WCO Framework of Principles and Practices on Customs Professionalism
WCO Framework of Principles and Practices on Customs Professionalism
Human capital is the most valuable asset to keep pace with an ever-changing environment.
The opportunities and challenges of the modern Customs environment require Customs administrations to respond to a rapidly changing global trade environment in a strategic and cost-effective manner. Considering that human capital is one of the most valuable assets that will allow Customs to adapt to this fast-changing environment, it is essential that Customs administrations invest in their people as a foundational element of their organizational development and modernization agendas. The identification and development of modern Customs values and competencies – professional, operational and managerial – rests at the centre of the WCO’s “investing in people” approach.

The WCO supports Customs around the world with the “investing in people” approach. This includes the development of Customs values and competencies through the PICARD Professional Standards, the Leadership and Management Development Programme, the Virtual Customs Orientation Academy and continued support in the development of competency-based Customs professional frameworks. The WCO will also continue to support a comprehensive training approach through an expanded CLiKC platform and working closely with Regional Training Centres.

The theme for the Fifth Session of the WCO Capacity Building Committee was “Strong People – Strong Organizations: Investing in People as the basis for Organizational Development”. This underlines the WCO’s strong belief in a people-focus pathway to organizational development that is essential in the development of a modern, 21st century Customs administration. It is therefore appropriate that the Framework of Principles and Practices on Customs Professionalism was approved at this Session before it was transmitted to the Council for adoption. Work on the Framework started in 2012 and its objectives are to equip Members with a blueprint to design comprehensive workforce development strategies and programmes for Customs administrations as well as pooling methods on the related key concepts such as staffing, recruitment, development and learning, career paths and mobility and performance management.

The Framework is linked to an on-line repository of practices, the CLiKC! People Development Interactive Map, that provides an overview of the Customs community’s initiatives and solutions implemented worldwide to efficiently manage competency-based HR processes. The virtual and interactive format of the Framework will enable Customs practitioners to benefit from a tool that is regularly updated with the latest principles, models and methods tied to the development and implementation of workforce development programmes. It can be accessed at http://clikc.wcoomd.org/course/view.php?id=387&lang=en.

The WCO will continue to actively work with administrations to develop solutions to attract, develop and retain the right competencies, and to ensure there is a strategic alignment between their needs, organizational goals and the allocation of resources. This will promote a virtuous circle of cutting costs and not capabilities, maximizing workforce productivity and building responsive organizations.

This publication is completed by the People Development Interactive Map, gathering data and best practices from Member Administrations in the areas of Human Resources Development and Training.

The electronic version of this publication and the People Development Interactive Map are both available on the CLiKC! website, by scanning the following QR codes with your mobile device or by using the following links.

WCO Framework of Principles and Practices on Customs Professionalism:

People Development Interactive Map:

The CLiKC! logo invites you to get connected and access the on-line People Development Interactive Map to get more information on the collected Members practices.
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Page 144  Customs Professionalism and Career Paths Development
Human capital is the most valuable asset to keep pace with an ever-changing environment. And global, regional and national imperatives have reinforced the need for responsive Customs administrations. The WCO has then led innovative initiatives aimed at establishing Customs as a Profession. New platforms have strived to provide a cooperation framework for Customs Education and Research and to build up solutions to increase the professional knowledge and raise the standing of Customs executives and practitioners, such as the PICARD Professional Standards adopted in 2008 for Operational and Strategic Customs Managers and the Chapter on Human Resource Management in the WCO Capacity Building Development Compendium published in 2010.

Customs is a coherent professional body with unique operating models, and the WCO has endeavoured to ensure that its workforce’s characteristics are progressively identified as sharing specific and graduated knowledge, competencies and skills, and fully connected to today’s economic and social challenges.

The importance of setting Customs as a recognized Profession and as a career has led the WCO and its partners to contemplate encouraging national adoption of integrated education, training and development schemes by Customs and Education authorities as well as initiating new approaches to Customs whole-of-career development strategies.

People are the key enabler of any organization and the strategy of having the right person at the right place, at the right time is central. Attracting talents, aligning employee performance with the organization’s mission and values, proactively shaping the future workforce and retaining the top performers are some of the strategic issues that Customs administrations are facing.

The 2nd WCO Capacity Building Committee (CBC) held in Brussels from 3 to 5 May 2011 outlined the crucial importance of people development for Capacity Building and Customs modernization and decided to trigger further reflection on methods of building Professionalism in Customs. To assist Members with their understanding and implementation of Customs Professional qualifications and Customs Career Paths, the Secretariat has received the mandate to develop a Framework of Principles and Practices on Customs Professionalism and to set up a Virtual Working Group to address this priority issue. The Group gathered officials from different parties such as Customs administrations, academia and the private sector who specialize in human resources management, organizational development and change management.

