RFC Proposal

RFC Title	Cancellation of Enquiry Request (IE059): sent [or not] after IE006 or IE018
Related Incident(s) / Known Error	IM26503, IM41295, IM158484, KE11680
Impacted Systems	NCTS ☒ ECS ☐ ICS ☐ EOS ☐ COPIS ☐ TARIC ☐ RISK Mgmt ☐ NCTS TIR RU ☐
Type of Change	Simplified ☐ Standard ☒ Emergency ☐
Affected Document(s) & Version	DDNTA v19.40, FTSS CORR 2015-1
Implementation date	*Proposed* by COM **As soon as possible.** Big bang (Y ☐ /**N** ☒) **At the latest by 01/10/2017**
	Decision by ECCG-20 **As soon as possible.** Big bang (Y ☐ /**N** ☒) **At the latest by 01/10/2017**

What has been changed in this version 1.10

➔ Confirmation that the RFC Proposal v1.01 is implemented in FTSS Corrigendum 1/2017 and DDNTA v20.00.

Analysis – Justification

THIS NEW VERSION WAS SENT FOR NPM REVIEW #2
WITH VARIOUS CORRECTIONS, TO TAKE INTO ACCOUNT
THE COMMENTS RECEIVED DURING THE FIRST REVIEW CYCLE (in May 2013).

This RFC-Proposal may have no impact on a number of NTA which are possibly
already aligned *to the proposed clarification of the FTSS/DDNTA. To be assessed by each NA.*

Following some questions raised during a CT campaign, the status of the IE059 in Operations was analysed in IM26503. The analysis revealed that the Cancel Enquiry Notification C_CAN_ENQ (IE059) message is frequently rejected by various NTAs. Mid 2016, the same issue is still observed in operations (see IM158484). It appears that:

- for a significant number of NAs, the Competent Authority of Enquiry (at Departure) shall always send the IE059 after it receives an IE006 or IE018, in case there is an "open" Enquiry Request C_ENQ_REQ (IE142 not responded with IE143),
- while for another significant number of NAs the IE059 is not expected, and thus it is rejected as 'out of sequence'.

This proposal aims at solving the above issue by clarifying and adjusting the functional and technical specifications to enable a correct and harmonized implementation in all NTAs.

Firstly, the RFC-Proposal identifies the various cases under which the Country of Departure is eligible to send a valid IE059 in order to cancel an "open" Enquiry Request. Secondly, it evaluates the DDNTA against these cases.

In the FTSS, the following processes are identified which refer to the enquiry procedure and the IE059 message specifically:

- According to process **CO020701** – "*Store and forward arrival advice*":
  "(…) When an enquiry at another Office of Destination is in progress, NCTS records the cancellation of the

enquiry (see Process: CO021803) and notifies (IE059) all Customs Offices (except the one which sent the control results) that were requested to answer to the enquiry about the cancellation (see dashed line labelled "CO requested to answer enquiry (…) ".

- According to process **CO021801** – "*Handle Destination control results*":
"(…) When an enquiry is in progress about the movement, NCTS records the cancellation of the enquiry and notifies (IE059) all Customs Offices (except the one which sent the control results) that were requested to answer to the enquiry about the cancellation (see dashed line labelled "CO requested to answer enquiry") (...)".

- Also, the process **CO040402** – "*Send enquiry request to the indicated Office*" states:
"(…) In case there had been a IE142 sent to the Declared Office of Destination or any other Customs Office, which is different from the one provided by the trader before, this IE142 shall be cancelled beforehand by sending the IE059 (see Process CO021803 "Cancel enquiry process"). There shall **never be more than one** IE142 pending (…)";

- According to the process **CO021803** – "*Cancel enquiry process*":
"The Customs Office, requested for enquiry, is notified (IE059) that the enquiry related to the movement identified by IE059.TRANSIT OPERATION.MRN can be cancelled. NCTS records the cancellation."

