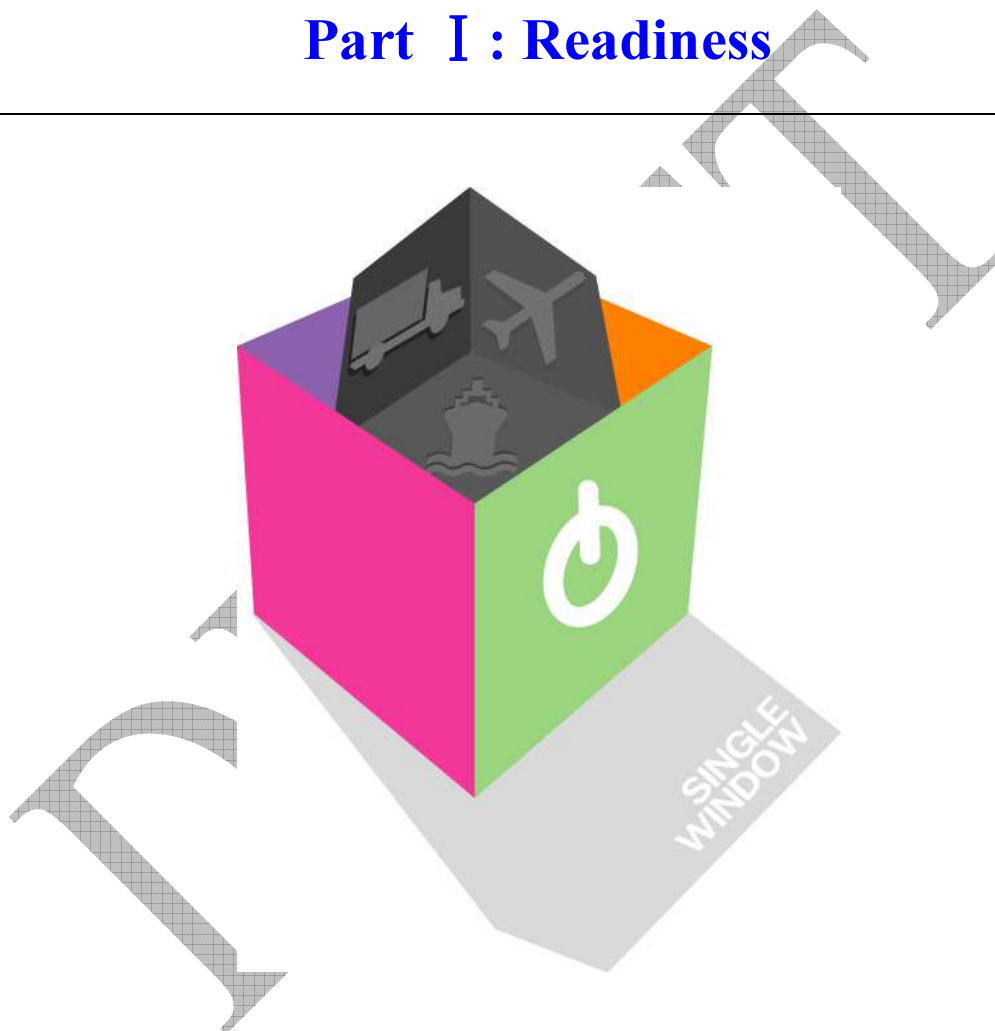# UNNExT Single Window Checklist
Part Ⅰ : Readiness

Ⅰ Introduction

1. Background

A Single Window (SW) is an approach to efficiently coordinate process and data needed to satisfy trade-related regulatory requirements with single entry point for traders. Due to its potential benefits, many countries in Asia and the Pacific have already implemented Single Windows and many others also consider implementation. Implementing a Single Window is not simply developing a facility, but nurturing an enabling environment in many areas.

Understanding their readiness before implementing a Single Window enables countries to identify where their shortcomings are and make more practical planning for implementable model. In response to the High-Level Symposium on Building Regional Capacity for Paperless Trade, held on Mar. 24 - 25 2009 in Bangkok, Thailand, pointing out the "need for a checklist for action for establishment of a single window," ESCAP and UNECE have developed the Single Window Checklist with the support of the United Nations Network of Experts for Paperless Trade in Asia and the Pacific (UNNExT)

2. Purpose

To provide policy managers responsible for implementing single windows with an easy-to-follow reference checklist for assessing countries' readiness in basic requirements.

