9. Human Resource Management & Leadership

9.1. Introduction to Human Resource Management

General introduction

The soft S's (skills, style, staff and shared values) are very important aspects of an organization – as stated in the "Strategic management" chapter of the CB Development Compendium (in the section on the 7 S's Model). A growing sense of the importance of human factors led in the latter half of the past century to the development of Human Resource Management (HRM) as an explicit discipline. After the introduction of the term HRM in 1965, Human Resource Management actually started to come of age in the 1980s. Nowadays, HRM is well developed and fully accepted worldwide as a standard management discipline in medium-sized and large organizations, such as Customs Administrations.

The way HRM is implemented and used by Customs Administrations can vary enormously, especially with regard to the importance of the role that HRM plays in the organization. Furthermore, there will be differences in the manner in which Administrations use the various elements of HRM. Overall, it can be stated that the key to a successful and efficient organization is to create coherence between the soft and hard S's of the 7 S's Model.

Many different perspectives and definitions of Human Resource Management can be found in the literature and are used by practitioners. In order to be able to work effectively on the topic of HRM, one needs to make sense of this 'HRM chaos'. The WCO Capacity Building Compendium adopts the following HRM definition:

"Human Resource Management is about people. It is about guiding employees in such a way that they are willing and able to use their knowledge, skills and focus in the best possible way to serve the goals of the Customs administration".

As is the case elsewhere, the Compendium will provide both theoretic models and descriptions, complemented by best practices from Customs Administrations worldwide.

A selection has been made of 'major' HRM topics, and this is presented in the model below.

The strategic role of HRM

As is true of many other topics in this Compendium, HRM should be given a strategic role within Customs Administrations, and therefore be an integral part of strategic management. This implies that:

1. In all strategic choices, the impact on human factors (the soft S's) is taken into account – and vice versa.
2. The global drivers of Human Resource Management in the organization are determined at the strategic level. This implies the existence of an HRM system with strategic as well as operational components.

Strategic HRM roughly defines the focus of the operational HRM policy and instruments. For example, if one of the goals of Strategic HRM is 'a more flexible deployment of personnel', the various HRM instruments must aim at that goal. This could result in aiming for flexible people when recruiting and selecting new staff, and in setting up job rotation systems. Another strategic focus for many Customs Administrations nowadays is to move from a physical process to an administrative process. These developments require a change of culture. A change of culture starts with recruitment, selection and induction of staff; staff appraisal and development are important tools to use with current staff.

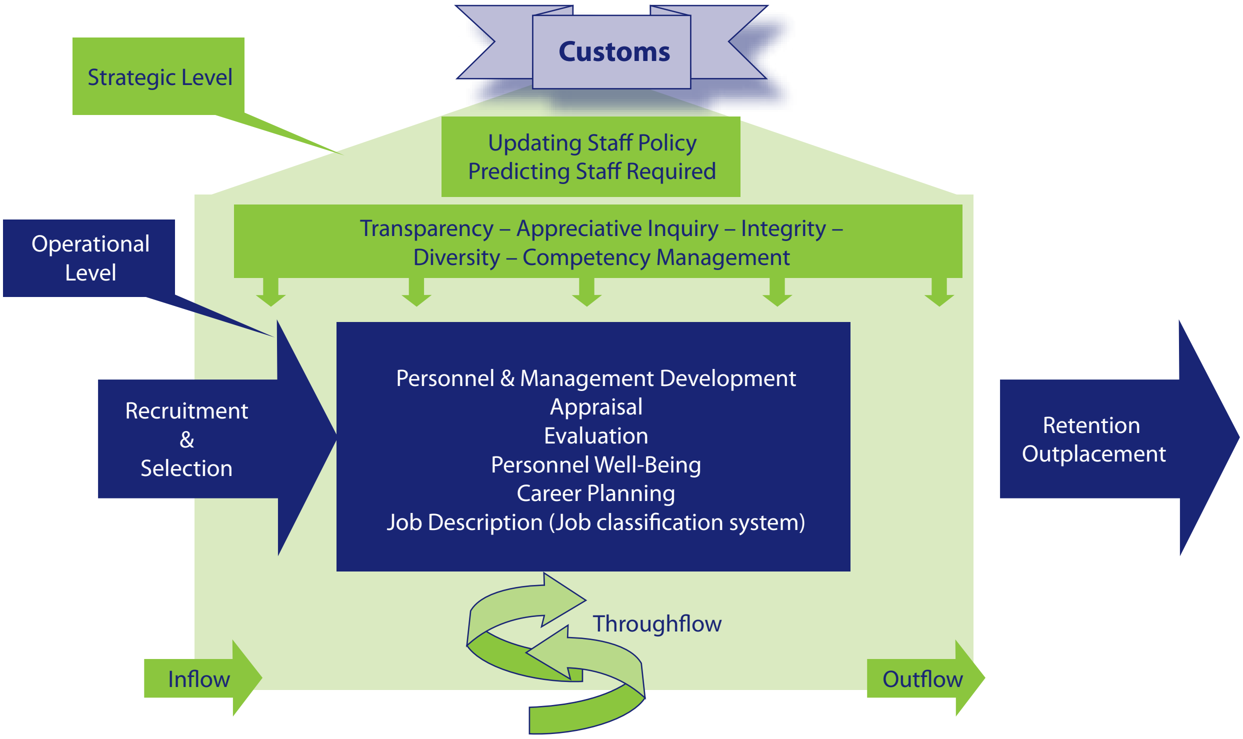
HRM: Line management or Personnel Department responsibility

It is management which is mainly responsible for achieving the general objectives and for safeguarding the continuation of the Customs organization. The calibre of the Human Resources Unit and social relations are of vital importance for achieving these goals. This makes HRM of strategic importance to the long-term success of the organization. This implies that line management is the main party responsible for HRM within the organization. The role of the Personnel Department is mainly about the provision of advice and about execution (operational).

Other HRM sections

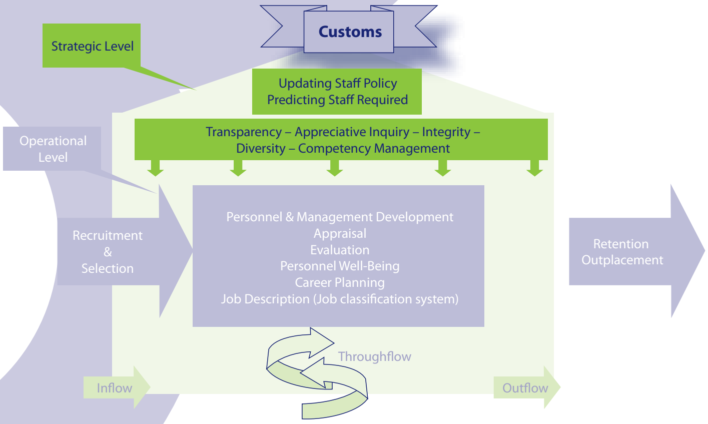
The HRM model described above will be dealt with in more detail in the sections below. The first theme deals with several important *overall strategic HRM principles*. These strategic HRM principles influence the various HRM instruments at the operational level.

Following on from this section on strategic HRM themes, the operational HRM instruments (as shown in the model) will be applied chronologically: first, the HRM tools required for staff joining Customs Administrations (*inflow*), then, the HRM tools required to direct and guide employees while employed by the organization (*through flow*) and until they leave (*outflow*).



The HRM Model of the WCO Capacity Building Compendium

9.2. Strategic HRM principles



The HRM principles

In this Compendium, the following strategic HRM principles are used and described:

- Transparency
- Appreciative Inquiry
- The learning organization
- Integrity
- Management of competencies
- Diversity

These principles can be considered as overall themes or characteristics that indicate how HRM is being used within the organization. They serve as guidelines and become visible in the actual HRM tools. In this section, all the strategic HRM principles are discussed, while in the subsequent sections, the operational HRM tools are discussed.

Transparency

Transparency is important for every organization and, in particular, for governmental organizations such as Customs Administrations. Transparency means being clear about your intentions and objectives; being clear about what you aim at, how you intend to achieve this and what the effects are. The aim of transparency is to gain confidence. The more open the organization is vis-à-vis its environment, the more the environment can trust the organization to act in an ethical manner. When an organization is not transparent, the environment can become mistrustful of it. Transparency is important for internal organizational purposes too. By being clear about its objectives and actions, the organization indicates it is open to discussion with its environment. This openness may result in a better understanding of the market, and can be used as a basis for continuous innovation. Transparency is important for all parts of the organization, including HRM. When using the various HRM tools, the organization should strive for transparency. For example, job applicants should be made aware of the selection procedures and next steps. Another example is that an employee should receive a document with topics for discussion before an appraisal interview, in order to better prepare for the discussion.

Appreciative Inquiry

Appreciative Inquiry (AI) was originally developed as a method of change management. The method involves participants focusing on organizational qualities, successes and opportunities. In contrast to the usual approach of focusing on problems, weaknesses and impossibilities, this method provides a completely different energy which is dynamic and positive. Moreover, extensive research shows that AI is by far the most effective method for obtaining results.
In this Compendium, the AI method is viewed as a method with a specific type of perspective. It is a way of approaching and working with people and the organization whereby mainly the strong points are discovered so that these can be used for future plans.

The principles of AI can be found in many HRM tools. In the appraisal interview, for example, it would mean that managers primarily focus on the strengths of the employee in order to develop these further. This does not mean that weak points, especially critical ones, are being ignored. It simply suggests that a focus on the strong points is beneficial for both the employee and the organization.

The learning organization

The characteristic of a learning organization is that it adapts to a changing environment. Adaptation not only requires learning new skills, but also a major effort in abandoning old routines. A learning organization constantly reorganizes itself in order to reach the intended objectives. It is important that the organization is given the freedom to do so by its management. In a learning organization, management plays a supportive and guiding role. In a learning organization, people are constantly trying to improve their capabilities (learning) in order to achieve what is really needed. In a learning organization, fresh ideas and ambitions are encouraged. The overall picture is constantly kept in mind. The extent to which an organization succeeds in learning is highly dependent on its organizational culture:

- A healthy tension between autonomy and authority – being able to guide or to be guided – is paramount.
- One of the characteristics of a learning organization is how it deals with mistakes. Too much attention on monitoring can lead to a fear of making mistakes. This is at odds with learning, which is about making mistakes.
- Learning is about creating knowledge. A learning organization is an organization in which employees share knowledge and learn as a corporate body.

Integrity

The public must be able to trust government. Without trust, the democratic constitutional State cannot exist. The public expects to be treated with respect. This means that government should maintain a high standard of integrity. A breach of integrity could undermine the government's authority. An organization whose objective is to maintain law and order, such as Customs, has specific responsibilities in this regard. Furthermore, Customs holds a monopoly position: dissatisfied members of the public cannot choose to go to another organization.
In addition to this, integrity plays a part in promoting compliance. This means that Customs' integrity contributes to the willingness of taxpayers to co-operate in the efficient and proper collection of taxes.
Integrity is a question of professional responsibility. An integrity policy should aim at enhancing the integrity both of employees and of the organizational context in which they work.
For many decisions and activities within Customs Administrations, one can clearly point out what behaviour is right and what behaviour is wrong. However, on many occasions, it is not a matter of black or white. In such cases, the employee is responsible for his/her integrity and must decide what conduct is appropriate. This can be hard at times, but transparency and communication with colleagues are essential. By explaining to each other how a decision is made, the decision can be tested: what is the opinion of my colleagues about this? Have I overlooked something? Does this fit in with Customs?
It is Customs' responsibility and role to support employees in their professional duties. The first thing to do is to set an example and to ensure that management actively promotes integrity. In addition, Customs should make sure that its employees are sufficiently trained and equipped for their jobs, and that working conditions and the working environment contribute to maintaining integrity.

For more information on the topic of integrity, please refer to the WCO Integrity Development Guide.

Management of competencies

The individual employee is quite important for the performance of Customs tasks. How do you, as a manager, clearly indicate what you want, and how do you, as an employee, clearly indicate what you actually do and what you want to do in the future? This means that employees' behaviour must be described and objectified as much as possible. This calls for a common language. For this purpose, a language of competencies, as described in the Dictionary of Competencies (DC) (Annex 25), may be used. When we talk of competencies, we refer to knowledge, skills, attitude and behaviour. Competencies are personal characteristics and skills used to achieve the desired result. This is about behaviour actually shown and not just about a person's intentions or

about the skills which are available to them but remain unused. Thus, an employee's described competencies are those which the employee demonstrates in his/her actual behavior.
In order to achieve these results, specific competencies are needed for each field of responsibility, each job and each role. Determining, assessing and developing the required competencies will lead to results-oriented action.

Diversity

Dealing with and managing diversity is important, both in the relationship between employers and employees, and in the relationship between taxpayers and government.
A diversity policy is a set of measures aimed at the recruitment, retention and mobility of target groups which (with reference to the various grades) remain under-represented in the workforce. Diversity includes the following:

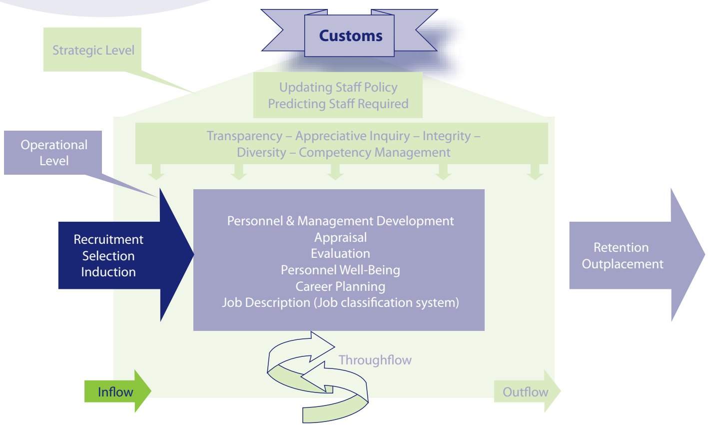
- ethnicity,
- gender,
- Age.

A well-considered diversity policy attracts and/or retains specific groups in the organization. The pursuit of diversity is not an end in itself, but a means of contributing to an optimally operating organization. Specific groups should not be promoted because they are different, but primarily because of their professional contribution to the organization.
The ultimate objective is that:

- The organization remains in touch with society. A way to do this is to ensure that our workforce reflects society, thereby enabling us to have sufficient knowledge of the environment we operate in;
- Employees are optimally deployed and enabled when performing their tasks, with their diversity and background used in a positive manner;
- A good position is achieved and maintained, in a job market that is characterized by diversity.

Organizations that value diversity put an active effort into getting and keeping a varied workforce and teach their employees and managers to work within that context. The idea behind managing diversity is to use the differences between people to create a productive environment where everyone feels valued, and where talents are fully developed and help the organization achieve better results.

9.3. Recruitment, selection and induction



Recruitment, selection and induction

When an organization needs clarity on the type of employees or competencies it currently needs and those it will need in the near future, it is advisable to have solid staffing policies which respond to these needs. Recruiting and retaining the right employees or competencies can be done in various ways. A decision can be made to develop the competencies of current staff or – should that take too much time or be otherwise impossible – to recruit the required competencies from the labour market. This document emphasizes the latter option.

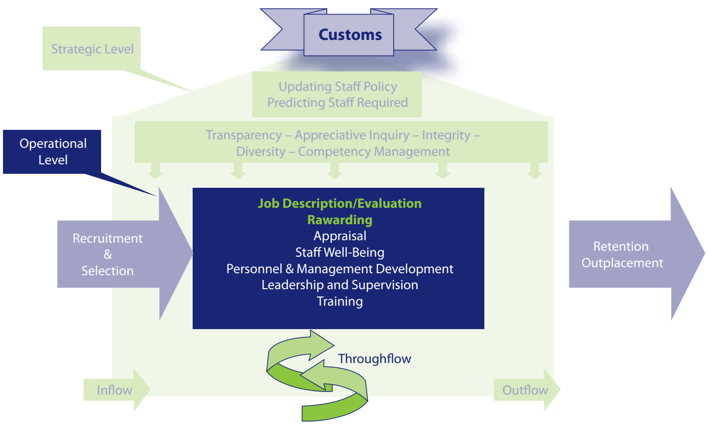
It is not obvious how to recruit, select and induct a new employee. The primary concern is to make sure that new staff is actually needed and, if so, the recruitment options which should be considered. *The Recruitment, selection and induction checklist (Annex 1) might be very useful and also refers to a number of other Annexes for further information.*

A properly functioning recruitment system offers the opportunity to select the right people for the right job. The purpose is to provide Customs Administrations with the required competencies, taking into consideration both short-term and long-term planning. Because recruiting new staff often involves large investment, it is important that the candidate fits into the organization not only now, but also in the future. On most occasions it is not easy to predict how a new employee will develop over time. However, some practical recruitment tools can be used to deal with such unpredictability. A set of tools is presented in the following pages.

Where to find staff

- First, give your own staff the opportunity to apply for the job. Publish the vacancy, for instance, in your in-house magazine. In-house recruitment promotes mobility and flexibility. See also the *Job application form for internal candidates (Annex 7).*
- Advertise the post in a newspaper or professional magazine. Decide on which papers and magazines are read by your target group. Options: professional magazines, regional/national newspapers, specific job vacancy papers, school newspapers, etc.
- Use agencies for temporary personnel or selection of personnel.

9.4. Job description and job evaluation



The job classification system

The organization should be structured in such a way as to achieve the optimal performance of tasks so that the targets, results and impacts set for the organization can be achieved as efficiently and effectively as possible. An important element of the organizational design is the job classification system; this is the coherent system of jobs that are required in order for all the tasks to be performed properly.
It is important to have a good description of this part of the internal organization. The following items are included:

- Job description
- Job evaluation
- Job classification system and staff establishment
- Organizational design (organization chart)

Job description

A job description is a written account of the contents of a specific job. A job is the composite of tasks assigned to an employee by the competent manager, i.e. the tasks an employee has to carry out.
It is best to write a job description in general terms. If the descriptions are general in character, this enables the Customs Administration to limit their number. The basic idea behind a system of job descriptions is to create a logical order and overview of all existing jobs and tasks in the organization and to combine this with a reward system. If the individual job descriptions are written down in excessive detail, this leads to too many and one creates a "jungle" of job descriptions which is unmanageable. Furthermore, when a job description is overly detailed and an employee switches tasks, the job description also needs to be altered. More general job descriptions provide more opportunities and more flexibility for (slight) alterations of tasks. The basic principle for drafting job descriptions is therefore to create general descriptions when possible, and specific descriptions only if the nature of the tasks makes this necessary. However, care should be taken not to make the descriptions so general that they fail to be distinctive enough.

The purpose of a job description includes the following:

1. To establish the salary grade for the job (see also National best practice in the Finnish Customs Service, Annex 28);
2. To act as a reference for assessing employee performance (see also the chapter "Appraisal");
3. To determine the need or desire for development and career planning;
4. In the context of organizational changes: to help decide whether a particular job will again be part of the new organization and/or will be made to fit the organization;
5. To act as an instrument for recruitment and selection (see also the chapter "Recruitment and Selection").

The use of the *Job description checklist (Annex 4)* will be very useful for drafting the descriptions.
Annex 19 contains a Job description case study which can be used as a template when deciding how to write a job description.

When a job description has been defined, it is advisable to regularly check the specified content against what the job actually involves in daily practice. A good time to review any developments is during the appraisal and job evaluation interviews. In this way, the content of the job description is checked yearly for accuracy so that it reflects the tasks actually performed. Should the job evolve in a way which is regarded as desirable by both parties, and to such an extent that the specified job content needs to be adjusted, the job description may be rewritten so that it fits with the actual tasks carried out.

The WCO PICARD Programme developed common standards targeted at the professionalism of Customs. The standards are being used by the academic world to develop educational programmes which provide professional qualifications for Customs staff to BA and MBA level. Though designed to meet academic requirements, the standards for strategic and operational Customs managers in the WCO publication "PICARD Professional Standards" can, with minor adjustments, also be used as the basis for job descriptions for Customs recruitment to deliver well-balanced management teams.

The "PICARD Professional Standards" can be accessed at the following link:
http://www.wcoomd.org/home_wco_topics_cboverviewboxes_programmes_cbpicardoverview.htm

All existing jobs in the Customs Administration are laid down in a job classification system (see below) and must be described and assessed.

Job evaluation

The employee receives remuneration (salary) which depends on the importance of the job and the tasks actually assigned. The scope of the job is determined by job evaluation. In general, job evaluation is carried out by an HRM professional in consultation with the (line) management. Job evaluation is a procedure to rate jobs in your organization. This is done on the basis of agreed job descriptions. The following elements of the job description are important:

- Job content
- Required level
- Work relations

When (several) jobs in the organization have been evaluated, these jobs may be used as standard jobs for the rating of other jobs. This helps to develop a job evaluation system.

In order to increase the flexibility of your organization, to create possibilities for employee self-development, and to ensure that the reward system remains orderly, transparent and manageable, you might group the jobs in your organization into "individual" or "cluster" jobs (see also *National best practice in Dutch Customs on clustering jobs* (Annex 20).

Job classification system and staff establishment

A job classification system contains all the jobs in an organization.
The job classification system and the personnel budget lead to staff establishment. The staff establishment contains the number of employees per job.

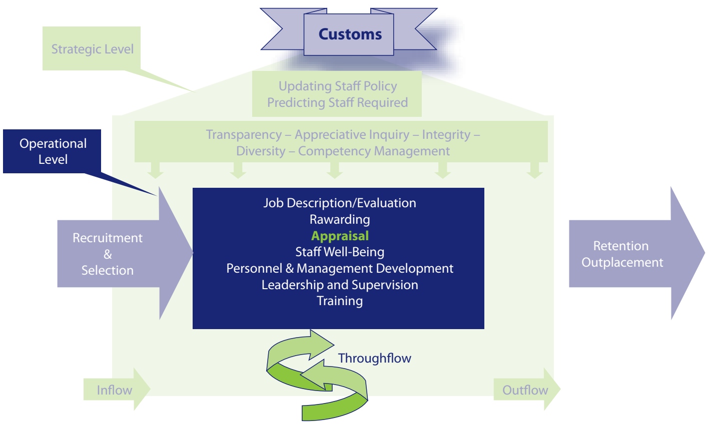
In order to achieve a better understanding of the jobs, their aims and interconnections, a more extensive staff establishment report may be drawn up, containing:

- The organizational structure, illustrated by means of an organization chart in which the hierarchical and functional structure of the organization is clearly defined;
- The aim of the organization (significance, raison d'être and operations). The objectives may be subdivided;
- The activities carried out by the organization to achieve its objectives, making a distinction between tasks that directly contribute to the primary processes of the organization (i.e. which focus on the realization of its aims) and the tasks that are important for the way the organization operates or that support its primary processes;
- The relations between the organization's internal units and external organizations;
- General information necessary for a good understanding of, and insight into, the organization. For instance, such information could specify the facts or conditions which determine the nature of the work climate in the organization (such as special conditions under which the work has to be done).

Organization chart

An organization chart provides a visual image of the hierarchy, jobs/job groups and relationships within a Customs Administration. Although it provides only a general snapshot at a given moment in time, it does give a very quick overview of the specific way that the jobs are organized and linked together. The *Model organization chart* in *Annex 18* gives an example of how an organization chart is structured.

9.5. The appraisal process



The appraisal process

This process includes the appraisal interview and the job evaluation interview. These are both important tools for staff development and career planning, as well as for setting the direction for achieving the required organizational results and effects. As such, the two types of interview are of great value to both employees and employers. They are instruments for the manager and the employee to discuss development opportunities in relation to Customs' goals. During the interviews, an assessment should be made of how the development of competencies has contributed (or should contribute) to better results, as the achievement of corporate goals should always be the starting point for the development of competencies.

In order to focus the interviews on the achievement of objectives, it is necessary to use clearly defined objectives that can be divided into operational goals at the individual level. Managers should become skilled in working with these goals so that there is a clear relationship between the latter and employee performance. Managers could therefore be offered training to enhance their appraisal interview skills.

The appraisal process has four key elements:

1) *Goals and results:*
   Measurable, clear goals are a condition for having employees who achieve measurable results;
2) *Employee's level of responsibility:*
   To be able to take proper action in response to positive or negative feedback, employees must have the proper authority and responsibility needed for their tasks;
3) *Drive:*
   In order to understand why a person wants to achieve a set of goals, it is necessary to discuss what makes that person perform optimally;
4) *Personal development:*
   Willingness to learn and develop personal skills is a very important prerequisite for improving work performance.

Usually, one or two job evaluation interviews are held during the year, followed by an appraisal interview at the end of the year. It is important to ensure that all these interviews are conducted at regular intervals.
Furthermore, it is important to keep a record of the interview, summarizing the latter and including its outcomes and goals, in the employee's personal file. All the documents recorded should be signed by both the manager and the employee. The interviews are key to reviewing improvements in employee performance over longer periods of time. In the case of employees who cannot meet the requirements, the personal file is of great importance, since it constitutes a fairly objective record of employee performance.

Job evaluation interviews

During the year, job evaluation interviews are held between the manager and employee in order to monitor employee performance. If necessary, agreement can be reached about the support or training needed in order to achieve the intended results. Besides this, future career opportunities and career aspirations can be discussed. In fact, anything influencing the performance of the employee can form the subject of discussion. It is important that both the manager and the employee properly prepare for the interview, since both parties benefit from a thorough and clear discussion of the employee's performance and development.

The *Job Evaluation Form (Annex 21)* can be used to prepare for the job evaluation interview.

The interviews are conducted to make clear to the employee where he stands and to offer him the opportunity to improve his performance during the period before the next interview. They also offer the opportunity for the employee to address matters that are important for his performance.

A record of the *Job Evaluation Form (Annex 21)* can also be kept in the personal file.

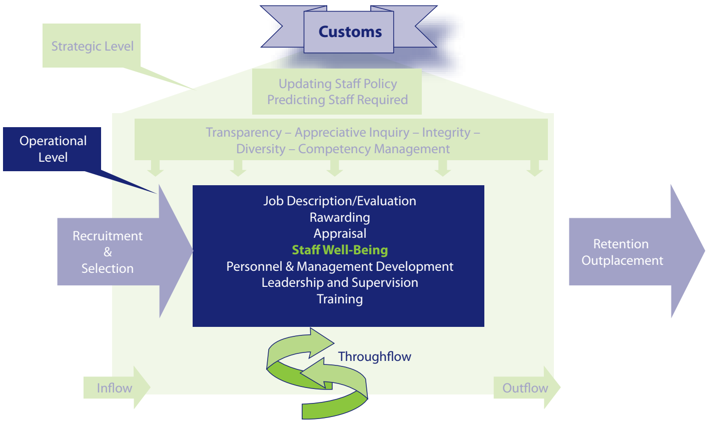
The appraisal interview

An appraisal interview is used to look back on a specific period and to make arrangements for the coming period. The appraisal interview usually does not take much time, since any important matters over the past period have probably already been discussed during the progress discussions between manager and employee. However, the manager in particular should prepare for the appraisal carefully. For the employee, much depends on the interview (salary increase, promotion, etc.). This in itself is an indication that the manager is the one who does most of the talking (in contrast to the progress discussions that take place during the assessment period). The manager has to judge the quality of the work and the extent to which the employee has reached the agreed targets. To enhance the effectiveness of the appraisal interview, managers can use the *Appraisal interview checklist (Annex 22)* when preparing for the assessment. When the appraisal interview is over, they can use the *Appraisal Form (Annex 23)* to record what has been agreed.

Dictionary of Competencies

The interviews are used to look at employee behaviour when performing daily tasks. The assessor can use the *Dictionary of Competencies (DC) (Annex 25)* to determine which competencies are reflected in that behaviour. Studying the descriptions of the various competencies at the beginning of the appraisal period will help to determine in advance the issues which merit special attention. Examples of behaviour help to provide the proper feedback. The DC helps an employee to see what behaviour is expected. The employee is able, using the job profile, conversations with his manager and the practical examples in the DC, to establish which type of behaviour is desired and which is not. The DC can be of specific use in supporting the performance and development of the employee.

9.6. Staff well-being



Staff well-being

This area considers the following three topics:

1. Equal labour rights
2. Safe working environment
3. Dealing with harassment

In this chapter, these will be discussed in greater detail.

One important remark should be made in advance. Equal labour rights, a safe working environment and dealing with harassment are all vital and basic elements for providing a safe and pleasant working environment. The way these subjects are discussed in this Compendium is directly linked to international standards set by organizations such as the United Nations and the WCO. Although, in practice, the specific implementation of these elements depends heavily on the legal framework of the home country, Customs Administrations can play a leading role in this area: they can constantly strive to enhance the conditions in their organizations that improve staff well-being and, in doing so, set a good example to other organizations and society.

