



WCO ESA REGION STRATEGIC PLAN

May 2018 - April 2021



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ABBREVIATIONS / ACRONYMS

AEO	Authorised Economic Operator
AUC	Africa Union Commission
CBM	Coordinated Border Management
COMESA	Common Market for East and Southern Africa
CTC	Customs Tax Cooperation
EAC	East African Community
ESA	East and Southern Africa
GC	Governing Council
HS	Harmonized System
ICBT	Informal Cross Border Traders
MC	Management Committee (of the ESA region)
OGAs	Other Government Agencies
PICARD	Partnerships in Customs Academic Research and Development
PCA	Post Clearance Audit
RECs	Regional Economic Communities
RILO	Regional Intelligence Liaison Office
RKC	Revised Kyoto Convention
ROCB	Regional Office for Capacity Building
RoO	Rules of Origin
RSG	Regional Steering Group
RTC	Regional Training Centre
SACU	Southern African Customs Union
SADC	Southern African Development Community
SDGs	Sustainable Development Goals
TFA	Trade Facilitation Agreement
ToT	Training of Trainers
UNECA	United Nations Commission for Africa
VC	Vice Chair
WCO	World Customs Organization



INTRODUCTION

The World Customs Organization East and Southern Africa Region is one of the six regions of the World Customs Organization and comprises the following 24 Member countries:

Angola, Botswana, Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Rwanda, Seychelles, Somalia, South Africa, South Sudan, Swaziland, Tanzania, Uganda, Zambia, Zimbabwe.

The ESA Regional Office for Capacity Building (ROCB) is based in Nairobi, Kenya, hosted by the Kenya Revenue Authority and is responsible for coordinating the various capacity building initiatives in the Region. The ROCB provides customized services to Members through delivery mechanisms that sustain improvement in their operations and adaptability to the changing environment in a timely, sustainable and cost effective manner. These services are founded on the principles of leadership, relevance, responsiveness, effectiveness and resilience.

This Strategy and Implementation Plan 2018 - 2021 highlights priority areas as ESA implements its Strategy. The Plan aligns the four strategic objectives with twelve operating lines; the strategic objectives present the Region's key areas of focus.

The Plan presents the Strategy in a streamlined, easy-to-read format which highlights; specific and measurable objectives, strategies that have a strong foundation in the evidence base, specific action steps with accountabilities, deadlines and resources needed as well as links to national goals and strategies. The Plan further highlights the SWOT Analysis, Region's vision and mission and the impact of the environment in which the Region operates.

The Region has the following Regional Economic Communities (RECs): East African Community (EAC), Southern African Customs Union (SACU), Southern African Development Community (SADC) and the Common Market for East and Southern Africa (COMESA), all within the continental body, African Union.

Vision

A region that facilitates trade efficiently and professionally while ensuring economic growth and intra-regional trade.

Purpose statement

To develop gender equitable, professional and modernized Customs administrations that are fair, efficient and effective in revenue collection and border management service.

Goal

To contribute to the economic growth of the Region in trade, security, social protection and human capital development.

Values

- Transparency
- Probity
- Commitment
- Responsibility
- Respect
- Cooperation

Scope of Application of the strategy

The Scope of application for the Strategy is deepening regional integration through trade facilitation, revenue collection, protection of the society and enhancing human capital development and integrity in the 24 ESA Member administrations through effective coordination and delivery by the ESA Regional Office for Capacity Building and Regional Training Centres, supported by the Vice Chair's Office. The Strategy shall be effective for a period of 3 years, noting that resources and delivery shall be operative over the short-term period, May 2018 - April 2019 followed by a review of the strategy to enable full implementation of the long-term initiatives over the period May 2019 - April 2021.