The Group’s objectives were to set principles and standard frameworks to design comprehensive workforce development strategies and programmes for Customs administrations, to develop principles and methods on the key concepts tied to the implementation of workforce development programmes by examining approaches already adopted or under development by Customs administrations, academia and the business community. It has collected principles and practices from these communities, researched gaps and missing components and adapted theoretical concepts and academic findings to Customs operating models.

The 3rd Session of the CBC agreed on the Framework’s components, namely Customs Job Profiles, Recruitment, Customs National Training Centres, and Career Paths in order to have a practical toolbox for Customs Career Development strategies. The Committee also agreed that the Framework should not be a stand-alone document but be incorporated into Chapter 9 of the WCO’s Capacity Building Development Compendium.

The Framework is structured around a set of sections and a virtual repository of practices accessible on CLiKC! (WCO Customs Learning and Knowledge Community) which is continuously up-dated by the Members where they can publish practices, case studies and other documentation on Human Resource Management and Training. This repository is the CLiKC! People Development Interactive Map.
The Framework of Principles and Practices on Customs Professionalism now consists of:

1. **Strategic Principles on Human Resources Management**
   This section introduces the evolving role of Human Resources and provides insights on the new responsibilities of HR professionals which have to be embedded when considering Customs Career Development.

2. **Strategic Organization Design and Job Profiling**
   This section presents an updated and expanded version of the related part of the Compendium and elaborates on the development of Job Profiles linked to Organizational Design. It is enriched with result-oriented Job Descriptions practices to ensure a systematic competency-based approach.

3. **Recruitment Processes**
   The main steps to conduct a transparent and effective recruitment process are defined and explained by way of general principles along with illustrative examples and practices provided by Members.

4. **Customs Competency-Based Training Guidelines**
   The core components of efficient Customs Training strategies, processes, curricula and infrastructure are identified and this section gathers the fundamentals and practices to create or improve National Training Centres (NTC) and competency-based, career-long Development and Training policies. Sets of national curricula as well as any other relevant documents to NTCs can be found on the CLiKCI platform.

5. **Customs Career Path Development**
   The driving principles for flexible and fair career paths in Customs are identified. This will enable solutions to sustain staff motivation and engagement and to efficiently match staff potential with organizational goals.
Strategic Principles on Human Resources Management

1. GENERAL INTRODUCTION

2. THE STRATEGIC ROLE OF HRM
   2.1. The Changing Human Resources Role
   2.2. New HR Role
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3. INTEGRATING HUMAN RESOURCES AND BUSINESS PLANNING
   2.4. HR Role: Employee Advocate
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1. GENERAL INTRODUCTION

The soft elements of the 7’s model (skills, style, staff and shared values) are very important aspects of an organization – as stated in the “Strategic Management” chapter of the WCO Capacity Building Development Compendium (in the section of Chapter 3 on the 7’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. 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 consistency and coherence between the soft and hard elements of the 7’s Model.

The 7’s model

Many different perspectives and definitions of HRM 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 the meaning to this ‘HRM chaos’. The following HRM definition is adopted:

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

The Framework provides both theoretical models and descriptions, complemented by best practices from Customs administrations worldwide with a key focus on implementing strategic HR management efficiently supporting the organization’s goals. It is essential to recognize the strategic role of the HR units and professionals within an organization and therefore to integrate closely HR planning and Business planning. It is vital to the successful implementation of the Administration’s vision and strategy and to the promotion of healthy, strong organization that attract, develop, and retain competent, committed and engaged employees.

Integrating HR and Business is key:

• To align the administration’s workforce with the government’s priorities, and the organization’s mission, strategic plan and budgetary resources;
• To support HR strategies (organization design and classification, training, career development) that are tailored the current and future needs of the administration;
• To assist managers meet their responsibilities and accountabilities and realign their workforce;
• To develop and sustain strong leadership across the administration; and
• To facilitate the performance improvement and reporting through the development of performance measures.

2. THE STRATEGIC ROLE OF HRM

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 HRM 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.

The roles Human Resources Professionals need to play

Human Resources practitioners, depending on the size of the organization, may have overlapping responsibilities. In larger organizations, the Human Resources Manager, and the Director have clearly defined, separated roles in HR management with progressively more authority and responsibility in the hands of the HR manager. HR directors, and occasionally HR managers, may head up several different departments that are each led by functional or specialized HR staff, such as the training manager, the compensation manager, or the recruiting manager. Human Resources staff members are advocates for both the organization and the people who work in the organization. Consequently, a good HR professional performs a constant balancing act to meet both needs successfully.

