Ref. Ares(2025)11368690 - 18/12/2025

European Commission

DG TAXUD

# Business continuity plan for Economic Operators

# ICS2

Date: 18/12/2025
Doc. Version: 1.70

**Document Control Information**

| Settings | Value |
|---|---|
| **Document Title:** | Business continuity plan for Economic Operators |
| **Project Title:** | ICS2 |
| **Document Author:** | DG TAXUD Unit A3 |
| **Project Owner:** | DG TAXUD Unit A3 |
| **Doc. Version:** | 1.70 |
| **Sensitivity:** | Publicly available |
| **Date:** | 18/12/2025 |

**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 |
|---|---|---|---|
| ECCG | | Approve | 18.12.2025 |
| TCG | | Review | 18.12.2025 |

**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 |
|---|---|---|---|
| 1.70 | 18.12.2025 | DG TAXUD | Document is updated after ECCG and TCG review. Document prepared for publication. |
| 1.60 | 27.11.2025 | DG TAXUD | Document is updated after DG TAXUD and ICS2 Expert group review. Document prepared for ECCG and TCG review. |
| 1.50 | 30.10.2025 | DG TAXUD | Document is updated as per discussions during the ICS2 Expert group meeting to update ICS2 Business Continuity plan on 18.09.2025 and 09.10.2025. Submitted for internal review and ICS2 Expert group review. |
| 1.40 | 22.10.2024 | DG TAXUD | Document prepared for publication. |
| 1.32 | 17.10.2024 | DG TAXUD | Document is updated to implement the comments received from Member States. |
| 1.31 | 15.10.2024 | DG TAXUD | Document is updated to implement the comments received from Member States. |
| 1.30 | 09.10.2024 | DG TAXUD | Document is updated to clarify what can cause the unavailability (Chapter 2) and measures that can be taken by National Service Desk and DG TAXUD to minimise the impact of certain actions to ICS2 Central and National component availability (Chapter 3).<br>Chapter 5 is updated to align it with the current situation. |
| 1.20 | 28.07.2023 | DG TAXUD | • Cross-references updated in all the document; |

| | | | |
|---|---|---|---|
| | | | • Section 3.2.2 updated by removing statement that UUM&DS national component information is cached in TAPAS for 24 hours and descriptions having impact of this change. |
| 1.10 | 10.06.2022 | DG TAXUD | Document updated to implement DG TAXUD, ECCG and TCG comments. Sent out for approval (SfA). |
| 1.04 | 08.06.2022 | DG TAXUD | Document updated to implement ITSM3 and QA4 comments. |
| 1.03 | 04.04.2022 | DG TAXUD | The following sections were updated based on the input from the expert group held on 30.03.2022. – sections 3.4 and 3.6.1. Submitted for review (SfR). |
| 1.02 | 24.03.2022 | DG TAXUD | Document updated based on the input from the expert group held on 16.02.2022 and 09.03.2022. |
| 1.01 | 07.02.2022 | DG TAXUD | Document updated to cover ICS2 Release 1 and ICS2 Release 2 needs. Sent out to ICS2 Expert group for information before the second expert group meeting planned on 16.02.2022. |
| 1.00 | 11.02.2021 | DG TAXUD | Submitted for approval (SfA) |
| 0.60 | 11.02.2021 | DG TAXUD | Document updated after ITSM3 TES and Member State review |
| 0.50 | 09.12.2020 | DG TAXUD | Document updated based on the input from the PG held 30.11.2020 |
| 0.42 | 05.11.2020 | DG TAXUD | Document updated based on the input from the PG held 13.10.2020 |
| 0.30 | 13.10.2020 | DG TAXUD | Document updated with more detailed information |
| 0.20 | 11.09.2020 | DG TAXUD | Document updated based on the first PG 24.07.2020 input |
| 0.10 | 24.07.2020 | DG TAXUD | Initial draft of the document |

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# 1 INTRODUCTION

## 1.1 Purpose

This document describes the impact on a business process and assesses the criticality of an unavailability of a given component of the ICS2 (economic operators' systems, ICS2 Central components or Member State NES components). Furthermore, it introduces measures to maintain an appropriate level of business continuity with regard to the required customs formalities on the entry of goods.

## 1.2 Scope

This document covers the measures for continuity of the business processes of ICS2 components in case of:

- scheduled unavailability or
- unscheduled unavailability or
- slowdown.

DG TAXUD Business continuity plan, DG TAXUD IT Business continuity management systems (IT BCMS), any Member State business continuity plan (including for NCTS-P6 (opt-in) that facilitate lodgement of Entry Summary declaration (ENS) data in ICS2), economic operator business continuity plan and/or IT service provider Business continuity plan, Member State IT Business continuity plans, Disaster recovery plans and/or IT protocols for technical issues are not covered by this document. These artefacts are elaborated separately.

## 1.3 Target Audience

The intended audience for this document are:

- Economic operators having legal obligation to use ICS2;
- IT service providers providing services to those economic operators;
- DG TAXUD;
- DG TAXUD Central service desk;
- National service desks of the Member States;
- ICS2 users working for Member State Customs authorities;
- DG TAXUD development contractor.

## 1.4 Structure of this document

The document contains the following chapters:

- **Chapter 1 – Introduction**: describes the scope and the objectives of the document.
- **Chapter 2 – Sources of system unavailability:** provides the system components of ICS2 and a brief description of the impact on the business process.
- **Chapter 3 – Business continuity measures and communication**: provides business continuity measures, communication of unavailability, and activation of the BCP and recovery of the system, as well as recovery strategy from a business perspective.
- **Chapter 4 – ICS2 component slowdown:** provides slowdown definition, criteria to identify slowdown and communication of slowdown and slowdown recovery.
- **Chapter 5 – Transition provisions:** provides instructions to NSD how to register EO system unavailabilities in MON&BS while corresponding EUCTP functionality is not implemented and deployed.

## 1.5 Reference and applicable documents

### 1.5.1 Reference Documents

| Ref. | Title | Reference | Version | Date |
|---|---|---|---|---|
| R01 | Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code | | | |
| R02 | 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 | | | |
| R03 | Commission Implementing Regulation (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code | | | |
| R04 | SD3-ICS2-HTI-Interface Control Document | | 3.80 | 22.01.2025 |

*Table 1: Reference documents*

## 1.6 Abbreviations and Acronyms

| Abbreviation/Acronym | Definition |
|---|---|
| AEO | Authorised economic operator |
| ANES | Arrival component of Member state's National entry system |
| asap | As soon as possible |
| BCP | Business continuity plan |
| CCN2ng | Common Communications Network 2 |
| CFU | Customs office of unloading |
| CNES | Controls component of Member state's National entry system |
| COFE | Customs office of the first entry |
| CR | ICS2 Common Repository |
| CSD | Central Service Desk |
| DES | Customs office of destination |
| DG TAXUD | Directorate General Taxation and Customs Union |
| DNL | Do Not Load |
| ECCG | Electronic Customs Coordination Group |
| ENS | Entry Summary Declaration |
| EO | Economic operator |
| EU | European Union |
| EUCTP | European Union Customs Trader Portal |
| HRCM | High Risk Cargo and Mail |
| HTI | Harmonised trader interface |
| ICS2 | Import Control System 2 |
| IMS | Involved Member State |
| MON&BS | ICS2 Monitoring & Business Statistics |

| | |
|---|---|
| MRN | Master Reference Number |
| MS | Member State |
| NCTS-P6 (opt-in) | New Computerised Transit System – Phase 6 for opt-in countries |
| NES | National Entry System |
| NSD | National Service Desk |
| NTI | National Trader Interface |
| OPS | IT operations and service management – Operations |
| PNES | Presentation component of Member State's National entry system |
| RfI | Request for Information |
| RfS | Request for HRCM Screening |
| RMS | Responsible Member State |
| STI | Shared Trader Interface |
| STP | STI Shared Trader Portal |
| TCG | Trade Contact Group |
| TI | Trader Interface |
| UUM&DS | Uniform User Management and Digital Signatures |
| 24/7 | 24 hours per day and 7 days per week |

