



DG TAXUD

ICS2 Operational guidance for Member States

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1 INTRODUCTION

1.1 Purpose

This document provides guidance for the Member States national administrations regarding the use of the ICS2 Release 1 supporting the customs formality of the entry of goods into the Union customs territory by collecting advanced cargo information, receiving and processing Entry Summary Declarations (ENS) and the safety and security risk analyses to be performed on the aforementioned data.

1.2 Scope

This document focuses on the guidance for practical operations under ICS2 Release 1. It explains the tasks performed by the system, which generate a visible output requiring follow up action from the system's users.

It does not prejudice or substitute the functional and technical system specifications, guidance documents on the application of the respective legal provisions, on referrals, on the safety and security risk analysis or the message implementation guide.

1.3 Target Audience

The intended readership of this document are the following functional groups in a Member State's national customs administration:

- Customs officers involved in the supervision, controls and clearance of goods entering the Union;
- Risk analysts performing safety and security risk analyses on advanced cargo information from ENS;
- Help and service desk staff;
- Any other staff involved in the ICS2 project.

1.4 Structure of this document

The present document contains the following chapters:

- [Chapter 1](#) – **Introduction**: describes the scope and the purpose of the document;
- [Chapter 2](#) – **Roles and responsibilities**: explains the background for ICS2 project, PLACI data and referrals;
- [Chapter 3](#) – **Legal background**: explains the applicable EU legislation;
- [Chapter 4](#) – **Economic operator roles**: describes in detail the referral process, messages exchanged and codes to be used;
- [Chapter 5](#) – **ICS2 global process**: explains the procedure to be followed in case of the unavailability of the IT systems;
- [Chapter 6](#) – **ICS2 system components**: Pogreška! Izvor reference nije pronađen.provides detailed guidance for postal operators;
- [Chapter 7](#) – **Data requirements**: ...;
- [Chapter 8](#) – **Presentation**: ...;
- [Chapter 9](#) – **Controls and control recommendations**:

1.5 Reference and applicable documents

Ref.	Title	Reference	Version	Date
RD01	ICS2 Common Functional System Specifications	ICS2-CFSS	1.15	08/01/2020
RD02	ICS2 Business Continuity Plan MS	ICS2 BCP	1.00	11/02/2020
RD03	REGULATION (EU) No 952/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 9 October 2013 laying down the Union Customs Code	UCC		9/10/2013
RD04	COMMISSION DELEGATED REGULATION (EU) 2015/2446 of 28 July 2015 supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards detailed rules concerning certain provisions of the Union Customs Code	UCC-DA		28/07/2015
RD05	COMMISSION IMPLEMENTING REGULATION (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code	UCC-IA		24/11/2015
RD06	EU guidance on air cargo security referral protocols for ICS2		1.15	24/01/2020
RD07	ICS2 R1 Go live procedure	ICS2 R1 GLP	1.00	19/02/2021
RD08	AVSEC-CRC Common Operational Guidance Version		1.00	16/12/2020

Table 1 Reference and applicable documents

1.6 Acronyms and abbreviations

Abbreviation/Acronym ICS2	Definition
AEO	Authorised Economic Operator
AEOS	Authorised Economic Operator authorised for security and safety
COFE	Customs Office of the First Entry
CR	Common Repository
CRC	Common Risk Criteria
DNL	Do Not Load
ENS	Entry Summary Declaration
EO	Economic operator
EORI	Economic Operators Registration and Identification number
EU	European Union
HAWB	House air waybill
HC	House consignment
HRCM	High Risk Cargo and Mail
ICS Phase 1	Import Control System Phase 1
ICS2	Import Control System 2
IE	Information exchange
IMS	Involved Member State
LRN	Local Reference Number

NTI	National Trader Interface
MAWB	Master air waybill
MRN	Master Reference Number
MS	Member State
NES	National Entry System
OMS	Other Member State
PLACI	Pre-loading advance cargo information
PN	Presentation Notification
RA	Risk Analysis
RARR	Risk Analysis Request Reference
Rfi	Request for Information
RfS	Request for Screening
RMS	Responsible Member State
STI	Shared Trader Interface
TI	Trader Interface
UCC	Union Customs Code [Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code]
UCC-DA	Commission Delegated Regulation (EU) 2015/2446 of 28 July 2015 supplementing UCC as regards detailed rules concerning certain provisions of the UCC
UCC-IA	Commission Implementing Regulation (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of the UCC
UPU	Universal Postal Union

Table 2 Acronyms and abbreviations

1.7 Definitions

Term	Definition
Air pre-loading risk analysis	Air pre-loading risk analysis is a limited security risk analysis by the customs aimed to identify potential risk of (improvised) explosive device entering into the air cargo supply chain posing threat to the civil aviation (aka 'bomb-in-a-box' risk assessment).
Air waybill (AWB)	An air waybill (AWB) is a document issued by a carrier (or his agent) to acknowledge receipt of cargo for shipment. It is a contractual document between the shipper/consignor of goods and the carrier detailing the type, quantity and destination of the goods being carried. The air waybill also serves as a receipt of shipment when the goods are delivered at the contractually determined destination.
Bill of Lading (BoL)	A bill of lading (BoL) is a document issued by a carrier (or his agent) to acknowledge receipt of cargo for shipment. It is a contractual document between the shipper/consignor of goods and the carrier detailing the type, quantity and destination of the goods being carried. The bill of lading also serves as a receipt of shipment when the goods are delivered at the predetermined destination.
Carrier	Carrier means in the context of entry, the person who brings the goods, or who assumes responsibility for the carriage of the goods, into the customs territory of the Union. However, (i) in the case of combined transportation, "carrier" means the person who operates the means of transport which, once brought into the customs territory of the Union, moves by itself as an active means of

	<p>transport;</p> <p>(ii) in the case of maritime or air traffic under a vessel- sharing or contracting arrangement, "carrier" means the person who concludes a contract and issues a bill of lading or air waybill for the actual carriage of the goods into the customs territory of the Union.</p>
Complete ENS	Complete ENS means an ENS containing all required data particulars required by the legislation per specific mode of transport or business model. Complete ENS can be either represented by a full ENS filing, or all necessary partial ENS filings that together contain all required data particulars.
Do Not Load (DNL)	Do Not Load (DNL) is a notification communicated by the customs authority of the RMS to the person filing (and the carrier under certain conditions) that the goods concerned shall not be allowed to be loaded on the aircraft or vessel.
e-Risk analysis	<p>Electronic risk analysis of ENS data is an initial step of the risk analysis process carried out by RMS. It means electronic application of the entire applicable set of common risk criteria and verification/matching of ENS data against risk information and knowledge of the RMS:</p> <p>a) In the context of air cargo security (pre-loading) the scope of e-risk analysis is limited to the minimum data set and applicable common risk criteria for aviation security specific threat ('bomb-in-a-box')</p> <p>b) For the rest of the cases, the scope of e-risk analysis is applicable to the entire set of ENS data and to the applicable common risk criteria for security and safety purposes.</p>
e-Screening	<p>Electronic screening of ENS data which means electronic verification/matching of ENS data made available to IMS against risk information and knowledge of that Member State and the relevant applicable common risk criteria, in order to contribute to the risk analysis carried out by RMS:</p> <p>a) In the context of air cargo security (pre-loading) the scope of e-screening is limited to the minimum data set and contribution to the applicable common risk criteria for aviation security specific threat ('bomb in a box');</p> <p>b) For the rest of the cases, the scope of e-screening is applicable to the available data and contribution to the applicable common risk criteria for security and safety purposes.</p>
Entry Summary Declaration (ENS)	Entry Summary Declaration (ENS) means the act whereby a person informs the customs authorities, in the prescribed form and manner and within a specific time-limit, that goods are to be brought into the customs territory of the Union.
ENS dossier	The ENS dossier gathers all the different information related to one specific ENS instance. More specifically, it includes the data of the corresponding ENS filings, the ENS status information and any available control results, e-screening results, risk mitigation referrals, risk analysis results and control recommendations.
ENS filing	ENS filing means either partial or full ENS data set required by the legislation per specific mode of transport or business model.
ENS lifecycle	The ENS lifecycle is a term used to reference to the end-to-end process of the ENS statuses, from its filing until the final state of presentation, and where relevant performance of customs controls and documentation of results.
Safety & Security risk analysis (S&S)	Full customs security and safety risk analysis covers the entire scope of

risk analysis)	the customs security and safety risks as defined in the common EU guidelines on the implementation of the respective common risk criteria and standards (classified as EU RESTREINT).
Full ENS filing	A full ENS filing contains all required ENS particulars, as legally defined per mode of transport in UCC-DA Annex B.
Goods shipment	The information about buyer and seller within a given house consignment level transaction.
House air waybill (HAWB)	A house air waybill (HAWB) is a form of an air waybill that is issued by a freight forwarder, express operator or an agent to its customer.
House bill of lading (HBoL)	A house bill of lading (HBoL) is a bill of lading that is issued by a Non-Vessel Operating Common Carrier (NVOCC) i.e. freight forwarder to its customer.
House consignment	In ICS2 this term refers to a created entity based on the information about a consignment from a house level transport contract issued by a freight forwarder, non-vessel operating common carrier or agent to its direct contracting party (customer).
House level ENS filing	This is a partial filing which contains information derived from a HAWB, a HBoL, or a Postal items declaration, depending on the mode of transport.
Hub	A hub is a logistical service facility serving as transport node for managing and exchanging cargo on means of transports with regard to delivery of consignments to their destination.
Request for High Risk Cargo and Mail Screening (RfS)	High Risk Cargo and Mail Screening (HRCM screening) is a notification communicated by the customs authority of the RMS to the person filing (and the carrier under certain conditions) that the goods concerned shall need to be screened as a high risk cargo and mail, in accordance with the point 6.7.3 of the Annex to Commission Decision C (2010) 774 of 13 April 2010, before being loaded on board of an aircraft bound to the customs territory of the Union.
Involved Member State (IMS)	Involved Member State is a Member State which is obliged to contribute to the risk analysis process of the RMS, notably to check ENS data made available against its national knowledge (i.e. contribution to the risk analysis of the RMS via application of national risk relevant knowledge and relevant common risk criteria in the area of security and safety). An IMS is considered to be a MS that is referenced in the ENS data. In case of air-cargo pre-loading consignments, IMS is considered to be any of the Member States (excluding the RMS), regardless of whether they are directly referenced in the ENS data.
Master Air Waybill (MAWB)	Master air waybill (MAWB) is a form of an air waybill that is issued by the carrier to its direct contractual party (customer).
Master Bill of lading (MboL)	Master bill of lading (MboL) is a form of a bill of lading that is issued by the carrier to its direct contractual shipper customer.
Master consignment	In ICS2 this term refers to a created ENS entity based on the information about a consignment from a master level transport contract issued by a carrier to its direct contracting party.
Master level ENS filing	This is a partial filing which contains information derived from a MAWB or MboL, depending on the mode of transport.
Master Reference Number (MRN)	Master Reference Number means the registration number allocated by the competent customs authority to declarations or notifications.
Member State of control	Member State of control is a country in which the recommended place of control is situated. Recommended place of control (and Member State) is set by the RMS and is part of its final risk analysis result of ENS.

	<p>Member State of control has a final decision on whether to actually control the goods or not, taking into account the results of risk analysis and control recommendation of the RMS.</p> <p>In maritime and air traffic, in case recommended place of control is situated in the declared customs office of first entry, however due to diversion of means of transport goods arrive and are presented to another actual customs office of first entry, Member State of the customs office of actual first entry assumes the role of the Member State of control.</p>
National Entry System (NES)	NES is a generic name used in this document for the national applications of the Member States that cover the following functionalities: processing of the ENSs at the COFE and other involved customs offices, risk analysis, arrival of means of transport, presentation of goods and control of goods.
Other Member State (OMS)	Other Member States (OMS) are MS that are not determined as being in the role of RMS or IMS for a given ENS or PLACI ENS filing in accordance with the business rules. In case of available specific knowledge about transactions, OMS can store OMS parameters in the CR. Where the set parameters are met in an ENS or PLACI ENS filing the OMS that has set the parameters will be assigned with the role of an IMS in the given transaction.
Person filing	Person filing means any person that submits to the customs authority ENS filing in its complete or partial content and other notifications in the prescribed form and manner. This person can be any person that issues bill of lading or air waybill and can be either carrier, NVOCC (i.e. freight forwarder), or any person identified by the legal provisions obliged to submit required particulars of ENS to the customs and can include postal operator, consignee stipulated in the lowest bill of lading. Person filing also includes representative of any of the persons mentioned above that submits the ENS filing in its complete or partial content to the customs authority on behalf of the person that it is representing.
PLACI	PLACI refers to a specific type of partial ENS filing, which is mandatory required as the minimum dataset ('7+1') to be filed as soon as possible prior to loading of the goods onto the aircraft in a third country. It is limited to the air traffic only and covers all goods (i.e. general cargo, express consignments and postal consignments).
PLACI dossier	The PLACI dossier gathers all the different information related to one specific air pre-loading PLACI house consignment. More specifically, it includes the relevant data of the corresponding air pre-loading ENS filings, the PLACI house consignment data and any available risk analysis results, e-screening results and risk mitigation referrals.
PLACI house consignment	In ICS2 this term refers to a created entity based on the information about a house consignment from a minimum data set which is to be lodged as early as possible prior to loading of the consignment onto an aircraft.
Postal item	<p>Postal items are indivisible mail able entities in respect of which a mail service contractor accepts an obligation to provide postal services (postal items are physically aggregated into the postal receptacle)</p> <p><i>NOTE 1: Indivisible relates here to treatment within the postal system: items should be handled and delivered as an integrated unit and not split into components within the postal system.</i></p> <p><i>NOTE 2: Mail items are often qualified according to size, weight,</i></p>

	<i>handling or other service characteristics. Examples include letter mail (items), parcel post (items), registered mail (items), etc. Where no such qualification is provided, item should be understood as encompassing any or all types of mail.</i>
Postal receptacle	Postal receptacle is a physical device which can be used to contain or carry mail so as to assist in its handling or transportation as a unit. <i>EXAMPLE: Mailbags, trays, wheeled containers (roller cages), pallet and pallet-based containers and airfreight containers (ULDs).</i>
Request for Information (Rfi)	Request for Information (Rfi) is a notification communicated by the customs authority of the RMS to the person filing (and the carrier under certain conditions) requesting further information on the particulars of the ENS.
Responsible Member state (RMS)	Responsible Member State is a Member State that has the legal responsibility to ensure that risk analysis is carried out and finalized primarily for security and safety purposes i.e. responsible to make a decision in terms of necessary measures to be taken to mitigate identified risk (e.g. action by the EO, or customs control action at different points of the supply chain). The RMS is the MS of the declared customs office of first entry (COFE) to which the ENS filing is addressed. In ICS2 R1 the Responsible Member State is the Addressed MS.

