Once fully implemented the TIR Carnet document will be replaced by the Accompanying document under the eTIR procedure. |
| **Data** | * Issuing organisation
* Validity date
* Holder of the TIR Carnet
* Containers identification
* TIR Carnet reference number
* Customs office of departure
* Country of departure
* Country of destination
* Registration number of road vehicles
* Identification marks or numbers of packages or articles
* Number of packages
* Description of goods
* Gross weight
* Seals or identification marks
* Customs office departure date
* Route
* Customs office of departure or of entry en route
 |
| **Adoption** | The eTIR project is in the early stage of adoption. Some countries have launched pilots projects that proved successful. Information about the eTIR project is available here: [https://etir.org/#](https://etir.org/).  |
| **Other** | It is the aim of the UNECE and the TIR secretariat to continue to provide a well-functioning international mechanism to further improve cooperation and coordination among Contracting Parties to the TIR Convention and the transport industry. The legal framework is continuously discussed at its respective Governing bodies where Contracting Parties to the TIR Convention raise aspects to ensure the TIR transit system operates in a streamlined manner and to ensure the TIR transit system is always in line with the requirements of the transport industry and the Customs authorities alike. The United Nations, is the depositary of the TIR Convention and provides the framework and services to administer and, where necessary, adapt the TIR Convention to changing requirements. |

# Transit Accompanying Document (TAD)

|  |  |
| --- | --- |
| **Document name** | Transit Accompanying Document (TAD) |
| **Purpose**  | A Transit Accompanying Document (TAD) is used in international trade for goods moving through one or more countries without being cleared for import or export in those transit countries.  |
| **Sender/Receiver** | In most cases, the customs office at the starting point of the goods' transit journey, issues the TAD. Alternatively, a consignor can be authorized to issue TADs themselves under specific conditions. |
| **Legal requirement** | The TAD is based on the Common Transit Convention (CTC), an international treaty that governs the movement of goods under customs control. The CTC and any amendments are legally binding for member countries.The NCTS (New Computerised Transit System) IT system is mainly used for handling the common transit procedure (CTP) and the national transit procedure (NTP). The primary legal basis for the NCTS in the European Union is Regulation (EC) No 2454/93, which lays out the rules and procedures for using the system. |
| **Usage** | As of 2023, the European Commission reported over 100 million NCTS declarations annually. |
| **Standards** | The standards specifying the Transit Accompanying Document (TAD) are primarily set by two international organizations:* World Customs Organization. The WCO Transit Guidelines outline best practices and recommended data elements for the document
* European Union (EU): For member states, EU regulations establish specific requirements for the TAD. [EU Regulation (EC) No 414/2009](https://eur-lex.europa.eu/legal-content/en/ALL/?uri=CELEX%3A32009R0414) specifies the format and content of the TAD used within the EU's common transit procedure.
 |
| **Differences** | N/A |
| **Platforms** | [NCTS - New Computerised Transit System](https://taxation-customs.ec.europa.eu/customs-4/customs-procedures-import-and-export-0/what-customs-transit/union-and-common-transit_en) - is used for all transit goods passing through transit on the way to the importing country /final destination in EU. |
| **Data** | * TAD unique reference number
* Customs office of departure
* Customs office of destination
* Description of goods: type, quantity, and weight.
* Commercial value of goods
* Harmonized System (HS) code
* Planned route
* Means of transport
* Seals and security measures
* Type of guarantee
* Guarantee amount
* Guarantee holder
* Consignor and consignee details
* Authorized person
 |
| **Adoption** | In the EU, the NCTS system is mandatory for intra-EU transit movements.Outside the EU, there is a mix of eTAD and paper TAD usage depending on specific countries and regional agreements. |
| **Other** | Transports Internationaux Routiers (TIR) is based on an international agreement, not EU regulations, and is not part of Union or Common Transit. |

