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White Paper

Single Window Assessment Methodology

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Acknowledgement

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Table of Contents

1.   Introduction

The Single Window is a widely accepted trade facilitation tool that has been adopted by more than 120 member countries of the World Trade Organisation (WTO) through agreements to comply with article 10.4 of the Trade Facilitation Agreement (TFA).

The Single Window is a facility that allows traders to submit standardised information and documents through a single point of entry to meet the requirements for import, export, and transit. However, the interpretation of the Single Window concept varies among countries, and discrepancies in scope, participants, and objectives have posed challenges during the revision of the 2005 ECE Recommendation N°33. To overcome these challenges, the 2020 version of the recommendation has introduced updated definitions and descriptions of the Single Window, identifying five key elements that must be implemented to comply with international standards.

1.   Parties involved in trade and transport.

2.   Standardised information and documents.

3.   Single entry point.

4.   Fulfilling regulatory requirements; and

5.   Single submission of individual data elements.

However, simply relying on the five key elements mentioned above may not be sufficient to determine whether the existing facility meets the requirements of trade facilitation and international frameworks and standards. Therefore, it is essential to have additional indicators that enable governments to assess the level of development of a Single Window.

Another aspect that renders the topic relevant is that the WTO Trade Facilitation Agreement (TFA) contains Article 10.4, wherein the countries must make their best efforts to implement the Single Window (WTO, n. d.). Member states to this Agreement must notify their performance of each article. As practice has shown, Article 10.4, Single Window, is a complex application to be implemented, and hence many countries are facing difficulties in notifying it as satisfied.

At the same time, the countries that notified this item as satisfied lacked any clear assessment methodology. Misunderstanding the concept of a Single Window—or being guided by an outdated version of Recommendation No. 33, which might be interpreted differently—proper authorities concluded that a Single Window had been created and labelled this item as satisfied pursuant to Article 10.4 of WTO TFA.

It is worth noting that implementing a Single Window facility is not an end in itself. The purpose of a Single Window is to facilitate trade by streamlining the information exchange between traders and government authorities. The objective set by the project is not achieved unless trade has been significantly facilitated. Hence, notifying Article 10.4 of WTO TFA as satisfied would be misleading, because Single Window projects need to be considered as an ever-evolving platform that should be in constant improvement, upgrading, adding functionalities or simplifying procedures. But in such a case, what evidence can prove beyond a reasonable doubt that the objectives of implementing a Single Window have been achieved? How can the government or operator evaluate the level of implementing a Single Window?

Some parts of the answer are provided by international rankings, such as Logistic Performance Index (LPI index), and WCO Time Release Study (TRS) measure, World Economic Forum's Global Competitiveness Index and World Bank Doing Business until it was discontinued (September 2021).

Moreover, these standards are contained in Recommendation No. 33 as well as in the 'Guidelines on implementing a Single Window'[1]. However, systematised assessment standards are not yet available. All mentioned factors make this whitepaper relevant.

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[1]   https://unece.org/fileadmin/DAM/trade/Publications/ECE-TRADE-404_SingleWindow.pdf

Therefore, the proposed methodology can be used to evaluate the maturity level of a Single Window multiple times to monitor the dynamic nature of the implementation process. It can also provide guidance on identifying areas for improvement and developing a roadmap for future development.

2. Significance of single window assessment methodology

In order to meet the trade facilitation and standards set forth by the WTO and UN/CEFACT, countries require practical tools for constructing and enhancing their Single Window. To aid countries in this effort, an evolving methodology has been developed for assessing the level of Single Window development, which will increase awareness of its status and identify key areas for improvement in international trade procedures and facilitation.

Applying mathematical methods and quantitative indicators to qualitative and quantitative research enables an objective evaluation of subjective research material of the SW implementation level and identifies the gap and the developments, changes, improvements or implementations that need to be made. The methodology can be applied, adapted, by national governments and international organisations for the assessment.

The main objective of conducting the SW assessment is to offer practical guidelines for examining the current state of SW development and providing suggestions for future improvements that align with global best practices and recommendations. It is advisable to perform this evaluation at least once a year or when progress is made in any of its segments or elements.

The assessment process will focus on three main pillars:

- Analysis of the institutional and legal framework that support the SW system.
- Evaluation of the information technology framework used for the development and implementation of the SW system.
- Assessment of the SW system's performance and user engagement.

3. Single Window assessment methodology

The SW development assessment consists of two main stages:

1.   Collection and analysis of data within the country where the assessment is conducted.

2.   Evaluation of SW development progress and measurement of improvements in trade facilitation.

To conduct an assessment, a country or lead agency must appoint an authorised body responsible for organising and coordinating the assessment and collecting necessary data and information. The authorised body should also identify government agencies and representatives of the business community to be involved in the analysis. It is recommended to form these individuals into groups, such as one group for government agencies already providing services in the Single Window, another for those government agencies not yet involved, a third for representatives of the business community, and a fourth for the lead of the Single Window project and an independent expert. These focus groups should be based on expertise, sector, or area of collaboration in the Single Window. Additionally, the authorised state body may involve research and educational institutions, independent experts, business analysts, representatives of consulting companies, and other experts in the analysis of the level of development of the Single Window.

Having independent international experts on the assessment team can be beneficial, as it brings global expertise and increases the representativeness of the assessment. It has been observed that international companies can also participate in the assessment, or a team of international experts can be invited to provide an impartial view and

incorporate other country or regional references. It is important to establish a reasonable time frame for the assessment. Typically, the preparation phase, conducting interviews, collecting primary data, and preparing the report can take anywhere from three to six months.

To ensure efficient use of resources and timely completion, it is recommended to conduct parallel analyses of the institutional, legal, informational, and technical frameworks of the Single Window. The authorised state body should send questionnaires to participants based on their expertise and the thematic expert groups formed. Utilising modern software services such as online forms can automate the distribution of questionnaires to all participants, enabling the tracking of responses and timely reminders to ensure response deadlines are met.

The assessment of a successful Single Window system involves the identification of key indicators that describe the most critical factors, such as legal and corporate governance formats and technological and information technology factors. These indicators are grouped according to Section J of the revised version of Recommendation No. 33 on Single Window development.

The experts should assess the crucial factors influencing the Single Window, based on their analysis of the materials received and by applying the standards outlined in Section J of Recommendation No. 33 on Single Window development, using a qualitative verbal- quantitative numerical scale to define response intervals for assessment. Each standard is graded based on predetermined criteria. When choosing the grading system, international recommendations, and standards, as well as successful international experiences in developing Single Window and trade facilitation, should be considered.

3.1   Stakeholders to consider for Single Window assessment

In order to apply SWAM (Single Window Assessment Methodology), it is recommended to consider the following stakeholders for interviews, questionnaires, and data collection:

NTFB committee members (if available in the country), Custom Authority, relevant ministries and their agencies, licenses, permits, certificates and other issuing authorities, border control agencies, tax and revenue departments, Port Authorities, Terminal Operators, Shipping Lines, airlines, Freight Forwarders, Courier Services, Single Window Operator, other Supporting IT platform operators, traders, brokers, banks, and insurance companies. Additionally, free zone operators and users, and any other relevant actors or stakeholders within the country or state should also be considered.

3.2.   Sources of Information for the SWAM

The recommended sources of information for the assessment are:

a)   National (state) and regional programmes, regulations, action plans ("roadmaps"), and other legal acts.

b)   Comments, instructions, orders, reports, and other official documents related to trade facilitation, including those from independent experts and judicial and administrative decisions.

c)   SW governance agreements and rules between the SW operator, users, and government agencies.

d)   Results from interviews with government and business community users who use the Single Window.

In addition, informative articles on the review states' legislation, unions/chambers' opinions, reports of international organisations, recommendations from various conferences and seminars, international commentaries, and other open sources of information can also be used for the assessment.

