



# Single Window Environment Maturity

## I. Introduction

This document provides the description of the different building phases of the Single Window environment, as well as references to the WCO Single Window Maturity Model.

The aim of the document is to assist Members by providing easy to access information that might serve as an overall self-assessment framework.

The source of the above mentioned information are the followings:

- the *Explanatory Note*<sup>1</sup>, which was discussed during the 75<sup>th</sup> Meeting of the IMSC;
- the SW Compendium Vol.2, Part IX on “Performance management and sustainability”.

Updates of the relevant parts of the SW Compendium are undergoing and will be reflected in revisions of this document.

## II. SW Implementation stages



1. **Early planning stages:** for instance, this may refer to the situation where a Member has already conducted a feasibility study, gap analyses of regulatory requirements, and/or business processes analyses; a national road map on SW system development may also have been drafted. This stage is eventually finalized by a legal act specifying the establishment of an entity/authority which will be the business owner of the Project.



2. **Early stages of implementation:** for instance, this may refer to the situation where the formal structures for the implementation of the Single Window are already established, and a Pilot Project was carried out and went live with one or more CBRAs and/or any other stakeholder.

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<sup>1</sup> The “Explanatory Note” was drafted by the Secretariat together with the ad hoc Virtual Working Group. It was aimed at providing guidance on the questions contained in the 2016 Single Window Questionnaire and the information presented on the RAMMAP-SWIM platform. A new survey was launched in May 2019 to update relevant information on regulatory services, business processes and other features included in Members’ Single Window environments and/or Automated Clearance Processing environments, as listed in the above-mentioned “Explanatory Note”.



3. **Advanced implementation:** for instance, this may refer to the situation where 60% of regulatory requirements for trading goods across borders are processed by the Single Window system.



4. **Implemented:** almost all regulatory requirements for almost all commodity codes are processed by the Single Window system.

### III. WCO Single Window Maturity Model

Under the WCO Framework for Achieving Excellence in Customs (AEC), the indicators developed should:

- 1) Provide a more objective assessment of the outcomes that Customs is striving towards;
- 2) Inform government, other border management agencies and the public of the scope of Customs' obligations; and
- 3) Assist Customs to justify expending and seeking resources.

The performance indicators are not meant to be used in a ranking exercise, but rather as an assessment tool to assist Customs administrations in determining their current state of development and as inputs for policy making. The maturity model as a performance measurement framework can serve as the second layer.

The maturity model not only looks at systems capability but also business capability to perform operations under a Single Window. This means that it is not enough to have systems that perform a function, it is also necessary for the organization and personnel to be mature enough so that users to use Single Window facility to provide the desired result.

The maturity level of paperless processes within a Customs administration has a direct relation with its interest in reaching out to other customs authorities for the cross-border flow of data. In other words, unless the maturity of interconnectivity and interoperability between customs and various border regulatory agencies, logistics operators and other stakeholders within a country reaches a threshold, the customs administrations may perhaps not embark upon the cross-border flow of data and digital handshake with other customs administrations in a bilateral or a multi-lateral arrangement.

The following tabulation can help Customs administrations assess their maturity levels by answering Y/N questions. The capability matrix is divided into three parts. The Core Customs capabilities of declaration processing (Part A) and cargo control capabilities (Part B) are vital

preconditions for any Single Window capability (Part C) to be expressed in implementation. The least sophisticated system will have a few Ys and the most sophisticated system will have most 'Y's. If there are no 'Y's in Part C, then it may not be able to call itself a Single Window?

