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FTSS – AIS ADDENDUM – CORRIGENDUM 1/2010

IMPORT CONTROL SYSTEM - SECURITY AND SAFETY ASPECTS

(ICS)

DG TAXUD - AUTOMATED IMPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AIS ADDENDUM	
SECTION II B : BUSINESS PROCESS THREADS FOR CORE BUSINESS	

AUTOMATED IMPORT SYSTEM ADDENDUM

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ANNEX 1

**SECTION II B : BUSINESS PROCESS THREADS FOR CORE
BUSINESS**

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1. INTRODUCTION AND OVERVIEWS

For goods entering the customs territory of the Community import formalities are to be carried out. Where the legislation does not provide for a waiver, these formalities shall be carried out using computer techniques. The functional system specifications specify the business actors and business processes and provide the ground for developing the IT systems supporting these formalities.

1.1 AIS – THE LONG TERM OBJECTIVE FOR THE MCC

Based on the Modernised Customs Code (MCC) the long term objective is to create functional specifications for the IT systems supporting import formalities. The term 'Automated Import System (AIS)' is used to refer to import formality processes. AIS will consist of following import formality modules:

Module	Content
AIS-Module 1:	<p>The Entry summary declaration (ENS) - as defined by Art. 1 (17) of Regulation (EEC) 2454/93¹ and referred to in Article 36a of the Customs Code - to be lodged for goods brought into the customs territory of the Community (except where otherwise provided in the regulation).</p> <p>AIS-Module 1 also covers the diversion process as defined by Art. 183d of Regulation (EEC) 2454/93¹.</p> <p>The diversion request is to be sent to the Customs Office of first Entry declared in the ENS in case the active means of transport is diverted to a Customs Office of First Entry located in a Member State that was not declared in the ENS.</p>
AIS-Module 2:	<p>The arrival notification for the active means of transport (Art. 184g of Regulation (EEC) 2454/93¹) to be lodged with the (Actual) Customs Office of first Entry.</p> <p>This process is to inform the Customs Office of the arrival of the means of transport and, if required, to enable it to initiate the necessary security and safety controls.</p>
AIS-Module 3:	The arrival (presentation) of the goods (Art. 40 Customs Code).
AIS-Module 4:	The Customs declaration lodged for the customs procedure (Art. 59-71 Customs Code). With the MCC temporary storage (currently Art. 50 Customs Code) will become a customs procedure, therefore it will be part of Module 4 to be developed for the MCC.

¹ As amended by Commission Regulation (EC) 312/2009

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1.2 ICS PHASE 1 – THE SHORT TERM OBJECTIVE

The **short term objective** is to provide the functional specifications for the Import Control System - as referred to 'ICS phase 1' - dealing with the security and safety aspects of AIS and consisting of the following AIS-Modules:

Module	Content
AIS-Module 1:	As previously described (ENS and diversion). Based on Art. 1 of Commission Regulation (EC) No 273/2009, the lodging of the ENS is not mandatory for economic operators from 1 July 2009 until 31 December 2010, but can be lodged on a voluntary basis. As of 1 January 2011 the lodging of the ENS becomes mandatory.
AIS-Module 2	As previously described. To be specified and implemented by the Member States (no functional specifications provided for ICS phase 1).
Ex AIS-Module 2 and 3:	To cover the security and safety aspects of AIS the following functionality of AIS-Module 2 and 3 needs to be implemented in ICS phase 1. Exchange of positive risk analysis results upon request of a Customs Office in another Member State: This functionality aims at enabling a Customs Office to request (IE302/IE303 mechanism) the security and safety risk analysis results from the Customs Office of first Entry in a situation where it has neither received these risk analysis results beforehand via IE319 (if a declared Office of subsequent Entry is concerned) nor received a diversion notification IE303 (if a diversion of the actual means of transport occurred). The specific situations where such requests may be used are documented in AIS Module 2 and AIS Module 3.

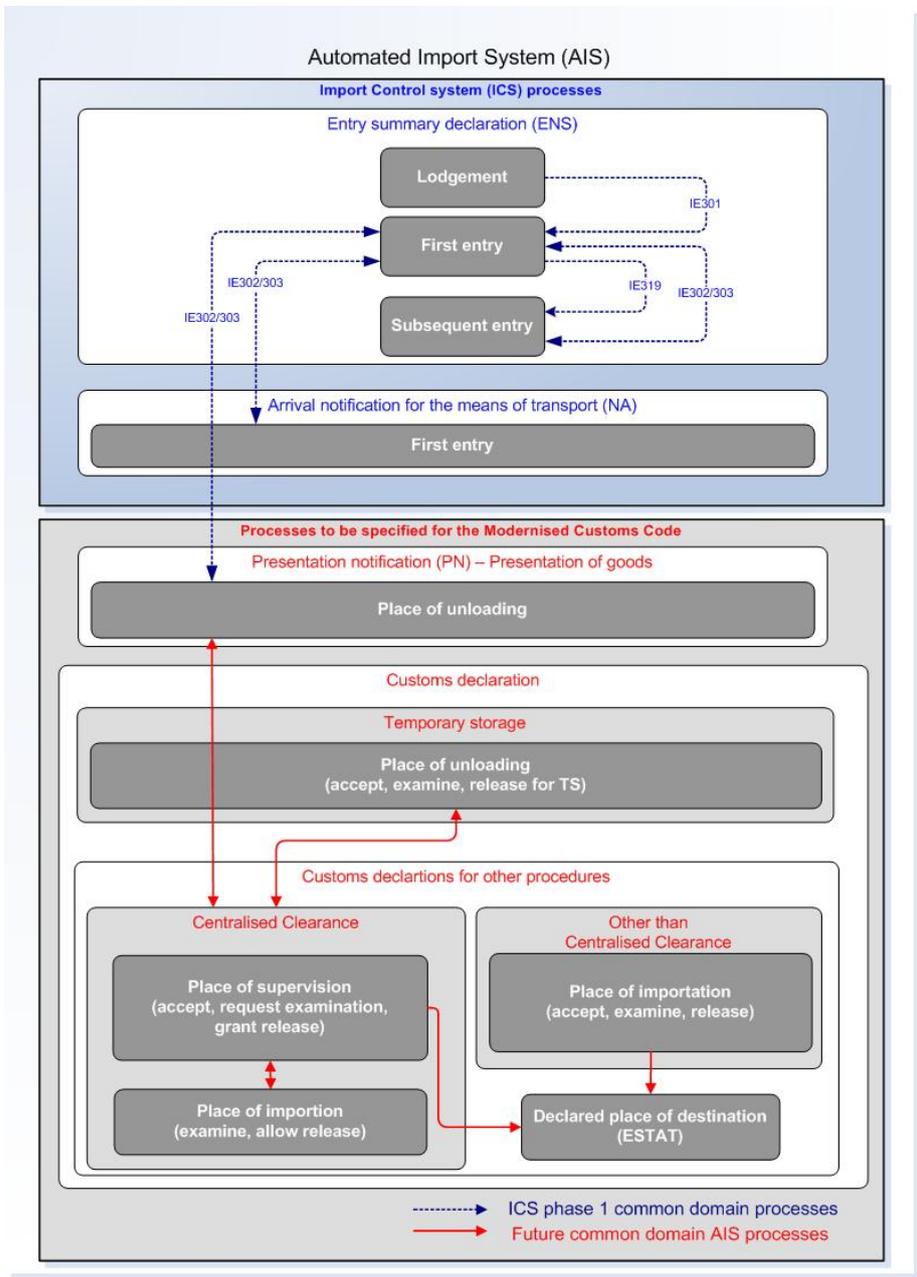


Figure : 1 - The Automated Import System (AIS)

Figure 1 shows the core business processes to be supported by AIS (full picture) and the scope of ICS phase 1 (blue processes).

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1.3 PURPOSE AND CONTENT OF THIS DOCUMENT

This Addendum provides the Functional System Specifications (FSS) for the Import Control System (ICS phase 1) and is the basis for the development of the technical specifications which consist mainly of the DDNIA – the 'Design Document for National Import Application'.

1.4 WHAT IS NOT SPECIFIED IN THIS DOCUMENT?

Following issues are not dealt with in this document:

- It was decided that the notification the arrival for the (active) means of transport (Module 2) was – for ICS phase 1 - left for the MS to specify and implement, even if this process is required for the security and safety part of AIS. This document does therefore not specify this process in detail;
- The handling of the normal, simplified and supplementary customs declarations is not within the scope of ICS phase 1 . Therefore neither simplified procedures (local clearance), nor simplified or incomplete declarations (as specified in table 7 of Annex 30A of the Customs Code Implementing provisions - CCIP) are specified here; AIS-Module 4 will deal with these issues in the context of the MCC.
- Cases according to Art. 36c (1) of the Customs Code² where the Customs Office of Entry has waived the lodging of a ENS in respect of goods for which, before expiry of the time limit referred to in Article 36a(3) or (4), a customs declaration is lodged. This process is left for the Member State to specify and implement;
- Cases according to Art. 183a of the CCIP where the data for security and safety risk analysis is embedded in an electronic transit declaration. These cases are documented in the specifications for the New Computerised Transit System (NCTS);
- Cases according to Art. 36 a (2), second sub-paragraph of the Customs Code² where the ENS data is held in the economic operator's computer system. Again this process is left for the Member States to specify and implement. It is to be noted that the ENS/risk analysis results must be sent to customs in following situations:
 - o The Customs Office of First Entry where the ENS data must be available for performing the security and safety risk analysis is located in another Member State; (i.e. when the Office of Lodgement functionality is used and IE301 is to be sent to the Office of first Entry);
 - o The Customs Office of first Entry has identified security or safety risk and has therefore the obligation to push ENS data/positive risk analysis results to an

² As amended by Regulation 648/2005

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Office of subsequent Entry in another Member State (IE319 is to be sent to the Office of subsequent Entry);

- A diversion process is initiated and the declared Customs Office of First Entry is required to notify the diversion to the actual Customs Office of first Entry (IE303 to notify the diversion is to be sent to the actual Office of First Entry);
 - A Customs Office located in another Member State requests the Customs Office of First Entry to send the security and safety risk analysis results (the IE302/IE303 information is to be exchanged);
- Cases according to Art. 36b (2), second sub-paragraph of the Customs Code² where Customs authorities - in exceptional circumstances - accept paper-based ENS. The relevant procedure is described in the CCIP³;
 - Other fallback situations where the computerised system of the economic operator or of customs is not functioning. The rules of the business continuity plan available to customs apply.

³ As amended by Commission Regulation (EC) No 414/2009

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2. THE IMPORT CONTROL SYSTEM (ICS)

2.1 LEGAL PROVISIONS

The legal provisions for ICS phase 1 are the following:

Amendments of the Customs Code:

- Regulation (EC) No 648/2005 (the so-called "security amendment") amending the Community Customs Code);

Amendments of the Customs Code implementing provisions:

- Commission Regulation (EC) No 1875/2006 of 18 December 2006, including – amongst other provisions - the provisions of Annex 30A specifying the data elements for the ENS;
- Commission Regulation (EC) No 273/2009 of 2 April 2009, including the transitional rules for the period of 01.07.2009 – 01.01.2011;
- Commission Regulation (EC) No 312/2009 of 16 April 2009, including – amongst other provisions - the provisions for the diversion request (Art. 183g) and for the arrival notification for the (active) means of transport (Art. 183d);
- Commission Regulation (EC) No 414/2006 of 30 April 2009, including the forms to be used for cases where a paper based ENS is provided;

The presentation of goods (AIS-Module 3) is indeed not part of the security and safety provisions but required on the basis of Art. 40 of the Customs Code.

2.2 SCOPE

For ICS phase 1 the processes/functionalities described under heading 1.2 have to be put in place.

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2.3 BUSINESS PROCESSES

This document presents the following business processes:

AIS-Module 1	Process CO1A	The processing of the ENS at the Office of Lodgement (optional for the Member States to offer to trade and applicable only in situations where the Office of Lodgement and the Office of first Entry allow the use of this functionality).
	Process CO1B	The processing of the ENS at the declared Office of First Entry.
	Process CO1C	The processing of the ENS at the Office(s) of subsequent Entry (air and maritime transportation).
	Process CO1D	The processing of the diversion request lodged with the Office of first Entry declared in the ENS.
AIS-Module 2	Process C02	The processing of the arrival notification for the (active) means of transport to be lodged with the (Actual) Office of first Entry. This process is to be specified and implemented by the Member States

It needs to be considered that the ICS phase 1 was initially planned to cover not only the ENS and diversion handling (Module 1), but also the arrival (presentation) of the goods (Module 3). The present document therefore also contains the arrival (presentation) processes C03A, C03B and C03C. However, the decision was taken – for ICS-phase 1 - to leave these processes for the Member States to specify and implement.

C03A, C03B and C03C remain in this document since they specify also the functionality required for ICS phase 1 for exchanging positive security and safety risk analysis results upon request of the Customs Office where the goods are presented to customs. The rest of the described process is for information only.

AIS-Module 3	Process CO3A	The processing of the arrival (presentation) of goods at the Actual Office of first Entry.
	Process CO3B	The processing of the arrival (presentation) of goods at the Office of subsequent Entry.
	Process CO3C	The processing of the release for Entry (release for a customs approved treatment or use) at the Actual Office of (first or subsequent) Entry. The current process includes the 'conversion' (the change of the legal status) of the ENS into the "summary declaration" (Customs Code Art. 40) being the basis for the subsequent customs procedure(s). Technically speaking, the 'conversion' can be achieved by updating the import operation state of the corresponding data set.

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3. AIS – MODULE 1

3.1 INTRODUCTION

This module specifies the processes for the handling of the **Entry summary declaration (ENS)** and for the **Diversion Request**.

3.2 MODULE 1 BUSINESS INTERFACES

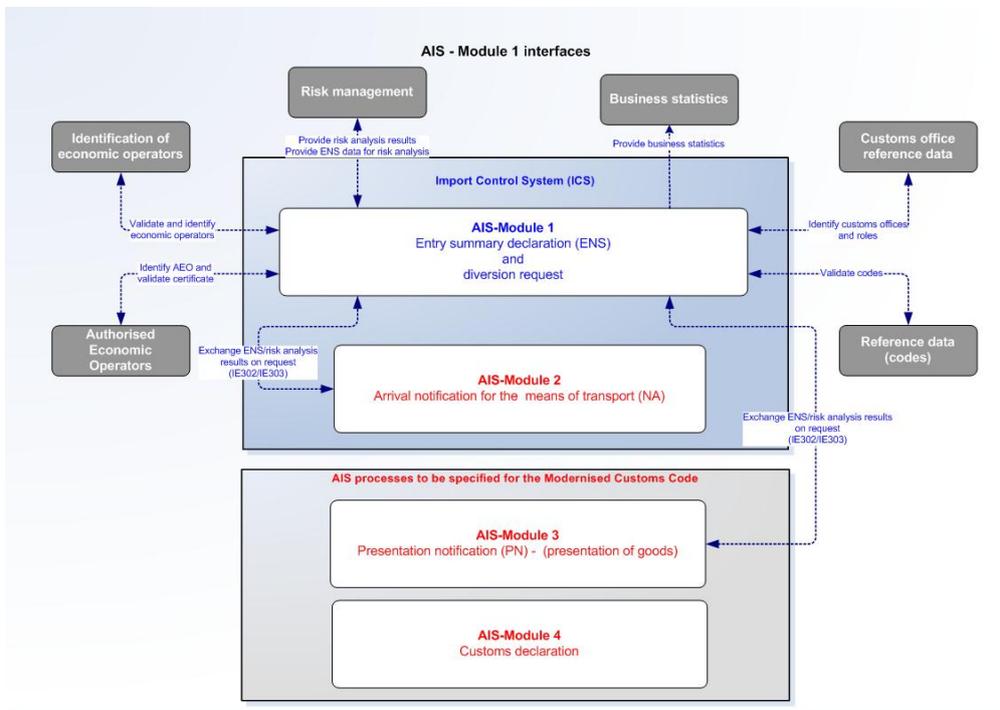


Figure : 2 AIS – Module 1 business interfaces

ICS phase 1 processes interact with other AIS processes (AIS internal business interfaces) and with other than AIS processes (AIS external business interfaces). The AIS external business interfaces are the following:

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3.2.1 RISK MANAGEMENT

3.2.1.1 DEFINITIONS

- In the context of this document the term 'common security and safety risk analysis' refers to the risk analysis covered by regulation listed in 2.1.
- National risk analysis is to be understood as 'other than common security and safety risk analysis' (e.g. fiscal or additional security and safety risk analysis based on national provisions). The latter is national matter.

