



DG TAXUD

## BPM L4 Process Description

ICS2

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1.0	07/05/2018	DG TAXUD	Change in L4-ICS2-03 sub-process, L4-ICS2-05 sub-process, L4-ICS2-02-01 sub-process, L4-ICS2-02 sub-process
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# 1 INTRODUCTION

## 1.1 Purpose

This document provides mapping of the business processes and data to the ICS2 IT components and definition of the interfaces between those components.

The aim of this document is to bring forward sufficient level of descriptions to support the understanding of processes in the context of the ICS2 IT components.

## 1.2 Scope

This document covers:

- Specifications of the ICS2 Master process with underlying sub-processes to be implemented by the components of the ICS2 system: Trader Interface (TI), Common Repository (CR), National Entry System (NES<sup>1</sup>).
- Supporting processes which will offer additional functionalities to the Member States and the Trade, such as the query for ENSs by the Member State Administrations and the consultation for specific ENS filings by the Trade.

The document does not cover:

- Specifications for the customs declarations containing ENS particulars as per Art. 130 UCC.

## 1.3 Target Audience

The intended audience for this document are the representatives of the Member States.

## 1.4 Structure of this document

The present document contains the following chapters:

- Chapter 1 – Introduction~~Introduction~~: describes the scope and the objectives of the document;
- Chapter 2 – L4 ICS2 Master process~~L4 ICS2 Master process~~: describes the ICS2 BPM L4 Master process and underlying sub-processes, their tasks, events and gateways (where applicable);
- Chapter 3 – Supporting processes~~Supporting processes~~ – describes other processes supporting the ICS2 Master process.
- Annex 1 – ENS filing types~~Annex 1 – ENS filing types~~ – provides a list of the types of the ENS filings.
- Annex 2 – Information exchange messages~~Annex 2 – Information exchange messages~~ – provides a list of the Information exchange messages.
- Annex 3 – Annex 3~~Annex 3~~ – Entities and states provides a list of the states of the entities.

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<sup>1</sup> 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/SCOE, risk analysis, arrival of means of transport, presentation of goods, control of goods.

## 1.5 Reference and applicable documents

### 1.5.1 Reference Documents

Ref.	Title	Reference	Version	Date
R02	ICS2 Information Exchange Specification		1.14	29/11/2019

Table 1: Reference documents

### 1.5.2 Applicable Documents

Ref.	Title	Reference	Version	Date
A01				

Table 2: Applicable documents

## 1.6 Abbreviations and Acronyms

For a better understanding of the present document, the following table provides a list of the principal abbreviations and acronyms used.

Abbreviation/Acronym	Definition
AEO	Authorised Economic Operator
AWB	Air Waybill
BoL	Bill of Lading
BPM	Business Process Model
CFSS	Common Functional System Specifications
COFE	Customs Office of First Entry
CR	Common Repository
CRC	Common Risk Criteria
CRMS2	Customs Risk Management System 2
D.E.	Data Element
DNL	Do Not Load
ECCG	Electronic Customs Co-ordination Group
ENI	European Vessel Identification Number
ENS	Entry Summary Declaration
EO	Economic Operator
EORI	Economic Operator Registration and Identification
e-RA	e-Risk Analysis
EU	European Union
HAWB	House Air Waybill
HBoL	House Bill of Lading
HRCM	High Risk Cargo and Mail
ICS2	Import Control System 2
IMO	International Maritime Organization
IMS	Involved Member State
MAWB	Master Air Waybill
MBoL	Master Bill of Lading



MRN	Master Reference Number
MS	Member State
NAS	National Arrival System
NES	National Entry System
NPS	National Presentation System
NVOCC	Non-Vessel Operating Common Carrier
OMS	Other Member State
PLACI	Pre-loading Air Cargo Information
RFI	Request for Information
RFS	Request for Screening
RIMSCO	
RMS	Responsible Member State
TARIC	Integrated Tariff of European Union
TI	Trader Interface
UCC	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 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
ULK	Unique Linking Key

Table 3: Abbreviations and acronyms

## 2 L4 ICS2 MASTER PROCESS

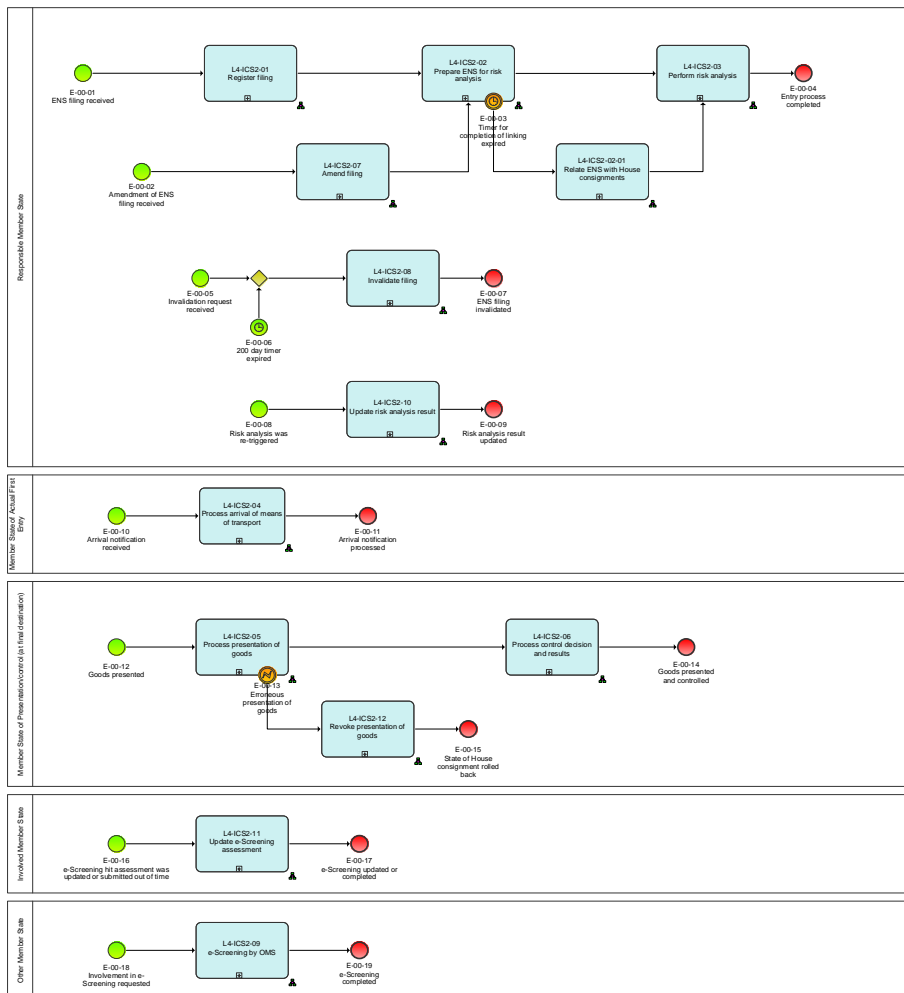


Figure 1: L4 ICS2 Master Process

## 2.1 Sub-processes

### 2.1.1 L4-ICS2-01 - Register filing

Register filing	L4-ICS2-01
Organisation: National Customs Administration of the Responsible Member State	
Input: Received ENS filing	
<p>Description:</p> <p>The ENS filing is validated in an automated process. The validation comprises semantical and syntactical checks in order to ensure workability and data consistency as well as the identification of the kind of filing.</p> <p>If the ENS filing is not valid:</p> <ol style="list-style-type: none"> <li>1) it is rejected;</li> <li>2) the person filing is notified of the rejection and of the errors that caused the rejection.</li> </ol> <p>If the ENS filing is valid:</p> <ol style="list-style-type: none"> <li>3) It is registered; an MRN is generated and allocated to the received filing.</li> <li>4) The Person filing is notified of the registration and the MRN which was allocated to the filing.</li> <li>5) When the Carrier is different from the Person filing and the Carrier can be identified from the data derived from the filing, and the Carrier has requested to be notified and is connected to the system he will also be notified.</li> </ol>	
<p>Output (Final situation):</p> <p>The filing is either registered or rejected.</p>	

2.1.1.1 Business Process Model

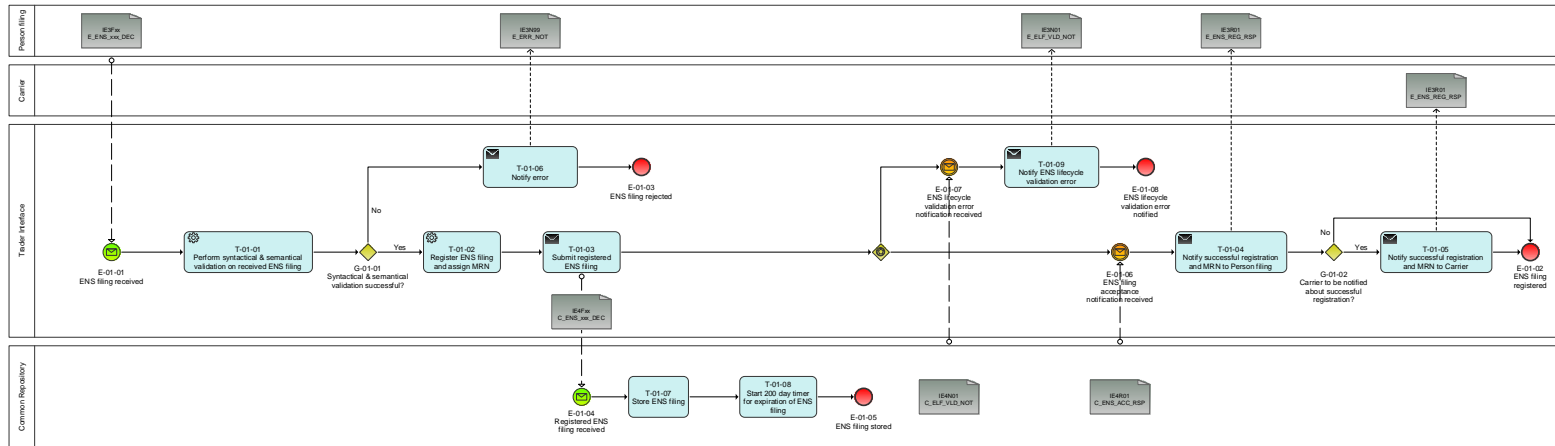


Figure 2: L4-ICS2-01 Register filing sub-process

## 2.1.1.2 Tasks

## 2.1.1.2.1 T-01-01 – Perform syntactical and semantical validation

Perform syntactical and semantical validation	T-01-01
System component: TI	
Input: ENS filing	
Description: The received ENS filing is validated in an automated process. It comprises the validation against the message rules and conditions, as well as the relevant reference data which are valid at the date of the reception. The messages rules and conditions and relevant reference data are defined in <b>[R02R02]</b> ICS2 Information Exchange Messages.	
Output (Final situation): The validation will have the following possible outcomes: <ul style="list-style-type: none"> <li>• Successful;</li> <li>• Unsuccessful, in which case <ul style="list-style-type: none"> <li>○ the error description will be generated</li> <li>○ the ENS filing will obtain the state 'Rejected'</li> </ul> </li> </ul>	

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## 2.1.1.2.2 T-01-02 – Register ENS filing and assign MRN

Register ENS filing and assign MRN	T-01-02
System component: TI	
Input: Valid ENS filing	
Description: Valid ENS filing obtains the state 'Registered'; an MRN is generated and assigned to the received ENS filing.	
Output (Final situation): The ENS filing was registered and MRN has been generated and assigned to it.	

## 2.1.1.2.3 T-01-03 – Submit registered ENS filing

Submit registered ENS filing	T-01-03
System component: TI	
Input: Registered ENS filing	
Description: The registered ENS filing is submitted from the TI to the CR for further processing via the message IE4FXX [Msg: C_ENS_xxx_DEC] (The xxx is placeholder for the number of the filing, i.e. F10).	
Output (Final situation): The ENS filing is available at the CR.	

## 2.1.1.2.4 T-01-04 – Notify successful registration and MRN to Person filing

Notify successful registration and MRN to Person filing	T-01-04
System component: TI	
Input: Registered ENS filing	
Description: The registration of the ENS filing and the MRN assigned to it are notified to the Person filing via the message IE3R01 [Msg: E_ENS_REG_RSP].	
Output (Final situation): The Person filing is notified about the registration of the ENS filing and the MRN assigned to it.	

## 2.1.1.2.5 T-01-05 – Notify successful registration and MRN to Carrier

Notify successful registration and MRN to Carrier	T-01-05
System component: TI	

Input: Registered ENS filing
Description: The registration of the ENS filing and the MRN assigned to it are notified to the Carrier via the message IE3R01 [Msg: E_ENS_REG_RSP].
Output (Final situation): The Carrier is notified about the registration of the ENS filing and the MRN assigned to it.

## 2.1.1.2.6 T-01-06 - Notify error

Notify error	T-01-06
System component: TI	
Input: ENS filing with unsuccessful validation results	
Description: The Person filing is notified about the fact that the ENS filing was rejected and about the errors that caused its rejection via the message IE3N99 [Msg: E_ERR_NOT].	
Output (Final situation): The notification of error is generated and sent to the Person filing.	

## 2.1.1.2.7 T-01-07 – Store ENS filing

Store ENS filing	T-01-07
System component: CR	
Input: Submitted ENS filing from TI	
Description: The submitted ENS filing from the TI is stored in the CR.	
Output (Final situation): The ENS filing and the MRN assigned to it are stored and available in the CR.	

## 2.1.1.2.8 T-01-08 – Start 200 day timer

Start 200 day timer	T-01-08
System component: CR	
Input: Stored ENS filing	
Description: The 200 day timer is started for the registered ENS filing. When the goods declared in the ENS filing do not arrive within 200 days the filing will be invalidated.	
Output (Final situation): 200 days countdown is started.	

## 2.1.1.2.1 T-01-09 – Notify ENS lifecycle validation error

Notify ENS lifecycle validation error	T-01-09
System component: TI	
Input: Unsuccessful validation results	
Description: An error was sent by the CR and it is communicated to the Person filing through the TI. The error notification will be sent via the message IE3N01 [Msg: E_ELF_VLD_NOT] which includes the indication(s)/explanation(s) of the error(s) which caused the failure of the validity check of the ENS filing.	
Output (Final situation): The Person filing is notified of the errors of the ENS filing.	

## 2.1.1.3 Events

## 2.1.1.3.1 E-01-01 – ENS filing received

ENS filing received	E-01-01
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System component: TI	
Description: A person lodges an ENS filing.	

## 2.1.1.3.2 E-01-02 – ENS filing registered

ENS filing registered	E-01-02
System component: TI	
Description: ENS filing is registered and, where applicable, MRN is generated.	

## 2.1.1.3.3 E-01-03 – ENS filing rejected

ENS filing rejected	E-01-03
System component: TI	
Description: ENS filing is rejected.	

## 2.1.1.3.4 E-01-04 – Registered ENS filing received

Registered ENS filing received	E-01-04
System component: CR	
Description: Registered ENS filing is received by the CR.	

## 2.1.1.3.5 E-01-05 – ENS filing stored

ENS filing stored	E-01-05
System component: CR	
Description: Registered ENS filing is stored in the CR.	

## 2.1.1.3.1 E-01-06 – ENS filing acceptance notification received

ENS filing acceptance notification received	E-01-06
System component: TI	
Description: The ENS filing acceptance notification is received by the TI.	

## 2.1.1.3.1 E-01-07 – ENS lifecycle validation error notification received

ENS lifecycle validation error notification received	E-01-07
System component: TI	
Description: The ENS lifecycle validation error is sent to the TI.	

## 2.1.1.3.1 E-01-08 – ENS lifecycle validation error notified

ENS lifecycle validation error notified	E-01-08
System component: TI	
Description: The ENS filing rejection is notified to the Person filing.	

## 2.1.1.4 Gateways

## 2.1.1.4.1 G-01-01 - Syntactical &amp; semantical validation successful?

Syntactical & semantical validation successful?	G-01-01
System component: TI	

Input: Outcome of Task: <del>T-01-01 – Perform syntactical and semantical validation</del> <b>syntactical and semantical validation</b>
Description: In case the validation was successful, the answer is 'Yes', otherwise it is 'No'.

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2.1.1.4.2 G-01-02 - Carrier to be notified about successful registration?

Carrier to be notified for successful registration?	G-01-02
System component: TI	
Input: Validated ENS filing	
Description: The carrier is to be notified when <ul style="list-style-type: none"> <li>Carrier is identifiable through the data elements of the received message;</li> <li>Carrier is different from the Person filing. The data elements Declarant <b>[R02R02: IE4R01 / Declarant]</b> or Representative <b>[R02R02: IE4R01 / Representative]</b> and Carrier <b>[R02R02: IE4R01 / Carrier]</b> in the message IE4R01 [Msg: C_ENS_ACC_RSP] will be checked;</li> <li>Carrier is connected to the TI;</li> <li>Carrier has requested to receive 'ENS registration' notification messages IE3R01 [Msg: E_ENS_REG_RSP].</li> </ul>	

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## 2.1.2 L4-ICS2-02 - Prepare ENS for risk analysis

Prepare ENS for risk analysis	L4-ICS2-02
Organisation: National Customs Administration of the Responsible Member State	
Input: Registered ENS filing	
<p>Description:</p> <p>This sub-process comprises the following actions on the registered ENS filing:</p> <ol style="list-style-type: none"> <li>1) Validation in terms of the relevant ENS lifecycle state</li> <li>2) Data quality check</li> <li>3) Management of the timers for the completion of risk analysis</li> <li>4) Extraction of the PLACI (i.e. 7+1 data elements), where applicable, and triggering of the air pre-loading risk analysis</li> <li>5) Linking of the related filings in order to compose a complete ENS</li> <li>6) Data consistency check</li> <li>7) Relation of ENS filings after expiration of linking period</li> <li>8) ENS data enrichment</li> <li>9) Triggering of the full risk analysis</li> </ol>	
<p>Output (Final situation):</p> <p>The registered ENS filing is prepared for the air pre-loading risk analysis and/or the full risk analysis.</p>	



## 2.1.2.2 Tasks

## 2.1.2.2.1 T-02-03 - Perform ENS lifecycle validation on stored ENS filing

Perform ENS lifecycle validation on stored ENS filing	T-02-03
System component: CR	
Input: Stored ENS filing	
<p>Description:</p> <p>This validation task comprises the following operations:</p> <ol style="list-style-type: none"> <li>1) The check of the validity of the state of corresponding ENS, regarding the ENS lifecycle. (E.g. whether an ENS filing refers to an ENS for which an arrival notification was filed already in the past or the goods covered by the ENS filing which were already presented to the customs and effectively this ENS filing cannot be filed for the same goods already presented.)</li> <li>2) The check of the uniqueness of specific key data elements among the relevant ENS filings throughout the database. These key data elements are data elements which are used in the linking process (e.g. the transport contract document numbers, consignment reference numbers, receptacles). Each data element applicable to this check has its own uniqueness expiration period which "starts counting" as soon as the corresponding ENS filing is stored in the CR. After that period, that particular value of that data element is allowed to be re-used in a future ENS filing.</li> <li>3) An ENS is instantiated when the processed ENS filing falls into one of the following categories: <ul style="list-style-type: none"> <li>o Full ENS filing (F10, F11, F20, F27, F28, F29, F30, F50, or F51), in this case the instantiated ENS will obtain the state "Complete"</li> <li>o Master level ENS filing (F12, F13, F21, or F42), in this case the instantiated ENS will obtain the state "Pending completeness"</li> </ul> </li> </ol> <p>If the ENS lifecycle validation is successful, the ENS filing obtains the state 'Accepted'. If the ENS lifecycle validation fails the ENS filing obtains the state 'Rejected'.</p>	
Output (Final situation): The ENS filing was either accepted or rejected.	

## 2.1.2.2.2 T-02-04 – Send ENS lifecycle validation error notification

Send ENS lifecycle validation error notification	T-02-04
System component: CR	
Input: Unsuccessful validation results	
<p>Description:</p> <p>The ENS filing is not valid and cannot be further processed. The CR sends the error notification to the TI in order to inform the Person filing via the message IE4N01 <i>Msg: C_ELF_VLD_NOT</i>.</p>	
Output (Final situation): The notification of error is sent to the TI.	

## 2.1.2.2.3 T-02-05 - Send ENS filing acceptance notification

Send ENS filing acceptance notification	T-02-05
System component: CR	
Input: Successful validation results <del>Fehler! Verweisquelle konnte nicht gefunden werden.</del> <del>Error! Reference source not found.</del>	
<p>Description:</p> <p>The acceptance of the ENS filing is sent to TI in order to trigger the notification to the Person filing via the message IE4R01 <i>Msg: C_ENS_ACC_RSP</i>.</p>	
Output (Final situation): The ENS filing acceptance is sent to the TI.	

## 2.1.2.2.4 T-02-06 - Check data quality

Check data quality	T-02-06
System component: CR	
Input: Accepted ENS filing or Amended ENS filing	
<p>Description:</p> <p>An automated data quality check will be performed. If the data quality issues are identified, the ENS filing is 'flagged'. This flag will be taken into account during the risk analysis process in Sub-process <del>L4-ICS2-03 - Perform risk analysis</del> <b>L4-ICS2-03 - Perform risk analysis</b>, gateway: <del>G-03-05 - e-risk analysis hit and/or other issues and/or flags raised?</del> <b>G-03-05 - e-risk analysis hit and/or other issues and/or flags raised?</b> Data quality issues will be brought to the attention of the risk analyst in Task: <del>T-03-08 - Assess e-risk analysis hit and/or other issues and/or flags raised.</del> <b>T-03-08 - Assess e-risk analysis hit and/or other issues and/or flags raised.</b></p>	
<p>Output (Final situation):</p> <p>Data quality check results, which will either be</p> <ul style="list-style-type: none"> <li>'ok', or</li> <li>'flagged', in the case of data quality issues, and pointer to the data element(s) with data quality issues.</li> </ul>	

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2.1.2.2.5 T-02-07 – Prepare data for risk analysis process

Prepare data for risk analysis process	T-02-07
System component: CR	
Input: Accepted ENS filing or Amended ENS filing	
<p>Description:</p> <p>The data in the relevant data fields is cleansed ('normalised') from non-permissible superfluous non-printable characters, special characters and separators. For example, the punctuation marks, symbols (such as @, &amp;, and *) are removed or transliterated prior to initiating the risk analysis process.</p> <p>The originally received content of the ENS remains unchanged in the CR.</p>	
<p>Output (Final situation):</p> <p>The data is normalised and appropriate for e-risk analysis.</p>	

2.1.2.2.6 T-02-08 – Manage timer for completion of risk analysis

Manage timer for completion of risk analysis	T-02-08
System component: CR	
Input: Accepted ENS filing or Amended ENS filing	
<p>Description:</p> <p>In case of:</p> <ul style="list-style-type: none"> <li>new ENS filing, it is determined whether a timer for the completion of full security and safety risk analysis is applicable to this ENS filing. If it is applicable, then the appropriate timer for the corresponding ENS is started. The timer's value will be communicated to the RMS in the scope of the Sub-process: <del>L4-ICS2-03 - Perform risk analysis</del> <b>L4-ICS2-03 - Perform risk analysis</b> via the message IE4Q02 [Msg: C_ERA_REQ].</li> <li>an amended ENS filing, entering the process through the Event: <del>E-07-09 - ENS filing amended</del> <b>E-07-09 - ENS filing amended</b>, if there was a timer already set for the corresponding ENS, that timer will be stopped and no new timer for this ENS will be started.</li> </ul>	
<p>Output (Final situation):</p> <ul style="list-style-type: none"> <li>Timer is started, where applicable;</li> <li>No timer is applicable;</li> <li>Timer is stopped for amended filings.</li> </ul>	

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2.1.2.2.7 T-02-09 – Enrich ENS data for air pre-loading risk analysis

Enrich ENS data for air pre-loading risk analysis	T-02-09
System component: CR	
Input: Accepted ENS filing or Amended ENS filing applicable for air pre-loading risk analysis	

<p>Description:</p> <p>The CR will identify matches of the currently processed ENS filing against specific common risk criteria using the EU level ENS data. Thus, the Member States will be provided with an additional layer of risk identification which could not otherwise be achieved by the Member States solely by using their national ENS data sources.</p> <p>In the case that the CR did identify such matches, it is going to produce a negative flag which will subsequently be taken into account by the RMS in the scope of the Sub-process: <b>L4-ICS2-03 – Perform risk analysis</b>, Gateway: <b>G-03-05 – e-risk analysis hit and/or other issues and/or flags raised?</b> and any subsequent actions deriving from it.</p> <p>There is also the case that the CR will produce and enrich the ENS data with a positive flag which could potentially lead to the RMS downgrading a risk analysis result.</p> <p>In the case that no significant information was identified by the CR, no flag will be produced.</p>
<p>Output (Final situation):</p> <p>Enrichment of ENS data result can be:</p> <ul style="list-style-type: none"> <li>• a positive flag;</li> <li>• a negative flag;</li> <li>• no flag.</li> </ul>

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2.1.2.2.8 T-02-10 – Extract relevant data for air pre-loading risk analysis for IMS(s)

Extract relevant data for air pre-loading risk analysis for IMS(s)	T-02-10
System component: CR	
Input: Accepted ENS filing or Amended ENS filing applicable for air pre-loading risk analysis	
<p>Description:</p> <p>Regardless of whether it is a full pre-loading ENS filing, or a full house level pre-loading ENS filing, or an ENS filing with minimum pre-loading dataset, only a specific subset of the data (the 7+1 data) which are required by air pre-loading risk analysis are extracted from the ENS filing for the purpose of making them available to the IMS(s).</p>	
<p>Output (Final situation):</p> <p>Relevant extracted datasets for air pre-loading risk analysis are composed.</p>	

2.1.2.2.9 T-02-11 – Determine MSs roles for air pre-loading risk analysis

Determine MSs roles for air pre-loading risk analysis	T-02-11
System component: CR	
Input: Accepted ENS filing or Amended ENS filing applicable for air pre-loading risk analysis	
<p>Description:</p> <p>For the air pre-loading risk analysis, the RMS is identified via the Customs office of first entry element <b>[R02R02: IE3Fxx / Customs office of first entry]</b> or the Addressed Member State element <b>[R02R02: IE3Fxx / Addressed Member State]</b> in the ENS filing.</p> <p>All the rest of the Member States will comprise the list of Involved Member States for this risk analysis process.</p>	
<p>Output (Final situation):</p> <p>The roles of the Member States involved in an air pre-loading risk analysis are determined.</p>	

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2.1.2.2.10 T-02-12 – Start timers for the completion of e-Screening by IMS(s) for air pre-loading risk analysis

Start timers for the completion of e-Screening by IMS(s) for air pre-loading risk analysis	T-02-12
System component: CR	
Input: Accepted ENS filing or Amended ENS filing applicable for air pre-loading risk analysis	
<p>Description:</p> <p>The value of the timers for the completion of e-Screening of an air pre-loading dataset is calculated and the</p>	

timer is started. Each IMS will have its own individual timer which indicates the time remaining to provide feedback to the RMS. The timer values are determined taking into account the overall timer for the RMS to complete the air pre-loading risk analysis and the time that is needed by the RMS to assess confirmed e-Screening hits from the IMSs.

The timer values will be communicated to the IMS(s) in the scope of the Sub-process: L4-ICS2-03 – Perform risk analysis via the message IE4Q01 [Msg: C\_ESC\_REQ].

Output (Final situation):

The timer values for all IMS are determined and timers are started.

2.1.2.2.11 T-02-13 – Link or associate related House consignments and check ENS completeness

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Link or associate related House consignments and check ENS completeness	T-02-13
System component: CR	
Input: Accepted ENS filing or Amended ENS filing	
Description:	
Depending on the state of the corresponding ENS, the process flow and the actions made through this task will differ.	
A) The normal flow, as depicted in the model, will be followed in the cases where a new ENS filing (of any type) is processed and its corresponding ENS is either not yet instantiated or is in state 'Pending completeness'. For those cases, the following actions will be done by this task:	
1) In case of a master level ENS filing (F12, F13, F21, or F42),	
a. if there are house consignments in state 'Pending linking' (lodged through F14, F15, F16, F17, F22, or F26) that correspond to this ENS, they will be linked with it and obtain the state 'Linked';	
b. if all house consignments, that are needed for this ENS to be complete, have been lodged, the ENS will obtain the state 'Complete';	
c. if there are PLACI house consignments already lodged (through F23 or F24) which correspond to this ENS, those consignments will be associated with the ENS and obtain the state 'Associated';	
d. if there are House consignments and Receptacles (lodged through F43 and F44, respectively) which correspond to this ENS, those consignments will be linked with the ENS and obtain the state 'Linked';	
e. if all Receptacles and PLACI house consignments, that are needed for this ENS to be complete, have been lodged, the ENS will obtain the state 'Complete';	
2) In case of a house level ENS filing (F14, F15, F16, F17, F22, or F26),	
a. if the corresponding ENS has already been instantiated,	
i. the house consignments contained in this filing will be linked with the ENS and obtain the state 'Linked';	
ii. it will be checked whether after the linking of these house consignments, the ENS is complete, in which case the ENS will obtain the state 'Complete'.	
b. otherwise, if the corresponding ENS has not yet been instantiated, the house consignments will not be linked with an ENS and will remain in state 'Pending linking'.	
3) In case of a postal house level ENS filing (F43 or F44),	
a. the House consignments which correspond to an ENS that is already instantiated (by matching receptacle ids in F44 and F42 ENS filings), will be linked with it and obtain the state 'Linked';	
b. the House consignments that do not yet correspond to an instantiated ENS, will not be linked and will remain in state 'Pending linking'.	
4) In case of an air pre-loading minimum dataset house level ENS filing (F23 + F25 or F24),	
a. if the corresponding ENS has already been instantiated, the corresponding PLACI house consignments will obtain the state 'Associated',	

<p>b. otherwise, the corresponding PLACI House consignments will remain in state 'Pending association'.</p> <p>5) In case of an air pre-loading minimum dataset house level ENS filing (F32),</p> <p>a. if the corresponding ENS has already been instantiated, the corresponding PLACI House consignments will obtain the state 'Associated',</p> <p>b. otherwise, the corresponding PLACI House consignments will remain in state 'Pending association'.</p> <p>B) The alternative flow, triggered in the model via the interrupting Event: E-02-07 - Risk analysis was re-triggered, will be followed in the following cases.</p> <p>1) A new house level ENS filing (F14, F15, F16, F17, F22, F26, F43, or F44) is processed and its corresponding ENS is already instantiated and is in a state other than 'Pending completeness'.</p> <p>2) An ENS filing which contains house consignments that are linked with an ENS which is in a state other than 'Pending completeness', has been amended.</p> <p>C) For the cases of re-entry and split consignment, when a new master level ENS filing is lodged and is related to an existing ENS (through the same master transport document <i>[R02R02: IE3Fxx / Consignment (Master level) / Transport document (Master level)]</i> or through the previous MRN <i>[R02R02: IE3Fxx / Split Consignment / Previous MRN]</i>),</p> <p>1) In case of a full ENS filing (F10, F11, F20, F27, F28, F29, F50, or F51),</p> <p>a. the new ENS will be associated to the corresponding existing ENS.</p> <p>2) In case of a master level ENS filing (F12, F13, F21, or F42),</p> <p>a. the ENS will be associated to the corresponding existing ENS, and</p> <p>b. it will be checked whether all house consignments that are needed in order to form a complete ENS are lodged;</p> <p>i. if yes, the ENS will obtain the state 'Complete';</p> <p>ii. if not, the ENS will remain in state 'Pending completeness'.</p>	<p>Formatiert: Schriftart: Fett, Kursiv</p> <p>Formatiert: Schriftart: Fett, Kursiv</p>
<p>Output (Final situation):</p> <p>In case of a full filing, the ENS will obtain the state 'Complete'.</p> <p>In case of a master level ENS filing,</p> <ul style="list-style-type: none"> <li>- the instantiated ENS will either remain in state 'Pending completeness' or obtain the state 'Complete';</li> <li>- 0 or more house consignments will be linked with an ENS and obtain the state 'Linked';</li> <li>- 0 or more PLACI house consignments will be associated with an ENS and obtain the state 'Associated'.</li> </ul> <p>In case of a house level ENS filing,</p> <ul style="list-style-type: none"> <li>- the contained house consignments will either remain in state 'Pending linking' or obtain the state 'Linked',</li> <li>- or the contained PLACI house consignments will either remain in state 'Pending association' or obtain the state 'Associated'.</li> <li>- if the corresponding ENS has been instantiated, it could obtain the state 'Complete' or remain in state 'Pending completeness'.</li> </ul>	

