



ATIGA e-Form D

Business Process Specification

Version No. 1.2

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ASEAN-USAID INCLUSIVE GROWTH IN ASEAN THROUGH INNOVATION,
TRADE AND E-COMMERCE

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Acronyms and Definitions

AMS	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
ASW	ASEAN Single Window
ATIGA	ASEAN Trade in Goods Agreement
CIA	Certificate Issuing Authority
NSW	National Single Window
XML	Extensible Markup Language

1 Introduction

The ASEAN Single Window (ASW) live implementation is a core part of the ASEAN initiative to design and implement the ASW enabling infrastructure that will facilitate the exchange of cargo clearance information between ASEAN Member States (AMS) via their respective National Single Windows (NSWs).

As of January 2018 the ASW became fully operational for the exchange of ATIGA e-Form Ds among five Member States: Indonesia, Malaysia, Singapore, Thailand and Viet Nam. Four more Member States are expected to join the live operation in 2019, including; Brunei Darussalam, Cambodia, Myanmar and the Philippines. Lao PDR are expected to be the final Member State to join.

The purpose of this Business Process Specification is to outline the message flows required to implement the ATIGA e-Form D within the ASW environment. In addition to the ATIGA e-Form D message flow, it also includes the message flow for the Customs Response, to advise the Certificate Issuing Authority (CIA) if preferential treatment has been granted, or not.

2 Message Flows

Figure 1 below shows the message flows of the ATIGA e-Form D (864), the Customs Response (961) and the related system Acknowledgement Status messages.

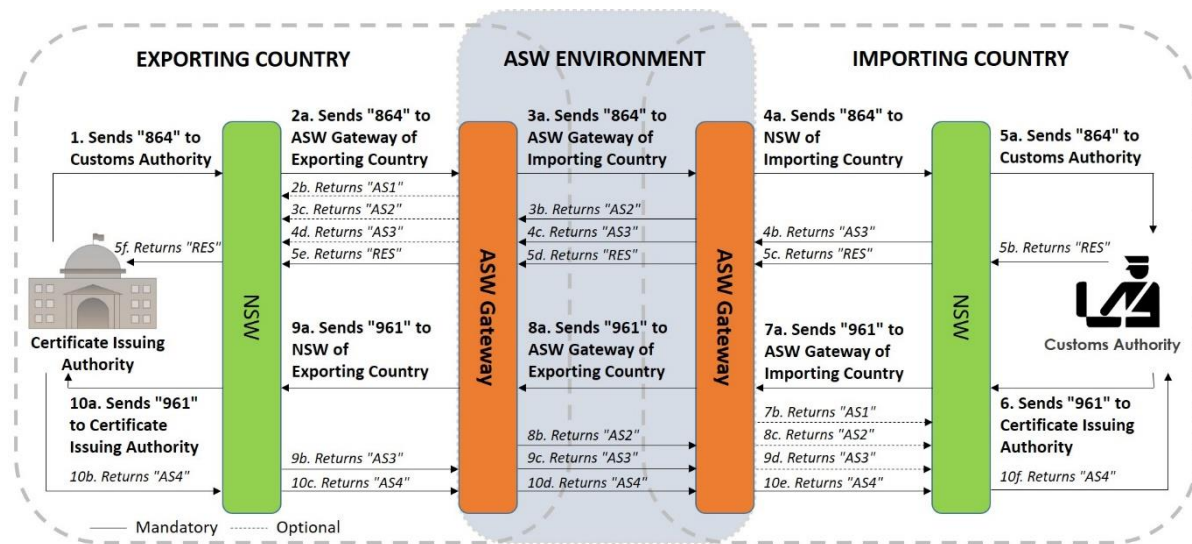


Figure 1 – Message Flows

The step-by-step processes for sending an ATIGA e-Form D and returning a Customs Response are described in more detailed below.

2.1 Sending an ATIGA e-Form D

As shown in Figure 1, and detailed in Table 1, the process for sending an ATIGA e-Form D starts with the Certificate Issuing Authority in the Exporting Country (Step 1) and ends when it receives an Acknowledgement Status (RES) message from the Customs Authority in the Importing Country (Step 5f).

Table 1: Step-by-Step Process for Sending an ATIGA e-Form D

Step	Description	Implementation Notes
1	The Certificate Issuing Authority of the Exporting Country sends an ATIGA e-Form D to the Importing Country, either from their back-end system or from a facility built into the NSW. <i>Please note that this step is Mandatory.</i>	An ATIGA e-Form D (864) is sent by the CIA of the Exporting Country. <i>Please refer to the ATIGA e-Form D - Message Implementation Guide for details on how to create an ATIGA e-Form D (864) message.</i> <i>Appendix B.1 of the ATIGA e-Form D - Message Implementation Guide provides an example of an ATIGA e-Form D (864).</i>
2a	The NSW of the Exporting Country sends the ATIGA e-Form D to the ASW Gateway of the Exporting Country.	The message must be the same as Step 1.

