

[Code of Federal Regulations]  
[Title 19, Volume 1]  
[Revised as of April 1, 2002]  
From the U.S. Government Printing Office via GPO Access  
[CITE: 19CFR115]

[Page 511-521]

## TITLE 19--CUSTOMS DUTIES

### CHAPTER I--UNITED STATES CUSTOMS SERVICE, DEPARTMENT OF THE TREASURY

#### PART 115--CARGO CONTAINER AND ROAD VEHICLE CERTIFICATION PURSUANT TO INTERNATIONAL CUSTOMS CONVENTIONS

##### Subpart A--General

Sec.

- 115.1 Purpose.
- 115.2 Application.
- 115.3 Definitions.
- 115.4 Conflicting provisions.

##### Subpart B--Administration

- 115.6 Designated Certifying Authorities.
- 115.7 Designation of additional Certifying Authorities.
- 115.8 Certifying Authorities responsibilities--road vehicles.
- 115.9 Certifying Authorities responsibilities--containers.
- 115.10 Certificate of approval.
- 115.11 Establishment of fees.
- 115.12 Records maintained by Certifying Authority.
- 115.13 Records to be furnished Customs.
- 115.14 Meeting on program.

[[Page 512]]

- 115.15 Reports by road vehicle or container manufacturer.
- 115.16 Notification of Certifying Authority by manufacturer.
- 115.17 Appeal to Commissioner of Customs.
- 115.18 Decision of Commissioner of Customs final.

##### Subpart C--Procedures for Approval of Containers by Design Type

- 115.25 General.
- 115.26 Eligibility.
- 115.27 Where to apply.
- 115.28 Application for approval.
- 115.29 Plan review.
- 115.30 Technical requirements for containers by design type.
- 115.31 Examination, inspection, and testing.
- 115.32 Approval plates.
- 115.33 Termination of approval.

##### Subpart D--Procedures for Approval of Containers After Manufacture

- 115.37 General.

- 115.38 Application.
- 115.39 Eligibility.
- 115.40 Technical requirements for containers.
- 115.41 Certificate of approval for containers approved after manufacture.
- 115.42 Approval plates.
- 115.43 Termination of approval.

Subpart E--Procedures for Approval of Individual Road Vehicles

- 115.48 General.
- 115.49 Application.
- 115.50 Eligibility.
- 115.51 Technical requirements.
- 115.52 Approval.
- 115.53 Certificate of approval.
- 115.54 Renewal of certificate.
- 115.55 Termination of approval.

Subpart F--Procedures for Approval of Road Vehicles by Design Type

- 115.60 General.
- 115.61 Eligibility.
- 115.62 Where to apply.
- 115.63 Application for approval.
- 115.64 Plan review.
- 115.65 Technical requirements for road vehicles by design type.
- 115.66 Examination, inspection, and testing.
- 115.67 Approval certificate.
- 115.68 Termination of approval.

Authority: 5 U.S.C. 301, 19 U.S.C. 66, 1624; E.O. 12445 of October 17, 1983.

Source: T.D. 86-92, 51 FR 16161, May 1, 1986, unless otherwise noted.

Subpart A--General

Sec. 115.1 Purpose.

This chapter establishes procedures for certifying containers and road vehicles in conformance with the Customs Convention on Containers (1956) (TIAS 6634), the Customs Convention on the International Transport of Goods Under Cover of TIR Carnets (1959) (TIAS 6633), the Customs Convention on the International Transport of Goods Under Cover of TIR Carnets, November 14, 1975 (TIAS), and the Customs Convention on Containers, 1972 (TIAS), by applying the procedures and technical conditions set forth in the annexes to these conventions.

Sec. 115.2 Application.

(a) Certification of containers and road vehicles for international transport under Customs seal is voluntary. This chapter does not require certification of containers and road vehicles.

