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# **ASW Cross-Border Business Process Analysis**

## *Interview Guide and Questionnaire*

### *(Government)*

Version No. 0.03

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ASEAN SINGLE WINDOW PILOT PROJECT

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NATHAN ASSOCIATES INC.

USAID/REGIONAL DEVELOPMENT MISSION FOR ASIA

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## Acronyms

ACDD	ASEAN Customs Declaration Document
ADVANCE	ASEAN Development Vision to Advance National Cooperation for Economic Integration
AMS	ASEAN Member State(s)
ASEAN	Association of Southeast Asian Nations
ASW	ASEAN Single Window
ASWSC	ASW Steering Committee
ATIGA	ASEAN Trade in Goods Agreement
COTS	Commercial Off-The Shelf
CSV	Comma Separated Values
ebMS	ebXML Messaging System
FTP	File Transfer Protocol
HTTPS	Hypertext Transfer Protocol Secure
IP-VPN	Internet Protocol Virtual Private Network
MIS	Management Information Systems
MPLS	Multiprotocol Label Switching
NSW	National Single Window(s)
PKI	Public Key Infrastructure
PQP	Project Quality Plan
RDS	Reference Data System
RFP	Request for Proposals
REST	Representational State Transfer
RS	Regional Services
SIT	System Integration Test
SLA	Service Level Agreement
SOA	Service-Oriented Architecture
SOAP	Simple Object Access Protocol
SSL	Secure Sockets Layer
TOR	<i>Terms of Reference for the Cross Border Business Process Analysis Activity</i>
TWG	ASW Technical Working Group
UAT	User Acceptance Testing
USAID	US Agency for International Development
XSD	XML Schema Definition

## 1. Introduction

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This document, the *ASW Cross Border Business Process Analysis Interview Guide and Questionnaire (Government) – the “Guide”* - is intended for Government representatives of each AMS who are responsible for coordinating input to the Project Team on the ASW Cross Border Business Process Analysis Activity.

It is requested that the Government representatives prepare for the interviews with the Project Team using this Guide, and if practical, to complete the accompanying questionnaire prior to the interviews.

This Guide includes:

- Context of the ASEAN Single Window and Objectives of the ASW Cross Border Business Process Analysis activity
- Preliminary list of Candidate Cross Border Business Processes
- Preparation requested to be done prior to the Interviews
- Preliminary draft diagrams and descriptions of “as-is” cross border business processes and potential future “to-be” processes utilizing the ASEAN Single Window – these are included as Appendix A
- Highlights of preliminary key information applicable to cross border business processes – this is included as Appendix B
- Questionnaire, as an accompanying Excel sheet, included as Appendix C – it would be much appreciated if this could be completed to the extent practical prior to the interviews. During the interviews, the Project Team will discuss and supplement the responses using this Questionnaire.

## 2. Context and Background

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Through the ASEAN Community Blueprint, adopted in 2007, the ASEAN leaders committed to transform ASEAN, by 2015, into a single market and production base, a highly competitive economic region, a region of equitable economic development, and a region fully integrated into the global economy. The free flow of goods is one of the principal means by which the aims of a single market and production base can be achieved - a single market for goods (and services) will also facilitate the development of production networks in the region and enhance ASEAN's capacity to serve as a global production center or as a part of the global supply chain. Apart from the removal of tariffs and non-tariff barriers, trade facilitation measures such as establishing the ASEAN Single Window and integrating and harmonizing customs procedures, are key to the free flow of goods. Accordingly, the Blueprint also committed to accelerate the realization of the ASEAN Customs Vision 2020, to 2015.

The ASEAN Single Window will play a critical role in facilitating the free flow of goods, and its implementation will promote the harmonization of standards and conformance procedures, including enhancing intra-ASEAN preferential Rules of Origin procedures. It can also help to facilitate the coordination and partnership amongst ASEAN Customs Administrations, the integration and transparency of customs procedures, and other concrete agenda items included in the ASEAN Customs Vision 2015. It aims to accelerate the release of cargoes, and to reduce trade transaction costs and time for the ASEAN Member States, and thus enhance trade efficiency and competitiveness. It will also facilitate ASEAN's participation in global and regional supply chains, key to the realization of the ASEAN Economic Community.

