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**COMMISSION STAFF WORKING DOCUMENT**

**Monitoring and evaluation framework for the Customs Control Equipment Instrument  
(2021 – 2027)**

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## **1. Introduction to the Customs Control Equipment Instrument**

Regulation (EU) 2021/1077 of 24 June 2021<sup>1</sup> established, as part of the Integrated Border Management Fund, the Customs Control Equipment Instrument (hereinafter CCEI or Instrument).

With a view to the long-term aim of harmonised application of customs controls by the Member States, the Instrument has the general objective to support the Customs Union and customs authorities to protect the financial and economic interests of the Union and its Member States, to ensure security and safety within the Union and to protect it from illegal trade while facilitating legitimate business activity.

The Instrument is designed to address existing imbalances in terms of availability of adequate and modern customs control equipment in the Member States, taking into account the specificities of different border crossing points and customs laboratories, in particular, their geographical location, size, traffic characteristics, risk analyses, and threats they are exposed to.

## **2. Purpose of the Monitoring and Evaluation Framework**

In line with article 12(2) of the CCEI regulation, the Commission has developed a tailored monitoring and evaluation framework (MEF) which purpose is to ensure the effective assessment of the Instrument's progress towards the achievement of its objectives.

The purpose of this Staff Working Document is to illustrate the CCEI monitoring and evaluation framework (MEF), by describing the framework's intervention logic, listing and defining the complete set of indicators for monitoring and evaluation, and laying down the MFF data management strategy implemented.

Annual progress reports are issued to monitor the performance of the Instrument. These reports provide information on the implementation of the policy priorities laid down in the multi-annual work programme, supported with indicator data. They should include a summary of the lessons learnt and, where appropriate, of the obstacles encountered, and shortfalls discovered in the context of the activities of the Instrument that took place in the year in question. Those annual progress reports will be communicated to the European Parliament and the Council and will be used as input for this monitoring and evaluation framework.

In addition to the annual reports, the MEF includes, but is not limited to, an interim and final evaluation to be carried out by the Commission. An interim evaluation of the Instrument shall be carried out once there is sufficient information available about its implementation, but no later than four years after the start of that implementation. In its interim evaluation, the Commission shall assess the performance of the Instrument, including aspects such as its effectiveness, efficiency, coherence and relevance, as well as the synergies within the Instrument and its Union added value. At the end of the implementation of the Instrument, but no later than four years after the end of the period specified in Article 1, a final evaluation of the Instrument shall be carried out by the Commission.

The Commission shall communicate the conclusions of the evaluations (accompanied by its observations and lessons learnt) to the European Parliament, the Council, the

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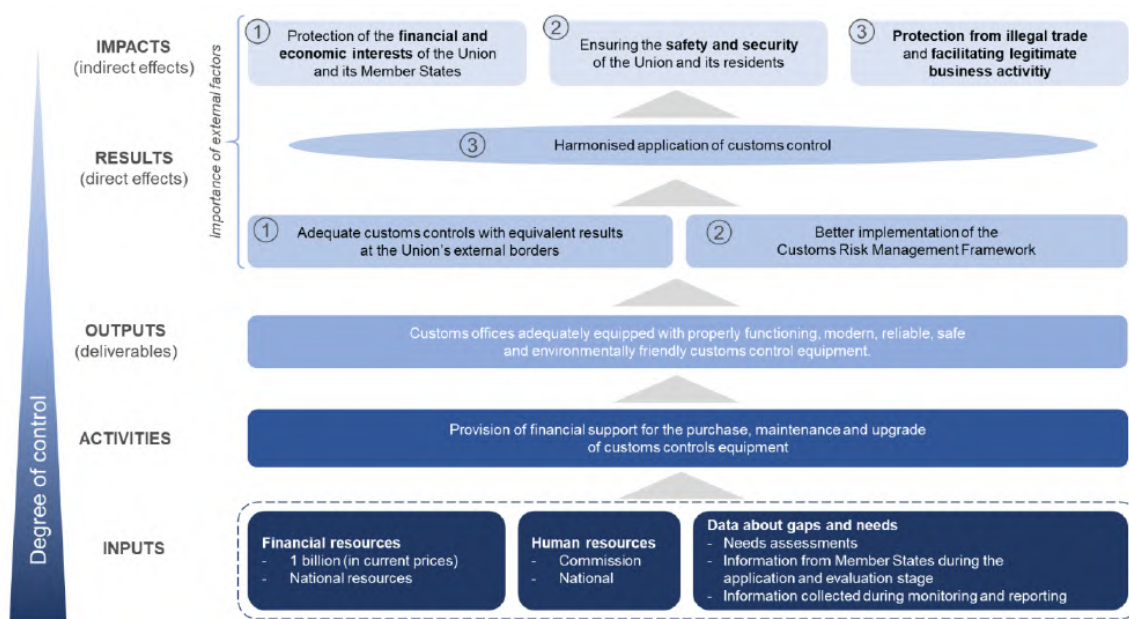
<sup>1</sup> [EUR-Lex - 32021R1077 - EN - EUR-Lex \(europa.eu\), OJ L 234, 2.7.2021, p. 1–17](#)

European Economic and Social Committee and the Committee of the Regions, and use the results obtained in the preparation of the multi-annual work programmes.

The Commission started work on the use of e-Grants' Dynamic Forms tool for a greater ease of use and synergies in the collection of data from Member States.

### 3. Intervention logic

The monitoring and evaluation framework is underpinned by the following intervention logic. This chapter explains its different levels and the assumptions that need to hold throughout for the CCEI.



#### 3.1. Problems and needs

There are shortcomings in the performance of customs controls at the EU borders that, nowadays, hinder the optimal functioning of adequate and equivalent customs controls. These shortcomings can be traced to **imbalances between the national resources available and specific needs at Member State level** (e.g. relating to the quantity and type of external borders which are more numerous in some Member States than others) but also to the absence of commonly agreed standards and metrics regarding the use of customs control equipment.

