

OWNER: DG TAXUD	ISSUE DATE: 18/03/2008	VERSION: 2.13-EN
<p>TAXATION AND CUSTOMS UNION DG</p> <p>EMCS COMPUTERISATION PROJECT</p> <p>PHASE 2</p> <p>SUBJECT:</p> <p><i>Scope Document for EMCS Phase 2</i></p> <p>(ECP2-EMCSDEV-SC02-SD)</p>		
<p>FRAMEWORK CONTRACT TAXUD/2004/CC/077</p> <p>SPECIFIC CONTRACT 2</p>		

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DOCUMENT HISTORY	

Document History

Edi.	Rev.	Date	Description	Action (*)	Pages
0	01	03/03/2006	Draft version. Submitted for information purposes to DG TAXUD.	I/R	As required
0	02	28/03/2006	Second Draft version. Submitted for information purposes to DG TAXUD.	I/R	As required
0	10	25/04/2006	Submitted for internal review.	I/R	As required
1	00	27/04/2006	Incorporating internal review comments. Submitted for review to DG TAXUD.	I/R	As required
1	01	30/05/2006	Incorporating review comments. Submitted for acceptance to DG TAXUD.	I/R	As required
1	02	21/06/2006	Incorporating French and German translations of the Executive Summary, as reviewed and accepted by DG TAXUD.	I/R	As required
1	03	25/01/2007	Incorporating MSA comments. Submitted for review to DG TAXUD.	I/R	As required
1	04	01/02/2007	Submitted for acceptance to DG TAXUD.	I/R	As required
1	05	16/03/2007	Incorporating the Meeting Decision for MSA Comment #34. Submitted to DG TAXUD for publication.	I/R	As required

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Edi.	Rev.	Date	Description	Action (*)	Pages
1	06	08/08/2007	Defining the scope for DDNEA KELs: Partial Refusal and IE904/IE905 mechanism. Submitted for Review to DG TAXUD.	I/R	As required
1	07	17/08/2007	Incorporating review comments. Submitted for Acceptance to DG TAXUD.	I/R	As required
1	08	28/09/2007	Incorporating corrective changes resulted from calls #24202 & #24227. Submitted to DG Taxations and Customs Union for publication.	I/R	As required
2	10	02/10/2007	Alignment with FESS v2.10. Submitted to DG Taxations and Customs Union for review.	I/R	As required
2	11	19/10/2007	Incorporating review comments. Submitted for Acceptance to DG TAXUD.	I/R	As required
2	12	19/02/2008	Incorporating ECWP#34 Workshop Decisions. Submitted for review to DG TAXUD.	I/R	As required
2	13	18/03/2008	Incorporating review comments. Submitted for Acceptance to DG TAXUD.	I/R	As Required

(*) Action: I = Insert R = Replace

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EXECUTIVE SUMMARY	

Executive Summary

The implementation of the Excise Movement and Control System (EMCS) has been divided in Functional Stages: [R14] into three successive Functional Stages (FSs), each containing a set of Use Cases (UCs)/Elementary Business Processes (EBPs) that are either fully automated or computer assisted. In particular, the deployment begins with Functional Stage 1 (FS1) that incorporates the most essential functionality of the Functional Excise System Specification (FESS) v2.13 and finishes with Functional Stage 2 (FS2) that enhances EMCS with the remaining functionality of FESS v2.13. In order to be in line with the constraint to provide maximum benefit for as many project partners as possible (C.5 of Phasing and Scope Specification: [R12]), it is currently foreseen that all Member States (MSs) should implement, at least, the destination side functionality. This is referred to as Functional Stage 0 (FS0), which implements the destination side resulting in a quick return of the discharge of the electronic declaration.

The MSs opening FS1 at the start date of the EMCS operations are referred to as the Initial Member States (IMSSs). It is anticipated that in these MSs there will be at least some Economic Operators who will also open the FS1 trader functionality at the start date of the EMCS operations and they are referred to as Initial Economic Operators (IEOs). The MSs opening FS0 at the start date of EMCS operations will be known as non-Initial Member States (non-IMSSs).

Each Member State Administration (MSA) will be responsible for deploying its Nationally Developed Excise Application (NDEA) to be operated in the National Domain (ND). The EMCS Central Project Team (CPT) will deploy the Centrally Developed Excise Applications (CDEAs) consisting of the Start-Up Pack (SUP), the Test Application (TA) and the Common Domain Central Services (CD CS). Even though all CDEAs will be developed under the responsibility of the EMCS CPT, the SUP will be operated in the ND, hence comprising together with the NDEA the National Excise Application (NEA). Regarding the remaining CDEAs (TA and SEED), they will be operated in the CD, hence providing to the NEA the Central Excise Applications (CEA).

An IMS will enter EMCS operations with an NDEA implementing FS1. The Non-IMSSs will enter EMCS operations either with an NDEA implementing FS0 or with the so-called SUP, which will provide the most basic functionality of FS0. The possibility for the SUP evolution into a collaboratively developed NDEA implementing FS1 has also been foreseen.

In order to proceed with the construction of the National Excise Applications (NEAs), whether they are Nationally Developed Excise Applications (NDEAs) or Centrally Developed Excise Applications (CDEAs), it is necessary to define which Use Cases (UCs)/Elementary Business Processes (EBPs)/Information Exchanges (IEs) of FESS v2.13 are included within the scope of their implementation and which are not. Hence, the purpose of this document is to clearly define “what has to be implemented”, “what will not be implemented” and “what may or may not be implemented” in the operational scope of the NEA. Towards this direction, this document:

- Defines the scope of the NDEA per Functional Stage 0 (FS0) and Functional Stage 1 (FS1) and reflects the impact of the implementation strategy on the NDEA;

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- Presents the In-Scope EBPs and Messages Matrices for an NDEA in FS1, for an NDEA in FS0 and for the CD CS (Common Domain Central Services) that will be up and running by Milestone m_a (Phasing and Scope Specification: [R12]) to support the NDEA operations;
- Defines the scope of the SUP and reflects the impact of the implementation strategy on the SUP;
- Presents the In-Scope EBPs and Messages Matrices for the SUP and CD CS that will be up and running by the time the SUP becomes operational to support its processes.

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RÉSUMÉ	

Résumé

La mise en place du système d'informatisation des mouvements et contrôles des produits soumis à accises (EMCS) a été divisée en plusieurs paliers fonctionnels : [R14] en trois paliers fonctionnels successifs (Functional Stage ou FS) comprenant chacun un ensemble de cas d'utilisation (Use Cases ou UC)/processus métier élémentaires (Elementary Business Processes ou EBP) qui sont soit totalement, soit partiellement automatisés. Le déploiement commence notamment avec le palier fonctionnel 1 (FS1) qui intègre les principales fonctions détaillées dans la spécification fonctionnelle du système des accises (Functional Excise System Specification ou FESS) v2.13 et se termine avec le palier fonctionnel 2 (FS2) qui dote l'EMCS des autres fonctions détaillées dans la FESS V2.13. Afin de répondre à la contrainte d'offrir au plus grand nombre possible de partenaires du projet un bénéfice maximum (C.5 dans les spécifications de phases et de cadrage Phasing and Scope Specification : [R12]), il est actuellement prévu que tous les états membres (Member State ou MS) devraient au moins mettre en œuvre les fonctionnalités liées à la destination (FS0). Pendant cette phase appelée palier fonctionnel 0 (FS0), la mise en place de la partie destination permettra notamment l'apurement électronique rapide du mouvement.

Les MS qui enclencheront le FS1 à la date du début des opérations de l'EMCS sont appelés les états membres initiaux (Initial Member State ou IMS). Au sein de ces MS, il est prévu qu'au moins quelques opérateurs économiques enclenchent également les fonctionnalités du FS1 les concernant à la date du début des opérations de l'EMCS. Ceux-ci sont appelés opérateurs économiques initiaux (Initial Economic Operator ou IEO). Les autres MS qui enclencheront le FS0 à la date du début des opérations de l'EMCS sont appelés les états membres non-initiaux (non-Initial Member State ou non-IMS).

L'administration de chaque état membre (Member State Administration ou MSA) sera chargée de mettre en place sa propre application d'informatisation des accises développée au niveau national (Nationally Developed Excise Application ou NDEA). Celle-ci sera gérée dans le domaine national (National Domain ou ND). L'équipe centrale chargée du projet de l'EMCS (Central Project Team ou CPT) mettra en place les applications d'informatisation des accises développées au niveau central (Centrally Developed Excise Application ou CDEA). Celles-ci se composent du pack de mise en service (Start-Up Pack ou SUP), de l'application test standard d'informatisation des accises (Test Application ou TA) et des services centraux du domaine commun (Common Domain Central Services ou CD CS).

Bien que toutes les CDEA soient développées sous la responsabilité de l'équipe CPT de l'EMCS, le SUP sera géré dans le ND et, associés à la NDEA, ils constitueront l'application nationale d'informatisation des accises (National Excise Application ou NEA). En ce qui concerne les autres CDEA (TA et SEED), elles seront gérées dans le CD et serviront ainsi d'applications centrales d'informatisation des accises (Central Excise Applications ou CEA) à la NEA.

Un IMS entrera dans le système EMCS avec une NDEA qui met en œuvre le FS1. Les non-IMS entreront dans le système EMCS soit avec une NDEA qui met en œuvre le FS0, soit avec un pack SUP qui leur fournit les fonctionnalités de base de FS0. Il a également été prévu que le pack SUP puisse évoluer en une NDEA développée en collaboration, qui mette en œuvre le FS1.

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Afin de procéder à la construction des applications nationales d'informatisation des accises (NEA), que ce soient des applications développées au niveau national (NDEA) ou central (CDEA), il est nécessaire de définir, parmi les cas d'utilisation (UC)/processus métier élémentaires (EBP)/échanges d'information (Information Exchanges ou IE) détaillés dans la FESS v2.13, quels sont ceux qui entrent dans le champ de la mise en œuvre et ceux qui n'y entrent pas. Le but de ce document est donc de définir clairement «ce qui doit être implémenté», «ce qui ne sera pas implémenté» et «ce qui peut ou ne peut pas être implémenté». À cette fin, ce document:

- Définit le champ d'application de la NDEA lors du palier fonctionnel 0 (FS0) ainsi que lors du palier fonctionnel 1 (FS1) et indique quel est l'impact de la stratégie de mise en œuvre sur la NDEA;

- Présente les EBP et les matrices de messages (Messages Matrices) entrant dans le cadre d'une NDEA en FS1, d'une NDEA en FS0 et des CD CS (services centraux du domaine commun) qui seront en fonctionnement lors du jalon (Milestone) m_a (spécifications de phases et de cadrage: [R12]) afin de prendre en charge les opérations de la NDEA;

- Définit le champ d'application du pack SUP et indique quel est l'impact de la stratégie de mise en œuvre sur le pack SUP;

- Présente les EBP et les matrices de messages entrant dans le cadre du pack SUP et des CD CS (services centraux du domaine commun) qui seront en fonctionnement jusqu'à ce que le pack SUP soit en mesure de prendre en charge ses propres processus.

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Zusammenfassung

Die Implementierung des EDV-gestützten Systems zur Kontrolle der Beförderung verbrauchsteuerpflichtiger Waren (EMCS - Excise Movement and Control System) ist in Funktionsabschnitte: [R14] unterteilt worden in drei aufeinanderfolgende Funktionsabschnitte (Functional Stages - FSs), von denen jeder eine Reihe von Anwendungsfällen (Use Cases - UCs)/ Elementaren Geschäftsprozessen (Elementary Business Processes - EBPs) enthält, die entweder komplett automatisiert oder EDV-gestützt sind. Konkret beginnt die Anwendung mit dem Funktionsabschnitt 1 (FS1), der die wesentliche Funktionalität der Funktionellen Verbrauchsteuer-Systemspezifikation (Functional Excise System Specification - FESS) v2.13 umfasst, und endet mit dem Funktionsabschnitt 2 (FS2), der das EMCS um die übrige Funktionalität von FESS v2.13 erweitert. Um der Anforderung zu entsprechen, möglichst vielen Projektpartnern einen möglichst großen Nutzen zu bieten (C.5 der Phasing- und Scope-Spezifikation: [R12]), ist derzeit vorgesehen, dass alle Mitgliedstaaten (MS) mindestens die Funktionalität der Bestimmungsort-Seite umsetzen sollten. Dies wird als Funktionsabschnitt 0 (FS0) bezeichnet, in der die Bestimmungsort-Seite implementiert wird, was eine schnelle Rücksendung der bearbeiteten elektronischen Erklärung ermöglicht.

Die MS, die FS1 am Startdatum des EMCS-Betriebs beginnen, werden als die Anfänglichen Mitgliedstaaten (Initial Member States - IMSs) bezeichnet. Es ist abzusehen, dass es in diesen MS zumindest einige Wirtschaftsbeteiligte gibt, die am Startdatum des EMCS-Betriebs auch die FS1-Händlerfunktion starten werden. Diese werden als Anfängliche Wirtschaftsoperatoren (Initial Economic Operators - IEOs) bezeichnet. Die MS, die am Startdatum des EMCS-Betriebs FS0 starten, werden als Nicht-anfängliche Mitgliedstaaten (non-Initial Member States - non-IMSs).

Jede Mitgliedstaatsverwaltung (Member State Administration - MSA) ist für die Implementierung der national entwickelten Verbrauchsteuer-Anwendung (Nationally Developed Excise Application - NDEA) zuständig, die in der nationalen Domäne (National Domain - ND) betrieben wird. Das zentrale EMCS-Projektteam (Central Project Team - CPT) setzt die zentral entwickelten Verbrauchsteuer-Anwendungen (Centrally Developed Excise Applications - CDEAs) ein, die aus einem Start-Up Pack (SUP), der Standard-Verbrauchsteuer-Testanwendung (Test Application), der Verbrauchsteuer-Testanwendung (Test Application - TA) und den Zentralen Services der Gemeinsamen Domäne (Common Domain Central Services - CD CS) bestehen. Zwar ist für die Entwicklung aller das EMCS CPT zuständig, doch das SUP wird in der ND betrieben, und umfassen somit zusammen mit der NDEA auch die Nationale Verbrauchsteuer-Anwendung (National Excise Application - NEA). Was die sonstigen CDEAs (TA und SEED) betrifft, so laufen diese in der CD und bieten somit der NEA die Zentralen Verbrauchsteuer-Anwendungen (Central Excise Applications - CEA).

Ein IMS startet den EMCS-Betrieb mit einer NDEA, die FS1 umsetzt. Die Non-IMSs beginnen den EMCS-Betrieb entweder mit einer NDEA, die FS0 umsetzt oder mit der sogenannten SUP, die die grundlegende Funktionalität von FS0 bietet. Außerdem ist die Möglichkeit der Entwicklung einer SUP-Lösung in eine gemeinsam entwickelte NDEA, die FS1 umsetzt, vorgesehen.

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Um mit dem Aufbau der Nationalen Verbrauchsteuer-Anwendung (NEA) – unabhängig davon, ob es sich um national entwickelte Verbrauchsteuer-Anwendungen (NDEA) oder zentral entwickelte Verbrauchsteuer-Anwendungen (CDEA) handelt – fortfahren zu können, muss definiert werden, welche Anwendungsfälle (UC)/Elementaren Geschäftsprozesse (EBP)/Informationsaustausche (Information Exchanges - IE) von FESS v2.13 von der Umsetzung betroffen sind und welche nicht. Zweck dieses Dokuments ist es daher, klar zu definieren, was im Rahmen des Betriebs der NEA „umgesetzt werden muss“, „nicht umgesetzt wird“ und „umgesetzt werden kann, aber nicht muss“. Dementsprechend soll diesen Dokument:

- den Geltungsbereich der NDEA für Funktionsabschnitt 0 (FS0) und Funktionsabschnitt 1 (FS1) definieren und die Auswirkungen der Umsetzungsstrategie auf die NDEA darlegen;
- die von der Umsetzung betroffenen EBP und Meldungsmatrizen bei einer NDEA in FS1, einer NDEA in FS0 und den CD CS (Zentralen Services der Gemeinsamen Domäne) aufführen, die zur Unterstützung des NDEA-Betriebs bis zum Meilenstein m_a (Phasing- und Scope-Spezifikation: [R12]) in Betrieb sind;
- den Geltungsbereich des SUP definieren und die Auswirkungen der Umsetzungsstrategie auf das SUP darlegen;
- die von der Umsetzung betroffenen EBP und Meldungsmatrizen beim SUP und den CD CS aufführen, die bis zum Zeitpunkt der Betriebsbereitschaft des SUP zur Unterstützung seiner Prozesse in Betrieb sind.

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INTRODUCTION	

1 Introduction

1.1 Purpose & Scope of the Document

The Scope document deals with the deployment of the Excise Movement and Control System (EMCS) functionality as described in the Functional Excise System Specification (FESS) v2.13. The FESS is not intended to be a simple blue print for the development of computer systems to support EMCS, since it also includes definitions of business procedures that will be purely manual in their implementation. The way these processes are implemented is up to the Member States (MSs) provided that they comply with the EMCS legal base. There are also processes, which will vary from MS to MS, and as such may not be appropriate to include in all applications.

In order to proceed with the construction of the National Excise Applications (NEAs), whether they are Nationally Developed Excise Applications (NDEAs) or Centrally Developed Excise Applications (CDEAs), it is necessary to define which Use Cases (UCs)/Elementary Business Processes (EBPs)/Information Exchanges (IEs) of FESS v2.13 are included within the scope of their implementation and which are not. Hence, the purpose of this document is to clearly define “what has to be implemented”, “what will not be implemented” and “what may or may not be implemented” in the operational scope of the NEA. Towards this direction, this document:

- Defines the scope of the NDEA per Functional Stage 0 (FS0) and Functional Stage 1 (FS1) and reflects the impact of the implementation strategy on the NDEA;
- Presents the In-Scope EBPs and Messages Matrices for an NDEA in FS1, for an NDEA in FS0 and for the CD CS (Common Domain Central Services) that will be up and running by Milestone m_a (Phasing and Scope Specification:[R12]) to support the NDEA operations;
- Defines the scope of the SUP and reflects the impact of the implementation strategy on the SUP;
- Presents the In-Scope EBPs and Messages Matrices for the SUP and CD CS that will be up and running by the time the SUP becomes operational to support its processes.

