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ASEAN Single Window e-ATIGA Form D Process Specification and Message Implementation Guideline

Version No. 0.04

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ASEAN Single Window e-ATIGA Form D Electronic Process Specification

Version No. 0.04

ASEAN SINGLE WINDOW PILOT PROJECT

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USAID/REGIONAL DEVELOPMENT MISSION FOR ASIA

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Acronyms

AAPD	Acquisition and Assistance Policy Directive
AIDAR	USAID Acquisition Regulations
ACDD	ASEAN Customs Declaration Document
ADVANCE	ASEAN Development Vision to Advance National Cooperation for Economic Integration
AMS	ASEAN Member State(s)
ASEAN	Association of Southeast Asian Nations
ASW	ASEAN Single Window
ASWSC	ASW Steering Committee
ATIGA	ASEAN Trade in Goods Agreement
ATIGA Form D	Certificate of Origin issued under ATIGA to provide preferential duty rates for goods imported into an AMS from another AMS
CIA	Certificate Issuing Agency
CFR	Code of Federal Regulations
e-ATIGA Form D	An ATIGA Form D issued electronically by the issuing agency and sent electronically to the importing Customs through the secure government and ASW networks in accordance with the Protocol for the Legal Framework. The e-ATIGA Form D performs the same function as the ATIGA Form D.
e-ATIGA Form D Related e-Documents	Documents issued electronically related to the processing of the e-ATIGA Form D including the Customs Response, Query and Query Response, and Cancellation Request and Response
HTTPS	Hypertext Transfer Protocol Secure
IPsec	Internet Protocol Security
IP-VPN	Internet Protocol Virtual Private Network
MPLS	Multiprotocol Label Switching
NSW	National Single Window(s)
RDS	Reference Data System
REST	Representational State Transfer
RS	Regional Services
SRS	Supplementary Requirement Specification
SLA	Service Level Agreement
SOA	Service-Oriented Architecture
SOAP	Simple Object Access Protocol
SSL	Secure Sockets Layer
TWG	ASW Technical Working Group
UML	Unified Modeling Language
USAID	US Agency for International Development
WSDL	Web Services Description Language
WSS	Web Services Security
XSD	XML Schema Document

1. Introduction

This document, the *e-ATIGA Form D Process Specification and Message Implementation Guideline*, specifies the agreed flow and processes and data structures of the electronic ATIGA Form D and related documents. Together with the ATIGA Form D XML Schema Definitions (XSD), this may be used as input for the AMS to enhance their systems, as well as serving as the baseline reference for defining the End-to-End Test Plan, Parallel Test Plan, and the Acceptance Criteria for the successful completion of these tests. It is intended that this specification be formally endorsed by the ASW TWG and ASW SC. In the future, if updates are needed, it is intended that this document be updated and re-issued and the updated version endorsed, following a formal Change Management Process.

The *Process Specification* section of this document covers the electronic exchange between the Issuing Agencies on the export side and Customs on the import side, using the secure ASW and government networks under the Protocol for the Legal Framework, of the e-ATIGA Form D and the related documents such as Customs Response, Query and Query Response, Cancellation Request and Cancellation Response. For clarity, the documents related to the ATIGA Form D such as Customs Response, Query and Query Response, Cancellation Request and Cancellation Response will be collectively referred to as the ATIGA Form D Related Documents. It is assumed that:

- i. Any particular AMS may choose not to participate in the electronic ATIGA Form D (e-ATIGA Form D) processes. This therefore means that the AMS who choose to participate in the e-ATIGA Form D processes, will need to cater for both paper and electronic processes. For example, with the initial go-live of the e-ATIGA Form D, Indonesia, Malaysia, Singapore, and Thailand will exchange ATIGA Form D electronically amongst themselves; however when for example Indonesia trades with one of the other AMS such as Laos, the ATIGA Form D will be exchanged on paper.
- ii. Those AMS who choose to participate in the electronic ATIGA Form D processes, will at a minimum cater for the issuance of e-ATIGA Form D for defined categories of ATIGA Form D and may choose to, or may choose not to, issue / process the ATIGA Form D Related Documents electronically. However to simplify operations, each participating AMS should inform the other participating AMS which processes it will execute electronically, and should also inform them of any changes. For example, Indonesia may be able to handle the ATIGA Form D, the Customs Response, the Query and the Query Responses, and the Cancellation Request and Cancellation Response. However, Malaysia in its first phase, may be able to handle only the ATIGA Form D and the Customs Response. As such Indonesia and Malaysia would agree to exchange the ATIGA Form D and the Customs Response, until such time as Malaysia introduces the additional related ATIGA Form D processes.

The *Message Implementation Guideline* section of this document, and Appendix A and B, specifies the structure of the electronic ATIGA Form D (e-ATIGA Form D) and the ATIGA Form D Related Documents, together with guidelines on the meaning of the various data elements and how to populate them. Included is:

- a) Scope and Exclusions
- b) Structure of the ATIGA Form D, and each of the ATIGA Form D Related Documents. (i.e. Customs Response; Cancellation Request; Query, Query Response) covering:
 - i. Technical (XML Tag) name
 - ii. Business Description
 - iii. Structure / Hierarchy of Data (level of each element within the document)
 - iv. The number of occurrences
 - v. Length and type

- vi. Other constraints (code types used, allowed values)
- vii. Additional instructions on how the element is populated and used, so that the AMS designers and developers understand this in relation to their own systems, and for harmonization across AMS

2. References

Referenced and related documents include:

- i. XML Schema Definition (XSD) for ATIGA Form D
- ii. XML Schema Definition (XSD) for Customs Response, Query and Query Response, and Cancellation Request and Response
- iii. Section 4 of 35-ASW_Pilot_Component_2-_Interoperability_Specifications_V1_04-2015-06-13 on Technical Acknowledgements (AS-1; AS-2; AS-3)

3. Background

3.1 Context

Through the ASEAN Community Blueprint, adopted in 2007, the ASEAN leaders committed to transform ASEAN, by 2015, into a single market and production base, a highly competitive economic region and a region fully integrated into the global economy. Between April 2010 and January 2011, the technical design architecture (ASW Pilot Project Component 1) was developed, and represents the core design elements that allow Member States to exchange cargo clearance-related information through their National Single Windows. The report was then endorsed by ASEAN Member States in February 2011. The pilot testing on the ASW Pilot (Scaled-down) was done successfully by seven participating Member States of the ASW Gateway connectivity for test data exchange of ASEAN Trade in Goods Agreement (ATIGA) Form D and ASEAN Customs Declaration Document (ACDD). However, the entire end-to-end business process flow for the two documents was not tested. Enhancements and improvements both in functionality and project management were identified with proposed solutions in place.

