



DG TAXUD

ICS2 R2 Operational guidance for postal consignments

ICS2

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1 INTRODUCTION

1.1 Purpose

All postal consignments moved under the rules of the acts of the Universal Postal Union entering or transiting the EU, Switzerland, Norway and Northern Ireland (ICS2 countries) must be covered by an Entry Summary declaration (ENS) to be lodged in two phases:

a minimum set of pre-loading data (PLACI data set) lodged in ICS2 system by the UPU designated postal operators operating in the ICS2 countries before the goods are loaded on the means of transport, and

a complete ENS, lodged by the carrier and UPU designated postal operators operating in the ICS2 countries, before the arrival of the goods.

This document provides operational guidance to the involved stakeholders for the entry processes implemented within the ICS2 system.

This guidance also forms an integral part of the overall ICS2 implementation guidance compendium.

1.2 Scope of the document

The scope of the guidance is limited to ICS2 Release 1 & 2. In particular, this guidance covers:

- explanation of the legal basis and requirements for the entry process;
- description of the roles and responsibilities of the customs authorities and trade stakeholders;
- explanations of the postal flows and business processes;
- explanations of the ICS2 processes;
- description of the postal entry process within the context of ICS2 Release 2.

Not in scope of this document:

- Any UPU technical or operational rules and provisions;
- Any IT solutions and/or instructions related to ICS2, coming from other parties than the European Commission.

1.3 Target Audience

The intended audience for this document are:

- the representatives of the UPU designated postal operators;
- the representatives of the air carriers;
- the representatives of the ICS2 countries;
- any person involved in the ICS2 project;
- any person lodging an ENS for postal consignments.

1.4 Structure of this document

The present document contains the following chapters:

- **Chapter 1 – Introduction:** describes the scope and the objectives of the document;
- **Chapter 2 – Background:** describes the history of the implementation of security and safety measures and systems;
- **Chapter 3 – Legal basis:** describes the legal requirements for the lodgement of ENS filings;
- **Chapter 4 – Roles and responsibilities:** describes the actors involved and their roles and responsibilities;
- **Chapter 5 – ICS2 Process:** describes the ICS2 business processes relevant for the postal operators;
- **Chapter 6 – Postal business process description:** describes the postal business processes;
- **Chapter 7 – Data requirements:** elaborates details for the data elements meaning, values and data quality;
- **Chapter 8 – Transition from ICS2 R1 to R2:** describes the principles to be followed for the transition from ICS2 R1 to R2 applicable to the postal sector;

- **Chapter 9 – Business continuity:** provides reference to the document specifying the procedures to be followed in case of detected unavailability.

1.5 Reference and applicable documents

| Ref. | Title | Reference | Version | Date |
|------------------|--|---------------------------|------------------|--------------|
| R01 | ICS2 Harmonised Trader Interface Specifications | ICS2-HTI | 2.02 | 23/05/2022 |
| R04 | REGULATION (EU) No 952/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 9 October 2013 laying down the Union Customs Code | UCC | | 09/10/2013 |
| R05 | COMMISSION DELEGATED REGULATION (EU) 2015/2446 of 28 July 2015 supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards detailed rules concerning certain provisions of the Union Customs Code | UCC-DA | | 28/07/2015 |
| R06 | COMMISSION IMPLEMENTING REGULATION (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code | UCC-IA | | 24/11/2015 |
| R07 ¹ | EU guidance on air cargo security referral protocols | | 1.15 | 24/01/2020 |
| R08 | ICS2 Business continuity plan for Economic operators | ICS2-BCP-EO | v1.10 | 10/06/2022 |
| R09 | UPU Postal Transport Guide | | | October 2018 |
| R10 | UPU standard M41 PREDES v.2 | | M41-7 | 16/02/2016 |
| R11 | UPU standard M33-12 ITMATT | | M33-12 | 17/10/2017 |
| R12 | UPU standard M48 CARDIT v2.1 | | M48-6 (status 1) | 12/10/2017 |
| R13 | Vienna Convention on diplomatic relations of 18 April 1961 | | | 18/04/1961 |
| R14 | Vienna Convention on consular relations of 24 April 1963 | | | 24/04/1963 |
| R15 | New York Convention of 16 December 1969 on special missions | | | 16/12/1969 |
| R16 | COMMISSION IMPLEMENTING REGULATION (EU) No 2015/1998 of 05 Nov 2015 (effective 01 Feb 2016) laying down detailed measures for the implementation of the common basic standards on aviation security. | AVSEC measures | | 05/11/2015 |
| R17 | Guidance on acceptable and unacceptable terms for the description of goods | Working document EN v4.10 | | 04/03/2021 |
| R18 | UPU Standard S58 - General security measures | S58 | | |
| R19 | UPU Standard S59 Postal security – Office of exchange and international airmail security | S59 | | 19/04/2019 |
| R20 | Guidance document on customs formalities on entry and import into the European union | | | 2018 |
| R21 | WCO SAFE Framework of standards | SAFE Framework | | June 2005 |

Table 1: Reference documents

¹ The EU guidance on air cargo security referral protocols will be updated for ICS2 R2.

1.6 Abbreviations and Acronyms

| Abbreviation/Acronym | Definition |
|----------------------|--|
| AC | Assessment Complete |
| ACC3 | Air cargo or mail carrier operating into the EU from a third country airport |
| AEO | Authorized Economic Operator |
| AEOS | Authorized Economic Operator authorized for security and safety |
| AMS | Addressed Member State |
| AVSEC | Aviation Security |
| CARDIT | Carrier Documents International Transport |
| CFSS | Common Functional System Specifications |
| COFE | Customs Office of First Entry |
| CSD | Consignment Security Declaration |
| DNL | Do Not Load |
| DPO D | Designated Postal operator at destination |
| DPO O | Designated Postal operator at origin |
| EAD | Electronic Advanced Data |
| eCSD | Electronic Consignment Security Declaration |
| EDI | Electronic Data Interchange |
| ENS | Entry Summary Declaration |
| EO | Economic operator |
| EORI | Economic Operators Registration and Identification number |
| ETOE | Extra-territorial Office of Exchange |
| EU | European Union |
| FoS | Framework of Standards |
| GHA | Ground handling agent |
| HAWB | House air waybill |
| HRCM | High Risk Cargo and Mail |
| HTI | Harmonies Trader Interface |
| ICAO | International Civil Aviation Organization |
| ICS2 | Import Control System 2 |
| IE | Information exchange |
| IED | Improvised explosive device |
| IID | Improvised incendiary device |
| IMS | Involved Member State |
| ITMATT | ITeM ATtributes message (Name of the UPU messaging standard (M33)) |
| JWGACI | Joint ICAO WCO Working Group on Advance Cargo Information |
| LRN | Local Reference Number |
| MAWB | Master air waybill |
| Mbol | Master bill of lading |
| MRN | Master Reference Number |
| MS | Member State |
| NES | National Entry System |
| NSD | National service desk |
| PAWB | Postal Air Waybill |

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| PLACI | Pre-loading advance cargo information |
| PREDES | Pre-advised Despatch (Name of the UPU messaging standard (M41)) |
| RA | Risk analysis |
| RESDDES | REsponse to DESpatch pre-advice (to PREDES) |
| RESDIT | REsponse to Documents International Transport advice (to CARDIT) |
| Rfi | Request for Information |
| RfS | Request for Screening |
| RMS | Responsible Member State |
| STI | Shared trader interface |
| STP | Shared trader portal |
| UCC | Union Customs Code [Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code] |
| UCC-DA | Commission Delegated Regulation (EU) 2015/2446 of 28 July 2015 supplementing UCC as regards detailed rules concerning certain provisions of the UCC |
| UCC-IA | Commission Implementing Regulation (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of the UCC |
| UN/LOCODE | United Nations / Location Code for trade and transport |
| UPU | Universal Postal Union |
| WCO | World Customs Organization |

Table 2: Abbreviations and acronyms

1.7 Definitions

| Term | Definition |
|-------------------------------|--|
| AEO(S) | Authorized economic operator is a status granted to an EO as a concept that is based on a partnership between customs and business. It is granted by one MS and recognised by customs authorities in all MS. AEO(S) status can be granted to EOs, which meet the following criteria: compliance with customs legislation and taxation rules and absence of criminal offences related to economic activity, appropriate record keeping, financial solvency and appropriate security and safety measures. |
| Air pre-loading risk analysis | Air pre-loading risk analysis is a limited security risk analysis by the customs aimed to identify potential risk of (improvised) explosive device entering into the air cargo supply chain posing threat to the civil aviation (aka 'bomb-in-a-box' risk assessment). |
| CARDIT | CARDIT message contains information about a consignment ^{2b} of mail which is handed over to a carrier. It is a consignment-level message. |
| Common repository / CR | The ICS2 Common Repository is a system component of ICS2 managing the ENS lifecycles, the risk analysis processes and the analytical services. |
| Complete ENS | Complete ENS means an ENS containing all data particulars required by the legislation per specific mode of transport or business model. The complete ENS can be represented either by a full ENS filing or all necessary partial ENS filings that together contain all required data particulars. |

² Term "consignment" here refers to UPU vocabularies;

- a) consignment as "consignment service for collective items from one consignor sent abroad" (UPU Convention Manual),
- b) consignment as "Postal consignment": A consignment consists of the receptacles assigned to a specific transport, regardless of the dispatch (or dispatches) to which the receptacles belong (UPU Postal transport guide).

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| CS/RD2 | The CS/RD2 IT application is a DG TAXUD application, which implements the services to provide and validate reference data required by the ICS2 STI and CR processes. |
| Entry Summary declaration | Entry Summary Declaration (ENS) means the act whereby a person informs the customs authorities, in the prescribed form and manner and within a specific time limit that goods are to be brought into the customs territory of the ICS2 countries. |
| ENS filing | ENS filing means either partial or full ENS data set required by the legislation per specific mode of transport or business model. |
| ENS lifecycle | The ENS lifecycle is a term used to reference to the end-to-end process of the ENS statuses, from its filing until the final state of presentation, and where relevant performance of customs controls and documentation of results. |
| Extra territorial office of exchange | An office or facility established for commercial purposes and operated by UPU designated operators or under the responsibility of UPU designated operators on the territory other than their own. |
| Goods item | Goods items (articles in items) which are to be classified under different HS-codes. |
| House air waybill (HAWB) | A house air waybill (HAWB) is a form of an air waybill that is issued by a freight forwarder, express operator or an agent to its customer. |
| Harmonized System (HS) | Harmonized System of the World Customs Organization for the Classification of Goods. |
| House consignment | In ICS2 this term refers to a created entity based on the information about a consignment from a house level transport contract issued by a freight forwarder, non-vessel operating common carrier or agent to its direct contracting party (customer). |
| House consignment item | Contained items of a House consignment which require an own House consignment goods item declaration. |
| House consignment goods item | Goods items (articles in items) which are to be classified under different HS-codes require a separate goods item declaration within the House consignment of an ENS filing. |
| High Risk Cargo and Mail Screening (HRCM screening) | High Risk Cargo and Mail Screening (HRCM screening) is a notification communicated by the customs authority of the RMS to the person filing (and the carrier under certain conditions) that the goods concerned shall need to be screened as a high risk cargo and mail, in accordance with the point 6.7.3 of the Annex to Commission Decision C (2010) 774 of 13 April 2010, before being loaded on board of an aircraft bound to the customs territory of the ICS2 countries. |
| ICS2 countries | These are the countries which are part of the ICS2 project (applying EU customs legislation in the context of entry formalities and ICS2) including the EU Member States, Switzerland, Norway and Northern Ireland (as part of the implementation of the Northern Ireland protocol). |
| International Mail Processing Centres | International Mail Processing Centres or facilities for the processing of international mail exchanged either in order to generate or receive mail dispatches or to act as transit centres for international mail exchanged between other UPU designated operators (may be either an office of exchange or a mail unit or both). IMPC is typically both OE and mail unit. |
| ITMATT | ITeM ATtributes message is used to support the electronic communication between postal handling organizations on individual postal items. ITMATT is limited to information for customs and security purposes and corresponds to the content of CN22/CN23 forms. |
| Mail unit | Mail unit creates and receive consignments (term consignment within UPU is linked to transport: all receptacles assigned to a specific transport). |
| Master Air Waybill (MAWB) | Master air waybill (MAWB) is a form of an air waybill that is issued by the carrier to its direct contractual party (customer). |
| Master level ENS filing | This is a partial filing, which contains information derived from a MAWB or MboL, depending on the mode of transport. |

