DG TAXUD

ICS2 Pre-arrival referral guidance

ICS2

Date:	21.11.2022
Doc. Version:	1.00

General disclaimer

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

Document Control Information

Settings	Value
Document Title:	ICS2 Pre-arrival referral guidance
Project Title:	ICS2
Document Author:	ICS2 Expert Group – Pre-arrival referral guidance
Project Owner:	DG TAXUD Unit A3
Project Manager:	DG TAXUD Unit A3
Doc. Version:	1.00
Sensitivity:	Publicly available (PA)
Date:	21.11.2022

Document Approver(s) and Reviewer(s):

NOTE: All Approvers are required. Records of each approver must be maintained. All Reviewers in the list are considered required unless explicitly listed as Optional.

Name	Role	Action	Date
Customs Expert Group – Controls and Risk Management (CEG-CRM)	Reviewer	Approve	22.11.2022
TCG	Reviewer	Review	21.11.2022

Document history:

The Document Author is authorized to make the following types of changes to the document without requiring that the document be re-approved:

- Editorial, formatting, and spelling
- Clarification

To request a change to this document, contact the Document Author or Owner.

Changes to this document are summarized in the following table in reverse chronological order (latest version first).

Revision	Date	Created by	Short Description of Changes
1.00	21.11.2022	DG TAXUD	Implementation of Member State and Economic Operator comments in Chapter 3 and sections 3.3., 3.4.2. Document prepared to be sent out for approval.
0.50	11.10.2022	DG TAXUD	Draft version after ICS2 Expert Group – Pre-arrival referral guidance meeting on 29.09.2022 sent out for CEG-CRM and TCG review.
0.40	05.10.2022	DG TAXUD	Draft version after ICS2 Expert Group – Pre-arrival referral guidance meeting on 29.09.2022 sent out for DG TAXUD review.
0.30	27.09.2022	DG TAXUD	Implementation of comments received before the last ICS2 Expert Group – Pre-arrival referral guidance meeting.
0.20	07.09.2022	DG TAXUD	Draft version after ICS2 Expert Group – Pre-arrival referral guidance meeting on 15.06.2022 and 28.07.2022.
0.10	31.05.2022	DG TAXUD	Draft version before ICS2 Expert Group – Pre-arrival referral guidance meeting

TABLE OF CONTENTS

TABLE OF TABLES

TABLE OF FIGURES

1 INTRODUCTION

1.1 Purpose

The purpose of this document is to provide and to develop a referral guidance in more operational detail for the pre-arrival phase of ICS2 Release 2, which is scheduled for 1 March 2023.

Its aim is to provide guidance in organising the steps and measures that need to be taken by the concerned stakeholders (Member States (MSs) and Economic Operators (EOs)) to efficiently issue referral requests that might arise during security and safety (or pre-arrival) risk analysis and respond to those referral requests to finalise the pre-arrival risk analysis by the Member States.

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

1.2 Scope

This document provides an operational guidance for the security and safety (or pre-arrival) referrals process implemented within the EU ICS2 system and the operational environment of the involved stakeholders. It also explains fall-back procedures and communication channels where the ICS2 components (all, central, customs and/or the economic operator) are not available to execute the processes in an automated way.

The document does not cover the other parts of the use of the ICS2 system: lodging of the ENS and related data requirements, validation, rejection and registration of the ENS filings, detailed content of referrals and risk analysis outcomes messages, risk analysis processes between the customs authorities, etc. These aspects are or will be covered by other artefacts of the ICS2 Implementation Guidance Compendium.

1.3 Target Audience

The intended audience for this document are:

- the representatives of the Member States,
- the representatives of the Trade Associations and their members;
- any person involved in the ICS2 project;
- any person lodging an ENS.

1.4 Structure of this document

The present document contains the following chapters:

- **Chapter 1 – Introduction**: describes the scope and the purpose of the document;
- **Chapter 2 – Roles and Responsibilities**: describes in detail the roles of involved parties in pre-arrival referral process.
- **Chapter 3 – Roles and responsibilities**

• Role	Responsibility
Carrier (Master level filer)	Carrier (Master level filer) is responsible for: • referral requests issued to the master level information in the ENS; • providing documents being at the disposal of master level filer (for more details please see section 3.3.3.1.4); • providing all the documents and information requested if it has lodged both house and master level information.
House level filer	House level filer is responsible for providing: • responses to the referral requests on postal consignments declared by house level filer (designated postal operator); • responses to the referral requests on house level information declared by that house level filer; • documents being at the disposal of house level filer.

Member State	MS is responsible for:
	• security and safety risk analysis;
	• issuance of pre-arrival referral request to EO(s);
	• to distinguish whether information should be requested to ENS house level filer or master level filer;
	• assessment of information provided by EO to referral request;

Table 4: Roles and responsibilities

- Pre-arrival referral processes: describes in detail the referral process, messages exchanged and codes to be used;

- **Chapter 4 – Fall-back procedures:** explains the procedure to be followed in case of the unavailability of the IT systems;

1.5 Reference and applicable documents

1.5.1 Reference Documents

Ref.	Title	Reference	Version	Date
R01	ICS2 Common Functional System Specifications	ICS2 CFSS	2.02	23.05.2022
R02	ICS2 Business Continuity Plan for Member States	ICS2-BCP-MS	1.30	06.10.2022
R03	ICS2 Business Continuity Plan for Economic operators	ICS2-BCP-EO	1.10	06.10.2022
R04	ICS2 Shared trader interface Shared trader portal User Manual	ICS2 STI STP UM	1.61	29.04.2022
R05	COMMISSION DELEGATED REGULATION (EU) 2015/2446 of 28 July 2015 supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards detailed rules concerning certain provisions of the Union Customs Code	UCC DA		28.07.2015