# Advance Ruling Application (ARA)

|  |  |
| --- | --- |
| **Document name** | Advance Ruling Application |
| **Purpose**  | This document is used to apply for a written decision issued by a competent authority which provides the applicant with an assessment of:* the classification of goods in the Customs tariff nomenclature of the respective country or Customs territory;
* origin of the goods, or
* the treatment which should be applied on a certain element for the determination of the Customs value,

prior to an import or export transaction, for a specified period. |
| **Sender/Receiver** | The applicant of Advance Ruling is an importer, exporter, producer or any person with a justifiable cause or a representative thereof.The competent authority is the Customs administration or designated body responsible for the issuance of advance rulings. |
| **Legal requirement** | [Article 3.1 of the WTO Trade Facilitation Agreement](https://www.wto.org/english/docs_e/legal_e/tfa-nov14_e.htm#:~:text=3.1%20Each%20Member%20shall%2C%20within,in%20subparagraph%201.1(a).) outlines that each Member shall issue an advance ruling in a reasonable, time bound manner to an applicant that has submitted a written request containing all necessary information.Standard [9.9 of the General Annex to the Revised Kyoto Convention](https://docs.wto.org/dol2fe/Pages/SS/directdoc.aspx?filename=Q:/G/C/W392.pdf&Open=True) outlines that the Customs shall issue binding rulings at the request of the interested person, provided that the Customs have all the information they deem necessary.The [WCO Recommendation on Introduction of the programmes for binding pre-entry classification information (1996).](https://www.wcoomd.org/-/media/wco/public/global/pdf/about-us/legal-instruments/recommendations/hs/hs_reco_june1996_en.pdf?la=en) |
| **Standards** | The WCO developed Technical Guidelines outline all necessary information reasonably required to process a request for assessment of the classification, origin of the good or valuation.There isn't a single, universal electronic standard for advanced ruling applications. However, many countries have implemented electronic filing systems for various tax and customs rulings. In addition, some regional trade agreements have specific procedures for requesting advance rulings, some with electronic components.  |
| **Data** | * the name and address of the applicant
* a detailed description of the goods
* the classification of goods envisaged
* the legal basis for the classification of the goods
* whether the advance ruling required is for preferential or non-preferential purposes
* the composition of the goods
* documents available on the composition of the goods and their component materials
* the conditions enabling origin to be determined
* description of the nature of the transaction(s), (contract, terms of sale, etc.)
 |
| **Adoption** | Several WCO Members have implemented digital solutions (e.g., online application system). |

# Excise Guarantee (EG)

|  |  |
| --- | --- |
| **Document name** | Excise Guarantee |
| **Purpose**  | Excise guarantees are financial instruments that ensure the payment of excise duties on specific goods, such as alcohol, tobacco, and certain energy products. In international trade, an Excise Guarantee helps protect the financial interests of the importing country by ensuring that it can collect the due excise duties in case the importer fails to comply with tax obligations. This guarantee is particularly relevant in scenarios where goods are moved under suspension of excise duty, meaning the duty is deferred until the product reaches its final destination or is consumed. |
| **Sender/Receiver** | An Excise Guarantee is typically created by the importer or exporter (the party responsible for paying the excise duties) and is directed towards the government agency or customs authority responsible for regulating and collecting excise duties in the country where the goods are being imported or exported. The Excise Guarantee acts as a form of financial assurance that the government will receive the due taxes and duties for the traded goods.Banks or financial institutions may also be involved in providing or underwriting the Excise Guarantee, especially when the value of the goods and the corresponding duties are significant. This arrangement helps to mitigate the financial risk for both the trading parties and the government authority involved in the transaction. |
| **Legal requirement** | The requirement for an excise guarantee is typically mandatory under the laws of most countries, particularly for the import or export of goods subject to excise taxes. The conditions under which an excise guarantee is required vary depending on the jurisdiction and the specific type of product being traded. Example: excise goods that are moving within the UK, or between the EU and Northern Ireland, in excise duty suspension must be covered by financial security in the form of a movement guarantee. It is the consignor’s responsibility to make sure that a valid movement guarantee is in place, with detail of the guarantee recorded on the appropriate movement documentation prior to the goods being dispatched in duty suspension. |
| **Standards** | The standards for excise guarantees are typically established by national government authorities and agencies responsible for customs and excise regulations within each country. |
| **Data** | This document typically includes key data elements such as:* Guarantor Information: Name and contact details of the entity providing the guarantee.
* Importer/Exporter Information: Name and details of the company or individual responsible for the import/export of goods.
* Description of Goods: Detailed information about the goods being imported or exported, including type, quantity, and value.
* Excise Duty Amount: The specific amount of excise duty that the guarantee covers.
* Validity Period: The time frame during which the guarantee is valid.
* Terms and Conditions: Specific conditions under which the guarantee is applicable.
* Signatures and Endorsements: Signatures of authorized persons and any necessary official endorsements.
 |
| **Adoption** | 1. **Standardization and Harmonization**: Develop and promote a common digital standard or template for Excise Guarantees that are harmonized across different countries and regions.
2. **Regulatory Support and Legislation**: Engage with government and regulatory bodies to ensure that digital Excise Guarantees are legally recognized and enforceable.
3. **Integration with Existing Systems**: Ensure that the process of issuing and managing Excise Guarantees is integrated with existing digital trade and customs platforms. This includes compatibility with National Single Window systems and other digital customs management tools.
4. **Enhanced Security Measures**: Implement robust security protocols to ensure the authenticity and integrity of digital Excise Guarantees.
5. **Awareness and Training**: Conduct awareness campaigns and training programs for stakeholders, including businesses, customs officials, and financial institutions, to encourage the adoption of digital processes and educate them about the benefits and functionalities of digital Excise Guarantees.
 |

