



EUROPEAN COMMISSION
DIRECTORATE-GENERAL
TAXATION AND CUSTOMS UNION
Customs Policy
Customs policy and Electronic customs

Brussels, 26/02/2010

WORKING DOCUMENT – TAXUD/1040/2006 – Corr. 2009

FTSS – AES ADDENDUM 1/2006 – CORR. 2009

EXPORT CONTROL SYSTEM- SECURITY AND SAFETY ASPECTS

(ECS)

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	

AUTOMATED EXPORT SYSTEM ADDENDUM

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<p style="text-align: center;">SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS</p>

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1. INTRODUCTION

What is this document used for?

The Functional System Specifications (FSS) are to be regarded as the basis for the development of the technical specifications (e.g. DDNA – 'Design Document for National Application' and 'Scope' document).

What is included in this document?

The present Addendum is based on the Automated Export System (AES) Addendum as published on 19 July 2004 and on the achievements of the NCTS specifications, as last amended by Corrigendum (NCTS) of 30 June 2006.

This Addendum covers the scope of the system for ECS-phase 2 (Export Control System) as identified by the MASP (Multi Annual Strategic Plan). It incorporates the requirements arising from the so-called 'security amendment' to the Community Customs Code, consisting of:

- Council Regulation (EC) no 648/2005 Commission Regulation (EC) No 1875/2006 of 18 December 2006), including the provisions of Annex 30A, describing the data elements to be processed.

The FSS main chapters are:

- The core business process threads for the processing of Export Customs declaration within the present system (heading 1).
- The core business process threads for the Exit summary declaration within the present system (heading 2).

This Addendum provides also the guidelines for the 'external domain' relating to communication between Traders and National Customs Administrations and for the 'national domain' relating to processes on national systems.

For the purposes of convenience, an asterisk (*) has been added to the **new** business process threads, figures, messages, codes, conditions.

What is not included in this document?

Specific data requirements for local clearance, simplified declarations and incomplete declarations (as documented in table 6 of Annex 30) and the handling of simplified declarations and incomplete declarations are of national matter and therefore not specified in this revision.

The FSS do not include SEAP-aspects (Single European Access Point). However, some of the functionalities will be provided already by the described system as concerns the lodgement of Export declarations and Exit summary declaration in one Member State being forwarded to another Member State). In addition, the introduction of amendments of the Exit summary declaration via a representative in a country other than the country of Lodgement is described.

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2. AES – EXPORT PROCESS

2.1 OVERVIEW

This introduction provides a description and a graphical overview of the core business which is intended to be neither exhaustive nor methodologically correct. It is rather intended to highlight the major process threads of the core business and the links that exist between them.

The major process threads are:

- process export
- process exit.

These process threads are inter-dependent: the processing of an export declaration at the Office of Export if followed by the processing of the exit of a movement at the Office of Exit. The ‘link’ between those two processes is the transportation of the consignment from the Office of Export to the Office of Exit. This link appears in the diagram below, but not in the process threads themselves.

The following figure provides an overview of the export and exit process:

The export declaration message is sent to the Customs Office of Export. The Exporter/Declarant receives the Export Accompanying Document (EAD) after acceptance of the export declaration and the means of transport carrying the consignment covered by this document goes to the Office of Exit.

Normally, the consignment arrives at the Office of Exit. The goods are presented to the Actual Office of Exit which processes the exit of the goods. Once the exit processing is completed, the Office of Export finalises the export operation.

The following figure depicts the key steps of the overall process without showing following details which are specified in detail in the next figures and process descriptions:

- amendments;
- declaration validation, acceptance and verification;
- risk analysis;
- control processes either at Office of Export or at Office of Exit;
- handling of control results;
- diversion;
- follow-up.

It shall be highlight that parts of processing may be fully automated. Unless human intervention is specifically required by national policy, AES will allow fully automated processing of:

- process export (from declaration reception to release for export);
- process exit (from presentation to exit of the goods);
- finalise export operation.

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Automated processing shall be granted mainly to Authorised Traders, if following strict conditions are met:

- at Office of Export:
 - the declaration is formally valid and;
 - the declaration is submitted within the hours agreed for that purpose and;
 - the risk analysis¹ does not propose to control the goods and / or documents and;
 - the verification of data indicates no problems and;
 - no duties and/or taxes have to be collected (which is normally the case in export).
- at Office of Exit:
 - goods are presented at Exit within the agreed time limits for this purpose;
 - the risk analysis does not propose to control the consignment and;
 - the departure notification is received from the local authority at exit
- finalise export operation:
 - the exit confirmation is received within the time limits agreed for this purpose and;
 - the control results of the exit confirmation are of type 'A' (satisfactory).

2.1.1 RISK MANAGEMENT

2.1.1.1 DEFINITIONS

- In the context of this document the term 'common safety and security risk analysis' refers to the risk analysis covered by Regulation (EC) No 648/2005 and 1875/2006.
- National risk analysis is to be understood as other than common safety and security risk analysis (e.g. fiscal or additional safety and security risk analysis based on national provisions). The latter is national matter.

2.1.1.2 INTERFACE BETWEEN ECS AND RISK ANALYSIS SYSTEM

- ECS interfaces with the national risk analysis systems of the Member States and ensures that risks analysis is initiated (when required) once the received data is validated and accepted by the ECS.
- The national risk analysis systems of the Member States carry out the required common risk analysis for safety and security – and, where appropriate, national risk analysis - and sends back the risk analysis results to ECS.
- Based on the last digit of the risk analysis result code (see Appendix A3- Code list) which is reported back to ECS, ECS initiates the appropriate further processing of the export declaration or exit summary declaration.
- In general, forwarding of Risk analysis result is optional. ECS may forward the relevant common safety and security risk analysis results related to a specific transaction to the relevant customs offices involved in the process.

¹ Including the random selection of export declaration to control.

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2.1.2 ECONOMIC OPERATOR REGISTRATION AND IDENTIFICATION (EORI)

- Where the regulation requires or allows Traders to be registered in the common EORI database, a unique Trader Identification number (TIN) will be allocated to that Trader by the relevant Member State. The TIN will be registered in EORI.
- Where EORI registered Traders are to be declared in an ECS message, the EORI TIN shall be declared.
- When validating an ECS message received from the Trader (e.g. IE515, IE547, IE615, etc.) ECS consults EORI to check the provided TIN.
- If the declared TIN is not valid or if it is not declared where it is required, ECS will reject the data set using the appropriate ECS message.

2.1.3 AUTHORISED ECONOMIC OPERATOR (AEO)

- AEO and their AEO certificates will be registered in the AEO database.
- When validating a received export declaration (IE515) or exit summary declaration (IE615/IE601) for which the reduced AEO dataset is declared, ECS consults the AEO database to check whether the appropriate Traders are registered as AEO and whether they have a valid AEO certificate of the relevant type. The query will be performed on the basis of the declared TIN.

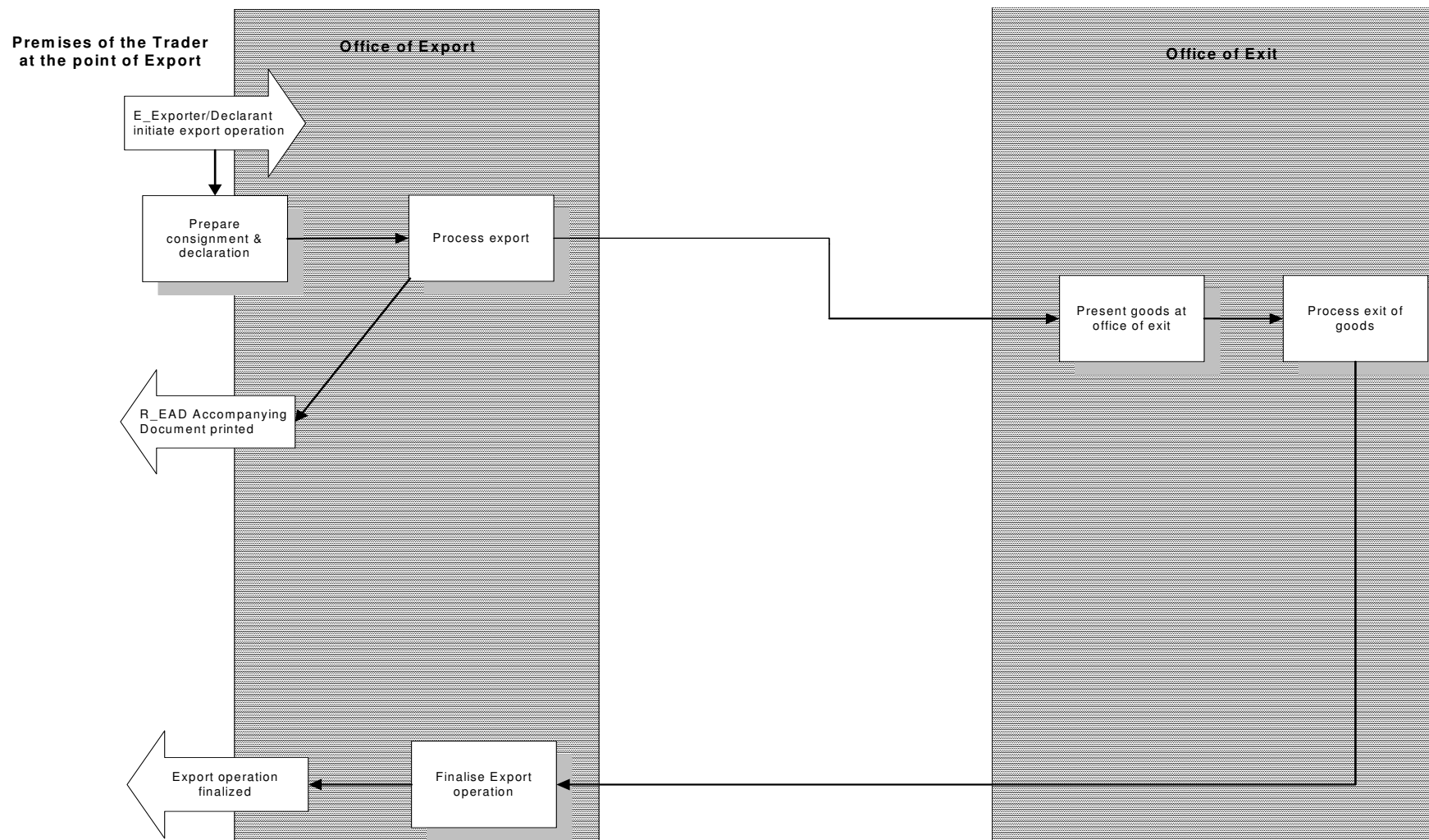


Figure 1: Overview of Export Core Business

2.2 * CO1A – Process Export - Acceptance/Controls at Office of Export

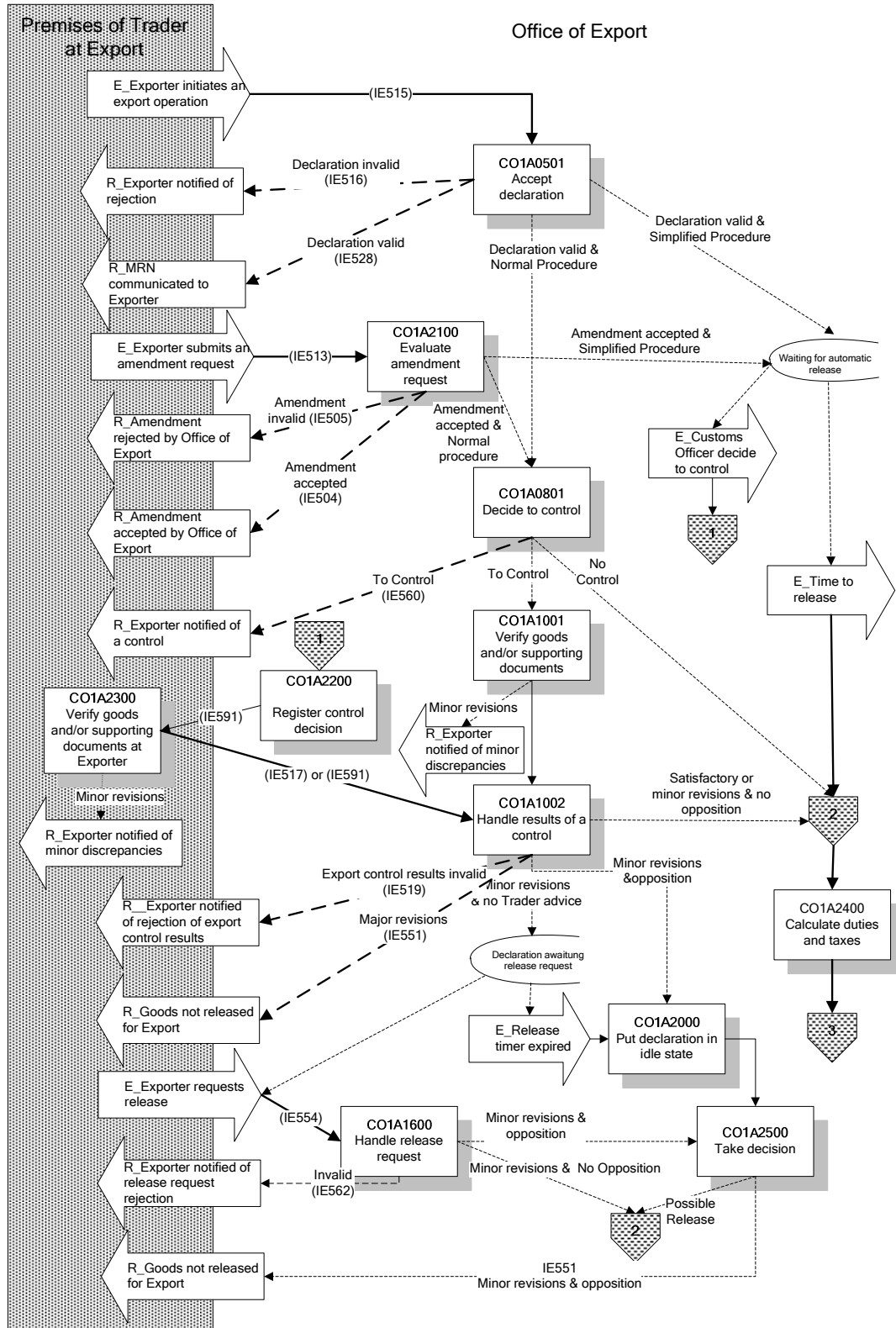


Figure 2: CO1A - Process Export - Acceptance/Controls at Office of Export

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Major Events

E_Exporter initiates an export operation
Organisation : Trader at Export (Exporter/Declarant)
Location : Premises of the Trader at Export or Office of Export
The Exporter/Declarant initiates the export operation.

Minor Events

E_Exporter submits an amendment request
Organisation : Trader at Export (Exporter/Declarant)
Location : Premises of the Trader at Export or Office of Export
The Exporter/Declarant submits an amendment to his declaration.

E_Exporter requests release
Organisation : Trader at Export (Exporter/Declarant)
Location : Premises of the Trader Export or Office of Export
After a control, the Declarant communicates his advice (opposition or non-opposition) on minor revisions by performing a release request. The request must arrive within the time limit at the Office of Export.

E_Release request timer expired
Organisation : National Customs Administration
Location : Office of Export
At the expiration of the timer 'Declaration awaiting release request' the declaration data is put in an idle state.

E_Customs Officer decide to control
Organisation : National Customs Administration
Location : Office of Export.
Customs take the decision to control the consignment.

E_Time to release
Organisation : National Customs Administration
Location : Office of Export
The timer 'Awaiting for automatic release' under simplified procedure has expired, no decision to control was made; the calculation /registration of duties and/or taxes, when relevant, can start.

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Processes

Accept declaration	Process: CO1A0501
Organisation : National Customs Administration	
Location : Office of Export	
Constraint : It must be possible to use risk analysis parameters to cope with differences from one country to another.	
Description : The declaration data is submitted (IE515) to the Office of Export by electronic means (EDI) or - where allowed - on paper (e.g. for fallback). A declaration declared under simplified procedure (IE515.CONTROL RESULT is present) must be submitted by electronic means. Validation of the Export declaration must be performed. The validation process can be a completely automatic process. If electronic means are used (under simplified as well as under normal procedure) then the Exporter/Declarant must provide a local reference number (IE515.EXPORT OPERATION.LRN) that allows the Exporter/Declarant and the Office of Export to refer to the corresponding data in the AES. AES checks that the provided LRN (IE515.EXPORT OPERATION.LRN) is unique. When a reduced safety and security data set is submitted, AES checks the Trader Identification Number (TIN) in EORI (Economic Operator Registration and Identification system) and completes the Trader data (if necessary) in the declaration. AES, based on Trader TIN, verifies whether or not the Trader is the Authorised Economic Operator (AEO) and checks the type of AEO certificates. If the export declaration is submitted with the reduced safety and security data set Declarant and all Exporters must have a valid AEO certificate of type 'AEOS' (AEO certificate – Safety and Security) and/or 'AEOF' (AEO certificate – Customs simplifications/safety and security). If the full safety and security data set is submitted no AEO check is performed. If the declaration is submitted (IE515) under simplified procedure (IE515.CONTROL RESULT is present), AES checks that the Exporter/Declarant who is responsible for the declaration (IE515.TRADER Exporter/Declarant.TIN) is indeed authorised (Authorised Exporter/Declarant) to use simplified procedure at that Office of Export. AES checks also the declared 'Authorised location of goods' (IE515.EXPORT OPERATION. Authorised location of goods) where Customs can control the consignment. There are 2 options: <ol style="list-style-type: none">1. If the Trader has not declared an 'Authorised location of goods' (IE515.EXPORT OPERATION. Authorised location of goods' is absent), AES considers that the location of goods is the only one specified in the authorisation for the Office of Export;2. If the Trader has declared an 'Authorised location of goods' (IE515.EXPORT OPERATION. Authorised location of goods' is present), AES checks it against the various authorised places, for the Office of Export in question, specified in the authorisation. If an Authorised Exporter/Declarant uses seals (IE515.SEALS INFO' is present) then AES checks them against the seals mentioned in the Authorisation. AES checks also the goods in order to be sure that none of them is excluded from the authorisation. If a declaration is submitted (IE515) under normal procedure (IE515.CONTROL RESULT' is absent), AES checks the declared 'location of goods' (IE515.EXPORT OPERATION. Agreed location of goods', or 'IE515.EXPORT OPERATION. Agreed location code' or 'IE515.EXPORT.OPERATION.Customs sub place') where the consignment can be controlled. There are 3 options: <ol style="list-style-type: none">1. If the Trader has not declared a 'location of goods' (IE515.EXPORT OPERATION. Agreed location of goods' and 'IE515.EXPORT OPERATION. Agreed location code' and 'IE515.EXPORT.OPERATION. Customs sub place' are all absent): the presentation of the goods will take place at the Office of Export;2. If the Trader has declared an 'Agreed location of goods' (IE515.EXPORT OPERATION. Agreed location of goods' and/or 'IE515.EXPORT OPERATION. Agreed location code' is present), the system notifies the Customs Officer that he has to validate manually the declared location; no further processing is foreseen in AES to handle this kind of locations;	

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3. If the Trader has declared a 'Customs sub place' ('IE515.EXPORT OPERATION.Customs sub place' is present), AES checks it against the various Customs sub places registered in the system, for the Office of Export in question.

