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Customs
Risk Management and Security

ICS2 Operational guidance

Version 1.0

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.

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1. INTRODUCTION

This document provides operational guidance on formalities and the use of Import control System (ICS2) for entry of goods into the customs territory of the Union.

The guidance also applies to Switzerland, Norway, and Northern Ireland in the context of implementation of the Northern Ireland Protocol.

The guidance covers all modes of transport and business models: sea and inland waterways, air, road, rail, express⁽¹⁾ and postal business models.

The guidance provides general and transport mode specific explanation of practical application of the legal requirements, their implementation in the ICS2 system, as well as practical examples.

2. REQUIREMENT TO LODGE AN ENTRY SUMMARY DECLARATION

All goods brought into the customs territory of the European Union (EU) must be covered by an entry summary declaration (ENS) (Article 127(1) UCC ⁽²⁾). This requirement applies not only to the goods delivered to the EU, but also all freight remaining on board (FROB) of the means of transport calling the port or airport in the EU.

When goods arrive from the territories which are classified as part of the territory of the EU defined in Article 4 UCC ⁽³⁾, to the mainland Union territory without stopping in third country territory, then, no ENS is required. Indeed, the goods in that case are just crossing the customs territory of the Union. Respectively, when goods arrive from third countries to these territories (classified as part of the territory of the EU), then ENS must be provided (Article 127(1) UCC applies).

For example, 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 provided that no stop in a third country was made in between. Parts of France that are also parts of the Union customs territory are defined in Article 4 UCC, 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. The following are excluded from the Union customs territory and transport from there into the EU requires an ENS where no other waiver depending on the goods applies:

- New Caledonia and Dependencies
- French Polynesia

⁽¹⁾ Express operator - an operator providing integrated services of expedited/time-definite collection, transport, customs clearance, and delivery of parcels whilst tracking the location of, and maintaining control over, such items throughout the supply of the service. This economic operator is authorized to perform customs clearance procedure. Any party that is only partially involved in the provision of such integrated services is not considered an express carrier but a party providing freight forwarding services. Article 1(47) UCC DA

⁽²⁾ REGULATION (EU) No 952/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 9 October 2013 laying down the Union Customs Code.

⁽³⁾ Article 4 UCC lists all countries and territories considered as part of the Union customs territory: [Territorial status of EU countries and certain territories - European Commission \(europa.eu\)](https://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&plugin=1).

- 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 provided no stop in a third country was made in between.

<i>Practical implementation</i>	Goods brought to La Réunion from a third country need to be covered by an entry summary declaration. The country to which the ENS needs to be lodged is France, therefore, in the ENS submission, the county code to be used is ‘FR’ and not ‘RE’. Same rule applies to other territories that are part of an EU Member State.
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3. WAIVER FROM THE OBLIGATION TO LODGE AN ENS

The obligation to lodge an ENS is waived in two cases (Article 127(2) UCC):

- (1) Where the goods are on means of transport passing through the territorial waters or airspace without a stop in the customs territory of the EU;
- (2) Where it is justified by the type of goods or traffic (e.g. electrical energy, goods entering by pipeline), or where required by international agreements (e.g. where the goods are entering the customs territory of the European Union from a country that has entered a bilateral agreement with the Union (Switzerland and Norway)).

List of waivers is defined in Article 104 UCC DA ⁽⁴⁾.

3.1. Specific waivers from the obligation to lodge an ENS

3.1.1. *Items of correspondence*

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, as defined in Article 1 (26) UCC DA. The waiver to lodge an ENS applies to the items of correspondence, according to Article 104(1)(c) UCC-DA, however, any letter post item containing goods needs to be covered by an ENS (Article 1(24) UCC-DA).

3.1.2. *Movement of military goods*

The waiver from the obligation to lodge an ENS applies:

⁽⁴⁾ 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.

- (1) when the goods are covered by a valid EU or NATO form 302 issued by or on behalf of a competent military authority of an EU Member State or according to the NATO Status of their forces agreement (NATO SOFA, signed on 19 June 1951) member or of a Member State entitled to use the form 302 (Article 104(1)(h) UCC DA);

OR

- (2) where weapons or military equipment are brought into the customs territory of the Union, AND those weapons or military equipment are moved:
 - a) by the authorities in charge of the military defence of a Member State, AND
 - b) in military transport or on a transport operated for the sole use of the military authorities (Article 104(1)(i) UCC DA).

3.1.3. *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 ⁽⁵⁾, the Vienna Convention on consular relations of 24 April 1963 ⁽⁶⁾, other consular conventions or the New York Convention of 16 December 1969 on special missions, as stated in Article 104(1)(k) UCC-DA.

4. PLACE OF LODGEMENT

The entry summary declaration must be lodged at the customs office of first entry (Article 127(3) UCC). If the goods are brought into the EU from a third country by a vessel or an aircraft calling at more than one port or airport in the customs territory of the EU, the ENS needs be lodged only once at the customs office of first entry. If the vessel or aircraft calls at a third country port or airport between EU destinations, then, a new ENS must be lodged to the next customs office of first entry for all the goods remaining on board of means of transport in accordance with all ENS rules and procedures upon the re-entry of the means of transport to the EU (see also Re-entry).

Where the entry summary declaration is lodged by the submission of more than one dataset (multiple filing), or the minimum dataset for cargo transported by air (Article 106(2) and (2a) UCC DA) is lodged, the partial or minimum dataset must be lodged to the customs office that, according to his/her knowledge, should be the customs office of first entry. If that person does not know the place at which the means of transport carrying the goods is expected to first arrive, the customs office of first entry may be determined based on the place to which the goods are consigned (Article 183(2) UCC IA).

<i>Practical implementation</i>	Air, maritime, road, rail mode: Where ENS is submitted in a single filing or where in case of multiple submissions a master level filing is lodged, it has to be addressed to the customs office of first entry.
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⁽⁵⁾ Vienna Convention on diplomatic relations of 18 April 1961

⁽⁶⁾ Vienna Convention on consular relations of 24 April 1963

	House level filing in case of multiple submission, needs to be addressed to the Member State where the goods are likely to enter the EU.
	<p>Postal model:</p> <p>Master level filing is always submitted to the customs office of first entry.</p> <p>House level filings submitted by designated postal operator in the EU are addressed to the Member State where this operator is established.</p>

5. TIME LIMITS TO LODGE AN ENS

The ENS must be lodged according to the time limits specified in Articles 105 to 109 UCC DA.

5.1. Transport by sea

Containerised cargo, other than short sea shipping	At the latest 24 hours prior to loading of goods onto a vessel that will bring them into the customs territory of the EU
Bulk or break-bulk, other than short sea shipping	At the latest 4 hours before the arrival of the vessel at the first port of entry into the customs territory of the EU
<p>Goods coming from:</p> <ul style="list-style-type: none"> - Greenland; - Faeroe Islands; - Iceland; - ports on the Baltic Sea, the North Sea, the Black Sea and the Mediterranean Sea; - all ports of Morocco; - ports of the United Kingdom of Great Britain and Northern Ireland, with the exception of ports located in Northern Ireland, and ports of the Channel Islands and the Isle of Man 	At the latest 2 hours before the arrival of the vessel at the first port of entry into the customs territory of the EU
Between a territory outside the customs territory of the Union and the French overseas departments, the Azores, Madeira or the Canary Islands, where the duration of the voyage is less than 24 hours	At the latest 2 hours before the arrival of the vessel at the first port of entry into the customs territory of the EU

5.2. Transport by air

At least the minimum dataset of the entry summary declaration	As soon as possible and at the latest before the goods are loaded onto the aircraft on which they are to be brought into the customs territory of the EU
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Full particulars of the entry summary declaration:

For flights with a duration less than four hours from the last airport outside of the customs territory of the EU	At the latest at the time the aircraft takes off
For flights with a duration of four hours or more	At the latest 4 hours prior to arrival of the aircraft at the first airport in the customs territory of the EU

5.3. Transport by rail

Where the train voyage from the last train formation station located in a third country to the customs office of first entry takes less than two hours	At the latest 1 hour before arrival of the goods at the place for which that customs office is competent
In all other cases	At the latest 2 hours before the arrival of the goods at the place for which the customs office of first entry is competent

5.4. Transport by road

The ENS must be lodged at the latest 1 hour before the arrival of the goods at the place for which the customs office of first entry is competent.

5.5. Transport by inland waterways

The ENS must be lodged at the latest 2 hour before the arrival of the goods at the place for which the customs office of first entry is competent.

5.6. Combined transportation

For combined transportation (passive means of transport transported into the customs territory of the Union on active means of transport crossing the external border of the Union) the applicable time limit is the one valid for the active means of transport entering the customs territory of the Union.

Example	In case of a truck transported on a ferry between UK and Ireland, the time limits applicable will be those of the short sea shipping – 2 hours prior to arrival of the ferry at the first port of entry in Ireland.
	In case of a truck transported by rail from UK to France, the time limits applicable will be those of the rail mode of transport – 1 or 2 hours prior to arrival of the train at the first customs of entry in France. Time limit depends on the duration of the voyage from the last train formation station located in UK (see section 5.3).

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

If at the time of presentation of goods, it is discovered, that ENS was not submitted and no waiver foreseen in Article 104 UCC DA applies, it must be lodged immediately (Article 139(5) UCC). The goods will not be released for any subsequent customs procedure before the entry formalities are completed, unless it is permitted by national customs authorities to lodge directly a temporary storage or a customs declaration, that would contain the particulars of the ENS (Article 139(5) UCC). The customs authority can decide to impose penalties to the economic operators for not completing the ENS formalities within the legally defined deadlines (Article 42 UCC). The particulars shall be transmitted to customs office of first entry in accordance with Article 127(6) UCC.

6. RESPONSIBLE PARTY

The entry summary declaration shall be lodged by the carrier. However, it can also be lodged by the importer or consignee of the goods or by any person who is able to present or has presented the goods to customs (Article 127(4) UCC).

The carrier is the person who brings the goods, or who assumes responsibility for the carriage of the goods, into the customs territory of the Union (Article 5 (40)(a) UCC). However,

- in the case of combined transportation, ‘carrier’ means the person who operates the means of transport which, once brought into the customs territory of the EU, moves by itself as an active means of transport;

Example

In case of a truck transported on a ferry, the road haulier operating the truck that will move by itself upon the arrival into the EU will be the carrier for the purpose of the lodgement of the ENS.

- in the case of maritime or air traffic under a vessel-sharing or contracting arrangement, ‘carrier’ means the person who concludes a contract and issues a bill of lading or air waybill for the actual carriage of the goods into the customs territory of the EU.

Example

In maritime sector, vessel sharing arrangements may refer to slot or space charters or similar contracting arrangements where more than one carrier issues master bills of lading for cargo on board of the same ship. In these situations, the actual vessel operator may not have issued bills of lading for all the cargo on board being brought into to the EU. For such cargo the vessel operator will not be the carrier responsible for filing the ENS. That responsibility will lie with the bill of lading issuing carrier.

To comply with the requirement to lodge an entry summary declaration, the carrier will act as a declarant (Article 5(15) UCC), if he lodges the ENS particulars himself, or will appoint a representative to act on his behalf (Article 18 UCC). The person that will lodge entry summary declaration particulars is legally responsible for the timely lodgement within the legal deadlines and the accuracy of those particulars.

The declarant is also responsible to act and respond to the risk mitigating referrals that customs authority might issue during the pre-loading and/or pre-arrival risk assessment.

<i>Air mode only</i>	<p>Air carrier is responsible to ensure that when referrals are issued, the necessary actions are taken (e.g., HRCM screening) and response to those referrals is provided. In case of the Do Not Load request, the air carrier ensures that the goods are not loaded on an aircraft.</p> <p>When ENS was filed by several parties, and in case the goods may still be a subject to an open referral issued to another party (e.g., postal operator), the air carrier decides, whether to transport the goods to the EU in non-compliance with the EU customs (UCC and UCC IA) and EU Civil Aviation Security legislation (Implementing Regulation (EU) 2021/255 and provisions in its corresponding Annex).</p>
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In cases, where not all particulars required for an ENS are provided to the carrier, other persons holding those particulars (e.g., freight forwarders, ground handling agents, consignees/importers, etc.) may be required to provide those particulars to customs (Article 127(6) UCC). Those persons then will be responsible for the timely submission and accuracy of those ENS particulars.

<i>Postal business model only (7)</i>	<p>The postal operator of destination, if the goods are consigned to the Union, or the postal operator of the Member State of first entry, if the goods are transiting through the Union, must file the minimum data set prior to loading of the goods on means of transport that will bring them into the EU (Article 183 UCC IA) and either provide the remaining ENS particulars to the carrier or lodge them themselves (Article 113a UCC DA).</p>
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The carrier and any of the persons issuing a bill of lading/air waybill/consignment note shall provide, in the particulars of the entry summary declaration, the identity of any person that has concluded a transport contract with them and has not provided them with the particulars required for the entry summary declaration (Article 184 UCC IA).

