

DG TAXUD

Business continuity plan   
for Economic Operators

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# Introduction

## Purpose

This document describes the impact on a business process and assesses the criticality of an unavailability of a given component of the ICS2. Furthermore, it introduces measures to maintain an appropriate level of business continuity with regard to the required customs formalities on the entry of goods.

## Scope

This document covers the measures for continuity of the business of ICS2 Release 1 only. Disaster recovery plans and IT protocols for technical issues are not covered by this document. These artefacts will be elaborated separately.

## Target Audience

The intended audience for this document are:

* DG TAXUD Central service desk;
* National service desks of the Member States;
* Economic operators filing ENS filings;
* IT service providers;
* any person involved in the ICS2 project.

## 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.

## Reference and applicable documents

### 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 |  |  | 9/10/2013 |
| 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 |  |  | 28/07/2015 |
| 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 |  |  | 24/11/2015 |
| R04 | CD3-ICS2-HTI-Interface Control Document |  | 2.90 | 25/11/2020 |

Table 1: Reference documents

## Abbreviations and Acronyms

|  |  |
| --- | --- |
| Abbreviation/Acronym | Definition |
| AEO | Authorised Economic Operator |
| BCP | Business continuity plan |
| CSD | Central Service Desk |
| DNL | Do Not Load |
| ENS | Entry Summary Declaration |
| EO | Economic Operator |
| EU | European Union |
| HRCM | High Risk Cargo and Mail |
| ICS2 | Import Control System 2 |
| IMS | Involved Member State |
| MRN | Master Reference Number |
| MS | Member State |
| NES | National Entry System |
| NSD | National Service Desk |
| RfI | Request for Information |
| RfS | Request for Screening |
| RMS | Responsible Member State |

Table 2: Abbreviations and acronyms

## Definitions

|  |  |
| --- | --- |
| **Term** | **Description** |
| Central service desk (CSD) | The DG TAXUD contractor responsible for the central operation in ICS2 (ITSM) with two level support |
| IT service provider | IT service provider is entity acting as a technical sender of the messages and assuming only technical responsibility. |

Table 3: Definitions

# 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.

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.

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 system components and their impact on the business process in case of unavailability:



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.

# Business continuity measures and communication

Economic operator is directly responsible to comply with legal requirements of the customs legislation. CSD, DG TAXUD and IT service provider will support the business continuity process but customs of particular MS is always the one taking a decisions and providing instructions for EO established in its country in case of unavailability of ICS2 components.

## Economic operator system unavailability

The unavailability of an economic operator’s system affects either one economic operator in case of an in-house IT solution or all economic operators, which 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.