In any case AES automatically verifies (based on TARIC) the existence of references to any document (e.g. licences, etc.) required by the declared Commodity code (TARIC code) also in relation to the declared country of destination

If the declaration is **invalid**, AES rejects the declaration and notifies (IE516) the Trader that the declaration is invalid, giving the reason for the rejection (see dashed line labelled "Declaration invalid"). The process stops here.

If the declaration is **valid**, the Office of Export accepts the declaration, a MRN is automatically generated and the declaration submission date and time are stored by AES. The allocated MRN is communicated (IE528) to the Trader (see dashed line labelled "Declaration valid").

After validation:

If the declaration is submitted (IE515) under **simplified procedure**, a timer "Awaiting for automatic release" is started to progress towards an automatic release after the timer has expired.

If the declaration is presented **on paper** (SAD) by a Trader, that declaration has a legal value. Those papers have to be filed, and linked to the data in the system. The Customs Officer marks the MRN on the paper declaration and the system provides (on demand of a Customs Officer) a front page for filing purposes.

Automatic **risk analysis** is performed at this stage. It is a service provided by the system to help the Customs Officer with his decision to control the goods and/or documents. The declaration data and the risk parameters to be used for the automated part of the risk analysis are to be chosen by the National Administrations. Higher level risk parameters (such as Community, national, regional, etc.) should be taken into account in any case.

Random risk parameters shall be used additionally.

Safety and security risk analysis shall be performed for all the goods of the export declaration. The safety and security risk analysis shall be initiated by AES and carried out by the national risk analysis application according to the rules set out by the risk management framework. The risk analysis results shall be recorded in AES in the format used for communication with other Offices/Member States.

If the last digit of the risk analysis result code is 'D' the risk for which an immediate action at the Office of Export is required is identified.

If the last digit of the risk analysis result code is 'E' the risk which should be communicated to the Office of Exit is identified.

If no risk analysis is performed or risk analysis result is not available the last digit of the risk analysis result code will be 'Z'.

There can be national risk analysis results (last digit of the risk analysis result code is 'N'), however, these will not be forwarded to the Office of Exit through common domain.

AES registers the risk analysis results.

If the declaration is valid and it was declared under **normal procedure** then the next step is to decide to control (see dashed line labelled "Declaration valid & Normal procedure").

If the declaration is valid and it was declared under **simplified procedure** then it awaits for the timer "Awaiting for automatic release" to expire (see dashed line labelled "Declaration valid & Simplified procedure").

Final situation :

If the declaration is not valid, it is rejected and the trader is informed (IE516).

If the declaration is valid, it is accepted and a MRN is generated and allocated. The Trader is notified of the acceptance of the declaration. The result of the risk analysis is known. The EXPORT OPERATION STATE is set to 'Accepted'.

Decide to control	Process: CO1A0801
Organisation : National Customs Administration	
Location : Office of Export	

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<p>Constraint : Normal procedure only.</p>
<p>Description : The Customs Officer compiles all the information he needs (the export declaration information retrieved by AES via the allocated MRN) and checks the risk analysis results in order to decide if a control is required. This control consists of either a check of the supporting documents, or a check of the supporting documents and the goods. Even if the risk analysis is an automatic process, the final decision to control may be overruled by the Customs Officer.</p> <ul style="list-style-type: none"> • The Customs Officer decides to control: The control will be performed at the Office of Export (If 'IE515.EXPORT OPERATION. Agreed location of goods' and 'IE515.EXPORT OPERATION. Agreed location code' and 'IE515.EXPORT OPERATION. Customs sub place' are absent) or at the 'Agreed location of goods' (If 'IE515.EXPORT OPERATION. Agreed location of goods' and/or 'IE515.EXPORT OPERATION. Agreed location code' is present) or at a 'Customs sub place' (If 'IE515.EXPORT OPERATION. Customs sub place' is present). The Customs Officer registers the decision to control in AES. The Exporter/Declarant is notified (IE560) of the decision to control in order to allow him to be present during the control (declaration amendments are no longer accepted by the Office of Export). The accepted declaration is printed on paper on demand of a Customs Officer, in order to allow him to perform a control of the consignment. • The Customs Officer decides not to control: No control is performed on goods and/or documents; the Customs Officer records the decision not to control in AES. The export control result is set to 'Considered satisfactory'. The duties and taxes are calculated as described in process 'CO1A2400, and their payment is registered in AES. <p>Final situation : One of the following decisions is taken:</p> <ul style="list-style-type: none"> • no control at all, the EXPORT OPERATION STATE is set to "Under Release", or, • control will be performed, EXPORT OPERATION STATE is set to 'Under control'.

Verify goods and/or supporting documents	Process: CO1A1001
Organisation : National Customs Administration	
Location : Office of Export	
<p>Constraint : Normal procedure only.</p>	
<p>Description : The verification of the goods and/or supporting documents is a manual process performed by a Customs Officer at the Office of Export/at the goods place. The Customs Officer goes to the goods place (as specified at presentation time) in order to verify the documents or goods (or both), taking with him the printout of the accepted declaration as a working document. The Customs Officer controls the consignment against the printout of the accepted declaration. He can also check the supporting documents such as: commercial documents, invoices or others. He may decide to affix seals. If minor discrepancies occur, they are communicated to the Exporter/Declarant by alternative means. In order to solve the discrepancies, Customs must perform minor revisions on the declaration data (as explained in 'CO1A1002 - Handle results of a control') so that it is still possible to release the export movement for Export in case the revisions are accepted by the Exporter/Declarant. The Exporter/Declarant evaluates if he can agree with (make no opposition) the minor revisions. He can give his advice (opposition or no opposition), right away, or later if he is not able to respond immediately (see dashed line labelled "Minor revisions"). The decision about what is a 'minor' discrepancy or what is a 'major' discrepancy is made by each National Administration.</p>	

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Final situation :

Control is performed by the Customs Officer and seals may have been affixed.
If any, the minor revisions are communicated to the Exporter/Declarant.

Handle results of a control	Process: CO1A1002
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Organisation : National Customs Administration

Location : Office of Export

Constraint :

Normal procedure: The Customs Officer registers the control results in AES at the Office of Export based on the 'Export control document on paper' (IE591).

Simplified procedure: The Customs Officer registers the control results at the Premises of the Exporter/Declarant and sends them in electronic format (IE517) to the AES of the Office of Export.

Description : The following situations may occur:

Simplified procedure (control results are registered by the Customs Officer at the premises of the Exporter/Declarant):

Export control results are registered at the premises of the Exporter and sent (IE517) electronically to the AES system of the Office of Export (see CO1A2300). AES validates the message upon reception. If the received 'Export control results' message is invalid, it is rejected by the AES of the Office of Export and the Exporter/Declarant is notified (IE519).

Otherwise following cases may occur (numbering correspond to numbering in CO1A2300):

1. If the control revealed no discrepancies, the 'Satisfactory' control results (IE517) for the checked goods are received and registered in the AES of the Office of Export. The process continues with CO1A2400.
2. If the control revealed minor discrepancies and the Exporter/Declarant gives his advice right away without making opposition ('EXPORT OPERATION.Release requested flag' is set to 'Yes'; see dashed line labelled "Minor revisions & no opposition"): 'Export control results' results (IE517) are received and registered in the AES of the Office of Export; AES updates the declaration data. The process continues with CO1A2400.
3. The control revealed minor discrepancies and the Declarant gives his advice right away and he makes opposition (EXPORT OPERATION.Release requested flag is set to 'No', see dashed line labelled "Minor revisions & opposition"): 'Export control results' (IE517) are received and registered in the AES of the Office of Export; AES validates the data; the EXPORT OPERATION STATE is set to 'idle' awaiting further actions, the Export Operation can no longer be released; the Customs Officer must take a decision (CO1A2500).
4. Minor discrepancies are detected during the control of the goods and/or supporting documents and the Declarant has not yet communicated his advice ('EXPORT OPERATION.Release requested flag' is absent, see dashed line labelled "Minor revisions & no Trader Advice"): 'Export control results' (IE517) are received and registered in the AES of the Office of Export; AES validates the data, registers the control results and updates the declaration data; A timer "Declaration awaiting release request" is started to protect a non release request of the goods coming from the Exporter/Declarant; the EXPORT OPERATION STATE is set to 'Under release request'
5. The control revealed major discrepancies (see dashed line labelled "Major"): The 'Unsatisfactory' control results are registered. The Office of Export informs the /Exporter Declarant that the export movement may not be released; the EXPORT OPERATION STATE is set to 'Not released for Export'; the Office of Export notifies (IE551) the Exporter/Declarant that the export movement may not be released; Sanctions may be applied.

Normal procedure (control results are registered in AES by the Customs Officer at the Office of Export):

6. If the control revealed no discrepancies, the 'Satisfactory' control results for the checked goods are registered; AES validates the data. The process continues with CO1A2400.
7. If the control revealed minor discrepancies and the Exporter/Declarant gives his advice right away without making opposition (see dashed line labelled "Minor revisions & no opposition"): Export control

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<p>results are registered; AES validates the data; the process continues with CO1A2400.</p> <p>8. The control revealed minor discrepancies and the Declarant gives his advice right away and he makes opposition (see dashed line labelled “Minor revisions & opposition”): Export control results are registered; AES validates the data; the EXPORT OPERATION.Release requested flag is set to 'No'; the EXPORT OPERATION STATE is set to 'idle' awaiting further actions; the Export Operation can no longer be released; the Customs Officer must take a decision (CO1A2500).</p> <p>9. Minor discrepancies are detected during the control of the goods and/or supporting documents and the Declarant has not yet communicated his advice (see dashed line labelled “Minor revisions & no Trader Advice”): Export control results are registered and the declaration data is revised; AES validates the data; the EXPORT OPERATION.Release requested flag is not set; A timer “Declaration awaiting release request” is started to protect a non release request of the goods coming from the Declarant; the EXPORT OPERATION STATE is set to 'Under release request'.</p> <p>10. The control revealed major discrepancies (see dashed line labelled “Major”): ‘Unsatisfactory’ control results are registered. The Office of Export informs the Declarant that the export movement may not be released; the EXPORT OPERATION STATE is set to 'Not released for Export'; the Office of Export notifies (IE551) the Exporter/Declarant that the export movement may not be released; Sanctions may be applied.</p> <p>Final situation :</p> <p>If the 'Export control results' message is invalid, it is rejected and the EXPORT OPERATION STATE remains unchanged.</p> <p>If there are no discrepancies, the satisfactory results of the control are logged. If there are minor discrepancies and if the Trader makes opposition, the EXPORT OPERATION STATE is set to 'Idle'.</p> <p>If there are minor discrepancies and Customs wait for a release request, the EXPORT OPERATION STATE is set to 'Under release request'.</p> <p>If there are major discrepancies and the unsatisfactory control results are registered; the goods may not be released; the EXPORT OPERATION STATE is set to 'Not released for EXPORT'.</p>
--

Handle release request	Process: CO1A1600
Organisation : National Customs Administration	
Location : Office of Export	
Constraint : This process can only be used in cases 4 and 9 of process CO1A1002.	
<p>Description :</p> <p>Simplified procedure:</p> <p>A goods release request is received (IE554) from the Exporter/Declarant who could not give his advice on minor revisions right away.</p> <p>If the received release request is invalid, AES rejects it and notifies (IE562) the Exporter/Declarant, giving the reasons for the rejection (see dashed line labelled “Invalid”).</p> <p>If the release request is valid:</p> <ul style="list-style-type: none"> • Opposition (IE554.EXPORT OPERATION.Release requested = ‘No’): <p>If the Exporter/Declarant makes opposition (i.e. he does not accept the revisions), the export movement can not be released. The timer ‘Declaration awaiting release request’ is stopped. The declaration is put in an idle state where it waits until further action (see dashed line labelled “Minor revisions & opposition”).</p> <ul style="list-style-type: none"> • No opposition (IE554.EXPORT OPERATION.Release requested = ‘Yes’): • If the Declarant makes no opposition -i.e. he accepts the revisions), the export movement can still be released. The timer ‘Declaration awaiting release request’ is stopped. The ‘Satisfactory’ control results are registered. <p>Normal procedure:</p> <p>A release request is presented by alternative means at the Office of Export.</p> <ul style="list-style-type: none"> • Minor revisions, opposition: <p>If the Exporter/Declarant makes opposition, the export movement can not be released. The timer ‘Declaration awaiting release request’ is stopped. The declaration is put in an idle state where it waits until further action</p>	

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(see dashed line labelled “Minor revisions & opposition”).

- No opposition:

If the Declarant makes no opposition -i.e. he accepts the revisions-, the export movement can still be released. The timer ‘Declaration awaiting release request’ is stopped. The ‘Satisfactory’ control results are registered.

Final situation :

If the release request is invalid, the EXPORT OPERATION STATE remains unchanged (‘Under release request’).

If the release request is valid and the Exporter/Declarant makes opposition, the EXPORT OPERATION STATE is set to ‘Idle’.

If the release request is valid and the Exporter/Declarant makes no opposition, the process continues with CO1A2400.

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Put declaration in idle state	Process: CO1A2000
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : No release request is received (IE554) from a Exporter/Declarant in time (the timer “Declaration awaiting release request” has expired). AES automatically puts the declaration in an idle state waiting for further action.	
Final situation : The EXPORT OPERATION STATE is set to ‘Idle’.	

Evaluate amendment request	Process: CO1A2100
Organisation : National Customs Administration	
Location : Office of Export	
Constraint : This process is only used if an amendment request (IE513) is received. The amendment request must be sent to the Office of Export or - if national provisions provide for - to another Office which is located in the same Member State as the previously declared Office of Export. The amendment request can only be sent by the Exporter/Declarant having sent the initial declaration. 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 (IE513) is submitted by electronic means (EDI). It contains all values of the original declaration altered with the requested amendments. The amendment request is received and validated at the Office of Export. Except in the cases specified later in this process, the validation can be a completely automatic process. <ul style="list-style-type: none"> • AES validates the amendment request itself; • AES checks that the amendment is made on an already registered declaration (data accepted by Customs and MRN allocated already); • AES checks that the Exporter/Declarant sending the amendment request is allowed to do so (see constraint); • AES checks that the Office of Export 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 Exporter/Declarant has been informed (IE560) that the Customs Authorities intend to examine the goods; • The Customs Authorities have established that the particulars in question are incorrect; • The Customs Authorities have released the goods. • Original declaration (in case of multiple amendment requests, the latest accepted version of the declaration): AES stops the processing and sets it back to this process (CO1A2100 – Evaluate amendment request). Under simplified procedure its ‘Awaiting for automatic release’ timer is stopped (if not yet expired). <p>If the amendment request (IE513) is invalid, the amendment is automatically rejected (because it was invalid or because it came too late in the declaration data handling process) and the rejection reason is registered and notified (IE505) to the Exporter/Declarant. The evaluation process of the amendment request stops here (see dashed line labelled 'Amendment invalid').</p> <p>If the system is not allowed/able to treat the request fully automatically, then it notifies the Customs Officer of the fact that an Exporter/Declarant is requesting an amendment on his declaration. In all these cases, the Customs Officer must decide, if he can accept the amendment request or not.</p>	

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Following cases may occur:

- The Customs Officer is requested to accomplish the formal validation process. This is the case, if the Exporter/Declarant alters:
 - the ‘Type of goods’ (‘IE513.GOODS ITEM.Commodity code’ and/or ‘IE513.GOODS ITEM.Textual description’), or
 - the ‘Quantity’ (‘IE513.EXPORT OPERATION.Total number of items’ or ‘IE513.EXPORT OPERATION.Total number of packages’ or ‘IE513.EXPORT OPERATION.Total gross mass’ or ‘IE513.GOODS ITEM.Number of packages’ or ‘IE513.GOODS ITEM.Number of pieces’ or ‘IE513.GOODS ITEM.Gross mass’).
- An amendment request is received while Customs was performing a control. In this case the system notifies the Customs Officer when he registers the control results (see ‘CO1A1002 - Handle results of a control’).