Table 3 Definitions

2 ROLES AND RESPONSIBILITIES

2.1 Responsible Member State

Responsible Member State is the Member State that is legally responsible to ensure that risk analysis is carried out and finalized primarily for security and safety purposes. This comprises decision making and responsibility in terms of risk assessment and necessary measures to be taken to mitigate identified risks (e.g. action to be taken by the EO, or customs control action at different points of the supply chain). The role of RMS is assigned as per risk analysis entity. Hence follows, that a Member State can become RMS for a PLACI risk analysis entity, which is created for each HC, or for a S&S risk analysis entity, which is created for each ENS. Once the role is assigned to a MS for a given risk analysis entity, the RMS will not change.

The RMS for the PLACI risk analysis is the MS addressed by the EO in its respective ENS filing, which provides the input for PLACI risk analysis. The RMS for the S&S risk analysis is the same MS in ICS2 Release 1 operations.

2.2 Involved Member State

An Involved Member State is a Member State, which is obliged to contribute to the risk analysis process of an RMS, notably to check ENS data made available against its national knowledge (i.e. contribution to the risk analysis of the RMS by application of national risk relevant knowledge and relevant common risk criteria in the area of security and safety). The role of IMS is assigned as per risk analysis entity. Hence follows, that a Member State can become IMS for a PLACI risk analysis entity, which is created for each house consignment, or for a S&S risk analysis entity, which is created for each ENS. In ICS2 R1 there is no IMS during S&S risk analysis.

Whether the role of an IMS is assigned to a MS depends on pre-defined business rules for IMS-determination. These rules take into account whether the MS is referenced in certain data elements (Consignee/Address/Country, Consignee/Identification number, Consignor/Address/Country or Consignor/Identification number) of the PLACI ENS filing or ENS. Moreover, the IMS role can only be assigned where the MS was not already assigned the role of a RMS for the same risk analysis entity. In case of PLACI risk analysis a specific rule can upon its activation assign the IMS role to all MS except the RMS, regardless whether the MS is referenced in the PLACI ENS filings.

2.3 Other Member State

Other Member States are MS that are neither RMS nor IMS in a given case. An OMS having specific knowledge about a suspicious transaction (i.e. about a specific container or means of transport) can enter the relevant key (i.e. container number or means of transport identification) data as OMS parameters in the CR. Where an ENS filing or ENS matches with the OMS parameters, the OMS becomes an IMS for the respective risk analysis entity.

2.4 Customs office of presentation

This role is assigned to the customs office where the goods are to be physically presented to customs. The presentation notification sent by the person presenting the goods is not part of the ICS2 and is therefore to be submitted to the dedicated national presentation systems. The customs office of presentation is responsible for updating the status of the affected HC's in the CR by submitting the presentation information (IE4N10). Furthermore, it will be assigned in parallel with the role of customs office of control for the control subjects that were recommended for a control at presentation.

2.5 Customs office of control

The customs office of control is the customs office competent for the recommended place of control as indicated in the 'control recommendations' message (IE4N05). In ICS2 R1 the Place of Control assigned could be only the Addressed MS which is the RMS (code list CL731, code = 'AMS'). It is relevant for the postal consignments in ICS2 Release 1. The S&S risk analysis is performed on postal consignments (not on express consignments) and control recommendations can be issued during the S&S risk analysis. Once assigned with that role the customs office of control has the following responsibilities:

- To take a control decision (control yes/no).
- If the decision was taken to perform controls the affected EO needs to be notified by a control notification from the national presentation system or by any other available means outside ICS2. The control notification is not part of ICS2 R1.
- To send the control decision and results to the CR via IE4S03 Control results.

3 LEGAL BACKGROUND

3.1 Obligation to lodge an ENS

The legal base for the requirement to lodge an ENS is defined in Article 127 UCC.

The intention of this customs formality is to obtain cargo information in advance (before the goods enter the customs territory of the European Union) for a safety & security risk analysis to be performed by the competent customs authority. In case of transport by air in fact two risk analyses are performed, the first one prior to loading of the goods onto an aircraft, which is dedicated to aviation security, the second one prior to arrival of the goods, taking into account all kinds of safety & security risks.

Under the previous legislation (postal) consignments transported under the rules of the UPU were exempted from the obligation to lodge an ENS. This will change now with the progressive applicability of the UCC and its UCC-DA and UCC-IA, which take into account the availability of ICS2 as being the supporting IT-system for this customs formality and its implementation in three releases.

3.2 Who is obliged to lodge the ENS

The obligation to lodge the ENS is, in general, with the carrier being responsible for the transport of the goods into the customs territory of the Union. The ENS can instead be lodged by the importer or consignee of the goods or by any person who is able to present or has presented the goods to customs. In practice the vast majority of the ENS's will be lodged by the carrier and the alternative persons mentioned above can be neglected in the postal business model [Article 127 (4) UCC].

In cases, where not all particulars required for an ENS can be obtained from the carrier other persons holding those particulars may be required to provide those particulars to customs [Article 127 (6) UCC].

3.3 Where is the ENS to be lodged

In general, the ENS shall be lodged at the customs office of first entry [Article 127 (3) UCC]. During ICS2 Release 1 operations Article 183 (2) UCC-IA applies in particular with regard to postal and express operators.

Destination postal operators submit their ENS filings to the 'Addressed Member State', which is the Member State in which they are operating. No specific customs office needs to be addressed.

Example: La Poste (France) always submits its ENS filings to French customs.

Express carriers need to lodge their PLACI ENS filings to the MS where the goods most likely arrive first in the EU (main HUB). In addition to the PLACI ENS filing in ICS2 Release 1, the express operators need to lodge full ENS for pre-arrival in ICS Phase 1.

3.4 Single/multiple filing

The ENS can be lodged either in form of a single ENS filing or by more than one ENS filing. The latter one applies where the carrier does not have all required particulars available to lodge timely a complete ENS in a single file. For postal consignments transported under the UPU rules multiple filing will be the regularly used approach.

In ICS2 Release 1 two ENS filings are to be used in the postal business model:

- F43: Contains the HC information;
- F44: Relates HCs to a receptacle used for transport.

Both ENS filings are to be lodged by the postal operator at destination (EU based postal operator).

In ICS2 R1 the express industry is required to lodge the ENS filing IE3F32 containing the minimum data set for air pre-loading risk analysis.

3.5 Waivers from the obligation to lodge an ENS

With regard to the business of postal operators and express carriers, items of correspondence do not require to be covered by an ENS. The term 'items of correspondence' covers postcards and letters that do not contain any goods. Letters containing goods need to be covered by an ENS where no other waiver applies.

Until the deployment of ICS2 Release 2 (scheduled deployment date 1 March 2023) postal consignments that are not finally destined to the EU do not need to be covered by an ENS.

For all applicable waivers consult Article 104 UCC-DA.

In general no ENS is required for goods on means of transport which are passing through the territorial waters or the airspace of the customs territory of the European Union without stopping within this territory [Article 127 (2) UCC].

EOs that were granted a deployment window in accordance with the UCC Work Programme.

3.6 Time-limits for the lodgement of ENS or particular ENS filing

The customs legislation foresees different time limits for the lodgement of ENS depending on the mode of transport. In ICS2 Release 1 operations, postal operators and express carriers shall lodge their F43 or F32 ENS filing as early as possible in accordance with Article 106 (1) UCC-DA. This means the ENS filings F43, F44 and F32 need to be lodged as soon as the required data is available to the declarant. In cases where upon presentation of the goods to customs no ENS was lodged Article 139 (5) UCC applies.

4 ECONOMIC OPERATOR ROLES

4.1 Declarant

The declarant in this context is the person lodging an ENS or particular ENS filings in his or her own name or the person in whose name an ENS or particular ENS filing is lodged. The declarant is legally responsible for the timely lodgement within the legal deadlines and the accuracy of the content of the ENS or a particular ENS filing.

4.2 Representative

A declarant can appoint a representative to create and lodge the ENS or a particular ENS filing in the name and on behalf of the declarant (direct representation) or in the representative's name but on behalf of the declarant (indirect representation). In case of direct representation the declarant is held legally responsible as if he had lodged the ENS or a particular ENS filing himself as above. The direct representative is liable with regard to his declarant but not regarding the customs authorities.

4.3 Person filing

The person who has created and lodged an ENS filing. It is either the declarant or in case of representation the representative.

4.4 IT-service provider

The IT-service provider is the person operating an access point to ICS2 who technically submits and receives electronic messages for declarants or representatives. It is not a declarant or representative for the reason that it electronically submits messages to customs. Nevertheless, an IT-service provider can be a representative in parallel when he provides customs representation services as well. A declarant who is operating an own access point to ICS2 for own submissions without providing services for other declarants and representatives is not considered to be an IT-service provider.

4.5 Carrier

As defined in the definition subsection 1.7.

4.6 Consignor

The consignor is the sender of the consignment as defined in the transport contract.

4.7 Consignee

The consignee is the recipient of the consignment. This is the person to whom the destination post or express carrier has to deliver the consignment to in order to fulfil the transport contract.

4.8 Additional supply chain actor

This is a logistical service provider that provides additional services during the transportation of the consignment. This cannot be a transport contract issuing party and none of the declarants.

5 ICS2 SYSTEM COMPONENTS

5.1 Common Repository

The CR is a common system component of the ICS2. This central database orchestrates the entire business process execution and lifecycle management of each relevant transaction.

Main tasks of this component are:

- Central data storage of the system;
- Processing of the received data;
- Business process orchestration per transaction;
- Forwarding information exchanges from STI to NES;
- Forwarding information exchanges from NES to STI;
- Generating own messages and sending them to STI or NES;
- Performing the ENS lifecycle validation;
- Managing the chronology and state of all instantiated ICS2 entities (ENS, ENS filing, HC, PLACI risk analysis, S&S risk analysis).

The use of the CR is mandatory for all transactions requiring an ENS or ENS filing lodged with ICS2.

5.2 Shared Trader interface

The STI is a common system component of the ICS2. It provides a functionally and technically harmonised solution for EOs to submit their ENS to all MS that adopted the STI as a legal option to address an ENS to its national customs authorities.

MS have three different options regarding trader interfaces:

- MS adopts STI and does not develop a national TI. The STI is the only legal way to address this MS with an ENS;
- MS adopts STI and develops an NTI. Both interfaces can be used to lodge an ENS. The choice of which interface to use is with the EO;
- MS does not adopt the STI. In this case, it has to develop an NTI, which will be the only solution for EO's to lodge an ENS in this MS.

Hence follows that the use of the STI is not mandatory for MS.

Main tasks covered by the STI are:

- Identification and authentication of the EO;
- Syntactical and semantical validation of messages sent by EOs;
- Storage and archiving of the original messages;
- Management and storage of the preferences (notification subscription) of the EOs;
- Generation and forwarding of information exchanges from the EO to the CR;
- Generation and forwarding of information exchanges from the CR to the EO;
- Generation of own messages to the EO.

For the start of operation of ICS2 R1 – March 15th 2021 – there is no NTI to be developed by a MS.

