



Economic and Social Council

Distr.: General
23 January 2017

Original: English

Economic Commission for Europe

Executive Committee

Centre for Trade Facilitation and Electronic Business

Twenty-third session

Geneva, 3-4 April 2017

Item 7(a) of the provisional agenda

Recommendations and standards

Recommendations for approval

Recommendation N° 1: United Nations Layout Key for Trade Documents Recommended Practice & Guidelines

Summary

Goods can only move as fast as the transmission and exchange of the information that accompanies them. The United Nations Recommendation N° 1 on a Layout Key for Trade Documents provides an international basis for the standardization of documents used in domestic and international supply chains, including the visual layout of the documents. It is directly relevant to the WTO Trade Facilitation Agreement, and particularly to trade facilitation measures under Article 10 on Formalities Connected with Importation and Exportation.

The current revision of Recommendation N° 1 aims to update the previous guidance material on the United Nations Layout Key as well as consolidate this guidance material into a single, comprehensive document. Documents which have been integrated, either in part, or fully, into this text include:

- Recommendation N° 1, 1981 version, ECE/TRADE/137.
- Addendum to Recommendation N° 1, 2001, TRADE/CEFACT/2001/15.
- Guidelines for Applications, 2002, ECE/TRADE/270.
- Informative Annex, 2001, TRADE/CEFACT/2001/16.
- Addendum to Informative Annex, Guidelines and Examples, 2001, TRADE/CEFACT/2001/16/Add.1.
- Parts of the UNECE/UNESCAP “Guide for the Design of Aligned Trade Forms to prepare for paperless Trade,” 2010, ECE/TRADE/366.

Document ECE/TRADE/C/CEFACT/2017/7 is submitted to the twenty-third session of the UN/CEFACT Plenary for approval.

GE.17-00985(E)



* 1 7 0 0 9 8 5 *

Please recycle



Contents

Page

Part I: Recommendation N°1: United Nations Layout Key for Trade Documents	4
A. Introduction	4
B. Scope	4
C. Benefits.....	5
D. Use of international standards	5
E. Recommendation.....	6
Part II: Guidelines for the Application of the UNLK.....	6
A. Introduction	6
1. Benefits of aligned documents	7
2. Information quality and availability	7
B. Design principles and technical specification.....	8
1. Data fields.....	9
2. Model form.....	10
3. Deriving aligned forms	10
4. Barcodes on the paper UNLK	11
C. Data fields and elements.....	11
1. UNTDED and UN/CCL	12
2. Codified data entry	12
D. Aligned Series of Trade Documents.....	13
1. Benefits of aligned series of documents	13
2. Development of an aligned series of trade documents	14
E. National & Sectoral Applications.....	16
1. International sectoral applications	16
2. National applications	16
F. Application of electronic Docs.....	17
1. Electronic data	17
2. Electronic visual on a computer screen or equivalent	18
3. Electronic visual on a mobile device.....	19
4. Electronic data rendered into a printed form	19
Annex 1: Template for submissions to the Repository of UNLK-compliant documents	20
Annex 1-root: United Nations Layout Key (UNLK)-root model	21
Annex 1-A: International Sectoral UNLK-Commercial transaction sector.....	26
Annex 1-B: International Sectoral UNLK – Payment sector	30
Annex 1-C1: International Sectoral UNLK-Transport and related services.....	36

Annex 1-C2: International Sectoral UNLK–Transport and related services	42
Annex 1-C3: International Sectoral UNLK–Transport related Insurance	50
Annex 1-D: International Sectoral UNLK–Official controls sector.....	54
Annex 2: Iterative Process of Document Review.....	60
Annex 3: Road Map for Developing an Aligned Series of Trade Documents	62
I. Plan	62
II. Potential Usage and Users.....	63
III. Production	64
IV. Promotion and Publicity.....	65
V. Conclusions.....	66

Part I:
Recommendation N°1:
United Nations Layout Key for Trade Documents

A. Introduction

1. Goods can only move as fast as the transmission and exchange of the information that accompanies them. A delay in sending trade documents results in delays at departure, during transit, in clearance at arrival and in final delivery to the buyer (or his appointed representative) and it adds considerable cost to the trade transaction. In addition, documentary delay can impede prompt payment by the buyer in fulfilment of the sales contract. Traditionally, the exchange of information by the parties involved in the transaction was performed using paper-based documentation. A Key problem with this method was the lack of a set of coherent, consistent and standardized documents.

B. Scope

2. The United Nations Recommendation on a Layout Key for Trade Documents provides an international basis for the standardization of documents used in domestic and international supply chains, and for the visual layout of the documents.

3. The standard provides for the

- Design: paper size, margins, spacing and pitch of characters, data fields (depth of field, the number of lines and the number of characters in each line);
- Data (identifies 18 data fields and defines the nature of the individual data elements);
- Location (the specific locations of the data fields and coded information on the document); and
- Flexibility to allow specific requirements within a “free disposal” area.

4. These layout rules allow the creation of Master Documents. Subsequently, all documents derived from these Masters are based on the principle of the same data appearing in the same place on all forms. Information in clear text or coded format can be entered (written, typed or generated from an electronic application) using the appropriate data fields and data elements.

5. This approach offers the opportunity to use a genuine semantic and data element language across documents. The United Nations Layout Key (UNLK) is a framework for governments and the business community to create and establish a series of aligned trade documents. Families of trade-related forms can be built for domestic and international trade based on a Master Document covering all aspects of sales and purchase orders, commercial processes, transport and logistics, finance and payment, and regulatory and official procedures.

6. The resulting trade documents can be prepared manually or generated electronically using document production software solutions. Presentation of the completed trade documents to trading partners, trade service providers or government authorities can be achieved physically, through electronic business standards or other electronic transmission systems, or to a national Single Window.

C. Benefits

7. Implementation of the UNLK for trade documents and any aligned series of forms derived from this standard has delivered and continues to deliver significant benefits. Experience has shown that the business community sees a considerable time and cost reduction when forms are made easier to complete and check. This reduction in the administrative burden of the trade transaction should, in turn, improve the trading process and enhance competitiveness.

8. For Government and its agencies, and other regulatory authorities, aligned trade documents should provide more accurate and reliable trade-related information. Completion of the documents is easier and allows for earlier submission of data within the supply chain flow. As the provision of official information requirements is easier and simpler, government should see improved trade compliance with regulatory and administrative procedures and the improved collection of correct revenue yields.

9. The earlier availability of information should also improve the control of trade movements and enhance the security of the international supply chain. As a result, government could introduce risk management and targeting techniques, for increased efficiency in transit movements and more effective cross-border controls, through a better deployment of resources.

D. Use of international standards

10. The United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) recommends the use of existing internationally agreed standards for processes, procedures and information flows; and it recommends the use of available trade facilitation tools and techniques for the introduction of simplification and modernization measures for domestic and global trade transactions and supply chains.

11. In support of Recommendation n°1, UN/CEFACT recommends one of the standards published in Recommendations n°6, n°11 and n°22 that apply the Layout Key for Trade Documents.

12. These Recommendations provide examples of the use of the UNLK to design trade documents which are fully aligned to it, in order to meet specific needs within international trade transactions. Further, these Recommendations demonstrate the way this standard could be and, in many national and business sector instances, has been applied to streamline the flow of information for the complete trade transaction, or individual links in the international supply chain.

13. The United Nations also publishes the Trade Data Elements Directory (TDDED) in conjunction with the International Organization for Standardization (ISO standard 7372) and the UN/CEFACT Core Component Library (UN/CCL). These two publications provide the foundations for a simplified, harmonized and standardized dataset that can be used to populate the data fields in UNLK derived, aligned trade documents with the required trade-related data elements.

14. Additionally, Recommendation n°25 United Nations Electronic Data Interchange for Administration, Commerce and Transport (UN/EDIFACT) provides a set of internationally agreed standards, directories, and guidelines for the electronic interchange of structured data, between independent computerized information systems.

15. Data in documents should, as much as possible, be codified in order to simplify international comprehension of the information. UNECE provides a number of code list recommendations for this purpose.

E. Recommendation

16. The United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) recommends that governments and the business community should:

- Adopt the Layout Key for Trade Documents and develop a series of aligned forms for exchanging information for domestic and cross-border trade transactions;
- Conduct a thorough review of all the formalities and documentation requirements used in domestic and international trade when adopting the Layout Key for Trade Documents. The objective of the review is to eliminate unnecessary documents from the trade transaction and streamline the business processes and administrative and regulatory procedures used in domestic and international trade;
- Use the United Nations Trade Data Elements Directory (UNTDDED) to identify the standard data elements that can be included in trade documents aligned to the Layout Key;
- Use internationally developed and recognized code lists in order to standardize the information content exchanged;
- Extend the successful implementation of the Layout Key for Trade Documents to include using electronic business standards of data exchange to prepare, transmit and process domestic and international trade information.

Part II: Guidelines for the Application of the UNLK

A. Introduction

17. The UNLK is a system for the preparation of trade-related information in a simple easy-to-use, harmonized and standardized format. Consequently, trade documents presented (to business partners in the trade transaction, trade services providers, and government authorities and agencies) meet three important requirements for the exchange of trade data: completeness, accuracy and timely submission.

18. During recent decades, many countries and international organizations have adopted the UNLK for both domestic and international trade in order to meet legal obligations under international conventions, the business needs of the trading community and official government requirements. These countries and organizations have identified the UNLK as a valuable tool in a programme of reform and modernization through the implementation of trade facilitation measures to simplify, harmonize and standardize the trading process.

19. The use of the UNLK standard has brought the adopting countries and organizations many benefits, such as the development of an aligned series of trade forms, the streamlining and modernization of business processes and administrative procedures, and improvements in the efficiency of the domestic market and international supply and value chains.

20. The alignment of trade forms to the UNLK involves the analysis, simplification and standardization of the information in the trade documents and its representation. As such, the use of aligned trade documents is an important step towards the dematerialization of paper documents and the introduction of electronic documents. As the UNLK standard is integrated into the suite of UN/CEFACT e-business standards, the use of aligned documents also facilitates the use of dual (i.e. paper and electronic) document flows which is an important requirement in many environments.

1. Benefits of aligned documents

21. Using the UNLK to create aligned documents, using coded information, effectively creates a common language for multiple actors, regardless of the economy from which they operate. Aligned forms are simpler and easier to process as the same information appears in the same position on each form in the series. This is particularly helpful where a document is completed in a language foreign to the reader, sometimes with a foreign alphabet or script.

22. Forms derived from the standard can cover the whole trade transaction, both domestic and international, or specific links in the international supply chain.

23. An aligned series of trade documents offers numerous benefits. Aligned forms are:

- Easier to complete, following a simple, logical and consistent format with common data entered in the same position on each form;
- Easier to check, improving the speed and flow of information in the trade transaction especially for time-sensitive (just-in-time) goods movements; and
- Less prone to error.

24. As a result,

- Compliance with trading customs and practice, and national and international obligations is simpler and easier;
- Commercial activities are more efficient and effective; and
- Business costs are reduced and administrative burdens are lessened.

2. Information quality and availability

25. As the same data will often be re-used from one document to the next, it is possible to start filling out the document before it is actually used. In some cases, the entire document may be completed well in advance of the official use of the document. An example of this is the customs import declaration. The customs import declaration is usually based on information which is available in other trade documents such as the invoice, certificate of origin, packing list, transport document, etc. All of these documents are completed by the time of export, however the import declaration is usually only required at the time of arrival of the goods. The information which will populate the import declaration is known well in advance and could allow an earlier submission of the data. Governments would consequently be able to devote efforts to risk management and targeting techniques as opposed to the routine checking of documents.

26. As the information between different documents is often identical, if the preparation of these documents is coupled with relevant software, the software should be able to ensure that the data, which is semantically the same, is the same on all trade forms, improving the data quality.

27. Domestic trade performance can be similarly improved. In particular, national tax, regulatory and administrative procedures are harmonized and standardized through the presentation and processing of domestic trade forms aligned with the UNLK. Governments should, therefore, experience an improvement in the collection of domestic revenue and tax yields, better control of domestic market transactions and, where appropriate, the movement of goods with enhanced protection of society and its citizens.

B. Design principles and technical specification

28. The UNLK is intended specifically as a basis for the designing of an aligned series of forms employing a master document in a reprographic one-run method of document preparation; it can also be applied for the layout of visual display presentations in electronic data applications.

29. The UNLK is based on a controlled measurement of margins, lines, spacing, font size. These find their source in documents printed with a typewriter or printer. In 1985, the UNLK became an ISO standard: ISO 6422. The specifications are present in this ISO standard and have not changed since the 1982 version of the UNECE Recommendation. The UNLK is based on an A4 size paper (210mm x 297mm) as defined in ISO 216, where the top margin and the left-side margin are defined and fixed at 10mm and 20mm respectively. (On A4 size paper, the right and bottom margins are 7mm.)

30. The Image Area (where all of the information can be entered) corresponds to 183mm in width and 280mm in height. This image area is divided into a grid of boxes, or "Standard Boxes," each being 22.86mm in width and 8.48mm in height. This allows eight boxes to be placed horizontally and 33 lines vertically. This results in a grid which was agreed between UNECE and ISO (see ISO 3535 "Forms design sheet and layout chart"), called the "Layout Chart." See Figure 01 below.

31. When the UNLK was developed, typewriters and printers generally used characters which occupy a width of 2.54mm (1/10 inches). The space between printed lines is 4.2333mm (1/6 inches). The result is that 8 characters can occupy one single "Standard Box." If two boxes are combined, 17 characters can be entered. If four boxes are combined, 35 characters can be entered. If the full line is used, combining all eight boxes, 70 characters can be entered. Although today more characters could be entered into each box, the number of characters and spaces are used as the basis for many of the standards such as TDED or UN/EDIFACT to define the attributes of the data.

