

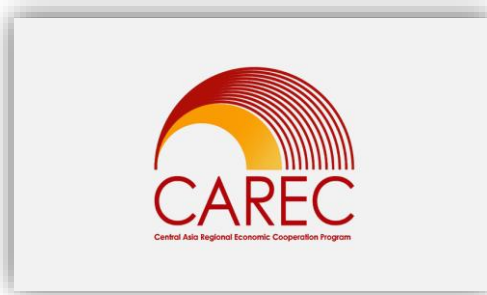
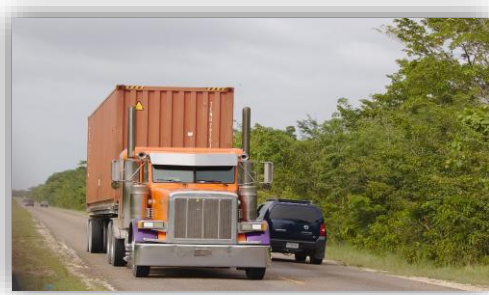
Session 4: Procedural Manuals, Training Materials, and Software Specifications

7th Technical Working Group Meeting: CATS and ICE Implementation
19–20 May 2026, Tbilisi, Georgia

Aivaras Pigaga, Customs and Transit Facilitation Specialist, ADB Consultant

Table of Contents

- 1) Procedural Manuals for Customs, Guarantors, and Trade Operators
- 2) Training Materials for all Stakeholders
- 3) Common Specifications vs Application Specifications



Key CATS/ICE Documents

1. CATS/ICE Multi-Country Framework Agreement – in progress
2. National CATS/ICE Implementation Team Structure, Roles, and Responsibilities – to be prepared
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7. CATS/ICE Training Materials – in progress

Workplan 2026 – Training and Capacity Building

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
C. Training and Capacity Building: Develop Procedural Manuals, Guidelines, and Training Material and provide training to support CATS/ICE development and expansion to new participating CAREC member states.												
C.1 Preparation of Accession Guideline.												
C.2 Development of all relevant CATS Procedural Manuals, such as Procedural Manuals for Customs, Economic Operators, Guarantors, etc.												
C.3 Preparation / updating of training material for project organisation and management, regional legal framework, CATS procedures, and CATS/ICE software for Customs officials and private sector stakeholders.												
C.4 Trainings for Customs officials of the new participating CAREC member states: Kyrgyzstan, Pakistan, Turkmenistan, and Tajikistan.												
C.5 Trainings for Customs officials and private sector stakeholders on the Version 3 CATS/ICE software and briefing on the test procedures for the combined conformity and parallel testing.												

Purpose of the Procedural Manuals

Procedural Manuals translate the agreed legal, operational and technical procedures into clear, step-by-step instructions for everyone who operates CATS/ICE on a daily basis – Customs, Guarantors, and Trader Operators

01 Customs

Offices of departure, transit, destination, guarantee, and other competent offices

02 Guarantors

Insurance companies, banks, and other approved guarantee providers

03 Trade Operators

Freight forwarders, agents / brokers, transport operators, and other logistics providers

Three Manuals, One System

Each manual targets a different role in CATS/ICE operations

Customs

End-to-end transit operation from the Customs perspective

- Offices of departure, transit, destination
- Guarantee management and claims
- Process maps, decision trees, SOP
- Exceptional situations

Guarantor

Guarantee related procedures and system functionalities for guarantors

- Guarantee issuance and validation
- Guarantee usage monitoring, claims, and release
- Standard guarantee templates

Trade Operator

Practical guidance for Approved CATS Operators (ACOs), transporters, and brokers

- Declaration submission and amendments
- Movement release for transit
- Movement tracking
- Partial release at transit office
- Movement release from transit
- Exceptional situations

Customs Procedural Manual

Focus areas for officers of offices of departure, transit, destination, guarantee, and other competent customs offices

01 User Roles & Access

Registration, role profiles, authorisations, audit trails, segregation of duties

03 Risk & Controls

Risk-based targeting, seal verification, x-ray, documentary, physical inspection

05 Departure → Transit → Destination

Guarantee check, sealing, release for transit, processing at office of transit, partial release at office of transit, arrival, release from transit

07 ICE Information Exchange

Cross-border notifications, acknowledgements, data-sharing responsibilities

02 Declaration Processing

Submission, amendment, approval, rejection, cancellation, audit checks

04 Guarantee Management

Approval, validity & amount check, insufficient cover handling

06 Irregularities, Enquiry & Recovery

Broken seals, non-arrival to border or destination, discrepancies, fraud, smuggling, enquiry & recovery procedures, and inter-country cooperation