(b) The Customs Convention on the International Transport of Goods Under Cover of TIR Carnets (TIR Convention), January 15, 1959 (20 UST

184, TIAS 6633), requires that the approval of road vehicles be made by competent authorities of the country in which the owner or carrier is a resident or is established, and that containers should be either similarly approved, or approved by the competent authority of the country where it is first used for transport under Customs seal. The Customs Convention on Containers, May 18, 1956 (20 UST 301, TIAS 6634), requires that the approval of containers be made by competent authorities of the country in which the owner is a resident or is established or by those of the country where the container is used for the first time for transport under Customs seal. The TIR Convention, 1975, generally provides that a road vehicle, for which approval at a stage after manufacture is desired, shall be approved by the competent authority where the vehicle owner or operator is established or located, or where the vehicle is registered. Such approval under the TIR Convention, 1975, or, for containers, the Customs Convention on Containers, 1972, may be accomplished by the competent authority of the country in which the owner

[[Page 513]]

or operator is able to produce the conveyance. The 1975 TIR Convention and the Customs Convention on Containers, 1972, also provide that the Certifying Authority of the country of manufacture, if that country is a contracting party to the Convention, may approve a series of road vehicles or containers presented for design type approval. The procedures for applying for certification are contained in Secs. **115.28**, **115.38**, **115.49**, and **115.63** of this part.

### Sec. **115.3** Definitions.

For the purpose of this part:

(a) Certifying Authority. ``Certifying Authority'' means a nonprofit firm or association, incorporated or established in the U.S., which the Commissioner finds competent to carry out the functions of this part and which he designates to certify containers and road vehicles for international transport under Customs seal.

(b) Commissioner. ``Commissioner'' means the Commissioner of Customs.

(c) Container. ``Container'' means an article of transport equipment (lift van, portable tank, or other similar structure).

(1) Fully or partially enclosed to constitute a compartment intended for containing goods;

(2) Of a permanent character and strong enough to be suitable for repeated use;

(3) Specifically designed to facilitate the carriage of goods by one or more modes of transport, without intermediate reloading;

(4) Designed for ready handling, particularly its transfer from one mode of transport to another;

(5) Designed to be easily filled and emptied; and

(6) Having an internal volume of 1 cubic meter (35.3 cubic feet) or more.

(d) Manufacturer. ``Manufacturer'' means an organization or person constructing containers or road vehicles for certification in accordance with this chapter.

(e) Prototype. ``Prototype'' means a sample unit of a series of identical containers or road vehicles all built, so far as practical, under the same conditions.

(f) Road vehicle. ``Road Vehicle'', as defined in Chapter 1, Article 1 of the Customs Convention on the International Transport of Goods Under Cover of TIR Carnets (TIR Convention), November 14, 1975 (TIAS), means not only any power-driven road vehicle but also any trailer or semi-trailer designed to be coupled to it.

(g) Customs and TIR/Container Plan. ``Customs and TIR/Container Plan'' means the designer's drawing of a vehicle (for TIR purposes) or container (for TIR and Container Convention purposes) that illustrates each requirement in Secs. 115.30, 115.40, 115.51, or 15.65, as appropriate to this part.

(h) The definitions in the subject Conventions shall be considered applicable to terms not specifically defined above.

#### Sec. 115.4 Conflicting provisions.

The provisions of the most recent TIR/Container Convention shall apply in the event of conflict between it and an earlier TIR/Container Convention covered by these regulations.

#### Subpart B--Administration

#### Sec. 115.6 Designated Certifying Authorities.

(a) The American Bureau of Shipping, 45 Eisenhower Dr., Paramus, New Jersey 07652.

(b) International Cargo Gear Bureau, Inc., 17 Battery Place, New York, New York 10004.

(c) The National Cargo Bureau, Inc., One World Trade Center, Suite 2757, New York, New York 10048.

#### Sec. 115.7 Designation of additional Certifying Authorities.

(a) The Commissioner may designate as a Certifying Authority any nonprofit firm or association that he finds competent to carry out the functions of Secs. 115.8 through 115.14 of this subpart.

(b) Any designation as Certifying Authority may be terminated by the Commissioner.

#### Sec. 115.8 Certifying Authorities responsibilities--road vehicles.

(a) General. Road vehicles may be approved individually or by design type.

