



# EU FLEGT Licensing System Analysis Presentation

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## ***Topics***

- **Introduction**
- **Information in the system**
- **Licences statuses**
- **Process flows**
- **Mockups & Traces NT**
- **Other Features**

# FLEGT IT Introduction

- **Access Architectures**

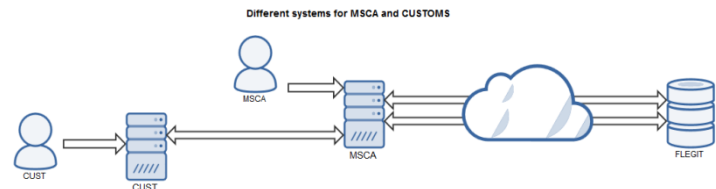
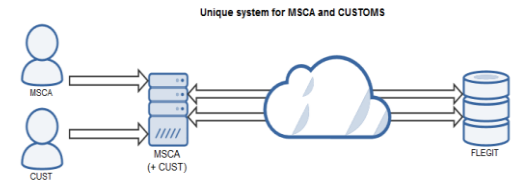
- Interactive
- Independent systems (VPA, MSCA, CUST)
- Dependent systems (MSCA, Customs)
- Any above combinations

- **Server-based**

- FLEGT IT does not call other systems
- Central repository

- **Technologies**

- Traces NT (DG SANTE's web system)
- Web services



# FLEGT IT - Information in the system

## Licence – information & Structure

- Mainly 18 boxes
- Specific fields
  - ✓ Box 2: text (for ex: **importer**), images and confidentiality flag
  - ✓ Box 3: specific **licence number** format for some VPA
  - ✓ Always contains in box 2 or 3 the **country of destination**
  - ✓ Box 9-10: "**Commodity**"
    - List of: Commercial timber product + HS code
  - ✓ Box 11-12-13: "**Species**"
    - List of: Scientific Name + Country of harvest
    - *Release 1*: no relation with commodity
    - *Release >1*: optional relation with commodity
  - ✓ Box 14-15-16: "**Amounts**"
    - *Release 1*: unique for whole licence
    - *Release >1*: optionally, one value PER commodity
  - ✓ Box 17 & 18: text and images

# FLEGT IT - Information in the system

## Licence information - sets and versions

### 1. Licence information set

- Objective: keep track of licences **differences between users** (like mistake fixes, translated fields, etc.)
- VPA information set
  - ✓ 18 boxes
  - ✓ For one VPA
- MSCA information set
  - ✓ 18 boxes
  - ✓ One set per MSCA
- *Release >1*: IMP information set

# FLEGT IT - Information in the system

## Licence information - sets and versions

### 2. Licence information version

- Objective: keep track of **updates sent by the same user**
- For each information set, several one or more versions are kept.

For example:

- ✓ VPA info set: version 1 issued 04-JAN-2016 09:00 GMT (created)
  - ✓ VPA info set: version 2 issued 04-JAN-2016 10:30 GMT (updated)
  - ✓ FR CA info set: version 1 issued 07-JAN-2016 16:00 GMT (accepted)
  - ✓ FR CA info set: version 2 issued 08-JAN-2016 09:00 GMT (updated)
- Release >1*
- ✓ BE CA info set: version 1 issued 11-JAN-2016 10:00 GMT (accepted)

# FLEGT IT - Information in the system

## Licence Validation – Information & structure

- MSCA identifier
- Requested date
- Importer information (name & address)
  - ✓ May be deduced from box 2 of VPA licence info set
  - ✓ May be textual or reference to database of economic operator
- Importer comment (optional)
- Point of entry
  - ✓ May be deduced from box 2 of VPA licence info set
  - ✓ May be textual or reference to CS/RD (TAXUD)
- Estimated arrival (optional date & time)
- Decision (mainly: "Accepted" or "Rejected")
- Decision date
- Decision comment
  - ✓ mandatory if rejected
  - ✓ Predefined list of rejection reasons and/or textual comment

# FLEGT IT - Information in the system

## Licence validation - sets and versions

### 1. Licence validation set (*release > 1*)

- Objective: keep track of **validations made by different MSCA** on the same licence
- If licence is rejected by one MSCA, then it should not be available for validation by another.

### 2. Licence validation version

- Objective: keep track of **updates made by the same MSCA** (for ex; fixes of mistakes, change of destination harbor, rejection after acceptance, etc.)