As such, there is a **need to support the purchase, maintenance and upgrade of customs control equipment at EU level** to ensure that customs controls at the Union's external borders are adequate and contribute to equivalent results<sup>2</sup> irrespective of pre-existing disparities in resources. Such support will indirectly contribute to preventing the diversion of flows of goods towards the weakest points in the customs controls chain and will enhance Member States' ability to react to challenges generated by the constantly evolving global business models and supply chains, such as the surge of e-commerce, digitalisation and resilience to cyber-attacks.

In sum, there is need to:

<sup>2</sup> Article 3(2) Regulation (EU) 1077/2021, OJ L 234, 2.7.2021, p. 1–17”

- a) **Address disparities in the performance of customs controls** carried out by Member States, as a result of differences in geographic features, capacities and resources available;
- b) **Support the purchase, maintenance and upgrade of customs control equipment available in over 2 000 customs offices** that are present in the Union to prevent diversion of flows of goods towards weakest points.

### 3.2. Inputs



#### **Financial resources**

The financial envelope for the implementation of the CCEI amounts to EUR 1 006 407 000.

The budget will be allocated through multiannual work programmes, each covering no more than three years and the Instrument budget will in principle co-finance up to 80% of the cost of eligible equipment (with the remainder sourced from national budgets).

#### **Human resources**

The Instrument also relies on human inputs, with European Commission and national resources allocated to its management, in addition to funds and allocations.

#### **Data about gaps and needs**

In line with the provisions set out in Article 11(4) of Regulation (EU) 1077/2021, regular needs assessments will ensure an efficient allocation of CCEI funds responding to the needs of Member States. An initial exercise has been carried out where Member States provided information about existing equipment and future needs for their border crossing points and laboratories. This initial assessment was a first step towards giving the Commission an initial understanding on border crossing points in terms of customs control equipment needs and capabilities. While it revealed performance gaps, it did not represent a final assessment of Member States' equipment needs.

Further input is sought from Member States (complementary to the needs assessment) in the form of a questionnaire, at the application stage, to decide on the allocation of funds. Member States have to reply to the questionnaire and demonstrate that the equipment requested under the CCEI is justified, in terms of relevance, efficiency and adequacy and will add value to their capacity to perform controls and deal with concrete threats. Member States have to commit to results, making a direct link between specific Customs Union Performance (CUP) indicators and the investment in customs controls equipment.

The Commission highlighted the need for the combination of a pragmatic short term-resolution focusing on improving the adequacy of customs controls by identifying performance gaps and a more ambitious medium/long-term approach focusing on enhancing equivalent results of customs controls based on improved data.

The first needs assessment has been carried out under the Customs programme and before the adoption of the CCEI Regulation. Subsequent needs assessment shall be carried out under the Customs programme<sup>3</sup> at least every three years and will include:

- i. A common categorisation of border crossing points (BCPs), to be understood as different customs offices and/or customs laboratories performing customs controls;
- ii. A comprehensive description of available customs control equipment;
- iii. A common list of customs control equipment that should be available, by reference to the category of border crossing point;
- iv. An estimate of financial needs.

The Customs programme, which runs alongside the CCEI, provides support to the CCEI by directly supporting specific CCEI actions, namely the assessment of needs or the dedicated expert pools, and by indirectly supporting the complementary activities required for the optimal use of the equipment, such as training.

If need be, input from the Commission expert groups: CCEI Coordination Group<sup>4</sup> and the Customs Laboratories Expert Network (CLEN)<sup>5</sup>, might also complement the needs assessments and the design of customs equipment policy relating to the general requirements, the procurement and the use of the equipment. Moreover, information collected from Member States during the Instrument's annual monitoring and the interim and final evaluations, mainly on the use and the capacities of the equipment itself, will support the policy programming.

### **Assumptions**

In their call for funding, Member States will have to provide supportive information on the key assumptions listed below. The information provided will then be part of the evaluation criterion towards the grant assignment phase.

Key assumptions that underlie the intervention logic to move from inputs to activities and beyond are the following:

- *The final agreed budget is enough to purchase necessary equipment over the next seven years to fill in performance gaps and to make a meaningful difference to the controls implemented.*
- *The Commission and Member States commit the necessary competent human resources to the CCEI.*
- *National customs administrations will have adequate resources and expertise to fulfil their obligations in terms of co-financing and actively partake in the process of implementing the CCEI.*
- *Resources and inputs are used in a way that is aligned with the long-term vision of improving equivalent results of customs controls across the Union's external borders, in close collaboration with Member States.*

<sup>3</sup> Regulation (EU) 2021/444, OJ L 234, 2.7.2021, p. 1–17

<sup>4</sup> [Register of Commission expert groups and other similar entities \(CCEI coordination group E03786\)](#)

<sup>5</sup> [Register of Commission expert groups and other similar entities \(CLEN E03054\)](#)

- *The Customs programme provides adequate support for relevant CCEI activities, such as cooperation actions for the assessment of needs and cooperation to produce the deliverables mentioned under the long-term vision of the CCEI.*
- *The needs assessments are based on a continuously improved methodology with input from experts.*
- *The needs assessment should include a minimum number of steps to ensure the collection of the required information and allow for sufficiently comparable data.*
- *The appropriate needs have been identified in accordance with the customs offices' specificities, geographical location, traffic, volume threats and risks.*
- *The Member States provide the necessary information to inform decision making.*
- *A transparent allocation of funds is possible based on the Award Criteria (in particular relevance and added value), which are logical and coherent with the objectives of the Instrument.*
- *Funding will focus on specifically identified priorities further to the assessment of needs.*

### 3.3. Activities

The CCEI will provide financial support for the transparent purchase, maintenance and upgrade by Member States' customs administrations of state-of-the-art equipment for border crossing points and customs laboratories, including innovative detection technology equipment, from an indicative list of 17 possible customs control equipment categories that has one or more of the following purposes:

1. Non-intrusive inspection;
2. Indication of hidden objects on humans;
3. Radiation detection and nuclide identification;
4. Analysis of samples in laboratories;
5. Sampling and field analysis of samples;
6. Handheld research.