Equal labour rights

Labour rights or workers' rights are a group of legal rights and claimed human rights which relate to labour relations between employees and employers. In general, these rights are about payment, benefits and safe working conditions. Key issues are:

- Everyone has the right to work, to free choice of type of employment, to fair and favorable work conditions and to protection against unemployment.
- Everyone without exception has the right to equal pay for the same work.
- Everyone who works has the right to just and favorable remuneration, ensuring for himself and his family an existence worthy of human dignity, and supplemented, if necessary, by other means of social protection.
- Everyone has the right to form and to join trade unions for the protection of his interests.
- Everyone has the right to rest and leisure, including reasonable limitation of working hours and periodic holidays with pay.

The ILO (International Labour Organization) and several other groups have adopted international labour standards to establish legal rights for workers across the world. Recent efforts have also been made to encourage countries to promote labour rights at the international level through fair trade.

Safe working environment

In a healthy and safe working environment, employees run no unnecessary physical or mental risks.
In the office, for instance, this means: a properly adjusted chair and desk, a properly positioned computer monitor, and a balanced workload. If the employee works on a construction site, on the road or at sea, he should have access to personal means of protection, know how to use them, and be clearly notified about unsafe areas. A safe and healthy workplace also means the employee not being exposed to violence. Violence can be verbal, physical or mental (threats, intimidation) or take the form of sexual harassment. If this is hard to avoid, the employer should take steps to reduce the risks as much as possible.

The employer ensures that the employee is able to perform his tasks without running avoidable risks. Such risks can be both physical and mental. For instance, an employee is at mental risk when the work pressure is too high or when he is being bullied. The employer makes an inventory of the risks and describes the measures needed to avoid or, at least, limit them.

The employee can contribute to this too – not least by following the employer's guidelines. When an employee is given personal means of protection, these should be used. Furthermore, the employee can contribute by taking part in training on health and safety in the workplace. An employee can report unsafe situations to the employer. As soon as an employee encounters aggression, violence or other undesirable conduct, they should report this immediately to the manager. An employee should also immediately report physical or mental complaints arising from his work. A solution can be found jointly with the manager, or the service responsible for working conditions can be requested to do a workplace inventory.

The employer makes personal means of protection available to the employee if health and safety risks cannot otherwise be avoided. Personal means of protection is the gear an employee carries or uses to protect him at work (for instance, earplugs if the employee works in noisy conditions). Naturally, the use of personal means of protection is in the interest of the employee.

An employee may suffer from complaints in the shoulders, neck and arms when working with a computer. It is very important that the workplace is set up properly. Pay attention to:

- the arrangement of the furniture
- the positioning of the monitor and the monitor itself (reflection and readability)
- lights and blinds
- posture
- Work atmosphere, the number of tasks assigned and control of work pressure.

Dealing with harassment

Improper conduct is behavior towards others that is not common to an ordinary (amicable) relationship. Examples include:

1. Discrimination
2. Sexual harassment
3. Bullying
4. Threats, aggression and violence.

Gossiping and spreading rumors are also examples of unwanted conduct. What is experienced as undesirable conduct may vary: what some may think of as just a joke will be offensive to others. The employer's task is to pursue a policy to prevent and avoid undesirable conduct.

Discrimination

Discrimination means making offensive remarks, or giving (potential) employees an advantage/disadvantage, based on:

1. race
2. creed
3. skin color
4. descent
5. nationality or ethnic origin
6. gender
7. sexual orientation.

Indirect remarks can also be offensive. This type of behavior often negatively influences the employee's performance and the work atmosphere within the organization.
Furthermore, Customs Administrations should strive to judge (potential) employees on their competencies and not on specific characteristics which are not relevant to the task.

Sexual harassment

Sexual harassment consists of:

1 unsolicited sexual approach
2 requests for sexual favors
3 other verbal, nonverbal or physical sexual behaviors at work.

Examples are touching, or sexual jokes and remarks. This type of behavior often affects an employee's performance and leads to an intimidating, unpleasant or completely hostile work atmosphere. This may lead to stress and even to calling in sick.

Bullying

In contrast to innocent teasing, bullying is aimed at hurting or harming someone. An example is hiding a colleague's tools so that they cannot meet production demands. Recent types of bullying are cyber bullying and publishing (edited) images or videos on the internet. Bullying is often anonymous and done sneakily. This often causes extra stress for the victim. Anyone could fall victim to bullying.

Threats, aggression and violence

Threats, aggression and violence can occur internally (in the organization) and externally (outside the organization).
Sometimes, conversations or contacts with clients become threatening, aggressive or violent. This is very disagreeable for the employee involved. Being confronted with aggression or violence is no fun. A situation may be laughed about later on but, at the time, the employee should be on his guard. It is necessary to maintain behavior which is as correct as possible in order to avoid an escalation of the situation. For instance, this could mean remaining polite and composed, not getting bogged down in discussion, or being clear about what you can and cannot do to solve a problem. However, aggression and violent incidents cannot be avoided at all times. Customs, too, sometimes has to deal with clients who use aggression or violence to put (a high degree of) pressure on a Customs officer. For instance, this could involve putting pressure on the officer in order to speak to someone immediately, to avoid making payment or to reverse other decisions. This takes place in every society and, of course, is encountered by Customs also – especially as it deals so closely with fraud. In major fraud cases, aggression and violence come

to the surface sooner. Sometimes, an individual will pull out all the stops to put pressure on a Customs officer. One should not forget, either, about aggression at the counter.

Some types of threat, aggression and violence are more apparent than others. Incidents in which employees are held at gun-point, taken hostage or fall victim to vandalism stand out more than others. For a good understanding of threats, aggression and violence, it is important to know that these can take many shapes, all of which can be equally offensive. Examples are:

- physical violence: hitting, kicking, pinching, beating, groping, spitting, scratching, taking hostage, wrecking furniture or personal possessions;
- mental violence: provoking, bullying, irritating, bothering, nagging, tormenting, threatening with retaliation and pressurizing;
- verbal violence: cursing, screaming, abusing, threatening to attack;
- sexual violence: blatantly staring at body parts, touching buttocks or breasts, sexually assaulting, raping;
- indirect violence: violence against family members or threatening to commit such violence.

Of course, each type of violence has many variations. No two incidents are the same. Nor does everyone experience violence in the same way. What one person perceives as 'noisy muttering', may be intimidating to another. Perception of violence can be the subject of discussion, but can never be up for discussion. However, certain incidents will be perceived by everyone as equally threatening. In these incidents, 'instrumental aggression' is often used. This is aggression which is used to get something done or to safeguard personal interests. From practice, it is known that certain taxpayers know how to put pressure on others ways which do not involve being aggressive. However, this can have the same far-reaching consequences as the abovementioned types of aggression and violence.

What actions can employers and employees take?

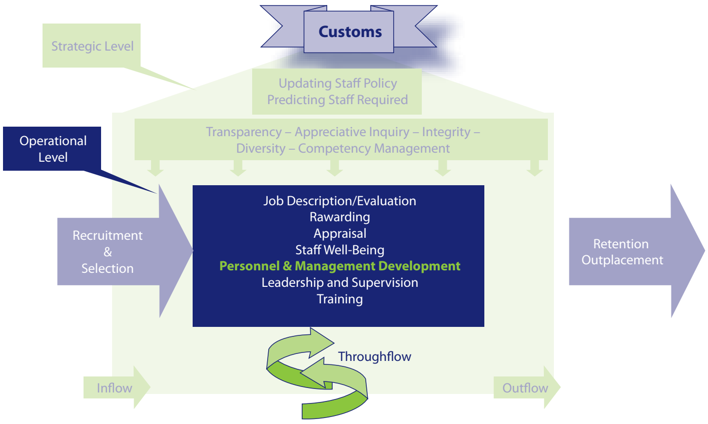
It is desirable for the employer to formulate a policy on preventing undesirable conduct by employees. The policy could include:

- Prevention:
  Unwanted conduct can be prevented by discussing the subject, the work environment, standards and values, and the workplace setup;
- Information:
  Providing good information about the subject and about Customs policy in this area, including information about the confidential work counselor and about the complaints procedure regarding undesirable conduct (including the complaints committee);
- Confidential counselors:
  Anyone who experiences undesirable conduct can turn to a specially appointed confidential counselor. The latter's tasks are described in the Complaints Procedure on Undesirable Conduct;
- Sanctions:
  Measures such as a warning, a negative entry in personal records or a transfer when someone demonstrates undesirable conduct. These can be both preventive and corrective.

The employer can take preventive measures against threats, violence and aggression by refusing to provide personal details of employees to third parties, taking material precautions and training employees on how to deal with aggression or violence. A condition is that these measures be taken seriously by both management and staff. If an incident takes place, a procedure is launched to ensure that the victim is cared for, including follow-up care. For example, psychological care can be offered. It is advisable that each organizational unit have a manual for dealing with aggression or violence. Another possibility is for the employer to set up a team providing a victim support service. The team would support employees who had, for instance, suffered threats, aggression or violence.

An employee could be clear about which type of conduct is acceptable and which is not; he/she could talk to the colleague concerned about his conduct or file a complaint with his superiors. But if he/she is unhappy doing that, other possibilities exist, such as contacting a confidential counselor. In some cases, the employee might report the incident to the police. He/she should be aware; however, that bringing a false charge also constitutes a type of undesirable conduct.

9.7. Personnel development, career planning and Management Development



Personnel development and career planning

Personnel development

In order to keep up with the constantly changing demands of its surroundings and stakeholders, Customs Administrations need to permanently enhance their standard of professionalism in-house. They need to ensure that personnel development (their human capital) is a permanent and stable factor within their organization; it goes hand in hand with organizational development.

Personnel development is fundamental to organizational development. However, it also plays an important role in personnel motivation and engagement. Practice shows that personnel motivation is only marginally influenced by financial reward, as long as employees are not being paid less than the market rate. The factors that most influence motivation and engagement are being able to make concrete contributions to organizational developments, and having opportunities for personal and career growth. Personnel development serves both these goals.
More highly motivated employees are worth more to the organization because they provide higher quality and quantity and tend to be committed to the organization more firmly and for longer periods.

Career planning

A specific form of personnel development, besides that provided through a variety of training and educational programmes, involves switching between jobs or tasks. This could be seen as practical capacity building. When an employee switches to new tasks, this calls for new behaviors and new competencies. For Customs Administrations, it may also be very useful to stimulate career switches: horizontal career moves broaden the perspectives and capacities of the employee, and bring fresh viewpoints and energy to the job itself. In addition to this, stimulation of vertical career moves results in new leaders permanently being developed. This is of great importance because, like every big enterprise, Customs Administrations permanently have to deal with the outflow of high-quality leaders and staff.

Personal Development Plan

A good instrument to stimulate and regulate both personnel development and career planning is the Personal Development Plan (PDP). A PDP is an agreement between the Customs Administration and the employee about his/her personal development. The employee is responsible for his/her own development, and the Customs Administration facilitates it with time and finances. Working with a PDP helps to focus and work on personal ambitions and goals and to match these to the goals and ambitions of the Customs Administration.

The PDP is created jointly by the employee and the (HR) manager. In fact, it is a sort of development contract. The PDP takes into account several important factors:

- The long-term goals of the Customs Administration
- The current and future job requirements
- The current role of the employee
- The career wishes of the employee
- The current competencies of the employee
- The desired development of competencies of the employee

When preparing a PDP, the employee has to ask himself introspective questions such as: "What am I good at?", "Which are my weakest points?", What successes have I achieved in the (recent) past?", "What is my personal vision for Customs and my work?", etc.

In order to ask questions which go into more depth and to look for answers, the employee could make use of a personal SWOT analysis (see also the earlier chapter on SWOT analysis in this Compendium). Besides maybe helping the employee answer these questions, the manager needs to state the goals, interests and opportunities relating to the Customs Administration.
In follow-up meeting(s), the two have to compare these personal points against the opportunities within the organization, and agree upon the development journey that the employee will undertake. That journey might include several possible paths. The employee could:

- Work on personal development to raise his/her professional standard in order to perform the current task more effectively and energetically,
- Make a temporary sideways move, such as working on a project or working in a different team for an interim period,
- Leave the present job permanently and make a horizontal move to a different job in the Customs Administration,
- Take a vertical step to a higher-grade technical or management job,
- Decide to leave the Customs Administration to fulfill a different role in a different organization.

All of these paths are possible outcomes. But regardless of the step taken by the employee, it must be the result of a thorough introspective and interactive process, in which personal and organizational goals and interests have been taken into account.

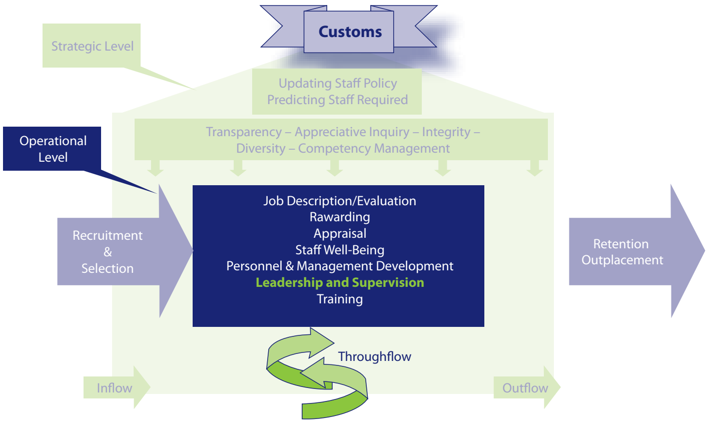
Ideally, the PDP is a document which is developed on an ongoing basis. When it is first written, it may result in certain actions, and at some point in future (in one or two years' time) it is rewritten – after all, personal and professional circumstances constantly change. It may be worthwhile to distinguish short (one-year) and long-term (between one and five years) development goals in the PDP.

Annex 27 contains the PDP format used in the Dutch Tax and Customs Administration.

Management Development (MD)

PENDING

9.8. Leadership and supervision



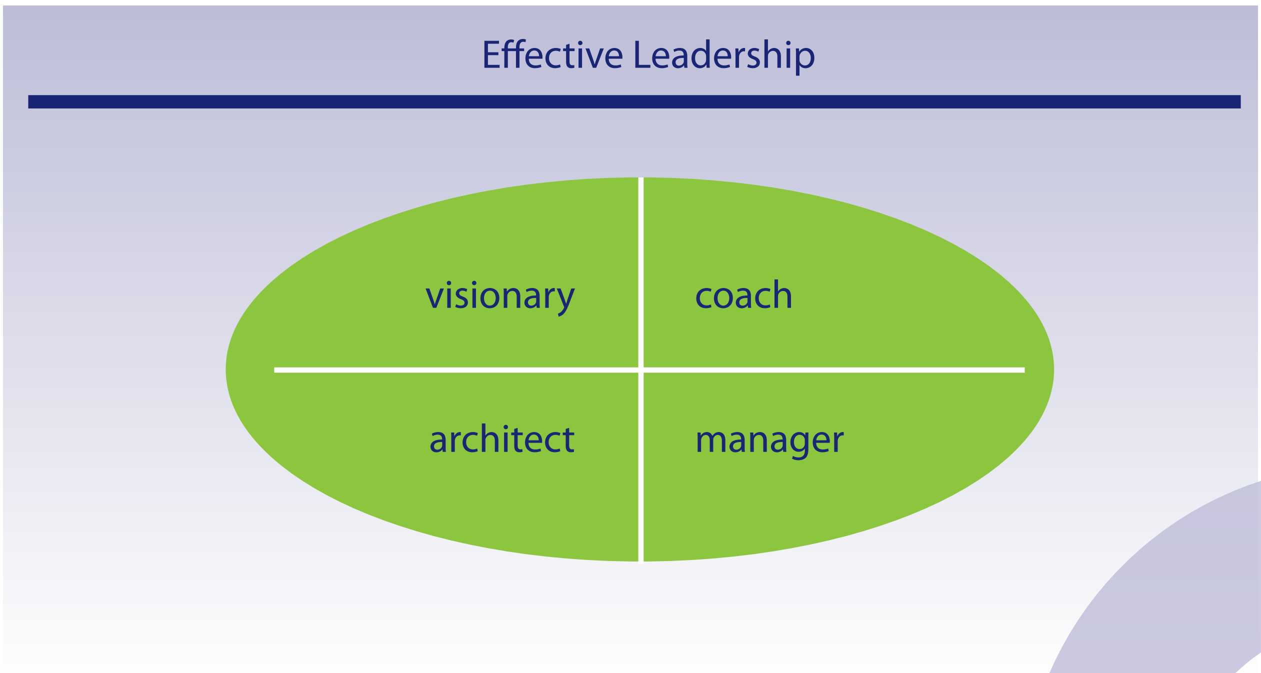
Introduction

Leadership is a topic on which a huge amount of literature has been produced over the past decades. Many different management experts have developed theories and concepts on what leadership essentially is all about, what makes a person a good leader, how leaders could become better leaders, etc.

In this Compendium, one specific leadership concept has been chosen to explore in more detail. This concept has been chosen because of its simplicity, its applicability and its user friendliness. It has been successfully implemented in several of the world's Customs Administrations. An important aspect of this concept is that managers look at their own personal and leadership style – for instance, in workshop sessions – and discover how to improve their performance as a leader.

The model consists of four distinctive roles:

- Visionary
- Manager
- Architect
- Coach



Model of effective leadership

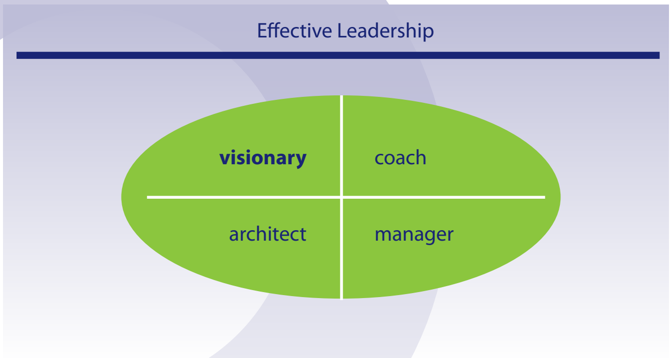
Changing circumstances

All leaders encounter different situations in their daily work. For instance, one might start the day by chairing a meeting with colleagues who are also leaders. This requires some preparation on the content of the meeting and on the agenda; it also means steering the meeting itself, both in terms of content and, especially, of process. After the meeting, the same leader might have a large meeting with his staff, in which he will present the new strategic direction of the Customs Administration and the implications for his team. Obviously, this requires different behaviorur from the person in question. Besides good preparation, it will require mostly good communication skills.

The main message to be drawn is that different circumstances require different behaviors if one are to be effective. If an individual uses the same skills or behavior types in all situations s/he encounters, s/he will not be able to achieve the optimum result in that situation.

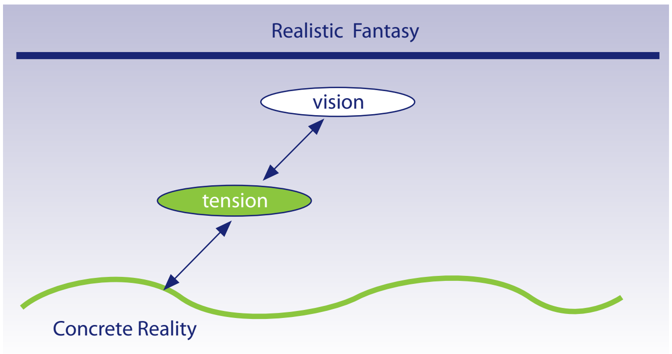
The model of effective leadership contains four distinctive roles which stand for different types of behavior and, in fact, for different ways of steering a situation in the desired direction. Each role will be explored in more detail in the following sections.

The role of Visionary



When a leader takes on the role of Visionary, s/he is occupied with what will be needed in future, and with creating and communicating a vision of what that future situation should look like. This vision should be somewhat like a realistic fantasy: it is a fantasy because it is imaginary and exists merely as mental words or images. There will always be a degree of tension between vision and reality. The trick is to let that tension be just big enough to give the vision its motivating power. As shown in the image below, one might imagine a piece of elastic connecting the vision and the reality; if the vision is too removed from reality, the tension becomes too great and the elastic will snap.

On the other hand, if the vision is too close to reality, there will be no tension in the elastic; it will hang loosely and consequently the vision will have no power to motivate the people to whom it is presented.



The visionary leader should be able to create a vision which is powerful but also, as importantly, to communicate this vision. A good leader has the ability to create a personal vision which incorporates his/her own ideas, plus have the skills to bring it to the attention of all concerned. Furthermore, the vision should facilitate dialogue or interaction, i.e. it should not mean merely sending out a message.

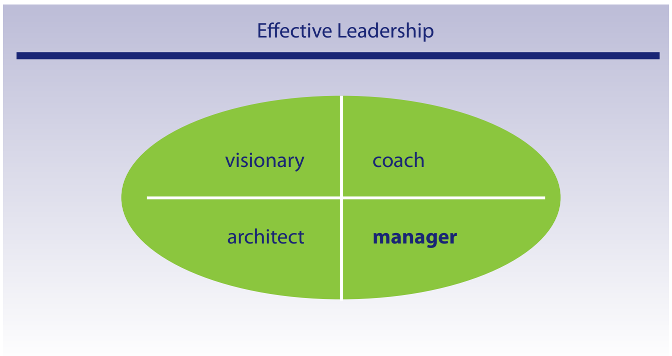
Many people believe that the role of Visionary is primarily the domain of strategic leaders. This is not the case. The visionary role is a role which should be taken on by managers at all levels in the hierarchy, from the operational to the highest strategic level.

What may differ, however, is the content of leaders' visions. But an operational leader who creates and communicates a vision of the two-year developments of his/her team of 5 is just as much a Visionary as the Director General who focuses on the overall future of the Customs Administration.

Each role involves a specific way of steering in a desired direction the situation or the people involved. The Visionary steers with *ideas*.

A different way of characterizing this role is as that of *Thinker* or *Artist*.

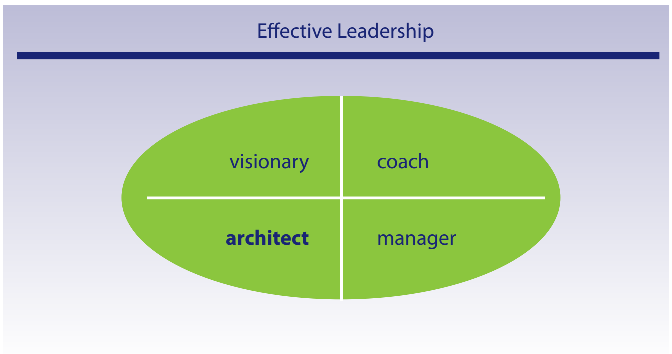
The role of Manager



The role of Manager should, in this context, be distinguished from the normally used concept of manager. Normally, of course, "manager" means leader or person in charge. In the context of the model of effective leadership, however, "Manager" should be considered as one of the specific roles that a leader can take on. When operating in the role of Manager, a leader is busy with arranging things, with solving sudden problems, or with making decisions that affect the operational working process.
For instance, the role of Manager comes to the fore when a leader makes telephone arrangements to cover staff sickness, or talks to a Customs officer who has unexpectedly stepped into his office to discuss the recent arrival of suspicious goods.
What is characteristic of all of these situations is that the leader is energetic and takes action. The role of Manager means being personally busy, making decisions, being physically active much of the time and being involved mainly in operational matters. Many leaders recognize this role immediately when confronted with it in a workshop setting. They confirm that they spend a great deal of their daily working time in this role. And what's more, there is a tendency for the leader to be constantly sucked back into this role. What this then results in is a leader who spends almost all of his/her time running around at the office, constantly on the telephone and talking to employees – whilst having practically no time left for other tasks that require peace and quiet, such as preparing presentations, reading literature or doing self-development training.
This problem is faced particularly by leaders who tend to over-focus on the operational working process, by inexperienced leaders who have recently left operational work themselves and by new leaders, as well as by more senior leaders. The main reason for this phenomenon is that 'doing things yourself' gives leaders the feeling of being in control. The key is to dare to let go: to have the courage to delegate, to hand over responsibilities and to depend on others. A leader should be able to rise above the subject matter whilst not losing sight of it. Sometimes, indeed, it will be necessary to go into operational detail, to give advice or to make a decision.

When in the role of Manager, the leader provides a steer mainly by *taking action* him/herself.
Another way of characterizing this role is as that of *Action-Taker* or *Decision-Maker*.

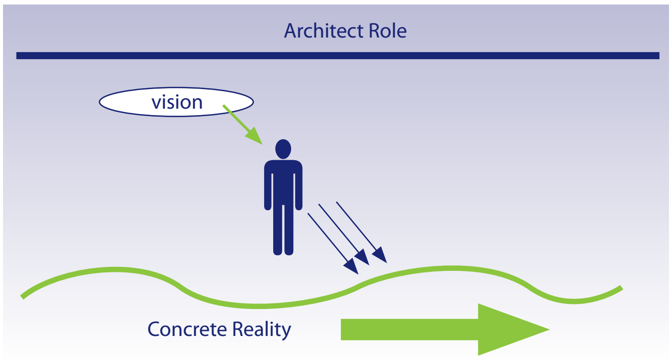
The role of Architect



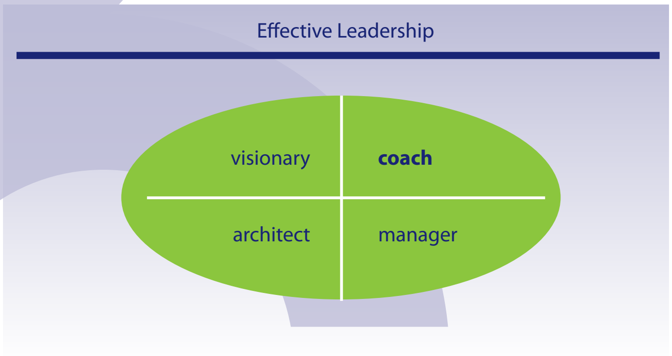
The leader that takes on the role of Architect is busy with shaping his organization, division or team. This concerns both the "hard" side of the organization, as well as the "soft" side. Shaping the hard side would, for instance, mean taking care of the design process of a new IT system to connect several Border Management Agencies, redesigning the process for dealing with clients, or refurbishing a Customs house. Shaping a soft element of the organization could involve designing a personnel development programme for his/her employees
or even deciding the agenda for a team meeting.
In order to be able to perform well in the role of Architect, i.e. to be able to shape or reshape reality in a meaningful and effective way, a clear vision is needed: one must have the idea before it can be put into practice. In fact, one could say that the Architect translates into reality what the Visionary has thought out.

Of course, Customs leaders will not always perform this "shaping" role themselves in their day-to-day work. However, they will at least initiate this process, discuss their ideas with the persons involved and monitor progress.

When in the role of Architect, a leader will be steering mainly by *structuring & bringing* on shapes.
This role could also be characterized as that of *Shaper*.



The role of Coach



Taking on the role of Coach is about supporting others in realizing operational and developmental goals. It is the role a leader takes on when s/he is having a one-hour meeting with an employee to discuss the progress of a project, or when s/he is walking around the office and gives a few tips to an employee who is having difficulties working with a new staff member. It is also the role assumed when giving career advice to a colleague who is also a leader. In short, it means giving direct support by means of human interaction.

Operating in the role of Coach can involve 4 distinct levels of action:

1. Demonstrating
2. Instructing
3. Delegating
4. Asking questions

At the most basic level, supporting another person in reaching a goal involves showing that person how a task is done – actually demonstrating the task while the other person watches and then tries to perform it her/himself.

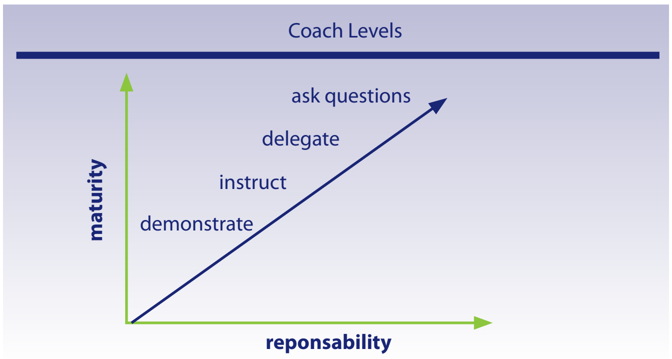
The second level involves describing how the task should be done, rather than actually demonstrating the task being done. As is the case when buying a self-assembly closet, this can be done with the help of written instructions.

The third level involves delegating a task. Delegating a task basically means:

- Giving a clear goal, with clear qualitative, quantitative and time criteria
- Providing the necessary means and budget
- Handing over the necessary responsibilities to perform the task
- Providing clear boundaries for decision-making (what can and cannot be decided by the employee him/herself)
- Monitoring progress regularly

When delegating a task, the Coach will still be setting most of the standards involved. However, at the fourth level, this almost ceases to be the case. The fourth level is the one which involves asking questions. This basically means that the Coach will start by asking the employee for his/her own ideas on performing a certain task, and use these ideas as the basis for further discussion with the employee so that together they can decide how to perform the task as well as possible. The main difference between this approach and the delegating approach is the first step. At the delegating level, the ideas about the task's desired result come from the leader; at the level of asking questions, these ideas mainly come from the employee him/herself. All the other elements described above remain essentially the same.