3.2.1.2 INTERFACE WITH THE RISK ANALYSIS

- ICS interfaces with the risk analysis systems of the Member States and ensures that risks analysis is initiated (when required) once the received ENS data is validated and accepted by the Customs' ICS.
- The national risk analysis systems/experts of the Member States carry out the required common risk analysis for security and safety - and where appropriate national risk analysis - and send back the risk analysis results to ICS.
- Based on the last digit of the risk analysis result code (see Appendix A3 - code list) which is reported back to ICS, ICS initiates the appropriate further processing of the ENS.

Following options are available:

Last digit of the risk analysis code:	Meaning/Action
Not present or 0	No risk identified
A	No load decision according to Art. 184d (2), 2 nd subparagraph of the CCIP ⁴
B	Immediate intervention at the Office of First Entry according to Art. 184e, 2 nd paragraph of the CCIP ⁴
C	Pass on the results of the risk analysis to the subsequent port or airport according to Art. 184e, 2 nd paragraph of the CCIP ⁴
Z	Cases where the common security and safety analysis could not be carried out (e.g. in case of unavailability).

- ICS forwards the positive common security and safety risk analysis results related to a specific transaction (i.e. to an ENS) to the relevant Customs Offices involved in the process.

3.2.2 ECONOMIC OPERATOR REGISTRATION AND IDENTIFICATION (EORI)

- Where the Customs Code implementing provision requires or allows Traders to be EORI registered, a unique Trader Identification number (TIN) in the form of an EORI number is allocated to that Trader by the relevant Member State.

⁴ As amended by Commission Regulation (EC) 1875/2006

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- Where EORI registered Traders are to be declared in an ICS message (e.g. in the ENS) the EORI number shall be declared.
- When validating a received ICS message, ICS checks the provided EORI number.
- If the declared EORI number is not valid or if it is not declared where it is required, ICS rejects the ICS message.

3.2.3 AUTHORISED ECONOMIC OPERATOR (AEO)

- AEO's are registered by Customs and granted an AEO certificate.
- When validating a received ICS message (e.g. an ENS) for which the reduced AEO dataset is declared (specific circumstance indicator 'E' is declared), ICS queries the registered AEO data to check whether the corresponding Traders are registered and whether they have a valid AEO certificate of the relevant type (AEOS or AEOF).
- When an ENS is lodged by an AEO who has the appropriate AEO certificate, ICS may, before the arrival of the goods into the customs territory of the Community, notify him, when, as a result of the security and safety risk analysis, the consignment has been selected for further physical control. The decision is up to Customs.

3.2.4 CUSTOMS OFFICE REFERENCE DATA

- Where ICS messages require Customs Offices to be identified, the Customs Office numbers published in the Community's Customs Office List (COL) shall be declared.
- The declared Customs Office(s) must be competent for the declared mode of transport and for the processing of the received ICS message.
- Customs Offices declared in ICS messages are validated by Customs against the COL.
- The COL-specific processes are not specified in this document.

3.2.5 REFERENCE DATA – BUSINESS CODES

- Where ICS messages contain business codes, their validity is checked against reference data.
- The business codes used in ICS are specified in Appendix A3.
- The management of the reference data/codes is not specified in this document.

3.2.6 BUSINESS STATISTICS

- ICS will provide business statistic data to customs internal clients. Traders are not affected by this process. The business statistic processes are not specified in this document.

3.3 STRUCTURE OF THE MOVEMENT REFERENCE NUMBER (MRN)

In the context of ICS phase 1, the Movement Reference Number is a unique identifier for an ENS and is allocated by the Member State which (after validation) accepts/registers the received ENS from the Person lodging it.

- In case the ENS is lodged with an Office of Lodgement, the MRN is allocated by the Member State of the Office of Lodgement.

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- In case the ENS is lodged with an Office of first Entry, the MRN is allocated by the Member State of the Office of first Entry.

The MRN contains 18 digits and is composed of following elements:

Field	Content	Field type	Examples
1	Last two digits of year of formal acceptance of import movement (YY)	Numeric 2	07
2	Identifier of the country from which the movement originates.	Alphabetic 2 (ISO alpha 2 country code)	IT
3	Unique identifier for import movement per year and country	Alphanumeric 13	9876AB8890123
4	Check digit	Alphanumeric 1	5

- Field 3 has to be filled in with an identifier for the import transaction. The way that field is used is under the responsibility of national administrations but each import transaction handled during one year within the given country must have a unique number. National administrations that want to have the office reference number of the competent authorities included in the MRN, could use up to the first 6 characters to insert the national number of the office.
- Field 4 has to be filled with a value that is a check digit for the whole MRN. This field allows for detection of an error when capturing the whole MRN. The specifications for that check digit will be provided by the technical specifications.

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3.4 ENTRY SUMMARY DECLARATION - BUSINESS PROCESSES

3.4.1 CO1A (SUM) – PROCESS ENTRY SUMMARY DECLARATION AT OFFICE OF LODGEMENT

This process is performed if the person responsible for lodging the pre-arrival security and safety data opts for lodging the data in the form of an ENS with another Office than the Office of first Entry (according to Art. 36a (2) of the Customs²).

This process requires the Member State where the Office of Lodgement is located and the Member State where the Office of first Entry is located to accept the use of the Office of Lodgement functionality.

If the ENS is sent directly to the Office of first Entry, then the process CO1B is performed instead.

AIS immediately forwards the ENS to the declared Office of first Entry for the security and safety risk analysis.

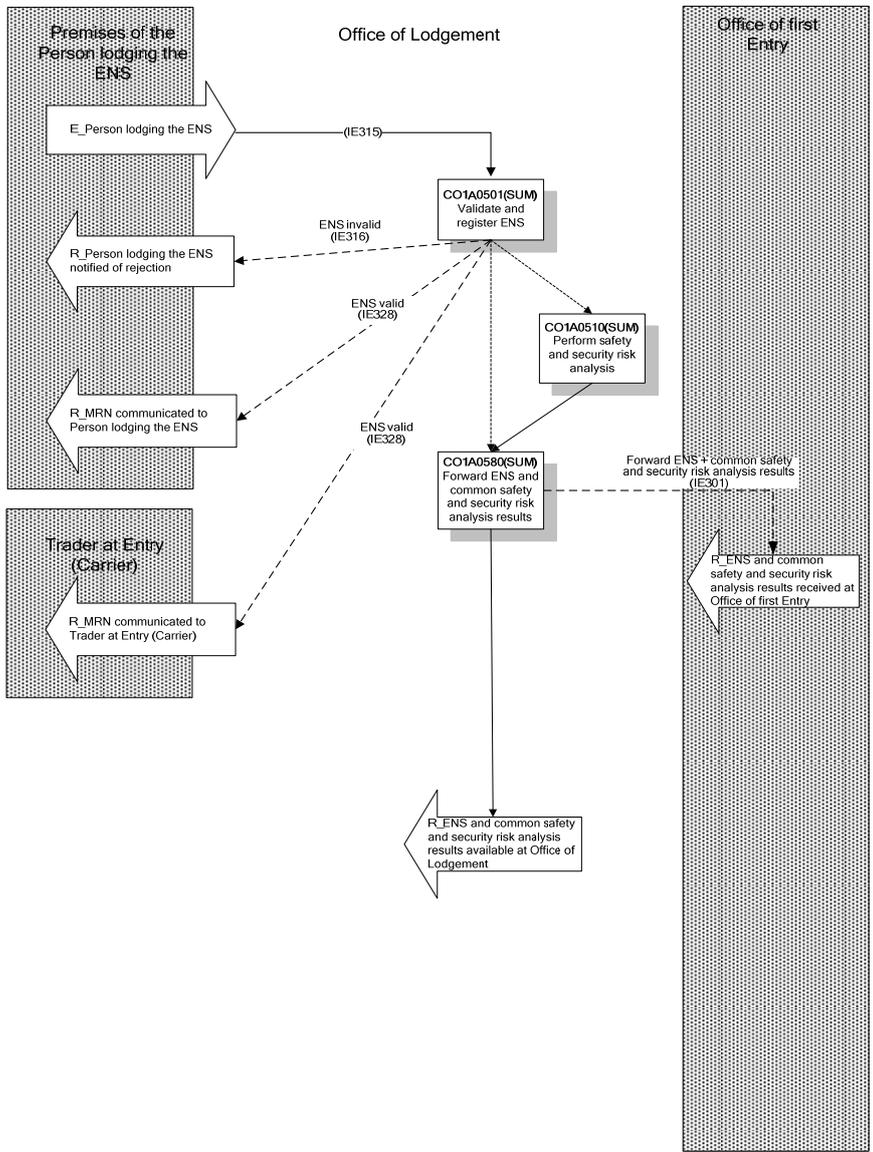


Figure : 3 CO1A (SUM) – Process ENS at Office of Lodgement

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Major Events

E_Person lodging the ENS
Organisation : Person lodging the ENS
Location : Premises of the Person lodging the ENS
A Person lodges the ENS.

Processes

Validate and register ENS	Process: CO1A0501(SUM)
Organisation : National Customs Administration	
Location : Office of Lodgement	
Constraint : The ENS can be lodged with another Office than the Office of first Entry only if Customs at the Office of Lodgement and at the Office of first Entry allow so. The information whether the relevant Customs Offices allow it, is made available in the Community's Customs Office List (COL). The ENS shall be lodged within the time limits stipulated in the regulation.	
Description : The ENS data is sent (IE315) by electronic means (EDI). The local reference number (IE315.IMPORT OPERATION.LRN) is required to allow the Person lodging the ENS and the Office of Lodgement to uniquely identify the ENS in the AIS. AIS checks that the provided LRN in conjunction with the Person lodging the ENS is unique. The validation of the ENS must be performed according to the rules and conditions set out in Appendix B2 (message specifications). The validation process can be a completely automated process. <ul style="list-style-type: none"> - The specific circumstance indicator in the ENS (IE315.IMPORT OPERATION.Specific circumstance indicator) is used to identify the dataset according to Annex 30A of the CCIP. If no specific circumstance indicator is provided, then the (full) default dataset is required. - Economic Operator Registration and Identification (EORI): The messages contain the data element 'TIN' (Trader identification number). If the Trader has a valid EORI number, then it shall be declared as the 'TIN' in the ENS. Others than EORI numbers shall not be used. - Identification of Authorised Economic Operators (AEO): <ul style="list-style-type: none"> • When EORI will be implemented: Based on the EORI number, AIS checks - whether or not - the owner of the provided number is an AEO and checks the type of the AEO certificate; • If the 'specific circumstance indicator' value 'E' (reduced dataset for AEO) is declared, the 'Person lodging the ENS' and all 'Consignees' declared in the ENS must have a valid AEO certificate of type 'AEOF' (Customs simplifications/security and safety) and/or 'AEOS'(security and safety). - If the Person lodging the ENS wants to authorise another party to amend its ENS at the Office of first Entry, then it shall declare an EORI registered Representative (IE315.TRADER Representative) acting in the name of and on behalf of the Person lodging the ENS. The Representative's EORI number shall be declared in the ENS and he shall be connected to the AIS of the Member State where the Office of first Entry is located. <p>The Trader at Entry (IE315.TRADER at Entry (Carrier) shall be declared by the Person lodging the ENS. If that Trader at Entry (Carrier) is EORI registered, then its EORI number shall be declared. For ENS related to maritime and air transportation the Trader at Entry (Carrier) shall, at the very least, be connected to the AIS of the Member State where the Office of first Entry is located and may elect also to be connected to the AIS of the Member State where the Office of Lodgement is located.</p>	

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If the ENS is not valid, AIS rejects it and notifies (IE316) the Person lodging the ENS that it is invalid, giving the reason for the rejection (see dashed line labelled 'Declaration invalid').

If the ENS is valid, the Office of Lodgement registers it, a Movement Reference Number (MRN) is automatically generated and the 'declaration submission date and time' are stored in AIS. The allocated MRN is communicated (IE328) to the Person lodging the ENS.

The MRN is also communicated (IE328) to the Trader at Entry (Carrier) by the Office of Lodgement if all of the following conditions are met:

- he is declared in the ENS and has a valid EORI number;
- he is different from the Person lodging the ENS;
- he is connected to the AIS of the Member State where the Office of Lodgement is located.

Final situation :

If the ENS is not valid:

- it is rejected;
- the Person lodging the ENS is notified (IE316) of the rejection.

If the ENS is valid:

- it is registered at the Office of Lodgement and a MRN is generated and allocated to the ENS;
- the Person lodging the ENS and the Trader at Entry (Carrier) are notified (IE328) of the registration;
- the IMPORT OPERATION STATE at the Office of Lodgement is set to 'ENS registered'.

