Guidelines for the Collection of Data on Official Non-tariff Measures

2023 edition

United Nations

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Acknowledgements

1. Introduction and purpose

In recent decades, multilateral and regional trade negotiations and unilateral liberalization have substantially reduced tariff rates. Non-tariff measures (NTMs), however, represent a growing challenge for exporters and policy makers. The ability to gain and to benefit from market access depends increasingly on compliance with trade regulatory measures such as sanitary requirements and goods standards. The United Nations Conference on Trade and Development (UNCTAD) has been actively involved in research and activities on issues related to non-tariff measures. In 1994, UNCTAD began to collect and classify the measures. While the UNCTAD Trade Analysis and Information System (TRAINS) remains the most comprehensive database on the measures, it has required substantial improvements to keep up with the increasing complexity of and need for data. To develop a strategy to reduce the transparency gap, in 2006, UNCTAD established the Group of Eminent Persons on Non-Tariff Barriers, composed of leading economists from international organizations. A Multi-Agency Support Team (MAST group) provided substantial support. As a result, the Transparency in Trade initiative was launched by UNCTAD, the African Development Bank, the International Trade Centre and the World Bank. UNCTAD leads international efforts to collect data on the measures.

The collection of these data requires the classification of legal documents (regulations, directives, rules and the like) by appropriate predefined codes. These codes are provided in the publication *International Classification of Non-Tariff Measures*.[1]

The classification of the measures was developed and agreed by several international organizations in the context of a multi-agency initiative led by UNCTAD (MAST group: the Food and Agriculture Organization of the United Nations (FAO), the International Monetary Fund (IMF), the International Trade Centre (ITC), the Organization for Economic Cooperation and Development (OECD), UNCTAD, the United Nations Industrial Development Organization (UNIDO), the World Bank, World Trade Organization (WTO)) and international experts. The classification is designed to facilitate the collection, analysis and dissemination of data on the measures, with the final objective of increasing transparency and understanding about the subject.

A recurring problem for data collectors, who collect and classify trade-related regulations into non-tariff measures data, is that regulations on the measures are often based on legal and/or technical terms which may render it difficult to univocally assign the most appropriate code. For data collectors, some interpretation is often required when classifying the measures described in the legal documents and regulations according to the predefined codes.

The purpose of this manual is to provide guidelines to enable data collectors to harmonize the data collection process and to minimize uncertainty during the process of categorization and classification. In doing so, the manual presents the logic behind the classification of non-tariff measures, and it explains how to choose the most appropriate code. This manual provides a large set of examples, and it is regularly updated to respond to queries and questions emerging during the data collection exercise. This 2023 version updates the last version prepared in 2021.

This manual has been created with the intention of covering as many cases as possible. However, if uncertainties persist, data collectors are encouraged to submit their questions to **ntm@unctad.org**, providing also a copy of the legal text and stating the proposed code.

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[1] UNCTAD (2019), *International Classification of Non-Tariff Measures, 2019 Version*.

2. Non-tariff measures: definition and general considerations

Definition

The concept of non-tariff measures is neutral and does not imply a direction of impact or legal judgment. They are defined as "policy measures, other than customs tariffs, that can potentially have an economic effect on international trade in goods, changing quantities traded, or prices or both".[2] Non-tariff barriers (NTBs) are a subset of the measures, implying a negative impact on trade. The measures are normally collected through UNCTAD's TRAINS Data Entry Tool and disseminated through its TRAINS Dissemination Portal, the World Integrated Trading System (WITS) and the Global Trade Helpdesk (GTH). The TRAINS database also includes measures from other sources.

Understanding the meaning of the terms "regulation" and "measure"

A regulation is a legal document issued officially by a Government, such as a law, decree or directive. An official regulation could include several measures (or NTMs).

For the purpose of the classification, a measure is a mandatory trade control requirement enacted by an official regulation. Each regulation or legal document must be read to distinguish all measures within its text. All identified measures should be registered separately.

In the database of non-tariff measures, both regulations and measures must be recorded precisely and fully to reflect the information embedded within the legal document which is relevant to the trade requirements. Descriptions of both the regulation and the measures within the regulation is required. At the moment, UNCTAD's database of non-tariff measures is mostly available in English. If the regulation is already in English and a description of the regulation is readily available, a simple copy of the description of the regulation in the database is sufficient. The same principle applies for the measures. If the regulation is in another language, a description of the regulation and of each measure in the original language has to be provided, to be accompanied by a translation of the description into English.

What data are collected?

The data that are collected are official measures currently imposed by the country and that affect imported or exported products. As a rule of thumb, such measures would be checked at the customs point to allow entry or exit. All specific import/export requirements are recorded in detail and with full reference.

Collected data comprise "behind the border" sanitary and phytosanitary measures (SPS measures) and technical barriers to trade (TBTs) that are imposed for objectives that are not primarily trade-related: for example, human, plant and animal health, and the protection of the environment. Even if equally applied to domestic producers, they nevertheless regulate international trade and are thus considered non-tariff measures.

According to the World Trade Organization's (WTO) definition, compliance with standards is voluntary. They are not registered. However, some national official legislation may use the word "standard" in relation to mandatory requirements, or otherwise use standards as a reference. In this case, the measure is collected and registered in the database, as it is a condition for importation.

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[2] As defined by the Multi-Agency Support Team and the Group of Eminent Persons on Non-Tariff Barriers.

What data are not collected?

a. Voluntary measures are not included in this database. One example is that of private standards – requisites put forward by private organizations, such as retail companies, are not collected.

b. International standards are not included either, unless they have been made explicitly mandatory. International standards are issued by international organizations, such as the International Organization for Standardization, CODEX Alimentarius, the International Electrotechnical Commission or ASTM, and no country is forced to adopt them. Even if countries are encouraged to follow them, they are at liberty to set a level higher or lower. For this reason, they are not included in this database. However, if a country adopts an international standard, it becomes national legislation and it is then included in the database.

c. Data collected for the database concern only trade in goods and exclude measures affecting trade in services. The only exception is the case where the service activities are directly connected to the trade of goods (such as the case of post-sale services, chapter K). in this case, there are restrictions on the ability of exporters to provide post-sale services through their preferred or desired channels in the importing country. Even though the restrictions only concern domestic post-sale services, they negatively affect importers of products such as industrial machinery and are considered non-tariff measures.

d. Data collected for the database concern only national-level measures, not those of a country's administrative divisions or autonomous provinces/territories. A regulation issued by Guadeloupe, for instance, should not be recorded as an official requirement set by France. This also excludes internal circulation within a country, *i.e.* between states within a country: these are not considered non-tariff measures. For example, if the Ministry of Agriculture requires a permit to import vegetable grains, this is considered a non-tariff measure. However, if it specifies that all vegetable grains, when circulated from one province to another, need to carry an attestation of conformity with an internal taxes department, then the requirement concerns only internal trade, and it is not a non-tariff measure. Companies may add that information after import.

e. Regulations on ***activities*** which are unrelated to trade are also outside the scope of the data collection. A regulation might eventually affect trade indirectly, but if there is not a direct connection to a requirement or condition for import/export, then the regulation is not considered a non-tariff measure. For example, a regulation might state that an individual, in order to operate a vessel/aircraft, needs to acquire a certificate of airworthiness/operation permit. This is a requirement which affects a particular activity (operating a vessel/aircraft), which might eventually affect the import of vessels or aircraft (if the certificate is very difficult to obtain, the demand for the products might decrease). However, there is no direct connection between the activity and trade of the products related to such activity. Another example is the requirement to have a driving license for cars. Such a requirement may have an effect on the demand for cars and thus on trade in cars. However, the importer is allowed to import cars even if the staff do not have driving licences.

f. When a regulation clearly states that the importation of the products is solely for the purpose of scientific research or a trade fair, such measures are not covered.

    For example, the Ministry for Primary Industries issued an Import Health Standard for Laboratory Animals and Laboratory Animal Germplasm detailing requirements that must be met to import animals and germplasm into the country for laboratory purposes. These requirements are not collected. Other similar examples are the importation of certain CITES samples to be used in laboratory experiments, or samples of certain food products to be used in a trade fair. These requirements do not cover normal trading activities and thus are not collected. The same is valid for restrictions on services related to the traded goods. For example, restrictions on cross-border

transport services may affect trade, but this is not a direct requirement on any good (*i.e.* product characteristic or production process), and thus it is not a non-tariff measure.

g. Complaints from the private sector, perceptions and any other non-official information related to the measures are not considered valid sources and are thus not coded. This information is very valuable for improving trade conditions, and so sometimes UNCTAD endeavours to record this information in parallel to data collection, but when this is done, this information is clearly separated. Only official legal texts are valid sources of measures.

How are the data collected?

UNCTAD provides the data collectors access to the TRAINS Data Entry Tool developed by UNCTAD with all the required fields to be filled out. UNCTAD also provides the code classification of the measures and the product codes of the Harmonized Commodity Description and Coding System (known as the Harmonized System (HS)). Moreover, UNCTAD provides the training and coaching, as well as quality checking of the data.

3. Steps to collect information

Information on non-tariff measures is collected and registered in the TRAINS Data Entry Tool. The Tool assigns role-based access control for different types of users. This enables fine-grained control over user permissions and responsibilities for both internal and external users. Only registered and approved users of the Tool have access to the website.

The steps to collect the measures are the following:

- a) Obtain the source data
    1. Identify sources of information
    2. Identify regulations from each document or source
- b) Classify and register the information
    3. Identify and classify measures within each regulation
    4. Identify and classify affected products for each measure
    5. Identify and classify affected countries for each measure
    6. Identify and classify objectives for each measure, whenever possible

Each step is registered separately in the Data Entry Tool provided by UNCTAD.

The first two steps systematically register the origin of information. These steps are essential to make sure that the data is traceable and can be verified and updated. Considerable efforts are made to emphasize the comprehensiveness of the data collection. Consequently, all import and export requirements are registered in the database, irrespective of complexity or stringency.

The remaining steps identify and classify all the relevant information from each legal text. Considerable work goes into ensuring the comprehensiveness of the data collection. All import and export requirements are thus registered in the database. Figure 1 illustrates the components and dimensions of steps 4 to 6. A regulation may include one or more measures. Each one has to be classified according to the International Classification. Each measure is likely to affect certain products and countries, and there may also be objectives mentioned explicitly in the text. All of them must be registered.

Figure 1. Principle workflow for each regulation
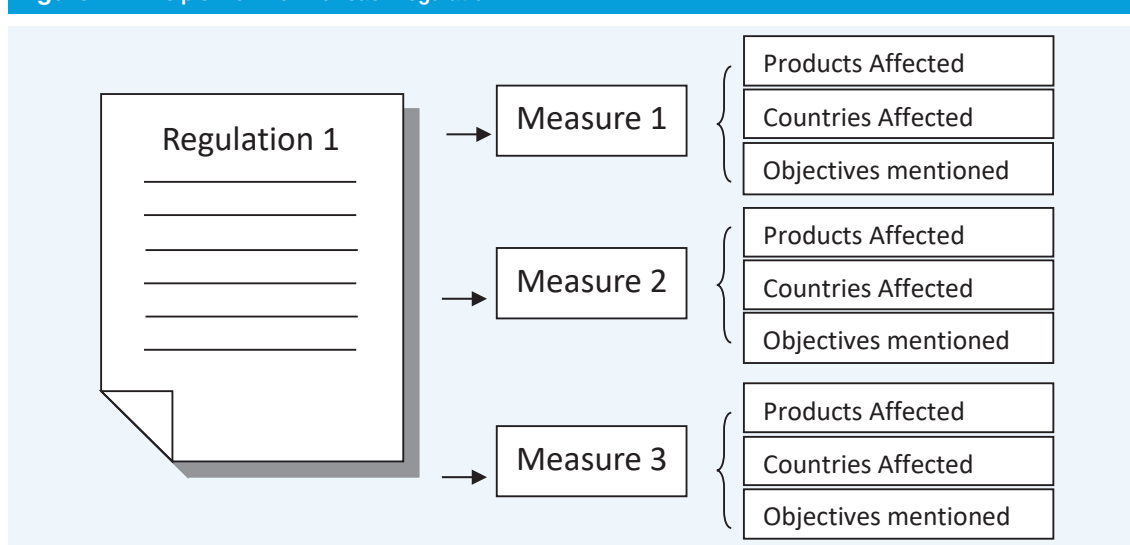
After the data collector registers all relevant information (non-tariff measures and Harmonized System codes for the products affected by the measures), an expert in international trade, acting as a supervisor to the process of collection of non-tariff measures – a data collection supervisor – will validate the accuracy of registered measures and codes. The data will then be ready for publication.

In the following sections, further details are provided on each step of the data collection process.

3.1 Identify sources of information

This first step may vary according to the country concerned. In some countries, the information may be available at a centralized location, where one official source compiles all legal measures. In others, the information needs to be obtained from different locations/institutions.

(a) Centralized sources

In many countries, an official journal regularly publishes new laws, regulations, acts, decrees and the like, the information being contained in one publication, irrespective of the government department and the subject covered. Such centralized sources facilitate the task of data collection and continuous updates.

> Examples of countries using an official journal or other centralized source are the member States of the Latin American Integration Association. Examples of the publication titles are as follows:
>
> - Argentina: *Boletín Oficial* (Official Journal);
>
> - Plurinational State of Bolivia: *Circular de la Aduana Nacional de Bolivia* (Circular of the National Customs Office of Bolivia);
>
> - Brazil: Edições Aduaneiras – *Publicações sobre Comércio Exterior* and *Diário Oficial da União* (Custom Editions – Publications on International Trade and Official Journal of the Union);
>
> - Colombia: *Diario Oficial* (Official Journal);
>
> - Ecuador: *Registro Oficial* (Official Registry);
>
> - The Bolivarian Republic of Venezuela: *Gaceta Oficial* (Official Gazette).

