



UNECE

UN/CEFACT – UNECE Single Window Training

Tuesday, 16 January 2018

Beirut, Lebanon

Dr. Lance THOMPSON

UN/CEFACT Support Unit, UNECE

lance.thompson@unece.org

+41 22 917 12 98



UNECE

International Standards for Single Window



UNECE - UN/CEFACT SW work

- UN Recommendation 33
 - Single Window Recommendation
 - http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec33/rec33_trd352e.pdf
- UN Recommendation 34
 - Data Simplification and Standardization for International Trade
 - http://www.unece.org/fileadmin/DAM/trade/Publications/ECE-TRADE-400E_Rec34.pdf
- UN Recommendation 35
 - Establishing a legal framework for international trade Single Window
 - http://www.unece.org/fileadmin/DAM/trade/Publications/ECE-TRADE-401E_Rec35.pdf
- UN Recommendation 36
 - Single Window Interoperability
 - http://www.unece.org/fileadmin/DAM/cefact/cf_plenary/2017_Plenary/ECE_TRADE_C_CEFAC2017_6E_Rec36-SWI.pdf
- Trade Facilitation Implementation Guide
 - <http://tfig.unece.org/contents/itinerary-02-start.html>

Single Window definition

Recommendation 33 defines a Single Window as:

- a facility that allows **parties** involved in trade and transport to lodge **standardized information and documents** with a **single entry point** to fulfill all import, export, and transit-related **regulatory requirements**.
- If information is electronic, then **individual data elements should only be submitted once**.

Parties involved in trade and transport

Standardized information and documents

Single entry point

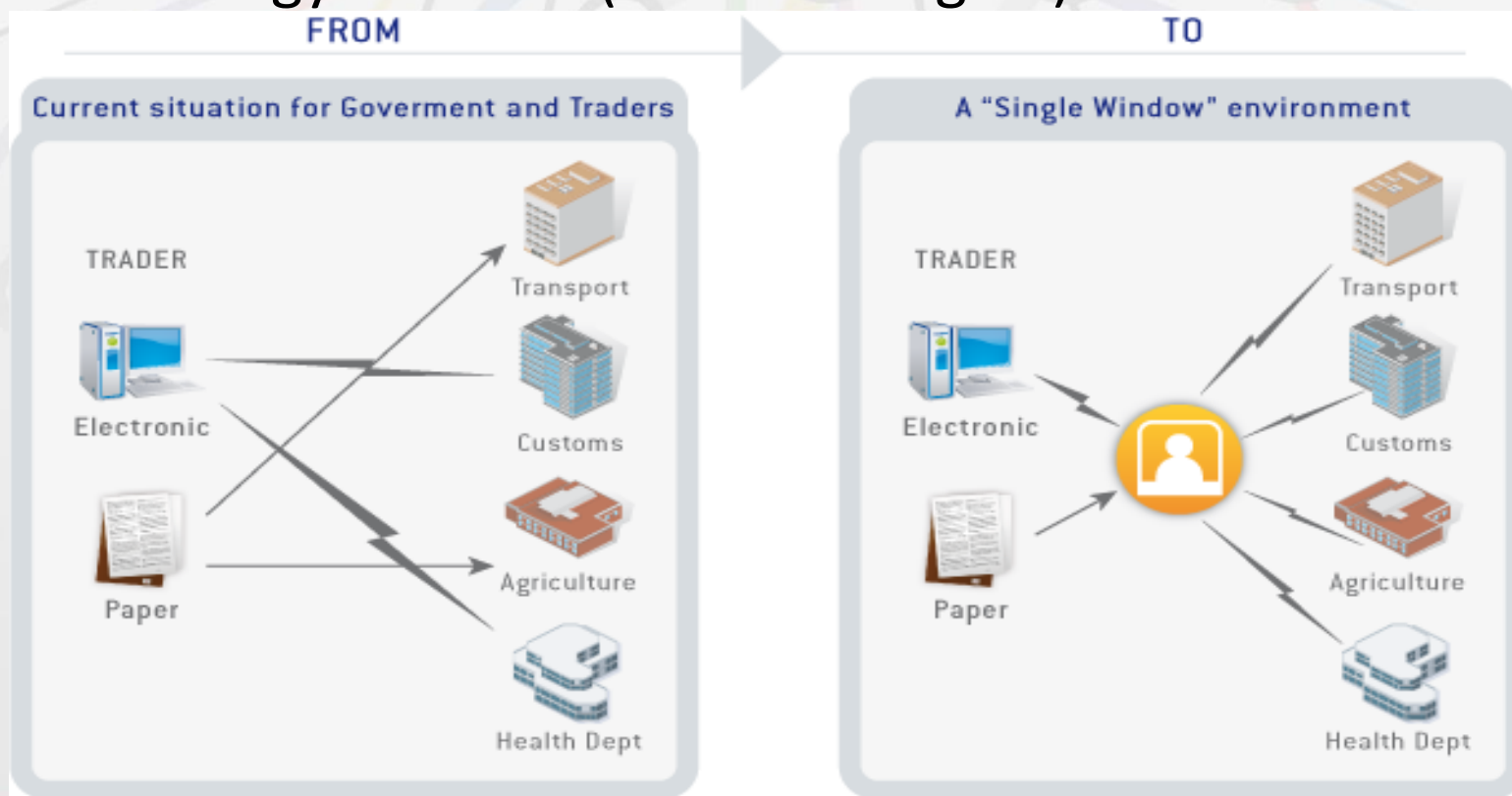
Regulatory requirements

Single submission of individual data elements

Source: "Recommendation and Guidelines on establishing a Single Window to enhance the efficient exchange of information between trade and government," Recommendation 33, United Nations, 2005
http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec33/rec33_trd352e.pdf

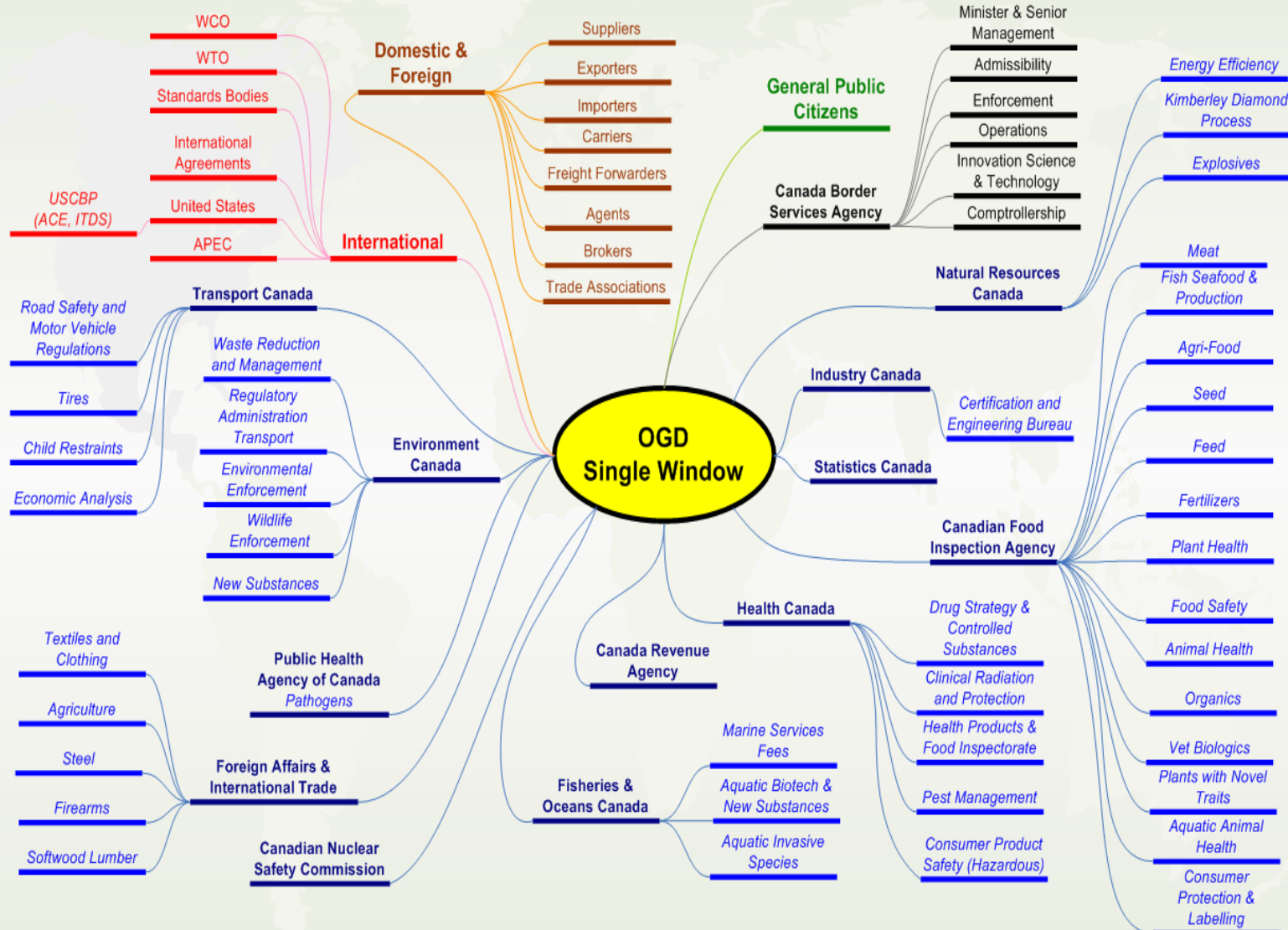
Single Window definition

- Above all, Single Window is meant to be a TRADE FACILITATION mechanism
- A platform for collaboration between stakeholders
- Technology as a tool (**NOT** as the goal)



Parties involved in trade and transport

June 4th, 2009



Standardized information and documents

UN/CEFACT Recommendation 1 –

UN Layout Key

- Specifically endorsed in the WCO Revised Kyoto Convention and the WTO TF Agreement
- Provides a common basis for the layout of trade-related documents and the information they contain
 - Basis for the EU Single Administrative Document (SAD)
 - Endorsed by key international organizations
- All data elements in UNLK aligned documents have electronic equivalents in UN/EDIFACT, ebXML, ...
- Recommendation text is currently being revised and updated

UN TDED – Trade Data Element Directory

UNeDocs		EUROPEAN COMMUNITY EXPORT CUSTOMS DECLARATION		A. OFFICE OF ORIGIN REPORT	
1 Country of origin		1 DECLARATION		3 Party	
2 Country		2 Person responsible for bonded shipment		4 Issuing office	
3 Declaration registration No.		10 Country of origin		11 Trade	
4 Identity and category of items of origin of declaration		11 Country of origin		12 Country of origin	
5 Identity and category of items of origin of the goods		12 Country of origin		13 Country of origin	
6 Packages and contents of goods		13 Country of origin		14 Country of origin	
7 Additional information documents produced and submitted		14 Country of origin		15 Country of origin	
8 Calculation of duties		15 Country of origin		16 Country of origin	
9 Accounting details		16 Country of origin		17 Country of origin	
10 Signature of originator		17 Country of origin		18 Country of origin	
11 Signature of office of origin		18 Country of origin		19 Country of origin	
12 Signature of office of origin		19 Country of origin		20 Country of origin	
13 Signature of office of origin		20 Country of origin		21 Country of origin	
14 Signature of office of origin		21 Country of origin		22 Country of origin	
15 Signature of office of origin		22 Country of origin		23 Country of origin	
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20 Signature of office of origin		27 Country of origin		28 Country of origin	
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86 Signature of office of origin		93 Country of origin		94 Country of origin	
87 Signature of office of origin		94 Country of origin		95 Country of origin	
88 Signature of office of origin		95 Country of origin		96 Country of origin	
89 Signature of office of origin		96 Country of origin		97 Country of origin	
90 Signature of office of origin		97 Country of origin		98 Country of origin	
91 Signature of office of origin		98 Country of origin		99 Country of origin	
92 Signature of office of origin		99 Country of origin		100 Country of origin	

© United Nations Electronic Trade Documents UNeDocs

Standardize Information and documents

Harmonized regulatory declarations:

- Different CBRAs prescribe data requirements, which are often overlapping. Under a Single Window, a harmonized set of data requirements may be prescribed so that for a trade transaction or a transport movement the concerned actors are not obligated to submit the same data repeatedly to different agencies.

CBRA =
Cross Border Regulatory Agency

Source: "WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide" WCO, 2011.
http://www.wcoomd.org/en/topics/facilitation/activities-and-programmes/single-window/~/_media/252D1BF37A814526BF5BFFEAB7F13692.ashx

Single entry point



Single Entry Point

Sharing of information amongst CBRAs:

- This is a logical consequence of harmonized regulatory declarations. This sharing enables the shared or separated application of controls by the respective CBRAs.

Harmonized CBRA response:

- The response to a declaration/ report by a trade or transport actor is an important part of the business process. A CBRA response indicating release of goods signifies the fulfilment of a regulatory service.
- Each CBRA may process its responses independently but the single window must provide a unique harmonized response to the trader.

CBRA =
Cross Border Regulatory Agency

Source: "WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide" WCO, 2011. Op cit.

