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# Executive Summary

Currently the formalities for import-related procedures are managed by means of national customs IT systems. There are also certain forms of centralised clearance that are currently in place such as national centralised clearance, Single Authorisation for Simplified Procedures/Centralised Clearance (SASP/CC) [RD20], etc. for which there is no harmonised approach in terms of implementation (different solutions per case).

Union Customs Code (UCC) [] and its Implementing [] (IA) and Delegated Acts (DA) [] aim to improve and simplify Customs business through more efficient Customs transactions. Centralised Clearance is one of the simplifications related with the placement of goods under a customs procedure of the UCC. Article 179 of UCC [] provides the legal basis for the operation of Centralised Clearance. Articles 180 and 181 of UCC [] provide the basis for delegated and implementing acts to specify the conditions and procedural rules.

With the Centralised Clearance for Import (CCI), Authorised Economic Operators will be able to lodge customs declarations and place goods under a customs procedure in a MS (Supervising Customs Office - SCO) where the EO is established, while the goods can be presented in another MS (Presentation Customs Office - PCO). The implementation of the concept of Centralised Clearance for Import (CCI) by a new Trans-European System (TES) will strengthen the trade facilitation by enabling Economic Operators with the “centralisation” of their business related to import and the reduction of the interactions with customs by using the customs office of supervision as the main contact partner []. The latter requires coordination among related customs offices located in different MS for the declaration processing and the release of goods. CCI TES will enable the seamless information exchanges, as needed between two involved customs offices, ensuring smooth operation of Centralised Clearance. In addition, the new TES will allow harmonisation and standardisation of processes and electronic exchange of information for CCI compared to the current situation with SASP. It is also expected to reduce administrative burden for the customs administration with automated processes. In addition to EO and MS Customs Authorities, CCI is anticipated to allow Tax authorities to have a better supervision and control on collection of import VAT compared to the current situation with SASP.

The approach of a Distributed/Decentralised system is selected for the realisation of CCI TES. This approach takes national policy into account considering that the national systems need to be updated anyway under UCC and therefore it gives rise to a positive cost/benefit ratio. The specific approach also promotes the re-usability of existing national import systems and the collaboration between the National Administrations by the means of simplification and digitalization of CC procedures. This is the preferred option considering also previous experience with TES like ECS and NCTS.

Given that CCI will follow a Distributed/Decentralised approach, National Administration is responsible to define its own architecture in the development of the National CCI Application (Nationally Developed and Nationally Operated - NDNO) in accordance to the common functional and technical specifications that will be provided by DG TAXUD. The National CCI application can be implemented either by extending the existing National Declaration Management Processing System and/or by a new national system that will interact with the National Declaration Management Processing System. The National CCI application will implement the CCI business functions for SCO and PCO.

The communication on the common domain between the National CCI Applications at SCO and PCO will be realized by the means of CCN2. Therefore, each MS needs to be registered on CCN2 platform and adapt the National CCI Application so that to provide and consume services over CCN2. The common domain information exchanges will be aligned with the EU Customs Data Model (EUCDM) [], defined in technical specifications and formatted to XML standard specifications. The National components of CCI have also to integrate with the Supporting applications (i.e. CS/RD2, CRS and CS/MIS) for the performance of the CCI business functions. Detailed information on CCI TES is provided in Chapter .

During CCI Phase 1, the in-scope declarations and procedures as per Business Case [] are the following:

* Customs Declarations: Standard, Simplified, Supplementary Declarations (only transaction-by-transaction approach) and Customs declaration in advance of presentation (pre-lodged declaration) as per Article 171 UCC [].
* Customs Procedures: Release for free circulation, Customs warehousing, Re-import after outward processing (OP) and inward processing (IP), End-use procedure, procedures 42[[1]](#footnote-2) & 63[[2]](#footnote-3);

This Vision Document concerns the CCI Phase 1. This phase will support the processes concerning the Registration, Acceptance, Amendment and Invalidation of Customs Declaration (types mentioned above). It will also cover the Risk Analysis, Control Management, Custom Debt Management[[3]](#footnote-4), the Goods Release and the verification of the declaration that may continue after release of the goods. Finally, support to monitoring and statistics of CCI operations is included. The detailed project and functional scope is described in Chapter .

CCI has ten dependencies to other MASP projects (please see § and §). Eight MASP projects are considered as CCI direct dependencies required for its function and two as indirect dependencies. Finally, two Interdependencies with National implementations have been identified and highlighted related to Tax Authorities and Statistical Authorities. The progress of those projects will be followed up closely so that the UCC CCI project can be implemented successfully.

The GO decision by all stakeholders is planned to be obtained by the end of Q2 2018 enabling the IT project activities to start immediately. The target date of starting CCI Phase 1 operations is set to Q1 2021 with the initial group of Member States that will have the required capacity to start operations. Conformance testing campaign will take place for the member states before entering the operation. The conformance testing starts in the Q4 2020 (for the initial member states) and continues until Q4 2023 (for the rest member states). The Deployment Window for start of operations between Q1 2021 until Q4 2023.

# Positioning Overview

## Business Opportunity

The new Union Customs Code (UCC) stipulates that, in order to ensure simple, rapid and standard customs procedures and processes, the use of modern tools and technology should be encouraged to further promote the uniform application of customs legislation and modernized approaches to customs control, thus contributing to efficient and simple clearance procedures.

Article 179 of UCC [] provides the legal basis for the operation of Centralised Clearance. Articles 180 and 181 of UCC [] provide the basis for delegated and implementing acts to specify the conditions and procedural rules.

The business opportunity of implementing CC concept as stipulated in UCC with the "EU Centralised Clearance for Import" Trans-European system will strengthen trade facilitation by enabling Economic Operators with “centralisation” of their business related to import and reduction of the interactions with customs by using the customs office of supervision as the main contact partner []. In addition, the use of one authorisation to carry out customs formalities for placing goods under a customs procedure in different MS and the lodgement of one import declaration for all purposes (customs, statistics and fiscal needs) will be enabled.

On the other hand, the implementation of the “EU Centralised Clearance for Import" will allow the harmonisation and standardisation of processes as well as the electronic information exchanges for CCI compared to the current situation with SASP/CC. It is also expected to reduce administrative burden for the customs administration with automated processes. It is anticipated to improve the supervision of the Centralised Clearance procedure via the electronic data processing and exchange of information. Therefore, the "EU Centralised Clearance for Import" (please refer to Section 10) Trans-European system shall implement the mechanisms to facilitate the collaboration of Supervising and Presentation Customs Office related to the customs declaration validation, registration, acceptance, risk analysis, control of goods, customs debt management and release of goods under the Centralised Clearance concept.

Finally, the implementation of “EU Centralised Clearance for Import" is envisaged to have benefits for Tax Authorities allowing better supervision and control on collection of import VAT compared to the current situation with SASP. All necessary information will be submitted to the Presentation Customs Office for calculation and validation of the VAT where needed. Despite the fact that the VAT and other charges calculation and collection is not part of CCI scope, as such functions have to be implemented by national systems, it would be considered that “EU Centralised Clearance for Import" facilitates this process. The same applies for the reporting to Statistics Authorities.

## Opportunity Statement

|  |  |
| --- | --- |
| **The opportunity of** | Implementing Centralised Clearance concept for Import as stipulated in UCC, enabling the lodgement of customs declarations and the placing of goods under a customs procedure in a MS where EO is established (Supervising Customs Office), while the goods will be presented in another MS (Presentation Customs Office). |
| **affects** | The Member States (national customs administrations, tax authorities and statistical authorities), the Economic Operators and the Commission. |
| **The impact of which is** | to strengthen trade facilitation by enabling Economic Operators with “centralisation” of their business and reduction of the interactions with customs by using the customs office of supervision as the main contact partner. |
| **A successful solution would be** | to enable Economic Operator (Declarant) to connect to an IT system of a single Member State so as to lodge an import declaration for all purposes (customs, statistics and fiscal needs), and complete release of goods and clearance procedures in alignment to the Centralised Clearance concept and requirements stipulated in UCC. At the same time, to provide mechanism so as to enable the cooperation and electronic information exchanges between the related customs offices (Supervising and Presentation Customs Offices) concerning the processing of the customs declaration and the release of the goods as per UCC requirements. |

Table : Opportunity Statement

## Expected Benefits

The following are the highlighted benefits of the project implementation:

* compliance with the new legal obligations of the UCC, UCC DA and UCC IA, that contributes to the trade facilitation;
* trade facilitation and simplification of customs procedures by enabling Economic Operators with “centralisation” of their business related to import and reduction of the interactions with customs by using the customs office of supervision as the main contact partner;
* clear distinction between formalities and authorisations:
  + one authorisation to carry out customs formalities for placing goods under a customs procedure in different MS;
  + lodgement of one import declaration for all purposes (customs, statistics and fiscal needs). With this customs declaration also, the previous procedure may be closed (e.g. TS);
  + complete declaration processing and release of goods in alignment to the Centralised Clearance concept and requirements stipulated in UCC.
* less administrative burden for the customs administration with automated processes. Good supervision of the CC procedure;
* harmonised and standardised approach, processes and electronic exchange of information for Centralised Clearance compared to the current situation with SASP;
* allow Tax authorities to have a better supervision and control on collection of import VAT compared to the current situation with SASP.

