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## Economic and Social Commission for Asia and the Pacific Ministerial Conference on Transport

### Third session

Moscow, 5-9 December 2016

## Ministerial Declaration on Sustainable Transport Connectivity in Asia and the Pacific

*We, the Ministers of transport and representatives of the members and associate members of the Economic and Social Commission for Asia and the Pacific attending the Ministerial Conference on Transport held in Moscow from 5 to 9 December 2016,*

*Affirming our commitment to the implementation of General Assembly resolution 70/1 of 25 September 2015, entitled “Transforming our world: the 2030 Agenda for Sustainable Development”, in which the Assembly adopted a collective set of goals and targets to achieve sustainable development in its three dimensions – economic, social and environmental – in a balanced and integrated manner,*

*Acknowledging the Vienna Programme of Action for Landlocked Developing Countries for the Decade 2014-2024,<sup>1</sup> the Programme of Action for the Least Developed Countries for the Decade 2011-2020<sup>2</sup> and the SIDS Accelerated Modalities of Action (SAMOA) Pathway,<sup>3</sup>*

*Recalling General Assembly resolution 70/260 of 15 April 2016 on improving global road safety,*

*Welcoming the Brasilia Declaration on Road Safety<sup>4</sup> and the decisions contained therein on strengthening road safety management and improving legislation and enforcement,*

*Appreciating the progress made in the implementation of the Ministerial Declaration on Transport Development in Asia and the Pacific,<sup>5</sup> including the Regional Action Programme for Transport Development in*

<sup>1</sup> General Assembly resolution 69/137, annex II.

<sup>2</sup> *Report of the Fourth United Nations Conference on the Least Developed Countries, Istanbul, Turkey, 9-13 May 2011 (A/CONF.219/7), chap. II.*

<sup>3</sup> General Assembly resolution 69/15, annex.

<sup>4</sup> Adopted at the Second Global High-level Conference on Road Safety, held in Brasilia on 18 and 19 November 2015 to review progress in implementing the Global Plan for the Decade of Action for Road Safety 2011-2020. Available from [www.who.int/violence\\_injury\\_prevention/road\\_traffic/Brasilia\\_Declaration/en](http://www.who.int/violence_injury_prevention/road_traffic/Brasilia_Declaration/en).

<sup>5</sup> Commission resolution 68/4, annex.

Asia and the Pacific, phase II (2012-2016),<sup>6</sup> and the Regional Strategic Framework for the Facilitation of International Road Transport,<sup>7</sup>

*Recognizing* that the Intergovernmental Agreement on the Asian Highway Network,<sup>8</sup> the Intergovernmental Agreement on the Trans-Asian Railway Network,<sup>9</sup> the Intergovernmental Agreement on Dry Ports,<sup>10</sup> the Regional Strategic Framework for the Facilitation of International Road Transport and the Regional Cooperation Framework for the Facilitation of International Railway Transport<sup>11</sup> provide a set of institutional frameworks for enhancing transport connectivity in the Asia-Pacific region,

*Welcoming* the signing by China, Mongolia and the Russian Federation, during the Ministerial Conference on Transport, of the Intergovernmental Agreement on International Road Transport along the Asian Highway Network as a significant move to promote the use of the Asian Highway for connectivity, and noting that this agreement is open for accession to all parties to the Intergovernmental Agreement on the Asian Highway Network,

*Noting* the discussions held at bilateral and multilateral levels with the purpose of promoting the International North-South Transport Corridor, including the trilateral meeting of the Presidents of Azerbaijan, the Islamic Republic of Iran and the Russian Federation, held in Baku in August 2016,<sup>12</sup>

*Noting also* the launch of the Kazakhstan-Turkmenistan-Islamic Republic of Iran railway line in December 2014, as a section of the International North-South Transport Corridor,

*Convinced* that sustainable transport connectivity is a major contributor to inclusive and sustainable development, which unlocks potential by connecting people to opportunities and businesses to markets, and which can be achieved only if transport infrastructure is built and services are delivered through sound policies, adequate institutions and harmonized norms, standards and practices,

*Acknowledging* the important role of transport and transit corridors in ensuring international cooperation for sustainable development<sup>13</sup> and the need for comprehensive cooperation among all modes of transport for promoting sustainable multimodal transit corridors,<sup>14</sup>

*Emphasizing* the need to develop integrated intermodal transport and logistics systems, incorporating road, railway, water and air transport, that support sustainable development by optimizing resources, improving the modal choice and by being safe, environmentally sound and affordable,

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<sup>6</sup> Commission resolution 68/4, annex, appendix I.

<sup>7</sup> Ibid., appendix II.

<sup>8</sup> United Nations, *Treaty Series*, vol. 2323, No. 41607.

<sup>9</sup> Ibid., vol. 2596, No. 46171.

<sup>10</sup> Commission resolution 69/7, annex.

<sup>11</sup> Commission resolution 71/7, annex.

<sup>12</sup> [www.mfa.gov.az/news/909/4259](http://www.mfa.gov.az/news/909/4259).

<sup>13</sup> General Assembly resolution 69/213.

<sup>14</sup> General Assembly resolution 70/197.

*Highlighting* the need to promote safe, smart and environmentally sound intermodal or multimodal transport corridors with seamless physical and operational connectivity,

*Reaffirming our commitment* to improving road safety in Asia and the Pacific,<sup>15</sup>

*Emphasizing* the importance of the further development of urban public transport systems and the facilitation of non-motorized transport for more equitable, healthier and less congested urban environments,

*Recognizing* the role of new technologies, including intelligent transport systems, to increase the efficiency, safety and effectiveness of transport systems,

*Noting* the outcome of the Global Sustainable Transport Conference held in Ashgabat on 26 and 27 November 2016,

*Noting also* the need for greater maritime, rural and remote communities connectivity to wider transport systems in the region,

1. *Adopt:*

(a) The Regional Action Programme for Sustainable Transport Connectivity in Asia and the Pacific, phase I (2017-2021) contained in annex I to the present document;<sup>16</sup>

(b) The Model Subregional Agreement on Transport Facilitation contained in annex II to the present document;

(c) The Model Bilateral Agreement on International Road Transport contained in annex III to the present document;

(d) The Model Multilateral Permit for International Road Transport contained in annex IV to the present document;

(e) The Standard Model of Logistics Information Systems contained in annex V to the present document;

(f) The updated Regional Road Safety Goals and Targets for Asia and the Pacific 2016-2020 contained in annex VI to the present document;

2. *Agree* to work towards the establishment of an interregional coordination committee on transport between Asia and Europe, and request the secretariat to seek cooperation from the Economic Commission for Europe for the operation of that committee to further promote intraregional and interregional transport connectivity along the transport corridors between Asia and Europe;

3. *Request* the Executive Secretary to:

(a) Accord priority to the implementation of the Regional Action Programme for Sustainable Transport Connectivity in Asia and the Pacific, phase I (2017-2021), including the mobilization and deployment of extrabudgetary resources;

<sup>15</sup> General Assembly resolution 70/260; and Commission resolutions 66/6 and 68/4.

<sup>16</sup> Until adoption of the declaration by the Ministers, annex I will be circulated separately, as document E/ESCAP/MCT(3)/WP.1.

(b) Ensure effective coordination with other agencies, organizations and institutions in providing technical assistance to the members and associate members for the implementation of the Regional Action Programme for Sustainable Transport Connectivity in Asia and the Pacific, phase I (2017-2021);

(c) Collaborate effectively with international and regional financing institutions, multilateral and bilateral donors and private sector investors, and international organizations to mobilize further financial and technical support for the achievement of integrated intermodal transport systems enabling sustainable transport connectivity in Asia and the Pacific;

(d) Assess periodically the progress made on the Regional Action Programme for Sustainable Transport Connectivity in Asia and the Pacific, phase I (2017-2021), at national and subregional levels, analyse results within the Commission's Committee on Transport, and work out relevant policies and recommendations on promoting and accelerating the implementation process;

(e) Convene a ministerial conference on transport in 2021 to evaluate the implementation of the Regional Action Programme for Sustainable Transport Connectivity in Asia and the Pacific, phase I (2017-2021), and to consider a future programme of work.

## Annex I

### **Regional Action Programme for Sustainable Transport Connectivity in Asia and the Pacific, phase I (2017-2021)**

The content of this document is extracted from the substantive documents on the components of the draft regional action programme to provide an overview of the programme.

#### **1. Regional transport infrastructure connectivity**

While the Intergovernmental Agreement on the Asian Highway Network, the Intergovernmental Agreement on the Trans-Asian Railway Network and the Intergovernmental Agreement on Dry Ports provide the foundation for regional connectivity, the quality and capacity of this infrastructure across the region is uneven and some links are still missing. It is believed that the development of international intermodal corridors would provide a framework for a coordinated approach to address development issues across all modes, including interoperability and technological innovations.

**Immediate objective.** Regional connectivity is to be enhanced through the continued development, upgrading, planning and operationalization of the transport infrastructure networks, including through the introduction of new technologies and necessary regional standards.

#### **Outputs**

1. Sessions of the Working Group on the Asian Highway, the Working Group on the Trans-Asian Railway Network and the Working Group on Dry Ports;
2. Study on a regional framework on infrastructure connectivity for integrated intermodal transport corridors with the inclusion of land, maritime and air transport;
3. Study on infrastructure integration of different modes of transport through further development of the Asian Highway network, the Trans-Asian Railway network, the network of dry ports and other regional transport infrastructure networks, including air and maritime infrastructure;
4. Study on harmonization of technical standards of transport infrastructure and its upgrading;
5. Study on the application of new technologies to promote sustainable transport through improved infrastructure facilities;
6. Report on progress in transport infrastructure connectivity in the region;
7. Workshop/seminar/meeting/advisory service on transport infrastructure connectivity.

#### **Indicators of achievement**

1. Continued use by member States of the meetings of the Working Group on the Asian Highway, the Working Group on the Trans-Asian Railway Network and the Working Group on Dry Ports to amend the corresponding Intergovernmental Agreements and debate issues relating to the development of the networks.

2. An increased number of member States become parties to the Intergovernmental Agreement on the Asian Highway Network, Intergovernmental Agreement on the Trans-Asian Railway Network and Intergovernmental Agreement on Dry Ports.
3. Adoption by member States of favourable frameworks for the development and operation of intermodal transport corridors.
4. Measures taken by member States to upgrade and expand the Asian Highway and Trans-Asian Railway networks and internationally recognized dry ports in their countries, including measures to harmonize technical standards and introduce new traffic management technologies.
5. Measures taken by member States to incorporate study recommendations for regional and interregional intermodal transport corridors.

## **2. Regional transport operational connectivity**

The demand for transport connectivity in the region has grown rapidly owing to high economic growth in many countries. Progress has been made in developing transport infrastructure but more needs to be done in terms of its operationalization. A fragmented approach, lack of integration, high logistics costs and inefficiency are the main obstacles to seamless regional transport operational connectivity.

Eliminating non-physical barriers to international transport, developing integrated intermodal transport systems at the national, subregional and regional levels that optimally combine the strengths of various modes of transport and reducing transport logistics costs will help to achieve transport operational connectivity in the region.

### **Immediate objectives**

1. Regional transport operational connectivity is to be enhanced through strengthened transport facilitation measures, including harmonization of transport technical and operational standards, regulations and practices; understanding and use of new technologies; as well as implementation of transport facilitation tools and frameworks;
2. Integrated intermodal transport systems are to be developed and operationalized by using existing capacities and infrastructure more effectively, enhanced network connectivity resulting from better interconnected and compatible transport networks throughout the region, transfer facilities, harmonization of technical standards and the definition of common legislative frameworks;
3. Transport logistics services are to be increased in the region by building capacity and establishing logistics information systems to improve logistics efficiency and reduce costs.

### **Outputs**

1. Studies/workshops/technical assistance on the implementation of the Regional Strategic Framework for the Facilitation of International Road Transport and the Regional Cooperation Framework for the Facilitation of International Railway Transport;

2. Studies/workshops/advisory services for assessing, designing and implementing integrated intermodal transport systems as a key element of sustainable transport connectivity, including maritime, land and air transport;
3. Assistance/advisory services/workshops on the formulation and implementation of legal instruments and on the harmonization of technical standards, including vehicle axle load control systems, for operationalizing transport connectivity;
4. Studies/workshops on the application of new technologies to facilitate international maritime, road, rail, air and intermodal transport;
5. Updating of transport facilitation tools to reflect technological progress and the evolving needs of operational connectivity and related studies/workshops/advisory services on their application;
6. Studies/workshops on strengthening intermodal interfaces at dry ports, intermodal terminals, sea and air ports and for operationalizing integrated intermodal transport corridors;
7. Technical assistance/workshops/seminars/training courses for capacity-building for logistics services professionals and in establishing effective mechanisms for efficient logistics services, including regional meetings of logistics service providers and their national associations;
8. Study/workshop/advisory service on enhancing maritime operational connectivity.

#### **Indicators of achievement**

1. An increased number of measures/initiatives taken under the regional frameworks for the facilitation of international road and railway transport for establishing an efficient integrated intermodal transport system to support regional economic cooperation and integration.
2. Operationalization of an integrated intermodal transport system at the regional level as a key element of sustainable transport connectivity, including maritime, land and air transport.
3. Enhanced knowledge and skills among members and associate members on formulating and implementing legal instruments and technical standards for operationalizing regional transport connectivity, regional transport operational connectivity, including transport facilitation, integrated intermodal transport, maritime transport connectivity and logistics.
4. Increased support to members and associate members in the application of transport facilitation tools reflecting technological progress and the evolving needs of operational connectivity.
5. Enhanced use of information and communications technology and related new technologies to facilitate international maritime, road, rail, air and intermodal transport.

6. Enhanced regional transport operational connectivity, including transport facilitation, integrated intermodal transport, maritime transport connectivity and logistics.
7. Strengthened capacity of members and associate members in establishing effective mechanisms for providing efficient logistics services through improved skills of freight forwarders, multimodal transport operators and logistics service providers and their national associations.
8. Improved maritime operational connectivity.

### **3. Euro-Asian transport connectivity**

While Asia and Europe remain each other's key trade partners, the trade volumes exchanged between these two regions could be further enhanced through better transport connectivity. Recognizing this fact, a number of initiatives have recently been made that attempt to address related issues, including in the areas of infrastructure development and greater harmonization of technical standards. It is believed that the potential of these initiatives could be maximized through the establishment of a body which would synergize existing mandates, stimulate actions and benchmark progress.

**Immediate objective.** To work towards the establishment of an interregional coordination committee on transport between Asia and Europe designed to foster seamless sustainable transport connectivity between Asia and Europe for people and goods.

#### **Outputs**

1. Study on initiatives, transport infrastructure planning and institutional arrangements related to the development of transport corridors between Asia and Europe;
2. Study on harmonizing rules and regulations to eliminate non-physical barriers impeding the efficiency of transport between the two regions;
3. Study on technical standards applied along transport corridors between Asia and Europe;
4. Establishment of an interregional coordination committee on transport between Asia and Europe to help enhance transport links between Asia and Europe, including preparation of the terms of reference and governance;
5. Workshop/seminar/meeting/advisory service on enhancing transport connectivity between Asia and Europe;
6. Report on progress in enhancing transport connectivity between Asia and Europe.

#### **Indicators of achievement**

1. Member States support and participate in an interregional coordination committee on transport between Asia and Europe.



2. Measures taken by member States to develop and operationalize transport corridors between Asia and Europe.
3. Measures taken by member States to incorporate study recommendations for strengthening connectivity between Asia and Europe.
4. Report published on progress in enhancing transport connectivity between Asia and Europe.

#### **4. Transport connectivity for least developed countries, landlocked developing countries and small island developing States**

In the countries with special needs of the region (least developed countries, landlocked developing countries and small island developing States), transport infrastructure and operational connectivity, urban and rural transport, and road safety are major considerations. Transport infrastructure and services suffer from challenges associated with high costs and poor performance and a lack of institutional expertise to develop and implement policy and programmes. In order to improve connectivity to wider networks and take advantage of the economic opportunity that this would provide, there is a need to better understand optimal delivery methods and build capacity to implement transport policies. Innovative and inclusive policies and frameworks that are suitable for States with special needs are required to develop sustainable regional transport connectivity, including urban and rural connectivity, and improve road safety.

While most countries of the region have made progress in enhancing transport connectivity with their neighbours, least developed countries, landlocked developing countries and small island developing States continue to face specific development challenges owing to their geographic and economic characteristics. Renewed efforts need to be made to address these challenges so that the States concerned can easily connect to the region's main transport infrastructure networks, including ports, for safe, reliable and affordable access to global markets.

**Immediate objective.** States with special needs (least developed countries, landlocked developing countries and small island developing States) are to be assisted in developing and implementing innovative policies and frameworks to improve and enhance sustainable transport connectivity with adequate inclusion of urban and rural transport and road safety.

#### **Outputs**

1. Study on transport facilitation, integrated intermodal transport and logistics for least developed countries and landlocked developing countries;
2. Study on approaches to connect least developed countries, landlocked developing countries and small island developing States to the region's infrastructure networks, including ports;
3. Study on developing railway networks and improving urban and rural transport and road safety and security in least developed countries, landlocked developing countries and small island developing States;
4. Study on enhancing maritime and air connectivity for small island developing States;

5. Technical assistance to landlocked developing countries and their neighbouring developing countries in planning/establishing/operating efficient integrated multimodal transport corridors;
6. Regional inputs to the global report on the midterm review of the implementation of the Vienna Programme of Action for Landlocked Developing Countries for the Decade 2014-2024 in the transport sector;<sup>a</sup>
7. Workshop/seminar/meeting/advisory service to support least developed countries, landlocked developing countries and small island developing States to enhance transport connectivity, improve road safety and develop urban and rural transport.

#### **Indicators of achievement**

1. Report on transport facilitation, integrated intermodal transport and logistics in least developed countries and landlocked developing countries.
2. Report on the connection of least developed countries, landlocked developing countries and small island developing States to the regional infrastructure networks.
3. Report on the status and improvement of urban and rural transport and road safety in least developed countries, landlocked developing countries and small island developing States.
4. Report on enhancing maritime connectivity in small island developing States.
5. Measures taken by members and associate members to incorporate policy recommendations into their national policies and plans to enhance regional connectivity.
6. Report on the implementation of the Vienna Programme of Action in the transport sector.
7. Capacity-building workshop(s)/seminar(s)/meeting(s) on transport connectivity, road safety, and urban and rural transport.

#### **5. Sustainable urban transport**

Rapid motorization in the region's cities has led to worsening traffic congestion, more road crashes and an increase in emissions and air pollution. Further, increasing numbers of disadvantaged people inhabit urban areas and create more demand for affordable urban public transport systems. Even though the region's cities feature a mixed array of urban transport – such as paratransit, public transport, taxi services and non-motorized transport – there

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<sup>a</sup> In paragraph 78 of the Vienna Programme of Action for Landlocked Developing Countries for the Decade 2014-2024 (A/CONF.225/L.1), the General Assembly is invited to consider conducting a comprehensive high-level midterm review of the implementation of the Vienna Programme of Action. In line with the practice adopted for the Almaty Programme of Action, where the Commission by its resolution 63/5 requested the Executive Secretary to provide the necessary support for the preparatory process for the midterm review of the implementation of the Almaty Programme of Action, the present output has been included in the regional inputs for the midterm review of the Vienna Programme of Action.

remain plenty of opportunities for improvement. The major challenges faced by the countries and cities in the Asia-Pacific region are extending coverage, managing congestion, reducing emissions and pollution, enhancing safety, and ensuring affordability.

**Immediate objective.** The region's countries and cities are to initiate and implement innovative policies and frameworks to assess, plan, develop, improve and maintain sustainable urban transport systems and services.

### Outputs

1. Study on integration of urban transport modes and assessment of urban transport systems;
2. Regional framework and tools on deployment of intelligent transport systems;
3. Guide to national policy frameworks on sustainable urban transport development;
4. Report on regional progress on improvement of urban transport systems;
5. Workshop/seminar/meeting/advisory service to support member countries in developing and improving urban transport systems.

### Indicators of achievement

1. A report published on integration and assessment of urban transport systems.
2. Regional policy framework and tools on deployment of intelligent transport systems established.
3. Guidelines prepared on the formulation of a national urban transport policy.
4. Urban transport chapter(s) included in the *Review of Developments in Transport in Asia and the Pacific*.
5. Capacity-building workshop(s)/seminar(s) held on sustainable urban transport.

## 6. Rural transport connectivity to wider networks

Rural connectivity that links to wider networks varies enormously in availability and quality, and suffers from challenges associated with high costs and poor performance. The demand for rural connectivity in the region is huge, but the funding available and financial returns on projects are insufficient to meet this need. Additional financial options and evaluation methodologies are required to make rural connectivity projects affordable, feasible and sustainable. In order to improve rural connectivity to wider networks, effective policies and strategies are necessary and there is a need to enhance the capacity of stakeholders and local communities to plan and implement rural connectivity programmes. Innovative and inclusive policies have shown great returns in the region and these policies need to be documented and replicated for achieving a truly integrated transport network that includes access to the Asian Highway, the Trans-Asian Railway and dry ports.

**Immediate objective.** Member countries are to be assisted in developing and achieving greater rural connectivity coverage and connections to the wider transport networks.