#### **Assumptions**

Key assumptions that underline the intervention logic and that need to hold true to move from activities to outputs and beyond are the following:

- *Enough resources, both human and financial, are invested in the activities.*
- *Staff with the requisite skills and capacities are involved in the activities.*
- *It is possible to identify equipment that is reliable, environmentally friendly and state-of-the-art, and is able to meet the identified needs.*
- *Learning built into delivery and iterative improvements are possible.*

### 3.4. Outputs (specific deliverables of the intervention)

The purchase, maintenance and upgrade of state-of-the-art customs control equipment for border crossing points and customs laboratories (Activity) will lead to improvements in



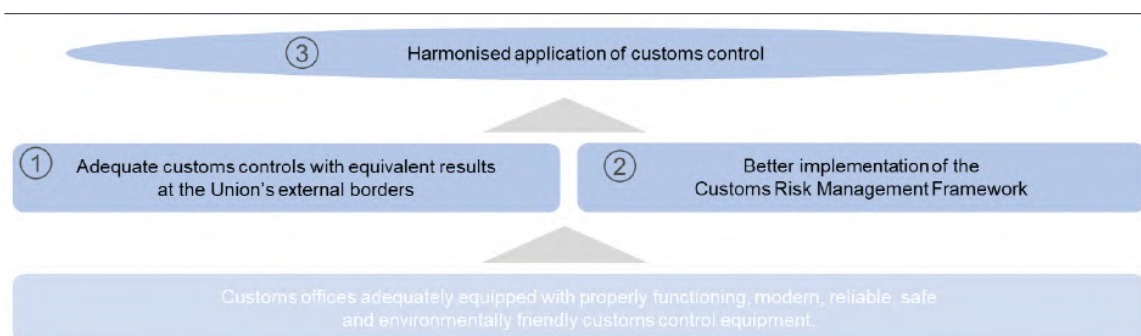
capacity and quality for controls, filling in of identified gaps and replacement of equipment where necessary to maintain performance. Overall, the Activity will lead to border crossing points and customs laboratories that are adequately equipped with properly functioning, modern, reliable, safe and environmentally friendly customs control equipment (Output) in line with local specificities, geographical location, traffic, volume of threats and risks.

### Assumptions

Key assumptions that underlie the intervention logic and that need to hold true to move from outputs to specific objectives/results and beyond are the following:

- *The equipment is primarily used for its intended purpose (equipment for controls required by other border management authorities that has purposes additional to customs controls - such as the control of persons may be occasional but not systematic).*
- *Member States commit to achieving pre-defined results through the use of the newly purchased, maintenance and upgrade of equipment in line with the Customs Union Performance indicators.*
- *External factors support the progress between outputs and results, for example the equipment purchased is used for risk management in the proper way (i.e. customs authorities have the capacity to maintain the equipment purchased and customs officers in Member States are trained and skilled to properly use the equipment concerned through funds made available by the Customs programme).*
- *Member States report to the Commission on the use of purchased equipment and the related results in line with requirements<sup>6</sup>, and on an annual basis.*

### 3.5. Results (direct effects of the intervention)



Based on the above outputs, it is expected that the implementation of the provisions related to CCEI will contribute to the following medium-term results in line with the Instrument's specific objective.

Filling identified gaps and contributing to adequately equipped customs offices through the purchase of equipment in line with identified needs (Output) is expected to lead to better and faster controls at the Union's external borders. It would enable, for example, controls that were previously not possible or were based on outdated equipment, in turn allowing for goods to be checked more quickly and efficiently at external borders, without jeopardising safety and security. The required regular monitoring of the performance, use and capabilities of the equipment concerned will also generate data that

<sup>6</sup> Art 12 (4)(b) Regulation (EU) 1077/2021, OJ L 234, 2.7.2021, p. 1–17



will allow for comparisons regarding the results of controls in different categories of border crossing points within a Member State and/or between different Member States. Data on the effectiveness of different types of equipment when used in specific contexts should help better targeting new acquisitions, and continuous improvements over time. These outputs are expected to ensure that the intervention will contribute to adequate customs controls with equivalent results at the Union’s external borders (Result 1). ‘Adequate’ customs controls are defined as controls that are targeted (i.e. based on risk analysis) and that are performed in an efficient manner, without gaps in relation to the necessary equipment, staff and skills needed to perform these in an appropriate manner and at the right frequency. Moreover, customs controls produce equivalent results when these are based on commonly agreed EU standards and frameworks providing the same level of protection against risks and threats across all border crossing points of the EU.

Data generated as a result of monitoring of the implementation of the Instrument (for example, reporting on results of controls), as well as other relevant information from Member States such as specific challenges and threats to a particular border crossing point, will also reinforce the knowledge base for the effective implementation of the Customs Risk Management Framework (Result 2) laid down in Article 46 of the Union Customs Code (UCC). In turn, state-of-the-art equipment combined with this improved knowledge base can decrease customs processing times allowing for a better balance between the necessary control functions and trade facilitation. Again, in this way, the CCEI contributes to the better implementation of the Customs Risk Management Framework.

Ensuring that all categories of border crossing points and laboratories in all Member States have the equipment they need to address all the threats and risks they are facing, will create the conditions for a harmonised application of customs control (Result 3).

### Assumptions

Key assumptions that underlie the intervention logic and that need to hold true to move from results to impacts are the following:

- *The Customs Risk Management Framework is in place and remains functional.*
- *CCEI’s activities must complement other Commission policies and programmes. For example, the cooperation and IT systems supported through the Customs programme and other complementary funds - such as the Union Anti-fraud programme - are effectively contributing to the same impacts and thereby enabling and supporting the achievements of the CCEI (and vice-versa).*

### 3.6. Impacts



Based on the above, the following impacts (reflected in the Instrument’s general objectives) are pursued over the long term.

