# Impact Analysis Report / RFC-Proposal

**Section 1: Meta-data**

|  |  |
| --- | --- |
| **RFC ID** | **RFC\_NCTS\_0121** (RTC-58569) |
| **Related Incident ID** | IM471584 |
| **RFC Initiator / Organization** | NA-AT |
| **CI** | NCTS-P5 (DDNTA-5.14.1-v1.00 Main Document) |
| **Type of Change** | **Standard** **Emergency** |
| **Nature of Change** | Justification for Evolutive   |  | | --- | |  | |
| **RFC Source** | |  |  | | --- | --- | | **Legal & Policy Change**  **Organisational Changes** | **Business Change**  **IT Change** | |
| **Review by Business User recommended?** | **Yes No** |

***Change Summary***

|  |
| --- |
| **DDNTA-5.14.1-v1.00 (Main Document): EFBT scenario - Deletion of all Export MRNs from the Transit Movement following amendment** |
| In case one Export MRN is allocated to the Transit Movement, it is possible to delete it from the HOUSE CONSIGNMENT.PREVIOUS DOCUMENT through amendment. However, it is impossible to communicate this information to AES (via IE190) since the Export MRN is no longer available in the Transit. This RFC-Proposal solves the case where all Export MRNs are deleted from a transit declaration via amendment (information communicated to AES (Office of Exit) to de-allocate them. |

**Section 2: Problem statement**

|  |
| --- |
| In paragraph “**III.II.7.3 Amendment of the Transit Declaration for the Export Followed by Transit**” of the DDNTA Main Document v5.14.1-v1.00, the following is mentioned:  The below scenarios describe what happens when the Holder of the Transit Procedure requests amendment of the transit declaration having export as previous procedure (i.e. after its acceptance). Only if changes into the previous documents (i.e. under the House Consignment data group) of the transit declaration exist (i.e. added/updated/removed Export MRNs) and provided that the amendment request from the Holder of the Transit Procedure is valid (i.e. in terms of message structure and R/Cs), then the Office of Departure contacts the Office of Exit to validate the Export MRNs.  This check is conducted by the Office of Departure with the ‘Transit Presentation Notification’ N\_XFT\_REQ (IE190) message. If positive ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) is returned from the Office of Exit, then the transit declaration continues its normal processing with the amended data. However, if negative ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) is returned from the Office of Exit, then the Holder of the Transit Procedure is notified with the ‘Notification to Amend Declaration’ E\_AMD\_NOT (IE022) message to submit an updated amendment request (i.e. this is a mandatory prerequisite for the transit movement ). The process can only continue if the amended data on the ‘problematic’ Export MRNs is validated successfully from AES this time, meaning that the Office of Departure has received a positive ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) message.  In the structure of the IE015, we see that the DG **HOUSE CONSIGNMENT-PREVIOUS DOCUMENT** can be deleted through amendment as there is no restriction:  Where E1301 says:      However, the following problematic case was identified:   * one (1) Export MRN has been declared into transit declaration and this single Export MRN is allocated to AES (Office of Exit) for the specific Transit MRN, * the transit declaration is amended and this Export MRN is deleted (DG **HOUSE CONSIGNMENT-PREVIOUS DOCUMENT** is removed) * >> no IE190 can be sent to AES since the DG **EXPORT OPERATION** (that contains the Export MRN) is required:       Consequently, it appears necessary to document the following two procedures:   * In case **some** Export MRNs (**one or more, but not all**) are **deleted** though amendment of the transit declaration (via IE013), then the **IE190** is sent **to de-allocate** these Export MRNs from the specific Transit MRN; * In case **all** Export MRNs are **deleted** through amendment of the transit declaration (via IE013), then the **IE040** will be sent to **de-allocate all** the Export MRNs. In the latter case, the transit movement continues its normal business flow without having Export MRNs as previous procedure.   The above changes should have minimal implementation impact in NCTS-P5 and no impact in AES. |

