SPECIFICATIONS ON INFORMATION EXCHANGE BETWEEN THE CUSTOMS CONTROL COMMITTEE OF THE MINISTRY OF FINANCE OF THE REPUBLIC OF KAZAKHSTAN AND THE GENERAL ADMINISTRATION OF CUSTOMS OF THE PEOPLE'S REPUBLIC OF CHINA

Version 1.0

TABLE OF CONTENTS

Specifications on information exchange between the Customs Control Committee of the   -
Ministry of Finance of the Republic of Kazakhstan and the General Administration of
Customs of the People's Republic of China Version 1.0

DEFINITIONS AND ABBREVIATIONS

List of abbreviations applicable to the present document is given in Tab.1.

Tab.1. List of abbreviations

Abbreviation	Abbreviation expansion
UCR	Unique Consignment Reference
WCO	World Customs Organization
XML	eXtensible Markup Language
LAN	Local area network
PI	Preliminary information
FLC	Format Logical Control
IGC	Information Gathering Center
ED	Electronic Document
CCIC	the China Customs Information Center of the General Administration of China Customs

1. PURPOSE OF THE DOCUMENT

The present Specifications are designed and applied for implementation of electronic information exchange on goods and vehicles moved across the border of the People's Republic of China and the Republic of Kazakhstan by automobile and railway transport under the customs regime of export. Exchange of information on goods and vehicles moved across the Chinese-Kazakhstan border section is exercised between the authorized customs bodies of the Parties.

- IGC (Information Gathering Centre) of the Chinese Party - the China Customs Information Center (CCIC) of the General Administration of China Customs;

- IGC of the Kazakhstan Party - the Main Computer Centre of the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan;

The Specifications could be amended under the arrangements of authorized bodies of customs services of the Parties.

The Information exchange of structured data is carring out with use of XML markup language (Extensible Markup Language). The structure of exchanged data is designed in accordance with WCO data model (WCO Data Model Version 2, UMM Class Diagram, version 2, 07.03.2006).

2. DESCRIPTION OF INFORMATION EXCHANGE

2.1. Participants of information exchange

Participants of information exchange are the following:

- From the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan - Information Gathering Centre (IGC) of the in the Main Computer Centre of the Republic of Kazakhstan;
- From the Customs Service of the People Republic of China - Information Gathering Centre (IGC) is the China Customs Information Center (CCIC).

2.2. Stages of information exchange

There are the following main stages of information exchange during export control of goods:

The Parties notifies each other on the intention to export goods and vehicles on the customs territory of the adjacent Party. The given notice is based on the data of export declaration or transport documents. 1. In frames of this process following scenarios are possible:

- The standard information transfer - the preliminary information transferred to the adjacent Party does not change.
- Information change - at change of the data brought in the Cargo Customs Declaration, the adjacent Party sends repeatedly to the information gathering center.
- Information cancellation - at the cancellation of goods moving, the adjacent party sends repeatedly the cancellation notice in information gathering center of Importer.

2.2.1 Information electronic documents

The BTI101 message containing information on goods and vehicles is used for the notice of the adjacent Party on the intention to import goods and vehicles on the customs territory. The given message is formed on the basis of customs documents of the country of export of goods and vehicles; filling of fields is carrying out according to item 4.4.2 of the present Specifications.

On receiving of the BTI101 message the adjacent Party forms the reciprocal message BTI202 containing result of ED processing BTI101. Thus the return code accepts values according to the description given in section 0. The Unique identification number of the initial document is transferred in the message BTI101 (element MessageIdentifier).

Each electronic message BTI101 contains the unique identification number of the electronic document used for the further unequivocal binding of the subsequent notices and results of control to the preliminary information containing in initial ED. The UCR number is recommended for binding of application specific data.

The message on the successful ending of ED processing received by the Chinese party means that the Notification about completed documents (electronic document BTI101) is successfully delivered and processed in the IGC of the Kazakhstan Party.

Specifications on information exchange between the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan and the General Administration of Customs of the People's Republic of China Version 1.0

In the course of information exchange the following operations are available:
- – Submission of data on the intention to export goods and vehicles;
- – Submission of data on goods with correction of errors;
- – Checking of automated information exchange systems of Kazakhstan and China.
- – Cancellation before submitted data;

2.2.2. Submission of data on goods

The given operation is carrying out prior to the beginning of actual movement of goods and vehicles from the territory of country-exporter.

2.2.2.1. Standard scenario

The process of submission of data on goods is presented in Fig.1 and includes the following stages:

1. IGC of exporter is sending data (XML-message BTI101) on the intention to export goods and vehicles on the customs territory of the adjacent Party.