[[Page 514]]

(b) Individual approval. The Certifying Authority to whom a road vehicle is submitted for approval shall inspect such road vehicle produced in accordance with the general rules contained in Annex 3 of the TIR Convention, 1975.

(c) Design type approval. The Certifying Authority to whom a road vehicle is submitted for design type approval shall examine the drawings and detailed design specifications submitted with the application for approval. The Certifying Authority shall advise the applicant of any changes that must be made to the proposed design type in order that approval may be granted. The Certifying Authority shall examine one or more vehicles to confirm that such vehicles comply with the technical conditions contained in Annex 2 of the TIR Convention, 1975. The

Certifying Authority shall notify the applicant of its decision to grant design type approval, and it shall issue an approval certificate complying with Annexes 3 and 4 of the TIR Convention, 1975.

(d) Supplementary examinations. If a road vehicle approved by design type is the subject of an extended production run under one certificate of approval, the Certifying Authority shall confirm by examination of one or more road vehicles during the manufacturing process, or by other means, that such vehicles continue to meet the approved drawings and detailed design specifications and the technical requirements of Annex 2 of the TIR Convention, 1975.

For the purposes of this section, an extended production run shall be considered a continuous run of many units over long periods of time, as well as a new run following the completion of a previous run.

#### Sec. 115.9 Certifying Authorities responsibilities--containers.

(a) General. Containers may be approved for transport under seal by design type at the manufacturing stage or, otherwise, at a stage subsequent to manufacture.

(b) Design type approval. The Certifying Authority to whom a container is submitted for design type approval shall examine the drawings and detailed design specifications submitted with the application for approval. The Certifying Authority shall advise the applicant of any changes that must be made to the proposed design type so that approval may be granted. The Certifying Authority shall examine one or more containers to confirm that such containers comply with the technical requirements of Part 1, Annex 7, TIR Convention, 1975, and Annex 4 of the Customs Convention on Containers, 1972. The Certifying Authority shall issue a certificate authorizing the applicant to affix an approval plate, as described in Appendix 1 to Part II, Annex 7 of the TIR Convention, 1975, and Annex 5 of the Customs Convention on Containers, 1972, for all containers manufactured in conformity with the specifications of the type of container approved. This certificate shall comply with the model certificate in Appendix 2, Part II, Annex 7 of the TIR Convention, 1975, and Appendix 2 of Annex 5 of the Customs Convention on Containers, 1972.

(c) After manufacture. The Certifying Authority to whom containers are submitted for approval after manufacture, shall examine as many containers as necessary to ascertain that they comply with the technical conditions prescribed in Part 1, Annex 7, TIR Convention, 1975, and Annex 5 of the Customs Convention on Containers, 1972. The Certifying Authority shall issue a certificate of approval authorizing the applicant to affix an approval plate to the specific number or series of containers being approved. The certificate shall comply with the model certificate of approval in Appendix 3, Part II, Annex 7, TIR Convention, 1975, and Appendix 3, Annex 5, Customs Convention on Containers, 1972.

(d) Supplementary examinations. If a container approved by design type is the subject of an extended production run or several production runs under one certificate of approval, the Certifying Authority shall confirm by examination of one or more containers during the manufacturing process, or by other means, that such containers continue to meet the approved drawings and detailed design specifications and the technical requirements of Annex 7 of the TIR Convention, 1975, and Annex

[[Page 515]]

4 of the Customs Convention on Containers, 1972. For the purposes of

this section, an extended production run shall be considered as a continuous run of many units over long periods of time, as well as a new run following completion of a previous run.

**Sec. 115.10** Certificate of approval.

A Certifying Authority shall issue a certificate of approval by design type for a specified number or unlimited series of containers that are approved in accordance with the procedures contained in Secs. **115.29**, **115.31**, **115.38**, and **115.41**, and road vehicles that are approved in accordance with the procedures contained in Secs. **115.49**, **115.52**, **115.63**, and **115.66** of this part.

(a) Road vehicles. A Certifying Authority shall issue a certificate of approval conforming to the model in Annex 4 of the 1975 TIR Convention for vehicles submitted for individual or design type approval, if satisfied that the vehicles comply with the technical conditions prescribed in Annex 2 of the TIR Convention, 1975.