*Table 2: Abbreviations and acronyms*

## 1.7 Definitions

| Term | Description |
|---|---|
| Amendment | ENS filing (IE3Axx) lodged by EO to amend previously lodged ENS filing. |
| asap | As soon as possible but no later than 30 minutes since the moment it is possible to perform this action. |
| Central service desk (CSD) | The DG TAXUD contractor responsible for the central operation in ICS2 (ITSM) with 1st level and 2nd level support. |
| EO system | System developed by economic operator or IT service provider used to exchange ICS2 messages. |
| ICS2 Central components | ICS2 CR, STI (including STP), TAPAS, UUM&DS Central component, CCN2ng, EUCTP and MON&BS. |
| ICS2 Common components | ICS2 Central components except those being part of Trader interface (section 3.2). |
| ICS2 components | EO system, ICS2 Central components and ICS2 National components. |
| ICS2 National components | NES (RMS), NES (IMS), NES (ANES), NES (PNES), NES (CNES) and UUM&DS National component. |
| Invalidation | Request (IE3Q04) sent by EO to invalidate previously lodged ENS filing. |
| IT service provider | IT service provider is entity acting as a technical sender of the messages and assuming only technical responsibility. |
| IT operations and service management – Operations (OPS) | The DG TAXUD contractor responsible for IT operations and system/service monitoring. |
| Member state | All European Union Member states and other countries and territories applying EU customs legislation. |
| Member State of registration | Member State of the European Union that has registered economic operator for customs purposes and has issued EORI number. |

| | |
|---|---|
| MS via MON&BS | Article 105 (4) of COMMISSION IMPLEMENTING REGULATION (EU) 2023/1070 state that MS should apply BCP in case of ICS2 component unavailability. By approving this document Member States agree that BCP is going to be activated by MON&BS without human intervention and notified to EOs (including IT service providers) via EUCTP in accordance with the requirements of this procedure. |
| MS user | Customs officer, risk analyst or any other person in particular Member state using ICS2. |
| National service desk | A service component of the National support Centre provided by every national administration to provide support to both internal MS users and external end-users (local economic operators) in the daily use of the ICS2. |
| NCTS-P6 (opt-in) | Opt-in version of the NCTS-P6 acts as NTI version for economic operators. |

*Table 3: Definitions*

# 2 SOURCES OF SYSTEM UNAVAILABILITY

Depending on the source of unavailability, business continuity procedures will have to vary to some extent due to their effectiveness provided in a given case. Looking at it from an end-to-end perspective, the following causes of unavailability of an electronically supported business process were identified:

- a relevant electronic system of the economic operator is unavailable;
- a relevant electronic national customs application or supporting system is unavailable;
- a relevant central component service is unavailable;
- EO system is sending messages in abnormal high level disrupting the regular performance of the ICS2 central components and/or ICS2 national components.

Service providers who provide services for economic operators (e.g. network connectivity, software for electronic communication/connection with relevant customs systems etc.) are not considered being directly responsible with regard to legal requirements stemming from the customs legislation. Nevertheless, they have a responsibility to fulfil the contractual requirements of the established contract with an economic operator and act in accordance with this procedure if economic operator has empowered IT service provider to report unavailability and recovery of system on behalf of that economic operator.

In order to implement a sufficient business continuity plan that is underpinned by effective measures the following factors are to be considered:

- What system component is not available or has a malfunction seriously affecting the business operations?
- What is the impact of the unavailability of the given system component on the end-to-end process?
- What are the available effective options for efficient and appropriate measures to overcome the impact?

The following matrix shows the relevant ICS2 components and their impact on the business process in case of unavailability:

| | | | CAPABILITIES | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| IT Component | | | Send ENS | Register and send MRN | Lifecycle validation | Referrals | Assessment Complete | DNL | Arrival | Presentation | Controls |
| EO System | | | 3 | | | 3 | 2 | 2 | 2 | | 1 |
| TI | TAPAS | | 3 | | | 3 | 3 | 3 | 2 | | 1 |
| | UUM&DS | Central Component | 2 | | | 2 | | | 2 | | |
| | | National Component | 2 | | | 2 | | | 2 | | |
| | STI | STI | | 3 | | 3 | 3 | 3 | 2 | | 1 |
| | | STP | 3 | 3 | | 3 | 3 | 3 | 2 | | 1 |
| ICS2 Common components | | | | | 3 | 3 | 3 | 3 | 3 | 3 | 3 |
| ICS2 National components | | | | | | 2 | | | 2 | 3 | 3 |
| | | | Category A1 - EOS impacted | | | Category A1 - EOS impacted | | | | Category B - less time critical | |

| Impact of Component Unavailability on capability | |
|---|---|
| 3 | Total disfunction |
| 2 | Partial disfunction / degradation |
| 1 | Limited disfunction (non essential) |
| | No impact |

*Table 4 System unavailability*

The following subsections will further describe the business continuity measures to be applied in case of unavailability of each ICS2 component and how the unavailability, BCP activation and recovery is communicated between the Central and National service desks and the economic operators and their IT service providers, if applicable.

# 3 BUSINESS CONTINUITY MEASURES AND COMMUNICATION

An economic operator is directly responsible to comply with legal requirements of the customs legislation. IT service provider, CSD and DG TAXUD will support the business continuity process but customs office is always the one taking decisions and providing instructions for EOs having legal obligation to lodge ENS in its country in case of unavailability of ICS2 components.

Unavailability (scheduled or unscheduled) is recorded by EO and/or its IT service provider in EUCTP (see also chapter 5). Upon registration of unavailability notification confirming successful notification of unavailability will be displayed in EUCTP notification list.

## 3.1 Economic operator system unavailability

The unavailability of an economic operator's system affects either one economic operator or several economic operators, which e.g. are customers of an IT service provider.

The business continuity measures will depend on which part of the end-to-end process is affected – whether the ENS filing is already lodged or not, whether consignments have arrived or not etc.

| | CAPABILITIES | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| IT Component | Send ENS | Register and send MRN | Lifecycle validation | Referrals | Assessment Complete | DNL | Arrival | Presentation | Controls |
| EO System | 3 | | | 3 | 2 | 2 | 2 | | 1 |

*Table 5 EO System unavailability*

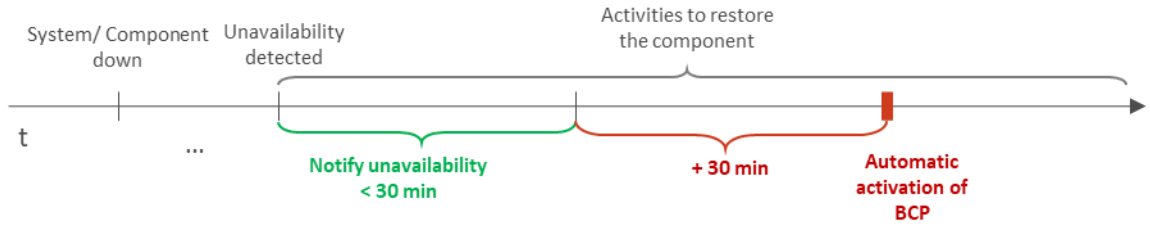


*Figure 1 Business continuity plan activation timeline for EO system*

The EO system is considered to be unavailable when it cannot interact (send and/or receive messages) as per the specifications of ICS2 regardless of the reason. If the EO system unavailability can be compensated (alternatively handled) by another facility of the economic operator, IT service provider, by functionality provided by ICS2 Central components (e.g. STP[1]) or by functionality provided by Member States (e.g. NTI, NCTS-P6 (opt-in)) without impact on the operations continuity, EO can use this functionality despite BCP for EO system is activated.

### 3.1.1 Unavailability identification and notification

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| Relevant EO | EO using IT service provider services can empower IT service provider to notify EO system unavailability in EUCTP (see also chapter 5). Legal obligation to lodge ENS, respond to referral requests etc. remain on EO itself and | When necessary |

[1] STP can be used to get DNL and referral request notifications in case of EO system and TAPAS unavailability. EO should manually activate this option in STI-STP Manage preferences tab.

| | | |
|---|---|---|
| | empowerment of IT service provider does not absolve EO from responsibility in case IT service provider has not notified unavailability of EO system. | |
| | Once the EO has detected an unavailability in its system or system components having impact on operations continuity, the unavailability has to be notified by using EUCTP (see also chapter 5). This can be done by EO or IT service provider (if EO is using IT service provider services). Nevertheless, EO should ensure that information on unavailability is not duplicated in EUCTP. EO can indicate one or several MS which should be notified about system unavailability. In response it gets notification via EUCTP (see also chapter 5) on successful reception of information.<br>The unavailability notification has to be sent within 30 minutes from moment when unavailability was detected and it has to contain all the details as elaborated in [3.6.1]. | < 30 min |
| IT Service provider | Only in cases when EO has empowered its IT Service provider to notify unavailability, IT service provider in case of its system unavailability can notify it on behalf of EO by using EUCTP [3.6.1] (see also chapter 5) in accordance with agreements reached between EO and IT service provider.<br>IT service provider can indicate one or several MS which should be notified about system unavailability in case only one EO is impacted. If IT service provider will notify unavailability of several EOs at the same time all MS will receive e-mail notification. | < 30 min |
| All NSDs | The NSD of MS that are to be notified will immediately receive e-mail notification on EO system unavailability [3.6.6].<br>Information on EO system unavailability should be disseminated to MS users. | asap |

