

TEMPLATE AND GUIDELINES

FOR ASSESSING SANITARY AND PHYTOSANITARY
DOCUMENTATION AND PROCEDURE RELATED
TRADING COSTS AT AND BEHIND BORDERS



APRIL 2016

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1.0 The Template

This template is for rapid baseline assessment of the trading costs related to Sanitary and Phytosanitary (SPS) technical requirements at and behind borders. The template is to facilitate collection of data on trading costs related to implementation of SPS measures at selected border crossings for selected commodities in the Common Market for Eastern and Southern Africa (COMESA) region. The template includes guidelines for its implementation by national experts in executing the assessment.

2.1 Template Guidelines

2.2 Template Components Guidelines

TOOL 101: BORDER POINT ASSESSMENT CHECKLIST

This Tool will be administered through observation and verifications undertaken with various stakeholders. The stakeholders that may be consulted for effective data capture, using this tool will include: Traders, Clearing Agents, Revenue Officers and Security Personnel, Stores and Loading Officers, Cargo Officers and the Regulatory Officers

SECTION	CODE	DESCRIPTION
I		Capture information related to the border post, consignment, commodity, interviewer/ data collector, date and time of the data collection. The section also appears as the first section in all the other Tools
II	A010-A027	Captures details on the consignment from the point of arrival to the time the documentary control procedures are completed. The information captures the duration taken by the consignment stored in the temporary storage facilities at the border post (A015 and A016).
	A016	Captures the fee paid for temporary storage at the border
	A017-A024	Information provided in A018 to A024 is important for verification and validation of data provided in the entire tool
	A025-A028	Captures information on whether or not documentation is required for the consignment and the length of time it takes to complete the documentation process.

	A200 - A204	<p>Focuses on certification of export/ import. The certifications will be listed and time taken to obtain the SPS certificates measured from the difference between submission time and the time the certification is received. It will be possible to compare the difference in time for certification between requests submitted manually and those submitted electronically. This section will also capture information on the fee charged for various certifications. Data analysis will be able to detect the SPS certifications that take the longest time to achieve.</p> <p>To estimate the total time taken for certification, the average time taken for each of the certifications will be summed up. The assumption is that each of the certification procedures is independent, although it is known that in some instances, the certification procedures run concurrently. Away from this assumption, one is able to determine the length of time taken to go through the entire certification process i.e. from the time the first certification request is submitted to the time the final certification is received. The total fee paid for SPS certifications is equivalent to the total sum of all SPS certification fees.</p> <p>In certain instances, the consignments are subjected to laboratory procedures/ inspections that are paid separately from the certification fees.</p>
IV	A300-A360	Captures the time taken and the fees paid for such procedures.
V	A400- A405	Captures the cost of laboratory procedures undertaken before the goods arrive at the borders.
VI	A500- A515	The cost of rejection is captured in the time taken between when the consignment rejection is communicated and the time the consignment is removed from the temporary storage is. The reason for rejection (A505) will help understand the main reasons for rejection and hence the costs associated with such reasons. The cost of rejection is further measured by the post rejection storage fee (A507); Cost of reverse transport from the border post as a result of rejection (A508); Value of the rejected consignment: whole or part (A510); Quantity of goods rejected (A511) (Unit value of goods per quantity). A512 captures the cost of destruction of rejected goods, if this cost is met by the trader. A515 sums up all the costs resulting from rejection of consignment, in whole or in part
VII		Captures data on cost of outsourced SPS laboratory procedures. It is possible in certain cases that the regulatory authority does not have facilities/ capacity to conduct certain procedures and therefore outsource and transfer the cost to the trader. It should however be noted that only the procedures for which the costs are met by the trader should be captured here.

TOOL 102: REGULATORY AUTHORITY



Tool 102 (Regulatory Authority Tool) will be used to list all the SPS certification requirements at the border. It will also capture data on the specific SPS inspections and tests conducted at

SECTION	CODE	DESCRIPTION
I	B001- B008	This section is similar to section I of all the other tools and provides descriptive information of the border, data and time of data collection as well as the name of the data collector.
II	B010- B017	The variables document the SPS certifications conducted at/ behind border, indicating the agency responsible for each. It applies to SPS procedures for which a specified amount of money is paid for the issuance of an SPS certification, contrary to section III which focuses on other cases in which fees are charged for specific certification procedures and tests such as laboratory and inspection procedures.
III	B020A-B026E	These variables under section III provide information on the specific inspections/ tests conducted by various agencies at the border. The section applies in cases where the Regulatory Authorities levy fee on specific inspections/ tests rather than payment of a fixed/ standard certification fee for issuance of an SPS certificate.

the border. This tool will be administered long before the data collection process starts. A list will then be generated and provided to the data collectors as a checklist to guide them in ensuring they collect information on all the relevant certifications and inspections/ tests. It will also help the study (Baseline of End line) administrators to develop a flow chart on the various data collection points at the border.