The contribution to adequate customs controls with equivalent results in the Union’s external borders (Result 1) and contribution towards the better implementation of the

Customs Risk Management Framework (Result 2) allow for a more harmonised application of customs controls by the Member States (Result 3). In turn, this dedicated Union Instrument, by contributing to addressing current imbalances, is expected to support a uniform application of customs rules at the EU border and thereby generate the following long-term impacts:

- i. Contribute to the protection of the economic and financial interests of the Union and its Member States (Impact 1). The CCEI will demonstrate synergies with the EU Anti-fraud programme, which specifically pursues the objective of protecting the financial interests of the Union. The CCEI supports the proper functioning of the Customs Union and, in doing so, contributes to the protection of the financial and economic interests of the Union and its Member States;
- ii. Contribute to the security and safety of the Union and its residents (Impact 2), thereby also contributing to consumer protection, for example through supporting an improved ability to detect and seize illicit drugs or perform controls on samples to identify precursor chemicals essential to the manufacture of illicit drugs. Modernised and adequate customs controls equipment is an essential element to ensure security and safety and to protect the Union from unfair and illegal trade;
- iii. At the same time, these controls governing the movement of goods across the external borders should not impair but rather facilitate legitimate trade. Modern equipment and regular reporting against its performance is an essential element to strike the right balance between trade facilitation and customs control, and ultimately contributes to the protection of the EU from illegal trade while facilitating legitimate business activities, so that businesses and citizens can benefit from the full potential of the internal market and world trade (Impact 3).

### 3.7. Coherence with other EU policies and Instruments

The CCEI is part of the Integrated Border Management Fund, which also comprises the Instrument for financial support for border management and visa. The two Instruments are conceived as complementary but with distinct scopes. It will be possible to use financially supported equipment of which the primary aim is customs control for other purposes such as border controls and security as defined in the Schengen *acquis*<sup>7</sup>. Conversely, equipment primarily serving border management may be used for customs controls, however not systematically. These complementarities will foster inter-agency cooperation, which is a component of European integrated border management<sup>8</sup>.

The CCEI will work in close complementarity with the Customs programme for cooperation in the field of customs, which will support related cooperation actions essential for the success of the CCEI, notably regarding cooperation actions for the

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<sup>7</sup> Article 2(10) of Regulation (EU) 2016/399 of the European Parliament and of the Council of 9 March 2016 on a Union Code on the rules governing the movement of persons across borders (Schengen Borders Code).

<sup>8</sup> Article 3(1)(e) of Regulation (EU) 2019/1896 of the European Parliament and of the Council of 13 November 2019 on the European Border and Coast Guard and repealing Regulations (EU) No 1052/2013 and (EU) 2016/1624.

assessment of customs equipment needs, or training relating to the equipment funded. The programmes share the same general objectives.

Coherent and coordinated EU policies are important in order to ensure an efficient and streamlined organisation. The policy coordination between the CCEI and other EU programmes has been designed around two strategic goals:

- **Efficient spending of EU funds:** make sure that the EU programmes are complementary and offer synergies in the way the funds are spent, with a particular focus on avoiding double funding (programme funds financing the same costs);
- **Policy coordination:** Ultimately, the programmes pursue important policies behind the Instruments and should be complementary to each other.

Specifically, the following other programmes are closely related and complementary to the CCEI:

1. The Border Management and Visa Instrument (BMVI),
2. The Union Anti-Fraud Programme,
3. Horizon Europe programme,
4. The Recovery & Resilience Facility (RRF) and the Technical Support Instrument (TSI).

In concrete terms, this means that Commission services cooperate closely in order to set-up and maintain adequate coordination mechanisms. Besides the obvious objective of avoiding double funding, co-sharing of equipment among border authorities, the interoperability of the equipment with customs and other border control systems and networks and the combined innovative research initiatives are important strategic goals of this cooperation, together with the possible sharing of the information to optimise the Traditional Resources Control Policy.

#### **4. Indicators for monitoring and evaluation**

Articles 12 and 13 of Regulation (EU) 2021/1077 lay down provisions on monitoring/reporting and evaluation of the Instrument towards the achievement of the general and specific objectives set out in Article 3. Article 12 refers to a list of indicators to be used for this purpose, which are included in Annex II of the Regulation. These indicators, while suitable for the purpose of annual monitoring of performance, are not sufficient in order to enable a comprehensive monitoring and evaluation of the Instruments activities and results in achieving its general and specific objectives. For this reason, a delegated act<sup>9</sup> supplements Regulation (EU) 2021/1077 with provisions on the establishment of a monitoring and evaluation framework by introducing eight additional indicators. The additional indicators are not expected to add any administrative burden since five of them are based on the reporting and evaluation requirements established in Articles 11, 12 and 13 of Regulation (EU) 2021/1077.

The indicators are grouped by their relevance for output, results and impact.

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<sup>9</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

#### 4.1. List of indicators

##### 4.1.1. *Output indicators*

Name	<b>OP 1.1: Number of pieces of equipment per Member States Border Crossing Points (BCP) and Customs Laboratories that were purchased, maintained or upgraded through CCEI funds</b>
Source	Delegated Act, reporting requirements established by Art.12(4)a of CCEI's Regulation <sup>10</sup>
Type of indicator	Quantitative
Definition	This indicator measures the magnitude of the CCEI investments and change in availability in Member States BCPs and Customs Laboratories of modern, safe, reliable and environmentally friendly customs control equipment funded through the CCEI.
Unit of measurement	Number (and percentage increase)
Disaggregation	Results to be disaggregated by: Type of equipment, type of activity (purchase, maintenance and upgrade), Member State and Customs laboratory/BCPs (land, sea, air, postal, rail).
Source, method and responsibility	Member States' applications for funding and Annual Reporting by Member States. Data collected, analysed, reported to the MEF and complemented by written input by the Commission.
Frequency of measurement	Measured on a yearly basis.
Other issues	Not applicable
Baseline	0 (zero) in year 1
Target	The target will correspond to a value increase following the used funds.

Name	<b>OP 1.2: Use of equipment concerned per Member States' Border Crossing Points and customs laboratories that were purchased, maintained or upgraded through customs control equipment Instrument funds</b>
Source	Delegated Act, reporting requirements established by Art.12(4)b of CCEI's Regulation <sup>11</sup>
Type of indicator	Quantitative
Definition	This indicator measures the extent to which the equipment purchased, maintained or upgraded through CCEI is used. To do this, it incorporates data on the frequency of using the equipment.
Unit of measurement	Occupancy rate (percentage)
Disaggregation	Results to be disaggregated by: Type of equipment
Source,	Member States' applications for funding and Annual Reporting by Member States

<sup>10 11</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

method and responsibility	(statistics on the use of equipment concerned). Data collected, analysed, reported to the MEF and complemented by written input by the Commission.
Frequency of measurement	Measured on a yearly basis.
Other issues	Not applicable
Baseline	0 (zero)
Target	Value reflecting the optimal use of the equipment-enhanced efficiency of controls performed with the most appropriate equipment (occupancy rate). Target: 80% occupancy rate (equipment put in use 80%/year in time). Note: To be reviewed based on generating and analysing information on the level of usage of the equipment and creation of benchmarks for satisfactory usage levels by type of equipment.