Some countries compile all their current regulations in a centralized register or code, where they may be consulted. Some examples, among others, are:

> - The United States of America publishes daily the *Federal Register*.[3] There is also the Code of Federal Regulations,[4] which consolidates the regulations that are currently in force. The latter codes by subject all general and permanent rules of the *Federal Register*.
>
> - Australia: The Federal Register of Legislation is the authorized whole-of-government website for Commonwealth legislation and related documents in Australia. It contains the full text and details of the lifecycle of individual laws and the relationships between them. Notably, it contains "consolidated" version of the regulations, which means that they already include all the amendments in the published document. The Legislation Register is managed by the Office of Parliamentary Counsel. [5]

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[3] Available at www.govinfo.gov/app/collection/FR/ (accessed 1 October 2023). Note that the Federal Register also includes proposed regulations open for public discussion, which are not of interest for this database.

[4] Available at www.govinfo.gov/app/collection/cfr/ (accessed 1 October 2023).

[5] See www.legislation.gov.au.

(b) Decentralized sources

In the absence of a centralized source, information about the measures needs to be obtained through various government institutions. This is a challenge for data collectors, but it is crucial to identify all relevant ministries and other institutions.

Table 1 provides an indication of the government agencies that are likely to deal with different categories of measures. This list is not exhaustive. Names of government agencies could be different according to the country. Each institution may disseminate legislative documents through their websites or through other means.

Table 1.	Examples of government agencies likely to deal with NTM categories	
	NTM chapter	**Government bodies potentially responsible**
A	SPS measures	Ministry of Agriculture; Standardization Body; Ministry of Health
B	TBT measures	Standardization Body; Ministry of Health; Ministry of Environment; Ministry of Energy; Ministry of Trade / Industry
C	Pre-shipment inspection and other formalities	Customs Agency; Standardization Body
D	Contingent trade protective measures	Ministry of Finance; Ministry of Trade / Industry / Economy
E	Non-automatic import licensing, quotas, prohibitions, quantity-control measures and other restrictions not including sanitary and phytosanitary measures or measures relating to technical barriers to trade	Ministry of Trade / Industry / Economy; Ministry of Foreign Affairs
F	Price control measures including additional taxes and charges	Ministry of Trade / Industry / Economy; Customs Agency
G	Finance measures	Ministry of Finance; National Bank
H	Measures affecting competition	Ministry of Trade / Industry / Economy
I	Trade-related investment measures	Ministry of Trade / Industry / Economy
P	Export-related measures	Ministry of Trade / Industry / Economy; Customs Agency

(c) Other sources

Data collection must be based on official national documents. However, other sources can help lead to these official sources and help identify legislative documents, especially when the country's legal publishing is decentralized.

World Trade Organization *Trade Policy Reviews* can be helpful for a good initial overview of the institutional framework, including information about important trade-related laws.[6] However, these reviews are not exhaustive and do not provide the necessary detail about regulations that the data collection requires. General laws that are often listed in the *Trade Policy Reviews* also tend to be unspecific and are only a first step in identifying the relevant institutions that issue the required specific regulations.

WTO provides a platform on sanitary and phytosanitary measures and technical barriers to trade.[7] This platform can also give consultants valuable information about where to find regulations related to those

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[6] WTO *Trade Policy Reviews* are available at www.wto.org/english/tratop_e/tpr_e/tp_rep_e.htm (accessed 23 September 2023).

[7] The information management systems on sanitary and phytosanitary measures and technical barriers to trade can be found on the following website: https://eping.wto.org/ (accessed 15 September 2023).

measures. However, experience shows that, due in part to the limited notification of those measures to WTO, the information from these sources is also incomplete.

In some cases, information may be purchased from a private company providing consolidated regulations with all amendments. It should nevertheless be ensured that this source provides complete and official information.

3.2 Identify regulations from each source

Centralized or decentralized sources (an official journal, a government website) could contain various regulations, such as a collection of laws, acts, decrees, circulars, official notices, etc. Each regulation that contains non-tariff measures needs to be identified and recorded.

The identified regulations should be sufficiently specific to identify measures, affected products and countries (see section 4). The text of some general laws only provides generic provisions or empowers institutions to impose actual regulations or requirements. Such laws are usually followed up by more detailed regulations that should be registered in the database.

3.3 Identify and classify measures within each regulation

All measures contained within each regulation need to be identified and classified. The legal text has to be transformed into a database format. The database should clearly reflect the following elements:

- Which measure?→

  Classify the measure identified according to the UNCTAD International Classification of Non-Tariff Measures;

- Which product?→

  Find Harmonized System codes or predefined group codes for the product(s) affected by this measure;

- Which partner?→

  Assign country/region codes to the countries affected by this measure;

- Which objective?→

  Categorize the reason why the measure was imposed, but only if it is officially stated in the regulation.

Sections 4 and 5 below provide guidelines on how to use the International Classification of Non-Tariff Measures (step 3). Section 6 is a guide to the selection of the right product code (step 4). Sections 7 and 8 briefly deal with the registration of affected countries and measure objectives, respectively (steps 5 and 6).

Detailed steps on creating/editing measures on the TRAINS Data Entry Tool can be found in Annex 1: Fields and required information in the TRAINS Data Entry Tool and Annex 2: TRAINS Data Entry Tool – a brief guide.

4. User guide to coding measures

The following are guidelines for assigning a code to a non-tariff measure identified in the text of a regulation. The first step is to be familiar with the classification of measures and to understand the basic structure of the classification as well as the different chapters.

4.1 Structure of the classification of the measures

Measures are organized in various chapters by type (boxes 1 and 2). The chapters are labelled with letters from A to P.[8]

Figure 2. Chapter organization in the NTM classification			
Imports	**Technical measures**	A	SANITARY AND PHYTOSANITARY MEASURES
		B	TECHNICAL BARRIERS TO TRADE
		C	PRE-SHIPMENT INSPECTION AND OTHER FORMALITIES
	Non-technical measures	D	CONTINGENT TRADE-PROTECTIVE MEASURES
		E	NON-AUTOMATIC IMPORT LICENSING, QUOTAS, PROHIBITIONS, QUANTITY-CONTROL MEASURES AND OTHER RESTRICTIONS NOT INCLUDING SANITARY AND PHTOSANITARY MEASURES OR MEASURES RELATING TO TECHNICAL BARRIERS TO TRADE
		F	PRICE-CONTROL MEASURES, INCLUDING ADDITIONAL TAXES AND CHARGES
		G	FINANCE MEASURES
		H	MEASURES AFFECTING COMPETITION
		I	TRADE-RELATED INVESTMENT MEASURES
		J	DISTRIBUTION RESTRICTIONS
		K	RESTRICTIONS ON POST-SALES SERVICES
		L	SUBSIDIES AND OTHER FORMS OF SUPPORT
		M	GOVERNMENT PROCUREMENT RESTRICTIONS
		N	INTELLECTUAL PROPERTY
		O	RULES OF ORIGIN
Exports		P	EXPORT-RELATED MEASURES

(a) Import and export measures

Measures are divided into two broad categories: import measures and export measures. This is the first distinction that needs to be made when classifying a measure.

All chapters from A to O reflect the requirements of the importing country. Only chapter P comprises export measures, which refer to requirements imposed solely by the exporting country on its own exports.

All measures imposed by the importing country, regardless of whether they are executed or verified in either the exporting or the importing country, are considered import measures, since they relate to the importation of the product.

> Example: For a regulation stating "Imports of products of animal origin into country A must be accompanied by a health certificate signed by the representative of the competent authority in the exporting country certifying that the products in question are suitable to be exported to country A", this measure must be assigned a code under the import measures of country A, as it is a requirement of the importing country.

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[8] For more information on the classification, see UNCTAD (2019), *International Classification of Non-Tariff Measures, Version 2019*.

(b) Chapters in the classification

Import measures are further subdivided into technical and non-technical measures. The first group comprises three chapters (A to C): sanitary and phytosanitary measures, technical barriers, and pre-shipment inspection and other formalities. Non-technical measures are subdivided into 12 chapters (D to O). Export measures comprise only one chapter (P). Box 1 summarizes the measures included in each chapter.

Box 1. Brief description of each chapter in the classification

Chapter A on sanitary and phytosanitary measures, refers to measures affecting areas such as restrictions for substances, hygienic requirements or other measures to prevent dissemination of diseases. It also includes all conformity assessment measures related to food safety, such as certification, testing and inspection, and quarantines.

Chapter B on technical measures, refers to measures such as labelling and other measures to protect the environment. It also includes conformity assessment that relates to technical requirements such as certification, testing and inspection.

Chapter C classifies the measures related to pre-shipment inspection and other formalities performed in the exporting country prior to shipment.

Chapter D refers to contingent measures, which are measures implemented to counteract particular adverse effects of imports in the market of the importing country, including measures aimed at unfair foreign trade practices. They include antidumping, countervailing and safeguards measures.

Chapter E includes licensing, quotas, and other quantity control measures, group measures that have the intention of limiting the quantity traded, such as quotas. It also covers those licences and import prohibitions which are unrelated to sanitary and phytosanitary measures or technical barriers.

Chapter F includes price-control measures, which are those implemented to control or affect the prices of imported goods in order to, inter alia, support the domestic price of certain products when the import prices of these goods are lower; establish the domestic price of certain products because of price fluctuation in domestic markets, or price instability in a foreign market; or to increase or preserve tax revenue. This category also includes measures, other than tariff measures, that increase the cost of imports in a similar manner (para-tariff measures).

Chapter G concerns finance measures, referring to measures restricting payments for imports – for example, when access to and the cost of foreign exchange are regulated. This chapter also includes restrictions on the terms of payment.

Chapter H concerns measures affecting competition. These measures grant exclusive or special preferences or privileges to one or more limited groups of economic operators. They refer mainly to monopolistic measures, such as State trading, or sole importing agencies, or compulsory use of national services or transport.

Chapter I concerns trade-related investment measures, group measures that restrict investment by requiring local content or requesting that investment be related to export to balance imports.

Chapter J includes distribution restrictions, referring to restrictive measures related to internal distribution of imported products.

Chapter K concerns restriction on post-sale services – for example, restrictions in the provision of accessory services.

Chapter L contains measures that relate to subsidies that affect trade.

Chapter M contains government procurement restriction measures and refers to the restrictions bidders may encounter when trying to sell their products to a foreign Government.

Chapter N concerns restrictions related to intellectual property measures and intellectual property rights.

Chapter O on rules of origin, groups the measures that restrict the origin of products, or their inputs.

Chapter P includes export measures, grouping the measures a country applies to its exports. It includes export taxes, export quotas or export prohibitions.

(c) Tree structure

Each chapter (one digit, letters A–P) is divided into groupings using a tree/branch structure with depth of up to three additional levels (two, three and four digits). More digits indicate more disaggregation, that is, more detailed measure categories. For example, chapter A includes nine two-digit codes, A1 through A9. Then, each two-digit code is further differentiated into three-digit codes. For example, A8 includes A81 through A86, and also A89. A85 is subdivided further into four-digit codes: A851, A852, A853 and A859 (see box 2). Only a few groupings reach the four-digit level of disaggregation. Most stop at three digits.

Box 2. The classification's tree structure

A. SANITARY AND PHYTOSANITARY MEASURES
   A1. Prohibitions/restrictions of imports for sanitary and phytosanitary reasons
   A2. Tolerance limits for residues and restricted use of substances
   (…)
   A8. Conformity assessment related to sanitary and phytosanitary aspects
     A81. Product registration requirement
     A82. Testing requirement
     A83. Certification requirement
     A84. Inspection requirement
     A85. Traceability requirement
       A851. Origin of materials and parts
       A852. Processing history
       A853. Distribution and location of products after delivery
       A859. Traceability requirements n.e.s.*
     A86. Quarantine requirement
     A89. Conformity assessments related to sanitary and phytosanitary, n.e.s.
   A9. SPS measures n.e.s.
B. TECHNICAL BARRIERS TO TRADE
C. PRE-SHIPMENT INSPECTION AND OTHER FORMALITIES
D. CONTINGENT TRADE PROTECTIVE MEASURES
E. NON-AUTOMATIC LICENSING, QUOTAS, PROHIBITIONS
F. PRICE-CONTROL MEASURES, INCLUDING ADDITIONAL TAXES
G. FINANCE MEASURES
H. MEASURES AFFECTING COMPETITION
I. TRADE-RELATED INVESTMENT MEASURES
(…)
*n.e.s.: not elsewhere specified.

4.2 Principles for classifying measures

The following principles provide guidance on classifying measures and entering them correctly in the TRAINS Data Entry Tool. Further help on distinguishing between sanitary and phytosanitary measures and technical barriers is found in section 5.

Detailed steps on creating/editing regulations and measures in the TRAINS Data Entry Tool can be found in Annex 1: Fields and required information in the TRAINS Data Entry Tool Tool and Annex 2: TRAINS Data Entry Tool – a brief guide.

4.2.1   The principle of "one measure – one NTM code", and exceptions

(a) Regulation, measure and code

A regulation may contain one or several measures. In principle, each measure is to be assigned no more than one NTM code.

(b) One regulation imposing several measures falling under the same code

As a rule of thumb, if a regulation imposes a set of similar requirements that would be classified under the same code, they are registered only once as a single measure. The respective products are thus jointly entered under this measure.

> Example 1: If a regulation specifies several "maximum residue limits" of different chemicals for a variety of food products (for sanitary and phytosanitary reasons, NTM code A21), the measure is registered just once, and all affected products are listed under the same measure.

> Example 2: If a regulation specifies a list of items to display on the product label, the code for labelling is used only once. A country might require all packaged food to be labelled with nutritional information on how much fat, protein, energy, carbohydrates, and salt are in the product, the percentage of key ingredients, and all of the main ingredients that may cause allergies. These requirements are not to be coded multiple times but once under the NTM code for labelling.