A closer examination of the four different levels involved in the Coach role reveals the differences in employee responsibility and initiative. At the first level, the employee merely has to pay attention to the demonstration and has no responsibility other than to replicate it as well as possible. In contrast, at the fourth level, the employee has considerable responsibility for performing the task and is also asked to generate his/her own ideas. However, use of this fourth level requires a certain degree of maturity from the employee. This means not only work maturity but, even more importantly, maturity of character: does the employee have the confidence, drive and will to take the initiative and responsibilities for the task?



One of the most important and useful outcomes of delegating – and, even more, of asking questions – is the improved quality of the result. This is because, when employees can work using their own ideas, their engagement and enthusiasm rises considerably. This means that if the employee works using his/her own ideas, the end result might be of a much higher standard, even if the leader's ideas about the task are better than the employee's. However, this requires not only a certain degree of maturity from the employee but, perhaps to an even greater extent, from the leader: the leader has to trust the employee and this often takes courage.
A leader in the role of Coach provides a steer by interacting with other people.
This role could also be characterized as that of Guide or Supporter.

Finding a balance

As has been described above, the role of Visionary – contrary to what people initially think – is not solely to be taken on regularly by strategic leaders, but by leaders from all levels. This goes not only for the role of Visionary, but for all four roles described. For all leaders, it is a matter of finding a balance between different behaviors, depending on what the situation requires.
In practice, every person will have an individual preference for one or two specific roles. This is natural and is directly related to individual character and strengths. But in order to be an effective leader, a variety of behaviors is highly important. And although one person can never master all the roles to the same extent, the leader's challenge will be to develop them to at least the required minimum level and, if needed, to surround him/herself with people who can fill in any gaps.

Management of competencies

Introduction

The effective deployment of the right human qualities is paramount for performing the duties of Customs. How do you, as a manager, make clear what you want and what knowledge and skills are needed to meet your objectives? And how do you, as an employee, make clear what you actually do and what you want to do in the future? This calls for a common language. The so-called "competency" language is an example of such a language. When we talk of competencies, we refer to knowledge, skills, attitude and behavior. Competencies are the set of personal characteristics and skills that an employee uses to achieve results at work. This is all about behavior actually shown at work and not just about a person's intentions or about the skills which are available to them but remain unused. A Dictionary of Competencies (DC) may prove to be very useful in this regard. The DC which is used in this WCO Compendium and which is shown in the Annex has been developed by the Dutch Tax & Customs Administration.

Work and the language of competencies

Customs strives to perform its duties vis-à-vis politicians, the public and companies in the best possible way. The results count. And to achieve these results, specific competencies are needed for each field of responsibility, each job and each role. Determining, assessing and developing the required competencies helps support results-oriented action. A common language of competencies helps employees and managers to focus on what the organization expects from its employees, what the individual employee actually demonstrates and what both parties aim to achieve in the future. That is why all competencies have been described in plain language and in terms of observable behavior.

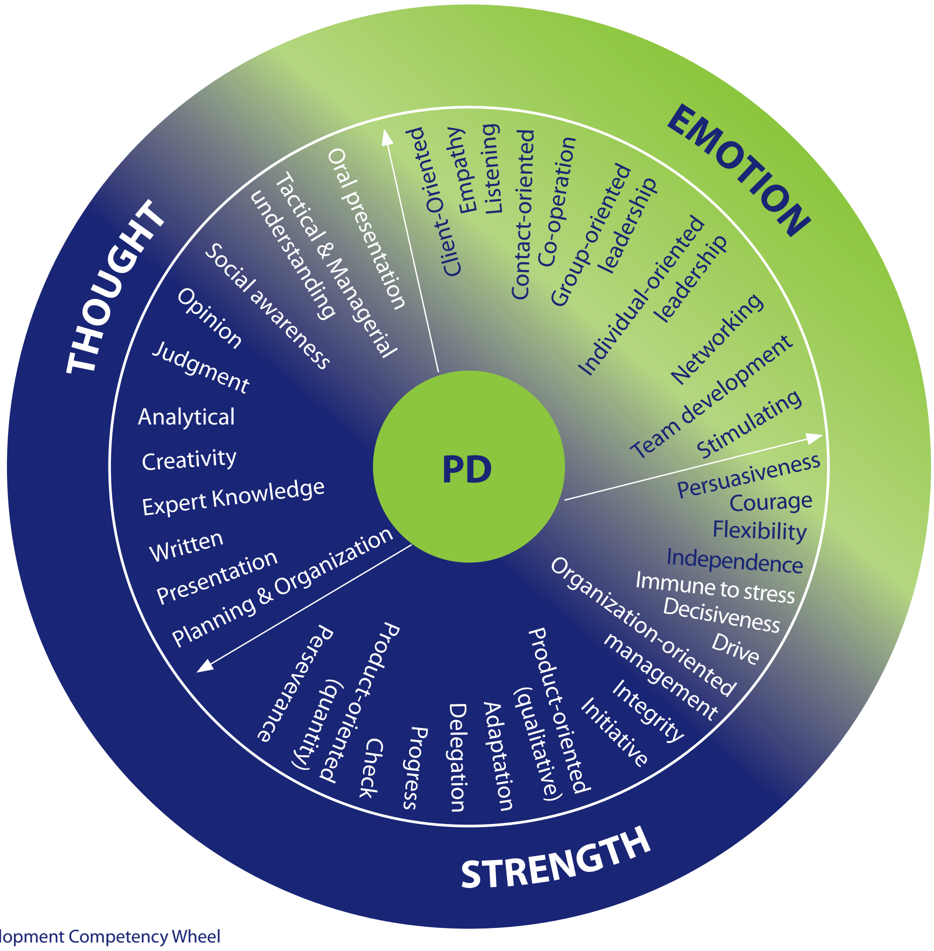
The structure of the Dictionary of Competencies

At the heart of the DC is the competency wheel (see image). The competencies are divided into three groups: thought, emotion and strength.
THOUGHT: this contains the competencies that make a personal appeal to thinking or to intellectual processes.
EMOTION: these are the social competencies, in which communication, influence and interaction are key subjects.
STRENGTH: these are the competencies that emphasize decisiveness, action, energy, constancy and/or dedication.
The competency wheel uses colors to indicate the group to which competencies belong. The wheel uses shades of colors to show that certain competencies are important to two groups. Personal development is at the centre since this competency combines aspects of thought, emotion and strength.

Such classification helps users to handle a large quantity of information with ease. It is also helpful when formulating competency profiles for job descriptions. In that formulation process, thought, emotion and strength often prove to have an influence on the performance of the job. Competencies are chosen from each group. In this way, a balance is struck between Thought (intellectual competencies), Emotion (social skills) and Strength (competencies relating to energy, action, decisiveness and perseverance).
Each competency is concisely described as a set of behavior indicators. Behavior indicators are examples of practices that are characteristic of the behavior that belongs to a certain competency.

How to use the Dictionary

The DC can be used when formulating job descriptions, in recruitment and selection procedures, for assessments and in personnel development procedures.
The Dictionary of Competencies is not only meant for use by all Customs employees, but is also the product of their combined efforts. By using a common language of competencies, all users know exactly what is meant by a particular competency. In particular, when discussing competencies in relation to colleagues and clients during an assessment interview, it is important that everyone has in mind the same concepts.
Language is a living thing. This means that it is not a static phenomenon, but evolves as time goes on. Just as any other language, the language of competencies, too, develops over time. Likewise, the DC expands over time. With this in mind, it is advisable to amend the DC every four to five years. Anyone within the Customs organization can contribute to this with practical examples.



The Personnel development Competency Wheel

9.9 Training package Development in Customs

Introduction

General background

Training policy, procedures, staff and activities are crucial strategic elements for any Customs administration. They are necessary elements in order to:

- comply with the mission given by its Government;
- accurately apply international standards in Customs and international trade;
- provide the international trade community with an appropriate level of service;
- protect society and the public effectively; and
- deal with the challenges of a fast-changing environment.

Training is one of the organizational development solutions that Customs administrations must emphasize in order to meet both organizational and individual changing demands. Training should always have priority and requires a strategic commitment from Customs management.

A large number of Customs organizations face structural trends that require a significant enhancement of their training strategies if medium or even short-term improvements are to be achieved. Globalization, demographics, transparency, digital-era governance and increased levels of inconsistency also necessitate a new approach to the management and operations of Customs administrations across the globe.

A wide range of structural challenges in these organizations commit Governments to the successful maintenance and promotion of a human resources strategy, recruitment policy, knowledge management and esprit de corps.

Objectives

The purpose of this chapter is to give training managers some practical pointers so that they can develop, evaluate and sustain a modern and efficient training system within their Customs administrations.

The main objective is to provide each of them with some reference concepts and current examples of good practice on the methodologies and methods for enhancing organizational capacity to create a valuable training policy. It is intended to assist training managers not only in setting up new training systems, but also in analysing and, if necessary, upgrading, existing ones.

The role of training in the Customs administration

Basic concepts of training management

The role of training is to support the delivery of organizational goals and ensure that the policies of the administration translate into effective operational activity. To achieve this, training managers must both be seen, and see themselves, as leaders within the organization.

Accordingly, this chapter – whilst useful to a variety of training and management staff – is especially meant for use by training managers. Training Managers must fully understand the requirements of the Customs administration. They must also develop appropriate relationships, both internally and externally, to ensure that this role is met.

Identifying strategic relationships with stakeholders with regard to training is essential for gaining a clear overview of training's status within the administration and for drawing up development challenges and priorities.

PRACTICAL TOOL SHEET

IDENTIFICATION OF STRATEGIC RELATIONSHIPS

A training manager must seriously consider his/her relationships with a number of stakeholders.
This will enable him/her:

- to define and understand the role that training must play within his/her administration, and
- to develop strategies to ensure that it plays a central role and raise its profile.

It may be useful to refer to the Project Management chapter to learn more about the background, methods and general implications of the stakeholder analysis.

A fundamental starting point is to apply a simple audit method, examining the training manager's environment.

KEY PLAYERS	MAIN STAKEHOLDERS/QUESTIONS
Senior Managers/ Policy-Makers/Decision-Makers	• Identification of actors and responsibilities • Drawing up the institutional vision • Values and beliefs to promote • Level of understanding of the core role of training within the Customs administration
Human Resources Management	• Recruitment patterns and standards of the organization • Drawing up the Human Resources Development Strategy • Level of integration of training within human resources development and career development
External Agencies	• Level of co-operation with other Government agencies such as the police, military, agriculture, etc. • Opportunities for joint programmes/resources
Trade Organizations	• Perception of the administration

Significance and visibility of training within the administration

Organizational performance

Involving stakeholders provides some highly important opportunities to raise the profile of training among key players.

It enables the training manager to explain how effective training which is geared to business objectives and goals can:

- improve operational performance;
- promote a corporate identity;
- provide job satisfaction;
- combat public dissatisfaction, and
- fulfil legal obligations.

The executive board of each Customs administration and the organization as a whole must recognize that training management:

- has a core role to play in organizational development;
- can influence human resources development, and
- helps improve the image both of the administration and of the training within it.

Failure to commit to a training strategy can lead to the rapid decline of internal training and development sections and lessen the efficient dissemination and improvement of professional Customs.

The importance of training to any organization cannot be over-emphasized. A good training system improves employee efficiency, effectiveness, uniformity, confidence and job satisfaction, whilst helping to achieve organizational goals. Where there is no training strategy for staff, development is frequently reduced to occasional and often unstructured on-the-job training. This leads to inconsistent application of procedures and the law, frustration for traders and invariably encourages the proliferation of bad habits and of problems relating to ethics and integrity.
A lack of training culture means there are no criteria against which to judge performance standards and no opportunities to promote organizational change.

Strategic status

Training services must be part of the decision-making process at a strategic level. This ensures that they are faithful to senior management's vision and policy, whilst also creating desirable career opportunities in training to attract and retain competent, experienced trainers and training managers.

Indeed, it is often necessary to raise the status of training: a proactive policy concerning rewards, career and advancement opportunities for deserving officers, as well as other incentives, will benefit the whole structure.

Financial resources

Training is expensive and it is difficult to find solutions to this. However, a strong political will to allocate the proper resources is critical. A wide range of teaching methods is available and blending them helps achieve a cost-effective, consistent and flexible training system. Moreover, efficient and agreed planning will drastically improve the cost-efficiency of the whole policy.

Many administrations may consider a re-prioritization of the resources allocated to training departments. Some organizations may need to reinforce training staff, teach specific competences and skills, and develop appropriate infrastructures.

Training Managers should make a conscious effort to express training benefits in terms of facts and figures in order to convince policy-makers and donors. This requires an institutional and systematic analysis of the benefits of training so that they can be expressed in quantifiable terms.

Incentives for trainees – training relevance

The Customs officer (the training recipient) must be at the centre of the whole training system. A sound training program will provide individual as well as organizational motivation and benefits. The individual may gain certification, a qualification, additional authority or delegations, skills, knowledge, responsibility or variety of work. Such benefits may lead to promotion or better remuneration, for example. The outcome of the entire process is therefore an improvement in organizational performance.

The transfer of learning from the training to the work environment can take place more efficiently if the concepts or theories learned can easily be put into practice. Learning concepts and skills is important, but it is just as important to empower trainees to apply these and to model their implementation.

Training content and expertise

The Customs environment makes it necessary to have specific knowledge and behavioural skills that are uniquely linked to the technical aspects of the various posts within a Customs administration.

However, it is now widely recognized that training in Customs should embrace a wider range of knowledge, skills and competences: traditional Customs topics will continuously be enhanced in order to tackle the technical challenges of this uniquely positioned organization. In addition, training in management capabilities has been highlighted as a fundamental Customs requirement.

Significant emphasis must therefore be placed on training capacities so that in-depth expertise can be offered to all trainers, depending on their subject areas. However, trainers also need to be able to benefit from sustainable programmes on developing training techniques. This is a major feature of the success of knowledge dissemination.

Challenges and opportunities

In conclusion, training must be clearly linked with the operational objectives of the organization and with its development goals. Failure to achieve this leads to training being seriously starved of resources – something that is common to many Customs organizations.

A major challenge is therefore to restore the credibility of training by ensuring that all programmes currently undertaken or in development are:

- relevant to the business need;
- accurate in content;
- run in a planned, disciplined and focused manner;
- cost-effective and, most importantly,
- reliable and demonstrate that training is consistent with the organization within which it operates.

Training system concepts

A training system brings together the different building blocks, stages and sequences aiming to efficiently empower an administration to meet defined organizational goals within a knowledge-based structure. It enables staff to attain skills, allows change within the structure and with partners to be promoted and assisted, and staff motivation to be maintained. It focuses on building up knowledge, skills, competences, and behavioural aptitudes through tailored and efficient teaching methods, resources and means.

The identification of training needs and the formulation of strategies to handle them have proved to be an extremely important vehicle for providing Customs managers with the necessary training vision to address training challenges. However, that vision alone cannot deliver training – it must be accompanied by other measures designed to facilitate the implementation of training plans.

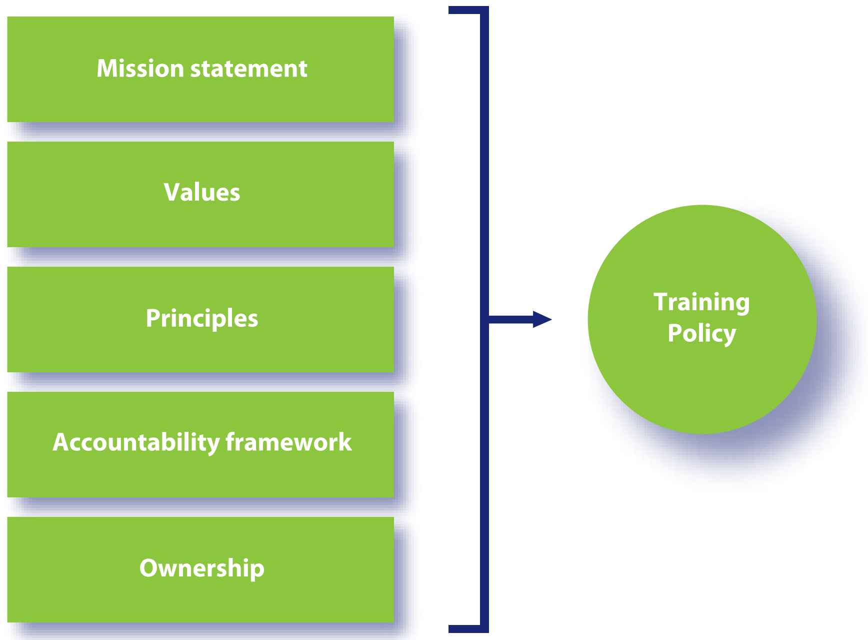
The training system is therefore composed of different inter-dependent building blocks that must be developed in line with specific requirements. The next part of this chapter aims to describe some core elements involved in implementing successful strategies for each of these building blocks.

How to develop a training policy?

Elements of a training policy

The training policy expresses the broad intentions, fundamental justifications, basic options, priorities and strategies of the Customs administration in the area of staff training. This policy determines how training activities will be conducted and is influenced by the beliefs and values of the Customs administration.

It is not necessary, and probably not feasible, to provide a comprehensive list of all the elements which may be covered in a training policy document. Customs administrations can, and indeed should, decide on what has to be enshrined in a policy document and what can be left to the discretion of training administrators. However, it can be said that a training policy should include the following basic elements:



Mission statement

A mission statement is a concise statement of the fundamental PURPOSE of the Training Centre. It must be written in very general terms and be no more than a few lines in length.

Values

Values are deeply held convictions about the standards of behaviour which are expected in given circumstances, or the fundamental aspirations of the Customs administration. Values give character to all the activities of the Customs administration, including its training programmes.

Principles

Principles are the rules which determine how the Training Centre should organize its activities in order to achieve its fundamental purpose in a manner consistent with the values and mission of the Customs administration.

Accountability framework

This relates to the agreed distribution of the workload between all the training function's stakeholders. This framework pinpoints the responsibilities involved in the various activities needed to support the training system.

Example:

STAKEHOLDER	ACCOUNTABLE FOR:
SENIOR MANAGEMENT	Sound investment in training
HUMAN RESOURCES/PERSONNEL UNIT IN HEADQUARTERS	Setting national training priorities
TRAINING FUNCTION	Delivering efficient and cost-effective training programmes
FIELD MANAGERS	Co-ordinating training activities in each region and ensuring that officers under their supervision receive the relevant training

Ownership of the training

The training policy should specify who is responsible for it, i.e. who issued it and who has authority to review it. The extent to which the training function can influence that policy should also be specified.

The training needs analysis

Training needs analysis is a process which results in the formulation of training objectives based on identified training needs.

Introduction

The notion of "needs" can be described as the gap between a current unsatisfactory situation and a future satisfactory situation.

Needs analysis is the clear identification of the needs within the administration in order to ensure that resources are targeted at the functions within the administration that require them. The needs expressed can be of different kinds: structural needs, systems needs, resource needs (financial, material, human) and training needs.

The need for training is usually established through an analysis of:

- the administration's mission statement, including goals, values and priorities;
- performance problems in respect of current tasks;
- anticipated performance requirements in respect of future tasks.

To establish what the needs are, the analysis should be conducted at two levels:

- the organizational level;
- the job or task level.

How to conduct a training needs analysis?

The accurate identification of an organization's training needs is crucial to its success and development. It is not simply a matter of establishing the location, scope and magnitude of the needs. Priorities need to be set and linked to those of other functions within the organization, as well as to the organization as a whole.

A training needs analysis is a real investigation or diagnosis of what needs can be met through training activity.

As indicated above, the training needs analysis should be conducted at organizational and at job level.

Organizational-level analysis (stage 1)

The focus is on the whole organization and the analysis will cover such elements as:

- the role of the Customs service,
- the organization's priorities,
- the organization's priorities for change,
- stakeholder expectations,
- the organization's structure.

Stakeholders are people or organizations having an interest in Customs activities (e.g. Customs brokers, trade and transport communities, other Government departments, etc.).

This first-level analysis can be conducted using the WCO Diagnostic Framework or the WCO Self-Assessment Checklist. Tools for stakeholder analysis are also available in previous chapters of this Compendium.

The organization's role and priorities, as translated into its aims and objectives, make the process of task analysis a logical one. However, although logical and straightforward, this can be a massive job if done in detail for a complex area of work. It is easier to focus on the aspects of a job that need to be changed.

TRAINING OBJECTIVES

Objectives are the blueprint of trainee performance. They describe the desired behaviour of the trainees once they complete the training programme. Objectives determine the measuring instruments with which trainee performance can be evaluated. Objectives must:

- clearly describe **THE ACTION** the trainee must perform;
- specify **THE CONDITIONS** under which the trainee must perform, and
- define **THE STANDARD** or job entry level of performance that must be achieved by the trainee.

The **action part** of a training objective states what the trainee will do while achieving the objective. Subsequently, it identifies what the trainee must be able to do at the end of the training session. A meaningfully stated objective is one that succeeds in communicating to the trainer the intention of the course designer. The best-stated objective is the one that excludes the greatest number of possible alternatives to the training programme's goal. Vague words or terms, such as those listed below, should therefore be avoided in favour of clearer expressions describing behaviour:

Vague Terms

- To understand…
- To know about…
- To be familiar with…
- To provide a general…
- To orient…
- To qualify…

Behavioural Terms

- To repair…
- To calculate…
- To classify…
- To inspect…

The training objective must state clearly the limits within which the trainee will be expected to perform. The **conditions part** of a training objective states what the trainee will be given (or denied) in order to perform the action part of the objective. This includes hardware or software, such as tools, references and guides, and supervision. The conditions also describe the environmental situation in which the trainee will perform. Training conditions must approximate the job conditions that influence task performance. Conditions which require a trainee to perform "without assistance", "without references», or "from memory" should be avoided unless they are true on the job.

Training standards or criteria specify the minimum acceptable level of performance that must be achieved by the trainee. In other words, they establish the performance level required for initial job assignment. Training standards or criteria are specifically defined in terms of performance, time limits, quality and quantity standards for the work product or service provided. Suggested terminology includes:

- Within two minutes. . .
- Without error. . .
- At least five out of seven. . .
- All of the following. . .
- The exact technique of. . .
- Accurate to the nearest tenth. . .
- To the standard defined in. . .

The significant job attitudes identified will often become part of the training standard.

Training needs analysis template

The following pages provide a practical tool for the step-by-step performance of a training needs analysis.

Task analysis for job: ____________________

Key areas	**Tasks**	**Sub-Tasks**	**Importance** *(1 to 5)*	**Frequency** *(1 to 5)*	**Priority** *(importance+ frequency)*	**Necessary Knowledge**	**Necessary Skills**

Training needs analysis for job: ____________________

Step	Name	Description	Status
1	**Develop and obtain approval for TNA Project Proposal**		
		Define the strategy.	
		Determine the proposed respondents.	
		Determine methods of gathering data.	
		Designs all the tools necessary for the exercise, such as questionnaires, interview guidelines, etc.	
		Get senior management commitment for the realization of the training needs analysis.	
2	**Identify job duties and tasks**		
2.1	**Job analysis**	List the current job duties.	
	N.B. The job interview template may be used for this purpose.	List the duties or activities that may be carried out on a regular or ad-hoc basis but are not listed on the statement of duties.	
		Identify the priorities or significant duties and activities (activities are such things as meetings, providing advice, etc.).	
		Identify the most difficult aspects of the work, and why they are difficult.	
		Identify the changes that are about to occur in the job.	
		Identify the knowledge (or information) of a technical nature needed to perform the job satisfactorily, and the level of such knowledge (or information).	
		Identify the knowledge, other than that of a technical nature, that helps with performing the job.	
		Specify the best way of obtaining all this knowledge.	
		Identify the technical skills (or abilities) needed to perform the duties satisfactorily.	
		Specify the best way of obtaining all these skills.	
		Identify the non-technical skills (administrative or people skills) needed to handle the various aspects of the job.	
		Determine if any team work is involved.	
		Determine how the job contributes to the team.	
		Identify any knowledge or skills needed to assist other team members.	
		Specify the best way of obtaining all the knowledge and skills.	
		Determine if any higher-level duties are performed.	
		Identify the knowledge and skills necessary to perform these duties.	
2.2	**Task analysis**	Break down the job into key areas.	
		Break down each key area into tasks.	
		Break down each task into sub-tasks.	
3	**Validate tasks and rank in order of priority**		
		Validate the task analysis with the subject-matter expert or experienced officers in the job.	
		Determine the most important tasks.	
		Determine the most frequent tasks.	
		Deduce the priority tasks.	

4	**Collect information/data on performance**		
		Review existing training materials.	
		Review any feedback available on that training.	
		Review job descriptions, manuals, policy statements or other work-related documents.	
		Interviews with the target population, their supervisors, subject-matter experts and members of the Head Office functional area.	
		Surveys of the target population, their supervisors and subject-matter experts (written or telephone).	
		Focus-group sessions where experts and/or the target population share knowledge and experience.	
		Assess the current level of knowledge and skills of the target population with regard to the tasks identified.	
5	**Select/analyse tasks selected for training**		
5.1	**Select tasks for training**	Identify the tasks to be included in training. Tasks are selected for inclusion in training programmes for the following reasons: • The task is critical. • The task is essential to the performance of another task. • Performance of the task is required immediately upon job entry. • The task is difficult to learn and/or cannot practically be taught by OJT. • The task is performed often.	
		Identify the tasks to be excluded from training. Tasks may be excluded from a training programme for the following reasons: • The task is similar to another task selected for training. • The task is a prerequisite. • The task can be better learned on-the-job. • The task is performed by a small percentage of jobholders.	
		Select tasks for training.	
5.2	**Analyse tasks for training**	Identify knowledge and skills necessary to perform each sub-task corresponding to the identified tasks.	
6	**Describe target population**		
		Describe the characteristics of the target population.	
		Describe the characteristics of the work environment.	
		Identify the need for changes other than training.	
7	**Formulate training objectives**		
		Write training objectives for each necessary knowledge and skill.	
8	**Write Training Needs Analysis Report**		
		Report the analysis to management.	
		Propose training options to fulfil the training objectives.	

Job Analysis Interview Guidelines

The following Job Analysis Interview Guidelines can be used for gathering information about specific jobs or groups of tasks performed by one person. Respondents to these questions may be officers who are either experienced and proficient in the job in question, or who wish to express their training needs. In both cases, the insight gained will be useful to the training needs analysis team.

Questions	Answers
What are your current tasks?	
Can you specify any tasks or activities (other than higher-level tasks) which are not listed in your job description but which you carry out either regularly or on an ad-hoc basis?	
Which of your tasks do you give the highest priority to and/or consider the most significant?	
What do you see as the most difficult aspect of your job? *(Give reasons for your answer)*	
Are there changes about to occur in your job? *(If yes, give details)*	
Looking at the tasks that you perform, what knowledge and/or information of a technical nature do you think you need in order to perform satisfactorily?	
What knowledge and/or information, other than technical, helps you to do your job well?	
What is the best way of obtaining all this knowledge and/or information?	

What technical skills or abilities do you need for satisfactory performance?	
Where and/or how can you learn these skills or abilities best?	
What non-technical (i.e. administrative or personal) skills do you think you need to help you handle various aspects of your job?	
Do you work in a team and, if so, how do you see your job contributing to the team output?	
What knowledge or skill do you possess that could benefit other team members? How did you obtain this knowledge or skill?	
Do you perform tasks at a higher level and, if so, what knowledge or skills help you perform these tasks?	
What do you see as the most important form of training or development needed by a person in your post?	
If someone were to transfer or be promoted to your post, what training would have to be provided immediately and what could be provided at a later time?	
Is there any other information you can offer to help with this analysis?	

Tips on training needs analysis

The training needs analysis should consider the administration's overall environment, in which training is only one part. It should also be kept in mind that training may not be the solution to all the gaps or problems identified and that some of them may have other causes.

The following should be kept in mind during the preliminary analysis:

- Estimates of training requirements are often either exaggerated or do not match real needs.
- Training is often only part of the solution to performance problems.
- The distinction between symptoms, performance problems and causes of performance problems should be clearly made. The causes could be:
  - lack of skill or knowledge;
  - lack of opportunity to perform task/s;
  - lack of incentive to perform;
  - lack of motivation;
  - other obstacles to good performance.
- Performance problems may be caused by deficiencies in the training process or by other deficiencies in the environment.
- Non-training problems should be referred to management for solutions.
- The importance of problems should be estimated: some are not worth worrying about.

The consideration of training solutions to meet the identified needs should include a consideration of constraints, and not only the simple achievement of training goals:

CONSTRAINTS	DESCRIPTION
Effectiveness	• Has this been tried before? • Will it solve all or part of the problem? • Will it achieve improvements?
Feasibility	• Can this solution be implemented in the required locations? • Is it practical?
Timelines	• How fast will it work? • Is delay in dealing with this need costly? • Is it a long or short-term solution?
Efficiency	• Is this solution cost-effective?

Conclusion

The training needs analysis is an essential tool for the administration and forms the basis for developing further training actions. It is valuable in helping to get a picture of the situation and the priority actions to be undertaken.

