

行政院所屬各機關因公出國人員出國報告書

(出國類別：出席國際會議)

出席 2009 年 APEC 單一窗口能力建構  
第 3、4 次研討會報告

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出國地點：新加坡

出國期間：98 年 4 月 1 日至 4 月 8 日

報告日期：98 年 6 月



行政院及所屬各機關出國報告提要

頁數：160 含附件：是 否

出國報告名稱：出席「2009年APEC單一窗口能力建構第3、4次研討會」報告

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出國類別：1. 考察 2. 進修 3. 研究 4. 實習 5. 其他

出國期間：98年4月1日至4月8日

出國地區：新加坡

報告日期：98年6月

分類號/目：

關鍵詞：單一窗口、能力建構、世界關務組織資料模型(WCO Data Model)、全球貿易安全與便捷化標準架構

內容摘要：

本出國報告主要內容包括會議議程、參與國家及人員名單與聯絡資料，並就課程情形與結論作成完整報告並將相關文件附於本報告，以供相關人員參考，本次研討會重點為世界觀務組織資料模型之調和，特別是以 WCO Data Model 3.0 作為練習調和之標準，對於我國建置關港貿單一窗口將有實質助益。本報告最後提出心得與建議。



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## 出席 2009 年 APEC 單一窗口能力建構第 3、4 次研討會報告

壹、會議時間：2009 年 4 月 1 ~4 日（第 3 次研討會）

2009 年 4 月 6 ~8 日（第 4 次研討會）

貳、會議地點：新加坡

參、我國與會代表：

財政部關稅總局陳科長木榮

財政部關稅總局張稽核嘉元

財政部關政司潘專員秀華（僅參加第 4 次研討會）

肆、會議背景：

關務程序次級委員會於(SCCP)於 2009 年 4 月 1 日至 4 月 4 日及 4 月 6 日至 4 月 8 日於新加坡分別舉辦第 3 與第 4 次單一窗口能力建構研討會。代表團來自澳洲、加拿大、中華人民共和國(中國)、日本、韓國、紐西蘭、秘魯、菲律賓、新加坡、中華台北、泰國、美國及越南。本次會議由 APEC 單一窗口工作小組(Single Window Working Group, SWWG)主席 Julie Olarens Shaw 女士所領導之團隊主辦。

### 一、APEC 單一窗口工作小組簡介

APEC 單一窗口工作小組(Single Window Working Group, SWWG)是 2007 年由澳洲、加拿大、中國、日本、南韓、紐西蘭、菲律賓、新加坡、美國及越南等 10 個經濟體組成，我國係於 2008 年第二階段

加入，該小組之工作目標在於協助 APEC 成員體導入單一窗口架構，目前共提出 6 項建議文件，分別為：

- 第 1 號建議文件：於 SCCP 下成立單一窗口工作小組，負責協助各公、私部門，以及其他 APEC 次論壇或組織相關工作。
- 第 2 號建議文件：APEC 採用聯合國電子商務中心(UN/CEFACT)提出之 33 號建議文件作為單一窗口之定義。
- 第 3 號建議文件：APEC 成員體採行國際認可之工具或標準作為單一窗口設計之標準，以增進國際互通性。
- 第 4 號建議文件：SCCP 建置一個資料庫來紀錄單一窗口有關國際貿易便捷及安全之重要歷程。
- 第 5 號建議文件：SCCP 確認並協調重要之單一窗口能力建構活動。
- 第 6 號建議文件：SCCP 籌備執行計畫以實現單一窗口願景。

## 二、研討會之議程安排

單一窗口能力建構研討會係依據第 5 號建議文件執行一系列能力建構活動，共計 4 次。第 1 次研討會於 97 年 10 月間於我國財訓所舉辦，第 2 次研討會於本(98)年 2 月於澳洲坎培拉舉辦，第 3、4 次研討會則於本年 4 月於新加坡舉辦。第 3、4 次議程請分別參見附件第 2 頁及第 49 頁，議題分別如下：

第 3 次研討會：貨物唯一識別碼(Unique Consignment Reference,

UCR)、ASEAN 資料調和進展、WCO Data Model 3.0 資料調和等等，請參見附件第 11 頁。

第 4 次研討會：與所有 APEC 經濟體及其第二層利害關係人經驗分享、SWWG 第 2 階段最終成果發表之討論、SWWG 未來之方向討論，請參見附件第 63 頁。

## 伍、會議情形

### 一、簡報列表

第 3、4 本次研討會資料大多以投影片簡報為主，簡報之主題如下：

#### 第 3 次研討會：

- Korea Customs Unique Consignment Reference (UCR) Project
- Experience Implementing the World Customs Organization (WCO) Data Model (DM) - Overview of How Canada's Legislation Supports Its Use
- World Customs Organization (WCO) Cross-Border Regulatory Agencies - Data Model General Information
- World Customs Organization (WCO) Data Model Supplementary Information
- Data Harmonisation in the ASEAN Single Window
- Chinese Taipei Single Window Design Current and Future

#### 第 4 次研討會：

- Evolution of Singapore's Single Window
- Customs in the 21st Century
- United States Customs Automated Commercial Environment (ACE) System
- Introduction of Japanese Single Window
- Automated Commercial Environment (ACE) / International Trade Data System (ITDS)
- Introduction of China e-Port

- The Implementation of National Single Window and ASEAN Single Window in Viet Nam
- United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) Standards and Recommendations
- Thailand National Single Window
- ASEAN Single Window
- Indonesia National Single Window
- Single Window Legalities: Creating the Legal Infrastructure for Cross-Border Interoperability
- Single Window Working Group Recommendation 3,4,5,6 Representations

上述主題多屬蓋括性之描述，茲將研討會收集之簡報收集於附件，以供讀者參考。

## 二、韓國海關貨物唯一識別碼(UCR) 測試計畫

Jang Phil Park 向與會代表簡報韓國之 UCR(Unique Consignment Reference) 測試計畫進展，由於 WCO SAFE 架構非常強調與國外海關之資料交換，因此促成本測試計畫之發展，目前採用 WCO Customs Data Model 2.0 為資料交換之標準。2007 年 9 月與菲律賓簽署 MOU，2008 年元月開始即時(real-time)資料交換，Dong In Entech Co 是先導測試廠商。

其作法為，出口商申報 UCR，同時將 UCR 給予承攬業，接下來出口運輸業者亦傳輸 UCR 予海關，進口地菲律賓進口商及運輸業亦向當地海關申報 UCR。

對於小型公司，由於成本考量，海關會為他們產生 UCR 號碼。UCR 與出口報單之對應為 1 個 UCR 對應一份出口申報單。

Jang Phil Park 表示目前本計畫最大之困難為推廣，由於韓國之抽驗比率已經很低，因此只能說服廠商加入此計畫，並無法提供實質之優惠。

### 三、加拿大邊境服務署之資料調和經驗

加拿大參與了 G7 Initiative，也是第一個實現進、出口貨物資料項目及訊息調和之國家，因此對於 Data Model 之發展著墨甚多，亦長期與 WCO 維持密切之夥伴關係，該國也強力支持該組織提出之全球安全便捷架構 (Framework of Standards to Secure and Facilitate Global Trade, SAFE)，亦為國際上資料調和工作之領導者。

進行資料調和前，須仔細了解資料並考慮以下之問題：

1. 資料來源(source) - 資料之提供者？
2. 資料時間(timing) - 何時取得該資料？
3. 資料之使用(use) - 資料如何被使用？
4. 資料之屬性(attributes) - 欄位之寬度及型態？
5. 資料之結構(structure) - 資料於訊息中的位置？
6. 資料之關聯性(relationships) - 資料與其他哪些是相關的？

加拿大邊境服務署(Canada Border Services Agency, CBSA) 負責關稅法之立法，其成立是依據 2003 年 12 月之加拿大邊境服務署組織

法，負責提供整合之邊境服務以確保國家安全優先，並加速人員與貨物之自由流通，該機關亦負責大多數跨國協議之簽訂，包含關務互助協定及雙邊或多邊貿易協定等。

#### 四、WCO Data Model 3.0 概觀

為促進貿易便捷化，七大工業國（美、加、英、法、德、義、日），在 1996 年里昂高峰會決議延攬關務專家推動通關流程的標準化及簡化，決定採用「一致性文件、共同資料項目及標準化電子傳輸格式」以降低業者及政府間的成本，其具體作法如下：

- 資料的簡化與標準化
- 電子記錄格式的標準化
- 實現無紙化的環境
- 其他政府機構(OGA)所需資料的標準化

為確保 G7 Initiative 未來可循序實現，且此模型是依據修正版京都公約建議使用之訊息技術準則，G7 決定借重擁有許多專家及經驗之 WCO，在 WCO 的支援下，發展成國際性之標準。

至 2001 年 11 月止技術小組共開會 30 次，完成共同資料項目資料庫第二十版。並決議於 2002 年 1 月正式提交 WCO 接管，此為 WCO Customs Data Model 1.0 版，至今(2009)年為止，重要版次之發展如圖 1。



圖 1:WCO Data Model 發展沿革

WCO Data Model 以關務運作為核心建立一套設計資訊與通訊科技 (Information and Communication Technology, IT) 系統之基礎，其具備一項非常重要之設計原則，稱為京都海關資料處理原則(Kyoto Data Principles)，其作法如下：

- 貨物進、出、轉口申報採用通用資料集和統一的電子訊息
- 海關與貿易商間日常作業程序訊息交換採取最大量的資料需求
- 各會員國海關間控管採用少量資料
- 貨物放行採用最少量資料為基準

WCO Data Model 3.0 版由 2005 年 6 月開始開發，預計審視週期 (review cycle) 為 5 年，目前已發展出相關之草案，其組成架構如圖 2 所示，完整之資料模型將包含：訊息建置指引(包含 XML Schema

與訊息指引)、國際標準代碼、資訊模型、調和之最大資料集合、及業務程序模型等。資料項目約 450 項，以 2005 年出版之 UNTDED 為基礎。

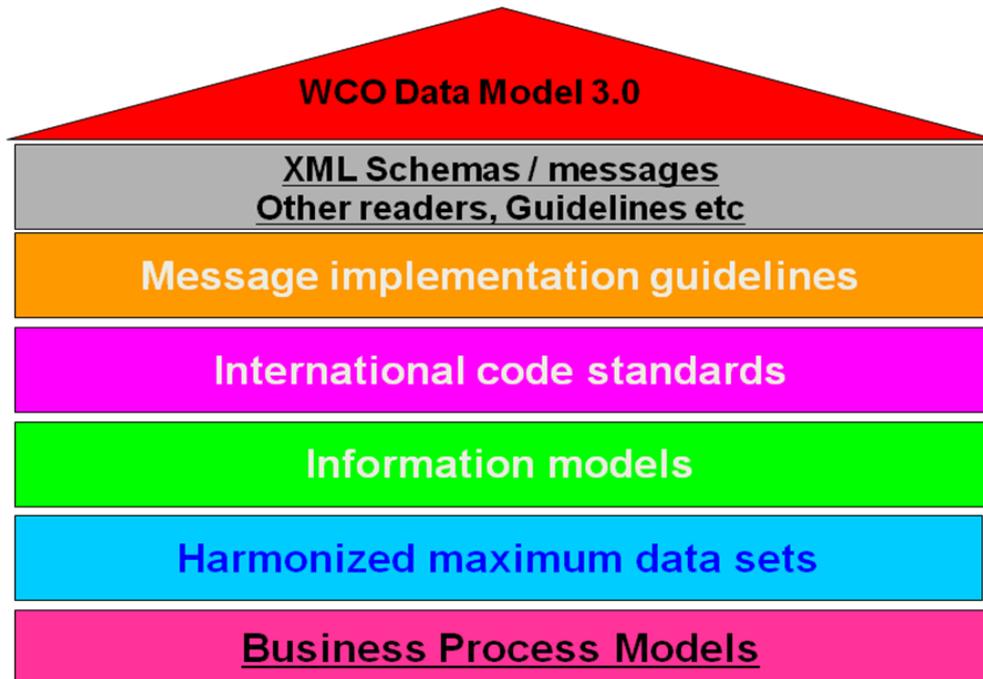


圖 2:WCO Data Model 3.0 之組成

WCO Data Model 自 2.0 版以後，採用聯合國貿易便捷及電子商業中心模式建構方法(UN/CEFACT Unified Modelling Methodology, UMM)作為業務分析之方法論，所謂業務分析是一套用來辨識業務需求並決定要如何處理之知識及方法，UMM 之業務分析具有平台、技術及語言中立之優點，其產出有：

- 主要模型 (Domain Model)：包含整體策略或敘述、限制條件、主要績效指標(key metrics)、利害關係人與角色、業務程序列表等。

- 程序模型 (Process Model)：包含個別業務程序描述/圖形、使用案例圖、角色互動、程序之規則與決策分支、例外等。

- 資訊模型 (Information Model)：包含業務實體(Business entity)敘述、關聯、性質、資料型態、代碼表等。

UMM 分析之產出係以統一模型語言(Unified Modeling Language, UML)之方式呈現，因此下列為 WCO Data Model 文件中可見到圖形：

- 使用案例圖
- 活動圖
- 類別圖(即資料項目之分類)

WCO 採用國際普遍使用之編碼標準，例如 WCO 之編碼(HS, UCR 等)、ISO 代碼、聯合國(UN)代碼及其他如 IATA、EAN 等標準。

WCO Data Model 3.0 定義之海關運作模式如下：

1. 進口程序 (IMPORT)

包含進口一段式通關(IM1)、進口二段式通關(IM12, IM22)、進口艙單(CRI)等。

2. 出口程序 (EXPORT)

包含出口一段式通關(EX1)、出口二段式通關(EX12, EX22)、出口艙單(CRE)等。

3. 載運報告 (CONVEYANCE)

4. 轉運、轉口 (TRANSIT)
5. 回應 (RESPONSE)
6. 進出口預先申報程序 (SAFE)

包含 SAFE 貨物預先申報、艙單預先申報等。

其中進、出口之二段式程序中，第一段之目的在於放行 (IM12、EX12)，第二段目的則為稅費徵收及統計資料之獲取 (IM22、EX22)。訊息建置指引 (Message Implementation Guidelines, MIG) 提供資料項目精確使用方法，Data Model 3.0 將同時包含 XML generic implementation principles，具有 schema 及 message。

WCO Data Model 之維護：

WCO 會員國須同意 Data Model 之管理規範，若需增加資料元件，只有在其他會員國亦有此需求而且原有之 Data Model 元件無法支援下才會通過。

Data Model 3 之範圍：

1. 未及列入 2.0 版之資料維護需求 (Data Maintenance Request, DMR)。
2. 海關轉運 (Transit)，擴大原 2.0 版之轉運範圍，納入國際公路

貨物運輸的海關協定(Transports International Routiers, TIR)

(如美墨加)，但不包括暫准通關。

3. 新增的回應訊息(Response message)，雖以聯合國標準訊息 (UN Standard Message, UNSM) 中之海關回應訊息(Customs Response Message, CUSRES)為基礎，但並非僅包含海關。
4. 持續與核心組件庫(Core Component Library, CCL) 及聯合國貿易資料項目目錄(United Nation Trade Data Elements Directory, UNTDED)一致，並包含了全新 XML 訊息，涵蓋結構、模型、命名規則、並與 CCL 相容。
5. 改善一些不一致的問題，例如訊息建置指引與類別圖。
6. 為建立單一窗口環境，加入與貨物放行相關之跨境政府機關之關係，包含農業、動植物檢疫、有害廢棄物管理之電子化證明書 (electronic Certificate, eCert)所需資料項目。

WCO Data Model 3.0 版包含了足以描述跨境貿易之進口、出口、貨物運輸、運輸工具及其相關人員之資料項目。

WCO Data Model 3.0 不包含之範圍：

修正版京都公約中特別海關程序，包含：

1. 按原狀復進口 (Re-importation in the same state)

進口加工(Inward processing)

出口加工(Outward processing)

內銷貨物之加工 (Processing of goods for home use)

暫准通關 (Temporary admission (ATA))

郵遞運輸 (Postal traffic (CN/22 CN23 UPIMEX))

2. 特殊貨品運輸或交易或非營利之軍用品 (military goods transported with a special BOAR or 302 form)
3. 賽車或越野車之暫准通關 (cars (racing/rally) with a Carnet de Passage en Douanes)
4. 依貨品暫准通關公約運送之貨品(goods transported under the ATA convention)
5. 快遞貨物 (postal consignments with a CN document)
6. 購買鐵路車票運輸之貨物(goods transported by rail using railroad documents)
7. 用來作為海關事後稽核之所有資訊

採行 WCO Data Model 之好處：

- 使得各種資訊系統得以最有效率的方式協同運作。
- 保障邊境安全。

- 提供優良貿易業者優質通關程序。
- 對貨物快速放行有幫助。
- 去除多餘及重複資料。
- 降低資料量。
- 降低採行成本。
- 促進海關間合作。
- 使出口與進口資料需求歸於一致。
- 建立一套電子傳輸之完整結構。
- 使出口與進口資訊交換變得更有效率。
- 出口資訊可於進口時重複使用。
- 促進單一窗口環境之實現(貿易業者僅需傳輸資料一次)。
- 納入其他政府機關之資料項目需求。

## 五、WCO Data Model 3.0 超類別結構

WCO Data Model 自 2.0 版後採用類別圖表達文件結構，超類別之概念雖然當時已經存在，惟 WCO ID 並未採特別編碼，因此並不明顯。3.0 版將 Document(文件)、GovernmentAgency(政府機關)、Location(地點)、Party(人)、TransportMeans(運輸工具)等 5 項類別(class)列為超類別(superclass)，連同 WCO ID 亦分別賦予 D、G、

L、R、T 等前置字元以容易區分之，各超類別之子類別整理如下表，子類別數量以 Party 為最多、Location 次之，由子類別名稱觀察，可發現 Data Model 3.0 版為配合單一窗口環境中與各簽審機關之協同運作，確實須考慮更多利害關係人，因此大多數之 Party 子類別成員均屬新增列入。

WCO Data Model 3.0 之 5 項超類別，衍生之各項類別幾乎涵蓋了所有資料項目之使用，由於資料項目之數量遠較類別之數量為繁，因此於調和過程中檢視各子類別名稱，容易產生聯想，且結構上也不易出錯，有助於調和。

超(父)類別	子類別
Document	AdditionalDocument、 AssociatedTransportDocument、Declaration Invoice、PreviousDocument、Response TransportContractDocument、TravelDocument
Government Agency	AppealOffice、ContactOffice、EntryOffice、 ExitOffice、PaymentOffice、TransitOffice
Location	AcceptancePlace、ApprovedEstablishmentPlace ArrivalConveyanceFacility、 CargoFacilityLocation、DepartureConveyance

	<p>Facility、ExaminationPlace、FacilityPlace</p> <p>FinalTransportMeansLoadingPlace、FreeTradeZone、</p> <p>GoodsConsignedPlace、GoodsLocation、</p> <p>GoodsReceiptPlace、Itinerary</p> <p>LandingLocation、LoadingLocation、PermittedPort</p> <p>RegisteredFacility、StowPosition、Terminal、</p> <p>TradeTerms、TransshipmentLocation、</p> <p>TransitDeparture、TransitDestinationLocation、</p> <p>UnloadingLocation、Warehouse</p>
<p><b>Party</b></p>	<p>Agent、Authenticator、AuthorisedPerson、</p> <p>BankAccount、Buyer、Carrier、</p> <p>CertificateOfResponsibilityHolder、Certifier</p> <p>CompanySecurityOfficer、Consignee、Consignor</p> <p>Consolidator、ConsortiumCarrier、</p> <p>ContainerOperator、ContainerTerminalOperator、</p> <p>CrewMember、Deconsolidator、DeliveryDestination、</p> <p>Distiller、Distributor、DraymanOrLighterman、</p> <p>EquipmentOwner、Exhibitor、Exporter、Feedlot、</p> <p>GovernmentOfficer、GovernmentServiceRequestor、</p>

	<p> Grower 、 Importer 、 InsuranceCompany 、  IntermediateCarrier 、 IntermediateConsignee 、  ISPSResponsibleParty 、 LoadingProofParty 、  LPCOAuthorizedParty 、 Manufacturer 、 Master 、  NonVesselOperatingCarrier 、 NotifyParty 、  OrganicCertifyingOrganization 、  PortFacilitySecurityOfficer 、 Producer 、  PropertyOperator 、 PropertyOwner 、  RecognizedSecurityOrganization 、  RepresentativePerson 、  ResponsibleGovernmentAgency 、 Seller 、  ShipSecurityOfficer 、 Stevedore 、  StuffingEstablishment 、 Submitter 、 Supplier 、  Surety 、 TransitPrincipal 、  TransportMeansOperator 、 TransportMeansOwner 、  UltimateConsignee 、 UNDGContact 、 VehicleOwner 、  Verifier 、 Veterinarian </p>
<b>TransportMeans</b>	<p> ArrivalTransportMeans 、 BorderTransportMeans 、  BorderTransportMeans 、 DepartureTransportMeans 、 </p>

	DepartureTransportMeans
--	-------------------------

## 六、資料調和範例

本節以研討會中提供之訓練文件為例，方框中之文數字為參考答案(WCO ID)，讀者亦可參照 WCO Data Set 自行練習。

### 提貨文件 (Cargo Control Document, CCD)

本文件為加拿大運輸業者或承攬業者通知貨主貨物已抵達港口，並等候辦理通關之文件。在某些場合，配合加國之法令條件，提貨文件可以是倉單、提單或是任何許可之運輸文件取代之，其原有格式如圖 3 所示，具有英文、法文等 2 種語言對應，茲將每個欄位之敘述如下：

欄位	說明
United States port of exit	若一批貨物之價值超出加幣 2500 元且由美國出口，則須填報本欄位。本欄位指離開美國關稅領域之港口。
In transit	轉運之目的地。
Manifest from	倉單之起源地，若為轉運則填報

	第一個抵達之港口。
To	貨物進入加拿大之目的地，對應 port of exit。
Consignee name and address	收貨人名稱及住址。
Shipper name and address	發貨人姓名及地址。
Acquittal No	即提貨文件序號，填報加拿大海關進口申報單之用。
Carrier code	運輸業者識別號碼。
Previous cargo control No.	上一份關聯之貨物控制文件號碼，須注意 D018 是指上一份報單或艙單號碼，較不適宜使用。
No. of pkgs.	包裝數量。
Description and marks	貨物說明及標記或號碼說明
Weight	該項次貨物之毛重
Foreign point of lading	國外裝貨港口。
Location of goods	貨物存放處所。
Name of carrier	運輸業者名稱。
Conveyance identification	載運識別碼。

No. of pkgs. Nombre de colis		Description and marks Désignation et marques	Weight Poids	Rate Taux	Advances Avances	Prepaid Port payé	Collect Port dû
144		137/142	126				

ABA(B) (05)

圖 3：提貨文件

### 加拿大海關商業發票 (Canada Customs Invoices, CCI)

本文件為銷往加拿大之貨物（食品除外）使用之海關發票。其欄位一樣是以英文、法文等 2 種語言對應，其格式如圖 4 所示，內容繁多，茲將每個欄位之敘述如下<sup>1</sup>：

欄位	說明
Vendor (name and address)	賣方的名稱與地址，填寫出口商的名稱及地址，包括城市和國家名稱。

<sup>1</sup> 參考自 <http://www.zftc.gov.cn/gjmy/mysw/jhdzzz/T135673.shtml>

Date of direct shipment to Canada	直接輸往加拿大的裝運日期，須與提單日期相一致。
Order reference, include purchaser's order number	其他參考事項，包括買方訂單號碼，填寫有關合同、訂單或商業發票號碼。
Purchaser's name and address	買方，填寫實際買方之名稱及地址。
Country of transshipment	轉運國家，應填寫轉船地點名稱。
Country of origin of goods	生產國別。
Transportation: Give mode and place of direct shipment to Canada	運輸方式及直接運往加拿大的起運地點，只要貨物不在國外加工，不論是否轉船，均填寫起運地和目的地名稱以及所用運載工具。
Condition of sales and terms of payment (ie. sale, consignment, shipment, leased goods, etc)	價格條件及支付方式，如銷售、委託發運、租賃商口等，按商業發票的價格術語及支付方式填寫。
Currency of settlement	貨幣名稱，賣方要求買方支付貨

	幣的名稱，須與商業發票使用的貨幣相一致。
Number of package	件數，填寫該批商品的總包裝件數。
Specification of commodities (kind of packages, marks and numbers, general description and characteristics, ie. grade, quality)	貨品詳細描述，應按商業發票同項目描述填寫，並將包裝情況及唛頭填寫此欄(包括種類、唛頭、品名和特性，即等級、品質)。
Quantity (state unit)	數量，應填寫商品的具體數量，而不是包裝的件數。
Unit price	單價，應按商業發票記載的每項單價填寫，使用的貨幣應與信用證和商業發票一致。
Total	總值，應按商業發票的總金額填寫。
Total weight	淨重及毛重的總數，填寫總毛重和總淨重，應與其他單據的總毛重和總淨重相一致。

Total invoice value	發票總金額，按商業發票的總金額填寫。
If any of fields 1 to 17 are included on an attached commercial invoice, check this box	如果 1—17 欄的任何欄的內容均已包括在所隨附的商業發票內，則在方框內填一個“v”記號，並將有關商業發票號填寫在橫線上。
Exporters name and address (if other than vendor)	出口商名稱及地址，如並非買方。
Originator (name and address)	負責人的姓名及地址。
CCRA ruling (if applicable)	主管當局現行管理條例，如適用者。指加方海關和稅務機關對該貨進口的有關規定。
If fields 23 to 25 are not applicable check this box	如 23 至 25 欄不適用，可在方框內打“v”記號。
If included in field 17 indicate amount  I、Transportation charges, expense and insurance from the	如果以下金額已包括在第 17 欄目內：  I、自起運地至加拿大的運費和保險費：可填運費和保險費的總

<p>place of direct shipment to Canada</p> <p>II、Costs for construction, erection and assembly incurred after importation into Canada</p> <p>III、export packing</p>	<p>和，允許以支付的原幣填寫。</p> <p>II、貨物進口到加拿大後進行建造、安裝及組裝而發生的成本費用，按實際情況填列。</p> <p>III、出口包裝費用，可按實際情況將包裝費用金額打上。</p>
<p>If not included in field 17 indicate amount</p>	<p>如果以下金額不包括在第 17 欄目內，若 17 欄不包括，則註明金額。如果在 FOB 等價格條件下，賣方又替買方租船訂艙時，其運費於貨到時支付，則 I 欄可填實際運費額。</p>
<p>Check (if applicable)</p>	<p>若適用，在方格內打“v”記號。</p> <p>本欄系補償貿易、來件、來料加工、裝配等貿易方式專用；一般貿易不適用。</p>

Canada Border Services Agency / Agence des services frontaliers du Canada		CANADA CUSTOMS INVOICE / FACTURE DES DOUANES CANADIENNES		PROTECTED WHEN COMPLETED / PROTÉGÉ UNE FOIS REMPLI	
		Page 1 of 1			
1. Vendor (name and address) - Vendeur (nom et adresse) XYZ Exporting Company 456 Any Street Houston TX 78161 <b>R050</b>		2. Date of direct shipment to Canada - Date d'expédition directe vers le Canada <b>031</b> 20xx-02-02		3. Other references (include purchaser's order No.) Autres références (inclure le n° de commande de l'acheteur) <b>D005, D006</b>	
4. Consignee (name and address) - Destinataire (nom et adresse) ABC Importing Company Ltd. 123 Any Street Montréal QC N9A 4H8 <b>R014</b>		5. Purchaser's name and address (if other than consignee) Nom et adresse de l'acheteur (s'il diffère du destinataire) Same as Field No. 4 <b>R009</b>		6. Country of transshipment - Pays de transbordement N/A	
8. Transportation: Give mode and place of direct shipment to Canada Transport : Précisez mode et point d'expédition directe vers le Canada Speedy Express, Houston, Texas <b>T006</b>		7. Country of origin of goods Pays d'origine des marchandises <b>United States</b>		9. Conditions of sale and terms of payment (i.e. sale, consignment shipment, leased goods, etc.) Conditions de vente et modalités de paiement (p. ex. vente, expédition en consignation, location de marchandises, etc.) <b>FOB Houston</b> <b>090</b>	
11. Number of packages Nombre de colis <b>10</b>		12. Specification of commodities (kind of packages, marks and numbers, general description and characteristics, i.e., grade, quality) Designation des articles (nature des colis, marques et numéros, description générale et caractéristiques, p. ex. classe, qualité) Uncoated, hand-made paper for writing purposes Bale Nos 1-10 <b>144</b> <b>326</b>		13. Quantity (state unit) Quantité (précisez l'unité) 1000 kilograms <b>322, 313</b>	
		14. Unit price Prix unitaire 4,382.00		15. Total 4,382.25 <b>112</b>	
18. If any of fields 1 to 17 are included on an attached commercial invoice, check this box Si tout renseignement relativement aux zones 1 à 17 figure sur une ou des factures commerciales attachées, cochez cette case Commercial Invoice No. - N° de la facture commerciale <b>D016</b>		16. Total weight - Poids total Net 1000 kilo Gross - Brut 1000 kilo		17. Invoice total Total de la facture 4,382.25	
19. Exporter's name and address (if other than vendor) Nom et adresse de l'exportateur (s'il diffère du vendeur) <b>R031</b>		20. Originator (name and address) - Expéditeur d'origine (nom et adresse)			
21. CCRÁ ruling (if applicable) - Décision de l'Agence (s'il y a lieu)		22. If fields 23 to 25 are not applicable, check this box Si les zones 23 à 25 sont sans objet, cochez cette case <input checked="" type="checkbox"/>			
23. If included in field 17 indicate amount: Si compris dans le total à la zone 17, précisez : (i) Transportation charges, expenses and insurance from the place of direct shipment to Canada Les frais de transport, dépenses et assurances à partir du point d'expédition directe vers le Canada <b>181, 371</b> (ii) Costs for construction, erection and assembly incurred after importation into Canada Les coûts de construction, d'érection et d'assemblage après importation au Canada <b>181, 371</b> (iii) Export packing Le coût de l'emballage d'exportation <b>181, 371</b>		24. If not included in field 17 indicate amount: Si non compris dans le total à la zone 17, précisez : (i) Transportation charges, expenses and insurance to the place of direct shipment to Canada Les frais de transport, dépenses et assurances jusqu'au point d'expédition directe vers le Canada (ii) Amounts for commissions other than buying commissions Les commissions autres que celles versées pour l'achat (iii) Export packing Le coût de l'emballage d'exportation		25. Check (if applicable): Cochez (s'il y a lieu) : (i) Royalty payments or subsequent proceeds are paid or payable by the purchaser Des redevances ou produits ont été ou seront versés par l'acheteur <input type="checkbox"/> <b>188</b> (ii) The purchaser has supplied goods or services for use in the production of these goods L'acheteur a fourni des marchandises ou des services pour la production de ces marchandises <input type="checkbox"/>	

CH (06) A466

圖 4：加拿大海關商業發票

## 七、使用 WCO Data Model 3.0 作資料調和之技巧

資料項目並不宜盲目搜尋，一來資料項目相當多，再者很容易發生錯誤，以下為一些工作技巧：

1. 文件之使用場合，是進口時使用，或是出口程序使用？是否與

運輸工具或倉單相關？以「提貨文件」為例，前面已指出本文件可以是倉單等運輸文件，且為進口時使用，故資料項目應以於「進口倉單(CRI)」程序中使用者為優先選擇。

2. 資料元件於文件中採行之結構，是否與 Data Model 之資料項目相同？
3. 欲調和之資料項目，是否屬於 Document(文件)、Government Agency(政府機關)、Location(地點)、Party(人)、Transport Means(運輸工具)之任何一種型態？若屬於此 5 超類別(superclass)，則僅須於該超類別中尋找，節省時間。
4. 無法尋找到適合之資料項目亦相當可能，由於 Data Model 資料項目之維護相當嚴謹，因此每個國家之特殊需求均難以被列為該標準之一部份，此時應考慮自行定義或刪除該項目，不宜使用意義相近卻不同之資料項目取代。