<i>Maritime mode only (8)</i>	<p>Where the consignee indicated in the bill of lading as not having underlying bills of lading does not make the required particulars available to the person issuing the bill of lading, that person shall provide the identity of the consignee in the particulars of the entry summary declaration (Article 184(1) UCC IA).</p>
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<i>Practical implementation</i>	<p>Carrier must indicate in their ENS submission the identity of the party with which he has concluded a transport contract, and which did not provide all the necessary ENS particulars to the carrier. This must be done by</p>
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(7) Legal obligations for road and rail are not yet available.

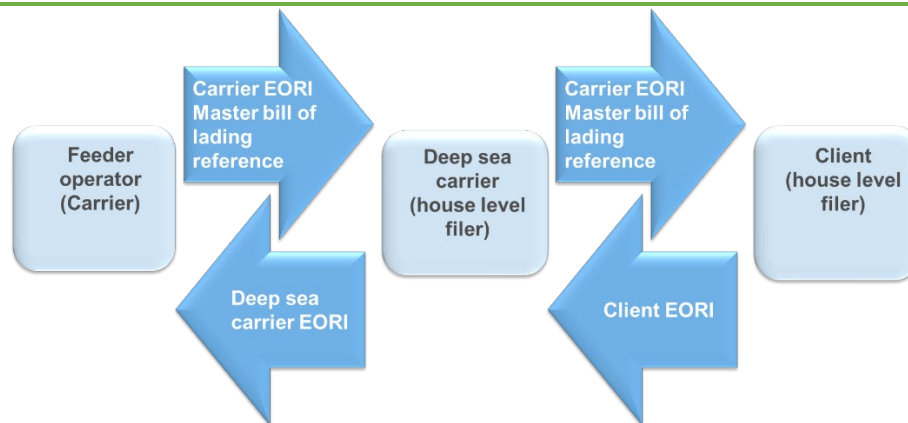
(8) Legal obligations for road and rail are not yet available.

	<p>indicating the EORI number of the party in the data element 'Supplementary declarant'. Carrier in his filing will indicate one supplementary declarant.</p>
	<p>Any other party can have any type of contractual arrangement with the other supply chain actors for co-loading or transportation of the goods. This other party that has issued one or several house level transport contracts to other party or parties which did not provide the necessary ENS particulars to the party issuing the transport contracts, must provide identities of those parties by indicating their EORI numbers in the data element 'Supplementary declarant' for each house consignment that corresponds to an issued transport contract. This party also must indicate whether a lower-level transport contract was issued, or a co-loading arrangement is in place.</p>
	<p>When consignee from the lowest bill of lading did not provide the particulars of buyer and seller to the party issuing the bill of lading, the identity of the consignee must be provided by indicating their EORI number in the data element 'Supplementary declarant'.</p>

The person issuing the bill of lading/air waybill/consignment note shall inform the person that concluded a transport contract with him about the issuance of that bill of lading/air waybill/consignment note. In the case of a goods co-loading arrangement, the person issuing the bill of lading/air waybill/consignment note shall inform the person with whom he entered into that arrangement of the issuance of that bill of lading/air waybill/consignment note.

<p><i>Practical implementation</i></p>	<p>Reference number of master bill of lading/master air waybill/consignment note must be declared in all partial ENS data submissions lodged by the carrier and other persons. This reference number is used for the linking of partial filings into a complete ENS. Therefore, the carrier must provide this transport contract reference number together with their EORI number to the party that he has concluded a transport contract with, and the latter must provide it to other parties he had concluded transport contracts with.</p>
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<p><i>Example</i></p>	<p>Deep sea carrier issues a bill of lading to their client, which does not wish to share the data and will have to submit it to ICS2 himself. Since the cargo will be entering the EU on a feeder vessel, the feeder operator issues a master bill of lading to the deep sea carrier. There is no vessel sharing agreement, thus the feeder operator will be the carrier, responsible to lodge an ENS.</p> <p>Since parties do not share the data, it will be submitted by each party separately. In order to link these submissions into an ENS, they all need to provide the EORI numbers of other parties as well as the reference number of the master bill of lading.</p>
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Feeder operator, that acts as carrier, in his submission needs to indicate his EORI number in the 'Carrier' data element and the EORI number of deep sea carrier in the 'Supplementary declarant' data element.

Deep sea carrier in his submission needs to indicate the EORI of the feeder operator in the 'Carrier' data element, and the EORI number of the client, in the 'Supplementary declarant' data element. He also needs to declare the reference number of the master bill of lading issued by the feeder operator.

The client of the deep sea carrier in his submission needs to indicate EORI of the feeder operator in the 'Carrier' data element and reference number of the master bill of lading.

7. REGISTRATION OF THE ECONOMIC OPERATORS AND USE OF EORI NUMBER

Each economic operator performing customs formalities, e.g., lodging an ENS, arrival notification, acting as declarant, representative, etc. needs to be registered with customs for the purpose of their identification. The registered EO is assigned an EORI number ⁽⁹⁾.

In the ENS the EORI number of the following parties must be declared:

- declarant;
- representative;
- carrier;
- consignee, where this party has been assigned an EORI number.

EORI number is also required in the arrival notification for:

- person notifying the arrival;
- notify party (for the arrival purpose) if this party is declared in the arrival notification.

⁽⁹⁾ [Economic Operators Registration and Identification number \(EORI\) - European Commission \(europa.eu\)](http://europa.eu)

At a technical level, a sender of the messages, if it is different from the declarant or representative (e.g., ITSP), also needs to have an EORI number.

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

8. DATA REQUIREMENTS

The entry summary declaration shall contain the particulars necessary for risk analysis for security and safety purposes (Article 127(5) UCC).

<i>Practical implementation</i>	Only one ENS can be lodged per master level transport contract issued by the carrier. One ENS cannot cover multiple master bills of lading/master air waybills/consignment notes and it cannot contain consignments mixed from different master bills of lading/master air waybills/consignment notes.
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ENS can be lodged by a single submission, containing all required particulars, or several partial submissions (Article 183 UCC IA).

A complete entry summary declaration, irrespective if it was filed via single or multiple submissions, always has the same structure: declaration level, master consignment level, house consignment level and goods shipment level.

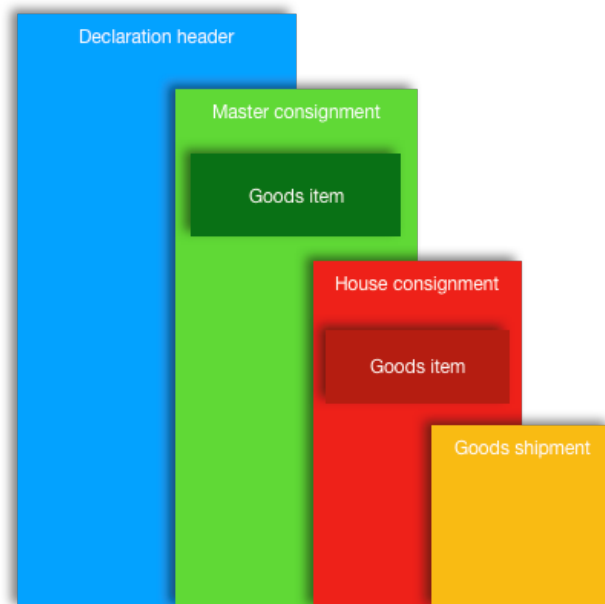


Figure 1 Composition of a complete ENS

Master and house consignment levels contain underlying goods items and other relevant information. In case of straight bill of lading or direct air waybill there is no underlying house bill of lading or house air waybill issued, however, the ENS maintains the standard structure

where information about the underlying goods items is not filed at master consignment level but at house consignment level.

<i>Air mode only</i>	ENS for air mode does not contain goods shipment level.
	Minimum data set for pre-loading (PLACI) is only composed of the declaration level, house consignment level and underlying goods items.

Declaration level contains MRN of an ENS and information related to the transportation of the goods, e.g. mode and identity of means of transport, customs office of first entry, departure and arrival times, etc. This information is provided from the master bill of lading/master air waybill/consignment note.

Master consignment level contains information from the master bill of lading/master air waybill/consignment note. As ENS is lodged for one master transport contract, there is only one master consignment in an ENS.

House consignment level contains information about each house consignment and its underlying goods items from the lowest level house bill of lading/house air waybill/consignment note. Since there can be several underlying house level transport contracts issued, there can be multiple house consignments in an ENS.

<i>Example</i>	For e-commerce shipments the data at house consignment level must be declared at the level of each separate e-commerce shipment including the data for each goods item in each shipment. The data cannot be consolidated into one house consignment for all shipments with a generic description.
	For this reason, filings F10, F13, F28, F29 cannot be used for e-commerce shipments.

Goods shipment level contains buyer and seller information which has to be provided from commercial documents, e.g. invoices. Buyer and seller must be declared for each house consignment at the lowest level bill of lading/house air waybill/consignment note.

8.1. ENS filing types

Each ENS filing has a different data set ⁽¹⁰⁾ that depends on the mode of transport and the usage of that filing. The data set might contain ENS particulars on all or only some of the levels (master, house, etc.). A detailed overview of the ENS filings and their data content is provided below.

8.1.1. Maritime (sea and inland waterways) mode

Filing type	Master consignment	House consignment	Goods shipment	Used
F10	X	X	X	for straight bill of lading
F11	X	X	X	

⁽¹⁰⁾ Defined in Annex B of the UCC DA

F12	X			
F13	X	X		for straight bill of lading
F14		X		
F15		X	X	
F16			X	
F17 ⁽¹⁾			X	for straight bill of lading

8.1.2. Air mode (air cargo general only)

Filing type	Master consignment	House consignment	Minimum data set for pre-loading	Used
F20	X	X	X	for pre-loading and pre-arrival risk analysis
F21	X			for pre-arrival risk analysis
F22		X		for pre-arrival risk analysis
F23			X	for pre-loading risk analysis, without MAWB number
F24			X	for pre-loading risk analysis
F25			X	for pre-loading risk analysis, MAWB number only, always with F23
F26		X	X	for pre-loading and pre-arrival risk analysis
F27	X	X		for pre-arrival risk analysis
F28	X	X	X	for pre-loading and pre-arrival risk analysis, direct air waybill
F29	X	X		for pre-arrival risk analysis, direct air waybill

8.1.3. Express (air and road mode)

Filing type	Master consignment	House consignment	Goods shipment	Minimum data set for pre-loading	Used
F30	X	X			for pre-arrival risk analysis, air mode
F31	X	X			for pre-arrival risk analysis, express consignments on air cargo general
F32				X	for pre-loading risk analysis, air mode
F33		X			for pre-arrival risk analysis, express consignments on air cargo general
F34	X	X	X		for pre-arrival risk analysis, road mode

8.1.4. Postal (all modes)

Filing type	Master consignment	House consignment	Minimum data set for pre-loading	Used

⁽¹⁾ ENS filing F17 is based on column F16 in the Annex B UCC DA

F40	X			for pre-arrival risk analysis, road mode
F41	X			for pre-arrival risk analysis, rail mode
F42	X			for pre-arrival risk analysis, air mode
F43		X	X	for pre-loading and pre-arrival risk analysis
F44		X		for pre-arrival risk analysis
F45	X			for pre-arrival risk analysis, maritime mode

8.1.5. Road ⁽¹²⁾

Filing type	Master consignment	House consignment	Goods shipment	Used
F50	X	X	X	
F56	X			
F57		X	X	
F58		X		
F59			X	

8.1.6. Rail ⁽¹³⁾

Filing type	Master consignment	House consignment	Goods shipment	Used
F51	X	X	X	
F52	X			
F53		X	X	
F54		X		
F55			X	

8.2. Combinations of partial ENS filings

When ENS is lodged using several submissions of data (multiple filing), it is important to ensure that a complete ENS with all required data particulars is available for customs once all parties have filed. To achieve this, certain ENS filing combinations must be used when data is submitted via multiple submissions.

The valid combinations for maritime mode are:

- F12+F14+F16
- F12+F15
- F13+F17

For air mode the minimum data set for pre-loading risk assessment must be lodged and it can be done separately or combined with the ENS particulars. The valid combinations for air (including express consignments on air cargo general) are:

- F23+F25+F21+F22
- F24+F21+F22

⁽¹²⁾ Only single submission of ENS using filing F50 is possible for road mode until legal provisions allowing for multiple filing (F56-F59) are adopted and implemented in ICS2.

⁽¹³⁾ Only single submission of ENS using filing F51 is possible for rail mode until legal provisions allowing for multiple filing (F52-F55) are adopted and implemented in ICS2.

- F23+F25+F27
- F24+F27
- F23+F25+F29
- F24+F29
- F21+F26
- F32+F21+F33
- F32+F31

For express consignments that are transported by the express integrators, the only valid combination is F32+F30.