# FLEGT IT - Information in the system

## Licence Clearance - Information & structure

- CUST identifier
- Cleared quantities or deviation percentage
  - ✓ *Release 1*: For whole licence
  - ✓ *Release >1*: Per timber product
- Clearance Decision (mainly: "Cleared" or "Disposed")
- Decision date
- Decision comment
  - ✓ mandatory if Disposed
  - ✓ Predefined list of Disposal reasons and/or textual comment

# FLEGT IT - Information in the system

## Licence Clearance - sets and versions

### 1. Licence Clearance set (*release > 1*)

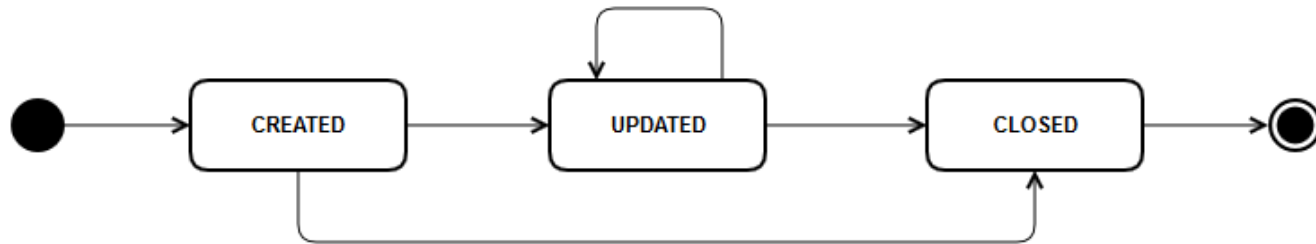
- Objective: keep track of different **clearances made by several CUST** for the same licence (= split shipment)
- Amounts provided per timber product

### 2. Licence Clearance version

- Objective: keep track of **updates made by the same CUST** (for ex; change of deviation value, change of disposal reason, etc.)

# FLEGT IT – Statuses in the system

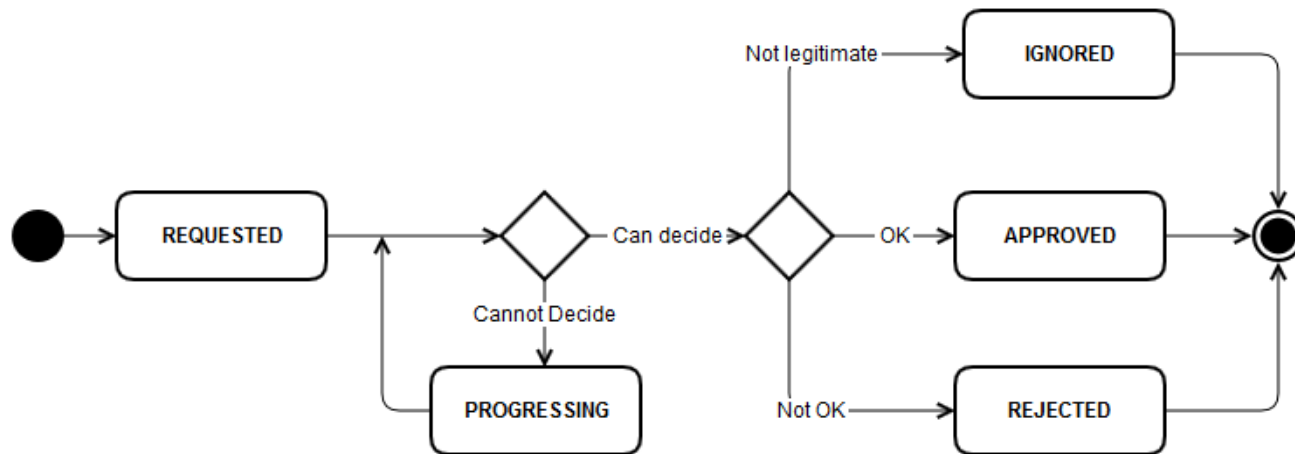
## States of a Licence



- One status for the whole licence
- CLOSED can be reached when:
  - ✓ The validation is rejected by one MSCA
  - ✓ The validation is accepted and the clearance is completed
  - ✓ The licence is expired (Box 4: date of expiry, 23:59:59 local time VPA)

# FLEGT IT – Statuses in the system

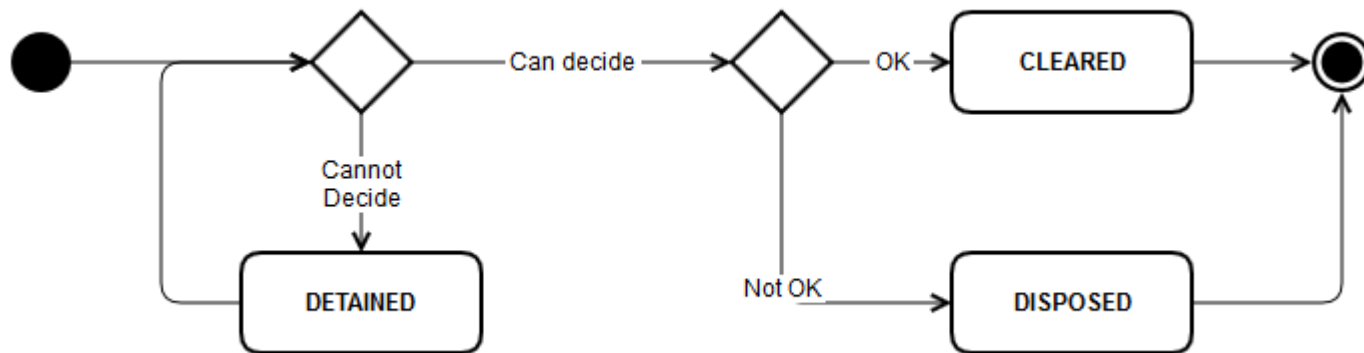
## States of the validation of a Licence