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| | <p>Postal dispatch can consist from one or several postal receptacles, which (if possible) shall be forwarded by the same transportation.</p> <p>The master level transport document is called Delivery Bill and is intended for transport of closed mails by air or by surface. Delivery Bill includes total number and total weigh of all receptacles. Receptacles may be from a single dispatch or many dispatches, originating from same operator-origin or being forwarded as closed transit.</p> |
| Master Reference Number | <p>Master Reference Number means the registration number allocated by the competent customs authority to declarations or notifications. The MRN is assigned for each ENS filing registered by the customs authorities and communicated back to the person filing.</p> |
| Office of Exchange | <p>Key principle of international mail is that designated UPU postal operator establishes 'offices of exchange' (OE) from which all outbound mail is dispatched and at which all inbound mail is received. Postal operators can have one or several OEs. OE creates and receives dispatches and PREDES messages.</p> |
| Person filing | <p>Person filing means any person that submits to the customs authority ENS filing in its complete or partial content and other notifications in the prescribed form and manner. This person can be any person that issues bill of lading or air waybill and can be either carrier, NVOCC (i.e. freight forwarder), or any person identified by the legal provisions obliged to submit required particulars of ENS to the customs and can include postal operator, consignee stipulated in the lowest bill of lading. Person filing also includes representative of any of the persons mentioned above that submits the ENS filing in its complete or partial content to the customs authority on behalf of the person that it is representing.</p> |
| PLACI data | <p>Pre-loading advance cargo information (PLACI)/Minimum data set 7+1 comprise consignor name and address, consignee name and address, number of packages, gross weight, goods description and transport reference number (HAWB/MAWB).</p> |
| PLACI risk analysis | <p>In the case of air cargo pre-loading, the risk analysis process is triggered at the moment of the receipt of the required minimum 7+1 PLACI data. The process is only focused on the detection of an immediate risk to aviation posed by an assembled improvised explosive device (IED) or improvised incendiary device (IID) aka 'bomb in the box' introduced on board an aircraft that could lead to the destruction of the plane and/or the loss of lives. The PLACI analysis is therefore not intended to assess or confirm the effectiveness of aviation security measures applied by the supply chain actors nor measure the compliance with these regulations or duplicate them. In the case of air transport (general cargo, postal consignments, express consignments), the pre-loading risk analysis may identify security and safety risks other than the one described above. While this result is taken into account in the further process of risk analysis at the pre-arrival stage, it does not stop the goods to be loaded on the plane at the point of departure into the EU.</p> |
| Postal Air Waybill (PAWB) | <p>The basic element airline cargo systems manage is the Master Air Waybill (MAWB) number. A MAWB number becomes a Postal Air Waybill (PAWB) number if used to identify a postal consignment in the air cargo system by applying of the special handling code "MAL" for mail. Assigning a PAWB number to a mail consignment makes it possible for airlines to manage mail in the cargo system, e.g., for booking or security declaration purposes and to distinguish mail from cargo consignments.</p> <p>The PAWB number can be communicated in CARDIT and RESDIT to help link airline mail and cargo system functionalities.</p> |
| Postal item | <p>Goods other than items of correspondence contained in a postal parcel or package and conveyed under the responsibility of or by a postal operator in accordance with the provisions of the Universal Postal Union Convention.</p> |
| Postal receptacle | <p>Postal receptacle is a physical device, which can be used to contain or carry mail to assist in its handling or transportation as a unit.</p> |

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| | Receptacle ID shall have the information about all house consignments (items with goods) inserted into it, following the principle that every item identifier (ID S10 barcode) is scanned into the receptacle. |
| Pre-arrival risk analysis | Security and safety risk analysis performed prior to the arrival of the goods into the territory of the ICS2 countries. |
| PREDES | PREDES is pre-advice of dispatch information, sent electronically. PREDES is an EDI message, defined in UPU standard M41. |
| Presentation | Presentation to customs means notifying customs that goods under customs supervision have arrived and are physically available for a (potential) control at the customs office of presentation. |
| Presentation notification | Presentation notification is a message required from the economic operator after unloading of the goods to be sent to the national presentation system (not to ICS2 HTI). |
| Transshipment | UPU vocabulary term, describing a case when postal consignments are not transported under UPU open or closed transit, but are transported via certain country(ies) only with the involvement of carriers (and carrier's transport sub-contractors). |
| Transit (closed transit) | Closed mails, passed to UPU member countries, with their obligation to forward that mails always by the quickest routes and the most secure means, which they use for their own items. |
| Transit (open transit) | Transit through intermediate country of items, whose number or weight does not justify the make-up of closed mails for destination country. |
| UUM&DS | The Uniform User Management and Digital Signatures (UUM&DS) is a unique trader interface implementing secure authorized access for Economic Operators and their representatives accessing European Customs Information Systems by enabling the use of Digital Signatures Services by these systems. |

Table 3: Definitions

1.8 General disclaimer

This guidance document is of an explanatory and illustrative nature. Customs legislation takes precedence over the content of this document and should always be consulted. The authentic texts of the EU legal acts are those published in the Official Journal of the European Union. There may also be national instructions.

2 BACKGROUND

Safeguarding the global supply chain is critical. Security measures must protect the involved stakeholders from any risks that could endanger lives, cause losses – in short, security measures shall eliminate all lethal threats.

After the Yemen air cargo security incident in 2010, the aviation ACC3 regime was put in place. The ACC3 (Air cargo or mail carrier operating into the EU from a third country airport) regime, established by the Commission Implementing Regulation (EU) No 2015/1998 and Decision C(2015)8005 [R16], stipulates that cargo and mail entering the EU on an aircraft must be controlled according to the EU air cargo screening obligations unless it comes from an airport located in a country exempted from these rules.

EU Customs Security Legislation was implemented in 2011, giving the customs authorities of the EU Member States a legal responsibility to ensure that a risk analysis is carried out and finalized primarily for security and safety purposes as an additional layer to the ACC3 regime. The next generation EU security legislation is built upon the experiences and findings obtained from many international pilots and projects on the security and safety issues.

Internationally, the PLACI principles consist of pre-loading advanced air-cargo information (PLACI data set) submission and three referral types for air-cargo are in place. These principles were taken on board of the WCO SAFE Framework of Standards in 2015 [R21].

The EU Customs pre-arrival security and safety programme is supported by the Import Control System 2 (ICS2). The implementation of this system represents a core EU customs instrument for managing entry security and safety border controls.

ICS2 system will become operational in three releases. This approach enables the economic operators to begin declaring ENS data to ICS2 based on phased requirements and the type of services they provide:

- **ICS2 Release 1 (15 March 2021)**

The designated postal operators in the ICS2 countries are providing the minimum set of advanced data (PLACI) to the ICS2 for all goods in the postal consignments delivered to the ICS2 countries. This includes items sent under UPU rules from ETOEs and items sent in UPU open and closed transit procedures.

Pre-loading advanced cargo information (PLACI), as a subset of ENS is used for aviation security risk assessment. Where necessary a competent customs authority may issue risk mitigating referrals.

Those procedures need to be implemented by the postal operators, as indicated also in WCO SAFE framework of standards [R21].

- **ICS2 Release 2 (1 March 2023)**

The designated postal operators of the ICS2 countries, together with the air carriers, bringing the postal consignments into the ICS2 countries, shall provide a complete ENS for all goods in consignments in air traffic that enter or transit the territories of the ICS2 countries.

The carriers operating the aircraft bringing the goods need to notify the arrival of the aircraft at the Customs office of first entry by lodging an Arrival notification to the ICS2 or to a national arrival system.

The carriers and/or the postal operators established in the ICS2 countries present respectively the receptacles and the house consignments to the national presentation system where the goods are unloaded from the means of transport.

- **ICS2 Release 3 (1 March 2024)**

The designated postal operators established in the ICS2 countries together with the carriers, bringing the consignments into the ICS2 countries shall provide complete ENS data for all goods in consignments, arriving with all modes of transports – air, maritime, inland waterways, road and rail traffic.

The air and maritime carriers shall also lodge the arrival notification for all arriving aircrafts and maritime vessels.

The carriers and/or the postal operators established in the ICS2 countries present respectively the receptacles and the house consignments to the national presentation system where the goods are unloaded from the means of transport.

3 LEGAL BASIS

The legal background of ICS2 is elaborated in the “Guidance document on customs formalities on entry and import into the European union” [R01] and can be found [here](#).

3.1 Legal background

The main legal provisions governing the entry formalities are laid down in the Union Customs Code (UCC) – Regulation of the European Parliament and of the Council (EU) No 952/2013 and its Implementing and Delegated Acts ([R04], [R05], [R06]).

The legal base for the requirement to lodge an ENS is defined in Article 127 of UCC [R04]. The intention of this customs formality is to obtain cargo & mail information in advance (before the goods enter the customs territory of the ICS2 countries), for safety & security risk analysis performed by the competent customs authority.

3.2 Obligation to lodge an ENS

As of 15 March 2021, UPU designated postal operators, established in the ICS2 countries, are required by the UCC, [Article 127 (1)] [R04] to provide at least the minimum set of advanced electronic data (PLACI data, F43), in the format of the Entry Summary Declaration (ENS) to the ICS2, for all items with goods delivered to an ICS2 country. In addition, the postal operators have to lodge the receptacle information via F44.

As of 1 March 2023, all postal consignments, entering or transiting the territories of the ICS2 countries by air, are subject, in addition to pre-loading ENS filing, to pre-arrival ENS data requirements. The pre-arrival ENS has to be lodged by the carrier. In case the postal operator does not make the particulars required for the ENS available to the carrier, the postal operator.

3.3 Place to lodge an ENS

In general, the ENS shall be lodged at the customs office of first entry [Article 127 (3), UCC]. However, the postal operators submit their ENS filings to the ‘Addressed Member State’, which is the Member State in which they are operating. No specific customs office needs to be addressed.

3.4 Single / multiple filing

The ENS can be lodged either in the form of a single ENS filing containing all required ENS particulars or by more than one ENS filing. The latter one applies where the party, legally responsible to lodge an ENS, does not have all required particulars available to lodge timely a complete ENS in a single file.

For the postal consignments, transported under the UPU rules, only multiple filings can be lodged.

In the pre-loading phase two ENS filings are to be lodged by the postal operator at destination (or transit):

- ENS filing based on Annex B DA column F43 – it contains the house consignment information (generated based on the ITMATT message).
- ENS filing based on Annex B DA column F44 – it relates house consignments to a receptacle ID that is used for transport (receptacle as part of the dispatch – generated based on the PREDES message).

In addition, in ICS2 R2, the air carriers which bring the goods in postal consignments into the ICS2 countries customs territory, are obliged to file ENS filing F42, which contains transport related information. The carrier ENS filing F42 lists all receptacles which are transported under a particular master transport document. F42 is based on the information from a CARDIT message.

The detailed requirements for all ENS filing types are available in ICS2 HTI Information Exchange Specifications [R01].

3.5 Specific waivers from the obligation to lodge an ENS

The detailed provisions of the EU customs legislation related to waivers and exceptions are in UCC and the related acts [R04], [R05], [R06].

3.5.1 Territories for which ENS is needed

Whether there is an obligation to lodge an ENS or a waiver from this obligation applies depends on two factors:

1. The goods are not entering the customs territory of the Union from outside (obligation to lodge an ENS from Article 127 (1) UCC does not apply at all) or are entering the customs territory of the Union from a country that has entered a bilateral agreement with the Union (actually Switzerland, Norway and Northern Ireland). In those cases either Article 127 (1) UCC does not apply or the obligation is directly waived in accordance with Article 127 (2) UCC.
2. Specific goods (i.e. electrical energy) or goods fulfilling specific requirements (i.e. personal baggage of a traveller) in accordance with Article 104, UCC DA.