ENS for postal items is always filed via several submissions. The postal operator files the F43+F44 combination and the carrier files the master consignment data via a filing dedicated to the specific mode of transport – F40, F41, F42 or F45.

For road the valid combinations are:

- F56+F57
- F56+F58+F59

For rail the valid combinations are:

- F52+F53
- F52+F54+F55

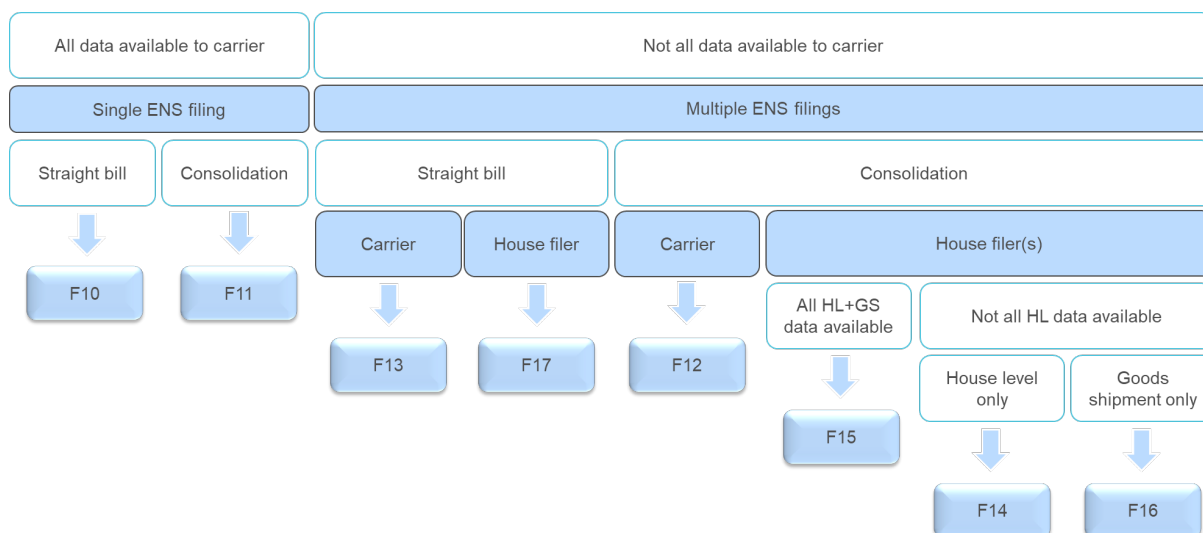
8.3. Choosing an ENS filing type

The choice of the ENS filing(s) depends on several factors:

- the mode of transport (maritime, air, road, rail) and, where applicable, type of cargo (air cargo general, postal, express),
- the arrangement between the supply chain actors on single or multiple filing,
- the role of the party that is lodging the ENS (carrier, house filer),
- for air mode the time when the data is available (prior to loading, prior to arrival), and
- what data is available at the time of filing (minimum, partial or complete data set).

All supply chain parties need to arrange between themselves who and what data will be filing in order to file a correct combination and to ensure that a complete ENS is available to customs for risk assessment.

8.3.1. Maritime (sea and inland waterways) mode



First step in the maritime mode is to determine which party is the carrier (see section 6). If parties have a vessel sharing agreement, then the carrier is the party that issued the bill of lading. If not, then the carrier is the party that assumes the responsibility of the carriage of the goods into the EU.

Example	Deep sea carrier issues a bill of lading to their client and has a vessel sharing agreement with the feeder operator that will bring the goods into the EU – the deep sea carrier is the carrier for the purpose of filing an ENS.
	Deep sea carrier issues a bill of lading to their client and arrange with the feeder operator to bring the goods into the EU for which the feeder operator issues the bill of lading – feeder operator is the carrier for the purpose of filing an ENS. Deep sea carrier may act as a house level filer in case he does not provide all the data to the feeder operator.
	Ferry operator transports containers and trucks into the EU, the carrier in this case is: <ul style="list-style-type: none"> 1. The ferry operator for the containers, which are unaccompanied; 2. The road haulier for the trucks that will be self-propelling after the arrival into the EU.

If all necessary ENS particulars are provided to the carrier, then the choice of the filing type depends on the type of the bill of lading – if a straight bill of lading is issued by the carrier, then F10 should be used to submit the ENS, otherwise F11 should be used.

In case the ENS is submitted using multiple filings, the carrier will file F13, if he has issued straight bill of lading, or F12 in other cases. The other parties (house filers) will file depending on the availability of the data. Carrier filing F13 needs to be complemented with buyer and seller data that should be filed using F17 filing. Filing F12 needs to be complemented either by F15, that contains all necessary information from the lowest house bill of lading, including the buyer and seller data, or F14 that contains the house bill of lading data and F16 that contains buyer and seller data.

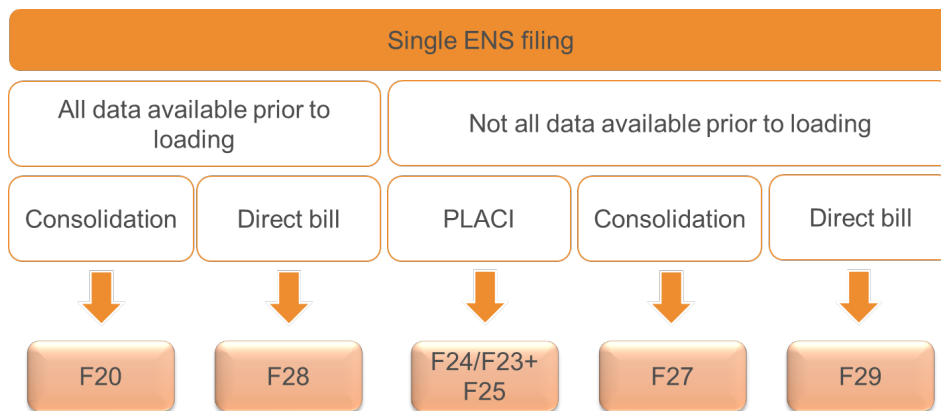
Example	<p>Deep sea carrier issues a bill of lading to their client, which does not wish to share the data and will have to submit it to ICS2 himself. The cargo will be entering the EU on a feeder vessel operated by another carrier, however, there is a vessel sharing agreement, thus the deep sea carrier will be the carrier, responsible to lodge an ENS.</p> <p>Deep sea carrier lodges F12 and the client lodges F15. If the client was not provided with all the data from the lowest level bill of lading (buyer and seller information), then he lodges F14 and the importer lodges F16.</p>
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Practical implementation	<p>In case where the carrier is provided partial data from the house level (e.g., buyer and seller data is not provided), he needs to lodge master (F12) and house (F14) level information himself, and the party that did not provide the buyer and seller data will have to lodge that information themselves (F16). In this case the carrier needs to provide in his F12 filing his own EORI in the Supplementary declarant data element (since he will be filing F14) and in his F14 filing the EORI of the party that will be filing F16 filing.</p>
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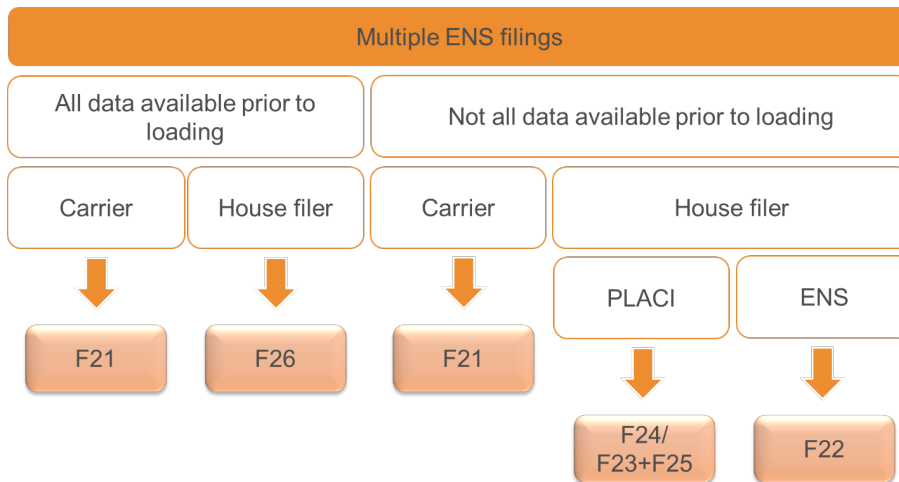
8.3.2. Air mode

As a first step the party that acts as the carrier needs to be determined. If cargo is transported on a code share flight, then the party that issued the air waybill is the carrier. Otherwise, it is the party that assumes the responsibility of the carriage of the goods into the EU.

In air mode the parties need to agree whether all data will be provided to the carrier to be filed in a single submission or multiple filing will be used.



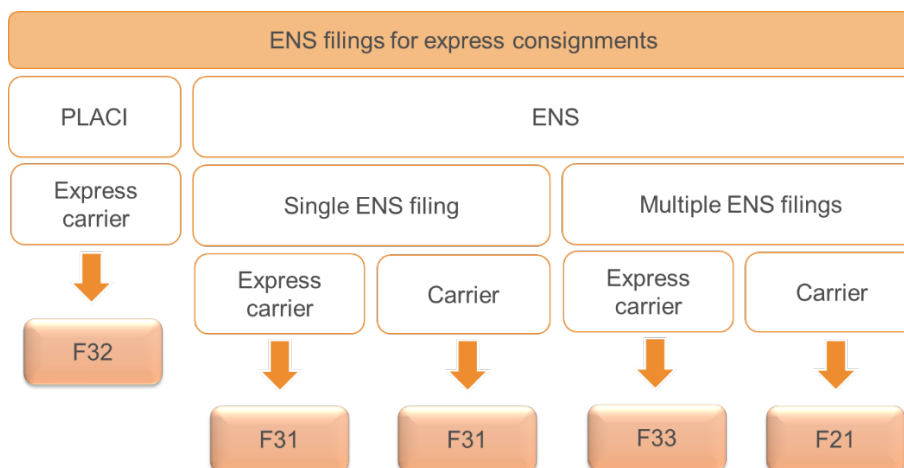
If the arrangement is for a single filing, the carrier needs to choose the filing type depending on when all the necessary data is available. If all data is available prior to loading of the cargo, then F20 should be used for cargo with underlying air waybills (consolidated) or F28 for the cargo for which a direct air waybill is issued. If full data set is not available prior to loading, then the carrier (or any other party having this information) needs to file minimum data set first, using combination of F23+F25 filings or F24 filing. Then the carrier needs to submit prior to arrival filing F27 for cargo with underlying air waybills or F29 for cargo for which a direct air waybill is issued.



If for air cargo general parties have arranged for multiple filing, then carrier will be filing F21 prior to arrival and the house filer(s) will chose the type of filing depending on the type of cargo and on the time when the necessary data is available.

If all data for the house level filing is available prior to loading, F26 should be used. If the data is not available, then prior to loading at least the minim data set needs to be submitted first, using combination of F23+F25 filings or F24 filing. Then prior to arrival the full house level dataset should be submitted using F22 filing.

For express consignments carried by the air cargo carriers (airlines) the minimum pre-loading dataset is always submitted by the express carrier using F32 filing. Then, the parties can arrange for single or multiple submission of the data. If single submission is preferred, then the carrier or express carrier files F31, if not, then the carrier will file F21 and the express carrier will file F33 filing.