## 陸、心得與建議

- 1、由於 WCO Data Model 3.0 版尚未完全付梓，而我國即將進行「關港貿單一窗口」之規劃，相關工作均亟需 Data Model 3.0 版之資料項目作為參考，幸經多方協調後，順利與 WCO 某一技術委員情商取得接近完成之 DATA SHEET，並提供參與資料調和之相關人

員參考。

- 2、 本次研討會僅能取得資料項目，對於 3.0 版之程序模型，如轉運、轉口、回應訊息之運作模式仍屬未知，又因未取得類別圖(WCO UML Data Model)，因此對各項業務模式中訊息(文件)之結構，是否與 2.0 版有明顯差異亦尚無法估計，惟我國規劃「關港貿單一窗口」已進入緊鑼密鼓之階段，因此我方亦發言請出席 APEC 研討會加拿大籍講師 Eric 協助，務必於年底準時推出 WCO Data Model 3.0，Eric 表示儘量協助我國達成此一目標。
- 3、 我國於研討會中向與會之 APEC 成員體簡報我國單一窗口之目前情況及未來發展願景(附件第 44 頁)，獲得不錯之迴響。由於我國未來單一窗口環境將規劃報關與簽審之整合一次性作業，同時調和報單與簽審申請訊息為世界首例首創，而目前即便是已導入簽審電子化 (eCert)概念之先進國家，亦少有達成此目標者，因此與會成員多表示相當期待中華台北之未來成果。
- 4、 藉由與各經濟體海關代表充分交換意見中，我們發現與會成員的通關與資訊專業能力極佳，特別在資料調和課程之練習中，各成員體代表表達意見相當踴躍且熱烈，由於資料調和之結果與參與者對於該文件之認知，甚至該文件之發展背景有相當之關聯，因此只有透過充分討論方能使結果趨近於完美。課程結束後，講師

尚須攜回六個無法調和之問題，包括我國代表單獨提出之一項，  
回請 WCO 技術委員協助解決。

- 5、在第 4 次研討會中，包括 APEC 成員體與受邀之公私部門達成共識：單一窗口工作小組第 2 階段之任務已經達成，應告一段落，明年 SCCP 單一窗口工作小組 SWWG，預定修改為 SWIG(Single Window Implementation Group)。



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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP3/001**

## **Agenda**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**

## Day 1 Wednesday 1 April 2009 – APEC Secretariat

Time	Activity	Outline
8.15	Pick up from Hotel	Travel to APEC Secretariat.
8.45 – 9.00	Registration	Participants complete sign in sheet.
9.00 – 9.20	Welcome and introduction of participants	Welcome and invite participant introductions. Canada to outline schedule.
9.20 – 09.40	SWWG Chair presentation	Overview of SWWG activities and progress to date.
09.40 – 10.10	Morning Tea	
10.10 – 10.50	UCR implementation review	Overview of Korean Customs implementation of UCR.
10.50 – 11.30	Experience implementing the WCO Data Model (DM)	Practical experience implementing the model. Overview of how Canada's legislation supports its use.
11.30 – 12.30	Introduction to the WCO Data Model	Background (G7) and progress to date.
12.30 – 1.45	Lunch (not provided)	Optional - Rolling Wok Restaurant
1.45 – 3.00	Demonstration of WCO Data Model v3	Demonstrate the components of the data model and UNTDDED, UNTDID, EDIFACT, XML.
3.00 – 3.30	Afternoon Tea	
3.30 – 4.00	Demonstration of WCO Data Model v3 cont.	As above
4.00 – 4.15	Closing remarks	
4.30	Return to Hotel	

## Day 2 Thursday 2 April 2009 – APEC Secretariat

Time	Activity	Outline
8.20	Pick up from Hotel	Travel to APEC Secretariat.
9.00 – 9.10	Opening remarks	
9.10 – 9.40	ASEAN data harmonisation strategy	Overview of ASEAN's direction for data harmonisation
9.40 – 10.00	Practical demonstration aligning a FAL form (maritime vessel arrival/departure report) to WCO DM v3	Outline steps undertaken to align International Maritime Organisation (IMO) form to WCO DM v3.
10.00 – 10.30	Morning Tea	
10.30 – 12.30	Practical demonstration cont.	As above
12.30 – 1.45	Lunch (not provided)	Optional - Rolling Wok Restaurant
1.45 – 3.00	Group exercise mapping an APEC economy invoice to WCO DM v3	Distribute copies of an APEC economy's invoice and as a group map it to WCO DM v3.
3.00 – 3.30	Afternoon Tea	
3.30 – 4.00	Group exercise mapping an APEC economy invoice to WCO DM v3 (cont.)	Discuss outcomes and how to address elements that may not be included in the model. Outline of next day's activities.
4.00 – 4.15	Closing remarks	
4.30	Return to Hotel	

## Day 3 Friday 3 April 2009 – APEC Secretariat

Time	Activity	Outline
8.20	Pick up from Hotel	Travel to APEC Secretariat.
9.00 – 9.10	Opening remarks from the Chair	Overview of Day 2 topics - opportunity to ask questions or clarify any points.
9.10 – 9.20	Group exercise mapping an APEC economy invoice to WCO DM v3 (cont.)	Discuss outcomes and how to address elements that may not be included in the model.
10.00 – 10.30	<b>Morning Tea</b>	
10.30 – 10.50	Chinese Taipei Single Window Project Update	New Single Window architecture design overview.
10.50 – 12.30	Group exercise mapping an APEC economy OGA certificate to WCO DM v3	Map Other Government Agency (OGA) APEC economy Kimberley Diamond certificate to WCO DM v3.
12.30 – 1.45	<b>Lunch (not provided)</b>	<b>Optional - Rolling Wok Restaurant</b>
1.45 – 2.30	Map OGA certificate to WCO Data Model v3 (cont.)	As above
2.30 – 3.00	Discuss results	Groups to present outcomes to enable discussion about any differences.
3.00 – 3.30	<b>Afternoon Tea</b>	
3.30 – 4.00	Discuss results (cont.)	As above. Outline next day's activities.
4.00 – 4.15	Closing remarks	
4.30	Return to Hotel	

## Day 4 Saturday 4 April 2009 – APEC Secretariat

Time	Activity	Outline
8.20	Pick up from Hotel	Travel to APEC Secretariat
9.00 – 9.10	Opening remarks from the Chair	Overview of Day 2 topics - opportunity to ask questions or clarify any points.
9.10 – 10.00	Overview of Korea Customs Single Window system	Video presentation.
10.00 – 10.30	Group exercise mapping an APEC economy road cargo manifest to the WCO DM v3	Canada to monitor group progress and answer questions of clarification.
10.30 – 11.00	<b>Morning Tea</b>	
11.00 – 12.30	Groups to map road cargo manifest document to the WCO DM v3 (cont.)	Canada to monitor group progress and answer questions of clarification.
12.30 – 1.45	<b>Lunch (not provided)</b>	<b>Optional - Rolling Wok Restaurant</b>
1.45 – 2.30	Groups to map road cargo manifest document to the WCO DM v3 (cont.)	Canada to monitor group progress and answer questions of clarification.
2.30 – 3.00	Compare Customs Dec to OGA form to assess duplication of elements	Discuss degree of same data used in the Customs and OGA form to assess 'reuse' to support Single Window.
3.00 – 3.30	<b>Afternoon Tea</b>	
3.30 – 4.00	Capturing trade information to support Single Window	Discuss models for risk assessment and how data supports Customs priorities.
4.00 – 4.15	Workshop closing remarks	
4.30	Return to Hotel	



**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP3/002**

## **Participant List**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**

**PARTICIPANT LIST**

**SWWG CHAIR**

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
1.	Ms	Julie OLARENSHAW	Director, APEC SCCP SWWG, Strategic Development (Cargo)	Australian Customs and Border Protection Service	61 2 6275 6476	61 2 6274 4994	julie.olarensaw@customs.gov.au	F

**Economy: Australia**

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**Economy: Chile**

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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP3/003**

## **Overview Workshop 3**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**



## Sub-Committee on Customs Procedures Single Window Working Group

Capacity Building Workshop 3

## SCCP Recommendations

- Recommendation 1: The SCCP establish a working group to further single window activities across APEC. The working group will engage private and public sectors, other relevant APEC sub-fora and relevant international bodies
- Recommendation 2: The UN/CEFACT definition of single window (UN/CEFACT Recommendation 33) be adopted by APEC economies
- Recommendation 3: The APEC economies adopt the use of internationally recognised instruments and standards in single window design to increase international interoperability
- Recommendation 4: The SCCP establish a repository to capture information regarding relevant Single Window related initiatives in international trade facilitation and supply chain security
- Recommendation 5: The SCCP identify and coordinate relevant capacity building Single Window activities
- Recommendation 6: The SCCP prepare a roadmap and implementation plan to achieve the Single Window vision

## Phase 1 - 2007

### 10 Member Economies

- Australia, Canada, China, Japan, Korea, New Zealand, the Philippines, Singapore, United States and Viet Nam

### Supported by experts from

- WCO, ASEAN Secretariat, UN/CEFACT and APEC ECSG

## Phase 2 – 2008/2009

### 13 Member Economies

- Australia, Canada, China, Japan, Korea, New Zealand, **Peru**, Philippines, Singapore, **Chinese Taipei**, **Thailand**, United States and Viet Nam

### Supported by experts from

- WCO, ASEAN Secretariat, UN/CEFACT and APEC ECSG

## Phase 1 Delivered

A framework to articulate the vision for single window developments in APEC and recommendations for next steps

A comprehensive snapshot of the border regulatory environment in all 21 APEC economies, their current activities and future plans for the design, development or enhancement of single window systems within the APEC region

## Phase 2 Deliverables



## Single Window Vision

To develop Single Window systems that facilitate legitimate trade and enhance supply chain security in two stages:

### Stage 1 - within APEC economies

**Stage 2** - establishing links that enable seamless data sharing between Single Window systems through the identification and use of recognised international instruments and standards.

Working together, it is envisaged that international interoperability can be achieved within the APEC region.

## Capacity Building Workshops



## Workshop 1

Chinese Taipei  
27 October – 1 November 2008



## Workshop 3

Singapore  
1 - 4 April 2009

### Objectives

Participants will learn fundamental concepts underpinning the implementation of a Unique Consignment Reference (UCR) program  
Participants will learn about ASEAN's data harmonisation strategy and progress  
Participate in mapping economy data requirements to the WCO Data Model via practical exercises

## Workshop 1

### Objectives

An overview of the WCO Data Model  
An overview of the outcomes from the Peru workshop on the harmonization of standards and instruments  
Best practice experience sharing on a number of topics including Standardised Data Set (SDS) and government-wide initiatives

### Outcomes

Participants have learnt the fundamental concepts of the WCO Data Model  
Participants have also learned fundamental concepts of standards and instruments

## SWWG Phase 2 Final Workshop

### Objectives

Learn and share experiences regarding the current state and future plans for single windows in the region  
Hear from the Association of Southeast Asian Nations (ASEAN) on single window development plans and progress  
Hear from the World Customs Organization about Customs in the 21st Century, the WCO Data Model version 3 and the Columbus Program  
Learn about the international legislative framework and issues related to single window international interoperability and hear about the drafting of a new UN/CEFACT Recommendation  
Learn about UN/CEFACT instruments and standards  
Help shape the final report to be delivered by the SWWG in July 2009

## Workshop 2

Australia  
2 - 7 February 2009



# Thank You

[APECSWWG@customs.gov.au](mailto:APECSWWG@customs.gov.au)

## Workshop 2

### Objectives

Learn fundamental modelling concepts using the Unified Modelling Language (UML) and demonstrate this knowledge in practical exercises  
Learn concepts including: whole of government frameworks, project design, United Nations standards and instruments, legislation and privacy principles, information exchange and security, and electronic certificates

### Outcomes

Participants learnt about Australian systems and supporting frameworks (legal and technical) which will assist in the design and/or enhancement of single window projects/systems  
Acknowledging the importance of using international standards to enable future interoperability  
Recognising the importance of early and sustained engagement with other government departments/industry in the design and build of single window  
Identified the need for further work on the APEC (Rec 6) implementation guide and roadmap and alignment with the ASEAN Single Window Group  
Appreciated the importance of having the SWWG in APEC at both the strategic and tactical levels and recognised the value of the subject matter expert network the working group provides



**Asia-Pacific  
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**2009/SCCP/SWWG/WKSP3/004**

## **Korea Customs Unique Consignment Reference (UCR) Project**

Submitted by: Korea



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**



**CONTENTS**

- I. Outline of KCS' UCR Projects
- II. Updates on KR-PH UCR Project
- III. Outcomes & Lessons
- IV. Future Plans

관세청  
KOREA CUSTOMS SERVICE

**I. Outline of KCS' UCR Pilot Projects**

관세청  
KOREA CUSTOMS SERVICE

**II-3. WCO Unique Consignment Reference**

■ Why ?

- Korea Customs needs to implement its own UCR Guideline to prepare for the following new environments:
  - ✓ Launching the supply chain security program (WCO SAFE Framework, etc.)
  - ✓ Pilot projects on export data exchange and cargo security with other countries
  - ✓ Drawing up the strategy on global trade single window(UN/CEFACT Rec.33)
- Revised Customs Act has come into effect since January 1<sup>st</sup> 2008, which requests traders to declare the UCR and enables Customs administration to issue the UCR
- Simplified guidelines for the UCR is required for all trade and transport stakeholders in Korea

관세청  
KOREA CUSTOMS SERVICE

**I. Outline of KCS' UCR Pilot Projects**

■ History

- Data Exchange Pilot Project with Malaysian Customs (2000)
  - ✓ Send 19 data elements for 3 kinds of goods exporting to Malaysia
  - ✓ Receive 21 data elements for 3 kinds of goods importing from Malaysia
  - ✓ No primary key (i.e., UCR) for assessing exchanged data with import dec.
- Establishment of National Single Window (2003~2008)
  - ✓ 1<sup>st</sup> : Conveyance Report Single Window : C.I.Q. administrations
  - ✓ 2<sup>nd</sup> : Exp/Import Clearance Single Window : 13 PGAs
- Export Data Exchange Pilot with Belgium, the Philippines applying UCR (2008)
  - ✓ Belgium : Employing UCR by exporter in Korea
  - ✓ Philippines : Employing UCR in data exchange and CSD pilot

관세청  
KOREA CUSTOMS SERVICE

**I. Outline of KCS' UCR Pilot Projects**

■ Key Aspects

	Belgium Customs	Philippines Customs
Durations	Jun. 2007 ~ June 2008	Sep. 2007 ~
Scope	Data Exchange/UCR/CSD*	Data Exchange/UCR/CSD
Participants	Hyundai Mobis Co	Dong In Entech Co
Cargo Route	Busan → Antwerp	Busan → Manila
Data Standard	WCO CDM V2.0	WCO CDM V2.0
Applied UCR	KCS UCR Numbering Standard	KCS UCR Numbering Standard
Communication	Mail/Internet (XML)	Internet (XML)
Data Security	PKI (Public Key Infrastructure)	PKI (Public Key Infrastructure)

\*CSD : Container Security Device

관세청  
KOREA CUSTOMS SERVICE

**I. Outline of KCS' UCR Pilot Projects**

■ Progress of the KR-PH Project (continued)

- MOU Signing Ceremony : Sep. 2007
- Drafting Terms of Reference (TOR) : Sep. 2007
- Drafting Global Single Window Test Plan : Nov. 2007
- Communication Test : Dec. 2007
  - ✓ Exchange sample XML messages
- Amendment of Korea Customs Code : Dec. 2007
  - ✓ New provision : §255-3
  - ✓ Legal background for data exchange with other countries & the use of UCR

관세청  
KOREA CUSTOMS SERVICE

**I. Outline of KCS' UCR Pilot Projects**

■ Progress of the KR-PH Project (continued)

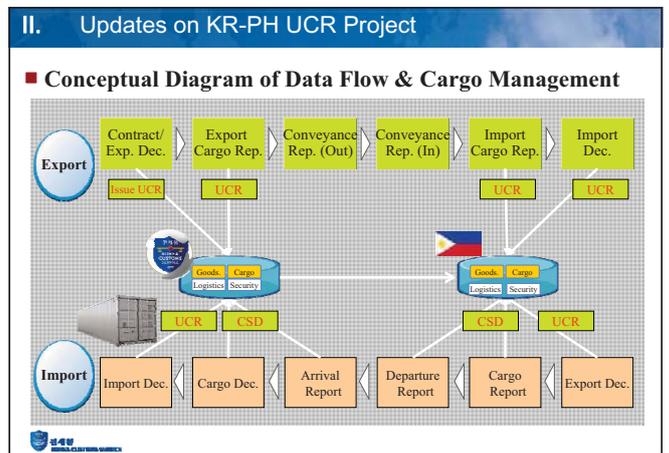
- Modification of electronic documents : Jan. 2008
  - ✓ Add a data element of UCR into electronic export declaration and export manifest form
  - ✓ Release modified MIGs for VAN/EDI communication, and modified schemas for internet communication
- Real Data Exchange : Jan. 2008 ~
  - ✓ 1<sup>st</sup>: 10 EX1 XML messages every day → 2<sup>nd</sup>: real-time data exchange
- Appointment of participants for the UCR project : Jan. 2008
  - ✓ Dong In Entech Co and its branch companies in the Philippines

관세청  
KOREA CUSTOMS SERVICE

## I. Outline of KCS' UCR Pilot Projects

### ■ Progress of the KR-PH Project (continued)

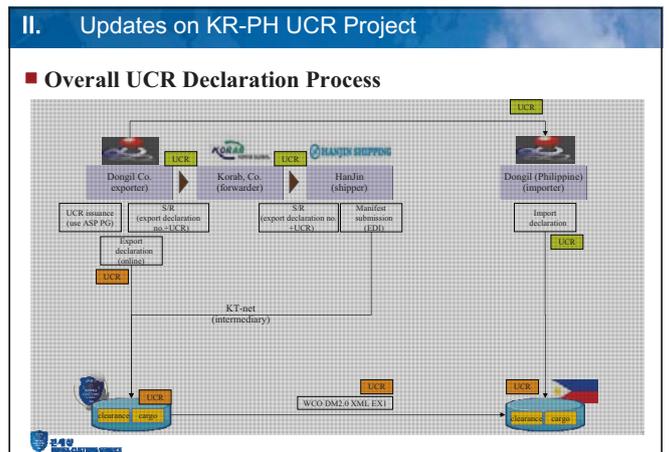
- Modification of ERP systems of participants : Feb. 2008
  - ✓ Exporter : Installation of automatic UCR issuing program
  - ✓ Freight Forwarder & Sea Carrier : Amendment of their ERP systems to enable to lodge UCR numbers while submitting electronic manifests to Customs
- UCR declaration : March. 2008
  - ✓ 1<sup>st</sup> : Export Declaration (Internet) → 2<sup>nd</sup> : Manifest (VAN/EDI)
- Working Level Meeting in Manila : May. 2008
  - ✓ Importer & freight forwarder : Agreed on the declaration of UCR numbers issued in Korea from import manifest to cargo releasing
  - ✓ Philippines Customs : Agreed on the modification of electronic systems for accepting UCR numbers issued in Korea



## I. Outline of KCS' UCR Pilot Projects

### ■ Basic Principles of KCS' UCR numbers (continued)

- Issuing Agency : Korea Customs Service
- Time of issuing UCR : Contracting level is recommended
- Time of declaring UCR
  - ✓ 1<sup>st</sup> : Export goods declaration
  - ✓ 2<sup>nd</sup> : Export manifest
- Numbering Structure
  - ✓ Length : 21 digits in maximum
  - ✓ Composition : IAC(2~3 digits), Year(1), Company ID(6), Serial No(7~10), Check digit(1)
  - ✓ Unique for at least 10 years in national & international level



## I. Outline of KCS' UCR Pilot Projects

### ■ Basic Principles of KCS' UCR numbers (continued)

- ✓ Example of UCR number (KC8MOBIS100000010011)

KC	8	MOBIS1	0000001	001	1
IAC	Year	Company ID	Serial No	Sub-Serial No	Check Digit
KC	8	MOBIS1	0000001	001	1

## II. Updates on KR-PH UCR Project

### ■ Issuing UCR numbers by the Exporter

The screenshots show the UCR issuing system interface. The main window displays a list of UCR numbers with columns for UCR No., UCR Date, UCR Status, and UCR Type. A red box highlights the 'UCR No.' column. A smaller window shows the 'UCR No.' field with the value 'KC-8-MOBIS1-0000001-001-1' and a 'UCR No.' label.

□ Exporter has the **autonomous (system)** to utilize export declaration number after a company number in issuing the document.

## II. Updates on KR-PH UCR Project

## II. Updates on KR-PH UCR Project

### ■ Export Declaration by the Exporter

(별의 제4호 서식) 수출신고필증 (감지)

The screenshot shows the '수출신고필증 (감지)' form. It contains various fields for export declaration, including '수출신고번호' (Export Declaration No.), '수출일자' (Export Date), '수출물량' (Export Quantity), and '수출가액' (Export Value). A red box highlights the '수출신고번호' field.

## II. Updates on KR-PH UCR Project

### Input UCR Numbers by the Carrier

- Add the UCR delivered via SR by exporters to the manifest reporting.
- Store the UCR mapping data in the shipper's own ERP

## II. Updates on KR-PH UCR Project

### Assessment of Received Data (continued)

## II. Updates on KR-PH UCR Project

### Manifest Declaration by the Carrier

## II. Updates on KR-PH UCR Project

### Assessment of Received Data (continued)

## II. Updates on KR-PH UCR Project

### UCR Declaration in the Philippines

PH-PMPMI-0000001-PO2A-0

## Applying UCR in CSD pilot

## II. Updates on KR-PH UCR Project

### Assessment of Received Data

Screen of auditing import declaration by a Customs officer

## Geo View utilizing Google earth map

15건 : 전체 구간 위치정보 추적    3건 : 내륙구간 위치정보 추적  
 해상구간은 선박 머단에 실려 GPS 신호를 받지 못함

### Zoom In

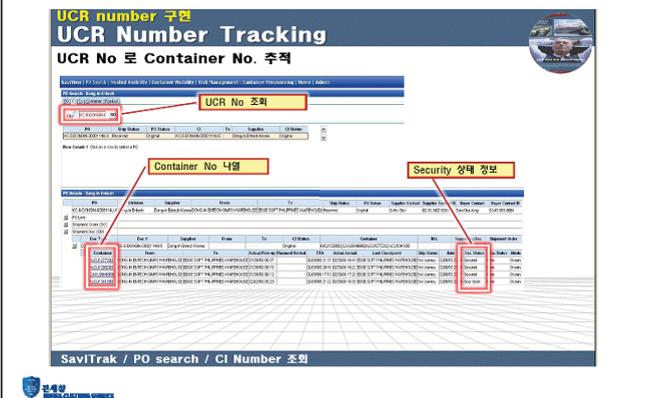


### III. Outcomes & Lessons

#### ■ Outcomes

- Statistics on data exchange with the Philippines (Jan. 2008 ~ Dec. 2008)
  - Send : 2,404 messages
  - Receive : 1,755 messages
- Risk Management
  - comparing the received data with information in import manifest & declaration using UCR
  - Data exchange with other countries is mandatory for security and facilitation of global trade
- Export cargo tracking
  - Provide export cargo tracking service using UCR by Customs
  - Manage supply chain from source to destination using UCR by traders
- Pre-requisite for Data Harmonization & Standardization

### Applying UCR in CSD Platform system

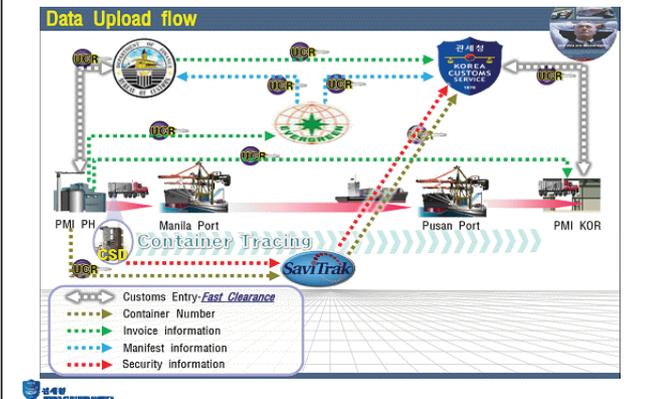


### III. Outcomes & Lessons

#### ■ Lessons

- Resources
  - Necessity of independent department or team
  - Time & budget
- Regular Meeting
  - Periodical conference call
- Collaboration
  - Among departments, with the private sector, between countries
- Feasibility Study
  - Evaluation of partners : IT infrastructure, political willingness, resources, etc
- Experience
  - Important to succeed in the completion of projects

### Applying UCR in CSD pilot



### III. Outcomes & Lessons

#### ■ Lessons

- Data Standard
  - Some of data elements : Inconsistent with WCO Data Model
- Language Issues (e.g., company names)
- Business Confidentiality
  - Invoice Amount
- EX1 & CRE messages
  - Necessary to exchange EX1 & CRE messages respectively for split cargo
- Participants
  - Unwillingness of participation in the private sector

### III. Outcome & Lessons

### IV. Future Plans

#### IV. Future Plans

##### ■ White Paper on the UCR Pilot Project

- Necessary to share valuable experiences and lessons with other members & international trade communities
- Agree to publish white paper on the UCR pilot project with Philippines Customs
  - ✓ Administrative & technical details on the projects, outcomes, obstacles, lessons, etc

##### ■ Expand & Upgrade UCR Projects

- Consider regular data exchange & UCR projects with PH & BE
  - ✓ Philippines companies may issue UCR numbers for cargo exporting to Korea
- Study the feasibility of more data exchange & UCR projects with other countries



Thank You  
감사합니다.





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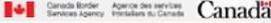
**2009/SCCP/SWWG/WKSP3/005**

# **Experience Implementing the WCO Data Model - Overview of How Canada's Legislation Supports Its Use**

Submitted by: Canada



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**



**APEC Sub Committee on Customs Procedures (SCCP)**

**Single Window Working Group (SWWG) Phase 2**

**Workshop 3**

**Singapore**  
**April 1 - 4, 2009**



**Critical Success Factors**



**To be successful, government must:**

- Fulfill an identified need**
  - streamlined reporting
- Provide an incentive**
  - legislative/regulatory changes
- Offer a tangible benefit**
  - cost savings
- Deliver a return on investment**
  - improved trans-border movement
- Provide a value added service**
  - paperless reporting
  - innovative programs responsive to changing transport and trade practices

Page 4

**Overview**



- CBSA Vision, Mandate, Mission
- Critical Success Factors
- G7 Initiative
- CBSA and the WCO
- Data Harmonization
- WCO Results
- CBSA Legislation
- International Obligations
- Moving Forward

Page 2

**G7 Initiative**



- **The WCO Data Model is based on the G7 Data Sets**
  - developed by Canada and the other G7 nations between 1996 and 2000
- **G7 Initiative was CBSA's first experience with harmonized data models**
  - aligning national requirements with harmonized data sets
  - using standardized EDI messages
- **Canada was the *first* country to implement harmonized import, export and cargo data sets and messages**

Page 5

**Canada Border Services Agency**

<b>Vision</b>	<b>Mandate and Mission</b>	<b>Priorities and Outcomes</b>
<p><b>A SMART BORDER</b> <b>A SMART ORGANIZATION</b></p>	<p style="text-align: center;"><b>MANDATE</b></p> <p>Provide integrated border services that support national security and public safety priorities and facilitate the free flow of persons and goods, including animals and plants, that meet all requirements under the program legislation</p> <p style="text-align: center;"><b>MISSION</b></p> <p>To ensure the security and prosperity of Canada by managing the access of people and goods to and from Canada</p>	<p style="text-align: center;"><b>STRATEGIC PRIORITIES</b></p> <ul style="list-style-type: none"> <li>Effective delivery of programs and services</li> <li>Innovating for the border of the future</li> <li>Strong internal and external relationships</li> <li>A modern management regime</li> </ul> <p style="text-align: center;"><b>STRATEGIC OUTCOMES</b></p> <p>Efficient and effective border management that contributes to the security and prosperity of Canada</p>

Page 3

**CBSA and the WCO**



- The World Customs Organization (WCO) is a partner with which Canada works closely to attain its goal of a 21st century border
- Canada is a strong supporter of the WCO's Framework of Standards to Secure and Facilitate Global Trade (SAFE)
- Canada and specifically CBSA is considered a leader in the international data harmonization effort

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## WCO Results



### The WCO Data Model facilitates:

- shorter project life cycles
- reduced costs
- shortened learning curves
- reduced project delays
- collection of consistent and accurate data
- increased compliance
- adoption and implementation of a border strategy based on risk management

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## Canada Border Services Agency Act



- The *Canada Border Services Agency Act* establishes the CBSA, which was created by Order in Council on December 12, 2003
- The Act sets out the responsibilities, mandate, powers, duties and functions of the Minister responsible for the Agency and its President
- Under this Act, the CBSA is responsible for providing integrated border services that support national security priorities and facilitate the free flow of persons and goods, including animals and plants, which meet all requirements under the program legislation

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## CBSA Data Harmonization



### In order to clearly understand the data and make appropriate choices, consideration must be given to:

- source – who supplies the data?
- timing – when is the data supplied?
- use – how will the data be used?
- attributes – field size and type?
- structure – where in the message will the data be transmitted?
- relationships – what other pieces of data does it need to relate to?