- For one licence, a validation status per MSCA
- REQUESTED & PROGRESSING are not final states
- IGNORED state: when request was not legitimate (i.e. MSCA takes no decision)

# FLEGT IT – Statuses in the system

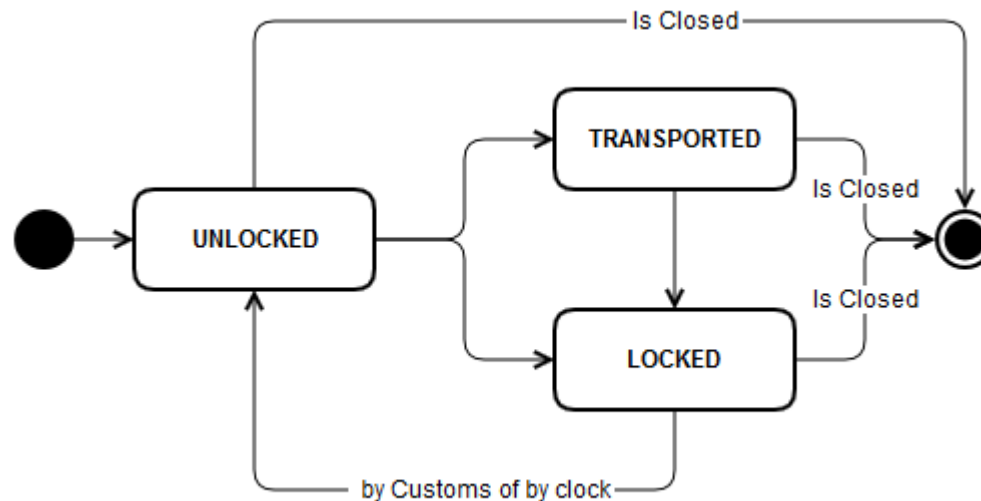
## States of the Clearance of a Licence



- One Clearance status per Licence (or product: for *Release* > 1)
- DETAINED state is not a final state

# FLEGT IT – Statuses in the system

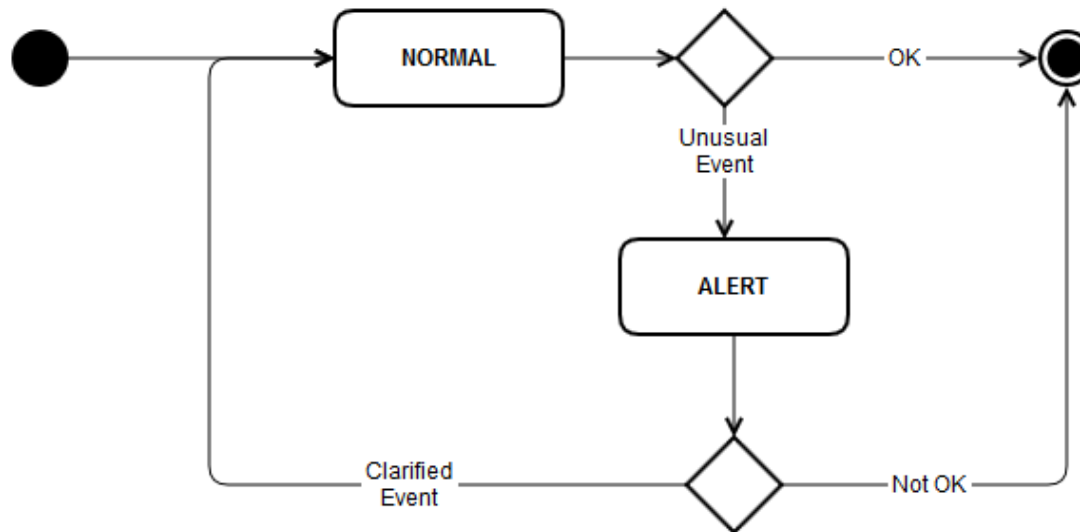
## Other states for a Licence – Locking state



- One Locking status per licence
- One customs office locks a licence, the same can clear it
- **TRANSPORTED** state: one customs office locks the licence, another can clear it