However, if a regulation imposes several rather distinct measures under the same code, they should be registered separately. This is the case if the respective measures differ with respect to their type or implementation. The following examples should illustrate these two cases:

> Example 1 – different type: A regulation states that imported glass windows need to fulfil the standards on energy performance (including solar heat gain and air leakage rate). They also need to be made of materials that are safe for customers' health. In this case, the regulation requires the glass windows to meet (i) quality or performance requirements (energy performance) and (ii) safety requirements (materials safe for customers). Since they are substantially distinct types of measure, they should be registered as two separate measures (both with the code B7).

> Example 2 – separate implementation: A regulation requires a standard SPS certificate for all imported food products. In a different paragraph, the regulation also demands a special microbiological health certificate for fishery products. Both certificates are classified as "certification requirement for SPS reasons", A83. Given that both certificates are obtained separately, with a different set of procedures and probably from different institutions, they are registered separately. In this way, the double certification of fishery products is also reflected in the database.

It is crucial that the differences between measures with the same NTM code be clearly indicated in the "Description" field in the "Measure Classification" form of the TRAINS Data Entry Tool. Furthermore, the "Location(s) in the Regulation (reference)" field in the "Measure Classification" form also helps to distinguish measures contained in the same regulation. The "Location(s) in the Regulation (reference)" is the specific text within a regulation (for example, a section or paragraph) where each measure is described, and it should be registered in the corresponding field.

(c) Different regulations imposing the same measure

If two separate regulations impose measures that are different but would be assigned the same code, the measure code is registered twice, each with its corresponding official regulation.

Example: Regulation A imposes that the weight of the product be put on a label, and regulation B requires that the fat and sugar content must also be indicated on the product. In this case, the code B31 is registered twice, once under each regulation.

The idea behind this is that a separate and new requirement is assumed to be a new requirement that companies need to comply with, and this needs to be reflected in the database as a new entry.

Should two separate regulations jointly define or refer to exactly the same measure, the measure is only registered once under the most specific and trade-related regulation. If the two regulations are not related, the title of the other regulation may be indicated in the "Notes" field next to the main regulation. If the two regulations are related, for example, a decree or a circular illustrating or giving more details on a requirement stated in a general law, then the general law should be listed in the field "Supporting Regulations" while the decree/circular should be listed in the field "Lead Regulation". Two examples shall illustrate which regulation should be registered:

Example 1: A general phytosanitary law empowers a country's ministry of health to publish regulations on the maximum residue limits of fertilizers in imported agricultural food products (Regulation 1). The ministry then publishes such technical regulations with detailed residue limits for various food products (Regulation 2). The measure A21 is then registered under the latter technical regulation, as it is more specific and still trade-related. In this example, the latter technical regulation (Regulation 2) is listed in the field "Lead Regulation", while the general phytosanitary law (Regulation 1) is listed in the field "Supporting Regulations".

Example 2: A decree (Regulation 4) requires that imported food products need to follow a pre-existing national norm (Regulation 3) which until then only regulated national production. While the pre-existing national norm is more specific, it is not trade-related in itself. Therefore, the import-related decree (Regulation 4) is to be registered as the main regulation (in the field "Lead regulation"), with the national norm (Regulation 3) being indicated in the "Notes" field.

The main point is that two different regulations referring to the same requirements are to be registered but once, under the name of one of them, not separately.

If another regulation is issued (Regulation 5), which mentions again that food products must follow the same national norm, this should not be registered separately, as it refers to the same requirement, implemented in the same way, even if it is quoted by another legal text, probably from another ministry.

(d) Conformity assessment measures are registered together with the corresponding technical requirement

"Conformity assessment" (A8 and B8) is a verification process that accompanies a technical requirement and is intended to prove compliance (figure 3).

Figure 3. A requirement and conformity assessment (proof of compliance)
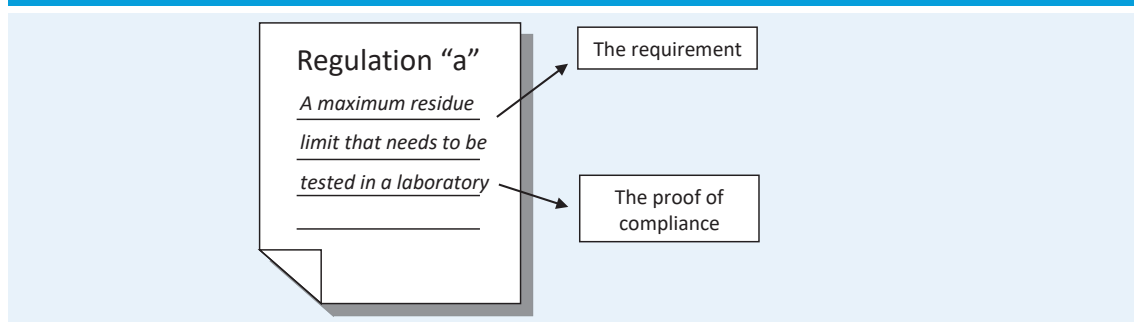
A maximum residue limit (the requirement) may be tested (the proof of compliance) in a laboratory, or product quality (the requirement) may be assessed and proved by a certification (the proof of compliance). Normally, the regulation lists both. In this database, both are registered.

> Example: Raw hemp and hemp seeds for sowing are subject to a system of checks to verify that their tretrahydrocannabinol content does not exceed 0.2 per cent. This is registered both as code B21, "tolerance limits for residues of or contamination by certain substances", and B82, "testing requirement".

In some cases, although there is a requirement, no mandatory test or certification is required. In that case, only the technical requirement is registered in the database.

On the contrary, conformity assessment requirements are coded together with the technical requirement.

It is also possible that that a regulation states only that a conformity assessment has to be performed but without specifying the exact underlying technical requirements. In many such cases, the regulation either refers to further forthcoming regulations or indicates that a given domestic institution will be responsible for defining both technical requirements and conformity assessment procedures. These subsequent and more detailed technical regulations must then be identified and registered instead of the general regulation introducing them.

If these more detailed regulations cannot be found, it is necessary to contact the authorities or implementing institution for clarification. There are three scenarios:

(i) If the authorities provide the missing specific regulations, they should be registered;

(ii) If the authorities indicate that there are no further technical regulations and that no conformity assessment is performed, no measures should be registered;

(iii) If the authorities confirm the application of the general law without further detailed regulations, it is permissible to register the respective conformity assessment (codes within branches A8 and B8) without the underlying technical requirements.

However, the source of such additional enquiries should be clearly indicated in the notes field.

(e) Leading and supporting measures: only the leading measure is registered

One regulation may list several measures, which normally have to be registered in the TRAINS Data Entry Tool as separate measures. However, it may be that one measure can be considered a leading measure, while others are measures supporting the same purpose. The data collector needs to register the leading measure only. These cases are rare, though. The key rule of thumb by which to distinguish leading measures from supporting measures is that when a leading measure is removed, then all supporting measures will automatically disappear.

The challenge is that the text of the regulation does not normally distinguish explicitly between leading and supporting measures, as all of them have equal legal importance. Therefore, it is important to identify the measure which reflects the essence of the matter and classify only that measure as the leading one.

> Example 1: When there is a quota (E2), there may also be a licence to be able to sell within the quota. Only the quota measure is registered in the database. As a rule, all licences that are meant to administer other measures are not registered.

> Example 2: Measure A12, "geographical restrictions on eligibility", implies a positive list of countries allowed to export, which comply with sufficient sanitary and phytosanitary safety conditions. This measure may be accompanied by a long list of requirements that need to be fulfilled by countries to

actually be in that positive list. These are not registered. In this case, only A12, which better describes the phenomenon, should be coded.

There is one important exception: conformity assessment measures (A8 and B8) are not considered supporting measures and are always registered in addition to the underlying requirement (see above), as such procedures tend to be a significant burden for companies.

Example: A regulation states that imports are authorized if a certificate is provided to the authorities proving that pesticide residues in fresh fruit are below a certain level. The leading measure is classified as a "tolerance limit for residues for SPS reasons" (A21). In addition, the "certification requirement" (A83) is also registered because it is a conformity assessment. The word "authorized" in the regulation can be misleading: it refers not to an "authorization" (A14) but to an administrative procedure, which would be considered a supporting measure.

Conformity assessment measures under chapter P (export measures) follow the same principle. All measures falling under the code P16 (conformity assessments) are not considered supporting measures and are registered together with the requirements issued by the exporting country. They are not to be recorded alone without the underlying requirement.

4.2.2 Use the most detailed code available to classify the measure

(a) Selecting the most detailed code within a branch

A measure should be classified using the most detailed code. If a requirement falls under several codes, then separate measures must be registered for each of these codes.

Example: If a regulation specifies labelling, marking and packaging requirements for sanitary and phytosanitary reasons, all three measure codes (A31, A32 and A33) must be registered as separate measures. They cannot be summarized under the aggregate code A3.

(b) Using a more aggregated code/branch

A higher-level code should only be used if a regulation does not provide enough information to assign the measure to a more disaggregated level.

Example: A regulation generically indicates "price setting by the authorities" for an imported good. Lacking more details, it must be classified as "administrative measures affecting customs value" (F1). The classification F1 is further broken down into the categories "minimum import prices" (F11) and "reference prices" (F12), but the regulation does not provide enough information for the coder to choose which further category to use. It should be coded as F1 because no decision can be made as to whether it will take the form of F11 or F12.

However, such cases should be rare exceptions, as only precise regulations should be used for data collection (see also section 3.3).

(c) Using measure codes "not elsewhere specified" (n.e.s.); codes ending in 9

Codes ending in 9 are used for measures "not elsewhere specified" – that is, those measures that cannot be precisely categorized within the codes provided by the classification. Such codes are found at the end of most chapters (for example, A9, B9 and E9) and branches (for example, A19, A89 and A859).

Such codes should only be used if a requirement is precisely defined in a regulation but does not correspond to any other code in the respective chapter or branch.

> Example: A country requires all imported peas to be washed in disinfectant water at 3 to 5°C containing 50 ppm chlorine. This requirement falls under "treatment for elimination of plant and animal pests and disease-causing organisms in the final products, or prohibition of treatment" (section A5). It is not, however, "cold/heat treatment" (A51), "irradiation" (A52) or "fumigation" (A53). After we eliminate the options A51, A52 and A53, we are left with the sole option of coding it under A59.

4.2.3   Only measures actually applied are registered

(a) Measures for potential or hypothetical situations are not registered

Potential or hypothetical measures are not registered in the database. If a legislation only indicates that measures may be imposed in case of certain events, the measures should not be considered as actually applied and will not be registered.

> Example: Food and agricultural products are freely imported, but a regulation says that the "authorities **might** suspend imports or take interim protective measures when products present any risk for public or animal health, as in the case of dangerous disease outbreaks". This is not an actual prohibition/restriction, but a possibility in case of health risks. It is thus not registered.

(b) Measures applied at random are registered

On the other hand, when the legal text states that a random check is imposed, the measure is registered, because it is considered real, even if not all shipments are in fact controlled.

> Example 1: A regulation specifies a list of products that are considered "sensitive" and others "non-sensitive". While all shipments of "sensitive" products undergo a physical inspection, "non-sensitive" products are only checked randomly. Nevertheless, the respective "inspection requirement" (A84 or B84) is registered to apply for both product categories.

> Example 2: in general, when legislation states that an inspection, or any other conformity assessment measure, **may** be applied to ensure that the product complies with the provisions of the regulation, then this conformity assessment is registered in the database.

> It is often the case that a law mentions the possibility for a certain department to implement a conformity assessment – "Ministry of Agriculture **may** test the product" – enabling the government institution in question to issue a specific regulation for its implementation. In this case, the data collector should register the implementing regulation that describes the test.

4.2.4   Indicating whether measures are also applied to products that are produced and sold domestically

Some non-tariff measures only affect traded goods, whereas others may also apply to products that are produced and sold domestically. The variable "also Domestic" should be marked as "Yes", "No" or "Not specified" to indicate whether the measure is equally applied to the domestic market in the "Measure Classification" form of the TRAINS Data Entry Tool. If the measure is also applied to domestic producers selling on the domestic market, "Yes" should be indicated. If the measure only applies to imported or exported goods, "No" should be indicated. In the (rather rare) cases where the regulations do not specify

whether the measure applies equally to domestic and imported/exported goods, "Not specified" should be chosen. The question about the domestic application of measures is particularly interesting for the case of sanitary and phytosanitary measures and technical barriers to trade (chapters A and B).

Measures that are generally applied to imported goods only (the variable "also Domestic" marked as "No") are the following: pre-shipment inspections (chapter C), contingent trade-protective measures (chapter D), quantitative restrictions (chapter E), most price-control measures and additional taxes (codes F1–F6), finance measures (chapter G) and measures affecting competition (chapter H). By contrast, the definition of "internal taxes and charges levied on imports" (code F7) implies that the measure is also applied domestically (the variable "also Domestic" marked as "Yes").

> Example 1: A legislative text states: "The regulations in this part prohibit or restrict the importation of certain plants, plant products and other articles to prevent the introduction and dissemination of plant pests and noxious weeds." For all the respective measures in this part of the regulation it should be indicated that they do not affect domestic products: The variable "also Domestic" should be marked as "No".

> Example 2: A regulation reads: "Raw livestock and poultry carcasses and parts that retain water from post-evisceration processing and that are sold, transported or received in commerce must bear a statement on the label in prominent letters stating the maximum percentage of water that may be retained". In this case, the labelling requirement applies to both imported and domestic products: The variable "also Domestic" should be marked as "Yes".

Furthermore, all export-related measures (chapter P) may apply only to exports (the variable "also Domestic" marked as "No"), but it may happen that some requirements apply to the product when it is imported, traded internally, produced nationally or exported (the variable "also Domestic" should be marked as "Yes").

