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Joint United Nations Regional Commissions  
Trade Facilitation and Paperless Trade  
Implementation Survey 2015

*Sub-Regional Notes –  
East and North-East Asia<sup>1</sup>*

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Prepared by



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### Disclaimers:

**This note is a complement to the more elaborate Regional (Asia-Pacific) Report. It should best be read in conjunction with it, as well as the associated Country Notes, which can be found at: <http://unnex.unescap.org/UNTFSurvey2015.asp>**

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## 1. Introduction

It is well understood that reducing trade costs is essential in enabling economies to effectively participate in regional and global value chains and continue to use trade as a main engine of growth and sustainable development. Recent studies suggest that much of the trade cost reductions achieved over the past decade have been through elimination or lowering of tariffs.<sup>2</sup> Further trade cost reduction therefore, will have to come from tackling non-tariff sources of trade costs, such as inefficient transport and logistics infrastructure and services, but also cumbersome regulatory procedures and documentation. Indeed, trade facilitation – the simplification and harmonization of import, export and transit procedures –, including paperless trade – the use and exchange of electronic data and documents to support the trade transaction process –, has taken increasing importance, as evidenced by the successful conclusion of the negotiations on a WTO Trade Facilitation Agreement in December 2013, and the progress made at ESCAP on developing a complementary regional arrangement for the facilitation of cross-border paperless trade since 2012.

This note is part of a new global effort by all United Nations Regional Commissions (UNRCs), in cooperation with other interested international organizations<sup>3</sup>, to provide reliable and sufficiently detailed data on the implementation of trade facilitation in general - and single window and paperless trade in particular at the global level. It features the results of the 2015 UNRCs Joint Survey on Trade Facilitation and Paperless Trade implementation for the East and North-East Asian (ENEA) sub-region, covering China, Japan, Mongolia, and Republic of Korea. **This note is a complement to the more elaborate Regional (Asia-Pacific) Report. It should best be read in conjunction with it, as well as the associated Country Notes.**<sup>4</sup>

The survey was prepared taking into account the final list of provisions included in the WTO Trade Facilitation Agreement (TFA) as well as the content of the draft text of the regional UN treaty on cross-border paperless trade facilitation under negotiation at ESCAP. It covers 38 trade facilitation measures divided into four groups, namely, *General trade facilitation measures*, *Paperless trade*, *Cross-border paperless trade* and *Transit facilitation*.<sup>5</sup> The *General trade facilitation measures* – as well as *Transit facilitation* measures – are essentially measures featured in the WTO TFA. In contrast, most paperless trade and, in particular, cross-border paperless trade measures, are not specifically featured in the WTO TFA, although their implementation in many cases would support the better implementation of many of the *General trade facilitation measures*. Survey results for the East and North-East Asian sub-region are presented below.

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<sup>2</sup> For example, see ESCAP (2011), Asia-Pacific Trade and Investment Report 2011, United Nations.

<sup>3</sup> The survey has been conducted in close collaboration with OECD, ITC and UNCTAD, as well as several sub-regional organizations, such as SELA in Latin America, and OCO in the South Pacific.

<sup>4</sup> More information is available in the regional, other sub-regional and national reports at:

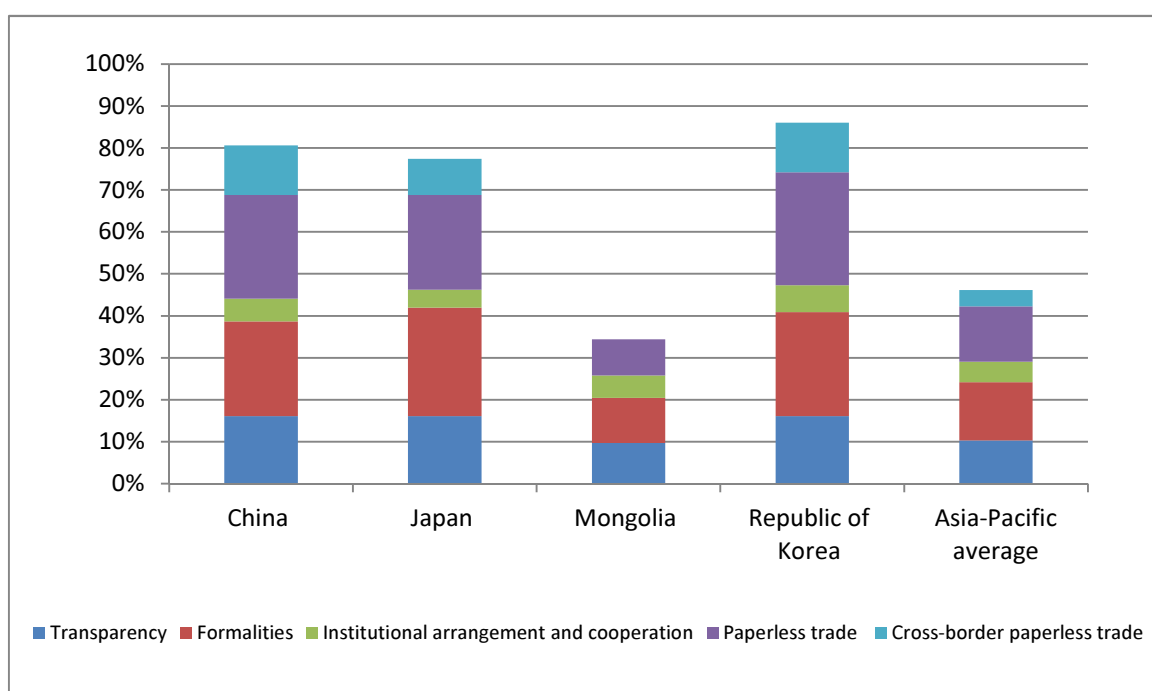
<http://unnex.unescap.org/UNTFSurvey2015.asp>

<sup>5</sup> The survey questionnaire is available in full at: <http://unnex.unescap.org/tfforum14-survey.asp>

## 2. Trade facilitation implementation in East and North-East Asia: Overview

Figure 1 shows the overall implementation levels of four (4) East and North-East Asian countries based on a common set of 31 trade facilitation and paperless trade measures included in the survey<sup>6</sup>. The sub-regional average implementation of this comprehensive set of trade facilitation measures stands at 69.6%, exceeding the regional average (46.5%). China, Japan and Republic of Korea notably have implementation scores higher than 75%.