The assessment should collect the following types of information:

- Publicly available/non-proprietary information: information that can be shared without requiring any disclaimer or permission from the owner(s) of the data/information.

- Proprietary information: The owner(s) of the data/information must provide preliminary consent, in writing, for sharing totally, partially, or only for consolidated use.

- Confidential information: The owner(s) of the data/information must provide consent, in writing, for sharing totally, partially, or only for consolidated use.

3.3   Approach for the assessment

To quantitatively assess the progress of Single Window (SW) implementation, three approaches have been proposed:

1. The Express Analysis Approach, which evaluates the availability of SW in the country based on five key elements.

2. The Key Factors-Based Assessment Approach, which assesses the successful functioning of SW based on key factors.

3. The Objectives-Based Assessment Approach, which evaluates the achievement of SW implementation objectives for both government and business.

3.3.1   The express analysis approach

To determine the availability of Single Window in a country, an assessment can be conducted by examining the available resources to meet the five key elements of the Single Window definition (as presented in Table 1). If any of the key elements are missing, it can be concluded that a Single Window has not been fully implemented. This approach allows for a rapid assessment of the Single Window's availability.

Table 1:
Five key elements of Single Window

No	Feature	Not implemented	Partially implemented	Implemented
1	Parties involved in trade and transport (both from the public and private sectors)	0	0.5	1
2	Standardized information and documents. Use of internationally recognised standards where they exist for the coordination between stakeholders and government.	0	0.5	1
3	Single entry point (an entry point means the facility where all data concerning a transaction should be submitted electronically; an economic operator should only need to submit their data to one such entry point for their transaction).	0	0.5	1

No	Feature	Not implemented	Partially implemented	Implemented
4	Fulfilling regulatory requirements (which implies that a Single Window fulfils a government function and, as such, it has received a relevant mandate from the government to perform these actions).	0	0.5	1
5	Single submission - every data item and every document (image or e-document) submitted by a trader as part of an international trade transaction would be submitted to the SW only once and then reused as necessary for all agencies/authorities involved.	0	0.5	1

As an illustration, suppose that three key features are fully implemented (scored 1) while the other two are only partially implemented (scored 0.5). The overall score would be calculated by adding up the individual scores and dividing by the total number of features, resulting in a score of 0.8 out of 1 or 80%.

On the other hand, let's consider a scenario where two key features are fully implemented while the remaining three are not implemented at all. The overall score would be calculated by adding up the individual scores and dividing by the total number of features, resulting in a score of 0.4 out of 1 or 40%.

3.3.2 The Key factors-based assessment approach

To evaluate the successful functioning of a Single Window, a set of indicators have been identified based on the most critical legal, technological, and information technology factors, as grouped in Section J of the revised version of Recommendation No. 33/2020 on Single Window development.

Experts will assess each of these key factors by analysing the materials provided and applying a verbal-numerical scale to determine a response interval for assessment. Each standard is evaluated using grades that are selected based on international recommendations and standards, as well as compliance with successful international experience in Single Window development and trade facilitation.

Our recommendation is to assign scores to each point (indicator) within the key factors and then calculate their average to determine the overall grade. Alternatively, another approach could involve considering indicators and scoring the key factor as a whole, rather than scoring each individual indicator.

Table 2:
Key factors

Grade: 1 - very low / 2 – low / 3 – medium / 4 - above medium / 5 – high

Key factor	Indicators to describe the key factors	Grade
1. Political will	• The government and executive power support the implementation of the Single Window. • In the case of change in government and (or) executive power leadership, maintaining the strategy, vision and goals of the Single Window through the transition and beyond. • A high-ranked official who has the authority to make and impose decisions related to SW and is supported by the prime minister/president shall be designated in charge to supervise the project. • The business community provides public support for the implementation of the Single Window.	
2. Strong lead agency	• The Single Window is supported by legislation or governmental decree, providing a strong mandate for the lead agency. • A consultative body is established, including representatives from relevant state authorities, organisations, and the business community, to ensure transparency and inclusiveness in decision-making. • The lead agency regularly reviews and updates its strategic plans, ensuring alignment with current needs and future expectations of the public.	
3. Engagement and Collaboration between Single Window and Business Community	• Business community actively participates in the meetings of the authorised Single Window lead agency. • High level of interest and involvement from the business world in developing the Single Window, including local projects such as data portals, terminals, and B2B networks. Business associations host on-site meetings, create road maps, and participate in evaluating regulators' activities. • Established trade forums provide a platform for the trade community to communicate and receive support regarding Single Window queries, issues, and enhancements. • Year-to-year growth in the number of companies adopting and integrating the Single Window within their businesses and processes.	
4. Ease of use, accessibility, and support	• Availability of comprehensive and up-to-date user guides, instructions, and self-learning resources online. • Availability of a help desk or customer support, as well as an online feedback/enquiry form. • Integration with the Trade Information Portal (TIP) or regular publication of information on international trade processes, taxes and duties, HS classification, and the latest trade updates on the Single Window (SW) portal, if TIP is not available.	

Key factor	Indicators to describe the key factors	Grade
	● Utilisation rate of SW services for regulatory filings (EXIM Declarations) and LPCO submissions, graded as low (0% to under 30%), medium (30% to 50%), above medium (50% to under 70%), and high (70% and over).	
5. Legal or Governance Framework	● Establishment of rules for the exchange of B2G and G2G e-data and e-documents, and their use. ● Provision to file information with government authorities only once. ● Provisions related to e-customs, e-commerce (including payments), transport, and logistics concerning the validity of e-documents, and submitting and exchanging data using e-signature (following UNCITRAL rules) or equivalent authorizations. ● Provisions related to the admissibility of e-documents and messages as evidence in the court. ● Provisions related to the cooperation of government authorities at the border. ● Provisions related to public-private partnerships to finance and operate the system if required. ● Provisions related to terms and conditions for users of Single Window system, and that the conditions of use, including corporate governance of the SW, are consistent with the legal framework, complete and legally fair.	
6. Standardisation and Interoperability	● Compliance with UN/CEFACT recommendations such as Recommendations No.1 and No.18 for streamlined harmonised, and simplified information. ● Adoption of relevant international data exchange standards, such as the WCO Data Model and/or UN/CEFACT data libraries and Reference Data Models. ● Utilisation of other applicable international standards, such as ISO and GS1, for designing and implementing the Single Window.	
7. Financial Sustainability	● Availability of financial resources from government, banks, international bodies, and public-private partnerships. ● Co-financing of the project by members of the business community. ● Presence of a self-sustaining operating model	

Key factor	Indicators to describe the key factors	Grade
8. Public Awareness and Communication	● Public outreach activities are conducted to promote the implementation of the Single Window project, including organising events, presentations, and advertising campaigns to raise awareness. ● An effective marketing strategy is in place to promote the Single Window services. ● Improving transparency through regular publication of progress reports and updates to inform stakeholders of project achievements, challenges, and the status of the implementation of the Single Window system.	
9. Operational Continuity and Disaster Recovery	● Clarity of emergency response procedures for operational personnel to restore system operability in case of emergencies or force majeure events. ● Availability of backup and restore processes to ensure system continuity and data recovery. ● Implementation of data governance policies to ensure privacy, security, and compliance. ● Clarity of recovery plans in case of disasters or system disruptions.	
10. Environmental and/ Social Sustainability	● The percentage of paperless transactions processed through the SW compared to the total transactions processed. ● Reduction of greenhouse gas emissions: Total distance saved by traders due to reduced physical visits to government agencies through SW. ● Sustainable use of resources: Percentage of energy-efficient electronic devices used in the SW system. ● Equal access to the Single Window System (depending on the percentage of users from different regions or demographics who have access to and use the SW system). ● Social inclusion and diversity (depending on the percentage of SW staff from diverse backgrounds and the level of inclusion policies implemented in the workplace).	