Table 1: Reference documents

1.6 Abbreviations and Acronyms

Abbreviation/Acronym	Definition
AC	Assessment Complete
AMD	Referral request type 'Request to amend ENS filing'
CFSS	Common Functional System Specifications
CUS	Identifier of chemicals in the European Customs Inventory of Chemical Substances tool
ENS	Entry Summary Declaration
EO	Economic operator
EU	European Union
HAWB	House air waybill
HRCM	High Risk Cargo and Mail
ICS2	Import Control System 2
IE	Information exchange
MAWB	Master air waybill
MS	Member State
PLACI	Pre-loading advance cargo information
RA	Risk analysis
RfI	Request for Information
RFI	Referral request type 'Request for information'

Table 2: Abbreviations and acronyms

1.7 Definitions

Term	Definition
Entry Summary Declaration (ENS)	The entry summary declaration contains advance security and safety data (advance cargo information) about consignments entering the EU. It must be lodged at the first customs office of entry to the EU by the carrier of the goods (or representative of the carrier or importer).
House level filer	House level filer is an entity authorised to carry out operations related to shipment of house consignments or person having at its disposal all the necessary data elements to lodge ENS filing, e.g., postal operator, freight forwarder, ground handling agent, importer.
Master level filer	Master level filer in the context of this guidance is person (usually carrier) that bring consignments into customs territory of EU and has legal obligation to lodge an ENS or particular ENS filings in his/her own name containing the movement related information.
Member States	All European Union Member States and other countries and territories applying EU customs legislation.
Security and safety/ pre-arrival risk analysis	The definition of risk is set out in article 5(7) of Regulation (EU) No 952/2013 of the European Parliament and of the Council. Safety and Security risks concern threats with serious implications for the security, people's health and wellbeing, as well as the environment. This category includes any goods, components and materials being mis declared, or transported under suspicious circumstances, or that could be used for illicit purposes, for example related to terrorist or organised criminal activity that must be tackled as soon as possible. Some obvious examples are weapons, explosives, dual-use goods, biological, chemical and radiological nuclear cargo, contaminated goods, goods containing excess levels of carcinogens or other health threatening elements, such as narcotics, drug precursors, counterfeited medicines/ foodstuff/ beverages or other unsafe products for personal use.

Table 3: Definitions

2 ROLES AND RESPONSIBILITIES

Role	Responsibility
Carrier (Master level filer)	Carrier (Master level filer) is responsible for: • referral requests issued to the master level information in the ENS; • providing documents being at the disposal of master level filer (for more details please see section 3.3.3.1.4); • providing all the documents and information requested if it has lodged both house and master level information.
House level filer	House level filer is responsible for providing: • responses to the referral requests on postal consignments declared by house level filer (designated postal operator); • responses to the referral requests on house level information declared by that house level filer; • documents being at the disposal of house level filer.
Member State	MS is responsible for: • security and safety risk analysis; • issuance of pre-arrival referral request to EO(s); • to distinguish whether information should be requested to ENS house level filer or master level filer; • assessment of information provided by EO to referral request;

Table 4: Roles and responsibilities

3   PRE-ARRIVAL REFERRAL PROCESSES

Pre-arrival risk analysis is performed by the MS where the EO has legal obligation to lodge the ENS and where applicable in collaboration with other involved MSs. If the automated risk analysis has resulted in one or more risk hits, MSs will manually assess the threats identified and if necessary, can take the decision to request additional information to mitigate risks identified.

The security and safety risk assessment (hereinafter pre-arrival risk analysis) is focused on the detection of potential threats to security and safety, meaning it complements the first line of defence in terms of protection of the EU internal market and the EU consumers from high-risk consignments. In case goods are transported by air, ENS or ENS filings composing full ENS should be lodged as soon as possible (as per UCC DA Article 106 [R05]) in order MS could finalise risk analysis before arrival of means of transport in the customs territory of EU. The pre-arrival risk analysis process is triggered when all ENS filings are lodged to compose full ENS and MS has finalised pre-loading risk analysis for all house and/or PLACI ENS filings associated to that ENS [R01]. In case full ENS is composed after time limits mentioned above the time allocated to complete risk analysis will be extended to give minimum time needed for customs authorities to finalise risk analysis.

3.1   Pre-arrival risk analysis

During the pre-arrival risk analysis customs should consider the issuance of referral requests making sure that it does not unnecessarily impede or delay the flow of cargo movements through the supply chain. Where customs authority notifies the EO that it has unresolved concerns arising from pre-arrival risk analysis that relate to protection of EU citizens and the internal market against security and safety threats, the requested information should be provided by the EO to customs to be able to define proper follow-up to mitigate those risks. All concerned stakeholders will deploy the best endeavour to send the AC, RfI and RfI responses messages.

Referral scenarios
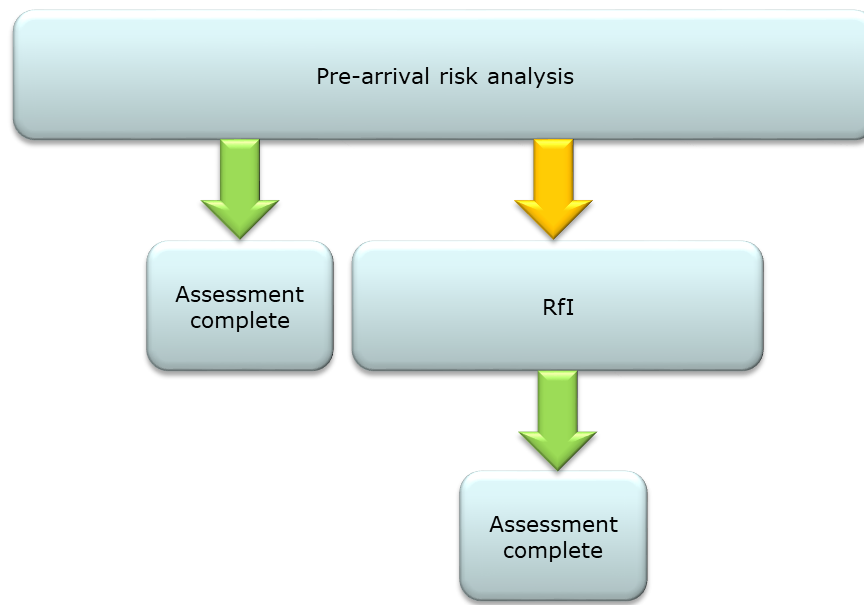
Figure 1: Overview of the pre-arrival referral scenarios