2. IGC of importer is checking the correspondence of such data to structural and logical control rules.

3. Following the examination of data processing, IGC of importer is sending the XML-message BTI202 to IGC of exporter on the results of notification processing containing a message processing code, in accordance with section 0 of the present Specifications.

3.1. Data are considered as correct if IGC of exporter receive the XML-message BTI202 on the results of notification processing containing the return code "80000".

3.2. If IGC of exporter receives the XML-message BTI202 on the results of notification processing containing the return code not equal to "80000", it is considered that such data have not been transferred to the adjacent Party. IGC of exporter is obliged to correct errors and execute operation «Submission of data on goods» starting from item 1.
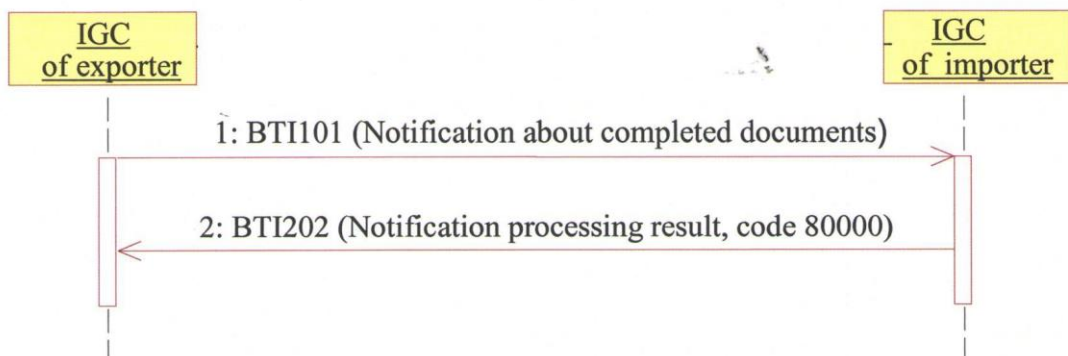

Fig.1. Submission of data on goods.

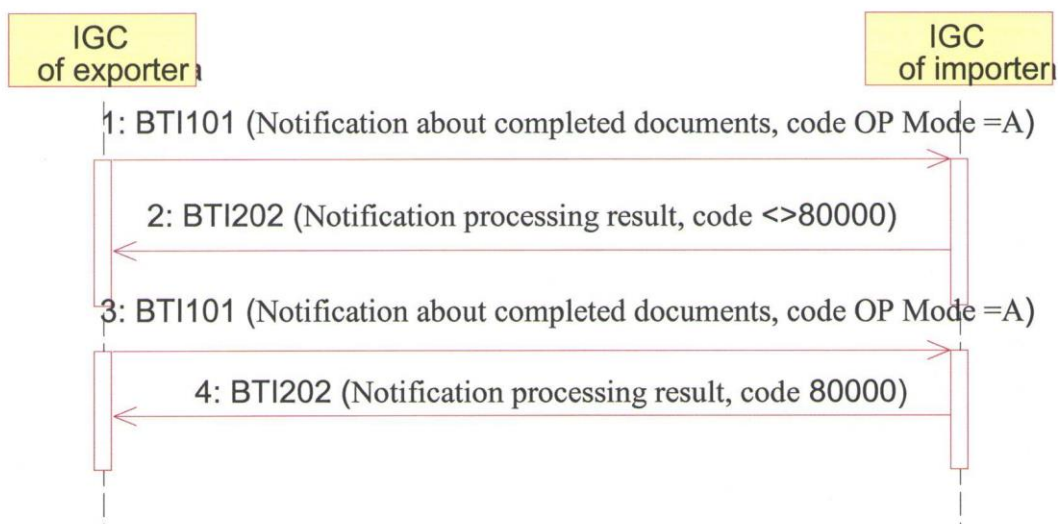Submission of data on goods with correction of errors is presented in Fig.2.

IGC of exporter		IGC of importer

1: BTI101 (Notification about completed documents, code OP Mode =A)

2: BTI202 (Notification processing result, code <>80000)

3: BTI101 (Notification about completed documents, code OP Mode =A)

4: BTI202 (Notification processing result, code 80000)

Fig.2. Submission of data on goods with correction of errors

2.2.2.2. Change of the information

Process of change of data on the goods includes following stages:

1. Exporter IGC directs data (XML-message BTI101) on intentions of export of the goods and vehicles on customs area of the adjacent Party.

2. Importer IGC makes check of data on conformity to rules of the structural and logic control.

3. By results of processing of received data importer IGC directs in exporter IGC of XML-message BTI202 about result of processing of the notice, containing a code of return "80000".