For instance, if seven key factors receive medium responses while the remaining three factors receive high responses, the score is calculated as follows:

$$(3 \times 7 + 5 \times 3) / 10 = 3.6 \text{ out of } 5$$

This score indicates a general evaluation of 72%.

3.3.3   The objectives based assessment approach

This method of evaluating a Single Window implementation is derived from Section F of the updated Recommendation No. 33 on Single Window development, which outlines the benefits of Single Window implementation for both businesses and governments.

The fundamental idea behind this approach is to assess any measurable reductions in business or government expectations because of Single Window implementation. If stakeholders involved in the Single Window notice positive changes in their daily operations (as listed in Table 3), then the project goals can be considered achieved, and the Single Window can be deemed to have been implemented successfully by the government authorities.

Table 3:
Government and business perspectives

Grade: 1 - very low / 2 – low / 3 – medium / 4 - above medium / 5 – high

No	Government expectations	Grade
1	Improved coordination and cooperation among government agencies involved in trade-related activities	
2	Efficient and seamless sharing of trade-related information among different government agencies	
3	Maintaining all trade-related data in an electronic format and sharing it with the appropriate agency as and when required	
4	Use of Single Window data for risk management purposes to minimise physical inspections and reduce inspection time	
5	Quick and easy analysis of trade flow data and performance, and the ability to prepare analytical reports and statistical material	
6	Increased efficiency in revenue collection through streamlined processes and reduced paperwork	
7	Improved trader compliance through the integration of legal and procedural requirements in a timely manner	
8	Simplified, harmonised, and automated procedures across different government agencies involved in trade-related activities.	
	Business expectations	**Grade**
9	Traders are able to submit all the necessary information and documents via the Single Window only once.	
10	Validation and distribution of information and documents are faster and more accurate.	
11	The Single Window minimises the potential for data errors that may occur when re-entering or reprocessing information into different systems.	
12	Faster clearance and release times help speed up the supply chain.	

13	The Single Window improves transparency and predictability, reduces the potential for corrupt behaviour from both the public and private sectors.	
14	Administrative costs are lower.	
15	The Single Window encourages greater trader compliance and provides enhanced transparency on regulatory requirements.	

For instance, if the responses to 10 indicators are rated as low and high for 5 indicators, the assessment is computed as follows:

$$(10 \times 1) + (5 \times 5) = 35 \text{ out of a maximum score of 75, which gives } 35/75 = 0.47$$

In percentage terms, the overall assessment regarding the objectives is 47%.

4.   Institutional corporate governance and legal framework

The purpose of conducting an analysis of the institutional corporate governance and legal framework for the Single Window (SW) is multifaceted. It aims to achieve the following objectives:

- Evaluate the current corporate governance structure of the SW.
- Assess the legal framework for the development and implementation of the SW, including identifying any legal gaps that may hinder its development.
- Analyse the financing and business model for the SW's operation.
- Identify barriers that may impede trader interaction with government agencies in export, import and transit transactions, as well as inter-agency information exchange, and e-commerce development.
- Develop proposals and recommendations to address the identified corporate governance and legal gaps and barriers.

To conduct this analysis, a list of relevant legal acts and regulations, and institutional corporate governance is drawn up, and their relevance is verified by the participants. The collected material is then distributed, and questionnaires are completed by the participants, with references to the relevant acts. The results of the analysis are compiled into a report and submitted to the relevant authority. The report may also include proposals to improve the legal acts and regulations, and institutional SW corporate governance to eliminate identified gaps and barriers. The methodology for conducting this analysis is outlined in Annex 1, Chapter 8.1.1 of the report.

The current study examines the legal acts and regulations and SW corporate governance related to the following topics:

- Analysing the existing project governance structure to ensure the effective implementation and development of the National Single Window.
- Evaluating the regulatory framework governing the introduction and development of the National Single Window, including identifying any legal gaps.

- Defining the scope of the National Single Window project, including its objectives, functionalities, and stakeholders.

- Establishing project targets for the successful implementation and operation of the National Single Window.

- Analysing the financing and business model for the sustainable operation of the National Single Window.

- Identifying any barriers to trader and agent/representative interaction with government agencies in export, import, and transit transactions, as well as impediments to the development of e-commerce, by examining relevant legal acts governing the activities of government agencies in the areas of state regulation of international trade.

- Developing an implementation strategy and programs, including training and related materials, to ensure the successful deployment of the National Single Window.

- Establishing an implementation management strategy and programs to oversee the project's progress and manage any issues that arise.

- Developing communication strategies and products, including printed and electronic materials, workshops, and seminars, to effectively communicate the benefits and requirements of the National Single Window to stakeholders.

The analysis of the institutional and legal framework involves the following procedures:

a) Drafting a list of legal acts and regulations, and SW corporate governance needed to complete the questionnaires.

b) Verifying the relevance of the selected legal acts, regulations and governance by checking whether they have been amended and examining the referred acts to obtain precise and comprehensive information.

c) Distributing the collected material based on the questions in the questionnaires.

d) Filling out the questionnaires while referencing the acts, regulations and governance

e) Creating a report on the findings of the institutional corporate governance and legal framework analysis and submitting it to the authorised authority.

To analyse the institutional and legal framework for Single Window development, it is recommended to use the questionnaire form provided in Annex 1. Participants may complete the questionnaire in any format (paper based or digital) they prefer.

If the analysis reveals legal gaps and/or barriers, they should be recorded in the relevant field of the questionnaire. Proposals for addressing identified legal or corporate governance gaps and/or barriers should be listed in the corresponding field at the end of the questionnaire. The report on the institutional and legal framework analysis may be structured as recommended in the Annex 1, chapter 8.1.1 b of the methodology.

5. Information technology framework

To assess the information technology framework for Single Window development, the following tasks should be accomplished:

a) Analyse the technical, business process, and functional architecture of the Single Window system.

b) Evaluate the adequacy and level of implementation of technical components for the system's operation and development.

c) Analyse the Single Window system's functionality and interface.

Evaluate the level of security and technical infrastructure provisions to reduce and mitigate risks of dysfunction.

d) Determine the degree of development of information technology-based services, such as e-government systems, interdepartmental information interaction, and electronic payment for services, to simplify interactions and procedures.

e) Provide recommendations for developing the Single Window system.

To accomplish these tasks, the analysis of the information technology framework includes:

● Technical and functional scope, as well as application and business process architecture, overview of the Single Window system.

● High-level overview of the system's architecture and business processes.

● Assessment of Single Window software and technical stacks, physical and technical IT capacity, such as user kiosk, Single Window dedicated office, and hardware and software.

● Examination of key security features and guidelines implemented in the Single Window system.

● Technical and business process competence assessment.

● Analysis of the state of development of individual Single Window system elements, such as port community systems, e-manifest systems, and e-licensing systems.

● Evaluation of the state of development of e-government systems, interdepartmental information exchange, and electronic document flow.

When analysing the information technology framework, participants should use the questionnaires provided in Annex 1, Chapter 8.1.2 a. Participants can complete the questionnaires in any format. The analysis involves the following steps:

a) Gathering information on the technical, business process, and functional architecture of the Single Window system, software, and technical stacks used.

b) Distributing the collected material based on the questionnaires.

c) Completing the questionnaires with references to legal acts and data governance.

d) Preparing a report on the results of the analysis of the information technology.

e) framework and submitting it to the authorised state body.

Suggestions for improving the Single Window system's information technology and process basis are given at the end of the questionnaire in the appropriate field. The report on the analysis of the information technology and process framework may be structured as recommended in the Annex 1, Chapter 8.1.2 b of the methodology.