08 Fallback & Reporting

Manual procedures during outages, reconciliation, dashboards, reports

Guarantor Procedural Manual

Focus areas for insurers, banks, and other approved guarantee providers

01 Registration & Approval

Eligibility, Customs approval, system onboarding

03 Guarantee Issuance

Reference number, amount, validity, beneficiary Customs authorities

05 Balance Management

Amount reservation, exposure monitoring, release after transit discharge

07 Claims & Recovery

Customs claim notifications, deadlines, evidence, disputes, payments

02 Types of Guarantees

Individual (single-journey) and comprehensive (multi-journey) instruments

04 Electronic Validation

How guarantees are made available, checked, and linked to declarations

06 Amendment & Cancellation

Changes to amount, validity, operator details, suspension, withdrawal

08 Audit & Fallback

Record-keeping, paper-based fallback, reconciliation

Trade Operator Procedural Manual

Focus areas for Approved CATS Operators (ACOs), transporters / carriers, and agents / brokers

01 Registration & Access

Company registration, user accounts, representative authorisations, training

02 Preconditions for Use

Licences, Customs registration, guarantee arrangements, transport / route data

03 Declaration Preparation

Data elements, consignors / consignees, goods, packaging, transport, routing, guarantee

04 Submission & Validation

Submission, fixing validation errors, amendment, rejection, withdrawal

05 Departure & Border-Crossing

Goods presentation, controls, sealing, release for transit, interaction at entry / exit, partial releases at office of transit

06 Destination & Discharge

Goods presentation, unloading, release from transit, guarantee release

07 Incidents & Amendments

Accidents, transshipment, seal breakage, deviations, partial loss

08 Tracking & Fallback

Dashboards, alerts, pending actions, record-keeping, paper-based fallback, reconciliation

How procedural manuals work in the real world

01

Operational Rulebooks

These manuals are not background reading – they are the day-to-day rulebooks for running CATS/ICE

Designed for the desks of officers, guarantors, and operators

02

Consistent Across the Region

Aligned terminology, codes and process references minimise divergence between countries

All three manuals share the same legal anchors and cross-cutting structure

03

Predictable & Legally Compliant

Clear steps, fallback, and audit trails ensure the system runs the same way every time

Stakeholders can rely on predictable behaviour

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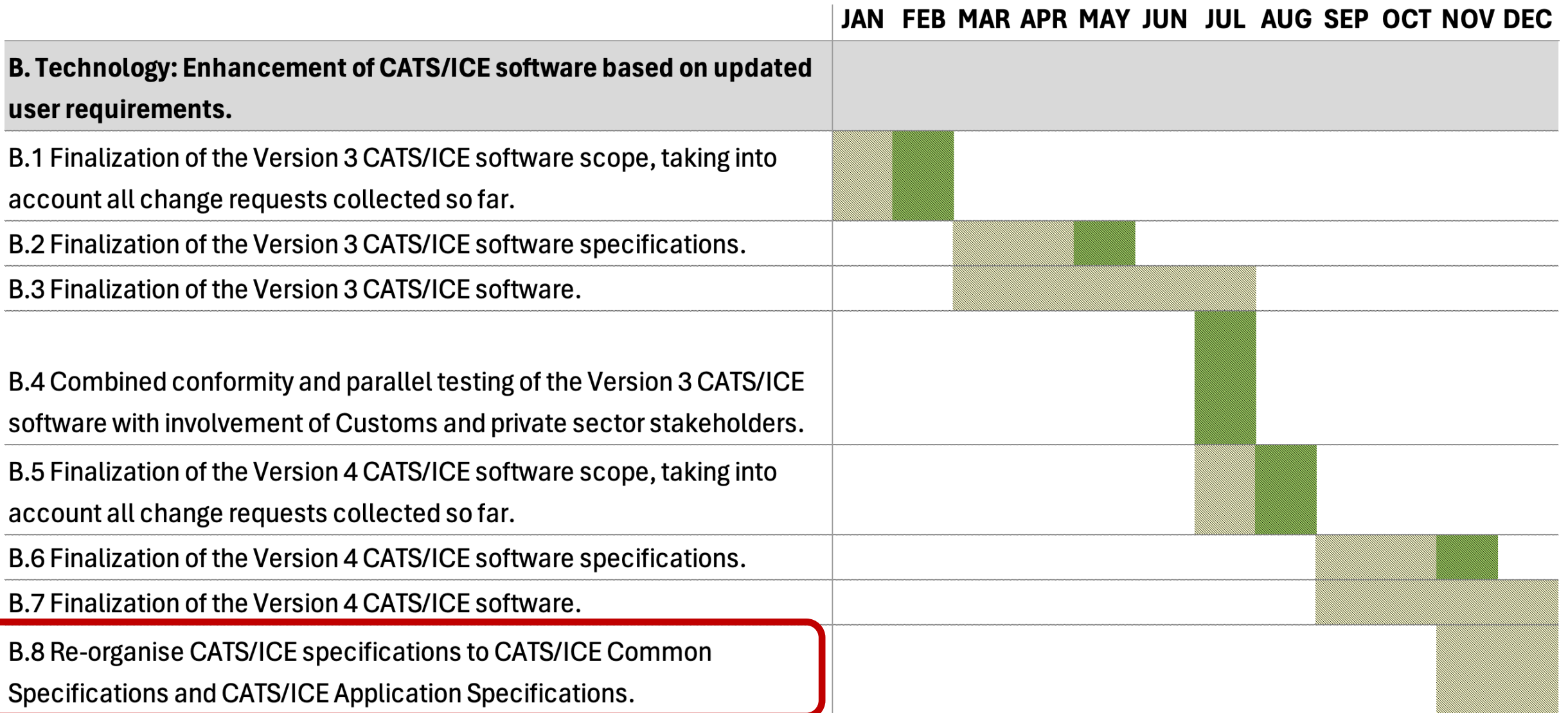
Training Material & User Manuals