5.3 NES

There are several components of the NES involved in ICS2. Each NES will have its own particular configuration, but at least the following functional components are needed:

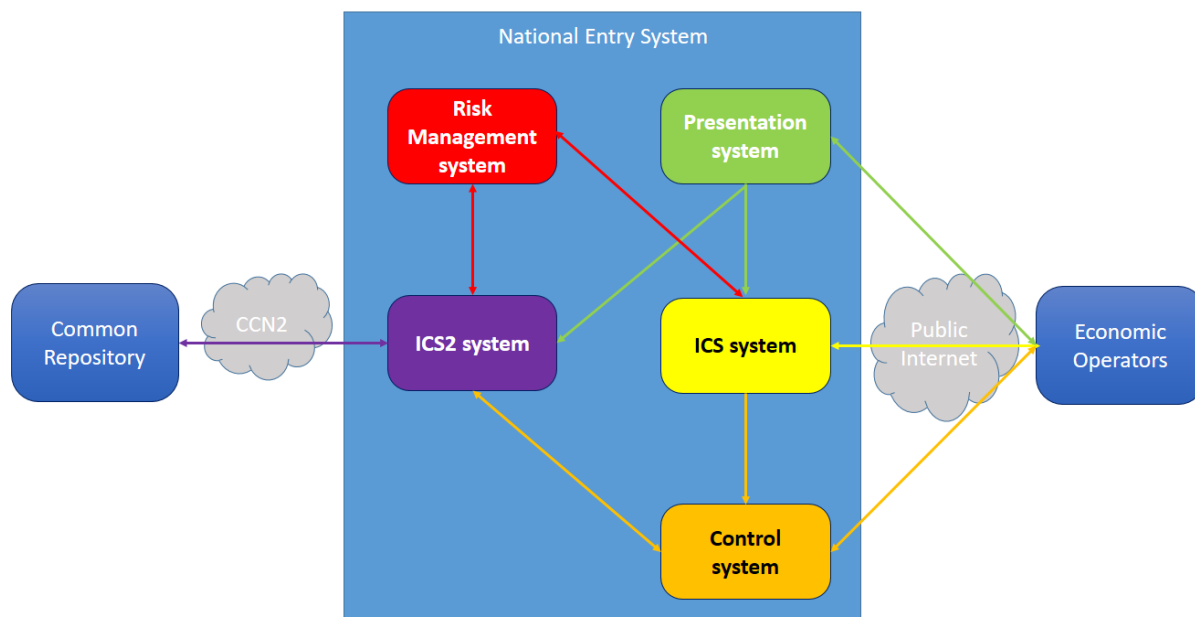


Figure 1 NES components

National ICS2 application

It is the component that interacts with the Common Repository through Common Communication Network (CCN2) and implements the different ICS2 services expected from the NES.

It is in charge of the messages and services for the:

- Risk analysis process;
- Referral process;
- Control Process;
- any notification or error involved.

It may also provide specific functionality for the risk analyst for the assessment of risks, for the referrals, for the assessment of control proposals, etc.

It is moreover in charge of interacting with the other NES components involved in ICS2 Risk Management System, Control System, and Presentation System.

Risk Management System

It is the component in charge of performing the risk analysis. It is in charge of automatic detection of risk hits and it may assist the risk analyst to assess the results.

It is in charge of the e-risk analysis and e-screening of the ENS and PLACIs, following the CRCs defined. For this process, this component may use different 'big data' tools, data mining tools, analytic tools, etc. for the real-time risk evaluation, applying the CRC, risk rules, profiles and patterns. This component may also use different national or shared sources of information.

This component may also facilitate the assessment of the risk analyst, but as for the assessment, the risk analyst needs to check all available information as the ENS/PLACI, referrals, controls, etc.

This component shall be able to interact with the CR, directly or indirectly via other NES components in order to perform the risk analysis process upon the e-risk analysis and e-screening requests received from the CR.

As ICS2 is going to coexist with ICS Phase 1 for some time, the Risk Management System may be shared with ICS Phase 1 or it may be a separate component, based on the particular NES configuration and national system architecture. It may also be possible to have different components for the e-risk and for the e-screening.

It may also interact with the next version of the Customs Risk Management System (CRMS2).

Control System

It is the component to be used for the registration of decisions to control and documenting the control results in the NES. It shall be able to interact with the CR to recommend controls, receive existing risk analysis results

and control recommendations and submit control decisions, including the reasons for no control and existing results of the performed controls. It can be used for the issuing of an Advanced control notifications.

This component may also interact with the EOs to notify them of the controls decided and later of the results of a performed control.

As ICS2 is going to coexist with ICS Phase 1 for some time, the national Control System may be shared with ICS Phase 1 or it may be a separate component, based on the particular NES configuration and national system architecture.

Presentation System

It is the component in charge of the presentation of goods to Customs, as described in Article 139 UCC. It shall be able to interact with the CR to submit information about the presentation of goods including referencing to ENS, in accordance with Article 139(4) UCC in order to update the state of the presented HCs in the CR.

This component may also interact with the EO's system for the Presentation Notification.

As ICS2 is going to coexist with ICS Phase 1 for some time, the Presentation System may be shared with ICS Phase 1 or it may be a separate component, based on the particular NES configuration and national system architecture.

Other Systems

Based on the particular NES configuration, the ICS2 may interact with other components like the Temporary Storage System or the Clearance System. For example, the ICS2 may be interfaced with the Clearance system to avoid the clearance of the goods until the controls proposed from the ICS2 are carried out.

6 ICS2 RELEASE 1 CUSTOMS BUSINESS PROCESSES

The ICS2 is to be implemented in three releases. Each of the releases covers additional scenarios:

ICS2 Release 1

The following (sub-) processes and use cases are supported:

- Lodgement of ENS filings F43 and F44 by postal operators;
- Lodgement of ENS filing F32 by express carriers;
- Amendment of ENS filings F32, F43 and F44;
- Invalidation of ENS filings F32, F43 and F44;
- Air pre-loading risk analysis on particulars from ENS filings F43 and F32;
- S&S risk analysis on particulars from ENS filing F43 for postal consignments;
- Handling referrals during the pre-loading risk analysis;
- Transmission of presentation information for postal consignments to ICS2 CR;
- Control decisions and results documentation for postal consignments.

ICS2 Release 2

ICS2 Release 2 adds the following functionalities and use case support:

- Entire functionality of ICS2 Release 1 is maintained;
- Pre-arrival phase for express carriers (ENS filings F30, F31 and F33);
- Amendment of the additional express carriers ENS filings;
- Invalidation of the additional express carriers ENS filings;
- S&S risk analysis on express consignments;
- Transmission of presentation information for express consignments to ICS2 CR;
- Control decisions and results documentation for express consignments;
- Lodgement of air cargo general ENS filings F20-F29 for air pre-loading and pre-arrival phase;
- Lodgement of general air carrier ENS filing F42 for postal consignments;
- Amendment of these ENS filings (F30, F31, F33, F42, F20 – F29 except not amendable F25 filing);
- Invalidation of these ENS filings (F30, F31, F33, F42, F20 – F29);
- Pre-loading and pre-arrival risk analysis for general air cargo consignments;
- Handling referrals during both pre-loading and pre-arrival risk analysis;
- Transmission of presentation information for general air cargo consignments to ICS2 CR;
- Control decisions and results documentation for general air cargo consignments;
- Arrival notification of the means of transport for general air cargo and express carriers.

ICS2 Release 3

ICS2 Release 3 adds the following functionalities and use case support:

- Entire functionality of ICS2 Releases 1 and 2 is maintained;
- Lodgement of ENS filings F10-F17 for maritime cargo;
- Lodgement of ENS filing F50 for road transported consignments;
- Lodgement of ENS filing F51 for rail transported consignments;
- Lodgement of the maritime carrier ENS filing F45 for postal consignments;
- Lodgement of the road carrier ENS filing F40 for postal consignments;
- Lodgement of the rail carrier ENS filing F41 for postal consignments;
- Lodgement of ENS filing F34 for express consignments on road;
- Amendment of these ENS filing (F10 – F17, F34, F40, F41, F45, F50, F51);
- Invalidation of these ENS filing (F10 – F17, F34, F40, F41, F45, F50, F51);
- S&S risk analysis on maritime, road and rail transported consignments;
- Transmission of presentation information for maritime, road and rail consignments to ICS2 CR;
- Control decisions and results documentation for maritime, road and rail consignments;
- Arrival notification of the means of transport for maritime carriers.

The ICS2 Release 1 workflow is depicted below:

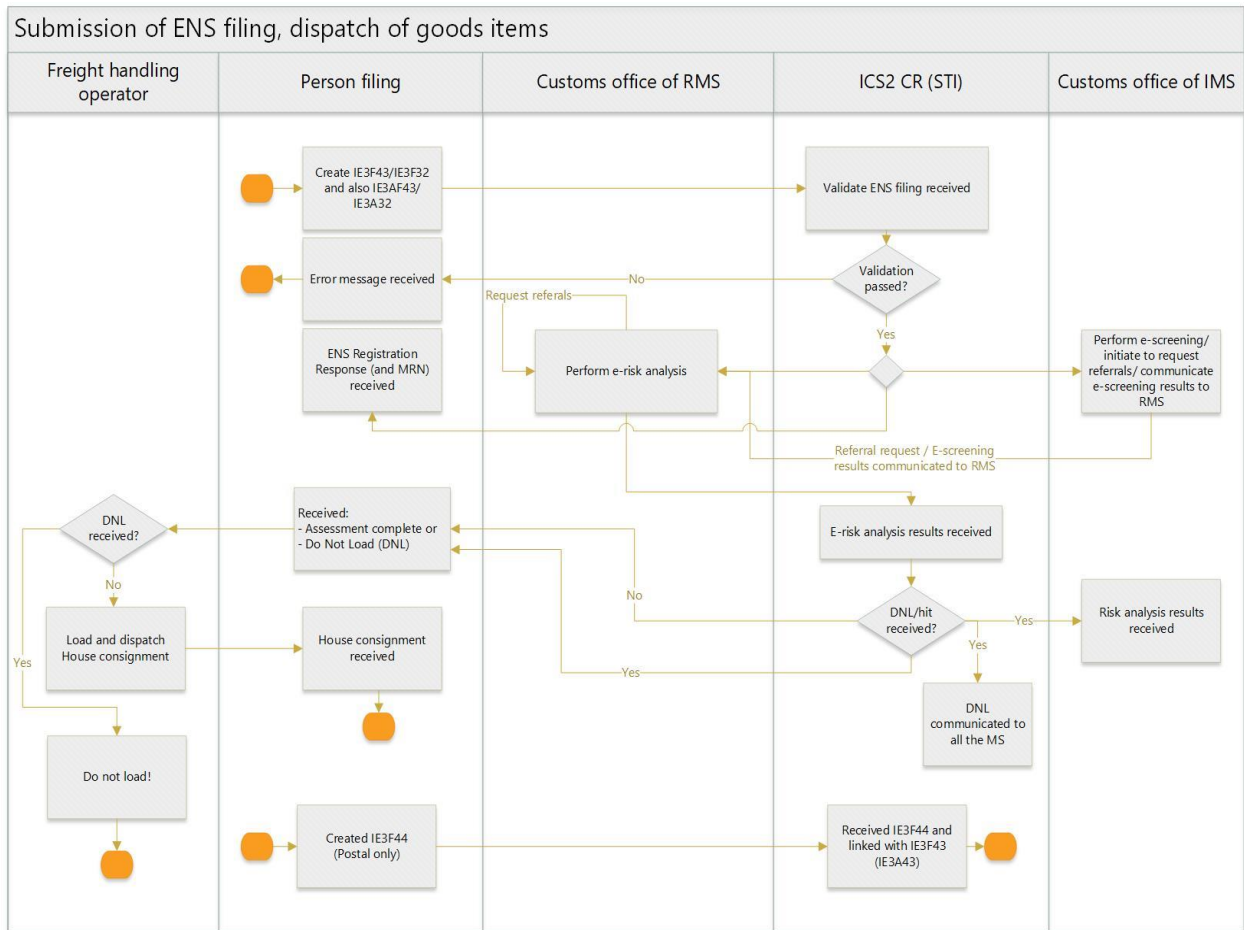


Figure 2 Workflow of ICS2 Release 1

The scope of ICS2 Release 1 comprises the air pre-loading information from postal operators and express carriers.

Express carriers

The express carriers will lodge the minimum data set of the ENS filing F32. The data contained is used for the air pre-loading risk analysis dedicated to aviation security. In addition to the PLACI ENS filing in ICS2 Release 1, the express operators need to lodge full ENS for pre-arrival in ICS Phase 1. The two filings from the two different systems will not be matched in any way during ICS2 Release 1 operations. During ICS2 R1 operations the presentation information for the express consignments is not transmitted to ICS2 and the formalities related to the presentation of the express consignments are performed in ICS Phase 1.

Postal operators

The postal operators at destination will lodge the ENS filings F43 and F44. They will receive the required information for these ENS filings from the origin posts via internal postal systems.

The data from the ENS filing F43 is used both for the air pre-loading risk analysis and for the S&S risk analysis. The F44 ENS filing contains the information about which consignments (postal items) are nested in which receptacle (bag). This information will be used to match the presentation of arrived consignments since the air carrier will not lodge any ENS filing for postal consignments and no arrival notification in ICS2 during the operations of ICS2 Release 1. The presentation of the goods to Customs at the Addressed Member State by the postal operator at destination should be done per house consignment.

