AT autoridade tributária e aduaneira

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Assunto: PLANO DE CONTINUIDADE ICS2

O Sistema de Controlo das Importações 2 (ICS2) é um sistema avançado de informação sobre a carga, tendo como objetivo melhorar a segurança no transporte internacional de mercadorias e na cadeia de abastecimento das mesmas. Todos os Operadores Económicos (OE) que introduzem ou transportam mercadorias na UE devem submeter os dados de segurança e controlo no sistema, através da Declaração Sumária de Entrada (DSE).

Com base na DSE, todas as mercadorias são sujeitas a uma análise de risco em matéria de segurança e proteção, bem como a controlos que permitem identificar potenciais riscos e intervir de forma mais eficaz na cadeia de abastecimento, facilitando o fluxo legítimo de mercadorias.

Neste contexto, a Comissão Europeia divulgou o Plano de Continuidade do ICS2 - *Business continuity plan for Economic Operators* ICS2, que se publica em anexo a este Ofício.

O mesmo pode, ainda, ser consultado em:
https://info-aduaneiro.portaldasfinancas.gov.pt/pt/informacao_aduaneira/ICS2/Paginas/default.aspx

O Plano de Continuidade descreve o impacto num processo operacional e avalia a criticidade da indisponibilidade de um determinado componente do ICS2 (sistemas dos operadores económicos, componentes centrais do ICS2 ou componentes do Estado-Membro). Além disso, introduz procedimentos para manter um nível adequado de continuidade das atividades, abrangendo medidas para a manutenção dos processos operacionais das componentes do ICS2 em caso de:

- indisponibilidade programada;
- indisponibilidade não programada;
- lentidão do sistema.

Por fim, salienta-se que o Plano de Continuidade não é um sistema informático alternativo, apenas tem por função assegurar a continuidade das formalidades de entrada durante períodos de indisponibilidade (programadas ou não) ou lentidão do sistema.

Anexo: Plano de Continuidade do ICS2 - *Business continuity plan for Economic Operators* ICS2

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DG TAXUD

Business continuity plan for Economic Operators

ICS2

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1.90	11.09.2026	DG TAXUD	Document is updated after ECCG and TCG review. Document prepared for publication.
1.80	15.07.2026	DG TAXUD	Document is updated for ECCG and TCG review. Main changes are related to EO system unavailability reporting by EO or IT service providers and DG TAXUD have introduced a new chapter 5 defining MS tasks and responsibilities related to ICS2 BCP.
1.70	18.12.2025	DG TAXUD	Document is updated after ECCG and TCG review. Document prepared for publication.
1.60	27.11.2025	DG TAXUD	Document is updated after DG TAXUD and ICS2 Expert group review. Document prepared for ECCG and TCG review.
1.50	30.10.2025	DG TAXUD	Document is updated as per discussions during the ICS2 Expert group meeting to update ICS2 Business Continuity plan on 18.09.2025 and 09.10.2025. Submitted for internal review and ICS2 Expert group review.
1.40	22.10.2024	DG TAXUD	Document prepared for publication.
1.32	17.10.2024	DG TAXUD	Document is updated to implement the comments received from Member States.
1.31	15.10.2024	DG TAXUD	Document is updated to implement the comments received from Member States.
1.30	09.10.2024	DG TAXUD	Document is updated to clarify what can cause the unavailability (Chapter 2) and measures that

			can be taken by National Service Desk and DG TAXUD to minimise the impact of certain actions to ICS2 Central components and ICS2 National components availability (Chapter 3). Chapter 6 is updated to align it with the current situation.
1.20	28.07.2023	DG TAXUD	• Cross-references updated in all the document; • Section 3.2.2 updated by removing statement that UUM&DS national component information is cached in TAPAS for 24 hours and descriptions having impact of this change.
1.10	10.06.2022	DG TAXUD	Document updated to implement DG TAXUD, ECCG and TCG comments. Sent out for approval (SfA).
1.04	08.06.2022	DG TAXUD	Document updated to implement ITSM3 and QA4 comments.
1.03	04.04.2022	DG TAXUD	The following sections were updated based on the input from the expert group held on 30.03.2022. – sections 3.4 and 3.6.1. Submitted for review (SfR).
1.02	24.03.2022	DG TAXUD	Document updated based on the input from the expert group held on 16.02.2022 and 09.03.2022.
1.01	07.02.2022	DG TAXUD	Document updated to cover ICS2 Release 1 and ICS2 Release 2 needs. Sent out to ICS2 Expert group for information before the second expert group meeting planned on 16.02.2022.
1.00	11.02.2021	DG TAXUD	Submitted for approval (SfA)
0.60	11.02.2021	DG TAXUD	Document updated after ITSM3 TES and Member State review
0.50	09.12.2020	DG TAXUD	Document updated based on the input from the PG held 30.11.2020
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0.30	13.10.2020	DG TAXUD	Document updated with more detailed information
0.20	11.09.2020	DG TAXUD	Document updated based on the first PG 24.07.2020 input
0.10	24.07.2020	DG TAXUD	Initial draft of the document

TABLE OF CONTENTS

1 INTRODUCTION 6
1.1 Purpose 6
1.2 Scope 6
1.3 Target Audience 6
1.4 Structure of this document 6
1.5 Reference and applicable documents 8
1.5.1 Reference Documents 8
1.6 Abbreviations and Acronyms 8
1.7 Definitions 9
2 SOURCES OF SYSTEM UNAVAILABILITY/SLOWDOWN 11
3 BUSINESS CONTINUITY MEASURES AND COMMUNICATION 12
3.1 Economic operator system unavailability 12
3.1.1 Unavailability identification and notification 13
3.1.2 Activation of Business continuity plan 13
3.1.3 Business continuity measures 14
3.1.4 Recovery communication 14
3.1.5 Recovery measures 15
3.2 TI unavailability 16
3.2.1 UUM&DS Central component unavailability 16
3.2.2 UUM&DS National component unavailability 19
3.2.3 TAPAS unavailability 22
3.2.4 STI (including STP) unavailability 26
3.3 ICS2 Common and/or ICS2 National component unavailability 29
3.3.1 Unavailability identification and notification 29
3.3.2 Activation of Business continuity plan 30
3.3.3 Business continuity measures 30
3.3.4 Recovery communication 31
3.3.5 Recovery measures 32
3.4 MON&BS or STP unavailability 33
3.4.1 MON&BS unavailability 33
3.4.2 STP unavailability 33
3.5 ICS2 Message prioritisation 34
3.5.1 External domain messages 34
3.6 Information to be provided upon unavailability reporting and activation/deactivation of BCP 35
3.6.1 EO – unavailability reporting: 35
3.6.2 EO – recovery reporting: 35
3.6.3 CSD and NSD – unavailability reporting: 35
3.6.4 CSD and NSD – recovery reporting: 35
3.6.5 Content of notifications to be sent to EO and IT service provider: 35
3.6.6 Content of e-mail notifications to be sent to NSD: 36
3.7 Scheduled unavailability 36
4 ICS2 COMPONENT SLOWDOWN 37
4.1 Slowdown identification and notification 37
4.2 Measures during slowdown 37
4.3 Slowdown recovery 38
4.4 Information to be provided upon ICS2 component slowdown 38

4.4.1 OPS – slowdown reporting: 38
4.4.2 OPS – slowdown recovery reporting: 38
4.4.3 Content of notifications to be sent to EO and IT service provider: 38
4.4.4 Content of e-mail notifications to be sent to NSD: 39
5 MEMBER STATE TASKS AND RESPONSIBILITIES 40
5.1 Reporting 40
6 TRANSITIONAL PROVISIONS 41

1 INTRODUCTION

1.1 Purpose

This document describes the impact on a business process and assesses the criticality of an unavailability of a given component of the ICS2 (economic operators' systems, ICS2 Central components or Member State NES components). Furthermore, it introduces measures to maintain an appropriate level of business continuity with regard to the required customs formalities on the entry of goods.

1.2 Scope

This document:

- covers the measures for continuity of the business processes of ICS2 components in case of:
  - scheduled unavailability or
  - unscheduled unavailability or
  - slowdown.
- defines MS tasks and responsibilities in application of the rules defined in this document.

DG TAXUD Business continuity plan, DG TAXUD IT Business continuity management systems (IT BCMS), any Member State business continuity plan (including for NCTS-P6 (opt-in) that facilitate lodgement of Entry Summary declaration (ENS) data in ICS2), economic operator business continuity plan and/or IT service provider Business continuity plan, Member State IT Business continuity plans, Disaster recovery plans and/or IT protocols for technical issues are not covered by this document. These artefacts are elaborated separately.

1.3 Target Audience

The intended audience for this document are:

- Economic operators having legal obligation to use ICS2;
- IT service providers providing services to those economic operators;
- DG TAXUD;
- DG TAXUD Central service desk;
- National service desks of the Member States;
- ICS2 users working for Member State Customs authorities;
- DG TAXUD development contractor.