### **Outputs**

1. Study on improving rural transport connectivity and its impact on poverty alleviation, health, education and employment generation;
2. Regional strategy/master plan/policy framework to improve rural transport connectivity to wider local, national and regional transport networks (Asian Highway, Trans-Asian Railway and dry ports);
3. Study on financing options for developing rural transport connectivity;
4. Report on regional progress on the improvement of rural transport connectivity;
5. Workshop/seminar/meeting/advisory service to support member countries on the development of rural transport access.

### **Indicators of achievement**

1. Report issued to document the impact of improving rural access coverage on poverty alleviation, health, education and employment generation.
2. Strategy/master plan to improve rural connectivity developed and used by member States to develop their own policies and plans to incorporate rural access into regional connectivity networks.
3. Study on options for financing rural connectivity issued and the issues involved known by member States.
4. Review of rural connectivity developments in the region prepared.
5. Capacity-building seminar/workshops organized and capacity of transport policymakers, planners and programme implementers enhanced to plan and improve rural connectivity.

## **7. Improving road safety**

Road safety is an issue of serious global and regional concern in view of its magnitude and consequent negative impact on the economy, public health and general welfare of the people. The region needs enhanced efforts to achieve the Sustainable Development Goal targets to halve the number of global deaths and injuries from road traffic accidents by 2020. Regional efforts can be exerted to help to build the capacity of members and associate members by providing an assessment of the situation, policy and technical recommendations, tools and training.

**Immediate objective.** Countries in the region are to be assisted in improving road safety situations and meeting their commitments under the Decade of Action for Road Safety 2011-2020 and Sustainable Development Goals 3 and 11.

**Outputs**

1. Study on measures to improve road safety, such as rules and regulations covering the key risk factors (e.g. speeding and drink-driving);
2. Study on technical standards for improving road safety;
3. Report on progress on the improvement of road safety in the region;
4. Road safety tool/handbook for improving road safety at the national level;
5. Workshop/seminar/meeting/advisory service to support member countries on improving road safety, including technical assistance for the establishment of the data-collection system.

**Indicators of achievement**

1. Measures taken by member States to implement policies and programmes on road safety in line with the goals of the Decade of Action for Road Safety 2011-2020 and the road safety targets in Sustainable Development Goals 3 and 11.
2. Measures taken by member States to improve road safety rules and regulations covering the key risk factors.
3. Road safety studies and tool/handbook for improving road safety at the national level shared through meetings and websites hosted by the Economic and Social Commission for Asia and the Pacific.

## Annex II

### Model Subregional Agreement on Transport Facilitation\*

#### Introduction

The Model Subregional Agreement on Transport Facilitation has been elaborated on the basis of comparative studies between major subregional agreements on transport facilitation to which various ESCAP member States are parties.

The purposes of the studies were to:

- a) Compare the provisions of selected subregional agreements on transport facilitation;
- b) Identify commonalities and differences between the provisions of major subregional agreements, primarily in countries which are parties to more than one subregional agreement;
- c) Propose ways to harmonize the provisions of different subregional agreements, especially in countries which are parties to more than one subregional agreement;
- d) Propose a common framework for subregional agreements on transport facilitation, with the overarching goal of harmonizing the provisions of these agreements and make their implementation and enforcement easier.

#### Summary of the recommendations for planning subregional agreements

In order to expedite the negotiation process of a subregional agreement and to facilitate its subsequent practical implementation, the potential Contracting Parties may consider the following recommendations.

1. When planning new subregional agreements the potential Contracting Parties may undertake a realistic preliminary assessment of the capacity of negotiating subregional agreements within reasonable time, capacity of subsequent practical implementation of the particular provisions included in the subregional agreements, challenges which can be solved through the subregional agreements which are planned or being negotiated.

2. Potential Contracting Parties may use a “modular approach” for designing subregional agreements. They can select “modules” which they plan to include into the agreement, on the basis of their assessment of practical feasibility of reaching consensus on those issues and, what is crucially important, of implementing the agreed provisions in practice. This may involve planning several subregional agreements on different inter-related topics.

3. The potential Contracting Parties may envisage a “step-by-step” approach to the implementation mechanisms, under which they can anticipate the practical steps for implementation of the provisions of the subregional agreement being formulated. The countries may develop a plan for gradual implementation of the substantive provisions of a subregional agreement. Measures which are easier to implement (for example, implementation arrangements requiring cooperation between one competent authority and its counterparts in each of the other Contracting Parties) can be scheduled at

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\* This annex is being issued without formal editing.

early stage. The implementation of provisions which require more complicated arrangements (for example, those requiring inter-country cooperation and internal coordination between multiple competent authorities) can be scheduled for a later stage.

4. In terms of establishing conditions for granting traffic rights and permit system, the potential Contracting Parties should consider the existing bilateral agreements on international road transport concluded among them in order to avoid legal conflicts between the provisions of bilateral agreements and the negotiated subregional agreement, and find the way to make both types of legal instruments compatible.

5. The Model Subregional Agreement is intended to serve as a common framework for subregional agreements on transport facilitation. The Model can be used for drafting and negotiating new subregional agreements as well as for bringing amendments to existing agreements.

6. The Model Subregional Agreement provides a checklist of issues that are typically contained in subregional agreements on transport facilitation. The focus of the model has been on international road transport; hence the checklist of issues to be covered is related to a larger extent to road transport than to other modes.

7. The Model proposes a structure and a brief description of the main structural elements and specific substantive issues that would be covered by a subregional agreement with a focus on international road transport. It does not contain uniform wording to be used for all the issues that are supposed to be covered by the agreement.

8. The Model includes a list of issues recommended to be settled through additional subregional agreements, due to their complexity or specific nature.

## **Model Subregional Agreement on Transport Facilitation**

### **Structural elements and contents of the subregional agreement**

#### **I. Preamble**

The preamble of subregional agreements usually contains the affirmation of the political will and commitment of the participants in the agreement to cooperate towards the achievement of the strategic goals therein. The preamble may include an enumeration of the Contracting Parties to the agreement. While remaining concise, the preamble may also refer to the reasons that lead to the conclusion of the agreement and may mention the legal basis for it.

#### **II. Definitions and abbreviations**

For purposes of clarity and to ensure a good level of understanding by all the stakeholders including users of the subregional agreement, all the terms used in it should be explained at the beginning of the document. It is highly desirable that definitions are the same as in the corresponding international legal instruments, with a view to improve the level of harmonization.

#### **III. Objectives and purposes, general provisions**

The section should contain the main key policy objectives of the subregional agreement. Depending on the specific or more general area addressed by the agreement and without being exhaustive, the objectives may mention the subregional economic integration through the development of economic relations, trade and transport communications; the establishment of an effective, efficient, integrated and harmonized intermodal transport system in the subregion, the facilitation of transit transport of goods, through simplification and harmonization of transport, trade and customs regulations; the promotion of trade within and beyond the subregion and improvement of access to the international freight markets; the harmonization and standardization of technical characteristics of infrastructure and equipment.

#### **IV. Scope**

This section should indicate the areas and activities that are subjects of the subregional agreement. As the proposed Model Subregional Agreement is focused on international road transport, the most common indication in such a section could be international transit transport of goods and/or passengers by road.

Where there are issues on which no consensus can be reached in terms of harmonizing them through the subregional agreement, the section may clarify the legal position regarding these issues, for example by stating that they remain subject to domestic legislation.



## V. Substantive issues covered by the subregional agreement

### A. Transport issues

#### 1) Key transport issues

##### *Introductory note*

Conditions of granting traffic rights and the permit system for international road transport remain the key transport issues which should be addressed by subregional agreements, as in many countries of ESCAP region international transport operations are confined to border areas and a limited number of roads, and are subject to single-entry permits issued for each vehicle performing such operations. Another constraint to international road transport is the restriction of transit operations.

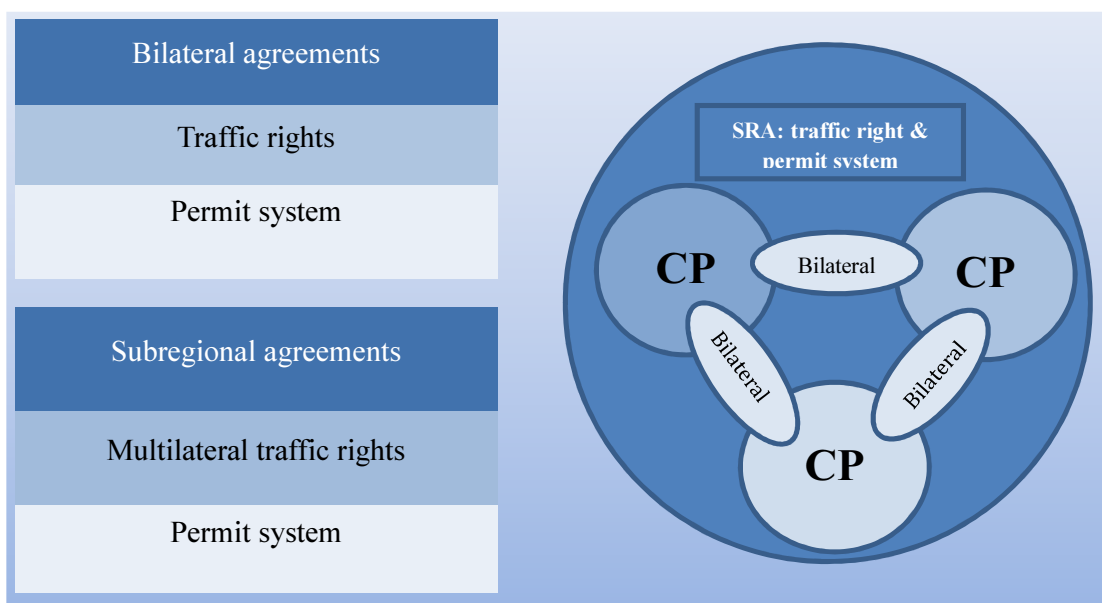
Agreements related to international road transport facilitation, both subregional and bilateral, should serve the purpose of liberalization of conditions for international road transport to the extent possible.

At present, ESCAP member countries largely rely on the implementation of the arrangements of bilateral agreements for traffic rights, transport permits and their quota. Subregional agreements, even if implemented, play only a supplementary role (see Figure 1 below).

Figure I

**Traffic rights and permit system settled by both bilateral agreements (as a main tool) and subregional agreements (as a supplementary tool)**

Bilateral agreements plus supplementary use of subregional agreement (status quo)

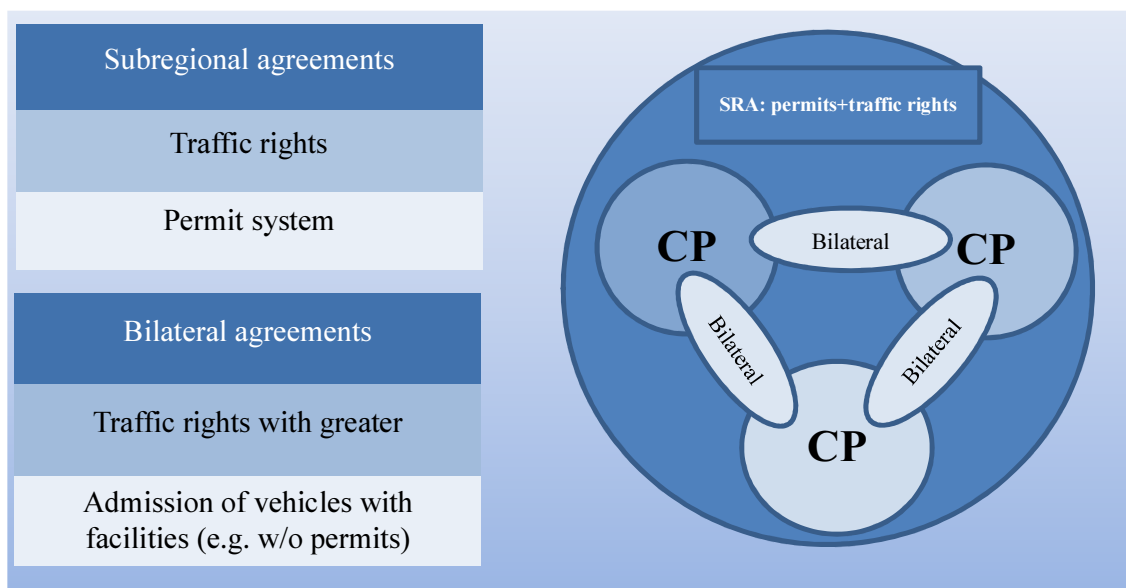


The approach proposed by the Model Subregional Agreement is the establishment of multilateral traffic rights and multilateral permit system with a level of liberalization that can be realistically agreed upon by the Contracting Parties. At the same time, the Contracting Parties to the subregional agreement can provide greater facilities and a more liberal regime in terms of traffic rights and requirements for permits through bilateral agreements concluded among them (see figure 2 below).

Figure II

**Granting traffic rights and permit system settled by subregional agreements, with greater facilities provided by bilateral agreements**

Subregional system plus provision of greater facilities at bilateral level (recommended option).



***Traffic rights***

Under this section of the subregional agreement the Contracting Parties define the conditions under which they grant the right to undertake international transport operations by foreign carriers on their territories. The section should list the types of international transport of goods and/or passengers allowed under the agreement, which can include:

- a) Transport operations involving the territories of two Contracting Parties (bilateral or inter-state);
- b) Transit transport operations;
- c) Transport to/from/across third countries.

If the Contracting parties decide so, they may also allow cabotage under conditions agreed among them.

***Road transport permits***

The target in the region is a wider application of multiple-entry transport permits valid for one year and multiple routes or road networks, issued to a carrier for any compliant vehicle in its fleet, which could be used both for bilateral (inter-State) and transit transport operations.

This section should indicate the types of permits required for each type of transport operation which can be undertaken under the agreement. It may also indicate the types of transport operations that are exempt from permits.

This section should also establish a mechanism to provide a sufficient number of permits and define the criteria for their issuance to carriers. Those details of the operation of the permit system may be contained in an Annex and/or Protocol to the subregional agreement.

### ***Designation of routes and border crossings***

A large number of countries of the ESCAP region require vehicles to go through designated transport routes and through designated specific border crossings, while other countries consider all their road network open for international road transport.

For the cases when the Contracting Parties to the subregional agreement prefer to limit international transport operations to certain routes and border crossings, this section can indicate the selected routes and border crossings. This can be done either in the body of the agreement or in a separate Annex or Protocol. A flexible procedure for simplified amendment of the list of routes and border crossing should also be established.

The section may also contain indications on the technical parameters and/or design standards of the designated routes. Logically, these parameters should comply with those of the existing regional transport infrastructure networks, such as Asian Highway Network.

## **2) Other transport issues**

### ***Mutual recognition of driving licenses***

This section of the subregional agreement may provide for mutual recognition of the driving licenses by the Contracting Parties. It may also establish a subregionally accepted driving license. The detailed conditions and/or minimum requirements for the issue and validity of the subregionally accepted driving license may be specified in an Annex and/or Protocol to the subregional agreement.

The Convention on Road Traffic, 1968 is containing detailed provisions on all the aspects relating to the driving license such as (but not limited to) minimum requirements for professional driving instruction (concerning driving instructors), guidelines for professional driving instruction (scope of tuition), guidelines for the methods of professional tuition, recommendations for professional drivers of vehicles of categories C, D and E (training programme).

If the countries negotiating a subregional agreement are already Contracting Parties to this Convention, the section may not be required, or may just refer to the provisions of the mentioned Convention.

### ***Harmonization of requirements for road vehicle documents***

#### **Technical inspection certificate**

This section of the subregional agreement may state the commitment of the Contracting Parties either to recognize each other's technical

inspection certificates or to adopt a Standard/Model Certificate of Technical Inspection and recognize the initial inspection performed in the country of registration of the vehicle. Such an approach would allow vehicles in international traffic with valid inspection certificates not to be further inspected in the countries of transit and destination.

#### Registration certificate

This subsection may provide for:

a) Mutual recognition of vehicle registration certificates issued in accordance with their national laws if such certificate is accompanied by a certified translation into a language which can be recognized by all the Contracting Parties; or

b) Establishment of standardized requirements for vehicle registration, possibly including a model vehicle registration certificate to be followed by the competent authorities of the Contracting Parties when issuing registration certificates for vehicles in their countries. The detailed conditions for model registration certificate may be contained in an Annex and/or Protocol to the subregional agreement.

The Convention on Road Traffic, 1968 provides for mutual recognition of vehicle registration certificates issued in accordance with its provisions. If the countries negotiating a subregional agreement are already Contracting Parties to this Convention, the section may not be required, or may just contain a reference to the mentioned Convention.

The provisions of the Convention on Road Traffic, 1968 can also be utilized for designing the system of requirements for vehicle registration at subregional level.

#### ***Harmonization of requirements for weights and dimensions***

When technical standards differ from one country to the other, access of foreign vehicles may be denied on grounds of those differences or they can be forced to pay extra charges. The harmonization of technical standards is therefore a critical factor for the facilitation of international transport/ transit and implicitly of trade. For a variety of good reasons, notably to promote harmonization, enhance road safety, prevent accelerated road damage and mitigate environmental degradation, this section of the subregional agreement may set minimum requirements and standards for vehicles performing international transport/transit operations. These requirements usually refer to: a) permissible maximum axle and total weights; b) maximum dimensions of vehicles; and c) emission standards and brake efficiency.

#### ***Mutual Recognition of Weighing Certificates***

This section of the subregional agreement may provide either for recognition by the Contracting Parties of each other's certificates or for adoption of a Standard/Model Certificate of Weighing and recognition of the initial weighing at the origin by all the other Contracting Parties. A model that could be used has been developed in the framework of the International Convention on the Harmonization of Frontier Controls of Goods ("Harmonization" Convention), 1982, Annex 8.

***Vehicle third-party insurance system***

This section of the subregional agreement may state the willingness/commitment/decision of the participants to establish a scheme of compulsory motor vehicle insurance at subregional level, involving insurance companies in the subregion. The negotiations and subsequent operationalization of motor vehicle third-party liability insurance schemes should include both public and private sectors. Governments and the subregional insurance companies will have to coordinate the necessary measures and actions needed to establish the system. A possible example of motor vehicle third-party liability insurance scheme to be used as basis by drafters of subregional agreements could be the Green Card System.

***Carrier licensing***

This section of the subregional agreement may contain reference to the obligation for carriers to be authorized (licensed for access to the profession) in order to be allowed to undertake international transport operations, in accordance with their national laws and regulations. As an option, specific common minimum criteria for authorizing transport operators can be included in a subregional agreement.

***Provisions for passenger transport***

This section may include provisions for regular and occasional passenger transport operations, such as granting traffic rights (should they be different from traffic rights for goods transport) and the permit system. In terms of structure of the subregional agreement, these provisions could be included into the sections on traffic rights and permits respectively.

It is recommended to cover the issues related to rules for the transport of passengers, including carrier's liability, in a separate agreement touching upon the issues related to private law (same recommendation applies to rules for the carriage of goods).

***Provisions for specific categories of goods***

This section of the subregional agreement may include the requirement to obtain a special permit for the transportation of oversize/overweight/dangerous goods.

In respect of dangerous goods, the subregional agreement may also include a list of dangerous goods allowed for international transportation by road and the conditions for their carriage.

While defining such conditions, the provisions of the European Agreement concerning the International Carriage of Dangerous Goods by Road, 1957 and of the United Nations Recommendations on the Transport of Dangerous Goods/Model Regulations can be used as reference.

**B. Fiscal and Customs issues*****Charges and other financial obligations***

This section of the subregional agreement may establish the principle of non-discrimination in respect of collection of charges, fees, tolls, taxes and other levies imposed on transport operations. It may also include the commitment of the Contracting Parties to adopt standard elements for the

calculation of costs, to ensure the transparency of the taxes and charges and to make them public, as well as to take measures or at least endeavour to simplify the methods of payment, including through the use of modern technologies.

### ***Temporary importation***

This section of the subregional agreement may establish the conditions under which temporary admission of certain goods and means of transport can be granted. The Contracting Parties to the subregional agreement could, ideally, envisage a simple procedure without payment of import duties and taxes and without depositing a customs guarantee bond, subject to re-exportation but they could also require production of a Customs document and provision of a security for temporary importation.

The section may also include a commitment of the Contracting Parties to reduce to a minimum the Customs formalities required in connection with the facilities provided for in the subregional agreement and to promptly publish all regulations concerning such formalities.

International legal instruments that can be used as reference in drafting and negotiating this sub-section are the Customs Convention on the Temporary Importation of Commercial Road Vehicles, 1956, and/or World Customs Organization Convention on Temporary Admission, 1990 (Istanbul Convention).

### ***Harmonization and simplification of Customs procedures and formalities***

This section of the subregional agreement may mention the steps which the Contracting Parties will undertake to simplify and harmonize their customs control procedures, aiming to facilitate international transport operations. Depending on the preparedness of the Contracting Parties, this section may provide for, but not limited to, the following specific measures (or some of these measures):

- a) undertaking Customs controls based on Risk Management techniques;
- b) performing Customs procedures at inland offices rather than at borders in case of countries of origin and destination;
- c) limiting the number of documents and reducing procedures and formalities required for transit traffic;
- d) aligning documents to the United Nations layout key for trade documents;
- e) joining an existing international Customs transit system or establishing a subregional one;<sup>a</sup>
- f) eliminating any documents and formal requirements which may no longer serve important purposes;
- g) providing for special, expeditious, treatment in case of transports of livestock and perishable goods.