- Finally, the process **CO040800** – "*Carry out enquiry at requested Office*" states the following:
"(…) When the movement is located (arrived) and control results are available these must be communicated with the IE006/IE018 (see dashed line labelled "Able to send IE006 and/or IE018)", **no IE143 is needed in these cases** since the IE006 and the IE018 or where the IE006 has already been received earlier the IE018 **are positive answers to the IE142**. (…).";

Thus, based on the FTSS, the Competent Authority of Enquiry (at Departure) **must send** an IE059 to the requested Competent Authority of Enquiry in the following cases:

- If an Arrival Advice C_ARR_ADV (IE006) has been sent by an Office of Destination which is different from the Competent Authority of Enquiry that received the latest Enquiry Request C_ENQ_REQ (IE142);
- If a Destination Control Results C_DES_CON (IE018) has been sent by an Office of Destination which is different from the Competent Authority of Enquiry that received the latest Enquiry Request C_ENQ_REQ (IE142);
- If the Competent Authority of Enquiry (at Departure) wishes to send an Enquiry Request C_ENQ_REQ (IE142) to a Competent Authority which is different from the Competent Authority of Enquiry that has already received an IE142 but has not responded. In this case, the Competent Authority of Enquiry (at Departure) shall cancel the open enquiry request firstly and then proceed with submitting the new one.

According to FTSS, the Competent Authority of Enquiry(at Departure) **can send** an IE059 to cancel the enquiry procedure with the Requested Competent Authority of Enquiry at any time after submission of the IE142 to the Requested Office (of course, if the latter has not responded yet).

But it remains ambiguous if the fact that the IE143 is received and not needed in some cases (see CO040800 above), may justify that the IE059 would be not expected by the **country** that responded to IE142 with IE006 or IE018 (Is the IE059 out of sequence? To be ignored? To be rejected?).

In addition, the above text highlighted in yellow ("notifies (IE059) all Customs Offices") is contradicting the text highlighted in green ("never be more than one IE142 pending"), and must be corrected.

In the DDNTA v19.40, the **Section III.III.2.1.2 – "*Sufficient information – Enquiry with Arrival Processing Resumed*"** includes the **Figure 51** (*Sufficient information – Enquiry with Arrival Processing Resumed*) which describes the sequence IE142-IE006-IE018, without any IE059 exchanged. But it's not clearly defined that the Customs Office sending the IE006 also plays the role of Competent Authority of Enquiry.

The cancellation of enquiry is also handled under the **Section III.III.2.1.10 – "*Cancellation of Enquiry Request*"**, from which the following can be concluded:

The Competent Authority of Enquiry (at Departure) must send an IE059, as illustrated by Figure 59:

- When the timer 'Wait for enquiry response' expires with no Enquiry Response C_ENQ_NEG (IE143) sent by the Requested Competent Authority of Enquiry;
- When the movement state is set to the "Recovery recommended" at Departure and no response (IE143)

has been received from the Requested Competent Authority of Enquiry yet;

- In case the Competent Authority of Enquiry (at Departure) wants to interrupt the enquiry procedure at any time after the 'Handle Enquiry' has been started;
- In case the Competent Authority of Enquiry (at Departure) wants to send a **new** Enquiry Request (IE142) either to another Competent Authority or to extend the existing one.

According to the analysis above, the case of receiving an IE006 or an IE018 from an office which is **different** from the Competent Authority of Enquiry that has received the latest Enquiry Request (IE142) are **not** included in the DDNTA. Also, the case of the presentation of alternative proof from the trader and the paper control results (IE110) from the Office of Destination shall also be handled because these cases may lead to the write-off of the movement and thus, if there is an open enquiry request, this shall be cancelled.

To sum up, the DDNTA specifications will be revised to also include the description of the exchange of IE059 in the following four cases:

- The case that the Office of Departure receives an **Arrival Advice C_ARR_ADV (IE006)** submitted from an Office of Destination which is different from the Competent Authority of Enquiry that has received the latest ('open') IE142;
- The case that the Office of Departure receives a **Destination Control Results C_DES_CON (IE018)** submitted from an Office of Destination which is different from the Competent Authority of Enquiry that has received the latest ('open') IE142;
- The case of the **presentation of alternative proof** from the principal trader to the Office of Departure;
- The case of **paper-based control results (IE110)** from the Office of Destination if the latter is unable to send the IE006 and/or IE018 to the Office of Departure.

