Feasibility Study on a Single Window for Export and Import Clearance at Vnukovo Airport

Final report

Amsterdam/Moscow 2010
Executive summary

The Russian Ministries of Economic Development and Foreign Affairs, the Federal Customs Service, the Chambers of Commerce and Industry of the Russian Federation and the City of Moscow and the main stakeholders of Vnukovo Airport, together with the United Nations Economic Commission for Europe (UNECE) recognize the potential for further development of trade facilitation in Russia. They decided to initiate this feasibility study for a pilot project for a Single Window for foreign trade information at a concrete location in the Russian Federation.

The objective of the study was to determine the feasibility of a Single Window (SW) for export and import clearance for air cargo in Vnukovo Airport, with possible extension to all Moscow airports, to other locations and transport modes.

The main conclusion is that the introduction of a SW will unlock a large variety of improvements of the current import and export clearance processes for air cargo at Vnukovo Airport for both government agencies and the business community. The study identified the persistent existence of extensive manual gathering and processing of information, as well as long dwell times. This could be prevented by the use of a Single Electronic Window (SEW) in the clearance processes, as has been illustrated by a comparison of Vnukovo Airport and Amsterdam Schiphol Airport. Vnukovo has many paper-based information exchanges and an import dwell time ranging between 24 and 72 hours. Amsterdam primarily uses electronic information exchange and has an average dwell time of 2 to 8 hours.

It is recommended, however, that the Government of the Russian Federation should focus on the establishment of a SW at national level. The scale of operations at Vnukovo is too small to invest at Vnukovo only. At a national level the economies of scale are much larger, while it will not be economically feasible for a private company to invest in a SW.

Many of the benefits of the SW go beyond the direct revenues of exchange of information services. An SW is an accelerator of international trade; it limits the manual input of information for both government and the business community; it enhances the inspection processes, etc. It is considered a public good into which government will have to invest to create a good trade environment.

The required investment depends on the scope of the SW, the cargo volumes and the number of stakeholders connected to the system. As this has not been decided for Vnukovo, reference is made to international practices indicating an initial investment of 2-4 million EUR.

Various revenue models exist, e.g. based on a fee per message or per shipment. The study concluded that a positive business case based on the direct revenue sources only is not sufficient. The potential savings (such as the prevention of manual input of information)
should also be taken into account. The recommended model of the SEW is to create a Single Automated System\(^1\) for the collection and dissemination of information. The system can be: (a) integrated (data is processed through the system); interfaced (decentralised, in which data is sent to the agency for processing via an interface); and (c) a combination of the two.

For agencies with their own systems, the Single Window will initially be used as an interfaced system. Gradually this could transform to a more integrated system. For agencies just starting with automation, an integrated system can be opted for directly.

![Diagram](image)

**Figure 0-1: Positioning of the Single Window**

The recommended development of the SEW may start with the creation of a message hub and the exchange of the GTD (Customs Declaration), the Air waybill (AWB) and the Flight Manifest, as these are the most commonly used documents in the air cargo chain. Vnukovo can serve as a pilot airport for creating a broader SEW. Additional documents and government agencies could join in the SEW system step-by-step. Other document can be added. The creation of a facility for storage and archiving, linking the various documents, will create new potential for additional services and developments. The range of airports can be enlarged to include Domodedovo, Sheremetyevo and/or Pulkovo.

The draft work plan for Vnukovo envisages a programme organization (interagency working group) with various work streams to address the topics of the Single Window. A supervisory board of government agencies and an advisory board of both government and industry stakeholders (both decision makers and technical specialists) should ensure smooth SW development.

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\(^1\) Recommendation No. 33 specifies three basic models for the Single Window. The Single Automated System is one of them.
A first activity in the work plan would be to share the findings of this Feasibility Study with the stakeholders and to consult them on the proposal to found an Inter-agency Programme Organization at both Vnukovo and national levels. A next step would be to define a more detailed Master Plan at both Vnukovo and national levels, to which all stakeholders can commit themselves. A third step would be to establish an Inter-Agency Programme Organization with its individual work streams for the development of the SEW, starting with Vnukovo.

This study, aimed at determining the feasibility of a Single Window for import and export clearance at Vnukovo Airport, concluded that the volumes are too small to develop a SEW for Vnukovo only. It is recommended either to link a SEW project to plans for increasing the cargo volumes through Vnukovo Airport or consider developing a SEW on a national scale (highly recommended option by the team that developed this study).

The study provides a first outline and proposal for the national SEW for air cargo. It should be used as the basis for an actual Master Plan and as a discussion paper among the various stakeholders to take this initiative to the next level.
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1 Introduction to the project

1.1 Context of the project
The Russian Ministries of Economic Development and Foreign Affairs, the Federal Customs Service, the Chambers of Commerce and Industry of the Russian Federation and the City of Moscow and the main stakeholders of Vnukovo Airport, together with the United Nations Economic Commission for Europe (UNECE) recognize the potential for further development of trade facilitation in Russia. They decided to initiate this feasibility study for a pilot project for a Single Window for foreign trade information at a concrete location in the Russian Federation.

The objective of this study is to determine the feasibility of a Single Window (SW) for export, import and transit clearance for air cargo in Vnukovo Airport, with possible extension to all Moscow airports, to other locations and sectors of transportation. The feasibility study may then be used as a pilot case for a SW on the scale of the whole Russian Federation. A Single Window would allow various stakeholders to lodge standardized information with a single entry point to fulfil all trade-related regulatory requirements. The scope of the study is focused on international air transport at Vnukovo Airport. This scope allows for a compact team of stakeholders to concentrate on a common air cargo clearance process.

1.2 Objective and approach
The objective of the project is to determine the feasibility of creating a Single Window (SW) (a community service) for air cargo. This will be determined by analysing the current business process and governmental requirements of the various agencies involved. These processes and requirements will be put in the perspective of the Single Window recommendations and standards for data harmonization and exchange of the United Nations and other international organizations and business associations, as well as international business cases of a SW. A high-level gap analysis will identify the key efforts to be made by all stakeholders to build a SW system. Finally, a stepwise approach to develop a SW will be proposed.

1.3 UN/CEFACT
The United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT), a subsidiary body of UNECE, supports the development of standards, best practice recommendations and activities dedicated to improve the ability of business, trade and administrative organizations, from developed, developing and transitional economies, to exchange products and relevant services effectively. The principal focus of the Centre is on facilitating trade transactions, through the simplification and harmonization of processes, procedures and information flows, thus contributing to the growth of global commerce. This is achieved by:

- Analysing and understanding the key elements of international processes, procedures and transactions and working for the elimination of constraints;
- Developing methods to facilitate processes, procedures and transactions, including the relevant use of information technologies;

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2 www.unesc.org/cefact
Promoting both the use of these methods and associated best practices, through channels such as government, industry and service associations;
- Coordinating its work with other international organizations;
- Securing coherence in the development of standards and recommendations

UNECE and the Russian Federation have initiated the project for a Feasibility Study for a Single Window at Vnukovo Airport in order to foster the use of international standards and best practices, and raise the efficiency of international trade in the Russian Federation and the CIS in general.

1.4 Structure of the report
The structure of the report is as follows:

Part 1 provides a general introduction to the Single Window concept and describes international examples of successful implementation of Single Window systems. These examples offer further clarification and show various options to develop a SW. In addition, a specific industry-wide initiative of International Air Transport Association called e-freight is described. E-freight aims at eliminating all paper documents within the air cargo process and fits seamlessly in the SW philosophy.

Part 2 is the inception report of Vnukovo Airport. This report describes the various project stakeholders, the legal framework and the current business processes. The inception report is the basis for the elaboration of the model architecture for a Single Window for air cargo at Vnukovo Airport. It could be regarded as the result of the fact-finding activities of the project team.

Part 3 will analyse the findings of part 2 and determine the feasibility of the SW and define/propose the set-up of the SW. This includes relevant aspects of a business model, governance, services, etc. It will conclude with a draft work plan to further develop the SW.

The study develops a phased approach to building a SW. In the initial stages, the SW may allow for the double use of paper and electronic means of information, in order to allow for adaptation. At a later stage (as the system increases in volume of serviced traffic and in number of offered services), the SW may evolve into a purely Single Electronic Window (SEW). A key element in the study is the idea of basing the SW system on international codes, standards (and data modelling tools) for international trade data interchange, notably the standards of UNECE (UN/CEFACT) and the World Customs Organization (WCO). Such alignment with international standards would allow for linking the Vnukovo and other Russian projects to the European and global standardized exchange of trade information.
PART 1. GENERAL INTRODUCTION: THE SINGLE WINDOW
2 Single Window

This chapter presents a summary of three UNECE recommendations:

- Recommendation No. 33: Recommendation and Guidelines on establishing a Single Window.
- Draft recommendation No. 34: Data Simplification and Standardization for International Trade
- Draft recommendation 35: Recommendation on Establishing a Legal Framework for the International Single Window

This summary allows the reader of this study to understand better the philosophy of the Single Window (SW) for export and import clearance. It describes the key success factors for developing a Single Window, which will be used when determining the feasibility of a Single Window at Vnukovo Airport and creating a draft work plan.

2.1 Definition

A Single Window (SW) for export and import clearance is a system that allows all participants in trade and transport to file requested information simultaneously, in only one place, and in a standard format, in order to carry out import, export and transit operations. The Single Window is a generic concept, which includes various forms and scopes of systems: national or local (in a port, airport, etc.), or a specific sector of transportation; integrated or interfaced; purely electronic (Single Electronic Window or SEW) or allowing a combination between paper and electronic submission of information. It is primarily a political and organizational tool for better governance, which requires standardization of trade information flows and harmonization of legislation. Consequently, many activities related to the establishment of the Single Window should be carried out on a national level.

The Single Electronic Window (SEW) is a specific case of the Single Window, where the submission and exchange of information are done only in electronic format.

A community service in this context denotes a Single Window in a specific location (e.g. in Schiphol Airport, the ports of Hamburg, Rotterdam or Felixtowe etc.) or a service provider, involving a community of stakeholders, such as the Dagang Net Group of Companies in Malaysia. A community service would provide solutions for its clients by means of electronic information exchanges between transporters (airline companies, shipping lines, and truck and railway companies), forwarding agents, ground handlers, trading companies, as well as Customs and other government trade-control agencies. A community service supports its clients’ logistics processes, in the specific portion of the supply chain, with its products and services, including software and consultancy.

In this study, we refer to the Cargonaut system in Schiphol as a Single Window, even if, strictly speaking, it should be defined as a community service. The Community Service most often involves a community of possible users in creating and then managing of the system. It is more user oriented, in a smaller, defined location, and with a smaller, definite circle of participants. It is less concerned with standardization issues than a system on the national level, which has the capacity and the need to solve the issue of harmonizing, standardizing, and aligning to international norms and standards of the information flows.

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3 See www.dagangnet.com
4 See www.cargonaut.nl
2.2 Benefits
The following main benefits can be identified for both government and trade:

**Government**
- More efficient government control over information on the movement of goods, airplanes and people.
- Enhanced security and control of cross-border movements.
- More effective and efficient deployment of resources.
- Significant improvement in the collection of taxes and duties which would lead to a more correct (and often increased) revenue yield.
- Improved trader compliance.
- Enhanced security.
- Increased integrity and transparency.

**Trade**
- Cutting costs through reducing delays.
- Faster clearance and release of shipments.
- Predictable application and explanation of rules.
- More effective and efficient deployment of resources.
- Increased transparency.

Depending on the national (local) situation of a country (airport) the scale of the benefits will vary significantly. This feasibility study will determine the main benefits and estimate the effects.

2.3 Basic models
Various approaches to a Single Window are possible. The best one often depends on compatibility with the local situation. The following common models can be considered (see Rec.33):

**Single Authority**
A Single Authority that plays the role of a Single Window receives information, either on paper or electronically, disseminates this information to all relevant governmental agencies, and coordinates controls to prevent undue hindrance in the logistical chain.

**Single Automated System**
A Single Automated System for the collection and dissemination of information (either public or private; either on the territory of a whole country – like PortNet in Finland, or in one location – as Dakosy in Hamburg) that integrates the electronic collection, use and dissemination (and storage) of data related to trade that crosses the border. There are various possibilities:
1. Integrated System: Data are processed through the system
2. Interfaced System (decentralized): Data are sent to the agency for processing
3. A combination of 1 and 2.
Automated Information Transaction System
An Automated Information Transaction System offers a specific means of collecting incoming data. Through this system a trader can submit electronic trade declarations to the various authorities for processing and approval in a single application. Approvals are transmitted electronically from governmental authorities to the trader’s computer. When establishing such a system, consideration could be given to the use of a master dataset, which consists of specific identities, which are pre-identified and pre-validated in advance for all relevant transactions.

Part 2 of this study will provide further insight into the local situation; this information will be used to propose a model for the development of the Single Window.

2.4 Key success factors
The successful introduction and implementation of a Single Window concept depends to a large extent on certain preconditions and success factors that vary from country to country and from project to project. The following factors can be distinguished:

Political will
The existence of strong political will on the part of both government and business to implement a Single Window is one of the most critical factors for its successful implementation. Strong political will is needed in order to overcome the resistance caused by vested institutional and personal interests in the various agencies involved in the project. In case of not well developed electronic document exchange, the existence of political will is a key factor that would push for innovative solutions. There is no national trade and transport facilitation body in the Russian Federation (of the type of a PRO committee, e.g. RusPRO), which would foster the harmonization of procedures and alignment with international standards for trade information exchange. Consequently, it is important to build the political will among various agencies to create a cooperative interagency mechanism supporting the creation of the Single Window both in terms of policy decision-making and technical expert work on the creation of the system.

Strong lead agency
Related to the need for political will is the requirement of a strong, resourceful and empowered lead organization both to launch the project and see it through its various development stages. The lead agency must be given additional powers and continuous support from the Government, in order to carry out its coordinating interagency role. Yet, it should be understood that the lead agency and the implementation agency may be different.

Partnership between government and trade
A Single Window is a practical model for cooperation between agencies within government and also between government and trade. It presents a good opportunity for a public-private partnership in the establishment and operation of the system. In 1994-1995, an Interagency Coordinating Committee (MBKC) on EDIFACT existed in Russia, as a platform for public-private cooperation. This practice should be revived in the framework of developing an enabling environment for the Single Window.

Establishment of clear project boundaries and objectives
As with any project, establishing clearly defined objectives for the Single Window from the outset will help guide the project through its various development stages.
User friendliness and accessibility
Accessibility and user friendliness are also key factors for the success of a Single Window project. Comprehensive operating instructions and guidelines should be created for users. The design of the system be attuned to the real ICT capacities and business processes of the country or region in which it will operate.

Legally-enabling environment
Establishing the necessary legal environment is a pre-requisite for Single Window implementation. Related laws and legal restrictions must be identified and carefully analysed.

International standards and recommendations
The implementation of a Single Window generally entails the harmonization and alignment of the relevant trade documents and data sets. In order to ensure compatibility with other international systems and applications, these documents and data models must be based on international standards and recommendations.

Identification of possible obstacles
All players in government and/or trade may not welcome the implementation of a Single Window. In such cases, the specific concerns of opponents should be identified and addressed as early as possible in the project. Clearly, costs and legal issues can be major obstacles but this must be balanced against future benefits.

Financial model
A decision on the financial model for the Single Window should be reached as early as possible in the project. This could range from a system totally financed by government (e.g. at Schiphol Airport in the Netherlands) to an entirely self-sustainable model (e.g. in Mauritius). Also, possibilities for public-private partnerships should be explored, if this is deemed a preferred approach. Clarity on this point can significantly influence decision makers to support the implementation of the system.

Payment possibility
Some Single Windows (e.g. Thailand) include a system for the payment of government fees, taxes, duties and other charges. This can be a very attractive feature for both government and trade, and is especially important when the system is required to generate revenue and improve significantly the collection of taxes and duties. However, it should be noted that adding payment features often requires a considerable amount of additional work with harmonization and especially with the security of transactions, data collection and storage.

Promotion and marketing
Promotion and marketing of a Single Window is important and should be carefully planned. The promotion campaign should involve representatives of all the key government and trade stakeholders in the system, as these parties can provide valuable information on the expectations of the user community and help to direct the promotion and marketing messages.

Communications strategy
Establishing a proper mechanism for keeping all stakeholders informed on project goals, objectives, targets, progress (and difficulties) creates trust and avoids the type of misunderstanding that can lead to the undoing of an otherwise good project.
2.5 Data simplification and standardization
The previous sections offered information on the organizational work to establish a Single Window via interagency cooperation, which is the largest part of the work. The technical work relates mostly to data harmonization and the establishment of the Single Window system and integration. A different interagency committee of technical experts may be established to carry out data harmonization. This section offers a summary of Recommendations 34 on data harmonization.

2.5.1 Background
Companies are required to submit vast amounts of data and documents to comply with national and international trade regulations. The definitions of the data elements required for these processes are often made with little or no coordination among the various government agencies. As a result, companies must comply with a variety of data requirements, documents and special forms, requiring the repetitive submission of similar or identical information.

This use of non-standard, country-specific, and agency-specific data is highly inefficient in terms of cost and accuracy for both government and trade. The solution to this problem is the simplification and standardization of data elements required for international trade. Countries and sectorial organizations have aligned their trade and transport forms to the United Nations Layout Key, UNLK (ISO 3535) and the corresponding codes, such as the United Nations Trade Data Elements Directory, UNTDED (ISO7372) or the United Nations Location Code (UNLOCODE). Government and business structures widely use the only global standard for electronic data interchange UN/EDIFACT (ISO 9735) – the United Nations/Electronic Data Interchange for Administration, Commerce and Transport, which is in the basis of information exchange of such Single Window systems as TradeXchange in Singapore or PortNet in Finland. For more information on this issue, please see section 12.4.1. below.

2.5.2 Approach
Data simplification is an iterative process of capturing, defining, analysing, and reconciling government information requirements to produce a standard set of data and messages to meet all legal, regulatory and official obligations for the submission of data related to import, export and transit procedures. This simplified data should be mapped to international standards. The process steps are explained shortly:

Capture
Capture all individual governmental agency information requirements through identifying and listing the data elements. This is accomplished in a number of ways such as a review of agency forms, automated systems requirements, regulations, and administrative processes. This information can be organized in a spreadsheet or other software tool.

Define
This step includes recording the data element name, definition, representation (format or code), when the information is required (release, declaration, inspection, pre or post control)

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5 United Nations Layout Key for Trade Documents: see Recommendation 1 at http://www.unece.org/cefact/recommendations/rec_index.htm
and the citation (legal base) of the relevant agency to demand, collect, view and retain (archive) the information.

*Analyse*

Establishing the need and use of the information requirement is essential. The process of analysing the information consists of gathering similar data element names and having a full understanding of the definition and the information required.