(b) Containers--(1) Approval after manufacture. A Certifying Authority shall issue a certificate of approval conforming to the model in Appendix 3, Part II to Annex 7 of the TIR Convention, 1975, and Appendix 3 to Annex 5 of the Customs Convention on Containers, 1972, for containers approved at a stage after manufacture, when it has been ascertained that the containers comply with the technical conditions prescribed in Annex 7 of the TIR Convention, 1975, and Annex 4 of the Customs Convention on Containers, 1972. The certificate shall be valid for the number of containers approved.

(2) Design type approved. A Certifying Authority shall issue a single certificate of approval conforming to the model in Appendix 2, Part II to Annex 7 of the TIR Convention, 1975, and Appendix 2 to Annex 5 of the Customs Convention on Containers, 1972, for containers approved by design type when it has been ascertained that the container type complies with the technical conditions prescribed in Annex 7 of the 1975 TIR Convention, and Annex 4 of the Customs Convention on Containers, 1972. The certificate shall be valid for all containers manufactured in conformity with the specifications of the type approved.

(c) Provisions common to both approval procedures. The certificate of approval issued pursuant to paragraphs (a) and (b) of this section shall be valid for either the specific number of containers approved, or for an unlimited series of containers of the approved type.

**Sec. 115.11** Establishment of fees.

(a) Each Certifying Authority shall establish and file with the Commissioner a schedule of fees for the performance of the certification procedures under this chapter. The fees shall be based on the costs (including transportation expense) actually incurred by the Certifying Authority. The fees are subject to approval by the Commissioner before their use by the Certifying Authority.

(b) Each Certifying Authority shall make available a schedule of its fees approved by the Commissioner. In addition, the schedules of approved fees for all the Certifying Authorities are available from the Headquarters, U.S. Customs Service, Office of Field Operations, 1300 Pennsylvania Avenue, NW., Washington, DC 20229.

[T.D. 86-92, 51 FR 16161, May 1, 1986, as amended by T.D. 99-27, 64 FR 13675, Mar. 22, 1999]

Sec. **115.12** Records maintained by Certifying Authority.

(a) Each Certifying Authority shall maintain--

(1) A copy of each individual certificate of approval issued, together with a copy of the plans and the application to which the approval refers, along with any information submitted by the manufacturer and/or owner or operator for the certification of a container or a road vehicle.

(2) A record of each serial number assigned and affixed by the manufacturer to the road vehicles and containers manufactured under a design type approval, and containers approved at a stage after manufacture.

(b) The Commissioner may examine the Certifying Authority's files required by paragraph (a) of this section.

[[Page 516]]

Sec. **115.13** Records to be furnished Customs.

Each Certifying Authority shall furnish the Headquarters, U.S. Customs Service, Office of Field Operations, 1300 Pennsylvania Avenue, NW., Washington, DC 20229, unless waived by Customs;

(a) A copy of each issued certificate of approval for containers and road vehicles and a copy of the plans and application to which the approval refers;

(b) A copy of each issued individual approval for a container or road vehicle.

[T.D. 86-92, 51 FR 16161, May 1, 1986, as amended by T.D. 99-27, 64 FR 13675, Mar. 22, 1999]

Sec. **115.14** Meeting on program.

If determined necessary by Customs, each Certifying Authority's representative for certification functions shall meet, after notice, with the Commissioner to review their administration of the certification program.

Sec. **115.15** Reports by road vehicle or container manufacturer.

Each manufacturer shall forward to the appropriate Certifying Authority, quarterly or when otherwise requested by that Authority:

(a) The registration number or other identifying information on road vehicles, or serial numbers assigned to containers manufactured under a certificate of approval by design type; and

(b) An attestation that each road vehicle or container to which a serial number was assigned was manufactured in full compliance with the certificate of approval by design type.

Sec. **115.16** Notification of Certifying Authority by manufacturer.