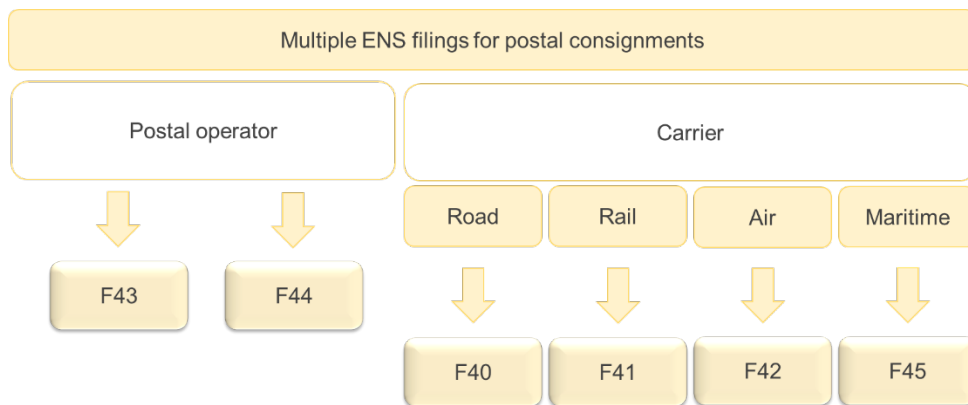


<p><i>What happens if both carrier and house filer file the same ENS filing (double filing)?</i></p>	<p>In pre-loading phase this would result in two pre-loading minimum data sets. They would both be accepted, and risk assessed independently. For forwarder and carrier filing house level information the process will be as usual, meaning:</p> <ul style="list-style-type: none"> - ENS will be validated;
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	<ul style="list-style-type: none"> - if there is no error in the filing it will be accepted and MRN will be assigned (each ENS filing will have its own MRN); - pre-loading risk analysis will be performed; - assessment complete or Do Not Load message will be sent to person filing and carrier indicated in corresponding ENS filing. <p>In pre-arrival phase only one ENS per master level transport contract can be lodged.</p> <p>If both parties lodge a master level or full ENS filing (e.g. F21 or F20), then the first ENS filing will be accepted and the second will be rejected.</p> <p>If both parties lodge a house level ENS filing (e.g. F22 or F26), then one or both ENS filings will be linked with the master level ENS filing (provided that the supplementary declarant in the master level filing is the same as declarant of the house level filing). In case both house level ENS filings are linked with the master level filing, the ENS will have duplicate house consignments, which is not correct in terms of data accuracy. One of the house level ENS filings should be invalidated.</p>
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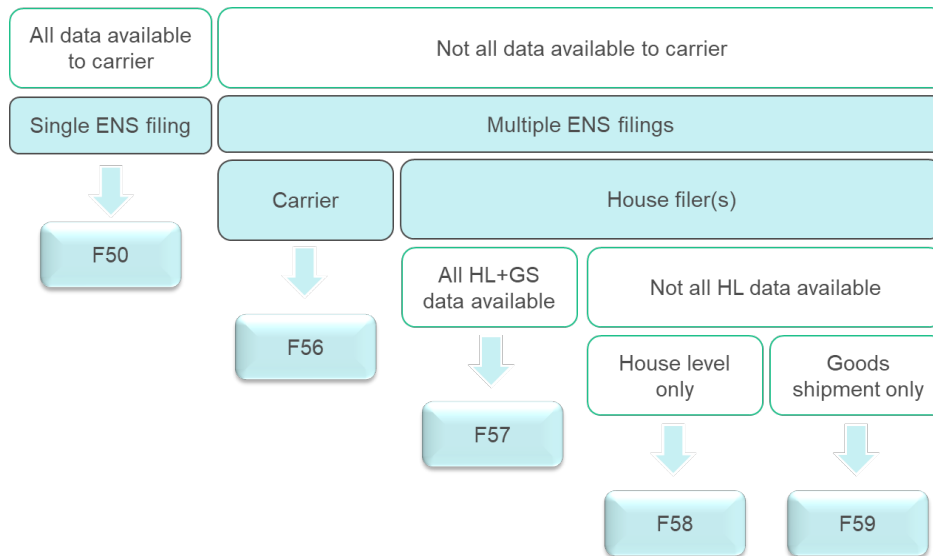
8.3.3. Postal model

In postal model the ENS is always submitted in multiple submissions. The postal operator needs to submit house level data using filing F43 and receptacle information using filing F44 prior to loading. The carrier complements this by submitting master level data using filing type defined for their mode of transport prior to arrival.



Postal items from the Extraterritorial offices of exchange (ETOE), that are not transported under UPU postal business model, are subject to rules applicable to general cargo and respective ENS filings for maritime, air, road or rail must be used.

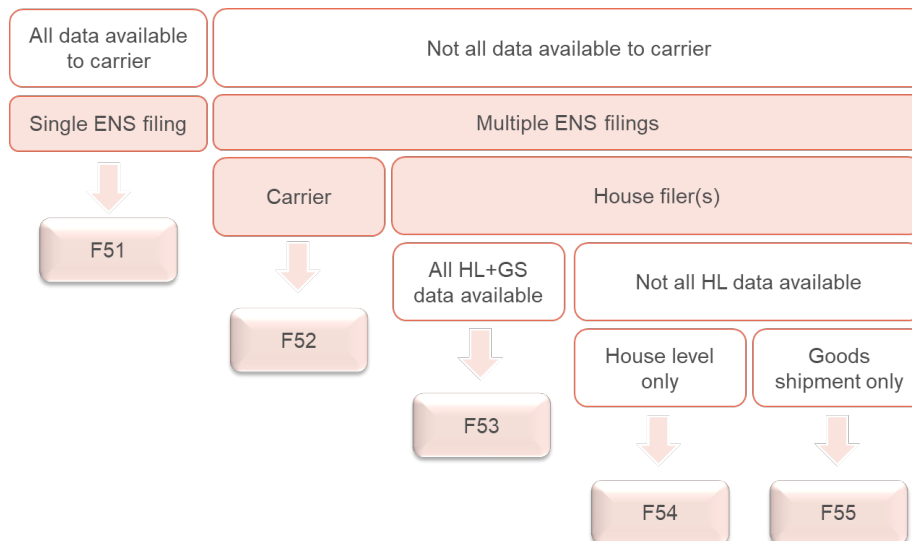
8.3.4. Road mode



ENS submission for road can be done in one single filing F50 or using multiple filing. If the multiple filing is arranged between the parties, then the carrier files F56 prior to arrival and the house filer(s) file either F57 if all information for the house level including the buyer and seller data is available to them, or F58 with house level information and separate F59 with buyer and seller data are lodged as in maritime mode.

ENS submission for express consignments transported by road is done using single F34 filing.

8.3.5. Rail mode



ENS submission for rail also can be done in one single filing F51 or using multiple filing. If the multiple filing is arranged between the parties, then the carrier files F52 prior to arrival and the house filer(s) file either F53 if all information for the house level including the buyer and seller data is available to them, or F54 with house level information and separate F55 with buyer and seller data are lodged similar to maritime and road mode.

If ENS particulars for road or rail mode are submitted in a customs declaration (Article 130 UCC), then a full dataset must be provided in that declaration. Partial submission of the data in this case is not possible.

<i>Practical implementation</i>	Submission of the entry summary declaration data in a transit declaration will be possible with deployment of NCTS P6 in those Member States that will opt in to implement it. ENS particulars will be extracted from the transit declaration and transferred to ICS2 for assessment of security and safety risks. NCTS P6 will enable submission of the F34, F50 and F51 filings data in transit declaration.
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8.3.6. *Multimodal and combined transport*

Where the goods are brought into the customs territory of the Union on a passive border transport means transported on an active border transport means during the border crossing, and, once unloaded from the active border transport means, the passive means of transport can immediately continue their journey due their self-propelling capabilities, the choice of the ENS filing will depend on the mode of the transport of those passive means of transport.

<i>Example</i>	A truck is transported into the EU on a RO-RO ferry. The type of ENS filing to be used is the one for the road mode of transport. The operator of the truck has the role of the carrier and is the party responsible to submit an ENS.
	A truck is transported into the EU by rail. The type of ENS filing to be used is the one for the road mode of transport. The operator of the truck has the role of the carrier and is the party responsible to submit an ENS.

Where the unaccompanied units of transport (e.g., trailers without a truck) are brought into the Union, the ENS filing type to be used is the one of the active means of transport.

<i>Example</i>	A trailer is transported into the EU on a RO-RO ferry. The type of ENS filing to be used is the one for the maritime mode of transport. The operator of the ferry has the role of the carrier and is the party responsible to submit an ENS.
	A trailer is transported into the EU by rail. The type of ENS filing to be used is the one for the rail mode of transport. The rail operator has the role of the carrier and is the party responsible to submit an ENS.

9. REGISTRATION OF THE ENS SUBMISSIONS

Each successfully validated ENS filing is registered with an MRN. This number is communicated back (IE3R01) to the declarant and the carrier, if the latter is different from the declarant, is connected to the ICS2 system, and has set his preference to receive this notification.

MRN of an ENS filing is used for further communication with the declarant to uniquely identify the submission.

If the ENS was filed in a single submission, the Master Reference Number (MRN) of that filing becomes the MRN of the complete ENS. If the ENS was filed using multiple submissions, then the MRN of the master level filing (e.g., F12, F21, F42) becomes the MRN of the complete ENS.

Example	ENS is submitted using single filing F50 and is assigned with an MRN 24FR1234567890ABCD. This number becomes the MRN of the entry summary declaration.
	<p>ENS is submitted using multiple filings F12, F14 and F16.</p> <ul style="list-style-type: none"> - F12 is assigned with an MRN 24NL1234567890QWER, - F14 MRN 24PL1234567890TYUI and - F16 MRN 24PL1234567890TYOP. <p>The MRN of complete ENS will be 24NL1234567890QWER.</p>

If ENS filing does not pass the validation and therefore is rejected, and an error notification (IE3N99) is returned to the declarant. The declarant then must amend the filing and re-submit it.

<i>Why is my submission rejected? What shall I do?</i>	<p>ICS2 performs syntactical, semantical and lifecycle validation of the received ENS filing. The result is either:</p> <ul style="list-style-type: none"> - Filings is stored and further processed by the ICS2, and the declarant receives an ENS registration acceptance response (IE3R01) with the MRN assigned by ICS2 to the filing, or - Error message (IE3N99 or IE3N01) is sent to the person filing in case the filing did not pass the validation. <p>If error notification (IE3N99) was received, the filing failed the syntactical and/or semantical validation and was therefore rejected by ICS2. In this case it will not be further processed. The declarant must lodge a corrected ENS filing. The correction needs to address all errors that were indicated in the error message in order to pass the syntactical/semantical validation.</p> <p>If ENS lifecycle validation error notification (IE3N01) was received, it means that one or more house consignments covered by the ENS filing is a duplicate. In case of a duplicate the declarant needs to investigate the reason of it.</p>
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10. LINKING AND COMPLETENESS OF AN ENS

When ENS is filed using multiple submissions those submissions need to be linked into an ENS. This is done using a unique linking key (ULK) which is composed of the following data elements that must be present in each of the submissions:

- Transport document (Master level) reference number;

- Carrier EORI number;
- Supplementary declarant /Declarant EORI number.

Transport document reference and carrier EORI number must be passed to all parties that will have to file partial ENS filings. All the parties that do not provide ENS particulars to the carrier must provide him with their EORI number.

The linking process starts once the master level ENS filing is lodged. Any house level filing submitted prior is stored and waiting until then.

Example

Air carrier (EORI number DE123456) issues a MAWB 123-12345678 to freight forwarder A, which has EORI number BE00001. Carrier files F21 indicating :

- Declarant EORI: DE123456
- Carrier EORI: DE123456
- Transport document (Master level): 123-12345678
- Supplementary declarant EORI: BE00001

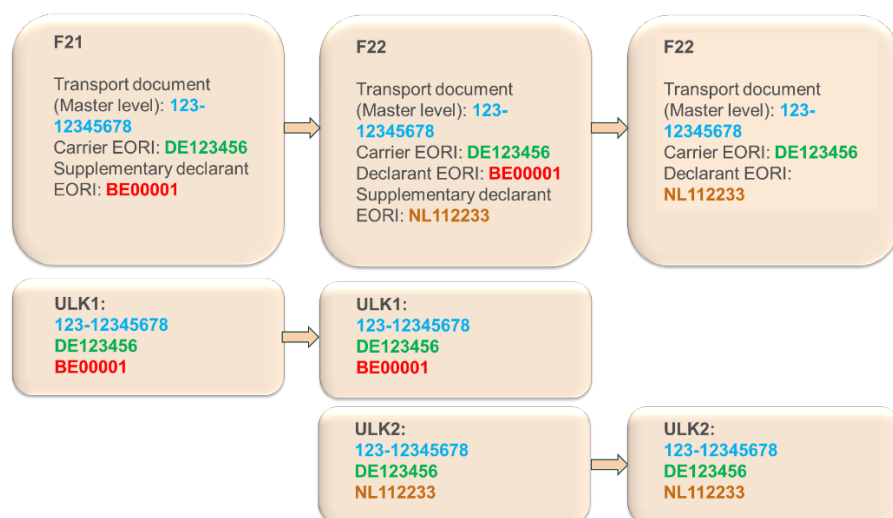
Freight forwarder A issues HAWB ABC123 to freight forwarder B (EORI number NL112233). Freight forwarder A files F22 indicating:

- Declarant EORI: BE00001
- Carrier EORI: DE123456
- Transport document (Master level): 123-12345678
- Supplementary declarant EORI: NL112233

Freight forwarder B files F22 filing indicating:

- Declarant EORI: NL112233
- Carrier EORI: DE123456
- Transport document (Master level) : 123-12345678

The linking will be done in sequence starting from the carrier filing F21 and linking the other filings based on the matching ULKs.



At the start of the process a ‘linking expiration timer’, which defines a time limit to complete the linking process, is set. This allows the ENS submissions to be lodged in any sequence. The ‘linking expiration timer’ does not impact the legally defined time-limits for completion of the pre-arrival risk analysis.

Once the ‘linking expiration timer’ expires, the ENS completeness is checked and, if the ENS is complete, the pre-arrival risk analysis is triggered. In case there are missing ENS filings, declarant and supplementary declarant(s) are notified.

The declarant, which has indicated another party that has not provided the necessary particulars and needs to file these particulars themselves (supplementary declarant), is notified via ‘ENS not complete notification’ (IE3N02) indicating which supplementary declarant has not yet filed.