## New or Updated Business Processes Proposed for Automation

| **Process Category[[4]](#footnote-5)** | **Domain[[5]](#footnote-6)** | **Sub-domain[[6]](#footnote-7)** | **Macro Process[[7]](#footnote-8)** | **Process[[8]](#footnote-9)** | **Process Description (EN)** |
| --- | --- | --- | --- | --- | --- |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Registration and Acceptance of Customs Declaration | This process describes the handling customs declaration lodged by Declarant in SCO concerning Centralised Clearance for Import. The process covers the validation and registration of the customs declaration. PCO shall also perform validation of the received declaration.  If Customs Declaration is lodged prior to presentation of goods, this process includes handling of presentation notification.  Upon successful validation by SCO and PCO, SCO accepts the declaration, assigns an MRN and the acceptance of the declaration is notified to both the Declarant and PCO.  The Declarant is also notified by SCO in case of declaration rejection following validation. |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Risk Analysis | This process describes the case where the Customs Authority of the SCO performs Risk Analysis (with the assistance of Risk Analysis System). The Risk Analysis results are communicated to the PCO. Subsequently, the Customs Authority of the PCO performs Risk Analysis. The Risk Analysis results are communicated to the SCO. |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Amendment of Customs Declaration | This process describes the handling of the amendment request made by the Declarant. The SCO validates the amendment request and checks the state of the Customs Declaration to identify if the amendment is possible, and if possible records the request and notifies PCO for the validation of the amendment request.  PCO shall also perform validation of the received amendment request.  Upon successful validation by SCO and PCO, SCO accepts the amendment request and notifies both the Declarant and PCO about amendment request acceptance.  The Declarant is also notified by SCO in case of amendment request rejection following validation. |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Documentary Control of Goods | This process describes the case when there is the need for performing documentary controls at the SCO on the received Customs Declaration. In case any supporting documents are required, SCO notifies the Declarant to provide the necessary supporting information. |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Control Decision & Results | This process describes the handling of control decision registration by the Customs Officer at SCO. The SCO identifies one of the following:   * No control is to be performed on goods and/or documents and the decision is communicated to PCO. * Controls are to be performed on the goods and/or documents and the decision is communicated to PCO.   The PCO receives the notification from SCO that controls will be performed. PCO performs risk analysis and based on the results of the risk analysis the customs officer registers the decision to control the goods. The PCO performs the controls, records the control results and informs the results of the controls to SCO. At the end of the process, SCO notifies the Declarant about the controls results. |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Handling of Invalidation Request | This process describes the handling of invalidation requests submitted to SCO. The SCO validates the Invalidation Request, received by the Declarant and checks if invalidation is possible. PCO is also informed about invalidation of declaration. |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Handling of Supplementary Declaration | The process describes the case when the customs declaration is lodged as a simplified declaration, and validates the received supplementary declaration. |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Customs Debt Management | SCO checks the status of customs declaration to identify whether it will proceed to the calculation of the Duties and Taxes for CCI (registered or amended declaration) or to check if payments have been secured, in order to proceed to the decision to release or not release the goods.  *Please note that duty calculation is out of scope of CCI.* |
| Policy Lifecycle | Customs | Customs policy: customs modernisation and trade facilitation | Trade facilitation | Release of Goods | The process describes the steps followed at SCO in order to register the release/no release decision in the system, as well as the verification of the declaration that may continue after release of the goods.  PCO is also notified about release decision. |

Table 2: New and updated Business Processes proposed for Automation

# Project Scope

The "EU Centralised Clearance for Import" is a new Trans-European system with aim to allow Authorised Economic Operators to lodge customs declarations and place goods under a customs procedure in a MS (Supervising Customs Office - SCO) where EO is established, while the goods will be presented in another MS (Presentation Customs Office - PCO). The new system will implement the communication between the SCO and PCO in regards of the declaration lodged under Centralised Clearance.

Nevertheless, the formalities for import-related customs procedures are currently managed by means of National Customs Declaration Processing applications. The application of existing import processes will to a large extent be maintained under the UCC. However, the implementation of the Centralised Clearance concept for Import (CCI) stipulated in UCC will require the interoperability of current independent national import systems and the establishment of an EIS in the import domain for implementing CCI functionality.

The project scope and this document is limited to CCI Phase 1, which is defined in §3.1 and §3.2. In addition, further information about CCI functional scope is provided in §3.3.

## Project Includes ("IN" Scope)

The CCI Phase 1 has in scope the following declarations, procedures UCC Data Annex B datasets.

**In-Scope Declarations:**

* **Standard[[9]](#footnote-10)**, **simplified[[10]](#footnote-11)** and **supplementary[[11]](#footnote-12)** **declarations** (only transaction-by-transaction approach):
  + global supplementary declaration of a periodic and recapitulative nature would complicate the process and will be excluded from Phase 1 of the project. In order to be included in future phases, its dataset and usage would need to be standardized;
  + The content of the transaction-by-transaction supplementary declaration provided by the SCO to PCO should be the full dataset, i.e. the data already submitted in the simplified declaration plus the additional data to complete the declaration. However, as part of national domain communication, SCO may accept both supplementary declarations possibilities, i.e. either data non-declared previously or the full data set.
* **Customs declaration in advance of presentation (**pre-lodged declaration) as per Article 171 UCC [RD02].

**In-Scope Procedures:**

* Release for free circulation;
* Customs warehousing;
* Re-import after **outward processing (OP)** and **inward processing (IP)**:
  + With regard to IP/OP the position is that the EO authorised for CC must be the same EO and may only be different in cases of direct representation;
  + There is also the issue of a need for a link to export to close the procedure;
* End-use procedure has also been identified as worthwhile;
* Use of procedures 42[[12]](#footnote-13) & 63[[13]](#footnote-14) will be possible.

**In-Scope UCC Data Annex B Data Sets [] applicable to CCI:**

* H1 - Declaration for release for free circulation and Special procedure — specific use — declaration for end-use;
* H2 - Special procedure — storage — declaration for customs warehousing
* H4 – Special procedure — processing — declaration for inward processing
* I1 – Import Simplified declaration

Further information for CCI functional blocks is provided in §3.3.

**Impact of UCC Data Requirements**

The foreseen information exchanges to be implemented in the CCI project will be heavily depended by UCC Data Annex B (please refer to *In-Scope UCC Data Annex B Data Sets [RD04] applicable to CCI*) and EUCDM.

**Impact on Other Systems**

Directly impacted that means change to the system or application:

* CS/MIS
* CTA

Indirectly impacted that means change to the content or use of the content:

* National Business Statistics
* National Tax & Duty Systems
* CRS
* CS/RD2
* EU Customs Single Window - CERTEX

Impact on other systems is further elaborated in §10.3.

## Project Excludes ("OUT" of Scope)

The following are explicitly out of the scope of this project:

* Excisable goods and CAP goods – this can be achieved by means of the authorisation process;
* Entry in the Declarant's Records (EIDR);
* Combination of the Entry Summary Declaration with the customs declaration;
* Temporary Admission;
* Transmission of supporting documentation between the SCO and PCO: In CCI Phase 1, this will happen out of the system. However, specifying an EU level approach (for example the e-Delivery platform could support such exchanges) would be investigated in subsequent phases.

## CCI Functional Scope

The following figure depicts the CCI functional scope.



Figure 1: Functional Scope of CCI

Figure 1 uses the ArchiMate notation [RD19] to represent the function scope of CCI. It presents the key business actors (with grey colour) and roles (white colour) involved in CCI business functions (functional blocks). It also presents high-level business functions (blue colour) organised per business role and type of functions.

**National Communication functions** and **Other Business Functions** at SCO or at PCO, which are considered not part of CCI system, (national implementation), are shown with red colour for completeness.

In terms of relationships, assignment relationships (green colour) are used to indicate the different business roles of business actors and the Serving relationships (orange colour) are used to present that some functions “offer” their functionality to other business functions. In addition, the Serving relationship is used to indicate that communication of Declarant with SCO is facilitated with the External communication functions @ SCO.

The Business Actors and the various Business Roles are described in §4.4. The different business functions are briefly described below per business role and in alignment to new processes for automation defined in §2.4.

1. **Supervising Customs Office business functions**
   1. **Communication @ SCO functions**
      1. **External Communication** provides functions for the exchange of information between the economic operator’s applications and the National Administration (NA).
      2. **National Communication****[[14]](#footnote-15)** concerns functions for the communication within National Administration and will be enabled through the “national network”.
      3. **EU Level Communication** provides functions related to the exchange of information between the Supervising Customs Office and the Presentation Customs Office.
   2. **Clearance @ SCO functions**
      1. **Validation & Registration of Customs Declaration:** The process covers the validation and registration of the customs declaration either when is lodged when the goods have been presented to the PCO or when the presentation of goods is pending.
      2. **Risk Analysis:** It concerns the risk analysis at Supervising Customs Office (SCO) and also the request of risk analysis to be performed by Presentation Customs Office (PCO).
      3. **Acceptance of Customs Declaration:** SCO accepts the registered declaration following successful validation and notifies the acceptance of the declaration to both the Declarant and PCO.
      4. **Handling of Amendment Requests:** it concerns the handling of amendment requests lodged by the Declarant. Upon successful validation, both Declarant and PCO are notified.
      5. **Documentary Control of Goods:** it refers to documentary controls that the SCO might need to perform. In such case, the SCO notifies the Declarant to provide the necessary supporting information.
      6. **Handling of Control Decision & Results:** The results of the Risk Analysis are evaluated by the Customs Officer at SCO in order to register the decision to control or not the goods. Upon receipt of the Controls Results (if any) from the PCO, the SCO identifies whether the goods can be released or not.
      7. **Handling of Invalidation Request** SCO validates the Invalidation Request, and if found valid communicates the invalidated Customs Declaration to both Declarant and to PCO.
      8. **Handling of Supplementary Declaration:** SCO validates the received supplementary information, and reconciles the accumulated data of the simplified and supplementary declaration and forwards the accumulated data to the PCO.
      9. **Release of Goods:** The Customs Officer at SCO registers the release decision in the system, as well as the verification of the declaration that may continue after release of the goods. In both cases (Release/No Release) the system notifies both Declarant and the PCO.
   3. **Other Business Functions @ SCO**
      1. **Quota Request/Response**by SCO in the context of customs declaration processing under CCI (when needed).
      2. **Customs Duties Collection:** when CCI movement under Release, then SCO shall identify whether payments have been secured, in order to proceed to the decision to release or not release the goods.
      3. **Post-Clearance Audit:** Post clearance checks will be handled at National Level. The results of the audits may trigger the amendment of Customs Declaration data and hence, the recalculation of Customs Duties.
      4. **Duty Calculation:** SCO requests the calculation of the Customs Duties for CCI, and records the results.
2. **Presentation Customs Office business functions**
   1. **Communication @ PCO functions**
      1. **National Communication** concerns functions for the communication within National Administration and will be enabled through the “national network”.
      2. **EU Level Communication** provides functions related to the exchange of information between the Presentation Customs Office and the Supervising Customs Office.
   2. **Clearance @ PCO functions**
      1. **Validation of Customs Declaration @ PCO:** PCO receives the Customs Declaration for validation. In order for the Customs Declaration to be registered in the system, a positive result of validation at the PCO is needed.
      2. **Risk Analysis:** PCO performs risk analysis (upon receipt of the request from SCO or by its own initiative). The results of the Risk Analysis are sent from PCO to the SCO.
      3. **Control of Goods:** Upon receiptfrom SCO of the request to control the goods, PCO performs risk analysis, performs the required control, records the control results and sends a notification message informing of the results of the controls to SCO.
      4. **Validation & Processing of Amendment Request:** Upon receipt of the validation request, the PCO validates the amendment request and forwards the validation results to SCO.
      5. **Handling of Invalidation Request:** PCO records the invalidated Customs Declaration sent from SCO.
      6. **Handling of Release Information:** reception of the SCO decision by PCO to Release or Not Release the Goods.
      7. **Handling of Calculated Duties info:** it concerns the handling of necessary Information from SCO so as PCO to proceed to the calculation and payment of VAT and other charges.
   3. **Other Business Functions @ PCO**
      1. **Reporting to National Statistics Authority:** Reporting of statistical data by the PCO to the national statistical authority of that Member State.
      2. **VAT and Other Charges Calculation**by the PCO in order to ensure VAT compliance.
      3. **VAT & Other Charges Collection**by the PCO.