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<sup>a</sup> In case of intention to establish a subregional customs transit system, it is recommended to formulate a separate agreement on this matter (see section on “Issues recommended to be settled through separate subregional agreements” below).

## **C. Other facilitation issues**

### ***Administrative assistance and cooperation between control authorities***

This section of the subregional agreement may include a general declaration on the willingness of the Contracting Parties to develop cooperation and mutual administrative assistance of their control authorities. Depending on readiness of the Contracting Parties to implement steps for practical cooperation of their control authorities, this section can also provide for specific means, such as exchange of information and documentation, use of modern Customs techniques, mutual assistance in the investigation of cases related to infringement of the provisions of the subregional agreement and applicable national laws.

This section may also include the provision on the assistance of the competent authorities of the Contracting Parties in case of traffic accidents in the course of international road transport, including the assistance to the carrier involved and notification of the competent authorities of such carrier's home country.

### ***Miscellaneous***

#### **Establishment of offices**

This section may include the permission to establish representation offices in one Contracting Party by carriers registered in another Contracting Party. This helps carriers to familiarize themselves with local laws, respond quickly to changes of local laws, provide guarantee for their vehicles, assist in handling of accidents with involvement of their vehicles or crew, assist their sick crew and passengers and deal with any problems occurring in the transport process.

The establishment of branches of a foreign carrier, which are directly involved in business operation, or the concerns on market competition, may also be covered under this section of the subregional agreement.

The necessity of this section largely depends on the applicable national laws of the Contracting Parties imposing restrictions or special conditions on the establishment of branches or representation offices of foreign carriers.

This section may contain other miscellaneous provisions, as the Contracting Parties may agree.

## **D. Relationship with national legislation**

This section may establish the main principles of application of national legislation of the Contracting Parties to international road transport operations within the scope of the subregional agreement. These principles typically include:

- a) non-discrimination between national and foreign carriers in the enforcement of national legislation by the host Contracting Party;
- b) obligation of foreign carriers to comply with the provisions of applicable national legislation of the host Contracting Party;

c) transparency and availability of the national legislation of the Contracting Parties (laws, regulations, procedures and technical information) in the official language(s) of the subregional agreement;

d) statement that, once bound by the subregional agreement, the Contracting Parties may not invoke the provisions of their national law as a justification for their failure to perform the agreement (for example, in respect of transit transport fees).

## **E. Relationship with other international treaties**

### ***Harmonization based on international legal instruments***

This section of the subregional agreement may include references to international legal instruments (treaties, conventions and agreements) which can be applied to cover certain thematic issues related to the scope of the subregional agreement. If all the Contracting Parties to the subregional agreement are also Contracting Parties to a particular international convention or agreement, reference to the latter's provisions can be made in the section for the sake of clarity.

Alternatively, if the Contracting Parties to the subregional agreement do not participate in relevant international legal instruments, this section may state the willingness of the Contracting Parties to accede to and implement certain international legal instruments relevant for the area(s) dealt with by the subregional agreements.

### ***Reference to other international treaties of the Contracting Parties***

This section may indicate that the agreements do not affect the rights and obligations of each Contracting Party arising from the existing international treaties in which either Contracting Party participates.

### ***Provision of greater facilities***

This section may indicate that if other existing international treaties of the Contracting Parties provide greater facilities for international road transport (for example, in terms of granting traffic rights), the subregional agreement in question can not serve as a prejudice for application of their respective provisions.

## **F. Institutional arrangements, implementation and monitoring mechanisms**

### ***Inter-Governmental structures***

This section may define the inter-Governmental structures as agreed by the Contracting Parties of the subregional agreement, such as, for example, joint committees consisting of the representatives of the Contracting Parties. It may also include the conditions for their functioning and principles concerning the frequency of the meetings or the place of the meetings. The detailed terms of reference and the rules of procedure of these bodies may be included as an Annex or a Protocol to the subregional agreement.

### ***National structures for implementation and monitoring***

The complexity and multilateral nature of subregional agreements require effective inter-agency cooperation to enable their implementation at national level. The establishment of national coordinating structures (such as national trade and transport facilitation committees) may be referred to or encouraged by this section of the subregional agreement.



***Designation of competent authorities***

This section may include the list of relevant competent authorities involved in the implementation of the subregional agreement and establish the procedure for notification of all the Contracting Parties in case of change of national competent authorities in one of the Contracting Parties.

***Secretariat support***

If the subregional agreement is signed by countries that are members of a subregional economic integration grouping which has its own secretariat, the existing secretariat could also service the agreement, including acting as its depositary. In this case, this sub-section should define the tasks and responsibilities of the agreement's secretariat.

If the Contracting Parties to the agreement are not members of a subregional economic integration grouping, two options may be considered:

a) One country offers to host the secretariat of the agreement, permanently or for a limited duration, with full financing by the host country or with shared financing among the participants. In this case, this sub-section should clearly reflect all the conditions for the establishment and functioning of the secretariat as well as its tasks and responsibilities in servicing the agreement; or

b) The agreement could be serviced on a rotating basis by the Contracting Parties. In this case, the section should clearly reflect all the conditions for servicing the agreement.

***Dispute settlement arrangements***

This section should define the rights and obligations of Contracting Parties, including the procedures for the pursuit of claims in case of dispute. Most of the subregional agreements envisage that the Contracting Parties should resolve their disputes arising from the interpretation or implementation of the agreement through consultations. However, this sub-section may also indicate other means for dispute settlement such as negotiations in the intergovernmental structures established under the agreement or appointment of arbitrators.

**VI. Final provisions*****Entry into force***

This section should provide for the manner and date of entry into force of the subregional agreement. It may also contain special indications for instance that when the consent of a State to be bound by the subregional agreement is established on a date after the subregional agreement has come into force, the agreement enters into force for that State on that date, unless the treaty otherwise provides.

***Validity of the agreement***

This section can indicate the validity of the agreement in time. Most typically, the subregional agreements are concluded for an indefinite term.

***Domestic procedures for entry into force***

This section may indicate the domestic procedures required for entry of the agreement into force. Most typically these are ratification, acceptance or approval by the governments of the Contracting Parties. However, in some cases signing of the agreement is sufficient for some countries to be bound by it.

***Procedure for amendment***

This section may state the rules for amending the subregional agreement itself as well as its Annexes and Protocols. As the procedures to amend the main agreement are usually more complicated, requiring approval by the highest national instances in each of the Contracting Parties, provisions on simplified amendment procedures for Annexes and Protocols are desirable.

***Possibility of accession by other countries***

A subregional agreement may belong to subregional groupings, and only the member countries of that grouping can be Contracting Parties to the agreement. This section should define the procedure for the deferred accession of member countries of the subregional grouping which did not sign the agreement from the beginning.

In case of subregional agreements in which participation is not limited to the members of a subregional grouping, this section may state that other countries can accede to it and specify the conditions and relevant procedure to be accomplished in view of accession.

***Suspension***

This section may indicate the possibility of a Contracting Party to the subregional agreement to temporarily suspend the agreement for example due to emergency situations affecting national security. The section should state the obligation of such Contracting Party to timely inform other Contracting Parties of the effective start date of suspension, as well as of effective date of end of suspension.

***Denunciation***

This section may include a provision on the procedure for denunciation of the agreement by a Contracting Party, including the notification of other Contracting Parties and indication of the time period following notification, after which the denunciation can take effect.

***Languages and their authenticity***

Subregional agreements are typically authenticated in one language, but the Contracting Parties may also decide to authenticate it in two or more languages. In this case, this section should clearly state that when a subregional agreement has been authenticated in two or more languages, the text is equally authoritative in each language, unless the Contracting Parties agree that, in case of divergence, a particular text shall prevail.

The above list of issues related to final provisions is typical, but not exhaustive. The international legal instrument that may be used as reference for this part when drafting and negotiating a subregional agreement is the Vienna Convention on the Law of Treaties, 1969.

## **VII. Annexes and protocols**

It is quite typical for subregional agreements to have certain issues covered in annexes and protocols supplementing the main agreement. These may cover specific technical issues, implementation arrangements, procedural issues, etc.

### **Issues recommended to be settled through separate subregional agreements**

#### **I. Facilitation of visas for professional drivers and crews of road vehicles**

Ideally, the agreement may provide for a visa free regime for professional drivers and crews of road vehicles. However, if this is not feasible for the countries negotiating the subregional agreement, the issuance of multiple-entry visas valid for at least one year can be a good practical solution, with national competent authorities or professional road transport associations acting as guaranteeing institutions.

The national guaranteeing institution in each country may prepare a list of professional drivers (and crew members) and submit it to the ministries of foreign affairs of the other countries. In accordance with the procedure established by the agreement, the list will be forwarded to embassies or consulates, which will expedite the issuance of visas for the drivers and crew included on the list.

Alternatively, national guaranteeing institutions may provide certifying letters with guarantee letters from carriers when drivers apply for visas at the embassies/consulates.

With such arrangements, drivers employed by one carrier may be considered as one group in visa application and exempted from the requirement of personal presence.

Consular treaties fall under the competence of the ministries of foreign affairs, therefore transport authorities need to request the ministries of foreign affairs and possibly other competent authorities to participate in the process of negotiating the subregional agreements on transport facilitation.

#### **II. Customs transit system**

The use of a unified document and a centralized subregional guarantee system may help carriers avoid cash or bond deposit or charges. Such a system may be particularly useful for transport through several countries.

The Contracting Parties to a subregional agreement may be willing to join an existing international transit system, if they have not acceded yet.

In case consensus appears to be easier to reach by means of putting in place a smaller scale transit system at subregional level, negotiation on such a system would require the involvement of Customs administrations, and it is thus recommended to formulate a separate agreement on this matter.

It is also important to design such a Customs transit system in a way that its characteristics do not prevent the possible future implementation of a larger scale or global system.

### **III. Facilitation of border-crossing formalities and inspections**

Facilitation of numerous and different inspections and controls of people, vehicles and goods requires involvement of the respective government authorities and control agencies in charge, thus the negotiation of a separate subregional agreement on these matters is preferable.

Such an agreement may include a general part, which would identify the major objectives to be gradually achieved such as, for example, performing joint controls for the beginning, then continuing by enabling single-stop and single-window inspections to be performed. Deadlines or at least endeavoured deadlines could also be included into this general statement.

Several sections could then cover the main activities at border-crossings that contribute to the facilitation of international transport:

a) Customs control and border management (harmonization of documentation and procedures, synchronization of working hours at border checkpoints, introduction of single window, single stop inspections, integrated border management, joint control, application of ICT for facilitation of border checks and other possible measures);

b) Veterinary, sanitary and phytosanitary controls (availability to all stakeholders of laws, rules, regulations and procedures relating to veterinary, sanitary and phytosanitary control in force; harmonization of and procedures for those controls);

c) Police control (ensuring non-discrimination with respect to controls performed by police, as well as steps towards harmonization of standards and practices affecting international transport and mutual recognition of the documents concerning the means of transport, their crew, the goods and the passengers).

d) Physical infrastructure facilities (list of designated border-crossings where international transport operations would be facilitated through appropriate type and level of physical infrastructure, facilities and equipment, steps to be taken by the Contracting Parties to gradually provide adequate facilities at other posts).

### **IV. Private law (rules of carriage)**

Rules of carriage of goods and passengers, including carrier liability and its limitation, belong to private law, which is different in nature and approaches from public law and may require specialized experts to negotiate these aspects. It is thus recommended to formulate a separate agreement on rules of carriage. The agreement on this topic may cover rules of carriage for both goods and passengers/luggage, or may be split between two respective agreements.

Rules of carriage normally include the coverage of contractual obligations arising from the carriage of passengers or goods, civil liability of carriers and other actors of the contract of carriage, including limitation of carrier's liability, contractual documentation, pricing, claims and actions.

As regards rules for the carriage of goods, the Convention on the Contract for the International Carriage of Goods by Road, 1956 with its additional Protocols (1978 and 2008) can be recommended as a reference international legal instrument to follow.

## Annex III

### Model Bilateral Agreement on International Road Transport<sup>\*</sup>

#### Introduction

The model bilateral agreement on international road transport has been elaborated on the basis of comparative studies of existing bilateral agreements concluded between the countries of Asia and the Pacific region. The main purposes of the studies were to identify the common elements of those agreements and propose ways to harmonize their provisions by means of a model bilateral agreement which ESCAP member States could follow in the future while negotiating new bilateral agreements or amending the existing ones.

One of the findings of the studies was that countries in the ESCAP region use quite different approaches to arranging international road transport operations, especially in respect of traffic rights. The level of liberalization of these operations ranges from limiting their geographical scope to routes in border areas to granting the right of performing international road transport operations throughout the territory of a given country without any permits needed.

It would thus be hardly possible to propose a uniform model bilateral agreement which all the countries of the region would be prepared to follow in respect of traffic rights within a short-term perspective.

In long-term perspective, liberalization of international road transport operations and replacement of quantitative restrictions (such as permits quota) by qualitative criteria for access to the markets should be considered as a target to follow. However, it may take a long period of time before all countries of the region could accept such an approach, and gradual steps for liberalization of international road transport operations should be suggested.

Keeping in mind both the long-term target and the currently existing differences in approaches to traffic rights and permit system, the Model Bilateral Agreement on International Road Transport has three options.

**The first option of the Model** is addressed to countries which are not yet prepared to grant general access to their territories for international road transport operations and still prefer to limit the scope of such operations to designated routes and border crossings. This option of the Model also provides for permits being required for most types of transport operations.

**The second option of the Model** has no reference to designated routes and border crossings, but provides for permits with quantitative restrictions (quotas) in respect of most types of international transport operations. This approach is common in the region.

**The third option of the Model** provides for a permit-free legal regime for occasional transport of passengers and for bilateral and transit transport of goods. The permits are required only for regular transport of passengers and for third-country transport of goods. A number of countries in the region currently follow a similar approach in their bilateral agreements on international road transport.

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<sup>\*</sup> This annex is being issued without formal editing.

The wording of other provisions of the Model is kept uniform in all the three options, in order to provide the countries with a reference guide that could be followed during negotiations of new bilateral agreements or amendments to existing ones.

## **Model bilateral agreement on international road transport**

*Option 1: the case with designated routes and border crossings and with permits being required for most types of transport operations*

The Government of \_\_\_\_\_ (country) and the Government of \_\_\_\_\_ (country), hereinafter referred to as the Contracting Parties,

Desiring to develop international transportation of goods and passengers by road between their countries and through their territories and to facilitate road transport connectivity between their countries and beyond,

[other texts as necessary]

Have agreed as follows:

### **I. GENERAL PROVISIONS**

#### **Article 1 (Scope of application)**

In accordance with this Agreement the international transport of passengers and goods between the States of the Contracting Parties and in transit through their territories, as well as to / from third countries, shall be carried out by vehicles registered in the territory of the State of one of the Contracting Parties.

#### **Article 2 (Terms and definitions)**

For the purpose of this Agreement:

“Competent authorities” mean:

For \_\_\_\_\_ (name of the Contracting Party 1) -  
\_\_\_\_\_ (names(s) of the respective competent authority(ies))

For \_\_\_\_\_ (name of the Contracting Party 2) -  
\_\_\_\_\_ (names(s) of the respective competent authority(ies))

“International road transport” means movement of vehicles either laden or unladen with crossing of State border and (or) through the territory(ies) of the State(s) of the Contracting Party(ies);

“Regular transport of passengers” means carriage of passengers over a specified route, according to a timetable, with set fares charged, and with predetermined stopping points where the passengers are picked up or set down;

“Occasional transport of passengers” means any other carriage of passengers not falling under the definition of “regular transport of passengers”;

“Carrier” means an individual or a legal entity established in the territory of the State of one of the Contracting Parties and authorized in accordance with national laws and regulations of its country to perform international carriage of goods or passengers by road;

“Vehicle” means a motor vehicle registered in the State of one of the Contracting Parties at the disposal of a carrier through being its own property or through hiring or leasing contract;

- In case of transport of passengers – any motorized vehicle intended for carrying passengers with more than nine seats including the driver's seat, including luggage trailer in the place where carriage takes place and such luggage trailer is not forbidden;

- In case of transport of goods - any motorized vehicle intended for carrying goods, including truck, truck with trailer, motor tractor and motor tractor with semi-trailer;

“Trailer” means any vehicle designed to be drawn by a power-driven vehicle, and includes semi-trailer;

“Driver” means an individual authorized by the competent authority of a Contracting Party to operate the vehicle;

“Driving license” means a document issued by the competent authority of a Contracting Party granting the right to the driver to operate the vehicle;

“Permit” means a document issued by the competent authority of a Contracting Party granting the right to undertake an international road transport on the territory of the State of that Contracting Party by a carrier established in the State of the other Contracting Party;

“Special permit” means an additional single-use permit issued in accordance with national laws and regulations of a Contracting Party for a carrier established in the State of another Contracting Party to carry oversized, overweight or dangerous goods on its territory;

“Third-country permit” means a single-use permit for a carrier of one Contracting Party to run a vehicle from the territory of the State of another Contracting Party to the territory of a third State, or from the territory of a third State to the territory of the State of the other Contracting Party;

“Sanitary inspection” means medical, veterinary and phytosanitary inspection.

[The Contracting Parties may add any other definition deemed relevant or necessary for the clarity of the agreement]

## **II. TRAFFIC RIGHTS**

### **Article 3 (Routes and border crossings)**

1. Carriage of goods and passengers by vehicles between the territories of the States of the Contracting Parties (and in transit through their territories) is undertaken on the routes and through the State border crossings as agreed by the Contracting Parties and defined in the Annexure to this Agreement.

2. The list of routes and State border crossings is amended by arrangements between the competent authorities of the Contracting Parties.



## **Transport of Passengers**

### **Article 4 (Regular transport of passengers)**

1. Regular transport of passengers is performed on the basis of a permit granted by the competent authorities of the Contracting Parties.
2. Information on the route, the timetable, the fares, stopping points at which the carrier will embark and disembark passengers, and also the period and frequency of the transport, as well as other conditions agreed upon by the competent authorities of the Contracting Parties are indicated in the permit or in an annex to the permit, which should be certified by the competent authorities of the Contracting Party where the carrier is established.
3. Proposals for regular transport of passengers are submitted to each other by the competent authorities of the Contracting Parties. The decision of granting a permit or of refusal of granting a permit should be taken within \_\_\_\_\_ months upon the submission of the proposals.
4. The period of validity of the permit for regular transport of passengers is \_\_\_\_ year(s). The competent authorities of the Contracting Parties can amend this period upon their mutual agreement.

### **Article 5 (Occasional transport of passengers)**

1. Occasional transport of passengers, with the exception of transport operations listed in Article 6 of this Agreement is performed on the basis of permits issued by the competent authorities of the Contracting Parties.
2. For each occasional transport of passengers a separate permit is issued, which gives the right for a single outward and return journey, unless otherwise specified in the permit.
3. Each year the competent authorities of the Contracting Parties exchange without charge a jointly agreed quantity of blank permits for occasional transport of passengers. The blanks bear the signature of the relevant official and the stamp of the competent authority that has issued the permit.
4. The competent authorities of the Contracting Parties agree on the procedure for the practical exchange of blank permits.

### **Article 6 (Permit exemption for occasional transport of passengers)**

1. A permit for occasional transport of passengers is not required if the same group of passengers is being carried in the same bus throughout the entire trip, and:
  - a) the journey starts and terminates on the territory of the State of the Contracting Party where the bus is registered;
  - b) the journey starts on the territory of the State of the Contracting Party where the bus is registered and terminates on the territory of the State of the other Contracting Party, on the condition that the bus leaves the territory of the State of that Contracting Party empty;
  - c) the bus enters the territory of the State of the other Contracting Party to carry the group of passengers brought in earlier by the same carrier.

2. For occasional transport under paragraph 1 of this article the driver of the bus shall be in possession of the list of passengers in the format agreed by the competent authorities of the Contracting Parties.
3. A permit is likewise not required for the passage of a bus to replace a bus that has broken down within the course of an occasional transport of passengers.

## **Transport of Goods**

### **Article 7 (Permits for transport of goods)**

1. Transport of goods between the territories of the States of the Contracting Parties and in transit through their territories, with the exception of transport operations listed in Article 8 of this Agreement, are performed on the basis of a permit issued by the competent authorities of the Contracting Parties. Permit is also required for run of unladen vehicle entering the territory of the State of the other Contracting Party.
2. The competent authorities of the Contracting Parties issue multiple-use or single-use permits.
3. Multiple-use permit gives the right to perform more than one outward and return journey within the time period indicated in the permit. The competent authorities of the Contracting Parties shall jointly define the conditions of issuing multiple-use permits.
4. Single-use permit gives the right for one outward and return journey.
5. The carrier of the State of one Contracting Party may transport goods from the territory of the State of the other Contracting Party to the territory of a third State and from the territory of a third State to the territory of the State of the other Contracting Party on the basis of a third-country permit, issued by the competent authorities of the other Contracting Party.

[The Contracting Parties may condition such transport operations on the existence of transport agreements with the third States concerned]

6. Each year the competent authorities of the Contracting Parties exchange without charge a jointly agreed quantity of blank permits of all types for the transport of goods. The blanks bear the signature of the relevant official and the stamp of the competent authority that has issued the permit. Permits issued in the course of each year shall be valid until 31 January of the following year or as agreed by the parties.
7. The competent authorities of the Contracting Parties agree on the procedure for the practical exchange of blank permits.