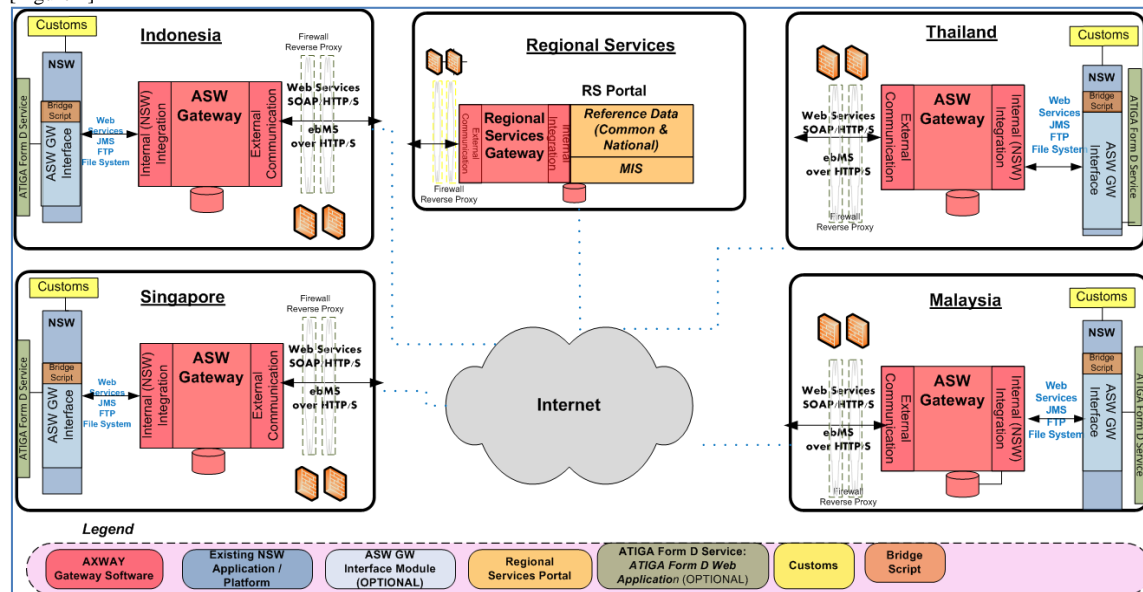
3.2 Goals of the ASW Pilot Project

Based on the deliverables of the ASW Pilot Project Component 1 and the conduct of the ASW Pilot (Scaled-Down), the ASW Pilot Project, as proposed by ACTI, will follow a staging approach. This is based on three phases where Phase 1 covers the exchange of ATIGA Form D for two month end-to-end testing of test data, Phase 2 covers two months parallel run for both test and live data, and Phase 3 covers live operation for 12 months. As additional AMS become “ready”, they may join the ASW Live program at defined points following interoperation testing. There should also be a process to on-board additional AMS as they become “ready”, and to include additional services such as ACDD, pre-arrival documents and phyto-sanitary certificates with minimal changes to the ASW implementation.

3.3 Technical Solution Outline

The technical solution to address the ASW Pilot requirements is based upon the Axway B2B Software as shown in the diagram below..

[Figure 1]



4. Purpose, Scope and Exclusions

4.1 Purpose

The primary purpose of the ATIGA Form D is to apply preferential duty rates on import declarations.

4.2 Scope

The following is the scope of the electronic ATIGA Form D processes

1. New e-ATIGA Form D from the CIA to the import Customs for the following categories:
 - a) Origin country same as issuing country and invoicing country same as exporting (consignor) country
 - b) Retroactive and drawback
 - c) Third country invoicing where the invoicing country is different from the exporting (consignor) country. The company name and country of the “invoicer” must be included for this category
 - d) Back-to-Back CO where the origin country is different from the issuing country. Original CO number and issue date must be included for this category.
 - e) Exhibition CO, where goods are related to display at an Exhibition. This exhibition name and address must be included for this category.
 - f) CO for Accumulation, Partial Cumulation, and de minimis
2. e-ATIGA Form D Related Documents supporting the cross-border exchange of e-ATIGA Form D include:
 - a) **Mandatory** Customs Response indicating the data processing Status from Customs to the CIA for:
 - i. Status = “Received” and ready for Customs processing;
 - ii. Status = “Not Processed” with reason. Customs will not process this e-ATIGA Form D.
 - b) **Optional** Customs Response indicating the Utilization Status from the import Customs to the CIA:
 - i. Status=“Preferential Treatment Given” (with a remark for “preferential treatment type” specifying “1” for ATIGA
 - ii. Status=“Mixed-Preferential Treatment Given on some items and Preferential Treatment Not Given on other items” (preferential treatment type=“3”)
 - iii. Status=“Preferential Treatment Not Given” with the Reason specified for not granting preferential treatment. (preferential treatment type=“2”)

- c) [Optional](#) Cancellation
 - Cancellation Request from CIA to Customs with explanation of cancellation
 - Customs Response to Cancellation Request from Customs to CIA
 - i. Status = "Received" indicating the e-ATIGA Form D has not been utilized and is cancelled
 - ii. Status = "Not Processed" with the reason the Cancellation Request was not processed. That is, the e-ATIGA Form D was either not validated successfully or it was already utilized so could not be cancelled
- d) [Optional](#) Query from Customs to CIA and Query Response from CIA to Customs, [and vice versa](#) noting that when the Query is initiated by Customs, the processing status of the e-ATIGA Form D, is suspended (if it has not yet already been processed) until the internal checks is complete with the response forwarded to Customs, ~~where~~ where the processing is then resumed by Customs to utilize the ATIGA Form D with Status:
 - "Preferential Treatment Given" *or*
 - "Preferential Treatment Not Given"

4.3 Assumptions about ATIGA Form D Processing Rules

The following processing rules of the ATIGA Form D are relevant to the implementation of the electronic ATIGA Form D processes and the related data structures:

- a) One ATIGA Form D can match to one and only one Import Declaration; although one import declaration may refer to multiple ATIGA Form D's
- b) Matching to the Import Declaration for the quantity and gross weight to which to apply the preferential duty rate is done where there is a match on Exporter (Consignor), Importer(Consignee), and Import HS Code (ASEAN HS Code), or other data elements and processes if necessary.
- c) e-ATIGA Form D Utilization Tracking is done at the Form/ATIGA Form D Document level, based on goods cleared at preferential or full duty rates

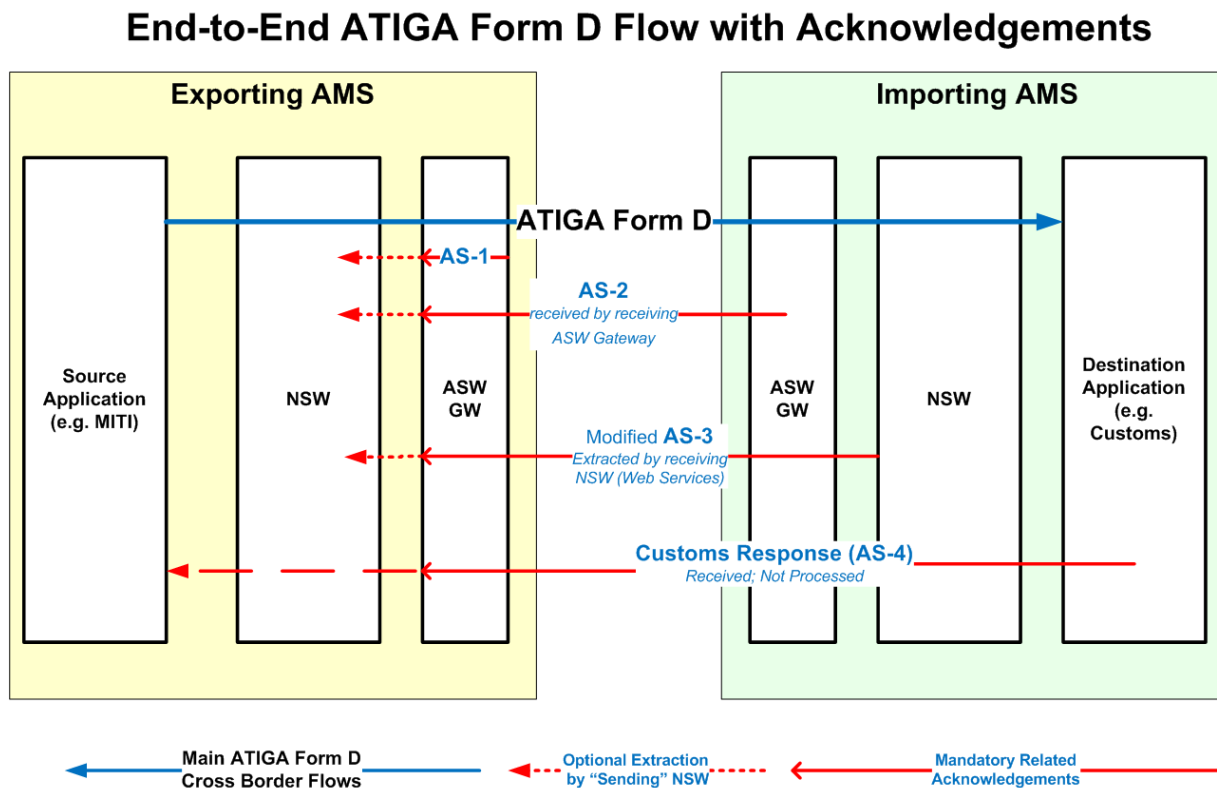
4.4 Exclusions

This specification does not cover those areas that are solely within the AMS national domain as follows:

- 1. Information exchange and related processing that is within the National Domain
 - a) Between the CIA / Export NSW and Exporter
 - b) Between the Import Customs / NSW and Importer
- 2. Process by which the
 - a. CIA/Export NSW issues and manages the e-ATIGA Form D

- b. Import Customs/NSW validates, and processes e-ATIGA Form D
- c. Import Customs/NSW matches the e-ATIGA Form D to import declaration / import permit
- d. Import Customs/NSW/CIA tracks utilization status of e-ATIGA Form D
- e. Import Customs/NSW allow for refund/ drawback of duty

This specification also does not cover the technical acknowledgements (AS-1, AS-2, AS-3) which are described in the ASW Pilot (Scaled-Down) Interoperability Specification. To facilitate understanding, the diagram below shows the technical acknowledgements between ASW Gateways / NSW.



5. Electronic ATIGA Form D Process Flow Scenarios

The sections below describe the scenarios covered for electronic processing of the e-ATIGA Form D:

- i. Normal - Preferential Treatment Given
- ii. Validation Error
- iii. Preferential Treatment Not Given
- iv. Drawback where a Retroactive ATIGA Form D is used for preferential tariff claims
- v. Query and Query Response
- vi. Cancellation Request and Response

The summary of the message flow functions is provided below.

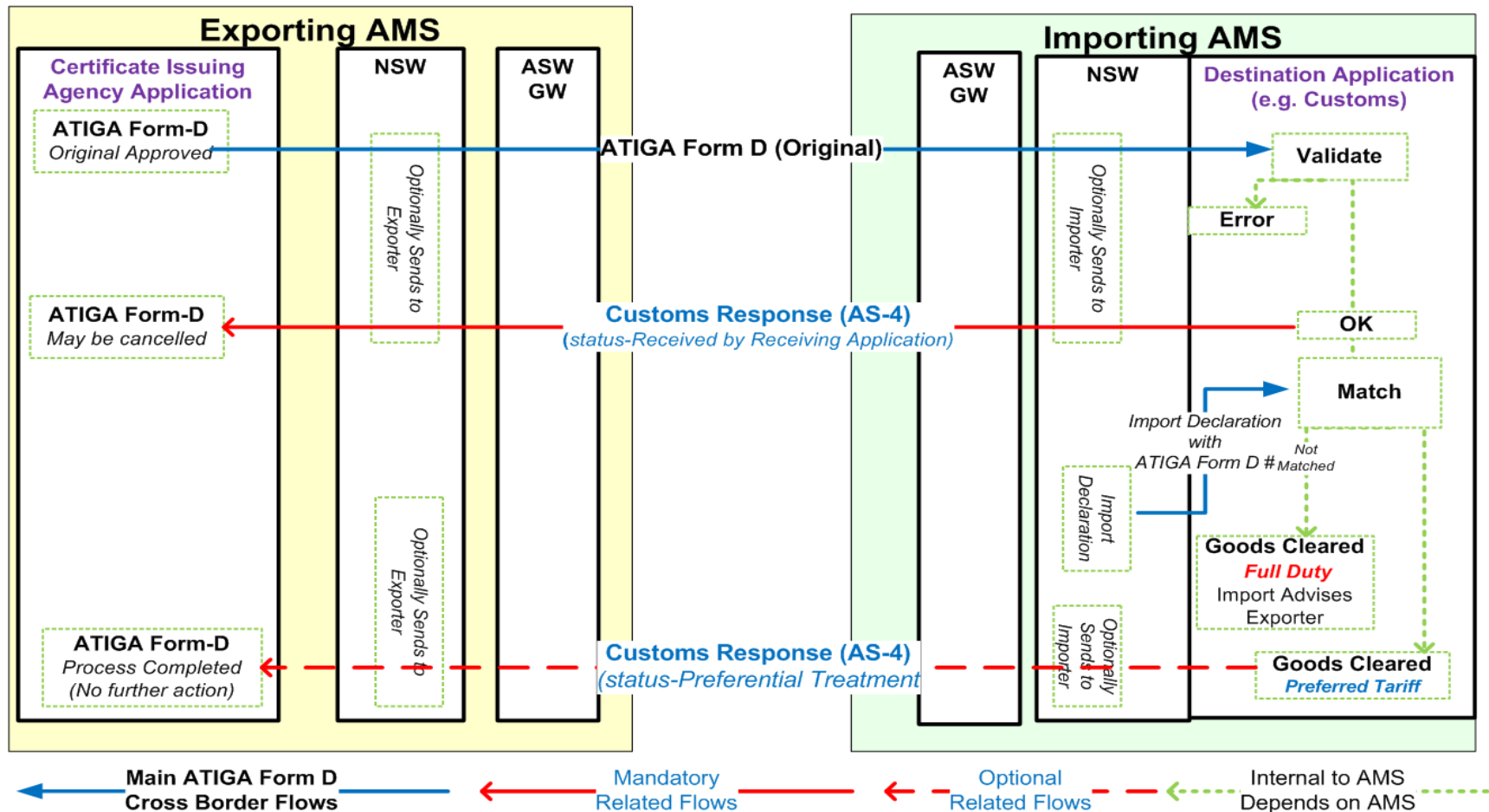
	Document Flow	Sending Party	Receiving Party	Suggestions for Handling by Receiving Party
1	New ATIGA Form D	CIA or Export NSW	Import Customs or NSW	Validate and store the ATIGA Form D ready for Customs processing. Customs can then use to match against Import Declaration
2	Customs Response – Status <i>“Received” – ATIGA Form D Received, Validated. Ready for Customs processing</i>	Import Customs or NSW	CIA	Update Status of e-ATIGA Form D to <i>“<u>Received for Customs Processing</u>”</i> .
3	Customs Response – Status <i>“<u>Not Processed</u>” - Validation error/query ATIGA Form D.</i>	Import Customs or NSW	CIA	Update Status of e-ATIGA Form D. Depending on the reason initiate new ATIGA Form D
4	Customs Response Status - <i>“<u>Preferential Treatment</u>” or “<u>Mixed Preferential Treatment Given and Not Given</u>” Preferred duty rates on Import Declaration (including “type” – 1= ATIGA Preferential Treatment Given; 3= Mixed”)</i>	Import Customs or NSW	CIA	Update Status of e-ATIGA Form D (End-of-process for this ATIGA Form D)

	Document Flow	Sending Party	Receiving Party	Suggestions for Handling by Receiving Party
5	Customs Response Status - <i>"<u>Preferential Treatment Not Given</u>"</i> - (type "2" with "reason not given" – coded + free text)	Import Customs or NSW	CIA	Update Status of e-ATIGA Form D (End-of-process for this ATIGA Form D, although draw back under another ATIGA Form D may continue)
6	Cancellation Request	CIA/Export NSW	Importing Customs/NSW	Confirm not processed already. If OK, Cancel this ATIGA Form D and send response
7	Customs Response – Status <i>"<u>Received</u>"</i>	Importing Customs/NSW	CIA/Export NSW	Update Status of e-ATIGA Form D to <i>"<u>Cancelled</u>"</i> .
8	Customs Response – Status <i>"Not Processed"</i> (ATIGA Form D is already cleared)	Importing Customs/NSW	CIA/Export NSW	No change to Status of e-ATIGA Form D
9	Customs Query	Importing Customs/NSW	CIA/Export NSW	Update Status of e-ATIGA Form D to <i>"<u>Suspended</u>"</i> . Conduct internal checks
10	Query Response	CIA/Export NSW	Importing Customs/NSW	Change status to <i>"<u>Received for Customs Processing</u>"</i> . Review and if OK, continue processing and resume to utilize e-ATIGA Form D with status "Preferential Treatment Given" or "Preferential Treatment Not Given".