There is a list of territories which are classified as part of the territory of the Union – hence, when goods arrive from these territories to the main land territory without stopping to 3rd countries territory then no ENS is needed. Respectively, when goods arrive from 3rd countries to these territories, then ENS must be provided (Article 127 (1) UCC applies).

Article 4 UCC lists all countries and territories considered as part of the Union customs territory. The Canary Islands, Aland Islands, Mount Athos, Azores and Madeira are part of the Union customs territory and an ENS is therefore not required when goods arrive from there since Article 127 (1) UCC does not apply when no stop in a third country was made in between. Respectively, when goods arrive from 3rd countries there an ENS must be filed.

What parts of France are also parts of the Union customs territory is defined in UCC Article 4 10th indent.

The UCC refers to Part 4 of the Treaty of the Functioning of the EU (TFEU) to elaborate which parts of the French territory are excluded. This part 4 refers to Annex II of the TFEU where the exclusions are listed.

The French overseas departments, countries and territories require distinction. The following are excluded from the Union customs territory and transport from there into the EU requires generally an ENS where no other waiver depending on the goods applies (point 2. from above):

- New Caledonia and Dependencies
- French Polynesia
- French Southern and Antarctic Territories
- Wallis and Futuna Islands
- Saint Pierre and Miquelon
- Saint-Barthélemy

All other territories of the French Republic are part of the customs territory of the Union and an ENS is therefore not required since Article 127 (1) UCC does not apply when no stop in a third country was made in between.

3.5.2 Items of correspondence

The items of correspondence do not require to be covered by an ENS. The term ‘items of correspondence’ covers letters, postcards, braille letters and printed matter, containing only documents and not containing any goods and not liable to any customs duties. The explanation of the term “items of correspondence” is defined in UCC (UCC-DA, Article 1 (24, 26), [R05]). The UCC definition may deviate from the UPU definition. Any letter post item containing goods needs to be covered by an ENS. It is therefore important to obtain the information that an item contains correspondence already at the time of posting at the origin post office from the person sending the item.

3.5.3 Goods on all means of transport passing through the territorial waters or the airspace of the customs territory of the ICS2 countries

No ENS is required for goods on all means of transport which are passing through the territorial waters or the airspace of the customs territory of the ICS2 countries without stopping within this territory.

3.5.4 Movement of military goods

The waiver from the obligation to lodge an ENS as referred to in Article 104 (1) (h) UCC-DA [R05] applies to all military authorities of a NATO member country when the goods entering the Union are covered by a NATO form 302.

The waiver from Article 104 (1) (i) UCC-DA [R05] does not apply to third country military authorities since they are solely applicable to the military authorities of a MS of the European Union. Third country military authorities, even NATO members, are not in charge of the military defence of a MS of the European Union. Only military authorities of MS can be in that role. The carrier can omit the ENS where weapons or military equipment are transported on behalf of a military authority of a MS of the European Union and the transport is solely performed for that military authority, meaning that no other consignments are transported on the same means of transport. The direct contracting party has to be the military authority of a MS.

If the military goods can be transported on a means of transport with other types of general goods (non-military goods)/consignments should be legally defined by each ICS2 country.

3.5.5 Diplomatic mail

The waiver from the obligation to lodge an ENS also applies for the goods which are pursuant to the Vienna Convention on diplomatic relations of 18 April 1961 [R13], the Vienna Convention on consular relations of 24 April 1963 [R14], other consular conventions or the New York Convention of 16 December 1969 [R15] on special missions.

3.5.6 Intrinsic values consignments – no waiver for ENS lodgement

The waiver for consignments with an intrinsic value not exceeding 22 Euros does not apply anymore for ICS2 operations. Hence, it follows, that all consignments where no other waiver applies have to be covered by an ENS filing.

3.6 Registration of the declarant for ENS lodgement

An economic operator who wants to perform customs formalities in the ICS2 countries needs to be registered with customs. The registered EO is assigned with an EORI number, which they use for all communication with customs for identification.

The economic operators, established in the EU need to apply for EORI registration in the MS of establishment. The economic operators, established in a third country, should apply for it in the EU Member State where they first take up business operations or where they intend to operate relevant facilities. One legal entity can apply for exactly one EORI number only.

3.7 Timelines

In case of transport by air, the PLACI ENS filing (IE3F43) shall be lodged as early as possible as per Article 106 (1) UCC-DA [R05]. The term 'as early as possible' means that the ENS is to be lodged as soon as all required particulars of the ENS are available to the person filing at the latest prior to loading.

The complete pre-arrival ENS shall be lodged within the time limits defined in the UCC Delegated act [R05]:

- For flights with a duration less than four hours from the last airport outside of the customs territory of the ICS2 countries – at the latest at the time the aircraft takes off;
- For flights with a duration of four hours or more – at the latest four hours prior to arrival of the aircraft at the first airport in the customs territory of the ICS2 countries.

The timelines do not apply in case of *force majeure* (Article 111, UCC DA).

If the required ENS data have not been submitted to ICS2, the ENS will have to be submitted at the latest at the presentation of the goods. The goods will not be released for any subsequent customs procedure before the entry formalities are completed. Each ICS2 country can decide to impose penalties to the economic operators for not completing the ENS formalities within the legally defined deadlines.

4 ROLES AND RESPONSIBILITIES

4.1 Economic operators roles

4.1.1 Declarant

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

4.1.2 Representative

As per Art. 18, UCC any person can appoint a representative to create and lodge the ENS in the name and on behalf of the declarant (direct representation) or in the representative's name but on behalf of the declarant (indirect representation). In case of direct representation, the declarant is held legally responsible as if he had lodged the ENS himself as above. The direct representative is liable with regard to his declarant but not regarding the customs authorities.

As a rule, a representative may be any person referred to in Art. 5 (4) UCC. The representative may be in particular customs broker, freight forwarder, carrier etc.

4.1.3 Person filing

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

4.1.4 Postal operator

Within the context of ICS2 the postal operator means an operator established in and designated by an ICS2 country to provide the international services governed by the Universal Postal Convention.

4.1.4.1 Origin Post

An origin post is a designated UPU postal operator in the country of posting – origin country. The origin post is sending PREDES messages and ITMATT messages data, which is required for the destination or transit post and CARDIT messages which are required for the involved carrier to lodge an ENS (F43, F44 and F42 ENS filing) in ICS2. ETOEs are also considered as origin post.

4.1.4.2 Destination Post

A destination post is the designated UPU postal operator in the country of destination, where items shall be delivered to the final addressee. The destination post receives PREDES and ITMATT messages and lodges the corresponding ENS filing.

4.1.4.3 Transit Post

A transit post is the designated UPU postal operator to which mails (items, receptacles) are forwarded with the obligation of the transit post to forward them further by the quickest route to reach the destination post. As of ICS2 Release 2 the postal consignments that are transiting the ICS2 countries territory need to be covered by an ENS (UPU closed and open transit service when transiting ICS2 countries customs territory).

The transit post in an ICS2 country on the basis of information from PREDES and ITMATT messages lodges the relevant ENS filings.

4.1.5 Carrier

The carrier in the context of entry is the person who brings goods/items/consignments, or who assumes responsibility for the carriage of the goods/items/consignments, into the customs territory of an ICS2 country.

In the case of combined transportation, a carrier means the person who operates the means of transport, which once brought into the customs territory of the ICS2 countries, moves by itself as an active means of transport.

In the scope of the current document the carrier is the air carrier transporting postal consignments.

4.1.6 House filer

A house filer is an entity carrying out operations related to consignments or person having at its disposal all the necessary data elements to lodge ENS filing containing house level information, e.g., freight forwarder, ground handling agent, importer.

The postal operators lodging F43 and F44 are house filers.

4.1.7 Person notifying the arrival

A Person notifying the arrival is normally the operator of the active means of transport entering the customs territory of the ICS2 country and submitting the Arrival notification.

4.1.8 Notify party

A Notify party is an entity which has an agreement with the person notifying the arrival. The destination postal operator can be indicated as a Notify party in the Arrival notification to take part in the arrival process.

4.1.9 IT service provider

The IT service provider is the person operating an access point to ICS2 who technically submits and receives electronic messages for declarants and representatives. It is considered to be a sender of the messages but not the declarant. Nevertheless, an IT service provider can be a representative in parallel when customs representation services are provided as well. A declarant who is operating its own access point to ICS2 for own submissions without providing services to other declarants/representatives is not considered to be an IT service provider.

4.1.10 Consignor / sender

The consignor is the sender of the consignment/item and the contracting party of the origin post.

4.1.11 Consignee / addressee

The consignee is the recipient/addressee of the consignment/item. The consignee/addressee is the person to whom the destination post has to deliver the item in order to fulfil the transport contract.

4.2 ICS2 Country roles

4.2.1 Addressed Member State (AMS)

The 'Addressed Member State' for the postal consignments is the ICS2 country where the destination post is established.

4.2.2 Responsible Member State (RMS)

The Responsible Member State is an ICS2 country that has the legal responsibility to ensure that the risk analysis is carried out and finalized primarily for security and safety purposes i.e. responsible to make a decision in terms of the necessary measures to be taken to mitigate an identified risk (e.g. action by the EO, or customs control action at different points of the supply chain).

4.2.3 Involved Member State (IMS)

An IMS is considered to be an ICS2 country that is referenced in the ENS data and that is contributing to the risk assessment.

4.2.4 Member State of Control

The Member State of control has the final decision on whether to actually control the goods or not, taking into account the results of risk analysis and any control recommendations of the RMS and perform the controls.

4.3 Customs office roles

4.3.1 Customs office of first entry (COFE)

This is the customs office competent for the place where border transport means carrying the goods arrive first in the territory of an ICS2 country.

The actual customs office of first entry refers to the actual place (and competent customs office) where the means of transport carrying the goods enters for the first time the territory of the ICS2 country coming from a 3rd country.

The postal operators should always address the ICS2 country where they are established and do not need to specify a specific customs office by its customs office code.

4.3.2 Customs office at destination

This is the customs office competent for the place where the destination postal operator handles the receptacles and the postal house consignments and presents the house consignments to customs. In practical terms, this is either the customs office at the airport where the postal consignments are unloaded from the aircraft or, where the destination postal operator is not operating the facilities at that airport – the customs office competent for the postal business of the destination postal operator.

4.3.3 Customs office of unloading

This is the customs office competent for the place of unloading, e.g. seaport, airport, freight terminal, rail station or any place where the goods are unloaded from the means of transport having been used for their carriage.

4.3.4 Customs office of presentation

The customs office competent for the approved place of presentation of the goods to customs.

5 ICS2 PROCESS DESCRIPTION

5.1 General ICS2 process overview

The ICS2 system implements the handling of the advance cargo information requirements under the Union Customs Code. There are two phases of lodgement of information to ICS2 for the postal consignments entering the ICS2 countries by air – pre-loading and pre-arrival:

- The air pre-loading risk assessment focuses only on the aviation security risks (a.k.a. the bomb-in-the-box);
- The pre-arrival risk assessment, unlike the air pre-loading risk analysis, which strictly covers aviation security risks, assesses safety and security threats, which reflect a wider range of risks. The safety and security risks are threats that can have serious implications for the security, health and wellbeing of people and/or the environment. They can be linked to both, misdeclarations or illicit activities (for example, negligence, criminal organisations, terrorism, etc.).

The ICS2 system supports the following processes:

- Lodgement and validation of ENS filings;
- Issuing of Assessment complete/DNL notifications;
- Handling of referrals (Request for Information (RfI), Request for Screening (RfS)) (out of scope for this guidance document);
- Amendment of ENS filings;
- Invalidation of ENS filings;
- Lodgement of an arrival notification for the means of transport entering the territory of the ICS2 country for the first time;
- Presentation of goods to customs (via a national presentation system for the economic operators);
- Control notifications (including advanced control notification for authorized economic operators) by customs, if/where required.