### **Article 8 (Permit exemption for transport of goods)**

1. A permit as referred to in paragraph 1 of Article 7 of this Agreement is not required for the following types of transport:
  - a) Transport performed by vehicles, the maximum permissible weight of which, including a trailer or semitrailer, does not exceed 6 tonnes, or the permitted payload of which, including a trailer or semitrailer, does not exceed 3,5 tonnes; [Subject to relevant national legislation of the States of the Contracting Parties]

- b) Transport of a tractor to replace the tractor that has broken down in the course of transport;
- c) Transport of medical equipment, appliances and drugs for emergency medical aid, particularly in response to natural disasters and humanitarian needs;
- d) Transport of exhibits, works and objects of art, equipment and materials for fairs and exhibitions;
- e) Transport of decor, other properties, animals intended for theatrical, musical, sport or circus performances, fairs and movie shows, as well as articles intended for radio recordings or for film or television programs;
- f) Transport of corpses, remains and ashes of deceased persons;
- g) Transport of postal consignments;
- h) Transport of movable properties during relocation.

2. A permit referred to in paragraph 1 of Article 7 of this Agreement is likewise not required for the passage of technical assistance vehicles intended for the repair or towing of vehicles that have broken down.

3. The exceptions, mentioned in sub-paragraphs “e” and “f” of paragraph 1 of this Article, are valid only if the load is returned to the State where the vehicle is registered or if the load is transported to the territory of a third State.

#### **Article 9 (Prohibition of cabotage)**

Carriers registered on the territory of the State of one Contracting Party are not allowed to perform transport operations with loading and unloading goods or embarking and disembarking passengers between two points located in the territory of the State of the other Contracting Party.

### **III. COMMON PROVISIONS**

#### **Article 10 (Documents for vehicle and driver)**

1. The driver of the vehicle shall be in possession of a driving license valid for the category of the vehicle used for the international road transport under this Agreement, as well as of the registration documents for that vehicle.
2. The vehicle used for international road transport under this Agreement shall have registration plates and the distinguishing sign of the State of the Contracting Party in which it is registered. Trailers and semi-trailers can have registration plates and distinguishing signs of other States provided that trucks or trailers have registration plates and the distinguishing signs of the States of the Contracting Parties.
3. The permits and other documents that are required under this Agreement shall be kept on-board the vehicle and be presented at the request of the control authorities of the Contracting Parties.
4. The Contracting Parties mutually recognize the valid driving licenses, registration documents of the vehicle and license plates issued by their competent authorities.

### **Article 11 (Weights and dimensions)**

1. Weights, dimensions and other parameters of the vehicles used for international road transport under this Agreement, including axle load, shall comply with the requirements of national laws and regulations of the State of the Contracting Party in whose territory the transport is performed.

2. If the dimensions or weight of the vehicle, laden or unladen, exceed the limits established in the territory of the State of the other Contracting Party, the carrier shall obtain a special permit from the competent authorities of that Contracting Party and in accordance with national laws and regulations of its State.

[National provisions on weights, maximum axle loads and dimensions of the vehicles can be annexed to the Agreement]

[Provisions on the emission standards can be included into the Agreement by the Contracting Parties as a separate article or in an Annex to the Agreement]

### **Article 12 (Dangerous goods)**

1. Dangerous goods are carried in accordance with international treaties by which the Contracting Parties are bound, as well as with national laws and regulations of the States of the Contracting Parties.

2. If the carriage of dangerous goods in accordance with an international treaty or national laws and regulations of the State of the Contracting Party requires a special permit, the carrier shall obtain it from the competent authorities of that Contracting Party prior to commencing the international road transport.

3. The competent authorities of the Contracting Parties exchange lists of dangerous goods and information on the conditions of their carriage under national laws and regulations of their respective States in the framework of the Joint Committee established in accordance with this Agreement.

### **Article 13 (Customs payment exemptions)**

1. The following items imported in its vehicle by a carrier of one Contracting Party to the territory of the State of the other Contracting Party for the purposes of international road transport under this Agreement are reciprocally exempted from Customs duties, charges and taxes:

a) fuel contained in normal, manufacturer-made fuel tanks technologically and structurally related to the power supply system of the engine, as well as fuel contained in fuel tanks installed by the manufacturer of trailers and semi-trailers and intended for heating or cooling systems of the vehicle;

b) lubricants in a quantity normally required for vehicle maintenance during international road transport;

c) temporarily imported spare parts and tools for repairing a vehicle damaged in the course of international road transport.

2. Unused spare parts and tools mentioned in paragraph 1 c) of this article are subject to re-export. Replaced parts must be re-exported or placed under the Customs procedure of destruction or another Customs procedure in accordance with applicable laws and regulations of the State of the Contracting Party in whose territory the Customs regime of those spare parts is being changed.

#### **Article 14 (Use of vehicles and roads)**

1. In the course of international road transport under this Agreement the carriers of the Contracting Parties are reciprocally exempt from payment of taxes and charges related to possession or usage of the vehicles.
2. If either Contracting Party levies tolls and duties for the use of roads, bridges and tunnels on the territory of its State, the amounts of payment shall be the same for the carriers of that Contracting Party and the carriers of the other Contracting Party.

#### **Article 15 (Insurance)**

Carriers of passengers and goods under this Agreement shall have a valid certificate of third party civil liability insurance in respect of their vehicles. Carriers shall obtain such certificate in advance in respect of each of their vehicles.

#### **Article 16 (Compliance with laws and infringement)**

1. Carriers and crews of their vehicles engaged in international road transport shall comply with the provisions of this Agreement, as well as national laws and regulations, including traffic rules of the State of the host Contracting Party. In case of violation, the penalty shall be imposed in accordance with the national laws and regulations of the State of the Contracting Party in whose territory the violation was committed.
2. In case of a violation by a carrier or the crew of its vehicle of the provisions of this Agreement or of applicable domestic legislation, the competent authority of the Contracting Party in whose State territory the violation has occurred notifies the competent authority of the other Contracting Party, which takes the necessary measures under the national legislation of its State. The competent authorities of the Contracting Parties inform each other in due time of the measures taken.

#### **Article 17 (Inspections)**

1. Frontier, Customs, transport and sanitary inspections are subject to the provisions of international agreements by which the Contracting Parties are bound. Matters not regulated by such agreements are resolved in accordance with the domestic legislation of the State in whose territory the inspection in question takes place.
2. Frontier, Customs, transport and sanitary inspections are carried out on a priority basis in respect of transport of persons requiring urgent medical assistance, regular transport of passengers, as well as transport of animals and perishable goods.

[The Contracting Parties may include other categories of transport operations which would be granted priority for inspections]

[Provisions on visa facilitation can be included into the Agreement by the Contracting Parties as a separate article or in an Annex to the Agreement]

**Article 18 (Joint Committee)**

The competent authorities of the Contracting Parties shall establish a Joint Committee to consider the matters of interpretation and implementation of this Agreement.

**Article 19 (Dispute settlement)**

Any divergence related to the interpretation and implementation of this Agreement shall be resolved through negotiations and consultations between the competent authorities of the Contracting Parties.

**IV. FINAL PROVISIONS****Article 20 (Other obligations of the Parties)**

This Agreement shall not affect the rights and obligations of each of the Contracting Parties arising from other treaties in which \_\_\_\_\_ (country) or \_\_\_\_\_ (country) participate.

**Article 21 (Entry into force and amendment)**

1. This Agreement shall come into force not later than 30 days after the date of receipt of the last written notification through diplomatic channels confirming the completion of internal State procedures required for its entry into force.
2. The Contracting Parties may, by joint agreement, make amendments to this Agreement that shall come into force in accordance with the procedure indicated in paragraph 1 of the present article.
3. This Agreement is concluded for an indefinite period of time and shall remain in force until \_\_\_\_\_ months have elapsed following the date on which one of the Contracting Parties notifies the other Contracting Party through diplomatic channels of its intention to terminate its validity.

Done at \_\_\_\_\_ on “\_\_” \_\_\_\_\_ 20\_\_\_\_ in two original copies, each in the \_\_\_\_\_ languages, [and a language of international circulation] all these texts being equally authentic. (In case of any divergence, the [usually international language] \_\_\_\_\_ text shall be used for the purpose of interpretation of the provisions of this Agreement).

**ANNEXURE****List of routes and State border crossings for international road transport**

1. City - city -border crossing (country)/border crossing (country) - city - city.
2. City - city -border crossing (country)/border crossing (country) - city - city.

## Model bilateral agreement on international road transport

*Option 2: no designated routes and border crossings, but permits with quantitative restrictions (quotas) required in respect of most types of international transport operations.*

The Government of \_\_\_\_\_ (country) and the Government of (country), hereinafter referred to as the Contracting Parties,

Desiring to develop international transportation of goods and passengers by road between their countries and through their territories and to facilitate road transport connectivity between their countries and beyond,

[other texts as necessary]

Have agreed as follows:

### I. GENERAL PROVISIONS

#### Article 1 (Scope of application)

In accordance with this Agreement the international transport of passengers and goods between the States of the Contracting Parties and in transit through their territories, as well as to/from third countries, shall be carried out by vehicles registered in the territory of the State of one of the Contracting Parties.

#### Article 2 (Terms and definitions)

For the purpose of this Agreement:

“Competent authorities” mean:

For \_\_\_\_\_ (name of the Contracting Party 1) -  
\_\_\_\_\_ (names(s) of the respective competent authority(ies))

For \_\_\_\_\_ (name of the Contracting Party 2) -  
\_\_\_\_\_ (names(s) of the respective competent authority(ies))

“International road transport” means movement of vehicles either laden or unladen with crossing of State border and (or) through the territory(ies) of the State(s) of the Contracting Party(ies);

“Regular transport of passengers” means carriage of passengers over a specified route, according to a timetable, with set fares charged, and with predetermined stopping points where the passengers are picked up or set down;

“Occasional transport of passengers” means any other carriage of passengers not falling under the definition of “regular transport of passengers”;

“Carrier” means an individual or a legal entity established in the territory of the State of one of the Contracting Parties and authorized in accordance with national laws and regulations of its country to perform international carriage of goods or passengers by road;

“Vehicle” means a motor vehicle registered in the State of one of the Contracting Parties at the disposal of a carrier through being its own property or through hiring or leasing contract;

- In case of transport of passengers – any motorized vehicle intended for carrying passengers with more than nine seats including the driver's seat, including luggage trailer in the place where carriage takes place and such luggage trailer is not forbidden;
- In case of transport of goods - any motorized vehicle intended for carrying goods, including truck, truck with trailer, motor tractor and motor tractor with semi-trailer;

“Trailer” means any vehicle designed to be drawn by a power-driven vehicle, and includes semi-trailer;

“Driver” means an individual authorized by the competent authority of a Contracting Party to operate the vehicle;

“Driving license” means a document issued by the competent authority of a Contracting Party granting the right to the driver to operate the vehicle;

“Permit” means a document issued by the competent authority of a Contracting Party granting the right to undertake an international road transport on the territory of the State of that Contracting Party by a carrier established in the State of the other Contracting Party;

“Special permit” means an additional single-use permit issued in accordance with national laws and regulations of a Contracting Party for a carrier established in the State of another Contracting Party to carry oversized, overweight or dangerous goods on its territory;

“Third-country permit” means a single-use permit for a carrier of one Contracting Party to run a vehicle from the territory of the State of another Contracting Party to the territory of a third State, or from the territory of a third State to the territory of the State of the other Contracting Party;

“Sanitary inspection” means medical, veterinary and phytosanitary inspection.

[The Contracting Parties may add any other definition deemed relevant or necessary for the clarity of the agreement]

## **II. TRAFFIC RIGHTS**

### **Article 3 (Regular transport of passengers)**

1. Regular transport of passengers is performed on the basis of a permit granted by the competent authorities of the Contracting Parties.
2. Information on the route, the timetable, the fares, stopping points at which the carrier will embark and disembark passengers, and also the period and frequency of the transport, as well as other conditions agreed upon by the competent authorities of the Contracting Parties are indicated in the permit or in an annex to the permit, which should be certified by the competent authorities of the Contracting Party where the carrier is established.



3. Proposals for regular transport of passengers are submitted to each other by the competent authorities of the Contracting Parties. The decision of granting a permit or of refusal of granting a permit should be taken within \_\_\_\_ months upon the submission of the proposals.
4. The period of validity of the permit for regular transport of passengers is \_\_\_\_ year(s). The competent authorities of the Contracting Parties can amend this period upon their mutual agreement.

#### **Article 4 (Occasional transport of passengers)**

1. Occasional transport of passengers, with the exception of transport operations listed in Article 5 of this Agreement is performed on the basis of permits issued by the competent authorities of the Contracting Parties.
2. For each occasional transport of passengers a separate permit is issued, which gives the right for a single outward and return journey, unless otherwise specified in the permit.
3. Each year the competent authorities of the Contracting Parties exchange without charge a jointly agreed quantity of blank permits for occasional transport of passenger. The blanks bear the signature of the relevant official and the stamp of the competent authority that has issued the permit.
4. The competent authorities of the Contracting Parties agree on the procedure for the practical exchange of blank permits.

#### **Article 5 (Permit exemption for occasional transport of passengers)**

1. A permit for occasional transport of passengers is not required if the same group of passengers is being carried in the same bus throughout the entire trip, and:
  - a) The journey starts and terminates on the territory of the State of the Contracting Party where the bus is registered;
  - b) The journey starts on the territory of the State of the Contracting Party where the bus is registered and terminates on the territory of the State of the other Contracting Party, on the condition that the bus leaves the territory of the State of that Contracting Party empty;
  - c) The bus enters the territory of the State of the other Contracting Party to carry the group of passengers brought in earlier by the same carrier.
2. For occasional transport under paragraph 1 of this article the driver of the bus shall be in possession of the list of passengers in the format agreed by the competent authorities of the Contracting Parties.
3. A permit is likewise not required for the passage of a bus to replace a bus that has broken down within the course of an occasional transport of passengers.

### **Transport of Goods**

#### **Article 6 (Permits for transport of goods)**

1. Transport of goods between the territories of the States of the Contracting Parties and in transit through their territories, with the exception of transport operations listed in Article 7 of this Agreement, are performed on the basis of a permit issued by the competent authorities of the Contracting

Parties. Permit is also required for run of unladen vehicle entering the territory of the State of the other Contracting Party.

2. The competent authorities of the Contracting Parties issue multiple-use or single-use permits.

3. Multiple-use permit gives the right to perform more than one outward and return journey within the time period indicated in the permit. The competent authorities of the Contracting Parties shall jointly define the conditions of issuing multiple-use permits.

4. Single-use permit gives the right for one outward and return journey.

5. The carrier of the State of one Contracting Party may transport goods from the territory of the State of the other Contracting Party to the territory of a third State and from the territory of a third State to the territory of the State of the other Contracting Party on the basis of a third-country permit, issued by the competent authorities of the other Contracting Party.

[The Contracting Parties may condition such transport operations on the existence of transport agreements with the third States concerned]

6. Each year the competent authorities of the Contracting Parties exchange without charge a jointly agreed quantity of blank permits of all types for the transport of goods. The blanks bear the signature of the relevant official and the stamp of the competent authority that has issued the permit. Permits issued in the course of each year shall be valid until 31 January of the following year or as agreed by the parties.

7. The competent authorities of the Contracting Parties agree on the procedure for the practical exchange of blank permits.

#### **Article 7 (Permit exemption for transport of goods)**

1. A permit as referred to paragraph 1 of in Article 6 of this Agreement is not required for the following types of transport:

a) Transport performed by vehicles, the maximum permissible weight of which, including a trailer or semitrailer, does not exceed 6 tonnes, or the permitted payload of which, including a trailer or semitrailer, does not exceed 3,5 tonnes; [Subject to relevant national legislation of the States of the Contracting Parties]

b) Transport of a tractor to replace the tractor that has broken down in the course of transport;

c) Transport of medical equipment, appliances and drugs for emergency medical aid, particularly in response to natural disasters and humanitarian needs;

d) Transport of exhibits, works and objects of art, equipment and materials for fairs and exhibitions;

e) Transport of decor, other properties, animals intended for theatrical, musical, sport or circus performances, fairs and movie shows, as well as articles intended for radio recordings or for film or television programs;

f) Transport of corpses, remains and ashes of deceased persons;

g) Transport of postal consignments;

h) Transport of movable properties during relocation.

2. A permit referred to in paragraph 1 of Article 6 of this Agreement is likewise not required for the passage of technical assistance vehicles intended for the repair or towing of vehicles that have broken down.

3. The exceptions, mentioned in sub-paragraphs “e” and “f” of paragraph 1 of this Article, are valid only if the load is returned to the State where the vehicle is registered or if the load is transported to the territory of a third State.

#### **Article 8 (Prohibition of cabotage)**

Carrier registered on the territory of the State of one Contracting Party are not allowed to perform transport operations with loading and unloading goods or embarking and disembarking passengers between two points located in the territory of the State of the other Contracting Party.

### **III. COMMON PROVISIONS**

#### **Article 9 (Documents for vehicle and driver)**

1. The driver of the vehicle shall be in possession of a driving license valid for the category of the vehicle used for the international road transport under this Agreement, as well as of the registration documents for that vehicle.

2. The vehicle used for international road transport under this Agreement shall have registration plates and the distinguishing sign of the State of the Contracting Party in which it is registered. Trailers and semi-trailers can have registration plates and distinguishing signs of other States provided that trucks or trailers have registration plates and the distinguishing signs of the States of the Contracting Parties.

3. The permits and other documents that are required under this Agreement shall be kept on-board the vehicle and be presented at the request of the control authorities of the Contracting Parties.

4. The Contracting Parties mutually recognize the valid driving licenses, registration documents of the vehicle and license plates issued by their competent authorities.

#### **Article 10 (Weights and dimensions)**

1. Weights, dimensions and other parameters of the vehicles used for international road transport under this Agreement, including axle load, shall comply with the requirements of national laws and regulations of the State of the Contracting Party in whose territory the transport is performed.

2. If the dimensions or weight of the vehicle, laden or unladen, exceed the limits established in the territory of the State of the other Contracting Party, the carrier shall obtain a special permit from the competent authorities of that Contracting Party and in accordance with national laws and regulations of its State.

[National provisions on weights, maximum axle loads and dimensions of the vehicles can be annexed to the Agreement]

[Provisions on the emission standards can be included into the Agreement by the Contracting Parties as a separate article or in an Annex to the Agreement]

### **Article 11 (Dangerous goods)**

1. Dangerous goods are carried in accordance with international treaties by which the Contracting Parties are bound, as well as with national laws and regulations of the States of the Contracting Parties.
2. If the carriage of dangerous goods in accordance with an international treaty or national laws and regulations of the State of the Contracting Party requires a special permit, the carrier shall obtain it from the competent authorities of that Contracting Party prior to commencing the international road transport.
3. The competent authorities of the Contracting Parties exchange lists of dangerous goods and information on the conditions of their carriage under national laws and regulations of their respective States in the framework of the Joint Committee established in accordance with this Agreement.

### **Article 12 (Customs payment exemptions)**

1. The following items imported in its vehicle by a carrier of one Contracting Party to the territory of the State of the other Contracting Party for the purposes of international road transport under this Agreement are reciprocally exempted from Customs duties, charges and taxes:
  - a) fuel contained in normal, manufacturer-made fuel tanks technologically and structurally related to the power supply system of the engine, as well as fuel contained in fuel tanks installed by the manufacturer of trailers and semi-trailers and intended for heating or cooling systems of the vehicle;
  - b) lubricants in a quantity normally required for vehicle maintenance during international road transport;
  - c) temporarily imported spare parts and tools for repairing a vehicle damaged in the course of international road transport.
2. Unused spare parts and tools mentioned in paragraph 1 c) of this article are subject to re-export. Replaced parts must be re-exported or placed under the Customs procedure of destruction or another Customs procedure in accordance with applicable laws and regulations of the State of the Contracting Party in whose territory the Customs regime of those spare parts is being changed.

### **Article 13 (Use of vehicles and roads)**

1. In the course of international road transport under this Agreement the carriers of the Contracting Parties are reciprocally exempt from payment of taxes and charges related to possession or usage of the vehicles.
2. If either Contracting Party levies tolls and duties for the use of roads, bridges and tunnels on the territory of its State, the amounts of payment shall be the same for the carriers of that Contracting Party and the carriers of the other Contracting Party.

### **Article 14 (Insurance)**

Carriers of passengers and goods under this Agreement shall have a valid certificate of third party civil liability insurance in respect of their vehicles. Carriers shall obtain such certificate in advance in respect of each of their vehicles.

### **Article 15 (Compliance with laws and infringement)**

1. Carriers and crews of their vehicles engaged in international road transport shall comply with the provisions of this Agreement, as well as national laws and regulations, including traffic rules of the State of the host Contracting Party. In case of violation, the penalty shall be imposed in accordance with the national laws and regulations of the State of the Contracting Party in whose territory the violation was committed.

2. In case of a violation by a carrier or the crew of its vehicle of the provisions of this Agreement or of applicable domestic legislation, the competent authority of the Contracting Party in whose State territory the violation has occurred notifies the competent authority of the other Contracting Party, which takes the necessary measures under the national legislation of its State. The competent authorities of the Contracting Parties inform each other in due time of the measures taken.