4. The exporter makes changes in the Cargo Customs Declaration.

5. IGC directs to the adjacent Party the notice on change of data on the goods and vehicles (XML-message BTI101 with code OP=M) exported on customs area.

6. Importer IGC   directs Exporter IGC XML-message BTI202 with a return code to the equal:

   - 80000, if changes of data can be registered (see Fig. 3);
   - 50000 if changes of data cannot be registered see Fig. 4).
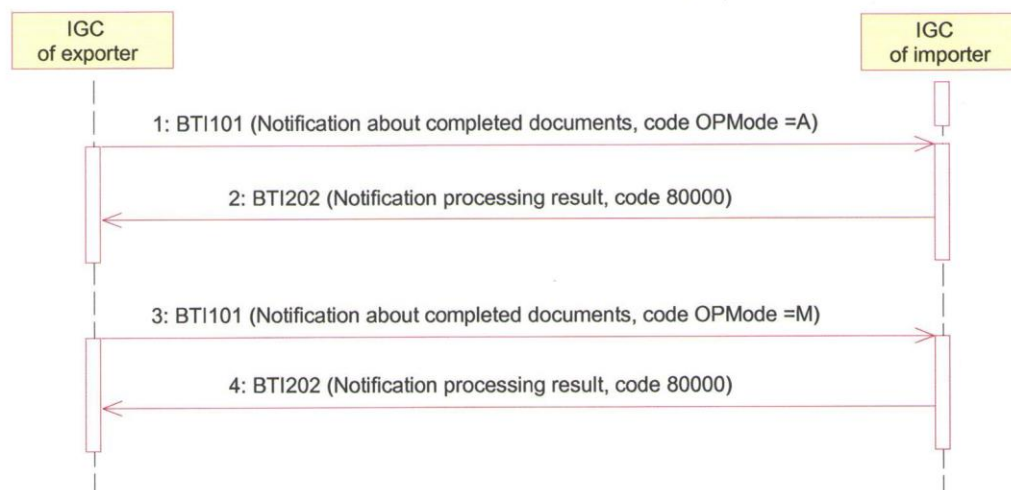
Specifications on information exchange between the Customs Control Committee of the   -
Ministry of Finance of the Republic of Kazakhstan and the General Administration of
Customs of the People's Republic of China Version 1.0

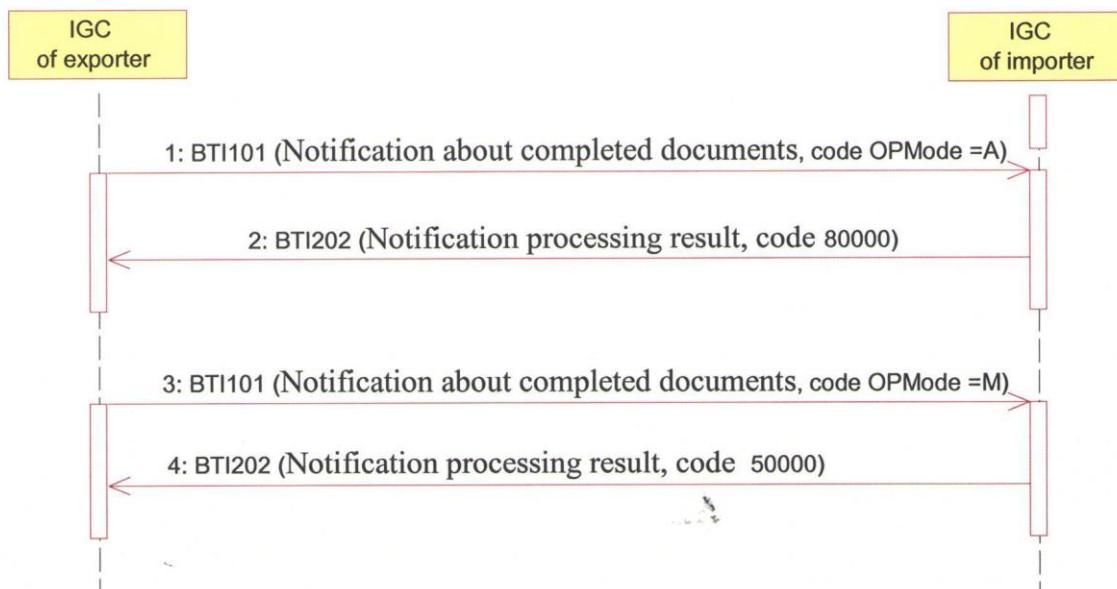**Fig.3.** Changes' registration of earlier submitted data on the goods

Fig.4. Denial of changes' registration of earlier submitted data on the goods

2.2.2.3. Information cancellation

Process of cancellation of data on the goods includes following stages:

1. Exporter IGC directs data (XML-message BTI101) on intentions of export of the goods and vehicles on customs area of the adjacent Party.