ESA OPERATING ENVIRONMENT

ESA Strategic Assessment Report

Strengths (Internal)

1. Committed Governing Council
2. Continuous Customs reform and Modernization
3. Growing pool of regional experts
4. Dynamic and agile staff
5. A strong foundation of Customs Cooperation with other Boarder agencies and the Business community
6. A good transport network

Weaknesses (Internal)

1. Inadequate funds
2. Inadequate Human Capital - Numbers and training
3. High turnover of Customs leadership
4. Cases of Integrity and Corruption
5. Inadequate capacity to avert revenue leakage
6. A challenged RILO
7. Poor ICT infrastructure
8. Misaligned legislation/procedures (not harmonized)

Opportunities (External)

1. Existence and Support from the WCO
2. Availability of Donors interested in supporting the region
3. Vibrant Regional Economic Communities
4. Growth in Technology that support Customs Business process

Threats (External)

1. Social, political instability
2. Violent extremism
3. Tax avoidance and evasion
4. Low levels of Intra African Trade

Strategic Risks and Mitigation

Strategic Risk	Mitigating Action	Responsibility	Time frame
High turnover of Heads of Member administrations resulting in interrupted political will.	<ul style="list-style-type: none"> Provide continuous orientation on the Regional Agenda to Heads of Member administrations. 	Vice Chair and ROCB	2018 - 2021
Limited funding	<ul style="list-style-type: none"> Promote and sustain commitment to subscription 	Vice Chair /Heads of Administration	2018
	<ul style="list-style-type: none"> Engage and mobilize Donor funding 	ROCB	2018
	<ul style="list-style-type: none"> Develop and implement a resource plan 	ROCB	2018
Low buy-in by Member administrations	<ul style="list-style-type: none"> Intelligence sharing 	Member States	2018-2021
	<ul style="list-style-type: none"> Full utilization of RILO 	RILO	
	<ul style="list-style-type: none"> Participation in regional and international joint operations 		
	<ul style="list-style-type: none"> Full utilization of Customs Enforcement Network (CEN) 		
Lack of continuous monitoring and evaluation of the strategy	<ul style="list-style-type: none"> Enhance the capacity of ROCB to develop and implement a Monitoring and Evaluation Framework 	ROCB and WCO	May 2018
	<ul style="list-style-type: none"> Undertake periodic environmental scan 	ROCB	Annually
Low level capacity in project and change management at the ROCB and RTCs	<ul style="list-style-type: none"> Enhance the capacity of ROCB and RTCs in project management 	WCO	2018
	<ul style="list-style-type: none"> Develop the capacity of the ROCB and RTCs to manage change 	WCO	2018

ESA STRATEGY MAP



T 1. Promote Growth in Intra-regional Trade

- T1.1 Simplify, standardize and harmonize policies, legislation and procedures based on international standards
- T1.2 Strengthen stakeholder relationships to improve trade facilitation



R 1. Promote Fair and Efficient Revenue Mobilization

- R1.1 Modernize revenue collection
- R1.2 Adopt customer service initiatives



C 1. Strengthen Intra-regional Compliance and Enforcement

- C1.1 Enhance risk management policy, strategy and Procedures.
- C1.2 Implement Coordinated Border Management (CBM) principles
- C1.3 Encourage information sharing
- C1.4 Conduct intelligence-led intra-regional operations and support global



P1. Enhance Integrity and Professionalism in Human Capital

- P1.1 Develop a pool of subject matter experts and expert trainers
- P1.2 Promote integrity through utilization/implementation of the WCO Tools
- P1.3 Promote gender equality and diversity
- P1.4 Enhance research in the Region

DEFINITION OF STRATEGIC OBJECTIVES

1. Promote growth in intra -regional trade

This objective seeks to enhance and foster the opportunities for increased intra-regional trade amongst ESA member countries.

This shall be achieved by creating the enabling environment to facilitate the efficient movement of goods, people and conveyances as envisioned in the African Continental Free Trade Area (AfCFTA).

2. Promote Fair and Efficient Revenue Mobilization.

Economic growth and development among ESA Member relies significantly on government revenue mobilization. There is need to implement modernized revenue collection methods, processes and procedures taking into account the need to ensure transparency and fairness in the process.

3. Strengthen Intra-Regional Compliance and Enforcement

The intention of this objective is to reinforce the efficiency and effectiveness in upholding compliance to Customs law, regulations and procedures in the region, and creating the enforcement mechanisms to strengthen regional security, protection of society to enable economic growth and development. This shall incorporate strategies to enhance regional trader compliance programmes and development of frameworks for customs-to-customs networking on information exchange, intelligence sharing and treatment of common and emerging risks.

4. Enhance Integrity and professionalism in Human Capital

The ability of Customs to contribute to regional growth and development lies in the organizational efficiency and effectiveness to implement modernized systems and procedures enabled by a strong professional workforce. This objective also seeks to enhance integrity, professionalism and human capital development in Member customs administrations through the development of subject matter experts, promotion of gender equality and diversity and enhancing research initiatives.