**Single Window Maturity Model (Proposed to IMSC)**

<b>PART A</b>	<b>Declaration Processing Capability</b>			
	Core declaration processing	Y if automation covers a range of procedures accounting for over 90% of clearances by value and volume; else N	Y if the process of release does not require submission of hardcopy; N if process requires trade to also submit hardcopy of declarations; or process requires Customs to endorse printed declarations;	Y if the majority of declarations are filed using EDI data extracted from business systems; N if majority of declarations are filled-up in online forms;
<b>A1</b>	Import Declarations	Fill (Y/N)		
<b>A2</b>	Export Declarations			
<b>A3</b>	Transit Declarations			
<b>A4</b>	Data Review & Standardization	Y if the declaration data requirements were reviewed comprehensively in the past five years to ensure that unnecessary data and processing requirements are removed; else N	Y if data is standardized with respect to WCO Data Model and/or UN TDED; N if no standardization has been attempted	Y if standard electronic messages based on UN and/or WCO standards; N if electronic messages are based on proprietary standards

<b>A5</b>	Supporting Documents	Y if supporting document can be submitted online and linked to the respective declarations; else N	N if trade requires producing hardcopy for release purposes despite online submission supporting documents; Y if officer accesses all supporting documents online;	Y if Customs accepts native electronic documents, if such documents can be extracted from source systems; N if only digital images of supporting documents
<b>A6</b>	Periodic Review of documentation requirement	Y if the list of the required supporting documents were reviewed comprehensively in the past two years to ensure that unnecessary document requirement are discontinued; else N		
<b>A7</b>	Duties Taxes & Fees	Y if all duties, taxes, and fees are computed automatically; N if some taxes have to be computed manually;	Y if tax payment bills are handled electronically; N if printed records of payable and paid amounts need to be maintained;	Y if input data in declaration is sufficient to compute all duties, taxes and fees. N if some data that is relevant for computing duties taxes and fees is entered manually;

<b>A8</b>	Electronic Payments	Y if the majority of duties, taxes and fees are collected through e-payment; N if payments are to be deposited at bank or treasury counters	Y if no printouts are needed for making payments; N if printouts are necessary as proofs of payment.	Y if fees of other government agencies inspection fees, lab testing fees and quarantine and other facility charges are collected online. N if a majority of the fees are collected off-line;
<b>A9</b>	Refund and drawback claims	Y if refund and drawback claims are made electronically, without the need to submit hardcopy; N if such claims have to be made manually and with hardcopy documents;	Y if refund/duty drawback are not required to be claimed separately if claims can arise from declaration processing; N if separate filing of claims will be necessary in all cases;	Y if payment of refund/duty drawback are credited online to the bank accounts of the traders; N if traders have to collect cash or cheques;
<b>A10</b>	Bonds and Guarantees management	Y if traders can register securities and bank-backed guarantees online; N if the documentation has to be submitted online;	Y if bonds and guarantees ledgers are maintained online; N if such ledgers must be maintained in manual registers	Y if system provides for all-purpose bonds and securities; N if system requires one obligation guarantee for each type of requirement;
<b>A11</b>	Risk assessment & selectivity	Y if the system supports automatic selection of documentary or physical examination; N if manual selection prevails;	Y if system captures risk-based instructions; N if exam and other processes have to be handled manually;	Y if a large percentage of consignments have to be inspected and examined; N if most consignments routinely inspected/Examined;

Part B Cargo Control Capability				
<b>B1</b>	Customs receives and uses manifests to apply cargo control	Y if manifests are received electronically; N if manifests are received manually	Y if manifests/ cargo reports are received well in advance of the arrival of the means of transport; N if complete manifests are not received until after the arrival;	Y if manifests/ cargo reports are meant to cover admissibility risks; N if manifests/ cargo reports are required largely for inventory purposes;
<b>B2</b>	Transshipment in-bond movements	Y if cargo reports double-up as requests for transshipment; N if separate transshipment permits need to be filed;	Y if transshipment permits are handled electronically; N if transshipment approvals are processed manually	Y if electronic linkages exist between gateway ports and inland customs stations; N if no such links exists
<b>B3</b>	Cargo Control	Y if Single Window can convey electronically a release and hold to the carrier or terminal operator; N if release or hold has to be conveyed manually	Y if Single Window supports online reconciliation of cargo inventories; N if the process is carried out manually	Y if regulatory authorities can access the warehouse/ terminal operator systems to find out the cargo location in real time; N if the process is carried out manually;