It is important to underline that a referral request will always require a response from the EO, irrespective of the follow-up to the referral. **The response from the EO to a referral request is mandatory** to close the case and issue assessment complete. The EO's response to a referral request does not automatically lead to the completion of the customs risk analysis. The customs authority will include the information obtained from the response of referral into their ongoing risk analysis process and will conclude that process with assessment complete (AC) message. The EO's response to the referral request should thus not be equated with an AC message, and the latter is not an indication of the actual result of pre-arrival risk analysis carried out by customs. Resolving a referral is part of the completion of the risk analysis process.
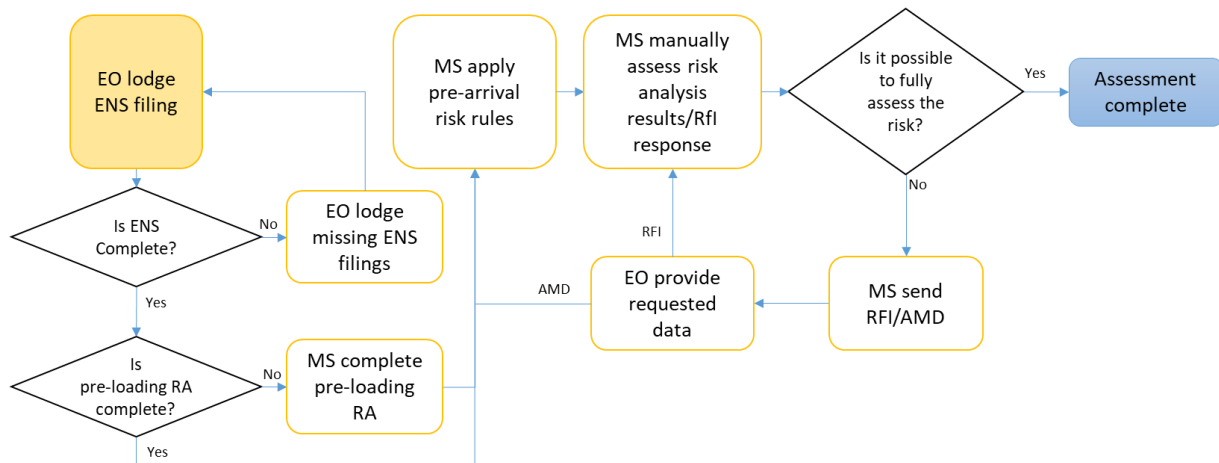
Figure 2: Pre-arrival referral process

3.2 No further action – Assessment complete (AC)

The pre-arrival risk analysis processes being successfully completed will be confirmed through an AC message.

Based on available experiences, it is expected that AC notification will be communicated in a large majority of cases on a purely automated basis, without any intervention by the human factor i.e. the customs risk analyst.

An AC message is sent by ICS2 to the EO filing the ENS (master level) data and, if different from the person filing the ENS, the carrier. An AC receipt by the EO and/or carrier is optional[1]. AC is issued for an ENS.

Message IE3N03 content

| Occurs	Data class/element	Explanation
	IE3N03	
1..1	**MRN**	Registration number of the ENS filing
1..1	**Completion date**	Date of completion of the risk assessment
0..1	**Assessment complete**	
0..999	**Receptacle**	
1..1	**Receptacle identification number**	Receptacle identification number for postal consignments only, if applicable
0..99999	**Transport document (House level)**	
1..1	**Reference number**	Reference number of the transport document (HAWB, postal item number), if applicable
1..1	**Type**	Type of the transport document, if applicable
0..9999	**Transport equipment**	
1..1	**Container identification number**	Not to be used in the pre-arrival
1..1	**Responsible Member State**	
1..1	**Country**	Member State responsible for the pre-arrival risk assessment
0..1	**Representative**	
1..1	**Identification number**	EORI number of the representative (if declared in the ENS filing)
0..1	**Transport document (Master level)**	
1..1	**Reference number**	Reference number of the transport document (MAWB)
1..1	**Type**	Type of the transport document

---

[1] For details relating to the messages and technical possibilities of the EO filing ENS to activate or dis-activate the AC messages, see ICS2 STI STP User Manual [R04].

0..1	Carrier	
1..1	Identification number	EORI number of the carrier
0..1	Declarant	
1..1	Identification number	EORI number of the declarant

Table 5: Message IE3N03

In case new intelligence arises, the assessment complete may still be followed by a RfI. In such case EOs are obliged to follow-up and fully comply to the referrals even if AC had already been issued earlier.

3.3 Request for Information (RfI)

A referral request should be sent for ENS when it is not possible to fully assess the risk to security and safety with the information contained in the ENS filing (Master and/or House level). Such requests should be communicated by the customs authorities to the EO (declarant/representative indicated in corresponding ENS filing) as soon as possible.

The EO should respond with the information requested as soon as possible, to enable the authorities to perform the risk assessment. Some EOs may provide customs authorities in charge of risk assessment access to their internal systems to reduce the need for referrals. During this process, cargo can continue to move through the supply chain.