Name	<b>OP 1.3: Proportion of national administrations who report positively on the overall customs control equipment Instrument's support and the efficiency of the implementation process</b>
Source	Delegated Act, reporting requirements not covered by CCEI's Regulation <sup>12</sup>
Type of indicator	Qualitative
Definition	Measures on one side, Member States' satisfaction with the guidance and programme management support provided and, on the other, whether the procedural and management tasks are carried out in a timely manner by the CCEI project team and the national customs administrations. It incorporates data from survey addressed to the Member States as well as financial and programme management data on the CCEI implementation process (whether payments were processed according to the agreed timeline or whether the equipment concerned was purchased and put into use on time) and, where applicable, reasons for delays.
Unit of measurement	Percentage of positive replies, complemented by descriptions of the reasons for delays in implementation (where applicable).
Disaggregation	Not applicable
Source, method and responsibility	Survey addressed to national customs administrations and financial and programme management data. The Commission will send out the surveys, gather and analyse the responses, report the required data to the MEF and provide input for the annual progress reports. Survey recipients will be asked to express their level of satisfaction with predefined survey fields. An open question will allow respondents to elaborate on the support and guidance provided under the programme where respondents disagree or strongly disagree with the statements proposed. Deadlines can be monitored and reported with data stemming from the financial and programme management Commission tools.
Frequency of measurement	Measured on a yearly basis.
Other issues	Not applicable
Baseline	0 (zero)
Target	<u>Medium-term target (2023): 70% satisfaction with the programme management support and guidance provided.</u>

<sup>12</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

	<p><u>Medium-term target (2023)</u>: 80% adherence to deadlines/timelines set out in the relevant grant agreements (in recognition of typical roll-out challenges with the new funds).</p> <p><u>Long-term target (2027)</u>: 70% satisfaction with the programme management support and guidance provided.</p> <p><u>Long-term target (2027)</u>: 100% adherence to deadlines/timelines set out in the relevant grant agreements.</p>
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#### 4.1.2. Results indicators

Name	<b>RES 1.1: Specific results achieved by Member States through use of CCEI funded equipment</b>
Source	Delegated Act, reporting requirements established by Art.12(4) of CCEI's Regulation <sup>13</sup>
Type of indicator	Quantitative
Definition	Measures the extent to which Members States achieve their commitments in relation to the expected results (defined by Member states at application stage) from the use of the equipment concerned.
Unit of measurement	Percentage of achieved commitments.
Disaggregation	<p>The performance targets will be related to the policy building blocks of the CCEI, aligned with its general objective. A baseline and a target are contextual and depend on the relevant risks and threats identified at the BCP's and customs laboratories (indicative non-exhaustive list).</p> <ol style="list-style-type: none"> <li>i. <u>Protection of the financial interests of the Union</u> <ul style="list-style-type: none"> <li>• Value of tobacco and related products (excise goods)</li> <li>• Value of alcohol products (excise goods)</li> <li>• Value of energy products (excise goods)</li> <li>• Amount of unpaid duties detected</li> </ul> </li> <li>ii. <u>Ensuring safety and security</u> <ul style="list-style-type: none"> <li>• Number (#) of drugs and precursors, pharmaceutical seizures/samples analysis</li> <li>• # weapons, explosive materials, precursors, thereof and dual use seizures/sample analysis</li> <li>• # radiation/nuclear materials seizures/samples analysis</li> <li>• # detained cash (cash control) seizures/samples analysis</li> </ul> </li> <li>iii. <u>Protecting the EU from unfair and illegal trade, including protection of environment</u> <ul style="list-style-type: none"> <li>• # import denials</li> <li>• # counterfeit goods seizures/sample analysis</li> <li>• # prohibited/restricted items seizures/sample analysis</li> <li>• # non-compliant and unsafe products infringements</li> <li>• # waste seizures/sample analysis</li> <li>• # Hazardous/toxic materials seizures/samples analysis</li> <li>• # cultural goods and treasures infringements</li> <li>• # Endangered species prohibited under CITES infringements</li> </ul> </li> <li>iv. <u>Trade facilitation (customs efficiency)</u> <ul style="list-style-type: none"> <li>• # controls</li> </ul> </li> </ol>

<sup>13</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

	<ul style="list-style-type: none"> <li>• % traffic volumes</li> <li>• % hit rates</li> <li>• Average processing time</li> </ul>
Source, method and responsibility	Member States' application for funding and Annual Reporting by Member States. Data collected, analysed, reported to the MEF and complemented by written input by the Commission.
Frequency of measurement	Measured on a yearly basis.
Other issues	At the application stage, the customs administrations will set/commit to individual performance targets, demonstrating the benefit of the requested equipment (commitment under trade facilitation block are mandatory requirements – other performance indicators are context specific to individual BCPs/laboratories).
Baseline	TBD
Target	<p><u>Medium-term target (2024)</u>: achievement of commitments by 60%.</p> <p>Specific target to every individual indicator: 10% increase across all categories.</p> <p><u>Long-term target (2027)</u>: achievement of commitments by 80%.</p> <p><i>At this stage, targets are indicative to a large extent. They will be adjusted based on indicator values after the implementation of the first Work Programme.</i></p>

