



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

Brussels, 04/04/2008
TAXUD C 1 /KB

WORKING DOCUMENT – TAXUD/1043/2006 – REV. 6.2 - FINAL

FTSS – AIS ADDENDUM 1/2006 – REV. 6.2 - FINAL

IMPORT CONTROL SYSTEM- SECURITY AND SAFETY ASPECTS

(ICS)

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

AUTOMATED IMPORT SYSTEM ADDENDUM

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

This page intentionally left blank

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

ANNEX 1

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

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

TABLE OF CONTENTS

1.	INTRODUCTION AND OVERVIEWS	7
1.1	Overall Introduction	7
1.1.1	What is this document used for?	7
1.1.2	What is included in this document?	7
1.1.3	What is not included in this document?	7
1.1.4	Structure of the Movement Reference Number (MRN)	7
1.2	The Import control system (ICS)	9
1.2.1	Business processes	9
1.2.2	Risk management	9
1.2.3	Economic Operator registration and Identification (EORI)	10
1.2.4	Authorised Economic Operator (AEO)	10
1.3	Fallback	10
2.	CO1 - PROCESS ENTRY SUMMARY DECLARATION	13
2.1	CO1A (SUM) – Process Entry Summary Declaration at Office of Lodgement	13
2.2	CO1B (SUM) – Process Entry Summary Declaration at Office of first Entry	18
2.3	CO1C (SUM) – Process Entry Summary Declaration at Office of subsequent Entry	29
2.4	CO1D(SUM) - Process international diversion at office of first entry	32
3.	C03 - PROCESS PRESENTATION	37
3.1	CO3A – Presentation at Actual Office of first Entry	37
3.2	CO3B – Presentation at Actual Office of subsequent Entry	44
3.3	CO3C – Release for Entry at Actual Office of Entry	51
4.	INDEX OF EBPS	55

TABLE OF FIGURES

Figure 1: Overview of ICS-Core Business – ENS lodged at an Office of Lodgement	11
Figure 2: Overview of ICS-Core Business – ENS lodged at an Office of first Entry	12
Figure 3: CO1A (SUM) – Process Entry Summary Declaration at Office of Lodgement	13
Figure 4: CO1B (SUM) – Process Entry Summary Declaration at Office of first Entry	19
Figure 5: CO1C (SUM) – Process Entry Summary Declaration at Office of subsequent Entry	29
Figure 6: C01D – Process international diversion at Office of first Entry	33
Figure 7: CO3A – Presentation at Actual Office of first Entry	38
Figure 8: CO3B – Presentation at Actual Office of subsequent Entry	45
Figure 9: CO3C– Release for Entry at Actual Office of (first or subsequent) Entry.....	51

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

1. INTRODUCTION AND OVERVIEWS

1.1 OVERALL INTRODUCTION

The objective of the Automated Import System (AIS) is to ensure that import operations starting in one Member State can be completed in another Member State without re-submission of the same information. This includes the exchange of electronic messages related to the different stages of the operations amongst the various actors (Customs, Traders, Trader's representative and other governmental administrations).

1.1.1 WHAT IS THIS DOCUMENT USED FOR?

The FTSS-AIS Addendum provides for the Functional System Specifications for the Import Control System (ICS) which will be part of the Functional Import System Specifications (FISS). The present document is the basis for the development of the technical specifications which consist mainly of the DDNIA – 'Design Document for National Import Application' and the 'Scope document'.

As far as the common domain is concerned, user requirements (as documented by the AISWG-Automated Import System Working Group) have been built in the FISS where feasible and relevant for this phase of the project. However, for the purpose of practicability and interoperability on international level, FISS go beyond the user requirements.

1.1.2 WHAT IS INCLUDED IN THIS DOCUMENT?

In a first step, the Import Control System (ICS) shall be implemented. It shall be considered as the first step towards the AIS and provide for the handling of Entry summary declarations (ENS) and for the presentation of goods (arrival notification) for all modes of transports. The present document covers the scope of the system for ICS as identified by the MASP (Multi Annual Strategic Plan).

1.1.3 WHAT IS NOT INCLUDED IN THIS DOCUMENT?

The handling of the customs declarations is not within the scope of this first project phase but subject to the Modernised Customs Code (MCC). Therefore neither simplified procedures (local clearance), nor simplified declarations or incomplete declarations (as documented in table 6 of Annex 30A to Reg. (EC) No 1875/2006) are specified here. Furthermore, the functionalities in relation to the access to summary declaration data in the economic operator's computer system according to Art 36 a (2) second sub-paragraph are not dealt with.

The FISS do not include SEAP-aspects (Single European Access Point). However, some of the functionalities will be provided already by the described system for ICS (e.g. lodgement of Entry summary declaration in one Member State and the forwarding to another Member State).

1.1.4 STRUCTURE OF THE MOVEMENT REFERENCE NUMBER (MRN)

In the context of ICS, the Movement Reference Number is allocated by the Member State which (after validation) accepts/registers the received Entry Summary declaration.

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

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

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

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

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

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

1.2 THE IMPORT CONTROL SYSTEM (ICS)

1.2.1 BUSINESS PROCESSES

This document presents the various business processes related to:

- **Process CO1** - the Entry summary declaration to be provided at the Office of Lodgement or at the Office of first Entry for goods entering the Customs territory of the Community; The process C01D specifies the process to be used for a diversion of the active means of transport to an Actual Office of first Entry which is located in another Member State than:
 - where the Office of first Entry (declared in the Entry summary declaration) is located and
 - where the Office(s) of subsequent Entry (declared in the Entry summary declaration) are located.
- The exchange of relevant common safety and security risk analysis results related to a specific Entry summary declaration. The specifications for risk management and risk profiling however will be provided by the interfacing risk management framework (RMF);
- **Process CO3A** - the presentation (arrival notification) of goods to be unloaded at the Actual Office of first Entry, including the references (MRN) to the previously lodged Entry summary declarations;
- **Process CO3B** - the presentation of the goods (arrival notification) to be unloaded at the Office of subsequent Entry including:
 - o the references (MRN) to the previously lodged Entry summary declarations or
 - o the summary declaration data in accordance with Art. 184f of the Customs Code Implementing Provisions (non regular shipping service);
- **Process CO3C** - the release for Entry (release for customs approved treatment or use) at the Actual Office of (first or subsequent) Entry, including the 'conversion' of the Entry summary declaration into the "summary declaration" (Customs Code Art. 40) being the basis for the subsequent customs procedure(s). By 'conversion' the change of the legal status is meant: technically speaking this is achieved by updating the import operation state of the corresponding data set.

The processes are based on:

- Regulation (EC) no 648/2005 (the so-called "security amendment" to the Community Customs Code),
- Implementing provisions (Commission Regulation (EC) No 1875/2006 of 18 December 2006), including the provisions of Annex 30A describing the data elements to be presented and processed.
- The presentation of goods is indeed not part of the safety and security provisions but required on the basis of Art. 40 of the Customs Code

1.2.2 RISK MANAGEMENT

1.2.2.1 DEFINITIONS

- In the context of this document the term 'common safety and security risk analysis' refers to the risk analysis covered by regulation 648/2005 and 1875/2006 (the common risk analysis covered by the so called security amendment).
- National risk analysis is to be understood as other than common safety and security risk analysis (e.g. fiscal or additional safety and security risk analysis based on national provisions). The latter is national matter.

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

1.2.2.2 INTERFACE ICS-RISK ANALYSIS SYSTEM

- ICS interfaces with the national risk analysis systems of the Member States and ensures that risks analysis is initiated (when required) once the received data is validated and accepted by the Customs ICS.
- The national risk analysis systems of the Member States carry out the required common risk analysis for safety and security - and where appropriate national risk analysis - and sends back the risk analysis results to ICS.
- Based on the last digit of the risk analysis result code (see Appendix A3- Code list) which is reported back to ICS, ICS initiates the appropriate further processing of the Entry summary declaration.
- ICS forwards the relevant common safety and security risk analysis results related to a specific transaction (i.e. to an Entry summary declaration) to the relevant Customs Offices involved in the process.

1.2.3 ECONOMIC OPERATOR REGISTRATION AND IDENTIFICATION (EORI)

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

1.2.4 AUTHORISED ECONOMIC OPERATOR (AEO)

- AEO and their AEO-certificates will be registered in the AEO-database.
- When validating a received data set (e.g an Entry summary declaration) for which the reduced AEO-dataset is declared, ICS consults the AEO-database to checks whether the appropriate Traders are registered as AEO and whether they have a valid AEO-certificate of the relevant type. The query will be performed on the basis of the declared TIN.
- When an Entry summary declaration has been lodged by an AEO who has the appropriate AEO certificate, ICS may, before the arrival of the goods into the customs territory of the Community, notify him when, as a result of the safety and security risk analysis, the consignment has been selected for further physical control. The decision is up to the Customs.

1.3 FALLBACK

This document does not address cases where one of the ICS components is not functioning (fallback). In this respect, reference is made to doc. TAXUD1465/2007 which addresses- on a high level basis-, different occurrences of fallback. Once this document is approved, an in-depth examination will be carried out and a proposal for an administrative arrangement will be drafted.