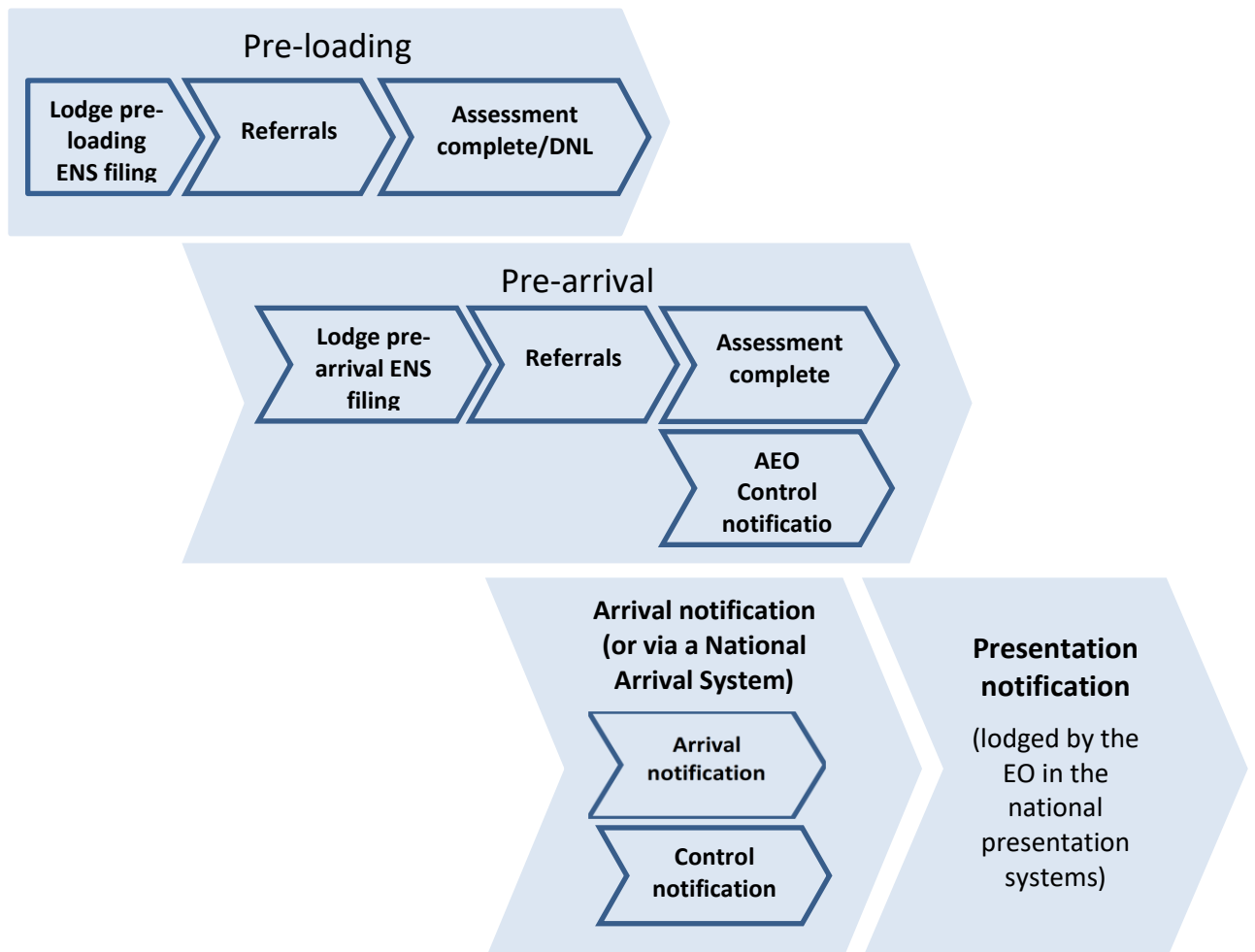


Figure 1: ICS2 process phases

There are four main phases of the ICS2 process from the perspective of the processing of the ENS. First, the pre-loading minimum part of the ENS particulars are lodged and assessed within the established time limits. Once the pre-loading part of the process is completed, the pre-arrival details of the ENS are provided and the complete ENS is initiated, the pre-arrival risk assessment within the defined time limits is triggered. The time limits for the provision of the pre-arrival ENS information depend on the flight duration – short or long haul. The arrival notification for the plane which has arrived to the territory of the ICS2 countries is lodged to the actual COFE which could be different from the declared COFE in the ENS due to a diversion. Usually the arrival notification is lodged after the plane has landed. There are no legally defined timelines for the lodgement of the arrival notification. During the arrival notification some controls can be notified to the Person notifying the arrival and the Notify party(ies) (the Notify party indicated in the Arrival notification, not in the ENS filing) if serious risk has been identified and needs to be addressed immediately upon the arrival of the goods. The last stage of the process is the presentation of the ENS/House consignments – the Person presenting the goods needs to lodge a Presentation notification in the national presentation system of the country where the goods are unloaded.

The lodgement of the ENS data during pre-loading is based on the submitted F43 and F44 ENS filings. During the pre-arrival stage the ENS is composed from the list of receptacles in the respective F42 ENS filing, submitted by the carrier, which are mapped to the corresponding receptacles (F44 filings) and house consignments (F43 filings).

The persons filing the ENS filings receive the below listed notifications/requests during the different stages of the ICS2 process:

- ENS registration response (with the allocated MRN) (IE3R01);
- ENS lifecycle validation error notification (IE3N01);
- Assessment complete (AC) notification (IE3N03) per house consignment during pre-loading (sent to the postal operator lodging F43) and per ENS during pre-arrival (sent to the carrier submitting the F42) for the EOs who have subscribed to receive this notification;
- DNL request (IE3Q01) (when serious risk was identified);
- Additional information request (IE3Q02) for provision of additional details;
- High Risk Cargo & Mail screening request (IE3Q03) for the cargo to be further screened via recommended screening methods;
- AEO Control notification during the pre-arrival (IE3N09) notifying the postal operator with status of an authorized economic operator of the intended by the customs authorities controls;
- Control notification (IE3N08) after arrival of the goods is notified for the high risk goods to be controlled (does not replace the control notifications during the presentation of the goods);
- Amendment notification (IE3N10);
- Error notification (IE3N99).

5.2 ICS2 R2 processes for postal consignments

5.2.1 ENS filings lodged pre-loading

The ICS2 business processes for postal consignments were designed in alignment with the UPU global postal model [See Section 6.1 UPU EAD Global Postal Model]. The ICS2 postal business model was built on the assumption that the UPU designated postal operators provide and exchange UPU EDI messages ITMATT, PREDES and CARDIT.

Two ENS filing types are to be lodged by the postal operator established in the destined ICS2 country. The postal operators as ENS declarants need to address their ENS filings to the ICS2 country where they are established.

- IE3F43 – contains the house consignment information (generated based on the ITMATT);
- IE3F44 – links each house consignment to the receptacle in which it is transported (receptacle as part of the dispatch – generated based on the PREDES).

Based on the received ITMATT the destination/transit post creates F43 and submits it to ICS2. Then ICS2 performs syntactical, semantical and lifecycle validations.

- In case of positive validation the F43 is stored, accepted, an MRN is assigned and the risk assessment is triggered, or
- In case of error IE3N99 Error notification or IE3N01 ENS lifecycle validation error notification is sent to the destination/transit post.

If an error is generated, IE3F43 is rejected by ICS2 and is not further processed. The postal operator is expected to re-lodge the IE3F43 with the necessary corrections.

After the origin post has inserted items into the receptacles and prepared a dispatch for the destination post, it issues the relevant the PREDES messages and sends it to the destination/transit post. Then the destination/transit

post prepares and submits IE3F44 to ICS2. IE3F44 is received and ICS2 performs a syntactical, semantical and lifecycle validation.

- In case of positive validation the F44 is stored, accepted and an MRN is assigned, or
- In case of error IE3N99 Error notification or IE3N01 ENS lifecycle validation error notification is sent to the destination/transit post.

If an error is generated, IE3F44 is rejected by ICS2 and is not further processed. The postal operator is expected to re-lodge the IE3F44 with the necessary corrections.

ICS2 Postal pre-loading scenario

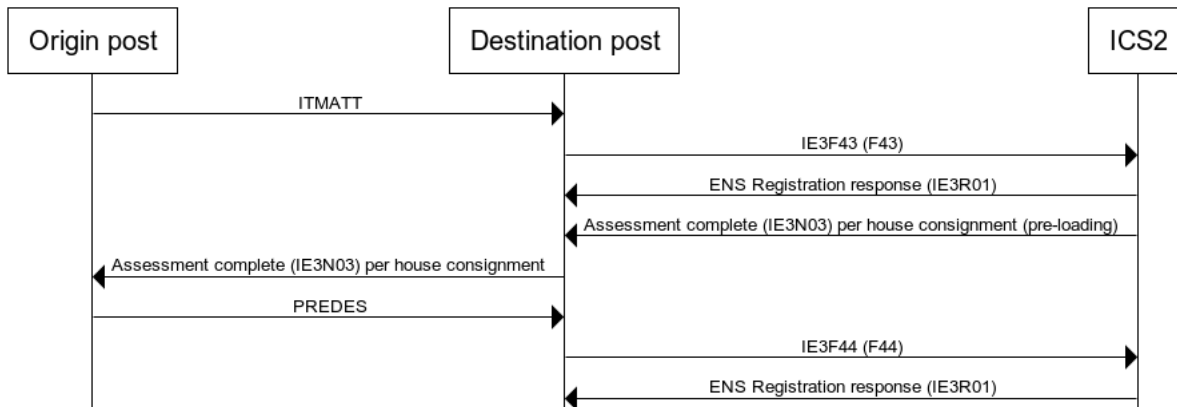


Figure 2: ICS2 Postal pre-loading scenario

After the completion of the pre-loading risk analysis, an assessment complete notification (IE3N03) is generated per house consignment.

5.2.2 ENS filings lodged pre-arrival (as of R2)

ICS2 Postal pre-arrival scenario

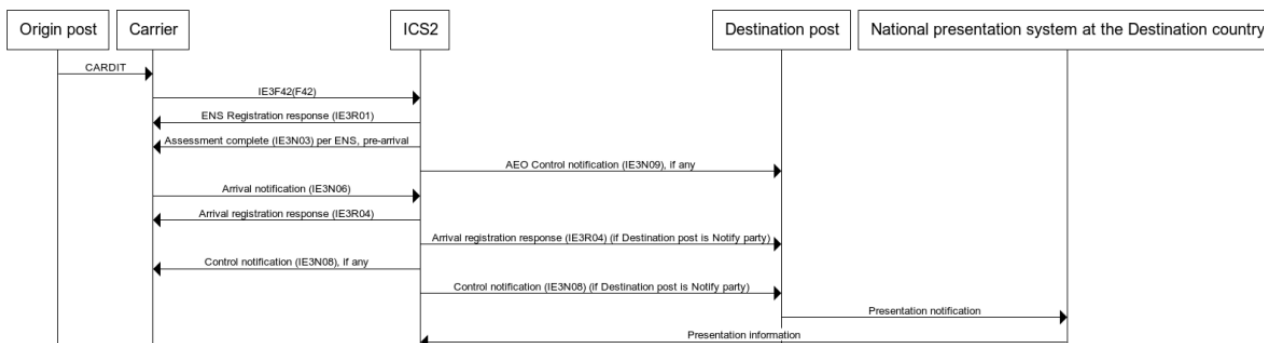


Figure 3: ICS2 Postal pre-arrival scenario

The complete ENS for the postal consignments is initiated by the F42 ENS filing submitted by the carrier in combination with all the house consignments transported in the listed in F42 receptacles. The listed in F42 receptacles can be part of multiple F44 and F43 ENS filings.