Table 5 EO System unavailability



Figure 1 Business continuity plan activation timeline for EO system

|  |  |  |  |
| --- | --- | --- | --- |
| **Unavailable component** | | | |
| Economic Operator System | | | |
| **Component unavailability description** | | | |
| The system of an Economic Operator is considered to be unavailable when it cannot interact (send and receive messages) as per the specifications of ICS2 regardless of the reason. If the Economic Operator System unavailability can be compensated (alternatively handled) by another facility of the Economic Operator without impact on the operations continuity, there is no reason to activate any business continuity measures by the Customs Authorities. | | | |
| **Unavailability identification and notification** | | | |
| Relevant EO | Once the EO has detected an unavailability in their system or system components, the unavailability needs to be notified to the NSD of the MS to which the EO has legal obligation to file ENS filings.  In case of the unavailability of the IT Service provider system, the unavailability needs to be notified by the IT Service provider to the CSD and to all postal operators affected. In this case CSD will notify NSD(s) on EO unavailability.  The unavailability notification has to be sent after 30 minutes from the detection of unavailability and it has to contain all the details as elaborated in [3.5.1]. | | 30 min |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD of the MS to which the EO is addressing the ENS filings notifies the CSD (except IT service provider unavailability where IT service provider notify CSD himself) as soon as information on the unavailability of the EO system has been provided. | | asap |
| CSD | The CSD notifies:   * In case of unavailability of the express operator’s system – all NSDs; * In case of the unavailability of the IT service provider of the postal operators – all NSDs although only those MS whose postal operators are using IT service provider system are affected. | | asap |
| **Activation of Business continuity plan** | | | |
| NSD | If the EO system is not restored, the business continuity plan is activated 30 minutes after the unavailability has been notified.  The NSD notifies the activation of the business continuity plan and applicable measures to:   * EOs that are filing their ENSs [3.5.3] * MS users   The NSD notifies the CSD of the activation of the business continuity plan and the measures. | | 30 min |
| EO | EO notifies IT service provider on activation of business continuity plan, if necessary. | | asap |
| CSD | The CSD notifies about the activation of the BCP all NSDs. | | asap |
| **Business continuity measures** | | | |
| **Lodgement of new ENS** | | | |
| ENS filings | | No new ENS filings will be lodged during the unavailability of the EO system.  If the goods (postal consignments) have already arrived to the EU and are presented to customs, the lodgement of an ENS is waived and the risk assessment for security and safety purpose is done on another customs declaration, e.g. temporary storage, if possible.  If the goods (express consignments) have already arrived to the EU and are presented to customs, the lodgement of the PLACI is waived. ENS will be lodged in ICS1. | |
| Amendment | | No amendments will be done on the already filed ENSs | |
| Invalidation | | Invalidation of ENS will not be performed | |
| **Risk assessment of already lodged ENSs** | | | |
| Referral requests (RFI, RFS) for the EO | | Issued via alternative communication channels – e-mail, phone, etc. | |
| Referral responses from the EO | | Communicated via alternative communication channels – e-mail, phone, etc. | |
| DNL | | Issued via phone and e-mail | |
| Assessment complete notifications | | Not communicated to the EO during the unavailability of their system | |
| Advance control notification to AEO | | Communicated via alternative communication channels – e-mail, phone, etc. | |
| **Presentation and controls** | | | |
| Presentation information | | If the goods (postal consignments) have already arrived to the EU and are presented to customs:   * If the ENS for the goods was lodged, no further actions * If ENS for the goods was not lodged, lodgement of an ENS is waived and the risk assessment for security and safety purpose is done on another customs declaration, e.g. temporary storage, if possible. | |
| If the goods (express consignments) have already arrived to the EU and are presented to customs:   * If the ENS for the goods was lodged, no further actions * If ENS for the goods was not lodged, the lodgement of the PLACI is waived. ENS will be lodged in ICS1. | |
| **Recovery strategy** | | | |
| **Recovery communication** | | | |
| Relevant EO | Once the EO system has been restored it has to be notified to the NSD of the MS to which the EO is addressing the ENS filings.  In case of the IT Service provider system, the recovery needs to be notified by IT service provider to the CSD and to all postal operators affected. | | asap |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD of the MS to which the EO is addressing the ENS filings notifies deactivation of BCP to:   * CSD * MS users * EO   as soon as information on the recovery of the EO system has been provided. | | asap |
| CSD | The CSD notifies all MSs. | | asap |
| The CSD notifies all NSDs on deactivation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has deactivated BCP. | | asap |
| **Recovery measures** | | | |
| Relevant EO | EO has to lodge ENS filings for all the goods that have not yet been presented to customs immediately after the system has been restored. | | |
| EO can amend and invalidate the ENS filings which are not yet in the state ‘Presented’. | | |
| Referral responses that have been provided via alternative means have to be sent via the system. | | |
| The messages need to be forwarded in quantities not to disrupt the regular performance of the HTI 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. | | |
| ICS2 Central components | The HTI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol. The re-sent messages should be sent in quantities not disrupting the EO system. To be further elaborated in the technical protocols.  Statistics are gathered by the central components for the unavailability of the EO system and the delayed responses to risk analysis requests. | | |
| NES | Risk analysis is performed to the provided ENSs even if with a delay. | | |

