

UN Economic Commission for Europe , Geneva

Single Window Case Study Template

Background

What motivated the establishment of your Single Window (SW)?

The Philippines commitment to ASEAN

- a. *Agreement to establish and implement the ASEAN Single Window - signed in Kuala Lumpur, 9 December 2005.*
- b. *Declaration of ASEAN Concord II (Bali Concord II) of October 7 2003, pursuant to which ASEAN is working towards the realisation of an ASEAN Economic Community by 2020.*
- c. *Moving towards the ASEAN Economic Community, ASEAN shall, inter alia, institute new mechanisms and measures to strengthen the implementation of its existing economic initiatives including the ASEAN Free Trade Area (AFTA).*
- d. *Adoption of the Single Window approach including the electronic processing of trade documents at national and regional level as one of the mechanisms to realise the ASEAN Economic Community.*
- e. *Article 8(f) of the ASEAN Framework Agreement for the Integration of Priority Sectors, that Member Countries shall develop the Single Window approach, including the electronic processing of trade documents at national and regional level by 31 December 2005.*
- f. *Philippines Presidential Executive Order 482 on "Creating the National Single Window of Cargo Clearance Task Force" issued on December 27, 2005.*

What year was it established?

The contract to implement a National Single Window was awarded in October 2009 and the first connection for ten (10) agencies was made by 19th December 2009

What is the current status of the facility (study, pilot phase, running)?

Live running in 30 government agencies with a further 70 offices nationwide, plus another 10 agencies for information sharing and data monitoring

Establishment

How did the SW interface with already established systems (if any existed)?

For most of the agencies, the NSW replaced the older systems that existed. For the agencies that had systems in place and needed connection to the NSW, a web service was provided to receive data in XML defined format.

Did any other SW model serve as inspiration or model?

The product that was purchased was from Crown Agents and was based on their experience in the field

What process was followed in setting it up? Was there a pilot project?

After a period of requirements gathering, the system was configured for pilot running in 10 agencies for 2 months. After this period, the lessons learnt in the training and change management activities were incorporated into the rollout of a further 30 agencies and 70 regional offices

What kind of training for the staff was required in the establishment and how was it organized?

There were several Change Management workshops for all the agencies involved and a representative selection from the trading community. This set up the environment for the classroom training events that followed for the agency staff. In addition, there was a tutorial developed and included on the NSW website for the thousands of stakeholders to view and be trained from.

How long did it take the facility to become operational?

The first 10 agencies were up and running within 2 months of the contract start, each one using the one priority application form that they selected for permit to import. Another 20 agencies plus additional application forms for import and export were loaded and became operational within 9 months and a further 70 regional offices were linked to the system within 12 months.

Services

What services does the SW provide? What documents/information/process are covered?

The system is mainly concerned with the application and processing of permits, licenses and clearances for import and export. It records the final results of the applications (approved or rejected) and links them electronically to the Customs system for the validation and verification of importation/exportation. The services provided include:

- *Electronic submission of application forms*
- *Viewable status in the system dashboard*
- *Notification via email of application status*
- *Electronic attachments of supporting documents*
- *Mobile and electronic payment*
- *PDF documents using digital signatures*
- *Executive Dashboard and Management Reports*

Currently there are 70 application forms for import/export permits, licenses & clearances held within the system although during the next phase of the project, these will be rationalized standardized and harmonized

How many transactions per day are handled? What percentage of total transactions?

Current numbers as at June 2011 are just over 3,000 transactions per day which represent 90% of the total daily applications. This will rise to 100% by July 2011.

How many clients does the SW have at the present time?

There are almost 2,800 importers and exporters currently registered with the system

Operational Model

How does it work? What is the operational model for the SW (describe the ~~business~~ process model)?

The National Single Window is a centralized facility whereby traders can access the system 24/7 through the internet. Submitted applications are routed automatically to the relevant agency where they are processed, payment certified (ePayment) and authorized. Once

authorized, information is sent to the Bureau of Customs for processing by their operational system and the importer/exporter is informed.

Who are the main clients?

Agency users, importers and exporters

Which public and private agencies are involved in the facility?

Importers and exporters who require a license, permit or clearance to import or export items and also the trade related government agencies that process these applications

Business Model

What is the business model? How is it financed (government, private sector, Private-Public partnership)?