This document follows a typical convention by representing each value in the In-Scope EBPs and Messages Matrices with an upper case letter within all occurrences of the corresponding verb. Hence:

- M for Mandatory;
- O for Optional;
- SR for Strongly Recommended;
- R for Recommended;
- X for eXcluded;

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- RS for ReStricted.

1.2 Field of Application

This document has been produced under Framework Contract TAXUD/2004/CC/077. This document is applicable to all specifications, deployment, development, maintenance and support activities during Phase 2 of the EMCS Computerisation Project (ECP) project. The ECP falls under the responsibility of the Taxation & Customs Union Directorate (DG TAXUD)/A3/D4 Central Project Team (CPT).

1.3 Intended Readers

The intended readership of this document are:

- ECWP;
- DG TAXUD;
- Member State Administration (MSA) members involved with the deployment and testing of EMCS;
- CPT;
- EMCS/CO (Central Operations).

1.4 Structure of Document

The document is structured as follows:

Chapter 1: Introduction provides the reader with the purpose of the document, the field of application, the intended readership and the structure of the document.

Chapter 2: Reference and Applicable Documents includes the documents that are referenced in this document or were consulted during its production.

Chapter 3: Terminology contains an explanation of the abbreviations, acronyms and terms used in this document.

Chapter 4: NDEA FS1 Scope defines the scope of the EMCS operations for an NDEA in FS1 in terms of the eXcluded, Optional, (Strongly) Recommended, ReStricted and Dependant functionality.

Chapter 5: NDEA FS0 Scope defines the scope of the EMCS operations for an NDEA in FS0 in terms of the eXcluded, Optional, (Strongly) Recommended, ReStricted and Dependant functionality.

Chapter 6: Interoperability Analysis presents the interoperability issues resulting from the exclusions, optionalities, (strong) recommendations, restrictions and dependencies in chapters 4 and 5, affecting therefore the normal lifecycle of the excise movements.

Chapter 7: In-Scope Matrices for NDEA/CD CS presents the In-Scope EBPs and Messages Matrices for an NDEA in FS1, for an NDEA in FS0 and for the CD CS.

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Chapter 8: SUP Scope defines the scope of the EMCS operations for the SUP in terms of FS0 and some additional eXcluded and ReStricted functionalities.

Chapter 9: In-Scope Matrices for SUP/CD CS presents the In-Scope EBPs and Messages Matrices for the SUP and the CD CS.

ANNEX A presents the In-Scope EBPs and Messages Matrix Templates used in chapters 7 and 9.

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2 Reference and Applicable Documents

2.1 Reference Documents

<i>Id</i>	<i>Reference</i>	<i>Title</i>	<i>Version</i>
R1	ECP1-ESS-FESS-1-SECTION I	General Introduction	2.13
R2	ECP1-ESS-FESS-2-SECTION II	Core Business	2.13
R3	ECP1-ESS-FESS-3-SECTION III	Seed and Reference Data	2.13
R4	ECP1-ESS-FESS-4-SECTION IV	Follow-Up and Collaboration	2.13
R5	ECP1-ESS-FESS-5-SECTION V	System Administration	2.13
R6	ECP1-ESS-FESS-6-SECTION VI	Executive Summary	2.13
R7	ECP1-ESS-FESS-Appendix A	Availability and Performance Requirements	2.13
R8	ECP1-ESS-FESS-Appendix B	List of Codes	2.13
R9	ECP1-ESS-FESS-Appendix D	Functional Messages	2.13
R10	ECP1-ESS-FESS-Appendix E	User Profiles	2.13
R11	ECP1-ESS-FESS-Appendix H	Timers	2.13
R12	ECP1-ESS-PSS	Phasing and Scope Specification	2.12
R13	ECP1-ESS-PSS-Appendix A	Transitional States	2.12
R14	ECP1-ESS-PSS-Appendix B	Functional Stages	2.12
R15	ECP1-ESS-PSS-Appendix C	Proof of Readiness and Proof of Completion	2.12
R16	ECP1-ESS-GLT	EMCS Glossary of Terms	1.01
R17	ECP1-ESS-TESS-01-SECTION-I-GENERAL-INTRODUCTION	General Introduction	2.03
R18	ECP1-ESS-TESS-02-SECTION-II-EMCS-COMMON-DOMAIN-ARCHITECTURE	EMCS Common Domain Architecture	2.03
R19	ECP1-ESS-TESS-03-SECTION-III-EMCS-CENTRAL-SERVICES-ARCHITECTURE	EMCS Central Service Application Architecture	2.03

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<i>Id</i>	<i>Reference</i>	<i>Title</i>	<i>Version</i>
R20	ECP1-ESS-TESS-04-SECTION-IV-STANDARD-EXCISE-APPLICATION-ARCHITECTURE	Standard Excise Application Architecture	2.03
R21	ECP1-ESS-TESS-05-APPENDIX-A-EMCS-APPLICATIONS-SIZING-AND-VOLUMES-ESTIMATES	EMCS Application Sizing and Volumes Estimates	2.03
R22	CED No 563	ECP Master Plan	Rev 1

Table 1: Reference Documents

2.2 Applicable Documents

<i>Id</i>	<i>Reference</i>	<i>Title</i>	<i>Version</i>
R23	FC TAXUD/2004/CC/077	Framework Contract for Informatics Services and Products in the Context of Specification, development, maintenance and support of telematic systems to control the movements of products subject to excise duty within the European Community under the excise-duty suspension arrangement (EMCS-DEV)	N/A

Table 2: Applicable Documents

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3 Terminology

3.1 Definitions

This section defines a list of terms used throughout this document.

Term	Description
Common Domain	The environment between the different NDEAs.
Dependency	Functionality, which even though belongs to UCs or EBPs that are in-scope, its implementation depends on some other linked functionality.
Exclusion	A whole UC or EBP that is eXcluded (ruled out) from the scope of the NDEA operations in a specific Functional Stage (FS).
External Domain	The environment for the Economic Operator application to communicate with the NDEA.
FS0/FS1 trader functionality	The part of the FS0/FS1 functionality that is executed by the Economic Operators.
National functionality	Any type of functionality that is executed within the same MS; it is typically used in the context of Excise Officer/Official - NDEA and Economic Operator – NDEA communication, irrespectively of whether the Economic Operator uses his/her own application or the NDEA itself.
Non-Initial Member State	A Member State that joins FS1 within Migration Period 1 and not on the initial start date (m_a).
Optional	Functionality that is optionally implemented by each MSA according to national requirements.
Recommendation	Functionality that is Recommended or Strongly Recommended for the MSAs to implement.
Restriction	Part of in-scope UCs or EBPs that is ruled out either due to the exclusion of some other linked functionality or due to the non-basic (as considered for the purposes of a specific FS) functionality that is involved.

Table 3: Definitions

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3.2 Abbreviations and Acronyms

Acronym	Description
CA	Computer Assisted
CCN	Common Communications Network
CD	Common Domain
CDEA	Centrally Developed Excise Application
CO	Central Operations
CPT	Central Project Team
CS/RD	Central Services/Reference Data
CS	Central Services
CSI	Common Systems Interface
DG TAXUD	Taxation & Customs Union Directorate General
DDNEA	Design Document for National Excise Applications
e-AAD	Electronic Administrative Accompanying Document
ED	External Domain
EDI	Electronic Data Interchange
EBP	Elementary Business Process
ECP	EMCS Computerisation Project
EMCS	Excise Movement and Control System
EOL	Excise Office List
ESS	EMCS System Specifications
EWSE	Early Warning System for Excises
FESS	Functional Excise System Specification
FS	Functional Stage
GP	General Principle
IE	Information Exchange
IEO	Initial Economic Operator
IMS	Initial Member State
MS	Member State
MSA	Member State Administration
ND	National Domain
NDEA	Nationally Developed Excise Application
NEA	National Excise Application
PSS	Phasing and Scope Specifications
RD	Reference Data
SC	Specific Contract

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Acronym	Description
SEED	System for Exchange of Excise Data
SMTP	Simple Mail Transfer Protocol
SUP	Start-Up Pack
TA	Testing Applications
UC	Use Case
XML	EXtensible Mark-up Language

Table 4: Abbreviations and Acronyms

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4 NDEA FS1 Scope

4.1 Introduction

This chapter presents the scope of FS1 and the impact of the functionality reduction on the NDEA per functional role (NDEA at Dispatch and NDEA at Destination).

The functionality that is within the scope of FS1 is presented in Section 7 and specifically in the In-Scope EBPs Matrices of Table 5, Table 6 and Table 7. The tables also include references to any applicable exclusions, restrictions, strong recommendations, dependencies and optionalities discussed in this document. When not such an explicit reference exists, it means that the functionality is mandatory to implement. Hence, for instance, any functionality related to partial refusal is mandatory to implement in FS1, since no explicit mention is made in this document to treat it otherwise. This means that any NDEA in FS1 shall allow for partial refusal at destination side and shall also support performing a change of destination for partially refused consignments.

The messages that are within the FS1 scope are also presented in Section 7 and specifically in the In-Scope Messages Matrices.

4.2 Exclusions, Optionalities & Recommendations of Core Business – Central Circuit

This section presents the Core Business – Central Circuit functionality that is eXcluded, is set to Optional or is (Strongly) Recommended in the EMCS operations in FS1:

- Section 4.2.1 groups all functionality related to the submission and reception of information by the Economic Operators and strongly recommends its implementation;
- Sections 4.2.2, 4.2.3 and 4.2.4, respectively, exclude the post-delivery processing, the splitting of consignment and the alert or rejection of an Electronic Administrative Accompanying Document (e-AAD) functionalities;
- Section 4.2.5 groups all reminders and sets their optionality.

4.2.1 Submission and reception of information by Economic Operators (UC2.01, UC2.05, UC2.10, UC2.06)

FS1 includes all functionality in UC2.01 “Submission and registration of e-AAD”, UC2.05 “Change of destination”, UC2.10 “Cancellation of an e-AAD by the consignor” and UC2.06 “Submission of report of receipt”. All these processes are initiated by the Economic Operators who submit the corresponding information to the NDEA at their MSA either from their own application via Electronic Data Interchanges (EDIs) travelling over the External Domain (ED) or by using an interface to the NDEA.

The reception of these messages coming from the ED is a Mandatory functionality for the NDEA. However, any information (data-groups and data-items) set as Optional in the ED messages [R9] is optional to use. This is also applicable to the “Import” related information in

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the draft e-ADDs (IE815: N_AAD_SUB). In particular, the functionality of submitting an e-AAD after release for free circulation (Import), which has been integrated in the “Submission and registration of an e-AAD” (UC2.01), is optional to use, as the involved information exchanges are purely national. Hence, those MSAs not wishing to receive “Import” related information shall make a bilateral agreement with their Consignors so that the latter do not submit draft e-AADs declaring “Import” as an “Origin Type Code”. At EBPs level, the MSAs are free to decide whether they use the process UC-201-310 “Cross-check with import data” (as defined under Use Case UC2.01) as well as any functionality dealing with SAD number (as defined in UC-201-110 “Submit draft e-AAD”, UC-201-210 “Check draft e-AAD” and UC-201-220 “Validate e-AAD”).

Apart from the reception of ED message, which is Mandatory, the MSAs are also Strongly Recommended to provide the means to the Economic Operators to perform their actions (submit information and access the information received by their MSA over the CD) by offering one or more interfaces to the NDEA. The rationale behind this strong recommendation is to support those Economic Operators who do not possess the means to develop their own application so that the MSAs gain the maximum benefits possible from the most extensive use of their system.

4.2.1.1 Impact on NDEA at Dispatch

The NDEA at Dispatch is Strongly Recommended to provide support to the Consignors to perform the following actions:

- Submit a (draft) e-AAD (IE815: N_AAD_SUB);
- Submit a (draft) cancellation (IE810: C_CAN_DAT);
- Submit a (draft) update (IE813: C_UPD_DAT) for the full quantity (in the original e-AAD) or for the refused quantity (declared in the report or receipt, in case of partial refusal).

In addition, the NDEA at Dispatch is Strongly Recommended to provide support to the Consignors to receive the report of receipt (IE818: C_DEL_DAT), which can be either for full delivery or partial refusal.

4.2.1.2 Impact on NDEA at Destination

The NDEA at Destination is Strongly Recommended to provide support to the Consignees to submit a (draft) report of receipt (IE818: C_DEL_DAT) also equipped with the functionality of partial refusal.

In addition, the NDEA at Destination is Strongly Recommended to provide support to the Consignees to perform the following actions:

- Receive an e-AAD (IE801: C_AAD_VAL);
- Receive a cancellation message (IE810: C_CAN_DAT);
- Receive a notification message (IE803: C_AAD_NOT);

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- Receive an update message (IE813: C_UPD_DAT).

4.2.2 Post-delivery processing (UC2.13)

FS1 will exclude the whole functionality of UC2.13 “Post-delivery processing”.

The current paper-based post-delivery processing will remain applicable for FS1. The parallel maintenance of the paper-based post-delivery processing has no impact on the normal electronic processing of the excise movement.

4.2.2.1 Impact on NDEA at Dispatch

Due to the exclusion of the post-delivery processing functionality (UC2.13) from FS1, none of the involved actions, which are summarised hereafter, will be supported by the NDEA at Dispatch:

- Receives the Consignor’s explanations on the declared losses through an IE871: C_SHR_EXP over the ED, in case the Consignor uses his/her own application, or provides the means to the Consignor to manually enter his/her explanations into the system;
- Communicates the Consignor’s explanations (IE871: C_SHR_EXP) to the NDEA at the MSA of Destination over the CD so as to proceed with the calculation of the duties;
- Receives the analysis results from the NDEA at the MSA of Destination through an IE861: C_RES_DAT over the CD;
- Communicates the analysis results (IE861: C_RES_DAT) to the Consignor over the ED.

The impact of excluding UC2.13 from FS1 on the NDEA at Dispatch is the following:

- The NDEA at Dispatch will neither receive an IE871: C_SHR_EXP from the Consignor over the ED, in case the Consignor uses his/her own application, nor provide the means to the Consignor to prepare manually an IE871: C_SHR_EXP;
- The NDEA at Dispatch will not communicate the Consignor’s explanations to the NDEA at the MSA of Destination, namely no IE871: C_SHR_EXP will travel from the NDEA at Dispatch to the NDEA at the MSA of Destination across the CD (this exclusion is also a subsequence of the above exclusion (a)).
- The NDEA at Dispatch will not be able to receive the analysis results, IE861: C_RES_DAT, from the NDEA at the MSA of Destination over the CD;
- As a subsequence of (c), the NDEA at Dispatch will not communicate the analysis results, IE861: C_RES_DAT, to the Consignor over the ED.

4.2.2.2 Impact on NDEA at Destination

Due to the exclusion of the post-delivery processing functionality (UC2.13) from FS1, none of the involved actions, which are summarised hereafter, will be supported by the NDEA at Destination:

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- a) Receives the Consignor’s explanations (IE871: C_SHR_EXP) from the NDEA at the MSA of Dispatch over the CD;
- b) Provides the means to the Excise Officer to enter manually his/her analysis results into the system;
- c) Communicates the analysis results to the NDEA at the MSA of Dispatch through an IE861: C_RES_DAT over the CD.

The impact of excluding UC2.13 from FS1 on the NDEA at Destination is the following:

- a) The NDEA at Destination will not be able to receive the Consignor’s explanations (IE871: C_SHR_EXP) from the NDEA at the MSA of Dispatch over the CD;
- b) The NDEA at Destination will not provide the means to the Excise Officer to prepare manually an IE861: C_RES_DAT;
- c) As a subsequence of (b), the NDEA at Destination will not communicate electronically the analysis results to the NDEA at Dispatch, namely no IE861: C_RES_DAT will travel from the NDEA at Destination to the NDEA at the MSA of Dispatch across the CD.

4.2.3 Splitting of consignment (UC2.36)

In FS1, the functionality of splitting, as described in UC2.36 “Splitting of consignment”, will be eXcluded, and therefore the current procedure will be retained in the MSs that use splitting.

4.2.3.1 Impact on NDEA at Dispatch

In UC2.36, the participation of the NDEA at Dispatch is summarised by the following actions:

- a) Receives the Consignor’s request for a splitting operation through a (draft) IE825: E_SPL_SUB over the ED, in case the Consignor uses his/her own application, or provides the means to the Consignor to manually enter the required splitting information into the system;
- b) Communicates over the ED the replacement information, IE803: C_AAD_NOT, back to the Consignor who originally requested the splitting operation from his/her own application through the submission of an IE825: E_SPL_SUB over the ED;
- c) Communicates the replacement information to the NDEA at the (former) MSA of Destination by means of an IE803: C_AAD_NOT sent over the CD;
- d) Follows-up the replaced movement by handling the relevant timers (stop or reset the associated flags) and (optionally) sending the replaced e-AAD for risk assessment;
- e) Updates the status of the former e-AAD to “Replaced”;
- f) Processes each new e-AAD resulted from the splitting operation as if it was received through UC2.01.

The impact of excluding UC2.36 from FS1 on the NDEA at Dispatch is the following:

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- a) The NDEA at Dispatch will neither receive an IE825: E_SPL_SUB from the Consignor over the ED, in case the Consignor uses his/her own application, nor provide the means to the Consignor to prepare manually an IE825: E_SPL_SUB;
- b) As a subsequence of (a), the NDEA at Dispatch will not communicate the replacement information back to the Consignor who sent the IE825: E_SPL_SUB from his/her own application over the ED, namely no IE803: C_AAD_NOT will travel from the NDEA at Dispatch back to the Consignor over the ED;
- c) As a subsequence of (a), the NDEA at Dispatch will not communicate the replacement information to the NDEA at the (former) MSA Destination, namely no IE803: C_AAD_NOT will travel from the NDEA at Dispatch to the NDEA at the (former) MSA of Destination over the CD;
- d) The NDEA at Dispatch will not follow-up the replaced movement;
- e) The status of the former e-AAD will not be updated to “Replaced”. However, the “Replaced” state will remain applicable to the NDEA at Dispatch (the details are explained later in Section 6.1).