TOOL 103: TRADER

TOOL103 is administered to the trader. The tool should be administered through face to face interview with the trader. Appreciating however that the traders may at times (quite often) not accompany the consignment to/ from the border, phone interviews may be arranged. This can be achieved through collaborative working arrangements with the customs departments or regulatory authorities to book appointments. The tool will target the traders whose consignments are sampled during the data collection period.

SECTION	CODE	DESCRIPTION
I	C001- C008	This section is similar to section I of all the other tools and provides descriptive information of the border, data and time of data collection as well as the name of the data collector.
II	C010-C015	<p>The variables measure the SPS related staff costs incurred by the trader. C010 verifies whether or not the trader engages any part time or full time staff to support the SPS processes. C011 to C015 seek to determine the cadre and roles of staff engaged by the trader. Part A determines the number of staff engaged under the specified cadre; Part B determines whether the staff is full time or part time while Part C captures the average monthly salaries for the salaried staff and Part D, the daily rate if waged employee. For the staff paid per consignment, the rate is captured under Part E. Part F seeks information on the point at which the SPS support staff is involved, whether it is at the Farm, Packaging, Transportation, Border or other point.</p> <p>Analysis will be undertaken to determine the average SPS related staff costs incurred by the trader at each point of the trade. Comparative analysis will be undertaken to determine the point at which traders incur the highest SPS related costs. Analysis will also determine the staff cadre on which the trader spends the highest amount in order to fulfill the SPS requirements.</p>

III	C100-C103	The variables capture the costs incurred by the trader for remedial measures undertaken to meet the SPS requirements. Part A of each of these variables capture the name of the intervention; Part B covers the time taken for the intervention; Part C covers information on the point of intervention (1= At Farm; 2; At Transportation; 3= At Border). The last Part (D) captures the cost of the intervention
IV	C116 – C216	<p>These variables focus on the cost of consignment rejection. C200 captures the cost incurred by the traders on storage fee for the duration the consignment takes at the border/ store after its rejection. Please note that the cost does not include the storage fee prior to the rejection of the consignment. If the fee paid for the storage is lump sum, including the storage fee before and after the rejection, the post rejection storage fee is estimated from the proportion of the post rejection days for example 1 day storage fee out of the 2 days at the store is equivalent to $\frac{1}{2}$= 0.5 of the total storage fee. C201 captures the post storage transportation cost, whether to the point of commodity destruction or to the trader's premises</p> <p>C202- C204 focuses on the value of rejected commodities in the consignment. When the entire consignment is rejected, the value of the goods rejected will be (C202 (Quantity of goods in the consignment in specified units)* C204 (Unit Value of the Goods)). When however only a proportion of the consignment is rejected, the value of rejected goods becomes (C203 (Quantity of Goods rejected)* C204 (Unit Value of the Goods)). It is important to note that when the entire consignment is rejected, the value recorded in 202 is the same as the value required in 203 and therefore needs not be recorded.</p> <p>C205 captures cost of destruction of the commodities. This cost is only recorded if the cost is met by the trader but ignored when met by other entity e.g. regulator. C206 and C207 cover other indirect destruction costs met by the trader and C208 is a summation of the entire commodity destruction costs/ expenses. C209- C216 focus on the cost of loss of contract.</p>
V	D100-D105	This section covers the cost of informal payments. The data collectors should be well trained to probe the respondents for payments inform of bribery. The information should be very confidential and the respondent will need to be assured of this confidentiality.

TOOL 4: TRANSPORTER/CLEARING AGENT



The transporter is the best placed respondent for the variables/ questions in this tool.

SECTION	CODE	DESCRIPTION
	D012-D014	The variables seek to find out if there were any delays associated with SPS procedures at the time of loading of the consignment to the transport vessel. D013 measures the length of time taken by the delay. D014 determines whether the cause of the delay is SPS related or not. This a qualitative variable. At the point of data entry however the responses will be coded into: 1= SPS related causes and 2= Non SPS related causes. Time of SPS related delays will then be computed separately and average time determined based on total number of hours of delay and the number of consignments experiencing the delays.
	D015-D017	Variables D015 to D017 seek to measure the amount of time spent on any SPS related inspection conducted on goods on transit, at points other than the border points. The average time taken is determined form the total time taken by all consignments as the numerator and the number of consignments subjected to SPS related inspections at points other than the border while on transportation. D016 will provide information on the regulatory/ administrative authorities involved in such inspections. Further analysis can be undertaken to determine the regulatory authorities/ administrative authorities that cause the greatest SPS related delays.
	D100-D103	D100 to D103 will seek information on SPS related documents on goods before or after border (but not at the border). Part B of each (D100-D103) seeks to determine if there were any SPS related documentation gaps identified by the administrative/ regulatory authorities. Part C of each will identify the problems identified in the documentation. D1- D3 will help determine the duration it takes to sort out the SPS related documentation gaps.
	D104-D109	From D104 verifies if the trader conducts any SPS inspections or intervention for consignments while under transportation. D105- D107 will seek to determine the SPS related inspections or interventions undertaken by the trader while the goods are under transportation. Part A of each verifies the type of intervention/ inspections while part B verifies the type of activities undertaken. Part B measures the time taken by each inspection/ Procedure. D108 Verifies whether there were any additional transportation costs as a result of the SPS inspections/ interventions while D109 seeks information on the value of such additional transportation costs.
	E100-E105	This section covers the cost of informal payments. The data collectors should be well trained to probe the respondents for payments inform of bribery. The information should be very confidential and the respondent will need to be assured of this confidentiality.