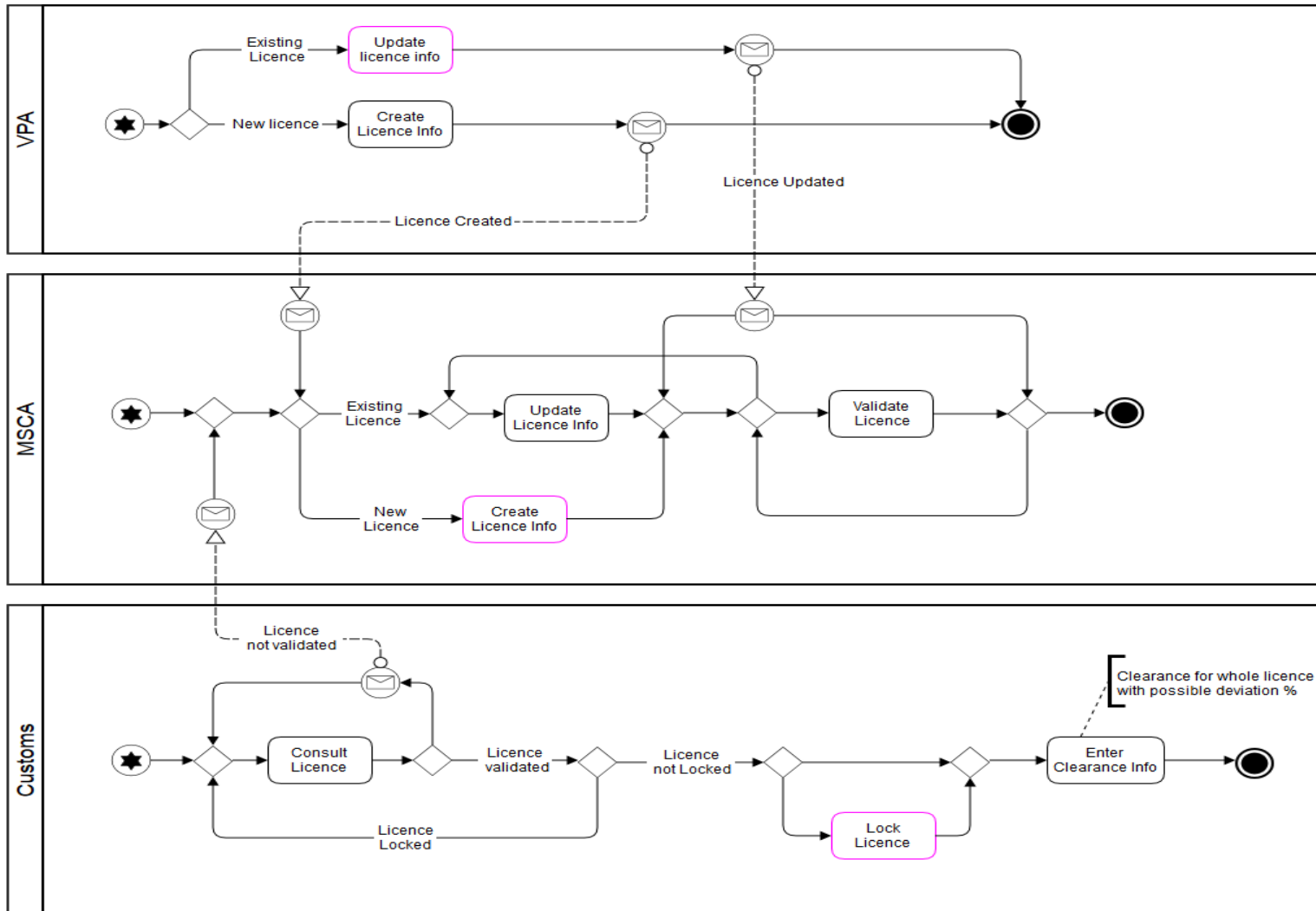
# FLEGT IT – Statuses in the system

## Other states for a Licence – Alert state



- One Alert status per licence
- The system itself can put the Licence in Alert state
- But only, a user can put it back to Normal state

# FLEGT IT – Main process flows





# FLEGT IT – Mockups

## Design Assumptions

### 1. Not FLEGT specific design

- FLEGT users enter in TRACES Home page (no specific FLEGT home page)
- Home page is a general dashboard
- Commodity-centric (i.e. main information of a licence is the HS Headings)

### 2. FLEGT specific design

- Specific general search and predefined searches
- Unique design for viewing and editing licence info
  - ✓ 3 main tabs: licence, validation and clearance
  - ✓ Additional tabs for specific info (for ex; alert tab, history tab, etc.)



European  
Commission

# FLEGT IT – Mockups

## TRACES Home page

Home Certificates Organisations Admin Search Certificate... 5 ?



### TRACES

TRAdE Control and Expert System

TEST

TRACES NT > Index

#### Welcome



Welcome to TRACES NT, **Competent authority France**.

Edit your profile

Notifications

**Last Login:** 08/05/2015 13:42.  
**Available** [Technical Management](#)  
**Profiles:**

#### Latest News



No latest news so far...

More

#### Latest Certificates



##### New Certificates

4

CHEDEP.FR.2014.0003033	New	>
FLEGT.ID.2015.0000001	Requested	>
INTRA.DE.2013.0000031	New	>
IMPORT.NZ.2014.0033047	New	>

More

##### To be Checked

4

FLEGT.GN.2015.0000580	>
CVDEP.FR.2014.0000120	>
FLEGT.ID.2015.0000006	>
CVDEP.GB.2014.0000005	>

More



European  
Commission

# FLEGT IT – Mockups

## TRACES Home page

Certificates ▾ Organisations ▾ Admin ▾  5

**E.U. Import**  
Veterinary certificate to E.U.

**FLEGT**  
FLEGT Licensing scheme

**CHED**  
Common Health Entry Document for  
Plant Products, Products, Animal  
Products or Vegetables.

**C.O.I.**  
Certificate for Organic Import

**DOCOM**  
Commercial Document for Live  
Animals

**Profiles:**

Edit your profile

Notifications ▲

**Latest News**

No latest news so far...