The benefits this checklist can bring about are as follows:
- ✓ It can assist countries to plan effectively, prior to SW implementation.
- ✓ An analysis of checklist results can reveal problem areas that need to be addressed early in the preparation process
- ✓ It will highlight areas which need capacity building and technical assistance
- ✓ It can point to solutions which are relatively easy for a country to undertake using its own resources
- ✓ It can indicate areas for which in-depth trade facilitation reform would be required
- ✓ It can help countries which are preparing to implement SEW to draft their Master Plan

3. Target Audiences

The checklist is intended to support policy managers[1] in the countries not implemented Single Windows yet, to assess and plan future implementation of a Single Window. The checklist can be also useful for the policy managers of those countries that already implemented Single Windows in planning future improvement.

4. Structure

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[1] Policy managers are government officials who are in a position to prepare policy improvement recommendations and implement policies with specific programs.
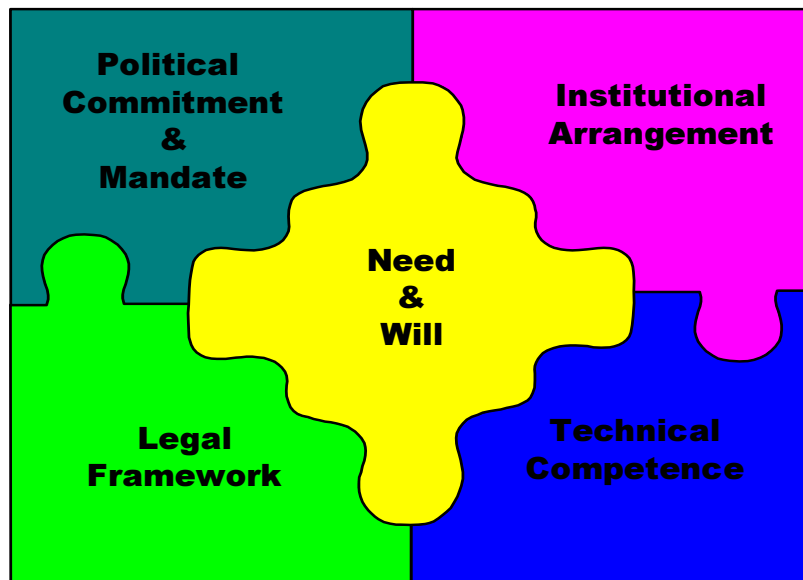
The UNNExT Single Window Checklist is composed of two parts – Readiness and Implementation. Part Ⅰ is readiness checklist, allowing national policy managers to assess their readiness in implementing a Single Window through a review of key aspects of enabling environment. Part Ⅱ is implementation checklist, to be used in actual implementation of a Single Window as a practical guide. This checklist comprises Part Ⅰ of UNNExT Single Window Checklist.

The Readiness Checklist is mainly composed of introduction, checklist and annexes:
⑴ Introduction explains background and purpose of the checklist, target audiences and its structure and usage;
⑵ Checklist is the actual checklist composed of questions to answer. National stakeholders may use it to assess their national readiness; and.
⑶ Annexes provide annotation to checklist, which supplies additional explanation on the questions in the checklist, and information on useful references for Single Window implementation.

The Checklist part is structured with questions around sub-categories belonging to one of 5 core categories as follows:
- ➢ Need and Will
- ➢ Political Commitment and Mandate
- ➢ Institutional Arrangement
- ➢ Legal Framework
- ➢ Technical Competence

5. How to Use

Responding policy managers (Respondents) are to complete each question with Yes or No. If necessary and relevant, the Respondents are recommended to provide observations/comments in the corresponding space. If Respondents need additional information and clarification on question(s), they may refer to the Annotation provided in the Annex 1.

Upon completion of the checklist, consultants/advisors analyze the result of the completed checklist. Based on the result of the analysis, they identify the capacity gaps and capacity building needs.