23 Data Collection Guidelines

The guidelines for data capture have been provided in the various sections of the templates. Each section has a synopsis that provides information of the intended purpose, the relevance of the data to the cost estimation process and the guidelines on how the information is captured from the source. Other guidelines have however been provided separately as outlined below:-

Target Population: The data on SPS costs at cross border trade will be gathered through a questionnaire administered to the relevant stakeholders at the border. Data will also be gathered through direct observation at the border points. The sample respondents to be targeted by the tools will include: Regulators; Transporters; Trader/ Clearing Agents



Data Collection Tools: Four templates have been provided for use of data capture on the SPS related costs at border and behind border. The tools include: Tool 101: Border point assessment checklist; Tool 102: Regulatory authority; Tool 103: Trader; Tool 104: Transporter/Clearing agent

Data Collection Methods: While it is straightforward that Tools 102, 103 and 104 will require interviews with the respective respondents, Tool 101 will require a wide mix of observation, interviews and consultations with the various stakeholders, either for recording or verification of data. The stakeholders that may be consulted for effective data capture, using this tool will include: Traders, Clearing Agents, Revenue Officers and Security Personnel, Stores and Loading Officers, Cargo Officers and the Regulatory Officers. Direct observation will require the data collectors to position themselves strategically at the various points in which the specific data required can be obtained. The tool administration can be through paper questionnaire/checklist. The data will then be entered into electronic software and exported to statistical software for analysis. The various users also have an option of transforming the tool into an electronic version that can be supported by devices such as the Personal Digital Assistants (PDAs).

Sample Size and Sample Section: Data collection will be conducted over a period of two weeks and can be reviewed based on the traffic of consignments at the border post. To avoid the potential bias associated with selection of days of the week, data will be collected every day for the entire two weeks. The sample size will include all the commodity consignments passing through the border point within the specified weeks (Monday to Friday). The weeks and month chosen at baseline should be the same for the end line, for example, if the last two weeks of March are selected in the year of baseline then the same last two weeks of March should be considered in the year of the end line data collection. At border posts with seasonal variations in the movement of consignments, the data collection will be conducted during peak seasons when the traffic flow is high.

Data Quality Assurance: For effective data quality assurance, data collectors will be assigned a data collection coordinator who will ensure compliance to set standard operation procedures.

Training of Data Collectors: The data collectors will require 2 days of training to equip them with the requisite skills for the administration of the tool. The training of data collectors will aim at establishing the necessary competencies required to obtain information from the respondents. A training curriculum will be developed and will include pilot testing at the data collection site. The number of data collectors will be determined by the traffic flow at each border post. Care should be taken to ensure that work overload does not prevent the data collectors from gathering data from all the consignments passing through the border.

Preparation of Data Collection Tools: Since the tools are not specific to any border or commodity, listing the SPS certification for all commodities and borders would crowd the tools and make them less user friendly. We recommend that each of the border posts specify the relevant SPS certifications and inspection/ laboratory procedures before they are released to the data collectors. This will ensure that all the certifications and procedures are captured and not missed out during the data collection exercise.

Capturing Cost Related Data: All costs should be in local currency. The current conversion rate (local currency to the dollar) should be recorded at the time of data collection.