2.1. The Changing Human Resources Role

The role of the HR professional is changing. In the past, HR managers were often viewed as the systematizing, policing arm of executive management. Their role was more closely aligned with personnel and administration functions that were viewed by the organization as paperwork. When it is considered that the initial HR function, in many organizations, comes out of the administration or finance department because hiring employees, paying employees, and dealing with benefits were the organization’s first HR needs, this is not surprising. In this role, while serving well the executive agendas, the HR professional was frequently viewed as a road block by much of the rest of the organization. While some need for this role occasionally remains — one would not want every manager putting his own spin on a sexual harassment policy, as an example —, much of the HR role is transforming itself.

2.2. New HR Role

The role of the HR manager must parallel the needs of his or her changing organization. Successful organizations are becoming more adaptable, resilient, quick to change direction, and customer-centered. Depending on the size of the organization, the HR manager has responsibility for all of the functions that deal with the needs and activities of the organization’s people including these areas of responsibility.

• Recruiting;
• Hiring;
• Training;
• Organization Development;
• Communication;
• Performance Management;
• Coaching;
• Policy Recommendation;
• Salary and Benefits;
• Team Building;
• Employee Relations; and
• Leadership.

It is then recommended to consider three additional roles for the HR manager.

2.3. HR Role: A Strategic Partner

In today’s organizations, to guarantee their viability and ability to contribute, HR managers need to think of themselves as strategic partners. In this role, the HR person contributes to the development and the accomplishment of the organization-wide strategic plan and objectives.

The HR strategic objectives are established to support the attainment of the overall strategic business plan and objectives. The tactical HR representative is deeply knowledgeable about the design of work systems in which people succeed and contribute. This strategic partnership impacts HR services such as the design of work positions; hiring; reward, recognition and strategic pay; performance development and appraisal systems; career and succession planning; and employee development.
To be successful strategic partners, the HR staff members have to think strategically, know finance and accounting, be accountable and responsible for cost reductions, and the measurement of all HR programs and processes.

2.4. HR Role: Employee Advocate

As an employee sponsor or advocate, the HR professional plays an integral role in organizational success via his/her knowledge about and advocacy of people. This advocacy includes expertise in how to create a work environment in which people will choose to be motivated, contributing, and happy.

Fostering effective methods of goal setting, communication and empowerment through responsibility, builds employee ownership of the organization. The HR professional helps establishing the organizational culture and climate in which people have the competency, concern and commitment to serve customers well.

In this role, the HR manager provides employee development opportunities, employee assistance programs, organization development interventions, due process approaches to problem solving and regularly scheduled communication opportunities.

2.5. HR Role: Change Champion

The constant evaluation of the effectiveness of the organization results in the need for the HR professional to frequently champion change. Both knowledge about and the ability to execute successful change strategies make the HR professional exceptionally valued.

Knowing how to link change to the strategic needs of the organization will minimize employee dissatisfaction and resistance to change.

The HR professional contributes to the organization by constantly assessing the effectiveness of the HR function. He/she also sponsors change in other departments and in work practices. To promote the overall success of his/her organization, he/she champions the identification of the organizational mission, vision, values, goals and action plans. Finally, he/she helps determine the measures that will tell his/her organization how well it is succeeding in all of this.

3. INTEGRATING HUMAN RESOURCES AND BUSINESS PLANNING

It is essential to adopt an integrated HR planning in order to efficiently reach the organization’s priorities and objectives. It secures better functional linkages between the organization’s goals and all the HR processes. The key of the HR planning is to make the organizational priorities fully operational, through the adoption of streamlined processes.

The internal process to be adopted by each organization shall follow an iterative and scalable cycle to identify current and future human resources needs to achieve an organization’s goals and to establish this crucial link between the HR management and the overall strategic plan of an organization.

The effective integration of HR planning requires active collaboration between the HR professionals and the strategic management level, along with the adoption of adapted HR planning tools, and progressive implementation processes.

