



UNITED NATIONS
ESCAP
Economic and Social Commission for Asia and the Pacific

Single Window: Overview and Best Practices

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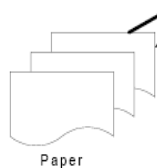


International & Regional Best Practices for a Single Window

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Could Single Window be a solution?

Trader
(incl. Transport)



Single
Window

Authority 1

Authority 2

Authority 3

Authority 4

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A Single Window Concept

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

UN/CEFACT Recommendation 33 on establishing Single Window

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Common Single Window Models (1)

- **Single Platform:** receives information on paper or electronically, disseminates to all relevant authorities, and coordinates controls to prevent undue hindrance in the logistical chain.
 - *Example:* Sweden (Customs perform selected activities on behalf of some authorities such as VAT collection, trade statistics, import licensing)
- **Single Automated System:** collects, disseminates & stores received data
 - *Example:* USA
- **Single Information Transaction System:** trader can directly submit e-documents to various authorities for processing & approval in a single application; approvals are sent back to trader
 - *Example:* Singapore, Hong Kong (CHN), Rep. of Korea

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Common Single Window Models (2)

◆ **Regulatory Harmonization Single Window:**

- Driven by Customs authorities
- Functions: Achieving regulatory harmonization of process, procedures and data for submission and sharing between Customs and other regulatory (Government) agencies
- Example: Indonesia, Guatemala, Sweden

◆ **Port Operations & Logistics Single Window:**

- Driven by business and traders
- Functions: simplifies and automates business processes, procedures and data related to port facilities, incl. customs
- Example: Hong Kong (DTTN), Malaysia (Dagangnet), Singapore (TradeNet), Thailand SW e-Logistics

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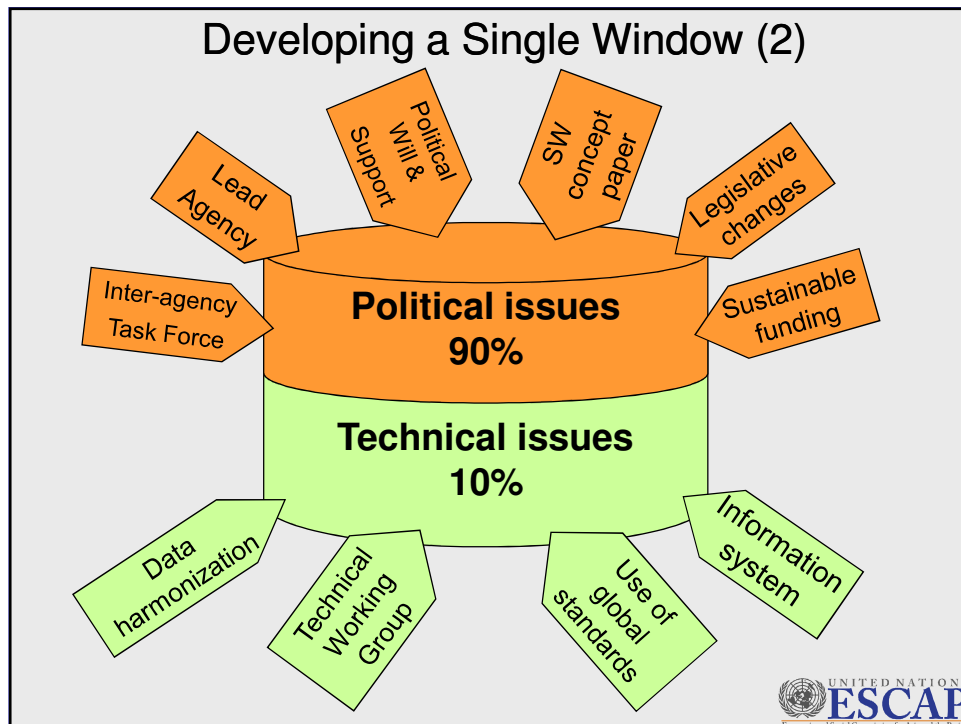
Developing a Single Window (1)

Factors to consider at the outset:

- Stakeholders (government agencies, traders, transport operators, freight forwards, ICT services providers)
- Users (business and government agencies)
- Cost/ benefit analysis
- Business model (public, public-private, private)
- ICT applications
- Sustainable funding of the establishment, operation and upgrading of SW
- Phased approach (pilot project)
- Managing change (change of legislation; awareness raising among authorities and business; providing trainings)

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Example: ASEAN Single Window