3.0 Data Sources and Information Guidelines

Cost Category	Key Questions	Information Source/ Respondent	Tool
Costs of temporary storage	What was the duration of time the consignment took in the temporary storage facility?	Trader (Importer/ Exporter)/ Agent Observation checklist	Tool 101 Tool 101
	What was the storage fee for the entire storage period?	Observation/ Regulator checklist/ Agent	Tool 101
	What was the cost of SPS procedures conducted when the goods were in the temporary storage facility?	Observation/ Agent/ Regulator checklist	Tool 101
Cost of SPS procedures	What was the total amount of time taken to achieve all the SPS related procedures/ documentation/ certification?	Observation/ Regulator checklist	Tool 101



	What was the total amount of time taken for verification of SPS related certification/ documentation?	Observation/ Regulator checklist Transporter	Tool 101 Tool 104
	What was the total cost of SPS procedures?	All	All tools
Costs associated with other charges resulting from border delays	What storage charges were incurred as a result of SPS related border delays?	Trader	Tool 104
	What costs were incurred as a result of waiting charges by the transporter, at the border which is SPS related border delays?	Transporter Trader	Tool 104 Tool 103
	What other costs (Specify) were realized as a result of charges culminating from the border delays?	All tools	Tool 101 Tool 103

Costs due to duplication	What SPS procedures were conducted by more than one regulatory agency, within border or behind border?	Computed at point of analysis	Tool 101 Tool 103
	What SPS related procedures were conducted at border and behind border (i.e. on the side of exporting country and on the side of importing country)?	Computed at point of analysis	Tool 101 Tool 103
	What amount of time was wasted as a result of the duplication?	Computed at point of analysis	Tool 101 Tool 103
	What additional costs were incurred as a result of the duplication?	Computed at point of analysis	Tool 101 Tool 103
Cost of rejection	What is the value of consignment rejected as a result of non-compliance with SPS requirements?	Trader (Importer/ Exporter)	Tool 103
	What is the value of SPS interventions performed on the consignment prior to rejection (at packaging and on transit)?	Trader (Importer/ Exporter) Regulator checklist Transporter	Tool 103 Tool 101 Tool 104
	What was the storage cost charged to the trader at the border point prior to rejection?	Trader (Importer/ Exporter)/ Agent	Tool 103
	What was the transport cost for the consignment?	Trader (Importer/ Exporter)/ Agent	Tool 103
	What was the cost of disposal of the rejected consignment?	Trader (Importer/ Exporter) Observation checklist	Tool 103 Tool 101

**TEMPLATE FOR ASSESSING SANITARY AND PHYTOSANITARY
DOCUMENTATION AND PROCEDURE RELATED TRADING COSTS
AT AND BEHIND BORDERS**

**TOOL 101:
BORDER POINT
ASSESSMENT CHECKLIST**

TOOL 101: BORDER POINT ASSESSMENT CHECKLIST

This checklist will be administered at the border point once a consignment is sampled for inclusion in the study. The variables under investigation in this tool are specific to the sampled consignment. Some sections will be easily filled through observation while others sections will require consultations with the regulatory authorities, the trader or the agent.

SECTION I: BACKGROUND INFORMATION

Section I provides information on the border post and the commodity details including the country of origin and the importing country. It also provides details of the data collection officer and the date of data collection. The details are filled in on the day of data collection.

A001	Name of Border Post	<input type="text"/>	A005	Commodity	<input type="text"/>
A002	Date of Data Collection	<input type="text"/>	A006	Exporting Country	<input type="text"/>
A003	Name of Data Collection Officer	<input type="text"/>	A007	Importing Country	<input type="text"/>
A004	Time Data Collection Starts	<input type="text"/>	A008	Time Data Collection Ends	<input type="text"/>

SECTION II: ARRIVAL OF GOODS, OFFLOADING AND TEMPORARY STORAGE

Data collection under section II is through observation. The data collector will be stationed at the border point and will track the sampled consignments to capture the information required under this section.

A010	Date and time of arrival of goods at the border	A: Date: __/__/____	B: Time ____
A012	Date and time of unloading_ Start	A: Date: __/__/____	B: Time ____
A013	Date and time of unloading_ End	A: Date: __/__/____	B: Time ____
A014	Date and time of delivery to temporary storage	A: Date: __/__/____	B: Time ____
A015	Date and time of release of goods	A: Date: __/__/____	B: Time ____
A016	Temporary storage charges/ fee		
A017	Mode of transport (use codes)		

Code	Mode of Transport	Tick	D	Road: Trunk= 1; Motorbike=2; Bicycle=3	
A	Air		E	River	
B	Sea		F	Other (Specify)	
C	Rail				

A020	Transport document number	
A021	Declarant Code	001: Broker 002: Clearing Agent 003: Self
A022	Declaration number	
A023	Name of declarant	
A024	Identification number of declarant	
A025	Documentary control required	1=Yes 2=No
A026	Date and time of the start of documentary control	A: Date: __/__/____ B: Time __ __
A027	Date and time of the end of documentary control	A: Date: __/__/____ B: Time __ __



SECTION III: LIST OF SPS RELATED CERTIFICATIONS, CERTIFICATION FEE AND TIME

Data collection under section III is through observation. The data collector will be stationed at the border point and will track the sampled consignments to capture the information required under this section. The data collector will further consult with regulatory officer and the importer/ agent to capture the certification fee. While it may be assumed that the certification fee is constant, this is not always the case in instances where the fee is based on the value/ quantity of the consignment. For certifications requested and executed electronically, the data collector will liaise with the regulator to authority to confirm from the records, the date and time when the request was received and when the certification was accomplished.