6.   Single Window performance assessment

The purpose of conducting a Single Window performance assessment is to:

a) analyse the functioning and key indicators of the Single Window.

b) survey users of the Single Window from both governmental bodies and businesses to determine their level of satisfaction.

c) identify any problems in the functioning of the Single Window.

d) prepare proposals for the further development of the Single Window's functionality.

The Single Window performance assessment consists of the following:

● Analysis of statistics related to the functioning of the Single Window, such as the number of user accounts, the number of connected government agencies, the types and number of business accounts, the number of LPCOs digitised, the number of LPCOs issued by type, and the number of declarations submitted via the Single Window.

● Analysis of the Single Window interface, including the frequency of updates of information on the portal, instructions, and other audio-visual materials for users.

● Examination of the operational support capacity, which includes published service descriptions, SOPs and manuals, records of service incidents, business continuity plan, and backup facilities.

● Analysis of the process of submitting applications to the Single Window, monitoring their examination, and obtaining results, as well as monitoring user experience interfaces.

● An assessment of the practice of submitting additional documents that may be requested by a public body.

● Analysis of the practice of making compulsory payments electronically and the possibility of providing such a service within the Single Window.

● Analysis of inter-agency information exchange practices.

● Analysis of user interaction problems with the Single Window.

● Evaluation of quantitative and qualitative user satisfaction.

The Single Window performance assessment involves the following steps:

a) preparing questionnaires for different actors, including the secretariat, participating government agencies, and participants from the business community.

b) allowing a period of time for the questionnaires to be completed and returned.

c) sorting and allocating the collected information to the relevant issues to be included in the report.

d) preparing a current Single Window performance assessment report and submitting it to the authorised body.

To conduct the assessment, it is recommended to use the questionnaire forms provided in the Annex 1, Chapter 8.1.3 a. It is also advisable to send the questionnaires to as many participants as possible, including various public authorities, business companies, and users of the Single Window. Special services, such as Google Forms and SurveyMonkey, can be used for ease of sending the survey form, completing it, and processing the information. Any problems identified and suggestions for improving the information technology basis of the Single Window should be included in the appropriate field at the end of the questionnaire. The Single Window performance assessment report should be prepared in accordance with Annex 1, Chapter 8.1.3 b.

7.   Guidelines for the preparation of the final report

After analysing the Single Window's current state of development in the country, the authorised body or the project team shall prepare a final report. It is recommended that the final report consider the following:

a) The information in the final report should be presented clearly and in a simple form, enabling readers to understand the objectives of the analysis and the conclusions reached in a logical sequence. In case of special technical terms and abbreviations, they should be defined in the glossary or further explained in the report. The report should summarise the key analyses, issues, conclusions, and actionable recommendations for improvement.

b) The precision of the information is crucial. The report should contain accurate and verifiable information, and the conclusions drawn from the analysis should be based on the evidence gathered. Any inaccuracies in the report could call into question the reliability and validity of the entire report. Thus, it is necessary to ensure that the data and conclusions are transparent, truthful, and adequately supported by the facts.

c) The report should maintain objectivity in the information presented. It should avoid overstating or overemphasising the identified shortcomings or advantages. The conclusions drawn from the analysis should encourage appropriate decision-making and action. Rather than solely focusing on criticising shortcomings, the report should provide objective recommendations for their resolution.

d) The report's credibility is crucial. The analysis results must align with the ultimate aims and objectives of the assessment. The conclusions must be well-supported, and the recommendations should logically stem from the presented evidence.

e) The report should be concise and avoid unnecessary repetition or details that may distract from the main points. The amount of information should be appropriate for the analysis scope.

f) The report should cover identified shortcomings, noteworthy achievements and benefits, including positive outcomes, and identify any issues that may not be directly related to the analysis's purpose but require further attention.

To achieve this, the report should be structured as follows:

a) An abstract, summarising the key findings and recommendations.

b) Introduction, outlining the purpose and scope of the assessment.

c) Analysis of the institutional corporate governance and legal framework, assessing the extent to which they support the effective operation of the Single Window.

d) Analysis of the information technology framework, evaluating the technical and business process infrastructure and systems used by the Single Window.

e) Single Window performance assessment, examining the performance of the Single Window against its stated goals and objectives.

f) Quantitative assessment of Single Window development indicators, reflecting the current state and conclusions from the assessments.

g) Recommendations, outlining the specific actions needed to improve the Single Window's performance and address any identified weaknesses.

h) Conclusion, summarising the key findings and emphasising the importance of implementing the recommendations to enhance the Single Window's effectiveness.

As part of the final report's preparation, it is recommended to consider the recommendations provided in the Annex 1.

8.   Annexes

8.1.   Annex I: Questionnaires and key considerations

Please note that the options provided in this questionnaire may not be exhaustive and may require revision based on the specific context and practices of your country's Single Window implementation. We kindly ask that you review and adjust the options as needed to ensure they are relevant and applicable to your situation. Furthermore, please be aware that the term 'acts' refers to laws, legal regulations, statutes, equivalent orders, or institutional governance policies, whichever is applicable in your specific legal system.

8.1.1   Institutional and Legal framework

a.   Questionnaire

It is recommended that this questionnaire be completed by an expert group composed of individuals with expertise in the competent authority and the secretariat responsible for implementing and developing the Single Window.

Department:	*Insert name of agency/department answering*

(A)   Single Window project implementation legal and regulatory framework

No.	Questions	Answers
A.1	What are the legal and regulatory frameworks that govern the introduction and development of Single Window in your country?	
A.2	What are the aims and objectives of implementing a Single Window in your country?	
A.3	What are the targets or goals that have been set to guide the development of Single Window in your country?	
A.4	Has the development of Single Window been divided into stages? If so, what are the aims and objectives of each stage?	
A.5	What are the acts or regulations that mandate public services of public authorities to be provided through Single Window in your country?	
A.6	Are there regulations governing access to Single Window? If yes, please provide the relevant acts and extracts from them.	
A.7	Are there any acts that establish clear procedures for identification, authentication, and authorization of users to access SW? If yes, please specify the relevant acts	

A.8	Are there any acts regulating the responsibility for the input, processing, forwarding, and use of data in the Single Window? If yes, please specify the relevant acts.	
A.9	Are there any regulations governing information security issues within the Single Window, including access to electronic documents and data? If yes, please specify the relevant acts.	
A.10	Are there any regulations governing the storage and archiving of data within the Single Window? If yes, please specify the relevant acts.	
A.11	What are the instruments or agreements that govern trade facilitation and the reduction of redundant and duplicative formalities, processes, and procedures in international trade in your country?	

(B)   Governance issues

These questions aim to understand the institutional corporate governance structure and legal framework surrounding the implementation and operation of the Single Window system, including the designated lead body, relevant committees, working groups, participating agencies, and the legislative, corporate governance and user and usage basis for the system.

No.	Questions	Answers
B.1	What is the lead agency responsible for the development of the Single Window in your country?	
B.2	Are there any acts designating a public authority and/or an authorised organisation as the Single Window operator? If yes, please specify the relevant acts and the authority held by the Single Window operator.	
B.3	Is there a High-Level Steering Committee or Technical Committee for the Single Window? If yes, who chairs or leads the committee and how often does it meet?	
B.4	How does the Single Window High-Level Steering Committee relate to the National Trade Facilitation Body (NTFB)? Is it under the jurisdiction of the NTFB or separate?	
B.5	Are there any Working Groups or Committees set up for the Single Window? If yes, please provide the list of working groups and their composition, purpose, and remit.	
B.6	Do representatives from the business community participate in the work of the High-Level Steering Committee or other relevant committees?	
B.7	Please list all government and private sector agencies that are involved in Single Window implementation and their area of activity.	
B.9	Is the use of the Single Window enshrined in legislation? If yes, please list the relevant legislation.	
B.10	How is coordination between the participating government agencies in the Single Window managed?	