Regulatory requirements

Table 8. Costs of trade in cotton yarn from India to Bangladesh

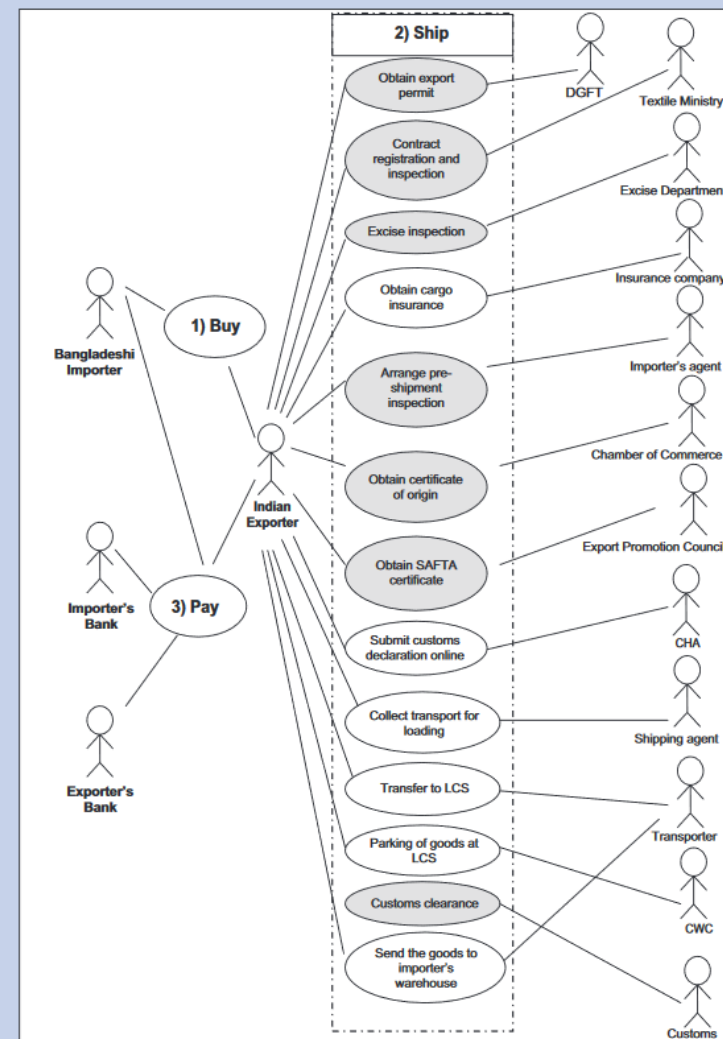
Steps	Procedures	Average Cost in United States dollars*
1	Obtain export permit	46.74
2	Contract registration and inspection	2.72
3	Excise inspection	5.43
4	Obtain cargo insurance	222.83
5	Arrange pre-shipment inspection	24.46
6	Obtain certificate of origin	10.87
7	Obtain SAFTA certificate	21.74
8	Submit customs declaration online	18.48
9	Arrange transport for loading	14.13
10	Transfer to LCS (inland transportation charge)	154.35
11	Parking of goods	9.78
12	Customs clearance	-
13	Send the goods to importer's warehouse	10.87
Export process cost in India		542.39 (945.00)
14	Assembling and preparing documents	150.00
15	L/C Cost	10.00
16	Customs clearance	15.00
17	Ports and Terminal handling costs	120.00
18	Inland transportation and handling costs	120.00
Import process cost in Bangladesh		415.00 (1 375.00)
Total trade process cost		957.39

Source: Calculated based on ARTNeT Working Papers 93 and 95.

Notes: Import tariffs and international shipping costs are excluded.

*Per TEU. Data in parentheses represents Doing Business Data of World Bank for export (import) of a standard container.

Box 3. UML Case Diagram: Export of fabric from India to Bangladesh



Source: ARTNeT Working Paper 95.

Source: UNESCAP Trade Facilitation in Asia and the Pacific: An analysis of Import and Export Processes, United Nations 2011
<http://unnexnext.unescap.org/pub/tipub2615.pdf>

Single submission of individual data elements

<p>Certificate of Origin A Certificate of Origin certifies expressly that the goods to which the certificate relates originate in a specific country. Department of Foreign Trade, Ministry of Commerce, Thailand</p>	<p>Permit for the Export of Rice (A. 4) Permit for the Export of Rice (A. 4) is only given to rice exporters who follow the Ministry of Commerce's Regulation for Rice Exportation 1997. Department of Foreign Trade, Ministry of Commerce, Thailand</p>	<p>Certificate of Standards of Products (MS. 24) Certificate of Standards of Products (MS. 24) certifies that the rice to be exported has the quality set by importer. Board of Trade of Thailand</p>
<p>9 Marks and numbers on packages TDED 7102: Marks and numbers identifying individual packages an..512 (Min=1, Max= unbounded)</p>		<p>18 Marks and numbers on packages TDED 7102: Marks and numbers identifying individual packages an..512 (Min = 1, Max = unbounded)</p>
<p>10-2 Description of goods TDED 7002: Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes an..512 (Min=1, Max= unbounded)</p>	<p>13 Description of goods TDED 7002: Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes an..512 (Min = 1, Max = unbounded)</p>	
<p>10-1 No. and kind of packages TDED 7224: Number of packages per goods item packaged in such a way that they cannot be divided without first undoing the package n..8 (Min=1, Max= unbounded)</p>		<p>14 Quantity TDED 7224: Number of packages per goods items packaged in such a way that they cannot be divided without first undoing the packing. n..8 (Min = 1, Max = unbounded)</p>
<p>11 Gross weight TDED 6292: Weight (mass) of goods including packaging but excluding the carrier's equipment. n..14 (Min=1, Max= unbounded)</p>		

Source: UNESCAP "Data Harmonization and Modelling Guide for Single Window Environment (ST/ESCAP/2619), Annex IV-2: Thai Data Harmonization Case," United Nations, 2012.
<http://unnex.unescap.org/tools/dhmg-annex4-2.pdf>

Single submission of individual data elements

Incremental submission of data:

- Trade and transport actors submit data to CBRAs at different points in time in the course of a transaction in international trade.
- A Single Window may require submission of only the incremental data to reflect a change or progression in the transaction.
- The Single Window should avoid re-submission of data to the extent that such data was part of an earlier submission.
- The ability to link-up individual submissions of data by a trader is part of the “intelligence” of a Single Window Environment.

CBRA =
Cross Border Regulatory Agency

Source: “WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide” WCO, 2011. Op cit.

Purpose of the Single Window

- Faster services at the border for import and export
- Predictable dwell times at import and export
- Minimize costs for import and export procedures
- To improve validity of all compliance data
- Correct revenue collection
- Better coordination between authorities
- Less man-hour spent on routine tasks in authorities
- Less corruption
- In the end : **Better economic climate**



SW Benefits to Government

- Better public governance
- Better public service
- Basis for more use of risk based approaches
- Modernized e-legislation
- Enhanced compliance and more accurate data collection
- Free-up man power for more advanced tasks/ reduced costs
- Better use of public funds
- Creating a basis for predictable and smooth border procedures ultimately permitting economic growth and development

SW Benefits to Trade

- Reduction of repetitive and redundant tasks
- Savings through faster, more predictable border clearance
- Certainty in terms of cost and time required for border clearance
- Better access to global markets
- Increased competitiveness
- Enhanced corporate practices and possibly increased computer literacy amongst staff

Steps Towards Single Window Implementation

Single Window Implementation

UNECE Rec. 33, 34, 35
 UNECE SW repository
 UNNExT Guide on SW
 WCO Compendium on SW

Cross Border Data Exchange

Data Models (e.g. WCO Data Model)
 UN XML, UN EDIFACT

National Data Harmonization

UNTDDED, UNCCTS, UN CCL
 UN LOCODE and code lists
 UNECE Rec. 34
 UNNExT Guide on Data Harmonization

Document Simplification and Standardization

UN Layout Key, Master Document
 UNTDDED, TF Toolkit and Forms Repository

Business Process Analysis

Revised Kyoto Convention
 UN/CEFACT International Supply Chain Reference model
 Unified Modeling Methodology (UMM)
 UNNExT Guide on Business Process Analysis

Legal and Institutional Framework

UNECE Rec. 4, 18 & 35
 UNCITRAL Model Laws on Electronic Commerce and on Electronic Signature
 UN Convention on the Use of Electronic Communications in International Contracts

Policy Planning

UNECE Rec. 4, 18 & 33
 WCO Compendium on SW

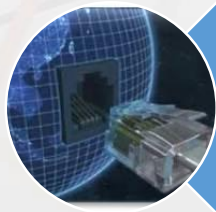
Lessons Learned in Single Window Implementation



SWs seen as a process of reform and innovation



Main objective is simplification and collaboration



Automation is a means, not an end



Countries need to plan the evolution of their SW systems

Data Harmonization



Tools Available to Assist in Implementing a SW

- Simplification and Harmonization of Trade Procedures
 - Rec18 – Facilitation Measures related to International Trade Procedures
 - Rec4 – National Trade Facilitation Bodies
 - Rec40 – Consultation Approaches
- Trade Documents
 - Rec1 – UN Layout Key for Trade Documents
 - Rec6 – Aligned Invoice Layout Key
 - Rec22 – Layout Key for Standard Consignment Instructions
- Information and Communication Technology
 - Rec25 – Use of the UN/EDIFACT Standard
 - Rec14 – Authentication of Trade Documents
 - Rec26 – Interchange Agreements
 - Rec31 – Electronic Commerce Agreement
 - Rec32 – Recommendation on e-Commerce Self Regulatory Instruments
 - UN/TDED – Trade Data Element Directory
 - UN/CCL – Core Component Library
 - WCO Data Model
 - UMM – UN/CEFACT Modelling Methodology

Information requirements at the border

- **UN/CEFACT**: export process average: **27 parties involved, 40+ documents, 300+ copies** to manage export processes
- UNCTAD: 5 Bio Trade and Transport documents are issued annually
- **US**: Total **US** international trade documentation annually consumes more than **one billion man hours**, equal to **600 thousand work years**
- **Australia**: **22 Agencies** collect the name of the exporter on **118 different forms** ..described in 61 different ways



Many Trade Documents

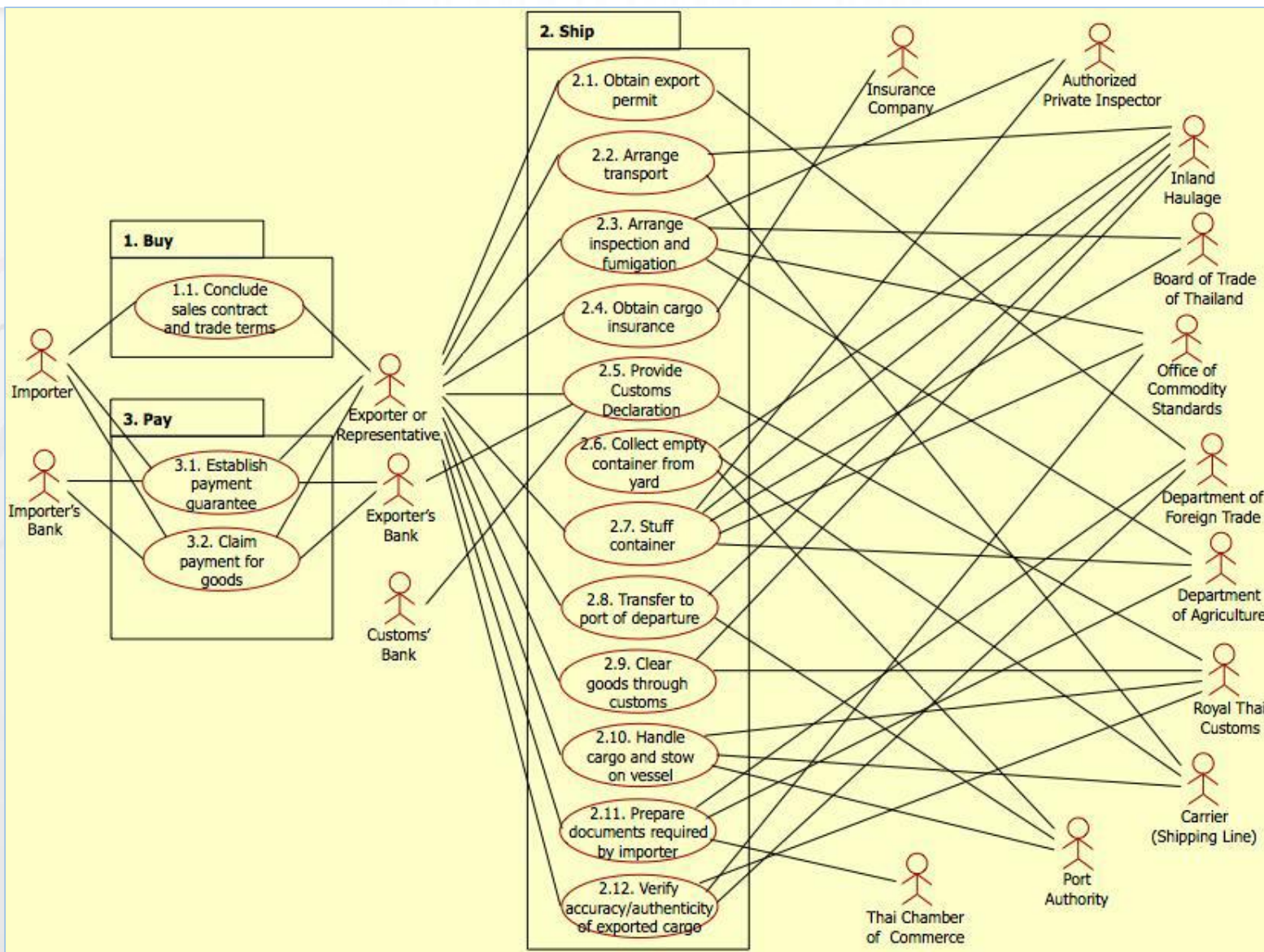
Examples of trade documents

- Enquiry
- Despatch advice
- Payment order
- Forwarding instructions
- Goods receipt
- Rail consignment note
- TIR carnet