If the Customs Officer decides to reject the amendment request:

- He registers the rejection reason and sends the rejection notification (IE505) to the Exporter/Declarant//Trader. Under simplified procedure the ‘Awaiting for automatic release’ timer remains stopped until another (valid) amendment is received. The original Export declaration (in case of multiple amendment requests, the latest accepted version of the declaration) remains valid. The process stops here (see dashed line labelled “Amendment invalid”).

If the amendment request is valid/if the Customs Officer decides to accept the amendment request:

- It is accepted and registered in AES and the acceptance is communicated (IE504) to the Exporter/Declarant.
- Risk analysis is performed based on the amended declaration.
- Duties and taxes calculated on the basis of the previous version of the declaration must be cancelled again.
- Under simplified procedure the ‘Awaiting for automatic release’ is restarted at its initial value (see dashed line labelled “Amendment accepted & simplified procedure”).
- Under normal procedure the next step is to take the decision to control (see dashed line labelled “Amendment accepted & normal procedure”).

Final situation :

If the amendment is rejected because it failed to pass the validation process, the EXPORT OPERATION STATE is set to ‘Declaration under amendment’.

If the amendment is rejected because it was not related to an accepted declaration, the EXPORT OPERATION STATE does not change.

If the amendment is rejected because it came too late in the declaration processing, the EXPORT OPERATION STATE does not change.

If it is accepted, the EXPORT OPERATION STATE is set to ‘Accepted’.

Register control decision	Process: CO1A2200
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
This is a process performed only under simplified procedure; therefore it must be done within the agreed time limit mentioned in the ‘authorisation’ of the simplified procedure.	
Description :	
The Customs Officer compiles all the information he needs (the export declaration information retrieved by AES via the allocated MRN) and checks the risk analysis results in order to decide if 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. The Customs Officer registers his final decision to control in AES, especially to be able to identify cases where amendment requests (IE513) are being received between the moment the decision to control was registered and the registration of the control results (for such cases a decision of the Customs Officer to accept or not to accept an amendment request is always required).	

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The timer 'Awaiting for automatic release' is stopped.

The control consists of either a check of the supporting documents, or a check of the supporting documents and the goods.

On request of a Customs Officer the 'Export control document on paper' is printed on paper (IE591) in order to allow the Customs Officer to perform a control of the consignment.

Final situation :

The decision to control is registered; the EXPORT OPERATION STATE is set to 'Under control'.

Verify goods and/or supporting documents at Exporter	Process: CO1A2300
Organisation : National Customs Administration	
Location : Premises of the Trader at Export (Exporter/Declarant)	
Constraint :	
<p>This process is only used for simplified procedure.</p> <p>Customs must arrive within the agreed time limit of the authorisation.</p> <p>The registration of the results of a control should be done by a Customs Officer at the premises of the Exporter/Declarant. This implies the definition of an information exchange allowing the communication of the Export control results (IE517) from the Exporter's/Declarant's premises to the AES of the Office of Export. This IE is shown on the diagram (between the process 'CO1A2300 - Verify goods and/or supporting documents at Exporter' and 'CO1A1002 - Handle results of a control'). To prove the validity/authenticity of the IE517, the Customs Officer will add a code to the IE517. This code (a random number) is generated by the Customs system just before the Customs Officer goes to the goods place.</p>	
Description :	
<p>The verification of the goods and/or supporting documents is a manual process performed by a Customs Officer at the goods place.</p> <p>The Customs Officer goes to the goods place, in this case the Authorised goods place as specified in the authorisation, in order to verify the documents or goods (or both), taking with him the printout of the 'Export control document on paper' as a working document (IE591).</p> <p>The Customs Officer controls the consignment against the printout. He can also check the supporting documents such as: commercial documents, invoices or others.. He may decide to affix seals.</p> <p>Following cases may occur:</p> <ol style="list-style-type: none"> 1. If the control revealed no discrepancies, then the controlled goods together with the 'Satisfactory' control results are registered and sent (IE517) to the Office of Export. 2. If control revealed minor discrepancies, then the Declarant is informed. He may give his advice right away without opposition (i.e. he accepts the revisions). The minor discrepancies are registered and sent (IE517) to the Office of Export (IE517.EXPORT OPERATION.Release requested flag is set to 'yes'). 3. If the control revealed minor discrepancies, then the Declarant is informed. He may give his advice right away and make opposition (i.e. he does not accept the revisions). The minor discrepancies are registered and sent (IE517) to the Office of Export (IE517.EXPORT OPERATION.Release requested flag is set to 'No'). 4. If minor discrepancies are detected during the control of the goods and/or supporting documents and the Exporter/Declarant has not yet communicated his advice, then minor discrepancies are registered and sent (IE517) to the Office of Export (IE517.EXPORT OPERATION.Release requested flag remains absent). 5. If the control revealed major discrepancies, then the Customs Officer goes back to the Office of Export with the not satisfactory results of a control (IE591 – Export control document on paper). <p>The decision about what is a 'minor' discrepancy or what is a 'major' discrepancy is made by each National Administration.</p>	
Final situation :	
<p>Control is performed by the Customs Officer and seals may have been affixed. Export control results are registered at the premises of the Trader at Export and sent to the AES of the Office of Export.</p> <p>If any, the minor revisions are communicated to the Exporter/Declarant.</p> <p>If major discrepancies are detected, not satisfactory are recorded at the Office of Export; the Exporter/Declarant is notified.</p>	

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Calculate duties and taxes	Process: CO1A2400
Organisation : National Customs Administration	
Location : Office of Export	
Constraint : The calculation of the duties & taxes for an export operation is a national matter;	
Description : On the basis of the duties and taxes foreseen at Export for the corresponding Commodity Code (TARIC Code), duties and taxes are calculated and registered: manually by the Customs Officer or automatically when such a facility is provided by AES. The calculated is registered in AES..	
Final situation : Duties and taxes are calculated and registered; the EXPORT OPERATION STATE is set to 'Under release'.	

Take decision	Process: CO1A2500
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : If the Customs Officer decides that the export movement can not be released then the 'Unsatisfactory' control results are logged. The Office of Export notifies (IE551) the Exporter/Declarant that the export movement may not be released; sanctions may be applied (see dashed line labelled "No release"). If the Customs Officer decides that the export movement can still be released, then 'Satisfactory' control results are logged.	
Final situation : IF unsatisfactory control results are registered and the export movement can not be released, the EXPORT OPERATION STATE is set to 'Not released for EXPORT'. If satisfactory control results are registered, the EXPORT OPERATION STATE is set to 'Under release'.	

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Major Result

R_MRN communicated to Exporter
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The MRN is communicated to the Exporter/Declarant. The Exporter/Declarant will use it to complete other documents where necessary.

Minor Results

R_Goods not released for Export
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The movement is not released because of major discrepancies detected by the Customs Officer. The Exporter/Declarant is notified of the fact that the movement may not be released.

R_Exporter notified of rejection
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The Exporter/Declarant is notified of the fact that the declaration is rejected.

R_Exporter notified of a control
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The Exporter/Declarant is notified of the fact that Customs will perform a control on the consignment.

R_Exporter notified of minor discrepancies
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The Exporter/Declarant is notified of the fact that Customs will perform minor revisions before the export declaration can be released.

R_Exporter notified of rejection of export control results
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The Exporter/Declarant is notified of the fact that the export control result message is rejected by AES.

R_Exporter notified of release request rejection
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The Exporter/Declarant is notified of the fact that his request to release the goods is invalid.

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R_Amendment accepted by Office of Export
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The amendment is accepted. The acceptance is communicated to the Exporter/Declarant.

R_Amendment rejected by Office of Export
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant) or Office of Export
The amendment is rejected. The rejection is communicated to the Exporter/Declarant.

Remark

Papers in AES

- In the AES environment, the EAD (Export Accompanying Document) will be the only remaining paper-based document printed by the system at export at release time.
- In case of an electronic declaration (EDI/DTI) the SAD copy 1 on paper no longer exists.

2.3 CO1B - Process Export – Release at Office of Export

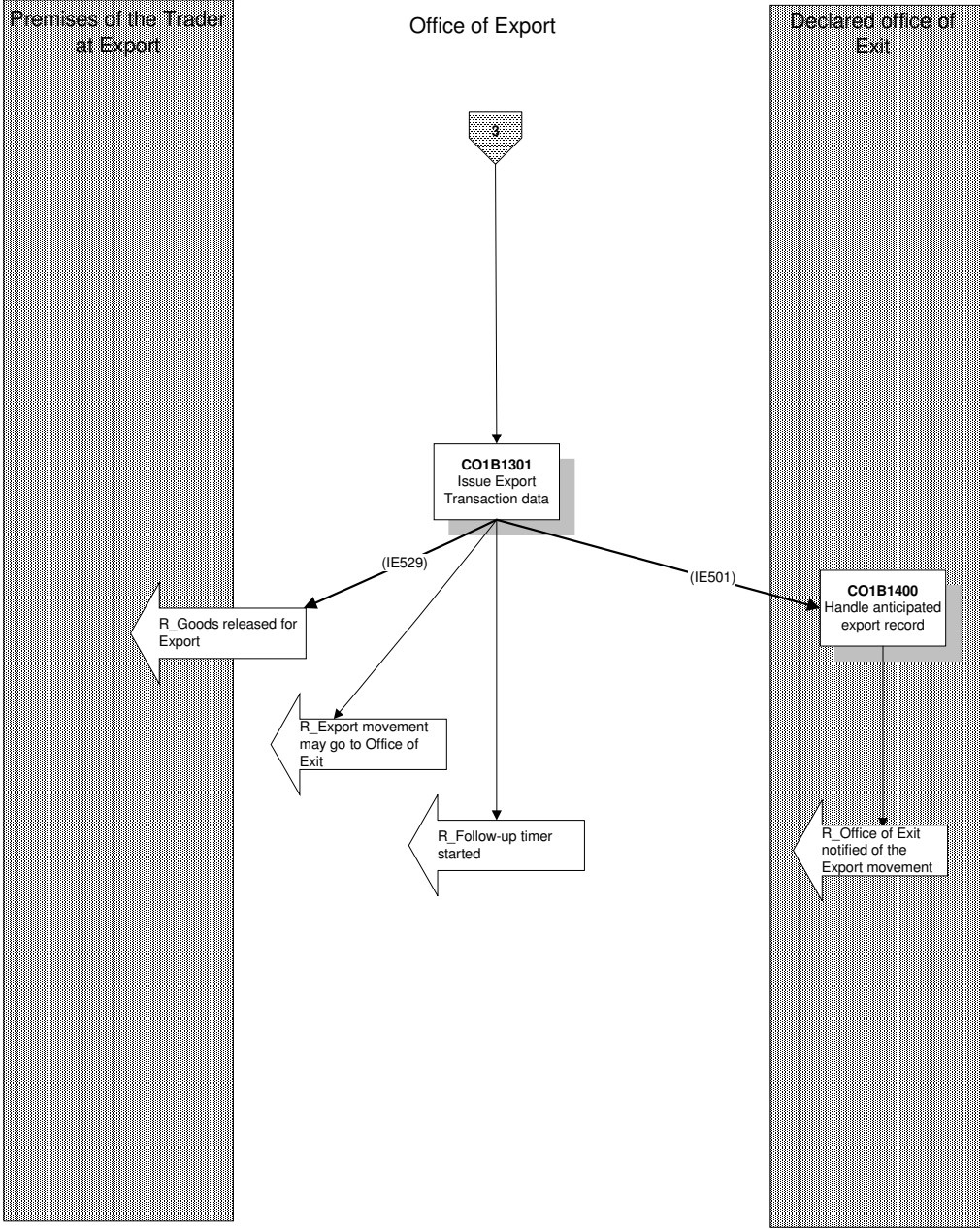


Figure 3: CO1B - Process Export – Release at Office of Export

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Processes

Issue Export transaction data	Process: CO1B1301
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
<p>Description :</p> <p>The expected exit date (IE501.CONTROL RESULT.Date limit) – submission date of the AER + 90 days - is recorded when the movement is issued. It is the date when the exit confirmation is expected to be returned from the Office of Exit. If no exit confirmation is received by the date fixed, a follow-up will have to be started according to CO04 "Handle follow-up" in order to proceed to the cancellation of the Export operation or to its finalization.</p> <p>AES sends the anticipated export record (AER; IE501). Risk analysis result code of type 'D', 'E' and 'Z' can also be communicated to the Office of Exit for information purposes.</p> <p>The release is communicated (IE529) to the Trader at Export. The release information (IE529) corresponds always to the current (latest) version of the Export operation data. This means that it contains the amended declaration data (if any) and/or the revised declaration data after a control (if any), completed with the control results of the Office of Export. The Export Accompanying Document (EAD) is printed under the responsibility of the Office of Export, either at the Office of Export or at the Authorised Exporter/Declarant's premises.</p> <p>Final situation :</p> <p>The Export transaction is issued; the declared Office of Exit is notified of the issuing of the Export transaction; the follow-up timer for the monitoring of the reception of the exit confirmation is set; the Export Accompanying Document (EAD) is printed and provided; the export movement may go to the Office of Exit, the EXPORT OPERATION STATE is set to 'Goods released for export'.</p>	

Handle anticipated export record	Process: CO1B1400
Organisation : National Customs Administration	
Location : Declared Office of Exit	
<p>Constraint: Risk analysis shall be performed at exit, primarily to ensure that the goods presented correspond to those declared and to fulfil the safety and security requirements.</p> <p>Where the export declaration has been lodged at an Office other than the Customs Office of Exit, the Customs Office of Exit may take account of the risk analysis results and the results of any control carried out by that other Office.</p> <p>Description :</p> <p>The declared Office of Exit (IE515.CUSTOMS OFFICE of Exit Reference number) receives the anticipated export record (IE501) - in advance - and stores it in AES. If safety and security risk analysis results are received with the anticipated export record customs officer at the Office of Exit has to decide whether or not to control the goods upon their arrival.</p> <p>It shall perform automatic risk analysis on the received AER and record the risk analysis results. The risk analysis results should influence the Customs' decision to control or not to control the consignment upon arrival.</p> <p>After automatic risk analysis, the Office of Exit may decide to complement the risk analysis results and/or to overrule the decision to control or not to control the goods upon arrival.</p> <p>Additional processing on national level may be provided such as adding practical information (e.g. who is the Customs Officer in charge of this export movement).</p> <p>Final situation :</p> <p>The AER is registered at the Office of Exit; the Office of Exit is ready to receive the consignment; the EXPORT OPERATION STATE is set to 'AER Created'.</p>	

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Major Results

R_Goods released for EXPORT
Organisation : National Customs Administration
Location : Premise of Trader at Export (Exporter/Declarant) or Office of Export
The Export Accompanying Document (EAD) is printed under responsibility of the Customs Officer at the Office of Export or at the premises of the Authorised Exporter/Declarant.

R_Office of Exit notified of the export movement
Organisation : National Customs Administration
Location : Declared Office of Exit
The declared Office of Exit is notified of the release of an export movement.

Minor Results

R_Export movement may go to Office of Exit
Organisation : National Customs Administration
Location : Office of Export
The export movement may be transported to the Office of Exit.

R_Follow-up timer started
Organisation : National Customs Administration
Location : Office of Export
The timer that initiates a follow-up is started.