(C)   Business Model

No.	Questions	Answers
C.1.	What is the current business model for the Single Window implementation in your country?	
C.1.1.	Who provides the financing for the Single Window project? Is it government-funded, private sector-funded, or a public-private partnership?	
C.2.	Please provide details of expenditure for completed stages and difference against original budget, and for future stages or stages currently under construction please provide estimated costs or budgets?	
C.3.	What are the operational and support costs for the Single Window project on an annual basis?	
C.4.	Are there any user fees for using the Single Window? If yes, what is the model of payment? a) Fixed price per year b) Price per transaction c) Combination d) others (please specify)	
C.5.	What is the total annual revenue generated by the Single Window project, if any?	
C.5.1	If there is revenue generated, what percentage is reinvested in the Single Window project?	
C.6.	Is the long-term financing model integrated into the public budget or self-sufficiency funding? Are the current sources of revenue enough to ensure a certain degree of self-sufficiency?	
C.7.	Do the revenues generated cover operational costs, or is there a profit generated?	
C.7.1	If there is a profit, what percentage of operating costs is that profit, and how is it utilised?	

(D) **Questionnaire on regulations, acts, and provisions for data exchange**

No	Questions	Answers
D.1	Please provide a list of the regulations, rules, and legislation and /or corporate governance that govern the exchange of B2G and G2G e-data and e-documents at the Single Window and detail how they work within the overall country digital trade document framework.	
D.2	Do the acts stipulate the procedures for the execution, issuance, and use of electronic LPCOs? If so, please specify the types of documents and the acts that regulate their execution, issuance, and use.	
D.3	Are there any acts that establish formats and structures of electronic documents and/or information to be exchanged between traders and state regulatory authorities during electronic interaction? If yes, please provide the relevant acts.	
D.4	Please list the regulation rules vesting the right to file information with the government authorities only once.	
D.5	Are there any acts that enshrine the principle that electronic documents and information obtained through interdepartmental cooperation cannot be requested from the applicant? If so, please provide the relevant acts and extracts from them.	
D.6	Please list the legal provisions on e-customs, e-commerce (including payments), transport, and logistics with regard to the validity of e-documents, submitting and exchanging data using e-signature or alternative e-document validation (UNCITRAL rules).	
D.7	Which acts establish requirements for the protection of personal data and commercial information?	
D.8	Are there any acts that establish requirements for the issuance and use of electronic digital signatures or alternative e-document validations? If yes, please specify the relevant acts.	
D.9	Are there any acts that regulate the conditions or requirements for the use or acceptance of electronic digital signatures on electronic documents created in other states during cross-border electronic transactions (mechanism of mutual recognition of electronic documents)? If so, please specify the relevant acts.	
D.10	Please provide a list of the acts governing international settlements by means of electronic invoices and contracts.	
D.11	What are the legal provisions regarding the admissibility of e-documents and messages as evidence in court?	
D.12	Are there any acts that establish the procedure of information exchange in electronic form between government agencies and carriers engaged in international transport? If yes, specify the relevant acts and provide excerpts from them.	
D.13	Are there any acts in the field of transport and logistics that regulate the issuance and use of electronic documents? If so, please specify the types of documents and the acts governing their execution, issuance, and use.	

No	Questions	Answers
D.14	Please specify the legal gaps and barriers that hinder the conversion of shipping documents into electronic form and the exchange of electronic consignment notes (or the information contained therein).	
D.15	Is the Single Window applicable to border operations? If so, please specify the acts that regulate the inter-agency information exchange when carrying out various types of state control at the customs border.	
D.16	Are there any acts that establish an inter-agency risk management system? If so, please specify the relevant acts.	
D.17	Do antitrust regulations have an impact on the development of the Single Window? Are there any regulations in competition law that may hinder the development of the Single Window? If so, please specify the relevant acts and provide extracts from them.	
D.18	Please provide a list of the legal provisions on new international trade-related agreements and relevant technological developments in regional agreements (e.g., ASEAN Single Window, EAEU SW development project).	

(E)   Assessing Challenges and Planning Next Steps

The questions aim to identify the main challenges and obstacles to the platform's development, as well as any legal provisions that may hinder its progress. Additionally, the questions inquire about any adopted plans for the platform's development and the future plans for its improvement. These questions can help policymakers and stakeholders to understand the legal and institutional frameworks surrounding the Single Window and to identify any areas that require attention for its continued success.

No	Questions	Answers
E.1	What are the primary challenges that impede the advancement of the Single Window platform's development?	
E.2	What are the existing challenges with receiving and handling applications from traders through the Single Window?	
E.3	Which acts and provisions do you perceive as obstructing the development of the Single Window?	
E.4	Has a plan for the development of the Single Window platform been established, and if so, what are the key elements of the plan?	
E.5	What are the upcoming plans for the continuous progress and enhancement of the Single Window platform?	

Responding Officer:

Name	
Post / Division	
Contact Telephone No.	
Email Address	

b. Key considerations for the assessment and analysis

It is recommended to include the following elements in the report on the analysis of the institutional and legal framework for the development of the Single Window:

1. Institutional framework for the development of the Single Window, including the authorised body, advisory and coordinating bodies, and leading agencies in the implementation process.

2. The legal basis of the state that determines the development of Single Window, state regulations governing the implementation of Single Window, and legal gaps and barriers related to the absence or imperfection of regulations governing the implementation of Single Window.

3. The state's existing action plan for the adoption of regulations governing the introduction of Single Window, measures to improve the state's regulations governing the implementation of the Single Window, and the business model for Single Window operation.

4. Legislation governing the application, issuance, and use of electronic LPCOs, commercial documents, and transport documents.

5. The legal framework of the state regulating the procedure for interdepartmental information interaction in electronic form between state bodies, information interaction between traders and state bodies, the procedure for access to the single window facility, the procedure for ensuring data integrity and accuracy, access, storage and archiving, as well as the information protection procedure.

6. The UNCITRAL Code of Ethics for Electronic Documents in International Trade and legislation on the use of electronic digital signatures, as well as procedures for authenticating users and for mutual recognition of electronic documents and data received from third countries.

7. Legislation setting out procedures for the use of Single Window at border crossing points, antitrust laws, and regional legislation that may specify additional requirements for the development and operation of Single Window.

8. Identified legal gaps and barriers in the areas of customs, currency, tariff and non-tariff regulation, application of prohibitions and restrictions, technical regulation, SPS measures, and intellectual property hindering the development of Single Window, and measures to improve regulations to address identified legal gaps and barriers.

9. Findings and recommendations, including a conclusion.

Additionally, the report should include a list of the state's regulations, the completed questionnaire, and may also be accompanied by information or overviews of all relevant laws and regulations, articles, brochures, and other

printed works on Single Window development, as well as a detailed description of the evaluation process and methodology, including any limitations of this method.

8.1.2 Information Technology Framework

a. Questionnaire

This questionnaire is recommended to be completed by an expert group consisting of experts from the authorised body, representatives of the Single Window operator or the vendor involved in the implementation and development of Single Window.
Insert Header here for Respondent as in previous start section.