UN/EDIFACT **DE 1001** has 700 codes for trade documents

Example of Export of Jasmine Rice from Thailand



Example of Export of Jasmine Rice from Thailand

Table A3-1. Core business processes and stakeholders involved in jasmine rice export

Core business process	Party														
	Authorized Private Inspector	Board of Trade of Thailand	Carrier (Shipping Line)	Customs	Department of Agriculture	Department of Foreign Trade	Exporter's Bank	Exporter or Representative	Importer	Importer's Bank	Inland Haulage	Insurance Company	Bureau of National Import-Export Product Standards	Port Authority	Thai Chamber of Commerce
1. Buy															
1.1. Conclude sales contract and trade terms								X	X						
2. Ship															
2.1. Obtain export permit						X		X							
2.2. Arrange transport			X					X			X				
2.3. Arrange the inspection and fumigation	X	X			X			X					X		
2.4. Obtain cargo insurance								X				X			
2.5. Provide customs declaration				X				X							
2.6. Collect empty container from yard			X							X				X	
2.7. Stuff container	X	X			X			X		X		X		X	
2.8. Transfer to port of departure								X		X				X	
2.9. Clear goods through customs				X				X		X					
2.10. Handle cargo and stow on vessel			X	X				X		X				X	
2.11. Prepare documents required by importer					X	X		X							X
2.12. Verify the accuracy/authenticity of exported cargo				X		X		X					X		
3. Pay															
3.1. Establish payment guarantee							X	X	X	X					
3.2. Claim payment for goods							X	X	X	X					

Example of Export of Jasmine Rice from Thailand

36 documents involving 15 parties, and more than 1,140 data elements to be filled in

Buy/Pay Docs

1. Proforma Invoice (35)
2. Purchase Order (39)
3. Commercial Invoice (51)
4. Application for Letter of Credit (24)
5. Letter of Credit (32)
6. Packing List (25)
7. Cargo Insurance Application Form (20)
8. Cover Note (23)
9. Insurance Policy (24)
10. Booking Request Form – Border Crossing (25)
11. Booking Confirmation – Border Crossing (30)
12. Booking Request Form – Inland Transport (16)
13. Booking Confirmation – Inland Transport (18)
14. Bill of Lading (42)
15. Empty Container Movement Request (TKT 305) (20)
16. Request for Port Entry (TKT 308.2) (27)
17. Equipment Interchange Report (EIR) (24)
18. Container Loading List (28)
19. Container List Message (32)
20. Outward Container List (34)

Transport Docs

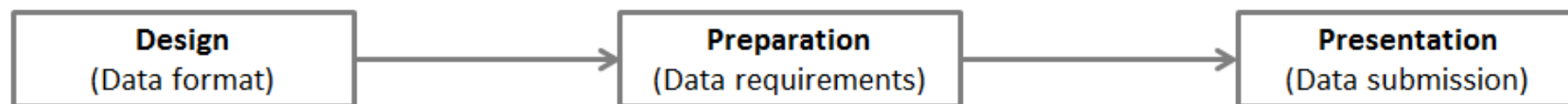
21. Master Sea Cargo Manifest(17)
22. House Sea Cargo Manifest (37)
23. *Export Declaration (114)*
24. Good Transition Control List (27)
25. *Application for Permission to Export Rice (KP. 2) (24)*
26. Sales Report (KP 3) (21)
27. Application for the Collection of the Permit for the Export of Rice (A. 3) (35)
28. Permit for the Export of Rice (A. 4) (35)
29. Application for Certificate of Standards of Product (MS. 13/1) (44)
30. Certificate of Analysis (17)
31. Certificate of Product Standards (MS. 24/1) (45)
32. Certificate of Fumigation (21)
33. Application for Phytosanitary Certificate (PQ. 9) (29)
34. Phytosanitary Certificate (33)
35. *Application for Certificate of Origin (42)*
36. *Certificate of Origin (38)*

Regulatory Docs

* Number in parenthesis is the no. of data elements

UN/CEFACT Trade Document Standards Package

UN CEFACT TRADE DOCUMENT STANDARDS PACKAGE



Rec 1 (UN Layout Key)

Specific examples

Rec 6 (Invoice)
 Rec 11 (DGN)
 Rec 22 (Consignment Note)

Rec 2 (location of data)
 Rec 8 (UNIC)
 Code Lists (e.g. Rec 16 LOCODES)

Rec 14 (Authentication)

Manual

Other Options

Paper-based documents

Rec 12 (Maritime Transport)
 Rec 18 (Facilitation Measures)
 Rec 33 (Single Window)

Electronic Documents

Rec 25 (UN / EDIFACT)
 Rec 26 (EDI)
 Rec 31 (Electronic Commerce Agreement)
 Rec 32 (Codes of Conduct)
 Rec 33 (Single Window)
 Rec 34 (SW Standard Data Set)
 Rec 35 (SW Legal Framework)

Electronic Documents – under development or under consideration

Rec 36 (SW Interoperability)

Use of coded data entries

- Importance of codes for trade data exchange

Codes:

- Are language independent
- Avoid costly errors and misunderstandings
- Unique step towards automation
- Maintenance is outsourced
- Worldwide usage: by WCO, IATA, FIATA, UPU, UN/EDIFACT, UNLK etc.

Use of Internationally Agreed Code Lists

Rec 7
Date Formats

Rec 8
UNIC

Rec 16
UN/Locode

Rec 5
INCOTERMS

Rec 28
Means of Transport

Rec 3
Country Codes

Rec 19
Mode of Transport

Rec 9
Currency Code

Rec 21
Package Codes

Commodity
Code

Rec 15
Shipping Marks

Rec 20 Units of
Measurement

Rec 24
Status Codes

Other EDIFACT
Code Lists

UNE Docs

EUROPEAN COMMUNITY EXPORT CUSTOMS DECLARATION

1 DECLARATION

1 Consignor / Exporter No.		3 Forms		4 Loading lists	
8 Consignee No.		5 Items		6 Total packages	
14 Agent / Representative No.		9 Person responsible for financial settlement No.		7 Reference number	
18 Identity and nationality of means of transport at departure		10 Country first		11 Trading	
21 Identity and nationality of all means of transport crossing the border		15 Country of despatch / export		13 CAP	
25 Mode of transport		16 Country of origin		17 Country of final destination	
26 Inland mode		20 Delivery terms		22 Currency and total amount invoiced	
27 Place of loading		23 Exchange rate		24 Nature of transaction	
28 Office of exit		28 Financial and banking data		32 Article No.	
30 Location of goods		33 Commodity code		34 Country origin code	
Marks and numbers - Container No(s) - Numbers and kind		35 Gross mass (kg)			

Coded data entry: UN/LOCODE for locations

There are at least six locations in the world called “Paris”

US	IL	PRP	Paris
US	KY	PZT	Paris
US	TN	PHT	Paris
US	TX	PRX	Paris
CA	ON	PAO	Paris
FR	75	PAR	Paris



- The Paris in Canada is identified by CAPAO, the Paris in France by FRPAR
- ...just try to send a container to Paris in Canada without a UN/LOCODE

Use of Internationally Agreed Code Lists

Rec 7
Date Formats

Rec 8
UNIC

Rec 16
UN/Locode

Rec 5
INCOTERMS

Rec 28
Means of Transport

Rec 3
Country Codes

Rec 19
Mode of Transport

Rec 9
Currency Code

Rec 21
Package Codes

Commodity Code

Rec 15
Shipping Marks

Rec 20 Units of Measurement

Rec 24
Status Codes

Other EDIFACT
Code Lists

UNeDocs EUROPEAN COMMUNITY EXPORT CUSTOMS DECLARATION

1 Consignor / Exporter No.		3 Forms		4 Loading lists	
8 Consignee No.		5 Items		6 Total packages	
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28 Office of exit		28 Financial and banking data		29 Description of goods	
30 Location of goods		32 Article No.		33 Commodity code	
Marks and numbers - Container No(s) - Numbers and kind		34 Country origin code		35 Gross mass (kg)	

Data Simplification and Standardization



Recommendation 34: Capture

- Once the scope is defined, gather all of the documents relative to that scope
 - or alternatively, the data from the business processes, if the processes have already been computerized
- Identify each individual element of data from the document
 - Suggest to number the document boxes for easier reference at a later stage
- Create a “National Trade Data Inventory”

Data Simplification and Standardization



Recommendation 34: Define

- Provide a name and definition for each entry
- At this stage, do not yet combine data elements. There will be redundancy.
- The definition should be of the data element as it is used within that document/business process

Data Simplification and Standardization

CAPTURE

DEFINE

ANALYSE

RECONCILE

Recommendation 34: Define

- The “National Trade Data Inventory” will be an Excel Spreadsheet, ideally with the following elements:

Agency element number

Data Element Name

Data Element Description

Data Type

Data Domain

International Standards ID

Mode of Transport

Process

Category of Use

Legal Permission to Collect/View

Source of Legal Authority

Expiration Date of Legal Authority

Source

Trade Source

Timing (when required)

Agency Flow Source

Data Simplification and Standardization



Recommendation 34: Analyze

- For each data element:
 - Is there a real necessity for the information?
 - Can its use be demonstrated?
 - Can it not be inferred by other data?
- Identify similar data elements
 - The definition and the business context are much more important than the name itself
- Private sector involvement is key
 - In order to understand the business use and source of the data elements

Data Simplification and Standardization



Recommendation 34: Reconcile

- Creation of a “Simplified, Standardized National Data Set”
- Agreed data element names and definitions and/or common coding
- Reconcile with international standards
 - International Code Lists
 - UN TDED – UN Trade Data Element Directory
 - UN CCL – Core Component Library
 - WCO Data Model

Data Simplification and Standardization



CAPTURE

DEFINE

ANALYSE

RECONCILE

International Standards: Data Model Hierarchy

United Nations Trade Data Element Directory – UNTDED

Master, global reference/dictionary of data element names definitions & coding

Maintained by the UNECE (UN/CEFACT) and ISO Jointly

UN/CEFACT CORE COMPONENTS

Core Component Library (CCL)

Core Component Technical Specifications (CCTS)

WCO Data Model (WCO DM)

Based on UNTDED, aligned to CCL

Maintained by the WCO

National DM

Subset of WCO DM

Maintained

Nationally

Data Simplification and Standardization – Example from Recommendation 34

Table 1
Sample aggregation of results of agency survey

<i>Name</i>	<i>Description</i>	<i>Type</i>	<i>Source</i>	<i>Mode</i>
Port of Unloading	Location where goods are removed from the ship	4 digit proprietary code	Carrier	Ship
Port of Unlading	Airport where consignment is taken off the airplane	4 digit proprietary code	Carrier	Air
Domestic Port of Unloading	Domestic port where merchandise is removed mode of transport	4 digit proprietary code UNLOCODE	Carrier Broker Importer	Air, Rail, Ship, Truck
Domestic Port of Unlading	Domestic airport where consignment is taken off the airplane	UNLOCODE	Carrier	Air
Foreign Port of Unloading	Foreign port where merchandise is unloaded from the conveyance	5 digit proprietary code	Carrier Exporter	Air, Rail, Ship, Truck
Foreign Port of Unlading	Foreign airport where consignment is taken off the airplane	5 digit proprietary code UNLOCODE	Carrier	Air, Ship

Source: "Data Simplification and Standardization for International Trade" Recommendation 34, United Nations, 2010
http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec34/ECE_TRADE_400_DataSimplificationand_Rec34E.pdf