Certification Code	Certification Title	Date Certification Request Submitted/ Certification Received	Time Sub/ Rcvd	Certification Fee (USD)
A200		A1: Sub: Date: / /	A2: Sub: Time ¹	A3
	Was the request for this process made manually or electronically? 1 2 Manually=1; Electronically=2;	B1: Rcvd: Date: / /	B2: Rcvd: Time ² ___	B3
A201		A1: Sub: Date: / /	A2 Sub: Time	A3
	Was the request for this process made manually or electronically? 1 2	B1: Rcvd: Date: / /	B2: Rcvd Time ___	B3
¹ Time certification request submitted ² Time certification received				



A203	Manually=1;	Electronically=2;	A1: Sub: Date: / /	A2 Sub: Time	A3
<i>Was the request for this process made manually or electronically?</i>					
	<input type="checkbox"/> 1	<input type="checkbox"/> 2	B1: Rcvd: Date: /	B2: Rcvd: Time __ __	B3
A204	Manually=1;	Electronically=2;	A1: Sub: Date: /	A2 Sub: Time	A3
<i>Was the request for this process made manually or electronically?</i>					
	<input type="checkbox"/> 1	<input type="checkbox"/> 2	B1: Rcvd: Date: / /	B2: Rcvd: Time __ __	B3
A205	Manually=1;	Electronically=2;	A1: Sub: Date:	A2 Sub: Time	A3
<i>Was the request for this process made manually or electronically?</i>					
	<input type="checkbox"/> 1	<input type="checkbox"/> 2	B1: Rcvd: Date:	B2: Rcvd: Time __ __	B3

A206	Date and time the first SPS certification request submitted.	A1: Sub: Date: / /	A2 Sub: Time __ __
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A207	Date and time the final SPS certification received.	B1: Rcvd: Date: / /	B2: Rcvd: Time __ __
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SECTION IV: COST OF INSPECTION/ LABORATORY PROCEDURE AT THE BORDER POST *(This Sub Form is filled in when the costs of the procedures are available for each procedure for example, if the fee charged for inspection of moisture content is USD 5, then that is the recorded cost. This section applies to procedures conducted at the border post.*

Procedure Code	Name of Procedure	Start Time and Date	End Time and Date	Cost of Procedure
A300		A1: / / B1: H Min	A2: / / B2: H Min	A300C
A301		/ / B1: H Min	/ / B2: H Min	A301C
A302		/ / B1: H Min	/ / B2: H Min	A302C
A303		/ / B1: H Min	/ / B2: H Min	A303C
A304		/ / B1: H Min	/ / B2: H Min	A304C
A305		/ / B1: H Min	/ / B2: H Min	A305C
A306		/ /	/ /	A306C

SECTION V: COST OF INSPECTION LABORATORY PROCEDURE BEFORE ARRIVAL OF GOODS AT THE BORDER

This Sub Form is filled in when the costs of the procedures are available for each procedure, for example, if the fee charged for inspection of moisture content is USD 5, then that is the recorded cost. This section applies to procedures conducted before arrival of goods at the border, taking into consideration that certain procedures are conducted before packaging /transportation.

Procedure Code	Name of Procedure	Date request for procedure was made	Date result received	Procedure requested Manually =1 Electronically=2	Cost of Procedure
A400		A1: / / B1: H Min	A2: / / B2: H Min	C 1 2 D	

A401		A1: / /	A2: / /	C	1	2	D	
		B1: H Min	B2: H Min					
A402		A1: / /	A2: / /	C	1	2	D	
		B1: H Min	B2: H Min					
A403		A1: / /	A2: / /	C	1	2	D	
		B1: H Min	B2: H Min					
A404		A1: / /	A2: / /	C	1	2	D	
		B1: H Min	B2: H Min					
A405		A1: / /	A2: / /	C	1	2	D	
		B1: H Min	B2: H Min					

SECTION VI: COST OF REJECTION

Section VI captures the cost of rejection and should be filled in by the data collector only when the goods in the consignment are rejected. Goods can be rejected in part or in totality. The data collector will be required to record whether the entire consignment is rejected or whether only a section of the consignment is rejected

A500	Was the consignment rejected for not meeting the SPS requirement?	1= Yes	2= No
If yes, please provide the details of the additional SPS intervention:			
SPS Intervention 1: Date and Time of Rejection and Removal of Goods from the Storage Facility			
	A501A: Date the SPS inspections and tests concluded	A501B: Date: / / _____	A501C: Time ____
	A502A: Date rejection communicated	A502B: Date: / / _____	A501B: Time ____
	A503A: Date goods removed from the storage	A503B: Date: / / _____	A501C: Time ____