3.3.1 Organisational and operational availability requirements

All actors need to provide necessary organisational and operational availability, as follows:

Customs authority as a sender of the referral request needs to provide:

- **24/7 availability;**

- **Operational availability and contact details of customs authority.**

EO as a recipient of the referral request needs to provide:

- **preferably 24/7 centralised/single point of contact** to facilitate quick responses to referral requests received. If the EO cannot ensure 24/7 availability it will result in delayed ICS2 business processes – delayed risk analysis results, controls etc.;

- **the EO needs to ensure to have access to the information and documents** available in their systems likely to be requested and EO having established operational processes to respond to the request;

- **interfacing with the ICS2 or in the case of postal model**, also interface between origin and destination designated operators is compulsory, to support all required message exchange.

3.3.2 Language to be used

Whenever free text is used in exchanges, or during contacts between senders and recipients of requests, **use of English language is strongly recommended** (in particular to avoid situations where actors involved in the process would lose time due to a need to translate).

3.3.3 RfI request message (IE3Q02)

The referral request is to be communicated via the ICS2 to the EO that has lodged the ENS filing and has the necessary data at its disposal. Meaning, during pre-arrival risk analysis referral request can be issued by customs authority to master and/or house level filer in order to obtain necessary information to finalise security and safety risk analysis. To do that customs authority in referral request message should indicate at least particular risk analysis request reference and:

- declarant and reference of the transport document (house level) of house ENS filing if referral request should be forwarded to EO that has lodged ENS house level filing;

- declarant and reference of the transport document (master level) of master ENS filing if referral request should be forwarded to EO that has lodged ENS full or master level filing.

There are two types of request that customs authority can decide to issue in the referral request message, depending on the reasons behind:

− request either additional information (RFI) to be provided by the EO, or
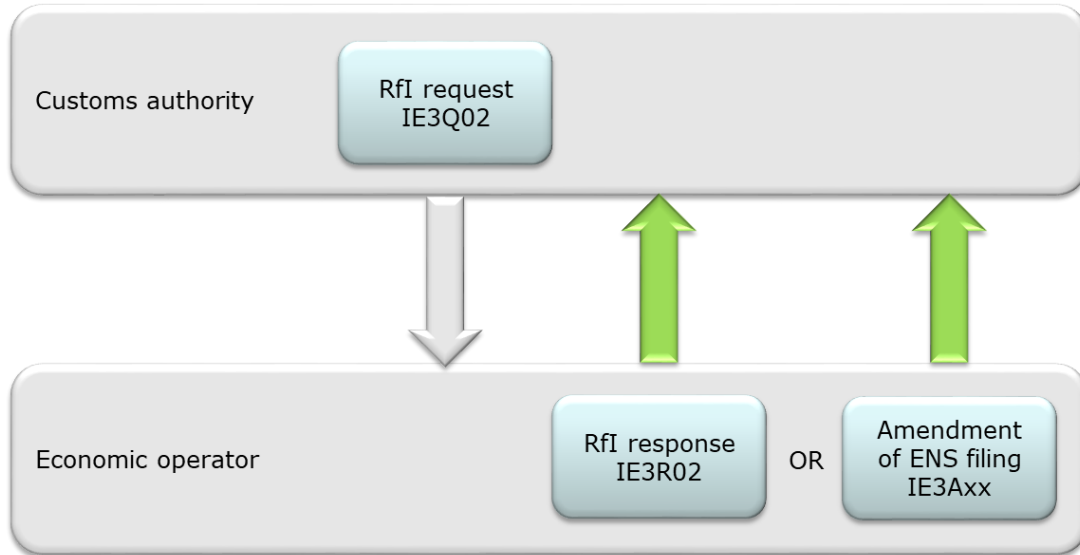− an amendment of the ENS filing (AMD).

Figure 3: RfI message exchange

These two types of requests can be issued independently, there is no general rule of cascading. However, in some specific cases, the customs authorities may follow-up after receipt of the additional information with the RfI requesting the EO to amend the filing.

Some economic operators may provide to customs authorities in charge of risk assessment access to their internal systems to reduce the need for referrals. The choice to make use of this possibility is optional and subject to an agreement between the customs authority in charge of risk analysis and the EO, as well as of being case by case driven.

3.3.3.1 Request for additional information (RFI)

Request for additional information is issued where there is a need for expansion/elaboration of the already provided ENS data allowing customs authority to have more background information by providing adequate data (e.g. based on MAWB, HAWB, consolidated cargo manifest, commercial invoice etc.) and/or supporting documents. In addition, customs authority can request master and/or house level filer to provide EORI number of actor declared in ENS filing if according to the information being at the disposal of customs authority that actor is granted with EORI number but master and/or house level has not declared it.

This message will be triggered by a manual process (on the customs authority side) when a specific risk has been presented to the risk analyst after an outcome of an automated risk assessment. Request for additional information is not meant to request EO to provide information that is optional to be provided in ENS filing.

The response by the EO to this request will be included into the manual targeting process of an ongoing risk analysis.