Once the complete ENS is initiated the risk analysis for the pre-arrival is triggered. In case no referrals are needed, then an assessment complete notification (IE3N03) is generated per the ENS (not per house consignment as during the pre-loading risk analysis) and sent to the carrier (not the destination postal operator). If the destination postal operator is an AEO(S) then an advanced control notification (IE3N09), if necessary, can be received after the completion of the pre-arrival risk analysis.

Once the means of transport has arrived to the airport, the carrier lodges an arrival notification. The person notifying the arrival can indicate the postal operator as a notify party in the Arrival notification and then the postal operator can receive the Arrival notification registration response and a Control notification, if any. In case there are serious threats identified a control notification will be sent to both the person notifying the arrival and the notify party. In case of transshipment, the notify party could be a ground handling agent.

Once the postal consignments arrive to the destination, they are presented to the national presentation system. Then the MS of presentation sends a presentation information to ICS2 for the presented postal consignments.

5.3 Referrals

The details regarding the referrals are part of the EU guidance on air cargo security referral protocols for ICS2 [R07] and will not be duplicated as part of the current guidance document.

5.4 Arrival notification (as of R2)

For each arriving aircraft (depending on the airport operational arrangements) to a COFE, an Arrival notification (IE3N06) listing the references to the ENSs for the goods transported on-board, is lodged. The person notifying the arrival (the operator of the means of transport) can decide where to lodge the Arrival notification – either via the ICS2 STI or the National Arrival System, if any in the ICS2 country of the COFE. One Arrival notification (IE3N06) is expected per arriving means of transport.

There are three options for referring to the ENSs in the Arrival notification. They are mutually exclusive and are based on the content of the provided Arrival notification in the below priority:

1. The MRN of the ENS (the MRN of the ENS filing containing the master level transport information).
2. The “Master transport document reference number” and the “Estimated date and time for arrival”.
3. The “Active border transport means”/“Conveyance reference number” and the “Estimated date and time of arrival”.

In case a list of ENS MRNs is provided, then the other two combinations are not searched. If no MRN is provided, then ENSs are searched based on the combination of a “Master transport document reference number” and the “Estimated date and time for arrival”. If no “Master transport document reference number” is provided, then it is checked if any ENS can be identified based on the “Conveyance reference number of the “Active border transport means” and the “Estimated date and time of arrival”.

The Arrival notification contains the Person notifying the arrival and, if any, a list of Notify parties. The postal operator can be indicated as a Notify party. The Notify party receives an IE3R04 Arrival registration response with the assigned to the registered Arrival notification MRN. In case of an issued control notification by the COFE, the Notify party receives IE3N08 Control notification.

In case there is a decision from the COFE to control the goods, an IE3N08 Control notification is sent to the relevant parties – Person notifying the arrival and/or Notify party(s) (the Notify party(s) from the Arrival notification, not from the ENS filing). The controls after arrival are notified for goods which are considered high risk goods which are not aimed to be unloaded at the COFE. When the goods are considered as highly risky they can be notified to be unloaded and presented for controls to the customs authorities even if they were not initially planned to be unloaded.

The control notifications for the regular cases (not high risk cargo) are handled outside ICS2 via the national presentation systems. The AEO Control notification can be issued with place of examination not the COFE but the Customs office of destination.

5.5 Presentation of the goods to customs

The goods entering the territory of the ICS2 countries must be presented at the customs office where they are unloaded from the aircraft. The presentation notification needs to refer to the previously lodged ENS. The carrier is expected to present the goods to customs as soon as they are unloaded.

The presentation notification is to be lodged by the air carrier outside of the ICS2 system (not via the ICS2 STI) directly to the national presentation system at the MS of Presentation. The presentation notification can be done by one of the persons defined in Article 139 (1) and (3) UCC (for simplicity reasons across the document only the carrier is used).

The postal consignments are presented to the customs authorities of the ICS2 country of the destination postal operator.

For the access and requirements please consult the published information of the respective national customs administration. The different options for the presentation of the ENS such as via master transport document reference, house consignments, receptacles, etc. need to be consulted with the MS of Presentation.

The consignments in the postal receptacles that remain on board of the same aircraft for further carriage shall be presented to customs only at the airport where they are unloaded (in case they are not requested to be presented for controls at COFE).

In case postal receptacles are unloaded and then immediately reloaded onto the same aircraft with purpose to enable unloading or loading of other consignments, the presentation of those receptacles is not required [Article 139 (2), UCC [R04]].

Where no ENS was lodged for a presented item, the ENS is to be lodged immediately upon presentation. If ENS is lodged partially, e.g. F43 and/or F44 filings for some of the postal consignments are missing, the postal operator must file the missing filings, which will then be linked to the ENS and the risk assessment process for that ENS will be repeated.

In case due to some reason (missing F44 or F42), the house consignments from F43 do not belong to any ENS, then, if they are presented, an error will be generated because the related ENS cannot be identified.

After presentation to customs no further amendments and invalidation requests can be made by the destination post for the ENS filings including the presented house consignments.

The presentation notification shall reflect the actually arrived and presented house consignments (not to include any “missing house consignments”).

5.6 Control of goods by customs

During the pre-arrival risk analysis the customs authorities of the MS of control can decide to notify in advance the economic operator for their decision to perform controls. If the Person filing the ENS is a holder of an AEOS status then an IE3N09 AEO control notification is sent to this person. The message contains the Customs office of control, the examination place and the control subject – what entity (house consignment, receptacle) will be controlled. The IE3N09 AEO control notification is issued after the pre-arrival risk analysis is completed and the assessment complete notification is communicated.

An IE3N08 Control notification is communicated to the Person notifying the arrival and the Notify party (if indicated by the Person notifying the arrival) after the Arrival notification is received.

The goods considered as high risk cargo can be controlled at the COFE, even if they are not envisaged to be unloaded at this office. If the identified risks resulting in the decision for control are not high, then the goods will be controlled upon the presentation – either at the Customs office of unloading or the Customs office of destination.

The controls notified after the presentation of the goods are communicated via the national presentation/control systems and not via ICS2.

The responsibility for the presentation of the goods for controls lies with the party handling the unloading of the cargo – it could be the air carrier, the postal operator or the notify party as per the preliminary established agreement between the involved parties in the process for the particular airport, ICS2 country, conveyance or goods.

5.7 Subsequent customs procedure

The goods can be released for a subsequent customs procedure only if all entry formalities have been completed – there is a lodged ENS in the first place, any open referrals are closed, the goods are presented and the needed controls, if any, are performed.

5.8 Amendments of an ENS filing

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

- An issued request for additional information (RFI) of type ‘AMD’ requesting the amendment of an ENS filing particulars or
- Due to a need for amendment identified by the person filing itself. This case applies when the data for a given consignment was incorrect or changed after the submission of the original ENS filing. It can be due to an updated ITMATT or PREDES submitted by the origin post.

When the amendment was requested by the customs authorities via an RFI, the “Referral request reference” has to be inserted in the respective amendment message (IE3Axx). Else, the amendment will not be recognized by ICS2 as an answer to the RFI request.

An ENS filing IE3F43 is to be amended by its respective amendment filing IE3A43 [R01]. The once amended original filings can be further amended. Sample messages of the amendment filings can be found in the referral guidance document [R07].

Amendments of ENS filings are possible until either:

- The goods covered by the ENS filing amendment are presented to customs, or
- The customs office notifies controls of the goods covered by the ENS filing to be amended.

The amendment restrictions above apply to all house consignments/goods items contained in the original ENS filing. This means, if only one house consignment of the original ENS filing is presented, no house consignment/goods item contained in that ENS filing can be amended anymore. The same applies for any notified controls.

The data elements, which cannot be amended are depicted below per ENS filing type:

| The data elements which are not allowed to be amended are the following, per ENS filing type. | | | |
|--|------------------------|------------|------------|
| Data element | ENS filing type | | |
| | F42 | F43 | F44 |
| ../Specific circumstance indicator | X | X | X |
| ../Addressed Member State | | X | X |
| ../Representative | X | X | X |
| ../Representative / Identification number | X | X | X |
| ../Active border transport means / Mode of transport | X | | |
| ../ Active border transport means / Conveyance reference number | X | | |
| ../ Consignment (Master level) / Carrier / Identification number | X | | |
| ../ Consignment (Master level) / Consignment (House level) / Goods item / Goods item number | | X | |
| ../Consignment (Master level) / Transport document (Master level) / Document number | X | | |
| ../Consignment (Master level) / Consignment (House level) / Transport document (House level) / Document number | | X | |
| ../Declarant / Identification number | X | X | X |
| ../Customs office of first entry / Reference number | X | | |

Table 4: Postal ENS filings non-amendable data elements

No new house consignments can be introduced and no new goods items of an existing house consignment can be inserted in an amended ENS filing. Any new house consignments must be declared by a new ENS filing. Where a need exists to declare additional goods items for an existing house consignment, the originally submitted ENS filing needs to be invalidated by submitting an invalidation request (IE3Q04). After the invalidation acceptance response (IE3R07) is received, a new corrected ENS filing can be submitted.

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

5.9 Invalidation of an ENS filing

There are two ways for invalidation of an ENS filing:

- The postal operator sends an invalidation request (IE3Q04) to ICS2 for F43. If the invalidation request is accepted, all house consignments of the respective ENS filing referred to in the invalidation request will be invalidated. In case F44 is invalidated, only the linking between the house consignments and the receptacles are removed but the house consignments as such are not invalidated.

- All house consignments are automatically invalidated after 200 calendar days from the registration date of the ENS filing if they are not presented to customs within this period.

Invalidation of ENS filings is possible until either:

- the goods covered by the relevant ENS filing are presented to customs, or
- the customs notify controls for the goods covered by the ENS filing to be invalidated.

The invalidation restrictions above apply to all house consignments contained in the original ENS filing. This means, if only one house consignment of the original ENS filing is presented, no house consignment contained in that ENS filing can be invalidated anymore. The same applies if any house consignment of the ENS filing is notified for controls – the ENS filing cannot be invalidated.

5.10 Consult ENS (as of R2)

Each EO can make a request (via IE3Q05) to retrieve information such as the notifications and the entity states related to a particular ENS, ENS filing or transport document (Master or House).

The returned information (via IE3R08) corresponds to the access rights of the specific EO for the particular entity – ENS, ENS filing or transport document (Master or House).

It is not possible to query information related to ENS filings which are not lodged by the requester. For example, the person filing a master level filing cannot request information related to an ENS filing submitted by a house level filer.

The returned information after the consultation of the ENS does not include the ENS filing content as such.

Example

An F43 is submitted to ICS2 HTI. For some reason, the Declarant of the F43 needs to retrieve the status of the processing of the ENS filing. In order to retrieve the history of the related in ICS2 information an ENS Consultation request (IE3Q05) is sent by the postal operator with the MRN of the F43 and the related notifications requested. Then all related entities such as ENS filing, etc. and their states are returned. In addition, as per the request the related notification are communicated back to the EO – IE3N01 ENS lifecycle validation error notification, IE3N02 ENS not complete notification, IE3N03 Assessment complete notification, IE3Q02 Additional information request, IE3N08 Control notification, IE3N09 AEO control notification, IE3N10 Amendment notification, IE3Q01 DNL, IE3R07 Invalidation acceptance response (whichever are applicable). Only the entities and the notifications related to the ENS filing are retrieved and returned, the ones related to the linked master consignment are not returned.

5.11 ICS2 process for postal transshipment

The handling of postal consignments entering the territory of the ICS2 countries only for transshipment and continuing to a 3rd country is currently under elaboration.

5.12 ICS2 process for postal transit

As of ICS2 R2 the ICS2 scope is extended and all goods with a stop at the ICS2 countries territory by air have to be covered by an ENS.

The pre-condition of the transit post to submit F43 and F44 ENS filings is that they have received the respective ITMATT and PREDES from the origin post.