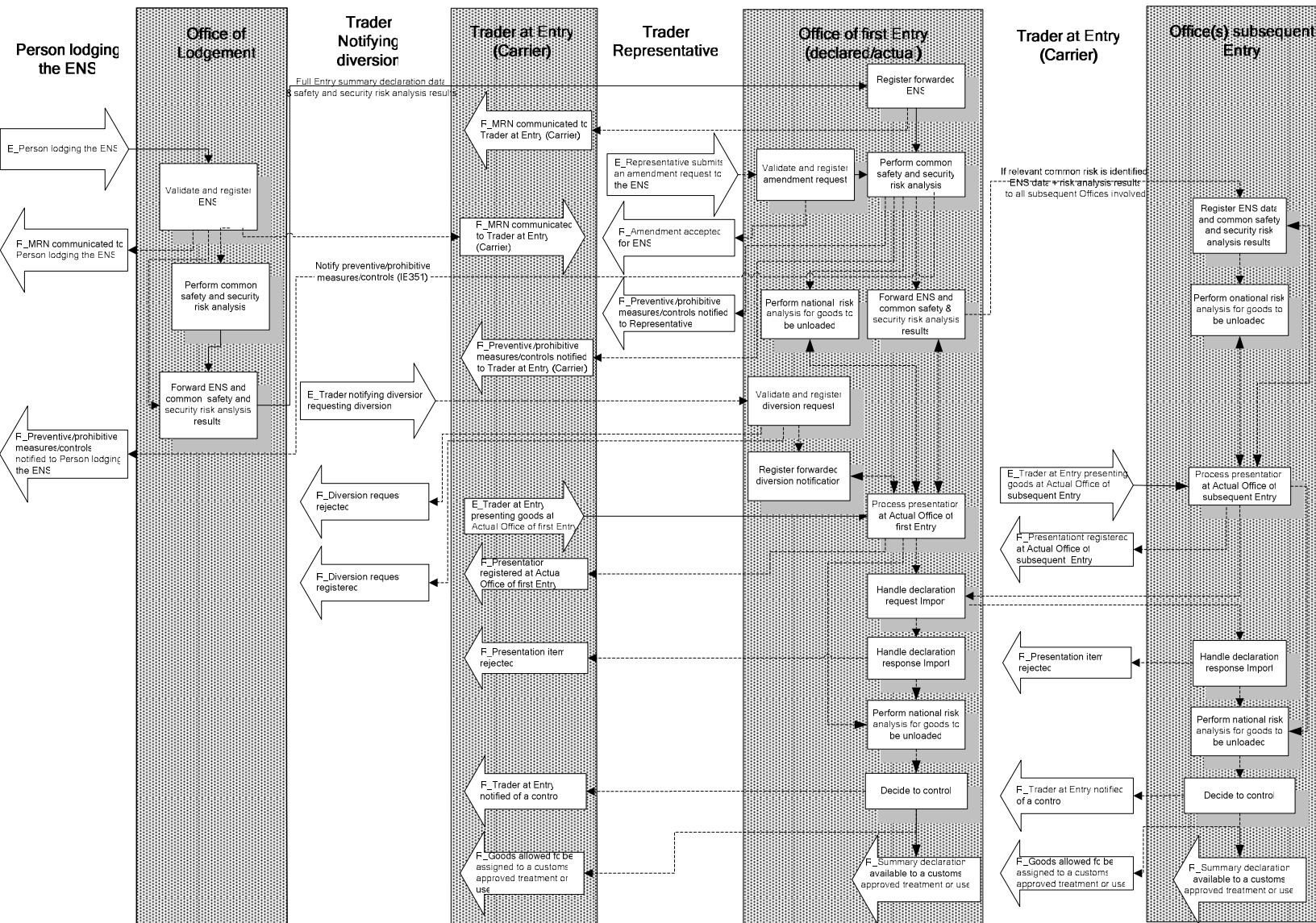


Figure 1: Overview of ICS-Core Business – ENS lodged at an Office of Lodgement

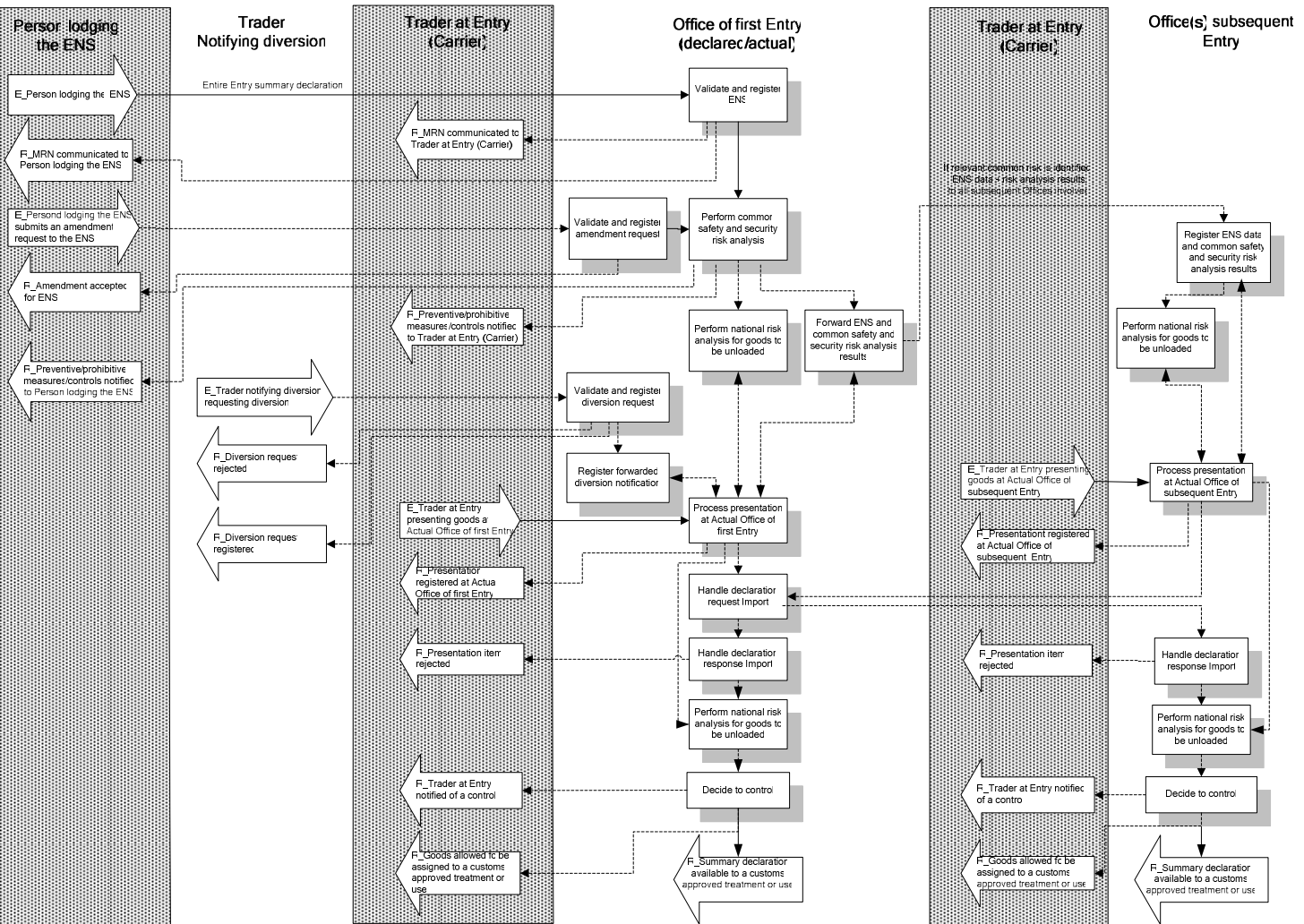


Figure 2: Overview of ICS-Core Business – ENS lodged at an Office of first Entry

2. CO1 - PROCESS ENTRY SUMMARY DECLARATION

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

This process is used only if the Entry summary declaration (ENS) is lodged at another Office than the Office of first Entry. If the ENS is sent directly to the Office of first Entry, then this process is not used but process CO1B is performed instead.

AIS forwards the ENS and the common risk analysis results to the Office of first Entry.