However, the part of the UC2.36 referring to the functionality of processing each new e-AAD resulted from splitting (action f) will be available in FS1 in the context of the UC2.01 implementation, since this functionality is exactly the same as if the e-AAD was received by the NDEA at Dispatch through UC2.01.

4.2.3.2 Impact on NDEA Destination

In UC2.36, the participation of the NDEA at Destination is summarised by the following actions:

- a) The (former) NDEA at Destination receives the replacement information from the NDEA at the MSA of Dispatch through an IE803: C_AAD_NOT over the CD, changes the state of the former e-AAD to “Replaced” and communicates the replacement notification (IE803: C_AAD_NOT sent over the ED) to the former Consignee who has previously received the replaced e-AAD, IE801: C_AAD_VAL, over the ED;
- b) Each (new) NDEA at Destination receives a new e-AAD from the NDEA at Dispatch through an IE801: C_AAD_VAL.

The impact of excluding UC2.36 from FS1 on the NDEA at Destination is the following:

The NDEA at Destination will no longer receive the replacement information, IE803: C_AAD_NOT, over the CD. Yet, the functionality of updating the status of the former e-AAD to “Replaced” will be retained (the details are explained later in Section 6.1).

With respect to the reception of an IE801: C_AAD_VAL over the CD (b), the exclusion of the splitting functionality from FS1 has no impact on the NDEA at Destination, since each new e-AAD resulted from splitting is processed by the NDEA at Destination as if it was received and registered normally through UC2.01. To rephrase, the NDEA at Destination will still support

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the reception of an IE801: C_AAD_VAL but in the context of a different process (UC2.01) that is within the FS1 scope.

4.2.4 Alert or rejection of an e-AAD (UC2.07)

In FS1, the functionality of alert or rejection, as described in UC2.07 “Alert or rejection of an e-AAD”, will all be eXcluded. Due to this exclusion, the MSs will not be able to alert or reject a movement in FS1, since no such procedure exists in the current excise paper-based system; alerting or rejecting an e-AAD is an electronic procedure introduced for speeding up the EMCS operations.

4.2.4.1 Impact on NDEA at Dispatch

Due to the exclusion of the alert or rejection functionality (UC2.07) from FS1, none of the involved actions, which are summarised hereafter, will be supported by the NDEA at Dispatch:

- a) Receives the alert or rejection from the NDEA at the MSA of Destination via an IE819: C_REJ_DAT over the CD;
- b) In case of rejection, change the state of the concerned movement from “Accepted” to “Rejected”;
- c) Forwards the alert or rejection message over the ED, IE819: C_REJ_DAT, to the Consignor who originally initiated the excise movement from his/her own application via an IE815: N_AAD_SUB sent over the ED;
- d) Follows-up the alerted or rejected movement by starting the TIM_CHS timer and (optionally) sending the concerned e-AAD for risk assessment;

The impact of excluding UC2.07 from FS1 on the NDEA at Dispatch is the following:

- a) The NDEA at Dispatch will not be able to receive an IE819: C_REJ_DAT from the NDEA at the MSA of Destination over the CD;
- b) As a subsequence of (a), the NDEA at Dispatch will never update the state of a rejected movement to “Rejected”. Following, the “Rejected” state is eXcluded from the state transitions of an NDEA at Dispatch in FS1;
- c) As a subsequence of (a), the NDEA at Dispatch will not communicate the alert or rejection message to the Consignor who originally initiated the excise movement from his/her own application through the submission of an IE815: N_AAD_SUB over the ED, namely no IE819: C_REJ_DAT will travel from the NDEA at Dispatch to the Consignor over the ED;
- d) As a subsequence of (a), the NDEA at Dispatch will not follow-up the alerted or rejected movement.

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4.2.4.2 Impact on NDEA at Destination

Due to the exclusion of the alert or rejection functionality (UC2.07) from FS1, none of the involved actions, which are summarised hereafter, will be supported by the NDEA at Destination:

- a) Receives from the Consignee an alert or rejection of the e-AAD through a (draft) IE819: C_REJ_DAT over the ED, in case the Consignee uses his/her own application, or provides the means to the Consignee to manually enter the required alert or rejection information into the system;
- b) In case of rejection, changes the state of the concerned movement from “Accepted” to “Rejected”;
- c) Communicating the alert or rejection information to the NDEA at the MSA of Dispatch by means of an IE819: C_REJ_DAT sent over the CD;
- d) Sends over the ED the alert or rejection notification message, IE819: C_REJ_DAT, back to the Consignee who originally alerted or rejected the e-AAD from his/her own application through the submission of an IE819: C_REJ_DAT over the ED;
- e) (Optionally) sends the alerted or rejected movement for risk assessment.

The impact of excluding UC2.07 from FS1 on the NDEA at Destination is the following:

- a) The NDEA at Destination will neither receive an (draft) IE819: C_REJ_DAT from the Consignee over the ED, in case the Consignee uses his/her own application, nor provide the means to the Consignee to prepare manually an IE819: C_REJ_DAT;
- b) As a subsequence of (a), the NDEA at Destination will never update the state of a rejected movement from “Accepted” to “Rejected”. Following, the “Rejected” state is eXcluded from the state transitions of an NDEA at Destination in FS1;
- c) As a subsequence of (a), the NDEA at Destination will not communicate the alert or rejection message to the NDEA at the MSA of Dispatch over the CD, namely no IE819: C_REJ_DAT will travel from the NDEA at Destination to the NDEA at the MSA of Dispatch over the CD;
- d) As a subsequence of (a), the NDEA at Destination will not send over the ED the alert or rejection notification message, IE819: C_REJ_DAT, back to the Consignee who originally alerted or rejected the e-AAD from his/her own application through the submission of an IE819: C_REJ_DAT over the ED;
- e) As a subsequence of (a), the NDEA at Destination will not send any alerted or rejected movement for risk assessment.

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4.2.5 Reminders (UC2.17, UC2.33 & UC2.34)

FS1 will exclude the whole functionality of UC2.34 “Reminder at expiry of time limit for update of destination fields”.

In relation to the UC2.17 and UC2.33 reminders functionality, this document frees the MSAs to decide on their implementation at National level, to the extent however, that the (un)availability of the involved processes does not affect the normal continuation of the international communication flow.

In particular, any functionality in UC2.17 “Reminder at expiry of time for change of destination” and UC2.33 “Reminder at expiry of time limit for report of receipt” that is executed nationally between the NDEA and its Traders (NDEA at Dispatch-Consignor and NDEA at Destination-Consignee) can be safely treated as a national matter, since its (un)availability does not affect the communication between the NDEAs. On this basis, this functionality is set as Optional, in the sense that it is up to each MSA to decide on its implementation according to their national requirements.

Hence, UC2.17, where the involved functionality is fully national (NDEA at Dispatch - Consignor), have been defined as Optional. The situation is rather more complex for UC2.33, which also involves CD information exchanges that shall not be disrupted by any Optional implementations.

Finally, it shall be noted that although the implementation of the UC2.17 and UC2.33 functionalities in this section is purely a national issue, the MSAs are well encouraged considering the following observation:

The UC2.17 and UC2.33 reminder procedures are not traced electronically, since no timer has been foreseen to follow-up the response to the reminder message. This precludes any automated (electronic) notification of any delays on the receipt of the requested explanations from the Consignor. Hence, an MSA could rationally decide not to support electronically this functionality, on the basis that the ultimate responsibility for monitoring the progress of the reminder procedure lays on the Excise Officer, who then takes the necessary actions via alternative (non-EMCS) means.

4.2.5.1 Impact on NDEA at Dispatch

The participation of the NDEA at Dispatch in the UC2.17 and UC2.33 reminders functionality is summarised by the following actions:

- a) The NDEA at Dispatch issues a reminder to the Consignor upon the expiration of the relevant timer (TIM_CHS and TIM_AAD). Specifically, for a Consignor who uses his/her own application, this reminding notification is realised by means of an IE802: C_EXC_REM sent over the ED;

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b) The NDEA at Dispatch communicates the reminder message, IE802: C_EXC_REM, to the NDEA at the MSA of Destination over the CD¹;

c) The NDEA at Dispatch receives the Consignor's explanations on the expiration of the relevant timer (TIM_AAD) through an IE837: C_DEL_EXP over the ED, in case the Consignor uses his/her own application, or provides the means to the Consignor to manually enter his/her explanations into the system²;

d) The NDEA at Dispatch communicates the Consignor's explanations, IE837: C_DEL_EXP, to the NDEA at the MSA of Destination over the CD³;

e) The NDEA at Dispatch receives the Consignee's explanations (if any), IE837: C_DEL_EXP, from the NDEA at the MSA of Destination over the CD.

All of the aforementioned functionalities are Optional, with the only exception being action (e), which is Dependant on action (b) (Section 4.3.3). These Optional implementations and their impact on the NDEA at Dispatch are detailed below:

a) The generation and submission of the reminder message, IE802: C_EXC_REM, over the ED is Optional, since it will only be supported by those MSAs that wish to enquire electronically their Consignors on the expiration of the relevant timers. Along the same lines, for those Consignors who use the NDEA, it is up to the MSA to decide if and how to alert electronically the NDEA user (Consignor) of the timer's expiration;

b) The submission of the IE802: C_EXC_REM to the NDEA at the MSA of Destination over the CD is also Optional;

c) The reception of the Consignor's explanations, IE837: C_DEL_EXP, over the ED is Optional, since it will only be supported by those MSAs that wish to receive electronically their Consignors' feedback on the expiration of the relevant timers. Along the same lines, for those Consignors who use the NDEA, it is up to the MSA to decide if and how to provide the means to the NDEA user (Consignor) to manually enter his/her explanations into the system;

d) The submission of the Consignor's explanations, IE837: C_DEL_EXP, to the NDEA at the MSA of Destination over the CD is also Optional. This functionality is typically expected to comply with the national decision on the submission of the IE802: C_EXC_REM over the CD, since both information exchanges address the NDEA at the MSA of Destination and span the CD.

e) The functionality of receiving the Consignee's explanations, IE837: C_DEL_EXP, over the CD is Dependant on the Optional implementation of the IE802: C_EXC_REM submission to the NDEA at the MSA of Destination over the CD (Section 4.3.3).

¹ This functionality is only applicable to UC2.33.

² This functionality is only applicable to UC2.33.

³ This functionality is only applicable to UC2.33.

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4.2.5.2 Impact on NDEA at Destination

The participation of the NDEA at Destination is limited to UC2.33 and is summarised by the following actions:

- a) Receives the reminder message, IE802: C_EXC_REM, from the NDEA at Dispatch over the CD;
- b) Reminds the Consignee of the TIM_AAD expiration. Specifically for a Consignee who owns his/her own application, the NDEA at Destination communicates him/her the reminding notification by means of an IE802: C_EXC_REM over the ED;
- c) If relevant, receives the Consignee's explanations through an IE837: C_DEL_EXP over the ED, in case the Consignee uses his/her own application, or provides the means to the Consignee to manually enter his/her explanations into the system;
- d) Communicates the Consignee's explanations, IE837: C_DEL_EXP, to the NDEA at the MSA of Dispatch over the CD.

Even though, it will be Mandatory for the NDEA at Destination to be able to receive an IE802: C_EXC_REM from the NDEA at Dispatch over the CD (a), the implementation of the NDEA at Destination - Consignee functionality is Optional. In particular:

- b) For a Consignee who uses his/her own application, the submission of the IE802: C_EXC_REM from the NDEA at Destination to the Consignee over the ED is Optional;
- c) The reception of the Consignee's explanations, IE837: C_DEL_EXP, over the ED is Optional, since it will only be supported by those MSAs that wish to receive electronically their Consignees' feedback on the expiration of the TIM_AAD timers. Along the same lines, for those Consignees who use the NDEA, it is up to the MSA to decide if and how to provide the means to the NDEA user (Consignee) to manually enter his/her explanations into the system;
- d) The functionality of submitting the Consignee's explanations, IE837: C_DEL_EXP, to the NDEA at the MSA of Dispatch over the CD is Optional (Section 4.3.3).

4.3 Restrictions & Dependencies of Core Business – Central Circuit

This section presents the Core Business – Central Circuit functionality that is either ReStricted or Dependant on the EMCS operations in FS1:

- Section 4.3.1 restricts the automatic triggering of risk assessment;
- Section 4.3.2 presents the dependencies with respect to the follow-up of the timers;
- Section 4.3.3 presents the dependencies with respect to reception and submission of Consignee's explanations over the CD.

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4.3.1 Triggering of risk assessment

Due to the exclusion of the follow-up and collaboration functionality, as described in Section 4.6, the automatic triggering of risk assessment (UC2.14 “Risk Assessment”) will also be eXcluded from the EMCS operations in FS1.

Due to this implementation restriction, it is up to the MSs to operate risk analysis as in the paper-based system or with their national risk analysis system based on the information from the exchanged messages or the corresponding paper copies.

4.3.1.1 Impact on NDEA at Dispatch

In FS1, the NDEA at Dispatch will not apply automatically risk assessment to raise flags and issue Early Warning System for Excises (EWSE) warnings when it:

- Follows-up a (draft) e-AAD;
- Follows-up a change of destination;
- Validates an e-AAD cancellation;
- Receives a report of receipt.

4.3.1.2 Impact on NDEA at Destination

In FS1, the NDEA at Destination will not apply automatically risk assessment to raise flags and issue EWSE warnings when it:

- Receives an e-AAD;
- Receives an e-AAD update;
- Receives an e-AAD cancellation;
- Validates a report of receipt;
- Validates an alert or rejection.

4.3.2 Follow-up of timers

The functionality related to the follow-up of the TIM_FDF timer is eXcluded from FS1, since UC2.34 is also eXcluded.

The functionality related to the follow-up of the TIM_CHS and TIM_AAD timers, is Dependant on the implementation of the reminder processes (UC2.17 and UC2.33), and therefore it is set as Dependant.

In particular, if the MSA decides to support any of the Optional reminder processes in Section 4.2.5, then all functionality related to the follow-up of the corresponding timer shall also be supported (start, reset the associated flag, stop). In the opposite case, the follow-up of the

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timer is Optional, in the sense that it is up to each MSA to decide on its implementation according to the national requirements (such as, the possibility for automatic notification of the time limit expiration in order to proceed promptly to the paper-based reminder procedure).

Contrary to the TIM_CHS and TIM_AAD timers, the functionality related to the follow-up of the TIM_EXP timer does not depend on the implementation of the associated post-delivery processing (UC2.13).

In particular, even though the associated post-delivery processing (UC2.13) has been eXcluded from FS1 (Section 4.2.2), the functionality related to the TIM_EXP timer is set to Optional for each MSA to implement according to its national needs (such as, the possibility for automatic notification of the TIM_EXP expiration in order to monitor the Consignor's response to the detected losses).

4.3.2.1 Impact on NDEA at Dispatch

As a general principle, the actual timers' lifecycle shall not be disturbed by any eXcluded functionalities and the continuation of the business flow on paper-mode so that the progress of the movement is timed properly.

Unavoidably at the NDEA at Dispatch, the actual lifecycle of the TIM_CHS and TIM_AAD timers is disturbed by the paper-based operations, since they will unavoidably expire and retained in expiration mode (the associated flags will never be reset) when the processing of the e-AAD continues on paper-mode. Hence, for those MSAs that the TIM_CHS and TIM_AAD timers serve "critical" national requirements, the NDEA at Dispatch shall provide the means to record in the system the outcome of the paper-based operation on the assigned time limits so that the NDEA user that monitors the progress of the movement is provided with valid information.

In particular, when a paper-based procedure occurs, the NDEA at Dispatch shall provide the means to:

- Stop the TIM_AAD timer if still running or reset the associated flag if already expired;
- If applicable, stop the TIM_CHS timer if still running or reset the associated flag if already expired.

4.3.2.2 Impact on NDEA at Destination

The only timer running at the NDEA at Destination is the TIM_EXP. As already aforementioned, the follow-up of the TIM_EXP timer is an Optional functionality for the NDEA at Destination, meaning that it is up to each MSA to implement the initiation of the TIM_EXP timer in case of shortages or excesses.

As the TIM_EXP timer is also associated with an eXcluded functionality, the post-delivery processing (Section 4.2.2), it is important for the MSAs to consider that the actual lifecycle of the TIM_EXP timer is disturbed, since it will unavoidably expire and retained in expiration mode (the associated flag will never be reset) when the Consignor's explanations are received on paper-mode (either prior or after expiration). Hence, for those MSAs that the

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TIM_EXP timer has a “critical” use, the NDEA at Destination shall provide the means to record in the system the outcome of the post-delivery processing on the TIM_EXP timer (stop or reset of the associated flag) in order to provide valid information to the NDEA at Destination user.

4.3.3 Reception and submission of Consignee’s explanations

At the Dispatch side, the functionality of receiving the Consignee’s explanations, IE837: C_DEL_EXP, over the CD is Dependant on the Optional functionality of submitting the IE802: C_EXC_REM to the NDEA at the MSA of Destination over the CD (please, refer to the Section 4.2.5). In particular, an MSA that notifies the NDEA at the MSA of Destination of the TIM_AAD expiration (IE802: C_EXC_REM) is logically expecting a response back, and therefore it shall also be able to receive electronically the Consignee’s explanations (IE837: C_DEL_EXP). Reversibly, an MSA that does not notify electronically the NDEA at the MSA of Destination of the TIM_AAD expiration will not be able to receive an electronic notification of the Consignee’s explanations.

At the Destination side, the functionality of forwarding the Consignee’s explanations to the MSA of Dispatch is an Optional functionality for the MSAs to implement. In this way the MSAs are free to decide on whether the Consignees’ explanations (provided that they have been registered in the system) will be communicated to the NDEA at the MSA of Dispatch or will be used only nationally.

4.3.3.1 Impact on NDEA at Dispatch

The NDEA at Dispatch shall be able to receive an IE837: C_DEL_EXP over the CD if and only if it also implements the submission of the IE802: C_EXC_REM over the CD. In the opposite case that the MSA decides not to implement the Optional functionality of submitting the IE802: C_EXC_REM over the CD, it will also be unable to receive an IE837: C_DEL_EXP over the CD.