Name	<b>RES 1.2: Proportion of national administrations who agree that the Customs Control Equipment Instrument has contributed to adequate customs controls with equivalent results</b>
Source	Delegated Act, reporting requirements not covered by CCEI's Regulation <sup>14</sup>
Type of indicator	Qualitative
Definition	<p>The indicator provides direct feedback from national administrations on their perception of the role CCEI plays in supporting adequate customs controls with equivalent results at national level. As such, this indicator will draw on qualitative information supported by a top-level satisfaction rate.</p> <p>The indicator will provide information on national administrations' views on:</p> <ol style="list-style-type: none"> <li>The added value of the equipment for customs checks in the relevant fields;</li> <li>Improved accuracy / efficiency of sample controls performed in customs laboratories / customs controls at BCPs;</li> <li>Confidence in their / their teams' ability to use the equipment concerned;</li> <li>Whether the equipment supported the mitigation of the identified threat / risks at the BCP;</li> <li>To what extent has the CCEI contributed to an improvement of detection of irregularities at the BCP;</li> <li>Whether the equipment concerned met their expectations and if not, why not (e.g. the equipment did not respond to identified needs or the appropriate needs were not identified, or unexpected challenges were encountered).</li> </ol> <p>The top-level satisfaction rate would be computed based on an average of the answers of the different sub-questions.</p> <p>The summary assessment will be complemented by a context analysis in relation to external factors, which can influence the results, yet remain outside the direct influence of the CCEI.</p>
Unit of	Percentage of positive replies complemented with reasons behind positive/negative

<sup>14</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022



measurement	feedback
Disaggregation	<p>Results to be disaggregated by (indicative non-exhaustive list):</p> <ul style="list-style-type: none"> <li>• Tariff classification</li> <li>• Narcotics and their precursors</li> <li>• Tobacco and cigarettes</li> <li>• Fuels and energy products</li> <li>• Firearms and ammunition</li> <li>• Product safety compliance</li> <li>• Infringements of CITES</li> <li>• Cash controls</li> <li>• IPR</li> <li>• Radiation/nuclear</li> <li>• Movements of cultural goods, hazardous materials, waste</li> <li>• Other fields</li> <li>• CCEI contribution to hit rates (ratio) of physical controls</li> <li>• Increased capacity and capability of BCPs and laboratories to perform controls</li> <li>• Reduced processing times at BCPs and laboratories to perform controls</li> <li>• Lower ratio of time to perform controls vs number of controls performed</li> <li>• CCEI contribution to mitigation of identified risks at BCPs</li> </ul>
Source, method and responsibility	<p>Survey addressed to national customs administrations. The Commission will gather the completed survey to analyse responses, report the required data to the MEF and provide written input for the annual progress reports.</p> <p>With regard to provision of contextual information, survey recipients will be asked to express their level of agreement with predefined survey fields on external factors that have potentially influence the result. One or two open questions will allow respondents to elaborate on their views where they feel that these are not reflected in the list proposed.</p>
Frequency of measurement	Measured on a yearly basis.
Other issues	Not applicable
Baseline	0 (zero)
Target	<p><u>Medium-term target (2023)</u>: 60% positive assessment across survey fields.</p> <p><u>Long-term target (2027)</u>: 80% positive assessment across survey fields.</p> <p><i>At this stage, targets are indicative to a large extent. They will be adjusted based on indicator values after the implementation of the first Work Programme.</i></p>

Name	<b>RES 1.3: Degree of adherence of BCPs and customs laboratories equipment to the common list of equipment's that should be available per laboratory/type of border crossing point, contributing to a harmonised application of customs control</b>
Source	Regulation – Annex II, reporting requirements established by Art.12(4) of CCEI's Regulation
Type of indicator	Quantitative
Definition	<p>Degree of adherence of BCPs and customs laboratories equipment to the common list of equipment's that should be available per laboratory/type of border crossing point in order to respond to risk/threats applicable to them, thus contributing to harmonised application of customs control.</p> <p><i>NB: It covers the indicators in the Annex II of the proposed Regulation establishing the CCEI. This indicator is used for reporting in Programme Statements (PS), Programme and Performance fiches (P&amp;P), Programme Performance Overviews (PPO) and Annual Activity Reports (AAR).</i></p>

Unit of measurement	Percentage of equipment adhering to the common list of equipment
Disaggregation	Results to be disaggregated by: <ul style="list-style-type: none"> <li>i. Type of border crossing point;</li> <li>ii. Type of equipment.</li> </ul>
Source, method and responsibility	Member States' application for funding and Annual Reporting by Member States. Data collected, analysed and reported to the MEF by the Commission who will also provide written input for annual progress reports.
Frequency of measurement	Measured on a yearly basis.
Other issues	The standards referred to will be agreed upon by the Commission and national experts operating through the Customs programme following the launch of the CCEI and the knowledge/data generated through it. The feasibility to report on this indicator is contingent on the existence of the common list of equipment from CCEI Project Group/expert groups, the knowledge/data on the equipment availability as well as the possibility to categorize the typology of BCPs per transport mode (air, sea, land/rail and post) and customs laboratories.
Baseline	Value to be determined upon development of common list of equipment and first measurement.
Target	<p><u>Mid-term target (2024)</u>: Average of 60% adherence to common list of equipment</p> <p><u>Long-term target (2027)</u>: Average of 80% adherence to common list of equipment</p> <p><i>At this stage, targets are indicative to a large extent. They will be adjusted based on indicator values after the implementation of the first Work Programme and development of the long-term approach with a focus on the "equivalence" component of the CCEI.</i></p>

Name	<b>RES 1.4: Coverage of risks and threats present at Border Crossing Points/laboratories contributing to a harmonised application of customs controls</b>
Source	Delegated Act, reporting requirements established by Art.11(4)c of CCEI's Regulation <sup>15</sup>
Type of indicator	Mixed
Definition	<p>This indicator is designed to gather data that suggest that the CCEI has contributed to harmonised application of customs controls across the different categories by ensuring the tolls and conditions to address the threats and risks present at the BCPs and laboratories with the available equipment.</p> <p>It comprises of quantitative data gathered at the application and reporting stages where Members States will specify the risks and threats present at each BCP/laboratories, linking it with the equipment to be funded. Quantitative data from application and reporting stages, depending on the equipment.</p>
Unit of measurement	Percentage of risks and threats covered by equipment at BCPs/laboratories
Disaggregation	<p>Results to be disaggregated by:</p> <ul style="list-style-type: none"> <li>i. Category of border crossing point;</li> <li>ii. Customs laboratory.</li> </ul> <p>Risks and threats to be distinguished by financial and non-financial risks.</p>

