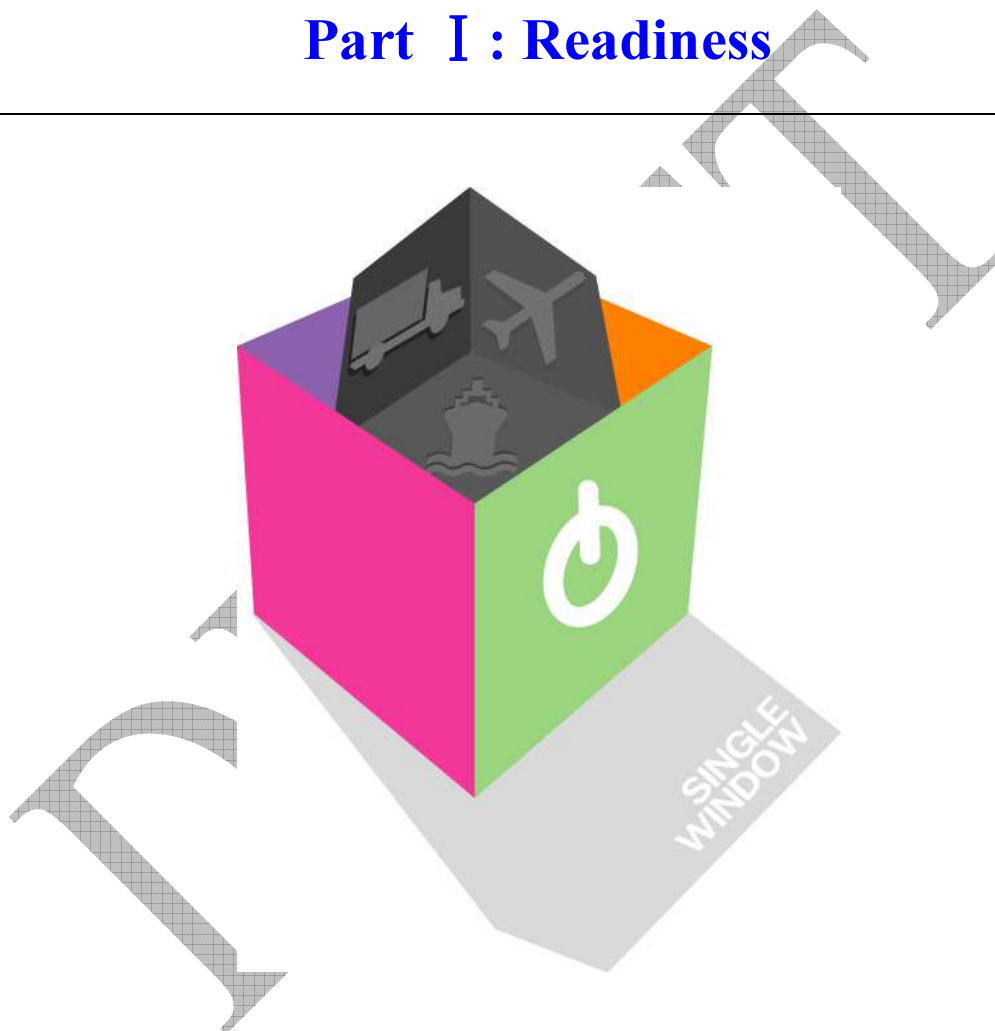


UNNExT Single Window Checklist

Part I : Readiness



I Introduction

1. Background

A Single Window (SW) is an approach to efficiently coordinate process and data needed to satisfy trade-related regulatory requirements with single entry point for traders. Due to its potential benefits, many countries in Asia and the Pacific have already implemented Single Windows and many others also consider implementation. Implementing a Single Window is not simply developing a facility, but nurturing an enabling environment in many areas.