# Administrative Documents used in the Excise Movement Control System (EMCS)

|  |  |
| --- | --- |
| **Document name** | Administrative Documents used in the Excise Movement Control System (EMCS in the EU, or equivalent) |
| **Purpose**  | The Excise Movement and Control System (EMCS) in the EU, including the UK, primarily revolves around the monitoring and control of movements of excise goods under duty suspension within the EU. The ECMS utilizes digital administrative documents such as the Electronic Accompanying Document (eAD) and the Simplified Accompanying Document (SAD). These documents are integral to the movement and control of excisable goods, with the eAD being used for goods under excise duty suspension and the SAD for duty-paid products. |
| **Sender/Receiver** | These documents are typically created by:* Suppliers or Manufacturers: For movements of excise goods under duty suspension, the supplier or manufacturer of the goods is often responsible for creating and submitting the required excise documents such as the Electronic Accompanying Document (eAD) in the EU's Excise Movement and Control System (EMCS).
* Warehouse Keepers: In cases where goods are moved from an excise warehouse, the warehouse keeper may be responsible for creating the necessary documentation, such as the Simplified Accompanying Document (SAD) for duty-paid products.

The targets or recipients of these documents usually include:* Regulatory or Government Agencies: Specifically, customs and excise authorities who oversee the movement of excise goods and ensure compliance with regulations.
* Carriers and Logistic Service Providers: They may receive these documents as part of the logistics and transportation process, ensuring they are transporting goods in compliance with excise regulations.

Other parties like buyers, banks, or other financial institutions might also be involved in the process, particularly in scenarios where the movement of goods is linked to financial transactions or trade financing. |
| **Legal requirement** | The Administrative Documents used in the [Excise Movement Control System (EMCS)](https://taxation-customs.ec.europa.eu/taxation-1/excise-duties/excise-movement-control-system_en) are subject to public laws and are legally required in the European Union to ensure that the movement of excise goods is monitored and controlled, helping to prevent fraud and ensuring that all necessary duties are paid.The two main types of documents in this system are:1. Electronic Accompanying Document (eAD): This document is used for the movement of excise goods under duty suspension. It contains essential information about the movement, including details of the sender, receiver, and goods being transported. The eAD is a legal requirement and ensures that excise goods are properly monitored from the point of dispatch to the point of receipt within the EU.
2. Simplified Accompanying Document (SAD): This document is used for the movement of duty-paid excise goods. Like the eAD, it contains information about the sender, receiver, and the goods but is used when the goods have already had duty paid on them.
 |
| **Usage** | More than 190 000 economic operators currently use the ECMS system |
| **Standards** | The Excise Movement Control System (EMCS) is a computerized system that tracks and monitors the movement of excise goods within the EU to ensure proper excise duty compliance. The system involves the exchange of various administrative documents to facilitate the movement of excise goods and ensure accurate record-keeping.  |
| **Platforms** | The EMCS system is specific to the EU and is used for the movement of excise goods like alcohol, tobacco, and energy products. It streamlines and secures the process of excise goods movement across the EU member states, ensuring that all necessary duties and taxes are accounted for and paid where applicable.Key functionalities of the EMCS system include:1. Electronic processing and monitoring of excise goods movements.
2. Providing an online system for traders to submit and receive notifications related to the movement of excise goods.
3. Ensuring that excise goods are accompanied by an electronic Administrative Document (eAD) during their movement under duty suspension.
4. Enabling real-time tracking of excise goods and immediate notification of any irregularities or changes in their movement.
5. Allowing customs and excise authorities to electronically verify and control the movement of excise goods.
 |
| **Data** | See example from below UK guide which has data element details for the eAD: <https://www.gov.uk/government/publications/excise-movement-control-system-how-to-complete-an-electronic-administrative-document/excise-movement-control-system-how-to-complete-an-electronic-administrative-document> |
| **Adoption** | * Providing APIs or other means of integration between the ECMS system and business software used by the relevant industries.
* Adapt and pilot the EMCS model in different global regions, tailoring it to meet specific local legal and regulatory requirements. This approach involves modifying the system to align with each region's unique excise goods control framework while maintaining its core functionalities. Implementing pilot programs in interested countries will demonstrate the system's effectiveness in diverse settings, providing valuable insights for its broader deployment and ensuring its flexibility and relevance across various jurisdictions.
 |