Training strategy and plan

The process of training Customs personnel in a Customs administration is a complex one. All the ideas and information must be successfully combined to give a unique and tailored system that enables training to be delivered effectively and reliably.

Establishing a training strategy from the training process

The training strategy applies methodical processes so that policies can be translated accurately, efficiently and sustainably into activities.
It aims to define the operational schemes needed to implement the organizational development goals as promoted within the overall framework set by the administration's vision and policy.
The strategy should also focus on the needs identified by the training needs analysis and on action plans to meet these needs.

Basic concepts of the training process

The training managers should shape the training process model into an implementation plan that meets their organizational requirements. They must know how:

- to define the main stages and components of the training process
- to differentiate between the various sources of training needs
- to compile, analyse and manage those needs
- to develop training plans
- to plan and to manage training resources and activities
- to adopt accurate assessment methods for training and trainees
- to create an evaluation system and to manage the training results, operational achievements and organizational outcomes
- to adopt a systematic approach in training design, with standardized teaching tools

Drawing up a tailored training strategy

Creation of the training strategy involves a cyclical process, as shown in the above diagram.
Before the process starts, it is necessary to analyse the current situation, as well as what needs to change, and how. Following this, a business case should be approved, and the strategy drawn up and implemented. Once the strategy is implemented, its success is evaluated and the analysis then starts all over again, in order to determine what should be done next.

The quality of the training plan and its programmes can be improved if training is planned at the strategic and operational levels.

Strategic planning

Strategic planning of the training of Customs officials should make it possible to identify:

- the training objectives;
- the target groups and the anticipated results of the learning process;
- the appropriate combination of teaching methods for the target groups;
- the equipment and materials required;
- the systems needed to evaluate the training;
- all the training resources required.

When developing training materials under the strategic plan, provision should be made for adapting them to any changes in the legal and operational framework which may be made shortly before training is scheduled to take place.

Such strategic planning is essential for drawing up relevant actions that meet current needs and anticipate future needs and structural changes in the administration.

If the intention is to concentrate on operational training plans, planning should take place on an ongoing basis. It is impossible to begin planning training programmes solely on the basis of the announcement of a specific event, without running the risk of reducing the strategy to an improvised response to pressing operational needs.

Certainly, such an approach would not contribute to the achievement of efficient, relevant and profitable training (cost/performance ratio).

Operational plans

The operational plans should identify:

- the participants and the place and date/duration of training;
- the detailed resource requirements;
- the responsibilities of each of the participants and the sections responsible for managing the training and implementing the programmes.

These plans can be developed in a centralized fashion. If training services benefit from a Training Centre, the latter can be entrusted with most of the planning, while the actual venues of the training events can be decentralized.

The operational training plans should include the following items:

- a statement of the training objectives: the number of persons to be trained, divided into the target groups identified in the strategic plan;
- the training methodology: the teaching methods to be used for each of the target groups;
- the appropriate time required for the training: the timetable;
- the reference materials: the preparation and distribution of the training materials;
- the responsibilities for the training: the allocation of trainers to each training session, including agreements to entrust certain training responsibilities to third parties;
- the training environment: the place where the training sessions will be held, provision for the renting of classrooms, where necessary, and the number of persons in each of the various training locations;
- the necessary travel and accommodation arrangements and means of communication for trainers and trainees;
- the logistical arrangements for the distribution of training materials and equipment;
- knowledge testing: methods and resources needed to test knowledge upstream;
- evaluation of training: the methods, time and resources needed to evaluate the uniformity and quality of the training;
- the plans for responding to emergencies and meeting the need for new forms of training;
- the cost of the operational training plans;
- the requirements in terms of persons and resources for delivering the training.

The documents on the following pages provide a practical template for designing a training plan.

Training Plan – Summary

Training #	Name	Objectives	Target audience	Number of persons to be trained	Session duration	Number of sessions	Timeframe	Budget
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
...								

PRACTICAL TOOL SHEET

DETAILED DESCRIPTION – TRAINING COURSE #1

Responsible resource person: ______________________________

GENERALITIES	
Training #	Reference number of the training course
Name	Name of the training course
Objectives	Statement of the training objectives
Target audience	Identification of the different target groups for this training course
Number of persons to be trained	Total number of officers to be trained, broken down by the target groups identified in the strategic plan
Timeframe	Overall schedule for beginning/completing the training objectives for all the target audiences
MEANS OF TEACHING	
Teaching methods	Teaching methods to be used, if necessary differing for each of the target groups
Identified trainers	
Training material	Reference materials: the preparation and distribution of the training materials
Knowledge testing	Methods and resources needed to test knowledge upstream
TRAINING ORGANIZATION	
Session duration	Duration of one training session and timetable
Number of sessions	Total number of sessions to be organized, depending on the number of persons to be trained and the max. number of participants per session
Calendar of sessions	Calendar of the different sessions (included in the timeframe), including the allocation of identified trainers for each training session, and the number of participants in each session
Training venue	Training environment: the place where the training sessions will be held, provision for the renting of classrooms, where necessary, and the number of persons in each of the various training locations
Travel, accommodation	• Necessary travel and accommodation arrangements and means of communication for trainers and trainees • Budget • Resource person for the arrangements
Material	• Logistical arrangements for the distribution of training materials and equipment • Budget • Resource person for the arrangements
TRAINING EVALUATION	
Methods	How the outcomes will be evaluated
Responsibilities	Who is responsible for evaluating the outcomes of the training
BUDGET	
Cost	Total cost of this item of the training plan

Evaluation guidelines for training

In the previous chapters, the emphasis was placed on systematic analysis of the existing situation so that exact training requirements can be determined. This included the examination of the role of the Customs administration's mission statement, the systematic analysis of the gap between current levels of performance and the levels required to realize that mission, and the training policies indicating how the training system should help bridge that gap.

Since training is one of the solutions for organizational development, training results and performance must be considered in priority, as they necessarily impact on organizational performance. The training strategy, plans and events must have clearly targeted aims before the implementation stage is reached. Establishing the evaluation process constitutes a fundamental step, as this will enable the necessary milestones to be included in the schemes implementing the training strategy, thereby efficiently contributing to the administration's development and change management.

What is evaluation?

Training evaluation is the process of identifying how successful a training effort has been. This involves collecting and analysing information to determine the benefits or not of the training effort and making decisions about the future.

In order for evaluation to be effective, it should focus on specific aspects of performance change which can be directly attributed to the training effort. This process must be prioritized and defined prior to course conception and development.

It should be borne in mind that change in either individual or organizational performance can be effected by influences other than training, e.g. staff changes, re-organization, etc. This underlines the importance of thorough evaluation to assess correctly the effectiveness of the training provided.

Why evaluate?

Evaluation is important for the following reasons:

- It provides the opportunity to demonstrate that training was worthwhile and has achieved its objectives;
- It provides feedback to the administration about the return on the training investment;
- It provides information to help improve future training;
- It can encourage the involvement of line managers in training and staff development matters;
- It provides trainees with a framework with which they can measure their competence;
- It directs training towards meeting the organization's priority needs;
- It can be used to compare internally and externally provided training, and
- It can form part of a larger survey of operational effectiveness.

Who evaluates?

All the actors involved in the training chain have different responsibilities in the evaluation process. These actors are namely:

- senior management
- the trainer
- line management
- the training manager
- the trainee

Their responsibilities are summarised below:

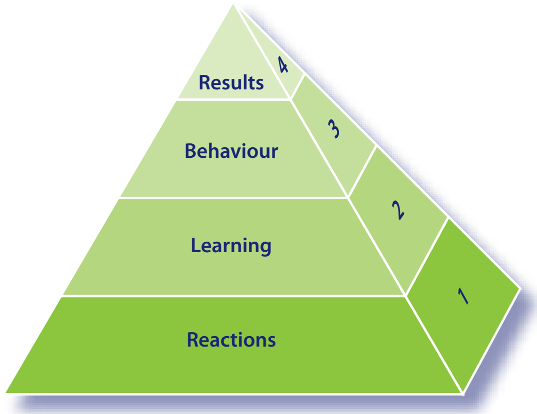
ACTOR	TRAINING EVALUATION RESPONSIBILITIES
Senior management	• Awareness of the need and value of training to the organization. • Involvement of the training manager (or equivalent) in senior management meetings where decisions are made about future changes for which training will be essential. • Knowledge of, and support for, training plans. • Active participation in events. • Requirement for evaluation to be performed and for regular summary reports. • Policy and strategic decisions based on results and ROI data.
Trainer	• Conducting any necessary pre-programme work and programme planning. • Identification, at the start of the programme, of the knowledge and skills level of the trainees/ learners. • Provision of training and learning resources to enable the learners to learn within the context of the programme objectives and learners' own objectives. • Monitoring learning as the programme progresses. • At the end of the programme, receipt and assessment of reports from the learners on the learning levels achieved. • Ensuring that learners produce an action plan to reinforce, practise and implement learning.
Line management	• Work-needs and people identification. • Involvement in training programme and evaluation development. • Support of pre-event preparation and holding briefing meetings with the learner. • Giving ongoing and practical support to the training programme. • Holding a debriefing meeting with the learner on their return to work to discuss, agree or help to modify and agree actions for their action plan. • Reviewing the progress of learning implementation. • Final review of implementation success and assessment, where possible, of the ROI.
Training manager	• Managing the training department and agreeing the training needs and programme implementation. • Maintenance of interest and support in the planning and implementation of the programmes, including practical involvement where required. • The introduction and maintenance of evaluation systems, and production of regular reports for senior management. • Frequent, relevant contact with senior management. • Liaison with the learners' line managers and arrangement of training programmes for the managers on responsibility for learning implementation. • Liaison with line managers, where necessary, on the assessment of the training ROI.
Trainee or learner	• Involvement in the planning and design of the training programme where possible. • Involvement in the planning and design of the evaluation process where possible. • Obviously, to take an interest and play an active part in the training programme or activity. • To complete a personal action plan during and at the end of training for implementation on return to work, and to put this into practice, with support from the line manager. • Take an interest in and support evaluation processes.

N.B. Although the principal role of the trainee in the programme is to learn, he/she must be involved in the evaluation process. This is essential since, without trainee comments, much of the evaluation cannot occur and new knowledge and skills cannot be implemented. Trainees will assist more readily if the process avoids the look and feel of a pen-pushing or number-crunching exercise. Instead, it should be ensured that trainees understand the importance of their input – exactly what they are being asked to do, and why.

How to evaluate? – The Kirkpatrick model

The model most frequently used to support the work of the above-mentioned evaluation actors is the Kirkpatrick evaluation scheme. This has now become the most widely used and popular model for the evaluation of training and learning. Kirkpatrick's four-level model is now considered an industry standard across the HR and training communities.

The four levels of Kirkpatrick's evaluation model essentially measure:



1. **Reaction of student:** what students thought and felt about the training.
2. **Learning:** the resulting increase in knowledge or capability.
3. **Behaviour:** extent of improvement in behaviour and capability, and implementation/application.
4. **Results:** the effects on the business or environment resulting from the trainee's performance.

All these measures are recommended for full and meaningful evaluation of learning in organizations, although their application broadly increases in complexity, and usually cost, up through levels 1-4.

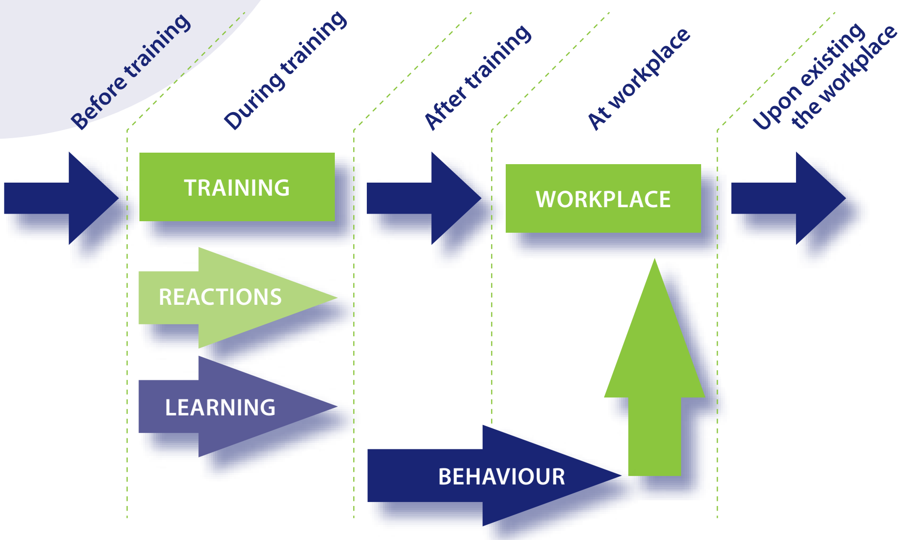
A detailed description of these four levels of evaluation is given in the table below.

Level	Evaluation type	Evaluation description and characteristics	Examples of evaluation tools and methods	Relevance and practicability
1	Reaction	**How the learners felt**, and their **personal reactions to the training or learning experience**, i.e.: • interest/relevance • good use of their time/ level of effort required • assessment of the venue, style, timing, domestics, etc. • level of participation • perceived practicability and potential for applying the learning provided	• typically 'happy sheets' • feedback forms based on subjective personal reaction to the training experience • verbal reaction which can be noted and analysed • post-training surveys or questionnaires • online evaluation or grading • subsequent verbal or written reports given by trainees to managers back at their jobs	• can be done immediately when training ends • very easy process to gather or analyse feedback for groups • important to know that people were not upset or disappointed • important that people give a positive impression when relating their experience to others who might be deciding whether to experience same
2	Learning	Measurement of the **increase in knowledge or intellectual capability** before and after the learning experience: • teaching objectives met • relevance • after the training provided: extent to which trainees advance or change in the intended direction or area	• typically assessments or tests before and after the training provided • interview or observation before and after (but time-consuming and can be inconsistent) • methods of assessment closely related to the learning aims • measurement and analysis easy on a group scale • reliable, clear scoring and measurements • hard-copy, electronic, online or interview style assessments are all possible	• relatively simple to set up • highly relevant and clear-cut for certain types of training, such as quantifiable or technical skills • less easy for more complex learning, such as attitudinal development • cost escalates if systems are poorly designed, which increases work required to measure and analyse

3	Behaviour	**Implementation of what has been learnt** and **change in behaviour**, (immediately and/or several months after the training situation): • noticeable and measurable change in activity and performance • change in behaviour and sustainability of the new level of knowledge • transfer of learning to another person	• observation and interview over time to assess change, relevance of change, and sustainability of change • no arbitrary snapshot assessments • subtle and ongoing assessments, transferred to a suitable analysis tool • consistent design process, criteria and measurements • relevant performance scenarios, and specific key performance indicators • 360-degree feedback is useful method after training	• measurement of behaviour change, evaluation of implementation and application are difficult to quantify and interpret but vital for the organization • need for a well-designed system • line managers and trainees must be involved and support the process
4	Results	**Effect on the business or environment** resulting from the improved performance of the trainee. Measures are typically business or organizational key performance indicators: volumes, values, percentages, timescales, return on investment, and other quantifiable aspects of organizational performance (numbers of complaints, staff turnover, attrition, failures, wastage, non-compliance, quality ratings, achievement of standards and accreditations, growth, retention, etc.).	• many of these measures already in place via normal management systems and reporting • challenge of identifying what is related to the trainee's input and influence • identify and agree accountability and relevance with the trainee at the start of training, so they understand what is to be measured • failure to link to training-input type and timing will greatly reduce the ease with which results can be attributed to the training provided • measuring business results derived from training through annual appraisals, ongoing agreement of key business objectives	• challenges of a results evaluation for an entire administration: reliance on line management, and frequency and scale of changing structures, responsibilities and roles, etc. Complex process of attributing clear accountability. • organizational and business performance affected by external factors, which cloud the linkage with training

When to evaluate?

Most training takes place in an organizational setting, typically in support of skill and knowledge requirements originating in the workplace. This relationship between training and the workplace is illustrated in the figure below.



Using this diagram as a framework, we can identify five basic points at which we might take measurements, conduct assessments, or reach judgements. These five points are indicated in the diagram:

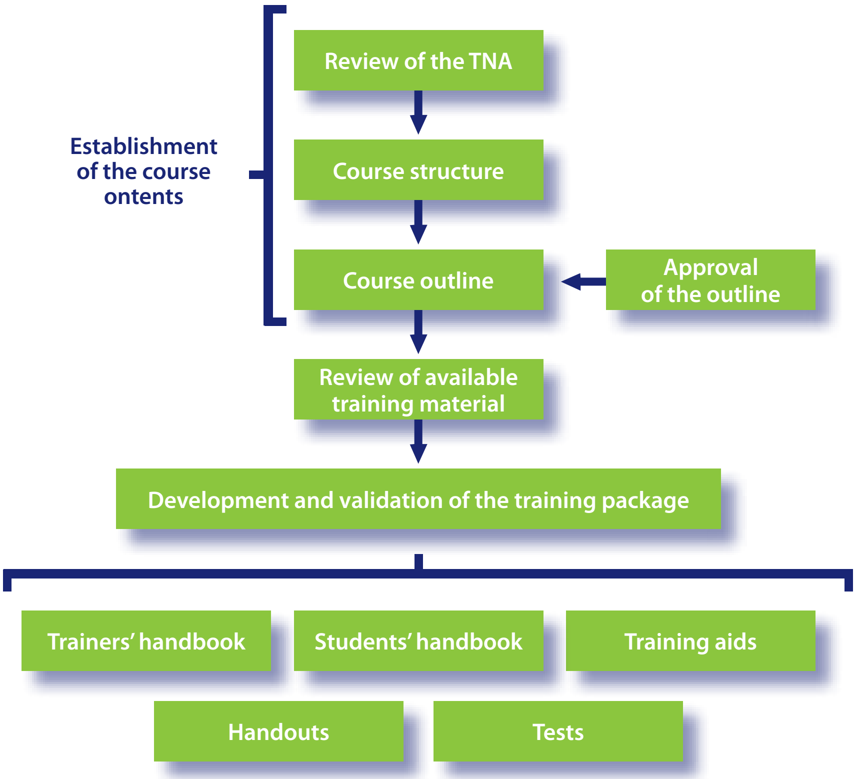
1. Before training
2. During training
3. After training or before entry (re-entry)
4. At the workplace
5. Upon exiting the workplace

How to develop training materials?

Introduction

Designing a training workshop, course or programme involves selecting the most efficient delivery technology and then developing all the training materials necessary to conduct the training. The process is set out in the steps described in this chapter.

The chapter dealing more specifically with modern teaching methods includes more practical information on the different teaching methods which are now available.
In this chapter, a course accordingly does not relate to any one teaching method (such as a classroom session), but to a sequence of learning actions designed to meet the defined teaching objectives.



Development of training materials

› Step 1 – Review of the Training Needs Analysis Report

The Training Needs Analysis Report provides an indication of the nature and scope of the training required. The most important outputs of this report are typically:

- task analysis data;
- target population profile;
- training objectives, and
- recommendations on the required nature and scope of the training.

All these elements will be used by the training designer or design team to design a course that will meet the training needs.

On the basis of these training objectives, the training methods can be decided, the sessions designed and the training plan organized. This is a decisive tool as far as the creation of a training strategy is concerned.

› Step 2 – Development of a course structure

Once the training objectives have been determined, they must be ordered in the best logical sequence. This is the one which is most meaningful to the trainee and which generates the most significant learning in the shortest period of time. The resultant product is the "course structure".

Once the course type has been decided, the most appropriate framework for structuring the course must be selected. Each course, when considered in its entirety, has a characteristic combination of various functional, equipment, or environmental conditions. Below are various alternatives and possible structures, with examples of the type of courses:

ALTERNATIVE		EXAMPLES
Hardware	a. b. c.	Firearms handling Operating surveillance equipment Radio communications
Tasks	a. b. c. d.	Conducting baggage search Completion of Seizure Report Processing of vessel cargo Taking of fingerprints
Functions	a. b. c.	Logistics and supply Administration Research and Development
Environment	a. b. c.	Seaport manifest office Airport arrivals area Land border checkpoint
Proficiency levels	a. b.	Basic training Advanced training
Knowledge areas	a. b. c.	Import/export law Counter-drug smuggling Marine operations
Duty areas	a. b. c.	International airport International seaport International land border
Systems	a. b. c.	Marine support operation Air support operation Marine office

Once a framework course structure has been determined, the next task consists in putting the training objectives into related groupings or clusters, associating the objectives with each cluster, and finally sequencing the clusters into an overall course structure.

The WCO PICARD Programme has successfully developed a comprehensive course structure for middle and high-level Customs managers, based on the network of skills required for their duties. This curriculum is available through the WCO Secretariat.

› Step 3 – Preparation of the course outline

A course outline is a broad but clearly defined outline of the main steps and activities which will constitute the course. This broad outline can be used as a basis for committing resources and developing work schedules for the design team. It typically includes the following elements:

- Rationale for the training course (a concise description of the problem or need giving rise to the training course, the general context in which the course will be conducted, its purpose and its benefits to the organization);
- Duration of training course;
- Description of the target population and the maximum and/or minimum number of participants;
- List of the training sessions or lessons and the main training objectives to be achieved in each;
- List and sequence of the appropriate teaching methods used and special training activities planned for the training programme, such as field trips, demonstrations, simulations, guest speakers, etc.;
- Timetable of points in time during the course when major evaluations of the progress of the participants will be conducted, and
- Estimates of human and other resources required to run the course (e.g. number of trainers and other resource persons, number and type of classrooms and other training rooms, equipment, documents, publications, and other training materials).

› Step 4 – Approval of the course outline

The training course must be critically reviewed by subject-matter experts. It is also crucial at this stage that the approval of the client is obtained before proceeding with the design. It therefore follows that the course outline, whilst only the skeleton framework for the actual programme, must be sufficiently detailed for third parties to be able to see clearly how the final package will meet the identified training needs.

› Step 5 – Review of existing material

The materials already available both internally and externally should be reviewed before resources are allocated to the development of new materials. Developing training material can be costly and time-consuming, and any duplication should be avoided.

› Step 6 – Development of trainers' handbook

The trainers' handbook provides a mechanism whereby the design team can communicate to the trainer what the training course is about and how it is to be conducted. This reference material includes:

- an overview of the scope and limits of the training programme;
- lesson plans;
- guidelines on the use of the training material included or recommended in the package;
- additional information that could assist the trainer in delivering the training, such as a glossary of technical terms, abbreviations, acronyms, etc. associated with the subject and/or work context, and
- a list of participants, including their experience and other relevant background information.

A template lesson plan and an example are shown at Annex 2.

› Step 7 – Development of participants' handbook

The participants' handbook usually contains the course outline (including training objectives), the list of participants, list of trainers and other administrative information required by the participants whilst at the training venue. Notes intended for the trainer should not be included in this handbook.

› Step 8 – Development of handouts and other reference material

Handouts and reference materials are technical or instructional documents which may not be appropriate for inclusion in the participants' handbook. They are given separately to participants either before or during the training sessions. Handouts and other reference materials should not be distributed if they do not contribute to the attainment of the training objectives.

› Step 9 – Production of training aids

Training aids are all items and facilities, including printed documents, equipment and technology, used to facilitate the communication of ideas, principles, concepts, facts, observations and all other information and data necessary to achieve the training objective(s). Categories of training aids include visual aids such as flip charts and samples, or multimedia aids.

› Step 10 – Development of assessments

Assessment development involves the following:

- preparation of test question(s);
- writing instructions for the administration of the test and instructions for the participants, and
- preparation of scoring guidelines.

Assessments must always be based on the defined training objectives. The lesson plan should also be consulted to determine suitable evaluation points during the course when the assessments can be held.
The "Test item development worksheet" below provides more guidance on developing assessments.

› Step 11 – Validation and approval of the training package

Once again, the clients' approval is necessary at this stage. The complete package should be submitted for examination and approval. Once approval is obtained, a pilot course should be conducted to confirm the effectiveness of the training programme. A validation report produced at the end of the pilot course will indicate any necessary modifications for completing the design phase, before the package is validated as the final product.

TEST ITEM DEVELOPMENT WORKSHEET

WRITE THE TRAINING OBJECTIVE FOR WHICH A TEST MUST BE DEVELOPED:

DEVELOP A TEST WHICH MEASURES THE PERFORMANCE DESCRIBED IN THE OBJECTIVE:

USE THE FOLLOWING QUESTIONS TO EVALUATE THE TEST ITEM

- Does the performance required in the test match the performance described in the objective?
- Does the test standard match the standard described in the objective?
- Does the test simulate the conditions described in the objective?
- Is the test question or problem clearly stated?
- Are there any words or phases that could be interpreted in more than one way?
- Are the directions clear and concise?
- Is there a clear indication of how the trainee should respond?
- Are there any words or phrases that could assist the trainee to guess the correct answer?

NOTES

Managing course development

The scope of course development

Several of the processes followed to this point, collectively represent the elements of course development. The processes include analysing performance requirements, identifying performance problems, developing training objectives and evaluation strategies and shaping these into a lesson plan.

These processes can and should, also be implemented where training programmes are already in place. In that case, the objective would be to improve these existing courses or adapt the ones developed elsewhere so that they correspond to local conditions.

Course developers are often not the people who deliver the courses. However, it may be advisable for developers to conduct the first session of a course they have developed before handing it over to the trainers.

Planning course development projects

Course development plans can be based on estimates of the number of days or weeks of instruction required for each training programme. The development of each course is best planned as a project, whose length can vary from a few weeks to as much as a year, depending on the size of the course in question. For quality control purposes, it is preferable to avoid projects larger than this, by dividing a bigger training task into several packages.

Forecasting the length of course development projects

A rough approximation of the length of a course development project can be derived from the length of the course itself. The course length roughly indicates the volume of course development work needed.

Table # contains estimates of the time required to develop courses of a given type and length:
Table #: Estimated Time To Allot When Developing a Course

PRACTICAL TOOL SHEET

COURSE LENGTH	DEVELOPMENT HOURS FOR EACH HOUR OF TRAINING
For upgrading existing courses based on course materials which have already been validated and for delivery to GROUPS	
One week	40
Two weeks	30
Four weeks	20
For new development work based on course material already validated and for delivery to GROUPS	
One week	50
Two weeks	40
Four weeks	30
For new development work as mentioned above, but intended for INDIVIDUALIZED training	
One week	100
Two weeks	75
Four weeks	50
Adapting/upgrading courses	
Adapting a course	Allocate 20% of the original development time
Updating a course	Allocate 10% of the original course development time for each year that the course has been used

The organization of the course development function

The Course Development Team should consist mainly of course developers who, in turn, should maintain a close relationship with the trainers they collaborate with. The size of the team will depend on the commitment of the Customs administration. It may consist of several experts or one or two senior trainers who should be relieved from the day-to-day pressures of training delivery in order to work principally on course development.

However, a team-based approach to course development is recommended. The team should be composed of:

- a team leader/course developer;
- one to three additional course developers;
- subject-matter experts, and
- technical specialists, as required (e.g., graphic artist, multimedia production expert, programmer).

The team leader should be an active member of the team, not merely an administrative manager. He/she should provide the technical direction and be involved in the work. Most importantly, he/she should assume complete responsibility for the course development project from its inception.

- The subject-matter experts should:
- contribute to the job analysis;
- help to open doors for the course developers to interview operational staff;
- review Training Needs Analysis Reports for accuracy and completeness, and
- review the finished course materials.

Relations between course developers and operations

Although there may be arrangements for course developers to be assisted by subject-matter experts, a formal committee, comprised of individuals who understand the need for training at various levels in the organization, should be set up to:

- notify course developers of anticipated performance problems and their implications for training;
- provide course developers with sources of data for study;
- participate in the problem analysis process;
- participate in decisions about the course of action, based on the study conclusions;
- review plans for future course development projects;
- review progress of course development projects and attempt to remove obstacles to progress, and
- review the results of evaluation, e.g., assessment of trainee attitudes, attainment of course objectives and job performance, and to take action.

There are several advantages to having such a committee. For example, it helps ensure that training reflects and meets the needs of field management and fully complies with training evaluation and organizational development requirements. It also helps ensure that non-training solutions recommended in the study report are acted upon, and promotes a harmonious relationship between training and the rest of the organization.

Qualities of a course developer

The job of course developer is not only highly demanding, but also requires diverse and somewhat conflicting skills. In the early stages of course development, developers must perform tasks that primarily involve analysis, e.g. when conducting the training needs analysis. To do this effectively, they must suspend judgement until they have sufficient data to form the basis for valid conclusions. They must be analytically-oriented, and tolerant of the ambiguity involved in the early stages of analysis.

On the other hand, the later stages of course development (such as development of training objectives, evaluation instruments, training methods, etc.) require a different mindset which is not unlike that of an artist. Often, course developers are forced to find solutions in the absence of adequate data.