Functionally, the ASEAN Single Window is an integrated secured communication network environment, with no central server, and where ten National Single Windows of individual Member Countries operate and integrate based on standardized information exchange, procedures, formalities, and international best practices. The National Single Windows enable a single submission of data and information, a single and synchronous processing of data and information and a single decision making point for customs clearance of cargo. The NSW's also promote collaboration and partnership between the Customs Administration and other governmental agencies, economic agents and operators (e.g. importers, exporters, transport operators, express industries, customs brokers, freight forwarders, commercial banking entities and financial institutions, insurers).

In December 2005, with the ASW Agreement, ASEAN committed to the establishment of the ASEAN Single Window (ASW) to expedite customs procedures with participation of the ASEAN-6 by 2008, and with the newer Member States by 2012. This was followed in December 2006 by the signing of the ASW Protocol to enable effective implementation of the ASW. In July 2011, ASEAN Member States signed a Memorandum of Understanding on the Implementation of the ASEAN Single Window Pilot Project. Individual ASEAN Members States have or are in the process of implementing their respective National Single Windows.

ASEAN has agreed to develop a secure environment within the ASEAN Single Window Pilot Project to realize the ASEAN Single Window concept as defined in the ASW Agreement and Protocol.

### **3. Objective of the ASW Cross Border Business Process Analysis Activity**

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The objective of this study is to identify, prioritize, and analyze cross-border, cargo-related clearance, business processes and data required for information flow, which will be exchanged using the ASW architecture. This analysis will support both the process flow and data flow for pre-arrival clearance, and other business processes in the use of ASW's secured regional network.

In order to achieve these overarching objectives, supplementary goals of the study include to:

- a. Identify the holistic value the ASW Architecture may offer to the specific stakeholders for specific cross border business processes. The stakeholders in cross border trade may include, for example, sectors of the relevant trading communities, specific government agencies involved in cross border trade, and government policy agencies which have an objective to facilitate trade.
- b. Identify the readiness and plans of the trading community and government agencies to "integrate" their cross border business processes with the ASW-NSW Framework so as to exchange the related information electronically.
- c. Recommend the priority (or sequence) and timing for implementation of specific "electronic" cross border processes with supporting reasons.
- d. Document the identified cross border business processes
- e. To suggest an approach to facilitate the "electronic" implementation of the identified cross border processes

Constraints and remarks related to these goals include:

- i. The holistic value in (a) above will be a qualitative assessment only.
- ii. The assessment of the readiness and plans of the trading community and government agencies in (b) above will be based on information already readily accessible in the public domain, or is able to be quickly provided by relevant government agencies of each AMS. The quality of the assessment will be directly related to the quality of the information available.

The final deliverable of the project will be a report "*Recommendation on ASW Implementation Priorities for Cross Border e-Business Processes*" which will rely heavily on the results of the interviews and responses to the questionnaires.

#### 4. Initial Candidate ASW Cross Border Business Processes

An initial list of candidate ASW cross border related business processes and associated documents that may be facilitated with the ASW architecture is included in the table below. An overview context diagram of the vision of the trading process incorporating the ASW is included in Section 4.1 with a diagram of the exchange of economic operator status included in Section 4.2.

More detailed understanding (flow diagrams, flow descriptions) of how these processes are currently executed (the “As-Is” processes) is attached in Appendix B together with suggestions on the proposed processes utilizing the ASW architecture (the “To-Be” processes). Please note that it is expected that:

- there may be changes to this list of cross border business processes as the project progresses
- consideration will be given to the possible contribution of the proposed ASW cross border processes to the achievement of supplementary policy objectives related to such areas as trade and supply chain security, public health and safety, and control and prevention of pests and diseases, and smuggling prevention, including protection of IPR.

