

# UNITED NATIONS E-BUSINESS STANDARDS AND TOOLS FOR SUSTAINABLE AGRICULTURE TRADE



## SPECIFICATIONS FOR AN ELECTRONIC QUALITY CERTIFICATION SYSTEM FOR FRESH FRUIT AND VEGETABLES

March 2021

# 1. INTRODUCTION

## 1.1 Objective

This document presents the eQuality Certification system processes and business requirements for Fresh Fruit and Vegetables covered by marketing standards.

This document provides a high level functional description of the main business processes to be managed by an electronic Conformity Certificate management system for Fresh Fruit and vegetables. This functional system specification can be used as a template for the technical development and implementation of such a system.

The functional specification has been developed with support of the German Bundesanstalt für Landwirtschaft und Ernährung (BLE) and based on the German eQuality Management System.

This document describes:

- the high-level end-to-end business process,
- sub-processes, and
- main entities and their state transitions.

The following major process threads are described in this document:

- Risk analysis process,
- Decision making process
  - Start Take Decision,
  - Manage Adjustments,
  - Take Decision & Notify
- Perform Conformance Checks process
  - Handle Control Results, including
    - Reporting compliance, defects, waivers, split lots
    - Automatic exchange of electronic data with national Customs Authority (Conformity certificate, Waiver declaration and Certificate of Non-Conformance data)
    - Automatic exchange of electronic data with Competent Authority in the country of importation (Conformity certificate data)

- Manage Complaints Process - Follow-up inspection of the defective lot (Reinspection),
- Issuance of (paper) Conformity Certificates process

## 1.2 Intended audience

Intended audience for this document:

- Competent Authorities and UN Agencies that wish to design and implement electronic Conformity certificate management systems for Fresh Fruit and Vegetables;
- Any person responsible to plan or oversee business processes, requirements, functional specifications or the conformance testing of Conformity certification systems for Fresh Fruit and Vegetables.

## 1.3 Abbreviations and Acronyms

For a better understanding of the present document, the following table provides a list of the principal abbreviations and acronyms used.

Abbreviation/Acronym	Definition
CA	Competent Authority
eQCert	Electronic Quality Certification system
RfC	Request for Certification

## 2. HIGH LEVEL SYSTEM OVERVIEW

### 2.1 Actors

**Exporters** request certificates directly in eQCert system. Afterwards, they submit customs declaration data to the National Customs Authorities. In addition, they participate in the transportation of goods and their presentation to the Competent Authorities.

Note: Exporters can use representatives to request certificates on their behalf

**Competent Authorities** are the authorities issuing conformity certificates, non-conformity reports or waivers in the eQCert system. They also interact with the Economic Operators in the process of presenting and inspecting the goods and National Customs Authorities in the process of sending certificate or waiver data.

**National Customs Authorities** represent the Customs Authorities interacting with the Competent Authority via eQCert system to request and receive conformity certificate information or waiver declaration. They also interact with the Exporters (or their legal representatives) by receiving and processing the relevant customs declarations.

## 2.2 Export - High Level End-to-End Process

1. Risk analysis process	
<b>Brief Description</b>	<p>The Exporter initiates the certification process by requesting a conformity certificate for a consignment from the Competent Authority of the exporting country. The RfC has been registered and passed on to the Competent Authority.</p> <p>Based on the RfC “Control date” the eQCert system will either initiate the risk analysis process or delay that process. Where the control date of request is not within the time limit set by the Competent Authority (e.g. within the next 48 hours), the system will start the timer for automatic initialisation of risk analysis and record the risk analysis results (Risk identified or No risk). The system will inform inspectors about the kind of controls to be carry out and inspectors could decide on the type of controls.</p> <p>Based on the outcome of the risk analysis process the system will indicate whether:</p> <ul style="list-style-type: none"> <li>• The RfC has gone through the risk analysis and is now being evaluated by the Competent Authority of the exporting country.</li> <li>• The RfC has gone through the risk analysis and a Conformity Certificate or a Waiver will be issued automatically *</li> </ul> <p>* If the Exporter has the status of Approved Trader, benefiting from a reduced level of controls or exemption and the automatic issuance of Conformity Certificate or Waiver is enabled in the system. In this case, the eQCert system should automatically check whether the Exporter is an Approved Trader (authorised trader classified in the lowest risk category,) and if his authorisation is still valid.</p> <p><b>Outcome/Final situation:</b> Risk analysis completed, results recorded and communicated</p> <ul style="list-style-type: none"> <li>• Risk identified, risk analysis results recorded indicating the recommended control types, the lots that should be checked and the sample size. The system will assign status “RISK IDENTIFIED” to the RfC and to each lot for which the system identified a certain level of risk.</li> </ul>