3.3.3.1.1 Message IE3Q02 content

Occurs	Data class/element	Explanation
	IE3Q02	
1..1	**Document issue date**	The date of the RfI request
1..1	**MRN**	Registration number of the ENS filing
1..1	**Responsible Member State**	
1..1	**Country**	Member State which is issuing the RfI

0..1	**Representative**	
1..1	**Identification number**	EORI number of the representative (if declared in the ENS filing)
1..1	**Declarant**	
1..1	**Identification number**	EORI number of the declarant
1..999	**Referral request details**	See 3.3.3.1.2 Referral request details For customs authority to be able to link requested information with provided response it is strongly recommended that new referral request reference is used by customs authority for each additional information code. If the cardinality of the referral request details is not sufficient to issue referrals, it is recommended to issue multiple additional information codes for the same source of information, e.g. F603 and F604 for the same goods item could be requested under one referral request reference. Supporting documents request details
1..1	**Referral request reference**	Unique identifier of the referral request
1..1	**Request type**	When RfI is issued requesting additional information to be provided, the code 'RFI' will be used
0..1	**Transport document (House level)**	
1..1	**Reference number**	Reference number of the transport document (HAWB, postal item number)
1..1	**Type**	Type of the transport document
0..1	**Transport document (Master level)**	
1..1	**Reference number**	Reference number of the transport document (MAWB)
1..1	**Type**	Type of the transport document
0..99	**Supporting documents**	See 3.3.3.1.3 Referral request details For customs authority to be able to link requested information with provided response it is strongly recommended that new referral request reference is used by customs authority for each additional information code. If the cardinality of the referral request details is not sufficient to issue referrals, it is recommended to issue multiple additional information codes for the same source of information, e.g. F603 and F604 for the same goods item could be requested under one referral request reference. Supporting documents
1..1	**Reference number**	Reference number of the supporting document as declared in the ENS filing
1..1	**Type**	Type of the document as declared in the ENS filing
0..99	**Additional information**	See 3.3.3.1.4 Additional information
0..1	**Code**	Codes from section 3.3.3.1.4 can be used
0..1	**Text**	Free text field to complement information provided under additional information code (if necessary).
0..1	**Information type**	Default code 'R1' will be used
0..1	**Pointer**	
1..1	**Message element path**	Message element path to identify data class/element being the reason to issue referral request.

Table 6: Message IE3Q02 (RFI)

3.3.3.1.2   Referral request details

For customs authority to be able to link requested information with provided response it is strongly recommended that new referral request reference is used by customs authority for each additional information code. If the cardinality of the referral request details is not sufficient to issue referrals, it is recommended to

issue multiple additional information codes for the same source of information, e.g. F603 and F604 for the same goods item could be requested under one referral request reference.

3.3.3.1.3   Supporting documents

This class will be used in case the supporting documents are declared in the ENS filing and the risk analyst needs only the binary image of a specific document to be provided. In this case the type and the reference number of the document will be indicated.

3.3.3.1.4   Additional information

Additional information class will be used to provide the instructions of the risk analyst as to which additional information needs to be provided by the EO. This class can be repeated several times to issue multiple instructions for the same data class/data element in ENS.

Customs authorities should avoid usage of "**Additional information text:**" as much as possible to facilitate referral process with exception for codes mentioned in this section under "**Additional information text:**". Additional information should not be requested as part of this type of referral request on optional sub-fields within ENS nevertheless, customs authority can request EO to confirm optional data declared in ENS with exceptions for contact details – customs authority can request EO to provide contact details such as phone (landline or mobile phone) numbers or e-mail addresses of the persons being declared in ENS.

Additional information code:

Code	Description
F100	Provide phone number and e-mail address(es) of consignor
F101	Confirm that declared consignor name is correct
F102	Confirm that declared consignor identification number is correct
F103	Confirm that declared consignor type of person (legal or natural person) is correct
F104	Confirm that declared consignor address is correct
F200	Provide phone number and e-mail address(es) of consignee
F201	Confirm that declared consignee name is correct
F202	Confirm that declared consignee identification number is correct
F203	Confirm that declared consignee type of person (legal or natural person) is correct
F204	Confirm that declared consignee address is correct
F300	Provide phone number and e-mail address(es) of carrier is correct
F302	Confirm that declared carrier identification number is correct
F304	Confirm that declared carrier address is correct
F400	Provide phone number and e-mail address(es) of notify party is correct
F401	Confirm that declared notify party name is correct
F402	Confirm that declared notify party identification number is correct
F403	Confirm that declared notify party type of person (legal or natural person) is correct
F404	Confirm that declared that notify party address is correct
F502	Confirm that declared identification number of additional supply chain actor is correct
F505	Confirm that declared role of additional supply chain actor is correct
F600	Confirm that declared ENS data elements are correct
F601	Confirm that declared total gross mass of Consignment (master level) is correct
F602	Confirm that declared total gross mass of Consignment (house level) is correct
F603	Confirm that declared gross mass of goods item is correct
F604	Confirm that declared goods item description is correct

F605	Provide more detailed description of goods items
F606	Provide translations of goods item description in English
F607	Confirm that declared CUS code is correct
F608	Confirm that declared commodity code is correct
F609	Confirm that declared UN number of dangerous goods is correct
F610	Confirm that declared shipping marks is correct
F611	Confirm that declared number of packages is correct
F612	Confirm that declared type of packages is correct
F620	Confirm that declared method of payment for transport charges is correct
F621	Confirm that declared container identification number is correct
F622	Confirm that declared countries of routing are correct
F623	Confirm that declared transport document details are correct
F700	Provide all available documents
F801	Confirm that declared place of acceptance is correct
F802	Confirm that declared place of loading is correct
F803	Confirm that declared place of delivery is correct
F804	Confirm that declared place of unloading is correct

Table 7: Additional information request codes (RFI)

Additional information text:

This data element will be used by the risk analyst in combination with certain Additional information codes to provide more detailed information on the request. Additional information text is not used unless specified below:

Code	Text used	Description
F104	Optional	To be used by customs authority only in cases if there is a need to confirm particular data element from address data class.
F204	Optional	To be used by customs authority only in cases if there is a need to confirm particular data element from address data class.
F304	Optional	To be used by customs authority only in cases if there is a need to confirm particular data element from address data class.
F404	Optional	To be used by customs authority only in cases if there is a need to confirm particular data element from address data class.
F600	Yes	Customs authority will specify which declared information should be confirmed if not included in the list of coded values.