Page 8

## Customs Act



- The *Customs Act* is the principal act governing the CBSA's customs-related activities
- Section 107 of the *Customs Act* governs the use, access, and disclosure of customs information by the CBSA with our domestic and international stakeholders
- Subsections 107(4), (5), (8) and (9) describe the circumstances in which an official may provide access to customs information
- Customs information is information obtained for the purposes of the administration or enforcement of the *Customs Act* and *Customs Tariff*

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## CBSA Legislation



- The CBSA administers, in whole or in part, more than 90 acts, regulations and international agreements on behalf of other federal departments and agencies, the provinces and the territories
- The CBSA has legislative responsibility for the following acts:
  - The *Canada Border Services Agency Act*
  - The *Customs Act*

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## International Obligations



International agreements that can restrict the sharing of information include:

- *General Agreement on Tariffs and Trade* (GATT) obligations contained in Article 10 of the Customs Valuation Agreement
- GATT obligations contained in Article 3(i) of the Agreement on the Rules of Origin
- Customs Mutual Assistance Agreements
- Bilateral and multilateral trade agreements

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## Moving Forward



- Harmonize information requirements with international standards
- Continue participation in international forums
- Contribute to a government-wide approach to commercial processes
- Pursue Legislative and Regulatory amendments, if required

Page 13

## Contact



**For further information, please contact:**

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(613) 957-8634

Page 14



**Asia-Pacific  
Economic Cooperation**

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2009/SCCP/SWWG/WKSP3/006

## **WCO Cross-Border Regulatory Agencies - Data Model General Information**

Submitted by: WCO



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**



# WCO

Cross-Border Regulatory Agencies

## ~~Customs~~ Data Model

### General Information

November 2008

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WCO details													UNTDDED Details			
WCO ID	Name	Definition	Data model classes	UNTDDED	Format	Code remarks	UNTDDED	Name								
89	Conveyance reference number	For identifying a journey of a means of transport, for example voyage number, flight number, ship number.	BorderTransportMeans	X	X	X	X	X	X	X	X	X	an.17		8003	TransportMeansIdentification
90	Number of containers	For a number of freight containers or similar loaded devices.	BorderTransportMeans	X	X	X	X	X	X	X	X	X	n.4		0046	ConveyanceTransportEquipmentQuantity
91	Equipment supplier type, coded	Code identifying a type of parts that is the supplier of transport equipment.	TransportEquipment	X	X	X	X	X	X	X	X	X		EDFAC2 codes	0017	TransportEquipmentSupplierTypeCode
92	Equipment size and type identification	Code specifying the characteristics, for size and type, of a piece of transport equipment.	TransportEquipment	X	X	X	X	X	X	X	X	X	an.4	GO,DATA,EDFAC2 or user codes	1885	TransportEquipmentCharacteristicCode
93	Transport equipment loaded status	Code specifying whether a piece of transport equipment is loaded and ready for use.	TransportEquipment	X	X	X	X	X	X	X	X	X		EDFAC2 codes	1886	TransportEquipmentLoadedCode
94	Equipment date and issue	Code and date of manufacture or issue of transport equipment.	TransportEquipment	X	X	X	X	X	X	X	X	X	an.17	ICCY/IMCO EQUIPMENTS	2300	TransportEquipmentDateOfIssueCode
95	Container legal status indicator	Indication of the container's legal status with respect to the Container Convention.	TransportEquipment	X	X	X	X	X	X	X	X	X		01= no, 1= yes	1890	TransportEquipmentLegalStatusCode
96	Equipment identification number	Mark a (letters and/or numbers) which identify equipment as a loaded device.	EquipmentIdentification	X	X	X	X	X	X	X	X	X	an.17	GO,IS46,DATA	8200	TransportEquipmentIdentifier
97	Previous government procedure	Code specifying the government procedure, if any, which has been applied to the goods prior to the application of a different government procedure.	GovernmentCode	X	X	X	X	X	X	X	X	X	an.7			For Customs: User codes, categorized based on the revised Kyoto Convention.
98	Animal certification indicator	Indicator that the state of a transport means is certified as fit.	Conveyance	X	X	X	X	X	X	X	X	X		01= no, 1= yes	7305	ProcessedIndicatorCode
99	Party relationship indicator	Indication as to the nature of relationship existing between two parties to a financial relationship.	CustomsValue	X	X	X	X	X	X	X	X	X		01= no, 1= yes	7305	ProcessedIndicatorCode
100	Type of duty regime, coded	Code identifying a type of duty regime.	DutyRegime	X	X	X	X	X	X	X	X	X	an.3	EDFAC2 codes	5410	DutyRegimeCode
101	Transportation number of a vessel	Transportation number of a vessel.	TransportEquipment	X	X	X	X	X	X	X	X	X	an.15		9300	TransportEquipmentSeaIdentifier



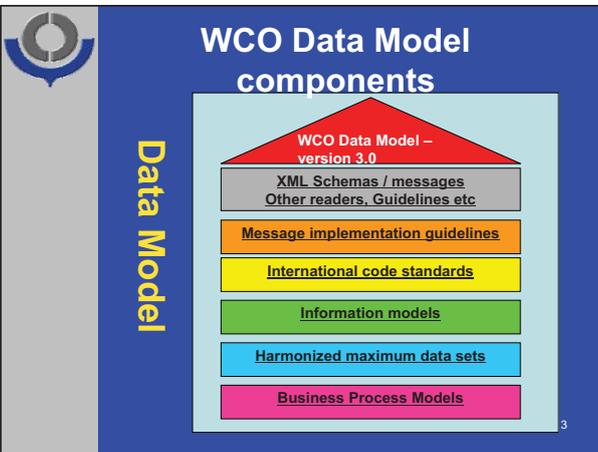
## WCO Data Model - overview -

- G7 mandate to simplify and standardize Customs procedures
- Latest G7 version became version 1 of the WCO Customs Data Model (2002)
- Supply chain security requirements → Version 1.1 of the WCO Customs Data Model
- Version 2 of the Customs Data Model has been published end of 2005
- Development of Version 3 Data model June 2005
- 5 years review cycle



## Modelling objectives

- Establish a basis for designing and developing information systems and messages
- Analysis of business processes
- Optimisation of business processes




## Modeling standards

- UMM – UN/CEFACT Modelling Methodology
- UML2 – Unified Modelling Language



## The Data Sets

- Maximum data in 11 data sets – for 11 different procedures – in total ~~253~~ 450 data elements
- Based on the 2005 Edition of the UNTDED
- Detailed information about a single data element



## Overview about the various models

- Simple Business Process Model
- Use Case Diagram
- Use Case Description
- Activity Diagram
- Class Diagram (Classification of data elements, relationship of classes)

Processes  
Information

## International Code Standards - 1

Examples:

- WCO - The Harmonized System
- ISO 3166 - Country codes
- ISO 4217 - Currency codes
- ISO 6346 - Container codes
- UN/Rec. - No. 5 – Incoterms
- UN/Rec. - No. 16 – UN/LOCODE
- UN/Rec. - No. 20 – Units of measure
- UN/Rec. - No. 28 – Type of means of transport
- Wassenaar codes – Dual use goods

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## Data Model, Benefits

- ✓ Enables the various information systems to work together in the most effective way possible
- ✓ Promoting safe and secure borders
- ✓ Offering authorised traders end to end premium procedures
- ✓ Contributing to rapid release
- ✓ Eliminating redundant and repetitive data
- ✓ Reducing the amount of data
- ✓ Reducing compliance costs
- ✓ Promoting greater Customs co-operation

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## Message Implementation Guidelines (MIGs)

- Assisting users to implement a WCO Data Model message
- Description of the exact usage of the data sets
- For XML generic implementation principles, Schemas and messages

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## Data Model, Benefits .....continuation

- ✓ aligned export and import data requirements
- ✓ created a single electronic structure
- ✓ more effective exchange of information between export and import (export information reused at import)
- ✓ includes data requirements of other Cross-Border Regulatory Agencies
  - ↳ Single Window environment
  - ↳ traders to submit information only once

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## Principles

- Kyoto Data Principles
  - Maximum set
  - Minimum data requirements
  - better data rather than more data
- Maintenance procedures
  - Strong business justification (reason why data is required to fulfill mission)
  - Required by at least more than one country
- Context-, medium- and technology independent

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## Data Model, what it caters for

The Data Model contains sufficient legally required data elements required by Customs and partner Cross-Border Regulatory Agencies for export, import and transport of Cargo, Goods, Means of Transport and Crew.

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## Scope V3

- Deferred DMRs from version 2.0
- Customs Transit
- Response messages (not only Customs)
- Ongoing alignment with CEFACT CCTS, UN/EDD and to work towards the full engagement of trade/transport
- Review and resolve inconsistencies
- Partner Cross-Border Regulatory Agencies
  - Only processes directly related to the release of goods, means of transport and crew
    - at least health and agriculture (national and international)
  - No license/permit/certificate application/request/approval processes

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## Data Model, Implementation

- Bilateral or multilateral basis
- After close consultation with trade
- Collaboration with partner Cross-Border Regulatory Agencies (SW environment)
- Over time, not overnight
- Government, trade & transport to align long-term business and investment plans
- UCR critical part of FoS

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## Fully Fledged Version 3

- Cross Border Regulatory Agencies such as Customs
- Conveyance report
- Cargo report (manifest)
- Goods declarations
  - import, export, normal and simplified procedures
- Transit (incl. E-TIR)
- Response message

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## Fully Fledged Version 3 (2)

- “Single Window Environment”
- Covers only those processes directly related to release (Trade calls this “clearance”)
- Includes goods, means of transport & crew
- Includes “Agriculture” which = SPS, Veterinary, Food & Pharmaceuticals

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## Contact

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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP3/007**

## **WCO Data Model Supplementary Information**

Submitted by: WCO



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**



## WCO DATA MODEL

### General remarks:

- Version 2,
- Version 3 and
- Subsequent Versions.



## Data Model, what it not caters for I

### Not yet included are:

- Requirements for specific Customs procedures as mentioned in RKC such as:
  - Re-importation in the same state
  - Inward processing
  - Outward processing
  - Processing of goods for home use
  - Temporary admission (ATA)
  - Postal traffic (CN/22 CN23 UPIMEX)



## Data Model, Benefits

- ✓ Enables the various information systems to work together in the most effective way possible
- ✓ Promoting safe and secure borders
- ✓ Offering authorised traders end to end premium procedures
- ✓ Contributing to rapid release
- ✓ Eliminating redundant and repetitive data
- ✓ Reducing the amount of data
- ✓ Reducing compliance costs
- ✓ Promoting greater Customs co-operation



## Data Model, what it not caters for II

### Not yet included are:

- specific transactions/goods movements such as
  - military goods transported with a special BOAR or 302 form
  - cars (racing/rally) with a Carnet de Passage en Douanes
  - goods transported under the ATA convention
  - postal consignments with a CN document
  - goods transported by rail using railroad documents
- all information to conduct a Customs Post Audit Control as such.



## Data Model, benefits (2)

- aligned export and import data requirements
- created a single electronic structure
- more effective exchange of information between export and import
- export information reused at import
- includes data requirements of other government agencies
  - ↳ Single Window environment
  - ↳ traders to submit information only once



## Data Model, Implementation

- Bilateral or multilateral basis
- After close consultation with trade
- Collaboration with OGA's (SW environment)
- Over time, not overnight
- Government, trade & transport to align long-term business and investment plans
- UCR critical part of FoS



## Data Model, what it caters for

The Data Model contains sufficient data elements required and approved by our Member administrations for export, import and transport of Cargo, Goods, Means of Transport and Crew.



## Fully Fledged Version 3

- Customs and OGA (ogd and pgd)
- Conveyance report
- Cargo report (manifest)
- Goods declarations
  - import, export and transit (including TIR)
    - one step procedures
    - two step procedures
      - first step for release
      - second step for duty collection and statistics (clearance)



## Fully Fledged Version 3 (2)

- **“Single Window Environment”**
- **Covers only those processes directly related to release (Trade calls this “clearance”)**
- **Includes goods, means of transport & crew**
- **Includes “Agriculture” which = SPS, Veterinary, Food & Pharmaceuticals**  
[WCO Data Set Version3 v0.xls](#)



## Scope of V.3.0 (Response)

- **Covers only the response to Customs messages made by Customs (for now)**
- **Based on the existing UNSM CUSRES (and V2.0 WCORES) messages**
- **Discussion led by UK, Netherlands, Finland**



## Fully Fledged Version 3 (3)

- **Agriculture means data required by Government to regulate the transportation and release of prepared foodstuffs, primary produce and live animals**
- **Includes environmentally dangerous waste defined in the Basel Convention, IMO, e-Cert**
- **Guidelines on “WCO Data Harmonisation and Single Window V2”**
- **response messages (not only for Customs)**
- **Considers the implications of XML ( XML Guidelines plus schemas)**



## Scope of V.3.0 (Customs Transit)

- **Increased scope beyond that of Version 2.0 that was largely based on the EU NCTS**
- **Includes TIR, North American and Australian transit requirements**
- **Does not include other forms of temporary admission at this stage such as ATA carnets**
- **Discussion led by UN/ECE, IATA, the EU Commission, UNCTAD, Canada, the US and Australia**



## Example of “OGA” Data: E-Cert

Exchange standard for sanitary & phytosanitary data of export produce that:

1. **meets the access requirements of foreign markets,**
2. **complies with international inter-governmental standards,**
3. **speeds up border processing,**
4. **protects participating governments & traders against fraud,**
5. **is reliable, flexible and extensible,**
6. **is simple to use and easy to adopt,**
7. **incurs low implementation and operation costs.**



## Scope of V.3.0 (ebXML)

- **New business issue from Version 2.0**
- **Covers complex data issues including structure, modelling, QA, naming rules, alignment with UN CCL and XML schema**
- **Discussion led by India, Hong Kong, Sweden and UN/CEFACT**



## E-Cert and WCO DM

- **Inclusion of e-Cert data elements in WCO DM to include requirements for agricultural reporting.**
- **E-Cert is not strictly at point of export/import\*, but is considered because of the data overlaps.**
- **\* It is a classic permit that is approved prior to export**



# Thank-You

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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP3/009**

## **Data Harmonisation in the ASEAN Single Window**

Submitted by: ASEAN



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**



## DATA HARMONIZATION IN THE ASEAN SINGLE WINDOW

By:  
ATTY REYNALDO NICOLAS  
Deputy Commissioner  
Bureau of Customs, Philippines

## MANDATE FOR ASW

- ASEAN HEADS OF STATE agreed to establish the ASW to expedite cargo clearance - 9<sup>th</sup> ASEAN Summit - Bali, Indonesia, Oct 2003
- ASEAN Economic Ministers (AEM) *Agreement to Establish and Implement the ASEAN Single Window* - 09 December 2005, Kuala Lumpur, Malaysia
- Senior Economic Ministers (SEOM) Protocol *Legal and Technical Frameworks for the ASEAN Single Window 2006*

## OUTLINE

- Background and History of ASW
- Data Harmonization

## DEFINITION: ASEAN SINGLE WINDOW

"The ASEAN Single Window (ASW) is the *environment* where National Single Windows of Member Countries operate and integrate."

(from Agreement to Establish and Implement the ASW, AEM, 09 Dec 2005)

## BACKGROUND

&

## HISTORY

## DEFINITION NATIONAL SINGLE WINDOW

The National Single Window (NSW) is a system which enables:

- Single submission of data and information;
- Single and synchronous processing of data and information;
- Single decision-making for Customs release and clearance

(from Agreement to Establish and Implement the ASW, AEM, 09 Dec 2005)

## VISION OF THE ASW

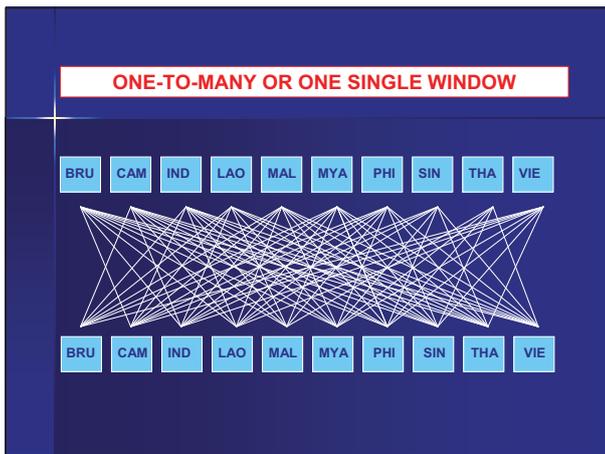
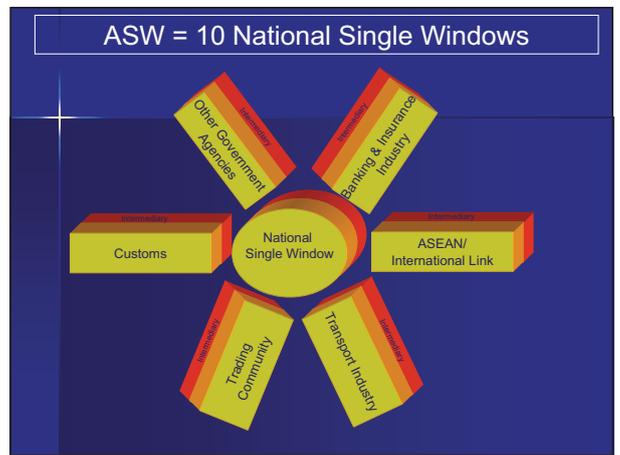
ASEAN  
integration  
by 2015.

## UN/CEFACT Recommendation 33: definition of Single Window

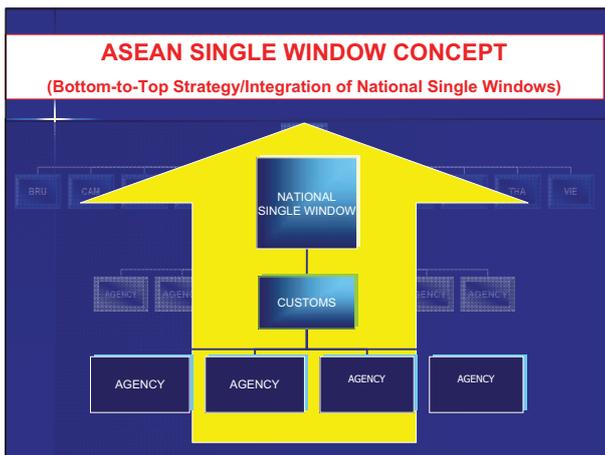
A facility that allows parties involved in trade and transport to lodge standardized information and documents with a single entry point to fulfill all import, export and transit-related regulatory requirements. If information is electronic, then individual data elements should only be submitted once.

# NATIONAL SINGLE WINDOW

**Release Time: 30 minutes**  
*Single Processing Decision-Making*



- ## ASEAN SINGLE WINDOW ACTIVITIES (2004 to 2009)
- 3 Steering Committee Meetings (2007 -08)
  - 8 Technical Working Group Meetings (2007-09)
  - 6 Legal Working Group Meetings (2007-09)
  - 8 Inter-Agency Task Force Meetings (2004-06)
  - 7 Capacity Building Workshops (2006-08)



- ## SYNCHRONIZATION & STANDARDIZATION EFFORTS
- ✓ Agreement
  - ✓ Protocol
  - ✓ Technical Document - Architecture
  - ✓ ASEAN Cargo Processing Model
  - ✓ ASW Readiness Assessment Survey
  - ✓ Federated/Regional Approach
  - ✓ ASW Customs Declaration Document
  - ✓ ASEAN Data Model (Workbase 1.0)

## OUTCOMES 2007-2008

1. Categorization criteria in classifying data elements
2. ASEAN Data Model (Workbase 1.0)
3. Definition of the Federated/Regional approach
4. Regional Survey of the Readiness of Member States
5. Expert team under the Technical Working Group
6. ASW Pilot Project
7. Seminars on technical matters and on legal matters
8. Agreement to develop MOU to implement the ASW Pilot Project
9. Conduct of the electronic testing of exchange of ACDD and CEPT Form D using the ASEAN Data Model

## ASW TECHNICAL DOCUMENTATION Architecture of the ASEAN Single Window

### MODELS & METHODOLOGIES

- WCO
- UNTDDED
- UMM
- UML
- UN & Other International Conventions

## ASW AGREEMENT: OBLIGATION OF MEMBER COUNTRIES

Operationalize their National Single Windows before:

### ■ 2008

- Brunei Darussalam
- Indonesia
- Malaysia
- Philippines
- Thailand
- Singapore

### ■ 2012

- Cambodia
- Lao PDR
- Myanmar
- Vietnam

## ASEAN CARGO PROCESSING MODEL

- Import (Air)
- Import (Sea)
- Export
- Transit
- Transshipment
- Bonded Movement Of Goods
- Warehouses
- Temporary Admission

## ASW TECHNICAL GUIDE

- Compilation of relevant international standards, procedures, documents,
- To be adopted as deemed appropriate by Member Countries
- Subject to regular reviews and updates in line with new technological developments

DATA

HARMONIZATION

## PROTOCOL: Article 8 - APPLICATION OF I.C.T.

### APPLICATION OF ICT

- Appropriate Technologies
- Open Architecture
- International Standards
- UN/EDIFACT
- XML
- Secure Infrastructure

## COMPARATIVE MATRIX OF ASEAN INFORMATION PARAMETERS FOR CARGO RELEASE AND CLEARANCE

ASEAN	MAPPING TO	MAPPING TO	MAPPING TO	MAPPING TO
ASEAN DATA MODEL (Workbase 1) for Import Document & C.O. countries				

## CLASSIFICATION OF ASW DATA ELEMENTS

1. Compulsory - Required elements for ASW purposes by all Member Countries
2. Mandatory - Required by at least one Member Country
3. Conditional - classified as conditional by at least one Member Country (e.g. industry-based, avian)
4. Optional - All data requirements that are open to all Member Countries for any of purposes of their NSWs within the ASW environment

## CERTIFICATE OF ORIGIN Common Effective Preferential Tariff - CEPT Form D

No.	DATA ELEMENT	DESCRIPTION
1.	Reference Number	CEPT Reference Number
2.	Issuance Site (Full name)	Identification of Issuing Office
3.	Issuance Date	Date of Issue for CEPT
4.	Exporter Name	Exporter Name
5.	Exporter Address	Exporter Address
6.	Importer Name	Importer Name
7.	Importer Address	Importer Address
8.	Item No.Line	Item No.
9.	Country Code	Importer Country Code
10.	HS Code	HS Code

## ASEAN CUSTOMS DECLARATION FORM

- **FORMAT:** Single Administrative Document (SAD)
- **MANUAL PROCESSING:** Document should be uniform
- **COMPUTERIZED PROCESSING:** Uniform data parameters
- **DATA PARAMETERS:** 48 Data Elements

(14<sup>th</sup> DG Meeting, Cebu, Philippines, Nov 2005)

## CERTIFICATE OF ORIGIN Common Effective Preferential Tariff - CEPT Form D

No.	DATA ELEMENT	DESCRIPTION
11.	CEPT Rate	CEPT Rate
12.	FOB	FOB Value
13.	Currency Code	Currency Code of FOB Value
14.	Gross Weight	Gross Weight of the Consignment
15.	Unit of Measurement	Unit of Measurement of Gross Weight
16.	Quantity	Goods Quantity
17.	Unit of Measurement	Unit of Measurement of Goods Quantity
18.	Date of Export	Date Goods are Exported
19.	Invoice No.	Invoice No.

## PHILIPPINE-THAILAND ASW PILOT PROJECT

- Signed MOU in December 2005
- APRIS-supported
- 2 Bilateral Technical Meetings in Manila and Bangkok - 21 Mar 2006 & May 30, 2006
- Identified pilot systems
  - Country of Origin Document
- Successful first stage test in May 2006

## ASW EXCHANGE GATEWAY PROJECT 2008

- Led by Indonesia and Malaysia
- Piloted the Federated Approach
- 7 Members involved
- USAID-supported
- Used the CEPT Form D
- Successful by November 2008



## REGIONAL/FEDERATED SINGLE WINDOW MODEL

The ASW is the secured environment where NSWs integrate and operate.

The ASW constitutes a regional facility to enable a seamless, standardized and harmonized routing and communication of trade and customs-related information and data for customs clearance and release from and to NSWs.

Trade and related customs data and information will stay within, and belong to respective Member States".

## ASEAN CUSTOMS DECLARATION DOCUMENT

### No. DATA ELEMENT

1. Reference number of Customs Declaration
2. Type of declaration and customs procedures and regimes
3. Number of forms of the declaration document and its respective uses
4. Date of presenting the goods declaration to the Customs
5. Exporter/Consignor Identification and contact details
6. Importer/Consignee
7. Transaction reference by Declarant
8. Identification of Declarant/Customs Clearing Agent or Representative
9. Reference number of common access
10. Security details
11. Transport document type/number
12. Total number of packages

## ASW Data Set Project

Consolidate the ASEAN Data Set (Version 1.0)

Develop the ASEAN Data Set as the data dictionary using data elements of the following documents:

- Purchase Order or documents of similar natures;
- Commercial Invoice or documents of similar natures;
- Non preferential Certificates of Origin or documents of similar natures;
- Trade license and or documents of similar natures;
- Phyto-sanitary, veterinary, fishery permit or licenses;
- Manifests, Cargo Declarations or documents of similar natures;
- Bill of Lading, Airway Bill or documents of similar natures (Letters of Transport) where applicable; and
- Packing Lists.

## ASEAN CUSTOMS DECLARATION DOCUMENT

### No. DATA ELEMENT

13. Location of goods
14. Identification and nationality of means of transport
15. Identification and nationality of means of transport crossing the border
16. Mode of transport
17. Place of loading and discharge
18. Office of departure
19. Container transport indicator
20. Country and/or region of exportation
21. Country of destination
22. Terms of delivery
23. Payment currency
24. Rate of exchange

## NEXT STEPS

- Deploy the physical infrastructure for the ASW by 2009. Provide the ff:
  - 10 servers
  - Software
  - Applications
  - Security
  - Telecommunications
- Sign the MOU for the deployment of the ASW System
- Continue to further develop NSWs
- **Activate ACDD**

## ASEAN CUSTOMS DECLARATION DOCUMENT

### No. DATA ELEMENT

25. Nature of transaction
26. Total Collection of duty and taxes per declaration
27. Intended Customs Offices at route
28. Customs Office of Destination
29. Transfer during Customs Transit
30. Control Measure/Incidents during Customs Transit
31. Country of origin
32. Authentication
33. Item number
34. Other information covering the liability of goods to specific requirement
35. Previous customs procedures
36. Customs value basis

## TECHNICAL MATTERS WORK PROGRAM 2008-09

- Technical Prototype/Pilot Project
- ASEAN Data Model
- Capacity Building

## ASEAN CUSTOMS DECLARATION DOCUMENT

### No. DATA ELEMENT

37. Added amount
38. Deducted amount
39. Duty/tax treatment applied for
40. Identification of Customs warehouses
41. Container identifier
42. Gross mass
43. AHTN Commodity code
44. Supplementary quantity
45. Deferred payment of duty/tax/fee
46. Quota/Licenses
47. Country of origin code
48. Reference number of Container

## 2009 Activities

- 2 Steering Committee Meetings
- 2-3 Technical Working Group Meetings
- 2-4 Legal Working Group Meetings

## CONCLUSION

- Data Harmonization cannot be implemented in complete isolation.
- There have to be concurrent, parallel and coordinated efforts in the organizational, policy, regulatory, technical, technology and legal fronts.
- Political will continues to be the most critical success factor for the ASW to be fully running in 2009.
- The TWG and LWG will meet in Laos next week and the ASW Steering Committee will meet in Cambodia week thereafter to plot the 2009 implementation.

Thank you.

[Reynaldo.nicolas@customs.gov.ph](mailto:Reynaldo.nicolas@customs.gov.ph)



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**2009/SCCP/SWWG/WKSP3/010**

## **IMO General Declaration - FAL Form**

Submitted by: Canada



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**

APPENDIX 1

**IMO GENERAL DECLARATION**

		<input type="checkbox"/> Arrival	<input type="checkbox"/> Departure
1.1 Name and type of ship 1.2 IMO number 1.3 Call sign		2. Port of arrival/departure	3. Date - time of arrival/departure
4. Flag State of ship	5. Name of master	6. Last port of call/Next port of call	
7. Certificate of registry (Port; date; number)		8. Name and contact details of ship's agent	
9. Gross tonnage	10. Net tonnage		
11. Position of the ship in the port (berth or station)			
12. Brief particulars of voyage (previous and subsequent ports of call; underline where remaining cargo will be discharged)			
13. Brief description of the cargo			
14. Number of crew (incl. master)	15. Number of passengers	16. Remarks	
Attached documents (indicate number of copies)			
17. Cargo Declaration	18. Ship's Stores Declaration	21. The ship's requirements in terms of waste and residue reception facilities	
19. Crew List	20. Passenger List		
22. Crew's Effects Declaration*	23. Maritime Declaration of Health*		

24. Date and signature by master, authorized agent or officer

For official use



**Asia-Pacific  
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**2009/SCCP/SWWG/WKSP3/011**

## **Canada Customs Coding Form**

Submitted by: Canada



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**



1 IMPORTER NAME AND ADDRESS NOM ET ADRESSE DE L'IMPORTATEUR		NO. - N°		2 TRANSACTION NO. N° DE TRANSACTION					
3 TYPE		4 OFFICE NO. N° DE BUREAU	5 GST REGISTRATION NO. N° DE TPS		6 PAYMENT CODE CODE DE PAIEMENT	7 MODE OF TRANS.	8 PORT OF UNLADING PORT DE DEBARQ.	9 TOTAL VFD - TOTAL DE LA VD	
10 SUB HDR NO. N° DE SOUS-EN-TÊTE	11 VENDOR NAME - NOM DU VENDEUR		NO. - N°		12 COUNTRY OF ORIGIN PAYS D'ORIGINE	13 PLACE OF EXPORT LIEU D'EXPORTATION	14 TARIFF TREATMENT TRAITEMENT TARIFAIRE	15 U.S. PORT OF EXIT BUREAU DE SORTIE DES É.-U.	RESERVED FOR CCRA USE RÉSERVÉ À L'USAGE DE L'AGENCE
16 DIRECT SHIPMENT DATE DATE D'EXPÉDITION DIRECTE		M	D/J	17 CRCY. CODE CODE DEVISE	18 TIME LIMIT - DÉLAI	19 FREIGHT - FRET			
20 RELEASE DATE - DATE DE LA MAINLEVÉE									

21 LINE LIGNE	22 DESCRIPTION DÉSIGNATION	23 WEIGHT IN KILOGRAMS POIDS EN KILOGRAMMES	24 PREVIOUS TRANSACTION - TRANSACTION ANTERIEURE NUMBER NUMÉRO	25 LINE LIGNE	26 SPECIAL AUTHORITY AUTORISATION SPÉCIALE					
27 CLASSIFICATION NO. N° DE CLASSEMENT	28 TARIFF CODE TARIFAIRE	29 QUANTITY QUANTITÉ	30 U-M	31 VFD CODE CODE VD	32 SIMA CODE CODE DE LMSI	33 RATE OF CUSTOMS DUTY TAUX DE DROIT DE DOUANE	34 E.T. RATE TAUX T.A.	35 RATE OF GST TAUX DE TPS	36 VALUE FOR CURRENCY CONVERSION CONVERSION VALEUR POUR CHANGE	
37 VALUE FOR DUTY VALEUR EN DOUANE		38 CUSTOMS DUTIES DROITS DE DOUANE		39 SIMA ASSESSMENT COTISATION DE LMSI		40 EXCISE TAX TAUX D'ACCISE		41 VALUE FOR TAX VALEUR POUR TAXE		42 GST TPS

DECLARATION - DÉCLARATION		43 DEPOSIT - DÉPÔT		47 CUSTOMS DUTIES DROITS DE DOUANE	
I JE _____ PLEASE PRINT NAME - LETTRES MOULÉES S.V.P.		44 WAREHOUSE NO. - N° D'ENTREPÔT		48 SIMA ASSESSMENT COTISATION DE LMSI	
OF DE _____ IMPORTER / AGENT - IMPORTATEUR / AGENT		45 CARGO CONTROL NO. - N° DE CONTRÔLE DU FRET		49 EXCISE TAX TAUX D'ACCISE	
DECLARE THE PARTICULARS OF THIS DOCUMENT TO BE TRUE, ACCURATE, AND COMPLETE. DÉCLARE QUE LES RENSEIGNEMENTS CI-DESSUS SONT VRAIS ET COMPLETS.		46 CARRIER CODE AT IMPORTATION CODE DE TRANSPORTEUR À L'IMPORTATION		50 GST TPS	
DATE _____ SIGNATURE _____				51 TOTAL	

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21 LINE LIGNE	22 DESCRIPTION DÉSIGNATION	23 WEIGHT IN KILOGRAMS POIDS EN KILOGRAMMES	24 PREVIOUS TRANSACTION - TRANSACTION ANTÉRIEURE NUMBER NUMÉRO	25 LINE LIGNE	26 SPECIAL AUTHORITY AUTORISATION SPÉCIALE				
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2009/SCCP/SWWG/WKSP3/013

## **Chinese Taipei Single Window Design Current and Future**

Submitted by: Chinese Taipei



**Single Window Working Group Capacity  
Building Workshop 3  
Singapore  
1-4 April 2009**

Diagram 1 : Current Customs Clearance/Maritime Transport/Trade Facilitation Licensing Network Architecture