In order that the Certifying Authority can schedule an appropriate inspection, a manufacturer shall give notification to that Authority before each production run of road vehicles or containers to be built pursuant either to plans approved by the Certifying Authority, or revised plans (approved or unapproved).

Sec. **115.17** Appeal to Commissioner of Customs.

(a) Any manufacturer, carrier, or owner may, within 30 days after he has been notified by a Certifying Authority of an adverse determination, including any review provided, appeal that determination to the Commissioner.

(b) Any determination which is appealed remains in effect pending a decision by the Commissioner.

Sec. **115.18** Decision of Commissioner of Customs final.

The decision of the Commissioner on any matter appealed to him is final.

Subpart C--Procedures for Approval of Containers by Design Type

Sec. **115.25** General.

The Certifying Authority shall, at the request of a manufacturer, evaluate containers for approval by design type during the manufacturing stage.

Sec. **115.26** Eligibility.

Any manufacturer of containers to be manufactured in a type series from standard design and specifications so that each container has identical characteristics, may apply for approval by design type.

Sec. **115.27** Where to apply.

A manufacturer may apply for approval of a container by design type to a Certifying Authority of the country in which the container is manufactured if such country is a contracting party to the TIR Convention, 1975, or the Customs Convention on Containers, 1972.

Sec. **115.28** Application for approval.

Each application by a manufacturer or an owner for certification of a container by design type must include:

- (a) Three copies, each no larger than 3 feet by 4 feet, of the customs and TIR/Container plan;
- (b) Customs and TIR/Container plan number;
- (c) Three copies of the specifications which include the following information:

[[Page 517]]

- (1) The name and address of the manufacturer and the owner; and
- (2) A description of the container including the--
  - (i) Type of construction;
  - (ii) Dimensions;
  - (iii) Material of construction;
  - (iv) Coating system used;
  - (v) Identification marks and numbers; and
  - (vi) Tare weight;
- (d) The location and date for inspection; and
- (e) A statement signed by the manufacturer that:

- (1) A container of the design type concerned is available for inspection and approval by the Certifying Authority before, during, and after the production run;
- (2) Notification will be given to the Certifying Authority of each change in the design before adoption; and
- (3) Each container will be marked with:
  - (i) The metal plate required in Sec. **115.32**;
  - (ii) The identification number or letter of the design type assigned by the manufacturer; and
  - (iii) The serial number of the container assigned by the manufacturer.

Sec. **115.29** Plan review.

- (a) A manufacturer or owner who wants containers to be approved by design type must submit the plans and specifications for the container to the Certifying Authority.
- (b) The Certifying Authority examining the plans and specifications submitted in accordance with paragraph (a) of this section shall:
  - (1) Approve the plans and specifications in accordance with the requirements of Sec. **115.30** and arrange to inspect a container in accordance with Sec. **115.31**; or
  - (2) Advise the applicant of any necessary changes to be made for compliance with the requirements of Sec. **115.30**.
- (c) If changes in the design of the container are made during production but after approval of the plans and specifications by the Certifying Authority and furnish it with ``as-built'' drawings of the container so that the plans can be reviewed and one or more containers inspected during the production stage to confirm that they continue to comply with the requirements of Sec. **115.30**.

Sec. **115.30** Technical requirements for containers by design type.

The plans and specifications of a container submitted in accordance with the requirements contained in [sect]**115.29**, and the one or more containers inspected in accordance with the requirements of Sec. **115.31**, must comply with the requirements of Annex 7 of the Customs Convention on the International Transport of Goods Under Cover of TIR Carnets (TIR Convention), November 14, 1975 (TIAS), and Annex 4 of the Customs Convention on Containers (Container Convention), December 2, 1972. Copies of Annex 7 and Annex 4 may be obtained from the Headquarters, U.S. Customs Service, Office of Field Operations, 1300 Pennsylvania Avenue, NW., Washington, DC 20229.

[T.D. 86-92, 51 FR 16161, May 1, 1986, as amended by T.D. 99-27, 64 FR 13675, Mar. 22, 1999]

Sec. **115.31** Examination, inspection, and testing.