### **Article 16 (Inspections)**

1. Frontier, Customs, transport and sanitary inspections are subject to the provisions of international agreements by which the Contracting Parties are bound. Matters not regulated by such agreements are resolved in accordance with the domestic legislation of the State in whose territory the inspection in question takes place.

2. Frontier, Customs, transport and sanitary inspections are carried out on a priority basis in respect of transport of persons requiring urgent medical assistance, regular transport of passengers, as well as transport of animals and perishable goods.

[The Contracting Parties may include other categories of transport operations which would be granted priority for inspections]

[Provisions on visa facilitation can be included into the Agreement by the Contracting Parties as a separate article or in an Annex to the Agreement]

### **Article 17 (Joint Committee)**

The competent authorities of the Contracting Parties shall establish a Joint Committee to consider the matters of interpretation and implementation of this Agreement.

### **Article 18 (Dispute settlement)**

Any divergence related to the interpretation and implementation of this Agreement shall be resolved through negotiations and consultations between the competent authorities of the Contracting Parties.

## **IV. FINAL PROVISIONS**

### **Article 19 (Other obligations of the Parties)**

This Agreement shall not affect the rights and obligations of each of the Contracting Parties arising from other treaties in which \_\_\_\_\_ (country) or \_\_\_\_\_ (country) participate.

**Article 20 (Entry into force and amendment)**

1. This Agreement shall come into force not later than 30 days after the date of receipt of the last written notification through diplomatic channels confirming the completion of internal State procedures required for its entry into force.
2. The Contracting Parties may, by joint agreement, make amendments to this Agreement that shall come into force in accordance with the procedure indicated in paragraph 1 of the present article.
3. This Agreement is concluded for an indefinite period of time and shall remain in force until \_\_\_\_\_ months have elapsed following the date on which one of the Contracting Parties notifies the other Contracting Party through diplomatic channels of its intention to terminate its validity.

Done at \_\_\_\_\_ on “\_\_” \_\_\_\_\_ 20\_\_ in two original copies, each in the \_\_\_\_\_ languages, [and a language of international circulation] all these texts being equally authentic. (In case of any divergence, the [usually international language] \_\_\_\_\_ text shall be used for the purpose of interpretation of the provisions of this Agreement).

## Model bilateral agreement on international road transport

*Option 3: no permit required for occasional transport of passengers and for bilateral and transit transport of goods. Permits are required only for regular transport of passengers and for third-country transport of goods.*

The Government of \_\_\_\_\_ (country) and the Government of (country), hereinafter referred to as the Contracting Parties,

Desiring to develop international transportation of goods and passengers by road between their countries and through their territories and to facilitate road transport connectivity between their countries and beyond,

[other texts as necessary]

Have agreed as follows:

### I. GENERAL PROVISIONS

#### Article 1 (Scope of application)

In accordance with this Agreement the international transport of passengers and goods between the States of the Contracting Parties and in transit through their territories, as well as to / from third countries, shall be carried out by vehicles registered in the territory of the State of one of the Contracting Parties.

#### Article 2 (Terms and definitions)

For the purpose of this Agreement:

“Competent authorities” mean:

For \_\_\_\_\_ (name of the Contracting Party 1) -  
\_\_\_\_\_ (names(s) of the respective competent authority(ies))

For \_\_\_\_\_ (name of the Contracting Party 2) -  
\_\_\_\_\_ (names(s) of the respective competent authority(ies))

“International road transport” means movement of vehicles either laden or unladen with crossing of State border and (or) through the territory(ies) of the State(s) of the Contracting Party(ies);

“Regular transport of passengers” means carriage of passengers over a specified route, according to a timetable, with set fares charged, and with predetermined stopping points where the passengers are picked up or set down;

“Occasional transport of passengers” means any other carriage of passengers not falling under the definition of “regular transport of passengers”;

“Carrier” means an individual or a legal entity established in the territory of the State of one of the Contracting Parties and authorized in accordance with national laws and regulations of its country to perform international carriage of goods or passengers by road;

“Vehicle” means a motor vehicle registered in the State of one of the Contracting Parties at the disposal of a carrier through being its own property or through hiring or leasing contract;

- In case of transport of passengers – any motorized vehicle intended for carrying passengers with more than nine seats including the driver's seat, including luggage trailer in the place where carriage takes place and such luggage trailer is not forbidden;
- In case of transport of goods - any motorized vehicle intended for carrying goods, including truck, truck with trailer, motor tractor and motor tractor with semi-trailer;

“Trailer” means any vehicle designed to be drawn by a power-driven vehicle, and includes semi-trailer;

“Driver” means an individual authorized by the competent authority of a Contracting Party to operate the vehicle;

“Driving license” means a document issued by the competent authority of a Contracting Party granting the right to the driver to operate the vehicle;

“Permit” means a document issued by the competent authority of a Contracting Party granting the right to undertake an international road transport on the territory of the State of that Contracting Party by a carrier established in the State of the other Contracting Party;

“Special permit” means an additional single-use permit issued in accordance with national laws and regulations of a Contracting Party for a carrier established in the State of another Contracting Party to carry oversized, overweight or dangerous goods on its territory;

“Third-country permit” means a single-use permit for a carrier of one Contracting Party to run a vehicle from the territory of the State of another Contracting Party to the territory of a third State, or from the territory of a third State to the territory of the State of the other Contracting Party;

“Sanitary inspection” means medical, veterinary and phytosanitary inspection.

[The Contracting Parties may add any other definition deemed relevant or necessary for the clarity of the agreement]

## **II. TRAFFIC RIGHTS**

### **Article 3 (Transport of passengers)**

1. Regular transport of passengers is performed on the basis of a permit granted by the competent authorities of the Contracting Parties.
2. Information on the route, the timetable, the fares, stopping points at which the carrier will embark and disembark passengers, and also the period and frequency of the transport, as well as other conditions agreed upon by the competent authorities of the Contracting Parties are indicated in the permit or in an annex to the permit, which should be certified by the competent authorities of the Contracting Party where the carrier is established.



3. Proposals for regular transport of passengers are submitted to each other by the competent authorities of the Contracting Parties. The decision of granting a permit or of refusal of granting a permit should be taken within \_\_\_\_ months upon the submission of the proposals.
4. The period of validity of the permit for regular transport of passengers is \_\_\_\_ year(s). The competent authorities of the Contracting Parties can amend this period upon their mutual agreement.
5. Occasional transport of passengers is performed without permits.

#### **Article 4 (Transport of goods)**

1. Transport of goods between the territories of the States of the Contracting Parties and in transit through their territories shall be carried out without permits.
2. The carrier of the State of one Contracting Party may transport goods from the territory of the State of the other Contracting Party to the territory of a third State and from the territory of a third State to the territory of the State of the other Contracting Party on the basis of a third-country permit, issued by the competent authorities of the other Contracting Party

[The Contracting Parties may condition such transport operations on the existence of transport agreements with the third States concerned]

3. Each year the competent authorities of the Contracting Parties exchange without charge a jointly agreed quantity of blank third-country permits. The blank third-country permits bear the signature of the relevant official and the stamp of the competent authority that has issued the third-country permit. Third-country permits issued in the course of each year shall be valid until 31 January of the following year or as agreed by the parties.
4. The competent authorities of the Contracting Parties agree on the procedure for the practical exchange of blank third-country permits.

#### **Article 5 (Prohibition of cabotage)**

The carrier registered on the territory of the State of one Contracting Party is not allowed to perform transport operations with loading and unloading goods or embarking and disembarking passengers between two points located in the territory of the State of the other Contracting Party.

### **III. COMMON PROVISIONS**

#### **Article 6 (Documents for vehicle and driver)**

1. The driver of the vehicle shall be in possession of a driving license valid for the category of the vehicle used for the international road transport under this Agreement, as well as of the registration documents for that vehicle.
2. The vehicle used for international road transport under this Agreement shall have registration plates and the distinguishing sign of the State of the Contracting Party in which it is registered. Trailers and semi-trailers can have registration plates and distinguishing signs of other States provided that trucks or trailers have registration plates and the distinguishing signs of the States of the Contracting Parties.

3. The permits and other documents that are required under this Agreement shall be kept on-board the vehicle and be presented at the request of the control authorities of the Contracting Parties.

4. The Contracting Parties mutually recognize the valid driving licenses, registration documents of the vehicle and license plates issued by their competent authorities.

#### **Article 7 (Weights and dimensions)**

1. Weights, dimensions and other parameters of the vehicles used for international road transport under this Agreement, including axle load, shall comply with the requirements of national laws and regulations of the State of the Contracting Party in whose territory the transport is performed.

2. If the dimensions or weight of the vehicle, laden or unladen, exceed the limits established in the territory of the State of the other Contracting Party, the carrier shall obtain a special permit from the competent authorities of that Contracting Party and in accordance with national laws and regulations of its State.

[National provisions on weights, maximum axle loads and dimensions of the vehicles can be annexed to the Agreement]

[Provisions on the emission standards can be included into the Agreement by the Contracting Parties as a separate article or in an Annex to the Agreement]

#### **Article 8 (Dangerous goods)**

1. Dangerous goods are carried in accordance with international treaties by which the Contracting Parties are bound, as well as with national laws and regulations of the States of the Contracting Parties.

2. If the carriage of dangerous goods in accordance with an international treaty or national laws and regulations of the State of the Contracting Party requires a special permit, the carrier shall obtain it from the competent authorities of that Contracting Party prior to commencing the international road transport.

3. The competent authorities of the Contracting Parties exchange lists of dangerous goods and information on the conditions of their carriage under national laws and regulations of their respective States in the framework of the Joint Committee established in accordance with this Agreement.

#### **Article 9 (Customs payment exemptions)**

1. The following items imported in its vehicle by a carrier of one Contracting Party to the territory of the State of the other Contracting Party for the purposes of international road transport under this Agreement are reciprocally exempted from Customs duties, charges and taxes:

a) Fuel contained in normal, manufacturer-made fuel tanks technologically and structurally related to the power supply system of the engine, as well as fuel contained in fuel tanks installed by the manufacturer of trailers and semi-trailers and intended for heating or cooling systems of the vehicle;

b) Lubricants in a quantity normally required for vehicle maintenance during international road transport;

c) Temporarily imported spare parts and tools for repairing a vehicle damaged in the course of international road transport.

2. Unused spare parts and tools mentioned in paragraph 1 c) of this article are subject to re-export. Replaced parts must be re-exported or placed under the Customs procedure of destruction or another Customs procedure in accordance with applicable laws and regulations of the State of the Contracting Party in whose territory the Customs regime of those spare parts is being changed.

#### **Article 10 (Use of vehicles and roads)**

1. In the course of international road transport under this Agreement the carriers of the Contracting Parties are reciprocally exempt from payment of taxes and charges related to possession or usage of the vehicles.

2. If either Contracting Party levies tolls and duties for the use of roads, bridges and tunnels on the territory of its State, the amounts of payment shall be the same for the carriers of that Contracting Party and the carriers of the other Contracting Party.

#### **Article 11 (Insurance)**

Carriers of passengers and goods under this Agreement shall have a valid certificate of third party civil liability insurance in respect of their vehicles. Carriers shall obtain such certificate in advance in respect of each of their vehicles.

#### **Article 12 (Compliance with laws and infringement)**

1. Carriers and crews of their vehicles engaged in international road transport shall comply with the provisions of this Agreement, as well as national laws and regulations, including traffic rules of the State of the host Contracting Party. In case of violation, the penalty shall be imposed in accordance with the national laws and regulations of the state of the Contracting Party in whose territory the violation was committed.

2. In case of a violation by a carrier or the crew of its vehicle of the provisions of this Agreement or of applicable domestic legislation, the competent authority of the Contracting Party in whose State territory the violation has occurred notifies the competent authority of the other Contracting Party, which takes the necessary measures under the national legislation of its State. The competent authorities of the Contracting Parties inform each other in due time of the measures taken.

#### **Article 13 (Inspections)**

1. Frontier, Customs, transport and sanitary inspections are subject to the provisions of international agreements by which the Contracting Parties are bound. Matters not regulated by such agreements are resolved in accordance with the domestic legislation of the State in whose territory the inspection in question takes place.

2. Frontier, Customs, transport and sanitary inspections are carried out on a priority basis in respect of transport of persons requiring urgent medical assistance, regular transport of passengers, as well as transport of animals and perishable goods.

[The Contracting Parties may include other categories of transport operations which would be granted priority for inspections]

[Provisions on visa facilitation can be included into the Agreement by the Contracting Parties as a separate article or in an Annex to the Agreement]

#### **Article 14 (Joint Committee)**

The competent authorities of the Contracting Parties shall establish a Joint Committee to consider the matters of interpretation and implementation of this Agreement.

#### **Article 15 (Dispute settlement)**

Any divergence related to the interpretation and implementation of this Agreement shall be resolved through negotiations and consultations between the competent authorities of the Contracting Parties.

### **IV. FINAL PROVISIONS**

#### **Article 16 (Other obligations of the Parties)**

This Agreement shall not affect the rights and obligations of each of the Contracting Parties arising from other treaties in which \_\_\_\_\_ (country) or \_\_\_\_\_ (country) participate.

#### **Article 17 (Entry into force and amendment)**

1. This Agreement shall come into force not later than 30 days after the date of receipt of the last written notification through diplomatic channels confirming the completion of internal State procedures required for its entry into force.
2. The Contracting Parties may, by joint agreement, make amendments to this Agreement that shall come into force in accordance with the procedure indicated in paragraph 1 of the present article.
3. This Agreement is concluded for an indefinite period of time and shall remain in force until \_\_\_\_\_ months have elapsed following the date on which one of the Contracting Parties notifies the other Contracting Party through diplomatic channels of its intention to terminate its validity.

Done at \_\_\_\_\_ on “\_\_” \_\_\_\_\_ 20\_\_ in two original copies, each in the \_\_\_\_\_ languages, [and a language of international circulation] all these texts being equally authentic. (In case of any divergence, the [usually international language] \_\_\_\_\_ text shall be used for the purpose of interpretation of the provisions of this Agreement).

## Annex IV

### Model Multilateral Permit for International Road Transport\*

#### Introduction

The Regional Strategic Framework for the Facilitation of International Road Transport, adopted by ESCAP member States at the Ministerial Conference on Transport held in Bangkok in March 2012, provides a strategic vision and targets to address challenges to international road transport in the region. It has set common targets for fundamental elements of facilitation of international road transport in the region and identified processes to follow for achieving those targets.

In terms of traffic rights, the Regional Strategic Framework targets a wider application of multiple-entry transport permits valid for one year and multiple routes or road networks, issued to a carrier for any compliant vehicle in its fleet, which could be used both for inter-state and transit transport operations. In addition, the Framework suggests that multilateral transport permits should be promoted for wider applications in parallel with bilateral transport permits.

The Model Multilateral Permit for International Road Transport is recommended at a moment when insufficient transport facilitation measures are still one of the most serious issues. Existing regional, sub-regional, bilateral and multilateral agreements that include transport facilitation provisions are not optimally implemented yet. The level of harmonization of technical standards for vehicles or qualification standards for drivers is still low, and borders remain difficult to cross due to administrative / bureaucratic obstacles such as the lack of transport and transit rights. Cross-border transport is mostly characterized by the obligation of trans-loading from vehicles of a foreign country to vehicles of the country of destination or transit at border posts of exit/entry. Such a trans-loading practice is in a diametrical contradiction with any transport logistics rationalities as well as economic efficiency requirements in today's inter-connected world. Transport permits (if any) are issued for one single trip along one designated route by one specified individual vehicle. As a consequence of these complex issues, long-term interests of trade and economic cooperation suffer.

Until a possible consensus on the region-wide use of multilateral permits, countries could follow the process indicated in the Regional Strategic Framework for the Facilitation of International Road Transport: when member countries formulate or renew their bilateral or multilateral agreements on international road transport or hold consultations on the implementation of the agreements, they may consider adopting transport permits valid for multiple entries with one year validity and/or on multiple routes or road networks and allow their competent authorities to issue the permits to their carriers instead of particular vehicles.

#### Expected benefits of implementing Multilateral Permit for International Road Transport

The immediate benefit of implementing Multilateral Permit for International Road Transport will be the abandonment of existing inefficient trans-loading practices at border, which currently increase transport and logistics costs. Transport operations accomplished directly, i.e. without

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\* This annex is being issued without formal editing.

trans-loading thanks to the multilateral transport permit, contributes equally to an uninterrupted and clear line of contractual responsibility for the final delivery of the cargo in time and in undamaged state. The driver of the originally contracted carrier remains in full control from the point of loading to the point of unloading at final destination. On this basis, transport security increases and the relationship of trust between business partners is considerably improved.

Well-functioning multilateral permits will definitely create a virtuous circle: solving the traffic rights problems translates into enhanced access to international road freight transport markets along Asian Highway Network and beyond. Permits as transport facilitation measures may give impetus to vehicle fleet modernization, application of higher vehicle technical, environmental and safety standards, reduced exposure to border crossing bureaucracy and possible illegal activities (rent-seeking, bribes, etc.), and increased physical cargo security.

While facilitating road transport by exchanging permits, Governments will continue to keep full control of issuing permits to domestic and foreign transport operators; they have the right to carry out regular checks of permit use and apply specific disciplinary action against non-complying operators.

**A. Model Multilateral Permit for International Road Transport for one single return trip**

In the first phase, until trust among partners and self-confidence are built, it may be a good solution to introduce multilateral single return trip permits in order to familiarize all stakeholders with the new conditions and requirements. Although not desirable, the multilateral permit could be applicable for transport of goods on prescribed routes for a limited, short period of time (for example six months) after its introduction. Cabotage would be prohibited.

The permit should be valid for freight transport by road between the countries participating in the arrangement and in transit through their territory. The permit will be issued to a named carrier and shall not be transferrable to another carrier.

The permit should cover a truck, or a truck and trailer or a combination of a tractor and a semitrailer (vehicle combination), if such combinations are allowed by the national legislation. In the two latter cases, the permit shall cover the prime mover and no permit should be required for the trailer or semi-trailer.

The permit should include details regarding the manner to fill it out, conditions of use, validity, procedure to present it for control.

The Model Multilateral Permit for International Road Transport for one single return trip is recommended below.

**Front page**

[Languages to be used in the permit are to be defined by the Contracting Parties]

<b>MULTILATERAL PERMIT FOR INTERNATIONAL ROAD TRANSPORT VALID FOR ONE SINGLE RETURN TRIP (OUTBOUND AND INBOUND)</b>	
Series No.: (Country code) 00000000	
This permit is issued in conformity with [title of the applicable agreement]. It can be used for a single return trip within the period of its validity. Valid for the year: [calendar year]	
This permit is valid for freight transport by road between [names of countries] and in transit through their territories.	
Signature and Seal of Issuing Authority (Signature of Competent Authority of the Party concerned and stamp of the authority) Date: _____ Place: _____	
Name and address of Carrier	
Truck/tractor plate No./country	
Truck/tractor model/weight(kg)	
Trailer plate No./country/weight (kg)	
Brief description of goods and gross weight of goods (kg) [This information would not be needed in countries where it is contained in other transport or commercial documents which must be kept on-board the vehicle]	- Outbound trip: - Inbound trip:
Identification number of routes to be used (if prescribed)	- Outbound trip: - Inbound trip:
Inspection and signature/seal by control authority of the <i>departure</i> country	- Outbound trip: date and place - Inbound trip: date and place
Inspection and signature/seal by control authority of a <i>transit</i> country <i>(This section is to be re-entered into the form according to the number of possible transit countries corresponding to the number and composition of the Contracting Parties.)</i>	- Outbound trip: date and place - Inbound trip: date and place
Inspection and signature/seal by control authority of the <i>destination</i> country	- Outbound trip: date and place - Inbound trip: date and place
- Elements of security such as alphanumeric number with corresponding barcode, samples of stamps of competent authority of each Contracting Party, watermark, embossed emblem, special paper and ink.	

**Back page****Instructions**

- (1) This permit is valid for freight transport by road between [*names of countries*] and in transit through their territories.
- (2) This permit can be used for a single return trip within the period of its validity.
- (3) This permit covers a truck, or a truck and trailer or a combination of a tractor and a semitrailer (vehicle combination). The permit covers the prime mover and no permit shall be required for the trailer or semi-trailer.
- (4) This permit is applicable for transport of goods on prescribed routes [*if applicable*].
- (5) This permit cannot be used for road transport between two points within the territory of one country (cabotage is prohibited).
- (6) This permit is issued to the named carrier and cannot be transferred to another carrier.
- (7) The permit shall be filled in completely and without corrections. The return trip information may be filled in prior to the return trip. Incorrectly filled-in permit is considered to be invalid.
- (8) The use of forged permit is illegal and will be subject to punishment in accordance with applicable laws.
- (9) This permit must be used within the calendar year indicated in the permit and shall remain valid until return of the vehicle to the territory of the State of the Party where the permit is issued, but in any case not later than 31 January of the following year.
- (10) This permit must be in the possession of the driver and be presented upon request of the authorized officials.
- (11) Carriers must adhere to national legislation, road transport regulations and traffic rules of the State of the Party where the transport takes place.
- (12) This permit must be returned to the issuing authority within two weeks upon the expiry of its validity.

**B. Model Multilateral Permit for International Road Transport for multiple trips**

The second phase of introduction of multilateral permits consists of introducing and exchanging permits valid for multiple trips. As for the single trip permits, the permit could be applicable for transport of goods on prescribed routes for a limited, short period of time (for example six months) after its introduction, and cabotage would be prohibited.