2.1.2.2.12 T-02-14 –Start linking expiration timer

Start linking expiration timer	T-02-14
System component: CR	
Input: ENS in the state 'ENS pending completeness'	
Description:	
<p>A partial master ENS filing triggers the start of the timer for linking it with the related house level ENS filings. The time allocated for the linking of all related ENS filings should allow sufficient time for the completion of the risk analysis according to the legally set deadlines. Those deadlines depend on the given ENS scenario.</p>	
Output (Final situation):	
<p>The timer for completing the ENS by linking house level ENS filings with a master level ENS filing is started.</p>	

## 2.1.2.2.13 T-02-15 - Check data consistency

Check data consistency	T-02-15
System component: CR	
Input: Complete ENS	
<p>Description:</p> <p>Data consistency of the ENS will be checked. This is done in order to ensure the appropriate ENS data consistency is provided for the risk analysis or to flag those ENSs with relevant inconsistencies. The consistency check will take into account relevant inconsistencies such as major weight and piece count discrepancies, changed actors, discrepancies in the referenced transport documents at the level of master and underlying house consignments as well as relevant differences in air pre-loading and pre-arrival ENS filings.</p> <p>This flag will be taken into account in Sub-process <del>L4-ICS2-03 – Perform risk analysis</del> <b>L4-ICS2-03 – Perform risk analysis</b>, Gateway: <del>G-03-05 – e-risk analysis hit and/or other issues and/or flags raised?</del> <b>G-03-05 – e-risk analysis hit and/or other issues and/or flags raised?</b></p>	
<p>Output (Final situation):</p> <p>Data consistency check results, which will either be</p> <ul style="list-style-type: none"> <li>• 'ok', or</li> <li>• 'flagged', in the case the result is identified inconsistency, and pointer to the ENS filings and data element(s) with the identified inconsistency.</li> </ul>	

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## 2.1.2.2.14 T-02-16 – Enrich ENS data for full risk analysis

Enrich ENS data for full risk analysis	T-02-16
System component: CR	
Input: Complete ENS or ENS consisting of a master level ENS filing and 0 or more related house level ENS filings	
<p>Description:</p> <p>The CR will identify matches of the currently processed ENS against specific common risk criteria using the EU level ENS data. Thus, the Member States will be provided with an additional layer of risk identification which could not otherwise be achieved by the Member States solely by using their national ENS data sources.</p> <p>In the case that the CR did identify such matches, it is going to produce a negative flag which will subsequently be taken into account by the RMS in the scope of the Sub-process: <del>L4-ICS2-03 – Perform risk analysis</del> <b>L4-ICS2-03 – Perform risk analysis</b>, Gateway: <del>G-03-05 – e-risk analysis hit and/or other issues and/or flags raised?</del> <b>G-03-05 – e-risk analysis hit and/or other issues and/or flags raised?</b> and any subsequent actions deriving from it.</p> <p>There is also the case that the CR will produce and enrich the ENS data with a positive flag which could potentially lead to the RMS downgrading a risk analysis result.</p> <p>In the case that no significant information was identified by the CR, no flag will be produced.</p>	
<p>Output (Final situation):</p> <p>Enrichment of ENS data result can be:</p> <ul style="list-style-type: none"> <li>• a positive flag;</li> <li>• a negative flag;</li> <li>• no flag.</li> </ul>	

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## 2.1.2.2.15 T-02-17 – Determine MSs roles for full risk analysis

Determine MSs roles for full risk analysis	T-02-17
System component: CR	
Input: Complete ENS or ENS consisting of a master level ENS filing and 0 or more related house level ENS filings	
<p>Description:</p> <p>For the full risk analysis, the RMS is identified via the Customs office of first entry element <del>[R02R02: IE3Fxx / Customs office of first entry]</del> <b>[R02R02: IE3Fxx / Customs office of first entry]</b> or the Addressed Member State element <del>[R02R02: IE3Fxx / Addressed Member</del> <b>[R02R02: IE3Fxx / Addressed Member</b></p>	

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<p><i>State</i>], and the list of IMS(s) is identified based on relevant data elements contained in the respective ENS filing(s).</p>
<p>Output (Final situation): The Member States to be involved in full risk analysis are determined.</p>

2.1.2.2.16 T-02-18 – Match ENS against stored parameters and update list of IMS(s)

Match ENS against stored parameters and update list of IMS(s)	T-02-18
System component: CR	
Input: Complete ENS or ENS consisting of a Master ENS filing and 0 or more related house level ENS filings	
<p>Description:</p> <p>The ENS that is being prepared for the risk analysis will be checked against the parameters that the MSs have stored which concern specific national knowledge on given actual cases (e.g. that a customs authority of a MS wishes to identify a specific container based on the knowledge of its unique container number which may be used for transport of illicit goods in the area of security and safety, or in the case where a MS needs to identify immediately consignments with similar/identical characteristics following the issuance of a DNL concerning a specific ENS filing).</p> <p>The system will only take into account those parameters whose validity period matches the current date.</p> <p>The system will only look for parameters that were submitted by a Member State that does not have a role of an Involved Member State or a Responsible Member State for this particular ENS.</p> <p>In case there were matches with parameters submitted by currently not involved Member States, those Member States will be added to the list of Involved Member States for the risk analysis of this ENS.</p>	
<p>Output (Final situation):</p> <p>The list of Involved Member States was updated with Member State(s) whose stored parameters matched the data of the currently processed ENS.</p>	

2.1.2.2.17 T-02-19 – Start timers for the completion of e-Screening by IMS(s) for full risk analysis

Start timers for the completion of IMSs' e-Screening for full risk analysis	T-02-19
System component: CR	
Input: Complete ENS or ENS consisting of a master level ENS filing and 0 or more related house level ENS filings	
<p>Description:</p> <p>The value of the timers for the completion of e-Screening of an ENS is calculated and the timer is started. Each IMS will have its own individual timer which indicates the time remaining to provide feedback to the RMS. The timer values are determined taking into account the overall timer for the RMS to complete the full risk analysis and the time that is needed by the RMS to assess confirmed e-Screening hits from the IMSs.</p> <p>The timer values will be communicated to the IMS(s) in the scope of the Sub-process: <a href="#">L4-ICS2-03 – Perform risk analysis</a> via the message IE4Q01 [Msg: C_ESC_REQ].</p>	
<p>Output (Final situation):</p> <p>The timer values for all IMS are determined and timers are started.</p>	

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2.1.2.2.18 T-02-20 – Match ENS against stored parameters and update list of IMS(s)

Match PLACI house consignment against stored parameters and update list of IMS(s)	T-02-18
System component: CR	
Input: PLACI house consignment data	
<p>Description:</p> <p>The PLACI house consignment that is being prepared for the air pre-loading risk analysis will be checked against the parameters that the MSs have stored which concern specific national knowledge on given actual cases (e.g. that a customs authority of a MS wishes to identify a specific consignment based on the knowledge of its consignor and consignee which may contain illicit goods in the area of security and safety, or in the case where a MS needs to identify immediately consignments with similar/identical characteristics following the issuance of a DNL concerning a specific PLACI house consignment).</p> <p>The system will only take into account those parameters whose validity period matches the current date.</p>	

The system will only look for parameters that were submitted by a Member State that does not have a role of an Involved Member State or a Responsible Member State for this particular PLACI house consignment. In case there were matches with parameters submitted by currently not involved Member States, those Member States will be added to the list of Involved Member States for the air pre-loading risk analysis of this PLACI house consignment.

Output (Final situation):  
The list of Involved Member States was updated with Member State(s) whose stored parameters matched the data of the currently processed PLACI house consignment.

2.1.2.2.19

2.1.2.3 Events

2.1.2.3.1 E-01-05 – ENS filing stored

ENS filing stored	E-01-05
System component: CR	
Description: Registered ENS filing is stored in the CR.	

2.1.2.3.2 E-02-05 – ENS lifecycle validation error notification sent

ENS lifecycle validation error notification sent	E-02-05
System component: CR	
Description: The ENS filing is rejected.	

2.1.2.3.3 E-07-08 – ENS filing amended

ENS filing amended	E-07-08
System component: CR	
Description: This event is triggered by the amendment of an ENS filing. See Event: <a href="#">E-07-09 – ENS filing amended</a> <del>E-07-09 – ENS filing amended</del> of Sub-process: <a href="#">L4-ICS2-07 – Amend filing</a> <del>L4-ICS2-07 – Amend filing</del> .	

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2.1.2.3.4 E-02-06 – PLACI House consignments ready for air pre-loading risk analysis

PLACI House consignments ready for air pre-loading risk analysis	E-02-06
System component: CR	
Description: PLACI (7+1) data is ready for air pre-loading risk analysis.	

2.1.2.3.5 E-02-07 - Risk analysis was re-triggered

Risk analysis was re-triggered	E-02-07
System component: CR	
Description: A re-run of a currently on-going or completed full risk analysis was triggered by the Task: <a href="#">T-02-13 – Link or associate related House consignments and check ENS completeness</a> <del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> . Fehler! Verweisquelle konnte nicht gefunden werden. <del>Error! Reference source not found.</del> Fehler! Verweisquelle konnte nicht gefunden werden. <del>Error! Reference source not found.</del>	

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2.1.2.3.6 E-02-08 – ENS pending completeness

ENS pending completeness	E-02-08
System component: CR	
Description:	

An ENS is not yet complete.

2.1.2.3.7 E-02-09 – House level ENS filing pending linking

House level ENS filing pending linking	E-02-09
System component: CR	
Description: A partial house level ENS filing is not yet linked to an ENS.	

2.1.2.3.8 E-02-10 - ENS ready for full risk analysis

ENS ready for full risk analysis	E-02-10
System component: CR	
Description: The ENS is ready for full risk analysis.	

2.1.2.3.9 E-02-01-05 - Decision on related House consignments was recorded

Decision on related House consignments was recorded	E-02-01-05
System component: CR	
Description: In case an ENS was processed by Task: <a href="#">T-02-01-04 – Relate ENS with House consignments</a> or Task: <a href="#">L4-ICS2-02-01 – L4 ICS2-02-01</a> , the outcome of it will trigger the continuation of the current sub-process via this event.	

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2.1.2.3.10 E-03-13 – Risk analysis completed

Risk analysis completed	E-03-13
System component: CR	
Description: The air pre-loading risk analysis is completed.	

2.1.2.4 Gateways

2.1.2.4.1 G-02-01 - ENS lifecycle validation successful?

ENS lifecycle validation successful?	G-02-01
System component: CR	
Input: Accepted ENS filing or Amended ENS filing	
Description: In case the validation was successful, the answer is 'Yes', otherwise it is 'No'.	

2.1.2.4.2 G-02-02 – Applicable to air pre-loading risk analysis?

Applicable to air pre-loading risk analysis?	G-02-02
System component: CR	
Input: Accepted ENS filing or Amended ENS filing	
Description: It is determined whether the ENS filing is subject to air pre-loading risk analysis. Only the following ENS filings are subject to air pre-loading risk analysis: F20, F23, F24, F26, F32 and F43.	

2.1.2.4.3 G-02-04 – Complete ENS?

Complete ENS?	G-02-04
System component: CR	
Input: Outcome of Task: <a href="#">T-02-13 – Link or associate related House consignments and check ENS completeness</a>	
Description:	

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It will be checked whether the state of the current ENS is 'Complete' or not.

2.1.2.4.4 G-02-05 – Master ENS filing?

Master ENS filing?	G-02-05
System component: CR	
Input: Accepted ENS filing or Amended ENS filing	
Description: The following ENS filings are (partial) master level ENS filings: F12, F13, F21, F42.	

2.1.2.4.5 G-02-06 – Is an air pre-loading risk analysis on-going?

Is an air pre-loading risk analysis ongoing?	G-02-06
System component: CR	
Input: Complete ENS or ENS consisting of a master level ENS filing and 0 or more related house level ENS filings	
Description: The CR determines whether an air pre-loading risk analysis is on-going for the ENS before it is submitted for full risk analysis. If an air pre-loading risk analysis is on-going, the CR holds the ENS until results from air pre-loading risk analysis are available. If not, the CR proceeds with initiating the full risk analysis on the ENS.	

## 2.1.3 L4-ICS2-02-01 – Relate ENS with House consignments

Relate ENS filings	L4-ICS2-02-01
Organisation: National Customs Administration of the Responsible Member State	
Input: House consignments that could not be linked automatically	
Description: The CR attempts to identify not linked House consignments that could potentially constitute an ENS using other data elements than the ULK. If such House consignments are found, they are linked to the ENS and the ENS becomes complete. If House consignments are found but a complete ENS cannot be instantiated, the Master consignment with all so far linked House consignments are made available to the risk analysis.	
Output (Final situation): The ENS is complete by relating the relevant House consignments and is ready for risk analysis. If complete ENS cannot be created, Master consignments with all so far linked House consignments are ready for risk analysis.	

2.1.3.1 Business Process Model

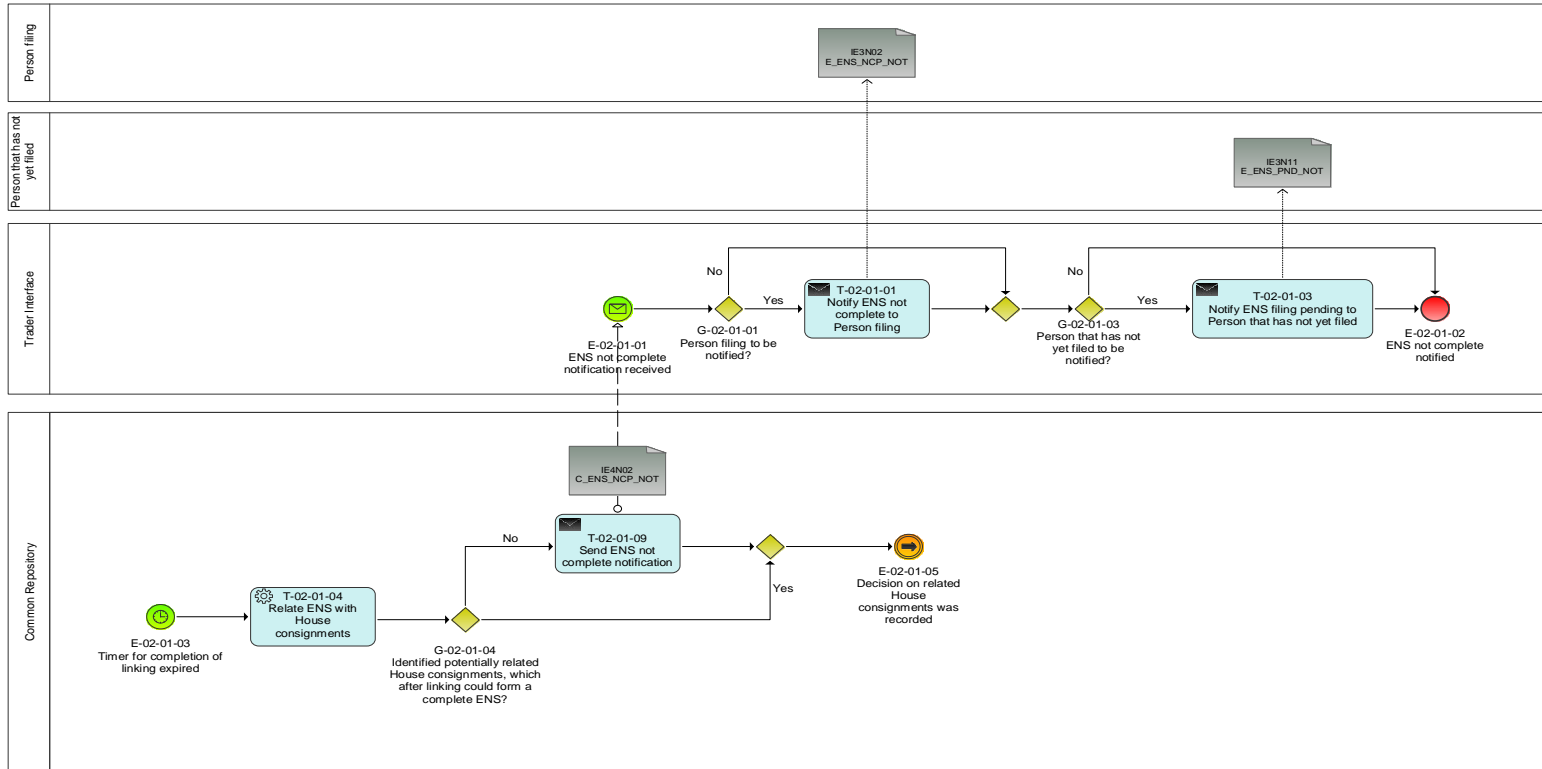


Figure 4: L4-ICS2-02-01 Relate ENS filings sub-process

## 2.1.3.2 Tasks

## 2.1.3.2.1 T-02-01-01 - Notify ENS not complete to Person filing

Notify ENS not complete to Person filing	T-02-01-01
System component: TI	
Input: ENS not complete notification received from CR	
Description: The Person filing is informed that the ENS is still not complete, via the message IE3N02 [Msg: E_ENS_NCP_NOT]. The notification will also include a list of the filers <del>[RO2RO2: IE3N02 / Supplementary declarant]</del> that this person has indicated as obliged to file and who have not filed yet.	
Output (Final situation): The Person filing is notified about the ENS still not being complete.	

Formatiert: Schriftart: Fett, Kursiv

## 2.1.3.2.2 T-02-01-03 - Notify ENS filing pending to Person that has not yet filed

Notify ENS filing pending to Person that has not yet filed	T-02-01-03
System component: TI	
Input: ENS not complete notification received from CR	
Description: The Person that has not yet filed is informed that he is obliged to file an ENS filing, via the message IE3N11 [Msg: E_ENS_PND_NOT].	
Output (Final situation): The Person that has not yet filed is notified about the ENS filing pending.	

## 2.1.3.2.3 T-02-01-04 – Relate ENS with House consignments

Relate ENS filings	T-02-01-04
System component: CR (Service Layer)	
Input: ENS for which the linking expiration timer has expired	
Description: The CR attempts to relate ENS filings by taking into account other data elements (i.e. container numbers, shipping marks etc.) than the ones composing a ULK (linking of ENS filings using the ULK is defined in Task: <del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> <del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> <del>Fehler! Verweisquelle konnte nicht gefunden werden.</del> <del>Error! Reference source not found.</del> ).	
It will be checked whether with the linking of the potentially related ENS filings that were identified through this task the ENS will become complete. If that is the case, this ENS will obtain the state 'Complete', and the ENS will proceed with risk analysis.	
In case the identified ENS master level filing and so far linked house level filings do not form a complete ENS, this partial ENS will obtain the state 'Considered complete', and the ENS will proceed with risk analysis only with the currently linked ENS filings.	
Output (Final situation): Master level ENS filing and so far linked house level filings that do not form a complete ENS, or Related ENS.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.3.2.4 T-02-01-09 - Send ENS not complete notification

Send ENS not complete notification	T-02-01-09
System component: CR (Service Layer)	
Input: ENS in the state 'Considered complete'	
Description: The ENS is still not complete after no related ENS filings that could form a complete ENS were found.	

The CR sends the notification to the TI in order to inform the Person filing via the message IE4N02 [Msg: C_ENS_NCP_NOT].
Output (Final situation): The ENS not complete notification is sent to the TI.

### 2.1.3.3 Events

#### 2.1.3.3.1 E-02-01-01 – ENS not complete notification received

ENS not complete notification received	E-02-01-01
System component: TI	
Description: The notification from the CR that ENS is not complete is received by the TI.	

#### 2.1.3.3.2 E-02-01-02 – ENS not complete notified

ENS not complete notified	E-02-01-02
System component: TI	
Description: The notification from the CR that ENS is not complete was sent to the Person filing and where relevant to the Carrier and the Person that has not yet filed by the TI.	

#### 2.1.3.3.3 E-02-01-03 – Timer for completion of linking expired

Timer for completion of linking expired	E-02-01-03
System component: CR (Service Layer)	
Description: The timer for all required partial house level ENS filings to be linked to the ENS has expired.	

#### 2.1.3.3.4 E-02-01-05 – Decision on related House consignments was recorded

Decision on related House consignments was recorded	E-02-01-05
System component: CR (Service Layer)	
Description: The decision on related ENS filings was taken and recorded in the CR. The process continues in Sub-process: <del>L4-ICS2-02 - Prepare ENS for risk analysis</del> L4-ICS2-02 - Prepare ENS for risk analysis, Event: <del>E-02-01-05 - Decision on related House consignments was recorded</del> E-02-01-05 - Decision on related House consignments was recorded.	

Formatiert: Schriftart: +Textkörper (Calibri), Englisch (Vereinigtes Königreich)

Formatiert: Schriftart: +Textkörper (Calibri)

### 2.1.3.4 Gateways

#### 2.1.3.4.1 G-02-01-01 – Person filing to be notified?

Person filing to be notified?	G-02-01-01
System component: TI	
Input: ENS not complete notification received from CR	
Description: The person filing is to be notified when <ul style="list-style-type: none"> <li>One or more of the parties that this person has indicated [<del>R02R02: IE3Fxx / Consignment (Master level)</del> (or Consignment (Master level) / Consignment (House level)) / Supplementary declarant] as obliged to lodge ENS filings, have not yet filed;</li> <li>Person filing has requested to receive 'ENS not complete' notification messages IE3N02 [Msg: E_ENS_NCP_NOT].</li> </ul>	

Formatiert: Schriftart: Fett, Kursiv

#### 2.1.3.4.2 G-02-01-03 – Person that has not yet filed to be notified?

Person that has not yet filed to be notified?	G-02-01-03
System component: TI	
Input: ENS not complete notification received from CR	



Description:  
 The Person that has not yet filed is to be notified when

- This person was indicated in an ENS filing (master or house level) as person that has an obligation to file a lower level ENS filing;
- Person is connected to the TI.

2.1.3.4.3 G-02-01-04 - Identified potentially related House consignments, which after linking could form a complete ENS?

Identified potentially related House consignments, which after linking could form a complete ENS?	G-02-01-04
System component: CR (Service Layer)	
Input: Outcome of Task: <del>T-02-01-04 - Relate ENS</del> <del>T-02-01-04 - Relate ENS</del>	
Description: If potentially related ENS House consignments are found, the answer is 'Yes', otherwise it is 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.4 L4-ICS2-03 – Perform risk analysis

Perform risk analysis	L4-ICS-03
Organisation: National Customs Administration of the Responsible Member State	
Input: ENS or ENS filing ready for risk analysis	
<p>Description:</p> <p>The risk analysis sub-process is performed on an ENS filing or an ENS that has been prepared through the Sub-process <del>L4-ICS2-02 - Prepare ENS for risk analysis</del> and is now ready for risk analysis.</p> <p>The risk analysis performed on an ENS comprises the full security and safety risk analysis tasks, whereas the risk analysis performed on an ENS filing only comprises the air pre-loading security risk analysis.</p> <p>The Member States to be involved are identified and the registered ENS filing or ENS is made available to all the relevant Member States for e-Screening. Additional Involved Member State(s) may be identified for the full risk analysis process in case they had submitted specific parameters which matched the currently processed ENS (Other Member State to become the IMS).</p> <p>The Responsible Member State, as part of its overall electronic risk analysis process takes into account the final results of the e-Screening process performed by the IMSS. Results of the e-screening from involved Member States are collected, allocated and made available to the Responsible Member State before that Member State completes the risk analysis process.</p> <p>Where necessary the RMS applies during the risk analysis process appropriate risk mitigation measures as per sub-process 0 L4-ICS2-03-01 – Send referral.</p> <p>The RMS assigns a risk analysis result code which depends on the identified level of risk which will influence the decision on whether the goods will be subject to prohibition to be loaded on the means of transport (DNL) or subject to controls. If controls are deemed necessary, the nature of security and safety risk analysis also influences a decision on where the controls should take place (COFE or at a later stage like subsequent customs office of entry (first unloading location) or place where goods are presented subsequent to the place of first unloading, or customs office of destination).</p>	
<p>Output (Final situation):</p> <p>Risk analysis was performed and measures to be taken were decided.</p>	

Formatiert: Bold, Schriftart: +Textkörper (Calibri), Englisch (Vereinigtes Königreich)

### 2.1.4.1 Business Process Model

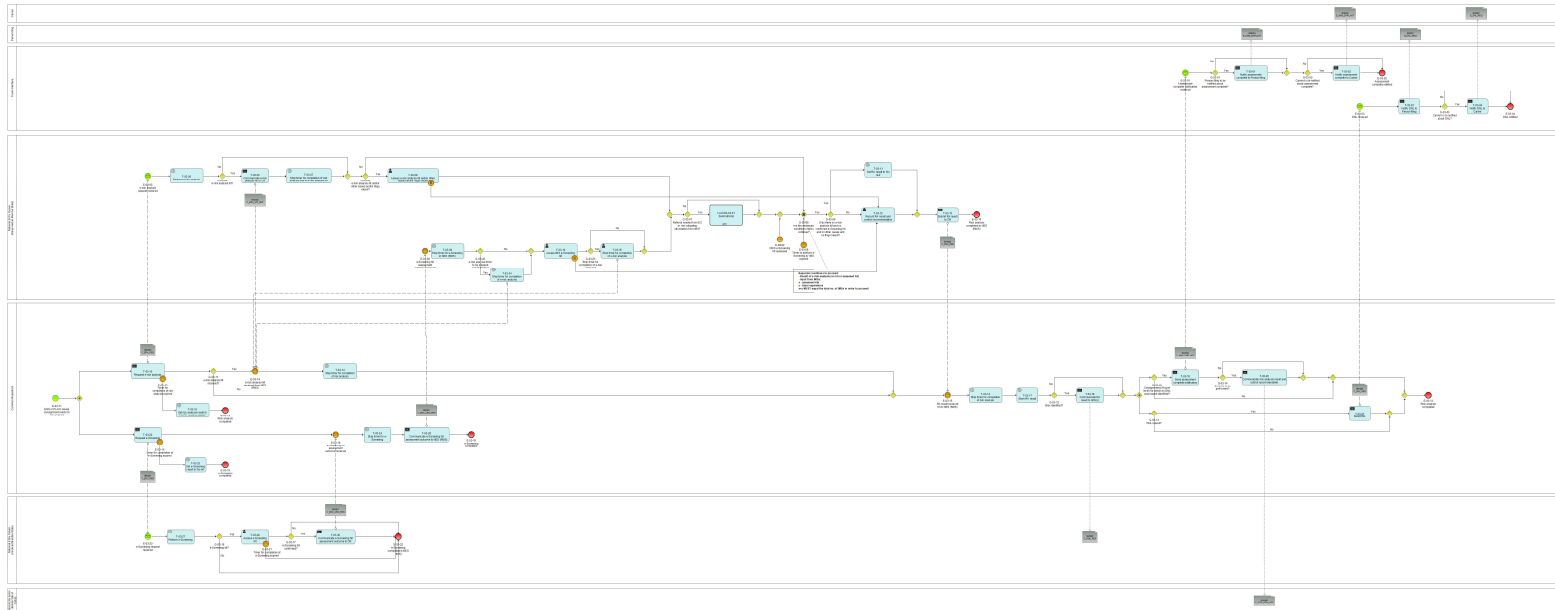


Figure 5: L4-ICS2-03 Perform risk analysis sub-process

## 2.1.4.2 Tasks

## 2.1.4.2.1 T-03-01 - Notify assessment complete to Person filing

Notify assessment complete to Person filing	T-03-01
System component: TI	
Input: Assessment complete notification received from CR	
Description: The notification of the completed assessment is sent from the TI to the Person filing via the message IE3N03 [Msg: E_ASM_CMP_NOT].	
Output (Final situation): The assessment complete notification is sent to the Person filing.	

## 2.1.4.2.2 T-03-02 - Notify assessment complete to Carrier

Notify assessment complete Carrier	T-03-02
System component: TI	
Input: Assessment complete notification received from CR	
Description: The notification of the completed assessment is sent from the TI to the Carrier via the message IE3N03 [Msg: E_ASM_CMP_NOT].	
Output (Final situation): The assessment complete notification is sent to the carrier.	

## 2.1.4.2.3 T-03-03 - Notify DNL to Person filing

Notify DNL to Person filing	T-03-03
System component: TI	
Input: Received DNL C_DNL_REQ	
Description: The DNL notification is sent from the TI to the Person filing via the message IE3Q01 [Msg: E_DNL_REQ].	
Output (Final situation): The DNL is sent to the Person filing.	

## 2.1.4.2.4 T-03-04 - Notify DNL to Carrier

Notify DNL to Carrier	T-03-04
System component: TI	
Input: Received DNL C_DNL_REQ	
Description: The DNL notification is sent from the TI to the Carrier via the message IE3Q01 [Msg: E_DNL_REQ].	
Output (Final situation): The DNL is sent to the Carrier.	

## 2.1.4.2.5 T-03-05 - Perform e-risk analysis

Perform e-risk analysis	T-03-05
System component: NES (RMS)	
Input: ENS or ENS filing	
Description: Received ENS or PLACI House consignment is electronically analysed against CRC category 1, CRC category 2 and any potential additional national security and safety related risk profiles not falling in the scope of the CRCs. Electronic risk analysis (e-risk analysis) either results in an automated 'match / hit' of a given CRC / national risk profile or not.	

Output (Final situation):  
e-risk analysis hit or no hit.

2.1.4.2.6 T-03-06 – Communicate e-risk analysis hit to CR

Communicate e-risk analysis hit to CR	T-03-06
System component: NES (RMS)	
Input: Outcome of Task: <del>T-03-05 - Perform e-risk analysis</del> <del>T-03-05 - Perform e-risk analysis</del>	
Description: The hit from e-risk analysis is communicated by the NES (RMS) to the CR via the message IE4N03 [Msg: C_ERA_HIT_NOT].	
Output (Final situation): The e-risk analysis hit information from RMS is available in the CR.	

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2.1.4.2.7 T-03-07 - Stop timer for completion of risk analysis due to e-risk analysis hit

Stop timer for completion of risk analysis due to e-risk analysis hit	T-03-07
System component: NES (RMS)	
Input: Outcome of Task: <del>T-03-05 - Perform e-risk analysis</del> <del>T-03-05 - Perform e-risk analysis</del>	
Description: The time limit for completion of the risk analysis for the ENS concerned are suspended at the RMS, since a risk was identified and additional risk analysis needs to be carried out (i.e. review of the e-risk analysis hit, and additionally a possible data quality or data inconsistency issue, or an ENS data enrichment flag, by the risk analysis official – human review and risk mitigation).	
Output (Final situation): The timer for completion of risk analysis is stopped.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.4.2.8 T-03-08 - Assess e-risk analysis hit and/or other issues and/or flags raised

Assess e-risk analysis hit and/or other issues and/or flags raised	T-03-08
System component: NES (RMS)	
Input: e-risk analysis hit and/or data quality and/or consistency issue and/or ENS data enrichment flag	
Description: Result of the e-risk analysis (i.e. match/hit of CRCs / potential national profiles) and/or data quality and/or data inconsistency issue and/or ENS data enrichment flag is presented to the risk analyst. Risk analyst performs additional analysis on the presented information and decides on risk mitigation measures. The outcome of the risk assessment performed by the risk analyst can be a decision either to: <ul style="list-style-type: none"> <li>• Request for additional information (Rfi) from the Person filing concerned, and/or</li> <li>• Request for HRCM screening (Rfs) (air pre-loading only), and/or</li> <li>• Request for further information from the Involved Member State(s) that may hold necessary additional risk mitigation information, or</li> <li>• Finalize the risk analysis and proceed directly to Task: <del>T-03-12 - Record RA result and control recommendation</del> <del>T-03-12 - Record RA result and control recommendation</del></li> </ul>	
Output (Final situation): The assessment of the e-risk analysis result and/or data quality and/or data consistency issue and/or ENS data enrichment flag was completed and any necessary risk mitigation actions were decided.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.4.2.9 T-03-09 - Stop timer for e-Screening in NES (RMS)

Stop timer for e-Screening in NES (RMS)	T-03-09
System component: CR and NES (RMS)	
Input: E-screening hit from IMS	
Description: The timer for e-Screening on the PLACI House consignment or ENS concerned is suspended for the IMS that	

communicated an e-Screening hit.
Output (Final situation): The timer for e-Screening is stopped for the given IMS.
2.1.4.2.10 T-03-10 - Assess IMS e-Screening hit

Assess IMS e-Screening hit	T-03-10
System component: NES (RMS)	
Input: Confirmed e-Screening hit communicated by an Involved Member State	
Description: A confirmed e-Screening hit was communicated by the IMS and is now assessed by the risk analyst of the RMS. The outcome of this assessment performed by the risk analyst can be a decision either to: <ul style="list-style-type: none"> <li>Request for additional information (Rfi) from the Person filing concerned, and/or</li> <li>Request for HRCM-screening (Rfs) (air pre-loading only), and/or</li> <li>Request for further information from the Involved Member State(s) that may hold necessary additional risk mitigation information, or</li> <li>Finalize the risk analysis and proceed directly to Task: <u>T-03-12 - Record RA result and control recommendation</u><del>T-03-12 - Record RA result and control recommendation</del></li> </ul>	
Output (Final situation): The assessment of a confirmed e-Screening hit that was communicated by an Involved Member State was completed and any necessary risk mitigation actions were decided.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.4.2.11 T-03-11 - Set RA result to 'No risk'	
Set RA result to 'No risk'	T-03-11
System component: NES (RMS)	
Input: No e-risk analysis hit, no e-Screening hit, no data quality flag, no data consistency flag, no ENS data enrichment negative flag.	
Description: The risk analysis result is automatically set to 'No risk' when there was no e-risk analysis hit, no e-Screening hit, no data quality flag, no data consistency flag and no ENS data enrichment negative flag in the scope of an air pre-loading risk analysis or full risk analysis on an PLACI House consignment or ENS, respectively.	
Output (Final situation): The risk analysis result is set to 'No risk'.	