This proposal aims at correcting, clarifying and synchronizing the FTSS and DDNTA documents according to the outcome of the current analysis (based on the DG TAXUD/A3 position in '*QA_12_017_IM 26503.doc*'). The implementation of the RFC-Proposal will improve the specifications and, consequently, the National Transit Applications and it will eventually prevent the rejection of messages on the Common Domain.

This RFC-Proposal will simplify/reduce the work at Office of Enquiry (with enquiries properly closed in the national databases) and at National Helpdesks (tracking less error messages, less calls) and at ITSM Business Monitoring (less calls opened, reported, tracked).

Some NTA may be already aligned to the proposed clarification of the FTSS/DDNTA. Therefore, all NA are invited to properly assess the impact of this RFC-Proposal on their NTA.

Proposed Changes (Functional)

The FTSS Corr2015 shall be updated - To be aligned with the DDNTA change.

- For the process **CO020701** – "*Store and forward arrival advice*":
  "... When an enquiry at another Office of Destination is in progress, NCTS records the cancellation of the enquiry (see Process: CO021803) and notifies (IE059) **all** ~~Customs Offices (except the one which sent the control results) that were requested~~ the Competent Authority of Enquiry (except if the Customs Office of Destination which sent the control results also plays the role of Competent Authority of Enquiry) that was requested to answer to the enquiry about the cancellation (see dashed line labelled "CO requested to answer enquiry … ".
- For the process **CO021801** – "*Handle Destination control results*":
  "... When an enquiry is in progress about the movement, NCTS records the cancellation of the enquiry and notifies (IE059) **all** ~~Customs Offices (except the one which sent the control results) that were requested~~ the Competent Authority of Enquiry (except if the Customs Office of Destination which sent the control results also plays the role of Competent Authority of Enquiry) that was requested to answer to the enquiry about the cancellation (see dashed line labelled "CO requested to answer enquiry")...".

Proposed Changes (Technical)

The following changes are proposed to be performed:

- **DDNTA v19.40 – Main Document**

  1. **Section III.III.1.2 – "Messages Overview regarding Handle Enquiry and Handle Recovery"**

     The 4th bullet shall be changed as highlighted below:
     - "Cancel Enquiry Notification C_CAN_ENQ (IE059) as identified in the process threads CO20701 'Store and forward arrival advice', CO021803 'Cancel enquiry process', CO021801 'Handle destination control results', CO040402 'Send enquiry to the indicated office', and CO040800 'Carry out enquiry at requested Office".
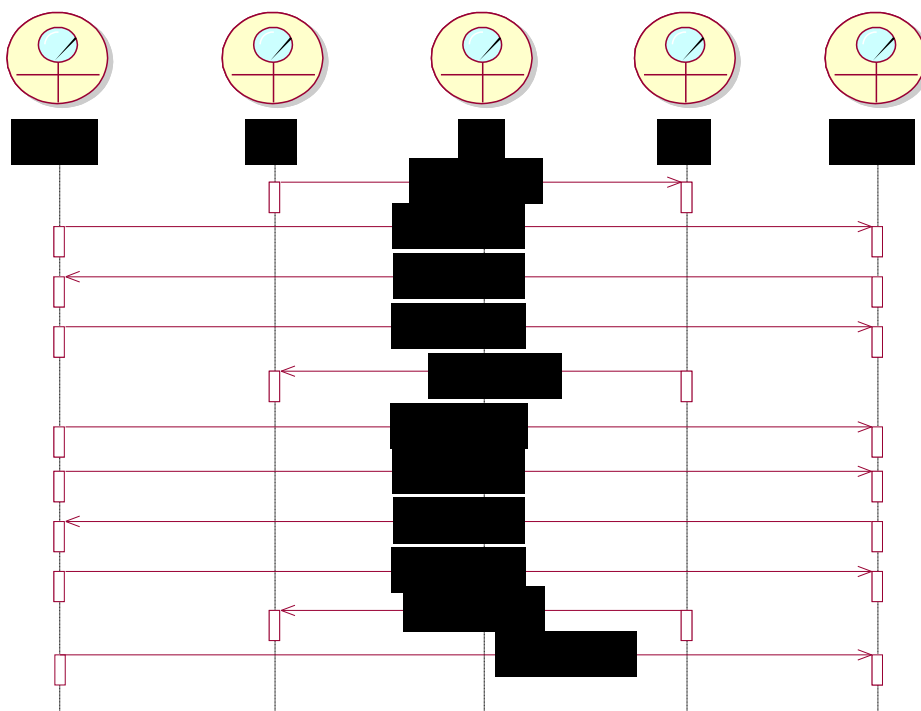
  2. **Section III.III.2.1.2 - Sufficient information – Enquiry with Arrival Processing Resumed** shall be amended as follows:

     In this scenario the Competent Authority of Enquiry (at Destination) now locates the movement and, as a consequence, the normal arrival process is resumed. The Office of Destination sends the Arrival Advice C_ARR_ADV (IE06) and Control Results C_DES_CON (IE18) to the Office of Departure.
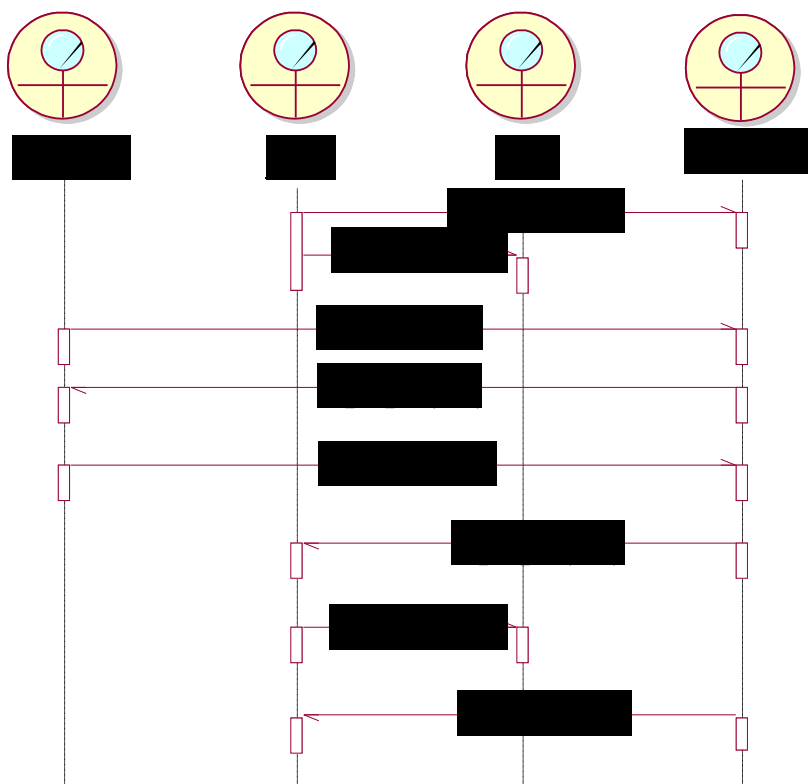
     Note that in this instance the Enquiry Response C_ENQ_NEG (IE143) does not need to be sent.

     - If the Office of Departure receives an Arrival Advice C_ARR_ADV (IE006) from an Office of Destination which is different from the Competent Authority of Enquiry that has received the Enquiry Request C_ENQ_REQ (IE142), the Cancel Enquiry Notification C_CAN_ENQ (IE059) **shall be sent** to the Competent Authority of Enquiry that has received the IE142 but has not responded yet (see Figure 51). Even if the Office of Destination that sent the IE006 and the Competent Authority of Enquiry are located in the same country. A similar exchange applied if the IE142 was sent after the IE006 (due to the absence of IE018).

     >> [a new **Figure 51** will be inserted to illustrate the pattern *IE001 > IE904 > IE905 > IE142 > IE006 > IE059 > IE904 > IE905 > IE142 > IE018 > IE059*]<<

- If the Office of Departure receives an Arrival Advice C_ARR_ADV (IE006) from an Office of Destination which **also** plays the role of Competent Authority of Enquiry, the Cancel Enquiry Notification C_CAN_ENQ (IE059) **shall not be sent** to this Customs Office that received the IE142 and responded with IE006 (see Figure 52).