The permit should be valid for freight transport by road between the countries participating in the arrangement and in transit through their territory. It should be used for an unlimited number of trips within the period of its validity. The permit will be issued to a named carrier and shall not be transferrable to another carrier.



The permit should cover a truck, or a truck and trailer or a combination of a tractor and a semitrailer (vehicle combination), if such combinations are allowed by the national legislation. In the two latter cases, the permit shall cover the prime mover and no permit should be required for the trailer or semi-trailer.

The permit should include details regarding the manner to fill it out, conditions of use, validity, procedure to present it for control.

The major difference compared to the single trip permit is that the multiple trips permit shall always be accompanied by a logbook, in order to allow for documenting the trips. The logbook should include details of each trip, such as:

- Date of departure
- Date of arrival
- Place and country of loading
- Place and country of unloading
- Registration number of tractor and country of registration
- Vehicle Total Weight, of which
  - Truck
  - Trailer / semi-trailer
    - Number of km at departure
    - Number of km at arrival
- Brief description of goods and their gross weight (kg)  
*[This information would not be needed in countries where it is contained in other transport or commercial documents which must be kept on-board the vehicle]*
- Identification number of routes to be used *[if applicable]*
- Inspection & signature/seal by control authority of departure country
- Inspection & signature/seal by control authority of transit country(ies)
- Inspection & signature/seal by control authority of arrival country

The Model Multilateral Permit for International Road Transport for multiple uses including the logbook is recommended below.

**Front page**

*[Languages to be used in the permit are to be defined by the Contracting Parties]*

<b>MULTILATERAL PERMIT FOR INTERNATIONAL ROAD TRANSPORT</b>  <b>VALID FOR MULTIPLE TRIPS</b>
Series No.: (Country code) 00000000
<p>This permit is issued in conformity with <i>[title of applicable agreement]</i>. It can be used for an unlimited number of trips (multiple-trips permit) within the period of its validity.</p> <p>Valid for the year: <i>[calendar year]</i></p>
This permit is issued to <i>[Carrier's name and address]</i>
Valid for carrying out road haulage operations between and in transit through the following countries: <i>[names of participating countries]</i>
<p>Signature and Seal of Issuing Authority</p> <p>(Signature of Competent Authority of the Party concerned and stamp of the authority)</p> <p>Date: _____ Place: _____</p>
Elements of security such as alphanumeric number with corresponding barcode, samples of stamps of competent authority of each Contracting Party, watermark, embossed emblem, special paper and ink.

**Back page****Instructions**

- (1) This permit is valid for freight transport by road between [*names of countries*] and in transit through their territories
- (2) This permit can be used for an unlimited number of trips within the period of its validity.
- (3) This permit shall always be accompanied by a logbook (enclosed).
- (4) This permit covers a truck, or a truck and trailer or a combination of a tractor and a semitrailer (vehicle combination). The permit covers the prime mover and no permit shall be required for the trailer or semi-trailer.
- (5) This permit is applicable for the transport of goods on prescribed routes [*if applicable*].
- (6) This permit cannot be used for road transport between two points within the territory of one country (cabotage is prohibited).
- (7) This permit is issued to the named carrier and cannot be transferred to another carrier.
- (8) The permit and the accompanying logbook shall be filled in completely and without corrections. Incorrectly filled-in permit and/or logbook are considered to be invalid.
- (9) The use of forged permit and/or logbook is illegal and will be subject to punishment in accordance with applicable laws.
- (10) This permit must be used within the calendar year indicated in the permit and shall remain valid until return of the vehicle to the territory of the State of the country where the permit is issued, but in any case not later than 31 January of the following year.
- (11) This permit and the accompanying logbook must be in the possession of the driver and be presented upon request of the authorized officials.
- (12) Carriers must adhere to national legislation, road transport regulations and traffic rules of the State of the country where transport takes place.
- (13) This permit must be returned to the issuing authority within two weeks upon the expiry of its validity.

**Enclosure**

<b>LOGBOOK FOR INTERNATIONAL FREIGHT TRANSPORT BY ROAD</b>	
<b>Logbook number</b>	
<b>Country name</b> <i>[same as for the permit accompanied by the present logbook]</i>	
<b>Permit number</b>	
<b>Carrier</b>	<ul style="list-style-type: none"><li>• Name:</li><li>• Address:</li></ul>
<b>Stamp and signature of the issuing Authority</b>	Issued at.....on..... <i>[Place and date of issue]</i>  Signature and stamp
Elements of security such as alphanumeric number with corresponding barcode, samples of stamps of competent authority of each Contracting Party, watermark, embossed emblem, special paper and ink.	

**Logbook Sheet No 1.<sup>a</sup>**

(1) a) Date of departure b) Date of arrival	(2) a) Place and country of loading b) Place and country of unloading	(3) Registration No. of tractor and country of registration	(4) Vehicle Total Weight, of which - Truck - Trailer/semi-trailer	(5) a) Number of km at departure b) Number of km at arrival	(6) Brief description of goods and their gross weight (kg)	(7) Identification number of routes to be used (if prescribed)	(8) Inspection & signature/seal by control authority of departure country	(9) Inspection & signature/seal by control authority of transit country(ies) <sup>b</sup>	(10) Inspection & signature/seal by control authority of arrival country	(11) Special remarks
a)										
b)										
a)										
b)										
a)										
b)										
a)										
b)										

<sup>a</sup> Logbook sheets are added as need be by the issuing Authority. The issuing Authority may stamp each sheet or apply other anti-forging elements.

<sup>b</sup> Columns added as need be.

### **IMPORTANT NOTICE**

1. This logbook and the corresponding permit must be kept on-board the vehicle. There must be only one logbook per permit.
2. Logbooks should have the same number as the permit to which they refer/which they accompany, with a sub numbering if necessary, since a new logbook may only be issued to the carrier if and when the first one is completed. In case this concordance is not met, the permit itself may be considered non valid.
3. The record of transport operations shall be drawn up by the transport company before the commencement of any journey carried out, in order to show in chronological order each laden trip between the point of loading and the point of unloading and also each unladen trip with a border crossing. Transit points may also be written down; however this is not compulsory.
4. In cases when during one trip goods are collected or downloaded at different places, this shall be reflected in the respective columns (1, 2, 3, 5 and 6).
5. Any corrections must be made in such a way that the original wording or figures remain legible.
6. The completed record sheets should be kept in the logbook until the period of validity indicated in the permit expires. The copies of the record sheets are detached and sent to the competent authority within two weeks after the end of each calendar month.

## Annex V

### Standard Model of Logistics Information Systems\*

#### Introduction

The evolution of Information and Communications Technology (ICT) has provided immense opportunities to improve the efficiency and effectiveness and ensure the continuous development of the logistics sector at both national and transnational level through the establishment of Logistics Information Systems. However, the establishment and utilization of such systems involve considerably technical complexity. The Standard Model of Logistics Information Systems should be considered by referring to technical details listed in the “Regional Study: The use of Logistics Information Systems for increased efficiency and effectiveness” report available for download from UNESCAP website: <http://www.unescap.org/resources/regional-study-use-logistics-information-systems-increased-efficiency-and-effectiveness>.

The main elements and technical recommendations for consideration when establishing new logistics information systems or developing existing ones are listed below.

#### Main elements to be considered prior to establish Logistics Information Systems

- Characteristics of the systems e.g.:
  - National and/or transnational;
  - Single Window or information platform;
- Responsibilities/functions/roles (including development, operation, lead agency of the systems) of participating public authorities/agencies as well as relevant private stakeholders.
- Data harmonization for systems interoperability:
  - Setting data types, i.e. business-government; public/private data including data security;
  - Setting data/information standards by adopting international standards and codes (e.g. UN/CEFACT Recommendations, ISO, UBL, ebXML etc.);
  - Design national codes to supplement only when necessary.

#### General recommendations

The development of logistics information systems as public platforms (a service provided by the public sector), at national and transnational level, is one feasible solution to facilitate cross-border transport and improve the seamlessness of international supply chains, with positive impact on trade. The use of such systems allow for harmonization and simplification of the information exchanged between and among relevant Government agencies and private stakeholders respectively.

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\* This annex is being issued without formal editing.

However, establishing such systems is a complex endeavour and their effectiveness and efficiency depend on many factors. The present guidelines and recommendations have been prepared by experts who represent national Governments and private sector, for the use of public and private parties interested in establishing or developing logistics information systems. The aim is to help those parties understand the real issues and key challenges, as well as to provide strategies and methods of avoiding unnecessary costs during the implementation and operation. The following general recommendations should be considered by countries with extensive demand for logistics services, when envisaging to develop logistics information systems:

- To utilize logistics information technology systems or other ICT resources related to logistics services, in order to establish logistics information systems as a public platform providing effective and efficient national information services as well as future transnational interchange.
- To establish a regional mechanism promoting cooperation among countries in the development of national logistics information systems; ideally include therein the coordination of standards and the development of cooperation through a legal framework.
- To consider Government investment or public-private partnerships to fund the development of logistics information systems.
- To adopt the **Standard Model of Logistics Information Systems** in the development of national system.

## **1. Standard model of logistics information systems**

### **1.1 Introduction**

A large volume of information is transmitted between Government agencies and business companies prior, during and after logistics operations. Regulatory and information requirements from Governments in combination with extensive documents and data exchanges among different trade partners may cause tremendous administrative burden on both public and private stakeholders and increase the possibility of data errors. Big companies may cope with the administration through sufficient human resources and internal information systems but most SMEs operate with minimal human resources and do not have the financial capabilities to implement complex information systems.

Single point architecture is a low cost solution to provide single access point to all logistics services, particularly for SMEs. It enhances the accessibility and handling of information, expedites and simplifies information flows, resulting in greater data sharing between companies and Government.

It is strongly recommended that national information systems are established with due consideration of compatible common standards of other countries in the region. This will facilitate the subsequent interconnection of systems.

Political will of the relevant governmental authorities and full support and participation of the business community are the most important prerequisites for the successful implementation of a single access point facility. Equally important is the basic legal framework, which should include regulations on security of data exchange and data protection/privacy.



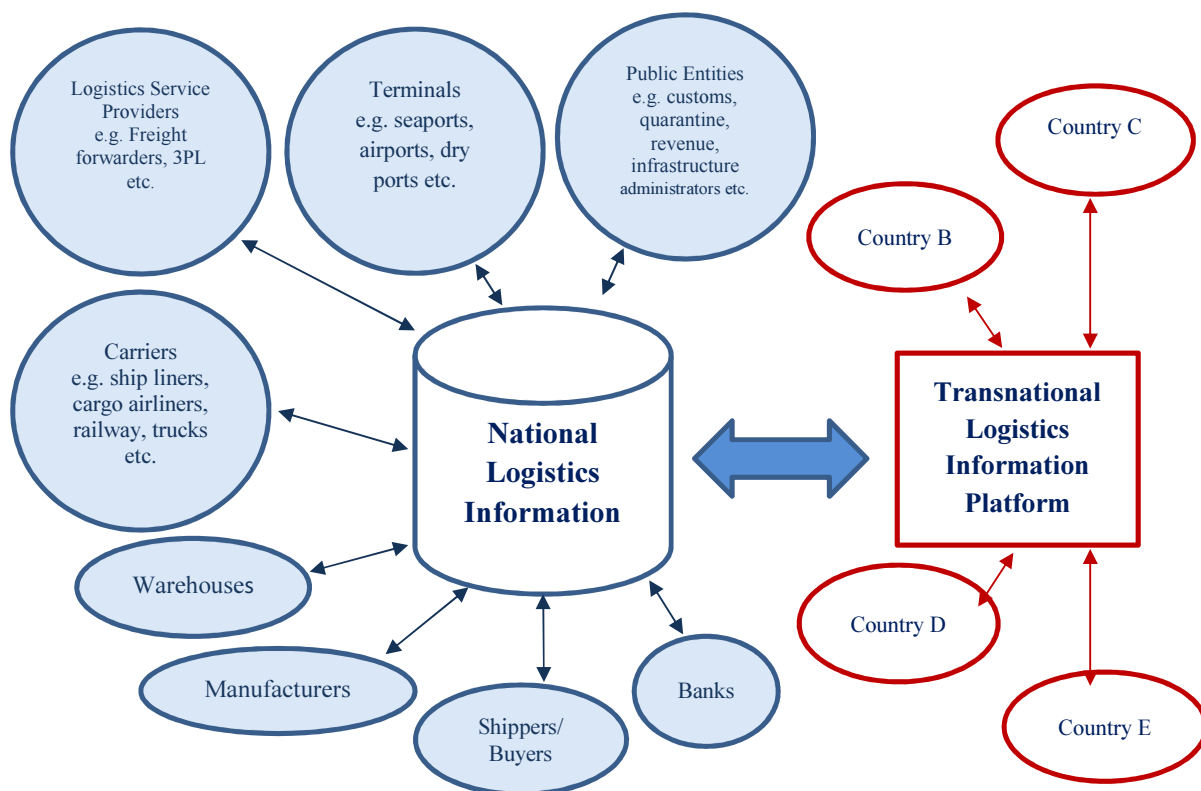
## 1.2 Overall architecture

National logistics information systems have to be built as operational infrastructures to fulfil the functions and services that are recommended hereafter, so that these national systems can communicate with each other using unified standards and interfaces based on a common agreement defining the information sharing mechanism.

The single access point facility provides end-to-end solutions to allow business partners transmit trade and transport documents to streamline their business process. Single Window is an example of a single entry point facility that allows parties involved in trade and transport to submit their trade related information and documents only once to Government authorities in order to fulfil import, export and transit-related regulatory requirements. National logistics information systems can provide channels for business parties to be able to connect to Single Window by means of internet links or interfaces, allowing parties not just to communicate more efficiently with their partners but also to fulfil easier the cross border procedures required by authorities.

From system architecture point of view, national logistics information systems should be designed having in mind to accommodate the requirements of potential future transnational level of information sharing mechanism. Data should also be harmonized and standardized between both national and transnational systems.

Figure 1  
**Illustrative Diagram of the Overall Architecture of a Logistics Information System**



Source: UNESCAP.

## Functions

Logistics information systems should be able to perform the recommended core functions presented hereafter, in order to provide the necessary services to their users, including importers/exporters, shippers, Customs brokers, freight forwarders, warehouse operators, carriers and terminal operators.

The system should implement all types of data exchange (B2B, B2G, and G2G), and ought to cover all modes of transport (maritime, road, railway, aviation and inland waterway) to provide multi-modes services. To this end the following main functions are recommended to be built within the system:

- User management

Ensuring data security and confidentiality are paramount for any business process. Thus, user management function should include user and service registration and authentication; and various levels of authority or access to data and services.

- Data interchange

All documents should be transmitted in electronic way. Data exchange network and route are necessary for users to interchange their business data.

- Information queries

The system allows users to access service resources from various service providers through internet by performing web-search or system service call. Information resources directories should be built based on standards, and maintained on regular basis, as these directories allow users to easily access the standardized information across networks.

- Information service

The system provides users with all relevant information related to regulations and laws, administrative services, statistical data etc. through the national platform portal.

- Standardization

Data exchange standards, especially semantic standards should be developed, including data elements, code sets, business documents, business process models. It is strongly recommended to adopt widely used international standards including data harmonization specifications. The maintenance of standards is also necessary.

- Data integrity, security, and confidentiality

The systems should apply adequate information technology and operations management for the guarantee of data integrity, security, and confidentiality. Data owners should take their own responsibilities for data quality and authenticity outside the scope of the systems.

Implementers of logistics information systems should consider the existing information security technologies in order to ensure systems' security; they also need to adopt methods such as electronic signatures to ensure the safety and confidentiality of exchanges and transactions. They should refer to UN/CEFACT recommendations as presented in Table 1.

Table 1  
**Recommendations on Electronic Commerce Safety**

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<i>UN/CEFACT Recommendations</i>
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Rec.14 Authentication of Trade Documents by means other than signature
Rec.31 Electronic Commerce Agreement
Rec.32 e-Commerce Self-Regulatory Instruments (Codes of Conduct)
Rec.26 Commercial Use of Interchange Agreements for Electronic Data Interchange (EDI)
Universal Business Language Version 2.1, OASIS

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These core functions support business partners and Government authorities to share and exchange business documents and regulation information between and among them. The systems can be based on EDI architecture or web service systems, depending on infrastructure's capabilities and financial resources. However, if the burden of legacy infrastructures is not too big and can be overcome, web-based architecture could be a better option for new system implementation. In this case, it is recommended that implementers either develop the systems using existing XML standards such as UBL 2.1 and IATA Cargo-XML, or develop their own XML standards adopting UN/CEFACT Modeling Methodology and UN/CCL and related standards and specifications.

Table 2

**Recommended Implementation of UN/EDIFACT***UN/CEFACT Recommendations*

- Rec.14 Authentication of Trade Documents by means other than signature
- Rec.25 Use of the United Nations Electronic Data Interchange for Administration, Commerce and Transport (UN/EDIFACT)
- Rec.26 Commercial Use of Interchange Agreements for Electronic Data Interchange (EDI)
- Rec.31 Electronic Commerce Agreement
- Rec.32 e-Commerce Self-Regulatory Instruments (Codes of Conduct)

**Recommended technical specifications****UN/CEFACT technical specifications**

- Core Components Data Type Catalogue
- Core Component Technical Specification
- Core Components Business Document Assembly
- UML Profile for Core Components
- UN/CEFACT Modelling Methodology (UMM)
- XML Naming and Design Rules

**W3C Recommendations**

- Extensible Markup Language (XML) 1.0 (Second Edition), W3C Recommendation 6 October 2000
- XML Schema Part 1: Structures. Second Edition
- XML Schema Part 2: Data types. Second Edition
- XML-Signature Syntax and Processing

Unified Modeling Language Version 1.5

**Recommended standards****ISO standards**

- ISO 9735 Electronic data interchange for administration, commerce and transport (EDIFACT) -- Application level syntax rules (Syntax version number: 4, Syntax release number: 1) Part 1- 10
- ISO/IEC 19757-2, Information technology -- Document Schema Definition Language (DSDL) — Part 2: Regular-grammar-based validation -- RELAX NG , Information technology -- Document Schema Definition Language (DSDL) -- Part 2: Regular-grammar-based validation -- RELAX NG AMENDMENT 1: Compact Syntax
- ISO/IEC 11179-1:1999 Information technology - Specification and standardization of data elements - Part 1: Framework for the specification and standardization of data elements

**UN/CEFACT standards**

- United Nations Trade Data Interchange Directory (UNTDID)
- Core Components Library (UN/CCL)
- Business Requirement Specifications(BRS)
- Requirements Specification Mappings (RSM)
- XML Schemas

Universal Business Language Version 2.1,OASIS

Logistics information systems may not include all the functions needed by the users. However, the system can make these functions available by providing internet links to other relevant systems, or by automatic connection through system interfaces.

**Import/export clearances**

The system allows users to query for clearances status and submit declaration documents (cargo manifest, passenger list, crew list) to Government authorities, e.g. foreign trade, Customs, quarantine etc. through internet link or system connection.

Depending on the country, Government authorities involved in import/export regulation may have their own systems or may have Single Window facilities. In these cases, users may be requested to use UN/EDIFACT standard messages or XML schemas, depending on whether these systems are EDI architecture or web service systems.

Implementers of logistics information systems should build up the import/export clearance function referring to the UN/CEFACT recommendations, international conventions, and formalities listed in Table 3.