Out of scope for ICS2 R1 are any ENS filings from the air carriers and the arrival notification for the border means of transport.

The entry of goods into the EU can be described as a 5 step process, consisting of the lodgement of the ENS, notification of the arrival of the means of transport, presentation of goods, temporary storage and placing the

goods under a customs procedure. However, the ICS2 Release 1 business process covers only the following steps:

- lodgement of the ENS
- and the information about the presentation of the goods (for postal consignments only).

In addition, one should bear in mind that the ICS2 process interacts with other customs processes in the global customs context. This includes, the following:

- First of all, the ENS filing can be lodged not only directly but also as an input from other customs processes. As stipulated in Article 130 of UCC – the ENS particulars can be combined with a declaration for a temporary storage or a customs declaration for release for free circulation, transit, warehousing, free zones, temporary admission, end use and inward processing. If this is the case, the ENS particulars are to be extracted and submitted as an input to the ICS2 process;
- Secondly, the ICS2 process interacts with the reference data management process to obtain the necessary reference data, e.g. EORI number, TARIC, Customs Office list and other code lists.

The ICS2 process provides input to other processes as well. Article 145 (5) UCC allows a reuse of the ENS data for temporary storage declarations. Article 144 UCC-DA permits using the ENS data for customs declarations for release for free circulation of the postal consignments. In these cases, the complete ENS data are to be re-used by the respective declarant for the relevant customs clearance processes.

Please note that the information included below describes the complete ICS2 process with all its functionalities. Since the ICS2 is implemented in three phases some of the ICS2 sub-processes and their functionalities are implemented at a later stage only.

6.1 Registration of an ENS filing

The ENS filing is submitted to the Shared Trader Interface (STI) or to the National Trader Interface (NTI), if a MS develops a national implementation of a trader interface to ICS2 Common repository. The ENS filing is stored and semantically and syntactically validated by the STI. This semantical and syntactical validation is performed to ensure processability and data consistency. If this validation is successful an MRN is generated and assigned to the ENS filing. Then the registered ENS filing is forwarded to the CR. Before the registration and assigned MRN are communicated to the person filing the CR performs an ENS lifecycle validation in order to search for duplicates or violation of uniqueness requirements. Only after successful ENS lifecycle validation the registration is notified to the person filing and the ENS filing is accepted.

In case the ENS filing does not pass successfully all validations by the system it is rejected and the person filing is notified of the rejection and of the errors that caused the rejection.

6.2 Perform risk analysis

The risk analysis process is triggered by the CR in the NES after the acceptance of the ENS filing. The CR generates IE4Q02 Request for e-risk analysis and sends it to the RMS. This sub-process is applicable both to the air pre-loading security risk analysis on each PLACI of the ENS filing and the S&S risk analysis on the ENS. In ICS2 Release 1 operations S&S risk analysis is applied on ENS particulars for postal consignments only. In ICS2 R1 there is IMS only for the pre-loading risk analysis, there is no IMS during the S&S risk analysis.

Where applicable and provided, results of the e-screening from IMS are communicated to the respective RMS before it completes the risk analysis process. The RMS, as part of its competence for the entire risk analysis process, takes into account the final results of the e-screening assessment by the IMS's and completes the risk analysis by sending IE4S02 Risk analysis results. During the pre-loading risk analysis the RMS can apply risk mitigation measures by requesting additional information (RfI), an amendment (RfI) of the ENS particulars or the performance of HRCM screening (RfS) from the person filing. For more information about these referrals please refer to **[RD06]**. When creating the risk analysis results for a pre-loading RA, the RMS decides whether the goods can be loaded on the plane or not. When the consignment is considered to be safe the system notifies the person filing via the "Assessment Complete" notification per house consignment. When the consignment is not considered to be safe after all available risk mitigation measures were applied, the system notifies the person filing via the "Do Not Load Request" that the consignment cannot be loaded. In parallel all MS are informed about this final decision. During the S&S risk analysis, the RMS assesses a wider scope of

safety and security risks than in the pre-loading risk analysis and can also recommend that the goods are subject to controls.

6.3 E-screening by OMS

. A MS may have actual concrete information about a certain threat or other relevant risk information. Since it cannot be sure that it will be in the role of RMS or IMS for transactions related to this specific knowledge/information, it can set the relevant parameters of that information as OMS-parameters in the CR. The OMS parameter values can be submitted either via the message IE4Q07 or configured in the CR user interface. Where the OMS parameters match the ENS data of a given transaction and the MS that set the parameters is not already in the role of RMS or IMS for that transaction, it will become an IMS with all access rights and task assignment foreseen with that role.

When an OMS parameter values are assigned the CR checks against already lodged ENS filings (not in state invalidated or presented in case of F43 and F32 not older than one week) and assigns IMS role to the MS for this particular PLACI in case the MS is not already RMS or IMS via sending IE4Q01.

6.4 Update risk analysis result

The RMS is entitled to update the risk analysis result in the following two cases:

- if the e-risk analysis needs to be repeated (re-triggered) or
- if there is a need to update the risk analysis result without re-triggered the risk analysis, i.e. due to new input from other involved national agencies providing new insight.

In case the updated risk analysis result contains a DNL, DNL request will be sent to the EO and the risk analysis results will be communicated to all MS.

6.5 Update e-screening assessment

The IMS is entitled to update e-screening assessment if:

- there is a need to update an assessment of an e-Screening hit that has already been sent to the RMS or
- if the completion of the assessment of an e-Screening hit takes place after the expiration of the timer for completion of the e-Screening assessment.

6.6 Amendment

ENS filings can be amended by the persons filing.

In general, there are two reasons for an amendment of the original ENS filing:

- a referral request for amendment (message IE4Q04) (code list CL735, code = 'AMD', [RD01]), or
- a need for amendment was identified by the person filing itself. This case will in particular be relevant when data for a given consignment was originally wrong or changed after the submission of the original ENS filing.

Where the amendment was initiated by a referral request (message IE4Q04) (code list CL735, code = 'AMD', [RD01]) the person filing has to insert the referral request reference in the respective amendment message (IE3Axx). Else, the amendment will not be recognised as an answer to the original referral request by ICS2 and the legal obligation to answer a referral request is not fulfilled.

In case a requested amendment cannot be performed by the EO, an Rfl response with the justification for the impossibility to amend is expected.

An ENS filing IE3Fxx is to be amended by its respective amendment filing IE3Axx. Also already amended original filings can be further amended. Sample messages of the amendment filings can be found in the referral guidance document.

Amendments of ENS filings are possible until either:

- The goods covered by the ENS filing to be amended have been presented to customs, or

- Where the customs office has already notified a control for the goods covered by the ENS filing to be amended.

The amendment restrictions above apply to all house consignments contained in the original ENS filing. This means, if only one house consignment of the original ENS filing is presented, no HC contained in that ENS filing can be amended anymore. The same applies for the notified controls. For the applicable ENS filings in ICS2 Release 1 the non-amendable elements are:

- Local Reference Number (LRN)
- Document issue date
- Specific circumstance indicator
- Addressed Member State
- Declarant/identification number
- Representative/identification number
- Transport document (House Level)

No new house consignments can be introduced and no new goods items to an existing house consignment can be inserted in an amendment message, house consignments and goods items can only be removed. New house consignments are to be declared by new IE3Fxx original ENS filing. Where a need exists to declare additional goods items for an existing HC, the original filing IE3Fxx (IE3F32, IE3F43, IE3F44) needs to be invalidated by submitting an invalidation request (IE3Q04). After the invalidation acceptance response (IE3R07) was received, a new corrected IE3Fxx can be submitted.

Where only particular but not all house consignments of an ENS filing IE3Fxx are shipped an amendment of the respective original ENS filing can be sent, which does not contain the house consignments not sent anymore. The ICS2 CR will invalidate the house consignments that were no longer present in the amendment filing.

Each valid and accepted amendment filing IE3Axx, which is relevant for at least one of the two risk analysis categories (PLACI air pre-loading or S&S risk analysis), will trigger a new risk analysis request. In case of amendment, no timer for the completion of the risk analysis is set for the RMS. The IMS needs to perform the e-Screening assessment within the assigned time limit.

If house consignments which were removed via an amendment are presented in IE4N10 Presentation information, an error notification will be communicated back from the CR to the MS of Presentation for the unknown reference number.

6.7 Invalidation

The process of the invalidation of the ENS filing is initiated if:

- the 200-day timer for the presentation of the goods expired – done automatically by the CR;
- the Person filing lodges a request for the ENS filing invalidation (IE3Q04).

Regarding the second possibility, if the request has been accepted (after the validation process), the invalidation process is also done automatically by the CR.

The ENS filing is invalidated 201 days after its lodgement when the goods covered by it are not presented to customs within that time. If the ENS was already invalidated when the goods are presented to customs, the economic operator obliged to file needs to lodge a new ENS. If the MRN of an invalidated ENS filing is sent to the CR in the Presentation information (IE4N10) an error notification for unknown MRN will be triggered.

6.8 Timer expiry

The CR applies timers in order to ensure a coordinated and timely business process execution within the legally defined time limits.

For the customs authorities two timers with regard to risk analysis apply:

- Timer for completion of the e-risk analysis (code list CL738, code = 'RA', [RD01])
- Timer for completion of e-Screening (code list CL738, code = 'ES', [RD01])

The timer type and its active validity period depend on the given use case defined by role (RMS or IMS), mode of transport and the risk analysis category (air pre-loading or S&S risk analysis).

The CR informs the NES of the RMS within the risk analysis request IE4Q02 about the expiry date and time of the timer for completion of the risk analysis. Where the timer for completion of the risk analysis expires without risk analysis results IE4S02 available in the CR the state of the risk analysis entity will be set to 'timer expired' and the risk analysis type to 'no risk analysis available' (code list CL739, code = 'Z', [RD01]). In addition, an Assessment complete is communicated to the Person filing.

An IMS receives the date and time of expiry of the timer for completion of e-screening within the e-Screening request IE4Q01. When it expires without having e-Screening results IE4S01 sent to the CR the RMS can conclude that no results from this IMS are available.

In case of an amendment, no timer is applied for the completion of the risk analysis from the RMS. However, the timer for the completion of the e-Screening assessment is applicable.

6.9 Presentation

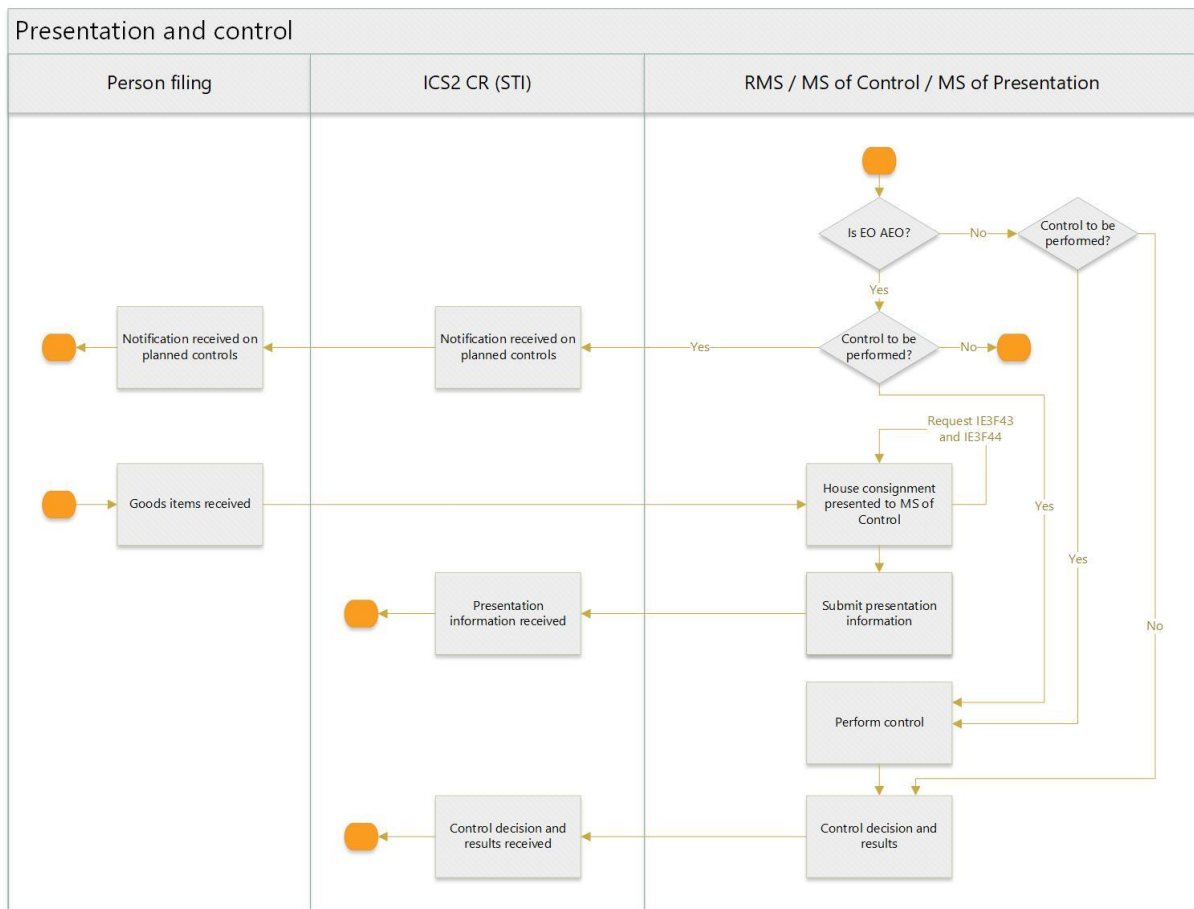


Figure 3 Presentation and control

6.9.1 Presentation information

Postal consignments shall be presented at the customs office at the destination. A presentation notification (PN) needs to be send to national system as an electronic notification by postal operator according to the national instructions of the MS of Presentation. The presentation notification can be processed fully automatically in the national systems.