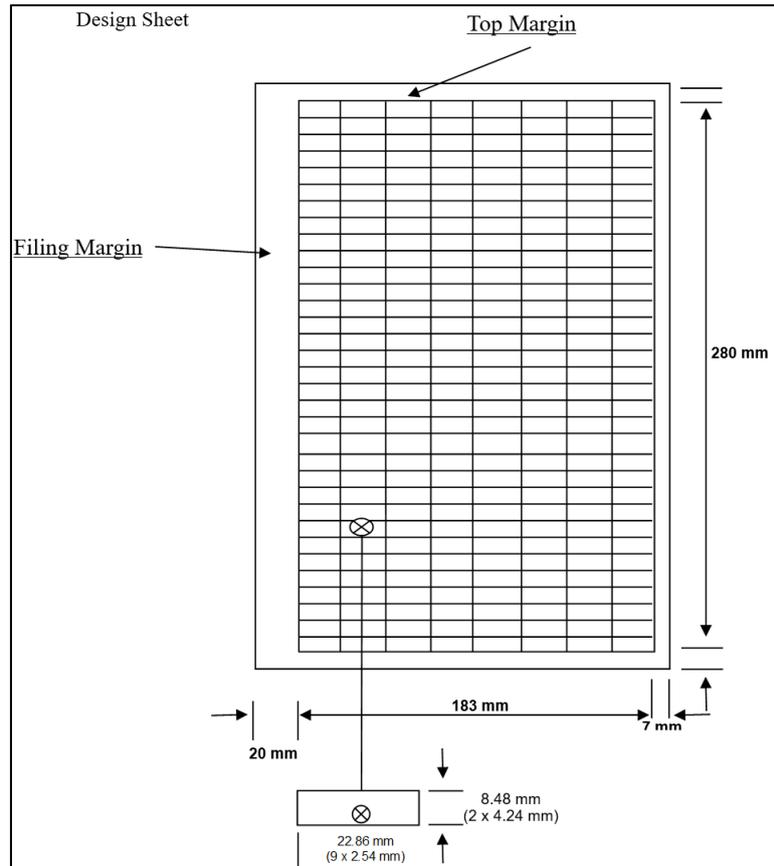


Figure 1: Graphical Principle of the Layout Chart
(from the UNECE/UNESCAP document)

1. Data fields

32. Based on this Layout Chart, a UNLK Document is generated by creating boxes or “fields” where the information will be entered on the resulting form. These fields combine a certain number of Standard Boxes and have a frame drawn around these. Horizontally, these combinations of boxes will create either a single column, two columns (combining four Standard Boxes each), four columns (combining two Standard Boxes each) or eight columns (each with only one Standard Box), or some combination of these.

33. Each field will usually have a heading (or box title) in order to understand what information is to be entered within it. This should be in smaller font size (ideally 6 or 8 points), in the top left-hand side of the field. It is possible that each field is also numbered (or only has numbers). These should also be in smaller font size in the top left-hand side of the field. It is a good practice to have both a number for each field followed by a heading. This allows identification of the field and separate guidelines on how to fill out the resulting form (see Annex on Field Completion Guide, Annex 1).

34. The information which is entered into the field (the data entry) will be either a codified data entry or a descriptive data entry. Proper usage of the field would be to have descriptive data entry aligned to the left and codified data entry aligned to the right.

Field heading: Date of document	Field code: 2
Descriptive entry: 5 February 2008	Coded data entry: 20080205
Final presentation in document:	
2 Date of document 20080205 5 February 2008	

Figure 2: Example of a field, its headings and data entry

2. Model form

35. Since the 1961 version of the UNLK work group, it was agreed to develop a “model form” including data that was common for the majority of documents used in international trade. The result is 17 specific data items which are grouped according to broad functions such as parties, transport information, commercial data and goods details.

36. The Image Area is divided into four main areas:

- The upper-left side is reserved for parties (consignor, consignee, forwarder) and transport details. This section is four Standard Boxes wide and twelve lines in height.
- The upper-right side is reserved for commercial details (terms of delivery, payment), buyer (if different from consignee), dates and references, statistical data (country of origin and destination). This section is four Standard Boxes wide and twelve lines in height.
- The next section is reserved for goods details (shipping marks, number, kind of packages, goods description, gross weight and volume) and customs purposes (commodity number, net quantity, value). It has been found that most documents only have one or two goods, but there are cases where there can be significantly more goods in a single document such as for automotive or machine parts. The depth of this section is therefore not restricted, and continuation sheets can be used.
- In addition to these three “common” sections, there is a fourth, which allows for inclusion of information specific to the particular document. This is called the “free disposal area”, which is situated at the base of the document. The bottom right-hand corner is used for the signature.

37. A continuation sheet is used when the information intended for entry in the section for goods details and customs purposes (the middle section) is insufficient for the amount of data which must be conveyed in the paper document. This could be the case on an invoice or a packing list, for example, where multiple types of merchandise need to be included in the document. When a continuation sheet is used, it only represents the section for goods details and customs purposes and must be accompanied by a first page based on the UNLK where the other three image areas are used as ‘header’ information which would be relevant for all merchandise on the continuation sheets. More than one continuation sheet can be used depending on the quantity of data to be conveyed.

3. Deriving aligned forms

38. The UNLK is a generic format that will not directly meet the documentary requirements of a specific country or industry sector. It serves as the basis for deriving subsidiary national and international layout keys and ultimately aligned forms that can be used for business transactions. Such an aligned form specifies data elements of the UNLK in greater detail, adds other data elements required for a specific business process, or suppresses data elements that are not required.

39. The three following rules should be observed in designing forms derived from the UNLK:

- Data elements that are specified in the UNLK, and will be used in the derived form, should be placed in the corresponding space in the aligned form;
- Data elements that are not specified in the UNLK should be placed in the “free disposal” area of the derived form;
- Data elements that are not required on the derived form can be disregarded. The corresponding space can be added to the “free disposal” area. These fields should, as much as possible, respect the four sections of the model form (transport information in the area meant for transport; statistical data in the area intended for statistical information).

4. Barcodes on the paper UNLK

40. Barcodes and Quick Reference (QR) Codes (matrix barcodes) are images which render data printed on documents into machine readable objects. Barcodes are symbols that can be scanned into machines, and which enable quick access to the relevant records in computers, thus saving precious time in data entry.

41. It is, sometimes, useful to render a few of the data fields into a barcode or QR codes. This is especially true for the document reference numbers. The layout design in UNLK may provide a few areas for the insertion of barcodes. Depending on the space restrictions, the "free disposal area", the "signature space", the space meant for the document reference number (upper right-hand corner) and the margins in the upper right-hand corner could be used for inserting barcodes.

42. Given the limited number of places where such codes can be placed on a UNLK document, only a few could be provided, targeting those where quick access to associated data would be useful or where it is important to reduce errors by facilitating the automated capture of data.

C. Data fields and elements

43. When it was first introduced in the 1960's-1970's, the main focus of the implementers of the UNLK was the visual harmonization of trade documents to align to the specific format described above. With the globalization of trade and the need to automate information flows, the task of precisely defining the document data content has become very important. This is underlined by the growing need to automate trade documents and introduce paperless trade. A precise, unambiguous definition of the data content is a prerequisite for electronic trade documents.

44. The previous version of this recommendation's guidelines established a list of the most common “boxes” within representative documents based on the UNLK. Most of this content has been reproduced in Annex 1 of the current version. The resulting Layout Key

provides a series of what we now call standard data elements with related representations and a standard sequence for their presentation.

1. UNTDED and UN/CCL

45. The UNLK recommends using the United Nations Trade Data Elements Directory (UNTDED) to define these data elements in a non-technical, syntax-neutral manner. Each UNTDED element consists of a data element tag in the form of a four-digit number, a name (informative) and a description. In addition, the data element may have a reference to a United Nations-recommended code list. The UNTDED has been the reference within the UNLK as the agreed data standard both for paper documents and electronically exchanged information.

46. The UNTDED was the foundation work for the UN/CEFACT libraries such as UN/EDIFACT and the UN Core Component Library (CCL). The CCL provides a set of global trade classes for data exchange and establishes an enhanced, semantic dictionary of all trade-related terms.

47. Each UNTDED element consists of a data element tag in the form of a four-digit number to unambiguously identify data elements regardless of the language used. For instance, 8260 is the tag for the Transport equipment identifier in English and “Identifiant de l’équipement de transport” in French. An example data field for Transport Equipment from the Layout Key is listed below along with the data elements name or identifier that would be appropriate for entering into that particular data field (see Annex 1 for a more complete list of data fields and data elements, specified in the UNLK).

Standard	Identifier	Name	Definition
UNTDED	8260	Transport Equipment. Identifier	To identify a piece of transport equipment e.g. container or unit load device.
UN/EDIFACT	8260	Equipment identification number	To identify equipment.
UN/CCL	UN00001983	Transport Equipment. Identification. Identifier	A unique identifier for this piece of transport equipment.

Figure 3: “Transport Equipment” in UNTDED, UN/EDIFACT and UN/CCL
Data Field – Transport Equipment: UNLK Line 13-14, Positions 45-68

2. Codified data entry

48. The encoding of trade data is a very efficient and secure way to exchange information. Using code lists for trade data has several advantages:

- Information is precise, unambiguous, and language neutral;
- All partners in the supply chain use the same information;
- Code lists are important for automated data processing;
- Code lists are maintained by maintenance agencies, ensuring high quality.

49. UNECE has developed a number of recommendations and code lists for the most important data elements in international trade such as country codes, currency codes, units of measurement, and codes for trade and transport locations:

UNECE	ISO #	UNECE Recommendation Name
-------	-------	---------------------------

Rec. #		
3	3166	ISO Country Code for Representation of Names of Countries
5		Abbreviations of INCOTERMS
7	8601	Numerical Representation of Dates, Time and Periods of Time
9	4217	Alphabetic Code for the Representation of Currencies
16		LOCODE - Code for Trade and Transport (Ports and other) Locations
17		PAYTERMS - Abbreviations for Terms of Payment
19		Codes for Modes of Transport
20		Codes for Units of Measurement used in International Trade
21		Codes for Types of Cargo, Packages and Packaging Materials
23		Freight Cost Code – FCC
24		Trade and Transport Status Codes
28		Codes for Types of means of transport

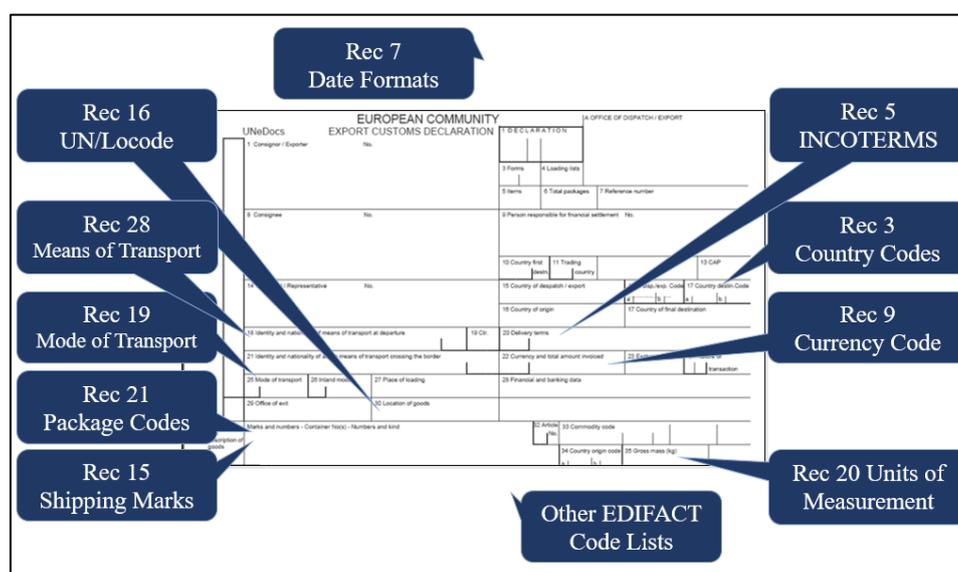


Figure 4: Example of code list usage on the EU Single Administrative Document

D. Aligned Series of Trade Documents

1. Benefits of aligned series of documents

50. An aligned series of trade documents is a set of commercial and official forms used in domestic and/or international trade that have been fully aligned with the United Nations Layout Key (UNLK) standard. Using an aligned series takes the burden out of form filling, speeds up checking forms for completeness and accuracy and significantly reduces costs for both business and government.

51. An aligned series of forms can contain any number of trade documents from the simplest domestic supply chain (buyer, seller, transporter, and bank professionals) to the most complex international trade transaction involving as many as forty parties (some requiring specific industry sector forms) who handle the traded goods and the accompanying documents. As the same details are found in the same place on each document the system can be used for a variety of applications in business processes and official procedures.

52. The aligned series of trade documents allows trading partners, delivery and transport services providers, banking and insurance sectors, authorities and other regulatory agencies

to select the forms required to meet business needs and regulatory requirements for a particular trade transaction or supply/value chain. Consequently, duplicate or redundant forms are eliminated, cutting out waste and improving the speed and efficiency of the flow of trade-related information.

53. Many countries and groups of trading nations have adopted the system with up to 70 trade documents in an aligned series. This has resulted in a more efficient and cost effective method of exchanging trade-related data and complying with trade regulations and the requirements for the security and safety of the international supply chain. In addition to the benefits described earlier, using an aligned system offers:

- A definitive reference manual and training guide to the trade documents used in the domestic and global marketplaces (kept up to date as trade documentary requirements change and trading practices develop);
- The knowledge that even if heading languages are different, the content of the box will be understood as it is in the same position on all forms;
- The option of using information and communication technology (ICT) standards for the completion of trade documents by computer and other methods of electronic data interchange.

54. An aligned series of trade documents also offers the opportunity for business and government to chart a migration path to a paperless (or significantly less paper) environment where trade information passes from origin to destination with a minimum of human intervention. The trade-related information flowing along this 'data pipeline' could then be available, in either electronic form or a UNLK aligned format, at any point by any party, authority or agency involved in the transaction that has been properly approved and certified in advance.

2. Development of an aligned series of trade documents

55. The UNLK serves as a basis for the creation of subsidiary trade documents for domestic and international trade and for specific business sector needs. Such derived forms can be fully aligned to the standard only if certain basic rules are observed, ensuring a proper hierarchical structure of interdependence, and relationships between forms at a number of levels.

- International specialized or sectoral layout keys: Intergovernmental or non-governmental standards (mainly optional) which direct the layout of further data elements common to the special application or sector for which the layout key is intended. They serve as the basis for the design suitable for use in a one-run system.
- Aligned international standard forms: Internationally established forms (mostly mandatory) which direct the layout of further data elements required in relevant international legal acts: treaties, conventions, protocols and similar agreements. These forms do not, in principle, permit any deviation in design or coding. Models of standard forms are often included in such agreements and are named in accordance with the documentary function which they fulfil.
- National layout keys: Nationally recommended standards (mandatory or voluntary) which, taking into account relevant specialized and sectoral layout keys and standard forms, direct the layout of any further nationally required data elements with a view to establishing a nationally aligned series of trade documents.
- National masters: Nationally recommended standards (mandatory or voluntary) which, taking into account relevant specialized and sectoral layout keys and standard forms, include further required data elements. They serve as the basis for an aligned

series of trade documents. Copies of masters can be used directly for the production of documents. Such copies are called “master forms”.