A504	Was the entire consignment rejected?	1= Yes	2= No
A505	What was the reason for rejection?		
A506	What happened to the rejected goods after they were taken out of the storage? 1= Destroyed at the border; 2= Transported back by the trader; 3= Other (Specify)		
Cost of Rejection			
Item Code	Item Description	Cost (USD- \$)	
A507	Post Rejection Storage Cost		
A508	Cost of Transportation Incurred		<i>Please record the cost of transport for the entire</i>
A509	Quantity of goods in the consignment		
A510	Quantity of Goods rejected		
A511	Unit Value of the Goods (Per Quantity Above)		
A512	Cost of destruction (if met by the trader)		
A513	Other Cost (Specify 1)		
A514	Other cost (Specify 1)		
A515	Total		

SECTION VII: COST OF OUTSOURCED PROCEDURES (PROCEDURES CONDUCTED AT REFERRAL LABORATORIES)

Procedure Code	Name of Procedure	Name of Referral Institution	Unit Cost Per Procedure	# of Referred Procedures	Total Cost of Referred Procedures
A600		A600A	A600B	A600C	A600D
A601		A600A	A600B	A600C	A601D
A602		A600A	A600B	A600C	A602D
A603		A600A	A600B	A600C	A603D
A604		A600A	A600B	A600C	A604D



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**TOOL 102:
REGULATORY AUTHORITY**

TOOL 102: REGULATORY AUTHORITY

This tool is administered once, prior to the start of the actual data collection for the baseline study or end of project evaluation. The purpose of this tool is to outline all the regulatory authorities responsible for SPS procedures/ certification at the respective border posts. Data gathered from this phase will be used to develop a checklist that the data will use to guide the process of data collection and to ensure that all the SPS regulatory procedures required at the border are tracked and captured in the data collection tool. The tool will be administered to the regulatory authorities and will cover SPS certifications and SPS procedures at the border.

SECTION 1: BACKGROUND INFORMATION

Section X provides information on the border post and the commodity details including the country of origin and the importing country. It also provides details of the data collection officer and the date of data collection. The details are filled in on the day of data collection.

B001	Name of Border Post	<input type="text"/>	B005	Commodity	<input type="text"/>
B002	Date of Data Collection	<input type="text"/>	B006	Exporting Country	<input type="text"/>
B003	Name of Data Collection Officer	<input type="text"/>	B007	Importing Country	<input type="text"/>
B004	Time Data Collection Starts	<input type="text"/>	B008	Time Data Collection Ends	<input type="text"/>

SECTION 2: NAME OF AGENCIES RESPONSIBLE FOR SPECIFIC SPS CERTIFICATIONS

Agency Code		Name of Agency		Name of Certification
B010	A	<input type="text"/>	B	<input type="text"/>
B011	A	<input type="text"/>	B	<input type="text"/>
B012	A	<input type="text"/>	B	<input type="text"/>
B013	A	<input type="text"/>	B	<input type="text"/>
B014	A	<input type="text"/>	B	<input type="text"/>
B015	A	<input type="text"/>	B	<input type="text"/>



B016	A		B	
B017	A		B	
SECTION 3: NAME OF AGENCIES RESPONSIBLE FOR SPECIFIC SPS INSPECTIONS/ TESTS				
Agency Code		Name of Agency		Name of Inspection/ Laboratory Procedure
B020	A		B	
B021	A		B	
B022	A		B	
B023	A		B	
B024	A		B	
B025	A		B	
B026	A		B	



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PHYTOSANITARY DOCUMENTATION AND PROCEDURE
RELATED TRADING COSTS AT AND BEHIND BORDERS**

**TOOL 103:
TRADER**

TOOL 103: TRADER

SECTION I: BACKGROUND INFORMATION

Section I provides information on the border post and the commodity details including the country of origin and the importing country. It also provides details of the data collection officer and the date of data collection. The details are filled in on the day of data collection.

C001	Name of Border Post	<input type="text"/>	C005	Commodity	<input type="text"/>
C002	Date of Data Collection	<input type="text"/>	C006	Exporting Country	<input type="text"/>
C003	Name of Data Collection Officer	<input type="text"/>	C007	Importing Country	<input type="text"/>
C004	Time Data Collection Starts	<input type="text"/>	C008	Time Data Collection Ends	<input type="text"/>

C010	Do you have any part time or full time staff that has been employed by your staff to oversee SPS compliance for your (maize) import/ export?	1=Yes	2=No
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I would like to know more about the staff engaged by your firm to support SPS compliance. I will not ask any sensitive questions regarding the staff and I would only like to get information that will help us to estimate the cost incurred by traders through the entire process of working towards meeting some of the SPS standards set by regulatory authorities.

