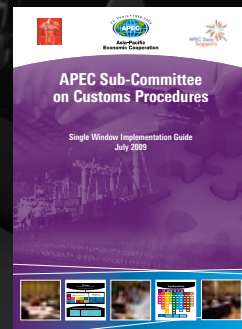




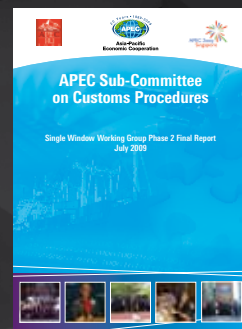
**Asia-Pacific
Economic Cooperation**

APEC Sub-Committee on Customs Procedures

**Single Window Implementation Guide
July 2009**



**Single Window Working Group
Phase 2 Final Report
July 2009**



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Executive Summary

The development of international trade single window systems and the adoption and use of international standards is a priority in the APEC trade facilitation agenda and take on added significance in the current economic climate.

Key factors in the design and development of single window systems include availability of quality and timely information, domestic and international collaboration, harmonisation of rules and transparency of decisions. The simplification and modernisation of procedures to improve trade facilitation and supply chain security requires innovation. The complex nature of international trade interactions and regulations developed over past centuries presents a number of challenges.

Despite the challenges, there are a number of important benefits to be realised from a co-operative approach to single window design and development. Foremost is the opportunity to establish global partnerships to facilitate paperless trading, a common approach and shared understanding, international interoperability, early advice of overseas developments, promoting a whole-of-government approach and influencing a shared vision and development pathway for single windows. The outcomes of the work undertaken by the Single Window Working Group have delivered benefits for a wide range of stakeholders, not just for the APEC economies that form its membership.

This publication incorporates two elements; the APEC SCCP Single Window Implementation Guide and the APEC SCCP Single Window Working Group Phase 2 Final Report.

APEC SCCP Single Window Implementation Guide

The guide includes a framework diagram linking the development of single window systems to the two stage vision and provides information to decision makers about the business processes and technical components that can be incorporated when designing a single window system.

The guide also includes a roadmap that sets out a number of elements and sub elements to assist APEC economies as they move through all stages of a project lifecycle including project planning, system design and development, stakeholder engagement, governance, implementation and post implementation.

International interoperability between single window systems is widely recognised as an important element for the future. Feedback from subject matter experts recommended the inclusion of international interoperability concepts as early as possible in the project lifecycle, as system design decisions such as the adoption of international standards supports the achievement of this goal in the longer term.

Links to more extensive information have been provided where available at time of printing. As each economy's needs vary the guide has been developed to be suitable for both full system implementation and the enhancement of existing systems.

APEC SCCP Single Window Working Group Phase 2 Final Report

The final report includes the activities, outcomes and products developed by the APEC SCCP Single Window Working Group Phase 2. The Strategic Plan published by the working group in 2007 made six recommendations which have been the focus for Phase 2 activity of the working group in 2008 and 2009.

Recommendation 1 brought together thirteen APEC economies to form a new working group, which then agreed on a terms of reference, work plan and timeline for the delivery of all six recommendations. This was supported by the implementation of a tiered communication strategy that formalised the on-going collaboration of subject-matter experts from the private and public sector. The SCCP plenary endorsed the UN/CEFACT Recommendation 33 single window definition **Recommendation 2**, in 2007.

Recommendation 3 brought greater clarity to the international instruments and standards that are available and used in single window design, build and implementation. In doing so, the working group was supporting the long-term vision of international interoperability within the APEC region. The experience sharing was further enhanced by **Recommendation 4** which utilised an information repository as a central source for posting information about pilot projects, proofs of concept and case studies undertaken by APEC economies.

Recommendation 5 delivered three capacity building workshops. The three workshops placed a heavy emphasis on delivering practical, hands-on training exercises tailored to the needs of APEC economies. Hosted in Chinese Taipei, Australia and Singapore, these workshops represented a cooperative approach that has come to typify the close working nature of the working group.

Recommendation 6 delivered the single window implementation guide included in this publication.

The Future of the APEC SCCP Single Window Working Group

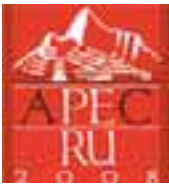
The single window working group is not a permanent group in APEC. The mandate for Phase 2 activities conclude with the delivery of the final report and implementation guide in 2009. The benefits of the working group are evident and this report includes a list of potential activities that could be undertaken in the future.

Options for taking the single window agenda forward in SCCP have been explored and include:

- The working group moving to a Phase 3
- The group being renamed the 'Single Window Implementation Advisory Group'
- Forming a new CAP or modifying an existing one to include future activities.

The resource commitment required to Chair the working group was also discussed and the option to discontinue a formal work plan under the 'single window' umbrella preferring to allow complete flexibility for economies to pursue these developments at their own pace and on an ad-hoc basis must also be tabled.

The future of single window activities will be decided by the Sub-Committee on Customs Procedures Plenary.

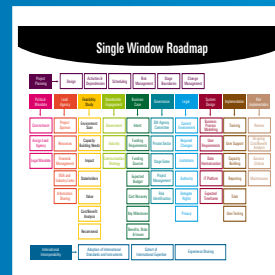
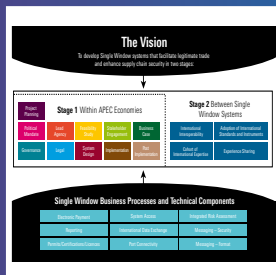


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Single Window Implementation Guide July 2009

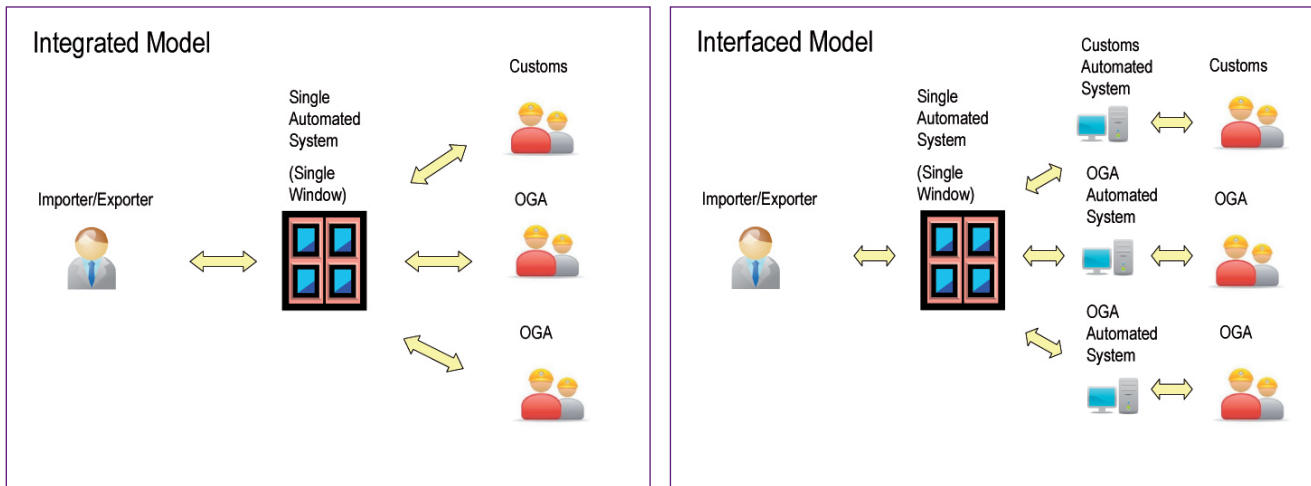


Introduction

This document has been developed to assist APEC economies in the design, build and implementation of a single window. It outlines the single window vision included in the APEC SCCP Strategic Plan published in 2007 and is based upon the UN/CEFACT Recommendation 33 definition of a single window.

This guide has been developed in response to Recommendation 6 of the APEC Sub-Committee on Customs Procedures (SCCP) Single Window Strategic Plan 2007.

Various single window models can be employed as the information technology (IT) solution. This implementation guide is designed to accommodate all types of single window IT infrastructure options.



Two examples of single window system design are provided above. In the case of an 'Integrated' model the data is processed in the Single Window, whereas in the case of an 'Interfaced' model the data is sent via the Single Window to the appropriate agencies for processing.

The Single Window Implementation Guide includes the following:

- **Single Window Overview**

The overview restates the UN/CEFACT Recommendation 33 definition of a single window. This definition has been adopted by the Single Window Working Group Phase 2 in response to Recommendation 2 of the APEC SCCP Single Window Strategic Plan, 2007. Below that is the Single Window Vision, also contained within the Strategic Plan, which is the primary statement underpinning the development of this guide.

- **Single Window Framework**

The Framework provides a visual bridge between the three parts of this guide:

- 1) The Single Window Vision;
- 2) Factors for considerations that are critical to the progress of a single window project, as displayed in the Single Window Roadmap; and
- 3) The Single Window Business Processes and Technical Components that represent the physical build of a single window system.

- **Single Window Business Processes and Technical Components**

This section of the guide lists components that could be included as part of a single window system and the functions performed by the system. While this list aims to be comprehensive, it does not claim to be definitive.

- **Single Window Roadmap**

The Roadmap provides a reference point for economies involved in the design, build and implementation of a single window system. It outlines single window elements that may guide a single window project lifecycle from its conception through to its implementation and maintenance post implementation.

The Roadmap visually represents these elements in a way that should not be viewed as sequential. While an attempt has been made to provide a layout that is logical, it is intended to be flexible and able to accommodate specific economy requirements. The reader of this guide should not take the contents of the Roadmap, nor the order in which the considerations appear, as prescriptive. It is intended to be adapted to the needs of economies in different stages of system development.

- **Single Window Elements**

Supporting the diagram is an expanded listing of the Single Window elements which seeks to provide greater clarification of the factors for consideration and links, where available, to sites providing comprehensive subject matter information.

Single Window Overview

What is a Single Window?

A number of international approaches to Single Window have already been developed. One of the better known is the *United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) Recommendation 33: Recommendation and Guidelines on establishing a Single Window*. This recommendation provided the following definition:

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.

The Vision

The APEC SCCP Single Window Working Group Single Window Vision was outlined in the *Single Window Strategic Plan* published in June 2007.