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Step	Description	Implementation Notes
	<i>Please note that this step is Mandatory.</i>	
2b	<p>The ASW Gateway of the Exporting Country returns an Acknowledgement Status to the NSW of the Exporting Country.</p> <p><i>Please note that this step is Optional.</i></p>	<p>An Acknowledgement Status (AS1) is returned to the NSW of the Exporting Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.1 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (AS1).</i></p>
3a	<p>The ASW Gateway of the Exporting Country sends the ATIGA e-Form D to the ASW Gateway of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 1.</p>
3b	<p>The ASW Gateway of the Importing Country returns an Acknowledgement Status to the ASW Gateway of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>An Acknowledgement Status (AS2) is returned to the ASW Gateway of the Exporting Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.2 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (AS2).</i></p>
3c	<p>The ASW Gateway of the Exporting Country returns the Acknowledgement Status to the NSW of the Exporting Country.</p> <p><i>Please note that this step is Optional.</i></p>	<p>The message must be the same as Step 3b.</p>
4a	<p>The ASW Gateway of the Importing Country sends the ATIGA e-Form D to the NSW of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 1.</p>
4b	<p>The NSW of the Importing Country returns an Acknowledgement Status to the ASW Gateway of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>An Acknowledgement Status (AS3) is returned to the ASW Gateway of the Importing Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.3 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (AS3).</i></p>
4c	<p>The ASW Gateway of the Importing Country returns the Acknowledgement Status to the ASW Gateway of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 4b.</p>

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Step	Description	Implementation Notes
4d	<p>The ASW Gateway of the Exporting Country returns the Acknowledgement Status to the NSW of the Exporting Country.</p> <p><i>Please note that this step is Optional.</i></p>	<p>The message must be the same as Step 4b.</p>
5a	<p>The NSW of the Importing Country sends the ATIGA e-Form D to the Customs Authority of the Importing Country, either to their back-end system or to a facility built into the NSW.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 1.</p> <p>The ATIGA e-Form D (864) is received by the Customs Authority of the Importing Country.</p> <p><i>At this point, if the XML was successfully validated and processed by the Customs Authority of the Importing Country, "CategoryCode" should be set to "REC". If the XML could not be processed, "CategoryCode" should be set to "NOT".</i></p>
5b	<p>The Customs Authority of the Importing Country returns an Acknowledgement Status to the NSW of the Importing Country, either from their back-end system or from a facility built into the NSW.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>An Acknowledgement Status (RES) is returned to the NSW of the Importing Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.5 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (RES).</i></p>
5c	<p>The NSW of the Importing Country returns the Acknowledgement Status to the ASW Gateway of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 5b.</p>
5d	<p>The ASW Gateway of the Importing Country returns the Acknowledgement Status to the ASW Gateway of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 5b.</p>
5e	<p>The ASW Gateway of the Exporting Country returns the Acknowledgement Status to the NSW of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 5b.</p>
5f	<p>The NSW of the Exporting Country returns the Acknowledgement Status to the Certificate Issuing Authority of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 5b.</p>

2.2 Returning a Customs Response

As shown in Figure 1, and detailed in Table 2, the process for returning a Customs Response starts with the Customs Authority in the Importing Country (Step 6) and ends when they receive an Acknowledgement Status (AS4) from the Certificate Issuing Authority in the Exporting Country (Step 10f).

It should be noted that, in future¹, the Customs Response will be mandatory for all ATIGA e-Form Ds, except under two specific conditions; if the ATIGA e-Form D is not being submitted for preferential treatment (e.g. for applying the back-to-back eCOs, accumulation or partial cumulation) or if the ATIGA e-Form D has been cancelled (see Section 2.3).

Table 2: Step-by-Step Process for Returning a Customs Response

Step	Description	Implementation Notes
6	<p>The Customs Authority of the Importing Country sends the Customs Response to the Exporting Country, either from their back-end system or from a facility built into the NSW.</p> <p><i>Please note that this step is Mandatory for ATIGA e-Form Ds presented for preferential tariff treatment, EXCEPT for the cancelled ATIGA e-Form D or the ATIGA e-Form D applied for back-to-back e-CO.</i></p>	<p>A Customs Response (961) is sent by the Customs Authority of the Importing Country.</p> <p><i>Please refer to the Customs Response - Message Implementation Guide for details on how to create a Customs Response (961) message.</i></p> <p><i>Appendix B.1 of the Customs Response - Message Implementation Guide provides an example of a Customs Response (961), encapsulated within the Common Header.</i></p> <p><i>It is recommended that the XML schemas should be used to validate the Customs Response (961) <u>before</u> it is encapsulated within the Common Header.</i></p>
7a	<p>The NSW of the Importing Country sends the Customs Response to the ASW Gateway of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 6.</p>
7b	<p>The ASW Gateway of the Importing Country returns an Acknowledgement Status to the NSW of the Importing Country.</p> <p><i>Please note that this step is Optional.</i></p>	<p>An Acknowledgement Status (AS1) is returned to the NSW of the Importing Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.1 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (AS1).</i></p>
8a	<p>The ASW Gateway of the Importing Country sends the Customs Response to</p>	<p>The message must be the same as Step 6.</p>