- (a) Before the issuance of a certificate of approval by design type, the Certifying Authority shall:
  - (1) Make a physical examination of one or more containers of the production series concerned;
  - (2) Assure itself as to the adequacy of the manufacturer's system to control quality of materials used, manufacturing methods, and finished containers; and
  - (3) Require the manufacturer to make available to the Certifying

Authority records of material, including affidavits furnished by suppliers.

(b) The Certifying Authority shall conduct such examinations, inspections, and tests of the production run containers as it deems necessary.

#### Sec. 115.32 Approval plates.

The manufacturer shall affix, in a clearly visible place on or near one of the doors or other main openings of each container manufactured to the approved design, a metal approval plate measuring at least 20 by 10 centimeters (7.8 by 3.9 inches). The following shall

[[Page 518]]

be embossed on or stamped into the surface of the approval plate:

(a) ``Approved for transport under Customs seal.''

(b) ``USA/(number of the certificate of approval)/(last two digits of year of approval).'' (e.g. ``USA/1600/84'' means ``United States of America certificate of approval number 1600, issued in 1984).'' A two digit alpha suffix may be added to the certificate of approval number to identify the Certifying Authority, e.g., USA/1600-AB/85, USA/1600-IB/85.

(c) Identification of the type of container and of the number of the container in the type series.

(d) The serial number assigned to the container by the manufacturer (manufacturer's number).

#### Sec. 115.33 Termination of approval.

Any container, the essential features of which are changed, shall no longer be covered by the design type approval. Such a container may be made available to a Certifying Authority for inspection and individual approval in accordance with subpart D of the part. However, repairs in kind do not constitute a change of the essential features.

#### Subpart D--Procedures for Approval of Containers After Manufacture

#### Sec. 115.37 General.

This subpart provides for the approval and certification of containers after manufacture, and for those altered so as to void their design type approval.

#### Sec. 115.38 Application.

A written request for approval of a container after manufacture may be made by the owner or operator to a Certifying Authority and must include the following:

(a) Three copies, each no longer than 3 feet by 4 feet, of the Customs and TIR/Container plan;

(b) Customs and TIR/Container plan number;

(c) Three copies of the specifications which include the following information:

(1) Type of container;

(2) Name and business address of applicant;

(3) Identification marks and numbers;

(4) Tare weight;

- (5) Nominal overall dimensions in centimeters;
- (6) Type of construction and essential particulars of structure (nature of materials, coating system used, parts which are reinforced, whether bolts are riveted or welded, and similar matters); and
- (7) Proposed location and date for inspection of the container.

Sec. **115.39** Eligibility.

The owner or operator may submit containers to be approved after the manufacturing stage to:

- (a) The Certifying Authority of the country of manufacture if such country is a contracting party to the Convention.
- (b) The Certifying Authority of the country where the owner or operator is resident or established, when such Certifying Authority has representatives located in the country of manufacture, which is a noncontracting party to the Convention.
- (c) The Certifying Authority of the country where a container is used for the first time for transport of merchandise under Customs seal or where it is otherwise physically located.

Sec. **115.40** Technical requirements for containers.

A container that is submitted for inspection for approval after manufacture, must comply with the requirements of Annex 7 of the Customs Convention on the International Transport of Goods Under Cover of TIR Carnets (TIR Convention), November 14, 1975 (TIAS) and Annex 4 of the Customs Convention on Containers (Container Convention), December 2, 1972. Copies of Annex 7 and Annex 4 may be obtained from the Headquarters, U.S. Customs Service, Office of Field Operations, 1300 Pennsylvania Avenue, NW., Washington, DC 20229.

[T.D. 86-92, 51 FR 16161, May 1, 1986, as amended by T.D. 99-27, 64 FR 13675, Mar. 22, 1999]

[[Page 519]]

Sec. **115.41** Certificate of approval for containers approved after manufacture.

The Certifying Authority shall issue an individual certificate of approval for each container that meets the requirements in Sec. **115.40**.

Sec. **115.42** Approval plates.

(a) The owner or operator applicant shall, upon receipt of a certificate of approval from the Certifying Authority, affix an approval plate in the manner specified for containers approved by design type (see Sec. **115.32**).