Perform common security and safety risk analysis	Process: CO1A0510(SUM)
Organisation : National Customs Administration	
Location : Office of Lodgement	
Constraint : This process is optional for the Office of Lodgement. If it is performed, then it shall not delay the forwarding of the ENS data to the declared Office of first Entry which is indeed competent for the common security and safety risk analysis. The process may be used especially in cases where the Customs Office of Lodgement and the Office of First Entry are different but located in the same Member State.	
Description :	
<p>If the Office of Lodgement performs this process, then full common security and safety risk analysis shall be performed for all the goods of the ENS, including the goods destined for Offices of subsequent Entry (if any) and for goods with destinations outside of the customs territory of the Community (if any).</p> <p>The common security and safety risk analysis shall be initiated by AIS and carried out by the national risk application according to the rules set out by the risk management framework. The common risk analysis results shall be recorded in AIS in the format used for communication with other Offices/Member States (Appendix B2, data group 'RISK ANALYSIS RESULTS').</p> <p>If the risk analysis results relate to (a) specific goods item(s) of an ENS, then the concerned goods item(s) shall be identified ('RISK ANALYSIS RESULTS.Item Number (Box 32) involved' is present). In any other case, the 'RISK ANALYSIS.Item Number (Box 32) involved' shall not be used.</p> <p>Based on the risk analysis, following cases are to be distinguished:</p> <ul style="list-style-type: none"> - Last digit of the risk analysis result code = 'A': The Office of first Entry shall send a no load notification (IE351) to the appropriate Traders in order to prevent goods to be loaded at the port of loading. The code can be used only in cases where the regulation provides for a no load notification; - Last digit of the risk analysis result code = 'B': Common risk for which an immediate action is required at the Office of first Entry is identified; - Last digit of the risk analysis result code = 'C': Common risk to be communicated (by the Office of first Entry) to the Office(s) of subsequent Entry in other EU Member States is identified; - Last digit of the risk analysis result code = 'N' (national risk analysis result) 	

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<ul style="list-style-type: none"> - Last digit of risk analysis result code = '0' (zero) or not present: No risk identified. - The security and safety risk analysis was intended to be carried out, but it could not be carried out due to unavailability. In this case the last digit of risk analysis result code can be set to 'Z'. This case is optional for MS since the Office of Lodgement has no obligation to carry out security and safety risk analysis. <p>The IMPORT OPERATION STATE is set to 'ENS-common risk analysis registered'.</p> <p>Final situation :</p> <p>The results of the full common risk analysis performed by the Office of Lodgement are recorded in AIS with the ENS data and in the AIS-format used for communication (see messages, data group 'RISK ANALYSIS RESULTS').</p> <p>The IMPORT OPERATION STATE is set to 'ENS-common risk analysis registered'.</p>

Forward ENS and common security and safety risk analysis results	Process: CO1A0580(SUM)
Organisation : National Customs Administration	
Location : Office of Lodgement	
<p>Constraint :</p> <p>The Office of Lodgement shall forward the full ENS data and the common security and safety risk analysis results - if available – immediately after successful validation of the ENS and after the risk analysis – to the Office of first Entry.</p>	
<p>Description :</p> <p>The Office of Lodgement forwards (IE301) the full ENS data for all the goods declared in the ENS to the declared Office of first Entry.</p> <p>The security and safety risk analysis results are communicated if the last digit of 'Risk analysis code' is 'A', 'B', 'C' or 'Z'.</p> <p>If the Office of Lodgement has not performed any risk analysis, the data group 'RISK ANALYSIS' shall not be present.</p> <p>If the Office of Lodgement has performed risk analysis and if no risk is identified (last digit of risk analysis result code = '0' (zero)), then the data group 'RISK ANALYSIS' shall not be forwarded to the Office of first Entry.</p> <p>If the Office of Lodgement has communicated (IE328) the MRN to the Trader at Entry (Carrier) then this is notified (IE301.IMPORT OPERATION.MRN communicated = '1') to the Office of first Entry (in order to avoid that the Office of first Entry communicates it again, if the Trader at Entry (Carrier) is connected to the AIS there as well).</p> <p>The IMPORT OPERATION STATE is set to 'ENS forwarded to Office of first Entry'.</p> <p>Final situation :</p> <p>The ENS and the relevant common security and safety risk analysis results are sent to the Office of first Entry. The IMPORT OPERATION STATE is set to 'ENS forwarded to Office of first Entry'.</p>	

Major Results

R_ENS and common security and safety risk analysis results available at Office of Lodgement
Organisation : National Customs Administration
Location : Office of Lodgement
The ENS data and the common security and safety risk analysis results – if available - are available at the Office of Lodgement.

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R_MRN communicated to Person lodging the ENS
Organisation : National Customs Administration
Location : Premises of the Person lodging the ENS
The MRN is communicated to the Person lodging the ENS who will use it to prove that he has fulfilled the obligation to lodge an ENS in accordance with the provisions of the regulation.

R_MRN communicated to Trader at Entry
Organisation : National Customs Administration
Location : Premises of the Trader at Entry
If the described conditions are met, the MRN is communicated to the Trader at Entry (Carrier).

R_ENS and common security and safety risk analysis results received at Office of first Entry
Organisation: National Customs Administration
Location: Office of first Entry
The ENS data and the results of the full common security and safety risk analysis – if available - are received at the Office of first Entry.

Minor Result

R_Person lodging the ENS notified of rejection
Organisation : National Customs Administration
Location : Premises of the Person lodging the ENS
The Person lodging the ENS is notified of the fact that the ENS is rejected/not registered.

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3.4.2 CO1B (SUM) – PROCESS ENTRY SUMMARY DECLARATION AT OFFICE OF FIRST ENTRY

This process shall be performed in any case where there is a legal requirement for lodging pre-arrival data for the purpose of security and safety risk analysis and where it is lodged directly with the Office of first Entry in the form of an ENS.

There are two possible situations for the Office of first Entry:

- **The ENS was lodged with another Office (Office of Lodgement)**
In this case the ENS and – if available – the relevant common security and safety risk analysis results (risk analysis results for which the last digit is 'A', 'B', 'C' or 'Z') are received (IE301) from the Office of Lodgement.
- **The ENS is sent by the Person lodging the ENS directly to the Office of first Entry**

The overall assumptions for the Office of first Entry are:

- It shall carry out common security and safety risk analysis.
- Where deep sea containerised cargo is concerned and where possible, it shall inform the Person lodging the ENS and the Trader at Entry (carrier) if the goods shall not be loaded (by sending the 'no load decision' IE351). In case a Representative acts in the name and on behalf of the Person lodging the ENS, the Representative shall be informed instead of the Person lodging the ENS.
- Where AEO's with certificates 'AEOF' or 'AEOS' are concerned and where possible, it may notify the Person lodging the ENS or his Representative – prior to the arrival of the goods - of another customs intervention/control.
- If one or more Office of subsequent Entry is declared in the ENS and if either relevant common security and safety risk is identified (risk analysis results for which the last digit is 'A', 'B' or 'C') or if the Office of first Entry could not perform the security and safety risk analysis (risk analysis result for which the last digit is 'Z'), it shall notify (by means of IE319) all declared Offices of subsequent Entry of that risk.

For ICS phase 1 (IE319.IMPORT OPERATION.Information type '1') there are two cases:

1. Risk is identified on header-level of the ENS or risk is identified for all goods items declared in an ENS: in this case the full ENS and the relevant common security and safety risk analysis results are to be sent in IE319.
2. Risk is identified for one or more declared goods items, but not for all declared goods items of an ENS: in this case the ENS header data, the ENS goods items for which relevant common risk is identified and the risk analysis results are to be sent in IE319.

The option for the Office of First Entry to always send the full ENS to all declared Offices of subsequent Entry, even if no risk of type 'A', 'B' or 'C' is identified (IE319.IMPORT OPERATION.Information type '2'), **can not be used during ICS phase 1**. The decision whether this option will be implemented will be made in the context of the MCC.

- Where, after a period of 200 days from the date of lodging an entry summary declaration, the arrival of the means of transport has not been notified to customs in accordance with

Article 184g of the CCIP or the goods have not been presented to customs in accordance with Article 186 of the CCIP, the entry summary declaration shall be deemed not to have been lodged. In these situations the ENS data and the risk analysis results can be deleted.

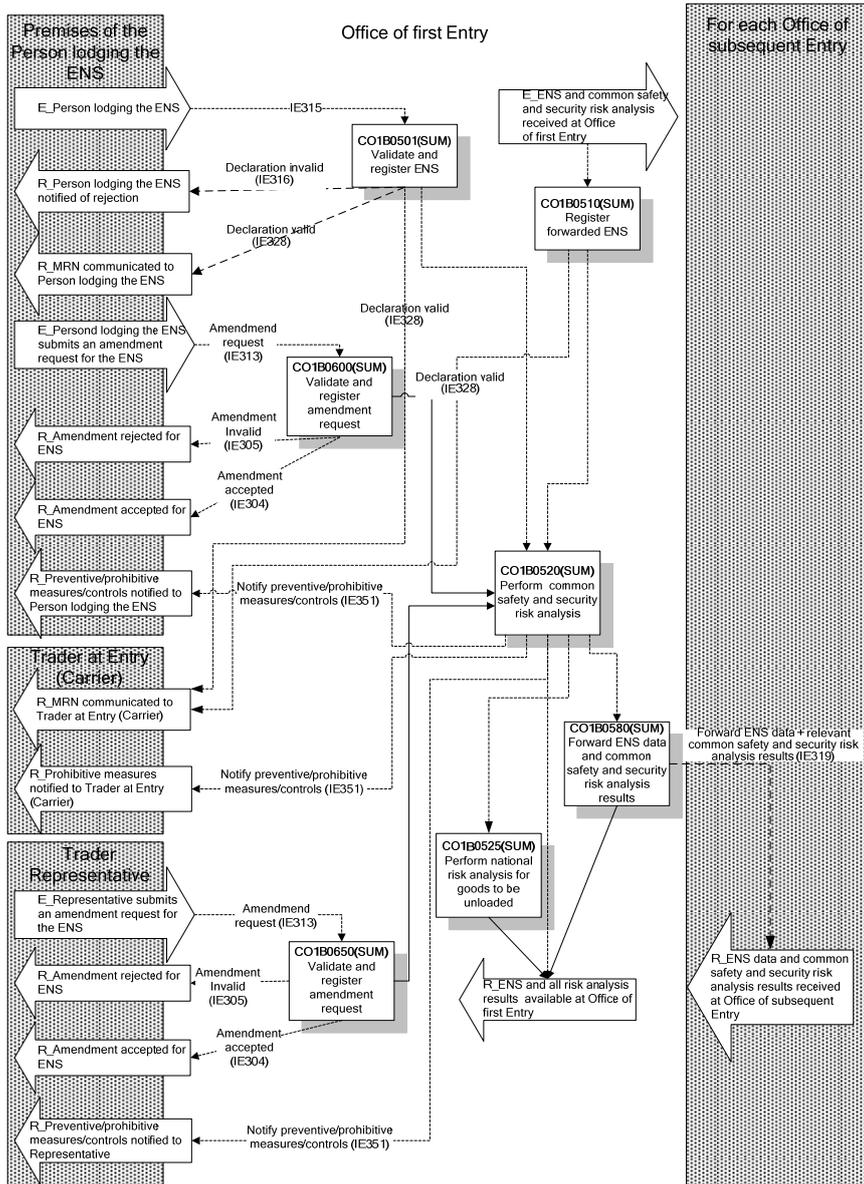


Figure : 4 CO1B (SUM) – Process ENS at Office of first Entry

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Major Event

E_Person lodging the ENS
Organisation : Person lodging the ENS
Location : Premises of the Person lodging the ENS
A Person lodges the ENS directly with the Office of first Entry.

E_ENS and common security and safety risk analysis results received at Office of first Entry
Organisation : National Customs Administration
Location : Office of first Entry
The ENS and – if available - the relevant common security and safety risk analysis results from the Office of Lodgement are received at the declared Office of first Entry.

Minor Events

E_Person lodging the ENS submits an amendment request for the ENS
Organisation : Person lodging the ENS
Location : Premises of the Person lodging the ENS
The Person lodging the ENS submits an amendment request for his ENS.

E_Representative submits an amendment request for the ENS
Organisation : Representative
Location : Premises of the Representative
The Representative submits an amendment request for the ENS.

Processes

Validate and register ENS	Process: CO1B0501(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
<p>Constraint : If the ENS is sent directly to the Office of first Entry, then the sending Person lodging the ENS and the Trader Representative (if declared) must be connected to the AIS of this Member State. For ENS related to maritime and air transportation the Trader at Entry (Carrier) shall be connected to the AIS of this Member State. The ENS shall be lodged within the time limits stipulated in the regulation.</p>	
<p>Description : Same as C01A0501 but all relates to the Office of first Entry instead of the Office of Lodgement. If the ENS is valid, the MRN is automatically generated and the declaration submission date and time are stored in AIS. The allocated MRN is communicated (IE328) by the Office of first Entry to the Person lodging the ENS and –</p>	

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if all of the following conditions are met - to the Trader at Entry:

- he is declared in the ENS and has a valid EORI number;
- he is different from the Person lodging the ENS;
- he is connected to the AIS of the Member State where the Office of first Entry is located.

Final situation :
Same as C01A0501.

Register forwarded ENS	Process: CO1B0510(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
Constraint : If the ENS had been sent to an Office of Lodgement (another Office than the Office of first Entry), then the ENS and – if available - the relevant common security and safety risk analysis results are forwarded to the Office of first Entry.	
<p>Description :</p> <p>The forwarded ENS (IE301) and – if available - the relevant common security and safety risk analysis results can be validated according to the rules and conditions set out in Appendix B2 (message specifications) and must be registered in the AIS of the Office of first Entry. The IMPORT OPERATION STATE at the Office of first Entry is set to 'ENS registered'.</p> <p>The MRN that was allocated by the Office of Lodgement is communicated (IE328) to the Trader at Entry if all of the following conditions are met:</p> <ul style="list-style-type: none"> - he is declared in the ENS and has a valid EORI number; - he is different from the Person lodging the ENS; - the Office of Lodgement has not communicated the MRN to the Trader at Entry (Carrier) yet (IE301.IMPORT OPERATION.MRN communicated = '0'); - he is connected to the AIS of the MS where the Office of first Entry is located. <p>Final situation :</p> <p>The forwarded ENS and the relevant common security and safety risk analysis results are registered in the AIS. The Trader at Entry (Carrier) is notified (IE328) of the MRN. The IMPORT OPERATION STATE at the Office of first Entry is set to 'ENS registered'.</p>	

Perform common security and safety risk analysis	Process: CO1B0520(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
<p>Constraint : The process is mandatory for the Office of first Entry.</p> <p>Risk analysis shall be performed and preventive/prohibitive measures shall be notified to the appropriate actors within the prescribed time limits (see regulation). The notification shall be made electronically by sending the IE351 message. However, if the Representative or the Trader at Entry is not connected to the AIS of the Office of first Entry, then the notification shall be sent by alternative means of communication.</p> <p>A no load decision shall be taken and communicated (IE351) to the appropriate Traders within the time limits defined for that purpose in the regulation.</p>	
<p>Description :</p> <p>Full common security and safety risk analysis shall be initiated by AIS and carried out by the national risk analysis application for all the goods of an ENS, including the goods destined for Offices of subsequent Entry (if any) and for goods with destinations outside of the customs territory of the Community (if any).</p>	

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Common security and safety risk analysis results communicated by the Office of Lodgement (if available) shall either be accepted or taken into consideration when carrying out risk analysis at the Office of first Entry. However, the competent services of the Customs should be given the possibility to amend/overrule the security and safety risk analysis results provided by the Office of Lodgement, if required.

The common security and safety risk analysis shall be carried out according to the rules set out by the risk management framework and the results shall be recorded in AIS in the format used for communication with other Offices/Member States (Appendix B2, data group 'RISK ANALYSIS RESULTS').

If the common risk analysis results relate to a specific goods item of an ENS, then the item shall be identified (RISK ANALYSIS RESULTS.Item Number (Box 32) involved' is present). In any other case, the 'RISK ANALYSIS.Item Number (Box 32) involved' shall not be used.

Where risk is identified, the competent services of the Customs shall be alerted prior to the sending out of the advanced intervention notification (IE351) and prior to the forwarding of the data to the Offices of subsequent Entry (if any).

Based on the risk analysis, following cases are to be distinguished:

- Last digit of the risk analysis result code = 'A': The Office of first Entry shall send a no load notification (IE351) to the appropriate Traders in order to prevent goods to be loaded at the port of loading. The code can be used only in cases where the regulation provides for a no load notification;
- Last digit of the risk analysis result code = 'B': Common risk for which an immediate action is required at the Office of first Entry is identified;
- Last digit of the risk analysis result code = 'C': Common risk to be communicated to the Office(s) of subsequent Entry in other EU Member States is identified;
- Last digit of the risk analysis result code = 'N' (national risk analysis result)
- Last digit of risk analysis result code = '0' (zero): No risk identified.
- The security and safety risk analysis was intended to be carried out, but it could not be carried out due to unavailability. In this case the last digit of risk analysis result code shall be set to 'Z'.

The IMPORT OPERATION STATE is set to 'ENS-common risk analysis registered'.