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2.4 CO02 - Process Arrival at Actual Office of Exit

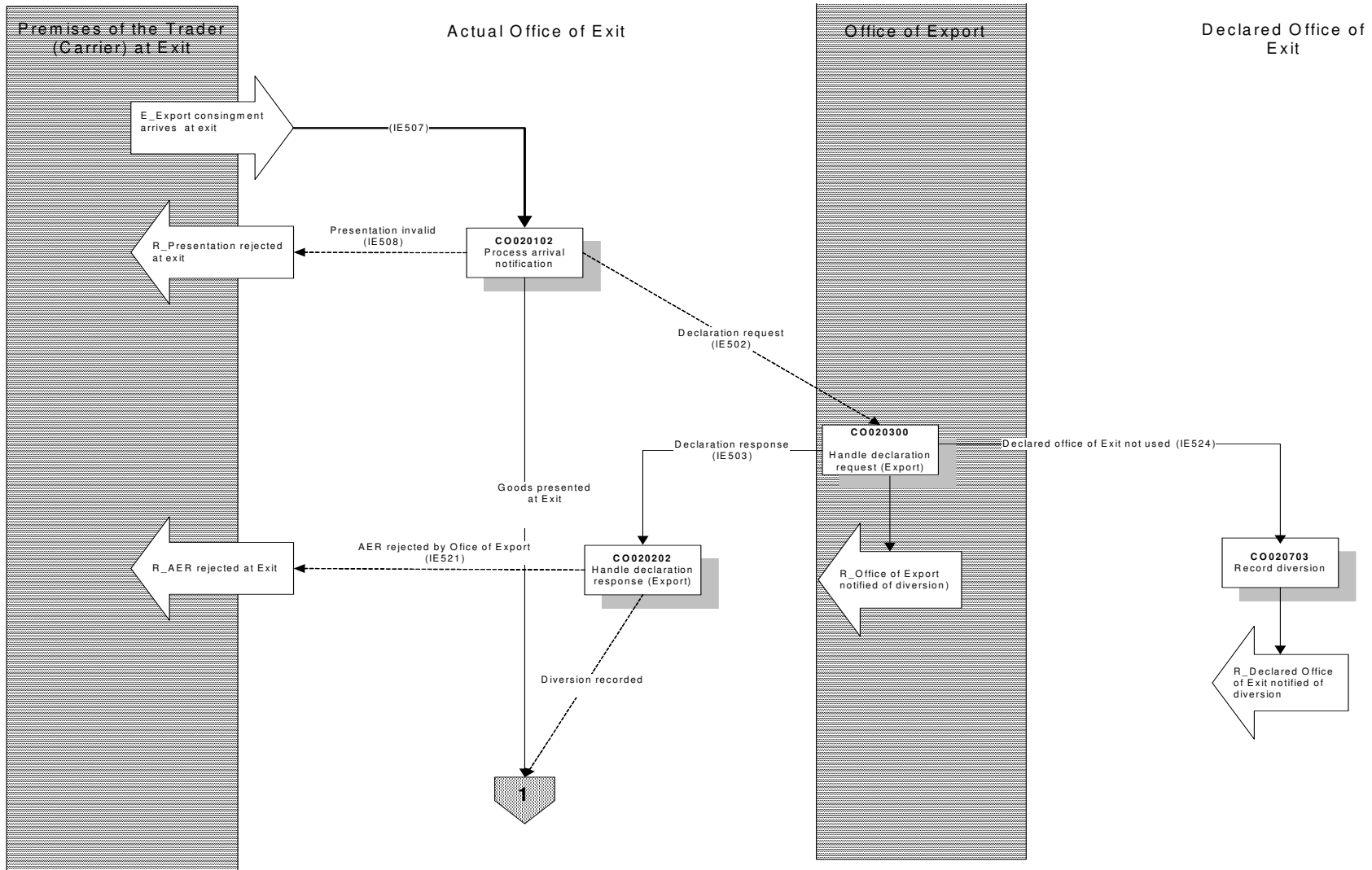


Figure 4: CO02 - Process Arrival at Actual Office of Exit part I

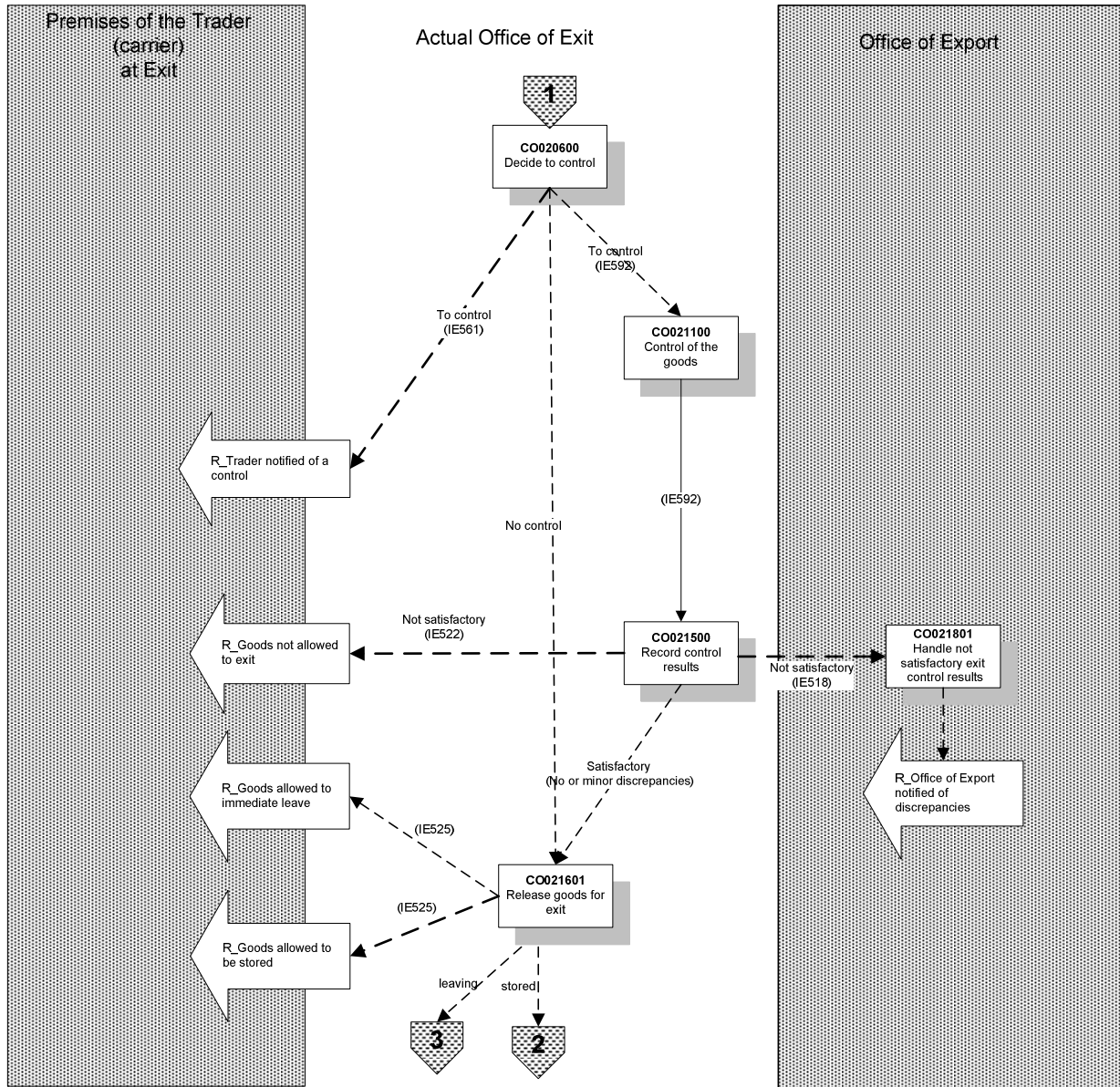


Figure 5: CO02 - Process Arrival at Office of Exit part II

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Major Event

E_Export consignment arrives at exit
Organisation : Trader at Exit (Carrier)
Location : Actual Office of Exit
The consignment has reached the Office of Exit.

Processes

Process arrival notification	Process: CO020102
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint : The Office of Exit may not know whether the MRN provided in the arrival notification (IE507) relates to an export declaration or to an Exit summary declaration. If AES can not find the data related to the provided MRN, a declaration request (IE502) is sent in any case. This process is therefore used for export declarations and for Exit summary declaration processing.	
Description :	
Goods are presented (IE507) to the Office of Exit either for immediately leaving the Community or for being stored in a warehouse prior to their exit ('IE507.EXPORT OPERATION.Storing' flag is set to 'yes').	
Validation of the received arrival notification must be performed. The validation process can be a completely automated process.	
If an arrival notification (IE507) is presented for immediate leave ('IE507.EXPORT OPERATION. Storing flag' attribute is set to 'no'), then the location where the consignment can be controlled is either:	
<ul style="list-style-type: none"> • at the Office of Exit, if 'IE507.EXPORT OPERATION.Arrival agreed location of goods' and 'IE507.EXPORT OPERATION.Arrival agreed location code' and 'IE507.EXPORT.OPERATION.Customs sub place' are absent; • at an agreed location of goods, if 'IE507.EXPORT OPERATION.Arrival agreed location of goods' or 'IE507.EXPORT OPERATION.Arrival agreed location code' is present and if acceptable by the Customs Office (AES requires the Customs Officer to validate the location); no further processing is foreseen in AES to handle this kind of locations; • at a Customs sub place, if 'IE507.EXPORT OPERATION. Customs sub place' is present; in this case AES validates it against the various Customs sub places acceptable for the Office of Exit. 	
If an arrival notification (IE507) is presented for goods which have to be stored prior to their exit ('IE507.EXPORT OPERATION. Storing flag attribute' is set to 'yes'), AES checks that the Trader who communicates the arrival (IE507.TRADER.TIN) is indeed authorised (Authorised Trader/Carrier) to receive goods at that Office of Exit and validates the storing location ('IE507.EXPORT OPERATION. Authorised Storing Location of goods') against the various authorised places specified in the authorisation.	
If the arrival is invalid , AES rejects it and notifies (IE508) the Trader (Carrier), indicating the reason for the rejection (see dashed line labelled "Presentation invalid").	
If the arrival is valid , AES queries for the export declaration data/Exit summary declaration data referenced by the MRN provided in the arrival notification (IE507.EXPORT OPERATION.MRN).	
If the corresponding data is available in AES and if the export declaration/the Exit summary declaration is in an appropriate state, the arrival is recorded in AES (see dashed line labelled 'Goods presented at Exit').	
If the export declaration data/exit summary declaration data is not available (either in case of international diversion ² or in exceptional situations ³), AES sends a declaration request (IE502) to the Country of Export/ (if	

² International diversion: export declaration diverted to another country than the one of the declared Office of Exit.

National diversion: export declaration diverted to another Office of Exit but in the same country than the one of the declared Office of Exit.

³ These exceptions situations are analysed in Section IX "Exception handling".

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an export declaration is concerned) / to the Country of Lodgement (if an Exit summary declaration is concerned), identified by the MRN (see dashed lines labelled “Declaration request”).

If a declaration request is sent (IE502), then this process ends by recording that the AER has been requested.

Final situation :

If the arrival notification is not valid then it is rejected, the EXPORT OPERATION STATE remains ‘AER Created’;

If a declaration request is sent (IE502), the Office of Exit waits for the response (IE503) the EXPORT OPERATION STATE is set to ‘AER Requested’;

In the other cases, the arrival is accepted and recorded into AES. The EXPORT OPERATION STATE is set to "Goods presented at Exit".

Handle declaration request response (Export)	Process: CO020202
Organisation : National Customs Administration	
Location : Actual Office of Exit	
<p>Constraint : This process is used for export declarations and for Exit summary declaration processing. The AES of the Office of Exit having previously sent out a declaration request (IE502) must be able to receive and process following possible responses:</p> <ul style="list-style-type: none"> - IE503, including the requested export declaration data (case 1), or - IE503, not including the requested export declaration data (case 2), or - IE603, including the requested Exit summary declaration data or (case 3), or - IE603, not including the requested Exit summary declaration data (case 4). 	
<p>Description :</p> <p>The Office of Exit receives the response from the Country of Export/Country of Lodgement about requested export declaration or about a requested Exit summary declaration. The received responses can be the ones stated in the constraint:</p> <ul style="list-style-type: none"> • In case 1: AES validates and records the received export declaration data (IE503. C_AER_RSP) - see dashed line labelled “Diversion recorded”. Risk analysis is performed. The EXPORT OPERATION STATE is set to "Goods presented at Exit". • In case 2: AES validates and records the received response (IE503. C_AER_RSP) and notifies (IE521) the Trader about the rejection (see dashed line labelled – 'AER rejected by Office of Export'). • In case 3: AES validates and records the received export summary declaration data (IE603. C_ESD_SND) -see dashed line labelled “Diversion recorded”. Risk analysis is performed. The EXPORT OPERATION STATE is set to "Goods presented at Exit" • In case 4: AES validates and records the received response (IE603. C_ESD_SND) and notifies (IE521) the Trader about the rejection (see dashed line labelled 'C_ESD_SND rejected by Office of Lodgement'). 	
<p>Final situation :</p> <p>If the Export declaration (or the Exit summary declaration) is not provided, the negative response is recorded and the Trader at Exit is informed consequently.</p> <p>If the Export declaration (or the Exit summary declaration) is provided, the positive response is recorded. The diversion is recorded (for export declarations only). The EXPORT OPERATION STATE is set to 'Goods presented at Exit'.</p>	

Handle declaration request (Export)	Process: CO020300
Organisation : National Customs Administration	
<p>Location :</p> <ul style="list-style-type: none"> - Country (Office) of Export (in case of export customs declarations) or - Country (Office) of Lodgement (in case of Exit summary declarations) 	

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Constraint :

This process is used for export declarations and for Exit summary declaration processing.

It is used to search and retrieve data (if available) on an EXPORT Operation (export customs declaration or Exit summary declaration) for which data is not available in the Member State of the Actual Office of Exit (international diversion or other exceptional cases). Automated response should be returned to Office of Exit within maximum 60 seconds.

In case a received IE502 is related to a MRN which is not known in the Country which receives the IE502, a negative IE503 shall be sent in any case. No negative IE603 shall be sent in such a case.

Description :

The Country of Export/Lodgement is asked (IE502) by the Office of Exit to provide information about a movement. AES queries for the requested data (export customs declaration or Exit summary declaration) referenced by the MRN (IE502.EXPORT OPERATION.MRN).

AES automatically sends the required information about the movement to the requesting Office of Exit.

1. A positive response (IE503 including the C_AER_SND) shall be sent if the MRN is related to the export declaration. Response may include the safety and security risk analysis results.
2. A negative response ('IE503.EXPORT OPERATION. AER rejection reason' is present), shall be sent in following cases:
 - a. if the requested Country does not know the MRN, neither in the context of an Exit summary declaration nor of an export customs declaration, or
 - b. if the MRN is related to an export declaration which can not be sent for any reasons (e.g if the movement is not in an appropriate EXPORT OPERATION STATE).
3. A positive response (IE603 including the C_EXS_SND) shall be sent if the MRN is related to the exit summary declaration. Response may include the safety and security risk analysis results (if available).
4. A negative response IE603 ('IE603.EXPORT OPERATION. Summary declaration rejection reason' is present) shall be sent, if the MRN is related to a known Exit summary declaration which can not be sent for any reasons (e.g. if the movement is not in an appropriate EXPORT OPERATION STATE).

If a positive response (IE503-including the C_AER_SND - case 1) is sent, the AES records the diversion and notifies it (IE524) to the declared Office of Exit.

Final situation :

IE503 is sent to the Office of Exit. If the case occurs, the declared Office of Exit is notified (IE524) of the diversion, or

IE603 is sent to the Office of Exit

Decide to control	Process: CO020600
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint: Where the export declaration has been lodged at an Office other than the Customs Office of Exit, the Customs Office of Exit may take account of the risk analysis results and the results of any control carried out by that other Office when deciding to control. The 'Declaration submitted time' shall be considered.	
Description : The Customs Officer compiles all the information he needs ((the export movement information and the risk analysis results - retrieved by AES via the MRN brought in with the arrival notification (IE507.EXPORT OPERATION.MRN)) - 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.	
First case: the Customs Officer decides to control: On request, the Customs Officer can ask the Trader for the printout of the 'Exit control document on paper' (IE592) or he can print it out at the Office himself by indicating the 'MRN'. The Customs Officer registers the	

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decision to control in AES. The EXPORT OPERATION STATE is set to 'Under Control'.

The control will be performed

- at the Office of Exit (if IE507.EXPORT OPERATION.Arrival agreed location of goods and IE507.EXPORT OPERATION.Arrival agreed location code and IE507.EXPORT.OPERATION.Customs sub place are absent),
- at an agreed location of goods (if IE507.EXPORT OPERATION.Arrival agreed location of goods or IE507.EXPORT OPERATION.Arrival agreed location code is present and acceptable by the Customs Officer) or
- at a Customs sub place (if IE507.EXPORT OPERATION. Customs sub place is present) in which case the Customs Officer goes to that place (see dashed line labelled “To control”).

The Trader at Exit is notified (IE561) of the decision to control in order to allow him to be present during the control.

Second case: the Customs Officer decides not to control:

The Customs Officer records in AES the decision not to control the consignment. The goods are ready to be released for exit (i.e. to be allowed to be stored prior to exit or to be allowed to immediate leave the community) - see dashed line "No control". The EXPORT OPERATION STATE is set to 'Goods ready to be released'. Where necessary, AES makes the EXPORT movement data available for other applications.

Final situation :

One of the following decisions is taken: no control at all, the EXPORT OPERATION STATE is set to "Goods ready to be released", or a control will be performed, the EXPORT OPERATION STATE is set to 'Under Control'.

Record diversion	Process: CO020703
Organisation : National Customs Administration	
Location : Declared Office of Exit	
Constraint :	
Description : The Declared Office of Exit is notified (IE524) by the Office of Export about a diversion. Based on the MRN brought in the forwarded arrival advice (IE524.EXPORT OPERATION.MRN), AES records the arrival of the consignment elsewhere.	
Final situation : The Declared Office of Exit no longer waits for an export movement with that MRN, the state of the EXPORT OPERATION STATE is set to 'Arrived elsewhere'.	

Control of the goods	Process: CO021100
Organisation : National Customs Administration	
Location : Actual Office of Exit	
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 (as specified in the arrival notification IE507) in order to verify the seals (if any), documents or goods (or all of them), taking with him the printout of the 'Exit control document on paper' (IE592) based on the MRN brought in the arrival notification (IE507.EXPORT OPERATION.MRN) The Customs Officer controls the consignment and the supporting documents against the printout.	
Final situation : Seals (if any), documents and consignment are controlled.	

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Record control results	Process: CO021500
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint :	
Description : <p>The Customs Officer at the Office of Exit records the results of the control in AES after he returns from the control of the goods based on the exit control document (IE592). Control results are of type 'A' (satisfactory or minor discrepancies) or of type 'B'(Not satisfactory).</p> <ul style="list-style-type: none"> Control results of type 'A' (satisfactory or minor discrepancies): AES records that the goods are ready to be released. In case of minor discrepancies, the goods may also be ready to be released for exit. The minor discrepancies will be reported to the Office of Export in due time, with the exit control results (IE518) according to process CO03100. Control results of type 'B' (not satisfactory): The Office of Export is notified about the exit control results (IE518 reporting the detected discrepancies) and the goods may not be released for exit; the export operation is stopped here without prejudice of any subsequent measure to be taken. The Export movement is not released for exit. AES notifies (IE522) the Trader at Exit (Carrier) about the fact. <p>N.B. The decision about what is a 'minor discrepancy' or what is 'not satisfactory' is made by each National Administration on the basis of the provisions in force.</p> <p>Final situation : Control results are stored in AES: The goods are:</p> <ul style="list-style-type: none"> either ready to be released, the EXPORT OPERATION STATE is set to 'Goods ready to be released' or, to be stopped (if 'not satisfactory' is considered), the EXPORT OPERATION STATE is set to "Goods not allowed to exit" and the Office of Export is notified (IE518) of the not satisfactory control results and the TRADER at Exit (Carrier) is notified (IE522) of the exit release rejection. 	