The supplementary declarant that has not yet filed, is also notified via ‘ENS pending notification’ (IE3N11) reminding of the legal obligation to submit the data. Person that receives such notification, must immediately file their respective ENS filing.

<i>Example</i>	<p>Ocean carrier and freight forwarder A have arranged for a multiple filing of an ENS. Freight forwarder A has also arranged with the consignee B that the latter will file the buyer and seller data themselves. The ocean carrier has lodged filing F12 indicating that freight forwarder A (supplementary declarant) will lodge a house level data. The freight forwarder A lodged filing F14 and indicated that consignee B (supplementary declarant) will lodge the remaining particulars. However, the consignee did not lodge the required data.</p> <p>Once the carrier filing was received, the system started the linking process. F12 and F14 filings were successfully linked, however, the system did not find any filing from consignee B. ‘ENS not complete notification’ (IE3N02) was sent to the freight forwarder A and ‘ENS pending notification’ (IE3N11) was sent to the consignee B. The carrier does not receive any notification in this case as he is not aware of the filing arrangement between the freight forwarder A and consignee B.</p>
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Linking of postal ENS filings differs from the above process. ENS for postal items is instantiated once the carrier filing F40, F41, F42 or F45 is submitted. The carrier filing contains a list of postal receptacles, which are used to retrieve the ENS filings F43 and F44 submitted by the designated postal operator and link them into an ENS.

In case of postal ENS there are no notifications about missing house level ENS filings sent.

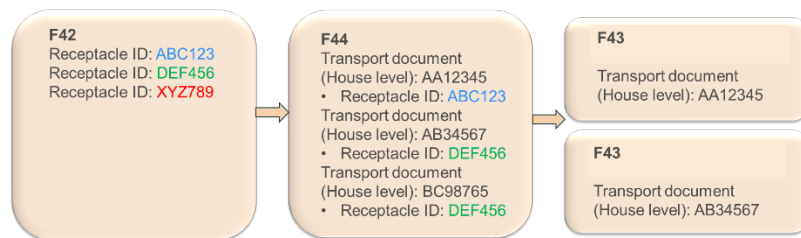
<i>Example</i>	<p>Air carrier submits ENS filing F42 containing 3 receptacle IDs:</p> <ul style="list-style-type: none">• ABC123• DEF456• XYZ789 <p>The postal operator has previously filed two F43 filings containing a house consignment each with transport document (House level) references:</p>
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- AA12345
- AB34567

Postal operator also has submitted F44 filing that contains the link between the house consignments and receptacles:

- House consignment AA12345 in receptacle ABC123
- House consignment AB34567 in receptacle DEF456
- House consignment BC98765 in receptacle DEF456

The ICS2 system, based on the list of receptacles provided in F42 filing retrieves F44 filing containing receptacles ABC123 and DEF456. F44 filing for receptacle XYZ987 is not found as it is not filed. Then the system retrieves the F43 filings containing the house consignments AA12345 and AB34567. House consignment BC98765 is not found.



The ENS that is instantiate after this lining will contain 2 house consignments.

House consignment BC98765 is filed later. The linking process is re-triggered, the missing house consignment is linked and a new version of the ENS with 3 house consignments is available for risk assessment.

Once a late ENS filing is submitted, the risk assessment process is re-triggered (similar to the amendment process).

<i>What happens if wrong EORI number is declared?</i>	If EORI number of the carrier is wrongly declared in the house level ENS filing, then the house level filing will not be linked to an ENS. If wrong EORI number of a supplementary declarant is declared, the ENS will not be complete.
<i>What happens if wrong transport document number is declared?</i>	If wrong number of transport document is declared in the house level filing, the ENS filing will not be linked and the ENS will not be complete. The reference number format must also be the same in all filings.
<i>What happens if the same ENS filing is submitted several times?</i>	F13 and F17 combination is linked 1-to-1 and therefore only one F17 filing can be linked. In cases several F17 filings are received and processed at the same time, then only the latest one will be linked to F13. If processing of multiple F17 submissions is not happening

	<p>simultaneously, then the first processed F17 will be linked. Not linked F17 filings will be invalidated after expiration of 200 days timer.</p> <p>For all other ENS filing types all multiple house level ENS filings that are submitted will be linked to the ENS, even if they are duplicates. However, this would lead to an inaccurate ENS. For this reason, duplicate filings should be avoided.</p>
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11. RE-ENTRY

If the vessel or aircraft after having entered the customs territory of the Union leave that territory and call at a third country port or airport between EU destinations or a truck or train after having entered the customs territory of the Union leave and pass through a territory of a third country, then a new ENS must be lodged to the first customs office of entry for all the goods on board of means of transport that arrive into the Union upon re-entry of those means of transport. If the goods are transhipped in the third country, the same principle applies – new ENS needs to be lodged for those goods.

<p><i>Practical implementation</i></p>	<p>ICS2 allows only one ENS to be submitted for a master transport contract. In the case of re-entry, submission of a new ENS for the same master transport document would result in rejection of that submission. In order to pass the validation of the ENS lodged in the case of re-entry, the ‘re-entry indicator’ must be used.</p> <p>If ENS was lodged using single submission, then a new ENS with updated information needs to be lodged, with ‘re-entry indicator’ set to ‘1’.</p> <p>If ENS was lodged using multiple submissions, then only a new master level dataset (with ‘re-entry indicator’ set to ‘1’) needs to be lodged with updated information. The house level dataset(s) does not need to be re-submitted.</p> <p>If the goods while in the 3rd country were placed under a new transport contract, then a new ENS needs to be lodged with new master and house level data. ‘Re-entry indicator’ in such ENS would need to be set to ‘0’.</p>
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<p><i>Example</i></p>	<p>Deep sea container vessel enters into the EU in Greece, then leaves for Egypt and re-enters in Malta. The cargo remains on board in Greece and Egypt and is unloaded in Malta and the carriage continues under the same bill of lading.</p> <p>The deep sea carrier has lodged F12 and his client has lodged F15 filings for entry in Greece. However, since the vessel called in a port in Egypt, a new ENS needs to be lodged upon re-entry in Malta. Since first ENS was filed using multiple submissions, only the carrier needs to lodge a new F12 filing (with the same master bill of lading reference number) addressed to the customs office of first entry in Malta. In his filing the carrier needs to set ‘re-entry indicator’ to ‘1’ and provide updated information at master</p>
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level, e.g., date and time of arrival. The filings of the client will be linked to the new ENS.

12. SPLIT CONSIGNMENT

In situations where cargo that is declared in an ENS cannot be loaded on the same means of transport (e.g., not enough space on the aircraft), the remaining cargo will be shipped later. For that remaining part of the cargo a new ENS needs to be lodged. However, there are 2 issues that need to be addressed:

- Same transport document used for the second ENS would result in uniqueness violation;
- The house level filer, in case ENS was lodged using multiple submissions, is not aware of this situation.

Since each mode of transport deal with split consignments differently, the implementation of this in ICS2 also varies.

12.1. Maritime mode

For the remaining part of consignment, a new bill of lading will be issued.

The carrier needs to lodge a new full data set (F10 or F11) or master level data set (F12, F13 or F45) indicating that this is the split consignment case ('split consignment indicator' set to '1') and providing the MRN of the first ENS filing. Once carrier filing is submitted, the system will be able to retrieve the original ENS and the house level information linked to it. The data of the house level filer will be linked to the new ENS.

12.2. Air mode

The remaining part of the consignment will be shipped with the same MAWB.

The pre-loading data (F23+F25 or F24) does not need to be re-submitted. The carrier needs to lodge a new full data set (F20, F27, F28 or F29) or master level data set (F21 or F42) indicating that this is the split consignment case ('split consignment indicator' set to '1'). The data submitted by the house level filer will be retrieved and linked to the new ENS.

If remaining part of the consignment is shipped under new MAWB, then both new pre-loading data set and a new ENS must be submitted.

12.3. Express

There is no master level transport contract issued for express consignments.

The pre-loading data (F32) does not have to be re-submitted. Express operator needs to submit a new full data set (F30) indicating that this is the split consignment case ('split consignment indicator' set to '1') and providing the MRN of the first ENS filing.

Road and rail mode only

Split consignment cannot be used for consignments (including express and postal) transported by road or rail. Since the ENS has to be submitted shortly before the arrival of the means of transport to the COFE, the

information about exact consignments loaded onto the means of transport is already known to the parties as those consignments would have already been loaded before any submission of data.

Split consignment cannot be used when it is known in advance that the cargo will be transported in several shipments on different means of transport and/or on different dates.

13. RISK ANALYSIS

Entry summary declaration data is used to primarily perform security and safety risk assessment (Article 128 UCC). There are two types of risk assessment performed depending on the mode of transport used:

- pre-loading risk assessment focuses only on the aviation security risks (a.k.a. the bomb-in-the-box) and it is applicable only to the goods transported by air;
- 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. 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, misdeclaration or illicit activities (e.g., negligence, criminal organisations, terrorism, etc.). This type of risk is applicable to all modes of transport.

13.1. Pre-loading risk assessment

Pre-loading risk assessment of the consignments transported by air is performed immediately after the minimum pre-loading data set (PLACI) is lodged (Article 186(1) UCC IA).

If during this assessment the customs authority needs additional information to be provided, this information will be requested from the declarant (Article 186(3) UCC IA). The carrier, if different from the declarant, will be informed of such request. Risk assessment will be finalised once this information is provided.

If customs authority has reasonable grounds to suspect that the goods could pose a serious threat it may request to perform High Risk Cargo and Mail screening (Article 186(4) UCC IA). This request will be issued to the declarant. The carrier will be informed, if different from the declarant. The declarant is legally obliged to provide the results of such screening.

If customs authority has reasonable grounds to suspect that the goods could pose such a serious risk that an immediate action is necessary, it may request not to load the goods. This DNL request will be sent to both the declarant and the carrier, if different from the declarant (Article 186(5) UCC IA).

Referrals for pre-loading risk assessment are described in detail in EU guidance on air cargo security referral protocols ⁽¹⁴⁾.

⁽¹⁴⁾ <https://circabc.europa.eu/ui/group/18fb5859-3970-4ac5-b30b-6604977a15a7/library/b360487e-0b22-4d6b-8dac-6eeda6aa37eb/details>

13.2. Pre-arrival risk assessment

Once a valid ENS is submitted, it will be risk assessed prior to the arrival of the goods, provided that it was submitted within a legally defined time limits (Article 186(1) UCC IA).

If during the risk assessment the customs authority needs additional information to be provided, this information will be requested (referral) from the declarant (Article 186(3) UCC IA). The carrier, if different from declarant, will be notified of such request. Risk assessment will be finalised once this information is provided.

Deep sea containerised cargo only

If customs authority has reasonable grounds to suspect that the containerised cargo moved by sea could pose such a serious risk that an immediate action is necessary, it may request not to load the goods. This DNL request will be sent to both the declarant and the carrier, if different from the declarant (Article 186(5) UCC IA).

Further information on the risk mitigating referrals and applicable process is provided in the ICS2 Pre-arrival referral guidance ⁽¹⁵⁾.

13.3. Assessment complete notification

Once pre-loading or pre-arrival risk assessment is finalised, the responsible customs authority will record the results of it and will notify the declarant and the carrier, if different from the declarant, about the completion of the risk assessment.

The declarant and the carrier, where applicable, will receive an ‘Assessment complete’ notification from ICS2.

After pre-loading risk assessment such notification will be sent for each house consignment separately. Even if several house consignments were filed via one ENS filing, they all will get their own ‘Assessment complete’ notification.

The MRN of an ENS filing as well as the master (where relevant) and house level transport document references are indicated in the ‘Assessment complete’ notification allowing the declarant to identify consignments that were risk assessed.

If a DNL was issued for a specific house consignment, that house consignment will not receive an ‘Assessment complete’ notification.

After pre-arrival risk assessment the ‘Assessment complete’ notification will be sent for an entire ENS. If ENS was filed using multiple submissions, then each declarant of master and house level will receive the ‘Assessment complete’ notification and it will contain the MRN of their ENS filing. The declarants that filed goods shipment information (buyer/seller) will not be notified.

Example

ENS was filed using the combination of F12+F14+F16 filings. Once risk assessment is completed, ICS2 will send an ‘Assessment complete’ notification to the carrier that filed F12 with the MRN of that ENS filing,

⁽¹⁵⁾ <https://circabc.europa.eu/ui/group/18fb5859-3970-4ac5-b30b-6604977a15a7/library/6ce78788-1c4f-4495-b80a-a4780eea46c9/details>

an ‘Assessment complete’ notification to the house level filer that filed F14 ENS filing with the MRN of that filing. No notification will be sent to the declarant that filed F16 filing.