4.3.3.2 Impact on NDEA at Destination

The NDEA at Destination will optionally submit an IE837: C_DEL_EXP over the CD provided that it also implements the electronic reception of the Consignee’s explanations either by accepting an IE837: C_DEL_EXP over the ED or by providing the means to the Consignee to enter his/her explanations into the system.

4.4 Exclusions, Optionalities & Recommendations of SEED & Reference Data

According to the Phasing and Scope Specification: [R12], the availability of (System for Exchange of Excise Data) SEED and Reference Data (RD) is a general prerequisite for FS1 to function properly. Hence, in the case of SEED and RD there is no much opportunity for eXcluded, Optional and (Strongly) Recommended implementations with the only exception being the possibility for an Official to consult the SEED and reference data (UC1.22 “Consultation of SEED information by officials” & UC1.23 “Consultation of reference data by officials”) and for an Economic Operator to consult his/her (own) registration information (UC1.24 “Consultation of own registration information by an economic operator” & UC1.30

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“Consultation of registration information by economic operators”), which has been set to Optional (sections 4.4.1 and 4.4.2, respectively).

4.4.1 Consultation and SEED information and reference data by Officials (UC1.22 & UC1.23)

The functionality provided to the Officials to consult the SEED (UC1.22) and reference data (UC1.23) from their MSA CS involves only national information exchanges, and therefore it is left up to each Member State to decide on whether and how it will be electronically supported in FS1.

4.4.1.1 Impact on NDEA

The availability of any of the following processes is Optional for the NDEA⁴:

- Allowing an Official to request the SEED and RD from the MSA CS;
- Sending the requested information back to the Official.

4.4.2 Consultation of (own) registration information by Economic Operators (UC1.24 & UC1.30)

The functionality provided to the Economic Operators to consult their own (UC1.24) or other Economic Operator’s (UC1.30) registration information from their MSA CS involves only national information exchanges, and therefore it is left up to each Member State to decide on whether and how it will be electronically supported in FS1.

4.4.2.1 Impact on NDEA

The availability of any of the following processes is Optional for the NDEA⁵:

- Allowing an Economic Operator to request his/her own or other Economic Operators’ registration information from the MSA CS;
- Sending the registration information (response message) back to the Economic Operator.

4.5 Exclusions, Optionalities & Recommendations of Core Business – Export Cases

The “Import” related functionality has already been discussed in Section 4.2.1 in the context of the UC2.01. This chapter is concerned with the implementation of the export use-cases:

- Export - operation at office of export (UC2.43);

⁴ *The impact of this optionality on the NDEA has not been identified per functional role (NDEA at Dispatch and NDEA at Destination), since this functionality is common.*

⁵ *Footnote 4 is applicable here as well.*

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- Local clearance at export (UC2.44);
- Export - confirmation or cancellation of exit (UC2.46).

As in all other cases, the scope of the export functionality for an NDEA is investigated per functional role (NDEA at Dispatch and NDEA at Destination). It shall be noted that when the Member State of Dispatch is the same as the Member State of Export, an NDEA participates in the export cases functionality under the Dispatch role only (NDEA at Dispatch). On the other hand, when the Member State of Dispatch is different than the Member State of Export, an NDEA participates in the export cases functionality both under the Dispatch (NDEA at Dispatch) as well as under the Destination role (NDEA at Destination).

4.5.1 Impact on NDEA at Dispatch

According to GPT 9: Export of Excise goods - Local clearance of PSS, Appendix A [R13], during MP1, the MS of Export shall always be the same as the MS of Dispatch. In this case the following apply:

- All EMCS functionality involved in the Export cases (UC2.43, UC2.44 and UC2.46) is performed by the NDEA at Dispatch;
- It is eXcluded for an NDEA at Dispatch to initiate excise movements for exportation in another MS, hence keeping the information exchanges at purely national level;
- The implementation of the Export cases is Optional (UC2.43, UC2.44 and UC2.46), meaning that the MSAs are free to define whether and how they interface their NDEA with a Customs Export Application. Specifically for those MSAs not wishing to receive “Export” related information shall make a bilateral agreement with their Consignors so that the latter do not submit draft e-AADs declaring “Export” as a “Destination Type Code”.

In the case of “Export – operation at office of export” (UC2.43), the export declaration (IE515) and the Anticipated Arrival Record (IE501) are to be notified to EMCS through the means found relevant by each concerned MSA. The same applies to the Anticipated Arrival Record (IE501) in the case of “Local clearance at export” (UC2.44). With respect to the “Export - confirmation or cancellation of exit” (UC2.46), it is a purely national issue how the e-AAD(s) will be discharged by the NDEA⁶.

In all cases, implementing an electronic interface between ECS and EMCS is Optional. It shall be noted that full automation of the Export cases depends on the national availability of ECS Phase 2 (Section 4.5.3).

During MP2, the situation becomes more complex, since the “Export – operation at office of export” (UC2.43) with the MS of Export being different than the MS of Dispatch is also a possible scenario. In this case the following apply:

⁶ For the Dispatch side of operations covered in this section, UC2.46 is only applicable in the case of export through “Local clearance at export” and through “Export – operation at office of export” when the MS of Export is the same as MS of Dispatch

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- It is Optional to initiate excise movements for exportation in another MS, since all MSAs are in FS1;
- It is Mandatory to receive and process the notification of the cross-checking results (IE839/IE829) as well as the export - confirmation or cancellation of exit (IE818) from the NDEA at Destination, if initiating excise movements for exportation in a different MS of Export.

4.5.2 Impact on NDEA at Destination

During MP2, in the “Export – operation at office of export” (UC2.43), it is possible that the MS of Export is different than the MS of Dispatch. This is the only scenario, where an NDEA can operate under the Destination role (NDEA at Destination).

As opposed to the cases of “Local clearance at export” and “Export – operation at office of export” where the MS of Export is the same as the MS of Dispatch, this scenario involves CD information exchanges (the IE801, IE818, IE839 and IE829 messages are all travelling over the CD), and therefore it requires special consideration.

In particular, the following apply:

- UC-243-510: Cross-check declarations and UC-243-420: Solve discrepancies are Optional to implement electronically;
- UC-243-520: Register cross-checking results at MSA of export, and specifically the generation and submission of the IE839 and IE829 messages, is Mandatory to implement so that the MSA of Dispatch is informed about the progress of the e-AADs submitted for export;
- UC-246-310: Register exit results at MSA of export is Mandatory to implement so that the e-AAD(s) are discharged. Alls MSAs shall ensure that they are capable of electronically discharging the concerned e-AAD(s) when the exit of the goods is completed by building the report of receipt(s)⁷ (IE818s) on the basis of the exit information (IE518) received from the Export Control System (IE518), of the Anticipated Export Record (IE501) and of the e-AAD (IE801). What remains a purely national matter, though, is the means via which the Export related information is fed into the NDEA.

It shall be noted that, during MP2, there are no restrictions from the ECS Phase 2 Milestones, since ECS Phase 2 is foreseen to be operational by m_c [R22].

4.5.3 Time Restrictions from ECS

ECS Phase 1 has been operational since 01/07/2007; hence the exit notification (IE518) will be available at m_a [R22] when EMCS enters into operation.

⁷ One RoR (IE818) is needed for each ARC referenced in the IE501.

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ECS Phase 2 (supporting the inclusion of a reference to the ARC of the e-concerned AAD(s)) is planned to be opened from 1/01/2008 to 1/07/2009, hence it is possible that the Anticipated Arrival Record (IE501) supporting the inclusion of a reference to the ARC of the e-concerned AAD(s) will not be available at m_a [R22].

If the second phase of ECS is nationally available by the time the MSA enters FS1, the Export data (IE501) can be electronically provided by the Customs Export Application. In the opposite case that the MSA is an IMS or will enter FS1 before 01/07/2009 and the second phase of ECS is not yet nationally supported, the MSA will have to apply a temporary solution for retrieving the e-AAD(s) corresponding to the exit confirmation message (IE518) (such as, providing manually the Export data (IE501) required for the generation of the RoRs (IE818s)).

Figure illustrates the ECS Phase 2 Milestones against the EMCS Phase 2 Milestones:

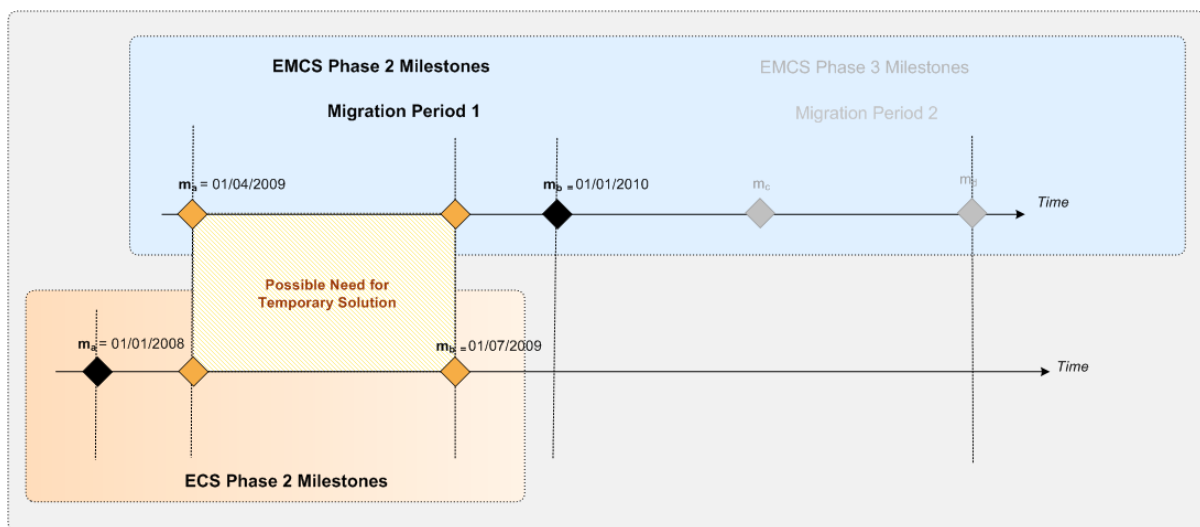


Figure 1: ECS Phase 2 Milestones vs EMCS Phase 2 Milestones

4.6 Exclusions, Optionalities & Recommendations of Follow-Up & Collaboration

FS1 will exclude all functionality related to Follow-up and Collaboration. There is no choice for optionalities and recommendations; hence all MSAs shall comply with the constraint that the Follow-Up and Collaboration functionality is out of the FS1 scope. This includes the following processes:

- Spontaneous EWSE feedback (UC3.01);
- Control and submission of the control report (UC3.03);
- Interruption of a movement (UC3.05);
- Early warning system – warning (UC3.07);
- Early warning system - deadline for feedback (UC3.09);

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- Movement verification – request (UC3.10);
- Movement verification - deadline for feedback (UC3.12);
- History - deadline for feedback (UC3.14);
- Collection and consolidation of statistics (UC3.16);
- Submission of an event report (UC3.24);
- Ad hoc query (UC3.25);
- Management of history and archived data (UC3.28);
- Request for history information (UC3.29);
- Ad hoc query - deadline for feedback (UC3.32).

4.7 Conclusions

Chapter 4 reduced the full EMCS functionality into the most useful processes for the EMCS operations in FS1. Summing up:

The following processes have all been eXcluded:

- Reminder at expiry of time limit for update of destination fields (UC2.34);
- Post-delivery processing (UC2.13);
- Splitting of consignment (UC2.36);
- Alert or rejection of an e-AAD (UC2.07);
- Follow-Up & Collaboration.

The following processes have been Strongly Recommended:

- Submission of Information from Economic Operators (UC2.01, UC2.05, UC2.10, UC2.06).

The following processes have been set to (fully or partly) Optional:

- Reminder at expiry of time for change of destination (UC2.17);
- Reminder at expiry of time limit for report of receipt (UC2.33);
- Core Business – Export Cases;
- Consultation of SEED information by Officials (UC1.22);
- Consultation of reference data by Officials (UC1.23);
- Consultation of own registration information by an Economic Operator (UC1.24);

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- Consultation of registration information by Economic Operators (UC1.30);
- Follow-up of timer TIM_EXP.

The following functionalities have been ReStricted:

- Triggering of risk assessment.

The following dependencies have been discussed:

- Follow-up of timers TIM_CHS and TIM_AAD.

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5 NDEA FS0 Scope

5.1 Introduction

The following general observations apply to the NDEA FS0 scope:

- The NDEA FS0 scope can be considered as a “specialisation” of the NDEA FS1 scope, meaning that it is defined by the NDEA FS1 scope, as filtered in Chapter 4, combined with some additional exclusions, optionalities, recommendations, dependencies and restrictions;
- These additional exclusions, optionalities, recommendations, dependencies and restrictions that are presented in this section concern mainly the dispatch functionality of an NDEA in FS0, whereas its destination functionality is affected only with respect to the exportation functionality (UC2.43, UC2.44 and UC2.46). In fact, this section adds to the content of the preceding chapter (Section 4.2) so as to eliminate entirely all dispatch functionality from FS0 and also exclude the exportation functionality from the NDEA at Destination (UC2.43 and UC2.46, when the MS of Export is different than the MS of Dispatch).

The functionality that is within the scope of FS0 is presented in Section 7 and specifically in the In-Scope EBPs Matrices of Table 5, Table 6 and Table 7. The tables also include references to any applicable exclusions, restrictions, strong recommendations, dependencies and optionalities discussed in this document. When not such an explicit reference exists, it means that the functionality is mandatory to implement. Hence, for instance, any functionality related to partial refusal is mandatory to implement in FS0. This means that any NDEA in FS0 shall support declaring partial refusal at the time of the RoR registration and shall also be able to receive a change of destination for a partially refused consignment.

The messages that are within the FS0 scope are also presented in Section 7 and specifically in the In-Scope Messages Matrices of Table 7.

5.2 Exclusions, Optionalities & Recommendations of Core Business – Central Circuit

This section presents the Core Business functionality that is eXcluded, is set to Optional or is (Strongly) Recommended in the EMCS operations in FS0 (only):

- Section 5.2.1 groups all functionality related to the submission and reception of information by the Consignees and strongly recommends its implementation;
- Section 5.2.2 excludes the dispatch functionality involved in the submission and registration of e-AAD;
- Section 5.2.3 excludes the dispatch functionality involved in the change of destination;
- Section 5.2.4 excludes the dispatch functionality involved in the cancellation of an e-AAD;

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- Section 5.2.5 excludes the dispatch functionality involved in the submission of report of receipt;
- Section 5.2.6 groups and excludes the reminders functionality;
- Section 5.2.7 excludes the functionality of retrieving and searching for an e-AAD as the initiating NDEA.

5.2.1 Submission and reception of information by Consignees (UC2.06)

This section can be considered as a subset of Section 4.2.1, since the MSAs are Strongly Recommended to support only the Consignee side operations.

The reception of messages from the Consignees over the ED is a Mandatory functionality for the NDEA at Destination. In addition, however, the MSAs are also Strongly Recommended to provide the means to their Consignees to perform their actions (submit the report of receipt and access the information received by their MSA over the CD) by offering one or more interfaces to the NDEA. The rationale behind this strong recommendation is to support those Economic Operators who do not possess the means to develop the FS0 trader functionality so that the MSAs gain the maximum benefits possible from the most extensive use of their system.

5.2.1.1 Impact on NDEA

In opposition to Section 4.2.1.1, the NDEA will not provide support to the Consignors to perform the following actions:

- Submit a (draft) e-AAD (IE815: N_AAD_SUB);
- Submit a (draft) cancellation (IE810: C_CAN_DAT);
- Submit a (draft) update (IE813: C_UPD_DAT);

Receive the report of receipt (IE818: C_DEL_DAT), which can be either for full delivery or partial refusal.

- On the contrary, the NDEA is Strongly Recommended to provide support to the Consignees to submit the (draft) report of receipt also equipped with the functionality of partial refusal.

In addition, the NDEA is Strongly Recommended to provide support to the Consignees to:

- Receive an e-AAD (IE801: C_AAD_VAL);
- Receive a cancellation message (IE810: C_CAN_DAT);
- Receive an update message (IE803: C_AAD_NOT).

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5.2.2 Submission and registration of e-AAD (UC2.01)

The dispatch functionality of UC2.01 will be eXcluded from FS0, and therefore the current paper-based system will remain applicable.

5.2.2.1 Impact on NDEA

Due to the exclusion of the dispatch functionality of UC2.01 from FS0, none of the involved actions, which are summarised hereafter, will be supported by the NDEA:

- a) Receives a (draft) e-AAD from the Consignor through an IE815: N_AAD_SUB over the ED, in case the Consignor uses his/her own application, or provides the means to the Consignor to manually enter the (draft) e-AAD information into the system;
- b) Sets a (valid) e-AAD at the “Accepted” state;
- c) Communicates the (valid) e-AAD by means of an IE801: C_AAD_VAL sent over the ED back to the Consignor who initiated the excise movement from his/her own application through the submission of an IE815: N_AAD_SUB over the ED;
- d) Communicates the (valid) e-AAD to the NDEA at Destination by means of an IE801: C_AAD_VAL sent over the CD;
- e) Follows-up the movement by starting the relevant timers and sending the e-AAD for risk assessment.

The impact of excluding the dispatch functionality of UC2.01 from FS0 on the NDEA is the following:

- a) The NDEA will neither receive an IE815: N_AAD_SUB from the Consignor over the ED, in case the Consignor uses his/her own application, nor provide the means to the Consignor to prepare manually an IE815: N_AAD_SUB;
- b) As a subsequence of (a), the “Accepted” state is not applicable to the NDEA;
- c) As a subsequence of (a), the NDEA will not communicate the (valid) e-AAD information back to the Consignor who originally submitted the (draft) IE815: N_AAD_SUB over the ED, namely no IE801: C_AAD_VAL will travel from the NDEA back to the Consignor over the ED;
- d) As a subsequence of (a), the NDEA will not communicate the (valid) e-AAD information to the NDEA at the MSA of Destination, namely no IE801: C_AAD_VAL will travel from the NDEA to the NDEA at the MSA of Destination over the CD;
- e) As a subsequence of (a), the NDEA will not follow-up the e-AAD.