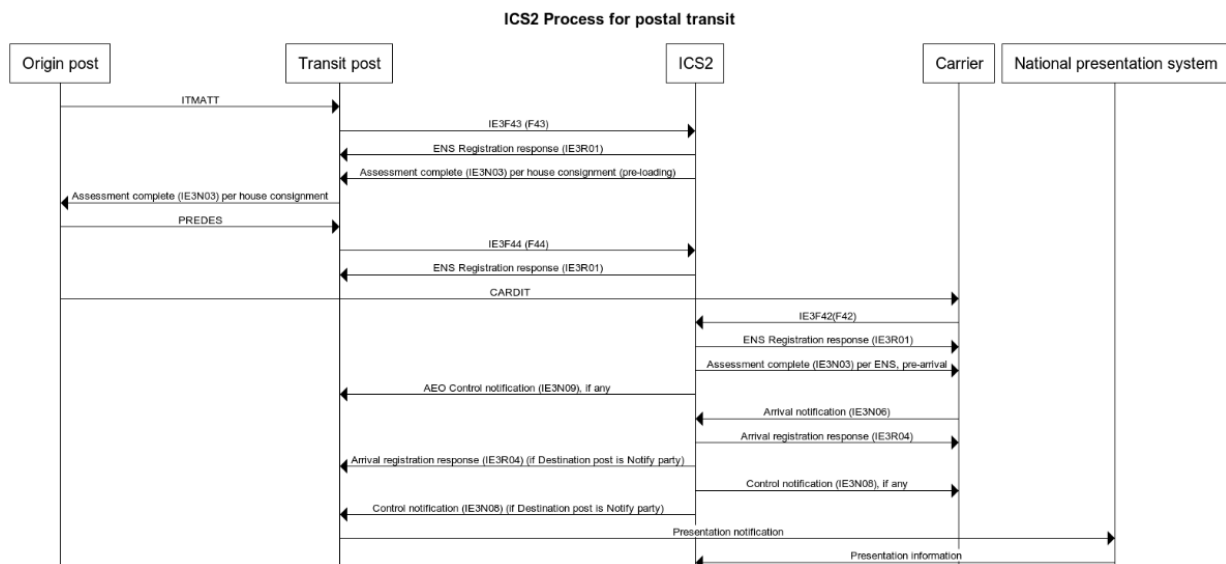


Figure 4: ICS2 process for postal transit

5.12.1 UPU open transit

In open transit house consignment for destination countries are included inside receptacles which are dispatched to transit postal operator. The transit postal operator then includes these items in its own receptacles for the destination postal operator.

UPU open transit through ICS2 countries customs territory with final destination out of ICS2 countries territory

The transit postal operators of the ICS2 country, performing UPU open transit service, are required to lodge ENS filings F43 and F44 for all postal consignments with goods that they are transiting to a non ICS2 country.

In this case the transit posts of the ICS2 country needs the ITMATT information in order to be able to file IE3F43 and also PREDES message in order to be able to file F44.³ IE3F42 is lodged by the responsible air carrier.

UPU open transit through ICS2 countries territory with final destination in ICS2 country

When UPU transit service passes ICS2 country territory and also ends there, the general UPU principles are considered:

- ITMATT is sent to the destination post;
- PREDES is sent in case of open transit to the transit post and from the transit post then new PREDES is sent to the destination post;
- CARDIT is sent from the origin post to the air carrier.

From ICS2 perspective, in case of open transit via an ICS2 country as a first entry to the ICS2 countries territory destined to another ICS2 country, then the following applies:

- ITMATT and PREDES are sent to the ICS2 country where the goods are destined. Air pre-loading risk analysis is performed by this country as an RMS;
- CARDIT is sent by the origin post to the carrier transporting the goods;
- the responsible country for the pre-arrival risk analysis initiated by the F42 is the ICS2 country where the goods enter for the first time the ICS2 countries territory (not the ICS2 country where they are destined to);
- Once the receptacles are unloaded they are presented by the carrier to the national presentation system of the COFE;
- Even if the consignments part of the open transit are placed in new receptacles in the first ICS2 country where they enter the ICS2 countries territory, no new PREDES is needed for the purpose of ICS2 since the goods have already entered the territory of the ICS2 countries and there is already a lodged ENS;
- When the goods arrive to the destination postal operator then the house consignments are presented there by the destination post to the national presentation system of the destined ICS2 country.

³ Sending ITMATT (and PREDES) to transit ICS2 country post will become mandatory in 2023, according to the UPU.

5.12.2 UPU closed transit

Closed transit is when receptacles are consigned to a transit designated postal operator to be forwarded onwards to the destination, along with the transit operator's own originating receptacles. The receptacles remain originally sealed until the final destination (except in situations if a high risk is detected).

UPU closed transit through ICS2 countries territory with final destination out of ICS2 countries

UPU transit postal operators in an ICS2 country, performing UPU closed transit service, are required to lodge ENS filings F43 and F44 for all postal consignments with goods that they are transiting.

In this case transit posts of the ICS2 country need ITMATT information in order to be able to file F43 ENS filing and also (where it is not already the case) PREDES information in order to be able to file the F44 ENS filing.

IE3F42 is lodged by the responsible air carrier.

UPU closed transit through ICS2 countries territory with final destination in ICS2 country

When UPU closed transit service passes ICS2 countries territory and also ends there, the general UPU principles are to be considered:

- ITMATT is sent to the destination post;
- PREDES is sent in case of closed transit from the origin to the destination post;
- CARDIT is sent from the origin post to the air carrier.

From ICS2 perspective, in case of closed transit via an ICS2 country as a first entry to the ICS2 countries territory destined to another ICS2 country, then the following applies:

- ITMATT and PREDES are sent to the ICS2 country where the goods are destined. The air pre-loading risk analysis is performed by this country as an RMS;
- CARDIT is sent by the origin post to the carrier transporting the goods;
- the responsible country for the pre-arrival risk analysis initiated by the F42 is the ICS2 country where the goods enter for the first time the ICS2 countries territory (not the ICS2 country where they are destined to);
- once the receptacles are unloaded they are presented by the carrier to the national presentation system of the COFE;
- when the goods arrive to the destination postal operator then the house consignments are presented there by the destination post to the national presentation system of the destined ICS2 country.

5.13 Exceptional postal scenarios

5.13.1 Scenario 1: ICS2 country destination received wrongly placed house consignments destined to a non-ICS2 country (not covered by an ENS)

The origin post prepares a dispatch with 5 receptacles for ICS2 country destination post. The origin post sends ITMATT and PREDES for those house consignments to the destination post and receptacles and CARDIT message to the carrier.

The destination ICS2 country post lodges F43 and F44 and the carrier lodges F42. Upon arrival of the aircraft, the carrier lodges an arrival notification and then presentation notification per receptacle. The destination post then opens the receptacles and lodges a presentation notification per house consignment. When opening the receptacles the destination post finds 3 house consignments destined to a 3rd country/not ICS2 country. For those 3 house consignments no ITMATT and no PREDES was sent to the ICS2 country post (the house consignments were by operational mistake placed into the wrong receptacle).

From UPU perspective the obligation of the ICS2 country post is to forward these house consignments as quickly as possible to their destination post. The EU legislation, however, requires that also for those house consignments an ENS is lodged – F43 and F44 must be lodged. In the lodged F44 the listed receptacles should already be used as part of a lodged F42 in order to be linked to an ENS and the full risk analysis to be re-triggered.

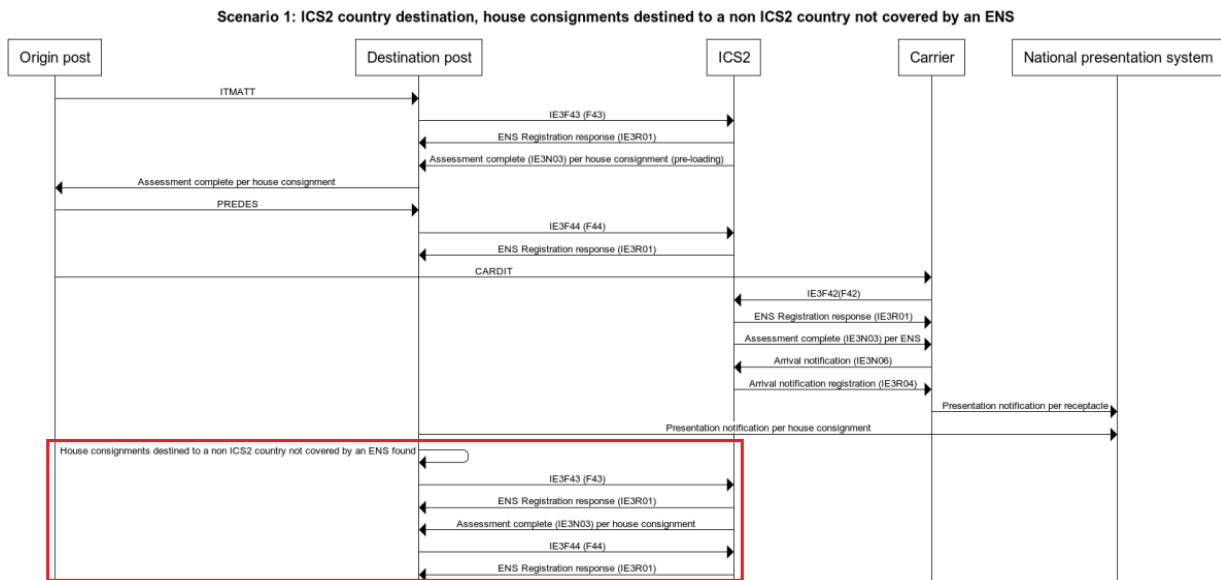


Figure 5: Scenario 1: ICS2 country destination, received wrongly placed house consignments destined to a non ICS2 country (not covered by an ENS)

5.13.2 Scenario 2: Split consignment

The origin post sends 20 receptacles (in one postal dispatch as consolidated postal receptacles) in one CARDIT message to the carrier with house consignments destined to ICS2 countries. The origin post sends to the destination post(s) ITMATT and PREDES for the house consignments and the receptacles. The destination post lodges F43 and F44 ENS filings. The CARDIT message, sent from the origin post to the carrier, includes all 20 receptacles.

The receptacles are taken over by the carrier at the airport. Just before transportation the air carrier discovers that not all receptacles can be transported via the agreed flight. Therefore first 10 receptacles are transported with the agreed flight and 10 receptacles are transported with a later flight during the day. For this reason the carrier is supposed to lodge a second F42 with the “Split consignment indicator” “True”, updated flight information, the same master transport document and the same receptacles as declared in the first F42. In case the receptacles have to be transported via more than two flights, then the respective number of additional F42 ENS filings have to be lodged with the “Split consignment indicator” as “True” and the relevant movement information – COFE, routing, etc. and the full list of the receptacles as per the CARDIT. The initially lodged F42 must not be invalidated or amended, the usage of the “Split consignment indicator” as “True” in the subsequent F42 lodged is sufficient. The respective Arrival notification(s) needed are lodged for each of the arriving conveyances on which the receptacles are transported.

It is possible that the receptacles and the house consignments are immediately presented once they arrive in the destination (Option 1). Another option is to present the receptacles and the house consignments once they all arrive (Option 2).