- **Aligned national standard forms:** Nationally standardized forms, which are adapted to the needs of the relevant country. They are often based both on national layout keys/masters and on specialized or sectoral layout keys and are designed for use within an aligned series of trade documents.
- **Aligned company masters and forms:** Masters established by individual companies using the one-run method for completion of trade documents, and all relevant forms needed for a trade transaction – other than mandatory international and national standard forms – adapted to the particular needs of the company concerned, with pre-printed company names and logotype, etc.

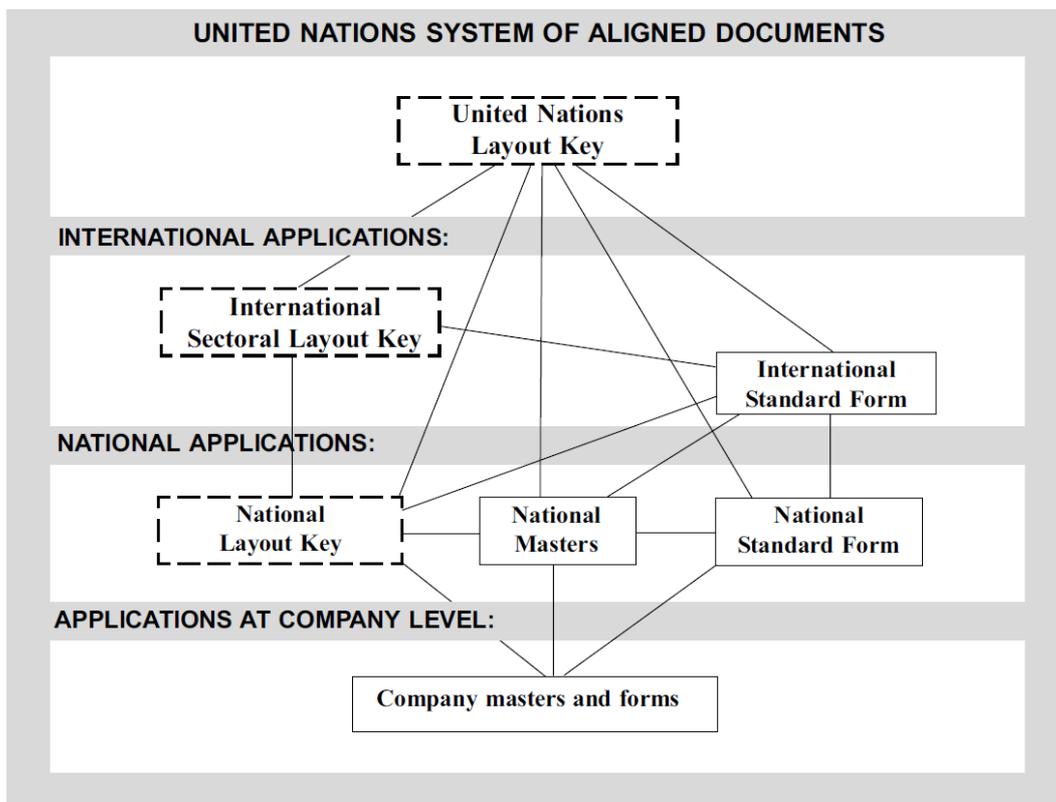


Figure 5: United Nations System of Aligned Documents

56. The hierarchy in the illustration depicts layout key standards with interrupted lines ..(---); these serve as the basis for the design of forms at the UN, international sector and national levels. The standards are NOT operational documents but are constructs used to identify where the data fields (including the Free Text Area) and the individual data elements should be placed on the subsidiary forms. The data elements required to populate the derived forms are identical with the UNLK standard, or synonymous with the UNLK or are additional to the UNLK to meet either regulatory obligations, or administrative requirements, or specific business needs.

57. In the illustration the full line indicates international standard forms, national masters, national standard forms and company (business) masters and forms to be used for the design and completion of operational documents and standard or other aligned forms.

For ease of reference and to provide a visual representation of the layout key standard, a Master Document has been produced at the UN level. However, (once again) it is a construct to assist form designers in producing operation forms at the subsidiary levels.

58. In principle, no form can be designed without taking into account the existence of a layout key construct, master or standard form at a higher level. Conversely, it would be possible for a company to design an aligned form directly on the basis of the UNLK, if there were no applicable layout keys, masters or standard forms at the intermediate levels.

59. The illustration demonstrates the way the Layout Keys act as the base format for the development of aligned forms but they are not used operationally. The derived 'Master Documents' are used to design the individual operational forms.

60. In principle, an aligned form should be designed by taking into consideration the existence of a Layout Key Master Document. However, an organization could design an aligned form directly from the Layout Key if no applicable mandatory Master Document or standard exists.

61. The hierarchical approach has been used in past implementations of an aligned series of trade forms with a proven track record of success. To design the align forms successfully, experience has shown they should be divided into categories or 'families' such as transport, commercial transactions, bank, insurance, etc. Specialized trade sectors should be identified as relevant for the development of sectoral alignment guidance for the design of aligned forms.

E. National & Sectoral Applications

1. International sectoral applications

62. The following sectors or specialized application areas have been identified as being relevant for the establishment of sectoral alignment guidelines:

- A. Commercial transactions sector: includes documents applied between commercial parties in the production, sale and purchase phases of a transaction. Sub-divided into:
- B. Payment sector: Includes documents related to the requirements of banks to ensure payment;
- C. Transport and related services: Includes documents relative to the physical international transport of goods, including insurance. Sub-divided into:
 - 1. Forwarding and cargo handling ("Intermediary services")
 - 2. Transport
 - 3. Insurance
- D. Official controls: Includes documents relevant to government authorities to control the international flow of goods.

63. The UNLK model, being split in four sections, the top two (upper left and upper right) will be constant among all of these families of documents. The central section (concerning goods details), will be specific to each family. The bottom (free disposal section) will be specific to each document within the family.

64. From these International sectoral applications, International Standard Forms have, in many cases, been developed and are presented in Annex 01. The base information requirements for each of these is exposed with the pertinent alignments to the UNTDED as well as the physical location on the pertinent standard forms.

2. National applications

65. In order to adopt the UNLK standard in the most effective way, a country (or a trade and industry sector) should undertake a national (or sectoral, if the use is sectoral) application project. The usual starting point for implementation is to review the master constructs and existing standard-aligned forms used at regional or international levels. This approach should help the implementers to identify the best design rules for national trade forms. In some cases, such an approach may also provide a ready set of aligned trade documents already in use that will assist the country to meet international and regional regulatory requirements, administrative procedures and business processes.

66. After completion of the initial review task, the implementing team should progress to developing the national construct (master or standard form). The team should also determine whether a visual representation of the construct will be prepared as a national master document to explain and promote the proposed aligned document standard.

67. Previous implementations have shown that the best way of achieving a national master or standard form is to take an inventory of existing forms used in domestic and international trade transactions by national traders. From this inventory, documents can be selected for conversion to the UNLK standard.

68. In parallel to the survey, the implementing team should consult with the government and the trading community about specific forms that must be retained in order to meet national legal obligations and to ensure the continuing efficient and effective operation of national business processes for the domestic and international markets. These forms can then be converted to an aligned series of trade documents based on the national master construct (and, where developed, the National Master Document). The result should be that these national forms can take their place in an ever-increasing repository of national trade documents aligned to the UNLK standard.

69. The most common reason for the development and design of UNLK forms at a national level is support for a country's export and import procedures for the facilitation and control of national traders and businesses involved in the international trade transaction. As an example, to facilitate the smooth and swift flow of goods through the port environment, a country might introduce a specific form to provide Export Cargo Shipping Instruction. An exporter would be required to complete the form for presentation to the freight forwarder (or logistics services provider) and subsequently to the port operator and port services provider such as stevedore, wharfinger, terminal or berth operator.

70. Other examples could be the need for a certificate of value or origin to be included on the commercial invoice; the need to introduce a Packing List; the need for a Credit Note to cover short-shipments or missed shipment date; a specific application form to apply for a licence or permit to export or import goods, and the need for a specific document to present payment instruments (for example a Documentary Credit) to expedite the payment method.

71. These examples are not exhaustive, but are given in order to encourage a comprehensive review of the national trade process at both the domestic and international level. Based upon the Export Cargo Shipping Instruction example (and the other instances quoted above) a country should be able to conduct a review to identify similar unique documentary requirements for alignment to the national UNLK standard.

F. Application of electronic Docs

72. There are currently two aspects to an electronic version of UNLK: going from the data on a paper-based UNLK document to an electronic message that contains the same

data (or vice-versa), and rendering, from electronic data, a visual equivalent of the paper-based UNLK format through a computer application.

1. Electronic data

73. An Electronic Data Message is defined by the United Nations Commission on International Trade Law (UNCITRAL) as: “information generated, sent, received or stored by electronic, optical or similar means including, but not limited to, electronic data interchange (EDI), electronic mail, telegram, telex or telecopy”.¹

74. Data fields need to be clearly defined in order to ensure a consistent usage whether they are used in a paper-based UNLK or in an electronic equivalent. Box completion guides (as detailed in Annex 1) need to be very specific as to what information is expected in each data field. This should be done, as explained in Chapter C above, with reference to an internationally defined semantic base. Here the UNTDED is suggested for this foundation layer of data requirements.

75. Once this essential work has been completed, the link between a paper-based UNLK and an electronic message can be fluid in either direction, no matter which electronic message exchange syntax is used. The key is to understand the data in the same way whether it is paper-based or electronic.

2. Electronic visual on a computer screen or equivalent

76. A computer screen, or its equivalent, allows more freedom in the visual rendering of information. The Image Area, as defined in Chapter B above, is limited by the size of the paper which has been chosen for the UNLK (A4 or 210mm x 297mm).

77. Rendering this Image Area on a computer screen or other device presents multiple options which the implementer can consider. These options include expanding the Image Area vertically and/or horizontally, using the scroll function downwards and/or left-right. Another very useful option can be to provide the field headings in multiple languages. The horizontal presentation can be an elastic rendition which allows the size to be reduced or enlarged. Code lists can also be integrated into an on-line UNLK through drop-down boxes to help fill in the data.

78. In all of these options, however, there are a few points that should be respected in order to remain in line with the principles of the UNLK. The proportional size of the base Standard Box should be respected in the horizontal and vertical representation. The base proportion described in Chapter B (8.48mm by 22.86mm) was conceived in order to hold eight boxes of equal size horizontally and thirty-three lines of boxes vertically. This basis of having eight equally sized columns horizontally and thirty-three equally sized lines vertically should be respected. If the columns need to be made smaller for the visual representation on a screen, they should constantly show eight equally sized based columns. Likewise, if the lines are made larger for visual representation purposes, then there should be thirty-three equally sized vertical base lines.

79. As a logical extension of this rule of proportionality, if multiple-base Standard Boxes are grouped together in the UNLK, grouping, for example, four columns and three lines, this should always be counted as four base columns for the width which will need to be proportional to the four other columns on the same line. The same would apply to the lines (i.e. this data field should always be counted as three lines which will be proportional to the thirty other lines).

¹ “UNCITRAL Model Law on Electronic Signature”, United Nations, New York, 2002, page 1.

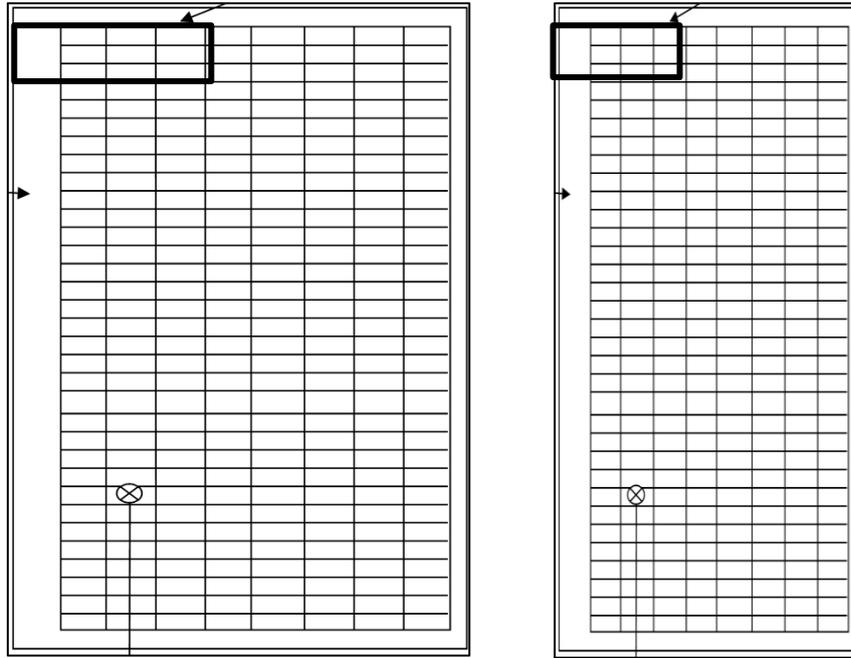


Figure 06: Example of proportionality of rows and columns when rendered in an elastic rendition.

3. Electronic visual on a mobile device

80. Mobile devices come in a wide variety of screen sizes and forms ranging from smart phones to tablets. The operating software in these mobile devices facilitates the display of adjustable layouts. Thus, depending on the form factor, mobile screens display document content that can scaled to size horizontally and vertically.

81. Mobile devices present a set of unique advantages in the handling of electronic documents. In displaying electronic documents on a mobile device, the designers must bear in mind the form factor, which allows a limited number of document components.

82. For mobile devices to be used to read e-documents, the document needs to be broken down into meaningful units of data, using logical groupings, and based on the UNLK and UN/CCL.

83. When used for updating e-documents, the small form factor on mobile devices forces software developers to work on design principles that minimize the need for data entry by users. Thus, the software developer explores all opportunities to feed in equivalent data fields from aligned documents, master data and other existing data sources.

4. Electronic data rendered into a printed form

84. Even if entered into a computer or other device, it may be necessary to print a paper rendition of information which has been a purely electronic message, or that has been entered and portrayed on a screen or equivalent.

