Functional Specification for an electronic Conformity Certificate Management System
• 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.
## 2. Decision Making Process
### 2.3 Take Decision & Notify

<table>
<thead>
<tr>
<th>Basic Flow of Events</th>
<th>Action</th>
<th>Result/System Response</th>
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</table>
| **Decision-making officer** | Confirm decision  
- 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  
- 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  
- 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  
- 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  
- 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" |
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
• 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.
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<th><strong>Traders</strong></th>
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<tbody>
<tr>
<td>• create and submit request for conformity checks,</td>
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<td>• follow-up status of their application,</td>
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<tr>
<td>• submit additional information and/or documents on request made by competent authority</td>
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<tr>
<td>• receive conformity certificates</td>
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<thead>
<tr>
<th><strong>Competent authorities</strong></th>
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<td>• work with dematerialized documents, which addresses the issues with paper-documents fraud as well as the need for paper storage.</td>
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<tr>
<td>• have access to all requests for conformity certificates</td>
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<tr>
<td>• perform risk analysis, handle control results and take decision on the issuance of conformity certificates,</td>
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<tr>
<td>• manage complaints,</td>
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<tr>
<td>• issue conformity certificates,</td>
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<td>• engage with other authorities (e.g. Customs) in order to exchange information</td>
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<th><strong>Customs</strong></th>
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<td>• receive the electronic conformity certificate data in a streamlined procedure</td>
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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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