1.4 Structure of this document

The document contains the following chapters:

- **Chapter 1 – Introduction**: describes the scope and the objectives of the document.
- **Chapter 2 – Sources of system unavailability/slowdown:** provides the system components of ICS2 and a brief description of the impact on the business process.
- **Chapter 3 – Business continuity measures and communication**: provides business continuity measures, communication of unavailability, and activation of the BCP and recovery of the system, as well as recovery strategy from a business perspective.
- **Chapter 4** – **ICS2 component slowdown:** provides slowdown definition, criteria to identify slowdown and communication of slowdown and slowdown recovery.
- **Chapter 5 – Member State tasks and responsibilities:** describes MS tasks and responsibilities in application of the rules defined in this document.

- **Chapter 6 – Transition provisions:** provides instructions to NSD how to register EO system unavailabilities in MON&BS while corresponding STP functionality is not implemented and deployed.

1.5 Reference and applicable documents

1.5.1 Reference Documents

Ref.	Title	Reference	Version	Date
R01	Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code			
R02	Commission Delegated Regulation (EU) 2015/2446 of 28 July 2015 supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards detailed rules concerning certain provisions of the Union Customs Code			
R03	Commission Implementing Regulation (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code			
R04	SD3-ICS2-HTI-Interface Control Document		4.10	09.01.2026

Table 1: Reference documents

1.6 Abbreviations and Acronyms

Abbreviation/Acronym	Definition
AEO	Authorised economic operator
ANES	Arrival component of Member state's National entry system
asap	As soon as possible
BCP	Business continuity plan
CCN2ng	Common Communications Network 2
CFU	Customs office of unloading
CNES	Controls component of Member state's National entry system
COFE	Customs office of the first entry
CR	ICS2 Common Repository
CSD	Central Service Desk
DES	Customs office of destination
DG TAXUD	Directorate General Taxation and Customs Union
DNL	Do Not Load
ECCG	Electronic Customs Coordination Group
ENS	Entry Summary Declaration
EO	Economic operator
EU	European Union
HRCM	High Risk Cargo and Mail
HTI	Harmonised trader interface
ICS2	Import Control System 2
IMS	Involved Member State
MON&BS	ICS2 Monitoring & Business Statistics
MRN	Master Reference Number

MS	Member State
NCTS-P6 (opt-in)	New Computerised Transit System – Phase 6 for opt-in countries
NES	National Entry System
NSD	National Service Desk
NTI	National Trader Interface
OPS	IT operations and service management – Operations
PNES	Presentation component of Member State's National entry system
RfI	Request for Information
RfS	Request for HRCM Screening
RMS	Responsible Member State
STI	Shared Trader Interface
STP	STI Shared Trader Portal
TCG	Trade Contact Group
TI	Trader Interface
UUM&DS	Uniform User Management and Digital Signatures
24/7	24 hours per day and 7 days per week

Table 2: Abbreviations and acronyms

1.7 Definitions

Term	Description
Amendment	ENS filing (IE3Axx) lodged by EO to amend previously lodged ENS filing.
asap	As soon as possible but no later than 30 minutes since the moment it is possible to perform this action.
Central service desk (CSD)	The DG TAXUD contractor responsible for the central operation in ICS2 (ITSM) with 1st level and 2nd level support.
EO system	System developed by economic operator or IT service provider used to exchange ICS2 messages.
ICS2 Central components	ICS2 CR, STI (including STP), TAPAS, UUM&DS Central component, CCN2ng, and MON&BS.
ICS2 Common components	ICS2 Central components except those being part of Trader interface (section 3.2).
ICS2 components	EO system, ICS2 Central components and ICS2 National components.
ICS2 National components	NES (RMS), NES (IMS), NES (ANES), NES (PNES), NES (CNES) and UUM&DS National component.
Invalidation	Request (IE3Q04) sent by EO to invalidate previously lodged ENS filing.
IT service provider	IT service provider is entity acting as a technical sender of the messages and assuming only technical responsibility.
IT operations and service management – Operations (OPS)	The DG TAXUD contractor responsible for IT operations and system/service monitoring.
Member state	All European Union Member states and other countries and territories applying EU customs legislation.
Member State of registration	Member State of the European Union that has registered economic operator for customs purposes and has issued EORI number.

MS via MON&BS	Article 105 (4) of COMMISSION IMPLEMENTING REGULATION (EU) 2023/1070 state that MS should apply BCP in case of ICS2 component unavailability. By approving this document Member States agree that BCP is going to be activated by MON&BS without human intervention and notified to EOs (including IT service providers) via STP in accordance with the requirements of this procedure.
MS user	Customs officer, risk analyst or any other person in particular Member state using ICS2.
National service desk	A service component of the National support Centre provided by every national administration to provide support to both internal MS users and external end-users (local economic operators) in the daily use of the ICS2.
NCTS-P6 (opt-in)	Opt-in version of the NCTS-P6 acts as NTI version for economic operators.

Table 3: Definitions

2 SOURCES OF SYSTEM UNAVAILABILITY/SLOWDOWN

Depending on the source of unavailability/slowdown, business continuity procedures will have to vary to some extent due to their effectiveness provided in a given case. Looking at it from an end-to-end perspective, the following causes of unavailability/slowdown of an electronically supported business process were identified:

- a relevant electronic system of the economic operator is unavailable;
- a relevant electronic national customs application or supporting system is unavailable;
- a relevant central component service is unavailable/slower;
- EO system is sending messages in abnormal high level disrupting the regular performance of the ICS2 Central components and/or ICS2 National components;
- EO system is not consuming messages sent by the ICS2 Central components disrupting the regular performance of the ICS2 Central components.

Service providers who provide services for economic operators (e.g. network connectivity, software for electronic communication/connection with relevant customs systems etc.) are not considered being directly responsible with regard to legal requirements stemming from the customs legislation. Nevertheless, they have a responsibility to fulfil the contractual requirements of the established contract with an economic operator and act in accordance with this procedure if economic operator has empowered IT service provider to report unavailability and recovery of system on behalf of that economic operator.

In order to implement a sufficient business continuity plan that is underpinned by effective measures the following factors are to be considered:

- What system component is not available or has a malfunction seriously affecting the business operations?
- What is the impact of the unavailability of the given system component on the end-to-end process?
- What are the available effective options for efficient and appropriate measures to overcome the impact?

The following matrix shows the relevant ICS2 components and their impact on the business process in case of unavailability:

IT Component			CAPABILITIES								
			Send ENS	Register and send MRN	Lifecycle validation	Referrals	Assessment Complete	DNL	Arrival	Presentation	Controls
EO System			3			3	2	2	2		1
TI	TAPAS		3			3	3	3	2		1
TI	UUM&DS	Central Component	2			2			2		
TI	UUM&DS	National Component	2			2			2		
TI	STI	STI		3		3	3	3	2		1
TI	STI	STP	3	3		3	3	3	2		1
ICS2 Common components					3	3	3	3	3	3	3
ICS2 National components						2			2	3	3
			Category A1 - EOS impacted			Category A1 - EOS impacted				Category B - less time critical	

Impact of Component Unavailability on capability	
3	Total disfunction
2	Partial disfunction / degradation
1	Limited disfunction (non essential)
	No impact

Table 4 System unavailability

ICS2 Central component slowdown has impact on the ICS2 business processes nevertheless, these are not blocked therefore no business continuity measures will be envisaged in case of slowdown.

The following subsections will further describe the business continuity measures to be applied in case of unavailability/slowdown.

3 BUSINESS CONTINUITY MEASURES AND COMMUNICATION

An economic operator is directly responsible to comply with legal requirements of the customs legislation. IT service provider, CSD and DG TAXUD will support the business continuity process but the competent customs office is always the one taking decisions and providing instructions for EOs having legal obligation to lodge an ENS in that office in case of unavailability of ICS2 components. Additional MS tasks and responsibilities are further elaborated in chapter 5.

Unavailability (scheduled or unscheduled) is recorded by EO and/or its IT service provider in STP (see also chapter 6). Upon registration of unavailability and/or activation/deactivation of BCP:

- EO is notified about the ICS2 National components/ICS2 Central components unavailability, activation/deactivation of BCP and ICS2 component slowdown/slowdown recovery via e-mail notifications sent out from MON&BS. In order to get those e-mail notifications EO must log-in ICS2 STP[1] and configure his/her e-mail address;
- EO can search for ICS2 National components/ICS2 Central components and EO system (only registered by him/her or on behalf of him/her) unavailability and BCP information in STP for an ongoing and historical (up to 9 month old) unavailabilities.

Once BCP is activated in MON&BS it is applicable in all MS.

3.1 Economic operator system unavailability

The unavailability of an economic operator's system affects either one economic operator or several economic operators, which e.g. are customers of an IT service provider.

The business continuity measures will depend on which part of the end-to-end process is affected – whether the ENS filing is already lodged or not, whether consignments have arrived or not etc.