85. In this case, the printed version should be done on an A4-size paper according to the technical specifications explained above in section 2 and according to the UNLK design specific to the document.

Annex 1: Template for submissions to the Repository of UNLK-compliant documents

1. This template is designed to show the detailed information which should be included on all UNLK compliant documents. It is an integral part of UNECE Recommendation n°1.
2. The template should be comprised of at least two pages, including the information below (a page with the visual representation of the UNLK would be highly recommended, but optional). Some examples for the UNLK root models as well as the base for international, sectoral UNLK models are presented in the following pages.

First page:

1. FAMILY
 - To indicate which UNLK model this document is being based upon.
 - Example: “This document is based on the Commercial Transaction Sector UNLK.”
2. SCOPE
 - Describe the different use cases of documents which would be based on this UNLK model, or
 - Describe the exact use case of the given document.
3. EXISTING INTERNATIONAL LAYOUT KEYS
 - Describe, if applicable, any documents which are directly based on this layout key.
4. EXISTING INTERNATIONAL STANDARD FORMS
 - List the standard forms which are based on this layout key.
5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS

Next full page:

The UNLK form

Following pages:

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)
 1. Those Identical with the UNLK
 2. Those Synonymous with the UNLK
 3. Additional to the UNLK

Each of these should be referenced with:

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
------------	---------------	---------	---------------------	---------------------------

Annex 1-root: United Nations Layout Key (UNLK)–root model

1. FAMILY

This is the root model for all documents based on the UNLK.

2. SCOPE

This is the root model of the UNLK and all documents should be based on this according to the guidelines of UNECE Recommendation n°1.

3. EXISTING INTERNATIONAL LAYOUT KEYS

All documents based on the UNECE Recommendation n°1 UNLK should be based on this root model or on an International Sectoral Layout Key or a National Layout Key.

4. EXISTING INTERNATIONAL STANDARD FORMS

All standard forms based on the UNECE Recommendation n°1 UNLK should be based on this root model or on an International Sectoral Layout Key or a National Layout Key.

5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS

The information on this form may be interpreted differently depending on the actual document. The fields might maintain the same titles, but the semantic meaning of these may vary depending on which document is being used. In these cases, the UN/CCL ID and the UN/EDIFACT ID are not provided. These references are provided within the International sectoral UNLK models. (an example is “reference” which would be more specific in the UN/CCL and UNECE depending on whether it is a Bill of Lading, an Invoice, an Insurance form or other.



LAYOUT KEY FOR TRADE DOCUMENTS

Consignor (Exporter) A		Date, Reference No. etc. E¹ E²					
Consignee B		Buyer (if other than consignee) or other address F					
Notify or delivery address C		Country whence consigned G					
		Country of origin H	Country of destination I				
Transport details D		Terms of delivery and payment J¹ J²					
Shipping marks: Container No. K¹ K²		Number & kind of packages: Goods description K³ K⁴ K⁵			Commodity No. L	Gross weight M	Cube N
						Net quantity O	Value P

Place and date of issue; Authentication

Q¹	Q²	Q³
----------------------	----------------------	----------------------

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)

THOSE IDENTICAL WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
A	Consignor (Exporter)	3336	Consignor. Party Identification. Text Name of the party consigning goods as stipulated in the transport contract by the party ordering transport	an..35 x5; L04-08, P 09-44
B	Consignee	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
C	Notify Delivery address	3144	Delivery Party. Party Identification. Text Name and address of party to which goods should be delivered, if not identical with consignee such as the place where a container is to be, or has been, positioned.	L 15, P 27-44
		3180	Notify Party. Party Identification. Text Name and address of a party to be notified.	an..35 x3; L16-18, P 09-44
D	Transport details	8012	Consignment. Transport. Text Transport Information for commercial purposes (generic term)	an..35 x3; L20-22; P 09-44
E ¹	Date	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62
E ²	Reference number	1154	Reference. Identifier Identifies a reference.	an..35 x2; L 06-07, P 45-80
F	Buyer or other	3002	Buyer. Party Identification. Text Name and address of a party to which merchandise or services are sold.	L 10-14, P 45-80
G	Country whence consigned	3220	Exportation Country. Name. Text Name of country from which a consignment of goods was initially exported to the importing country without any commercial transaction taking place in intermediate countries. Syn.: country whence consigned. Country of despatch: country from which goods are despatched between countries of a Customs	L 16; P 45-61

H	Country of origin	3238	Union. Consignment. Origin Country Name. Text Name of the country in which the goods have been produced or manufactured, according to criteria laid down for the application of the Customs tariff or quantitative restrictions, or any measure related to trade.	L18; P 45-62
I	Country of Destination	3216	Name of the country to which the goods are to be delivered to the final consignee or buyer.	L 18; P 63-79
J ¹	Terms of delivery	4052	Trade Term. Description. Text Free-form description of delivery or transport items	an..35 xn; L 20 P 49-80
J ²	Terms of payment	4276	Payment Term. Text Free-form description of the conditions of payment between the parties to a transaction.	an..35 x10; L29-54 P 45-80
K ¹	Shipping marks	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26
K ²	Container no.			
K ³	No. packages	7224	Package. Quantity Number of individual items packaged in such a way that they cannot be divided without first undoing the packing.	L 28-51; P 27-33
K ⁴	Kinds of packages	7064	Package Type. Text Description of the type of packaging of an item.	an..17; L 28-64; P 34-51
K ⁵	Description of goods	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
L	Commodity number	7357	Goods Item. Type. Code Code specifying a type of goods for Customs, transport or statistical purposes (generic term).	L 28-50; P 52-62
M	Gross weight	6292	Goods Item. Gross Weight. Measure Weight (mass) of goods including packaging but excluding the carrier's equipment.	L 28-52; P 63-74
N	Volume	6322	Goods Item. Gross Measurement Cube. Measure Measurement normally arrived at	L 28-38; P 72-80

			by multiplying the maximum length, width and height of pieces of package or transport equipment. Also known as cube.	
O	Net quantity	6160	Net Weight. Measure Weight (mass) of goods including any packaging that normally goes with the goods.	L 28-34; P 63-71
P	Value	5032	Goods Item. For Customs Declared Value. Amount Amount declared for customs purposes of those goods in a consignment which are subject to the same tariff/statistical heading, country information and duty regime.	
Q ¹	Place of issue	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	
Q ²	Date of issue	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62
Q ³	Authentication	4426	Document. Authentication. Text Proof that a document has been authenticated indicating where appropriate the authentication party.	L62-64; P 09-44

THOSE SYNONYMOUS WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
------------	---------------	---------	---------------------	---------------------------

Not applicable for the root UNLK model.

ADDITIONAL TO THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
------------	---------------	---------	---------------------	---------------------------

Not applicable for the root UNLK model.

Annex 1-A: International Sectoral UNLK–Commercial transaction sector

1. FAMILY

This is the root model for all commercial transaction documents based on the UNLK. It is based on the UNLK root model (Annex 1-root)

2. SCOPE

- (a) This sector includes all documents exchanged between partners in international trade for the invitation to tender, through the exchange between offerer (prospective seller) and offeree (prospective buyer) to the conclusion of a contract. The relevant identified documentary functions in this sector are usually separated into two areas related to the originators of the documents—namely, the buyer and the seller. Contract documents are common to both but are referred to the sales area since they are often prepared by the seller.
- (b) The Commercial Invoice is not included here as it is presented separately in UNECE Recommendation n°6.

3. EXISTING INTERNATIONAL LAYOUT KEYS

- Layout Key for commercial invoices (UN/ECE/FAL/Rec No 6)
- Layout Key recommended by the UNECE, aligned to the UNLK

4. EXISTING INTERNATIONAL STANDARD FORMS

- 210 Enquiry/Request for quote/Offer invitation
- 310 Offer/Quotation
- 220 Order
- 320 (Acknowledgement of order/Pro forma invoice)
- 351 Despatch Advice

5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS

- The establishment of a contract in international trade involves the exchange of documents created in different countries where national masters or layout keys may have been introduced for exports as well as for imports, and where a layout conflict may arise when aligned documents from one country's export series are confronted with those from another country's import series.
- It is generally accepted practice, also put forward within the ISO, to place the name of the issuer of a document in the top left-hand corner of the document concerned. In the initial stage of a trade transaction, a party (prospective buyer) approaches one or more other parties (prospective sellers) asking for price quotations. This is often done by letter, but a form may have been designed for this specific purpose.
- Although it may not be possible, or even justified, to introduce a one-run system at this preliminary stage of a trade transaction, alignment of the forms involved offers many benefits of a general nature, such as easier comparison of those documents which have been aligned to the same basic layout.
- However, strict adherence to the UNLK by inserting names of parties at a stage before a contract has been concluded may create undesirable deviations from the

general documentation standards of practices applied in the country concerned. The substitution of names of parties – such as “Issuer of tender invitation”, “Offerer” and “Supplier”–in the corresponding places in the Layout Key illustrates this.

- It may therefore have to be accepted that the documents issued prior to the establishment of a contract, either as a separate document or through the issue of Confirmation of Order, may show the name of the same party in different places, depending on the function of the document. The exception is the name of the consignee, which should always appear in its allotted place according to the Layout Key.

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)

THOSE IDENTICAL WITH THE UNLK

Field code	Field heading	UNTDED	Semantic definition	Physical location on UNLK
B	Consignee	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
C	Notify Delivery address	3144	Delivery Party. Party Identification. Text Name and address of party to which goods should be delivered, if not identical with consignee such as the place where a container is to be, or has been, positioned.	L 15, P 27-44
D	Transport details	8012	Consignment. Transport. Text Transport Information for commercial purposes (generic term)	an..35 x3; L20-22; P 09-44
E1	Date	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62
F	Buyer or other	3002	Buyer. Party Identification. Text Name and address of a party to which merchandise or services are sold.	L 10-14, P 45-80
H	Country of origin	3238	Consignment. Origin Country Name. Text Name of the country in which the goods have been produced or manufactured, according to criteria laid down for the application of the Customs tariff or quantitative restrictions, or any measure related to trade.	L18; P 45-62
I	Country of Destination	3216	Name of the country to which the goods are to be delivered to the final consignee or buyer.	L 18; P 63-79
J1	Terms of delivery	4052	Trade Term. Description. Text	an..35 xn; L 20 P 49-80

			Free-form description of delivery or transport items	
J2	Terms of payment	4276	Payment Term. Text Free-form description of the conditions of payment between the parties to a transaction.	an..35 x10; L29-54 P 45-80
K1	Shipping marks	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26
K3	No. packages	7224	Package. Quantity Number of individual items packaged in such a way that they cannot be divided without first undoing the packing.	L 28-51; P 27-33
K4	Kinds of packages	7064	Package Type. Text Description of the type of packaging of an item.	an..17; L 28-64; P 34-51
K5	Description of goods	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
L	Commodity number	7357	Goods Item. Type. Code Code specifying a type of goods for Customs, transport or statistical purposes (generic term).	L 28-50; P 52-62
Q1	Place of issue	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	
Q3	Authentication	4426	Document. Authentication. Text Proof that a document has been authenticated indicating where appropriate the authentication party.	L62-64; P 09-44

THOSE SYNONYMOUS WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Seller	3346	Seller. Party Identification. Text Name and address of a party selling merchandise or services to a buyer	an..70; L 04-08; P 09-44
	Contract No.	1296	Contract Document. Identifier Identifier of a contract concluded between parties such as between buyer and seller	an..17; L 04; P 63-80
	Contract Date	2326	Contract Document. Issue Date Time. Text Date on which a contract is issued, in figures and words	L 04; P 45-62

ADDITIONAL TO THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Order No.	1022	Order Document. Buyer Assigned. Identifier Identifier assigned by the buyer to an order.	L 04. P 63-80
	Order Date	2010	Order Document. Issue Date Time. Text Date when an order is issued, in figures and words.	L 04; P 45-62
	Time of delivery	2138	Delivery. Promised Before Date Time. Text Date and optionally time by which the merchandise should be delivered to the buyer, as agreed between the seller and the buyer (generic term) in figures and words.	L 22; P 45-80
	Order amount	5060	Contract. Total Amount. Amount Total value of a contract.	
	Unit price	5110	Line Item. Unit Price. Amount Price per unit of quantity on which an article item amount is calculated.	L 36-46; P 64-71
	Offer amount	5210	Quotation. Total Amount. Amount Total monetary amount of a quotation.	
	Contract amount	5390	Order. Amount Total amount of an order	
	Quantity			
	Buyer's authentication			
	Seller's authentication			
	Statements as to general conditions			

Annex 1-B: International Sectoral UNLK – Payment sector

1. FAMILY

- This is the root model for all payment sector documents based on the UNLK. It is based on the UNLK root model (Annex 1-root)

2. SCOPE

- This sector includes documents exchanged between partner in international trade and their banks, and between banks, for payments related to commercial transactions. The main documentary functions can be categorized as follows:
 - Instructions (or applications) from customers to banks concerning a payment to be effected. Instructions for bank transfer; Application for banker's draft; Application for banker's guarantee; Collection order; Documentary credit application; Documents presentation form.
 - Advice or information from banks to customers or to beneficiaries of payments. Collection payment advice; Documentary credit payment, acceptance or negotiation advices; Documentary credit; Banker's guarantee.
 - Information exchange between banks.
- It should be borne in mind that alignment (for inclusion of a document in an aligned series and completion using one-run systems) is of interest mainly for those documents that are prepared by a bank's customer and relate to a particular shipment.

3. EXISTING INTERNATIONAL LAYOUT KEYS

- Collection order (International Chamber of Commerce - ICC)
 - Layout keys recommended by the ICC, aligned to the UNLK
- Documentary credit application (ICC)
 - Layout key recommended by the ICC, aligned to the UNLK
- Documentary credit (ICC)
 - Layout key recommended by the ICC, aligned to the UNLK to the extent relevant; it should be borne in mind that Documentary credits are not issued by traders and are therefore not included in one-run systems.

4. EXISTING INTERNATIONAL STANDARD FORMS

- None.

5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS

- The documents belonging to the first category mentioned above are obvious candidates for inclusion in one-run systems. Although most banks provide their own (non-aligned) forms for banking instructions, traders frequently design aligned versions for their one-way systems, including instructions of their choice. However, banks usually transmit these instructions in the form of a Collection Order, to their correspondents and in some cases the practice is merely to pass on the document received from a client with certain additional notations. This is an argument for alignment also of the bank-to-bank Collection orders, and for the introduction of standard forms suitable for inclusion in national aligned series of trade documents; it

is the main reason behind the ICC project to recommend layout keys for the purpose. Similar reasoning applies to the Application for documentary credits for which the ICC has already recommended a layout key.