## HTI unavailability

### UUM&DS Central component unavailability



Table 6 UUM&DS unavailability



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

|  |  |  |  |
| --- | --- | --- | --- |
| **Unavailable component** | | | |
| UUM&DS Central Component | | | |
| **Component unavailability description** | | | |
| The unavailability of the UUM&DS services prevents the system from identifying and authenticating the sender of a message. The submitted messages are rejected with an error message [R04]. Consequently, the business process does not continue and messages are not registered, further processed and responded. The UUM&DS component is considered unavailable in the case of the failover domain activation failure.  The UUM&DS central component information is cached in TAPAS for 24 hours. If an Economic Operator has not sent a message within the last 24 hours or is newly registered, there is no authentication information available about it in the stored cache. | | | |
| **Unavailability identification and notification** | | | |
| CSD | The CSD notifies:   * All NSDs; * IT service provider [3.5.2].   The unavailability notification has to be sent after 30 minutes from the detection of unavailability. | | 30 min |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD of each MS affected notifies all the EOs that are filing their ENSs to their MS and it has to contain all the details as elaborated in [3.5.2]. | | asap |
| IT service provider | IT service provider notifies unavailability to all clients (postal operators) affected. | | asap |
| **Activation of Business continuity plan** | | | |
| CSD | If the component is not restored, the CSD needs to notify the NSD of affected MS about the possibility of activation of the Business continuity plan.  This notification needs to be communicated 30 minutes after the notification of the unavailability of the component. | | 30 min |
| The CSD notifies all NSDs about activation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has activated BCP. | | asap |
| NSD | The business continuity plan is activated by the MS to which the EO is filing the ENS filings. Decision to activate the BCP needs to be taken immediately after receipt of the CSD notification allowing for BCP activation.  The NSD notifies the activation of the business continuity plan and applicable measures to:   * EOs that are filing their ENSs [3.5.3]; * MS users; * CSD. | | asap |
| EO | EO notifies IT service provider on activation of business continuity plan, if necessary. | | asap |
| **Business continuity measures** | | | |
| **Lodgement of new ENS** | | | |
| ENS filings | | No new ENS filings will be lodged during the unavailability of the component.  If the goods (postal consignments) have already arrived to the EU and are presented to customs, the lodgement of an ENS is waived and the risk assessment for security and safety purpose is done on another customs declaration, e.g. temporary storage, if possible.  If the goods (express consignments) have already arrived to the EU and are presented to customs, the lodgement of the PLACI is waived. ENS will be lodged in ICS1. | |
| Amendment | | No amendments will be done on the already filed ENSs. | |
| Invalidation | | Invalidation of ENS will not be performed. | |
| **Risk assessment of already lodged ENSs** | | | |
| Referral requests (RFI, RFS) for the EO | | No impact | |
| Referral responses from the EO | | Communicated via alternative communication channels – e-mail, phone, etc. | |
| DNL | | No impact | |
| Assessment complete notifications | | No impact | |
| Advance control notification to AEO | | No impact | |
| **Recovery Strategy** | | | |
| **Recovery Communication** | | | |
| CSD | The CSD notifies:   * All NSDs; * IT service provider   that the component has been recovered. | | asap |
| The CSD notifies all NSDs about deactivation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has deactivated BCP. | | asap |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD of each MS affected notifies:   * all the EOs that are filing their ENSs to their MS * MS users   that the component has been recovered and the Business continuity plan is no longer applicable. | | asap |
| IT service provider | IT service provider notifies recovery to all clients (postal operators) affected. | | asap |
| EO | EO notifies IT service provider on deactivation of BCP, if necessary. | | asap |
| **Recovery measures** | | | |
| Relevant EO | EO has to lodge ENS filings for all the goods that have not yet been presented to customs immediately after the component has been restored. | | |
| EO can amend and invalidate the ENS filings. | | |
| Referral responses that have been provided via alternative means have to be sent via the system. | | |
| The messages need to be forwarded in quantities not to disrupt the regular performance of the HTI 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. | | |
| NES | Risk analysis is performed to the provided ENSs even if with a delay. | | |

### UUM&DS unavailability – National Component



Table 7 UUM&DS unavailability



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

|  |  |  |  |
| --- | --- | --- | --- |
| **Unavailable component** | | | |
| UUM&DS National Component | | | |
| **Component unavailability description** | | | |
| The unavailability of UUM&DS National component will prevent the system from identifying and authenticating the sender of a message. The submitted messages are rejected with an error message. Consequently, the business process does not continue and messages are not registered, further processed and responded.  The UUM&DS national component is considered unavailable in the case of the failover domain activation failure.  The UUM&DS national component information is cached in TAPAS for 24 hours. If an Economic Operator has not sent a message within the last 24 hours or is newly registered, there is no authentication information available about it in the stored cache. | | | |
| **Unavailability identification and notification** | | | |
| NSD | The NSD of the affected MS notifies:   * All the EOs that are filing their ENSs to the affected MS; * CSD.   The unavailability notification has to be sent after 30 minutes from the detection of unavailability and it has to contain all the details as elaborated in [3.5.2]. | | 30 min |
| CSD | The CSD notifies all NSDs. | | asap |
| **Activation of Business continuity plan** | | | |
| NSD | If the component is not restored within 30 minutes of the unavailability notification, the business continuity plan is activated by the MS. Decision to activate the BCP needs to be taken within 30 minutes after detection of the component unavailability.  The NSD notifies the activation of the business continuity plan and applicable measures to:   * EOs [3.5.3]; * MS users; * CSD. | | 30 min |
| CSD | CSD notifies activation of the Business continuity plan by an affected MS to all NSDs. | | asap |
| **Business continuity measures** | | | |
| **Lodgement of new ENS** | | | |
| ENS filings | | No new ENS filings will be lodged during the unavailability of the component.  If the goods (postal consignments) have already arrived to the EU and are presented to customs, the lodgement of an ENS is waived and the risk assessment for security and safety purpose is done on another customs declaration, e.g. temporary storage, if possible.  If the goods (express consignments) have already arrived to the EU and are presented to customs, the lodgement of the PLACI is waived. ENS will be lodged in ICS1. | |
| Amendment | | No amendments will be done on the already filed ENSs. | |
| Invalidation | | Invalidation of ENS will not be performed. | |
| **Risk assessment of already lodged ENSs** | | | |
| Referral requests (RFI, RFS) for the EO | | No impact | |
| Referral responses from the EO | | Communicated via alternative communication channels – e-mail, phone, etc. | |
| DNL | | No impact | |
| Assessment complete notifications | | No impact | |
| Advance control notification to AEO | | No impact | |
| **Recovery Strategy** | | | |
| **Recovery Communication** | | | |
| NSD | The NSD notifies about the recovery of the component and that the Business continuity plan is no longer applicable:   * All the EOs that are filing their ENSs to their MS; * Affected IT service provider, if any; * MS users; * CSD. | | asap |
| CSD | The CSD notifies all NSDs about the recovery of a MS component and deactivation of BCP by a particular NSD. | | asap |
| IT service provider | IT service provider notifies recovery to all clients (postal operators) affected. | | asap |
| **Recovery measures** | | | |
| Relevant EO | EO has to lodge ENS filings for all the goods that have not yet been presented to customs immediately after the component has been restored. | | |
| EO can amend and invalidate the ENS filings. | | |
| Referral responses that have been provided via alternative means have to be sent via the system. | | |
| The messages need to be forwarded in quantities not to disrupt the regular performance of the HTI 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. | | |
| NES | Risk analysis is performed to the provided ENSs even if with a delay. | | |