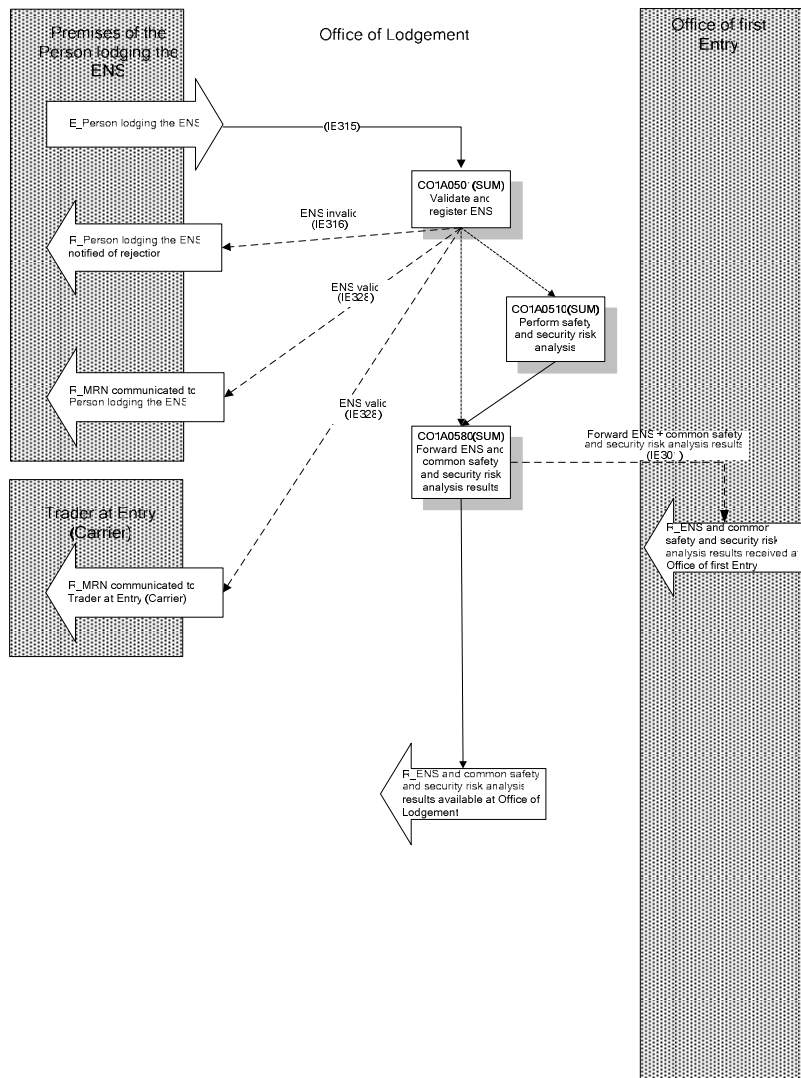


Figure 3: CO1A (SUM) – Process Entry Summary Declaration at Office of Lodgement

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

Major Events

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

Processes

Validate and register ENS	Process: CO1A0501(SUM)
Organisation : National Customs Administration	
Location : Office of Lodgement	
<p>Constraint :</p> <p>The ENS can be lodged at another Office than the Office of first Entry only if Customs at the Office of Lodgement and at the Office of first Entry allow so.</p> <p>The ENS shall be lodged within the time limits stipulated in the regulation.</p>	
<p>Description :</p> <p>The ENS data is sent (IE315) by electronic means (EDI).</p> <p>The local reference number (IE315.IMPORT OPERATION.LRN) is required to allow the Person lodging the ENS and the Office of Lodgement to uniquely identify the ENS in the AIS. AIS checks that the provided LRN in conjunction with the Person lodging the ENS is unique.</p> <p>Validation of the ENS must be performed according to the rules and conditions set out in Appendix B2 (message specifications). The validation process can be a completely automatic process.</p> <ul style="list-style-type: none"> - The specific circumstance indicator in the ENS (IE315.IMPORT OPERATION.Specific circumstance indicator) is used to identify the dataset according to Annex 30A of regulation 1875/2006. If no specific circumstance indicator is provided, then the (full) default dataset is required. - Economic Operator Registration and Identification (EORI): If the Trader has a valid EORI - TIN (Trader identification number) then it shall be declared. Others than EORI-TIN shall not be used. - Identification of Authorised Economic Operators (AEO): <ul style="list-style-type: none"> • When EORI will be implemented: the Trader Identification Number (TIN) for the Person lodging the ENS is required in the ENS. Based on the TIN, AIS checks in the AEO-database - whether or not - the owner of the provided TIN is an AEO and checks the type of the AEO certificate; • If the Person lodging the ENS and all the Consignees declared in the ENS have a valid AEO certificate of type 'AEOS' (AEO certificate – Safety and Security) and/or 'AEOF' (AEO certificate – Customs simplifications/safety and security) and if the specific circumstance Indicator 'E' is declared in the ENS, then only the reduced AEO-dataset is required. - If the Person lodging the ENS wants to authorise another party to amend his ENS at the Office of first Entry, then he shall declare an EORI registered Representative (IE315.TRADER Representative) acting in the name of and on behalf of the Person lodging the ENS. The Representative's EORI TIN shall be declared in the ENS and he shall be connected to the AIS of the Member State where the Office of first Entry is located. <p>The Trader at Entry (IE315.TRADER at Entry (Carrier) shall be declared by the Person lodging the ENS. If that Trader at Entry (Carrier) is EORI registered, then its EORI TIN shall be declared. . For ENS related to maritime and air transportation the Trader at Entry(Carrier) shall, at the very least, be connected to the AIS of the Member State where the Office of first Entry is located and may elect also to be connected to the AIS of</p>	

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

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

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

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

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

Final situation :

If the ENS is not valid:

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

If the ENS is valid:

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

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

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

- Last digit of risk analysis result code = '0' (zero): No risk identified.
The IMPORT OPERATION STATE is set to 'ENS-common risk analysis registered'.
Final situation :
The results of the full common risk analysis performed by the Office of Lodgement are recorded in AIS with the ENS data and in the AIS-format used for communication (see messages, data group 'RISK ANALYSIS RESULTS').
The IMPORT OPERATION STATE is set to 'ENS-common risk analysis registered'.

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

Major Results

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

R_MRN communicated to Person lodging the ENS
Organisation : National Customs Administration

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

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

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

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

Minor Result

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

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

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

This process shall be used in any case.

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

- **The ENS has been lodged at another Office (Office of Lodgement)**
In this case the ENS and – if available – the relevant common safety and security risk analysis results (risk analysis results for which the last digit is 'A', 'B' or 'C') are received (IE301) from the Office of Lodgement. An IE301 is generated in cases where the Office of Lodgement and the Office of first Entry are located in different Member States.
- **The ENS is sent by the Person lodging the ENS directly to the Office of first Entry**

The overall assumptions for the Office of first Entry are:

- It shall carry out common safety and security risk analysis (definition: see introduction chapter).
- It shall perform national risk analysis (definition: see introduction chapter) upon reception of the ENS (prior to the arrival) or upon reception of the arrival notification (C03A) for all the goods to be unloaded. However, this is not covered by the safety and security regulation.
- It shall inform the Person lodging the ENS and the Trader at Entry (carrier) in cases goods shall not be loaded (sending of the IE351). In case a Representative acts in the name and on behalf of the Person lodging the ENS, then the Representative shall be informed instead of the Person lodging the ENS.
- If an Office of subsequent Entry is declared and if relevant common safety and security risk (risk analysis results for which the last digit is 'A', 'B' or 'C') is identified or confirmed by the Office of first Entry, then it shall forward the data to all declared Offices of subsequent Entry. It has two options:
 1. Extract the ENS data for which relevant common risk is identified (IE319.IMPORT OPERATION.Information type '1'): In this case it shall:
 - either forward the full ENS and the relevant common safety and security risk analysis results (if risk is identified on header-level of the ENS or if relevant common risk is identified for all of the goods items) or,
 - forward the full ENS-header data, the data of the goods item(s) for which relevant common risk is identified and the risk analysis results (if risk is identified for one or more goods items, but not for all of them)..
 2. Always sent the full ENS data and the relevant common safety and security risk analysis results (IE319.IMPORT OPERATION.Information type '2') to all declared Offices of subsequent Entry).

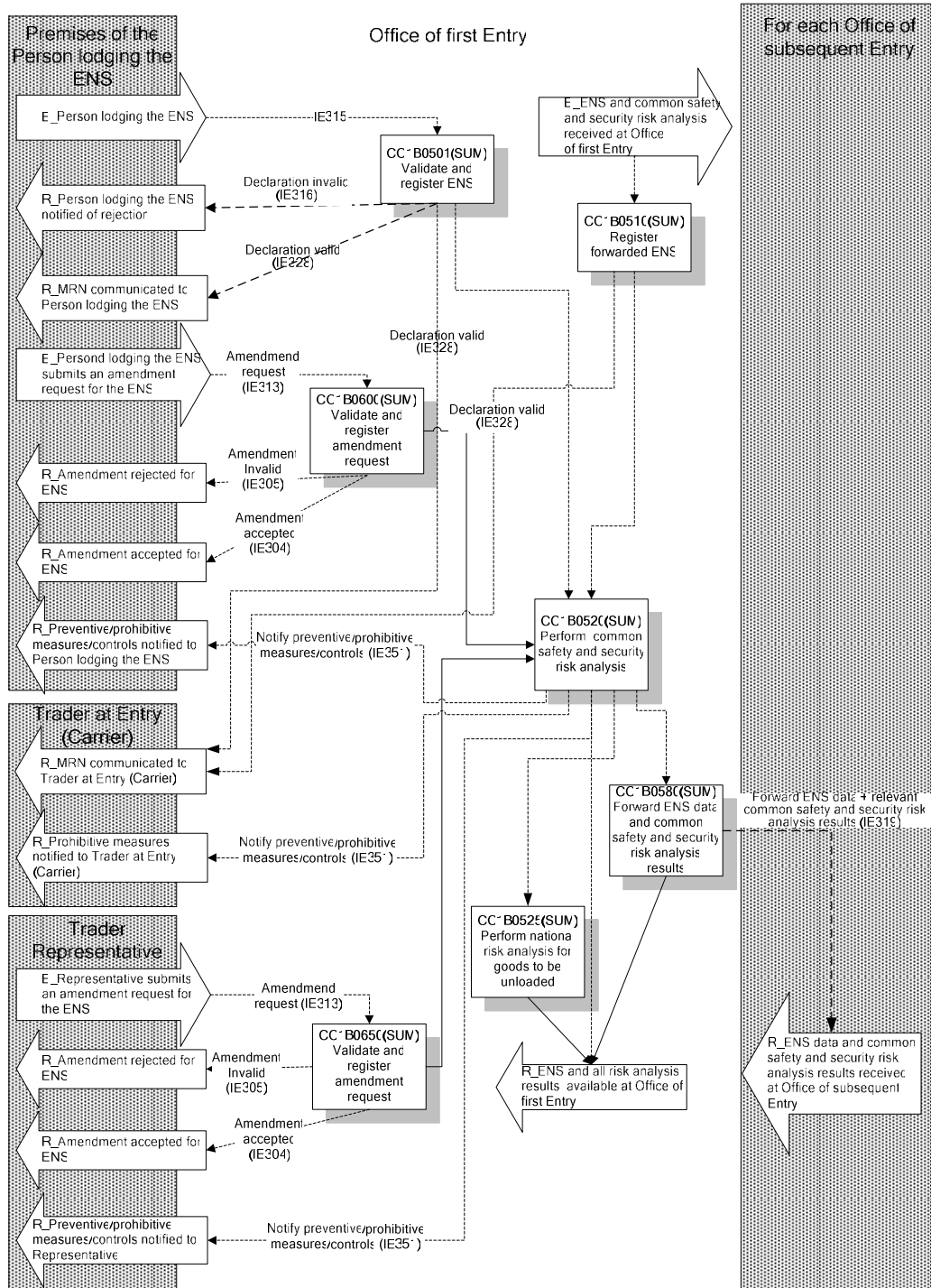


Figure 4: CO1B (SUM) – Process Entry Summary Declaration at Office of first Entry

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

Major Event

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

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

Minor Events

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

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

Processes

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

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

<ul style="list-style-type: none"> - he is different from the Person lodging the ENS; - he is connected to the AIS of the Member State where the Office of first Entry is located. <p>Final situation : Same as C01A0501.</p>
--

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

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

However, the competent services of the Customs should be given the possibility to amend/overrule the safety and security risk analysis results provided by the Office of Lodgement, if required.