	Training Material	Current Status	Dependencies
1	Project Organization and Management	Ready, to be maintained	N/A
2	Regional Legal Framework	Ready, to be maintained	Multi-Country Framework Agreement
3	CATS Procedures for Customs	To be prepared	Procedural Manual
4	CATS Procedures for Trade Operators	To be prepared	Procedural Manual
5	CATS Procedures for Guarantors	To be prepared	Procedural Manual
6	CATS/ICE Software Training Material and User Manual for Customs	Ready, to be maintained	CATS/ICE Software
7	CATS Software Training Material and User Manual for ACOs	Ready, to be maintained	CATS/ICE Software
8	CATS Software Training Material and User Manual for Guarantors	Ready, to be maintained	CATS/ICE Software

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Workplan 2026 – CATS/ICE Technology



Common Specifications vs Application Specifications

Technical Development and Consistency (Q3 2023–Q4 2027)

- Evolve the *Prototype* into *Version 4* for live operational trial
- Separate common specifications from application specifications
- Ensure *secure integration* with ICE for all national CATS systems

Conformance and Parallel Testing (Q1 2024–Open)

- Mandatory conformance testing for compliance with common specifications, ensuring interoperability
- *Parallel testing* with real data before live rollout
- Act as a *quality assurance gate*

Common Specifications vs Application Specifications

Common Specifications	Application Specifications
Govern interoperability	Govern functionality
Regional and mandatory – shared, region-wide rulebook that every participating country must comply to	Local and implementation-specific
Define the "contract" between national systems and ICE (message types, data exchange protocols, business process, reference data, connectivity, and security / performance standards)	Describe how a particular CATS application, central or national, actually implements common specifications' requirements internally (UI design, internal data models, business logic, country-specific extensions)
Exist to ensure that, whatever each country builds or adopts, all national CATS applications can exchange messages with the ICE hub and hence with each other in a consistent, predictable way	Cover everything that happens "inside the box" of a given CATS application, features, workflows, screens, configuration options, and can legitimately differ between countries, as long as they remain compliant with the common layer

Conformance Testing tests against Common Specifications, not Application Specifications

- Under the accession process, any nationally developed or adapted CATS application must pass Conformance Testing, which formally verifies compliance with the Common Specifications
- Application-specific details are not certified at the regional level – they are the country's own responsibility

Testing & Certification

Countries who join live operations with altered or their own CATS application must pass full Conformance Testing Phases 1 & 2 to obtain Certification

Phase 1

Trial Conformance Testing

Preparation runs of test scenarios – as many as needed

- Final run must be a clean, full pass
- Regular progress reports to regional CATS/ICE management
- Builds readiness for formal testing

Phase 2

Formal Conformance Testing

Single full run passing all scenarios with daily reporting

- Verifies compliance with Common Specifications
- Messages, protocols, business processes, reference data, security
- Conducted in dedicated test environment

Phase 3

International Conformance Testing

Live transit movements between member states – strongly recommended

- End-to-end real cargo on the corridor
- Validates operations, helpdesk, guarantee handling
- Confirms readiness in production-like conditions

CERTIFICATION

Requires to pass Phases 1 & 2 (Phase 3 strongly recommended)

- Granted by regional CATS/ICE management
- Clearance for live operations with the certified CATS application version