## 2.1.4.2.12 T-03-12 - Record RA result and control recommendation

Record RA result and control recommendation	T-03-12
System component: NES (RMS)	
Input: Outcomes of Tasks: <u>T-03-08 - Assess e-risk analysis hit and/or other issues and/or flags raised</u> <del>T-03-08 - Assess e-risk analysis hit and/or other issues and/or flags raised</del> , <u>T-03-10 - Assess IMS e-Screening hit</u> <del>T-03-10 - Assess IMS e-Screening hit</del>	
Description: Result of the e-risk analysis process (through manual risk assessment, and supported where necessary by additional information provided by the EO and/or Involved Member State(s)) and/or of the e-Screening process(es) completed and communicated by the Involved Member State is transformed into the final risk analysis result by the risk analyst. The risk analyst will record the risk analysis result and control recommendation based on the level and the nature of the risk identified. Choice of recommended place of control should be limited to the MS(s) identified in an ENS concerned. <ul style="list-style-type: none"> <li>Recommendation on place of control is set to (applicable to full risk analysis cases only): <ul style="list-style-type: none"> <li>Customs Office of First Entry, or</li> <li>First unloading place (it can be either COFE or SOFE), or</li> </ul> </li> </ul>	

Formatiert: Schriftart: +Textkörper (Calibri)

Formatiert: Schriftart: +Textkörper (Calibri)

<ul style="list-style-type: none"> <li>o where identifiable and most appropriate, at the place where goods are presented subsequent to the place of first unloading in maritime and air.</li> </ul> <p>The exact structure of the risk analysis result and control recommendation is defined in the message IE4S02 [Msg: C_RSK_RES], which will be generated later based on the input of the risk analyst acquired through this task and sent to the CR.</p>
<p>Output (Final situation):</p> <p>The risk analysis result and control recommendation is recorded.</p>

2.1.4.2.13 T-03-13 – Submit RA result to CR

Submit RA result to CR	T-03-13
System component: NES (RMS)	
<p>Input:</p> <p>The set risk analysis result and control recommendation (if applicable) recorded at Task: <del>T-03-11 - Set RA result to 'No risk'</del> or <del>T-03-12 - Record RA result and control recommendation</del>.</p>	
<p>Description:</p> <p>The set risk analysis result and control recommendation is submitted to the CR via the message IE4S02 [Msg: C_RSK_RES].</p>	
<p>Output (Final situation):</p> <p>The set risk analysis result is available in the CR.</p>	

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2.1.4.2.14 T-03-14 - Stop timer for completion of risk analysis

Stop timer for completion of risk analysis	T-03-14
System component: CR	
<p>Input: Outcome of Task: <del>T-03-05 - Perform e-risk analysis</del></p>	
<p>Description:</p> <p>The time-limits for completion of the risk analysis for the ENS concerned are suspended at the RMS, since a risk was identified and additional risk analysis needs to be carried out (i.e. review of the e-risk analysis hit, and additionally a possible data quality or data inconsistency issue, or an ENS data enrichment flag, by the risk analysis official – human review and risk mitigation). CR also stops the timer.</p> <p>The state of the air pre-loading or the state of the full risk analysis will change to 'Timer stopped'.</p>	
<p>Output (Final situation):</p> <p>The timer for completion of risk analysis is stopped.</p>	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.4.2.15 T-03-15 - Request e-risk analysis

Request e-risk analysis	T-03-15
System component: CR	
Input: ENS or PLACI House consignment	
<p>Description:</p> <p>Before sending the request to a Member State, certain alphabetical letters, which could be found in the ENS data, will be transliterated into the desired alphabet, according to the preferences of each Member State.</p> <p>A request for e-risk analysis is communicated to the Responsible Member State via the message IE4Q02 [Msg: C_ERA_REQ].</p> <p>The state of the air pre-loading risk analysis or the state of the full risk analysis will change to 'Initiated'.</p> <p>This request will contain among others:</p> <ul style="list-style-type: none"> <li>- the ENS or PLACI House consignment (or references of them) that is subject to risk analysis</li> <li>- any raised (negative) flags from the data check, data consistency and data enrichment tasks (performed in Sub-process: <del>L4-ICS2-02 - Prepare ENS for risk analysis</del>)</li> <li>- list of Involved Member States and their time limits for the completion of their e-Screening tasks</li> <li>- timer for the overall completion of the risk analysis</li> </ul>	

Formatiert: Schriftart: +Textkörper (Calibri), Englisch (Vereinigtes Königreich)

Output (Final situation):  
Request for e-risk analysis is communicated to the Responsible Member State.

## 2.1.4.2.16 T-03-16 - Set risk analysis result to 'No RA result available'

Set risk analysis result to 'No RA result available'	T-03-16
System component: CR	
Input: The timer for the completion of the risk analysis has expired and there is no risk analysis result submitted by the NES (RMS).	
Description: After expiration of the timer the CR sets the risk analysis result for the pre-loading risk analysis or full risk analysis to 'Risk analysis not completed by RMS'. The state of the air pre-loading risk analysis or the state of the full risk analysis will change to 'Completed'.	
Output (Final situation): The CR stores information that no risk analysis results are available.	

## 2.1.4.2.17 T-03-17 – Store RA result

Store RA result	T-03-17
System component: CR	
Input: Received risk analysis results	
Description: The results from the received message are stored in the CR. The state of the air pre-loading or full risk analysis will change to 'Completed'.	
Output (Final situation): The risk analysis results were stored in the CR and the states of the corresponding entities were changed accordingly.	

## 2.1.4.2.18 T-03-18 – Communicate risk analysis result to IMS(s)

Communicate risk analysis result to IMS(s)	T-03-18
System component: CR	
Input: Available risk analysis results	
Description: In case there was an e-Screening hit at the IMS(s) on the ENS or ENS filing, the risk analysis result is communicated to concerned IMS(s) via the message IE4S02 [Msg: C_RSK_RES]. In case risk analysis result contains DNL information, the risk analysis result is communicated to all IMS(s) via the message IE4S02 [Msg: C_RSK_RES].	
Output (Final situation): The risk results are communicated to concerned IMS(s).	

## 2.1.4.2.19 T-03-19 - Send assessment complete notification

Send assessment complete notification	T-03-19
System component: CR	
Input: Available risk analysis results	
Description: The purpose of this notification is solely to inform the Person(s) filing and the Carrier that the customs did not identify the risk of a nature for which an immediate intervention would be required prior to loading of goods on a means of transport (i.e. DNL). Hence, this notification will be sent when a risk analysis process is complete and its result does not contain DNL information. Where the DNL information in the risk analysis result does not cover all goods or house consignments of a	



given ENS filing, a 'Do not load request' (as described in T-03-21) containing the details of the parts that are not to be loaded and an 'Assessment complete notification' for the remaining parts are sent.  
The notification of the completed assessment is triggered by sending the message IE4N04 [Msg: C\_ASM\_CMP\_NOT] from the CR to TI.

Output (Final situation):

The assessment complete notification is sent to the TI.

#### 2.1.4.2.20 T-03-20 – Communicate risk analysis result and control recommendation

Communicate risk analysis result and control recommendation	T-03-20
System component: CR	
Input: Available risk analysis results and control recommendations	
Description: The risk analysis results together with control recommendation are sent to the intended Member State of Control (which can also be the RMS) via the message IE4N05 [Msg: C_CON_RCM_NOT].	
Output (Final situation): The risk analysis results and control recommendations are available at the intended Member State of Control.	

#### 2.1.4.2.21 T-03-21 - Send DNL

Send DNL	T-03-21
System component: CR	
Input: Available risk analysis results	
Description: The notification of the 'Do Not Load' is triggered by sending the message IE4Q03 [Msg: C_DNL_REQ] from the CR to the TI. Where the DNL information in the risk analysis result does not cover all goods or house consignments of a given ENS filing, a 'Do not load request' containing the details of the parts that are not to be loaded and an 'Assessment complete notification' (as described in T-03-19) are sent.	
Output (Final situation): The DNL is sent to the TI.	

#### 2.1.4.2.22 T-03-22 - Request e-Screening

Request e-Screening	T-03-22
System component: CR	
Input: ENS or PLACI House consignment	
Description: Before sending the request to a Member State, certain alphabetical letters, which could be found in the ENS data, will be transliterated into the desired alphabet, according to the preferences of each Member State. A request for e-Screening is communicated to the Involved Member State(s) via the message IE4Q01 [Msg: C_ESC_REQ].	
Output (Final situation): Request for e-Screening is communicated to the Involved Member States.	

#### 2.1.4.2.23 T-03-23 - Set e-Screening result to 'No hit'

Set e-Screening result	T-03-23
System component: CR	
Input: The timer for the completion of e-Screening for an IMS has expired.	
Description: After expiration of the timer the CR sets the e-Screening result for the air pre-loading risk analysis or the result for the full risk analysis of the given IMS to 'No hit'. This will happen in the case the CR did not receive a notification about an e-Screening hit from the IMS.	
Output (Final situation):	

The CR stores information that no e-Screening results are available from the given IMS.

2.1.4.2.24 T-03-24 - Stop timer for e-Screening

Stop timer for e-Screening	T-03-24
System component: CR and NES (RMS)	
Input: E-screening hit from IMS	
Description: The timer for e-Screening on the PLACI House consignment or ENS concerned is suspended for the IMS that communicated an e-Screening hit.	
Output (Final situation): The timer for e-Screening is stopped for the given IMS.	

2.1.4.2.25 T-03-26 – Communicate e-Screening hit assessment outcome to NES (RMS)

Communicate e-Screening hit assessment outcome to NES (RMS)	T-03-26
System component: CR	
Input: E-Screening hit assessment of the IMS (Task: <del>T-03-28 - Assess e-Screening hit</del> T-03-28 – Assess e-Screening hit)	
Description: The assessment outcome from the e-Screening hit (true positive) of an IMS is communicated by CR to the NES (RMS) via the message IE4S01 [Msg: C_ESC_ASM_RES].	
Output (Final situation): The e-Screening hit assessment outcome of the IMS is made available to the RMS.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.4.2.26 T-03-27 - Perform e-Screening

Perform e-Screening	T-03-27
System component: NES (IMS)	
Input: e-Screening request	
Description: Received PLACI House consignment or ENS is electronically screened against CRC category 2 and any potential additional national security and safety related risk profiles not falling in the scope of the CRC category 2.	
Output (Final situation): e-Screening can result in a hit or no hit.	

2.1.4.2.27 T-03-28 - Assess e-Screening hit

Assess e-Screening hit	T-03-28
System component: NES (IMS)	
Input: e-Screening hit	
Description: Result of the e-Screening (i.e. match/hit of CRC category 2 / potential relevant national profiles and information applicable either for air cargo specific risks, or those applicable for customs security and safety risks) is presented to the risk analyst. Customs risk analyst completes the e-Screening process through manual review and risk mitigation of the presented electronic result. The e-Screening assessment result is either 'true positive' or 'false positive'.	
Output (Final situation): e-Screening result can be 'true positive' or 'false positive'.	

2.1.4.2.28 T-03-30 – Communicate e-Screening hit assessment outcome to CR

Communicate e-Screening hit assessment outcome to CR	T-03-30
System component: NES (IMS)	

Input: Outcome of Task: <del>T-03-28 - Assess e-Screening hit</del> T-03-28 - Assess e-Screening hit
Description: The e-Screening hit is confirmed (true positive) by an IMS and is communicated by NES (IMS) to the CR via the message IE4S01 [Msg: C_ESC_ASM_RES].
Output (Final situation): The e-Screening hit assessment outcome of the IMS is made available to the CR.

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.4.2.29 T-03-34 – Stop timer for completion of e-risk analysis

Stop timer for completion of e-risk analysis	T-03-34
System component: NES (RMS)	
Input: Outcome of Task: <del>T-03-09 - Stop timer for e-Screening in NES (RMS)</del> T-03-09 - Stop timer for e-Screening in NES (RMS)	
Description: The timer for the e-risk analysis at the RMS is automatically stopped at the NES (RMS). The stopping of the e-risk analysis timer is communicated by the NES (RMS) to the CR via the message IE4N03 [Msg: C_ERA_HIT_NOT].	
Output (Final situation): The e-risk analysis timer is stopped in the CR.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.4.2.30 T-03-35 – Stop timer for completion of e-risk analysis

Stop timer for completion of e-risk analysis	T-03-35
System component: NES (RMS)	
Input: Outcome of Task: <del>T-03-10 - Assess IMS e-Screening hit</del> T-03-10 - Assess IMS e-Screening hit	
Description: After the assessment of the received e-Screening hit by the Risk analyst at the RMS, the Risk analyst takes a decision to stop the e-risk analysis timer at the NES (RMS). The stopping of the e-risk analysis timer is communicated by the NES (RMS) to the CR via the message IE4N03 [Msg: C_ERA_HIT_NOT].	
Output (Final situation): The e-risk analysis timer is stopped in the CR.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.4.3 Events

## 2.1.4.3.1 E-03-01 – Assessment complete notification received

Assessment complete notification received	E-03-01
System component: TI	
Description: An assessment complete notification from the CR is received by the TI in form of the message IE4N04 [Msg: C_ASM_CMP_NOT].	

## 2.1.4.3.2 E-03-02 – Assessment complete notified

Assessment complete notified	E-03-02
System component: TI	
Description: The assessment complete was notified to the Person filing and, where applicable, to the Carrier too.	

## 2.1.4.3.3 E-03-03 – DNL received

DNL received	E-03-03
System component: TI	
Description: A DNL from the CR is received by the TI in form of the message IE4Q03 [Msg: C_DNL_REQ].	

## 2.1.4.3.4 E-03-04 – DNL notified

DNL notified	E-03-04
System component: TI	
Description: The DNL was notified to the Person filing and, where applicable, to the Carrier too.	

## 2.1.4.3.5 E-03-05 - e-risk analysis request received

e-risk analysis request received	E-03-05
System component: NES (RMS)	
Description: An PLACI House consignment is received for air pre-loading risk analysis or an ENS is received for full risk analysis.	

## 2.1.4.3.6 E-03-08 - e-Screening hit assessment outcome received

e-Screening hit assessment outcome received	E-03-08
System component: NES (RMS)	
Description: An e-Screening hit assessment outcome (true positive) IE4S01 [Msg: C_ESC_ASM_RES] was received from the CR.	

## 2.1.4.3.7 E-09-02 - OMS e-Screening hit assessed

OMS e-Screening hit assessed	E-09-02
System component: NES (RMS)	
Description: This event is triggered by the Sub-process: <del>L4-ICS2-09 – e-Screening by OMS</del> <del>L4-ICS2-09 – e-Screening by OMS</del> .	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.4.3.8 E-03-09 – Timer to perform e-Screening by IMS expired

Timer to perform e-Screening by IMS expired	E-03-09
System component: NES (RMS)	
Description: The timer to perform e-Screening by IMS expired. This means that IMS had no hit within the time limit.	

## 2.1.4.3.9 E-03-10 – Risk analysis completed in NES (RMS)

Risk analysis completed in NES (RMS)	E-03-10
System component: CR	
Description: The air pre-loading or full risk analysis is complete.	

## 2.1.4.3.10 E-03-11 - ENS or ENS filing ready for risk analysis

ENS or PLACI House consignment ready for risk analysis	E-03-11
System component: CR	
Description: This event is triggered when a PLACI House consignment or an ENS has been prepared for risk analysis.	

## 2.1.4.3.11 E-03-12 – Timer for completion of risk analysis expired

Timer for completion of risk analysis expired	E-03-12
System component: CR	
Description: The timer for completion of risk analysis expired without having a set risk analysis result by RMS.	

## 2.1.4.3.12 E-03-13 – Risk analysis completed

Risk analysis completed	E-03-13
System component: CR	
Description: The air pre-loading or full risk analysis is complete.	

2.1.4.3.13 E-03-14 – e-risk analysis hit received from NES (RMS)

e-risk analysis hit received from NES (RMS)	E-03-14
System component: CR	
Description: An e-risk analysis hit from RMS was received by the CR in form of the message <i>[R02R02: Msg: C_ERA_HIT_NOT]</i> .	

2.1.4.3.14 E-03-15 – RA result received from NES (RMS)

RA result received from NES (RMS)	E-03-15
System component: CR	
Description: The set risk analysis results from NES (RMS) are received by the CR via the message IE4S02 [Msg: C_RSK_RES].	

2.1.4.3.15 E-03-16 – Timer for completion of e-Screening expired

Timer for completion of e-Screening expired	E-03-16
System component: CR	
Description: The timer for completion of e-Screening expired without having a communicated e-Screening hit by IMS.	

2.1.4.3.16 E-03-18 - e-Screening hit assessment outcome received

e-Screening hit assessment outcome received	E-03-18
System component: CR	
Description: An e-Screening hit assessment outcome (true positive) IE4S01 [Msg: C_ESC_ASM_RES] was received from the NES (IMS).	

2.1.4.3.17 E-03-19 – e-Screening completed

e-Screening completed	E-03-19
System component: CR	
Description: The e-Screening is complete.	

2.1.4.3.18 E-03-20 – e-Screening request received

E-Screening request received	E-03-20
System component: NES (IMS)	
Description: An PLACI House consignment is received for air pre-loading e-Screening or an ENS is received for e-Screening.	

2.1.4.3.19 E-03-21 – Timer for completion of e-Screening expired

Timer for completion of e-Screening expired	E-03-21
System component: NES (IMS)	
Description: The timer for completion of e-Screening expired. The e-Screening needs to be completed and e-Screening hit assessment needs to be communicated to the RMS.	

Formatiert: Schriftart: Fett, Kursiv

## 2.1.4.3.20 E-03-22 – e-Screening completed in NES (IMS)

e-Screening completed in NES (IMS)	E-03-22
System component: NES (IMS)	
Description: The e-Screening is complete.	

## 2.1.4.4 Gateways

## 2.1.4.4.1 G-03-01 – Person filing to be notified about assessment complete?

Person filing to be notified about assessment complete?	G-03-01
System component: TI	
Input: Assessment complete notification	
Description: The answer is 'Yes' when the Person filing requested to receive the assessment complete notification. This request is based on a permanent subscription which is stored in the EO user management. Else the answer is 'No'.	

## 2.1.4.4.2 G-03-02 – Carrier to be notified about assessment complete?

Carrier to be notified about assessment complete?	G-03-02
System component: TI	
Input: Assessment complete notification	
Description: The answer is 'Yes' when the Carrier is different from the Person filing and has requested to receive the assessment complete notification. This request is based on a permanent subscription which is stored in the EO user management. Else the answer is 'No'.	

## 2.1.4.4.3 G-03-03 – Carrier to be notified about DNL?

Carrier to be notified about DNL?	G-03-03
System component: TI	
Input: DNL received	
Description: The answer is 'Yes' when the Carrier is different from the Person filing. Else the answer is 'No'.	

## 2.1.4.4.4 G-03-04 – e-risk analysis hit?

e-risk analysis hit?	G-03-04
System component: NES (RMS)	
Input: e-risk analysis hit	
Description: The answer is 'Yes', if e-risk analysis generated a hit. Else the answer is 'No'.	

## 2.1.4.4.5 G-03-05 – e-risk analysis hit and/or other issues and/or flags raised?

e-risk analysis hit and/or other issues and/or flags raised?	G-03-05
System component: NES (RMS)	
Input: e-risk analysis hit and/or data quality and/or consistency issue and/or ENS data enrichment flag	
Description: The answer is 'Yes', if one or more of the following conditions are met: <ul style="list-style-type: none"> <li>E-risk analysis generated a hit;</li> </ul>	

- There was a data quality issue flagged;
- There was a data consistency issue flagged;
- There was a negative flag from ENS enrichment.

Else the answer is 'No'.

#### 2.1.4.4.6 G-03-07 – Referral needed from EO or risk mitigating information from IMS?

Referral needed from EO or risk mitigating information from IMS?	G-03-07
System component: NES (RMS)	
Input: outcome from Task: <del>T-03-08 - Assess e-risk analysis hit and/or other issues and/or flags raised</del> <del>– Assess e-risk analysis hit and/or other issues and/or flags raised</del> and/or Task: <del>T-03-10 - Assess IMS e-Screening hit</del> <del>T-03-10 - Assess IMS e-Screening hit</del>	
Description: The decision on referrals is taken by the risk analyst of the RMS who can decide on the following: <ul style="list-style-type: none"> <li>• Requesting additional information from Person filing;</li> <li>• Requesting HRCM screening (air pre-loading risk analysis only);</li> <li>• Requesting additional information from an IMS.</li> <li>• Any combination of the above-mentioned options.</li> </ul> If one of the above-mentioned decisions was taken the answer is 'Yes', otherwise it is 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

Formatiert: Schriftart: +Textkörper (Calibri)

#### 2.1.4.4.7 G-03-08 – Are the necessary conditions met to continue?

Are the necessary conditions met to continue?	G-03-08
System component: NES (RMS)	
Input: Multiple	
Description: The following conditions are to be met cumulatively before the process can continue: <ul style="list-style-type: none"> <li>• E-risk analysis was performed and generated either a hit or not;</li> <li>• All IMS determined for the given case have either notified a confirmed hit or their timers for e-Screening have expired.</li> </ul>	

#### 2.1.4.4.8 G-03-09 – Was there no e-risk analysis hit and no confirmed e-Screening hit and no other issues and no flags raised?

Was there no e-risk analysis hit and no confirmed e-Screening hit and no other issues and no flags raised?	G-03-09
System component: NES (RMS)	
Input: <del>G-03-08 – Are the necessary conditions met to continue?</del> <del>G-03-08 – Are the necessary conditions met to continue?</del>	
Description: The answer is 'No' when: <ul style="list-style-type: none"> <li>• E-risk analysis was performed and generated a hit and/or;</li> <li>• An IMS has notified a confirmed hit and/or;</li> <li>• Other issues or flags were raised.</li> </ul> Else the answer is 'Yes'.	

Formatiert: Schriftart: +Textkörper (Calibri)

#### 2.1.4.4.9 G-03-11 - e-risk analysis hit received?

e-risk analysis hit received?	G-03-11
System component: CR	
Input: e-risk analysis hit or risk analysis result received by the CR	
Description: If an e-risk analysis hit was received by the CR, the answer is 'Yes'. Else the answer is 'No'.	

## 2.1.4.4.10 G-03-12 - Risk identified?

Risk identified?	G-03-12
System component: CR	
Input: Risk analysis result	
Description: If the risk analysis result indicates that risk was identified, the answer is 'Yes'. Else the answer is 'No'.	

## 2.1.4.4.11 G-03-13 – DNL issued?

DNL issued?	G-03-13
System component: CR	
Input: Risk analysis result	
Description: In case all the following are true, the answer is 'Yes', else the answer is 'No'. <ul style="list-style-type: none"> <li>- The risk analysis result contains DNL information.</li> <li>- The ENS is lodged for maritime deep sea containerized cargo.</li> </ul> The risk analysis result is sent within 24 hours of registration of the ENS.	

## 2.1.4.4.12 G-03-14 - Controls to be performed?

Controls to be performed?	G-03-14
System component: CR	
Input: Risk analysis result	
Description: If the risk analysis result indicates that control needs to be performed, the answer is 'Yes'. Else the answer is 'No'.	

## 2.1.4.4.13 G-03-16 - e-Screening hit?

e-Screening hit?	G-03-16
System component: NES (IMS)	
Input: Outcome of e-Screening	
Description: If the e-Screening produced a hit, the answer is 'Yes'. Else the answer is 'No'.	

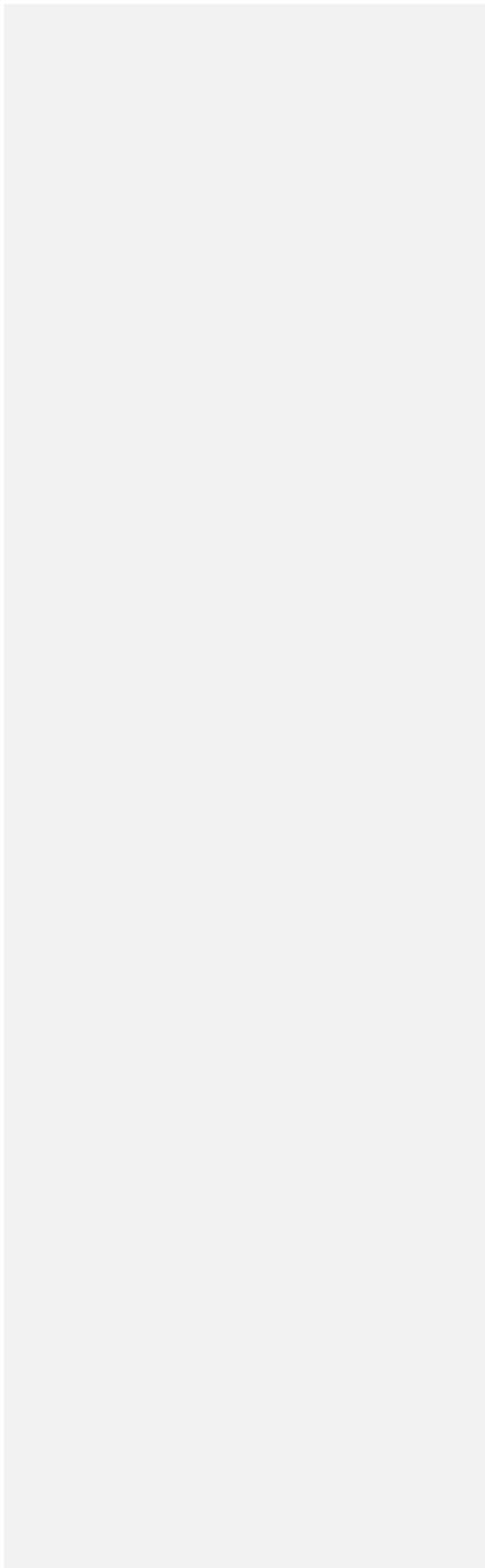
## 2.1.4.4.14 G-03-17 - e-Screening hit confirmed?

e-Screening hit confirmed?	G-03-17
System component: NES (IMS)	
Input: e-Screening hit assessment outcome	
Description: If the e-Screening hit outcome is 'True positive', then the answer is 'Yes'. Else the answer is 'No'.	

## 2.1.4.4.15 G-03-18 – Consignments (House level) for which no DNL was issued identified?

Consignments (House level) for which no DNL was issued identified?	G-03-18
System component: CR	
Input: Risk analysis result	
Description: If the risk analysis result does not contain DNL information, the answer is 'Yes'. Else the answer is 'No'.	





## 2.1.4.4.16 G-03-22 – e-risk analysis timer to be stopped automatically?

e-risk analysis timer to be stopped automatically?	G-03-22
System component: NES (RMS)	
Input: e-Screening hit received from the CR	
Description: If there is a configuration at NES (RMS) to automatically stop the e-risk analysis timer after the receipt of e-Screening hit, the answer is 'Yes'. Else the answer is 'No'.	

## 2.1.4.4.17 G-03-23 – Stop timer for completion of e-risk analysis?

Stop timer for completion of e-risk analysis?	G-03-23
System component: NES (RMS)	
Input: Risk analyst decision to stop the e-risk analysis timer	
Description: If the risk analyst has taken a positive decision to stop the e-risk analysis timer, the answer is 'Yes'. Else the answer is 'No'.	

## 2.1.5 L4-ICS2-03-01 – Send referral

Send referral	L4-ICS2-03-01
Organisation: National Customs Administration of the Responsible Member State	
Input: Decision of the risk analyst to request risk mitigating information	
Description: During the risk analysis process the RMS applies, when necessary, appropriate risk mitigation measures in order to ensure a proper risk analysis outcome. These measures can be a request for information from the economic operator or from the IMS and a request for HRCM screening in the air cargo pre-loading phase.	
Output (Final situation): Risk mitigating information is received by the RMS.	

2.1.5.1 Business Process Model

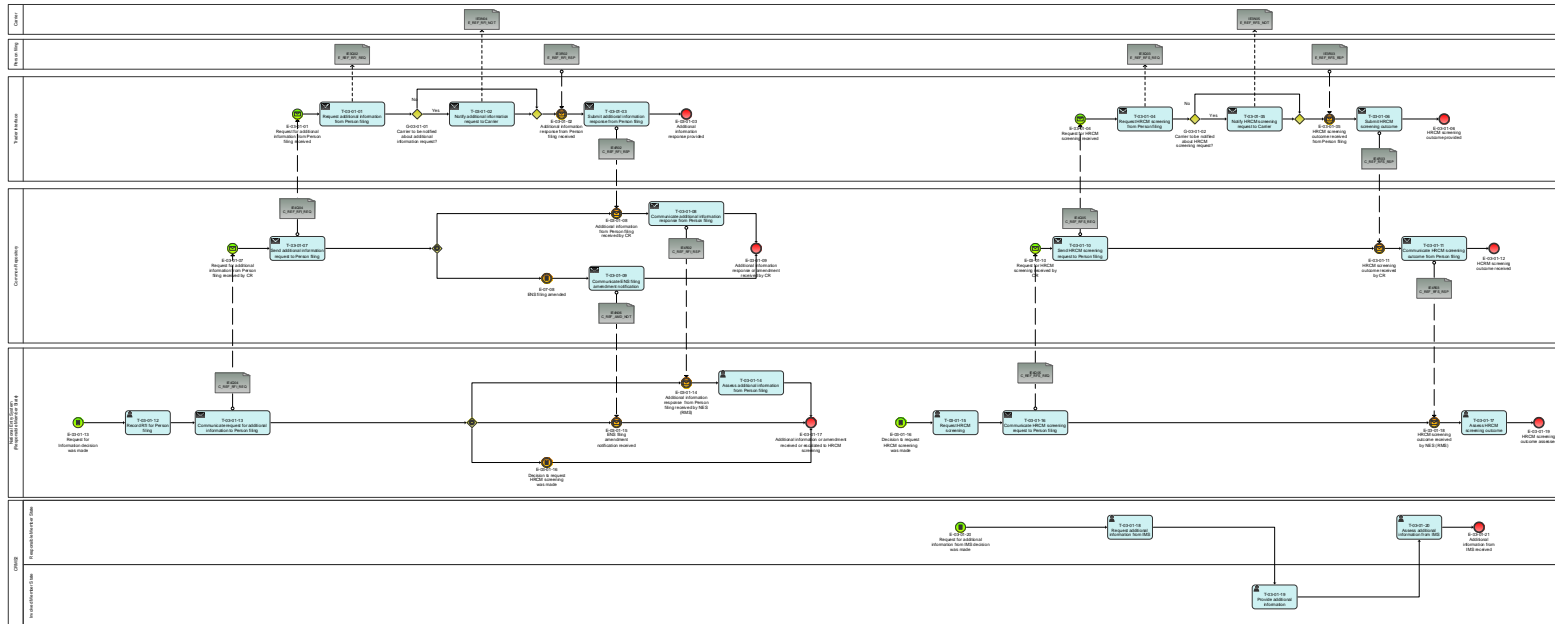


Figure 6: L4-ICS-03-01 Send referral sub-process

## 2.1.5.2 Tasks

## 2.1.5.2.1 T-03-01-01 – Request additional information from Person filing

Request additional information from Person filing	T-03-01-01
System component: TI	
Input: Request for additional information from Person filing received	
Description: The request for additional information is sent to the Person filing via the message IE3Q02 [Msg: E_REF_RFI_REQ].	
Output (Final situation): The request for additional information is sent to the Person filing.	