If risk analysis contain a risk analysis result code for which the last digit is 'A', then the **no load decision** shall be immediately notified (IE351) to the appropriate actors (i.e. for containerised goods to be loaded on deep sea vessels).

If the ENS had been lodged by the holder of an AEO Certificate of type 'AEOS' and/or 'AEOF' (Authorised Economic Operator with simplifications in the field of security and safety) and if the common risk analysis results indicate that **preventive** measures/controls shall be taken at arrival at Entry (last digit of risk analysis result code = 'B', then the AEO **may** be notified (IE351) by the Office of first Entry prior to the arrival of the goods, if it does not jeopardise the control to be carried out.

Following actors are notified by means of the IE351:

If the ENS has been lodged at an Office of Lodgement :

- The Person lodging the ENS, if he is the sender of an accepted ENS or amendment request and connected to the AIS of the Member State of the Office of first Entry:
 - shall be notified about no load decisions and
 - may be notified about other customs interventions/controls , if he is an AEO of type 'AEOS' and/or 'AEOF'.
- The Representative, if he is declared in the ENS by the Person lodging the ENS or if he is the sender of an accepted amendment request, and if he has a valid EORI number, and if he is connected to the ICS of the Member State where the Office of first Entry is located:
 - shall be notified about no load decisions and
 - may be notified about other customs interventions/controls, if he is an AEO of type 'AEOS' and/or 'AEOF'.
- The Trader at Entry (Carrier) shall be notified about no load decisions, if all of the following conditions

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are met :

- he is declared in the ENS and has a valid EORI number;
- he is different from the Person lodging the ENS;
- he is connected to the AIS of the Member State where the Office of first Entry is located.

If the ENS has been lodged at the Office of first Entry:

- The Person lodging the ENS having sent an accepted ENS or amendment request:
 - shall be notified about no load decisions and
 - may be notified about other customs interventions/controls , if he is an AEO of type 'AEOS' and/or 'AEOF'.
- The Trader at Entry (Carrier): shall be notified about no load decisions, if all of the following conditions are met:
 - he is declared in the ENS and has a valid EORI number;
 - he is different from the Person lodging the ENS;
 - he is connected to the AIS of the Member State where the Office of first Entry is located.

If the Representative or the Trader at Entry can not be informed by sending an IE351, then alternative means of communication shall be used.

Final situation :
The full ENS and the common security and safety risk analysis results are available at the Office of first Entry and recorded in AIS.

The customs interventions/controls at Entry (if any) are notified to the appropriate actors prior to the arrival.
The IMPORT OPERATION STATE is set to 'ENS-common risk analysis registered'.

Perform national risk analysis for goods to be unloaded	Process: CO1B0525(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
Constraint : National risk analysis can be performed in advance (upon reception of the ENS), or upon presentation of goods. This is national matter, this process is therefore optional. The process is to be performed only for the goods to be unloaded at this Office.	
Description : National risk analysis is initiated by AIS and carried out by the national risk application on the basis of national regulations and requirements for all the goods which are declared to be unloaded at the Office of first Entry. The results are recorded in AIS. If risk based on national risk analysis is identified, the last digit of the risk analysis result code shall be 'N' (the other digits – if any- are to be defined at national level). National risk analysis results are not forwarded (IE319) to Offices of subsequent Entry.	
Final situation : National risk analysis results are recorded in AIS. The IMPORT OPERATION STATE is set to 'ENS-national risk analysis registered'.	

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Forward ENS data and common security and safety risk analysis results	Process: CO1B0580(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
<p>Constraint :</p> <p>This process shall be performed if both of following conditions are fulfilled:</p> <ul style="list-style-type: none"> - Office(s) of subsequent Entry are involved (the data group 'CUSTOMS OFFICE of subsequent Entry' is present) and - The Office of first Entry has recorded /confirmed risk analysis results for which the last digit of the risk analysis result code is 'A', 'B' or 'C' or the Office of first Entry could not perform the risk analysis (the last digit of the risk analysis result code is 'Z'). <p>The Office of first Entry shall forward the full ENS or the appropriate ENS data and the relevant security and safety risk analysis results immediately after registration of the ENS and risk analysis to all Office(s) of subsequent Entry. However, if one single ENS contains goods for more than one Office of subsequent Entry of the same MS, then only one IE319 shall be sent.</p>	
<p>Description :</p> <p>If the constraint is met, then the Office of first Entry forwards (IE319) the full ENS or the appropriate ENS data and the relevant common security and safety risk analysis results, to all declared Office(s) of subsequent Entry.</p> <p>For ICS phase 1 the two following cases are applicable:</p> <ul style="list-style-type: none"> • Case 1: Risk is identified on header-level of the ENS or risk is identified for all goods items declared in an ENS: in this case the full ENS and the common security and safety risk analysis results for which the last digit of the risk analysis result code is 'A', 'B', 'C' or 'Z' shall be sent in IE319. The 'IE319.IMPORT OPERATION.Information type' is set to '1'. This is the case if: <ul style="list-style-type: none"> • the data group 'RISK ANALYSIS' is present and; • the last digit of at least one of the risk analysis result codes is 'A', 'B', 'C' or 'Z'; • the 'Item number (box 32) involved' for at least one occurrence is not present or the data group 'RISK ANALYSIS' including the 'Item number (box 32) involved' is present for each of the goods items declared in the ENS. • Case 2: Risk is identified for one or more declared goods items, but not for all declared goods items of an ENS: in this case the ENS header data, the ENS goods items for which the last digit of the risk analysis result code is 'A', 'B', 'C' or 'Z' is identified and the risk analysis results are to be sent in IE319. The 'IE319.IMPORT OPERATION.Information type' is set to '1'. This is the case if: <ul style="list-style-type: none"> • the data group 'RISK ANALYSIS' is present and; • the risk analysis result code 'A', 'B', 'C' or 'Z' is present; • the 'Item number (box 32) involved' for all occurrences of the data group 'RISK ANALYSIS' is used; • the data group 'RISK ANALYSIS' including the 'Item number (box 32) involved' is present for some of the goods items declared in the ENS, but not for all of them. <p>It will be decided at a later stage whether following option will – which is not applicable – will be implemented in the context of the further AIS development: Option for the Office of First Entry to always send the full ENS to all declared Offices of subsequent Entry, even if no risk of type 'A', 'B', 'C' or 'Z' is identified (IE319.IMPORT OPERATION.Information type '2').</p> <p>Taking into account that an ENS can be amended at the Office of first Entry after the sending of the IE319 for</p>	

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the corrected previous ENS, AIS must be able to deal with multiple IE319 for the same MRN.

Final situation :

If subsequent Offices of Entry are involved (subsequent Offices of Entry declared) and if common risk is identified for the full ENS or at least for one goods item of it, then the full ENS or the appropriate ENS data and the common risk analysis results are forwarded to all Offices of subsequent Entry declared in the ENS. The ENS and the risk analysis results shall not be deleted at the Office of first Entry after forwarding the data.

Validate and register amendment request	Process: CO1B0600(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
Constraint : This process shall be performed only if an amendment request (IE313) is received from the Person lodging the ENS . The time limits for the lodging of ENS stipulated in the regulation do not apply for amendment requests. However, the Office of first Entry shall perform common risk analysis for security and safety for the amended ENS. The amendment request shall be sent to the Office of first Entry where the initial ENS had been sent. An amendment request may concern the creation, modification or deletion of data within a declaration. A cancellation of an entire declaration is not to be regarded as an amendment.	
Description : The amendment request (IE313) is submitted by electronic means (EDI). It shall contain the complete, amended ENS. The amendment request is received and validated according to the rules and conditions set out in Appendix B2 (message specifications) at the Office of first Entry and following tasks are performed: <ul style="list-style-type: none"> - AIS validates the amendment request. The validation process can be a completely automated process; - AIS checks that the amendment is made on an already registered declaration (MRN allocated already); - AIS checks that the Trader sending the amendment request is equal to the Person having lodged the ENS; - AIS checks that the ENS is sent to an Office of first Entry that is located in the same Member State as the initially declared Office of first Entry; - AIS checks if the Office of first Entry still can accept an amendment request. It can no longer accept an amendment request if one of the following conditions is met: <ul style="list-style-type: none"> • The Trader has been informed that the Office of first Entry intend to examine the goods; • The Customs Authorities have established that the particulars in question are incorrect; • The Office of first Entry has accepted the corresponding presentation of the goods to Customs and has allowed the removal of the goods. - Identification of Authorised Economic Operators (AEO): <ul style="list-style-type: none"> • When EORI will be implemented: the EORI number for the Person lodging the ENS is required in the ENS. Based on the EORI number, AIS checks - whether or not - the owner of the provided number is an AEO and checks the type of the AEO certificate. • If the 'specific circumstance indicator' value 'E' (reduced dataset for AEO) is declared, the 'Person lodging the ENS' and all 'Consignees' declared in the ENS must have a valid AEO certificate of type 'AEOF' and/or 'AEOS'. <p>If the amendment request is invalid, it is automatically rejected, the rejection reason is registered and communicated (IE305) to the sender of the amendment request. The process stops here (see dashed line labelled "Amendment invalid"). The original ENS (in case of multiple amendment requests, the latest accepted version of the declaration) remains valid.</p>	

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If the amendment request is valid, it is accepted and registered in AIS and the acceptance is communicated (IE304) to the sender of the amendment request and - if all of the following conditions are met - to the Trader at Entry (Carrier):

- he is declared in the ENS and has a valid EORI number;
- he is different from the sender of the amendment request;
- he is connected to the AIS of the Member State where the Office of first Entry is located;
- he has applied for this functionality in that Member State.

The process continues as described in CO1B0520(SUM) – Perform full risk analysis for security and safety.

Final situation :
The amendment request is rejected (the IMPORT OPERATION STATE does not change) or accepted (the IMPORT OPERATION STATE is set to 'ENS registered').

Validate and register amendment request	Process: CO1B0650(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
Constraint : This process is only used if an amendment request (IE313) is received from a Representative of the Person lodging the ENS. Same as C01B0600(SUM).	
Description : Same as C01B0600(SUM). The only difference is: <ul style="list-style-type: none"> - AIS checks that the Trader sending the amendment request is the Representative declared in the initial ENS (the Representative declared by the Person lodging the ENS). <p>If the 'specific circumstance indicator' value 'E' (reduced dataset for AEO) is declared, the 'Person lodging the ENS', the 'Representative' and all 'Consignees' declared in the ENS must have a valid AEO certificate of type 'AEOF' and/or AEOS.</p> <p>If the Representative sends an amendment request, then he acts in the name and of behalf of the Person lodging the ENS.</p> <p>Final situation : Same as C01B0600(SUM)</p>	

Major Results

R_MRN communicated to Person lodging the ENS
Organisation : National Customs Administration
Location : Premises of the Person lodging the ENS
The MRN is communicated to the Person lodging the ENS who will use it to complete other documents where necessary.

R_MRN communicated to Trader at Entry
Organisation : National Customs Administration
Location : Premises of the Trader at Entry
If the described conditions are met, the MRN is communicated to the Trader at Entry (Carrier).

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R_ENS and all risk analysis results available at Office of first Entry
Organisation: National Customs Administration
Location: Office of first Entry
The ENS data and the risk analysis results are available at the Office of first Entry.

R_ENS data and common security and safety risk analysis results received at Office(s) of subsequent Entry
Organisation: National Customs Administration
Location: Office(s) of subsequent Entry
The full ENS or appropriate ENS data and the common security and safety risk analysis results provided by the Office of first Entry for movements for which relevant risk has been identified are received at all the Office(s) of subsequent Entry.

Minor Results

R_Amendment rejected for ENS
Organisation : National Customs Administration
Location : Premises of the sender of the amendment request
The amendment is rejected and communicated to the sender of the amendment request.

R_Amendment accepted for ENS
Organisation : National Customs Administration
Location : Premises of the sender of the amendment request
The amendment is accepted and communicated to the sender of the amendment request.

R_Preventive/prohibitive measures/controls notified to Person lodging the ENS
Organisation: National Customs Administration
Location: Premises of the Person lodging the ENS
The Person lodging the ENS is notified of the fact that the ENS or parts of it is subject to a no load decision or – if he is an AEO of Type 'AEOS' and/or 'AEOF' – subject to other customs interventions/controls at the Office of first Entry (if he was the sender of the accepted Entry summary declaration or the accepted amendment request).

R_Preventive/prohibitive measures/controls notified to Representative
Organisation: National Customs Administration
Location: Premises of the Representative
If the described conditions are met, the Representative is notified of the fact that the ENS or parts of it is subject to a no load decision or – if he is an AEO of Type 'AEOS' and/or 'AEOF' – subject to other customs interventions/controls at the Office of first Entry.

R_Prohibitive measures notified to Trader at Entry (Carrier)
Organisation: National Customs Administration
Location: Premises of the Trader at Entry (Carrier)

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If the described conditions are met, the Trader at Entry (Carrier) is notified of the fact that the ENS or parts of it is subject to a no load decision taken by the Office of first Entry.

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3.4.3 CO1C (SUM) – PROCESS ENTRY SUMMARY DECLARATION AT OFFICE OF SUBSEQUENT ENTRY

This process shall be performed if all or some goods items declared in an ENS are declared for unloading at an Office(s) of subsequent Entry and if the Office of first Entry has identified security or safety relevant common risk for all or parts of the goods declared in that ENS. In this situation the Office of first Entry identifying the risk, pushes the risk information to all Offices of subsequent Entry declared in the ENS (process CO1B).

The overall assumptions for the Office of subsequent Entry are:

- It shall record the received ENS data and the common security and safety risk analysis results forwarded by the Office of first Entry by means of IE319.
- For ICS phase 1, it shall be able to cope with situations where it receives:
 - Full ENS data and risk analysis results or,
 - Extracts of ENS data (concerning goods for which risk was identified) and risk analysis results.
 - More than one IE319 (and therefore multiple risk analysis results) for the same ENS (MRN) in cases where the Office of first Entry resends this information after having accepted an ENS amendment.
- Whether it shall be able – in future phases of the AIS development - to cope with situations where it has received the full ENS data from the Office of first Entry, even if no security and safety risk was identified, will be decided in the context of the further AIS development.
- Where, after a period of 200 days from the date of lodging an entry summary declaration, the arrival of the means of transport has not been notified to customs in accordance with Article 184g of the CCIP or the goods have not been presented to customs in accordance with Article 186 of the CCIP, the entry summary declaration shall be deemed not to have been lodged. The ENS data and the risk analysis results can be deleted at the Office of subsequent Entry.

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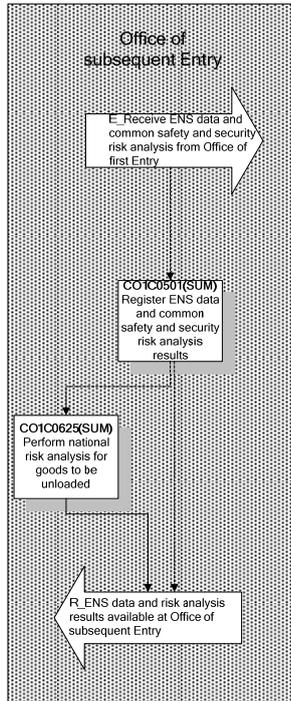


Figure : 5 CO1C (SUM) – Process ENS at Office of subsequent Entry

Major Event

E Receive ENS and common security and safety risk analysis results from Office of first Entry
Organisation : National Customs Administration
Location : Office of subsequent Entry
The ENS data (full ENS data or extracts of it) and the common security and safety risk analysis results from the Office of first Entry are received at the Office of subsequent Entry.