<sup>15</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

Source, method and responsibility	Member States' application for funding and Reporting by Member States. Data collected, analysed and reported to the MEF by the Commission who will also provide written input for annual progress reports.
Frequency of measurement	Measured on a yearly basis.
Other issues	Feasibility to provide this information / data quality. Risks are volatile and can change over time.
Baseline	<i>Value to be determined upon identification of risks at application stage.</i>
Target	<u>Mid-term target (2024)</u> : 70% optimal coverage of threats and risks present at the BCPs/customs laboratories. <u>Long-term target (2027)</u> : 90% optimal coverage of threats and risks present at BCPs/custom laboratories. <i>At this stage, targets are indicative to a large extent. They will be adjusted based on indicator values after the implementation of the first Work Programme.</i>

Name	<b>RES 2: Proportion of National Administrations who report positively on the contribution of the Customs Control Equipment Instrument to the better implementation of the Customs Risk Measurement Framework (CRMF)</b>
Source	Delegated Act, reporting requirements not covered by CCEI's Regulation <sup>16</sup>
Type of indicator	Mixed
Definition	This indicator is designed to collect data on the ways in which the CCEI contributes to the better implementation of the CRMF. It would be complemented by an explanation on ways in which data gathered through the preparation, implementation and monitoring processes has been used to inform risk management profiling of specific Member States, using concrete examples. This information can be complemented by other sources for analysis purposes. Reasons behind the positive/negative feedback of national administration would be provided, if applicable.
Unit of measurement	Percentage of positive replies complemented with reasons behind positive/negative feedback.
Disaggregation	Not applicable
Source, method and responsibility	Survey addressed to the national customs administrations (strategic and Risk Management unit). The Commission will gather the completed survey and analyse the responses, report the required data to the MEF and provide written input for the annual progress reports. Survey recipients will be asked to express their level of agreement with predefined survey fields on: <ul style="list-style-type: none"> <li>i. Ways in which the purchased equipment informs risk management profiling and provide feedback on the results of controls of selected shipments identified as high risks;</li> <li>ii. Reasons behind positive/negative feedback.</li> </ul>
Frequency of measurement	Measured on a yearly basis (see also "other issues").
Other issues	Feasibility to report on the indicator on a yearly basis is dependent on consistent

<sup>16</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

	cooperation of Customs Risk Management and Customs Controls departments of specific Member States, which may take time to establish. In the meantime, reporting may be less regular.
Baseline	0 (zero)
Target	<u>Medium-term target (2024)</u> : 60% positive assessment. <u>Long-term target (2027)</u> : 80% positive assessment. <i>At this stage, targets are indicative to a large extent. They will be adjusted based on indicator values after the implementation of the first Work Programme.</i>

#### 4.1.3. Impact indicator and sub-indicators

Name	<b>IMP 1 sub-1: Contribution of the CCEI to the protection of the financial and economic interests of the Union</b>
Source	Delegated Act, reporting requirements established by Art.12(1) of CCEI's Regulation <sup>17</sup>
Type of indicator	Mixed
Definition	This indicator is designed to demonstrate that the CCEI has contributed to the protection of the financial and economic interests of the Union by providing a total aggregated amount of the seizures related to financial and economic interests. It comprises qualitative and quantitative data collected and analysed from result indicators (RES 1.1, 1.2 & 1.4) providing evidence for the specific contributions of the equipment purchased, maintained or upgraded through the CCEI to this objective, complemented by a narrative.
Unit of measurement	Quantitative data and narrative
Disaggregation	Indicators to be disaggregated by: <ol style="list-style-type: none"> <li>i. Results relevant to the protection of the financial and economic interest of the Union (value of products, amount of unpaid duties);</li> <li>ii. National authorities perceptions of the contribution of the CCEI to areas relevant to the objective;</li> <li>iii. Coverage of risks and threats relevant to the objective.</li> </ol>
Source, method and responsibility	This indicator will provide: <ol style="list-style-type: none"> <li>i. Data from indicator RES 1.1 on the results achieved through the CCEI relevant to the protection of the financial interests of the Union: <ul style="list-style-type: none"> <li>• Value of tobacco and related products, alcohol and energy products;</li> <li>• Amount of unpaid duties detected.</li> </ul> </li> <li>ii. Data from indicator RES 1.2 on National authorities' perceptions of the contribution of the CCEI to areas relevant to the protection of the financial and economic interests (indicative non-exhaustive list): <ul style="list-style-type: none"> <li>• tariff classification;</li> <li>• tobacco and cigarettes;</li> <li>• fuels and energy products;</li> </ul> </li> <li>iii. Data from indicator RES 1.4. on the relevant risks and threats covered by funded equipment.</li> </ol>

<sup>17</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

	Data collected, analysed, reported to the MEF and complemented by written input for annual progress reports by the Commission.
Frequency of measurement	Measured as part of the CCEI interim and final evaluations.
Other issues	The mid-term and final evaluations of CCEI, as well as data collected via customs contact groups and forums, shall complement this indicator by providing additional evidence demonstrating the contribution of the CCEI to this objective.
Baseline	0 (zero)
Target	An upward trend in the results achieved, positive perception of the CCEI contribution, and coverage of risks and threats in the relevant fields would indicate a contribution to the relevant objectives protection of financial and economic interests.