¹ As agreed by AMS at the 46th TWG Meeting, held in Phnom Penh, Cambodia from 19-22 February 2019, the Customs Response will not be used until the ATIGA e-Form D has been revised based on the Common Header.

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Step	Description	Implementation Notes
	<p>the ASW Gateway of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	
8b	<p>The ASW Gateway of the Exporting Country returns an Acknowledgement Status to the ASW Gateway of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>An Acknowledgement Status (AS2) is returned to the ASW Gateway of the Importing Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.2 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (AS2).</i></p>
8c	<p>The ASW Gateway of the Importing Country returns the Acknowledgement Status to the NSW of the Importing Country.</p> <p><i>Please note that this step is Optional.</i></p>	<p>The message must be the same as Step 8b.</p>
9a	<p>The ASW Gateway of the Exporting Country sends the Customs Response to the NSW of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 6.</p>
9b	<p>The NSW of the Exporting Country returns an Acknowledgement Status to the ASW Gateway of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>An Acknowledgement Status (AS3) is returned to the ASW Gateway of the Exporting Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.3 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (AS3).</i></p>
9c	<p>The ASW Gateway of the Exporting Country returns the Acknowledgement Status to the ASW Gateway of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 9b.</p>
9d	<p>The ASW Gateway of the Importing Country returns the Acknowledgement Status to the NSW of the Importing Country.</p> <p><i>Please note that this step is Optional.</i></p>	<p>The message must be the same as Step 9b.</p>
10a	<p>The NSW of the Exporting Country sends the Customs Response to the Certificate Issuing Authority of the Exporting Country, either to their back-end system or a facility built into the NSW.</p>	<p>The message must be the same as Step 6.</p> <p>The Customs Response (961) is received from the Customs Authority of the Importing Country.</p>

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Step	Description	Implementation Notes
	<i>Please note that this step is Mandatory.</i>	<p><i>It is recommended that XML schemas are used to validate the Customs Response (961) <u>after</u> it is has been extracted from the Common Header.</i></p> <p><i>At this point, if the XML was successfully validated and processed by the Certificate Issuing Authority of the Exporting Country, "CategoryCode" should be set to "REC". If the XML could not be processed, "CategoryCode" should be set to "NOT".</i></p>
10b	<p>The Certificate Issuing Authority of the Exporting Country returns an Acknowledgement Status to the NSW of the Exporting Country, either from their back-end system or from a facility built into the NSW.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>An Acknowledgement Status (AS4) is returned to the NSW of the Exporting Country, in accordance with the Acknowledgement Status - Message Implementation Guide.</p> <p><i>Appendix B.4 of the Acknowledgement Status - Message Implementation Guide provides an example of an Acknowledgement Status (AS4).</i></p>
10c	<p>The NSW of the Exporting Country returns the Acknowledgement Status to the ASW Gateway of the Exporting Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 10b.</p>
10d	<p>The ASW Gateway of the Exporting Country returns the Acknowledgement Status to the ASW Gateway of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 10b.</p>
10e	<p>The ASW Gateway of the Importing Country returns the Acknowledgement Status to the NSW of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 10b.</p>
10f	<p>The NSW of the Importing Country returns the Acknowledgement Status to the Customs Authority of the Importing Country.</p> <p><i>Please note that this step is Mandatory.</i></p>	<p>The message must be the same as Step 10b.</p>