NOTE: This tool should capture the details of the staff engaged by the Trader to support SPS processes and all points from production until the commodity meets compliance at the border or until the consignment reaches the depot of the importer.

SECTION II: STAFF COSTS-MET BY THE TRADER

#	SPS Inspection/ Procedure 1 Staff cadre and Role	Date and Time of Start and End of SPS Inspection/ Procedure				
		# of this cadre (How many staff)	Full time (1) or Part Time (2)	Average Monthly Salary (if full time/ monthly salaried)	Daly rate (if wage employed/ temporary)	Rate if paid per consignment

C011:	Cadre: Role:	A	B	C	D	C
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C011F: At what point does the staff support SPS processes?	1= Farm	2= Packaging	3= Transport	4= Border	5= Other (Specify)
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C012:	Cadre: Role:	A	B	C	D	C
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C012F: At what point does the staff support SPS processes?	1= Farm	2= Packaging	3= Transport	4= Border	5= Other (Specify)
---	---------	--------------	--------------	-----------	--------------------

C013	Cadre: Role:	A	B	C	D	C
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C013F: At what point does the staff support SPS processes?	1= Farm	2= Packaging	3= Transport	4= Border	5= Other (Specify)
---	---------	--------------	--------------	-----------	--------------------

C014	Cadre: Role:	A	B	C	D	C
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C014F: At what point does the staff support SPS processes?	1= Farm	2= Packaging	3= Transport	4= Border	5= Other (Specify)
---	---------	--------------	--------------	-----------	--------------------

C015	Cadre: Role:	A	B	C	D	C
-------------	-------------------------------	---	---	---	---	---

C015F: At what point does the staff support SPS processes?	1= Farm	2= Packaging	3= Transport	4= Border	5= Other (Specify)
---	---------	--------------	--------------	-----------	--------------------



C016

Do you often undertake any SPS compliance interventions on the consignment before they are released, during transportation or at the storage facility located at the border?

1=Yes

2=No

C017

In the latest consignment that you dispatched, did you undertake any SPS compliance interventions on the consignments before they were released, during transportation or at the storage facility located at the border?

1=Yes

2=No

SECTION III: REMEDIAL INTERVENTIONS BY THE TRADER (INCLUDING PROCESSING RELATED SPS INTERVENTIONS WHERE A PROCESSOR/ FARMER IS THE TRADER)						
Code		SPS intervention		Approximate time Taken		Point at which the intervention was conducted
						1= At Farm; 2; At Transportation; 3= At Storage/ Border
C100	A		B		C	D
C101	A		B		C	D
C102	A		B		C	D
C103	A		B		C	D

SECTION V: COST OF REJECTION

C116	Was the consignment rejected for not meeting the SPS requirement?	1= Yes 2= No
C117	When was the last time your consignment was rejected?	Date: ___/___/_____
C118	Was the entire consignment rejected or was it rejected in part?	1= Entire Consignment 2= Part of the consignment
C119	What was the reason for rejection?	
C120	What happened to the rejected goods after they were taken out of the storage? 1= Destroyed at the border; 2= Transported back by the trader; 3= Other (Specify)	

Item Code	Item Description	Cost (Local currency)
C200	Post Rejection Storage Cost	



C201	Cost of Transportation Incurred (Local Currency)	<input type="text"/>	<i>Please record the cost of transport for the entire consignment</i>
C202	Quantity of goods in the consignment	<input type="text"/>	
C203	Quantity of Goods rejected	<input type="text"/>	
C204	Unit Value of the Goods (Per Quantity Above)	<input type="text"/>	
C205	Cost of destruction (if met by the trader)	<input type="text"/>	
C206	Other cost (Specify 1)	<input type="text"/>	
C207	Other cost (Specify 2)	<input type="text"/>	
C208	Total	<input type="text"/>	

C209 Has your firm ever lost any contract with your customer/ client as a result of consignment rejection for non SPS compliance? **1=Yes** **2=No**

C210 In the past one year, did you lose any contract with your customer/ client as a result of consignment rejection for non SPS compliance? **1=Yes** **2=No**

C211 The last time you lost a contract, what was the value of the contract you lost?

C212 What was the duration of the contract? _____ **Years;** _____ **Months;** _____ **Days**

C213 Have ever lost any contract with your customer/ client as a result border delays associated with SPS procedures? **1=Yes** **2=No**

C214 In the past one year, did you lose any contract with your customer/ client as a result of border delays associated with SPS procedures? **1=Yes** **2=No**

C215 The last time you lost a contract, what was the value of the contract you lost?