Scenario 2: Split consignment

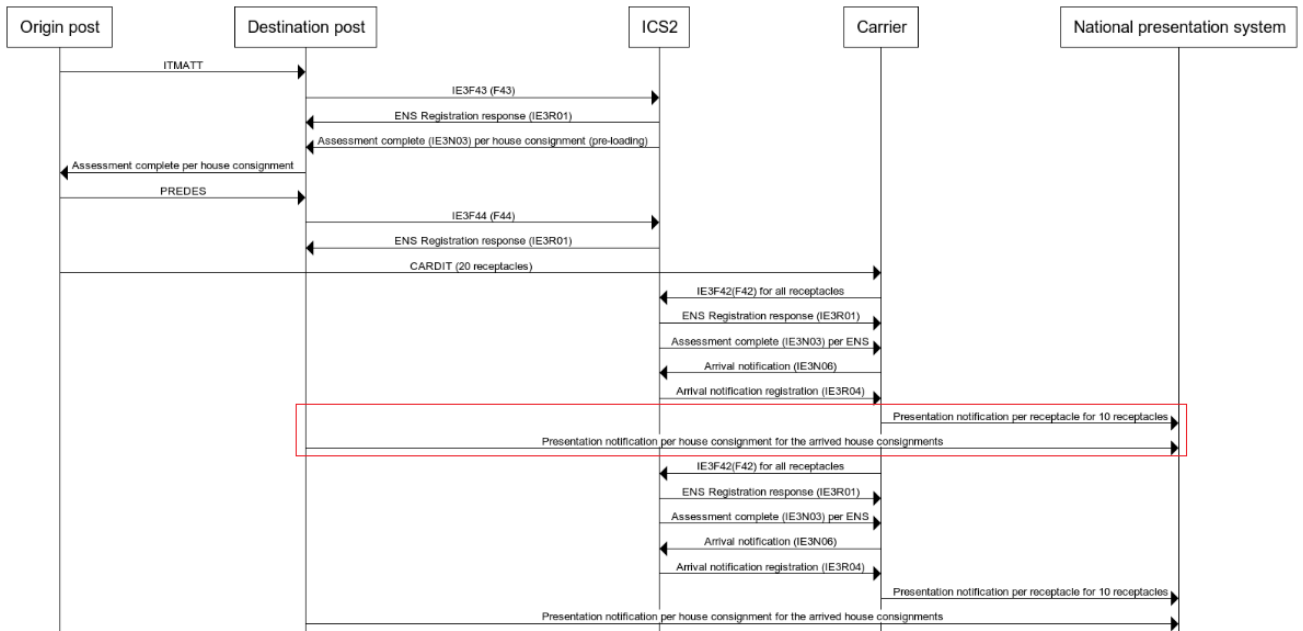


Figure 6: Scenario 2: Split consignment, option 1

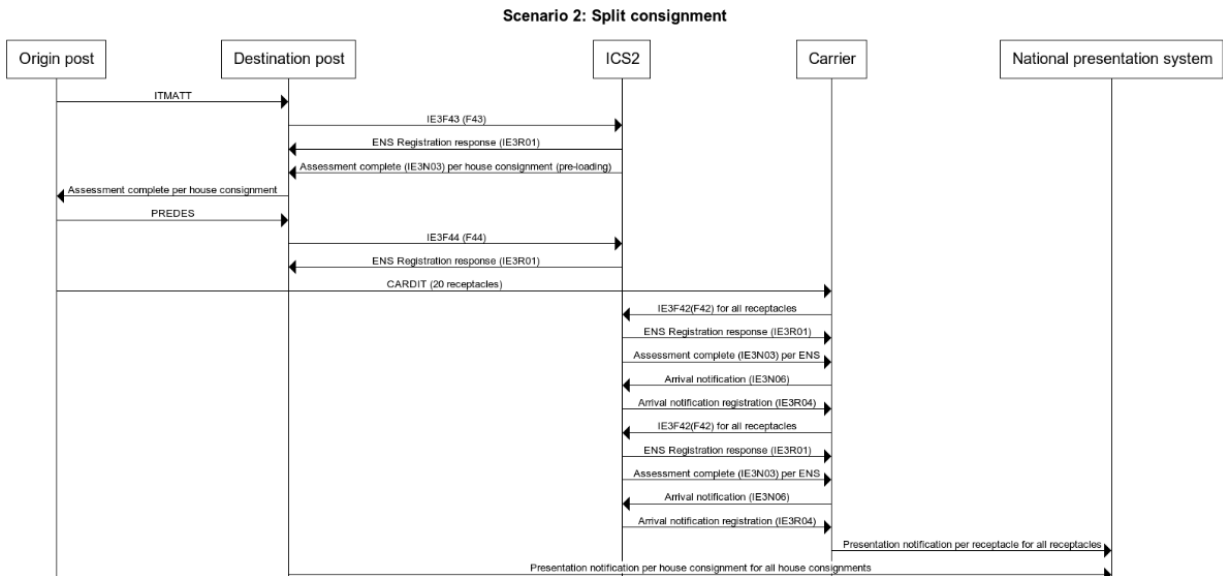


Figure 7: Scenario 2: Split consignment, option 2

5.13.3 Scenario 3: UPU closed transit, transport with several flights

The postal operator at origin sends 40 receptacles with house consignments to a destination post in an ICS2 country. 20 receptacles are addressed to the postal operator in the ICS2 country and 20 receptacles are addressed to a non ICS2 country postal operator. The postal operator in the ICS2 country in this case is as a transit post. The origin post sends to the ICS2 country post ITMATT and PREDES for all house consignments and all receptacles. The destination/transit post lodges the respective F43 and F44 ENS filings. The CARDIT message, sent from the origin post to the carrier, includes all 40 receptacles.

The air carrier transports 20 receptacles on the agreed flight, 10 receptacles are transported with a later flight and 10 receptacles are transported on the next day.

The above scenario is a split consignment scenario analogous to Scenario 2: Split consignment for the second and the third part of the receptacles transported.

5.13.4 Scenario 4: UPU open transit, re-entry of house consignments to ICS2 countries

The destination post located outside the ICS2 countries uses an ICS2 country post for open transit. The origin post outside ICS2 countries prepares 2 receptacles for an ICS2 country postal operator. Inside the receptacles there are house consignments for ICS2 countries and also for non ICS2 countries. The origin post sends ITMATT and PREDES to the ICS2 country postal operator and CARDIT to the carrier.

The ICS2 country post lodges F43 and F44 for all house consignments in both receptacles and the carrier lodges F42. Upon arrival to the ICS2 country the carrier lodges an Arrival notification and then presents the receptacles to customs. The ICS2 country postal operator sends a Presentation notification per HC for the house consignments destined to it (not for the house consignments destined to a non ICS2 country post). The ICS2 country post then prepares new receptacles with house consignments from the origin post and new house consignments from the ICS2 country post. The receptacles are transported further out of the territory of the ICS2 countries to a non ICS2 post as a final destination.

At the final destination post when opening the receptacles it is discovered that 2 house consignments were wrongly inserted and should be returned to the ICS2 country post. From UPU perspective the destination post should as soon as possible return both (wrongly sent) house consignments to the ICS2 country post and send the respective ITMATT, PREDES and CARDIT messages. Hence, the respective F43 and F44 are lodged as if the house consignments enter the ICS2 country for the first time. F42 is lodged by the carrier. Then the respective Arrival notification and Presentation notification are sent to the ICS2 countries.

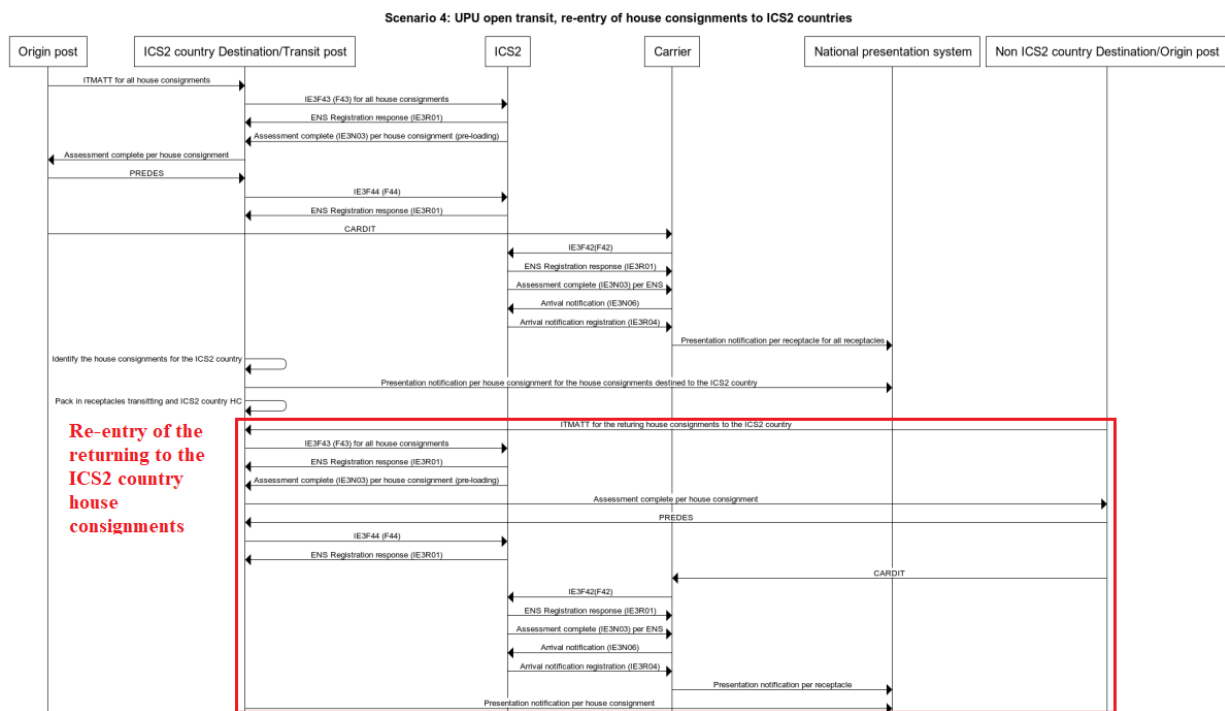


Figure 8: Scenario 4: UPU open transit, re-entry of house consignments to ICS2 countries

5.13.5 Scenario 5: UPU open transit, no ITMATT for transiting house consignments

Non ICS2 country destination post uses ICS2 country post for open transit. The origin non ICS2 country post prepares 2 receptacles for the ICS2 country postal operator. Inside the receptacles there are house consignments for the ICS2 countries and also for non ICS2 countries. The origin post sends ITMATT and PREDES to the ICS2 country postal operator, but no ITMATT for the house consignments destined to the non ICS2 country. The origin post sends CARDIT to the carrier.

Once the house consignments without F43 ENS filing are identified by the transit post in the ICS2 country, the respective F43 and F44 ENS filings must be lodged. In the lodged F44 the listed receptacles should already be used as part of a lodged F42 in order to be linked to an ENS and the full risk analysis to be re-triggered.

The scenario from ICS2 perspective is analogous to Scenario 1: ICS2 country destination received wrongly placed house consignments destined to a non-ICS2 country (not covered by an ENS).

6 POSTAL BUSINESS PROCESS DESCRIPTION

The postal business processes and the flow of electronic advance data are described in the UPU Global postal model.

6.1 UPU EAD Global Postal Model

The UPU EAD Global postal model defines the global structures and the roles of the involved stakeholders as well as the communication structures between them.

The origin post is acting as a consignor in front of the carrier for the transportation of the postal consignments (on behalf of actual senders of the consignments) and has all the data required for the ICS2 postal business model (ITMATT, PREDES, CARDIT).