**Figure 1: Overall implementation of trade facilitation measures in East and North-East Asian countries**

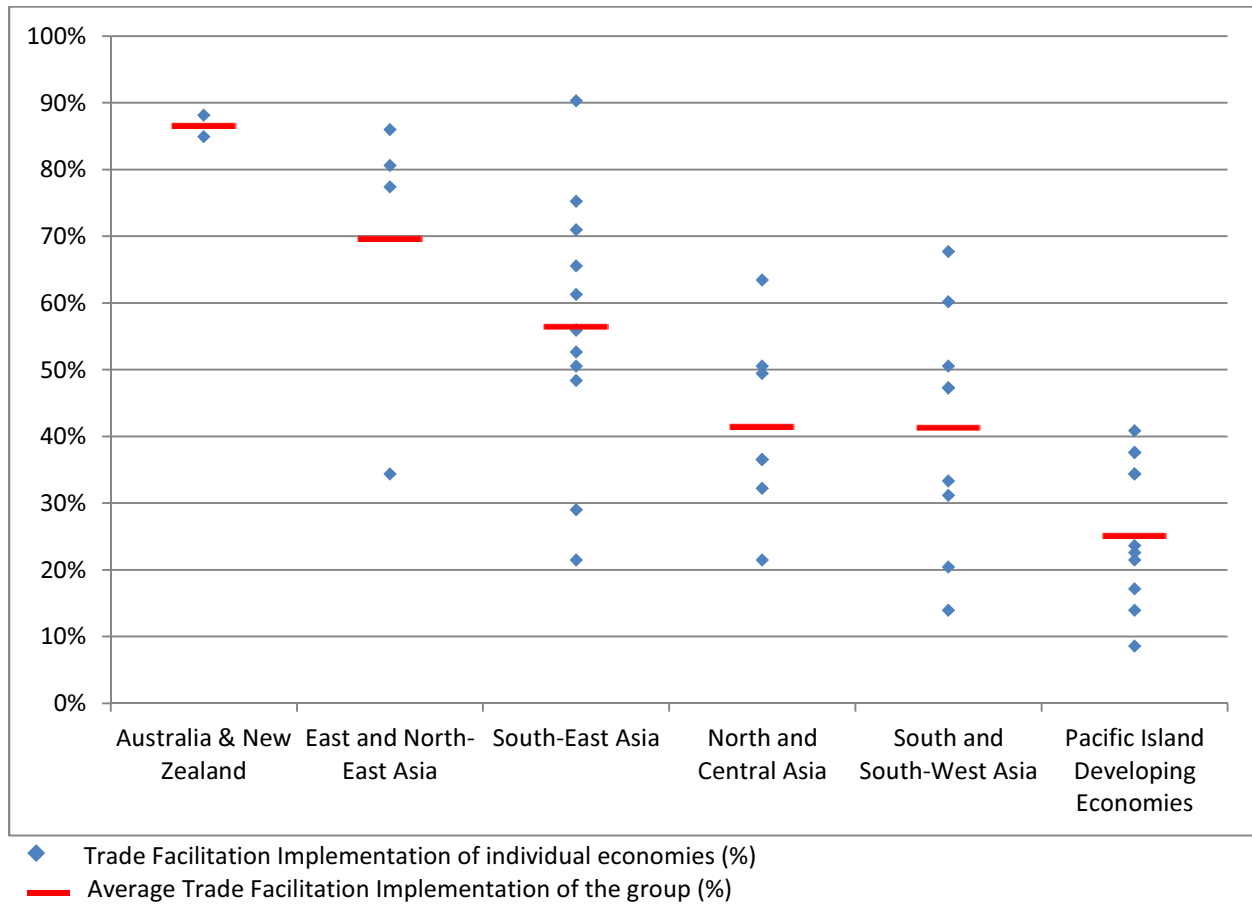


Source: ESCAP, UNRCs TF Survey 2015

Figure 2 presents an overview of the implementation of trade facilitation measures (measured by percentage) in the different Asia-Pacific sub-regions as well as the average level of implementation of countries within each group. ENEA has the second highest average level of implementation (69.6%) after Australia and New-Zealand.

<sup>6</sup> Among 38 trade facilitation measures surveyed, three measures including 20. *Electronic Submission of Sea Cargo Manifests*, 33. *Alignment of working days and hours with neighbouring countries at border crossings*, and 34. *Alignment of formalities and procedures with neighbouring countries at border crossings* are excluded for calculating the overall score as they are not relevant to all countries surveyed. Similarly, four transit facilitation measures are also excluded. The overall score of each country is simply a summation of the scores of implementation (3,2,1 or 0) it receives for each trade facilitation measure. The maximum possible (full) score of a country is 93 and the average score across all 44 countries is 43.3 (or 46.5% in percentage term).

Figure 2: Trade facilitation implementation in Asia-Pacific sub-regions

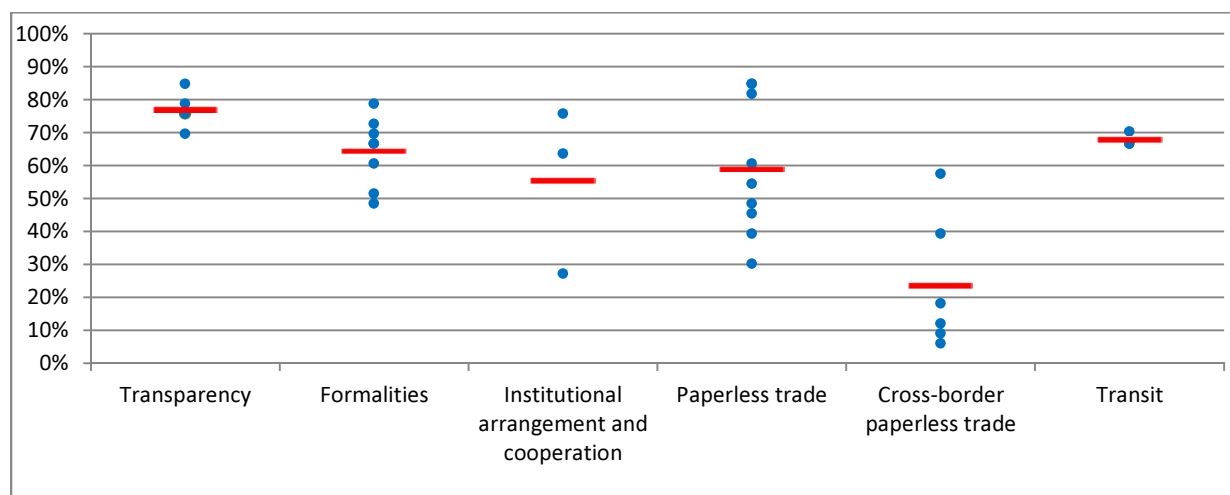


Source: ESCAP, UNRCs TF Survey 2015

## 2.1 Most and least implemented trade facilitation measures

In East and North-East Asia, most trade facilitation measures including *Transparency*, *Formalities*, *Institutional arrangement and cooperation*, *Paperless trade*, and *Transit* are all relatively well implemented except for *Cross-border paperless trade*, which lags behind the rest. Specific measures under each category are discussed in Table 2.