	<p>The Competent Authority or the Competent Inspection body should maintain the catalogue of sample sizes (number of packages to be taken to check the lot for conformity). The eQCert system may include a function for manual or automatic selection of sample size.</p> <ul style="list-style-type: none"> <li>No risk. Conformity Certificate/Waiver may be issued automatically or pending final decision by certification officer.</li> </ul>		
<b>Actor(s)</b>	<p>Primary: Competent Authority Secondary: Exporter</p>		
<b>Pre-Conditions</b>	<p>Exporter submitting a RfC</p>		
<b>Basic Flow of Events</b>			
<b>Actor(s) Actions</b>	<b>Result/System Response</b>		
<b>eQCert system</b>	Automatic	1.1	<p>Receive RfC and accompanying documents (scanned documents) Validate RfC data, set RfC status as "REQUESTED" Verify "Control date"</p>
		1.2	<p>Initiate risk analysis if the control date of request is within the time limit set by Competent Authority (e.g. less than 48 hours) or upon expiration of "Timer for initiation of risk analysis" if such function is enabled.</p>
		1.2.1	<p>Set RfC status "RISK IDENTIFIED" if risk identified</p>
		1.2.2	<p>Issue Conformity Certificate or Waiver automatically if no risk (for example, when the Exporter has the status of Approved Trader) and the automatic issuance function is being enabled within eQCert system. Set RfC status "ISSUED"</p>

## 2. Decision Making Process

### 2.1 Start Take Decision

<p><b>Brief Description</b></p>	<p>The “Start Take Decision” process is the first step of the decision taking process. The timer to “Take Decision” is started as soon this step is initiated.</p> <p>The decision-making officer should perform the following tasks:</p> <ul style="list-style-type: none"> <li>• Query information about requests for certification using a set “CONTROL COMPLETED”. of pre-defined criteria,</li> <li>• Display all the information provided by the Exporter (requests and accompanying documents), including the result of risk analysis and the status of each lot,</li> <li>• Review the RfC data, conditions and criteria,</li> <li>• Evaluate the RfC and take a decision on how to proceed</li> </ul> <p>Based on the information provided by the eQCert system the decision-making officer performs the relevant check of conditions and criteria to take such decision.</p> <p>Based on the checks the decision-making officer should <b>decide if additional information is needed and/or if the RfC requires adjustments.</b></p> <p>The final result of this process will be one of the following outcomes:</p> <ul style="list-style-type: none"> <li>• The decision-making officer concluded that the RfC data requires adjustments and will initiate the “<b>Manage adjustments</b>” process.</li> <li>• The decision-making officer concluded that the RfC data does not require adjustments and will initiate the “<b>Take Decision</b>” process</li> <li>• The timer expired and decision-making officer have not initiated the “Start Take Decision” process: the system will <b>automatically take the decision</b> to proceed with the recommended controls of all lots</li> </ul>
<p><b>Actor(s)</b></p>	<p>Competent Authority – Decision-making officer</p>

<b>Pre-Conditions</b>	The Take Decision process starts once the RfC is accepted by the eQuality system and there is a Risk Analysis result indicating recommended control types and the lots that should be checked		
<b>Basic Flow of Events</b>			
<b>Actor(s) Actions</b>		<b>Result/System Response</b>	
<b>Decision-making officer</b>	View request for eQCert	2.1.1	The detailed view of all information that the Exporter has provided as well as the result of risk analysis is displayed Start "Timer to Take Decision" if such a time limit is defined in the national legislation
<b>eQCert</b>	Control decision: "Selected for control"	2.1.2	Stop "Timer to Take Decision" The eQCert system will automatically confirm the Control decision: "Selected for control" on all lots selected for control at the expiration of time limit set for "Take Decision".

## 2. Decision Making Process

### 2.2 Manage adjustments

at the RfC data requires adjustments

预览已结束，完整报告链接和二维码如下：

[https://www.yunbaogao.cn/report/index/report?reportId=5\\_31077](https://www.yunbaogao.cn/report/index/report?reportId=5_31077)