2. Importer IGC makes check of data on conformity to rules of the structural and logic control.

3. By results of processing of received data Importer IGC directs in Exporter IGC of XML-message BTI202 about result of processing of the notice, containing a code of return 80000.

Specifications on information exchange between the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan and the General Administration of Customs of the People's Republic of China Version 1.0

4. The exporter cancels moving of the goods and vehicles. The Cargo Customs Declaration is cancelled.

5. Exporter IGC directs he notice on cancellation of moving of the goods and vehicles (directs to the adjacent Party XML-message BTI101, code OPMode=D).

6. Importer IGC directs exporter IGC XML-message BTI202 with a return code to the equal:

    - 80000 if data can be cancelled (see Fig. 5);

    - 50000 if cancellation of data is impossible (see Fig. 6).

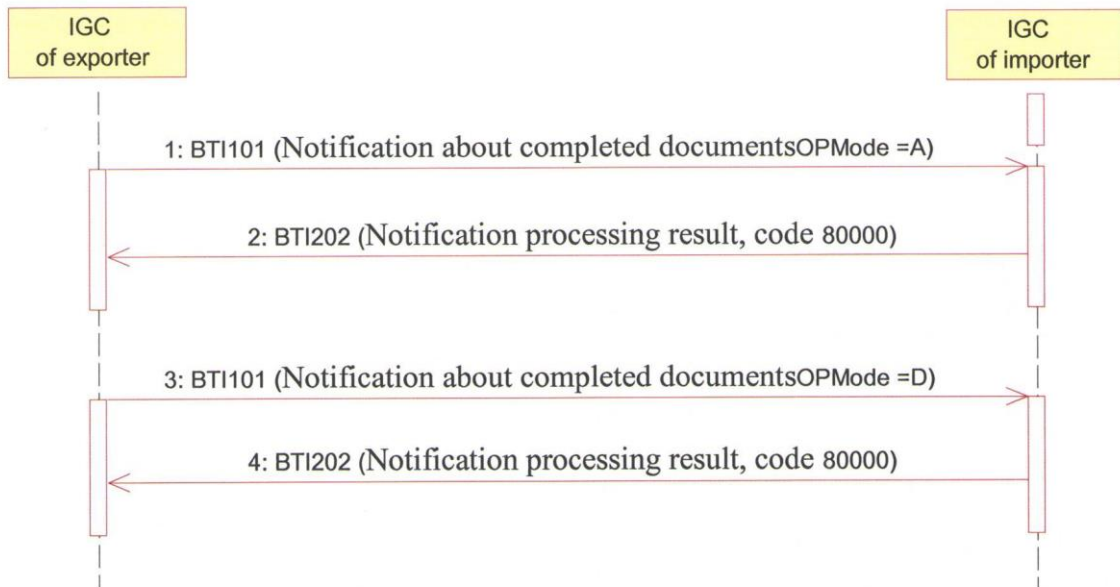**Fig.5.** Cancellation on registration of earlier submitted data on the goods
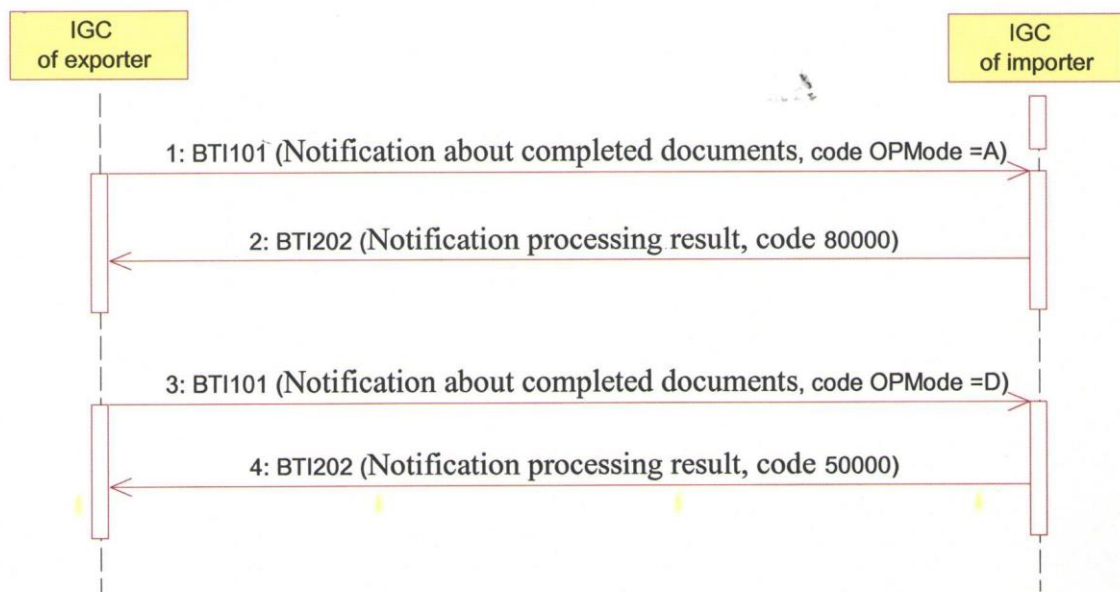
Fig.6. Denial of cancellation on registration of earlier submitted data on the goods