4.2.5   Comments on specific measures and wording

(a) What is the difference between:

(i)   **- Certification requirement (A83 or B83);**
         - Authorization requirement for SPS/TBT reasons (A14 and B14);
         - Authorization requirement for importers for SPS/TBT reasons (A15 and B15);
         - Non-automatic import licensing (E1).

It is common for words such as certification, authorization, and licence to be used interchangeably in legal texts. The interpretation of each concept for the collection of data on non-tariff measures is provided below.

Certification (A83 or B83) is defined as a technical conformity assessment measure (a sanitary and phytosanitary measure or a technical barrier). Certificates provide proof that an individual shipment complies with specific product characteristics defined by underlying requirements. Certificates can be obtained from public or accredited private technical institutions. They are part of the documentation that a company must show at customs to be allowed to import.

A14 – Authorization requirement for SPS reasons – must be obtained to import certain products and is granted at the discretion of a public authority or under conditions that might not be disclosed. (See section 5, where it is noted that sanitary and phytosanitary measures follow certain objectives, even if there is no associated conformity assessment.)

B14 – Authorization requirement for importing certain products – is similar to A14 in the sense that the importer must obtain authorization, a permit, approval or a licence from a public agency before the importation of its products. This requirement is established to enforce technical regulations or conformity assessment procedures, which are about product characteristics, related processes and production methods that are mandatory. The authority may ask for several conformity-assessment procedures in relation to a given authorization requirement. (See section 5, where it is noted that technical barriers to trade must always be accompanied by conformity assessment to be in line with the WTO agreement on such barriers.)

A15 – Authorization requirement for importers for sanitary and phytosanitary reasons – applies to the importing company rather than a product. Like an authorization for product import (A14), an authorization requirement for importers is granted at the discretion of a public authority or under conditions that might not be disclosed.

B15 – Authorization requirement for importers – also applies to the importing company, but with the purpose of requiring the importers to comply with relevant technical regulations or conformity assessment procedures. To be registered, importers may need to provide further documentation as proof of their compliance with certain requirements from the relevant government agency.

Where the authorization is granted without a conformity assessment or predefined product characteristics or performance requirements for the product, chapter E should be picked instead of sanitary and phytosanitary measures or technical barriers to trade.

Non-automatic import licences (E1) fall under a different category. By definition, licences are quantitative restrictions and can be applied for economic (E11), political (E122) and religious, moral or cultural (E121) reasons, as well as for environmental (E123) and security (E124) reasons or for the protection of public health (E125). Being quantitative restrictions, they are not bound to any conformity assessment with technical regulations, unlike the B14 requirement ("authorization") under chapter B, even if the objectives are sometimes the same in both cases.

(ii)   - Tolerance limit for residues (A21 and B21);

**   - Restricted use of certain substances (A22 and B22).**

A tolerance limit for residues (A21 and B21), often referred to as a maximum residue limit, refers to the presence of contaminants that are not ingredients, such as pesticides. The "restricted use of certain substances" (A22 and B22) targets ingredients and additives that could be harmful or unhealthy if used abundantly, such as colourants in food.

The difference between A21 and A22 is that A21 sets the limit for substances which are not intended ingredients but are used during production, while A22 sets limits on (or prohibits) certain substances which are used as ingredients in foods, feeds and their contact materials.

> Substances limited in products covered by A21 could be fertilizers, pesticides and certain chemicals and metals in food and feed. These are substances no one would like to have in food or feed – only a small amount could be tolerated.

> Substances restricted in products covered by A22 could be additives or sweeteners. These are substances that were added on purpose because they have some sort of beneficial effect, for taste, colour, preservation or something else. Since they could be harmful in large quantities, their use is restricted.

(iii)   - Labelling (A31 and B31);
       - Marking (A32 and B32).

"Labelling" (A31 and B31) refers to information displayed on consumer products as packaged for retail sale, including indications on the packaging box of individual products.

Typical labelling requirements for food and beverage products can include one or more of the followings:

- Name of food/product;

- Country of origin of the product;

- Ingredients;

- Nutritional information;

- English language labelling;

- Food allergens; and

- Any chemicals/food additives used.

"Marking" (A32 and B32) refers to information displayed on the outer transport container useful for logistics handling. They could be word markings (such as 'Fragile', 'Do not stack', 'Handle with care', 'This way up') or pictorial markings/symbols.

(iv)   - Testing (A82 or B82);
       - Inspection (A84 or B84).

"Testing" (A82 or B82) is generally stricter than "inspection" (A84 or B84). Testing involves laboratory tests (for example, for chemical products) and procedures that "use" (test) the product (for machines or tools). Testing or inspection may take place in the exporting or importing country. However, those measures are generally imposed by the importing country as a prerequisite for importation and therefore should be entered in the database as import measures, even when testing is performed in the exporting country.

(v)   - Product identity requirement (B6);
       - Quality/safety/performance requirement (B7).

"Product identity requirement" (B6) is used when the regulation sets the conditions that the product should meet to be denominated by a certain name. If it does not comply with those conditions, the product can still be sold, but under another name.

    Example: A product should have a minimum of 80 per cent orange juice to be called "orange juice". If its content is lower, it may still be imported under the name "fruit drink".

"Product quality, safety or performance requirement" (B7) sets the minimum quality conditions under which the product can be imported.

    Example: These include the specific red colour in tomatoes required for importation, and requirements such as durability, power consumption and size for agricultural products, or sugar content in fruit.

However, "product quality, safety or performance requirement" should not be used if another code better describes the particular requirement.

    Example: A legal text may begin by generally stating that "minimum quality standards have to be met". Later, the precise requirements are defined and, for example, may actually refer to maximum transport temperatures for fresh food products. Thus, the measure should be coded as "storage and transport conditions" (A64).

(vi)   -   Production and post-production process and requirements on final products: A2, A4, A5 and A6

A2 covers requirements on the maximum residue limit or tolerance limit of substances in food and feed. While A2 sets a permissible maximum level for non-microbiological contaminants, A4 covers measures related to microbiological contaminants. A41 and A42 both cover hygienic requirements related to sanitary and phytosanitary conditions – applied either to the final product (A41) or throughout the production process (A42).

A5 covers a set of requirements focusing specifically on the treatment for elimination of plant and animal pests and disease-causing organisms in the final product (or prohibition of such treatment). Codes within A5 should be used only when the regulation clearly mentions treatment or prohibition of treatment. Any type of treatment other than cold or heat treatment, irradiation or fumigation should be coded under A59. Any prohibition on any type of treatment for elimination of plant and animal pests and disease-causing organisms should also be coded under A59.

A6 covers other requirements relating to production or post-production processes which do not fall under A2, A4 or A5.

(b) Misleading words

The use of certain words may confuse the data collector. Legislation may use some words to define legal requirements using common language in a way that does not correspond to the language used in the definition of the classification codes. The following are some examples:

(i)   Prohibition: The wording of regulations may "prohibit" imports if certain requirements are not met. However, if the importer or the product does comply with the requirements, the import is allowed. In this case, the actual requirement is that the import should be registered, which is not a prohibition.

Example: A text may indicate that it is prohibited to import fish containing more than 1 μg per g of mercury. This is not a "prohibitions for SPS reasons" (A11) but a "tolerance limit for residues of or contamination by certain (non-microbiological) substances" (A21).

(ii)   Marking: European Union regulations often mention the European Conformity (CE) marking. Despite its name, the CE marking is a proof of compliance with a certification procedure. It indicates that a product has been assessed by the manufacturer and has been deemed to meet European Union safety, health, and environmental protection requirements.[9] Therefore, it should be coded as "certification requirements" (A83 or B83) instead of "marking requirements" (A32 or B32).

(c) Export-related measures (P)

If a country applies requirements to its own exports, these requirements are to be classified as export-related measures using a code from chapter P (see further note in section 4.1 (a) of these guidelines). Export measures are quite common and are almost as diverse as import-related measures.

Requirements should be coded as export measures only when the measure/regulation explicitly specifies that it applies to exports.

Chapter P covers a wide range of measures, many of which mirror existing requirements from import chapters of the International classification of non-tariff measures. A particularly important section is

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[9] *Source:* CE marking – obtaining the certificate, European Union requirements - Your Europe (europa.eu) - accessed 04 May 2023.

P1 ("SPS- and TBT-related export measures"). It includes all sanitary and phytosanitary measures and technical barriers applied to exports, which correspond to the import-related measures listed in chapters A and B.

As with chapters A and B, no trade prohibition can be coded as a technical barrier to trade, although NTM code P17 allows the recording of export prohibitions for SPS reasons (thus mirroring NTM code A11).

NTM code P12 covers authorization requirements for exporters for sanitary and phytosanitary reasons (thus mirroring A15 and B15).

P13 deals with production and post-production requirements to export, similar to those listed in sections A4, A5, A6 or B4 for imported products. P13 covers:

- Hygienic requirements for sanitary and phytosanitary reasons (see example in A4)
- Treatment for elimination of plant and animal pests and disease-causing organisms in the final products (e.g. post-harvest treatment) or prohibition of treatment (see examples in A5)
- Other sanitary and phytosanitary requirements on production or post-production (see examples in A6)
- Production or post-production processes related to technical barriers (see examples in B4)

When a regulation imposes more than one of the requirements listed in those bullet points, each of the requirements must be registered separately using the code P13.

> Example 1: Exported chicken meat shall be produced in approved poultry processing plants and transported and stored below 5°C. The meat shall go under irradiation treatment before being packed for exportation.

In this example, there are two different requirements: treatment (similar to that of A5), and storage and transport conditions (similar to that of A64). Each of the requirements should be registered as a separate measure but classified under the same code (P13). In this example, P13 will be registered twice.

P14 covers requirements on the quality, safety or performance of exported products, similar to the requirements listed in sections A2, B2 and B7.

Unlike chapters A and B, which list labelling, marking and packaging requirements as separate codes, chapter P regroups all these requirements under P15. If a regulation in the exporting country requires more than one of those requirements, each of them will need to be registered under the same code (P15).

> Example 2: For bottled beer to be exported, the bottles must be labelled in the local language and English. The beer bottles must be packed in a lot of 12 bottles per box, and clear marks that say "Fragile" must be displayed on all sides of the box. Since there is only one code (P15) to capture the labelling, marking and packaging requirements for exported bottled beer, each specific requirement will be recorded separately in the database, as separate measures, with the same code (P15). In this example, P15 will be registered three times.

Though we do not code ordinary import duties/tariffs, we do code export duties/tariffs which are covered by NTM code P42 on Export taxes and duties.

Sections P2 to P9 cover other export requirements outside the scope of technical sanitary and phytosanitary measures.

(d) Systems approach (A13)

This measure is defined to contain several simultaneous requirements. This code should be used only when the designations "systems approach" or "HACCP" (hazard analysis and critical control points) are found in the text of the regulation. Having this measure in the classification helps to classify those specific cases where the country uses this as an approach to the regulation of food and agriculture. Specific requirements should also be recorded under the corresponding code.

(e) Cases when the list of countries affected by a prohibition measure is not available

For temporary prohibitions from regions/countries affected by some disease etc. (e.g. avian influenza), the data coder should try to get the list of countries affected from the government/customs and code it as A11, as the Guidelines for the collection of data on official non-tariff measures 2021 version indicates. For the cases when it is impossible to get such a list, NTM code A19 should be used instead of A11 with the affected countries as World. In this case a note should be included in the measure description indicating that the list of countries currently affected by the measure could not be obtained and should be checked with the government.

(f) What happens if I do not find the code for my measure?

In case of remaining doubts, an email may be sent to ntm@unctad.org for clarification on how to classify the measure. Please refer to section 2.1 (c) on the principle for using "n.e.s." or more disaggregated codes.

4.3 Principles for updating measures

The first time data on non-tariff measures is collected in a country, information describing the current state of all trade-control measures in force at a certain point in time is made available, providing a snapshot of the measures at that point in time. Some of the regulations in place have been issued just before that moment, but others may have been issued many years before and are still in force.

The objective of the update is to have another snapshot of the status of the measures at a later point in time. The two points in time could then be compared.[10]

The principles for updating measures and entering them correctly in the TRAINS Data Entry Tool closely follow the principles of coding measures detailed in section 4.2.

Drawing on the stock of existing regulations of a country's past data on non-tariff measures, the data collector will have to identify which regulations are unchanged and which have been amended or repealed at the time of the update. The data collector may also correct past mistakes and identify new sources of regulations and measures. There are four sources of variation in the data over time:

1. New regulation: The regulation is entirely new and does not change or repeal an already existing regulation;

2. Amended regulation: The regulation is an amendment modifying some information in an already existing regulation. The old measure is otherwise still in force;

3. Repealed regulation: The regulation repeals an existing regulation. There are two cases: a regulation can simply be repealed or revoked, and all the associated measures are not in force anymore, or the

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[10] If the update was done several years later, it could be that some regulations were adopted after the first data collection and revoked before the second. Those regulations would not be included in the updated data.

new regulation repeals an old measure and replaces it with a new regulation. Here, cases one and three are combined;

4. Corrected regulation: The regulation is corrected for its mistakes. This also includes the possibility to add other regulations because they were missed in the previous round of data collection.

When updating measures, the following principles should be followed:

4.3.1 New regulation

When a regulation is entirely new and does not amend any regulation already collected, follow the same process as for collecting the measures for the first time in a country, as described in section 4.2.

4.3.2 Regulation is an amendment

When you encounter an amendment to a previously collected regulation, enter the amended regulation with the TRAINS Data Entry Tool and make corresponding updates to previous entries. The system makes it possible to link the amended regulation to the previously existing regulation that is being amended.