	CAPABILITIES								
IT Component	Send ENS	Register and send MRN	Lifecycle validation	Referrals	Assessment Complete	DNL	Arrival	Presentation	Controls
EO System	3			3	2	2	2		1

Table 5 EO System unavailability

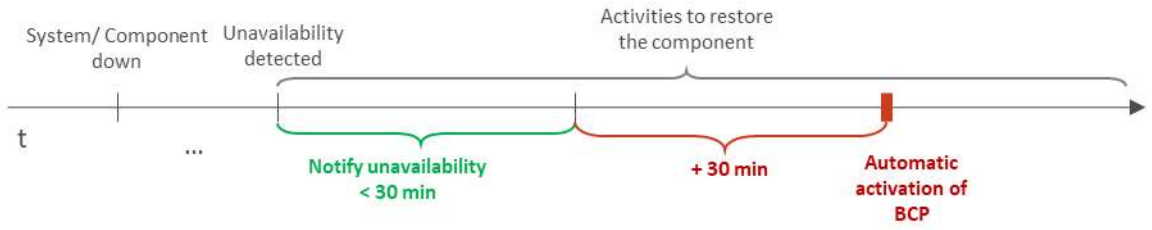

Figure 1 Business continuity plan activation timeline for EO system

The EO system is considered to be unavailable when it cannot interact (send and/or receive messages) as per the specifications of ICS2 regardless of the reason with exception if it cannot interact as per the specifications of ICS2 due to unavailability of ICS2 component being described in sections 3.2 and 3.3 and corresponding unavailability information is already communicated to EO via STP. If the EO system unavailability can be compensated (alternatively handled) by another facility of the economic operator, IT service provider, by

[1] For more details on how to get access rights to ICS2 STP, you can consult https://taxation-customs.ec.europa.eu/customs/customs-security/import-control-system-2_en

functionality provided by ICS2 Central components (e.g. STP[2]) or by functionality provided by Member States (e.g. NTI, NCTS-P6 (opt-in)) without impact on the operations continuity, EO can use this functionality despite BCP for EO system is activated.

3.1.1 Unavailability identification and notification

Actor	Actions to be taken by actors	Timeframe for actions
Relevant EO	EO using IT service provider services can empower IT service provider to notify EO system unavailability in STP (see also chapter 6). Legal obligation to lodge ENS, respond to referral requests etc. remain on EO itself and empowerment of IT service provider does not absolve EO from responsibility in case IT service provider has not notified unavailability of EO system.	When necessary
	Once the EO has detected an unavailability in its system or system components having impact on operations continuity, the unavailability has to be notified by using STP (see also chapter 6). This can be done by EO or IT service provider (if EO is using IT service provider services). Nevertheless, EO should ensure that information on unavailability is not duplicated in STP. All MS will be notified about EO system unavailability. The unavailability must be registered in STP and it has to contain all the details as elaborated in [3.6.1].	< 30 min
IT Service provider	Only in cases when EO has empowered its IT Service provider to notify unavailability, IT service provider in case of its system unavailability can notify it on behalf of EO by using STP [3.6.1] (see also chapter 6) by indicating all the EO (IT service provider clients) being impacted by the IT service provider system unavailability. Unavailability is reported in accordance with agreements reached between EO and IT service provider. If IT service provider will notify unavailability of several EOs at the same time all MS will receive e-mail notification.	< 30 min
All NSDs	The NSD of MS will immediately receive e-mail notification on EO system unavailability [3.6.6]. Information on EO system unavailability should be disseminated to MS users.	asap

3.1.2 Activation of Business continuity plan

Actor	Actions to be taken by actors	Timeframe for actions
MS via MON&BS	If the EO system is not restored within 30 minutes since unavailability was reported (EO system recovery is not registered in STP (see also chapter 6)) by EO or IT service provider the business continuity plan is automatically activated.	Date/time of unavailability notification + 30 min
All NSDs	Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users.	asap
Impacted EO and IT service provider	Is able to search for an ongoing and historical (up to 9 month old) unavailabilities in STP (see also chapter 6) that contain information on activation of BCP [3.6.5].	asap

[2] STP can be used to get DNL and referral request notifications in case of EO system and TAPAS unavailability. EO should manually activate this option in STI-STP Manage preferences tab.

3.1.3 Business continuity measures

Step in a business process	BCP measure for EO
BCP measure – Lodgement of new ENS	
ENS filings	No new ENS filings will be lodged during the unavailability of the component by using EO system.
	New ENS filings can be lodged during the unavailability of the component via STP. EO is free to choose whether to use STP functionality or not to lodge new ENSs.
Amendment	No amendments will be done on the already lodged ENSs via EO system.
	ENS lodged via STP can still be amended via STP.
Invalidation	Invalidation of ENS will not be performed by using EO system.
	ENS lodged via STP can still be invalidated via STP.
BCP measure – Risk assessment of already lodged ENSs	
Referral requests (RFI, RFS) to the EO	Receive via STP or via alternative communication channels – e-mail, phone, etc. in case of STP unavailability.
Referral responses from the EO	Communicate via alternative communication channels – e-mail, phone, etc.
DNL	Receive via STP and via phone and e-mail.
Assessment complete notification	Cannot receive during component unavailability.
Advance control notification to AEO	Receive via alternative communication channels – e-mail, phone, etc.
BCP measure – Arrival notification	
Arrival notification	Lodge via STP.
	Lodge via NES (ANES) of COFE (if that particular COFE provide a national arrival system). EO is free to choose whether to use NES (ANES) functionality or not to lodge arrival notification.
	No new arrival notification will be lodged via EO system during EO system unavailability.
Control notification	Is received via NES (ANES) and/or via alternative communication channels – NES (ANES), NES (PNES), e-mail, phone, etc.
BCP measure – Presentation and controls	
Presentation information	No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs.
Controls and control results	No impact.

3.1.4 Recovery communication

Actor	Actions to be taken by actor	Timeframe for actions
Impacted EO or IT Service provider	Once the EO system has been restored this has to be notified by the actor who notified this unavailability by using STP [3.6.2] (see also	asap

	chapter 6) must update previously registered unavailability by indicating unavailability end date/time. After updating unavailability record BCP will be automatically deactivated and EO and where applicable IT service provider will be able to consult this information in STP [3.6.5].	
All NSDs	Get e-mail notification on EO system recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users.	asap
DG TAXUD	In case DG TAXUD has decided to limit EO system access to ICS2 Central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	asap

3.1.5 Recovery measures

Component	Actions to be taken by actors
EO system	**EO must lodge ENS filings for all the consignments that have not yet been lodged during EO system unavailability.**
	EO can amend and invalidate the ENS filings via EO system which are not yet in the state 'Presented' or later state.
	EO must provide referral responses via EO system that have been provided via alternative communication channels retroactively.
	EO can waive lodgement of arrival notification in case of carrier intends to unload all the consignments of particular ENS from the means of transport and present it to the COFE. If this is not the case and some consignments remain on board of the means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If EO has presented consignments to customs before component has been recovered it is possible that EO will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
	The messages need to be sent in quantities (not more than 400 messages per second) in order not to disrupt the regular performance of the TI due to abnormally high levels. The messages must be distributed in accordance with the assigned priority in the section 3.5. In case messages are sent in quantities that disrupt the regular performance of the ICS2 Central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 Central components by technical means.
ICS2 Central components	The TI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol.
ICS2 National components	Risk analysis/e-screening is performed on the provided ENSs even if with a delay.

3.2 TI unavailability

3.2.1 UUM&DS Central component unavailability

			CAPABILITIES								
	IT Component		Send ENS	Register and send MRN	Lifecycle validation	Referrals	Assessment Complete	DNL	Arrival	Presentation	Controls
TI	UUM&DS	Central Component	2			2			2		
		National Component	2			2			2		

Table 6 UUM&DS unavailability

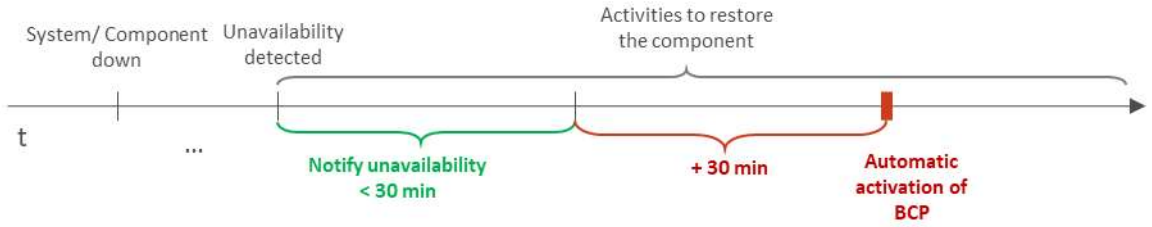

Figure 2 Business continuity plan activation timeline for UUM&DS component

The unavailability of the UUM&DS services prevents the system from identifying and authenticating the sender of a message. The messages submitted via EO system are rejected with an error message [R04] and it is not possible to authenticate STI and STP users. Consequently, the business process does not continue and messages are not registered, further processed and responded. Nevertheless, in case of UUM&DS unavailability EO can still receive messages via EO system addressed to him.

The UUM&DS component is considered unavailable in the case of the failover domain activation failure.

Nevertheless, the UUM&DS central component information is cached in TAPAS for 24 hours. In case of UUM&DS Central component unavailability an economic operator can send a message by using EO system within 24 hours from the moment the last message was accepted by STI. Therefore, those EOs using EO system can continue to exchange messages even if BCP has been activated.