Processes

Register ENS data and common security and safety risk analysis results	Process: CO1C0501(SUM)
Organisation : National Customs Administration	
Location : Office of subsequent Entry	
Constraint: Considering that amendments (IE313) referring to the same MRN may generate multiple IE319,	

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such notifications are uniquely identified by the 'MRN' and the 'Declaration registration date and time'.

Description :

The forwarded ENS data (full ENS data or the extracted ENS data for the goods for which relevant common risk analysis results are available) and the common security and safety risk analysis results are received (IE319) at the declared Office of subsequent Entry, may be validated according to the rules and conditions set out in Appendix B2 (message specifications) and shall be registered in AIS.

AIS alerts the Customs Officer in cases the received common risk analysis result code indicates that the Office of first Entry has taken prohibitive measures (last digit of risk analysis result code = 'A' is present, no load message IE351 sent).

Applicable to ICS phase 1:

If IE319.IMPORT OPERATION.Information type '1' (appropriate ENS data and common security and safety risk analysis results) is received then the IMPORT OPERATION STATE at the Office of subsequent Entry is set to 'ENS common risk analysis results registered'.

Not applicable to ICS phase 1:

If IE319.IMPORT OPERATION.Information type '2' (full ENS data and possibly common security and safety risk analysis results) is received then the IMPORT OPERATION STATE at the Office of subsequent Entry is set to 'ENS registered'.

Final situation :

The ENS data (full or appropriate extract) and common security and safety risk analysis results are available in the AIS of the Office(s) of subsequent Entry. The IMPORT OPERATION STATE at the Office of subsequent Entry is set to 'ENS registered' or 'ENS common risk analysis registered'.

Perform national risk analysis for goods to be unloaded	Process: CO1C0625(SUM)
Organisation : National Customs Administration	
Location : Office of subsequent Entry	
Constraint : National risk analysis can be performed in advance (upon reception of the ENS, or (and) upon presentation of goods. This is national matter, this process is therefore optional. If the Office of first Entry sends extracts of ENS data (IE319.IMPORT OPERATION.Information type '1') including only the data for which it had considered relevant risk, then no risk analysis can be carried at this stage by the Office of subsequent Entry for the other goods.	
Description : National risk analysis can be performed for all the goods which are declared to be unloaded at the Office of subsequent Entry and for which the Office of first Entry had sent the ENS data, on the basis of national regulations and requirements.	
Final situation : National risk analysis results are recorded in AIS. The IMPORT OPERATION STATE is set to 'ENS-national risk analysis registered'.	

Major Results

R_ENS data and common safety security risk analysis results available at Office(s) of subsequent Entry
Organisation: National Customs Administration
Location: Office(s) of subsequent Entry

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The full ENS data or the appropriate ENS data for which relevant risk is considered and the risk analysis results are available at (all) the Office(s) of subsequent Entry.

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3.5 DIVERSION REQUEST – BUSINESS PROCESS

3.5.1 INTRODUCTION

This process shall be performed where an active means of transport entering the customs territory of the Community is to arrive first at a customs office located in a Member State that was not declared in the entry summary declaration (actual Member State of Entry is different from the declared Member State of first Entry and different from any of the declared Member States of subsequent Entry).

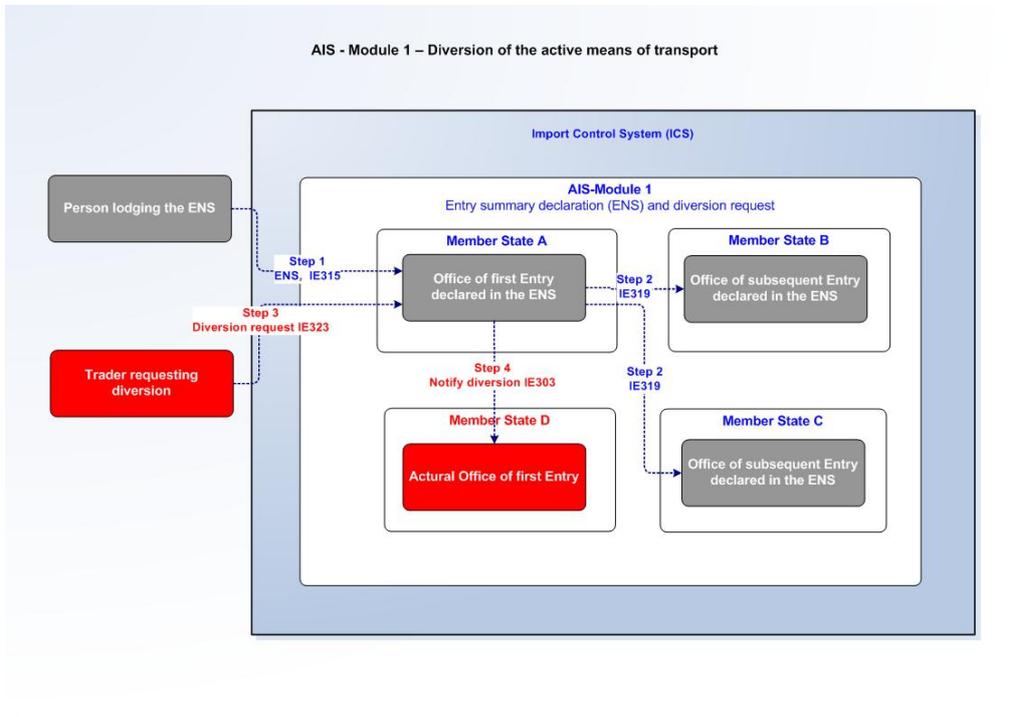


Figure : 6 AIS Module 1 – Diversions of the active means of transport

The operator of the means of transport or his representative (the term 'Trader requesting diversion' is used in this document) shall inform the Customs Office of first Entry declared in the ENS by way of a “diversion request” message (IE323). This message shall contain the particulars laid down in Annex 30A of the CCIP⁵. The diversion request (IE323) shall be sent as soon as the decision to divert is confirmed.

⁵ As amended by Commission Regulation (EC) No 312/2009

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The process is not to be performed if **new** ENS's for **all the goods** loaded on the active means of transport are lodged with the actual Office of first Entry.

The overall assumptions for the international diversion at the Actual Office of Entry are:

- The diversion request (IE323) is sent to the Office of first Entry declared in the ENS.
- The diversion request is for the active means of transport and covers therefore all the goods loaded on the diverted active means of transport.
- The diversion request shall either contain references which enable the Customs to unambiguously identify the diverted active means of transport (maritime transportation: IMO/ENI number of the vessel and expected date of arrival; air transportation: flight number and expected date of arrival) or contain the references to identify all the ENS lodged for the goods loaded on that active means of transport (list of all MRN's).
- The Office of first Entry shall process the diversion request (IE323) in an automated manner and send the diversion notification (IE303) immediately to the Actual Office of first Entry.
- The diversion notification shall contain following information:
 - Either that the Office of first Entry could not identify any relevant security and safety risk, or
 - That it has identified security and safety risk, or
 - That it could not perform the security and safety risk analysis (fallback situations).

3.5.2 CO1D(SUM) - PROCESS INTERNATIONAL DIVERSION AT OFFICE OF FIRST ENTRY

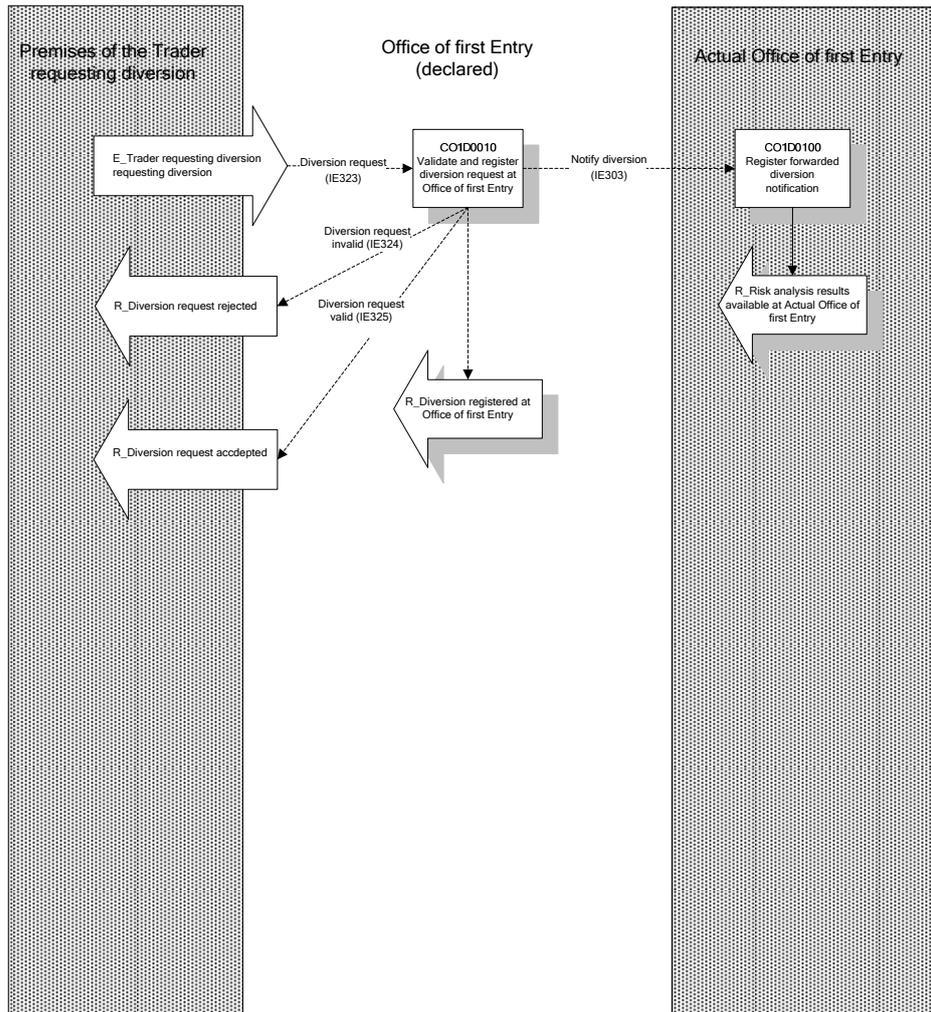


Figure : 7 CO1D – Process international diversion at Office of first Entry

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Major Event

E_Trader requesting diversion requesting diversion
Organisation : Trader requesting diversion
Location : Premises of the Trader requesting diversion
<p>The Trader requesting diversion (the trader in charge of informing the Customs of the diversion or his representative) sends a diversion request to the Office of first Entry declared in the ENS informing it that the active means of transport is diverted to an Actual Office of first Entry in another Member State than:</p> <ul style="list-style-type: none"> • where the Office of first Entry (declared in the Entry summary declaration) is located and • other than where all of the Office(s) of subsequent Entry (declared in the Entry summary declaration) are located.

Processes

Validate and register diversion request at Office of first Entry	Process: CO1D0010(SUM)
Organisation: National Customs Administrations	
Location: Office of first Entry	
<p>Constraints:</p> <ul style="list-style-type: none"> • The process is performed if the Trader requesting diversion sends the diversion request to the Office of Entry declared in the ENS and if the active means of transport is diverted. <p>The Trader requesting diversion shall:</p> <ul style="list-style-type: none"> - have a valid EORI number and declare it in the diversion request; - be connected to the AIS of the Member State where the declared Office of first Entry is located. <p>The Office of Entry receiving the diversion request (IE323) shall process it automatically and forward the diversion notification (IE303) immediately to the Actual Office of Entry, declared in the diversion request (E1323).</p>	
<p>Description:</p> <p>The Trader requesting diversion sends a diversion request (IE323) by electronic means.</p> <p>The diversion request number (IE323.DIVERSION REQUEST.Diversion request number) is to be allocated by the Trader requesting diversion and shall be unique per Trader requesting diversion.</p> <p>The diversion request must include – among other data elements:</p> <ul style="list-style-type: none"> • The EORI number of the Tradere requesting the diversion • The Actual Office of first Entry and the Office of first Entry declared in the ENS • Either the MRNs of the ENS covering all the goods loaded on the diverted means of transport; • Or in case of maritime and air transportation, following data elements providing a unique identification of the diverted active means of transport and enabling the Customs' AIS to identify the appropriate ENS: <ul style="list-style-type: none"> • Mode of transport at border and • Expected date of arrival ('Date of arrival at first place of arrival in Customs territory' declared in the ENS according to Annex 30A of the CCIP) and • Conveyance reference number (flight number for air transportation) or the Identity of crossing border (IMO or ENI number in maritime transportation). <p>Validation of the diversion request must be performed according to the rules and conditions set out in</p>	

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Appendix B2 (message specifications) and shall also include:

- The checking of the structure of the MRN(s), if provided;
- The checking of the availability and operation state of the ENS corresponding to the MRN(s) or corresponding to the provided unique identification.

The validation shall be fully automated.

If the diversion request is not valid (e.g. MRN-structure invalid or ENS not available/in a wrong operation state) , AIS rejects it and notifies (IE324) the Trader requesting diversion (IE323.Trader requesting diversion) that it is invalid, giving the reason for the rejection (see dashed line labelled 'Diversion request invalid').

If the diversion request is valid and if the ENS (MRN) is available and in an appropriate operation state:

- AIS notifies (IE325) the Trader requesting diversion that the diversion request is accepted; The IMPORT OPERATION STATE is set to 'Diversion registered';
- AIS immediately sends the diversion notification (IE303) to the Actual Office of first Entry (IE303.CUSTOMS OFFICE Actual Office of Entry) and sets the IMPORT OPERATION STATE to 'Diversion Notification sent'. The diversion notification shall contain:
 - either the common security and safety risk analysis results and the related extracted ENS data (IE303.Information type = '1' and 'Risk' = '1'), if the last digit of the risk analysis results is 'A', 'B', or 'C';
 - or, the common security and safety risk analysis result 'Z' and the related ENS data (IE303.Information type = '1' and 'Risk' = '1'), if the security and safety risk analysis could not be carried out by the declared Office of First Entry;
 - or, the information that risk analysis has not identified any common security and safety risk analysis results (last digit of the risk analysis result code is '0' or 'N') (IE303.Information type = '1' and 'Risk' = '0');

Final situation:

If the diversion request is not valid, AIS rejects it and notifies (IE324) the Trader requesting diversion. If the diversion request is valid, the Trader requesting diversion is notified of the acceptance (IE325) and the IMPORT OPERATION STATE is set to 'Diversion registered'. The Actual Office of Entry is notified of the diversion (IE303), provided with the common security and safety risk analysis results and with the extracted ENS data or with a 'no-risk' information.

Register forwarded diversion notification	Process: CO1D0100(SUM)
Organisation: National Customs Administrations	
Location: Actual Office of first Entry	
Constraints:	
Description: The diversion notification (IE303) is received from the Office of first Entry. The diversion notification can be validated according to the rules and conditions set out in Appendix B2 (message specifications) and must be registered in the AIS of the Actual Office of first Entry. The IMPORT OPERATION STATE at the Actual Office of first Entry is set to 'Diversion notification registered'.	
Final situation: The diversion notification (IE303) is registered at the Actual Office of first Entry. The IMPORT OPERATION STATE is set to 'Diversion notification registered'.	

Major Results

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R_Diversion request accepted
Organisation : National Customs Administrations
Location : Premises of the Trader requesting diversion
The Trader requesting diversion is notified of the fact that the diversion request is accepted.