### 3.1.2 Activation of Business continuity plan

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| MS via MON&BS | If the EO system is not restored within 30 minutes since unavailability was reported (corresponding recovery notification is not sent via EUCTP (see also chapter 5)) by EO or IT service provider the business continuity plan is automatically activated by MON&BS for those MSs that were indicated as impacted in section 3.1.1. | Date/time of unavailability notification + 30 min |
| All NSDs | Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users. | asap |
| Impacted EO and IT service provider | Get notification via EUCTP (see also chapter 5) on activation of BCP [3.6.5]. | asap |

### 3.1.3 Business continuity measures

| Step in a business process | BCP measure for EO |
|---|---|
| **BCP measure – Lodgement of new ENS** | |
| ENS filings | No new ENS filings will be lodged during the unavailability of the component by using EO system. |
| | New ENS filings can be lodged during the unavailability of the component via STP. EO is free to choose whether to use STP functionality or not to lodge new ENSs. |
| Amendment | No amendments will be done on the already lodged ENSs via EO system. |

| | |
|---|---|
| | ENS lodged via STP can still be amended via STP. |
| Invalidation | Invalidation of ENS will not be performed by using EO system. |
| | ENS lodged via STP can still be invalidated via STP. |
| **BCP measure – Risk assessment of already lodged ENSs** | |
| Referral requests (RFI, RFS) to the EO | Receive via STP or via alternative communication channels – e-mail, phone, etc. in case of STP unavailability. |
| Referral responses from the EO | Communicate via alternative communication channels – e-mail, phone, etc. |
| DNL | Receive via STP and via phone and e-mail. |
| Assessment complete notification | Cannot receive during component unavailability. |
| Advance control notification to AEO | Receive via alternative communication channels – e-mail, phone, etc. |
| **BCP measure – Arrival notification** | |
| Arrival notification | Lodge via STP or NES (ANES) of COFE (if that particular COFE provide a national arrival system). |
| | No new arrival notification will be lodged via EO system during EO system unavailability. |
| Control notification | Is received via NES (ANES) and/or via alternative communication channels – NES (ANES), NES (PNES), e-mail, phone, etc. |
| **BCP measure – Presentation and controls** | |
| Presentation information | No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs. |
| Controls and control results | No impact. |

### 3.1.4 Recovery communication

| Actor | Actions to be taken by actor | Timeframe for actions |
|---|---|---|
| Impacted EO or IT Service provider | Once the EO system has been restored this has to be notified by the actor who notified this unavailability by using EUCTP [3.6.2] (see also chapter 5). After automatic deactivation of BCP in response in response both EO and where applicable IT service provider will receive notification via EUCTP on deactivation of BCP [3.6.5]. | asap |
| All NSDs | Get e-mail notification on EO system recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users. | asap |
| DG TAXUD | In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | asap |

### 3.1.5 Recovery measures

| Component | Actions to be taken by actors |
|---|---|
| EO system | **EO must lodge ENS filings for all the consignments that have not yet been lodged during EO system unavailability.** |
| | EO can amend and invalidate the ENS filings via EO system which are not yet in the state 'Presented' or later state. |
| | EO must provide referral responses via EO system that have been provided via alternative communication channels retroactively. |
| | EO can waive lodgement of arrival notification in case of carrier intends to unload all the consignments of particular ENS from the means of transport and present it to the COFE. If this is not the case and some consignments remain on board of the means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If EO has presented consignments to customs before component has been recovered it is possible that EO will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |
| | The messages need to be sent in quantities (not more than 400 messages per second) in order not to disrupt the regular performance of the TI due to abnormally high levels. The messages must be distributed in accordance with the assigned priority in the section 3.5. In case messages are sent in quantities that disrupt the regular performance of the ICS2 central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 central components by technical means. |
| ICS2 Central components | The TI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol. |
| ICS2 National components | Risk analysis/e-screening is performed on the provided ENSs even if with a delay. |

# 3.2 TI unavailability

## 3.2.1 UUM&DS Central component unavailability

| | | | CAPABILITIES | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Send ENS | Register and send MRN | Lifecycle validation | Referrals | Assessment Complete | DNL | Arrival | Presentation | Controls |
| IT Component | | | | | | | | | | | |
| TI | UUM&DS | Central Component | 2 | | | 2 | | | 2 | | |
| | | National Component | 2 | | | 2 | | | 2 | | |

*Table 6 UUM&DS unavailability*

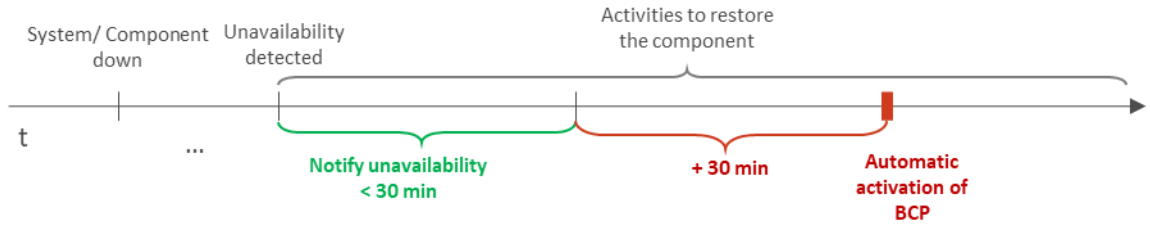


*Figure 2 Business continuity plan activation timeline for UUM&DS component*

The unavailability of the UUM&DS services prevents the system from identifying and authenticating the sender of a message. The messages submitted via EO system are rejected with an error message [R04] and it is not possible to authenticate STI and STP users. Consequently, the business process does not continue and messages are not registered, further processed and responded. Nevertheless, in case of UUM&DS unavailability EO can still receive messages via EO system addressed to him.

The UUM&DS component is considered unavailable in the case of the failover domain activation failure.

Nevertheless, the UUM&DS central component information is cached in TAPAS for 24 hours. In case of UUM&DS Central component unavailability an economic operator can send a message by using EO system within 24 hours from the moment the last message was accepted by STI. Therefore, those EOs using EO system can continue to exchange messages even if BCP has been activated.

### *3.2.1.1 Unavailability identification and notification*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| CSD | The CSD records unavailability in MON&BS [3.6.3].<br>The unavailability has to be recorded in MON&BS within 30 minutes from the moment unavailability was detected. | < 30 min |
| All NSDs | The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) that particular ICS2 component is unavailable [3.6.5]. | asap |

### *3.2.1.2 Activation of Business continuity plan*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| MS via MON&BS | If the UUM&DS Central component is not restored within 30 minutes since unavailability was reported by CSD (corresponding recovery notification is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS. | Date/time of unavailability notification + 30 min |

| | | |
|---|---|---|
| All NSDs | Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users. | asap |
| EO and IT service provider | All EOs (including IT service providers) having access to EUCTP get notification in it (see also chapter 5) on activation of BCP [3.6.5]. | asap |

#### *3.2.1.3 Business continuity measures*

| Step in a business process | BCP measure for EO |
|---|---|
| **BCP measure – Lodgement of new ENS** | |
| ENS filings | Authentication information is cached in TAPAS for 24 hours since the last message was sent from EO system to STI. Therefore, some EO system users could still be able to lodge ENSs for certain period of time. |
| | EO that is STP user and EO that has not sent any message via its EO system within the last 24 hours will not be able to lodge new ENS during the unavailability of the component via EO system and STP. |
| Amendment | Some EO system users could be able to lodge amendments for certain period of time. |
| | EO that is STP user and EO that has not sent any message via its EO system within the last 24 hours will not be able to lodge new amendments during the unavailability of the component via EO system and STP. |
| Invalidation | Some EO system users could be able to lodge invalidation requests for certain period of time. |
| | EO that is STP user and EO that has not sent any message via its EO system within the last 24 hours will not be able to lodge invalidation request during the unavailability of the component via EO system and STP. |
| **BCP measure – Risk assessment of already lodged ENSs** | |
| Referral requests (RFI, RFS) to the EO | Receive via EO system and alternative communication channels – e-mail, phone, etc. |
| | EO that is STP user will receive referral request via alternative communication channels – e-mail, phone, etc. and in STP after recovery of UUM&DS. |
| Referral responses from the EO | Send via EO system where still possible or communicate via alternative communication channels – e-mail, phone, etc. |
| DNL | Receive via EO system and via phone and e-mail. |
| Assessment complete notification | Receive via EO system or receive it with delay in STP. |
| Advance control notification to AEO | Receive via EO system or alternative communication channels – NES (PNES), e-mail, phone, etc. |
| **BCP measure – Arrival notification** | |
| Arrival notification | Submit via EO system or NES (ANES) of COFE (if that particular COFE provide a national arrival system). |
| | EO that is STP user or EO that has not sent via EO system any message within the last 24 hours will not be able to lodge new arrival notification during the unavailability of the component via EO system and STP. |
| Control notification | Receive via EO system or alternative communication channels – NES (ANES), NES (PNES), e-mail, phone, etc. |

| BCP measure – Presentation and controls | |
|---|---|
| Presentation information | No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs. |
| Controls and control results | No impact. |