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

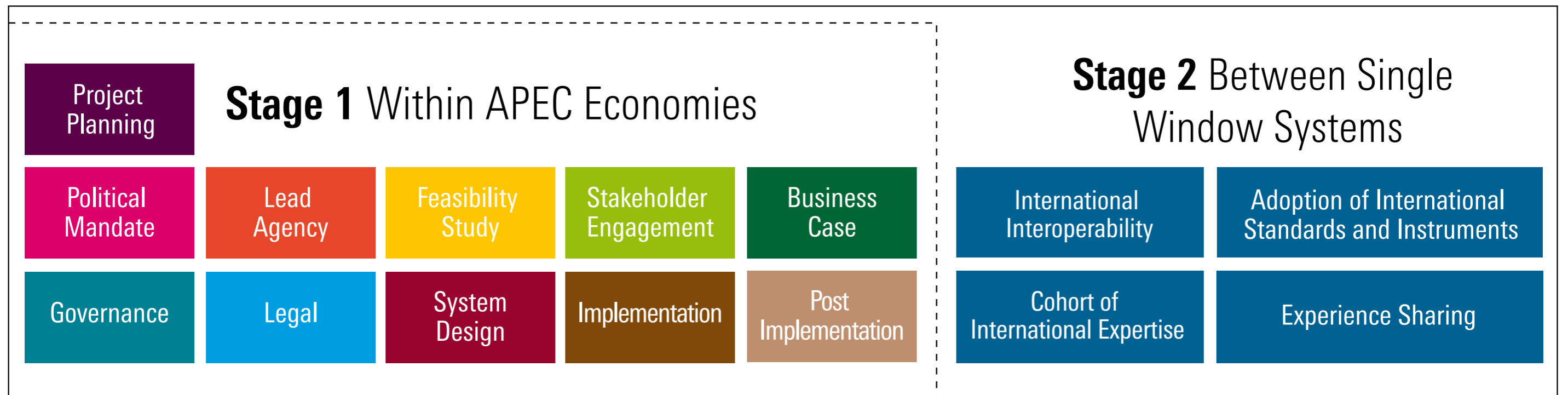
Stage 1 - within APEC economies

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.

The Vision

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



Single Window Business Processes and Technical Components

Electronic Payment	System Access	Integrated Risk Assessment
Reporting	International Data Exchange	Messaging – Security
Permits/Certifications/Licences	Port Connectivity	Messaging – Format

Single Window Business Processes and Technical Components

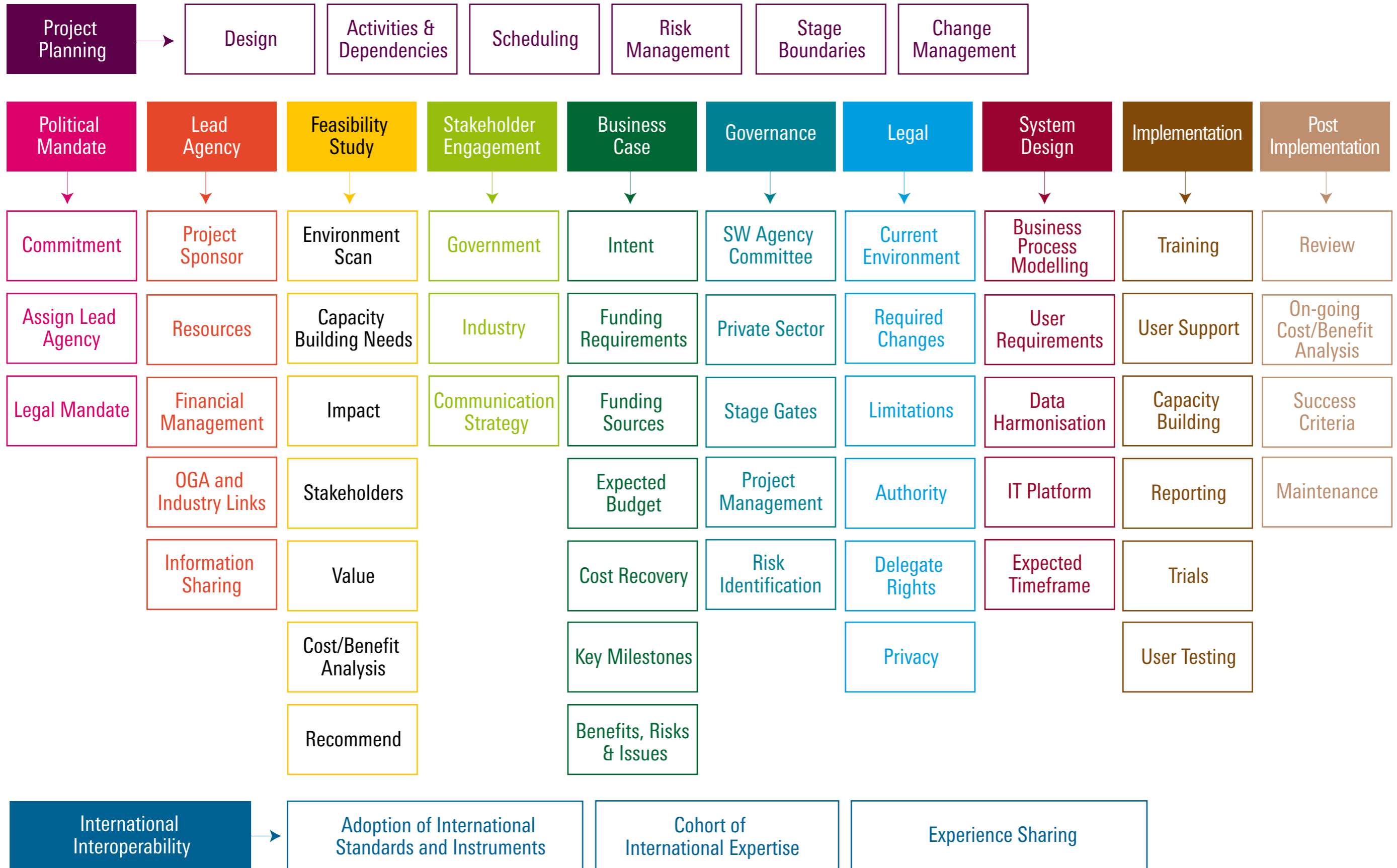
There are a number of business processes and technical components that an economy may need to consider when designing and building a single window system. Each process and technical component has additional considerations which are listed below.

Category	Factors for Consideration
Reporting (Import, Export, Transit, Transshipment)	<ul style="list-style-type: none"> • Reporting of crew • Reporting of cargo • Reporting of conveyance • Electronic v paper based reporting • Economy specific information • Reporting period • Interagency communication • Compliance activity • Cascade reporting • Report evaluation methodology • First port reporting requirements • Subsequent port reporting requirements • Previous port reporting requirements • Alignment to legislative requirements • Multi-modal reporting capability • Performance reporting • Ability to correct, query and amend • Temporary imports • Discrepancy reports • Time/Date stamp receipt message • Release/Clearance decision message
Port Connectivity	<ul style="list-style-type: none"> • Paper based v electronic arrival/departure notification • Paper based v electronic release/clearance notification • Memorandums of Understanding between government agencies and port authorities • Systems compatibility
Integrated Risk Assessment	<ul style="list-style-type: none"> • Identification of intelligence needs • Risk assessment methodology • Intelligence collection methodology • Intelligence analysis methodology • Inter-agency and international intelligence sharing • Automated systems v manual screening • Risk management

<p>Electronic Payment – Duty, Taxes and Fees</p>	<ul style="list-style-type: none"> • Duty payment method • Duty calculation • Deferred duty facility • Rate of duty • Payment reference number • Consignment value methodology • Payment period • Tax payment method • Economy specific taxation schemes • Rate of tax • Tax assessment methodology • Rate of fees • Electronic payment v manual payment • Record of payment e.g. receipt number • Penalties • Drawbacks • Post release value amendments • Bond requirements • Threshold Issues
<p>Permits Certifications and Licences</p>	<ul style="list-style-type: none"> • Interagency communication • Permit validation • Electronic v manual applications • Electronic v manual issuing • Permit exemptions • Economy specific permit documentation • Permit validity • Acquittal reports
<p>Messaging – Security</p>	<ul style="list-style-type: none"> • Secure / Multipurpose Internet Mail Extensions (S/MIME) • Public Key Infrastructure (PKI) • Personal Identification Number (PIN) • Digital certificates • Digital signatures • Authentication tokens • Smart cards • IP Security (IPSec) • Certificate Policy (CP)/Certification Practice Statement (CPS) • Password • Non PKI Certificates • Electronic certificates • Notification of time stamping • Encryption

Messaging – Format	<ul style="list-style-type: none"> • United Nations/Electronic Data Interchange For Administration, Commerce, and Transport (UN/EDIFACT) • Extensible Markup language (XML) • Electronic Business using Extensible Markup Language (electronic business XML or ebXML) • File Transfer Protocol over Secure Sockets Layer (FTP/S) • Hypertext Transfer Protocol Secure (HTTPS) • Short Message Service (SMS) • Simple Mail Transfer Protocol (SMTP)
System Access – Internal and External	<ul style="list-style-type: none"> • Authentication • Client registration • Client roles • Client interaction • Digital certificates • Access tracking and audit • Unauthorised access prevention and detection • System security policy • System vendor access and legal obligations
International Data Exchange	<ul style="list-style-type: none"> • Pre-population of Customs import declaration • Alignment to international standards such as WCO Data Model • Electronic messaging • Business process modelling • International interoperability • Track and trace e.g. UCR
Contingency Planning	<ul style="list-style-type: none"> • System failure • Disaster recovery

Single Window Roadmap



Single Window Elements

There are core elements that an economy may need to consider during the lifecycle of a project related to the development of a single window system. Each element has a number of additional considerations associated with it which are listed below:

Project Planning

- Identify and adopt a suitable project management methodology
- Develop a realistic project plan and identify the intent
- Identify key stakeholders and develop a stakeholder engagement strategy
- Assess the cost/benefit ratio
- Identify key risks and constraints and potential success barriers
- Identify and plan for each stage, noting key milestones
- Measure and report the progress
- Manage change over the project life cycle
- Ensure effective financial management

Political Mandate

- Establish a legal mandate to provide on-going authority
- Establish political commitment
- Identify and assign a lead agency

Lead Agency

- Obtain a project sponsor to champion the project
- Select a lead agency that has sufficient resources, financial and technical
- Ensure the lead agency and relevant stakeholders have effective financial management policies in place
- Ensure the lead agency establishes strong links with industry
- Ensure the lead agency establishes strong lines of communication with other government agencies
- Establish a heads of agency mandate and committee
- Identify the role of the lead agency in managing private sector vendors engaged to design and build systems

Feasibility Study

- Investigate systems in other economies
- Undertake an environmental scan
- Reference capacity building programs such as WCO's Columbus Program when identifying areas that will require capacity building
- Undertake impact/risk analysis
- Undertake stakeholder identification and impact analysis
 - Early identification
 - Primary (essential)
 - Secondary (effected but not essential)
- Document outcomes that will assist in determining value in proceeding
- Conduct cost/benefit analysis
- Provide recommendations for moving forward

Stakeholder Engagement

- Obtain strong and formal commitment from government
- Obtain strong commitment from industry
- Develop an effective communication strategy to ensure early and ongoing involvement and support from all stakeholders
- Identify stakeholder responsibilities and liabilities

Business Case

- Identify and quantify benefits
- Manage issues
- Mitigate risks
- Identify intent
 - Vision
 - Mission
 - Best Practice
 - Scope
- Establish funding required
- Identify potential sources of funding
 - Public funds
 - Private investment
 - Public/Private Partnership
- Determine expected budget
- Identify avenues for cost recovery
- Establish key milestones, timeframes and project stages
- Establish business buy-in, collaboration and support