- Only few of the UNLK data elements are required in these forms, which include a large number of payment-related additional data elements. This means that, in most cases, additional entries need to be made after the initial reproduction process. To a large extent, these additional entries take the form of validations of check-box alternatives.
- An alignment conflict may arise with regard to some bank-to-bank documents, particularly those which are established on the basis of aligned documents received from clients.
- It would seem logical to adhere strictly to the UNLK, e.g. in the designing of forms for Documentary credits, on the basis of the aligned form Documentary credit application.
- However, this would result in the name of the beneficiary being shown where the issuing bank would expect to print its own name, in accordance with general practice, and concern has been expressed that this might cause confusion in inter-bank relations where this general practice prevails. Moreover, the applicant's name might appear in different positions, depending on whether he is buyer as well as consignee.
- Experience may result in reconsideration of these anomalies; in the meantime, designers should be aware of the possible implications for their aligned series.

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)

THOSE IDENTICAL WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
D	Transport details	8012	Consignment. Transport. Text Transport Information for commercial purposes (generic term)	an..35 x3; L20-22; P 09-44
E1	Date	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62
Q1	Place of issue	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	

THOSE SYNONYMOUS WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Number	1172	Documentary Credit. Identifier Reference number to identify a documentary credit.	an..17; L 04; P 63-80
	Advising bank's reference no.			
	Applicant	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
		3002	Buyer. Party Identification. Text Name and address of a party to which merchandise or services are sold.	L 10-14, P 45-80
	Beneficiary	3336	Consignor. Party Identification. Text Name of the party consigning goods as stipulated in the transport contract by the party ordering transport	an..35 x5; L04-08, P 09-44
		3030	Exporter. Party Identification. Text Name and address of party who makes, or on whose behalf the export declaration is made, and who is the owner of the goods or has similar rights of disposal over them at the time when the declaration is accepted.	an..35 x5; L04-08, P 09-44
	Principal	3336 3030	Consignor. Party Identification. Text Name of the party consigning goods as stipulated in the transport contract by the party ordering transport	an..35 x5; L04-08, P 09-44
		3030	Exporter. Party Identification. Text Name and address of party who makes, or on whose behalf the export declaration is made, and who is the owner of the goods or has similar rights of disposal over them at the time when the declaration is accepted.	an..35 x5; L04-08, P 09-44
	Reference, principal	1154	Reference. Identifier Identifies a reference.	an..35 x2; L 06-07, P 45-80
	Drawee / Consignee	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44

	Drawee if not consignee	3002	Buyer. Party Identification. Text Name and address of a party to which merchandise or services are sold.	L 10-14, P 45-80
	Goods (brief desc. without excessive detail)	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
	Goods			
	FOB / C&F / CIF / other terms	2138	Delivery. Promised Before Date Time. Text Date and optionally time by which the merchandise should be delivered to the buyer, as agreed between the seller and the buyer (generic term) in figures and words.	L 22; P 45-80
	Name, stamp and authorized signature of applicant	4426	Document. Authentication. Text Proof that a document has been authenticated indicating where appropriate the authentication party.	L62-64; P 09-44
	Place, date and authentication of principal	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	
		4426	Document. Authentication. Text Proof that a document has been authenticated indicating where appropriate the authentication party.	L62-64; P 09-44

ADDITIONAL TO THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Documents to be presented by the beneficiary			
	Documents			How is this different from above
	Date of this application			
	Date and Place of expiry (of the credit)	2210	Documentary Credit Document. Effective End Date Time. Text Date on which the validity of a documentary credit expires, in figures and words	L 10; P 45-80
		3212	Documentary Credit Document. Expiry Location. Text Name of the place at which a documentary credit expires	L 08; P 45-80

Name of issuing bank	3320	Documentary Credit Issuing Bank. Party Identification. Text Name and address of a bank issuing a documentary credit	an..35 x5; L 04-08; P 09-44
Advising bank	3190	Documentary Credit Advising Bank. Party Identification. Text Name and address of the bank advising of a documentary credit to the beneficiary	
Remitting bank			
Collecting bank to be issued			
Drafts drawn on			
Credits to be available (with)			
Credit available with	3242	Documentary Credit Available Bank. Party Identification. Text Name and address of a bank at which the Documentary credit is available.	L 18; P 45-80
Domicile			
Shipment / dispatch / taking in charge from / at	3214	Transport Means. Departure Location. Text Name of the port, airport or other type of location from which a means of transport is scheduled to depart or has departed	
For transportation to	3258	Transport Means. Destination Location. Text Name of the port, airport or other type of location at which a means of transport is scheduled to arrive or has arrived	
Tenor			
Transferable credit			
Collection instructions			
Confirmation requested / not requested			
Partial shipments allowed / not allowed			
Transshipment allowed / not allowed			
Credit available for payment / acceptance / negotiation			
Credit available			

	against / presentation of documents ... and your / beneficiary's drafts			
	Shipment / dispatch / taking in charge not later than			
	Documents to be presented by the Beneficiary			
	Documents to be presented within ... days			
	Additional conditions			
	Additional instructions			
	Insurance covered by us	4210	Insurance. Action. Indicator Indication whether or not insurance has been effected through an intermediary of the issuer of a document.	
	Amount	5450	Documentary Credit. Amount Amount of the documentary credit.	L 16; P 45-80

Annex 1-C1: International Sectoral UNLK–Transport and related services

Transport is separated into three sections.

1. FAMILY
 - This is the root model for all documents related to “intermediary services” such as forwarding and cargo-handling services based on the UNLK. It is based on the UNLK root model (Annex 1-root)
2. SCOPE
 - This sector covers documents required in the procedures incidental to the transport and related to the interface between trading partners and carriers, i.e. those related to forwarding and handling of goods moving in international trade, including activities in terminals, warehouses and ports, and payment for such intermediary services. The most important documentary functions can be categorized as follows:
 - instructions from customers to forwarders: Forwarding instructions;
 - goods receipts: Forwarder’s certificate of receipt; Forwarder’s warehouse receipt; Dock receipt; Warehouse (shed) receipt;
 - advice documents: Forwarder’s advice to import agent; Forwarder’s advice to exporter
 - authorizations and instructions: Delivery order; Handling order; Gate pass;
 - administrative documents: Forwarder’s invoice; Port charges documents.
 - In some cases, several functions are covered by a joint document set, (e.g. a Shipping Note, provided by the consignor or his agent to the carrier).
3. EXISTING INTERNATIONAL LAYOUT KEYS
 - Layout Key for Standard Consignment Instructions (UNECE Recommendation n°22)
4. EXISTING INTERNATIONAL STANDARD FORMS
 - Freight Forwarding instructions - FFI (FIATA²)
 - Model form established by FIATA, aligned to the UNLK
 - Forwarder’s certificate of receipt – FCR (FIATA)
 - Model form established by FIATA, aligned to the UNLK
 - Forwarder’s warehouse receipt – FWR (FIATA)
 - Model form established by FIATA, aligned to the UNLK
5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS
 - Freight forwarders often create their own aligned one-run systems, which may be different from the systems used by their clients. For example, forwarders sometimes design Forwarding instructions as reproducible masters, which clients are asked to fill in and the forwarder, after completion with additional entries, uses in his own one-run system for reproduction of the documents required.

² International Federation of Freight Forwarders Associations (FIATA).

- In addition to the procedural aspect of this practice, the design problems could be serious, bearing in mind that usually a number of forwarders are individually serving a large number of different clients. It would therefore be advisable for forwarders to agree on a common layout, the pertinent features of which could be reflected in a national layout key or master.
- Similar considerations apply to other documents used for intermediary services. In many cases, it is possible to include these documents in the aligned series used by exporters and importers and to combine functions in sets of forms, of which integral parts serve various purposes in the procedures for cargo handling, port clearance, goods acceptance, etc. In most cases, local conditions vary to such an extent that any layout keys or standard forms need to be established on a local or, possibly, on a national basis.
- Shipping instructions issued by consignors are equivalent to Forwarding instructions. When separate forms are used, they should be aligned to each other.
- The UNLK provides no space for the name of the Freight forwarder. In some applications where it suffices to indicate name (and place) of the forwarder, this is placed in the lower part of the consignor (Exporter) field. Otherwise, the right-hand address field can be used, as the name of the Buyer is of no interest to the forwarder and the Buyer field is consequently not used in forwarding documents.
- Most forwarding instructions include indications of the various documents which are appended to the instructions, such as Customs entries, certificates of origin, commercial invoices, transport documents, etc. These are often placed in a field in the lower left-hand part of the area for free use in the UNLK; it is common to design this field in the form of a grid with columns indicating the types of documents and horizontal fields showing the recipients and how many copies are to be distributed to each of them.

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)

THOSE IDENTICAL WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
A	Consignor (Exporter)	3336	Consignor. Party Identification. Text Name of the party consigning goods as stipulated in the transport contract by the party ordering transport	an..35 x5; L04-08, P 09-44
B	Consignee	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
C	Notify Delivery address	3144	Delivery Party. Party Identification. Text Name and address of party to which goods should be delivered, if not identical with consignee such as the place where a container is to be, or has been, positioned.	L 15, P 27-44
		3180	Notify Party. Party Identification. Text	an..35 x3; L16-18, P 09-44

			Name and address of a party to be notified.	
H	Country of origin	3238	Consignment. Origin Country Name. Text Name of the country in which the goods have been produced or manufactured, according to criteria laid down for the application of the Customs tariff or quantitative restrictions, or any measure related to trade.	L18; P 45-62
I	Country of Destination	3216	Name of the country to which the goods are to be delivered to the final consignee or buyer.	L 18; P 63-79
J1	Terms of delivery	4052	Trade Term. Description. Text Free-form description of delivery or transport items	an..35 xn; L 20 P 49-80
K3	No. packages	7224	Package. Quantity Number of individual items packaged in such a way that they cannot be divided without first undoing the packing.	L 28-51; P 27-33
K4	Kinds of packages	7064	Package Type. Text Description of the type of packaging of an item.	an..17; L 28-64; P 34-51
K5	Description of goods	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
M	Gross weight	6292	Goods Item. Gross Weight. Measure Weight (mass) of goods including packaging but excluding the carrier's equipment.	L 28-52; P 63-74
	Net weight	6160	Net Weight. Measure Weight (mass) of goods including any packaging that normally goes with the goods.	L 28-34; P 63-71
N	Volume	6322	Goods Item. Gross Measurement Cube. Measure Measurement normally arrived at by multiplying the maximum length, width and height of pieces of package or transport equipment. Also known as cube.	L 28-38; P 72-80
Q1	Place of issue	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	
Q2	Date of issue	2006	Document. Issue Date Time. Text Date that a document was issued	L 04; P 45-62

			and when appropriate, signed or otherwise authenticated, in figures and words.	
Q3	Authentication	4426	Document. Authentication. Text Proof that a document has been authenticated indicating where appropriate the authentication party.	L62-64; P 09-44

THOSE SYNONYMOUS WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Supplier / Shipper / Sender	3336	Consignor. Party Identification. Text Name of the party consigning goods as stipulated in the transport contract by the party ordering transport	an..35 x5; L04-08, P 09-44
		3030	Exporter. Party Identification. Text Name and address of party who makes, or on whose behalf the export declaration is made, and who is the owner of the goods or has similar rights of disposal over them at the time when the declaration is accepted.	an..35 x5; L04-08, P 09-44
	Consigned to order of	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
	Exporter's reference no. / Booking ref / Port account no / Reference	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62
		1154	Reference. Identifier Identifies a reference.	an..35 x2; L 06-07, P 45-80

ADDITIONAL TO THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	List of attachments	1346	Enclosed Document. Function Name Text Name of an enclosed document function	
	Number of original Bills of Lading	1067	Document. Originals Issued. Quantity Total number, in figures, of the originals of a document issued	L 64; P 36-40
	Receiving date	2126	Consignment. Actual Acceptance Date Time. Text	L 22; P 09-26

			Actual date on which a consignment of goods is taken over by the carrier at the place of acceptance, in figures and words	
	Date of delivery	2138	Delivery. Promised Before Date Time. Text Date and optionally time by which the merchandise should be delivered to the buyer, as agreed between the seller and the buyer (generic term) in figures and words.	L 22; P 45-80
	Forwarder / Forwarding agent / Import agent	3170	Freight Forwarder. Party Identification. Text Name and address of party undertaking forwarding of goods.	an..35 x5; L16-18; P 09-44
	Warehouse depositor	3004	Warehouse Depositor. Party Identification. Text Name and address of party depositing goods in a warehouse.	an..35 x5; L 10-18; P 09-44
	Warehouse keeper, Shed operator, Berth operator, Terminal Operator, Cargo handling organization, Port administration	3022	Warehouse Keeper. Party Identification. Text Name and address of party taking responsibility for goods entered into a warehouse	an..35; L 10-14; P 45-80
	Carrier	3126	Carrier. Party Identification. Text Name and address of party providing the transport of goods between named points	L 10-14; P 45-80
	Freight charges and costs payable to			
	Berth, Dock, Shed, Warehouse	3156	Warehouse. Identification. Text Location of warehouse where a particular consignment has been stored.	an..35 x3; L 46-18; P 45-80
	Place of receipt	3302	Transport Movement. Pre-carriage Receipt Location. Text Name of the place at which goods are to be, or have been, taken over for carriage prior to the main transport	L 22; P 27-44
	Place/Port of loading	3334	Consignment. Loading Location. Text Name of a seaport, airport, freight terminal, rail station or other place at which goods are loaded onto the means of transport being used for their carriage	L 24; P 27-44

Place/Port of discharge				
Place of delivery	3246	Consignment. Delivery Location. Text The place at which the cargo leaves the custody of the carrier under the terms and conditions of the transport contract		L 26; P 27-44
Place of transshipment	3424	Consignment. Transshipment Location. Text Name of a place where goods are to be or have been transferred from one means of transport to another during the course of one transport operation		
Identification of means of transport	8212	Transport Means. Identifier. Text Name of a specific means of transport such as the vessel name		L 24; P 09-26
Transport information	8012	Consignment. Transport. Text Transport information for commercial purposes (generic term).		an..35 x3; L 20-22; P 09-44
Dangerous goods details	7254	Dangerous Goods. Technical Name. Text Proper shipping name, supplemented as necessary with the correct technical name, by which a dangerous substance or article may be correctly identified, or which is sufficiently informative to permit identification by reference to generally available literature.		
Amount	5082	Payment. Amount Actual amount paid, or to be paid		
Value insured	5011	Consignment. Insured Value. Amount Representation in figures of the total sum covered by an insurance for a particular consignment.		L 26; P45-80
Payment instructions				
Acceptance of goods				
Sender's instructions, formalities to be completed, number and nature of documents to be supplied, etc.	4284	Consignment. Documentary Instruction. Text Instructions given and declarations made by the sender to the carrier concerning Customs, insurance, and other formalities.		
Conditions of warehousing				

