CARDIT V2.1 – guidelines for populating the applicable regulation information

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1 Introduction

The applicable regulation information segment in CARDIT V2.1 (M48) is provided when the provision of electronic advance data (EAD) under article 08-002 of the Convention Regulations (Implementing provisions for providing electronic advance data) has been requested by the destination country in accordance with standard procedures for preloading advance cargo information (PLACI).

Items containing goods may be subject to specific import customs- and security-based requirements for providing EAD. Letters, postcards, printed papers (other than books) or letter-post items containing correspondence or items for the blind, which are not subject to customs duties, are exempted from these requirements. The provision of EAD encompasses the exchange of EDI messages under the ITMATT/CUSITM/CUSRSP/ITMREF/REFRSP standards, and does not, in itself, necessitate the population of the CARDIT V2.1 applicable regulation information.

To facilitate the fulfilment of PLACI requirements, the CARDIT V2.1 applicable regulation information segment is populated once it has been ensured that all the required EAD (ITMATT data) has been submitted to the destination authority and that there are no known outstanding referrals at the time of transmission of the CARDIT message and handover to the carrier. Except in the case of a do not load (DNL) message being issued, mail should continue to move through the supply chain during the pre-loading advance cargo information (PLACI) process, unless otherwise specified by a process bilaterally agreed between a carrier and a designated operator.

UPU member countries and their designated operators have the option of specifying security requirements for EAD or EAD/PLACI. The list of member countries and territories that have declared specific customs- or security-based requirements for the mandatory provision of EAD or EAD/PLACI (ITMATT / applicable regulation information) is available on the UPU website at:
www.upu.int/getmedia/b606dcbc-c9d3-4709-9c1e-2f3e4e0d8db2/mandatoryEadCountries.pdf.

As a prerequisite to the population of the applicable regulation information in CARDIT for EAD/PLACI purposes, it should be ensured at the time of the "original" (9), "change" (4) or "definitive/final" (47 (default value)) CARDIT message that *ITMATT* (item level) and *PREDES* (dispatch level) *messages have been sent to the destination designated operator for all items subject to EAD in the consignment and there are no outstanding referrals*.

It should be noted that, as the relationships between designated operators and carriers are based on commercial agreements, the population of the ar-information should be configurable based on those agreements.

2 Population of the applicable regulation information in CARDIT V2.1

The applicable regulation information contains four data elements that must be populated:

– ar-transport-direction;

– ar-border-agency-authority;

– ar-reference-ID; and

– ar-flag.

1	AR (Applicable Regulation) INFORMATION (Conditional information repeating up to 9 times)				
Level	M/C	Dataflow element name	Format	Example	Description
2	M	ar-transport-direction	an..3	3	Code identifying if the legislation being reported in the segment below relates to the export, transit or import of goods. Codes from EDIFACT code list 8323. 1 Export 2 Import 3 Transit *NOTE: Value 2 is normally used.*

2	PRE CONSIGNING NOTIFICATION AND STATUS INFORMATION (Mandatory information repeating up to 9 times)				
Level	M/C	Dataflow element name	Format	Example	Description
3	M	ar-border-agency-authority	a3	CUS	See 6.2.11 – Applicable border agency authority
3	M	ar-reference-ID	an..35	IMP-US-20110310-TSA/EA/12345	See 6.2.10 – Applicable security regulation
3	M	ar-flag	an..2	1	Indication, with value 1, that all applicable regulations are met.[3] No other value is allowed. This indication applies to the full consignment. In case the applicable regulations are not met for an item in one of the receptacles, the item must be removed from the receptacle/consignment before consignment closure. See 6.2.12 – applicable regulations.

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[3] The ar-flag indication within the CARDIT message serves as confirmation from the origin postal operator that all required electronic advance data (EAD) has been submitted to the applicable authority in line with all applicable regulations and that there was no known outstanding referral (i.e. RFI – request for information; RFS – request for scanning; DNL – do not load) at the time of transmission of the CARDIT message and handover to the carrier.

The pre-consignment notification and status information can be repeated up to nine times (see following paragraph) in a message where the information pertaining to the consignment, import and transit could be mentioned.