R_Diversion registered at Office of first Entry
Organisation : National Customs Administrations
Location : Office of first Entry
The risk analysis results and the extracted ENS data for the goods for which common risk analysis results have been identified are selected and provided to the Actual Office of first Entry. The diversion of the movements having been diverted is registered in the AIS of the declared Office of first Entry.

R_Risk analysis results available at Actual Office of first Entry
Organisation : National Customs Administrations
Location : Actual Office of first Entry
The diversion notification is available at the Actual Office of first Entry and registered in its AIS. The diversion notification contains either the information that no common security and safety risks have been identified or – if common security and safety risks have been identified – the risk analysis results and the appropriate ENS data

Minor Results

R_Diversion request rejected
Organisation : National Customs Administrations
Location : Premises of the Trader requesting diversion
The Trader requesting diversion is notified of the fact that the presented diversion request is rejected.

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4. AIS MODULE 2

4.1 INTRODUCTION

This module deals with the handling of the arrival notification (NA) **for the active means of transport**. The business process for the **arrival (presentation) of goods** is documented under heading 5 (AIS Module 3).

The process is performed - in particular in maritime and air transport - where the active means of transport arrives at the Office which acts as an (Actual) Office of first Entry. The purpose of the process is to make customs aware of the arrival of the means of transport, to enable it to check the availability of positive security and safety risk analysis results and to initiate controls, where required.

The overall assumptions for the arrival notification at the actual Office of first Entry are:

- The operator of the active means of transport entering the customs territory of the Community or his representative shall lodge a arrival notification at the moment of arrival of that means of transport.
- The arrival notification shall be lodged regardless of the decision to unload or not to unload goods at that Customs Office. The process is therefore also to be performed in situations where some or all goods remain on board of the means of transport for further transport to another place within or outside of the customs territory of the Community.
- The arrival notification shall contain the data elements which are needed by the customs office to check the availability of positive security and safety risk analysis results, either in its own system or in the system of the Customs Office of first Entry declared in the ENS. The latter is to cover exceptional situations where the Customs Office receiving the arrival notification is different from the Customs Office of first Entry declared in the ENS and has not received any diversion notification (process CO1D). In this situation the Customs Office receiving the arrival notification may want to request information from the declared Customs Office by using the IE302/303 mechanism.
- The arrival notification shall either contain references which enable the Customs to unambiguously identify the active means of transport (maritime transportation: IMO/ENI number of the vessel and expected date of arrival; air transportation: flight number and expected date of arrival) or contain the references to identify all the ENS lodged for the goods loaded on that active means of transport (list of all MRN's).

4.2 MODULE 2 BUSINESS INTERFACES

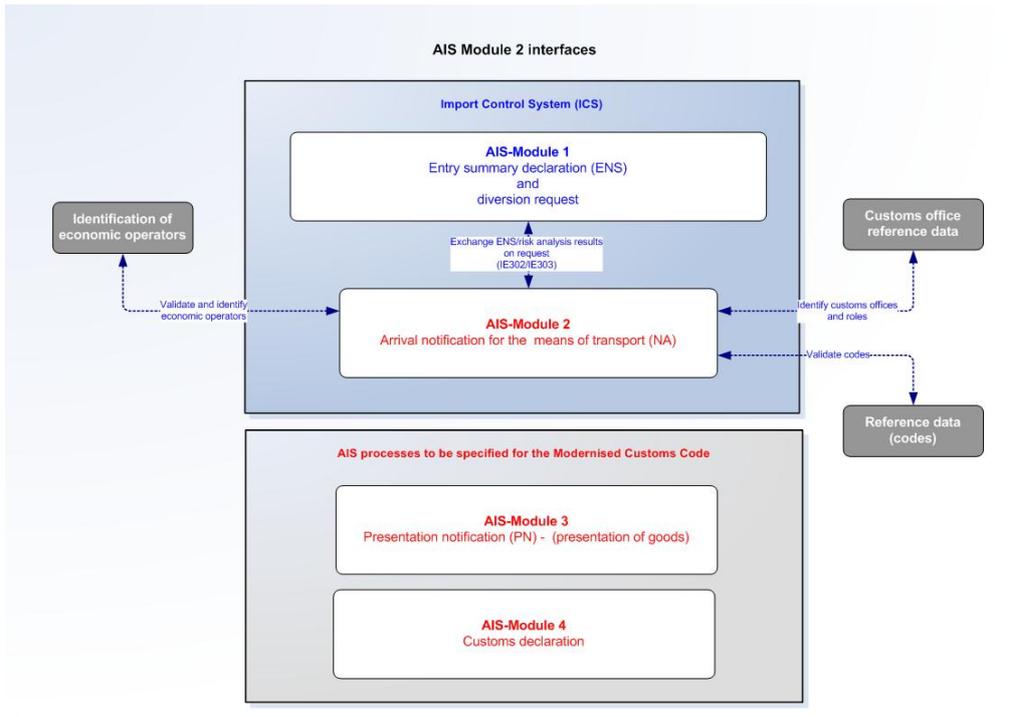


Figure : 8 AIS - Module 2 business interfaces

The arrival notification identifies the operator of the active means of transport or his representative, the customs offices concerned and other business codes. AIS Module 2 therefore interfaces with the 3 identified modules holding this reference data (see heading 3.2).

4.3 ARRIVAL NOTIFICATION – BUSINESS PROCESSES

This process is required for ICS phase 1. However, the decision was taken that it is for the Member States to specify and implement it. It is also for the Member States to decide whether (existing) port/airport inventory systems are used or whether the arrival notification is to be sent directly to customs, using existing or new systems. For this reason, this document only provides for a business interface overview.

For ICS phase 1, the functionality which enables the Customs Office (where the arrival notification is received) to query for positive risk analysis results with the Office of first Entry holding the risk information (the IE302/IE303 mechanism with information type '1') is binding for the Member States and must be implemented.

The IE302/IE303 mechanism with information type '2' cannot be used during ICS phase 1.

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5. AIS MODULE 3

5.1 INTRODUCTION

This module deals with the handling of the **arrival (presentation) of the goods to customs (Art. 40 Customs Code)**.

The overall assumptions for the arrival (presentation) of the goods are:

- See explanations under heading 5.3).

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5.2 MODULE 3 INTERFACES

To be identified by the Member States (see explanations under heading 5.3).

5.3 PRESENTATION OF GOODS – BUSINESS PROCESSES

The business process specifications contained in this document were developed at an early stage of the ICS phase 1 specification, to a large scale even before the decision was taken not to exchange ENS data between Member States in situations where no positive security and safety risk analysis results were identified. The concept presented in process CO3B for re-using ENS data lodged with the Office of first Entry for the purpose of presentation/temporary storage in another Member State is – under these circumstances - not viable.

For ICS phase 1 following decisions were taken:

- It is for the Member States to specify and implement the process for the presentation of the goods.
- For the processes CO3A and CO3B, only the functionality which enables the Customs Office where the goods are presented to query for positive risk analysis results with the Office of first Entry holding the risk information (the IE302/IE303 mechanism with information type '1') is binding for the Member States and must be implemented.
- The IE302/IE303 mechanism with information type '2' cannot be used during ICS phase 1.
- The other part of the process descriptions are kept in the present functional specifications for information only. The decision whether and when the documented processes will be implemented or amended will be taken in the context of the MCC.
- For process CO3C there are no binding requirements for ICS phase 1.

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5.3.1 CO3A – PRESENTATION AT ACTUAL OFFICE OF FIRST ENTRY

This process is performed in any case where goods are to be presented to an Office which acts as an Actual Office of first Entry.

The overall assumptions for the presentation at the actual Office of first Entry are:

- The Trader at Entry shall provide an arrival notification for all the goods to be presented to this Office.
- The arrival notification shall contain references (Unique identification of the active means of transport or list of MRN/MRN item number(s)) to the ENS.
- If the ENS for which references are provided in the arrival notification is not available at the Actual Office of first Entry, then the relevant ENS data/the risk analysis results shall be requested at the Office of first Entry declared in the ENS.
- The Office of first Entry can perform national risk analysis upon reception of the ENS (prior to the arrival) or upon reception of the arrival notification (CO3A) for all the goods to be unloaded, however this is a national matter.
- In cases where goods enter the customs territory under a NCTS-transit procedure not including Annex 30A-data, the security and safety requirements need to be covered by an ENS lodged in ICS. In case the NCTS transit declaration contains the Annex 30A data, the ICS process for presenting goods (ICS CO3) is not performed but the NCTS process at Office of Transit (NCTS, CO03) is performed instead. In case security and safety risk is identified, the appropriate measures have to be taken within NCTS.

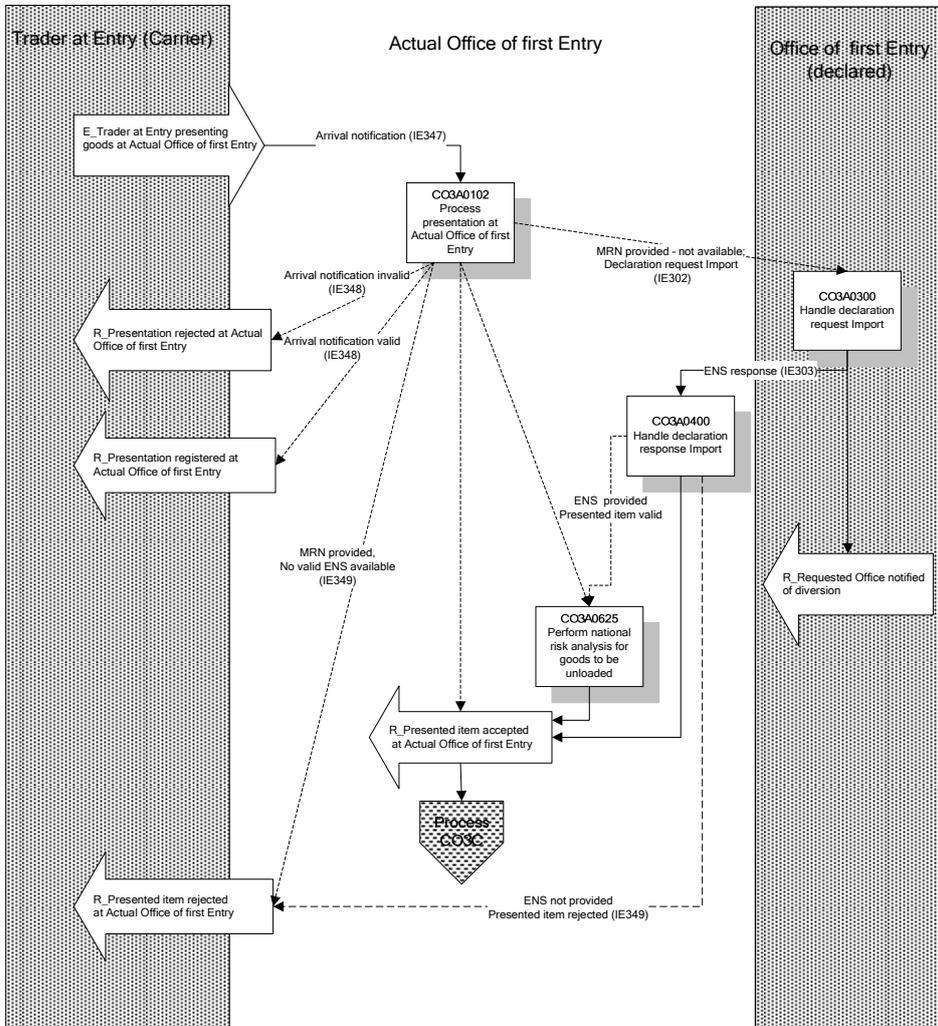


Figure : 9 CO3A – Presentation at Actual Office of first Entry

Major Event

E_Trader at Entry presenting goods at Actual Office of first Entry
Organisation : Trader at Entry (Carrier)
Location : Premises of the Trader (Carrier) at Entry / Actual Office of first Entry The process is normally performed when goods arrive at the Actual Office of first Entry.
The Trader at Entry (Carrier) notifies the arrival of the goods intended to enter the Community on a given means of transport and presents the notification to the Actual Office of first Entry.

Processes

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Process presentation at Actual Office of first Entry	Process: CO3A0102
Organisation: National Customs Administrations	
Location: Actual Office of first Entry	
<p>Constraints: National variants possible depending on the local organisations.</p> <p>Except where national provisions allow the arrival notification to be presented in advance, the presentation process shall be initiated upon arrival of the goods.</p> <p>Member states may allow the Trader at Entry amending the presented arrival notification (IE347) but this is national matter and not described here.</p> <p>The arrival notification shall be presented for all the goods to be unloaded. It may relate to all or some of the goods items of one or more ENS(s).</p> <p>National risk analysis shall be performed – if not performed already upon reception of the ENS - for all the goods to be unloaded at this Office.</p> <p>The IE302/IE303 functionality for information type '1' must be implemented for ICS phase 1.</p>	
<p>Description:</p> <p>The Trader at Entry (Carrier) notifies (IE347) the arrival of those goods that are to be unloaded to the Actual Office of first Entry. The arrival notification contains:</p> <ul style="list-style-type: none"> • The Actual Office of first Entry • a reference to the ENS(s) previously lodged for the purpose of security and safety. One of the following ENS references shall be provided: <ul style="list-style-type: none"> • Either all the MRN(s) of the ENS for the goods that are loaded on the arriving means of transport; • Or in case of air- or maritime transportation, following data elements providing a unique identification of the arriving active means of transport and enabling the Customs AIS to identify the appropriate ENS: <ul style="list-style-type: none"> • Mode of transport at border and • Expected date of arrival (date of arrival at the first place of arrival in the customs territory of the Community declared in the ENS according to Annex 30A of the CCIP) and • Conveyance reference number (flight number for air transportation) or Identity of Crossing border (IMO or ENI number in maritime transportation). - Additional data required by the Member State for the presentation of the goods; - Additional data required in relevant international Conventions. <p>In case the corresponding ENS had been sent to an Office of first Entry (IE315. CUSTOMS OFFICE of first Entry.Reference number) located in another Member State than where the arrival notification is sent (international diversion), the 'Country Code of Office of first Entry declared' shall be declared in addition to determine where the ENS can be requested from.</p> <p>The 'MRNitem number' (IE347.CUSTOMS DATA REFERENCE DETAILS.MRN item number') shall be declared, if the arrival notification relates to one or some items of the ENS only (partial arrival). If no 'MRN item number' is provided, then AIS assumes that the arrival notification covers the entire ENS (all items of the ENS);</p> <p>The arrival notification is validated according to the rules and conditions set out in Appendix B2 (message specifications) and registered. The validation process can be a completely automated process.</p> <p>If the Arrival notification is invalid:</p> <ul style="list-style-type: none"> - The arrival notification is rejected; - The rejection is communicated (IE348) to the Trader at Entry (Carrier) – see dashed line 'Arrival notification invalid'. <p>If the arrival notification is valid:</p>	

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<ul style="list-style-type: none"> - The arrival notification is registered; - The registration is communicated (IE348) to the Trader at Entry (see dashed line 'Arrival notification valid'); - The IMPORT OPERATION STATE of the arrival notification is set to 'Arrival notification registered'. <p>After registration, AIS automatically queries for the ENSs/relevant common risk analysis results indicated in the arrival notification (based on the unique identification of the arriving means of transport or on the MRN(s) and – if available - the 'MRN item number').</p> <ul style="list-style-type: none"> - If the ENS/item number/relevant common risk analysis results could be found, then AIS checks the IMPORT OPERATION STATE of the ENS item(s): <ul style="list-style-type: none"> • If it is in an appropriate state: <ul style="list-style-type: none"> • If national risk analysis needs to be performed, process CO3A0625(SUM) is initiated; • If national risk analysis had been performed already upon reception of the ENS, then the IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrived at Entry'. • If it is not in an appropriate state: <ul style="list-style-type: none"> • The presented item is rejected; • The rejection is communicated (IE349) to the Trader at Entry (Carrier); • The IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrival notification rejected'. - If the ENS/common risk analysis results – based on the unique identification of the arriving means of transport or MRN and the 'MRN item number' - if available - could not be found (for any reasons): <ul style="list-style-type: none"> • AIS sends a declaration request (IE302) for the missing ENS data (Information type '2') or for the common risk analysis results (Information type '1') - based on the declared unique identification of the arriving means of transport or based on the MRN/Item number to the Member State where the Office of first Entry declared is located (IE347.CUSTOMS DATA REFERENCE. Country code of Office of first Entry declared); • The IMPORT OPERATION STATE of the ENS/Item number for which a request (IE302) is sent is set to 'ENS requested'; • AIS waits for the response (IE303); • The process continues with CO3A0300. <p>Final situation: If the arrival notification is not valid, then it is rejected and the rejection is communicated (IE348) to the Trader at Entry (Carrier). If the arrival notification is valid:</p> <ul style="list-style-type: none"> - It is registered and the registration is communicated (IE348) to the Trader at Entry; - A declaration request is sent (IE302), if a diversion occurs and if the ENS is not available at the Actual Office of first Entry; the response (IE303) is awaited; - The Trader at Entry is notified (IE349) in case the ENS could not be found.