## 2.1.5.2.2 T-03-01-02 – Notify additional information request to Carrier

Notify additional information request to Carrier	T-03-01-02
System component: TI	
Input: Request for additional information from Person filing received	
Description: The Carrier is notified via the message IE3N04 [Msg: E_REF_RFI_NOT] that the Person filing was requested to provide additional information.	
Output (Final situation): The Carrier is notified about the additional information request that was sent to the Person filing.	

## 2.1.5.2.3 T-03-01-03 – Submit additional information response from Person filing

Submit additional information response received from Person filing	T-03-01-03
System component: TI	
Input: Additional information from Person filing received	
Description: The response to the additional information request received from Person filing is sent to the CR via the message IE4R02 [Msg: C_REF_RFI_RSP].	
Output (Final situation): The additional information from Person filing is available in the CR.	

## 2.1.5.2.4 T-03-01-04 – Request HRCM screening from Person filing

Request HRCM screening from Person filing	T-03-01-04
System component: TI	
Input: Request for HRCM screening received	
Description: The request for HRCM screening is sent to the Person filing via the message IE3Q03 [Msg: E_REF_RFS_REQ].	
Output (Final situation): The request for HRCM screening is sent to the Person filing.	

## 2.1.5.2.5 T-03-01-05 – Notify HRCM screening request to Carrier

Notify HRCM screening request to Carrier	T-03-01-05
System component: TI	
Input: Request for HRCM screening received	
Description: The Carrier is notified via the message IE3N05 [Msg: E_REF_RFS_NOT] that the Person filing was requested to provide HRCM screening outcome.	
Output (Final situation): The Carrier is notified about the HRCM screening request that was sent to the Person filing.	

## 2.1.5.2.6 T-03-01-06 – Submit HRCM screening outcome

Submit HRCM screening outcome	T-03-01-06
System component: TI	
Input: HRCM screening outcome received	
Description: The outcome of the HRCM screening is sent to the CR via the message IE4R03 [Msg: C_REF_RFS_RSP].	
Output (Final situation): The HRCM screening outcome is available in the CR.	

## 2.1.5.2.7 T-03-01-07 – Send additional information request to Person filing

Send additional information request to Person filing	T-03-01-07
System component: CR	
Input: Request for additional information from Person filing received	
Description: The request for additional information is sent to the TI via the message IE4Q04 [Msg: C_REF_RFL_REQ].	
Output (Final situation): The request for additional information is available at the TI.	

## 2.1.5.2.8 T-03-01-08 – Communicate additional information response from Person filing

Communicate additional information response from Person filing	T-03-01-08
System component: CR	
Input: Additional information from Person filing received	
Description: The response to the additional information request is sent to the NES (RMS) via the message IE4R02 [Msg: C_REF_RFI_RSP].	
Output (Final situation): The additional information from Person filing is available in the NES (RMS).	

## 2.1.5.2.9 T-03-01-09 – Communicate ENS filing amendment notification

Communicate ENS filing amendment notification	T-03-01-09
System component: CR	
Input: ENS filing amended	
Description: The notification that ENS filing was amended as requested by the RMS is sent to the NES (RMS) via the message IE4N06 [Msg: C_REF_AMD_NOT].	
Output (Final situation): The notification that the ENS filing was amended is available in the NES (RMS).	

## 2.1.5.2.10 T-03-01-10 – Send HRCM screening request to Person filing

Send HRCM screening request to Person filing	T-03-01-10
System component: CR	
Input: Request for HRCM screening received	
Description: The request for HRCM screening is sent to the TI via the message IE4Q05 [Msg: C_REF_RFS_REQ].	
Output (Final situation): The request for HRCM screening is available at the TI.	

## 2.1.5.2.11 T-03-01-11 – Communicate HRCM screening outcome from Person filing

Communicate HRCM screening outcome from Person filing	T-03-01-11
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System component: CR
Input: HRCM screening outcome received from TI
Description: The outcome of the HRCM screening is sent to the NES (RMS) via the message IE4R03 [Msg: C_REF_RFS_RSP].
Output (Final situation): The HRCM screening outcome is available in the NES (RMS).

## 2.1.5.2.12 T-03-01-12 - Record Rfl for Person filing

Record Rfl for Person filing	T-03-01-12
System component: NES (RMS)	
Input: Request for Information decision was made	
Description: The risk analyst of the RMS defines the type of information that is to be requested from the Person filing. The Rfl may comprise any of the following requests: <ul style="list-style-type: none"> <li>the request for additional information / documents to be sent by the Person filing, or</li> <li>the request to improve the data quality of specific data element(s) through amendment of an ENS filing.</li> </ul> The exact structure of an Rfl is defined in the message IE4Q04 [Msg: C_REF_RFI_REQ], which will be generated later based on the input from the risk analyst acquired through this task and sent to the CR.	
Output (Final situation): An Rfl has been recorded by the risk analyst of the RMS.	

## 2.1.5.2.13 T-03-01-13 – Communicate request for additional information to Person filing

Communicate request for additional information to Person filing	T-03-01-13
System component: NES (RMS)	
Input: Outcome of Task: <a href="#">T-03-01-12 - Record Rfl for Person filing</a> <a href="#">T-03-01-12 - Record Rfl for Person filing</a>	
Description: The request for additional information is sent to the CR via the message IE4Q04 [Msg: C_REF_RFI_REQ].	
Output (Final situation): The request for additional information is available in the CR.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.5.2.14 T-03-01-14 - Assess additional information from Person filing

Assess additional information from Person filing	T-03-01-14
System component: NES (RMS)	
Input: Additional information received from the Person filing	
Description: The risk analyst performs additional assessment based on the information received from the Person filing. In the case of air pre-loading risk analysis, the outcome of the assessment can be the necessity for a HRCM screening to be performed.	
Output (Final situation): Additional information is assessed and decision on further risk mitigation measures is taken.	

## 2.1.5.2.15 T-03-01-15 - Request HRCM screening

Request HRCM screening	T-03-01-15
System component: NES (RMS)	
Input: Decision to request HRCM screening (RFS) was made	
Description: In the case the risk analyst decided that HRCM screening is necessary, the request is recorded in the NES (RMS).	

<p>HRCM screening can be requested either</p> <ul style="list-style-type: none"> <li>- after assessing an identified potential risk, or</li> <li>- after additional information was requested from a Person filing or an IMS and the subsequent assessment lead to the need for an HRCM screening as an escalation measure, or</li> <li>- while the Rfl request is still in pending status the risk analyst decides to escalate the risk mitigation measure by requesting HRCM screening (this is in particular valid in the case when the Person filing does not provide necessary additional information or improve data quality via the amendment of the ENS filing, in a 'reasonable time-frame').</li> </ul> <p>The HRCM screening request may include also information about the recommended method(s) of the HRCM screening to be performed on the basis of influencing factors, such as the nature of the goods, weight, number of packages, or any relevant combination of different PLACI data elements.</p> <p>The exact structure of an HRCM screening request is defined in the message IE4Q05 [Msg: C_REF_RFS_REQ], which will be generated later based on the input from the risk analyst acquired through this task and sent to the CR.</p> <p>Output (final situation): The request for HRMC screening is recorded in the NES (RMS).</p>
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## 2.1.5.2.16 T-03-01-16 – Communicate HRCM screening request to Person filing

Communicate HRCM screening request to Person filing	T-03-01-16
System component: NES (RMS)	
Input: Outcome of Task: <del>T-03-01-15 - Request HRCM screening</del> <del>T-03-01-15 - Request HRCM screening</del>	
Description: The request is sent to the CR via the message IE4Q05 [Msg: C_REF_RFS_REQ].	
Output (Final situation): The request for HRCM screening is available in the CR.	

## 2.1.5.2.17 T-03-01-17 - Assess HRCM screening outcome

Assess HRCM screening outcome	T-03-01-17
System component: NES (RMS)	
Input: HRCM screening outcome	
Description: The risk analyst assesses the available outcome of the HRCM screening in order to decide on air pre-loading risk assessment.	
Output (Final situation): HRCM screening results have been assessed.	

## 2.1.5.2.18 T-03-01-18 - Request additional information from IMS

Request additional information from IMS	T-03-01-18
System component: CRMS2	
Input: Decision to request for further information from the Involved Member State(s)	
Description: In the case the risk analyst of the Responsible Member State decided that additional risk mitigation information is necessary to be obtained from a specific Involved Member State, the request is communicated to that Member State via CRMS2.	
Output (Final situation): Additional risk mitigation information request is communicated via CRMS2 to the specific Involved Member State.	

## 2.1.5.2.19 T-03-01-19 - Provide additional information

Provide additional information	T-03-01-19
System component: CRMS2	

Formatiert: Schriftart: +Textkörper (Calibri)

Input: Received request for additional information
Description: The risk analyst of the Involved Member State communicates the additional risk mitigation information to the Responsible Member State via CRMS2.
Output (Final situation): Additional risk mitigation information as requested by the RMS is provided via CRMS2.

## 2.1.5.2.20 T-03-01-20 - Assess additional information from IMS

Assess additional information from IMS	T-03-01-20
System component: CRMS2	
Input: Additional information received from the IMS	
Description: The risk analyst of the Responsible Member State assesses the additional information received from the IMS via CRMS2.	
Output (Final situation): Customs risk analyst assessed the received additional information.	

## 2.1.5.3 Events

## 2.1.5.3.1 E-03-01-01 – Request for additional information from Person filing received

Request for additional information from Person filing received	E-03-01-01
System component: TI	
Description: The TI received the request for additional information from Person filing via the message IE4Q04 [Msg: C_REF_RFI_REQ] from the CR.	

## 2.1.5.3.2 E-03-01-02 – Additional information response from Person filing received

Additional information from Person filing received	E-03-01-02
System component: TI	
Description: The TI received the additional information from Person filing via the message IE4R02 [Msg: E_REF_RFI_RSP].	

## 2.1.5.3.3 E-03-01-03 - Additional information response provided

Additional information response provided	E-03-01-03
System component: TI	
Description: Person filing has provided the requested additional information.	

## 2.1.5.3.4 E-03-01-04 – Request for HRCM screening received

Request for HRCM screening received	E-03-01-04
System component: TI	
Description: The TI received the request for HRCM screening from the CR via the message IE4Q05 [Msg: C_REF_RFS_REQ].	

## 2.1.5.3.5 E-03-01-05 – HRCM screening outcome received from Person filing

HRCM screening outcome received from Person filing	E-03-01-05
System component: TI	
Description: The TI received the outcome of the HRCM screening from Person filing via the message IE4R03 [Msg: E_REF_RFS_RSP].	

## 2.1.5.3.6 E-03-01-06 - HRCM screening outcome provided



HRCM screening outcome provided	E-03-01-06
System component: TI	
Person filing has provided the HRCM screening outcome.	

2.1.5.3.7 E-03-01-07 – Request for additional information from Person filing received by CR

Request for additional information from Person filing received by CR	E-03-01-07
System component: CR	
Description: The CR received the request for additional information from Person filing via the message IE4Q04 [Msg: C_REF_RFL_REQ] from the NES (RMS).	

2.1.5.3.8 E-03-01-08 – Additional information from Person filing received by CR

Additional information from Person filing received by CR	E-03-01-08
System component: CR	
Description: The CR received the additional information from Person filing via the message IE4R02 [Msg: C_REF_RFL_RSP] from TI.	

2.1.5.3.9 E-07-08 – ENS filing amended

ENS filing amended	E-07-08
System component: CR	
Description: This event is triggered by the amendment of an ENS filing. See Event: <del>E-07-09 – ENS filing amended</del> <del>E-07-09 – ENS filing amended</del> of Sub-process: <del>L4-ICS2-07 – Amend filing</del> <del>L4-ICS2-07 – Amend filing</del> .	

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2.1.5.3.10 E-03-01-09 - Additional information response or amendment received by CR

Additional information response or amendment received by CR	E-03-01-09
System component: CR	
Description: The CR has either received additional information or an amendment of the ENS filing.	

2.1.5.3.11 E-03-01-10 – Request for HRCM screening received by CR

Request for HRCM screening received by CR	E-03-01-10
System component: CR	
Description: The CR received the request for HRCM screening from the NES (RMS) via the message IE4QQ05 [Msg: C_REF_RFS_REQ].	

2.1.5.3.12 E-03-01-11 – HRCM screening outcome received by CR

HRCM screening outcome received by CR	E-03-01-11
System component: CR	
Description: The CR received the outcome of the HRCM screening from the TI via the message IE4R03 [Msg: C_REF_RFS_RSP].	

2.1.5.3.13 E-03-01-12 - HRCM screening outcome received

HRCM screening outcome received	E-03-01-12
System component: CR	
Description: The CR received the requested HRCM screening outcome.	

2.1.5.3.14 E-03-01-13 – Request for information decision was made

Request for information decision was made	E-03-01-13
System component: NES (RMS)	
Description: Risk analyst of the RMS has decided to request additional information from the Person filing.	
2.1.5.3.15 E-03-01-14 – Additional information response from Person filing received by NES (RMS)	
Additional information response from Person filing received by NES (RMS)	E-03-01-14
System component: NES (RMS)	
Description: The CR communicated the response to the request for additional information to the NES (RMS).	
2.1.5.3.16 E-03-01-15 – ENS filing amendment notification received	
ENS filing amendment notification received	E-03-01-15
System component: NES (RMS)	
Description: The CR communicated that the ENS filing which is subject to the request for additional information from Person filing (subtype 'request for amendment') was amended.	
2.1.5.3.17 E-03-01-16 – Decision to request HRCM screening was made	
Decision to request HRCM screening was made	E-03-01-16
System component: NES (RMS)	
Description: Risk analyst of the RMS has decided to request HRCM screening.	
2.1.5.3.18 E-03-01-17 - Additional information or amendment received or escalated to HRCM screening	
Additional information or amendment received or escalated to HRCM screening	E-03-01-17
System component: NES (RMS)	
Description: Additional information or amendment of the ENS filing was received from the Person filing. If no response was provided by the Person filing, the RfI was escalated to the HRCM screening.	
2.1.5.3.19 E-03-01-18 – HRCM screening outcome received by NES (RMS)	
HRCM screening outcome received by NES (RMS)	E-03-01-18
System component: NES (RMS)	
Description: The CR communicated the outcome of the HRCM screening to the NES (RMS).	
2.1.5.3.20 E-03-01-19 - HRCM screening outcome assessed	
HRCM screening outcome assessed	E-03-01-19
System component: NES (RMS)	
Description: HRCM screening outcome is received by the NES (RMS) and assessed by the risk analyst.	
2.1.5.3.21 E-03-01-20 – Request for additional information from IMS decision was made	
Request for additional information from IMS decision was made	E-03-01-20
System component: CRMS2	
Description: Risk analyst of the RMS has decided to request additional information from IMS.	
2.1.5.3.22 E-03-01-21 - Additional information from IMS received	
Additional information from IMS received	E-03-01-21

System component: CRMS2
Description: Additional information from IMS is received.

#### 2.1.5.4 Gateways

##### 2.1.5.4.1 G-03-01-01 – Carrier to be notified about additional information request?

Carrier to be notified about additional information request?	G-03-01-01
System component: TI	
Input: Request for additional information from Person filing	
Description: The Carrier is to be notified when <ul style="list-style-type: none"> <li>Carrier of this ENS is known;</li> <li>Carrier is different from the Person filing. The data elements Declarant <b><i>[R02R02: IE4Q04 / Declarant]</i></b> and Carrier <b><i>[R02R02: IE4Q04 / Carrier]</i></b> in the message <b><i>IE4Q04 [Msg: C_REF_RFI_REQ]</i></b> will be checked;</li> <li>Carrier is connected to the TI;</li> <li>Carrier has requested to receive 'Rfi request' notification messages IE3N04 <b><i>[Msg: E_REF_RFI_NOT]</i></b>.</li> </ul>	

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##### 2.1.5.4.2 G-03-01-02 – Carrier to be notified about HRCM screening request?

Carrier to be notified about HRCM screening request?	G-03-01-02
System component: TI	
Input: Request for HRCM screening from Person filing	
Description: The carrier is to be notified when <ul style="list-style-type: none"> <li>Carrier of this ENS is known;</li> <li>Carrier is different from the Person filing. The data elements Declarant <b><i>[R02R02: IE4Q05 / Declarant]</i></b> and Carrier <b><i>[R02R02: IE4Q05 / Carrier]</i></b> in the message <b><i>IE4Q05 [Msg: C_REF_RFS_REQ]</i></b> will be checked;</li> <li>Carrier is connected to the TI;</li> <li>Carrier has requested to receive 'Rfs request' notification messages IE3N05 <b><i>[Msg: E_REF_RFS_NOT]</i></b>.</li> </ul>	

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## 2.1.6 L4-ICS2-04 – Process arrival of the means of transport

Process arrival of the means of transport	L4-ICS2-04
Organisation: National Customs Administration of the Member State of Actual First Entry	
Input: Arrival notification	
Description: In case of air and maritime transport an arrival notification for the means of transport is to be lodged by the economic operator. The arrival notification identifies the Member State of Actual First Entry and triggers controls on goods which were identified being a risk requiring a control at the first point of entry in the EU (i.e. security and safety threat of such nature that immediate action is required upon arrival). The arrival notification can be lodged either via TI or national arrival system.	
Output (Final situation): The arrival of the means of transport is recorded and the relevant ENSs which are subject to immediate control measures at the Customs Office of First Entry are identified.	



## 2.1.6.2 Tasks

## 2.1.6.2.1 T-04-01 - Perform syntactical and semantical validation on received arrival notification

Perform syntactical and semantical validation on received arrival notification	T-04-01
System component: TI	
Input: Arrival notification	
Description: The arrival notification is validated in an automated process. It comprises the validation against the message rules and conditions, as well as the relevant reference data which are valid at the date of the reception. The messages rules and conditions and relevant reference data are defined in <b>[R02R02] ICS2 Information Exchange Messages.</b>	
Output (Final situation): The validation will have the following possible outcomes: <ul style="list-style-type: none"> <li>• Successful;</li> <li>• Unsuccessful, in which case <ul style="list-style-type: none"> <li>○ the error description will be generated</li> <li>○ the input arrival notification will obtain the state 'Rejected'</li> </ul> </li> </ul>	

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## 2.1.6.2.2 T-04-02 – Notify error

Notify error	T-04-02
System component: TI	
Input: Unsuccessful validation results	
Description: The file is not valid and is rejected. The person filing is notified of the rejection and of the errors that caused the rejection via the message IE3N99 [Msg: E_ERR_NOT].	
Output (Final situation): The notification of error is generated and sent to the person filing.	

## 2.1.6.2.3 T-04-03 – Register arrival notification and assign MRN

Register arrival notification and assign MRN	T-04-03
System component: TI	
Input: Valid arrival notification	
Description: The valid arrival notification is registered; an MRN is generated and allocated to the arrival notification. The arrival notification obtains the state 'Registered'.	
Output (Final situation): The arrival notification was registered and MRN has been generated.	

## 2.1.6.2.4 T-04-04 – Submit arrival notification

Submit arrival notification	T-04-04
System component: TI	
Input: Registered arrival notification from Task: <del>T-04-03 – Register arrival notification and assign MRN</del> <del>T-04-03 – Register arrival notification and assign MRN</del> Fehler! Verweisquelle konnte nicht gefunden werden. <del>Error! Reference source not found.</del>	
Description: The registered arrival notification is submitted to the CR via the message IE4N07 [Msg: C_ARV_NOT].	
Output (Final situation):	

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The arrival notification is available in the CR.

#### 2.1.6.2.5 T-04-05 – Notify successful registration and MRN to Person filing

Notify successful registration and MRN to Person filing	T-04-05
System component: TI	
Input: Registered arrival notification from Task: <del>T-04-03 – Register arrival notification and assign MRN</del> <del>T-04-03 – Register arrival notification and assign MRN</del>	
Description: The registration and assigned MRN of the arrival notification is notified to the Person filing via the message IE3R04 [Msg: E_ARV_REG_RSP].	
Output (Final situation): The Person filing is notified of the successful registration of the arrival notification and the MRN assigned to it.	

Formatiert: Schriftart: +Textkörper (Calibri)

#### 2.1.6.2.6 T-04-06 – Notify House consignments in incorrect state to Person filing

Notify House consignments in incorrect state to Person filing	T-04-06
System component: TI	
Input: Incorrect state notification received from CR	
Description: The message IE3N07 [Msg: E_ENS_INC_NOT] is sent to the person filing informing him that ENS is in incorrect state and its House consignments cannot obtain the state 'Arrived'.	
Output (Final situation): Person filing is notified that ENS in incorrect state and its House consignments did not obtain the state 'Arrived'.	

#### 2.1.6.2.7 T-04-07 – Notify control to Person filing

Notify control to Person filing	T-04-07
System component: TI	
Input: Control notification received from CR	
Description: Control notification for the identified items is sent to the Person filing via the message IE3N08 [Msg: E_CON_NOT]. The Person filing will be forced to unload the selected goods in order to make them available to customs for controls, regardless of whether the presentation of those goods was originally foreseen at this place or not.	
Output (Final situation): The control decision for items which require a control upon entry is notified to Person filing.	

#### 2.1.6.2.8 T-04-08 – Identify relevant ENS(s)

Identify relevant ENS(s)	T-04-08
System component: CR	
Input: Received arrival notification	
Description: ENS data related to the given journey of the means of transport for which the arrival has been notified is to be retrieved in an automated process. Matching of the ENS with the arrival notification per mode of transport will be done as follows: <ul style="list-style-type: none"> <li>• Maritime: <ol style="list-style-type: none"> <li>a. the IMO-number or ENA-number <del>[R02R02: IE3N06 / Active means of transport / Identity]</del> in the arrival notification will need to be matched against the IMO-number or the ENI-number of a master level ENS filing linked to a stored ENS and at the same time</li> <li>b. the estimated date and time of arrival <del>[R02R02: IE3N06 / Active means of transport / Estimated date and time of arrival]</del> in the arrival notification will need to be matched</li> </ol> </li> </ul>	

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<p>against the estimated date and time of arrival of a master level ENS filing linked to a stored ENS.</p> <ul style="list-style-type: none"> <li>• Air:             <ul style="list-style-type: none"> <li>a. the flight number <i>[R02R02: IE3N06 / Active means of transport / Conveyance reference number]</i> and the estimated date and time of arrival <i>[R02R02: IE3N06 / Active means of transport / Estimated date and time of arrival]</i> in the arrival notification will need to be matched against the flight number and the estimated date and time of arrival of a master level ENS filing linked to a stored ENS, respectively, or alternatively</li> <li>b. each MAWB <i>[R02R02: IE3N06 / Related transport document]</i> and the estimated date and time of arrival <i>[R02R02: IE3N06 / Active means of transport / Estimated date and time of arrival]</i> contained in an arrival notification will need to be matched against the MAWB and the estimated date and time of arrival of a master level ENS filing linked to a stored ENS.</li> </ul> </li> <li>• Alternatively, (applicable to both modes of transport):             <ul style="list-style-type: none"> <li>a. each MRN <i>[R02R02: IE3N06 / Related MRN]</i> contained in an arrival notification will need to be matched against the MRN of an ENS filing linked to a stored ENS.</li> </ul> </li> </ul>
<p>Output (Final situation): The ENS(s) for which the arrival is notified are identified by the CR.</p>

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2.1.6.2.9 T-04-09 – Check House consignments state correctness and update their state

Check House consignments state correctness and update their state	T-04-09
System component: CR	
Input: Identified relevant ENS(s)	
Description: It is checked whether the related ENS is in a correct state. The house consignments of the related ENS will obtain the state 'Arrived' after this task is executed. If the ENS is not in a correct state, the state of its house consignments will not be updated.	
Output (Final situation): In case of a correct state the relevant house consignments obtain the state 'Arrived'. Else the current state of the house consignments remains.	

2.1.6.2.10 T-04-10 – Stop 200 day timer for relevant ENS filing(s)

Stop 200 day timer for relevant ENS filing(s)	T-04-10
System component: CR	
Input: Arrival notification	
Description: The 200 day timer of the underlying ENS filing(s) of the identified ENS(s) will be stopped.	
Output (Final situation): The 200 day timer was stopped for the relevant ENS filing(s).	

2.1.6.2.11 T-04-11 – Communicate ENS(s) and control recommendations

Communicate ENS(s) and control recommendations	T-04-11
System component: CR	
Input: Outcome of Task: <i>T-04-08 – Identify relevant ENS(s)</i> / <i>T-04-08 – Identify relevant ENS(s)</i>	
Description: Each retrieved ENS as well as related risk analysis results and control recommendations are communicated to the NES (MS of Actual First Entry) via the message IE4N05 [Msg: C_CON_RCM_NOT] regardless of whether the ENS was in correct state or not. In case the Arrival notification was lodged via the Trader interface, a list of all ENSs that were covered by this Arrival notification will be communicated to the NES (MS of Actual First Entry) via message IE4N14 [Msg:	

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**C\_ARV\_ENS\_NOT].**

Output (Final situation):

The retrieved ENS(s), risk analysis results and control recommendations are available in the NES (MS of Actual First Entry) for follow-up action.

2.1.6.2.12 T-04-12 – Store control results

Store control results	T-04-12
System component: CR	
Input: Submitted control results	
Description The received control results are stored in the CR.	
Output (Final situation): Control results are stored and available in the CR.	

2.1.6.2.13 T-04-13 – Send incorrect state notification to NES

Send incorrect state notification to NES	T-04-13
System component: CR	
Input: Outcome of Task: <del>T-04-09 – Check House consignments state correctness and update their state</del> <del>T-04-09 – Check House consignments state correctness and update their state</del>	
Description: The message IE4N08 [Msg: C_ENS_INC_NOT] is sent to the NES (MS of Actual First Entry) in order to trigger the notification to the Person filing via the NAS.	
Output (Final situation): NES (MS of Actual First Entry) receives notification about the ENS(s) which are in incorrect state.	

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2.1.6.2.14 T-04-14 – Send incorrect state notification to TI

Send incorrect state notification to TI	T-04-14
System component: CR	
Input: Outcome of Task: <del>T-04-09 – Check House consignments state correctness and update their state</del> <del>T-04-09 – Check House consignments state correctness and update their state</del>	
Description: The message IE4N08 [Msg: C_ENS_INC_NOT] is sent to the TI in order to trigger the notification to the Person filing.	
Output (Final situation): TI receives notification about the ENS(s) which are in incorrect state.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.6.2.15 T-04-15 – Send control notification

Send control notification	T-04-15
System component: CR	
Input: Control decision IE4N09 [Msg: C_CON_NOT] received from NES (MS of Actual First Entry)	
Description: The message IE4N09 [Msg: C_CON_NOT] is sent to the TI in order to notify control to the Person filing.	
Output (Final situation): The control notification is available at the TI.	

2.1.6.2.16 T-04-16 – Notify successful registration and MRN to NAS

Notify successful registration and MRN to NAS	T-04-16
System component: NES (MS of Actual First Entry)	
Input: Registered arrival notification	
Description:	

The registration and assigned MRN of the arrival notification is notified to the NAS via the message IE3R04 [Msg: E\_ARV\_REG\_RSP].

Output (Final situation):

The NAS is notified of the successful registration of the arrival notification and the MRN assigned to it.

#### 2.1.6.2.17 T-04-17 – Notify House consignments in incorrect state to NAS

Notify House consignments in incorrect state to NAS

T-04-17

System component: NES (MS of Actual First Entry)

Input: Incorrect state notification received from CR

Description:

The message IE3N07 [Msg: E\_ENS\_INC\_NOT] is sent to the NAS informing it that ENS is in incorrect state.

Output (Final situation):

The NAS is notified that ENS is in incorrect state.

#### 2.1.6.2.18 T-04-18 – Check for previous involvement in the full risk analysis process per ENS

Check for previous involvement in the full risk analysis process per ENS

T-04-18

System component: NES (MS of Actual First Entry)

Input: ENS(s) and control recommendations received from CR

Description:

It is checked whether the MS of Actual First Entry was already involved in the risk analysis process either as RMS or IMS.

Output (Final situation):

It is known whether the MS of Actual First Entry was already involved in the risk analysis process.

#### 2.1.6.2.19 T-04-19 – Perform e-Screening

Perform e-Screening

T-04-19

System component: NES (MS of Actual First Entry)

Input: ENS which was not risk analysed or screened by this Member State

Description:

Received ENS is electronically screened against CRC category 2 and any potential additional national security and safety related risk profiles not falling in the scope of the CRC category 2.

Output (Final situation):

e-Screening can result in a hit or no hit.

#### 2.1.6.2.20 T-04-20 - Assess e-Screening hit

Assess e-Screening hit

T-04-20

System component: NES (MS of Actual First Entry)

Input: e-Screening hit

Description:

Result of the e-Screening (i.e. match/hit of CRC category 2 / potential relevant national profiles and information applicable either for air cargo specific risks, or those applicable for customs security and safety risks) is presented to the risk analyst.

Customs risk analyst completes the e-Screening process through manual review and risk mitigation of the presented electronic result.

The e-Screening assessment result is either 'true positive' or 'false positive'.

Output (Final situation):

e-Screening result can be 'true positive' or 'false positive'.

#### 2.1.6.2.21 T-04-21 – Record control decision

Record control decision

T-04-21

System component: NES (MS of Actual First Entry)
Input: Received control recommendation from RMS and, where applicable, the assessed outcome of own e-Screening hit
Description: The Member State of Actual First Entry records the decision on whether to control the goods taking into account the recommendation received from RMS and, where applicable, the assessed outcome of own e-Screening hit. Possible outcomes: <ul style="list-style-type: none"> <li>Decide to control goods upon arrival even if the previously identified risk was considered lower than the one requiring an immediate action at COFE in the case its own e-Screening assessment resulted (outcome of Task: <del>T-04-20 - Assess e-Screening hit</del><del>T-04-20 - Assess e-Screening hit</del>) in an identified security and safety threat of such nature that an immediate intervention is required at arrival</li> <li>Decide to control the goods as per recommendations for control received from RMS</li> <li>Decide not to control the goods disregarding the control recommendations received from RMS.</li> </ul>
Output (Final situation): Control decision is recorded.

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## 2.1.6.2.22 T-04-22 – Submit control decision to CR

Submit control decision to CR	T-04-22
System component: NES (MS of Actual First Entry)	
Input: Outcome of Task: <del>T-04-21 – Record control decision</del> <del>T-04-21 – Record control decision</del>	
Description: The control decision is submitted to the CR via the message IE4N09 [Msg: C_CON_NOT].	
Output (Final situation): Control decision is submitted to the CR.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.6.2.23 T-04-23 – Notify control decision to NAS

Notify control decision to NAS	T-04-23
System component: NES (MS of Actual First Entry)	
Input: Outcome of Task: <del>T-04-21 – Record control decision</del> <del>T-04-21 – Record control decision</del>	
Description: The issued control decision is submitted to the NAS via the message IE3N08 [Msg: E_CON_NOT].	
Output (Final situation): Control decision is submitted to the NAS.	

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## 2.1.6.2.24 T-04-24 – Record control results

Record control results	T-04-24
System component: NES (MS of Actual First Entry)	
Input: Results of control	
Description: The customs officer records the results of the performed control in the NES.	
Output (Final situation): Control results are recorded.	

## 2.1.6.2.25 T-04-25 – Submit control results to CR

Submit control results to CR	T-04-25
System component: NES (MS of Actual First Entry)	
Input: Outcome of Task: <del>T-04-24 – Record control results</del> <del>T-04-24 – Record control results</del>	
Description: The recorded control results are submitted to the CR via the message IE4S03 [Msg: C_CON_RES].	

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Output (Final situation):  
Control results are submitted to the CR.