The presentation notification shall be built to allow for the generation of IE4N10 Presentation information. From the end of year 2022 the content of the PN also needs to take into account the legal requirements as defined in column G3 of Annex B DA. All arrived postal consignments shall be presented at their destination. The related ENS filing of the presented consignments and its MRN are to be referred to in the section for previous documents section of the PN.

Immediately after the PN is registered in the national presentation system MS of Presentation shall inform the CR about the presented goods. Presentation information IE4N10 shall be sent for all presented house consignments. IE4N10 message can include the MRN's and the relevant house consignments from several

IE3F43 filings. The presentation information needs to refer to the house transport document references of the presented house consignments. In case only the MRN's of the related F43 ENS filings are sent to the CR, then all related house consignments to the listed MRN's are considered presented. The state of HCs after processing of the presentation information is changed to 'presented' by the CR.

If the MS of Presentation was not involved in the S&S risk analysis (it was not the RMS) (in case of diversion) it will receive the ENS particulars together with the risk analysis results from the S&S risk analysis and the control recommendations, if any, via message IE4N05 Control recommendations notification.

Once goods are presented in the national system customs can inform the person presenting the goods about decided controls, if a control notification was not already sent in advance.

6.9.2 No ENS filing upon presentation

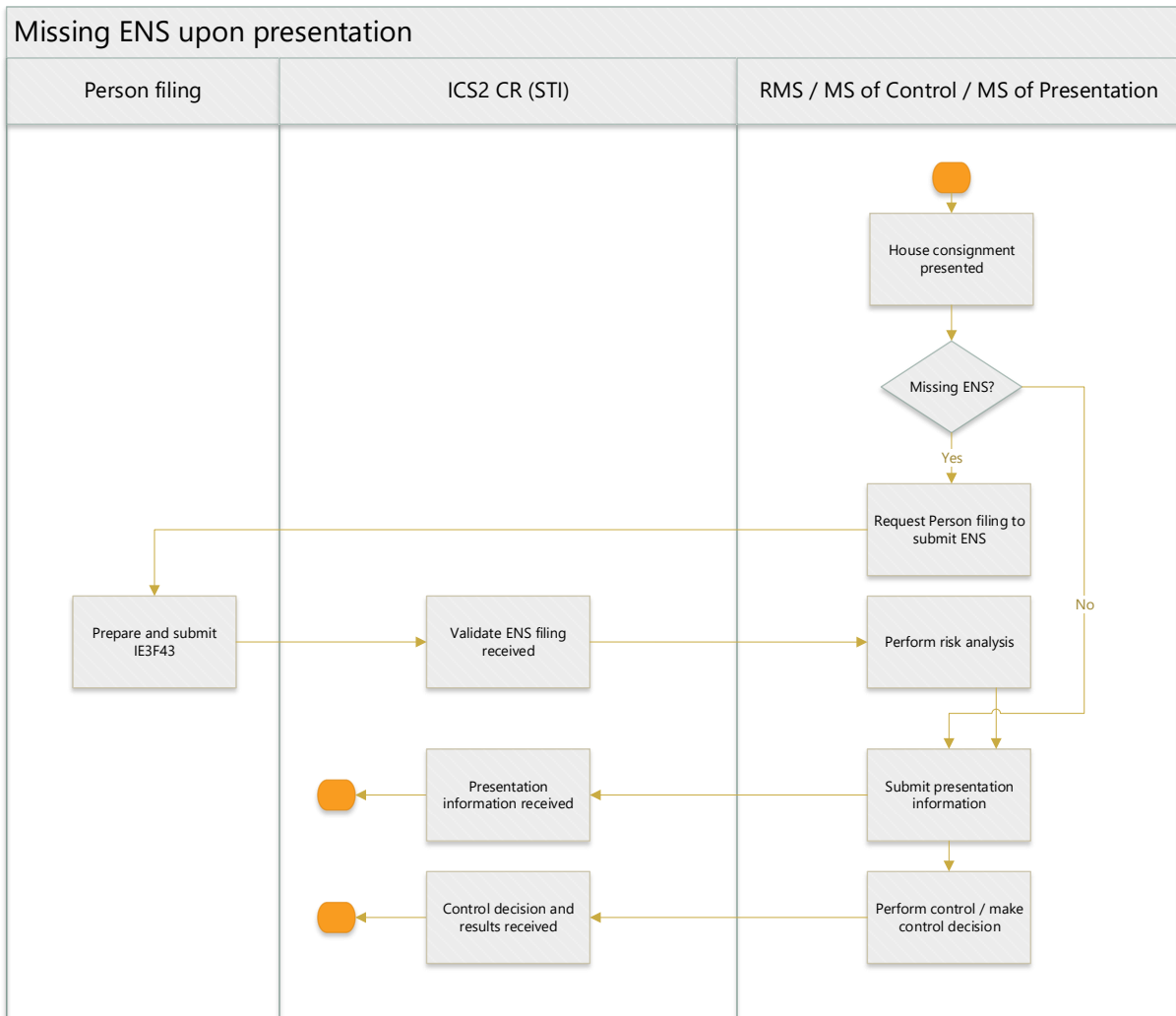


Figure 4 Missing ENS upon presentation

Where a presented house consignment is not covered by an ENS at its presentation to customs and no waiver from the obligation to lodge an ENS applies the person presenting the goods is to be requested to lodge an ENS immediately. Where the application of a deployment window for ICS2 Release 1 was granted to the economic operator that would have been generally obliged to lodge the ENS, no ENS data shall be requested within the validity period of the granted deployment window.

6.9.3 Presentation revocation

It may happen in practice that economic operators notify goods as presented but in fact they do not arrive. The reasons for that can be various, i.e. discrepancies between manifest data and physical loading of goods. It may furthermore happen that goods are erroneously presented at a place where they are in fact not unloaded from an aircraft or vessel.

Where this presentation is done in the national presentation system and the respective presentation information was already sent to the CR, the status of the not arrived or erroneously presented consignments needs to be corrected in the CR as well.

This is done via the message IE4Q08 Presentation revocation. Depending on the functionality of the national presentation system this message might be generated automatically when presentation of goods directly entering from outside the customs territory of the Union are voided. Where this is not automated the generation of the presentation revocation for the CR may need to be triggered manually. The submission of the presentation revocation will revert the states of the impacted house consignments to their previous value in the CR. After this was processed and confirmed by the CR an updated presentation information based on the amended PN needs to be submitted to the CR. ICS2 provides the opportunity to revoke erroneously presented entities in the CR. In case the presentation of certain entities – all house consignments from an ENS filing (F43 MRN), all house consignments from a particular receptacle or separate house consignments – need to be corrected, then IE4Q08 Presentation revocation with the relevant identifiers needs to be sent to the CR.

6.9.4 Diversion

In ICS2 Release 1 diversion of postal consignments will be quite unusual. However, if it happens, the MS of Presentation will not have any information regarding the ENS if it was not involved as IMS.

After receiving the Presentation Information [IE4N10 message], if the CR determines that the MS of Presentation is neither MS of Control, nor RMS or IMS, it will send a complete control recommendation notification [IE4N05 message] containing the risk analysis results and control recommendations, together with the data of the HC presented (Related ENS) and its related PLACI information. One control recommendation notification per presented HC will be sent.

The MS of Presentation should take the control recommendations into consideration and decide whether the recommended controls will be carried out.

6.10 Handling controls

6.10.1 Control recommendations

In ICS2 Release 1, there are two categories of risk analyses to be performed. One category of analysis is carried out before the loading of goods onto a plane – this is the air pre-loading risk analysis which must be completed by the time the consignment is loaded. The second category of risk analysis is the Safety and Security Risk Analysis (S&S risk analysis), which starts after the pre-loading risk analysis is completed¹.

Control recommendations can be issued by the RMS to the MS of Control via the CR in the risk analysis results (IE4S02). Therefore, the control recommendations are set by the RMS at the moment of the completion of the S&S risk analysis. In ICS2 R1 the Place of Control could be only the Addressed MS which is the RMS (code list CL731, code = 'AMS'). In the next step, the CR informs the MS of Control about the control recommendations by the RMS via IE4N05 Control recommendations notification.

If an EO, holder of an AEOS status, has lodged an ENS, the Member State of Control can decide to notify the EO of the selection of the consignment for physical control as referred to in Article 24 (2) UCC-DA. The notification should be made before the goods arrive in the customs territory of the Union. This notification shall not be made if it may jeopardize the purpose of the inspection or its results.

When a favourable decision to inform AEOS has been taken, the designated MS of Control sends an IE4N11 AEO control notification to the person filing via the CR and the STI forwards the notification via IE3N09 AEO control notification to the person filing. The decision to inform the AEO is a manual process based on the results of the S&S risk analysis and is to be taken in discretion on a case by case basis. A general rule that the purpose of control would be jeopardized in any case cannot apply.

In ICS2 R1 there is no control notification (IE3N08/IE4N09) only an advanced control notification.

¹ For the description of the risk analysis categories, please refer to the AVSEC-CRC Common Operational Guidance Version

6.10.2 Control Decision and Control Results

Upon receipt of the control recommendation notification the designated Customs Office of Control needs to take a decision whether the recommended control will be performed or not. The taken control decision is to be communicated to the CR via IE4S03 Control results. Where the decision was not to control the reason not to control needs to be provided in IE4S03. The coded reasons for no control decision can be as follows:

- Items are not available;
- Previous controls indicate low risk;
- The person filing is AEOS;
- The control is deferred to the subsequent customs procedure.

Upon presentation of the goods covered by an ENS to customs the customs office of presentation has to decide whether the presented goods are to be controlled. In case control recommendations from the S&S risk analysis exist, they need to be taken into account for the control decision. The decision whether a control is to be performed and the control results, in case controls were performed, need to be communicated to ICS2 via IE4S03 Control results.

Upon the presentation of goods that were selected for a control the NES needs to notify the person presenting the goods where no advanced AEO control notification was already sent. This is done outside ICS2.

If the decision was to control the goods and when the control of the goods is performed after their presentation, the customs officer records manually the control results in the NES and then IE4S03 Control results message is communicated to the CR.

The control results contain, in particular, the control decision, which was taken by the assigned Customs Office of Control. Where it was decided to perform a control (code list CL712, code = '1', [RD01]) also the control results and the control type are to be submitted to the CR. One control decision can be taken and submitted to the CR for all control subjects indicated in the control recommendations notification, there is no need to issue separate decisions for each of the control subjects. The control results are also to be reported to the CR if there was no recommendation to control the goods but the MS of Control decided to perform a control upon its own initiative. The control results are to be available in the CR to query the ENS data by the other (entitled) MS (IMS).

In general, there is no time limit for providing the control results. However, they should be provided to the CR, immediately after the control results are obtained and documented in the NES. When the control results cannot be sent immediately, i.e. the results from a laboratory analysis are pending, it is possible to send provisional results. The CR can receive multiple control results for one house consignment.

It needs to be taken into account that the control results should be at an appropriate detailed level in order to re-use this information for further improvement of the targeting. Therefore the non-coded data elements contained in the control results message should be used for additional description.

7 INFORMATION EXCHANGES

7.1 Relation between EO declarations and the data in the CR

In ICS2 Release 1 operations during the pre-loading phase, the Express carriers will lodge an ENS filing via IE3F32 to declare the PLACI. Each message will contain one or more PLACIs, which are to be used only for the pre-loading risk analysis.

In ICS2 Release 1 during pre-loading, the Postal operators will lodge an ENS filing via IE3F43 to declare the HC data. Each message will contain one or more HCs, to be used during pre-loading risk analysis and during the S&S risk analysis. In ICS2 Release 1, all the HCs declared in a single ENS filing are considered as one ENS, together with the related filing assigning a receptacle to the HCs via IE3F44.

Once the Postal operator declares the pre-loading HC data in one single filing, the CR will extract the PLACI data from the HC data and it will prepare each PLACI for an individual pre-loading risk analysis request, with all the data elements needed for this process.

The CR will also store and process the HC data beyond the PLACI data elements and it will instantiate an ENS with all the HCs declared in a single ENS filing, for S&S risk analysis on the ENS, with all available data elements needed for this process.