3.2.1.1 Unavailability identification and notification

Actor	Actions to be taken by actors	Timeframe for actions
CSD	The CSD records unavailability in MON&BS [3.6.3]. The unavailability has to be recorded in MON&BS within 30 minutes from the moment unavailability was detected.	< 30 min
All NSDs	The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on particular ICS2 component unavailability [3.6.5].	asap

3.2.1.2 Activation of Business continuity plan

Actor	Actions to be taken by actors	Timeframe for actions
MS via MON&BS	If the UUM&DS Central component is not restored within 30 minutes since unavailability was reported by CSD (unavailability end date/time is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS.	Date/time of unavailability notification + 30 min

All NSDs	Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service providers) get e-mail notification and/or can check in STP (see also chapter 6) on activation of BCP [3.6.5].	asap

3.2.1.3 Business continuity measures

Step in a business process	BCP measure for EO
BCP measure – Lodgement of new ENS	
ENS filings	Authentication information is cached in TAPAS for 24 hours since the last message was sent from EO system to STI. Therefore, some EO system users could still be able to lodge ENSs for certain period of time.
	EO that is STP user and EO that has not sent any message via its EO system within the last 24 hours will not be able to lodge new ENS during the unavailability of the component via EO system and STP.
Amendment	Some EO system users could be able to lodge amendments for certain period of time.
	EO that is STP user and EO that has not sent any message via its EO system within the last 24 hours will not be able to lodge new amendments during the unavailability of the component via EO system and STP.
Invalidation	Some EO system users could be able to lodge invalidation requests for certain period of time.
	EO that is STP user and EO that has not sent any message via its EO system within the last 24 hours will not be able to lodge invalidation request during the unavailability of the component via EO system and STP.
BCP measure – Risk assessment of already lodged ENSs	
Referral requests (RFI, RFS) to the EO	Receive via EO system and alternative communication channels – e-mail, phone, etc.
	EO that is STP user will receive referral request via alternative communication channels – e-mail, phone, etc. and in STP after recovery of UUM&DS.
Referral responses from the EO	Send via EO system where still possible or communicate via alternative communication channels – e-mail, phone, etc.
DNL	Receive via EO system and via phone and e-mail.
Assessment complete notification	Receive via EO system or receive it with delay in STP.
Advance control notification to AEO	Receive via EO system or alternative communication channels – NES (PNES), e-mail, phone, etc.
BCP measure – Arrival notification	
Arrival notification	Submit via EO system.
	Submit via NES (ANES) of COFE (if that particular COFE provide a national arrival system). EO is free to choose whether to use NES (ANES) functionality or not to lodge arrival notification.
	EO that is STP user or EO that has not sent via EO system any message within the last 24 hours will not be able to lodge new arrival notification during the unavailability of the component via EO system and STP.

Control notification	Receive via EO system or alternative communication channels – NES (ANES), NES (PNES), e-mail, phone, etc.
BCP measure – Presentation and controls	
Presentation information	No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs.
Controls and control results	No impact.

3.2.1.4 Recovery communication

Actor	Actions to be taken by actor	Timeframe for actions
CSD	When component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated.	asap
All NSDs	Get e-mail notification on UUM&DS Central component recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service providers) get e-mail notification and/or can check in STP (see also chapter 6) on deactivation of BCP [3.6.5].	asap
DG TAXUD	In case DG TAXUD has decided to limit EO system access to ICS2 Central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	asap

3.2.1.5 Recovery measures

Component	Actions to be taken by actors
EO system, STP	**EO must lodge ENS filings for all the consignments that have not yet been lodged during UUM&DS central component unavailability.**
	EO can amend and invalidate the ENS filings which are not yet in the state 'Presented' or later state.
	EO must provide referral responses that have been provided via alternative communication channels.
	EO can waive lodgement of arrival notification in case of carrier intend to unload all the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
	The messages need to be sent in quantities (not more than 400 messages per second) not to disrupt the regular performance of the TI due to abnormally high levels. The messages must be distributed in accordance with the assigned priority. In case messages are sent in quantities that disrupt the regular performance of the ICS2 Central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 Central components by technical means.
ICS2 National component	Risk analysis/e-screening is performed to the provided ENSs even if with a delay.

3.2.2 UUM&DS National component unavailability

	IT Component		CAPABILITIES								
			Send ENS	Register and send MRN	Lifecycle validation	Referrals	Assessment Complete	DNL	Arrival	Presentation	Controls
TI	UUM&DS	Central Component	2			2			2		
		National Component	2			2			2		

Table 7 UUM&DS unavailability

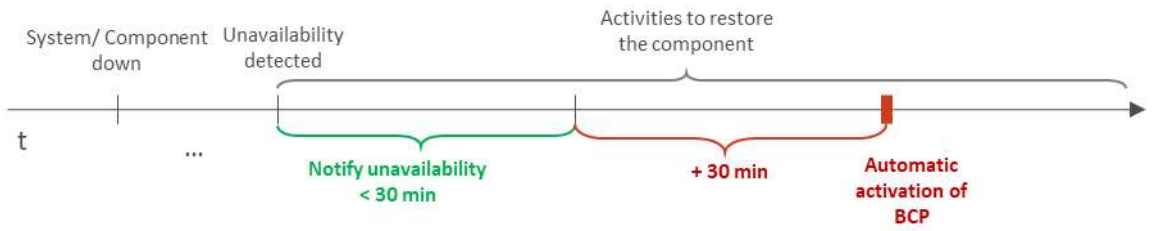

Figure 3 Business continuity plan activation timeline for UUM&DS component

The unavailability of UUM&DS National component will prevent the system from identifying and authenticating the sender of a message. The messages submitted via EO system are rejected with an error message and it is not possible to authenticate STI and STP users. Consequently, the business process does not continue and messages are not registered, further processed and responded. Nevertheless, in case of UUM&DS unavailability EO can still receive messages via EO system addressed to him.

The UUM&DS national component is considered unavailable in the case of the failover domain activation failure.

3.2.2.1 Unavailability identification and notification

Actor	Actions to be taken by actors	Timeframe for actions
NSD	The impacted NSD of the affected MS records unavailability in MON&BS [3.6.3]. The unavailability notification has to be recorded in MON&BS within 30 minutes from the moment unavailability was detected.	< 30 min
All NSDs	NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check STP (see also chapter 6) on particular ICS2 component unavailability [3.6.5].	asap

3.2.2.2 Activation of Business continuity plan

Actor	Actions to be taken by actors	Timeframe for actions
MS via MON&BS	If the UUM&DS National component is not restored within 30 minutes since unavailability was reported by NSD (unavailability end date/time is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS.	Date/time of unavailability notification + 30 min

All NSDs	Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on activation of BCP [3.6.5].	asap

3.2.2.3 Business continuity measures

Step in a business process	BCP measure for EO
BCP measure – Lodgement of new ENS	
ENS filings	No new ENS filings can be lodged.
Amendment	No new ENS amendments can be lodged.
Invalidation	Invalidation of ENS will not be performed.
BCP measure – Risk assessment of already lodged ENSs	
Referral requests (RFI, RFS) to the EO	Receive via EO system and alternative communication channels – e-mail, phone, etc.
	EO that is STP user will receive referral request via alternative communication channels – e-mail, phone, etc. and in STP after recovery of UUM&DS.
Referral responses from the EO	Communicate via alternative communication channels – e-mail, phone, etc.
DNL	Receive via EO system and/or via phone and e-mail.
Assessment complete notification	Receive via EO system or receive it with delay in STP.
Advance control notification to AEO	Receive via EO system or alternative communication channels – NES (PNES), e-mail, phone, etc.
BCP measure – Arrival notification	
Arrival notification	Submit via NES (ANES) of COFE (if that particular COFE provide a national arrival system). EO is free to choose whether to use NES (ANES) functionality or not to lodge arrival notification.
	EO will not be able to lodge new arrival notification during the unavailability of the component via EO system and STP.
Control notification	Receive via EO system or alternative communication channels – NES (ANES), NES (PNES), e-mail, phone, etc.
BCP measure – Presentation and controls	
Presentation information	No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs.
Controls and control results	No impact.

3.2.2.4 Recovery communication

Actor	Actions to be taken by actor	Timeframe for actions
NSD	The impacted NSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4].	asap

All NSDs	Get e-mail notification on UUM&DS National component recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service providers) get e-mail notification and/or can check in STP (see also chapter 6) on deactivation of BCP [3.6.5].	asap
DG TAXUD	In case DG TAXUD has decided to limit EO system access to ICS2 Central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	asap

3.2.2.5 Recovery measures

Component	Actions to be taken by actors
EO system, STP	**EO must lodge ENS filings for all the consignments that have not yet been lodged during UUM&DS national component unavailability.**
	EO can amend and invalidate the ENS filings which are not yet in the state 'Presented' or later state.
	EO must provide referral responses that have been provided via alternative communication channels.
	EO can waive lodgement of arrival notification in case of carrier intend to unload the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If EO has presented consignments to customs before component has been recovered it is possible that EO will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
	The messages need to be sent in quantities (not more than 400 messages per second) not to disrupt the regular performance of the TI due to abnormally high levels. The resulting traffic should not exceed limits agreed on technical protocol. The messages must be distributed in accordance with the assigned priority. In case messages are sent in quantities that disrupt the regular performance of the ICS2 Central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 Central components by technical means.
ICS2 National components	Risk analysis/e-screening is performed to the provided ENSs even if with a delay.

