# Impact Analysis Report / RFC-Proposal

**Section 1: Meta-data**

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| **RFC ID** | **RFC\_NCTS\_0105** (RTC-52388) |
| **Related Incident ID** | IM406346 |
| **RFC Initiator / Organization** | NA-TR |
| **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***

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| **DDNTA-5.14.1-v1.00 (Main Document): The IE118 and IE168 messages should be accepted under Enquiry statuses** |
| An **update of the State Transition Diagram** (depicted in **Figure 123)** of the *Office of Departure (after movement release)* is needed to specify the acceptance of the messages IE118 and IE168 under the "**Enquiry recommended**" and "**Under enquiry procedure**" statuses. |

**Section 2: Problem statement**

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| The **Figure 123 - State Transition Diagram for Office of Departure after the movement is released** is displayed as follows for the ‘Enquiry recommended’ & ‘Under enquiry procedure’ statuses:    The State Transition Diagram should be corrected by adding the messages IE118 and IE168 as self-transitions under the statuses ‘Enquiry recommended’ and ‘Under enquiry procedure’.  The DDNTA **Appendix N** (sheet **TRA-OoDep**) also needs to be updated (to become aligned to the corrected State Transition Diagram):    and |

**Section 3: Description of proposed solution**

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| The following updates will be performed into the **DDNTA-5.14.1-v1.00** **(Main Document)** (changes are depicted in red colour):   * **The Figure 123 - State Transition Diagram for Office of Departure after the movement is released will be updated to add the IE118 and IE168 messages as self-transitions under the ‘Enquiry recommended’ & ‘Under enquiry procedure’ statuses.** * **The text below Figure 123 - State Transition Diagram for Office of Departure after the movement is released will be updated for the status ‘Enquiry recommended’, as follows:**   When the state of the movement becomes “Enquiry Recommended”, a ‘Status Request’ C\_STD\_REQ (IE094) message is sent to the Country of Office of Destination. Then the following cases apply:   * The Office of Destination system checks the state and automatically sends a ‘Status Response’ C\_STD\_RSP (IE095) message. If the state of the movement at destination does not correspond then the system automatically sends to the Office of Departure:   + The ‘Arrival Advice’ C\_ARR\_ADV (IE006). The state of the movement will change from “Enquiry Recommended” to “Arrived”;   + And/or the ‘Destination Control Results’ C\_DES\_CON (IE018):     - If the Destination Control Results show no discrepancies, the movement is written-off at Departure. The movement state becomes “Movement written off”;     - If the ‘Destination Control Results’ show major discrepancies (control result code ‘B1’), the state of the movement will change to “Movement under resolution” and then to “Movement written off” in the way that this is described above, when the ‘Destination Control Results’ C\_DES\_CON (IE018) are received. * ‘Notification Crossing Frontier’ C\_NCF\_NOT (IE118) is received by the Office of Departure when the transit movement crosses the frontiers of an Office of Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C\_ARR\_ADV (IE006) and/or no ‘Destination Control Results’ C\_DES\_CON (IE018) have previously been received. In that case, the status remains ‘Enquiry recommended’. * ‘Notification Leaving Security Area’ C\_LSA\_NOT (IE168) is received by the Office of Departure when the transit movement leaves the Safety & Security Area from an Office of Exit for Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C\_ARR\_ADV (IE006) and/or no ‘Destination Control Results’ C\_DES\_CON (IE018) have previously been received. In that case, the status remains ‘Enquiry recommended’. * ‘Incident Notification’ C\_INC\_NOT (IE180) message is sent by the Office of Incident Registration to the Office of Departure when incidents are registered. There is no update of status at the Office of Departure, but in turn sends the ‘Forwarded Incident Notification to CD’ C\_INC\_FWD (IE181) message only to those involved Offices (i.e. participate in transit movement as declared/actual Offices of Transit/Exit for Transit/Destination) that have not reported back with the ‘Notification Leaving Security Area’ C\_LSA\_NOT (IE168) or ‘Notification Crossing Frontier’ C\_NCF\_NOT (IE118) or ‘Arrival Advice’ C\_ARR\_ADV (IE006) message(s) and/or have not received the ‘Forwarded Arrival Advice’ C\_FWD\_ARR (IE024) message or have not received the ‘Incident Notification’ C\_INC\_NOT (IE180) message. Additionally, the ‘Forwarded Incident Notification to ED’ E\_INC\_NOT (IE182) message is sent to the Holder of the Transit Procedure for informational purposes (in case the declaration have been submitted electronically). * **The text below Figure 123 - State Transition Diagram for Office of Departure after the movement is released will be updated for the status ‘Under enquiry procedure’, as follows:**   When the movement is in “Under enquiry procedure” state and the Competent Authority of Enquiry at Destination has received the ‘Enquiry Request’ C\_ENQ\_REQ (IE142) message, the following cases apply:   * (…) * An IE002/IE114/IE164 is received. In case the movement has NOT been invalidated AND the movement did NOT arrive at the Office of Destination (i.e. no IE006 has been received by the Office of Departure), a positive IE003/IE115/IE165 response will be sent respectively, otherwise a negative IE003/IE115/IE165 response will be sent (i.e. **no