### TAPAS unavailability



Table 8 TAPAS unavailability



Figure 4 Business continuity plan activation timeline for TAPAS component

|  |  |  |  |
| --- | --- | --- | --- |
| **Unavailable component** | | | |
| TAPAS | | | |
| **Component unavailability description** | | | |
| No message exchange between the Economic Operators and the HTI can take place. | | | |
| **Unavailability identification and notification** | | | |
| CSD | The CSD notifies about detected unavailability:   * All NSDs; * Affected IT service provider, if any [3.5.2].   The unavailability notification has to be sent after 30 minutes from the detection of unavailability. | | 30 min |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD notifies:   * all the EOs that are filing their ENSs to their MS and it has to contain all the details as elaborated in [3.5.2]; * relevant MS user. | | asap |
| IT service provider | IT service provider notifies unavailability to all clients (postal operators) affected. | | asap |
| **Activation of Business continuity plan** | | | |
| CSD | If the component is not restored, the CSD needs to notify the NSDs about the possibility of activation of the Business continuity plan.  This notification needs to be communicated 30 minutes after the notification of the unavailability of the component. | | 30 min |
| The CSD notifies all NSDs about the activation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has activated BCP. | | asap |
| NSD | The business continuity plan is activated by the MS to which the EO is filing the ENS filings. Decision to activate the BCP needs to be taken immediately after receipt of the CSD notification allowing for BCP activation.  The NSD notifies the activation of the business continuity plan and applicable measures to:   * EOs [3.5.3] * IT service providers [3.5.3] * MS users; * CSD. | | asap |
| **Business continuity measures** | | | |
| **Lodgement of new ENS** | | | |
| ENS filings | | No new ENS filings will be lodged during the unavailability of the component.  If the goods (postal consignments) have already arrived to the EU and are presented to customs, the lodgement of an ENS is waived and the risk assessment for security and safety purpose is done on another customs declaration, e.g. temporary storage, if possible.  If the goods (express consignments) have already arrived to the EU and are presented to customs, the lodgement of the PLACI is waived. ENS will be lodged in ICS1. | |
| Amendment | | No amendments will be done on the already filed ENSs. | |
| Invalidation | | Invalidation of ENS will not be performed. | |
| **Risk assessment of already lodged ENSs** | | | |
| Referral requests (RFI, RFS) for the EO | | Issued via alternative communication channels – e-mail, phone, etc. | |
| Referral responses from the EO | | Communicated via alternative communication channels – e-mail, phone, etc. | |
| DNL | | Issued via phone and e-mail. | |
| Assessment complete notifications | | Not communicated to the EO during the unavailability of TAPAS. | |
| Advance control notification to AEO | | Communicated via alternative communication channels – e-mail, phone, etc. | |
| **Recovery Strategy** | | | |
| **Recovery Communication** | | | |
| CSD | The CSD notifies about the recovery:   * All NSDs * Affected IT service provider, if any | | asap |
|  | The CSD notifies all NSDs about the deactivation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has deactivated BCP. | | asap |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD of each MS affected notifies:   * all the EOs that are filing their ENSs to their MS; * MS users; * CSD;   that the component has been recovered and the Business continuity plan is no longer applicable. | | asap |
| IT service provider | IT service provider notifies recovery to all clients (postal operators) affected. | | asap |
| **Recovery measures** | | | |
| Relevant EO | EO has to lodge ENS filings for all the goods that have not yet been presented to customs immediately after the component has been restored. | | |
| EO can amend and invalidate the ENS filings. | | |
| Referral responses that have been provided via alternative means have to be sent via the system. | | |
| The messages need to be forwarded in quantities not to disrupt the regular performance of the HTI 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. | | |
| ICS2 Central components | The HTI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol. | | |
| NES | Risk analysis is performed to the provided ENSs even if with a delay. | | |