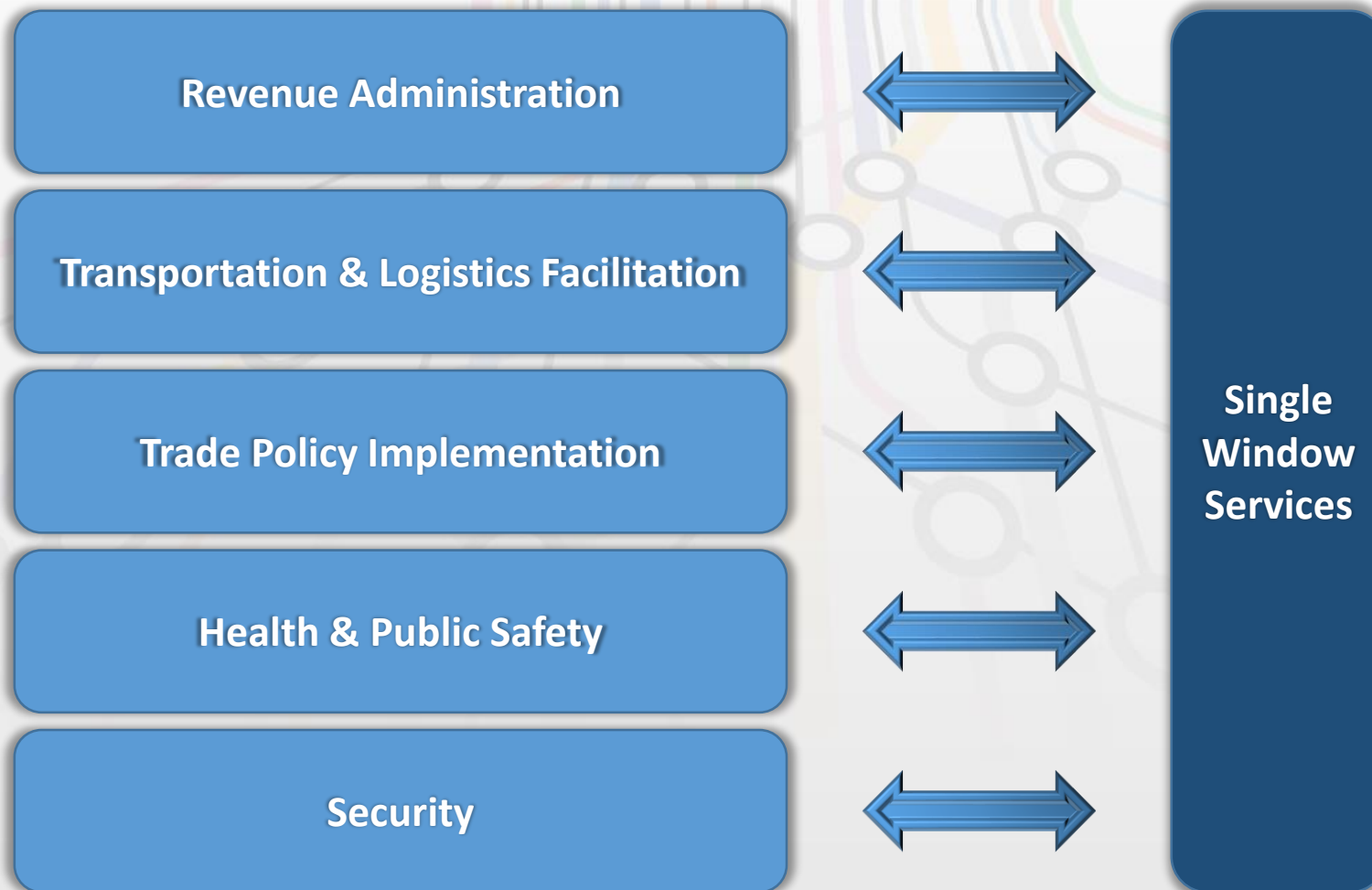
Data Simplification and Standardization – Example **NOT** to follow...

Data best known by initial appearance party: →		Buyer and Seller	Buyer	Shipper		Shipper/Agent	Carrier (but not best source)	Carrier B/L data = manifest	Importer/Agent
Law	Data Element	International Contract of Sale	Purchase Order	Consignment Completion Point (packing list v PO)	Forwarding and Logistics (consolidation of data)	Export Declaration (Annex 37)	Import S&S (Annex 30A)	Bill of Lading but see COGSA 1971 for law	Import Declaration (Annex 37)
2 Annex 37	Consignor/Exporter/Seller	Seller	Supplier (code)	Consignor/Exporter/Seller	Consignor/Exporter/Seller	Consignor/Exporter/Seller - EORI/equivalent or full non-EU name & address	Consignor/Exporter/Seller - EORI/equivalent or full non-EU name & address	Shipper/Exporter	Consignor/Exporter/Seller - EORI/equivalent or full non-EU name & address
3 10+2	Seller address		Seller address	Seller address	Seller address			Shipper/Exporter address	
11 Annex 37	Number of items from packing list	Description of the goods sold		Number of items forms packing list	Number of items forms packing list	Number of items	Number of items		Number of items
12 Annex 37	Total packages making up consignment	Description of the goods sold		Total packages making up consignment	Total packages making up consignment	Number of packages (total overall)	Number of packages (total overall)	Description of packages	Number of packages (total overall)
13 Annex 30A	Transport document number					Declarant Reference number	Transport Document Number? - see also Box 44 Documents Produced	Bill of Lading number	Reference number
14 Annex 37	Consignee/Importer/Buyer	Buyer	Consignee	Consignee/Importer/Buyer	Consignee/Importer/Buyer	Consignee/Importer/Buyer - EORI/equivalent or full non-EU name & address	Consignee/Importer/Buyer - EORI/equivalent or full non-EU name & address	Consignee	Consignee/Importer/Buyer - EORI/equivalent or full non-EU name & address
18 Annex 37	Declarant/Representative					Declarant/Representative - EORI/equivalent or full non-EU name & address	Person lodging the summary declaration - EORI/equivalent	Forwarding Agent	Declarant/Representative - EORI/equivalent or full non-EU name & address, incl type of representation
	Country of dispatch/export					Country of dispatch/export (code)			Country of dispatch/export (code)

Coordinated Border Management

- Implementation of a Single Window implies that the processes behind the regulatory requirements will be harmonized and streamlined.
- Information should be submitted only once and redistributed to each government agency.
- Further, the responses should be consolidated and communicated to the trader through a single-entry point.
- This implies that there must be a high degree of coordination at the border of all agencies involved.

Coordinated Border Management



Source: "WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide" WCO, 2011. Op cit.



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Single Window Legal Aspects



Single Window Legal Framework

Recommendation 35 – Legal Gap Analysis

- Review established practices governing the flow of trade-related information
- Create a *legally enabling environment*
 - Undertake a study to determine what is needed
 - Amend existing legislation, regulations, decrees...
 - Use international standards
 - Use the **Recommendation 35 checklists** in annex I & II

Source: “Establishing a Legal Framework for International Trade Single Window” Recommendation 35, United Nations, 2010
http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec35/Rec35_ECE_TRADE_401_EstablishingLegalFrameworkforSingleWindow_E.pdf

Single Window Legal Framework

Recommendation 35 checklist

- Legal basis for implementing a Single Window facility
- Single Window facility structure and organization
- Data protection
- Authority to access and share data between government agencies
- Identification, authentication and authorization
- Data quality issues
- Liability issues (obligations and responsibilities)
- Arbitration and dispute resolution
- Electronic documents
- Electronic archiving
- Intellectual property rights and database ownership
- Competition

Source: "Establishing a Legal Framework for International Trade Single Window" Recommendation 35, United Nations, 2010
http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec35/Rec35_ECE_TRADE_401_EstablishingLegalFrameworkforSingleWindow_E.pdf



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Practical Steps in Planning the Implementation of a Single Window



Practical Steps in Planning the Implementation of a SW

1. Prepare a Briefing Paper

- Describe overall objective and potential benefits
- General overview of what is necessary for implementation
- Practical aspects involved in implementation (not technical)
- Objectives of the paper:
 - Initial discussion on the topic
 - Obtain approval for more in-depth study
 - Obtain approval a feasibility study

Practical Steps in Planning the Implementation of a SW

1a. Seek stakeholder buy-in

- Identify all relevant stakeholders
 - both from other government agencies
 - and from the private sector
- Invite these stakeholders to a meeting in order to discuss the Briefing Paper
 - Prior to this meeting, lobby the stakeholders so they understand the concept and are positively predisposed to the idea
 - Prepare a draft “Objectives, Responsibilities and Terms of Reference” for a future Project Management Group and for a future Task Force
- Do not neglect the political backing to ensure government buy-in
 - This will ultimately be the steering of the SW
 - Three possibilities in such a steering



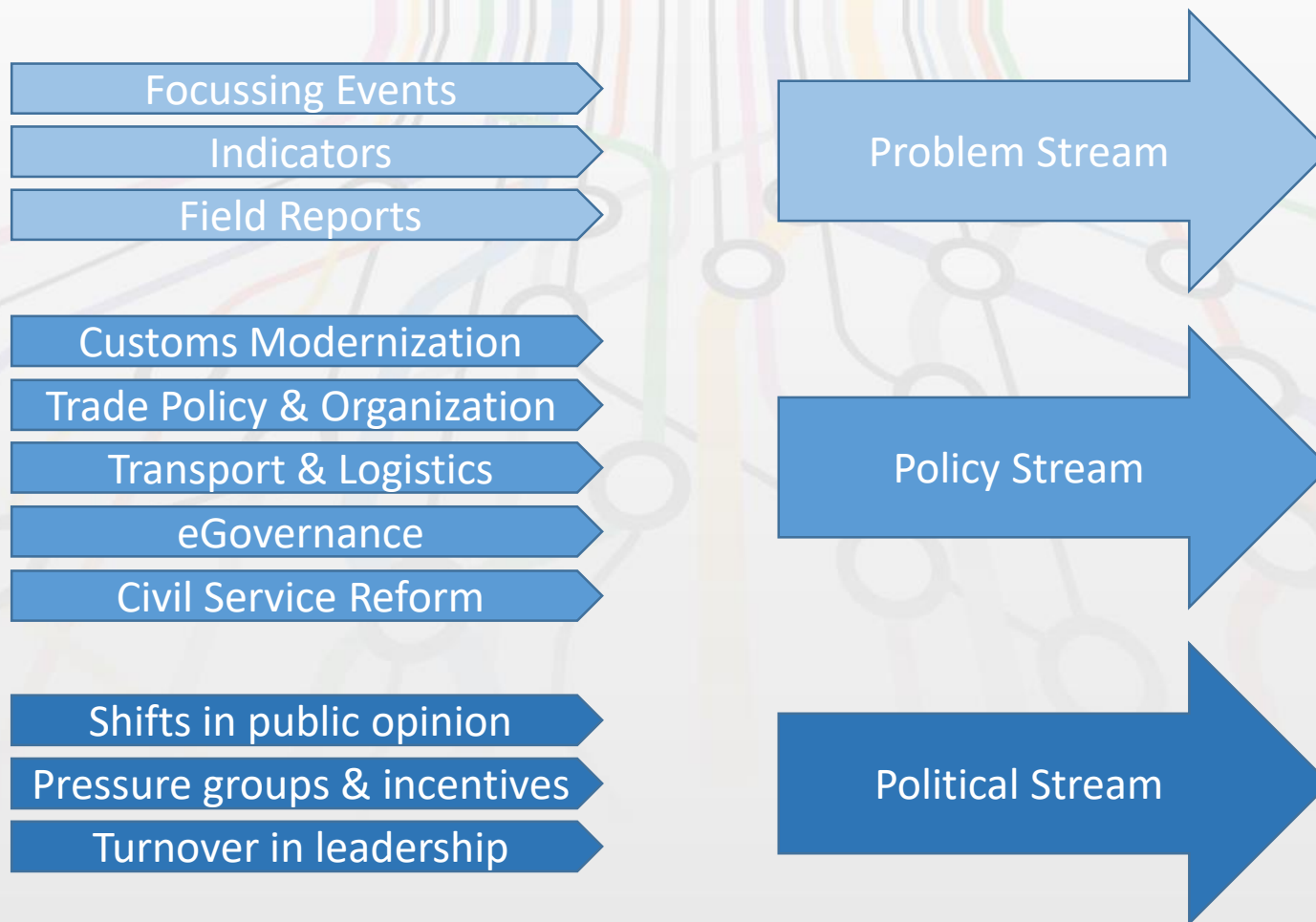
Single Window Steering

Table 04 Steering of the SW implementation

N°	STEERING LEVEL	SW LEADER	COMMENTS
1	High Government level	Office of the Head of State or Prime Minister hoc bodies	When a SW Project is steered under the leadership of the President of the Republic or the Prime Minister, adherence of public administrative bodies is almost guaranteed.
2	Ministerial level	Ministry of Finance	The Ministry of Finance to which customs report, is the department most likely to ensure the steering of a SW Project.
		Ministry of Commerce	The vision of a high-performance trade without constraints is more often built at the Ministry in charge of Commerce.
		Ministry of Transports	When the Single Window is oriented to port logistics, this Ministry can be on the forefront in the implementation.
3	Public Administration or ad hoc Entity	Customs, Port, Department in charge of trade, other ad hoc bodies	When an administrative body is on the forefront, there is a high risk of low adherence by other administrative entities.

Source: "Guidelines for Single Window Implementation in Africa," African Alliance for e-Commerce, April 2013:
http://www.swguide.org/single_window/AACE_guidelines_Single_Window_2013.pdf

Single Window – Getting on Government’s Agenda



Source: “WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide” WCO, 2011. Op cit.