### 2.1.6.3 Events

#### 2.1.6.3.1 E-04-01 – Arrival notification of the means of transport received

Arrival notification of the means of transport received	E-04-01
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System component: TI
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Description:
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Arrival notification of the means of transport is received by the TI.
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#### 2.1.6.3.2 E-04-02 – Arrival notification of the means of transport rejected

Arrival notification of the means of transport rejected	E-04-02
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System component: TI
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Description:
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Arrival notification is rejected.
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#### 2.1.6.3.3 E-04-03 - Arrival notification submitted

Arrival notification submitted	E-04-03
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System component: TI
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Description:
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Arrival notification was submitted to the TI.
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#### 2.1.6.3.4 E-04-04 – Incorrect House consignments state notification received

Incorrect House consignments state notification received	E-04-04
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System component: TI
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Description:
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Notification was received that House consignment (related to the arrival notification) is in incorrect state.
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#### 2.1.6.3.5 E-04-05 – Relevant House consignment state not updated

Relevant House consignment state not updated	E-04-05
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System component: TI
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Description:
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The person filing was informed that a given House consignment was in incorrect state.
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#### 2.1.6.3.6 E-04-06 – Control notification received

Control notification received	E-04-06
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System component: TI
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Description:
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The TI has received a control notification from the CR.
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#### 2.1.6.3.7 E-04-07 – Control notified

Control notified	E-04-07
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System component: TI
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Description:
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The control was notified to the person filing.
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#### 2.1.6.3.8 E-04-08 – Arrival notification received from TI

Arrival notification received from TI	E-04-08
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System component: CR
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Description:
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Arrival notification is received by the CR.	
2.1.6.3.9 E-04-09 – Arrival notification received from NES (MS of Actual First Entry)	
Arrival notification received from NES (MS of Actual First Entry)	E-04-09
System component: CR	
Description: Arrival notification is received by the CR.	
2.1.6.3.10 E-04-10 - Control results received	
Control results received	E-04-10
System component: CR	
Description: The CR has received the control results.	
2.1.6.3.11 E-04-11 - Control results stored	
Control results stored	E-04-11
System component: CR	
Description: The CR has stored the control results	
2.1.6.3.12 E-04-12 – Control decision received	
Control decision received	E-04-12
System component: CR	
Description: The CR has received a control decision from the NES (MS of Actual First Entry).	
2.1.6.3.13 E-04-13 – Control notification sent	
Control notification sent	E-04-13
System component: CR	
Description: The CR has sent a control notification to the TI.	
2.1.6.3.14 E-04-14 – Arrival notification of the means of transport received from NAS	
Arrival notification of the means of transport received from NAS	E-04-14
System component: NES (MS of Actual First Entry)	
Description: Arrival notification of the means of transport is received by the NES (MS of Actual First Entry).	
2.1.6.3.15 E-04-15 – ENSs and control recommendations received	
ENSs and control recommendations received	E-04-15
System component: NES (MS of Actual First Entry)	
Description: The ENSs including control recommendations were received from the CR.	
2.1.6.3.16 E-04-16 – Control decision and results recorded	
Control decision and results recorded	E-04-16
System component: NES (MS of Actual First Entry)	
Description: The control decision and results are recorded.	

## 2.1.6.4 Gateways

## 2.1.6.4.1 G-04-01 - Syntactical &amp; semantical validation successful?

Syntactical & semantical validation successful?	G-04-01
System component: TI or NES	
Input: Outcome of Task: <del>T-04-01 - Perform syntactical and semantical validation on received arrival notification</del> <del>T-04-01 - Perform syntactical and semantical validation on received arrival notification</del>	
Description: In case the validation was successful, the answer is 'Yes', otherwise it is 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.6.4.2 G-04-02 - Are House consignments in correct state?

Are House consignments in correct state?	G-04-02
System component: CR	
Input: Outcome of Task: <del>T-04-09 - Check House consignments state correctness and update their state</del> <del>T-04-09 - Check House consignments state correctness and update their state</del>	
Description: In case the House consignments are in correct state, the answer is 'Yes', otherwise it is 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.6.4.3 G-04-03 - Arrival notification received from TI?

Arrival notification received from TI?	G-04-03
System component: CR	
Input: Origin of the arrival notification	
Description: In case the sub-process was initiated through the Event: <del>E-04-01 - Arrival notification of the means of transport received</del> <del>E-04-01 - Arrival notification of the means of transport received</del> , the answer is 'Yes', otherwise it is 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.6.4.4 G-04-04 - Was MS involved?

Was MS involved?	G-04-04
System component: NES	
Input: Outcome of Task: <del>T-04-18 - Check for previous involvement in the full risk analysis process per ENS</del> <del>T-04-18 - Check for previous involvement in the full risk analysis process per ENS</del>	
Description: This gateway will distinguish between the ENS which was risk analysed or screened by this Member State and the ENS that this Member State has not previously risk analysed or screened.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.6.4.5 G-04-05 - e-Screening hit?

e-Screening hit?	G-04-05
System component: NES	
Input: Outcome of Task: <del>T-04-19 - Perform e-Screening</del> <del>T-04-19 - Perform e-Screening</del>	
Description: In case there was an e-Screening hit, the answer is 'Yes', otherwise it is 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.6.4.6 G-04-06 - Goods to be controlled at first port or airport of arrival?

Goods to be controlled at first port or airport of arrival?	G-04-06
System component: NES	
Input: Outcome of Task: <del>T-04-21 - Record control decision</del> <del>T-04-21 - Record control decision</del>	
Description: In case it was decided that goods will be controlled at first port or airport of arrival, the answer is 'Yes', otherwise it is 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.7 L4-ICS2-05 – Process presentation of goods

Process presentation of goods	L4-ICS2-05
Organisation: National Customs Administration of Member State of Presentation/Control (at final destination)	
Input: Presentation information was received or entered by the user	
Description: The submission of presentation information in the NES and the CR will trigger <ul style="list-style-type: none"><li>- the update of state for all relevant house consignments, and</li><li>- the submission by the CR of ENS(s) and control recommendations that were not previously sent to this Member State (diversion).</li></ul>	
Output (Final situation): Goods were presented.	

2.1.7.1 Business Process Model

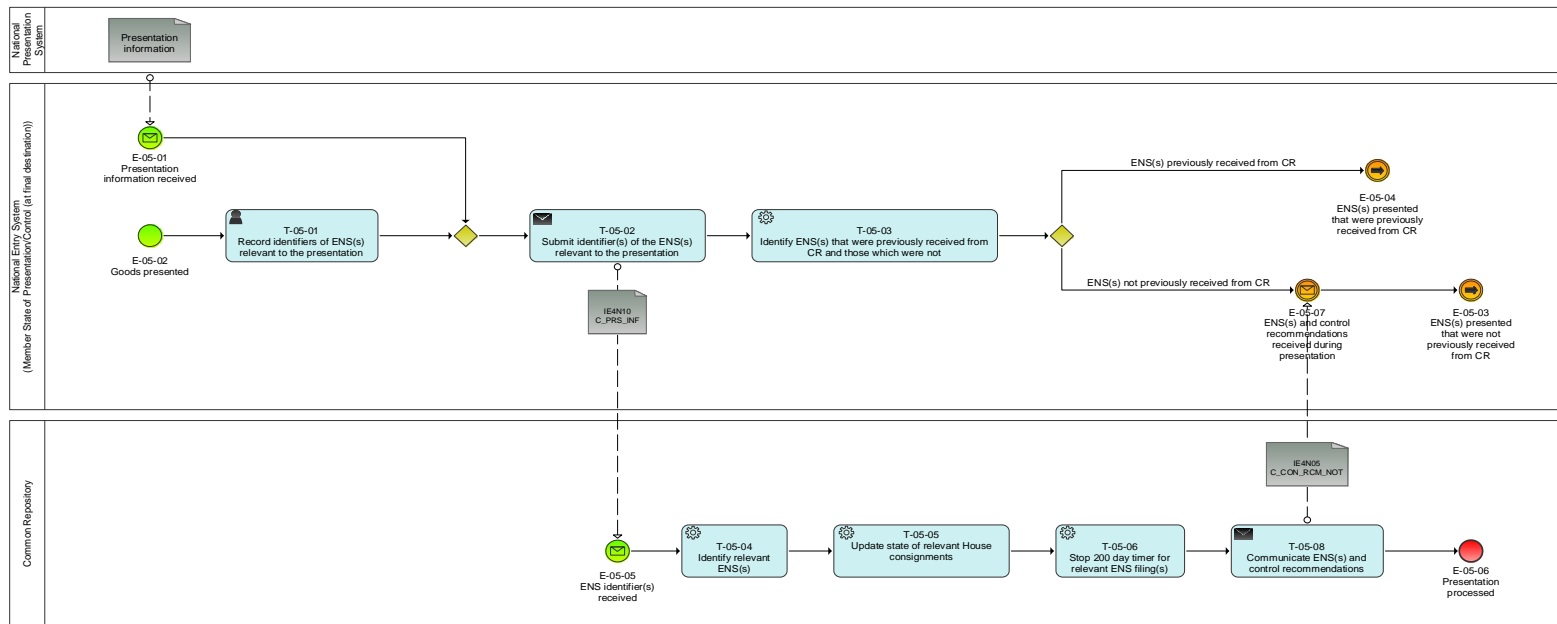


Figure 8: L4-ICS2-05 Process presentation of goods sub-process



## 2.1.7.2 Tasks

## 2.1.7.2.1 T-05-01 – Record identifiers of ENS(s) relevant to the presentation

Record identifiers of ENS(s) relevant to the presentation	T-05-01
System component: NES (MS of Presentation/Control (at final destination))	
Input: ENS(s) relevant to the presentation	
Description: The identifiers (MRN or transport contract number) of the ENS(s) relevant to the presentation of goods are recorded in the NES. The possible identifiers are specified in the message IE4N10 [Msg: C_PRS_INF].	
Output (Final situation): The identifier(s) of the ENS(s) related to the presentation of goods are recorded in the national entry system.	

## 2.1.7.2.2 T-05-02 – Submit identifier(s) of the ENS(s) relevant to the presentation

Submit identifier(s) of the ENS(s) relevant to the presentation	T-05-02
System component: NES (MS of Presentation/Control (at final destination))	
Input: Identifier(s) of the ENS(s) relevant to the presentation	
Description: The identifier(s) of the ENS(s) relevant to the presentation are sent to the CR via the message IE4N10 [Msg: C_PRS_INF].	
Output (Final situation): The identifier(s) of the ENS(s) related to the presentation of goods are available in the CR.	

## 2.1.7.2.3 T-05-03 – Identify ENS(s) that were previously received from CR and those which were not

Identify ENS(s) that were previously received from CR and those which were not	T-05-03
System component: NES (MS of Presentation/Control (at final destination))	
Input: Identifier(s) of the ENS(s) and ENS(s) previously received from CR	
Description: The identifiers of ENS(s) received/recorded at the presentation are used to identify the ENS(s) previously received from the CR and ENS(s) which were not received yet. ENS(s) that are received can be immediately processed as per sub-process.	
<u>L4-ICS2-06 – Process control decision and results</u>	
<del>L4-ICS2-06 – Process control decision and results</del> . The ENS(s) which are not yet available will be sent by the CR.	
Output (Final situation): The ENS(s) that were previously received from CR and ENS(s) which were not received yet are identified.	

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## 2.1.7.2.4 T-05-04 – Identify relevant ENS(s)

Identify relevant ENS(s)	T-05-04
System component: CR	
Input: Identifier(s) of the ENS(s) relevant to the presentation	
Description: The CR identifies the ENS(s) based on the received identifier(s). In order for an ENS to be identified, the MRN or the Transport Contract Document number that was previously used in the Task: <u>T-05-02 – Submit identifier(s) of the ENS(s) relevant to the presentation</u> <del>T-05-02 – Submit identifier(s) of the ENS(s) relevant to the presentation</del> will need to be matched against the corresponding data element(s) of a stored ENS.	
Output (Final situation): The related ENSs to the presentation of goods are identified.	

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## 2.1.7.2.5 T-05-05 – Update state of relevant House consignments

Update state of ENS(s) and underlying Consignments (House level)	T-05-05
System component: CR	
Input: ENS identifier(s) received	
Description: The CR updates the state of the relevant presented House consignments to 'Presented'.	
Output (Final situation): The state of the House consignments in the CR is updated to 'Presented'.	

## 2.1.7.2.6 T-05-06 – Stop 200 day timer for relevant ENS filing(s)

Stop 200 day timer for relevant ENS filing(s)	T-05-06
System component: CR	
Input: Outcome of Task: <del>T-05-03 – Identify ENS(s) that were previously received from CR and those which were not</del> <del>T-05-03 – Identify ENS(s) that were previously received from CR and those which were not</del>	
Description: The 200 day timer of the underlying ENS filing(s) of the identified ENS(s) will be stopped.	
Output (Final situation): The 200 day timer was stopped for the relevant ENS filing(s).	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.7.2.7 T-05-08 – Communicate ENS(s) and control recommendations

Communicate ENS(s) and control recommendations	T-05-08
System component: CR	
Input: Outcome of Task: <del>Fehler! Verweisquelle konnte nicht gefunden werden.</del> <del>Error! Reference source not found.</del>	
Description: Each retrieved ENS as well as related risk analysis results and control recommendations are communicated to the NES (MS of Presentation/Control) via the message IE4N05 [Msg: C_CON_RCM_NOT].	
Output (Final situation): The retrieved ENS(s) and control recommendations are available in the NES (MS of Presentation/Control (at final destination)) for follow-up action.	

## 2.1.7.3 Events

## 2.1.7.3.1 E-05-01 – Presentation information received

Presentation information received	E-05-01
System component: NES (MS of Presentation/Control (at final destination))	
Description: Electronically submitted structured presentation information with ENS identifier(s) was received.	

## 2.1.7.3.2 E-05-02 – Goods presented

Goods presented	E-05-02
System component: NES (MS of Presentation/Control (at final destination))	
Description: Goods are presented at the place where controls were recommended to be carried out and temporary storage declaration was lodged and accepted (i.e. either goods presented or unloaded at the COFE, goods unloaded at the subsequent office of entry, or goods unloaded at the place subsequent to the first place of unloading). Goods are presented by providing documents to customs, orally or by any other act.	

## 2.1.7.3.3 E-05-03 - ENS(s) presented that were not previously received from CR

ENS(s) presented that were not previously received from CR	E-05-03
System component: NES (MS of Presentation/Control (at final destination))	

Description:  
ENS(s) were presented that were not previously received from CR. This event happens when the goods that were diverted to a new MS of Presentation/Control (at final destination) are presented.

2.1.7.3.4 E-05-04 - ENS(s) presented that were previously received from CR

ENS(s) presented that were previously received from CR	E-05-04
System component: NES (MS of Presentation/Control (at final destination))	
Description: ENS(s) presented that were previously received from CR.	

2.1.7.3.5 E-05-05 – ENS identifier(s) received

ENS identifier(s) received	E-05-05
System component: CR	
Description: The identifier(s) of the relevant ENS(s), and if applicable the identifiers of specific Consignments (House level), are received by the CR.	

2.1.7.3.6 E-05-06 – Presentation processed

Presentation processed	E-05-06
System component: NES (MS of Presentation/Control (at final destination))	
Description: Presentation was processed.	

2.1.7.3.1 E-05-07 – ENS(s) and control recommendations received during presentation

ENS(s) and control recommendations received during presentation	E-05-07
System component: NES (MS of Presentation/Control (at final destination))	
Description: The ENSs including control recommendations were received from the CR.	

## 2.1.8 L4-ICS2-06 – Process control decision and results

Process control decision and results	L4-ICS2-06
Organisation: National Customs Administration of Member State of Presentation/Control (at final destination)	
Input: Received Control recommendations and presentation of goods	
<p>Description:</p> <p>This sub-process covers two cases when the Member State of Presentation/Control (at final destination) will receive an ENS and any control recommendations relevant to it.</p> <ol style="list-style-type: none"> <li>1) Risk analysis is complete and control recommendations were set for a specific ENS by the RMS. The ENS and the control recommendations are then sent to the Member State of Presentation/Control (at final destination).</li> <li>2) Goods are presented after diversion at this Member State. In this case the CR will send the ENS(s) and any relevant control recommendations to the Member State of Presentation/Control (at final destination).</li> </ol> <p>After having received a control recommendation for an ENS, the Member State of Presentation/Control (at final destination) will decide whether to control the goods. If goods are controlled, control results are submitted to the CR.</p> <p>This sub-process contains a lower level sub-process <del>L4-ICS2-06-01 – Handle AEO notification</del> <del>L4-ICS2-06-01 – Handle AEO notification</del> for the cases where the Person filing and the Carrier (where applicable) that hold an AEO authorisation can be informed about the control in advance if that does not jeopardise the outcome of the control.</p>	
Output (Final situation):	
Decision on control was made by the MS of Presentation/Control (at final destination), relevant controls were performed and their results were submitted to the CR.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.8.1 Business Process Model

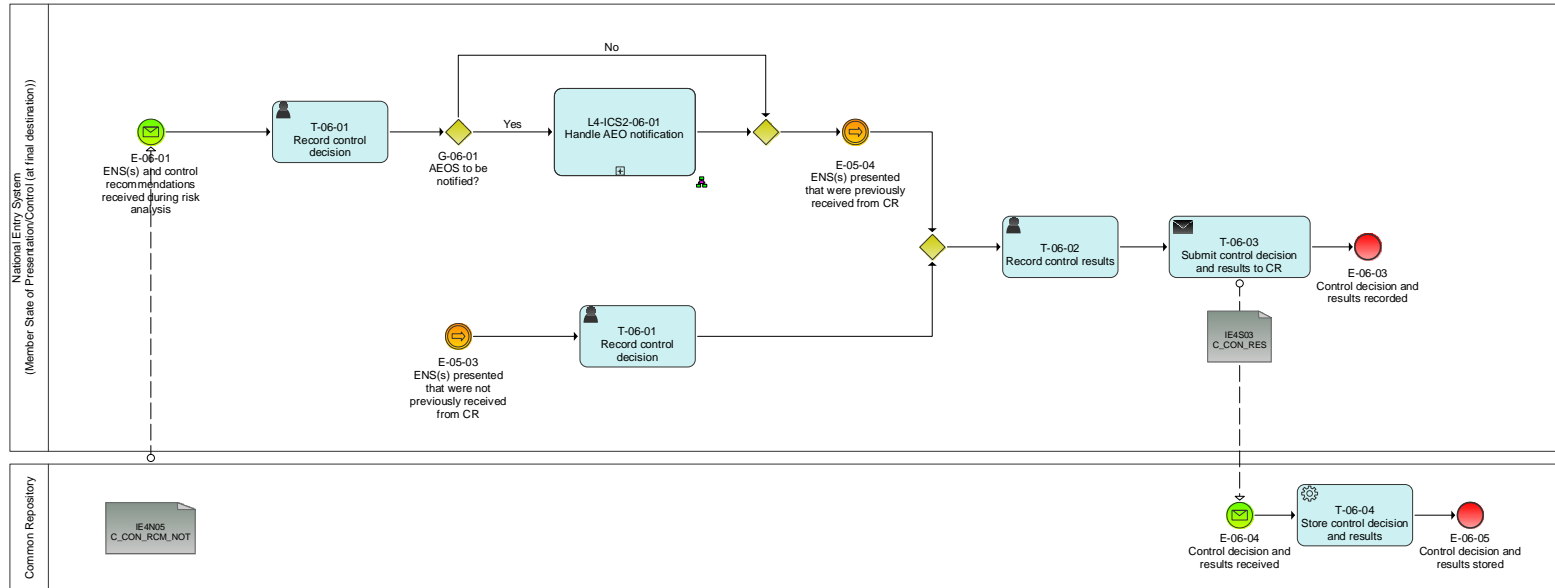


Figure 9: L4-ICS2-06 Process control decision and results sub-process

## 2.1.8.2 Tasks

## 2.1.8.2.1 T-06-01 – Record control decision

Record control decision	T-06-01
System component: NES (MS of Presentation/Control (at final destination))	
Input: Presented ENS(s) and control recommendations	
<p>Description:</p> <p>The Member State of Presentation and/or Control records the decision on whether</p> <ul style="list-style-type: none"> <li>• to control the goods taking into account the recommendation received from RMS via CR</li> <li>• To notify the Person filing that holds an AEOS authorisation about control in advance</li> </ul> <p>The AEOS authorisation of the Person filing is verified via the Economic Operator System (EOS).</p> <p>Possible outcomes:</p> <ul style="list-style-type: none"> <li>• Decision to control goods, including the type of control <ul style="list-style-type: none"> <li>◦ Decision to notify the Person filing that holds AEOS authorisation</li> <li>◦ Decision not to notify the Person filing that holds AEOS authorisation</li> </ul> </li> <li>• Decision not to control goods, including the reason</li> </ul> <p>The outcome of this task will be contained in the message IE4S03 [Msg: C_CON_RES] that will be submitted to the CR later in the process.</p>	
Output (Final situation):	
Control decision is recorded.	

## 2.1.8.2.2 T-06-02 – Record control results

Record control results	T-06-02
System component: NES (MS of Presentation/Control (at final destination))	
Input: Results of control	
<p>Description:</p> <p>The customs officer records the results of the performed control in the NES.</p> <p>If the decision in Task: <del>T-06-01 – Record control decision</del> <del>T-06-01 – Record control decision</del> was not to control the goods, the control result can be set automatically.</p>	
Output (Final situation):	
Control results are recorded.	

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## 2.1.8.2.3 T-06-03 – Submit control decision and results to CR

Submit control decision and results to CR	T-06-03
System component: NES (MS of Presentation/Control (at final destination))	
Input: Outcome of Tasks: <del>T-06-01 – Record control decision</del> <del>T-06-01 – Record control decision</del> and <del>T-06-02 – Record control results</del> <del>T-06-02 – Record control results</del>	
<p>Description:</p> <p>The recorded control decision and results are submitted to the CR via the message IE4S03 [Msg: C_CON_RES].</p>	
Output (Final situation):	
Control results are submitted to the CR.	

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## 2.1.8.2.4 T-06-04 – Store control decision and results

Store control decision and results	T-06-04
System component: CR	
Input: Submitted control decision and results by NES (MS of Presentation/Control (at final destination))	
Description:	

The received control decision and results are stored in the CR.

Output (Final situation):

Control results are stored and available in the CR.

### 2.1.8.3 Events

2.1.8.3.1 E-06-01 – ENS(s) and control recommendations received during risk analysis

ENS(s) and control recommendations received during risk analysis	E-06-01
System component: NES (MS of Presentation/Control (at final destination))	
Description: The ENS(s) including control recommendations were received from the CR. This event happens right after the sub-process <del>L4-ICS2-03 – Perform risk analysis</del> L4-ICS2-03 – Perform risk analysis is completed.	

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2.1.8.3.2 E-05-04 – ENS(s) presented that were previously received from CR

ENS(s) presented that were previously received from CR	E-05-04
System component: NES (MS of Presentation/Control (at final destination))	
Description: ENS(s) presented that were previously received from CR. This event links the sub-process <del>L4-ICS2-05 – Process presentation of goods</del> L4-ICS2-05 – Process presentation of goods with the current one.	

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2.1.8.3.3 E-05-03 – ENS(s) presented that were not previously received from CR

ENS(s) presented that were not previously received from CR	E-05-03
System component: NES (MS of Presentation/Control (at final destination))	
Description: ENS(s) were presented that were not previously received from CR. This event happens when the goods that were diverted to a new MS of Presentation/Control (at final destination) are presented. This event links the sub-process <del>L4-ICS2-05 – Process presentation of goods</del> L4-ICS2-05 – Process presentation of goods with the current one.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.8.3.4 E-06-03 – Control decision and results recorded

Control decision and results recorded	E-06-03
System component: NES (MS of Presentation/Control (at final destination))	
Description: The control decision and results were recorded.	

2.1.8.3.5 E-06-04 – Control results received

Control decision and results received	E-06-04
System component: CR	
Description: The control decision and results from NES (MS of Presentation/Control (at final destination)) were received by the CR.	

2.1.8.3.6 E-06-05 – Control decision and results stored

Control decision and results stored	E-06-05
System component: CR	
Description: The received control decision and results were stored in the CR.	

### 2.1.8.4 Gateways

2.1.8.4.1 G-06-01 – AEOS to be notified?

AEOS to be notified?	G-06-01
System component: NES (MS of Presentation/Control (at final destination))	

Input: Outcome of Task: ~~T-06-01 – Record control decision~~ ~~T-06-01 – Record control decision~~

Description:

In case it was decided that the AEOS is to be notified, the answer is 'Yes', otherwise it is 'No'.

Formatiert: Schriftart: +Textkörper (Calibri)



## 2.1.9 L4-ICS2-06-01 – Handle AEO notification

Handle AEO notification	L4-ICS2-06-01
Organisation: National Customs Administration of Member State of Presentation/Control (at final destination)	
Input: Decision to inform the holders of an AEOS authorisation about control in advance	
Description: The MS of Presentation/Control (at final destination) makes a decision whether the Person filing and the Carrier (where applicable) that hold an AEOS authorisation will receive an advance control notification.	
Output (Final situation): Person filing and Carrier (where applicable) that hold an AEOS authorisation will receive an advance control notification.	

2.1.9.1 Business Process Model

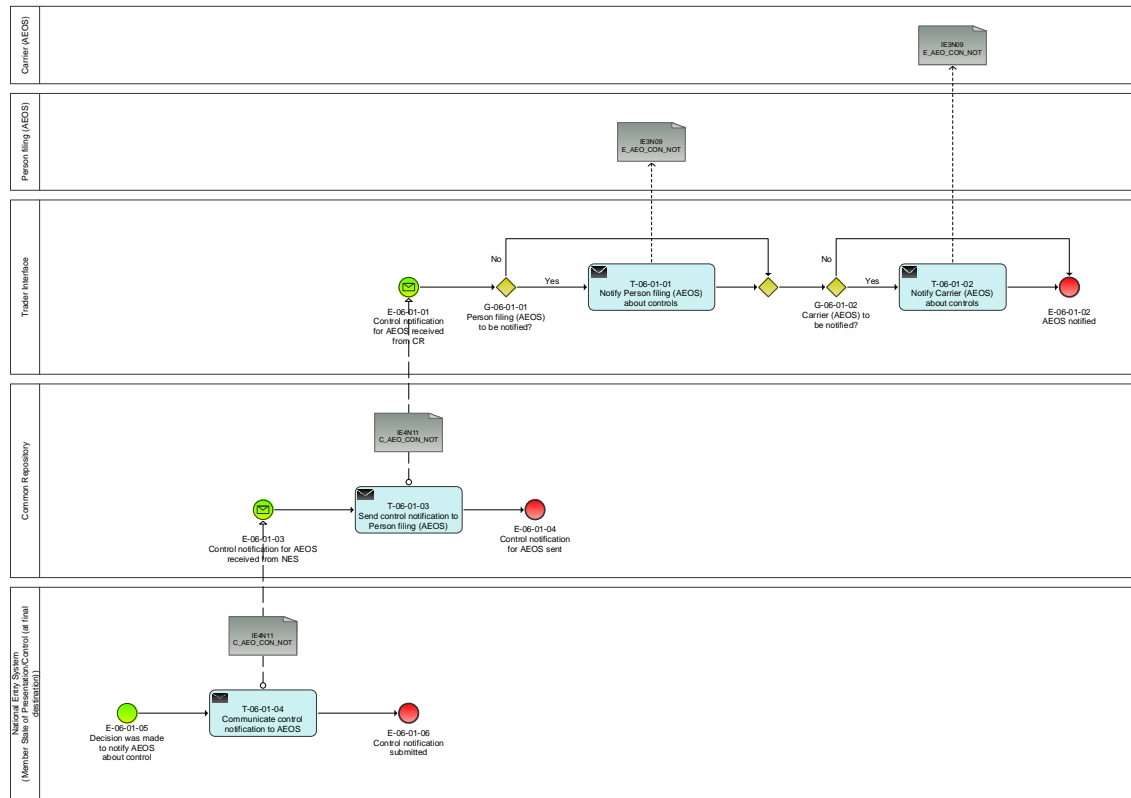


Figure 10: L4-ICS2-06-01 Handle AEO notification sub-process

## 2.1.9.2 Tasks

## 2.1.9.2.1 T-06-01-01 – Notify Person filing (AEOS) about controls

Notify Person filing (AEOS) about controls	T-06-01-01
System component: TI	
Input: Control notification for AEOS received from CR	
Description: The Person filing (AEOS) is informed about the intended control in advance via the message IE3N09 [Msg: E_AEO_CON_NOT].	
Output (Final situation): The control was notified to the Person filing (AEOS).	

## 2.1.9.2.2 T-06-01-02 – Notify Carrier (AEOS) about controls

Notify Carrier (AEOS) about controls	T-06-01-02
System component: TI	
Input: Control notification for AEOS received from CR	
Description: The carrier (AEOS) is informed about the intended control in advance via the message IE3N09 [Msg: E_AEO_CON_NOT].	
Output (Final situation): The control was notified to the carrier (AEOS).	

## 2.1.9.2.3 T-06-01-03 – Send control notification to Person filing (AEOS)

Send control notification to Person filing (AEOS)	T-06-01-03
System component: CR	
Input: Control notification received from NES (MS of Presentation and/or Control (at final destination))	
Description: The notification to the Person filing (AEOS) about the intended control is sent to the TI via the message IE4N11 [Msg: C_AEO_CON_NOT].	
Output (Final situation): The notification to the Person filing (AEOS) is available at the TI.	

## 2.1.9.2.4 T-06-01-04 – Communicate control notification to AEOS

Communicate control notification to AEOS	T-06-01-04
System component: NES (MS of Presentation and/or Control (at final destination))	
Input: Decision was made to notify the AEOS about control	
Description: The notification to the Person filing (AEOS) about the intended control is communicated to the CR via the message IE4N11 [Msg: C_AEO_CON_NOT].	
Output (Final situation): The notification to the Person filing (AEOS) is available in the CR.	

## 2.1.9.3 Events

## 2.1.9.3.1 E-06-01-01 – Control notification for AEOS received from CR

Control notification for AEOS received from CR	E-06-01-01
System component: TI	
Description: TI has received the control notification for AEOS in form of the message IE4N11 [Msg: C_AEO_CON_NOT] from the CR.	

## 2.1.9.3.2 E-06-01-02 - AEOS notified

AEOS notified	E-06-01-02
System component: NES (Member State of Presentation/Control (at final destination))	
Description: AEOS was notified about controls in advance.	

## 2.1.9.3.3 E-06-01-03 – Control notification for AEOS received from NES

Control notification for AEOS received from NES	E-06-01-03
System component: CR	
Description: CR has received the control notification for AEOS in form of the message IE4N11 [Msg: C_AEO_CON_NOT].	

## 2.1.9.3.4 E-06-01-04 – Control notification for AEOS sent

Control notification for AEOS sent	E-06-01-04
System component: CR	
Description: CR has sent the control notification for AEOS in form of the message IE4N11 [Msg: C_AEO_CON_NOT] to the TI.	

## 2.1.9.3.5 E-06-01-05 - Decision was made to notify AEOS about control

Decision was made to notify AEOS about control	E-06-01-05
System component: NES (Member State of Presentation/Control (at final destination))	
Description: Decision was made to notify AEOS about control in advance.	

## 2.1.9.3.6 E-06-01-06 - Control notification submitted

Control notification submitted	E-06-01-06
System component: NES (Member State of Presentation/Control (at final destination))	
Description: The control notification was submitted to the CR.	

## 2.1.9.4 Gateways

## 2.1.9.4.1 G-06-01-01 – Person filing (AEOS) to be notified?

Person filing (AEOS) to be notified?	G-06-01-01
System component: TI	
Input: Control notification for AEOS received from CR	
Description: The Person filing is to be notified about the control when <ul style="list-style-type: none"> <li>The Person filing holds the AEOS authorisation.</li> </ul>	

## 2.1.9.4.2 G-06-01-02 – Carrier (AEOS) to be notified?

Carrier (AEOS) to be notified?	G-06-01-02
System component: TI	
Input: Control notification for AEOS received from CR	
Description: The Carrier is to be notified when <ul style="list-style-type: none"> <li>Carrier holds the AEOS authorisation;</li> <li>Carrier is different from the Person filing;</li> <li>Carrier is connected to the TI.</li> </ul>	

## 2.1.10L4-ICS2-07 – Amend filing

Amend filing	L4-ICS2-07
Organisation: National Customs Administration of Responsible Member State	
Input: Amendment of ENS filing	
Description: An original ENS filing can be amended by an amendment filing which refers to the original filing by its MRN. The amendment of an ENS has to be filed by the declarant or the representative that filed the original ENS filing.	
Output (Final situation): The ENS filing is amended and processed again with the amended data depending on the lifecycle of the original ENS.	

