European Maritime Single Window

This briefing is one in a series of ‘implementation appraisals’, produced by the European Parliamentary Research Service (EPRS), on the operation of existing EU legislation in practice. Each briefing focuses on a specific EU law which is likely to be amended or reviewed, as foreseen in the European Commission’s annual work programme. ‘Implementation appraisals’ aim at providing a succinct overview of publicly available material on the implementation, application and effectiveness to date of specific EU law, drawing on input from EU institutions and bodies, as well as external organisations. They are provided by the Ex-Post Evaluation Unit of EPRS, to assist parliamentary committees in their consideration of new European Commission proposals, once tabled.

SUMMARY

Reporting formalities for ships arriving in and/or departing from ports of the Member States are currently set out in Directive 2010/65/EU – the Reporting Formalities Directive (RFD). The directive aims to simplify and harmonise administrative procedures in maritime transport by introducing a single window for reporting formalities for ships.

The European Commission's ex-post evaluation of the functioning of the directive showed that, eight years after its adoption, several serious problems are hampering its harmonised application throughout the EU. The main problem drivers are (1) an unsatisfactory level of national and EU harmonisation, (2) the limited scope of the directive and (3) an inefficient use of the received data by national authorities of Member States.

The European Parliament has already underlined the need for simplification and harmonisation of administrative requirements for ships in maritime transport. The European Commission intends to address the problems identified to date by submitting a legislative proposal to revise the RFD in the second quarter of 2018.

1. Background

The issues of digitalisation of transport and logistics are related to two priorities of the Juncker Commission, namely Jobs, Growth and Investment and a Digital Single Market. According to the European Commission, digitalisation of transport can have a positive impact on various areas of transport, such as improvement of transport management, exchange of information and cost-efficiency. In maritime transport, the use of digital information can reduce the administrative burden on ships. It can also improve ‘the efficiency, attractiveness and environmental sustainability of the maritime transport and contribute to the integration of the sector to the digital multimodal...
logistic chain'.

Digitalisation in maritime transport is linked to a reporting obligation for ships calling at EU ports.

The use of digital information in European maritime transport and the associated reporting obligations for ships are established by provisions of Directive 2010/65/EU on reporting formalities for ships arriving in and/or departing from ports of the Member States (RFD).

Reporting Formalities Directive 2010/65/EU (RFD)

The purpose of the directive, as described in its Article 1, is to simplify and harmonise the administrative procedures applied to maritime transport (1) by standardising the electronic transmission of information and (2) by rationalising reporting formalities. The RFD applies to reporting formalities applicable to maritime transport for ships arriving in and ships departing from ports situated in EU Member States.

Member States must ensure that the reporting formalities at their ports are requested in a harmonised and coordinated manner within that Member State. The RFD requires that a master or duly authorised operator of the ship notifies a competent authority prior to arrival of a ship into port. According to the directive (Article 5), all Member States must accept 'the fulfilment of reporting formalities in electronic format via a single window no later than 1 June 2015'. This should lead to the creation of 'national single windows' in all Member States.

Pursuant to the text of the RFD, the single window is the place where ‘all information is reported once and made available to various competent authorities and the Member States.’ The relevant parts of the information received should be made available upon request to other Member States via the SafeSeaNet system – an EU vessel traffic monitoring and information system. The RFD requires Member States to accept standardised forms developed by the International Maritime Organization (IMO) in order to comply with the obligation of ships to provide information. From 1 June 2015 these forms cannot be submitted in paper form (Annex to RFD, part B).

The directive was transposed into the national laws of all Member States within the deadline (19 May 2012) set in its Article 14 (1).

In 2015, the European Commission also adopted and published National Single Window guidelines. This document provides non-binding guidelines regarding the establishment of a national single window for maritime transport in Member States. It also provides a basic outline of the main issues that need to be considered.
The Reporting Formalities Directive is directly linked to Directive 2002/59/EC establishing a Community vessel traffic monitoring and information system. This directive intends to establish a vessel traffic monitoring and information system in order to enhance safety and efficiency of maritime traffic (Article 1). It includes an obligation for a master of a ship or another competent person to notify various types of information to port authorities (Article 4). Among other things, this concerns information on the transport of dangerous goods. Annex III of the directive also includes additional information on electronic messages and the Union maritime information and exchange system, SafeSeaNet.