Practical Steps in Planning the Implementation of a SW

- Ensure that the legally enabling background exists
- See section below on SW Legal Aspects



Practical Steps in Planning the Implementation of a SW

Examples of information treated in a SW

- Customs declarations
- Data for national statistics
- Sanitarian and phyto-sanitarian certificates
- Certificates of Origin
- Quota licences
- E-manifests
- Weapons and vehicle licences
- ICS messages to the EU
- Notification of vessel arrival

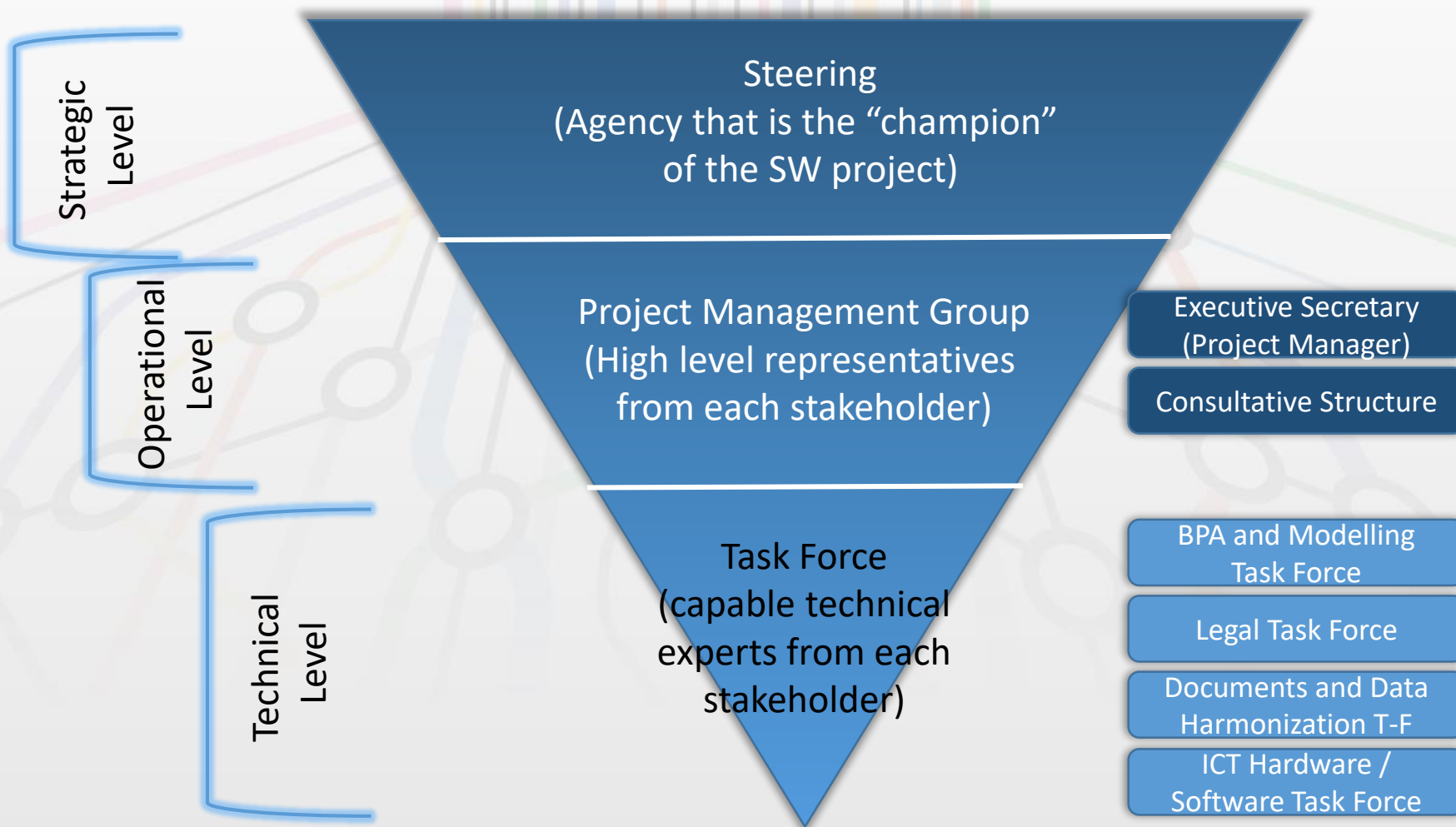


Practical Steps in Planning the Implementation of a SW

2. Organize a meeting of stakeholders

- Objectives of the meeting:
 - Get agreement on the project concept
 - Launch a feasibility study that would include a detailed needs analysis and technological assessment
 - Establish a Project Management Group (and approve its Terms of Reference)
 - This will have senior representatives from key agencies
 - This Group should have the power to commit funds to the project, make resource allocation decisions and commit their relevant organizations
 - Establish a Task Force
 - This will have appropriate technical and management representatives of key agencies
 - Will ultimately take charge of carrying out organizational and implementation work required for the project.

Practical Steps in Planning the Implementation of a SW



See: "Recommendation 40: Consultation Approaches. Best Practices in Trade and Government Consultation on Trade Facilitation Matters" UN, 2015.

http://www.unece.org/fileadmin/DAM/cefact/cf_plenary/plenary15/ECE_TRADE_C_CEFAC2015_9_Rev1E_Rec40_RevFinal.pdf

Practical Steps in Planning the Implementation of a SW

3. Feasibility Study

- Should determine the scope of the SW
- Level and type of demand
- Possible scenarios for implementation
- Potential for and nature of a pilot implementation
- Resource requirements (human, financial, technical, etc.)
- Potential benefits and risks
- Time frame
- Implementation and management strategy

May wish to call upon an external consultant to perform this study

Source: "Recommendation and Guidelines on establishing a Single Window to enhance the efficient exchange of information between trade and government, **ANNEX C**" Recommendation 33, United Nations, 2005
http://www.unece.org/fileadmin/DAM/cefact/recommendations/rec33/rec33_trd352e.pdf

Practical Steps in Planning the Implementation of a SW

3. Feasibility Study – Scope Statement

What type of architecture? Centralised or decentralised?
What do we need in terms of infrastructure and hardware?
What is the existing infrastructure?
What are the existing automation facilities? If not, what can the existing infrastructure support?
What is the existing legal framework? Is it enough?
Are there any improvement projects?
What is the time set to develop the project?
What are the most critical processes?
What are the bottlenecks?
Who are those adhering to this project?
What are the targets?
What is the level of technological maturity of stakeholders?
What are the processes to be adjusted or rewritten?
What is the level of risk in change management?
How can we bring on board the maximum of stakeholders?

Source: "Guidelines for Single Window Implementation in Africa," African Alliance for e-Commerce, April 2013:
http://www.swguide.org/single_window/AACE_guidelines_Single_Window_2013.pdf

Practical Steps in Planning the Implementation of a SW

3. Objectives of the Feasibility Study

- Provide decision-makers with an insight into the options available
- As well as the consequences for each governmental authority.
- Provide advice on the preferable and feasible option
- Implementation choice (full or phased)
- Nature and extent of initial pilot implementation
- Potential for revenue collections (fees, duties, etc.)
- Identify key deliverables
- Recommended timetable

Practical Steps in Planning the Implementation of a SW

4. National Symposium on the establishment of a SW

- The Feasibility Study will have to be considered and approved by the Project Management Group and the Task Force
- The preferred implementation options should be presented to the wider government and trading community for endorsement
 - One of the best ways to do this is through a Symposium
- A National Symposium should seek to:
 - Present the research findings and preferred implementation
 - Ensure that important areas have not been missed in the analysis
 - Receive the support of all the stakeholders before final implementation decisions are made.

Practical Steps in Planning the Implementation of a SW

Political Mandate

- Statement of object & purposes
- Definition of terms used
- Activities/services covered by the Single Window concept
- Establishment of the Lead Agency organization and the identification of partner organizations/ CBRAs:
 - Legal definition of the Lead Agency entity
 - Financial dispensation for the Lead Agency & operating philosophy
 - Lead Agency organization & consultative structures
- Powers vested to each of the identified organizations, including the Lead Agency to:
 - Approve projects
 - Recommend changes to legislation
 - Set service standards
 - Adopt changes to business processes
 - Adopt interoperability standards
 - Evaluate and review project implementation
 - Handle disputes.
- Date of applicability
- Schedules for the implementation of the Single Window Initiative

Practical Steps in Planning the Implementation of a SW

5. Implementation (Pilot, Phased and/or Full)

- Clear project management plan will be necessary
 - Clear statement on project's scope, goal and objectives
 - Statement on key deliverables, responsibility for delivery and milestones
 - Definition of the roles and responsibilities of participants
 - Clear designation of project manager
 - Clearly defined interrelated tasks
 - Clear communication strategy
 - Clear and agreed project budget
 - Identification of risks and how to mitigate these
 - Clear criteria for measuring project success
 - Agreed project review and feedback mechanism



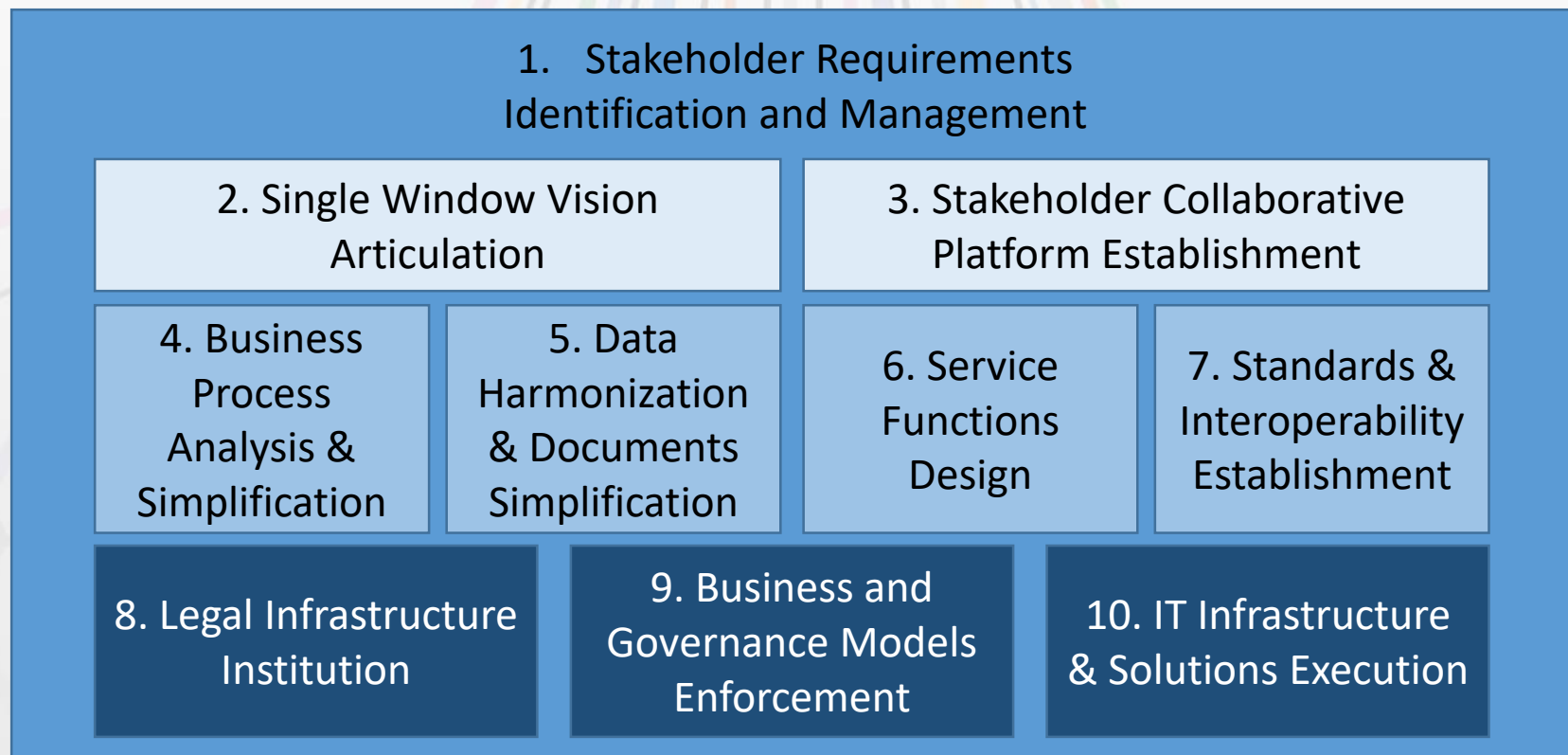
Practical Steps in Planning the Implementation of a SW

5. Implementation – Commitment of Public Authorities

- Government agencies and departments may be the most resistant to a SW project
 - Because of potential losing control of their processes
 - Because of change management and new processes
 - Because they are not the lead agency...
- Strong political backing at the highest level will be crucial
- During the deployment stage, it can be decisive to:
 - Make available the most qualified human resources to integrate the Project Team
 - Mitigate and, even eliminate the resistance to change manifested by some stakeholders
 - Ensure a large-scale communication
 - Handle the pressure relative to the « teething problems » inherent in the deployment of any SW system