[More +](#)

**TRACES**  
Control and Expert System

**Latest Certificates**

**New Certificates** ▲ 4

CHEPPP.FR.2014.0003033	<b>New</b>	>
FLEGT.ID.2015.0000001	<b>Requested</b>	>
INTRA.DE.2013.0000031	<b>New</b>	>
IMPORT.NZ.2014.0033047	<b>New</b>	>
<a href="#">More +</a>		

**To be Checked** ▲ 4

FLEGT.GN.2015.0000580	>
CVEDP.FR.2014.0000120	>
FLEGT.ID.2015.0000006	>
CVEDP.GB.2014.0000005	>
<a href="#">More +</a>	

# FLEGT IT – Mockups

## FLEGT Home page - MSCA

A Web Page

← → ↺

http://ec.europa.eu/tracesnt/FLEGT

⋮

You are in TRACES NT

Profile : MSCA  
Country : France

Welcome to FLEGT

Lorem ipsum dolor sit amet, eu alii fierent definiebas nec. No possit dolorum petentium mei, esse purto ad nam. In nam occurreret principes, nostrum convenire...

Search a licence

by licence number...

Search

Advanced search

Licence number ▲	Country ◆	Approval status ◆	Clearance status ◆	Last modified ◆
ID123456	ID	REQUESTED	NONE	22.01.2015
GN897564	GN	APPROVED	CLEARED	04.02.2015
ID987546 !	ID	REQUESTED	NONE	08.05.2015

Create licence

# FLEGT IT – Mockups

## FLEGT Home page - VPA

A Web Page

← → ↺ 🔍 http://ec.europa.eu/tracesnt/FLEGT

You are in TRACES NT

Profile : VPA  
Country : INDONESIA

Welcome to FLEGT

Lorem ipsum dolor sit amet, eu alii fierent definiebas nec. No possit dolorum petentium mei, esse purto ad nam. In nam occurreret principes, nostrum convenire...

Search a licence

🔍 by licence number...

🔍 Search

➤ Advanced search

Licence number	Country	Approval status	Clearance status	Last modified
ID123456	ID	APPROVED	DETAINED	22.01.2015
ID987546	ID	REQUESTED	NONE	08.05.2015

Create licence

# FLEGT IT – Mockups

## FLEGT Home page - CUST

A Web Page

← → ↺

⌕ http://ec.europa.eu/tracesnt/FLEGT

☰

You are in TRACES NT

Profile : CUSTOM  
Country : BELGIUM

**Welcome to FLEGT**

Lorem ipsum dolor sit amet, eu alii fierent definiebas nec. No possit dolorum petentium mei, esse purto ad nam. In nam occurreret principes, nostrum convenire...

Search a licence

⌕ by licence number...

⌕ Search

➤ Advanced search

Licence number	▲ Country	◆ Clearance date	◆ Clearance status
ID123456	ID	22.01.2015	DETAINED
ID987546	ID	-	NONE
GN576123	GN	09.05.2015	CLEARED

# FLEGT IT – Mockups

## Create licence – VPA page (step 1)

A Web Page

← → ↻

**You are in TRACES NT** Profile : VPA  
Country : INDONESIA

### Create licence

Lorem ipsum dolor sit amet, pro at nisl tota, ex nullam dignissim scriptorem nam, vis graece suavitae deseruisse in.

1. Issuing authority  
Name:

2. For the purposes of the issuing country

...

Consignment  
Lorem ipsum dolor sit amet, pro at nisl tota, ex nullam dignissim scriptorem nam, vis graece suavitae deseruisse in.

9. Commercial description of the

12. Country of harvest:

...

16. Number of units:

### Select HS Heading

- ☐ 4403 Wood in the rough, whether or not stripped of bark or sapwood, or roughly squared
- ☒ 4406 Railway or tramway sleepers (cross-ties) of wood
- ☐ 4407 Wood sawn or chipped lengthwise, sliced or peeled, whether or not planed, sanded or end-jointed, of a thickness exceeding 6mm
- ☐ 4408 Sheets for veneering (including those obtained by slicing laminated wood), for plywood or for other similar laminated wood and other wood, sawn lengthwise, sliced or peeled, whether or not planed, sanded, spliced or end-jointed, of a thickness not exceeding 6mm
- ☐ 4412 Plywood, veneered panels and similar laminated wood

# FLEGT IT – Mockups

## Create licence – VPA page (step 2)

A Web Page

← → ↺

http://ec.europa.eu/tracesnt/FLEGT

☰

You are in TRACES NT

Profile : VPA  
Country : INDONESIA

### Create licence

Lorem ipsum dolor sit amet, pro at nisl tota, ex nullam dignissim scriptorem nam, vis graece suavitate deseruisse in.

1. Issuing authority

Name:

Address:

2. For the purposes of the issuing country

...

Consignment

Lorem ipsum dolor sit amet, pro at nisl tota, ex nullam dignissim scriptorem nam, vis graece suavitate deseruisse in.