F6xx	Optional	ENS filings can contain both house and master level information. Customs authority should use pointer to specify for which data element request is issued nevertheless, free text also can be used to specify this.
F700	Yes	Customs authority will specify which documents they need to finalise risk analyse.

Table 8: Additional information request text (RFI)

Examples:

Code	Example of request
F204	Please provide post code of consignee. It has been declared that post code of consignee is 'NA' but in country where consignee is located post codes are used.
F607	Declared CUS code does not correspond to goods description provided. What goods are brought into territory of EU?
F700	Please provide invoice with reference number … .

Table 9: Referral request example (RFI)

List of documents that can be requested from the master level filer:

- Master Air Way Bill (MAWB);
- Consolidation Manifest;
- shippers declaration on dangerous goods.

The rest of documents should be requested to house level filer unless master level filer has lodged full ENS filing (e.g. F27). In cases when master level filer has lodged full ENS filing all the information should be requested to master level filer. In these cases it could take more time for master level filer to get requested information and provide a response.

3.3.3.2   Request for amendment (AMD)

An amendment of ENS is needed, when the quality of the ENS data are 'inadequate' or un-acceptable for risk analysis. In the case of an amendment, the risk analysis process is restarted, in particular to make the system verify with automated risk systems, and the amended file is included into the open – ongoing risk analysis case treated by the risk analyst. Customs authority should not request to amend unamendable data elements nevertheless, if there is such a need to amend unamendable data element customs authorities may do so and EO should invalidate ENS filing and lodge new one instead.

3.3.3.2.1   Message IE3Q02 content

Occurs	Data class/element	Explanation
	IE3Q02	
1..1	**Document issue date**	The date of the RfI request
1..1	**MRN**	Registration number of the ENS filing
1..1	**Responsible Member State**	
1..1	**Country**	Member State which is issuing the RfI
0..1	**Representative**	
1..1	**Identification number**	EORI number of the representative (if declared in the ENS filing)
1..1	**Declarant**	
1..1	**Identification number**	EORI number of the declarant
1..999	**Referral request details**	See 3.3.3.2.2 Referral request details
1..1	**Referral request reference**	Unique identifier of the referral request
1..1	**Request type**	When RfI is issued requesting ENS filing to be amended, the code 'AMD' will be used
0..1	**Transport document (House level)**	

1..1		**Reference number**	Reference number of the transport document (HAWB, postal item number)
1..1		**Type**	Type of the transport document
0..1	**Transport document (Master level)**		
1..1		**Reference number**	Reference number of the transport document (MAWB)
1..1		**Type**	Type of the transport document
0..99	**Supporting documents**		
1..1		**Reference number**	Reference number of the supporting document as declared in the ENS filing
1..1		**Type**	Type of the document as declared in the ENS filing
0..99	**Additional information**		See 3.3.3.2.3 Additional information
0..1		**Code**	Codes 3.3.3.2.3 can be used
0..1		**Text**	Free text field to complement information provided under additional information code (if necessary).
0..1		**Information type**	Default code 'R1' will be used
0..1	**Pointer**		
1..1		**Message element path**	Message element path to identify data class/element being the reason to issue referral request.

Table 10: Message IE3Q02 (AMD)

3.3.3.2.2   Referral request details

In order for customs authorities to link the requested information with the related response, it is strongly recommended that a new referral request reference is used by customs authority for each additional information code. If the cardinality of the referral request details is not sufficient to issue requests for information it is recommended to issue multiple additional information codes for the same source of information, e.g. request to amend A101, A102 and A103 for the same consignor can be issued under the same referral request reference.

3.3.3.2.3   Additional information

Additional information class will be used to provide the instructions of the risk analyst as to which data elements of the ENS data need to be amended by the EO. This class can be repeated several times to issue multiple instructions for the same ENS filing.

Additional information codes:

Code	Description
A100	Amend phone number and e-mail address(es) of consignor
A101	Amend consignor name
A102	Amend consignor identification number
A103	Amend consignor type of person (legal or natural person)
A104	Amend consignor address
A200	Amend phone number and e-mail address(es) of consignee
A201	Amend consignee name
A202	Amend consignee identification number
A203	Amend consignee type of person (legal or natural person)
A204	Amend consignee address

A300	Amend phone number and e-mail address(es) of carrier
A302	Amend carrier identification number
A304	Amend carrier address
A400	Amend phone number and e-mail address(es) of notify party
A401	Amend notify party name
A402	Amend notify party identification number
A403	Amend notify party type of person (legal or natural person)
A404	Amend that notify party address
A502	Amend identification number of additional supply chain actor
A505	Amend role of additional supply chain actor
A600	Amend ENS data elements
A601	Amend total gross mass of Consignment (master level)
A602	Amend total gross mass of Consignment (house level)
A603	Amend gross mass of goods item
A604	Amend goods item description
A605	Provide more detailed description of goods items
A606	Provide translations of goods item description in English
A607	Amend CUS code
A608	Amend commodity code
A609	Amend UN number of dangerous goods
A610	Amend shipping marks
A611	Amend number of packages
A612	Amend type of packages
A620	Amend method of payment for transport charges
A621	Amend container identification number
A622	Amend countries of routing
A623	Amend transport document details
A801	Amend place of acceptance
A802	Amend place of loading
A803	Amend place of delivery

A804	Amend place of unloading

Table 11: Additional information request codes (AMD)

Additional information text:

This data element can be used in combination with any of the Additional information code to provide more detailed information on the request.