Governance

- Ensure sustainability of project
- Establish single window agency committees and sub-committees and include private sector stakeholders where required
- Establish protocol for engagement and participation of private sector stakeholders for the duration of the project
- Ensure accountability is maintained
 - Stage gates
- Establish a project management framework
- Identify and manage risks and issues

Legal

- Analyse the current legal environment
- Identify potential legislative changes
- Identify limitations
- Establish the legal authority of the lead agency and participating agencies using for example a Memorandum of Understanding (MOU)
- Establish service level agreements with stakeholders
- Establish guidelines for the delegation of power and decision making
- Consider the issue of privacy and confidentiality in regard to sharing of information between agencies and industry including establishing security arrangements
- Align to international legal principles
- Consider legislating the adoption of international standards e.g. WCO Data Model incorporated into the Security and Accountability For Every Port (SAFE) Act of 2006

System Design

- Undertake relevant business process modelling
- Consider 'as is' (current) and 'to be' (future) single window environments
- Identify user requirements
- Work towards data harmonisation
- Ensure effective and cost efficient IT platforms (new or existing)
- Establish an expected timeframe for delivery
- Incorporate system security requirements
- Establish strong business owners
- Align to international standards and instruments

Implementation

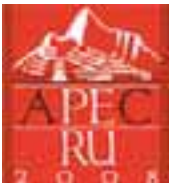
- Oversee and facilitate system build
- Determine transitional procedures e.g. new system run simultaneously with legacy system
- Conduct user testing
- Provide staff training and client education
- Implement a broad communication strategy e.g. fact sheets, workshops and seminars
- Provide adequate user support including a help desk facility
- Undertake capacity building activities
- Report on the progress of the implementation process
- Allocate sufficient time and resources for effective trials and pilot projects
- Ensure open publication of regulations and requirements

Post Implementation

- Review the progress at regular intervals/stage gates
- Assess whether the project will deliver the expected benefits and will achieve the intent
- Conduct cost/benefit return analysis
- Measure outcomes against the established success criteria
 - Stage gates
 - Key result areas
 - Key milestones
- Ensure on-going stakeholder engagement
- Maintain on-going communication with key stakeholders
- Establish maintenance procedures
- Establish post implementation decision making body to consider stakeholder requests for updates, submissions and changes

International Interoperability

- Adopt and incorporate existing international standards and instruments
- Draw upon and engage relevant international expertise
- Learn from the experiences of other economies



**Asia-Pacific
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APEC Sub-Committee on Customs Procedures

**Single Window Working Group Phase 2 Final Report
July 2009**



Introduction

In 2007, the APEC Sub-Committee on Customs Procedure (SCCP) Single Window Working Group (SWWG) Phase 1 published a Strategic Plan titled *Working towards the implementation of Single Window within APEC Economies* which included a 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.

The vision included a statement that *Working together, it is envisaged that international interoperability can be achieved within the APEC region*.

The Strategic Plan proposed the following six recommendations with a view to progressing the single window concept in the APEC region:

- **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.

In 2008, the working group was given a mandate from SCCP to establish a new working group under the banner of APEC SCCP SWWG Phase 2 to progressively deliver these six recommendations over a two year term. The new group comprised thirteen member economies: Australia (Chair); Canada; China; Japan; Korea; New Zealand; Peru; Philippines; Singapore; Chinese Taipei; Thailand; United States and Viet Nam.

Subject matter experts from the Association of Southeast Asian Nations (ASEAN), World Customs Organization (WCO), United Nations for Trade Facilitation and Electronic Business (UN/CEFACT), and APEC Electronic Commerce Steering Group (ECSG) were invited to continue their participation in Phase 2 which they accepted.

This report will outline the deliverables that have been developed under these six recommendations. The collation of the outcomes achieved in 2008 and 2009 forms the final deliverable of the APEC SCCP SWWG Phase 2 and concludes the mandate for this working group.

The document begins by explaining the background to the work of Phase 2. It then discusses the engagement conducted. An engagement strategy was developed to support Phase 2 with a key factor being the development of a list of public and private sector stakeholders with a direct interest in single window design and development. Member economies nominated their stakeholders for inclusion onto this list and all were invited to the final SWWG workshop in Singapore from 6 to 8 April 2009 where feedback and contributions to this report were sought and included.

The report moves on to address each recommendation in turn. Outlined under each recommendation is the objective, methodology, timeline, outputs and benefits. This is designed to give the reader an understanding of what each recommendation intended to achieve, how this was done, what was produced and the benefits realised.

Background

In September 2006 in Viet Nam, the APEC Sub-Committee on Customs Procedures (SCCP) approved the single window initiative presented by Australia to address issues identified in implementing single window systems. Volunteers were sought from SCCP to join a working group. The following year the Single Window Working Group (SWWG) was formed when the terms of reference for the working group received endorsement from the SCCP plenary. The SWWG Phase 1 membership comprised 10 APEC SCCP economies:

Australia (Chair); Canada; China; Japan; Korea; New Zealand; the Philippines; Singapore; United States and Viet Nam.

This working group, supported by subject matter experts from 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), explored the single window concept and conducted an environment scan to document single window progress in the APEC region and achieve a greater understanding of the international trade environment of each APEC economy.

APEC SCCP SWWG Phase 1 culminated in the production of two deliverables. In June 2007, the group presented the APEC SCCP Single Window Strategic Plan and Development Report to the second SCCP meeting in Australia for sub-committee consideration. These comprehensive documents showcased input from working group members, subject matter experts and business and industry contributors as well as the participants from all of these sectors that attended the Single Window Workshop in Australia in April 2007.

The Strategic Plan provides an overview of the work undertaken in 2007, a single window vision statement and recommendations for moving forward. The Development Report delivers a comprehensive snapshot of the border regulatory environment and single window related activities using the information provided in the questionnaires completed by all 21 APEC economies. SCCP members unanimously endorsed these deliverables and the six recommendations in the Strategic Plan.

In September 2007, APEC Ministers stated:

'We agreed to expedite work to support the implementation of international trade "Single Windows" across APEC, with a view to the eventual interoperability of systems through the use of recognised international instruments and standards. "Single Windows" allow businesses involved in trade and transport to electronically submit standardised information and documents at a single entry point to fulfil all import, export and transit related regulatory requirements.'

In 2008 in Lima, Peru, at the Twentieth APEC Ministerial Meeting, the APEC Ministers released a Joint Statement. In that statement the Ministers:

'instructed officials to work towards the implementation of international trade "Single Windows" across APEC using recognized international instruments and standards to enhance interoperability of trade systems'

These statements demonstrate support for the single window concept and its promotion within the APEC region. The Phase 2 work plan was designed to deliver the assistance, information and tools to help APEC economies develop or enhance their single window systems.

Engagement

Recommendation 1 called for the establishment of a working group to further single window activities across APEC. The working group actively engaged private and public sectors, other relevant APEC sub-fora and relevant international bodies.

The inclusionary nature of this recommendation came from the public and private sector participants who attended the Single Window Workshop in Australia in April 2007. The feedback received from this workshop was extremely positive and continued participation in the working group's activities was requested.

To formalise the participation of stakeholders a tiered engagement strategy was developed and incorporated into the terms of reference for Phase 2 of the working group:

- **Tier 1** 'Members' of the APEC SCCP SWWG Phase 2 were the 13 SCCP Member economies that volunteered their participation. The Members were 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).
- **Tier 2** involved the construction of a list of relevant international stakeholders identified by the SWWG Phase 2 members for APEC SCCP consideration. Tier 2 engagement provided an opportunity for a wider stakeholder group to comment and offer advice on the output products developed by the group.
- **Tier 3** wider output distribution was the responsibility of all SWWG Phase 2 members.

In addition to the tiered engagement strategy, the APEC Information Management Portal (AIMP) was also utilised to seek stakeholder feedback on output products and provide updates relating to the activities of the working group.

Throughout Phase 2, the APEC SCCP SWWG Chair, on behalf of the group, actively engaged the SWWG members in the development process, and delivered progress reports at each full SCCP plenary meeting. The input and involvement of all stakeholders has been instrumental in progressively delivering outcomes aligned to the six APEC SCCP Single Window recommendations.

The APEC SCCP SWWG Phase 2 membership presented the draft deliverables to industry at the final workshop held in Singapore in April 2009. Their input was crucial to the development of products that will serve to progress the development and enhancement of single window systems in the APEC region.

The APEC SCCP SWWG Phase 2 final workshop provided the continuity of broad stakeholder engagement requested at the Single Window Working Group Phase 1 Workshop held in Sydney in April 2007. Both workshops encouraged meaningful dialogue between the 21 APEC Economies, Tier 2 Stakeholders, International Standards Organisations and invited guests and provided an arena in which current and future developments could be discussed.

The final workshop held over three days was comprehensive in nature. It enabled speakers and participants to share insights into single window developments in the APEC region and beyond, comment and provide input into draft deliverables and contribute to the final report.

Activities of the Single Window Working Group Phase 2

Event	Purpose	Location	Attendees
APEC SCCP SWWG Phase 2 – Meeting One 28 to 30 January 2008	Deliver Recommendation 1 by forming Phase 2 working group, discuss and draft the terms of reference, work plan and timeline to deliver outcomes aligned to the six recommendations.	APEC Secretariat, Singapore	Australia; Canada; Korea; New Zealand; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam; APEC Secretariat; WCO and Chinese Taipei Industry (observer)
APEC SCCP SWWG Phase 2 – Meeting Two 21 February 2008 SCCP1 Plenary 22 to 24 February 2008	Deliver a progress report on the proposed Phase 2 deliverables. Seek SCCP endorsement of the SWWG Phase 2 terms of reference, work plan and timeline.	Lima, Peru	SWWG: Australia; Canada; China; Japan; Korea; New Zealand; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam and APEC Secretariat
Workshop on Experience Exchange in the Adoption of International Instruments and Standards in Single Window Initiatives 20 to 22 May 2008	Progress delivery of Recommendation 3 by providing APEC economies with information sharing and experience exchange on the topic of international instruments and standards.	Arequipa, Peru	Australia; Chile; China; Indonesia; Japan; Mexico; Papua New Guinea; Peru; the Philippines; the Russian Federation; Singapore; Chinese Taipei; Viet Nam; APEC Secretariat; Peru Private Sector Participants and United Kingdom
APEC SCCP SWWG Phase 2 – Meeting Three 14 August 2008 SCCP2 Plenary 15 to 17 August 2008	The SWWG decided to withdraw the concept paper for Rec 6 to allow time for further consideration of approach. Deliver a progress report on Phase 2 deliverables. Seek SCCP endorsement of the concept papers for Recommendations 3, 4 and 5. Seek support for the SWWG project proposal to deliver the capacity building workshop series and final workshop.	Cusco, Peru	SWWG: Australia; Canada; China; Japan; Korea; New Zealand; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam; APEC Secretariat and the WCO (observer)