#### *3.2.1.4 Recovery communication*

| Actor | Actions to be taken by actor | Timeframe for actions |
|---|---|---|
| CSD | When component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated. | asap |
| All NSDs | Get e-mail notification on UUM&DS Central component recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users. | asap |
| EO and IT service provider | All EOs (including IT service providers) having access to EUCTP get notification in it (see also chapter 5) on deactivation of BCP [3.6.5]. | asap |
| DG TAXUD | In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | asap |

#### *3.2.1.5 Recovery measures*

| Component | Actions to be taken by actors |
|---|---|
| EO system, STP | **EO must lodge ENS filings for all the consignments that have not yet been lodged during UUM&DS central component unavailability.** |
| | EO can amend and invalidate the ENS filings which are not yet in the state 'Presented' or later state. |
| | EO must provide referral responses that have been provided via alternative communication channels. |
| | EO can waive lodgement of arrival notification in case of carrier intend to unload all the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |
| | The messages need to be sent in quantities (not more than 400 messages per second) not to disrupt the regular performance of the TI due to abnormally high levels. The messages must be distributed in accordance with the assigned priority. In case messages are sent in quantities that disrupt the regular performance of the ICS2 central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 central components by technical means. |
| ICS2 National component | Risk analysis/e-screening is performed to the provided ENSs even if with a delay. |

### 3.2.2 UUM&DS National component unavailability

| | | | CAPABILITIES | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Send ENS | Register and send MRN | Lifecycle validation | Referrals | Assessment Complete | DNL | Arrival | Presentation | Controls |
| | IT Component | | | | | | | | | | |
| TI | UUM&DS | Central Component | 2 | | | 2 | | | 2 | | |
| | | National Component | 2 | | | 2 | | | 2 | | |

*Table 7 UUM&DS unavailability*

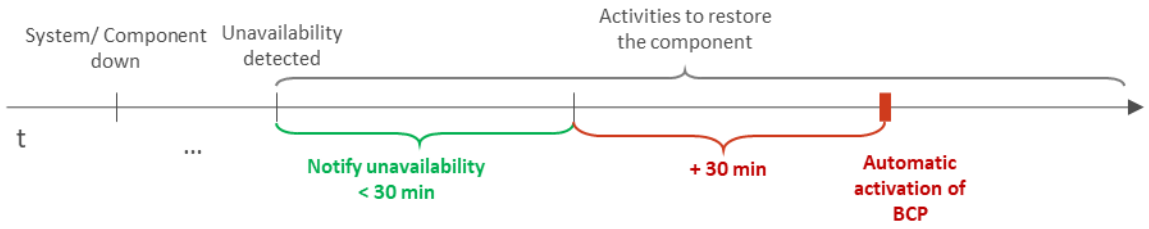


*Figure 3 Business continuity plan activation timeline for UUM&DS component*

The unavailability of UUM&DS National component will prevent the system from identifying and authenticating the sender of a message. The messages submitted via EO system are rejected with an error message and it is not possible to authenticate STI and STP users. Consequently, the business process does not continue and messages are not registered, further processed and responded. Nevertheless, in case of UUM&DS unavailability EO can still receive messages via EO system addressed to him.

The UUM&DS national component is considered unavailable in the case of the failover domain activation failure.

#### *3.2.2.1 Unavailability identification and notification*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| NSD | The impacted NSD of the affected MS records unavailability in MON&BS [3.6.3].<br><br>The unavailability notification has to be recorded in MON&BS within 30 minutes from the moment unavailability was detected. | < 30 min |
| All NSDs | NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) that particular ICS2 component is unavailable [3.6.5]. | asap |

#### *3.2.2.2 Activation of Business continuity plan*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| MS via MON&BS | If the UUM&DS National component is not restored within 30 minutes since unavailability was reported by NSD (corresponding recovery notification is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS. | Date/time of unavailability notification + 30 min |
| All NSDs | Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users. | asap |

| | | |
|---|---|---|
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) on activation of BCP [3.6.5]. | asap |

### *3.2.2.3 Business continuity measures*

| Step in a business process | BCP measure for EO |
|---|---|
| **BCP measure – Lodgement of new ENS** | |
| ENS filings | No new ENS filings can be lodged. |
| Amendment | No new ENS amendments can be lodged. |
| Invalidation | Invalidation of ENS will not be performed. |
| **BCP measure – Risk assessment of already lodged ENSs** | |
| Referral requests (RFI, RFS) to the EO | Receive via EO system and alternative communication channels – e-mail, phone, etc. |
| | EO that is STP user will receive referral request via alternative communication channels – e-mail, phone, etc. and in STP after recovery of UUM&DS. |
| Referral responses from the EO | Communicate via alternative communication channels – e-mail, phone, etc. |
| DNL | Receive via EO system and/or via phone and e-mail. |
| Assessment complete notification | Receive via EO system or receive it with delay in STP. |
| Advance control notification to AEO | Receive via EO system or alternative communication channels – NES (PNES), e-mail, phone, etc. |
| **BCP measure – Arrival notification** | |
| Arrival notification | Submit via NES (ANES) of COFE (if that particular COFE provide a national arrival system). |
| | EO will not be able to lodge new arrival notification during the unavailability of the component via EO system and STP. |
| Control notification | Receive via EO system or alternative communication channels – NES (ANES), NES (PNES), e-mail, phone, etc. |
| **BCP measure – Presentation and controls** | |
| Presentation information | No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs. |
| Controls and control results | No impact. |

### *3.2.2.4 Recovery communication*

| Actor | Actions to be taken by actor | Timeframe for actions |
|---|---|---|
| NSD | The impacted NSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. | asap |
| All NSDs | Get e-mail notification on UUM&DS National component recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users. | asap |

| | | |
|---|---|---|
| EO and IT service provider | All EOs (including IT service providers) having access to EUCTP get notification in it (see also chapter 5) on deactivation of BCP [3.6.5]. | asap |
| DG TAXUD | In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | asap |

#### *3.2.2.5 Recovery measures*

| Component | Actions to be taken by actors |
|---|---|
| EO system, STP | **EO must lodge ENS filings for all the consignments that have not yet been lodged during UUM&DS national component unavailability.** |
| | EO can amend and invalidate the ENS filings which are not yet in the state 'Presented' or later state. |
| | EO must provide referral responses that have been provided via alternative communication channels. |
| | EO can waive lodgement of arrival notification in case of carrier intend to unload the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If EO has presented consignments to customs before component has been recovered it is possible that EO will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |
| | The messages need to be sent in quantities (not more than 400 messages per second) not to disrupt the regular performance of the TI due to abnormally high levels. The resulting traffic should not exceed limits agreed on technical protocol. The messages must be distributed in accordance with the assigned priority. In case messages are sent in quantities that disrupt the regular performance of the ICS2 central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 central components by technical means. |
| ICS2 National components | Risk analysis/e-screening is performed to the provided ENSs even if with a delay. |

### 3.2.3 TAPAS unavailability

| | | CAPABILITIES | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | IT Component | Send ENS | Register and send MRN | Lifecycle validation | Referrals | Assessment Complete | DNL | Arrival | Presentation | Controls |
| TI | TAPAS | 3 | | | 3 | 3 | 3 | 2 | | 1 |

*Table 8 TAPAS unavailability*

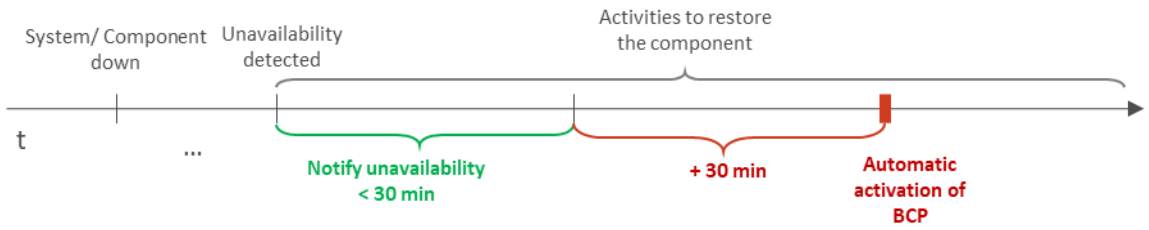


*Figure 4 Business continuity plan activation timeline for TAPAS component*

TAPAS is considered to be unavailable when it cannot interact as per the specifications regardless of the reason (incoming and/or outgoing messages are not exchanged as per specifications). This do not cover the cases when EO system or STI cannot exchange messages due to EO system and/or NES unavailability or e.g. configuration issues in one of those components.

TAPAS unavailability can be compensated (alternatively handled) by STP without impact on the operations continuity. For EO there is no reason to apply BCP measures if STP functionality can be used to ensure operations continuity.