4.3.3 Regulation is no longer in effect

If a regulation is simply no longer in effect, the respective repeal date should be added to the regulation. The regulation will be kept in the system but marked as repealed with clearly indicated implementation and repeal dates.

4.3.4 Regulation needs to be corrected

When erroneous information was recorded in previous projects, the information should be corrected. Incorrect information on regulations or measures collected in previous rounds of data collection may include typos, mistaken codes, incorrectly coded affected products or mistakes in respect of affected countries.

4.3.5 Regulations not recorded in previous data collection

Another type of mistake is entirely missing regulations that were in force at the time of the previous data collection but not recorded. By simply adding the regulation in the new data collection exercise and registering the correct implementation date, the system will automatically and retroactively add the missing regulation to old data sets.

4.4 Development of the International Classification of Non-Tariff Measures

Section 4.2 described in detail how to code measures. All codes used come from the International Classification of Non-Tariff Measures.

The International Classification is a taxonomy of all those measures considered relevant in international trade today. It builds on a previous classification developed by UNCTAD and by several international organizations forming the Multi-Agency Support Team (MAST). The final proposal of the MAST group was revised by UNCTAD and all relevant divisions of the World Trade Organization Secretariat and tested for data collection in the field by the International Trade Centre and UNCTAD. The work resulted in the 2012 version of the publication. The classification is considered an evolving one, adaptable to the reality of international trade and data collection needs.

The MAST group, which discussed and proposed this classification, is composed of the following organizations: the Food and Agriculture Organization of the United Nations, the International Trade Centre, the Organization for Economic Cooperation and Development (OECD), UNCTAD, the United Nations Industrial Development Organization, the World Bank and WTO.

To address the growing complexity of international trade, the MAST group, other experts and government officials refined the 2012 version from 2015 to 2018. The revised version was adopted by all working groups in 2018/19. In March 2019, the Statistical Commission endorsed the classification for data collection across countries and for reporting internationally comparable data on non-tariff measures.

5. Distinguishing between sanitary and phytosanitary measures and technical barriers to trade

The difference between the chapters on sanitary and phytosanitary measures and technical barriers to trade might be elusive in some cases. As a rule, the principles set out in the relevant WTO agreements are respected.

The chapter on sanitary and phytosanitary measures covers all measures to protect human or animal health from food-borne risks, to protect human health from diseases carried by animals or plants and to protect animals and plants from pests or diseases, whether or not these are requirements related to product characteristics or their related processes and production methods.

The chapter on technical barriers to trade covers all technical regulations and conformity assessment procedures not covered by the chapter on sanitary and phytosanitary measures (figure 4). Technical regulation is defined by the WTO Agreement on Technical Barriers to Trade as a mandatory document laying down product characteristics or their related processes and production methods. Governments may introduce technical barriers for legitimate non-SPS objectives, such as national security, the prevention of deceptive practices, the protection of the environment and protection of human health or safety, animal or plant life or health. For a requirement to be considered a technical barrier, it must be a technical requirement or conformity assessment procedure (instituted not for sanitary or phytosanitary reasons) and have a legitimate objective such as one of those stated above. Hence, quantitative measures such as prohibition or quotas would not fall under this chapter, even if they have such a legitimate objective as protection of the environment.

Figure 4. Technical regulations

What is SPS will not be considered TBT
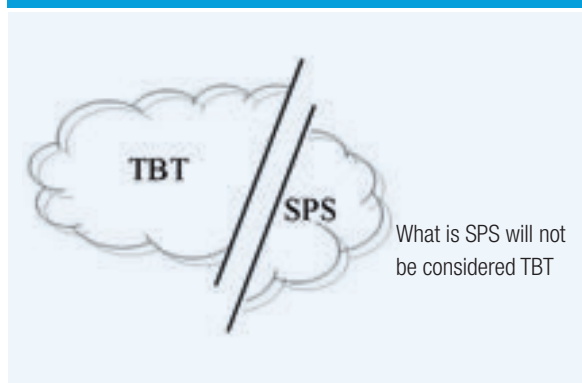
5.1 Sanitary and phytosanitary measures

The WTO Agreement on Sanitary and Phytosanitary Measures covers measures applied in the case of:

- **Food safety**: Food-borne risks to human or animal health, caused, for example, by additives, contaminants, toxins or disease-causing organisms in food, beverages or feed;

- **Diseases**: Risks to human health from animal- or plant-borne diseases, and products thereof;

- **Pests**: Risks to animals or plants from pests (entry, establishment or spread), diseases, and disease-causing and disease-carrying organisms. (The health of animals includes fish and wild fauna. The health of plants includes forests and wild flora.) (See box 3.)

Box 3. Sanitary and phytosanitary measures (examples)
– Requiring animals and animal products to come from disease-free areas;
– Prohibition of poultry from regions infected with highly pathogenic avian influenza;
– Inspection requirements of products for microbiological contaminants;
– Mandating a specific fumigation treatment for products;
– Setting maximum allowable levels of pesticide residues in food;
– Restrictions on additives in food or drink;
– Restrictions on contaminants in food or drink;
– Restrictions on toxic/poisonous substances in food or drink;
– Restrictions on residues of veterinary drugs or pesticides in food or drink;
– Certification requirement for food safety, and animal or plant health;
– Required processing methods with implications for food safety;
– Labelling requirements directly related to food safety;
– Plant and animal quarantine;
– Preventing disease or pests spreading to a country.

5.2 Technical barriers to trade

The WTO Agreement on Technical Barriers to Trade permits the introduction of technical measures to meet a variety of legitimate objectives, including: national security, prevention of deceptive practices, protection of human health or safety (other than from sanitary or phytosanitary risks), protection of animal or plant life or health (other than from sanitary or phytosanitary risks) and protection of the environment, as long as these measures are related to product characteristics or their related processes and production methods. Hence, prohibition and other quantitative restrictions in relation to the above-mentioned objectives do fall not under chapter B but under chapter E. See box 4.
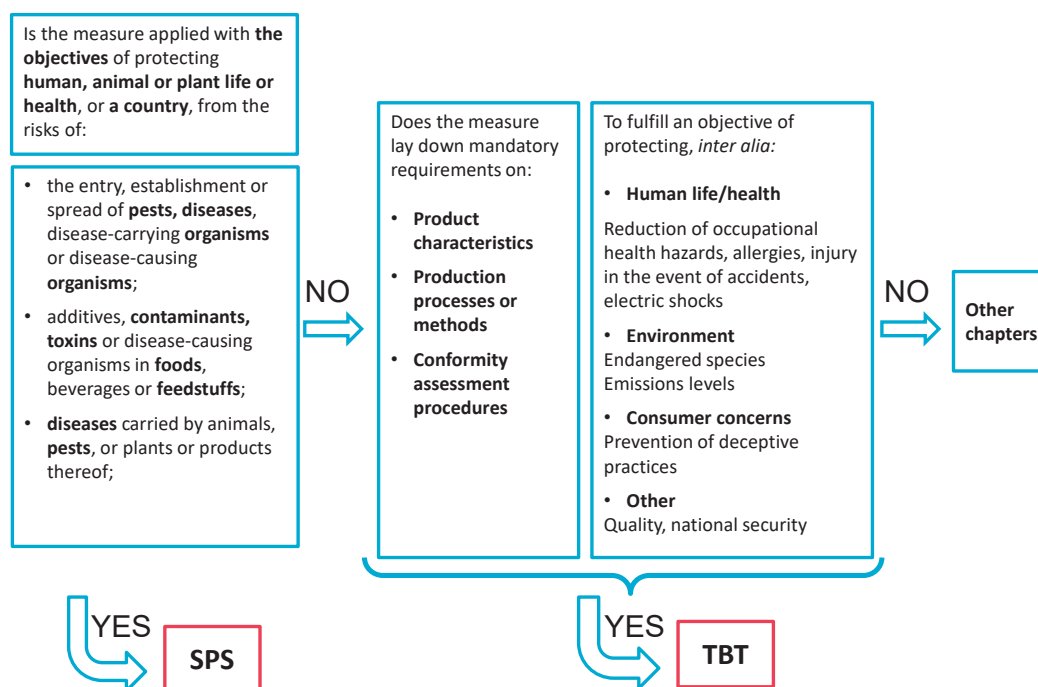
Box 4. Technical barriers to trade (examples)
– Labelling of composition or quality of food, drink and drugs;
– Quality requirements for fresh food;
– Volume, shape and appearance of packaging;
– Packaging and labelling for dangerous chemicals and toxic substances, pesticides and fertilizer;
– Regulations for electrical appliances, cordless telephones, radio equipment and the like, specifying characteristics on the products or performance requirements;
– Textile and garment labelling;
– Testing vehicles and accessories;
– Regulations for ships and ship equipment, specifying characteristics of the products or performance requirements;
– Safety regulations for toys, specifying characteristics of the products or performance requirements.

5.3 No possible overlap

The definitions of the agreements on sanitary and phytosanitary measures and on technical barriers imply that there cannot be overlap between the measures and the technical barriers. Figure 5 provides a simple decision-making diagram on whether a measure falls under the chapter on sanitary and phytosanitary measures or the chapter on technical barriers.

Figure 5. Sanitary and phytosanitary measures and technical barriers (distinctions)

Does the measure serve to protect these factors (human life, animal life, plant life or a country) from these risks?

Source: UNCTAD based on WTO definition of sanitary and phytosanitary measures and technical barriers to trade, available at www.wto.org/english/tratop_e/sps_e/spsund_e.htm (accessed 14 February 2023) and www.wto.org/english/tratop_e/tbt_e/tbt_e.htm (accessed 14 February 2023).

As illustrated, neither the measures nor the technical barriers are defined according to product coverage alone. While most of the measures related to food products are sanitary and phytosanitary measures, it is possible to find technical barriers to trade in food products, too, if the measure does not relate to food safety. Along the same lines, sanitary and phytosanitary measures are mostly on food products, but there could also be such measures on non-food products.

> Example of a technical barrier to trade in food: Labelling on the nutritional content of foods or a certain size for fruits is required. The measure relates to the composition or quality of food, not to health risks or diseases. It is therefore classified as a technical barrier (B31).

> Example of a sanitary and phytosanitary measures concerning non-food product: fumigation requirements on all shipments to control pests hidden in boxes, even for manufactures.

The protection of human health can fall under the sanitary and phytosanitary or the technical barrier category depending on whether the measure relates to food, drinks or feed (sanitary and phytosanitary) or other products (technical barrier).

Examples: Health-related technical barriers include pharmaceutical restrictions and the labelling of cigarettes. Measures related to human disease control fall under the Agreement on Technical Barriers, unless they concern diseases carried by plants or animals (such as rabies). On the other hand, regulations which address microbiological contamination of food, set allowable levels of pesticide or veterinary drug residues or identify permitted food additives, fall under the Agreement on Sanitary and Phytosanitary Measures. If packaging requirements are related to the safety of food, drinks or feed, they are classified as sanitary and phytosanitary measures. Otherwise, they are considered technical barriers.

Although the two agreements do not overlap, a single government regulation may contain both sanitary and phytosanitary measures and technical barriers.

Example: Labelling requirements for food often include both sanitary and phytosanitary measures and technical barriers (A31 and B31). Some of the information that must be included in a label usually pertains to sanitary and phytosanitary measures and some to technical barriers. A food label may include information about calories or salt content, which falls under technical barriers, and allergy warnings, which are sanitary and phytosanitary measures. Unless a labelling regulation precisely states only one or the other, it should be registered as both by default.

5.4 Some difficult cases for sanitary and phytosanitary measures/technical barriers to trade

Food labelling:

- Health warnings on allergies, use, dosage for permitted food with the objective of protecting consumer health → **SPS**

- Regulation on label position, lettering, nutrient content, quality → **TBT**

- Health warnings (with the objective of protecting consumer health) and nutritional value labelling → **both SPS and TBT** (registered as two separate measures)

Fertilizer:

- Fertilizer residue limit in food and animal feed with the objective of protecting human health and animal health → **SPS** (on food and feed products);

- Safe handling instructions to protect farmers from possible harm from handling fertilizer → **TBT** (on fertilizer)

Containers for shipping grain:

- Regulation on fumigation, disinfectant, to prevent disease spreading with the objective of protecting humans/animals/plants from the spread of disease → **SPS**

- Regulation on size, construction/structure, safe handling → **TBT**

Fruit:

- Regulation on treatment of imported fruit to prevent pests spreading with the objective of protecting human/animal health from the spread of pests → **SPS**

- Regulation on quality, grading and labelling of imported fruit → **TBT**

Bottled water – specifications for the bottles:

- Materials that can be used because they are safe for human health with the objective of protecting human health → **SPS**

- Permitted sizes to ensure standard volumes → **TBT**

- Permitted shapes to allow stacking and displaying shapes → **TBT**

Animal welfare:

- Any regulation on how the animals should be raised or slaughtered, only for their benefit, not for any nutritional or safety purposes → **TBT**

Genetically modified organisms (GMOs):

- To protect humans from potentially contaminated/toxic foods, animals from (GMO-related) toxins in the plants they eat, and the like → **SPS**

- Concerns that GMO foods may be less nutritious → **TBT**

- Biodiversity concerns → **TBT**

- Requirement that GMO products that have been determined to present no health risk but nonetheless must be labelled, the labelling requirement also falls under TBT → **TBT**

Toys:

- Although many measures related to toys are meant to protect children's health, it should be assumed that requirements on toys fall not under sanitary and phytosanitary measures but under technical barriers → **TBT**

Cigarettes:

- Tolerance limits of certain chemicals in pharmaceutical products or the labelling of cigarettes are considered technical barriers despite their objectives to protect human health because they do not involve food-borne diseases or diseases carried by plants or animals → **TBT**

6. Selecting the corresponding product codes

6.1. What is the Harmonized System?

The Harmonized Commodity Description and Coding System, generally referred to as the Harmonized System or simply HS, is a multipurpose international product nomenclature developed by the World Customs Organization.[11] It comprises about 5,000 commodity groups, each identified by a six-digit code, arranged in a legal and logical structure, and it is supported by well-defined rules to achieve uniform classification.