# Project Governance and Stakeholders

## Project Governance

In general, the project falls under the following schema:

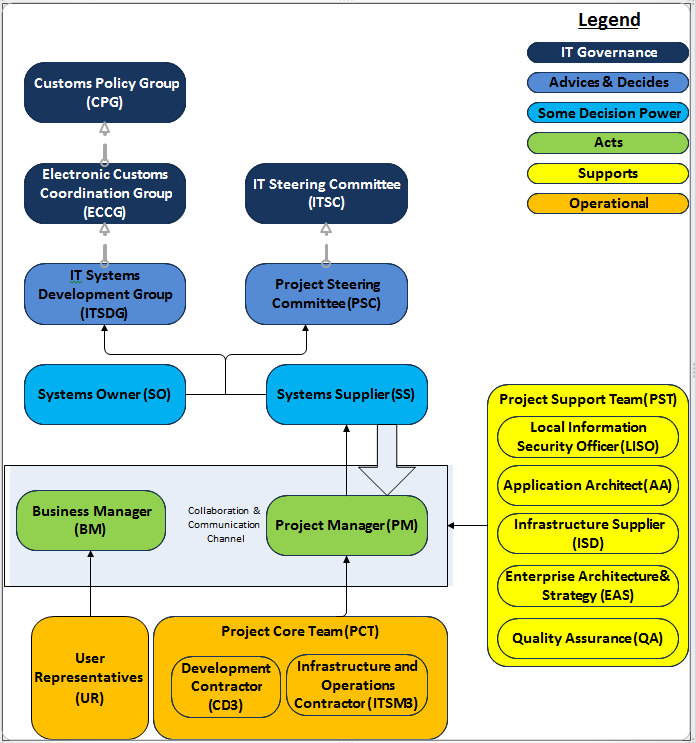
**

Figure 2: Project Organization

## Stakeholders

The following stakeholders will play a role in the successful development, deployment and operations of the CCI System.

|  |  |
| --- | --- |
| **Role** | Project Steering Committee (PSC) |
| **Permanent Members** | System Owner, System Supplier, Business Manager, Project Manager and Infrastructure Service & Delivery Manager |
| **Optional Members** | Contractor Project Manager |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | System Owner (SO) |
| **Name** | DE COSTER Sophie (Acting Head of DG TAXUD Unit B1) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Business Manager (BM) |
| **Name** | Ryan Enda (DG TAXUD Unit B1) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Document Management Officer (DMO) |
| **Name** | MEYER Daniel (DG TAXUD E2) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Data Protection Coordinator (DPC) |
| **Name** | ONDELJ Ivona (DG TAXUD E2) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Local Information Security Officer (LISO) |
| **Name** | SERVAIS Michael (DG TAXUD B4 - LISO) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | System Supplier (SS) |
| **Name** | DEJONGH Kris (Acting Head of DG TAXUD Unit B3) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Project Manager (PM) |
| **Name** | SAMSALOVIC Marko (DG TAXUD B3) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | User Representatives (URs) |
| **Name** | Member State National Administrations represented at the Electronic Customs Coordination Group and Project Groups. Economic Operators represented at Trade Contact Group and participating at the Electronic Customs Coordination Group. |
| **Deviation from the Standard R&R Model** |  |

Other actors involved in the implementation of the project from DG TAXUD units:

|  |  |
| --- | --- |
| **Role** | SOA Analyst (SA) and Application Architect (AA) |
| **Name** | BOUREZ Christophe (DG TAXUD B3) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Enterprise IT Architecture and Strategy (EAS) Manager |
| **Name** | RATHE Jeroen (Head of Sector DG TAXUD B2) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Infrastructure and IT Services Supplier (ISD) |
| **Name** | MORANT Jean-Pierre (Head of Sector DG TAXUD B2) |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Development Contractor |
| **Name** | CUSTDEV3 |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Infrastructure and Operations Contractor |
| **Name** | ITSM3 |
| **Deviation from the Standard R&R Model** |  |

|  |  |
| --- | --- |
| **Role** | Quality Assurance and Quality Control Contractor |
| **Name** | QA4 |
| **Deviation from the Standard R&R Model** |  |

## Deviations from the Standard Roles and Responsibilities Model

[None](#RD09).

## User Environment

| **Actor** | **Description** |
| --- | --- |
| Economic Operator – Declarant | In the context of CCI, Declarant means the person lodging a customs declaration. In the scope of CCI, the Declarant is responsible to submit:   * A Customs Declaration; * An Amendment Request; * An Invalidation Request; * Supporting Documents and other documents upon request. * A Presentation Notification   Declarant interacts with Supervising Customs Office.  One of the key expected benefits from the implementation of a new "EU Centralised Clearance for Import" Trans-European system is the trade facilitation by enabling Economic Operators with “centralisation” of their business related to import and reduction of the interactions with customs by using the customs office of supervision as the contact partner.  Since CCI is a new TES, it is difficult to have an accurate number of CCI declarations. Considering the volumes of ECS P2, the SCO and the PCO should consider around 15.1 million declarations. In terms of the number of Economic Operators that will communicate with CCI, we should expect to have more than the existing SASP authorisations. The total number of Trans-European Single Authorisations in 2017 was 152, whereas in 2016 was 116. This number will increase once CCI is in place. |
| Customs Authorities - Supervising Customs Office | The Supervising Customs Office is the office indicated in the authorisation to supervise the placing of the goods under the customs procedure concerned. Art5(36) of [R04].  Under CCI, the customs declarations are lodged to Supervising Customs Office and then a number of clearance functions are performed in Supervising Customs Office although goods are presented in Presentation Customs Office. The various business functions of Supervising Customs Office are presented in §.  Finally, the Supervising Customs Office manages the communication between the Declarant and the Presentation Customs Office.  The estimation of volumetrics for envisioned CCI is a challenging task. It is considered that the forms of centralised clearance that are currently in place such as national centralised clearance, SASP/CC, etc. do not give indicative volumes of transactions for the future situation. The volumes of ECS P2 will be considered as the anticipated volumes for CCI. Roughly the total number of declarations within 2017 of ECS P2 are 15.1 million. Consequently, those volumes must be handled by Customs Authorities - Supervising Customs Office. Potentially, any Customs Office of the existing 3883 could be a Supervising Customs Office. |
| Customs Authorities - Presentation Customs Office | The Presentation Customs Office is the customs office competent for the place where the goods are presented. Art1(2).(2) of [].  The Presentation Customs Office receives all necessary information from Supervising Customs Office to perform the controls needed when the goods are presented to customs.  The estimation of volumetrics for envisioned CCI is a challenging task. It is considered that the forms of centralised clearance that are currently in place such as national centralised clearance, SASP/CC, etc. do not give indicative volumes of transactions for the future situation. The volumes of ECS P2 will be considered as the anticipated volumes for CCI Phase 1. Roughly the total number of declarations within 2017 of ECS P2 are 15.1 million. Consequently, those volumes must be handled by Customs Authorities - Presentation Customs Office. Potentially, any Customs Office of the existing 3883 could be a Presentation Customs Office. |
| Tax Authorities | It is envisaged the “EU Centralised Clearance for Import" Trans-European System to allow Tax authorities to have a better supervision and control on collection of import VAT compared to the current situation with SASP.  All necessary information will be submitted to the Presentation Customs Office for calculation and validation of the VAT where needed. Despite the fact that the VAT and other charges calculation and collection, and the subsequent collaboration between the SCO and PCO related to Customs Debt and Coverage of the Customs debt is not part of CCI Phase 1 scope (please refer to §), such functions have to be implemented by national systems, and therefore it would be considered that “EU Centralised Clearance for Import" facilitates this process. |
| Statistical Authorities | Following the release of goods, PCO submits the statistical data to national Statistical Authority. The function of reporting to National Statistics Authorities is not part of CCI Phase 1 scope (please refer to §), such functions have to be implemented by national systems, and therefore it would be considered that “EU Centralised Clearance for Import" facilitates this process.  Finally, the “EU Centralised Clearance for Import" Trans-European System will be aligned to UCC Data Annex B (applicable data sets) as described in §. Therefore, interfaces with national Statistical Authority might need adaptation although reporting to National Statistics Authorities should be implemented by National Systems and not in the scope of CCI Phase 1. |
| DG TAXUD | DG TAXUD must ensure that the legal obligation to electronically support all procedures described in the UCC, UCC DA, UCC IA are fulfilled in accordance with the MASP and UCC Work Programmes.  DG TAXUD defined the CCI business requirements in the L3 BPMs and will specify the functional and non-functional system requirements in L4 BPMs in the Elaboration phase. The CCI BPMs will have to be validated by the Member States and Economic Operators. |