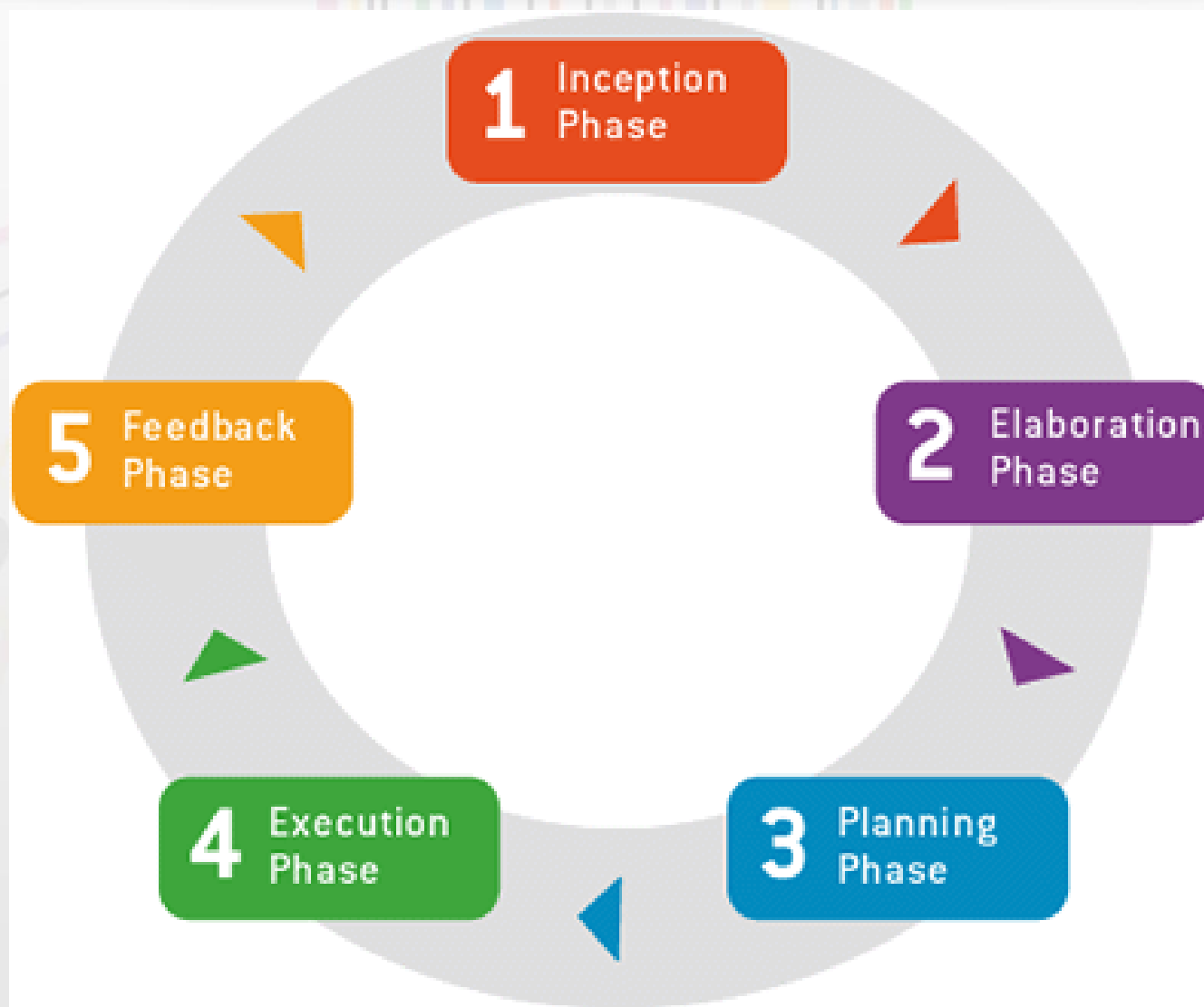
Source: “Guidelines for Single Window Implementation in Africa,” African Alliance for e-Commerce, April 2013:
http://www.swguide.org/single_window/AACE_guidelines_Single_Window_2013.pdf (cf pages 26-27)

SW Implementation Framework – 10 Critical Components



Source: "Single Window Planning and Implementation Guide" United Nations 2012: <http://unnex.unescap.org/tools/implement-guide.pdf>

SW Project Management Process





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Ways to Approach Single Window Implementation



Ways to Approach Single Window Implementation

« Big Bang » approach

- Start a new system from scratch
- Involve all government agencies and their processes from the outset
- Rethink all the business processes and the data requirements
- Requires strong engagement by all involved
- Very large risks (financial, procedural and credibility) if not complete in a timely manner

Ways to Approach Single Window Implementation

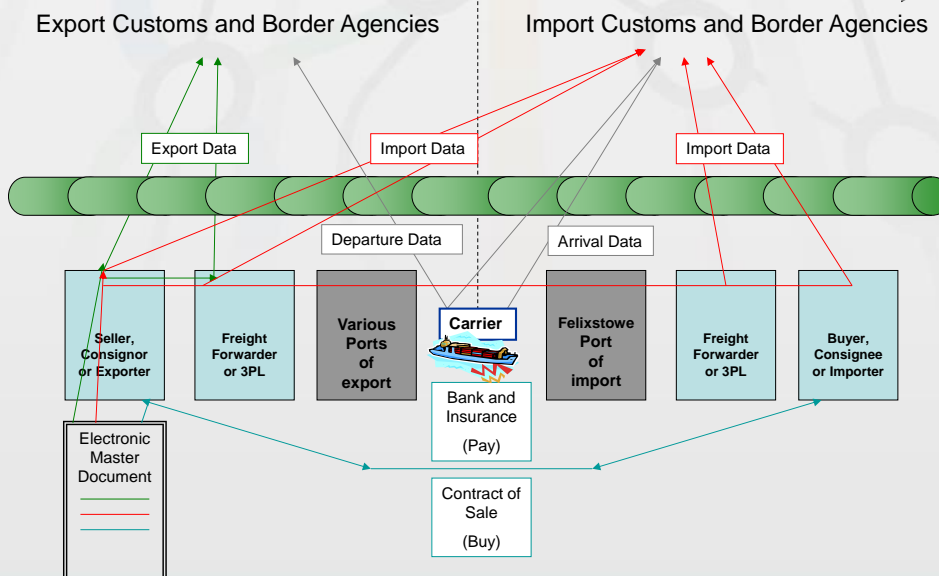
Phased approach

- Similar to « Big Bang » approach
- But will involve government agencies progressively.
- May start with just a customs automation system, then expand to include another government agency and once that is achieved, another, and so on.
- Risk that instead of rethinking the processes and data requirement, may risk to simply force all other agencies to align to the customs model

Ways to Approach Single Window Implementation

Data Pipeline approach

- Proposal within the framework of multiple EU projects (lead by UK and Dutch customs)
- Seeks to retrieve data at the source, stock it on a platform then consolidate with other data in order to create the declaration



Ways to Approach Single Window Implementation

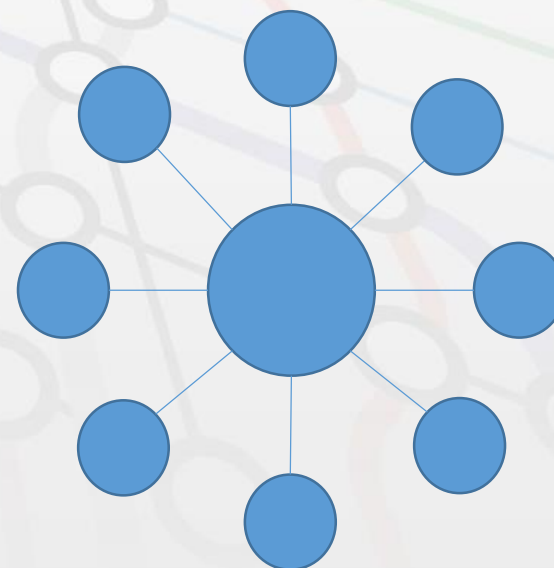
Data Pipeline approach – However

- Data is collected at the source and used directly to send to importing agencies, but who is responsible for the accuracy of the data?
- Current EU projects demonstrate this is possible if all data is carried by a single pipeline service provider, but what if not all the actors on a specific supply chain are not connected to the same provider?

Ways to Approach Single Window Implementation

SW “Environment” approach

- Suggested for Advanced Economies by the WCO Compendium
- Each agency retain their own legacy system
- Collaboration between these government agency systems
- No “lead agency” or “champion” but agreement on how to exchange information between agencies



Ways to Approach Single Window Implementation

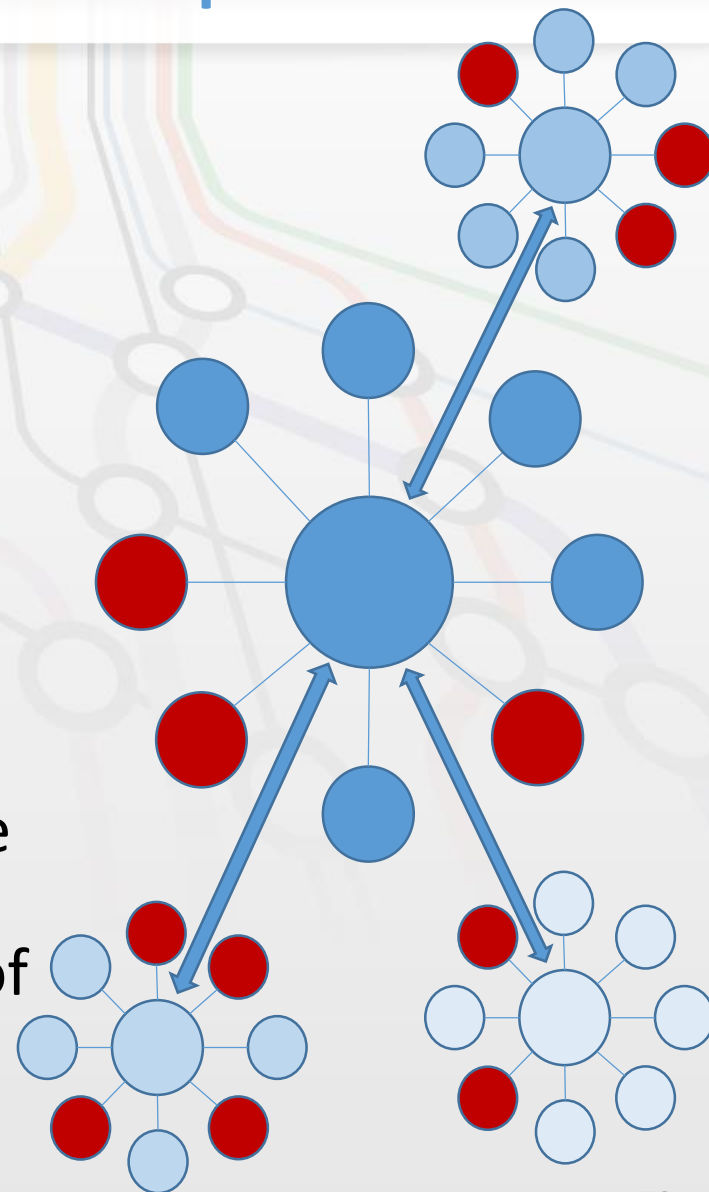
SW “Environment” approach – HOWEVER:

- A SW means that there is single submission of data – if traders are dealing with multiple agencies, most likely they will be resending the same data
- Will there be a coordinated response? Or multiple responses from each of the agencies?
- Will there be coordinated border management? (and coordinated controls of the goods?)
- SW implementation implies that there is a harmonized and streamlined process put in place. This model suggests that the “as-is” situation can continue. Unclear how the processes are streamlined in this scenario.

Ways to Approach Single Window Implementation

Inter-Organizational Information System (IOS) Approach

- Similar to the “Environment” approach, but inclusion of private-sector platforms
- Each platform may address a different type of stakeholder, so allows greater coverage quicker
- Intends to open to interoperability accross borders and plans from the outset interconnections between these platforms
- Collaboration on a larger scale of multiple platforms



Ways to Approach Single Window Implementation

IoS approach – However

- Legal issues will need to be resolved
 - Ownership, accessibility, responsibility, jurisdiction...
- Private platforms on an equal footing with public systems may create ambiguity as to the purpose and the definition of Single Window
 - No longer just regulatory requirements, but can cover the entire supply chain
 - But who defines the data requirements and processes? Do these become binding? Even for the B2B processes?
- If it is intended to exchange information across border, further legal issues need to be resolved
 - Not the least of which is responsibility for data submitted

Ways to Approach Single Window Implementation

Pricing models

- Public Private Partnership (PPP)
 - Build-Operate-Transfer (BOT)
- Consulting in the conception
- Externalize development
- Externalize operation

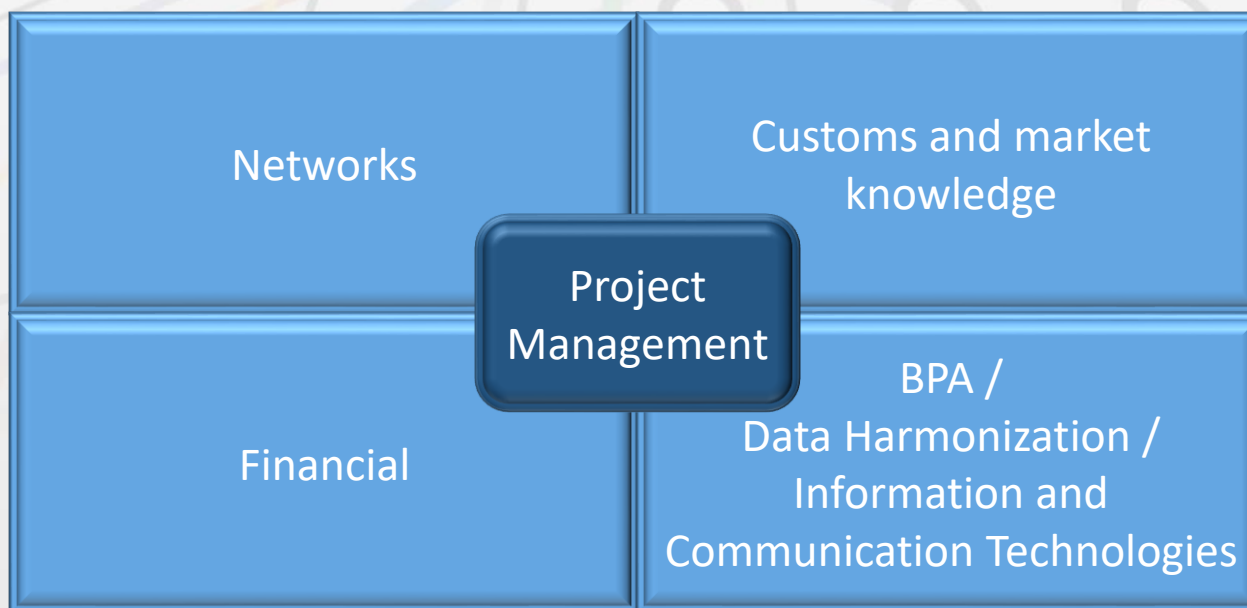
- Fully developed by a national public authority

See: UN Recommendation 41 on Public Private Partnerships in Trade Facilitation which outlines the steps to follow and the downfalls to watch out for.

http://www.unece.org/fileadmin/DAM/unefact/recommendations/rec41/ECE_TRADE_C_CEFAC_T_2017_9E_Rec_41_PPP_.pdf

Ways to Approach Single Window Implementation

Choosing an external provider





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Single Window Interoperability



Single Window Interoperability

Supporting Cross Border Interoperability of Trade Regulatory Single Window Systems by looking across four areas:

- **Business Needs** - the primary drivers and needs for Single Window Interoperability
- **Semantics** - type of business processes and information to be exchanged and existing semantic frameworks
- **Governance** - most appropriate model(s) for governance of the interoperability activity.
- **Legislative** - regional and bilateral trading obligations.