The following diagrams in sections 5.1 – 5.6 show a combination of mandatory and optional flows, to cater for the readiness of the Member States. The intention is that all the flows will be mandatory once all Member States have fully implemented their systems.

End-to-End ATIGA Form D – Normal– Preferential Treatment Given

(excluding AS-1,AS-2, AS-3 Technical Acknowledgements)



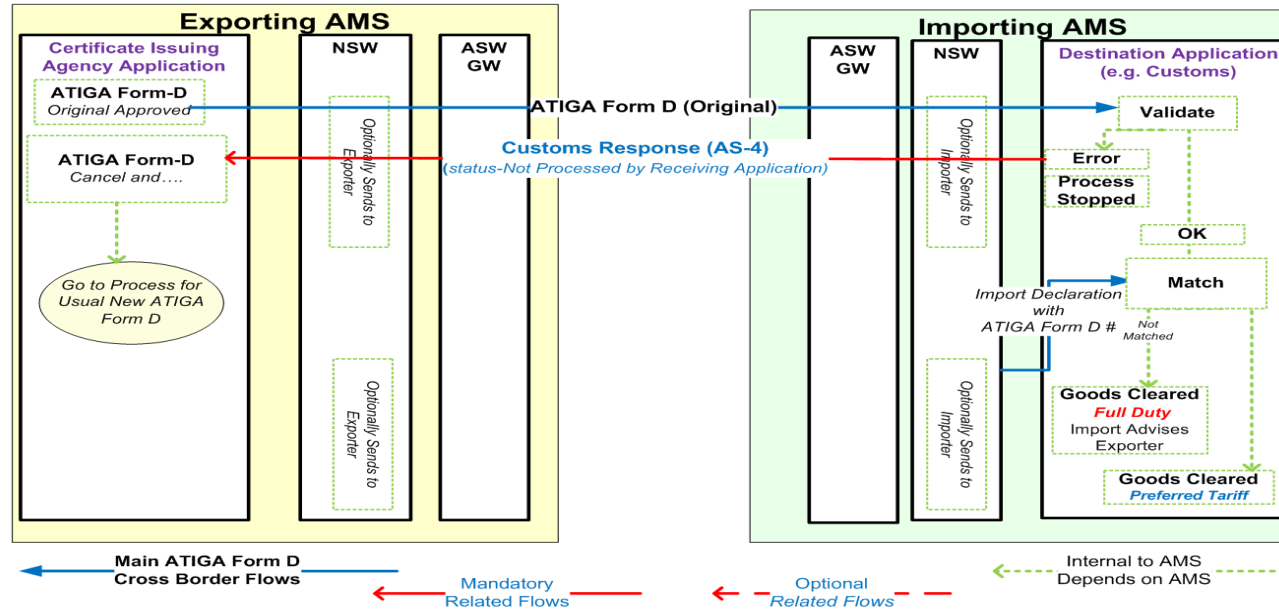
The document flow is described in the table below.

#	Document Flow	Suggestions for Action and Trigger of Sending Party	Sending Party	Receiving Party	Suggestions for Action by Receiving Party
1	New ATIGA Form D (Mandatory)	Application by Exporter and authorization by CIA.	CIA or Export NSW	Import Customs or NSW	Receive, if required, validate, and if OK, make available for processing by Customs.
2	Customs Response – Status “Received” (MandatoryOptional)	Generate Customs Response if receipt and validation of e-ATIGA Form D is OK.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Received by Customs”.
3	Customs Response - Status “Preferential Treatment” or “Mixed – for some consignment items Preferential Treatment is Given and for some, Preferential Treatment is Not Given” ” (Optional)	<i>According to internal policies, procedures and IT Systems, match e-ATIGA Form D to related import Declaration, either semi-manually or automatically, assign preferential duty rate to the Import, and release goods. Generate Customs response.</i>	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Utilized with Preferential Treatment” <i>This is end of the process for this ATIGA Form D</i>

5.2 Validation Error

End-to-End ATIGA Form D – “Validation Error”

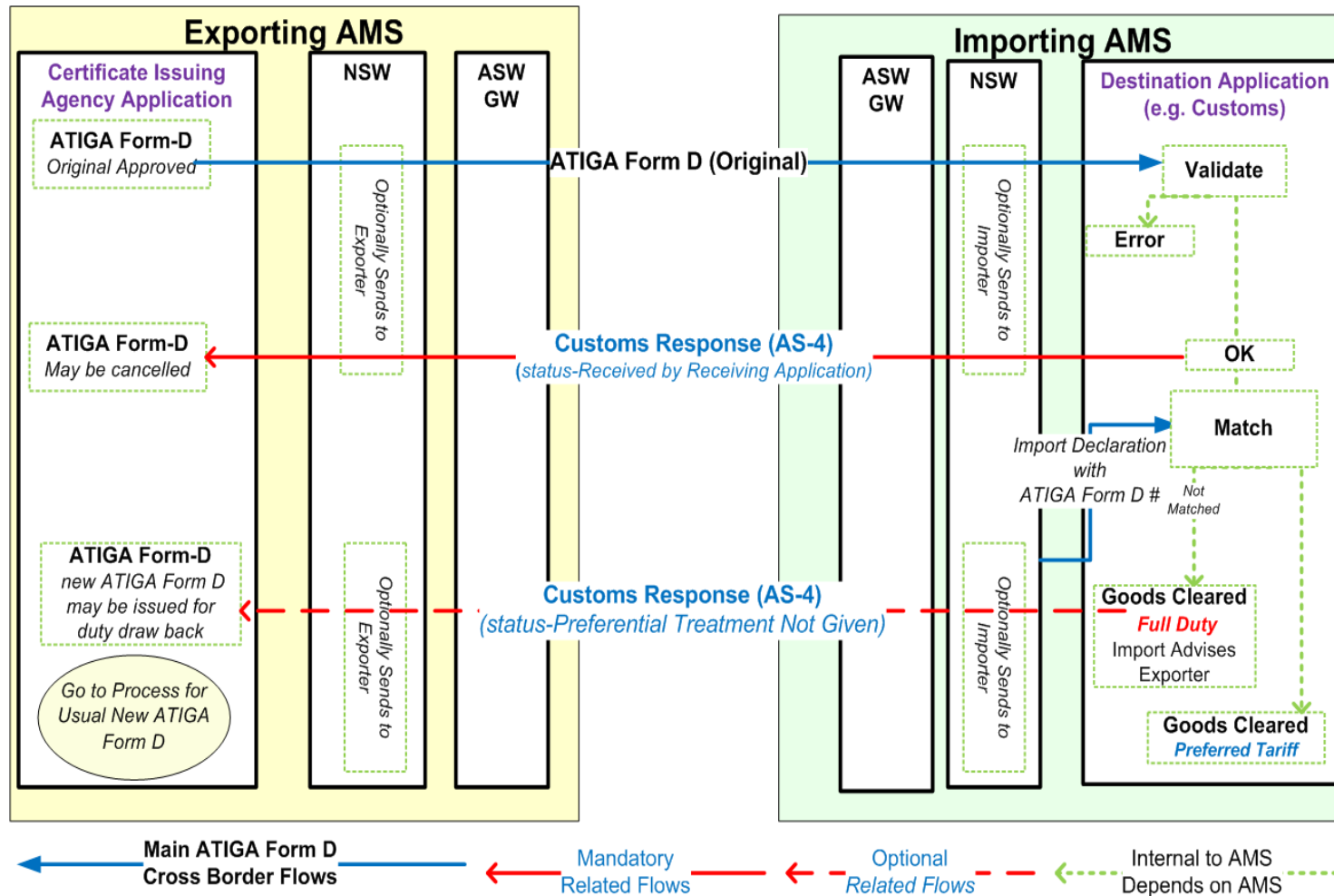
(excluding AS-1, AS-2, AS-3 Technical Acknowledgements)