Event	Purpose	Location	Attendees
APEC SCCP SWWG Capacity Building Workshop One: 2008 Customs APEC Data Harmonisation Workshop 26 October to 1 November 2008	Progress the delivery of Recommendation 5 by providing APEC economies with the capacity building assistance requested to support single window system development and enhancement.	Chinese Taipei	Australia; Canada; Chile; China; Hong Kong China; Indonesia; Japan; Korea; Malaysia; Peru; Philippines; Singapore; Thailand; United States and Viet Nam
APEC SCCP SWWG Capacity Building Workshop Two 2 to 7 February 2009	Progress the delivery of Recommendation 5 by providing APEC economies with the capacity building assistance requested to support single window system development and enhancement. Engage APEC economies in an interactive session on the revised concept paper for Recommendation 6.	Canberra, Australia	Australia; China; Hong Kong China; Indonesia; Mexico; New Zealand; Papua New Guinea; Peru; Chinese Taipei; Thailand; Viet Nam and UN/CEFACT
APEC SCCP SWWG Phase 2 – Meeting Four 23 February 2009 SCCP1 Plenary 24 to 26 February 2009	Deliver a progress report on the Phase 2 deliverables. Seek SCCP endorsement of the concept paper for Recommendation 6.	Singapore	SWWG: Australia; Canada; China; Japan; Korea; New Zealand; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam; APEC Secretariat and Indonesia (observer)
APEC SCCP SWWG Capacity Building Workshop Three 1 to 4 April 2009	Progress the delivery of Recommendation 5 by providing APEC economies with the capacity building assistance they need to develop or enhance their single window systems.	APEC Secretariat, Singapore	Australia; Canada; Chile; China; Hong Kong; China; Indonesia; Korea; Malaysia; Mexico; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam; ASEAN and APEC Secretariat
APEC SCCP SWWG Phase 2 - Meeting Five 5 April 2009	Discuss preparations for and objectives of the Final Workshop.	Singapore	Australia; China; Japan; Korea; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam; APEC Secretariat and WCO

Event	Purpose	Location	Attendees
APEC SCCP SWWG Phase 2 Final Workshop 6 to 8 April 2009	Public and private sector input into the final report and Recommendation 6 guide. Discuss the future of the SWWG.	Singapore	Australia; Chile; China; Hong Kong; China; Indonesia; Japan; Korea; Malaysia; Mexico; Peru; the Philippines; the Russian Federation; Singapore; Chinese Taipei; Thailand; United States; Viet Nam; APEC Secretariat; ASEAN, UN/CEFACT; WCO; Singapore Logistics Association; CrimsonLogic; NCS; UPS; US-ASEAN Business Council; Singapore Business Federation; General Electric Company; DHL Express Asia Pacific; Servicios de Negocios Electronicos Mexico; Nippon Automated Cargo and Port Consolidated System and FedEx
APEC SCCP SWWG Phase 2 – Meeting Six 8 April 2009	Discuss the feedback received from the workshops for inclusion in the final report. Discuss 'next steps'.	Singapore	Australia; China; Japan; Korea; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam; APEC Secretariat; WCO; UN/CEFACT and Indonesia (observer)
APEC SCCP SWWG Phase 2 – Meeting Seven August 2009 SCCP2 Plenary August 2009	Present the APEC SCCP SWWG Phase 2 Final Report and seek endorsement.	Singapore	SWWG: Australia; Canada; China; Japan; Korea; New Zealand; Peru; the Philippines; Singapore; Chinese Taipei; Thailand; United States; Viet Nam and APEC Secretariat

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.

Objective

To establish a new working group to further single window activities across APEC economies to progressively deliver the six recommendations outlined in the Strategic Plan.

Methodology

In June 2007, the SCCP Chair requested Australia, as the outgoing chair of the SWWG, to coordinate the issue of leadership of the new working group and seek nominations for membership of a new working group. Membership of the group was reopened with all SCCP members invited to volunteer their participation. A call was also made for a new leader.

Thirteen economies volunteered to participate but no volunteers to lead the new group emerged. Australia later accepted the nomination to continue to lead this group for the term of Phase 2.

The first meeting of the SWWG Phase 2 group was held at the APEC Secretariat from 28 to 30 January 2008. The purpose of this meeting was to discuss and agree a new terms of reference, work plan and time line for the delivery of Phase 2 products and outcomes.

The meeting participants separated into three breakout groups to discuss and report back on the following:

- Potential participants, both private and public sector;
- Economy representatives and/or global groups/bodies;
- Direct involvement and/or through their economy SCCP member;
- Approach to invitations and timeline/dates; and
- Level of involvement e.g. SWWG meetings, special events such as workshops or email.

Importantly it was noted that involvement needed to be clearly articulated so as to manage expectations.

Communication Strategy

The three breakout groups reported back on their discussion and the working group agreed to a three-tiered approach to participation and engagement.

- **Tier 1** 'Members' of the APEC SCCP SWWG Phase 2 were the 13 SCCP member economies: Australia; Canada; China; Japan; Korea; New Zealand; Peru; Philippines; Singapore; Chinese Taipei; Thailand; United States; and Viet Nam. The members were supported by subject matter expert participants from the APEC ECSG, ASEAN Secretariat, UN/CEFACT and WCO.
- **Tier 2** involved the construction of a list of relevant international stakeholders identified by the SWWG Phase 2 members for APEC SCCP consideration in February 2008. Tier 2 engagement will provide an opportunity for a wider stakeholder group to provide comment and offer advice on the output products of the group.
- **Tier 3** wider output distribution was the responsibility of all SWWG Phase 2 members.

It was noted that each SCCP Member that included economy specific stakeholders would be responsible for distributing outputs for comment and providing an 'economy' position. It was the responsibility of the Chair to distribute outputs to non-economy specific stakeholder e.g. the International Air Transport Association (IATA), International Maritime Organisation (IMO), World Trade Organisation (WTO), World Bank and International Chamber of Commerce (ICC) and collate comments.

Timelines

The action items, outputs and key milestones relevant to Recommendation 1 are described below:

Tasks / Action List	Outputs	Anticipated Timeframe for Delivery
<ul style="list-style-type: none"> Form a new Single Window Working Group and Chair Establish the terms of reference, work plan and timeline Identify the relevant private and public sectors, other relevant APEC sub-fora and relevant international bodies and present a list to SCCP for consideration Engage private and public sectors, other relevant APEC sub-fora and relevant international bodies 	<ul style="list-style-type: none"> New working Group formed and Chair selected Draft TOR, work plan and timeline Draft list of relevant bodies and tiered engagement approach for consideration Invitations issued 	<ul style="list-style-type: none"> January 2008

Outputs

- A new Single Window Working Group formed and Chair nominated
- Terms of reference, work plan and timeline for SWWG Phase 2 drafted for SCCP endorsement
- Relevant private and public sectors, other relevant APEC sub-fora and relevant international bodies identified and a list presented to SCCP for consideration
- Private and public sectors, other relevant APEC sub-fora and relevant international bodies engaged

Benefits

- SCCP, in endorsing the formation of the Phase 2 SWWG and the terms of reference for the group is delivering outcomes in response to leaders and ministers statements relating to single window in APEC
- Establishing an agreed work plan and time line with the provision of regular progress reporting to the SCCP plenary will mitigate scope expansion and enable regular reviews of the project schedule
- SCCP endorsement of the tiered engagement strategy recognises and formalises the importance of continued public and private sector stakeholder involvement as requested in 2007
- The active participation of a broad range of stakeholders will assist with the development of quality deliverables in a co-design environment

Recommendation 2

The UN/CEFACT definition of a Single Window (UN/CEFACT Recommendation 33) be adopted by APEC economies.

Objective

To agree on a single window definition.

Methodology

Recommendation 2 in the APEC SCCP Single Window Strategic Plan proposed SCCP adoption of the UN/CEFACT Recommendation 33 single window definition.

The unanimous endorsement by the SCCP Plenary at SCCP2 in June 2007 of all recommendations contained in the Strategic Plan delivered the outcome sought.

Timelines and Outputs

No further work was undertaken in Phase 2.

Benefits

- Endorsement of the UN/CEFACT definition of single window by the SCCP plenary aligns APEC single window activities with that of the United Nations and other international standards organisations and provides the basis for a shared understanding of what is meant when the term is used

Recommendation 3

The APEC economies adopt the use of internationally recognised instruments and standards in Single Window design to increase international interoperability.

Objective

To produce a report to inform decision makers about relevant international instruments and standards including the degree of use across APEC economies as a means of influencing the adoption of commonly used international standards to improve international interoperability in line with Stage 2 of the single window vision.

Methodology

The Peruvian members of the Single Window Working Group (SWWG) led this work with the support of SWWG members.

The collection of information and sharing of experience was supported by:

- The development of a standards questionnaire where subject matter was grouped under four main headings;
 - Process analysis, simplification and improvement
 - Document simplification and improvement
 - Data harmonisation and exchange, messaging and security
 - Systems integration
- The delivery of a workshop in Arequipa, Peru in May 2008;
- The construction of a comprehensive dossier of relevant standards, instruments and tools sourced from the survey responses, information contained in the Single Window Development Report published in 2007 and open source information on the internet; and
- The development of a final report which included the results of the survey, workshop outcomes and the dossier of international instruments and standards related to single window development.

The Recommendation 3 final report is provided as an attachment to this report.

Timelines

The action items, outputs and key milestones relevant to Recommendation 3 are described below:

Tasks / Action List	Outputs	Anticipated Timeframe for Delivery
<ul style="list-style-type: none">• Develop a report documenting the outcomes of the standards workshop in Peru 2008 with a focus on internationally recognised instruments and standards related to single window systems	<ul style="list-style-type: none">• Standards and instruments report	<ul style="list-style-type: none">• SCCP2 2008
<ul style="list-style-type: none">• Develop a comprehensive Single Window standards reference document	<ul style="list-style-type: none">• Standards Guide supporting Single Window development	<ul style="list-style-type: none">• SCCP2 2009

Outputs

- Recommendation 3 concept paper
- Results of survey: *'Adoption of international instruments and standards in APEC single window initiatives'*
- Workshop in Arequipa, Peru: *'Experience exchange in the adoption of international instruments and standards in single window initiatives'*
- Dossier of instruments and standards
- Recommendation 3 final report published by Peru

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 APEC economies

Recommendation 4

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

Objective

To establish an information repository as a source for pilot projects, proofs of concept and trials relevant to Single Window initiatives being undertaken by APEC economies.

The sharing of experience, lessons learnt and established 'best practice' between APEC economies aims to inform single window decision makers and project teams of the progress and outcomes of a variety of trials testing changes to current state reporting processes in areas relating to trade facilitation and supply chain security.

Methodology

It was recognised that there was no single location that captured valuable information relating to the testing of new reporting methods, scenarios and concepts. Whilst information was being presented at workshops and seminars to audiences, exposure to that information was restricted to the audience able to attend the event. Establishing a repository to capture this information as a vehicle to make it widely available was agreed as the way forward to address this situation.

Potential repository hosts were investigated and a number of key factors were considered in identifying a suitable host, including the potential host's relevance to single window activities and APEC. Additionally, the potential host needed to be prepared to play a significant role in the technical development and on-going maintenance of the repository. The World Customs Organization, as a subject matter expert participant of the Single Window Working Group created a single window repository for information as a tab accessed from their internet home page.