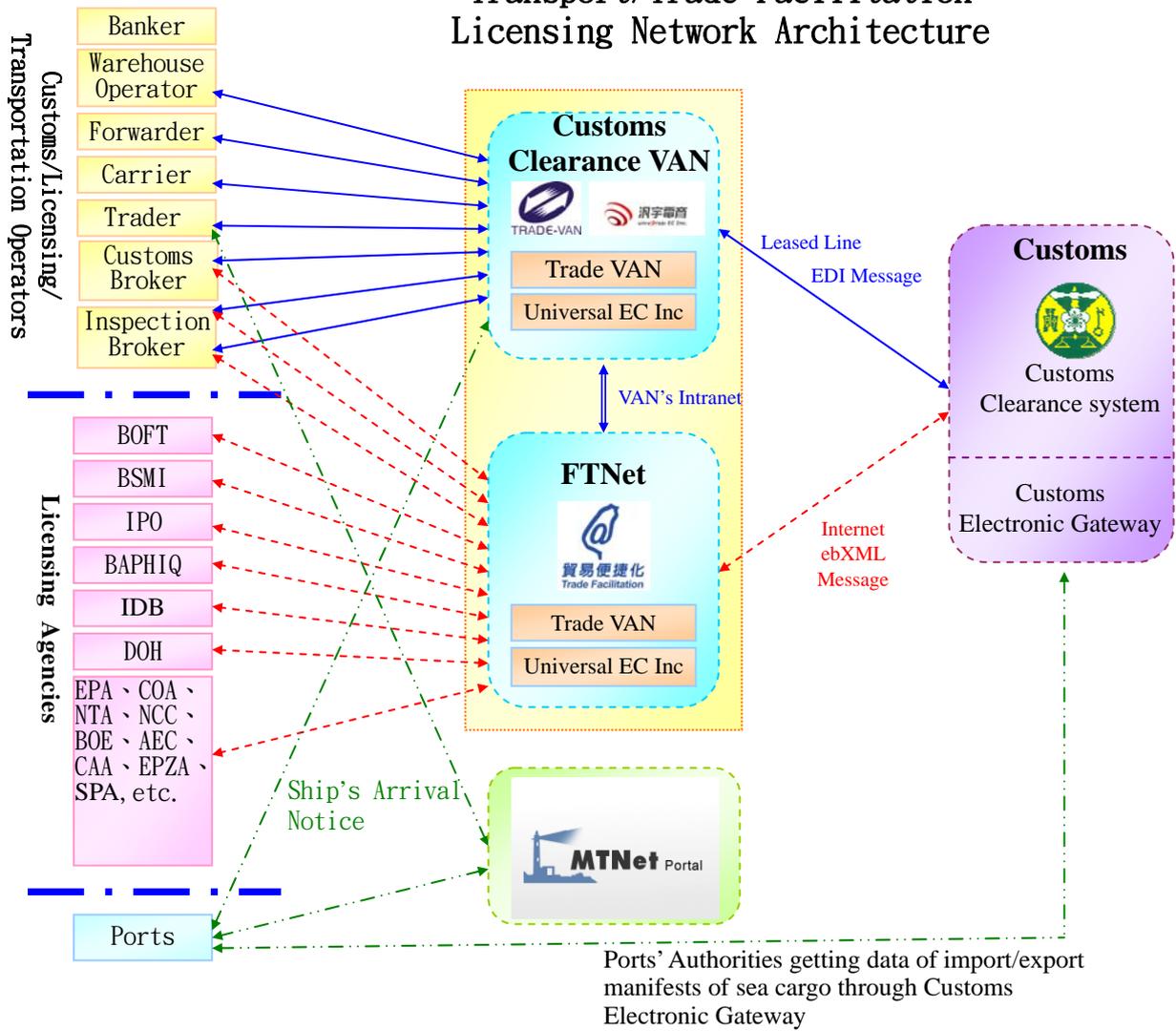
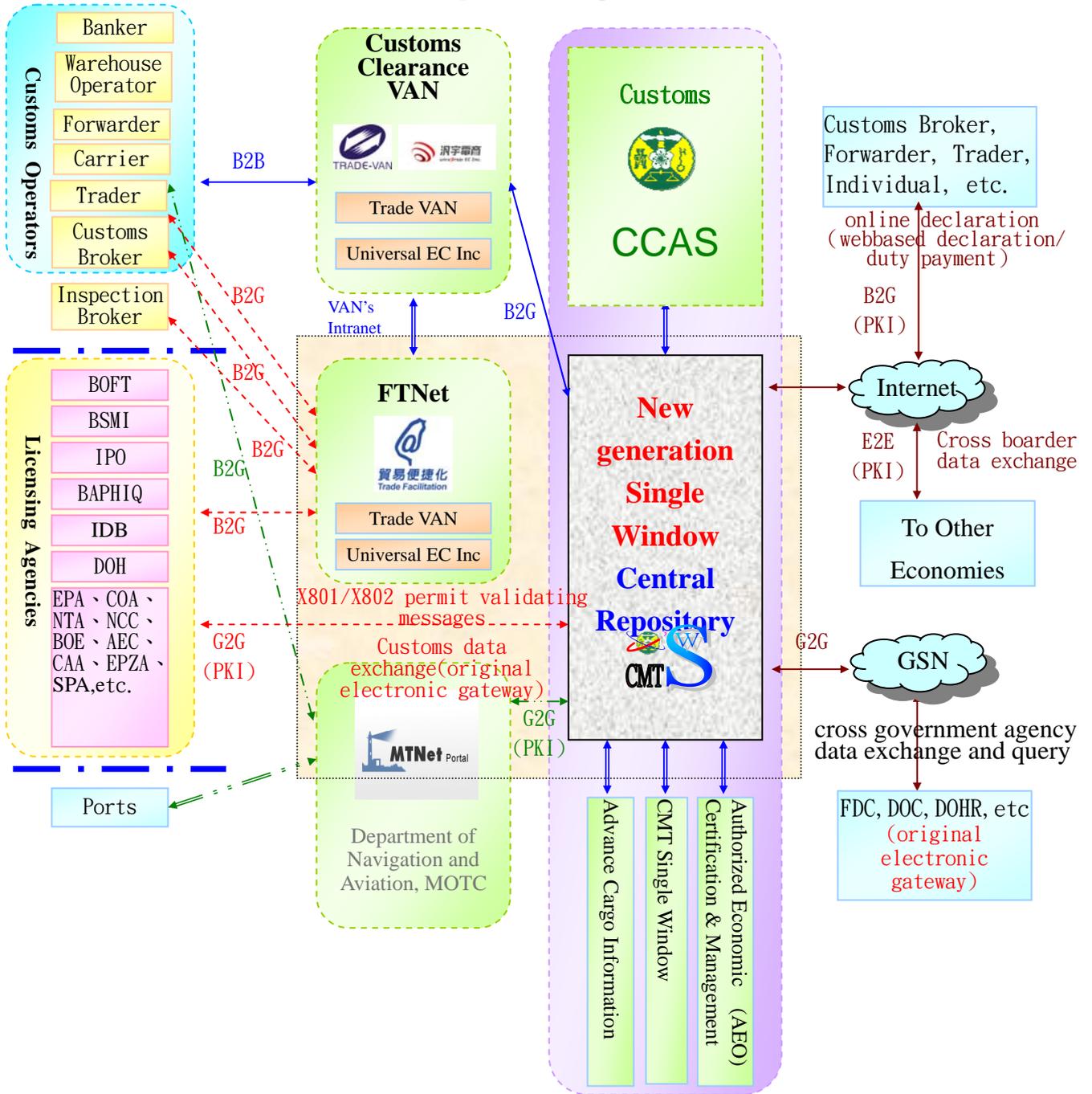


Diagram 2 : New Generation Single Window Conceptual Diagram



**Abbreviation of licensing agencies**

National Communications Commission (NCC)

Council of Agriculture (COA)

National Treasury Agency (NTA)

Atomic Energy Council (AEC)

Industrial Development Bureau (IDB)

Bureau of Energy (BOE)

Intellectual Property Office (IPO)

Bureau of Foreign Trade (BOFT)

Bureau of Standards, Metrology and Inspection (BSMI)

Bureau of Animal and Plant Health Inspection and Quarantine (BAPHIQ)

Export Processing Zone Administration (EPZA)

Science Park Administrative (SPA)

Environment Protection Administration (EPA)

Civil Aeronautic Administration (CAA)

Department of Health (DOH)

Financial Data Center (FDC)

Department of Commercial (DOC)

Department of Household Registration (DOHR)



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**2009/SCCP/SWWG/WKSP4/001**

## **Agenda**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

Workshop 4 Agenda  
APEC Sub Committee on Customs Procedures (SCCP) Single Window Working  
Group (SWWG) Phase 2

**Day 1 Monday 6 April 2009 – Grand Park City Hall Hotel, Singapore**



Time	Topic	Presenter
8.30 – 9.00	Registration	
9.00 – 9.10	Welcome & Official Opening	Mr LEE Tiow Yong Assistant Director General Policy and Planning Singapore Customs
9.10 – 09.30	<i>APEC Single Window Working Group overview</i>	Ms Julie Olarenshaw Chair APEC SCCP SWWG
9.30 – 9.45	Group Photograph	
09.45 – 10.10	<b>Morning Tea Break</b>	
10.10 – 10.40	<i>Evolution of Singapore's Single Window</i>	Mr Desmond CHIA Singapore Customs
10.40 – 11.20	<i>Customs in the 21<sup>st</sup> Century, Coordinated Border Management, Single Window, Capacity Building, Globally Networked Customs</i>	Mr Gareth Lewis Technical Officer World Customs Organization
11.20 – 12.00	<i>Private Sector Experience US Customs ACE System</i>	Mr Donald Huber Global Customs Manager General Electric Company
12.00 – 12.30	<i>Japan Single Window</i>	Mr Kozo Tanaka Japan Customs
12.30 – 1.40	<b>Lunch Break</b>	<b>Sponsored by: NCS Pte Ltd</b>
<b>1.40 – 2.00</b>	<b>Questions and Answers</b>	<b>All Previous Session Presenters</b>
2.00 – 2.30	<i>Automated Commercial Environment (ACE)/ International Trade Data System (ITDS)</i>	Mr Jeff Nii US Customs and Border Protection Attaché, Singapore
2.30 – 3.00	<i>Introduction of China E-Port China E-Port Data Centre</i>	Ms LI Chengli Director China E-Port Centre China Customs
3.00 – 3.20	<b>Afternoon Tea Break</b>	
3.20 – 3.50	<i>The Implementation of National Single Window and ASEAN Single Window in Viet Nam</i>	Mr Hoang Huy Hoang It Expert – IT Division General Department of Vietnam Customs
3.50 – 4.30	<i>UN/CEFACT Standards &amp; Recommendations</i>	Mr Mike Doran Chairman UN/CEFACT Forum Management Group
4.30 – 4.50	<b>Questions and Answers</b>	<b>All Previous Session Presenters</b>
4.50 – 5.00	Closing remarks	Ms Julie Olarenshaw Chair APEC SCCP SWWG

Workshop 4 Agenda  
APEC Sub Committee on Customs Procedures (SCCP) Single Window Working  
Group (SWWG) Phase 2

**Day 2 Tuesday 7 April 2009 – Grand Park City Hall Hotel, Singapore**

Time	Topic	Presenter
9.00 – 9.10	Opening remarks	Ms Julie Olarenshaw Chair APEC SCCP SWWG
9.10 – 9.40	<i>Update: Thailand National Single Window</i>	Mr Sinmahat Kiatjanon The Royal Thai Customs
9.40 – 10.10	<i>ASEAN Single Window</i>	Mr Reynaldo Nicolas Philippine Customs
10.10 – 10.40	<b>Morning Tea Break</b>	
10.40 – 11.10	<i>Indonesia National Single Window INSW Preparation Team</i>	Mr Sofyan Helmi Indonesia Customs
11.10 – 12.00	<i>Single Window Legalities: Creating the Legal Infrastructure for Cross-Border Interoperability</i>	Professor William J. Luddy, Jr., MS, JD
12.00 – 12.30	<b>Questions and Answers</b>	<b>All Previous Session Presenters</b>
12.30 – 1.40	<b>Lunch Break</b>	<b>Sponsored by: CrimsonLogic Pte Ltd</b>
1.40 – 2.00	SWWG Final Report Rec 3	Ms Maria del Rosario Huaman Peru Customs
2.00 – 2.20	SWWG Final Report Rec 4	Ms Yoon Joo Hwang Korea Customs
2.20 – 2.40	SWWG Final Report Rec 5	Mr Chen Mu-Jung Chinese Taipei Customs
2.40 – 3.00	SWWG Final Report Rec 6	Mr Andrew Carter Australian Customs and Border Protection Service
3.00 – 3.30	<b>Afternoon Tea Break</b>	
3.30 – 3.40	Outline interactive session	Ms Julie Olarenshaw Chair APEC SCCP SWWG
3.40 – 5.00	Group review of: <ul style="list-style-type: none"> <li>• Draft final report</li> <li>• Rec 6 Implementation Guide <ul style="list-style-type: none"> <li>○ Framework</li> <li>○ Roadmap</li> </ul> </li> </ul>	Group 1 – Facilitated by Singapore  Group 2 – Facilitated by US  Group 3 – Facilitated by Japan  Group 4 – Facilitated by Thailand
5.00 – 5.10	Closing remarks	Ms Julie Olarenshaw Chair APEC SCCP SWWG



**Workshop 4 Agenda**  
**APEC Sub Committee on Customs Procedures (SCCP) Single Window Working Group (SWWG) Phase 2**



**Day 3 Wednesday 8 April – Grand Park City Hall Hotel, Singapore**

Time	Topic	Presenter
9.00 – 9.10	Opening remarks	Ms Julie Olarenshaw Chair APEC SCCP SWWG
9.10 – 10.00	Group review of: <ul style="list-style-type: none"> <li>• Draft final report</li> <li>• Rec 6 Implementation Guide continued...</li> </ul>	Group 1 – Facilitated by Singapore Group 2 – Facilitated by US Group 3 – Facilitated by Japan Group 4 – Facilitated by Thailand
10.00 – 10.30	<b>Morning Tea Break</b>	
10.30 – 11.20	Group discussion: <ul style="list-style-type: none"> <li>• Future of SWWG</li> </ul>	Groups 1, 2, 3 and 4 as above
11.20 – 11.40	Group 1 feedback report	Singapore Customs
11.40 – 12.00	Group 2 feedback report	US Customs
12.00 – 12.20	Group 3 feedback report	Japan Customs
12.20 – 12.40	Group 4 feedback report	Thailand Customs
12.40 – 1.00	Closing remarks	Ms Julie Olarenshaw Chair APEC SCCP SWWG
1.00	<b>Workshop Closed</b>	

**APEC SCCP Single Window Working Group Phase 2 Members:**

Australia (Chair); Canada; China; Japan; Korea; New Zealand; Peru; Philippines; Singapore; Chinese Taipei; Thailand; United States and Viet Nam.

Supported by subject matter expert participants from the APEC Electronic Commerce Steering Group (ECSG), Association of Southeast Asian Nations (ASEAN) Secretariat, United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) and World Customs Organization (WCO).

APEC Sub-Committee on Customs Procedures (SCCP) Vision for Single Window:

To develop Single Window systems that facilitate legitimate trade and enhance supply chain security in two stages:

**Stage 1** - within APEC economies

**Stage 2** - establishing links that enable seamless data sharing between Single Window systems through the identification and use of recognised international instruments and standards.

Working together, it is envisaged that international interoperability can be achieved within the APEC region.

Contact for further information [APECSWWG@customs.gov.au](mailto:APECSWWG@customs.gov.au)



**Asia-Pacific  
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**2009/SCCP/SWWG/WKSP4/002**

## **Participant List**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

## PARTICIPANT LIST

### SWWG CHAIR

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
1.	Ms	Julie OLARENSHAW	Director, APEC SCCP SWWG, Strategic Development (Cargo)	Australian Customs and Border Protection Service	61 2 6275 6476	61 2 6274 4994	julie.olarensaw@customs.gov.au	F

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S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
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3.	Mr	Dean Church	Director, Strategy Bilateral & Posts, International Branch	Australian Customs and Border Protection Service	+61 2 6275 6809	61 2 6275 6819	Dean.church@customs.gov.au	M

### Economy: Chile

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
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			Department					
5.	Mrs	Maria Isabel GRANDON YANEZ	Coordinator of Sub-department of Project Technologies	Chilean Customs	56-032-2200821	56-032-2258509	mgrandon@aduana.cl	F

**Economy: People's Republic of China**

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
6.	Ms	XU Lu	Program Manger	General Administration of Customs	8610 65195477	8610 65194901	xulu@customs.gov.cn	F
7.	Ms	LI Chengli	Director	China E-Port Data Center	8610 85193690	8610 85193718	lichengli@chinaport.gov.cn	F

**Economy: Hong Kong, China**

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8.	Mr	Cho Mong HO	Analyst/ Programmer	Customs and Excise Department	(852) 2231 4381	(852) 2598 4994	jovi_cm_ho@customs.gov.hk	M
9.	Mr	Yuk Ping YAU	Assistant Staff Officer	Customs & Excise Department	(852) 2231 4338	(852) 2854 1145	yp_yau@customs.gov.hk	M

**Economy: Indonesia**

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
10.	Mr	Sofyan HELMI	Head Regional II Section	Directorate General Customs and Excise	62 21 4890308	62 21 4891335	helmi2006@yahoo.com	M
11.	Mrs	Barus MARIA	Customs Officer	Directorate General Customs and Excise	62 21 4890308 Ext. 720	62 21 4891845	barusmaria@yahoo.com	F
12.	Mr	Hendra PRASMONO	Finance/Customs Attaché	Indonesia Embassy of Singapore	62358516 +65 9817 9690	67340185	bckbris@singnet.com.sg	M

**Economy: Japan**

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
13.	Mr	Naoki IDA	Deputy Director	Office of Regional Customs Cooperation, Customs and Tariff Bureau, Ministry of Finance	+81 - 3 - 3581-3825	+81 - 3 5251-2123	apec@mof.go.jp	M
14.	Mr	Kozo TANAKA	Section Chief	Information Management Office, Customs and Tariff Bureau, Ministry of Finance	+81 - 3 – 3581-4111	+81 - 3 – 5251-2252	kozo.tanaka@mof.go.jp	M

**Economy: Korea**

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**Economy: Malaysia**

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17.	Ms	Zaidah MOHD NOOR	Senior Assistant Director of Customs	Royal Malaysia Customs	+603-8882 2572	+603-8882 2597	zaidah@customs.gov.my / syahya02@yahoo.com	F

**Economy: Mexico**

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18.	Mr	Marcos GARCIA	Subdirector	General Customs Administration	52+555802 1277		marcos.garcia@sat.gob.mx	M
19.	Mr	Alberto MARTINEZ		SAT-AGA	52+555802 1277		alberto.martinez@sat.gob.mx	M

**Economy: Peru**

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
20.	Ms	Gloria RAMIREZ	Senior Trade Official	Ministry of Foreign Trade and Tourism	(511) 513 6100 Ext. 8002	(511) 513 6100	gramirez@mincetur.gob.pe	F
21.	Ms	María del Rosario HUAMAN	Project Technical Leader	Tax and Customs Administration	(511) 219 0430 EXT. 20387		mhuamanc@sunat.gob.pe	F

**Economy: The Philippines**

S/N	Title	Name	Position	Organization	Tel	Fax	Email	Gender
22.	Mrs	Priscila BAUZON	Deputy Collector	Bureau of Customs	632 4042629	632 4042629	att_pdvb@yahoo.com	F

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28.	Mr	TAN Choo Kwan	Deputy Head Procedures and Processing	Singapore Customs	(65) 63552067	(65) 62509605	tan_choo_kwan@customs.gov.sg	M
29.	Ms	Maya Suryani KASSIM	Trade Officer	Singapore Customs	(65) 63552178	(65) 62509605	maya_suryani_kassim@customs.gov.sg	F
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32.	Mr	LEE Sau Foong	International Relations Officer	Singapore Customs	(65) 63552647	(65) 62508663	lee_sau_foong@customs.gov.sg	M
33.	Ms	Elaine YEO	International Relations Officer	Singapore Customs	(65) 63552648	(65) 62508663	elaine_yeo@customs.gov.sg	F

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**UN/CITRAL**

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63.	Mr	Gabriel ROSALES	CEO	Servicios de negocios electrónicos	52 55 21 67 23 00		grosales@b2bservicios.com	M
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65.	Mrs	Laarni ESTEBAN	Senior Engineer	FedEx	65-63905524	65-63905504	lvesteban@fedex.com	F



**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/003**

## **Overview Workshop 4**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**



*Sub-Committee on Customs Procedures  
Single Window Working Group*

*Workshop 4 Singapore – 6 to 8 April 2009*

## Single Window Vision

To develop Single Window systems that facilitate legitimate trade and enhance supply chain security in two stages:

**Stage 1** - within APEC economies

**Stage 2** - establishing links that enable seamless data sharing between Single Window systems through the identification and use of recognised international instruments and standards.

Working together, it is envisaged that international interoperability can be achieved within the APEC region.

## Presentation Overview

- Phase 1 - 2007
  - Members
  - Strategic Plan and Development Report
  - Vision for Single Window in APEC
  - Six Recommendations
- Phase 2 - 2008 and 2009
  - New Working Group & Tiered Engagement
  - Single Window Definition
  - Concept Papers Developed
- Progress to Date
- Workshop 4 Purpose
  - Future of the SWWG - Phase 3 ?

## SCCP Recommendations

**Recommendation 1:** The SCCP establish a working group to further single window activities across APEC. The working group will engage private and public sectors, other relevant APEC sub-fora and relevant international bodies

**Recommendation 2:** The UN/CEFACT definition of single window (UN/CEFACT Recommendation 33) be adopted by APEC economies

**Recommendation 3:** The APEC economies adopt the use of internationally recognised instruments and standards in single window design to increase international interoperability

**Recommendation 4:** The SCCP establish a repository to capture information regarding relevant Single Window related initiatives in international trade facilitation and supply chain security

**Recommendation 5:** The SCCP identify and coordinate relevant capacity building Single Window activities

**Recommendation 6:** The SCCP prepare a roadmap and implementation plan to achieve the Single Window vision

## Phase 1 - 2007

10 Member Economies

- Australia, Canada, China, Japan, Korea, New Zealand, the Philippines, Singapore, United States and Viet Nam

Supported by Experts from

- World Customs Organization (WCO), Association of South East Asian Nations (ASEAN) Secretariat, United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) and APEC Electronic Commerce Steering Group (ECSG)

## Phase 2 – 2008/2009

13 Member Economies

- Australia, Canada, China, Japan, Korea, New Zealand, **Peru**, Philippines, Singapore, **Chinese Taipei**, **Thailand**, United States and Viet Nam

Supported by Experts from

- WCO, ASEAN Secretariat, UN/CEFACT and APEC ECSG

## Phase 1 Delivered

A Strategic Plan to articulate the vision for single window developments in APEC and recommendations for next steps

A comprehensive snapshot of the border regulatory environment in all 21 APEC economies, their current activities and future plans for the design, development or enhancement of single window systems within the APEC region

## Recommendation 1 Completed

- Single Window Working Group Phase 2 Formed
- Tiered Engagement Strategy
  - Tier 1 Members and Experts
  - Tier 2 Public and Private Sector Stakeholders
  - Tier 3 Everyone's Responsibility to Distribute SWWG Phase 2 Deliverables
- Terms of Reference, Work Plan and Timeline Developed and Endorsed by SCCP
- Mandate for SWWG Phase 2 Concludes in July 2009

## Recommendation 2 Completed

Recommendation 2: The UN/CEFACT definition of single window (UN/CEFACT Recommendation 33) be adopted by APEC economies

UN/CEFACT Recommendation 33 definition of Single Window

*A facility that allows parties involved in trade and transport to lodge standardised information and documents with a single entry point to fulfil all import, export and transit-related regulatory requirements. If information is electronic, then individual data elements should only be submitted once.*

## Recommendation 5 Progress

Question 36 of the SCCC Single Window Development Report identified capacity building assistance requested by APEC economies

To deliver this capacity building assistance a **Capacity Building Workshop Series** was designed

The workshop series seeks to match capacity building needs with **subject-matter expertise** within an interactive environment.

- ✓ Workshop 1 Chinese Taipei 27 Oct – 1 Nov 2008
- ✓ Workshop 2 Australia 2 – 7 February 2009
- ✓ Workshop 3 Singapore 1 – 4 April 2009

## Phase 2 Concept Papers



## Recommendation 6 Progress

A guide to assist APEC economies in the design, build and implementation of a single window

Building upon the work of UN/CEFACT Recommendation 33

A list of components, not definitive in nature, that can be adapted to the needs of economies at different stages of development and/or system enhancement

- ✓ **Implementation Guide Drafted including:**
  - Framework aligned to the Single Window vision
  - Roadmap supporting Single Window development

## Recommendation 3 Progress

Peru as SWWG lead on the issue of international standards and instruments has undertaken the following:

- Peru's Standards and Instruments Questionnaire 2008
- Workshop on "Experience exchange in the adoption of international instruments and standards in Single Window initiatives."

Arequipa, Peru, 20-22 May 2008

✓ **Final Report Delivered**

## Workshop 4 Purpose

To

- Share information and experience
- Actively engage the 21 APEC economies and Tier 2 Stakeholders
- Contribute to the development of the consolidated SWWG Phase 2 final product which will encompass the deliverables from all six recommendations
- To commence the discussions about the future of the SWWG

The outcomes of this workshop will shape the final deliverable and the future of the working group

## Recommendation 4 Progress

The repository will contain examples of:

- Proofs of Concept
  - Pilot Projects
  - Trials
- Information source for Single Window and supply chain security initiatives being undertaken in APEC economies
- Experience sharing, lessons learnt and established 'best practice'

- ✓ **Host Sites Identified**
- ✓ **Nine collection templates sent to APEC economies**

**Thank You**

APECSWWG@customs.gov.au



**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/005**

## **Evolution of Singapore's Single Window**

Submitted by: Singapore



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

## Evolution of Singapore's Single Window



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## Manual Submission



## Presentation Outline

- Definition of Single Window
- 1<sup>st</sup> Generation Single Window
- Growth and Evolve
- Current TradeNet® 4.0
- Continuous Upgrades

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## Manual Process

- Manual preparation of multiple sets of the same trade declaration
- Manual approval by multiple agencies
- Payment of duties by cash / cheque
- Compile trade statistics manually
- Voluminous paperwork
- Labour and Time intensive
- Accuracy??

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## Our Concept of a Single Window

A facility that requires only a single submission of trade information to multiple agencies serving the below functions:

1. Collect trade statistics
2. Collect taxes / duties
3. Enforce controls laid down by domestic policies and international agreements

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## 1<sup>st</sup> Generation "Single Window"

- Small electronic window system
- Selected traders only
- Standard form for data entry
- Dialed up to submit form to authority
- One-way submission
- Approval issued separately
- Statistics compiled based on submitted forms

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## Is this a familiar sight?



## 2<sup>nd</sup> Generation Single Window

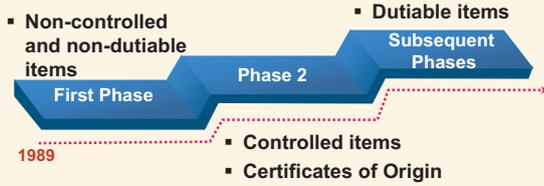
### TradeNet®

Nation - wide Electronic trade documentation system to facilitate trading community in exchanging of structured trade documents and information electronically

- ✓ Single Form
- ✓ Single Submission
- ✓ Single Interface
- ✓ Single Process

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## Implementation of TradeNet®



## Competent Authorities (CA)



## 2<sup>nd</sup> Generation Single Window

- Transactional
- Receive submitted information, process and provide approval/rejection
- Auto statistics compilation
- Collection of Customs & Excise duties on dutiable goods
- Collection of GST on all imported goods from 1 Apr 1994

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## The Single Window for today

Current TradeNet adopted the **Public-Private Partnership (PPP)** framework

Public-Private Partnership (PPP) is:

- A new approach to increase private sector involvement in the delivery of public services
- Outcome based
- Bring together expertise and resources of both sectors and risk sharing.
- More effective, efficient and best value for money services with lower costs

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## Revenue Collection

	1992	1993	1994	1995
Customs Revenue*	\$1,561m	\$1,708m	\$1,591m	\$1,622m
GST	-	-	\$998m	\$1,416m
Total Revenue	\$1,561m	\$1,708m	\$2,589m	\$3,038m
No of permits processed by TradeNet	295,050	297,839	3,660,033	4,477,481

\* Includes Licence Fees, Warehouse Rents, Composition Fines

Data Source: Customs Annual Report

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## The Single Window for today

- Web-based with centralised system for permits and permit related transactions including updates such as amendments, cancellations and refunds
- A new and more user friendly permit structure based on movement of cargoes
- Promote self-help modules, e.g. e-learning, self printing of reports
- Introduction of Unique Entity Number (UEN) to an entity that is registered in Singapore for transacting businesses with all government agencies.

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## Enforcing Domestic Controls

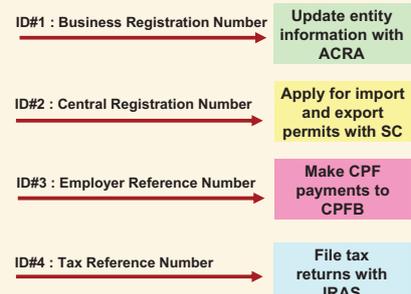
- Facilitating and monitoring the movement of controlled goods in, out and on transit
- Regulatory requirements of Competent Authorities
- International obligations e.g. Strategic Goods Control

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## The Single Window for today

### Before UEN

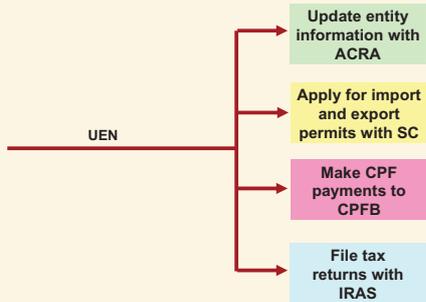


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## The Single Window for today

### After UEN



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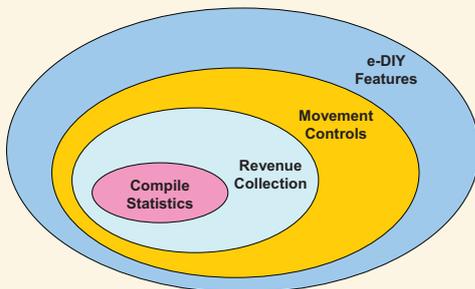
## Current Performance

- More than **8,000** users from **2,600** subscribers
- About **30,000** declarations per day
- 100%** of the collections are made electronically through Inter-Bank deductions
- 90%** of permits processed within 10 minutes

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## Evolution of Single Window

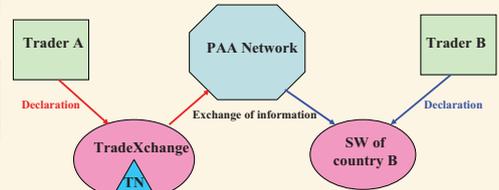


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## 3rd Generation?