>> [the current Figure 51 will become **Figure 52** – ! ! ! This figure will be corrected to include the IE024 sent (after IE006) to the OoTra that didn't send the IE118] <<

3. **Section III.III.2.1.6 - Insufficient information – alternative proof and movement closed** shall be amended to include the following note added under the current Figure 55:

Note: This test intends to test the exchange of the messages for cancelling a open enquiry request and When the Customs Officer at the Competent Authority of Enquiry (at Departure) opened an enquiry at the Competent Authority of Enquiry (at Destination) before it decides to write off the movement manually, closing the movement upon registration of alternative proof, the message Cancel Enquiry Notification C_CAN_ENQ (IE059) will be sent to the Competent Authority of Enquiry (at Destination) and the Forward Arrival Advice C_FWD_ARR (IE024) to the Office of Destination (and Office(s) of Transit if applicable).

4. **Section III.III.2.1.10 – Cancellation of Enquiry Request** shall be amended as follows:
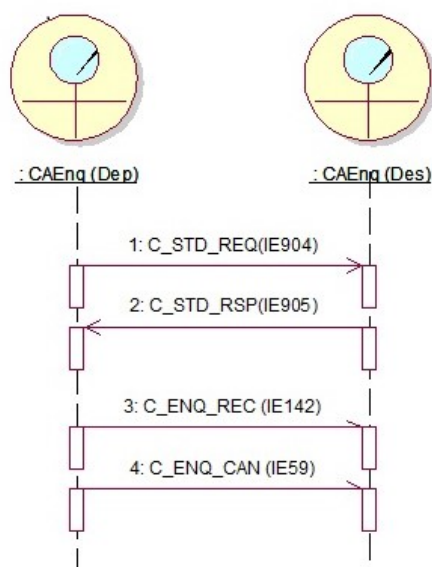
Various cases can occur:

a) At any time after the Handle Enquiry has been started, the Competent Authority of Enquiry (at Departure) can interrupt the enquiry process by sending the Enquiry Cancellation C_CAN_ENQ (IE059) to the Competent Authority of Enquiry (at Destination). Upon receipt of the Enquiry Cancellation C_CAN_ENQ (IE059) each investigation concerning the enquiry at the Office of Destination is terminated.

b) In the case the Competent Authority of Enquiry (at Departure) has sent an Enquiry Request C_ENQ_REQ (IE142) to the a Competent Authority of Enquiry (at Destination) and the timer "Wait for enquiry response" expires with no Enquiry Response C_ENQ_NEG (IE143) received, the Enquiry Request C_ENQ_REQ (IE142) has to be cancelled by the Competent Authority of Enquiry (at Departure) by sending the Enquiry Cancellation C_CAN_ENQ (IE059). before sending a new Enquiry Request C_ENQ_REQ (IE142)

c) In the case the Competent Authority of Enquiry (at Departure) intends to extend the enquiry by the same Competent Authority, a new Enquiry Request C_ENQ_REQ (IE142) may be sent, but the Competent Authority of Enquiry (at Departure) must first send the IE059 to this same Competent Authority of Enquiry.

The above three cases are illustrated by the Figure 60:

>> [the current Figure 59 will become **Figure 60**] - ! ! ! The new figure 60 will be corrected to include the IE904 and IE905 before the IE142 <<

d) As soon as the Arrival Advice C_ARR_ADV (IE006) or the Destination Control Results C_DES_CON (IE018) is received from an Office of Destination which is different from the Office that received the Enquiry Request C_ENQ_REQ (IE142), the Competent Authority of Enquiry (at Departure) shall automatically cancel the Enquiry Request C_ENQ_REQ (IE142) by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Competent Authority of Enquiry (if the Enquiry Request C_ENQ_REQ (IE142) has not been responded yet).