The system is used by more than 200 countries and economies as a basis for their customs tariffs and for the collection of international trade statistics. Over 98 per cent of the merchandise in international trade is classified in terms of the Harmonized System.

6.2. How to select product codes

All measures should be matched with Harmonized System product codes. UNCTAD will provide the respective classifications in the TRAINS Data Entry Tool. The tool will record the measures affecting products at the Harmonized System–level (six digits). Often, affected products correspond to more than one Harmonized System code item. A Harmonized System code may be used at the two-, four- or six-digit level only if all tariff lines within the selected code are affected by a measure.

> Example: Harmonized System code 0201 "Meat of bovine animals, fresh or chilled" may be used only if all Harmonized System six-digit products within it (that is, 020110 "Fresh or chilled bovine carcasses and half carcasses", 020120 "Other cuts with bone in" and 020130 "Boneless" are all affected by the measure.

Normally, the regulation does not provide product codes but a description of the product. It may give a general description, which may not correspond to the Harmonized System six-digit code description. Therefore, it is important that the original text describing the affected products be preserved and recorded in the database for checking and updating purposes.

The data collector should register the description of the products affected by the measure in both the original language (the language in which the regulation is written) and English. This facilitates tracking the correspondence between the System codes assigned to the products and the description of the products.

The data collector may also use some product groups that are often found in the trade regulations and that UNCTAD makes available in the TRAINS Data Entry Tool. These groups comprise many System codes, often from different chapters. In order to facilitate the work, UNCTAD has assigned corresponding System codes for those product groups, which can be consulted by clicking on "Select from Product Groups" in the "Affected Products" form in the TRAINS Data Entry Tool. The most frequently used product groups in trade regulations are as follows:

- Agricultural products
- Dangerous chemicals
- Fish products and fresh or chilled fish
- Fishery products
- Food products
- Foodstuffs of non-animal origin

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[11] More information about the Harmonized System is available online at www.wcoomd.org/en/topics/nomenclature/overview/what-is-the-harmonized-system.aspx (accessed 20 February 2023).

- Fresh fruit and vegetables

- Iron and steel products

- Meat products and fresh or chilled meat

- Ozone-depleting products (Montreal Protocol)

- Ozone-depleting substances (Montreal Protocol)

- Poultry meat

- Textile products

- Narcotic drugs and psychotropic substances (Narcotics Convention)

- Endangered species (Convention on International Trade in Endangered Species of Wild Fauna and Flora)

- Chemical weapons (Chemical Weapons Convention)

- Alcoholic beverages

- Hazardous chemicals and pesticides (Rotterdam Convention)

- Persistent organic pollutants (Stockholm Convention)

- Radioactive substances

These product groups are by no means exhaustive, and the list will be expanded as more groups of products are identified.

The data collector can also create their own product groups to facilitate the coding process, in case certain sets of products are mentioned multiple times in the dataset. The data collector will use the option "Create own product group" in the "Affected products" form in the TRAINS Data Entry Tool.

6.3 Tools to identify product codes

UNCTAD provides in the TRAINS Data Entry Tool the product codes and descriptions of the Harmonized System.

The data collector may also use external tools that provide a search option to help identify the correct code/s. One very useful tool is the Eurostat Combined Nomenclature Search Engine:

- Go to https://eurostat.prod.3ceonline.com/

- Search for keywords and specify further details in the online tool in order to identify product codes; the tool is only available in English

- It can be searched by word or browsing

Important note: Use this tool only to identify products down to the six-digit level. Codes with more digits refer to the tariff line level of the European Union, not the country of data collection. For UNCTAD NTM data collection, only the six-digit Harmonized System code will be recorded for the affected products.

6.4 Principles for the use of "partial product coverage"

The products indicated in a regulation are sometimes very specific and the Harmonized System does not always provide the necessary detail to appropriately classify them. In some cases, such details need to be further specified as "partial coverage" of registered product codes. However, the use of partial product coverage should be avoided unless absolutely necessary. The following principles and examples provide guidance.

(a) When to use partial product coverage

(i)   The affected products are more specific than the products defined at the Harmonized System's six-digit level.

Example 1: If a System code defines apples but a measure only affects green apples, the corresponding product codes should be inserted and the indication "partial coverage" should be marked. The reason should be explained in the field that appears to the right of the "partial coverage" indication – for example, "exclusively applied to green apples".

Example 2: A measure affects all textile products except folkloric textiles, but there is no System product code distinguishing folkloric and non-folklore textiles. For the corresponding product codes for textiles, partial coverage should be indicated. The exception should be explained in the field that appears to the right of the "partial coverage" indication – for example, "except folklore textiles".

(ii)   Products may be affected only if they are used for certain purposes. Product codes may be identified, but the measure is applied only if the product has a specific use or application.

Example 1: Plastics that come into contact with food must comply with certain purity requirements. In this case, for the corresponding product codes for plastics, partial coverage should be indicated. The reason should be explained in the field that appears to the right of the "partial coverage" indication – for example, "applied only to materials supposed to be in contact with food".

Example 2: There is an importer registration requirement for hemp seeds not intended for sowing. In this case, for the corresponding product codes for hemp, partial coverage should be indicated. The reason should be given in the field that appears to the right of the indication "partial coverage" – for example, "related exclusively to hemp seeds not intended for sowing".

(b) Do not use "partial product coverage" if product codes that are more highly disaggregated are sufficient descriptors

In many cases, a thorough review of products classified in the Harmonized System will reveal product codes that are specific enough to describe the relevant products without the need to indicate partial product coverage.

Example 1: A regulation requires that soya and cotton seeds used for sowing must undergo laboratory tests to prove that they are free of pests (SPS "testing requirement" A82).

Wrong	Right
❌ It is incorrect to register HS 1201 for soya seeds and specify "partial product coverage" with the indication "used for sowing".	✔ Both soya and cotton seeds have a specific HS six-digit code if they are used for sowing: HS 120110 and 120721. These must be selected with full coverage.

Example 2: A regulation requires that Sesamum seeds used for sowing must undergo laboratory tests to prove that they are free of pests (SPS "testing requirement" A82).

Wrong	Right
✘ It is incorrect to mention the regulation for the whole of HS 120740.	✔ Unlike the above example, there is no distinction of uses at the HS six-digit level with respect to sesamum seeds (HS 120740 – "*Sesamum* seeds, whether or not broken"). Using partial product coverage is necessary in this case.

(c) Avoid using "partial product coverage" with all products, product groups and aggregated Harmonized System product codes (especially at the Harmonized System two-digit level)

In principle, it is not wrong to use partial product coverage with product groups or aggregate Harmonized System product codes. However, it is very likely that at least one of the products at the six-digit level is either not affected at all or is fully affected by the measure. If so, it is not permissible to use the product group or aggregate System code. The affected products must then be registered individually, with the respective correct indication (full coverage or partial coverage).

Example: A regulation affects "fresh edible nuts". All edible nuts are included in HS 0801 (coconuts, Brazil nuts and cashew nuts) and HS 0802 (other nuts).

Wrong	Right
✘ It is incorrect to register HS 0801 and 0802 and indicate "partial product coverage" with the indication "only fresh nuts" for both HS four-digit codes. At the HS six-digit level, not all descriptions refer to "fresh or dried" varieties of the respective nuts. There are products fully covered and others fully excluded.	✔ In the case of HS 0802, it is correct to register the HS four-digit code with "partial product coverage" with the indication "only fresh nuts". Indeed, every product description at the six-digit level within 0802 refers to "fresh or dried". However, for HS 0801 it is different: HS 080112 and 080119 refer only to fresh coconuts and must be fully included without "partial product coverage". HS 080111 refers only to "desiccated coconuts" and must be fully excluded.

(d) Do not confuse the non-tariff measure requirement with partial product coverage

Measures usually define conditions (SPS/TBT requirements, obtaining a licence and the like) under which imports are allowed. However, the wording of regulations is often negative, referring to a prohibition unless certain conditions are fulfilled. This should not be confused with a prohibition of a subset of the respective products, and this subset should not be indicated as partial product coverage. Instead, the adequate code should be selected to define the import conditions. The affected products are accordingly registered without partial product coverage.

> Example: A regulation prohibits the import of refrigerators and freezers that contain chlorofluorocarbons (CFCs).

Wrong	Right
✖ It is incorrect to specify the measure "prohibition for TBT reasons" (B11) with a "partial product coverage" indicating "only those containing CFCs". The word "prohibits" is misleading in this case, as imports are allowed under the specified condition.	✔ This measure should be interpreted as "restricted use of certain substances" (B22), applied to all refrigerators and freezers: Full coverage of HS codes 841810, 841821, 841829, 841830 and 841840.

(e) Group all measures with the same requirement for multiple products

Regulations are sometimes very detailed and list the same (or very similar) requirements multiple times for multiple products. Instead of registering each of them separately, the data collector should group them all in a single measure and list all affected products.

If all the products jointly conform to a product group – for example, at the System's four-digit level – then the group should be selected. Otherwise, they should be registered individually.

> Example 1: A decree sets the maximum level of bacteria allowed in yogurt (code 040310) and the maximum level of bacteria allowed in buttermilk, curdled milk and cream, kephir, other fermented milk, cream (code 040390). These two measures can be registered as one affecting the four-digit HS code (0403) that corresponds to buttermilk, yogurt, kephir etc., flavoured or not.

Wrong	Right
✖ One measure on yogurt (code 040310) with full coverage. A second measure on buttermilk, curdled milk and cream, kephir, other fermented milk, cream (code 040390).	✔ One single measure on "buttermilk, yogurt, kephir etc., flavoured or not" (code 0403) with full coverage.

Example 2: A decree sets the maximum level of bacteria allowed in sweetened yogurt (code 040310) and the maximum level of bacteria allowed in non-sweetened yogurt (code 040310). These two measures can be registered as one affecting the four-digit HS code (0403) that corresponds to buttermilk, yogurt, kephir etc., flavoured or not.

Wrong	Right
✗ One measure on sweetened yogurt (code 040310) with partial coverage, indicating "sweetened". A second measure on non-sweetened yogurt (code 040310) with partical coverage, indicating "non-sweetened".	✓ A single measure on yogurt (code 040310) with full coverage.

6.5 Difficulties in choosing the Harmonized System code for a product

(a) Measures concerning residues or additives

(i)   A "tolerance limit for residues" not allowing more than a certain percentage of a chemical in food should be classified under the food product that contains the restricted chemical, not under the code for the chemical (for example, pesticide).

(ii) If there is a requirement with respect to a "restricted use of certain substances", such as additives in foods, it should be classified under the food code, not under the additives.

(iii) Only in the cases where the restrictions apply directly to the chemical or substance itself, irrespective of its use and not being part of another product, should it be classified under the Harmonized System code for this substance or chemical.

(b) Packaging

The product that should be chosen is the good being packaged. The exception is a regulation on the packaging itself (wood, metal, paper) without any reference to the product being packaged.

7. Registering affected countries

(a) Identifying the countries of origin to which the measure applies

In most cases, non-tariff measures follow the principle of non-discrimination and apply to all countries. "World" is then registered as an affected region in the data.

However, there are exceptions:

(i) Only certain countries are included: If a measure only affects certain countries, only these should be registered. The data collector indicates the affected countries by choosing a country, multiple countries, or a region in the TRAINS Data Entry Tool (in the "Measure" form). This implies that the rest of the world is not affected by the measure. If a list of countries is included in the regulation, this insertion is straightforward. The Tool also allows the data collector to insert the implementation date and repeal date for each selected country if the measure applies with different timelines in certain countries. Should the regulation refer not to a specific list of countries but to certain characteristics or criteria about the affected countries, the relevant domestic authorities should be contacted for clarification.

> Example: A regulation prohibits banana imports from countries where the oriental fruit fly (*Bactrocera/ Dacus dorsalis*) exists. However, the regulation does not contain a list of affected countries. It is therefore necessary to contact the authorities, in this case the Ministry of Agriculture, to obtain a current list of countries to which the measure applies. It is important to inquire with domestic authorities, as they alone can confirm a list that is actually used at the border of the country. The source of the information obtained should then be indicated clearly in the "Notes" field under the "Affected Products" form of the TRAINS Data Entry Tool.

(ii) Some countries are excluded: In the data template, the exempted countries should be selected under "Affected countries" in the TRAINS Data Entry Tool and also registered as "is excluded". This implies that the measure applies to all other countries, except the ones ticked as "is excluded".

> Example 1: Countries of origin that belong to the same regional trade agreement as the importing country may be exempted from certain additional taxes or certification requirements. Another example is the SPS measure "geographical restrictions on eligibility" (A12). Such restrictions are imposed on all countries until a country proves that it complies with certain levels of protection against health hazards. Countries that have proved their eligibility are included in a so-called positive list. This list corresponds to registering the respective countries as "is excluded". Should such a "positive list" not be found in the regulation, the relevant authorities must be contacted for clarification.

> Example 2: When a group of countries is excluded from the measure – for example, non-parties to a certain convention or non-EU European countries, that group should be selected (if it is not already in the list, then the group of members/parties should be created) and "is excluded" should be ticked.

(b) Export-related measures: registering destination countries

Again, in most cases, export-related measures apply to all exports irrespective of the destination country. "World" should then be registered as the affected region.

If the measure only affects certain destination countries, they must be specified by assigning them to the list of countries/regions affected by the measure. If some destinations – for example, as a result of a regional trade agreement – are excluded, they are listed as "is excluded".

Example: Exports of arms to certain countries – for example, Somalia – are prohibited through embargoes ("export prohibition" (P31)). Somalia is registered as the affected country in this case.