Handle declaration request Import	Process: CO3A0300
Organisation : National Customs Administration	
Location : Office of first Entry (declared)	
Constraint : This business process is used to obtain common risk analysis results for all the goods loaded on the means of transport in case no data is available at the requesting Office. Automated response should be returned to the	

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requesting Actual Office of first Entry automatically and immediately.

The IE302/IE303 functionality for information type '1' must be implemented for ICS phase 1.

Description :

The Office of first Entry (declared) is asked (IE302.IMPORT OPERATION.Information type '1' is present; IE302.GOODS ITEM is not present) by the Actual Office of first Entry to provide a declaration response containing the common risk analysis results and appropriate ENS data (IE303.IMPORT OPERATION.Information type 1) corresponding to:

- all the ENS for the provided MRN(s) or
- the provided unique identification of the arriving means of transport

Case 1:

If the requested data is not available or if the IMPORT OPERATION STATE does not allow the data to be sent, AIS sends a negative response (IE303.IMPORT OPERATION.SUMMARY DECLARATION REJECTION' is present) to the requesting Actual Office of Entry.

Case 2: If there are no relevant common risk analysis results or if the last digit of the risk analysis result code is 'N', then AIS generates a declaration response IE303. IMPORT OPERATION.Information type '1' indicating that there are no relevant common risk analysis results (E303.DECLARATION RESPONSE.Risk '0').

Case 3:

In any other case, AIS retrieves the appropriate ENS data and the relevant common risk analysis and sends a positive response (IE303 IMPORT OPERATION.Information type '1' is present) to the requesting Actual Office of Entry, including the requested data.

The declaration response (IE303) must contain:

- IMPORT OPERATION.Information type '1';
- The full ENS header data according to the message specifications (Appendix B2);
- The complete goods items of the ENS for which relevant common risk analysis results are available;
- The relevant common risk analysis results for those items.

Risk analysis results are included in the declaration response (IE303) in the following way:

- if the last digit of the risk analysis result code is 'A', 'B' or 'C': as they are recorded;
- In case the common security and safety risk analysis results are not available when the declaration request is received (e.g. in case the national risk analysis application is not available or if the declaration request is received before the risk analysis results are known) then the last digit of the risk analysis result code forwarded (IE303) to the Office which sending the declaration request is 'Z' – no risk analysis results available).

AIS records the sending of the response and sets the IMPORT OPERATION STATE to 'ENS declaration response sent'.

Final situation :

A negative or a positive response is sent to the requesting Actual Office of Entry.

The IMPORT OPERATION STATE of the ENS is set to 'ENS declaration response sent'.

Handle declaration response Import	Process: CO3A0400
Organisation : National Customs Administration	
Location : Actual Office of first Entry	
Constraint :	
The AIS of the Actual Office of first Entry having previously sent out a declaration request (IE302) must be able to receive and process possible responses documented in CO3A0300(SUM):	

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If the expected response is not received within the agreed time limits, a new declaration request (IE302) may be sent (see CO3A0102(SUM)).

The IE302/IE303 functionality for information type '1' must be implemented for ICS phase 1.

Description :

The Actual Office of first Entry receives the response from the requested Office of first Entry (declared). The received response corresponds to case 1, 2 or 3 of CO3A0300(SUM):

- **In case 2 and 3:**

- AIS may validate it according to the rules and conditions set out in Appendix B2 (message specifications) and shall record the received ENS data (IE303);
- The IMPORT OPERATION STATE of all the related ENS goods item(s) is set to 'Arrived at Entry';
- AIS automatically checks whether or not risk analysis results are communicated by the Office of first Entry;
- If risk analysis results related to preventive measures are communicated, then the AIS of the Office of first Entry proposes the ENS/item to be controlled (the control decision is registered in AIS). The Officer may either accept or take account of them when carrying out its own risk analysis (process C03C);
- If risk analysis results related to prohibitive measures are communicated, then the AIS of the Office of first Entry alerts the Customs Officer and register the control decision in AIS);
- Process CO3A0625(SUM) shall be performed for the goods to be unloaded.

- **In case 1:**

- AIS may validate it according to the rules and conditions set out in Appendix B2 (message specifications) and shall record the negative response (IE303);
- The presented item is rejected;
- The rejection is communicated (IE349) to the Trader at Entry (Carrier).

Final situation : In case 2 and 3, the positive response is recorded and the IMPORT OPERATION STATE of all the related ENS item(s) is set to 'Arrived at Entry'.

In case 1, the negative response is recorded and communicated (IE349) to the Trader at Entry (Carrier). The IMPORT OPERATION STATE of the ENS/Item number is set to 'Presentation rejected'.

Perform national risk analysis for goods to be unloaded	Process: CO3A0625(SUM)
Organisation : National Customs Administration	
Location : Actual Office of first Entry	
Constraint : National risk analysis can be performed in advance (upon reception of the ENS, or (and) upon presentation of goods. This is national matter, this process is therefore optional.	
Description :	
National risk analysis results are not forwarded (IE319) to Offices of subsequent Entry.	
National risk analysis is initiated by AIS and carried out by the national risk application for all the goods which are declared to be unloaded at this Office on the basis of national regulations and requirements.	
- National analysis (other than security and safety related) shall be performed mainly on the basis of national and local criteria;	
- If risk based on national risk analysis is identified, the last digit of the risk analysis result code shall be 'N'. The other digits – if any- are to be defined at national level;	
- The risk analysis results are to be recorded in AIS;	
- The IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrival risk analysis registered'.	

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Final situation :

National analysis results are recorded in AIS.

The IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrival risk analysis registered.

Major Results

R_ Presentation registered at Actual Office of first Entry

Organisation : National Customs Administration

Location : Premises of the Trader at Entry (Carrier)

The Trader at Entry (Carrier) is notified of the fact that the arrival notification is registered.

R_ Presented item accepted at Actual Office of first Entry

Organisation : National Customs Administrations

Location : Actual Office of first Entry

The data for the ENS indicated in the arrival notification and/or the relevant common risk analysis results are available and accepted at the Actual Office of first Entry.

Minor Results

R_ Presentation rejected at Actual Office of first Entry

Organisation : National Customs Administrations

Location : Premises of the Trader at Entry (Carrier)

The Trader at Entry (Carrier) is notified of the fact that the presented arrival notification is rejected.

R_ Requested Office of first Entry (declared) notified of diversion

Organisation : National Customs Administrations

Location : Customs Office of first Entry (declared).

The diversion is recorded.

R_ Presented item rejected at Actual Office of first Entry

Organisation : National Customs Administrations

Location : Premises of the Trader at Entry (Carrier)

The Trader at Entry (Carrier) is notified of the fact that the ENS indicated in the arrival notification could not be found.

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5.3.2 CO3B – PRESENTATION AT ACTUAL OFFICE OF SUBSEQUENT ENTRY

This process is performed only if at least one or some of the goods items declared in an ENS is/are to be unloaded at the Actual Office of subsequent Entry.

The overall assumptions for the presentation at the Office(s) of subsequent Entry are:

- The Trader at Entry shall provide an arrival notification for all the goods to be unloaded at this Office.
- The arrival notification shall contain:
 - a reference (Unique identification of the active means of transport or MRN/MRN item number) to the ENS whenever an ENS had to be provided beforehand, or
 - full summary declaration data for all the goods which did not require an ENS (e.g. for goods loaded in an EU-port according to Art. 184f CCIP).
- If an 'MRN'/MRN item number' or the unique identification of the active means of transport is provided but not available at the Actual Office of subsequent Entry, then the actual Office of Entry shall request the relevant ENS data/the relevant common security and safety risk analysis results from the Office of first Entry declared in the ENS.
- As far as far common risk analysis on security and safety is concerned, the Office of subsequent Entry is not competent.
- The Office of subsequent Entry can perform national risk analysis upon reception of the ENS (prior to the arrival) or upon reception of the arrival notification (C03B) for all the goods to be unloaded.

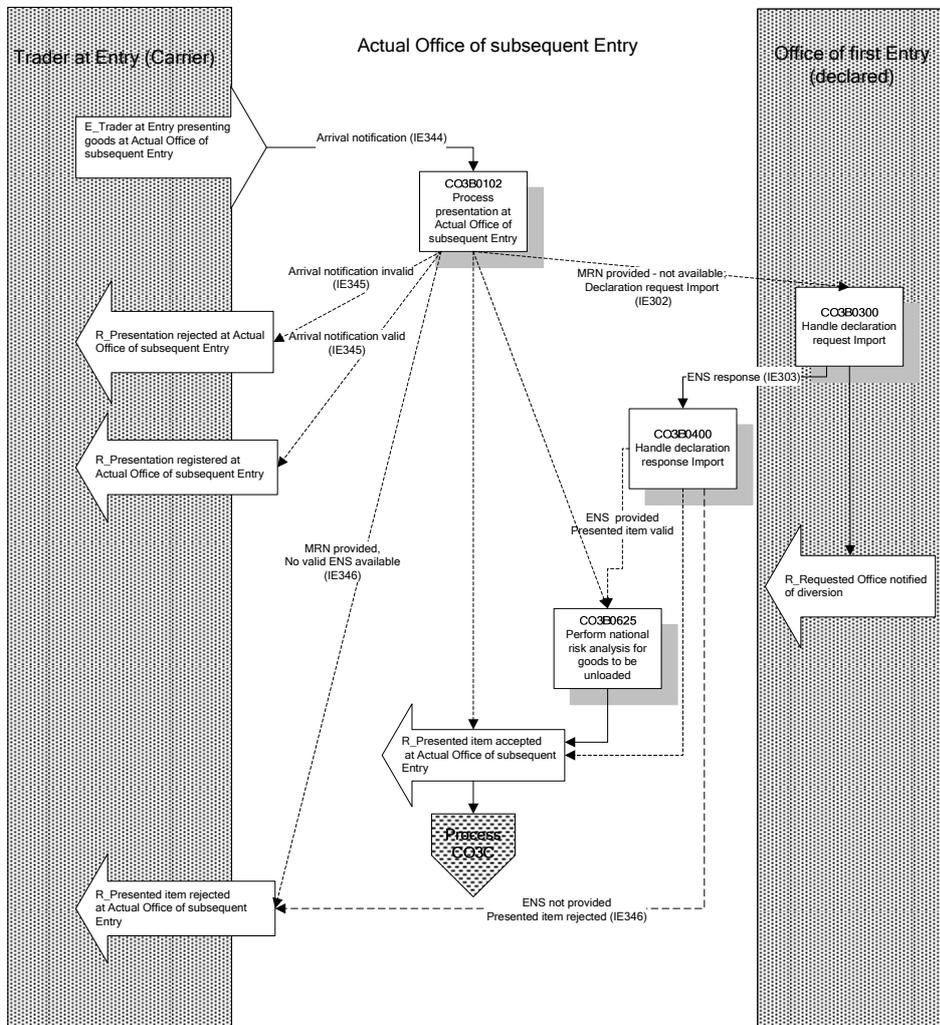


Figure : 10 CO3B – Presentation at Actual Office of subsequent Entry

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Major Event

E_Trader at Entry presenting goods at Actual Office of subsequent Entry
Organisation : Trader at Entry (Carrier)
Location : Premises of the Trader (Carrier) at Entry / Actual Office of subsequent Entry The process is normally performed when goods arrive at the Actual Office of subsequent Entry.
The Trader at Entry (Carrier) notifies the arrival of the goods intended to be unloaded from a given means of transport and presents it to the Actual Office of subsequent Entry.

Processes

Process presentation at Actual Office of subsequent Entry	Process: CO3B0102
Organisation: National Customs Administrations	
Location: Actual Office of subsequent Entry	
<p>Constraints: National variants possible depending on the local organisations.</p> <p>Except where national provisions allow the arrival notification to be presented in advance, the presentation process shall be initiated upon arrival of the goods.</p> <p>Member states may allow the Trader at Entry to amending the presented arrival notification, but this is national matter and not described here.</p> <p>For amending a previously presented arrival notifications (i.e. mainly reduction of the cargo, and/or its increase) a corrected arrival notification (IE344) shall be submitted for validation.</p> <p>The arrival notification shall be presented for all the goods to be unloaded.</p> <p>National risk analysis shall initiated by AIS and carried out by the national risk analysis application – if not carried out already upon reception of the ENS - for all the goods to be unloaded at this Office.</p> <p>The IE302/IE303 functionality for information type '1' must be implemented for ICS phase 1.</p>	
<p>Description:</p> <p>The Trader at Entry (Carrier) notifies (IE344) the arrival of the goods which are to be unloaded at the Actual Office of subsequent Entry (except if the regulation provides for a waiver of that requirement). The arrival notification contains:</p> <ul style="list-style-type: none"> - The Actual Office of subsequent Entry - A reference to the ENS(s) previously lodged for the purpose of security and safety. One of the following ENS references shall be provided: <ul style="list-style-type: none"> • Either all the MRN(s) of the ENS concerning goods that are loaded on the arriving means of transport; • Or in case of air- or maritime transportation, following data elements providing a unique identification of the arriving active means of transport and enabling the Customs AIS to identify the appropriate ENS: <ul style="list-style-type: none"> • Mode of transport at border and • Expected date of arrival (Date of arrival at first place of arrival in Customs territory declared in the ENS according to Annex 30A of the CCIP) and • Conveyance reference number (flight number for air transportation) or Identity of Crossing border (IMO or ENI number in maritime transportation). - Full entry summary declaration data for all the goods which did not require an ENS (e.g. for goods loaded in an EU-port according to Art. 184f of the CCIP); - Full entry summary declaration data for the remaining goods to be unloaded in case the actual Office of subsequent Entry is not able to request the full ENS data (this is the case if IE302. Information type '2' will not be in the scope of ICS); 	

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- Additional data required by the Member State for the presentation of the goods;
- Additional data required in the international Convention.