The above case is illustrated by the **Figure 51** in **Section III.III.2.1.2.**

The following two exceptional cases can also occur:

e) In the case Paper Control Results C_RES_PAP (IE110) is received by the Office of Departure from the Actual Office of Destination, the Enquiry Request C_ENQ_REQ (IE142) has to be cancelled by the Competent Authority of Enquiry (at Departure) by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Competent Authority of Enquiry that has previously received an Enquiry Request C_ENQ_REQ (IE142) but has not responded with an IE143 yet. Afterwards, the movement can be written-off manually as described in Section III.I.2.2.12.

f) In the case the trader provides an alternative proof to the Office of Departure regarding the release of goods at destination, and upon acceptance from the Office of Departure, the Enquiry Request C_ENQ_REQ (IE142) has to be cancelled by the Competent Authority of Enquiry (at Departure) by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Competent Authority of Enquiry that has previously received an Enquiry Request C_ENQ_REQ (IE142) but has not responded yet.

g) In the case where the movement moves to the "Recovery recommended" state at Departure, the Competent Authority of Enquiry (at Departure) shall cancel ~~all the open enquiries~~ any open enquiry by sending the Cancel Enquiry Notification C_CAN_ENQ (IE059) to the Office ~~those Offices~~ that ~~have~~ has previously received an Enquiry Request C_ENQ_REQ (IE142) but ~~have~~ has not yet responded.

This case is also illustrated by the Figure 60 above.

h) In the case:

- the Competent Authority of Enquiry (at Departure) has sent an Enquiry Request C_ENQ_REQ (IE142) to the Competent Authority of Enquiry (at Destination) before the exchange of the Arrival Advice C_ARR_ADV (IE006) or the Destination Control Results C_DES_CON (IE018),

- and, the Office of Destination also plays the role Competent Authority of Enquiry,

- and, the Office of Destination send the Arrival Advice C_ARR_ADV (IE006) or the Destination Control Results C_DES_CON (IE018),

then the Cancel Enquiry Notification C_CAN_ENQ (IE059) shall not be sent by the Competent Authority of Enquiry (at Departure) (i.e. the IE059 will be rejected with IE906 as out-of-sequence if it is received for this movement).

This case is illustrated by the **Figure 52** in **Section III.III.2.1.2.**

5. **Section III.III.3.1.2 – Office of Departure (after movement release):** the 6th bullet shall be amended as indicated below:
   - Provided that no other enquiry is pending, the Competent Authority of Enquiry (at Departure) can send an IE142 setting the timer "Wait for enquiry response". If an IE142 has been previously sent,

the Competent Authority of Enquiry (at Departure) shall send an IE059, and then it can ~~send~~ proceed with sending the ~~a~~ new IE142 and will resetting the timer "Wait for enquiry response". The state of the movement remains "Under enquiry procedure";

6. **Section III.III.3.6.1 – "Business Timers":** The following changes shall be performed to the Table with title "Business Timers" concerning the timer '*Wait for Enquiry response'*:

Wait for Enquiry response	
…	…
…	…
Expires:	**CO040003:Handle negative enquiry response - [the case of no response]** The ~~Office of Destination~~ Competent Authority of Enquiry that received the IE142 does not respond with an IE143 and the "Wait for enquiry response" timer expires. The state remains "Under Enquiry procedure" and the cancellation of the pending enquiry is performed by sending the Enquiry Cancellation C_CAN_ENQ (IE059) to the Competent Authority of Enquiry that received the latest IE142. The Customs Officer at Departure can send a new Enquiry Request C_ENQ_REQ (IE142) afterwards. ~~In case the "Wait for enquiry response" is expired with no receipt of the IE142, the enquiry cancellation is performed. The Customs Officer at Departure can send a new Enquiry Request C_ENQ_REQ (IE142).~~

The above changes affect the DDNTA Main Document v19.40.

Proposed Changes (BPM Level1-Level4)
N/A

Proposed Changes (other CIs with possible impact on National applications)
No changes.

Related Changes in COM applications (For information only)	
CTP/NCTS	CTP/NCTS v9.71 will be adapted to implement new scenarios.
STTA, TTA	STTA is not impacted. TTA will be adapted if required from the new scenarios.