3.2.3 TAPAS unavailability

		CAPABILITIES								
	IT Component	Send ENS	Register and send MRN	Lifecycle validation	Referrals	Assessment Complete	DNL	Arrival	Presentation	Controls
TI	TAPAS	3			3	3	3	2		1

Table 8 TAPAS unavailability

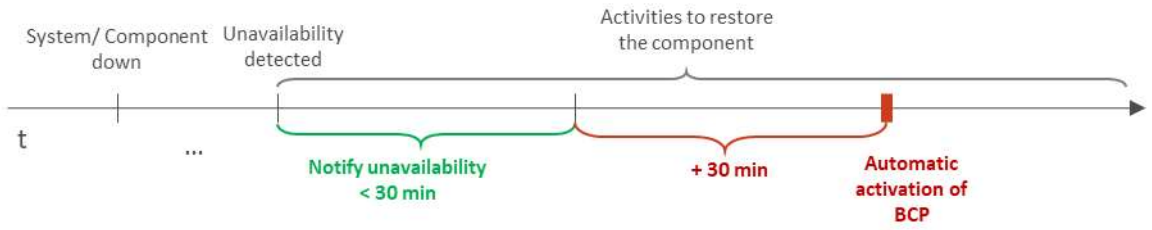

Figure 4 Business continuity plan activation timeline for TAPAS component

TAPAS is considered to be unavailable when it cannot interact as per the specifications regardless of the reason (incoming and/or outgoing messages are not exchanged as per specifications). This do not cover the cases when EO system or STI cannot exchange messages due to EO system and/or NES unavailability or e.g. configuration issues in one of those components.

TAPAS unavailability can be compensated (alternatively handled) by STP without impact on the operations continuity. For EO there is no reason to apply BCP measures if STP functionality can be used to ensure operations continuity.

3.2.3.1 Unavailability identification and notification

Actor	Actions to be taken by actors	Timeframe for actions
CSD	The CSD records unavailability in MON&BS [3.6.3]. The unavailability notification has to be recorded within 30 minutes from the moment when unavailability was detected. In case unavailability is caused by messages sent by EO system(s) in quantities e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex CSD informs DG TAXUD on EO system(s) that has disrupted the regular performance of the ICS2 Central components due to abnormally high levels.	< 30 min
All NSDs	The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on particular ICS2 component unavailability [3.6.5].	asap
DG TAXUD	• In case EO system(s) has sent messages in quantities disrupting the regular performance of the ICS2 Central components due to abnormally high levels, DG TAXUD can decide to limit EO system(s) access to ICS2 Central components by technical means. Access can be limited to entire system or particular functionality to ensure TAPAS recovery as soon as possible. • In case DG TAXUD has decided to limit EO system access to ICS2 Central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give	asap

	adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	

3.2.3.2 Activation of Business continuity plan

Actor	Actions to be taken by actors	Timeframe for actions
MS via MON&BS	If the TAPAS is not restored within 30 minutes since unavailability was reported by CSD (unavailability end date/time is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS.	Date/time of unavailability notification + 30 min
All NSDs	Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP get notification in it (see also chapter 6) on activation of BCP [3.6.5].	asap

3.2.3.3 Business continuity measures

Step in a business process	BCP measure for EO
BCP measure – Lodgement of new ENS	
ENS filings	No new ENS filings will be lodged during the unavailability of the component by using EO system.
	New ENS filings can be lodged during the unavailability of the component via STP. EO is free to choose whether to use STP functionality or not to lodge new ENSs.
Amendment	No amendments will be done on the already lodged ENSs via EO system.
	Only ENS lodged via STP can be amended via STP.
Invalidation	Invalidation of ENS will not be performed via EO system.
	Only ENS lodged via STP can be invalidated via STP.
BCP measure – Risk assessment of already lodged ENSs	
Referral requests (RFI, RFS) to the EO	Receive via STP.
Referral responses from the EO	Communicate via alternative communication channels – e-mail, phone, etc.
DNL	Receive via STP and via phone and e-mail.
Assessment complete notification	Receive via STP for ENSs lodged via STP.
	Cannot receive during component unavailability for ENSs lodged via EO system.
Advance control notification to AEO	Receive via STP for ENSs lodged via STP.
	Receive via alternative communication channels – e-mail, phone, etc.
BCP measure – Arrival notification	
Arrival notification	Lodge via STP.

	Lodge via NES (ANES) of COFE (if that particular COFE provide a national arrival system). EO is free to choose whether to use NES (ANES) functionality or not to lodge arrival notification.
	If it is not possible to lodge via STP or NES (ANES) of COFE, lodge via EO system. Arrival notification will be queued and processed after recovery of the component. If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
Control notification	Received via STP, NES (ANES) or via alternative communication channels – NES (PNES), e-mail, phone, etc.
BCP measure – Presentation and controls	
Presentation information	No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs.
Controls and control results	No impact.

3.2.3.4 Recovery communication

Actor	Actions to be taken by actor	Timeframe for actions
CSD	When component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated.	asap
All NSDs	Get e-mail notification on TAPAS recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on deactivation of BCP [3.6.5].	asap
DG TAXUD	In case DG TAXUD has decided to limit EO system access to ICS2 Central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	asap

3.2.3.5 Recovery measures

Component	Actions to be taken by actors
EO system	In case EO system access to ICS2 Central components was limited by technical means, EO must provide CSD, DG TAXUD and MS of registration with the information on actions taken to ensure controlled sending of messages (e.g. not exceeding 400 messages per second) to ICS2 Central components before it's access to ICS2 Central components is restored.
	EO must lodge ENS filings for all the consignments that have not yet been lodged during EO system unavailability.
	EO can amend and invalidate the ENS filings via EO system which are not yet in the state 'Presented' or later state.
	EO must provide referral responses that have been provided via alternative communication channels.
	EO can waive lodgement of arrival notification in case if carrier intend to unload the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged.

	If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
	The messages need to be sent in quantities (not more than 400 messages per second) not to disrupt the regular performance of the TI due to abnormally high levels. The messages must be distributed in accordance with the assigned priority in the section 3.5. In case messages are sent in quantities that disrupt the regular performance of the ICS2 Central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 Central components by technical means.
ICS2 Central components	The TI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol.
ICS2 National components	Risk analysis/e-screening is performed to the provided ENSs even if with a delay.

3.2.4 STI (including STP) unavailability

IT Component			CAPABILITIES								
			Send ENS	Register and send MRN	Lifecycle validation	Referrals	Assessment Complete	DNL	Arrival	Presentation	Controls
TI	STI	STI		3		3	3	3	2		1
		STP	3	3		3	3	3	2		1

Table 9 STI unavailability

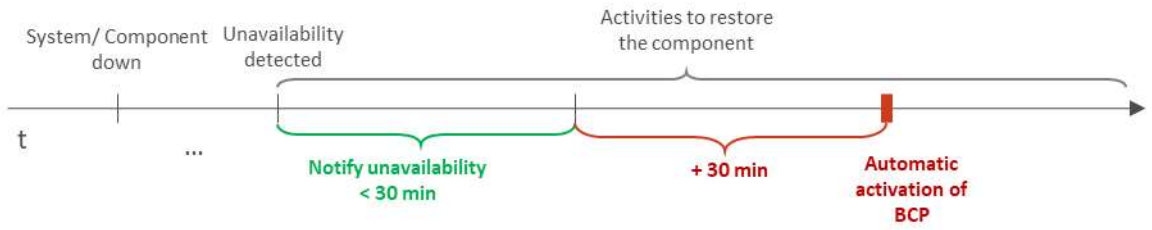

Figure 5 Business continuity plan activation timeline for STI component

STI (STP) is considered to be unavailable when message exchange cannot take place as per specifications regardless of the reason (incoming and/or outgoing messages are not exchanged as per specifications).

In case of unavailability of the STI (STP), economic operators are not able to use STP functionality to exchange any ICS2 messages. No messages from the economic operators will be functionally validated, registered and further processed. Moreover, no messages are sent to the economic operators for the ENSs which are already in process. The messages received from the EO system are stored and queued in TAPAS and can be processed when STI is available again. There is no need for the economic operators to re-send those messages. The outgoing STI messages are queued but not sent. The operations performed by the STI are completely blocked – no MRNs are generated and communicated.