#	Document Flow	Suggestions for Action and Trigger of Sending Party	Sending Party	Receiving Party	Suggestions for Action by Receiving Party
1	New ATIGA Form D (Mandatory)	Application by Exporter and authorization by CIA.	CIA or Export NSW	Import Customs or NSW	Receive, if required, validate, and if Not OK, generate Customs Response “Not Processed”
2	Customs Response – Status “Not Processed” (Mandatory)(Optional)	Generate Customs Response if receipt and validation of e-ATIGA Form D is NOT OK, with reason / explanation.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Not Accepted by Customs”. <i>This is end of the process for this ATIGA Form D</i>

End-to-End ATIGA Form D – “Preferential Treatment Not Given”

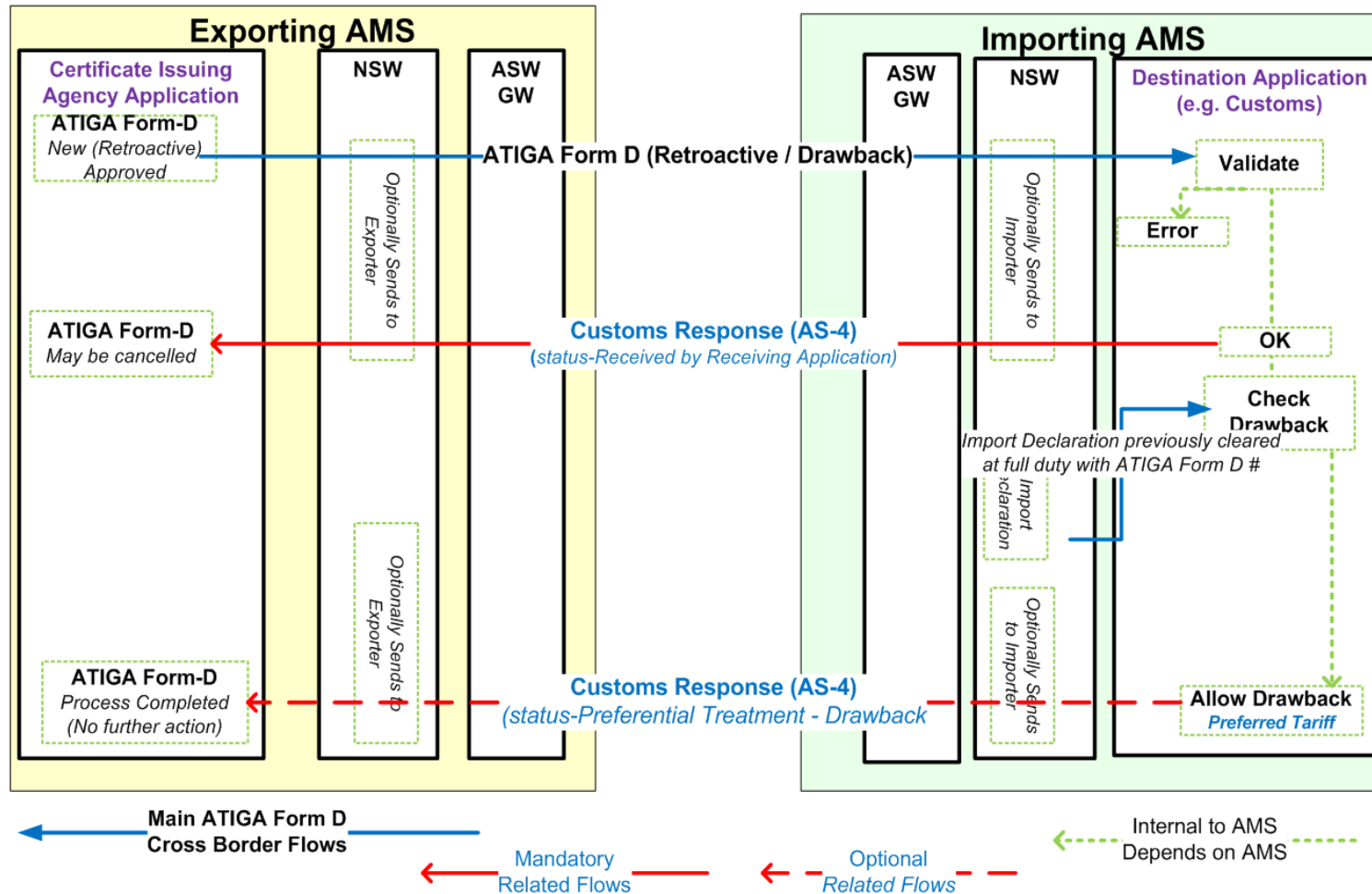
(excluding AS-1, AS-2, AS-3 Technical Acknowledgements)



#	Document Flow	Suggestions for Action and Trigger of Sending Party	Sending Party	Receiving Party	Suggestions for Action by Receiving Party
1	New ATIGA Form D (Mandatory)	Application by Exporter and authorization by CIA.	CIA or Export NSW	Import Customs or NSW	Receive, if required, validate, and if OK, make available for processing by Customs.
2	Customs Response – Status “Received” (Mandatory){Optional}	Generate Customs Response if receipt and validation of e-ATIGA Form D is OK.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Received by Customs”.
3	Customs Response - Status “Preferential Treatment Not Given” (Optional)	<i>According to internal policies, procedures and IT Systems, match e-ATIGA Form D to related import Declaration, either semi-manually or automatically.</i> Based on the Customs decision, assign the FULL (Most Favoured Nation(MFN)) duty rate to the Import, and release goods. Generate Customs response.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Utilized with Preferential Treatment Not Given” <i>This is end of the process for this ATIGA Form D although draw back under another ATIGA Form D may continue</i>

End-to-End ATIGA Form D – Drawback

(excluding AS-1, AS-2, AS-3 Technical Acknowledgements)