Release goods for Exit	Process: CO021601
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint :	
Description : <p>'Goods ready to be released' are released either for immediately leaving the Community or for being stored in a warehouse prior to their exit (see presentation process CO020102). The Trader at Exit (carrier) is notified (IE525) consequently.</p> <p>Where pertinent, AES makes the Export operation data available for other applications.</p> <p>Final situation : The goods are released either to exit or to be stored prior the exit. The EXPORT OPERATION STATE is set to 'Goods released for immediate leave' or to 'Goods held for storing'.</p>	

Handle not satisfactory exit control results	Process: CO021801
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : <p>The Office of Export receives the 'not satisfactory' exit control results (IE518.CONTROL RESULT.Control result code is equal 'B1') from the Office of Exit. Based on the MRN brought in the control results ('IE518.EXPORT OPERATION.MRN'), AES records these control results and notifies the Customs Officer at Export that the movement has been stopped at the Office of Exit because of discrepancies detected, in order</p>	

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for him to take any further action deemed necessary. The related follow-up timer is stopped.

Final situation :

The EXPORT OPERATION STATE is set to 'Export stopped. discrepancies at Exit'

Major Results

R_Goods allowed to immediately leave

Organisation: National Customs Administration

Location: Actual Office of Exit

The Trader at Exit (Carrier) is notified that the goods can immediately exit the Community

R_Goods allowed to be stored

Organisation: National Customs Administration

Location: Premises of the Trader at Exit or Actual Office of Exit

The information confirming that the goods are allowed to enter a warehouse prior to leaving the Community is communicated to the Trader at Exit (Carrier).

Minor Results

R_Presentation rejected at Exit

Organisation: National Customs Administration

Location: Premises of the Trader at Exit or Actual Office of Exit

The Trader is notified of the fact that the presentation is not valid.

R_AER rejected at Exit

Organisation: National Customs Administration

Location: Premises of the Trader at Exit or Actual Office of Exit

The AER is rejected. The Trader at Exit is notified of the rejection.

R_Goods not allowed to exit

Organisation: National Customs Administration

Location: Premises of the Trader at Exit or Actual Office of Exit

The Trader at Exit is notified that the goods are not allowed to leave the Community.

R_Office of Export notified of diversion

Organisation: National Customs Administration

Location: Office of Export

A declaration request is received at the Office of Export.

R_Offices of Export notified of discrepancies

Organisation: National Customs Administration

Location: Office of Export

The Office of Export is notified of discrepancies detected at the Office of Exit.

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R_Declared Office of Exit notified of diversion
Organisation: National Customs Administration
Location: Declared Office of Exit
The diversion notification is received by the declared Office of Exit.

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

Remark

In case a movement released for an export procedure is presented to be subsequently transported under a transit procedure, the office of departure acts as the office of exit for the purpose of the export procedure. This means that by releasing the movement for transit, the goods are deemed to have exited. The office of departure therefore issues the 'exit results' message (IE518) and, if applicable, the local authority issues the 'exit notification' (IE590) bearing an indication that a transit procedure has started.

2.5 CO03 - Process Exit at Actual Office of Exit

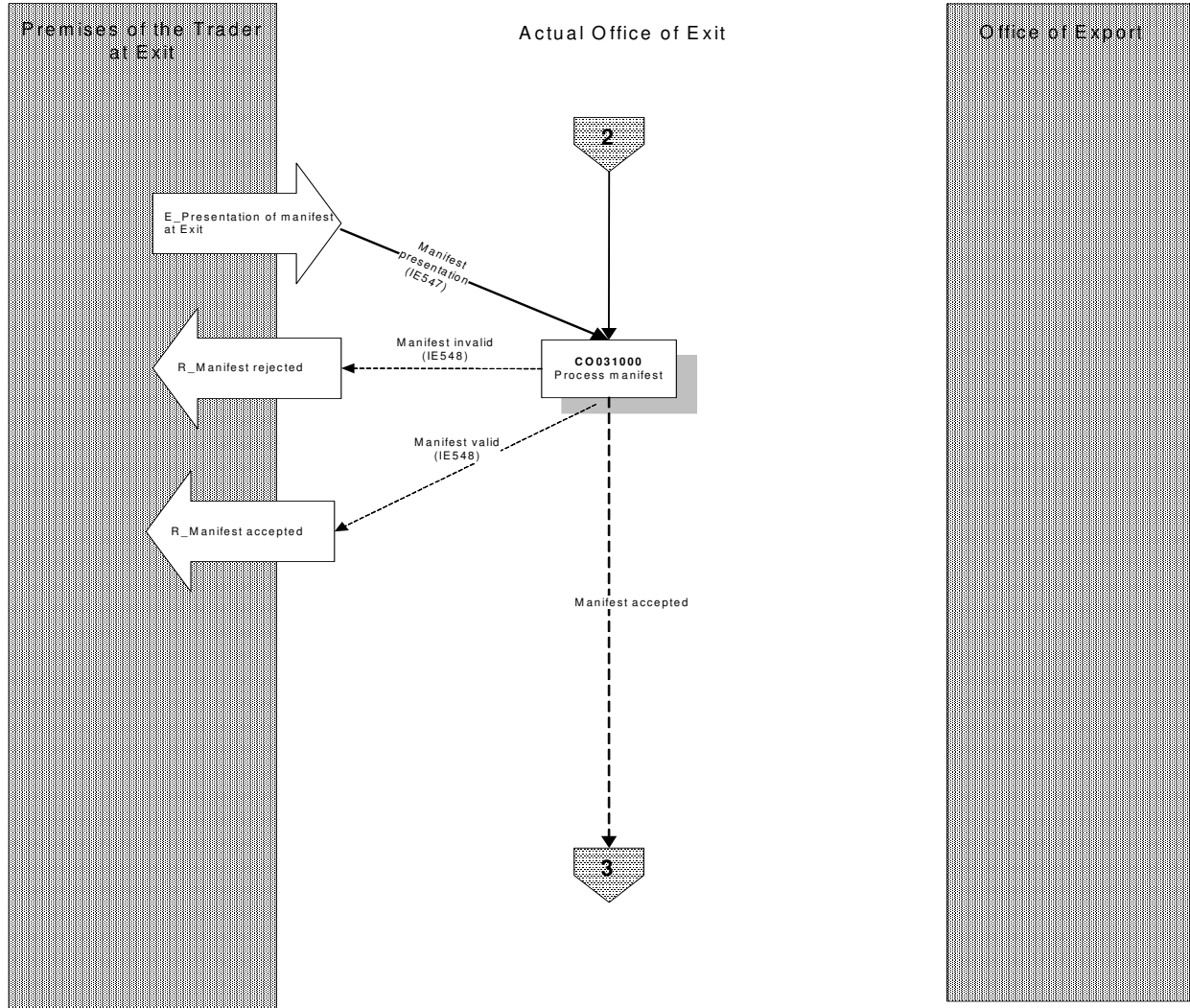


Figure 6: CO03 - Process Exit at Actual Office of Exit Part I

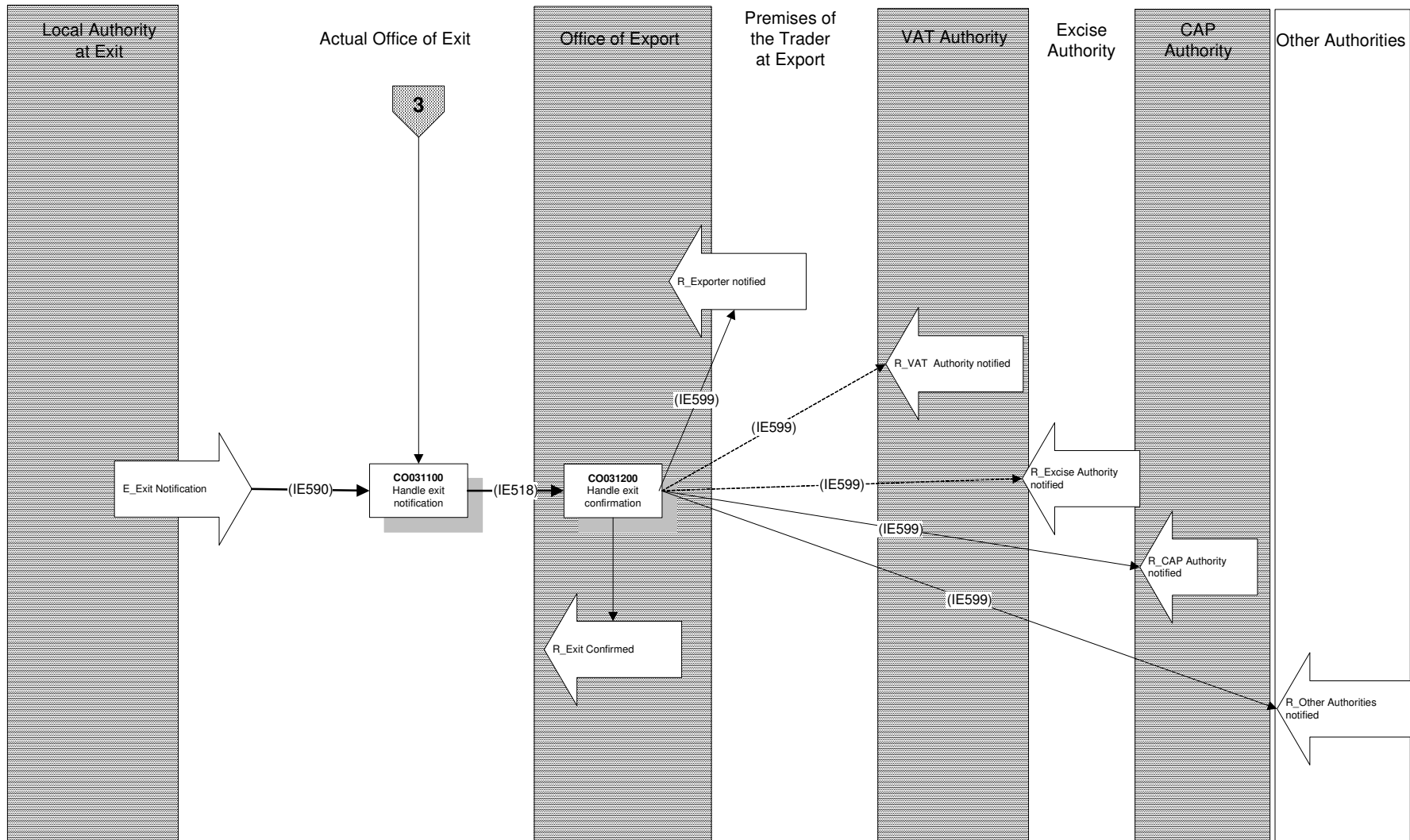


Figure 7: CO03 - Process Exit at Actual Office of Exit Part II

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Major Event

E_Presentation of manifest at Exit (manifest)
Organisation : Trader f at Exit
Location : Premises of the Trader at Exit, or Actual Office of Exit.
Usually the Trader prepares the list (manifest) of the stored goods intended to leave the Community on a given means of transport , and presents it to the Customs Office of Exit.

E_Exit notification
Organisation : Local Authorities at Exit
Location : Premises of Local Authorities at Exit or Actual Office of Exit.
Notification by the Authority in charge of verifying the actual Exit of the goods from the Community to the Actual Office of Exit about the fact that the goods have left the Community. N.B. This event can also consist of a notification of the departure of the given means of transport from the Local Authority at Exit to the Office of Exit.

Processes

Process manifest	Process: CO031000
Organisation: National Customs Administrations	
Location: Actual Office of Exit	
Constraints: National variants are possible depending on the local organisations. It must be possible to receive and process amendments of the presented manifest (i.e. mainly reduction of the cargo, and/or its increase), not described here..	
Description: The manifest is submitted (IE547) via electronic means to the Actual Office of Exit and is registered there after validation. The validation process can be a completely automatic process. The manifest contains, apart from the data required in the international Convention and/or in the national provisions, one or more 'MRN' and – in case a partial Exit shall be processed – 'Item number(s) involved' (IE547.CUSTOMS DATA) linking the manifest to the arrival notification and to the customs export declaration and to the item(s) concerned. For each shipment AES also checks the marks and numbers, number of packages, gross weight, and the description of the goods (where coded on the manifest). If the presentation is invalid, AES rejects the submitted manifest (IE547) and notifies (IE548) the Trader at Exit that the presentation is invalid with the reasons of the rejection (see dashed line "Manifest invalid"). The EXPORT OPERATION STATE at the Actual Office of Exit remains 'Goods held for storing'. If the presentation is valid, AES records the total or partial intended leave with the given means of transport and the goods are ready to immediately leave the Community. The Trader at Exit is notified consequently (IE548).The EXPORT OPERATION STATE at the Actual Office of Exit is set to 'Goods released for immediate leave' totally or partially. NB. In case a new control of the goods is estimated necessary by the Customs Officer, the process CO021100 is newly initiated.	
Final situation: If the presentation of manifest is not valid, then it is rejected and the EXPORT OPERATION STAT remains	

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"Goods held for storing".
If valid, the manifest is accepted and the Export OPERATION STATE is set to "Goods released for immediate leave" totally or partially.

Handle exit notification	Process: CO031100
Organisation : National Customs Administrations	
Location: Actual Office of Exit	
Constraint: Possible national variants depending on local organisation. Exit may be confirmed by the Customs Office itself or on its behalf by a designated Local Authority.	
<p>Description: The Actual Office of Exit is notified (IE590) by the Local Authorities in charge of verifying the actual exit of the goods from the Community that the goods have left, either on the basis of the export document (MRN) or on the basis of the manifest linked to a given means of transport.</p> <p>Based on the export document MRN or on the MRNs/item numbers referred to in the manifest, AES records the actual exit of the goods from the Community (date + in case of manifest, manifest references and identity of the means of transport). Total exit or, where the case occurs, the partial exit is recorded.</p> <p>If partial exit is recorded, the EXPORT OPERATION STATE is set to 'Partially exited'.</p> <p>If total exit is recorded, the EXPORT OPERATION STATE is set to 'Exited'.</p> <p>For each Export operation for which the EXPORT OPERATION STATE is set to "Exited", the Actual Office of Exit sends an Exit control result message (IE518) to the Office of Export.</p> <p>Final situation :</p> <p>The goods covered by an export operation have left the Community totally or partially; the EXPORT OPERATION STATE is set to 'Exited' or 'Partially exited'..</p>	

Handle exit confirmation	Process: CO031200
Organisation : National Customs Administration	
Location : Office of Export	
Constraint: This process comprises the notification of relevant information to the various actors which can be interested by an export operation. Each notification may vary in its content depending on the receiving organisation/actor. Consequently the notification and its content may be different one from the other. However, it is assumed that the full content of the notification may be submitted to the receiving organisations/actors and that they should be able to extract the data they need for their purposes.	
<p>Description :</p> <p>The Office of Export receives (IE518) the exit control results (exit confirmation) from the Actual Office of Exit. Based on the MRN brought in the exit confirmation (IE518.EXPORT OPERATION.MRN), AES records the exit details as contained in the exit confirmation. The EXPORT OPERATION STATE is set to 'Exported'. The related Follow-up timer is stopped.</p> <p>The 'Exported' Export operation is notified (IE599) to the exporter and, when relevant, to other actors such as VAT Authority, CAP Authority, Excise Authority, etc.</p> <p>Final situation :</p> <p>The exit confirmation has been received. If minor discrepancies were reported in the exit confirmation, the export data is updated accordingly. The EXPORT OPERATION STATE is set to 'Exported'. The Export operation is notified to the relevant organisations/actors.</p>	

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Major Results

R_Manifest accepted
Organisation : National Customs Administrations
Location : Premises of the Trader at Exit or Actual Office of Exit.
The Trader at Exit is notified of the fact that the presented manifest is accepted, and consequently the goods are allowed to immediate leave the Community by the given means of transport.

R_Exit Confirmed
Organisation : National Customs Administration
Location : Office of Export
The actual exit of the export operation has been recorded.

R_EXPORTER notified
Organisation : National Customs Administration
Location : Premises of Trader at Export or Office of Export
The full export operation is notified to the Exporter with all the exit details. It could also consist in the delivery of its printout.

Minor Results

R_Manifest rejected
Organisation : National Customs Administrations
Location : Premises of the Trader at Exit or Actual Office of Exit.
The Trader at Exit is notified of the fact that the presented manifest is rejected.

R_VAT Authority notified
Organisation : National Customs Administration
Location : Premises of VAT Authority
The full export operation is notified to the VAT Authority with all the exit details.

R_Excise Authority notified
Organisation : National Customs Administration
Location : Premises of Excise Authority
The full export operation is notified to the Excise Authority with all the exit details.

R_CAP Authority notified
Organisation : National Customs Administration
Location : Premises of CAP Authority
The full export operation is notified to the CAP Authority with all the exit details.

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R_Other(s) notified
Organisation : National Customs Administration
Location : Premises of Other(s)
The full export operation is notified to the other relevant actors with all the exit details.