3.2.4.1 Unavailability identification and notification

Actor	Actions to be taken by actors	Timeframe for actions
CSD	The CSD records unavailability in MON&BS [3.6.3]. The unavailability notification has to be recorded within 30 minutes from the moment unavailability was detected.	< 30 min
All NSDs	The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on particular ICS2 component unavailability [3.6.5].	asap

3.2.4.2 Activation of Business continuity plan

Actor	Actions to be taken by actors	Timeframe for actions
MS via MON&BS	If the STI (STP) is not restored within 30 minutes since unavailability was reported by CSD (unavailability end date/time is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS.	Date/time of unavailability notification + 30 min

All NSDs	Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service providers) get e-mail notification and/or can check in STP (see also chapter 6) on activation of BCP [3.6.5].	asap

3.2.4.3 Business continuity measures

Step in a business process	BCP measure for EO
BCP measure – Lodgement of new ENS	
ENS filings	New ENS filings can be lodged via EO system. MRN for that ENS filing will be generated upon recovery of the component and EO must not duplicate/resubmit ENS filings already lodged. If the message load is too large the NSD may request EO to delay sending of the messages.
	No new ENS filings can be lodged via STP.
Amendment	Amendments of the ENSs can be lodged via EO system, but already lodged ENSs will not be amended until the system is restored. EO must not duplicate/resubmit ENS amendment.
	No new ENS amendments can be lodged via STP.
Invalidation	Invalidation of ENS can be requested via EO system but will not be performed until the system is restored. EO must not duplicate/resubmit ENS invalidation request.
	Invalidation of ENS will not be performed via STP.
BCP measure – Risk assessment of already lodged ENSs	
Referral requests (RFI, RFS) to the EO	Receive via alternative communication channels – e-mail, phone, etc.
Referral responses from the EO	Responses to the referral requests received before unavailability of STI should be sent via EO system and via alternative communication channels – e-mail, phone, etc.
	Responses to the referral requests received during unavailability of STI should be sent via alternative communication channels – e-mail, phone, etc.
DNL	Receive via phone and e-mail.
Assessment complete notification	Is not sent to the EO system during the unavailability of STI. Receive with the delay.
Advance control notification to AEO	Receive via alternative communication channels – e-mail, phone, etc.
BCP measure – Arrival notification	
Arrival notification	Lodge via NES (ANES) of COFE (if that particular COFE provide a national arrival system). EO is free to choose whether to use NES (ANES) functionality or not to lodge arrival notification.
	Lodge via EO system. Arrival notification will be queued and processed after recovery of the component. If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
	If it is not possible to lodge via NES (ANES) of COFE and via EO system, lodgement of arrival notification can be waived in case of carrier intend to unload all the consignment of particular ENS from the means of transport and present it in the

	COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged with the delay.
Control notification	Receive via NES (ANES) or alternative communication channels – NES (PNES), e-mail, phone, etc.
BCP measure – Presentation and controls	
Presentation information	No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs.
Controls and control results	No impact.

3.2.4.4 Recovery communication

Actor	Actions to be taken by actor	Timeframe for actions
CSD	When component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated.	asap
All NSDs	Get e-mail notification on STI recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service providers) get e-mail notification and/or can check in STP (see also chapter 6) on deactivation of BCP [3.6.5].	asap
DG TAXUD	In case DG TAXUD has decided to limit EO system access to ICS2 Central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	asap

3.2.4.5 Recovery measures

Component	Actions to be taken by actors
EO system, STP	**EO must lodge ENS filings for all the consignments that have not yet been lodged via EO system or STP during STI (STP) unavailability.** EO does not need to resend ENS filings that has been sent to STI via EO system – these messages are queued and will be processed after STI (STP) recovery.
	EO can amend and invalidate the ENS filings that are not in state "Presented" or later state. If amendment or invalidation was already requested via EO system during the unavailability of STI (STP), no further actions from the EO are needed.
	EO must provide referral responses via EO system or STP that have been provided via alternative communication channels only. If referral responses were submitted via the EO system and alternative communication channels during the STI (STP) unavailability, no further actions from the EO are needed.
	EO can waive lodgement of arrival notification in case of carrier intend to unload the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If EO has presented consignments to customs before component has been recovered it is possible that EO will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
	The messages need to be sent in quantities (not more than 400 messages per second) in order not to disrupt the regular performance of the TI due to abnormal high levels.

	The resulting traffic should not exceed limits agreed on technical protocol. The messages must be distributed in accordance with the assigned priority (please see section 3.5). In case messages are sent in quantities that disrupt the regular performance of the ICS2 Central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 Central components by technical means.
ICS2 Central components	The TI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol.
ICS2 National components	Risk analysis/e-screening is performed to the provided ENSs even if with a delay.

3.3 ICS2 Common and/or ICS2 National component unavailability

	CAPABILITIES								
IT Component	Send ENS	Register and send MRN	Lifecycle validation	Referrals	Assessment Complete	DNL	Arrival	Presentation	Controls
ICS2 Common components			3	3	3	3	3	3	3
ICS2 National components				2			2	3	3

Table 10 ICS2 Common and/or ICS2 National component unavailability

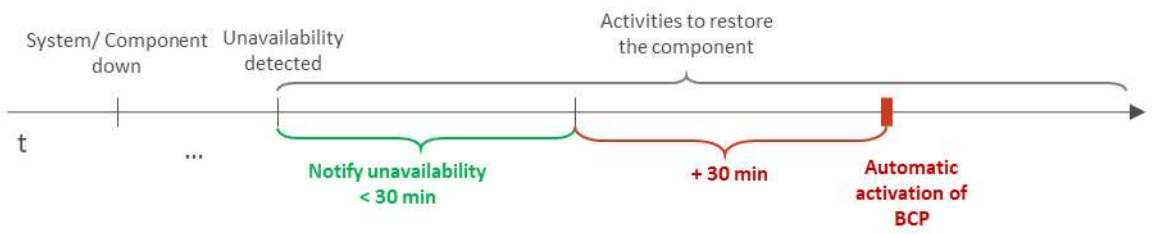

Figure 6 Business continuity plan activation timeline for ICS2 Common and/or ICS2 National component

All received messages will be queued during unavailability of component and processed after recovery.

The ENS filings will be validated by STI, registered, but it could have impact to ENS life cycle validation in some cases EO won't be informed on MRN and no risk analysis will be triggered/performed. The arrival notifications submitted via EO system or STP will be validated by STI, registered, but it could have impact to consignment state correctness checks and generation of MRN.

Communication between customs and EO on the ongoing risk analysis process, referrals and results of it via the system is not possible.

3.3.1 Unavailability identification and notification

Actor	Actions to be taken by actors	Timeframe for actions
CSD	The CSD records ICS2 Common component unavailability in MON&BS [3.6.3]. The unavailability notification has to be recorded within 30 minutes after unavailability was detected. In case unavailability or service degradation is caused by messages received from EO system, CSD informs DG TAXUD on system that has disrupted the	< 30 min

	regular performance of the ICS2 Common and/or ICS2 National component due to abnormally high levels.	
NSD	The impacted NSD records ICS2 National component unavailability in MON&BS [3.6.3]. The unavailability notification has to be recorded within 30 minutes after unavailability was detected.	< 30 min
All NSDs	The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on "ICS2 Common component and/or ICS2 National component" unavailability [3.6.5]. It is not disclosed to EOs which of above-mentioned components is unavailable.	asap
DG TAXUD	• In case EO system, STP and/or ICS2 National component has sent messages in quantities disrupting the regular performance of the ICS2 Common repository due to abnormally high levels, DG TAXUD can decide to limit system access to ICS2 Central components by technical means. Access can be limited to entire system or particular functionality to ensure ICS2 Common repository recovery as soon as possible. • In case DG TAXUD has decided to limit EO system access to ICS2 Central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	asap

3.3.2 Activation of Business continuity plan

Actor	Actions to be taken by actors	Timeframe for actions
MS via MON&BS	If the ICS2 Common component and/or ICS2 National component is not restored within 30 minutes since unavailability was reported by CSD or NSD (corresponding recovery notification is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS.	Date/time of unavailability notification + 30 min
All NSDs	Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on activation of BCP [3.6.5].	asap

3.3.3 Business continuity measures

Step in a business process	BCP measure for EO
BCP measure – Lodgement of new ENS	
ENS filings	No impact – lodge ENS filing via EO system and/or STP. MRN for that ENS filing will be communicated to EO upon recovery of the component and EO must not duplicate/resubmit ENS filings already lodged.
Amendment	No impact – amend via EO system and/or STP. Already lodged ENSs will not be amended until the system is restored. EO must not duplicate/resubmit ENS amendment.

Invalidation	No impact – invalidate via EO system and/or STP. ENS filing will not be invalidated until the system is restored. EO must not duplicate/resubmit ENS invalidation request.
BCP measure – Risk assessment of already lodged ENSs	
Referral requests (RFI, RFS) to the EO	Receive via alternative communication channels – e-mail, phone, etc.
Referral responses from the EO	Referral response to already received referral request should be sent via EO system or STP and in addition, need to be communicated via alternative communication channels – e-mail, phone, etc.
	Referral response to the request issued via alternative communication channels need to be communicated via alternative communication channels.
DNL	Receive via phone and e-mail.
Assessment complete notifications	It is possible that during unavailability EO receives both assessment complete and DNL. If this is the case priority is with DNL.
Advance control notification to AEO	Receive via alternative communication channels – NES (PNES), e-mail, phone, etc.
BCP measure – Arrival notification	
Arrival notification	Lodge via EO system, STP or NES (ANES) of COFE (if that particular COFE provide a national arrival system but EO is free to choose whether to use NES (ANES) functionality or not to lodge arrival notification): • Arrival notification lodged via EO system or STP will be queued and processed after recovery of the component; • Arrival notification lodged via NES (ANES) can be processed and the person notifying the arrival can get arrival registration response. Nevertheless, if EO has presented consignments to customs before component has been recovered it is possible that it will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state.
Control notification	Receive via alternative communication channels – NES (PNES), e-mail, phone, etc.
BCP measure – Presentation and controls	
Presentation information	No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs.
Control results	No impact.