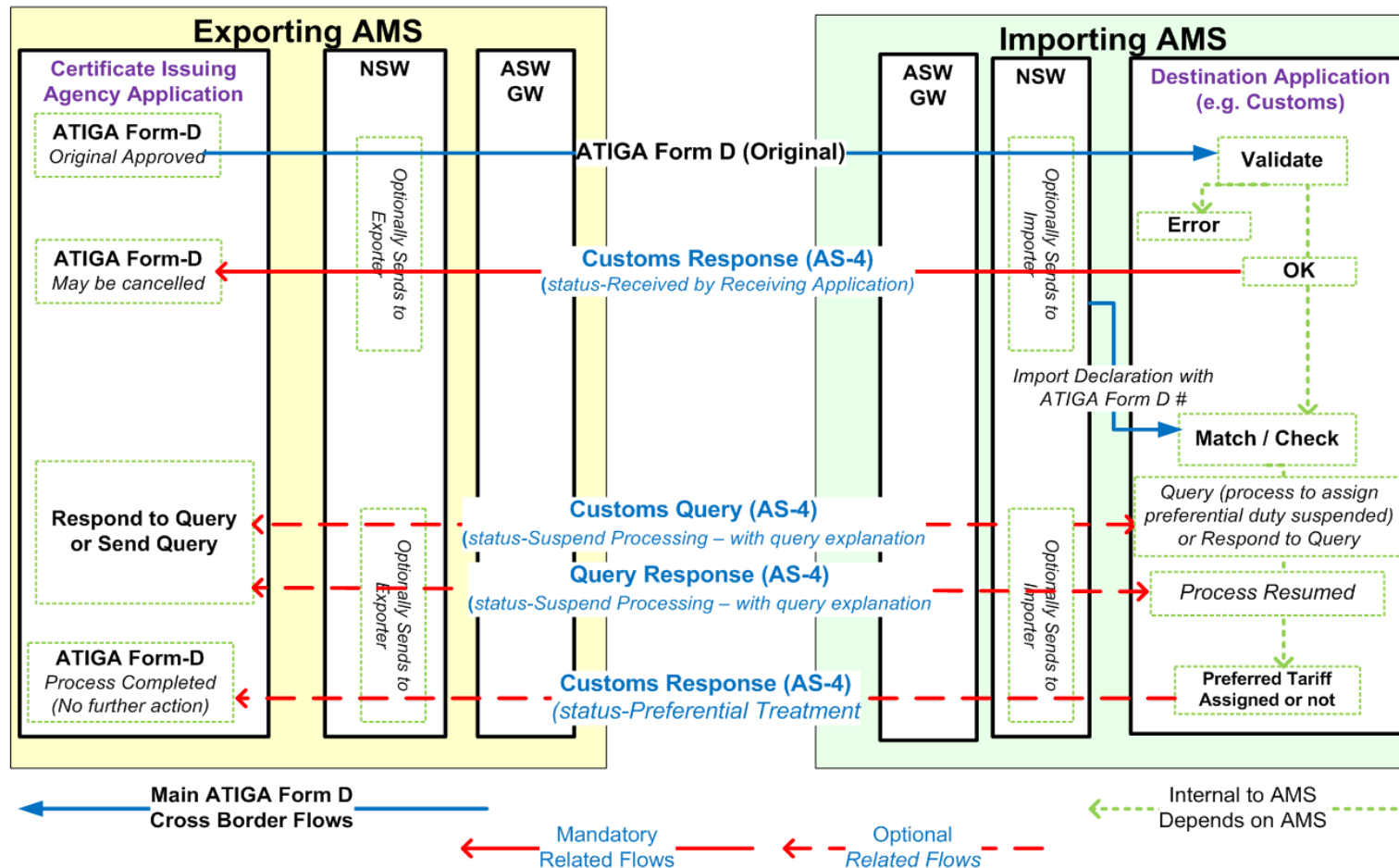


#	Document Flow	Suggestions for Action and Trigger of Sending Party	Sending Party	Receiving Party	Suggestions for Action by Receiving Party
1	New ATIGA Form D – Retroactive (Mandatory)	Following assignment of FULL (MFN) to the import in the scenario in Section 5.3, the Importer may wish to apply for a drawback of the “excess” duty paid, and will ask the Exporter to apply for a new ATIGA Form D related to the original import declaration.	CIA or Export NSW	Import Customs or NSW	Receive, if required, validate, and if OK, make available for processing by Customs.
2	Customs Response – Status “Received” {(Mandatory)Optional}	Generate Customs Response if receipt and validation of e-ATIGA Form D is OK.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Received by Customs”.
3	Customs Response - Status “Preferential Treatment” or “Mixed – for some consignment items Preferential Treatment is Given and for some Preferential Treatment is Not Given” (Optional)	<i>According to internal policies, procedures and IT Systems, check for the drawback of the new e-ATIGA Form D to the original import Declaration, either semi-manually or automatically. Based on the Customs decision, assign the preferred duty rate to the Import, and give a refund to the Importer according to internal drawback procedures.</i>	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Utilized with Preferential Treatment”. Please also see Note 1 below. <i>This is end of the process for this ATIGA Form D</i>

- i. Note 1- *Optionally*, the CIA may like the Exporter to quote the previous ATIGA Form D reference number or import declaration reference number on the new application, to make it easier to cross reference back to the original ATIGA Form D for the importing AMS. Note that the importing AMS will not reject this ATIGA Form D, even if it does not include the previous ATIGA Form D reference number or import declaration reference number.

End-to-End ATIGA Form D – “Query”

(excluding AS-1, AS-2, AS-3 Technical Acknowledgements)