Table 3: Stakeholder/User Descriptions

# User Needs

| **ID Need** | **Need** | **Priority** | **Difficulties[[15]](#footnote-16)** | **Business description of the Current Solution** | **Business description of the Proposed Solutions [[16]](#footnote-17)** |
| --- | --- | --- | --- | --- | --- |
|  | Lodgement of customs declarations[[17]](#footnote-18) by Economic Operator (Declarant) for Import-related procedures[[18]](#footnote-19) in a MS where EO is established (Supervising Customs Office) while the goods will be presented in another MS (Presentation Customs Office). | High |  | Currently the formalities for import-related procedures are managed by means of national customs IT systems.  There are also certain forms of centralised clearance that are currently in place such as national centralised clearance, SASP/CC, etc. and for which there is no harmonised approach in terms of implementation (different solutions per case). | CCI will offer the ability to the Economic Operator to lodge the import customs declarations at the SCO for goods that can be presented and controlled at a PCO located in a different Member State.  The declarations and procedures in scope of CCI Phase 1 are stated in §3.1. The lodged declaration shall contain the details about the SCO and the PCO. The lodgement of declaration to the SCO will be implemented through an external domain message.  CCI will enable SCO and PCO communication with electronic information exchanges for the customs declaration validation, registration and acceptance. Customs Declaration includes both SCO and PCO specific national codes that need to be validated; As SCO cannot validate codes from another MS, the PCO, upon receipt of the customs declaration data, must perform its own validation against these national codes.  Economic Operator will also be notified for the acceptance or rejection of lodged declaration. |
|  | Lodgement of customs declarations[[19]](#footnote-20) in advance of presentation (pre-lodged declaration) by Economic Operator (Declarant) for Import-related procedures[[20]](#footnote-21) in a MS where EO is established (Supervising Customs Office) while the goods will be presented in another MS (Presentation Customs Office). | High |  | No relevant business procedure exists | CCI will enable the Declarant to lodge a customs declaration, in advance of goods’ arrival, to the Supervising Customs Office through an external domain message.  In addition, a presentation notification shall be submitted by the Declarant to the SCO, within a specific timeframe from the lodgement of customs declaration. If the time limit awaiting of Presentation Notification is expired, the SCO rejects the declaration and CCI informs both Declarant and PCO.  CCI will enable SCO and PCO communication with electronic information exchanges for the customs declaration validation, registration and acceptance. PCO will receive customs declaration data lodged to SCO. PCO will validate customs declaration against national data.  Economic Operator will also be notified for the acceptance or rejection of lodged declaration. |
|  | Submission of amendment requests by Economic Operator (Declarant) for a previously lodged and accepted Customs Declaration. | High |  | As per need 1. | CCI will offer the ability to the Economic Operator to submit an amendment request to SCO for a previously submitted and accepted customs declaration.  Necessary validations and checks of amendment requests as well as communication between SCO and PCO for that purpose, will be facilitated from CCI (electronic information exchanges). PCO will receive amendment requests lodged to SCO. PCO will validate amendment requests against national data. |
|  | Submission of invalidation requests by Economic Operator (Declarant) for a previously lodged and accepted Customs Declaration. | High |  | As per need 1. | CCI will offer the ability to the Economic Operator to submit an invalidation request to SCO for a previously submitted and accepted customs declaration.  Necessary validations and checks of invalidation requests as well as communication between SCO and PCO for notifications purposes, will be facilitated from CCI (electronic information exchanges). |
|  | Supervision of the Centralised Clearance procedure and exchange of information necessary for the verification of customs declaration, for the release of goods and for the verification of the declaration that may continue after release of the goods. | High |  | As per need 1. | CCI will offer the possibilities for electronic information exchanges and communication between SCO and PCO, concerning the verification of the customs declaration, lodged to SCO under Centralised Clearance, as well as the release of goods.  In particular, PCO will communicate with SCO for risk analysis and control decisions (control decision from SCO, acknowledgements of PCO to control requests from SCO, control results from PCO, etc.). Finally, communication will be performed between SCO and PCO concerning the release of goods.  In case of invalidation of customs declaration, PCO will be notified by SCO accordingly. |
|  | Monitoring and business statistics for CCI operations | High |  | No relevant business procedure exists | CCI will provide the ability for the collection of technical operational statistics for the monitoring of CCI operations. In addition, CCI will consolidate business statistics information provided by MS in CS/MIS application.  *Note: Scope of Statistics for CCI will be similar to those provided by CS/MIS for AES and NCTS. However, follow-up of CCI MRN is not foreseen.* |

Table 4: User Needs

# Alternatives and Synergies

## Alternatives

To reach the expected outcomes, three possible alternatives were identified according to the Business Case document:

* Alternative A - Centralised system approach;
* Alternative B - Distributed/Decentralised system approach;
* Alternative C - Hybrid system approach.

Each alternative was described with a SWOT analysis and assessed in the Business Case document [RD01] resulting in the decision to select the “Alternative B: Distributed/Decentralised system approach”. Only “Alternative B” is described in the section below.

### Distributed / Decentralised system approach

#### General Description

In this solution, EO lodges a customs declaration to a national customs authority. This authority acts as Supervising Customs Office (SCO). SCO validates the common data and sends the declaration data to PCO for validation of national data requirements. Upon validation SCO registers the customs declaration, performs risk-analysis before and after acceptance (in case of a pre-lodged declaration - Art. 171 UCC) or after acceptance (in case of a declaration lodged at the time of presentation or after presentation) and if controls are needed, informs PCO. The PCO performs its' own risk analysis for national purposes and decides if additional controls are needed. The PCO informs SCO of control results and the SCO handles the correction/amendment of the declaration if necessary. SCO sends release notification to EO and to PCO. PCO sends the statistical data to national Statistical Authority. VAT will be levied at PCO according to national regulation.

#### SWOT Analysis

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
| * Allows immediate implementation in all Member States; * Implementation in national clearance system which has to be developed or updated anyway; * Takes into account national requirements regarding calculation of national duties and taxes; * Availability according to national requirements (i.e. 24/7); * MS that are ready can implement the solution and do not have to wait for all to be ready; * Traders use the system that they know/that they use regularly to submit declarations, regardless if it is with CC or without CC; * Perhaps the most important advantage is that reliability is increased greatly compared with centralised system because 28 IT systems are involved. If one IT system fails in one MS, the system of the other 27 countries will still be able to function; * Harmonised customs processes and procedures based on one common technical and functional specification; * The possibility for carrying out a national risk analysis; * More efficient controls with data being transferred for control purposes by electronic means; * Clear national situation:   + Customs debt + VAT;   + P & R;   + Dealing with national licences, permits, etc.   + Statistics. * Specific component for CC can be integrated in the national systems; * Better management of the automated write–off procedure; * Better management of the storage of data from customs declarations; * Better and prior control of previous Customs declarations and Temporary storage. | * All Member States must bear the costs in full regarding:   + Development;   + Maintenance;   + Processing. * Harmonisation of processes and data is harder to accomplish than in centralised system; * A phased implementation MS by MS will disadvantage trade in the MSs that are implementing the systems late. |
| **Opportunities** | **Threats** |
| * Possibility to start up with the MS that are ready; * Elaboration in cooperation between MS; * The Commission can co-finance projects via grants; * The Commission can rely on the MS to implement certain policies; * Establish a more effective connection with system of Customs decision or with own system for the authorizations which is connected with system of Customs decision. | * Performance of the processes is dependent on the availability of both (SCO & PCO) components. If there is a delay in the PCO responding to the SCO (e.g. system unavailability) then the SCO will be unable to release the goods and delays for trade will be incurred; * There is a risk not all MS succeed to implement CC at the same time due to the costs and some other reason on national level. MSs with late implementation date will delay their EO (AEO) from benefits of CC at EU level and also limit the benefits EO of another MS; * The technical and functional specifications not to be ready in time to start the implementation of Project at national level. COM has to prepare the design documentation of message format; * Unavailability of system to trade/customs. 28 interfaces between national systems; * Not fully harmonised data requirements; * At EU level (Potential national requirements for statistical purposes etc.); * Solutions of the electronic exchange of information, common risk analysis and exchange of the verified data from customs declarations may not be harmonized in all member states at the same time; * Every process must be well understood by each MS in order to process on the same way; also, organisational aspects need to be considered; * Interoperability - MS have to ensure the information exchange between SCO and PCO; * Important PCO MSs with late implementation. |

#### Qualitative Assessment

The Distributed/Decentralised system approach takes national policy into account and because the national systems need to be updated anyway under UCC so it gives rise to a positive cost/benefit ratio. The specific approach also promotes the re-usability of existing national import systems and the collaboration between the National Administrations by the means of simplification and digitalization of CC procedures.

Also, considering previous experience with systems like ECS and NCTS this is the preferred option.

A drawback of this alternative is related to the distributed development and operations, as the implementation will be heavily depending on the availability of national budget as well as on the deployment strategy of MS and Trade. The unavailability of national Customs budget and missing action of the MS might cause delays in the planning as proposed in the dedicated MASP fiche.

The other alternatives were rejected because of a lack of legal basis in the UCC and UCC-IA, as well as for the following reasons:

* “Alternative A - Centralised system approach” would require fully harmonised National legislation and harmonised competencies for customs authorities that is not practically possible;
* “Alternative C - Hybrid system approach” would increase the complexity and the costs of the system.

## Synergies with other projects/activities

The following synergies and dependencies were identified as necessary for the implementation of CCI:

**CCI direct dependencies to other MASP projects:**

* **UCC Customs Decisions (CD)**

The UCC Customs Decisions project aims to harmonise the processes related to the application for a customs decision, the decision taking and the decision management by standardisation and electronic managing of application/authorisations data across the EU.

CCI will use the information provided in the UCC Customs Decisions system (CDS) for validations of the declared authorisation(s) in the declaration. CCI components (e.g. National CCI Application) will use information provided in the CDS that is made available via CRS. Requirements for validations will be in the technical specifications (DDNA) but the implementation is national. Each National Administration must decide the ways to consume the interfaces exposed by the CRS.

* **UCC EORI2**

UCC EORI concerns the update the existing EOS/EORI system implementing legal changes resulting from UCC DA/IA.

Validation and retrieval of information related to Economic Operators will be needed in the context of CCI declaration processing. CCI components (e.g. National CCI Application) will use information provided in the EOS-EORI that is made available via CRS. Requirements for validations will be in the technical specifications (DDNA) but the implementation is national. Each National Administration must decide the ways to consume the interfaces exposed by the CRS.

* **UCC AEO and impacts of MRA**

Validation of AEO status based on the EORI number will be needed in the context of CCI declaration processing. CCI components (e.g. National CCI Application) will use information provided in the EOS-AEO that is made available via CRS. Requirements for validations will be in the technical specifications (DDNA) but the implementation is national. Each National Administration must decide the ways to consume the interfaces exposed by the CRS.

* **UCC REX**

Validation of Registered Exporters (REX) data will be needed in the context of CCI declaration processing. CCI components (e.g. National CCI Application) will use information provided in the REX system that is made available via CRS. Requirements for validations will be in the technical specifications (DDNA) but the implementation is national. Each National Administration must decide the ways to consume the interfaces exposed by the CRS.

* **CS/RD2**

The Central Service Reference Data (CS/RD2) application provides an up-to-date, consistent and integral baseline of well-maintained business and technical reference data available to distributed, hybrid and central IT systems across EU.

Validation and retrieval of information for reference data (both common and national reference data) will be needed in the context of CCI declaration processing.

It is upon each National Application to decide the ways to use the interfaces proposed to them by CS/RD2 which are at least compatible with the existing ones. More details about interfacing with CS/RD2 can be found in the pertinent documentation of the application

* **CTA**

The new Conformance Testing Application (CTA) developed and operated by DG TAXUD will help the National Project Teams and the Central Project Team to validate the conformance of the national CCI applications against the agreed common interfaces.