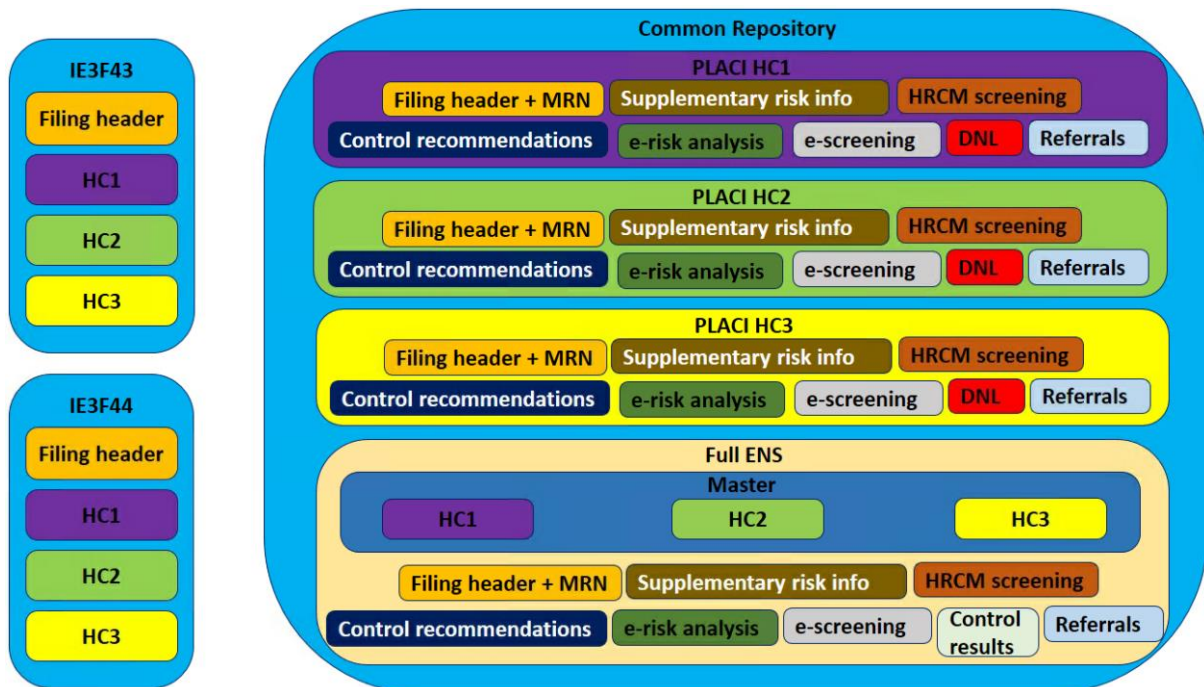


Figure 5 Postal ENS filings mapping to ENS data entities

7.2 Messages involved in the risk analysis process

For the risk analysis process, there are several messages involved with different data elements that should be considered, together with other factors from the ongoing risk analysis process.

7.2.1 e-Risk analysis request [IE4Q02 message]

This message is the e-risk analysis request sent by the CR to the RMS.

During pre-loading risk analysis, the RMS receives one e-risk analysis request [IE4Q02 message] per PLACI.

During S&S risk analysis, the RMS receives one e-risk analysis request [IE4Q02 message] per ENS.

Important references and information

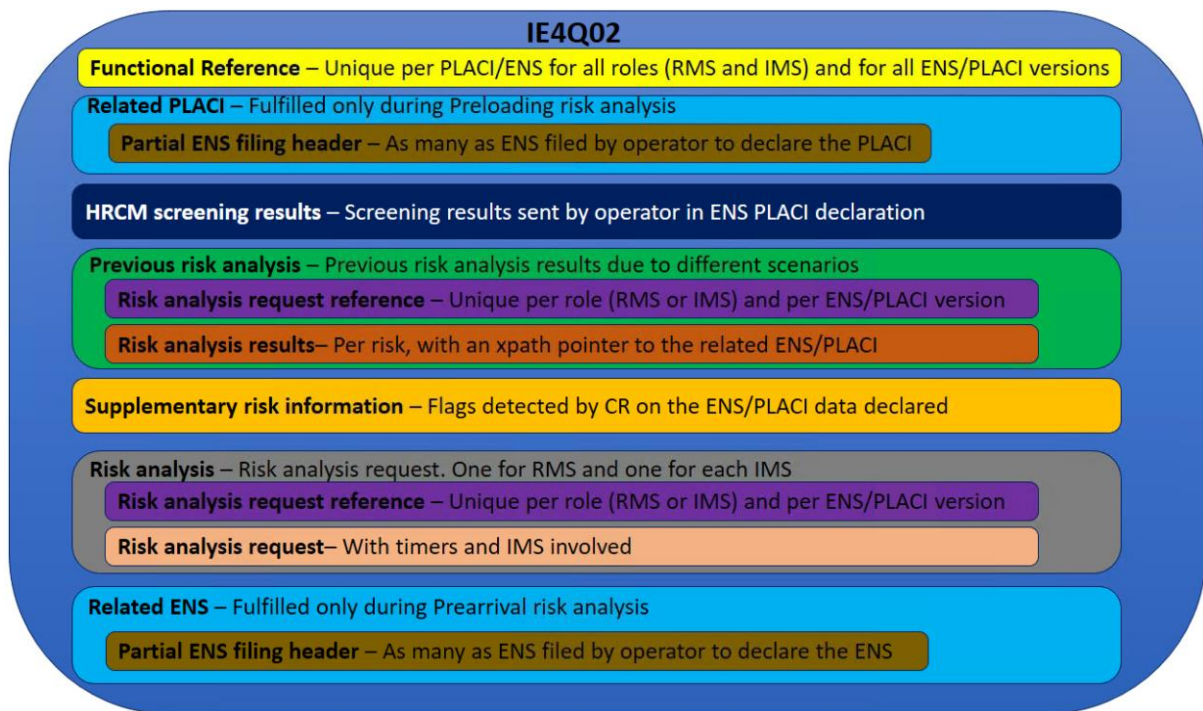


Figure 6 Content of IE4Q02 message

Functional Reference. It is unique for an instantiated risk analysis entity of a given ENS or PLACI. This means it is the same for the RMS and all the IMSs, and it is the same for potential future amendments of the same ENS or PLACI.

Message Function. It indicates if it is an Original risk analysis request or if it is a Reissue after an amendment (code list CL727, code = '9' or '18', [RD01]).

Related PLACI. Only fulfilled during Pre-loading risk analysis. Only one PLACI per request. It also contains data of the Partial ENS filing headers used to declare the PLACI. These are needed for referrals to retrieve the MRN related to the PLACI, which is mandatory in Additional information request [IE4Q04 message] and High Risk Cargo & Mail screening request [IE4Q05 message]. They also include a Request Reference, which it would be fulfilled with the Referral Request Reference in case of an amendment due to an Rfl.

HRCM screening results. These are HRCM screening results sent by the operator in the PLACI declarations.

Previous risk analysis. These are all the previous risk analysis results existing in CR for a given PLACI or for a given ENS:

1. **Pre-loading risk analysis.** Any risk analysis result sent by RMS (Risk analysis results [IE4S02 message]) and by IMS (e-Screening results [IE4S01 message]) for all the previous versions of the given PLACI.
2. **S&S risk analysis.** The following data will be received:
 - a. Risk analysis results sent by RMS (Risk analysis results [IE4S02 message]) and by IMS (e-Screening results [IE4S01 message]) for the PLACIs associated to the Full ENS, for the current and all the previous version of those PLACIs.
 - b. Risk analysis results sent by RMS (Risk analysis results [IE4S02 message]) and by IMS (e-Screening results [IE4S01 message]) for all the previous versions of the full ENS.

Previous risk analysis results, related to a previous version of the PLACI/ENS, should be taken into consideration by the risk analyst after an amendment for the analysis process and for the answer provided to the risk analysis.

The purpose of the “Previous risk analysis” is to provide the whole picture related to the PLACI or the ENS. In case of an issued DNL, it will be also included under the “Previous risk analysis” for the S&S risk analysis since the house consignment, for which the DNL is sent, is not removed from the e-risk analysis request for the S&S risk analysis.

Risk Analysis Request Reference (RARR). It is unique for a given role (RMS or IMS) and a given version (ENS or PLACI). Each role will have its own RARR, and after an amendment, the RARR received in the e-risk analysis request [IE4Q02 message] will be different. The RMS receives the “Risk analysis request reference” of the IMS as well so that the RMS can link the received IMS contribution via IE4S01.

Supplementary Risk Information. Flags raised by CR on PLACI or Full ENS data. Such flags indicate poor data quality or inconsistency in the ENS or the ENS filing. The risk analyst can consider them during the risk analysis process.

Risk analysis. As many as MS involved in the risk analysis: one for the RMS and one for each IMS, each with its own RARR. In the **Risk Analysis Request** there is information regarding the timers involved and the role of the MS.

Related ENS. Only fulfilled during S&S risk analysis. One ENS per request. In ICS2 Release 1, all the HCs declared in a single ENS filing [IE3F43 message] are considered as one ENS for this e-risk analysis request [IE4Q02 message]. The MRN of the ENS filing [IE3F43 message] is considered as the MRN of the Related ENS. In ICS2 Release 1 the Partial ENS filing headers contain data of the ENS filing [IE3F43 message] and the filing relating a receptacle to the HCs [IE3F44 message], if it is received before the S&S risk analysis is triggered. The ENS filing [IE3F43 message] partial ENS filing header include a Request Reference, which would be fulfilled with the Referral Request Reference in case of an amendment due to an Rfl. After an amendment, it is possible to remove HCs or Good Items, but it is not possible to add them. The RMS should check the differences between the different versions after the amendment for the new risk analysis.

7.2.2 e-Screening request [IE4Q01 message]

This message is the e-screening request sent by the CR to the IMS.

During the pre-loading risk analysis, the IMS receives one e-Screening request [IE4Q01 message] per PLACI.

Important references and information

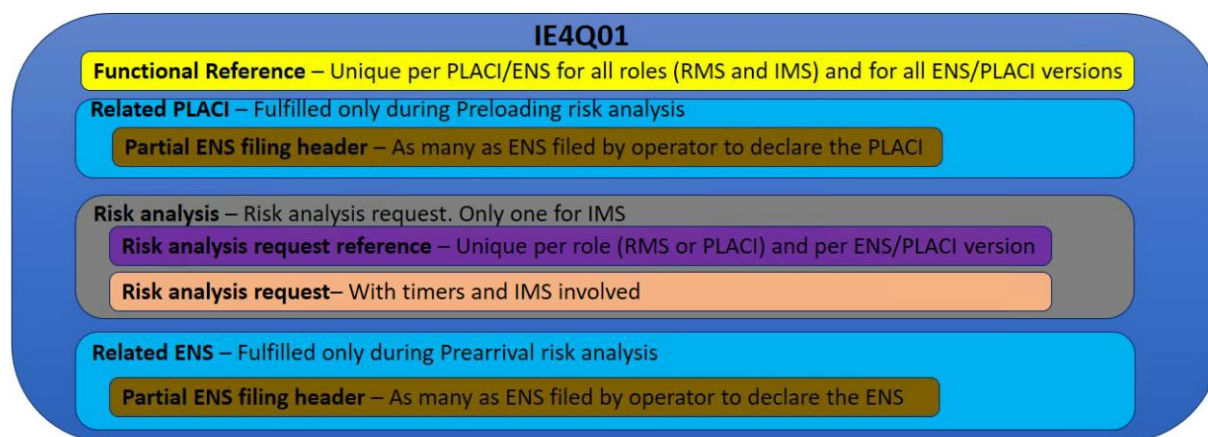


Figure 7 Content of IE4Q01 message

Functional Reference. It is unique for an instantiated risk analysis entity of a given ENS or PLACI. This means it is the same for the RMS and all the IMSs, and it is the same for potential future amendments of the same ENS or PLACI.

Message Function. It indicates if it is an original risk analysis request or if it is a Reissue after an amendment (code list CL727, code = '9' or '18', [RD01]).

Related PLACI. Only fulfilled during Pre-loading risk analysis. Only one PLACI per request. It also contains data of the Partial ENS filing headers used to declare the PLACI.

Supplementary Risk Information. Flags raised on certain attributes by CR on PLACI or Full ENS data with regard to quality or consistency issues.

Risk analysis. One Risk analysis for the IMS.

Risk Analysis Request Reference (RARR). It is unique for the IMS for this ENS/PLACI version. After an amendment, the RARR received in the e-Screening request [IE4Q01 message] will be different whereas the functional reference will remain the same.

Related ENS. This data class will contain the ENS data, which is subject to the e-screening request. Since no IMS role for the S&S risk analysis will be assigned during ICS2 Release 1 operations, it will be relevant as from Release 2 on only.

7.2.3 Risk analysis results [IE4S02 message]

This message contains the e-risk analysis results sent by the RMS to the CR.

The CR forwards it to all the IMS that have previously contributed to the risk analysis (sent IE4S01).

It is forwarded to all MS in case of a DNL.

The RMS can update the risk analysis results and re-send this message for the same RARR, if there is a new assessment on the risk analysis based on new information gathered by the RMS or received from other IMS through a new e-Screening results [IE4S01 message]. The Risk analysis results [IE4S02 message] would contain 'Change' in Message Function (code list CL727, code = '4', [RD01]). The CR will forward the updated risk analysis results to IMSs who contributed to the risk analysis, in case the update concerns air pre-loading risk analysis, and the assigned MS of control only, when none of the related HCs is yet in state 'presented'.