In case the corresponding ENS had been sent to an Office of first Entry (IE315. CUSTOMS OFFICE of first Entry.Reference number) located in another Member State than where the arrival notification is sent (international diversion), the 'Country Code of Office of first Entry declared' shall be declared in addition to determine where the ENS can be requested from.

The 'MRNitem number' (IE344.CUSTOMS DATA REFERENCE DETAILS.MRN item number') shall be declared, if the arrival notification relates to one or some items of the ENS only. If no 'MRN item number' is provided, then AIS assumes that the arrival notification covers the entire ENS (all items of the ENS);

The arrival notification is validated according to the rules and conditions set out in Appendix B2 (message specifications) and registered. The validation process can be a completely automatic process.

There are two types of goods which can be unloaded:

1. Goods for which an ENS had already been submitted to the Office of first Entry:

For these goods the MRN of the previously lodged ENS shall be provided in the arrival notification (IE344.CUSTOMS DATA REFERENCES' present).

- If one or some items of an ENS shall be presented only, then the item numbers of the ENS have to be provided in the arrival notification as well (if no ENS item numbers are provided, then it is assumed that all items of an ENS are to be presented);
- If the ENS had been sent to an Office of first Entry that is located in another Member state than where the Actual Office of Entry is located, then the Office of first Entry declared shall be provided in the arrival notification;
- No community status has to be declared as it is assumed that these goods are non community goods in any case.

2. All other kinds of goods:

- For these goods no reference to the ENS but full summary declaration data shall be provided;
- The Customs status can be provided in the arrival notification (IE344.IMPORT OPERATION' present).

If the Arrival notification is **invalid**:

- The arrival notification is rejected;
- The rejection is communicated (IE345) to the Trader at Entry (Carrier) – see dashed line 'Arrival notification invalid'.

If the arrival notification is **valid**:

- The arrival notification is registered;
- For case 2: AIS generates a MRN per full summary declaration record (one per 'IE344.IMPORT OPERATION.LRN') contained in the arrival notification;
- The registration – including the generated MRN's is communicated (IE345) to the Trader at Entry (see dashed line 'arrival notification valid');
- The IMPORT OPERATION STATE of the arrival notification is set to 'Arrival notification registered'.

After registration:

Case 1:

AIS automatically queries for the ENSs/relevant common risk analysis results indicated in the arrival notification (IE344.CUSTOMS DATA REFERENCES), based on the unique identification of the arriving means of transport or the MRN(s), and - if available – the 'MRN item number'.

- If the ENS/item number/relevant common risk analysis results could be found, then AIS checks the IMPORT OPERATION STATE of the ENS item(s).
 - **If it is in an appropriate state:**
 - If national risk analysis needs to be performed, process CO3B0625(SUM) is initiated;

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<ul style="list-style-type: none"> • If national risk analysis had been performed already upon reception of the ENS, then the IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrived at Entry'. • If it is not in an appropriate state: <ul style="list-style-type: none"> • The presented item is rejected; • The rejection is communicated (IE346) to the Trader at Entry (Carrier); • The IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrival notification rejected'. <p>- If the ENS/common risk analysis results – based on the unique identification of the arriving means of transport or MRN and the 'MRN item number' - if available - could not be found (for any reasons):</p> <ul style="list-style-type: none"> • AIS sends a declaration request (IE302) for the missing ENS data (Information type '2) or for the common risk analysis results (Information type '1') - based on the declared Unique identification of the active means of transport or MRN/Item number - to the Member State where the Office of first Entry declared is located (IE344. CUSTOMS DATA REFERENCE. Country code of Office of first Entry declared). The IMPORT OPERATION STATE of the ENS goods item(s) for which a request (IE302) is sent is set to 'ENS requested'; • AIS waits for the response (IE303). • The process continues with CO3B0300 <p>Case 2: National risk analysis shall be performed, process CO3B0625(SUM) is initiated</p> <p>Final situation: If the arrival notification is not valid, then it is rejected and the rejection is communicated (IE345) to the Trader at Entry (Carrier). If the arrival notification is valid:</p> <ul style="list-style-type: none"> - It is registered and the registration is communicated (IE345) to the Trader at Entry; - A declaration request is sent (IE302), if a diversion occurs and if the ENS is not available at the Actual Office of subsequent Entry; the response (IE303) is awaited; - The Trader at Entry is notified (IE346) in case the ENS could not be found.
--

Handle declaration request Import	Process: CO3B0300
Organisation : National Customs Administration	
Location : Office of first Entry (declared)	
Constraint : Same as C03A0300	
The IE302/IE303 functionality for information type '1' must be implemented for ICS phase 1.	
Description : Same as C03A0300. The only difference is that the requested Office of first Entry (declared) is asked (IE302) by the Actual Office of subsequent Entry.	

Handle declaration response Import	Process: CO3B0400
Organisation : National Customs Administration	
Location : Actual Office of subsequent Entry	
Constraint : Same as CO3A0400.	
The IE302/IE303 functionality for information type '1' must be implemented for ICS phase 1.	

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<p>Description : Same as CO3A0400. The only differences are:</p> <ul style="list-style-type: none"> - The Office receiving the response (IE303) is the Actual Office of subsequent Entry. - In case 3 (rejected IE303): The rejection is communicated by use of IE346 to the Trader at Entry (Carrier). <p>Final situation : Same as CO3A0400.</p>
--

Perform national risk analysis for goods to be unloaded	Process: CO3B0625(SUM)
Organisation : National Customs Administration	
Location : Actual Office of subsequent Entry	
Constraint : National risk analysis can be performed in advance (upon reception of the ENS, or (and) upon presentation of goods. This is national matter, this process is therefore optional.	
<p>Description : Same as CO3A0625</p> <p>Final situation : Same as CO3A0625</p>	

Major Results

R_ Presentation registered at Office of subsequent Entry
Organisation: National Customs Administration
Location : Premises of the Trader at Entry (Carrier)
The Trader at Entry (Carrier) is notified of the fact that the arrival notification is registered.

R_Presented item accepted at Office of subsequent Entry
Organisation : National Customs Administrations
Location : Actual Office of subsequent Entry
The data for the ENS indicated in the arrival notification and/or the relevant common risk analysis results are available and accepted at the Actual Office of subsequent Entry.

Minor Results

R_Presentation rejected at Actual Office of subsequent Entry
Organisation : National Customs Administrations
Location : Premises of the Trader at Entry (Carrier)
The Trader at Entry (Carrier) is notified of the fact that the presented arrival notification is rejected.

R_Requested Office notified of diversion
Organisation : National Customs Administrations
Location : Customs Office of first Entry (declared).

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The diversion is recorded.

R_Presented item rejected at Actual Office of subsequent Entry
Organisation : National Customs Administrations
Location : Premises of the Trader at Entry (Carrier)
The Trader at Entry (Carrier) is notified of the fact that the ENS indicated in the arrival notification could not be found.

5.3.3 CO3C – RELEASE FOR ENTRY AT ACTUAL OFFICE OF ENTRY

The overall assumptions for this process are:

- The Customs Office of Entry may decide to perform controls (e.g. physical control of the goods, documentary check or control of seals).
- The goods may be released for entry (allowed to be assigned to a customs approved treatment or use) or not be released for entry (not allowed to be assigned to a customs approved treatment or use).

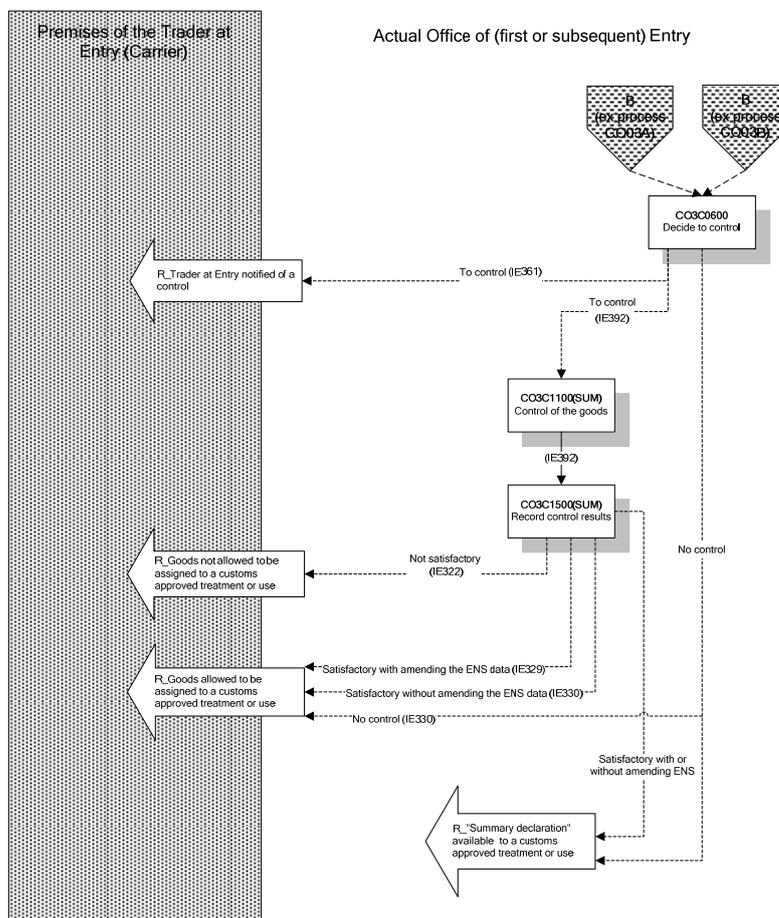


Figure : 11 CO3C– Release for Entry at Actual Office of (first or subsequent) Entry

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Processes

Decide to control	Process: CO3C0600
Organisation : National Customs Administration	
Location : Actual Office of (first or subsequent) Entry	
Constraint :	
Description :	
<p>The Customs Officer compiles all the information he needs (the declaration data and the risk analysis results retrieved by AIS) in order to decide whether a control is required. Even if the risk analysis is an automatic process, the final decision to control may be overruled by the Customs Officer.</p> <p>First case: the Customs Officer decides to control:</p> <ul style="list-style-type: none"> - On request, the Customs Officer can ask the Trader at Entry (Carrier) for the printout of the relevant data retrieved by AIS or he can print it out at the Office himself by indicating the 'MRN' and (if appropriate) the 'MRN item number' in order to allow him to perform a control of the consignment. The Customs Officer registers the decision to control in AIS (amendments are no longer accepted). - The IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) for which a control decision is taken at the Actual Office of Entry (first or subsequent) is set to 'Under control'. The IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) for the other goods items is set to 'Entry allowed'. - The Trader at Entry (Carrier) is notified (IE361) of the decision to control in order to allow him to be present during the control or to take the necessary action. Customs may specify the type of control in the IE361. - The control will be performed at the Actual Office of (first or subsequent) Entry. <p>Second case: the decision is not to control:</p> <ul style="list-style-type: none"> - If risk analysis results propose to control goods but the Customs Officer decides not to control, then this decision is to be confirmed and recorded in AIS. - The IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) at the Actual Office of (first or subsequent) Entry is set to 'Entry allowed'. - In case of an ENS, the data becomes part of the summary declaration data and can be used as the basis for further customs treatments/procedures or applications. - AIS notifies (IE330) the Trader at Entry (Carrier) of the decision not to control and informs him that the goods are allowed to enter and ready to be assigned to a customs approved treatment or use. - Data is made available for the subsequent customs procedure by AIS. <p>Final situation :</p> <p>One of the following decisions is taken:</p> <ul style="list-style-type: none"> - Control will be performed and the IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) which are to be controlled at the Actual Office of (first or subsequent) Entry is set to 'Under control'. - In case of no control, the goods are ready to enter the Customs territory of the Community and the subsequent customs procedure can be initiated. The IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) which are not to be controlled is set to 'Entry allowed'. 	

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Control of the goods	Process: CO3C1100
Organisation : National Customs Administration	
Location : Actual Office of (first or subsequent) Entry/Location of goods	
Constraint : This manual process is performed only if the Customs Officer decided to proceed for controls.	
Description : The Customs Officer goes to the goods place in order to verify the seals (if any), documents or goods (or all of them), taking with him the printout of the relevant movement description information (IE392). The Customs Officer controls the consignment and the supporting documents against the printout.	
Final situation : Documents and consignment are controlled.	

Record control results	Process: CO3C1500
Organisation : National Customs Administration	
Location : Actual Office of (first or subsequent) Entry	
Constraint : This process is performed only if the Customs Officer has proceeded for controls.	
Description : The Customs Officer at the Actual Office of (first or subsequent) Entry records the results of the control in AIS (control results 'satisfactory' or 'not satisfactory') based on the control document (IE392) after he returns from the control of the goods. Where satisfactory : - The Customs Officer records satisfactory control results. 'Satisfactory' may cover 2 cases: <ul style="list-style-type: none"> • Case 1: the data is correct, no amendment is required: <ul style="list-style-type: none"> • AIS notifies (IE330) to the Trader at Entry (Carrier) that the goods are allowed to enter and ready to be assigned to a customs approved treatment or use; • The IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) at the Actual Office of (first or subsequent) Entry is set to 'Entry allowed'.; • In case of an ENS, the data become summary declaration data (by updating the IMPORT OPERATION STATE); • AIS makes the data available to the subsequent customs approved treatment or use. • Case 2; the data is not correct and need to be amendment: <ul style="list-style-type: none"> • The data needs to be corrected before goods are assigned to a customs approved treatment or use, therefore the appropriate data is updated by the Customs; • AIS communicates (IE329) the corrected data concerning the goods allowed to enter (to be assigned to a customs approved treatment or use) to the Trader at Entry (Carrier).; • The IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) at the Actual Office of (first or subsequent) Entry is set to 'Entry allowed'.; • In case of an ENS, the data become summary declaration data; • AIS makes the corrected data available to the subsequent customs approved treatment or use. - Where not satisfactory: <ul style="list-style-type: none"> • The Customs Officer records not satisfactory control results; • Goods are refused to enter the Customs territory of the Community; • AIS communicates (IE322) it to the Trader at Entry (Carrier); • The IMPORT OPERATION STATE of the ENS goods item(s)/Summary declaration goods item(s) at the Actual Office of (first or subsequent) Entry is set to 'Stopped at Entry'. 	

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<p>Final situation : Control results are recorded in AIS.</p> <p>Final situation: Either, the goods are ready to enter the Customs territory of the Community and the subsequent customs procedure can be initiated , or the goods are stopped at the Actual Office of (first or subsequent) Entry.</p>

Major Results

R_Summary declaration available to a customs approved treatment or use
Organisation : National Customs Administrations
Location : Actual Office of (first or subsequent) Entry
Either, the ENS is converted into an accepted summary declaration data or the summary declaration is accepted. The subsequent customs procedure can be initiated and processed.

R_Goods allowed to to be assigned to a customs approved treatment or use
Organisation: National Customs Administration
Location : Premises of the Trader at Entry (Carrier)
The Trader at Entry (Carrier) is notified of the fact that the goods are allowed to be assigned to a customs approved treatment or use.

Minor Results

R_Trader at Entry (Carrier) notified of a control
Organisation: National Customs Administration
Location: Premises of the Trader at Entry (Carrier)
The Trader at Entry (Carrier) is notified of the fact that Customs will perform a control on the consignment.

R_Goods not allowed to be assigned to a customs approved treatment or use
Organisation: National Customs Administration
Location: Premises of the Trader at Entry (Carrier)
The Trader at Entry (Carrier) is notified of the fact that the goods are not allowed be assigned to a customs approved treatment or use.

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6. AIS MODULE 4

6.1 INTRODUCTION

This module deals with the handling of the **customs declarations**.

This Module will be developed in the context of the MCC.