IE906**, including for ‘MRN unknown’ that would be justified by an erroneous MRN or by an archived MRN); * ‘Notification Crossing Frontier’ C\_NCF\_NOT (IE118) is received by the Office of Departure when the transit movement crosses the frontiers of an Office of Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C\_ARR\_ADV (IE006) and/or no ‘Destination Control Results’ C\_DES\_CON (IE018) have previously been received. In that case, the status remains ‘Under enquiry procedure’; * ‘Notification Leaving Security Area’ C\_LSA\_NOT (IE168) is received by the Office of Departure when the transit movement leaves the Safety & Security Area from an Office of Exit for Transit. This message is accepted by the Office of Departure in case no ‘Arrival Advice’ C\_ARR\_ADV (IE006) and/or no ‘Destination Control Results’ C\_DES\_CON (IE018) have previously been received. In that case, the status remains ‘Under enquiry procedure’; * ‘Incident Notification’ C\_INC\_NOT (IE180) message is sent by the Office of Incident Registration to the Office of Departure, which can also be accepted when the message ‘Destination Control Results’ C\_DES\_CON (IE018) has been previously received. In case, though, the movement at the Office of Departure is already closed, then the ‘Incident Notification’ C\_INC\_NOT (IE180) message is ignored (i.e. it is not rejected with IE906). There is no update of status at the Office of Departure, but in turn sends the ‘Forwarded Incident Notification to CD’ C\_INC\_FWD (IE181) message only to those involved Offices (i.e. participate in transit movement as declared/actual Offices of Transit/Exit for Transit/Destination) that have not reported back with the ‘Notification Leaving Security Area’ C\_LSA\_NOT (IE168) or ‘Notification Crossing Frontier’ C\_NCF\_NOT (IE118) or ‘Arrival Advice’ C\_ARR\_ADV (IE006) and/or have not received the ‘Forwarded Arrival Advice’ C\_FWD\_ARR (IE024) message(s). Additionally, the ‘Forwarded Incident Notification to ED’ E\_INC\_NOT (IE182) message is sent to the Holder of the Transit Procedure for informational purposes. The ‘Incident Notification’ C\_INC\_NOT (IE180) message can also be sent when the Enquiry request is still open. That means an ‘Enquiry Request’ C\_ENQ\_REQ (IE142) has been sent but no ‘Enquiry Response’ C\_ENQ\_NEG (IE143) has been received yet. In case of an open Enquiry request, the ‘Forwarded Incident Notification to CD’ C\_INC\_FWD (IE181) message can also be sent by the Office of Departure.   **The DDNTA-5.14.1-v1.00** (**Appendix N) will be modified accordingly.**  **IMPACT ASSESSMENT**  **No impact on External Domain.**  This RFC-Proposal impacts the **state machine of the Office of Departure (after release)** to clarify that the messages IE118 and IE168 can also be exchanged when the status is ‘Enquiry recommended’ or ‘Under enquiry procedure’.  It is considered that the change proposed has no impact on business continuity and can therefore be deployed in a **flexible way**.  More specifically:   * If the NTA(NCTS-P5) at Office of Departure is not aligned with this RFC-Proposal,   then the incoming IE118 and IE168 messages **should be rejected** with IE906 (Out of sequence) under these two enquiry statuses. This will not create a major problem to the operations, but it is strongly recommended that the NAs implement this change as early as possible in order to avoid rejecting information that is helpful for the continuation of the enquiry procedure;   * If a movement that was initiated by an NTA aligned to DDNTA-5.14.1-v1.00) continues its flow under the new DDNTA 5.15.0 release (*open movement*),   Then there is no extra issue. See previous bullet.  **Proposed** date of applicability in Operations (T-Ops): As soon as possible, at latest 1.12.2023  **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**: Useful information is rejected by OoDEP, but the enquiry procedure can continue without problem. More manual work for the National Helpdesks.  **Risk of not implementing the change**: LOW, please see above the section “IMPACT ASSESSMENT”  Impacted IEs:  - None  Impacted CI Artefacts:  **- Functional Specifications (FSS/BPM)-v5.30: Yes;**  **- DDNTA-5.14.1-v1.00 (Main Document): Yes;**  **- DDNTA-5.14.1-v1.00 (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;  - CTS-5.6.1-v1.00: No;  - ACS-v5.5.0 & ACS-Annex-NCTS: 5.5.0: No;  - NCTS\_CTP-5.7.0-v1.00: No;  - NCTS\_TRP-5.7.5: 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**

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| **DDNTA-5.14.1-v1.00** | Cosmetic  Low  Medium  High  Very High  Short description   |  | | --- | | **Main Document: As described in Section 3 - Proposed Solution**  **Appendix N (sheet TRA-OoDep): will be extended to also mention the messages IE118 and messages IE168** | |
| **Functional Specifications (FSS/BPM)** | Cosmetic  Low  Medium  High  Very High  Short description   |  | | --- | | **The acceptance of the IE118 and IE168 messages under the enquiry statuses as 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 to the State Transition Diagram of the BPM.** | |

**Estimated impact on National Project**

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| Cosmetic  Low  Medium  High  Very High  Short description   |  | | --- | | **Impact on the Office of Departure (accepting IE118 and IE168) when the status is "Enquiry recommended" or "Under enquiry procedure".** | |

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| **Document History** | | | |
| **Version** | **Status** | **Date** | ***Comment*** |
| v0.10 | Draft by CUSTDEV | 24/11/2021 |  |
| v0.11 | SfR to NPMs | 26/11/2021 |  |
| v1.00 | SfA to NPMs | 25/02/2022 | *SfA to NPM* |