The repository now contains examples of proofs of concept, pilot projects and trials relevant to single window initiatives that provide information on:

- What is being tested?
- Who is testing what? and
- The results of those tests (or preliminary results).

Information relating to these proofs of concept, pilot projects and trials is captured using a template developed by the SWWG. The template was distributed to APEC economies identified as having undertaken these activities and agreement received from all parties involved prior to information being posted on the new site. Project leaders were also asked to include their contact details in the template so that interested parties had the opportunity to obtain further information.

Control over the posting of content in the repository is maintained by the host. It is the responsibility of each economy to provide updates to information posted to ensure information remains current.

Timelines

The action items, outputs and key milestones relevant to Recommendation 4 are described below:

Tasks / Action List	Outputs	Anticipated Timeframe for Delivery
<ul style="list-style-type: none"> • Identify & agree on: <ul style="list-style-type: none"> - the information to be captured - potential repository hosts - structure the repository will take - content and maintenance - access rights • Develop a concept paper 	<ul style="list-style-type: none"> • Concept paper • Official confirmation of the repository host • Establish repository 	<ul style="list-style-type: none"> • SCCP2 2008 • SCCP1 2009

Outputs

- Recommendation 4 Concept paper
- A single window information repository established by the World Customs Organization
- Proofs of concept, pilots and lessons learnt collated from APEC economies uploaded in the single window repository

Benefits

- Establishing a central capture point for information on single window pilot projects, proofs of concept and trials being undertaken by APEC economies will enable them to publish their work and share experiences, lessons learnt and test results
- Establishing a valuable information repository for subject matter not currently captured or available in one place supports the sharing of ideas and learning from other's experiences
- Providing valuable information for international standards setting organisations in areas of potential future developments in the international trade reporting environment
- 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
- A contact point may be provided as part of the information captured to provide further information and/or advice regarding their activities
- Providing an opportunity for economies to consider joining pilot projects, proofs of concept and trials with other economies
- Sharing APEC economy's experience in aligning to international standards and instruments
- Supports international exposure to the work of the APEC economies
- Demonstrates areas of potential for international interoperability
- Providing examples where concepts have not worked and why to reduce the incidence of duplication of effort in areas proven unworkable
- All interested public and private sector stakeholders have access to this information providing greater transparency
- Increasing interest in single window initiatives

Recommendation 5

The SCCP identify and coordinate relevant capacity building Single Window activities.

Objective

To deliver the capacity building requested by APEC economies in the Single Window Development Report published in 2007.

The intent of the Capacity Building Workshop Series was to give participants practical, hands-on exposure to key single window topics. More broadly, this initiative also aimed to facilitate working relationships between the APEC economies and international organisations and bodies, such as the WCO, UNCEFACT and other subject matter expert organisations.

Methodology

The answers provided to Question 36 in the Development Report were used as the basis for identifying the APEC economies that had requested single window related capacity building assistance. Question 36 also identified those APEC economies that were able to provide capacity building assistance.

The responses to this question highlighted subject matter areas where assistance was required by APEC economies. Correspondence was sent to APEC economies seeking further clarification of the need, the desired outcome, possible action and in the case where economies had requested multiple areas, the priority given to particular issues. Economies were advised that any outstanding requests would be forwarded to the WCO Capacity Building Directorate. Contact was established with this area to reduce the risk of duplicating capacity building effort.

Given the range of areas requested, the concept of delivering a capacity building workshop series was developed by the SWWG. By dividing the content over three workshops and three locations, it was intended that economies would be able to pinpoint the single window topics and attend events most relevant to their needs.

The workshop series was designed to provide APEC economies access to information and subject matter experts in an interactive environment. Chinese Taipei, Singapore, Canada and Australia worked together to deliver the APEC SCCP SWWG Capacity Building Workshop Series. Workshop 1 was hosted by Chinese Taipei in October 2008 and self funded. Workshop 2 was hosted by Australia in February 2009. Workshop 3 was hosted at the APEC Secretariat in Singapore in April 2009, with Canada as the workshop lead in their capacity as the Common Data Element CAP leader.

To support economy participation at the capacity building workshops, funding for Workshops 2 and 3 was sought via an APEC project proposal. SWWG members were involved in the early stages of the workshop series, with all members listed as project co-sponsors. As such, they were consulted on the development of a practical timeline for delivery of the Capacity Building Workshop Series by SCCP2 2009 and in the content of the Capacity Building Workshop Series agendas.

The workshops delivered the following learning outcomes:

- **Workshop 1** - Chinese Taipei October 2008
 - Learn the fundamental concepts of the WCO Data Model;
 - Learn how to enhance an automated single window system by means of using an internationally standardised data set for import, export and transit transactions;

- Gain knowledge on how to harmonise data to comply with international standards;
 - Learn concepts surrounding international standards and instruments, government-wide initiatives and the Standardised Data Set (SDS); and
 - Attend study tours to relevant institutions.
- **Workshop 2** – Australia February 2009
 - Learn fundamental modelling concepts using the Unified Modelling Language (UML), the UN/CEFACT Modelling Methodology (UMM) and extensible Mark-up Language (XML) via a series of practical, hands-on exercises; and
 - Learn concepts surrounding whole-of-government collaboration and benefits, design principles, Integrated Cargo System (ICS), single window architecture, system message and security, Time Release Study (TRS), UN/CEFACT instruments and standards, electronic certification, legal and privacy issues, Gatekeeper and electronic certificate of origin.
 - **Workshop 3** – Singapore April 2009
 - Learn from an economy's experience in implementing the WCO Data Model;
 - Learn about ASEAN's strategy for data harmonisation;
 - Learn fundamental concepts underpinning the implementation of the Unique Consignment Reference (UCR); and
 - Learn how to map data requirements to the WCO Data Model via practical training exercises.

Timelines

The action items, outputs and key milestones relevant to Recommendation 5 are described below:

Tasks / Action List	Outputs	Anticipated Timeframe for Delivery
<ul style="list-style-type: none"> • Clarify the capacity building needs requested by APEC SCCP members as set out in the Single Window Development Report 2007 • Assist with project proposals (if required) • Coordinate delivery of assistance in conjunction with the WCO Columbus Programme and member economies • Produce a final report outlining the capacity building related efforts undertaken by the SWWG in Phase 2 	<ul style="list-style-type: none"> • Project proposals to treat capacity building needs (if required) • Final report 	<ul style="list-style-type: none"> • SCCP 2008 - 2009 • SCCP2 2009

Outputs

- Recommendation 5 concept paper
- A project proposal to support funding for workshops was presented and approved
- Workshop 1 held in Chinese Taipei in October 2008
- Workshop 2 held in Australia in February 2009
- Workshop 3 held in Singapore in April 2009

Benefits

- Capacity building aims to encourage modernisation within key fields relevant to Single Window design, implementation and/or enhancement
- Within the context of customs administrations, modernisation of border management can deliver real economic and social benefits by encouraging investment and broader confidence in government institutions
- 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 delivered on Recommendation 5 by responding to requests for capacity building assistance by APEC economies to help them realise their single windows
- 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
- Feedback from the workshop participants will assist standards organisations in shaping their activities to support the future trading environment
- The strategy of delivering Recommendation 5 is mindful of looking towards what has been done elsewhere in the spirit of experience sharing and to avoid duplication of effort
- Collaborating with the WCO Capacity Building Directorate will allow lessons learnt to be taken on board in the context of customs capacity building and to raise awareness about international capacity building programs

Recommendation 6

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

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.

Methodology

The APEC Single Window Implementation Guide with its framework and roadmap is intended as a simple yet flexible guide for APEC economies to assist in the design, build and implementation of their single window systems.

The implementation guide was developed with two components:

- A framework including a comprehensive list of single window components identified by APEC economies and entities outside of APEC in the context of the two-stage vision; and
- A roadmap containing elements and sub-elements drawn from international experience including those included in *UN/CEFACT Recommendation 33: Recommendation and Guidelines on establishing a Single Window* to enhance the efficient exchange of information between trade and government.

Framework

The framework provides a visual representation drawing the concept of the two stage process together with the components to be considered when developing a single window. A list of single window components was compiled to reflect possible inclusions when designing a single window system. Although this list aims to be comprehensive, it does not claim to be definitive. It was drawn up in a way that would allow it to be adapted to the needs of APEC economies.

The components are listed under the following categories:

- Reporting;
- Port Connectivity;
- Integrated Risk Assessment;
- Electronic Payment – Duty, Taxes and Fees;
- Permits, Certifications and Licences;
- Messaging – Security;
- Messaging – Format;
- Systems Access – Internal and External; and
- International Data Exchange.

Roadmap

The elements contained in the single window roadmap link the development of the physical single window environment to the APEC SCCP Single Window vision in two stages, firstly the development of single window systems within APEC economies with international interoperability as the second stage.

The roadmap diagram identifies core single window elements and drills down into key sub-elements for each. Project planning and international interoperability considerations have been listed separately as they can cover all stages of the design, build and implementation of single window systems.

Timelines

The action items, outputs and key milestones relevant to Recommendation 6 are described below:

Tasks/Action List	Outputs	Anticipated Timeframe for Delivery
<ul style="list-style-type: none"> • Development of concept • Develop user requirements • Develop draft Roadmap and Implementation Guide for SWWG consideration • Incorporate Roadmap and Framework into the Implementation Guide • Seek feedback from SWWG • Finalisation 	<ul style="list-style-type: none"> • Concept paper • Collated feedback • Draft guide • Collated Feedback • Deliver guide. 	<ul style="list-style-type: none"> • SCCP2 2008 • August 2008 • November 2008 • Workshop Feb 2009 • SCCP1 2009 • April 2009 • SCCP2 2009

Outputs

- Recommendation 6 Concept Paper
- Implementation Guide
- Framework
- Roadmap

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 guide
- International standards and instrument references included in the guide may increase 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 educational 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

Future Options for Single Window Activities in SCCP

During the APEC SCCP SWWG Phase 2 final workshop, participants from international standards organisations, private sector businesses and industry together with APEC member economies, discussed the future of the Single Window Working Group. The following options were discussed.

Single Window Working Group Continues to Phase 3

Continuation of the single window working group to Phase 3 would require an economy to chair the group. The momentum and support for the group remains strong and APEC is committed to the development of single window systems to deliver tangible trade facilitation improvements for the region.

Rename to Single Window Implementation Advisory Group

Discussion surrounding the activities that could be undertaken in the future focussed on supporting economies in an implementation phase. Renaming the group would support this progression.

Single Window Working Group Does Not Continue

The single window working group is not a permanent group and having completed all allocated tasks may not be required. The current economic climate has understandably seen Customs Administrations reassess expenditure to focus on core business. The option to discontinue a formal work plan under the 'single window' umbrella would allow complete flexibility for economies to pursue these developments at their own pace and on an ad-hoc basis.