Name	<b>IMP 1 sub-2: Contribution of the CCEI to ensuring the safety and security of the Union and its citizens</b>
Source	Delegated Act, reporting requirements established by Art.12(1) of CCEI's Regulation <sup>18</sup>
Type of indicator	Mixed
Definition	This indicator is designed to collect evidence that the CCEI has contributed to ensuring safety and security of the Union. It comprises of qualitative and quantitative data collated and analysed from result indicators (RES 1.1, 1.2 & 1.4) providing evidence of the specific contribution of the equipment purchased, maintained or upgraded through the CCEI to this objective, complemented by a narrative.
Unit of measurement	Quantitative data and narrative
Disaggregation	Indicators to be disaggregated by: Results relevant to ensuring the safety and security of the Union and its citizens (by type of result), national authorities' perceptions the CCEI's contribution to areas relevant to the objective and coverage of risks and threats relevant to the objective.
Source, method and responsibility	This indicator will provide: <ul style="list-style-type: none"> <li>i. Data from indicator RES 1.1 on the results achieved through the CCEI relevant to ensuring the safety and security of the Union and its citizens: <ul style="list-style-type: none"> <li>• Number of (#) drugs and precursors, pharmaceutical seizures</li> <li>• # weapons, explosive material, precursors thereof and dual use</li> <li>• # Radiation/nuclear materials seizures</li> <li>• # Cash controls seizures</li> </ul> </li> <li>ii. Data from indicator RES 1.2 on National authorities' perceptions of the contribution of the CCEI to areas relevant to ensuring safety and security (indicative non-exhaustive list): <ul style="list-style-type: none"> <li>• Narcotics and their precursors</li> <li>• Firearms and ammunition</li> <li>• Product safety compliance</li> <li>• infringements of CITES</li> <li>• Radiation/nuclear</li> <li>• Exports of hazardous materials</li> <li>• Cash controls</li> </ul> </li> <li>iii. Data from indicator RES 1.4 on the relevant risks and threats covered by</li> </ul>

<sup>18</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

	funded equipment. Data collected, analysed, reported to the MEF and complemented by written input for annual progress reports by the Commission.
Frequency of measurement	Measured as part of the CCEI interim and final evaluations.
Other issues	The mid-term and final evaluations of CCEI, as well as data collected via customs contact groups and forums, shall complement this indicator by providing additional evidence demonstrating the contribution of the CCEI to this objective.
Baseline	0 (zero)
Target	An upward trend in the results achieved, positive perception of the CCEI contribution, and coverage of risks and threats in the relevant fields would indicate a contribution to enhancing safety and security.

Name	<b>IMP 1 sub-3: Contribution of the CCEI to the protection of the Union from illegal trade and the facilitation of legitimate business activity</b>
Source	Delegated Act, reporting requirements established by Art.12(1) of CCEI's Regulation <sup>19</sup>
Type of indicator	Mixed
Definition	This indicator is designed to collect evidence that the CCEI has contributed to the protection of the EU from illegal trade while facilitating legitimate trade. It comprises of qualitative and quantitative data collated and analysed from result indicators (RES 1.1, 1.2 & 1.4) providing evidence of the specific contribution of the equipment purchased, maintained or upgraded through the CCEI to this objective, complemented by a narrative.
Unit of measurement	Quantitative data and narrative
Disaggregation	Indicators to be disaggregated by: <ol style="list-style-type: none"> <li>i. Results relevant to ensuring the safety and security of the Union and its citizens (by type of result);</li> <li>ii. National authorities' perceptions of the contribution of the CCEI to areas relevant to the objective;</li> <li>iii. Coverage of risks and threats relevant to the objective.</li> </ol>
Source, method and responsibility	This indicator will provide: <ol style="list-style-type: none"> <li>i. Data from indicator RES 1.1 on the results achieved through the CCEI relevant to protecting the Union from unfair and illegal trade (including protection of the environment): <ul style="list-style-type: none"> <li>• # Counterfeit goods seizures</li> <li>• # Prohibited/restricted items seizures</li> <li>• #Non-compliant and unsafe products infringements</li> <li>• # Waste seizures</li> <li>• # Hazardous/toxic materials seizures</li> <li>• # Cultural goods and treasures infringements</li> <li>• # Endangered species prohibited under CITES infringements</li> </ul> </li> </ol> <p>As well as relevant to trade facilitation (customs efficiency):</p> <ul style="list-style-type: none"> <li>• # Controls</li> <li>• % hit rates</li> </ul>

<sup>19</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022

	<ul style="list-style-type: none"> <li>• Average processing times/goods release</li> </ul> <p>ii. Data from indicator RES 1.2 on National authorities' perceptions of the contribution of the CCEI to areas relevant to preventing illegal trade and facilitating legitimate trade (indicative non-exhaustive list):</p> <ul style="list-style-type: none"> <li>• Infringements of CITES</li> <li>• IPR</li> <li>• Radiation/nuclear</li> <li>• Movements of cultural goods</li> <li>• Processing times/goods release</li> </ul> <p>iii. Data from indicator RES 1.4 on the relevant risks and threats covered by funded equipment.</p> <p>Data collected, analysed, reported to the MEF and complemented by written input for annual progress reports by the Commission.</p>
Frequency of measurement	Measured as part of the CCEI interim and final evaluations.
Other issues	The mid-term and final evaluations of CCEI, as well as data collected via customs contact groups and forums, shall complement this indicator by providing additional evidence demonstrating the CCEI's contribution to this objective.
Baseline	0 (zero)
Target	An upward trend in the results achieved, positive perception of the CCEI contribution, and coverage of risks and threats in the relevant fields would indicate a contribution to facilitating legitimate trade.

## 5. MFF Data Management

The European Commission has developed a single gateway for all exchanges, the Funding & Tenders Portal (e-Grants). This deep integration of IT tools and services will provide a uniform approach and common business process for both actors from the public and private sector. This paperless flow enables digital sealing and signature of all formal documents related to funding. The e-Grants portal serves as single, common document repository that will allow for full traceability of documents and exchanges between the Commission and Member States.

The Commission has also developed, in line with the principles set out in the 2016 Communication on Data, Information and Knowledge Management at the European Commission<sup>20</sup> and the 2021-2027 Multiannual Financial Framework – Data governance and principles for MFF data management<sup>21</sup>, a database for all the CCEI data, within the Commission services' secure Data Lab environment. This allows for a rapid data processing for the development of reports. It started to work on the use of the e-Grants Dynamic Forms tool for a greater ease of use and synergies in the collection of data from Member States. The CCEI Data model is integrated in the monitoring and evaluation framework itself and in all stages of the CCEI programme implementation. The data collection tool used at the applications/submission of proposals stage is then adapted as a reporting and monitoring tool ensuring consistency in approach and the data collected at the different programming stages.

<sup>20</sup> C(2016)6626.

<sup>21</sup> Commission Delegated Regulation (EU) 2022/1528, OJ L 238, 15.9.2022, p. 1–3, adopted on 4 July 2022.