2.6 * CO04 - Handle Follow-Up

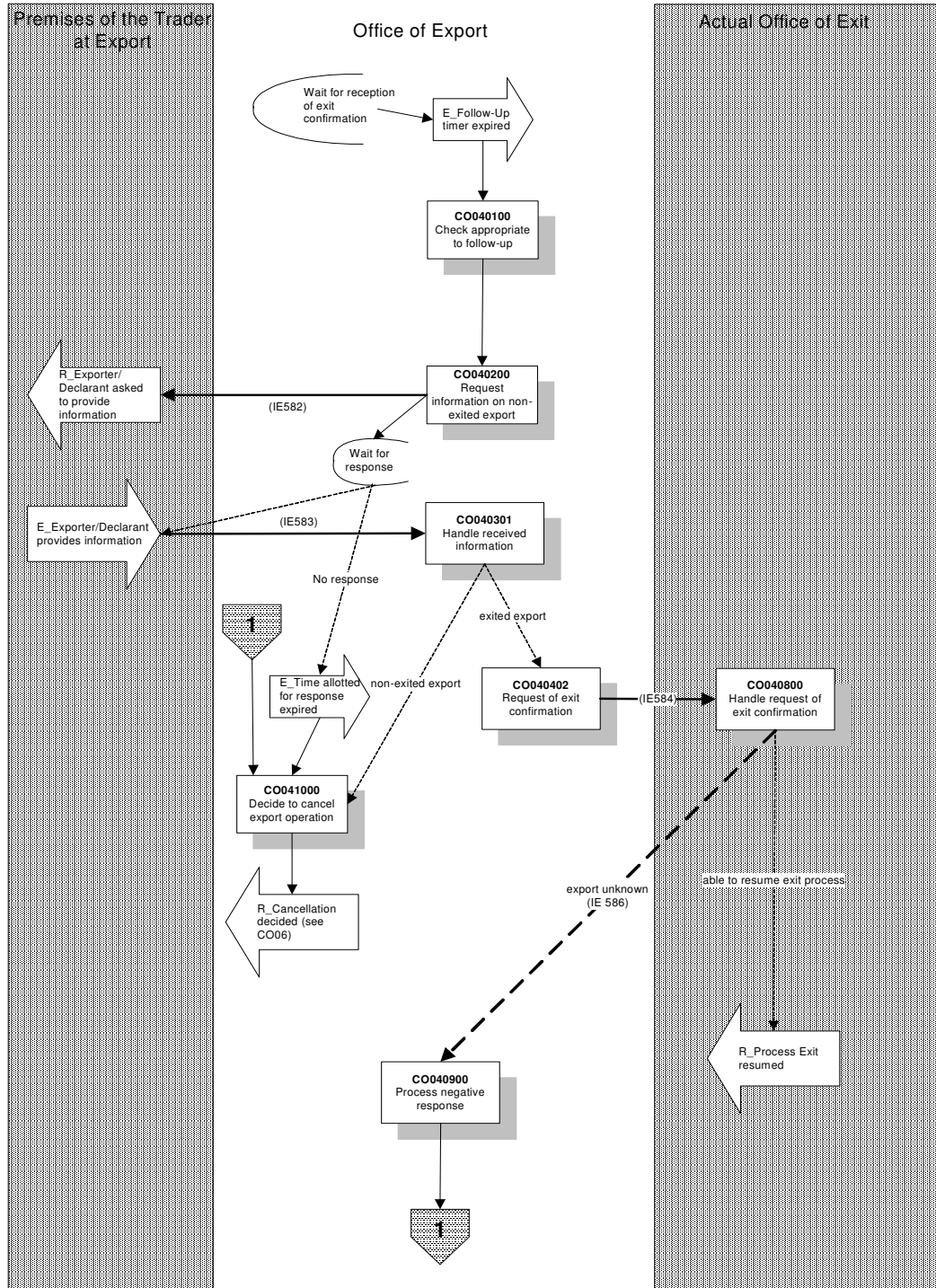


Figure 8: CO04 - Handle Follow-Up

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FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
AES – EXPORT PROCESS	

Major Event

E_Follow-up timer expired
Organisation : National Customs Administration
Location : Office of Export
(Timed event) The time allotted for the receipt of the exit confirmation (See Process CO1B1301) has expired. This time-out indicates that a follow-up should be started. The value of this “timer” may be manually adjusted by a Customs Officer, where necessary. When the exit confirmation (IE518) is received from the Office of Exit, or when the export operation is cancelled, the timer is stopped.

Minor Events

E_Exporter/Declarant provides information
Organisation : Trader at Export (Exporter/Declarant)
Location : Premises of the Trader at Export
The Exporter/Declarant responds to the request for information.

E_Time allotted for response expired
Organisation : National Customs Administration
Location : Office of Export
(Timed event) A time-out has occurred. This time out indicates that, in absence of any response from the Exporter/Declarant, the Office of Export may decide to cancel the export operation. This time-out period is defined by the Office of Export when it requests information on non-exited export to the Trader (Exporter/Declarant).

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Processes

Check appropriate to follow-up	Process: CO040100
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : If not done manually by the Officer at the Office of Export, AES automatically retrieves the export operation information identified by the MRN brought in the timer 'Follow-up timer' (time allotted for the receipt of the exit confirmation from the Office of Exit) started by the process CO1B1301 'Issue Export transaction data' and notifies the Customs Officer, that it is time to start its follow-up.	
Final situation : The processing continues and the follow-up timer is stopped.	

Request information on non-exited export	Process: CO040200
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : This process demands always an intervention of a Customs Officer. The Customs Officer asks (IE582) the Exporter/Declarant for information regarding the whereabouts of the export operation for which no exit confirmation has been received, fixing a time limit for providing the response (see timer “Wait for response”).	
Final situation : The Exporter/Declarant has been requested to provide information on the export operation within a given time limit.	

Handle received information	Process: CO040301
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : The Customs Officer at the Office of Export receives (IE583) the Exporter/Declarant’s response and records the received information (IE583.EXPORT OPERATION.MRN) in AES after validation. The validation might be a completely automated process. The response may be, for example, that the export operation has been diverted to a different Office of Exit (IE583..CUSTOMS OFFICE Actual Office of Exit) or that the export operation had not been exited. Depending on the response from the Exporter/Declarant, the Customs Officer at the Office of Export decides : <ul style="list-style-type: none"> • to request confirmation of the exit of the export operation (see dashed line labelled 'exited export'), or • to cancel the export operation (see dashed line labelled 'non-exited export'). 	
Final situation : A decision has been taken on whether to request an exit confirmation (IE518) or to progress towards cancellation of the export operation. In the first case the EXPORT OPERATION STATE is set to ‘Under exit confirmation request’. In the second case the EXPORT OPERATION STATE is set to 'Under cancellation decision'.	

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Request of exit confirmation	Process: CO040402
Organisation : National Customs Administration	
Location : Office of Export	
Constraint: The Office of Export may send more than one exit confirmation requests (IE584), in particular if either a follow up negative response (IE586) or no response at all had been received in a first place.	
Description : AES sends an exit confirmation request (IE584) to the Office of Exit indicated by the Exporter/Declarant in his response (IE583 - see Process CO040301 "Handle received information"). The request contains information obtained from the Exporter/Declarant which will be relevant to the Office of Exit (e.g. the 'Exit date', date at which the Exporter/Declarant claims that export operation had exited). AES records the exit confirmation request.	
Final situation : An exit confirmation request has been sent to the indicated Office of Exit.	

Handle request of exit confirmation	Process: CO040800
Organisation : National Customs Administration	
Location : Requested Office of Exit	
Constraint : The AES must warn the requested Office of Exit when an exit confirmation request is received.	
Description : The Office of Exit receives (IE584) an exit confirmation request from the Office of Export. The Customs Officer/AES performs the required researches in order to provide a response to the Office of Export. This might include checking the presentation of the export operation at exit and/or checking whether the exit notification had been correctly recorded into the system, Carriers may be contacted to establish the whereabouts of the export operation. If the export operation has exited, the normal exit process is resumed (see dashed line labelled 'able to resume exit process'). If the export operation has not exited, AES sends (IE586) a negative response to the Office of Export, confirming that the export operation was never presented/has not exited at this Office of Exit (see dashed line labelled 'export unknown/not exited").	
Final situation : Either the Office of Export has been informed that the export operation has never been presented/has not exited or normal exit process is resumed (i.e. IE518 is sent to the Office of Export).	

Process negative response	Process: CO040900
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : The Office of Export receives (IE586) the negative response which indicates that researches at the requested Office of Exit have been completed without locating the export operation. This confirms that the export operation identified by the 'MRN' ('IE586.EXPORT OPERATION.MRN') has not been presented at that Office of Exit or that it has not exited there. AES records the response. The Customs Officer at the Office of Export has to decide to cancel or not to cancel the cancellation of the export operation (see connector 1).	
Final situation : A decision has been taken to progress towards the cancellation of the export operation. The state of the Export operation is set to 'Under cancellation decision'.	

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Decide to cancel export operation	Process: CO041000
Organisation : National Customs Administration	
Location : Office of Export	
Constraint :	
Description : The Customs Officer at the Office of Export decides to cancel the export operation for which: <ul style="list-style-type: none"> • no response has been received (IE583) within the given time limit from the Trader at Export (Exporter/Declarant) to his request of information on non-exited export (IE582); • the Trader at Export (Exporter/Declarant) has notified (IE583) that the export operation has not been exited; • a negative response (IE586) has been received from the Office of Exit requested (IE584) to confirm the exit. The EXPORT OPERATION STATE is set to 'Under cancellation'. (see CO06 Process Cancellation).	
Final situation : The cancellation of the Export operation has been decided. The EXPORT OPERATION STATE is set to 'Under cancellation'.	

Minor Results

R_ Exporter/Declarant asked to provide information
Organisation : National Customs Administration
Location : Premises of the Trader at Export (Exporter/Declarant)
The Exporter/Declarant has received a request for information on a non-exited export operation.

R_ Cancellation decided
Organisation : National Customs Administration
Location : Office of Export
The Office of Export has decided to cancel the export operation.

R_Process Exit resumed
Organisation : National Customs Administration
Location : Actual Office of Exit
The export operation is known at the Office of Exit and that Office continues the processing (CO02 – Process exit) related to that export operation.

2.7 CO06 - PROCESS CANCELLATION

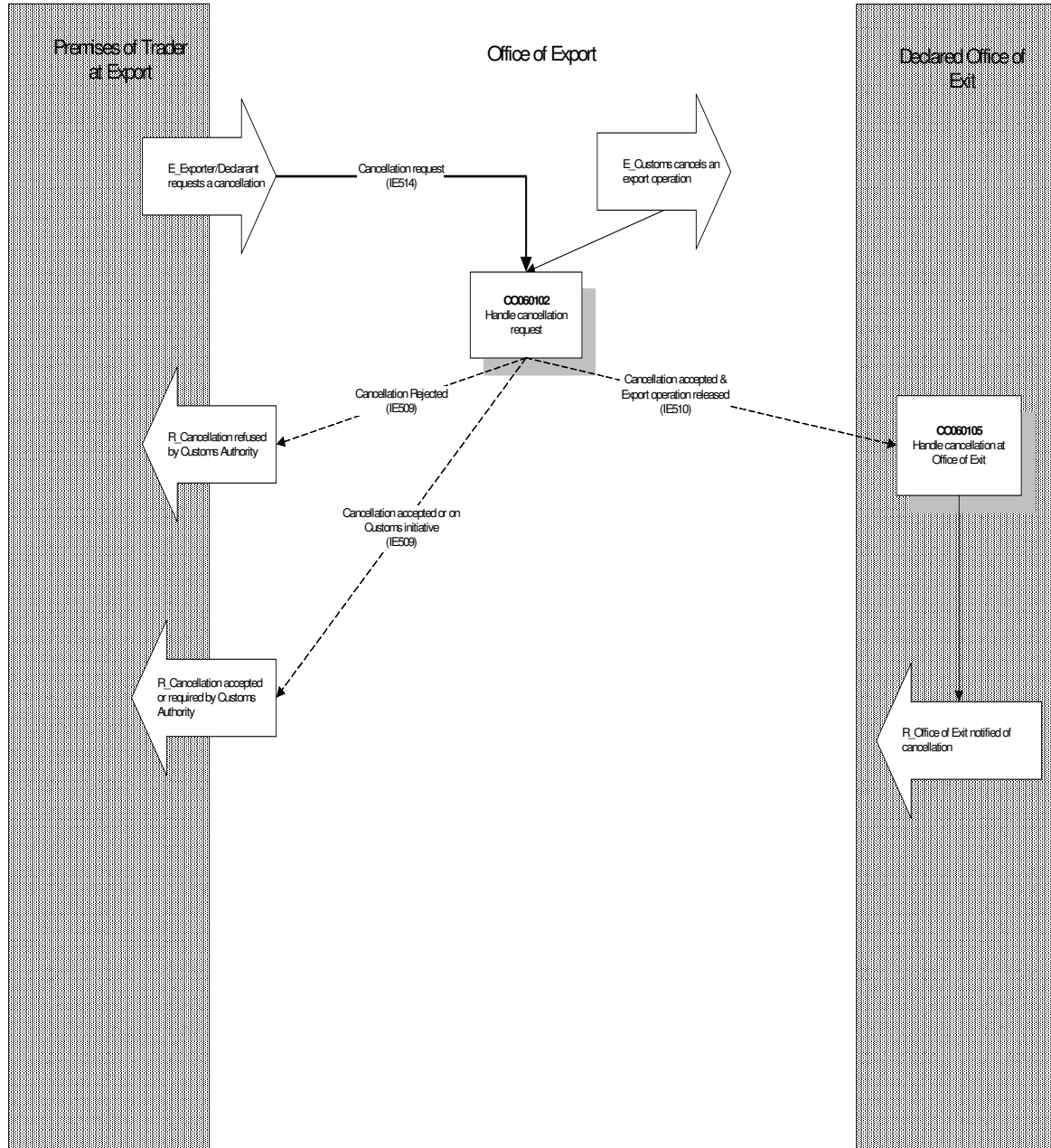


Figure 9: CO06 - Process Cancellation

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
AES – EXPORT PROCESS	

Major Events

E_Exporter/Declarant requests a cancellation
Organisation : Trader
Location : Premises of the Trader at Export (Exporter/Declarant)
The Exporter/Declarant submits a cancellation request for his declaration which has previously been accepted or released.

E_Customs cancels an export operation
Organisation : National Customs Administration
Location : Office of Export
The Customs Officer decides to cancel the declaration.

Processes

Handle cancellation request	Process: CO060102
Organisation : National Customs Administration	
Location : Office of Export	
Constraint : The Office of Export shall not accept a cancellation, if the Office of Exit had accepted an arrival at Exit notification (IE507) for the same movement at the Office of Exit and the goods have partially exited.	
Description :	
<p>Either the Office of Export receives (IE514) a cancellation request from an Exporter/Declarant or the Customs Officer wants to annul/voke the decision to accept the declaration or to release the goods.</p> <p>If the cancellation request is received electronically, AES validates it.</p> <p>In both cases the cancellation of an export operation is handled manually. The Exporter/Declarant must provide the reason of his request ('IE514.EXPORT OPERATION.Cancellation reason').,</p> <p>If the Customs Officer at the Office of Export can not accept the cancellation request, he communicates (IE509) the rejection of the cancellation request ('IE509.EXPORT OPERATION.Cancellation decision' = '0' (No) with reasons) -see dashed line labelled 'Cancellation refused.</p> <p>If the Customs Officer at the Office of Export accepts the cancellation request from an Exporter/Declarant, he communicates (IE509) the cancellation of the export declaration to the Exporter/Declarant ('IE509.EXPORT OPERATION.Initiated by Customs' = '0' (No) and 'IE509.EXPORT OPERATION.Cancellation decision' = '1' (Yes) - see dashed line labelled 'Cancellation accepted or on Customs initiative').</p> <p>If the cancellation is on Customs initiative, the Customs Officer communicates (IE509) to the Exporter/Declarant that a cancellation is required by Customs ('IE509.EXPORT OPERATION.Initiated by Customs' = '1' (Yes) - see dashed line labelled 'Cancellation accepted or on Customs initiative').</p> <p>If the Customs Officer accepts the cancellation request after the export operation has been released for Export already, then the declared Office of Exit has been notified (IE501) of the release for Export. AES sends a cancellation notification (IE510) to the declared Office of Exit. When the cancellation is confirmed, the Office of Export communicates (IE509) the acceptance of the cancellation to the Exporter/Declarant. After the cancellation the Customs Officer takes any subsequent measure (e.g. refund of duties and taxes paid, cancellation of licence usage, etc.).</p>	
Final situation :	
<p>If the cancellation request is accepted, the EXPORT OPERATION STATE is set to 'Cancelled'.</p> <p>If the cancellation is refused and the EXPORT OPERATION STATE does not change.</p> <p>The Exporter/Declarant and the declared Office of Exit are notified.</p>	

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
AES – EXPORT PROCESS	

Handle cancellation at Office of Exit	Process: CO060105
Organisation : National Customs Administration	
Location : Declared Office of Exit	
Constraint : The Office of Exit shall not accept a cancellation notification (IE510), if it had accepted an arrival at Exit notification (IE507) for the same movement already and the goods have partially exited.	
Description : The declared Office of Exit receives (IE510) a cancellation notification from the Office of Export. The already registered Anticipated Export Record (AER) is cancelled	
Final situation : The export operation at the declared Office of Exit is cancelled; the state of the EXPORT OPERATION STATE is set to 'AER Cancelled'.	

Major Results

R_Cancellation accepted or required by Customs Authority
Organisation : National Customs Administration
Location : Premises of the Exporter/Declarant or Office of Export
The Export operation is cancelled by the Exporter/Declarant or by Customs.

R_Cancellation refused by Customs Authority
Organisation : National Customs Administration
Location : Premises of the Exporter/Declarant or Office of Export
The Exporter/Declarant can not cancel his export operation. The cancellation request is rejected.

Minor Result

R_Office of Exit notified of cancellation
Organisation : National Customs Administration
Location : Declared Office of Exit
The declared Office of Exit is notified of the cancellation of an export operation.