A New Single Window Collective Action Plan (CAP) is Formed

A future work plan relating to single window development within the APEC region may be best co-ordinated by forming a new Single Window CAP. This would formalise Single Window related activities in the APEC SCCP context. A lead shepherd would need to be identified in order to make this option viable.

The Standing Common Data Elements / Paperless Trading CAP be Reviewed or Renamed

To ensure that the momentum of the work undertaken during Phases 1 and 2 continues, an alternative to forming a new CAP item is to capture the single window developments under the current Common Data Elements or Paperless Trading CAP.

Decision Point

These options will be presented to the full SCCP plenary for consideration and discussion in August 2009.

Identified Activities to Support Single Window Development for SCCP Members in the APEC Region

Following discussion about future single window activities within the APEC region, some common themes emerged, the content of which could be delivered through any of the options listed in the previous section.

The following information is presented as a pick list rather than as 'recommendations' as the pick list approach provides for greater flexibility for any economy or new group to have complete control over what they decide to deliver and the time frame allocated.

Pick List

- Regional and economy specific data harmonisation based on internationally recognised instruments and standards such as the World Customs Organization Data Model version 3;
- Delivery of legal issues and challenges workshops led by subject matter experts to support economies in their implementation of single window covering both domestic and international interoperability view points;
- Identify or establish best practice for goods / product identification to ensure all single window border agencies needs are met;
- Identify or establish best practice for client identification codes;
- Develop a framework for permit / licence / certification agencies and engagement with other government agencies;
- Change management training;
- Cost / benefit analysis training;
- Feasibility study training;
- Risk management training; and
- Data management training.

It was suggested that the Implementation Guide developed by the SWWG Phase 2 could be used to benchmark or assess progress and identify the types of assistance required by economies.

Continued APEC Business Advisory Council (ABAC) and other private sector industry engagement was requested to increase awareness of single window activities in the region and ensure ongoing collaboration and involvement.

Relevant Hyperlinks

UNCEFACT Recommendation 33

http://www.unece.org/cefact/recommendations/rec33/rec33_trd352e.pdf

UNCEFACT Recommendation 34

<http://www.unece.org/cefact/>

UNCEFACT Recommendation 35

<http://www.unece.org/cefact/>

Security and Accountability For Every Port (SAFE) Act of 2006

http://www.hklaw.com/content/maritime/mardocs/SAFE_Port_Act.pdf

APEC Single Window Repository

http://www.wcoomd.org/sw_overview_apec.htm

Glossary of Terms

APEC	Asia-Pacific Economic Cooperation
ASEAN	Association of Southeast Asian Nations
Authentication Tokens	Authentication tokens are used to prove one's identity electronically. The token is used in addition to or in place of a password to prove that the customer is who they claim to be. The token acts like an electronic key to access something.
Business Case	A Business Case is a document that provides justification for the initiation or continuation of a project. The document is expected to be updated at key milestones throughout the project. The Business Case is to confirm that a planned project makes business sense and is technically feasible. It might also be known as a Business Model.
Cascade Reporting	Cascade reporting refers to the process by which cargo reporters notify Customs of other cargo reporters on whose behalf they have carried cargo, or to whom they have on-sold space. Cascade reporting applies to the both air and sea cargo environments.
Certificate Policy (CP)/Certification Practice Statement (CPS)	When a certification authority issues a certificate, it is providing a statement to a certificate user (i.e., a relying party) that a particular public key is bound to the identity and/or other attributes of a particular entity. The extent to which the relying party should rely on that statement by the certification authority, however, needs to be assessed by the relying party or entity controlling or coordinating the way relying parties or relying party applications use certificates. Different certificates are issued following different practices and procedures, and may be suitable for different applications and/or purposes.
Digital Certificates	A digital certificate is an electronic document which uses a digital signature to bind together a public key with an identity including information such as the name of a person or an organisation, their address, and so forth. The certificate can be used to verify that a public key belongs to an individual.
Digital Signatures	A digital signature or digital signature scheme is a type of asymmetric cryptography. For messages sent through an insecure channel, a properly implemented digital signature gives the receiver reason to believe the message was sent by the claimed sender.
ECSG	Electronic Commerce Steering Group
Electronic Business using Extensible Markup Language (ebXML)	Electronic Business using extensible Markup Language (ebXML) is a family of XML based standards that provide an open, XML-based infrastructure that enables the global use of electronic business information in an interoperable, secure, and consistent manner by all trading partners.
Environmental Scan	An environmental scan provides insight into key developments and trends that will assist those responsible in the identification of risks and their potential impact.

Extensible Markup Language (XML)	Extensible Markup Language (XML) is a general-purpose specification for creating custom markup languages. It is classified as an extensible language, because it allows the user to define the mark-up elements. XML's purpose is to aid information systems in sharing structured data, especially via the Internet, to encode documents, and to serialize data. XML provides a basic syntax that can be used to share information between different kinds of computers, different applications, and different organisations without needing to pass through many layers of conversion.
File Transfer Protocol Secure (FTP/S)	File Transfer Protocol Secure (FTP/S) is an extension to the commonly used File Transfer Protocol that adds support for the Transport Layer Security and the Secure Sockets Layer cryptographic protocols.
Hypertext Transfer Protocol Secure (HTTPS)	Hypertext Transfer Protocol Secure (HTTPS) is a combination of the Hypertext Transfer Protocol and a cryptographic protocol. HTTPS connections are often used for payment transactions on the World Wide Web and for sensitive transactions in corporate information systems.
IATA	International Air Transport Association
ICC	International Chamber of Commerce
IMO	International Maritime Organisation
Internet Protocol Security (IPsec)	Internet Protocol Security (IPsec) is a protocol suite for securing Internet Protocol (IP) communications by authenticating and encrypting each IP packet of a data stream. IPsec also includes protocols for establishing mutual authentication between agents at the beginning of the session and negotiation of cryptographic keys to be used during the session.
Personal Identification Number (PIN)	A personal identification number (PIN) is a secret numeric password shared between a user and a system that can be used to authenticate the user to the system. Typically, the user is required to provide a non-confidential user identifier or token and a confidential PIN to gain access to the system. Upon receiving the User ID and PIN, the system looks up the PIN based upon the User ID and compares the looked-up PIN with the received PIN. The user is granted access only when the number entered matches with the number stored in the system.
Pre-population	The pre-population of forms is an initiative designed to reduce the reporting burden of business to government. It seeks to eliminate duplication and provide options for increased automation of business reporting.
Public Key Infrastructure (PKI)	The Public Key Infrastructure (PKI) is a set of hardware, software, people, policies, and procedures needed to create, manage, store, distribute, and revoke digital certificates.
SCCP	Sub-Committee on Customs Procedures
SDS	Standardised Data Set

Secure / Multipurpose Internet Mail Extensions (S/MIME)	S/MIME (Secure / Multipurpose Internet Mail Extensions) is a standard for public key encryption and signing of e-mail encapsulated in Multipurpose Internet Mail Extensions.
Short Message Service (SMS)	Short Message Service (SMS) is a communication service using standardised communications protocols allowing the interchange of short text messages between mobile telephone devices.
Simple Mail Transfer Protocol (SMTP)	Simple Mail Transfer Protocol (SMTP) is an Internet standard for electronic mail (e-mail) transmission across Internet Protocol (IP) networks.
Smart Cards	A smart card is any pocket-sized card with embedded integrated circuits which can process data. Smart cards can be used as a form of security authentication for single sign-on with large companies or organisations.
SWWG	Single Window Working Group
UML	Unified Modelling Language
UMM	UN/CEFACT Modelling Methodology
UN/CEFACT	United Nations Centre for Trade Facilitation and Electronic Business
Unique Consignment Reference (UCR)	The Unique Consignment Reference (UCR) is a reference number for Customs use and may be required to be reported to Customs at any point during a Customs procedure. The main objective of the UCR is to define a generic mechanism that has sufficient flexibility to cope with the most common scenarios that occur in International Trade. The basis of the UCR is to make maximal use of existing supplier, customer and transport references.
United Nations/Electronic Data Interchange For Administration, Commerce, and Transport (UN/EDIFACT)	United Nations/Electronic Data Interchange For Administration, Commerce, and Transport (UN/EDIFACT) is the international EDI standard developed under the United Nations. The work of maintenance and further development of this standard is done through the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) under the UN Economic Commission for Europe, in the Finance Domain working group UN/CEFACT TBG5. EDIFACT has been adopted by the International Organization for Standardization (ISO) as the ISO standard ISO 9735.
UNTDDED	United Nations Trade Data Element Directory
WCO	World Customs Organization
WCO DM	World Customs Organization Data Model
WTO	World Trade Organization



Experience Exchange in the Adoption of International Instruments and Standards in Single Window Initiatives

Final Report

APEC Sub-Committee on Customs Procedures

2008



Introduction

Recommendation 3 is one of the six recommendations in the APEC Sub-Committee on Customs Procedures (SCCP) Single Window Strategic Plan. It recommended that ‘the APEC economies adopt the use of internationally recognised instruments and standards in single window design to increase international interoperability’.

The following document has been developed to assist APEC member economies in the identification and adoption of relevant instruments and standards in single window design. This document outlines the work undertaken in the progressive delivery of Recommendation 3. The work consists of three phases, the outcomes of the standards and instruments survey, the outcomes and recommendations of the experience exchange workshop and a dossier of international and proprietary instruments and standards.

Background

In June 2007 the APEC SCCP endorsed the creation of a new SWWG as part of Phase 2. The SWWG is responsible for delivering on the following six recommendations:

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;
2. The UN/CEFACT definition of single window (UN/CEFACT Recommendation 33) be adopted by APEC economies;
3. The APEC economies adopt the use of internationally recognised instruments and standards in single window design to increase international interoperability;
4. The SCCP establish a repository to capture information regarding relevant Single Window related initiatives in international trade facilitation and supply chain security;
5. The SCCP identify and coordinate relevant capacity building Single Window activities; and
6. The SCCP prepare a roadmap and implementation plan to achieve the single window vision.

The Single Window Strategic Plan was produced as part of SCCP SWWG Phase 1 in 2007. It provides a framework to support the development of national single windows drawing from current single window initiatives, experience and supporting standards.

Recommendation 2 in the Strategic Plan saw APEC economies adopt the UN/CEFACT Recommendation 33 definition of a 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 3 in the Single Window Strategic Plan supports this by encouraging international interoperability of single window systems within the APEC region.

The environment scan conducted within APEC economies during Phase 1 was captured in the APEC SCCP Single Window Development Report. This scan revealed a number of standards and instruments currently used and highlighted that several economies were looking for advice and guidance. The products delivered in response to Recommendation 3 seek to build upon this work by providing economies with information that will assist in the identification and adoption of relevant instruments and standards in single window design.

As part of its APEC host year in 2008, Peru adopted the issue of instruments and standards as a key theme. In support of this, Peru hosted a workshop on 'Experience exchange in the adoption of international instruments and standards in Single Window initiatives' in Arequipa, Peru, from 20-22 May 2008. Peru also drafted a survey which was sent to all APEC economies seeking detailed information on the instruments and standards currently in use or intended to be used into the future. In doing so, Peru has taken the lead for delivery of Recommendation 3.