Table 3

**Recommendations Relevant for Establishing Import/export Clearance Function**

*Recommended procedures, international conventions, formalities*

**UN/CEFACT Recommendations**

- Rec. 1, UN Layout Key for Trade Documents
- Rec.12 Measures to Facilitate Maritime Transport Documents Procedures
- Rec.13 Facilitation of Identified Legal Problems in Import Clearance Procedures
- Rec.18 Facilitation Measures Related to International Trade Procedures
- Rec.27 Pre-shipment Inspection
- Rec.33 Recommendation and Guidelines on establishing a Single Window
- Rec.34 Data Simplification and Standardization for International Trade
- Rec.35 Establishing a Legal Framework for an International Trade Single Window

## **WCO**

- The International Convention on the Simplification and Harmonization of Customs Procedures (revised Kyoto Convention)
- Single Window Compendium
- Customs SAFE Framework of Standards
- Customs Guidelines on Integrated Supply Chain Management

## **UN/ESCAP**

- Business Process Analysis Guide to Simplify Trade Procedures
- Data Harmonization and Modelling Guide for Single Window Environment

## **Recommended data elements standards**

UNTDDED (ISO7372)

UN/CCL (Core Components Library)

WCO data model

UBL Common Library, OASIS

## **UN/ CEFACT Recommended codes**

Rec.3 ISO Country Code: Code for Representation of Names of Countries

Rec.5 Abbreviations of INCOTERMS: Alphabetic Code for INCOTERMS 2000

Rec.7 Numerical Representation of Dates, Time and Periods of Time

Rec.8 Unique Identification Code Methodology-UNIC

Rec.9 Alphabetic Code for the Representation of Currencies

Rec.16 UN/LOCODE: Code for Trade and Transport Locations

Rec.17 PAYTERMS: Abbreviations for Terms of Payment

Rec.19 Codes for Modes of Transport

Rec.20 Codes for Units of Measure Used in International Trade

Rec.21 Codes for Types of Cargo, Packages and Packaging Materials

World Customs Organization HS code

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Table 4  
**Example of an Import/export Clearance Process and Recommended Documents and Standards**

Business process		Data and documents	Recommendations standards
<b>Import</b>	<b>Registration</b> User: - Shipper, forwarder, importer/exporter - Government authority	<b>Submit:</b> <ul style="list-style-type: none"> <li>Application Form for business registration numbers(foreign trade, Customs, quarantine, and taxation)</li> <li>Identification certificate</li> <li>Other relevant documents or records</li> </ul> <b>Obtain:</b> <ul style="list-style-type: none"> <li>Business registration numbers</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- REGENT Registration of enterprise message</li> <li>- PARTIN Party information message</li> <li>- MEDPID Person identification message</li> </ul>
	<b>Obtain Import Licenses/Permits</b> User: - Importer/exporter - Government authority	<b>Submit:</b> <ul style="list-style-type: none"> <li>Import permit application form</li> <li>Sales contracts</li> <li>Proforma invoice</li> <li>Other relevant documents or records</li> </ul> <b>Obtain:</b> <ul style="list-style-type: none"> <li>Import licenses/permits</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- SANCRT International movement of goods governmental regulatory message</li> <li>- ORDERS Purchase order message</li> <li>- ORDRSP Purchase order response message</li> <li>- INVOIC Invoice message</li> </ul> <b>XML schemas:</b> <ul style="list-style-type: none"> <li>- UN/CEFACT XML Schema CrossIndustryInvoice_10p1.xsd</li> <li>- UBL 2.1 schemas: Contract notice, invoice</li> <li>- IATA XML invoice</li> </ul>
	Enter seaport/airport	See “seaport/airport clearance”	See “seaport/airport clearance”
	Transfer to import storage facility/bonded warehouse/CY	See “seaport/airport clearance”	See “seaport/airport clearance”
	<b>Provide import declaration</b> User: - Shipper, forwarder, importer/exporter	<b>Submit:</b> <ul style="list-style-type: none"> <li>Import licenses/Permits</li> <li>Import declaration certificate</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- CUSDEC (Customs declaration message)</li> <li>- CUSREP (Customs conveyance report message)</li> </ul>

	-Government authority	<ul style="list-style-type: none"> <li>• Bill of lading or delivery order/airway bill</li> <li>• Packing lists</li> <li>• Commercial invoice</li> <li>• Price declaration certificate</li> <li>• Quarantine certificate</li> <li>• Phytosanitary certificate</li> <li>• Certificate of origin</li> <li>• Other relevant documents or records</li> </ul>	<ul style="list-style-type: none"> <li>- CUSCAR (Customs cargo report message)</li> <li>- GOVCBR(Government cross border regulatory message)</li> <li>- IFTMCS Instruction contract status message</li> <li>- DESADV Dispatch advice message</li> <li>- INVOIC Invoice message</li> <li>- PRIHIS Pricing history message</li> <li>- SANCRT International movement of goods governmental regulatory message</li> </ul> <p><b>XML schemas:</b></p> <ul style="list-style-type: none"> <li>- UBL 2.1 schemas: Bill of lading, waybill, packing list, invoice, certificate of origin</li> <li>- IATA XML waybill (XFWB),XML house waybill (XFZB)</li> <li>- IATA XML packing list (XPCL)</li> <li>- IATA XML invoice (XINV)</li> <li>- IATA XML certificate of origin (XCOO)</li> <li>- IATA XML Customs status notification (XCSN)</li> </ul>
	Clear goods through Customs	Activities in Customs clearance, check the submitted documents and inspect cargo in the field	The International Convention on the Simplification and Harmonization of Customs Procedures (Kyoto), WCO
	Arrange for pick up	See “seaport/airport clearance”	See “seaport/airport clearance”



<b>Export</b>	<b>Registration</b> User: - Shipper, forwarder, importer/exporter - Government authority	<b>Submit:</b> <ul style="list-style-type: none"> <li>• Application form for business registration numbers (foreign trade, Customs, quarantine, and taxation)</li> <li>• Identification certificate</li> <li>• Resident registration certificate</li> <li>• Cooperation registration certificate (office copy)</li> <li>• Other relevant documents or records</li> </ul> <b>Obtain:</b> <ul style="list-style-type: none"> <li>• Export licenses/permits</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- REGENT Registration of enterprise message</li> <li>- PARTIN Party information message</li> <li>- MEDPID Person identification message</li> </ul>
	<b>Obtain Export Licenses/Permits</b> User: - Importer/exporter - Government authority	<b>Submit:</b> <ul style="list-style-type: none"> <li>• Export permit application Form</li> <li>• Sales report</li> <li>• Purchase order/sales contracts</li> <li>• Other relevant documents or records</li> </ul> <b>Obtain:</b> <ul style="list-style-type: none"> <li>• Business registration numbers</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- SANCRT International movement of goods governmental regulatory message</li> <li>- SLSRPT Sales data report message</li> <li>- ORDERS Purchase order message</li> <li>- ORDRSP Purchase order response message</li> </ul> <b>XML schemas:</b> <ul style="list-style-type: none"> <li>- UBL 2.1 schemas: Contract notice, invoice</li> </ul>
	Arrange transport	See “seaport/airport clearance”	See “seaport/airport clearance”
	<b>Obtain cargo insurance</b> User: - Importer/exporter, Shipper, forwarder - Insurance agency	<b>Submit:</b> <ul style="list-style-type: none"> <li>• Cargo insurance application form</li> <li>• Business registration certificate</li> <li>• Letter of credit</li> <li>• Commercial invoice</li> <li>• Packing list</li> <li>• Draft bill of lading</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- PARTIN Party information message</li> <li>- DOCADV Documentary credit advice message</li> <li>- INVOIC Invoice message</li> <li>- DESADV Dispatch advice message(or IFTMCA)</li> <li>- IFTMCS Instruction contract status message</li> <li>- IPOAD Insurance policy administration message</li> </ul>

		<b>Obtain:</b> <ul style="list-style-type: none"> <li>Insurance policy</li> </ul>	<b>XML schemas:</b> <ul style="list-style-type: none"> <li>UBL 2.1 schemas: invoice, packing list, bill of lading</li> <li>IATA XML Invoice (XINV)</li> <li>IATA XML Packing list (XPCL)</li> </ul>
	<b>Provide customs declaration</b> User: - Shipper, forwarder, importer/exporter - Government authority	<b>Submit:</b> <ul style="list-style-type: none"> <li>Export declaration certificate</li> <li>Export quota</li> <li>Commercial invoice</li> <li>Bill of lading or delivery order/airway bill</li> <li>Packing list</li> <li>Certificate of origin</li> <li>Inspection and quarantine certificate</li> <li>Phytosanitary certificate</li> <li>Export licenses/permits</li> <li>Other relevant documents or records</li> </ul>	<b>UN/EDIFACT standard messages:</b> CUSCAR (Customs cargo report message) CUSDEC (Customs declaration message) CUSREP (Customs conveyance report message) QUOTES Quote message INVOIC Invoice message IFTMCS Instruction contract status message DESADV Despatch advice message SANCRT International movement of goods governmental regulatory message <b>XML schemas:</b> <ul style="list-style-type: none"> <li>UBL 2.1 schemas: invoice, bill of lading, waybill, packing list, certificate of origin</li> <li>IATA XML waybill (XFWB), XML house waybill (XFZB)</li> <li>IATA XML Packing list (XPCL)</li> <li>IATA XML Invoice (XINV)</li> <li>IATA XML Certificate of origin (XCOO)</li> <li>IATA XML Customs Status Notification (XCSN)</li> </ul>
	Transport to export storage facility/bonded warehouse/CY	See “seaport/airport clearance”	See “seaport/airport clearance”
	Transfer to seaport/airport for departure	See “seaport/airport clearance”	See “seaport/airport clearance”

	Clear goods through Customs	Activities in Customs clearance, check the submitted documents and inspect cargo in the field	The International Convention on the Simplification and Harmonization of Customs Procedures (revised Kyoto), WCO
	Handle cargo and stow on vessel/aircraft	See “seaport/airport clearance”	See “seaport/airport clearance”
	<b>Prepare documents for importer</b> Actor: - Exporter, import - Government authority	<b>Submit:</b> <ul style="list-style-type: none"> <li>• Phytosanitary certificate application form</li> <li>• Certificate of origin application form</li> <li>• Bill of lading</li> <li>• Commercial invoice</li> <li>• Letter of credit</li> <li>• Draft certificate of origin</li> <li>• Other relevant documents or records</li> </ul> <b>Obtain:</b> <ul style="list-style-type: none"> <li>• Phytosanitary certificate</li> <li>• Certificate of origin)</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- SANCRT International movement of goods governmental regulatory message</li> <li>- IFTMCS Instruction contract status message</li> <li>- INVOIC Invoice message</li> <li>- DOCADV Documentary credit advice message</li> </ul> <b>XML schemas:</b> <ul style="list-style-type: none"> <li>- UBL 2.1 schemas: certificate of origin, bill of lading, invoice</li> <li>- IATA XML Invoice (XINV)</li> <li>- IATA XML Certificate of origin (XCOO)</li> </ul>

**Seaport/airport clearance**

The system allows users to submit documents such as cargo manifest, passenger list, crew list, and ship stowage plan to port authorities through internet link or system connection.

Most seaport/airport authorities have their own systems or may be part of Single Window facilities; users of those systems may be requested to use UN/EDIFACT standard messages or XML schemas, depending on whether these systems are EDI architecture or web service systems.

Implementers of logistics information systems should build up this function referring to the UN/CEFACT recommendations, international conventions, and formalities listed in Table 5.

Table 5

**Recommendations Relevant for Establishing Seaport/Airport Function**

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*Recommended procedures, international conventions, formalities*

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**UN/CEFACT Recommendations**

- Rec. 1, UN Layout Key for Trade Documents
- Rec.12 Measures to Facilitate Maritime Transport Documents Procedures
- Rec.15 Simpler Shipping Marks
- Rec.27 Pre-shipment Inspection
- Rec.33 Recommendation and Guidelines on establishing a Single Window
- Rec.34 Data Simplification and Standardization for International Trade
- Rec.35 Establishing a Legal Framework for an International Trade Single Window

Revised IMO compendium on facilitation of electronic business, IMO

**IATA**

Cargo Interchange Message Procedures

Conversion Guidelines between Cargo-XML and CARGO-IMP

**UN/ESCAP**

- Business Process Analysis Guide to Simplify Trade Procedures
- Data Harmonization and Modelling Guide for Single Window Environment

**Recommended data elements standards**

UNTDDED (ISO7372)

UN/CCL (Core Components Library)

WCO data model

UBL Common Library, OASIS

**UN/CEFACT Recommendations codes**

- Rec.3 ISO Country Code: Code for Representation of Names of Countries
- Rec.7 Numerical Representation of Dates, Time and Periods of Time
- Rec.8 Unique Identification Code Methodology-UNIC

- Rec.9 Alphabetic Code for the Representation of Currencies
  - Rec.10 Codes for the Identification of Ships
  - Rec.16 UN/LOCODE: Code for Trade and Transport Locations
  - Rec.17 PAYTERMS: Abbreviations for Terms of Payment
  - Rec.20 Codes for Units of Measure Used in International Trade
  - Rec.21 Codes for Types of Cargo, Packages and Packaging Materials
  - Rec.23 Freight Cost Code-FCC; Harmonization of the Description of Freight Costs and other Charges
  - Rec.24 Trade and Transport Status Codes
-

Table 6  
Example of a Seaport/Airport Clearance Process and Recommended Standards and Codes

Business process		Data and documents	Recommended standards and codes
Arrival	<b>Enter seaport/airport</b> User: - Shipping company - Port authority, terminal operator	<b>Submit:</b> <ul style="list-style-type: none"> <li>• Arrival notification</li> <li>• General declaration</li> <li>• cargo manifest</li> <li>• passenger list</li> <li>• crew list</li> <li>• ship stowage plan</li> <li>• Dangerous goods notification</li> <li>• Certificate of insurance</li> <li>• IMO Certificate of fitness for LNG/LPG</li> <li>• Other relevant documents or records</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- CALINF Vessel call information message</li> <li>- CUSREP Customs conveyance report message</li> <li>- CUSCAR Customs cargo report message</li> <li>- PAXLST Passenger list message</li> <li>- BAPLIE Bayplan/stowage plan occupied and empty locations message</li> <li>- IFTDGN Dangerous goods notification message</li> <li>- IPPOAD Insurance policy administration message</li> <li>- IMO FAL Form 1-7</li> </ul> <b>XML schemas:</b> <ul style="list-style-type: none"> <li>- IATA XML House manifest (XFHL), XML Flight manifest (XFFM)</li> <li>- IATA XML Shippers declaration for dangerous goods (XSDG)</li> </ul>
	<b>Transport to import storage facility / CY /bonded warehouse</b> User: - Warehouse, CY operator - Forwarder , Consignor/consignee,	Unloading from vessel: <ul style="list-style-type: none"> <li>• Discharge instruction</li> <li>• Stowage instruction</li> <li>• Container stack information</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- COPRAR Container discharge/loading order message</li> <li>- MOVINS Stowage instruction message</li> <li>- COEDOR Transport equipment stock and profile report message</li> </ul>
	Customs declaration	See “Import/Export clearance”	See “Import/Export clearance”
	<b>Arrange for pick up</b> User: - Warehouse, CY operator - Forwarder, Consignor/consignee, inland haulage	<ul style="list-style-type: none"> <li>• delivery order, D/O</li> <li>• Container load plan</li> <li>• Equipment interchange receipt</li> </ul>	<b>UN/EDIFACT standard messages:</b> <ul style="list-style-type: none"> <li>- IFTMCS Instruction contract status message</li> <li>- COSTCO Container stuffing/stripping confirmation message</li> <li>- CODECO Container gate-in/gate-out report message</li> </ul>

			<b>XML schemas:</b> - UBL 2.1 schemas: bill of lading, packing list - IATA XML waybill (XFWB) - IATA XML packing list (XPCL)
<b>Departure</b>	<b>Arrange transport</b> User: - Shipping company - Shipper, forwarder	<ul style="list-style-type: none"> <li>• Booking request</li> <li>• a delivery of empty container</li> <li>• Booking</li> <li>• Booking confirmation</li> </ul>	<b>UN/EDIFACT standard messages:</b> - IFTMBP Provisional booking message - COREOR Container release order message - IFTMBF Firm booking message - IFTMBC Booking confirmation message <b>XML schemas:</b> - IATA XML Booking message (XFFR) - IATA XML Freight booked list (XFBL)
	Customs declaration	See “import/export clearance”	See “Import/Export clearance”
	<b>Transport to export storage facility /bonded warehouse /CY</b> User: - Warehouse, CY operator - Forwarder , consignor/consignee	<ul style="list-style-type: none"> <li>• Dock Receipt, D/R</li> <li>• Container load plan</li> <li>• Equipment interchange receipt</li> <li>• Discharge and loading details</li> <li>• Container stack information</li> </ul>	<b>UN/EDIFACT standard messages:</b> - COPARN Container announcement message - COSTCO Container stuffing/stripping confirmation message - CODECO Container gate-in/gate-out report message - COEDOR Transport equipment stock and profile report message <b>XML schemas:</b> - UBL 2.1 schemas Bill of lading, packing list - IATA XML Shippers Letter of Instruction (XSLI)
	<b>Transfer to seaport/airport for departure</b> User: - Warehouse, CY operator - Port authority, terminal operator	Stow on vessel: <ul style="list-style-type: none"> <li>• Stowage instruction</li> <li>• Stowage report</li> <li>• Submit to port authority:</li> <li>• General declaration</li> <li>• cargo manifest</li> <li>• passenger list</li> </ul>	<b>UN/EDIFACT standard messages:</b> - COPRAR Container discharge/loading order message - MOVINS Stowage instruction message - COARRI Container discharge/loading report message - TANSTA Tank status report message - BAPLIE Bayplan/stowage plan occupied and empty locations message

		<ul style="list-style-type: none"><li>• crew list</li><li>• ship stowage plan</li><li>• Dangerous goods notification</li><li>• Certificate of insurance</li><li>• IMO Certificate of fitness for LNG/LPG</li><li>• Departure notification</li><li>• Other relevant documents or records</li></ul>	<ul style="list-style-type: none"><li>- PAXLST Passenger list message</li><li>- IFTDGN Dangerous goods notification message</li><li>- IPPOAD Insurance policy administration message</li><li>- IMO FAL Form 1-7</li></ul> <p><b>XML schemas:</b></p> <ul style="list-style-type: none"><li>- IATA XML Shippers declaration for dangerous goods (XSDG)</li></ul>
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## Payment

The system should allow importers/exporters to perform electronic payment of duties, taxes and other transport related charges to Customs, tax bureau and port authorities etc. through internet link or system connection. Implementers of logistics information systems should build up this function referring to the UN/CEFACT recommendations, international conventions, and formalities listed in Table 7.

Table 7

### Recommendations Relevant for Establishing Payment Function

*Recommended procedures, international conventions, formalities*

#### UN/CEFACT Recommendations

- UN Rec. 1, UN Layout Key for Trade Documents
- UN Rec.12 Measures to Facilitate Maritime Transport Documents Procedures
- UN Rec.13 Facilitation of Identified Legal Problems in Import Clearance Procedures
- Rec.22 Layout Key for Standard Consignment Instructions
- Rec.31 Electronic Commerce Agreement
- Rec.32 e-Commerce Self-Regulatory Instruments (Codes of Conduct)
- UN Rec.33 Recommendation and Guidelines on establishing a Single Window

#### WCO

- The International Convention on the Simplification and Harmonization of Customs Procedures (revised Kyoto), WCO
- WCO Single Window Compendium

#### UN/ESCAP

- Business Process Analysis Guide to Simplify Trade Procedures
- Data Harmonization and Modeling Guide for Single Window Environment

#### Recommended data elements standards

UNTDDED (ISO7372)

UN/CCL (Core Components Library)

WCO data model

UBL Common Library

#### UN/CEFACT Recommended codes

- |        |  |
|--------|--|
| Rec.3  | ISO Country Code: Code for Representation of Names of Countries                            |
| Rec.5  | Abbreviations of INCOTERMS: Alphabetic Code for INCOTERMS 2000                             |
| Rec.7  | Numerical Representation of Dates, Time and Periods of Time                                |
| Rec.9  | Alphabetic Code for the Representation of Currencies                                       |
| Rec.16 | UN/LOCODE: Code for Trade and Transport Locations  |
| Rec.17 | PAYTERMS: Abbreviations for Terms of Payment   |
| Rec.20 | Codes for Units of Measure Used in International Trade                                     |
| Rec.23 | Freight Cost Code-FCC; Harmonization of the Description of Freight Costs and other Charges |

Customs will request for duty payment after receiving and examining the submitted declaration documents. Other possible payment requests during formalities, in accordance with applicable national regulations, can also refer to the processes and recommended standards in Table 8.

Table 8

**Example of a Process and Recommended Documents and Standards**

<i>Business Process</i>	<i>Data and Documents</i>	<i>Recommendations Standards</i>
<b>Notify to pay duty for duties, taxes and other related charges</b> User: - Government authority, Port authority - import/export, shipper	<ul style="list-style-type: none"> <li>• Notice of Payment</li> </ul>	<b>UN/EDIFACT standard messages:</b> - JUPREQ Justified payment request message <b>XML schemas:</b> -
<b>Fulfil payment</b> User: - import/export, shipper - Government authority, Port authority	<ul style="list-style-type: none"> <li>• Payment Order</li> <li>• The receipt of duties and related taxes</li> <li>• Tax Invoice</li> </ul>	<b>UN/EDIFACT standard messages:</b> - PAYORD Payment order message - REMADV Remittance advice message - VATDEC Value added tax message <b>XML schemas:</b> - UN/CEFACT XML Schema CrossIndustryInvoice_10p1.xsd - UBL 2.1 schemas Invoice, Remittance Advice - IATA XML Invoice (XINV)

**Track and trace**

The system should provide past and current locations and status of cargo, pallet and container in the process of multi-modal transport and end-to-end logistics. In order to allow users to query for information on the location of their consignments implementers can either build the function in the system or ensure connection or link to related authorities' systems, and also to the cargo tracking and tracing systems run by transport operators and carriers.

Tracking and tracing information can be obtained either by extracting it from data and documents transmitted among business partners or between business companies and Government authorities, or by query for status generated by business and authority systems.

Implementers of logistics information systems should build up this function referring to the following UN/CEFACT recommendations, international conventions, and formalities listed in Table 9.