#### *3.2.3.1 Unavailability identification and notification*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| CSD | The CSD records unavailability in MON&BS [3.6.3].<br>The unavailability notification has to be recorded within 30 minutes from the moment when unavailability was detected.<br>In case unavailability is caused by messages sent by EO system(s) in quantities e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex CSD informs DG TAXUD on EO system(s) that has disrupted the regular performance of the ICS2 Central components due to abnormally high levels. | < 30 min |
| All NSDs | The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) that particular ICS2 component is unavailable [3.6.5]. | asap |
| DG TAXUD | • In case EO system(s) has sent messages in quantities disrupting the regular performance of the ICS2 Central components due to abnormally high levels, DG TAXUD can decide to limit EO system(s) access to ICS2 Central components by technical means. Access can be limited to entire system or particular functionality to ensure TAPAS recovery as soon as possible.<br>• In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give | asap |

| | | |
|---|---|---|
| | adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | |

### *3.2.3.2 Activation of Business continuity plan*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| MS via MON&BS | If the TAPAS is not restored within 30 minutes since unavailability was reported by CSD (corresponding recovery notification is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS. | Date/time of unavailability notification + 30 min |
| All NSDs | Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) on activation of BCP [3.6.5]. | asap |

### *3.2.3.3 Business continuity measures*

| Step in a business process | BCP measure for EO |
|---|---|
| **BCP measure – Lodgement of new ENS** | |
| ENS filings | No new ENS filings will be lodged during the unavailability of the component by using EO system. |
| | New ENS filings can be lodged during the unavailability of the component via STP. EO is free to choose whether to use STP functionality or not to lodge new ENSs. |
| Amendment | No amendments will be done on the already lodged ENSs via EO system. |
| | Only ENS lodged via STP can be amended via STP. |
| Invalidation | Invalidation of ENS will not be performed via EO system. |
| | Only ENS lodged via STP can be invalidated via STP. |
| **BCP measure – Risk assessment of already lodged ENSs** | |
| Referral requests (RFI, RFS) to the EO | Receive via STP. |
| Referral responses from the EO | Communicate via alternative communication channels – e-mail, phone, etc. |
| DNL | Receive via STP and via phone and e-mail. |
| Assessment complete notification | Receive via STP for ENSs lodged via STP. |
| | Cannot receive during component unavailability for ENSs lodged via EO system. |
| Advance control notification to AEO | Receive via STP for ENSs lodged via STP. |
| | Receive via alternative communication channels – e-mail, phone, etc. |
| **BCP measure – Arrival notification** | |
| Arrival notification | Lodge via STP or NES (ANES) of COFE (if that particular COFE provide a national arrival system). |

| | |
|---|---|
| | If it is not possible to lodge via STP or NES (ANES) of COFE, lodge via EO system. Arrival notification will be queued and processed after recovery of the component. If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |
| Control notification | Received via STP, NES (ANES) or via alternative communication channels – NES (PNES), e-mail, phone, etc. |
| **BCP measure – Presentation and controls** | |
| Presentation information | No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs. |
| Controls and control results | No impact. |

#### *3.2.3.4 Recovery communication*

| Actor | Actions to be taken by actor | Timeframe for actions |
|---|---|---|
| CSD | When component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated. | asap |
| All NSDs | Get e-mail notification on TAPAS recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) on deactivation of BCP [3.6.5]. | asap |
| DG TAXUD | In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | asap |

#### *3.2.3.5 Recovery measures*

| Component | Actions to be taken by actors |
|---|---|
| EO system | In case EO system access to ICS2 Central components was limited by technical means, EO must provide CSD, DG TAXUD and MS of registration with the information on actions taken to ensure controlled sending of messages (e.g. not exceeding 400 messages per second) to ICS2 Central components before it's access to ICS2 Central components is restored. |
| | **EO must lodge ENS filings for all the consignments that have not yet been lodged during EO system unavailability.** |
| | EO can amend and invalidate the ENS filings via EO system which are not yet in the state 'Presented' or later state. |
| | EO must provide referral responses that have been provided via alternative communication channels. |
| | EO can waive lodgement of arrival notification in case if carrier intend to unload the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |

| | |
|---|---|
| | The messages need to be sent in quantities (not more than 400 messages per second) not to disrupt the regular performance of the TI due to abnormally high levels. The messages must be distributed in accordance with the assigned priority in the section 3.5. In case messages are sent in quantities that disrupt the regular performance of the ICS2 central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 central components by technical means. |
| ICS2 Central components | The TI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol. |
| ICS2 National components | Risk analysis/e-screening is performed to the provided ENSs even if with a delay. |

### 3.2.4 STI (including STP) unavailability

| | | | CAPABILITIES | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Send ENS | Register and send MRN | Lifecycle validation | Referrals | Assessment Complete | DNL | Arrival | Presentation | Controls |
| IT Component | | | | | | | | | | | |
| TI | STI | STI | | 3 | | 3 | 3 | 3 | 2 | | 1 |
| | | STP | 3 | 3 | | 3 | 3 | 3 | 2 | | 1 |

*Table 9 STI unavailability*

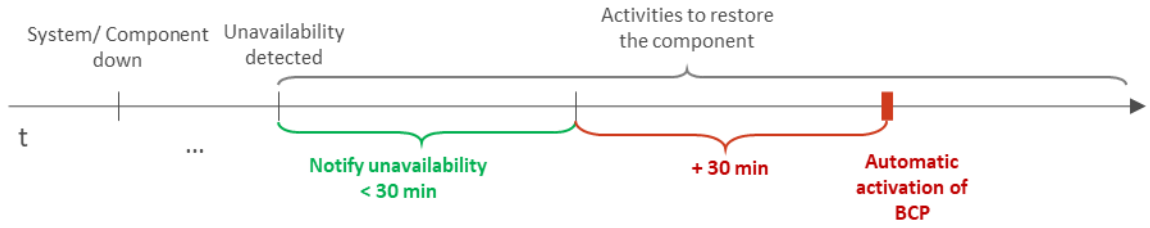


*Figure 5 Business continuity plan activation timeline for STI component*

STI (STP) is considered to be unavailable when message exchange cannot take place as per specifications regardless of the reason (incoming and/or outgoing messages are not exchanged as per specifications).

In case of unavailability of the STI (STP), economic operators are not able to use STP functionality to exchange any ICS2 messages. No messages from the economic operators will be functionally validated, registered and further processed. Moreover, no messages are sent to the economic operators for the ENSs which are already in process. The messages received from the EO system are stored and queued in TAPAS and can be processed when STI is available again. There is no need for the economic operators to re-send those messages. The outgoing STI messages are queued but not sent. The operations performed by the STI are completely blocked – no MRNs are generated and communicated.

#### *3.2.4.1 Unavailability identification and notification*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| CSD | The CSD records unavailability in MON&BS [3.6.3].<br>The unavailability notification has to be recorded within 30 minutes from the moment unavailability was detected. | < 30 min |
| All NSDs | The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) that particular ICS2 component is unavailable [3.6.5]. | asap |

#### *3.2.4.2 Activation of Business continuity plan*

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| MS via MON&BS | If the STI (STP) is not restored within 30 minutes since unavailability was reported by CSD (corresponding recovery notification is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS. | Date/time of unavailability notification + 30 min |

| | | |
|---|---|---|
| All NSDs | Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users. | asap |
| EO and IT service provider | All EOs (including IT service providers) having access to EUCTP get notification in it (see also chapter 5) on activation of BCP [3.6.5]. | asap |

#### *3.2.4.3 Business continuity measures*

| Step in a business process | BCP measure for EO |
|---|---|
| **BCP measure – Lodgement of new ENS** | |
| ENS filings | New ENS filings can be lodged via EO system. MRN for that ENS filing will be generated upon recovery of the component and EO must not duplicate/resubmit ENS filings already lodged.<br>If the message load is too large the NSD may request EO to delay sending of the messages. |
| | No new ENS filings can be lodged via STP. |
| Amendment | Amendments of the ENSs can be lodged via EO system, but already lodged ENSs will not be amended until the system is restored. EO must not duplicate/resubmit ENS amendment. |
| | No new ENS amendments can be lodged via STP. |
| Invalidation | Invalidation of ENS can be requested via EO system but will not be performed until the system is restored. EO must not duplicate/resubmit ENS invalidation request. |
| | Invalidation of ENS will not be performed via STP. |
| **BCP measure – Risk assessment of already lodged ENSs** | |
| Referral requests (RFI, RFS) to the EO | Receive via alternative communication channels – e-mail, phone, etc. |
| Referral responses from the EO | Responses to the referral requests received before unavailability of STI should be sent via EO system and via alternative communication channels – e-mail, phone, etc. |
| | Responses to the referral requests received during unavailability of STI should be sent via alternative communication channels – e-mail, phone, etc. |
| DNL | Receive via phone and e-mail. |
| Assessment complete notification | Is not sent to the EO system during the unavailability of STI. Receive with the delay. |
| Advance control notification to AEO | Receive via alternative communication channels – e-mail, phone, etc. |
| **BCP measure – Arrival notification** | |
| Arrival notification | Lodge via NES (ANES) of COFE (if that particular COFE provide a national arrival system). |
| | If it is not possible to lodge via NES (ANES) of COFE, lodge via EO system. Arrival notification will be queued and processed after recovery of the component. If you have presented consignments to customs before component has been recovered it is possible that you will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |
| | If it is not possible to lodge via NES (ANES) of COFE and via EO system, lodgement of arrival notification can be waived in case of carrier intend to unload all the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of |

| | |
|---|---|
| | transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged with the delay. |
| Control notification | Receive via NES (ANES) or alternative communication channels – NES (PNES), e-mail, phone, etc. |
| **BCP measure – Presentation and controls** | |
| Presentation information | No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs. |
| Controls and control results | No impact. |