Annex 1-C2: International Sectoral UNLK–Transport and related services

Transport is separated into three sections:

- Transport and related services (C1),
 - Main transport (C2), and
 - Insurance (C3).
1. FAMILY
 - This is the root model for all documents related to main transport services based on the UNLK. It is based on the UNLK root model (Annex 1-root).
 2. SCOPE
 - This sector includes documents required for the transport of goods moving in international trade. Those which are related to local, transport (cartage) and services connected with transport are dealt with elsewhere. The documentary functions in the field of transport can be categorized as follows:
 - contract documents: constituting or evidencing a contract of carriage, such as Universal (multipurpose) transport documents, Sea waybills (Liner waybills, Ocean waybills, River waybills), Bills of lading, Rail and Road consignment notes, Air waybills, Despatch notes for post parcels, Multimodal (combined) transport documents, through bills of lading;
 - receipt documents: acknowledging receipt of goods for carriage; Mate's receipt, Acceptance certificates (waterways), Duplicate rail and road consignment notes; Certificate of transport;
 - contents documents: listing goods in transport units or means of transport; Cargo and Freight manifests, Bordereau, Container manifest (Unit packing list);
 - administrative and legal documents: Road list; Discharge report, Freight invoice; Letter of indemnity;
 - notification documents: Booking confirmation, Calling forward notice, Arrival notice, Notices of circumstances preventing delivery or transport, Delivery notice.
 3. EXISTING INTERNATIONAL LAYOUT KEYS
 - Standard Bill of Lading (International Chamber of Shipping)
 - Layout key recommended by the International Chamber of Shipping (ICS) and applicable for direct and through bills of lading and sea waybills, and for combined transport bills of lading (although it should be noted that the latter deviate from the UNLK and cannot be used in shipper-operated one-run systems).
 - Standard Cargo and Freight Manifests (International Chamber of Shipping)
 - Layout keys recommended by the ICS, size ISO A3L, applicable to cargo and freight manifests, incorporating the image area and layout of the International Maritime Organization (IMO) Cargo Declaration (size ISO A4), partly aligned with Standard Bill of Lading.

-
4. EXISTING INTERNATIONAL STANDARD FORMS
- International Rail Consignment Note (CIM Convention)
 - Mandatory form, aligned to the UNLK
 - International Road Consignment Note (CMR Convention)
 - Recommended form, aligned to the UNLK
 - Universal Air Waybill (IATA)
 - Mandatory form adopted by IATA, aligned to the UNLK
 - Despatch Note for post parcels (World Post Convention)
 - Mandatory form laid down in the World Post Convention, aligned to the UNLK, size ISO a5L.
 - Negotiable FIATA Multimodal Transport Bill of Lading (FIATA-FBL)
 - Standard form established by FIATA, aligned to the UNLK
 - Non-negotiable FIATA Multimodal Transport Way Bill (FIATA-FWB)
 - Standard form established by FIATA, aligned to the UNLK
 - Forwarders Certificate of Transport (FIATA - FCT)
 - Standard form established by FIATA, aligned to the UNLK
 - Shippers Intermodal Weight Certificate (FIATA - SIC)
 - Standard form established by FIATA, aligned to the UNLK
5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS
- Among transport documents, the Bill of Lading was the first to be aligned to the UNLK; the ICS Standard Bill of lading was introduced at the same time as the original UNECE Layout key, in 1963. The Standard Bill of lading was designed with a view to enabling inclusion of bill of lading forms in one-run systems operated by consignors/shippers. Problems in this respect arise mainly when shipping lines deviate from the very precise print specification given in the ICS Recommendation.
 - However, attention is drawn to the fact that the 1978 version of the ICS Recommendation contains a layout key for “Combined Transport Bill of Lading” which creates problems in consignor-based systems, owing to the relatively large fields set aside for “Place of acceptance” and “Place of delivery” in an area which in most aligned series is used for other purposes.
 - Transport documents carry relatively few UNLK elements but include a large number of additional data elements, most of them related to the calculation of freight charges. This practice of calculating freight costs on the document, however, effectively prevents the rationalization of these documents, since methods of calculation differ according to mode of transport.
 - (The problem mainly affects documents for air, rail and road transport, as in maritime transport this custom has largely disappeared and freights are calculated and accounted for on separate documents.)
 - The possibilities of including transport documents – other than those for maritime transport – in one-run systems are limited owing to the existence of complex international standard forms, made up as sets of forms, which may not be separated at the completion stage.

- Some particular, potential design problems have been identified in aligning transport documents to the UNLK. One example relates to bills of lading where the field for transport details is lower than that of the UNLK, the reason being that the top quarter of the UNLK field is intended for domestic surface transport. Instead of leaving a framed-in, empty field in the Standard bill of lading, the lower limitation of the field for "Notify address" has been omitted. This is mainly for aesthetic reasons, although consignors who do not use master-based one-run systems obviously might use the "added" space as an extension of the "Notify address" field.
- The breakdown of the field for transport details differs between modes of transport. Bills of lading specify the elements needed to determine the liability under the conditions of carriage, such as ports of loading and discharge, name of vessel, etc. Air waybills specify airport of departure and of destination, flight number and date, etc. The result is that there is no common solution for all transport documents which would make it possible to complete these documents from one master. This has consequences also for documents in other sectors where transport details are required. However, this problem will have to be solved before a Universal Transport Document can be introduced, and possible solutions are presently being studied and tested by practical application in some countries.

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)

THOSE IDENTICAL WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
B	Consignee	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
C	Notify Delivery address	3144	Delivery Party. Party Identification. Text Name and address of party to which goods should be delivered, if not identical with consignee such as the place where a container is to be, or has been, positioned.	L 15, P 27-44
		3180	Notify Party. Party Identification. Text Name and address of a party to be notified.	an..35 x3; L16-18, P 09-44
K1	Shipping marks	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26
K2	Container no.			
K3	No. packages	7224	Package. Quantity Number of individual items packaged in such a way that they cannot be divided without first undoing the packing.	L 28-51; P 27-33
K4	Kinds of packages	7064	Package Type. Text Description of the type of packaging of an item.	an..17; L 28-64; P 34-51

K5	Description of goods	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
M	Gross weight	6292	Goods Item. Gross Weight. Measure Weight (mass) of goods including packaging but excluding the carrier's equipment.	L 28-52; P 63-74
Q1	Place of issue	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	
Q2	Date of issue	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62
Q3	Authentication	4426	Document. Authentication. Text Proof that a document has been authenticated indicating where appropriate the authentication party.	L62-64; P 09-44

THOSE SYNONYMOUS WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Consigned to order of			
	Shipper, sender	3336	Consignor. Party Identification. Text Name of the party consigning goods as stipulated in the transport contract by the party ordering transport	an..35 x5; L04-08, P 09-44
	B/L No. Sender's ref	1154	Reference. Identifier Identifies a reference.	an..35 x2; L 06-07, P 45-80
	Place of delivery of goods	3246	Consignment. Delivery Location. Text The place at which the cargo leaves the custody of the carrier under the terms and conditions of the transport contract	L 26; P 27-44
	Marks and numbers	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26

	Handling information	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26
	Measurement, cubage, volume	6322	Goods Item. Gross Measurement Cube. Measure Measurement normally arrived at by multiplying the maximum length, width and height of pieces of package or transport equipment. Also known as cube.	L 28-38; P 72-80

ADDITIONAL TO THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Carrier name	3126	Carrier. Party Identification. Text Name and address of party providing the transport of goods between named points	L 10-14; P 45-80
	Carrier identification	3127	Carrier. Party. Identifier To identify a party providing the transport of goods between named points.	L 09; P 63-80
	Place of receipt by pre-carrier	3302	Transport Movement. Pre-carriage Receipt Location. Text Name of the place at which goods are to be, or have been, taken over for carriage prior to the main transport	L 22; P 27-44
	Port of loading	3334	Consignment. Loading Location. Text Name of a seaport, airport, freight terminal, rail station or other place at which goods are loaded onto the means of transport being used for their carriage	L 24; P 27-44
	Airport of departure	3214	Transport Means. Departure Location. Text Name of the port, airport or other type of location from which a means of transport is scheduled to depart or has departed	
	Port of discharge			
	Place of delivery by on-carrier	3358	Transport Movement. On-carriage Receipt Location. Text Name of the place to which goods are to be, or have been, delivered by an on-carriage carrier following the main transport	L 26; P 27-44
	Requested routing	3050	Consignment. Route. Text Description of a route to be used for the transport of goods.	

Destination station	3392	Consignment. Unloading Location. Text Name of a seaport, airport, freight terminal, rail station or other place at which goods are unloaded from the means of transport having been used for their carriage	L 26; P 09-26
Airport of destination	3258	Transport Means. Destination Location. Text Name of the port, airport or other type of location at which a means of transport is scheduled to arrive or has arrived	
Pre-carriage by	8428	Transport Movement. Pre-carriage Means Type. Text Means of transport by which goods are moved prior to their main transport.	L 22; P 09-26
Vessel	8212	Transport Means. Identifier. Text Name of a specific means of transport such as the vessel name	L 24; P 09-26
Freight from	3090	Freight Charge. Payable From Location. Text Name of place from which the transport charges tariff applies or where charges have been incurred.	
Freight to	3102	Freight Charge. Payable To Location. Text Name of a place to which a transport charges tariff applies or where freight and other related charges are to be or have been incurred	L 62; P 36-53
Tariffs and routes requested			
Freight rate	5126	Consignment. Freight Charge Basis Rate. Numeric Rate or price per unit of quantity, or percentage, on which freight charges and other charges are calculated.	L 52-66; P 27-54
Tariff applied	5430	Consignment. Tariff. Text Code specifying a tariff applied to a consignment	
Commodity item no.	7357	Goods Item. Type. Code Code specifying a type of goods for Customs, transport or statistical purposes (generic term).	L 28-50; P 52-62
Chargeable weight, kg	6030	Chargeable Weight. Basis. Measure Gross weight (mass) on which a charge is to be based	

Tariff distance, km	6110	Chargeable Distance. Measure The distance between two points for which a specific tariff applies.	
Rate of exchange	5402	Currency. Exchange Rate. Numeric The rate at which one specified currency is expressed in another specified currency	
Instruction as to payment for carriage	4236	Payment. Arrangement. Text Free-format text specifying the arrangements for a payment	
To be paid by	3472	Freight. Other Charge Payer. Text Name and address of a party responsible for the payment of charges and fees other than freight costs	
Carriage chares, consignee	5202	Consignment. Consignee Freight Charge. Amount Amount of charges payable to the carrier by the consignee	
Carriage charges, sender	5176	Consignment. Sender Freight Charge. Amount Amount of charges payable to the carrier by the sender	
Deductions	5264	Consignment. Freight Charge Deduction. Amount Amount deductible from the carriage charges payable to the carrier by a consignee	
Deductions, sender			
Supplementary charges, consignee	5120	Consignment. Consignee Supplementary Charge. Amount Amount of additional charges payable to the carrier by a consignee	L 54; P 62-80
Supplementary charges, sender	5002	Consignment. Sender Additional Charge. Amount Amount of additional charges payable to the carrier by the sender	
Other charges, amount	5208	Consignment. Other Charge. Amount Amount of specified individual charge or fee, other than weight and valuation charge in words and figures.	
Other charges, collect			
Other charges, consignee	5246	Consignment. Consignee Other Charge. Amount Amount of ancillary charges payable to the carrier by a consignee.	

Other charges, prepaid	5158	Consignment. Prepaid Other Charge. Indicator Indication that other charges are wholly prepaid	
Other charges, sender	5322	Consignment. Sender Other Charge. Amount Amount of ancillary charges payable to the carrier by the sender.	
Currency	6344	Currency. Text The name or symbol of a monetary unit or currency	
Cash on delivery amount	5017	Consignment. Cash On Delivery. Amount Monetary amount to be paid at time of delivery in figures	

Annex 1-C3: International Sectoral UNLK–Transport related Insurance

Transport is separated into three sections:

- Transport and related services (C1),
 - Main transport (C2), and
 - Insurance (C3).
1. FAMILY
 - This is the root model for all documents pertinent to insurance related to transport services based on the UNLK. It is based on the UNLK root model (Annex 1-root)
 2. SCOPE
 - This sector includes the documents required for insurance of goods moving in international trade, including the payment of insurance premiums. The main documentary functions can be categorized as follows:
 - Insurance agreements. Insurance contract; Insurance policy; Insurance certificate;
 - Notification documents: Insurance notice; Cover note; and
 - Administrative documents: Premium notice; Insurer’s invoice.
 - The most important of these is the Insurance certificate, which is a document issued to the insured certifying that insurance has been effected and that a policy has been issued. Such a certificate is used primarily when goods are insured under the terms of a floating or an open policy; it is usually not considered to be valid in Court without the policy itself. The Insurance certificate is widely used to save time and labour. It is often prepared for the insured, with the insurer’s agreement, and is usually valid even without the insurer’s endorsement.
 3. EXISTING INTERNATIONAL LAYOUT KEYS
None.
 4. EXISTING INTERNATIONAL STANDARD FORMS
None.
 5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS
 - Usually, but not always, the consignor/exporter is the insured party; hence, according to current practice, the more general term “Insured” should be used in the field for Consignor/Exporter of the UNLK.
 - The number usually given to Insurance certificates should be placed in the reference field of the UNLK.
 - For facts regarding transport which are required by the insurer, a “Transport details” field can be provided in accordance with the UNLK. Examples are information on means of transport, date of shipment and the date when the insurer’s responsibility commences, trans-shipment, loading and delivery points. If the space is to be subdivided, the layout should be based on that of the transport document concerned, e.g. the ICS Standard Bill of Lading.