Table 9

**Recommendations Relevant for Establishing Track and Trace Function***UN/CEFACT Recommendations*

Rec. 1, UN Layout Key for Trade Documents

Rec.15 Simpler Shipping Marks

Rec.18 Facilitation Measures related to International Trade Procedures

**Recommended data elements standards**

UNTDDED (ISO7372)

UN/CCL (Core Components Library)

WCO data model

UBL Common Library

GS1/EPC Global: Core Business Vocabulary (CBV, ISO/IEC 19987)

Neal-Net: Dynamic Vessel Status Sharing Service – Vocabulary;  
Container Status Sharing Service – Vocabulary

**UN/CEFACT Recommended codes**

Rec.3 ISO Country Code: Code for Representation of Names of Countries (ISO 3166)

Rec.7 Numerical Representation of Dates, Time and Periods of Time (ISO 8601)

Rec.8 Unique Identification Code Methodology-UNIC

Rec.10 Codes for the Identification of Ships (IMO Ship Identification Number)

Rec.16 UN/LOCODE: Code for Trade and Transport Locations

Rec.19 Codes for Modes of Transport

Rec.24 Trade and Transport Status Codes

Rec.28 Codes for Types of Means of Transport

**Recommended documents****UN/EDIFACT standard messages**

- IFTSTA International multimodal status report message
- IFTSTQ International multimodal status request message
- HANMOV Cargo/goods handling and movement message
- CODECO Container gate-in/gate-out report message
- CUSRES Customs response message
- MEQPOS Means of transport and equipment position message

**UBL 2.1 XML schemas**

- Transport Progress Status Request
- Transport Progress Status
- Transportation Status Request
- Transportation Status

**Other standards**

GS1/EPC Global EPC Information Services Standard (EPCIS, ISO/IEC 19987)

**NEAL-NET**

- Dynamic Vessel Status Sharing Service – Event Lists
  - Dynamic Container Status Sharing Service – Event Lists
- 

**Service**

Based on the functions built within the logistics information system or on internet links to Government authorities or to third party service providers, the system should provide electronic transmission of all relevant business documents and information service throughout the logistics operation, including:

- Application and acceptance of submissions
- Exchange of documentations between buyers and suppliers
- Licenses information
- Common reporting scheme
- Transport service description
- Transport execution plan
- Cargo itinerary
- Transport progress status (about transport means)
- Transport status
- Reporting and statistics

Logistics information systems should be designed and implemented as single gateways that provide services to relevant stakeholders within the logistics industry. The systems should be capable of allowing user to fulfil all the requirements related to a logistics service at one stop, from submitting data and documents, applying for certain licenses and permissions, reporting for formalities, to requesting services. This can be done by providing services like Application and acceptance of submissions, Exchange of documentations between buyers and suppliers, Licenses information, and Common reporting schema.

- Application and acceptance of submissions

Business entities should be able to send instruction or request to their partners by electronic means via a web form on the internet.

- Exchange of documentations between buyers and suppliers

Business entities should be able to transmit their business documents in the format of XML schemas and EDIFACT messages.

Implementers of logistics information systems can fulfil services of Application and acceptance of submissions, Exchange of documentations between buyers and suppliers, by referring to the UN/CEFACT recommendation, international conventions and formalities, and international standards of data elements and documents and codes.

- Licenses information

Users should be able to apply or submit information such as Export License and other certificates issued by Government authorities to relevant authorities.

- Common reporting scheme

Users should be able to report formalities in electronic format and implement their transmission using a link to a Single Window facility.

Implementers of logistics information systems can fulfill services of Licenses information, Common reporting scheme, by referring to the UN/CEFACT recommendations, international conventions and formalities, and international standards of data elements and documents and codes listed under “Function: Import/Export clearance (Table 3) and Function: Seaport/Airport clearance (Table 5)”.

Logistics information systems mainly cover processes of transport planning and execution, tracking and tracing. The systems should be capable of providing services of information flow corresponding to the physical flow of goods, by performing the processes of *Transport service description*, *Transport execution plan*, *Cargo itinerary*, *Transport progress status*, and *Transport status*.

- Transport service description

It is a document that announces the availability of a transport service, usually sent by a transport service provider.

- Transport execution plan

It is a plan agreed between a transport user and a transport service provider meant to document the details surrounding the provision of a required transport service. Business entities can transmit this document to their partners.

- Cargo itinerary

Business entities can transmit the route and time schedule for one or more transported items to their partners; usually the transport service provider informs the transport user.

- Transport progress status (about transport means)

Business partners can report and collect information about the status of the transport means.

- Transport status

It is a document containing reports of transportation status or changes in status (events) shared among a group of participants.

Implementers of logistics information systems can refer to the UN/CEFACT recommendations, international conventions and formalities, and international standards and codes listed under Function: track and trace (Table 9).

Table 10  
**Example of a Transport Service Process and Recommended Documents and Standards**

<i>Business process</i>	<i>Data and documents</i>	<i>Recommendations standards</i>
Define transport service demand User: - Shipper, consignor/consignee - Forwarder, transport company (each modes of transport)	<ul style="list-style-type: none"> <li>Request for transport service description</li> <li>Transport service description</li> </ul>	<b>UN/EDIFACT standard messages:</b> - REQDOC Request for document message - IFTSAI Forwarding and transport schedule and availability information message <b>XML schemas:</b> - UBL 2.1 XML schema: Transport service Description request, transport service description
Booking transport service - Forwarder, shipper, consignor/consignee - Transport company (each modes of transport)	<ul style="list-style-type: none"> <li>Request for transport plan</li> <li>Transport plan</li> <li>Goods item itinerary</li> </ul>	<b>UN/EDIFACT standard messages:</b> - REQDOC Request for document message - IFTRIN Forwarding and transport rate information message - IFTMBP Provisional booking message <b>XML schemas:</b> - UBL 2.1 XML schema: transport execution plan request, transport execution plan; goods item itinerary
Transport and monitor - Shipper, consignor/consignee - Forwarder, transport company (each modes of transport)	<ul style="list-style-type: none"> <li>Request for transport status</li> <li>Transport means and equipment status</li> <li>Transport status</li> </ul>	<b>UN/EDIFACT standard messages:</b> - IFTSTQ International multimodal status request message - IFTSTA International multimodal status report message - MEQPOS Means of transport and equipment position message - See other messages in “Function: track and trace” <b>XML schemas:</b> - UBL 2.1 XML schema: transport progress status request, transport progress status, transportation status request, transportation status <b>Others standards:</b> - GS1/EPC Global: EPC Information Services Standard (EPCIS, ISO/IEC 19987) - NEAL-NET: Dynamic Vessel Status Sharing Service – Event Lists; Dynamic Container Status Sharing Service – Event Lists

Logistics information systems should be capable to collect and publish logistics statistics for the use of public users by providing a service of *Reporting and statistics*.

- Reporting and statistics

Logistics related information and statistical data should be accessible to users in Logistics Information Systems.

To build this function up, implementers of logistics information systems can refer to the UN/CEFACT recommendations, international conventions and formalities, and international standards (data elements and documents) and codes as listed in Table 11.

Table 11

**Recommendations Relevant for the Establishment of Reporting and Statistics Function**

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*Recommended data elements standards*

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UNTDDED (ISO7372)

UN/CCL (Core Components Library)

**UN/CEFACT Recommended codes**

Rec.3 ISO Country Code: Code for Representation of Names of Countries

Rec.5 Abbreviations of INCOTERMS: Alphabetic Code for INCOTERMS 2000

Rec.7 Numerical Representation of Dates, Time and Periods of Time

Rec.9 Alphabetic Code for the Representation of Currencies

Rec.16 UN/LOCODE: Code for Trade and Transport Locations

Rec.19 Codes for Modes of Transport

Rec.20 Codes for Units of Measure Used in International Trade

Rec.21 Codes for Types of Cargo, Packages and Packaging Materials

Rec.28 Codes for Types of Means of Transport

**Recommended documents**

GESMES Generic statistical message

RDRMES Raw data reporting message

CLASET Classification information set message

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## Data standards

The international standards recommended as reference for the implementation of data standards:

Table 12

### Recommendations Relevant for the Implementation of Data Standards

UN/EDIFACT Messages	Standard messages are specified and listed in UN/TDID, issued by UN/CEFACT
UNECE Recommendations on Code	Standard codes are recommended in UN/CEFACT recommendation 3, 5, 7, 8, 9, 10, 16, 17, 19, 20, 21, 23, 24, 28.
UN/TDED and UN/CCL	Standard data elements and user code list are specified and listed in UN/TDED. Standard core components, business entities, data types are specified and listed in UN/CCL.
NEAL-NET	Standardized Vessel Schedule Status, Container Status, and query interface are specified in Neal-Net.
WCO Data Model	WCO Data Model contains business process model, information model, international standard codes, harmonized data sets, and XML schemes/messages.
WCO HS	Commodity code (Harmonized System) is specified in the International Convention on the Harmonized Commodity Description and Coding System.
IMO Vessel ID number	IMO Vessel ID number is described in UN/CEFACT Rec. 10.
IMO FAL Forms	IMO FAL Forms are standard FAL Forms, including “General Declaration”, “Cargo Declaration”, “Ship’s Store Declaration”, “Crew’s Effects Declaration”, “Crew List”, “Passenger List”, “DG Manifest”.
IATA: Cargo IMP and Cargo XML	77 EDI messages widely used in the air cargo industry are specified in Message Specifications, including embedded data elements, abbreviation codes, and enhanced search function printing capabilities. Cargo XML is strongly recommended.
SWIFT	Standardized financial messages are defined by SWIFT (the Society for Worldwide Interbank Financial Telecommunication).
GS1/EPC Global	Standard XML events are specified in GS1 EPCIS (ISO/IEC 19987), and standard vocabulary elements are specified in GS1 EPCIS CBV (ISO/IEC 19987).
UBL	UBL consists of a library of XML schemas for data components such as “Address”, “Item”, and “Payment”, and a set of XML schemas for common business documents such as “Order”, “Dispatch Advice”, and “Invoice”.



## Cooperation mechanisms

At national level, effective cooperation of Government agencies is fundamental for the implementation of logistics information systems. To support the process, it is important to have a designated agency leading the implementation, with the main role of coordinating all participating authorities and entities to ensure successful implementation.

Cooperation between Governments is paramount for the interconnection of their respective national logistics information systems to establish transnational/international systems. In such cases, the lead agencies from the participating countries will cooperate to implement and maintain the transnational/international platform. The cooperation may take the form of a regional mechanism with regular meetings of experts on various aspects related to the functioning and evolution of the platform.

To ensure the efficient functioning and continuous evolution of the system at both national and transnational/international levels, it is important to allocate sufficient resources: technical expertise, regular working meetings, allowing proactive, constant and regular exchanges between public and private sectors.

## 2. Important elements for consideration

### 2.1 Systems/data harmonization

Harmonization and mutual recognition of standards can enhance the availability and handling of information, simplify information flows between private partners and Governments and reduce compliance complexity by streamlining processes, avoiding redundant and conflicting standards. Effective and efficient logistics lead to overall cost reduction for all parties.

National formalities, procedures, operations and documents should be streamlined and aligned to improve interoperability among systems. Both the public and private sectors should adapt their respective existing systems to comply with international conventions, standards and practices.

At national level, different existing systems from both governmental and private sectors can be linked through a “bridging platform” to create single gateway accessibility. Similarly, such “bridging platform” can be developed to connect national logistics information systems from different countries to ensure international/transnational systems interconnectivity.

Systems/data harmonization implementation involves three broad phases:

- **Analytic framework:** the first phase is dedicated to considering and developing a broad system framework by outlining target scenarios. Scope, roles and relationships of the scenarios should be identified and defined. Exchanges and collaborations with relevant Government and private sector stakeholders are strongly encouraged so differences between specificities and technicalities of all stakeholders can be identified and considered.
- **Modelling business process and business rules:** in the second phase, system developers/implementers should focus on the harmonization of business model, i.e. standardization of business processes and business rules.

A business process is a sequence of tasks/activities that contribute (directly or indirectly) to the added value of a service or product. A process can be cross functional and ranges over several business functions. Business rules are lists of statements describing the operations, definitions and constraints which can apply to people, processes, corporate behaviour and information systems in an organization.

Business rules are extracted from the business process and can define activities in a flexible and configurable way for adapting to rapidly changing business environments. A relatively stable business process and flexible business rules allow business modellers and implementers to modify the implementation of a business process more easily, without changing and redeploying it.

“Re-use” can be an efficient and simple way to implement a system or to create the basis for standardization. A set of business rules can be used to conduct standard components for reusable building blocks that allow participants in the supply chain to develop their information systems based on the same standard business process. Standardization of business processes and business rules also simplifies systems/data mapping, enabling the interoperability.

The main reference specifications and tools for modelling business and abstracting business rules are: UN/CEFACT UMM, WCO data model, UN/CEFACT Business Requirement Specifications (BRS) and Requirements Specification Mapping (RSM). Other tools, such as UML developed by international organizations, can also be used.

- **Standardization of information:** the third level of harmonization involves the standardization of information model. An information model is a conceptual schema of a representation of concepts and the relationships, constraints, rules and operations to specify data semantics for a specific domain of application. It can provide consistent definition to the meanings and interrelationship of data based on semantic in order to share, integrate, and manage the data. Information model needs to be built to transform the work flow into data flow or data exchanges between activities.

Information modelling consists of definition of the scope, analysis of information requirements and the transformation of information requirements into a conceptual model. UML and XML schemas are recommended for building an information model.

## **2.2 Cooperation between standards setting organizations and industry**

In designing, establishing and operating logistics information systems, it is important to consider the existing recommendations, standards and tools developed by intergovernmental agencies and international organizations such as ECE, UNCTAD, the WCO, IMO, ICAO and the ICC. Cooperation with these organizations is also very important as it (i) ensures all those interested are aware of updates, and (ii) may create the possibility for some emerging regional standards such as e-Freight and NEAL-NET Standards to be incorporated into existing or new ISO and UN standards.

Collaboration between implementers and relevant stakeholders to harmonize standards is key in avoiding divergence or overlapping between national and transnational standards, benefiting all partners in international trade, logistics and supply chain.

## Annex VI

### Regional Road Safety Goals, Targets and Indicators for Asia and the Pacific 2016-2020\*

<i>Goals and Targets</i>	<i>Indicators for monitoring achievements</i>
<b>Overall objective: 50 per cent reduction in fatalities and serious injuries on the roads of Asia and the Pacific over the period 2011 to 2020</b>	
(a) Reduce the fatality rates by 50 per cent from 2011 to 2020.	(1) Number of road fatalities (and fatality rates per 100,000 inhabitants). <sup>a</sup>
(b) Reduce the rates of serious road injuries by 50 per cent from 2011 to 2020.	(2) Number of serious road injuries (and injury rate per 100,000 inhabitants).
<b>Goal 1: Making road safety a policy priority</b>	
(a) Create a road safety policy/strategy, designate a lead agency and implement a plan of action.	(3) Information on existing national road safety policy, strategy, plan of action, and their implementation. <sup>a</sup>
	(4) Name of designated lead agency on road safety. <sup>a</sup> Description of responsibilities of local, regional and national government organizations, including related coordination mechanism at the national level.
	(5) National road safety reports or impact evaluation reports of government programmes.
(b) Allocate sufficient financial and human resources to improving road safety.	(6) Information on the amount of funding and number of qualified human resources allocated to road safety projects and programmes (public, private and donors) and research and development to create a safer road environment.
<b>Goal 2: Making roads safer for vulnerable road users, including children, elderly people, pedestrians, non-motorized vehicle users, motorcyclists and persons with disabilities</b>	
(a) Reduce by 50 per cent the pedestrian death rate in road crashes.	(7) Numbers of pedestrian deaths. <sup>a</sup>
(b) Increase the number of safe crossings for pedestrians (e.g. with subway, overhead crossings or traffic signals).	(8) Number of new safe crossings or improvements constructed or planned.
(c) Make the wearing of helmets the norm and ensure minimum helmet quality, in order to reduce the motorcyclist death rate by 50 per cent (or reduce it to below the average motorcyclist death rate of the ESCAP region).	(9) Number of motorcyclist deaths and motorcyclist deaths per 100,000 inhabitants. <sup>a</sup>

\* This annex is being issued without formal editing.

<i>Goals and Targets</i>	<i>Indicators for monitoring achievements</i>
(d) Ensure minimum child safety measures, in order to reduce the child death rate by 50 per cent.	(10) Existing laws or administrative rules for the mandatory use of helmets and specifying minimum helmet quality standards. Information on helmet use (percentage). <sup>a</sup> (11) Number of child fatalities in road crashes. (12) Existing laws or administrative rules on measures for child safety in cars (child restraints) and on motorcycles (child helmets). <sup>a</sup> (13) Use of child seat restraints and child helmets (percentage). <sup>a</sup>
(e) Equip all school children with basic road safety knowledge.	(14) Existing or planned education programmes on road safety in school, starting class and its coverage.
(f) Ensure safe transportation access to elderly people and persons with disabilities.	(15) Information on safe transportation access to elderly people and persons with disabilities.
<b>Goal 3: Making roads safer and reducing the severity of road crashes (“self-explaining” and “forgiving roads”)</b>	
(a) Integrate a road safety audit into all stages of road development starting at the design stage, conduct road safety inspection, carry out necessary improvement works, and improve hazardous locations.	(16) Number of, and information about, road safety audits carried out for road design, new road construction and major improvements. <sup>a</sup> (17) Number of improvement programmes carried out to make roads “forgiving”(e.g. addressing black spots, removing or cushioning roadside obstacles).
(b) Increase separate/secure road space for pedestrians and cyclists in urban and suburban areas (where space permits).	(18) Existing length of pedestrian and bicycle tracks in kilometres per 100,000 people or per 10,000 kilometres of roads (along highways and city roads). Programme to construct pedestrian and bicycle track.
<b>Goal 4: Making vehicles safer and encouraging responsible vehicle advertising</b>	
(a) Make regular inspection of road vehicles mandatory and ensure enforcement of inspection (starting in urban areas).	(19) Existing laws or administrative rules on vehicle inspection, frequency of inspection (annual), number of vehicle inspection facilities and organizations.
(b) Ensure safety requirements for new vehicles are in line with international standards.	(20) Existing laws and regulations specifying vehicle safety standards and implementation.
<b>Goal 5: Improving national and regional road safety systems, management and enforcement</b>	
(a) Accession/ratification and implementation of the United Nations instruments on road safety.	(21) Information on accession/ratification of United Nations instruments on road safety. <sup>a</sup>

<i>Goals and Targets</i>		<i>Indicators for monitoring achievements</i>	
(b)	Implement a national (computerized) database, including a mobile reporting system where possible, that provides information on road crashes.	(22)	Information on existing integrated road safety database and responsible organizations.
		(23)	The existence of definitions of road fatality and serious injury being used for data collection, with an indication as to whether they are based on internationally accepted definitions.
(c)	Aim to provide road safety at the stage of road network planning.	(24)	Information about the incorporation of road safety at the stage of road network planning.
(d)	Introduction of laws and regulations regarding mandatory use of helmets and seat belts, drinking and driving, use of mobile phones and speed limits.	(25)	Information on laws or administrative rules on compliance regarding helmet use (including percentage use). <sup>a</sup>
		(26)	Information on laws or administrative rules on compliance regarding seat-belt use and use of mobile phones (including percentage use). <sup>a</sup>
		(27)	Information on laws or administrative rules on compliance regarding drinking and driving and speed limits. <sup>a</sup>
(e)	Allow alcohol tests for prosecution (breathalyser and/or behavioural tests).	(28)	Information on existing alcohol-level testing rules and types of tests and alcohol limits used and allowed for prosecution. <sup>a</sup>
(f)	Make it the general practice to keep motorcycle headlights on at all times.	(29)	Information on existing laws or administrative rules on keeping motorcycle headlights on while driving.
(g)	Increase responsiveness to post-crash emergencies and improve the ability of health and other systems to provide appropriate emergency treatment and early rehabilitation for crash victims.	(30)	Information on a single nationwide telephone number for use in case of emergencies including road crashes. <sup>a</sup>
		(31)	Information on rehabilitation services.
(h)	Apply new technologies in traffic management and intelligent transport systems, including navigation systems, to mitigate the risk of road traffic crashes and maximize response efficiency.	(32)	Information on the use of intelligent transport systems in improving road safety.

#### **Goal 6: Improving cooperation and fostering partnerships**

(a)	Encourage and recognize initiatives sponsored by the private sector.	(33)	Number of major partnerships in the area of road safety, funding (private sector and public-private initiatives).
(b)	Create new and deepen existing partnerships with non-governmental organizations.	(34)	Number, scope and funding of major partnerships with non-governmental organizations.

<i>Goals and Targets</i>		<i>Indicators for monitoring achievements</i>
<b>Goal 7: Developing the Asian Highway network as a model of road safety</b>		
(a) Reduce the total number of fatalities and road crashes on the Asian Highway network.	(35)	Total number of fatalities and road crashes on the Asian Highway network in each country per year. <sup>a</sup>
(b) Reduce the number of fatalities on all Asian Highway network segments to less than 100 per billion vehicle-kilometres.	(36)	Number of fatalities per billion vehicle-kilometres for each Asian Highway network segment per year. <sup>a</sup>
(c) Increase resource allocation for measures related to road safety along the Asian Highway network.	(37)	Amount of resources allocated to safety-related works for Asian Highway network segments from Governments and donors.
(d) Improve Asian Highway network segments to be forgiving to road users if a crash occurs; demonstrate best practice.	(38)	Information on road safety assessment and rating programme for the Asian Highway network.
<b>Goal 8: Providing effective education on road safety awareness to the public, young people and drivers</b>		
(a) Carry out targeted awareness campaigns and training programmes.	(39)	Information on the number of national road safety awareness campaigns and training programmes carried out.
(b) Introduction of policies to reduce work-related road traffic crashes.	(40)	Information on policies to regulate and improve professional drivers' work conditions.

*Source:* Economic and Social Commission for Asia and the Pacific.

<sup>a</sup> Available fully or partially in the *Global Status Report on Road Safety 2015*, the Asian Highway Database or United Nations records.