#### *3.2.4.4 Recovery communication*

| Actor | Actions to be taken by actor | Timeframe for actions |
|---|---|---|
| CSD | When component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated. | asap |
| All NSDs | Get e-mail notification on STI recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users. | asap |
| EO and IT service provider | All EOs (including IT service providers) having access to EUCTP get notification in it (see also chapter 5) on deactivation of BCP [3.6.5]. | asap |
| DG TAXUD | In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | asap |

#### *3.2.4.5 Recovery measures*

| Component | Actions to be taken by actors |
|---|---|
| EO system, STP | **EO must lodge ENS filings for all the consignments that have not yet been lodged via EO system or STP during STI (STP) unavailability.** EO does not need to resend ENS filings that has been sent to STI via EO system – these messages are queued and will be processed after STI (STP) recovery. |
| | EO can amend and invalidate the ENS filings that are not in state "Presented" or later state. If amendment or invalidation was already requested via EO system during the unavailability of STI (STP), no further actions from the EO are needed. |
| | EO must provide referral responses via EO system or STP that have been provided via alternative communication channels only. If referral responses were submitted via the EO system and alternative communication channels during the STI (STP) unavailability, no further actions from the EO are needed. |
| | EO can waive lodgement of arrival notification in case of carrier intend to unload the consignment of particular ENS from the means of transport and present it in the COFE. If this is not the case and some consignments remain on board of means of transport to be dispatched to MS of destination or MS of unloading arrival notification should be lodged. If EO has presented consignments to customs before component has been recovered it is possible that EO will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |
| | The messages need to be sent in quantities (not more than 400 messages per second) in order not to disrupt the regular performance of the TI due to abnormal high levels. The resulting traffic should not exceed limits agreed on technical protocol. The |

| | |
|---|---|
| | messages must be distributed in accordance with the assigned priority (please see section 3.5). In case messages are sent in quantities that disrupt the regular performance of the ICS2 central components (e.g. exceeding 400 messages per second or even with less quantity if the treatment of these messages is complex) DG TAXUD can decide to limit EO system access to ICS2 central components by technical means. |
| ICS2 Central components | The TI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol. |
| ICS2 National components | Risk analysis/e-screening is performed to the provided ENSs even if with a delay. |

## 3.3 ICS2 Common and/or ICS2 National component unavailability

| | CAPABILITIES | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| IT Component | Send ENS | Register and send MRN | Lifecycle validation | Referrals | Assessment Complete | DNL | Arrival | Presentation | Controls |
| ICS2 Common components | | | 3 | 3 | 3 | 3 | 3 | 3 | 3 |
| ICS2 National components | | | | 2 | | | 2 | 3 | 3 |

*Table 10 ICS2 Common and/or ICS2 National component unavailability*

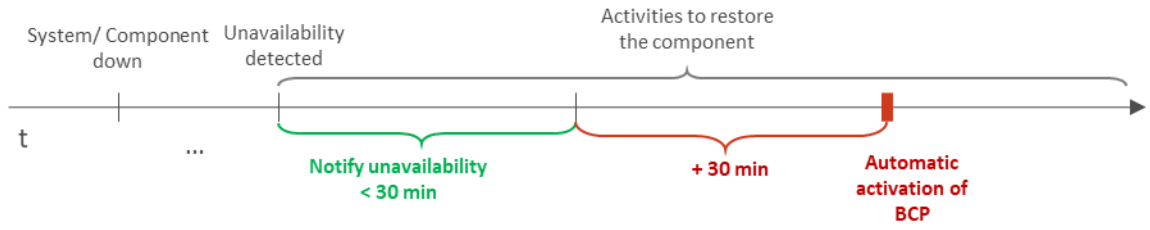


*Figure 6 Business continuity plan activation timeline for ICS2 Common and/or ICS2 National component*

All received messages will be queued during unavailability of component and processed after recovery.

The ENS filings will be validated by STI, registered, but it could have impact to ENS life cycle validation in some cases EO won't be informed on MRN and no risk analysis will be triggered/performed. The arrival notifications submitted via EO system or STP will be validated by STI, registered, but it could have impact to consignment state correctness checks and generation of MRN.

Communication between customs and EO on the ongoing risk analysis process, referrals and results of it via the system is not possible.

### 3.3.1 Unavailability identification and notification

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| CSD | The CSD records ICS2 Common component unavailability in MON&BS [3.6.3].<br><br>The unavailability notification has to be recorded within 30 minutes after unavailability was detected.<br><br>In case unavailability or service degradation is caused by messages received from EO system, CSD informs DG TAXUD on system that has disrupted the regular performance of the ICS2 Common and/or ICS2 National component due to abnormally high levels. | < 30 min |

| | | |
|---|---|---|
| NSD | The impacted NSD records ICS2 National component unavailability in MON&BS [3.6.3].<br>The unavailability notification has to be recorded within 30 minutes after unavailability was detected. | < 30 min |
| All NSDs | The NSD of each MS gets e-mail notification on reported unavailability [3.6.6] and notifies unavailability to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) on ICS2 Common component and/or ICS2 National component unavailability [3.6.5]. It is not disclosed to EOs which of above-mentioned components is unavailable. | asap |
| DG TAXUD | • In case EO system, STP and/or ICS2 national component has sent messages in quantities disrupting the regular performance of the ICS2 Common repository due to abnormally high levels, DG TAXUD can decide to limit system access to ICS2 Central components by technical means. Access can be limited to entire system or particular functionality to ensure ICS2 Common repository recovery as soon as possible.<br>• In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | asap |

### 3.3.2 Activation of Business continuity plan

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| MS via MON&BS | If the ICS2 Common component and/or ICS2 National component is not restored within 30 minutes since unavailability was reported by CSD or NSD (corresponding recovery notification is not recorded in MON&BS) the business continuity plan is automatically activated by MON&BS. | Date/time of unavailability notification + 30 min |
| All NSDs | Get e-mail notification on activation of BCP [3.6.6] and disseminate it to MS users. | asap |
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) on activation of BCP [3.6.5]. | asap |

### 3.3.3 Business continuity measures

| Step in a business process | BCP measure for EO |
|---|---|
| **BCP measure – Lodgement of new ENS** | |
| ENS filings | No impact – lodge ENS filing via EO system and/or STP. MRN for that ENS filing will be communicated to EO upon recovery of the component and EO must not duplicate/resubmit ENS filings already lodged. |
| Amendment | No impact – amend via EO system and/or STP. Already lodged ENSs will not be amended until the system is restored. EO must not duplicate/resubmit ENS amendment. |
| Invalidation | No impact – invalidate via EO system and/or STP. ENS filing will not be invalidated until the system is restored. EO must not duplicate/resubmit ENS invalidation request. |
| **BCP measure – Risk assessment of already lodged ENSs** | |

| | |
|---|---|
| Referral requests (RFI, RFS) to the EO | Receive via alternative communication channels – e-mail, phone, etc. |
| Referral responses from the EO | Referral response to already received referral request should be sent via EO system or STP and in addition, need to be communicated via alternative communication channels – e-mail, phone, etc. |
| | Referral response to the request issued via alternative communication channels need to be communicated via alternative communication channels. |
| DNL | Receive via phone and e-mail. |
| Assessment complete notifications | It is possible that during unavailability EO receives both assessment complete and DNL. If this is the case priority is with DNL. |
| Advance control notification to AEO | Receive via alternative communication channels – NES (PNES), e-mail, phone, etc. |
| **BCP measure – Arrival notification** | |
| Arrival notification | Lodge via EO system, STP or NES (ANES) of COFE (if that particular COFE provide a national arrival system):<br>• Arrival notification lodged via EO system or STP will be queued and processed after recovery of the component;<br>• Arrival notification lodged via NES (ANES) can be processed and the person notifying the arrival can get arrival registration response.<br>Nevertheless, if EO has presented consignments to customs before component has been recovered it is possible that it will receive IE3N07 message after recovery of the component as consignments are already in state 'Presented' or later state. |
| Control notification | Receive via alternative communication channels – NES (PNES), e-mail, phone, etc. |
| **BCP measure – Presentation and controls** | |
| Presentation information | No impact if ENS has been lodged and EO has received ENS registration response – presentation is not in the scope of ICS2 and should be done via NES (PNES). If ENS is not lodged at the moment of presentation of the consignments to customs EO should follow instructions provided by customs. |
| Control results | No impact. |