Specifications on information exchange between the Customs Control Committee of the -
Ministry of Finance of the Republic of Kazakhstan and the General Administration of
Customs of the People's Republic of China Version 1.0

2.2.3. Checking of automated information exchange system

Responsibility of the Parties:

    - Each Party provides functioning of automated information exchange system on its territory;

    - Each Party is obliged to inform other Party on any breaks in functioning of the system, distinct from listed in item 0.

    Checking of automated information exchange system can be made at any moment by any Party. Checking of automated information exchange system operability is presented in Fig.7 and includes the following stages:

    1. Any of the Parties in case of need is sending a system request (XML-message SYSTST) for the purpose of automated information exchange systems operability of the Parties. 2. The Party received the system request is carrying out diagnostics of its automated system and sending the XML-message BTI202 containing results of diagnostics of the system to the Party generated the system request. Thus the return code is filling according to section 0 of the present document.

    3. The automated system is considered as operable if the return code is equal to "30000" (XML-message BTI202, <Code> ="30000").
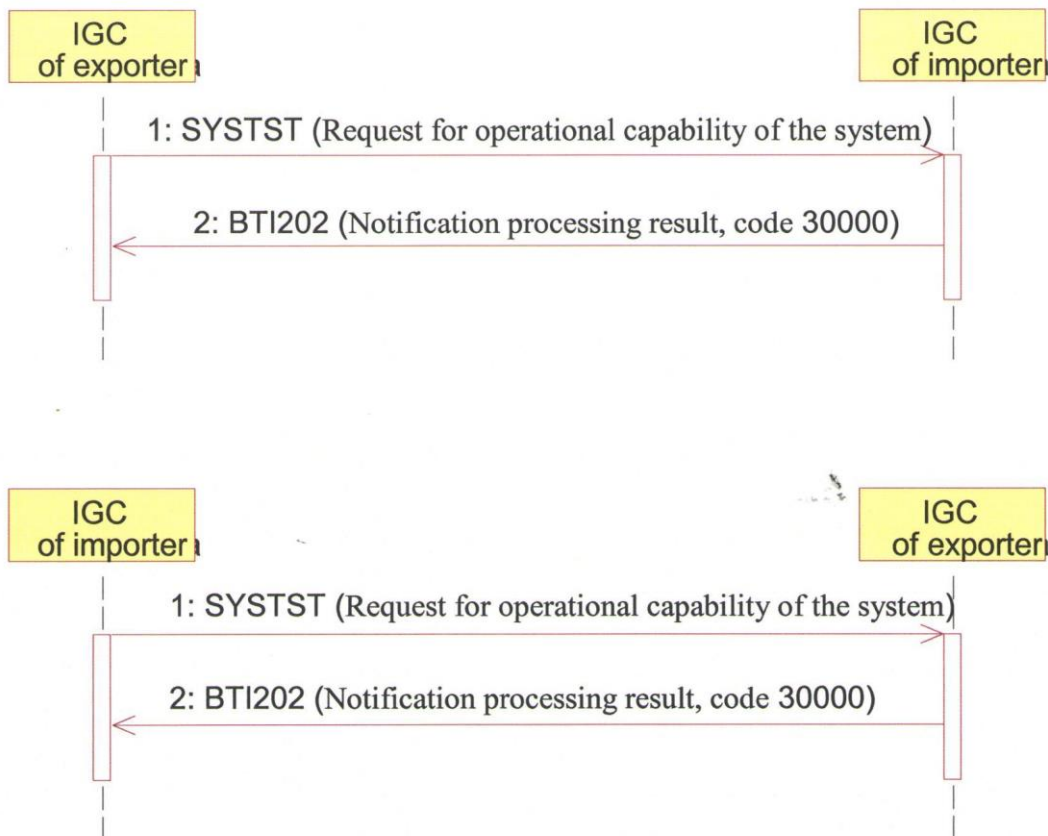

Fig. 7. Checking of automated information exchange system

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3. INFORMATION EXCHANGE SCHEDULE

The Parties establish the following schedule of ED exchange (Tab.2):

Tab.1. Indexes of information exchange schedule

Index	Meaning	Comments
Regime of electronic documents processing	The continuous	
Verification of authenticity and logical control of received ED	Within 1 hour after receiving	The Parties are sending each other the appropriate electronic internal documents (EID) in case of negative control results
Technological break	From 14.00 till 15.00 across Greenwich	The Parties is notifying each other about necessity of tecchnological break in advance.