5.2.3 Change of destination (UC2.05)

The dispatch functionality of UC2.05 will be eXcluded from FS0, and therefore the current paper-based system will remain applicable.

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5.2.3.1 Impact on NDEA

Due to the exclusion of the dispatch functionality of UC2.05 from FS0, none of the involved actions, which are summarised hereafter, will be supported by the NDEA:

- a) Receives the Consignor's request for a change of destination by means of a (draft) IE813: C_UPD_DAT over the ED, in case the Consignor uses his/her own application, or provides the means to the Consignor to manually enter the (draft) e-AAD update into the system;
- b) Communicates the update acknowledgement by means of an IE813: C_UPD_DAT sent over the ED back to the Consignor who submitted his/her request for an update from his/her own application through the submission of a (draft) IE813: C_UPD_DAT over the ED;
- c) Maintains or updates the e-AAD to the "Accepted" state;
- d) Communicates the (valid) e-AAD update to the NDEA at the (former or unchanged⁸) MSA of Destination by means of an IE813: C_UPD_DAT sent over the CD;
- e) Communicates the new e-AAD information to the NDEA at the (new or unchanged⁹) MSA of Destination, by means of an IE801: C_AAD_VAL sent over the CD;
- f) Follows-up the updated movement by handling the relevant timers (update, stop or reset the associated flags) and (optionally) sending the updated e-AAD for risk assessment.

The impact of excluding the dispatch functionality of UC2.05 from FS0 on the NDEA is the following:

- a) The NDEA will neither receive an IE813: C_UPD_DAT from the Consignor over the ED, in case the Consignor uses his/her own application, nor provide the means to the Consignor to prepare manually an IE813: C_UPD_DAT;
- b) As a subsequence of (a), the NDEA will not communicate the (valid) e-AAD update back to the Consignor who has originally submitted the (draft) IE813: C_UPD_DAT over the ED, namely no IE813: C_UPD_DAT will travel from the NDEA back to the Consignor over the ED;
- c) As a subsequence of (a), the "Accepted" state remains¹⁰ not applicable to the NDEA;

⁸"Former" MSA of Destination in the case that the MSA of Destination has changed; "unchanged" MSA of Destination in the case that **only** the Place of Delivery has changed (the MSA of Destination and the Consignee have not changed).

⁹"New" MSA of Destination in the case that the MSA of Destination has changed; "unchanged" MSA of Destination in the case that the Consignee has changed (the MSA of Destination has not changed).

¹⁰ The "Accepted" state has been already eXcluded in the Section 5.2.2.1.

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d) As a subsequence of (a), the NDEA will not communicate the (valid) e-AAD update to the (former or unchanged⁶) NDEA at Destination, namely no IE813: C_UPD_DAT will travel from the NDEA at Dispatch to the NDEA at the MSA of Destination over the CD;

e) As a subsequence of (a), the NDEA will not communicate the new e-AAD information to the (new or unchanged⁷) NDEA at Destination, namely no IE801: C_AAD_VAL will travel from the NDEA to the NDEA at Destination over the CD (this is also compliant with the exclusion of the IE801: C_AAD_VAL submission over the CD in Section 5.2.2.1);

f) As a subsequence of (a), the NDEA will not follow-up the updated e-AAD.

5.2.4 Cancellation of an e-AAD by the consignor (UC2.10)

The dispatch functionality of UC2.10 will be eXcluded from FS0, and therefore the current paper-based system will remain applicable.

5.2.4.1 Impact on NDEA

Due to the exclusion of the dispatch functionality of UC2.10 from FS0, none of the involved actions, which are summarised hereafter, will be supported by the NDEA:

a) Receives the Consignor's request for an e-AAD cancellation by means of a (draft) IE810: C_CAN_DAT over the ED, in case the Consignor uses his/her own application, or provides the means to the Consignor to manually enter the e-AAD cancellation information into the system;

b) Updates the e-AAD state to "Cancelled";

c) Communicates the (valid) e-AAD cancellation notification by means of an IE810: C_CAN_DAT sent over the ED back to the Consignor who submitted his/her cancellation request from his/her own application through the submission of a (draft) IE810: C_CAN_DAT over the ED;

d) Communicates the (valid) e-AAD cancellation notification, IE810: C_CAN_DAT, to the NDEA at the MSA of Destination by means of an IE810: C_CAN_DAT sent over the CD;

e) Follows-up the cancelled movement by handling the associated TIM_AAD timers (stops or resets the associate flag) and (optionally) sending the cancelled e-AAD for risk assessment.

The impact of excluding the dispatch functionality of UC2.10 from FS0 on the NDEA is the following:

a) The NDEA will neither receive an IE810: C_CAN_DAT from the Consignor over the ED, in case the Consignor uses his/her own application, nor provide the means to the Consignor to prepare manually an IE810: C_CAN_DAT;

b) As a subsequence of (a), the "Cancelled" state is not applicable to the NDEA;

c) As a subsequence of (a), the NDEA will not communicate the (valid) e-AAD cancellation notification back to the Consignor who has originally submitted the (draft) IE810:

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C_CAN_DAT over the ED, namely no IE810: C_CAN_DAT will travel from the NDEA back to the Consignor over the ED;

d) As a subsequence of (a), the NDEA will not communicate the (valid) e-AAD cancellation notification to the NDEA at the MSA of Destination, namely no IE810: C_CAN_DAT will travel from the NDEA to the NDEA at the MSA of Destination over the CD;

e) As a subsequence of (a), the NDEA will not follow-up the cancelled e-AAD.

5.2.5 Submission of report of receipt (UC2.06)

The dispatch functionality of UC2.06 (UC-206-410 “Receive report of receipt at MSA of dispatch”) will be eXcluded from FS0. Hence, the current paper-based system will remain applicable to discharge all movements initiated in paper-based.

5.2.5.1 Impact on NDEA

Due to the exclusion of the dispatch functionality of UC2.06 from FS0, none of the involved actions, which are summarised hereafter, will be supported by the NDEA:

a) Receives a report of receipt from the NDEA at the MSA of Destination by means of an IE818: C_DEL_DAT over the CD;

b) Changes the state of the e-AAD to “Delivered” or to “Refused” according to the delivery results;

c) Communicates the report of receipt by means of an IE818: C_DEL_DAT sent over the ED back to the Consignor who originally initiated the excise movement from his/her own application through the submission of an IE815: N_AAD_SUB over the ED;

d) Follows-up the movement by handling the relevant timers (start, stop or reset the associated flags) and (optionally) triggering risk assessment.

The impact of excluding the dispatch functionality of UC2.06 from FS0 on the NDEA is the following:

a) The NDEA will not be able to receive an IE818: C_DEL_DAT from the NDEA at the MSA of Dispatch over the CD;

b) The “Delivered” and “Refused” states are not applicable to the NDEA;

c) As a subsequence of (a), the NDEA will not communicate the report of receipt to the Consignor, namely no IE818: C_DEL_DAT will travel from the NDEA to the Consignor over the ED;

d) As a subsequence of (a), the NDEA will not follow-up the movement.

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5.2.6 Reminders (UC2.17, UC2.33 & UC2.34)

The FS1 reminders use-cases, UC2.17, UC2.33 and UC2.34, are not applicable to FS0, since they are executed at the NDEA at Dispatch. Hence, the current paper-based system will be retained.

On the contrary, the FS1 Optional functionality involved in the reminder UC2.33 (as described in Section 4.2.5.2) is inherited to FS0, since it is executed at the NDEA at Destination.

5.2.6.1 Impact on NDEA

The exclusion of the Dispatch functionality of the reminder processes from FS0 automatically implies that the NDEA:

- a) Will not remind the Consignor of the expiration of the relevant timers (TIM_CHS and TIM_AAD). Specifically, for a Consignor who owns his/her own application, no IE802: C_EXC_REM will travel across the ED from the NDEA to the Consignor. For a Consignor who uses the NDEA, the NDEA will not alert electronically the NDEA user (Consignor) of a time limit expiration;
- b) Will not communicate the flagging message, IE802: C_EXC_REM, to the NDEA at the MSA of Destination, namely no IE802: C_EXC_REM will travel from the NDEA to the NDEA at the MSA of Destination over the CD;
- c) Will neither receive the Consignor's explanations through an IE837: C_DEL_EXP over the ED, in case the Consignor owns his/her own application, nor provide the means to a Consignor who uses the NDEA to prepare manually an IE837: C_DEL_EXP;
- d) As a subsequence of (c), will not communicate the Consignor's explanations on the expiration of the TIM_AAD timer to the NDEA at the MSA of Destination through an IE837: C_DEL_EXP over the CD;
- e) As a subsequence of (b), will not receive the Consignee's explanations (if any), IE837: C_DEL_EXP, from the NDEA at the MSA of Destination over the CD.

With respect to the Destination functionality in UC2.33, the impact on an NDEA in FS0 is exactly the same as the impact on an NDEA at Destination in FS1, as described in Section 4.2.5.2.

5.2.7 Retrieval of an e-AAD

Even though UC2.51 "Download of an e-AAD" and UC2.52 "General query to retrieve an e-AAD" functionality is within the FS0 scope, an NDEA in FS0 will not be able to perform an e-AAD retrieval as the initiating application, since it cannot function as an NDEA at Dispatch.

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5.3 Restrictions & Dependencies of Core Business – Central Circuit

This section presents the Core Business – Central Circuit restrictions and dependencies applicable to FS0 (only). The relevant discussions are limited to the follow-up of the TIM_CHS and TIM_AAD timers running at Dispatch (Section 5.3.1), while the restriction of automatically triggering risk assessment is inherited from FS1 (Section 4.3.1).

5.3.1 Follow-up of timers

The FS1 Dependant implementation of the follow-up timers, TIM_CHS and TIM_AAD in Section 4.2.5 is not inherited to FS0. Instead, the implementation of all functionality related to the follow-up of the TIM_CHS and TIM_AAD (start, reset of the corresponding flag at its expiration, stop) is ReStricted (ruled-out) from FS0, since it is executed at the NDEA at Dispatch.

Regarding the FS1 Optional functionality related to the follow-up of the TIM_EXP timer in Section 4.3.2, it is inherited to FS0. Even though the associated process (UC2.13) has been eXcluded from FS1 (Section 4.2.2), and subsequently from FS0, the MSAs are free to decide on the implementation of the TIM_EXP timer according to their national needs (such as, the possibility for automatic notification of the TIM_EXP expiration in order to monitor the Consignor’s response to the detected losses).

5.3.1.1 Impact on NDEA

In FS0, the NDEA will not implement any functionality related to the follow-up of the TIM_CHS and TIM_AAD timers.

With respect to the follow-up of the TIM_EXP timer, the impact on the NDEA is exactly the same as the impact on an NDEA at Destination in FS1, as described in Section 4.3.2.2.

5.4 Exclusions, Optionalities & Recommendations of Core Business – Export Cases

An NDEA in FS0 could participate in the export cases only in “Export – operation at office of export” (UC2.43) when the MS of Export is different than the MS of Dispatch, since this is the only scenario that an NDEA acts as an MSA of Destination. As this scenario is not applicable during MP1 (GPT 9: Export of Excise goods - Local clearance of PSS, Appendix A [R13]), both the UC2.43 and the UC2.46 functionalities are eXcluded from FS0.

5.5 Exclusions, Optionalities & Recommendations of System Administration

This section presents the System Administration functionality that is eXcluded from the scope of EMCS operations in FS0 (only). There is no opportunity for Optional and (Strongly) Recommended implementations, hence all MSAs shall comply with the constraint that the following processes are eXcluded from the scope of EMCS operations in FS1:

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- Manage scheduled unavailability (UC0.07): Due to this exclusion, the IE770: C_AVA_DAT is also out-of-scope and the unavailability information shall be managed via alternative (non-EMCS) means;
- Configuration management and version control (UC0.22);
- Data management (UC0.23);
- Fallback procedures (UC0.24);
- Audit trail (UC0.25);
- Problem tracking (UC0.26).

5.6 Conclusions

An NDEA in FS0 implements only the Destination role. All dispatch functionality and state transitions have been eXcluded from the operational scope of an NDEA in FS0, meaning that the NDEA at Dispatch is not applicable. In addition, the export functionality applicable to the Destination side of operations (UC2.43 and UC2.46, when the MS of Export is different than the MS of Dispatch) has also been eXcluded from FS0.

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6 Interoperability Analysis

This section presents two types of interoperability issues that result from the NDEA FS1 scope and the NDEA FS0 scope, as defined in chapters 4 and 5, and affect the normal lifecycle of the excise movements:

- 1 Interoperability issues arising from the co-existence of electronic and paper-based procedures, namely from the co-existence of the EMCS (NDEA) in a specific FS and the paper-based procedures supporting the functionality that is eXcluded from that FS (Section 6.1);
- 2 Interoperability issues arising from the co-existence of FS0, FS1 (Section 6.2).

6.1 Interoperability Issues due to the Co-existence of Paper-based System & EMCS

By definition, the FSs shall break down the EMCS functionality into coherent (sub)sets of use cases (Phasing and Scope Specification: [R12]), where the term “coherent” is used to denote a (sub)set of use cases that guarantee:

- 1 The “discharge” of the e-AAD: The e-AAD is always “discharged” in the NDEA, namely *what starts electronically shall close electronically* (GP 3 of Transitional States: [R13]) and;
- 2 The validity of the e-AAD circuit: The e-AAD lifecycle is never violated, namely the e-AAD is “discharged” in the NDEA through a valid (FESS compliant) business scenario.

Consolidating:

An FS shall ensure that the e-AAD is always “discharged” through a valid (FESS compliant) business scenario.

This section details on how the co-existence of electronic and paper-based procedures affects the coherence of each FS:

- Section 6.1.1 details on how an NDEA in FS1 breaches the coherence of the functionality at Dispatch and presents the impact of this violation on its scope;
- Section 6.1.2 details on how an NDEA in FS0 or in FS1 breaches the coherence of the functionality at Destination and presents the impact of this violation on its scope.

6.1.1 Impact on NDEA at Dispatch

Due to the co-existence of electronic and paper-based procedures:

- a) The NDEA at Dispatch will not be able to “discharge” electronically the e-AADs that have been switched to paper-mode. In this case, the e-AAD will remain in an “open” state in the system, violating as such the first point (1) in the FS definition of Section 6.1 and the general principle of *what starts electronically shall close electronically* (GP 3 of Transitional States: [R13]) or;

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b) Following a paper-based operation, the NDEA at Dispatch will accept any (in-scope) process applicable to the “open” state of the movement, and therefore will abnormally “discharge” the movement, even though in reality the concerned movement has been processed on paper-mode. It is, therefore, very likely to violate the second point (2) in the FS definition of Section 6.1.

To *close electronically all movements that have started electronically*, and therefore eliminate the risks of business flow violations, the following new functionalities will be incorporated in the scope of FS1 at the NDEA at Dispatch:

- The outcome of the paper-based procedure will be entered at the NDEA at Dispatch. In particular, the NDEA at Dispatch shall provide the means to the Excise Officer to manually “discharge” the movement;
- The outcome of the paper-based procedure at the NDEA at Dispatch will be communicated to the NDEA at Destination in order to achieve a consistent movement update between the involved MSAs of Dispatch and Destination. In particular, once the movement is “discharged” at the NDEA at Dispatch, the IE905: C_SRD_RSP will be automatically generated and sent over the CD to the NDEA at Destination.

The manual closure functionality is intended to be used as an exception handling mechanism only for movements that is not possible to close in the system because the procedure to be followed is not supported electronically. An indicative example is the case of splitting "Refused" movements in FS0/FS1 (that is, movements that have been initiated electronically, have been refused electronically by the Consignee and have been split paper-based by the Consignor, as the splitting procedure is not supported electronically in FS0/FS1). However, other cases where the manual closure functionality could be needed also exist, i.e. when events and control during movements happen (as defined in FESS section IV [R4], an event is any occurrence that is considered worth signalling to the MSAs, for instance loss, destruction or theft of a document, of part, or all of the goods, etc); either directly following an event report (e.g. total loss of goods), or following a control, or for any other reason, such as an ascertained fraud, a MSA is entitled to interrupt the movement. Interruption of the movement is notified to all MSAs concerned by the movement, to the Consignor, to the Consignee, etc. Due to the fact that events and controls electronic management should be implemented during FS2, movements could be closed using this functionality till it is in place.

Finally, it shall be noted that the manual closure functionality does not result to the generation of the RoR at the MSA of Destination.

6.1.2 Impact on NDEA at Destination

Due to the co-existence of electronic and paper-based procedures:

a) The NDEA at Destination will not be able to “discharge” electronically the e-AADs that have been switched to paper-mode, violating as such the first point (1) in the FS definition of Section 6.1 and the general principle of *what starts electronically shall close electronically* (GP 3 of Transitional States: [R13]) or;

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b) Following a paper-based operation, the NDEA at Destination will accept any (in-scope) process applicable to the “open” state of the movement, and therefore will abnormally “discharge” the movement, even though in reality the concerned movement has been processed on paper-mode. It is, therefore, very likely to violate the second point (2) in the FS definition of Section 6.1.

To *close electronically all movements that have started electronically*, and therefore eliminate the risks of business flow violations, the following new functionality will be incorporated in the scope of FS0 and FS1 at the NDEA at Destination:

- The outcome of the paper-based procedure at the NDEA at Dispatch will be received by the NDEA at Destination in order to achieve a consistent movement update between the involved MSAs of Dispatch and Destination. In particular, the NDEA at Destination will be able to receive an IE905: C_SRD_RSP that includes the updated movement status.

6.2 Interoperability Issues due to the Co-existence of FS0, FS1

Interoperability issues occur when an MSA of Dispatch that owns an NDEA in FS0 initiates excise movements, since not only the submission of these movements (UC2.01, Section 5.2.1) but also their change of destination (UC2.05, Section 5.2.3) and cancellation (UC2.10, Section 5.2.4) will be performed on paper-mode. Hence, the MSA of Destination will only be notified by the MSA of Dispatch of these movements and of any potential variations on their main lifecycle (cancellation or change of destination) through the paper-based system (namely, through the reception of the corresponding paper forms), meaning that its NDEA at Destination¹¹ will never receive this information automatically via EDI over the CD.