3.3.4 Recovery communication

Actor	Actions to be taken by actor	Timeframe for actions
CSD	When ICS2 Common component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated.	asap
NSD	When ICS2 National component has been recovered the NSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated.	asap

All NSDs	Get e-mail notification on ICS2 Common component and ICS2 National component recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users.	asap
EO and IT service provider	EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on deactivation of BCP [3.6.5].	asap

3.3.5 Recovery measures

Component	Actions to be taken by actors
EO system, STP	Referral responses that have been provided only via alternative communication channels have to be sent via the system (EO system or STP) upon reception of corresponding referral request.
ICS2 Central components	Once the component is recovered, the message queues will be processed. There is no need for EO to re-send the messages. The sequence of message processing is based on priority defined in section 3.5.
ICS2 National component	Risk analysis/e-screening is performed to the provided ENSs even if with a delay.

3.4 MON&BS or STP unavailability

3.4.1 MON&BS unavailability

In case of MON&BS unavailability it won't be possible to record unavailability, recovery and/or activate/deactivate BCP for ICS2 components. In that case EO (including IT service provider), NSD and CSD should revert to e-mail communication. Rollback to e-mail procedure can be done by CSD and NSD:

- as soon as MON&BS is unavailable in case of scheduled unavailability;
- as soon as CSD has notified NSDs on unscheduled unavailability of MON&BS.

The principles who should notify unavailability remain the same as described in this document with the following deviations:

- EO (or IT service provider) should notify EO system unavailability and later recovery of the system to NSD of MS where EO has:
    - legal obligation to lodge ENS and arrival notification;
    - already lodged ENS but it has not received assessment complete messages after both pre-loading and pre-arrival RA.

  After recovery of MON&BS unavailability should be recorded by EO (IT service provider) in STP (see also chapter 6) retroactively.

- NSD should:
    - communicate ICS2 Central components and ICS2 National components unavailability/recovery information to EOs;
    - communicate ICS2 National components unavailability/recovery information to CSD;
    - activate BCP for all ICS2 components and communicate it to EOs and CSD (if ICS2 component has not recovered within 30 min since unavailability was notified);
    - deactivate BCP for all ICS2 components and communicate it to EOs and CSD.

- CSD should:
    - communicate ICS2 Central component unavailability/recovery to all NSDs;
    - forward ICS2 National component unavailability/recovery information received from NSD to all other NSDs.

Upon recovery, unavailability notified within the manual procedure and information on activation/deactivation of BCP should be recorded in MON&BS. This is done by:

- NSD for EO system and ICS2 National components unavailability, or
- CSD for ICS2 Central components unavailability.

3.4.2 STP unavailability

In case of STP unavailability it won't be possible for EO to record EO system unavailability and recovery and search for activation/deactivation of BCP for all ICS2 components.

The principles who should notify unavailability remain the same as described in this document with the following deviations:

- EO (or IT service provider) should notify EO system unavailability and later recovery of the system to NSD of MS where EO has:
    - legal obligation to lodge ENS and arrival notification;
    - already lodged ENS but it has not received assessment complete messages after both pre-loading and pre-arrival RA.

- NSD should record EO system unavailability/recovery in MON&BS.

3.5 ICS2 Message prioritisation

3.5.1 External domain messages

Priority	Message ID	Name	Full name	Process where it is used
B	IE3Fxx	E_ENS_xxx_DEC	ENS filing	L4-ICS2-01 Register filing
B	IE3Axx	E_ENS_xxx_AMD	ENS filing amendment	L4-ICS2-07 Amend filing
A	IE3Q01	E_DNL_REQ	Do Not Load request	L4-ICS2-03 Perform risk analysis
B	IE3Q02	E_REF_RFI_REQ	Additional information request	L4-ICS2-03-01 Send referral
A	IE3Q03	E_REF_RFS_REQ	High Risk Cargo & Mail screening request	L4-ICS2-03-01 Send referral
C	IE3Q04	E_INV_REQ	Invalidation Request	L4-ICS2-08 Invalidate filing
C	IE3Q05	E_ENS_CNS	ENS Consultation	L4-ICS2-13 Consult ENS
B	IE3R01	E_ENS_REG_RSP	ENS Registration Response	L4-ICS2-01 Register filing
B	IE3R02	E_REF_RFI_RSP	Additional information response	L4-ICS2-03-01 Send referral
A	IE3R03	E_REF_RFS_RSP	High Risk Cargo & Mail screening response	L4-ICS2-03-01 Send referral
B	IE3R04	E_ARV_REG_RSP	Arrival Registration Response	L4-ICS2-04 Process arrival of means of transport
C	IE3R07	E_INV_ACC_RSP	Invalidation Acceptance Response	L4-ICS2-08 Invalidate filing
B	IE3R08	E_ENS_CNS_RES	ENS Consultation results	L4-ICS2-13 Consult ENS
B	IE3N01	E_ELF_VLD_NOT	ENS lifecycle validation error notification	L4-ICS2-01 Register filing
C	IE3N02	E_ENS_NCP_NOT	ENS Not complete notification	L4-ICS2-02-01 Relate ENS filings
A	IE3N03	E_ASM_CMP_NOT	Assessment complete notification	L4-ICS2-03 Perform risk analysis
C	IE3N04	E_REF_RFI_NOT	Additional information request notification	L4-ICS2-03-01 Send referral
C	IE3N05	E_REF_RFS_NOT	High Risk Cargo & Mail screening request notification	L4-ICS2-03-01 Send referral
A	IE3N06	E_ARV_NOT	Arrival notification	L4-ICS2-04 Process arrival of means of transport
C	IE3N07	E_HCS_INC_NOT	House consignment in incorrect state notification	L4-ICS2-04 Process arrival of means of transport
A	IE3N08	E_CON_NOT	Control notification	L4-ICS2-04 Process arrival of means of transport
C	IE3N09	E_AEO_CON_NOT	Authorised economic operator control notification	L4-ICS2-06-01 Handle AEO notification
C	IE3N10	E_AMD_NOT	Amendment Notification	L4-ICS2-07 Amend filing
C	IE3N11	E_ENS_PND_NOT	ENS pending notification	L4-ICS2-02-01 Relate ENS filings
A	IE3N12	E_RAS_NOT	Pre-loading risk assessment status notification	L4-ICS2-13 Consult ENS
B	IE3N99	E_ERR_NOT	Error notification	L4-ICS2-01 Register filing
				L4-ICS2-04 Process arrival of means of transport
				L4-ICS2-07 Amend filing
				L4-ICS2-08 Invalidate filing

3.6 Information to be provided upon unavailability reporting and activation/deactivation of BCP

The main principle is that unavailability and recovery of ICS2 component is reported by economic operator (with an option to empower IT service provider to do it on behalf of EO if EO is using IT service provider services), CSD and NSD. Business continuity plan is activated automatically by the system.

The purpose of this section is to define information that has to be provided by involved actors upon reporting of unavailability or recovery of ICS2 component.

3.6.1 EO – unavailability reporting:

- EORI number of economic operator who is impacted by EO system unavailability;
- Unavailability type (scheduled or unscheduled);
- Unavailability start date and time;
- Expected unavailability end date and time (optional);
- Short description on what has caused the unavailability (optional);
- EORI number of IT service provider – mandatory when unavailability is reported by IT service provider on behalf of EO to NSD in case of STP and/or MON&BS unavailability;
- E-mail address of impacted EO and IT service provider who is notifying unavailability – mandatory in case of STP and/or MON&BS unavailability.

3.6.2 EO – recovery reporting:

- EORI number of economic operator who is impacted by EO system recovery;
- Unavailability end date and time;
- EORI number of IT service provider – mandatory data element when recovery is reported by IT service provider on behalf of EO to NSD in case of STP and/or MON&BS unavailability.

3.6.3 CSD and NSD – unavailability reporting:

- Component name;
- Unavailability type (scheduled or unscheduled);
- Unavailability start date and time;
- Expected unavailability end date and time (optional);
- Affected service;
- Affected functionality (optional);
- Short description on what has caused the unavailability (optional).

3.6.4 CSD and NSD – recovery reporting:

- Component name;
- Unavailability end date and time.

3.6.5 Content of notifications to be sent to EO and IT service provider:

3.6.5.1 After ICS2 component unavailability is reported

All the information provided in sections 3.6.1 or 3.6.3 with exception of:

- *Short description on what has caused the unavailability (optional);*
- *Affected service;*
- *Affected functionality (optional).*

In case of CR, CCN2ng and NES (RMS), unavailability component name will be “ICS2 Common and/or ICS2 National component”.

3.6.5.2 In case of BCP activation

All the information provided in sections 3.6.5.1 and BCP activation date and time.

3.6.5.3 In case of recovery and BCP deactivation

All the information provided in sections 3.6.5.2 and BCP deactivation date and time.

3.6.6 Content of e-mail notifications to be sent to NSD:

3.6.6.1 After ICS2 component unavailability is reported

All the information provided in sections 3.6.1 or 3.6.3.

3.6.6.2 In case of BCP activation

All the information provided in sections 3.6.6.1 and BCP activation date and time.

3.6.6.3 In case of recovery and BCP deactivation

All the information provided in sections 3.6.6.2 and BCP deactivation date and time.

3.7 Scheduled unavailability

MSs and CSD are going to use MON&BS to exchange information on scheduled unavailability. Scheduled unavailability must be organised in time windows when there is less operational activity and has to be recorded in MON&BS as soon as possible but not later than 48 hours in advance [R04].