Examples:

Code	Text	Example of request
A201	Consignee name 'Qwerty 55'	We checked our enterprise register and were not able to find company with the declared name and identification number. Verify it and provide real one via the ENS amendment.
A204	Street name is same as city name	Consignee address in which street name is same as place name. Please correct the erroneous data.
A804	Place of unloading is temporary unavailable	According to information being at our disposal place of unloading is temporary unavailable – please provide place where you will actually unload the consignments.

Table 12: Referral request example (AMD)

3.3.3.2.4   Pointer

The pointer is to be used by customs authority to identify data class/data element being the reason to issue referral request. Despite it is an optional data element it is obligatory to use it in referral request messages when referral request type is 'RFI'.

3.4 RfI response message (IE3R02)

The referral response message, in first place, has to be sent by the EO in reply to the request for additional information. In addition, this message can be sent in response to the request for amendment, in case it is not possible to fulfil the request, e.g. the EO does not have the necessary data.

The operators also can submit any information they deem necessary (e.g. additional document if available).

3.4.1 Message IE3R02 content

Occurs	Data class/element	Explanation
	IE3R02	
1..1	**Document issue date**	The date of the RfI response
1..1	**MRN**	Registration number of the ENS filing
1..1	**Responsible Member State**	
1..1	**Country**	Member State which issued the RfI
0..1	**Representative**	
1..1	**Identification number**	EORI number of the representative (if declared in the ENS filing)
0..1	**Transport document (Master level)**	
1..1	**Reference number**	Reference number of the transport document (MAWB)
1..1	**Type**	Type of the transport document
1..1	**Declarant**	
1..1	**Identification number**	EORI number of the declarant
1..999	**Additional information response**	

1..1	**Referral request reference**	Unique identifier of the referral request
0..99	**Additional information**	See 3.4.2 Additional information
0..1	**Code**	Codes 3.4.2 will be used
0..1	**Text**	
0..1	**Information type**	Default code 'R2' will be used
0..9	**Binary attachment**	See 3.4.3 Binary attachment
1..1	**Identification**	
1..1	**Filename**	
1..1	**MIME**	
0..1	**Description**	
0..1	**Transport document (House level)**	
1..1	**Reference number**	Reference number of the transport document (HAWB, postal item number)
1..1	**Type**	Type of the transport document
0..999	**HRCM screening results**	Not to be used in the pre-arrival
1..1	**Results**	
2..9	**Screening method**	Not to be used in the pre-arrival
1..1	**Method**	
0..99	**Additional information**	Not to be used in the pre-arrival
0..1	**Code**	
0..1	**Text**	
0..1	**Information type**	
1..1	**Authorised person**	Not to be used in the pre-arrival
1..1	**Name**	
1..1	**Identification number**	
1..1	**Type of person**	
0..9	**Binary attachment**	Not to be used in the pre-arrival
1..1	**Identification**	
1..1	**Filename**	
1..1	**MIME**	
0..1	**Description**	
0..1	**Facility place**	Not to be used in the pre-arrival
1..1	**Address**	
	...	
0..1	**Transport document (House level)**	Not to be used in the pre-arrival
1..1	**Reference number**	
1..1	**Type**	

Table 13: Message IE3R02

3.4.2 Additional information

The additional information has to be provided using the relevant codes and textual information, where relevant. The additional information class can be repeated several times to capture all the necessary codes.

Additional information code:

Code	Description
R100	Additional information is provided
R101	Declared ENS data are confirmed

R102	Documents are provided
R103	ENS amended
R200	Additional information cannot be provided
R201	Declared ENS data are not confirmed
R202	Documents cannot be provided
R203	Amendment is not possible

Table 14: Additional information response codes

Additional information text:

This data element will be used in combination with certain Additional information codes to provide the requested information or an explanation.

Code	Text used	Description
R100	Yes	The text should contain the information that was requested.
R101	No	No textual information needs to be provided.
R102	No	No textual information needs to be provided, however, the documents should be attached as binary attachments (see 3.4.3 Binary attachment). The documents can be, for example, invoice, Electronic Consignment Security Declaration, loading lists, transport documents.
R200	Yes	The text should contain the information why information requested cannot be provided and, if possible, where the information can be obtained if needed, e.g. master level filer has no information on postal consignments and this information should be requested to house level filer.
R201	Yes/No	EO can provide requested information as textual information or can decide to amend ENS filing. If decision is made to amend ENS filing it's up to EO to decide whether to submit IE3R02 or just IE3Axx message by including referral request reference in it.
R202	Yes	The text should contain the information why information requested cannot be provided and, if possible, where the information can be obtained if needed, e.g. master level filer cannot provide commercial invoice issued by house level filer and it recommend MS to request it from house level filer.
R203	Yes	The text should contain the information why amendment requested cannot be lodged.

Table 15: Additional information response text

3.4.3 Binary attachment

Document images that are to be submitted as binary attachments must be in the following format: pdf or jpeg.

3.5 Amendment of the ENS data

If customs authority requested the amendment of the ENS data or if the EO finds after verification of the ENS data that the particulars are incorrect, the amendment message (IE3Axx) has to be submitted. Customs authorities should request EOs to amend only amendable data elements. Nevertheless, if the customs authority has requested to amend unamendable data element the EO should invalidate ENS filing and lodge a new ENS

filing. If the EO cannot amend the ENS data as requested, e.g. he does not have the necessary information, then the EO should respond with IE3R02 by indicating that the requested amendment is not possible (code R203).

The Referral request reference provided in the referral request message (IE3Q02) has to be indicated in the amendment message. If this reference is not indicated, it will be considered by the customs authority that the EO has not complied with the referral request.