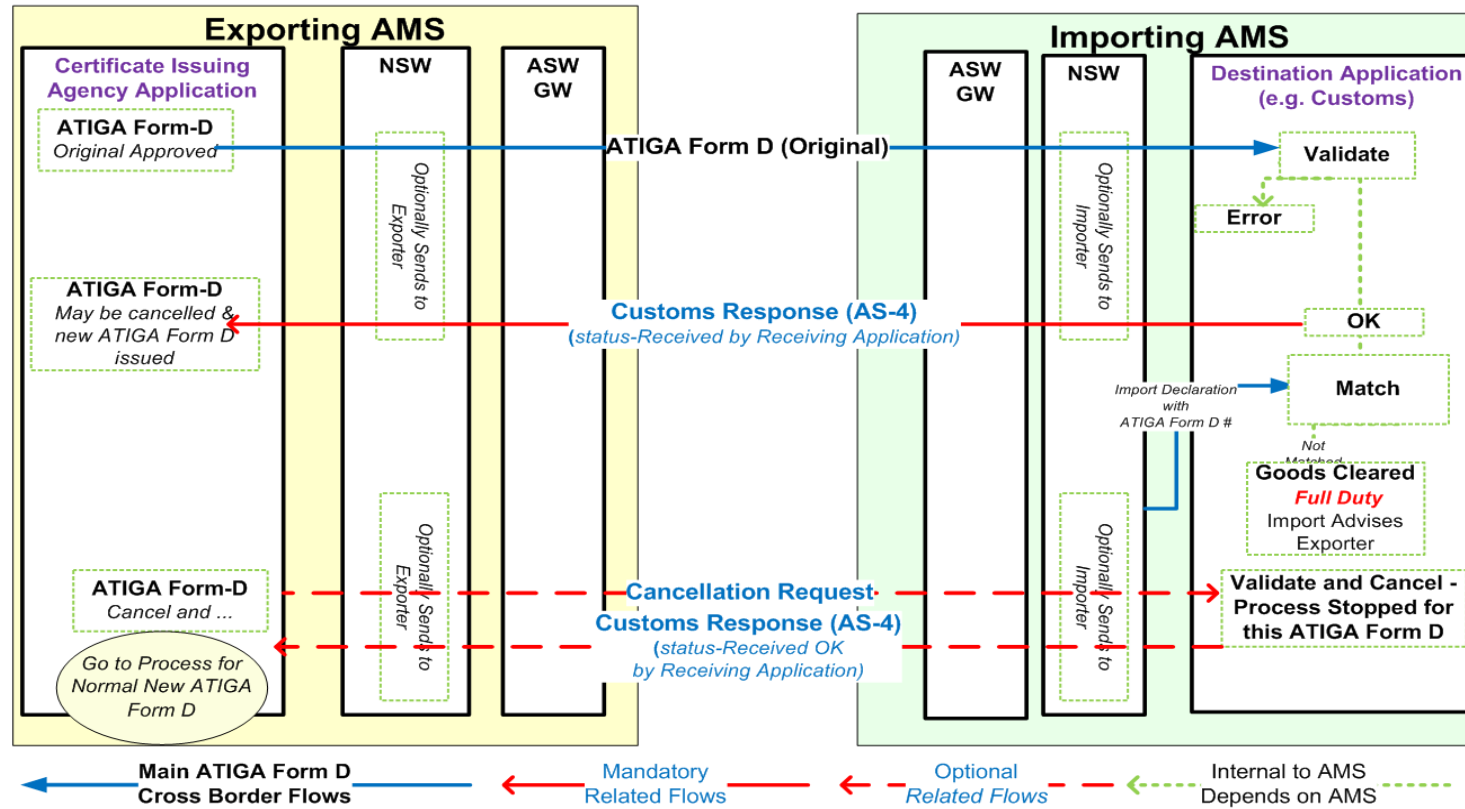


#	Document Flow	Suggestions for Action and Trigger of Sending Party	Sending Party	Receiving Party	Suggestions for Action by Receiving Party
1	New ATIGA Form D (Mandatory)	Application by Exporter and authorization by CIA.	CIA or Export NSW	Import Customs or NSW	Receive, if required, validate, and if OK, make available for processing by Customs.
2	Customs Response – Status “Received” (Mandatory) (Optional)	Generate Customs Response if receipt and validation of e-ATIGA Form D is OK.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Received by Customs”.
	<u>Query and Query Response(Optional)</u>	<u>The query may be raised by Import Customs which is the most common situation or it may be raised by the export CIA. These are described under 3(a) and 3(b) respectively. Correspondingly, the Query Response will be generated and sent by the responding party. These are described under 4(a) and 4(b) respectively.</u>			
<u>3(a)</u>	Query (Optional)	<i>According to internal policies, procedures and IT Systems, when checking the ATIGA Form D, there may be reason to raise a query with the export CIA. The goods may be released but the importer may be required to lodge a deposit or guarantee. The status of the ATIGA Form D may be updated to “Suspended”, if it has not been utilized.</i>	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Query Raised”. <u>Respond to Query according to 4(a)</u>
<u>3(b)</u>	<u>Query (Optional)</u>	<u>In other situations, the export CIA may raise a query with the Import Customs</u>	<u>CIA or Export NSW</u>	<u>Import Customs or NSW</u>	<u>Flag the e-ATIGA Form D as being queried. Respond to Query according to 4(b)</u>
<u>4(a)</u>	Query Response (Optional)	<u>In response to 3(a), and a</u> <i>According to internal policies, procedures and IT Systems, and based on the query raised, do the internal checks and respond accordingly. Change status accordingly.</i>	CIA or Export NSW	Import Customs or NSW	Depending on internal requirements and the design of the Customs system, continue to process the ATIGA Form D and assign preferential treatment status accordingly. <u>Note that a further query may be raised in response to a query response</u>

#	Document Flow	Suggestions for Action and Trigger of Sending Party	Sending Party	Receiving Party	Suggestions for Action by Receiving Party
4b	<u>Query Response (Optional)</u>	<u>In response to 3(b), and according to internal policies, procedures and IT Systems, and based on the query raised, do the internal checks and respond accordingly. Change status accordingly.</u>	<u>Import Customs or NSW</u>	<u>CIA or Export NSW</u>	<u>Depending on internal requirements and the design of the system, consider the response and take accordingly. Note that a further query may be raised in response to a query response.</u>
5	Customs Response - Status "Preferential Treatment" (Optional)	<u>Following on 4(a), and a</u> According to internal policies, procedures and IT Systems, assign preferential duty rate to the Import, and handle this with the importer. Generate Customs response.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to "Utilized with Preferential Treatment" <i>This is end of the process for this ATIGA Form D</i>

End-to-End ATIGA Form D – Cancellation

(excluding AS-1, AS-2, AS-3 Technical Acknowledgements)



#	Document Flow	Suggestions for Action and Trigger of Sending Party	Sending Party	Receiving Party	Suggestions for Action by Receiving Party
1	New ATIGA Form D (Mandatory)	Application by Exporter and authorization by CIA.	CIA or Export NSW	Import Customs or NSW	Receive, if required, validate, and if OK, make available for processing by Customs.
2	Customs Response – Status “Received” (Mandatory)(Optional)	Generate Customs Response if receipt and validation of e-ATIGA Form D is OK.	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Received by Customs”.
3	Cancellation Request (Optional)	<i>According to the specific situation and internal policies (e.g. exporter may wish to cancel the ATIGA Form D due to identified errors or differing quantities actually planned to be exported), send the Cancellation Request.</i>	CIA or Export NSW	Import Customs or NSW	Depending on internal requirements and the design of the Customs system, if the referenced ATIGA Form D has not been processed, confirm the cancellation request by issuing a Customs response with Status “Received”
4	Customs Response - Status “Not Processed” (Optional)	Depending on internal requirements and the design of the Customs system, if the referenced ATIGA Form D has been processed, the cancellation request cannot be processed, so a Customs response with Status “Not Processed” should be issued	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, Status of e-ATIGA Form D stays the same
5	Customs Response - Status “Received” (Optional)	Depending on internal requirements and the design of the Customs system, if the referenced ATIGA Form D has not been processed, confirm the cancellation request by issuing a Customs response with Status “Received”	Import Customs or NSW	CIA or Export NSW	Depending on internal requirements and design of CIA system, update Status of e-ATIGA Form D to “Cancelled” <i>This is end of the process for this ATIGA Form D</i>

6. Electronic ATIGA Form D - Life Cycle Perspective

6.1 CIA

The following table summarizes the life cycle of the Electronic ATIGA Form D from the CIA perspective, noting that the actual status maintained by each CIA may be different to the table below and this is provided only to facilitate understanding:

#	Action	Functional Status of ATIGA Form D <i>at the CIA</i>	Remarks
1	Exporter applies for ATIGA Form D and is approved by the CIA	Approved	
2	CIA sends new ATIGA Form D to Import Customs	Sent to Customs	
3	Import Customs validates ATIGA Form D and sends Customs response with status "Received"	Received by Customs	
4	Import Customs validates and sends Customs Response with status "Not Processed"	Not Accepted by Importing Customs.	End of Process for this ATIGA Form D. This may trigger an application for a new corrected ATIGA Form D by the exporter
5	Import Customs sends Customs Response with status "Preferential Treatment Given"	Utilized with Preferential Treatment	End of Process for this ATIGA Form D
6	Import Customs sends Customs Response with status "Preferential Treatment Not Given"	Utilized with Preferential Treatment Not Given	End of Process for this ATIGA Form D. This may trigger an application for a (retroactive) ATIGA Form D by the exporter to get the duty drawback
7	Import Customs sends Customs Query	Suspended	Processing of the ATIGA Form D is suspended pending the internal check and follow-up action from CIA
8	Following the internal check, the issuing agency sends a Query Response	Remains Suspended	Processing of the ATIGA Form D is suspended pending the internal check and follow-up action from Import Customs which may result in the action indicated in Item 5 or 6 above
9	For some reason, the exporter or the CIA may request to cancel the ATIGA Form D.	Request to Cancel	Processing of the ATIGA Form D is suspended pending response from Customs
10	Customs sends Customs Response with status "Received" in response to cancel request	Cancelled	End of Process for this ATIGA Form D

#	Action	Functional Status of ATIGA Form D <i>at the CIA</i>	Remarks
11	Customs sends Customs Response with status “Preferential Treatment Given” or “Preferential Treatment Not Given” after a cancel request	“Utilized with Preferential Treatment Given” or “Utilized with Preferential Treatment Not Given” as specified	End of Process for this ATIGA Form D
11	Customs sends Customs Response with status “Not Processed” after a cancel request because it has already been processed	If status is “Utilized with Preferential Treatment Given” or “Utilized with Preferential Treatment Not Given” this status remains. If status is “Request to Cancel”, then status reverts to the status as it was prior to the Request to Cancel.	