*Reconcile*

The final step is the consolidation of the defined and analysed trade data inventory into a rationalised data set through the process of reconciliation. This involves the agreement to use one data element name with a common definition and (or) common coding, and a standard message reconciled with the international standards of the United Nations Trade Data Elements Directory, the United Nations Trade Data Interchange Directory and similar instruments such as the UN/CEFACT Core Component Technical Specifications (CCTS).

The result of this exercise is expected to be a harmonized dataset (most logically on a national level), which would be used by all agencies involved in the system. On the basis of this standard data set, a data model may be created by a modelling expert. A specific pilot project may be developed with the government agencies to carry out this data harmonization exercise.

## 2.6 Legal framework

Creating legally enabling conditions for a Single Window constitutes another important challenge for establishing a Single Window. In draft Recommendations 35, the following approach is proposed:

1. Determine an appropriate set of measures that may need to be taken to address legal issues related to national and cross-border exchange of trade data required for Single Window operations.
2. Use the UN/CEFACT Recommendation 35 checklist and guidelines (see below) to ensure that the most frequent legal issues related to national and cross-border exchange of trade data are included in the framework
3. Amend existing legislation, regulations, decrees, etc., if necessary, to address the identified legal issues and gaps, prepare an interchange agreement among the main stakeholders exchanging information in the system.
4. Utilize international standards, international legal instruments, and soft law instruments, where available, throughout the entire process of creating a legally enabling environment for an international trade Single Window.

The checklist of legal issues mentioned in step 2 is listed below:

- Has the legal basis for the implementation of the single window facility been examined/established?
- Has an appropriate organizational structure for the establishment and operation of a Single Window facility been chosen?
- Are proper identification, authentication and authorization procedures in place?
- Who has the authority to demand data from the Single Window?
- When and how may data be shared and under what circumstances and with what organizations within the Government or with government agencies in other countries?
Have proper data protection mechanisms been implemented?
Are measures in place to ensure the accuracy and integrity of data? Who are the responsible actors?
Are liability issues that may arise as a result of the Single Window operation addressed?
Are there mechanisms in place for dispute resolution?
Are procedures in place for electronic archiving and the creation of audit trails?
Have issues of intellectual property and database ownership been addressed?
Are there any situations where competition issues may arise?

2.7 Conclusion
The UNECE Recommendation 33 and draft Recommendations 34 and 35 offer a generic introduction and will be taken into account while determining the feasibility of a Single Window at Vnukovo Airport. Specific elements are the approach to a Single Window and its key success factors, the data harmonization process and the legal framework.
3 International Single Windows and related developments

This chapter will describe a few Single Window examples at other international (air)ports as well as the relevant e-freight initiative, launched by IATA. The reason for describing these cases is the request of the project stakeholders of Vnukovo Airport to understand better the functioning of a Single Window. Points of interest are the services offered by a SW, its governance structure and business model.

The e-freight initiative is described as it fully supports the SW philosophy to lodge all required information only once, in a standardized and electronic format. It is a global industry-wide initiative facilitated by IATA, specifically designed for air cargo.

3.1 Amsterdam Airport Schiphol

3.1.1 Introduction

A Single Electronic Window (SEW) or community service has been established in Amsterdam’s Airport Schiphol. Schiphol is the main airport of the Netherlands. It handled approximately 1.6 million tonnes of cargo in 2008. Schiphol is the hub for two important cargo carriers: KLM and Martinair. Foreign cargo carriers are (for example) Singapore Airlines, Malaysian Airlines, Japan Airlines, Emirates, North West Airlines, Jade and Air Bridge Cargo. The strong presence of global forwarding companies and many European Distribution Centres (bonded warehouses) currently results in the fourth largest cargo airport of Europe.

A key-success factor in the development of Schiphol Airport was the development of the cargo community system, which embraced the Single Window philosophy. The cargo community system has been developed and operated by a private company called Cargonaut. The cargo community system is the Single Window connecting industry stakeholders to the various government agencies.

![Figure 3-1. Cargonaut as a Single Window for both Government and Industry](image-url)
3.1.2 Governance structure of Cargonaut

Cargonaut was founded by the airport authority in 1986. The airport authority recognized the importance of industry-wide ICT solutions for the air cargo supply chain. After approximately ten years the airport authority decided to sell a large part of its shares to the industry. At that time Cargonaut was well capable of continuing as an independent, profit-making company (and still is).

Besides financial considerations, the transaction of shares to key industry stakeholders of the local industry was vital in creating commitment and trust within the industry to develop new ICT solutions. Currently Cargonaut is owned by approximately twenty companies, including for example, KLM, DHL Global Forwarding, Menzies and the airport authority. It is also important to note that each role in the air cargo supply chain is represented: airlines, cargo handlers, forwarding companies and trucking companies.

The shareholders are (partially) represented in the board of commissioners. In general, the board of commissioners supervises the board of directors and the strategic directions they pursue. As a result the local air cargo industry of Amsterdam has a direct control on the activities of the community solution. In return the shareholders show commitment to new industry-wide developments initiated by Cargonaut.

Apart from the governance structure, the air cargo industry is united in a branch organization called Air Cargo Netherlands. Although ACN is no formal element in the governance of Cargonaut it serves as an excellent platform to initiate and discuss new industry-wide optimization initiatives.

3.1.3 Business model

Cargonaut offers ICT solutions to the air cargo industry and the related government agencies. The solutions are focused on information exchange within the industry (business-to-business solutions, B2B) and from the industry to the governmental agencies (business-to-government B2G).

The model of payment varies depending on the type of information and the beneficiary of the exchange of that information. Most frequently a fee per electronic message is charged, alternatively a fee per shipment reference number is charged (per shipment multiple messages can be exchanged). The level of the fee is based on the volume of messages and the type of service. As a result the fee could vary between a few cents up to a few Euros. For example, if Cargonaut offers its services to a Customs broker (often a forwarding company) for exchanging information with the government due to legal requirements, the main beneficiary is the Customs broker, who has to pay.

For information exchange within the industry the main beneficiary is often not the provider of the information but the recipient. In such cases the recipient is willing to pay for the services of Cargonaut.

The current customer portfolio consists of more than 600 customers in various segments. These customer segments are airlines, handlers, forwarders (customs brokers), general sales agents, truckers, airports and governments agencies. Jointly they exchange more than 70 million electronic messages via the systems of Cargonaut.
3.1.4 Service portfolio

The main services offered by Cargonaut are mentioned below:

**Message handling services**

The basic (and essential) core business of a Single Window is the message handling services such as routing, authentication, format and syntax check of messages, message conversion and storage of data in data warehouses.

With these message handling services various types of information can be exchanged within the industry and with the government control agencies. Typical types of information are air waybills, house waybills, flight manifests, freight status updates, flight status updates, various types of declarations (Customs, plant health and veterinary) and several local types of messages.

The message handling service and the information exchange is an essential functionality. As (almost) all information passes through the community system of Cargonaut they are capable of “enriching” the information and developing additional services (based on that information).

One could wonder why a company does not create its own message services with its supply chain partners. Theoretically a forwarder at Amsterdam has to exchange information with at least 10 handlers, 30 airlines, 20 trucking companies and 4 government agencies. As a result the forwarder has to define at least 64 interfaces. Cargonaut offers one interface for the whole industry. The most common electronic messages per customer segment are shown in the next illustrations:

![Diagram of message handling services](image)

**Figure 3-2. Most common electronic messages to submit**
Figure 3-3. Most common electronic messages to receive

Pre-arrival and pre-departure solutions
All communications regarding import, export and transit declaration between industry and Customs is facilitated by Cargonaut. As all logistics information is also routed via Cargonaut, the system can link all the information and provide Customs with a flight-based set of information, this means that not only a manifest is provided, but the whole drill-down of information is also provided: air waybills and house waybills. For outbound flights the Customs declarations have been incorporated as well. As a result, Customs has access to a comprehensive set of information to perform risk analyses and inspections. Customs registers and analyses this information in its own systems.

Virtual Customs free zone
Together with ACN (the branch organization), Cargonaut has developed a virtual Customs free zone called DGVS, which is unique in the world. Within the virtual free zone, shipments under Customs control can be exchanged freely between different companies without submitting a transit declaration. E.g. a ground handling company can release an import shipment directly to a forwarding company without requesting a Customs declaration.

This has been made possible as participants of the free zone submit status updates on all of their shipments to Cargonaut. Cargonaut has developed an application for the industry and Customs. Customs is able to supervise all the exchange of shipments without requesting for additional transit declarations (available status information within the industry is re-used).

Other agency-related services
The other major inspection agencies that receive information in advance are the plant health- and the veterinary inspection bodies. They receive a phytosanitary declaration and a veterinary declaration. A declaration is required to notify the relevant agencies of import shipments arriving at the border (a declaration should not be mistaken for a certificate, which is often provided by the government agencies at the origin). These specific declarations have been harmonized based on the Customs declaration (similar fields/standards) with some additional
specific data fields. This allows for an efficient entry of data and submission of the declarations.

**e-freight**

Cargonaut is currently working on various pilot projects with private companies and the Customs authority to reap the benefits of e-freight. e-Freight is an important initiative of IATA (International Air Transport Association) aimed at the ultimate elimination of all paper documents related to air cargo. For further information on e-freight, see the relevant section below.

**Customs procedure**

During the last decades, the Customs authority at the Netherlands has evolved from an entirely inspection-based organization to a primarily supervising body. Basically, this requires that all relevant shipment information be provided by the air cargo companies to Customs electronically, before arrival or departure. All declaration procedures are facilitated by automatic processes and integrated with the provided shipment data.

The Customs organizations can thus create transparency in the air cargo supply chain. This allows for full supervision of the whole cargo supply chain, based on the provided information. Due to the full transparency (and traceability) of shipments, a focused and reduced regime of physical checks can be established and the document inspection can be performed later.

On the basis of risk analysis, only a portion of the shipments is checked, using selectivity criteria. The risk analysis focuses for instance on certain types of commodities, trading partners or suspicious cargo companies. Most cargo with a (proven) limited risk is allowed to proceed directly, unless stated differently by Customs.

The benefits are obvious. The Customs organization is capable of supervising the air cargo supply chain, while performing reduced checks on a risk-based approach. The air cargo industry can provide an efficient supply chain with limited hindrance caused by governmental/Customs inspections.

**Import**

Airlines submit their flight manifest to the Customs organization electronically before arrival (pre-arrival). This is the starting point for all subsequent Customs procedures. Most forwarders and all ground handling companies have bonded-warehouses. Shipments can be exchanged between bonded warehouses without Customs requirements due to the virtual Customs - Free zone at Amsterdam. Alternatively one could create a transit declaration for moving shipments under Customs control, which is a relatively time-consuming effort.

Ultimately an import declaration is created for the shipment. Declarations are submitted electronically and the response of Customs is communicated directly (e.g. within minutes, 24 hours, 7 days per week). The response may be: ‘accepted’ (more than 95% of the cases); or a demand to present accompanying documents to the Customs office; or physical inspection might be required.

**Export**

The exportation process is similar to that for importation. The flight manifest is now used as a closure of all procedures, making sure export declarations actually left the European Union.
3.2 Port Authority as initiator at Rotterdam Seaport
Rotterdam Seaport has established a Single Window with similar services as Cargonaut, called Portbase. Portbase covers only sea and inland water transport. The main point of interest for this study is the difference of the business model.

The Port Authority (Port of Rotterdam) has founded Portbase and currently finances most of the activities of this company. The services of Portbase are regarded as part of the overall harbour services and therefore an integral part of the other harbour charges. As a result, there is a service available for limited additional charges to any private company. These services are not obligatory, but can in some cases be regarded as a necessity for an efficient process.

If we translate this business model to an airport, this would mean that the airport authority finances the Single Window and increases the overall airport charges (most likely landing fees and/or a cargo volume based fee). Initially this could be an option for any Single Window to “get things going”. In the long run this business model is expected to evolve to a more market-driven model.

3.3 Public - Private Partnership in Singapore
Another example of a Single Window with a different governance structure/business model is TradeXchange at Singapore8. TradeXchange is a neutral and secure trade platform (Single Window) that facilitates the exchange of information within the trade and logistics community in that country.

TradeXchange is a multi-agency IT-initiative led by Singapore Customs, the Economic Development Board and InfoComm Development Authority of Singapore. It is the first IT project in Singapore to be implemented as a Public Private Partnership (PPP). A private company called CrimsonLogic Pte Ltd was appointed by the Government as an independent contractor to develop, operate and maintain, as well as drive, the adoption of this project. CrimsonLogic is working with other content and service providers to offer the TradeXchange® services. At all stages of the creation and functioning of the Single Window system, there was strong support from the Government, which reflects the specific structures of public-private relations in the Asian region.

The Single Window of TradeXchange provides inter-connectivity among commercial and regulatory systems for the Singapore trade and logistics community. It also offers a Single Electronic Window for integrated workflow, submissions and enquiries to the Sea Ports, Airports, Maritime Authorities, Customs and Controlling Agencies of the island-city-State of Singapore.

For more information: www.tradexchange.gov.sg

3.4 IATA e-freight programme
The International Air Transport Association (IATA) is the facilitator of an air cargo industry programme that aims to eliminate all paper documents within the air cargo process. The Single Electronic Window (SEW) concept shows explicit synergies with that programme. This section will provide an introduction to the e-freight programme. More (extensive) information can be obtained via www.iata.org.

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8 The previously developed Single Window called TradeNet is integrated in TradeXchange.
Vision of e-freight: Eliminate the need to produce and transport paper
IATA recognised the need and opportunity to improve the efficiency and cost-effectiveness of the air cargo supply chain. Today, the air cargo industry still almost exclusively relies on paper-based processes to support the movement of freight. The average shipment generates more than 30 documents that are used and/or handled by the various parties involved. These paper-based processes are not cost-effective, nor do they serve the key requirements of air cargo: security, speed and reliability.

At the end of 2004 IATA initiated the e-freight project aiming to take paper out of the air supply chain, and to create the conditions to replace the existing processes with new ones where the industry and government rely on the electronic exchange of information across the whole of the air cargo supply chain, to facilitate the movement of freight.

IATA e-freight is therefore paper free, i.e. a paper-free process whereby airfreight supply chain does not transport the paper, but there may be a requirement by exception to produce a copy of this paper from an electronic structured format message or a scanned document. The documents that may be required to be produced by exception are the documents in the project scope that support the cargo or goods release/clearance by customs authorities.

Scope of paper documents to be eliminated
The IATA e-freight project team considered the removal of documents across the supply chain that facilitate the movement of freight and are either supported or can be supported by an agreed international electronic messaging standard within the 2010 timescale. An agreed international electronic message is one that has been approved by industry bodies or international standard-setting bodies and is relevant to IATA e-freight. As a result the documents in scope are:

1. Invoice
2. Packing List
3. Certificate of Origin
4. Export Goods Declaration
5. Customs Release Export
6. House Manifest
7. Master Air Waybill
8. House Waybill
9. Export Cargo Declaration
10. Flight Manifest
11. Import Cargo Declaration
12. Import Goods Declaration
13. Customs Release Import
14. Shipper’s Declaration for Dangerous Goods
15. Shipper’s Letter of Instruction
16. Security Declaration
17. CITES certificate
18. Freight Booked List
19. Transfer Manifest
20. Transit Declaration
Status of the project and the roadmap to paper elimination

The project started with six pilot airports in 2007. IATA helped the participants to develop the legal, technical and business process environment to eliminate all paper, which is gradually implemented per participating company and trade lane. The roadmap to full paper elimination is to add continuously more countries and airports that adopt the e-freight philosophy. Each new airport opens up numerous new e-freight trade lanes (with previously added airports). Similarities can be found with the e-ticket initiative for passengers. It took many years to create a suitable “climate” to roll out the e-ticket concept. Nowadays, most tickets are issued as e-tickets. For the e-freight programme, there are challenges to address, but the implementation and its success is inevitable. Each Single Electronic Window initiative, especially related to air cargo, should take this programme into account and anticipate on the currently accepted standards and regulatory / legal environments.

Currently (April 2010) 120 airports in 25 countries participate in the programme, but none of them is located in Russia, CIS or Eastern Europe.
PART 2. INCEPTION REPORT: VNUKOVO AIRPORT
4 Vnukovo airport
The scope of this feasibility study is limited to the air cargo process at Vnukovo airport. This chapter reviews the business processes at Vnukovo airport, as well as its public and government stakeholders, relevant for the project.

4.1 Vnukovo Airport: part of the Moscow air transport hub
The Moscow’s air transport hub (MAH) is one of key elements of the Russian air-transport system that unites the airports of Vnukovo, Domodedovo and Sheremetyevo:

![Figure 4-1. International airports of Moscow](image)

The direct competition between the Moscow airports compels them to expand their assortment and quality of services, while remaining competitive. It can be considered as a favourable factor promoting interest of the airports to introduction of a Single Window project, and a Single Electronic Window (SEW) at a later stage. Development of MAH as a whole is characterized by substantial growth and currently has a volume of 43.4 million passengers and 356,000 tonnes of cargo. This project focuses on Vnukovo (but is possible to use the findings of this study in the other airports, or on a broader scale).

<table>
<thead>
<tr>
<th>Airport</th>
<th>Passengers (x million)</th>
<th>Mail/ cargo (x 1,000 tons)</th>
<th>International share (x 1,000 tons)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domodedovo</td>
<td>20.4</td>
<td>145.1</td>
<td>57.5</td>
</tr>
<tr>
<td>Sheremetyevo</td>
<td>15.1</td>
<td>182.5</td>
<td>141</td>
</tr>
<tr>
<td>Vnukovo</td>
<td>7.9</td>
<td>28.5</td>
<td>3.9</td>
</tr>
<tr>
<td>Total Moscow</td>
<td>43.4</td>
<td>356.1</td>
<td>75.5</td>
</tr>
</tbody>
</table>

Table 4-1. Statistics 2008 Moscow airports
4.2 Milestones in the development of Vnukovo airport
Since 2004 the Government of Moscow, the main shareholder of Vnukovo Airport, has carried out a large-scale reconstruction of Vnukovo Airport. Some of the achievements are a new international passenger terminal and an underground tunnel and railway station, connecting Vnukovo airport to the metro system of Moscow.

The main current developments are another new passenger terminal and a new cargo post mail terminal (CPMT), expansion of the parking system and reconstruction of the apron and the runway system.

4.3 Cargo characteristics of Vnukovo Airport
In total, Vnukovo Airport processed 22,173 tonnes of cargo in 2008, more than 90%, of which was domestic. Most cargo is transported on passenger flights (88%) and only a limited share on full-freighters (12%). The majority is outbound orientated (77%) with Krasnodar, Makhachkala, Yakutsk, Vladivostok, Tyumen, Damascus, Samara, Surgut, Stavropol and St-Petersburg as main destinations.

The main airlines are: UTair (25%), Vladivostok Avia (9%), Yakutia (8%), and Kavminvodyavia (8%).