This is a fully government funded project and the use of the system is free to all registered users. The only costs involved are the agency charges for issuance of permits, licenses and clearances and these charges were carried forward from the previous processing model

What were the costs of establishment of the facility?

This information will be sent at a later stage

What was the difference between estimated costs and real costs?

The project was completed within budget

What are the ongoing operational costs (annual)?

This information will be sent at a later stage

What are the user fees (if any) and annual revenue? Model of payment (fixed price per year, price per transaction, combination, other model)?

As stated above, this is a fully government funded project

How will the SW be sustained over the coming years?

Government funding initially

Do the revenues generated cover operational costs or do they make a profit? Are the revenues (if any) reinvested in the SW?

N/A

Technology

What technology is used?

The core technology is a proprietary package from Crown Agents called TRIPS Single Window. It is a fully configurable product that can be implemented by Crown Agents (or a local team after some configuration training).

How are data submitted (electronically – what type of format/language, paper – what forms, combination – what kind of combination)?

The data is submitted electronically using .pdf templates and these are secured digitally. As stated above, these forms relate to the application to import or export

Where are data sent and lodged (government or private entity)?

Help centrally on government servers.

Who can submit data (importer, exporter, agent, customs broker)?

Importer, exporter and broker as long as they are a registered trader with the Philippines Bureau of Customs

Promotion and Communications

How did you promote the facility?

The project had a specific Change Management and Communications campaign for this purpose

How were all stakeholders kept informed about the facility's progress?

By CM Workshops, web site information releases, email and local and national press

What kind of training was provided for users?

See above info on training

Do you provide any helpdesk or customer service?

We have a dedicated help desk facility in place

Judicial aspects

Is use of the facility obligatory or voluntary?

Obligatory

Do participants need to sign a contract with provider/agency in order to participate?

They just need to be registered traders with the Bureau of Customs and have accreditation with the agency who they deal with.

Was specific legislation (or change of old legislation) necessary?

An Executive Order was issued to establish and operationalize the system. The Philippines also has an eCommerce law in place to allow paperless transactions within government

How is the privacy of information protected?

Privacy of information is covered by the eCommerce law and also the agreements that the traders have with the agencies. In addition, any sharing of information between agencies which now can be realized by the implementation of the NSW is covered by specific MOA's between agencies.

Standards

What is the role of international standards (UN/EDIFACT, UNLK, UN LOCODE, UN/CEFACT Single Window Recommendation, etc) in your SW?

These standards are already planned to be applied during the next phase of the project when the integration to the ASW is made and the rationalization, standardization and harmonization of data activities begin.

Benefits

What are the benefits to clients and to participating agencies?

Clients – there is no more need for traders to visit government offices and this has lowered the cost of doing business with government. In addition, the NSW is meeting and exceeding the agencies target KPI's for issuance of permits, licenses and clearances showing a dramatic improvement in processing times

Agencies – easier process for receiving and processing of applications, greater visibility of the approval process, full audit trail capabilities together with management reporting for performance and statistical purposes

How did it benefit trading community and the Government?

See previous answer

What was the impact on Customs revenues?

Currently being monitored

What problems did it solve?

Fake and recycled permits therefore illegal shipments

Lessons Learned

What were the crucial success factors?

- *Issuance of an Executive Order*
- *Support of Agency Heads*
- *Communications campaigns*
- *Change Management*

What were the greatest obstacles?

Through the extensive CM Program that was conducted, the agency staff understood the objectives and realized the ease of use of the system. This helped greatly in gaining their support. Without user support, the system implementation would have been more difficult.

What are the main lessons learned?

Keeping the implementation as simple as possible with little or at most, minor changes to existing processes (the next phase of the project will address the rationalization, standardization and harmonization activities)

Future Plans

What are the plans for further development of the SW?

Phase 2 will include the rationalization, standardization and harmonization of data and integration with the ASEAN Single Window (ASW)

What are the biggest obstacles to further development of the SW?

Naturally funding, but the status at present looks promising

Do you intend to make agreements concerning SW cooperation on the regional level?

This project is part of the ASEAN initiative and in phase 2, full integration with the ASW will be accomplished

Are you planning to have agreements for exchange of data with SW running in other countries?

Yes, through ASW (see above)

Source for further information and contact person

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