According to the general principle of *what starts in paper-mode shall complete in paper-mode* (GP 2 of Transitional States: [R13]), the receiving MSA of Destination shall not allow the electronic registration of the report of receipt for declarations that are initiated on paper-mode by an NDEA in FS0. Instead, the MSA of Destination shall handle the discharge of these declarations through the paper-based system.

¹¹ In this context, the NDEA at the MSA of Destination is either in FS0 or in FS1.

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7 In-Scope Matrices for NDEA/CD CS

7.1 In-Scope EBPs Matrices

This section presents the in-scope functionality for the CD CS and for an NDEA in FS0 and in FS1, as filtered by the preceding chapters 4 and 5. The scope of the functionality has been granulated down to the level of EBPs per FESS Section (Core Business: [R2], Seed and Reference Data: [R3] and System Administration: [R5]). Since the NDEA FS0 scope (Chapter 5) is a “specialisation” of the NDEA FS1 scope (Chapter 4), the In-Scope EBPs Matrices present the NDEA FS0 scope in comparison to the NDEA FS1 scope. This comparative representation offers an additional illustration of the reduced functionality in the NDEA FS0 scope in opposition to its “superset” NDEA FS1 scope.

The definitions of the column names in the In-Scope EBPs Matrices are presented in ANNEX A.1. Hence, for the understanding of the In-Scope EBPs Matrices in this section, the comprehension of ANNEX A.1 is a prerequisite.

Table 5 lists the in-scope FESS Section II (Core Business: [R2]) UCs/EBPs for an NDEA in FS1 and for an NDEA in FS0.

Table 6 lists the in-scope FESS Section V (System Administration: [R5]) UCs/EBPs for an NDEA in FS0 and for an NDEA in FS1.

Table 7 lists the in-scope FESS Section III (Seed and Reference Data: [R3]) UCs/EBPs, as executed either by the CD CS or by an NDEA in FS0 and in FS1.

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR NDEA/CD CS	

In-Scope Core Business EBPs for NDEA in FS1 & FS0											
UC ID	UC Name	EBP ID	EBP Name	NDEA in FS1				NDEA in FS0			
				Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	Optional, Restricted, Excluded IEs	EBP Status	EBP Operation Mode (A/CA)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	Optional, Restricted, Excluded IEs	EBP Status	EBP Operation Mode (A/CA)
UC2.01	Submission and registration of e-AAD	UC 201.110	Submit draft e-AAD	SR Section 4.2.1.1		SR	CA				
		UC 201.210	Check draft e-AAD			M	A				
		UC 201.220	Validate e-AAD			M	A	X:Section 5.2.1.1, X:Section 5.2.2.1	X:IE815 (R,ED), RS:IE801 (S,ED, S,CD)	X	
		UC 201.120	Receive e-AAD	SR Section 4.2.1.1		SR	CA				
		UC 201.230	Start follow up	RS Section 4.3.1.1.D:Section 4.3.2.1		D	A				
UC2.10	Cancellation of an e-AAD by the consignee	UC 201.410	Receive e-AAD at MSA of destination	SR Section 4.2.1.2		M	A	SR Section 5.2.1.1		M	A
		UC 210.110	Submit draft cancellation	SR Section 4.2.1.1		SR	CA				
		UC 210.210	Check draft cancellation			M	A				
		UC 210.220	Validate cancellation of e-AAD	RS Section 4.3.1.1.D:Section 4.3.2.1		M	A	X:Section 5.2.1.1, X:Section 5.2.4.1	RS:IE810 (R,ED, S,ED, S,CD)	X	
		UC 210.120	Receive cancellation	SR Section 4.2.1.1		SR	CA				
UC2.06	Submission of report of receipt	UC 210.410	Receive cancellation at MSA of destination	SR Section 4.2.1.2, RS Section 4.3.1.2		M	A	RS Section 4.3.1.2, SR Section 5.2.1.1		M	A
		UC 206.110	Submit draft report of receipt	SR Section 4.2.1.2		SR	CA	SR Section 5.2.1.1		SR	CA
		UC 206.210	Check draft report of receipt			M	A			M	A
		UC 206.230	Validate report of receipt at MSA of destination	RS Section 4.3.1.2.O:Section 4.3.2.2		M	A	RS Section 4.3.1.2, O:Section 4.3.2.2		M	A
		UC 206.410	Receive report of receipt at MSA of dispatch	SR Section 4.2.1.1.RS:Section 4.3.1.1, D:Section 4.3.2.1		M	A	X:Section 5.2.5.1	RS:IE818 (R,CD, S,ED)	X	
UC2.05	Change of destination	UC 205.110	Submit draft update	SR Section 4.2.1.1		SR	CA				
		UC 205.210	Check draft update			M	A				
		UC 205.220	Validate update			M	A	X:Section 5.2.1.1, X:Section 5.2.3.1	RS:IE813 (R,ED, S,CD)	X	
		UC 205.120	Receive updated e-AAD	SR Section 4.2.1.1		SR	CA				
		UC 205.230	Start follow up	R:Section 4.3.1.1.D:Section 4.3.2.1		M	A				
UC2.33	Reminder at expiry of time limit for report of receipt	UC 205.410	Receive update at former MSA of destination	SR Section 4.2.1.2,RS:Section 4.3.1.2		M	A	RS Section 4.3.1.2, SR Section 5.2.1.1		M	A
		UC 205.510	Receive update at new MSA of destination	SR Section 4.2.1.2, RS:Section 4.3.1.2		M	A	RS Section 4.3.1.2		M	A
		UC 205.610	Receive update at unchanged MSA of destination	SR Section 4.2.1.2, RS:Section 4.3.1.2		M	A	RS Section 4.3.1.2		M	A
		UC 233.210	Expiry of timer	O Section 4.2.5.1	O:IE802 (S,ED, S,CD)	O	A/CA	X:Section 5.2.6.1	RS:IE802 (S,ED)	X	
		UC 233.310	Receive flag	O Section 4.2.5.2	O:IE802 (S,ED)	M	A	O:Section 5.2.6.1 (4.2.5.2)	O:IE802 (S,ED)	M	A
UC2.17	Reminder at expiry of time for change of destination	UC 233.410	Send explanation on delay (dispatch)	O Section 4.2.5.1		O	CA				
		UC 233.220	Forward explanation on delay (dispatch)	O Section 4.2.5.1	O:IE837 (S,CD)	O	A	X:Section 5.2.6.1	RS:IE837 (R,ED, S,CD)	X	
		UC 233.410	Send explanation on delay (destination)	O Section 4.2.5.2	O:IE837 (R,ED)	O	CA	O:Section 5.2.6.1 (4.2.5.2)	O:IE837 (R,ED)	O	CA
		UC 233.320	Forward explanation on delay (destination)	O Section 4.2.5.2	O:IE837 (S,CD)	O	A	O:Section 5.2.6.1 (4.2.5.2)	O:IE837 (S,CD)	O	A
		UC 217.110	Process expiry of timer	O Section 4.2.5.1	O:IE802 (S,ED)	O	A/CA	X:Section 5.2.6.1		X	
UC2.51	Download of an e-AAD	UC 251.110	Submit request			M	CA			M	CA
		UC 251.210	Forward request			M	A			M	A
		UC 251.310	Perform retrieval			M	A	X:Section 5.2.7	RS:IE701 (R,CD), IE702, IE838 (S,CD)	X	
		UC 251.220	Register and Forward response			M	A			M	A
		UC 251.120	Forward request			M	A			M	A
UC2.52	General query to retrieve an AAD	UC 252.110	Submit request			M	CA			M	CA
		UC 252.210	Forward request			M	A			M	A
		UC 252.310	Perform search			M	A	X:Section 5.2.7	RS:IE701 (R,CD), IE702, IE821 (S,CD)	X	
		UC 252.230	Forward response			M	A			M	A
		UC 252.220	Forward refusal			M	A			M	A
UC2.43	Export - operation at office of export	UC 243.410	Cross-check declarations	O Section 4.5.1, O:Section 4.5.2		O					
		UC 243.420	Solve discrepancies	O(MP1) Section 4.5.1		O					
		UC 243.520	Register cross checking results at MSA of export	O(MP1) Section 4.5.1, R(MP2) Section 4.5.2		O(MP1), R(MP2)					
		UC 243.210	Register at MSA of dispatch e-AADs rejection due to negative cross-checking with the export declaration	O(MP1) Section 4.5.1, R(MP2) Section 4.5.1	O:IE839, IE829 (S,ND), O:IE839, IE829 (S,R,CD)	O	A/CA	X:Section 5.4	X:IE829, IE839	X	
		UC 243.230	Register at MSA of dispatch e-AADs acceptance after cross-checking with export declaration	O(MP1) Section 4.5.1, R(MP2) Section 4.5.1		O					
UC 44	Local clearance at export	UC 244.110	Submit draft e-AAD								
		UC 244.310	Check draft e-AAD								
		UC 244.320	Validate e-AAD	O Section 4.5.1	O:IE839, IE829 (S,CD)	O	A/CA	X:Section 5.4	X:IE829, IE839	X	
		UC 244.330	Cross-check IEs with e-AADs								
		UC 244.340	Register cross-checking results								
UC2.46	Export - confirmation or cancellation of exit	UC 246.210	Register results at MSA of dispatch								
		UC 246.310	Register exit results at MSA of export	O(MP1) Section 4.5.1, R(MP2) Section 4.5.2		O	A/CA	X:Section 5.4		X	

*UC2.01 also includes the case of "Import"

Table 5: In-Scope Core Business EBPs for NDEA in FS1 & FS0

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR NDEA/CD CS	

In-Scope System Admin EBPs for NDEA in FS1 & FS0								
UC ID	UC Name	EBP ID	EBP Name	NDEA in FS1		NDEA in FS0		
				EBP Status	EBP Operation Mode (A/CA)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	EBP Status	EBP Operation Mode (A/CA)
UC0.01	Management of user accounts of officials	UC-001-110	Manage user accounts of officials	M	CA		M	CA
UC0.02	Management of user accounts of economic operators	UC-002-110	Manage economic operator user accounts	M	CA		M	CA
UC0.03	Management of access rights of officials	UC-003-110	Manage user profiles of officials	M	CA		M	CA
		UC-003-120	Manage enrolment of officials into profiles	M	CA		M	CA
UC0.04	Management of access rights of economic operators			M	CA		M	CA
UC0.22	Configuration management and version control			R	CA	X:Section 5.5	X	
UC0.23	Data management			R	CA	X:Section 5.5	X	
UC0.24	Fallback procedures			SR	CA	X:Section 5.5	X	
UC0.25	Audit trail			R	CA	X:Section 5.5	X	
UC0.26	Problem tracking			R	CA	X:Section 5.5	X	

Table 6: In-Scope System Admin EBPs for NDEA in FS1 & FS0

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR NDEA/CD CS	

In-Scope SEED & Reference Data EBPs for CD CS & NDEA in FS1 & FS0														
UC ID	UC Name	EBP ID	EBP Name	Restrictions	Common Domain Central Services		NDEA in FS1			NDEA in FS0				
					EBP Status	EBP Operation Mode (A/CA)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	EBP Status	EBP Operation Mode (A/CA)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	Optional, Restricted, Excluded IEs	EBP Status	EBP Operation Mode (A/CA)	
UC1.01	Maintenance of SEED data							M	CA			M	CA	
UC1.14	Dissemination of SEED data	UC-114-110	Submit update information					M	CA			M	CA	
		UC-114-210	Check submitted changes			M	A							
		UC-114-230	Apply Changes			M	A							
		UC-114-240	Transfer Changes			M	A							
		UC-114-140	Activate Changes					M	A	X:Section 5.4.3.1	RS:IE713 (R:CD)	X		
UC1.16	Re-synchronisation of SEED data	UC-114-120	Receive rejection information					M	CA			M	CA	
		UC-116-110	Request update of register of economic operators					M	CA	X:Section 5.4.2.1	RS:IE701 (S:CD)	X		
		UC-116-210	Prepare registration data			M	A							
UC1.16	Re-synchronisation of SEED data	UC-116-120	Reload register of economic operators					M	CA	X:Section 5.4.2.1	RS:IE713 (R:CD)	X		
UC1.22	Consultation of SEED information by officials							O:Section 4.4.1.1	O	CA	O:Section 4.4.1.1		O	CA
UC1.24	Consultation of own registration information by an economic operator	UC-124-110	Request registration information					O:Section 4.4.2.1	O	CA	O:Section 4.4.2.1		O	CA
		UC-124-210	Send registration information						O	A/CA			O	A/CA
UC1.30	Consultation of registration information by economic operators	UC-130-110	Send request					O:Section 4.4.2.1	O	CA	O:Section 4.4.2.1		O	CA
		UC-130-210	Prepare response						O	A			O	A
UC1.11	Maintenance and dissemination of the EOL					M	A		M	CA			M	CA
UC1.04	Maintenance of reference data					M	CA							
UC1.06	Dissemination of reference data	UC-106-110	Disseminate reference data			M	CA		M	CA			M	CA
		UC-106-210	Apply changes						M	A/CA			M	A/CA
UC1.05	Re-synchronization of reference data	UC-105-110	Send request						M	CA	X:Section 5.4.1.1	RS:IE701 (S:CD)	X	
		UC-105-210	Send reference data			M	A							
		UC-105-120	Receive reference data						M	CA	X:Section 5.4.1.1	RS:IE734 (R:CD)	X	
UC1.23	Consultation of reference data by officials							O:Section 4.4.1.1	O	CA	O:Section 4.4.1.1		O	CA
UC1.13	Consultation of public reference data by economic operators	UC-113-110	Request reference data						SR	A/CA			SR	A/CA
		UC-113-210	Send reference data						SR	A/CA			SR	A/CA

Table 7: In-Scope SEED and Reference Data EBPs for CD CS & NDEA in FS1 & FS0

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR NDEA/CD CS	

7.2 In-Scope Messages Matrices

This section presents the in-scope messages for the CD CS and an NDEA in FS0/FS1, as filtered by the preceding chapters 4 and 5.

The definitions of the column names in the In-Scope Messages Matrices are presented in ANNEX A.2. Hence, for the understanding of the In-Scope Messages Matrices in this section, the comprehension of ANNEX A.2 is a prerequisite.

Table 8 presents all in-scope messages that are sent or received by an NDEA in FS1 and in FS0.

Table 9 presents the in-scope messages that are exchanged between the CD CS.

Table 10 lists the in-scope information exchanges between an NDEA in FS1 and in FS0 and the CD CS.

It is to be noted that the scope of the messages used in the CS has not been separated in FS0 and FS1, since the full functioning of the CS is a pre-requisite even for FS0.

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR NDEA/CD CS	

In-Scope Messages Exchanged from/to NDEA in FS1 & FS0																			
IE	Name	Reference	S e n d	R e c e i v e	D o m a i n	NDEA in FS1					S e n d	R e c e i v e	D o m a i n	NDEA in FS0					
						M S A	Exchange M e c h a n i s m	E x c h a n g e M e c h a n i s m	W e b B a s e d	X M L				EDI Format C C N / C S I	M S A	Exchange M e c h a n i s m	E x c h a n g e M e c h a n i s m	W e b B a s e d	X M L
IE701	common request	C_REQ_SUB	Y	Y	CD	N	M			M		Y	N	CD	N	M			M
IE702	refusal of common request	C_REQ_REF	Y	Y	CD	N	M			M		N	Y	CD	N	M			M
IE705	external request	E_REQ_SUB	N	Y	ED	Y		R	SR	SR		N	Y	ED	Y		R	SR	SR
IE733	external list of codes	E_COD_DAT	N	Y	ED	Y		R	SR	SR		N	Y	ED	Y		R	SR	SR
IE734	reference data dissemination	C_RDD_DAT	N	Y	CD	N	M			M		N	Y	CD	N	M			M
IE815	submitted draft of e-AAD	N_AAD_SUB	N	Y	ED	Y		R	SR	SR		N	Y	CD	N	M			M
IE801	e-AAD	C_AAD_VAL	Y	Y	CD	N	M			M		N	Y	CD	N	M			M
IE801	e-AAD	C_AAD_VAL	Y	N	ED	Y		R	SR	SR		Y	N	ED	Y		R	SR	SR
IE704	generic refusal message	N_REJ_DAT	Y	N	ED	Y		R	SR	SR		Y	N	ED	Y		R	SR	SR
IE810	cancellation of e-AAD	C_CAN_DAT	Y	Y	CD	N	M			M		N	Y	CD	N	M			M
IE810	cancellation of e-AAD	C_CAN_DAT	Y	Y	ED	Y		R	SR	SR		Y	N	ED	Y		R	SR	SR
IE818	accepted or rejected report of receipt	C_DEL_DAT	Y	Y	CD	N	M			M		Y	N	CD	N	M			M
IE818	accepted or rejected report of receipt	C_DEL_DAT	Y	Y	ED	Y		R	SR	SR		N	Y	ED	Y		R	SR	SR
IE802	reminder message for Excise movement	C_EXC_REM	Y	Y	CD	N	M			M		Y	N	CD	N	M			M
IE802	reminder message for Excise movement	C_EXC_REM	Y	N	ED	Y		R	SR	SR		Y	N	ED	Y		R	SR	SR
IE837	explanation on delay for delivery	C_DEL_EXP	Y	Y	CD	N	M			M		Y	Y	CD	N	M			M
IE837	explanation on delay for delivery	C_DEL_EXP	N	Y	ED	Y		R	SR	SR		N	Y	ED	Y		R	SR	SR
IE803	notification of diverted e-AAD	C_AAD_NOT	Y	N	ED	Y		R	SR	SR		Y	N	ED	Y		R	SR	SR
IE813	change of destination	C_CHA_DAT	Y	Y	CD	N	M			M		N	Y	CD	N	M			M
IE813	change of destination	C_CHA_DAT	Y	Y	ED	Y		R	SR	SR		Y	N	ED	Y		R	SR	SR
IE829	notification of accepted export	C_EXP_NOT	Y	Y	CD	N				M									
IE829	notification of accepted export	C_EXP_NOT	Y	N	ED	Y			SR	SR									
IE829	notification of accepted export	C_EXP_NOT	Y	N	ND	Y				SR									
IE839	rejection of e-AAD for export	C_EXP_REJ	Y	Y	CD	N				M									
IE839	rejection of e-AAD for export	C_EXP_REJ	Y	N	ED	Y			SR	SR									
IE839	rejection of e-AAD for export	C_EXP_REJ	Y	N	ND	Y				SR									
IE821	list of AAD as result of a general query	C_LST_VAL	Y	Y	CD	N	M			M		N	Y	CD	N	M			M
IE904	status request	C_STD_REQ	Y	Y	CD	N	M			M		N	Y	CD	N	M			M
IE905	status response	C_STD_RSP	Y	Y	CD	N	M			M		Y	N	CD	N	M			M
IE934	data packaging	C_PAC_DAT	Y	Y	CD	N	M			M		N	Y	CD	N	M			M
IE917	negative acknowledgement of XML receipt	C_XML_NAC	Y	Y	CD	N	M			M		Y	Y	CD	N	M			M
IE917	negative acknowledgement of XML receipt	C_XML_NAC	Y	N	ED	Y		R	SR	SR		Y	N	ED	Y		R	SR	SR
IE906	functional NACK	C_FUN_NCK	Y	Y	CD	N	M			M		Y	Y	CD	N	M			M
IE908	confirm on delivery acknowledgement	C_COD_ACK	Y	Y	CD	N	M			M		M	Y	Y	CD	N	M		M
IE909	confirm on arrival acknowledgement	C_COA_ACK	Y	Y	CD	N	M			M		M	Y	Y	CD	N	M		M
IE910	expiration notification	C_EXP_NOT	Y	Y	CD	N	M			M		M	Y	Y	CD	N	M		M
IE911	exception notification	C_EXC_NOT	Y	Y	CD	N	M			M		M	Y	Y	CD	N	M		M

* The IE733: external list of codes (E_COD_DAT) message is also within the scope, since it is part of the IE734 message.