Add new item

4406

Railway or tramway sleepers (cross-ties) of wood

9. Commercial description of the timber product:

11. Common or scientific names:

12. Country of harvest:

Please choose... ▾

13. ISO codes:

14. Volume (m3):

15. Net weight (kg):

16. Number of units:

...

Save

Submit

Cancel



# FLEGT IT – Mockups

## Update licence – MSCA page

A Web Page

[←](#) [→](#) [↻](#)

You are in TRACES NT

Profile : MSCA  
Country : BELGIUM

**Licence #ID021453**

Creation date: 25.01.2015 | Validation date: - | Clearance date: -

Licence information | Approval | Clearance

History

VPA version

Issuing authority

Name: Address:

Purposes of the issuing country

...

Consignment

...

MSCA version

Issuing authority

Name: Address:

Purposes of the issuing country

...

Consignment

...

Save

Continue Approval

Waiting for more information

Reject

# FLEGT IT – Mockups

## Clear licence – CUST page

A Web Page

← → ↻ 🔍 http://ec.europa.eu/tracesnt/FLEGT

You are in TRACES NT

Profile : CUSTOM  
Country : BELGIUM

**Licence #ID021453**

Creation date	Validation date	Clearance date
25.01.2015	15.03.2015	-

Lorem ipsum dolor sit amet, eu alii fierent definiebas nec. No possit dolorum petentium mei...

Licence information

Approval

Clearance

Licence ID:

CUST Office:

Commercial description of the timber product:

Common or scientific names:

Approved volume (m3):

Approved net weight (kg):

Approved number of units:

Volume (m3):

Net weight (kg):

Number of units:

OR

Deviation (%):

Clearance date:

Clearance decision:

Reason for rejection:

Clearance comment:

Save

Cancel

## **FLEGT IT – Other Features**

- User Management
- Notification system
- Web Services
- Alert system
- History review
- Customization ("My flegt")
- Security aspects (logging & monitoring)
- Report & statistics

# FLEGT IT – Other Features

## User management

- User & Organisation management
- 5 **Organisation** types: VPA, MSCA, CUST, EC (+IMP, *for release > 1*)
- 5 Equivalent user types
- Users can have 2 **accounts**
  - ✓ Interactive account (ECAS)
  - ✓ Token account (to connect to the EC system via WS)
  - ✓ Be logged with a interactive account or a token account is equivalent
- Interactive accounts can have 2 **roles**
  - ✓ Normal (for business tasks)
  - ✓ Admin (for managerial tasks)
  - ✓ Admin rights contains normal rights

# **FLEGT IT – Other Features**

## **User management - VPA**

### **VPA users & organisations**

When the country is operational:

- The VPA country is created by EC
- One VPA Licensing Authority organisation is created by EC

Then:

- A VPA admin user can register and be approved by EC (initial user)
- A VPA admin user can register other VPA admin users
- A VPA admin user can register VPA normal users
- All VPA admin users can revoke any VPA users of the same Licensing Authority (interactive or token accounts, admin or normal role)

# **FLEGT IT – Other Features**

## **User management - MSCA**

### **MSCA users & organisations**

All 28 MSCA organisations are initially created in the system, one per MS (i.e 28 users, no CA at regional level)

Then, for each MS:

- A MSCA admin user can register and be approved by EC (initial admin user)
- A MSCA admin user can register other MSCA admin users
- A MSCA admin user can register MSCA normal users
- All MSCA admin users can revoke any MSCA users of the same MS (interactive or token accounts, admin or normal role)

# FLEGT IT – Other Features

## User management - CUST

### **CUST users & organisations**

All EU Customs Offices are initially created in the system (TAXUD)

Then, for each Customs Office in a MS:

- A CUST admin user can register and be approved by its MSCA Admin user
- A CUST admin user can register other CUST admin users
- A CUST admin user can register CUST normal users
- All CUST admin users can revoke any CUST users of the same Customs Office (interactive or token accounts, admin or normal role)
- All MSCA admin users can revoke any CUST users of the same MS

# FLEGT IT – Other Features

## User management - IMP

### IMP users & organisations

- In *release 1*, importers, as users, will not have an access. Although importers' organisations shall be registered (see validation data).
- Traces NT supports many ways for identifying economic operators. MSCA selects the way they want.  
(See later slide)



# FLEGT IT – Other Features

## Notification system

- Users are linked to a unique email
- That email will be used to send notifications, from the system to the user
- **Notifications** are not necessarily **alerts**
- A list of possible notifications will be published later

### For example:

- For MSCA:
  - The Licensing Authorities of Indonesia has created the licence XYZ to the destination of your country. You are invited to proceed to its validation.
- For CUST:
  - The Licence XYZ has been approved by your CA and shall reach your office on <date/time>
- For VPA:
  - The licence XYZ has been rejected by the Competent Authorities of Country C, for the reason ABC

# **FLEGT IT – Other Features Web Services**

- WS will expose equivalent functionality to the one available interactively.
- Example of operations :
  - Consult Licence
  - Submit VPA Licence Information Set
  - Submit MSCA Licence Information & Validation Sets
  - Submit CUST Clearance Information Set
- Authenticated (username/password or token account)
- Secured (encrypted communication)