**Figure 3: Implementation of different groups of trade facilitation measures: East and North-East Asian average**



Notes: Blue dots show regional average implementation level of individual measures within each group.

— Average sub-regional implementation level by groups of measures.

Source: ESCAP, UNRCs TF Survey 2015

**Table 1: Most and least implemented measures in East and North-East Asia (within each group of trade facilitation measures)**

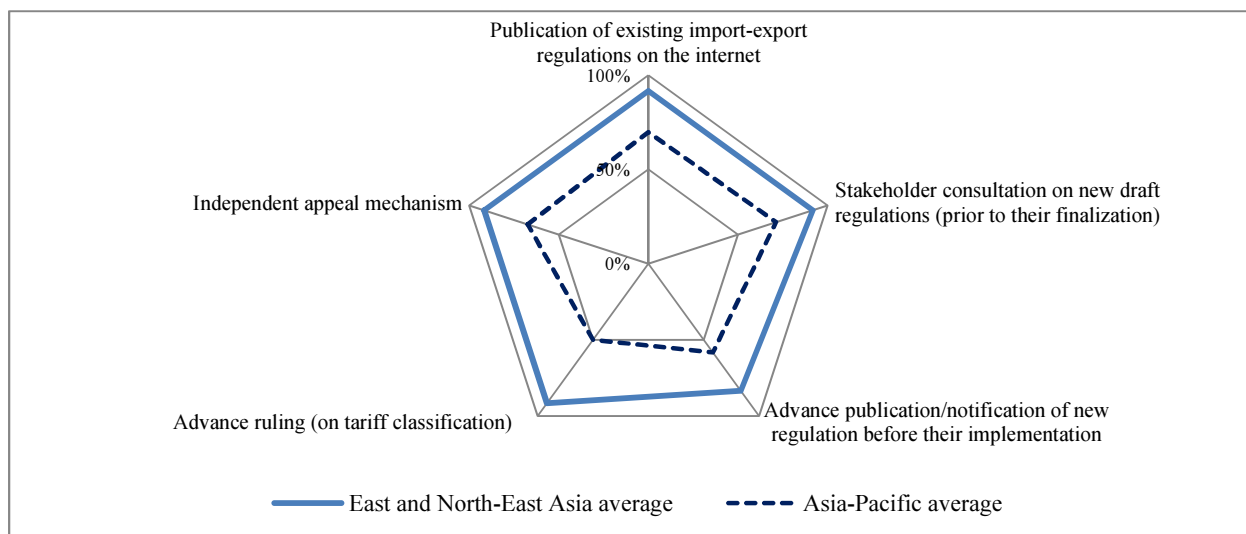
	Most implemented	Least implemented
<b>Transparency</b>	<ol style="list-style-type: none"> <li>1. Publication of existing import-export regulations on the internet</li> <li>2. Stakeholder consultation on new draft regulations (prior to their finalization)</li> <li>3. Advance ruling (on tariff classification)</li> <li>4. Independent appeal mechanism</li> </ol>	Advance publication/notification of new regulation before their implementation
<b>Formalities</b>	<ol style="list-style-type: none"> <li>1. Risk management</li> <li>2. Pre-arrival processing</li> <li>3. Post-clearance audit</li> </ol>	Acceptance of paper or electronic copies of supporting documents required for import, export or transit
<b>Institutional arrangement and cooperation</b>	<ol style="list-style-type: none"> <li>1. National Trade Facilitation Committee</li> <li>2. Cooperation between agencies on the ground at the national level</li> </ol>	Government agencies delegating controls to Customs authorities
<b>Paperless trade</b>	Internet connection available to Customs and other trade control agencies at border-crossings	<ol style="list-style-type: none"> <li>1. Electronic Application and Issuance of Preferential Certificate of Origin</li> <li>2. Electronic Application for Customs Refunds</li> </ol>
<b>Cross-border paperless trade</b>	Recognised certification authority	<ol style="list-style-type: none"> <li>1. Electronic exchange of Sanitary &amp; Phyto-Sanitary Certificate</li> <li>2. Banks and insurers retrieving letters of credit electronically</li> </ol>

