Working Meeting of the UNECE Group of Experts on Risk Management in Regulatory Systems

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Update on project on Integrated Risk Management in Single Window Systems

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Objectives of the project

• Developing a White Paper guideline to describe the best practices of coordinated risk management among multiple government agencies through a Single Window
  • A practical example of applying the principles of WP.6 GRM Recommendation V (and preceding recommendations)
  • To the principles of the UN/CEFACT developed Recommendation 33 (and subsequent SW recommendations).

• Planned to be developed in close collaboration with the experts of the UN/CEFACT Single Window domain
Project Meetings - Progress/Plan of work

- Project launch meeting - 6 March 2023 - Georgia, Singapore
- GRM Annual Session - 25 May 2023:
  - Customs - experience of Georgia, Nigeria, Mexico
  - Product regulators – experience of New Zealand, Greece, NAPPO
- Development of a concept paper and a draft questionnaire
- Project Meeting – 2 August 2023 (around 10 people)
- Comments on the draft
- Preparation of the final version of the questionnaire

Diagram:
- Developing a questionnaire on applying the principles of WP.6 Rec V in a Single Window
- Identifying relevant stakeholders
- Single Window Operators/Customs (1st stage) in a number of countries
- Bureau approval
- Conducting interviews
- Processing data and identifying challenges/best practice
- Drafting a guidance document
Setting the context

• WP.6 Recommendation V recommends that governments “develop harmonized, cross-agency criteria for the evaluation of non-compliance risk and apply overall border compliance time and costs as evaluation metrics.”
• The result of this cooperation is an integrated risk management (IRM) system.

• UN/CEFACT Recommendation 33 on Establishing a Single Window defines a single window (SW)
• “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.”

• A cross-section between the two concepts aiming to harmonize all procedures at the border
  • for risk management purposes
  • for import/export/transit procedures.

• A SW can assist in bringing together all government agencies and their risk management needs
• Risk management can be enhanced through a SW facility and an integral part of clearance procedures.
Objectives of the survey

Identify how main elements of an IRM system described in Recommendation V are already applied in SW systems

Identify best practice and challenges of implementing IRM in SW systems

Compare perspectives of various stakeholders involved in IRM and SW
Survey methodology

• Responses will not be individually published
• Different questionnaires for SW operators and other regulatory authorities involved in border control
• A set of countries in which the survey will be performed based on availability of countries to respond and their state of advancement of IRM and SW
  • The survey will be first sent to the SW operator, so that the overall picture could be understood;
  • SW operator will be asked to identify other regulatory agencies involved in border control that could be appropriate to contact for the survey purposes;
• The questions may be adapted to needs assessment purposes for building an IRM system
Questionnaire to SW operators (32 questions): subjects covered

- Strategy, SW and IRM, PGA involvement
- RM cooperation among RA, common risk criteria, and the SW
- Historic data and integrated database, overall border compliance time as metric
- Providing data/assistance for building profiling system by regulatory agencies
- Testing risk criteria
- Integrating compliance rules of product regulators into a single system
- Getting data on incoming shipments
- Assessment of incoming shipments
- Shipment clearance
Next steps

- Building a list of (potential) relevant respondents
- Sending out the survey (offering help)
- Conducting interviews (if needed)
- Processing data
- Identifying best practice and drafting a guideline paper