EO has to notify scheduled unavailability of EO system as soon as possible but not later than 48 hours in advance by using STP (see also chapter 6). This can also be done by empowered IT service provider, but legal responsibility to notify unavailability remain on EO himself.

In case of scheduled unavailability BCP will be automatically activated for the period when unavailability is scheduled. EOs (including IT service provider) get e-mail notification and/or can check in STP (see also chapter 6) on deactivation of BCP [3.6.5].

4 ICS2 COMPONENT SLOWDOWN

In the scope of this BCP, ICS2 component slowdown is a situation when all services of particular ICS2 components (EO system, TAPAS, STI(STP) and/or CR) interacts as per the specifications but the performance is significantly reduced which results in slower messages exchange. The case when ICS2 component transmit outbound messages to subsequent component (e.g. message is put into the outbound message queue) but that subsequent component does not process them in due time (normally within seconds) should be considered to be a slowdown of the subsequent component.

4.1 Slowdown identification and notification

Slowdown for particular ICS2 component (EO system, TAPAS, STI(STP) and/or CR) is determined based on time spent to consume, generate and transmit messages where inbound messages (the ones sent towards ICS2 CR) and outbound messages (the ones sent towards EO system/STP) are monitored separately. If the median (calculated every 10 minutes for the last 10 minutes) on time spent by the component to transmit messages to subsequent component exceed 300000 milliseconds (5 minutes) it is considered to be a slowdown for that ICS2 component and should be registered in MON&BS.

Actor	Actions to be taken by actors	Timeframe for actions
OPS	Constantly monitor services of ICS2 Central components (TAPAS, STI(STP) and CR) as per criteria provided in this section.	24/7
	When slowdown is identified, records slowdown in MON&BS.	< 30 min
All NSDs	The NSD of each MS gets e-mail notification on reported slowdown [4.4.4] and notifies slowdown to MS users.	asap
EO and IT service provider	EOs (including IT service providers) get e-mail notification and/or can check in STP (see also chapter 6) on slowdown [4.4.3].	asap
DG TAXUD	• In case EO system is disrupting the regular performance of the ICS2 components causing slowdown, DG TAXUD can decide to limit EO system access to ICS2 Central components by technical means. Access can be limited to entire system or particular functionality. • In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned).	asap

4.2 Measures during slowdown

During reported slowdown (corresponding e-mail was sent out to EO and MS) particular ICS2 components will perform slower. Messages (e.g. ENS filings) lodged by EO will be processed and responses will be provided (where applicable) with a delay. EO who has lodged ENS filing but have not received MRN yet can make a business decision to deliver goods to EU. Upon arrival to the customs office of the first entry EO can provide customs authorities with the transport document (master level) number and request the MRN number. In case ENS filing was accepted by the ICS2 Common repository, MRN of the ENS filing will be at the disposal of customs authority. In case MRN is not available yet customs authority must apply national measures to facilitate movement of the goods.

EO must not duplicate/resubmit messages already sent towards ICS2 Central components.

4.3 Slowdown recovery

Slowdown is considered to be over when median of time (calculated every 10 minutes) to consume, generate and transmit messages to subsequent component do not exceed 300000 milliseconds (5 minutes) for 30 continuous minutes.

Actor	Actions to be taken by actors	Timeframe for actions
OPS	Monitor services of ICS2 component for which the slowdown was reported as per criteria provided in this section.	24/7
	When all slowdowns are considered to be recovered, records slowdown recovery in MON&BS.	asap
All NSDs	The NSD of each MS gets e-mail notification on slowdown recovery [4.4.4] and notifies slowdown recovery to MS users.	asap
EO and IT service provider	EOs (including IT service providers) get e-mail notification and/or can check in STP (see also chapter 6) on slowdown recovery [4.4.3].	asap

4.4 Information to be provided upon ICS2 component slowdown

The main principle is that ICS2 component slowdown and recovery is reported by OPS in MON&BS.

The purpose of this section is to define information that should be provided by OPS upon reporting of slowdown or slowdown recovery for ICS2 component.

4.4.1 OPS – slowdown reporting:

- Component name (CR, STI, TAPAS, EO System, TAPAS/EO system[3]);
- EORI number (if known and only in case when component name causing the slowdown is EO system or TAPAS/EO system);
- Type (slowdown);
- Start date and time;
- Expected end date and time (optional);
- Affected service;
- Short description on what has caused the slowdown (optional).

4.4.2 OPS – slowdown recovery reporting:

- Component name (CR, STI, TAPAS, EO system, TAPAS/EO system);
- End date and time.

4.4.3 Content of notifications to be sent to EO and IT service provider:

4.4.3.1 After ICS2 component slowdown is reported

All the information provided in sections 4.4.1 with exception of:

- EORI number;
- *affected service*.

4.4.3.2 In case of service recovery

All the information provided in sections 4.4.3.1 and 4.4.2.

[3] TAPAS/EO system is used when it is not possible without a further investigation to determine which component is causing slowdown.

4.4.4 Content of e-mail notifications to be sent to NSD:

4.4.4.1 After ICS2 component slowdown is reported

All the information provided in sections 4.4.1.

4.4.4.2 In case of service recovery

All the information provided in sections 4.4.4.1 and 4.4.2.

5 MEMBER STATE TASKS AND RESPONSIBILITIES

To simplify the unavailability reporting and BCP activation process, it was agreed that DG TAXUD simplify/automate the unavailability reporting and BCP activation process as much as possible therefore:

- STP functionality allows EO to report their system unavailabilities themselves via STP, without involvement of customs authorities;
- ICS2 business continuity plan is activated on behalf of customs authorities by the MON&BS within the agreed timeframe.

Considering that not all the processes can be fully automated, human intervention is still required to ensure correct registration of the unavailabilities by EO. To ensure this, MS must constantly monitor unavailabilities reported by EO. In particular MS should:

- ensure that EO lodge ENS filings if no unavailability has been reported for an EO system or an ICS2 Central component;
- verify that registered EO system unavailability is properly justified:
    - E.g. EO cannot justify registration of its system unavailability just because e.g. ICS2 Central component slowdown is registered and BCP is not activated;
    - EO cannot justify registration of its system unavailability because of ICS2 Central component unavailability if corresponding information was registered in MON&BS and was communicated to EO via STP;
    - MS should investigate suspicious cases like for example:
        - reported EO system unavailability is longer than 2 days for one unavailability or total unavailability period exceeds 3 days within year quarter;
        - unavailability is reported frequently (e.g. always around the same time and/or with regular frequency e.g. once a week EO system has unscheduled unavailability);
- investigate cases where EO system unavailability disrupts the regular performance of the ICS2 Central components (e.g. is causing ICS2 Central components slowdown);
- consider requesting EO to re-execute EO system self-conformance testing in case of constant technical issues in the EO system.

In addition, customs authorities shall not apply BCP measures for EO system (please see section 3.1.3) if EO system unavailability is not reported and BCP is not activated.

5.1 Reporting

Until the end of every year quarter, MS should submit report for the previous quarter on unavailabilities registered for EO systems (e.g. report for Q4 2026 must be submitted before 31.03.2027) whose system owner (EO and ITSP) is registered in that country. Report should be submitted to TAXUD-ICS2-PROJECT-TEAM@ec.europa.eu and contain the following information:

- EORI of system owner (EO who own a system or ITSP);
- Number of scheduled unavailabilities;
- Number of unscheduled unavailabilities;
- Total unavailability time (in days);
- List of actions taken by MS if total unavailability time in the reported quarter exceed 3 days (72 hours).

6 TRANSITIONAL PROVISIONS

EOs will be able to use STP to register EO system unavailability and consult ICS2 National components and/or ICS2 Central components unavailabilities only when the necessary functionality will be developed and deployed in STP.

Until the functionality is developed and deployed in STP, the BCP procedure is applicable with the following deviations:

- in case of EO system unavailability:
    - EO (or IT service provider) should notify EO system unavailability to NSD in MS of registration (country that has issued EORI) or MS where EO has legal obligation to lodge ENSs. EO can also empower IT service provider to do this but legal obligation to lodge ENS filings and provide information requested by customs authorities remain with EO themselves. IT service provider in case of its system unavailability provides NSD with the list of all the EO (IT service provider clients) being impacted by the IT service provider system unavailability;
    - NSD in MS of registration (country that has issued EORI) must register justified EO system unavailability in MON&BS asap. In case of IT service provider system unavailability NSD create unavailability report just for IT service provider system and in the explanations indicate at least the following text "This unavailability is registered for IT service provider and impact *(provide the number of impacted IT service providers clients)* ITSP clients. The list of impacted clients is available to NA-*(country code of the MS registering unavailability)* NSD";
- EO is notified about the ICS2 National components and/or ICS2 Central components unavailability, activation/deactivation of BCP and ICS2 component slowdown/slowdown recovery via e-mail notifications sent out from MON&BS. In order to get those e-mail notifications EO must log-in ICS2 STP[4] and configure his/her e-mail address.

End of document

[4] For more details on how to get access rights to ICS2 STP, you can consult https://taxation-customs.ec.europa.eu/customs/customs-security/import-control-system-2_en