**Section 3: Description of proposed solution**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| The following update will be performed into the **DDNTA-5.14.1-v1.00** **(Main Document)** (changes are depicted in red colour):   1. **The paragraph “*III.II.7.3 Amendment of the Transit Declaration for the Export Followed by Transit*” will be updated as follows:**   The below scenarios describe what happens when the Holder of the Transit Procedure requests amendment of the transit declaration having export as previous procedure (i.e. after its acceptance). Only if changes into the previous documents (i.e. under the House Consignment data group) of the transit declaration exist (i.e. added/updated/removed Export MRNs) and provided that the amendment request from the Holder of the Transit Procedure is valid (i.e. in terms of message structure and R/Cs), then the Office of Departure contacts the Office of Exit to ~~validate~~allocate or de-allocate these Export MRNs.  In case Export MRNs are deleted or added (but at least one (1) Export MRN is present in the transit data) through amendment, ~~T~~this check is conducted by the Office of Departure with the ‘Transit Presentation Notification’ N\_XFT\_REQ (IE190) message. If positive ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) is returned from the Office of Exit, then the transit declaration continues its normal processing with the amended data. However, if negative ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) is returned from the Office of Exit, then the Holder of the Transit Procedure is notified with the ‘Notification to Amend Declaration’ E\_AMD\_NOT (IE022) message to submit an updated amendment request (i.e. this is a mandatory prerequisite for the transit movement ). The process can only continue if the amended data on the ‘problematic’ Export MRNs is validated successfully from AES this time, meaning that the Office of Departure has received a positive ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) message.  In case all Export MRNs are deleted through amendment, then the Office of Departure contacts the Office of Exit to de-allocate the Export MRNs from the Transit MRN through the ‘Transit Invalidation Notification to AES’ N\_INV\_TRA (IE040) message. In that case, the Office of Departure continues its normal business flow without having any Export MRNs as previous procedure.  […]   1. **The following paragraphs in section “*III.II.7.3.1 T-TRA-EFT-A-006-Amendment of transit declaration having export as previous procedure – Positive Response from AES*” will be updated as follows:**   This scenario examines what happens when the Office of Exit replies with positive response to the Office of Departure following amendment of the transit declaration altering Export MRNs referenced in the transit declaration (i.e. after valid amendment request submitted by the Holder of the Transit Procedure) or when due to amendment of the transit declaration, the Office of Exit receives an invalidation notification to de-allocate all Export MRNs.  […]  The state of the transit movement at the Office of Departure is under [Accepted](#_Office_of_Departure).  **[Step 11]** The Holder of the Transit Procedure submits a ‘Declaration Amendment’ E\_DEC\_AMD (IE013) message to the Office of Departure.  **[Step 12]** The Office of Departure validates the amendment request sent by the Holder of the Transit Procedure (i.e. in terms of message structure and R/Cs) and if valid, communicates the acceptance with the ‘Amendment Acceptance’ E\_AMD\_ACC (IE004) message.  The state of the transit movement at the Office of Departure remains under [Accepted](#_Office_of_Departure).  The Office of Departure verifies that changes are made into the Export MRNs under the Previous Document data group(s) due to the submitted amendment requested by the Holder of the Transit Procedure (i.e. added/updated/deleted Export MRNs).  **CASE A: At least one (1) Export MRN is present after amendment**  **[Step 13]** Since changes have been made in the Export MRNs, but at least one (1) Export MRN still remains present in the transit declaration after amendment of the transit declaration, the Office of Departure sends to the Office of Exit the ‘Transit Presentation Notification’ N\_XFT\_REQ (IE190) message (i.e. the value of the ‘AES communication purpose’ data element indicates ‘Amendment of Export MRNs referenced in Transit Declaration’) – please refer to Figure 74.  ~~It should be stressed that the ‘Transit Presentation Notification’ N\_XFT\_REQ (IE190) message contains all the Export MRNs present into the Previous Documents of the transit declaration (i.e. under the House Consignment data group) after the amendment.~~  The state of the transit movement at the Office of Departure is set to [Pending response from AES](#_Office_of_Departure).  **[Step 14]** The Office of Exit prepares and sends a positive ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) to the Office of Departure (please refer to Figure 74).  The state is set back to [Accepted](#_Office_of_Departure).  The process continues regularly from the same step after the acceptance of the transit movement:   * After [Step 11] of T-TRA-EFT-M-001-Core flow of the export followed by transit - External transit in case of external transit; or * After [Step 10] of T-TRA-EFT-M-002-Core flow of the export followed by transit - Internal transit (Appropriate Office of Destination) in case of internal transit with ‘appropriate’ Office of Destination.   **CASE B: No Export MRN is present after amendment**  **[Step 13]** In case changes have been made in the Export MRNs by removing all Export MRNs from the transit declaration after amendment, the Office of Departure sends to the Office of Exit the ‘Transit Invalidation Notification to AES’ N\_INV\_TRA (IE040) message - please refer to Figure 75.  The state is set back to [Accepted](#_Office_of_Departure).  The process continues regularly for the transit movement without having Export MRNs as previous procedure(s) after [Step 7] of T-TRA-DEP-A-014-Declaration amendment accepted.  […]   1. **In section “*III.II.7.3.1 T-TRA-EFT-A-006-Amendment of transit declaration having export as previous procedure – Positive Response from AES*” a new Time Sequence Diagram will be added (as Figure 75\*) to depict the Case B above, where all Export MRNs are deleted from the transit declaration through amendment**   **\*Note: Replacement of existing Figure 75 with the new figure and all other figures below will be incremented by one.**   1. **In section “*III.II.7.3.3.2 Scenario B: Amendment of the Transit Declaration that references Export MRNs*”, the following text will be added at the end:**   However, let’s assume that the initial allocation table at the Office of Departure and the Office of Exit is the following:   |  |  |  |  | | --- | --- | --- | --- | | **Transit** | **Export** | **Allocation Status in AES** | **Movement Status in AES** | | MRN | MRN1 | Allocated | Goods presented for transit | | MRN2 | Allocated | Goods presented for transit | | MRN3 | Allocated | Goods presented for transit |   The Holder of the Transit Procedure decides to submit an amendment request for the transit declaration with the ‘Declaration Amendment’ E\_DEC\_AMD (IE013) message, which is accepted by the Office of Departure. Consequently, the ‘Amendment acceptance’ E\_AMD\_ACC (IE004) message is sent to the Holder of the Transit Procedure. Due to the amendment of the transit declaration, all Export MRNs are now deleted from the transit declaration. In that case, the Office of Departure sends the ‘Transit Invalidation Notification to AES’ N\_INV\_TRA (IE040) message.  Following this change, the Office of Exit performs the following changes in the allocations table:   |  |  |  |  | | --- | --- | --- | --- | | **Transit** | **Export** | **Allocation status in AES** | **Movement Status in AES** | | MRN | MRN1 | De-allocated | AER Created | | MRN2 | De-allocated | AER Created | | MRN3 | De-allocated | AER Created |  1. **In section “*III.V.1.1 Office of Departure (until movement release)*”, in “****Figure 122: State Transition Diagram for Office of Departure (until release of movement)”**     **The following updates will be performed:**   * the IE040 message will be added as a self-transition (^IE040 all Export MRNs deleted) to the status “Accepted”; * the state transition name (from “Accepted to Pending response from AES”) will be renamed to ^IE190 (amendment – at least one Export MRN)  1. **The following paragraph in section “*III.V.1.1 Office of Departure (until movement release)*” will be updated as follows:**   After the acceptance of the transit declaration that contains Export MRNs in its previous documents (under the House Consignment level), a valid ‘Declaration amendment’ E\_DEC\_AMD (IE013) message is sent by the Holder of the Transit Procedure where at least one (1) Export MRN is present. The ‘Amendment acceptance’ E\_AMD\_ACC (IE004) message is sent and then the ‘Transit Presentation Notification’ N\_XFT\_REQ (IE190) message is sent to AES (Office of Exit) for validation. While an answer is expected from AES, the movement status is set to “Pending response from AES”. If positive ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) is returned from AES, the movement status is set back to “Accepted”, otherwise if negative ‘Transit Presentation Notification Response’ N\_XFT\_RSP (IE191) is returned from AES, the message ‘Notification to Amend Declaration’ E\_AMD\_NOT (IE022) is sent to the Holder of the Transit Procedure and the movement status is set “Under amendment request due to EFBT”. The transit declaration remains under this status until a valid ‘Declaration Amendment’ E\_DEC\_AMD (IE013) message is received from the Holder of the Transit Procedure. The process repeats by sending the ‘Amendment acceptance’ E\_AMD\_ACC (IE004) message to the Holder of the Transit Procedure and the ‘Transit Presentation Notification’ N\_XFT\_REQ (IE190) message to AES (Office of Exit).  However, it is also possible that after the acceptance of the transit declaration that contains Export MRNs in its previous documents (under the House Consignment level), a valid ‘Declaration amendment’ E\_DEC\_AMD (IE013) message is sent by the Holder of the Transit Procedure where all Export MRNs are deleted. The ‘Amendment acceptance’ E\_AMD\_ACC (IE004) message is sent and then the ‘Transit Invalidation Notification to AES’ N\_INV\_TRA (IE040) message is sent to AES (Office of Exit) to de-allocate all Export MRNs. The process continues normally without having Export MRNs as previous procedure and the state remains Accepted.  **IMPACT ASSESSMENT**  **No impact on External Domain (National Domain only).**  This RFC-Proposal is considered as a ***minor* improvement** of the DDNTA-5.14.1-v1.00 (Main Document).  The **Functional Specifications (FSS/BPM)-v5.30 also needs to be updated**, to reflect precisely the above explanation.  This RFC-Proposal recommends adaptation of the NTAs operating in NCTS-P5 (or under NCTS-P5 Conformance Testing). The proposed change has **no impact** on the Common Domain. Consequently, it can be deployed by each NA in a **flexible way**.  **Proposed** date of applicability in Operations (T-Ops): By 1.12.20**22** or when starting NCTS-P5 (**flexible**)  **Proposed** date of applicability in CT (T-CT): July 2022  **Expected** date of approval by ECCG (T-CAB): January 2022  **Impact on transition P4-P5**: None  **Consequence of not approving the RFC-Proposal**: In some exceptional cases, (IE013 that removes all Export MRNs from DG HOUSE CONSIGNMENT-PREVIOUS DOCUMENT), the Office of Departure will be unable to de-allocate the Export MRN in AES. An extra manual operation by the NHD will be required.  **Risk of not implementing the change**: Low.  Impacted IEs:   * None   Impacted CI Artefacts:   * **Functional Specifications (FSS/BPM)-v5.30: Yes;** * **DDNTA-5.14.1-v1.00 (Main Document & Appendix N): Yes;** * UCC IA/DA Annex B: No; * DDCOM-20.3.0-v1.00: No; * DDNTA-5.14.1-v1.00 (Appendix Q2\_R\_C, PDFs): No; * CSE-v51.6.0: No; * DMP Package-5.6.0 SfA-v1.00: No (incl. update of file Rules and Conditions\_v0.43): No; * NCTS\_CTP-5.7.0-v1.00: No; * NCTS\_TRP-5.7.5-v1.00: No; * CTS-5.6.1-v1.00: No; * ACS - v5.5.0 & ACS-Annex-NCTS: 5.5.0: No; * ieCA 1.0.1.0: No; * CRP-5.5.0-v1.00: No; * CS/MIS2\_DATA: No; * CS/RD2\_DATA: No; * AES-P1 and NCTS-P5 Long-Lived “Legacy” (L3) Movements Study v1.40: No. |