(A)   Technology

No	Questions	Answers
A.1	Can you share the functional and technical architecture of the Single Window platform, including any system diagrams or flowcharts?	
A.2	Please describe the software, middleware and hardware stacks used in the Single Window platform, including any programming languages, frameworks, and databases.	
A.3	Is the current IT infrastructure sufficiently robust to support the Single Window platform, and if not, what improvements are needed?	
A.4	How are user manuals/FAQ and any other self-learning materials on the usage/operation of the Single Window made, updated and disseminated to the stakeholders	
A.5	Is there a strategy and plan for data harmonisation established, and if so, what are the key components of the plan?	
A.6	How is data submitted to the Single Window platform, including the type of syntax, schema, and format used?	
A.7	Can you provide information on where data is sent and stored after it is submitted to the Single Window platform, as well as who has access to it?	
A.8	Does the Single Window platform adhere to the UN/CEFACT Recommendation 33 principle of data submission, which specifies that individual data elements should only be submitted once?	
A.9	Can you confirm if the Single Window portal is currently accessible online? If so, could you provide the link to the portal?	
A.10	Does the Single Window platform have API interfaces with other stakeholder and agency platforms, and if yes, which platforms?	
A.11	How does the Single Window platform interface with other systems such as Customs Management System, Port Community System, and B2B systems?	

A.11	Is an electronic signature. or other document validation process used in the Single Window platform, and if yes, is it mandatory and for which processes? Please describe the format used.	
A.12	Is there a specified plan of action for personnel to follow in case of emergency or force majeure to promptly restore the operability of the information systems?	
A.13	Is there a provision for ongoing data backup to assist in the prompt restoration of Single Window operations in the event of a system emergency?	
A.14	How do existing IT approaches reflect new technical design requirements such as data protection and data privacy, and what measures are in place to ensure compliance?	
A.15	How often is the Single Window infrastructure monitored, and is there a NOC or SOC always available to monitor it?	
A.16	Is the Single Window leveraged on legacy technologies or infrastructure, and if yes, is there a plan to replace or upgrade it?	

* Please delete as appropriate.

(B)   Standards and methodology

No	Questions	Answers
B.1	Do you apply a simplification and standardisation process in the Single Window (SW) design or implementation, such as using standard data elements and syntax to ensure interoperability with other systems and facilitate data exchange?	
B.2.	Is there a legal framework established to deal with data governance issues, including legal needs related to data access, protection, and general use of data in the Single Window?	
B.3.	Are the data elements, processes, and syntax used in the Single Window harmonised with international standards to allow for interoperability with other regional Single Windows and facilitate cross-border trade?	
B.4	Can you confirm whether Business Process Reengineering was carried out during the design or development of the Single Window system?	
B.5	Are these Business Processes shared with stakeholders for discussion and improvement?	

(C)   Assessing challenges and planning next steps

No	Questions	Answers
C.1.	What are the major challenges that are hindering the further development of the Single Window?	
C.2.	Have there been any issues with receiving submissions from traders through the Single Window, and if so, what are they?	

C.3.	In your opinion, what technical issues are preventing the successful implementation and development of the Single Window?	
C.5.	Are there any plans to expand the scope or functionality of the Single Window system in the near future, and if so, please describe the deliverables and the benefits and challenges that are anticipated?	

Responding Officer:

Name	
Post / Division	
Contact Telephone No.	
Email Address	

b. Key Considerations for the assessment and analysis

The report analysing the information technology basis for the implementation and development of Single Window should cover the following aspects:

1. Analysis of the business process, functional and technical architecture of the Single Window, which encompasses the system's schemas and structure.

2. Assessment of implementing, operating, and improving Single Window from a business process and technical perspective.

3. Software and hardware stacks used in Single Window

4. Evaluation of the sufficiency of the current technical infrastructure for the continued operation and growth of the Single Window

5. Analysis of the level of advancement of interdepartmental governmental agency information sharing services

6. Assessment of the progress being made towards data standardisation in accordance with global standards and models such as UN/CEFACT and WCO Data Model

7. Examination of the technical execution of the one-time submission of individual data elements principle.

8. The extent to which the Single Window enables and is integrated with other information systems used by public authorities and businesses.

9. The older systems that are still used to support Single Window performance and services.

10. The utilisation of user authentication tools such as electronic digital signatures and user access to the Single Window.

11. Technical infrastructure required to ensure data security, preservation, archiving, storage, and disaster recovery in the Single Window system.

12. Evaluation of challenges and potential for the advancement of the information technology foundation for Single Window development

13. Suggestions for enhancing the information technology foundation for the implementation and expansion of Single Window

14. Summary of findings and conclusions.

The report should also include an annex that contains the following information:

- References or briefing notes on the topics discussed in the report.
- Analytical reviews of the primary content on the relevant topic(s).
- Articles, brochures, internal reports, and other printed materials that illustrate the challenges of the information and technical foundation for the establishment and advancement of Single Window.
- Reports, letters to the concerned authorities containing suggestions and recommendations based on best practices for the establishment and development of Single Window.

Additionally, the report should describe the evaluation process and methodology used, including any limitations of the method.

8.1.3 Single Window Performance Assessment

a. Questionnaire and key considerations

This questionnaire contains three sections.

The questionnaire is divided into three sections, each meant to be completed by different groups of stakeholders. The first section is recommended to be filled in by an expert group comprising members from the authorised body, Single Window operator, or vendor involved in the development and implementation of the Single Window. The second section is intended to be completed by representatives from various government agencies that are users of the Single Window and provide services to traders using the Single Window. The third section is recommended to be filled in by business representatives, specifically companies that use the Single Window to interact with government agencies.

(A)　　　General Information

No.	Questions	Answers
A.1.	What services does the Single Window provide? What process/ documents/ information (data) are covered? (Include a checklist of key business processes and/or documents here)	
	Please clarify existing services in the current phase of Single Window development and the plans for services in the next phases, ideally with an anticipated time frame	
A.1.1.	a Trader Services Module (to prepare and submit all necessary applications for Certificates, Licences and Permits (LPCO) and prepare and submit Customs declarations, view their processing status, and receive notifications of issue and clearance advice).	
A.1.2.	Government Agency Services Module	

A.1.3.	Information Services Module	
A.2.	Please tick below if the following are current users of the Single Window, please provide the number of users for each group registered with Single Window. Please indicate current stakeholders.	
	a. Importing / Exporting Business Entities	
	b. Sole trader	
	c. Freight Forwarders	
	d. Customs Brokers	
	e. Shipping Agents / Ground Handling Agents	
	f. Carriers (Shipping Lines / NVOCC / Airlines / Transport companies)	
	g. Port / Airport / River Authority	
	h. Port/terminal Operators	
	i. Airline Cargo Handling Operator	
	j. Express Couriers	
	k. Inland Container Depot Operator	
	l. Postal Agency	
	m. Chambers of Commerce / Business Federations	
	n. National Bank	
	o. Commercial Banks / Financial Institutions	
	p. Warehouse operators (Private/Authorities)	
	Any Others: Please list	

(B)   Government agency feedback

This survey is designed for government agencies that are currently using the Single Window platform. Its purpose is to assess the agencies' practices within the Single Window system, gauge user satisfaction, identify any gaps or difficulties encountered in using the system, and provide direction for future development of Single Window services. The survey aims to gather valuable feedback to improve the platform's functionality and ensure that it meets the needs of its users.