● **Political umbrella:**

- Agreement to Establish and Implement the ASEAN Single Window (2005)
- ASEAN Single Window Steering Committee

● **Technical matters:**

- *Protocol*
- *Technical Guide* - provides a compilation of relevant international standards, procedures, documents, glossary and technical details which are suggested to ASEAN members, as they deem appropriate
- *Technical Document* - provides suggested data models and methodologies for the process reengineering (developed by WCO, UN/CEFACT (UMM), UNTDED) and ICT applications (appropriate technologies, UN/EDIFACT, XML)

Developing a Single Window (3)

Functions:

- Receiving (forms, documents)
- Processing (data → audits, trade statistics)
- Exchanging (interoperability)
- Disseminating (information sharing with the relevant agencies)
- Coordinating (of controls and inspections of the relevant regulatory agencies)
- Collecting duties/ taxes

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Example: Functions within the ASEAN Single Window

“The National Single Window is a system which enables:

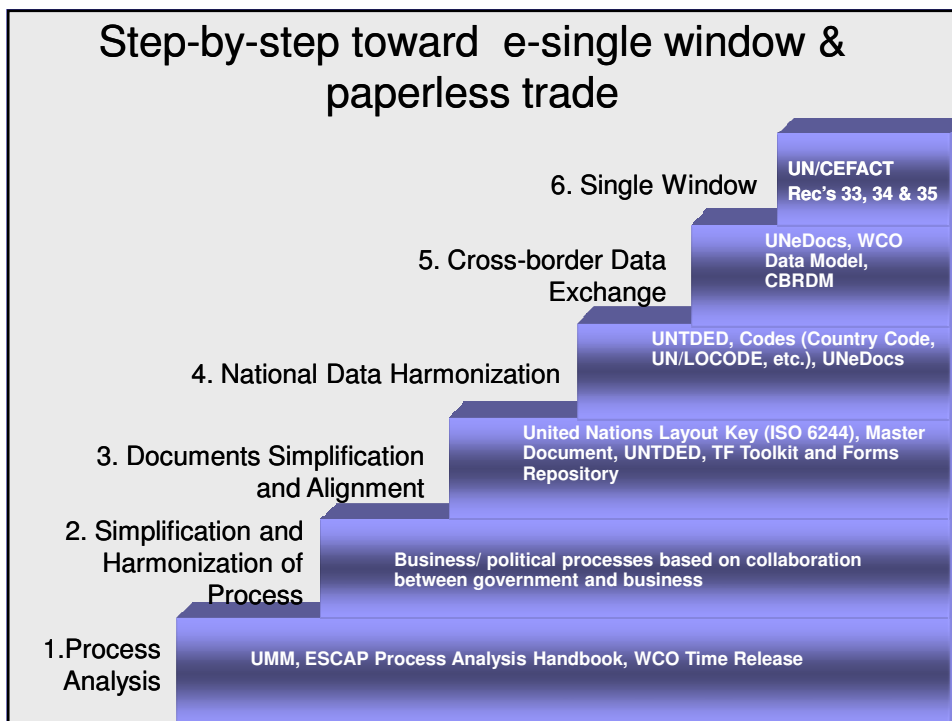
- A single submission of data and information;
- A single and synchronous processing of data and information; and
- A single decision-making for customs release and clearance. A single decision-making shall be uniformly interpreted as a single point of decision for the release of cargoes by the Customs on the basis of decisions, if required, taken by line ministries and agencies and communicated in a timely manner to the Customs.”

(Source: Agreement to Establish and Implement the ASEAN Single Window)

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Step-by-step toward e-single window & paperless trade



Data Harmonization for a Single Window

- **Why is it necessary?**
 - To interface individual single window systems (synchronization & interoperability)
 - To migrate to electronic trade documents
- **International standards:**
 - UN Trade Elements Directory (UNTDDED/ ISO 7372)
 - UN/EDIFACT Directories (ISO 7935)
 - UN/CEFACT Core Component Technical Specification (ISO 15000-5)
 - UN/CEFACT Core Component Library
 - United Nations electronic Trade Documents (UNeDocs)
 - WCO Data Model
 - WCO SAFE
 - UN/CEFACT Recommendation 34: Data harmonization (under development)
 - UN/CEFACT Recommendation 35: Legal issues (under development)

Example: Data Simplification & Harmonization in Thailand for NSW&ASW

- ◆ **DH Phase 1 (2007):** Data Harmonization of documents needed for import/export procedures through 4 modes of transportation (road, railway, sea and air)
 - 57 documents - 1,346 data elements are simplified & harmonized
 - **Results -> 210 data elements** (core components)
- ◆ **Phase 2 (2008 – in progress):** other documents required by governments, logistics providers, and business (including permits, licenses, payment, cargo insurance, etc.)
 - Other ~310 documents
 - How many data elements all together? (~7,000?)
 - The number of harmonized data elements ? (core components, ...)
- ◆ **Adoption & Implementation (2008):**
 - MICT has granted about 7.5 million US\$ for e-Documents Exchange Development for 14 government agencies.