# Export/import licence for agricultural products (EIL)

|  |  |
| --- | --- |
| **Document name** | Export/import licence for agricultural products  |
| **Purpose**  | An export/import license for agricultural products is a permit issued by a government agency that allows the holder to bring or to send a specific quantity of agricultural products into or out of a country.1. **Regulatory Compliance**: It ensures that agricultural products comply with both the exporting and importing countries' regulations on quality standards, health and safety requirements, and other country-specific criteria.
2. **Market Access:** The license is often a prerequisite for market access.
3. **Trade Control and Monitoring:** Governments use export/import licenses to control and monitor the flow of agricultural goods across borders. This helps in maintaining food security, managing supply chains, and preventing illegal trade practices.
4. **Trade Policy Implementation:** These licenses are tools for implementing trade policies, including tariff rate quotas and preferential agreements.
 |
| **Sender/Receiver** | Issuers are Government Regulatory Bodies responsible for agricultural, trade, and customs regulations. Receivers include:* Exporters/Importers or individuals engaged in the trade of agricultural products.
* Banks/Financial Institutions involved in facilitating international agricultural trade transactions require an export/import license as part of their due diligence.
* Customs Authorities in the importing country will review the license to ensure that the agricultural products meet the necessary legal and regulatory requirements before allowing them into the country.
* Other Regulatory Agencies: For example, health or environmental agencies might need to be informed, especially if the products are subject to specific health or environmental regulations.
 |
| **Legal requirement** | The export/import license for agricultural products is typically subject to both public and private laws, depending on the country and the specific agricultural product in question.* Many countries require an export/import license for agricultural products under public law. This is often to regulate the trade of these products, ensure food safety, comply with health standards, and protect domestic agriculture industries.
* In some cases, private laws or industry standards might also play a role, especially when it comes to certifications related to organic farming, fair trade, or other specific agricultural practices. While these are not always legally required, they can be crucial for market access and consumer trust.
 |
| **Usage** | The degree of digitalization of licensing systems is country dependent. Some parts may already be automated, while others remain manual. The process of obtaining an export/import license for agricultural commodities typically involves the application to and approval by governmental authorities.  |
| **Standards** | No known digital standard |
| **Differences** | N/A |
| **Platforms** | N/A |
| **Data** | 1. License/permit number
2. Issuer name
3. Recipient name and (usually) address
4. Recipient ID code (license holder number or national business number)
5. Date of authorization
6. Valid from date
7. Valid to date
8. Commodity types
9. Authorising officer name (and possibly ID code)
10. Conditions (and maybe condition ID number)
11. Relevant legislation/regulation(s):
12. Issuer
13. Title
14. Issue date
15. Section
16. Commodity type, for which formal digitalization would likely require:
	1. Commodity Classification Scheme
	2. Descriptor
	3. machine-readable code value
 |
| **Adoption** | 1. **Harmonization of Legal Frameworks:** Globally, different countries have diverse legal frameworks governing export/import licenses. A key step towards digitalization would be the harmonization of these legal frameworks. This includes aligning the legal requirements for issuing, using, and verifying these licenses across different jurisdictions.
2. **Development of Universal Standards:** Establishing universal standards for the format, content, and security features of digital export/import licenses - including establishing identity verification mechanisms- is crucial. These standards should be developed in collaboration with international organizations like the World Trade Organization (WTO) and the Food and Agriculture Organization (FAO) to ensure global applicability and recognition.
3. **Integration with Existing Digital Systems:** Digital export/import licenses should be integrated with existing digital trade platforms and systems. This includes connecting them with customs management systems, electronic single windows, and other trade facilitation platforms to streamline processes and enhance efficiency.
4. **Stakeholder Engagement and Capacity Building:** Engaging all relevant stakeholders, including governments, exporters, importers, and regulatory bodies, is essential. This involves raising awareness about the benefits of digital licenses and building the capacity of these stakeholders to use and manage digital systems effectively.
 |