2.1.10.1 Business Process Model

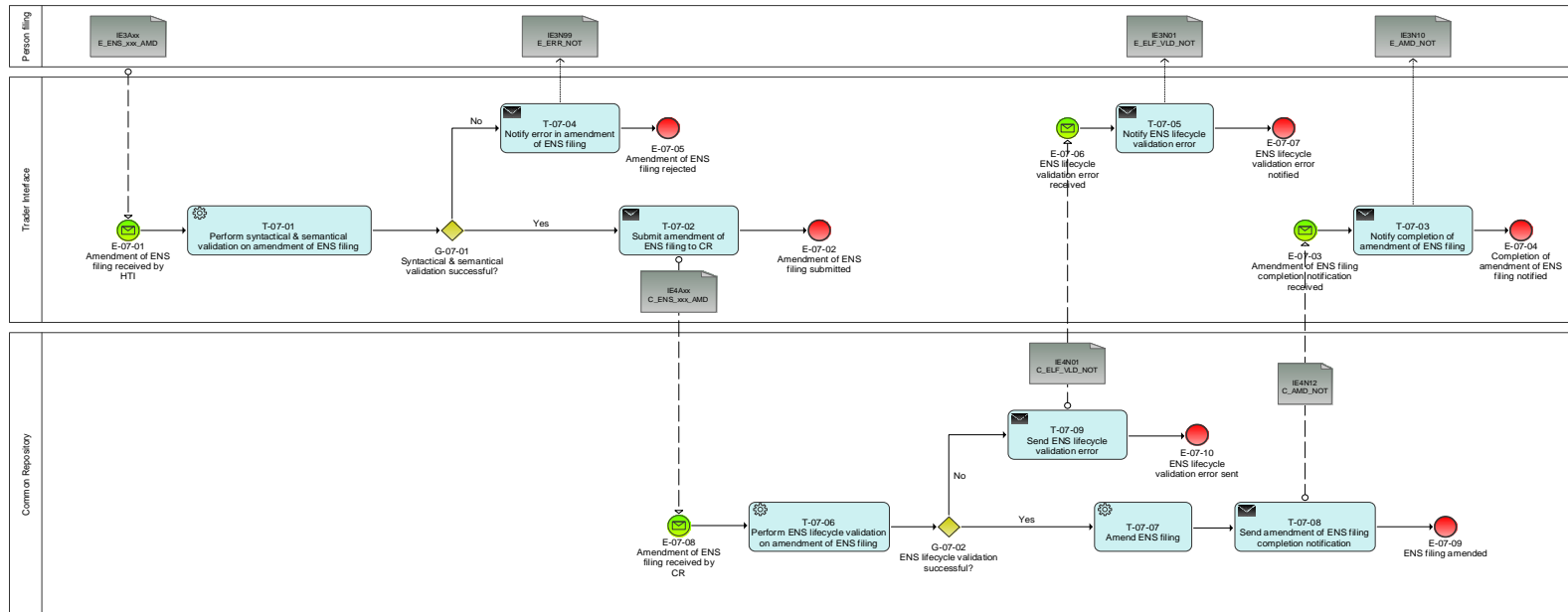


Figure 11: L4-ICS2-07 Amend filing sub-process

## 2.1.10.2 Tasks

## 2.1.10.2.1 T-07-01 – Perform syntactical &amp; semantical validation on amendment of ENS filing

Perform syntactical & semantical validation on amendment of ENS filing	T-07-01
System component: TI	
Input: Amendment of ENS filing received	
Description: The received amendment is validated in an automated process. It comprises the validation against the message rules and conditions, as well as the relevant reference data which is valid at the date of the reception. The messages rules and conditions and relevant reference data are defined in <b>[R02R02]</b> ICS2 Information Exchange Messages.	
Output (Final situation): The validation will have the following possible outcomes: <ul style="list-style-type: none"> <li>• Successful;</li> <li>• Unsuccessful, in which case <ul style="list-style-type: none"> <li>○ the error description will be generated</li> </ul> </li> </ul>	

Formatiert: Schriftart: Fett

## 2.1.10.2.2 T-07-02 – Submit amendment of ENS filing to CR

Submit amendment of ENS filing to the CR	T-07-02
System component: TI	
Input: Positively validated amendment of ENS filing	
Description: The amendment of ENS filing is submitted to the CR via the message IE4AXX [Msg: C_ENS_XXX_AMD].	
Output (Final situation): The amendment of ENS filing was submitted to the CR.	

## 2.1.10.2.3 T-07-03 - Notify completion of amendment of ENS filing

Notify completion of amendment of ENS filing	T-07-03
System component: TI	
Input: Amendment of ENS filing completion notification received	
Description: The message IE3N10 [Msg: E_AMD_NOT] is generated and sent to the Person filing the amendment. It informs about successful amendment of the ENS filing.	
Output (Final situation): The Person filing is notified that the amendment of ENS filing was processed successfully.	

## 2.1.10.2.4 T-07-04 – Notify error in amendment of ENS filing

Notify error in amendment of ENS filing	T-07-04
System component: TI	
Input: Notification of error in amendment of ENS filing received	
Description: The information about a validation error is sent to the Person filing the amendment via the message IE3N99 [Msg: E_ERR_NOT].	
Output (Final situation): The Person filing the amendment is informed about unsuccessful ENS lifecycle validation of the amendment of ENS filing.	

## 2.1.10.2.5 T-07-05 – Notify ENS lifecycle validation error

Notify ENS lifecycle validation error	T-07-05
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System component: TI
Input: ENS lifecycle validation error received
Description: The information about unsuccessful ENS lifecycle validation is sent to the Person filing the amendment via the message IE3N01 [Msg: E_ELF_VLD_NOT].
Output (Final situation): The Person filing the amendment is informed about unsuccessful ENS lifecycle validation of the amendment of ENS filing.

## 2.1.10.2.6 T-07-06 – Perform ENS-lifecycle validation on amendment of ENS filing

Perform ENS lifecycle validation on amendment of ENS filing	T-07-06
System component: CR	
Input: Amendment of ENS filing received	
Description The ENS lifecycle validation for the amendment of an ENS filing comprises the following checks: <ul style="list-style-type: none"> <li>• The ENS filing with the same MRN as the MRN <b>[R02R02: IE4Axx / MRN]</b> contained in the received message IE4Axx [Msg: C_ENS_xxx_AMD] exists.</li> <li>• The original ENS filing and the corresponding ENS are in an appropriate state.</li> <li>• That no data elements were amended which are not allowed to be amended.</li> <li>• The person filing the amendment needs to be the declarant <b>[R02R02: IE4Fxx / Declarant]</b> or the representative <b>[R02R02: IE4Fxx / Representative]</b> that filed the original ENS filing IE4Fxx [Msg: C_ENS_xxx_DEC].</li> </ul> <p>- If the ENS lifecycle validation is successful, the original ENS filing is amended.</p> <p>If the ENS lifecycle validation fails, the original ENS filing remains as is.</p>	
Output (Final situation): The original ENS filing will either be amended or it will not be affected at all.	

Formatiert: Schriftart: Fett, Kursiv

Formatiert: Schriftart: Fett, Kursiv

Formatiert: Schriftart: Fett, Kursiv

## 2.1.10.2.7 T-07-07 – Amend ENS filing

Amend ENS filing	T-07-07
System component: CR	
Input: Accepted amendment	
Description: The original ENS filing is amended.	
Output (Final situation): The original ENS filing is amended.	

## 2.1.10.2.8 T-07-08 - Send amendment of ENS filing completion notification

Send amendment of ENS filing completion notification	T-07-08
System component: CR	
Input: Amended ENS filing	
Description: The message IE4N12 [Msg: C_AMD_NOT] is generated and sent to the TI. This informs about successful amendment of the ENS filing by the CR.	
Output (Final situation): The TI is notified that the amendment of ENS filing was processed successfully by the CR.	

## 2.1.10.2.9 T-07-09 – Send ENS lifecycle validation error

Send ENS lifecycle validation error	T-07-09
System component: CR	
Input: Outcome of Task: <b>T-07-05 – Notify ENS lifecycle validation error</b>	

Formatiert: Table

Formatiert: Schriftart: +Textkörper (Calibri), Englisch (Vereinigtes Königreich)

Formatiert: Englisch (Vereinigtes Königreich)



Notify ENS lifecycle validation error	T-07-05
System component: TI	
Input: ENS lifecycle validation error received	
Description: The information about unsuccessful ENS lifecycle validation is sent to the Person filing the amendment via the message IE3N01 [Msg: E_ELF_VLD_NOT].	
Output (Final situation): The Person filing the amendment is informed about unsuccessful ENS lifecycle validation of the amendment of ENS filing.	

Formatiert: Table, Links

Formatierte Tabelle

#### T-07-06 – Perform ENS-lifecycle validation on amendment of ENS filingT-07-05 – Notify ENS lifecycle validation error

Notify ENS lifecycle validation error	T-07-05
System component: TI	
Input: ENS lifecycle validation error received	
Description: The information about unsuccessful ENS lifecycle validation is sent to the Person filing the amendment via the message IE3N01 [Msg: E_ELF_VLD_NOT].	
Output (Final situation): The Person filing the amendment is informed about unsuccessful ENS lifecycle validation of the amendment of ENS filing.	

#### T-07-06 – Perform ENS lifecycle validation on amendment of ENS filing

Description: The information about unsuccessful ENS lifecycle validation is sent to the TI, via the message IE4N01 [Msg: C_ELF_VLD_NOT].	
Output (Final situation): The TI is informed about unsuccessful ENS lifecycle validation of the amendment of ENS filing.	

### 2.1.10.3 Events

#### 2.1.10.3.1 E-07-01 – Amendment of ENS filing received by TI

Amendment of filing received	E-07-01
System component: TI	
Description: An amendment of an original ENS filing is received by the TI.	

#### 2.1.10.3.2 E-07-02 - Amendment of ENS filing submitted

Amendment of ENS filing submitted	E-07-02
System component: TI	
Description: An amendment of an original ENS filing is submitted to the CR.	

#### 2.1.10.3.3 E-07-03 – Amendment of ENS filing completion notification received

Amendment of ENS filing completion notification received	E-07-03
System component: TI	
Description: TI received information that the original ENS filing was amended by the CR.	

#### 2.1.10.3.4 E-07-04 – Completion of amendment of ENS filing notified

Completion of amendment of ENS filing notified	E-07-04
System component: TI	

## Description:

The completion of amendment of ENS filing was notified to the Person filing.

## 2.1.10.3.5 E-07-05 – Amendment of ENS filing rejected

Amendment of ENS filing rejected	E-07-05
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System component: TI

## Description:

The amendment of ENS filing is rejected.

## 2.1.10.3.6 E-07-06 – ENS lifecycle validation error received

ENS lifecycle validation error received	E-07-06
---	---------

System component: TI

## Description:

TI received information that the ENS lifecycle validation of the amendment of ENS filing in the CR was not successful.

## 2.1.10.3.7 E-07-07 – ENS lifecycle validation error notified

ENS lifecycle validation error notified	E-07-07
---	---------

System component: TI

## Description:

TI notifies the Person filing an amendment of an ENS filing that the ENS lifecycle validation of the amendment of ENS filing in the CR was not successful.

## 2.1.10.3.8 E-07-08 – Amendment of ENS filing received by CR

Amendment of filing received	E-07-08
------------------------------	---------

System component: CR

## Description:

An amendment of an original ENS filing is received by the CR.

## 2.1.10.3.9 E-07-09 – ENS filing amended

ENS filing amended	E-07-09
--------------------	---------

System component: CR

## Description:

The original ENS filing was amended in the CR.

This end event will trigger the following sub-processes:

- L4-ICS2-02 - Prepare ENS for risk analysis~~L4-ICS2-02 - Prepare ENS for risk analysis~~
- ~~Fehler! Verweisquelle konnte nicht gefunden werden. Error! Reference source not found.~~, only for the amended ENS filing that meets the following condition:
  - o the reference ID to an active RFI request ~~[R02R02: IE3Axx / Referral request reference]~~ is contained in the amendment message IE3Axx [Msg: E\_ENS\_XXX\_AMD].

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Formatiert: Schriftart: Fett, Kursiv

## 2.1.10.3.10 E-07-10 – ENS lifecycle validation error sent

ENS lifecycle validation error sent	E-07-10
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System component: CR

## Description:

An ENS lifecycle validation error was sent to TI.

## 2.1.10.4 Gateways

## 2.1.10.4.1 G-07-01 – Syntactical &amp; semantical validation successful?

Syntactical & semantical validation successful?	G-07-01
---	---------

System component: TI

Input: Validation results
Description: In case the results were positive, the answer is 'Yes', otherwise it is 'No'.

2.1.10.4.2 G-07-02 – ENS lifecycle validation successful?

ENS lifecycle validation successful?	G-07-02
System component: CR	
Input: Validation results	
Description: In case the results were positive, the answer is 'Yes', otherwise it is 'No'.	

## 2.1.11 L4-ICS2-08 – Invalidate filing

Invalidate filing	L4-ICS2-08
Organisation: National Customs Administration of Responsible Member State	
Input: Accepted invalidation request file or 200 day timer expiry.	
Description: The ENS filing for which the 200 day timer expired or the ENS filing referred to in the invalidation request from the Person filing will be invalidated by assigning the state 'Invalidated'.	
Output (Final situation): The ENS filing is no longer processed and will be deleted (moved to an archive).	

2.1.11.1 Business Process Model

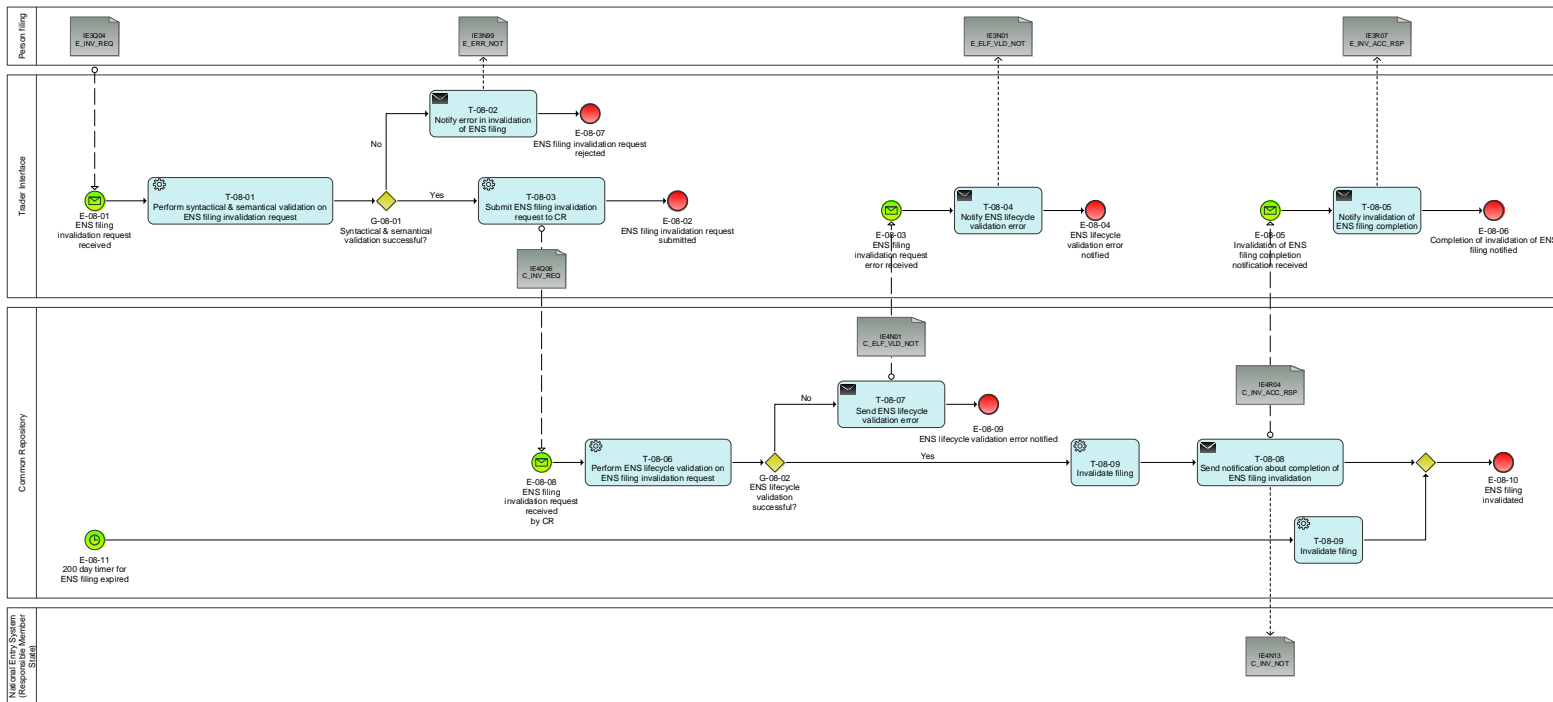


Figure 12: L4-ICS2-08 Invalidate filing sub-process

## 2.1.11.2 Tasks

## 2.1.11.2.1 T-08-01 – Perform syntactical and semantical validation on ENS filing invalidation request

Perform syntactical & semantical validation on ENS filing invalidation request	T-08-01
System component: TI	
Input: ENS filing invalidation request received	
Description: The received ENS filing invalidation request is validated in an automated process. It comprises the validation against the message rules and conditions, as well as the relevant reference data which is valid at the date of the reception. The messages rules and conditions and relevant reference data are defined in <b>[R02R02]</b> ICS2 Information Exchange Messages.	
Output (Final situation): The validation will have the following possible outcomes: <ul style="list-style-type: none"> <li>• Successful;</li> <li>• Unsuccessful, in which casethe error description will be generated.</li> </ul>	

Formatiert: Schriftart: Fett

## 2.1.11.2.2 T-08-02 – Notify error in invalidation of ENS filing

Notify error in invalidation of ENS filing	T-08-02
System component: TI	
Input: Unsuccessful ENS filing invalidation request validation results	
Description: The information about unsuccessful semantical and syntactical validation is sent to the Person filing the ENS filing invalidation request via the message IE3N99 [Msg: E_ERR_NOT].	
Output (Final situation): The Person filing the invalidation request is informed about unsuccessful semantical and syntactical validation.	

## 2.1.11.2.3 T-08-03 – Submit ENS filing invalidation request to CR

Submit ENS filing invalidation request to CR	T-08-03
System component: TI	
Input: Positively validated ENS filing invalidation request	
Description: The ENS filing invalidation request is submitted to the CR via the message IE4Q06 [Msg: C_INV_REQ].	
Output (Final situation): The ENS filing invalidation request is available at the CR.	

## 2.1.11.2.4 T-08-04 – Notify ENS lifecycle validation error

Notify ENS lifecycle validation error	T-08-04
System component: TI	
Input: ENS filing invalidation request error received from CR.	
Description: The information about unsuccessful semantical and syntactical validation or ENS lifecycle validation is sent to the Person filing the ENS filing invalidation request via the message IE3N01 [Msg: E_elf_VLD_NOT].	
Output (Final situation): The Person filing the invalidation request is informed about unsuccessful semantical and syntactical validation or ENS lifecycle validation.	

## 2.1.11.2.5 T-08-05 - Notify invalidation of ENS filing completion

Notify invalidation of ENS filing completion	T-08-05
System component: TI	
Input: Invalidation of ENS filing completion notification received	
Description: The message IE3R07 [Msg: E_INV_ACC_RSP] is generated and sent to the Person filing the invalidation request. It informs about successful invalidation of the ENS filing.	
Output (Final situation): The Person filing is notified that the invalidation of ENS filing was processed successfully.	

## 2.1.11.2.6 T-08-06 – Perform ENS-lifecycle validation on ENS filing invalidation request

Perform ENS-lifecycle validation on ENS filing invalidation request	T-08-06
System component: CR	
Input: ENS filing invalidation request	
Description The ENS lifecycle validation for the ENS filing invalidation request comprises the following checks: <ul style="list-style-type: none"> <li>The ENS filing with the same MRN as the MRN [R02R02: IE4Q06 / MRN] contained in the received message IE4Q06 [Msg: C_INV_REQ] exists.</li> <li>The ENS filing and the corresponding ENS are in an appropriate state. The person filing the invalidation request needs to be the declarant [R02R02: IE3Fxx / Declarant] or the representative [R02R02: IE3Fxx / Representative] of the original ENS filing.</li> </ul> If the ENS lifecycle validation is successful, the original ENS filing is invalidated. If the ENS lifecycle validation fails, the original ENS filing remains as is.	
Output (Final situation): The original ENS filing will either be invalidated or it will not be affected at all.	

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## 2.1.11.2.7 T-08-07 – Send ENS lifecycle validation error

Send ENS lifecycle validation error	T-08-07
System component: CR	
Input: Outcome of Task: <del>T-08-06 – Perform ENS-lifecycle validation on ENS filing invalidation request</del> <del>T-08-06 – Perform ENS lifecycle validation on ENS filing invalidation request</del>	
Description: The TI is notified of the ENS lifecycle validation error via the message IE4N01 [Msg: C_ELF_VLD_NOT].	
Output (Final situation): The notification of ENS lifecycle validation is generated and sent to the TI.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.11.2.8 T-08-08 - Send notification about completion of ENS filing invalidation

Send notification about completion of ENS filing invalidation	T-08-08
System component: CR	
Input: Invalidated ENS filing	
Description: The message IE4R04 [Msg: C_INV_ACC_RSP] is generated and sent to the TI to inform about successful invalidation of the ENS filing by the CR. The message IE4N13 [Msg: C_INV_NOT] is generated and sent to the NES (RMS) to inform about invalidation of the ENS filing by the CR.	
Output (Final situation): The TI and NES (RMS) is notified that the invalidation of ENS filing was processed successfully by the CR.	

## 2.1.11.2.9 T-08-09 – Invalidate filing

Invalidate filing	T-08-09
System component: CR	
Input: Accepted ENS filing invalidation request or 200 day timer expiry	

Description: The ENS filing is invalidated and obtains the state 'Invalidated'.
Output (Final situation): The ENS filing is invalidated.

### 2.1.11.3 Events

#### 2.1.11.3.1 E-08-01 – ENS filing invalidation request received

ENS filing invalidation request received	E-08-01
System component: TI	
Description: An ENS filing invalidation request is received from Person filing via the message IE3Q04 [Msg: E_INV_REQ].	

#### 2.1.11.3.2 E-08-02 – ENS filing invalidation request submitted

ENS filing invalidation request submitted	E-08-02
System component: TI	
Description: An ENS filing invalidation request is submitted to the CR.	

#### 2.1.11.3.3 E-08-03 – ENS filing invalidation request error received

ENS filing invalidation request error received	E-08-03
System component: TI	
Description: ENS filing invalidation request error received by the TI.	

#### 2.1.11.3.4 E-08-04 - ENS lifecycle validation error notified

ENS lifecycle validation error notified	E-08-04
System component: TI	
Description: Error notification was sent to person filing.	

#### 2.1.11.3.5 E-08-05 – Invalidation of ENS filing completion notification received

Invalidation of ENS filing completion notification received	E-08-05
System component: TI	
Description: TI received information that the related ENS filing was invalidated in the CR.	

#### 2.1.11.3.6 E-08-06 – Completion of invalidation of ENS filing notified

Completion of invalidation of ENS filing notified	E-08-06
System component: TI	
Description: The completion of invalidation of ENS filing was notified to the Person filing.	

#### 2.1.11.3.7 E-08-07 – ENS filing invalidation request rejected

ENS filing invalidation request rejected	E-08-07
System component: TI	
Description: ENS filing invalidation request was rejected and notified to the Person filing.	

#### 2.1.11.3.8 E-08-08 - ENS filing invalidation request received by CR



ENS filing invalidation request received by CR	E-08-08
System component: TI	
Description: An invalidation of ENS filing request is received from TI via the message IE4Q06 [Msg: C_INV_REQ].	

## 2.1.11.3.9 E-08-09 - ENS lifecycle validation error notified

ENS lifecycle validation error notified	E-08-09
System component: CR	
Description: Error notification was sent to TI.	

## 2.1.11.3.10 E-08-10 – ENS filing invalidated

ENS filing invalidated	E-08-10
System component: CR	
Description: The filing was invalidated.	

## 2.1.11.3.11 E-08-11 – 200 day timer for ENS filing expired

200 day timer for ENS filing expired	E-08-11
System component: CR	
Description: The 200 day timer which was started after registration of the ENS filing has expired and the relevant house consignments have not obtained the state 'Arrived' or a later state.	

## 2.1.11.4 Gateways

## 2.1.11.4.1 G-08-01 – Syntactical &amp; semantical validation successful?

Syntactical & semantical validation successful?	G-08-01
System component: CR	
Input: Syntactical & semantical validation results	
Description: In case the validation results were positive, the answer is 'Yes'; Otherwise it is 'No'.	

## 2.1.11.4.2 G-08-02 – ENS lifecycle validation successful?

ENS lifecycle validation successful?	G-08-02
System component: CR	
Input: ENS lifecycle validation results	
Description: In case the validation results were positive, the answer is 'Yes'; Otherwise it is 'No'.	

## 2.1.12L4-ICS2-09 – e-Screening by OMS

e-Screening by OMS	L4-ICS2-09
Organisation: National Customs Administration of Other Member State	
Input: Relevant parameters based on the national knowledge	
<p>Description:</p> <p>There will be circumstances where a MS does not act as a RMS or IMS, but holds nationally a specific relevant risk information in relation to a presence of security and safety risks (for example in the case a DNL was issued by that MS when previously acting as a RMS, and there is a need to immediately identify goods/consignments with similar characteristics in the supply chain, or that MS have a specific information or intelligence in relation to the CRC category 2 but the goods are likely to be moved in a route that would exclude it from being the RMS or IMS).</p> <p>In order to cover such critical gaps this particular MS may e-screen ENS data made available to it via the CR by application of narrowly defined targeted and time-defined parameters, and provide relevant outcomes to the RMS. Once the implemented parameters produce an automated hit, that OMS becomes an IMS and is given on this basis access to the relevant ENS data. The MS needs to finalise e-screening process as per the rules applicable for the IMS e-screening.</p>	
<p>Output (Final situation):</p> <p>The Member State submitting the risk related parameters is either involved in an on-going risk analysis process or potentially involved in a future one.</p>	

### 2.1.12.1 Business Process Model

Sub-process L4-ICS2-09: e-Screening by OMS (2018-11-08) v1.11

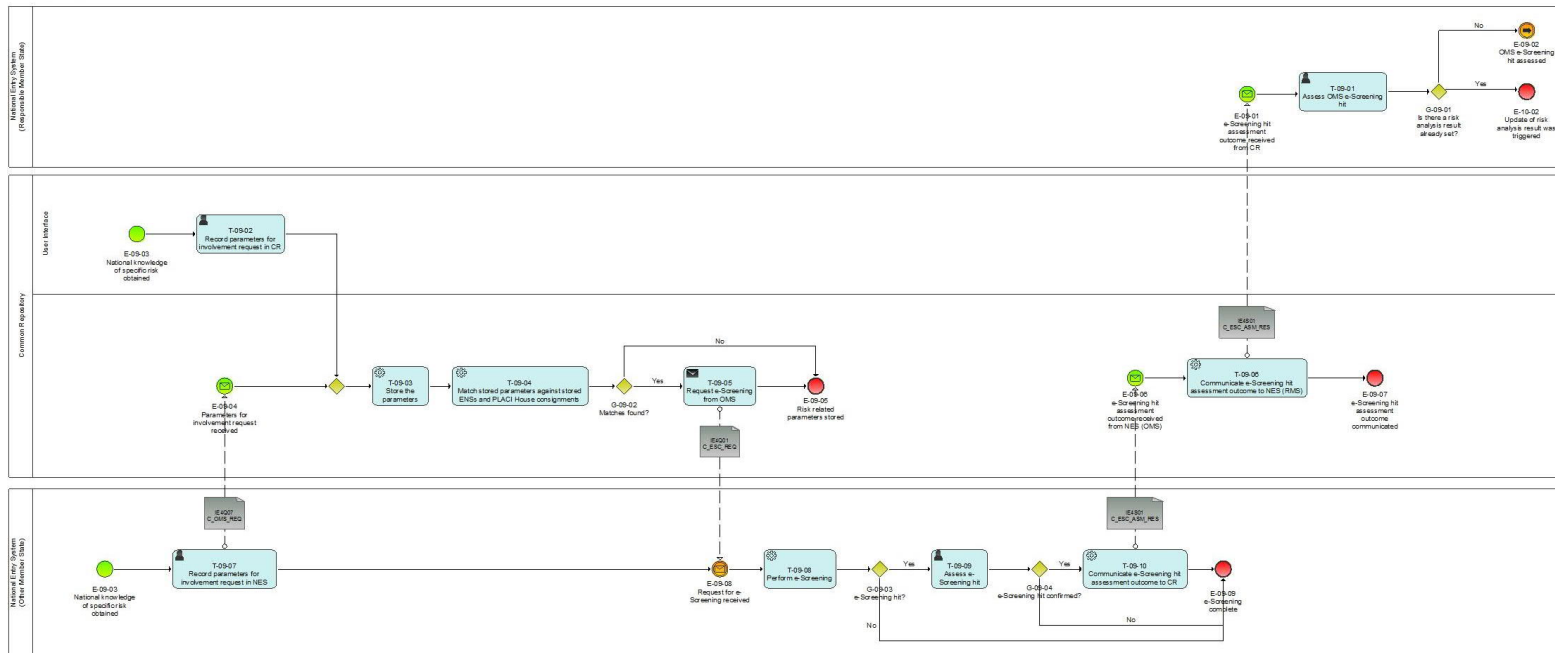


Figure 13: L4-ICS2-09 e-Screening by OMS sub-process

## 2.1.12.2 Tasks

## 2.1.12.2.1 T-09-01 - Assess OMS e-Screening hit

Assess OMS e-Screening hit	T-09-01
System component: NES (RMS)	
Input: e-Screening hit assessment outcome communicated by the OMS	
<p>Description:</p> <p>A confirmed e-Screening hit was communicated by the OMS and is now assessed by the risk analyst of the RMS.</p> <p>The outcome of this assessment performed by the risk analyst can be a decision either to update the already set risk analysis result, for the cases that it is has been already set, or to leave it as is.</p> <p>The possible options for setting (or updating) a risk analysis result are specified in Task: <a href="#">T-03-12 - Record RA result and control recommendation</a></p>	
<p>Output (Final situation):</p> <p>The assessment of a confirmed e-Screening hit that was communicated by an Other Member State was completed and any necessary risk mitigation actions were decided.</p>	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.12.2.2 T-09-02 – Record parameters for involvement request in CR

Record parameters for involvement request in CR	T-09-02
System component: CR	
Input: Risk related national knowledge	
<p>Description:</p> <p>The risk analyst of a Member State records parameters and thereby defines specific cases when the Member State (OMS) requests to become involved in e-Screening even if normally this Member State would not be an IMS according to the rules on determination of the roles of the MSs in the risk analysis process, as defined in Tasks: <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b><del>Error! Reference source not found.</del><b>Fehler! Verweisquelle konnte nicht gefunden werden.</b><del>Error! Reference source not found.</del> and <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b><del>Error! Reference source not found.</del> of the Sub-process: <a href="#">L4-ICS2-02 - Prepare ENS for risk analysis</a></p> <p><i>Example: In order to become involved the OMS records a specific container number and a defined time frame the container would have to appear in an ENS filing. When the defined parameters match an ENS filing the OMS becomes an IMS and receives a request for e-Screening for the matched filing.</i></p>	
<p>Output (Final situation):</p> <p>The parameters are recorded in the CR.</p>	

Formatiert: Schriftart: +Textkörper (Calibri), Englisch (Vereinigtes Königreich)

## 2.1.12.2.3 T-09-03 – Store parameters

Store parameters	T-09-03
System component: CR	
Input: Parameters for involvement request received	
<p>Description:</p> <p>The submitted parameters are stored in the CR.</p>	
<p>Output (Final situation):</p> <p>The stored parameters are available at the CR.</p>	

## 2.1.12.2.4 T-09-04 – Match stored parameters against stored ENSs

Match stored parameters against stored ENSs and PLACI house consignments	T-09-04
System component: CR	
Input: Stored risk related parameters	
Description: The CR checks whether any ENS or PLACI house consignment matches the stored parameters. The system will only take into account those parameters whose validity period matches the current date. The system will only look for ENS(s) or PLACI house consignments for which the Member State that submitted the parameters is not assigned the role of the Responsible or Involved Member State, hence it is considered to be an OMS. A stored ENS or PLACI house consignment must be in an applicable state for the OMS to be involved in the risk analysis process. The Member State that submitted the risk related parameters will be considered an Involved Member State.	
Output (Final situation): ENS(s) or PLACI house consignment(s) that match the parameters are identified and the Member State is considered an Involved Member State for the risk analysis process for these ENS(s) PLACI house consignment(s).	