The integrated HR planning cycle integrates several components into a transparent and constantly monitored process. A systematic assessment of the current and future needs of the directorates/regions/branches and of the administration as a whole, supports the achievement of business excellence by promoting initiatives to attract,
develop and retain an engaged, sustainable and competent workforce. The process integrates the analysis and understanding of these elements:

- The environmental scanning: both external (e.g., Employer attractiveness from Public Service Employment survey, or job market analysis, etc.) and internal (e.g., demographics study for general characteristics, trends, future challenges, etc.) as well as the HR strategy specifics at the governmental level;

- The organization’s strategic planning: government’s priorities (legislative, financial), Public Service priorities, Customs Union strategy (if applicable), Customs multiannual strategic plan, etc;

- The operational planning of the organization: the annual action plan by directorates, sectors, operations with strategic priorities and performance criteria; and

- The HR planning: workforce components analysis, orientations and HR priorities, HR operational plans (job classification, staffing strategies, training and development, rotation planning, talents management, etc.) for each directorate and region.

In order to achieve the integration of these elements, an administration needs to build its HR planning capacity to achieve its organizational performance goals. A five-step approach to determining current and future HR needs shall be promoted at all management levels. A common methodology will align and integrate the HR planning exercises developed by all the line managers, region and directorate managers into a coherent tool.

All management levels shall be assisted by the HR professionals in participating in the HR planning following this process:

1. Determine the business goals (what are your key goals for the next years, any changes foreseen in direction, who are your key partners?);

2. Scan the environment (workforce analysis, team’s internal scan, external scan);

3. Conduct a gap analysis (considering the environmental issues and the current workforce, what are the HR current and future needs to reach the business goals?);

4. Set HR priorities to achieve business goals (what are the main strategies? what strategies will achieve the desired outcomes? (recruitment/staffing, mobility/redeployment, Integrity/Diversity, Training/Development, Workplace well-being, etc.));

5. Measure, monitor and report on progress (what are the HR measurable goals, are they aligned with the organization’s performance measurement tools, what mechanisms to track HR performance outcomes?).

In order to support their respective planning cycles, an integrated planning calendar with appropriate timelines can be adopted by administrations along the identified elements presented below.

One of the integrated HR planning’s key success criteria is to ensure a constructive and continuous dialogue between the HR units, the directorates and regions’ management. The management level then benefits from constant support to align their decisions regarding staff allocation, workload in accordance with the classification system, the proper implementation of competency-based job descriptions, and regarding employees’ support throughout their career development.

The HR priorities or strategic goals (e.g., Integrity, Diversity and Inclusiveness, Talents management) are then translated into functional advice and orientations to strengthen the operational strategies and plans. The collaborative approach equips each Directorate and region with its own HR operational plan offering strategic guidance regarding programs’ feasibility, competence gaps adjustments or future priorities.

An integrated HR planning cycle enables the adoption of a systematic alignment of the operational management decisions to the HR business processes and vice versa.

The HR Value Chain presenting all the main HR processes could be identified as follows:

- Legal and Ethical Framework: set of legislation, administrative rules and policies within which the organization operates and which determines the workforce and workplace legal framework and identifies the legal imperatives for both managers and employees.

- Human Resources Staffing and Planning, Organization Design & Reporting: set of processes by which managers determine the impacts of the factors influencing the
delivery of their services, programs and business priorities on their workforce and workplace. These impacts are presented in the form of a workforce and workplace plan. Also includes any activity associated with aligning the organizational staffing structure to meet any change needed and with setting and reporting on the performance of the organization.

- Jobs and Position Management: set of processes and activities through which business/job requirements are "translated" into competency-based job descriptions (either through re-use of pre-classified job descriptions or new/amended job descriptions) where job is evaluated and classified, as required and where positions are established or maintained.

- Compensation: set of processes and activities through which information related to an employee’s work and personal circumstances are processed and transmitted to the pay service provider, as they relate to pay, benefits and insurances. Leave banks are also maintained and processed internally.

- Staffing, Integration and Separation: set of processes and activities through which current and future vacancies are addressed, including attracting, assessing and selecting the candidates. Also includes activities associated with initiating the employee record, documenting and enrolling employees in pay and benefits, arranging for appropriate work tools and equipment and orienting employees to their new work and workplace. Also includes the set of processes associated with an employee’s temporary or permanent departure from either a department within a public service or the public service as a whole.

- Performance and Development: set of processes and activities associated with initiating and fulfilling the performance agreement of an employee, including setting performance expectations, periodic and planned reviews of performance, planning and undertaking learning and development events. Also includes activities associated with recognizing and rewarding employees.

- Workplace Management: set of processes initiated by either an employee or manager, as a result of events/decisions made in the workplace. This includes activities associated with initiating and approving leave and overtime, establishing work schedules, addressing health and safety events and issues in the workplace, addressing accommodation requirements, managing grievance
1. Strategic Principles on Human Resources Management

The integrated HR planning will enable to ensure that all those HR processes, as stated above, proactively answer to the business needs, objectives and orientations.