Ministry:	
General Department:	
Department:	
Please list down all LPCOs issued by your department.	Example: - Certificate of xxxx - Import permit of xxxx

1.   Basic Information

No.	Questions	Answers
1.1	Does your government agency have a legal framework or regulations/rules/order in place that authorise traders to apply for LPCOs through the Single Window? If yes, please provide specifics or attach any relevant documents.	Example: - Order on xxx
1.2	Who are the parties/actors that typically submits applications, notifications, or requests to your government agency through the Single Window platform? Please select and list all that are relevant and indicate the percentage of usage by these different parties/actors.	(Please tick)
	(a) Trading company (e.g., importer/exporter) (b) Logistics company (e.g., carrier and forwarder) (c) Others (please specify)	☐ ☐ ☐ _____
1.3	What are the time frames for submitting Pre/post-shipment documents to your agency? Are there any mandatory submission and response time frames in place? If yes, please provide details. If there are no mandatory time frames, are there any operational targets for submissions and responses? Please provide statistics on submission and response times, including those that are within and outside of the established targets. Please indicate by type of submission and whether pre or post shipment, the volume of applications made, the number of successful applications and rejections.	(Please tick) ☐ Pre-Shipment ☐ Post-Shipment ☐ _____

No.	Questions	Answers
1.4	How many LPCO applications were processed in the previous year? Please provide the transaction volume for each type of LPCOs.	
1.5	Can you confirm if submission through Single Window is mandatory for obtaining LPCOs?	i.e., Yes, No
1.6	What are the acceptable modes of document submission for the LPCO? Please select all that apply and detail the volume or percentage of each: (a) On-line submission at Single Window (b) By Email (c) By Fax (d) By Post (e) In-person (f) By messenger applications (g) Others (please specify)	(Please tick)
1.6.3	If online/email submission is allowed, please indicate the method used to authenticate the identity of the submission party. (a) Digital certificate (b) Security token (physical and/or digital) (c)Two-factor authentication (e.g., username/password + SMS code) (d)Biometric authentication (e.g., fingerprint/face recognition) (e) Others (please specify)	(Please tick)
1.6.4.	Does the Single Window allow for the attachment of additional supporting documents in electronic format to the LPCO application? (a) Yes (b) No	
1.7	What is the method of payment for related charges/levy associated with services offered through Single Window? (a) Cash (b) Cheque (c) Internet (credit cards, e-banking) (d) Others (please specify)	
1.7.1	Can you please provide information on the fees associated with the services offered through Single Window, including the following:	

No.	Questions	Answers
	(a) Service fee for document processing (b) Service fee for electronic submission (c) Printing fee for paper form (if applicable) (d) Other fees, if any (please specify) Please also include the amount of each fee or the calculation basis, if applicable.	
1.8	Are LPCOs processed and issued electronically to the applicant through the Single Window? (a) Yes (b) No, they are processed and issued in paper form. Please indicate the method of despatch or collection. (c) No, they are processed and issued by the internal processing system of the government agency. Please indicate the method of despatch or collection.	☐ ☐ ☐
1.8.2.	Does your agency apply a risk management approach during the processing of an LPCO? (a) Yes (b) No	☐ ☐
1.9	Please specify the method(s) by which stakeholders can receive their approved document(s): (a) On-line at Single Window (b) By Email (c) By Fax (d) By Post (e) In-person (f) Others (please specify)	(Please tick) ☐ ☐ ☐ ☐ ☐ ☐

No.	Questions	Answers
1.10	If your agency has an IT system to process and issue documents besides the Single Window system, can this system exchange data with the Single Window? (a) Yes (one way or both ways) (b) No	☐ ☐ ☐
1.11	Do you need to seek approvals or input from other government agencies during the LPCO issuance process? (a) Yes (b) No (c) Other (please specify)	☐ ☐ ☐
1.11.1.	If your answer to the previous question is "Yes," can you request other agencies electronically through the Single Window? (a) Yes (b) No (c) Other (please specify)	☐ ☐ ☐
1.12	Does your agency publish a list of digital services, including the list of LPCOs, on its website? If so, please provide the website link. (a) Yes (b) No	☐ ☐ ☐

2.   Level of satisfaction with using Single Window

No.	Question	Answers
2.1	Please rate the usefulness of Single Window as a tool for work on a scale of 1 to 10, where 1 is the least useful and 10 is the most useful.	
2.2	Have you experienced any difficulties in receiving applications and submissions, and obtaining and delivering specific licences, permits, certificates, or other trade-related documents through the Single Window? If yes, please specify the type of document and describe the difficulties you encountered.	

2.3	To what extent do you think private sector stakeholders, particularly SMEs, are equipped with the necessary computer skills and knowledge to access and use Single Window effectively? Do you have any evidence to support this assertion?	
2.4	Do you have any concerns or lack of understanding about how the Single Window system works?	
2.5	What specific legal provisions or corporate governance do you think may be acting as obstacles to the development and implementation of Single Window? Kindly state the provision(s)/governance that you believe may be hindering the process.	
2.6.	What improvements or changes would you suggest making Single Window more user-friendly and effective?	
2.7	What recommendations or suggestions do you have for the further development of the Single Window in the future?	

Subject Department:

Name of the Department	
Contact person	
Contact Telephone No.	
Email Address	

(C)   Traders

This survey aims to gather feedback from private sector stakeholders regarding their experience with the Single Window. It is estimated to take approximately 20 minutes to complete.

Type of User:	• Importing / Exporting Business Entities
	• Individual Importer / Exporter
	• Freight Forwarders
	• Customs Brokers
	• Shipping Agents / Ground Handling Agents
	• Carriers (Shipping Lines / NVOCC / Airlines / Transport companies)
	• Port / Airport / River Authority
	• Port Operators
	• Airline Cargo Handling Operator
	• Express Couriers

	• Inland Container Depot Operator
	• Postal department/agency
	• Chambers of Commerce / Business Federations
	• National Bank
	• Commercial Banks / Financial Institutions

(1)   General Information

No.	Questions	Answers
1.1	Can you please specify the options/types of LPCOs available through the Single Window platform in your country to the best of your knowledge?	Licences _____ Certificates _____ Permits _____ Customs Permits _____ Master List _____ Other documents (please specify) _____
1.1.1.	Please detail the average processing time for each type of LPCO that you have applied for?	Please write down the name and time: Licences _____ Certificates _____ Permits _____ Customs Permits _____ Master List _____
1.1.2.	What is the fee charged by your agency for the submission and issuance of an LPCO through the Single Window?	Please write down the name and time: Licences _____ Certificates _____ Permits _____ Customs Permits _____ Master List _____
1.1.3.	What are the available payment options for LPCO submission? Can payment be made in cash or is e-payment the only available option?	

No.	Questions	Answers
1.2	Do you have the ability to view the status of your application and receive notifications related to it through the Single Window? (a) Yes (b) No (c) Other (please specify)	(Please tick)
1.3	Which of the following functions of the Single Window have you utilised? A) Submitting LPCO applications through SW? B) Submitting additional documents to the agency via SW? C) Making electronic payments for the issuance of an LPCO and receiving confirmation of payment? D) Viewing the processing status of the application and receiving notifications from the agency related to the submission? E) Receiving an electronic LPCO via SW? F) Filling out customs declarations? G) Calculating customs duties and taxes? H) HS code classification? I) Searching tariff and non-tariff measures related processes and regulations? J) Issuing transport manifests? K) Providing pre-arrival information? L) Making payments? N) Other (please specify).	(Please tick)
1.4	Do you currently have an Enterprise Resource Planning (ERP) system in place to automate your organisation's workflow and business processes?	Yes No
1. 4.1	If applicable, is your information system integrated with the Single Window platform for exchanging data related to your submissions?	Yes No
1.5.	Are you aware that the authorities have access to the LPCO issued for your organisation on SW? (If applicable)	Yes

No.	Questions	Answers
		No Other:
1. 6.	Do you require a physical/paper copy of the LPCO issued for your organisation? If yes, could you please explain the reason for the requirement? Please answer for each type of LCPO utilised.	Yes No Other:
1. 7.	Does the issued electronic LPCO have legal value for your cross-border transaction? Do you use an electronic LPCO to send to your counterparts in another country?	Yes No LPCO Type:

(2)　Level of satisfaction with using Single Window

No.	Question	Answers
2.1	Can you provide your feedback on the usefulness of Single Window as a work tool? Please rate its convenience level from 1 to 10, where 1 indicates very useless and 10 indicates very useful.	
2.2	Have you encountered any difficulties while using the Single Window? If yes, could you please elaborate on the difficulties faced?	
2.3	Do you have any concerns or lack understanding regarding the functioning of the Single Window?	
2.4	In your opinion, which legal provisions or corporate governance are acting as hindrances to the development of the Single Window? Please specify the provision(s) or governance	
2.5	What improvements do you think can be made to the Single Window or business processes to enhance their convenience and usefulness?	
2.6.	Can you provide any suggestions or recommendations for the next phase of the Single Window development?	

b.　Key Considerations for the assessment and analysis

To ensure a comprehensive assessment of Single Window performance, it is recommended that performance assessment report should minimally follow the structure outlined below:

1. Begin with a general description of the survey carried out, including the period of the survey, the number of participants, and the number of responses received.