### STI unavailability



Table 9 STI unavailability



Figure 5 Business continuity plan activation timeline for STI component

|  |  |  |  |
| --- | --- | --- | --- |
| **Unavailable component** | | | |
| Shared Trader Interface | | | |
| **Component unavailability description** | | | |
| No message exchange between the Economic Operators and the HTI can take place.  In case of unavailability of the STI, 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 Economic Operators 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 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. | | | |
| **Unavailability identification and notification** | | | |
| CSD | The CSD notifies about detected unavailability:   * All NSDs; * IT service provider [3.5.2].   The unavailability notification has to be sent after 30 minutes from the detection of unavailability. | | 30 min |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD notifies:   * all the EOs that are filing their ENSs to their MS [3.5.2]; * relevant MS user. | | asap |
| IT service provider | IT service provider notifies unavailability to all clients (postal operators) affected. | | asap |
| **Activation of Business continuity plan** | | | |
| CSD | If the component is not restored, the CSD needs to notify the NSDs about the possibility of activation of the Business continuity plan.  This notification needs to be communicated 30 minutes after the notification of the unavailability of the component. | | 30 min |
| The CSD notifies all NSDs about the activation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has activated BCP. | | asap |
| NSD | The business continuity plan is activated by the MS to which the EO is filing the ENS filings. Decision to activate the BCP needs to be taken immediately after receipt of the CSD notification allowing for BCP activation.  The NSD notifies the activation of the business continuity plan and applicable measures to:   * EOs [3.5.3]; * IT service providers [3.5.3]; * MS users; * CSD. | | asap |
| **Business continuity measures** | | | |
| **Lodgement of new ENS** | | | |
| ENS filings | | New ENS filings can be lodged during the unavailability of the component. If the message load is too large the CSD may request to stop sending of the messages.  If the goods (postal consignments) have already arrived to the EU and are presented to customs, the lodgement of an ENS is waived and the risk assessment for security and safety purpose is done on another customs declaration, e.g. temporary storage, if possible.  If the goods (express consignments) have already arrived to the EU and are presented to customs, the lodgement of the PLACI is waived. ENS will be lodged in ICS1. | |
| Amendment | | Amendments of the ENSs can be lodged, but already filed ENSs will not be amended until the system is restored. | |
| Invalidation | | Invalidation of ENS can be requested, but will not be performed until the system is restored. | |
| **Risk assessment of already lodged ENSs** | | | |
| Referral requests (RFI, RFS) for the EO | | Issued via alternative communication channels – e-mail, phone, etc. | |
| Referral responses from the EO | | Response messages can be sent to the system, but they will only be processed after the system is restored. For this reason they need to be communicated via alternative communication channels – e-mail, phone, etc. in addition to the messages sent via system. | |
| DNL | | Issued via phone and e-mail. | |
| Assessment complete notifications | | Not communicated to the EO during the unavailability of STI. | |
| Advance control notification to AEO | | Communicated via alternative communication channels – e-mail, phone, etc. | |
| **Recovery Strategy** | | | |
| **Recovery Communication** | | | |
| CSD | The CSD notifies about the recovery:   * All NSDs * Affected IT service provider, if any. | | asap |
| The CSD notifies all NSDs about the deactivation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has deactivated BCP. | | asap |
| NSD  (MS to which the EO is addressing the ENS filings) | The NSD of each MS affected notifies:   * all the EOs that are filing their ENSs to their MS; * MS users; * CSD;   that the component has been recovered and the Business continuity plan is no longer applicable. | | asap |
| IT service provider | IT service provider notifies recovery to all clients (postal operators) affected. | | asap |
| **Recovery measures** | | | |
| Relevant EO | EO has to lodge only the missing ENS filings. In case the ENS filings were lodged during the unavailability the EO does not need to do any further actions. | | |
| EO can amend and invalidate the ENS filings. If amendment or invalidation was requested during the unavailability, no further actions from the EO are needed. | | |
| Referral responses that have been provided via alternative means have to be sent via the system. If referral responses were submitted via the system in addition to the other communication channels during the unavailability, no further actions from the EO are needed. | | |
| The messages need to be forwarded in quantities not to disrupt the regular performance of the HTI 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. | | |
| ICS2 Central components | The HTI needs to re-send the messages to the EO for which the delivery was not confirmed by the technical protocol. | | |
| NES | Risk analysis is performed to the provided ENSs even if with a delay. | | |