2.8 * CO07 - Process Query Export Operation Information

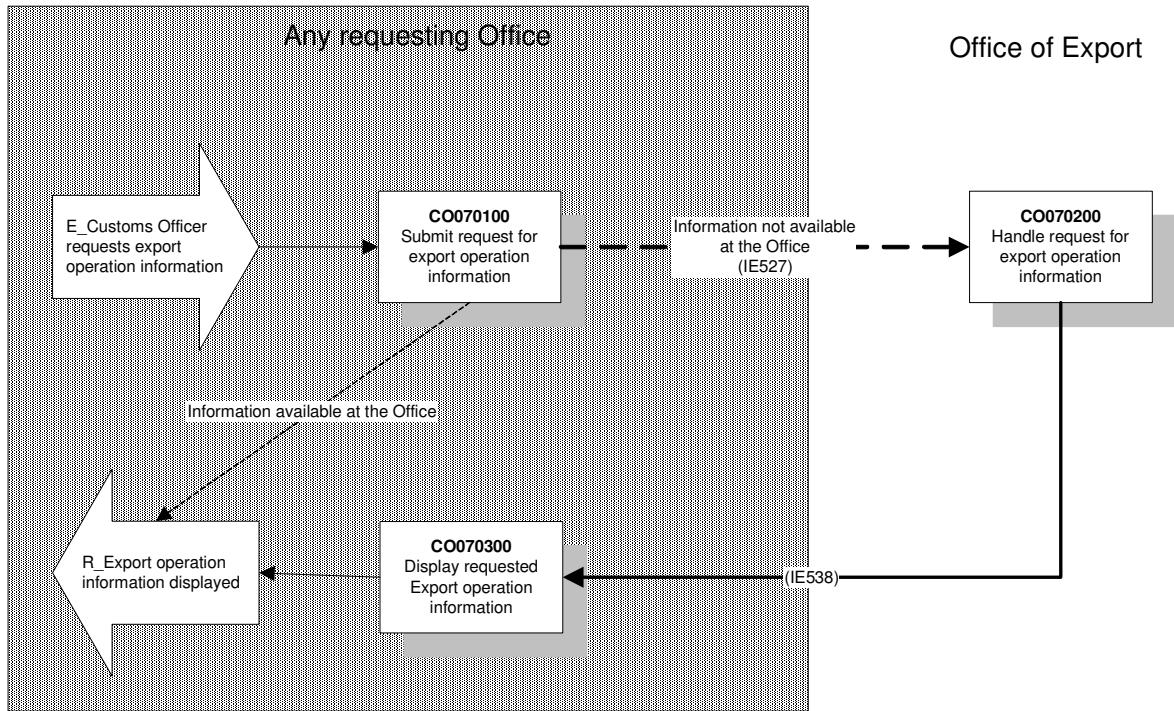


Figure 10: CO07 - Query Export Operation Information

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
AES – EXPORT PROCESS	

Major Event

E_ Customs Officer requests export operation information
Organisation : National Customs Administration
Location : Any Customs Office connected to AES
A Customs Officer with an appropriate level of authorisation and access to AES at any Customs Office, requests the export operation information for an export with a given MRN.

Processes

Submit request for export operation information	Process: CO070100
Organisation : National Customs Administration	
Location : Any Customs Office connected to AES	
Constraint: The export operation information may not be available in the AES of the Member State where the information is required. In such cases the export data must be requested the appropriate Member State.	
A Customs Officer registers a request for export operation information based on a given MRN into AES. AES queries for the export operation data: <ul style="list-style-type: none"> • If the export operation information is available at the Office where the request is submitted, AES displays it to the Customs Officer immediately (see dashed line labelled 'Information available at the Office'). • If the export operation information is not available at the Office where the request is submitted, AES notifies the Customs Officer that the information is not available and automatically sends (IE527) a request to the Country of Export (see dashed line labelled 'Information not available at the Office'). 	
Final situation : The export operation information is returned or a request for export operation information is submitted to the Office of Export.	

Handle request for export operation information	Process: CO070200
Organisation : National Customs Administration	
Location : Office of Export	
Constraint : The Country of Export receives (IE527) a request for export operation information from a Customs Office. AES queries for the export operation - based on the MRN (identified by 'IE527.EXPORT OPERATION.MRN') - and provides (IE538) the requesting Customs Office with the export operation information. If the export declaration doesn't exist at the Office of Export AES generates an error message (non-acknowledgement - NACK, according to Section IX, 'EXCEPTION HANDLING, Pt 2.1.3).	
Final situation : If available, the export operation information is sent to the requester, otherwise a non-acknowledgement (NACK) is sent.	

Display requested export operation information	Process: CO070300
Organisation : National Customs Administration	
Location : Any Customs Office connected to AES(the requesting Office)	
Constraint : The requesting Customs Office receives (IE538) the response to the request. AES displays the received information or the error message.	

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
AES – EXPORT PROCESS	

Final situation :

The requested export operation information is displayed.

Result

R_Export operation information displayed
Organisation : National Customs Administration
Location : Any Customs Office connected to AES(the requesting Office)
The information on the requested export operation is displayed.

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

3. *AES – EXIT SUMMARY DECLARATION

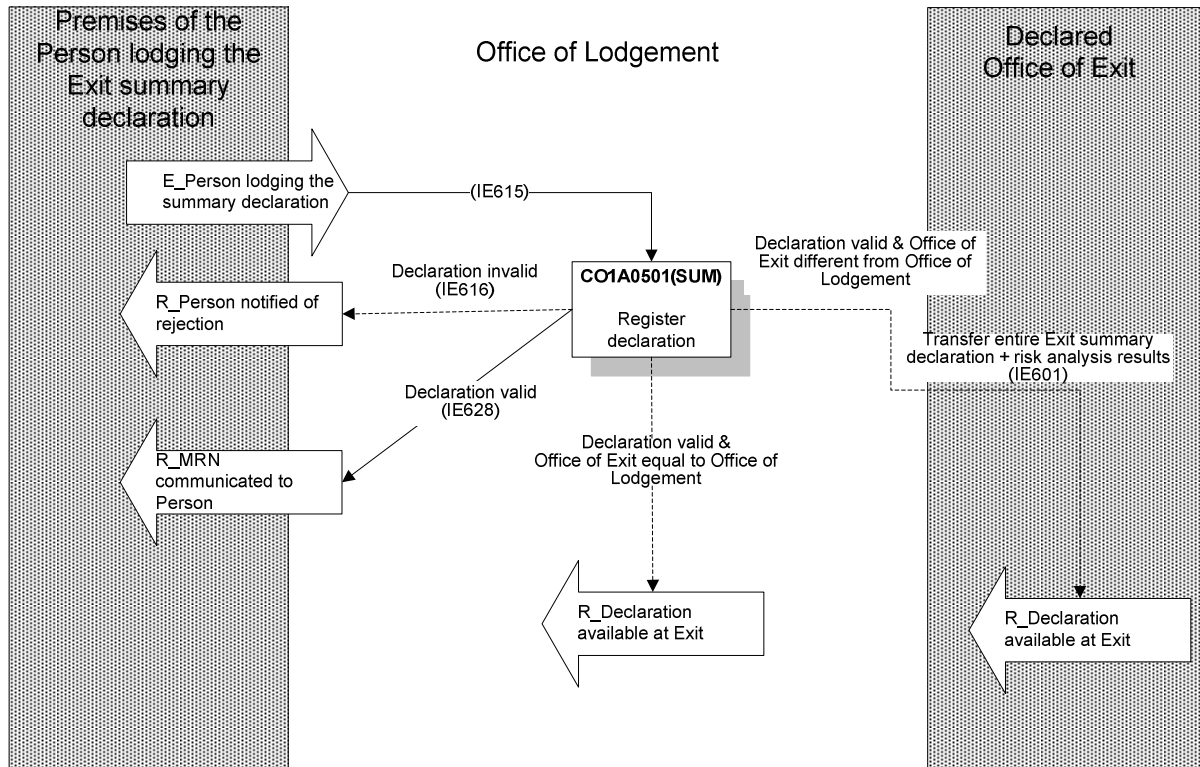
3.1 INTRODUCTION

This section presents the various business process threads related to the Exit summary declaration which is used in case goods leaving the customs territory of the Community are not assigned to a customs approved treatment or use for which a customs declaration is required (The latter being dealt with in section 2).

Whenever possible, the Elementary Business Processes (EBP's) of the AES-Export process have been used. However, the EBP's relating to the summary declaration are consistently marked with "(SUM)".

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

3.2 *CO1A (SUM) – PROCESS EXIT SUMMARY DECLARATION AT OFFICE OF LODGEMENT



***Figure 11: CO1A (SUM) – Process Exit summary declaration at Office of Lodgement**

Major Events

E_Person lodging the summary declaration
Organisation : Person lodging the Exit summary declaration
Location : Premises of the Person lodging the Exit summary declaration
A Person lodges the Exit summary declaration.

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

Processes

Register declaration	Process: CO1A0501(SUM)
Organisation : National Customs Administration	
Location : Office of Lodgement	
Constraint : It must be possible to use risk analysis parameters to cope with differences from one country to another.	
Description : The declaration data is submitted (IE615) to the Office of Lodgement by electronic means (EDI) or - where allowed – on paper (for fall back). If electronic means are used, then the Person lodging the Exit summary declaration must provide a local reference number (IE615.EXPORT OPERATION.LRN) that allows the Person lodging the Exit summary declaration and the Office of Lodgement to refer to the data in AES. AES checks that the provided LRN is unique. The Person lodging the Exit summary declaration can specify a Representative (at Exit) being allowed to amend the Exit summary declaration on his behalf. Validation of the Exit summary declaration must be performed. The validation process can be a completely automatic process. AES checks the Trader Identification Number (TIN) in EORI (Economic Operator Registration and Identification system) and completes the Trader data (if necessary) in the declaration. When a reduced safety and security data set is submitted, AES, based on Trader TIN, verifies whether or not the Trader is the Authorised Economic Operator (AEO) and checks the type of AEO certificates. If the exit summary declaration is submitted with the reduced safety and security data set Person lodging the summary declaration and all Consignors must have a valid AEO certificate of type 'AEOS' (AEO certificate – Safety and Security) and/or 'AEOF' (AEO certificate – Customs simplifications/safety and security). If the Exit summary declaration is invalid, AES rejects it and notifies (IE616) the Person that the declaration is invalid, giving the reason of the rejection (see dashed line labelled 'Declaration invalid'). If the declaration is valid, the Office of Lodgement registers the declaration, a MRN is automatically generated and the declaration submission date and time are stored in AES. The allocated MRN is communicated (IE628) to the Person (see dashed line labelled “Declaration valid”). The automatic risk analysis - related to safety and security aspects - may be performed at this stage, AES registers the results. The Exit summary declaration data and the risk parameters to be used for the automated part of the risk analysis are to be chosen by the National Administrations. Higher level risk parameters (such as Community, national, regional, etc.) should be taken into account in any case. Random risk parameters should be used additionally. If the last digit of the risk analysis result code is 'E' the risk which should be communicated to the Office of Exit is identified. If no risk analysis is performed or risk analysis result is not available the last digit of the risk analysis result code will be 'Z'. There can be national risk analysis results (last digit of the risk analysis result code is 'N'), however, these will not be forwarded to the Office of Exit through common domain. If the Office of Exit is different from the Office of Lodgement, the Office of Lodgement transmits the declaration data – including the risk analysis results (if any) and the declaration submission date and time -to the declared Office of Exit.	
Final situation : If the declaration is not valid it is rejected and the Person lodging the Exit summary declaration is informed (IE616). If the declaration is valid, it is registered and a MRN is generated and allocated. The Person is notified (IE628) of the registration of the Exit summary declaration. The result of the risk analysis, where performed, is known. The declared Office of Exit is notified (IE601) of the Exit summary declaration. The EXPORT	

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

OPERATION STATE at the Office of Lodgement is set to 'Registered'.

Major Results

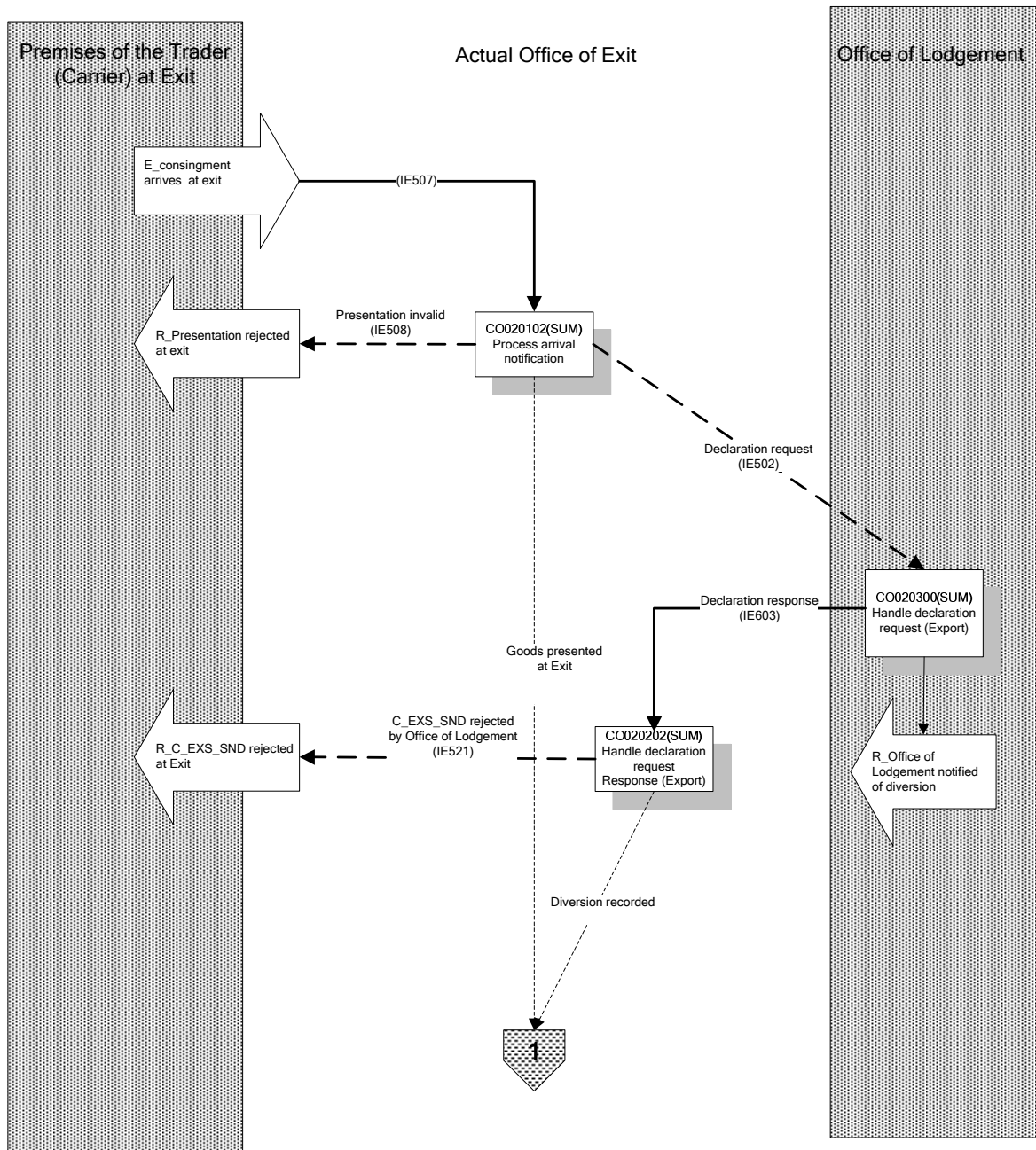
R_MRN communicated to Person
Organisation : National Customs Administration
Location : Premises of the Person lodging the Exit summary declaration
The MRN is communicated to the Person who will use it to complete other documents where necessary.

R_Declaration available at Exit
Organisation : National Customs Administration
Location : Customs Office of Exit
The Exit summary declaration data including the risk analysis result are available at the Office of Exit.