The main objective of the Framework on Customs Professionalism is to provide a conceptual and practical tool aiming at supporting Customs decision-makers and capacity builders, who are involved in the reform and modernization of their organization’s human resources strategic management. It participates at adopting HR implementation processes with a key focus on change and performance development.

The different chapters and sections are articulated around some of the main HR components. The themes and topics developed in the Framework are all linked to the implementation of the Competency-based approach in Customs and provide a framework to tackle strategic decisions applied to workforce planning and development. Even though the topical clusters are presented in a logical order, the WCO Framework on Customs Professionalism does not aim at enforcing a methodological approach through a linear implementation thread. The HR systems and processes’ complexity is more adapted to non-linear models.

Based on each Customs administrations’ context, legal and administrative environment, the conceptual framework can be adapted and enriched. The collected practices presented in the Framework’s annexes, as well as in the on-line repository available on CLiKC!, aim at providing complementary implementation perspectives promoting the establishment of specific and customized national HR processes.
# Strategic Organization Design and Job Profiling

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WCO Framework of Principles and Practices on Customs Professionalism - 19
2 Strategic Organization Design and Job Profiling

1. INTRODUCTION ON THE COMPETENCY-BASED APPROACH

According to the World Customs Organization (WCO) Customs in the 21st Century strategy, “Customs administrations need to ensure that they have the capacity and skills across all dimensions of the operating model to perform all Customs functions most effectively and efficiently.”

Many Customs administrations have introduced reform and modernization initiatives. New responsibilities, demands, the introduction of modern technology and new work procedures have significantly changed the operating model of Customs administrations as well as their business processes, organizational design, capabilities and workforce development strategies.

The competency-based approach is crucial to the adoption of integrated performance-focused HR systems which provide the accurate and scalable interface between the political vision, the organizational strategy, the operational tasks and professional work specificities, and the HR systems.

A competency is often defined as an integrated set of knowledge, abilities and aptitudes needed to successfully perform an action or a work activity. This traditional definition can be enhanced by stressing the scalable nature of competencies: competence is to be understood as a mean to act, succeed and progress which enables to carry out accurately tasks, professional or personal activities, and which is based on a structured body of knowledge, diverse abilities, strategies, perceptions, attitudes, etc. The competence can be translated into an observable and measurable behavior needed to perform a task with a pre-established level of performance.

The competency-based approach then enables to determine job inherent competencies and to formulate them into objectives and/or performance criteria.

The competence is the foundation of the HR processes and the competency-based approach relies on three pillars: adaptability (to the organizational environment and strategy as well as to the job specificities); consistency (as the foundation of the HR processes it provides a reliable basis for the development of multi-modal, transparent and accessible HR tools); operability (each employee, each supervisor, benefits from a clear mapping of the competencies required for an optimal performance in a specific position, current or future).

It is a key tool to implement consistently result-based management’s principles throughout an organization’s workforce.

Identifying, developing and assessing competencies needed to support the organization’s strategic plan is the foundation of competency-based management and is key to sustainable organizational development. Competency-based management supports the integration of human resources planning with business planning by allowing organizations to assess the current human resource capacity based on their competencies against the capacity needed to achieve the vision, mission and business goals of the organization. Targeted human resource strategies, plans and programs to address gaps, including staffing, training, career development and succession management can then be designed, developed and implemented to close the gaps.

Within the Staffing process, HR Planning and Jobs Analysis are the first processes to put in place to efficiently implement the competency-based approach.
on Customs Professionalism. They have followed a 7-step project to achieve the complete alignment of the HRM Strategy (including Training) to its specific organizational strategy:

- Establishment of a HRM Modernization Committee;
- Development of a Competency Framework and Dictionary of Competencies;
- Development of a Job Catalogue;
- Development of Job Descriptions;
- Development of a draft Staffing Plan;
- Development of a draft Training Strategy; and
- Development of a communication campaign on HRM competency-based approach.

The following section aims at presenting the process to translate a Customs administration’s strategy and its organization’s value chain into core processes and core competencies, and therefore implement the competency-based approach for job profiling. It follows a standardized methodology designed after the South African Revenue Service (SARS) experience.

2. THE ORGANIZATION DESIGN, CORE PROCESSES AND COMPETENCIES

Organizations are comprised of people, the roles that they perform, the structures that organize their relationships, and the processes they perform. Processes include operational and organizational (management) processes, the latter ensuring that the organization is appropriately focused and administered.