It follows from the above that a good course developer has to have analytical skills and an analytical approach, plus creative training-design skills which generally come only with experience and confidence. Some general qualities to look for are:

- analytic ability
- ability to find innovative solutions
- communications skills, both oral and written
- resourcefulness and tenacity in overcoming obstacles
- ability to establish rapport and obtain co-operation
- flexible and adaptable
- open-minded, receptive to new data even when it conflicts with long-held views.

Monitoring the course development effort

The Course Development Group as a whole may be monitored through regular reporting mechanisms, but the training manager should meet with team leaders frequently to review progress. There are some common pitfalls that the manager should be on the lookout for:

- The tendency to unnecessarily prolong work in any one stage. Course developers may go overboard in gathering data, without properly assessing its usefulness, particularly in task analysis. Some reasons for this are:
  - perfectionist tendencies
  - fear of moving onto the next stage
  - poor judgement
  - lack of focus on the goals of course development.

- The tendency to skip over prescribed procedures in development. This can happen as a result of:
  - laziness
  - failure to appreciate how each step of the procedure leads onto the next
  - fear of missing deadlines.

Replacing conclusions based on valid data with personal biases and opinions, even when data are available. This can be due to:

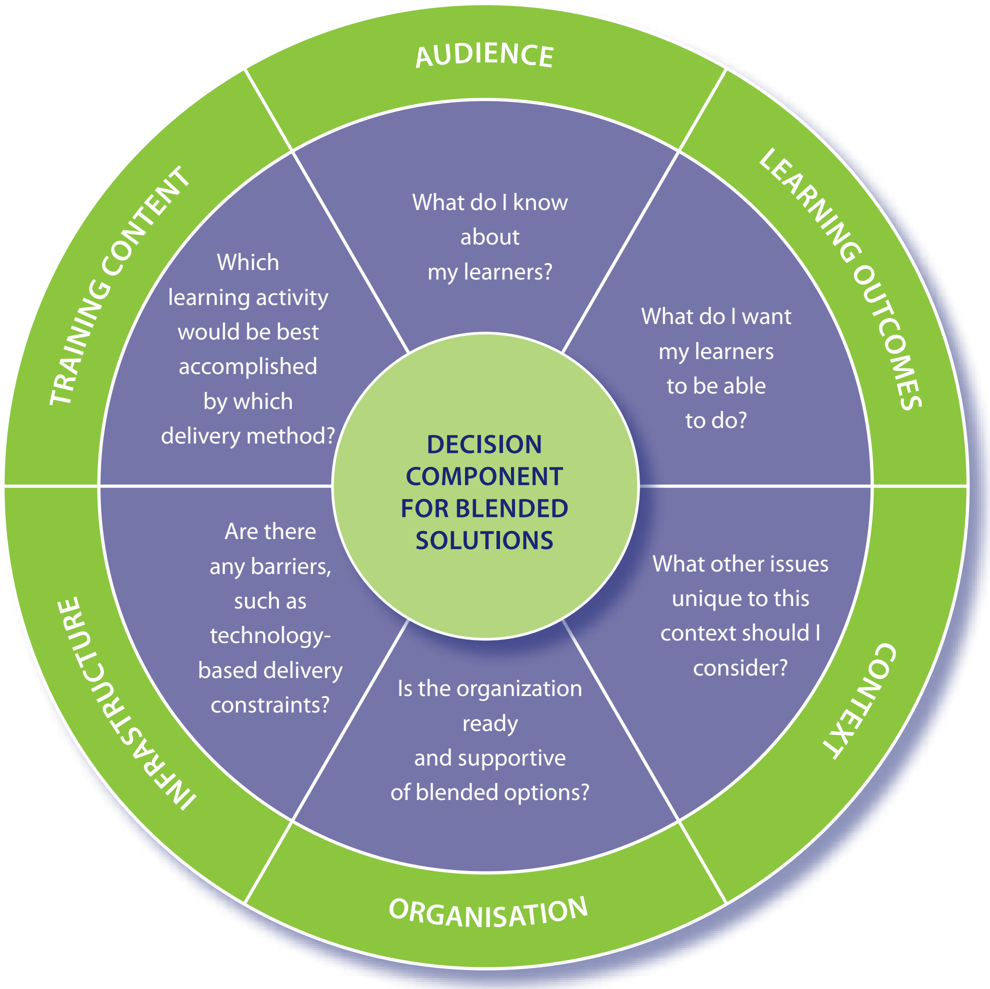
- arrogance ("I know more than the subject-matter experts do")
- laziness in retrieving files, particularly likely if the files are poorly organized.

Blending learning approaches

This section provides guidance on selecting appropriate training approaches and delivery methods.

Selecting the most effective teaching methods to efficiently meet the teaching objectives of the course is part of the teaching design process described in the previous chapter.

Which teaching approach should be selected and followed?



The teaching techniques and methods must be blended throughout the training sequence, in line with the specific objectives to be achieved:

- Acquisition of knowledge
- Development of skills
- Development of attitude
- Application by identification
- Application by simulation
- Adaptation to situations and to changes
- Application on the job

There is a wide range of methods traditionally used by trainers and designed by course developers which is not tied to any specific location and which can, in fact, be off-the-job or on-the-job: lectures, debates, case studies, role-plays, study trips, internships.

In recent decades, cost-effectiveness has been a powerful impetus in the development of blended teaching methods. Moreover, on-the-job solutions have also proven a great success because of the priority which a performance-centred administration such as Customs must give to application and practicability.

The development of communication technologies and changes in the structure and culture of an effective work environment, have been accompanied by the emergence of new methods and techniques. Some of the main trends are:

- E-learning
- Tutoring
- Mentoring – twinning
- Coaching
- Participative learning

The aim of blending the different approaches is to maximize the impact of training and better meet the learner's specific needs. This approach is often called blended-learning or b-learning.

E-learning

The e-learning solution offers a wide variety of innovative educational methods, as well as some ideal alternatives to traditional methods. Used together, they can optimize the effectiveness of training very swiftly. The interactivity of the e-learning content improves learning performance by involving trainees in the process.

E-learning offers training managers and course developers different types of possibilities. Customized use of this complementary training method by training management will create opportunities to enhance the overall on-the-job training strategy. It will also achieve tangible results, allowing uniform training to extend throughout the administration, independently of geographic, economic or structural constraints.

Challenges of e-learning

E-learning makes training more accessible to trainees.

It impacts on the sustainability and accuracy of training materials.
In fact, it is not nearly as easy to update a training manual in book form as it is to amend the same content in electronic form. That is what makes the e-learning format so much more suitable than other, more traditional media for delivering content which, by its very nature, is subject to change. Updates reach the trainees more quickly, as well as being less costly for the organization or company concerned.

In addition, e-learning provides the organization with a flexible tool, having the potential for limitless dissemination and immediate set-up and results, in exchange for a transparent and one-off investment. The cost-efficiency of e-learning has proved to be best when:

- the administration needs to train, in a short time, a lot of people who are widely spread across the territory (e.g. when there is a major organizational or procedural change), or when
- the administration needs to allow its staff to access training courses on demand, on a continuous basis.

This type of training is available whenever the trainee needs it, without the organization having to tie staff down to particular times. Also, from a purely practical standpoint, training material in electronic form is less bulky and more manageable than that in paper form. This makes training seem physically more accessible to trainees. Such ease of access promotes what is sometimes known as "opportunity learning": an employee may need "micro-training" in a specific subject for his or her work, without necessarily being able to wait for a full session or needing lengthy training. With quick and easy access to e-learning modules, employees can put together a mini training course on the subject which interests them. Finally, the fact that trainees are monitored throughout the training process provides personalized support which helps to ensure the training's success.

Blending e-learning with traditional teaching methods

Blending e-learning with traditional teaching is one of the most effective uses of blended learning methods.

Implementing this additional approach can dramatically impact on the organization overall, as it maximizes opportunities for on-the-job training and creates a continuous learning process for the practical establishment of knowledge-based administration.

The objective is to remove from the classroom anything that the trainees are capable of assimilating for themselves, so that the trainers can really add value during the face-to-face sessions. This requires a truly proactive approach from trainees before the classes, causing a radical shift in the trainees' normal perception of learning. We are witnessing a cultural revolution in the world of training where, until now, trainers have had little or no official obligation to provide assistance outside their official teaching hours. With the introduction of e-learning methods, we are moving towards a completely different approach which is service-oriented in the commercial sense of the term, and in which the trainer provides a "hotline" – with all that this implies in terms of flexibility and availability – vis-à-vis trainees who are becoming increasingly demanding.

There are different timeframes for combining e-learning with traditional classroom training. Each course can be preceded by a session to evaluate the level of the trainee. This option makes it possible to identify the programme best suited to each trainee and thus to increase the programme's effectiveness: it identifies in advance anyone who has not reached the required pre-training level and provides an opportunity for bridging knowledge gaps before further training resources are committed. E-learning can also be used after a session in order to help overcome one of the training challenges – long-term evaluation – or to allow learners to continue benefiting from a training platform to refresh learning or to make the transition between two levels of a training programme.
The trainer can also use an e-learning module to give a demonstration during the teaching session.

The following two questions must be asked when organizing blended training:

- What teaching approach will be adopted?
- How will classroom teaching be combined with distance training?

Examples

Timeframe	1st example (e-learning upstream)	2nd example (e-learning downstream)
Before classroom session	Distance training for the group, assisted by a tutor (2 weeks prior to the trainees attending the training session).	
During classroom session	Meeting in the classroom with the tutor for a debriefing on the session and to perfect the topics covered in e-learning mode. Practical work by the group revolving around case studies presented by a trainer: the classroom course level is raised.	The trainees follow a classroom course.
After classroom session		The trainees have two weeks to register, if they wish, onto distance training modules covering the same subject from a different perspective.
		Organizing a test relating to the course as a whole (face-to-face + distance training).

BEST PRACTICE SHARED BY A WCO MEMBER

THEMES AND TOPICS (IDENTIFY THE TOPIC(S) IN THE COMPENDIUM)

Training programmes

BEST PRACTICE ABSTRACT OR EXECUTIVE SUMMARY

The Customs Administration plays an important role in implementing Government policies, as well as in achieving national development objectives. Often, Customs is the first window through which the external world perceives our country. Customs provides key persons/organizations involved in investment and foreign trade decision-making processes with their basic assumptions.

Without an efficient and well-trained Customs Administration, the Government cannot fully implement its policies on revenue collection, trade facilitation and trade statistics, or protect society against a large number of threats to social and national safety.

In accordance with Article 10 of the Customs Administration Law, the Customs Administration has the authority and responsibility for organizing and delivering training, for assessing the knowledge and professional capacities of its staff, and for introducing human resource management policies and systems.

The key to achieving this goal is to have a sustainable training strategy, Annual Training Plan and E-Learning Programme. The WCO e-learning platform is the best tool for achieving these goals.

DESCRIPTION OF THE BEST PRACTICE

(A) Background/brief history, including issues or problems

The training given to Customs officers in previous years may generally be described as disorganized, poorly planned and too theoretical, mainly because of the following:

- absence of a defined training policy and system;
- lack of co-ordinated training management processes between individual organizational units;
- no recognition of business requirements and
- budget limitations.

There have also been cases when improvements in the quality of performance have had a lower priority than personal development. No criteria were developed to set training access requirements, and there were cases of non-compliance with the partially established criteria. Subjective decisions, which were not always based on real and identified needs, were also made.

Furthermore, the understanding that all Customs officers should have equal access to training has proven unrealistic due to budget limitations. Much of the training was, and still is, financed by foreign sources. Training has therefore been based on supply, rather than on demand linked to thoroughly identified training needs.

Training, as an essential element of the Administration's ongoing development and progress, finds its most important motive in the integration of the Customs Administration into the EU. The Customs Administration's European Partnership, as well as the Progress Reports on the Customs Administration country as part of its EU accession process, has set short and mid-term priorities in many areas, including public administration. For all areas of public administration, there is an explicit reference to the need to take measures to strengthen the Administration's capacity both locally and nationally, and to provide training to achieve the identified objectives.

(B) Action taken to improve the situation and solve the problems, including who is involved, how the process works, etc.

When a new approach to training is developed, an assessment should be made of the mandate of the key players in the process and of how that mandate can be exercised in practice. It is evident that significant efforts have been invested in training, both by foreign and national players. HR records can provide accurate information on the type of training delivered and by whom, the subjects covered, the training recipients and their number. However, they cannot give a clear picture of the effectiveness of the training.

There have been cases when decisions on foreign training and study trips were made ad-hoc, with such training considered a privilege, rather than a long-term instrument which is necessary for individual/organizational work and which is linked to the needs of the organization or to established individual needs. There have been cases when participants were sent inappropriately on training which had no relevance to the post, and when there was no evaluation of the training's effectiveness/outcome or of its value to the Administration.

The reason for this is that decision-making rested with individuals who did not manage the aforementioned records and had no access to them. The training selection procedures therefore tended to be subjective and, in some cases, persons who had attended several cycles of training had been replaced.

In conclusion, it is vital that training is co-ordinated more effectively and that the development of own capacities and priorities continues.

The training strategy of the Customs Administration responds in an efficient and timely manner to the needs of society. Customs officers must gain the necessary new skills and knowledge – for instance, skills on provision of advice (creation of policies and procedures) and performance (executing policies and procedures). Managers must play an important role in:

- analysis-based policy design;
- coherent co-ordination of policies and procedures;
- information gathering and management;
- strategic management of the service;
- development of user-oriented services – strategic orientation;
- development of partnerships and team working;
- emphasis on standards, such as Customs officers' integrity;
- prevention and fight against corruption;
- transparent public accountability;
- public relations.

In 2006, the Customs Administration adopted an E-Learning Programme, based on the Strategy for Training and Professional Development of Customs Officers. The reason for this was the need for more tailored training, more participants in training, for modern and interactive technologies, and for a better allocation of resources and cost benefits.

The best solution to this problem was to introduce the WCO e-learning modules on a national platform, to be hosted on the Customs Administration server, in order to improve access and the ability to modify the modules. After consultation, we received a very positive reply from the WCO Secretariat and the roll-out mission took place in June 2008. The WCO e-learning modules are very useful, easy to access and very interactive. For the Customs Administration, the biggest challenge has been to translate them into the relevant language. So far, several modules have been translated into the relevant language, others are in English, but the process of translation is ongoing.

(C) Result – benefits

Initial results are very positive. The WCO e-learning modules are widely accepted by Customs officers. They have more time to access the training modules individually and there is also the possibility of running special training courses based on the needs and assessment of Central Headquarters. The Guideline Manual has been translated into the relevant language and every Customs officer can access the WCO e-learning platform via the Customs Administration intranet page.
Tutors and administrators can monitor the progress of participants by checking the time spent on learning, the results, and the average time and results achieved. We believe that the WCO e-learning modules provide significant opportunities for increasing the administrative capacity of the Customs Administration.

(D) Lessons learnt – success criteria/constraints/problems

During 2008, the Customs Administration significantly increased its administrative capacity, achieving an average 4 days of training per Customs officer. The broader implementation of the WCO e-learning modules in 2009 will further increase this number. The introduction of the e-learning modules gained the Customs Administration of the country the "Best Governance" award from among the whole public administration.

(E) Current and future action – project and plan, if any

The Customs Administration plays an important role in implementing Government policies and in achieving national development objectives. Without an efficient and well-trained Customs Administration, the Government cannot fully implement its policies on revenue collection, trade facilitation and trade statistics, or protect society against a large number of threats to social and national safety.

The Training and Professional Development Strategy is a practical response that identifies and detects the training needs of Customs officers and of the business community. The future efforts of the Customs Administration will focus on successful training delivery. Successful implementation depends on all Customs officers being fully committed to the practical application of the principles and actions proposed in the E-Learning Programme and in the WCO e-learning modules.

Other teaching approaches

Mentoring – twinning – coaching

These three training methods first appeared in Anglo-Saxon universities and high schools. They are aimed at developing learners by having them gain the necessary knowledge and skills in a supported way. They involve a developmental relationship between two persons.

Rather than simply giving the answers, the trainer's role should be to help the learner discover the answers for him/herself. In these developmental schemes, the trainers need to facilitate the experience of discovery and learning. The trainer's role is to help the learner discover their true self and experience their own attempts, failures and successes and, by so doing, to develop their natural strengths and potential.

The difference between the methods lies in the person that supports the learner, as shown in the table below.

Type of relationship	Profile of the "trainer"
Mentoring	The mentor has more professional experience than the learner in the field that he is to "teach".
Coaching	The coach does not necessarily have experience of the learner's professional field, but will help him/her to develop in his/her job.
Twinning	The twin is usually a person at the same level as the learner, but from another organization. For example, it may be somebody from a parallel organization in another country, or somebody doing the same job in a different organization.

In any event, it is important – as in the case of other types of training actions – to establish training objectives, create schedules and hold regular assessments in order to benefit fully from these kinds of programmes.

Tutoring

Tutoring can refer to the same kind of relationships as those indicated in the previous paragraph, but within an online training environment.

The tutor has an educational role, a social support/group development role, a managerial role and, usually to a lesser extent, a technical support role.

Online tutoring implies a self-motivated and independent learner. Learning is the key focus of the process, as opposed to teaching. E-moderating usually refers to group online or web- based learning that:

- Is based on constructivist and social-constructivist principles
- Focuses on utilizing online dialogue and peer learning to enrich learning within the online environment
- Focuses on achieving goals of independent learning, learner autonomy, self-reflection, knowledge construction, collaborative or group-based learning, online discussion, transformative learning and communities of learning, as opposed to delivering online content via a transmission mode.

In a full online training environment, the role of the tutor is crucial as this person will be the only reference for the trainee and will guide him/her through the learning process.

Participative learning

The concept of participative learning is not new and is used most of the time by training developers and trainers. It is based on the idea that trainees can learn not only from the trainer, but also from and with each other, sharing their experiences and building their knowledge through the experiences of others.

The methods often used for participative learning in a classroom environment are group discussions, case studies, group exercises, etc.

Nevertheless, the development of Web 2.0 and the expansion of e-learning have created new tools for the use of participative training methods in the online environment. When integrated on the e-learning platform, these tools may complement the e-learning courses very effectively by offering a blend of methods that help the students acquire knowledge or skills in greater depth.

Among these tools, are:

- Wikis: these could be defined as online open encyclopaedias to which each participant can contribute and in which each can write articles, based on their own knowledge and experience.
- Forums: these are online message boards where participants can share their views on different subjects, or ask for suggestions from other participants when facing a problem. It is advisable for a moderator (the tutor or trainer) to monitor the forums in order to guide discussions and answer the most difficult problems.
- Blogs: these are online journals where participants can express themselves in an individual or collaborative way. They may reflect the development, doubts and achievements of learners during their training.

Training infrastructures

The following section focuses on the different elements needed to set up a Training Centre. These guidelines deal with the building, equipment and services and describe step-by-step the conception, design and construction of training facilities. Each element might, however, be used when considering the review and upgrade of existing infrastructures.

It should be noted that an administration might have one or several Training Centres, depending on the organization's policy, resources, and specifications.

Some training facilities might specialize in a specific kind of training, based on the target audience's level (e.g. ignition courses/initial training, Management Centre) or specialization (enforcement training, etc.). Some administrations might prefer to have Regional Training Centres which offer training opportunities to the whole territory and play a different role to that of the national Centre.

In any case, the same process is involved in establishing infrastructures as it is in renewing existing ones.

Developing new training facilities or upgrading existing ones is an important decision and must be sanctioned and supported at the administration's highest decision-making levels. Approval of such a decision triggers a step-by-step implementation process which should involve the following stages:

Appointment of a Steering Committee	**Composition** The conception, design, planning and other processes leading to the eventual construction of a Training Centre represent a complex task. This task is usually undertaken by a Steering Committee comprising experts in relevant fields (representatives from the Director General's office, field offices, the accounting department, HR and training services, officials who are affected by the project, and even experts from other organizations to provide different perspectives, etc.). It is imperative that the Head (or prospective Head) of the Training Centre be a member of the Committee. **Terms of Reference** The Steering Committee should be provided with enough resources, and given sufficient authority, to make decisions on matters within its terms of reference. It should then define its own working methods and strategies before embarking on the task. This should include planning the execution of the various tasks and agreeing on the criteria for evaluating the outcome of each task.
Consultation of long-range forecasts of training requirements	**Factors affecting training demand** The demand for training is not static. It fluctuates with changes in the internal and external environment in which the administration operates. Some of the factors which influence training demand are both external factors (change in legislation, technology, regional agreements, etc.) and internal factors (change in organizational structure, policies, human resources structure, etc.) These long-range training forecasts, such as human resources audit and supply and demand forecasts must be a systematic process led by Human Resources Development management. It is then possible to establish a training workload plan.
Determination of the facilities required	**Determination of the scope and level of utilization of the facility** An initial utilization level (number of trainees attending courses in one year expressed as a percentage of the total annual trainee capacity of the facility) of 60-80% is usually recommended but depends on the HR forecasts. **Determination of specific requirements** An evaluation of the facilities which already exist must first be completed: SWOT analysis, characteristics and capacities. An accurate determination of additional requirements is then possible. This stage involves a detailed breakdown of the space required, as follows:

- Training space:

types of classrooms	special-purpose rooms (trainers' meeting room, relaxation/study/syndicate rooms, prayer rooms, etc.)	laboratories
simulated work environments (search bays, etc.)	learning resources centre (library, document research)	auditorium/conference service
indoor shooting range/ sport facilities	storage room for samples for Harmonized System classification training	IT and computer rooms

- Living space:

bedrooms/dormitories, caretaker accommodation, lounges, dining space, lavatories, medical services, utilities, parking space, kitchen space, small works room, trainers (including guest trainers), course developers, administrators, support personnel, contract services, etc.

- Other space required for:

storage, assembly and shipping of training materials, printing and reproduction, computer operations, multimedia studio, registration and trainee support, equipment maintenance, reception area, central files, multi-purpose/convertible sports facility, security, etc.

Development of options

Review of the options

Development of training facilities involves a considerable outlay of resources. Once taken, decisions are difficult and/or expensive to alter, so the best decision must be made from the outset. For this to be possible, the Steering Committee must ensure that as many options as possible are reviewed before the administration embarks on a course of action.

When devising alternative strategies, some of the following options/considerations might be taken into account:

Considerations internal to the administration	Sole occupancy or shared facilities	Growth potential	New construction or renovation of existing structures	Distressed real estate
	Recreational facilities	Availability of support staff, student density and transportation	Proximity to hotels	Environment conducive to learning (surroundings, noise, etc.)
Considerations external to the administration	Availability and condition of utilities	Zoning regulations	Community acceptance	Proximity to other important services

Specification of functional characteristics of spaces

The functional specifications of a building determine its functional characteristics: each space must be defined in detail with its functional specifications.

A complete list of all the activities that will be handled in each space must be compiled prior to the architectural design. This requires a detailed knowledge of each activity: e.g. role-plays in simulated work environments, e-learning sessions, research.

Design of training space

The design of space is a technical matter that requires professional skills. However, the Steering Committee must acquaint itself with some of the concepts.

Moreover, some specific elements, such as security and diversity issues, are based on the administration's policy.

- Flexibility and adaptability
- Activity space layout
- Determination of space requirements and room sizes

Estimation of the cost of space and furnishings

The cost per unit area of training space depends on several factors. Likewise, the cost of furniture and furnishings depends on many variables, which include type and quality. These factors are decided as a matter of policy, depending on the budget available and the life expectancy of the training facility.

Once again, an architect or other expert must be consulted when this costing is being made as it is on this basis that the final proposals to management will be made.

Narrowing choices and making detailed proposals

A concise but detailed proposal must then be produced by the Steering Committee to efficiently inform the decision-making process. It is important that the proposal is properly drafted to ensure that the most beneficial options are chosen.

After the extensive analysis, the Steering Committee is responsible for defending the proposals and justifications to top management.

Annex 2

Lesson plan example and template

LESSON PLAN – EXAMPLE
Topic: Training aids: Visual aids, verbal aids, methods

Teaching points	Content	Aids + method	Training time
Introduction Visual aids	Group question: "In your opinion, what resources can you use to consolidate the success of the training?" › Write the answer on the board (board, overhead projector, slides, films, handouts, example, comparison, quotation, etc.) › Visual aids › Verbal aids	Motivation B/B T72, T73, T74, T75	 10 minutes
	Exercises in sub-groups: Supplement the above list with class contributions and ask each sub-group to indicate the advantages and disadvantages of each visual aid, as well as their possible uses.	Work in sub-groups	45 minutes
	Or: Exercises in sub-groups (alternative): Of the list of visual aids drawn up on the blackboard, three (3) are widely used: documents to be distributed, transparencies and flip charts. Divide the class into 3 sub-groups. Each group must present to the class what it has discovered, using the visual aid that it must promote.	 Explanations	60 minutes
	15 minutes after the start of each task, go round the sub-groups, asking them to make a list of the disadvantages or weaknesses of the three visual aids.	Individual exercise	30 minutes
	The teams' reports are completed by the trainer, if necessary. To conclude, highlight the general aspects relating to the proper use of visual aids.	T76 – T83	
	The results are presented by each group in turn, changing the spokesperson each time. The sub-group that does not present the results can supplement the list.		
	The trainer returns to each visual aid to supplement the sub-groups' summary:	Explanations	
	› General › Advantages/disadvantages › Possible use › Selection criteria		60 minutes
Exercise	Prepare a transparency on a subject of your choice (possibly related to the 30-minute presentations).	Individual exercise	30 minutes
Performance objectives	The participant will be able to: › Correctly and satisfactorily use the visual aids; › Produce suitable transparencies himself (by hand); › Handle the overhead projector properly.		

Teaching points	Content	Aids + method	Training time
Verbal aids	Group question: "What is meant by verbal aids? Can you give some examples?" Review, step by step, the different verbal aids and explain their possible uses, asking the participants to provide examples for each type.	Question T73 Explanations	60 minutes
Performance objectives	The participant will be able to make best use of verbal aids.		
Introduction Teaching methods	Link to teaching preparation and communication. Outline of transparency › choice of teaching method Group question: › "In your opinion, what is meant by teaching methods?" › "Can you give any examples?"	T85 T86	10 minutes
Teaching methods	The answers you have given can be classified into three categories: › positive methods › questioning methods › active methods Transparencies	T87	20 minutes
	Form 3 sub-groups: 1 sub-group draws up the list of advantages 1 sub-group draws up the list of disadvantages 1 sub-group draws up the list of possible uses.	Work in sub-group	30 minutes
	Methods: › presentations › demonstration › discussion › simulation: • case study • role-play › workshop › individual work › brainstorming › questioning	B/B T93 T94	
	In groups, each sub-group relays the result of its deliberations. The trainer completes them if necessary.	T95, T96J84	30 minutes
Performance objectives	The participant will be able to: › Understand the 9 main methods › Recall the characteristics of the methods, stating their advantages and disadvantages › Choose in the preparation and teaching phase a teaching method suited to the situation.		

LESSON PLAN – TEMPLATE

Topic: ______________________________

Teaching points	Content	Aids + method	Training time

9.10. Resignation and outplacement

At some point, the time may come when an employee starts looking for a job outside the Customs Administration. For example, the employee may retire or be offered a job in another organization. In these cases, resignation is voluntary. However, in any organization, some employees may be forced to leave (for instance, as the result of organizational restructuring or an inability to meet the requirements). In such cases, an outplacement procedure may be an option.

Outplacement

What is outplacement?

Outplacement is the set of services and advice given to an employee by the employer with the objective of helping the employee find a new job outside the organization where he is currently employed. Examples are: providing help with job applications, finding out information about job opportunities and helping with self-assessment. In some cases, an outplacement agency may be called in.

When to use outplacement?

When restructuring has taken place and the employee cannot be found a different post, or when an employee cannot meet the requirements of the job. Outplacement can also be used to stimulate organizational mobility or to stimulate the outflow of personnel.

When is the outplacement route exhausted?

Before the employee and employer start with outplacement, they agree on the duration of the procedure. They also agree on what happens in case outplacement is not successful.

Who pays for outplacement?

Usually, the Customs Administration pays. Whether all or only part of the costs is paid depends on the personal circumstances of the employee.

Exit interview

A resignation or exit interview can be conducted when an employee resigns from the Customs Administration or leaves the organization for other reasons.

What is an exit interview?

The exit interview is a conversation between the HRM manager (recruitment expert) and the employee who is resigning from the Customs Administration to take another job, or who is transferring from one governmental department to another.

What is the purpose of the interview?

The purpose of the interview is to find out the employee's positive and negative opinions and perceptions about the job, as well as to learn the reasons for his resignation. Usually, the employee has carefully considered the strengths and weaknesses of his current job before resigning, and the organization can use this information to improve its internal structure.

Interview arrangements

The HRM unit (the recruitment expert) invites the employee to an exit interview.
In the invitation, the employee is informed about the procedure which will be used for the interview and about the questions which will be discussed, so that he has time to prepare.

Questions

Before the interview, the interviewer collects information from the employee's personal records.
The interview starts with an introduction, with information about the purpose of the conversation, an explanation of how the interview will be used, and information about who will have access to the information given in the interview.