Specifications on information exchange between the Customs Control Committee of the -
Ministry of Finance of the Republic of Kazakhstan and the General Administration of
Customs of the People's Republic of China Version 1.0

4. DESCRIPTION OF ELECTRONIC DOCUMENT'S FORMATS

4.1. List of used electronic documents

The list of electronic documents used in the process of information exchange between the Parties is presented in Tab. 3.

Tab.3. Used electronic documents

ED type	Document name	Application
Information ED		
BTI101	Notification about completed documents	For the notification on intention to export goods and vehicles to the customs territory of the neighboring Party. The notification includes data from the export cargo declaration or transport documents issued by customs. Application conditions see Tab. 4.
Office ED		
BTI202	Result of notification processing	For notifying the Information Gathering Centre (IGC) of importer on the result of notification processing in the IGC of exporter. Contains the processing result code (see the section).
SYSTST	Operability system Request	For the Parties' automated systems testing.

4.2. Composition of the transferred data

4.2.1. Composition of the data used for ED identification

Generated by each of the Exchanging Parties, ED should contain the following obligatory requisites which allow identifying any ED uniquely:

- application system identifier;
- message type identifier;
- unique document identifier;
- message sender identifier;
- message receiver identifier;
- message sending time;
- software version number.

4.2.1.1. Value of element OPMode

Notice ED on the issued documents (BTI101) can have various appointment which is defined by value of element OPMode. As values of element Index the symbolical code designations listed in Tab. 4 for a designation of required operation are used.

Tab. 4. The table of values of element OPMode

.ED Type	Value of element OPMode	Decoding
BTI101	A	For the notice on intentions of export of the goods and vehicles on customs area of the adjacent party. In the notice joins data from the export cargo customs declaration issued in customs or transport documents..
	M	At change of the data brought in the Cargo Customs Declaration, the adjacent party sends repeatedly in Importer IGC the notice, taking into account the made changes.
	D	At cancellation of moving of the goods, the adjacent party sends repeatedly in Importer IGC the notice on cancellation.

4.2.1.2 Structure of unique document identifier

The electronic document identifier (MessageIdentifier) – 36-symbol GUID- ED identifier, intended for the global identification of ED, created within the framework of information exchange.

GUID (Globally Unique Identifier) – sixteen-bite binary file, the independent space-time identifier. The symbolical kind of GUID is shown in Fig. 8.

x x x x x x x x	–	x x x x	–	x x x x	–	x x x x	–	x x x x x x x x x x x x
1 2 3 4 5 6 7 8		9 10 11 12		13 14 15 16		17 18 19 20		21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36

Fig.8. Symbolical kind GUID

The document identifier is generated by the participant of exchange forming a copy of the electronic document.

4.2.1.3 Structure of the message sender identifier

The message sender identifier (SenderIdentifier) is the two-symbol code intended for identification of the country-sender of the message. The country-sender of the message code:

KZCUSTOMS - for the messages sent by IGC of the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan;

CNCUSTOMS - for the messages sent by CCIC.

4.2.1.4 Structure of the message receiver identifier

The message receiver identifier (RecieverIdentifier) is the two-symbol code intended for identification of the country-receiver of the message. The country-receiver of the message code:

KZCUSTOMS - for the messages received by IGC of the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan;

CNCUSTOMS - for the messages received by CCIC.

4.2.1.5 The application system identifier

The application system identifier (ApplicationIdentifier) is the three-symbol code of application system intended for its identification. The code of application system, carrying out the information exchange between IGC of the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan and CCIC is BTI.

4.2.1.6 The message type identifier

The message type identifier (MessgeTypeIdentifier) is a six-symbol message type code, intended for its identification. Within the framework of an information exchange between IGC of the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan and the People's Republic of China customs bodies the following types of message codes are used:

BTI101 - Notification about completed documents;

BTI202 - Result of notification processing;

SYSTST - Operability system request.