2.1. Design the Organization Foundation

When commencing with this part of the initiative, it would be prudent to consider some of the following questions:

- What is the objective or mandate of the organization?
- What is the organization’s value chain?
- What are your core processes?
- What are your support processes?
- What is the current skill level within the organization?

![Figure 1 - Organization Design Model](source: South Africa Revenue Service)
As part of this, it is also advisable to undertake a full skills audit of all Customs staff. This will provide an overview of skills shortages or oversupply. It will also provide for individual and national learning and development needs.

**Step 1: Understanding the Strategic Intent**

Understanding and defining the mandate of the organization is also about assessing and addressing the global Customs strategic and operational context.

As outlined in the Customs in the 21st Century strategy, modern and responsive Customs administration is about:

- Coordinated Border Management (CBM) and not only revenue collection and the administration of trade;
- Effective integrated supply chain management, involving comprehensive oversight of and insight into the global supply chain;
- Strong Customs technical instruments;
- Strong Customs-to-Customs networks, involving cooperation and the exchange of information; and
- Strong Customs-to-Trade partnerships, involving trusted trader programmes that see economic operators taking responsibility for aspects of supply chain security and compliance in exchange for Customs benefits.

### Customs in the 21st Century Building Blocks

- Integrity
- Coordinated Border Management
- Enabling Technology
- Professional Service Culture
- Capacity Building
- Globally Networked Customs
- Custom-Trade Partnership
- Modern Methods
- Enabling Powers

#### Step 2: Conduct As-is Organization Assessment / Review

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<th>Expected Outcomes</th>
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<td>Conduct focused interviews with key leadership and other stakeholders</td>
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#### Step 3: Design the Organization Blueprint

Once there is a comprehensive understanding of the current state of the organization as well as the organizational scorecard, the organization blueprint could be developed using the output from steps one and two.

#### Step 4: Review / Develop Scorecard/Key Performance Indicators

Using the mapped core processes and identified Customs functions and activities, it is possible to not only allocate relevant roles and consolidate jobs, but also to identify core competencies. By way of illustration, the following table maps relevant core competencies derived from three core processes in Customs in the 21st Century to be integrated later in the Competency Framework.
### Key Activities | Expected Outcomes
--- | ---
**Analyse Customs performance management**
- Gather human performance/workforce metrics
- Research and collate Customs performance management industry practices and benchmarks
- Review existing processes, career frameworks, tools, documentation and metrics
- Understand HR context and policies

Understanding of Customs performance management process and measures

**Define key performance indicators (KPIs) and rewards processes**
- Define ‘to be’ Customs performance matrix
- Define ‘to be’ performance targets

Updated performance measures and target performance levels

**Communicate new performance management measures, process, etc**
- Communicate “to be” performance management process to directly impacted staff (address issues relating to how will this impact me?)

Informed directly impacted Customs workforce

**Implement “to be” performance management measures and process**
- Analyse performance management changes’ impact on pilot site staff
- Address performance management issues, by implementing relevant actions in line with Labour relations legislation and HR policies. Actions could include, but not limited to:
  - Establish staff performance baseline
  - Identify opportunities for improvement, staff developmental needs

Staff performance management activities
Once the process has been mapped, the activities are taken from reengineered processes and roles are allocated to each activity and consolidated to form jobs. For this purpose and by way of illustration, three core processes from Customs in the 21st Century are Intelligence-Driven Risk Management, Custom-Trade Partnership and Coordinated Border Management (CBM):