In case a DNL was issued for a container(s) on maritime mode the ‘Assessment complete’ notification sent for an ENS will contain a list of containers for which risk assessment was completed and no DNL was issued. Similar approach applies to the air mode. If a house consignment for which a DNL was issued in pre-loading phase is detected in an ENS in pre-arrival phase, ‘Assessment complete’ notification will contain a list of the house consignments for which risk assessment was completed and no DNL was issued. Consignments or containers for which a DNL was issued never get an ‘Assessment complete’ notification.

In case of ENS filings F20, F26, F28, F43 the ‘Assessment complete’ notification will be sent twice: once after pre-loading (for each house consignment) and once after pre-arrival risk assessment.

Practical implementation

ICS2 always generates the ‘Assessment complete’ notification to all the declarants and carriers. Although they can choose not to subscribe to receive this message, it is highly recommended to do so.

14. AMENDMENT

The declarant may, upon application, be permitted to amend one or more particulars of their ENS filing after it has been lodged (Article 129(1) UCC). The declarant cannot amend ENS particulars that have been lodged by another party (Article 188 UCC IA).

ENS particulars can also be amended upon request by customs authority where during the risk assessment process it is established that the data is erroneous or of insufficient quality for risk assessment purpose. Declarant of the ENS filing will receive a risk mitigating referral requesting to amend one or more particulars. The declarant is legally obliged to respond to such request by lodging an amended ENS filing, where he needs to indicate the referral request reference received with the referral request.

No amendment shall be possible after any of the following:

- the customs authorities have informed the person who lodged the entry summary declaration that they intend to examine the goods;
- the customs authorities have established that the particulars of the entry summary declaration are incorrect;
- the goods have already been presented to customs.

Even if only one partial ENS filing is concerned by the above restrictions, they nevertheless apply to all other ENS filings constituting an ENS.

Example

ENS was filed using the combination of F12+F14+F16 filings. The declarant of F16 decides to amend the ENS particulars he had filed.

However, the goods have already been presented by the carrier. For this reason, the ENS filing amendment is rejected.

In addition to the above restrictions, certain data elements of ENS filing cannot be amended due to technical restrictions. These elements are used for ENS linking purposes or used as unique identifiers. The list of data elements can be found in **Error! Bookmark not defined.** 2.

If non-amendable elements are erroneous and need to be corrected, then the ENS filing has to be invalidated and a new one with correct information lodged.

ENS amendment should also not be used to perform formatting corrections of the ENS filings where no actual data is amended. Such corrections can be modification of lower-case characters into upper case characters, addition of punctuation in the descriptions, cleansing of the data, etc. Even if the data is corrected in the EO system, it should not trigger amendment of an ENS filing.

Amendment of an ENS filing re-triggers the risk assessment of PLACI and/or ENS. Time limits for completion of the risk assessment no longer apply. The customs authority will complete the risk assessment immediately upon receipt of the particulars unless a risk is identified, or an additional risk analysis needs to be carried out (Article 186 (10) UCC IA).

15. INVALIDATION

The ENS can be invalidated where the goods for which it has been lodged are not brought into the customs territory of the Union (Article 129(2) UCC). The customs authorities will invalidate that declaration:

- upon application by the declarant; or
- after 200 days have elapsed since the declaration was lodged.

The declarant can only request invalidation of the ENS filings he has lodged, and not the filings of other parties.

Practical implementation

The declarant, wishing to invalidate his ENS filing submits the invalidation request to ICS2. The system checks the state of the ENS and either invalidates the ENS filing or rejects the request and sends an error message indicating, that the ENS is not in the state where it can be invalidated. If any of the goods covered by that particular ENS have been presented to customs, the ENS filing cannot be invalidated anymore.

Invalidation of ENS filings after expiration of 200 days timer is done automatically, the declarant does not need to request it.

16. DECLARATIONS LODGED INSTEAD OF AN ENTRY SUMMARY DECLARATION

Lodgement of an ENS may be waived if a customs or temporary storage declaration, containing particulars of the ENS is lodged within the time limits for lodgement of an ENS (Article 130 UCC).

<i>Practical implementation</i>	<p>Since all the data of an ENS lodged in another customs declaration needs to be submitted into ICS2 in order to be shared between customs authorities performing risk assessment, this is only possible in case of the transit declarations submitted via NCTS P6. Member States can decide whether they will develop NCTS P6 or not. If a Member State has not developed NCTS P6, ENS can only be submitted to ICS2.</p> <p>ENS submitted to NCTS P6 must contain full data set for a specific mode of transport (F43, F50, F51). Multiple ENS filing is not possible. For this reason, postal consignments can only be declared via ICS2.</p> <p>ENS data will be extracted from the transit declaration, registered (MRN will be assigned by NCTS) and submitted into ICS2. Processing of ENS will continue in ICS2. Communication with the economic operator (e.g., referral request/response) will be done via NCTS.</p>
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17. ARRIVAL

The operator of a sea-going vessel or of an aircraft entering the customs territory of the Union shall notify the arrival to the customs office of first entry upon arrival of the means of transport (Article 133 UCC). Arrival notification is not required for road and rail transport (please proceed to section 18).

The arrival notification may be submitted via ICS2 or national arrival system (if MS allow, port or airport systems can be used for that purpose).

Arrival notification must contain a reference to the ENSs lodged for all goods on board of means of transport. Person lodging the arrival notification must use one of the three methods:

List of MRNs	MRN of the master level ENS filing, that also serves as the MRN of an ENS must be used.
List of master transport documents with the estimated date and time of arrival	Reference number of master bill of lading or master air waybill must be used. In addition, the estimated date and time of arrival as declared in the ENSs must be provided. The estimated date and time of arrival <u>should not be modified</u> e.g., to reflect a delay, etc.
‘Entry key’	‘Entry key is composed of IMO number (maritime mode) or ENI number (inland waterways) or conveyance reference number/flight number (air mode), and estimated date and time of arrival as declared in the ENS. The estimated date and time of arrival <u>should not be modified</u> e.g., to reflect a delay, etc.

Example	<p>ENS is lodged with an estimated date and time of arrival on 2025-01-01 10:00Z</p> <p>Vessel with IMO1234567 number arrives on 2025-01-01 19:00Z</p> <p>‘Entry key’ will be used in the arrival notification.</p> <p>Arrival notification must contain:</p> <ul style="list-style-type: none"> - Active border transport means>Identification number>IMO1234567 - Estimated date and time of arrival>2025-01-01 10:00Z
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Arrival notification is registered and receives its own MRN.

Person notifying the arrival will receive all follow up communication from the customs authorities, e.g., ‘House consignment in incorrect state’ notification, and control notification. This party may also indicate other parties (Notify party) that can receive a follow up communication from customs authorities depending on the mode of transport.

Practical implementation	<p>Air:</p> <ul style="list-style-type: none"> • Notify party will receive the MRN of the arrival notification and control notification. <p>Maritime:</p> <ul style="list-style-type: none"> • Notify party will receive the MRN of the arrival notification, ‘House consignment in incorrect state’ notification, and control notification. • Declarant of the ENS will receive ‘House consignment in incorrect state’ notification, and control notification.
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If in unforeseen circumstances the arrival notification was already submitted to a customs office of first entry, but the aircraft or vessel had to be diverted, a new arrival notification to the actual customs office of first entry must be submitted. The ‘House consignment in incorrect state’ notification will be sent for all ENSs; however, the economic operators do not need to take any actions to follow up on this notification.

If during the risk assessment process high risk is identified and it requires intervention from customs immediately upon arrival of the goods at the customs office of first entry, a control notification will be sent to the person notifying the arrival and notify party and declarant of the ENS, where applicable. Such notification means that the goods, even if they were not to be unloaded in this airport or port, must be presented to customs for controls. This control notification will be sent via ICS2 or national arrival system (same channel through which an arrival notification was submitted).

18. PRESENTATION

Goods brought into the customs territory of the Union must be presented to customs immediately upon their arrival at the designated customs office or any other place designated or approved by the customs authorities or in the free zone (Article 139 UCC).

Presentation can be done by one of the following persons:

- the person who brought the goods into the customs territory of the Union;
- the person in whose name or on whose behalf the person who brought the goods into that territory acts;
- the person who assumed responsibility for carriage of the goods after they were brought into the customs territory of the Union;
- any person who immediately places the goods under a customs procedure;
- the holder of an authorisation for the operation of storage facilities or any person who carries out an activity in a free zone.

Goods which are brought by sea or air, and which remain on board the same means of transport for carriage, must be presented to customs only at the port or airport where they are unloaded or transhipped. However, goods which are unloaded and reloaded onto the same means of transport during its voyage in order to enable the unloading or loading of other goods, should not be presented to customs at that port or airport (Article 139(2) UCC).

Presentation notification must be submitted into the national presentation system. Reference to an ENS must be provided in the presentation notification.

Data elements from the presentation notification that are needed for entry process will be submitted into ICS2 from the national presentation system. Once presentation information is submitted to ICS2, the 200-day timer will be stopped (this timer starts once ENS filing is registered, and if goods are not brought into the EU, the expiration of this timer triggers automated invalidation of the ENS filing). If there is a control to be performed, it will be notified to the person presenting the goods via national presentation system. If the control is not necessary, the goods will be released to a subsequent customs procedure.

Controls can be notified in advance to the declarant and/or carrier in case these persons hold an AEO(S) status. Advance AEO control notification is sent via ICS2 upon the decision of the responsible Member State after completion of the pre-arrival risk assessment.

19. DATA REQUIREMENTS

Data requirements for an ENS and arrival notification as well as formats and codes to be used are defined in the Annex B of the UCC DA and IA.

Each column in the Annex B corresponds to a specific ENS filing type defined in the ICS2 system, except for ENS filing F17, which is based on the column F16 in the Annex B.

Limited guidance on completion of an ENS is provided in this section.

19.1. Data to be provided on master level

An ENS is composed of master and house consignment levels each having its own underlying goods items. In case of consolidated cargo detailed information about the goods must be provided on the house consignment level. Provision of same detailed information about the goods at master consignment level is not necessary. In case of the ENS filings F11, F12, F20, F21, F27, F31, F52, and F56 where the cargo at master level is consolidated from many underlying house consignments, the data provided on the master consignment level can be declared as follows:

- Only one goods item should be declared.
- Description of goods at master level can be replaced by the statement ‘Detailed goods description as provided from the house level’, provided that the detailed information is filed on the house level. In case the detailed house level information is not provided, the carrier will be requested to amend the ENS filing and provide the missing information, e.g., via the referral process.
- Commodity code is a mandatory data element and must be declared. In the case of consolidation at master level only one commodity code should be provided (to be chosen from any of the valid commodity codes at house consignment level).
- Weight at goods item level must be the total gross mass of all transported house consignments under the particular master transport document.
- Packaging should indicate the total number of packages of all transported house consignments under the particular master transport document. The shipping marks can be replaced with ‘Provided at the house level’.

At house consignment level all the above information must be declared for each goods item without any consolidation.

19.2. Completion of ENS data elements

Data element name	Description
LRN	Unique reference assigned to the ENS filing by the declarant. It is used for mapping of the assigned MRN reference to that ENS filing. The data should fit the format an..35. Uniqueness period is not defined so it should always be unique.
Document issue date	This is a timestamp when ENS was generated and lodged. Date/time format is ISO8601 basic format for date/time. Time part is expressed in UTC time.
Re-entry indicator	This indicator is to be used when goods, for which ENS was already lodged upon their first entry into the customs territory of the EU, are re-entering under the same master transport document.
Split consignment	This indicator is to be used when not all the goods declared under one ENS could be loaded on means of transport and a second ENS needs to be lodged for the remaining part of the consignment.
Type of person	The type of person (CL729 – natural person, legal person, association of persons) is indicated for the relevant party in the ENS filing.
Countries of routing of the means of transport	All countries, where means of transport stop, on the route to the destination in the EU.
Countries of routing of consignment	The routing of the consignment can differ from the routing of the means of transport. Before the consignment is loaded onto the means of transport that will bring it into the EU, the consignment can be previously transported via different countries.
Estimated date and time of departure	Estimated date and time of departure will be date and time when it is estimated that means of transport will leave last foreign airport/port before entering the EU. Estimated and scheduled date and time has

	the same meaning. Estimated date and time of departure should be indicated in UTC as any other date and time data element.
Estimated date and time of arrival	This is an estimated date and time of arrival at COFE. Estimated and scheduled date and time has the same meaning. Estimated date and time of arrival should be indicated in UTC.
Container indicator	This data element is mandatory, and the declarant needs to indicate (use code from code list CL708) whether: <ul style="list-style-type: none"> • 0 - Goods not transported in containers; • 1 - Goods transported in containers. In case of containerised cargo code list value '1' should be used together with the details on container used to transport consignment. In all other cases (lose load, bulk, pallets) the value '0' should be used.
Transport document (Master level)	<ul style="list-style-type: none"> • MAWB number to be provided following the structure defined in IATA Resolution 600a and Recommended Practice 1675: serial number, which contains a 3-digit IATA issued airline code number followed by a hyphen followed by an 8-digit serial number including the check digit placed at the extreme right position. • In case of goods moved by road under air waybill, the transport document reference is the one of the air waybill.
Transport charges / Method of payment	The method of payment for the transport charges (CL116 – payment in cash, by credit card, electronic funds transfer, etc.)
Place of delivery	The place where the house consignment is to be delivered to the consignee. UN/LOCODE should be declared. Where UN/LOCODE does not exist, a name of location and a country code is provided.
Place of acceptance	The place where the goods are accepted for the transportation. UN/LOCODE should be declared. Where UN/LOCODE does not exist, a name of location and a country code is provided.
Transport equipment	The identification of the container where the goods are transported in containers. In such case the 'Container indicator' should be filled in containing value '1'.
Total gross mass	The total mass of the goods with all packing materials. This information has to be provided at house consignment and at master consignment level.
Supplementary declarant	Supplementary declarant is a party which is indicated in the carrier/other house filer ENS filing as a party having a legal obligation to lodge the missing ENS particulars. In the case of carrier filing (F12, F21, F52, F56), the carrier will indicate one supplementary declarant. At house level filing (F14, F15, F22, F26, F53, F54, F57, F58) the declarant can indicate a supplementary declarant for each house consignment.
Reference number/UCR	Unique consignment reference number assigned to the consignment. This element is mandatory for express consignments on house consignment level, and it is used in combination with the transport document reference number to uniquely identify the house consignment.
Consignor	The party consigning goods as stipulated in the transport contract by the party ordering the transport.