**Rules of international law**

Various norms of international public law deal with international maritime traffic and reporting formalities. For instance, the International Maritime Organization Convention on Facilitation of International Maritime Traffic (1965, FAL Convention) intends to prevent unnecessary delays in maritime traffic.

The FAL Convention has several reporting formalities for ships, including standardised forms and certificates which can be demanded by public authorities. The FAL Convention amendments, which entered into force 1 January 2018, encourage electronic exchange of information and use of e-certificates, which should be treated as equivalent to traditional paper certificates. In this regard, the IMO adopted guidelines for the use of electronic certificates (2016).

**Other points of interest**

Since the second quarter of 2016, the European Commission has been carrying out the REFIT ex-post evaluation of the RFD and of Directive 2002/59/EC on Vessel Traffic Monitoring and Information System. The main conclusions of this evaluation are noted below.

In their 2017 Valletta Declaration (Ministerial Declaration on priorities for the EU’s maritime transport policy until 2020), EU transport ministers underlined the shortcomings identified by the ex-post evaluation and invited the European Commission to propose an appropriate follow-up to this review (points 15 and 16). This declaration was endorsed by the Council in its 2017 conclusions on priorities for the EU’s maritime transport policy until 2020.

In order to help to develop specifications and services for the electronic data exchange and single windows for EU maritime transport, the European Commission established the expert group on maritime administrative simplification and electronic information services (eMS). The eMS, inter alia prepared a national single window data mapping report, which was later published by the European Commission. The expert group was supposed to assist the Commission with the implementation of the RFD and in the preparation of the EU e-maritime services. In order to take the digital agenda in transport further, the European Commission launched in 2015 the Digital Transport and Logistics Forum (DTLF).
The European Maritime Safety Agency (ESMA) is one of the EU’s agencies providing technical support to the European Commission as regards the development and implementation of EU legislation on maritime safety, pollution by ships and maritime security. ESMA also supports various projects launched by the Commission, for instance the European maritime single window environment and the National Single Window (NSW prototype). According to ESMA, five Member States (Bulgaria, Greece, Italy, Romania and Malta, with Denmark as observer) and Norway are participating in the latter project. The NSW prototype covers various information flows between data providers, the single window and public authorities.

2. EU-level reports, evaluations and studies

European Commission’s implementation reports and studies

The European Commission has adopted several documents on a European maritime single window and reporting formalities. In particular, after the adoption of the RFD and its implementation by Member States, the European Commission sketched out the EU Maritime Transport Strategy 2009-2018 (staff working document of September 2016). In this strategy, the Commission noted the steps taken towards facilitating and streamlining the exchange of information in maritime traffic through the adoption of the RFD.

However, the staff working document also mentioned that the shipping industry still urged towards a full EU harmonisation of reporting requirements and formalities through a harmonised electronic cargo manifest (e-manifest). This e-manifest was to be implemented through a European maritime single window, while the legislative framework was supposed to be evaluated in 2016. Also, the Commission’s communication on an eGovernment action plan 2016-2020 (April 2016) introduced an intention to establish a single window for reporting purposes in maritime transport.
and digitalise transport e-documents by 2018. The July 2013 communication on Blue Belt, a single transport area for shipping informed about the Commission’s intention to establish a Blue Belt area where vessels can operate freely within the EU internal market with a minimum of administrative burden, while enhancing policy areas as environment, customs or tax policies, with the RFD being the first step towards the development of an e-maritime initiative.


The ex-post evaluation focused on the implementation of two inter-linked directives – the RFD and the Vessel Traffic Monitoring Directive 2002/59/EC. According to the evaluation, the level of implementation of the RFD by Member States was not satisfactory. Simplification of reporting as well as rationalisation, full digitalisation and the single entry point were observed only in a limited number of evaluated ports.

One of the main obstacles to proper implementation was ‘the lack of timely and detailed binding technical specifications on the implementation of national single windows’. Other obstacles to a proper implementation included insufficient collaboration between Member States' authorities and conflicts about the application of certain provisions of national legislation, for example, data privacy laws.