(c) When the affected countries are overseas territories

If a measure applies to products from/intended for an overseas territory – for example, Guadeloupe – the data collector should assign the "Affected country" as "Other" and specify the name of the territory in the Note field.

(d) Using regions for a group of countries

UNCTAD has assigned a list of regions commonly referred to in trade regulations for data collectors to assign as affected countries or "excluded" countries. Data collectors can also create their own regions to facilitate the coding process, in case certain groups of countries are mentioned in various measures in the dataset, by utilizing the option "Create own region" in the "Affected Countries" form in the TRAINS Data Entry Tool. Before creating their own regions for a dataset, data collectors need to make sure that such regions do not already exist in the list provided by UNCTAD. To see the list of existing regions, data collectors can go to the 'Metadata' menu, click on 'Reference' and then 'Regions'.

The European Union exists as a 'country' in the TRAINS Data Entry Tool as their measures are gathered collectively, and "World" exists as a region.

8. Registering objectives of sanitary and phytosanitary measures and technical barriers to trade

The objective of a measure should be registered only for sanitary and phytosanitary measures and technical barriers. This includes measures from chapters A and B and from branch P1. For other measures, no objective should be indicated.

As discussed above (section 5), sanitary and phytosanitary measures and technical barriers in particular can have several objectives, as described in the respective WTO agreements. The aim of the collection of data on non-tariff measures is to identify objectives at a more detailed level. The "Objectives" form provides a drop-down list of the relevant objective categories within the field "Objective codes". The data collector should also add the elaboration of the objective from the text of the regulation (if applicable) to the field "Description" within the "Objectives" form.

For each sanitary and phytosanitary measure and technical barriers, one or several objectives may be selected if and only if this objective is stated in the regulation. However, it is very common that regulations do not explicitly indicate an objective. An objective should not be presumed or interpreted if it is not clearly expressed in the regulation. If no objective is stated, "no objective specified" should be indicated in the "Objective codes" field on the form "Objectives" in the TRAINS Data Entry Tool.

If the objective of a sanitary and phytosanitary measure or technical barrier is explicitly specified in the regulation but none of the provided options corresponds, "for purposes n.e.s." should be selected. In this case, the description of the objective should be provided in the Data Entry Tool.

ANNEX 1:
Fields and required information in the TRAINS Data Entry Tool

The TRAINS Data Entry Tool is a real-time collaborative application that comprises non-tariff measures and trade regulations data entry and data validation in a single online data system. The overarching feature of the new online interface is user-friendliness and productivity. The website for the Tool can be accessed at dataentry.trains.unctad.org. Through the website, users will be able to:

(1) Create a user account for data collection and/or data validation.

(2) Register/upload trade regulations and data on non-tariff measures, and maintain existing data through a user-friendly online interface.

(3) Verify quickly and efficiently validate the accuracy of registered NTM data through user-friendly dashboards and a feedback system.

Users of the Tool will be assigned one or multiple specific roles according to their tasks and activities. User responsibilities vary from one role to another:

The role of data collector: (1) Identifies sources for collecting trade regulations. (2) Collects regulations and records all associated regulation-level information. (3) Identifies measures and records all associated measure-level information.

The role of data supervisor: (1) Validates measure-level information for completeness, accuracy and relevance. (2) Conducts overall quality check of data set: – identifies and removes duplicates – Checks whether measures are out of-scope and whether collected data are comprehensive. (3) Indicates readiness to publish the dataset.

The role of Harmonized System coder: Operates at measure level, converting the description provided by the data collector into a list of product codes (HS codes).

The role of HS code supervisor: Validates the measure-level information that refers to the list of product codes (HS codes) for completeness, accuracy and relevance.

These users will ensure the comprehensiveness and accuracy of the following information:

1. Information related to regulations: fields on the form "Regulations"

(Mandatory entries indicated in bold)

Each regulation needs to be identified with the following elements:

(a) This regulation amends (optional, value to be selected from the drop-down list, not entered manually)

The regulation amended by the regulation in question.

(b) This regulation repeals (optional, value to be selected from the drop-down list, not entered manually)

The regulation repealed/replaced by the regulation in question.

(c) **Source** (mandatory, value to be selected from the drop-down list, not entered manually)

Source name as indicated in the source table.

(d) Publication date (optional, select from the calendar)

Date when the regulation is published.

(e) **Language** (mandatory, value to be selected from the drop-down list, not entered manually)

The chosen language of the data set – for example, English.

(f) **Original language** (mandatory, value to be selected from the drop-down list, not entered manually)

The original language of the regulation.

(g) **Regulatory Agencies** (mandatory, text value)

Public authority responsible.

(h) Regulation Symbol (optional, text value)

Symbol attached to the regulation which serves as a unique identifier.

(i) Publication Symbol (optional, text value)

Symbol attached to the publication of the regulation which serves as a unique identifier.

(j) **Regulation Implementation date** (mandatory, date value)

Date when the regulation came into force.

(k) Country imposing (optional, value to be selected from the drop-down list, not entered manually)

The country which imposes the regulation.

(l) Regulation Repeal Date (optional, date value, after the Regulation Implementation Date)

If the regulation is no longer in force, date of repeal.

(m) Regulation, Official Title in English (mandatory, text value)

Title of the regulation as it appears in the document. There are two fields, one for the official title in the chosen language of the database (for example, English) and the other for the original language of the regulation title (optional).

(n) **Regulation Description** in English (mandatory, text value)

Short description of the regulation. When the regulation is available in electronic format, its full text can be copied/pasted into this field. There are two fields – one for the official title in the chosen language of the database (for example, English) and the other for the original language of the regulation title (optional).

(o) **Documentation** (mandatory, files to be uploaded)

When the regulation is available in electronic format, the files containing the regulations can be uploaded.

(p) Regulation Links (optional, text value)

When a direct link to the regulation itself is available, the website address can be entered here.

(q) Notes (optional, text value)

Optional additional notes for internal use. This information is not shown as part of the data available to the public.

(r) Additional information on product description (optional, text value)

If the regulation lists the products to be subjected to its requirements, this information can be registered in this field.

(s) Additional information on countries affected (by the regulation) (optional, text value)

If the regulation lists the countries to be subjected to its requirements, this information can be registered in this field.

(t) Categories on the objective of the regulation (optional, value to be chosen)

If the regulation mentions its objectives (SPS/TBT), the data collector could choose one of the two indicators.

(u) Categories on the requirements of the regulation (optional, value to be chosen)

If the regulation states its requirements on import license/quota/prohibition/export license/trade remedy, the data collector could choose one of those indicators.

(v) Applicability (optional)

The data collector could indicate whether the regulation affects import or export.

(w) Objective and justification other than sanitary or phytosanitary (optional)

If the data collector has selected "TBT" under Categories as the objective of the regulation, he or she could elaborate on the reason of the regulation in this field.

2. Information related to measures: fields on the form "Measures"

(Mandatory entries indicated in bold)

Each measure must be linked to a regulation. Each measure must be identified with the following elements:

(a) **Lead regulation** (mandatory, value to be selected from the drop-down list, not entered manually)

Regulation name from the list of regulations registered in the database.

(b) Supporting Regulations (optional, value to be selected from the drop-down list, not entered manually)

If the measure comes from one regulation but is supported by other regulations, the other regulations could be indicated in this field.

(c) **Measure Description in English** (mandatory, text value)

Description of the measure in the regulation. There are two fields – one for the official title in the chosen language of the database (for example, English) and the other for the regulation title in the original language (optional).

(d)   **NTM Code** (mandatory, value to be selected from the drop-down list, not entered manually)

NTM code associated with the requirement, following the International Classification of Non-Tariff Measures.

(e)   **Measure Implementation Date** (mandatory, select from calendar)

The date when the measure came into force. Usually, it is the same as the regulation implementation date.

(f)   Measure Repeal Date (optional, date value, after the regulation implementation date)

If the measure is no longer in force, date of repeal.

(g)   Also domestic (optional, three values to choose from: Yes, No, Not Specified)

The data collector can specify whether the measure also applies to products that are produced and sold domestically.

(h)   **Location(s) in the Regulation** (reference) (mandatory, text value)

Reference to specific place in the regulation that refers to the respective measure (for example, articles, paragraphs or pages in regulation).

(i)   Affected Countries Description (optional, text value)

Description of affected countries/regions as stated in the regulation.

(j)   Countries/Regions (mandatory, value to be selected from the drop-down list, not entered manually)

Names of countries/regions affected by the measure.

(k)   Measure objectives (optional, text value)

Reason for the measure, only when specifically stated in the text of the regulation.

(l)   Objective codes (mandatory, value to be selected from the drop-down list, not entered manually)

The objective of the measure can be registered, as specifically stated in the text of the regulation. Otherwise, "No objective specified" can be selected.

(m)   Affected Products Description (optional, text value)

Description of affected products as stated in the regulation, in English and in the original language.

This field is to be complemented by a list of Harmonized System codes to be assigned to the selected products.

(n)   **Measure Affected Products**

-   Search by product code/name in the "Find and select products" field, select HS codes, and click "Assign HS codes" to enter selected HS code(s) under the "MeasureAffectedProducts" field; or

-   Click "Show HS Product tree", select product code(s) from the HS product tree and click "Assign HS codes" to enter selected HS code(s) under the "MeasureAffectedProducts" field; or

-   Click "Select from Product groups", select product groups and click "Assign HS codes" to enter the groups under the "MeasureAffectedProduct" field;

(o) Supporting files for affected products (optional, files to be uploaded)

When additional files containing information related to the affected products are available in electronic format, the files can be uploaded.

(p) Notes (optional, text value)

Additional notes for internal use. This information is not shown as part of the data available to the public.

(q) Only in Free Trade Zone (optional, two values: Yes (ticked), and No (unticked))

This field is to be left blank (unticked), as the database contains only national-level measures. It should only be marked/ticked (indicating a value of "Yes") in case the measure affects only a free trade zone, and in case UNCTAD specifies the necessity of collecting those measures for a specific dataset.

For more information on entering data in the TRAINS Data Entry Tool, please refer to the User Manual for Using TRAINS Data Entry Tool, which is available on the TRAINS Data Entry Tool website.

ANNEX 2:

TRAINS Data Entry Tool – a brief guide

1. Introduction to the website

TRAINS is a real-time collaborative application that encompasses the entry, validation, and dissemination of data on trade regulations and non-tariff measures (NTMs) into a single online data system. The central features of the new online interface are user-friendliness and productivity. The newly developed TRAINS Data Entry Tool (https://trainsdataentry.unctad.org/) serves as an interface for data entry and validation. Published data can be easily accessed by the public on the TRAINS Portal (https://trainsonline.unctad.org/).

Data entry
Users can register new regulations/NTMs data and maintain existing data through a user-friendly online interface. Moreover, the website can integrate data provided by other partner organizations.

Data validation
Users can quickly and efficiently verify the accuracy and correctness of registered NTM codes through user-friendly online dashboards and a circular revision system.

Data dissemination
Public users across the globe can access NTMs data easily and benefit from efficient search queries, data compilation, and data retrieval. They can also download customized search results.

2. Different user roles

The TRAINS Data Entry Tool assigns role-based access control to different types of users. This enables fine-grained control over user permissions and responsibilities, both for internal and external users. Only registered and approved users of the online tool have access to the website.

The following four different user roles are available on the TRAINS Data Entry Tool and will interact with each other to conduct the data collection and validation work.

Data collector
Responsibilities: 1) Identify sources for collecting trade regulations. 2) Collect regulations and record all associated regulation-level information. 3) Identify measures (NTMs) and record all associated measure-level information.

Data collection supervisor
Responsibilities: 1) Validate measure-level information for completeness, correctness, and relevance. 2) Conduct overall dataset quality checks: - Identify and remove duplicates - Check whether measures are out of scope - Check if the regulations and measures collected are comprehensive. 3) Give green light to publish the dataset.

HS coder
Responsibilities: Operating at measure level, be responsible for the conversion of the Affected Product Description free text into a list of Product Codes (HS Codes).

HS code supervisor

Responsibilities: Validate the part of the measure-level information that refers to the list of product codes (HS Codes) for completeness, correctness, and relevance.

3. Data collection and validation process flow

Each user role will follow the process described below to perform their tasks in TRAINS.

Data collector

1) Identify sources for data collection. 2) Collect trade regulations. 3) Register/insert relevant regulation- and measure-level (NTMs codes) information into online forms.

Data collection supervisor

Validate the correctness and accuracy of registered/inserted measure-level information.

HS coder

Operating at measure-level, convert product descriptions into HS codes.

HS code supervisor

Validate the correctness and accuracy of the HS code assigned to product descriptions by the HS coder.

Once this process is completed, the data is ready for publication.

Throughout this process, users are in constant communication and receive feedback through a built-in online feedback messaging system.

4. Step-by-step guide for various user roles

4.1. Data collector

4.1.1. Data collection (for the first time)

Step 1: Log in to https://trainsdataentry.unctad.org/ using your credentials.

Step 2: Go to the My Data page (from the navigation menu). Here you can see all datasets that are assigned to your role, as well as their status (Data collection, Submit for publication, Published, Data processing, Data update, and Archived). You can only collect data for datasets that are in the "Data collection" or "Data update" state.

Step 3: To start registering regulations for a dataset, click on "View regulations" for that dataset (*i.e.* data collection in Canada). You will then be directed to the List of Regulations page where you can create new regulations or edit/view all existing regulations registered for a specific dataset.

Step 4: Create a new regulation by clicking on "+New regulation". You will land on the "Regulation form" where you can upload collected regulations and register all relevant regulation-level information. If you have any questions for the data collection supervisor, you can leave a message in the feedback chat area (messages will be sent to the data collection supervisor via email).

All * marked fields are mandatory and must be filled out in order to save the regulation as complete.