	<p>Party consigning goods as stipulated in the transport contract by the party ordering the transport must be provided at the master consignment level.</p> <p>Party consigning the goods as stipulated in the lowest air waybill/bill of lading/ consignment note must be provided at house consignment level. This person must be different from the carrier, freight forwarder, consolidator, postal operator, or customs agent.</p>
Consignee	<p>The party to whom goods are actually consigned.</p> <p>Party to whom the goods are actually consigned must be provided at the master consignment level.</p> <p>Party receiving the goods as stipulated in the lowest air waybill/bill of lading/consignment note must be provided at house consignment level. This person must be different from the freight forwarder, (de)consolidator, postal operator, or customs agent.</p>
Consignor/Identification number	If consignor is registered and has an EORI number, this number must be declared.
Consignee/Identification number	If consignee is registered and has an EORI number, this number must be declared.
Declarant/Communication	Contact details (e-mail and/or phone) of the 24/7 contact point for referrals should be declared in this data class.
Customs office of first entry	A customs office with correct role (ENT) should be selected from CL141.
Active border transport means/Identity	In the case of combined transportation, this is the identity of the active means of transport, which are transporting passive means of transport, crossing the external border. For example, in case of a lorry on a ferry, this is the identity of the ferry.
Passive border transport means/Identity	In the case of combined transportation, this is the identity of the passive means of transport (e.g., lorry and trailer number plates) that is being transported by the active means of transport crossing the external border.

19.3. Declaration of empty containers/units

For goods for which an oral customs declaration is permitted in accordance with Article 135 and Article 136(1) UCC DA, the ENS waiver is applicable only where those goods are not carried under a transport contract (Article 104(1)(e) UCC DA). Thus, empty containers/units that are not transported under transport contract are exempted from an obligation to lodge an ENS.

Empty containers/units shipped under transport contract must be covered by an ENS. The containers/units should be declared as goods, providing all the necessary information on goods item level. Certain data elements must be filled as follows:

Data element name	Description
Seller	If the goods are to be imported otherwise than in pursuance of a purchase, the details of the owner of the goods shall be provided.
Buyer	If the goods are to be imported otherwise than in pursuance of a purchase, the details of the owner of the goods shall be provided.

Harmonized System sub-heading code	Harmonised System sub-heading code of the goods declared should be provided.
Total gross mass	The total gross mass is the weight of goods.
Gross mass	The gross mass is the weight of goods.

20. SPECIFIC SCENARIOS

20.1. Diversion

There are three diversion scenarios:

1. ENS has been lodged but means of transport arrive at a different customs office of first entry (same or different MS) – the person bringing the goods by air or sea needs to lodge an arrival notification at the actual customs office of first entry, person bringing the goods by road or rail needs to lodge a presentation notification to the actual customs office of first entry. If goods brought by air or sea are unloaded, a presentation notification also needs to be lodged. The ENSs will be retrieved, and the process will continue as normally.

2. The means of transport arrive to the customs office of first entry, which was not planned (changed routing), no ENS lodged in advance – the person bringing the goods needs to lodge an ENS immediately. The pre-loading data set for cargo brought by air does not need to be lodged. The risk analysis will be performed on the ENS. After that the arrival notification for goods brought by air or sea needs to be lodged, and if those goods are unloaded, a presentation notification also needs to be lodged. If the goods are brought by road or rail, a presentation notification needs to be lodged.

3. Means of transport are passing through air space or territorial waters and need to call airport or port in the EU due to technical reasons – same as above, except that the time limits to lodge an ENS are not applicable due to force majeure.

20.2. Re-entry with transshipment in a 3rd country

There are several scenarios where, after entry into the customs territory of the Union, the means of transport leave, the goods are transhipped onto other means of transport in a 3rd country and then they are brought back into the Union:

1. Change of carrier and master transport contract

If the carrier and transport contract changes after the transshipment (e.g., feeder vessel operator issues a bill of lading for the transport of goods to the deep sea carrier that brought the goods into the EU on first entry), a new ENS will have to be lodged. This will not be a re-entry as defined in section 11. In case the ENS for the first entry was lodged via multiple submissions, the data at master and house level for new ENS will have to be re-submitted by all parties having those particulars. Reference to the new master transport contract and EORI of the new carrier will have to be provided in the new ENS filings.

2. Change of means of transport

If the goods are transhipped onto new means of transport but the master transport contract does not change, then re-entry as defined in section 11 applies. New ENS must be lodged. In case

the ENS for the first entry was lodged via multiple submissions, the carrier needs to submit a new master level ENS filing with updated information on active border transport means, routing, times, etc. The house level ENS filings do not need to be re-submitted. The new ENS will be created by linking the new master level ENS filing with previously lodged house level ENS filings.

3. Change of mode of transport

In case the mode of transport changes during the transshipment, re-entry as defined in section 11 does not apply. A new ENS must be submitted using the ENS filings for that new mode of transport. For example, the goods are brought into the EU by air where they remain on board, then the aircraft leaves and the goods are unloaded in the 3rd country and loaded onto a truck which will bring them into the EU. A new ENS using the ENS filing for road mode of transport needs to be lodged.

21. ANNEXES

Annex A ENS filing types

F10	Sea and inland waterways – Complete dataset – Straight bill of lading containing the necessary information from consignee
F11	Sea and inland waterways – Complete dataset – Master bill of lading with underlying house bill(s) of lading containing the necessary information from consignee at the level of the lowest house bill of lading
F12	Sea and inland waterways – Partial dataset – Master bill of lading only
F13	Sea and inland waterways – Partial dataset – Straight bill of lading only
F14	Sea and inland waterways – Partial dataset – House bill of lading only
F15	Sea and inland waterways – Partial dataset – House bill of lading with the necessary information from consignee
F16	Sea and inland waterways – Partial dataset – Necessary information required to be provided by consignee at the lowest level of transport contract (the lowest house bill of lading)
F17	Sea and inland waterways – Partial dataset – Necessary information required to be provided by consignee at the lowest level of transport contract (straight bill)
F20	Air cargo (general) – Complete dataset lodged pre-loading
F21	Air cargo (general) – Partial dataset – Master air waybill lodged pre-arrival
F22	Air cargo (general) – Partial dataset – House air waybill lodged pre-arrival
F23	Air cargo (general) — Partial dataset — Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446 without master air waybill reference number
F24	Air cargo (general) — Partial dataset — Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446 with master air waybill reference number
F25	Air cargo (general) — Partial dataset — Master air waybill reference number lodged pre-loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F26	Air cargo (general) — Partial dataset — Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446 and containing additional house air waybill information
F27	Air cargo (general) — Complete dataset lodged pre-arrival
F28	Air cargo (general) — Complete dataset lodged pre-loading – Direct air waybill
F29	Air cargo (general) — Complete dataset lodged pre-arrival – Direct air waybill
F30	Express consignments — Complete dataset lodged pre-arrival
F31	Express consignments on air cargo general – Complete dataset lodged pre-arrival by the express operator
F32	Express consignments — Partial dataset — Minimum dataset lodged pre-loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F33	Express consignments on air cargo general – Partial dataset – House air waybill lodged pre-arrival by a person pursuant to Article 127(6) of the Code and in accordance with Article 113(1)
F34	Express consignments on road – Complete dataset lodged pre-arrival
F40	Postal consignments – Partial dataset – Road Master bill of lading

F41	Postal consignments – Partial dataset – Rail master transport document information
F42	Postal consignments – Partial dataset - Master air waybill containing necessary postal air waybill information lodged in accordance with the time-limits applicable for the mode of transport concerned
F43	Postal consignments — Partial dataset — Minimum dataset lodged pre- loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F44	Postal consignment — Partial dataset — Receptacle identification number lodged pre-loading in accordance with Article 106(1) second subparagraph of Delegated Regulation (EU) 2015/2446
F45	Postal consignments – Partial dataset – Sea and inland waterways
F50	Road mode of transport – Complete dataset
F51	Rail mode of transport – Complete dataset
F52	Rail mode of transport – Partial dataset – Rail master transport document information only
F53	Rail mode of transport – Partial dataset – House level transport document information with the necessary information from consignee
F54	Rail mode of transport – Partial dataset – House level transport document information only
F55	Rail mode of transport – Partial dataset – Necessary information required to be provided by consignee at the lowest level of transport contract
F56	Road mode of transport – Partial dataset – Road master transport document information only
F57	Road mode of transport – Partial dataset – House level transport document information with the necessary information from consignee
F58	Road mode of transport – Partial dataset – House level transport document information only
F59	Road mode of transport – Partial dataset – Necessary information required to be provided by consignee at the lowest level of transport contract

Annex B Data elements that cannot be amended

Data element	F10	F11	F12	F13	F14	F15	F16	F20	F21	F22	F23	F24	F26	F27	F28	F29	F30	F31	F32	F33	F34
<i>../Specific circumstance indicator</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<i>../Addressed Member State</i>					x	x	x			x	x	x	x						x	x	
<i>../Representative</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<i>../Representative / Identification number</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<i>../Active border transport means / Identity</i>	x	x	x	x				x	x					x	x	x		x			
<i>../Active border transport means / Mode of transport</i>	x	x	x	x	x	x		x	x	x			x	x	x	x	x	x		x	x
<i>../ Active border transport means / Conveyance reference number</i>								x	x					x	x	x	x	x			
<i>../Re-entry indicator</i>	x	x	x	x				x	x					x	x	x	x	x			x
<i>../Split consignment / Split consignment indicator</i>	x	x	x	x				x	x					x	x	x	x	x			x
<i>../Split consignment / Previous MRN</i>	x	x	x	x													x				x
<i>../ Consignment (Master level) / Carrier / Identification number</i>	x	x	x	x				x	x					x	x	x	x	x			x
<i>../ Consignment (Master level) / Consignment (House level) / Carrier / Identification number</i>					x	x	x			x		x	x							x	

<i>../ Consignment (Master level) / Goods item / Goods item number</i>		x	x					x	x					x				x			
<i>../ Consignment (Master level) / Consignment (House level) / Goods item / Goods item number</i>	x	x		x	x	x		x		x	x	x	x	x	x	x	x	x	x	x	x
<i>../Consignment (Master level) / Transport document (Master level) / Document number</i>	x	x	x	x				x	x					x	x	x		x			
<i>../Consignment (Master level) / Consignment (House level) / Transport document (Master level) / Document number</i>					x	x	x			x		x	x							x	
<i>../Consignment (Master level) / Consignment (House level) / Transport document (House level) / Document number</i>	x	x		x	x	x	x	x		x	x	x	x	x			x	x	x	x	x
<i>../Declarant / Identification number</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<i>../Customs office of first entry / Reference number</i>	x	x	x	x				x	x					x	x	x	x	x			x

Data element	F40	F41	F42	F43	F44	F45	F50	F51	F52	F53	F54	F55	F56	F57	F58	F59
<i>../Specific circumstance indicator</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<i>../Addressed Member State</i>				x	x					x	x	x		x	x	x
<i>../Representative</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<i>../Representative / Identification number</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
<i>../Active border transport means / Identity</i>	x					x										
<i>../Active border transport means / Mode of transport</i>	x	x	x			x	x	x	x	x	x		x	x	x	
<i>../ Active border transport means / Conveyance reference number</i>		x	x													
<i>../Re-entry indicator</i>	x	x	x			x	x	x	x				x			
<i>../Split consignment / Split consignment indicator</i>			x			x										
<i>../Split consignment / Previous MRN</i>						x										
<i>../ Consignment (Master level) / Carrier / Identification number</i>	x	x	x			x	x	x	x				x			
<i>../ Consignment (Master level) / Consignment (House level) / Carrier / Identification number</i>										x	x	x		x	x	x