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

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

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

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

- Last digit of the risk analysis result code = 'A': The Office of first Entry shall send a no load notification (IE351) to the appropriate Traders in order to prevent goods to be loaded at the port of loading. The code can be used only in cases where the regulation provides for a no load notification;
- Last digit of the risk analysis result code = 'B': Common risk for which an immediate action is required at the Office of first Entry is identified;
- Last digit of the risk analysis result code = 'C': Common risk to be communicated to the Office(s) of subsequent Entry in other EU Member States is identified;
- Last digit of the risk analysis result code = 'N' (national risk analysis result): shall not be used.
- Last digit of risk analysis result code = '0' (zero): No risk identified.

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

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

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

Following actors are notified by means of the IE351:

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

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

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

<ul style="list-style-type: none"> • he is different from the Person lodging the ENS; • he is connected to the AIS of the Member State where the Office of first Entry is located. <p><u>If the ENS has been lodged at the Office of first Entry:</u></p> <ul style="list-style-type: none"> - The Person lodging the ENS having sent an accepted ENS or amendment request: <ul style="list-style-type: none"> • shall be notified about no load decisions and • may be notified about other customs interventions/controls , if he is an AEO of type 'AEOS' and/or 'AEOF'. - The Trader at Entry (Carrier): shall be notified about no load decisions, if all of the following conditions are met: <ul style="list-style-type: none"> • he is declared in the ENS and has a valid EORI TIN; • he is different from the Person lodging the ENS; • he is connected to the AIS of the Member State where the Office of first Entry is located. <p>If the Representative or the Trader at Entry can not be informed by sending an IE351, then alternative means of communication shall be used.</p> <p>Final situation : The full ENS and the common safety and security risk analysis results are available at the Office of first Entry and recorded in AIS.</p> <p>The customs interventions/controls at Entry (if any) are notified to the appropriate actors prior to the arrival. The IMPORT OPERATION STATE is set to 'ENS-common risk analysis registered'.</p>
--

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

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

Forward ENS data and common safety and security risk analysis results	Process: CO1B0580(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
<p>Constraint :</p> <p>This process shall be performed if both of following conditions are fulfilled:</p> <ul style="list-style-type: none"> - Office(s) of subsequent Entry are involved (the data group 'CUSTOMS OFFICE of subsequent Entry' is present) and - The Office of first Entry has recorded /confirmed risk analysis results for which the last digit of the risk analysis result code is 'A', 'B' or 'C'. <p>The Office of first Entry shall forward the full ENS or the appropriate ENS data and the relevant safety and security risk analysis results immediately after registration of the ENS and risk analysis to all Office(s) of subsequent Entry. However, if one single ENS contains goods for more than one Office of subsequent Entry of the same MS, then only one IE319 shall be sent.</p>	
<p>Description :</p> <p>If the constraint is met, then the Office of first Entry forwards (IE319) the full ENS or the appropriate ENS data and the relevant common safety and security risk analysis results, to all declared Office(s) of subsequent Entry. The Office of first Entry has two options:</p> <ul style="list-style-type: none"> - Extract the ENS data for which relevant common risk is identified (IE319.IMPORT OPERATION.Information type '1'): In this case the following data shall be forwarded: <ul style="list-style-type: none"> • If risk is identified on header-level of the ENS or if risk is identified for all of the declared goods items: the full ENS and the risk analysis results for which the last digit of the risk analysis result code is 'A' , 'B' or 'C' shall be sent, This is the case if: <ul style="list-style-type: none"> • the data group 'RISK ANALYSIS' is present and; • the last digit of at least one of the risk analysis result codes is 'A' , 'B' or 'C'; • the 'Item number (box 32) involved' for at least one occurrence is not present or the data group 'RISK ANALYSIS' including the 'Item number (box 32) involved' is present for each of the goods items declared in the ENS. • If risk is identified for one or more goods items (but not for all of them): the full ENS-header data, the full goods item data for which relevant risk is identified and the risk analysis results for which the last digit of the risk analysis result code is 'A' , 'B' or 'C' shall be sent. This is the case if: <ul style="list-style-type: none"> • the data group 'RISK ANALYSIS' is present and ; • the risk analysis result code 'A' , 'B' or 'C' is present; • the 'Item number (box 32) involved' for all occurrences of the data group 'RISK ANALYSIS' is used; • the data group 'RISK ANALYSIS' including the 'Item number (box 32) involved' is present for some of the goods items declared in the EN, but not for all of them. - Always sent the full ENS data (IE319.IMPORT OPERATION.Information type '2') and the risk analysis results for which the last digit of the risk analysis result code is 'A' , 'B' or 'C'. <p>Taking into account that an ENS can be amended at the Office of first Entry after the sending of the IE319 for the corrected previous ENS, AIS must be able to deal with multiple IE319 for the same MRN.</p> <p>Final situation :</p> <p>If subsequent Offices of Entry are involved (subsequent Offices of Entry declared) and if common risk is identified for the ENS or at least one goods item of it, then the full ENS or the appropriate ENS data and the common risk analysis results is forwarded to all Offices of subsequent Entry declared. The ENS and the risk analysis results shall not be deleted at the Office of first Entry after forwarding the data.</p>	

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

Validate and register amendment request	Process: CO1B0600(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
<p>Constraint :</p> <p>This process shall be performed only if an amendment request (IE313) is received from the Person lodging the ENS.</p> <p>The time limits for the lodging of ENS stipulated in the regulation do not apply for amendment requests. However, the Office of first Entry shall perform common risk analysis for safety and security for the amended ENS.</p> <p>The amendment request shall be sent to the Office of first Entry where the initial ENS had been sent to. An amendment request may concern the creation, modification or deletion of data within a declaration. A cancellation of an entire declaration is not to be regarded as an amendment.</p>	
<p>Description :</p> <p>The amendment request (IE313) is submitted by electronic means (EDI). It contains all values of the original declaration altered with the requested amendments.</p> <p>The amendment request is received and validated according to the rules and conditions set out in Appendix B2 (message specifications) at the Office of first Entry:</p> <ul style="list-style-type: none"> - AIS validates the amendment request. The validation process can be a completely automatic process; - AIS checks that the amendment is made on an already registered declaration (data accepted by Customs and MRN allocated already); - AIS checks that the Trader sending the amendment request is equal to the Person having lodged the ENS; - AIS checks that the ENS is sent to an Office of first Entry that is located in the same Member State as the initially declared Office of first Entry; - AIS checks if the Office of first Entry still can accept an amendment request. It can no longer accept an amendment request if one of the following conditions is met: <ul style="list-style-type: none"> • The Trader has been informed that the Office of first Entry intend to examine the goods; • The Customs Authorities have established that the particulars in question are incorrect; • The Office of first Entry has accepted the corresponding presented arrival notification and allowed the removal of the goods. - Identification of Authorised Economic Operators (AEO): <ul style="list-style-type: none"> • When EORI will be implemented: the Trader Identification Number (TIN) for the Person lodging the ENS is required in the ENS. Based on the TIN, AIS checks in the AEO-database - whether or not - the owner of the provided TIN is an AEO and checks the type of the AEO certificate. <p>If the 'specific circumstance indicator' value 'E' (reduced dataset for AEO) is declared, the 'Person lodging the ENS' and all 'Consignees' declared in the ENS must have a valid AEO certificate of type 'AEOF' and/or AEOS.</p> <p>If the amendment request is invalid, it is automatically rejected, the rejection reason is registered and communicated (IE305) to the sender of the amendment request. The process stops here (see dashed line labelled “Amendment invalid”). The original ENS (in case of multiple amendment requests, the latest accepted version of the declaration) remains valid.</p> <p>If the amendment request is valid, it is accepted and registered in AIS and the acceptance is communicated (IE304) to the sender of the amendment request and if all of the following conditions are met to the Trader at Entry (Carrier):</p> <ul style="list-style-type: none"> - he is declared in the ENS and has a valid EORI TIN; - he is different from the sender of the amendment request; 	

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

<p>- he is connected to the AIS of the Member State where the Office of first Entry is located:</p> <p>- he has applied for this functionality in that Member State¹.</p> <p>The process continues as described in CO1B0520(SUM) – Perform full risk analysis for safety and security.</p> <p>Final situation :</p> <p>The amendment request is rejected (the IMPORT OPERATION STATE does not change) or accepted (the IMPORT OPERATION STATE is set to 'ENS registered).</p>

Validate and register amendment request	Process: CO1B0650(SUM)
Organisation : National Customs Administration	
Location : Office of first Entry	
<p>Constraint :</p> <p>This process is only used if an amendment request (IE313) is received from a Representative of the Person lodging the ENS. Same as C01B0600(SUM).</p>	
<p>Description :</p> <p>Same as C01B0600(SUM). The only difference is:</p> <ul style="list-style-type: none"> - AIS checks that the Trader sending the amendment request is the Representative declared in the initial ENS (the Representative declared by the Person lodging the ENS). - Identification of Authorised Economic Operators (AEO): <ul style="list-style-type: none"> • When EORI will be implemented: the Trader Identification Number (TIN) for the Person lodging the ENS is required in the ENS. Based on the TIN, AIS checks in the AEO-database - whether or not - the owner of the provided TIN is an AEO and checks the type of the AEO certificate. <p>If the 'specific circumstance indicator' value 'E' (reduced dataset for AEO) is declared, the 'Person lodging the ENS', the 'Representative' and all 'Consignees' declared in the ENS must have a valid AEO certificate of type 'AEOF' and/or AEOS.</p> <p>If the Representative sends an amendment request, then he acts in the name and of behalf of the Person lodging the ENS.</p> <p>Final situation :</p> <p>Same as C01B0600(SUM)</p>	

Major Results

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

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

¹ Decision to be taken by Customs Code Committee.