The main purpose of the interview is to discover the reasons for the resignation. These are mostly reasons that relate to the Customs Administration as an employer.

The interviewer takes notes during the interview (see also the Exit interview form, Annex 26) and checks the information with the employee at the end of the interview. Together, they decide what information given in the interview can be communicated to the manager in charge.

After the interview

The conclusions drawn from the interview are discussed with the manager in charge, with a view to exploring any actions for improvement.
All notes will be classified as confidential and saved for later use for a limited period (maximum of 2 years).

9.11. Annexes Human Resource Management & Leadership

Content

Annex 1

Recruitment, selection and induction checklist

General questions

- Is new staff really required or are there alternatives (for instance redistribution of work)?
- Use the tool Staff requirements analysis (Annex 2).
- What are the costs of recruitment?
- Use the tool Estimate of recruitment costs (Annex 3.)
- If required, is the job still the same or has it changed? (This might be an opportunity to reorganize certain tasks.)
- How does reduction of staff fit in with staff planning and company objectives as a whole? Is it likely that the job will disappear? (If yes, when?)
- When do you need the new employee? For what period?
- For how many hours/days a week/month?

Job (the Job description checklist (Annex 4) could be used as a further aid)

- Does a proper and up-to-date job description exist?
- To which organizational unit will the new employee be posted?
- What is the name of the job?
- What are the tasks to be performed?
- What is the salary (job evaluation)?
- Which will be the new employee's responsibilities and powers?
- What is the required level of education?
- What are the desired professional knowledge and skills?
- What are the desired competencies?
- How many years of experience are required?
- What are the required personal characteristics?
- Does the organization need an employee whose career will develop quickly?
- What is the environment of the job (work atmosphere, work conditions, colleagues, clients, equipment, etc.)?
- What do you expect of this job in 3 years' time? Is it likely that your requirements will have changed in 3 years time?

Offer

- Does the organization offer a permanent or a temporary contract?
- On which days and hours will the new employee be working?
- What is the salary and what is the margin for negotiation?
- What are the (secondary) terms of employment?
- What career development possibilities can be offered?

Procedures

- Who is involved in the procedures?
- Who does what?
- Who takes the final decision?
- What is the timetable? The Example of a recruitment timetable (Annex 6) may be used.
- Will the job be advertised internally first?
- In what way(s) will the employer recruit externally? See also Job Advertisement form (Annex 8).
- How will the selection procedure be conducted?
- How many candidates will be invited? See also Selection form application letters (Annex 10) and Scoring form application letters (Annex 11).
- How many rounds of interviews will be held? See also Job interview checklist (Annex 12).
- Does the procedure involve tests (psychological tests, assessments)?
- Is a medical examination required?
- Are character references followed up? See also Reference Checking Documentation Form (Annex 15).
- Will candidates be kept on a list for any future job openings?
- How is the job induction arranged? See also Induction checklist (Annex 17).

Besides all the forms (Annexes) mentioned above, an Interview form (Annex 13), an Interview/individual assessment form (Annex 14) and the form Questions about the candidate (Annex 16) could be used in the actual recruitment process.

Annex 2

Staff requirements analysis tool

Division/unit	
Location	
Recruitment manager	

Tasks of the division/unit	
Number of employees	
Number of persons on sick list	
Number of persons on leave of absence	
Number of persons on special leave	
Total number of persons currently working	

Analysis of inventory of needs (If more room is needed, please continue in "Other information concerning staff requirements analysis".)

Reasons for recruitment	
Employee is absent from … to …	
Reasons for absence	
Employee's regular working hours (in %)	
Employee's tasks	
Tasks that temporarily can be taken over by co-worker in the same division/unit or within the organization	

Tasks that can be handled remotely

The employee was given the opportunity to handle several tasks remotely ☐ Yes ☐ No

Other reasons for recruitment

Percentage	
Tasks	

Other information concerning staff requirements analysis

Annex 3

Estimate of recruitment costs

Department/unit:
Staff turnover leads to:

- decreased productivity during the term of notice
- costs of recruitment/replacement
- costs of induction/training/mentorship
- costs of failed recruitment/wrong competency

Decreased productivity (for you as a manager)

Employee's term of notice		Number of months, varies from 1 – 3 – 6
Work hours as a percentage	%	Your work hours, total
Monthly salary for full-time position	$	Your monthly salary for full-time position
Decreased productivity	0.00 $	Automatic calculation (monthly salary x 25%)
Cost price per hour	0.00 $	Automatic calculation (monthly salary x 1.5%)
Decreased productivity, total	0.00 $	
Subtotal	0.00 $	

Recruitment costs

Requirements analysis, costs per hour	$	Total costs per hour of all persons involved in the recruitment process. (Individual costs per hour multiplied by 1.5% and number of hours invested.)
Costs of job advertisement	$	
Travel costs for candidates	$	Add together all the costs incurred by the candidate for the interview, etc.
Number of hours spent on recruitment: selection, interviews, decision-making, recruitment manager, recruitment expert, participation of co-workers – number of hours x average cost price.	$	Total number of hours for all persons involved in recruitment process, multiplied by respective cost price per hour[1]
Recruitment costs, total	0.00 $	
Subtotal	0.00 $	

Induction/education/training costs

Employee's monthly salary	$	Employee's gross monthly salary, including extras for irregular working hours.
Costs of training, accommodation and travel	$	Total costs of employee's education/training
Costs of induction/becoming familiarized, managers, co-workers, mentors, etc.	$	Employee's monthly salary x 1.5% multiplied by number of hours.
Total costs of managers, mentors, etc.	0.00 $	
Employee's total salary during the term of notice	0.00 $	Automatic calculation (monthly salary x 25%)
Induction/education/training, total	0.00 $	
Subtotal	0.00 $	

Failed recruitment

Total costs of failed recruitment	0.00 $	This amount is an estimate of the total costs of failed recruitment

Notes

Annex 4

Job description checklist

A good job description is virtually indispensable when an employer starts to recruit for a vacant post, either internally or externally. The recruiting manager first draws up a job description (if desired, consulting the personnel officer). The following checklist may be useful.

Managers and support staff may consult the Dictionary of Competencies (DC) (Annex 26) to decide on the competency profiles for the job descriptions. The first thing needed is to establish the required behaviour for the job. The DC can subsequently be used to determine the set of competencies needed for that specific behaviour. The competency profile can then be drawn up on the basis of the competencies that are essential for the job.

General	■ Job ■ Location ■ Date
Job content (the Set of requirements (Annex 5) could be used here)	■ Range of tasks ■ Objectives ■ Responsibilities
Required level (Set of requirements)	■ Job level ■ Level of education ■ Level of experience ■ Competencies (Dictionary of Competencies (DC))
Work conditions	■ Are the conditions physically challenging? ■ Are the conditions mentally challenging? ■ What tools or equipment must be used? ■ Where and/or in what (type of) environment is the work to be carried out? ■ Do the tasks carry any health risks? ■ If so, which risks? ■ What precautions can be taken?
Work relations	■ To whom is the employee accountable? ■ Does the employee have executive powers? ■ For what department(s)? ■ How many persons? ■ Is co-operation with other persons required? ■ Who are they?
Terms of employment	■ What is the gross salary? ■ What are the secondary terms of employment? ■ What are the working hours of the employee? ■ How many days per week does the employee work?

[1] Calculation model: monthly salary x 1.5%, e.g. 2000 $ x 1.5% results in a cost price of 30 $ per hour.

Annex 5

Set of requirements

Job title:	**Supervisor/Contact:**
Main tasks *What do the tasks comprise and what is the work environment? (Working individually, in groups, daytime or evening hours, etc.)*	**Core competencies** What are the basic requirements? What minimum competencies should the candidate meet?

Specific competencies What is desired in addition to the basic requirements? What unique combination of competencies does the organization need?	**Experience and skills** Previous work experience. What experience is the Customs Administration looking for?

Personal characteristics Define what is meant by a certain characteristic and describe the situations in which the characteristics would be needed by the candidate. Remember that these are personal characteristics that relate both to the capability to perform the job and to the capability to fit in with the organization.	**Other requirements to be met by the candidate** Driver's licence, interest in being a lecturer at the Customs Training Centre, no allergies, salary range, work hours, travel, etc.

Annex 6

Example of a recruitment timetable

This timetable assumes that you advertise in a magazine or paper to recruit new staff.

Activity	Day
Determine job description and selection criteria Determine how to target potential candidates Write text for advertisement and reserve space in magazine or paper Announce the vacancy internally (time to respond: one week)	Day 1
Interview internal candidates	Day 9
Publish the advertisement	Day 15-22
Receive job application letters	Day 17-34
Selection of letters	Day 35
Send invitations for interviews	Day 35
Job interviews	Day 45
Final decision: who will be offered the job?	Day 46
Inform candidate: make an offer	Day 46
Decide on candidate	Day 50 (2 months)
Starting date (assuming two months' notice with former employer).	Day 120 (4 months)

Annex 7

Job application form for internal candidates

For the job of

....

Send this form back before: to: Customs Administration
PO Box ....
City ....

1. Personal details

Surname	....
First name(s) in full	....
Sex	☐ male ☐ female
Age	. .... years
Address	....
Postal code	....
City	....
Phone number	at home. ....
	at work. . . . .
Employment	☐ full-time
	☐ half-time, . . . hours
Details	☐ no ☐ yes
	If yes, state details.

2. Training outside the Customs Administration

What courses have you taken outside the Customs Administration?

	Course	Certificate obtained in	Number of years	Subjects
1.	....			
2.	....			
3.	....			
4.	....			
5.	....			

2.1 Training within the Customs Administration

What courses have you taken within the Customs Administration?

	Course	Period	Completed in year
1.	....		
2.	....		
3.	....		
4.	....		
5.	....		
6.	....		
7.	....		
8.	....		
9.	....		
10.	....		

2.2 Internal/external training/seminars, etc.

What internal and external training and/or particular courses have you taken, other than those required by the service?

	Course	Completed in year
1.	....	
2.	....	
3.	....	
4.	....	
5.	....	
6.	....	
7.	....	
8.	....	
9.	....	
10.	....	

2.3 Work experience outside the Customs Administration

What relevant jobs have you had outside the Customs Administration?

	Job (description)	Organization:	Period
1.	....		
2.	....		
3.	....		
4.	....		
5.	....		

2.4 Jobs within the Customs Administration

What relevant jobs have you had within the Customs Administration?

	Job (description) and unit	Grade	Period
1.	....		
2.	....		
3.	....		
4.	....		
5.	....		

2.5 Additional positions inside or outside the Customs Administration

What relevant additional positions have you held inside and/or outside the Customs Administration? For instance, chairperson posts, teaching posts, advisory posts.

	Additional position (description)	Period
1.	....	
2.	....	
3.	....	
4.	....	
5.	....	
6.	....	
7.	....	
8.	....	
9.	....	
10.	....	

2.6 Work/project groups within the Customs Administration

In which work/project groups and/or committees of the Customs Administration have you participated or do you participate in?

	Work/project group (description) Period
1.	....
2.	....
3.	....
4.	....
5.	....
6.	....
7.	....
8.	....
9.	....
10.	....

3. Other (work) experience and/or achievements which demonstrate your suitability for the position

....
....
....
....
....
....
....

4. Motivation for applying for the position

What are the most important reasons for your application?

....
....
....
....
....
....

Date of application: .... Signature: ....

Date of receipt (leave blank): ....

Annex 8

Job Advertisement form

Contents

- Name of job (in bold capitals). Be as specific as possible.
- Catchphrase (in bold capitals). Not essential, but it will help draw attention to the advertisement.
- Concise description of tasks and responsibilities.
- Number of work hours per week.
- Location.
- Selection criteria: education, experience, personal characteristics.
- What does the organization have to offer?
- Salary/terms of employment.
- Employment contract, temporary or permanent.
- Training opportunities.
- Other information (for instance, irregular hours).
- Whom to contact for more information about the job.
- How to apply (in writing, by telephone or via an application form). See also Job application form for external candidates (Annex 9).
- Application deadline.
- Contact details and name of the person to whom the candidate should address the application.
- Other information.

Advice

If you advertise frequently, keep a record of responses. This will come in handy when you advertise again.

Annex 9

Application form for external candidates

Personal details

Surname: Christian name(s): Date of birth:	Address: Postcode and city: Telephone: E-mail address:

Your skills and capabilities

Which job(s) are you applying for?

How many hours per week would you like to work?

☐ full-time	☐ half-time, ___ hours per week

Are you prepared to work irregular hours for ___ ?

☐ yes	☐ no

What gross monthly salary do you expect to earn?

……USD

Education (after primary school)

Type of education/course	from/to	Certificate
…………………………………………………………	………………………………	………………………………
…………………………………………………………	………………………………	………………………………
…………………………………………………………	………………………………	………………………………
………………………………………………………	………………………………	………………………………

Education (after primary school)

Type of education/course	from/to	Certificate
…………………………………………………………	………………………………	………………………………
…………………………………………………………	………………………………	………………………………
…………………………………………………………	………………………………	………………………………
………………………………………………………	………………………………	………………………………

Are you currently taking any courses?

☐ yes	☐ no
If so, which?	
When will you complete these?	

Work experience

Previous jobs: Name of organization	position	from/to
…………………………………………………………	………………………………	………………………………
…………………………………………………………	………………………………	………………………………
…………………………………………………………	………………………………	………………………………
………………………………………………………	………………………………	………………………………

With what sort of tasks/assignments are you familiar?

With what sort of equipment/software are you familiar?

Do you hold any additional positions?

☐ yes	☐ no
If yes, what positions and with what organization?	…………………………………………………………

Motivation

Why are you interested in the job advertised?	…………………………………………………………
Why are you interested in working for our organization?	…………………………………………………………

Other information

How did you learn about this vacancy?	☐ an advertisement in …………………………………… ☐ family/friends ☐ job centre ☐ other

What is your current term of notice?

Space for additional remarks

Signature

Place :	Date :	Signature :

Annex 10

Selection form for application letters

Information in the application letter:

The application letter regards the post of: [name of job]
Reference: [Letter reference]

Name of candidate: ____________________

Name of member of selection committee: ____________________

Scoring in detail:

The detailed scoring of a candidate is done on the basis of competencies and other job requirements:

indicate score as follows: excellent=5 very good=4 good=3 average=2 insufficient=1

Criteria/competencies:...**score**

1...[ ]
2...[ ]
3...[ ]
4...[ ]
5...[ ]
6...[ ]
7...[ ]
8...[ ]
9...[ ]

total score [ ]

Remarks

____
____
____

Motivation/expertise:

Does the application letter indicate sufficient motivation and expertise for the job:

- Motivation [ ] sufficient [ ] insufficient
- Expertise [ ] sufficient [ ] insufficient

Description of the risk, if any:

____
____
____

Conclusion regarding pre-selection for interview:

The candidate [ ] will [ ] will not be invited for an interview.

Reasons for rejection: ____________________
____
____

Annex 11

Scoring form for application letters

Vacancy: (fill in name of job)														
	Name	**a**	**b**	**c**	**d**	**e**	**f**	**g**	**h**	**i**	**j**			
	Job requirement	1	2	3	4	5	6	7	8	9	10	Total score	Motivation	Expertise
1												0		
2												0		
3												0		
4												0		
5												0		
6												0		
7												0		
8												0		
9												0		
10												0		
11												0		

Annex 12

Job interview checklist

Selecting new employees is a costly affair. Careful preparation and execution may prevent an expensive mistake. The following checklist is a useful tool when preparing to hold job application interviews.
There are several reasons why an initial interview may be followed by a second interview: to check that first impressions are correct, to expand on specific issues, to introduce the candidate to future potential co-workers, or to discuss the terms of employment.

Procedures

- Send the invitation for the interview well in advance. Clearly indicate:
  - Where the interview will take place (you might want to include an itinerary), and
  - Date and time.
- Arrange for a limited number of interviews per day (for instance, not more than 4).
- Arrange for sufficient time for the interview. Do not schedule the next interview until at least one and a half hours later.
- Notify the front desk about the candidate(s).
- Arrange for a quiet room.
- Prevent telephone interruptions or interruptions from colleagues.
- Do not keep candidates waiting too long after they arrive. Make sure that there is a quiet area in which they can wait.
- If there is a selection panel, ensure that panel members do not sit in a straight row. Instead, create a friendly and equal seating arrangement. All those present should be able to see each other.
- If you are the interviewer, collect the candidate from the waiting room yourself. When walking to the interview room, you might ask some general questions to make the candidate feel at ease – e.g. How was the journey? Was the location easy to find?

Interview preparation

- Make sure that you have read the candidates' letters carefully in advance.
- Read the job profile through thoroughly.
- Think of a number of subjects and draw up a list of questions. A list will help you not to forget any of the subjects and will enable you to compare the various candidates.
- Structure the interview, for instance:
  - Introduce everyone;
  - Discuss the curriculum vitae;
  - Explore the candidate's motivation;
  - Discuss capabilities in relation to the tasks;
  - Explain the next steps in the procedure.
- Use the same question wording for every candidate.
- Alternate between open, closed and direct questions.
- Compose a selection committee (2-3 selectors; supervisor, personnel officer, future colleague).
- Discuss the roles of the selectors (chairperson, supervisor of the proceedings).
- Do not go into too much detail during a first interview. You might want to keep this for a second interview.
- Make sure you have pen and paper to hand, as well as the candidate's letter and your list of questions.

The interview

- Offer the candidate something to drink. Do not start with your questions until the drinks are poured out and are on the table.
- Have the application letter, the curriculum vitae and the list of questions ready.
- Use the Interview form.
- Show authority, but be friendly and polite.
- Allow the candidate to say whatever he/she has to say, but keep control of the conversation.
- Every now and again, summarize what the candidate has said in order to ensure you have understood everything correctly.
- A touch of humour is fine, but not too much.
- Do not form an opinion too quickly.
- Do not focus solely on knowledge and skills: the candidate should fit in with the team too.

Annex 13

Interview form

Position		Date	
Interviewer		Candidate	

Strategy
Introduction
Introduce other interviewers
Explain proceedings of the interview

- **Introduce Customs Administration/vacant position**

Job
Tasks
Work methods
Travel, time in lieu/flexitime, etc.

- **Presentation of candidate**

Background
Education
Work
Private life
Leisure time

- Ask questions and refer to candidate's presentation
- Conclusion

Annex 14

Interview/individual assessment form

1) Behaviour and presentation (1-5 points)

Fluency?	
Expression and presentation	

a) How does the candidate behave during the interview?

Active?		
Passive?		
Committed?		
Well prepared and competent?		
Eye contact?		
Body language?		
Voice?		
Attitude?		

2) Motivation

<table>
<tr><td>How eager/interested is the candidate?</td><td></td><td></td><td rowspan="5">Questions concerning the candidate’s skills for the specific position

E. g.:
Course of action
(Well-structured)
Customer-oriented
(Social skills)
Analytical skills
Innovative capacity (How, Why)
Results (What)
Experience with different tools
Knowledge</td></tr>
<tr><td>Why would you apply for this job?</td><td></td><td></td></tr>
<tr><td>Why would you want to work with the Customs Administration?</td><td></td><td></td></tr>
<tr><td>What attracts you to working on these particular issues?</td><td></td><td></td></tr>
<tr><td>Have you applied for other jobs? If so, within which field(s)?</td><td></td><td></td></tr>
</table>

3) Job experience

What is your previous job experience?		
What responsibilities/work tasks have you had?		

4) Family situation

What is your current situation?		
How do you manage the balance between job and private life?		
How do you manage business trips, late working hours, staying away overnight?		
How would you handle having to move house (if applicable)?		

5) Leisure time

How do you spend your leisure time?		
Hobbies?		
Other interests?		
Volunteer work in any organization?		
Additional jobs?		
Sports – health – attitude towards alcohol and drugs?		

6) Miscellaneous Questions

In this part of the interview, questions relating to knowledge that is not specific to the job can be included.

Describe a good day at work.		
When do you perform at your best?		
Describe a bad day at work.		
When do you perform worst?		
Do you prefer to work on your own or with others?		
What do your colleagues think about you?		
Give an example when you have been praised.		
Give an example when you have been criticized.		
How do you handle criticism?		
Do you ever get into conflicts?		
What are your ambitions in your work?		
What do you think you will be doing in about 5 years?		
Describe your views of a good workplace.		
What creates a good working environment?		
What makes people perform well?		
What does the concept of diversity mean to you?		

Conclusion

Would you like to add anything? Have we forgotten to ask anything you consider important?
If you were selected for the job, when could you start?
Salary range, expected salary
Are you still interested in this job? If not, please let us know as soon as possible.
Any travel costs incurred in travelling to the interview?
Information on further proceedings
References to be kept for a second interview
Brief summary of first interview for position XXX

Candidate:	
First impressions	

General opinion
Positive points
Negative points
Brief summary/Recommendations

Annex 15

Form for checking references

Questions about work

Candidate's name	Prospective position
Name of referee	**Phone number of referee**
Address	
Connection to candidate	**Over what period**

Questions about work

Duration of employment	Work responsibilities
Specific tasks	
Position in organizational structure	
Number of subordinate employees	**Promotion (if any)**

Annex 16

Questions about the candidate

What are the candidate's most significant strengths? (Use these as the basis for focusing on "how"/"which" questions.)
What are the candidate's most significant weaknesses? (focus on "how" questions)
How would you assess the candidate's work performance?
How would you assess the candidate's commitment to work?
How did the candidate manage his/her tasks?
How does the candidate interact in a group?
How does the candidate handle working independently?
Can you recall any (work/private) situation when the candidate has acted inappropriately?
Speed of work
Planning skills
Initiative
Interest in development/change
What progress has the candidate made while working with you?
In which situations did the candidate perform best?
Personal qualities (sense of humour, sense of order, responsibility, health)

Overall assessment of the candidate by referee

Reasons for leaving	Would you consider re-employing this individual?
Significant positive qualities	
Significant negative qualities	
Would you consider the prospective work position suitable for the candidate?	

Conclusions

Trustworthiness and reliability of referee

☐ Low ☐ Medium ☐ High

Overall assessment of the candidate by the referee

Annex 17

Induction checklist

Name……………………………….

Starting date ………………………

Preparation

- ☐ Provide an induction programme
- ☐ Prepare workplace and equipment
- ☐ Prepare tasks
- ☐ Compile set of informative material
- ☐ Include other colleagues in the induction programme
- ☐ Send a welcome letter to the new colleague.
  Enclose induction and information material

The employing authority

Provide information about

- ☐ Organization: general background and goals set
- ☐ Obligation of confidentiality, attitude towards bribes, additional work
- ☐ Employment conditions and administrative procedures
- ☐ Access codes and access cards
- ☐ Rules for use of Internet and information
- ☐ Agreement on working hours, payment of salary, remuneration in the case of illness, holidays and special leave, official travel
- ☐ Health care programme
- ☐ Arrangements for occupational safety, working environment policy, reporting incidents and injuries at work
- ☐ Employee appraisal interviews, education/training and competency development
- ☐ Employee benefits, discounts, scholarships and fellowship programmes

Workplace

- ☐ Introduce to co-workers and mentor (if any)

Describe and explain:

- ☐ Tasks, responsibilities, priorities, equipment and materials, plans, projects, etc.
- ☐ Connection between new employee's job/unit and job/unit of other co-workers
- ☐ External contacts
- ☐ Work procedures, information and contact channels, forms of co-operation, procedures for employee appraisal interviews, meetings, etc.
- ☐ Breaks and arrangement of working hours

Provide information about:

- ☐ Procedures for internal and external mail, procedures for use of telecommunications
- ☐ Premises, smoking restrictions, notice-boards, canteen, changing room, fitness facilities, toilets
- ☐ Fire-fighting equipment, evacuation routes, emergency alarm, transport routes
- ☐ Risks at work, e.g. impairment and injuries due to mechanical overexposure, hearing loss/impairment, chemical products, certain machinery
- ☐ Safety rules for working alone and for working with young people
- ☐ Special training requirements, e.g. training for truck drivers/handling of chemical products
- ☐ Use of personal protective equipment, first aid kit, eye wash and instructions for usage, important phone numbers

Follow-up

- ☐ After 6 months – follow-up of induction, feedback on work results, planning of further development.

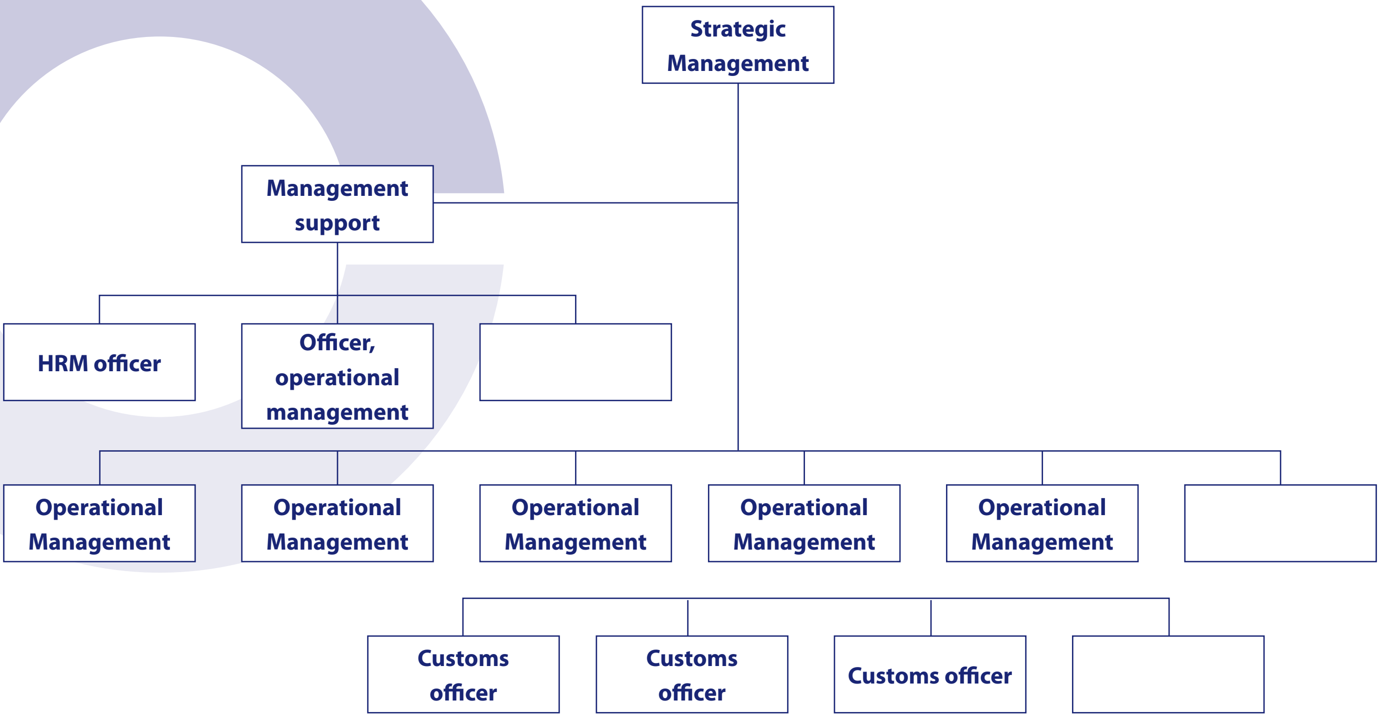
Annex 18

Model organization chart

Three main groups can be discerned from the job classification system and staff establishment:

- management:
  - strategic management
  - operational management (responsible for 20-25 employees)
- staff services (e.g. HRM)
- operations

This may be represented in an organization chart:
This example shows an organization with a relatively horizontal structure, involving only two management layers: strategic and operational. The main advantage of this structure is that the management lines between the operational level and strategic level are very short: operational managers are being guided directly by strategic managers. This is beneficial in that it enables strategic managers to communicate directly with operational staff. Conversely, it promotes upward feedback from the operational level to the strategic management level.



A very important condition for this structure is that the operational management is powerful enough to play a key role.

Operational managers who function only as middlemen for strategic executives are at risk of being squeezed from two directions: from above (by their own managers) and from below (by staff members).
However, if they are able to maintain their own position, they can remain in contact with both groups, inputting into discussions without compromising their own judgement and position.

Annex 19

Job description case study

Job description	HRM Policy Advisor, Recruitment & Selection (grade xx)
Organization	Customs
Name	DIRECTOR HRM / HRM ADVISOR FOR DG, Speciality recruitment, selection & job advertising strategy (grade indication XX)

Position in the organization

Strategic Management, Customs
Management support
HRM Policy Advisor

General

The HRM Policy Advisor works in a team of about 30 persons in the HR Management Unit.
The team reports to Customs strategic management and is responsible for policy development and implementation, and for co-ordinating the Customs Personnel and Organization Department.
Another of the team's tasks is to advise on the organizational development of Customs.
The following areas of activity can be distinguished: operational advice; managing sickness absence; career advice, career coaching and staff development; health, safety and environment issues; organizational development and general personnel policy.

Role

The HRM Policy Advisor advises Customs strategic management on policies regarding recruitment, selection and job advertising strategy, and also focuses on promoting effective recruitment and career opportunities.