STRATEGIC PLAN

The vision for the region and goal will be achieved through the following objectives

T1. Promote Growth in Intra-Regional Trade

Operational Objective(s)	Activities/ Priority Areas	Tasks	Timing	Costs (USD)/ DONOR	Responsibility	Indicator	
T1.1 Simplify, standardize and harmonize policies, legislation and procedures based on international standards	i. Encourage and support Members' accession to the RKC and TFA	i. Include RKC Accession as an agenda item in Regional meetings	2018 -2021	-	VC / ROCB	i. Number of Members that have implemented harmonized, simplified and automated procedures	
		ii. Facilitate briefings on the accession to RKC	2018 -2021	-	WCO/VC/ROCB		
	ii. Support subsequent implementation of the TFA	i. Formalize participation in the Mercator Programme	2018 -2021	-	Members/WCO	ii. Percentage change in flow of goods	
		iii. Educate and establish cooperation frameworks of informal cross-border traders	i. Regional workshop for Members to share experiences in cross border trading	2019 Q1	50000		ROCB/WCO
			ii. Consolidate case studies and best practices	2019 Q2	-		ROCB
	iii. Develop a communication campaign strategy	iii. Develop a communication campaign strategy	2018 Q4	TBC	ROCB		
		iv. Develop simplified procedures for informal cross-border traders that deliver better controls and trade data.	i. Conduct a baseline study				
			ii. Carry out benchmarking exercises	2019 Q1	20000	ROCB / WCO	
			iii. Business process review	2019 Q3	20000	ROCB/RTC	Kenya
			iv. Stakeholder engagement meetings with the ICBT	2019 Q4	-	Members	
	v. Adopt joint transit management initiatives such as and electronic cargo tracking systems		2020 Q1	-	Members/ROCB		
		v. Draft simplified procedures	2020 Q2	25000	Members/WG		
		i. Convene a working group to draft a business case for a single bond guarantee	2019 Q2	25000	VC		

		ii. Adopt a common approach to electronic tracking of transit consignments	2020 Q4	-	Members
		iii. Risk management report on behaviors of international road conveyances	2018 Q4	-	RILO
T1.2 Strengthen stakeholder relationships to improve trade facilitation	i. Establish cooperation framework for inter institutional alliances with the RECs, development partners and the private sector.	i. Develop and implement a working framework with the RECS to coordinate strategies and implementation plans	2019 Q1	30000	VC / ROCB
		ii. Undertake donor mapping, coordination and resource mobilization	2019 Q3	-	ROCB / WCO
		iii. Establish a Regional Private Sector Consultative Framework	2018 Q3	-	VC/ROCB/WCO
	ii. Promote Customs - Tax cooperation	i. Sensitize the region on the need for CTC (Workshop)	2019 Q2	50000	WCO/ROCB
		ii. Establish a Regional Customs and Tax engagement forum	2019 Q3	-	VC

R1. Promote Fair and Efficient Revenue Mobilization

Operational Objective(s)	Activities/ Priority Areas	Tasks	Timing	Costs (USD)/ DONOR	Responsibility	Indicator	
R1.1 Modernize Revenue Collection	i. Support members to effectively utilize WCO tools - the revenue package.	i. Modernize legislation in line with RKC.	2018 -2021	-	VC/Members	i. Percentage increase in the amount of revenue collected	
		ii. Automate processes	2018 -2021	-	Members/ VC		
		iii. Implement HS 2017	2018 -2019	-	Members	ii. Percentage reduction in cost of collection	
		iv. Implement WCO revenue package	2018 -2021	-	Members / WCO		
		v. Support Members to utilize WCO tools effectively	2018 -2021	-	Members / WCO / ROCB		
		vi. Build a ToT pool for the revenue package giving priority to Valuation, HS and Rules of Origin.	2018 -2021	-	ROCB/ WCO		
	R1.2 Adopt customer service initiatives	ii. Promote systems integration with OGAs	i. Conduct survey on Single window implementation in the Region	2019 Q2	15000	ROCB	
			ii. Establish engagement forums with OGAs	2018-2021	-	Members	
		i. Develop a model service charter	i. Form a virtual working group	2018 Q4	-	VC	
			ii. Publish the charter	2019 Q2	-	ROCB	
ii. Create a database of established advance rulings	i. Nominate a Committee to oversee implementation of Advance Rulings	2020 Q1	-	VC			
	ii. Draft the terms of reference for the creation of the Regional Advance Rulings data base	2020 Q2	-	ROCB/ RTC Zimbabwe			