Source: Dr. Somnuk Keretho, Thailand SW e-Logistics project



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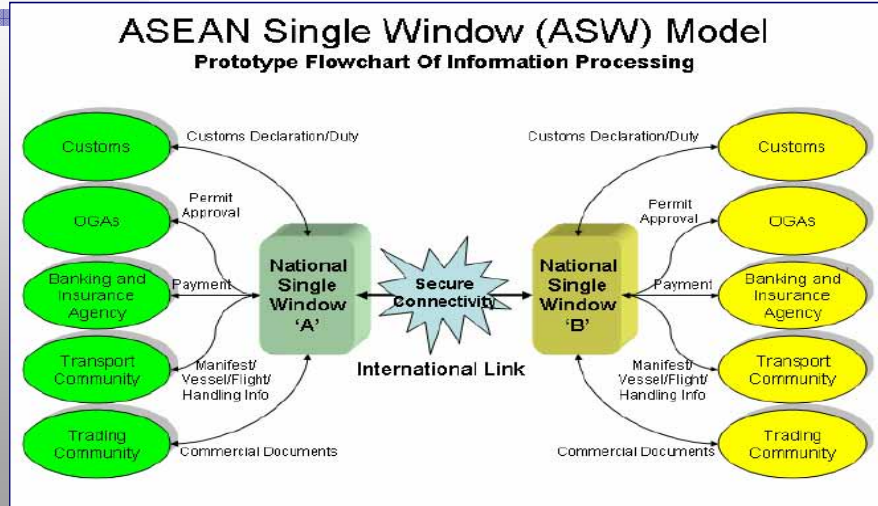
Example: Data harmonization for the ASEAN Single Window

- ◆ Analysis and reengineering of business process to further simplify, standardize and automate (based on UMM and UML)
- ◆ Methods of categorizing data elements for:
 - ASEAN Customs Deceleration
 - ASEAN Certificate of Origin (CEPT Form D)
- ◆ Review of data requirements for ASEAN SW
- ◆ Mapping of data elements of ten ASEAN members
- ◆ ASEAN Data Model (v.1) based on UNEDocs, WCO Data Model and UNTDED



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How to process data through ASW?



Source: ASEAN Secretariat



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Single Window Development in Central Asia

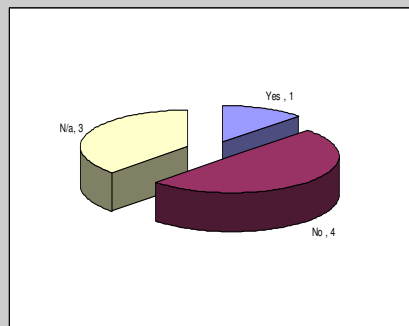


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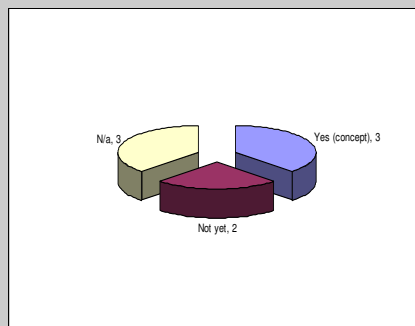
Single Window Readiness Survey in Central Asia: preliminary results (1)

- **Countries covered:** Afghanistan, Azerbaijan, Kazakhstan, Kyrgyzstan, Mongolia, Tajikistan, Turkmenistan and Uzbekistan

Formal definition of a Single Window?



Have you initiated a SW development?



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Single Window Readiness Survey in Central Asia: preliminary results (2)

- **Expected benefits:**

- Reduction of a number of paper-based documents
- Possibility of trade data exchange with other countries
- Reduction of corruption
- Saving time for traders and cutting down costs of trade transactions
- Trade facilitation & simplification

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Single Window Readiness Survey in Central Asia: preliminary results (3)

• **Areas, where assistance is needed:**

- Awareness-raising activities for traders at the senior management level
- Consensus building trainings for stakeholders
- Harmonization of domestic legislation with international instruments
- Harmonization of customs laws & regulations among countries (bilaterally/subregionally)
- Technical issues of the implementation of SW (for customs officials)
- Risk management techniques/ risk assessment indicators
- Adoption of the WCO SAFE

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Some constrains in implementing in Central Asia...