- Delivery of mobile services, e.g. text messages on approval of application
- Moving beyond B-to-G to facilitate business exchange



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## Success Factors

- ✓ Clear mandate from Government
- ✓ Driven by appointed lead agency
- ✓ Dedicated Committees and working groups with various agencies
- ✓ Participation of private sector
- ✓ Pilots and tests
- ✓ Education

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# Thank you

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## Challenges

- ❖ Different degree of computerization
- ❖ Changes in business operations for private and public sectors
- ❖ Educating users

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**Asia-Pacific  
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**2009/SCCP/SWWG/WKSP4/006**

## **Customs in the 21st Century**

Submitted by: WCO

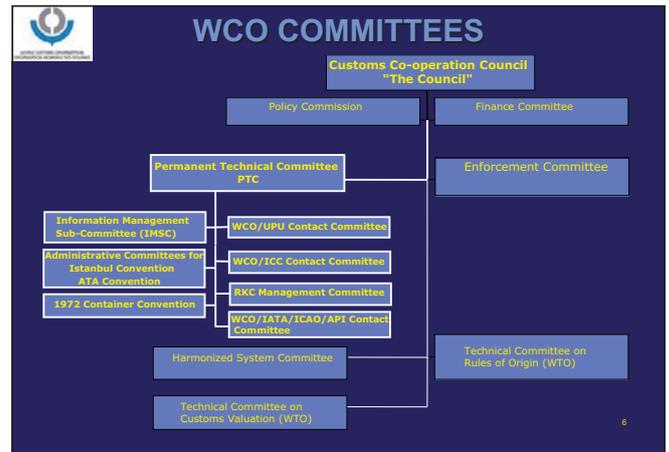


**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

## Customs in the 21<sup>st</sup> Century

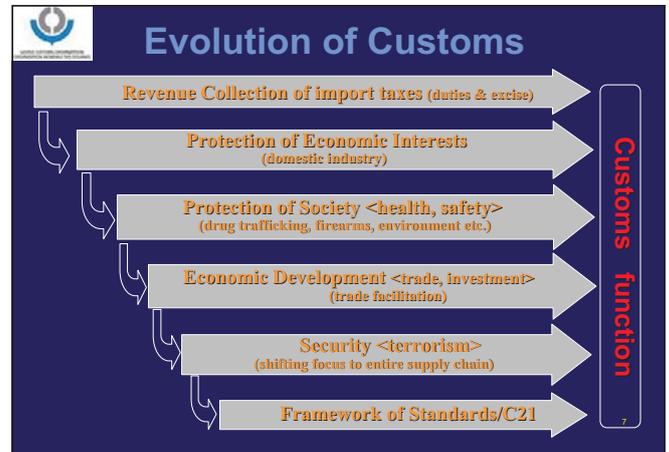
- Coordinated Border Management
  - Single Window
  - Capacity Building
- Globally Networked Customs

APEC SWWG April 2009  
Gareth Lewis  
World Customs Organization (WCO)



## Mission Statement

- Enhance the effectiveness and efficiency of Customs administrations by;
  - Developing and maintaining standards for simple, standardised and harmonised Customs systems and procedures;
  - Assisting in capacity building programmes;
  - Providing training and technical assistance.



## WCO Key Instruments

- Revised Kyoto Convention
- 'SAFE' Framework of standards
- WCO Customs Data Model &
- UCR
- Istanbul/ ATA Convention
- Time Release Study
- Harmonised System
- Integrated Supply Chain Management Guidelines

## SAFE Framework Principles

- Standards to Secure and Facilitate Global Trade
- Pillar 1, Customs-to-Customs networking
- Pillar 2, Customs-to-Business partnership (AEO)
- (Proposed) Pillar 3, Customs-to-OGA partnership
  - Relationship to single window
- Columbus Program (+ diagnostic studies)
  - Implications of 100% scanning in the US
- Seal Integrity Program
- Integrated Supply Chain Management Guidelines
  - Advance cargo information
  - Legally enabling environment
  - Use of UCR

April 2009

## C21: A New Strategic Direction

- Approved as the future Customs roadmap
- From vision, aspiration to implementation
- 10 building blocks for C21
- Priority BBs: Globally Networked Customs and Coordinated Border Management
- Future role of WCO: Standard setting; capacity building; monitor implementation; funding; research

## C21 – 10 Building Blocks

- BB5 – Implementation of modern working methods, procedures and techniques
- BB6 – Enabling technologies and tools
- BB7 – Enabling (legal) powers
- BB8 – Professional, knowledge-based service culture
- BB9 – Capacity Building (More later)
- BB10 – Integrity

## Customs in the 21<sup>st</sup> Century

- **Globally Networked Customs**
  - 1<sup>st</sup> building block of C21
  - provides the basis of the e-customs strategy
  - RKC Chapters 3, 6
  - SAFE Framework (1<sup>st</sup> Pillar)
  - Data/message standards, UCR
  - Focus on exports
  - Mutual Recognition/MAA (includes AEO)
  - Strongly related to JCC concept

## WCO priorities – Capacity Building

- Implementation of WCO standards
- Collaboration with donors & other stakeholders
- Regional approach
- Areas of capacity building
  - Trade security & facilitation
  - Revenue enhancement
  - Counterfeiting & piracy
  - Management issues, including integrity

## Customs in the 21<sup>st</sup> Century

- **Coordinated Border Management**
  - 2<sup>nd</sup> building block of C21
  - based on collaboration/cooperation
  - RKC Chapter 3, 7 + risk management
  - SAFE (security of supply chain)
  - Data/message standards, UCR
  - Mutual Recognition (includes AEO concept)
  - International Trade Single Window

## WCO Priorities – Research

- Understand & manage the challenges
  - Expanded role
  - Coordination with other ministries
- Emerging issues
  - Environment protection – international customs day
  - Regional trade agreements etc.
- Customs in the 21<sup>st</sup> Century
- Research unit within the Secretariat

## C21 – 10 Building Blocks

- BB3 – Intelligence-driven Risk Management
  - Scarce resources need to be targeted at the higher end of continuum
  - Involves risk management at the operational and management levels
- BB4 – Customs-Business Partnership
  - Understand each other & produce mutually beneficial outcomes
  - Agreements between customs and trusted economic operators (AEO)

## Columbus: 21<sup>st</sup> Century WCO Capacity Building

- Support worldwide adoption and implementation of the WCO SAFE Framework of Standards to Secure and Facilitate Global Trade
- Promote the WCO International Standards, as the Revised Kyoto Convention
- Support implementation of Trade Facilitation initiatives under negotiation at World Trade Organization
- Building sustainable Capacity in Customs Administrations
- Co-operating with international Capacity Building partners

**Revised Kyoto Convention**  
(A Blueprint for Modern Customs Administration)

Revised Kyoto Convention  
京都規約  
Let's talk ...  
Your questions answered

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**Single Window to Government**

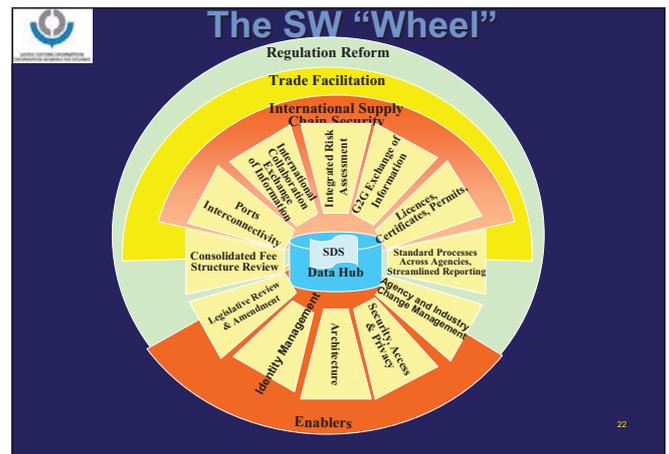
- The Single Window environment is a complex technical issue, but it cannot work without the political, administrative, policy and legal issues being examined first.
- Be sure to get the policy, legal and administrative frameworks analysed and sorted before looking at technical options.

21

**THE REVISED CONVENTION**  
CHAPTERS OF THE GENERAL ANNEX

- 1 - General principles
- 2 - Definitions
- 3 - Clearance and other Customs formalities
- 4 - Duties and taxes
- 5 - Security
- 6 - Customs control
- 7 - Application of information technology
- 8 - Relationship between the Customs and third parties
- 9 - Information, decisions and rulings supplied by the Customs
- 10 - Appeals in Customs matters

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**WCO Customs Data Model**  
**WCO Data Model**  
(Version 3.0 and Single Window)

Introduction, data sets and modelling

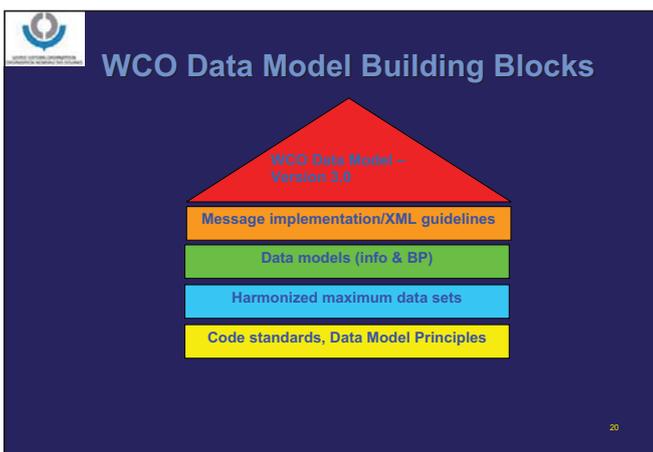
19

**Gareth Lewis**  
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**2009/SCCP/SWWG/WKSP4/007**

## **US Customs ACE System**

Submitted by: General Electric



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

# U S Customs ACE System

Don Huber, General Electric Co

April, 2009

APEC SWWG

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A US Importer has access to almost all their import and compliance data!

- Current data comes from ACS system – transfer of data is 99%+ and getting better
- Future releases will increase reliability
- Revenue report data is very reliable -- Periodic monthly statement data is accurate and timely

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## General Electric Company

Number of Imports	225,000
Value of Imports	\$25 Billion
Duty and Fees Paid	\$170 Million
Number of HTS/Data Lines	750,000
Number of Importing Entities	300
Number of Brokers	70
Number of GE people using ACE	125

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## How often is Data Refreshed?

- Entry and Entry Summary Data are refreshed nightly. Entries filed on Monday should be available for reports run on Tuesday. For carriers, transaction data in reports is refreshed nightly as well.
- Compliance data is refreshed monthly, normally around the 20th of the month. February compliance data should be available around March 20th.
- Periodic monthly statement data is refreshed hourly.

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## What is ACE?

- The Automated Commercial Environment is the commercial trade processing system being developed by U.S. Customs and Border Protection to facilitate trade while strengthening border security.
- Replaces current import system (ACS)

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## Types of Reports

<b>Aggregate Reports</b> Entry Summary Entry Summary Compliance Cargo Entry Cargo Exam	<b>Automated Data Extract</b> All entry data in 7501 Compliance data
<b>Detail reports</b> Entry Summary Entry Summary Compliance Cargo Entry Cargo Exam	<b>Modify Reports</b> Put Additional Data in Standard Reports
<b>Quick Views</b> Filer Quick Views Importer Quick Views	<b>Create Reports</b> Design Own Reports <i>All the values and Importer Numbers shown in this presentation are fictitious</i>
<b>Revenue Reports</b>	

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## BDF!!..X ibut Bwojbcnf

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 1/2SfqpsutU Dpn qmbof boe !fousz kbub  
 1/2Cpoet  
 1/2SfwfovQbzbcnf Iubufn fout U QNTBdujvz  
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 1/2D fx t

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## Import Data Available in Reports

- Filer Name & Code
- Importer Number
- Importer Name
- Entry Number
- Line Number
- Manufacturer Code & Name
- HTS Number
- HTS Description
- Country of Origin & COO Code
- Country of Export and COE Code
- Entered value Amount
- Estimated Duty Amount
- Estimated and Paid ADD, CVD & Taxes
- Estimated Fees
- Unit of Measure Type & Quantity
- Entry Type and Description
- Consignee Name and Number
- NAFTA & Other Recon Indicator
- Primary and Secondary SPI
- Visa Number & Visa Code
- ADD/CVD Status & Code
- Firms Code
- Textile Export Data
- Number of Discrepancies
- Entry Date
- Create Date
- Export Date
- Release Date
- Liquidation Date
- Special Program Discrepancy
- Special Program Discrepancy
- Carrier Code & Name
- Mode of Transportation
- District Port Code & Name
- ADD/CVD Case Number

On the Customs Website, there is a spreadsheet listing all the items that are standard on each report and what criteria you can add to each report

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# How Do ACE Reports Add Value?

## ISA Target Audits Discrepancy Reports

Importer Name	Nbr of Entries	Nbr of Lines	Nbr of Entry Discrep	Class Discrep	Entry of Origin Discrep	Marking Discrep	Qty Discrep	Value Discrep
Importer A	102	102	93	4	2	0	0	87
Importer B	27	27	9	5	2	1	2	0
Importer C	17	17	1	1	0	0	0	0
Importer D	11	11	2	2	0	0	0	0
Importer E	8	8	0	0	0	0	0	0
Importer F	7	7	0	0	0	0	0	0
Importer G	4	4	1	1	0	0	0	0
Importer H	1	1	0	0	0	0	0	0
<b>TOTAL</b>	<b>177</b>	<b>177</b>	<b>106</b>	<b>13</b>	<b>4</b>	<b>1</b>	<b>2</b>	<b>87</b>

# How do ACE reports add value?

## Accounting – Month End Accrual

Importer Name : Importer #12-123456701

Entry #	Posting Date	Periodic Daily Stmt #	Periodic Monthly Stmt #	Port Code	Clearing Doc #	Status	Total	Open Total
00047992748	05/26/06	0000000000	N/A	2795		Open	48.77	48.77
00047992912	05/26/06	0000000000	N/A	2795		Open	50.64	50.64
00048027453	05/25/06	0000000000	N/A	2795		Open	84.22	84.22
00048164685	05/24/06	0000000000	N/A	2795		Open	169.72	169.72
00030733012	05/11/06	2004589394	2006P05700	2809		Open	557.78	557.78
00030733013	05/22/06	0000000000	N/A	2809		Open	6,477.81	6,477.81
00030733014	05/17/06	0000000000	N/A	2809		Open	3,035.26	3,035.26
00030733015	05/17/06	2801256371	N/A	2809		Open	15,414.73	15,414.73
00030733016	05/19/06	0000000000	N/A	2809		Open	4,422.90	4,422.90
00030733017	05/22/06	0000000000	N/A	2809		Open	4,355.32	4,355.32
00030733018	05/22/06	0000000000	N/A	2809		Open	37,490.77	37,490.77
00030733019	05/22/06	0000000000	N/A	2809		Open	310.19	310.19
00030733256	05/23/06	0000000000	N/A	2809		Open	2,835.48	2,835.48
00030733259	05/23/06	0000000000	N/A	2809		Open	16,012.60	16,012.60
00030733257	05/24/06	0000000000	N/A	2809		Open	38,395.14	38,395.14
<b>Sum</b>							<b>129,652.34</b>	<b>129,652.34</b>

# Detail Reports

## Exam Discrepancies by Broker

Broker Name	Nbr of Entry Exams	Nbr of Line Exams	Total Discrep Qty	Class Discrep	Marking Discrep Ind	COO Discrep	Qty Discrep	Value Discrep
Broker A	1,208	1,208	48	11	27	8	2	3
Broker B	969	969	37	19	16	6	2	0
Broker C	728	728	2	1	0	0	0	1
Broker D	661	661	73	61	3	11	1	1
Broker E	623	623	3	2	0	1	0	1
Broker F	580	580	7	3	0	3	1	0
Broker G	347	347	21	15	1	6	2	0
Broker H	298	298	6	5	0	1	0	0

# How do ACE Reports Add Value?

## Quick View Reports Monitor Compliance Rate

Year	Exams	Disc	CM Rate
2005	30	0	100.00%
2006	20	0	100.00%
2007	98	1	98.98%
2008	91	0	100.00%

# Detail Reports

## Imports by Country of Origin – Special Program Errors

COO Cd	Country of Origin	Entered Value	Est'd Qty	Nbr of Entry Summaries
XO	ONTARIO	\$72,501,256	\$21,137	1,757
MX	MEXICO	\$66,882,660	\$741,272	1,985
US	UNITED STATES	\$40,749,275	\$85,646	2,364
IN	INDIA	\$29,086,324	\$196,707	1,489
CN	CHINA(MAINLAND)	\$24,917,786	\$345,859	1,430
AU	AUSTRALIA	\$19,782,899	\$149,203	740
AT	AUSTRIA	\$12,274,418	\$301,732	373
CL	CHILE	\$9,546,575	\$171,546	667

# CBP Incorporated – August 2008

IR# 12-345678900

Port of Entry by Entered Value (EV) - August 2008

Top HTS Numbers by Entry Summaries (ES) - August 2008

ES	HTS Number	Commodity	Entered Value	% of Total
1	84020000	Controlled Mks	6,531	24.1%
2	98020000	Generic Brackets	7,087	26.2%
4	82100000	Handtools	2,891	9.9%
6	30240000	Household & toilet articles	1,930	4.7%
7	84091000	Engine Parts	1,212	3.7%
10	87020000	Passenger Cars - 4 Cyl.	882	2.7%

Top HTS Numbers by Entered Value (EV) - August 2008

ES	HTS Number	Commodity	Entered Value	% of Total
1	87020000	Passenger Cars - 4 Cyl.	\$29,792,433	15.1%
2	98020000	Generic Brackets	\$12,264,389	6.3%
3	28390000	Household & toilet articles	\$8,893,738	4.5%
5	84020000	Controlled Mks	\$7,953,787	4.1%
11	91020000	Recreational Vhs	\$67,228,891	3.5%
6	30240000	Other Household & Toilet	\$57,484,196	2.9%
8	84091000	Engine Parts	\$55,953,716	2.9%
9	82100000	Handtools	\$12,149,189	6.2%

Bold indicates Country of Origin (COO) with highest EV

Rank	Top Port of Entry	Entered Value	Rank	Country of Origin (COO)	Entered Value	% of Total EV	% of Total Entries
1	Los Angeles, CA	\$32,848,131	1	Mexico	\$69,863,844	6.1%	16.4%
2	New York, NY	\$27,128,842	2	Japan	\$15,344,473	0.2%	9.7%
3	Los Angeles, CA	\$26,151,492	3	China	\$149,861,797	8.2%	7.1%
4	Detroit, MI	\$19,833,842	4	Germany	\$9,361,568	0.2%	16.1%
5	San Francisco, CA	\$18,893,847	5	Canada	\$7,369,687	0.1%	4.4%

# CBP Incorporated – August 2008

IR# 12-345678900

Percent Duties/Fees of EV by Top 5 HTS Number and COO (August 2008)

Percent Change in Country of Origin (August 2007 vs. 2008)

Percent Change in Top HTS Numbers (August 2007 vs. 2008)

HTS Number - Commodity

HTS Number	Commodity	Duties/Fees	Entered Value	# of COO	# of ES
87020000	Passenger Cars - 4 Cyl.	\$1,773,237	\$34,796,433	6	885
98020000	Generic Brackets	\$1,742,539	\$12,264,389	1	1,137
28390000	Articles of Wearing Apparel	\$1,606,471	\$75,189,264	3	1,519
84091000	Controlled Mks	\$1,165,524	\$7,953,787	41	1,519
82100000	Handtools	\$308,106	\$13,691,915	23	647

# How Do ACE Reports Add Value?

## Management - Unauthorized Filers of Entries

File Name	Entry Dt	Importer Nbr	Entry Nbr	POE Cd	HTS Nbr	Entered Value
ABC Broker	01/08/04	16-123934000	99925229307	0708	7318158085	\$0.00
SAMENFINK & Co	05/04/04	16-123934000	SAM700580597	5206	9402900020	\$268,387.00
XYZ Broker	06/05/04	16-123934000	XYZ63843581	2821	8607910000	\$6,028.00
RTS Brokers	10/05/04	16-123934000	RTS10050326	2304	9801001097	\$9,145.00
KLM Broker	09/01/04	16-123934000	91133713867	5201	4901100040	\$100.00
STU Broker	12/17/04	16-123934000	XXK95633903	1704	8410900000	\$60,834.00
BRIDGFORD BROTHERS	02/13/04	16-123934000	BBB3545202582	5206	9801001010	\$26,491.00
JONES & SMITH CO	03/17/04	16-123934000	JAS03259877	2002	8545200000	\$0.00
BILLY BOB BROTHERS	11/15/04	16-123934000	BB200382191	2704	7318152065	\$32,363.00

**CBP Incorporated – August 2008**  
IR# 12-345678900

Total Entered Values and Discrepancies by Entry Type – August 2008			Total Reviews and Discrepancies by Entry Type – August 2007 to August 2008				
Entry Type	Total EV	Discrepancies	Entry Type	# of Discrepancies	# of Discrepancies	Classification	Reason
81	\$1,232,345,678	\$7,456,789	01	1,417	1,881	28	Classification (2), Clerical (1), Value (2)
82	\$2,112,345	\$87,654	03	43	47	1	Clerical (1), Country of Origin (1)
88	\$4,456,789	\$105,712					

Reviews and Discrepancies by Firm – August 2007 to August 2008				
Firm Name	# of EO Reviewed	# of Lines Reviewed	# of Discrepancies	Reason
Best Fibers	1,255	1,265	16	Classification (16), Clerical (2), Other Agency (2), Value (2)
ABCDEF GHIJKL	102	107	8	Classification (8), Clerical (1), Country of Origin (1)
Customs and Border Services	15	12	0	

Top 5 Reviews and Discrepancies by Port of Entry (2 of EO Reviewed) – August 2007 to August 2008				
Port of Entry	# of EO Reviewed	# of Lines Reviewed	# of Discrepancies	Reason
Wilmington Area	201	201	1	Clerical
Detroit, MI	175	183	18	Classification (7), Clerical (2), Currency (1), Value (1)
Lynch, VA	87	90	4	Quantity (2), Value (2)
Los Angeles, CA	22	48	0	
Buffalo, NY	15	22	9	Clerical (2), Value (3)

Top 5 Reviews and Discrepancies by HTS Number (2 of EO Reviewed) – August 2007 to August 2008					
HTS #	Commodity	# of EO Reviewed	# of Lines Reviewed	# of Discrepancies	Country of Origin (discrepancies based on Inland CDO)
8502101010	Atlantic Railcut	201	202	1	France, Canada, Spain, UK
8408910000	Engine Parts	84	84	0	Japan, Canada, USA
8403400000	Controlled Air	220	222	2	Belgium, Germany
4801900015	Paperboard books	101	144	4	France, Germany, Japan, S. Korea, Mexico
9002100000	Teletypes	102	110	0	Vietnam, UK

Top 5 Reviews and Discrepancies by Manufacturer (2 of Discrepancies) – August 2007 to August 2008				
Manufacturer Name	# of EO Reviewed	# of Lines Reviewed	# of Discrepancies	Reason
Secure Edge Zonal Manufacturing	5	4	2	Classification
ABC Manufacturing	5	5	2	Classification
XYZ Manufacturing	5	5	2	Classification
Microelectronics USA	10	11	0	Clerical

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## Dpn jh Tppo "

- Entries filed through ACE
- Electronic CBP forms 28, 29 & 4647
  - Can respond electronically
  - Attached documents
  - Determine access, respondents, etc.
  - National view of responses
- Declarations
  - Affidavit of Manufacturer
  - ADD/CVD Non reimbursement Statement
  - Importer Certifying Statement
  - NAFTA Certificate of Origin
- Detailed ADD/CVD Reporting

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## Dpoubdulbopsn bupo

**ACE: Modernization Information Systems at US Customs and Border Protection**

<http://www.customs.gov/xp/cgov/trade/automated/modernization/>

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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/008**

## **Introduction of Japanese Single Window**

Submitted by: Japan



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

**NACCS**

*-Nippon Automated Cargo and port Consolidated System-*

• The system handles customs and other government agency's procedures and private companies related procedures

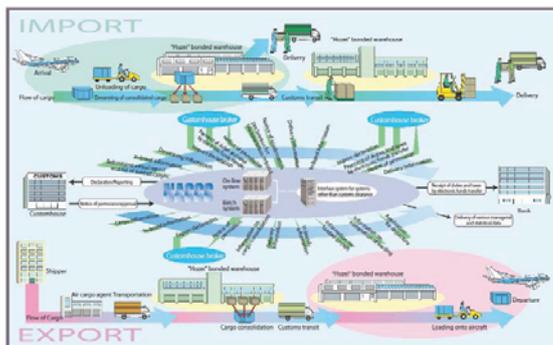
**Benefits**

- Quick pickup of cargoes
- Multiple use of input information
- Improvement in information service

• NACCS is operated by NACCS Centre (Nippon Automated Cargo And Port Consolidated System, Inc.)

※April 2008 - The NACCS Centre was formally joined "PAA (Pan-Asian e-Commerce Alliance)"

**Flow diagram: Import/Export of Air cargo in Japan**



Source: NACCS Centre website (<http://www.naccs.jp/e/index.html>)

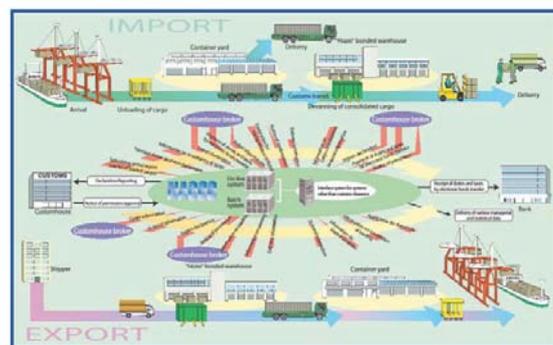
**Legal aspects of NACCS**

The Special Act of Customs Procedure through the Electronic Data Processing System (The NACCS Special rules ACT) was enacted in 1977.

In accordance with this Act, Customs Procedures such as import/export declarations can be processed electronically without submitting documents.

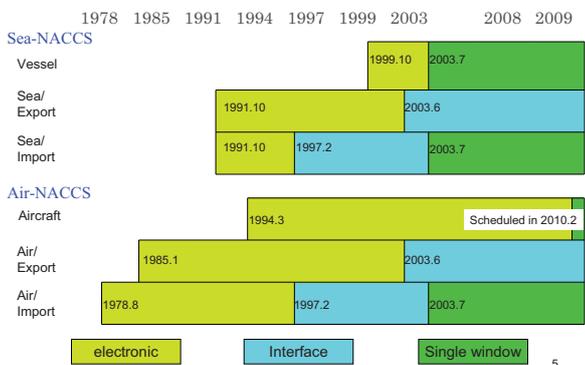
The Law for processing, etc. of import/export and port-related procedures through the Electronic Data Processing System was amended in October, 2008.

**Flow diagram: Import/Export of Sea cargo in Japan**

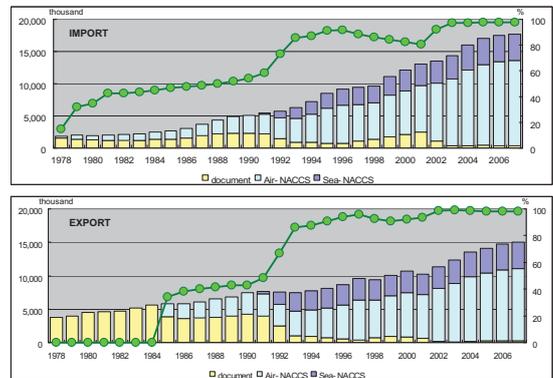


Source: NACCS Centre website (<http://www.naccs.jp/e/index.html>)

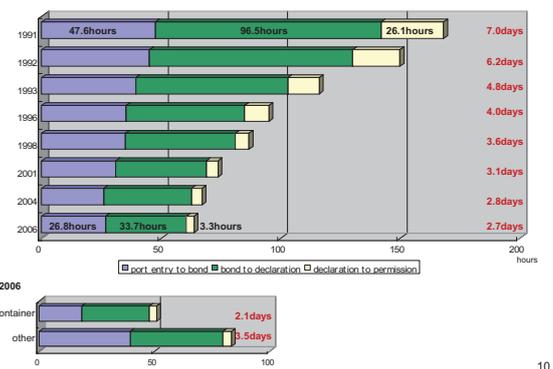
**History of NACCS**



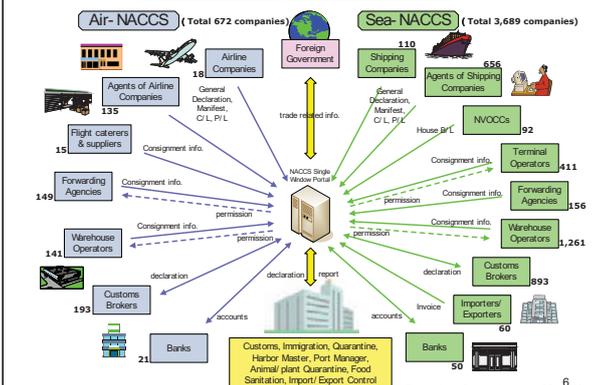
**Annual declaration number and ratio processed electronically**



**Lead Time Survey - sea cargo/import**



**Information Platform of trade industry**



**Development of Single Window**

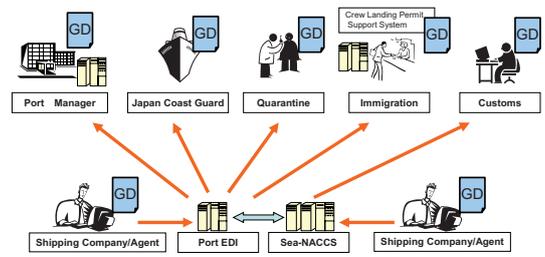
Introduction of SW

**August 2001 -Shiokawa Initiative**

- Automation plan for international logistics
- Commencement of Single Window up to FY 2003
- Realize automation for government procedures for international trade related business
- Promote automation and standardization for trade related business
- Logistics for 24-7
- Appropriate and rapid customs clearance

**Single Window of 2003 <Sea-port related procedures>**

Introduction of SW



January 2002: Establish the basic concept  
July 2003: Start its operation

GD: General Declaration

**Scope of National Single Window in Japan**

Introduction of SW

NACCS provides National Single Window Environment

- Both cargo & means of transport
- Both sea port & airport
- Both import & export

**From 1st to 2nd generation Single Window**

Reengineering of SW

**July 2003-** Start of Single Window (1st generation) -  
Set common format for general declaration in seaport and single import declaration.

**November 2005**

Japan improved SW in port business based on FAL Convention (Convention on Facilitation of International Maritime Traffic).

**December 2005**

Establish Optimization Plan for Services/Systems in Import/Export and seaport/airport procedures

**October 2008**

2nd Generation SW was introduced.