* The IE839 and IE829 messages are "Optional" to implement during Migration Period 1 (MP1), when the export cases can be implemented only at national level.

Both of these messages become "Mandatory" to implement on Milestone c (Mc), since during Migration Period 2 (MP2) it is also possible to exchange information related to exporting e-AADs over the Common Domain.

* ND stands for "National Domain" and is used for Information Exchanges between different applications of the MSA.

Table 8: In-Scope Messages Exchanged from/to NDEA in FS1 & FS0

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR NDEA/CD CS	

In-Scope Messages Exchanged between CD CS																
IE	Name	Reference	SEED							CSRD						
			S e n d	R e c e i v e	D o m a i n	Exchange Mechanism			EDI Format	S e n d	R e c e i v e	D o m a i n	Exchange Mechanism			EDI Format
						C N / C S I	E m a i l B a s e d I n t e r f a c e	W e b B a s e d I n t e r f a c e					X M L	C N / C S I	E m a i l B a s e d I n t e r f a c e	
IE931	COL DATA	C_COL_DAT	N	Y	CD	M			M	Y	N	CD				M
IE932	COMMON RD DATA	C_REF_DAT	N	Y	CD	M			M	Y	N	CD				M
IE914	COL REQUEST	C_COL_REQ	Y	N	CD	M			M	N	Y	CD				M
IE916	COMMON RD REQUEST	C_REF_REQ	Y	N	CD	M			M	N	Y	CD				M

Table 9: In-Scope Messages Exchanged between CD CS

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR NDEA/CD CS	

In-Scope Messages Exchanged between NDEA FS1 & NDEA FS0-CD CS																							
IE	Name	Reference	NDEA in FS1						NDEA in FS0						Central Services								
			S e n d	R e c e i v e	D o m a i n	Exchange Mechanism		EDI Format		S e n d	R e c e i v e	D o m a i n	Exchange Mechanism		EDI Format		S e n d	R e c e i v e	D o m a i n	Exchange Mechanism		EDI Format	
						C	W	X	C				C	W	X	C				C	W	X	C
IE30	notification of customs offices modification to common domain	C_COL_COM	Y	N	CD	M		M		Y	N	CD	M		M		N	Y	CD	M		M	
IE31	notification of customs offices modification to national domain	C_COL_NAT	N	Y	CD	M		M		N	Y	CD	M		M		Y	N	CD	M		M	
IE713	incremental update or full register of economic operators	C_ORO_DAT	Y	Y	CD	M	O	M		Y	N	CD	M	O	M		Y	Y	CD	M	M	M	
IE714	refusal of update of economic operators	C_ORO_REF	N	Y	CD	M	O	M		N	Y	CD	M	O	M		Y	N	CD	M	M	M	
IE701	common request	C_REQ_SUB	Y	N	CD	M	O	M									N	Y	CD	M	M	M	
IE734	reference data dissemination	C_RDD_DAT	N	Y	CD	M	O	M		N	Y	CD	M	O	M		Y	N	CD	M	M	M	
IE906	functional NACK	C_FUN_NCK	N	Y	CD	M	O	M		N	Y	CD	M	O	M		Y	N	CD	M	M	M	
IE917	negative acknowledgement of XML receipt	C_XML_NAC	N	Y	CD	M	O	M		N	Y	CD	M	O	M		Y	N	CD	M	M	M	
IE908	confirm on delivery acknowledgement	C_COD_ACK	Y	Y	CD	M			M	Y	Y	CD	M			M	Y	Y	CD	M			M
IE909	confirm on arrival acknowledgement	C_COA_ACK	Y	Y	CD	M			M	Y	Y	CD	M			M	Y	Y	CD	M			M
IE910	expiration notification	C_EXP_NOT	Y	Y	CD	M			M	Y	Y	CD	M			M	Y	Y	CD	M			M
IE911	exception notification	C_EXC_NOT	Y	Y	CD	M			M	Y	Y	CD	M			M	Y	Y	CD	M			M

Table 10: In-Scope Messages Exchanged between NDEA FS1 & NDEA FS0-CD CS

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
SUP SCOPE	

8 SUP Scope

8.1 Introduction

Prior to defining the operational scope of the SUP system, its purpose and the business needs that the system aims to satisfy must be precisely determined.

The purpose of the SUP is to provide a reduced set of functionality executed at the Destination side in order to process and close electronically movements that have been initiated under EMCS by MSs already in FS1.

The SUP scope can be considered as being a “specialisation” of the NDEA FS0 scope, since it is defined by some additional exclusions and restrictions. This section presents the findings of systematic examination in order to identify and exclude from the NDEA FS0 scope these UCs/EBPs that do not serve the purpose of the SUP, namely these UCs/EBPs that are not related or are not critical to the electronic closure of movements initiated by an MS in FS1.

The functionality that is within the scope of SUP is presented in Section 9 and specifically in the In-Scope EBPs Matrices of Table 11, Table 12 and Table 13. The tables also include references to any applicable exclusions, restrictions, strong recommendations, dependencies and optionalities discussed in preceding sections of the document. When not such an explicit reference exists, it means that the functionality is mandatory to implement. Hence, for instance, any functionality related to partial refusal is mandatory to implement in SUP. This means that the SUP shall support declaring partial refusal at the time of the RoR registration and shall also be able to receive a change of destination for a partially refused consignment.

The messages that are within the SUP scope are also presented in Section 9 and specifically in the In-Scope Messages Matrices of Table 14, Table 15 and Table 16.

8.2 Exclusions & Restrictions of Core Business – Central Circuit

This section presents the additional Core Business – Central Circuit exclusions and restrictions for the SUP:

- a) Section 8.2.1 limits the participation of the SUP in UC2.33 to the reception of the IE802: C_EXC_REM over the CD, as opposed to the Optional functionalities applicable to an NDEA at Destination in FS1 (Section 4.2.5.2) or to an NDEA in FS0 (Section 5.2.6.1);
- b) Section 8.2.2 restricts the implementation of the TIM_EXP timer, as opposed to its Optional implementation applicable to an NDEA at Destination in FS1 (Section 4.3.2.2) or to an NDEA in FS0 (Section 5.3.1.1).

8.2.1 Reminder at expiry of time limit for report of receipt (UC2.33)

The Optional implementations presented in Section 4.2.5.2 for an NDEA in FS0 are not applicable to the SUP:

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
SUP SCOPE	

8.2.1.1 Impact on SUP

Even though, it will be Mandatory for the SUP to be able to receive an IE802: C_EXC_REM from the NDEA at Dispatch over the CD, the following functionality is ruled-out:

- a) The submission of the IE802: C_EXC_REM over the ED is ReStricted, namely no IE802: C_EXC_REM will be submitted by the SUP to the Consignee over the ED;
- b) The reception of the IE837: C_DEL_EXP over the ED is eXcluded, namely no IE837: C_DEL_EXP will be received by the SUP from the Consignee over the ED. Along the same lines, the SUP will not provide the means to the NDEA user (Consignee) to manually enter his/her explanations into the system;
- c) The submission of the IE837: C_DEL_EXP over the CD is eXcluded, namely no IE837: C_DEL_EXP will be submitted by the SUP to the NDEA at the MSA of Dispatch over the CD.

8.2.2 Follow-up of TIM_EXP timer

The SUP restricts the implementation of the functionality related to the follow-up of the TIM_EXP timer, and therefore the relevant discussions in Section 4.3.2 and Section 5.3.1 for an NDEA in FS0 are not applicable.

8.2.2.1 Impact on SUP

The SUP will not follow-up the TIM_EXP timer, hence:

- a) The SUP will not initiate the TIM_EXP timer when an IE818 is submitted with shortages or excesses;
- b) As a subsequence of (a), the SUP will not provide the means to record in the system the outcome of the post-delivery processing on the TIM_EXP timer (stop or reset of the associated flag) in order to provide valid information to the NDEA at Destination user.

8.3 Exclusions & Restrictions of SEED & Reference Data

This section presents the additional exclusions and restrictions related to the SEED and RD functionality. The exclusions are limited to sections 8.3.1 and 8.3.2, which exclude, respectively, the possibility for an Official to consult the SEED and reference data (UC1.22 & UC1.23) and for an Economic Operator to consult (his/her own) registration information (UC1.24 & UC1.30). The restrictions are limited to Section 8.3.3, which restricts the reception of the updated Excise Office List (EOL) submitted by the other MSAs, as part of the maintenance and dissemination of the EOL (UC1.11 “Maintenance and dissemination of the EOL”) and to Section 8.3.4, which restricts the reception of the updates in the RD (UC1.06 “Dissemination of reference data”).

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
SUP SCOPE	

8.3.1 Consultation of SEED information and reference data by Officials (UC1.22 & UC1.23)

The functionality provided to the Officials to consult the SEED (UC1.22) and reference data (UC1.23) from their MSA CS will be eXcluded from the SUP, since it is deemed to be non-critical for the electronic closure of the EMCS movements at the MSA of Destination.

8.3.1.1 Impact on SUP

Due to the exclusion of UC1.22 and UC1.23, the SUP will not:

- Allow an Official to request the SEED and RD from the MSA CS;
- Send the requested information back to the Official.

8.3.2 Consultation of (own) registration information by Economic Operators (UC1.24 & UC1.30)

The functionality provided to the Economic Operators to consult their own (UC1.24) or another Economic Operator's (UC1.30) registration information from their MSA CS will be eXcluded from the SUP, since it is deemed to be non-critical for the electronic closure of the EMCS movements at the MSA of Destination.

8.3.2.1 Impact on SUP

Due to the exclusion of UC1.24 and UC1.30 processes, the SUP will not:

- Allow an Economic Operator to request his/her own or other Economic Operators' registration information from the MSA CS;
- Send the registration information (response message) back to the Economic Operator.

8.3.3 Reception of the EOL (UC1.11)

The reception of the EOL will be ReStricted from the SUP, since the Excise Office information that needs to be available for data entry and validation purposes is only related to Customs Offices located in the MSA of Destination itself. This information is nationally available and can be provided in the form of national RD.

8.3.3.1 Impact on SUP

The SUP ND CS will not be able to receive the modifications to the EOL submitted by the other MSAs (IE31: C_COL_NAT).

8.3.4 Reception of reference data (UC1.06)

The reception of the RD from the CD CS will be ReStricted from the SUP, since the validation will be performed against the data in the e-AAD.

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
SUP SCOPE	

8.3.4.1 Impact on SUP

The SUP ND CS will not be able to receive from the CD CS the update message, IE734: C_RDD_DAT, and therefore it will not be possible to apply the changes in the RD to its operational reference Database.

8.4 Exclusions of System Administration

In addition to the exclusions presented in Section 5.4, the following functionalities will also be eXcluded from the SUP:

- Management of user accounts of economic operators” (UC0.02);
- Management of access rights of economic operators (UC0.04).

This means that the SUP will not provide any authentication and access control functionality for the Economic Operators (for the External Domain existing security system should be used and integrated with the SUP).

8.5 Conclusions

In Chapter 8 it is explained how the scope of FS0 is reduced into the most essential processes for the SUP operations. Summing up:

The following processes have all been eXcluded from the SUP operational scope:

- Submission of information from Consignees (UC2.06);
- Destination side functionality of reminder at expiry of time limit for report of receipt (UC2.33);
- Consultation and SEED information and reference data by Officials (UC1.22 & UC1.23);
- Consultation of (own) registration information by Economic Operators (UC1.24 & UC1.30).

The following processes have all been ReStricted from the SUP operational scope:

- Follow-up of TIM_EXP timer;
- Reception of the EOL.

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

9 In-Scope Matrices for SUP/CD CS

9.1 In-Scope EBPs Matrices

This section presents the in-scope UCs/EBPs per FESS Section for the SUP and the CD CS, as filtered by the preceding Chapter 8. Since the SUP scope is a “specialisation” of the NDEA FS0 scope (Chapter 5), the In-Scope EBPs Matrices in this section present the SUP scope in comparison to the NDEA FS0 scope in Table 5, Table 6 and Table 7. This comparative representation offers an additional illustration of the reduced functionality in the SUP scope in opposition to its “superset” NDEA FS0 scope.

The definitions of the column names in the In-Scope EBPs Matrices are presented in ANNEX A.1. Hence, for the understanding of the In-Scope EBPs Matrices in this section, the comprehension of ANNEX A.1 is a prerequisite.

Table 11 presents the in-scope FESS Section II (Core Business: [R2]) UCs/EBPs for the SUP.

Table 12 lists the in-scope FESS Section V (System Administration: [R5]) UCs/EBPs for the SUP.

Table 13 lists the in-scope FESS Section III (Seed and Reference Data: [R3]) UCs/EBPs, as executed either by the CD CS or by the SUP for its communication with the CD CS.

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

In-Scope Core Business EBPs for SUP											
UC ID	UC Name	EBP ID	EBP Name	NDEA in FS0				SUP			
				Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	Optional, Restricted, Excluded IEs	EBP Status	EBP Operation Mode (A/CA)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	Optional, Restricted, Excluded IEs	EBP Status	EBP Operation Mode (A/CA)
UC2.01	Submission and registration of e-AAD	UC201-110	Submit draft e-AAD	X:Section 5.2.2.1	X:IE815 (R:ED), RS:IE801 (S:ED, S:CD)	X		X:Section 5.2.2.1	X:IE815 (R:ED), RS:IE801 (S:ED, S:CD)	X	
		UC201-210	Check draft e-AAD								
		UC201-220	Validate e-AAD								
		UC201-120	Receive e-AAD								
		UC201-230	Start follow up								
UC2.10	Cancellation of an e-AAD by the consignor	UC201-410	Receive e-AAD at MSA of destination	X:Section 5.2.4.1	RS:IE810 (R:ED, S:ED, S:CD)	X		X:Section 5.2.4.1	RS:IE810 (R:ED, S:ED, S:CD)	X	
		UC210-110	Submit draft cancellation								
		UC210-210	Check draft cancellation								
		UC210-220	Validate cancellation of e-AAD								
		UC210-410	Receive cancellation at MSA of destination								
UC2.06	Submission of report of receipt	UC206-110	Submit draft report of receipt	SR:Section 5.2.1.1		SR	CA	X:Section 8.2.1.1, RS:Section 8.2.3.1		X	
		UC206-210	Check draft report of receipt								
		UC206-230	Validate report of receipt at MSA of destination								
		UC206-410	Receive report of receipt at MSA of dispatch								
		UC205-110	Submit draft update								
UC2.05	Change of destination	UC205-210	Check draft update	X:Section 5.2.3.1	RS:IE813 (R:ED, S:CD)	X		X:Section 5.2.3.1	RS:IE813 (R:ED, S:CD)	X	
		UC205-220	Validate update								
		UC205-120	Receive updated e-AAD								
		UC205-230	Start follow up								
		UC205-410	Receive update at former MSA of destination								
		UC205-510	Receive update at new MSA of destination								
		UC205-610	Receive update at unchanged MSA of destination								
UC2.33	Reminder at expiry of time limit for report of receipt	UC233-210	Expiry of timer	X:Section 5.2.6.1	RS:IE802 (S:ED)	X		X:Section 5.2.6.1	RS:IE802 (S:ED)	X	
		UC233-310	Receive flag								
		UC233-110	Send explanation on delay (dispatch)								
		UC233-220	Forward explanation on delay (dispatch)								
		UC233-410	Send explanation on delay (destination)								
		UC233-320	Forward explanation on delay (destination)								
UC2.17	Reminder at expiry of time for change of destination	UC217-110	Process expiry of timer	X:Section 5.2.6.1	RS:IE802 (S:ED)	X		X:Section 5.2.6.1	RS:IE802 (S:ED)	X	
UC2.51	Download of an e-AAD	UC251-110	Submit request	X:Section 5.3.2.1	RS:IE701 (R:CD), IE702, IE838 (S:CD)	M	CA	X:Section 5.3.2.1	RS:IE701 (R:CD), IE702, IE838 (S:CD)	M	CA
		UC251-210	Forward request								
		UC251-310	Perform retrieval								
		UC251-220	Register and Forward response								
		UC251-230	Forward refusal								
UC2.52	General query to retrieve an AAD	UC252-110	Submit request	X:Section 5.3.2.1	RS:IE701 (R:CD), IE702, IE821 (S:CD)	M	CA	X:Section 5.3.2.1	RS:IE701 (R:CD), IE702, IE821 (S:CD)	M	CA
		UC252-210	Forward request								
		UC252-310	Perform search								
		UC252-230	Forward response								
		UC252-220	Forward refusal								