2. Analyse statistics related to the Single Window's functioning, such as the number of user accounts, the number of connected bodies, the types and number of business accounts, the number of LPCOs digitised, and the number of LPCOs issued by type.

3. Assess the Single Window interface, including the frequency of updates of information on the portal, instructions, and other audio-visual materials for users.

4. Evaluate the operation support capacity, which includes published service descriptions, SOPs, manuals, and records of service incidents.

5. Examine the practice of submitting applications to the Single Window, monitoring their examination, and obtaining results.

6. Analyse the practice of submitting additional documents that may be requested by a public body.

7. Assess the practice of making compulsory payments electronically and the possibility of providing such a service within the Single Window.

8. Evaluate inter-agency information exchange practices.

9. Analyse international information exchange practices, interoperability with other Single Window or systems.

10. Evaluate user interaction problems with the Single Window.

11. Assess the level of user satisfaction.

12. Analyse operational problems of the current version of the Single Window.

13. Provide recommendations for the development of the current version of the Single Window.

By following this structure, performance assessment reports will provide a comprehensive evaluation of Single Window performance and identify areas for improvement.

8.2   Annex II: Appreciation of existing studies

1. **WCO- Time Release Study** – Time Release Study is a tool to measure the actual time required for the release and/or clearance of goods, from the time of arrival until the physical release of cargo, intending to find bottlenecks in the trade flow process and take necessary measures to improve the effectiveness and efficiency of border procedure.

    It allows customs and other government agencies, along with private sector stakeholders, to periodically measure the efficiency and effectiveness of the entire cross-border flow process related to imports, exports and transit movements of goods.[2]

2. **UNECE Trade and Transport Facilitation Monitoring Mechanism Recommendation No. 42** – This Recommendation is to encourage governments, business communities, development partners and international organisations to collaborate in the development of sustainable Trade and Transport Facilitation Monitoring Mechanisms (TTFMMs). Accordingly, this Recommendation addresses issues related to institutional arrangements and methodology in designing and implementing a TTFMM.

    After defining the scope of monitoring and the institutions, the next important step is to collect data and define indicators. As the text elucidates, data collection, including types of data and data collection methods, should be defined within, and at the same time as, the scope of monitoring. The methods for data collection, calculation and aggregation (whenever possible) should be selected, aligned and harmonised to facilitate, to the greatest extent possible, national, regional and international comparisons. Data collection should be reviewed and conducted on a regular basis for the purpose of effective monitoring (e.g., monthly, quarterly, or yearly as appropriate).[3]

3. **World Bank – Logistic Performance Index (LPI)** - is an interactive benchmarking tool created to help countries identify the challenges and opportunities they face in their performance on trade logistics and what they can do to improve their performance.

    LPI consists of both qualitative and quantitative measures and helps build profiles of logistics friendliness for these countries. It measures performance along the logistics supply chain within a country and offers two different perspectives: international (qualitative evaluations of a country in six areas by its trading partners) and domestic (provides both qualitative and quantitative assessments of a country by logistics professionals working inside it. It includes detailed information on the logistics environment, core logistics processes, institutions, performance time and cost data). The LPI is based on a worldwide survey of stakeholders on the ground providing feedback on the logistics "friendliness" of the countries in which they operate and those with which they trade.[4]

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[2] http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/facilitation/instruments-and-tools/tools/time-release-study/time_release-_study.pdf?db=web
[3] https://tfig.unece.org/contents/recommendation-42.htm
[4] https://lpi.worldbank.org/

4. **UN Global Survey on Digital and Sustainable Trade Facilitation** is prepared according to the final list of commitments included in the WTO Trade Facilitation Agreement (TFA) along with forward-looking measures thought to be implemented under the UN treaty – the Framework Agreement on Facilitation of Cross-Border Paperless Trade in Asia and the Pacific.[5]

The survey covers 50 trade facilitation measures which are used by five UN Regional Commissions (UNRC).[6]

The 50 common measures are categorised into three groups and nine sub-groups. The first group of "General Trade Facilitation Measures" includes many of the WTO TFA measures under 4 subgroups:

- Transparency

- Formalities

- Institutional Arrangement and Cooperation

- Transit Facilitation

The second group of "Digital Trade Facilitation Measures" include 2 subgroups:

- Paperless Trade

- Cross-Border Paperless Trade

The third group of "Sustainable Trade Facilitation Measures" includes 3 subgroups: - Trade Facilitation for SMEs:

- Agricultural Trade Facilitation

- Women in Trade Facilitation

In 2019, some regional commissions introduced a fourth and new group of "Trade Finance Facilitation Measures" as a pilot test – developed in cooperation with the International Chamber of Commerce (ICC) Banking Commission.

5. **OECD Trade Facilitation Indicator** – OECD has developed a set of Trade Facilitation Indicators (TFI) for governments to improve their border procedures, reduce trade costs, boost trade flows and reap greater benefits from international trade.

TFI identifies areas for action and enables the potential impact of reforms to be assessed, covering border procedures of 160 countries. Each TF indicator is composed of several specific, precise and fact-based variables related to existing trade-related policies and regulations and their implementation in practice.

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[5]https://www.unescap.org/sites/default/d8files/knowledge-products/UNtfsurvey%20global%20report%202019.pdf
[6] https://www.untfsurvey.org/

TFI uses trade cost estimates from the UN ESCAP-World Bank International Trade Costs Dataset, we can assess the potential impact of implementing measures included in the WTO Trade Facilitation Agreement. It also allows countries to identify their strengths and weaknesses in trade facilitation, prioritise areas for action, and mobilise technical assistance and capacity building in a more targeted way. [7]

Other Methodologies and Frameworks

1. **UN/CEFACT Modelling Methodology (UMM)**: "Recommendations and Guidelines for Establishing a Single Window," of Recommendation 33, includes 12 key factors that should be considered in designing, developing, and implementing a Single Window system, which is also followed by the best practices.

   Each of the 12 factors, which is accompanied by a scoring system, indicates the progress that has been made in implementing the factor. The scoring system is also similar to the scoring index devised by the World Bank LPI survey which also has a scoring system to mark certain aspects of the survey, such as the efficiency of the custom clearance process, the infrastructure, etc of selected countries.[8]

2. **The Single Window Implementation Guide by UNESCAP** - recommends that key components required for the development of the Single Window framework should be identified and mapped out. Each of the components – ten in total, deals with a set of related issues relevant to different viewpoints. For the realisation of the Single Window vision for better, faster, and cheaper trading across borders, there is a need to understand the current conditions of these components, and then propose the blueprints for the target conditions of the 10 components.

3. **The WCO Data Model Conformity Framework** has an objective to promote and establish cooperative relationships between different government agencies and countries. This framework measures how the WCO DM has been implemented by the supply chain stakeholders. This measurement helps describe the level of interoperability of SW.

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[7] https://www.oecd.org/trade/topics/trade-facilitation/
[8] https://lpi.worldbank.org/sites/default/files/LPI_2018_Questionnaire.pdf