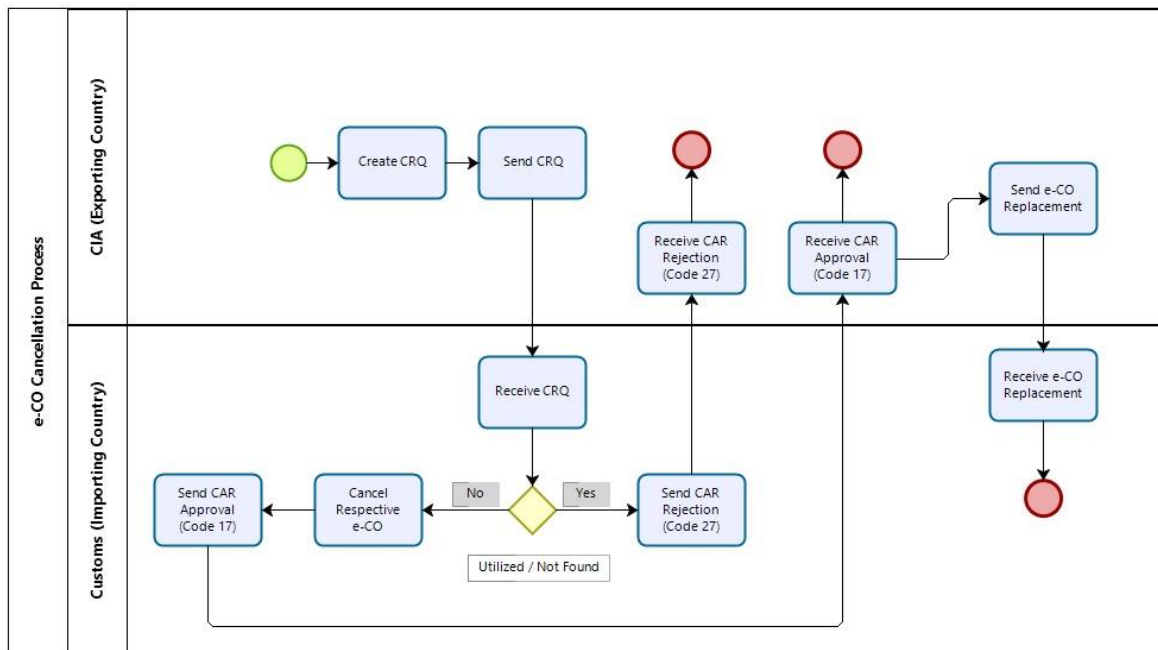
2.3 Cancelling an ATIGA e-Form D

For more information on the cancellation process, please refer to the *Generic Cancellation – Business Process Specification* and the *Generic Cancellation - Message Implementation Guide*.

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In the case where a Customs Response (961) has not been received for the specific ATIGA e-Form D, the Certificate Issuing Authority of the Exporting Country may send a Cancellation Request (CRQ) message to the Customs Authority of the Importing Country, who must return a Cancellation Response (CAR) to confirm whether the request has been accepted or not.

When cancelling an ATIGA e-Form D, there are two possible scenarios. (see process flow in figure x below) In both scenarios, the Certificate Issuing Authority of the Exporting Country has already sent an ATIGA e-Form D, when the Customs Authority of the Importing Country should automatically check if it has been utilized.



2.3.1

Scenario 1: The ATIGA e-Form D has not yet been utilized

In the first scenario, when the Customs Authority of the Importing Country has not sent a Customs Response (961) for the specific ATIGA e-Form D means that the ATIGA e-Form D has not been utilized;

When an ATIGA e-Form D has not been utilized, the Customs Authority of the Importing Country must cancel the ATIGA e-Form D within their system and return a Cancellation Response (CAR) with a function code of "17" (cancelled, to be reissued - Referenced transaction cancelled, reissued message will follow). The Certificate Issuing Authority of the Exporting Country may subsequently replace the original ATIGA e-Form D by sending a new ATIGA e-Form D to the Customs Authority of the Importing Country. When the Certificate Issuing Authority of the Exporting Country replacing an ATIGA e-Form D, the reference number of the original ATIGA Form D must be included as a reference document. Please refer to *ATIGA e-Form D Message Implementation Guide*.

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Scenario 2: The ATIGA e-Form D has already been utilized

In the second scenario when the ATIGA e-Form D has been utilized, the Customs Authority of the Importing Country has already sent a Customs Response (961) for the specific ATIGA e-Form D and the ATIGA e-Form D can no longer be cancelled or amended.

2.3.2 When an ATIGA e-Form D has been utilized, the Importing Country must immediately return a Cancellation Response (CAR) with a function code of “27” (not accepted - Message to inform that the referenced message is not accepted by the recipient).

Under this scenario, the Certificate Issuing Authority of the Exporting Country cannot replace the original ATIGA e-Form D.

2.4 Querying an ATIGA e-Form D

For more information on the query process, please refer to the *Generic Query – Business Process Specification* and the *Generic Query - Message Implementation Guide*.

Depending on the readiness of AMS, either the Certificate Issuing Authority of the Exporting Country or the Customs Authority of the Importing Country may query an ATIGA e-Form D by sending a Query (QRY) message, when the recipient must return a Query Response (QRR) message.

The Query (QRY) message may be used by the Importing Country to request a retroactive check at any time, as per Rule 18 of the Operational Certification Procedure (OCP), and the reference number of the original ATIGA e-Form D must be included as a reference document. Furthermore, the Certificate Issuing Authority shall use the Query Response (QRR) message to respond to requests for retroactive checks raised through a Query (QRY) message by Importing Countries.

Noting the query function is optional, not ready AMS should not be obliged to take-up this function in future.