

TSW FACT SHEET: HOW NOTIFICATIONS WORK

WHO SHOULD READ THIS

This fact sheet is for operators of Customs Controlled Areas (CCAs) and MPI premises, and anyone submitting:

- Import Declarations
- Export Declarations
- Inward Cargo Reports (ICRs)
- or Cargo Reports Export (CREs)

Specific guides have been produced for ports and Air Cargo Terminal Operators (CTOs) – Customs and MPI are working closely with them on their requirements. It's best to read this guide along with the [Summary of WCO3 Transactions](#).

WHAT ARE WCO3 NOTIFICATIONS?

WCO3 notification messages provide Customs and MPI statuses and directions to cargo custodians such as ports, Air Cargo Terminal Operators (CTOs), Customs Controlled Areas (CCAs) and MPI Transitional Facilities (TFs). They replace **all** the existing old system response messages and notifications. Notifications can also be set up to go to any other recipients. This is explained in Table 1 below. Cargo custodians and other recipients can choose to receive notification messages via system to system messaging (aka EDI), or via email.

WHAT IS A LOCATION OF GOODS?

A Location of Goods is any premises approved by Customs and MPI for holding imported goods, or goods for export, before clearance. This is typically sea ports, Air CTOs, freight forwarder premises and other joint CCAs and Transitional Facilities. A Location of Goods has a code that you usually put in the Location of Goods field of a lodgement so they get a notification of clearance or directions. The sea port of discharge or loading does not need to be shown as the Location of Goods on an import or export declaration. More information is given on this in the table below.

WHERE DO NOTIFICATIONS COME FROM?

1. You'll receive 3 separate agency responses for imports

For imports, cargo custodians will be sent, and must recognise and act on, **separate TSW status notifications** from Customs, MPI Biosecurity and MPI Food, for each shipment. If one agency gives directions to hold the shipment such as for inspection, treatment or cash payment, then the shipment cannot be released until an approval notification from that agency is received. Cargo custodians' software might collate the responses to give a single status to act on – check with your software provider to see if this is the case for you.

2. Import notifications come from two different transactions

Notifications for imports will be generated from risk assessment of two different transactions:

- a. Inward Cargo Reports (ICRs) submitted by the carrier and the consolidator; and
- b. Import Declarations or Write-off ICRs submitted by whoever is responsible for clearance.

MPI will match its ICR and Import Declaration/Write-off ICR responses to ensure they don't conflict e.g. an ICR response says approved to move, while the Import Declaration response says held for container treatment. Customs will do the same.

3. Notifications are automatically sent to the port or specified Location of Goods

Notifications are always automatically sent in the follow cases:

- a. To the 'Location of Goods' specified in the transaction
- b. For sea freight, to the Port of Discharge (imports) or the Port of Loading (exports) **only if no location of goods is specified.**

4. You can notify others automatically as well

Any other 'notify' parties set up by the submitter of any transaction will also get status notifications according to the status types the submitter has specified they are to receive e.g. cleared, held, cancelled. There are two ways to set up 'notify' parties – in the 'Notify' section of the transaction, or in the 'Notification Preferences' section of a TSW Registration.

5. Electronic transshipment will replace manual systems after piloting in 2019.

New electronic Domestic Transshipment Request (DTR) notifications will also **ultimately** replace the current manual approval systems for domestic transshipments i.e.:

- a. Customs' 'Paperless Transshipments' and hard copy 'Permit to Remove' for movement in NZ 'under bond'; and
- b. MPI's eBACCA requirements for movement off-wharf.

However, **the requirement for electronic Domestic Transshipment Requests is not being mandated in 2018** with the other WCO3 messages. While the functionality is built and fully tested in TSW, we will run a thorough pilot and consult with industry before this major business process change is mandated. This won't be till 2019. In the meantime, cargo custodians can continue to apply the manual approval systems, unless a shipment is held. But cargo custodians should develop the ability to receive DTR notifications now in preparation for the pilot and full go-live.

6. Car ships MPI notifications depend on port arrangements

For car ships, MPI notifications depend on arrangements at each port e.g. some ports have specific Location of Goods codes for car ships, separate to the Port of Discharge. This code needs to be stated in the Location of Goods field on the Import Declaration. Please consult with

MPI on the process.

7. Important –Cargo Custodians must accept electronic ‘delivery orders’

Before TSW went live in 2013, we consulted with industry groups on the introduction of electronic delivery notifications or ‘delivery orders’ when the import or export clearance is submitted using the new WCO3 format messages. These notifications contain:

- Customs and MPI delivery instructions for imports (whether final or conditional release)
- Customs clearance for exports.

