



Economic Commission for Europe

Steering Committee on Trade Capacity and Standards

**Working Party on Regulatory Cooperation
and Standardization Policies (WP.6)****Thirty-fourth session**

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Item 3 of the provisional agenda

Group of Experts on Risk Management in Regulatory Systems**Survey on integrated risk management in single window
systems: Best practices and challenges****Submitted by the subgroup Chair****Summary*

This project seeks to develop guidelines to describe the best practices of coordinated risk management among multiple government agencies through a single window system. It is based on the work of the Group of Experts on Risk Management in Regulatory Systems (GRM), *Recommendation V on Addressing Product Non-Compliance Risks in International Trade* and the work of the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) specifically its *Recommendation 33 on Establishing a Single Window*.

Mandate:

The Working Party on Regulatory Cooperation and Standardization Policies (WP.6) foresees in its Programme of work 2024, “Develop best practice on applying integrated risk management within the single window” (ECE/CTCS/WP.6/2023/14, paragraph 14c).

Proposed decision

“Member States took note of the *Survey on integrated risk management in single window systems: Best practices and challenges* (ECE/CTCS/WP.6/2024/5) and encourage member States to consider responding to this questionnaire. They further encourage the GRM to consolidate responses and develop a guide grouping best practices in this area.”

* This document is submitted under the responsibility of the subgroup Chair. This document has not been edited by a professional editor.



I. Objectives of the survey and methodology

A. Context

1. Economic Commission for Europe (ECE) *Recommendation V on Addressing Product Non-Compliance Risks in International Trade* 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. The United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) *Recommendation 33 on Establishing a Single Window* defines a single window (SW) “as 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.” There is clearly a cross-section between the two concepts aiming to harmonize all procedures at the border – on the one hand for risk management purposes and on the other for import/export/transit procedures. A SW can assist in bringing together all government agencies and their risk management needs. And risk management can be enhanced through a SW facility and an integral part of clearance procedures.

B. Objectives of the survey

2. The primary objective of the survey is to determine how IRM can be accomplished in the operation of SW systems. The survey aims to:
- 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

C. Survey methodology

3. The survey is intended to inform the guidance produced by the project team. All responses to the survey will be used for this research; responses will not be individually published. When highlighting best practice, these will either be presented without being able to be linked back to the corresponding country, or linked back only if pre-authorized by the respondent/country.

4. The project team will prioritize countries either with mature SW systems or mature risk management practices. In each country:

- The survey will first be sent to the SW operator, so that the overall picture could be understood.
- The SW operator will be asked to help identify other regulatory agencies involved in border control that could be appropriate to contact for the survey purposes.
- The questions may be adapted before being sent to other regulatory agencies involved in border control, depending on the existence of an IRM system in the country. In case there is no such system, the questions will focus on needs assessment for building an IRM system. The current questionnaire in the annex is focussed on SW operators.

5. Ideally, responses from countries that have both a SW and an IRM system are desired. However, respondents who do not have such systems yet are still invited to participate in this survey insofar as they have at least considered such implementation.

Annex

Questionnaire (for single window operators)

A. Strategy/regulatory agencies' involvement

1. Does your single window system conduct risk assessment of incoming shipments? (yes or no).
 - 1.1 If yes, for which agencies?
2. Is there a separate system for an integrated risk management (IRM) system for border control as described in UNECE WP.6 Recommendation V? (yes or no)
 - 2.1 Who is the lead agency responsible for IRM at the border?
 - 2.2 How many agencies are involved in the IRM system?
 - 2.3 How many agencies participating in the SW are not involved in the IRM system?
3. Is the SW operated by an external entity? (yes or no)
4. Do databases storing historic data of SW operations exist? (yes or no)
 - 4.1 Does historic data contain results of inspections? (yes or no)
 - 4.2 Can other regulatory agencies access SW system historic data? (yes or no)
 - 4.3 How is historic data used by regulatory agencies?
 - 4.4 Who is responsible for maintaining the databases with historic data? (SW operator, customs agency [if different from SW operator], communication administration, other [please specify])