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

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

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

Minor Results

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

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

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

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

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

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

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

Constraints

Remark

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

Given the above situation, the Entry summary declaration data and the risk analysis results will be deleted at the Office of first Entry and at Offices of subsequent Entry, if not used, after a time span to be agreed upon.

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

This process shall be performed if all or some items of an ENS are destined to be unloaded at one or more Office(s) of subsequent Entry and if the Office of first Entry has identified a relevant common risk.

The overall assumptions for the Office of subsequent Entry are:

- It shall record the received ENS data and the common safety and security risk analysis results (definition: see introduction chapter) forwarded (IE319) by the Office of first Entry.
- It shall perform national risk analysis (definition: see introduction chapter) upon reception of the ENS (prior to the arrival) or upon reception of the arrival notification (C03B) for all the goods to be unloaded.
- It shall be able to cope with situations where it has received:
 - Full ENS data and risk analysis results or,
 - Extracts of ENS data (concerning goods for which risk has been identified) and risk analysis results.
 - multiple risk analysis results for the same MRN due to amendments being made at the Office of First Entry'

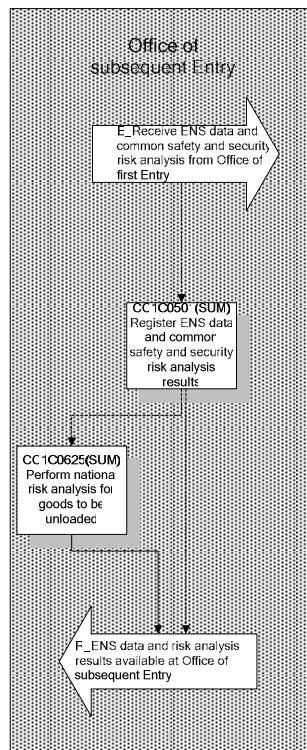


Figure 5: CO1C (SUM) – Process Entry Summary Declaration at Office of subsequent Entry

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

Major Event

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

Processes

Register ENS data and common safety and security risk analysis results	Process: CO1C0501(SUM)
Organisation : National Customs Administration	
Location : Office of subsequent Entry	
Constraint: Considering that amendments (IE313) referring to the same MRN may generate multiple IE319, such notifications are uniquely identified by the 'MRN' and the 'Declaration registration date and time'.	
<p>Description :</p> <p>The forwarded ENS data (full ENS data or the extracted ENS data for the goods for which relevant common risk analysis results are available) and the common safety and security risk analysis results are received (IE319) at the declared Office of subsequent Entry, may be validated according to the rules and conditions set out in Appendix B2 (message specifications) and shall be registered in AIS.</p> <p>AIS alerts the Customs Officer in cases the received common risk analysis result code indicates that the Office of first Entry has taken prohibitive measures (last digit of risk analysis result code = 'A' is present, no load message IE351 sent).</p> <p>If IE319.IMPORT OPERATION.Information type '2' (full ENS data and common safety and security risk analysis results) is received then the IMPORT OPERATION STATE at the Office of subsequent Entry is set to 'ENS registered'.</p> <p>If IE319.IMPORT OPERATION.Information type '1' (appropriate ENS data and common safety and security risk analysis results) is received then the IMPORT OPERATION STATE at the Office of subsequent Entry is set to 'ENS common risk analysis results registered'.</p> <p>Final situation :</p> <p>The ENS data (full or appropriate) and common safety and security risk analysis results are available in the AIS of the Office(s) of subsequent Entry. The IMPORT OPERATION STATE at the Office of subsequent Entry is set to 'ENS registered' or 'ENS common risk analysis registered'..</p>	

Perform national risk analysis for goods to be unloaded	Process: CO1C0625(SUM)
Organisation : National Customs Administration	
Location : Office of subsequent Entry	
<p>Constraint : National risk analysis can be performed in advance (upon reception of the ENS, or (and) upon presentation of goods. This is national matter, this process is therefore optional.</p> <p>If the Office of first Entry sends extracts of ENS data (IE319.IMPORT OPERATION.Information type '1') including only the data for which it had considered relevant risk, then no risk analysis can be carried at this stage by the Office of subsequent Entry for the other goods.</p>	

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

<p>Description : National risk analysis can be performed for all the goods which are declared to be unloaded at the Office of subsequent Entry and for which the Office of first Entry had sent the ENS data, on the basis of national regulations and requirements.</p> <p>Final situation : National risk analysis results are recorded in AIS. The IMPORT OPERATION STATE is set to 'ENS-national risk analysis registered'.</p>

Major Results

R_ENS data and common safety security risk analysis results available at Office(s) of subsequent Entry
Organisation: National Customs Administration
Location: Office(s) of subsequent Entry
The full ENS data or the appropriate ENS data for which relevant risk is considered and the risk analysis results are available at (all) the Office(s) of subsequent Entry.

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

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

- This process shall be performed under the condition that the active means of transport is diverted to another Member State than:
 - where the Office of first Entry (declared in the Entry summary declaration) is located and
 - where the Office(s) of subsequent Entry (declared in the Entry summary declaration) are located.

If the condition is met the carrier shall notify the Office of first Entry of the diversion by sending a diversion request (IE323) as soon as the decision to divert is confirmed.

The process is not to be performed if the Person lodging the ENS sends a new ENS to the actual Office of first Entry.

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

- The diversion request (IE323) is sent to the Office of first Entry declared in the ENS by the trader in charge of informing the Customs of the diversion or by his representative. For the purpose of this process that carrier is called 'Trader notifying diversion'.
- The diversion request shall cover all the goods loaded on the diverted active means of transport and shall either contain references which enable the Customs to unambiguously identify the diverted active means of transport or contain all the MRN(s) of the Entry summary declarations loaded on that active means of transport.
- The Office of first Entry shall process the diversion request (IE323) automatically and send the diversion notification (IE303) immediately to the Actual Office of first Entry.
- The diversion notification shall
 - either indicate that no common safety and security risk analysis results for the corresponding ENS are available or
 - it shall contain the common safety and security risk analysis results and the appropriate ENS data for the goods for which risk has been identified.