In 2017, Customs updated CCA Procedure Statements to require all CCAs to accept and act on electronic delivery notifications sent via email or EDI messaging.

Please note this does not mean electronic delivery notification is mandatory for all consignments. Hard copy delivery orders, PDFs and emailed copies of these continue to be acceptable, as provided for in CCA Procedure Statements. We are just introducing the requirement that if TSW notifications are provided, they **must** be accepted instead of hard copies. We are not mandating that all delivery notifications must be electronic yet.

Note that currently Ports have not yet set up the ability to receive WCO3 ICR port notifications for empties and export transhipments. This means we cannot mandate the WCO3 ICR till all ports can receive them. We are working to get all ports onto WCO3 as soon as possible, and will advise industry when this is done.

Also, Air NZ and Menzies Aviation are not yet ready to receive **any** electronic notifications. We will advise when they are – in the meantime, current manual processes apply.

Table 1 below summarises how notifications are triggered via each WCO3 transaction.

Table 2 sets out the notification message codes cargo custodians may receive for each WCO3 transaction, and what status the code signifies.

Table 3 provides the MPI Container statuses that may be provided in an ICR, or a CRE that contains an International Transhipment request.

TABLE 1 – HOW NOTIFICATIONS ARE TRIGGERED

Note: As explained in note 4 on page 2 above, for all the WCO3 transactions below, any Notifications recipients stated in the Notifications section of the transaction, or default Notifications recipients set up by the submitter, will also be notified according to the status types the submitter has specified they are to receive e.g. cleared, held, cancelled.

	Sea freight FCL, Bulk and Break Bulk Shipments, Empty Containers and Transhipments for Export	Sea freight LCL Shipments	Airfreight
WCO3 Import Declaration	<ol style="list-style-type: none"> The Port of Discharge stated on the Declaration is automatically notified of the cleared or held status EXCEPT: <ul style="list-style-type: none"> Where a location code has been included in the <i>Location of Goods</i> field, as this implies the container is no longer at the port. Leave that field empty if the container is at the port as the port will be awaiting approval to move or other directions. If you want others to be notified in addition to the port, use Notifications as explained in bullet point 3 below. Where Method of Payment is Cash. In that case, a 'cleared' advice is not sent to the port till the cash statement is paid. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status – with the Cash Payment exception as above. 	<ol style="list-style-type: none"> There is no automatic notification to the Port of Discharge as the port does not usually deal with individual LCL shipments. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status, except where Method of Payment is Cash. In that case, a 'cleared' notification won't be sent till the cash statement is paid. 	<ol style="list-style-type: none"> The Location of Goods field is mandatory, and the location stated will be notified of the held or cleared status except where Method of Payment is Cash. In that case, a 'cleared' notification won't be sent till the cash statement is paid. Note you'd only show the Air CTO as the Location of Goods if the consignment is not moving to a freight forwarder CCA before clearance
WCO3 ICR – clearing low-value import consignments (write-offs) and imported Empty Shipping Containers	<ol style="list-style-type: none"> The Port of Discharge stated on the ICR is automatically notified of the cleared or held status EXCEPT where a code has been included in the Location of Goods field. Leave that field empty if you are responsible for ensuring the port receives the status notification. If you want others to be notified in addition to the port, use Notifications as explained in in note 4 on page 2 above. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status. 	<ol style="list-style-type: none"> There is no automatic notification to the Port of Discharge as the port does not usually deal with individual LCL shipments. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status. 	<ol style="list-style-type: none"> The Location of Goods field is mandatory, and the location stated will be notified of the held or cleared status. Note you'd only show the Air CTO as the Location of Goods if the consignment is not moving to a freight forwarder CCA before clearance.