4.4 Industry stakeholders
The main cargo-related companies at Vnukovo Airport, which are relevant for this feasibility study, are described briefly:

4.4.1 Airport Vnukovo
The Joint Stock Company (JSC) "Airport Vnukovo" is the owner of the majority of buildings and constructions, including the main airport infrastructure. The main shareholder is the Government of Moscow.

4.4.2 Vnukovo Handling
Vnukovo Handling is responsible for a uniform system of ground handling at Vnukovo Airport, as well as the coordination and introduction of uniform standards of airport services offered to airlines. It is also the centre of settlements between airlines and the various enterprises of Vnukovo.

4.4.3 Vnukovo Terminal Ltd
Vnukovo Terminal Ltd. offers cargo handling services to airlines and belongs to private shareholders. The cargo terminal consists of 4,240 m² of warehouse space including a bonded area and special cargo areas. Currently, Vnukovo Terminal Ltd. deals with loading/unloading of cargo to/from aircrafts and with its transportation to/from the terminal.

At the current cargo warehouse (belonging to Cargo Terminal Ltd) there is a Customs post, which carries out Customs procedures and Custom clearance of international cargoes delivered by air at Vnukovo Airport.
4.4.4 **Vnukovo Cargo**
Vnukovo Cargo is the operator of a new cargo - mail complex, which is expected to become operational in mid-2009. The cargo complex has an annual capacity of 150,000 tons/year and is equipped for all kinds of special cargo.

4.4.5 **Major Cargo Service**
Major is one of the two Customs brokers at Vnukovo Airport. Major is represented at all international airports of Moscow and has a regional network at 56 airports of Russia. Major has an office within the cargo building of Vnukovo Cargo Terminal. It provides agent services, sale and booking of air freight, forwarding services, and Customs broker services.

4.4.6 **Alpha Logistic**
Alpha Logistic is the other Customs broker firm at Vnukovo Airport and is also represented at all Moscow airports. Alpha Logistic offers (more or less) similar services to Major and is specialized in Customs registration of aircrafts, as well as spare parts.

4.5 **Government stakeholders**
Various government stakeholders are related to the air cargo process. Some of them have a direct operational impact on the air cargo process (e.g. Customs, veterinary and phytosanitary inspection and the Border Police); other stakeholders have a more indirect impact (Rostec, Rosgranitsa).

4.5.1 **Ministry of Transport of the Russian Federation**
The Ministry of Transport of the Russian Federation develops a Model Technological Scheme for the organization of border-crossing control at the State frontiers of the Russian Federation, including the clearance of people, vehicles and goods at border crossing points in airports. This is the model for work of the border control agencies at airports.

4.5.2 **Rosgranitsa**
The specialized federal body Rosgranitsa was established in 2007 with the aim of creating favourable conditions for efficient control at the border check points (BCP). Its activities relate to interdepartmental communication, including the technical support for information exchange between the various agencies involved in border control, Customs procedures and other related control activities. Rosgranitsa adopts the technological scheme for clearance of persons, vehicles and goods in each airport. All other agencies operate on the basis laid out in the two documents prepared by the Ministry of Transport and Rosgranitsa.

4.5.3 **Customs**
As in most countries Customs is one of the most important government stakeholders in the air cargo process. In general, the duty of Customs is to put into effect Customs registration and Customs control measures, to levy Customs duties and other fees, and to create favourable conditions for trade. Customs is present at Vnukovo Airport as Vnukovo is one of the international airports of the Russian Federation.

4.5.4 **Department of Veterinary Inspection**
The Department of Veterinary Inspection has the following basic functions:
1. to carry out veterinary supervision (control), registration and delivery of veterinary documentation for export, import, and transit of cargoes transported through border check points;
2. to check the correctness of registration of the veterinary documentation accompanying goods;
3. to check the veterinary-sanitary conditions of vehicles, planes and warehouses at the international airports;
4. to prohibit the further transportation of animals and other cargo recognized as dangerous, as well as cargoes that are moved in violation of veterinary-sanitary requirements.

The Department of Veterinary Inspection forms part of the Management of the Federal Agency of Veterinary and Phytosanitary Inspection of the city of Moscow and the Moscow region. This is one of the territorial bodies of Rosselkhoznadzor.

4.5.5 Department of Phytosanitary Inspection
The Department of Phytosanitary Inspection has the following basic functions:
1. to take stock of the phytosanitary certificates and to monitor the correctness of data in these certificates;
2. to draw-up acts of withdrawal, if the cargo does not correspond to the phytosanitary requirements;
3. to issue instructions about necessary quarantine actions, including return or destruction of the phytosanitary shipments;
4. to issue certificates on the State quarantine phytosanitary control;
5. to gather and analyse information on results of control and supervising activity

The Department offers web-services to submit a preliminary electronic notice of import shipments (www.priorcontrol.com).

Similar to the Department of Veterinary Inspection the Department of Phytosanitary Inspection is part of the Management of the Federal Agency of Veterinary and Phytosanitary Inspection of the city of Moscow and Moscow region, the territorial body of Rosselkhoznadzor.

4.5.6 Border Check Point of the Federal Security Agency (border police)
The border check point of the Federal Security Agency has the following basic functions:
- to prevent unauthorized and uncontrolled crossing of the frontier by outside physical persons and vehicles
- to carry out border control of persons and vehicles
- to register statistics of persons and vehicles.

As such they have an indirect effect on the air cargo process as their responsibility is not shipment-related but persons/vehicle-related.

4.5.7 Rostec
The federal public enterprise ROSTEC was created in 1992 by the Federal Customs Agency of the Russian Federation. The enterprise functions under the control of the State and aims to provide solutions for various customs challenges that need to be addressed.
5  Legal framework and developments
This chapter describes the legal framework and relevant developments. An important part of the framework is related to Customs, and provides details on the Customs requirements, prerequisites and working procedures relevant for the SW. Additionally, two recent important governmental orders are listed, stating the position of the Russian Federation regarding the control rules at Border Check Points (BCP) and the Interagency Information System (IIS).

5.1  Hierarchy of Customs legislation
The hierarchy of the Customs legislation is as follows:
- Constitution of the Russian Federation
- International conventions and treaties
- Federal laws (including federal constitutional laws)
- Secondary legislation.

The Constitution of the Russian Federation
The main provisions covering the areas of Customs regulation are formulated in articles 8 and 74. Article 8 contains the list of guarantees, including about of free economic space, free movement of goods, services and support for competition. The main principles of Customs rights are reflected in article 74.

The international conventions to which the Russian Federation is a party
The following international conventions are ratified by the Russian Federation:
- The International Convention on Simplification and Harmonization and Procedures (the Kyoto Convention of 1979, and the Revised Kyoto Convention, 1999)
- Convention on the Harmonized Classification and Coding of Goods, 1983
- Convention on Temporary Import (Istanbul Convention), 1990
- Customs Convention on Containers, 1972
- Bilateral contracts of Russia in the field of the Customs law.
On 1 July 2010, the Customs Code of the Customs Union of Belarus, Kazakhstan and the Russian Federation will enter into force, and should be taken into account.

Federal laws
The Federal laws represent the essential group of laws underlying Customs legislation. These include the Customs Code (TK), Tax Code (HK), Civil Code (ГК), Bank Code (БК) and the Law on custom duties of the Russian Federation.

Secondary legislation acts
Secondary legislation acts are issued in compliance with and as supporting legislation for the provisions of the Constitution, international norms and treaties, and the federal laws of the Russian Federation. It includes various Decrees of the President of the Russian Federation, decisions and orders of the Government of the Russian Federation, which are issued on the basis of the Customs legislation acts, with the aim of implementing these acts.
5.2 Custom Code of the Russian Federation

The Custom Code of the Russian Federation (TK) regulates all kinds of Custom activity and the organization of the Customs service in the Russian Federation. In general, it contains similar principles as those in most other countries in the world. The provisions and articles most relevant to the SW-project are listed below:

Article 66. Customs Clearance and Control Measures Exercised by Other State Bodies stipulates that “Customs clearance may only be completed after the goods have undergone sanitary quarantine, quarantine, phytosanitary, veterinary and other forms of State control”.

Article 75. Documents and information submitted to the Customs Authorities for international shipment by air transport.
In the event of international shipment of merchandise by air transport the carrier shall be obliged to submit to the Customs authorities the following information:
1. aircraft national identity and registration;
2. flight number, the flight plan, the point of departure and the place of destination;
3. name of the aircraft operator;
4. number the aircraft crew-members;
5. number of passengers on board, their full names, the port of embarkation and the port of disembarkation;
6. merchandise categories;
7. numbers of the airway bill, the number of articles per airway bill;
8. names of air terminals of loading and unloading of the merchandise;
9. quantity of catering stores loaded to or unloaded from the aircraft;
10. presence (absence) on board the aircraft of international postal items;
11. presence (absence) on board the aircraft of merchandise, the importation of which to the Russian Federation is prohibited or restricted;

The carrier shall be obliged to furnish the details specified in Item 1 herein by way of submitting to the Customs authorities the following documents:
1. carrier’s standard documents stipulated by the international treaties in the field of civil aviation (general declaration);
2. document containing information on the merchandise carried on board the aircraft (the airway bill);
3. document specifying catering stores on board the aircraft;
4. air waybills;
5. document specifying the passengers on board and their luggage (the passenger manifesto);
6. document prescribed by the World Postal Convention.

Article 131. Submission of documents related to the declaration of goods
The submission of a Customs declaration should be accompanied by the following essential documents:
- international purchase/sale contracts
- commercial documents at the declarant’s disposal
- waybills and/or shipment documents
- permissions, licenses, certificates and/or other documents confirming observance of the restrictions pursuant to the Federal Law of the Russian Federation on the State Regulation of Foreign Trade Activities
- documents confirming the country of origin of goods in the instances stipulated by Article 37 of the Customs Code of the Russian Federation
- payment and accounting documents
- documents confirming information pertaining to the declarant and the persons stated in Article 16 of the Customs Code.

For the purpose of certifying the goods’ declared Customs value, the declarant shall be obliged to present documentary proof of the declared Customs value and substantiate validity of the method used for determining the Customs value.

Article 155. Customs procedures
The following Customs procedures have been established for goods with a view to ensuring observance of Customs regulations:

1. Principal Customs Procedures:
   - release for domestic consumption
   - export
   - international Customs transit

2. Customs Economic Procedures:
   - inward processing procedure
   - processing for domestic consumption
   - outward processing procedure
   - temporary importation
   - bonded warehouse
   - free Customs zone (free warehouse)

3. Completing Customs Procedures:
   - re-import
   - re-export
   - destruction
   - rejection in favour of the state

4. Special Customs Procedures:
   - temporary exportation
   - duty-free trade
   - movement of stores
   - other special Customs procedures.

Article 366. Forms of Customs control
Customs control measures may have the following forms:

1. verification of documents and information
2. verbal enquiry
3. acquirement of explanations
4. Customs monitoring
5. Customs examination of goods and means of transport
6. Customs inspection of goods and means of transport
7. personal search
8. verification of special markings or other identification of goods
9. Customs inspection of rooms and territories for Customs control purposes
10. Customs auditing.

Article 402. Organization of Customs authorities
The Customs authorities’ structure includes:
- Federal Customs Authority
- regional Customs departments
• Customs offices
• Customs checkpoints.

The inception, reorganization and dissolution of regional Customs departments, Customs offices and Customs checkpoints are put into effect by the Federal Customs Authority.

The activities of the regional Customs departments, Customs offices and Customs checkpoints shall be regulated by statutes approved by the Federal Customs Authority. The Customs checkpoints do not necessarily have the status of a legal entity.

Article 403. Functions of Customs offices
The Customs offices are assigned to:
• put into effect the Customs registration and Customs control measures, create favourable conditions for expediting goods conveyance across the Customs border.
• levy Customs duties, taxes, antidumping, special and compensating fees, Customs fees, verify the correctness of calculation and timeliness of payment of said duties, fees and taxes, and take measures for their compulsory collection.
• keep Customs statistics related to foreign trade operations.

Article 423. The use of information systems and information technologies
In accordance with this Customs Code and other federal statutes, Customs authorities shall undertake development, construction and application of the information systems, information technologies and their support facilities, including those based on the electronic means of information exchange, as well as the facilities ensuring their operation.

The introduction of information systems, information technologies and their support facilities in the Customs system based on the use of computer hardware and communication facilities shall be effected based on the standards approved and adopted in the Russian Federation and the international standards.

5.3 Use of electronic declaration
The Annex to the Order of the Federal Customs Authority FCA of the Russian Federation No. 395 (30.03.2004) contains the following instruction (summary):
• Use of the electronic declaration requires an electronic digital signature (EDS) declaring the information provided corresponds with the Customs requirements.
• After several (formal logic & authenticity) checks, the electronic declaration is registered in the information system of Customs, and a unique registration number attached to the declaration.
• An electronic message containing the unique registration number is returned to the declarant within 15 minutes.
• The information system checks the electronic declaration within three hours of acceptance & registration.
• Additional enquiries can be made and a decision on the release of the goods, and (or) other results of the Customs control will be communicated.
5.4 Coordination of agencies at border check points

For the purpose of further improvement of the FTA, the Governmental order of the Russian Federation № 872 from 20.11.2008 has confirmed the Rules for control operations at the border check points (BCP) along the frontier of the Russian Federation.

1. The present Rules define a control procedure at the BCPs of the Russian Federation: referring to the movement of persons, vehicles, cargo, goods and animals (further “goods”) with a view to coordinating the activities of agencies, which are carrying out control functions at the border check points.

2. Official controls at BCP are carried out by branches of the control bodies at the border, Customs, sanitary-quarantine, veterinary, quarantine phytosanitary, transport control (“agencies”) within powers established by the legislation of the Russian Federation. They should provide the following:
   - minimization of the time of control;
   - elimination of duplicating functions and actions;
   - reduction of the quantity of interactions of officials with the moved goods, including through the implementation of the principle of a "one-stop-shop".

3. The principle of “one-stop-shop” is applied in border-crossing control operations. According to this principle a carrier (or the person operating on his behalf) submits to the official of Customs body at the border check points simultaneously the documents required by Customs and by other official control bodies, in the order and cases defined by the Government of the Russian Federation.

4. The Customs bodies send the documents necessary for other types of control to the representatives of the respective agencies. After they finish the control, the other agencies inform the Customs bodies about the results of the control; about the possibility to admit the goods through the border of the Russian Federation; or about the further required examinations.

Data exchange between the Customs bodies and representatives of the various control agencies is made by information exchange; or it can be made by electronic means of processing and data transmission.

5. The Customs bodies inform the carrier (the person operating on his behalf) of the results of the control, on the adopted decision concerning the possible movement of the goods through the frontiers of the Russian Federation. A decision to prohibit the admission of the goods is made by the corresponding agency in writing.

6. If necessary, an examination of the goods takes place in a specially equipped zone of a border check points by Customs and representatives of the corresponding agencies.

7. In the case of departure of the goods from the territory of the Russian Federation, Customs bodies make the decision on their admission through frontier of the Russian Federation on the basis of the permit documents received from representatives of the agencies.

In the case of border check points in airports, the following kinds of the control are consistently carried out:
At arrival of persons, vehicles, cargo, goods and animals on the territory of the Russian Federation:

- sanitary-quarantine (if necessary and only concerning persons)
- border police control
- sanitary-quarantine, veterinary, quarantine phytosanitary (if necessary and only in check points, specialized for specific types of cargo, goods, animals, plants and derivative products)
- Customs control.

At departure of persons, vehicles, cargoes, goods and animals from the territory of the Russian Federation:

- sanitary-quarantine, veterinary, quarantine phytosanitary (if necessary)
- Customs control
- border police.

The sequence of controls at border check points is defined by typical schemes of organization of admission through the frontier of the Russian Federation of persons, vehicles, cargoes, goods and animals, which are developed for check points and various kinds of transport.

The specified model technological schemes are developed by the Coordination Councils in each regional section of Rosgrantitsa. The Coordination Council consists of representatives of all official control bodies, and adopts technological schemes for each airport border-crossing point. These schemes are then endorsed by the Ministry of Transport of the Russian Federation in coordination with the Federal Agency of Safety, the Federal Customs Service, the Ministry of Agriculture, Ministry of Health and Social Development and the Federal Agency for the organization of the frontier of the Russian Federation (Rosgrantitsa). The technological schemes in each border check point describe the organization of admission of persons, goods, and vehicles, based on the model schemes developed by the Ministry of Transport, and taking into account local conditions, described in the reports of the sessions of the Coordination Council established in each check point. In the technological schemes, the duration of control at each check point is also established.

5.5 Simplified Customs Corridor
The Simplified Customs Corridor is an important development and pilot project that could lead to alterations in the legal framework. As Vnukovo Airport participates in this pilot, this could also generate interesting know-how relevant for the development of a Single Window.

The Simplified Customs Corridor (SCC) is an anticipated pilot of six months between Turkey and the Russian Federation. Vnukovo Airport will participate in this experiment aiming at a favorable facilitation of trade between the two countries (Letter by the Federal Customs Authority of the Russian Federation September 18 2008 N 01-12/0033).

The procedure of the SCC will be as follows. A trading company sends preliminary information to Customs (such as an air waybill) and has the following advantages:

- Shipments are given priority at check points.
- Documentary control is sufficient (no physical inspection of the goods is required).
- A bank guarantee is sufficient for FTA settlements.
A Customs declaration with an incomplete set of documentation can be released, if the company commits to provide the missing documents later.

Electronic information exchange will be based on globally accepted norms, standards and recommendations.

Three months after signing the agreement the stakeholders are expected to agree upon:

- the basic technological principles of the information exchange;
- the list, structure and format of the transferred data;
- the requirements of data protection;
- the procedure of identification of documents, goods and vehicles related to the preliminary information provided;
- the SCC procedures between the Customs agencies of the Russian Federation and Turkish Republic;
- the parties will inform each other in writing on their readiness to start carrying out of the experiment, and about of the Customs bodies which are taking part in this experiment.

Important synergies exist between this pilot project and the Single Window initiative. The experience from the SCC should be taken into account in the further development of the SW.

5.6 Interagency Information System
The government decree of the Russian Federation No. 1057, of 29 December 2008, stipulates the position of the integrated automated Interagency Information System (IIS) of the federal enforcement authorities (further “agencies”) carrying out control at border check points. The common understanding is that a Single Window in Russia would be based on the IIS. Consequently, developers of systems at Vnukovo and other locations should be aiming at integrating with the IIS. The IIS, however, is still not open for broad user base, and it builds on the use of existing processes and procedures (which are for the time being paper-based in the Russian Federation).

5.6.1. IIS
IIS is a State information system, which is territorially distributed, and provides automated interaction of the information systems of control agencies and other information systems. The functions of IIS include the formation, operation, and updating, of a uniform database (further - “uniform database”) containing information certified by electronic digital signature (including preliminary) about persons, vehicles, cargoes, goods and animals moving across the borders of the Russian Federation. IIS provides access to the information contained in the uniform database and the use of the infrastructure of the all-Russian State Information Centre.