B. Risk management cooperation among regulatory agencies, common criteria and the single window

5. What kind of risk management cooperation exists among regulatory agencies? Please indicate which statement best describes such cooperation:
 - The SW system centralizes risk criteria and the risk analysis is performed within the SW.
 - The SW acts as a bridge of information which is transferred to the relevant regulatory agencies and the risk analysis is performed in the regulatory agencies' systems.
 - The SW transfers the data to another platform where the risk analysis is performed for all regulatory agencies.
 - Other (please specify).
6. Is there a legal framework in place that enables the exchange of information between regulatory agencies (for example, on incoming shipments as well as using the related history data)? (yes or no)
7. Is there a mechanism for reviewing and updating risk criteria of different regulatory agencies as well their impact on border compliance time?
 - Individual agencies update their risk criteria and inform the lead agency responsible for the IRM.
 - Individual agencies update their risk criteria in cooperation with the lead agency responsible for the IRM.

- The lead agency responsible for the IRM updates risk criteria of regulatory agencies involved.
- Other (please describe).
- There is no such mechanism.

8. Are risks ranked according to their severity (e.g. “high” – “medium” – “low” risk) for incoming shipments? (yes or no)

C. Historic data and integrated database, overall border compliance time as metric

9. How often (annually, quarterly, monthly) is overall border compliance time analysed?

10. Is historic data used in the analysis of the overall border compliance time?

11. Which agency analyses correlations among various non-compliance risks (e.g., correlation among cases of non-compliance with customs regulations and food safety regulations?) Are correlations among non-compliance risks taken into account by regulatory agencies and/or lead agency responsible for the IRM when developing their risk criteria?

D. Providing data/assistance for building profiling system by regulatory agencies

12. Does the SW signal to regulatory agencies cases of non-compliance relevant to their scope of responsibility with historic data? (yes or no)

12.1 If the data is not pushed to the agency, where is this data made available?

13. Does SW operator or customs authority assist other regulatory agencies in developing tools for targeting non-compliance? (yes or no)

13.1 If so, how is this cooperation organized? Is there a targeting center?

E. Testing risk criteria

14. Does the system perform an integrated overview of the targeting system (simulations) and harmonize risk tolerance levels? (yes or no)

14.1 Who performs simulations on historic data?

15. Is there an integrated overview of risk management performance involving all regulatory agencies at the border?

F. Integrating compliance rules of product regulators into a single system

16. Where an IRM system is used, how do regulatory agencies input their risk data?

- By electronic data transfer system to system
- Through a portal where data is inputted manually
- Risk data is sent by email or postal mail
- Other (please specify)

17. How often are risk criteria updated? (multiple times per day, daily, weekly, monthly, on an ad-hoc basis, other [please specify])

G. Getting data on incoming shipments

18. What is the source of incoming shipment data?

19. Is the data provided to the SW on an incoming shipment sufficient for evaluating the level of non-compliance risk of the shipment? (yes or no)
20. Does the SW participate in interoperability arrangements with other SW? (yes or no)
- 20.1 Is the data provided used for evaluation of non-compliance risk?
21. Is advanced cargo information shared with other regulatory agencies for the evaluation of non-compliance risk of incoming shipments? (yes or no)

H. Assessment of incoming shipments

22. Who conducts risk assessment of the incoming shipments and how is this done?
- Regulatory agencies run their own systems for evaluating the probability of non-compliance of incoming shipment to the regulatory requirements within their scope of responsibility.
 - The SW operator evaluates the probability of non-compliance to regulation of other regulatory agencies.
 - There is a single system for assessment of incoming shipments against different non-compliance risks.
 - Other (please specify).

I. Shipment clearance

23. Which of the following approaches to shipment clearance procedures with respect to non-compliance risks of regulatory agencies are performed?
- Shipments are released by product regulators based on its own data.
 - Shipments are released by product regulators based on the data supplied by the customs/SW system within product regulator's own IT infrastructure.
 - Shipments are released by the customs according to the compliance rules or algorithms developed by product regulators.
 - Shipments are released by the customs according to the profiling system of the customs.
 - Joint inspections on the basis of integrated evaluation of non-compliance risks are performed.
 - Other (please specify).
24. How many regulatory authorities are physically present at the border?
25. Which ones?
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