	Sea freight FCL, Bulk and Break Bulk Shipments, Empty Containers and Transhipments for Export	Sea freight LCL Shipments	Airfreight
WCO3 Export Declaration	<ol style="list-style-type: none"> 1. The Port of Loading stated on the Declaration is automatically notified of the cleared or held status EXCEPT where a code has been included in the Location of Goods field. Leave that field empty if you are responsible for ensuring the port receives the Customs Export Delivery order (CEDO). If you want others to be notified in addition to the port, use Notifications as explained in bullet point 3 below. 2. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status. 	<ol style="list-style-type: none"> 1. There is no automatic notification to the Port of Loading as the port does not usually deal with individual LCL shipments. 2. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status. 	<ol style="list-style-type: none"> 1. The Location of Goods field is mandatory, and the location stated will be notified of the held or cleared status. 2. Note you'd only show the Air CTO as the Location of Goods if the consignment is not part of a consolidation.
WCO3 CRE – clearing individual export consignments within a consolidation; clearing Empty Containers for export loading	<ol style="list-style-type: none"> 1. The Port of Loading stated on the CRE is automatically notified of the cleared or held status EXCEPT where a code has been included in the Location of Goods field. Leave that field empty if you are responsible for ensuring the port receives the Customs Export Delivery order (CEDO). If you want others to be notified in addition to the port, use Notifications as explained in bullet point 3 below. 2. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status. 	<ol style="list-style-type: none"> 1. For individual consignments within the container, there is no automatic notification to the Port of Loading as the port does not usually deal with individual LCL shipments. 2. The Location of Goods field is not mandatory, but the location stated in this field will be notified of the held or cleared status. 	The Location of Goods field is mandatory , and the location stated will be notified of the held or cleared status.
WCO3 Consolidator OCR – getting Customs' authority to load consolidations for export	N/A	There is no 'Location of Goods' field in the OCR. So when the OCR is to provide a summary FAK container CEDO for the Port of Loading, the Port of Loading must be shown as a notify party in the 'Notifications' section of the OCR.	There is no 'Location of Goods' field in the OCR. So when the OCR is to provide a summary authority for the CTO to load the entire consolidation for export, the CTO must be shown as a notify party in the 'Notifications' section of the OCR.

	Sea freight FCL, Bulk and Break Bulk Shipments, Empty Containers and Transhipments for Export	Sea freight LCL Shipments	Airfreight
WCO3 International Transhipment Request – within ICR or CRE lodgement	The Port of Loading or Air CTO shown as the transhipment destination on the ITR is automatically notified of the approval or directions	The Port of Loading or Air CTO shown as the transhipment destination on the ITR is automatically notified of the approval or directions	The Port of Loading or Air CTO shown as the transhipment destination on the ITR is automatically notified of the approval or directions.
WCO3 Domestic Transhipment Request - within ICR or CRE lodgement	The premises shown as the location of goods on the DTR is automatically notified of the approval or directions.	The premises shown as the location of goods on the DTR is automatically notified of the approval or directions.	The premises shown as the location of goods on the DTR is automatically notified of the approval or directions.

TABLE 2: WCO3 NOTIFICATION MESSAGE CODES AND THEIR MEANING

Note:

1. Two **levels** of notification are sent within CRE and ICR notifications – Lodgement level and Consignment level. The Lodgement-level status applies to the report and all the consignments in it. Consignment-level statuses relate to each individual consignment.
2. Two **types** of status may be included within CRE and ICR notifications – Clearance Status and Movement Status. This depends on whether Domestic or International Transshipment (DTR or ITR), or ‘write-off’ clearance, has been requested for a container or consolidation, or any of the consignments within it. An FAK container or a consolidation can only move or be released from the port if each consignment in it is either approved to move or ‘written-off’.

Lodgement level								
Code	Description	Lodgement Status for cargo custodian	Declarations		Reports			
Note: Ports and Location of Goods sites will not receive the greyed out notifications			IM1	EX1	OCR	CRE	ICR	
801	Lodgement rejected	Error	x	x				
802	Lodgement routed for Evaluation - Please await requirements	Further update to follow	x	x	x	x	x	
803	Entry routed to Inspections Planner - Please Arrange Exam	Further update to follow	x	x				
804	Entry routed to Document Verification - Documents required as specified	Further update to follow	x	x				
805	Lodgement held, instructions as specified	Further update to follow	x	x				
806	Entry routed to Service Delivery - Documents required as specified	Further update to follow	x	x				
807	Trust Delivery already given, method of payment as specified	Cleared	x	x				
814	Lodgement cancelled	Previous status no longer applies	x	x	x	x	x	
815	Lodgement restored	Lodgement restored	x	x	x	x	x	
816	Deposit may be uplifted, method of payment as specified	Cleared	x	x				
819	Delivery Order Herewith, method of Payment as specified	Cleared	x	x				
822	Entry Cleared, cash to pay prior to delivery	Further update to follow	x	x				
825	Delivery Order Herewith, method of payment as specified - Entry routed to Document Audit	Cleared	x	x				