Table 11: In-Scope Core Business EBPs for SUP

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

In-Scope System Admin EBPs for SUP									
UC ID	UC Name	EBP ID	EBP Name	NDEA in FSO			SUP		
				Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	EBP Status	EBP Operation Mode (A/CA)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	EBP Status	EBP Operation Mode (A/CA)
UC0.01	Management of user accounts of officials	UC-001-110	Manage user accounts of officials		M	CA		M	CA
UC0.03	Management of access rights of officials	UC-003-110	Manage user profiles of officials		M	CA		M	CA
		UC-003-120	Manage enrolment of officials into profiles		M	CA		M	CA
UC0.22	Configuration management and version control			X:Section 5.5	X		X:Section 5.5	X	
UC0.23	Data management			X:Section 5.5	X		X:Section 5.5	X	
UC0.24	Fallback procedures			X:Section 5.5	X		X:Section 5.5	X	
UC0.25	Audit trail			X:Section 5.5	X		X:Section 5.5	X	
UC0.26	Problem tracking			X:Section 5.5	X		X:Section 5.5	X	

Table 12: In-Scope System Admin EBPs for SUP

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

In-Scope SEED and Reference Data EBPs for SUP & CD CS															
UC ID	UC Name	EBP ID	EBP Name	Restrictions	Common Domain Central Services		NDEA in FSO			SUP					
					EBP Status	EBP Operator Mode (A/C.A.)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	Optional, Restricted, Excluded IEs	EBP Status	EBP Operator Mode (A/C.A.)	Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	Optional, Restricted, Excluded IEs	EBP Status	EBP Operator Mode (A/C.A.)	
UC1.01	Maintenance of SEED data								M	C.A.			M	C.A.	
UC1.14	Dissemination of SEED data	UC-114-110	Submit update information						M	C.A.			M	C.A.	
		UC-114-210	Check submitted changes												
		UC-114-230	Apply Changes												
		UC-114-240	Transfer Changes												
		UC-114-140	Activate Changes				X:Section 5.4.3.1	RS:IE713 (R:CD)	X		X:Section 5.4.3.1	RS:IE713 (R:CD)	X		
		UC-114-120	Receive rejection information						M	C.A.				M	C.A.
UC1.16	Re-synchronisation of SEED data	UC-116-110	Request update of register of economic operators				X:Section 5.4.2.1	RS:IE701 (S:CD)	X		X:Section 5.4.2.1	RS:IE701 (S:CD)	X		
		UC-116-210	Prepare registraton data												
		UC-116-120	Reload register of economic operators				X:Section 5.4.2.1	RS:IE713 (R:CD)	X		X:Section 5.4.2.1	RS:IE713 (R:CD)	X		
UC1.22	Consultation of SEED information by officials					O:Section 4.4.1.1		O	C.A.	X:Section 8.3.1.1			X		
UC1.24	Consultation of own registration information by an economic operator	UC-124-110	Request registration information				O:Section 4.4.2.1		O	C.A.	X:Section 8.3.2.1			X	
		UC-124-210	Send registration information						O	A/C.A.					
UC1.30	Consultation of registration information by economic operators	UC-130-110	Send request				O:Section 4.4.2.1		O	C.A.	X:Section 8.3.2.1			X	
		UC-130-210	Prepare response						O	A					
UC1.11	Maintenance and dissemination of the EOL								M	C.A.	RS:Section 8.3.3.1			M	C.A.
UC1.04	Maintenance of reference data								M	C.A.					
UC1.06	Dissemination of reference data	UC-106-110	Disseminate reference data						M	C.A.				M	C.A.
		UC-106-210	Apply changes						M	A/C.A.	RS:Section 8.3.4.1	X: IE734 (R:CD)	X		
UC1.05	Re-synchronization of reference data	UC-105-110	Send request				X:Section 5.4.1.1	RS:IE701 (S:CD)	X		X:Section 5.4.1.1	RS:IE701 (S:CD)	X		
		UC-105-210	Send reference data												
		UC-105-120	Receive reference data				X:Section 5.4.1.1	RS: IE734 (R:CD)	X		X:Section 5.4.1.1	X: IE734 (R:CD)	X		
UC1.23	Consultation of reference data by officials					O:Section 4.4.1.1		O	C.A.	X:Section 8.3.1.1			X		
UC1.13	Consultation of public reference data by economic operators	UC-113-110	Request reference data						SR	A/C.A.				SR	A/C.A.
		UC-113-210	Send reference data						SR	A/C.A.					SR

Table 13: In-Scope SEED and Reference Data EBPs for SUP & CD CS

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

9.2 In-Scope Messages Matrices

The definitions of the column names in the In-Scope Messages Matrices are presented in ANNEX A.2. Hence, for the understanding of the In-Scope Messages Matrices in this section, the comprehension of ANNEX A.2 is a prerequisite.

Table 14 presents all in-scope messages that are sent or received from the SUP.

Table 15 presents the in-scope messages that are exchanged between the CD CS.

Table 16 lists the in-scope information exchanges between the SUP and the CD CS.

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

In-Scope Messages Exchanged from/to SUP											
IE	Name	Reference	SUP								
			S e n d	R e c e i v e	D o m a i n	M S A	Exchange Mechanism			EDI Format	
							C N / C S I	E m a i l B a s e d I n t e r f a c e	W e b B a s e d I n t e r f a c e	X M L	C N / C S I
IE701	common request	C_REQ_SUB	Y	N	CD	N	M			M	
IE702	refusal of common request	C_REQ_REF	N	Y	CD	N	M			M	
IE705	external request	E_REQ_SUB	N	Y	ED	Y		R	SR	SR	
IE733	external list of codes	E_COD_DAT	N	Y	ED	Y		R	SR	SR	
IE801	e-AAD	C_AAD_VAL	N	Y	CD	N	M			M	
IE801	e-AAD	C_AAD_VAL	Y	N	ED	Y		R	SR	SR	
IE704	generic refusal message	N_REJ_DAT	Y	N	ED	Y		R	SR	SR	
IE810	cancellation of e-AAD	C_CAN_DAT	N	Y	CD	N	M			M	
IE810	cancellation of e-AAD	C_CAN_DAT	Y	N	ED	Y		R	SR	SR	
IE818	accepted or rejected report of receipt	C_DEL_DAT	Y	N	CD	N	M			M	
IE818	accepted or rejected report of receipt	C_DEL_DAT	N	Y	ED	Y		R	SR	SR	
IE802	reminder message for Excise movement	C_EXC_REM	N	Y	CD	N	M			M	
IE837	explanation on delay for delivery	C_DEL_EXP	N	Y	CD	N	M			M	
IE803	notification of diverted e-AAD	C_AAD_NOT	Y	N	ED	Y		R	SR	SR	
IE813	change of destination	C_CHA_DAT	N	Y	CD	N	M			M	
IE813	change of destination	C_CHA_DAT	Y	N	ED	Y		R	SR	SR	
IE821	list of AAD as result of a general query	C_LST_VAL	N	Y	CD	N	M			M	
IE904	status request	C_STD_REQ	Y	Y	CD	N	M			M	
IE905	status response	C_STD_RSP	Y	Y	CD	N	M			M	
IE934	packaging data	C_PAC_DAT	N	Y	CD	N	M			M	
IE917	negative acknowledgement of XML receipt	C_XML_NAC	Y	Y	CD	N	M			M	
IE917	negative acknowledgement of XML receipt	C_XML_NAC	Y	N	ED	Y		R	SR	SR	
IE906	functional NACK	C_FUN_NCK	Y	Y	CD	N	M			M	
IE908	confirm on delivery acknowledgement	C_COD_ACK	Y	Y	CD	N	M				M
IE909	confirm on arrival acknowledgement	C_COA_ACK	Y	Y	CD						M
IE910	expiration notification	C_EXP_NOT	Y	Y	CD						M
IE911	exception notification	C_EXC_NOT	Y	Y	CD						M

Table 14: In-Scope Messages Exchanged from/to SUP

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

In-Scope Messages Exchanged between CD CS																
IE	Name	Reference	SEED						CSRD							
			S e n d	R e c e i v e	D o m a i n	Exchange Mechanism			EDI Format	S e n d	R e c e i v e	D o m a i n	Exchange Mechanism			EDI Format
						C C N / C S I	E m a i l B a s e d I n t e r f a c e	W e b B a s e d I n t e r f a c e	X M L				C C N / C S I	E m a i l B a s e d I n t e r f a c e	W e b B a s e d I n t e r f a c e	X M L
IE931	COL DATA	C_COL_DAT	N	Y	CD	M			M	Y	N	CD			M	
IE932	COMMON RD DATA	C_REF_DAT	N	Y	CD	M			M	Y	N	CD			M	
IE914	COL REQUEST	C_COL_REQ	Y	N	CD	M			M	N	Y	CD			M	
IE916	COMMON RD REQUEST	C_REF_REQ	Y	N	CD	M			M	N	Y	CD			M	

Table 15: In-Scope Messages Exchanged between CD CS

EMCS PHASE 2, TAXATION, CUSTOMS UNION, DG,	TAXATION AND CUSTOMS UNION DG
SCOPE DOCUMENT FOR EMCS PHASE 2	VER: 2.13-EN
IN-SCOPE MATRICES FOR SUP/CD CS	

In-Scope Messages Exchanged between SUP-CD CS																
IE	Name	Reference	S e n d	R e c e i v e	D o m a i n	SUP				S e n d	R e c e i v e	D o m a i n	Central Services			
						Exchange Mechanism		EDI Format					Exchange Mechanism		EDI Format	
						C	W	X	C				C	W	X	C
						C	W	X	C				C	W	X	C
						C	e	M	C				C	e	M	C
						N	b	L	N				N	b	L	N
						/	B	/	/				/	B	/	/
						S	a	C	C				S	a	C	C
						I	s	S	I				I	s	S	I
							e							e		
IE30	notification of customs offices modification to common domain	C_COL_COM	Y	N	CD	M		M		N	Y	CD	M		M	
IE31	notification of customs offices modification to national domain	C_COL_NAT								Y	N	CD	M		M	
IE713	incremental update or full register of economic operators	C_QRO_DAT	Y	N	CD	M	O	M		Y	Y	CD	M	M	M	
IE714	refusal of update of economic operators	C_QRO_REF	N	Y	CD	M	O	M		Y	N	CD	M	M	M	
IE906	functional NACK	C_FUN_NCK	N	Y	CD	M	O	M		Y	N	CD	M	M	M	
IE917	negative acknowledgement of XML receipt	C_XML_NAC	N	Y	CD	M	O	M		Y	N	CD	M	M	M	
IE908	confirm on delivery acknowledgement	C_COD_ACK	Y	Y	CD	M			M	Y	Y	CD	M			M
IE909	confirm on arrival acknowledgement	C_COA_ACK	Y	Y	CD	M			M	Y	Y	CD	M			M
IE910	expiration notification	C_EXP_NOT	Y	Y	CD	M			M	Y	Y	CD	M			M
IE911	exception notification	C_EXC_NOT	Y	Y	CD	M			M	Y	Y	CD	M			M

Table 16: In-Scope Messages Exchanged between SUP-CD CS

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A.1 In-Scope EBPs Matrix

Column Name	Column Content Description	Possible values
UC ID	The FESS identifier of the UC.	FESS UC ID
UC Name	The FESS name of the UC.	FESS UC Name
EBP ID	The FESS identifier of the EBP.	FESS EBP ID
EBP Name	The FESS identifier of the EBP.	FESS EBP Name
Exclusions, Optionalities, Recommendations, Restrictions, Dependencies	The section within the document, where the eXcluded (X), Optional (O), Recommended (R), Strongly Recommended (SR), ReStRicted (RS) or Dependant (D) functionality is discussed.	X/O/R/SR/RS/D : Section #
Optional, ReStRicted, eXcluded IEs	<p>The messages involved in the EBPs and which are Optional (O), ReStRicted (RS) or eXcluded (X). In particular:</p> <p>“O” is used to indicate that the Sending (S) or Reception (R) of the message over the ED or the CD, as specified in the format S/R:CD/ED, is Optional as a result of the Optional implementation of the corresponding EBP.</p> <p>“RS” is used to indicate that the Sending (S) or Reception (R) of the message over the ED or the CD, as specified in the format S/R:CD/ED, is not supported in the context of the corresponding EBP due to the latter’s eXcluded or ReStRicted functionality. However, the message itself is within the operational scope of the application in the context of another EBP that is in-scope.</p> <p>“X” is used to indicate that the message is not in the operational scope of the application.</p>	O:/RS:/X: IE + FESS Code (S/R:CD/ED)
EBP Status	The status of the EBP in each EMCS FS. X,	X, M, RC, SRC,

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Column Name	Column Content Description	Possible values
	M, R, SR and O mean, respectively, that the process to be implemented is either eXcluded from or included in the scope of the specific EMCS FS as Mandatory, Recommended, Strongly Recommended or Optional.	RS, O
EBP Operation Mode.	<p>The degree of automation of the EBP.</p> <p>The term Automatic (A) is used only for those processes that are fully automated, namely they are performed in their entirety by the system without any user involvement (namely, the process does not describe any user action outside the system) or interaction with the system (namely, the process does not involve any data entry or other manual action on the system).</p> <p>The term Computer Assisted (CA) is used for those processes that combine automatic processing with user involvement (any human action outside the system) and/or interaction with the system (any human action on the system, such as data entry).</p>	A, CA

Table 17: Column Names of In-Scope EBPs Matrices

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A.2 In-Scope Messages Matrix

Columns Name	Columns content description	Possible Values
IE	The IE identifier as defined in the FESS Appendix D (Functional Messages: [R9]).	IE+FESS Code
Name	The name of the IE as defined in the FESS Appendix D (Functional Messages: [R9]).	FESS IE Name
Reference	The reference of the IE as defined in the FESS Appendix D (Functional Messages: [R9]). IE starting with N_ and C_ are messages exchanged, respectively, in the ND and CD.	FESS IE Reference
NDEA in FS0/NDEA in FS1/SUP/SEED/CSRD/Central Services	<p>This section defines which IEs are within the scope of the following EMCS applications:</p> <ul style="list-style-type: none"> • An NDEA in FS0; • An NDEA in FS1; • The SUP; • The CD CS: SEED and (NCTS) CSRD. 	
Send	<p>This column determines if the construction and the sending of the IE have to be processed.</p> <p>The attribute is set to Yes (Y) if the application in question generates and sends a specific message to its communicating application, whereas it is set to No (N) when it does not. A blank cell means that the message is not applicable to the application in question.</p>	Y, N, blank
Receive	<p>This column determines if the reception and the processing of the IE have to be implemented.</p> <p>The attribute is set to Yes (Y) if the application in question must be able to receive and process a specific message, whereas it is set to No (N) when it must not. A blank cell means that the message is not applicable to the application in</p>	Y, N, blank

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Columns Name	Columns content description	Possible Values
	question.	
Domain	The communication Domain, ED or CD, over which a specific message is being exchanged. A blank cell means that the message is not applicable to the application in question.	ED, CD, blank
MSA	The MSA attribute is applicable only for an NDEA in FS0/FS1 and for the SUP. It is used as an indication of whether the selection of the "Exchange Mechanism" and of the "EDI Format" is a national issue, in which case the attribute is set to Yes (Y), or the MSA is obliged to comply with a specific "Exchange Mechanism" and "EDI Format", in which case the attribute is set to No (N). A blank cell means that the message is not applicable to the application in question.	Y, N, blank
<i>Exchange Mechanism</i>	<i>This sub-section defines the exchange mechanism for the IE: CCN/CSI (Common Communications Network/Common Systems Interface), Email Based Interface, Web Based Interface, up to the MSA (please, refer to the MSA attribute above).</i>	
CCN/CSI	This attribute determines if the IE is exchanged via CCN/CSI. An "M" means that the IE has to be exchanged via CCN/CSI. The CCN/CSI exchange mechanism is specified in the body of the Design Document for National Excise Applications (DDNEA) ¹² . A blank cell means that the use of CCN/CSI is not an option.	M, blank
Email Based Interface	This attribute determines if the IE is exchanged using an e-mail based protocol, such as, Simple Mail Transfer Protocol (SMTP) and X400. "M", "R", "SR" and "O" mean, respectively, that an e-mail based protocol is Mandatory, Recommended, Strongly Recommended or	M, R, SR, O, blank

¹² The DDNEA will be issued at a later stage according to the plan.

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Columns Name	Columns content description	Possible Values
	Optional. A blank cell means that the availability of an e-mail based interface is not an option.	
Web Based Interface	<p>This attribute determines if the IE is exchanged using the Web exchange mechanism specified in the DDNEA.</p> <p>“M”, “R”, “SR” and “O” mean, respectively, that a Web exchange mechanism is Mandatory, Recommended, Strongly Recommended or Optional. A blank cell means that the IE exchange via Internet is not an option.</p>	M, R, SR, O, blank
<i>EDI Format</i>	<i>This sub-section defines the EDI format used for the IE: (Extensible Mark-up Language) XML, CCN/CSI or up to the MSA (please, refer to the MSA attribute above).</i>	
XML	<p>This attribute determines if the IE has to be formatted according to XML. These IEs are specified in the DDNEA.</p> <p>An “M” means that the MSA must implement the IE in XML, an “R” or an “SR” means that the MSA is Recommended or Strongly Recommended to implement the IE according to the XML format. A blank cell means that the XML format is not an option.</p>	M, R, SR, blank
CCN/CSI	<p>This column determines if the IE has to be formatted according to the CCN message internal structure.</p> <p>An “M” means that the MSA must implement the IE via CCN/CSI, an “R” or a “SR” means that the MSA is Recommended or Strongly Recommended to implement the IE according to the CCN/CSI format. A blank cell means that the CCN message internal structure is not an option.</p>	M, R, SR, blank

Table 18: Column Names of In-Scope Messages Matrices