Regarding the efficiency of the RFD, the evaluation noted that in many cases the RFD has increased the administrative burden for shipping companies, mainly due to the inefficiency of the existing reporting process and the need to adapt to the changes introduced by the RFD. In this context, the evaluation pointed to a lack of harmonisation between national single windows. Despite the lack of harmonisation, the evaluation considered the RFD to be relevant and coherent with the framework of the EU maritime transport policy. The evaluation underlined the European added value potential of the RFD.

The ex-post evaluation presented a list of policy recommendations, including the development of clear, specific and binding technical specifications for the development of national single windows; inclusion of additional functionalities in national single windows; inclusion of provisions monitoring the quality of shared data; development of common EU technical standards for all reporting formalities and publishing of common interpretation data along with clear instructions as to which data elements have to be shared.

European Commission inception impact assessment on reporting formalities for ships (European Maritime Single Window environment) (July 2017)

The European Commission’s inception impact assessment notes that the RFD’s objectives were not achieved, especially with regard to a reduction of administrative burden and an efficient use of collected information by national authorities. The inception impact assessment also argues that the shipping industry presently faces 22 different national reporting environments, each with its own standards and processes, and that only in 28 % of analysed ports the information properly re-used.

Against this backdrop, the Commission identifies three main problem drivers: (1) lack of national and EU level harmonisation; (2) a limited set of formalities included in the scope of the directive; and (3) inefficient use of available information. The inception impact assessment notes the lack of legally binding technical specifications leaving the implementation of national single windows to
individual Member States. It also explains that the limited scope of the RFD prevents harmonisation of all reporting needs. Furthermore, it argues that the re-use of data is hampered by an unclear or missing legal framework and points to various inaccuracies contained in the RFD. The document considers several legislative and non-legislative measures to tackle these problem drivers.\textsuperscript{16}

**European Commission report on the functioning of Directive 2010/65/EU on reporting formalities for ships arriving in and/or departing from ports of the Member States (June 2014)**

The European Commission report\textsuperscript{17} provided information on the state of implementation of the RFD in 2014. The RFD was supposed to be transposed by May 2012 and applicable by Member States by June 2015. The report reiterated that a single window (1) was a place where all information was reported once and made available to all competent Member States' authorities; (2) linked SafeSeaNet, e-Customs and other electronic systems; and (3) was interoperable and compatible with, and accessible to, the SafeSeaNet system.

The report noted that despite the transposition of the directive by all Member States there was still 'a considerable variety of (1) single window concepts, systems and environments, (2) approaches to create a single window and (3) the state of play of development within the Member States'.\textsuperscript{18} It pointed to different needs and challenges of Member States, such as budget impacts or timing. Furthermore, it noted a potential risk of the absence of interoperability standards and the lack of harmonisation of the information required at national level.

In this context, the Commission reported that it had established the expert group on maritime simplification and electronic information services supporting Member States to implement the RFD in a coordinated manner. It also pointed to supporting projects that should facilitate the RFD's implementation.\textsuperscript{19} The Commission underlined the need to enhance cooperation between various national authorities. Furthermore, Member States were asked to assess their systems and implement the specifications correctly.

**European Commission study on reporting obligation resulting from Directive 2010/65/EU (December 2013)**

The study\textsuperscript{20} was carried out before the deadline for Member States to accept reporting formalities via a single window (June 2015). The study noted that despite differences between maritime transport and inland water transport, the simplification introduced by the RFD can also be extended to inland water transport. In this regard, it also argued that information sets used in these modes of transport could be harmonised. As to progress towards harmonisation and coordination of reporting formalities, the study discovered that in comparison to the pre-RFD period 'a lot of progress has been made'.