Duties

1. Establishing and running the recruitment process (job advertising strategy).
2. Preparing and participating in job advertising, etc.
3. Supervision of all recruitment and selection procedures.
4. Point of contact for external recruitment and selection agencies (e.g. recruitment, content and publication of advertisements).
5. Liaising with the national internship agency (deciding on educational institutes, dealing with requests from the educational institutes, co-ordination of internship assignments and final study projects).
6. Development and supervision of standard procedures related to recruitment, selection and job advertising strategy.

Required level

Higher education or equivalent, substantiated by a relevant degree.

Knowledge

Knowledge of the content and role of the entire HRM field.
Thorough knowledge of the content and role of recruitment, selection and job market strategy.
Understanding of the field of action and the organization of Customs.

Competencies

Customer-oriented
Creative
Contact-oriented
Planning and organizational skills
Forming opinions
Powers of persuasion

Annex 20

National best practice in Dutch Customs on clustering jobs

Best practice: CLUSTER JOBS

The Dutch Customs Administration has two types of jobs: individual jobs (executive and management jobs) and cluster jobs (operational jobs). Most jobs in Customs are cluster jobs and this case study focuses on the latter.
With cluster jobs, all tasks are assigned to the cluster as a whole. For the most part, these are jobs that can be distinguished by nature or level, but cannot be performed separately. This means that tasks of different weight are mixed.
This is why, for cluster jobs, the pay range for the salary grade starts at the level of the easiest tasks and ends at the level of the most difficult tasks.
An inherent advantage of grouping jobs is that this offers a certain flexibility: within the group, the tasks assigned to individuals can quickly be adapted to the workload. Another advantage is that this increases the scope for individual development.

Each job is rated by means of a job evaluation. This is used to determine the salary grade. A salary grade consists of a series of salary steps. Each step is numbered: the salary step number. The salary grades for cluster jobs are indicated with the letters B, C, D, E, F and I. The salary steps in a cluster job grade are derived from two or three grades of individual jobs.

Salary matrix

Salary grades B to I are separate grades. The salary steps in these grades are derived from grades 3 to 13.

The salary grades of cluster jobs are structured as follows:

Cluster job	Corresponding salary grades
B	3, 4 and 5
C	5, 6 and 7
D	7 and 8
E	7, 8 and 9
F	9, 10 and 11
I	11, 12 and 13

The structure of the salary grades relates to the weight of the tasks which are performed in the cluster jobs (see also the model for Phases of Cluster Jobs and the model for Cluster Job C).

Explanatory remarks: salary matrix

Each salary grade has a number of steps, also referred to as salary step numbers. Each step corresponds to a specific gross salary.
For instance, on appointment, an employee may be given the salary that corresponds to the lowest step (salary step number 0) of the salary scale for the job.

It is also possible that an employee may be graded one or more salary grades below the grade for the job. This may be the case when the employee performs only part of the tasks of the job or does not have the required level of knowledge or experience. The employee remains in the lower grade for as long as the job is not performed sufficiently or fully. The manager regularly assesses this situation in the various interviews (progress interviews, assessment interviews and career interviews). In such cases, a career plan is often used, indicating when and how the employee will be eligible for the higher salary grade.

Phases in classifying cluster jobs

Classifying jobs may be useful for the assessment of employees. It is necessary in this context to reach agreement with the individual as to which tasks should be performed in a specific period. The agreement concerning the work/products/contributions that will be made can be used as a criterion in performance interviews and assessment interviews. It should contain the domain and the qualitative structure (phases) of the cluster job involved.

Other tasks which are not mentioned as examples may also be assigned, as long as they fit in with the definition of the specific cluster job.
In classifying cluster jobs, the following identical structure is used, involving 3 phases:

Phase 1

Characteristic of phase 1 is that the tasks relate to the as yet limited availability of the cluster member. The availability is still limited because of the nature and content of the tasks within the field of activity assigned to the cluster job, and the regulatory framework, procedures, methods and techniques used in that particular field.

Such limitations become apparent when performing tasks based on fairly precise instructions, when working under the supervision of more experienced colleagues and managers, and when the performance of tasks requires general techniques or does not contain a high risk factor, etc.

Knowledge is required of the relevant procedures, and sufficient awareness of how the departmental unit is organized and its work is usually arranged.

Phase 2

Characteristic of phase 2 is that the tasks relate to the unlimited availability of the cluster member. The cluster member has no limitations originating from the nature and content of the tasks within the field of activity assigned to the cluster job, or from the regulatory framework, procedures, methods and techniques used in that particular field.

This unlimited availability is expressed in the autonomous performance of tasks and taking of decisions, with the employee required to form an opinion and make choices regarding approach, execution and planning of tasks.

The skills and experience obtained from the employee's performance of tasks make a substantive contribution to the team's ability to optimize its approach to the issues involved in the work.

Knowledge is required of the relevant procedures, and additional awareness of how the departmental unit is organized and its work is usually arranged, as well as sufficient insight into the functional environment.

Phase 3

Characteristic of phase 3 is that – in addition to the top quality performance described in phase 2 – mainly very complex work is performed within the field of activity assigned to the cluster member, and the regulatory framework, procedures, methods and techniques used in that particular field. This complexity is apparent in the importance of the issues involved, the degree of sophistication, the scope of decisions, etc., making maximum demands on (a combination of) expertise, experience, mature understanding, performance in consultations, etc. In addition, and related to this, the cluster member usually acts as supervisor for less experienced colleagues and as a contact point for others, based on the specialist knowledge which he has acquired in relation to the field of activity assigned to him and on participation in technical consultations in his own field of activity, etc.

A thorough knowledge is required of the relevant procedures, a good understanding of the arrangement and operation of functionally related work areas, as well as an ongoing understanding of the functional environment.

Example: cluster job C
The tasks are linked to salary line C, which is derived from grades 5 to 7 of the salary matrix.

General characterization
Nature and complexity of the tasks:
The tasks usually relate to the performance of parts of compound assignments, or relate to the execution of simple, complete assignments as a whole. The framework determines the nature of the tasks to be performed.

Scope:
The tasks are to be performed on the basis of a number of choices which are clearly defined and distinct because of their outline and content. These have been indicated in the execution framework and must be used when performing the task. When making choices, options must be interpreted to some extent, based on acquired expertise and experience of similar situations.

Knowledge and skills:
The required skills are mainly determined by sufficient experience and applicable knowledge of legislation and regulation of the Customs processes, methods and/or means of the employee's unit, as well as a general understanding of its theoretical background. In addition, the skills are determined by practical knowledge and understanding of processes and means, of rules, legislation and regulations linked to the employee's work area (e.g. the Harmonized System, tariffs, valuation, origin), by some knowledge of book-keeping, overall understanding of business organization and finances, as well as general awareness of the setup outside the employee's work area.

Nature of contacts:
With regard to the performance of process tasks, these contacts chiefly relate to the provision/gathering of information, and to the exchange of data. With regard to the performance of tasks of (physical) control/testing, the contacts are instructive in nature and in some cases relate to the offering/implementation of procedurally defined solutions for those who pay taxes and contributions.

Characteristics of the work domain
The following activities are characteristic of the level of cluster job C:
- handling of economic operator contacts: acting as a contact for all kinds of companies in matters of administration and control, process management, data collection and information exchange; gathering and optimizing information gained from these contacts; monitoring progress, completeness and quality of contacts with operators – often assisting a colleague who co-ordinates the process, etc. The tasks include:
- answering questions about the execution of relevant legislation and regulations;
- giving information to operators about procedures regarding matters such as tax returns and filing appeals;
- providing advice and acting as a first point of contact regarding the execution of Customs tax measures, systems, etc;
- carrying out (physical) checks and monitoring: performing tasks on the basis of instructions and regulations, in conjunction with the employee's procedural assessment and judgement concerning established (physical) checks and monitoring of persons, goods and documents. This includes offering solutions and taking measures with regard to taxpayers/customers in the context of matters which may also have been detected by other persons.

For example, such tasks include:
- executing and/or co-ordinating physical checks on cross-border traffic of persons and goods;
- checking whether the required documents have been completed correctly and truthfully;
- determining fines for the established breach, based on legislation and regulations;
- on instruction, conducting (partial) investigations on the spot;
- carrying out Post Clearance Audits, pre-audits and other administrative audits.

The salary matrix

Functions	B			C			D		E			F			G		
Scales	3	4	5	5	6	7	7	8	7	8	9	9	10	11	11	12	13
Salary steps	0																
	1																
	2																
	3	0															
	4	1															
	5	2	0	0													
	6	3	1	1													
	7	4	2	2													
	8	5	3	3	0												
	9	6	4	4	1												
	10	7	5	5	2												
	11	8	6	6	3												
	12	9	7	7	4	0	0		0								
	13	10	8	8	5	1	1		1								
		11	9	9	6	2	2		2								
		12	10	10	7	3	3	0	3	0							
			11	11	8	4	4	1	4	1							
			12	12	9	5	5	2	5	2							
					10	6	6	3	6	3	0	0					
					11	7	7	4	7	4	1	1					
						8	8	5	8	5	2	2					
						9	9	6	9	6	3	3	0				
						10	10	7	10	7	4	4	1				
								8		8	5	5	2	0	0		
								9		9	6	6	3	1	1		
								10		10	7	7	4	2	2		
											8	8	5	3	3	0	
											9	9	6	4	4	1	
											10	10	7	5	5	2	
													8	6	6	3	0
													9	7	7	4	1
													10	8	8	5	2
														9	9	6	3
														10	10	7	4
																8	5
																9	6
																10	7
																	8
																	9
																	10

End of best practice case study on Cluster Jobs

Annex 21

Job Evaluation Form

INTERVIEW
Report

Date: ______________________________

Participants______________________________

Subjects discussed

Job content
Performance / results
Development
Rewards
Agreements
Next interview

Signature

Date	Manager	Employee

Annex 22

APPRAISAL INTERVIEW CHECKLIST

■ Job content	The job description serves as a guide. ■ Which tasks were performed? ■ What is the essence of the task? ■ Which targets were agreed and to what extent have these been met?
■ Performance	■ Job relations: all business contacts that are needed for full performance of the job: - what are the business relations; - inside/outside the organization; - what is the quality of the relations; - what are the requirements from the job for these relations; - are there any obstacles to optimum performance. ■ Work relationship with the supervisor: - manner of communication; - exchange of information; - manner of assigning tasks; - delegation of tasks; - preliminary talks. ■ Work conditions/work atmosphere: - people; - housing/equipment; - safeguarding information and integrity. ■ Workload: - quantity: the amount of work assigned in relation to personal capabilities and distribution of tasks within the unit; - quality: the quality of the work (degree of complexity, challenge). ■ Output, results: - quantity: the amount of work produced; - quality: the quality of the work produced, the knowledge and skills required for the tasks. ■ Other competencies: output related to other competencies.
■ Development	■ Education/training ■ Support/coaching ■ Career opportunities
■ Rewards	■ Granting/withholding salary increments ■ Other rewards (agreements on rewards must be confirmed in the appraisal interview)
■ Agreements	With regard to performance in the future, the following can be agreed: ■ training/coaching; ■ exchange of information; ■ changes in performance of tasks; ■ distribution of tasks; ■ adjusting areas of results; ■ adjustment of competencies.
■ Follow up on agreements	■ next interview, appraisal

Annex 23

Appraisal Form (incl. notes)

1. Details of appraisee

Initials and name

Sex ☐ Male ☐ Female

Date of birth

Organizational unit

Job

Salary

2. Details of appraisal

Period From to

Date of appraisal interview

3. Appraiser

Initials and name

Job

4. Details of current job

Targets

Competencies

- Co-operation
- ………………
- ……………… Indicate relevant competencies (guideline is annex 25)

5. Appraisal of current job performance

Score each of the competencies. Explain your rating by giving examples.

Competency: "Co-operation"

☐ Excellent ☐ Very good ☐ Good

do not write here ☐ Average ☐ Insufficient

Competency: "Planning and Organization"

☐ Excellent ☐ Very good ☐ Good

☐ Average ☐ Insufficient

Competency: "Delegation"

☐ Excellent ☐ Very good ☐ Good

☐ Average ☐ Insufficient

Competency:………………..

☐ Excellent ☐ Very good ☐ Good

☐ Average ☐ Insufficient

6. Summary of judgement of current job performance

7. Probable or desired career path in the future

Explain choice of career path. Be as specific as possible, taking into account the employee's comments and mobility opportunities and/or wishes.

☐ Continue in present job
☐ Job extension
☐ Transfer to another job within 12 months
☐ Promotion within 12 months - grade
☐ Other consideration of career

Explanation for chosen path

Competencies for development — *Indicate which competencies*

Supportive action — *Indicate what supportive action is needed for the chosen career path and what action the employee will take*

Practical training:

☐ Support by tutor or coach
☐ Practical training (e.g. apprenticeship, interim job, participation in a working group)
☐ Other, e.g.:

☐ Other, e.g.:

Theoretical training:

☐ Self-tuition
☐ In-service training or external refresher course

☐ E-learning module …………….

Explanation — *Indicate, for instance, nature and content, starting date and duration of the supportive action*

8. Appraisee comments

9. Signature *(required)*

	Appraiser	Date	Signature
	Appraisee	Date	Signature

10. Upcoming period

Agreements on:

Targets — Competencies

Notes on the appraisal form

The form for recording the appraisal interview is modular. Only those components which are needed to properly record the subjects of the appraisal should be used. A specific set of data is required in all cases, even if it has been decided to conduct a partial appraisal. The required data is indicated on the form.

Step-by-step explanation of the form

1. Details of appraisee
In section 1, details of the appraisee are recorded, such as name, staff number, unit/office and job.

2. Details of appraisal
Appraisal period: this is the period of time covered by the appraisal. It may vary from six months to two years. The appraisal period must be agreed in advance.

Date of appraisal interview: the date of the appraisal interview must be agreed with the employee. The appraisal interview is conducted as soon as possible after the appraisal period has elapsed, preferably within two weeks.

3, Appraiser
In this section details of the main task of the appraised are described (see model annex 4)

4. Details of current job
This section indicates the areas of results and the contributions on which the employee is being assessed.

5. Appraisal of current job performance
In this section each competency is rated on a scale ranging from insufficient to excellent. The rating must be backed up by examples of the behaviour shown. A summary of the judgement of the current job performance is given. If it has been agreed with the appraisee that only a general opinion on performance can be given, rather than a full appraisal, the rating and evidence per competency need not be given.

6. Summary of judgement of current job performance
In this section, a brief impression is given of the course of the appraisal interview.

7. Probable or desired career path in the future
In this section, the appraiser indicates the career path he envisages for the appraisee, such as continuation in the current job, job extension or transfer. The wishes of the employee are included.
Also the appraiser indicates which competencies the employee could develop and what supportive action may be taken.

8. Appraisee comments
This section is used for the appraisee to record his views. He may give his opinion on any part of the appraisal. Anything can be discussed here.

9. Signature
Appraiser and appraisee both sign the document.

10. Upcoming appraisal period
The agreements with regard to the next appraisal are noted in this section: What will be the appraisal period? Will this be a complete or partial appraisal? Is the employee required to conduct a self-assessment? Will others contribute information and, if so, who? Which areas of results and which competencies are covered?

Annex 24

National best practice in the New Zealand Customs Service on developing leadership

1. INTRODUCTION

This paper summarizes the approach taken to the development and enhancement of leadership capability within the New Zealand Customs Service (Customs). Over the past three years, Customs has progressively implemented a "Whole of Customs, One Service" Capability Development Strategy. Key to the success of the Strategy has been the approach of ensuring that there is a focus on leadership at all levels across Customs, the personal commitment and advocacy of the Comptroller and ensuring connectivity of the initiatives implemented.

In providing a brief overview of the key leadership initiatives, this paper covers the:

- National Training Strategy Model (appendix A)
- Career Path and Training Framework (section from document - appendix B)
- Leadership Career Path (section from document - appendix C)
- Overview of the Career Development Board process and 2009 timetable (appendices D and E)
- Customs Leadership Competency Development Framework (appendix F)
- Customs People Development Resources (appendix G)
- Customs Competency Framework (appendix H)
- Customs Leadership Model (appendix I)
- Leaders @ Customs (section from document - appendix J)
- Customs Leadership Model Link to Chief Customs officer Programme (appendix K)
- Brief overview of the leadership development programmes
- Impact of the introduction of two new ranks of Senior Customs officer and Assistant Chief Customs officer

2. BACKGROUND

Every area of Customs work, whether it is border security, community protection, revenue collection or trade support, brings its own challenges and demands an ever increasing level of skill and technical expertise. The New Zealand Customs Service recognized that in order to achieve its Vision of "Leadership and excellence in border management that ensures the security and prosperity of New Zealand", building current and future leadership capability across Customs was an imperative.

As a first step in ensuring a "Whole of Customs, One Service" approach, the National Training Strategy was developed. This strategy provided a structured and co-ordinated base for the development of leadership at all levels and was built on a three-element foundation comprising:

- Generic competencies – these are expected to be demonstrated by all Customs staff
- Technical knowledge and skills – relevant to role and career level – both frontline and support services
- Leadership – people and technical.

The model for the National Training Strategy is shown in appendix A and illustrates the increasing degree of leadership capability that is required as people progress into leadership roles within Customs. Working from this model, Customs was then able to identify clear career pathways, especially for operational staff.

To provide staff with a visible diagram of career pathways within Customs, a Career Path and Training Framework model was designed and published. Appendix B provides a view of a section of this document that covers both operational and corporate roles and provides details of the technical development requirements at each level. It also sets out the technical training and development curriculum within Customs. This provides clear and structured pathways that enable individuals to progress from core operations into more specialist areas and into leadership roles across Customs.

Apart from the residential courses and some role-specific courses, the overall training curriculum is not exclusive to each rank or role. As part of the introduction of the Career Path and Training Framework, two new ranks of Senior Customs Officer and Assistant Chief Customs Officer were implemented. The introduction of these new ranks not only provides more accessible career progression steps for staff, but also enables Customs to identify and nurture potential leaders as they move through the ranks.

The Customs Career Path and Training Framework document has been exceptionally well received by staff and is constantly used as a guide for planning individual career development and training requirements and to prioritize delivery of training courses. To continue to reflect the future skills requirements, the Framework document is being updated and this work is due for completion in early 2009.

Alongside the Customs Career Path and Training Framework, the Customs Leadership Career Path document has been introduced. This document:

- Identifies the seven levels of leadership within Customs
- Indicates the leadership focus at each level
- Describes what successful leadership requires at each level
- Sets out the specific leadership competencies for each level
- Identifies the progression experiences and competencies
- Defines the leadership development opportunities supported by Customs.

A section from the Customs Leadership Career Path is shown in appendix C. The Customs Career Path and Training Framework and the Customs Leadership Career Path, along with the Customs Career Development Board (see section 3 below), are the basis for the design, management and measurement of leadership and management capability development within the New Zealand Customs Service.

Importantly, implementation of the curriculum for both the Career Path and Training Framework and the Leadership Career Path has been mainly internal, through the Customs Organization Development and Human Resources Group. This is part of our training risk management strategy to ensure that, with the exception of the senior leadership development programme, Customs owns the intellectual property and training materials. By doing this we minimize the "single point of failure" risk by having several competent facilitators who can ensure continuity of the programme for the future.

3. CAREER DEVELOPMENT BOARD

To link all of the leadership development initiatives together, individual leadership transition programmes for managers (from Chief Customs Officer and above) are co-ordinated through a Customs Career Development Board. The purpose of this Board, of which there is one for each level of leadership, is to assess individual potential and abilities to become a more senior leader. As part of this process, Customs is able to determine the priority of current and future capability development and select and prioritize candidates for participation in specific development opportunities.

The Career Development Board process has just commenced its fourth year of operation and is assisting Customs to ensure that it has a robust map of leadership strength and leadership potential within Customs. Appendix D provides an overview of the Career Development Board process. The Career Development Board 2009 timetable is in appendix E. The process is also used to identify critical people and critical roles within Customs and feeds into talent management and succession planning across Customs.

An overview of the initiatives undertaken and the process adopted is outlined in the next section.

4. DEVELOPMENT INITIATIVES – BUILDING LEADERSHIP CAPABILITY

4.1 Competency Framework Development

The first step in the process was to clearly define the leadership competencies and behaviours required within Customs. As the aim was to have managers at all levels closely involved in the process of agreeing the competencies for each level of leadership, two visuals were designed and sent to all managers. The first visual (appendix F) showed the areas where the resultant competency framework would be used and the second (appendix G), indicated the resources available to managers to use the competency framework for staff development and performance management in the workplace.

From this base, managers at each level participated in the development of a Competency Framework that specified the core competencies for each leadership level. The work also identified the specific competencies required to progress through each of the leadership levels. Appendix H contains a visual of the New Zealand Customs Service Competency Framework. A description of each competency is part of this Framework.

Initially, many managers were reluctant to be involved with the process, considering it to be a function solely for the human resources team. However, with sponsorship from the Comptroller, managers were invited to be involved in the first series of workshops. Once these managers saw the benefits of having a competency framework, they quickly became champions for the process and desired outcome. This enthusiasm has continued and grown to the point where there is now a common competency language amongst managers and strong ownership and application of the competency framework for a wide range of activities such as performance reviews and assessment centres.

To assist staff in leadership positions to understand how the factors identified in the Competency Framework were to be applied in the workplace, an Action-Centred Leadership Model[1] (see appendix I) was adopted. The three elements of individual, team and task in the model have been supplemented with the message: know your people – know what is happening for them – and lead with integrity.

Based on the core competencies selected for each level of leadership and the Customs Action-Centred Leadership Model, leadership development programmes were specifically designed and implemented.

4.2 Leadership Development Programme – Senior Managers

The first programme focused on senior and next level managers. Progressively over a 12-month period, groups of 12 managers at a time participated in an intensive residential learning programme consisting of an initial four-day session. This was followed by two three-day sessions interspersed with on-the-job application of the learning and also supported by individual coaching sessions with an external professional leadership coach.

Before commencing the leadership development programme, the 10 most senior managers participated in an individual 360° leadership survey,[2] linked to the leadership competencies for their level. These managers were then able to use the leadership development areas identified for them through their survey results as areas for improvement focus. The results also provided an overview of leadership strength and development areas for the senior manager group. The identified development areas were factored into the leadership programme.

The design and facilitation of the senior managers' programme was provided by an external organization with input from Customs. Using external facilitators gave a high level of credibility to the programme. It also enabled people to fully participate, receive independent feedback and explore and apply new leadership behaviours within a confidential environment.

In total, 54 managers participated in this programme. In addition, during the year, these managers participated in a leadership symposium aimed at broadening their knowledge and thinking on a range of strategic national and global issues of importance to Customs.

The initial return on investment for this programme was measured through the evaluation of results from the 2007 and 2008 workplace surveys, which indicated a significant increase in the percentage of staff who reported that they get feedback and coaching that assists them to improve their performance and that their performance is fairly assessed. Progress will again be measured through evaluation of results from the next workplace survey and for individual leaders through the next 360° leadership survey results.

Phase two of the leadership development programme for Group Managers (senior managers) is incorporated into the Leaders @ Customs Programme (see appendix J). For this group of managers, the programme consists of a series of one-day practical workshops on topics that build on the learning so far, with a strong focus on the strategic and management aspects of senior leadership roles.

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[1] Action-Centred Leadership, Adair, J retrieved January 2006 from http:/islab2.sci.ntu.edu.sg/h6635/adair.htm. This model is also known as the Functional Leadership Model.

[2] A 360° leadership survey gathers feedback through a questionnaire from a selection of direct reports, peers and the person's manager on their leadership behaviours linked to the competencies for the level of leadership. This data is collated, analysed and the results and areas for development provided to the individual manager as feedback.

4.3 Leadership Development Programme – Front Line Managers Initial Programme

The initial programme for Chief Customs Officers, who are our frontline managers, is an intensive eight-day residential development programme with groups of 12 people from different work groups across Customs. Whilst on the programme, participants select an outcome to be achieved back in the workplace, using the skills learned on the programme.

The content of this programme is directly linked to the Customs Leadership Model (see appendix I) and is modular based. In appendix K is an overview of the programme content under each of the headings in the Customs Leadership Model. It focuses on the development of leadership competencies and behaviours identified for frontline managers within Customs. These include building effective teams, developing direct reports, command skills, conflict management, ethics, integrity and self knowledge.

Over 120 Chief Customs Officers have participated in the programme, which is now run as needed, to ensure that new appointees have the same understanding of the requirements of their role and the same development opportunity. Also, as part of their ongoing leadership development during the year, Chief Customs Officers participate in a further two-day development Forum that continues the enhancement of their staff leadership and management skills.

The return on investment for this programme is measured in several ways. First is through initial participant evaluation then, three months later, through a follow-up evaluation of application of learning, both with the participant and with their manager. An overall evaluation of the continuing impact of this programme, both for participants and for their managers, has been completed and indicated that a significant majority of participants gained useful skills that assisted them to more effectively lead people in the workplace, plan and manage work and gain more confidence in their role, and had considerably extended their peer support network.

Again, the results from two staff surveys indicate that frontline staff considers that they are receiving an increased level of feedback and coaching, being encouraged to develop new knowledge and skills and to progress in positive career paths within Customs. A recent research study identified that for Customs officers with less than five years of service, such support from their direct line manager is likely to contribute to increased workplace commitment, effort and retention.

The other measure is the increased level of competence of the participants in dealing with performance and staff issues in the workplace. This has significantly increased, as has the promptness in dealing with such matters and the effectiveness of outcomes achieved.

A visible impact of the development programme is the significantly increased calibre and preparedness of Chief Customs Officers applying for and achieving internal promotions. Successful candidates are presenting with a much clearer understanding of the leadership expectations and are able to evidence the steps that they have taken to gain the experience required for leadership roles.

4.4 Leadership Development Programme – Leaders @ Customs

Phase two of the leadership development programme for frontline managers and the next two levels of managers is called Leaders @ Customs – Shaping the Future – Making a Difference (appendix J). This is an intensive twelve-month practical management-based programme that takes participants on a journey through key areas of:

- Managing the Leaders
- Making it Happen Together
- Building Team Capability
- Enhancing Productivity
- Identifying and Sharing New Ideas
- Operational Planning
- Return on Development Investment
- Leadership in Action.

The programme is residential and, depending on the content of each module, the sessions range from three to one and a half days. Each group has twelve participants who remain as a syndicate for the full programme. During the programme, they have the opportunity to participate in a wide range of practical experiences including external workplace visits, secondments and the requirement to complete two work-based assignments – one with a capability development focus, the other with a productivity enhancement focus.

Between the modules, participants are involved in syndicate coaching sessions run by the external facilitator and another external presenter. The core purpose of the sessions is to maximize the transfer of learning to the workplace.

On completion of the programme, participants will provide a brief presentation to the Career Development Board (see section 3) on their development and the return for Customs on the investment in their development. In addition, participants are required to return a minimum of 25 hours per year to Customs either in a coach, mentor or specialist facilitator role, on this programme or on one of the other Customs capability development programmes.

Each intake is allocated a sponsor Group Manager who assumes an overall mentoring role for the group and guides them through the full programme. The sponsor Group Manager regularly attends sections of the programme and shares knowledge and experiences with the group. Modules on the programme are presented by a mix of high-calibre external facilitators who are acknowledged experts in their field and specialist internal facilitators. For continuity, an external leadership development facilitator provides the linkage between the modules and presents some of the workshops. They also, with one of the external presenters, provide group and individual coaching sessions for participants.

A flow-on effect from the Leaders @ Customs programme and the Chief Customs Officer programme is the increasing number of managers who are becoming involved as assessment panel members, programme managers and/or excellent specialist topic presenters for both the Chief Customs Officers programme and the Assistant Chief Customs Officers programme, and also becoming mentors for officers evidencing leadership potential.

4.5 Leadership Potential

In 2006, to ensure that there was a distinct and achievable career path available for Customs officers, two new ranks were introduced: Senior Customs Officer and Assistant Chief Customs Officer. The purpose of these new ranks was to provide career progression steps that would enable frontline Customs officers to incrementally gain leadership skills to bridge the gap between self-leadership and leading others. The introduction of these new ranks also provided Customs with an increasing talent pool from which to identify and develop potential leaders. The process for progression to these new ranks is discussed in the next section.

4.6 Leadership Development Programme – Leadership Potential

Identification of leadership potential is effected through an Assessment Centre process that has been implemented to select officers for progression to Assistant Chief Customs Officer positions. The Assessment Centre process is usually run twice a year and consists of two days of comprehensive candidate assessment based on the leadership competencies required for the role. The assessors are a mix of external specialist assessors and selected internal managers. In advance of an Assessment Centre being run, specialized training is provided for the managers involved as assessors. Involving managers in the assessment process is proving valuable, both as a learning and development opportunity for them, and also in adding credibility, validity and ownership of the Assessment Centre process within the leadership ranks.

Once the Assessment Centre process is completed, successful candidates participate in a specially designed eight-day residential programme followed by a further three-day Operations Planning/Mission Analysis course, both targeted at developing their leadership and operational command skills.