- The “Value insured” should preferably be placed at the bottom of the field for “Terms and conditions” of the UNLK, i.e. in the space L 23/24, P 45-80. If the “Value insured” is required in letters also. This can be inserted in the space immediately above the value figures. If preferred, however, the “Value insured” can be placed at the bottom of the goods description area.
- In conjunction with details about “Shipping marks”, it is desirable to indicate the type of load unit and packaging, since such data is useful for insurance purposes. It should be placed in accordance with the UNLK.
- In addition to “Gross weight”, in certain cases, it is essential to know the volume of the goods insured, particularly in the case of liquids (e.g. wine). Provided that an appropriate measure unit specifier is used (litres, cubic meters, etc.) this information can be given in the “Gross weight” field.
- Most insurance certificates in current use include information on “Insurance conditions”, “Agent at destination” and “Average adjuster”. For these items, and for other particulars, optional space is available in the “Free disposal” area of the UNLK.
- As regards “Insurance conditions”, only a very brief reference should be made to the general conditions of contract under which the Certificate has been issued or the wording of the specific conditions pertaining to the operation in question. It is therefore unnecessary to reproduce all the clauses of the insurance policy on the Certificate.
- The two address indications of “Agent of destination” and “Average adjuster” may be placed either under each other or side by side, depending on space requirements for the insurance conditions or the need for a field for other particulars.
- The space which in the UNLK is reserved for “Consignee” and “Modify address” may be used, either for these particulars if required, or for the name of the beneficiary of the insurance if different from the insured. It may be headed “Other particulars”.

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)

THOSE IDENTICAL WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
D	Transport details	8012		
K1	Shipping marks	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26
K3	No. packages	7224	Package. Quantity Number of individual items packaged in such a way that they cannot be divided without first undoing the packing.	L 28-51; P 27-33
K4	Kinds of packages	7064	Package Type. Text Description of the type of packaging of an item.	an..17; L 28-64; P 34-51

K5	Description of goods	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
M	Gross weight	6292	Goods Item. Gross Weight. Measure Weight (mass) of goods including packaging but excluding the carrier's equipment.	L 28-52; P 63-74
Q1	Place of issue	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	
Q2	Date of issue	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62
Q3	Authentication	4426	Document. Authentication. Text Proof that a document has been authenticated indicating where appropriate the authentication party.	L62-64; P 09-44

THOSE SYNONYMOUS WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Insured	3136	Insured. Party Identification. Text Name and address of party which benefits from insurance coverage. For example, in transport this is usually the shipper	an..35 x5; L 04-08; P 09-44
	References	1004	Document. Identifier Reference number identifying a specific document	an..17; L 04; P 63-80
		1154	Reference. Identifier Identifies a reference.	an..35 x2; L 06-07, P 45-80

ADDITIONAL TO THE UNLK

Field code	Field heading	UNTDED	Semantic definition	Physical location on UNLK
	Insurer	3070	Insurer. Party Identification. Text Name and address of underwriter	an..35 x5; L 10-18; P 45-80
	Value insured (in letters)	5010	Consignment. Insured Value. Text Representation in letters of the total sum covered by an insurance for a particular shipment	L 24; P 45-80
	Value insured (in figures)	5011	Consignment. Insured Value. Amount Representation in figures of the total sum covered by an insurance for a particular consignment.	L 26; P45-80
	Insurance conditions	4112	Insurance. Condition. Text Reference to the general conditions of contract under which an Insurance certificate is issued, and/or wording of the specific conditions pertaining to the shipment in question.	
	Agent at destination	3430	Insurer At Destination Agent. Party Identification. Text Name and address of the agent of the insurer at the place of destination	an..35 x5; L 50-54; P 09-44
	Average adjuster	3360	Insurance Claims Adjuster. Party Identification. Text Name and address of the insurance claims adjuster.	an..35 x5; L 56-60; P 09-44
	Other particulars			
	Insurance conditions	4112	Insurance. Condition. Text Reference to the general conditions of contract under which an Insurance certificate is issued, and/or wording of the specific conditions pertaining to the shipment in question.	

Annex 1-D: International Sectoral UNLK–Official controls sector

1. FAMILY
 - This is the root model for all official controls documents based on the UNLK. It is based on the UNLK root model (Annex 1-root)
2. SCOPE
 - This sector includes documents required for the control of goods moving in international trade, conducted by various official bodies in exporting, importing and transit countries. These controls are required for a number of purposes, which can be categorized as follows:
 - collection of Customs duties and taxes, safeguarding of revenue: Customs Goods declarations for export, home use, warehousing, transit, etc.; Single Administrative Documents; Cargo declarations; Customs invoice; Tax declarations for value-added tax, etc.; Transit bond-notes
 - quantitative restrictions on exports and imports: Applications for export or import licences; export and import licences,
 - controls and restrictions regarding exchange: Exchange control declaration; Application for exchange allocation; Foreign exchange permit.
 - sanitary, veterinary and plant controls: Phytosanitary, Sanitary and Veterinary certificates, and applications for such certificates.
 - controls of quality and product standards: Goods control and inspection certificates and applications for such certificates; Regional appellation certificates.
 - granting of preferential treatment for goods of certain origin: Certificates of origin and applications for such certificates; GSP Certificate; Declarations of origin.
 - restrictions imposed to safeguard public security, cultural heritage, etc.: Dangerous goods declaration.
 - collection of foreign trade statistics: Statistical documents for export and import.
 - consular invoices are still required in some countries; it is sometimes asserted that they belong to one of the categories mentioned above.
3. EXISTING INTERNATIONAL LAYOUT KEYS
 - Goods declaration for home use (Kyoto Convention)
 - Layout key established by the Customs Co-operation Council and appended to Annex B1 of the Kyoto Convention.
 - Goods declaration for export (Kyoto Convention)
 - Layout key established by the Customs Co-operation Council and appended to Annex C1 of the Kyoto Convention;
 - Goods declaration for transit (Kyoto Convention)

- Layout key established by the Customs Co-operation Council and appended to Annex E1 of the Kyoto Convention, also appended to Annex I to the Convention on International Multimodal Transport of Goods, Geneva 1980.
 - Phytosanitary certificate (Plant Protection Convention)
 - Model form laid down in the International Plant Protection Convention, Paris 1951.
 - Certificate of origin (Kyoto Convention)
 - Layout key established by the Customs Co-operation Council and appended to Annex D2 of the Kyoto Convention.
 - Dangerous goods declaration (UN/ECE/FAL Rec.11)
 - Layout key recommended by UNECE, aligned to the UNLK.
4. EXISTING INTERNATIONAL STANDARD FORMS
- Cargo declaration (International Maritime Organization - IMO FAL Convention)
 - Model form recommended by IMO for use under Standard 2.3 of the IMO Convention on Facilitation of International Maritime Traffic (London, 1965).
 - GSP Certificate (UNCTAD)
 - Mandatory form established under the UNCTAD Generalized System of Preferences, black print on security (guilloche) paper, with reverse print, sets of two joined by perforated fold at upper edge.
 - Single Administrative Document (SAD)
 - Document used within the European Union for import, export, and transit procedures.
5. PARTICULAR ALIGNMENT CONSIDERATIONS OR PROBLEMS
- Application forms are often required by the bodies competent to issue licences and certificates. Sometimes, the licences and certificates are issued simply by endorsement of the application form, which then assumes the function of the official licence or certificate document. In other cases, the competent body issues a separate, official document on the basis of the data contained in the application. The application, or one copy of a dual-function application form, is always retained and filed by the competent body.
 - Considerable time and cost saving is possible if the competent body is prepared to accept and endorse separate licence or certificate forms filled in by the applicants.
 - As at least two copies are needed, and provided that the application and licence/certificate forms are aligned, there are certain advantages in using separate forms for the Application and for the Licence/Certificate. First, the authority of the official document is enhanced if it carries the title Licence or Certificate rather than the title “Application for...”.
 - Secondly, the application form has some space for the formal application text and for data intended for use by the competent body in evaluating the case; it would not be appropriate for this data to also appear in the official document. In consequence, the space made free in the official document can be used for other purposes, e.g. for the formal certification which will thus be superimposed on the corresponding field in the application form.

6. BOX COMPLETION GUIDE (DATA ELEMENTS INCLUDED)

THOSE IDENTICAL WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
A	Consignor (Exporter)	3336	Consignor. Party Identification. Text Name of the party consigning goods as stipulated in the transport contract by the party ordering transport	an..35 x5; L04-08, P 09-44
B	Consignee	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
C	Notify Delivery address	3144	Delivery Party. Party Identification. Text Name and address of party to which goods should be delivered, if not identical with consignee such as the place where a container is to be, or has been, positioned.	L 15, P 27-44
		3180	Notify Party. Party Identification. Text Name and address of a party to be notified.	an..35 x3; L16-18, P 09-44
E2	Reference number	1154	Reference. Identifier Identifies a reference.	an..35 x2; L 06-07, P 45-80
G	Country whence consigned	3220	Exportation Country. Name. Text Name of country from which a consignment of goods was initially exported to the importing country without any commercial transaction taking place in intermediate countries. Syn.: country whence consigned. Country of despatch: country from which goods are despatched between countries of a Customs Union.	L 16; P 45-61
H	Country of origin	3238	Consignment. Origin Country Name. Text Name of the country in which the goods have been produced or manufactured, according to criteria laid down for the application of the Customs tariff or quantitative restrictions, or any measure related to trade.	L18; P 45-62
I	Country of Destination	3216	Name of the country to which the goods are to be delivered to the final consignee or buyer.	L 18; P 63-79

K3	No. packages	7224	Package. Quantity Number of individual items packaged in such a way that they cannot be divided without first undoing the packing.	L 28-51; P 27-33
K4	Kinds of packages	7064	Package Type. Text Description of the type of packaging of an item.	an..17; L 28-64; P 34-51
K5	Description of goods	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
P	Value	5032	Goods Item. For Customs Declared Value. Amount Amount declared for customs purposes of those goods in a consignment which are subject to the same tariff/statistical heading, country information and duty regime.	
Q1	Place of issue	3410	Document. Issue Location. Text Name of the location where a document was issued and when appropriate, signed or otherwise authenticated.	
Q2	Date of issue	2006	Document. Issue Date Time. Text Date that a document was issued and when appropriate, signed or otherwise authenticated, in figures and words.	L 04; P 45-62

THOSE SYNONYMOUS WITH THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Importer, Goods consigned to	3132	Consignee. Party Identification. Text Name and address of party to which goods are consigned.	an..35 x5; L 10-14, P 09-44
		3020	Name and address of party who makes - or on whose behalf a Customs clearing agent or other authorized person makes an import declaration. This may include a person who has possession of the goods or to whom the goods are consigned	
	Place of origin	3238	Consignment. Origin Country Name. Text Name of the country in which the goods have been produced or manufactured, according to criteria laid down for the	L18; P 45-62

			application of the Customs tariff or quantitative restrictions, or any measure related to trade.	
	Marks and numbers	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26
	Distinguished marks	7102	Goods Item. Shipping Marks. Text Free-form description of the marks and numbers on a transport unit or package.	an..17; L 28-64; P 09-26
	Name of produce	7002	Goods Item. Description. Text Plain language description of the nature of a goods item sufficient to identify it for customs, statistical or transport purposes.	an..26 xn; L28-50; P 34-60
	Tariff heading	7357	Goods Item. Type. Code Code specifying a type of goods for Customs, transport or statistical purposes (generic term).	L 28-50; P 52-62
	Net weight, quantity, quantity declared	6160	Net Weight. Measure Weight (mass) of goods including any packaging that normally goes with the goods.	L 28-34; P 63-71
	Measurement	6322	Goods Item. Gross Measurement Cube. Measure Measurement normally arrived at by multiplying the maximum length, width and height of pieces of package or transport equipment. Also known as cube.	L 28-38; P 72-80

ADDITIONAL TO THE UNLK

Field code	Field heading	UNTDDED	Semantic definition	Physical location on UNLK
	Documents attached	1346	Enclosed Document. Function Name Text Name of an enclosed document function	
	Import licence no.	1107	Import Permit. Identifier Reference number to identify an import licence or permit	L 04; P 63-80
	Export licence no.	1208	Export Permit. Identifier Reference number to identify an export licence or permit	L 04; P 63-80
	Manifest no.	1188	Transport Contract Document. Identifier Reference number to identify a document evidencing a transport contract	an..17; L 04; P 63-80

Transport document no.	1188	Transport Contract Document. Identifier Reference number to identify a document evidencing a transport contract	an..17; L 04; P 63-80
Invoice date	2376	Invoice Document. Issue Date Time. Text Date of issue of an invoice, in figures and words	L 04; P 45-62
Invoice number	1334	Invoice Document. Identifier Reference number to identify an invoice	an..17; L 04; P 63-80
Declarant	3140	Declarant. Party Identification. Text Name and address of party which makes a declaration to an official body or - where legally permitted - in whose name, or on whose behalf, a declaration to an official body is made	an..35 x5; L 04-08; P 09-44
Bank			
Official issuing body			
Itinerary	3050	Consignment. Route. Text Description of a route to be used for the transport of goods.	
Identification of means of transport	8212	Transport Means. Identifier. Text Name of a specific means of transport such as the vessel name	L 24; P 09-26
Vessel	8212	Transport Means. Identifier. Text Name of a specific means of transport such as the vessel name	L 24; P 09-26

Annex 2: Iterative Process of Document Review

1. A very important and valuable feature of the UNLK standard is the ability to simplify, harmonize and standardize the data needed to meet the requirements of domestic and international trade. The standard offers the opportunity to eliminate duplication of data and remove any redundancy in the trade-related information demanded by business and government. This approach invariably leads to the establishment of a much smaller but more effective national dataset to meet business needs and comply with official obligations.
2. Developing a series of aligned trade forms derived from the UNLK standard allows the information flow to be modernized, streamlined and fast-tracked greatly increasing the performance of the supply and value chains. The significant benefits of the UNKL standard accrue when the series of aligned forms are introduced and business and government migrate to the new system.
3. However, the benefits need not cease with the introduction of the new set of documents. To ensure the standard continues to deliver optimum results, trade-related information requirements and the forms in the aligned series should be regularly reviewed. The review should be conducted by a joint public and private sector working party to ensure that the regulatory and official requirements and the business needs of the trading community are fully considered in an open, transparent and inclusive way.
4. The suggested methodology of the working party is shown in the figure below:

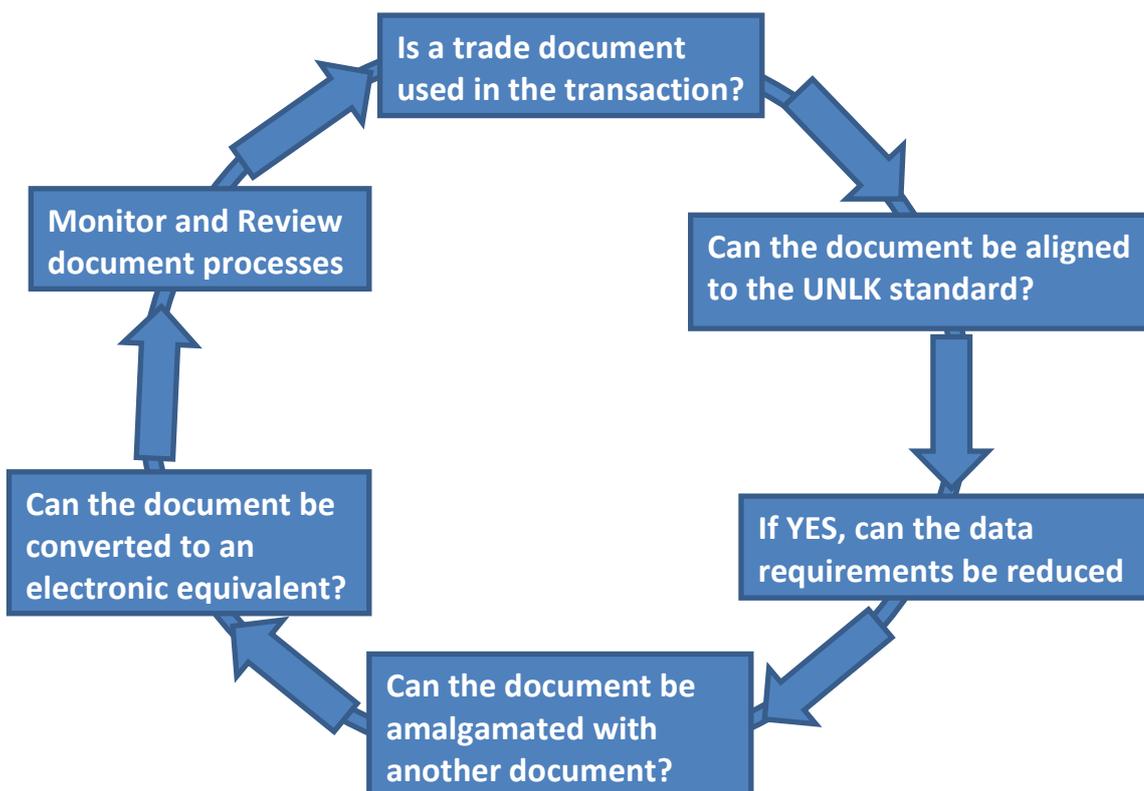


Figure 2.1: Iterative Process of Document Review

5. The 'virtuous circle' diagram envisages a rolling programme of review for all documents used in domestic and international trade conducted every three to five years. For ease of conducting the programme and utilizing the expertise of the participants in the working party, the documents should be divided into specific functional groups, for example Commercial, Transport, Financial (including international payments) and Official. The suggested divisions are indicative and not exhaustive.

6. A schedule or calendar for the document groups should be agreed upon by an oversight or supervisory committee to ensure consistency of methodology and outputs from each group. Adopting this approach should make the review programme manageable, efficient and effective. Equally, a structured programme should reduce the time and burdens on participants of the individual review groups.

7. The outcome from the rolling programme would be an action plan to remove unnecessary trade documents. Where this is not immediately possible, the action plan should offer imaginative and innovative ways of replacement by other methods. In this respect the members of the review groups should embrace the concept of simpler, easier trade processes through radical yet well informed and considered solutions. In this respect, and as the diagram illustrates, the review groups should actively consider whether the trade document could be converted to an electronic equivalent using recognized and established e-business standards.

Annex 3:

Road Map for Developing an Aligned Series of Trade Documents

1. The adoption by a government of Recommendation n°1: United Nations Layout Key for Trade Documents (UNLK) demonstrates the political will to support internationally agreed standards and use them to improve the trading performance of the country, greatly assisting a strategic programme of economic development and wealth and employment creation. Equally, the similar adoption of the UNLK by the trading community shows a determination to modernize and streamline business processes, and to improve upon the efficiency and effectiveness of supply and value chains in global commerce.
2. The decision to adopt the UNLK standard by either the public or private sector (or hopefully both) is the crucial first step in the programme to introduce an aligned series of trade documents. Once the strategic decision has been made a tactical 'Road Map' can be developed for implementation. Experience and empirical evidence has shown implementation will consist of four major phases; i) Plan, ii) Potential Usage and Users, iii) Production and iv) Promotion and Publicity.
3. The Road Map towards an aligned series of trade documents should involve experts working on Single Window data harmonization as outlined in UNECE Recommendation n°34 (Data Simplification and Standardization for International Trade). The cooperation between public and private sectors in this task is outlined in Recommendation n°40 (Consultation Approaches).

I. Plan

4. The starting point of the Road Map should be the selection of a Lead Agency or Project Team to develop the implementation plan. Several options exist for the formation of the lead agency:
 - Public sector, with members drawn from government authorities with direct interest in the functioning of the trade process;
 - Private sector, with participants from all trade and industry sectors with recognized and acknowledged expertise in domestic and international trade transaction;
 - A public and private sector partnership combining the two options;
 - The National Trade Facilitation Body already in existence or due to be established under international treaty obligations, or
 - An independent body with membership including public, private and third sector participants and individual experts in the field of the trade transaction process and supply chain management.
5. These options are indicative and not exhaustive. The selection process should not be limited or restricted, instead it should be open to imaginative and innovative solutions based on the needs of the implementing country or trading community.
6. After the formation of the lead agency, stage two of the Road Map should be an inventory of the documents currently used in domestic and international trade transactions. These documents could be divided into groups by either industry sector (for example commercial, transport, banking, finance) or particular links in the supply chain (such as contract negotiation, preparation for export, importation and final payment). Once the

inventory of documents has been completed, an initial review should be undertaken to decide which forms should be aligned to the UNLK standard. The review could follow the process described earlier in Annex 4 – Iterative Review of Trade Documents.

II. Potential Usage and Users

7. Conducting the inventory of existing trade forms provides the ideal opportunity to consult with the business community about their documentation needs and usage. The establishment of Aligned Documents Advisory Groups (ADAG) has a proven track record of achieving this objective. These Groups could correspond to the industry and trade sectors, or the individual links in the domestic and international supply chains identified earlier in the review. This approach would allow companies, trade services providers, small and medium size enterprises (SME) to inform the planning process

8. Equally, government should be invited to send representatives from the authorities involved in trade controls to form a Group to review the official forms demanded from the trading community. The government ADAG should also take the opportunity to examine the individual data elements required to populate official forms. The purpose of the examination would be to remove duplication, eliminate redundancy and consolidate information requirements into a much simpler, more harmonized national data set.

9. The ADAGs would assist the Lead Agency to develop an action plan for the successful introduction of the aligned series of trade forms. The Groups would

- Explain current trade document usage;
- Identify specific business needs for particular trade sectors;
- Discuss ownership and copyright issues, and agree to an intellectual property rights strategy respecting ownership, but embracing an ‘open’ approach to the usage of the aligned forms;
- Identify instances where a national standard document is required;
- Provide input on the design and technical specifications of aligned forms and national standard documents; and
- Identify the priorities for the introduction of the new aligned and standard forms.

10. The initial work programme of the ADAGs should take between 6 and 9 months and a fitting tribute to the collaborative efforts could be the publication of a manual containing the UNLK aligned forms and the national standard documents. The manual would provide a representation of each form with its copyright owner (whether it is fully aligned, or a national standard, or a recommended format) and the methods of reproduction.

11. The ADAGs should not be disbanded on completion of the initial review. These Groups should be invited to remain active and help the Lead Agency with regular reviews of form design and usage.

12. Independent of the work of the ADAGs, the Lead Agency should undertake a review of trade forms issued by the governments of trading partner nations. The purpose would be to assess the usage of the documents by the trading community and the possibility of producing a national standard based on the UNLK that would meet the official requirements of the government of the overseas country.

13. The review would require contact with the local representatives of the overseas government, most commonly the embassy or trade consulate. Negotiations should emphasize the mutual benefits of a standard document for exchanging simpler, more

accurate and timely trade-related information. Past examples of the alignment of country specific documents such as the Certified Invoice, and the Certificate of Value and Origin have demonstrated this approach improves the efficiency and effectiveness of the trading performance between the two nations.

III. Production

14. The successful introduction of the UNLK standard and derived aligned trade forms will be better assured if a 'product' is readily available for potential users. The Lead Agency should engage with commercial vendors by offering the opportunity to reproduce the aligned series of trade documents in the form of either printed blank forms or computer-based software solutions. Without the commercial incentive of a reasonable return it is unlikely that a sufficient number of 'producers' will devote the time, effort and financial investment required to develop products for the marketplace that would offer efficient, reliable and cost-effective merchandise for the potential users.

15. An alternative to the commercial option is for government or similar authority, or an independent non-profit organization, to find the resources to offer the aligned series of trade documents as a free public service. When considering this option, the Lead Agency should review the implementation of the standard in other countries. These experiences often show commercial producers are more likely to respond better and more quickly to changes in the marketplace and developments in trading practices than governmental or third sector organizations.

16. If the commercial option is selected, the Lead Agency would need to identify the different types of products to be developed to market the aligned series of trade forms. These products could be subdivided into specific categories with contracts offered to vendors after an open and transparent tender process. Experience from previous implementations has shown the categories most commonly include:

- Printing licences with the right to reproduce as blank forms all the documents in the aligned series of trade forms, including any national standard forms.
- Printing licences for specified documents with reproduction restricted to certain forms in the aligned series or national standard forms. (This approach allows smaller printing companies to offer a tailored product to the market.)
- Direct Printing Licence granted to individual companies that wish to develop their own 'in-house' system of forms production. The Licence could be either open and general for all trade documents or restricted to specific trade forms.
- Laser Printing Licence granted to software vendors to reproduce either blank or completed forms using laser printers.
- Software Licence granted to vendors to reproduce a graphical representation of aligned and national standard forms on a computer screen for completion. The output would be transmitted using recognized international electronic business standards. This type of licence could also be granted to individual companies that have in-house commercial systems for producing and transmitting completed trade documentation.

17. This list is non-exhaustive and is not limited or restricted to the actual bodies, issues or objectives listed. The Lead Agency, in consultation with Governments and the Aligned Documents Advisory Groups should treat it as a starting point based on previous experience. Further research should be undertaken to ensure the range of licences offered to commercial interests fully meet the identified trading needs of the country or economy.

18. The Lead Agency should also consider other methods of getting the UNLK standard to market. In addition to a licensing regime, a system of authorizations and registrations could be introduced. Third party organizations such as trade associations could be approved to promote the aligned series of trade forms. These multiplier bodies would be allowed to license individual companies and other trading entities to reproduce the forms and would be responsible for managing and monitoring the production system. This approach could prove valuable where a trade or industry sector (for example maritime and air transport, logistics providers, express carriers, freight forwarding) own intellectual property rights for the documents required in the trade transaction, the supply chain or the transit of goods.

19. Further issues the Lead Agency should consider include the scale of fees for the direct licence, the level of charge for authorization and registration, an Intellectual Property Rights policy, copyright, and perhaps most importantly conducting an ‘Alignment Quality’ check for all licensees and authorized organizations.

IV. Promotion and Publicity

20. The introduction of an aligned series of trade documents will result in major changes in the way the business community prepares and presents trade data to trading partners, trade services providers and government. Indeed, in some cases it may require re-engineering specific business methods. Equally, government will need to consider proactively and constructively the way it accepts and processes information from the trading community.

21. Consequently, the lead agency should develop an awareness programme to explain the benefits of aligned trade documents. These advantages have been described in the Recommendation under the Guidelines in Part II. They are summarized in the following illustrative figures:

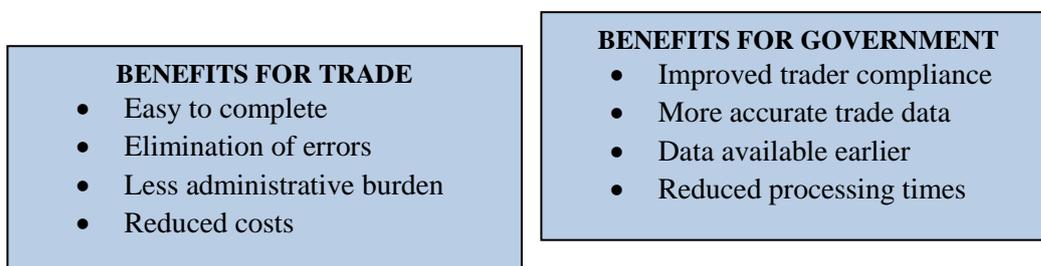


Figure 3.1: Benefits for Trade and Government

22. The lead agency should understand the significance of business and government legacy systems and the degree of change required to migrate to the series of aligned forms. The awareness programme should offer reassurance that implementation will acknowledge this situation and provide a suitable period of transition.

23. To reach as wide an audience as possible the lead agency should consider inviting ‘multiplier organizations’ to join the awareness programme. Invitations could be sent to trade associations, business representation organizations (for example the national Chamber of Commerce), third sector bodies (such as charities) and academic institutions. These ‘multipliers’ could publicize the implementation plan in the trade press, through other promotion channels (such as broadcast media) radio and by using social media applications. The organizations could also invite experts to assist in developing and giving presentations at workshops, seminars and other events planned to increase awareness of implementation and encourage involvement.

24. To ensure the success of the awareness programme the lead agency should have sufficient resources, both human and financial. The budget should cover the cost of staff, both permanent and temporary, support facilities and equipment, and travel and accommodation for a series of events. Funding a promotion and publicity campaign can prove problematic for some developing countries and economies in transition. Equally, finding adequate financial resources can pose problems for the business community especially the small and medium sized enterprise sector. However, the full benefits of the implementation of the UNLK aligned series of trade documents cannot be achieved unless the appropriate funds are committed to the awareness programme.

V. Conclusions

25. The Lead Agency and implementers, together with any chosen or identified operators should work on the individual stages of the Road Map simultaneously. A detailed route should be mapped to identify when a particular stage begins and finishes, where overlaps are likely to occur, and where bottlenecks might be encountered so they can be effectively managed.