Risks	
Risk of implementing (incl. Risk Level)	No significant risk is foreseen. The content of the message IE059 is not changed, only the flow defining when the message IE059 is sent to which Office. Considering the existing de-synchronisation, a strict big-bang is not required. There is always a possible (minor) risk of regression to be mitigated at National level.
Mitigation actions	It will be possible for NAs to test the (new) scenarios related to IE059, using TTA in self-service mode.
Impact of not implementing	If the proposed changes are not implemented, the misalignment of the functional and technical specifications will continue to exist. Also, the NAs' IT systems will continue to invalidate and reject messages which could lead to hanging procedures and incomplete movements. **This RFC-Proposal may have no impact on a number of NTA which may be already aligned to the proposed content of the DDNTA.**

Document History

Version	Status	Date	Comment
v0.10	Draft by CUSTDEV2	26/10/2007	*DDNA KEL Proposal submitted for review to DG Taxud*
v0.20	Draft by CUSTDEV3	04/08/2014	*Draft RFC Proposal submitted for review to DG Taxud*
v0.21	Update by DG TAXUD/A5	11/08/2014	*Various correction in all document*
v0.22	Update by CUSTDEV3	25/09/2014	*RFC Proposal submitted for review to DG Taxud*
v0.23	Update by DG TAXUD/A5	18/08/2016	*Global upgrade.*
v0.24	Update by DG TAXUD/A5	19/08/2016	*Ready for CAB@TAXUD (22/08).*
v0.30	NPM Review #2	23/08/2016	*Sent for NPM review.*
v1.00	Accepted	22/09/2016	*No comment to be implemented (see details in section* 'Information about the NPM Review'*)*
v1.01	Approved by ECCG-20	14/10/2016	*On 05/10/2016, ECCG-20 confirmed it's part of RFC-List.29 for implementation by 01.10.2017 (at the latest).* *- **Sections 'Proposed Changed' are not modified.*** *- **Only metadata are updated.***
v1.10	Implemented in DDNA	05/04/2017	*Section 'Implementation information' added.*

Contact information

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Review information #1

1. Review by NPMs from 07/05/2013 until **Tuesday 20/05/2013 COB**.
2. See IM41602: ECG review of '(402)_KE11680_IM41295_Cancellation of Enquiry Request (IE059 after IE018)-V0.10'
3. Comments were received from NA-CZ, NA-DE, NA-NL, NA-NO, NA-PT.

Review information #2

1. Review by NPMs from 23/08/2016 until **Thursday 15/09/2016 COB**.
2. File also published on CIRCABC in the interest group « e-Customs IT aspects »:
   https://circabc.europa.eu/w/browse/a84670d1-e588-4860-8d88-38658f57ca9c.
   → Library > 01_Common_NCTS_ECS_ICS > 04_TECHNICAL_SPECS > 04_RFCs > 11_RFC_Proposals
3. Comments to be sent to: support@itsmtaxud.europa.eu with cc to taxud.e-customs.technical-specs@ec.europa.eu.

Information about the NPM Review

Comments/responses received from NA-CH, NA-DE, NA-FI, NA-IT, NA-NL and NA-PT.
'No Action' on 5 comments (i.e. no comment 'To Be Implemented').
Details in the embedded PDF file:

APO on (402)

APO published on CIRCABC and in SYNERGIA IM165412.
It is understood that the implementation date in NA-CH cannot be confirmed at this stage.

ECCG Decision

Formal decision on 5-6/10/2016: **included in RFC-List.29 that has implementation date 01.10.2017**.

Implementation information

Implemented in the DDNTA v20.00 (dated 16.03.2017) published on CIRCABC.

Figures 51, 52 and 60 from the DDNTA v20.00 were inserted in the above section "Proposed Changes (Technical)".

NOTE: The DDNTA v20.00 introduced the following error: 'IE110' was replaced by 'IE**0**110' (5 occurences). It will be fixed in the next release of DDNTA.

Also implemented in *2ftss-4-0-e-FTSS CORR 2017_1-SECTION II-BUSINESS PROCESS THREADS FOR CORE BUSINESS_SfR.doc*

RFC-List.29#387