4.2.2. Composition of application specific data

The composition of the requisites included into the completed documents notification is presented in Tab. 5

Tab. 5. Composition of transferred data of completed documents Notification (BTI101)

Appointment	Obligation	Comments
General data		
Special marks of customs body	0..1	
Operation sign	1	Primary information giving, change or information cancellation
Goods places quantity	0..1	
Information on movement of goods		
Date of goods release	1	
Unique Consignment Reference Number (UCR)	1	
Date and time of goods exportation	0..1	
Customs of export code	0..1	
Customs of registration code from Kazakhstan Party/ place of loading code from the Chinese Party	1	
Consignor information	0..1	Consignor name
Information on vehicle crossing the border		
Identifier of vehicle crossing the border	0..1	
Number for the identification of transportation (trip number/ flight number)	0..1	
Information on transport documents		

Specifications on information exchange between the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan and the General Administration of Customs of the People's Republic of China Version 1.0

Invoice number	0..1	
Information on containers		
Seal number	0..n	
Container number	0..1	
Information on the goods		
Goods code according to the Commodity Nomenclature	1	
Text description of the goods	1	
Quantity of units in pieces	0..1	
Information on the exporter of the goods		
The name of the company-exporter from the Kazakhstan Partye/code of exporter from the Chinese Party	1	

Notices:

1 – an obligatory field for filling (exactly one copy).

0..1 – a field unessential to filling (no more than one copy).

0..n – a field unessential to filling (quantity of copies unrestricted).

Unessential fields for filling will be transferred in case of their availability in databases of the Cargo Customs Declaration of the parties.

The structure of the requisites included in result of notification processing is presented in Tab. 6.

Tab.6. Structure of the transferred data - Result of notification processing (BTI202)

Appointment	Obligation	Comments
General data		
The unique message identifier	1	
Unique number of transportation (UCR)	0..1	If when the receipt of BTI101 message, the UCR is required. If the receipt of SYSTST message, the UCR shall be none.
Processing Result Code	1	
Time of message BTI101 processing	1	
BTI101		
Notes	0.. 1	

The structure of the requisites included into the operability system request is presented in Tab. 7.

Tab. 7. Structure of transferred data of the operability system request (SYSTST)

Appointment	Obligation	Commentary
The general data		
System code	1	

Specifications on information exchange between the Customs Control Committee of the Ministry of Finance of the Republic of Kazakhstan and the General Administration of Customs of the People's Republic of China Version 1.0

4.3. Rules of the unitized-logic control

Filling of the information on date and time

At filling of the elements containing the information on date and time, the time zone in a format hh:mm where hh are hours, and mm – without fail should be specified minutes.
Logic check of filling of the information on a time zone should be carried out for following elements:

    SendDateTime
    ExitDate
    CustomsReleaseDateTime
ProcessDate.