Understanding their readiness before implementing a Single Window enables countries to identify where their shortcomings are and make more practical planning for implementable model. In response to the High-Level Symposium on Building Regional Capacity for Paperless Trade, held on Mar. 24 - 25 2009 in Bangkok, Thailand, pointing out the “need for a checklist for action for establishment of a single window,” ESCAP and UNECE have developed the Single Window Checklist with the support of the United Nations Network of Experts for Paperless Trade in Asia and the Pacific (UNNExT)

2. Purpose

To provide policy managers responsible for implementing single windows with an easy-to-follow reference checklist for assessing countries’ readiness in basic requirements.

The benefits this checklist can bring about are as follows:

- ✓ It can assist countries to plan effectively, prior to SW implementation.
- ✓ An analysis of checklist results can reveal problem areas that need to be addressed early in the preparation process
- ✓ It will highlight areas which need capacity building and technical assistance
- ✓ It can point to solutions which are relatively easy for a country to undertake using its own resources
- ✓ It can indicate areas for which in-depth trade facilitation reform would be required
- ✓ It can help countries which are preparing to implement SEW to draft their Master Plan

3. Target Audiences

The checklist is intended to support policy managers¹ in the countries not implemented Single Windows yet, to assess and plan future implementation of a Single Window. The checklist can be also useful for the policy managers of those countries that already implemented Single Windows in planning future improvement.

4. Structure

¹ Policy managers are government officials who are in a position to prepare policy improvement recommendations and implement policies with specific programs.

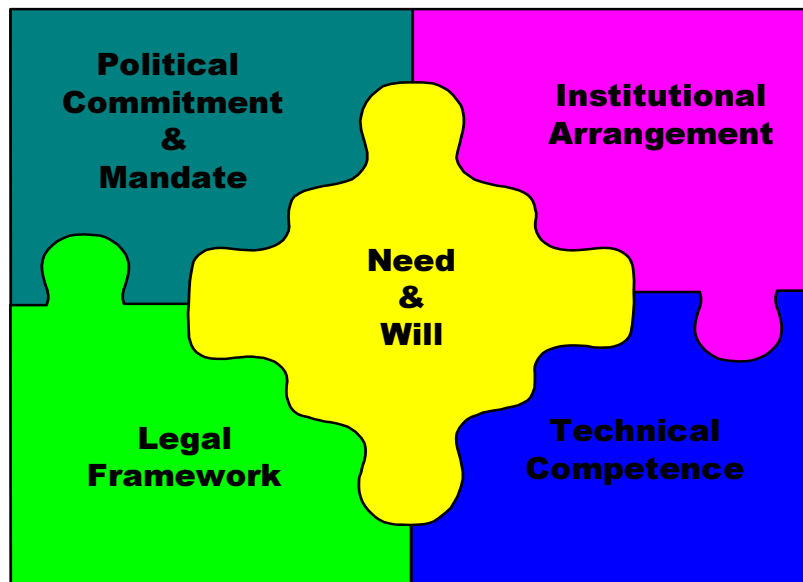
The UNNExT Single Window Checklist is composed of two parts – Readiness and Implementation. Part I is readiness checklist, allowing national policy managers to assess their readiness in implementing a Single Window through a review of key aspects of enabling environment. Part II is implementation checklist, to be used in actual implementation of a Single Window as a practical guide. This checklist comprises Part I of UNNExT Single Window Checklist.

The Readiness Checklist is mainly composed of introduction, checklist and annexes:

- (1) Introduction explains background and purpose of the checklist, target audiences and its structure and usage;
- (2) Checklist is the actual checklist composed of questions to answer. National stakeholders may use it to assess their national readiness; and.
- (3) Annexes provide annotation to checklist, which supplies additional explanation on the questions in the checklist, and information on useful references for Single Window implementation.

The Checklist part is structured with questions around sub-categories belonging to one of 5 core categories as follows:

- Need and Will
- Political Commitment and Mandate
- Institutional Arrangement
- Legal Framework
- Technical Competence



5. How to Use

Responding policy managers (Respondents) are to complete each question with Yes or No. If necessary and relevant, the Respondents are recommended to provide observations/comments in the corresponding space. If Respondents need additional information and clarification on question(s), they may refer to the Annotation provided in the Annex 1.