	Business Process Document	Export Side		Import Side	
		Commercial Parties	Government Parties	Commercial Parties	Government Parties
<b>Cargo Clearance</b>					
1	House and Master Freight booking confirmation (before loading)	Port; Forwarder Carrier (Agent)		Port; Forwarder Carrier (Agent)	Customs (Potentially)
2	Freight loading confirmation (after loading)	Port; Carrier (Agent)	Port Authority	Port; Carrier (Agent)	Customs (Potentially)
3	Transport Document (e.g. House/Master Bill of Lading or House / Master Air Waybill)	Cargo Owner (Exporter); Forwarder Carrier (Agent)		Cargo Owner (Exporter); Forwarder Carrier (Agent)	

	Business Process Document	Export Side		Import Side	
		Commercial Parties	Government Parties	Commercial Parties	Government Parties
4	House / Master Cargo Manifest	Forwarder Carrier (Agent)	Customs	Forwarder Carrier (Agent)	Customs (Clearance)
5	Commercial Invoice and Packing List	Cargo Owner (Exporter)	Customs (On Request)	Cargo Owner (Exporter)	Customs (On Request)
6	ASEAN Customs Declaration Document (ACDD) (already in ASW Pilot)	Exporter	Customs (Clearance)	Importer	Customs (Intelligence and Risk Management)
<b>Import when Certificates of Origins are required</b>					
1	ATIGA Form D (already part of ASW Pilot)	Exporter; Manufacturer	Certificate Issuing Agency (e.g. Foreign Trade)	Importer	Customs (Duty Calculation)
2	ATIGA Form D Utilization Report (part of ASW Pilot)		Certificate Issuing Agency (e.g. Foreign Trade)		Customs
3	Self-Certified Invoice (certifying origin)	Authorized Exporter	Customs	Importer	Customs (Duty Calculation)
4	Certificate of Origin (Non-preferential)	Exporter; Manufacturer	Certificate Issuing Agency (e.g. Foreign Trade)		
<b>Import when Food, Health and Phytosanitary Certificates are required</b>					

	Business Process Document	Export Side		Import Side	
		Commercial Parties	Government Parties	Commercial Parties	Government Parties
1	Phytosanitary Certificate	Exporter	Health Department; Customs	Importer	Health Department; Customs
2	Health Certificate	Exporter	Health Department; Customs	Importer	Health Department; Customs
3	Halal Certificate	Exporter	Halal Control Agency; Customs	Importer	Halal Control Agency; Customs
Transit (ACTS) – Outside Scope of Survey / Questionnaire					
1	ASEAN Customs Declaration Document (ACDD) (Transit sub-set)	Exporter; Carrier (Agent)	Customs (Border Control)	Importer; Carrier (Agent)	Customs (Border Control)
2	Cargo Guarantee and Insurance	Exporter (Cargo Owner); Financial Institutions; Insurance Companies	Customs (Border Control)	Importer (Cargo Owner)	Customs (Border Control)
Settlement of Goods Payment					
1	Notification of Letter of Credit Negotiation	Exporter, Bank		Importer, Bank	
2	Purchase Order	Exporter		Importer	

	Business Process Document	Export Side		Import Side	
		Commercial Parties	Government Parties	Commercial Parties	Government Parties
3	Insurance Certificate	Exporter, Insurance Company		Importer, Bank	
4	Inspection Certificate	Exporter, Inspection Agency		Importer, Bank	
5	Commercial Invoice / Packing List	Export		Importer, Bank	
6	Transport Proof of Delivery (e.g. Bill of Lading, Waybill)	Carrier, Agent, Forwarder		Carrier, Agent, Forwarder, Bank	
ASEAN Economic Operator Identification and Status Exchange					
1	General Trade Party Identification, Licensed or Authorized Role and Status (e.g. AEO Identity and Status)	Economic Operator (Trading Party) - Export	Government Agencies	Economic Operator (Trading Party) - Import	Government Agencies