<i>../ Consignment (Master level) / Goods item / Goods item number</i>									X				X			
<i>../ Consignment (Master level) / Consignment (House level) / Goods item / Goods item number</i>				X			X	X		X	X			X	X	
<i>../Consignment (Master level) / Transport document (Master level) / Document number</i>	X	X	X			X	X	X	X				X			
<i>../Consignment (Master level) / Consignment (House level) / Transport document (Master level) / Document number</i>										X	X	X		X	X	X
<i>../Consignment (Master level) / Consignment (House level) / Transport document (House level) / Document number</i>				X			X			X	X	X		X	X	X
<i>../Declarant / Identification number</i>	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<i>../Customs office of first entry / Reference number</i>	X	X	X			X	X	X	X				X			

Annex C Codes used in error messages

CL value	CL value description	Meaning	Actions
12	Incorrect (code) value	This error code is returned after the semantic validation of all messages. All violations of code lists, rules and conditions (except the depicted error for code 13) return this error.	<p>A correct value has to be specified for the data element – correct value from a code list in compliance with the rules or conditions violated.</p> <ul style="list-style-type: none"> • For example, an incorrect commodity code is provided which is not existing in the code list of commodity codes. • For example, a postcode is mandatory for some countries as part of the provided address, but it is not provided as part of the content of the message. ENS filing must be corrected to provide the postcode as part of the address included for the party in the ENS filing.
13	Missing	In case the consignor and the consignee on master level are natural persons then the commodity code is optional, otherwise it must be provided. When the commodity code is not provided in case mandatory, this error code is returned.	The message has to be re-submitted with the mandatory data included.
14	Value not supported in this position (code value constraint)	All syntax violations result in producing this error code. It is possible that a mandatory data element is missing or a redundant data element is provided. In general, the XSD violation errors do not return the path to the erroneous element because the structure of the message cannot be identified.	The message has to be re-submitted with the mandatory data included or the redundant data element removed.
26	Duplicate detected	A message with a duplicate message_id in the technical message header is submitted in the AS4 flow.	The message has to be re-submitted with a unique message_id in the technical message header.
39	Element too long (length constraint)	The provided value for a data element exceeds the maximum specified length.	The message has to be re-submitted with the value complying with the maximum length specified.

71	House consignment in a wrong state	<p>After a request of an ENS filing to be amended or invalidated it is checked if any of its house consignments are in state “Presented”, “Controlled” or “Invalidated”. Then the amendment or the invalidation request is rejected as the related to the ENS filing house consignments are already presented, controlled or invalidated.</p> <p>This error is returned via IE3N07 House consignment in incorrect state notification when the house consignments part of an ENS in an Arrival notification are already “Presented” or “Controlled”.</p>	<p>Such ENS filings cannot be invalidated or amended. When IE3N07 “House consignment in incorrect state notification” is received no particular actions are expected from the economic operator as regards the message exchange. However, it has to be investigated what could be the reasons for the house consignments already presented/controlled to be part of an ENS which is arriving.</p>
72	ENS filing in a wrong state	<ul style="list-style-type: none"> • In case an amendment is submitted for an invalidated ENS filing, then the amendment is rejected with this error. • If a submitted amendment of an ENS filing precedes another already submitted amendment. • During the ENS lifecycle validation for an amendment of ENS filing, if the MRN of the current ENS filing or a house consignment contained in the current amendment is referenced in a Control Notification (IE3N08) or an AEO Control Notification (IE3N09), then the current amendment is rejected. • During ENS lifecycle validation for an ENS filing invalidation request, if the ENS to which this MRN is related is referred to by any Control notification (IE3N08) or an AEO Control notification (IE3N09) then the ENS filing cannot be invalidated and the Invalidation request is rejected. • During the ENS lifecycle validation for an amendment of ENS filing, if a DNL has been issued for at least one of the house consignments contained in the amended filing, then the amendment is rejected. 	<ul style="list-style-type: none"> • An invalidated ENS filing cannot be amended. • The “Document issue date” of the amendment has to be the most recent one (after the “Document issue date” of an already available amendment for the ENS filing). • If there are controls notified for an ENS, then the related ENS filings cannot be amended or invalidated.

80	Unknown Transport Document Reference	<ul style="list-style-type: none"> • In a submitted ENS Consultation request (IE3Q05) by the economic operator the used transport document reference is either non-existing or the requestor is not authorised to access its data. • In an Arrival notification (IE3N06) no ENS is identified based on the provided master transport document reference. 	<ul style="list-style-type: none"> • The economic operator has to verify that they have indicated an existing transport document reference number (either master or house) and they are the authorized to access this information. For example, the person filing master level information only cannot access the content of the submitted by the house filers partial house level information. • The Arrival notification (IE3N06) has to be re-submitted with the correct master transport document reference.
81	Duplicate Transport Document Reference	There are uniqueness rules for the master and the house level transport documents per ENS filing types. In case those uniqueness rules are violated, this error is returned.	<p>The ENS filing has to be submitted with the unique value for the transport document reference used.</p> <ul style="list-style-type: none"> • The master transport document reference indicated in F10, F11, F12, F13, F20, F21, F27, F28, F29, F31, F40, F41, F42, F45, F50, F51, F52, F56 must be unique for at least 1 year; • House transport document reference indicated in F43 must be unique for at least 1 year; • House transport document reference in combination with the reference number UCR declared in F30, F32, F34 must be unique for at least 3 months. <p>For example, the master transport document reference is expected to be unique for the declarant for 1 year. If a new master level ENS filing with the same master transport document reference is submitted within 1 year for the same declarant, then it will be rejected with this error.</p>
90	Unknown MRN	<ul style="list-style-type: none"> • An amendment or an invalidation request is submitted for an ENS filing but the indicated MRN is not found. • ENS Consultation request is submitted for an MRN for which the requestor is not authorized to access the data. 	<ul style="list-style-type: none"> • The correct ENS filing MRN for the amendment/invalidation has to be used. • The ENS Consultation has to be submitted only for ENS data for which the requestor is authorized. • The MRN of the correct F23 has to be used.

		<ul style="list-style-type: none"> • The submitted F25 has to contain the MRN of an already submitted F23. • The MRN from the submitted Arrival notification (IE3N06) has to be related to an ENS. If no ENS is identified for the MRN, then this error will be returned. 	<ul style="list-style-type: none"> • The MRN(s) of existing ENS(s) have to be indicated in the Arrival notification (IE3N06). •
93	Invalid MRN	The MRN of an arrival notification is used in an ENS Consultation request where the MRN of ENS filing is expected.	The ENS Consultation request to be submitted containing the MRN of an ENS filing, not of an arrival notification.
94	Duplicate LRN	The submitted ENS filing is with LRN already used by the person filing.	The ENS filing has to be re-submitted with a unique value for the LRN by the person filing.
95	Uniqueness Error	When ENS Consultation (IE3Q05) is submitted its “Functional reference” has to be unique, otherwise this error is returned.	The ENS Consultation (IE3Q05) has to be re-submitted with unique value for the “Functional reference”.
96	Incorrect entity reference	<ul style="list-style-type: none"> • When ENS Consultation (IE3Q05) is submitted for information regarding the “Pre-loading risk assessment status” and house transport document is used instead of MRN/Receptacles, then this error is returned. • The error is returned also when the used MRN is an MRN of ENS filings different from the master ENS filings for the transportation of postal consignments (F40, F41, F42, F45). 	The ENS Consultation (IE3Q05) is re-submitted with the correct references included.
97	Not found	If no ENS is identified based on the content of the submitted Arrival notification (IE3N06). Based on the identifiers (MRN/master transport document/receptacles) in the submitted ENS Consultation (IE3Q05) no ENS can be identified, then this error is returned.	The correct identifiers to be used in the arrival notification and the ENS Consultation request.

98	Unknown reference	If the lodged ENS filing amendment (IE3Axx) / Additional information response (IE3R02) / HRCM Screening response (IE3R03) contains a “Referral request reference” which cannot be found then this error code is returned.	The correct “Referral request reference” has to be used.
100	Not satisfactory data quality	When an ENS filing is submitted but the quality of the included data is low – there are multiple rules defined on central level to ensure the provided data element values are detailed enough and contain meaningful information.	The ENS filing to be re-submitted with the required detailed information.
101	It is not possible to add or remove goods items or house consignments via an ENS filing amendment	When via an ENS filing amendment it is attempted to add new house consignments or goods items or to remove already existing ones.	The ENS filing amendment to be re-submitted respecting the rules for the amendment.
102	Not allowed Unicode character	In case the ENS filing contains characters which are not Cyrillic, Latin or Greek ⁽¹⁶⁾ , the ENS filing is rejected with “102” “Not allowed Unicode character” with pointer(s) to the elements resulting in the rejection.	The ENS filing to be re-submitted with the proper characters used.
104	Element cannot be amended	There is a list of data elements in the ENS filings content which are non-amendable. If an ENS filing amendment contains amended values, then it will be rejected with this error.	The amendment to be re-submitted with amended values only for data elements which are amendable.

⁽¹⁶⁾ Characters from the following UnicodeBlocks are allowed: basic_latin, latin_1_supplement, latin_extended_a, latin_extended_b, greek, cyrillic, cyrillic_supplementary, phonetic_extensions, phonetic_extensions_supplement, latin_extended_additional, greek_extended, general_punctuation, superscripts_and_subscripts, currency_symbols, number_forms, cyrillic_extended_a

Annex D Economic operator notification configuration

ICS2 system sends a number of notifications that are sent during the risk assessment to the person filing (master or house level ENS filing) and the carrier, if different from the person filing (e.g., for ENS filings that are lodged by house filer). Each economic operator, depending on their role, can configure to receive those notifications that are optional for their role. If the carrier is the same as person filing, then the preferences of the person filing are taken into account.

Notification	Person filing	Carrier
ENS registration response notification (IE3R01)	Mandatory	Yes/No (Configurable by the EO)
Additional information request (IE3Q02)	Mandatory	N/A
ENS not complete notification (IE3N02)	Yes/No (Configurable by the EO)	N/A
High Risk Cargo & Mail screening request (IE3Q03)	Mandatory	N/A
Assessment complete notification (IE3N03)	Yes/No (Configurable by the EO)	Yes/No (Configurable by the EO)
Additional information request notification (IE3N04)	N/A	Yes/No (Configurable by the EO)
High risk cargo & mail screening request notification (IE3N05)	N/A	Yes/No (Configurable by the EO)

The ‘DNL Request’ (IE3Q01) is mandatory and is always communicated to both the person filing and the carrier, if different from the person filing. ‘Assessment complete notification’ is an optional notification, nevertheless, it is always generated by the system, but does not have to be received by the person filing. The goods may be loaded on the means of transport without the ‘Assessment complete notification’ at the responsibility of the carrier. For this reason, ‘Assessment complete notification’ might be required to be provided to carrier by house level filers, e.g., freight forwarders, postal operators.

Annex E Consult ENS related information

Each economic operator can make a request (IE3Q05) to retrieve a particular ENS filing information, such as related notifications and entity states, based on their access rights. It is not possible to query information related to ENS filings which are not lodged by the requestor. For example, the filer of a master level filing cannot request information related to an ENS filing submitted by a house level filer.

Consultation result does not include the ENS filing content as such. The main purpose of ENS consultation request is to get information (e.g., entire history) what has happened with the particular ENS and what is its current state. ENS consultation can be triggered in case e.g., some notifications from ICS2 were lost and the declarant is not aware of the current ENS state. ENS states are defined in code list CL744 'State code' and can be e.g., accepted, arrived, invalidated.

Example

A master ENS filing F21 is submitted to ICS2. The declarant of F21 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 EO with the Transport document (Master level) reference and the related notifications requested. Then all related entities such as master consignment, ENS filing, and their states are returned. In addition, as per the request the related notifications 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, IE3N04 Additional information request notification, 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 master ENS filing are retrieved and returned, the ones related to the linked house consignments are not returned.

Annex F Business continuity

In the event of a temporary failure of the ICS2, the business continuity plan ⁽¹⁷⁾ agreed between the Member States and the Commission applies (Article 105 IRTA ⁽¹⁸⁾).

⁽¹⁷⁾ https://circabc.europa.eu/ui/group/18fb5859-3970-4ac5-b30b-6604977a15a7/library/28211935-63f9-4934-ac3b-a64d961796f3?p=1&n=10&sort=modified_DESC

⁽¹⁸⁾ COMMISSION IMPLEMENTING REGULATION (EU) 2023/1070 of 1 June 2023 on technical arrangements for developing, maintaining and employing electronic systems for the exchange and storage of information under Regulation (EU) No 952/2013 of the European Parliament and the Council