C1: Strengthen Intra-regional Compliance and Enforcement

Operational Objective(s)	Activities/ Priority Areas	Tasks	Timing	Costs (USD)/ DONOR	Responsibility	Indicator
C1.1 Enhance risk management policy, strategy and procedures	Develop a Risk Management model plan that provides a reference to review existing risk management policies strategies and procedures	i. Convene a virtual working group to collate existing regional Risk Management plans	2019 Q3	-	ROCB/ RTC Mauritius	i. Number of Common structured and coordinated border enforcement actions
		ii. Draft regional Risk Management plan which includes regional strategy and policy, roles and responsibilities and tools	2019 Q4	-	ROCB/ RTC Mauritius	
		iii. Draft a regional compliance manual	2020 Q1	-	ROCB/ RTC Mauritius	ii. Number of Members that have implemented compliance programme's supported by intelligence driven risk management
C1.2 Implement Coordinated Border Management (CBM) principles	i.Support development of coordinated clearance procedures	i. Conduct joint training / workshops	2019 Q4	50000	ROCB/WCO	
		ii. Create a Committee to write policy	2020 Q1	-	VC	
		iii. Develop legal and regulatory framework	2020 Q1	-	VC/ROCB/ WCO	

P1. Enhance Integrity and Professionalism in Human Capital

Operational Objective(s)	Activities/ Priority Areas	Tasks	Timing	Costs (USD)/ DONOR	Responsibility	Indicator
P1.1 Develop a pool of subject matter experts and expert trainers	i. Increase the number of regional and WCO subject matter experts and expert trainers.	i. Undertake regional Training workshops (ToTs) giving priority to Valuation, HS, PCA and RoO.	2019 Q1 2019 Q3 2020 Q1 2020 Q3	35000 Per Workshop	ROCB/WCO/ RTC Zimbabwe	i. Increase in the number of regional subject matter experts ii. Number of surveys related to officers' behaviors
		ii. Develop and utilize a database of the regional pool of experts.	2018-2021	-	WCO/ROCB	
		iii. Establish a forum of regional experts.	2019 Q3 2020 Q3 2021 Q3	50000	ROCB/WCO	
	ii. Establish a coordination framework for regional entities and projects currently developing experts.	iv. Enhance and implement the existing coordination framework for regional entities and projects currently developing	2018-2021	-	VC/ROCB	
P1.2 Promote integrity through utilization/ implementation of the WCO Tools	i. Promote implementation of the Arusha Declaration.	i. Carry out awareness programs (Sensitization workshop)	2018 Q4	35000	ROCB/WCO	
		ii. Carry out continuous peer reviews to establish implementation status	2019 Q4	-	ROCB/WCO	
	ii. Develop and implement a regional integrity and anti-corruption framework.	i. Establish a working group comprising experts/mentors	2019 Q1	-	ROCB/WG/ WCO	
		ii. Monitor and report implementation	2019 Q1- 2021 Q4 2018 Q4	35000	ROCB/ WG/WCO	
P1.3 Promote gender equality and diversity	iii. Congregate a platform for Gender issues	i. Create and maintain an online ESA gender, equality and diversity forum		-	ROCB/ RTC South Africa	
		ii. Develop a Regional module on gender and diversity	2019 Q1	-	RTC South Africa/ ROCB	
		iii. Conduct an annual gender, equality and diversity conference	2019 Q4	50000	RTC South Africa/ ROCB/ VC	

	ii. Develop policies that address gender equality and diversity	iv. Encourage members to draft and publish gender, equality and diversity policies taking into account SDG5	2018 -2021	-	VC/ROCB/WCO	
P1.4 Enhance research in the region	i. Develop Institutional capacity to undertake research	i. Identify national lead officials to be responsible for research	2018 Q3	-	ROCB	
		ii.Support officials to undertake training in research skills	2018 Q3	50000	ROCB/WCO	
		iii. Draft regional guidelines that articulate ESA research standards	2019 Q1	-	ROCB/WCO/RTC South Africa	
	ii. Identify opportunities to promote, present and publish research work	i. Create an online library for publishing research papers	2019 Q2	10000	ROCB/RTC South Africa	
		ii. Register and participate in appropriate conferences	2018-2021	10000	Members/ROCB	
		iii. Seek opportunities to publish in internal and external Journals	2018 -2021	-	ROCB/Members	