## Central component unavailability



Table 10 Central component unavailability

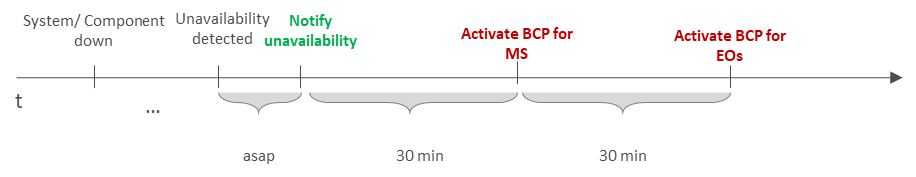


Figure 6 Business continuity plan activation timeline for CR component

|  |  |  |  |
| --- | --- | --- | --- |
| **Unavailable component** | | | |
| Central component | | | |
| **Component unavailability description** | | | |
| Central component is unable to process any message received from the EO or MS and to orchestrate the processes and send messages out. All messages sent to the central component are queued.  The ENS filings will be validated by STI, registered, but no ENS life cycle validation will be performed and no risk analysis will be triggered and EO won’t be informed on MRN.  Communication between customs and EO on the ongoing risk analysis process, referrals and results of it via the system is not possible. Communication between the RMS and IMS on the ongoing risk analysis process is not possible. | | | |
| **Unavailability identification and notification** | | | |
| CSD | The CSD notifies all NSDs about detected unavailability.  The unavailability notification has to be sent immediately after the detection of unavailability. | | asap |
| **Activation of Business continuity plan** | | | |
| CSD | If the component is not restored, the CSD inform NSD about the need to activate the Business continuity plan.  CSD notify NSDs 30 minutes after the notification of the unavailability of the component.  CSD coordinates and orchestrates activation of business continuity plan by all the NSD at the same time. | | 30 min |
| The CSD notifies all NSDs about the activation of BCP by a particular NSD. This notification is to be sent immediately after particular NSD has activated BCP. | | asap |
| NSD | The NSD activated the business continuity plan immediately. | | asap |
| The NSD notifies the activation of the business continuity plan and applicable measures to the:   * MS users; * CSD.   This notification is sent out immediately after activation of BCP by NSD. | | asap |
| The NSD notifies the activation of the business continuity plan and applicable measures to the EOs that are filing the ENS in their MS and IT service providers that are registered in their MS and it has to contain all the details as elaborated in [3.5.3].  This notification is sent 30 minutes after the activation of the BCP by NSD. | | 30 min |
| **Business continuity measures for EO** | | | |
| **Lodgement of new ENS** | | | |
| ENS filings | | New ENS filings prior to loading can be lodged during the unavailability of the component.  MRNs will be communicated to EOs after component is restored.  **Measures:**  No measures to be applied. | |
| Amendment | | Amendments of the ENSs can be lodged, but already filed ENSs will not be amended until the system is restored.  **Measures:**  No measures to be applied. | |
| Invalidation | | Invalidation of ENS can be requested, but will not be performed until the system is restored.  **Measures:**  No measures to be applied. | |
| **Risk assessment of already lodged ENSs** | | | |
| Referral requests (RFI, RFS) for the EO | | Referral request messages will not pass via the CR.  **Measures:**  Referral requests will be issued via alternative communication channels – e-mail, phone, etc. | |
| Referral responses from the EO | | Response messages for referrals that were issued before the unavailability can be sent to the system, but they will only be processed after the system is restored.  **Measures:**  Referral responses sent via system, in addition need to be communicated via alternative communication channels – e-mail, phone, etc.  Referral responses to the request issued via alternative means need to be communicated via alternative means. | |
| DNL | | Decision to issue a DNL will not be received by the CR and DNL request will not be issued to the EO via the system.  **Measures:**  DNL will be issued via phone and e-mail. | |
| Assessment complete notifications | | Assessment complete messages will not be sent by the CR.  **Measures:**  Assessment complete will not be communicated to the EO during the unavailability of the component. | |
| Advance control notification to AEO | | MS decision to inform the AEO about the controls in advance will not be received by the CR and will not be communicated to the EO.  **Measures:**  Communicated via alternative communication channels – e-mail, phone, etc. | |
| **Presentation and controls** | | | |
| Presentation information / control results | | MS can decide if and when they want to apply the BCP for the presentation and control process.  If the goods (postal consignments) have already arrived to the EU and are presented to customs:   * If the ENS for the goods was lodged, no further actions * If ENS for the goods was not lodged, lodgement of an ENS is waived and the risk assessment for security and safety purpose is done on another customs declaration, e.g. temporary storage, if possible. | |
| Presentation information / control results | | If the goods (express consignments) have already arrived to the EU and are presented to customs:   * If the ENS for the goods was lodged, no further actions * If ENS for the goods was not lodged, the lodgement of the PLACI is waived. ENS will be lodged in ICS1. | |
| **Recovery Strategy** | | | |
| **Recovery Communication** | | | |
| CSD | The CSD notifies all NSDs about the recovery. | | asap |
| NSD | The NSD notifies the EOs that are filing the ENS in their MS and IT service providers that are registered in their MS that the component has been recovered and the Business continuity plan is no longer applicable. | | asap |
| **Recovery measures** | | | |
| Relevant EO | Referral responses that have been provided via alternative means have to be sent via the system after the referral request is communicated via the system. If referral responses were submitted via the system in addition to the other communication channels during the unavailability, no further actions from the EO are needed. | | |