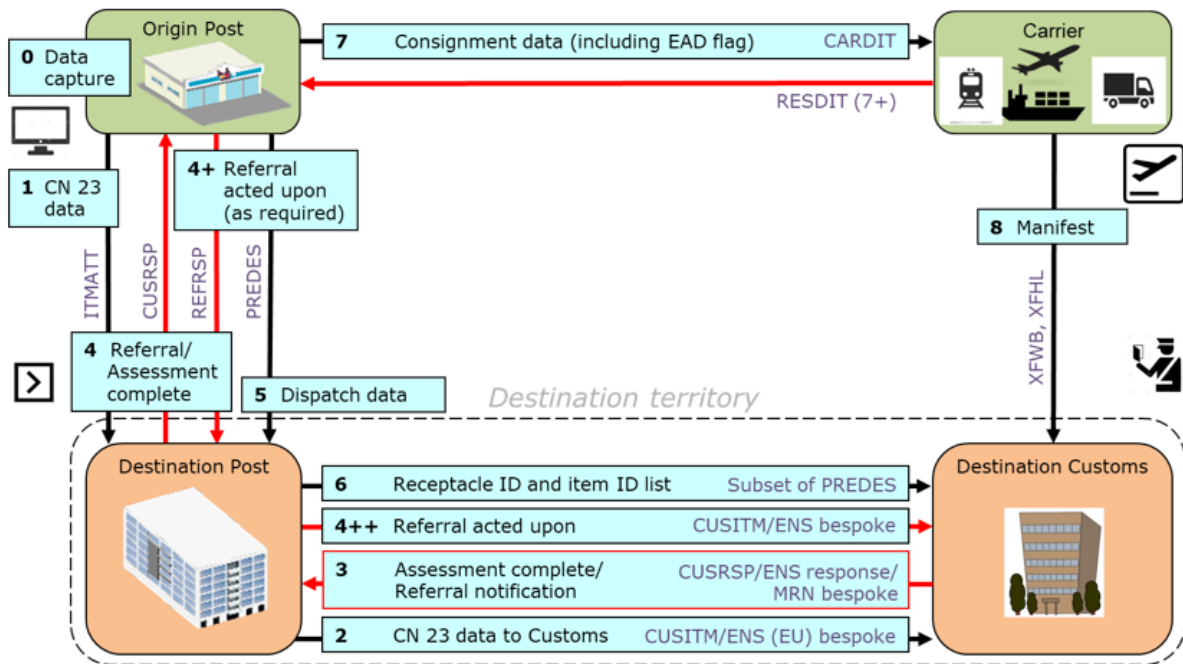


Figure 9: UPU global postal model and advanced electronic data

6.2 UPU Communication structures

The UPU physical mail pipeline is accompanied by the associated postal EDI (Electronic Data Interchange) messaging. EDI messages are used for exchange of data between the different parties (postal operators) through the EDI network.

In UPU EAD Global Postal Model, the following EDI messages take part:

| Message | Description |
|---------------|---|
| ITMATT | ITeM ATtributes which is a digital representation of the UPU CN22/CN23 form (UPU Customs Declarations forms) |
| CUSITM | CUSitoms ITeM contains the same information as ITMATT in a format requested by customs to perform risk assessments |
| CUSRSP | CUSitoms ReSPonse is the answer from customs to the CUSITM |
| ITMREF/REFRSP | ITeM REFerral/REFerral ReSPonse are messages to communicate requests for referrals and responses to the requests, between the origin postal operator and the destination postal operator |
| PREDES/RESDES | PREDES is the name of an EDI (electronic data interchange) message containing information on a mail dispatch (receptacle level). PREDES message is generated by the postal operator preparing the dispatch and is sent to the operator that receives the dispatch (i.e., the destination of the dispatch). A postal operator sending PREDES expects to receive RESDES in return. RESDES is generated only in response to a PREDES: positive acknowledgment of mail received. If a dispatch is sent in closed transit , PREDES is not sent to the closed transit postal operators. |

| | |
|-------------------------------|---|
| | The final destination of mail items sent in open transit does not receive a PREDES from the origin of these mail items, since the origin prepares a dispatch that does not go to the final destination of these mail items. The final destination normally receives a PREDES from the intermediate postal operator that is re-dispatching the mail items in transit. |
| Subset of PREDES ⁴ | Receptacle ID and Items ID lists prior issued PREDES. |
| CARDIT/RESDIT | Carrier Documentation for International Transport sent by the origin (transit) post to the air carrier. CARDIT and RESDIT messages are used together. CARDIT represents the post's expectation of the transport service for the consignment of mail receptacles assigned to the airline. RESDIT is the positive acknowledgment to the CARDIT, sent by the airline to the consigning post, reporting the actual status of receptacles in transport. Origin post sends a CARDIT message on consignment closure before physical handover of mail. The CARDIT message provides instructions for the conveyance of the mail as bilaterally agreed with air carriers including latest handover date time at destination and allocated space on the transport specified in it. |

Table 5: UPU EDI messages in Global postal model

6.3 UPU transport options

| Transport model | Principles | UPU EAD (AS-IS) |
|-------------------------------|---|---|
| UPU CLOSED TRANSIT | Receptacles for destinations prepared by origin post and sealed. Transit post only forwards those receptacles, without opening, by the quickest route to the destination. | ITMATT -> destination post PREDES -> destination post CARDIT -> carrier |
| UPU OPEN TRANSIT ⁵ | House consignments for transit and destination post inserted into the receptacles for transit post. At transit post receptacles are opened and consignments for destination are inserted into the new receptacles for destination post. | ITMATT -> destination post PREDES -> transit post CARDIT -> carrier |
| UPU TRANSHIPMENT ⁶ | Postal operators are not involved in transshipment scenarios. Transshipment involves closed and at origin sealed postal receptacles. | ITMATT -> destination post PREDES -> destination post CARDIT -> carrier |

Table 6: UPU transport options

⁴ This message is today not clearly defined by UPU

⁵ For UPU transit scenarios, the postal operators of the ICS2 countries performing UPU transit (closed and open transit) would need to also receive messages that are normally sent to destination: ITMATT, PREDES, in order to be able to file required ENS filing to ICS2 for transit consignments. In addition, also carrier, who brings those consignments to the ICS2 countries would need to receive CARDIT message to be able to file required ENS filing. Mandatory exchange of those messages in UPU transit service is at UPU level not yet regulated.

⁶ Transshipment is not in scope of this document, since there are still ongoing discussions among the involved stakeholders (IATA-UPU-EC) in order to find appropriate solutions fitting to all.

7 DATA REQUIREMENTS

7.1 Definition of data elements

| | Data element name | Definition |
|---|--|---|
| 1 | Re-entry indicator | This indicator is to be used when goods, for which ENS was already lodged upon their first entry into the territory of the ICS2 countries, are again entering the territory of the ICS2 countries under the same master transport document and not having left the means of transport (no transshipment). |
| 2 | Split Consignment | The use of the "Split consignment indicator" is envisaged for the cases when due to some reason the goods cannot be transported on the initially planned means of transport. The content of the initially submitted ENS filing and the subsequent one with "Split consignment indicator" as "True" should not differ (not different house consignments to be included). |
| 3 | Type of person | Natural person, legal person or association of persons. Needs to be indicated for the relevant party in the ENS filing. |
| 4 | Countries of routing of the means of transport | All countries, which conveyance crosses, on the route to the destination in the ICS2 countries. |
| 5 | Total gross mass | The total mass of the goods with all packing materials provided either at house consignment or at master consignment level. |
| 6 | Packaging | This data element relates to details of the packaging of the goods subject to the declaration or notification. The packaging information consists of the following information – number of packages. |

Table 7: Data elements definitions

7.2 Missing and incorrect data elements

In case the submitted data is not valid as per the defined syntactic and semantic rules, the ENS filings are rejected via IE3N99 Error notification or IE3N01 ENS lifecycle validation error notification. The ENS filing is in status "Rejected" and is not considered as registered/accepted by the customs authorities. The needed corrections to the ENS filing should be made and the ENS filing should be re-submitted within the expected time limits.

The possible reasons for the rejection could be a missing mandatory data, code list violation, format violation, etc. There are uniqueness checks performed for the used LRN, master transport document reference, the house consignment identifier (S10 barcode) which can also result in the rejection of the ENS filing.

In addition, as of R2, the data quality and data consistency checks are enhanced and some further verifications will be performed as elaborated further in this section. If the quality of the provided data is low then the ENS filing can be rejected as well. In case the ENS filing data is provided in an encoding different from Latin, Cyrillic or Greek, then it is automatically rejected.

7.3 Poor data quality examples

In ICS2 R2 the verification of the data quality is enhanced so the ENS filings can be rejected due to poor data quality even if they are successfully validated for syntactic and semantic errors.

Below are examples of data elements filled in which will be treated as empty after the check of the data quality:

1. Goods description – unacceptable goods descriptions - terms too vague, not in line with the guidance such as "not specified", "goods description", etc.:

Example (of poor quality data):

8 TRANSITION FROM ICS2 R1 TO R2

ICS2 R2 introduces new processing of ENS filings for postal sector and new permanent business rules will be implemented, replacing the ones from R1:

- postal operators are lodging filings IE3F43 (using R2 message version) which is used for initiation of pre-loading risk analysis,
- postal operators are lodging filing IE3F44 (using R2 message version) for linking house consignments with receptacles, and in addition
- as of R2 the air carriers start lodging filing IE3F42 to initiate ENS (carrier filing IE3F42 will be linked to postal filings IE3F43 via the receptacles in IE3F44),
- pre-arrival risk analysis is triggered only if pre-loading RA is completed and if the ENS is complete based on the combination of F42 and all linked to it house consignments in the listed receptacles in F42 (F43+F44+F42).

In order to avoid the cases when either – pre-arrival risk analysis is not performed due to the postal operators using R2 and the air carrier not yet connected – or – performing pre-arrival risk analysis more than once when the postal operator is still using R1 and the air carrier is connected to R2, the deployment windows for the postal operators and the air carriers are aligned. The air carriers need to be connected to ICS2 first. The postal operators would switch-over to R2 after the air carriers are connected. The switch-over of the postal operators (closing all transactions that started in R1) should be done in a short window – 1-2 days.

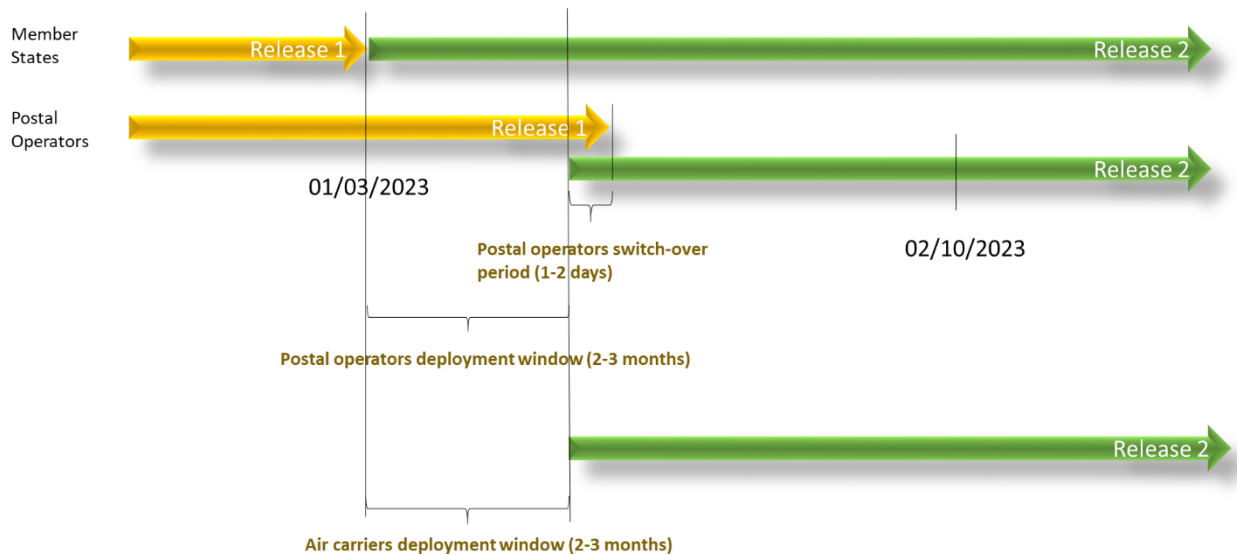


Figure 10: Transition from ICS2 R1 to R2, switch-over period and deployment window

The duration of the deployment window for the air carriers will be decided and granted by the customs authorities. At the end of this deployment window the postal operators are expected to switch over from R1 (closing open transactions in R1 – any open referrals) to R2 version of the ENS filings.

9 BUSINESS CONTINUITY

In cases when unavailability of an electronically supported business process happens, as:

- a relevant electronic system of the economic operator is unavailable;
- a relevant electronic national customs application or supporting system is unavailable;
- a relevant central component service is unavailable,

the postal operators and the carriers apply business continuity plan (Business continuity plan for Economic Operators, []).

End of document