ANNEX I- IMPLEMENTATION MATRIX

OBJ	Activities/Priority Areas	Tasks	2018 - 2019		2019 - 2020				2020 - 2021				2021				
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
T1.1	i. Encourage and assist Members' accession to the RKC and TFA	i. Include RKC Accession as an agenda item in Regional meetings	█	█	█	█	█	█	█	█	█	█	█	█	█		
		ii. Facilitate briefings on the accession to RKC	█	█	█	█	█	█	█	█	█	█	█	█	█	█	
	ii. Support subsequent implementation	i. Formalize participation in the Mercator Programme	█	█	█	█	█	█	█	█	█	█	█	█	█	█	
		i. Regional workshop for Members to share experiences in cross border trading			█												
		ii. Consolidate case studies and best practices				█											
	iii. Educate and establish cooperation frameworks of informal cross -border traders	iii. Develop a communication campaign strategy		█													
		iv. Develop simplified procedures for informal cross-border traders that deliver better controls and trade data	i. Conduct a baseline study			█											
			ii. Carry out benchmarking exercises				█										
			iii. Business process review					█									
		vi. Stakeholder engagement meetings with the ICBT						█									
		v. Draft simplified procedures							█								
		v. Adopt joint transit management initiatives such as and electronic cargo tracking systems	i. Convene a working group to draft a business case for a single bond guarantee				█										
	ii. Adopt a common approach to electronic tracking of transit consignments									█							
iii. Risk management report on behaviors of international road conveyances			█														
T1.2	i. Establish cooperation framework for inter institutional alliances with the RECs, development partners and the private sector.	i. Develop and implement a working framework with the RECS to coordinate strategies and implementation plans			█												
		ii. Undertake donor mapping, coordination and resource mobilization				█											
		iii. Establish a Regional Private Sector Consultative Framework	█														
	ii. Promote Customs - Tax cooperation	i. Sensitize the region on the need for CTC (Workshop)				█											
		ii. Establish a Regional Customs and Tax engagement forum					█										
R1.1	i. Support members to effectively utilize WCO	i. Modernize legislation in line with RKC.	█	█	█	█	█	█	█	█	█	█	█	█	█		

ANNEX 2- MONITORING, REPORTING AND EVALUATION OF THE STRATEGY

2.1 Monitoring

The strategy will be monitored using the implementation plan as attached in Annex 1. Monitoring will be an ongoing process. The secretariat will develop action plans which will be monitored throughout the period of the strategic plan.

2.2 Reporting

Performance reporting on the strategy will be done quarterly, bi-annually and annually. Reports will follow a standardized reporting framework that will be developed and shared with member administrations. The ROCB will coordinate the reporting process with support from the RSG.

2.3 Evaluation

The strategic plan will be reviewed annually to align it with existing /prevailing environmental factors. This will also help to incorporate emerging issues.

ANNEX 3-CHANGE MANAGEMENT STRATEGY

Strategy	Activities	Responsibility Centre	Date
Stakeholder Management	1. Formation of the stakeholder-working group.	ROCB/ VC	May 2018
	2. Engage Identify stakeholders. <ul style="list-style-type: none"> ▪ Member administrations. ▪ Regional Bodies: <ul style="list-style-type: none"> i. ROCB, RTC, ▪ RECS: <ul style="list-style-type: none"> i. EAC, COMESA, AUC, SACU, SADC. ▪ OGAs ▪ Private sector 	Working Group	
	3. Assess change readiness.	Working Group	
	4. Develop and implement the change management plan.	Working Group /ROCB	
Communication	1. Create a communication-working group.	ROCB	
	2. Develop the communication plan	Working Group	
	3. Develop Communication material; Print Media material, Messages, electronic design templates. Mode of communication; Email, intranet & ESA Website.	Working Group	

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