## 4.1 Trading Process Overview Incorporating the ASW

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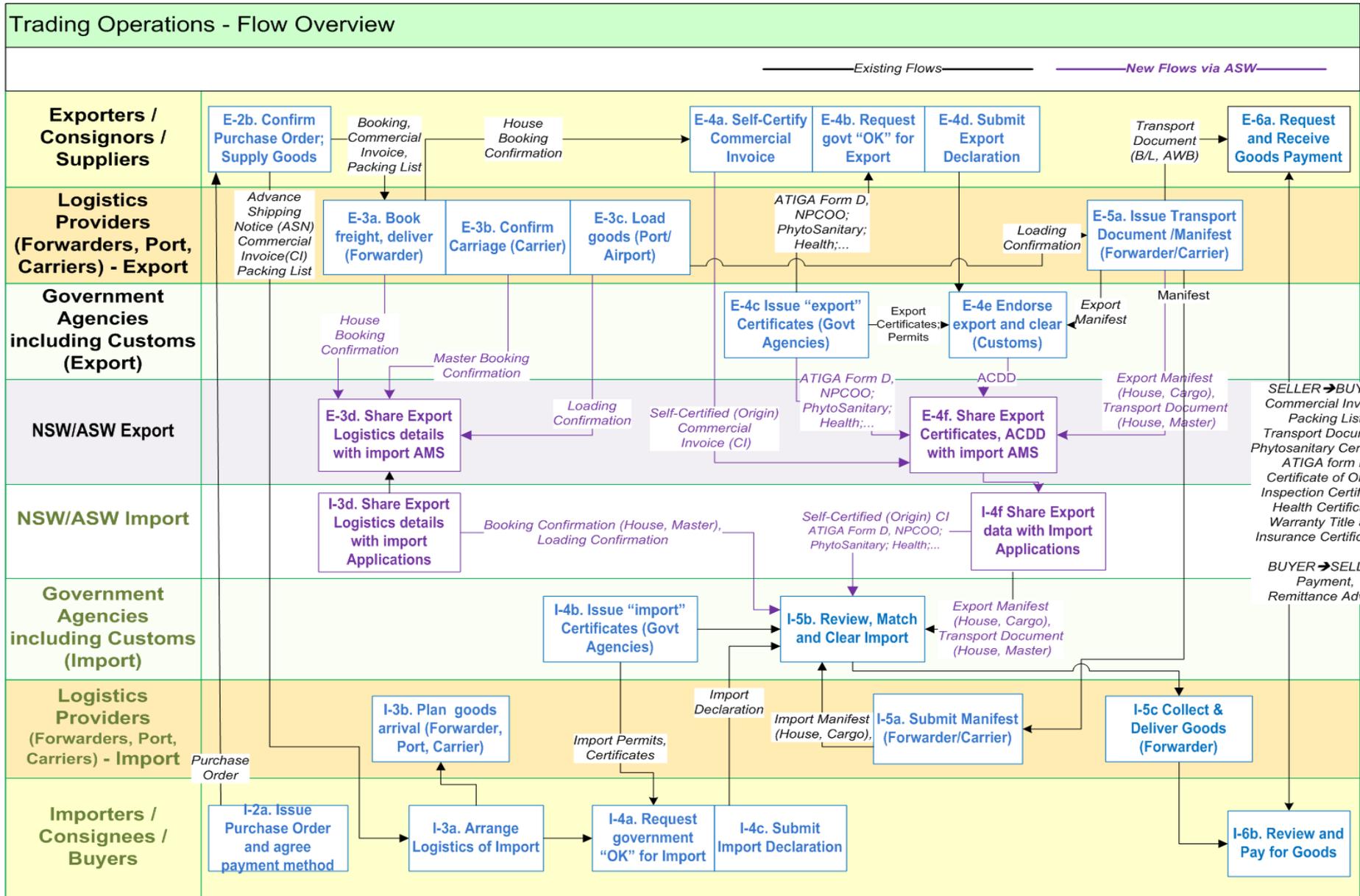
The following context diagram aims to help envisage the role of the ASW in the overall trading process, so as to better prepare for and answer the questionnaire.