4.4. The notice on the issued documents

4.4.1.   The UML-diagram
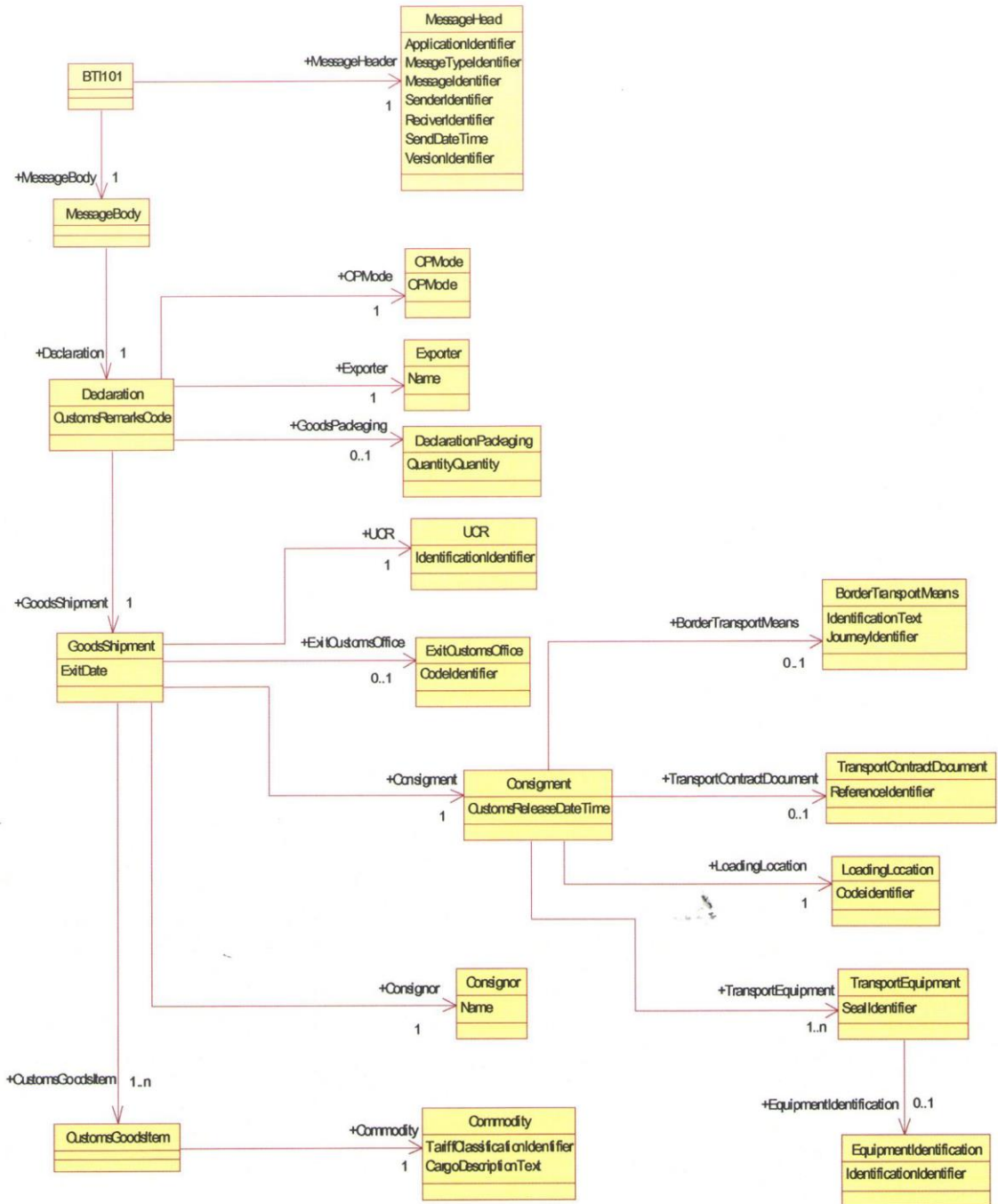
Fig.5. Block diagram of BTI101 element

Specifications on information exchange between the Customs Control Committee of the   -
Ministry of Finance of the Republic of Kazakhstan and the General Administration of
Customs of the People's Republic of China Version 1.0

4.4.2 Structure of notification about completed documents (BTI101)

Element	Element description	Type	Type description	PI.
BTI101	Root element of ED «Notification about completed documents»	BTI101Type	Aggregate type. Details of ED «Notification about completed documents»	[1]

Element	Element description	Type	Type description	PI.
1. MessageHeader	Message Header	MessageHeadType	Aggregate type. Message Header	[1]
ApplicationIdentifier	Application Identifier	SoftVersion	Soft Version	[1]
MessgeTypeIdentifier	Message Type Identifier	MessageKind	Message Kind	[1]
MessageIdentifier	Unique document identifier	DocumentIDType	Identifier. Text line. Up to 36 symbols.	[1]
SenderIdentifier	Sender identifier	ParticipantIdentifier	Sender/receiver identifier	[1]
ReciverIdentifier	Receiver identifier	ParticipantIdentifier	Sender/receiver identifier	[1]
SendDateTime	Message sending time	DateTimeCustType	Date. Time. Date and time in the format YYYY-MM-DDThh:mm:ss. In accordance with the standard ISO 8601.	[1]
VersionIdentifier	Version number	SoftVersion	SoftVersion	[1]

Element	Element description	Type	Type description	PI.
MessageBody	The information on the declaration.	MessageBodyType	Aggregate type. The information on the declaration.	[1]
MessageBody	The information on the declaration.	DeclarationType	Aggregate type. The information on the goods and vehicles.	[1]
Declaration	The information on the goods and vehicles.	DeclarationType	Aggregate type. The information on the goods and vehicles.	[1]
CustomsRemarksCode	Special marks of customs.	CustomsRemarkType	Customs marks. 11 symbols.	[1]
OPMode	Type Mode - PI change PI, cancellation PI moves for the first time,.	OPModeType	The operation sign - PI moves for the first time, change PI, removal PI.	[1]
GoodsShipment	The information on moving of the goods.	GoodsShipmentType	Aggregate type. The information on the moved goods	[1]
111.1.1 ExitDate	Sending date.	DateCustType	D. Date in format YYYY-MM-DD with instructions of a time zone in format HH:MM. Under the standard format ISO 8601.	[0..1]
111.1.2 UCR	The identifier of a commodity lot.	UCRType	Aggregate type. Unique number of transportation (UCR).	[1]
1 IdentificationIdentifier	Unique number of transportation(UCR).	UCRType	Unique number of transportation (UCR). Contains to 35 alphanumeric symbols.	[1]