## ICS2 Message prioritisation

### 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 |
| 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 |
| C | IE3R07 | E\_INV\_ACC\_RSP | Invalidation Acceptance Response | L4-ICS2-08 Invalidate filing |
| B | IE3N01 | E\_ELF\_VLD\_NOT | ENS lifecycle validation error notification | L4-ICS2-01 Register filing |
| A | IE3N03 | E\_ASM\_CMP\_NOT | Assessment complete notification | L4-ICS2-03 Perform risk analysis |
| 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 |
| 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 |

## Templates for notification of the unavailability

Main means how to communicate unavailability is:

* in case of scheduled unavailability information between CSD and NSD will be exchanged via ICS2 Monitoring user interface (MON UI);
* in case of scheduled unavailability information between CSD and IT service provider or between NSD and EO will be exchanged via e-mail;
* in case of unscheduled unavailability via e-mail.

If e-mail should be used to communicate unavailability you can:

* use templates described in this section (file format MS Word or pdf);
* indicate all the details elaborated in the templates as a free text.

### Economic Operator unavailability notification information template (EO to NSD or IT service provider to CSD)

Template or all the details elaborated in template is to be used by:

* EO to notify NSD on scheduled/unscheduled unavailability of EO system;
* IT service provider to notify CSD on scheduled/unscheduled unavailability of EO system.

This template can be reused by:

* NSD to notify CSD and other NSDs on unavailability of EO system;
* CSD to notify NSDs on unavailability of IT service provider.

|  |  |  |
| --- | --- | --- |
| 1. | EO name notifying the unavailability: |  |
| 1.1. | Type of EO: | Postal operator  Express carrier  IT service provider |
| 1.2. | In which country impacted EO is located (*IT service provider can indicate one or several countries)*: | AT  BE  BG  CH  CY  CZ   DE  DK  EE  ES  FI  FR   GR  HR  HU  IE  IT  LT   LU  LV  MT  NL  NO  PL   PT  RO  SE  SI  SK  UK |
| 2. | Unavailability type: | scheduled  unscheduled |
| 3. | Which is the unavailable component/ functionality? |  |
| 4. | Which is the impacted ICS2 related business process: | |
| Sending information to ICS2:  Lodgement of ENS Filings  ENS Filings Amendment  Invalidation request  RfI Response  RfS Response | Receiving information from ICS2:  ENS Registration response  Invalidation Acceptance Response  Amendment Notification  RfI Requests  RfS Requests  DNL  Assessment complete  Advanced Control Notification |
| 5. | Identified start date and time of the unavailability? |  |
| 6. | Expected end date and time of the unavailability? |  |

Table 11 EO Unavailability notification information template

|  |  |  |
| --- | --- | --- |
| 1. | EO name notifying the unavailability: | Valsts akciju sabiedrība "Latvijas Pasts" |
| 1.1. | Type of EO: | Postal operator  Express carrier  IT service provider |
| 1.2. | In which country impacted EO is located (*IT service provider can indicate one or several countries)*: | AT  BE  BG  CH  CY  CZ   DE  DK  EE  ES  FI  FR   GR  HR  HU  IE  IT  LT   LU  LV  MT  NL  NO  PL   PT  RO  SE  SI  SK  UK |
| 2. | Unavailability type: | scheduled  unscheduled |
| 3. | Which is the unavailable component/ functionality? | Referrals handling component cannot send information, but the incoming messages are successfully received. |
| 4. | Which is the impacted ICS2 related business process: | |
| Sending information to ICS2:  Lodgement of ENS Filings  ENS Filings Amendment  Invalidation request  RfI Response  RfS Response | Receiving information from ICS2:  ENS Registration response  Invalidation Acceptance Response  Amendment Notification  RfI Requests  RfS Requests  DNL  Assessment complete  Advanced Control Notification |
| 5. | Identified start date and time of the unavailability? | 23.10.2020 09:00 |
| 6. | Expected end date and time of the unavailability? | 23.10.2020 22:00 (tentative) |

Table 12 EO Unavailability notification information example

### ICS2 Component / NES unavailability notification information template (NSD to EO/IT service provider or CSD to IT service provider)