## 2.1.12.2.5 T-09-05 - Request e-Screening from OMS

Request e-Screening from OMS	T-09-05
System component: CR	
Input: Outcome of Task: <del>T-09-04 – Match stored parameters against stored ENSs</del> <b>T-09-04 – Match stored parameters against stored ENSs</b> and PLACI house consignment(s)	
Description: A request for e-Screening is communicated to the NES (OMS) via the message IE4Q01 [Msg: C_ESC_REQ].	
Output (Final situation): Request for e-Screening is communicated to the NES (OMS).	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.12.2.6 T-09-06 – Communicate e-Screening hit assessment outcome to NES (RMS)

Communicate e-Screening hit assessment outcome to NES (RMS)	T-09-06
System component: CR	
Input: Outcome of Task: <del>T-09-09 - Assess e-Screening hit</del> <b>T-09-09 - Assess e-Screening hit</b>	
Description: The assessment outcome from the e-Screening hit (true positive) of an OMS is communicated by CR to the NES (RMS) via the message IE4S01 [Msg: C_ESC_ASM_RES].	
Output (Final situation): The e-Screening hit assessment outcome of the OMS is made available to the RMS.	

Formatiert: Bold, Schriftart: +Textkörper (Calibri)

## 2.1.12.2.7 T-09-07 – Record parameters for involvement request in NES

Record parameters for involvement request in NES	T-09-07
System component: NES (OMS)	
Input: Risk related parameters to be recorded	
Description: The risk analyst of a Member State records parameters and thereby defines specific cases when the Member State (OMS) requests to become involved in e-Screening even if normally this Member State would not be an IMS according to the rules on determination of the roles of the MSs in the risk analysis process, as defined in Tasks: <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b> <b>Error! Reference source not found.</b> <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b> <b>Error! Reference source not found.</b> <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b> <b>Error! Reference source not found.</b> and <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b> <b>Error! Reference source not found.</b> of the Sub-process: <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b> <b>Error! Reference source not found.</b> of the Sub-process: <b>Fehler! Verweisquelle konnte nicht gefunden werden.</b> <b>Error! Reference source not found.</b> <i>Example: In order to become involved the OMS records a specific container number and a defined time frame the container would have to appear in an ENS filing. When the defined parameters match an ENS filing the OMS becomes an IMS and receives a request for e-Screening for the matched filing.</i> The recorded parameters are submitted to the CR via the message IE4Q07 [Msg: C_OMS_REQ].	
Output (Final situation): The parameters are recorded in the NES and submitted to the CR.	

Formatiert: Schriftart: +Textkörper (Calibri), Englisch (Vereinigtes Königreich)

## 2.1.12.2.8 T-09-08 - Perform e-Screening

Perform e-Screening	T-09-08
System component: NES (OMS)	
Input: e-Screening request	
Description: Received ENS filing or ENS is electronically screened against CRC category 2 and any potential additional national security and safety related risk profiles not falling in the scope of the CRC category 2.	
Output (Final situation): e-Screening can result in a hit or no hit.	

## 2.1.12.2.9 T-09-09 - Assess e-Screening hit

Assess e-Screening hit	T-09-09
System component: NES (OMS)	
Input: e-Screening hit	
Description: Result of the e-Screening (i.e. match/hit of CRC category 2 / potential relevant national profiles and information applicable either for air cargo specific risks, or those applicable for customs security and safety risks) is presented to the risk analyst. Customs risk analyst completes the e-Screening process through manual review and risk mitigation of the presented electronic result. The e-Screening assessment result is either 'true positive' or 'false positive'.	
Output (Final situation): e-Screening result can be 'true positive' or 'false positive'.	

## 2.1.12.2.10 T-09-10 – Communicate e-Screening hit assessment outcome to CR

Communicate e-Screening hit assessment outcome to CR	T-09-10
System component: NES (OMS)	
Input: Outcome of Task: <b>T-09-09 - Assess e-Screening hit</b> <b>T-09-09 - Assess e-Screening hit</b>	
Description: The assessment outcome from the e-Screening hit (true positive) of an OMS is communicated by NES (OMS) to the CR via the message IE4S01 [Msg: C_ESC_ASM_RES].	

Formatiert: Bold, Schriftart: +Textkörper (Calibri)

Output (Final situation):

The e-Screening hit assessment outcome of the IMS is made available to the CR.

### 2.1.12.3 Events

#### 2.1.12.3.1 E-09-01 - e-Screening hit assessment outcome received from CR

e-Screening hit assessment outcome received from CR	E-09-01
System component: NES (RMS)	
Description: An e-Screening hit assessment outcome was received from the CR.	

#### 2.1.12.3.2 E-09-02 - OMS e-Screening hit assessed

OMS e-Screening hit assessed	E-09-02
System component: NES (RMS)	
Description: The OMS's e-Screening hit was assessed.	

#### 2.1.12.3.3 E-10-02 – Update of risk analysis result was triggered

Update of risk analysis result was triggered	E-10-02
System component: NES (RMS)	
Description: The risk analyst of the RMS decides to update the previously set risk analysis result. This triggers the sub-process <del>L4-ICS2-10 – Update risk analysis result</del> L4 ICS2 10 – Update risk analysis result.	

#### 2.1.12.3.4 E-09-03 – National knowledge of specific risk obtained

National knowledge of specific risk obtained	E-09-03
System component: NES (OMS) or CR UI	
Description: New knowledge of specific risk was obtained by OMS.	

#### 2.1.12.3.5 E-09-04 – Parameters for involvement request received

Parameters for involvement request received	E-09-04
System component: CR	
Description: Parameters for involvement request were received from the NES (OMS).	

#### 2.1.12.3.6 E-09-05 – Risk related parameters stored

Risk related parameters stored	E-09-05
System component: CR	
Description: The received risk related parameters were stored in the CR.	

#### 2.1.12.3.7 E-09-06 - e-Screening hit assessment outcome received

e-Screening hit assessment outcome received from NES (OMS)	E-09-06
System component: CR	
Description: An e-Screening hit assessment outcome was received from the NES (OMS).	

#### 2.1.12.3.8 E-09-07 - e-Screening hit assessment outcome communicated

e-Screening hit assessment outcome communicated	E-09-07
System component: CR	

Formatiert: Schriftart: +Textkörper (Calibri)

Description:  
An e-Screening hit assessment outcome was communicated to the NES (RMS).

## 2.1.12.3.9 E-09-08 – Request for e-Screening received

Request for e-Screening received	E-09-08
----------------------------------	---------

System component: NES (OMS)
-----------------------------

Description:

An e-Screening request is received from the CR.

## 2.1.12.3.10 E-09-09 – e-Screening complete

e-Screening complete	E-09-09
----------------------	---------

System component: NES (OMS)
-----------------------------

Description:

The e-Screening is complete.

## 2.1.12.4 Gateways

## 2.1.12.4.1 G-09-01 – Is there a risk analysis result already set?

Is there a risk analysis result already set?	G-09-01
--	---------

System component: NES (RMS)
-----------------------------

Input: Assessed IMS e-Screening hit
-------------------------------------

Description:

The answer is 'Yes' when the matched ENS has already had a risk analysis process completed and a result set, otherwise it is 'No'.

## 2.1.12.4.2 G-09-02 – Matches found?

Matches found?	G-09-02
----------------	---------

System component: CR
----------------------

Input: Outcome of Task: <u>T-09-04 – Match stored parameters against stored ENSs</u>
--

Description:

The answer is 'Yes' when at least one ENS or ENS filing matched the stored parameters, otherwise it is 'No'.

## 2.1.12.4.3 G-09-03 – e-Screening hit?

E-Screening hit?	G-09-03
------------------	---------

System component: NES (OMS)
-----------------------------

Input: Outcome of Task: <u>T-09-08 - Perform e-Screening</u>
--

Description:

The answer is 'Yes' when the e-Screening generated a hit, otherwise it is 'No'.

## 2.1.12.4.4 G-09-04 – e-Screening hit confirmed?

E-Screening hit confirmed?	G-09-04
----------------------------	---------

System component: NES (OMS)
-----------------------------

Input: Outcome of Task: <u>T-09-09 - Assess e-Screening hit</u>
---

Description:

The answer is 'Yes' when the risk analyst of the OMS considers the generated e-Screening hit a 'true positive', otherwise it is 'No'.

Formatiert: Schriftart: +Textkörper (Calibri)

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Formatiert: Bold, Schriftart: +Textkörper (Calibri)



## 2.1.13L4-ICS2-10 – Update risk analysis result

Update risk analysis result	L4-ICS2-10
Organisation: National Customs Administration of Responsible Member State	
Input: e-risk analysis was re- triggered or risk analysis result was updated	
Description: The risk analyst of the Responsible Member State may <ul style="list-style-type: none"><li>- trigger the e-risk analysis to be repeated and subsequently update an already set risk analysis result, if applicable, or</li><li>- update the risk analysis result that was already set.</li></ul>	
Output (Final situation): An already set risk analysis result was either updated or not.	

2.1.13.1 Business Process Model

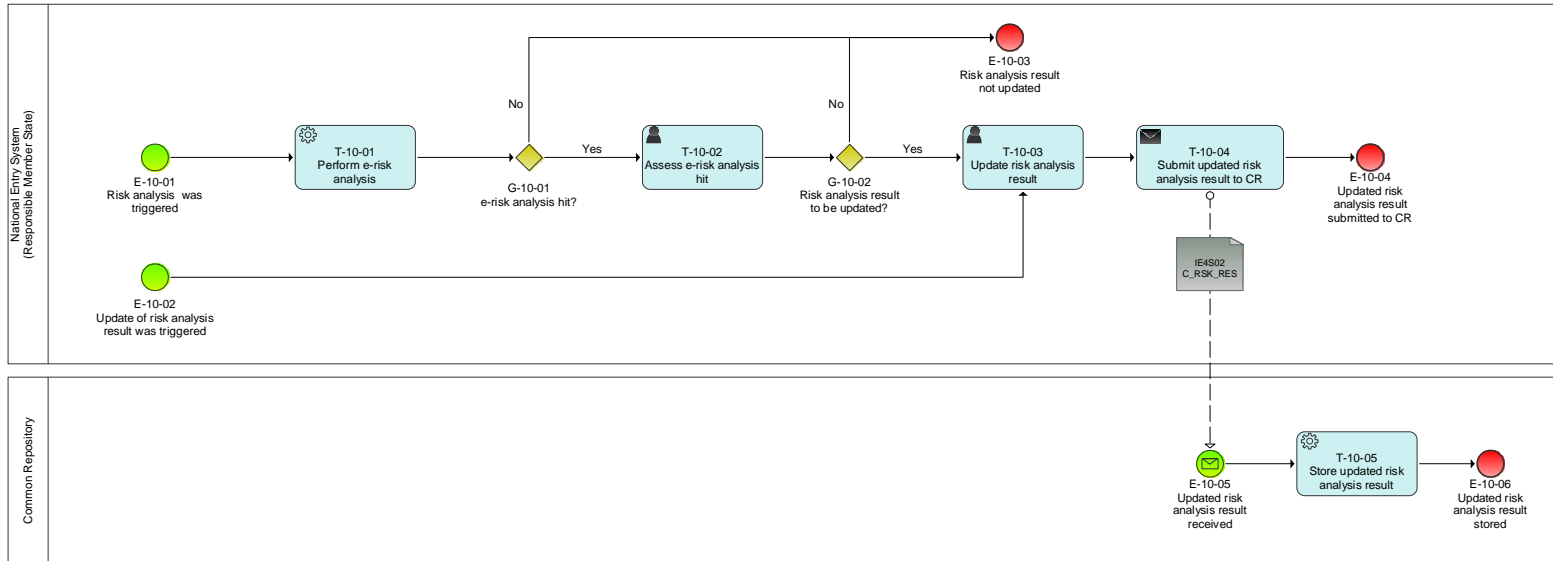


Figure 14: L4-ICS2-10 Update risk analysis result sub-process

2.1.13.2 Tasks

2.1.13.2.1 T-10-01 – Perform e-risk analysis

Perform e-risk analysis	T-10-01
System component: NES (RMS)	
Input: e-risk analysis was re-triggered	
Description: Received ENS or PLACI House consignment is electronically analysed against CRC category 1, CRC category 2 and any potential additional national security and safety related risk profiles not falling in the scope of the CRCs. Electronic risk analysis (e-risk analysis) either results in an automated 'match / hit' of a given CRC / national risk profile or not.	
Output (Final situation): e-risk analysis hit or no hit.	

2.1.13.2.2 T-10-02 - Assess e-risk analysis hit

Assess e-risk analysis hit	T-10-02
System component: NES (RMS)	
Input: e-risk analysis result	
Description: The risk analyst assesses the e-risk analysis hit by confirming as a true positive or rejecting it as a false positive. He also decides whether this affects the already set risk analysis result, in which case he proceeds with updating of the risk analysis result.	
Output (Final situation): The e-risk analysis hit was characterized as true or false positive. Decision was made on whether the already set risk analysis result should be updated.	

2.1.13.2.3 T-10-03 - Update risk analysis result

Update risk analysis result	T-10-03
System component: NES (RMS)	
Input: Assessed e-risk analysis hit	
Description: The risk analysis result for risk analysis is updated by the risk analyst of the RMS. The possible risk analysis results are specified in Task: <b>T-03-12 - Record RA result and control recommendation</b> of Sub-process: <b>L4-ICS2-03 - Perform risk analysis</b> .	
Output (Final situation): The risk analysis result is updated.	

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Formatiert: Bold, Schriftart: +Textkörper (Calibri)

2.1.13.2.4 T-10-04 – Submit updated risk analysis result to CR

Submit updated risk analysis result to CR	T-10-04
System component: NES (RMS)	
Input: Outcome of Task: <b>T-10-03 - Update risk analysis result</b>	
Description: The updated risk analysis result is submitted to the CR via the message IE4S02 [Msg: C_RSK_RES].	
Output (Final situation): The updated risk analysis result is available in the CR.	

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.13.2.5 T-10-05 – Store updated risk analysis result

Store updated RA result	T-10-05
-------------------------	---------

System component: CR
Input: Updated risk analysis results received
Description: The updated risk analysis result is stored in the CR.
Output (Final situation): The updated risk analysis result is stored in the CR.

### 2.1.13.3 Events

#### 2.1.13.3.1 E-10-01 – Risk analysis was triggered

Risk analysis was triggered	E-10-01
System component: NES (RMS)	
Description: The risk analyst of the RMS decides to re-perform the e-risk analysis.	

#### 2.1.13.3.2 E-10-02 – Update of risk analysis result was triggered

Update of risk analysis result was triggered	E-10-02
System component: NES (RMS)	
Description: The risk analyst of the RMS decides to update the previously set risk analysis result.	

#### 2.1.13.3.3 E-10-03 – Risk analysis result not updated

Risk analysis result not updated	E-10-03
System component: NES (RMS)	
Description: The risk analysis result was not updated.	

#### 2.1.13.3.4 E-10-04 – Updated RA result submitted to CR

Updated risk analysis result submitted to CR	E-10-04
System component: NES (RMS)	
Description: The updated risk analysis result was submitted to the CR.	

#### 2.1.13.3.5 E-10-05 – Updated risk analysis result received

Updated risk analysis result received	E-10-05
System component: CR	
Description: The updated risk analysis result from the NES (RMS) was received by the CR.	

#### 2.1.13.3.6 E-10-06 – Updated risk analysis result stored

Updated risk analysis result stored	E-10-06
System component: CR	
Description: The updated risk analysis result was stored in the CR.	

### 2.1.13.4 Gateways

#### 2.1.13.4.1 G-10-01 – e-risk analysis hit?

e-risk analysis hit?	G-10-01
System component: NES (RMS)	
Input: Outcome of Task: <u>T-10-01 – Perform e-risk analysis</u> <del>T-10-01 – Perform e-risk analysis</del>	

Formatiert: Schriftart: +Textkörper (Calibri)

Description:  
The answer is 'Yes' when the e-risk analysis generated a hit, otherwise it's 'No'.

2.1.13.4.2 G-10-02 – Risk analysis result to be updated?

Risk analysis result to be updated?	G-10-02
System component: NES (RMS)	
Input: Outcome of Task: <del>T-10-02 - Assess e-risk analysis hit</del> T-10-02 - Assess e-risk analysis hit	
Description The answer is 'Yes' if the risk analyst decided to update the risk analysis result, otherwise it's 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.14 L4-ICS2-11 – Update e-Screening assessment

Update e-Screening assessment	L4-ICS2-11
Organisation: National Customs Administration of Involved Member State	
Input: e-Screening hit assessment was updated or assessed e-Screening hit is available after expiration of timer	
<p>Description:</p> <p>The risk analyst of an Involved Member State may</p> <ul style="list-style-type: none"> <li>- update an assessment of an e-Screening hit, or</li> <li>- complete the assessment of an e-Screening hit after the expiration of the timer for completion of the IMS e-Screening task;</li> </ul> <p>The timer for completion of the e-Screening is specified in Tasks: <b>Fehler! Verweisquelle konnte nicht gefunden werden. Error! Reference source not found. Fehler! Verweisquelle konnte nicht gefunden werden. Error! Reference source not found. Fehler! Verweisquelle konnte nicht gefunden werden. Error! Reference source not found.</b> and <b>T-02-19 – Start timers for the completion of e-Screening by IMS(s) for full risk analysis</b> <b>T-02-19 – Start timers for the completion of e-Screening by IMS(s) for full risk analysis</b> of Sub-process: <b>L4-ICS2-02 - Prepare ENS for risk analysis</b> <b>L4-ICS2-02 – Prepare ENS for risk analysis.</b></p>	
<p>Output (Final situation):</p> <p>An e-Screening hit was either re-assessed or was assessed and communicated outside the expected time window.</p>	

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Formatiert: Bold, Schriftart: +Textkörper (Calibri), Englisch (Vereinigtes Königreich)

2.1.14.1 Business Process Model

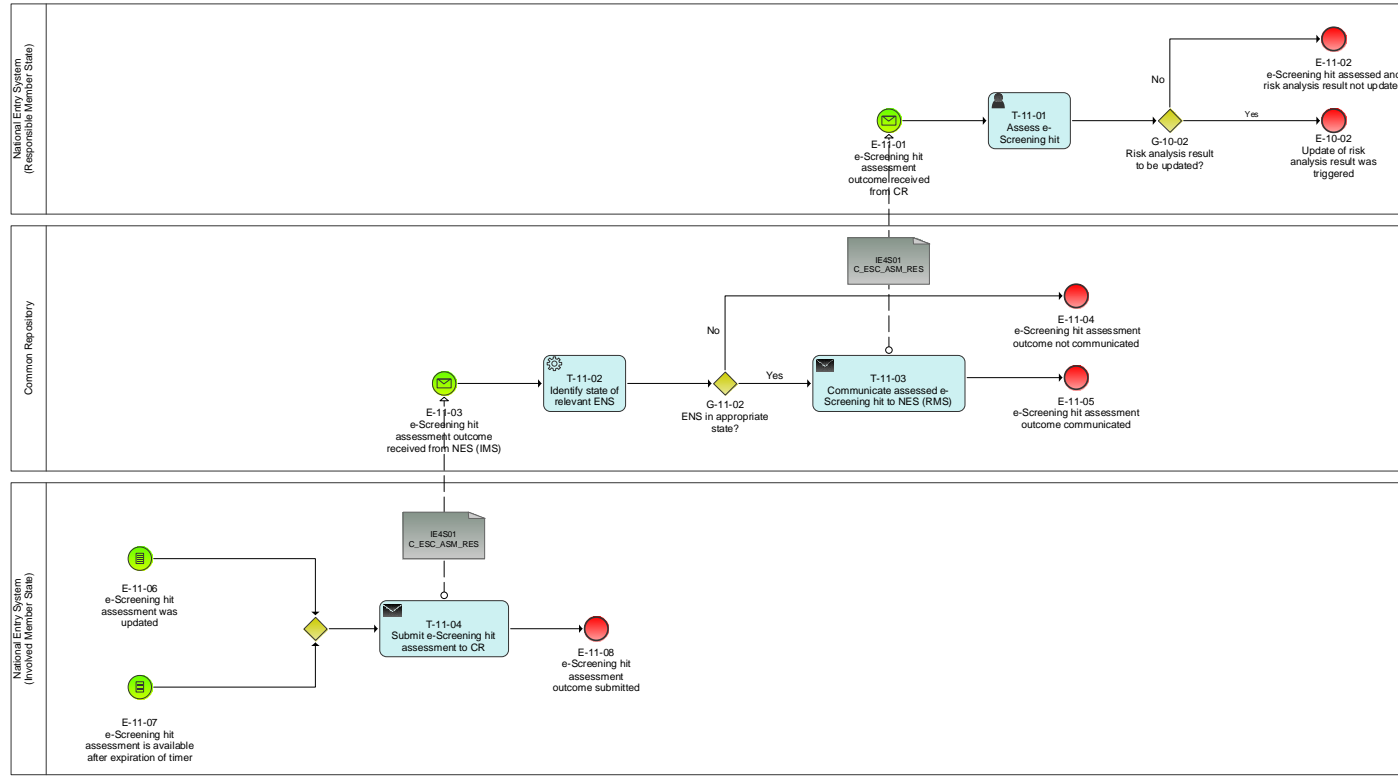


Figure 15: L4-ICS2-11 Update e-Screening assessment sub-process

## 2.1.14.2 Tasks

## 2.1.14.2.1 T-11-01 - Assess IMS e-Screening hit

Assess IMS e-Screening hit	T-11-01
System component: NES (RMS)	
Input: e-Screening hit assessment outcome received from CR	
Description: The risk analyst of the RMS assesses the e-Screening hit received from the IMS and decides whether this affects an already set risk analysis result or not.	
Output (Final situation): Decision was made on whether an already set risk analysis result should be updated.	

## 2.1.14.2.2 T-11-02 – Identify state of relevant ENS

Identify state of relevant ENS	T-11-02
System component: CR	
Input: e-Screening hit assessment outcome received from NES (IMS)	
Description: The relevant ENS is identified by matching the Risk analysis request reference [R02R02: IE4S01 / Risk analysis / Risk analysis request reference] contained in the received message IE4S01 [Msg: C_ESC_ASM_RES] with the reference of the original request for e-Screening that was sent to the Member State. The CR identifies the state of the relevant ENS.	
Output (Final situation): The current state of the relevant ENS is identified.	

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## 2.1.14.2.3 T-11-03 – Communicate e-Screening hit assessment outcome to NES (RMS)

Communicate e-Screening hit assessment outcome to NES (RMS)	T-11-03
System component: CR	
Input: e-Screening hit assessment outcome received from NES (IMS)	
Description The assessment outcome from the e-Screening hit (true positive) of an IMS is communicated by the CR to the NES (RMS) via the message IE4S01 [Msg: C_ESC_ASM_RES].	
Output (Final situation): The e-Screening hit assessment outcome of the IMS is made available to the RMS.	

## 2.1.14.2.4 T-11-04 – Communicate assessed e-Screening hit to CR

Communicate assessed e-Screening hit to CR	T-11-04
System component: NES (IMS)	
Input: e-Screening hit assessment was updated or e-Screening hit assessment is available after expiration of timer	
Description The outcome of the assessment of the e-Screening hit (true positive) of an IMS is communicated by NES (IMS) to the CR via the message IE4S01 [Msg: C_ESC_ASM_RES].	
Output (Final situation): The e-Screening hit assessment outcome of the IMS is available at the CR.	

## 2.1.14.3 Events

## 2.1.14.3.1 E-11-01 - e-Screening hit assessment outcome received from CR

e-Screening hit assessment outcome received from CR	E-11-01
System component: NES (RMS)	
Description:	



An e-Screening hit assessment outcome was received from CR.

2.1.14.3.2 E-11-02 - e-Screening hit assessed and risk analysis result not updated

e-Screening hit assessed and risk analysis result not updated

E-11-02

System component: NES (RMS)

Description:

An e-Screening hit is assessed by the risk analyst of RMS. The e-Screening hit does not affect the final risk analysis result, thus it is not updated.

2.1.14.3.3 E-10-02 – Update of risk analysis result was triggered

Update of risk analysis result was triggered

E-10-02

System component: NES (RMS)

Description:

The risk analyst of the RMS decides to update the previously set risk analysis result. This triggers the sub-process: ~~L4-ICS2-10 – Update risk analysis result~~ L4-ICS2-10 – Update risk analysis result.

Formatiert: Schriftart: +Textkörper (Calibri)

2.1.14.3.4 E-11-03 - e-Screening hit assessment outcome received from NES (IMS)

e-Screening hit assessment outcome received from NES (IMS)

E-11-03

System component: CR

Description:

An e-Screening hit assessment outcome was received from NES (IMS).

2.1.14.3.5 E-11-04 - e-Screening hit assessment outcome not communicated

e-Screening hit assessment outcome not communicated

E-11-04

System component: CR

Description:

An e-Screening hit assessment outcome was not communicated to NES (RMS) because the ENS was not in an appropriate state.

2.1.14.3.6 E-11-05 - e-Screening hit assessment outcome communicated

e-Screening hit assessment outcome communicated

E-11-05

System component: CR

Description:

An e-Screening hit assessment outcome was communicated to NES (RMS).

2.1.14.3.7 E-11-06 –e-Screening hit assessment was updated

Already assessed e-Screening hit was updated

E-11-06

System component: NES (IMS)

Description:

The risk analyst of the IMS decides to update the e-Screening assessment after the original assessment was communicated to CR.

2.1.14.3.8 E-11-07 – e-Screening hit assessment is available after expiration of timer

e-Screening hit assessment is available after expiration of timer

E-11-07

System component: NES (IMS)

Description:

The assessment of an e-Screening hit was delayed or took longer than the agreed time for the given mode of transport and it was communicated late.

2.1.14.3.9 E-11-08 –e-Screening hit assessment submitted

e-Screening hit assessment submitted

E-11-08

System component: NES (IMS)

## Description:

The assessment of an e-Screening hit was communicated to CR.

#### 2.1.14.4 Gateways

##### 2.1.14.4.1 G-11-01 – Risk analysis result to be updated?

Risk analysis result to be updated?	G-11-01
System component: NES (RMS)	
Input: Outcome of Task: <del>T-11-01 - Assess IMS e-Screening hit</del> <b>T-11-01 – Assess IMS e-Screening hit</b>	
Description: The answer is 'Yes' if the risk analyst decided to update an already set risk analysis result, otherwise it's 'No'.	

Formatiert: Schriftart: +Textkörper (Calibri)

##### 2.1.14.4.2 G-11-02 – ENS in appropriate state?

ENS in appropriate state?	G-11-02
System component: CR	
Input: Outcome of Task: <del>T-11-02 – Identify state of relevant ENS</del> <b>T-11-02 – Identify state of relevant ENS</b>	
Description: The CR checks whether the ENS is in an appropriate state for e-Screening hit assessment to be communicated to the Responsible Member State.	

Formatiert: Bold, Schriftart: +Textkörper (Calibri)

## 2.1.15L4-ICS2-12 – Revoke presentation of goods

Revoke presentation of goods	L4-ICS2-12
Organisation: National Customs Administration of Presentation/Control (at final destination)	
Input: The goods were erroneously presented	
Description: This process covers a case where the goods were presented at a wrong customs office and it is necessary to revoke this presentation and to roll-back the state of the relevant House consignments to their former one. The identifiers of the specific House consignments for which the presentation has to be revoked will be submitted from the NES of the MS of Presentation/Control (at final destination). The system will identify the relevant House consignments and, if applicable, will rollback their state to the previous one. If the House consignments are not in a relevant state an error notification will be sent to NES.	
Output (Final situation): The presentation of the house consignments was revoked.	

2.1.15.1 Business Process Model

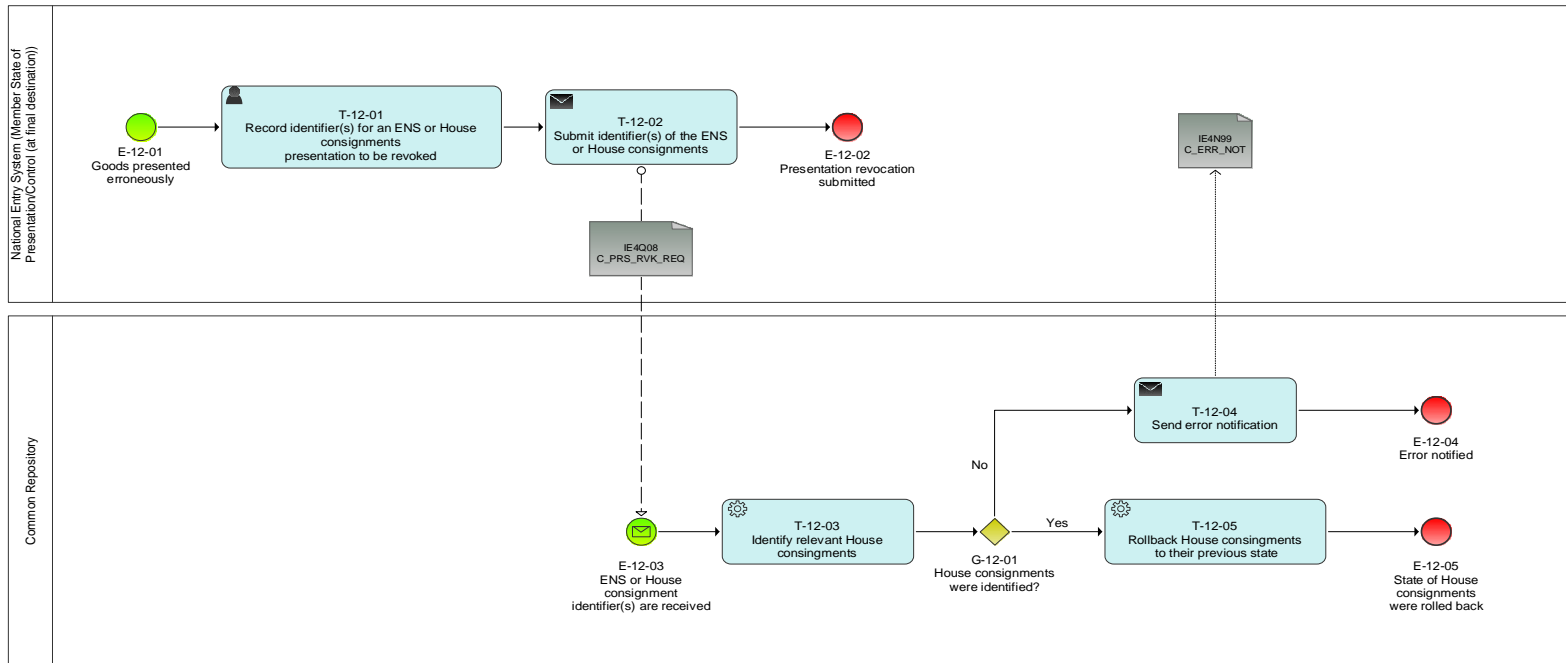


Figure 16: L4-ICS2-12 Revoke presentation of goods sub-process

## 2.1.15.2 Tasks

## 2.1.15.2.1 T-12-01 - Record identifier(s) for an ENS or House consignments presentation to be revoked

Record identifier(s) for an ENS or House consignments presentation to be revoked	T-12-01
System component: NES (Member State of Presentation/Control (at final destination))	
Input: Revocation of presentation of goods is required	
Description: The identifier(s) for an ENS or specific House Consignment of an ENS is/are recorded in the NES in order to revoke the presentation.	
Output (Final situation): The identifier(s) for ENS or Consignment (House level) of an ENS are recorded in the NES.	

## 2.1.15.2.2 T-12-02 – Submit identifier(s) of the ENS or ENS Consignment (House level)

Submit identifier(s) of the ENS or House consignments	T-12-02
System component: NES (Member State of Presentation/Control (at final destination))	
Input: Outcome of Task: <u>T-12-01 - Record identifier(s) for an ENS or House consignments presentation to be revoked</u> <u>T-12-01 - Record identifier(s) for an ENS or House consignments presentation to be revoked</u>	
Description: The identifier(s) of the ENS or House consignment are submitted to the CR via the message IE4Q08 [Msg: C_PRS_RVK_REQ].	
Output (Final situation): The identifier(s) for ENS or House consignment of an ENS are submitted to the CR.	