(b) Although an entry is not required in the space provided for type identifiers on an approval plate for containers approved after manufacture, identification number and letters indicating that a series of containers comply with the same specifications may be placed in such space. This may be used to assist in the identification of a series of containers in which a common defect may be discovered subsequent to certification. In such case the approval number on the plate shall be altered by an addition to the second or third element of such number. The specific method of altering the approval number may be established

by each Certifying Authority, for containers approved by it, and communicated to the U.S. Customs Service.

(c) Two possible methods of accomplishing this are:

(1) Placing an 'X' in front of the numeric portion of the middle element of the approval number, e.g., USA/X123-IB/85.

(2) Placing a suffix at the end of the approval number, e.g., USA/123-AB/85-01.

#### Sec. 115.43 Termination of approval.

Approval of a container terminates upon a change in the container by a major repair or alteration of any of the essential features required in Sec. 115.40. Repairs by replacement in kind do not constitute a change of the essential features.

#### Subpart E--Procedures for Approval of Individual Road Vehicles

#### Sec. 115.48 General.

This subpart provides for the approval and certification of individual road vehicles that comply with the technical requirements in Sec. 115.51.

#### Sec. 115.49 Application.

A written request for approval of an individual road vehicle may be made by the owner, or carrier to a Certifying Authority and must include:

(a) Three copies, each no larger than 3 feet by 4 feet, of the Customs and TIR plan;

(b) Customs and TIR plan number;

(c) Three copies of the specifications which include the following information:

(1) Type of vehicle;

(2) Name and business address of owner or operator;

(3) Name of the manufacturer;

(4) Chassis number;

(5) Engine number (if applicable);

(6) Registration number;

(7) Particulars of construction;

(8) Any photos or diagrams required by the Certifying Authority to facilitate approval; and

(9) A proposed place and date for inspection of the road vehicle.

#### Sec. 115.50 Eligibility.

A road vehicle may be submitted for inspection by its owner or operator to a Certifying Authority of the country in which the owner or operator is a resident or is established, or where the vehicle is registered.

#### Sec. 115.51 Technical requirements.

A road vehicle that is submitted for inspection for individual approval must comply with the requirements of Annex 2 of the Customs Convention on the International Transport of Goods Under Cover of TIR Carnets (TIR Convention), November 14, 1975, (TIAS). Copies of Annex 2

may be obtained from the Headquarters, U.S. Customs Service, Office of Field Operations, 1300

[[Page 520]]

Pennsylvania Avenue, NW., Washington, DC 20229.

[T.D. 86-92, 51 FR 16161, May 1, 1986, as amended by T.D. 99-27, 64 FR 13675, Mar. 22, 1999]

Sec. **115.52** Approval.

The Certifying Authority shall issue a certificate of approval, valid for 2 years, to each road vehicle that complies with the applicable requirements in Sec. **115.51**.

Sec. **115.53** Certificate of approval.

A certificate of approval must be kept on the vehicle as evidence of approval.

Sec. **115.54** Renewal of certificate.

A certificate of approval may be renewed if the Certifying Authority determines by inspection every 2 years that the vehicle continues to comply with the applicable requirements in Sec. **115.51**.

Sec. **115.55** Termination of approval.

Approval of a road vehicle terminates:

- (a) Upon expiration of the certificate of approval; or
- (b) Upon a change in the road vehicle by a major repair or alteration of any of the essential features required in Sec. **115.51**. Repairs by replacement in kind do not constitute a change of the essential features.

Subpart F--Procedures for Approval of Road Vehicles by Design Type

Sec. **115.60** General.

This subpart provides for the approval and certification of road vehicles manufactured by design type.

Sec. **115.61** Eligibility.

Any manufacturer of road vehicles which are being manufactured in a type series from a standard design and specifications, so that each road vehicle has identical characteristics, may apply for an approval by design type.

Sec. **115.62** Where to apply.

A manufacturer may apply for approval of a road vehicle by design type to a Certifying Authority of the country in which the road vehicle is manufactured, if such country is a contracting party to the TIR Convention, 1975.