5.6.2. The purposes for establishing IIS:
The idea is to establish technological maintenance of Interagency Information Interchange (further III) on the basis of the principles of a “Single Window” (single submission of information on persons, vehicles, cargoes, goods and animals) and a “one-stop-shop” (for integrated State control) using the infrastructure of the all-Russian State Information Centre in an automated mode. The III of control bodies (agencies) means data interchange in an automated mode, as well as regulated granting of access to the information resources of III with the use of modern means of identification and electronic digital signature.
5.6.3. Main principles of formation and functioning of III:
- Maintenance of the technological capacity of information interchange of existing and re-used information systems of control agencies and other information systems.
- Application of uniform standards of information interchange, use of unified IT tools.
- Application of the electronic digital signature.
- Single lodging and re-using of the information.
- Functioning maintenance in a mode close to real-time.
- Maintenance of the confidentiality of received information.

5.6.4. III includes the following segments:
- Integration segment which contains components that provide III, allow for work with a uniform database, and the use of the infrastructure of the all-Russian State Information Centre.
- Agency’s segments.
- The segment of BCP, containing components that provide III for the control bodies located at the BCP.

5.6.5. The basic functions of the integration segment of III are:
- Realization on the federal level of mechanisms of documenting, routing and processing of the inquiries directed at a uniform database and departmental databases within the limits of III.
- Operation of and support for the uniform database.
- Maintenance of protection of the transferred information from unapproved access, distortion, or blocking.
- Operation of and support for the uniform register of users of III, providing regulated granting of access to it.
- Accumulation, storage and archiving of the information within the limits of III.

5.6.6. The basic functions of agencies are:
- Gathering in electronic format of the required data, secured by electronic digital signature, on persons and vehicles crossing the border of the Russian Federation, and transferring it to a uniform database.
- Operating the agency’s database, and processing enquiries received from the integration segment of IIS.
- Storage and use of the information received from the integration segment of IIS.

5.6.7. The basic functions of a segment of BCP are:
- Reception (transfer) of electronic documents and/or data contained in documents, required for crossing the frontier of the Russian Federation, which are controlled at the BCP.
- Automatic establishment of enquiries related to the uniform database and processing the responses.
- Transferring the data from the BCP segment to the uniform database.
- Delivery of electronic messages/documents to participants of the III at the BCPs.
- Accumulation, storage and archiving, of the data within the limits of III at the BCPs.
5.6.8. Participants in the III
- Participants in III are suppliers and users of the information, operators of an integration segment, agency’s segments, a segment of BCP, and the operator of the all-Russian State Information Centre.
- Agencies are suppliers and users of the information.
- Suppliers of the information provide the automated gathering, storage, processing, generalization, and information transfer within the limits of IIS.
- The access right to the information can be given to other enforcement authorities and organizations, in compliance with the legislation of the Russian Federation.
- The operator of the integration segment of the IIS is the Federal Agency on Information Technology.
- The operator of a segment of BCP is the Federal Agency on the Organization of the Frontier of the Russian Federation (Rosgranitsa).

5.6.9. Order of access to information by participants in III
The order of access of participants in III to information resources of IIS is defined by joint regulations (agreement) of participants in III (further - joint regulations).

5.6.10. Regulations

5.6.11. The joint regulations should provide for the following:
- The list of data, which should be submitted.
- Format, structure, volume and reports of the received and represented information.
- The rights and duties of the parties.
- Conditions of use of the electronic digital signature, time stamps.
- The list of officials, authorized to use III.
- Order of the permission and (or) access restrictions to the transferred information.

5.6.12. Access to open source
The access of participants of III to open information resources of IIS takes place through a uniform web-site of the State services linked to a network through the Internet.

5.6.13 Maintenance of the functionalities of the IIS

5.6.14. Coordination
The Federal Agency on the Organization of the frontier of the Russian Federation is responsible for coordinating the work on the creation of the IIS, developing functional-technical requirements and the organizational-technical support of the work.

5.6.15. Uniform technical policy
The Federal Agency on Information Technology is responsible for developing a uniform technical policy for creating a functioning IIS, developing the contract design, an information and telecommunication infrastructure, as well as creating a pilot zone for IIS.
5.6.16. Joint Declaration
The IIS is used within the limits of the joint declaration adopted by the Federal Agency on the Organization of the Frontier of the Russian Federation (Rosgranitsa) and the Federal Agency on Information Technology, in coordination with various federal agencies.

5.7 Main observations on the legal framework
Apart from the administrative requirements of the Customs declaration and supporting documents, and the Customs organization, the following main observations can be made:

- Customs serves as the entity exercising overall last instance governmental control, ensuring all governmental requirements are met (Article 66 of the Customs Code) and is thus equipped to be a strong lead agency in a SW initiative.
- The Single Window initiative fits well with the objective of article 423 to develop, construct and apply of ICT solutions to facilitate the process.
- Various procedures and document requirements co-exist. These should be taken into account while developing the Single Window solution.
- The described governmental orders (no. 872/2008 on BCP and no. 1057/2008 on IIS) offer many openings for SW initiatives. Necessary alterations to existing hindrances, restrictions or bottlenecks in the legal or regulatory environment might be accelerated due to these orders.
6 Procedures at Vnukovo Airport

This chapter describes the import and export procedures at Vnukovo airport. For the development of a SW it is important to understand the interaction between the various stakeholders and the various information flows.

6.1 Export procedure

The export procedure at Vnukovo Airport is both visualized (in the figure) and described further down for a shipment with no irregularities:

A short description of the export procedure:

1. The Shipper agrees with the Customs broker to export a cargo shipment and provides the relevant information.

Figure 6-1. Export procedure at Vnukovo Airport
2. The Customs broker determines the nomenclature of the goods and calculates the Customs duties.
3. The shipper pays the calculated Customs duties and the cash warrant is added to the list of documents.
4. Cargo and documents are collected and transported to the airport. The cargo is stored temporarily in the warehouse of Vnukovo Terminal.
5. The Customs broker creates a Customs declaration and completes the document set.
6. The Customs Declaration is submitted to Customs in paper and in electronic format (on a diskette).
7. Customs accepts, checks, and registers the Customs Declaration and the document set.
8. If necessary, Customs informs the departments of phytosanitary / veterinary inspection about the presence of special cargo.
9. The phytosanitary / veterinary inspection body checks the shipment (administratively and / or physically), if compliant the shipment is released.
10. Customs might decide to check the shipment physically as well.
11. If all requirements are met, Customs releases the cargo and informs the Customs broker.
12. After the release, the Customs broker confirms the booking of cargo capacity to the airline
13. After the release, the Customs broker confirms the booking of cargo capacity to the airline
14. The cargo handler prepares the cargo and air transport documents (e.g. flight manifest).
15. Customs informs border police on the permission for export of the shipment
16. The cargo is loaded at the aircraft and the flight departs
17. At the loading of the aircraft border control checks and registers the actual departure of the shipment and the export procedure is finished.

6.2 Import procedure
For the import of shipment the following procedure applies at Vnukovo Airport (in case of a registered Consignor for foreign trade activity and a shipment with no irregularities):

A short description of the import procedure:
1. The consignee informs the Customs broker on expected arrival of cargo, and provides all necessary documents for Customs registration of import.
2. The airline carries out the air transport of the shipment and the flight arrives; After arrival of the cargo, the transport documents are transferred to border control.
3. Border control verifies the documents and authorizes the unloading of the cargo.
4. In case of special cargo (phytosanitary/veterinary) the relevant departments check the presence and correctness of the required documentation and put stamps on the documents.
5. After these checks, the cargo documents are transferred to Customs for registration
6. The cargo is unloaded and put in temporary storage.
7. The Customs broker collects all necessary documents for Customs registration of cargo and creates a Customs declaration.
8. The Customs broker calculates the Customs duties
9. The consignee pays the Customs duties and a cash warrant is added to the documentation.
10. The Customs declaration is submitted both in paper and in electronic format (on a diskette) including the document set.

11. If all requirements are met, Customs releases the shipment.

12. Customs informs both the Customs broker and the operator of the temporary storage.

13. Both the Customs broker (a) and the operator (b) register the release status of the shipment and the import procedure ends. The shipment is available for further transport.

6.3 Use of electronic declaration

The chapter on the legal framework showed the possibilities for working procedures based on an electronic Customs declaration. At Vnukovo, the Customs declaration is submitted in paper format and in electronic form on a diskette. Apparently the FCA of the Russian Federation has published a list of Customs bodies equipped to apply the electronic declaration in their process. The list includes the Customs posts of Domodedovo and Sheremetyevo, but not yet Vnukovo.
7  Document requirements

This chapter briefly describes the document requirements in the trade procedures. These documents relate to the declaration, licensing and permit procedures. If available, the details of the applied standards are presented. All these requirements should be taken into account in the development of any SW initiative. The issuing governmental bodies are potential stakeholders in the SW system.

7.1  Customs declaration

For most SW initiatives the Customs declaration is a key element. In the Russian Federation the Customs Declaration („грузовая таможенная декларация” - GTD) is to some extent harmonized with the Single Administrative Document (SAD) of the European Union. The exact level of harmonization is yet unknown to the project group. The list of data elements required in the Customs Declaration is given in annex 2.

An important part of the Customs declaration is the description and coding of the goods. The so-called Trading Nomenclature of Foreign Trade Activities and Customs Duties (TN FTA) of the Russian Federation represents a uniform system of classification of the goods. This code (nomenclature) is used in importing goods into the territory of the Russian State and is based on international codes and standards. The Brussels tariff nomenclature and the standard international trade codes of the United Nations have been used as the basis of building this classification system. As a result, the system has been called the Harmonized System of the description and coding of the goods (HS) of WCO.

The qualifier TN FTA of Russia is applied to the classification and coding of goods in the Customs statistics of foreign trade of the Russian Federation.

The 10-character digital code of TN FTA of Russia is generated as follows:

- First six digits completely correspond to the description and coding of the goods in the Harmonized System.
- The same six digits plus the seventh and eighth signs correspond to the description and to coding of the goods under the combined nomenclature of the European Union.
- The ninth digit is related to the CIS countries: it is intended for detailed elaboration of the goods, reflecting certain specific requirements in the CIS countries (TN FTA of the CIS).
- The tenth digit is specific to the Russian Federation: it is intended for detailed elaboration of the goods of interest for the Russian Federation.

7.2  Licensing/certificates/permits for trade

Many licences, permits, certificates and subsequent administrative procedures exist in parallel. These licences and permits are issued by various governmental bodies/agencies. Mostly, the documents are issued by the governmental bodies at the origin of the trade transaction. As a result, most are issued by the Russian government body for the exportation of cargo. Due to the extensive number of involved government bodies, the full list is not included.

In order to carry out Customs control and clearance, the following documents are often required to be attached to the Customs declaration:

- Certificate of Origin
- GOST R Certificate of conformity
- Quarantine certificate (phytosanitary)
- Veterinary certificate (certificate)
- Sanitary-epidemiological conclusion
- Certificate of State registration
- Certificate of chemical composition
- Certificate of import/export of rough diamonds
- Certificate of genetically modified products
- Certificate of seeds of plant varieties and animal breeding material
- Certificate of quality grain and its products
- Certificate of type approval of a measuring instrument

A full list of documents that may be required to be attached to the Customs Declaration is listed in annex 3. Annex 4 shows an example of the Certificate of Conformity of goods. Most of the documents/certificates mentioned above are common in international trade procedures. Special attention is given to the Certificate of Conformity of goods.

7.3 GOST R Certificate of Conformity

In 1993, the Russian Government enacted legislation that made the certification of a number of products obligatory. The so-called GOST R system of mandatory certification was introduced with the intention of protecting the health and safety of Russia's population. A successful certification results in the issuance of the Certificate of Conformity (CoC) stating the compliance to Russian safety regulations. The CoC is required for customs clearance at the Russian border and therefore relevant for the SW-project.

The GOST R system is monitored jointly by the Federal Agency for Technical Regulation and Metrology (abbreviated as Rostekhregulirovaniye) and Federal Customs Service of Russia. GOST R Certificates of Conformity are issued by Certification Bodies accredited by Rostekhregulirovaniye to act on its behalf.

The issuance is implemented following a technical evaluation of the goods to ensure their compliance to Russian safety regulations. The evaluation procedure may include evaluation of technical documentation, surveillance visits, sampling, analysis, type testing in accredited laboratories, factory audits and in certain cases certification of the quality management system.

The GOST R certification system concerns the majority of products sold or used in Russia, namely:
- consumer products such as foodstuff, textiles, cosmetics and toys.
- mechanical and electrical goods.
- industrial equipment for food, chemical, oil & gas, construction and other industries.

The full list of products subject to mandatory certification within GOST R system is issued by the Federal Customs Service and approved by Rostekhregulirovanye.

There are different types of Certificates of Conformity:
1. Single shipment certificates
   The Consignment Certificate of Conformity is a trade document valid for one consignment only, i.e. for a certain quantity and type of product.

2. Certificates for serial production
The Serial Production Certificate of Conformity is a trade document whose validity can vary from 12 months to 3 years depending on the nature of the products. Such a document enables the unlimited importation (both frequency and quantity) of heterogeneous goods produced during the certificate validity period.

The details and developments of the Certificate of Conformity are not (yet) fully known to the project team. Nevertheless, the CoC is an important prerequisite for the import procedure and should be taken into account for any development related to the SW. An example of a certificate of compliance of goods is shown in annex 4.
8 Supporting systems of the stakeholders

This chapter describes the current level of automation and supporting systems used for the different trade procedures. The set of features of the various systems is an important factor determining the feasibility of a SEW. The supporting systems of the main stakeholders will be described.

8.1 Vnukovo Customs: UAIS

Currently, the Federal Customs Authority of Russia uses the Uniform Automated Information System (UAIS). Basic elements of the UAIS are the registration of electronic copies of Customs documents of the cargo Customs declaration, declarations of Customs cost (“декларация таможенной стоимости”), updating of Customs cost and Customs payments.

Archive data have been stored in the database of UAIS on Customs Declarations since 1996. Every day, approximately six to eight thousand cargo Customs declarations and Customs credit orders are received. The annual volume is approximately 2.4 million records. These numbers are relevant for any financial analysis regarding a nationwide SEW.

The UAIS supports an internal and external format of the Customs Declarations, declarations of Customs cost and the Customs credit orders. Any participant in foreign trade activity (FTA) can submit the required documents in an external format. The internal format includes various fields of information regarding the internal Customs process.

At local Customs offices/checkpoints, including Vnukovo Airport, the complex Automated System of Customs Registration CASCR AIST-M is used. It processes the electronic documents and analyses the information with reference to the databases of the UAIS.

CASCR AIST-M offers the following functions:
- Management and visual control of the processes of documentary Customs registration of goods and vehicles.
- Reception and registration of electronic copies of the documents necessary for Customs purposes.
- The format-logic control of electronic copies of the documents, necessary for Customs purposes.
- The automated control of observance of requirements and conditions of the declared Customs mode.
- The automated control of receipts of payments from participants of FTA.
- The control of presence of debts in Customs payments.
- The control of correctness of charge and timely payment of Customs payments.
- The automated control of terms of Customs registration and periods of storage of cargoes under Customs seals, established by the Customs body.
- The automated control of release of the particular goods according to the Customs inspection certificate.
- Installation and updating of the standard - the support information (NSI) at the level of a Customs post and Customs office.
- Formation of any analytical reports.
8.2 **Department of veterinary inspection: Argus**
Rosselhoznadzor (the State veterinary inspection) has developed a system called Argus. Argus has automated the receipt, analysis and dispatch of permissions for import, export and transit of animals, products and raw materials of animal origin. Argus can exchange information with other State - control bodies and other organizations.

The main objectives of Argus are to:
- Automate the veterinary permission process.
- Account for the actual cargo import statistics on the territory of the Russian Federation: volume, production and transport mode, etc.
- Account for the actual receipt of cargo in a warehouse.
- Register and store information of veterinary tests results on import shipments.
- Track & trace movement of veterinary shipments (e.g. cattle, horses, fish) within the territory of the Russian Federation (from one firm to another).
- Create an electronic archive of documents for the analysis of the information and reduction of paper document circulation.

8.3 **Department of phytosanitary inspection: Priorcontrol**
The department of phytosanitary inspection apparently offers some form of web services to submit a preliminary electronic notice of import shipments ([www.priorcontrol.com](http://www.priorcontrol.com)). The details of this system, its status and corresponding procedures/interaction with other stakeholders is (yet) unknown to the project team.

8.4 **Information system Customs brokers: ALTA-GTD**
ALTA-GTD is a software program used by both Customs brokers of Vnukovo Airport (Major and Alpha Logistic). It allows the broker to create more than a hundred documents required for Customs registration and declaration, including:
- Customs declaration , declaration of Customs costs, correction of custom duty etc.
- Declaration of delivery control, TIR.
- Commodity-transport waybills, Packing sheets, etc. transport documents.
- Card of the account of vehicles, the passport of the Customs transaction etc. documents on import of vehicles.
- Examination Certificates, warehouse receipts.
- Customs credit orders and Customs receipts.
- Accounts, invoices, and other accounting documents.
- Inquiries, licenses etc.

At Vnukovo Airport the Customs broker creates a Customs declaration, which is both printed and saved on a diskette.

The Customs broker gathers all required documents and submits the paper package of documents, including the diskette with the electronic version of the Customs declaration and the printed version to the Customs office for registration and control.

The sole use of an electronic declaration is not implemented at the airport of Vnukovo. The Customs broker is not connected to the local network of the local Customs information system. The Customs broker can submit information electronically via the national Main
Scientific Information Computer Centre of the Federal Customs Agency, accessible via Internet and connected with Vnukovo Customs via the corporate network of Customs. Due to the current cargo volumes at Vnukovo it has not been considered economically feasible to connect to the system.

9 Conclusions of Part 2

The second part of the report provided insight into the current situation at Vnukovo Airport relevant for determining the feasibility of a SW at Vnukovo. The characteristics of the airport and the various stakeholders were presented. The relevant legal framework and development were stated. The description of the trade procedures, regulatory requirements and supporting systems, provided valuable input to establish the feasibility of developing a SW.

The third part of the report will analyse the current situation of Vnukovo Airport in the perspective of the international practices and Recommendation 33/34/35 (as described in part 1 of the report). This analysis will determine the focus areas and the approach to a possible SW at Vnukovo Airport. It will conclude with a draft future work plan.
PART 3. FEASIBILITY ANALYSIS AND DRAFT WORK PLAN
10 Introduction

The first part of the feasibility report provided insight in the various international practices and developments related to Single Window systems, as well as summaries of UNECE/UNCEFACT Recommendations 33 and 35. The second part examined the current situation at Vnukovo Airport, its characteristics and stakeholders. It described the import and export procedures including information requirements and systems, and outlined the relevant legal framework (including current developments). The third and final part of the Feasibility Study will analyse the findings and will make proposals for a Single Window system for air cargo in Vnukovo or Russia. The financial feasibility will be indicated by discussing various business models. A draft work plan will be presented. Part three can be regarded as a working proposal for deliberation and discussion for all stakeholders to take the Single Window initiative to the next level. The following press release illustrates the necessity to come up with innovative solutions for air cargo transportation in the Russian Federation. A Single Electronic Window (SEW) would provide such innovation in the air cargo chain.