* **Maintenance and updates of operational IT systems (CS/MIS)**

CS/MIS application shall be updated to support the new CCI business domain, and particularly to support the monitoring of CCI operations (technical statistics) and the consolidation of business statistics.

* **CCN2**

The communication infrastructure of the common domain will be realized through the means of CCN2 and the supported integration paradigms. DG TAXUD will extend CCN2 so that to put in place the necessary CCI nodes and the corresponding network elements. National Authority needs to be registered on CCN2 platform and adapt the National CCI Application so that to provide and consume services over CCN2. The access and user management on the common domain will be realized through the means of CCN2.

**CCI indirect dependencies to other MASP projects:**

* **EU Customs SW program**

The EU Single Window project (EU SW CERTEX) will provide a service to be implemented and used by the National CCI Applications for validation of customs declarations and notifications as specified in the Technical specifications (DDNA).

* **UCC Surveillance 3**

Communication of surveillance data by National Administrations related to CCI declaration data at Supervising Customs Office. It is considered that interaction with UCC Surveillance 3 system will happen in the context of adjustments of the existing import applications under the UCC.

**Interdependencies with National implementations:**

* **Tax Authorities**

As CCI will allow Tax authorities to have a better supervision and control on collection of import VAT, compared to the current situation with SASP, there is the need to update or develop new messages/interfaces for exchange of information for VAT with the Tax authorities although this is purely a national responsibility. Tax Authorities might have to update their systems in order to receive the data from customs.

* **Statistical Authorities**

As the new harmonized data set in the UCC DA Annex B will have an impact on the national requirements, there is the need for Statistical Authorities to update the messages/interfaces in order to receive the data from customs. The reporting to National Statistics Authorities should be implemented by National Systems (national responsibility).

**Other Synergies**

* The European Interoperability Framework (EIF) will be examined during the elaboration phase of the project for possible synergies and reusability [RD21].

# Project Approach

## Methodological Approach

DG TAXUD uses a number of best practices to realize IT projects. To date, projects have followed TEMPO (TAXUD Electronic Management of Project Online). TEMPO is a Quality Management System (QMS) which provides a set of core guidance, policies and procedures to support the complete lifecycle of projects and services. It includes practical guidance such as artefact templates.

CCI will follow the trans-European architecture where systems are distributed, nationally developed and nationally operated. DG TAXUD will provide the project stakeholders with the functional and the technical specifications that are required for the development of the National CCI Applications.

Since 2012 DG TAXUD applies a common EU customs BPM methodology based upon a structured hierarchical, levelling approach reflecting the complex business environment of EU customs (leading to the development of new types of models such as the EU Customs Global BPM, the EU Customs Interaction BPMs and the Functional Requirements BPMs).

Furthermore, the Conformance Tests will comply with the TEMPO Test Mode 1, Test Mode 2, Test Mode 3 and Test Mode 3+ guidelines.

More information about functional and the technical specifications is provided below.

* **L4 BPMs/Functional Specifications for CCI:** DG TAXUD will produce the CCI L4 BPMs and Functional Specifications for CCI (FSS-CCI) specifying the functionality of the envisaged system (processes/flow of the envisaged system), information exchanges, data rules and conditions and requirements. The L4 BPM reports are exported from the ARIS Platform.
* **Technical Specifications - Design Document for National Application (DDNA) [for XML messages]:** DG TAXUD will develop new technical specifications for CCI that will be incorporated in the DDNA set of deliverables (DDNA volume). DDNA specifies the design requirements to which any Customs Movement System needs to conform with. It defines what needs to be developed by specifying the sequences of Information Exchanges to be supported, as well as a number of message exchange protocols and the technical message structures of information exchanges. Finally, specifications about exception handling, message formatting and transport mechanisms are provided.
* **Testing Specifications:**
* **Business Acceptance Criteria (BAC):** with regard to the testing specifications, DG TAXUD will deliver the Business Acceptance Criteria (BAC) which comprises the test cases and scenarios that define the testing activities for the validation of all functional requirements, thus ensuring that all determined Business Requirements are correctly implemented by the system. These test cases will be developed after the L4 BPMs have been completed together with the requirements and the data.
* **Acceptance and Certification Specifications (ACS), Conformance Test Protocol (CTP) and Test Reference Package (TRP):** DG TAXUD will also deliver the Acceptance and Certification Specifications document as well as Conformance Test Protocol (CTP), which serves to facilitate the NAs for the execution of the Conformance Testing. It is used to determine the Technical Conformance of the National CCI Application to the different specifications as defined in the technical specifications (DDNA) and BAC. It also compiles all relevant information and specifications for the procedures to be followed and the specifications of the tests to be performed. It outlines the organization, the procedures and the test specifications for the Technical Conformance of a National CCI Application. The Test Reference Package (TRP) includes the CCI technical specifications that need to be loaded to CTA for the conformance testing.

## Change management

Change management will be executed within the normal project management activities and according to the TEMPO guidelines. Change requests to the scope of the UCC CCI will be possible, but they will be subject to approval by the Project Steering Committee and ECCG (or higher escalation, if needed).

Drafts of Requests for Change will be registered in SYNERGIA, further analysed in detail, including the impact assessment, and adopted as per Terms of Collaboration.

Any changes that impact interfaces, services or the exchange of information with Member States must follow the agreed change management procedure.

## Project's risk

| ID | Magnitude[[21]](#footnote-22) | Description | Probability of occurrence[[22]](#footnote-23) | Severity[[23]](#footnote-24) | Impacts | Risk Action[[24]](#footnote-25) | Owner | Status |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| . | 6 | L4 BPM functional requirements are not ready until the start of the Technical Systems Specification (Elaboration phase) | 2 | 3 | Possible gaps on the alignment with the up-to-date functional requirements and processes. Major delays in the IT project. | Mitigation: Close coordination with TAXUD and BAM team. Possible gaps could be handled according to the change management process. | DG TAXUD/B1 | Mitigated |
| . | 6 | Quality of the Technical Specifications below acceptable level | 2 | 3 | The system will be malfunctioning and not meeting business objectives. | Mitigation: Involve NAs in the review of the Technical Specifications as soon as possible and improve based on findings from first Conformance Tests. | DG TAXUD/B3 | Mitigated |
| . | 6 | Key members of the project team leave | 2 | 3 | Delays in the project, less quality, more risks | Mitigation: back-up roles are defined | DG TAXUD management | Partially mitigated |
| . | 6 | Availability of NA budget and resources | 2 | 3 | Delays in the project, less quality, more risks | Escalation to CPG | Each NA |  |
| . | 3 | Delays in the national development | 1 | 3 | Delays in operation | Mitigation: The normal governance structure and cooperation with the National Administrations will be applied. | Project Steering Committee | Mitigated |
| . | 6 | Member Sates national plans are not defined | 2 | 3 | Delays in operations, MS’s with late implementation date will delay their EO from benefits of CC at EU level and also limit the benefits EO of other MS. | Close follow up.  Escalation to CPG | Each MS | Identified |
| . | 6 | More volumes of transactions for envisaged CCI operations than expected (ECS P2 volumes used as reference) | 2 | 3 | Unforeseen high volumes of transactions leading to Impact on MSs National CCI Applications, Central Services and CCN2 infrastructure in terms of performance | 1. Scalable solutions for all CCI components: national CCI Applications, central services and CCN2 infrastructure. 2. Collection of volumetric information with dedicated MS Survey so as to be considered as soon as possible and preferably at the time of technical specifications development.   It shall be considered that MSs will gradually join CCI operations. Therefore, this risk might not be materialised since the beginning. | DG TAXUD | Identified |
| . | 6 | Problems related to readiness and maturity of CCN2 to accommodate CCI needs | 2 | 3 | Problems with electronic information exchanges between Member States (PCO and SCO) | Contingency: CCN1 would be used | DG TAXUD | Identified |
| . | 2 | Possible Legal & regulatory change impact and/or possible extension of the project scope | 1 | 2 | Changes on the functional and technical specifications as well as on the construction phase (depending on the time those change occur). | Apply standard change management and release management procedures. Assess changes case by case. | DG TAXUD | Mitigated |

Table 5: Project Risks

# Timing and Resources

## Timing

|  |  |  |
| --- | --- | --- |
|  | **Milestone** | **Estimated completion date** |
| 1 | **Business Analysis and Business Modelling** |  |
|  | Level 4 Functional Requirement detailed BPM) | Q2 2018 |
| 2 | **Project Initiation Phase** |  |
|  | Vision document | Q2 2018 |
|  | GO decision | Q2 2018 |
| 3 | **IT Project** |  |
|  | **Elaboration Phase** |  |
|  | Application & Service Specifications | Q3 2019 |
|  | Technical systems specifications | Q1 2020 |
|  | **Construction Phase** |  |
|  | Central services implementation | Q4 2020 |
|  | Service Integration in National Systems | Q4 2020 |
|  | National Implementation | Q4 2020 |
|  | **Transition Phase for initial MS** |  |
|  | Deploy and Rollout for initial MS | Q4 2020 |
|  | Conformance test for initial MS | Q4 2020 |
|  | **Transition Phase for other MS** |  |
|  | Deploy and Rollout for other MS | Q4 2023 |
|  | Conformance test for other MS | Q4 2023 |
| 4 | **Operation for initial MS** |  |
|  | National Deployment Window | Q4 2020 - Q1 2021 |
|  | Commission, Member States administrations and Traders | Q1 2021 |
|  | **Operation for other MS** |  |
|  | National Deployment Window for other MS | Q2 2021 - Q4 2023 |
|  | Commission, Member States administrations and Traders | Q4 2023 |
| 5 | **Implementation support (training and communication)** |  |
|  | Centrally developed training and communication | Q3 2020 - Q4 2023 |
|  | National training and communication | Q3 2020 - Q4 2023 |

Table 8: CCI Phase 1 timeline

## Planned Resources

DG TAXUD will require a number of resources to contribute to the project as defined in the table below, in FTE per role until the start of operations:

| **Role** | **% of time** | **Description** |
| --- | --- | --- |
| System Owner | 5% | Advising on the legislation, business requirements and processes, functional and non-functional requirements, business acceptance test criteria, requirements for the training, participating to steering committee meetings. |
| System Supplier | 5% | Overall responsibility of the project and management escalation, participating to steering committee meetings. |
| Project Management Team Leader | 10% | Follow-up of project status with respect to group portfolio and first point of escalation. |
| Project Manager | 40% | Follow up of project activities with external contractors; reporting to management. |
| IT Analyst | 30% | Validation of service specifications. |
| Application Architect | 10% | Definition and validation of application and technical architectures. |
| B2 Infrastructure and Service Delivery Sector | 5% | Infrastructure provisions and management, provision of support via ITSM3. |
| LISO | 5% | Advising/validating security requirements. |

Table 9: Planned Resources

Development, IT Service Management services, Quality Assurance and Control services are outsourced to third parties who are contractually bound to provide the required services according to the agreed timelines and to the required level of quality.