Occurs	Data class/element	Explanation
	IE3Axx	
1..1	**Document issue date**	
0..1	**Referral request reference**	Referral request reference received from customs authority via RfI message IE3Q02
1..1	**MRN**	
1..1	**Specific circumstance indicator**	
	…	

Table 16: Message IE3Axx

3.6 Step by step Customs process overview
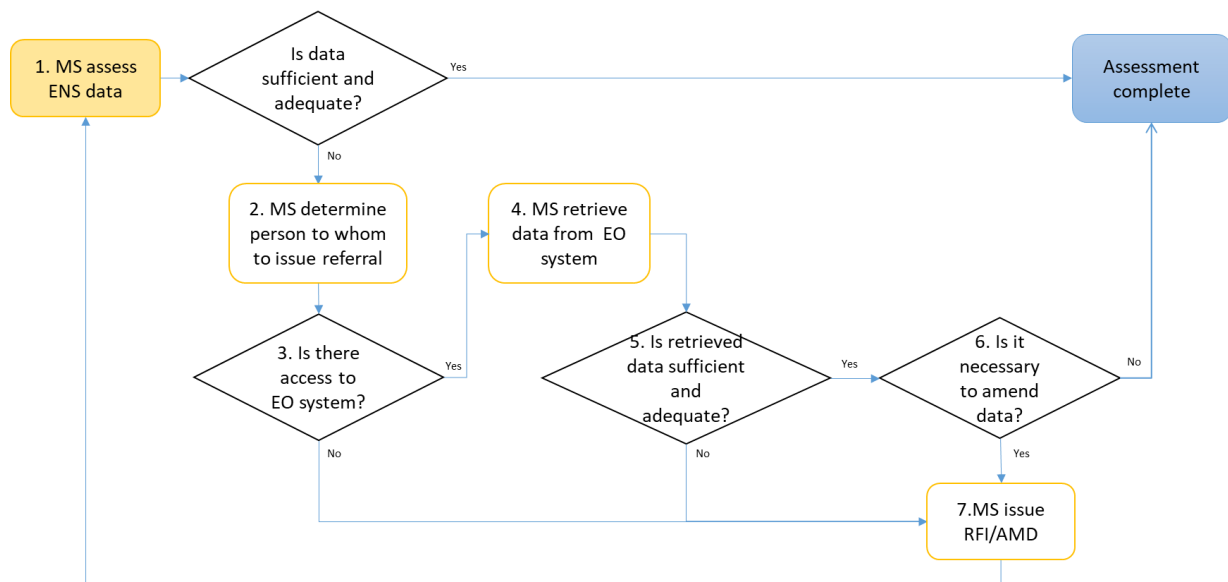
Figure 4: Customs process for issuing referral request

Step	Description	Next step
1	Customs authority assess, if the ENS data (and additional information provided by EO) is sufficient and adequate	If yes, issue AC
		If no, go to step 2
2	Customs authority determine to whom to issue referral request (master or house ENS filer).	Go to step 3
3	Is access to the EO system available (optional in agreement between Customs authority and EO)?	If yes, go to step 4
	If available, decide whether accessing the EO system might solve the data quality issues (remit of the target)	If no, go to step 7
4	Retrieve data from the EO system (optional)	Go to step 5
5	Is the information retrieved from EO system sufficient and adequate?	If yes, go to step 6
		If no, go to step 7

| 6 | Based on data retrieved, is it necessary to amend the ENS data or request additional information from EO? | If yes, go to step 7 |
| | E.g. if the name or address of consignor is different than originally indicated, that might create a new or different hit to the risk criteria | If no, issue AC |
| 7 | Issue a referral request | Go to step 1 |

Table 17: Customs process for issuing referral request
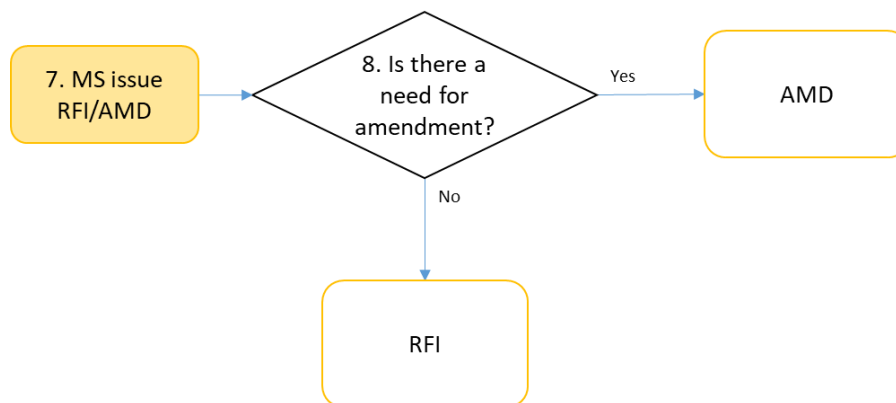
Figure 5: Customs process for issuing referral request – request type

Step	Description	Next step
7	Request for information (RfI)	Go to step 8
8	Is an amendment of ENS data necessary?	If yes, issue RfI type 'AMD' (amendment)
		If no, issue RfI type 'RFI' with relevant code (see 3.3.3.1.4)

Table 18: Customs process for issuing referral request – request type

3.7 Follow-up to sufficient feedback

Where, based on all the information, knowledge and documentation available, the assessment of the customs risk analyst leads to the conclusion that there is still a potential security and safety risk, this may lead to a decision to carry out a control at the most appropriate location (customs office of actual first entry, customs office of unloading or customs office of destination).

In the absence of sufficient feedback customs authority should take a business decision on how to proceed further. The risk analyst will have to assess the security and safety risk based on insufficient information provided and this may lead to a decision to carry out a control, to impose a penalty etc.

4 FALL-BACK PROCEDURES

In case of system unavailability the same procedures will apply but without the support of the IT tools. For more details please consult ICS2 Business Continuity Plan ([R02] and/or [R03]).

End of document