6.2 Import Customs

The following table summarizes the life cycle of the Electronic ATIGA Form D from the import Customs perspective, noting that the actual status maintained by each Customs organization may be different to the table below and this is provided only to facilitate understanding:

#	Action	Functional Status of ATIGA Form D <i>at the Import Customs</i>	Remarks
1	Import Customs/NSW receives new ATIGA Form D from the CIA, and according to its own procedures, makes it ready for Customs action.	Ready for Processing	Import customs sends the Customs Response with status "Received"
2	Import Customs/NSW receives new ATIGA Form D from the CIA, and finds an error such that it cannot process the ATIGA Form D.	Not Processed	Import customs sends the Customs Response with status "Not Processed". End of Process for this ATIGA Form D
3	Import Customs clears goods at preferential rates	Preferential Treatment Given	Import Customs sends Customs Response with status "Preferential Treatment Given" End of Process for this ATIGA Form D
4	Import Customs clears goods at normal rates	Preferential Treatment Not Given	Import Customs sends Customs Response with status "Preferential Treatment Not Given". End of Process for this ATIGA Form D.
5	Import customs receives a retroactive ATIGA Form D related to a previous ATIGA form D drawback (as in Item 1 and 4) and processes the drawback, giving preferential treatment	Preferential Treatment Given	Import Customs sends Customs Response with status "Preferential Treatment Given" End of Process for this ATIGA Form D
6	Particular circumstances necessitate a query to the issuing agency and Import Customs sends Customs Query to the CIA.	Suspended	Processing of the ATIGA Form D is suspended pending the internal check by the issuing agency.
7	Following the internal check, the issuing agency sends a Query Response which is analyzed by Customs. Import Customs takes action according item 3 or 4 above.	Preferential Treatment Given Or Preferential Treatment Not Given	Import Customs sends Customs Response with status "Preferential Treatment Given" or "Preferential Treatment Not Given", as appropriate. End of Process for this ATIGA Form D
8	The CIA sends a request to cancel the ATIGA Form D which is received and validated successfully by Import Customs.	Cancelled	Import customs sends a Customs Response with status "Received" to the issuing agency.

#	Action	Functional Status of ATIGA Form D <i>at the Import Customs</i>	Remarks
9	The CIA sends a request to cancel the ATIGA Form D which is received but not accepted by Import Customs due to a validation error or that the ATIGA Form D has already been utilized.	If status is "Preferential Treatment Given" or "Preferential Treatment Not Given" this status remains.	End of Process for this ATIGA Form D
10	Customs sends Customs Response with status "Preferential Treatment Given" or "Preferential Treatment Not Given" as in item 3 or 4 as appropriate but it happens after a cancel request	"Preferential Treatment Given" or "Preferential Treatment Not Given" as specified	End of Process for this ATIGA Form D
11	Customs sends Customs Response with status "Not Processed" after a cancel request because it has already been processed	If status is "Preferential Treatment Given" or "Preferential Treatment Not Given" this status remains.	

7. Message Implementation Guideline

7.1 Scope and Exclusions

7.1.1 Scope

This Message Implementation Guideline relates to the following scope of the electronic ATIGA Form D processes

1. New e-ATIGA Form D from the export CIA to the import Customs for the following categories:
 - a. Origin country same as issuing country and invoicing country same as exporting (consignor) country
 - b. Retroactive and drawback
 - c. Third country invoicing where the invoicing country is different to the exporting (consignor) country. The company name and country of the “invoicer” must be included for this category
 - d. Back-to-Back CO where the origin country different to issuing country
 - e. Exhibition CO, where goods are related to display at an Exhibition. This exhibition name, and address must be included for this category.
 - f. CO for Accumulation, Partial Cumulation, and de minimis
2. e-ATIGA Form D Related Documents supporting the e-ATIGA Form D include:
 - a. Customs Response indicating the data processing Status from Customs to the CIA for:
 - i. Status = “Received” and ready for Customs processing;
 - ii. Status = “Not Processed” with reason. Customs will not process this e-ATIGA Form D.
 - b. Customs Response indicating the Utilization Status from the import Customs to the CIA:
 - i. Status = “Preferential Treatment Given” (with a remark for “preferential treatment type” specifying “1” for ATIGA and “2” AICO.
 - ii. Status = “Preferential Treatment Not Given” with the Reason specified for not granting preferential treatment.
 - c. Cancellation
 - i. Cancellation Request from CIA to Customs with explanation of cancellation
 - ii. Customs Response to Cancellation Request from Customs to CIA
 - iii. Status = “Received” indicating the e-ATIGA Form D has not been utilized and is cancelled
 - iv. Status = “Not Processed” with the reason the Cancellation Request was not processed. That is, the e-ATIGA Form D was either not validated successfully or it was already utilized so could not be cancelled
 - d. Query from Customs to CIA and Query Response from CIA to Customs, noting that when the Query is initiated by Customs, the processing status of the e-ATIGA Form D, is suspended until the internal checks are complete, and the processing is then either
 - i. resumed to utilize the ATIGA Form D *or*
 - ii. “Preferential Treatment Not Given”

7.1.2 Exclusions

This message implementation guideline covers only the structure of the e-ATIGA Form D and related documents for cross border exchange. While this structure may be used for exchange within the national boundaries the message structure is not designed for the exchange between the exporter and the issuing agency and between the importing Customs / NSW and importers and other parties. That is, the structure is not designed for the Information exchange

- c) Between the Export CIA / NSW and Exporter
- d) Between the Import Customs / NSW and Importer

This guideline also does not cover the technical acknowledgements (AS-1, AS-2, AS-3) which are described in the Interoperability Specification..

7.2 Guideline for Message Implementation

This section references the Appendix A which is an excel file providing guidance to developers on the structure of the ATIGA Form D and the Related Documents as described in section 7.2.1 and 7.2.2 below. The guide contains:

- i. Technical (XML Tag) name
- ii. Business Description
- iii. Structure / Hierarchy of Data (level of each element within the document)
- iv. The number of occurrences
- v. Length and type
- vi. Other constraints (code types used, allowed values)
- vii. Additional instructions on how the element is populated and used, so that the AMS designers and developers understand this in relation to their own systems, and for harmonization across AMS

Also, please refer to Appendix B for the XML Schema Definition (XSD) for the ATIGA Form D and for the Related Documents which is intended to be used for the actual technical implementation.

7.2.1 ATIGA Form D Guideline

Please see Appendix A - sheet “*ATIGA Form D Guideline*” which details the structure and implementation guideline for the core Electronic ATIGA Form D document.

7.2.2 Related Documents Guideline

Please see Appendix A - sheet “*Related Documents Guideline*” details the structure and implementation guideline for the related documents including:

- i. Customs Response including response to Cancel Request
- ii. Query
- iii. Query Response
- iv. Cancel Request

Appendix A Message Implementation Guideline - Excel File

The excel file “28-X-AppA-ATIGA Form D-Message Implementation Guide v0.02 2015-05-29” contains the detail of the Message Implementation Guideline with sheets

- i. “ATIGA Form D Guideline”
- ii. “Related Documents Guideline”

Appendix B XML Schema Definition (XSD)

- i. XML Schema Definition (XSD) for ATIGA Form D
- ii. XML Schema Definition (XSD) for Customs Response, Query and Query Response, and Cancellation Request and Response