The conventions used are:

- i. Blue Box: existing process
- ii. Purple Box: ASW exchange process
- iii. Black line: existing data flow
- iv. Purple line and text: data flow via ASW
- v. Process Number: “E” prefix = export; “I” prefix = import

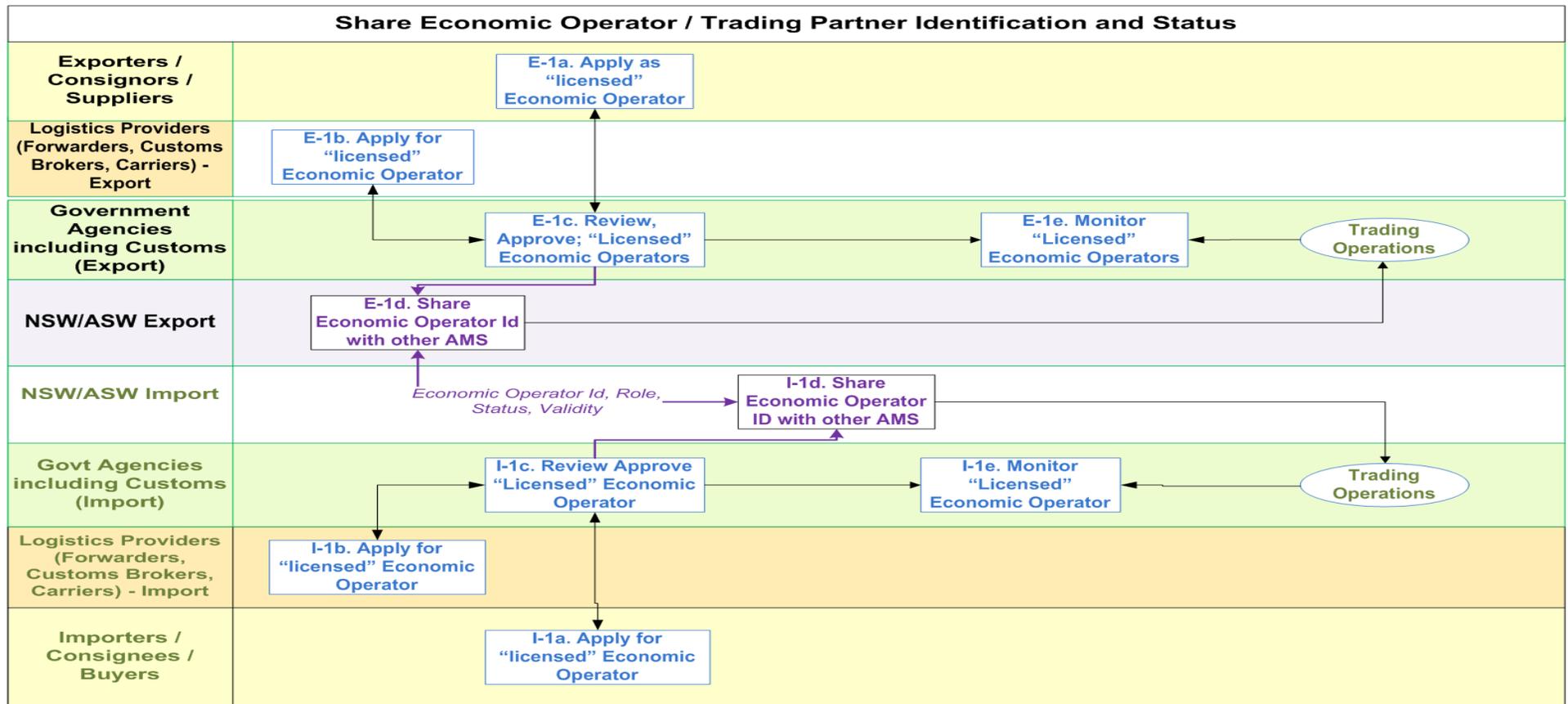
Simplistically, and noting that many steps are omitted, with the *focus on the cross border exchange via highlighted in purple*, the process covers:

- a. Buyer places the purchase order with the Seller and the Seller prepares supply of goods (Process I-2a, E-2a)
- b. The logistics of the delivery, initiated by the Seller, are arranged and executed by the forwarder, carrier and the port. *Key output is the House Booking Confirmation (from the forwarder), the Master Booking Confirmation (Carrier), and the Loading Confirmation (the Port) which may be sent to the importing AMS for improved pre-arrival clearance and risk management (Process E-3a,E-3b,E-3c, E-3d, I-3d)*
- c. In parallel to this, the Seller requests approval for the export from the required government agencies and submits the export declaration to Customs. *The export permits and certificates that are required to facilitate the import process (e.g. Self-certified (Origin) Commercial Invoice, Non-Preferential Certificate of Origin (NPCOO), Phytosanitary Certificates, Health Certificates, Halal Certificates, ASEAN Customs Declaration-ACDD, etc) may be also sent to the importing AMS for facilitating pre-arrival clearance and improved assurance on validity of these documents.* (Process E-4a, E-4b, E-4c, E-4d, E-4e, E-4f, I-4f)
- d. Before or after the goods are loaded, the forwarder and carrier will issue the Transport Document (e.g. House / Master Bill of Lading, House / Master Air WayBill, etc) and may be required to submit the house and master manifest to the export Customs. The transport document and the manifest will also be made available to the logistics providers on the import side through their own channels. *The export manifest and transport document may also be shared with the importing AMS via the ASW for pre-arrival clearance and improved risk management* (Process E-5a)
- e. When the goods are nearly ready for delivery, the buyer and his logistics provider may begin planning for the import and delivery (Process I-3a, I-3b).
- f. The buyer will also request approval for the import from the relevant government agencies and submit the import declaration to Customs. *Note that, although not shown in this diagram, the import government agencies will have access to the authorized role and status of the “export” Economic Operators to facilitate import approval* (Process I-4a, I-4B, I-4c)
- g. Import Customs, with the existing import certificates and manifests and (new) access to the *authorized role and status of the “export” Economic Operators, export certificates and permits, export logistics details, and the export manifest and transport documents via the ASW* can clear goods faster and with more assurance due to improved risk management. (Process I-5a, I-5b, I-5c)
- h. The buyer settles the payment with the seller using the chosen payment method (Process E-6a, I-6b)



## 4.2 Sharing Economic Operator Identification and Status using the ASW

The following diagram aims to help envisage the role of the ASW in the sharing of economic operator identification, name, authorized role(s), status and validity, so as to better prepare for and answer the questionnaire. Examples of authorized roles include “Importer”, “Priority Lane / Green Lane operator”, “Halal Food Producer”, “Authorized Economic Operator”, “Customs Broker”, etc. The conventions used are the same as in the preceding section.



## 5 Interview Preparation for Cross Border Business Processes

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The Project Team would much appreciate your support in prior preparation for the remote or on-site interviews by reviewing and compiling the necessary requested information / answers specified in Appendix A, and also if possible also actually completing the Questionnaire in Appendix A, where this is practical. Please note that the Project Team intends to hold either on-site or remote discussions and that the responses to the questionnaire will most likely be completed jointly during the discussion sessions.

In preparation for completing the responses, would you please note:

- a. It would be much appreciated if stakeholders qualified and proficient in each specific process specified in section 4 review the questionnaires and material (Appendix A, B, C) and prepare the responses for each relevant process.
- b. The detailed questions and information requested is specified in Appendix A – this is an Excel spreadsheet with a separate sheet as follows:
  - i. *“Trading Sector – Government”*

This asks about

- economic operator identification conventions in each AMS,
- trading community size,
- legal and privacy constraints about sharing economic operator identification and status with other AMS,
- assessment of two options for an ASEAN wide economic operator identification code

- ii. *“Import – Government”*

For each of the processes / documents under consideration, it asks about:

- responsible government agency
- comments on as-is and to-be-process
- regulations in force related to document submission and timing, as well as regulations related to electronic submission and constraints if any related to sharing with other AMS
- annual volume and % electronic
- sample documents – paper and electronic
- IT readiness for electronic exchange
- Current issues, if any with the process
- Potential benefits if electronic and shared via ASW