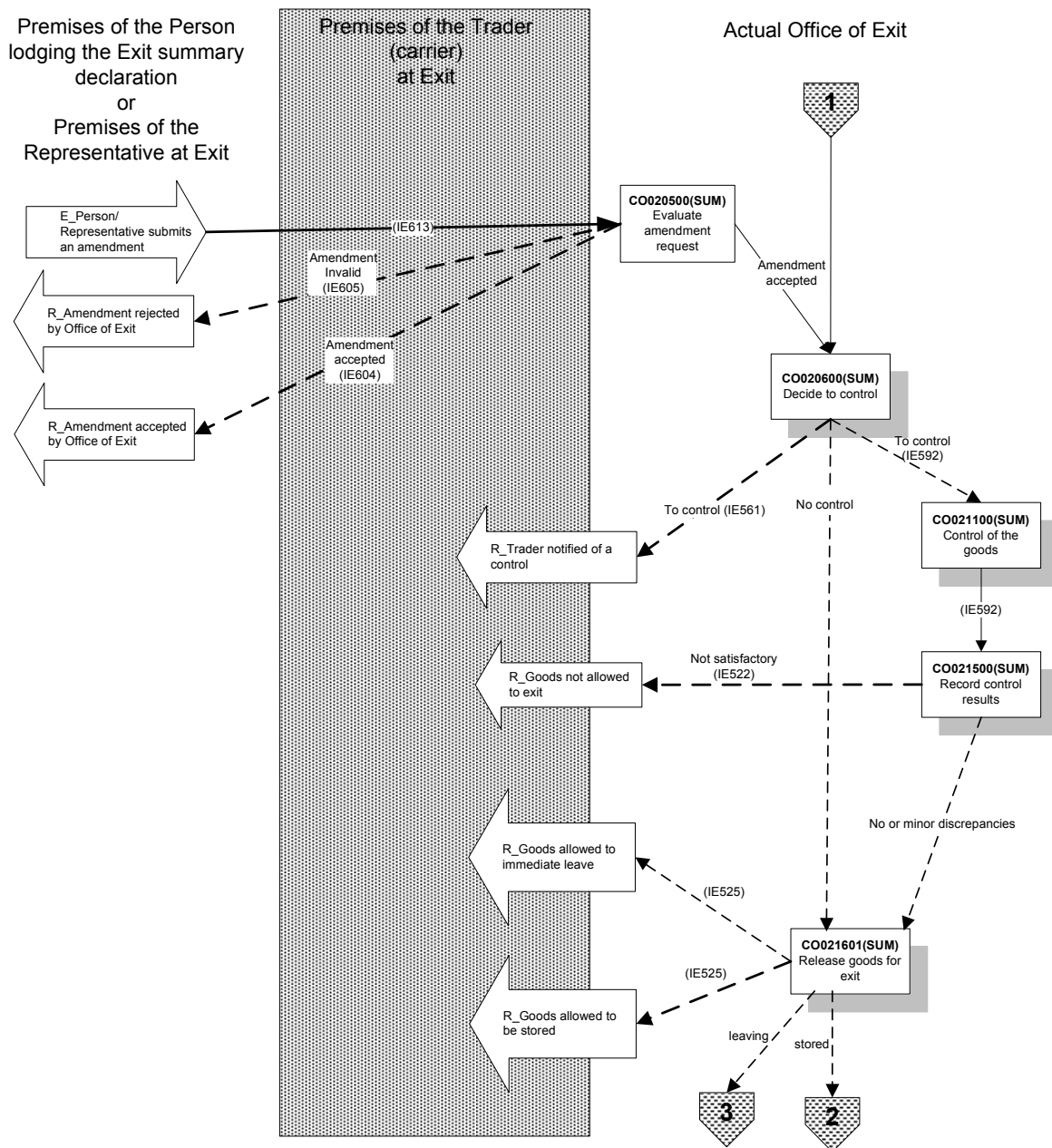
Minor Result

R_Person notified of rejection
Organisation : National Customs Administration
Location : Premises of the Person lodging the Exit summary declaration
The Person is notified of the fact that the Exit summary declaration is rejected..

3.3 *CO02 (SUM) – PROCESS ARRIVAL AT ACTUAL OFFICE OF EXIT



***Figure 12: CO02 (SUM) – Process Arrival at Actual Office of Exit Part I**



***Figure 13: CO02 (SUM) – Process Arrival at Actual Office of Exit Part II**

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

Major Event

E_Consignment arrives at exit
Organisation : Trader at Exit (Carrier)
Location : Actual Office of Exit
The consignment has arrived at the Office of Exit.

Minor Event

E_Person/Representative submits an amendment
Organisation : Person Lodging the Exit summary declaration or Representative at Exit
Location : Premises of the Person Lodging the Exit Summary Declaration or of the Representative at Exit
The Person/Representative submits an amendment to his declaration.

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

Processes

Process arrival notification	Process: CO020102(SUM)
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint : same constraint as for CO20102 (export declaration)	
Description : Same as process CO020102 (export declaration)	
Final situation : Same as process CO020102 (export declaration).	

Handle declaration request (Export)	Process: CO020300(SUM)
Organisation : National Customs Administration	
Location : Office of Lodgement	
Constraint : Same as for process CO020300.	
Description : Same as process CO020300	
Final situation : Same as process CO020300	

Handle declaration request response (Export)	Process: CO020202(SUM)
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint :	
Description : Same as process CO020202.	
Final situation : Same as process CO020202.	

Evaluate amendment request	Process: CO020500(SUM)
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint : This process is only used if an amendment request (IE613) is received. The amendment request must be sent to an Office which is located in the same Member State as the previously declared Office of Exit (i.e. the initial Exit summary declaration must be available in the national system).	

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

The amendment request can be accepted only if it is sent by the Person lodging the Exit summary declaration (if he has access to the Customs AES at Exit) or by his Representative at Exit declared in the initial Exit summary declaration (IE615).

An amendment request may concern the creation, modification or deletion of data within an Exit summary declaration (e.g. adding, modifying or deleting goods items in a Exit summary declaration).

Description :

The amendment request (IE613) is submitted by the Person lodging the Exit summary declaration or by his Representative using electronic means (EDI). It contains all values of the original declaration altered with the requested amendments.

The amendment request is received and validated at the Office of Exit. Except in the cases specified later in this process, the validation can be a completely automatic process.

- AES validates the amendment request itself;
- AES checks that the amendment is made on an already registered declaration (data accepted by Customs and MRN allocated already);
- AES checks that the Person/Representative sending the amendment request is allowed to do so (see constraint);
- AES checks that the Office of Exit still can accept an amendment request. It can no longer accept an amendment request if one of the following conditions is met:
 - The Person/Trader has been informed (IE561) that the Customs Authorities intend to examine the goods;
 - The Customs Authorities have established that the particulars in question are incorrect;
 - The Customs Authorities have released the goods for exit.
- Original Exit summary declaration (in case of multiple amendment requests, the latest accepted version of the declaration): AES stops the processing and sets it back to this process ((CO20500 (SUM) – Evaluate amendment request))

If the amendment request (IE613) is invalid, the amendment is automatically rejected (because it was invalid or because it came too late in the declaration data handling process) and the rejection reason is registered and notified (IE605) to the Person/Representative. The evaluation process of the amendment request stops here (see dashed line labelled 'Amendment invalid').

If the system is not allowed/able to treat the request fully automatically, then it notifies the Customs Officer of the fact that a Person/Representative is requesting an amendment. In these cases, the Customs Officer must decide, if he can accept the amendment request or not.

If an amendment request is received while Customs was performing a control, then the system notifies the Customs Officer when he registers the control results - see 'CO021500(SUM)- Record control results'.

If the Customs Officer decides to reject the amendment request:

- He registers the rejection reason and sends the rejection notification (IE605) to the Person/Representative. The original Exit summary declaration (in case of multiple amendment requests, the latest accepted version of the declaration) remains valid. The process stops here (see dashed line labelled “Amendment invalid”).

If the amendment request is valid/if the Customs Officer decides to accept the amendment request:

- It is accepted and registered in AES and the acceptance is communicated (IE604) to the Person/Representative.
- Risk analysis is performed based on the amended declaration.

Final situation :

If the amendment is rejected because it failed to pass the validation process, the EXPORT OPERATION STATE is set to 'Declaration under amendment'.

If the amendment is rejected because it was not related to an accepted Exit summary declaration, the EXPORT OPERATION STATE does not change.

If the amendment is rejected because it came too late in the Exit summary declaration processing, the EXPORT OPERATION STATE does not change.

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

If it is accepted, the EXPORT OPERATION STATE is set to 'EXS Amendment Accepted'.

Decide to control	Process: CO020600(SUM)
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint : Where the Exit summary declaration has been lodged at an Office other than the Customs Office of Exit, the Customs Office of Exit may take account of the risk analysis results and the results of any control carried out by that other Office when deciding to control.	
Description : Same as process CO020600; any reference to 'export movement' has to be read 'movement'.	

Control of the goods	Process: CO021100(SUM)
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint : Same as for process CO021100.	
Description : Same as process CO021100; any reference to 'export movement' has to be read 'movement'.	

Record control results	Process: CO021500(SUM)
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint :	
Description : The Customs Officer at the Office of Exit records the results of a control in AES after he returns from the control of the goods based on the movement description information (IE592):	
<ul style="list-style-type: none"> • If control results are 'satisfactory': AES records that the goods are ready to be released for exit. Minor discrepancies can be regarded as 'satisfactory'; the goods may also be ready to be released for exit. • If control results are "not satisfactory": AES records that the goods may not be released for exit. The movement is stopped here without prejudice of any subsequent measure to be taken. The movement is not released for exit. AES notifies (IE522 the Trader at Exit (Carrier) about the fact. 	
Final situation : Control results are stored in AES: the goods are either ready to be released, the EXPORT OPERATION STATE is set to 'Goods ready to be released' or, to be stopped (if 'not satisfactory' is considered), the EXPORT OPERATION STATE is set to "Goods not allowed to exit" and the Trader at Exit (Carrier) is notified (IE522) of the exit release rejection.	

Release goods for Exit	Process: CO021601(SUM)
Organisation : National Customs Administration	
Location : Actual Office of Exit	
Constraint :	
Description : Same as process CO021601; the reference to presentation process 'CO020102' has to be read 'see presentation process CO020102(SUM)'.	

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

Major Results

R_Goods allowed to leave
Organisation: National Customs Administration
Location: Actual Office of Exit
The Trader at Exit is notified that the goods can immediately exit the Community

R_Goods allowed to be stored
Organisation: National Customs Administration
Location: Premises of the Trader at Exit or Actual Office of Exit
The information confirming that the goods are allowed to enter a warehouse prior to leaving the Community is communicated to the Trader at Exit (carrier).

Minor Results

R_Presentation rejected at Exit
Organisation: National Customs Administration
Location: Premises of the Trader at Exit or Actual Office of Exit
The Trader at Exit is notified of the fact that the presentation is not valid.

R_C_EXS_SND rejected at Exit
Organisation: National Customs Administration
Location: Premises of the Trader at Exit or Actual Office of Exit
The C_EXS_SND is rejected. The Trader at Exit is notified of the rejection.

R_Office of Lodgement notified of diversion
Organisation: National Customs Administration
Location: Office of Lodgement
An C_EXS_SND Request is received by the Office of Lodgement

R_Amendment accepted by Office of Exit
Organisation : National Customs Administration
Location : Premises of the Person lodging the Exit summary declaration or of Representative at Exit
The amendment is accepted. The acceptance is communicated.

R_Amendment rejected by Office of Exit
Organisation : National Customs Administration
Location : Premises of the Person lodging the Exit summary declaration or of Representative at Exit
The amendment is rejected. The rejection is communicated.

R_Goods not allowed to exit
Organisation: National Customs Administration
Location: Premises of the Trader at Exit or Actual Office of Exit

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
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SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

The Trader at Exit is notified that the goods are not allowed to leave the Community.

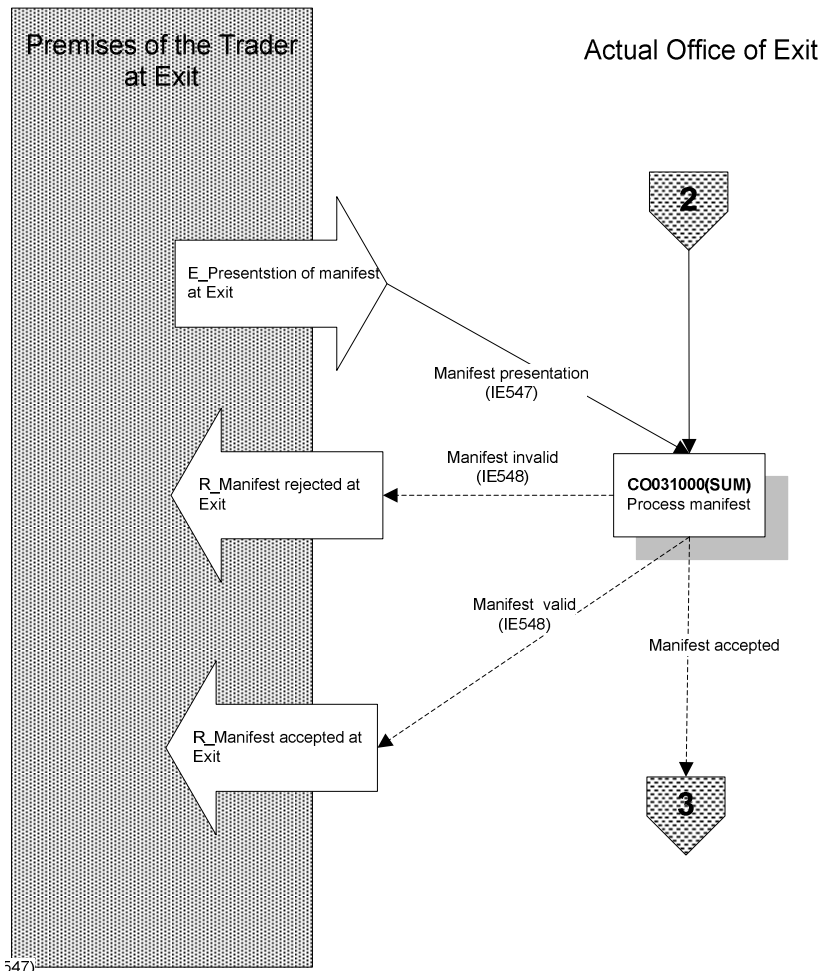
R_Trader notified of a control
Organisation: National Customs Administration
Location: Premises of the Trader at Exit
The Trader at Exit is notified of the fact that Customs will perform a control on the consignment.

Remark

No exchange of follow-up messages in relation with the Exit summary declaration process is foreseen between the Offices involved. Should the need occur, e.g. in the context of risk management, this will be handled in the flow of the information related to that context (e.g. RMF).

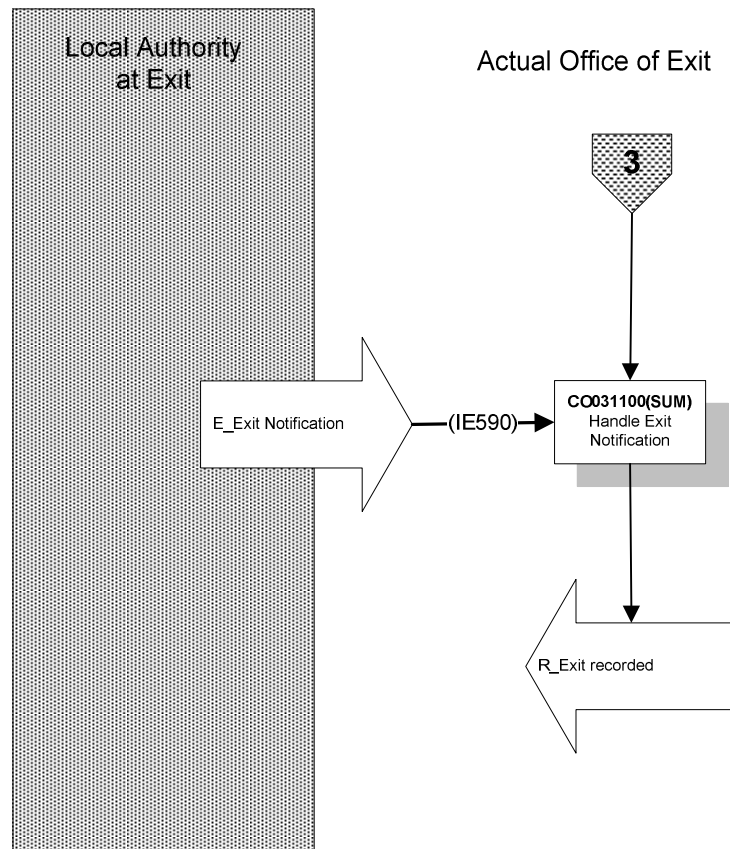
Given the above situation, the Exit summary declaration at exit will be deleted, if not used, after a time span to be agreed upon.

3.4 *CO03 (SUM) – PROCESS EXIT AT ACTUAL OFFICE OF EXIT



*Figure 14: CO03 (SUM) – Process Exit at Actual Office of Exit Part I

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	



***Figure 15: CO03 (SUM) – Process Exit at Actual Office of Exit Part II**

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

Major Events

E_Presentation of manifest at Exit
Organisation : Trader at Exit
Location : Premises of the Trader at Exit/Actual Office of Exit.
Usually the Trader at Exit prepares the list (manifest) of the stored goods intended to leave the Community on a given means of transport and presents it to the Customs Office of Exit.

E_Exit notification
Organisation : Local Authorities at Exit
Location : Premises of Local Authorities at Exit/Actual Office of Exit.
Notification by the Authority in charge of verifying the actual exit of the goods from the Community to the Actual Office of Exit about the fact that the goods have left the Community. N.B. This event can also consist of a notification of the departure of the given means of transport from the Local Authority at Exit to the Office of Exit.

Processes

Process manifest	Process: CO031000(SUM)
Organisation: National Customs Administrations	
Location: Actual Office of Exit	
Constraints: Same as for process CO031000.	
Description: Same as process CO031000; the reference to presentation process CO021100 has to be CO021100(SUM).	

Handle the exit notification	Process: CO031100(SUM)
Organisation : National Customs Administrations	
Location: Actual Office of Exit	
Constraint: Same as for process CO031100 (export declaration)	
Description: Same as process CO031100 (export declaration). However, <ul style="list-style-type: none"> • MRN and item numbers are referring to Exit summary declarations (not to export declarations); • for exited goods no Exit result message (IE518) is sent. 	

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
*AES – EXIT SUMMARY DECLARATION	

Major Results

R_Manifest accepted
Organisation : National Customs Administrations
Location : Premises of the Trader at Exit/Actual Office of Exit.
The Trader at Exit is notified of the fact that the presented manifest is accepted, and consequently the goods are allowed the immediate leave the Community by the given means of transport.

R_Exit Recorded
Organisation : National Customs Administration
Location : Actual Office of Exit
The actual exit of the operation has been recorded.

Minor Result

R_Manifest rejected
Organisation : National Customs Administrations
Location : Premises of the Trader at Exit/Actual Office of Exit.
The Trader at Exit is notified of the fact that the presented manifest is rejected.

DG TAXUD - AUTOMATED EXPORT SYSTEM	REF : TSS-FSF-REL4
FUNCTIONAL TRANSIT SYSTEM SPECIFICATION – AES ADDENDUM	
SECTION II A : BUSINESS PROCESS THREADS FOR CORE BUSINESS	
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