Upon completion of the checklist, consultants/advisors analyze the result of the completed checklist. Based on the result of the analysis, they identify the capacity gaps and capacity building needs.

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II Checklist

1. Need and Will				
Sub-Categories	Questions	Yes	No	Comments/Observations
Need	Are there identified and commonly understood problems in trade process and documentation?	<input type="checkbox"/>	<input type="checkbox"/>	
	Are there major trade-related barriers to attracting or promoting foreign direct investment?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is national competitiveness at stake due to trade-related barriers?	<input type="checkbox"/>	<input type="checkbox"/>	
	Does your country have regional-level commitment to Single Window or paperless trade initiatives?	<input type="checkbox"/>	<input type="checkbox"/>	
Awareness, Willingness, Desire and Resolve	Are trade-related government agencies aware of the benefits of trade facilitation measures such as paperless trade and Single Window?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is trading community aware of the benefits of trade facilitation measures such as paperless trade and Single Window?	<input type="checkbox"/>	<input type="checkbox"/>	
	Do major stakeholders have proper understanding on what trade facilitation can bring about and what it cannot?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a government mandate for trade facilitation?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a public commitment to trade facilitation from top political or government figure?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there any initiative or commitment from private sector on trade facilitation?	<input type="checkbox"/>	<input type="checkbox"/>	
Business Case	Is your country's trade volume big enough to justify the expenses for major Single Window or paperless trade initiatives?	<input type="checkbox"/>	<input type="checkbox"/>	
	Can the business value of Single Window implementation be demonstrated to major stakeholders?	<input type="checkbox"/>	<input type="checkbox"/>	
	Are there potential sources of funding to be secured for Single	<input type="checkbox"/>	<input type="checkbox"/>	

	Window implementation?			
	Has feasibility study (including cost benefit analysis) prepared or done for any paperless trade or Single Window initiatives?	<input type="checkbox"/>	<input type="checkbox"/>	

2. Political Commitment and Mandate

Sub-Categories	Questions	Yes	No	Comments/Observations
Vision	Is there a national export (or export promotion) strategy?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a national trade (and transport) facilitation strategy such as Trade Facilitation Action Plan?	<input type="checkbox"/>	<input type="checkbox"/>	
	If yes, is it part of any bigger national strategy?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has your government identified trade facilitation as a policy objective?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there any master plan or roadmap for trade facilitation, especially in the area of paperless trade and/or Single Window?	<input type="checkbox"/>	<input type="checkbox"/>	
	Do you have human and technical capacity to develop a master plan on trade facilitation?	<input type="checkbox"/>	<input type="checkbox"/>	
Sponsorship & Leadership	Is there a cabinet-level support for trade facilitation?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there an existing or potential political champion to support paperless trade initiatives?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has a lead agency been identified for paperless trade or Single Window initiatives?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has the role of a lead agency been defined?	<input type="checkbox"/>	<input type="checkbox"/>	
Funding	Has assessment on funding requirement done for Single Window implementation?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has financing source for Single Window implementation been already identified?	<input type="checkbox"/>	<input type="checkbox"/>	

3. Institutional Arrangement

Sub-Categories	Questions	Yes	No	Comments/Observations
Coordination	Is there a national mechanism to coordinate trade-related	<input type="checkbox"/>	<input type="checkbox"/>	