Fields under the Additional Information section correspond to the fields required by WTO notifications (both SPS and TBT). If you fill out these areas, you will have the option of downloading all information entered at the regulation-level directly into a WTO notification form (available in word) by clicking on the "Download information into WTO notification forms" button at the end of the regulation form.

If you have entered all information requested on the regulation form, you can save the completed regulation by clicking "Save as complete". If you want to save draft work and resume later, you can save the draft by hitting "Save".

At the bottom of every regulation form, users have the option of duplicating that regulation (along with all measures created under it) for the purpose of simplifying the process of data entry (in case a set of similar regulations with minor variations have to be registered).

Step 5: Once you save the regulation as "complete", you will be redirected to the List of Regulations page where you can view the entry you have just created. If you would like to modify any information or review the regulation in more detail, you can click on "Open". You can add more regulations by clicking on "+ New Regulation" or start to add measures for existing regulations by clicking on "Measures". Please note, you can only add measures for existing regulations. Moreover, measures created under one regulation cannot be linked to a different regulation (*i.e.* measure A created under regulation A cannot be linked to regulation B. The "lead regulation" field of the measure form cannot be changed).

Step 6: By clicking on "Measures" you will land on the List of Measures page where you can create new measures under a specific regulation by clicking on "+New measure".

Step 7: Fill out the measure form with all required * measure-level information (all sections except the selection of HS codes for Affected Products). If you have any questions for the data collection supervisor, you can leave a message in the feedback chat area (messages will be sent to the data collection supervisor). Once all required areas are filled, click on "Save" to save the information and then click on "Submit for measure validation" so the measure is sent to the data collection supervisor for validation.

If you need to duplicate measure-level information, you can click on the "Duplicate" button at the end of the measure form (the button only appears when the measure is in the "Open for measure coding" state) and all entered information will be copied to a new measure. Please make the relevant changes and hit on "save".

Step 8: If the data collection supervisor sees any mistakes that need correction from you, the data supervisor will send the measure back to you for revision. You will find measures that need revision from you in the Information Center page under the "Measures" tab. The red text "Pending Feedback" under the "Feedback" column means that the data supervisor has left a message for you. You can revise the measure by clicking on "Open" for that measure and reviewing the message.

An alternative way to find measures that need revision is to go to "My Data" → "Dataset…." → "Regulation…..". You can revise a measure by clicking on "Open" for that measure.

Step 9: Go to the measure form and revise it according to the data collection supervisor's suggestions. You can leave messages and explain/make clarifications to the data collection supervisor in the feedback chat area. Once all issues are resolved click on "Save" and "Submit for measure validation" for the data collection supervisor to review the measure. If the supervisor accepts the revision and considers the measure complete, he/she will validate the measure.

Step 10: Repeat steps 1-7 (or 9), until you have registered all regulations and measures for the dataset you have been assigned to. If the data collection supervisor has validated all measures, then your task is complete!

4.1.2. Data update

Updating NTM data makes it possible to capture the changes that regulations and their measures undergo over time in a given country. The TRAINS Data Entry Tool will keep track of the regulations and measures before and after updates.

Step 1: Log in to https://trainsdataentry.unctad.org/ using your credentials.

Step 2: Go to the My Data page (from the navigation menu). Here you will see all datasets that are assigned to your role, as well as their status (Data Collection, Submit for Publication, Published, Data Processing, Data Update and Archived). The datasets that require an update will have the status "Data update".

Step 3: Drawing from the stock of existing regulations of a country's past NTM data collection (*i.e.* Canada in this example), you will have to identify which regulations are unchanged, or have been amended or repealed at the time of the data update. Moreover, you can also correct past mistakes and identify new sources of regulations and measures.

This leaves you with four sources of variation of NTM data over time:

    a.   New regulation: the regulation is entirely new and does not change nor repeal an already existing regulation;

    b.   Amended regulation: the regulation is an amendment modifying an already existing regulation;

    c.   Repealed regulation: the regulation is repealing an already existing regulation;

    d.   Corrected regulation: the regulation is corrected for mistakes in the previous round of data collection.

a. New regulation
When a regulation is entirely new and does not amend any regulation already collected, you should follow the same process as for collecting measures for the first time, which is described in Section 4.1.1 (steps 3-10).

b. Amended regulation
Step 1: You should click on the button "+ New Regulation".

Step 2: You should link the amendment to the original regulation by selecting the original regulation from the "This Regulation amends" list.

Step 3: You should fill out the information of the amendment regulation and click on "Save as complete". Please note that only regulations with all measures in either the "Approved" or "Published" state can be selected from the list. If a regulation does not satisfy either of those two requirements, the regulation title will be greyed out.

Step 4: You will see in the List of Regulations page both 1) the regulation that has been amended (*i.e.* regulation on importing tobacco) and 2) the amendment regulation (*i.e.* amendment to the regulation on importing tobacco). If there are new measures imposed by the amendment regulation, you should click on the "Measures" button for that regulation and enter the new measures by following steps 5-10 from Section 4.1.1

If you would like to make changes to the measures linked to the original regulation, be it repeals, changes to measure description, affected products etc., you should click on "Measures" for that regulation and you will be redirected to the List of Measures page. There are two different scenarios:

i)   No changes to the measure

In this case, please do not make any changes to the existing measure, just leave it as it is.

ii)   Measure-level information needs to change

In this case, you should go to the measure and make the necessary changes directly. Afterwards, hit the "Save" button and submit the measure for validation.

c. Repealed regulation

If a regulation is repealed by another regulation, you should link the regulation imposing repeals to the original regulation by clicking on the "+New regulation" button.

Next, select the regulation that has been repealed from the "This Regulation repeals" dropdown menu and enter the corresponding information and click on "Save as complete" when completed. Please note that only regulations with all measures in the "Approved" or "Published" state can be selected from the list. If a regulation does not satisfy either of these two requirements, the regulation title will be greyed out.

Open the original regulation and add its repeal date, then click on "Save as complete". If you then click on "Measures" you will see on the List of Measures page that all measures under that regulation are automatically repealed.

d. Incorrect regulations

If there are mistakes in the data entry for regulations or measures collected during previous rounds of data collection (*i.e.* typo, wrong NTM code entered, wrong affected products, wrong affected countries, among others), you can make changes to the regulations and measures by directly opening the incorrect entries and correcting them. Afterwards, simply click on the "Save as complete" for regulations and "Save" for measures to save the correct information.

Continue adding new regulations, editing amended/repealed/incorrect regulations until you have finished the data updates for the dataset you have been assigned to. If the data collection supervisor has validated all measures, then your task is complete.

4.2. Data collection supervisor

Please note: data collection supervisors can perform all the actions of data collectors as well.

Step 1: Log in to https://trainsdataentry.unctad.org/ using your credentials.

Step 2: Go to the My Data page (from the navigation menu). Here you can see all datasets that are assigned to your role. View the regulations entered for a dataset by clicking on "View regulations" (*i.e.* data collection in Canada).

Step 3: You do not need to validate any regulations, as only the measures under regulations need to be validated. Nevertheless, you should go through the List of Regulations page to check for the comprehensiveness of the collection. You can view regulations by clicking on "Open" for that regulation.

If you have any questions or suggestions for revisions of a regulation, please leave a message in the feedback chat area. Your messages will be sent to the data collector, who is expected to answer/revise accordingly. By ticking the "Require feedback" box, your message(s) will be flagged and the data collector will know this requires his/her priority attention.

Step 4: To review and validate measures registered by data collectors, there are two approaches:

Approach 1

Continuing from step 3, click on "Measures" to view the measures registered under a regulation.

You will be directed to the List of Measures page. Here you will find all measures under this regulation which require you to validate them. View each individual measure by clicking on "Open" for that measure.

If the measure registered is correct and accurate, click on "Validate measure". The measure is then sent to the HS coder.

 * Once you have opened a measure and reviewed it, the button "Open" will change its colour to green. If you have reviewed all measures under a regulation, the "View measure" button of that regulation will also turn green. This colouring system is to facilitate the data review work.

If you consider there to be mistakes, leave your comments in the feedback chat area and click on "Request revision of measure". The measure is then sent back to the data collector for revision/clarification.

Approach 2

Go to the Information Center page (from the navigation menu) and click on the "Measure" tab to view all measures you need to validate.

Click on "Open" to review a measure. You can then validate the measure by clicking on "Validate measure" or request a revision by clicking on "Request revision of measure" while leaving a message/request in the feedback chat area.

Step 5: Repeat steps 1-4 for all regulations and measures collected and registered under this dataset.

Step 6: Once all validated measures have been sent to the HS coder and their work has been validated by the HS code supervisor, the measures will be marked as "Approved" on your List of Measures page. You have the final responsibility of checking for the comprehensiveness of the data collection, removing any duplicated entry, and checking if all registered measures are within the scope of the data collection. If you consider the dataset complete, go to the List of Datasets page under My Data Feedback chat area 29 (from the navigation menu) and click on "Ready for publication" to send the dataset to admin for data dissemination on the https://trainsonline.unctad.org/ website.

4.3. HS coder

Step 1: Log in to https://trainsdataentry.unctad.org/ using your credentials.

Step 2: You can find the measures that require HS coding using one of two approaches:

Approach 1

Go to the My Data page (from the navigation menu). Here you can see all the datasets that are assigned to your role, as well as their status (Data collection, Submit for publication, Published, Data processing, and Archived). View the regulations entered for a dataset by clicking on "View regulations".

You will be directed to the List of Regulations page, click on "Measures" to view the measures registered for a regulation.

Click on "Open" to review a measure and conduct the HS coding work.

Approach 2

Go to the Information Center page (from the navigation menu). You will see all measures that require HS coding from you. Click on "Open" for a measure to conduct your work.

Step 3: Once you "Open" a measure and land on the measure form, scroll down to the end of the page and convert the Affected Products Description into HS codes. Before starting with the HS coding, you should first select the HS version from the dropdown menu. Then, you can start HS coding by either searching for the product(s) in the "Search by Product name/Product…" area and clicking on "Assign HS codes" for the ones you have selected, or you can choose directly from the "Show HS product tree" or "Select from product groups".

At any time, you can communicate with/ask the HS code supervisor questions through the feedback chat area, and the HS code supervisor will receive your message(s).

Once you have completed the HS coding for a measure, click on "Save" and "Submit for products validation" to send it to the HS code supervisor for validation.

Step 4: If the HS code supervisor sees any mistakes that need correction from you, the supervisor will send the measure (products) back to you for revision.

You will find measures that need revision from you in the Information Center page. The red text "Pending feedback" under the "Feedback" column means that the HS code supervisor has left a message for you.

You can revise products by clicking on "Open" for the measure that contains the product and reviewing the message(s).

An alternative way to find measures that need revision is to go to "My Data" → "Dataset…." → "Regulation….. → "Measure…". You can revise products by clicking on "Open" for the measure that contains the product.

Step 5: Go to the measure form and revise it according to the HS code supervisor's suggestions. You can leave messages and explain/make clarifications for the supervisor in the feedback chat area.

Once all issues are resolved click on "Save" and "Submit for products validation". The HS code supervisor will review the products. If the supervisor accepts the revision and considers the products under the measure complete, he/she will validate the products.

Step 6: Repeat steps 1-4 (or 5), until you have converted all Affected Products Descriptions to HS codes for the measures (datasets) you have been assigned to. If the HS code supervisor has validated all products, then your task is complete!

4.4. HS code supervisor

Please note: HS code supervisors can perform all the actions of an HS coder as well.

Step 1: Log in to https://trainsdataentry.unctad.org/ using your credentials.

Step 2: You can find products (entered for measures) that require validation using one of two approaches:

Approach 1

Go to the My Data page (from the navigation menu). Here you can see all datasets that are assigned to your role. View the regulations entered for a dataset by clicking on "View regulations".

You will be directed to the List of Regulations page. Click on "Measures" to view the measures registered for a regulation.

You will then be directed to the List of Measures page. Here you will find all measures under a regulation which you need to validate products from. You can view individual measures by clicking on "Open" for that measure or you can click on "Show all measures" to see all measures for the datasets you are assigned to.

If the products coded are correct and accurate, click on "Validate products". The measure is then sent to the data collection supervisor for final approval.

If you consider there to be mistakes, leave your comments in the feedback chat area and click on "Request revision of products". The measure is then sent back to the HS coder for revision/clarification.

Approach 2

Go to the Information Center page (from the navigation menu).

Click on "Open" to review the products under a measure. You can then validate the products by clicking on "Validate products" or request revisions by clicking on "Request revision of products", while leaving a message/request in the feedback chat area.

Step 5: Repeat steps 1-2 for all products coded (under measures) and registered under this dataset.

Step 6: Once you have validated all products coded (under measures) and got final approval from the data collection supervisor, your tasks are considered complete!

5. Other important functions

5.1. Manage sources

Both data collectors and data collection supervisors can manage (edit/delete) the sources entered in the regulation form by going to Admin → Data → Sources (from the navigation menu)

5.2. Manage agencies

Both data collectors and data collection supervisors can manage (edit/delete) the agencies entered in the regulation form by going to Admin → Data → Agencies (from the navigation menu).

5.3. Manage regions

Both data collectors and data collection supervisors can create their own user-specific country groups (*i.e.* all countries in Africa except for Togo) on the measures form. To edit or delete user-specific country groups, users should go to Admin → Reference → Regions (from the navigation menu). Users can easily edit existing groups by clicking the "Open" button. Please note, however, that the edited content will not be reflected in existing measures that use the country group.

5.4. Manage product groups

Both HS coders and HS code supervisors can create their own user specific product groups (*i.e.* agricultural products that are genetically modified) on the measures form. To edit or delete user specific product groups, users should go to Admin → Reference → Product groups (from the navigation menu). Users can easily edit existing groups by clicking the "Open" button. Please note, however, that the edited content will not be reflected in existing measures that use the product group.

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