Further to this work, a comprehensive reference guide was 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.

Definition of 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.

Deliverables

The deliverables of Recommendation 3 are:

- A final report for Recommendation 3 including:
 - Survey results: 'Adoption of international instruments and standards in APEC single window initiatives';
 - Outcomes from the workshop 'Experience exchange in the adoption of international instruments and standards in Single Window initiatives; and
 - Dossier of Single Window related instruments and standards.

This final report is therefore intended to be read in conjunction with the other Recommendation 3 deliverables.

Project Phases

The 'Experience exchange in the adoption of international instruments and standards in Single Window initiatives' project consisted of three phases. The first phase involved the development and distribution of a survey to collect information about adopted international standards, where they have been used and the steps followed by APEC economies in implementing these standards in their single window design. The second phase of the project involved a workshop specifically focused on exchanging best practice and experience in the use of international instruments and standards. The third and final phase of the project involved the production of a final report and a dossier of international instruments and standards related to single window design.

Phase 1 Survey: Adoption of International Instruments and Standards in APEC Single Window Initiatives.

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.

The survey was distributed to all 21 APEC member economies with 17 economies providing responses at the time of writing this report, (see Attachment B). This survey permits us to identify training needs, many of which have been covered or will be covered in the three Workshops that the SWWG Phase 2 has planned. In addition, many of the SW projects have or plan to have experts, who have covered or will cover other needs. The following training needs could be considered for future workshops:

- Project management.
- Change management.
- Experiences and practical cases in implementing SW.

Regarding technical issue could be:

- PKI programming skill and skills to install and maintain digital certificates and PKI software.

Phase 2 Workshop: Experience exchange in the adoption of international instruments and standards in Single Window initiatives.

This workshop was designed to provide a forum for the discussion of all aspects of international instruments and standards in single window design, and an opportunity to share experiences and best practice examples. (See workshop agenda at Attachment A)

Attendees at the workshop included representatives from APEC member economies including: Australia, Chile, China, Indonesia, Japan, Mexico, Papua New Guinea, Peru, Philippines, Russia and Chinese Taipei. Also in attendance at the workshop were representatives from a number of Peru's other government agencies, business and industry representatives and subject matter experts.

The workshop included a number of presentations related to international instruments and standards in single window design. These presentations focused on the four key topics being 1. Process analysis, simplification and improvement, 2. Document simplification and standardisation, 3. Data harmonisation and exchange, messaging and security and 4. Systems integration.

Australia delivered a presentation on the topic of process analysis, simplification and improvement. It provided an overview of Australian Customs *Enhanced Trade Solutions 2015* program which included an overview of the current international trading environment. This presentation highlighted the importance of having a vision and outlined the manner in which Australia identified the benefits of such a program and the methodologies to be employed in achieving those benefits.

Japan delivered a presentation on the topic of document simplification and standardisation that set out their plans for reengineering their two national single window systems into one which will result in a reduction in lead times. This explanation of Japan's single window system provided clarification around the concept of a single window. Japan's explanation of the evolution of their information systems highlighted the need for continuous improvement in system information and systems integration.

Australia delivered a second presentation on the topic of data harmonisation that provided an overview of the Australian Customs *Standardised Data Set* project outlining their experience in coordinating a whole-of-government approach to data collection and harmonisation. The presentation also included a demonstration of a UML analysis and design tool that accurately represents the business processes and data requirements of partner government agencies.

Chinese Taipei delivered a presentation on the topic of systems integration that outlined Chinese Taipei's experience integrating systems and the benefits derived. The presentation also included a detailed explanation of the standards employed by Chinese Taipei in performing their systems integration and the key factors that contributed to the successful integration of their systems.

A key outcome of the workshop was the identification of recommendations relating to the adoption and use of international instruments and standards in single window design. The recommendations identified have been grouped under the four sub-headings:

Process analysis, simplification and improvement

- To collect information from government agencies in a way that permits the identification of process duplication, or where there is no value added, so as to achieve a final result that ensures trade and transport facilitation.
- To make a diagnostic of the identification of processes for the gradual step-by-step implementation.
- Frameworks, political will and commitment, in accordance with strong business support.
- To use same standards, instruments and a common language in data standardisation among government agencies and business, so that a common training program can be devised.
- National diffusion in order to reach strong commitment from agencies.
- Top political decision (commitment) to start the process-project, and strong leadership thereafter.
- Legal framework to commence the process that determines clear objectives.
- A clear project plan, including project team design and timeframe, should be established to start the process; the team leader should have expertise in business requirements.
- Involvement of all stakeholders at the early stage of the process.
- Alignment to international standards to maximise long-term international interoperability.
- Common understanding of involved agencies and exchange of the procedures etc. among them.

Document simplification and standardisation

- There must be government support at an executive level (financial and legal) in order to design an effective policy that should link all public agencies to work together, and share information to implement Single Window initiatives in a first level to reach simplification.
- With a view to implementing a SW system, economies must consider: (a) Political decision, (b) Public sector will, (c) Private sector commitment.
- Standardisation and simplification must not focus only on physical means or documents themselves, but instead on the quality and pertinence of the information required.
- Simplification and standardisation of documents should approach international standards but allow certain flexibilities related to common wealth principles (e.g. national security, sanitary issues and human health).
- Validation of forms and formats by the agencies in coordination with the leader authority using a common or harmonised language.
- Agencies required information must be defined before the data model benchmarking process; then economies will be able to choose a data model or design their own model.
- Execution and periodical review, among our international trade operators, of this system in order to improve and solve trade operational problems.

Data Harmonisation and Exchange, Messaging and Security

- Data from agencies should be collected using a questionnaire when you are trying to harmonise agency information.
- Information should be harmonised to create a dictionary of terms for international trade.
- A multi-agency committee should be created to define the intent and goals. Several working groups should be formed, including industry and government subject matter experts, to work on detailed areas such as business mapping, process reengineering and legal issues.
- International standards and instruments must be used in Single Window design and implementation. Examples include, ebXML, PKI, WCO Data Model.
- Information must be protected to ensure privacy and integrity are maintained. Examples include SSL encryption, PKI authentication and non-repudiation, access levels maintained for staff, and access audit trail.
- Internationally recognised modelling methodology should be used such as UN/CEFACT, UMM, UML.
- Single access key to government supports single window and government interoperability.
- Economies should adopt paperless trading for international trade.
- To have an inventory of process, forms and data sets.
- To compare the information collected in order to come up with the data sets.
- To choose a standard and to match agency data elements to this standard.
- To use international standards and protocols.
- To use web services and AB XML and UN/CEFACT.
- To use digital certificates which are delivered by certified authorities which are regulated by a government entity.

Systems Integration

- To obtain political support, identifying an area that takes the leadership and responsibility of the project, requiring that all agencies involved have sufficient financial resources.
- To use the WCO Data Model as the base standard for the definition of data elements.
- To establish a common methodology to develop the project sharing objectives, aims and roles of each agency and private sector.
- To ensure that the process modelling is made with a recognised standard such as UML because it is internationally accepted for APEC economies.
- Inside each agency must exist multi-disciplinary groups, since the integration of systems is not only an IT job: laws procedures and operations are also involved. Take care of the simplification of documents and re-engineering of procedures before computerization.
- To generate training programs in order to involve the users of these integrated systems.
- From the beginning, set a clear strategy, scope and goal for the project. Regarding setting the strategy, we include the definition of who is going to manage the SW initiative (outsourced or internal managed by government)
- Commitment of government and private sector.
- To conduct a promotion and communication process among all agencies involved as key issue to reduce the project risk.
- To carry out the framework process for systems integration as key factor for success.
- To use the ebXML standard for electronic data interchange (over a pre-defined list of messages to be interchanged among agencies)
- Use of UML as analysis tool for systems development.
- In those economies where the SW initiative is just beginning, we recommend, in spite of their own requirements, to develop one unique and integrated point of access, what we called 'One Document One Window'. If it is not possible, develop a full standards-based solution to facilitate a further integration process.

Phase 3 Final Report: Experience Exchange in the Adoption of International Instruments and Standards in Single Window Initiatives Project.

This final report will be presented during the PERU APEC 2008 host year. It will summarize and present the key outcomes of the information collected in the survey, the recommendations identified at the workshop and also the dossier of international instruments and standards related to single window design. (See Attachment C)

Attachments B and C to this report are available on a CD which can be obtained by contacting
international@customs.gov.au

Attachment A: Draft Timetable and Programme

Tuesday, 20 May	
09.00 to 09.30	Registration
09.30 to 10.00	<p>Welcoming Remarks Representative of APEC Secretariat Representative of Peruvian Tax and Customs Administration</p> <p>Summary of Workshop Activities, Outcomes, and Next Steps Project Overseer</p>
10.00 to 11.00	<p>Presentation and discussion WCO</p>
11.00 to 11.15	Tea/ Coffee Break
11.15 to 12.15	<p>Presentation and discussion UNECE</p>
12.15 to 13.45	Lunch Break
13.45 to 14.20	<p>Case Study: Process Analysis, Simplification, and Improvement Australia</p>
14.20 to 15.00	Group (3) discussions of key issues arising from Case Study and Presentations.
15.00 to 15.15	Tea/ Coffee Break
15.15 to 16.00	Report back from each group, and plenary discussion.
16.00	Close

Wednesday, 21 May	
09.00	<p>Review of Day 1 and Introduction to Day 2 Project Overseer</p>
09.15 to 09.50	<p>Case Study: Document Simplification and Standardisation Canada</p>
09.50 to 10.30	Group (3) discussions of key issues arising
10.30 to 11.10	Report back from each group, and plenary discussion
11.10 to 11.25	Tea/ Coffee Break
11.25 to 12.00	<p>Case Study: Data Harmonisation and Exchange, Messaging, and Security Thailand</p>
12.00 to 12.40	Group (3) discussions of key issues arising
12.40 to 14.10	Lunch Break
14.10 to 14.50	Report back from each group, and plenary discussion
14.50 to 15.25	<p>Case Study: Systems Integration Chinese Taipei</p>

15.25 to 15.40	Tea/ Coffee Break
15.40 to 16.20	Group (3) discussions of key issues arising
16.20 to 17.00	Report back from each group, and plenary discussion
17.00	Close

Thursday, 22 May	
09.00	Review of Day 2 and Introduction to Day 3 Project Overseer
09.15 to 10.00	Presentation of Initial Findings from 'International Standards' Questionnaire Chris Page, APEC Consultant
10.00 to 10.15	Tea/ Coffee Break
10.15 to 11.45	Working Group discussions of standards, and elaboration of recommendations Group 1: Process Analysis, Simplification, and Improvement Group 2: Document Simplification and Standardisation Group 3: Data Harmonisation and Exchange Group 4: Systems Integration
11.45 to 12.30	Report back from each group, and plenary discussion (1)
12.30 to 14.00	Lunch Break
14.00 to 15.15	Report back from each group, and plenary discussion (2)
15.15 to 15.35	Tea/ Coffee Break
15.35 to 16.00	Summary of Recommendations Follow-up Actions and Next Steps Project Overseer Closing Address Representative of Peruvian Tax and Customs Administration
16.00	Close