Sec. **115.63** Application for approval.

Each application by a manufacturer for certification of a road vehicle by design type must include:

- (a) Three copies, each no larger than 3 feet by 4 feet, of the Customs and TIR plan;
- (b) Customs and TIR plan number;
- (c) Three copies of the specifications which include the following information:
  - (1) The name and address of the manufacturer and the owner; and
  - (2) A description of the road vehicle including the:
    - (i) Particulars of construction;
    - (ii) Dimensions;
    - (iii) Construction materials; and
    - (iv) Marks and numbers, including chassis, engine, and registration numbers.
- (d) A statement signed by the manufacturer that:
  - (1) It will present vehicles of the type concerned to the Certifying Authority which that Authority may wish to examine;
  - (2) Permit the Certifying Authority to examine further units at any time during or after the production run;
  - (3) Notify the Certifying Authority of each change in the design or specifications before adoption;
  - (4) Mark the road vehicles in a visible place with the identification number or letters of the design type and the serial number of the vehicle in the type series manufacturer's number; and
  - (5) Keep a record of vehicles manufactured according to the design type.

Sec. **115.64** Plan review.

(a) A manufacturer or owner who wants road vehicles to be approved by design type must submit the plans and specifications of the road vehicles to the Certifying Authority.

(b) The Certifying Authority that examines the plans and specifications submitted in accordance with paragraph (a) of this section shall:

[[Page 521]]

(1) Approve the plans and specifications in accordance with the requirements of Sec. **115.65** and arrange to inspect a road vehicle in accordance with Sec. **115.66**; or

(2) Advise the applicant of any necessary changes to be made for compliance with the requirements of Sec. **115.65**.

(c) If changes in design of the road vehicle are made during production but after approval of the plans and specifications by the Certifying Authority, the manufacturer shall immediately notify the Certifying Authority and furnish it with ``as-built'' drawings of the road vehicle so that the plans can be reviewed and one or more road vehicles inspected during the production stage to confirm that they continue to comply with the requirements of Sec. **115.65**.

Sec. **115.65** Technical requirements for road vehicles by design type.

The plans and specifications of a road vehicle that are submitted in accordance with the requirements contained in Sec. **115.64**, and the one

or more road vehicles that are inspected in accordance with the requirements of Sec. **115.66**, must comply with the requirements of Annex 2 of the Customs Convention on the International Transport of Goods Under Cover of TIR Carnets (TIR Convention), November 14, 1975 (TIAS). Copies of Annex 2 may be obtained from the Headquarters, U.S. Customs Service, Office of Field Operations, 1300 Pennsylvania Avenue, NW., Washington, DC 20229.

[T.D. 86-92, 51 FR 16161, May 1, 1986, as amended by T.D. 99-27, 64 FR 13675, Mar. 22, 1999]

Sec. **115.66** Examination, inspection, and testing.

(a) Before the issuance of a certificate of approval by design type, the Certifying Authority shall:

(1) Make a physical examination of one or more vehicles of the production series concerned;

(2) Assure itself as to the adequacy of the manufacturer's system to control quality of materials used, manufacturing methods, and finished road vehicles; and

(3) Require the manufacturer to make available to the Certifying Authority records of materials, including affidavits furnished by suppliers.

(b) The Certifying Authority shall conduct such examinations, inspections, and testing of the production run road vehicles as it deems necessary.

Sec. **115.67** Approval certificate.

The holder of the approval certificate shall, before using the vehicle for the carriage of goods under the cover of a TIR Carnet, fill in as may be required on the approval certificate:

(a) The registration number given to the vehicle (item No. 1); or

(b) In the case of a vehicle not subject to registration, particulars of his name and business address (item No. 8). (See Annex 4 of the Convention for model of certificate of approval.)

Sec. **115.68** Termination of approval.

Any road vehicle whose essential features are changed shall no longer be covered by the design type approval. Such a road vehicle may be made available to a Certifying Authority for inspection and individual approval in accordance with subpart E of this part. However, repairs in kind do not constitute a change of the essential features.