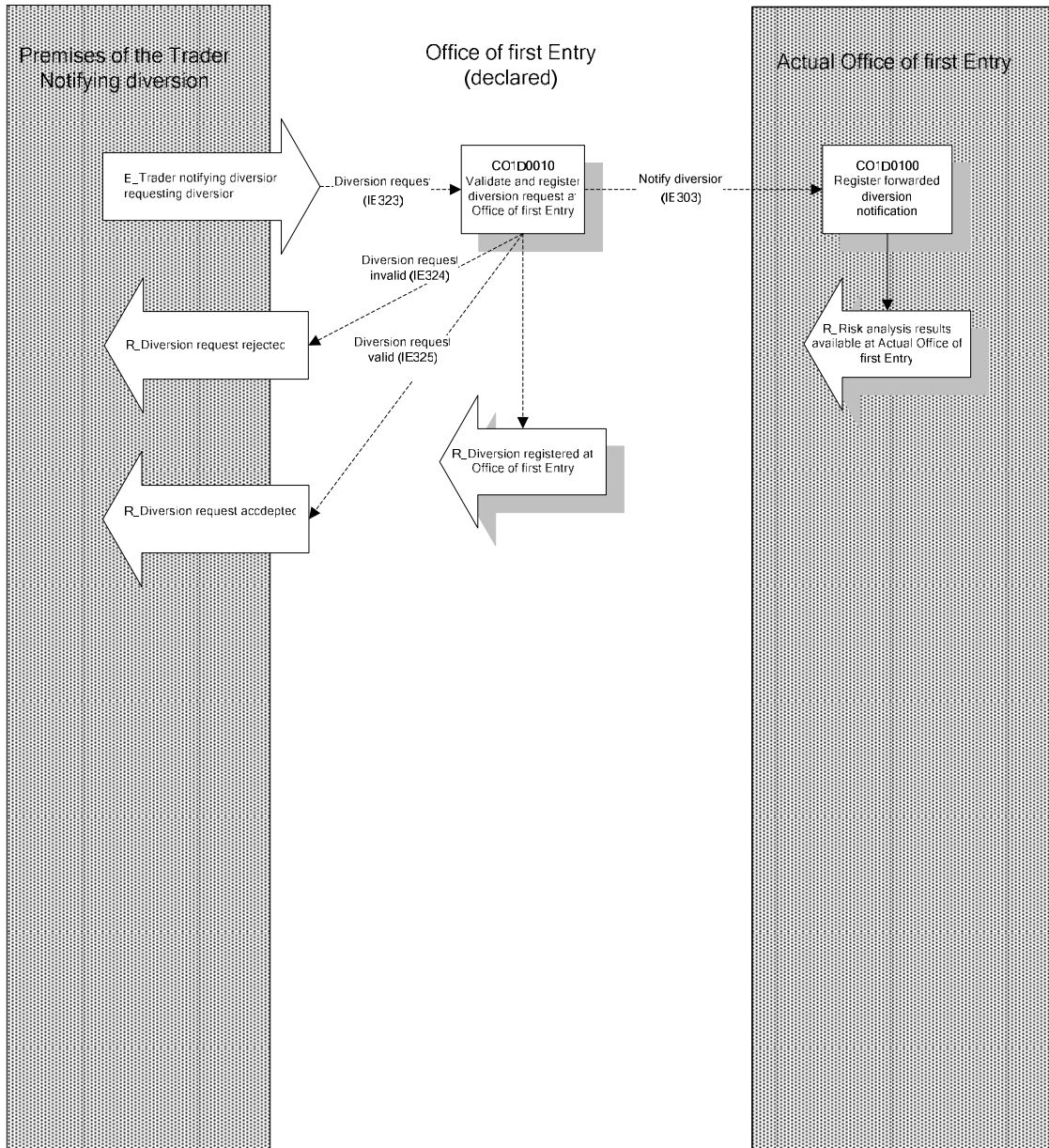


Figure 6: C01D – Process international diversion at Office of first Entry

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

Major Event

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

Processes

Validate and register diversion request at Office of first Entry	Process: CO1D0010(SUM)
Organisation: National Customs Administrations	
Location: Office of first Entry	
<p>Constraints:</p> <p>The process is performed if the Trader notifying diversion sends the diversion request to the Office of Entry declared in the ENS and if the active means of transport is diverted to an Actual Office of first Entry in another Member State than:</p> <ul style="list-style-type: none"> • where the Office of first Entry (declared in the Entry summary declaration) is located and • where the Office(s) of subsequent Entry (declared in the Entry summary declaration) are located. <p>The Trader notifying diversion shall:</p> <ul style="list-style-type: none"> - have a valid EORI TIN and declare it in the diversion request; - be connected to the AIS of the Member State where the Office of first Entry is located. <p>The Office of Entry receiving the diversion request (IE323) shall process it automatically and forward the diversion notification (IE303) immediately to the Actual Office of Entry.</p>	
<p>Description:</p> <p>The Trader notifying diversion sends a diversion request (IE323) by electronic means.</p> <p>The diversion request number (IE323.DIVERSION REQUEST.Diversion request number) is to be allocated by the Trader notifying diversion and shall be unique per Trader notifying diversion.</p> <p>The diversion request must include:</p> <ul style="list-style-type: none"> • The Actual Office of first Entry and the declared Office of first Entry • Either all the MRN(s) of the ENS that are loaded on the diverted means of transport; • Or in case of maritime and air transportation, following data elements providing a unique identification of the diverted active means of transport and enabling the Customs AIS to identify the appropriate ENS: <ul style="list-style-type: none"> • Mode of transport at border and • Expected date of arrival ('Date of arrival at first place of arrival in Customs territory' declared in the ENS according to Annex 30A of Regulation 1875/2006) and • Conveyance reference number (flight number for air transportation) or the Identity of Crossing border (IMO or ENI number in maritime transportation) <p>Validation of the diversion request must be performed according to the rules and conditions set out in</p>	

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

Appendix B2 (message specifications) and shall also include:

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

The validation shall be fully automated.

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

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

- AIS immediately sends the diversion notification (IE303) to the Actual Office of first Entry (IE303.CUSTOMS OFFICE Actual Office of Entry) providing:
 - either the common safety and security risk analysis results and the related extracted ENS data (IE303.Information type = '1' and 'Risk' = '1'), if the last digit of the risk analysis results is ‘A’, ‘B’, or ‘C’;
 - or, the information that risk analysis has not identified any common safety and security risk analysis results for the diverted ENS (IE303.Information type = '1' and 'Risk' = '0');
- AIS notifies (IE325) the Trader notifying diversion that the diversion request is accepted;
- The IMPORT OPERATION STATE of the diversion request is set to ‘Diversion registered’;
- The IMPORT OPERATION STATE of the diverted ENS is set to ‘Diversion registered’.

Final situation:

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

Register forwarded diversion notification	Process: CO1D0100(SUM)
Organisation: National Customs Administrations	
Location: Actual Office of first Entry	
Constraints:	
Description: The diversion notification (IE303) and – if available- the common security risk analysis results and the extracted ENS data for the goods for which risk is identified - are received from the Office of first Entry. The diversion notification can be validated according to the rules and conditions set out in Appendix B2 (message specifications) and must be registered in the AIS of the Actual Office of first Entry. The IMPORT OPERATION STATE at the Actual Office of first Entry is set to ‘Diversion notification registered’.	
Final situation: The diversion notification (IE303) is registered at the Actual Office of first Entry. The IMPORT OPERATION STATE is set to ‘Diversion notification registered’.	

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

Major Results

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

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

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

Minor Results

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

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

3. C03 - PROCESS PRESENTATION

3.1 CO3A – PRESENTATION AT ACTUAL OFFICE OF FIRST ENTRY

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

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

- The Trader at Entry shall provide an arrival notification for all the goods to be unloaded at this Office.
- The arrival notification shall contain references (Unique identification of the active means of transport or MRN/MRN item number) to the ENS.
- If the ENS for which references are provided in the arrival notification is not available at the Actual Office of first Entry, then the relevant ENS data/the risk analysis results shall be requested at the Office of first Entry declared in the ENS.
- The Office of first Entry can perform national risk analysis upon reception of the ENS (prior to the arrival) or upon reception of the arrival notification (C03A) for all the goods to be unloaded, however this is national matter.
- In cases where goods enter the customs territory under a NCTS-transit procedure not including Annex 30A-data, the safety and security requirements need to be covered by a separate ENS using ICS. In case the NCTS-transit procedure includes Annex 30A-data, the ICS-process for presenting goods (ICS CO3) is not performed but the NCTS-process at Office of Transit (NCTS, CO03) is performed. In case safety and security risk has been identified, the appropriate measures have to be taken within NCTS.

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

Major Event

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

Processes

Process presentation at Actual Office of first Entry	Process: CO3A0102
Organisation: National Customs Administrations	
Location: Actual Office of first Entry	
<p>Constraints: National variants possible depending on the local organisations.</p> <p>Except where national provisions allow the arrival notification to be presented in advance, the presentation process shall be initiated upon arrival of the goods.</p> <p>Member states may allow the Trader at Entry amending the presented arrival notification (IE347) but this is national matter and not described here.</p> <p>The arrival notification shall be presented for all the goods to be unloaded. It may relate to all or some of the goods items of one or more ENS(s).</p> <p>National risk analysis shall be performed – if not performed already upon reception of the ENS - for all the goods to be unloaded at this Office.</p>	
<p>Description:</p> <p>The Trader at Entry (Carrier) notifies (IE347) the arrival of those goods that are to be unloaded to the Actual Office of first Entry. The arrival notification contains:</p> <ul style="list-style-type: none"> • The Actual Office of first Entry - a reference to the ENS(s) previously lodged for the purpose of safety and security. One of the following ENS references shall be provided: <ul style="list-style-type: none"> • Either all the MRN(s) of the ENS that are loaded on the arriving means of transport; • Or in case of air- or maritime transportation, following data elements providing a unique identification of the arriving active means of transport and enabling the Customs AIS to identify the appropriate ENS: <ul style="list-style-type: none"> • Mode of transport at border and • Expected date of arrival (Date of arrival at first place of arrival in Customs territory declared in the ENS according to Annex 30A of Regulation 1875/2006) and • Conveyance reference number (flight number for air transportation) or Identity of Crossing border (IMO or ENI number in maritime transportation). - Additional data required by the Member State for the presentation of the goods; - Additional data required in the international Convention. <p>In case the corresponding ENS had been sent to an Office of first Entry (IE315. CUSTOMS OFFICE of first Entry.Reference number) located in another Member State than where the arrival notification is sent (international diversion), the 'Country Code of Office of first Entry declared' shall be declared in addition to determine where the ENS can be requested from.</p> <p>The 'MRNitem number' (IE347.CUSTOMS DATA REFERENCE DETAILS.MRN item number') shall be declared, if the arrival notification relates to one or some items of the ENS only (partial arrival). If no 'MRN</p>	

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

item number' is provided, then AIS assumes that the arrival notification covers the entire ENS (all items of the ENS);

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

If the Arrival notification is **invalid**:

- The arrival notification is rejected;
- The rejection is communicated (IE348) to the Trader at Entry (Carrier) – see dashed line 'Arrival notification invalid'.

If the arrival notification is **valid**:

- The arrival notification is registered;
- The registration is communicated (IE348) to the Trader at Entry (see dashed line 'Arrival notification valid');
- The IMPORT OPERATION STATE of the arrival notification is set to 'Arrival notification registered'.

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

- If the ENS/item number/relevant common risk analysis results could be found, then AIS checks the IMPORT OPERATION STATE of the ENS item(s):
 - If it is in an appropriate state:
 - If national risk analysis needs to be performed, process CO3A0625(SUM) is initiated;
 - If national risk analysis had been performed already upon reception of the ENS, then the IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrived at Entry'.
 - If it is not in an appropriate state:
 - The presented item is rejected;
 - The rejection is communicated (IE349) to the Trader at Entry (Carrier);
 - The IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrival notification rejected'.
- If the ENS/common risk analysis results – based on the unique identification of the arriving means of transport or MRN and the 'MRN item number' - if available - could not be found (for any reasons):
 - AIS sends a declaration request (IE302) for the missing ENS data (Information type '2') or for the common risk analysis results (Information type '1') - based on the declared unique identification of the arriving means of transport or based on the MRN/Item number to the Member State where the Office of first Entry declared is located (IE347.CUSTOMS DATA REFERENCE. Country code of Office of first Entry declared);
 - The IMPORT OPERATION STATE of the ENS/Item number for which a request (IE302) is sent is set to 'ENS for Presentation requested';
 - AIS waits for the response (IE303);
 - The process continues with CO3A0300.

Final situation:

If the arrival notification is not valid, then it is rejected and the rejection is communicated (IE348) to the Trader at Entry (Carrier).