- ...lack of awareness at the top political level and among business
- ...no formally appointed a lead agency and no teamwork with other agencies involved in int'l trade
- ...lack of a harmonization with int'l standards
- ...preference to work with "paper"
- ...insufficient coordination with the neighbouring countries

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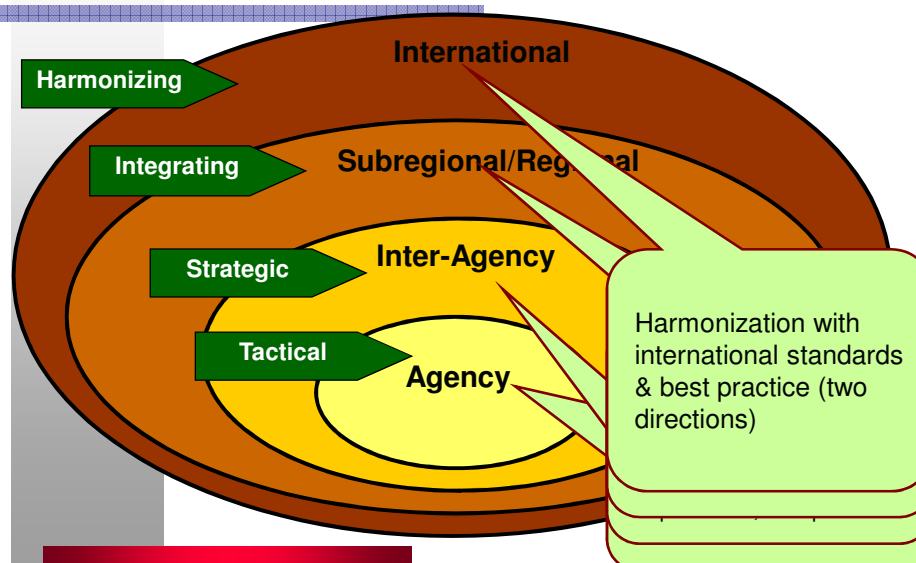
What can be done?

- ◆ Adopt a top-down approach: create awareness on benefits of SW at the senior political level
- ◆ Initiate development of national single window concepts
- ◆ Analyze, reengineer and simplify business processes in all countries
- ◆ Establish a subregional high-level task force to discuss and study options (political feasibility) and a working group to examine technical issues (technical feasibility)
- ◆ Harmonize data elements and develop a data model Model (based on UNeDocs, UNDTED and WCO Data Model)
- ◆ Pilot for subregional harmonized e-documents:
 - Option 1: eCert (health, sanitary, phytosanitary certificates)
 - Option 2: eCustoms Declaration
 - Option 3: eCertificate of Origin

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Linkages



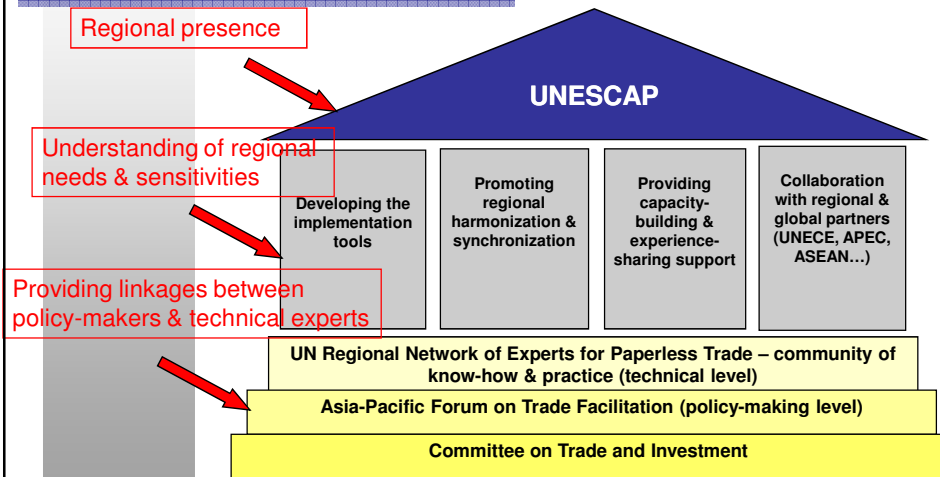
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ESCAP's Work to promote a Single Window