Code	Description	Lodgement Status for cargo custodian	Declarations		Reports		
			IM1	EX1	OCR	CRE	ICR
826	Entry cleared, cash to pay prior to delivery - Entry routed to Document Audit	Further update to follow	x	x			
830	Adjustment accepted	Cleared	x	x	x	x	x
832	Refund Approved, amount as specified	Cleared	x	x			
833	Short payment due, amount and due date as specified	Cleared	x	x			
835	Delivery Order Herewith, method of payment as specified - Please note warnings, correct if necessary	Cleared	x	x			
836	Entry cleared, cash to pay prior to delivery - Please note warnings, correct if necessary	Further update to follow	x	x			
837	Adjustment has placed entry in error state	Error	x	x			
839	Entry routed for Audit - Please provide documents as specified	Further update to follow	x	x			
840	Entry Rejected, reasons as specified	Further update to follow	x	x			
841	ICR / CRE / OCR / ANA / AND rejected, error report attached	Error			x	x	x
845	Transaction Accepted	Cleared	x	x			
847	Outward Report Accepted	Cleared			x		
858	Customs Processing Error - this and any other response that has no explanation text means there is something technically wrong with the message and you will need to contact your software provider	Error	x	x	x	x	x
B04	MPI Biosecurity - Cleared	Cleared	x				
B05	MPI Biosecurity - Directions Given	If text provided contains some of the following Responses 'MPI HOLD INTERNAL EXTERNAL AUDIT WASH FUMIGATE' then the shipment is not cleared. Specific holds are placed on all containers related to that shipment at the port	x				

B06	MPI Biosecurity - Directions Given (Final)	If text provided is 'MPI APPROVAL TO MOVE TO ATF' this means the MPI biosecurity Port holds can be removed for all containers related to that lodgement.	x				
Code	Description	Lodgement Status for cargo custodian	Declarations		Reports		
			IM1	EX1	OCR	CRE	ICR
B07	MPI Biosecurity Cargo Report Notification – consignment status as specified by accompanying consignment status code	See Consignment Level status code table below					x
C06	Customs Cargo Report Notification – consignment status as specified by accompanying consignment status code	See Consignment Level status code table below				x	x
C07	Customs Outward Cargo Report Notification	Information only			x		
F04	MPI Food - Cleared	Cleared	x				
F05	MPI Food - Directions Given	Directions given	x				
F06	MPI Food - Directions Given (Final)	Directions given (Final)	x				
N01	Agency Instructions as specified	Agency instructions as specified	x	x	x	x	x
T01	Transshipment Approval	Transshipment Approval				x	x

	Consignment Level							
Code	Description	Consignment Status for cargo custodian					X	X
ACK	Receipt Acknowledged	Receipt Acknowledged	X	X	X		X	X
ERR	Error	For information only – not cleared. Submitter needs to resubmit report					X	X
HLD	Held for agency intervention	Held – Either MPI or NZCS wish to inspect, or treatment directions are provided. Further update to follow.					X	X
WOF	The consignment has been cleared without the need for an Import or Export Declaration	Cleared by the notifying agency – shipment may be released if all agencies have sent a 'cleared' status					X	X
IDR	Import Declaration required	For information only – not cleared. Someone needs to submit an Import Declaration						X
EDR	Export Declaration required	For information only – not cleared. Someone needs to submit an Export Declaration					X	
MDR	MPI Import Declaration required	For information only – not cleared. Someone needs to submit an MPI Import Declaration						X
CIR	Consolidation ICR required	For information only – Not cleared. Freight Forwarder needs to submit an ICR at house bill level					X	X
ITA	International Transshipment Approved	Movement approved by the notifying agency. Shipment may be moved if all agencies have sent an approved status. Note: Movement must comply with the 'Mode of Transport for Transfer'.					X	X
ITD	International Transshipment Declined	Movement declined – await further instructions					X	X
DTA	Domestic Transshipment Approved	Movement approved by the notifying agency. Shipment may be moved if all agencies have movement approved status. Note: Movement must comply with the 'Mode of Transport for Transfer'.						X
DTD	Domestic Transshipment Declined	Movement declined – await further instructions						X
RSC	Rescind previous status	ICR has been updated by the submitter and will be reassessed by both agencies. Previous clearance rescinded. Further updates to follow.					X	X

TABLE 3: MPI CONTAINER STATUSES FOR ICRS

- MPI Container Statuses (MCS's) for consignments on an ICR could be sent in conjunction with a specific shipment clearance status (Held) or Movement Approval Status.
- The container statuses are sent per container and are primarily aimed at the mitigation of empties and movement of FAK containers in the ICR.
- A combination of MCS text could be sent e.g. INTERNAL EXTERNAL

Status code	MCS TEXT	Action	What it means for Port Operators
MCS	HOLD	●	Container not cleared. A hold is put on the specified containers at Port
MCS	INTERNAL	●	
MCS	EXTERNAL	●	
MCS	AUDIT	●	
MCS	WASH	●	
MCS	FUMIGATE	●	MPI biosecurity Port hold can be removed for specified containers
MCS	RELEASED	●	
MCS	MPI APPROVAL TO MOVE TO ATF	●	