# FLEGT IT – Other Features

## ALERT System

- Alert triggering is based on states and events chronology
- List of alerts and their triggering conditions shall be published later (evolutive list)

For example:

- For MSCA:
  - LA of Indonesia has created the licence XYZ to the destination of your country but the licence has expired before you approved it
  - LA of Indonesia has updated the licence XYZ after you have approved it, please review your decision.
- For CUST:
  - Your CA has changed the approval decision of the licence XYZ (from accepted to rejected)
  - The clearance of the licence has already been performed by another CUST of your country

# FLEGT IT – Other Features

## History Review

- Visualize events chronologically and compare versions

### History View

Licence ID-123-abc			
Date/Time	VPA	MSCA	CUST
10-Jan-2016 11:25GMT	Create, <a href="#">V1</a> <input checked="" type="checkbox"/>		
10-Jan-2016 15:15GMT	Update, <a href="#">V2</a> <input type="checkbox"/>		
12-Jan-2016 09:15GMT		Update, <a href="#">V1</a> <input type="checkbox"/>	
12-Jan-2016 09:55GMT		Validate, <a href="#">V2</a> <input checked="" type="checkbox"/>	
17-Jan-2016 12:55GMT			Clear, <a href="#">V1</a>

COMPARE

# FLEGT IT – Other Features Customization

- Display or Collapse some boxes on Home page  
For example:  
Always display by default the Alert box in my Home Page
- Enable or Disable some notification  
For example:  
CUST may want to disable notifications for their office when a licence is approved (but enable notifications only when it is rejected)

# FLEGT IT – Other Features

## Security

### ➤ **Logging & Monitoring**

- ✓ Application logs (technical events)
- ✓ Audit logs (business events)  
For example:
  - User ABC has successfully logged on <date/time>
  - MSCA User has updated the licence XYZ on <date/time>
- ✓ Monitoring: combination of logs to be monitored (list to be defined later).

### ➤ **Access Security Scheme**

- ✓ Access rights will differ for the different information fields, based on the user profile (type and role).  
For example:
  - One normal user of the same MSCA has RW access on all data managed by another normal user of the same MSCA
  - A VPA user cannot change the Issuing Authority field (box 1) which is always the LA of the VPA country.

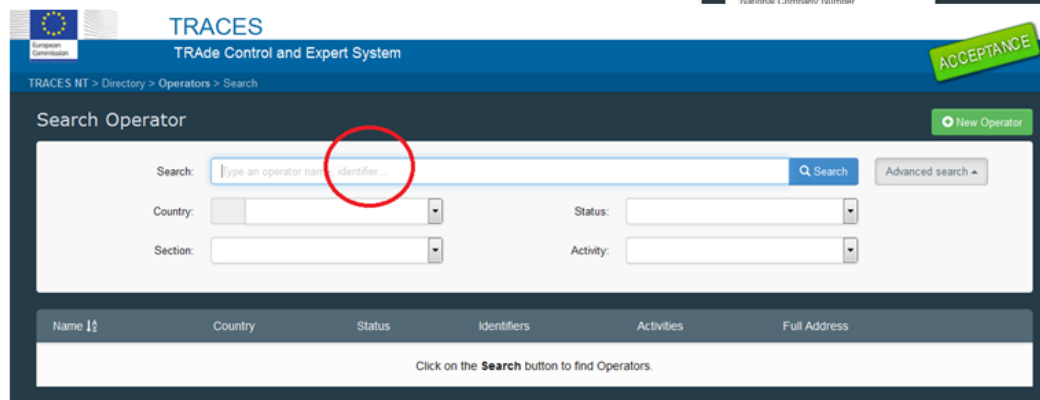
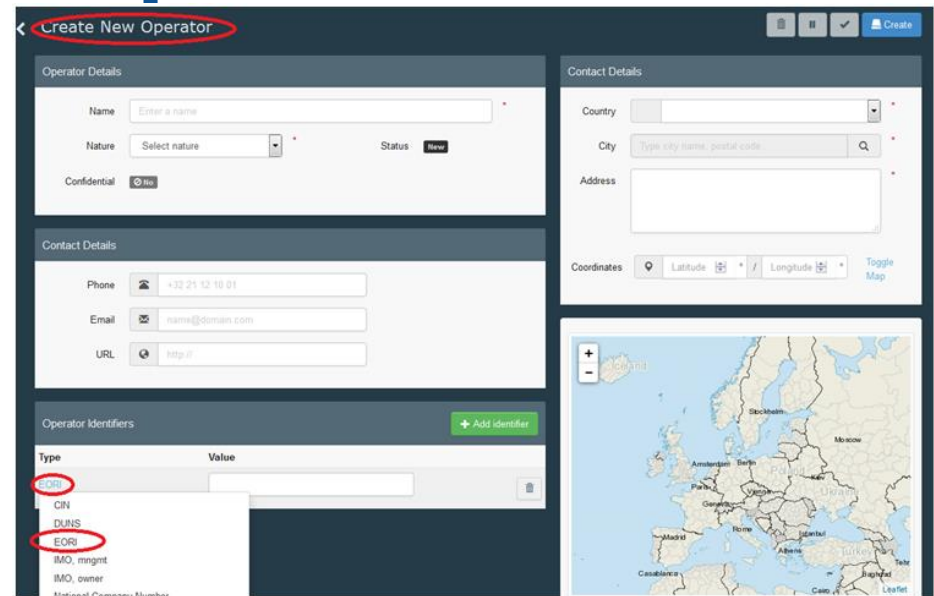
# FLEGT IT – Other Features