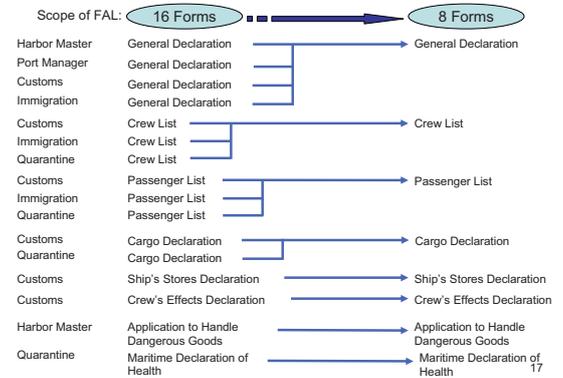
**Ministries concerned and their Systems before 2008**

Introduction of SW

Name of the system	abbreviation	Ministry concerned
Nippon Automated Cargo and port Consolidated System	NACCS	Ministry of Finance (Import/Export Declaration, Air/Sea Port related procedures)
Crew Landing Permit Support System		Ministry of Justice (Immigration)
Food Automated Import notification and inspection Network System	FAINS	Ministry of Health, Labour and Welfare (Food Sanitation)
Animal quarantine Inspection Procedure Automated System	ANIPAS	Ministry of Agriculture, Forestry and Fisheries (Animal Quarantine)
Plant Quarantine NETWORK	PQ-NETWORK	Ministry of Agriculture, Forestry and Fisheries (Plant Protection)
Japan Electronic open network TRADE control System	JETRAS	Ministry of Economy, Trade and Industry (Trade control)
Port EDI		Ministry of Land, Infrastructure, Transport and Tourism Japan Coast Guard (Sea port related procedures) Ministry of Health, Labour and Welfare (Quarantine)

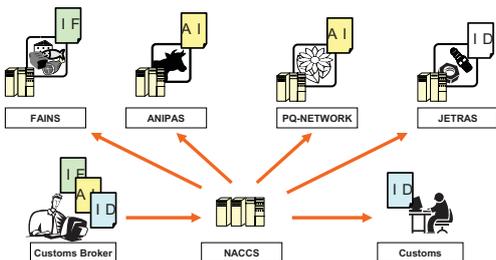
**Integration of Documents based on FAL - Nov.2005**

Reengineering of SW



**Interface with OGA systems from 1997 <Export/Import procedures>**

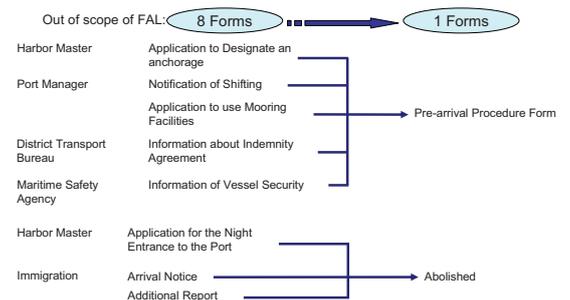
Introduction of SW



ID: Import Declaration  
AI: Application for Inspection  
IF: Import notification for Food

**Integration of Documents based on FAL - Nov.2005**

Reengineering of SW

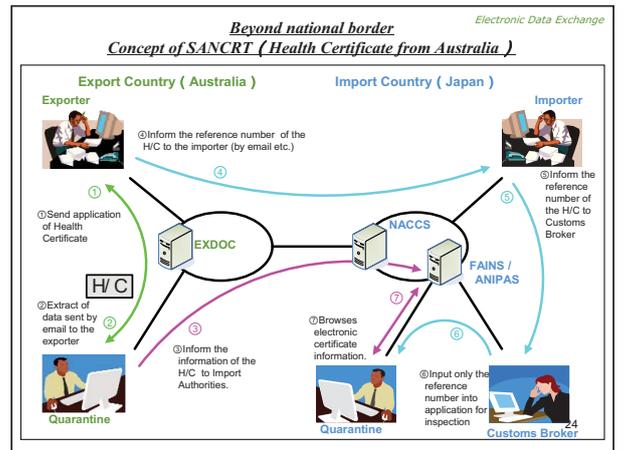
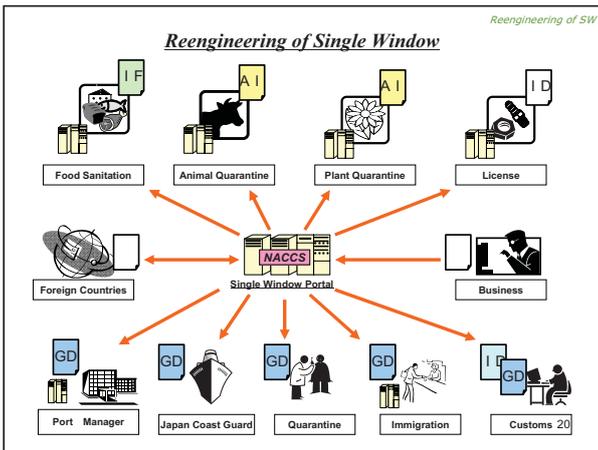
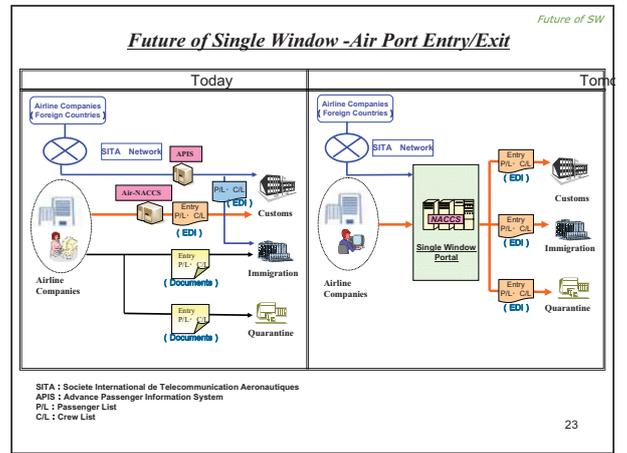


Outcome  
Before FAL: 24 Forms, 600 items → After FAL: 9 Forms, 200 items

*Reengineering of SW*

	Before entry	Entry	Exit
Customs (Ministry of Finance)	-Crew/Passenger list -Cargo Declaration	-General Declaration	-Notice of Clearance
Immigration (Ministry of Justice)	-Crew/Passenger list	-General Declaration -Crew Landing Permission	-Notice of Clearance
Quarantine (MHLW)	-Crew/Passenger list -Arrival Notice for Quarantine	-General Declaration (health)	
Harbor Master (Japan Coast Guard)	-Application to Designate an anchorage -Application to Handle Dangerous Goods -Notification of Shifting -Advance notification of water route	-General Declaration -Notification of Shifting (post hoc)	-Notice of Clearance -Advance notification of water route
Marine Traffic Information Service (JCG)	-Notification of Seaway		
Maritime Safety Agency (JCG)	-Information of Vessel Security		
District Transport Bureau (MLIT)	-Information about Indemnity Agreement		
Port Manager (Local Government Unit)	-Application to use Mooring Facilities	-General Declaration	-Notice of Clearance

MHLW: Ministry of Health, Labour and Welfare MLIT: Ministry of Land, Infrastructure, Transport and Tourism 19

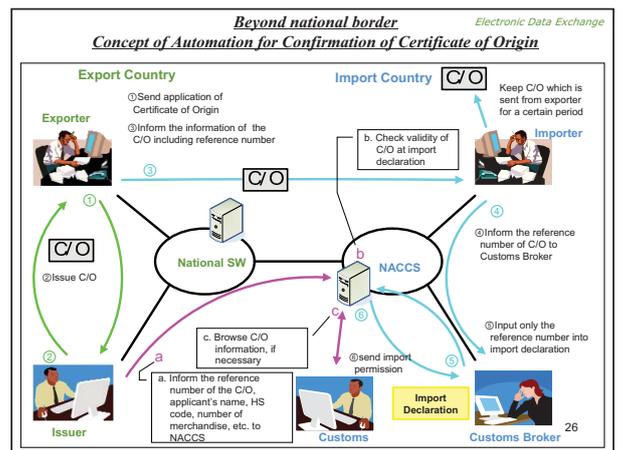
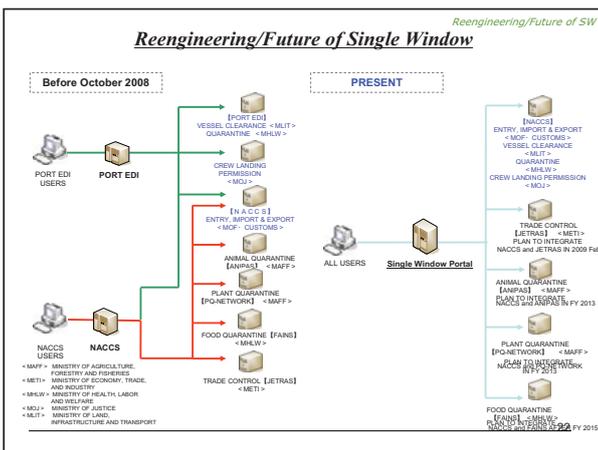
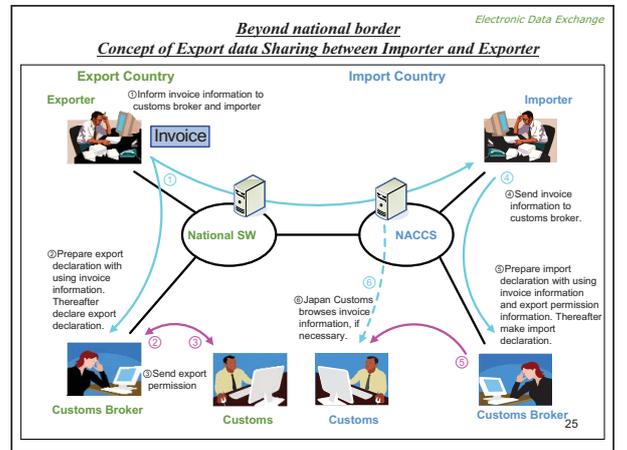


*Reengineering of SW*

### NACCS is ...

- the single window system for applicants**  
Applicant sends single-window message then NACCS delivers the message to each administrations by common format/protocol.
- the single window system for trade related government agencies**  
Trade related government agency receives message like Import Declaration, General Declaration, Application for inspection, etc. from NACCS
- the portal for foreign stakeholders.**  
NACCS receives the message from the system of foreign government and transfer it to the system of trade related government agency in Japan.

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Thank you very much!



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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/009**

## **Automated Commercial Environment (ACE)/ International Trade Data System (ITDS)**

Submitted by: United States



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

U.S. Customs and Border Protection

## Automated Commercial Environment (ACE)/ International Trade Data System (ITDS)

Presented to the  
Asia-Pacific Economic Cooperation (APEC)  
Sub-Committee on Customs Procedures (SCCP)  
April 1-8, 2009

Jeff Nii, CBP Attaché  
U.S. Embassy - Singapore

U.S. Customs and Border Protection

## International Trade Data System (ITDS) Initiative

**▶ Vision:**

- **Single window filing:** A single place for the trade community to submit data required by all Federal agencies for the clearance of cargo
- **Inter-agency data sharing:** Dissemination of international trade and transportation data to all federal agencies involved in import, export, and transportation-related decision making

**▶ Support:**

- **The Security and Accountability for Every Port Act of 2006** officially established the ITDS initiative under the Department of the Treasury and mandated agencies involved in licensing and admissibility to join ITDS
- **Office of Management and Budget Directive M-07-23** mandated that agencies appoint senior executives to an interagency ITDS coordination team
- **President's Management Agenda, E-Government Scorecard** mandated integration of agency operations and IT investments

**▶ Status:**

- **46 Participating Government Agencies including:**
  - Consumer Product Safety Commission (CSPC)
  - Animal and Plant Health Inspection Service (APHIS)
  - Federal Motor Carrier Safety Administration (FMCSA)
  - U.S. Coast Guard (USCG)
- **More than 500 ACE end users:** Representing 27 PGAs



U.S. Customs and Border Protection

## CBP Operational Workload

On a typical day, CBP officers...

**▶ Process:**

- 1.09 million passengers and pedestrians
- 70,451 truck, rail, and sea containers
- 331,347 privately owned vehicles

**▶ Make:**

- 2,796 apprehensions at and in between ports of entry for illegal entry
- 73 arrests of criminals at ports of entry
- 614 refusals of entry at U.S. ports of entry

**▶ Seize:**

- 7,621 pounds of narcotics
- 4,125 prohibited meat, plant materials or animal products
- \$295,829 in undeclared or illicit currency

**▶ Secure:**

- 5,000 mile border with Canada
- 327 Ports of Entry
- 144 Border Patrol Stations
- 20 Sectors
- 35 Permanent Check Points
- 1,900 mile border with Mexico
- 95,000 miles of shoreline



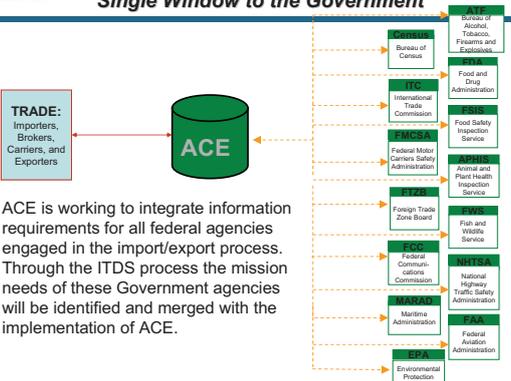
U.S. Customs and Border Protection

## Single Window to the Government

**TRADE:** Importers, Brokers, Carriers, and Exporters

**ACE**

ACE is working to integrate information requirements for all federal agencies engaged in the import/export process. Through the ITDS process the mission needs of these Government agencies will be identified and merged with the implementation of ACE.



- **DOJ:** Bureau of Alcohol, Tobacco, Firearms and Explosives
- **DOH:** Food and Drug Administration
- **DOA:** Food Safety Inspection Service
- **APHIS:** Animal and Plant Health Inspection Service
- **DOT:** Fish and Wildlife Service
- **DOT:** National Highway Traffic Safety Administration
- **FAA:** Federal Aviation Administration
- **EPA:** Environmental Protection Agency
- **CBP:** U.S. Customs and Border Protection
- **ITC:** International Trade Commission
- **FMCSA:** Federal Motor Carrier Safety Administration
- **FTZB:** Foreign Trade Zone Board
- **DOC:** Federal Communications Commission
- **MAA:** Maritime Administration

U.S. Customs and Border Protection

## How Does CBP Currently Process this Workload?

**▶ Automated Commercial System (ACS)**

- 25+ year old system increasingly taxed by growing volume of trade

**▶ Manual, paper-based processes**

**▶ Reliance on multiple systems**

- Automated Targeting System (ATS)
- Free and Secure Trade (FAST)
- Traveler Enforcement Compliance System/National Crime Information Center (TECS/NCIS)
- ACS and its subordinate systems



U.S. Customs and Border Protection

## Improves Import Process

**▶ Between FY 2005 and FY 2006, ACE allowed FSIS to increase the amount of ineligible product detected, detained, and removed from commerce nearly 30 fold from 97,000 to 2.87 million pounds**

**▶ FSIS controlled 2.04 million pounds of ineligible product in FY 2007 and 3.00 million pounds of ineligible product in the first eight months of FY 2008**




Data Source: FSIS Import Tracking System

U.S. Customs and Border Protection

## What is ACE/ITDS?

**Since 9/11, CBP has been addressing terrorist threats 24 hours a day by using various strategies and employing the latest in technology.**

**CBP has extended the zone of security beyond our physical borders through the use of bilateral and private sector partnerships, targeting and scrutinizing advanced information on people and products coming into the United States.**

**▶ Modernizes commercial trade processing systems** with features designed to consolidate and automate border processing to include other federal agencies with a border presence

**▶ Provides a single centralized online access point** to connect CBP, Participating Government Agencies (PGAs), and the trade

**▶ Supports CBP border security and trade facilitation mission**

**▶ Forms backbone of CBP trade processing and risk assessment capability** with the Automated Targeting System

**▶ Interfaces with and consolidates information** from the following systems via the ACE Secure Data Portal:

- ATS
- TECS/NCIS
- FAST
- ACS

**▶ Facilitates collection and distribution of standard electronic import and export data** required by all Federal agencies via International Trade Data System (ITDS) initiative

\*H.R. 4954 – Security and Accountability for Every Port (SAFE Port) Act

U.S. Customs and Border Protection

## ACE and Compliance

**▶ 1993 Customs and Modernization Act (Mod Act)**

- Legal foundation for the CBP Modernization effort; promotes the concept of "shared responsibility"
- Outlined requirements for automation and emphasized electronic trade processing
- ACE capabilities will fulfill the Mod Act by enabling trade community users and CBP officers to electronically submit and retrieve import transaction data through an intuitive, standards-based, secure Web portal

**▶ Trade Act of 2002**

- Requires the submission of advance electronic cargo information
- On February 11, 2008, CBP implemented mandatory electronic truck manifest (e-Manifest) filing at remaining land border ports, marking the implementation of mandatory e-Manifest filing at all 99 U.S. land border ports of entry
- E-manifests represent 99 percent of manifests filed

**Current ACE Capabilities**

**Anti-terrorism**

- Targets new information
- Enhances interaction with driver
- Allows greater attention to surroundings

**Truck Manifest**

- Automates manifests
- Enables quicker processing
- Fosters efficiency in the primary booth
- Compresses time-to-market, trade savings

**Trade Facilitation**

**Periodic Payment**

**Anti-terrorism**

- Leverages resource savings
- Provides more personnel focused on anti-terrorism

**Trade Facilitation**

- Provides monthly duty and fee collections
- Expands PGA involvement
- Requires fewer CBP personnel
- Provides savings for government and trade

**ACE Secure Data Portal**

**Anti-terrorism**

- Provides national account view
- Provides links information on all entities
- Provides carrier/driver/new shipment data
- Provides vehicle information
- Provides border crossing history
- Provides enforcement alerts

**Trade Facilitation**

- Provides more information, more timely
- Expands PGA involvement
- Provides account structure
- Allows Management continuous bonds
- Provides more efficient/effective back end review
- Provides trade access to national account view

**Screening & Targeting**

**Anti-terrorism**

- Uses business rules-based engine
- Allows end-users to define and maintain rules
- Access external intelligence data sources
- Integrates findings into targeting assessment process

**Trade Facilitation**

- Reduces referrals to secondary through focused targeting
- Enables quicker processing
- Fosters efficiency in the primary booth
- Compresses time-to-market, providing trade savings

Foundational Enablers



**What ACE Means for the Trade Community**

- ▶ Allows trade participants to better manage their information
- ▶ Expedites legitimate trade by providing CBP with tools to efficiently process imports/exports and move goods quickly across the border
- ▶ Facilitates efficient collection, processing, and analysis of commercial import and export data
- ▶ Improves communication, collaboration, and compliance efforts between CBP and the trade community
- ▶ Provides significant cash flow advantages by allowing the payment of duties and fees on a monthly basis
- ▶ Allows access to transactional, financial, and compliance data
- ▶ Reduces redundant and time consuming paper processes
- ▶ Provides an information-sharing platform for trade data throughout the Government via the ITDS initiative



**Upcoming Capabilities**

**Rail and Sea Manifest (M1)**

*Incorporates rail and sea manifest processing into ACE*

**Initial Entry Summary Types (A2.2)**

*Allows entry summary processing for the most common entry types in ACE*

**Deployment**

- April/June 2009
- May/June – August/October 2009

**Features**

- Ability to place or remove holds at container level
- Broker download capability for rail and sea carriers
- Automated validation of bonded carrier identification
- Consolidated view of rail and sea shipment manifest and entry data at bill of lading or container level

**Benefits**

- Improved cargo security, expedited cargo processing, and trade facilitation through a consolidated view of data
- Faster, easier access to data through integrated entry, manifest, and risk assessment information for rail and sea cargo
- Retires AMS rail and sea processing

**Initial Entry Summary Types (A2.2) Features**

- Entry summary processing in ACE for entry types 01 and 11
- Ability to receive and respond to CBP Forms 28, 29, and 4647 via ACE portal or ACE entry summary
- Trade responses to electronic forms can be linked to entry summaries for nationwide visibility
- Automated Census Warning Overrides

**Initial Entry Summary Types (A2.2) Benefits**

- National visibility of forms, rejects, team review, and other actions
- Reduced paper processing via ability to electronically track, issue, and receive response of CBP Forms 28, 29, & 4647
- Increased functional integration supports drill down throughout ACE to entry summaries, validation activities, and account data
- Preliminary step toward migrating from ACS

**Participating Government Agencies (PGAs)**

Agency/Acronym	Department or Independent Agency
1 AMS, Agricultural Marketing Service	Agriculture
2 APHIS, Animal and Plant Health Inspection Service	Agriculture
3 ALM, State Dispatch Office, Office of Logistics and Management	State
4 ATF, Bureau of Alcohol, Tobacco, Firearms, and Explosives	Justice
5 BIS, Bureau of Industry and Security	Commerce
6 BLS, Bureau of Labor Statistics	Labor
7 BTS, Bureau of Transportation Statistics	Transportation
8 CBP, Customs and Border Protection	Homeland Security
9 CDC, Centers for Disease Control and Prevention	Health and Human Services
10 Census, Bureau of the Census	Commerce
11 CPSC, Consumer Product Safety Commission	Independent Agency
12 DEA, Drug Enforcement Administration	Justice
13 DCSA, Defense Contracts Management Agency	Defense
14 EIA, Energy Information Administration	Energy
15 EPA, Environmental Protection Agency	Independent Agency
16 FAA, Federal Aviation Administration	Transportation
17 FAS, Foreign Agricultural Service	Agriculture
18 FCC, Federal Communications Commission	Independent Agency
19 FDA, Food and Drug Administration	Health and Human Services
20 FHWA, Federal Highway Administration	Transportation
21 FinCEN, Financial Crimes Enforcement Network	Treasury
22 FMC, Federal Maritime Commission	Independent Agency
23 FMCSA, Federal Motor Carrier Safety Administration	Transportation

**Questions?**

▶ **For more information:**

- ▶ Visit the ACE Web site at [www.cbp.gov/modernization](http://www.cbp.gov/modernization), or
- ▶ send an e-mail to [CBP.cbpcspo@dhs.gov](mailto:CBP.cbpcspo@dhs.gov)

**PGAs, continued**

Agency/Acronym	Department or Independent Agency
24 FSIS, Food Safety and Inspection Service	Agriculture
25 FTZB, Foreign Trade Zones Board	Commerce
26 FWS, U.S. Fish and Wildlife Service	Interior
27 GIPSA, Grain Inspection, Packers, and Stockyards Administration	Agriculture
28 IRS, Internal Revenue Service	Treasury
29 IA, Import Administration	Commerce
30 ITC, International Trade Commission	Independent Agency
31 MARAD, Maritime Administration	Transportation
32 NHTSA, National Highway Traffic Safety Administration	Transportation
33 NMFS, National Marine Fisheries Service	Commerce
34 NRC, U.S. Nuclear Regulatory Commission	Independent Agency
35 OES, Bureau of Ocean and International Environmental and Scientific Affairs	State
36 OFAC, Office of Foreign Assets Control	Treasury
37 OFE, Office of Fossil Energy	Energy
38 OFM, Office of Foreign Missions	State
39 PHMSA, Pipeline and Hazardous Materials Safety Administration	Transportation
40 DDT, Directorate of Defense Trade Controls	State
41 TSA, Transportation Security Administration	Homeland Security
42 TTB, Alcohol and Tobacco Tax and Trade Bureau	Treasury
43 USACE, U.S. Army Corps of Engineers	Defense
44 USAID, U.S. Agency for International Development	Independent Agency
45 USCG, U.S. Coast Guard	Homeland Security
46 USTR, U.S. Trade Representative	Independent Agency



- ▶ The ACE Secure Data Portal account application can be found at [www.cbp.gov/modernization](http://www.cbp.gov/modernization) or by sending an e-mail to [ACENow@dhs.gov](mailto:ACENow@dhs.gov)
- ▶ Applications can be submitted to CBP via regular mail or e-mail
- ▶ Applicants are responsible for reading the Terms and Conditions of portal access as published in the May 16, 2007, Federal Register Notice (72 FR 27632)
- ▶ Logging into the ACE Secure Data Portal constitutes the account's acceptance of the Terms and Conditions of portal access as set forth in the Federal Register Notice

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- ▶ **Step 1: Fill out the ACE application**
  - Fill out all required application fields on your computer
- ▶ **Step 2: Return the ACE application to CBP**
  - Print out the completed application, sign, and mail to:  
  
*ACE Secure Data Portal – ACE Applications*  
*U.S. Customs and Border Protection*  
*Beauregard Building, Room A-314-3*  
*7681 Boston Boulevard*  
*Springfield, VA 22153*
  - OR**
  - Complete the application, indicate your digital signatures, and e-mail the completed electronic application to:  
[ACE.Applications@dhs.gov](mailto:ACE.Applications@dhs.gov)

18



**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/010**

## **Introduction of China e-Port**

Submitted by: China

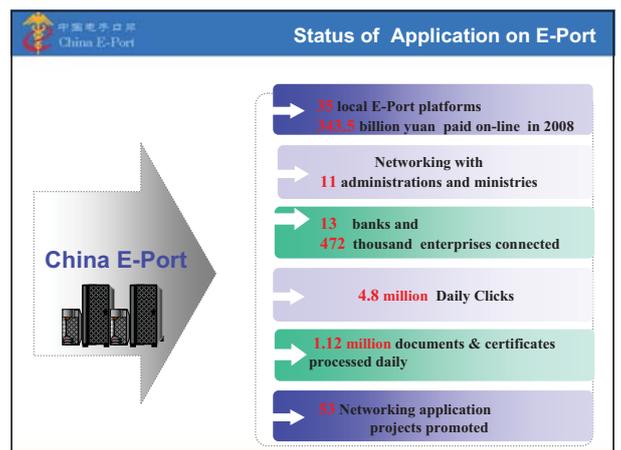
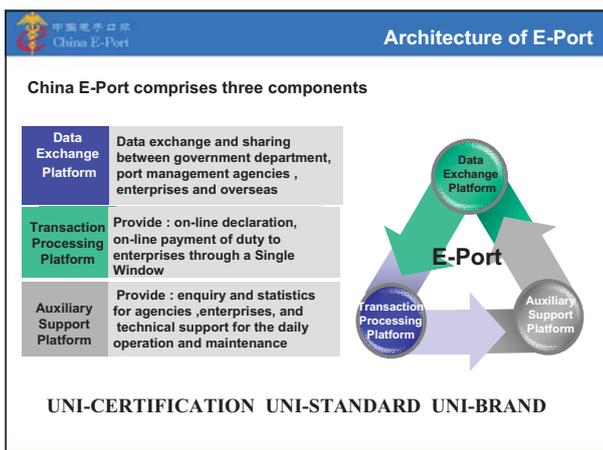
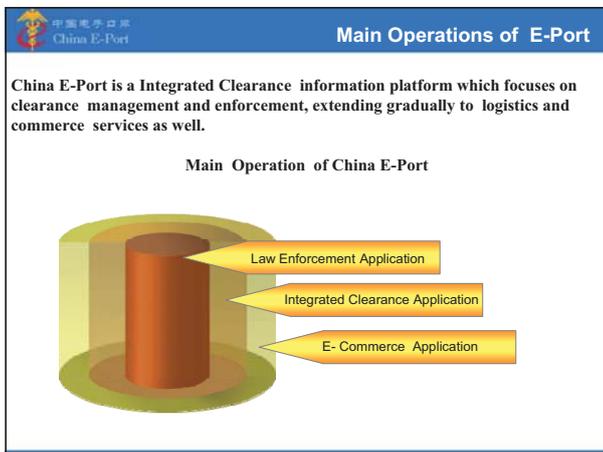
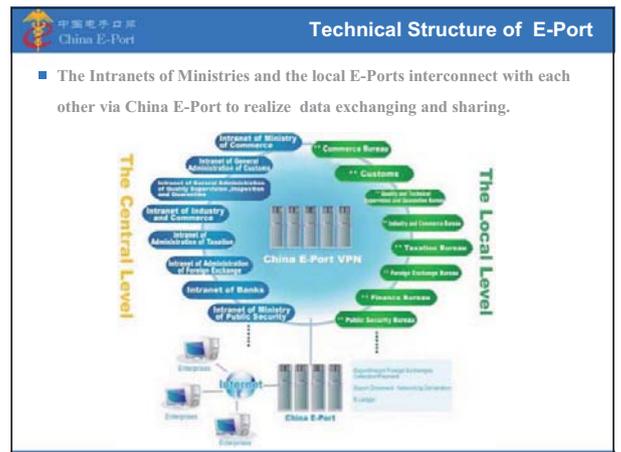
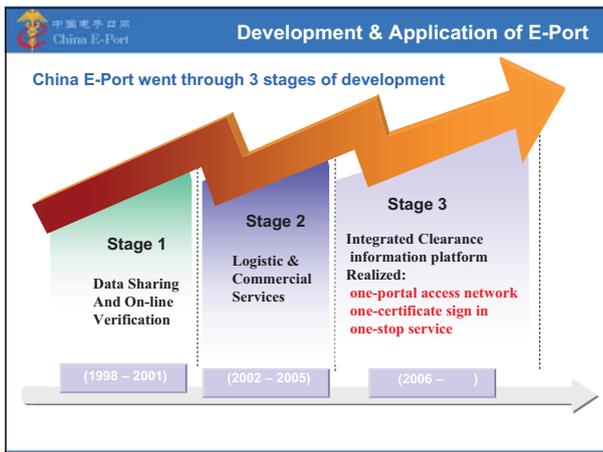
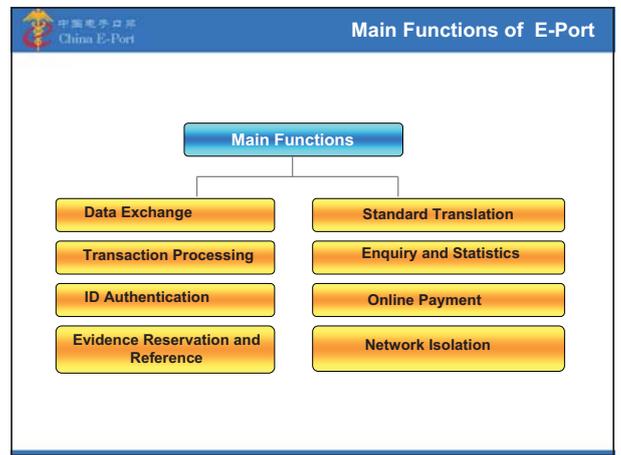


**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

## Introduction of China E-Port

中国电子口岸介绍

China E-Port Data Centre  
April 2009



**China E-Port** Status of Application on E-Port

**Connections between China Customs and Overseas Government Agencies**

Hong Kong China  
Macao China  
VPN of China E-Port  
U.K.  
Netherlands

Verification of certificates of origin

Info exchange on ocean manifests

Studies under way: on-line exchange of information on certificates of origin for FTAs with certain countries of ASEAN, Africa and South America

**China E-Port** Successful Case of E-Port

**4. Express Consignment Clearance System**

224 import Express enterprises  
171 export Express enterprises

To realize the instant clearance when the parcels arrive the port

0 Second Entrance and Clearance  
Green Light  
Examination  
EMS Center  
UPS  
TNT  
DHL  
FEDEX  
Internet  
EMS  
1 Pre-declare  
Customs  
E-Port

**China E-Port** Successful Case of E-Port

**1. On-line Clearance**

Traders  
Internet  
E-Port  
Private Line  
Customs Brokers

- On-line Declaration
- Payment of Foreign Exchange
- Export Drawback
- On-line Payment of Duties

“Paperless Clearance” Pilot

**China E-Port** Successful Case of E-Port

**5. China-EC pilot on Smart and Secure Trade Lanes (SSTL)**

On November 19, 2007, China and EC formally announced the implementation of SSTL, which was regarded as the 1st inter-continental pilot project for implementing the Framework of Standards to Secure and Facilitate Global Trade.

For the first stage, there are 3 participating ports in the pilot: Shenzhen from China, Rotterdam from the Netherlands and Felixstowe from the United Kingdom.

Manufacturer  
Center  
Customs of Exporter  
Shipping Center  
Customs of Importer  
Logistics Centre  
China E-Port  
Information Exchange Centre Designed by EI

**China E-Port** Successful Case of E-Port

**2. Fast Clearance System for Road Ports**

**Huanggang Road Port**

30,000 Vehicles Per Day  
Before: 3-4 minutes  
After: 5 seconds

Bill of goods  
Information of Consignor  
Information of Vehicle  
Information of Chauffeur  
2 Freight Enterprise  
1 Pre-declare  
Internet  
Shenzhen Customs  
3  
4  
0 Second Entrance and Clearance  
Green Light  
Examination

**China E-Port** The End

We are looking forward to cooperating closely with the government and business all around the world to make greater contribution to promote the security and facilitation of global trade.

Thanks !

Tel: (8610) 85193690  
Fax: (8610) 85193718  
E-mail: lichengli@chinaport.gov.cn

**China E-Port** Successful Case of E-Port

**3. E-Ledger System**

The system realizes “e-ledger” management to the processing trade enterprises, which not only strengthens the Customs supervision but also improves the efficiency of Customs Clearance. There are 4552 enterprises using “e-ledger” system.

