

Functional Specification for an electronic Conformity Certificate Management System



Objective



- Describe the core processes and business requirements for the development of an electronic FFV Certificate Management System in the context of marketing standards, with focus on the processes in the exporting country
- In drafting this document experts from the German Competent Authority provided input and support
- The document describes:
 - the high-level end-to-end business process,
 - sub-processes, and
 - main entities and their state transitions.

Process description



2. Decision Making Process			
2.3 Take Decision & Notify			
Basic Flow of Events			
Actor(s) Actions		Result/System Response	
Decision-making officer	Confirm decision <ul style="list-style-type: none"> Confirm "Control decision" as "Selected for control" 	2.3.1	The system will automatically notify the Inspectors assigned to/responsible for controls to be carried out at the "Place of control" about the decision
Decision-making officer	Downgrade risk <ul style="list-style-type: none"> Select all lots Change "Control decision" to "Waiver" Select "Waiver reason" Input "Valid to" 	2.3.2	Change status of all lots to "WAIVED" Change status of RfC to "WAIVED" Generate "Waiver declaration" Notify Exporter about the Waiver Notify Customs about the Waiver. Exchange eWaiver data with Customs system
Decision-making officer	Downgrade risk for certain lots <ul style="list-style-type: none"> Select lot for which a risk downgrade is applicable Change "Control decision" to "Waiver" Select "Waiver reason" Input "Valid to" 	2.3.3	Change status of selected lots to "WAIVED" RfC status will remain unchanged Generate "Waiver declaration" for selected lots Notify Exporter about the Waiver for selected lots Notify Customs about the Waiver for selected lots
Decision-making officer	Decision to cancel RfC <ul style="list-style-type: none"> Select all lots Change "Control decision" to "Cancel" Select "Cancellation reason" 	2.3.4	Change status of selected lots to "CANCELLED" Change status of RfC to "CANCELLED" Notify Exporter about the cancellation of RfC
Decision-making officer	Decision to cancel certain lots <ul style="list-style-type: none"> Select lot for which a cancellation is applicable Change "Control decision" to "Cancel" Select "Cancellation reason" 	2.3.5	Change status of selected lots to "CANCELLED" Change status of lot to "CANCELLED"

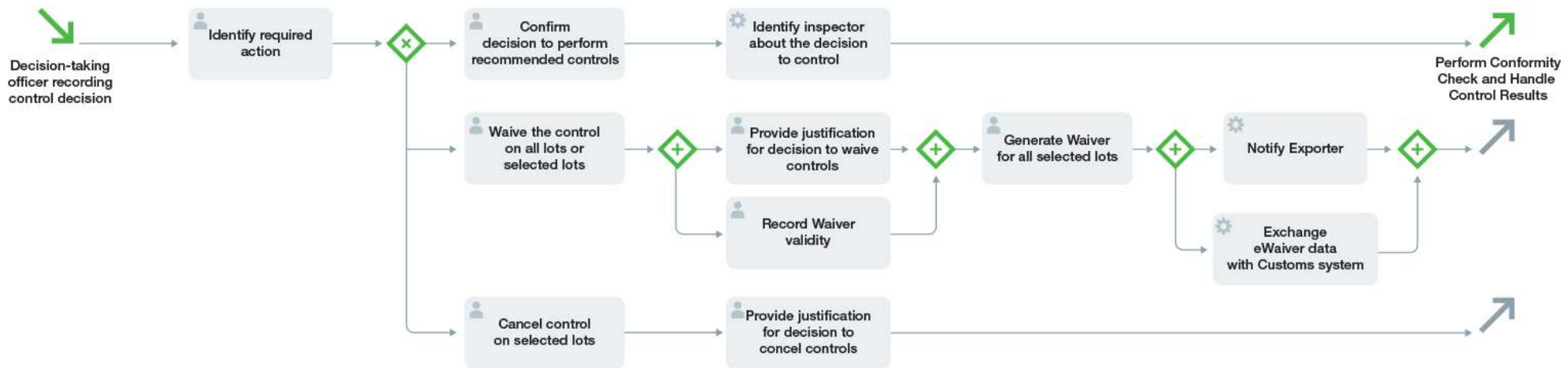
Process description

(cont.)



2. Decision Making Process

2.3 Take Decision & Notify



Includes (“IN” scope)



The scope of this project includes the following business processes which are to be implemented:

- Electronic submission of the request for conformity checks supported by automated checks of the data and receiving notifications (conformity certificates, waivers or non-conformity reports) for the processing;
- Risk analysis process;
- Decision making process
 - Start Take Decision,
 - Manage Adjustments,
 - Take Decision & Notify

Includes (“IN” scope)



- Perform Conformance Checks process
 - Handle Control Results, including for example
 - Reporting compliance, non-conformities, waivers, split lots
 - Automatic exchange of electronic data at export with national Customs Authority (Quality certificate, Waiver declaration and Certificate of Non-Conformance data)
 - Automatic exchange of electronic data with Competent Authority in the country of importation (Quality certificate data)
 - Manage Complaints Process - Follow-up inspection of the non-conform lot (Reinspection),
- Issuance of (paper) Conformity Certificates process

Included (“out” of scope)



- The import of FFV by the Member States is out of the scope of this project.
- The production of statistical reports is out of the scope of this project.

Electronic conformity certificate management: The benefits



Traders

- create and submit request for conformity checks,
- follow-up status of their application,
- submit additional information and/or documents on request made by competent authority
- receive conformity certificates

Competent authorities

- work with dematerialized documents, which addresses the issues with paper-documents fraud as well as the need for paper storage.
- have access to all requests for conformity certificates
- perform risk analysis, handle control results and take decision on the issuance of conformity certificates,
- manage complaints,
- issue conformity certificates,
- engage with other authorities (e.g. Customs) in order to exchange information

Customs

- receive the electronic conformity certificate data in a streamlined procedure

Next steps



- Review of the current specification by competent authorities and stakeholders
- Submission of the final specification to this group
- Specification and workflow supported by stakeholders
- Development of an electronic system:
 - Seek funding for development of a generic system that competent authorities can use
 - Member states use specification to develop in-house systems

Thank you!

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