Mechanism	regulatory agencies?			
	Is there a platform for coordinating interests and concerns of trade community?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has a National Trade (and Transport) Facilitation Committee (NTTFC) established?	<input type="checkbox"/>	<input type="checkbox"/>	
	If yes, is it active?	<input type="checkbox"/>	<input type="checkbox"/>	
	- Does the NTTFC have effective coordination function?	<input type="checkbox"/>	<input type="checkbox"/>	
	- Does the NTTFC have all the major public and private sectors stakeholders as members?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has the NTTFC included implementation of paperless trade or Single Window initiatives in its work programme?	<input type="checkbox"/>	<input type="checkbox"/>	
	If no, is there any other platform for implementation of paperless trade or Single Window initiatives	<input type="checkbox"/>	<input type="checkbox"/>	
	Has communication strategy been set for Single Window implementation?	<input type="checkbox"/>	<input type="checkbox"/>	
Business & Operation Model	Has change management strategy been set for Single Window implementation?	<input type="checkbox"/>	<input type="checkbox"/>	
	Do you need capacity building support in arranging appropriate coordination mechanism?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has there been a consensus on feasible operation model of a Single Window? If yes, please indicate.	<input type="checkbox"/>	<input type="checkbox"/>	
	- Integrated model	<input type="checkbox"/>	<input type="checkbox"/>	
	- Interfaced model	<input type="checkbox"/>	<input type="checkbox"/>	
	- Hybrid (mixed) model	<input type="checkbox"/>	<input type="checkbox"/>	
	- Others (Please specify)			
	Has potential operator of a Single Window identified?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has there been a consideration on business model of a Single Window?	<input type="checkbox"/>	<input type="checkbox"/>	
	If yes, please indicate.			
	- Free of charge	<input type="checkbox"/>	<input type="checkbox"/>	

	- Fee based	<input type="checkbox"/>	<input type="checkbox"/>	
	Has there been a consideration on various options for funding the implementation of a Single Window such as a Public Private Partnership (PPP)?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has a consideration given to long-term sustainability in selecting the best operational model?	<input type="checkbox"/>	<input type="checkbox"/>	
	Do you need capacity building support in designing best operation/business model?	<input type="checkbox"/>	<input type="checkbox"/>	

4. Legal Framework

Sub-Categories	Questions	Yes	No	Comments/Observations
Legal Basis for SW Implementation & Operation	Has review done on legal gap of national laws for implementation and operation of a Single Window?	<input type="checkbox"/>	<input type="checkbox"/>	
	Do you have laws governing e-Business/e-Commerce?	<input type="checkbox"/>	<input type="checkbox"/>	
	Do you have laws governing e-Government?	<input type="checkbox"/>	<input type="checkbox"/>	
	Do you have laws governing electronic signature, such as electronic signature act?	<input type="checkbox"/>	<input type="checkbox"/>	
Data Protection, Exchange and Archiving	Is functional equivalence of electronic document to paper document guaranteed in legal provision?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a national law covering procedures and technologies for identification, authorization and authentication of users, as a measure to ensure quality, accuracy and integrity of data, in place?	<input type="checkbox"/>	<input type="checkbox"/>	
	Are proper data protection mechanisms available to ensure security, privacy and confidentiality of personal and business information?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a legal provision to facilitate secure cross border data exchange?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a standard procedure for electronic archiving of information in place?	<input type="checkbox"/>	<input type="checkbox"/>	

	Is a standard measure for audit trail available?	<input type="checkbox"/>	<input type="checkbox"/>	
Arbitration, Dispute Resolution, IPR and Competition	Is there an arbitration and dispute resolution mechanism that can be applied to the implementation of a Single Window?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a clear common understanding or legal provision on who has data ownership and Intellectual Property Rights over trade data?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there any possible domestic situation that competition issues (antitrust, protectionism, etc.) may arise with a Single Window operation?	<input type="checkbox"/>	<input type="checkbox"/>	