Table 1 - Example of Core Processes and Competencies

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<td>Analysis of intelligence systems;</td>
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<td>Analysis of customs data as well as 3rd party data,</td>
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<tr>
<td>statistical analysis;</td>
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<tr>
<td>Ability to receive and interrogate Customs data at the</td>
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<tr>
<td>earliest point in the trade and traveller process;</td>
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<tr>
<td>Enablement of risk analysis in the end to end customs</td>
</tr>
<tr>
<td>process;</td>
</tr>
<tr>
<td>Ability to supporting targeting system by performing</td>
</tr>
<tr>
<td>targeting and controls;</td>
</tr>
<tr>
<td>Ability to provide for compliance measurement and</td>
</tr>
<tr>
<td>effective risk scoring;</td>
</tr>
<tr>
<td>Ability to incorporate results into the risk management</td>
</tr>
<tr>
<td>process.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Core Customs Process: Customs-Trade Partnership</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Relevant Core Competencies</strong></td>
</tr>
<tr>
<td>Client Management and selection;</td>
</tr>
<tr>
<td>Ability to conduct validation audit - assess whether the</td>
</tr>
<tr>
<td>internal business processes of this operator are suitable</td>
</tr>
<tr>
<td>to ensure proper application of the requirements of this</td>
</tr>
<tr>
<td>Customs procedure;</td>
</tr>
<tr>
<td>Ability to conduct capability audit; used to assess and</td>
</tr>
<tr>
<td>quality assure the internal business processes of an</td>
</tr>
<tr>
<td>Authorised Economic Operator applicant;</td>
</tr>
<tr>
<td>Ability to conduct Post Clearance Inspection: all aspects</td>
</tr>
<tr>
<td>of different declarations over a longer period of time</td>
</tr>
<tr>
<td>(including verifying internal business processes;</td>
</tr>
<tr>
<td>Ability to perform audits.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Core Customs Process: Coordinated Border Management (CBM)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Core Competencies</strong></td>
</tr>
<tr>
<td>Ability to conduct comprehensive assurance of trade,</td>
</tr>
<tr>
<td>fiscal, safety and security compliance</td>
</tr>
<tr>
<td>Ability to perform intrusive and non-intrusive inspections</td>
</tr>
<tr>
<td>Ability to perform inspections</td>
</tr>
<tr>
<td>Ability to conduct terminal/port based cargo controls</td>
</tr>
<tr>
<td>Ability for early detection and focused intervention type</td>
</tr>
<tr>
<td>and resource allocation</td>
</tr>
</tbody>
</table>

2.2. Design Conceptual Organization

**Step 1: Develop Organization Guiding Principles and Structural Implications**

The organization design guiding principles are informed by the policies, regulatory standards, leading practices, and organization values and are usually determined by a cross-section of the organization. It is primarily used as a set of ‘filters’ to ensure that the design is aligned to the strategy of the organization. Guiding principles direct our thinking as we implement the operating model. Decisions should meet the criteria of the guiding principles. Furthermore, it aligns the strategic priorities of the Customs area with the design of the future Leadership, Governance and Organization structures.

Once the key guiding principles have been decided upon and defined and once the outcomes have been listed, it is imperative to link the guiding principles to the design elements. Figure 2 hereafter shows an example of guiding principles and design elements. For further clarification, two examples of possible guiding principles are developed for ease of reference and understanding.
### Table 2 - Example of Guiding Principles

<table>
<thead>
<tr>
<th>Guiding Principles</th>
<th>Standardise Customs Processes</th>
<th>Drive Customs Risk and Compliance Management</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Definition</strong></td>
<td>The extent to which processes are standardised across the Customs organization</td>
<td>The ability to manage risk and ensure internal and external compliance.</td>
</tr>
<tr>
<td><strong>Characteristics</strong></td>
<td>Standardised processes across the Customs organization to leverage knowledge, leading practice and business systems</td>
<td>Defined service management framework monitoring compliance to SLA's and OLA's and enabling Trader segmentation</td>
</tr>
<tr>
<td></td>
<td>Consistent services and activities enabled by clear roles and responsibilities, transparency, data integrity and ongoing measurement</td>
<td>Optimised structures enabling Trader compliance, relationship management and C2C communications.</td>
</tr>
<tr>
<td></td>
<td>Standardised and aligned Key Performance Indicators (KPI) enabling transparent performance measurement</td>
<td>Clearly defined roles and responsibilities</td>
</tr>
<tr>
<td></td>
<td>Formal decision-making framework to standardise decision-making across governance bodies</td>
<td>Performance management system measuring internal compliance</td>
</tr>
<tr>
<td></td>
<td>Strong and uniform Customs organizational identity</td>
<td>Clearly defined process for identifying, assessing, controlling and mitigating risks</td>
</tr>
<tr>
<td></td>
<td>Common terminology throughout Customs</td>
<td>Compliance with internal policies and external regulations</td>
</tr>
<tr>
<td><strong>Outcomes</strong></td>
<td>Standardised practices</td>
<td>Increased internal and external compliance</td>
</tr>
<tr>
<td></td>
<td>Standardised decision-making process</td>
<td>Reduced unsuccessful audits</td>
</tr>
<tr>
<td></td>
<td>Standardised processes and procedure across divisions</td>
<td></td>
</tr>
</tbody>
</table>