Source: UN Recommendation 36 on Single Window Interoperability
http://www.unece.org/fileadmin/DAM/trade/Publications/ECE-TRADE-431E_Rec36.pdf

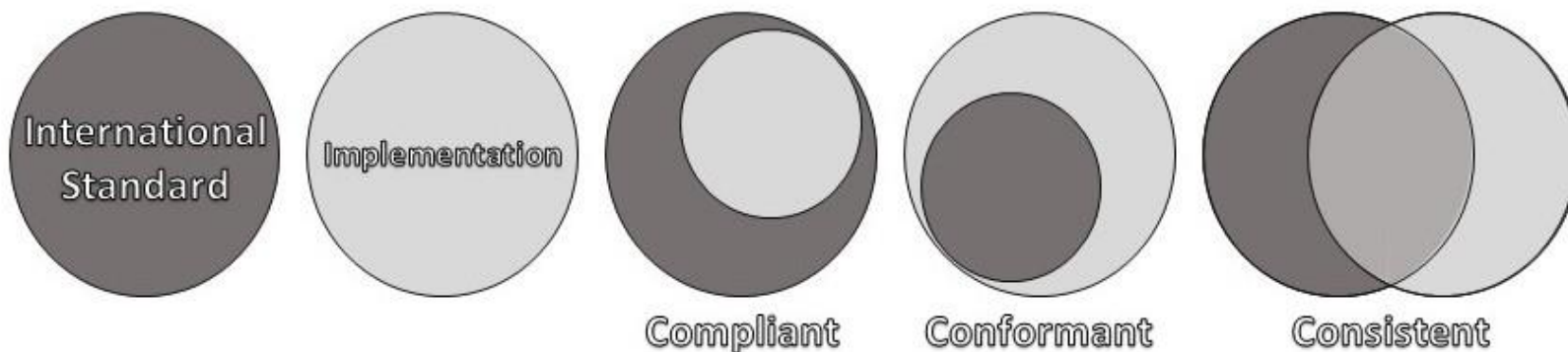
SW Interoperability – Business Needs

- Why interoperability?
 - Regional integration
 - Trade facilitation
 - Risk analysis purposes
 - Advanced security declarations
 - Preparation border volumes
 - Combat illicit activity
- Benefits of SW Interoperability
- Identify the key stakeholders
 - Capture their interests and requirements
 - Categorize these needs (strategic, business, operational, technical)
- Some pre-requisites:
 - Must have a sufficient volume of trade between economies
 - Strength of political will



SW Interoperability – Technical and Semantic Aspects

- Levels of interoperability
 - Legal level
 - Dataset level
 - Business Process level
 - Message level (syntax)
- Conformance versus compliance to standards



SW Interoperability – Legal Aspects

Checklist similar to that of Recommendation 35

- Legal basis for establishing cross-border interoperability
- Organizational structure for interoperability
- Identification, authentication and authorization procedure
- Ownership of data
- Right to obtain data from the Single Window
- Privacy and protection of commercial information
- Accuracy and integrity of data
- Liability issues
- Jurisdiction
- Data retention, archiving, and audit trails
- Intellectual property rights and database ownership
- Competition law
- Dispute resolution



SW Interoperability – Governance Issues

At a minimum the following aspects should be addressed:

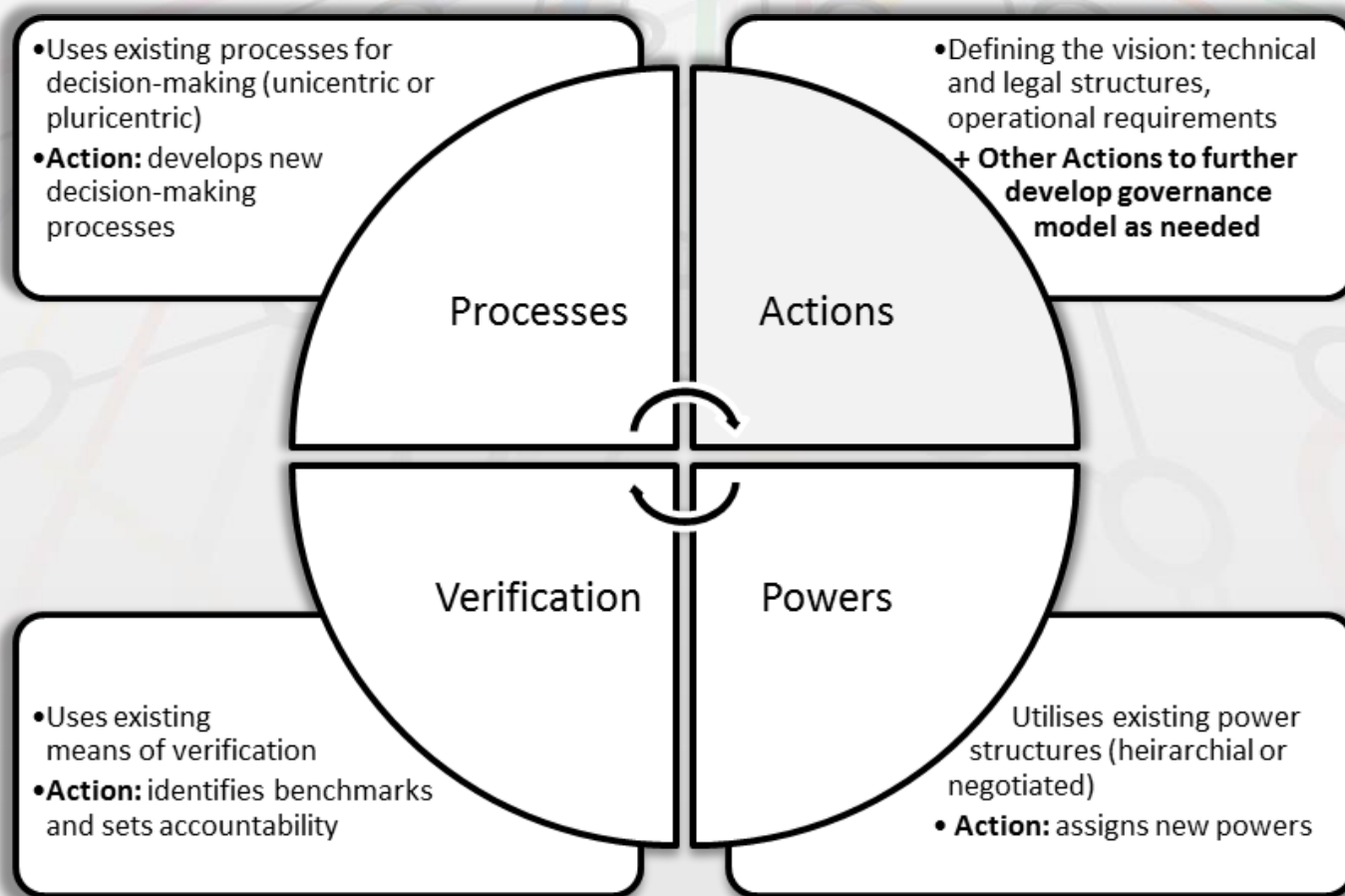
- A clear definition of the regime
- An understanding of the way the regime will operate and the scope of the persons, parties, and other legal entities subject to the regime
- A minimum of allowable exceptions
- An unambiguous set of sanctions and legal penalties imposed in the event of contravention or non-compliance where possible (given sovereignty issues)
- Acceptance by the majority that the regime will be both beneficial and enforceable
- An awareness program informing the parties subject to the regime of its scope and implementation
- A open and transparent consultation process to seek views and opinions from all stakeholders subject to the regime

SW Interoperability – Governance Issues

- Centralized Model versus Gateway/Distributed Model or a Hybrid of the two
- Three phases to implementation:
 - Initial Stage of designing SW Interoperability
 - Development of SW Interoperability
 - Operation of SW Interoperability