II Checklist

1. Need and Will

Sub-Categories	Questions	Yes	No	Comments/Observations
Need	Are there identified and commonly understood problems in trade process and documentation?	☐	☐	
	Are there major trade-related barriers to attracting or promoting foreign direct investment?	☐	☐	
	Is national competitiveness at stake due to trade-related barriers?	☐	☐	
	Does your country have regional-level commitment to Single Window or paperless trade initiatives?	☐	☐	
Awareness, Willingness, Desire and Resolve	Are trade-related government agencies aware of the benefits of trade facilitation measures such as paperless trade and Single Window?	☐	☐	
	Is trading community aware of the benefits of trade facilitation measures such as paperless trade and Single Window?	☐	☐	
	Do major stakeholders have proper understanding on what trade facilitation can bring about and what it cannot?	☐	☐	
	Is there a government mandate for trade facilitation?	☐	☐	
	Is there a public commitment to trade facilitation from top political or government figure?	☐	☐	
	Is there any initiative or commitment from private sector on trade facilitation?	☐	☐	
Business Case	Is your country's trade volume big enough to justify the expenses for major Single Window or paperless trade initiatives?	☐	☐	
	Can the business value of Single Window implementation be demonstrated to major stakeholders?	☐	☐	
	Are there potential sources of funding to be secured for Single	☐	☐	

		Yes	No	
	Window implementation?			
	Has feasibility study (including cost benefit analysis) prepared or done for any paperless trade or Single Window initiatives?	☐	☐	

2. Political Commitment and Mandate

Sub-Categories	Questions	Yes	No	Comments/Observations
Vision	Is there a national export (or export promotion) strategy?	☑	☐	
	Is there a national trade (and transport) facilitation strategy such as Trade Facilitation Action Plan?	☐	☐	
	If yes, is it part of any bigger national strategy?	☐	☐	
	Has your government identified trade facilitation as a policy objective?	☐	☐	
	Is there any master plan or roadmap for trade facilitation, especially in the area of paperless trade and/or Single Window?	☐	☐	
	Do you have human and technical capacity to develop a master plan on trade facilitation?	☐	☐	
Sponsorship & Leadership	Is there a cabinet-level support for trade facilitation?	☐	☐	
	Is there an existing or potential political champion to support paperless trade initiatives?	☐	☐	
	Has a lead agency been identified for paperless trade or Single Window initiatives?	☐	☐	
	Has the role of a lead agency been defined?	☐	☐	
Funding	Has assessment on funding requirement done for Single Window implementation?	☐	☐	
	Has financing source for Single Window implementation been already identified?	☐	☐	

3. Institutional Arrangement

Sub-Categories	Questions	Yes	No	Comments/Observations
Coordination	Is there a national mechanism to coordinate trade-related	☐	☐	

Mechanism	regulatory agencies?			
	Is there a platform for coordinating interests and concerns of trade community?	☐	☐	
	Has a National Trade (and Transport) Facilitation Committee (NTTFC) established? If yes, is it active? - Does the NTTFC have effective coordination function? - Does the NTTFC have all the major public and private sectors stakeholders as members?	☐ ☐ ☐ ☐	☐ ☐ ☐ ☐	
	Has the NTTFC included implementation of paperless trade or Single Window initiatives in its work programme? If no, is there any other platform for implementation of paperless trade or Single Window initiatives	☐ ☐	☐ ☐	
	Has communication strategy been set for Single Window implementation?	☐	☐	
	Has change management strategy been set for Single Window implementation?	☐	☐	
	Do you need capacity building support in arranging appropriate coordination mechanism?	☐	☐	
Business & Operation Model	Has there been a consensus on feasible operation model of a Single Window? If yes, please indicate. - Integrated model - Interfaced model - Hybrid (mixed) model - Others (Please specify)	☐ ☐ ☐ ☐	☐ ☐ ☐ ☐	
	Has potential operator of a Single Window identified?	☐	☐	
	Has there been a consideration on business model of a Single Window? If yes, please indicate. - Free of charge	☐ ☐	☐ ☐	

	☐	☐	
...een a consideration on various options for funding ...entation of a Single Window such as a Public ...tnership (PPP)?	☐	☐	
...ideration given to long-term sustainability in ...he best operational model?	☐	☐	
...ed capacity building support in designing best ...usiness model?	☐	☐	

Questions	Yes	No	Comments/Observations
...y done on legal gap of national laws for ...ation and operation of a Single Window?	☐	☐	
...ve laws governing e-Business/e-Commerce?	☐	☐	
...ve laws governing e-Government?	☐	☐	
...ve laws governing electronic signature, such as ...signature act?	☐	☐	
...al equivalence of electronic document to paper ...guaranteed in legal provision?	☐	☐	
...ational law covering procedures and technologies for ...on, authorization and authentication of users, as a ...ensure quality, accuracy and integrity of data, in	☐	☐	
...data protection mechanisms available to ensure ...ivacy and confidentiality of personal and business ...n?	☐	☐	
...egal provision to facilitate secure cross border data	☐	☐	
...tandard procedure for electronic archiving of ...n in place?	☐	☐	