Nonetheless, it noted a considerable variety of concepts, systems, environments and approaches to developing the national single window used by Member States. The study also argued that there was a need to avoid or simplify formalities for ships that have called at a port in a third non-EU country.\textsuperscript{21} It also provided several recommendations, for example to consider an extension of simplification to inland waterway transport, and to establish a follow-up mechanism after the implementation deadline of the directive to optimise the use of national single windows and to optimise the simplification within the EU.\textsuperscript{22}
3. European Parliament positions / MEPs' questions

Resolutions of the European Parliament

Parliament has on various occasions underlined the need for simplification of reporting formalities for ships arriving in or departing from ports of the EU Member States. For example, its resolution on strategic goals and recommendations for the EU’s maritime transport policy until 2018 (May 2010) welcomed the European Commission’s intentions to simplify these formalities in order to reduce and eliminate administrative procedures for European short sea shipping (point 13). Parliament also called for rapid introduction of an integrated information management system through the use and improvement of resources already available, especially SafeSeaNet (point 43).

In its resolution on the Roadmap to a Single European Transport Area (December 2011), Parliament called for the facilitation of formalities for ships operating between EU ports (point 30) and underlined the need to reduce bureaucratic hurdles for all forms of transport (point 23). In this regard, Parliament called for greater simplification and harmonisation of transport and logistics documents. In its resolution on Blue Growth: Enhancing sustainable growth in the EU’s marine, maritime transport and tourism sectors (July 2013), Parliament stressed the importance of sharing information and best practices between the different levels of public authorities through the creation of a specific EU platform (point 4).

Written questions

The topic of a European maritime single window and reporting formalities for ships only attracted a limited number of Members’ questions. The following questions present the most characteristic examples from the current parliamentary term:

**Written questions by Theresa Griffin (S&D, United Kingdom),** 23 April 2015 and 29 June 2015

The Member asked the Commission two questions on this particular topic. Firstly, the Member asked to specify the steps taken to implement fully Directive 2010/65/EU. As a follow-up to her original question, the Member noted that the answer provided by the Commission was not satisfactory. She reiterated her previous question and asked why ‘the harmonised and coordinated system’ required by the directive was not in place at the end of June 2015. She also asked when this system would be fully implemented.

**Answers given by Violeta Bulc on behalf of the European Commission,** 18 June 2015 and 7 September 2015

In the first answer, the Commissioner noted that in order to ensure a harmonised and coordinated implementation of the directive, the Commission established the Expert group on maritime administrative simplification and electronic information services. She mentioned that according to the 2015 survey, the majority of Member States indicated their readiness to implement the directive by June 2015 as required. The Commission saw no reason to question the assessment of the national authorities but promised to further monitor the implementation of the directive.

In the second answer, the Commissioner noted that the RFD required the Commission, together with Member States, to develop mechanisms for harmonisation and coordination of reporting formalities. The Commissioner reiterated that the Commission had already done that in 2011, by establishing the expert group on maritime administrative simplification, which subsequently
developed non-binding guidelines for the implementation of the National Single Windows. The Commission intended to monitor the application of the directive and carry out inspections and/or, if appropriate, infringement procedures. Furthermore, she referred to the Commission’s intention to assess the functioning of the directive in 2016.24

Written question of Tonino Picula (S&D, Croatia), 11 February 2015

The Member asked the Commission about the state of play of the implementation of Directive 2010/65/EU. He also inquired whether the Commission intended to extend the original deadlines for implementation of the directive for certain Member States.

Answer given by Violeta Bulc on behalf of the European Commission, 27 March 2015

The Commissioner reported that in 2014 the European Commission conducted a survey of the directive's implementation. She explained that, based on the results of this survey, 16 Member States were optimistic to have their National Single Window operational by June 2015. In general, Member States experienced challenges in harmonising reporting formalities managed by various authorities. The Commissioner also explained that the Commission was not empowered to extend the deadline for implementation of the directive.

4. Council

In its 2017 conclusions on priorities for the EU’s maritime transport policy until 2020, the Council underlined the shortcomings of the RFD, as found by the European Commission’s ex-post evaluation. The Council invited the Commission to propose a follow-up review of the RFD so that it would include the e-manifest through a harmonised European maritime single window (points 15 and 16).

Also in the 2014 conclusions on the Mid-Term Review of the EU's Maritime Transport Policy until 2018 and Outlook to 2020, the Council urged 'the Commission and the Member States to continue work on further digitalisation and simplification of administrative and operational procedures and the consequent reduction of administrative burden for the facilitation of maritime traffic' (point 20). Inter alia, the Council called for 'the development and deployment of national single windows in accordance with Directive 2010/65/EU, taking also into account the relevant IMO developments'.