The business unit, DG TAXUD/B1, will advise with respect to business-related issues.

Training (physical presence and/or webinars part) will be provided by the external ITSM3 & CUSTDEV3 contractors under the business governance of DG TAXUD with support from units B1 and B3.

# Features

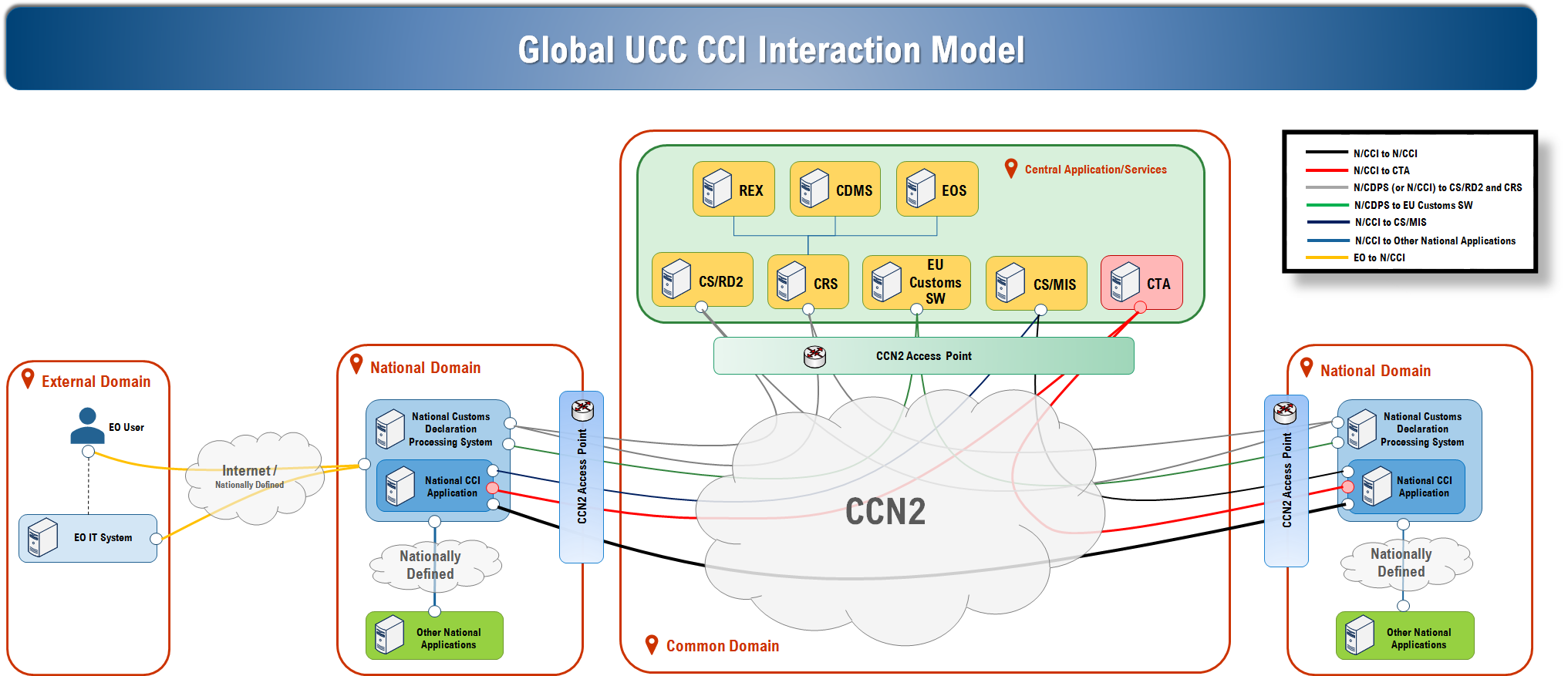
Table 10 below describes the features that should be in place to fulfil the needs of the CCI Trans-European System as indicated in chapter 5.

| **ID need[[25]](#footnote-26)** | **Features** | **Planned release** |
| --- | --- | --- |
| 1 | EO (Declarant) shall be able to submit a Standard or Simplified Customs Declaration in a MS where EO is established (Supervising Customs Office), while the goods will be presented in another MS (Presentation Customs Office). | Phase 1 |
| 1 | EO (Declarant) shall be able to submit a Supplementary Customs Declaration at the SCO when a Simplified declaration was previously lodged. The Declarant should provide the Supplementary Customs Declaration within a time limit. | Phase 1 |
| 2 | EO (Declarant) shall be able to submit a customs declaration in advance of presentation (pre-lodged declaration) in a MS where EO is established (Supervising Customs Office) while the goods will be presented in another MS (Presentation Customs Office). | Phase 1 |
| 1,2,3,4,5 | SCO shall be able to process customs declaration in scope of CCI Phase 1 and support electronic information exchanges for the verification of customs declaration and for the release of goods, as defined in the underlying business functions (described in §):   * Validation & Registration of Customs Declaration * Risk Analysis * Acceptance of Customs Declaration * Handling of Amendment Requests * Documentary Control of Goods * Handling of Control Decision & Results * Handling of Invalidation Request * Handling of Supplementary Declaration * Release of Goods * Verification of the declaration that may continue after release of the goods.   In addition, SCO shall employ **EU level communication** and **National communicatio****n[[26]](#footnote-27) functions** and **Other Business Functions** as described in § | Phase 1 |
| 1,2,3,4,5 | PCO shall be able to process customs declaration in scope of CCI Phase 1 and support electronic information exchanges for the verification of customs declaration and for the release of goods, as defined in the underlying business functions (described in §):   * Validation of Customs Declaration * Risk Analysis * Control of Goods * Validation & Processing of Amendment Request * Handling of Invalidation Request * Handling of Release Information   In addition, PCO shall employ **EU level communication** and **National communication[[27]](#footnote-28) functions** and **Other Business Functions** as described in § | Phase 1 |
| 1,2,3,4 | Support data exchanges and notifications between the EO (Declarant) and the SCO in the context of the following business exchanges:   * Submission of new Customs Declaration[[28]](#footnote-29) * Amendment Request * Invalidation Request * Presentation Notification (in case of a customs declaration in advance of presentation (pre-lodged declaration))   EO (Declarant) shall receive notifications for the outcome (rejection or acceptance) of the above submissions as well as notifications for other business events (e.g. control notifications, supplementary documentation requests)  SCO shall employ **external** **communication** functions as described in § for the above purpose. | Phase 1 |
| 6 | Support monitoring and statistics of CCI operations by:   * Collecting technical operational statistics from the electronic information exchanges between SCO and PCO * Collecting consolidated business statistics for certain types submitted by MS. | Phase 1 |

Table 10: User Needs and Features Coverage

# Information System Description

The National CCI Application will be required to implement all the additional functionalities of CCI. DG TAXUD, in the context of the UCC is implementing a set of new supporting applications e.g. CRS, CTA etc. and upgrading the existing ones e.g. CS/RD2. Several of these supporting applications are also involved in the operational picture and the final realization of the CCI Information System as depicted below.

Figure 3: Global CCI Interaction Model

* Each National Administration is responsible to define its own architecture as far as National CCI Application complies with the common specifications. CCI introduces a new set of business processes that can be implemented either by a new system and/or by extending the existing National Declaration Management Processing Systems;
* National CCI Application will be able to exchange messages with other National CCI Application on the Common Domain via CCN2 following the pattern of the one-way web service as explained in the CCN2 Integration Manual [];
* CCN2 will carry out the communication network across the common domain. The necessary user profiles and access rights on the services of the common domain will be granted via the means of CCN2 and the corresponding network configuration elements. CCN/CSI might be considered as a fall-back solution only in case of CCN2 unavailability;
* Regarding the exchange of information on Common Domain between National CCI Application, each National Administration is responsible to develop the new IEs in conformance to the common specs that will be produced by DG TAXUD;
* The new IEs will be aligned with the EU Customs Data Model (EUCDM) [RD15] and formatted to XML standard specifications;
* National Applications will have to give new interaction possibilities (interfaces, forms, etc.) to the Traders according to the CCI business processes. National CCI Application will remain solely responsible for the interactions and communications with the External Domain (Economic Operators and their Applications). The networks that can be used for this communication is also a responsibility of each Member State to define and could be Internet, VPN or any other established National network;
* National Administration will still receive/send reference data from/to CS/RD2 via CCN2. It is upon each National Application to decide the ways to use the interfaces proposed to them by CS/RD2 which are at least compatible with the existing ones. More details about CS/RD2 can be found in the pertinent documentation of the application [RD16];
* National Administration will continue receiving information about EORI, AEO, Trader Authorisations and Registered Exporters from CRS via CCN2. It is upon each National Application to decide the ways to utilize the interfaces exposed to them by the CRS. Current EOS interfaces are to be substituted by CRS interfaces. It is worth noting that Economic Operators management and AEO management might be implemented in various ways and each Member State is solely responsible to decide. However, in the context of this architecture, it is considered that National CCI Application provides the relevant data management functions;
* National Administration would interact with EU Customs SW for validating Certex certificates of customs declaration. It is upon each National Application to decide the ways to use the interfaces proposed to them by EU Customs SW;
* The conformance of National CCI Application to the CCI specifications shall be verified by the new Conformance Testing Application (CTA). The CTA is not participating in the CCI business operation though, it is the application that will carry out the conformance testing hence, it is considered in the CCI overall picture;
* CCI imposes at the National level the exchange of information between Customs and Tax authorities hence, if not already in place, the establishment of an interface between National CCI Application and the relevant to Duty and Tax applications. Each Member State is solely responsible for the technical details of implementing any necessary interface of this kind;
* The national statistical authorities have to update their system in order to receive the data from customs in the context of CCI. It is solely responsibility of each Member State the technical details of this update;
* Each National Administration has the responsibility to manage the risks related to the movement of goods in their risk management system(s) (RMS).