Workshop One – Chinese Taipei

Day	Time	Topic	Instructor
27/10 Monday	09:10-10:10	<i>Registration</i>	
	10:10-11:00	<i>Opening Ceremony</i>	
	10:10-12:00	<i>Orientation</i>	
	13:30-14:20	<i>Introduction of Automated Cargo Clearance System of Chinese Taipei</i>	Ms. Ming LIN (Customs)
	14:30-15:20	<i>Introduction of MTNet of Chinese Taipei</i>	Mr. James. Shu (MOTC)
	15:30-16:20	<i>Introduction of FTNet of Chinese Taipei</i>	Ms. Susan Lu (BOFT)
	17:30-19:00	<i>Reception</i>	
28/10 Tuesday	9:10-9:15	<i>Overview of APEC SCCP SWWG</i>	Ms. Julie Olarenshaw (Australia)
	9:15-10:30	<i>Overview of WCO Data Model (WCO)</i>	Mr. William Nolle (U.S CBP)
	10:30-11:00	<i>Overview of the outcomes from the Peru workshop on the harmonization of standards and instruments</i>	Ms. Febres Zapata Flor de Maria Isela (Peru)
	13:30-15:10	<i>Standardised Data Set (SDS) Project Steps</i>	Ms. Julie Olarenshaw (Australia)
	15:20-17:10	<i>Data Harmonization Policy, Organization and Steps</i>	Mr. Eric Sunstrum (Canada)
29/10 Wednesday	9:10-10:40	<i>Best Practices Sharing -Single Window System as a government-wide initiative</i>	Mr. Chang Shihui (China)
	10:50-12:20	<i>Best Practices Sharing -Single Window System and Data Harmonization</i>	Mr. William Nolle (U.S CBP)
	13:30-15:00	<i>Best Practices Sharing -Single Window System as a government wide initiative</i>	Ms. Patricia POH (Singapore)
30/10 Thursday	9:10-11:10	<i>Study Visit (Trade Van)</i>	
	13:30-18:20	<i>Kaohsiung Customs Bureau site visit</i>	
31/10 Friday	9:10-17:20	<i>Study Visit (Kaohsiung Harbour Bureau)</i>	
01/11 Saturday	9:10-12:00	<i>Conclusion and Closing Ceremony</i>	
	13:30-16:20	<i>Farewell</i>	

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



Day 1 Monday 2 February 2009 All Participants – Customs House

Time	Activity
8.10	Pick up from Hotels
8.30 – 8.55	Registration
9.00 – 9.30	Official Opening
9.30 – 09.45	Official Photograph
09.45 – 10.15	Morning Tea

Stream 1 Customs House

Time	Activity
10.30 -10.40	Admin/Agenda
10.40 -11.00	APEC SWWG Overview
11.00 -11.30	Whole of Government collaboration & benefits
11.30 -12.00	Design Principles
12.00 -13.30	Lunch Provided
13.30 -14.20	Integrated Cargo System
14.20 -15.00	Single Window Architecture
15.00 -15.20	Afternoon Tea
15.20 -15.50	System/Message Security
15.50 -16.30	Time Release Study
16.30	Return to Hotel
18.30	Pick up for Optional Dinner (self funded)

Stream 2 Cliftons Training Centre

Time	Activity
10.15	Travel to Cliftons
10.30 – 11.00	Admin/Agenda
11.00 – 11.45	International trade
11.45 – 12.30	Work Environment
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	UML Foundation Session
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	XML Foundation Session
17.00	Return to Hotel
18.30	Debauch (C)

Day 2 Tuesday 3 February 2009

Stream 1 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 -10.00	UN/CEFACT Overview
10.00 -10.20	Morning Tea
10.20 -12.00	UN Instruments and Tools UNTDED, CCTS, UNEDocs & UN Layout Key
12.00 -14.00	Lunch (self funded)
14.00 -14.40	E-Cert Overview
14.40 -15.20	Legal and Privacy
15.20 -15.40	Afternoon Tea
15.40 -16.10	GateKeeper
16.10 -16.40	Electronic Certificate of Origin
16.40	Return to Hotel
18.30	Pick up for Optional Dinner (self funded)

Stream 2 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review Day 1
9.00 – 9.45	Business Analysis Introduction
9.45 – 10.10	UMM Tools
10.10 – 10.30	Morning Tea
10.30 – 12.30	Process Models
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	Information Models
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	Harmonisation and Governance / Export Declaration exercise
17.00	Return to Hotel
18.30	Olims (C)

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

Day 3 Wednesday 4 February 2009

APEC SSCP
 SWWG
 Capacity Building
 Workshop Series

Stream 1 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 -10.00	Enhanced Trade Solutions
10.00 -10.20	Morning Tea
10.20 -12.00	Developing the APEC Single Window Roadmap and Implementation Strategy
12.00 -12.30	Stream 1 Customs House Sessions Wrap up
12.30 -16.30	Excursion City Tour/Zoo (Lunch and Afternoon Tea self funded)
16.30	Return to Hotel

Stream 2 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review of Day 2
9.00 – 10.00	Core Components Practice
10.00 – 10.20	Morning Tea
10.20 – 12.30	Export Declaration Final Model
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	XML Generation and Publishing
15.00 – 15.20	Afternoon Tea
15.20 – 16.40	Model Management
16.40 – 17.00	Wrap up and feedback
17.00	Return to Hotel

18.30 Pick up for Optional BBQ Dinner Provided Stage 88 (C)

Note – Streams 1 and 2 have completed the first half of the program and move to the second half of the program

Day 4 Thursday 5 February 2009

Stream 1 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.15	Admin/Agenda
9.15 – 10.00	International Trade Overview
10.00 –10.20	Morning Tea
10.20 – 11.10	Work Environment
11.10 – 12.30	UML Foundation Session
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	UML Foundation Session cont.
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	XML Foundation
17.00	Happy Hour / Return to Hotel

Stream 2 Customs House

Time	Activity
08 45	Travel to Customs House
9.00 – 9.10	Admin/Agenda
9.10 - 9.30	APEC SWWG Overview
9.30 - 10.00	Whole of Government collaboration & benefits
10.00 – 10.30	Morning Tea
10.30 - 11.10	Design Principles
11.10 – 12.00	Integrated Cargo System
12.00 -13.50	Lunch Provided
13.50 - 14.30	Single Window Architecture
14.30 - 15.10	System/Message Security
15.10 -15.40	Afternoon Tea
15.40 -16.25	Time Release Study
16.30	Happy Hour / Return to Hotel

18.30 Walk from Happy Hour to Optional Dinner (self funded) Venue (TBC)



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



Day 5 Friday 6 February 2009

Stream 1 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review of Day 1
9.00 – 9.45	Business Analysis Introduction
9.45 – 10.10	UMM Tools
10.10 – 10.30	Morning Tea
10.30 – 12.30	Process Models
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	Information Models
15.00 – 15.20	Afternoon Tea
15.20 – 17.00	Harmonisation and Governance / Export Declaration Exercise
17.00	Return to Hotel

Stream 2 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 - 10.00	UN/CEFACT Overview
10.00 - 10.20	Morning Tea
10.20 - 12.00	UN Instruments and Tools UNTDED, CCTS, UNEDocs and UN Layout Key
12.00 - 14.00	Lunch (self funded)
14.00 - 14.40	E-Cert Overview
14.40 - 15.20	Legal and Privacy
15.20 - 15.40	Afternoon Tea
15.40 - 16.10	GateKeeper
16.10 - 16.40	Electronic Certificate of Origin
16.40	Return to Hotel

18.30	Pick up and travel to Official Dinner Provided University House (C)
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Day 6 Saturday 7 February 2009

Stream 1 Cliftons Training Centre

Time	Activity
08.30	Travel to Cliftons
8.45 – 9.00	Review of Day 2
9.00 – 10.00	Core Components Practice
10.00 – 10.20	Morning Tea
10.20 – 12.30	Export Declaration Final Model
12.30 – 13.30	Lunch (self funded)
13.30 – 15.00	XML Generation and Publishing
15.00 – 15.20	Afternoon Tea
15.20 – 16.40	Model Management
16.40 – 17.00	Wrap up and feedback
17.00	Return to Hotel

Stream 2 Customs House

Time	Activity
08 45	Travel to Customs House
09.00 – 9.15	Opening Remarks
09.15 -10.00	Enhanced Trade Solutions
10.00 -10.20	Morning Tea
10.20 -12.00	Developing the APEC Single Window Roadmap and Implementation Strategy
12.00 -12.30	Stream 2 Customs House Sessions Wrap Up
12.30 -16.30	Excursion City Tour/Zoo (Lunch and Afternoon Tea self funded)
16.30	Return to Hotel

18.30	Pick up for Optional Excursion (self-funded)	National Multicultural Festival
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Workshop 3 Agenda
APEC Sub Committee on Customs Procedures (SCCP) Single Window Working
Group (SWWG) Phase 2

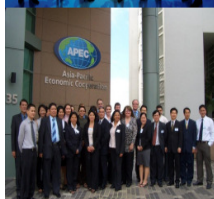
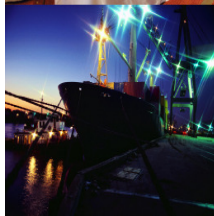
Day 1 Wednesday 1 April 2009 – APEC Secretariat

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 UNTDED, 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	

APEC SCCP
 SWWG
 Capacity Building
 Workshop Series



Workshop 3 Agenda
APEC Sub Committee on Customs Procedures (SCCP) Single Window Working
Group (SWWG) Phase 2



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	Morning Tea	
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	Lunch (not provided)	Optional - Rolling Wok Restaurant
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	Afternoon Tea	
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	Morning Tea	
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	Lunch (not provided)	Optional - Rolling Wok Restaurant
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	Afternoon Tea	
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	

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	Morning Tea Break	
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 21st 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	Lunch Break	Sponsored by: NCS Pte Ltd
1.40 – 2.00	Questions and Answers	All Previous Session Presenters
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	Afternoon Tea Break	
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 & Recommendations</i>	Mr Mike Doran Chairman UN/CEFACT Forum Management Group
4.30 – 4.50	Questions and Answers	All Previous Session Presenters
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	Morning Tea Break	
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	Questions and Answers	All Previous Session Presenters
12.30 – 1.40	Lunch Break	Sponsored by: CrimsonLogic Pte Ltd
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	Afternoon Tea Break	
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"> • Draft final report • Rec 6 Implementation Guide <ul style="list-style-type: none"> ○ Framework ○ Roadmap 	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"> Draft final report Rec 6 Implementation Guide continued... 	Group 1 – Facilitated by Singapore Group 2 – Facilitated by US Group 3 – Facilitated by Japan Group 4 – Facilitated by Thailand
10.00 – 10.30	Morning Tea Break	
10.30 – 11.20	Group discussion: <ul style="list-style-type: none"> Future of SWWG 	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	Workshop Closed	

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.

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