C216 What was the duration of the contract? _____ **Years;** _____ **Months;** _____ **Days**



SECTION V: INFORMAL COSTS/ BRIBERY

Section I: Informal Costs A

D100	In the latest consignment that you passed through the border, were you asked for any informal payment (probe for bribery) before the consignment could be cleared?
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Yes		No	
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D101	How much did you pay?	
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D102	For what clearance did you make the informal payment/ bribe?
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*D102 Is this an SPS on non SPS cost?
(To be filled in by the supervisor)*

102A: SPS	
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102B: Non SPS	
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Section II: Informal Costs B

D103	In the latest consignment that you passed through the border, were you asked for any informal payment (probe for bribery) before the consignment could be cleared?
------	--

Yes		No	
-----	--	----	--

D104	How much did you pay?	
------	-----------------------	--

D105	For what clearance did you make the informal payment/ bribe?
------	--

*D105 Is this an SPS on non SPS cost?
D102 Is this an SPS on non SPS cost?
(To be filled in by the supervisor)*

D105A: SPS	
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		D105B: Non SPS	
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SECTION VI: COST AND TIME FOR ISSUANCE OF IMPORT? EXPORT PERMIT

E101	How long in days did it take you to receive an import/ export permit after you submitted a request?	
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E102	What amount of money did you pay for the permit?	
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**TEMPLATE FOR ASSESSING SANITARY AND
PHYTOSANITARY DOCUMENTATION AND PROCEDURE
RELATED TRADING COSTS AT AND BEHIND BORDERS**

**TOOL 104:
TRANSPORTER/
CLEARING AGENT**

TOOL 104: TRANSPORTER/CLEARING AGENT

SECTION I: BACKGROUND INFORMATION

Section I provides information on the border post and the commodity details including the country of origin and the importing country. It also provides details of the data collection officer and the date of data collection. The details are filled in on the day of data collection.

D001	Name of Border Post	<input type="text"/>	D005	Commodity	<input type="text"/>
D002	Date of Data Collection	<input type="text"/>	D006	Exporting Country	<input type="text"/>
D003	Name of Data Collection Officer	<input type="text"/>	D007	Importing Country	<input type="text"/>
D004	Time Data Collection Starts	<input type="text"/>	D008	Time Data Collection Ends	<input type="text"/>

D010	<input type="text"/>	Consignment Number	<input type="text"/>	<input type="text"/>
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D011	<input type="text"/>	Transporter Number	<input type="text"/>	<input type="text"/>
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D012	<input type="text"/>	What date and time did the transportation for this consignment begin?	Date:	<input type="text"/>	<input type="text"/>
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D013	<input type="text"/>	Was there any delay at the point of loading? Approximately how long did the delay last?	Days:	Hours:	Mins:
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D014	<input type="text"/>	What was the cause of the delay?
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D015	After the departure of the consignment and while on your way to the border, were you stopped by any authorities to review any of the consignment documents?	1=Yes	2=No
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D016	Who (what regulatory/ administrative authority) undertook the review of the documents?	
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D017	Approximately how long did the review last?	A: Hours:	B: Mins:
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#	<i>What documents were reviewed? (List the documents)</i>	<i>Were there any problems with the reviewed documents? 1=Yes; 2=No</i>	<i>What were the problems with the documentation? (Omission, Expiry, Lacking; Inconsistency)</i>	<i>How long did it take to sort out the problem?</i>
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D100	A	B	C	D1:Days: D2:Hours: D3:Minutes:
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D101	A	B	C	D1:Days: D2:Hours: D3:Minutes:
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D102	A	B	C	D1:Days: D2:Hours: D3:Minutes:
-------------	----------	----------	----------	--

D103	What was the cause of the delay?
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D104	Did you stop at any point to have the consignment checked by the client or any of the agents of the client?	1=Yes	2=No
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Informal Costs A

E100	In the latest consignment that you passed through the border, were you asked for any informal payment (probe for bribery) before the consignment could be cleared?
------	--

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

E101	How much did you pay?	<input type="text"/>
------	-----------------------	----------------------

E102	For what clearance did you make the informal payment/ bribe?
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D102 Is this an SPS on non SPS cost?

E102A: SPS	<input type="checkbox"/>
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E102B: Non SPS	<input type="checkbox"/>
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Informal Costs B

E103	In the latest consignment that you passed through the border, were you asked for any informal payment (probe for bribery) before the consignment could be cleared?
------	--

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

E104	How much did you pay?	<input type="text"/>
------	-----------------------	----------------------

E105	For what clearance did you make the informal payment/ bribe?
------	--

D105 Is this an SPS on non SPS cost?

E105A: SPS	<input type="checkbox"/>
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E105B: Non SPS	<input type="checkbox"/>
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