## Information System Position Statement

|  |  |
| --- | --- |
| For | National Administrations and Economic Operators |
| Who | Make use of import and release for free circulation procedures |
| The (*Information System name*) | UCC CCI |
| That | Meets all obligations as per Commission Regulations UCC and its IA and DA |
| Unlike | Retaining SASP |
| Our Information System | Will provide the complete functionality related to Centralised Clearance for Import, as well as the required adaptations to be in line with the UCC IA/DA |
| Our Information System has a Confidentiality level | LIMITED BASIC |
| Our Information System has an Integrity level | MODERATE |
| Our Information System has an Availability level | MODERATE |
| Our Information System has a Security classification | STANDARD |

Table 11: Position Statement

## Information System Perspective

CCI will be implemented based on the principles analytically described in chapter 8. Further details for this perspective are provided in the introduction of this section.

UCC CCI non-functional specifications can be provided upon the finalisation of BPMs L4, since the available UCC CCI baseline (e.g. BPMs L3) does not include such details.

## Assumptions and Dependencies

The following matrix summarises the relation with (or impact on) other projects, systems and applications.

|  | **Technical Specs** | | **Testing Specs** | | **National Application** | | | **Central Application** | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | CCI-SCOPE | DDNA[[29]](#footnote-30) | CCI-TRP | CCI-ACS | National CCI Application | Tax & Duty Systems | Business Statistics | CS/RD2[[30]](#footnote-31) | CS/MIS | CRS | CTA | SW |
| **CCI functionality** | ✓ | ✓ | ✓ | ✓ | ✓ |  |  | ✓ | ✓ | ✓ | ✓ | ✓ |
| **CCI IEs** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |  | ✓ |  |  | ✓ |
| **Rules & Conditions** |  | ✓ | ✓ | ✓ | ✓ |  |  |  |  |  |  | ✓ |
| **UCC DA/IA Annex B data requirements** |  | ✓ | ✓ |  | ✓ |  |  |  |  |  |  | ✓ |
| **CCI MASP Project** |  | ✓ | ✓ |  | ✓ |  |  |  |  |  |  | ✓ |

Table 12: Indicative Impact Assessment Matrix

### Impact on Trans-European Systems

* **Development of the New Data:** According to CCI business requirements, new messages will be introduced to realize the information exchange between National CCI Application;
* **Alignment to EU Customs Data Model:** The format of the information exchanges will be in conformance to the data requirements of UCC DA/IA Annex B and EU Customs Data Model (EUCDM);
* **Communication Network:** The communication on the common domain between the National CCI Applications will be realized by the means of CCN2. Therefore, each MS needs to be registered on CCN2 platform and adapt the National CCI Application so that to provide and consume services over CCN2;
* **Interaction of CCI Application with Tax & Duty Systems at national level:** The national interface for the communication between CCI Application and Tax & Duty Systems will potentially have to be updated as new business workflows are introduced in the context of CCI (e.g. VAT and Duties calculation).

### Impact on Supporting Applications

* **CS/RD2:** The analysis shows that no additional CS/RD2 functionality is required due to UCC CCI implementation. It is expected that the impact on CS/RD2 will be limited to either update existing Code Lists and/or create new ones;
* **CRS:** CCI will use CRS (Customer Reference Services) system, which aims at providing a consistent and consolidated view of customer data in the context of Customs. The consuming query and decision services provided by the CRS system have to be examined, when the mature CCI requirements are in place, to ensure the provision of the demanded CCI functionality. Such consuming services will be the retrieval of reference customer (i.e. Economic Operator) information, via a standard interface provided by the CRS. CCI will also have the option to check the validity of a requested authorisation by accessing local CRS data replicated from the central repository;
* **CTA:** It is the tool by which the test cases will be executed. This application supports the new interactions introduced by the changed and new business processes. In addition, CTA is capable to validate new and amended IE messages. The test scenarios and the exact number of test cases to be executed are currently not known. In the context of CCI conformance testing, CTA must be integrated with CCN2 platform. Hence, CTA must be enhanced by implementing an adapter for CCN2;
* **CS/MIS:** The new business domain, IEs and business statistics will have to be introduced on CS/MIS to support the CCI business processes. Although the CCN2 technical statistics are not currently in the scope, CS/MIS could potentially calculate the new technical statistics whenever provided the raw data that are collected by the CCN2 platform regarding the CCI information exchanges. Therefore, relevant CS/MIS update is necessary;
* **EU Customs Single Window:** It is not foreseen any additional functional change in the EU Customs SW due to UCC CCI implementation.

# Constraints

## Security Constraints

As CCI is considered part of the portfolio of distributed Customs Trans-European Systems, the security constraints must be aligned to the TES as defined to the Terms of Collaboration for the Customs Trans-European System [].

## Document Management Constraints

No document management constraint has been identified for the Phase 1 of UCC CCI project.

## Data Protection Constraints

Aligned to Annex E of Terms of Collaboration for the Customs Trans-European Systems [[RD14](#RD14)].

## Data protection checklist:

|  | Data protection checklist | Yes | No |
| --- | --- | --- | --- |
|  | Does this application process any data allowing the identification of an individual person?  Process means as well as to collect, structure, format, file, transform, store, transfer data on any kind of media. |  | ✓ |
|  | **P**ersonal data is extracted or imported from another Information System. |  | ✓ |
|  | **P**ersonal data is manually collected |  | ✓ |
|  | **P**ersonal data is on-line collected |  | ✓ |
|  | Does any new version of the application have an impact on the currently notified processing? |  | ✓ |

## Conclusion

The recommendation from EDPS (Annex E of the Terms of Collaboration for the Customs Trans-European System []) applied on TES will remain valid and applicable to CCI.

# Quality Ranges and Information System Requirements

## Availability

In the terms of the availability, CCI is considered similar to NCTS and ECS:

* ***RTO***: 4 hours
* ***RPO***: 48 hours
* ***Availability***: Critical
* ***BC Criticality***: Critical

The ***RTO*** applies to the restoration of MSs workplace facilities, ICT infrastructure and users’ workstations where the IT Systems operates, implementing the exchange of information between each MS.

The ***RPO*** applies to e-Customs information and data that MSs exchange between each other. So, the MSs could deploy data availability measures such as backup, for ensuring the timely recovery of the information that participates in the exchange process.

The central assumption is that all National and Central Customs TES services are expected to be available on a continuous, 24/7/365 basis. To this end, two different pairs of values are set:

1. one target/limit pair for “Within Business Hours” operational availability and;
2. one target/limit pair for “Outside Business Hours” operational availability.

| Service | Within NA Business Hours | | Outside Business Hours | |
| --- | --- | --- | --- | --- |
| Target | Limit | Target | Limit |
| National CCI Application | 99.5% | 99% | 98% | 97% |

Table 13: Availability target and limit values

Notes:

* The ***Target*** values are recommended values to be achieved as often as possible (on a monthly or annual basis).
* The ***Limit*** values are values to be strictly respected (on a monthly or annual basis).

The Service Level Agreement for Availability and Continuity of Customs Trans-European Systems between National Administrations and DG TAXUD [] includes target and limit values for the availability of the communication network and the supporting applications. The document will be extended with values for National CCI Application, to be agreed with NA.

The non-functional requirements regarding CCN2 availability are depicted within CCN2 Platform System Functional and Non-Functional Requirements [].

## Usability

Not applicable to the distributed Trans-European System.

## Maintainability

As defined in the Terms of Collaboration for the Customs Trans-European Systems [].

## Applicable Standards

As defined in the Terms of Collaboration for the Customs Trans-European Systems [].

## System Requirements

Will be defined in the Technical Specifications (DDNA).

## Performance Requirements

The performance requirements for CCI are the same with those defined in the Service Level Agreement for Availability and Continuity of Customs Trans-European Systems between National Administrations and DG TAXUD [].

The non-functional requirements regarding CCN2 performance are depicted within CCN2 Platform System Functional and Non-Functional Requirements [].

In terms of volumetric, the following should be noted. The estimation of volumetric for envisioned CCI is a challenging task. It is considered that the forms of centralised clearance that are currently in place such as national centralised clearance, SASP/CC, etc. do not give indicative volumes of transactions for the future situation. For the purposes of performance requirements and technical assessment, the volumes of ECS P2 will be considered as the anticipated volumes for CCI Phase 1 (number of movements and messages). Given that MSs will gradually join CCI operations (from Q1 2021 to Q4 2023), the full volume of transactions is estimated as soon as all MS join the operations.

Therefore, the table below, presents the CCI volumetric baseline that was produced on the basis of 2017 statistics collected from ECS P2 TES.

|  | Total number of Declarations | Total number of Messages exchanged | Message declaration average size | Messages exchanged average size |
| --- | --- | --- | --- | --- |
| ECS P2 Year 2017 Volumes | 15.1 million | 41.8 million | 2 kb | 1 kb |
| Estimated CCI Volumes | 15.1 million | 41.8 million | 10[[31]](#footnote-32) kb | 5 kb |

Table 14: CCI volumetric baseline

National CCI Application and CCN2 should consider the above volumes for their capacity requirements.

## Logging and auditing Requirements

It will be further defined in the Technical Specifications (DDNA).

# Licensing and Installation

Not applicable to the distributed trans-European System.

ANNEX 1: Vision document glossary

The glossary below provides the reader with an overview of terms (other than business and/or project terms which are defined in ANNEX 3) used throughout this vision document.

| **Term** | **Description** |
| --- | --- |
| **CEAF** | The **C**ommission **E**nterprise **A**rchitecture **F**ramework. It shows from each stakeholder’s perspective (business or IT) the blueprint of all aspects involved in constructing information systems and how they relate. |
| **FTE** | **F**ull-**T**ime **E**quivalent. One FTE indicates the equivalent work of one full-time person. A half FTE indicates the equivalent work of a half-time person, and so on. |
| **Information System** | A system, whether automated or manual, that comprises people, machines, and/or methods organised to collect, process, transmit, and disseminate data that represent user information |
| **Programme** | The term Programme often refers to the collection of projects aimed towards the same goal (e.g. the ABAC programme which comprised many projects to realise the introduction of an accrual based accounting in the Commission). |
| **Project** | Projects are performed by people, constrained by limited resources, and planned, executed, and controlled. A project is a temporary endeavour undertaken to create a unique product or service. Temporary means that every project has a definite beginning and a definite ending. Unique means that the product or service is different in some distinguishing way from all similar products and services. Projects are often critical components of the performing organizations' business strategy. |
| **Stakeholder** | An individual who is materially affected by the outcome of the information system. Stakeholders of an information system (amongst others) are: the business units, the users of the system, the supplier of the system, etc. |
| **SWOT Analysis** | An analysis whereby the (internal) **S**trengths, (internal) **W**eaknesses, (external) **O**pportunities and (external) **T**hreats involved in a project are being evaluated. |
| **EU Centralised Clearance for Import** | The term "EU Centralised Clearance for Import" refers to the whole CCI project. This includes both the national CCI applications and the central EU applications that will support the CCI procedures. CCI is a decentralised system, similar to NCTS and ECS. At Commission level, the communication with the central applications (CS/RD2, CS/MIS, CDS, etc.) will be supported. The rest will be supported by the national applications. |