If the arrival notification is valid:

- It is registered and the registration is communicated (IE348) to the Trader at Entry;
- A declaration request is sent (IE302), if a diversion occurs and if the ENS is not available at the Actual Office of first Entry; the response (IE303) is awaited;

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

- The Trader at Entry is notified (IE349) in case the ENS could not be found.

Handle declaration request Import	Process: CO3A0300
Organisation : National Customs Administration	
Location : Office of first Entry (declared)	
Constraint : This business process is used to obtain common risk analysis results for all the goods loaded on the means of transport in case no data is available at the requesting Office. Automated response should be returned to the requesting Actual Office of first Entry automatically and immediately.	
Description : The Office of first Entry (declared) is asked (IE302.IMPORT OPERATION.Information type '1' is present; IE302.GOODS ITEM is not present) by the Actual Office of first Entry to provide a declaration response containing the common risk analysis results and appropriate ENS data (IE303.IMPORT OPERATION.Information type 1) corresponding to: <ul style="list-style-type: none"> • all the ENS for the provided MRN(s) or • the provided unique identification of the arriving means of transport Case 1: If the requested data is not available or if the IMPORT OPERATION STATE does not allow the data to be sent, AIS sends a negative response ('IE303.IMPORT OPERATION.SUMMARY DECLARATION REJECTION' is present) to the requesting Actual Office of Entry. Case 2: If there are no relevant common risk analysis results or if the last digit of the risk analysis result code is 'N', then AIS generates a declaration response IE303. IMPORT OPERATION.Information type '1' indicating that there are no relevant common risk analysis results (E303.DECLARATION RESPONSE.Risk '0'). Case 3: In any other case, AIS retrieves the appropriate ENS data and the relevant common risk analysis and sends a positive response (IE303 IMPORT OPERATION.Information type '1' is present) to the requesting Actual Office of Entry, including the requested data. The declaration response (IE303) must contain: <ul style="list-style-type: none"> - IMPORT OPERATION.Information type '1'; - The full ENS header data according to the message specifications (Appendix B2); - The complete goods items of the ENS for which relevant common risk analysis results are available; - The relevant common risk analysis results for those items. Risk analysis results are included in the declaration response (IE303) in the following way: <ul style="list-style-type: none"> - if the last digit of the risk analysis result code is 'A', 'B' or 'C': as they are recorded; - In case the common safety and security risk analysis results are not available when the declaration request is received (e.g. in case the national risk analysis application is not available or if the declaration request is received before the risk analysis results are known) then the last digit of the risk analysis result code forwarded (IE303) to the Office which sending the declaration request is 'Z' – no risk analysis results available). AIS records the sending of the response. Final situation : A negative or a positive response is sent to the requesting Actual Office of Entry. If a positive response is sent, the IMPORT OPERATION STATE of the ENS is set to 'ENS declaration response sent'.	

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

Handle declaration response Import	Process: CO3A0400
Organisation : National Customs Administration	
Location : Actual Office of first Entry	
<p>Constraint :</p> <p>The AIS of the Actual Office of first Entry having previously sent out a declaration request (IE302) must be able to receive and process possible responses documented in CO3A0300(SUM):</p> <p>If the expected response is not received within the agreed time limits, a new declaration request (IE302) may be sent (see CO3A0102(SUM)).</p>	
<p>Description :</p> <p>The Actual Office of first Entry receives the response from the requested Office of first Entry (declared). The received response corresponds to case 1, 2 or 3 of CO3A0300(SUM):</p> <ul style="list-style-type: none"> - In case 1 and 2: <ul style="list-style-type: none"> • AIS may validate it according to the rules and conditions set out in Appendix B2 (message specifications) and shall record the received ENS data (IE303); • The IMPORT OPERATION STATE of all the related ENS goods item(s) is set to 'Arrived at Entry'; • AIS automatically checks whether or not risk analysis results are communicated by the Office of first Entry; • If risk analysis results related to preventive measures are communicated, then the AIS of the Office of first Entry proposes the ENS/item to be controlled (the control decision is registered in AIS). The Officer may either accept or take account of them when carrying out its own risk analysis (process C03C); • If risk analysis results related to prohibitive measures are communicated, then the AIS of the Office of first Entry alerts the Customs Officer and register the control decision in AIS); • Process CO3A0625(SUM) shall be performed for the goods to be unloaded. - In case 3: <ul style="list-style-type: none"> • AIS may validate it according to the rules and conditions set out in Appendix B2 (message specifications) and shall record the negative response (IE303); • The presented item is rejected; • The rejection is communicated (IE349) to the Trader at Entry (Carrier). <p>Final situation :In case 1 and 2, the positive response is recorded and the IMPORT OPERATION STATE of all the related ENS item(s) is set to 'Arrived at Entry'.</p> <p>In case 3, the negative response is recorded and communicated (IE349) to the Trader at Entry (Carrier). The IMPORT OPERATION STATE of the ENS/Item number is set to 'Presentation rejected'.</p>	

Perform national risk analysis for goods to be unloaded	Process: CO3A0625(SUM)
Organisation : National Customs Administration	
Location : Actual Office of first Entry	
<p>Constraint : National risk analysis can be performed in advance (upon reception of the ENS, or (and) upon presentation of goods. This is national matter, this process is therefore optional.</p>	
<p>Description :</p> <p>National risk analysis results are not forwarded (IE319) to Offices of subsequent Entry.</p> <p>National risk analysis is initiated by AIS and carried out by the national risk application for all the goods which are declared to be unloaded at this Office on the basis of national regulations and requirements.</p>	

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

- National analysis (other than safety and security related) shall be performed mainly on the basis of national and local criteria;
 - If risk based on national risk analysis is identified, the last digit of the risk analysis result code shall be 'N'. The other digits – if any- are to be defined at national level;
 - The risk analysis results are to be recorded in AIS;
 - The IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrival risk analysis registered'.
- Final situation :**
National analysis results are recorded in AIS.
The IMPORT OPERATION STATE of the ENS goods item(s) is set to 'Arrival risk analysis registered'.

Major Results

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

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

Minor Results

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

R_ Requested Office of first Entry (declared) notified of diversion
Organisation : National Customs Administrations
Location : Customs Office of first Entry (declared).
The diversion is recorded.

