SINGLE WINDOW, E-CERTS & AUTOMATION: LESSONS, EXPERIENCES & PATHWAYS FOR SPS.....
The World Bank Group is a major provider of trade related assistance with a current portfolio of 7 Billion

Analysis and Diagnostics
Technical Assistance
Financing of major trade infrastructure and institutional reform projects
Research and data products (LPI/Doing Business)
Global advocacy and partnerships
WTO-TFA PREPARATION & IMPLEMENTATION SUPPORT
TRADE FACILITATION SUPPORT PROGRAM (TFSP)

Objective

Assist developing countries in reforming and aligning their trade facilitation laws, procedures, processes & systems to enable implementation of the WTO TFA Requirements.

Vision

- Implementation focused
- Rapid response capability
- Deep engagement with the private sector
- Strong monitoring, evaluation & results framework
- Complementary & sequenced Technical Assistance (TA) activity
- IFC-WB presence in most countries, project components included at national and regional levels
- Global expertise
THE REGULATORY SINGLE WINDOW

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. For information submitted electronically, individual data elements should only be submitted once.

UN CEFACT, Recommendation No. 33, July 2005
THE REGULATORY SINGLE WINDOW

- **Single Submission of data and information;**

  Meaning each separate data item pertaining to the release/clearance of a shipment is only required to be supplied once (whether by a commercial operator or a government agency)

- **Single and Synchronous processing of data and information;**

  Meaning that the handling of the data in a specific release/clearance process by government agencies should involve one-time handling, from a Trader’s perspective, that may be synchronous across agencies, and

- **Single Decision-making for Customs release and clearance of cargoes**

  Meaning a single point of decision for the release/clearance of cargoes by Customs on the basis of decisions, if required, taken by line ministries and agencies and communicated in a timely manner to Customs

ASEAN Secretariat, ASW Technical Guide, March 2006
CONCEPT OF SINGLE WINDOW

Government Agency (e.g. Agriculture, Health, etc.)

Trader Folder

Registration

Business License

VAT Certificate

Authorisations

Application

Invoice

Bill of Lading

Packing list

Permits

Licenses

Declaration

Assessments

Inspection reports

Receipt

Release Note

Bank

NSW

LOGISTICS NETWORKS

CUSTOMS

AGENCY (Border)

CMS Customs (Border)
STRATEGY FOR BUILDING A NATIONAL SINGLE WINDOW ENVIRONMENT

Strategy Components

- Vision Statement
- Functional Model
- Operational Model
- Governance Model
- Financial Model
- Capacity Building Plan
- Legal Framework
- Constraints

Leading to...

Blueprint for Implementation to take to market
### IMPLEMENTING A SINGLE WINDOW: BEST PRACTICE PREPARATION (1)

<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
<th>Time Frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal Action Plan</td>
<td>Based on initial legal review &amp; required specific features of new functional requirements, plan for implementing any required legal changes</td>
<td>6 months</td>
</tr>
</tbody>
</table>
| Business Process Model     | - Business Process Analysis of current operation for all government agencies involved in trade (“as is” model)  
- Re-engineered Business Process Model (“to be” model) including new harmonized data model across all stakeholders                                                                                                                                                                                                | 6-9 months|
| Functional and Technical Architecture | - Functional Specifications of ESW system  
- Technical Platform for operation of ESW system (e.g. topology, hardware, communications, software platform, performance requirements, non-functional specifications)                                                                                                                                                   | 6-9 months|
| Operational and Governance Model | - Operational Model, i.e. functions to be performed by different parties of (e.g. system operation, facilities’ management, Help Desk, maintenance and support, etc.)  
- SLA’s governing the relationships between parties  
- Ownership, Oversight, Management and Reporting structure                                                                                                                                                                                                 | 6-9 months|
| Capacity Building Plan     | - HR Requirements  
- Training Needs Analysis  
- Training Plan                                                                                                                                                                                                                                                                                                                   | 3 months  |

Time frame depends on country context and can take longer...
## IMPLEMENTING A SINGLE WINDOW: BEST PRACTICE PREPARATION (2)

<table>
<thead>
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<th>Description</th>
<th>Time Frame</th>
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</table>
| **Fee Model**              | • Estimate of operational costs based on Functional and Technical Architecture, Operational Model and analysis of transaction volumes  
  • Recommended fee structure for operational cost recovery  
  • Recommended model for sharing revenue collected through the ESW and due to different agencies                                                                 | 3 months   |
| **Risk Management Model**  | Recommendations for leveraging shared data structures and facilities for the purpose of applying risk management principles across all government agencies with a view to incremental degrees of trade facilitation | 6-12 months|
| **Change Management**      | • Change Plan  
  • Communication strategy (i.e. how to communicate change to all stakeholders)                                                                                                                      | 6 months   |
| **Procurement Plan**       | • Procurement Specifications for products and services to be procured (e.g. software, hardware, infrastructure, outsourced services if any, etc.)  
  • Draft RFP’s                                                                                                                                      | 6 months   |
LESSONS LEARNT....

■ Managing complexity:
  • SW implementation is a long-term endeavor and complex
  • Any automation solution cannot be stand-alone, needs to be appropriate and customized for the existing context;
  • Must include all stakeholders, particularly SPS Agencies.

■ Creating an enabling institutional framework:
  • A change champion often important to initiate the process but change champions needed to sustain the long term effort involved
  • Leadership important but need to make sure all stakeholders share the same vision and accountability for success
  • Clear and unambiguous mandate for the lead agency is essential

■ Planning is key:
  • An automation trade processing system is an enabler and preparation beforehand is crucial
  • Challenges and risks need to be identified and pragmatically assessed - Ambitions and timelines need to be realistic (e.g. telecoms infrastructure, business culture etc)
  • Sequencing is key - Trade Information Portal a good place to start – requires the same inter-agency coordination