### 3.3.4 Recovery communication

| Actor | Actions to be taken by actor | Timeframe for actions |
|---|---|---|
| CSD | When ICS2 Common component has been recovered the CSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated. | asap |
| NSD | When ICS2 National component has been recovered the NSD updates unavailability record in MON&BS by indicating unavailability end date/time [3.6.4]. BCP is automatically deactivated. | asap |
| All NSDs | Get e-mail notification on ICS2 Common component and ICS2 National component recovery and deactivation of BCP [3.6.6]. NSD disseminate it to MS users. | asap |

| | | |
|---|---|---|
| EO and IT service provider | All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) on deactivation of BCP [3.6.5]. | asap |

### 3.3.5 Recovery measures

| Component | Actions to be taken by actors |
|---|---|
| EO system, STP | Referral responses that have been provided only via alternative communication channels have to be sent via the system (EO system or STP) upon reception of corresponding referral request. |
| ICS2 Central components | Once the component is recovered, the message queues will be processed. There is no need for EO to re-send the messages.<br>The sequence of message processing is based on priority defined in section 3.5. |
| ICS2 National component | Risk analysis/e-screening is performed to the provided ENSs even if with a delay. |

## 3.4 MON&BS or EUCTP unavailability

### 3.4.1 MON&BS unavailability

In case of MON&BS unavailability it won't be possible to record unavailability, recovery and/or activate/deactivate BCP for ICS2 components. In that case EO (including IT service provider), NSD and CSD should revert to e-mail communication. Rollback to e-mail procedure can be done by CSD and NSD:

- as soon as MON&BS is unavailable in case of scheduled unavailability;
- as soon as CSD has notified NSDs on unscheduled unavailability of MON&BS.

The principles who should notify unavailability remain the same as described in this document with the following deviations:

- EO (or IT service provider) should notify EO system unavailability and later recovery of the system to NSD of MS where EO has:
    - legal obligation to lodge ENS and arrival notification;
    - already lodged ENS but it has not received assessment complete messages after both pre-loading and pre-arrival RA.

  After recovery of MON&BS unavailability should be recorded by EO (IT service provider) in EUCTP (see also chapter 5) retroactively.
- NSD should:
    - communicate ICS2 central and national component unavailability/recovery information to EOs;
    - communicate ICS2 national component unavailability/recovery information to CSD;
    - activate BCP for all ICS2 components and communicate it to EOs and CSD (if ICS2 component has not recovered within 30 min since unavailability was notified);
    - deactivate BCP for all ICS2 components and communicate it to EOs and CSD.
- CSD should:
    - communicate ICS2 central component unavailability/recovery to all NSDs;
    - forward ICS2 national component unavailability/recovery information received from NSD to all other NSDs.

Upon recovery, unavailability notified within the manual procedure and information on activation/deactivation of BCP should be recorded in MON&BS. This is done by:

- NSD for EO system and ICS2 national component unavailability, or
- CSD for ICS2 central component unavailability.

### 3.4.2 EUCTP unavailability

In case of EUCTP unavailability it won't be possible for EO to record EO system unavailability and recovery and get notification on activation/deactivation of BCP for all ICS2 components. In that case EO (including IT service provider) and NSD should revert to e-mail communication. Rollback to e-mail procedure can be done by NSD:

- as soon as EUCTP is unavailable in case of scheduled unavailability;
- as soon as CSD has notified NSDs on unscheduled unavailability of EUCTP.

The principles who should notify unavailability remain the same as described in this document with the following deviations:

- EO (or IT service provider) should notify EO system unavailability and later recovery of the system to NSD of MS where EO has:
    - legal obligation to lodge ENS and arrival notification;
    - already lodged ENS but it has not received assessment complete messages after both pre-loading and pre-arrival RA.
- NSD should:
    - record EO system unavailability/recovery in MON&BS;
    - communicate ICS2 central and national component unavailability/recovery information to EOs;

- communicate activation of BCP for all ICS2 components to EOs;
- communicate deactivation of BCP for all ICS2 components to EOs.

## 3.5 ICS2 Message prioritisation

### 3.5.1 External domain messages

| Priority | Message ID | Name | Full name | Process where it is used |
|---|---|---|---|---|
| B | IE3Fxx | E_ENS_xxx_DEC | ENS filing | L4-ICS2-01 Register filing |
| B | IE3Axx | E_ENS_xxx_AMD | ENS filing amendment | L4-ICS2-07 Amend filing |
| A | IE3Q01 | E_DNL_REQ | Do Not Load request | L4-ICS2-03 Perform risk analysis |
| B | IE3Q02 | E_REF_RFI_REQ | Additional information request | L4-ICS2-03-01 Send referral |
| A | IE3Q03 | E_REF_RFS_REQ | High Risk Cargo & Mail screening request | L4-ICS2-03-01 Send referral |
| C | IE3Q04 | E_INV_REQ | Invalidation Request | L4-ICS2-08 Invalidate filing |
| C | IE3Q05 | E_ENS_CNS | ENS Consultation | L4-ICS2-13 Consult ENS |
| B | IE3R01 | E_ENS_REG_RSP | ENS Registration Response | L4-ICS2-01 Register filing |
| B | IE3R02 | E_REF_RFI_RSP | Additional information response | L4-ICS2-03-01 Send referral |
| A | IE3R03 | E_REF_RFS_RSP | High Risk Cargo & Mail screening response | L4-ICS2-03-01 Send referral |
| B | IE3R04 | E_ARV_REG_RSP | Arrival Registration Response | L4-ICS2-04 Process arrival of means of transport |
| C | IE3R07 | E_INV_ACC_RSP | Invalidation Acceptance Response | L4-ICS2-08 Invalidate filing |
| B | IE3R08 | E_ENS_CNS_RES | ENS Consultation results | L4-ICS2-13 Consult ENS |
| B | IE3N01 | E_ELF_VLD_NOT | ENS lifecycle validation error notification | L4-ICS2-01 Register filing |
| C | IE3N02 | E_ENS_NCP_NOT | ENS Not complete notification | L4-ICS2-02-01 Relate ENS filings |
| A | IE3N03 | E_ASM_CMP_NOT | Assessment complete notification | L4-ICS2-03 Perform risk analysis |
| C | IE3N04 | E_REF_RFI_NOT | Additional information request notification | L4-ICS2-03-01 Send referral |
| C | IE3N05 | E_REF_RFS_NOT | High Risk Cargo & Mail screening request notification | L4-ICS2-03-01 Send referral |
| A | IE3N06 | E_ARV_NOT | Arrival notification | L4-ICS2-04 Process arrival of means of transport |
| C | IE3N07 | E_HCS_INC_NOT | House consignment in incorrect state notification | L4-ICS2-04 Process arrival of means of transport |
| A | IE3N08 | E_CON_NOT | Control notification | L4-ICS2-04 Process arrival of means of transport |
| C | IE3N09 | E_AEO_CON_NOT | Authorised economic operator control notification | L4-ICS2-06-01 Handle AEO notification |
| C | IE3N10 | E_AMD_NOT | Amendment Notification | L4-ICS2-07 Amend filing |
| C | IE3N11 | E_ENS_PND_NOT | ENS pending notification | L4-ICS2-02-01 Relate ENS filings |
| A | IE3N12 | E_RAS_NOT | Pre-loading risk assessment status notification | L4-ICS2-13 Consult ENS |
| B | IE3N99 | E_ERR_NOT | Error notification | L4-ICS2-01 Register filing |
| | | | | L4-ICS2-04 Process arrival of means of transport |
| | | | | L4-ICS2-07 Amend filing |
| | | | | L4-ICS2-08 Invalidate filing |

## 3.6 Information to be provided upon unavailability reporting and activation/deactivation of BCP

The main principle is that unavailability and recovery of ICS2 component is reported by economic operator (with an option to empower IT service provider to do it on behalf of EO if EO is using IT service provider services), CSD and NSD. Business continuity plan is activated automatically by the system.

The purpose of this section is to define information that has to be provided by involved actors upon reporting of unavailability or recovery of ICS2 component.

### 3.6.1 EO – unavailability reporting:

- EORI number of economic operator whose EO system is unavailable;
- EO name whose EO system is unavailable;
- EORI number of IT service provider – mandatory data element when unavailability is reported by IT service provider on behalf of EO;
- E-mail address of EO or IT service provider who is notifying unavailability;
- Unavailability type (scheduled or unscheduled);
- Unavailability start date and time;
- Expected unavailability end date and time (optional);
- Affected functionality (optional);
- Short description on what has caused the unavailability (optional).