## Reports & Statistics

- *Release > 1*
- General Reporting & Statistics
- Annual Reporting of article 8
  - ✓ Automatic compliance via the EU FLEGT system
  - ✓ Feature ready before first deadline (30 April 2017)
  - ✓ **Conditions for compliance:**
    - All licences must be provided to the EU FLEGT system
    - Article 8 (a)
      - (a) quantities of timber products imported into the Member State under the FLEGT licensing scheme, **as per HS Heading** specified in Annexes II and III and per each partner country;*
      - Issue if several HS headings are provided per licence (since volumes are for the overall licence)
    - Article 8 (c)
      - (c) the number of cases and quantities of timber products involved where Article 6(1) has been applied.*
      - MSCA or CUST must introduce the info in the system

# FLEGT IT – Operators

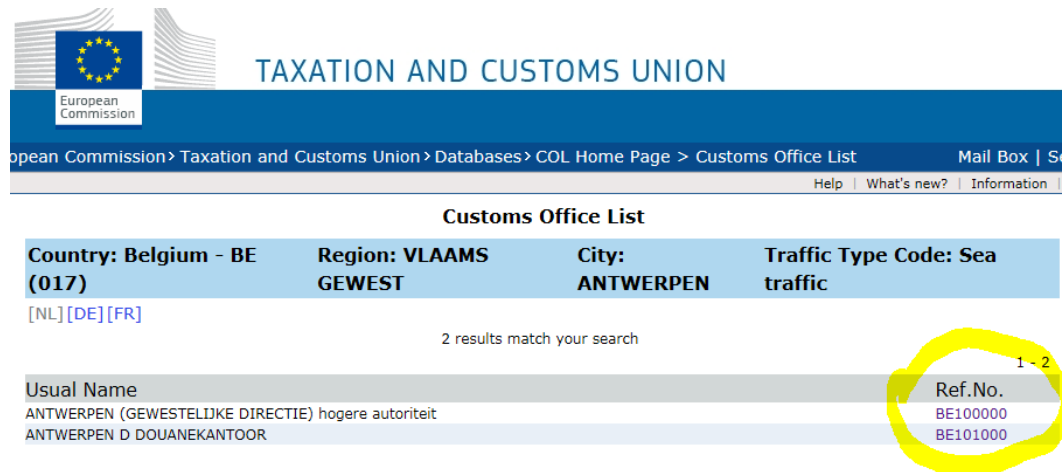
**Importers** identification:  
many methods supported in TNT  
(for ex: EORI, DUNS, TIN, VAT, etc.)





# FLEGT IT – To do list

1. Define the list of validation **rejection reasons**
2. Define the list of goods **disposal reasons**
3. Agree to use **Customs offices** identification?
  - COL (Customs Office List)



The screenshot shows the 'Customs Office List' page. It includes a header with the European Commission logo and the text 'TAXATION AND CUSTOMS UNION'. Below the header, there is a navigation bar with links like 'European Commission > Taxation and Customs Union > Databases > COL Home Page > Customs Office List'. The main content area is titled 'Customs Office List' and displays search results for Belgium (BE) in the VLAAMS GEWEST region, specifically for the city of ANTWERPEN. The search results show two matches, with the first result highlighted. The highlighted result shows the 'Usual Name' as 'ANTWERPEN (GEWESTELIJKE DIRECTIE) hogere autoriteit' and the 'Ref.No.' as 'BE100000' and 'BE101000'. A yellow circle highlights the 'Ref.No.' field.

Country: Belgium - BE (017)	Region: VLAAMS GEWEST	City: ANTWERPEN	Traffic Type Code: Sea traffic
[NL][DE][FR]			
2 results match your search			
Usual Name			Ref.No.
ANTWERPEN (GEWESTELIJKE DIRECTIE) hogere autoriteit			BE100000
ANTWERPEN D DOUANEKANTOOR			BE101000

4. Which **Species** database?
  - US LAWGS database
  - EPPO database (<https://gd.eppo.int/>)

# FLEGT IT – AOB

➤ Name of the EU system

1. FLEGIT (FLEGT Information Technology)
2. FLEXIBLE (FLEGT eXtended Information BaseLine for Europe)
3. EFES (European Flegt Electronic System)
4. REFLEGX (REgister of FLEGT eXports)
5. FLEGTSHIP ("Flagship")
6. REFLEGTOR (REgistry of FLEGT Operations Recording)
7. FLEGSTONE
8. ...

➤ AOB ?