5. European Economic and Social Committee

The European Economic and Social Committee reacted on several occasions to the need to simplify the formalities for the maritime transport. For instance, in its opinion on a blue belt for short sea shipping (2013) it noted that it was vital that before extending the simplified procedures to transport to non-EU ports 'quick and reliable reporting systems are in place' (point 4.8).

6. European Commission stakeholder consultations

Between 25 October 2017 and 18 January 2018, the European Commission carried out a public consultation on reporting formalities for ships (European Maritime Single Window environment). While the questionnaire and the responses have been published, the Commission has not yet published the assessment of the responses received (April 2018).
Furthermore, between 7 October 2016 and 20 January 2017, the Commission carried out a public consultation on the fitness of EU legislation for maritime transport safety and efficiency. One section of the public consultation (section 6) covered the RFD directive. Again, although the responses received have been published, a report in which the Commission would assess those responses has not yet been published (April 2018).

However, in October 2017, the European Commission presented a synopsis report on the public consultation on the REFIT evaluation of the RFD and the Vessel Traffic Monitoring Directive 2002/59/EC (VTMD), which referred to the abovementioned open public consultation. The public consultation consisted of one open public consultation and two targeted consultations on RFD and on VTMD.

The large majority of the stakeholders in the targeted consultation linked to the RFD underlined the relevance of the RFD objectives. The targeted consultation also showed that paper and pdf forms are still required, usually in combination with digital forms. Furthermore, the majority of stakeholders noted that it is usually necessary to enter data multiple times per port call and not only once per call.

The targeted consultation also showed that the 'reporting once' principle is only applicable in some EU ports, while stakeholders argued that harmonisation of formalities at national level has not been achieved in most Member States. The biggest problem hampering the realisation of the benefits of the RFD was identified as the lack of recommended and/or binding technical specifications.

7. Stakeholders

Between 28 July and 25 August 2017, stakeholders were able to provide feedback to the European Commission’s inception impact assessment on reporting formalities for ships arriving in and/or departing from ports of the Member States. During this period the Commission received ten feedbacks from different stakeholders, including NGOs (one), business associations (five), public authority (two) and citizens (two).

The stakeholders generally supported simplification of administrative procedures; strengthening and improvement of harmonisation of different reporting formats; standardising the format of reporting; better cooperation between national authorities, and clarification of the scope of the European single window environment. Some of the stakeholders called for the repeal of the RFD and its replacement by an entirely new legislative measure.

Apart from the positions of the stakeholders presented on the European Commission’s website, it is possible to find various stakeholders’ opinions adopted or presented regarding the RFD and the European maritime single window. For example, the European Community Shipowners’ Associations (ECSA) in its position paper on the Reporting Formalities Directive and the European maritime single window environment (December 2017), stressed the urgent need to find a solution to the administrative burden for ships.

It noted the increase of administrative burden and workload as a consequence of missed objectives of the RFD. It called for a thorough revision of the RFD based on harmonisation of data formats and EU/national requirements, simplification, EU re-use of information, single points of submission, full harmonisation of interface and conveyance and cargo data.
Similarly, the European Sea Ports Organisation (ESPO), in its *position paper on the revision of the Reporting Formalities Directive* (March 2018), noted that the RFD did not achieve its aim of reducing the administrative burden.

Among various issues, it highlighted a need to simplify administrative procedures in European ports; it also called for better cooperation at national and EU level and harmonisation of used formats. ESPO already expressed in its 2014 *position paper on the implementation of the RFD* its concerns on ‘a general confusion and lack of harmonisation in the implementation of the directive’ and called for full harmonisation and standardisation of all elements included in the directive.

The World Shipping Council’s (WSC) *assessment* (2018) also noted problems with the RFD’s implementation. It indicated three critical problems with the RFD: (1) no effort to harmonise national requirements in reporting formalities; (2) the compromised character of the concept of national single window(s); and (3) the development of independent national single windows and approach to reporting by individual Member States. The WSC recommended ‘the EC’s priority for the review should be data harmonization via the establishment of a single data set for all reporting formalities covered by the Directive that is accepted in every EU port’.