Important references and information

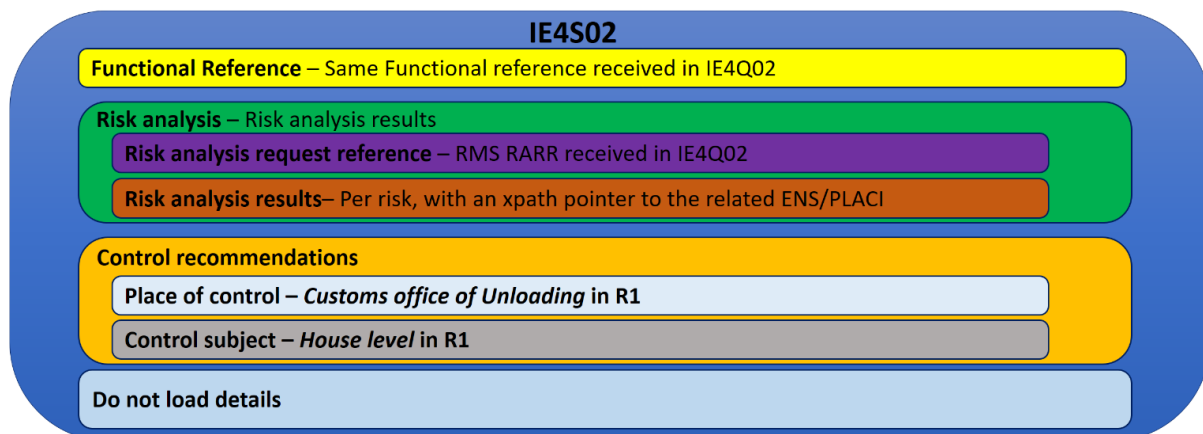


Figure 8 Content of IE4S02 message

Functional Reference. It is unique for an instantiated risk analysis entity of a given ENS or PLACI. This means it is the same for the RMS and all the IMSs, and it is the same for potential future updates of the risk analysis results either based on updated e-risk analysis request for the same RA entity or updates made by the RMS without a new request.

Risk analysis. It contains all the identified risks confirmed by the RMS, with an optional path pointing to the data elements in the content of the related PLACI/ENS which are considered to constitute a risk received in the e-risk analysis request [IE4Q02 message]. The RARR is the one received by the RMS in the e-risk analysis request [IE4Q02 message]. This needs to be the same one received in the latest e-risk analysis request [IE4Q02 message] which shall be answered and completed by the given risk analysis results.

Control recommendations. They contain the recommended place of control and control subjects for the HCs of an ENS. The goal of the pre-loading RA is to prevent consignments considered to be a threat from being loaded onto an aircraft, not to recommend controls upon their arrival. However, the risk analyst during the S&S risk analysis is allowed to issue control recommendations. In ICS2 Release 1 the Place of Control can only be the Addressed MS. The control subject can only refer to house consignments.

Do not load details. In ICS2 Release 1 DNL request is applicable only during pre-loading RA, and only at HC level with regard to 'Do Not Load' details.

7.2.4 E-Screening results [IE4S01 message]

This message contains the e-screening results sent by an IMS to the CR.

It is also forwarded by the CR to the RMS, in order to be taken into consideration by the risk analyst.

The IMS can update the e-screening results and re-send this message for the same RARR, if there is a new assessment on the e-screening based on new information gathered by the IMS or if an OMS becomes IMS due to new OMS parameters defined, but only before any of the HCs of the ENS is presented. During pre-loading RA, the IMS can update the e-screening results and re-send this message for the same RARR, if the RMS has not yet sent the risk analysis results [IE4S02 message].

Important references and information

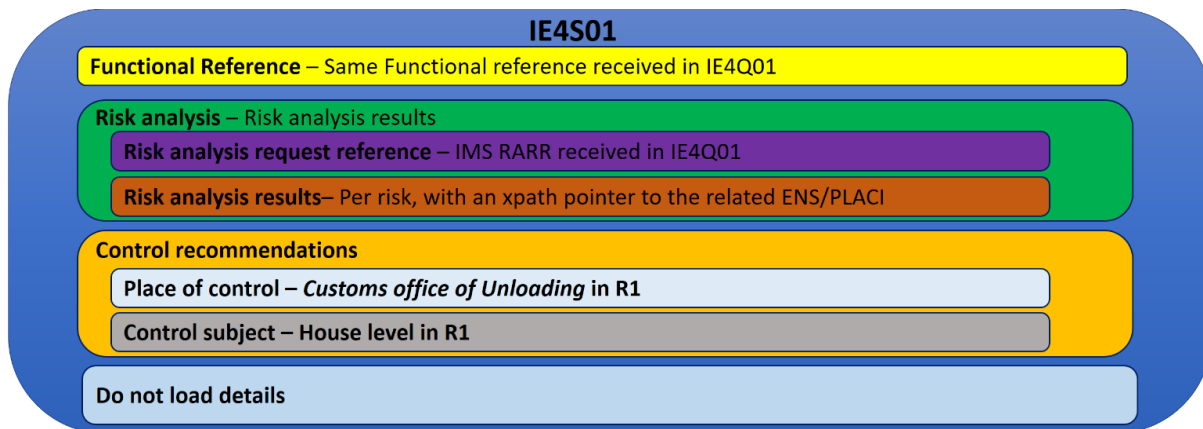


Figure 9 Content of IE4S01 message

Functional Reference. This needs to be the same one as received in the e-Screening request [IE4Q01 message].

Risk analysis. It contains all the identified risks confirmed by the IMS, with an optional path pointing to the data elements in the content of the related PLACI/ENS which are considered to constitute a risk received in the e-Screening request [IE4Q01 message]. The **RARR** is the one received by the IMS in the e-Screening request [IE4Q01 message].

Control recommendations. The recommended place of control and control subjects for the related PLACI or ENS. The goal of the pre-loading risk analysis is to prevent consignments considered to be a threat from being loaded onto an aircraft, not to recommend controls upon their arrival. However, the pre-loading risk analyst is allowed to propose control recommendations to be considered during S&S risk analysis. In ICS2 Release 1 the Place of Control can only be the MS that was addressed, either at the Customs Office of Unloading or at the Customs Office competent for the postal office of exchange were different from the Customs Office of Unloading. The control subject can only refer to HCs.

Do not load details. In ICS2 Release 1 DNL request is applicable only during pre-loading RA, and only at HC level with regard to 'Do Not Load' details. A DNL issued by an IMS should be treated as recommendations by RMS. The final decision on DNL is the competence of the RMS.

7.2.5 Control recommendation notification [IE4N05 message]

This message contains the control recommendation information sent by the CR to the MS of Control. In ICS2 Release 1 the MS of Control is the 'Addressed Member State' in the ENS filing.

The control recommendation notification [IE4N05 message] is sent to the MS of Control right after the RMS sends the e-risk analysis results with control recommendations, for pre-loading and for S&S risk analysis. If the MS of Control was previously the RMS or an IMS, then only a reduced Control recommendation notification [IE4N05 message] (without related ENS or related PLACI data) is sent to the MS of Control. In any other case the complete control recommendation notification [IE4N05 message] is sent to the MS of Control. If the RMS sends updated risk analysis results [IE4S02 message] to the CR before the presentation of the goods to customs and the control recommendations have changed, the CR sends a new control recommendation notification [IE4N05 message] to the MS of Control.

The control recommendation notification [IE4N05 message] is also sent to the MS of Presentation after the presentation of goods, if control recommendations were provided at all and the MS of Presentation was not the RMS or the MS of Control, due to a diversion. In this case, the control recommendation notification would be sent per presented HC. If the MS of Presentation was previously an IMS, then only a reduced control recommendation notification [IE4N05 message] (without related ENS or related PLACI data) is sent to the MS of Presentation. In any other case the complete control recommendation notification [IE4N05 message] is sent to the MS of Presentation.

Content of this message

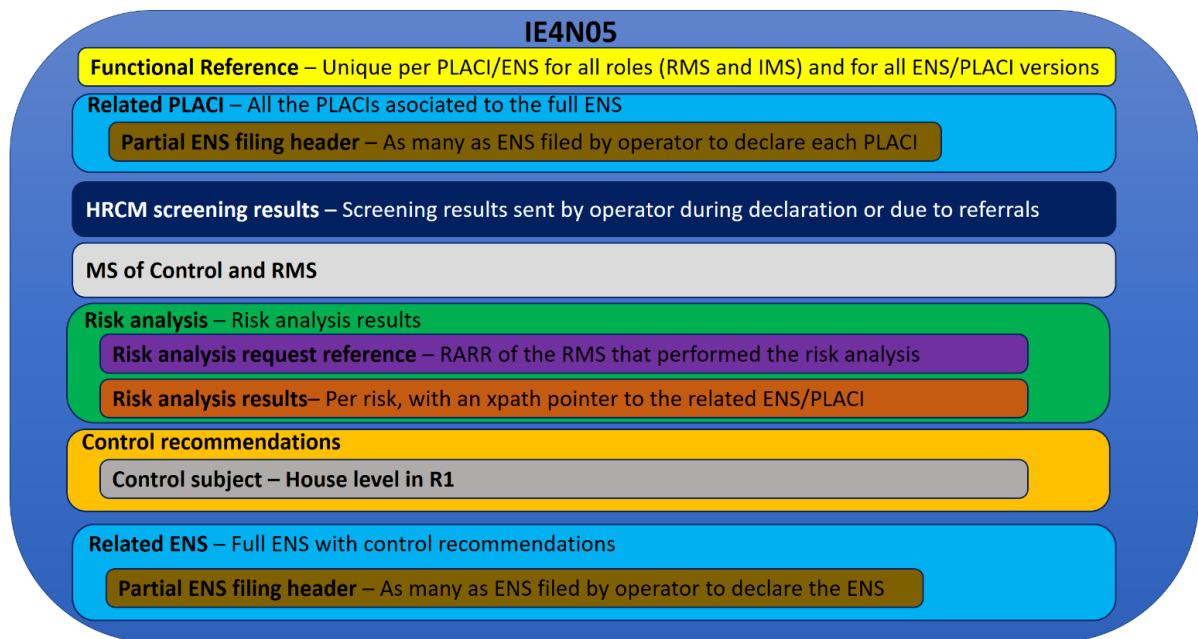


Figure 10 Content of IE4N05 message

Functional Reference. This is the same one the RMS received in the e-risk analysis request [IE4Q02 message].

Related PLACI. After pre-loading RA it contains only one PLACI per control recommendation notification [IE4N05 message].

After S&S risk analysis it contains all the PLACI associated to the Related ENS. After presentation it contains the presented HCs from the 'Related ENS'.

HRCM screening results. This contains the HRCM screening results either sent by the economic operator in the PLACI ENS filing or obtained from RfS responses.

Risk analysis. These are all the risks confirmed by the RMS:

1. After pre-loading RA, the risks confirmed for the 'Related PLACI'.
2. After S&S risk analysis, the risks confirmed for the 'Related ENS'.

In both cases, the **RARR** is the one used by the RMS in the risk analysis results. The identified risks have an optional path pointing to the data elements in the content of the related PLACI/ENS which are considered to constitute a risk in the related PLACI or in the related ENS received in the control recommendation notification [IE4N05 message].

Control recommendations. This data class contains the recommended place of control and control subjects of the 'Related PLACI' or for the 'Related ENS'. The goal of the pre-loading RA is to prevent threats being loaded onto an aircraft, not to recommend controls at the arrival. However, the pre-loading RA is allowed to propose control recommendations to be considered during S&S risk analysis. After completion of the S&S risk analysis and upon presentation of the goods to customs, only the control recommendations for the 'Related ENS' are sent.

In ICS2 Release 1 a recommended control subject can only refer to HCs.

Related ENS. This data class contains information only after S&S risk analysis was completed. In ICS2 Release 1, all the HCs declared in a single ENS filing [IE3F43 message] are considered as one ENS for the creation of a control recommendation notification [IE4N05 message]. The MRN of the ENS filing [IE3F43 message] is considered the MRN of the 'Related ENS'. In ICS2 Release 1 the **Partial ENS filing headers** contain data of the ENS filing [IE3F43 message] and the filing assigning a receptacle to the HCs [IE3F44 message] involved in the declaration of the ENS.

After presentation of the goods there will be one control recommendation notification per HC presented in Related ENS.

7.2.6 Presentation Information [IE4N10 message]

This message contains the presentation information and is to be sent by the MS of Presentation to the CR. The Presentation Notification is a national message from EO to MS (UCC Annex B G3 message or any other means

of presentation accepted by the MS), and in accordance with Article 139(4) UCC, the Presentation Notification shall make reference to the ENS. Once the PN is received, the MS of Presentation shall send the presentation Information to the CR.

In ICS2 Release 1 only Postal HCs can be subject of the presentation information notification.

Content of this message



Figure 11 Content of IE4N10 message

Functional Reference. This is created by the MS of Presentation and is used as unique identifier of the given presentation information message at functional level.