5. Technical Competence

Sub-Categories	Questions	Yes	No	Comments/Observations
ICT Policy	Is there a national ICT master plan?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a national e-Government master plan?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a national e-Business/e-Commerce master plan?	<input type="checkbox"/>	<input type="checkbox"/>	
	Does your national ICT, e-Government, e-Business/e-Commerce mater plan include paperless trade or Single Window initiative(s)?	<input type="checkbox"/>	<input type="checkbox"/>	
	Has the country's technological readiness in ICT been assessed? If so, please provide the assessment in Comments/Observations.	<input type="checkbox"/>	<input type="checkbox"/>	
	Is data available for national ICT readiness from outer sources such as EIU, ITU, etc.? If so, please provide assessment from such sources in Comments/Observations.	<input type="checkbox"/>	<input type="checkbox"/>	
	Have resources been sought and secured to address any major ICT gaps?	<input type="checkbox"/>	<input type="checkbox"/>	
ICT Capacity (Basic Infrastructure Security, Privacy, and	Is communication infrastructure, such as Public Packet Switching network, installed?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is Internet connectivity, especially broadband, available for both public and private sectors? What is the penetration ratio?	<input type="checkbox"/>	<input type="checkbox"/>	

Network Connectivity)	Is Internet connectivity available with affordable price?	<input type="checkbox"/>	<input type="checkbox"/>	
	Are computers (PCs) available for trading community?	<input type="checkbox"/>	<input type="checkbox"/>	
	What is the penetration ratio?			
	Is IDC (Internet Data Centre) available for safe maintenance of Internet-based service?	<input type="checkbox"/>	<input type="checkbox"/>	
	Are ISPs (Internet Service Providers) in place to provide accessibility of Internet to trading community?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is VAN (Value Added Network) service provider available for data interchange service?	<input type="checkbox"/>	<input type="checkbox"/>	
	If VAN (Value Added Network) service is available, is it affordably priced?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is Public Key Infrastructure in place to authenticate electronic certificate?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is privacy policy on electronic data in place?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is electronic trade document introduced and used, using either EDI (Electronic Data Interchange) or Internet (Web) technology?			
	Is safe retention/storage mechanism for electronic trade data in place?	<input type="checkbox"/>	<input type="checkbox"/>	
Process and Data Standardization	Is national EDI standard for trade defined in the following areas? - data element, - data format, - data exchange protocol	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
	Is national EDI standard for trade aligned with international EDI standard?	<input type="checkbox"/>	<input type="checkbox"/>	
	Is there a standard Agency for EDI standardization?	<input type="checkbox"/>	<input type="checkbox"/>	
	Are IT experts available for business process modeling, data harmonization and standardization?	<input type="checkbox"/>	<input type="checkbox"/>	
Process Automation of Relevant	Is process automation in place for trade-related agencies? If so, please indicate. - Customs	<input type="checkbox"/>	<input type="checkbox"/>	

Institutions	<ul style="list-style-type: none"> - Certification agencies (Customs and Chamber of Commerce) - Port (sea port, dry port and/or airport) Authority - Inspection agencies - Immigration office - Banks - Others (Specify) 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
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ANNEX 1. Annotation to Checklist

ANNEX 2. References and Websites on Single Window

References	URL
UNNExT Brief	http://www.unescap.org/unnnext/pub/brief.asp
UN/CEFACT Single Window Repository	http://www.unece.org/cefact/single_window/welcome.htm
UN/CEFACT Trade Facilitation Recommendations	http://www.unece.org/cefact/recommendations/rec_index.htm
WCO Information Store on Single Window	http://www.wcoomd.org/sw.htm
A Roadmap toward Paperless Trade	http://www.unece.org/cefact/publica/ece_trd_371e.pdf
APEC Single Window Implementation Guide	http://publications.apec.org/publication-detail.php?pub_id=910
UNCITRAL Model Law on Electronic Commerce	http://www.uncitral.org/uncitral/en/uncitral_texts/electronic_commerce/1996Model.html
UNCITRAL Model Law on Electronic Signatures	http://www.uncitral.org/uncitral/en/uncitral_texts/electronic_commerce/2001Model_signatures.html
UNCITRAL model Law on International Electronic Contracting	http://www.uncitral.org/uncitral/en/uncitral_texts/electronic_commerce.html
EU Directive on Electronic Commerce	http://ec.europa.eu/internal_market/e-commerce/directive_en.htm
EU Directive on Electronic Signature	http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:31999L0093:EN:HTML