**Impact on CI artefacts**

|  |  |  |
| --- | --- | --- |
| **DDNTA-5.14.1-v1.00, Main Document & Appendix N** | Cosmetic  Low  Medium  High  Very High  Short description   |  | | --- | | **As described in Section 3 - Proposed Solution** | |
| **Functional Specifications (FSS/BPM)** | **Cosmetic  Low  Medium  High  Very High**  **Short description**   |  | | --- | | **The textual descriptions described in the Section 3 will be also transposed to the text of the *FSS-UCC NCTS Section I-BUSINESS PROCESS THREADS FOR CORE BUSINESS* and of the BPM.** | |

**Estimated impact on National Project**

|  |  |
| --- | --- |
| Cosmetic  Low?  Medium?  High  Very High  Short description   |  | | --- | | Update of the NTA for the process Export Followed by Transit when all Export MRNs are deleted from the transit declaration**. Depends on the National implementation.** Can be planned in a flexible way by each NA.  **🡪 To be assessed by each NA.** | |

|  |  |  |  |
| --- | --- | --- | --- |
| **Document History** | | | |
| **Version** | **Status** | **Date** | ***Comment*** |
| v0.10 | Draft by CUSTDEV3 | 15/12/2021 |  |
| v0.11 | Updates by CUSTDEV3 | 15/12/2021 |  |
| v0.12 | SfR to NPMs | 16/12/2021 |  |
| v1.00 | SfA to NPMs | 25/02/2022 | *Updates in blue based on APO* |