- iii. *“Export – Government”*

For each of the processes / documents under consideration, it asks about:

- responsible government agency
- comments on as-is and to-be-process

- regulations in force related to document submission and timing, as well as regulations related to electronic submission and constraints, if any, related to sharing with other AMS
- annual volume and % electronic
- sample documents – paper and electronic
- IT readiness for electronic exchange
- Current issues, if any with the process
- Potential benefits if electronic and shared via ASW

iv. *Share Logistics Info – Gov*

This covers the export forwarders and carriers submitting House and Master Booking Confirmations, Loading Confirmations, and Transport Documents to the export AMS for sharing with the import AMS. It asks about:

- Whether regulations are in place or could be put in place to mandate this submission
- Readiness of Government IT systems to process these documents
- Benefits if these documents were to be available to the export and import government agencies electronically?

c. The draft description and diagrams of the “as-is” and “to-be” processes are specified in Appendix B in an Excel File. This includes:

<b>Category</b>	<b>As-Is Process (Excel sheet name)</b>	<b>To-Be Process (Excel sheet name)</b>
Economic Operator Identification	00-Economic Operator-As-Is	00-Economic Operator-To-Be
Purchase Order and Settlement (Letter of Credit)	01-PO and LC Process AS-IS	01-PO and LC Process TO-BE
Purchase Order and Settlement (Open Account)	02-Open Account AS-IS	02-Open Account TO-BE
Supply	04-Com Inv & Packing List As-Is	04-Com Inv & Packing List to-Be
Certification of Origin (Non-Preferential)	05-NPCO AS-IS	05-NPCO To-Be
Certification of Origin (Self-Certification of Invoice)	06-Self-Certificate AS_IS	06-Self-Certificate TO_Be
Phyto-sanitary Certificate	07-Phyto -AS_IS	07-Phyto TO-BE
Halal Certificate	08-Halal-AS_IS	08-Halal TO-BE
Summary of ocean logistics	09-Summary Ocean	09-Summary Ocean

	Logistics-AsIs	Logistics-ToBe
Ocean Freight Booking	09-Ocean Freight Booking As-Is	09-Ocean Freight Booking To-Be
Ocean Freight Loading	10-Movement of Container As-Is 11-Ocean Freight Loading As-Is	11-Ocean Freight LoadingTo-Be
Ocean Transport Document	12-Ocean Bill Of Lading As-Is	12-Ocean Bill Of Lading To-Be
Ocean Manifest	13-Ocean Cargo Manifest As-Is	13-Ocean Cargo Manifest To-Be
Air Freight Booking	15-Air Booking-As-Is	15-Air Booking-To-Be
Air Freight Loading	16-Goods to Air Terminal 16-Air Loading As-Is	16-Air Loading To-Be
Air Waybill	17-Air Waybill - As-Is	17-Air Waybill-To-Be
Air Manifest	18-Air Manifest As-Is	18-Air Manifest To-Be

d. The highlights of the key information required for cross border exchange is in Appendix C

e. For each potential cross border process document, the following is requested which may take time to prepare - so we ask that this be initiated as soon as possible:

- sample completed paper documents,
- the specification of the structure of all electronic documents used for each process
- sample electronic documents for all electronic documents in the process

Following the dispatch of the questionnaires and preliminary cross border business process descriptions, the Project Team will follow-up (remotely or on-site) with the potential respondents to review and revise the preliminary “as-is” and suggested “to-be” cross border business processes, and to assist with the completion of the questionnaire. It is critical for the success of the project that:

- Representatives are available who understand the relevant cross border processes in depth and are able to devote the necessary time to respond to the questionnaire and be a part of the interview and review process
- We would like to organize on-site or remote sessions where the relevant and qualified parties are present, so we can discuss the required information and responses

## Appendix A Questionnaire

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81-Appendix A-  
Government Questior

## Appendix B DRAFT “AS-IS” and “TO-BE” ASW Cross Border Business Processes

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82-Appendix B Cross  
Border Process Descri

## Appendix C Preliminary Key Information for Cross Border Business Processes

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83-Appendix C -  
Trade Information S