<table>
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<th>IATA and Russia forge strategic partnership</th>
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<td>Monday, November 23, 2009 15:01</td>
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<td>MOSCOW, Nov 23 (WorldACD) - The International Air Transport Association (IATA) said it has formalized a strategic partnership with the Ministry of Transport of the Russian Federation with the signing of a Memorandum of Understanding (MoU).</td>
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<td>IATA Director General and CEO Giovanni Bisignani also met with Russian President Dmitry Medvedev to discuss areas of cooperation between IATA and the Russian Federation.</td>
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<td>The MoU outlines specific areas of cooperation with a focus on safety, security, technology, airport infrastructure, air navigation, ground handling and training.</td>
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<td>It also encompasses freight, with Bisignani pointing out that the processing of goods for export in Russia takes an average of 36 days according to the World Bank.</td>
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<td>“IATA’s e-freight programme can help reduce that closer to the global average of 11 days, but Russia must first ratify the Montreal Convention of 1999 that recognizes electronic invoicing,” he said.</td>
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<td>- editors, WorldACD</td>
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11 Analysis of the findings on Vnukovo Airport

This chapter presents a short listing of the findings of part two and analyses these findings for the development of a Single Electronic Window:

11.1 Stakeholders

Many stakeholders co-exist in the industry. The main stakeholders at Vnukovo are:

- Vnukovo Cargo, representing the business community, such as cargo agents, airlines, cargo handlers and others.
- Local Customs Authority, representing the supervising government agencies

Both groups of stakeholders have been willing to participate in the Feasibility Study as they recognize the importance of a Single Window solution.

From a national point of view, the main government stakeholders are the:

- Federal Customs Service
- Rosgranitsa, a federal agency responsible for the development of the State border facilities
- Ministry of Economic Development
- Ministry of Transport
- Ministry of the Interior
- Ministry of Agriculture
- Ministry of Industry and Trade
- Ministry of Health
- Chamber of Commerce and Industry
- Rosregulirovanie
- Others

At a national level no stakeholder consultation has been held. This will be addressed in the draft work plan.

11.2 Size of the Vnukovo market

Vnukovo airport currently handles approximately 30,000 tons of mail and cargo, of which only 4,000 tons was internationally traded in 2008. The total volume of all Moscow airports (Vnukovo, Sheremetyevo and Domodedovo) is 350,000 tons of cargo (75,000 tons is international). Vnukovo’s share is only 5.33% of the international trade flows via Moscow airports.

These volumes are very small (given the geographically strategic location of Moscow) compared with international hubs that handle volumes between 500,000 to 4,000,000 tons of air cargo. They are also an important indicator of the expected number of shipments. Each shipment will have (varying) information requirements that could be exchanged and processed via the Single Window facility. For the Feasibility Study, the number of shipments and the number of documents to be processed is a key variable.

11.3 Legal framework

The project team reviewed the most relevant articles in laws and government decrees, which indicated that the development of a Single Window is possible:
The government decrees no 872/2008 on Border Crossing Points and no. 1057/2008 on the Interagency Information System offer many possibilities for SW initiatives.

Article 423 of the Customs Code points out the need to develop and implement ICT solutions to facilitate the official control process.

Currently no show-stopping legal restrictions or hindrances that require immediate action have been identified. Nevertheless, to build an operational Single Electronic Window, an enabling legal environment on the scale of the whole Russian Federation should be established. Such an environment should include legislation providing for the equal legal treatment of electronic and paper documents, and of electronic signatures, including digital signatures, and paper-based signatures. It is important, but not enough, to adopt laws on electronic commerce, electronic signatures, electronic documents and data protection. It is important to have a functioning system of Certification Authorities. Laws and secondary legislation acts should be analysed for any provisions that would prevent the use of electronic submission of required information, and would necessitate presentation of paper originals and signatures on paper, and recommendations for a remedy should be made. These issues will be addressed in the work plan below.

11.4 Procedures, documentation and level of automation at Vnukovo

The main findings of the import and export procedures, the required documentation and the use of automation are:

- All information exchange is paper based. No electronic exchange of information between different stakeholders has been identified at Vnukovo. At Sheremetyevo and Domodedovo the Customs Declaration is exchanged electronically.
- The main documents that always have to be lodged are:
  - Customs Declaration
  - Flight Manifest
  - Air Waybill
- Other commonly used documents are (among others) the Certificate of Origin, the GOST R Certificate of conformity, Quarantine certificate, Veterinary certificate, Sanitary-epidemiological conclusion, Certificate of State Registration, and others.
- The main government stakeholders have different systems to lodge and exchange information:
  - Customs has the possibility to exchange information electronically; however at Vnukovo this has not been implemented yet. Customs uses various systems (at local / national level) to process the information.
  - The veterinary department has automated the receipt, analysis and dispatch of the various permissions. The means of information exchange has not been studied by our team.
  - The phytosanitary department has a web-portal to submit and process information. The possibilities of electronic exchange of information should be studied further by the implementers of the SW project.
- The level of coordination between the various stakeholders is organised as follows:
  - The export process analysis showed the coordinating role of Customs. In general, fewer authorities are involved in the export process (than import). Border Police serves as a final checkpoint.
  - The import process description showed that the first point of contact is Border Police. They perform an initial check of the documents and take care of the first distribution of documents. Customs is the last checkpoint for import flows.
check whether all other government requirements are met. No automated exchange of information between the various authorities has been identified.

- The business stakeholders do not exchange electronic information via a centralized platform amongst themselves (Business-to-Business, B2B) or with government agencies (Business-to-Government, B2G)
- No initiatives are known for standardizing or harmonizing of documents and information

11.5 Conclusion

Many important characteristics for a Single Window are at the early stages of development, for example:

- Many documents co-exist with partially similar data requirements
- Most information exchange is paper based
- Standardization and harmonization of information flows is limited
- No “single authority” is present to coordinate all supervisory activities

The legal framework does not present show-stoppers for the development of a Single Window. This provides ample possibilities and almost allows for a “green field” development of a Single Window. Many different scenarios for development co-exist. Ultimately a Single Window could consist of many comprehensive sets of information and services and many stakeholders. The key will be to start with a compact scope of documents and stakeholders to get the initiative going. The next steps would stem out of each other, and would create a gradual approach to developing a Single Window. The next chapter will propose a sequence of such initial steps for the development of the Single Window.

Vnukovo Airport currently has limited international cargo volumes. Any development of a Single Window will require larger volumes for the Single Window investment to be financially justifiable (this will be further explained in section 12.5). Yet the idea of the Single Window project in Vnukovo is to provide a more competitive position and attract international business and higher cargo volumes to this airport. As a consequence not only the local Vnukovo stakeholders need to be committed to the SEW initiative, but also national stakeholders will have to join the effort. The main role for Vnukovo would be to serve as a pilot airport to explore the various vages of development of a Single Electronic Window. The organizational part of the development of the SEW and the role of the various stakeholders will be suggested in chapter 4 below, where a draft work plan will be proposed.
12 Proposal for a Single Window for air cargo in Russia

12.1 Basic idea

The basic idea is to aim for an optimized import and export process for both government and the business community. The Single Window is a vital enabler of process improvement as illustrated by the following comparison of Vnukovo and Amsterdam:

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Vnukovo</th>
<th>Amsterdam</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-arrival flight information requirements</td>
<td>None (Electronic flight manifest is submitted, but paper version is used by border police)</td>
<td>Yes, 4 hours in advance, (flight manifest, incl. AWB’s and HWB’s)</td>
</tr>
<tr>
<td>Declaration requirements</td>
<td>Declaration including multiple accompanying documents</td>
<td>Declaration only (accompanying documents only submitted on request of Customs)</td>
</tr>
<tr>
<td>Submission of information</td>
<td>Paper based (electronic versions provided in addition on a floppy disk)</td>
<td>Electronic</td>
</tr>
<tr>
<td>Risk analysis and risk management system</td>
<td>Partially</td>
<td>Yes</td>
</tr>
<tr>
<td>Administrative check of declaration</td>
<td>100%, primarily a manual check</td>
<td>100% system-based (risk management system)</td>
</tr>
<tr>
<td>Documentary check (of accompanying / related documents)</td>
<td>100%, primarily checked by a Customs officer</td>
<td>1-5% checked by Customs officers, to be shown later upon request (no delay of cargo process)</td>
</tr>
<tr>
<td>Physical check</td>
<td>95-100%, primarily via hand-search, severe delays</td>
<td>1-5%, delay is on average ½ to two hours</td>
</tr>
<tr>
<td>Cargo is cleared and made available to business in cargo terminal</td>
<td>24-72 hours</td>
<td>2-8 hours (primarily influenced by operation of cargo handler)</td>
</tr>
<tr>
<td>International cargo volume 2008</td>
<td>4,000 tons</td>
<td>1.6 million tons</td>
</tr>
<tr>
<td>Customs personnel</td>
<td>Approximately 40</td>
<td>Approximately 400</td>
</tr>
<tr>
<td>Full time equivalent (FTE)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tons/FTE (indication)</td>
<td>100 tons (4,000 tons / 40 FTE)</td>
<td>4,000 tons (1.6 million tons / 400 FTE)</td>
</tr>
</tbody>
</table>

Table 12-1. Comparison of Vnukovo and Amsterdam (source: Field survey and consultants analysis)
The comparison shows contrasting values for most of the characteristics. The Single Window at Amsterdam facilitates the use of a pre-arrival procedure with a system-based risk-analysis. As a result, short dwell-times and a high processing rate can be achieved. The introduction of a Single Window will help Vnukovo to streamline import and export processes.

The proposal is to create a so-called Single Automated System\(^9\) for the collection and dissemination of information. Within this model various possibilities exist:

i. Integrated System: Data are processed through the system

ii. Interfaced System (decentralised): Data are sent to the agency for processing

iii. A combination of i. and ii.

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\(^9\) Recommendation No. 33 specifies three basic models for the Single Window. The Single Automated System is one of them.
The following elements can be distinguished:

1. Industry stakeholders: The group of stakeholders responsible for the air cargo supply chain and related communication with the various Government Organizations. The main stakeholders are: Airlines, Forwarders, Customs Agents, Cargo Handlers, Shippers and Consignees.

2. Government stakeholders: The group of government stakeholders responsible for supervising of the air cargo supply chain. Common stakeholders are Customs, Border Police, Veterinary and Phytosanitary inspections, Health Department, etc.

3. Single Window: The entity responsible for developing and operating of the Single Window.

4. Supporting developments: A cluster of developments that could be regarded as accelerators of the establishment of a Single Window. These developments are not a prerequisite to start building a Single Window but should always be taken into account and anticipated. For example, the individual agencies should harmonize, standardize and automate individual documents, notably the data element codes and definitions in them. The alignment of data element definitions and codes, document outlines, and standards for electronic exchange of information with international standards will make it easier to exchange information with other sectors/modes of transport nationally and internationally.

The basic model of the Single Window will be further elaborated using, among other things, the above elements.
12.2 Characteristics of the Single Electronic Window

This section will describe the various functionalities of a Single Electronic Window. Important elements are the scope of information, services and stakeholders. It will start with a short consideration of the alternative of establishing a paper-based Single Window.

12.2.1 Single (Electronic) Window

In this study, we speak about the Single Window (SW) concept, which encompasses various models and allows for both paper-based and electronic submission of information. A more developed, electronic version only is called Single Electronic Window (SEW).

A purely paper-based Single Window could very well be established at Vnukovo Airport. This will mainly require an organizational effort, with Customs as an obvious lead agency. Many of the benefits of an electronic version (SEW) will not be exploited, e.g. savings in manual input and the automation of processes.

The study will therefore focus on the feasibility of a SEW. A common and obvious approach to establish a SEW is process-by-process and document-by-document. The following sections will describe the required functions of the SEW and the development stages of the various processes / documents.

12.2.2 Basic function: Message hub

A message hub will be required regardless of the type of information that is exchanged. It is a prerequisite for any Single Electronic Window development. A message hub is the heart of a SEW and receives, processes and distributes information.

In general, the message hub has the following features:

- **Message routing**
  The sender submits an electronic message to the Single Window, and the SW distributes the information to the recipient(s) – quite similar to a postal office.

- **Data control**
  Does the electronic message comply with the specification requirements?

- **Standard mapping**
  Translation from any senders’ standard to the standard of the SEW. Mapping to the UN Trade Elements Directory (UNTDED), the WCO Data Model, Core Components and/or other standards would be necessary.

- **Transformation**
  Translation from SEW standard to required recipient standard.

- **Storage and archiving (of messages and information)**

- **Portal**
  Portal for users to present the stored information, to download information and document requirements, and to receive information on decisions.

This message hub will connect senders and recipients to one another and can exchange all sorts of information. This can be regarded as a basic service of a SEW, and can be offered on a document-by-document basis. A major benefit is that each stakeholder has to create a connection (interface) only once. Without a SW (and a message hub) each sender will have to establish an interface with each recipient of its information. For Customs this could result in the establishment of thousands of interfaces. With the Single Window each stakeholder establishes one interface with the Single Window and, as a result, will be connected to all other stakeholders, saving the establishment of many interfaces on a bilateral basis.
In part 2 it was noted that although at Vnukovo Airport the information exchange was paper-based, the Federal Customs Service was capable of exchanging information electronically at other airports (Sheremetyevo and Domodedovo). This implies that a message hub is used at least in the Customs domain.

For the SEW, it is interesting to know what the position of the Federal Customs Service is, and to what extent the current message hub can become part of the SEW or be replaced by a SEW. This key question will have to be addressed in the draft work plan.

Figure 12-2. Potential role of the message hub of Federal Customs Service. Extend or replace current message hub?

Similar dilemmas might arise for other agencies. Probably other agencies have initiated innovative projects to upgrade their procedures. These projects are often supported by ICT solutions. It is quite likely that message hubs are considered to be developed by other individual agencies as well. These message hub developments should be part of the SEW, and for this reason a general Master Plan should be developed and adopted.

12.2.3 Scope of information
Currently no standardized information is exchanged electronically at Vnukovo between any of the government and business stakeholders. The message hub described above (either newly developed or an expanded version of the existing Customs hub will be the means to start distribution of electronic information. This section will describe the proposed sequence and priorities of the various documents to exchange via the Single Electronic Window.

1. Customs Declaration
One of the options is to exchange the Customs Declaration (Грузовая таможенная декларация or GTD) and the related status messages electronically. In the import- and export procedure, the GTD is the ‘central spine’ in the process. All other documents are (often) subordinate in the overall supervisory procedures.

The Russian GTD is currently in the process of alignment with the European Union’s Single Administrative Document (SAD), which follows the United Nations Layout Key for trade documents, and uses international (EC, UNECE, and WCO) standards and codes.
A common approach in the standardization and harmonization process (used for example at Schiphol Airport) is to use the Customs Declaration as a starting point. Other government documents are often aligned to the data specification of the Customs Declaration. One option is that this process occurs in Russia as well: further developing the electronic Customs Declaration, and automating and harmonizing with other agencies the procedure of providing the supportive documents in box 44 of the GTD. If the GTD is not included in the Single Electronic Window, the chance of a successful long-term development is much smaller.

An alternative option may be to start with the pre-declaration process (as in the Single Window in the former Yugoslav Republic of Macedonia), where the first step was to create a Single Window for downloading, filing and approving licences. At the first stage of the creation of the Single Window, the emphasis could be on one of the stages of information gathering.

![Figure 12-3. Stages of information gathering along the supply chain](image)

It is important to distinguish where to start: from the submission of information from business to governmental authorities (B2G) or exchange of information among governmental authorities (G2G)

![Figure 12-4. Information exchange in the Single Window: starting from business filing information to government agencies and exchange of information among governmental agencies.](image)

2. **Flight manifest**
   For both the import and export procedure a (paper) flight manifest is required. A flight manifest contains the basic flight and shipment details. As the import flight manifest is only available after arrival of the aircraft, the whole import procedure only starts after arrival. A common international procedure is to submit the electronic flight manifest after departure at the origin airport and forward it to the Customs Authority at the destination airport. In the Vnukovo case the flight manifest can also be forwarded to Border Police and Vnukovo Cargo. As a result all stakeholders can prepare for the incoming flight.
3. **Air waybill and house waybill**

An air waybill (AWB) is the contract for air transport of a shipment between the agent and the airline. It contains the general details of the shipment. The house waybill (HWB) is the (internationally accepted) contract between the shipper and the agent. It offers government agencies in-depth information on the shipments, which could be available to the various government agencies prior to arrival.

An air waybill (AWB) is the contract for air transport of a shipment between the agent and the airline. The AWB contains the general details of the shipment. The house waybill (HWB) is the (internationally accepted) contract between the shipper and the agent. It offers government agencies in-depth information on the shipments, which could be available to the various government agencies prior to arrival. The HWB is used in Russia as a contract between the shipper and the agent. The HWB is an internal waybill for all shipments (letters, parcels, packages, and all other goods), which are sent in a consolidated shipment. Most often, the HWB is used for courier shipments which are, in general, consolidated. If the agent is preparing a consolidated shipment consisting of several consignments, he is preparing a HWB for each of them. For the whole consolidated shipment, he prepares a Master Airway Bill (MAWB). Sometimes, in the Russian documents in interagency correspondence, this waybill is called “main” or “international” airway bill. Upon arrival at the destination, the shipment is “de-consolidated” and delivered to the consignee with a HWB. Both the HWB and the MAWB are cleared on neutral AWB forms. After they are issued, a specific number is attributed to each.

The prevailing international trend is that government authorities (e.g. in China, India and the USA) require the full HWB information on inbound shipments. The European Union will require the full HWB data for both inbound and outbound shipments starting from 2010 or 2011. As a result the majority of international trading companies are capable of generating and exchanging the AWB and the HWB.

4. **Veterinary import document**

The veterinary department’s system Argus can exchange information via the SEW electronically. Probably, the various document requirements are not yet harmonized with international standards and the GTD. This could well be the next document to add to the SW scope. A harmonization process with the GTD could be started directly or at a later stage.

5. **Certificate of conformity**

GOST R Certificates of Conformity (CoC) are issued by certification bodies accredited by Rostekhregulirovaniye to act on its behalf. Many stakeholders are involved, and the importance of the CoC is rather high in the various procedures. The CoC is the umbrella document in an established procedure of certification by several certifying bodies. Therefore, it contains no substantive data, which can be aligned in the SEW system, apart from the name and details of the person responsible for the consignment, and the form is not aligned with the UNLK. One may see the process of obtaining the CoC as one stage in the Single Window function – a Single Window for certificates – before the declaration to Customs. Therefore, automating the CoC process may be seen as a SEW for certification.