China E-Port  
Internet  
Customs  
Enterprise ERP

**Export of Inventec Co., Ltd in Shanghai**

Unit: 100 million US Dollars

Year	Export Value (100 million US Dollars)
2000	0.8
2001	13.6
2004	30.1
2005	43.6
2006	85.8



**Asia-Pacific  
Economic Cooperation**

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2009/SCCP/SWWG/WKSP4/011

## **The Implementation of National Single Window and ASEAN Single Window in Viet Nam**

Submitted by: Viet Nam



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

GENERAL DEPARTMENT OF VIETNAM CUSTOMS

## THE IMPLEMENTATION OF NATIONAL SINGLE WINDOW AND ASEAN SINGLE WINDOW IN VIETNAM

**Hoang Huy Hoang**  
 Modernization and Reform Board  
 General Department of Vietnam Customs

APEC SCCC SWWG Capacity Building Workshop  
 Singapore, April 2009

GENERAL DEPARTMENT OF VIETNAM CUSTOMS

### Achievements (cont')

The organization of ASW National Steering Committee

GENERAL DEPARTMENT OF VIETNAM CUSTOMS

### Contents

- Background
- Achievements
- Next plan to deploy NSW and ASW by 2012
- Challenges ahead
- Conclusion

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### Achievements (cont')

#### Groups assist NSC

- 2<sup>nd</sup> March 2009, Ministry of Finance prepared drafts on the establishment of assistant committee, action plan and the mechanism of working. The drafts have been sent to ministries to get ideas and refine
- The assistant committee includes representatives of key industries and agencies. It, on behalf of NSC, will manage and coordinate regular activities. NSC will focus on big and strategic issues
- GDVC is appointed to be the permanent committee, including 2 working groups are TWG and LWG

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### Background

- 9<sup>th</sup> December 2005: Agreement to establish and implement the ASW signed by ASEAN Ministers of Economy
- 20<sup>th</sup> December 2006: Protocol to establish and implement the ASW signed by ASEAN Ministers of Finance:
  - ✓ Brunei, Indonesia, Malaysia, Philippines, Thailand and Singapore by 2008
  - ✓ Cambodia, Laos, Myanmar and Vietnam by 2012
- General Department of Vietnam Customs (GDVC) has been implementing e-customs procedures for over 3 years
- GDVC has been also implementing modernization project sponsored by World Bank that includes BPR, ICT...

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### Achievements (cont')

#### Working Groups

- Technical Working Group is responsible for:
  - ✓ Researching and building the model of NSW and ASW deployed in Vietnam
  - ✓ Researching and suggesting solutions to the IT system
  - ✓ Systematizing business processes
  - ✓ Suggesting solutions to implement pilot system
- Legal Working Group is responsible for:
  - ✓ Researching, reviewing legal framework and suggesting the amendment and revision in accordance with NSW and ASW

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### Achievements

#### National Steering Committee (NSC)

- 16<sup>th</sup> September 2008, Prime Minister signed the decision on the establishment of ASW NSC 2008-2012. This stipulates the functions, missions and organization of NSC
- Chairman of the NSC is the Minister of Finance. Three counterparts are Deputy Minister of Finance, Deputy Minister of Commerce and Industry, Deputy Minister of Transportation and 12 members from government agencies

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### Achievements (cont')

#### Draft of Action Plan

- Action Plan on implementation of NSW and ASW includes main activities from 2008 to 2012, supposes expected results and time of execution. The final goal is to develop successfully NSW and connect to ASW by 2012
- Stipulates a mechanism of working, responsibility of members and working relationship

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**Achievements (cont')**

**Organization of workshops**

- GDVC organized 2 seminars in Hanoi and Ho Chi Minh city at the beginning of the 1<sup>st</sup> Quarter 2009, focused on introducing:
  - ✓ Overview of NSW and ASW
  - ✓ Agreement and Protocol to establish and implement ASW
  - ✓ The preparation of GDVC, results achieved and the need to continue to perform
  - ✓ Solutions and experience of IT service providers in SW
- Participants are representatives of ministries and industries, Customs Departments and the business community
- Seminars are very useful to help GAs and business community understand thoroughly ASW and NSW

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**Next plan to deploy NSW and ASW by 2012 (cont')**

**Preparing technical infrastructure and building IT system**

- Build the set of technical standards for NSW and ASW
- Deploy network and security infrastructure, digital signature certificate
- Suggest the model of IT system
- Build the system of processing electronic data and integrate systems of government agencies
- Implement service providers
- Process other technical issues

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**Achievements (cont')**

**Review of legal framework**

- Create a directory of documents, legal rules relating to NSW
- Suggest contents need to revise and amend
- For processes:
  - ✓ List the parties involved
  - ✓ Model business processes served for standardization and harmonization of business processes
  - ✓ Review and collect information criteria, documents to build the trade data of Vietnam
  - ✓ Create criteria evaluating the infrastructure of IT systems
  - ✓ Analyze existing problems
  - ✓ Suggest the amendment and revision

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**Next plan to deploy NSW and ASW by 2012**

**Information Exchange between GAs**

- Stipulate the mechanism of information exchange between GAs
  - ✓ Create the directory of information needed to exchange
  - ✓ Identify the priority, method of exchange and implementation roadmap
  - ✓ Get the approval of agreements on exchanging information between GAs

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**Next plan to deploy NSW and ASW by 2012**

**Legal Framework and Business Process**

- Re-engineer customs procedure processes in accordance with the implementation of NSW and ASW
  - ✓ Model processes
  - ✓ Specify requirements on order, time, source and destination of information
  - ✓ Remove redundant points
  - ✓ Build unique sample processes
- Build the legal framework for NSW and ASW

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**Next plan to deploy NSW and ASW by 2012 (cont')**

**Participating the Pilot Project**

- Benefits when participating the ASW Pilot Project
  - ✓ Approach and learn experience in standardizing data, documents; building business processes and legal stipulations
  - ✓ Test and assess the technical design of the ASW Technical Prototype
  - ✓ Training experts and policy makers
  - ✓ Learn experience in implementing international standards and practices of customs procedure, technical standards and stipulations relating to e-commerce

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**Next plan to deploy NSW and ASW by 2012 (cont')**

**Data Harmonization and Standardization**

- Harmonization of information criteria and standardization of documents systems
  - ✓ Create a directory of documents and list of information criteria for each document
  - ✓ Identify and remove redundant documents and information to harmonize
  - ✓ Standardize documents and information format (length, data type, codes...)
  - ✓ Create Single Administrative Document (SAD)

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**Next plan to deploy NSW and ASW by 2012 (cont')**

**Memorandum of Understanding (MOU)**

- The MOU on the implementation of the ASW Pilot Project will be approved by NSC:
  - ✓ Participate in the role of a participant which does not have operational NSWs and uses simulated NSWs
  - ✓ Provide technical and legal personnel resources required under the ASW Pilot Project
  - ✓ Carry out the tasks and activities described in MOU
  - ✓ Mobilize the support and active participation of key players of the project: GAs, business and industries/individuals and logistics operators

GENERAL DEPARTMENT OF VIETNAM CUSTOMS

### Next plan to deploy NSW and ASW by 2012 (cont')

#### Implementation

- Implement pilot NSW: consisting of two phases
  - ✓ Phase 1: connect some key sectors together
  - ✓ Phase 2: connect all ministries involved together
- Deploy officially NSW in 2011
- Connect to ASW in 2012

GENERAL DEPARTMENT OF VIETNAM CUSTOMS

### Challenges ahead

- The distance between ICT systems of ministries and industries is quite different
- Mechanism of sharing information between ministries and industries has still not connected seamlessly
- Limited resources (both in human and financial resource) especially lack of high quality experts that have thorough understanding of international business process and data models like WCO data model...
- Time from now until 2012 is not far

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### Conclusion

The implementation of NSW and ASW is not only the mission of one organization or one agency but also of all GAs involved especially in case of current Vietnam economy, the co-operation between mutual GAs and between Vietnam Government with other Governments are very important and need to strongly promote under the control of ASW Vietnam National Steering Committee

GENERAL DEPARTMENT OF VIETNAM CUSTOMS

# THANK YOU!



**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/012**

## **UN/CEFACT Standards & Recommendations**

Submitted by: UN/CEFACT



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

**UN/CEFACT** United Nations Centre for Trade Facilitation and Electronic Business

## APEC-Single Window Working Group Phase 2 Workshop 4

**UN/CEFACT  
Standards & Recommendations**

**Mike.Doran@bluewin.ch**  
Chairman, UN/CEFACT Forum Management Group

6 - 8 April 2009 APEC SWSWG, Singapore 1

**UN/CEFACT** United Nations Centre for Trade Facilitation and Electronic Business

## Mission

**Simple, Transparent and Effective Processes  
for Global Business**

- **Analyze and understand** the key elements of international processes, procedures and transactions and working for the elimination of constraints;
- **Develop methods** to facilitate processes, procedures and transactions, including the relevant use of information technologies;
- **Promote** both the use of these methods, and associated best practices, through channels such as government, industry and service associations;
- **Coordinate its work** with other international organizations;
- **Secure coherence** in the development of standards

**Facilitating national and international transactions**

6 - 8 April 2009 APEC SWSWG, Singapore 5

**UN/CEFACT** United Nations Centre for Trade Facilitation and Electronic Business

## Agenda

- UN/CEFACT - Mandate, Mission & Structure
- Trade Facilitation & eBusiness Strategies
- International Trade Transaction Process
- UN/CEFACT Recommendations & Standards
- Single Windows
- The Way Forward

6 - 8 April 2009 APEC SWSWG, Singapore 2

**UN/CEFACT** United Nations Centre for Trade Facilitation and Electronic Business

## Structure

**Domains:** Accounting & Audit - Agriculture - Architecture, Engineering & Construction - Business Process Analysis - Customs - eGovernment - Electronic Trade Documents - Environmental Management - Finance - Harmonization - Health Care - Insurance - International Trade Procedures - Social Services - Statistics Collection and Reporting - Supply Chain - Transport - Travel, Tourism and Leisure

6 - 8 April 2009 APEC SWSWG, Singapore 2

**UN/CEFACT** United Nations Centre for Trade Facilitation and Electronic Business

## Agenda

**UN/CEFACT - Mandate, Mission & Structure**

6 - 8 April 2009 APEC SWSWG, Singapore 3

**UN/CEFACT** United Nations Centre for Trade Facilitation and Electronic Business

## International Trade & Business Process Group (TBG)

6 - 8 April 2009 APEC SWSWG, Singapore 3

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## Mandate

**"UN Centre for Trade Facilitation and Electronic Business supports activities dedicated to improving the ability of business, trade and administrative organizations, from developed, developing and transitional economies, to exchange products and relevant services effectively."**

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## Agenda

**UN/CEFACT's Trade Facilitation & eBusiness Strategies**

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## Trade Facilitation Strategy

- UN/CEFACT takes a holistic approach to the International Trade Transaction Process
- Works on the identification and elimination of barriers to trade
- Addresses the shift in focus from the threat to trade, to the threat from trade in Trade Security developments
- Promotes the use of UN/CEFACT instruments to address trade facilitation issues in the WTO
- Develops Capacity Building Programmes on trade facilitation implementation

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## Buy-Ship-Pay

INVOLVES			
<b>Commercial Procedures</b> <ul style="list-style-type: none"> <li>• Establish Contract</li> <li>• Order Goods</li> <li>• Advise On Delivery</li> <li>• Request Payment</li> <li>• Packing</li> <li>• Inspection</li> <li>• Certification</li> <li>• Accreditation</li> <li>• Warehousing</li> </ul>	<b>Transport Procedures</b> <ul style="list-style-type: none"> <li>• Establish Transport Contract</li> <li>• Collect, Transport and Deliver Goods</li> <li>• Provide Waybills, Goods Receipts Status reports etc.</li> </ul>	<b>Regulatory Procedures</b> <ul style="list-style-type: none"> <li>• Obtain Import/Export Licences etc</li> <li>• Provide Customs Declarations</li> <li>• Provide Cargo Declaration</li> <li>• Apply Trade Security Procedures</li> <li>• Clear Goods for Export/Import</li> </ul>	<b>Financial Procedures</b> <ul style="list-style-type: none"> <li>• Provide Credit Rating</li> <li>• Provide Insurance</li> <li>• Provide Finance</li> <li>• Execute Payment</li> <li>• Issue Statements</li> </ul>

Source: The UN/CEFACT International Supply Chain Reference Model 13

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## eBusiness Strategy

Based on:

- Cross-sectoral analysis (to promote interoperability & supply chain synchronicity)
- Business process and information modeling (to capture user requirements, independent of any specific technology)
- New technologies as they emerge (e.g., eXtensible Markup language (XML), webServices,...)
- International standards for enabling e-business development
- Disseminating results in an efficient way

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## Agenda

### UN/CEFACT Recommendations & Standards

- Trade Facilitation Recommendations
- eBusiness Standards

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## Agenda

### International Trade Transaction Process

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## UN CEFACT Recommendations

### UN/CEFACT Compendium of Trade Facilitation Recommendations (over 30 Recommendations)

- Recommendation 1 - UN Layout Key for Trade Documents (ISO 6422)
- Recommendation 4 - Trade Facilitation Structures
- Recommendation 18 - Trade Facilitation Measures
- Recommendation 25 - UN/EDIFACT (ISO 9735)
- Recommendation 33 - Single Window
- Plus:
- Code Lists, such as Recommendation 16 - LOCODE

Many are ISO Standards and covered in the WTO Trade Facilitation Negotiations

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## International Trade Transaction Process

The International Trade Transaction Process consists of integrated & coordinated flows of information, goods & payments

Source: UN/CEFACT International Supply Chain Reference Model

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## Priorities

### Trade Facilitation - work in progress

- Recommendations - Nos: 6, 34 & 35
- UNEDocs - International eTrade Documents
- Trade Facilitation Implementation Guide
- International Trade Transaction Project

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**UN RECOMMENDATION 1**

**UN Layout Key (UNLK)**

A standard and template for aligning international trade documents

Cross-Sector Transaction Data (mainly business driven)

Sector Specific Detail goods items, order line items ...

Document Function Specific (Free Text Area)

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**UNeDocs**

**OBJECTIVES**

- Align cross border data
- Increase semantic interoperability through reuse of UN/CEFACT Core Component Library
- Integration of paper (UNLK), EDI and XML through a harmonised data model
- UNLK document and box completion guidelines
- UN/EDIFACT Message Implementation Guidelines
- XML schema (subset schemas)
- Other related deliverables - electronic document implementation guidelines, aligned stylesheets, schematron or interactive electronic UNLK aligned forms

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**UNLK Sales Standards**

**Boxes**

**Order Structure**

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**UNeDocs Project**

Current Status: UN/CEFACT Bureau Review

Report delivered

Stakeholders being invited to discuss the way forward at UN/CEFACT Forum,

Rome - 20/24 April

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**UNLK Form Families**

Trade Documents – Quotation, Order, Invoice etc.

Materials Management Documents – Despatch Advice, Pick List, Packing List etc.

Transport Documents – Bill of Lading, Shipping Instructions etc.

Customs Documents – Export, Import, Transit Declarations, Cargo Reports etc.

Other Regulatory Documents – Cert of Origin, DGN etc.

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**Current Work Priorities**

**eBusiness Standards Development**

- Business Process Models
- Business Requirements Specifications-BRS
- Requirements Specification Mapping-RSM
- Core Component Technical Specifications
- Core Component Libraries
- Naming & Design Rules
- Schema Generation

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**UNeDoc**

Electronic Document Exchange XML or UN/EDIFACT

Paper Document aligned to UN Layout Key

Electronic Edit Form

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**Core Components**

Date

Name

Address

email

Phone #

Company

Name

Address

email

Phone #

Company

Party ID

Party

Invoice

Order.Date

Cost

Line Item

PO #

**CONTEXT**

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## Core Component Harmonization

**Core Component Harmonization Team**

Responsible for consistency and harmonisation of core components **across** business domains and sectors, contributing to a concise and well-defined glossary of business terms, business data semantic definitions, and structuring of the content of data exchanges.

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## Process

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Once approved, we assign a **globally unique ID**

We use the Oxford English Dictionary

Unique ID	Dictionary Entry Name	CC Type	Definition
UN00000010	Address. Details	ACC	The information relevant to a specific address.
UN00000014	Address. Postcode. Code	BCC	The postal code of the address.
UN00000033	Address. Street Name. Text	BCC	A name of a street or thoroughfare.
UN00000013	Address. City Name. Text	BCC	The name of the city, town or village of this address.
UN00000203	Address. Country. Identifier	BCC	A unique identifier of a country, e.g. as specified in ISO 3166 and UNECE Rec 3.
UN00000204	Address. Type. Code	BCC	The type of this address such as business address or home address.

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## The Process with a Registry

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## Core Component Harmonization

### Current Picture

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## UN CEFACT Stairway of Standards

**First Floor**

- Document Simplification and Standardization: More Aligned Documents - Recommendations 6 (and Annex), 11 and 22
- Document Simplification and Standardization: UN Code Lists - common understanding of data
- Document Simplification and Standardization: UN Recommendation 1 - UN Layout Key, UN Trade Data Elements Directory (UNTDDED), Toolkit and Forms Repository
- Process Analysis and Simplification: International Supply Chain Reference Model, Unified Modeling Methodology (UMM), Unified Modeling Language (UML), Audit Methodologies
- Taking the First Step: Collaboration Between Public and Private Sectors; UN/CEFACT Recommendation 4 - establishing a mechanism for government and trade dialogue and consultation

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## Core Component Harmonization

**This is genuine INTEROPERABILITY**

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## UN CEFACT Stairway of Standards

- UNeDocs & Recommendations 34 & 35 are under development
- Paperless Trading: UN Recommendation 33; UN Recommendation 35
- Single Window: UN Recommendation 33; UN Recommendation 35
- Cross Border Data Exchange: UNeDocs + WCO Data Model = Cross Border Reference Data Model (CBRDM- A Concept)
- Electronic Commerce: UN Recommendation 25 UN/EDIFACT; UN Recommendations 26, 31 and 32 enabling an e-Commerce environment
- National Data Simplification: UNTDED, UN CEFACT Core Components (Technical Specification and Libraries); UNeDocs; UN Recommendation 34
- Trade Facilitation: Recommendation 18 - Making International Trade Easier with measures for commerce, payment, transport and official controls; UN Recommendation 8 for Unique Consignment Reference Number

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**eBusiness Standards Cooperation**

**Formal Memorandum of Understanding (MoU)**  
**Commits participants to:**

- Avoid divergent and conflicting approaches to standardization
- Eliminate duplication of effort
- Provide a clear roadmap for users
- Ensure intersectoral coherence in the field of electronic business



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**Single Window Definition**

UN/CEFACT Recommendation 33

*“A facility that allows parties involved in trade and transport to lodge standardised information and documents with a single entry point to fulfil all import, export and transit related regulatory requirements. If information is electronic, then individual data elements should only be submitted once.”*

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**Agenda**

**Single Windows**

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**Draft UN/CEFACT Recommendation 34**

**Draft UN/CEFACT Recommendation 34**  
 Data Simplification & Standardisation for International Trade

*Current Status: In Open Development Process - Step 5 - Public Review until UN/CEFACT Forum, Rome - 20/24 April*

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**Single Window Instruments**

- UN/CEFACT Recommendation & Guidelines on Establishing a Single Window (Recommendation No 33)
- Draft UN/CEFACT Recommendation 34 - Data Simplification & Standardization for International Trade
- Draft UN/CEFACT Recommendation 35 - Establishing a Legal Framework for an International Single Window
- UN/CEFACT Repository of Single Window applications

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**Draft UN CEFACT Recommendation 34**

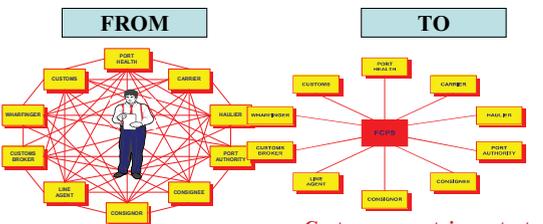
Recommendation 34 recommends data simplification and standardization by:

- **Capturing** existing requirements into a national trade data inventory
- **Defining** the individual data elements
- **Analyzing** the need for, and context of the data requirements
- **Reconciling** the national trade data inventory with international standards

TO PRODUCE A SIMPLIFIED, STANDARDIZED NATIONAL DATA SET FOR THE EXCHANGE OF INFORMATION WITH A SINGLE WINDOW FACILITY

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**Streamlining trade information: The Single Window Concept**



**FROM**

**TO**

**Mountains of paper**  
 30% mistakes  
 Weeks for clearance

**Customs, export, import, etc. processes together**  
 Many documents filed together  
 Appr. 1 hour for clearance

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**UN/CEFACT SW REPOSITORY**

Overview of existing Single Window facilities in:

- Finland
- Germany
- Guatemala
- Hong Kong SAR (China)
- Mauritius
- Japan
- Malaysia
- Senegal
- Singapore
- Sweden
- United States
- Ghana

**Single Window Working Group (Asia-Pacific)**

Australia (chair)	New Zealand
Canada	Philippines
China	Singapore
Japan	United States
Korea	Viet Nam

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**Draft UN/CEFACT Recommendation 35**

**Draft UN/CEFACT Recommendation No 35**  
Establishing a Legal Framework for an International Single Window

*Current Status: In Open Development Process - Step 5 - Public Review until UN/CEFACT Forum, Rome - 20/24 April*

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**THE WAY FORWARD**

**The electronic Business, Government and Trade Initiative - eBGT**

**Strengthening Deliverables:**

- Compelling demand for bringing together an end-to-end global core of interoperable standards for buy-ship-pay model in support of e-business, e-government and e-trade
- Improved tools and assistance for specific processes, e.g., core component harmonization / data warehouse
- Seeking resources for time-critical projects
- eBGT approved by UNECE Executive Committee

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**Cross Border Data Exchange between Single Windows**

6 - 8 April 2009 **Must be based on International Standards** 42

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**THE WAY FORWARD**

**The electronic Business, Government and Trade Initiative - eBGT**

- 18-month initiative to facilitate achieving priority deliverables
- clarifying highest priorities of stakeholders
- identifying facilitation gaps in recommendations and standards
- improving outreach
- forming special volunteer eBGT expert support team
- seeking extra-budgetary funding

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**UN/CEFACT Trade Facilitation Implementation Guide**

- To assist countries design and implement national and regional trade facilitation strategies based on:
  - A Total Trade Transaction approach to Trade Facilitation
  - International standards and recommendations
- Guide also assists countries to address trade facilitation issues currently under discussion at the World Trade Organisation (WTO)
- Combined effort of GFP partners (WCO, World Bank, UNECE (UN/CEFACT), UNCTAD)

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**Future UN/CEFACT Forums**

**Participate in the development & implementation of UN/CEFACT Trade Facilitation & eBusiness standards.**

**Join us at our upcoming Forum meetings:**

2009

- April 20-24, Rome, Italy
- September 28-2 October, Sapporo, Japan

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**UN/CEFACT Trade Facilitation Implementation Guide**

- Hardcopy, CD-ROM and Website
- Package available June 2009
- 2 Pilot workshops held in 2008
- 5 workshops envisaged for 2009 – 2010
- Developed in Partnership with GFP (World Bank, WCO, UNCTAD, UNIDO)

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**UN/CEFACT**  
SIMPLE, TRANSPARENT AND EFFECTIVE PROCESSES  
FOR GLOBAL COMMERCE

<http://www.UNCEFACT.org>

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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/014**

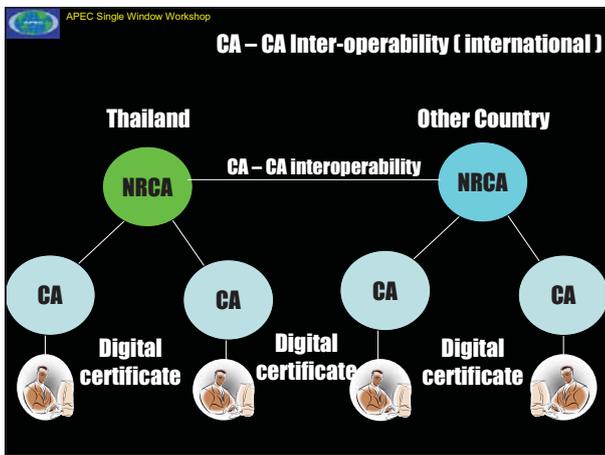
## **Thailand National Single Window**

Submitted by: Thailand



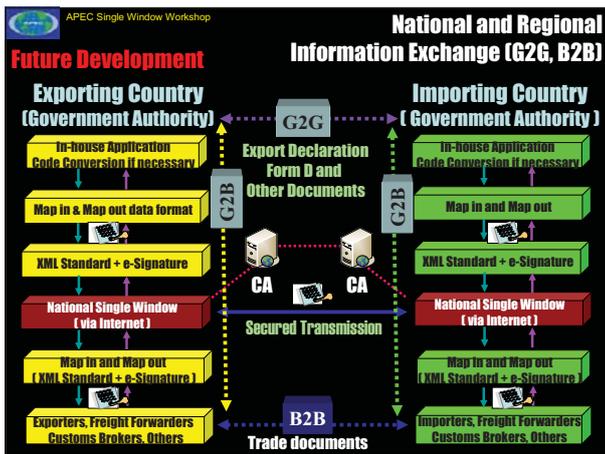
**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**





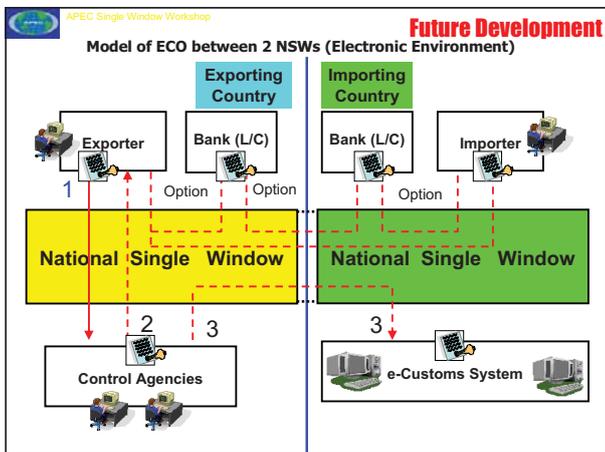
**Single Window Development**

Key activities (example)	Key actions (example)
Data harmonization and standardization	<ul style="list-style-type: none"> <li>Nominate specific team for data harmonization and standardization</li> <li>Identify clear direction of standard used</li> <li>How to share resource for data harmonization and standardization exercise?</li> </ul>
Security & message inter-operability	<ul style="list-style-type: none"> <li>Use standard messages developed by international organization (WCO, UN ...)</li> <li>Use PKI and digital signature</li> <li>Recommend message encryption for all financial transaction</li> <li>Use secure Trust servers (SSL certificate)</li> <li>Conduct CA-CA inter-operability (national)</li> <li>Adopt policy security (ISO/IEC : 17799/27001)</li> <li>Conduct CA-CA inter-operability (international)</li> </ul>
Development of national standard data set	<ul style="list-style-type: none"> <li>Conduct data harmonization and standardization</li> <li>Use of international standard &amp; UN recommendations (WCO data model, ISO, ...)</li> </ul>



**Single Window Development**

Key activities (example)	Key actions (example)
Clarification with Legal Framework	<ul style="list-style-type: none"> <li>Formulation of agreement / MOU (if required)</li> <li>Revision of relevant laws and regulation</li> <li>Enable single window in paperless environment</li> <li>Understanding legal framework in the same standard and practice</li> </ul>
Clarification of Communication methodology	<ul style="list-style-type: none"> <li>How to communicate in SW environment</li> <li>Who &amp; whom need to communicate in the normal &amp; unexpected cases</li> <li>How to deal with relevant stakeholders in the normal &amp; unexpected cases</li> <li>Implementation guideline, user manual and contingency plan</li> </ul>
Clarification of message standard and language used	<ul style="list-style-type: none"> <li>Use of international standards and UN recommendations (WCO data model, ISO, ...)</li> <li>Use of international language for future data exchange with other countries</li> <li>NSW may need to support more than one standard.</li> </ul>



**Single Window Development**

Key activities (example)	Key actions (example)
Capacity building programs and Promotion	<ul style="list-style-type: none"> <li>Single Window environment</li> <li>Data harmonization and standardization</li> <li>Security in Single Window environment</li> <li>Increase new participants in single window environment</li> <li>Share experience with other stakeholders</li> <li>Well understanding of legal framework</li> <li>User manual and implementation guideline</li> </ul>
Collaboration with International organizations and forums	<ul style="list-style-type: none"> <li>Participate in International forums (WCO, ASEAN, APEC, J)</li> <li>Participate in International seminar and workshop</li> <li>Initiative the cross-border pilot project</li> <li>Sharing resource for conducting data harmonization and standardization.</li> </ul>

**Single Window Development**

Key activities (example)	Key actions (example)
Establishment of Political Commitment	<ul style="list-style-type: none"> <li>Government mandate</li> <li>Nomination of the strong leading agency</li> <li>Clear identification of financial model</li> </ul>
Establishment of Working body	Establishment of Steering Committee & Working Groups
Development of national roadmap (What, where, when, how, how much, who & whom)	<ul style="list-style-type: none"> <li>Development &amp; implementation phases</li> <li>Areas and participants in the pilot project</li> <li>Data harmonization &amp; standardization</li> <li>Simplification of process &amp; procedures</li> <li>Legal framework for paperless environment</li> <li>What, how, who and whom get involved</li> <li>Security inter-operability</li> <li>Message inter-operability</li> <li>CA-CA inter-operability</li> <li>Communication methodology</li> <li>Capacity building programs</li> </ul>

**Ongoing and Future Development**

- Development of NSW phase II (2009-2011)
- Conduct & review data harmonization and standardization
- Increase stakeholders in national single window environment
- Enable national single window in paperless environment
- Revise national legislation to enable live data exchange with other countries
- Extend CA – CA inter-operability with other countries
- Apply policy security (ISO/IEC 17799/27001) to NSW systems



## Lessons Learned & Recommendations (national)

- ❖ **Strong leading agency is important for success of NSW**
- ❖ **Political and unclear business model of single window operation impacts the delay of Single Window implementation.**
- ❖ **It is necessary to have a specific team responsible for data harmonization and standardization**
- ❖ **Utilization of modeling tools can guide and assist analysts and system designers in accuracy, acceleration and quality assurance.**
- ❖ **Data Harmonization and standardization of all import/export-related procedures is very important exercise to enable single window environment towards paperless trading**
- ❖ **Establishment of National Root CA and CA – CA inter-operability activity for mutual trust and recognition among different CAs are necessary.**



## Recommendations ( international )

- ❖ **Establishment of business model for message inter-operability among APEC economies.**
- ❖ **Nomination of the single window system (should be national single window if available) to enable a single point of linkage among single window systems within APEC economies.**
- ❖ **Security inter-operability among APEC economies is necessary.**
- ❖ **CA – CA inter-operability among APEC economies is needed for future data exchange among APEC economies.**
- ❖ **Data Harmonization and standardization is needed for future data exchange among APEC economies.**
- ❖ **Formulation of legal framework among APEC economies to enable cross-border data exchange towards paperless trading.**
- ❖ **Use of international language is needed for future data exchange among APEC Economies.**
- ❖ **Collaboration with other forums related to international standard, data harmonization and best practices is recommended.**



# Thank you



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**Asia-Pacific  
Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/015**

## **ASEAN Single Window**

Submitted by: ASEAN



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**



## ASEAN SINGLE WINDOW

by:  
ATTY. REYNALDO S. NICOLAS  
Deputy Commissioner, Assessment and Operations Coordinating Group  
Bureau of Customs  
Republic of the Philippines

## VISION OF THE ASW

Accelerate ASEAN economic integration by 2015.

## OUTLINE

- History and Background
- Mandate
- Organization
- Synchronization & Standardization Initiatives
- Accomplishments
- Next Steps

## ORGANIZATIONAL MOBILIZATION



## ASEAN SINGLE WINDOW ACTIVITIES (2004 to 2009)

- 3 Steering Committee Meetings (2007 -08)
- 8 Technical Working Group Meetings (2007-09)
- 6 Legal Working Group Meetings (2007-09)
- 8 Inter-Agency Task Force Meetings (2004-06)
- 7 Capacity Building Workshops (2006-08)

## MANDATE FOR ASW

- ASEAN HEADS OF STATE agreed to establish the ASW to expedite cargo clearance - 9<sup>th</sup> ASEAN Summit - Bali, Indonesia, Oct 2003  
  
**“Adopt the Single Window approach including the electronic processing of trade documents at national and regional levels.”**
- ASEAN ECONOMIC MINSITERS (AEM) Meeting agreed to establish an ASEAN Inter-Agency Task Force to design an appropriate *model* for the ASW - Yogyakarta, Indonesia, 19-20 Jan 2004

## INTERNATIONAL DONOR SUPPORT FOR ASW

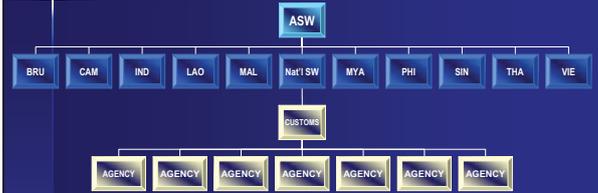
1. ASEAN-EU Program for Regional Integration and Support (APRIS) – Phase 1 & Phase 2
2. US-ASEAN Training Assistance and Training Facility, Phase 2

## DEFINITION: ASEAN SINGLE WINDOW

"The ASEAN Single Window (ASW) is the *environment* where National Single Windows of Member Countries operate and integrate."