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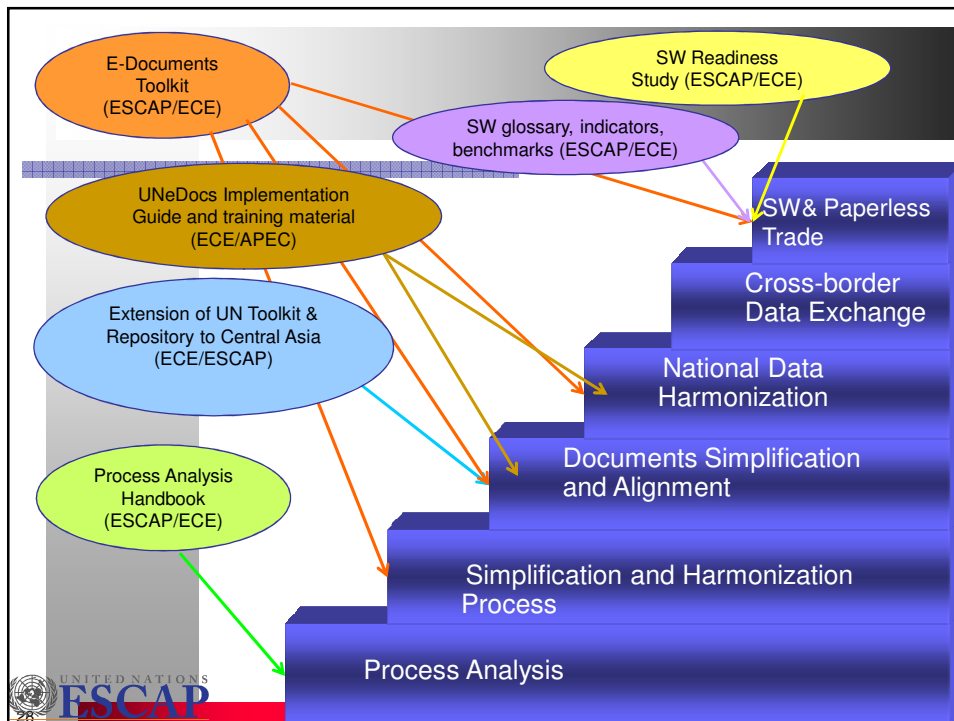


ESCAP's support to a single window



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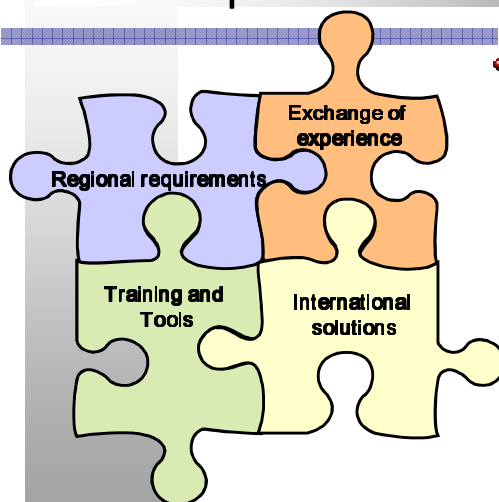
ESCAP Process Analysis Handbook

- A practical step-by-step guide to conduct business process analysis prior to the simplification, harmonization and standardization of procedures & documentary requirements
- Based on a Thailand case study – process analysis of export of shrimps
- To be available:
 - English version – September 2008
 - Russian version – November 2008

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UN Regional Network of Experts for Paperless Trade (UN NExT)



- **Mission:** provide community of know-how & practice in Asia-Pacific to empower local experts through:
 - ✓ Peer-to-Peer support
 - ✓ Synergy in capacity building
 - ✓ Joint methodologies and implementation of standards
 - ✓ Common regional approach to problem solving
 - ✓ Sharing of experience, solutions and lessons learnt
 - ✓ Information exchange at the regional level (web-based platform)
 - ✓ Joint use work group solutions and tools

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Way forward

- ESCAP/ADB collaboration: synergies between CAREC and ESCAP/ECE projects
- ADB/ESCAP Trade Facilitation Manual
- ESCAP/ADB Asia-Pacific Forum on Trade Facilitation

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Thank you

www.unescap.org/tid

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Questions?