6. **Invoice**
IATA has developed a standard electronic Invoice, and it may be feasible to implement that Invoice (in Russian and English) in the SEW in Vnukovo. Collaboration with IATA and UN CEFACT is recommended to that effect.

7. **Certificate of Origin**  
The Certificate of Origin (CoO) has several versions (national, Form A for trade with the European Union, etc.), and they are dealt with by the Chamber of Commerce and Industry of the Russian Federation. Electronic versions of the CoO can be developed in cooperation with the Chamber of Commerce and Industry.

8. **Other required documents**  
The focus should be on adding the above documents to the SEW. Meanwhile other documents could also be added. A listing of the various documentary requirements has been included in part 2 of the report.

All these documents can be added one by one to the scope of the SEW, so that the SEW can ensure an efficient exchange of information.

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**Figure 12-5. Multiple distribution of a single message: AWB**

An example of a multiple distribution of a single air waybill is presented in figure 12-5. In this graph, the Single Window includes both B2G and B2B flows of information:

The agent submits the air waybill to the SEW. The message is distributed to three recipients, the airline, the cargo handler and Customs. Each recipient uses the air waybill for different purposes, either as a contract, for operational purposes, for control of the information, risk analysis, as for inspection activities.

**12.2.4 Storage of information for re-use**  
The submission of individual messages in isolation rules out potential advantages of using the information provided by various sources. A storage facility is required primarily to provide possibilities for the re-use of the gathered information. All messages will be stored and can be used for multiple purposes such as statistics, retrieval, as proof in litigation and/or arbitration, etc.
12.2.5 **Create a central “spine” of information to integrate all documents**

The storage of the individual messages is important. The most interesting feature, however, is to store all individual documents and to link the information fields to one another. This will require common data elements\(^\text{10}\) of individual documents to create a link.

The common approach is to create a central “spine” of information, linking all documents to one another via several data elements. The proposed scope of information already suggested to start the SEW with the GTD, the flight manifest, the air waybill and, optionally, the house waybill, as they have common keys. Jointly they represent the central “spine”, to which almost all documents can be related.

The spine can be visualized along the air cargo supply chain. The air cargo supply chain, with its main stakeholders, can be visualized as follows:

![Stakeholders in the air cargo supply chain](image)

**Figure 12-7. Stakeholders in the air cargo supply chain**

The following stakeholders take part in the export section of the supply chain:

- **Shipper**: The cargo originates with the shipper, who often outsources the logistics of air cargo activities to specialized companies.
- **Agent**: The agent, often referred to as forwarder, represents the shipper. The agent collects, consolidates and distributes shipments and ensures that all government requirements for air transport are met (e.g. for Customs Declaration, certificates, etc.)
- **Handler**: Handlers receive cargo from agents on behalf of the airline. The handlers prepare and load the cargo into the aircraft.
- **Airline**: The airline is responsible for the transport of air cargo.

Jointly they are the main stakeholders in the export process. The import process goes the other way round, with the consignee at the end of the supply chain.

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\(^{10}\) Common elements of various documents are also specified in the United Nations Trade Data Elements Directory, the WCO Data Model and the Core Components Library
The central spine of information follows the supply chain stakeholders and can be visualized as follows:

![Central Spine Diagram](image)

**Figure 12-8. Central spine of air cargo industry information**

The shipper prepares orders and authorizes the agent to handle the shipment(s). The agent registers the assignment in either an HWB or some other form of contract and collects the shipment. The agent (optionally) consolidates the shipments and makes a booking at the airline. The booking is registered in the AWB. The airline consolidates all its bookings into a flight manifest.

So far this represents only the central spine of information of the industry and not the central spine of the government supervision. In part 2 we saw that the main documents required by government for the control of goods are the Customs Declaration (GTD) and the Flight Manifest. The Customs Declaration should always be accompanied by the AWB. As a result we can combine the central spine of the industry and government to one another:

![Extended Spine Diagram](image)

**Figure 12-9. Central spine of information for both industry and government**

12.2.6 *Extending information flows in the central spine to other documents*

The central spine can be used to add and relate all other documents to one another. Some of these documents can be related to the “industry” spine, others to the “government” spine. This can be represented as follows:
The example shows the relationship of other documents such as the commercial invoice, the certificate of origin and the certificate of conformity with either the HWB or the GTD.

12.2.7 Create additional services based on integrated information database
The central spine of information and the gradual extension of additional documents allows for the creation of an integrated information database with a complete registration of all documents and statuses of the various procedures. This integrated information database offers ample possibilities for creating additional value added services for both government and the industry. This could for example relate to:

- Single government clearance: Only if all individual clearances of the various supervising agencies are received, an automatic clearance can be communicated to the industry stakeholder.
- Financial modules: Registering all payments and settlements between not only Customs, but also all other government agencies.

Such services are only possible if information on the various sources is integrated and combined. It exceeds the services of the exchange of individual documents or procedures and offers ample potential for valuable additional services for both government and the business community.

12.3 Legal issues
Preparatory work on creating an enabling legal environment for the Single Window should be done, possibly using the checklist of draft Recommendation 35.

12.3.1 The legislative basis
A study of the legislative basis should be carried out, logically on the federal level, as well as the new Customs Code of the Customs Union of Belarus, Kazakhstan and the Russian Federation, in order to establish the following:

(a) the existence of any impediments to the free exchange of data, documents and information among the various stakeholders in the government agencies and the business community;

(b) whether the equality of paper and electronic documents and signatures on paper and digital signatures is ensured at all stages of the trade transaction chain;

(c) which agency is handling which information (forms) in compliance with the existing legislation – an analysis process-by-process, document-by-document, agency-by-agency should be carried out to identify any impediments to the organization of the information exchange system.
12.3.2 Legal arrangements at local level

The legal issues on the local level should be analysed so as to conclude a service level interchange agreement (or Code of Conduct) among the stakeholders of the SW, within the existing legal system. This analysis and possible interagency agreement, should address the possibility of receiving, sharing, securing, archiving, and retrieving data. The possibility of receiving electronic signatures should equally be addressed.

12.4 Supporting developments

Several supporting developments can be identified to accelerate the development of an SEW and to enhance the overall quality and efficiency of data management: standardization, harmonization and automation of the procedures of individual agencies.

![Diagram](image)

Figure 12-11. Supporting developments

12.4.1 Standardization

The use of international standards is crucial for the development of a Single Window system that would not be isolated in one location, but would present functional possibilities for exchanging information with various agencies inside the country and with other systems internationally. Some examples of standards that can be used include the standardization of:

- The United Nations Layout Key, UNLK (ISO 3535)\(^\text{11}\): layout defined by the United Nations to standardize the commercial paper documents (such as the Single Administrative Document SAD).
- Codes and definitions of trade data elements, contained for example in the United Nations Trade Data Elements Directory, UNTDED (ISO7372)\(^\text{12}\), the World Customs Organization Data Model\(^\text{13}\) and the UN/CEFACT Core Components Library\(^\text{14}\). These codes are part of the UNLK standard, used in the UN/EDIFACT standard, and they are the basis for data modelling.
- UN/EDIFACT (ISO 9735)\(^\text{15}\) – United Nations / Electronic Data Interchange for Administration, Commerce and Transport - currently the only global standard for electronic data interchange (EDI), maintained by users under the auspices of the United Nations. EDI is the exchange of business data in standard formats. This information is structured according to a specified format, allowing an automated transaction that requires

\(^{11}\) United Nations Layout Key for Trade Documents: see Recommendation 1 at http://www.unece.org/cefact/recommendations/rec_index.htm


\(^{13}\) http://www.wcoomd.org

\(^{14}\) http://www.unece.org/cefact/codesfortrade/unccl/CCL_index.htm

Most Single Window solutions today (e.g. in Singapore or Sweden) are based on UN/EDIFACT.

Many frameworks and data models co-exist. A brief summary of the most common standards is listed below:

**UN/CEFACT**
United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) encourages close collaboration between governments and private business to secure interoperability for the exchange of information between the public and private sector. It has developed and maintains, among others, the following standards:

- The UN Layout Key for Trade Documents, which is the foundation for the EU's Single Administrative Document.
- Standard code lists (such as the United Nations Code for Locations (UN/LOCODE)).
- UN/EDIFACT, the international standard for electronic data interchange.
- UNTDED - United Nations Trade Data Element Directory (ISO7372, endorsed by WCO). The standard data elements of this Directory facilitate the interchange of data in international trade. These standard data elements can be used with any method for data interchange on paper documents as well as with other means of data communication.

**World Customs Organization (WCO) Data Model**
The WCO Customs Data Model establishes a standard, international, harmonized data set that will meet governments’ requirements for international cross-border trade and is geared exclusively to the requirements of an automated environment. The WCO DM data set is a subset of UNTDED.

**IATA Cargo-Imp**
The International Air Transport Association (IATA) developed the Cargo Interchange Message Procedures (Cargo-IMP). Cargo-IMP is the official message source for specifications concerning transportation messages such as the air waybill, flight manifest, accounting, status, discrepancy, embargo, customs, CASS billing, dangerous goods, allotments and surface transportation. The Cargo-IMP also includes encoding and decoding lists of all approved codes and abbreviations.

**Address standardization in draft work plan**
It is recommended to use one or a combination of the standards above. The most suitable standards will depend partially on the current practices in Russia. The in-depth analysis of data and specifications should be made, and it has to be included in the Master Work Plan.

**12.4.2 Harmonization and simplification**
The more that common standards are applied to the information flows – data and documents– the more options there will be to harmonize and simplify documents (as common data fields arise), to harmonize documents and information exchange among national control agencies and the business community, but also across borders on regional and global scales. Data sets might be integrated and the number of documents might decrease. It is recommended to align the codes and definitions of data elements used in documents and electronic exchanges to international standards, so that various agencies and the business community “speak the same language”. UN/CEFACT is currently developing draft Recommendation 34, which will offer

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16 [http://www.unece.org/cefact/codesfortrade/codes_index.htm](http://www.unece.org/cefact/codesfortrade/codes_index.htm)
a generic model process for Governments to align data element codes and definitions to international standards.

This Recommendation is based on best practices developed in offsetting up Single Window systems in several advanced countries. This process of data harmonization (document-by-document and agency-by-agency) focuses on four stages: capturing, defining, analysing and reconciling trade data element definitions and coding. Capturing means preparing a national inventory of data and information required by government agencies controlling foreign trade. Defining means establishing the semantic definition, format or code of each data element; when the information is required (for release, declaration, pre or post control); and the legal base allowing the relevant agency to require this information. Analysing means establishing what is the need for the concrete element, what the context of its use is, and how it relates to similar elements used by other agencies or in other documents. When the various data element requirements are analysed, those that represent the same or close meaning can be reconciled, or consolidated, through an agreement to use one data element name with a common definition and (or) common coding, with a reference to such international standards as the United Nations Trade Data Elements Directory (UNTDED ISO 7372), the UN/CEFACT Core Component Technical Specification (CCTS), the WCO DM data set or similar standards. The result is a simplified, standardized dataset that can be used to provide information requirements in various syntax formats using a range of technologies. This process should be based on a consultation process that involves the trading community and other relevant stakeholders.

12.4.3 Individual system development
Currently most information at Vnukovo Airport is exchanged on paper. Each individual agency and industry stakeholder will have to upgrade and harmonize their systems to be able to send and receive electronic information. Many international and national industry stakeholders are known to be capable of sending and receiving electronic information. Each individual system development for the government agencies should be tuned with the SEW developments. This means that information is routed via the SEW and common standards are applied. One of the options for the Single Window implementation project will be to develop electronic information exchange systems for individual agencies that do not yet have such systems and include them in the SEW initiative.

12.5 Business model
This section proposes a draft business model for the SEW. The following three elements of a business model will be addressed:
- Investment
- Financial model
- Ownership

Investment
The investment in a SEW depends on the scope of the SEW (decided by the interagency decision-makers group), on the volumes of cargo, and on the number of stakeholders who will be connected to the system. As this has not been decided yet, only a rule of thumb can be provided here. In general, an adequate SEW for air cargo at Vnukovo can be developed and implemented for approximately two to four million EUR. This will include the hardware and the following activities for the development of the message hub and some additional software:
- stakeholder consultation
The scope in terms of the number of documents will directly influence the required investment. The estimated investment caters for at least the described central spine of information (HWB, AWB, flight manifest and Customs Declaration) and probably a few additional documents. This would include the creation of basic web-portals for manual entry of data. System development projects for individual agencies will have to be financed separately.

The estimation is focused on the development at Vnukovo only. If the scope of work is extended to a Moscow level or a national level the required investment will mostly relate to the hardware component, which is relatively modest.

**Financial model**

The current international trade volumes transported by air are relatively small in Vnukovo and moderate at the national level. It will be difficult to create a solid business case at an airport or at the national level, with a short term positive cash-flow. This is substantiated by the following rough calculation from a national perspective:

**Market size in terms of shipments**

Currently in the Moscow region 75,000 tons of air cargo is related to international trade. The average size of air cargo shipments is approximately 300 kg per shipment. As a result, approximately 75,000 tons / 300 kg = 250,000 international shipments are handled in the Moscow airport system.

**Market size in terms of documents**

At the beginning of the operation of the Single Window system not all shipment-related documents will be electronically available or submitted to the SEW (documents such as the dangerous goods declaration, house waybill, etc.). We assume an average number of 2.5 documents per shipment to be exchanged electronically via the SEW (in the early stages). Ultimately, more than 30 documents could be exchanged via the SEW for air cargo. The 2.5 documents per shipment are expected to include the GTD and the AWB. At the early stages, this will result in 625,000 documents being exchanged electronically. Each document represents a message, which could be replied to by one or more status messages.

**Market size in terms of earnings at the national level**

In terms of earnings, large variations could be observed. In general, earnings per document vary between a few cents and 0.5 EUR.\(^{17}\) For quick calculation purposes, we assume an average of 0.2 EUR per document. This would result in annual earnings at start-up of 125,000 EUR. Some Single Window systems (e.g. in Thailand) include a function for the payment of government fees, taxes, duties and other charges. This can be a very attractive feature of the Single Window for both government and trade, and is especially important when the system is required to generate revenue. However, adding payment features often requires a considerable amount of additional work on harmonizing systems and especially on improving security.

**Market size in terms of earnings at Vnukovo level**

A similar calculation can be made at Vnukovo level:

- Air cargo volume: 4,000 tons of cargo

\(^{17}\) The ENIGMA system at the Port of Gvent in Belgium uses a different approach: 30 Euros for the processing of the whole package of documents accompanying a shipload of cargo.
- Estimated shipments: 4,000 tons / 300 kg ≈ 13,300 shipments
- Market size – documents: 13,333 × 2.5 documents ≈ 33,250 documents
- Market size – potential earnings: 33,250 × 0.5 EUR ≈ 16,600 EUR/year

**Savings**

An important (indirect) benefit of an SEW will be faster clearance and release of shipments. The international standard of clearance time of air cargo shipments is approximately 4 to 8 hours (including the unloading of the cargo from the aircraft).

In Vnukovo the fastest offered clearance time by an agent is within 24 hours. On average it was estimated by the Customs agent to be 48.72 hours at Vnukovo for import shipments. Faster clearance times at the airport will increase the air cargo volumes. Additional revenues will be generated by handling these volumes.

Other generic benefits for both the government and the business community are:

<table>
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<tr>
<th>Government</th>
<th>Business</th>
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<tbody>
<tr>
<td>More effective and efficient deployment of resources</td>
<td>Cutting costs through reducing delays</td>
</tr>
<tr>
<td>Correct (and often increased) revenue yield</td>
<td>Faster clearance and release of shipments</td>
</tr>
<tr>
<td>Improved trader compliance</td>
<td>Predictable application and explanation of rules</td>
</tr>
<tr>
<td>Enhanced security</td>
<td>More effective and efficient deployment of resources</td>
</tr>
<tr>
<td>Increased integrity and transparency</td>
<td>Increased transparency</td>
</tr>
</tbody>
</table>

**Table 12-2. Generic benefits of a SEW**

**Cost / benefit conclusion**

From a (direct) profitability and return-on-investment perspective the development of a SEW has often difficulties in creating a viable business case for ports with small volumes. The required investments at start-up and the operational costs are relatively easy to quantify. The direct earnings of the SEW are also easy to address, but many savings related to the SEW such as the removal of hidden inefficiencies, errors and negative side-effects and improved quality are difficult to quantify and often not taken into account. A clear example is the possibility to liberate staff who deal with the manual introduction of data into software systems for other activities. Transfer of data from paper documents into computer systems takes place in each control agency. All these agencies have their own computer systems, and all of them allocate staff for re-introducing data into computer systems.

If we look at the numbers only the previous sections showed an initial estimated investment of 2-4 million EUR. The operational costs are estimated at 500,000 EUR annually (which is based on industry practices for similar operations). The market size at a national level will be approximately 125,000 EUR annually. As explained, this will not provide a viable business case, as not even the operational costs at start-up are covered.

If we broaden the perspective and agree to the potential savings for both government and industry and to the positive spin-off to trade and the air cargo business community, the SEW will be considered a public good with much potential to ultimately become self-sustaining (as shown in the various international cases of part 1). The self-sustainability will be the result of an organic growth of the air cargo market, a continuous extension of the scope of the SEW (adding documents, processes etc) and thus creating a larger market for the SEW with
increased revenues, relatively smaller investments and operational costs and overall larger savings.

Ownership
In terms of ownership, there are three options: SEWs are:

- government-owned (as in the USA, Sweden)
- privately owned (as in the Port of Hamburg)
- owned by a public-private partnership (as in Singapore’s TradeXchange or Malaysia’s Dagangnet).

For Russia, various considerations can be made regarding the best business model. The project team feels that a government body will be best positioned to develop the SEW at Vnukovo, at the other Moscow airports, or on the scale of the whole country. A government body can act as a lead agency and it should have the mandate for initiating necessary changes in the administrative structure and the legislation.

The Government has an obligation to facilitate trade, i.e. to simplify, harmonize, standardize and automate trade procedures. In this sense, the development of an SEW is an instrument facilitating international trade that will have a multiplier effect on the economic development. The Single Window also enhances security in the control of transborder movements of goods by reinforcing the timely collection of reliable information and supporting the implementation of risk management techniques.

In addition, the SEW will be a catalyst for innovation projects within the various government agencies. Many efficiency savings and quality improvements can be made by Government when it modernizes/automates processes that are currently manual and prone to error. Government could request a small compensation fee for its services - most likely to cover only the costs of these services. The efficiency savings should be taken into account as well, when calculating the benefits of the Single Window.