### 3.6.2 EO – recovery reporting:

- EORI number of economic operator whose EO system is recovered;
- EO name whose EO system is recovered;
- EORI number of IT service provider – mandatory data element when recovery is reported by IT service provider on behalf of EO;
- Unavailability end date and time.

### 3.6.3 CSD and NSD – unavailability reporting:

- Component name;
- Unavailability type (scheduled or unscheduled);
- Unavailability start date and time;
- Expected unavailability end date and time (optional);
- Affected service;
- Affected functionality (optional);
- Short description on what has caused the unavailability (optional).

### 3.6.4 CSD and NSD – recovery reporting:

- Component name;
- Unavailability end date and time.

### 3.6.5 Content of notifications to be sent to EO and IT service provider:

#### *3.6.5.1 After ICS2 component unavailability is reported*

All the information provided in sections 3.6.1 or 3.6.3 with exception of:

- *Short description on what has caused the unavailability (optional);*
- *Affected service;*
- *Affected functionality (optional).*

In case of CR, CCN2ng and NES (RMS), unavailability component name will be “ICS2 Common and/or ICS2 National component”.

#### *3.6.5.2 In case of BCP activation*

All the information provided in sections 3.6.5.1 and BCP activation date and time.

#### *3.6.5.3 In case of recovery and BCP deactivation*

All the information provided in sections 3.6.5.2 and BCP deactivation date and time.

### 3.6.6 Content of e-mail notifications to be sent to NSD:

#### *3.6.6.1 After ICS2 component unavailability is reported*

All the information provided in sections 3.6.1 or 3.6.3.

#### *3.6.6.2 In case of BCP activation*

All the information provided in sections 3.6.6.1 and BCP activation date and time.

#### *3.6.6.3 In case of recovery and BCP deactivation*

All the information provided in sections 3.6.6.2 and BCP deactivation date and time.

## 3.7 Scheduled unavailability

MSs and CSD are going to use MON&BS to exchange information on scheduled unavailability. Scheduled unavailability must be organised in time windows when there is less operational activity and has to be recorded in MON&BS as soon as possible but not later than 48 hours in advance [R04].

EO has to notify scheduled unavailability of EO system as soon as possible but not later than 48 hours in advance by using EUCTP (see also chapter 5). This can also be done by empowered IT service provider, but legal responsibility to notify unavailability remain on EO himself.

In case of scheduled unavailability BCP will be automatically activated for the period when unavailability is scheduled. All EOs (including IT service provider) having access to EUCTP get notification in it (see also chapter 5) on deactivation of BCP [3.6.5].

# 4 ICS2 COMPONENT SLOWDOWN

In the scope of this BCP, ICS2 component slowdown is a situation when all services of particular ICS2 components (EO system, TAPAS, STI(STP) and/or CR) interacts as per the specifications but the performance is significantly reduced which results in slower messages exchange. The case when ICS2 component transmit outbound messages to subsequent component (e.g. message is put into the outbound message queue) but that subsequent component does not process them in due time (normally within seconds) should be considered to be a slowdown of the subsequent component.

## 4.1 Slowdown identification and notification

Slowdown for particular ICS2 component (EO system, TAPAS, STI(STP) and/or CR) is determined based on time spent to consume, generate and transmit messages where inbound messages (the ones sent towards ICS2 CR) and outbound messages (the ones sent towards EO system/STP) are monitored separately. If the median (calculated every 10 minutes for the last 10 minutes) on time spent by the component to transmit messages to subsequent component exceed 300000 milliseconds (5 minutes) it is considered to be a slowdown for that ICS2 component and should be registered in MON&BS.

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| OPS | Constantly monitor services of ICS2 Central components (TAPAS, STI(STP) and CR) as per criteria provided in this section. | 24/7 |
| | When slowdown is identified, records slowdown in MON&BS. | < 30 min |
| All NSDs | The NSD of each MS gets e-mail notification on reported slowdown [4.4.4] and notifies slowdown to MS users. | asap |
| EO and IT service provider | All EOs (including IT service providers) having access to EUCTP get notification in it (see also chapter 5) on slowdown [4.4.3]. | asap |
| DG TAXUD | • In case EO system is disrupting the regular performance of the ICS2 components causing slowdown, DG TAXUD can decide to limit EO system access to ICS2 Central components by technical means. Access can be limited to entire system or particular functionality.<br>• In case DG TAXUD has decided to limit EO system access to ICS2 central components by technical means it shall inform the Member State of registration immediately after the decision has been taken and shall give adequate reasons for its decision (e.g. message volume and/or size in the period concerned). | asap |

## 4.2 Measures during slowdown

During reported slowdown (corresponding e-mail was sent out to EO and MS) particular ICS2 components will perform slower. Messages (e.g. ENS filings) lodged by EO will be processed and responses will be provided (where applicable) with a delay. EO who has lodged ENS filing but have not received MRN yet can make a business decision to deliver goods to EU. Upon arrival to the customs office of the first entry EO can provide customs authorities with the transport document (master level) number and request the MRN number. In case ENS filing was accepted by the ICS2 Common repository, MRN of the ENS filing will be at the disposal of customs authority. In case MRN is not available yet customs authority must apply national measures to facilitate movement of the goods.

EO must not duplicate/resubmit messages already sent towards ICS2 Central components.

## 4.3 Slowdown recovery

Slowdown is considered to be over when median of time (calculated every 10 minutes) to consume, generate and transmit messages to subsequent component do not exceed 300000 milliseconds (5 minutes) for 30 continuous minutes.

| Actor | Actions to be taken by actors | Timeframe for actions |
|---|---|---|
| OPS | Monitor services of ICS2 component for which the slowdown was reported as per criteria provided in this section. | 24/7 |
| | When all slowdowns are considered to be recovered, records slowdown recovery in MON&BS. | asap |
| All NSDs | The NSD of each MS gets e-mail notification on slowdown recovery [4.4.4] and notifies slowdown recovery to MS users. | asap |
| EO and IT service provider | All EOs (including IT service providers) having access to EUCTP get notification in it (see also chapter 5) of slowdown recovery [4.4.3]. | asap |

## 4.4 Information to be provided upon ICS2 component slowdown

The main principle is that ICS2 component slowdown and recovery is reported by OPS in MON&BS.

The purpose of this section is to define information that should be provided by OPS upon reporting of slowdown or slowdown recovery for ICS2 component.

### 4.4.1 OPS – slowdown reporting:

- Component name (CR, STI, TAPAS, EO System, TAPAS/EO system[2]);
- EORI number (if known and only in case when component name causing the slowdown is EO system or TAPAS/EO system);
- Type (slowdown);
- Start date and time;
- Expected end date and time (optional);
- Affected service;
- Short description on what has caused the slowdown (optional).

### 4.4.2 OPS – slowdown recovery reporting:

- Component name (CR, STI, TAPAS, EO system, TAPAS/EO system);
- End date and time.

### 4.4.3 Content of notifications to be sent to EO and IT service provider:

#### *4.4.3.1 After ICS2 component slowdown is reported*

All the information provided in sections 4.4.1 with exception of:

- EORI number;
- *affected service*.

#### *4.4.3.2 In case of service recovery*

All the information provided in sections 4.4.3.1 and 4.4.2.

[2] TAPAS/EO system is used when it is not possible without a further investigation to determine which component is causing slowdown.

### 4.4.4 Content of e-mail notifications to be sent to NSD:

#### *4.4.4.1 After ICS2 component slowdown is reported*

All the information provided in sections 4.4.1.

#### *4.4.4.2 In case of service recovery*

All the information provided in sections 4.4.4.1 and 4.4.2.

# 5 TRANSITIONAL PROVISIONS

EOs will be able to use EUCTP[3] to notify unavailability and get notifications only when the necessary functionality will be developed and deployed in EUCTP.

Until EUCTP is developed and deployed, the BCP procedure is applicable with the following deviations:

- in case of EO system unavailability:
    - EO (or IT service provider) should notify EO system unavailability to NSD in MS of registration (country that has issued EORI) or MS where EO has legal obligation to lodge ENSs. EO can also empower IT service provider to do this but legal obligation to lodge ENS filings and provide information requested by customs authorities remain with EO themselves;
    - NSD in MS of registration (country that has issued EORI) must register justified EO system unavailability in MON&BS asap;
- EO is notified about the ICS2 component unavailability, activation/deactivation of BCP and ICS2 component slowdown/slowdown recovery via e-mail notifications sent out from MON&BS. In order to get those e-mail notifications EO must log-in ICS2 STP[4] and configure his/her e-mail address.

*End of document*

[3] DG TAXUD's assumption on a tool to be used for this BCP purposes. Tool can still be changed and this BCP will be updated accordingly (if necessary).

[4] For more details on how to get access rights to ICS2 STP, you can consult https://taxation-customs.ec.europa.eu/customs/customs-security/import-control-system-2_en