(from Agreement to Establish and Implement the ASW, AEM, 09 Dec 2005)

## ASEAN SINGLE WINDOW CONCEPT (Bottom-to-Top Strategy/Integration of National Single Windows)

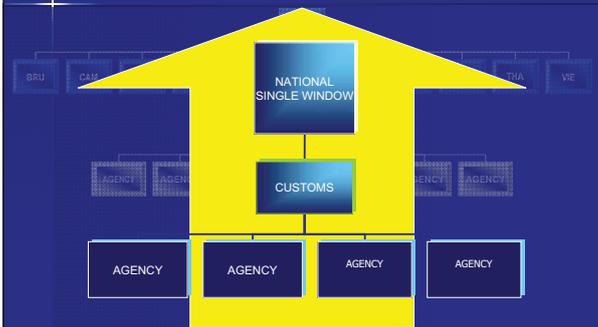


## DEFINITION: NATIONAL SINGLE WINDOW

- Single submission of data and information;
- Single and synchronous processing of data and information;
- Single decision-making for Customs release and clearance.

(from Agreement to Establish and Implement the ASW, AEM, 09 Dec 2005)

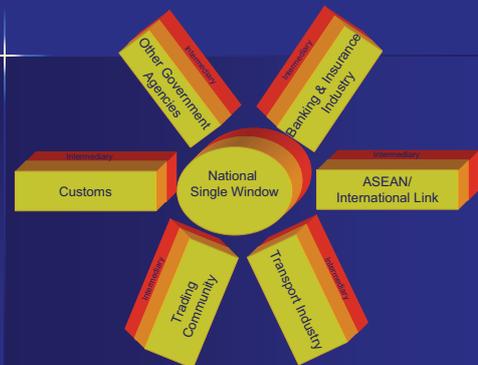
## ASEAN SINGLE WINDOW CONCEPT (Bottom-to-Top Strategy/Integration of National Single Windows)



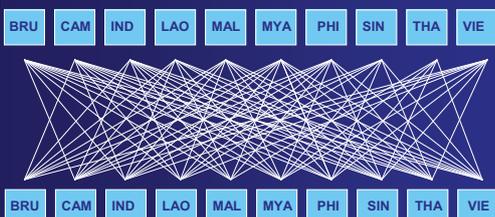
## NATIONAL SINGLE WINDOW

Release Time: 30 minutes  
Single Processing Decision-Making

## ASW = 10 National Single Windows



## ONE-TO-MANY OR ONE SINGLE WINDOW



$$\text{Number of bilateral combinations} = 45 = \frac{n + (n-1)}{2}$$

## SYNCHRONIZATION & STANDARDIZATION EFFORTS

- ✓ Agreement
- ✓ Protocol
- ✓ Technical Document - Architecture
- ✓ ASEAN Customs Declaration Form
- ✓ ASEAN Cargo Processing Model
- ✓ ASW Readiness Assessment Survey
- ✓ ASEAN Customs Declaration

## ASW AGREEMENT

### *Agreement to Establish and Implement the ASEAN Single Window*

signed by ASEAN Economic Ministers (AEM), 09 December 2005, Kuala Lumpur, Malaysia

## ASW TECHNICAL DOCUMENTATION

Architecture of the ASEAN Single Window

### MODELS & METHODOLOGIES

- WCO
- UNTDED
- UMM
- UML
- UN & Other International Conventions

## ASW AGREEMENT: OBLIGATION OF MEMBER COUNTRIES

Operationalize their National Single Windows before:

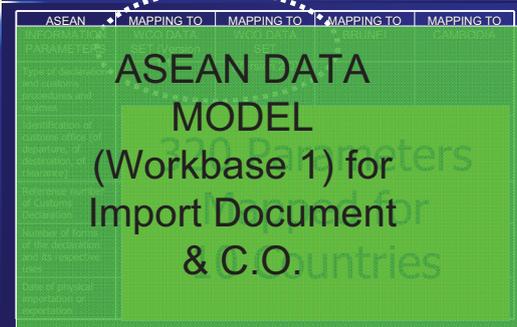
### ■ 2008

- Brunei Darussalam
- Indonesia
- Malaysia
- Philippines
- Thailand
- Singapore

### ■ 2012

- Cambodia
- Lao PDR
- Myanmar
- Vietnam

## COMPARATIVE MATRIX OF ASEAN INFORMATION PARAMETERS FOR CARGO RELEASE AND CLEARANCE



## ASW PROTOCOL

### *Legal and Technical Frameworks for the ASEAN Single Window*

signed by Senior Economic (Finance) Ministers (SEOM), 2006

## ASEAN CUSTOMS DECLARATION FORM

- FORMAT: Single Administrative Document (SAD)
- MANUAL PROCESSING: Document should be uniform
- COMPUTERIZED PROCESSING: Uniform data parameters
- DATA PARAMETERS: 48 Data Elements

(14<sup>th</sup> DG Meeting, Cebu, Philippines, Nov 2005)

## ASW TECHNICAL GUIDE

- Compilation of relevant international standards, procedures, documents,
- To be adopted as deemed appropriate by Member Countries
- Subject to regular reviews and updates in line with new technological developments

## CLASSIFICATION OF ASW DATA ELEMENTS

1. Compulsory - Required elements for ASW purposes by all Member Countries
2. Mandatory - Required by at least one Member Country
3. Conditional - classified as conditional by at least one Member Country (e.g. industry-based, avian)
4. Optional - All data requirements that are open to all Member Countries for any of purposes of their NSWs within the ASW environment

## PROTOCOL: Article 8 - APPLICATION OF I.C.T.

### APPLICATION OF ICT

- Appropriate Technologies
- Open Architecture
- International Standards
- UN/EDIFACT
- XML
- Secure Infrastructure

## REGIONAL/FEDERATED SINGLE WINDOW MODEL

The ASW is the secured environment where NSWs integrate and operate.

The ASW constitutes a regional facility to enable a seamless, standardized and harmonized *routing and communication of trade and customs-related information and data* for customs clearance and release from and to NSWs.

*Trade and related customs data and information will stay within, and belong to respective Member States*”.

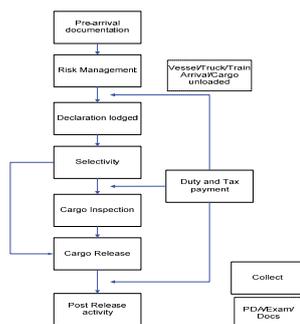
## ASEAN CARGO PROCESSING MODEL

- Import (Air)
- Import (Sea)
- Export
- Transit
- Transshipment
- Bonded Movement Of Goods
- Warehouses
- Temporary Admission

## ASW EXCHANGE GATEWAY PROJECT 2008

- Led by Indonesia and Malaysia
- Piloted the Federated Approach
- 7 Members involved
- USAID-supported
- Used the CEPT Form D
- Successful by November 2008

### ASEAN CARGO PROCESSING MODELS Import - Sea (1 of 8)



## LEGAL AND REGULATORY- RELATED ACTIVITIES (2007 to 2009)

- Conducted Capacity Building Workshops on legal and e-commerce aspects of ASW
- Agreed to finalize an MOU for the implementation of the technical solution for the ASW for mid 2009

## PHILIPPINE-THAILAND ASW PILOT PROJECT

- Signed MOU in December 2005
- APRIS-supported
- 2 Bilateral Technical Meetings in Manila and Bangkok - 21 Mar 2006 & May 30, 2006
- Identified pilot systems
  - Country of Origin Document
- Successful first stage test in May 2006

## 2009 Activities

- 2 Steering Committee Meetings
- 2-3 Technical Working Group Meetings
- 2-4 Legal Working Group Meetings
- 2 Capacity Building

## NEXT STEPS

- Deploy the physical infrastructure for the ASW by 2009. Provide the ff:
  - 10 servers
  - Software
  - Applications
  - Security
  - Telecommunications
- Sign the MOU for the deployment of the ASW System
- Continue to further develop NSWs

Thank you.

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Economic Cooperation**

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**2009/SCCP/SWWG/WKSP4/016**

## **Indonesia National Single Window**

Submitted by: Indonesia



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

## Indonesia National Single Window INSW Preparation Team

Jakarta, April 2009

## Momentum of INSW implementation

NSW System implementation in Indonesia as Momentum :

- It is precious time & good influence for the fundamental public service (export-import) to provide the transparency of service
- **Simplify their business process** thus the service be much more simple, fast and effective
- **Harmonize and Synchronize** ,the issuing permit license therefore no overlapping licensing that trick the stakeholders
- The fundamental changes and transform in whole aspects of GA's related with export and import
- To show that data and information integration electronically among the GA's successfully actualized through one single national Portal.
- To urge all GA to produce the service level for stakeholders by **Service Level Arrangement (SLA)** → to give definite and transparent in service.

The challenges in implementing INSW:

- The changes process from manual to electronic and internet ("**change-management**" process)
- With **Automation process**, The process must be clear and transparent to avoid the tolerance and policy not in line with the existing regulation;
- System only design to receive and read the apparent and quantitative parameter thus all process must define apparently;
- To enforce the rule and regulation in order to expect on **Assured and Apparent** of regulations
- Examining of **licensing (analyzing point)** electronically in NSW Portal, requiring the clear of quantitative parameter thus urging the all GA's to coordinate in updating **Larias content**.

## Background

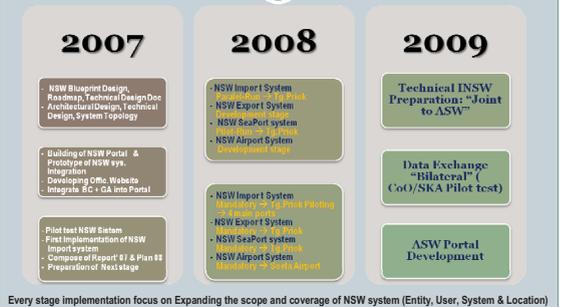
As response of raised export and import issues related to:

- Lead time for container import in Indonesia is still relatively long
- High cost economy
- Service & License System in GA's are still manually handled ;
- Too many point of services
- A lack of information

Applying the agreed concept and technical aspects as stated on:

- Declaration of ASEAN Concord II (Bali Concord II),
- Agreement to Establish and Implement the ASEAN Single Window (ASW Agreement),
- Protocol to Establish and Implement The ASEAN Single Window (ASW Protocol),
- ASEAN Single Window (ASW) Technical Guide,

## Development Direction

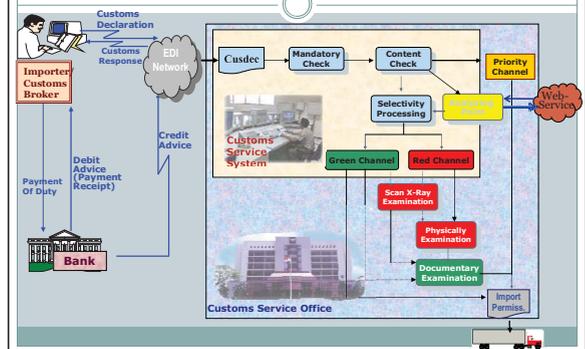


## Concept and Definition of NSW

The **National Single Window (NSW)** is a system, which enables:

- a **Single Submission** of data and information;
- a **Single and Synchronous processing** of data and information;
- a **Single Decision-making** for customs release and clearance of cargo.

## Procedures of Import Clearance



## National Single Window Principles

- One single **National Portal**, with one **Web-address (Internet)** → which is officially applied to carry out all kind of transactions related to "trading & logistic" activities;
- National Portal ,which is functioned as "**Messaging-Hub**", connect all related entities (GA's and Trader)
- Authorization of licensing, permit & recommendation of ex-im → remains within the authorization of each GA's;
- **Output** of licensing, permit & recommendation from GA's shall be **Uploaded** or transmitted electronically to Database of National Portal , therefore Customs (DGCE) are allowed to give approval in timely manner ( for **Customs Clearance & Release**);

## NSW portal system specification

NSW portal system specification:

Applying the web service technology

Data element standard:

- WCO Data Model
- 48 ASEAN data element recommendation

Integrate and interoperability with GA's system related to import permit license





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2009/SCCP/SWWG/WKSP4/017

## **Single Window Legalities: Creating the Legal Infrastructure for Cross-Border Interoperability**

Submitted by: WCO



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**

## Single Window Legalities: Creating the Legal Infrastructure for Cross-Border Interoperability

Professor William J. Luddy, Jr.  
Singapore - April 2009

### UN/CEFACT Recommendations

- Recommendation 33 - *Recommendation and Guidelines on Establishing a Single Window to Enhance the Efficient Exchange of Information between Trade and Government*
  - Published by UN/ECE in 2005
- Legal Group, in cooperation with the International Trade and Business Processes Group – International Trade (TBG15), began work on Recommendation 35 in 2006
- Draft Recommendation 35 approved for Public Review in November 2008 at the UN/CEFACT international Forum in Saly, Senegal

### DISCLAIMER

Please note that the views and analysis that are provided here or discussed during our session are not necessarily those of any organization with which I may be involved. They represent my views on the legal topics that we will cover today.

### UN/CEFACT Recommendations

- Legal Group, in cooperation with the International Trade and Business Processes Group – International Trade (TBG15), began work on Recommendation 35 in 2006
- **Draft Recommendation 35 approved for Public Review in November 2008 at the UN/CEFACT international Forum in Saly, Senegal**

### Introduction

- International recognition of the importance of the legal infrastructure of the Single Window for International Trade.
- Regional Developments: ASEAN, APEC, SEE, EurAsEC (CIS Countries Customs Union), The European Commission, and others
- **Leading International Organizations**
  - The World Customs Organization (WCO)
  - United Nations Commission on International Trade Law (UNCITRAL)
  - UN Centre for Trade Facilitation and Electronic Business (UN/CEFACT)
- **Industry Groups**

### UN/CEFACT Recommendation 35

1. Undertake a study (including e-Commerce legal benchmarking and 'gap analysis' studies) in order to determine an appropriate set of measures that may need to be taken to address legal issues related to national and cross-border exchange of trade data required for Single Window operations (The International Trade Single Window Legal Framework.)
2. Use the UN/CEFACT checklist and its guidelines (Annexes A and B) to ensure that the most frequent legal issues related to national and cross-border exchange of trade data are included in the framework.
3. Amend existing legislation, regulations, decrees, etc., if necessary, to address the identified legal issues and gaps.
4. Utilize international standards, international legal instruments, and soft law instruments, where available, throughout the entire process of creating a legally enabling environment for an International Trade Single Window.

### Introduction (Continued)

- Customs New Role in Trade Facilitation
- International Trade Development
- The Technical Development of the Single Window
- The Complexities of the Legal Issues in Cross-Border Single Window Operations
- Private Sector Concerns

### UN/CEFACT Recommendation 35

- **Guidelines to the Recommendation on Establishing a Legal Framework for the International Trade Single Window**
  - Annex A: Checklist of Legal Issues for Single Window Operations
  - Checklist Guidelines
  - Annex C: Toolkit

## UN/CEFACT Recommendation 35

### • Annex B: Checklist Guidelines

1. A legal basis for implementing a Single Window facility
2. SW facility structure and organization
3. Data Protection
4. Authority to access and share data between government agencies
5. Identification, authentication, and authorization

## WCO-UNCITRAL Joint Legal Task Force

- **Invitation to UNCITRAL to participate jointly**
  - The core legal body of the UN General Assembly in the field of international trade law
  - Private international law focus
  - UNCITRAL Plenary approval in July 2008
- **In addition to governments, wide participation of other international organizations**
  - UN/CEFACT, World Bank, WTO, UNCTAD, etc.
  - Private Sector

## UN/CEFACT Recommendation 35

6. Data quality issues
7. Liability issues (obligations and responsibility)
8. Arbitration and dispute resolution
9. Electronic documents
10. Electronic archiving
11. Intellectual property rights and database ownership
12. Competition

## WCO-UNCITRAL Joint Legal Task Force

- **Inaugural Session of the JLTF**
  - Brussels - November 2008
- **Country Participation:**
  - Angola, Columbia, El Salvador, Indonesia, Netherlands, Panama, Philippines, Singapore, Turkey, and the United States
- **International Organizations:**
  - European Commission, UN/ECE/CEFACT
- **Private Sector:**
  - International Chamber of Commerce (ICC)
  - International Air Cargo Association (TIACA)

## WCO-UNCITRAL Joint Legal Task Force

- **WCO's international role in assisting Customs Administrations**
- **Technical Development Activities**
- **Recognition of the importance of the legal issues related to the Single Window in cross-border transactions**
- **The growing role of Customs Administrations in trade facilitation**

## WCO-UNCITRAL Joint Legal Task Force

- **Preliminary Set of Legal Issues:**
  - Creating a legally enabling environment at the domestic level (i.e., enabling legislation);
  - Authorization to exchange and share information (in data messages) between government agencies both nationally and internationally;
  - Authorization to access to information by other agencies and governments;
  - **Identity management;**
  - Privacy and confidentiality requirements in the areas of personally identifiable information and trade and competitive data;

## WCO-UNCITRAL Joint Legal Task Force

- **Involvement of UNCITRAL**
- **WCO Permanent Technical Committee**
  - Approves Terms of Reference
  - Fall 2007
- **Goal: Develop a High-Level Reference Document on the Legal Issues for the International Single Window in Coordinated Border Management**

## WCO-UNCITRAL Joint Legal Task Force

- Legal validity and authentication of documents exchanged in electronic form;
- **Electronic and digital signatures;**
- **Cross-border authentication and mutual recognition;**
- Data protection and information security;
- Data collection, sharing, amendment, deletion, accessibility, retention and archiving;
- Risk management considerations (especially for OGA's/PGA's);
- Liability issues related the operation of Single Window facilities (including domestic and cross-border MOUs, interconnection security agreements, service level agreements, end-user agreements, disclaimers etc.);

### WCO-UNCITRAL Joint Legal Task Force

- Transferable records including, e.g., electronic transport records (negotiable and non-negotiable) and electronic registries;
- Intellectual property rights issues;
- The implications of international standards, including data and the normative definitions prescribed in legislation that might need to be altered by agencies;
- Ensuring that enforcement actions can still be carried out, for example, through possible implications on the laws of evidence and jurisdiction over individuals;

### WCO-UNCITRAL Joint Legal Task Force

- Data ownership (including national Government interests);
- The extent to which the revised Kyoto Convention (and other WCO instruments including the SAFE Framework) might be adjusted owing to the legal implications of the Single Window;
- The impact of “click-through” agreements, online help facilities and other possible Single Window services;
- Considerations related to government duties, taxes and fees collection/distribution and refunds;
- Integrated risk assessment;
- The legal implications of different technical architectural options for Single Window facilities.

## Single Window Legalities:

**The Adventure Continues!**

# Thank you

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**2009/SCCP/SWWG/WKSP4/020**

## **Single Window Working Group Recommendation 3**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**



**Sub-Committee on Customs Procedures  
Single Window Working Group**

**Recommendation 3**

## Standards and Instruments Survey

The survey was designed to collect further and more detailed information about the ways in which economies have adopted international instruments and standards, the reasons why they have chosen particular standards, the successes and difficulties that they have experienced, and the lessons learnt that may benefit others. The survey consisted of 48 questions broken down into eight sections:

- Project Management
- Process Analysis
- Process Simplification and Improvement
- Document Simplification and Standardisation
- Data Harmonisation
- Data Exchange, Messaging and Security
- Integration with Other Systems
- General

## Recommendation 3

- Background
- Concept Paper
- Standards and Instruments Survey
- Workshop
- Standards and Instruments Dossier
- Recommendation 3 Final Report
- Benefits

## Workshop

Four Key Themes

- Process analysis, simplification and improvement
- Document simplification and standardisation
- Data harmonisation and exchange, messaging and security
- Systems integration

Workshop Activities:

- Experience Sharing
- Discuss all aspects of standards and instruments in single window design
- List of recommendations compiled

Workshop outcomes included in Peru's Recommendation 3 final report

## Background

Recommendation 3

The APEC economies adopt the use of internationally recognised instruments and standards in single window design to increase international interoperability



APEC  
SCCP Single Window Strategic Plan  
2007

## Standards and Instruments Dossier

The dossier is a comprehensive reference guide developed in 2008 for use by APEC economies and interested parties. It provides valuable information on the relevant international trade and single window standards, instruments and economy specific initiatives.

This dossier:

- Consolidates relevant information into a comprehensive single document
- Assists economies to identify relevant standards and instruments
- Where possible, it will identify the economies that have adopted particular standards.

## Concept Paper



The work consisted of three phases:

- The outcomes of the standards and instruments survey
- The outcomes and recommendations of the experience exchange workshop
- A final report including a dossier of international and proprietary instruments and standards

The use of the phrase 'instruments and standards,' within the context of this document, refers to those international and proprietary instruments and standards related to single window design, development through to implementation. These instruments and standards can be economy-specific or derived from international organisations.

## Final Report

Survey results 'Adoption of international instruments and standards in APEC single window initiatives'  
*Peru's Standards Questionnaire 2008*

Outcomes from the workshop 'Experience exchange in the adoption of international instruments and standards in Single Window initiatives'  
*Arequipa, Peru, 20-22 May 2008*

Dossier of single window related instruments and standards





## Benefits

- Promoting and influencing the adoption of commonly used and accepted international standards as a means of enabling and supporting single window international interoperability.
- Providing an opportunity for government and the private sector to network with subject matter experts discussing their experience in the adoption and use of standards and the sharing of lessons learnt.
- Establishing a comprehensive reference document describing international standards and instruments and proprietary standards available and those currently in use provides a valuable reference guide for decision makers.
- Providing international exposure of the work of the APEC economies.



# Thank you

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**2009/SCCP/SWWG/WKSP4/022**

## **Single Window Working Group Recommendation 4**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**



*Sub-Committee on Customs Procedures  
Single Window Working Group*

*Recommendation 4*

## Host Site

Factors Considered in Identifying Suitable Host Sites

- The relevance of the host to the subject matter, APEC and the single window working group
- The host's ability and willingness to publish this information
- Cost
- Ability to update and maintain the site

Two Offers were received

- APEC website
- World Customs Organization new single window web page

## Recommendation 4

- Background
- Concept paper
- Host site
- International Interoperability
- Benefits

## WCO Single Window Page



## Background

Recommendation 4

The SCCP establish a repository to capture information regarding relevant Single Window related initiatives in international trade facilitation and supply chain security.



APEC  
SCCP Single Window Strategic Plan  
2007

## Supporting International Interoperability

- Adopt and incorporate existing international standards and tools
- Build upon relevant recommendations
- Learn from the experiences of other economies
- Draw upon and engage relevant international expertise
- Learn about the benefits and pitfalls encountered when testing changes to reporting processes and in developing new system functionality

## Concept Paper



Concept Paper Inclusions:

- Intent
- Information collection template
- Timeframes
- Identifying a host or hosts
- Benefits
- Constraints

It was envisioned that the repository would contain examples of:

- What is being tested
- Who is testing what
- The results of the activity (or preliminary results)

## Benefits

- Economies will have the ability to publish their work and share experiences, lessons learnt, progress and test results
- Economies will have visibility of, and access to, results and/or preliminary results of pilot projects, proofs of concept and trials prior to planning their activities
- Establishes a valuable information repository for subject matter not currently captured or available in one place
- Potential to provide valuable information to international standards setting organisations in areas of potential future development in the international trade reporting environment
- A contact point may be provided as part of the information captured to provide further information and/or advice regarding their activities
- Provides an opportunity for economies to consider value in joining pilot projects, proofs of concept and trials with other economies
- Sharing APEC economy's experience in aligning to international standards and instruments
- International exposure to the work being undertaken by APEC economies
- Demonstrates areas of potential for international interoperability
- Increases interest in Single Window initiatives





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**2009/SCCP/SWWG/WKSP4/023**

## **Single Window Working Group Recommendation 5**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**



**Sub-Committee on Customs Procedures  
Single Window Working Group**

**Recommendation 5**

## Capacity Building Workshop Series



## Recommendation 5

- Background
- Concept paper
- APEC SCCC SWWG Capacity Building Workshop Series
  - Workshop 1 : Chinese Taipei
  - Workshop 2 : Australia
  - Workshop 3 : Singapore
- Benefits

## Workshop 1 – Chinese Taipei

27 October – 1 November 2008



The 2008 APEC Customs Data Harmonization Workshop  
APEC 海關資料調和研討會

## Background

Recommendation 5

The SCCC identify and coordinate relevant capacity building single window activities



APEC  
SCCP Single Window Strategic Plan  
2007

## Workshop 1

### Objectives

- An overview of the WCO Data Model
- An overview of the outcomes from the Peru workshop on the harmonisation of standards and instruments
- Best practice experience sharing on a number of topics including Standardised Data Set (SDS) and government-wide initiatives

### Outcomes

- Participants have learnt the fundamental concepts of the WCO Data Model
- Participants have also learned fundamental concepts of standards and instruments

## Concept Paper



Concept Paper Inclusions:

- Workshop Series Proposed aligned to requests for assistance and offers of help
- Will deliver the vast majority of requests for help
- Links formed with the WCO Columbus Program

APEC Project Proposal Approved in 2008 to support the delivery of workshops 2 and 3 in the capacity building series

## Workshop 2 – Australia

2 – 7 February 2009





## Workshop 2

### Objectives

Learn fundamental modelling concepts using the Unified Modelling Language (UML) and demonstrate this knowledge in practical exercises  
 Learn concepts including; whole of government frameworks, project design, United Nations standards and instruments, TRS, legislation and privacy principles, information exchange and security, E-Cert and electronic certificates of origin

### Outcomes

Participants learnt about Australian systems and supporting frameworks (legal and technical) which will assist in the design and/or enhancement of single window projects/systems  
 Acknowledging the importance of using international standards to enable future interoperability  
 Recognising the importance of early and sustained engagement with other government departments/industry in the design and build of single window  
 Identified the need for further work on the APEC (Rec 6) implementation guide and roadmap and alignment with the ASEAN Single Window Group  
 Appreciated the importance of having the SWWG in APEC at both the strategic and tactical levels and recognised the value of the subject matter expert network the working group provides



## Workshop 3 Singapore

1 - 4 April 2009

### Objectives

- Participants will learn fundamental concepts underpinning the implementation of a Unique Consignment Reference (UCR) program
- Participants will learn about ASEAN's data harmonisation strategy and progress
- Participate in mapping economy data requirements to the WCO Data Model via practical exercises



## Benefits

- Capacity building aims to support and encourage modernisation within key fields relevant to Single Window design, implementation and/or enhancement
- Building the capacity of APEC economies in this area will support the modernisation of business processes and methodologies in the international supply chain
- The workshop series aims to deliver on Recommendation 5 by responding to requests for capacity building assistance by APEC economies to help them develop single window systems or enhance current systems
- The division of subject matter into three workshops provided an opportunity for economies to choose the workshop/s most suited to their needs
- The workshops provided an opportunity for subject matter experts to form links with APEC economies thereby strengthening ties with the APEC region into the future
- The involvement of international organisations and bodies will allow for the development of working relationships that will outlive closure of SCCP SWWG Phase 2



# Thank You

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**2009/SCCP/SWWG/WKSP4/024**

## **Single Window Working Group Recommendation 6**

Submitted by: SWWG



**Single Window Working Group Capacity  
Building Workshop 4  
Singapore  
6-8 April 2009**



**Sub-Committee on Customs Procedures  
Single Window Working Group**

**Recommendation 6**

## Revised Concept Paper

Remodelled According to the Following Principles:

- Intended as a guide to assist APEC economies in the design, build and implementation of a single window
- Building upon the work of UN/CEFACT Recommendation 33
- Providing a list of components, not definitive in nature, that can be adapted to the needs of economies at different stages of development and/or system enhancement

Objective:  
To deliver a product that will support APEC economies in working towards the single window vision and draw on the information gathered and experience shared throughout the term of the SWWG Phase 2.

## Recommendation 6

- Background
- Concept papers
- Implementation Guide
- Framework
- Components
- Roadmap
- Benefits

## Draft Implementation Guide

The guide provides a framework containing single window components in line with the two-stage vision agreed in the Strategic Plan 2007

To develop Single Window systems that facilitate legitimate trade and enhance supply chain security in two stages:

**Stage 1** - within APEC economies

**Stage 2** - establishing links that enable seamless data sharing between Single Window systems through the identification and use of recognised international instruments and standards.

Working together, it is envisaged that international interoperability can be achieved within the APEC region.

## Background

Recommendation 6  
The SCCP prepare a roadmap and implementation plan to achieve the Single Window vision.

APEC  
SCCP Single Window Strategic Plan  
2007

## Draft Framework Diagram

**The Vision**  
To develop Single Window systems that facilitate legitimate trade and enhance supply chain security in two stages.

Within APEC Economies		Between Single Window Systems	
Project Planning	Policy	International Interoperability	
Lead Agency	Feasibility Study	Standards	International Expertise
Stakeholder engagement	Business Case	Experience Sharing	
Governance	Legal		
System Design	Implementation		
Assessment			

**Single Window Components**

Electronic payment	Permits/Certifications	Pre-arrival data	Risk Analysis
Reporting	System Access	Port Connectivity	Messaging - Security
Messaging - Format			

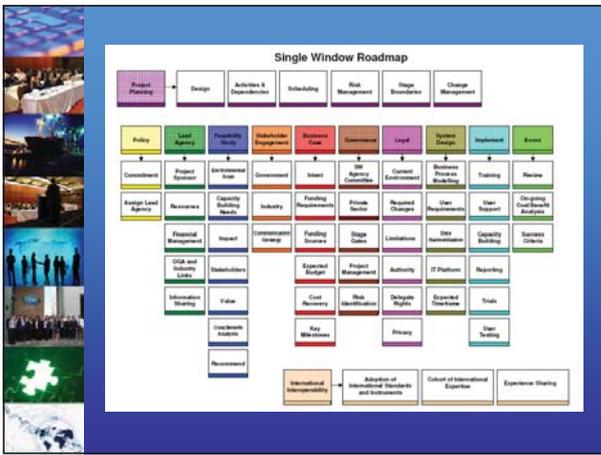
## Initial Concept Paper

- Presented to APEC SCCP 2 in Cusco, Peru – August 2008

## Single Window Components

A draft list of single window components has been compiled, covering the following categories:

- Reporting – Goods, Conveyance, Crew
- Port Connectivity
- Risk Analysis
- Electronic Payment – Duty, Taxes, Other Charges
- Permits and Certifications – OGA
- Messaging – Security
- Messaging – Format
- System Access – Internal and External
- Pre-arrival Data



## Benefits

- A comprehensive list of single window related components and elements with supporting information and linkages to available standards supports a common understanding of what an international trade single window is and what it could deliver
- The opportunity for all economies to be included in the development of the guide ensures economy specific components are catered for making the guide relevant to all APEC users
- The ability for economies to apply those components and elements deemed relevant for their particular circumstances supports the development of an economy specific roadmap and implementation plan
- International standards and instrument references included in the guide may increase their use and support international interoperability
- The inclusion of components and elements outside of those specifically managed by customs administrations could support border agency discussions and collaborations
- The guide could be used as an education tool to inform decision makers within economies of the single window concept and potential design options
- Using the guide could reduce the time and labour cost currently spent on research during the design and implementation of a single window

**Thank You**

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