12.6 Proposed development strategy for the SEW at Vnukovo
At Vnukovo Airport, a competitive edge can be created by realising faster clearance times than other airports. The spin-off will be that the cargo volumes will increase. An important means to accelerate the clearance times will be the development of a S(E)W.

The business model, however, showed that the projected earnings on the level of Vnukovo, directly related to the services of an SEW, are too limited to define a viable business case for realising an Electronic version of a Single Window.

We therefore suggest that Vnukovo airport to develop an SEW in two stages:

- Develop a Single Window
- Serve as a pilot airport to start development of the Single Electronic Window at a national level

The first stage, the development of a Single Window, has to some extent already been initiated with the “Turkish Corridor” project. This should be the basis for creating a central coordination of government supervision in an intergovernmental Single Window organization for multiple trade lanes (including trade lanes other than Turkey). This local airport Single
Window should rework procedures and documentary requirements to create swift clearance of all cargo shipments for both import and export.

At a second stage, which could be initiated parallel to the first stage, the development of a Single Electronic Window should be addressed. Ultimately, the SEW should cater for trade facilitation of air cargo at a national level, as the related investments require significant economies of scale. Vnukovo Airport should serve as a pilot airport where the first developments take place. At a later stage a roll-out plan for other airports can be defined. Vnukovo Airport will have the first-mover advantage, reaping the benefits of the SEW effects on its operations directly.

To start both stages, the stakeholders at Vnukovo Airport will need a mandate for initiating the necessary changes in their administrative structure and legislation. Therefore, at a national level, some form of an intergovernmental programme organization (possibly led by the Coordination Council of Rosgraniitia) will be required. The next chapter will present a draft work plan for this and for the two development stages at Vnukovo.
13 Draft work plan for developing a Single Window

The previous chapter provided an outline for the SEW and a development strategy for Vnukovo airport. The development of a SEW should be well positioned and aligned with other related initiatives.

This chapter proposes a draft work plan to create cohesion between the various initiatives and to take the development of the SEW to the next level. An adequate intergovernmental programme organization is proposed to ensure commitment at the Vnukovo and national level.

A Master Plan will have to be defined covering the various activities at both levels. It will serve as an overarching design and development document. It provides details of how the SW will be designed, developed, implemented and maintained.

The S(E)W development at Vnukovo will be an important part of the overall Master Plan. At Vnukovo level a similar work plan will be defined. This draft work plan provides the first detailing of both organizational set-ups and master plans.

13.1 Overview of activities

This section describes the various activities required to proceed with the development of a Single (Electronic) Window, with a focus on Vnukovo Airport. Some of these activities cannot be addressed at a Vnukovo level only, and will require national working groups.

Various activities will be discussed. Some of them have already been addressed (partially) in this feasibility study:
- Consult business community and government stakeholders.
- Establish an intergovernmental programme organization.
- Specify the Master Plan / work plan.

13.2 Consult business community and government stakeholders at all levels

The top priority is to share the results of this feasibility study with the various stakeholders and to consult them on the implementation plan. The objective should be to create a common understanding of the SEW and a sense of urgency, and ultimately to create commitment of the stakeholders for this initiative. There is a need to undertake a basic political discussion whether a Single Window is what really is desired as a solution to improve the performance of trade operations. The final political decision may also need to encompass other airports and, probably, other transport modes, taking into account a basic cost-benefit analysis and the advantages of economies of scale for the investment into building a Single Window system.

The findings of the Feasibility Study at Vnukovo Airport serve as input for informing the stakeholders at various venues (at both Vnukovo level and national level). Additionally, the individual stakeholders should be consulted. Key topics to discuss are their positioning from a political and operational point of view, e.g:
- Do they agree on the need to build a Single Window and on its purpose?
- Are the stakeholders willing and (financially) committed to the initiative?
- What are the conditions?
• What is the positioning of the SEW compared to the individual systems of the federal agencies?

The result of these consultations should be a common understanding of the potential of this initiative. A political will and commitment should be created to start with the first work stream for air cargo at Vnukovo. After the political cooperation issues above are solved, the first practical steps should address the standardization and harmonization of exchange of data and documents for two reasons: there is much redundant data being circulated; and there has to be a plan on how to deal with “legacy systems” in the various agencies. These may constitute a major obstacle, notably if the controlling government agencies consider that they have made too big investments into those separate systems.

13.3 Establish Programme Organization
A logical next step would be to form an Inter-agency Programme Organization at a national/Moscow level. Within this organization, various work streams/projects will be defined. One of the important work streams will be the SEW project for air cargo at Vnukovo. At a local Vnukovo level a work - stream - specific programme organization will be formed. The programme organization at Vnukovo could be established directly. If a national programme organization is established at a later stage, the local Vnukovo organization will become an integral part of the national organization.

![Figure 13-1. Proposed programme organization of a SEW](image)

The interagency programme organization (IPO) at a National/Moscow level consists of a supervisory government board, a programme board of the SEW, a technical working group and optionally a business advisory council. The programme board will have this draft work plan as a basis for creating a Master Plan with various work streams. A work stream relates to
specific projects with clear boundaries and activities. These work streams will be specified and coordinated by the programme board. The technical working group ensures the coherence and alignment of the various work streams with each other.

The work streams can be defined per type of project based on (a combination of) SEW-features and transport modality (e.g. rail, road, air transport etc), type of cargo flow (import/export).

The first work stream would be to start with the development of a S(E)W at Vnukovo for air cargo. At Vnukovo a more or less similar programme organization will be created, with similar bodies at a local (airport) level. A supervisory board, a programme board and a local technical working group will be formed.

The following sections will provide further details on the programme organization at both National / Moscow level and at a local Vnukovo level.

13.3.1 Supervisory board of government stakeholders
The responsibilities of the supervisory board are in general to monitor the quality, progress and budget of the programme board of the SEW. More specifically it is responsible for maintaining the overall view of relevant developments within the Russian government and ensuring the cohesion and commitment of all relevant government bodies. It should facilitate IPO to operate efficiently and take away any barriers to the development of the SEW that go beyond the circle of influence of the IPO.

The members of the supervisory board are the decision makers of the key stakeholders and participants for the establishment of the SEW, such as:
- Federal Customs Service
- Ministry of Economic Development
- Ministry of Transport
- Ministry of Industry and Trade
- Rosgranitsa, federal agency for the development of the State border facilities
- Rosselhозnadzor - Federal Agency of veterinary and phytosanitary inspection
- Government of Moscow

Obviously, other participants can be added. The participants should either have a direct interest in the SEW (due to operational involvement, such as that of Customs) or they should have a political interest (and influence) such as the Ministry of Transport. As the Government of Moscow is a major shareholder in Vnukovo Airport, it would be one of the logical supporters to provide resources for the development of a Single Window system at Vnukovo Airport and be part of the overall supervisory board.

13.3.2 Programme board of the SEW
The programme board of the SEW is responsible for creating an overall Master Plan for a SEW in Russia. The board has dedicated resources to coordinate the various initiatives and to provide programme management for the various work streams (one of them is the Vnukovo SEW development for air cargo). Rosgranitsa is well positioned to fulfil the role of programme board for the development of the SEW.
13.3.3 Business advisory council
The commitment of the business community and alignment with business processes and industry practices can be ensured through the establishment of a business advisory council.

The board consists of key stakeholders of the various business roles, from both national and international perspectives. Participants can also include, for example:
- IATA – International Air Transport Association (representing most airlines)
- FIATA - International Federation of Freight Forwarders Associations
- Other associations representing either specific supply chain roles or transport modalities such as rail, road or sea transport.

The advisory board can provide non-binding but informed guidance to the programme board, its Master Plan and the various work streams. It serves as an “ally” in the quest for establishing the SEW.

13.3.4 Workstreams
One of the largest pitfalls of developing a SEW is to set too ambitious targets, with broad scopes of work, long time horizons and too many stakeholders. To prevent a complicated development programme, we suggest creating work streams that address specific topics or scopes of work. The work streams can have different stakeholders and different lead-actors but all support the general objective to establish a nationwide SEW.

One of the important work streams will be the Vnukovo project. Other likely work streams could relate to:
- the legal framework adjustments (to be addressed at a national level)
- data standardization, simplification, and harmonization, projects (to be addressed at a national level)
- individual automation projects at one of the agencies, which will be connected to the SEW (scope is limited to the internal organization of the agency)
- projects for specific modes of transport linked to the airport (rail, road, etc.)

13.3.5 Work stream 1: Vnukovo
For work stream 1 at Vnukovo the following organization is proposed:
A local supervisory board should be formed with the various government stakeholders at Vnukovo, such as the local Customs, veterinary and plant-health inspection and the border police.

The programme board should consist of representatives of the government stakeholders and the key business stakeholders such as Vnukovo Handling and Vnukovo Cargo. The programme board would be responsible for the project management of the Single Window initiative at Vnukovo.

A local technical working group could be formed to be allocated to the Single Window project and / or the pilot of the Single Electronic Window. The specialists of the various stakeholders will be part of this working group.

13.4 Define a joint Master Plan for Vnukovo

After the formation of the programme organization, the next step would be to develop a joint Master Plan. Typical issues to address would be:

13.4.1 Programme organization

The outline of the programme organization was presented above. In the Master Plan a final specification has to be made on the:

- Role and responsibility of the Programme board
- Role and responsibility of supervisory and advisory board (governance)
- Specification of the participants of the Programme organization
- Positioning of the Vnukovo programme within the national initiatives

From a government point of view, Customs and/or Rosgranitsa should be the lead-actor.

13.4.2 Defining the scope of the SEW

The proposed development strategy for Vnukovo addressed the scope of the SEW. The following elements of the scope will have to be agreed upon and specified in the Master Plan:

- Scope of information to be exchanged (messages/documents):
  We propose to limit the scope at the initial stages to three ‘basic’ documents to be exchanged electronically:
  1. Customs Declaration
  2. Flight manifest
  3. Airwaybill
  Other documents may follow.

The Customs Declaration is already available and the flight manifest and airwaybill are internationally established documents to be exchanged electronically. Other possible documents have been described in section 3.2.2. The best suitable documents to add will have to be discussed within the programme organization.

- Scope of services
  The scope of services is focussed on creating the ‘basic elements’ of a service infrastructure:
  1. Single Window
2. Message hub
3. Integrated database

The prime focus should be on the establishment of a Single Window for the business community: One face, one voice from government to the business community, which will require the alignment of the individual agency processes. At this stage paper documents processing will still exist. The next service would be a message hub as a means to exchange information electronically. The information can be stored and integrated in a database. This will cover the basic elements of a SEW, after which the scope of services can be extended.

- **Scope of processes**
  The following sequence of processes to be addressed is proposed:
  1. Import
  2. Export
  3. Transit

We propose to start with the import process, as international practices show that the import process often offers the largest benefit of a SEW (due to the relatively strict supervision and often more extensive paperwork). At a second stage, the export process can be added. As transit flows are more or less non-existing at Vnukovo, we propose not to address this process at this stage.

- **Scope of the air cargo supply chain roles**
  The following “roles” and sources of documents in the air cargo supply chain should be in the initial scope:
  1. Airline
  2. Handlers
  3. Forwarders/Customs Agent

The shipper and consignee will not be perceived as a target customers segment at the initial stages. The sources of the main documents to be exchanged electronically are air cargo business community companies.

- **Scope of the government agencies**
  The following agencies should be in the initial scope:
  1. Customs
  2. Border Police
  3. Plant Health inspection
  4. Veterinary inspection

Other government agencies could be added to the integrated processes and SEW concept at a later stage.

- **Compare the SEW and the existing government systems/developments**
  To avoid conflicts of scope, the main government systems will have to be compared with the SEW initiative, which are:
1. Customs
2. Priorcontrol
3. Argus

It is of vital importance that different initiatives are synergetic to one another. Therefore the existing government systems and developments will have to be taken into account, starting with the various Customs systems. Potentially, the message hub of Customs can play a part in the development of the SEW.

13.4.3 Activities/Agenda
The agenda follows from the selected scope and priorities. Our proposal would be to start with the import process for the Customs Declaration, Flight manifest and Airwaybill, with the main government agencies: Customs, Border Police, Plant Health and Veterinary inspection.

The agenda should cover a specification of the various activities and a planning and priority listing of each item. The feasibility study has already provided a first basis for the following activities that will have to be part of the agenda:

- Draft an initial Concept: high-level overview of functions, operations, business processes, data flow, and user requirements.
- Analyse (further) the business processes.
- Determine the participants and users needs / functionalities.
- Determine the sources of funding
  a. Government investment.
  b. Charges for services to the industry.
- Create an extensive cost-benefit analysis.
- Analyse the legal issues (e.g. using the UN/CEFACT draft Recommendation 35)*.
- Analyse and amend laws and regulations in order to enable the functioning of a Single Window*.
- Standardize and harmonize data on the basis of international standards (e.g. using the UN/CEFACT draft Recommendation 34 and the WCO DM)*.
- Create a data model: typology (classes) of data: how data elements required by different agencies co-relate to each other.
- Define a technical infrastructure: describe and evaluate options for hardware and software

* Some of these activities cannot be addressed at a Vnukovo level only. The national programme group should address these activities. At Vnukovo level, suggestions can be made to the national programme organization for amendments of laws and standardization issues.

13.4.4 Financial indication
After the scope and the activities have been defined, a financial indication can be made on the cost effects. The cost effects relate to the operational costs of the programme organization, the various activities (projects) and business cases that have to be defined.

13.5 Initiate Master Plan at Vnukovo
The programme organization can be established on the basis of a formally agreed Master Plan, on the basis of which the various activities can be initiated. One of the first activities will relate to the alignment and inter-agency coordination of the various processes. The result will be an
(definition of a) integrated government process that can be adopted / supported by the Single Window.

In parallel, the activities related to the development of a new message hub or the expansion of the existing message hub of Customs can start. Other top-priorities are to receive electronic AWB’s and flight manifests as described in chapter 3.

### 13.6 Key success factors

The key success factors, which are described in Recommendation 33, and which the programme organization should address, are listed below. Additionally, we will explain how the key success factors are addressed in the draft work plan for Vnukovo, and we will provide additional remarks.

The programme organization should focus on the following key success factors:

- **Political will**
  
The Federal Government has clearly stated the necessity for increasing interagency cooperation on streamlining international trade procedures and for the use of interagency information systems. The political will is present but apparently this has not yet resulted in the development of a universally accepted interagency information exchange system, such as the one offered by an SEW. This feasibility study could function as a catalyst, a discussion paper that will foster discussion with all stakeholders. The political will will be ensured by sharing the results of the study, and by consulting all stakeholders, which might result in amendments and further details of the proposal.

  During the preparation of this feasibility study, Vnukovo Customs was present at the meetings as the only representative of government. An additional effort will have to be made to ensure the political will.

- **Strong lead agency**
  
  As concluded in part 2, Customs serves as the entity exercising overall last instance governmental control, ensuring all governmental requirements are met (Article 66 of the Customs Code) and is thus equipped to be a strong lead agency in a Single Window initiative.

  Alternatively, Rosgranitsa could act as a lead agency, as the SEW-activities seem to fit in their scope of work seamlessly.

  No other government stakeholders are capable to fulfil this role. The other government stakeholders are ‘only’ involved from a policy point of view or their (operational) supervision is limited to a niche market, such as the Veterinary inspection agency (and its control over the information in the Veterinary certificates).

- **Partnership between government and trade**

  The proposed programme organization offers a platform for both government and trade, not only from a policy point of view (Ministries and associations), but also from an operational point of view (Customs and private companies, such as airlines).

  International practices have shown the importance of this partnership. Joining forces will catalyze the development of a SEW. The private companies will assist government in creating an optimal government supervision process, aligned with the logistic process. In
this sense, private companies, such as handlers, forwarders, Customs brokers and airlines, have a vital role to play. For Vnukovo this will mean that Vnukovo Cargo and probably a Customs Broker, such as Major, will have to be involved to make the initiative a success.

- **Establishment of clear project boundaries and objectives**
  The creation of individual work streams should ensure the clarity of the project boundaries and objectives. This feasibility study focuses on Vnukovo Airport and air cargo. The development at Vnukovo will be phased in various work streams. At a national level, similar work streams will have to be defined, covering other ports and most likely other modes of transport, such as rail. All work streams will require clear project boundaries and objectives and a well-considered alignment between them.
  For example, the development of a Single Electronic Window for air cargo should ultimately interface / integrate with a Single Electronic Window for other modes of transport, such as railroad and its accompanying documents (such as the CIM and SNGS consignment notes for railways).

Within the Master Plan the following key success factors will be addressed:

- **Promotion and marketing**
  The first round of promotion and marketing will be made in the “inform & consult phase” of the Feasibility Study. The establishment of the programme organization will create a tangible government body that could continue the required promotion and marketing.

- **Communications strategy**
  The communications strategy should be address in the Master Plan of the programme organization. Key target groups and the value proposal to these groups should be specified. The business community and staff of various government control agencies should be aware of the objectives and benefits of the Single Window, as well as the changes in their work routine after the implementation of the Single Window.

- **Financial model**
  Various options co-exist as mentioned in chapter 3. The operational costs of the programme organization should be covered by Government, as the provision of a public good. The Government of Moscow may view this investment from the perspective of profitability of its operations in Vnukovo Airport. The financing of the individual work streams could be allocated to specific agencies (e.g. Customs), Ministries and/or other stakeholders. Revenue can be generated either via a cost-per-message or some sort of periodic contribution. This could be both charged to the industry and/or the various government agencies using the Single Window. In any case, the logic is that the Single Window system provides a public service, and the fee to users should not be considered as a profit-making exercise. This means that the fees per usage (if any) should remain moderate.

Some of the other key success factors, such as “User friendliness and accessibility”, are important but it is too early to elaborate on these specifically. They should be addressed in the various work streams at Vnukovo during a design phase.
The objective of this study was to determine the feasibility of a Single Window (SW) for export and import clearance for air cargo in Vnukovo Airport, with possible extension to other Moscow airports and to other locations and sectors of transportation.

The main conclusion is that the introduction of a Single Window will unlock a large variety of improvements of the current import and export clearance processes for air cargo at Vnukovo Airport for both government agencies and the business community. The study identified the persistent existence of extensive manual gathering and processing of information, as well as long dwell times. This could be prevented by the use of a Single Electronic Window (SEW) in the clearance processes, as has been illustrated by a comparison of Vnukovo airport and Amsterdam airport. Vnukovo has many paper-based information exchanges and an import dwell time ranging from 24 to 72 hours. Amsterdam primarily uses electronic information exchange and has an average dwell time of 2 to 8 hours.

In this study, we suggested a model for building a Single Window (community service) at the airport of Vnukovo. However, the scale of operations at Vnukovo is too small to invest at Vnukovo only. At a national level the economies of scale are much larger. Yet it will still be inefficient for a private company to invest in a SEW. It is, therefore, recommended that (city or national) government finances the establishment of the SEW at a national level.