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

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

3.2 C03B – PRESENTATION AT ACTUAL OFFICE OF SUBSEQUENT ENTRY

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

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

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

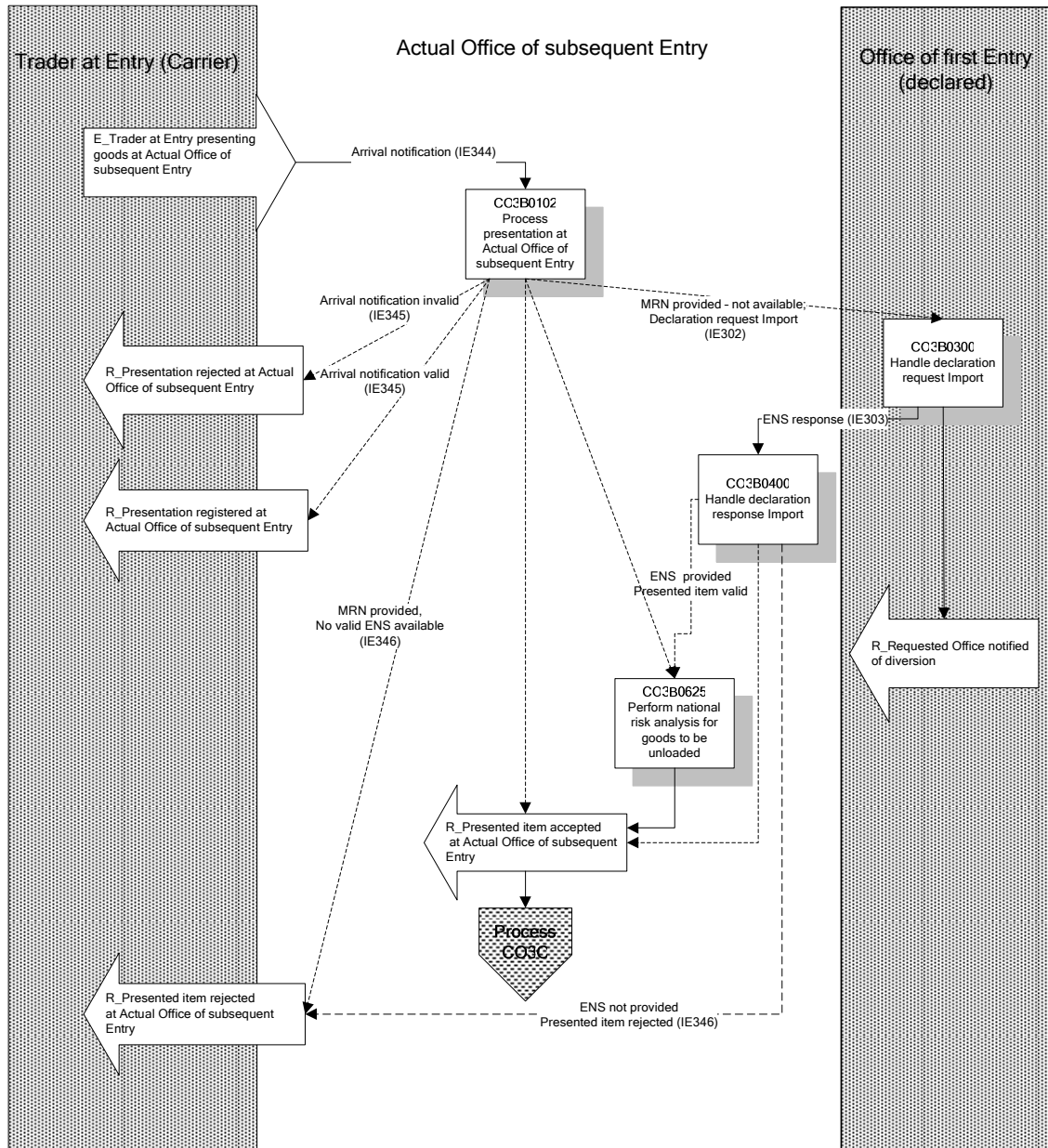


Figure 8: CO3B – Presentation at Actual Office of subsequent Entry

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

Major Event

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

Processes

Process presentation at Actual Office of subsequent Entry	Process: CO3B0102
Organisation: National Customs Administrations	
Location: Actual Office of subsequent Entry	
<p>Constraints: National variants possible depending on the local organisations.</p> <p>Except where national provisions allow the arrival notification to be presented in advance, the presentation process shall be initiated upon arrival of the goods.</p> <p>Member states may allow the Trader at Entry to amending the presented arrival notification, but this is national matter and not described here.</p> <p>For amending a previously presented arrival notifications (i.e. mainly reduction of the cargo, and/or its increase) a corrected arrival notification (IE344) shall be submitted for validation.</p> <p>The arrival notification shall be presented for all the goods to be unloaded.</p> <p>National risk analysis shall initiated by AIS and carried out by the national risk analysis application – if not carried out already upon reception of the ENS - for all the goods to be unloaded at this Office.</p>	
<p>Description:</p> <p>The Trader at Entry (Carrier) notifies (IE344) the arrival of the goods which are to be unloaded at the Actual Office of subsequent Entry (except if the regulation provides for a waiver of that requirement). The arrival notification contains:</p> <ul style="list-style-type: none"> - The Actual Office of subsequent Entry - A reference to the ENS(s) previously lodged for the purpose of safety and security. One of the following ENS references shall be provided: <ul style="list-style-type: none"> • Either all the MRN(s) of the ENS concerning goods that are loaded on the arriving means of transport; • Or in case of air- or maritime transportation, following data elements providing a unique identification of the arriving active means of transport and enabling the Customs AIS to identify the appropriate ENS: <ul style="list-style-type: none"> • Mode of transport at border and • Expected date of arrival (Date of arrival at first place of arrival in Customs territory declared in the ENS according to Annex 30A of Regulation 1875/2006) and • Conveyance reference number (flight number for air transportation) or Identity of Crossing border (IMO or ENI number in maritime transportation). - Full entry summary declaration data for all the goods which did not require an ENS (e.g. for goods loaded in an EU-port according to Art. 184f Customs Code Implementing Provisions); - Full entry summary declaration data for the remaining goods to be unloaded in case the actual Office of subsequent Entry is not able to request the full ENS data (this is the case if IE302. Information type '2' will not be in the scope of ICS); - Additional data required by the Member State for the presentation of the goods; 	

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

- Additional data required in the international Convention.

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

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

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

There are two types of goods which can be unloaded:

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

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

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

2. All other kinds of goods:

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

If the Arrival notification is **invalid**:

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

If the arrival notification is **valid**:

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

After registration:

Case 1:

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

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

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

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

Handle declaration request Import	Process: CO3B0300
Organisation : National Customs Administration	
Location : Office of first Entry (declared)	
Constraint : Same as C03A0300	
Description : Same as C03A0300. The only difference is that the requested Office of first Entry (declared) is asked (IE302) by the Actual Office of subsequent Entry.	

Handle declaration response Import	Process: CO3B0400
Organisation : National Customs Administration	
Location : Actual Office of subsequent Entry	
Constraint : Same as CO3A0400.	
Description : Same as CO3A0400. The only differences are: - The Office receiving the response (IE303) is the Actual Office of subsequent Entry.	

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

- In case 3 (rejected IE303): The rejection is communicated by use of IE346 to the Trader at Entry (Carrier).
Final situation : Same as CO3A0400.

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

Major Results

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

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

Minor Results

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

R_ Requested Office notified of diversion
Organisation : National Customs Administrations
Location : Customs Office of first Entry (declared).
The diversion is recorded.

R_ Presented item rejected at Actual Office of subsequent Entry
--

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

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

3.3 CO3C – RELEASE FOR ENTRY AT ACTUAL OFFICE OF ENTRY

The overall assumptions for this process are:

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

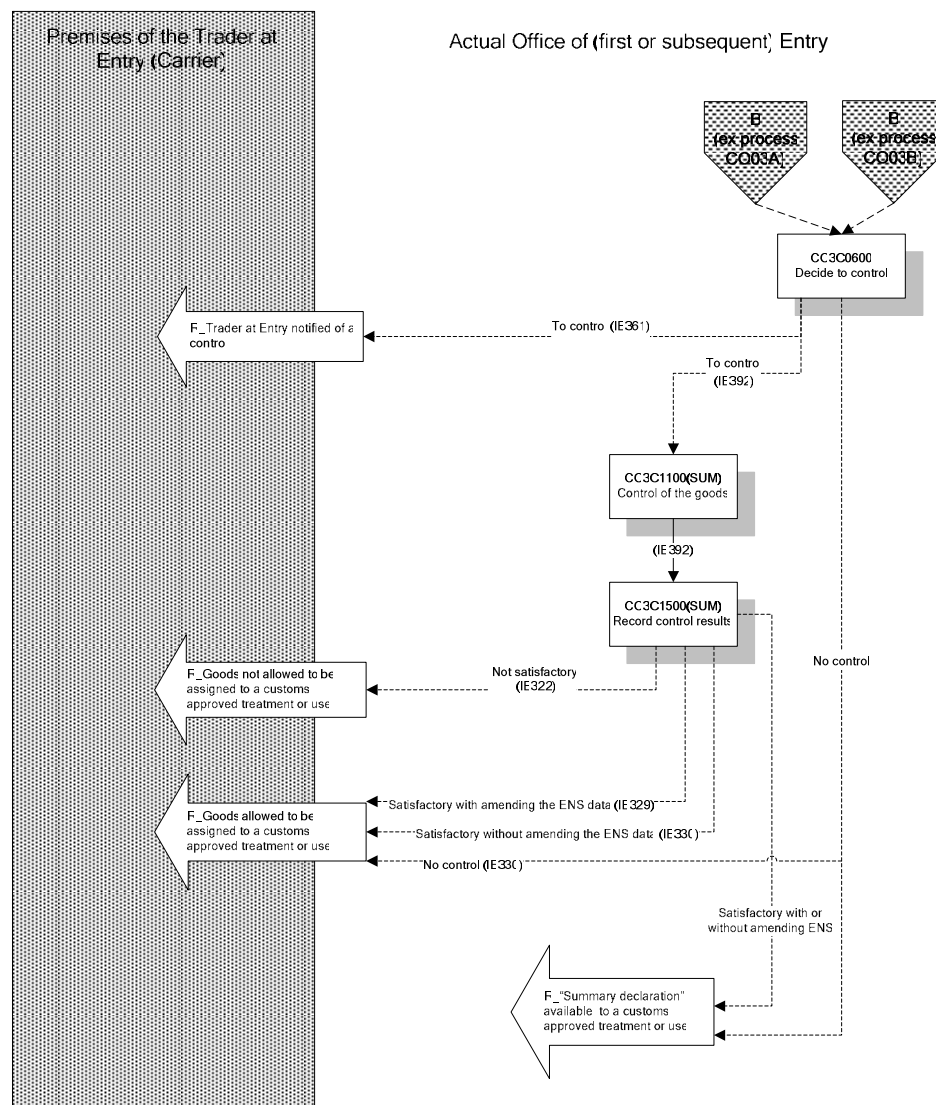


Figure 9: CO3C– Release for Entry at Actual Office of (first or subsequent) Entry

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

Processes

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

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

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

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

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

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

Major Results

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

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

Minor Results

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

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

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

4. INDEX OF EBPs

CO1A (SUM) – Process ENS at Office of Lodgement	13
CO1A0501(SUM) – Validate and register ENS	14
CO1A0510(SUM) – Perform common safety and security risk analysis	15
CO1A0580(SUM) – Forward ENS and common safety and security risk analysis results	16
CO1B (SUM) – Process ENS at Office of first Entry	18
CO1B0501(SUM) - Validate and register ENS	20
CO1B0510(SUM) – Register forwarded ENS	21
CO1B0520(SUM) – Perform common safety and security risk analysis	21
CO1B0525(SUM) – Perform national risk analysis for goods to be unloaded	23
CO1B0580(SUM) - Forward ENS and common safety and security risk analysis results	24
CO1B0600(SUM) – Validate and register amendment request	25
CO1B0650(SUM) – Validate and register amendment request	26
CO1C (SUM) – Process ENS at Office of subsequent Entry	29
CO1C0501(SUM) – Register ENS data and common safety and security risk analysis results	30
CO1C0625(SUM) – Perform national risk analysis for goods to be unloaded	30
CO1D (SUM) – Process international diversion at Office of first Entry	32
CO1D0010(SUM) - Validate and register diversion request at Office of first Entry	34
CO1D0100(SUM) – Register forwarded diversion notification	35
CO03A – Presentation at Actual Office of first Entry	37
CO3A0102 - Process presentation at Actual Office of first Entry	39
CO3A0300 - Handle declaration request import	41
CO3A0400 - Handle declaration response Import	42
CO3A0625(SUM) – Perform national risk analysis for goods to be unloaded	42
CO03B – Presentation at Actual Office of subsequent Entry	45
CO3B0102 – Process presentation at Actual Office of subsequent Entry	46
CO3B0300 - Handle declaration request import	48
CO3B0400 - Handle declaration response Import	48
CO3B0625(SUM) – Perform national risk analysis for goods to be unloaded	49
CO03C – Release for Entry at Actual Office of Entry	51
CO3C0600 - Decide to control	52
CO3C1100 - Control of the goods	53
CO3C1500 - Record control results	53