Formatiert: Schriftart: +Textkörper (Calibri)

Formatiert: Absatz-Standardschriftart

Formatiert: Schriftart: +Textkörper (Calibri)

## 2.1.15.2.3 T-12-03 – Identify relevant House consignments

Identify relevant House consignment	T-12-03
System component: CR	
Input: ENS or House consignment identifier(s) are received	
Description: The CR will identify the relevant House consignments based on the identifier(s) received.	
Output (Final situation): The relevant House consignments of an ENS are identified.	

## 2.1.15.2.4 T-12-04 – Send error notification

Send error notification	T-12-04
System component: CR	
Input: Outcome of Task: T-12-03 Identify relevant House consignments	
Description: When the CR is unable to identify a House consignment of an ENS based on the identifier(s) submitted by the NES, it will generate an error notification which will be sent to the NES via the message IE4N99 [Msg: C_ERR_NOT].	
Output (Final situation): The error notification was sent to the NES.	

## 2.1.15.2.5 T-12-05– Rollback House consignments to their previous state

Rollback House consignments to their previous state	T-12-05
System component: CR	
Input: Outcome of Task: T-12-03 Identify relevant House consignments	
Description: The state of the identified House consignments of an ENS will be rolled back to the state that they had	

before the presentation event was triggered.

Output (Final situation):

The state of the relevant House consignments of an ENS were rolled back.

### 2.1.15.3 Events

#### 2.1.15.3.1 E-12-01 – Goods presented erroneously

Goods presented erroneously	E-12-01
System component: NES (Member State of Presentation/Control (at final destination))	
Description: Goods presented erroneously and their presentation needs to be revoked.	

#### 2.1.15.3.2 E-12-02 – Presentation revocation submitted

Presentation revocation submitted	E-12-02
System component: NES (Member State of Presentation/Control (at final destination))	
Description: Presentation revocation submitted to the CR.	

#### 2.1.15.3.3 E-12-03 – ENS or House consignment identifier(s) are received

ENS or House consignment identifier(s) are received	E-12-03
System component: CR	
Description: ENS or House consignment identifier(s) are received by the CR.	

#### 2.1.15.3.4 E-12-04 – Error notified

Error notified	E-12-04
System component: CR	
Description: Error was notified.	

#### 2.1.15.3.5 E-12-05 – State of House consignments were rolled back

State of House consignments were rolled back	E-12-05
System component: CR	
Description: State of House consignments were rolled back to previous one.	

### 2.1.15.4 Gateways

#### 2.1.15.4.1 G-12-01 – House consignments were identified?

House consignments were identified?	G-12-01
System component: NES (Member State of Presentation/Control (at final destination))	
Description: House consignments were identified, the answer is 'Yes'; Otherwise it's 'No'.	

## 2.2 Events

### 2.2.1 E-00-01 – ENS filing received

ENS filing received	E-00-01
Organisation: National Customs Administration of the Responsible Member State	
Description: A person filing lodges an ENS filing.	

### 2.2.2 E-00-02 – Amendment of ENS filing received

Amendment of ENS filing received	E-00-02
Organisation: National Customs Administration of the Responsible Member State	
Description: A person filing lodges an amendment for an already lodged ENS filing.	

### 2.2.3 E-00-03 – Timer for completion of linking expired

Timer for completion of linking expired	E-00-03
Organisation: National Customs Administration of the Responsible Member State	
Description: Timer to complete the linking of the partial ENS filings expires.	

### 2.2.4 E-00-04 – Entry process completed

Entry process completed	E-00-04
Organisation: National Customs Administration of the Responsible Member State	
Description: The entire entry process is completed.	

### 2.2.5 E-00-05 – Invalidation request received

Invalidation request received	E-00-05
Organisation: National Customs Administration of the Responsible Member State	
Description: An invalidation request is received.	

### 2.2.6 E-00-06 – 200 day timer expired

200 day timer expiry	E-00-06
Organisation: National Customs Administration of the Responsible Member State	
Description: The 200 day timer which was started after registration of the ENS filing has expired.	

### 2.2.7 E-00-07 – ENS filing invalidated

ENS filing invalidated	E-00-07
Organisation: National Customs Administration of the Responsible Member State	

Description: The filing was invalidated. The process ends.
---

#### 2.2.8 E-00-08 – Risk analysis was re-triggered

Risk analysis was re-triggered	E-00-08
Organisation: National Customs Administration of the Responsible Member State	
Description: The risk analysis is re-triggered.	

#### 2.2.9 E-00-09 – Risk analysis result updated

Risk analysis result updated	E-00-09
Organisation: National Customs Administration of the Responsible Member State	
Description: The risk analysis result is updated.	

#### 2.2.10 E-00-10 – Arrival notification received

Arrival notification received	E-00-10
Organisation: National Customs Administration of the Member State of Actual First Entry	
Description: Arrival notification is received.	

#### 2.2.11 E-00-11 – Arrival notification processed

Arrival notification processed	E-00-11
Organisation: National Customs Administration of the Member State of Actual First Entry	
Description: Arrival notification was processed.	

#### 2.2.12 E-00-12 – Goods presented

Goods presented	E-00-12
Organisation: National Customs Administration of the Member State of presentation/control (at final destination)	
Description: The person presenting the goods presents the goods to the Member State of presentation/control (at final destination).	

#### 2.2.13 E-00-13 – Erroneous presentation of goods

Erroneous presentation of goods	E-00-13
Organisation: National Customs Administration of the Member State of Presentation/Control (at final destination)	
Description: Erroneous presentation of goods occurred.	



## 2.2.14E-00-14 – Goods presented and controlled

Goods presented and controlled	E-00-14
Organisation: National Customs Administration of the Member State of Presentation/Control (at final destination)	
Description: Control of goods was performed and control results were documented.	

## 2.2.15E-00-15 – State of House consignments rolled back

State of ENS rolled back	E-00-15
Organisation: National Customs Administration of the Member State of Presentation/Control (at final destination)	
Description: Presentation of goods is revoked and the state of the relevant House consignments is rolled back to the previous one.	

## 2.2.16E-00-16 – e-Screening hit assessment was updated or submitted out of time

e-Screening hit assessment was updated or submitted out of time	E-00-16
Organisation: National Customs Administration of the Involved Member State	
Description: e-Screening hit assessment is updated or submitted after expiration of timer.	

## 2.2.17E-00-17 – e-Screening updated or completed

e-Screening updated or completed	E-00-17
Organisation: National Customs Administration of the Involved Member State	
Description: e-Screening result is updated or completed.	

## 2.2.18E-00-18 – Involvement in e-Screening requested

Involvement in e-Screening requested	E-00-18
Organisation: National Customs Administration of the Other Member State	
Description: Involvement in e-Screening is requested by the OMS, which is different from the Responsible and Involved Member State.	

## 2.2.19E-00-19 – e-Screening completed

e-Screening completed	E-00-19
Organisation: National Customs Administration of Other Member State	
Description: e-Screening is completed by OMS.	

### 3 SUPPORTING PROCESSES

#### 3.1.1 L4-ICS2-13 – Consult ENS

Consult ENS	L4-ICS2-13
<p>Description:</p> <p>This service will be offered to the Economic Operators and the TI helpdesk.</p> <p>Its purpose is to enable the requesting party to look for information about a specific ENS filing and/or an ENS that this filing concerns.</p> <p>The information that will be provided will depend on the access rights that each requesting party has.</p>	
<p>Output (Final situation):</p> <p>The relevant ENS information will be provided.</p>	

### 3.1.1.1 Business Process Model

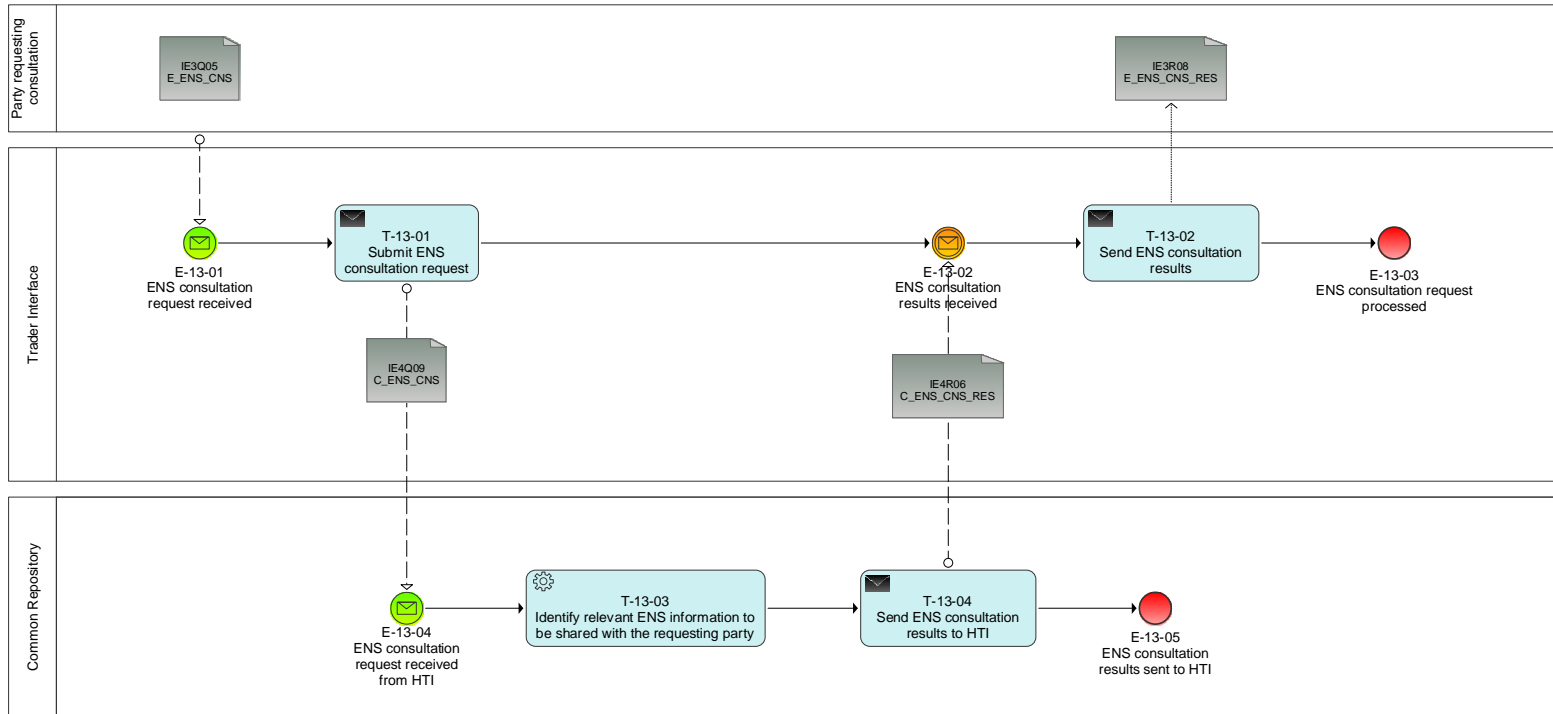


Figure 17: L4-ICS2-13 Consult ENS sub-process

## 3.1.1.2 Tasks

## 3.1.1.2.1 T-13-01 – Submit ENS consultation request

Submit ENS consultation request	T-13-01
System component: TI	
Input: ENS consultation request received	
Description: The TI will submit the ENS consultation request to the CR via the message IE4Q09 [Msg: C_ENS_CNS].	
Output (Final situation): The ENS consultation request was submitted to the CR	

## 3.1.1.2.2 T-13-02 – Send ENS consultation results

Send ENS consultation results	T-13-02
System component: TI	
Input: ENS consultation results received from CR	
Description: The TI will send the ENS consultation results to the party that requested the consultation, via the message IE3R08 [Msg: E_ENS_CNS_RES].	
Output (Final situation): The ENS consultation results were sent to the party that requested the consultation.	

## 3.1.1.2.3 T-13-03 – Identify relevant ENS information to be shared with the requesting party

Identify relevant ENS information to be shared with the requesting party	T-13-03
System component: CR	
Input: Received ENS consultation request	
Description: The CR identifies the relevant ENS information that matches the inserted criteria and at the same time complies with the access rights that the party requesting the consultation has.	
Output (Final situation): The relevant ENS information was identified.	

## 3.1.1.2.4 T-13-04 – Send ENS consultation results to TI

Send ENS consultation results to TI	T-13-04
System component: CR	
Input: Identified relevant ENS information	
Description: The CR sends the identified relevant ENS information to the TI, via the message IE4R06 [Msg: C_ENS_CNS_RES].	
Output (Final situation): The ENS consultation results were sent to the TI.	

### 3.1.1.1 Events

#### 3.1.1.1.1 E-13-01 – ENS consultation request received

ENS consultation request received	E-13-01
System component: TI	
Description: An ENS consultation request was received.	

#### 3.1.1.1.2 E-13-02 – ENS consultation results received

ENS consultation results received	E-13-02
System component: TI	
Description: The ENS consultation results were received.	

#### 3.1.1.1.3 E-13-03 – ENS consultation request processed

ENS consultation request processed	E-13-03
System component: TI	
Description: The ENS consultation request was processed.	

#### 3.1.1.1.4 E-13-04 – ENS consultation request received from TI

ENS consultation request received from TI	E-13-04
System component: CR	
Description: The ENS consultation request was received.	

#### 3.1.1.1.5 E-13-05 – ENS consultation results sent to TI

ENS consultation results sent to TI	E-13-05
System component: CR	
Description: The ENS consultation results were sent to TI.	

## 3.1.2 L4-ICS2-14 – Query ENS

Query ENS	L4-ICS2-14
Description: This service will be offered to the Member State Administrations. Its purpose is to enable a Member State to look for information about an ENS. The information that will be provided will depend on the access rights that each Member State has on a matched ENS.	
Output (Final situation): The relevant ENS information will be provided.	

3.1.2.1 Business Process Model

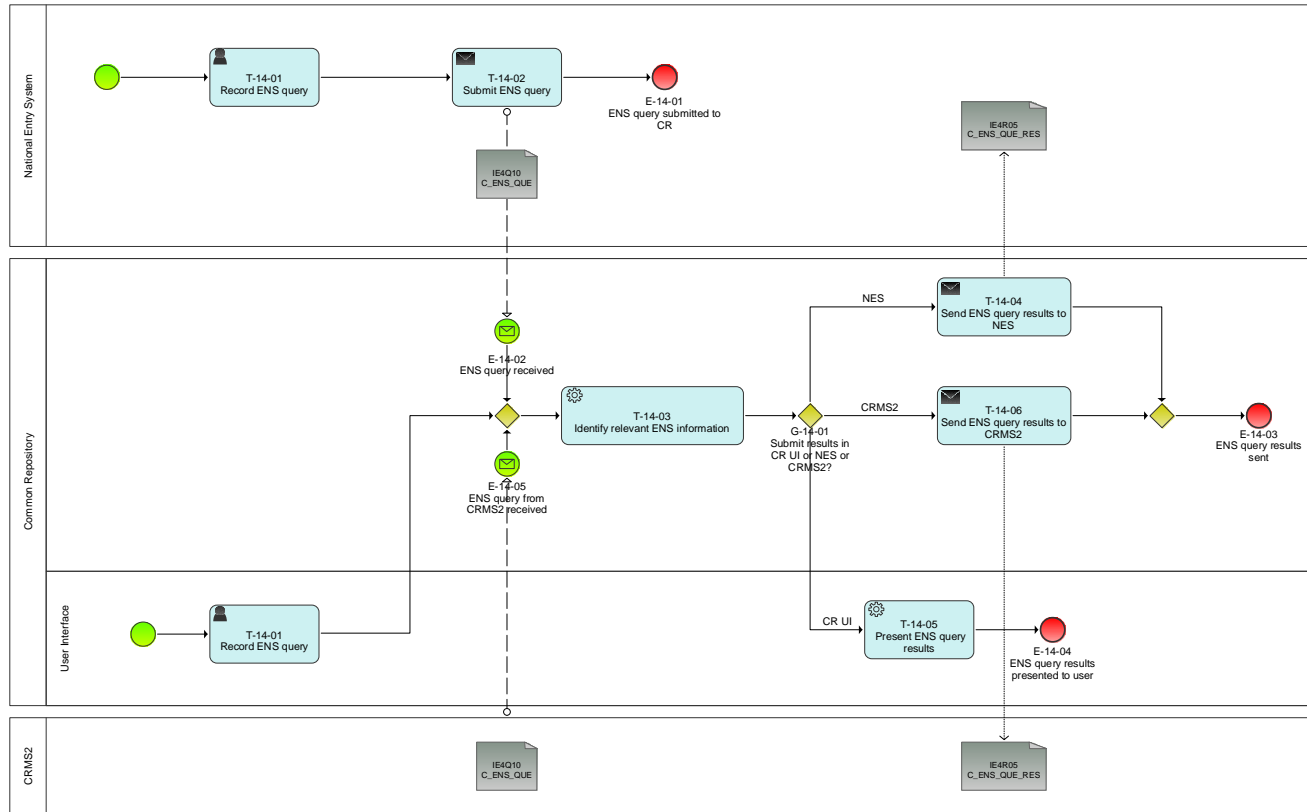


Figure 18: L4-ICS2-13 Query ENS sub-process

## 3.1.2.2 Tasks

## 3.1.2.2.1 T-14-01 – Record ENS query

Record ENS query	T-14-01
System component: NES or CR UI	
Input: ENS query	
Description: The customs officer will query for ENS information either via the NES or the CR UI. The customs officer will record the criteria for his query. The available criteria are depicted in the message IE4Q10 [Msg: C_ENS_QUE].	
Output (Final situation): The ENS query was recorded either in the NES or the CR UI.	

## 3.1.2.2.2 T-14-02 – Submit ENS query

Submit ENS query	T-14-02
System component: NES	
Input: Recorded ENS query	
Description: The NES submits the ENS query to the CR, via the message IE4Q10 [Msg: C_ENS_QUE].	
Output (Final situation): The ENS query was submitted to the CR.	

## 3.1.2.2.3 T-14-03 – Identify relevant ENS information to be shared with the Member State

Identify relevant ENS information	T-14-03
System component: CR	
Input: Submitted ENS query	
Description: The CR identifies the relevant ENS information that matches the inserted criteria and at the same time complies with the access rights that the user and his national administration has.	
Output (Final situation): The relevant ENS information was identified.	

## 3.1.2.2.1 T-14-04 – Send ENS query results to NES

Send ENS query results to NES	T-14-04
System component: CR	
Input: Identified relevant ENS information	
Description: The CR sends the ENS query results to the NES, via the message IE4R05 [Msg: C_ENS_QUE_RES].	
Output (Final situation): The ENS query results were sent to the NES.	

## 3.1.2.2.2 T-14-05 – Present ENS query results

Present ENS query results	T-14-05
System component: CR	
Input: Identified relevant ENS information	
Description: The CR presents the ENS query results to the user via its UI.	
Output (Final situation):	



The ENS query results were presented to the user.

3.1.2.2.3 T-14-06 – Send ENS query results to CRMS2

Send ENS query results to CRMS2	T-14-06
System component: CR	
Input: Identified relevant ENS information	
Description: The CR sends the ENS query results to CRMS2 via the message IE4R05 [Msg: C_ENS_QUE_RES].	
Output (Final situation): The ENS query results were sent to CRMS2.	

### 3.1.2.3 Events

3.1.2.3.1 E-14-01 – ENS query submitted to CR

ENS query submitted to CR	E-14-01
System component: NES	
Description: An ENS query was submitted to the CR.	

3.1.2.3.2 E-14-02 – ENS query received

ENS query received	E-14-02
System component: CR	
Description: An ENS query was received from the NES.	

3.1.2.3.3 E-14-03 – ENS query results sent

ENS query results sent	E-14-03
System component: CR	
Description: The ENS query results were sent to NES or CRMS2.	

3.1.2.3.4 E-14-04 – ENS query results presented to user

ENS query results presented to user	E-14-04
System component: CR	
Description: The ENS query results were presented to the user.	

3.1.2.3.5 E-14-05 – ENS query from CRMS2 received

ENS query from CRMS2 received	E-14-05
System component: CR	
Description: An ENS query was received from CRMS2.	

### 3.1.2.1 Gateways

3.1.2.1.1 G-14-01 – Submit results in CR UI or NES or CRMS2?

Submit results in CR UI or NES or CRMS2?	G-14-01
System component: CR	
Input: Origin of ENS query	
Description:	

The answer depends on the point of origin of the ENS query. Whether it originates from the NES , CRMS2 or the CR UI.

## 4 ANNEXES

### 4.1 Annex 1 – ENS filing types

F10	Sea and inland waterways – Complete dataset – Straight bill of lading containing the necessary information from consignee
F11	Sea and inland waterways – Complete dataset – Master bill of lading with underlying house bill(s) of lading containing the necessary information from consignee at the level of the lowest house bill of lading
F12	Sea and inland waterways – Partial dataset – Master bill of lading only
F13	Sea and inland waterways – Partial dataset – Straight bill of lading only
F14	Sea and inland waterways – Partial dataset – House bill of lading only
F15	Sea and inland waterways – Partial dataset – House bill of lading with the necessary information from consignee
F16	Sea and inland waterways – Partial dataset – Necessary information required to be provided by consignee at the lowest level of transport contract (the lowest house bill of lading)
F17	Sea and inland waterways – Partial dataset – Necessary information required to be provided by consignee at the lowest level of transport contract (straight bill)
F20	Air cargo (general) – Complete dataset lodged pre-loading
F21	Air cargo (general) – Partial dataset – Master air waybill lodged pre-arrival
F22	Air cargo (general) – Partial dataset – House air waybill lodged pre-arrival
F23	Air cargo (general) – Partial dataset – Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446 without master air waybill reference number
F24	Air cargo (general) – Partial dataset – Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446 with master air waybill reference number
F25	Air cargo (general) – Partial dataset – Master air waybill reference number lodged pre-loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F26	Air cargo (general) – Partial dataset – Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446 and containing additional house air waybill information
F27	Air cargo (general) – Complete dataset lodged pre-arrival
F28	Air cargo (general) – Complete dataset lodged pre-loading – Direct air waybill
F29	Air cargo (general) – Complete dataset lodged pre-arrival – Direct air waybill
F30	Express consignments – Complete dataset lodged pre-arrival
F32	Express consignments – Partial dataset – Minimum dataset lodged pre-loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F42	Postal consignments – Partial dataset - Master air waybill containing necessary postal air waybill information lodged in accordance with the time-limits applicable for the mode of transport concerned
F43	Postal consignments – Partial dataset – Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F44	Postal consignment – Partial dataset – Receptacle identification number lodged pre-loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F50	Road mode of transport
F51	Rail mode of transport

## 4.2 Annex 2 – Information exchange messages

## 4.2.1 External domain

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

			L4-ICS2-04 Process arrival of means of transport
			L4-ICS2-07 Amend filing
			L4-ICS2-08 Invalidate filing

#### 4.2.2 Common domain

Message ID	Message Name	Message name full	Process where it is used
IE4Fxx	C_ENS_xxx_DEC	ENS filing	L4-ICS2-01 Register filing
IE4Axx	C_ENS_xxx_AMD	ENS filing amendment	L4-ICS2-07 Amend filing
IE4Q01	C_ESC_REQ	e-Screening request	L4-ICS2-03 Perform risk analysis
IE4Q02	C_ERA_REQ	e-risk analysis request	L4-ICS2-03 Perform risk analysis
IE4Q03	C_DNL_REQ	Do Not Load request	L4-ICS2-03 Perform risk analysis
IE4Q04	C_REF_RFI_REQ	Additional information request	L4-ICS2-03-01 Send referral
IE4Q05	C_REF_RFS_REQ	High Risk Cargo & Mail screening request	L4-ICS2-03-01 Send referral
IE4Q06	C_INV_REQ	Invalidation request	L4-ICS2-08 Invalidate filing
IE4Q07	C_OMS_REQ	OMS request to perform e-Screening	L4-ICS2-09 e-Screening by OMS
IE4Q08	C_PRS_RVK_REQ	Presentation revocation request	L4-ICS2-12 Revoke presentation of goods
IE4Q09	C_ENS_CNS	ENS consultation	L4-ICS2-13 Consult ENS
IE4Q10	C_ENS_QUE	Query for ENS	L4-ICS2-14 Query for ENS
IE4R01	C_ENS_ACC_RSP	ENS acceptance response	L4-ICS2-02 Prepare ENS for risk analysis
IE4R02	C_REF_RFI_RSP	Additional information response	L4-ICS2-03-01 Send referral
IE4R03	C_REF_RFS_RSP	High Risk Cargo & Mail screening response	L4-ICS2-03-01 Send referral
IE4R04	C_INV_ACC_RSP	Invalidation acceptance response	L4-ICS2-08 Invalidate filing
IE4R05	C_ENS_QUE_RES	ENS query results	L4-ICS2-14 Query for ENS
IE4R06	C_ENS_CNS_RES	ENS consultation results	L4-ICS2-13 Consult ENS
IE4S01	C_ESC_ASM_RES	e-Screening results	L4-ICS2-03 Perform risk analysis
IE4S02	C_RSK_RES	Risk analysis results	L4-ICS2-03 Perform risk analysis
IE4S03	C_CON_RES	Control results	L4-ICS2-04 Process arrival of means of transport
			L4-ICS2-06 Process control decision and results

IE4N01	C_ELF_VLD_NOT	ENS lifecycle validation error notification	L4-ICS2-02 Prepare ENS for risk analysis
IE4N02	C_ENS_NCP_NOT	ENS not complete notification	L4-ICS2-02-01 Relate ENS filings
IE4N03	C_ERA_HIT_NOT	e-risk analysis hit notification	L4-ICS2-03 Perform risk analysis
IE4N04	C_ASM_CMP_NOT	Assessment complete notification	L4-ICS2-03 Perform risk analysis
IE4N05	C_CON_RCM_NOT	Control recommendation notification	L4-ICS2-03 Perform risk analysis
			L4-ICS2-04 Process arrival of means of transport
			L4-ICS2-05 Process presentation of goods
			L4-ICS2-06 Process control decision and results
IE4N06	C_REF_AMD_NOT	Amendment after referral reception notification	L4-ICS2-03-01 Send referral
IE4N07	C_ARV_NOT	Arrival notification	L4-ICS2-04 Process arrival of means of transport
IE4N08	C_ENS_INC_NOT	ENS in incorrect state notification	L4-ICS2-04 Process arrival of means of transport
IE4N09	C_CON_NOT	Control notification	L4-ICS2-04 Process arrival of means of transport
IE4N10	C_PRS_INF	Presentation information	L4-ICS2-05 Process presentation of goods
IE4N11	C_AEO_CON_NOT	Authorised Economic Operator control notification	L4-ICS2-06-01 Handle AEO notification
IE4N12	C_AMD_NOT	Amendment completion notification	L4-ICS2-07 Amend filing
IE4N13	C_INV_NOT	ENS filing invalidation notification	L4-ICS2-08 Invalidate filing
IE4N14	C_ARV_ENS_NOT	Arrived ENSs notification	L4-ICS2-04 Process arrival of means of transport
IE4N99	C_ERR_NOT	Error notification	L4-ICS2-07 Amend filing
			L4-ICS2-08 Invalidate filing
			L4-ICS2-12 Revoke presentation of goods

### 4.3 Annex 3 – Entities and states

In this annex, the most significant, business wise, entities are listed along with their possible states.

#### 4.3.1 ENS

State	Triggering sub-process	Triggering task
Pending completeness	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> <del>T-02-13 – Link or associate related House consignments and check ENS completeness</del>
Complete	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> <del>T-02-13 – Link or associate related House consignments and check ENS completeness</del>
	<del>L4-ICS2-02-01 – L4-ICS2-02-01 –</del>	T-02-01-04 – Relate ENS
Considered complete	<del>L4-ICS2-02-01 – L4-ICS2-02-01 –</del>	T-02-01-04 – Relate ENS

Formatiert: Schwedisch (Schweden)

Formatiert: Schwedisch (Schweden)

#### 4.3.2 ENS filing

State	Triggering sub-process	Triggering task
Registered	L4-ICS2-01 - Register filing	T-01-01 – Perform syntactical and semantical validation
		T-07-07 Amend filing
Rejected	L4-ICS2-01 - Register filing	T-01-01 – Perform syntactical and semantical validation
	L4-ICS2-02 - Prepare ENS for risk analysis	T-02-03 - Perform ENS lifecycle validation on stored ENS filing
Accepted	L4-ICS2-02 - Prepare ENS for risk analysis	T-02-03 - Perform ENS lifecycle validation on stored ENS filing
		T-07-06 Perform ENS-lifecycle validation on amendment of ENS filing
Invalidated	L4-ICS2-08 – Invalidate filing	T-08-09 – Invalidate filing

#### 4.3.3 House consignment

State	Triggering sub-process	Triggering task
Pending linking	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> <del>T-02-13 – Link or associate related House consignments and check ENS completeness</del>
Linked	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> <del>T-02-13 – Link or associate related House consignments and check ENS completeness</del>
		T-12-05 Rollback House consignments to



		their previous state
Arrived	L4-ICS2-04 – Process arrival of the means of transport	<del>T-04-09 – Check House consignments state correctness and update their state</del> T-04-09 – Check House consignments state correctness and update their state
		T-12-05 Rollback House consignments to their previous state
Presented	L4-ICS2-05 – Process presentation of goods	<del>T-05-05 – Update state of relevant</del> T-05-05 – Update state of relevant Consignment (House level)
Controlled		T-06-04 Store Control Decision and Results
Invalidated	L4-ICS2-08 – Invalidate filing	T-08-09 – Invalidate filing

#### 4.3.4 PLACI House consignment

State	Triggering sub-process	Triggering task
Pending association	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> T-02-13 – Link or associate related House consignments and check ENS completeness
Associated	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> T-02-13 – Link or associate related House consignments and check ENS completeness
Invalidated	L4-ICS2-08 – Invalidate filing	T-08-09 – Invalidate filing

#### 4.3.5 Air pre-loading risk analysis

State	Triggering sub-process	Triggering task
Initiated	L4-ICS2-03 – Perform risk analysis	T-03-15 - Request e-risk analysis
Timer stopped	L4-ICS2-03 – Perform risk analysis	T-03-14 - Stop timer for completion of risk analysis
Completed	L4-ICS2-03 – Perform risk analysis	T-03-17 – Store RA result

#### 4.3.6 Full risk analysis

State	Triggering sub-process	Triggering task
Initiated	L4-ICS2-03 – Perform risk analysis	T-03-15 - Request e-risk analysis
Timer stopped	L4-ICS2-03 – Perform risk analysis	T-03-14 - Stop timer for completion of risk analysis
Completed	L4-ICS2-03 – Perform risk analysis	T-03-17 – Store RA result

#### 4.3.7 Arrival notification

State	Triggering sub-process	Triggering task
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Registered	L4-ICS2-04 – Process arrival of the means of transport	T-04-03 – Register arrival notification and assign MRN
Rejected	L4-ICS2-04 – Process arrival of the means of transport	T-04-01 - Perform syntactical and semantical validation on received arrival notification

#### 4.3.8 Goods shipment

State	Triggering sub-process	Triggering task
Pending linking	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> T-02-13 – Link or associate related House consignments and check ENS completeness
Linked	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> T-02-13 – Link or associate related House consignments and check ENS completeness
Invalidated	L4-ICS2-08 – Invalidate filing	T-08-09 – Invalidate filing

#### 4.3.9 HRCM Screening Result

State	Triggering sub-process	Triggering task
Instantiated	L4-ICS2-02 - Prepare ENS for risk analysis	T-02-03 - Perform ENS lifecycle validation on stored ENS filing
Invalidated	L4-ICS2-08 – Invalidate filing	T-08-09 – Invalidate filing

#### 4.3.10 Master consignment

State	Triggering sub-process	Triggering task
Instantiated	L4-ICS2-02 - Prepare ENS for risk analysis	<del>T-02-13 – Link or associate related House consignments and check ENS completeness</del> T-02-13 – Link or associate related House consignments and check ENS completeness
Invalidated	L4-ICS2-08 – Invalidate filing	T-08-09 – Invalidate filing

#### 4.3.11 e-Screening request

State	Triggering sub-process	Triggering task
Sent	L4-ICS2-03 – Perform risk analysis	T-03-22 - Request e-Screening
Closed	L4-ICS2-03 – Perform risk analysis	T-03-24 - Stop timer for e-Screening

#### 4.3.12 e-Risk analysis request

State	Triggering sub-process	Triggering task
Sent	L4-ICS2-03 – Perform risk analysis	T-03-15 - Request e-risk analysis
Closed	L4-ICS2-03 – Perform risk analysis	T-03-17 – Store RA result

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