Capacity Building Workshop on Facilitation of Cross-border Paperless Trade in Asia and the Pacific
24 March 2017
Bangkok, Thailand

UN/CEFACT Recommendation on Single Window Interoperability
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Single Window Interoperability

• The purpose of this Recommendation is to provide details of the preparations needed and the models for information sharing before implementing bilateral, multilateral (sub-regional, regional) or international Single Windows, and to give examples of best practice.

• The aim of interoperability should be to exchange accurate, complete data (datasets) speedily, seamlessly and securely to the greatest benefit for operators and users.
Single Window Interoperability (contd.)

• The Recommendation does not aim to define the technical specifications or standards for Single Window interoperability, but rather highlights key issues to be considered before Single Window implementation proceeds.

• the Guidelines to the Recommendation provide models and example approaches, including available tools and standards for reference purposes, but designers and implementers should build an interoperability model best suited to identified government requirements as well as the commercial and trading needs of the business community.
Single Window Interoperability

Supporting Cross Border Interoperability of Trade Regulatory Single Window Systems by looking across four areas:

• **Business Needs** - the primary drivers and needs for Single Window Interoperability

• **Semantics** - type of business processes and information to be exchanged and existing semantic frameworks

• **Governance** - most appropriate model(s) for governance of the interoperability activity.

• **Legislative** - regional and bilateral trading obligations.

Source: UN/CEFACT Project on Single Window Interoperability (Project for a future Recommendation 36). In progress. At this time, should be going for Public Review. Information at: https://www2.unece.org/cefact
SW Interoperability – Business Needs

• Why interoperability?
  • Regional integration
  • Trade facilitation
  • Risk analysis purposes
  • Advanced security declarations
  • Preparation border volumes
  • Combat illicit activity

• Benefits of SW Interoperability

• Identify the key stakeholders
  • Capture their interests and requirements
  • Categorize these needs (strategic, business, operational, technical)

• Some pre-requisites:
  • Must have a sufficient volume of trade between economies
  • Strength of political will
SW Interoperability – Technical and Semantic Aspects

- Levels of interoperability
  - Legal level
  - Dataset level
  - Business Process level
  - Message level (syntax)

- Conformance versus compliance to standards
SW Interoperability – Legal Aspects

Checklist similar to that of Recommendation 35

- Legal basis for establishing cross-border interoperability
- Organizational structure for interoperability
- Identification, authentication and authorization procedure
- Ownership of data
- Right to obtain data from the Single Window
- Privacy and protection of commercial information
- Accuracy and integrity of data
- Liability issues
- Jurisdiction
- Data retention, archiving, and audit trails
- Intellectual property rights and database ownership
- Competition law
- Dispute resolution
SW Interoperability – Governance Issues

At a minimum the following aspects should be addressed:

• A clear definition of the regime
• An understanding of the way the regime will operate and the scope of the persons, parties, and other legal entities subject to the regime
• A minimum of allowable exceptions
• An unambiguous set of sanctions and legal penalties imposed in the event of contravention or non-compliance where possible (given sovereignty issues)
• Acceptance by the majority that the regime will be both beneficial and enforceable
• An awareness program informing the parties subject to the regime of its scope and implementation
• A open and transparent consultation process to seek views and opinions from all stakeholders subject to the regime
SW Interoperability – Governance Issues

• Centralized Model versus Gateway/Distributed Model or a Hybrid of the two

• Three phases to implementation:
  • Initial Stage of designing SW Interoperability
  • Development of SW Interoperability
  • Operation of SW Interoperability
SW Interoperability – Governance Issues

• Governance during the initial stages of designing

- Processes
  • Uses existing processes for decision-making (unicentric or multicentric)
  • Action: develops new decision-making processes

- Actions
  • Defining the vision: technical and legal structures, operational requirements
  • Other Actions to further develop governance model as needed

- Verification
  • Uses existing means of verification
  • Action: identifies benchmarks and sets accountability

- Powers
  • Utilizes existing power structures (hierarchical or negotiated)
  • Action: assigns new powers
SW Interoperability – Governance Issues

• Governance during the development stage

- Adjustments to decision-making processes as needed
- Realignment of processes and standards development
- Development of common utilities (including resource management for the development)
- Appropriate legal regulations/agreements

- Some initial verification activities via project monitoring and pilot testing
- Exercise of and adjustments to powers as needed
SW Interoperability – Governance Issues

• Governance during SW Interoperability Operation

- Sufficient decision-making processes to maintain sustainability and enact future adjustments as needed.
- Monitoring and evaluation against identified benchmarks, accountability for performance.

- Sustainability
- Continued access to resources
- Core Services Management

Power to sustain and maintain access to resource
Thank you