Table 15: Glossary

ANNEX 2: Definitions, Acronyms, and Abbreviations

| Term | Description |
| --- | --- |
| CC | Centralised Clearance |
| CCI | Centralised Clearance for Import |
| CCN | Common Communication Network |
| CAP | Common Agricultural Policy |
| CS/MIS | Central Services Management Information System |
| CS/RD | Central Services Reference Data |
| CSI | Common Systems Interface |
| ECS | Export Control System |
| EDPS | European Data Protection Supervisor |
| EIF | European Interoperability Framework |
| EIS | European Information System |
| EO | Economic Operator |
| HTTP | HyperText Transfer Protocol |
| HTTP/s | HTTP over SSL |
| PCO | Presentation Customs Office |
| SASP | Single Authorisation for Simplified Procedures |
| SCO | Supervising Customs Office |
| SSL | Secure Sockets Layer |
| TES | Trans European Systems |
| VAT | Value Added Tax |
| XML | eXtensible Markup Language |

Table 16: Abbreviations & Acronyms

ANNEX 3: References

| **Ref.** | **Title** | **Reference** | **Version** | **Date** |
| --- | --- | --- | --- | --- |
| RD01 | Business Case - EU Centralised Clearance for Import | Ares (2017) 5701946 | 1.2 | 17/11/2017 |
| RD02 | Union Customs Code (UCC) | Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code | Regulation (EU) No 952/2013 | 09/10/2013 |
| RD03 | UCC Implementing Acts (UCC IA) | COMMISSION IMPLEMENTING REGULATION (EU) 2015/2447  of 24 November 2015  laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code | Regulation (EU) 2015/2447 | 24/11/2015 |
| RD04 | UCC Delegated Acts (UCC DA) | COMMISSION DELEGATED REGULATION (EU) 2015/2446  of 28 July 2015  supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards detailed rules concerning certain provisions of the Union Customs Code | Regulation (EU) 2015/2446 | 28/10/2015 |
| RD05 | EU Customs Data Model (EUCDM) | ANNEX B : COMMON DATA REQUIREMENTS FOR DECLARATIONS, NOTIFICATIONS AND PROOF OF THE CUSTOMS STATUS OF UNION GOODS  TITLE I: Data requirements  [**UCC Annex B**](https://svn.taxud.gefeg.com/svn/Documentation/EUCDM/EN/index.htm) |  |  |
| RD06 | Electronic Customs Multi-Annual Strategic Plan 2017 REVISION | MASP\_Rev. 2017\_Main Body\_v1.0.docx Ares(2017) | 1 | 07/11/2017 |
| RD07 | UCC Working Programme | Ares(2017)4417880 - 11/09/2017 |  | 11/09/2017 |
| RD08 | Service Level Agreement for  Availability and Continuity of  Customs Trans-European Systems  between National Administrations and DG TAXUD | SLA on Availability and Continuity (Customs) - Version 2.80 - Annual Revision 2017 | 2.80 | 03/11/2017 |
| RD11 | TEMPO | [TEMPO on CIRCABC](https://circabc.europa.eu/w/browse/397be292-a066-451d-8cf3-988f115f098d) | 2016.04 | Apr 2016 |
| RD13 | Functional Specifications FSS-CCI and the L4 BPM | Functional Specifications FSS-CCI and the L4 BPM Reports |  |  |
| RD14 | Terms of Collaboration | [Terms of Collaboration (Customs)](https://circabc.europa.eu/w/browse/fae577d5-917d-411a-99bf-faef7000042d) - Version 4.80 - Annual Revision 2017  https://circabc.europa.eu/w/browse/57a5bb80-d01e-4b11-9f24-9e48ff96b3c5 | 4.80 | 03/11/2017 |
| RD15 | Regulation (EU) 2015/1525 [RD09] of the European Parliament and of the Council of 9 September 2015 amending Council Regulation (EC) No 515/97 | [OJ L 243, p. 1–12](http://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX%3A32015R1525) |  | 18/09/2015 |
| RD16 | CS/RD2 - Design Document for Reference Data Administration | CD3-CSRD2-DDRDA | 1.30 | 12/02/2018 |
| RD17 | CCN2 Platform  System Functional and Non-Functional Requirements | CCN2-CSFR\_CNFR-SC04-001 | 4 | 17/07/2015 |
| RD18 | CCN2 Integration Manual | CCN2-CIMA-SC04-001-NA | 1 | 03/06/2015 |
| RD19 | ArchiMate® 3.0.1 Specification, an Open Group Standard | http://pubs.opengroup.org/architecture/archimate3-doc/ | 3.0.1 | - |
| RD20 | SIMPLIFICATIONS – Title V UCC/ “Guidance for MSs and Trade” | https://ec.europa.eu/taxation\_customs/sites/taxation/files/docs/body/guidance\_simplifications\_en.pdf | - | 07/04/2017 |
| RD21 | European Interoperability Framework | https://ec.europa.eu/isa2/eif\_en | - | - |

Table 17: Reference documents

1. Simultaneous release for free circulation and home use of goods which are the subject of a VAT-exempt supply to another Member State and, when applicable, an excise-duty suspension (source: List of procedures for coding purposes of DE 1/10 Procedure defined in []). [↑](#footnote-ref-2)
2. Re-importation with simultaneous release for free circulation and home use of goods which are the subject of a VAT-exempt supply to another Member State and, when applicable, an excise duty suspension (source: List of procedures for coding purposes of DE 1/10 Procedure defined in []). [↑](#footnote-ref-3)
3. Custom Debt Management is supported by other nationally implemented functions for duty calculation and for securing Customs Debts Payments (collection) by SCO. Similarly, for calculation of VAT performed by PCO. [↑](#footnote-ref-4)
4. **Process Category** - The EC processes are classified in 14 process categories as follows: Asset Management, Audit, Communication & Dissemination, Coordination, Document Management, Financial Management, Grant Management, Human Resources, IT, Legislation Lifecycle, Policy Lifecycle, Procurement, Program Management, Strategic Planning. [↑](#footnote-ref-5)
5. **Domain** - The domain is the cutting of the highest level of activities of the Commission. A DG has only a few areas of activities, sometimes only one. In some cases, a domain is shared by several DGs, and even by all DGs. [↑](#footnote-ref-6)
6. **Sub-Domain** - A Sub-Domain is a subset of areas of activities that meets a set of common objectives and constraints. [↑](#footnote-ref-7)
7. **Macro-process** -A macro-process is a set of processes related to a sub-domain. It corresponds to a grouping of activities according to a common business logic. Sometimes the consolidation process corresponds to the sequential execution of many processes. [↑](#footnote-ref-8)
8. **Process** - The CEAF defines a process as an organised and repetitive sequence of actions involving resources which aims at producing a result to satisfy a client’s need. [↑](#footnote-ref-9)
9. As per Article 162 of UCC [RD02], standard customs declarations shall contain all the particulars necessary for application of the provisions governing the customs procedure for which the goods are declared. [↑](#footnote-ref-10)
10. As per Article 166 of UCC [RD02], simplified declaration may omit certain of the particulars referred to in Article 162 or the supporting documents referred to in Article 163. [↑](#footnote-ref-11)
11. As per Article 167 of UCC [RD02], in case of a simplified declaration pursuant to Article 166, the declarant shall lodge a supplementary declaration containing the particulars necessary for the customs procedure concerned at the competent customs office within a specific time-limit. [↑](#footnote-ref-12)
12. Simultaneous release for free circulation and home use of goods which are the subject of a VAT-exempt supply to another Member State and, when applicable, an excise-duty suspension (source: List of procedures for coding purposes of DE 1/10 Procedure defined in []). [↑](#footnote-ref-13)
13. Re-importation with simultaneous release for free circulation and home use of goods which are the subject of a VAT-exempt supply to another Member State and, when applicable, an excise duty suspension (source: List of procedures for coding purposes of DE 1/10 Procedure defined in []). [↑](#footnote-ref-14)
14. **National Communication** **functions** and **Other Business Functions** at SCO or at PCO are considered not part of CCI system, however must be implemented by National Systems (national implementation). They are mentioned for completeness. [↑](#footnote-ref-15)
15. This field describes the main concerns (worries) related to this need. [↑](#footnote-ref-16)
16. e.g.: keep track of each version of the document. [↑](#footnote-ref-17)
17. Please refer to § for declarations in scope of CCI Phase 1. [↑](#footnote-ref-18)
18. Please refer to § for procedures in scope of CCI Phase 1. [↑](#footnote-ref-19)
19. Please refer to § for declarations in scope of CCI Phase 1. [↑](#footnote-ref-20)
20. Please refer to § for procedures in scope of CCI Phase 1. [↑](#footnote-ref-21)
21. A calculated value as a function of the severity and probability of the risk. [↑](#footnote-ref-22)
22. A numeric value denoting the relative probability that the risk should occur. [↑](#footnote-ref-23)
23. A numeric value denoting the relative severity of the impact of the risk if it should occur. [↑](#footnote-ref-24)
24. Risk Actions: Avoidance/ Transfer/ Mitigation Strategy / Contingency Plan. [↑](#footnote-ref-25)
25. The ID need used in this column must be taken from the ID listed in the section "". [↑](#footnote-ref-26)
26. **National Communication functions** and **Other Business Function**s at SCO are considered not part of CCI system, however they must be implemented by National Systems (national implementation functions). CCI uses these national functions in the context of CCI declaration processing. They are mentioned for completeness. [↑](#footnote-ref-27)
27. **National Communication functions** and **Other Business Function**s at SCO are considered not part of CCI system, however they must be implemented by National Systems (national implementation functions). CCI uses these national functions in the context of CCI declaration processing. They are mentioned for completeness. [↑](#footnote-ref-28)
28. Please refer to § for declarations in scope of CCI Phase 1. [↑](#footnote-ref-29)
29. It includes related changes in DDCOM. [↑](#footnote-ref-30)
30. No change to CS/RD2 is needed as NAs must use the Generic XML since 2019 but new code lists to be added or changes to be applied. [↑](#footnote-ref-31)
31. The messages exchanged on ECS P2 TES are in EDIFACT format while the ones of CCI are will be XML formatted. Hence, the average size is adjusted with a multiplier factor of 5. [↑](#footnote-ref-32)