In March 2018, several stakeholders, including the European Association for Forwarding, Transport, Logistics and Customs Services (CLECAT), ESPO and the International Port Community System Association (IPCSA) adopted a *joint industry position on the revision of Directive 2010/65*. In this joint position the stakeholders noted that the main problem limiting the functionality of the directive is a lack of harmonisation and interoperability of the existing systems (not the lack of systems). Furthermore, the stakeholders noted that the goals of the RFD could be achieved by improving harmonised data exchange between authorities within a Member State and between Member States.

**OTHER SOURCES OF REFERENCES**

Remáč, M; *Electronic documents for freight transport*, EPRS, European Parliament, April 2018

Ratcliff, C; *Maritime transport: traffic and safety rules*, Fact sheet, European Parliament, February 2018

Ratcliff, C; *Maritime transport: strategic approach*, Fact sheet, European Parliament, February 2018

Katsarova, I; Pape, M; *The liberalisation of EU port services*, EPRS, European Parliament, March 2017
ENDNOTES

3 Ships within the scope of Directive 2002/59/EC, which operate between ports situated in the customs territory of the EU but which do not come from, call at or are headed towards a port situated outside this territory, are exempt from the application of the obligation to provide information (Article 9, RFD).
4 Member States could accept the information required in a paper format until 1 June 2015.
5 This system is established pursuant to Article 22a of Directive 2002/59/EC.
6 The only exception was Croatia. It transposed the directive by 1 July 2013, the date of its accession to the EU.
7 Annex I of Directive 2002/59/EC includes a list of information that must be notified 24 hours prior to calling at the port.
8 See European Commission, Decision setting-up an expert group on Digital Transport and Logistics (C(2015) 2259 final).
9 The ESMA was established by Regulation (EC) No 1406/2002 establishing a European Maritime Safety Agency.
10 The legislative framework was evaluated in late 2017, see chapter below.
11 This ex-post evaluation was outsourced by the European Commission and carried out by PwC and Panteia in the course of 2017.
12 Ex-post evaluation, p. 4.
13 All these conclusions can be found in the study, pp. 73-85.
14 The studies recommendations can be found in the study, pp. 86-87.
15 Inception impact assessment, p. 2.
16 ibid., pp. 3-4.
18 ibid., pp. 3-4.
19 These projects included, for example, the IMP demonstrator project or the AnNa project.
20 This study was outsourced by the European Commission and carried out by MVV decon and Tractebel in the course of 2013.
21 All these conclusions can be found in the study, pp. 185-187.
22 ibid., pp. 188-191.
23 As it was explained above.
24 The evaluation of the directive was carried out in 2017.
Table: Directive 2010/65/EU on Reporting formalities for ships arriving in and/or departing from ports of the Member States

<table>
<thead>
<tr>
<th><strong>EP committee responsible at the time of adoption of the EU legislation:</strong></th>
<th>The Committee on Transport and Tourism (TRAN)</th>
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<tr>
<td><strong>Date of adoption of original legislation in plenary:</strong></td>
<td>6 July 2010</td>
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<tr>
<td><strong>Deadlines for transposition of legislation:</strong></td>
<td>By 19 May 2012, Member States had to transpose the RFD into their legal systems (Article 14 RFD). However, they had to accept the fulfilment of reporting formalities in electronic format and their transmission via a single window by 1 June 2015 (Article 5 (1) RFD).</td>
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<td><strong>Planned dates for review:</strong></td>
<td>By 19 November 2013, the European Commission was obliged to report to Parliament and the Council on the functioning of this directive, including a progress towards harmonisation and coordination of reporting formalities, as well as available data concerning ship traffic/movement within the Union, and/or calling at third country ports or in free zones (Article 15). The Commission fulfilled this obligation through its report COM(2014) 320 final.</td>
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<td><strong>Timeline for new amending legislative proposal:</strong></td>
<td>The legislative initiative aiming to revise Directive 2010/65/EU on reporting formalities for ships arriving in and/or departing from ports of the Member States was announced in Annex 2 of the Commission work programme 2018. The European Commission intends to submit its proposal in the second quarter of 2018.</td>
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