

## 2021 UN Global Survey on Digital and Sustainable Trade Facilitation

### METHODOLOGY

#### Scope

The 2021 Survey includes 58 trade facilitation measures, which are grouped into 4 groups and 11 sub-groups, namely:

#### A. General trade facilitation

1. Transparency
2. Formalities
3. Institutional Arrangement and Cooperation
4. Transit Facilitation

#### B. Digital trade facilitation

5. Paperless Trade
6. Cross-Border Paperless Trade

#### C. Sustainable trade facilitation

7. Trade Facilitation for SMEs
8. Agricultural Trade Facilitation
9. Women in Trade Facilitation

#### D. Other trade facilitation

10. Trade Finance Facilitation
11. Trade Facilitation in Times of Crisis

Full list of questions under each group and sub-group is listed in the below table:

Groups	Sub-groups	Measures	Relevant TFA Articles
<b>General Trade Facilitation</b>	<b>Transparency (5 measures)</b>	Publication of existing import-export regulations on the Internet	1.2
		Stakeholders' consultation on new draft regulations (prior to their finalization)	2.2
		Advance publication/notification of new trade-related regulations before their implementation (e.g., 30 days prior)	2.1
		Advance ruling on tariff classification and origin of imported goods	3
		Independent appeal mechanism (for traders to appeal customs rulings and the rulings of other relevant trade control agencies)	4
		Risk management (as a basis for deciding whether a shipment will be physically inspected or not)	7.4

Groups	Sub-groups	Measures	Relevant TFA Articles
	<b>Formalities</b> (8 measures)	Pre-arrival processing	7.1
		Post-clearance audits	7.5
		Separation of release from final determination of customs duties, taxes, fees and charges	7.3
		Establishment and publication of average release times	7.6
		Trade facilitation measures for authorized operators	7.7
		Expedited shipments	7.8
		Acceptance of copies of original supporting documents required for import, export or transit formalities	10.2.1
		<b>Institutional arrangement and cooperation</b> (5 measures)	Establishment of a National Trade Facilitation Committee or similar body
	National legislative framework and/or institutional arrangements for border agencies cooperation		8
	Government agencies delegating border controls to Customs authorities		
	Alignment of working days and hours with neighbouring countries at border crossings		8.2(a)
	Alignment of formalities and procedures with neighbouring countries at border crossings		8.2(b)
	<b>Transit facilitation</b> (4 measures)	Transit facilitation agreement(s) with neighbouring country(ies)	
		Customs authorities limit the physical inspections of transit goods and use risk assessment	10.5
		Supporting pre-arrival processing for transit facilitation	11.9
		Cooperation between agencies of countries involved in transit	11.16
	<b>Digital Trade Facilitation</b>	<b>Paperless trade</b> (10 measures)	Automated Customs System (e.g., ASYCUDA)
Internet connection available to Customs and other trade control agencies at border-crossings			
Electronic Single Window System			10.4
Electronic submission of Customs declarations			
Electronic application and issuance of import and export permits			
Electronic submission of Sea Cargo Manifests			
Electronic submission of Air Cargo Manifests			
Electronic application and issuance of Preferential Certificate of Origin			
E-Payment of Customs duties and fees			7.2
Electronic application for Customs refunds			
<b>Cross-border paperless trade</b> (6 measures)		Laws and regulations for electronic transactions are in place (e.g., e-commerce law, e-transaction law)	
		Recognized certification authority issuing digital certificates to traders to conduct electronic transactions	
		Electronic exchange of Customs declaration	
		Electronic exchange of Certificate of Origin	
		Electronic exchange of Sanitary and Phyto-Sanitary Certificate	

Groups	Sub-groups	Measures	Relevant TFA Articles
		Paperless collection of payment from a documentary letter of credit	
Sustainable Trade Facilitation	Trade facilitation for SMEs (5 measures)	Trade-related information measures for SMEs	
		SMEs in AEO scheme (i.e., a Government has developed specific measures that enable SMEs to more easily benefit from the AEO scheme)	
		SMEs access Single Window (i.e., a Government has taken action to make Single Window more easily accessible to SMEs (e.g., by providing technical consultation and training services to SMEs on registering and using the facility)	
		SMEs in National Trade Facilitation Committee (i.e., a Government has taken action to ensure that SMEs are well-represented and made key members of National Trade Facilitation Committees (NTFCs))	
		Other special measures for SMEs	
	Agricultural trade facilitation (4 measures)	Testing and laboratory facilities available to meet SPS of main trading partners	
		National standards and accreditation bodies established to facilitate compliance with SPS	
		Electronic application and issuance of SPS certificates	
		Special treatment for perishable goods at border-crossings	7.9
	Women in trade facilitation (3 measures)	Trade facilitation policy/strategy to increase women's participation in trade	
		Trade facilitation measures to benefit women involved in trade	
		Women's membership in the National Trade Facilitation Committee or similar bodies	
	Other Trade Facilitation	Trade finance facilitation (3 measures)	Single Window facilitates traders access to finance
Authorities engaged in blockchain-based supply chain project covering trade finance			
Variety of trade finance services available			
Trade facilitation in times of crisis (5 measures)		Agency in place to manage trade facilitation in times of crises and emergencies	
		Online publication of emergency trade facilitation measures	
		Coordination between countries on emergency trade facilitation measures	
		Additional trade facilitation measures to facilitate trade in times of emergencies	
		Plan in place to facilitate trade during future crises	

## **Data collection and validation: a three-step approach**

Step 1. Data submission by experts: The survey instrument was sent by the UNRCs to trade facilitation experts (in governments, the private sector and academia) to gather preliminary information. The questionnaire was also made publicly available online. In some cases, the questionnaire was also sent to relevant national trade facilitation authorities or agencies and regional trade facilitation partners or organizations.

Step 2. Data verification by the UNRCs Secretariat: The UNRCs cross-checked the data collected in Step 1. Desk research and data sharing among UNRCs and survey partners were carried out to further check the accuracy of data. Face-to-face or telephone interviews with key informants were arranged to gather additional information when needed. The outcome of Step 2 was a consistent set of responses per country.

Step 3. Data validation by national governments: The UNRCs sent the completed questionnaire to each national government to ensure that the country had the opportunity to review the dataset and provide any additional information. The feedback from national governments was incorporated in order to finalize the dataset.

## **Implementation rates**

For each measure, implementation level is recorded as:

- 3 Fully implemented
- 2 Partially implemented
- 1 Pilot Stage of Implementation
- 0 Not implemented
- NA Not Applicable
- DK Don't Know

Each implementation of a measure is calculated against its full score (3). So, for example, in the case of electronic single window system that is partially implemented, the evaluation is  $2/3 = 0.6667$  or 66.67%. Then, the average score for the set of measures is expressed in percentage term.

For each indicator, a set of relevant measures are calculated. However, it is worth noting that, to ensure comparability of implementation levels across countries, two of the measures classified under Institutional arrangement and cooperation (questions no. 33, 34), and one measure under Paperless trade (question no. 20) are excluded from the regional/global analysis.