Many of the benefits of the SW go beyond the direct increase of revenues from the information-exchange services. A SW is a political and organizational tool that accelerates international trade, improves information filing, and creates more transparency for both government and the business community; and enhances the inspection processes. It is a public good into which government will have to invest.

The required investment depends on the scope of the SW, the cargo volumes, and the number of stakeholders connected to the system. As this has not been decided for Vnukovo, reference is made to international practices indicating an initial investment of 2-4 million EUR.

Various revenue models exist, e.g. based on a fee per message or per shipment. The study concluded that a positive business case based on the direct revenue sources only is not sufficient. The potential savings (such as the prevention of manual input of information) should also be taken into account.

The recommended model of the SEW is to create a Single Automated System\(^\text{18}\) for the collection and dissemination of information. The system can be: (a) integrated (data is processed through the system); interfaced (decentralised, in which data is sent to the agency for processing via an interface); and (c) combination of the two.

For agencies with their own systems, the Single Window will initially be used as an interfaced system. Gradually this could transforming to a more integrated system. For agencies just starting with automation, an integrated system can be opted directly.

\(^{18}\) Recommendation No. 33 specifies three basic models for the Single Window. The Single Automated System is one of them.
The recommended development of the SEW may start with the creation of a message hub and the exchange of the GTD (Customs Declaration), the Air waybill (AWB) and the Flight Manifest, as these are the most commonly used documents in the air cargo chain. Vnukovo can serve as a pilot airport for creating a broader SEW. Additional documents and government agencies could join in the SEW system step-by-step. Other documents can be added. The creation of a facility for storage and archiving, linking the various documents, will create new potential for additional services and developments. The range of airports can be enlarged to include Domodedovo, Sheremetyevo and/or Pulkovo.

The draft work plan for Vnukovo envisages a programme organization (interagency working group) with various work streams to address the topics of the Single Window. A supervisory board of government agencies and an advisory board of both government and industry stakeholders (both decision makers and technical specialists) should ensure smooth SW development.

A first activity in the work plan would be to share the findings of this feasibility study with the stakeholders and to consult them on the proposal to found an Inter-agency Programme Organization at both Vnukovo and national levels. A next step would be to define a more detailed Master Plan at both Vnukovo and national levels, to which all stakeholders can commit themselves. A third step would be to establish an Inter-agency Programme Organization with its individual work streams for the development of the SEW, starting with Vnukovo.

This study, which was aimed at determining the feasibility of a Single Window for import and export clearance at Vnukovo Airport, concluded that the volumes are too small to develop a SEW for Vnukovo only. It is recommended either to link a SEW project to plans for increasing the cargo volumes through Vnukovo Airport or consider developing a SEW on a national scale (highly recommended option).
This study provides a first outline and proposal for the national SEW for air cargo. It should be used as the basis for an actual Master Plan and additionally could be used as a discussion paper by the various stakeholders to take this initiative to the next level.

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Annex 1  
List of abbreviations

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<tr>
<th>Abbreviation</th>
<th>Explanation</th>
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<tr>
<td>AWB</td>
<td>Air Waybill</td>
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<tr>
<td>BCP</td>
<td>Border check point</td>
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<td>CASCR AIST-M</td>
<td>Automated System of Customs Registration</td>
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<td>CCTS</td>
<td>Core Component Technical Specification</td>
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<td>CIS</td>
<td>Commonwealth of Independent States</td>
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<td>CoC</td>
<td>Certificate of Conformity</td>
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<td>CoO</td>
<td>Certificate of Origin</td>
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<td>DNES</td>
<td>Department of non-tariff and export surveillance</td>
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<td>DTI</td>
<td>Direct trader input</td>
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<tr>
<td>FCA</td>
<td>Federal Customs Agency</td>
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<td>FSA</td>
<td>Federal Security Agency</td>
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<td>FSVTS</td>
<td>Federal Service for Military-Technical Cooperation</td>
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<td>FTA</td>
<td>Foreign Trade Activity</td>
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<td>GTD</td>
<td>Russian abbreviation for Customs Goods Declaration (&quot;грузовая таможенная декларация&quot; - GTD)</td>
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<td>HS</td>
<td>Harmonized System (of codes for goods)</td>
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<td>HWB</td>
<td>House Waybill</td>
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<td>IATA</td>
<td>International Air Transport Association</td>
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<tr>
<td>GTD</td>
<td>Russian abbreviation for Cargo Customs declaration</td>
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<td>IIS</td>
<td>Interagency Information System</td>
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<td>III</td>
<td>Interagency Information Interchange</td>
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<td>KSF</td>
<td>Key success factors</td>
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<td>MED</td>
<td>Ministry of Economic Development of the Russian Federation (formerly, MEDT: Ministry of Economic Development and Trade)</td>
</tr>
<tr>
<td>MoU</td>
<td>Memorandum of Understanding</td>
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<tr>
<td>SAD</td>
<td>Single Administrative Document</td>
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<tr>
<td>SCC</td>
<td>Simplified Customs Corridor</td>
</tr>
<tr>
<td>SEW</td>
<td>Single Electronic Window</td>
</tr>
<tr>
<td>SW</td>
<td>Single Window</td>
</tr>
<tr>
<td>TN FTA</td>
<td>Trading nomenclature of foreign trade activities</td>
</tr>
<tr>
<td>UAIS</td>
<td>Uniform Automated Information System</td>
</tr>
<tr>
<td>UCR</td>
<td>Unique Consignment Reference</td>
</tr>
<tr>
<td>UN/CEFACT</td>
<td>United Nations Centre for Trade Facilitation and Electronic Business</td>
</tr>
<tr>
<td>UNCTAD</td>
<td>United Nations Conference on Trade and Development</td>
</tr>
<tr>
<td>UNECE</td>
<td>United Nations Economic Commission for Europe</td>
</tr>
<tr>
<td>UNTDED</td>
<td>United Nations Trade Data Elements Directory</td>
</tr>
<tr>
<td>WCO</td>
<td>World Customs Organization</td>
</tr>
<tr>
<td>WCO DM</td>
<td>WCO Data Model</td>
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</table>
Annex 2

Customs Goods Declaration

This annex shows a table with all the boxes of the Russian Customs Goods Declaration (Russian abbreviation: GTD 1).

<table>
<thead>
<tr>
<th>Box #</th>
<th>Box name (short description) in English</th>
<th>Box names in Russian</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Declaration (type of Declaration)</td>
<td>ТИП ДЕКЛАРАЦИИ</td>
</tr>
<tr>
<td>1(1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1(2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1(3)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A</td>
<td>Office of dispatch/export</td>
<td>А</td>
</tr>
<tr>
<td>2</td>
<td>Consignor/Exporter</td>
<td>Отправитель/экспортер</td>
</tr>
<tr>
<td>2(1)</td>
<td>Consignor/Exporter No.</td>
<td>№</td>
</tr>
<tr>
<td>2(2)</td>
<td>Registration number</td>
<td>№</td>
</tr>
<tr>
<td>3</td>
<td>Forms</td>
<td>Добр. Лист</td>
</tr>
<tr>
<td>4</td>
<td>Loading lists</td>
<td>Отг. Спец.</td>
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<tr>
<td>5</td>
<td>Items</td>
<td>Всего наим. т-ов</td>
</tr>
<tr>
<td>6</td>
<td>Total packages</td>
<td>Кол-во мест</td>
</tr>
<tr>
<td>7</td>
<td>Reference number</td>
<td>Справочный номер</td>
</tr>
<tr>
<td>8</td>
<td>Consignee</td>
<td>Получатель</td>
</tr>
<tr>
<td>8(1)</td>
<td>Consignee No.</td>
<td>№</td>
</tr>
<tr>
<td>8(2)</td>
<td>Registration number</td>
<td>№</td>
</tr>
<tr>
<td>9</td>
<td>Person Responsible for financial settlement</td>
<td>Лицо ответственное за финансовое урегулирование</td>
</tr>
<tr>
<td>9(1)</td>
<td>Person Responsible for financial settlement No.</td>
<td>№</td>
</tr>
<tr>
<td>9(2)</td>
<td>Registration number</td>
<td>№</td>
</tr>
<tr>
<td>10</td>
<td>Country of first destination</td>
<td>Страна 1-го назначения</td>
</tr>
<tr>
<td>11</td>
<td>Trading country</td>
<td>Торг. страна</td>
</tr>
<tr>
<td>12</td>
<td>Total Customs value</td>
<td>Общая таможенная стоимость</td>
</tr>
<tr>
<td>13</td>
<td>C.A.P.</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Declarant/Representative</td>
<td>Декларант</td>
</tr>
<tr>
<td>14(1)</td>
<td>Declarant/Representative No.</td>
<td>№</td>
</tr>
<tr>
<td>14(2)</td>
<td>Registration No.</td>
<td>№</td>
</tr>
<tr>
<td>14(3)</td>
<td>Date</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Country of dispatch/export</td>
<td>Страна отправления</td>
</tr>
<tr>
<td>15a</td>
<td>Country of dispatch/export code</td>
<td>Код страны отправл.</td>
</tr>
<tr>
<td>16</td>
<td>Country of origin</td>
<td>Страна происхождения</td>
</tr>
<tr>
<td>17</td>
<td>Country of destination</td>
<td>Страна назначения</td>
</tr>
<tr>
<td>17a</td>
<td>Country of destination, code</td>
<td>Код страны назнач.</td>
</tr>
<tr>
<td>18</td>
<td>Identity and nationality of means of transport at departure</td>
<td>Транспортное средство при отправлении</td>
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<tr>
<td>18(1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Container</td>
<td>Конт.</td>
</tr>
<tr>
<td>20(1)</td>
<td>Delivery terms, INCOTERM code</td>
<td>Условия поставки</td>
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<tr>
<td>20(2)</td>
<td>Delivery terms, Place to be specified</td>
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</tr>
<tr>
<td>20(2)</td>
<td>Delivery terms, Place, coded to be specified</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Description</td>
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<td>20(3)</td>
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<tr>
<td>21</td>
<td>Identity and nationality of active means of transport crossing the border</td>
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<td>22</td>
<td>Currency and total amount invoiced</td>
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<td>Total amount invoiced</td>
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<td>23</td>
<td>Exchange rate</td>
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<tr>
<td>24</td>
<td>Nature of transaction</td>
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<tr>
<td>25</td>
<td>Mode of transport at the border</td>
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<tr>
<td>26</td>
<td>Inland mode of transport at departure</td>
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</tr>
<tr>
<td>27</td>
<td>Place of loading/unloading</td>
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</tr>
<tr>
<td>28</td>
<td>Financial and banking data</td>
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<td>29</td>
<td>Office of exit</td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Location of goods</td>
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</tr>
<tr>
<td>31</td>
<td>Package and description of goods</td>
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<td>31(1)</td>
<td>Marks and numbers-Container No.(s)-Number and kind</td>
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<td>31(2)</td>
<td>Date</td>
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<td>32</td>
<td>Item number</td>
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<td>Gross mass (kg)</td>
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<td>Preference</td>
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<td>37</td>
<td>Procedure</td>
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<td>Additional information/Documents produced</td>
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<td>Валюта и общая фактурная стоимость</td>
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<td>23</td>
<td>Курс валюты</td>
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<td>Характер сделки</td>
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<td>Вид транспорта на границе</td>
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<td>26</td>
<td>Вид транспорта внутри страны</td>
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<td>27</td>
<td>Место погрузки/разгрузки</td>
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<td>Финансовые и банковские сведения</td>
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<td>Таможня на границе</td>
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<td>Место досмотра товара</td>
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<td>Маркировка и количество – номера контейнеров описания товаров</td>
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<td>Вес брутто (кг)</td>
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<td>Преференции</td>
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<td>ПРОЦЕДУРА</td>
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<td>Вес нетто (кг)</td>
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<td>Квота</td>
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<td>Доп. единица измерения</td>
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<td>Фактурная стоимость</td>
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<tr>
<td>44</td>
<td>Дополнительная информация/ представляемые документы</td>
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<td>Таможенная стоимость</td>
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<tr>
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<td>Статистическая стоимость</td>
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<td>Исчисление таможенных пошлин и сборов</td>
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<td>Вид</td>
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<td>сумма</td>
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<td>47(5)</td>
<td>СП</td>
</tr>
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<td>Всего</td>
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<td>48</td>
<td>Отсрочка платежей</td>
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<tr>
<td>49</td>
<td>Таможенный склад</td>
</tr>
<tr>
<td>B</td>
<td>Accounting details</td>
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<td>---</td>
<td>-------------------</td>
</tr>
<tr>
<td>50</td>
<td>Principal, Name</td>
</tr>
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<td>Principal signature</td>
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<td>Represented by</td>
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<td>50(3)</td>
<td>Place</td>
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<tr>
<td>50(4)</td>
<td>Date</td>
</tr>
<tr>
<td>C</td>
<td>Office of departure</td>
</tr>
<tr>
<td>51</td>
<td>Intended offices of transit (and country) The Russian text literally means “Customs offices and countries of transit”</td>
</tr>
<tr>
<td>52</td>
<td>Guarantee, not valid for</td>
</tr>
<tr>
<td>52(1)</td>
<td>Guarantee, not valid for. Code</td>
</tr>
<tr>
<td>53</td>
<td>Office of destination (and country)</td>
</tr>
<tr>
<td>D</td>
<td>Control by office of departure</td>
</tr>
<tr>
<td>54</td>
<td>Place and date</td>
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</table>
Annex 3
List of Codes of Types of Documents Used for Data Entry in Box 44 of the Customs Goods Declaration

This list of codes contains all types of documents and necessary data used by Foreign Trade Activity (FTA) participants for customs registration of goods and transport vehicles as well as government agencies regulating FTAs and movements of goods and transport vehicles through the State border of the Russian Federation.

<table>
<thead>
<tr>
<th>Document type</th>
<th>Document Type Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>To be declared under No 1</td>
<td></td>
</tr>
<tr>
<td>License issued by the Ministry of industry and trade of the Russian Federation</td>
<td>1011</td>
</tr>
<tr>
<td>License issued by the Federal Agency on Military-Technical Cooperation of the Russian Federation</td>
<td>1012</td>
</tr>
<tr>
<td>License issued by the Federal Taxation Service of the Russian Federation</td>
<td>1013</td>
</tr>
<tr>
<td>License issued by the Federal Agency for Technical and Export Control of the Russian Federation</td>
<td>1014</td>
</tr>
<tr>
<td>Permit to export and/or import certain types of goods, issued by the Ministry of industry and trade of Russia under the supervision over export and/or import of certain types of goods</td>
<td>1015</td>
</tr>
<tr>
<td>Military permit</td>
<td>1016</td>
</tr>
<tr>
<td>Other documents, data declared under No 1</td>
<td>1999</td>
</tr>
<tr>
<td>To be declared under No 2</td>
<td></td>
</tr>
<tr>
<td>Bill of Lading</td>
<td>2011</td>
</tr>
<tr>
<td>Transport waybill for water transport</td>
<td>2012</td>
</tr>
<tr>
<td>Transport waybill for railway transport</td>
<td>2013</td>
</tr>
<tr>
<td>Other documents provided for in the rules of railway transportation</td>
<td>2014</td>
</tr>
<tr>
<td>Consignment Note under the Convention on the Contract for the International Carriage of Goods by Road (C M R) as of 19 May 1956</td>
<td>2015</td>
</tr>
<tr>
<td>Consignment Note for transportation of goods by road among CIS member states</td>
<td>2016</td>
</tr>
<tr>
<td>Air waybill</td>
<td>2017</td>
</tr>
<tr>
<td>The shipping documentation used for permanent type transportation of goods (acceptance certificates and similar documents)</td>
<td>2018</td>
</tr>
<tr>
<td>Post waybill</td>
<td>2019</td>
</tr>
<tr>
<td>General waybill for express delivery</td>
<td>2020</td>
</tr>
<tr>
<td>Individual waybill for express delivery</td>
<td>2021</td>
</tr>
<tr>
<td>Luggage receipt</td>
<td>2022</td>
</tr>
<tr>
<td>Transit declaration used for internal/international Customs transit</td>
<td>2023</td>
</tr>
<tr>
<td>TIR Carnet</td>
<td>2024</td>
</tr>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>A T A Carnet</td>
<td>2025</td>
</tr>
<tr>
<td>Other transit documents</td>
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</tr>
<tr>
<td>Other transport documents</td>
<td>2099</td>
</tr>
<tr>
<td>Other documents, data declared under No 2</td>
<td>2999</td>
</tr>
<tr>
<td>To be declared under No 3</td>
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</tr>
<tr>
<td>The documents expressing the substance of the unilateral deal</td>
<td>3012</td>
</tr>
<tr>
<td>To be declared under No 4</td>
<td></td>
</tr>
<tr>
<td>Contract concluded within a foreign trade transaction (including the Agreement on the opening of metal account with a bank located outside the territory of the Russian Federation, prior to export of metal bars for their respective placement at metal accounts)</td>
<td>4011</td>
</tr>
<tr>
<td>Documents introducing amendments and/or containing addenda to the document</td>
<td>4012</td>
</tr>
<tr>
<td>Description</td>
<td>Code</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>Invoice; pro forma invoice to the contract</td>
<td>4021</td>
</tr>
<tr>
<td>Other settlement or commercial documents (including cash vouchers for purchasing of goods within retail shops)</td>
<td>4022</td>
</tr>
<tr>
<td>Documents confirming the transfer of intellectual property rights (IPR) (copyright, license agreement, certificate for registration of IP object, agreement on utilizing of trademarks and other similar documents)</td>
<td>4031</td>
</tr>
<tr>
<td>Documents confirming the entry of goods indicated by a trademark into civil circulation use with the consent of right holder (dealer contract, distribution contract, written consent and etc.)</td>
<td>4032</td>
</tr>
<tr>
<td>Decision of a Customs body on the classification of vehicles in compliance with the code on foreign trade activities (TN FTA) of the Russian Federation delivered as separate components</td>
<td>5012</td>
</tr>
<tr>
<td>Preliminary decision on the classification of goods in compliance with the code on foreign trade activities (TN FTA) of the Russian Federation</td>
<td>5013</td>
</tr>
<tr>
<td>Explanatory letters of the Federal Customs Service on the classification of goods</td>
<td>5014</td>
</tr>
<tr>
<td>Other documents, data declared under No 5</td>
<td>5999</td>
</tr>
<tr>
<td>Documents confirming exercise of state control (supervision) over observation of obligatory requirements of state standards and technical regulations</td>
<td>6011</td>
</tr>
<tr>
<td>Certificate of conformity (approval of vehicle type)</td>
<td>6012</td>
</tr>
<tr>
<td>Letter of certification body (for inbound transportation of samples for certification)</td>
<td>6013</td>
</tr>
<tr>
<td>Certificate on the statement of measurement type</td>
<td>6014</td>
</tr>
<tr>
<td>Declaration of conformity</td>
<td>6015</td>
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<tr>
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Annex 4
Certificate of compliance of goods