### 3. Implementation of trade facilitation measures: A closer look

#### 3.1 “Transparency” measures

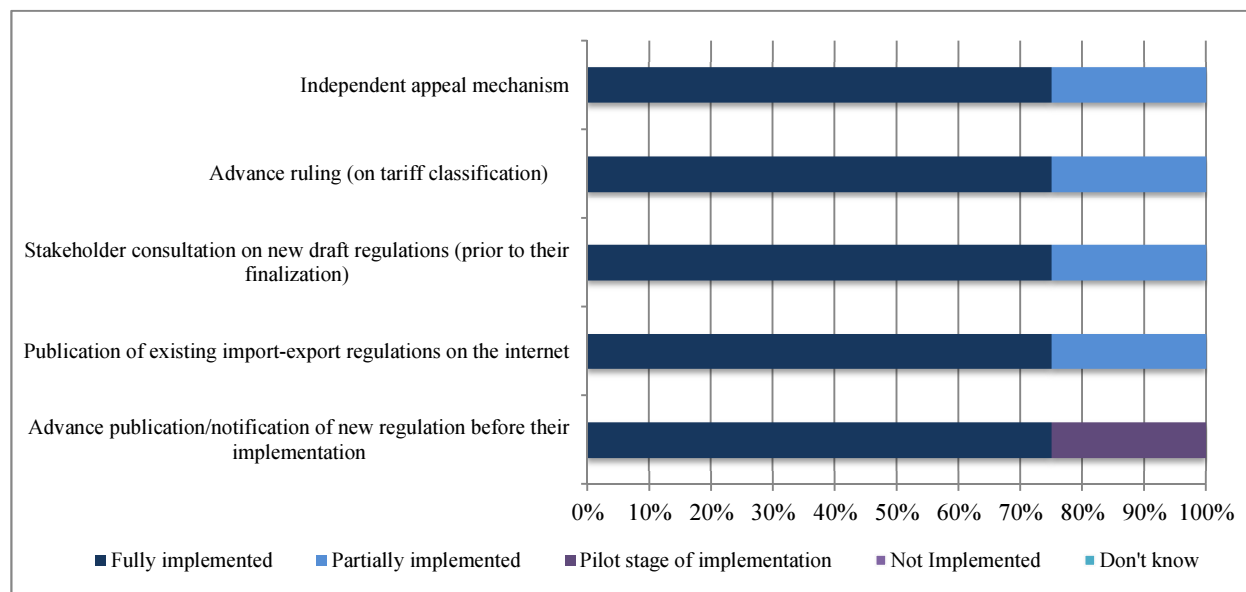
Five trade facilitation measures included in the survey can be categorized as “Transparency” measures. They relate to Articles 1-5 of the WTO TFA and GATT Article X on Publication and Administration of Trade Regulations.

**Figure 4: Implementation of “transparency” measures: East and North-East Asian average**



Source: ESCAP, UNRCs TF Survey 2015

**Figure 5: State of implementation of “transparency” measures for trade facilitation in East and North-East Asia (in %)**



Source: ESCAP, UNRCs TF Survey 2015

Figure 4 shows the average weighted implementation score of all five “transparency” measures across the East and North-East Asian sub-region is 90%, which is well in excess of the Asia-Pacific regional average, and is indeed considered the benchmark for all other sub-regions. Figure 5 shows that all “transparency” measures have been fully implemented in China, Japan and the Republic of Korea (75% of all countries). They are also partially implemented in Mongolia, except for *Advance publication/notification of new regulation before their implementation*, which is still in the pilot stage of implementation in the country.

### 3.2 “Formalities” facilitation measures

Eight of the general trade facilitation measures included in the survey are categorized as “formalities” facilitation measures, aimed at streamlining and/or expediting regulatory trade procedures. They relate to Articles 6-10 of the WTO TFA and GATT Article VIII on “Fees and Formalities connected with Importation and Exportation”.

Figure 6 shows that the average weighted implementation score of “formalities” facilitation measures in this sub-region is around 80%, which is well in excess of the Asia-Pacific regional average. The implementation rates of “formalities” measures in the sub-region are presented in Figure 7. *Risk management*, *Pre-arrival processing* and *Post-clearance audit* are the most implemented measures in the sub-region; they have been fully implemented in more than 70% of all countries, and are at least partially implemented in the remaining 30%. The least implemented measure is *Acceptance of paper or electronic copies of supporting documents required for import, export or transit*, which has been at least partially implemented in around 70% of all countries.

预览已结束，完整报告链接和二维码如下：

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