Part C Single Window Capabilities				
<b>C1</b>	Compliance Requirements information	Y if trader can access all documentary and process compliance information on all products at a single point; N if a trader has to visit the websites of respective agencies to find out about compliance requirements for different products	Y if the process flow for clearing different types of commodities and for different Customs procedures is available at a single point; N if such information is available in the respective websites of different government agencies	Y if the required contact information and enquiry points in respect of different commodities and different clearance locations is available at single point; N if such information is available at different locations or not available at all
<b>C2</b>	Interconnectivity with other border regulatory agencies such as plant & animal quarantine agencies, food safety, drugs,	Y if the systems of other government agencies are connected or other government agencies are working on the same system; N if the other government agencies are working in systems that are not connected with the Customs System	Y if the system can make automated referrals to other agencies; N if system requires manual entries to refer consignments to other agencies in hardcopy;	Y if the other government agency systems share/re-use data provided to Customs; N if separate online declarations have to be filed;
<b>C3</b>				
<b>C2</b>	Integrated risk-assessment for all participating agencies	Y if all agencies have agreed to follow the principles of risk-based selectivity; N if some agencies insist on examining all consignments regardless of risk	Y if all agencies have established criteria for risk-based selectivity for referrals and testing; N if some agencies have no criteria developed;	Y if there is a common, integrated, automated risk assessment and selectivity; N if each agency maintains a separate system for risk assessment;

<b>C4</b>	Co-ordinated processing for inspection, release and clearance	Y if all agencies converge their release decisions to a single point; N if the trader has to collect separate release decisions from all concerned agencies;	Y if all agencies carry out the necessary document review online and in parallel; N if agencies carry out documentary checks sequentially.	Y if there is a co-ordinated inspection or delegated inspection so there is a single point inspection or examination of goods; N if each agency carries out its own separate inspections;
<b>C5</b>	Common systems access, account and helpdesk framework	Y if traders can access online services of all participating agencies with a single sign-on; N if a trader must maintain separate logins and user accounts with each participating agencies	Y if traders can maintain a common payment account in regard to payments and receivables across all participating agencies; N if a trader must maintain separate payment account for each agency	Y if traders receives transaction status (eg tracking, clearance and accounts) at a single point; N if a trader must login to the systems of individual agencies to ascertain their transaction status;
<b>C6</b>	Importer / Exporter/ Brokers/ Carriers Registration i.e Trader identification	Y if a common registration for all traders with all agencies is possible; N if it must be done separately for each agency;	Y if common registration for all Customs Brokers with all agencies is possible; N if it must be done separately for each agency;	Y if a common registration for all Carriers with all agencies is possible; N if it must be done separately for each agency;



<b>C7</b>	Common Registration of Carriers, Transport workers (Drivers, cargo handlers); means of transport;	Y if a common registration for all carriers with all agencies is possible; N if it must be done separately for each agency;	Y if a common registration for all Transport workers/ broker employees with all agencies is possible; N if it must be done separately for each agency;	Y if a common registration for all means of transport with all agencies is possible; N if it must be done separately for each agency;
<b>C8</b>	Certificates of Origin	Y if a trader can apply online for issue of a general/preferential certificate of origin; N if such applications have to be filed manually	Y if the issuing authority generally issues of preferential/ general certificates of origin electronically; N if such certificates are mostly issued manually	Y if the authority generally accepts of preferential/ general certificates of origin electronically; N if such certificates must be presented in hardcopy to regulatory agencies
<b>C9</b>	Sanitary / Phytosanitary Certificates & Permits	Y if a trader can apply for sanitary /phytosanitary certificate or permits online; N if such applications must be filed manually	Y if the issuing authority issues sanitary /phytosanitary certificate or permits electronically; N if such certificates are mostly issued manually	Y if the authority accepts sanitary /phytosanitary certificate or permits electronically; N if such certificates must be presented in hardcopy to regulatory agencies

<b>C10</b>	Product Licenses & Certificates	Y if a trader can apply for product certificates or licenses online; N if such applications must be filed manually	Y if the issuing authority issues product certificates or licenses electronically; N if such certificates are mostly issued manually	Y if the authority accepts product certificates or licenses electronically and maintains them electronically; N if such certificates/licenses must be presented in hardcopy to regulatory agencies