Template or all the details elaborated in template is to notify EO and/or IT service provider on unavailability for one or several ICS2 components. IT service provider can be notified by NSD or CSD but EO will always be notified by NSD.

|  |  |  |
| --- | --- | --- |
| 1. | EO(s) to be notified about unavailability: | Postal operator  Express carrier  IT service provider |
| 2. | Unavailability type: | scheduled  unscheduled |
| 3. | Unavailable component(s)? | ICS2 central component:  UUM&DS Central component  TAPAS  STI  UUM&DS National component:  AT  BE  BG  CH  CY  CZ   DE  DK  EE  ES  FI  FR   GR  HR  HU  IE  IT  LT   LU  LV  MT  NL  NO  PL   PT  RO  SE  SI  SK  UK |
| 4. | Which is the impacted ICS2 related business process for EO(s): | |
|  | Sending information to ICS2:  Lodgement of ENS Filings  ENS Filings Amendment  Invalidation request  RfI Response  RfS Response | Receiving information from ICS2:  ENS Registration response  Invalidation Acceptance Response  Amendment Notification  RfI Requests  RfS Requests  DNL  Assessment complete  Advanced Control Notification |
| 5. | What is the identified start date and time of the unavailability? |  |
| 6. | What is the expected end date and time of the unavailability? |  |

Table 13 ICS2 Unavailability notification information

### Business continuity plan activation notification template (NSD to EO/IT service provider)

Template or all the details elaborated in template is to be used by NSD to notify EO and/or IT service provider on activation of business continuity plan for one or several ICS2 components and business continuity measures to be activated.

|  |  |  |
| --- | --- | --- |
| 1. | MS notifying the Business continuity plan activation: | AT  BE  BG  CH  CY  CZ   DE  DK  EE  ES  FI  FR   GR  HR  HU  IE  IT  LT   LU  LV  MT  NL  NO  PL   PT  RO  SE  SI  SK  UK |
| 2. | Who to notify for Business continuity plan activation: | Postal operator  Express carrier  IT service provider |
| 3. | To which ICS2 components Business continuity plan is activated by NSD: | |
|  | EO system  UUM&DS central component  UUM&DS national component | TAPAS  STI  Central component  NES (RMS) |
| 4. | When NSD activated Business continuity plan (start date and time)? |  |
| 5. | What are the business continuity measures to be activated? | Lodgement of new ENS  Risk assessment of already lodged ENS  Presentation  Control |
| 5.1. | Additional information on business continuity measures. |  |

Table 14 ICS2 BCP activation notification template (NSD to EOs)

### Notification on recovery of ICS2 components

Template or all the details elaborated in template is to be used by EO and/or IT service provider to notify NSD on availability of one or several ICS2 components. On the bases of information received NSD will make a decision to deactivate business continuity plan.

|  |  |  |
| --- | --- | --- |
| 1. | Who notifies availability of ICS2 components: | CSD  Economic operators  IT service provider |
| 2. | Which ICS2 components are available again: | |
|  | Central components  UUM&DS central component  TAPAS  STI | EO system |
| 3. | When ICS2 components were available again (date and time)? |  |

Table 15 ICS2 components are recovered

### Business continuity plan is deactivated

Template or all the details elaborated in template is to be used by NSD to notify CSD, EO and/or IT service provider on deactivation of business continuity plan for one or several ICS2 components.

|  |  |  |
| --- | --- | --- |
| 1. | National service desk deactivating Business continuity plan: | AT  BE  BG  CH  CY  CZ   DE  DK  EE  ES  FI  FR   GR  HR  HU  IE  IT  LT   LU  LV  MT  NL  NO  PL   PT  RO  SE  SI  SK  UK |
| 2. | To which ICS2 components Business continuity plan is deactivated: | |
| EO system  UUM&DS central component  UUM&DS national component  TAPAS  STI | Central components  NES (RMS)  NES (IMS)  NES (PNES)  NES (CNES) |
| 3. | When Business continuity plan is deactivated (date and time)? |  |

Table 16 BCP deactivation notification template

## Scheduled unavailability

MSs and CSD is going to notify each other about scheduled unavailability. Scheduled unavailability should be organised in time windows when there is less operational activity and should be recorded in MON UI one week in advance for national components (not later than 48 hours in advance).

MON UI does not support dissemination of these notifications to EOs, therefore NSD should provide this information to impacted EOs.

NSD should be notified on scheduled unavailability of Economic operator systems not later than 48 hours in advance.

Activation of business continuity plan in case of scheduled unavailability:

* NSD can decide whether and when to activate business continuity plan in case of Economic operators scheduled unavailability;
* NSD should activate business continuity plan only in case of long scheduled unavailability (more than 3 hours). CSD coordinates and orchestrates activation of business continuity plan by all the NSD.

*End of document*