A programme has been designed for introduction this year to assist the "not yet" candidates fully develop the competencies required to be successful at an Assessment Centre.

Progression to the rank of Senior Customs Officer is through completion and presentation, to an Assessment Panel, of a body of work that evidences the experiences and competencies required for progression to this rank. To ensure synergy and integration of learning between the different leadership levels, the development programmes use aspects of the modules designed for the Chief Customs Officer programme. This is not only efficient use of resources, but also ensures that the core learning and expectations of core leadership behaviours are being driven through each of the leadership levels within Customs.

4.7 Leadership Development – Graduate Programme

Customs has also designed a graduate development programme for introduction in 2009. The focus of the programme is to identify and nurture high-potential people to move into specialist or generalist leadership positions. The programme will be open to operational and non-operational staff. At this time, it is envisaged that up to four staff each year will be selected through a rigorous assessment process to participate in a multifaceted, two-year development programme.

5. CRITICAL SUCCESS FACTORS

Numerous factors have contributed to building leadership capability within the New Zealand Customs Service. The most significant of these are:

- Active championship and support from the Executive Leadership Team (consisting of the Comptroller and the two Deputy Comptrollers).
- A Customs competency framework and leadership model that defines the behavioural expectations at each level and provides resources and tools that enable leaders to gain new skills and apply these in the workplace.
- Providing an integrated Customs Career Path and Training document that provides a common language and visibility for each development level within Customs and sets out related training requirements and opportunities.
- Providing the Customs Leadership Career Path visual that identifies the focus and requirements at each leadership level and the Customs-supported development opportunities.
- Residential programmes, although not favoured by staff initially, are now recognized as a most valuable component of training and development opportunities as they enable participants to be fully immersed and involved in the learning experience without external distractions. Bringing together participants from different work areas has also built useful networks, reduced silos and has resulted in greater sharing of knowledge and experience than before.
- Involving and connecting leaders at all levels – senior leaders as programme sponsors and using next-level leaders (with suitable skills) as session facilitators on other development programmes. For example, an Operations Manager facilitates the problem-solving and decision-making session on the Chief Customs Officer programme, a Chief Customs Officer facilitates the session on the Assistant Chief Customs Officer programme.

6. CONCLUSION

The New Zealand Customs Service continues to successfully progress and benefit from a "Whole of Customs, One Service" approach to leadership capability development. The core of this success has been the high level of buy-in from staff through setting out the strategy and initiatives in a visual as well as written form, maximizing the use of internal expertise, ownership of as much as possible of the programme content, strong connectivity between the programmes and measuring the effectiveness of each of the development initiatives.

Annex 25

Dictionary of Competencies

Competencies group "THOUGHT": definition & behaviour indicators

Analytical: Is able to recognize the essence and interrelations of data and information.

- Distinguishes core issues and details
- Is able to relate data to each other
- Distinguishes between cause and effect
- Is able to logically structure a multitude of information and observations

Creativity: Launches fresh ideas and approaches that diverge from fixed thought patterns.

- Launches fresh and original thoughts
- Uses new approaches to issues
- Has several ideas for solving problems
- Suggests new practices

Oral presentation: Knows how to communicate clearly and correctly in discussions, meetings and presentations.

- Is able to construct words and sentences in the correct national language
- Knows how to express ideas clearly and fluently
- Is able to talk about something concisely and in a well-structured way
- Adjusts language and presentation to the receiver

Social awareness: Keeps up with relevant political and social developments and is able to use this information within the organization and job.

- Keeps up with relevant developments and trends
- Is able to assess the significance of external developments in relation to policy and operational methods
- Translates relevant developments into action in the employee's field of activity

Judgement: reaches a substantiated judgement based on the available information and consideration of alternatives.

- Uses the results of analyses to form an opinion
- Considers all available options
- Considers other views and perspectives
- Substantiates opinions with arguments
- Includes feasibility and possible risks in judgement

Planning & organization: Decides on and arranges for actions, time, human resources and means to achieve objectives.

- Formulates a plan for achieving the intended targets
- Estimates the amount of time, number of people and means to carry out the tasks

- Formulates activities to carry out and to have carried out
- Sets priorities for others and oneself
- Arranges for the people and means needed to carry out the tasks

Written presentation: Is able to write understandably and correctly in the languages used in the country to which posted.

- Is able to communicate correctly in the language/languages used
- Is able to express ideas clearly and fluently
- Knows how to structure a text logically
- Brings language and written style in line with the target group
- Effectively uses formatting and layout

Tactical & managerial understanding: Oversees all processes and relationships inside and outside the organization and uses this information for decisions and actions.

- Is familiar with the rules of the organization and the managerial environment
- Is familiar with the political and administrative sensitivity of subjects
- Oversees administrative and political relationships
- Evaluates the influence of interest groups
- Considers the political and managerial feasibility of decisions and actions

Expert knowledge: Has the necessary know-how, develops and applies such know-how.

- Maintains professional knowledge by keeping up with current developments or taking courses
- Handles and evaluates problems using expert knowledge and skills
- Is able to answer all sorts of questions from colleagues
- Disseminates knowledge to others when needed

Opinion: Has a clear view of the current situation and the future of the field of activities, discipline or the organization.

- Is able to formulate a clear view of the current situation and future developments
- Translates recent developments into a clear course of action
- Knows how to put current issues into a long-term perspective
- Formulates scenarios for future developments

Competencies group "EMOTION": definition & behaviour indicators

Contact-oriented: Makes contact easily.

- Makes job-related contact with people inside/outside the organizational unit
- Is approachable and receptive
- Is open to new contacts
- Is at ease in social situations, even in unfamiliar situations

Empathy: Respects other people's views, feelings and backgrounds in personal activities.

- Is sensitive to other people's feelings
- Respects cultural differences, sexual orientation, etc.
- Treats other people tactfully and respectfully
- Acknowledges other people's motives
- Is able to discuss other people's needs and personal needs

Client-oriented (internally, externally): Focuses on the wishes and needs of (internal and external) clients when taking action.

- Examines the client's question
- Sees to it that the client is helped as fast as possible
- Searches (together with the client) for the best solution to the client's question
- Takes responsibility for correct implementation
- Is clear to the client about the (limits of the) possibilities
- Asks about customer satisfaction

Listening: Derives information from oral communication, continues asking questions and interacts with the other person.

- Is able to filter the information needed from oral and non-verbal communication
- Is able to recognize the underlying message in communication
- Continues asking questions for clarification or explanation of suggestions
- Does not interrupt unnecessarily
- Demonstrates that the message has been understood, for instance by summarizing
- Tailors response to the arguments of the speaker

Stimulating: Acts to increase motivation of others.

- Expresses appreciation for commitment and performance of others
- Invites others to come up with ideas and suggestions for action
- Makes colleagues' performance and contributions visible to others
- Rewards employees for their contribution and achievements
- Stimulates employees to achieve challenging objectives

Networking: Develops and maintains relationships both inside and outside the organization and uses these for exchanging information and obtaining co-operation.

- Is able to start and maintain contacts with persons and organizations relevant for the job
- Knows how to find the right persons to obtain information and co-operation

- Exchanges information with persons in the network
- Supports and co-operates with persons in the network (when useful for the job and organization)
- Knows how to use the network at the right time to achieve goals

Team development: Stimulates and supports the development of members of the team.

- Discusses personal and professional development of members of the team at regular intervals
- Supports members of the team with formulating their development activities
- Facilitates personal development of team members
- Assigns instructive tasks to the individual team member

Co-operating: Co-operates with others to achieve common goals.

- Actively seeks co-operation and discussion
- Gears personal work to that of others
- Puts common objectives above personal objectives when needed
- Shares knowledge and information
- Contributes positively to the working atmosphere and relations

Leadership competencies

Group-oriented leadership: Guides a group toward co-operation and realization of objectives.

- Examines the possibilities of co-operation and synergy between team members
- Emphasizes in a group the importance of co-operation in achieving objectives
- Organizes consultation and dovetailing of activities
- Talks to team members about co-operation
- Informs the team about the extent of realization of the objectives
- Addresses issues that might influence harmony of the team

Individual-oriented leadership: Guides individual team members with behaviour and with performance.

- Makes agreements with individual team members on results and behaviour
- Gears tasks to the individual team member's capacities and wishes (if possible)
- Adjusts style and approach depending on the situation and the individual team member
- Provides feedback on performance and results
- Is open to feedback on leadership from the individual team member
- Supports the individual team member in achieving results

Competencies group "STRENGTH": definition & behaviour indicators

Adaptation: Adjusts to requirements of the organization.

- Is able to abandon the originally set objectives when required
- Adjusts objectives when required
- Follows developments in the organization
- Adjusts working hours when required
- Switches over to other assignments or approaches when required

Decisiveness: Makes clear choices, is resolved and does not unnecessarily postpone decisions.

- Takes decisions based on opinions
- Takes a clear position
- Is resolved in taking action, even if information is not yet available
- Does not unnecessarily postpone decisions

Delegation: Delegates tasks and powers to others.

- Considers whether to take personal action or to delegate
- Delegates work and powers to others
- Has others perform the delegated tasks independently

Perseverance: Maintains efforts to achieve the intended aims, even in the case of resistance or obstacles.

- Keeps working to achieve the desired goals, even if this takes a relatively long time
- Overcomes obstacles so that the work continues
- Perseveres when encountering opposition, disappointments or setbacks until the goal is reached or definitely cannot be reached

Courage: Is not afraid to take risks.

- Takes risks when required or desired
- Takes action, even if this may have consequences for own job
- Breaks through fixed routines or procedures when required
- Takes an approach that is new or has hardly been used
- Does not shy away from difficult situations

Flexibility: Adjusts approach if circumstances so require.

- Chooses an approach that fits the situation
- Adjusts behaviour to the situation
- Changes approach when encountering opposition or unexpected circumstances
- Can adjust opinions after receiving new information or valid arguments
- Easily switches between subjects

Initiative: Is self-motivating.

- Acts without having to be prompted into action
- Anticipates and is looking for opportunities and options
- Actively generates ideas and proposals

Integrity: Acts according to generally adopted rules, standards and values.

- Acts according to generally adopted rules, standards and values
- Deals with other persons honestly, carefully and respectfully
- Is accountable when required
- If necessary, brings up for discussion rules, standards and values
- Shares certain information only with the competent authorities
- Prevents unauthorized persons from accessing confidential information
- Maintains integrity when tempted or under pressure
- Prevents conflict of interests
- Does not use any materials or facilities of the organization for individual purposes

Drive: Works hard and passionately.

- Works with energy and zeal
- Seeks challenges in the job
- Does more than is expected
- Works longer if needed

Independence: Acts with conviction.

- Acts without needing confirmation from others
- Has an individual opinion, irrespective of opinions of others
- Voices an individual viewpoint, even when others are known to disagree
- Within reasonable boundaries, sticks to individual viewpoint when encountering opposition or criticism

Persuasiveness: Communicates to convince.

- Substantiates viewpoints with clear and convincing arguments
- Gears arguments or responses to reaction of other(s)
- Enhances arguments by voicing them with determination and enthusiasm
- Comes up with arguments at the right moment

Product-oriented (qualitative): Is able to attain high quality in work.

- Works accurately and systematically
- Works according to the agreed standard of quality
- Performs high-quality work
- Regularly tests and assesses quality of work

Product-oriented (quantity): Achieves high output.

- Provides high output
- Performs tasks quickly
- Provides results within the agreed period
- Spends working hours efficiently

Immune to stress: Performs effectively under stressful conditions.

- Acts effectively and in a self-controlled manner under stressful conditions involving, for example, pressure of work or time, setbacks or risks
- Responds constructively to criticism
- Sets personal limits when pressure of work increases
- Eases stress when personally tense, for instance by putting things in perspective

Progress check: Monitors and checks progress of tasks and activities and makes adjustments when necessary.

- Agrees beforehand on clearly indicated checks and deadlines
- Monitors quality and progress of tasks and activities performed by members of the team, including one's own
- Checks whether agreements have been met
- Creates overview of progress for others and for own use
- Points out in good time any (upcoming) deviations from progress
- Makes timely adjustments when progress threatens not to go as planned

Leadership competencies

Organization-oriented management: Guides and manages the organization.

- Translates the organization's objectives and views into strategies and operational targets
- Adjusts strategies and targets when internal or external developments require
- Determines which organizational processes and structures are needed to achieve targets
- Propagates the organization's objectives and views enthusiastically
- Encourages management and employees to achieve strategic and operational targets

Competencies group "THOUGHT, EMOTION & STRENGTH": definition & behaviour indicators

Self-development: Searches actively for opportunities for self-development.

- Searches actively for new (learning) experiences
- Asks for feedback
- Uses feedback and suggestions for personal growth
- Invests in self-development, for instance by taking courses and training

Annex 26

EXIT INTERVIEW FORM

Starting date (current team/unit) : ………………………………………………………..
Date of resignation: ………………………………………………………..
Reason for resignation VOLUNTARY / INVOLUNTARY
Interviewer : ………………………………………………………..
Date of interview : ………………………………………………………..

General reasons for resignation

1. General reasons for resignation

- Retirement
- Incapacity for work
- Expiration temporary job
- Expiration student job
- Expiration work placement
- Transfer to other unit
- Mobility
- New employer
- Other: ………………………………………………………………………………

Remarks: ……………………………………………………………………………………………

Personal reasons for resignation

2. Personal reasons for resignation

- Job improvement
- Primary elements of remuneration
- Secondary elements of remuneration (fringe benefits)
- Nature of tasks
- Not enough variety
- Too much variety
- Not enough powers and responsibilities
- Too many powers and responsibilities
- No possibilities for staff development
- No possibilities for career development
- Work conditions
- Work relations with colleagues
- Work relations with superior
- General atmosphere in unit
- Distance of commute
- Changed family situation
- Study
- Hobbies
- Other: ………………………………………………………………………………

Remarks: ……………………………………………………………………………………………

New employer

3. Do you have another job?

- No (Go to question 6)
- Yes

If yes, which employer?

……..

4. What position will you hold?

- Less senior position, that is………………………………………………………………………
- Similar position, that is……………………………………………………………………………
- More senior position, that is………………………………………………………………………

5. When did you start looking for another job?

- Less than 2 months ago
- 2 to 4 months ago
- More than 4 months ago

Overall opinion

6. What is your overall opinion of the Customs Administration?

- Positive, because……………...……………………………………………………………
- Negative, because.………………………………………………………………………………

Induction

7. What is your opinion of your induction in the job?

- Positive, because………………………………………………………………………………
- Neutral, because……………..……………………………………………………………
- Negative, because………………...…………………………………………………………

Job content

8. What is your opinion of your job?

- The job was satisfying
- Too challenging
- Not challenging enough

Atmosphere

9. What is your perception of the atmosphere in the team/unit?

- Positive, because……………………..……………………………………………………
- Neutral, because……………………..…………………..…………………………………
- Negative, because………………………………………………………………………………

10. What is your perception of the atmosphere in the Customs Administration?

- Positive, because……………………………………..………………………………………
- Neutral, because………………………………………...………………………………
- Negative, because……………………………………………………………………..………

Work relations

11. What is your opinion of your work relation with your supervisor/manager?

- Positive, because…………………………………………………………………………
- Neutral, because…..……………………………………………………………………
- Negative, because…………………………...……………………………………………

12. What is your opinion of the leadership qualities of your supervisor/manager?

- Positive, because…………………………………………………………………………
- Neutral, because…..……………………………………………………………………
- Negative, because…………………………...……………………………………………

13. What is your opinion of your work relations with your immediate colleagues?

- Positive, because…………………………………………………………………………
- Neutral, because…..……………………………………………………………………
- Negative, because…………………………...……………………………………………

14. What is your overall opinion of your team/unit?

- Positive opinion……………………………………………………………………………
- Negative opinion……………………………………………………………………………

Work progress discussions

15. What is your opinion of the work progress discussions?

- Positive, because…………………………………………………………………………
- Neutral, because…..……………………………………………………………………
- Negative, because…………………………...……………………………………………

Terms of employment

16. How do you assess the primary elements of remuneration?

- Positive opinion……………………………………………………………………………
- Negative opinion……………………………………………………………………………

17. How do you assess the secondary elements of remuneration (fringe benefits)?

- Positive opinion……………………………………………………………………………………
- Negative opinion……………………………………………………………………………………

Work conditions

18. Which work conditions do you think could be improved? Please state which:

- Arrangement of workplace
- Safety regulations
- Work pressure
- Work hours
- Occupational health and safety service
- Sickness absence policy (including reintegration after sick leave)
- Other: ……………………………………………………………………………

Career

19. What is your opinion on the appraisal system?

- Positive, no remarks
- The following remarks ……………………………………………………………………..

20. How do you assess opportunities for career development?

- Positive opinion……………………………………………………………………………………
- Negative opinion……………………………………………………………………………………

21. Were any agreements made with you concerning career development?

- Yes, the following……………………………………………………………………………….
- No

22. If yes, have these agreements been met?

- Yes
- No, because ……………………………………………………………………………………..

23. What is your opinion on training opportunities within the Customs Administration?

- Positive, because…………………………………………………………………………
- Neutral, because…..………………………………………………………………………
- Negative, because……………………………..…………………………………………

24. What is your opinion on career opportunities within the Customs Administration?

- Positive, because…………………………………………………………………………
- Neutral, because…..………………………………………………………………………
- Negative, because……………………………..…………………………………………

25. Do you think you should have been promoted?

- No...
- Yes..

Mobility

26. Have you ever moved around the organization?

- No
- Yes:
- Voluntary
- Involuntary

What is your opinion on this?

....

Information

27. Have you been sufficiently informed about the routines of the unit or section?

- Yes, because ....
- No, because ....
- ....

Other remarks and suggestions

28. Do you have any other remarks or suggestions?

....

....

....

....

....

....

Interviewer	Agreed by Interviewee	Read by Supervisor	
Date	Date	Date	

Annex 27

Personal Development Plan (PDP) (Example)

Competency	Development Actvities	Desired Result	Timetabling	Support & Facilities Needed
1. Client orientation	Six Thursday afternoons working at the Service desk under supervision of colleague X.	Insight: which approach results in satisfied customers? Experience: what concrete behaviour is needed?	March 15 to May 1	24 working hours supervision
2. Excel computer skills	Follow Excel computer course	Sufficient mastery of the programme to be able to make spreadsheets of relevant management information	Finished by December 31	External course of 10 lessons, to be followed during office hours.
3. Managing a team	Follow Self-Study Course on Practical Management.	Basic knowledge and elementary skills relating to management of teams. Able to manage a team of 5 employees to achieve the desired results.	This year, self-study; next year, a temporary project and practical experience.	Self-Study Course; suitable project assignment with guidance by mentor (2 hours per week).
4.				
Signature Employee:		Signature Manager	Date	

Annex 28

National best practice in the Finnish Customs Service on improving management and the salary system

Introduction

The working environment of Finnish Customs has changed drastically during the past few years.
Customs work has become more international and global, mainly because of the EU membership of Finland and the developments in Russia and the Baltic States, and this has been reflected in the requirements for Customs personnel to have higher occupational qualifications. More emphasis has also been placed on the need for increased customer orientation at work, and on the fairness and reliability required for good administration.

Customs has met these challenges by restructuring its organization, management and reward systems, and its occupational basic training.

The organization has been improved in accordance with the matrix model, by delegating powers and responsibilities. At the same time, equal and uniform modes of proceeding have been reinforced for those activities where uniformity is absolutely necessary, e.g. car taxation.

The organization of the National Board of Customs has been adapted to fulfill the main tasks of Customs: smooth flow of foreign trade, protection of society, and fiscal tasks. The reform has reduced the number of departments at the National Board of Customs and the number of Customs Districts. The Districts are operationally independent, and profit responsibility is emphasized among their activities. The principle is to delegate responsibility and freedom of action to Customs Offices in accordance with the Offices' capacities to assume them.

Description of the salary system

Results and development discussions

In accordance with the principles held by Customs, the new salary system (NSS) is implemented and maintained as part of the "results and development" discussions between managers and their employees.

The main objectives of the results and development discussions are:

- Evaluate the achieved results and make an assessment of the salary
- Agree on the target results for the next results period
- Define individual development needs
- Develop co-operation between managers and their employees
- Improve the general working environment and working atmosphere of the organization and promote an open interaction

The objectives and principles of the salary system

The salary system is based on the following principles:

- The more demanding the job, the higher the salary
- The better the individual command of the job/the better the performance, the higher the salary
- The salary system is as simple as possible, and as easily applied and maintained as possible
- The components of the salary must be such that everyone is aware of their content, and everyone must have the possibility of influencing the development of their own salary
- The salary system fulfils the requirements of fairness when it is
    a. Acceptable
    b. Encouraging
    c. Equitable

Structure of the salary system

The monthly salary consists of the following elements:

- "requirement" element, based on how demanding the task is

The work requirements are assessed using the system of Salary Scales.
The "experience" element is a maximum of 10% of the "requirement" element, and is paid in addition to the latter. After the first year in service, the "experience" element is 5%; after the third year, it is 10%.
The criteria for assessing the requirements are:
a. Knowledge, skills and experience required for the tasks
b. Nature and scope of the tasks
c. Preparation and fundamental issues involved in the tasks
d. Essential content of the tasks

- "individual" element, based on individual performance
  a. Experience element
  b. Guarantee element (if the salary under the old salary system was higher than under the new salary system)
  c. Working conditions compensation

The "individual" element is a maximum of 34% of the "requirement" element, and is paid in addition to the latter and in addition to the "experience" element.

The working conditions compensation is a maximum of 4% of the "requirement" element. This compensation is paid in respect of extraordinary environmental or workplace factors that cannot be removed entirely by work safety measures.

Implementation of the salary system

- Evaluation of the work requirements
  a. The manager and the employee analyze the tasks to be assessed, either by using the results and development discussion form, or by preparing a separate description of the tasks.
  b. The principles of the SALARY SCALES requirement assessment system are used to determine how demanding the employee's tasks are. This primarily involves applying the "requirement level table" of Customs directly (alternative A), or assessing the task requirements by referring to the tasks most similar to them in that table (alternative B). If no comparable tasks can be found in the requirement level table, the task requirement points are given on the basis of the SALARY SCALES system (alternative C).
  c. The manager's superior validates the task requirement assessment undertaken by the manager. In principle, the superior does so separately for each employee. In practice – unless there appears to be a particular reason to validate at different times the assessments for employees in the same group – the superior shall try to validate simultaneously the assessments of an employee group that has a single line manager.

- Evaluation of the "individual" element
  a. The aim of the evaluation of the individual's performance is to see how well the employee has performed his/her tasks and achieved the jointly agreed objectives. The individual's target results and development objectives are defined in the results and development discussion which is held at least once a year between the manager and employee. The results that have been achieved during the past period are recorded at the same time.
  b. The evaluation is carried out no later than six months after the employee starts carrying out his/her new tasks.
  c. The "individual" element is a maximum of 34% of the "requirement" element, and it is paid in addition to the latter and in addition to the "experience" element.
  d. The individual's work performance is assessed by the manager using a matrix. The matrix consists of the following components, each of which is self-contained and has a maximum amount which cannot be exceeded:
     1. Mastery of the work, maximum of 15% of the "requirement" element
     2. Quality of the work and completion of the tasks, maximum of 9% of the "requirement" element
     3. Co-operation or working as a manager, maximum of 6% of the "requirement" element.

e. Each main component is divided into sub-components which together constitute the assessment of the main component. The assessment of the overall "individual" element consists of the assessments which have been given (scale 1-5). Decimal numbers can also be used when awarding assessment points, e.g. 2.50, 2.75, 3.25, 3.50.

- Salary table of Finnish Customs
  a. Throughout Finnish Customs, both a minimum and a maximum level have been set for each requirement level, based on the salary table. For work at a given requirement level, the salary paid corresponds to at least the basic level.
  b. The requirement levels of the tasks correspond to levels 5-22 in the table. With regard to the specific requirement level, the so-called "salary for the task" is set according to a salary differential of 8%.

Appeal

- Salary Working Group of Customs and Salary Teams
  a.For the salary system in Finnish Customs, there is a Salary Working Group (SWG) which operates in connection with the National Board of Customs. In addition, the National Board of Customs has appointed Salary Teams (ST) for itself, for each Customs District and for the Customs Laboratory.
  b. The six Salary Teams have the task of promoting the uniform application of the new salary system in Finnish Customs, of handling conflicts and ambiguities arising from the new system and arbitrating in these cases, and of acting as an open forum for discussion on the application and development of the Customs salary system. Another of their tasks is to give points to tasks, and to determine requirement levels using the SALARY SCALES system. Salary Teams are also responsible for disseminating information about the salary system within their District and for developing their own skills and knowledge on the salary system. At the level of the National Board of Customs, the Deputy Director of the Administration Department acts as the chairman of the Salary Team; in the Districts, it is the Head of each District, and in the Customs Laboratory, it is the Director of the Customs Laboratory. The employee organizations in Finnish Customs are also represented in each Salary Team. Each Salary Team decides on the membership changes proposed by the parties represented.
  c. The Salary Working Group of Customs also has the task of promoting the uniform application of the new salary system in Finnish Customs, of handling conflicts and ambiguities arising from the new system and arbitrating in these cases, and of acting as an open forum for discussion on the application and development of the Customs salary system. Another of its tasks is to give points to tasks and to determine requirement levels using the SALARY SCALES system. The appropriate procedure for dealing with disagreements is to raise them with the Salary Team before taking them to the Salary Working Group of Customs.
  d. The Director of the Administration Department is the chairman of the Salary Working Group of Customs. The employee organizations in Finnish Customs are also represented in the Salary Working Group.

- Procedure recommended by negotiating parties
  a. An employee who is not satisfied with a manager's decision has one month in which to appeal, calculated from when the assessment decision is issued, and no later than from the day when the pay slip is received. The appeal petition shall make clear which part of the decision is at issue and what changes are demanded, as well as the grounds for the appeal. The appeal petition is addressed and sent to the unit concerned (National Board of Customs, Customs District, and Customs Laboratory).
  b. At the first stage, negotiations shall take place between the employee, the employees' representative and the manager within no more than one month of the lodging of the appeal petition.
  c. If the matter cannot be resolved in these first-stage negotiations, it may be referred to the local negotiation level, for handling in accordance with the normal negotiation procedure, i.e. the matter may be referred for handling in negotiations between the employer and the personnel organization concerned. However, the negotiating parties that agreed the new salary system recommend that the matter be referred to a Salary Team for handling. It is important to gather experience of how the new salary system works, and the Salary Teams play a central role in its application.
  d. The appeal petition addressed to a Salary Team shall be accompanied by a memorandum on the negotiations, stating the object of the dispute and the viewpoints of the parties. The matter should be taken up in the Salary Team within no more than one month of the launch of proceedings.

e. If the matter cannot be resolved by the Salary Team, it may be referred to the Salary Working Group which operates in connection with the National Board of Customs. The matter will be taken up in the Salary Working Group at the written request of either the employer representative, the employee, or the employees' representative. Enclosed with the written request for proceedings shall be a record of the earlier negotiations, petitions of appeal and other written material which the appellant thinks will influence the matter. The matter should be taken up in the Salary Working Group within no more than one month of the launch of proceedings.
f. The units and the Salary Teams shall send their documentation on resolved disputes and the related records of negotiations to the Salary Working Group of Customs for information.
g. A person who has been involved in handling an appeal in a Salary Team may not participate in the decision-making process for that appeal in the Salary Working Group.

Realization of the objectives of management and the salary system

- Positive features
  - a. support for the implementation and other strategy development
  - b. has changed senior management culture
  - c. increased co-operation and interaction at all levels
  - d. management and work satisfaction have improved (Work Satisfaction Survey 2001)
  - e. has forced the organization to weigh and assess all its tasks
  - f. has increased knowledge of the different tasks and made them transparent
  - g. fair system of reward
  - h. improved motivation
  - i. flexible system
  - j. better comparability with private labour market
  - k. competitiveness of Customs has improved at all requirement levels, particularly for young people
  - l. salary is paid according to how challenging the tasks really are and to work performance

- Problems at implementation
  - a. change in culture is involved; there is an attempt to turn general management problems into problems relating to the new salary system
  - b. takes an enormous amount of work, benefits come later
  - c. engagement of senior managers and leadership in the new approach
  - d. lack of courage from groups in key positions
  - e. motivation of those receiving so-called guarantee share

- Key targets of development
  - a. no system is so good that it cannot be spoiled by bad application
  - b. a system is never ready
  - c. maintaining confidence between personnel and leadership at a constantly high level
  - d. maintenance and updating of task requirement chart
  - e. assessment of individual performance to be developed
  - f. continuous development of the management skills of senior managers
  - g. newness of system: operational practices must be created and developed by individuals themselves

For more information, please contact Finnish Customs, Mr. Eino Hämäläinen, head of the personnel (eino.hamalainen@tulli.fi) or Ms. Ulla-Maija Larsen (ulla-maija.larsen@tulli.fi)