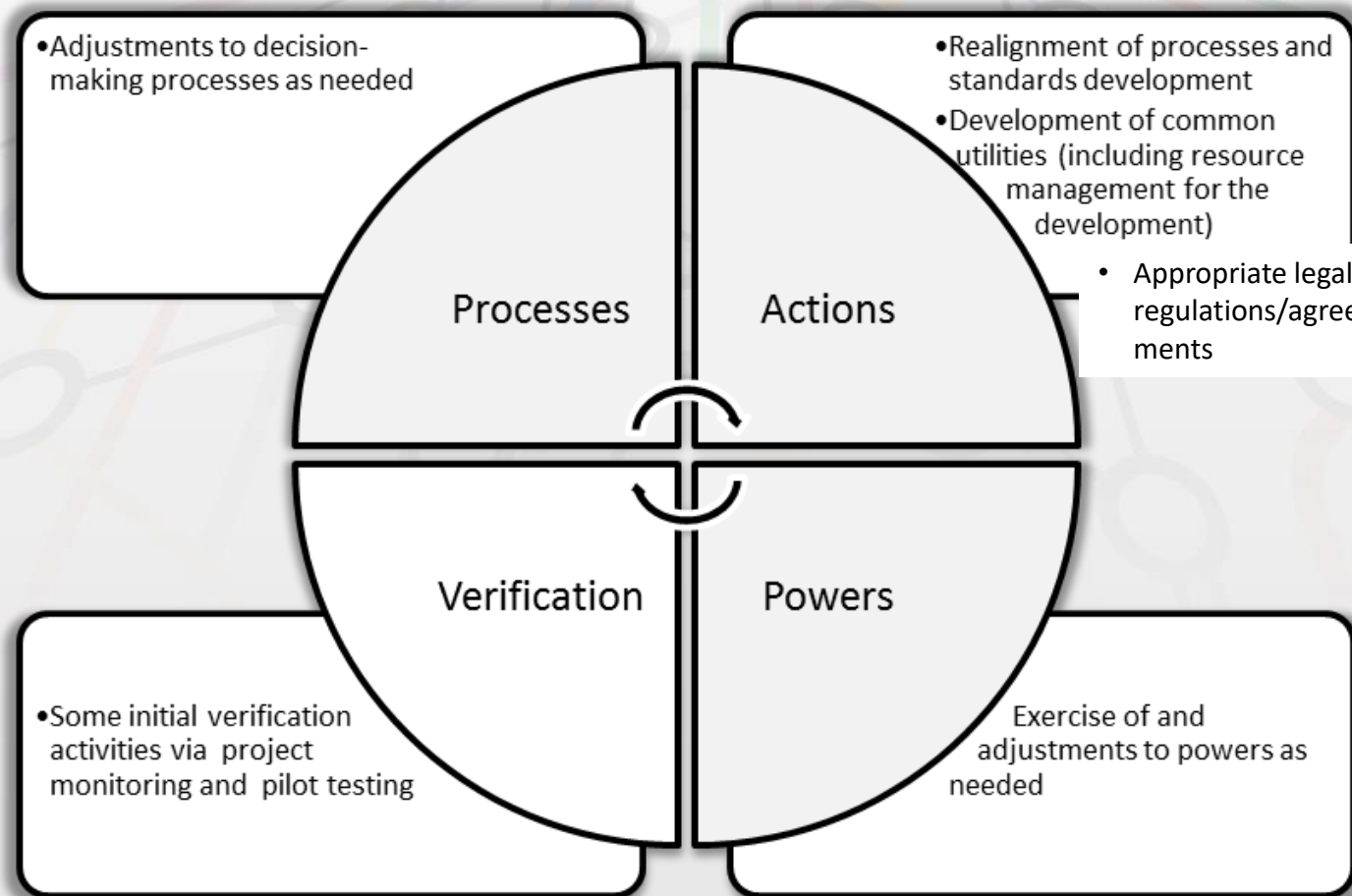
SW Interoperability – Governance Issues

- Governance during the initial stages of designing



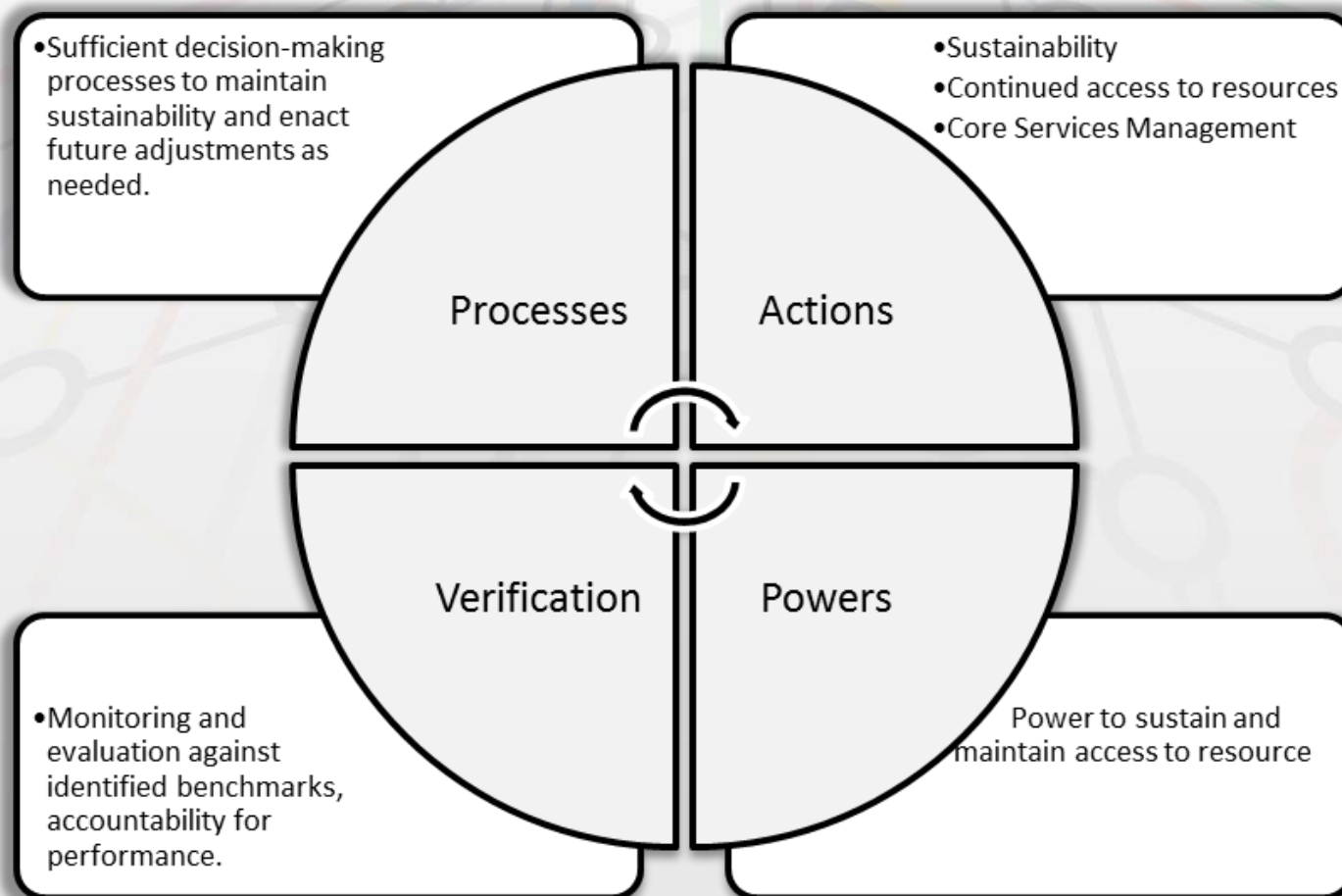
SW Interoperability – Governance Issues

- Governance during the development stage



SW Interoperability – Governance Issues

- Governance during SW Interoperability Operation





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Other resources on SW And Future Trends



SW as part of a Customs Modernization

Strategic Management for medium-term Trade Facilitation would typically cover:

- **Institutional Framework** – This includes the strengthening of regulatory agencies involved in trade facilitation and the co-operation between such agencies, infrastructure for trade and consultation mechanisms with the private sector.
- **Legal Framework** – This covers import and export procedures, clarity in trade legislation, tariff and no-tariff restrictions and compliance requirements.
- **Electronic business & documentation** – This covers procedures for submission of data by traders, electronic filing infrastructure, workflows processes for import, export & transit submissions of supporting document and digitization.
- **Specific Trade Facilitation Programs** – such as trusted trader/ Authorized Economic Operators, measures to balance controls and risks and measures to reduce release times, etc.

Source: “WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide” WCO, 2011. Op cit.

SW as part of a Customs Modernization

Be client-focused

- Regulatory Transparency – Trade involvement in regulation development; publish regulations
- Consultation – SW has better chance to succeed where partnership with trade is deep and wide and covers all aspects of the project
- Client Outreach – Use of the AEO, allowing self-assessment...
- Aligning Regulatory Goals with Business Goals – find mutual advantages to both agencies and trade.

See: "Recommendation 40: Consultation Approaches. Best Practices in Trade and Government Consultation on Trade Facilitation Matters" UN, 2015.
http://www.unece.org/fileadmin/DAM/cefact/cf_plenary/plenary15/ECE_TRADE_C_CEFAC2015_9_Rev1E_Rec40_RevFinal.pdf

Source: "WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide" WCO, 2011. Op cit.

See: "WCO Revised Kyoto Convention" WCO, 2013.
http://www.wcoomd.org/en/topics/facilitation/instruments-and-tools/conventions/pf_revised_kyoto_conv/kyoto_new.aspx

SW as part of a Customs Modernization

Business Goal	Regulatory Goal
<p>Product Recall Capability: The ability to withdraw or remove products from the supply chain for business reasons</p>	<p>Consumer Safety: To monitor and control cross-border movement of products, which are potentially unsafe to consumers.</p>
<p>Product- life-cycle management:</p> <p><i>(This applies to different product types differently.)</i></p> <p>The ability to track product information from the conception & design stage, manufacturing, shipment, delivery all the way until its consumption and disposal.</p>	<p>Regulatory classification of products: The ability to determine the exact product composition for a particular production batch.</p> <p>End-use monitoring: The ability to track and report end-use – for example of high-technology dual use items.</p>
<p>Inventory Management: Control over delivery schedules – Just-in-Time delivery.</p>	<p>Supply Chain Security: The ability to locate a consignment with a view to subjecting it to inspect and control. Enhanced possibilities for control.</p>
<p>Fast turnaround of vessels: The ability to rapidly and efficiently unload and load containers.</p>	<p>Maritime Safety & Security: To locate and isolate unsafe containers. To apply the correct handling procedures for dangerous cargo.</p>

Source: “WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide” WCO, 2011. Op cit.

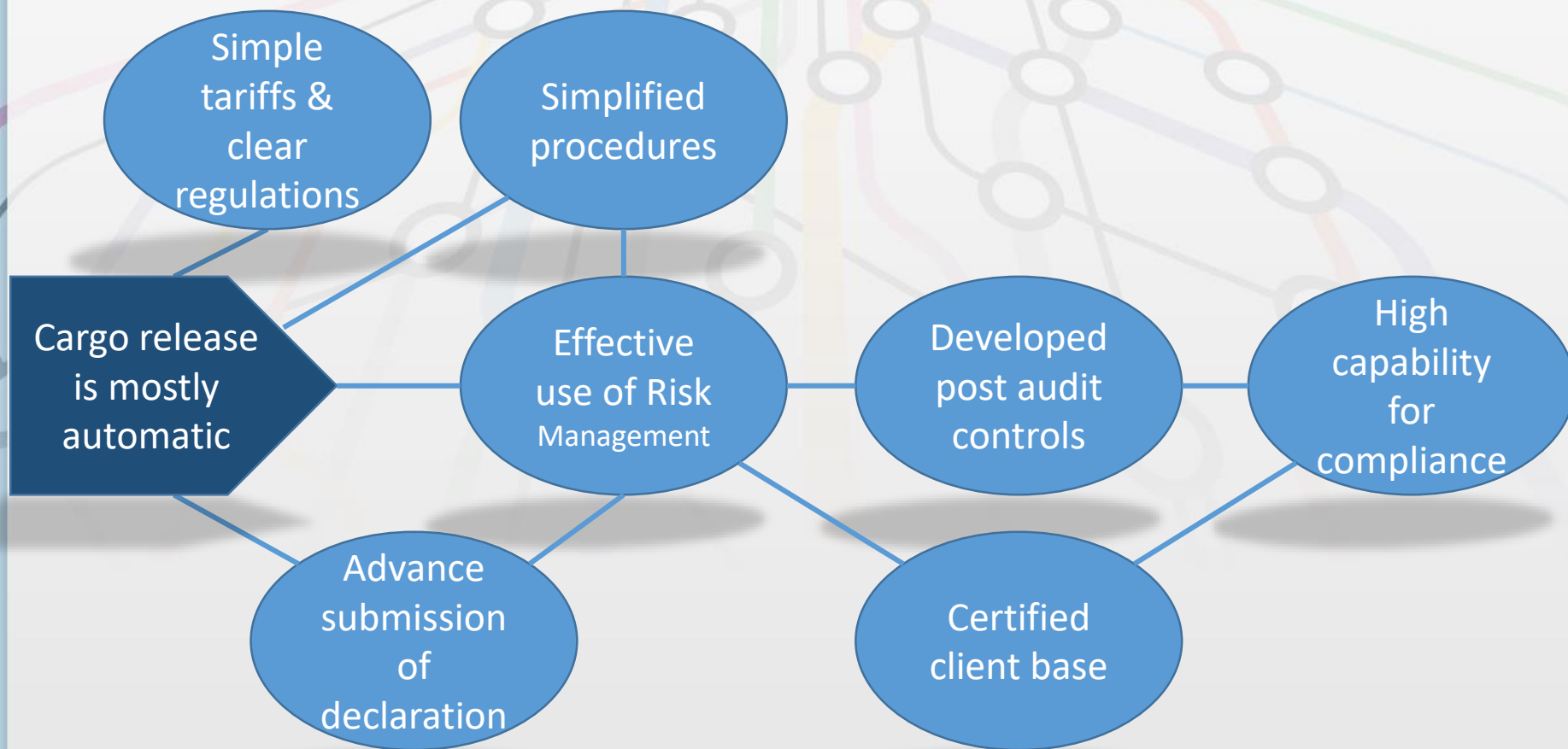
SW as part of a Customs Modernization

Michael Porter's "Activity System"

- Key aspects of customs modernization represented as individual activities
- Inter-relation of these activities
- Demonstrates that automated processes or data harmonization are just one aspect and need to be addressed in a **holistic approach**

SW as part of a Customs Modernization

Michael Porter's « Activity System » - Automated Cargo Clearance example



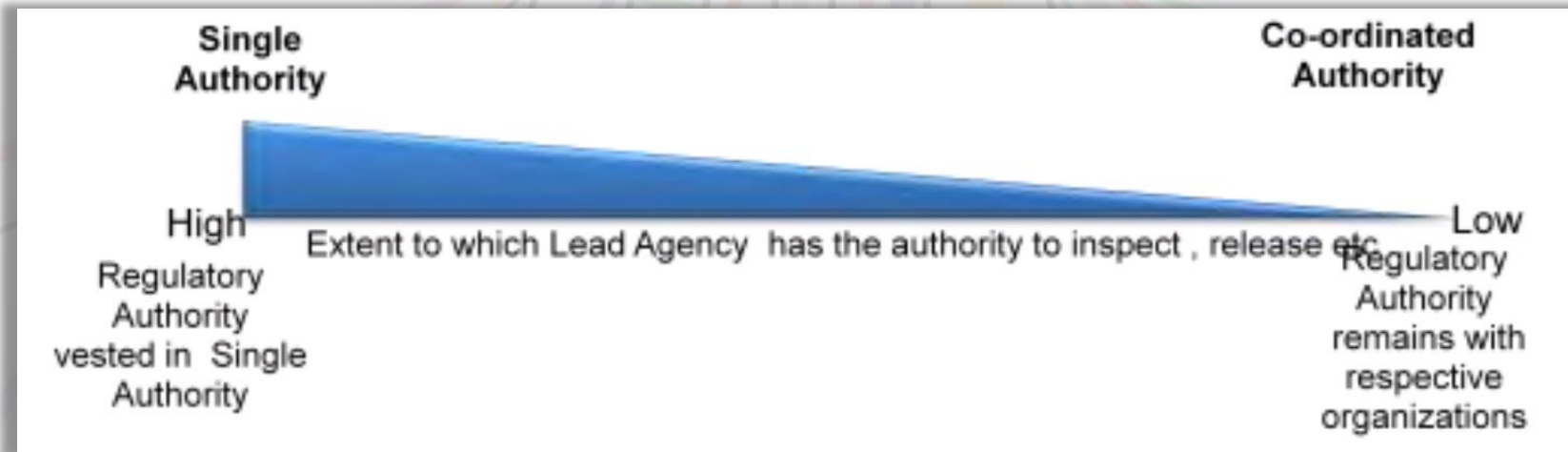
SW as part of a Customs Modernization

- Single Window is a strategic response in order to meet trade facilitation and security objectives.
- Any project on Single Window must position it as an integral part of the organization's strategy for effectiveness.
- As an IT system, it needs to be seen in conjunction with recent innovations that make it possible to radically transform the way regulatory authorities can exercise control over the supply chain.

Source: "WCO Compendium: How to Build a Single Window Environment. Volume 1: The Executive Guide" WCO, 2011. Op cit.

Reorganization of regulatory functions

- Single authority approach vs. coordinated authority



- Single Window can also be an opportunity to reorganize regulatory functions
 - Eventually to centralize these to a single authority model.

Measuring the success of a SW Implementation

- Political will
- Involve user community
- Support of trade and industry
- Easy solutions, low-hanging fruit and volumes
- Assess the bigger picture
- Long-term commitment
- Reliable partners
- Donor community

See also: Recommendation 42 on “Trade & Transport Facilitation Monitoring Mechanisms”.

http://www.unece.org/fileadmin/DAM/trade/Publications/ECE_TRADE_437E_Rec42.pdf

Thank you for your attention.

Tuesday, 16 January 2018

Beirut, Lebanon

Dr. Lance THOMPSON
UN/CEFACT Support Unit, UNECE

lance.thompson@unece.org

+41 22 917 12 98