Related ENS. In ICS2 Release 1 only postal HCs can be presented with a reference to an ENS stored in ICS2. Therefore only the sequence number of the HC or the Transport document (House level) can be provided in the 'Related ENS' data class. The MRN of the 'Related ENS' is mandatory.

It is possible to revoke the presentation of HCs through the Presentation revocation request (IE4Q08 message).

7.2.7 Control results [IE4S03 message]

This message contains the control decision taken and the control results in case a control was performed. It is sent by the MS of Control to the CR. In ICS2 Release 1 the MS of Control is the 'Addressed Member State' declared in the ENS filing.

There might be several control recommendations for the same ENS. The MS of Control can decide to send all the control decisions and control results in one single message or to send them in several messages.

Content of this message

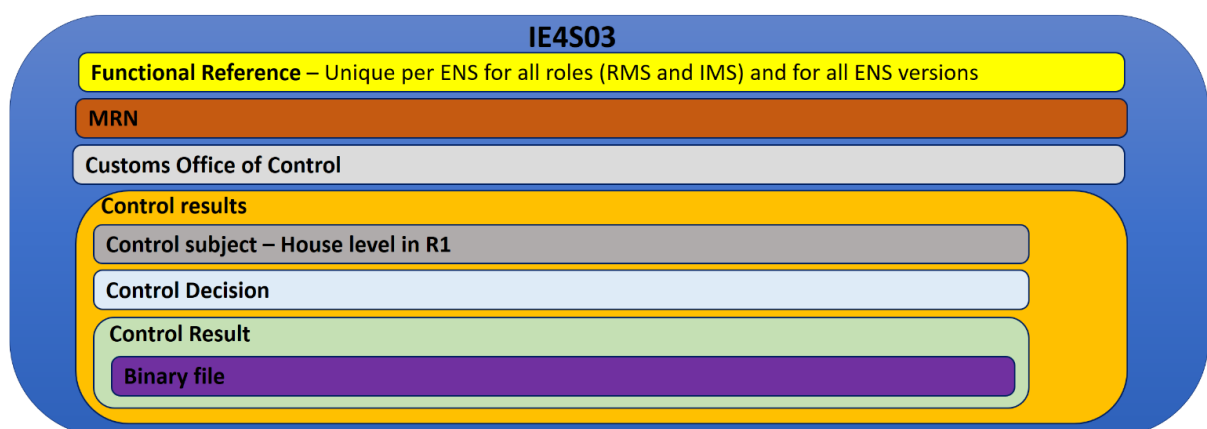


Figure 12 Content of IE4S03 message

Functional Reference. This shall be the same one the MS of Control received in the control recommendation notification [IE4N05].

Control results. In ICS2 Release 1 the control subject can refer to HCs only. The Control Decision indicates if the HC has been controlled and, in case no control was decided, the reason for the decision not to control the

control subject indicated in the control recommendation. If a control was decided, the control results describe and document the results of the control, if any. Binary files, i.e. pictures of the consignment, can be attached to the 'Control Results' message.

7.3 Correlation between messages

7.3.1 Correlation between messages during air pre-loading risk analysis

During the pre-loading risk analysis, each PLACI HC is analysed individually.

For each PLACI HC, the assigned RMS and IMS share the same 'Functional Reference', which is kept also after amendments received for an already instantiated pre-loading RA entity.

Each RMS and IMS gets assigned its own RARR, and the RMS is informed about the RARRs of all the IMS's. All RARRs change after an amendment affecting the same RA entity is received and forwarded in a new request for risk analysis/e-screening.

The results for the e-screening and e-risk analysis shall make reference to the RARR received in the related e-screening request or e-risk analysis request the results refer to.

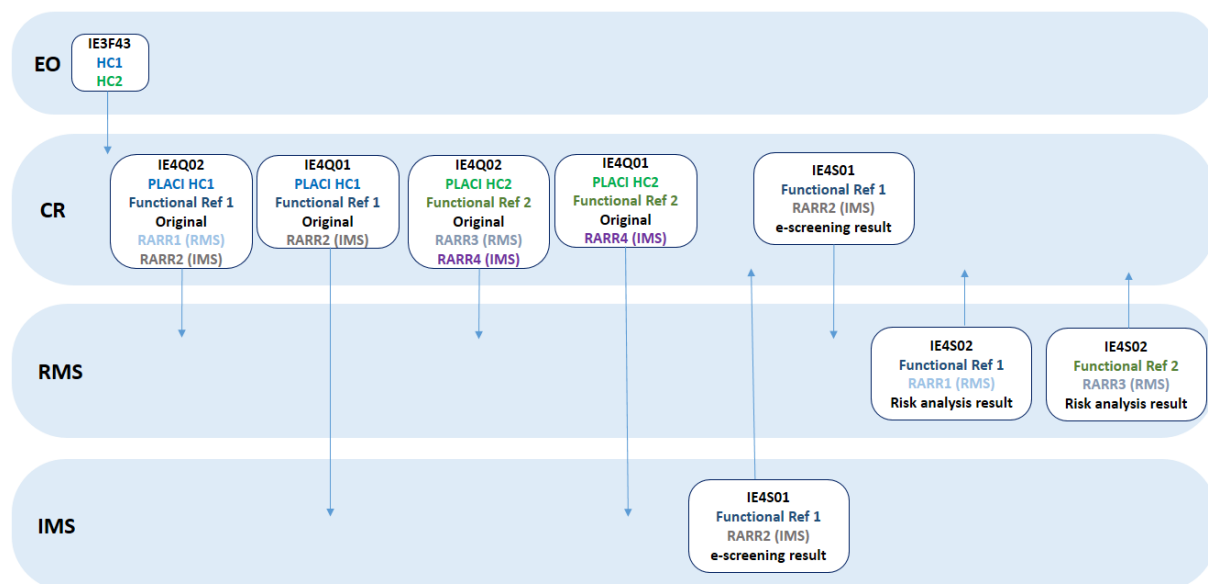


Figure 13 Correlation between messages during Pre-loading risk analysis

7.3.2 Correlation between messages during S&S risk analysis

During S&S risk analysis all the HC's declared in one single ENS filing [IE3F43 message] are considered as one Full ENS and are submitted in one single request.

The RMS and IMS share the same Functional Reference, which is kept also after amendments received for an already instantiated S&S risk analysis entity. In ICS2 R1 there is no IMS during the S&S risk analysis.

Each RMS and IMS gets assigned its own RARR, and the RMS is informed about the RARRs of all the IMS. All RARRs change after an amendment affecting the same RA entity is received and forwarded in a new request for risk analysis/e-screening.

The RMS receives all available previous risk analysis results and e-screening results, from the RMS and from the IMS. In the example below, the risk analysis results from the pre-loading RA phase, each of them with its PLACI RARR are contained in the request for e-risk analysis.

The results for the e-screening and e-risk analysis shall make reference to the RARR received in the related e-screening request or e-risk analysis request the results refer to.

If MS of Control is the RMS or the IMS, then a reduced IE4N05 with risk and control recommendations is sent to the MS of Control. Otherwise a complete Control recommendation notification [IE4N05 message] with all the PLACI and Full ENS is sent.

* If MS of control is neither RMS nor IMS

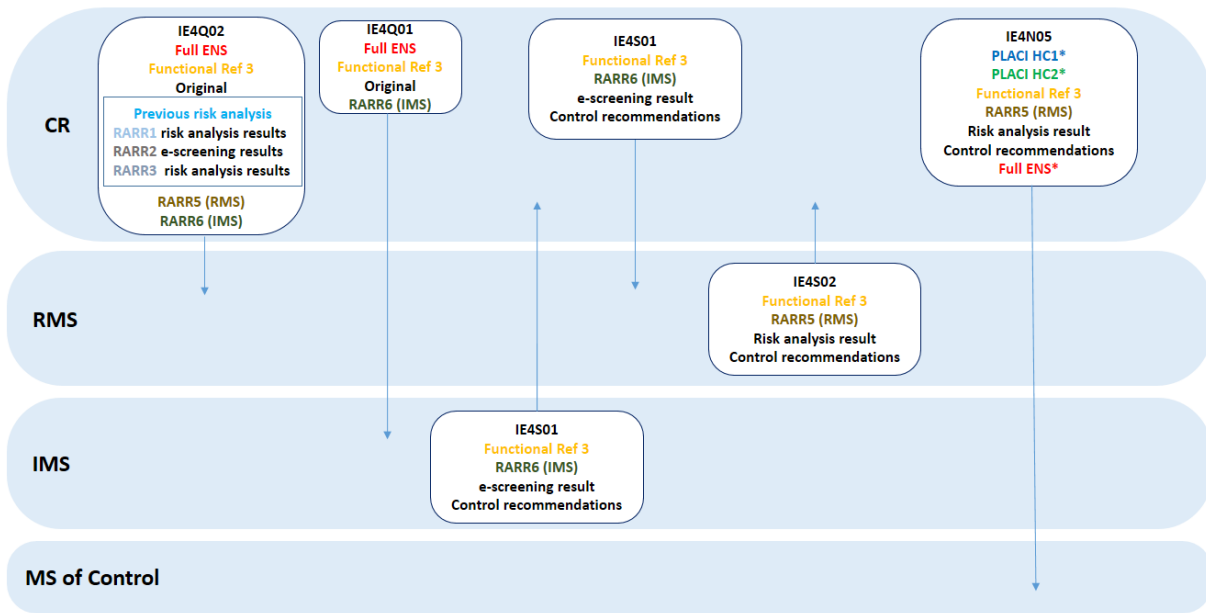


Figure 14 Correlation between messages during S&S risk analysis

7.3.3 Correlation between messages after amendment during S&S risk analysis

After an amendment, the RMS and the IMS keep the same Functional Reference from the initial request.

Each RMS and IMS gets assigned its own RARR, and the RMS is informed about the RARRs of all the IMS. All RARRs change after an amendment affecting the same RA entity is received and forwarded in a new request for risk analysis/e-screening.

The RMS receives all available previous risk analysis results and e-screening results, from the RMS and from the IMS. In the example below, the risk analysis results from the pre-loading RA phase, each of them with its PLACI RARR are contained in the request for e-risk analysis and as there were S&S risk analysis results from the previous versions, these are also provided with their own RARR.

The results for the e-screening and e-risk analysis shall make reference to the new RARR received in the related e-screening request or e-risk analysis request the results refer to.

If after the reissued risk analysis, control recommendations or risk analysis results change then a new control recommendation notification [IE4N05 message] is sent to the MS of Control.

* If MS of control is neither RMS nor IMS

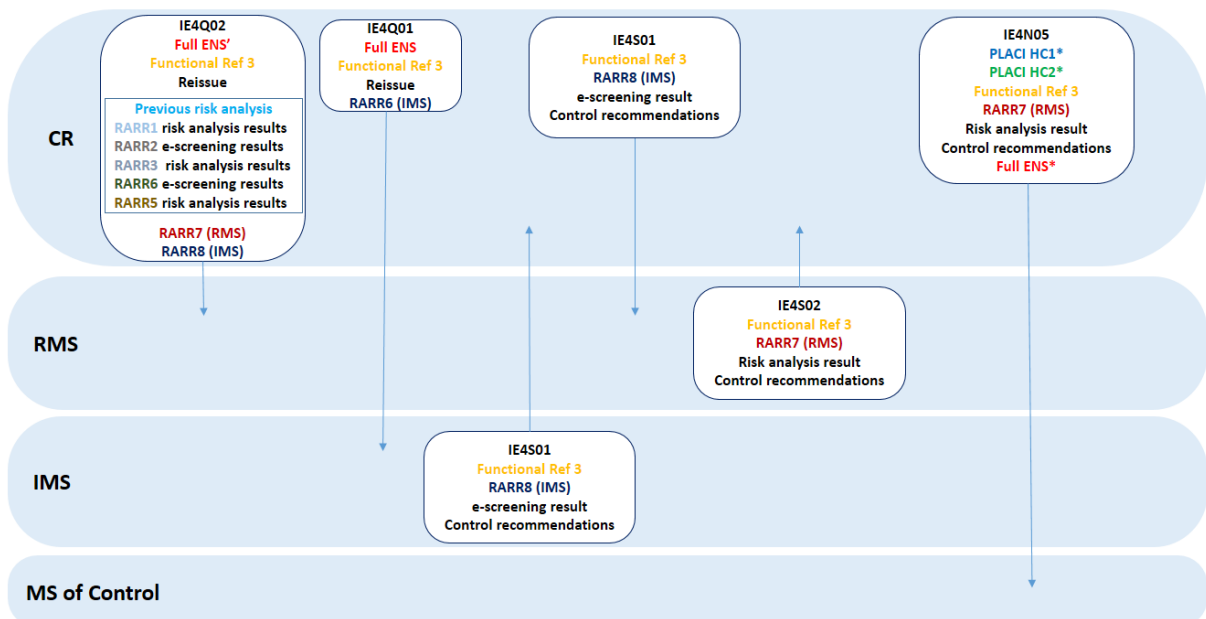


Figure 15 Correlation between messages after amendment during Pre-loading risk analysis

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