The population of the four data elements is as follows:

Dataflow element name	Value	Notes on population
ar-transport-direction	2	To fully identify the agency authority, it is necessary to combine it with the type of authority to which the regulation relates. This is provided in the data element ar-transport-direction. When applicable regulation information is provided for EAD purposes, the ar-transport-direction contains "IMP" (import) and the applicable regulation border agency authority contains "CUS" (i.e. the next element). **Note**. – In the case of transit (operationally), a new consignment would be prepared by the transit operator. For information dividing a consignment into a transit and an import consignment, this can be achieved by mentioning the destination IMPC codes. In the case of transit, the consignment would be value 3 (transit) and the second to final destination would be value 2. The CARDIT facilitates multiple occurrences of ar-information (up to nine occurrences).
ar-border-agency-authority	CUS	Customs This is the authority informed of the consignment. The allowed values, as provided in M48, are: – CUS Customs – AVS Aviation security – BOC Border control – QRT Quarantine

Dataflow element name	Value	Notes on population
ar-reference-ID	IMP-EU-20230404-EU2015/1998 or IMP-US-20110310-TSA/EA/12345	The ar-reference-ID is a long reference number repeated in each message. It is identified by four elements separated by a "-" character: Since the information is sent at the request of the destination, all related information should be from the view of the destination, therefore as import (ref ar-transport-direction). If the airline(s) used want to know that the consignments they are transporting meet the applicable regulations in the countries they are going through, the ar-reference-ID could be that of the transit country for the first CARDIT. It is made up of: i the flow to which the regulation relates, format A3 (IMP Import); other values are possible: • TRA Transit • EXP Export ii the ISO 3166-2 country code of the applicable country to which the regulation relates, format a2; iii the regulation issuance date, format YYYYMMDD; iv regulation identification, format an..35. This information is available in the UPU Customs Compendium. The UPU Customs Compendium contains country-specific information on customs clearance processes. It is accessible via the UPU website at: https://www.upu.int/getmedia/b606dcbc-c9d3-4709-9c1e-2f3e4e0d8db2/mandatoryEadCountries.pdf. **Note**. – Regulation references should not be hardcoded into IT systems as they may be subject to change.
ar-flag	1	Indication, with value 1, that all applicable regulations have been met. No other value is allowed. This indication applies to the full consignment.

The following are examples of SG2 GOR-FTX applicable regulation information:

–   When sending consignments to the United States of America (US)

```
GOR+2'
FTX+REG+++CUS:IMP-US-20210310-TSA/EA/12345:1'
```

–   When sending consignments to Belgium

```
GOR+2'
FTX+REG+++CUS:IMP-EU-20230404-EU2015/1998:1'
```

–   When sending consignments to Australia

```
GOR+2'
FTX+REG+++CUS:IMP-AU-20110423-AU764/Q3:1'
```

– When sending consignments to the US via Belgium

```
GOR+2'
FTX+REG+++CUS:IMP-US-20210310-TSA/EA/12345:1'
```

Or depending on commercial agreement with carrier

First CARDIT – destination Belgium

```
GOR+3'
FTX+REG+++CUS:TRA-EU-20230404-EU2015/1998:1'
```

Second CARDIT – destination US

```
GOR+2'
FTX+REG+++CUS:IMP-US-20210310-TSA/EA/12345:1'
```

As mentioned above, the pre-consignment notification and status information can be repeated up to nine times. SG2 can be repeated up to nine times. Each SG2 should have one GOR segment with up to nine FTX segments:
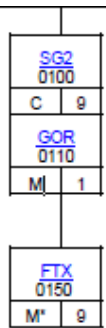
Branching diagram   *EDIFACT message specification*

SG2:	GOR-FTX	C				APPLICABLE REGULATION INFORMATION
GOR	GOVERNMENTAL REQUIREMENTS	M				
8323	TRANSPORT MOVEMENT, CODED	M	an..3	an..3		ar-transport-direction
						Allowed values:
					1	Export
					2	Import
					3	Transit
						NOTE: The usual value is 2 (import) as AR information is sent at the request of the destination.

Example: GOR+2'

FTX	FREE TEXT	C				
4451	TEXT SUBJECT QUALIFIER	M	an..3		REG	
4453	not used					
C107	not used					
C108	TEXT LITERAL	M				
4440	Free text	M	an..70	a3		ar-border-agency-authority
						Allowed values:
					CUS	Customs
					AVS	Aviation security
					BOC	Border control
					QRT	Quarantine
4440	Free text	M	an..70	an..35		ar-reference-ID
4440	Free text	M	an..70	an..2		ar-flag
						Information whether the required elements have been provided to the applicable authority.
					1	Applicable regulations are met

Example: FTX+REG+++CUS:IMP-AU-20110423-AU764/Q3:1'

3   Note on late referrals

Late referrals are considered an exception process. The entity with custody of the consignment needs to handle the situation. The origin designated operator should be responsible for handling all referrals before physical consignment handover to the ground handler/carrier (not late, i.e. already in the possession of the ground handling agent or carrier).

If a referral is received after consignment handover/before consignment closure and/or after the CARDIT 9 or 4 or 47 has been sent, the designated operator must ensure that local procedures/protocols are in place in order to advise the ground handler or carrier that a referral has been received.

It should be noted that there is no EDI flow to accommodate the scenario for communicating information regarding late referrals.

The population of the ar-information should be configurable based on the operator-carrier agreement.

Note. – Potential solutions for EAD requirements for transit have yet to be defined by the relevant stakeholders and standing groups of the Postal Operations Council.