### Figure 2 - Example of Guiding Principles linked to the Design Elements

<table>
<thead>
<tr>
<th>Guiding Principles</th>
<th>Risk &amp; Compliance</th>
<th>Performance</th>
<th>Collaboration &amp; Integration</th>
<th>Integrity</th>
<th>Accountability</th>
<th>Flexibility and Responsive</th>
<th>Service Delivery</th>
<th>Standardised Processes</th>
<th>Transparency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Processes</td>
<td></td>
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<td>Roles</td>
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<td>X</td>
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<tr>
<td>Teams and Structures</td>
<td></td>
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<td></td>
<td>X</td>
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<td>RACI</td>
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<td>X</td>
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<tr>
<td>Competencies</td>
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<td></td>
<td></td>
<td>X</td>
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<tr>
<td>Governance</td>
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<td></td>
<td>X</td>
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<tr>
<td>Service Management</td>
<td></td>
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<td>X</td>
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<tr>
<td>Performance Management</td>
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<td></td>
<td>X</td>
</tr>
</tbody>
</table>

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Step 2: Select Generic Organization Structure Model & Customize (Level 1)

Once the guiding principles have been developed and agreed upon, a generic organization structure is designed based upon the operating model most suited to the organization's requirements and operating model. Below is an example of a Customs Operating Model where the core functions are centralised and the "customer-facing" functions are decentralised.

Figure 3 - Example of a Customs Operating Model

Step 3: Define Management (Organizational) Processes Required

As can be seen in the example above, the specific management processes are highlighted during the previous step. In our example above, the management processes are highlighted (see Business Management). In Step 3, each business function is further broken down into specific sub-processes that fully describe each function. This will allow for the proper job designs and teaming structures, which are required for the management processes.

2.3. Design Detailed Organization Structure

Step 1: Design Subsequent Organization Structure Level(s)

Step 2: Develop Management (Organizational) Processes Required

Step 3: Test Organization Structure

The execution of a comprehensive organization redesign is heavily dependent on structured work processes and process flows, which are catered for in Job Profiles and in Applicable Monitoring Mechanisms, such as a Job Evaluation Committee.

In order to ensure consistency and standardization across the organization, these work processes and process flows are generally built from a pre-populated catalogue of skills, competencies, qualifications and knowledge which are grouped into logical categories, Competency Framework or Dictionary of Competencies, which cover the full spectrum of an organization's Value Chain.

It could be possible to define a typology of the different Customs administrations’ organizational design structures and therefore to identify how the different architectures and cultures impact job profiling. The different identities found in the Customs Community with distinct legal powers and specific history, culture and values draw a wide spectrum of distinct models.

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1 See Figure 3 - Example of a Customs Operating Model
This document does not explore further this Customs organizational designs typology but some practices will be collected and gathered in the near future to illustrate some of those models’ influence on the job profiling design components.

3. COMPETENCY MANAGEMENT

Competencies are one of the HRM core elements as they are used for Recruitment (e.g. assessment of specific job-related competencies, to help fitting the job into the organization chart or a job classification system), for Performance Management (e.g. during performance reviews by including them into job descriptions), and for Staff Development (e.g. improvement of core or job-specific competencies). It is therefore essential to describe efficiently the different competencies and identify how they can be measured in practice. Customs competencies can be divided into different broad categories.

Operational competencies are those Customs-specific competencies, such as valuation, enforcement and risk analysis that have a specific application to the world of Customs. Management competencies, including supply chain management, planning, monitoring, change management and people management encompass a mixture of general and Customs-specific competencies.

The EU Customs Competency Framework identifies four categories: professional, operational and managerial, underpinned by a core set of Customs core values, including ethics, integrity, continuous learning, service orientation and a commitment to public service. Professional competencies are those broader competencies, such as teamwork, problem solving and analytical thinking that are not specifically tied to Customs, however are essential in fulfilling the mandate of a modern Customs administration.

The Competency Model of the Swiss Federal Administration applied to Customs gathers management competencies (to lead people and manage professional business), personal competencies (to steer one’s own), social competencies (with other people), professional competencies (with areas of expertise), methodology competencies and language competencies.

Burkina Faso Customs Administration has selected four categories to structure its Competency Framework: professional competencies, support competencies, cross-cutting competencies, and behavioral and management competencies.

These different models reflect the impact of the cultural and strategic components in implementing the competency-based approach but underline the adoption of similar methodology by the various Customs Administrations. The transparent identification of the required competencies across the whole organization enables the elaboration and adoption of a critical corporate document which is the backbone of fair and performance-focused staffing policy.

Competency frameworks are the foundation of the HRM’s various processes. Those standard documents provide any organization with a transparent tool which directly participates to:

- Improved Gap Assessment (Assessment of which competencies and levels of proficiency are required for specific tasks/roles);
- Strategic HR Planning (Strategic planning enabler for leaders, Information for tactical resource decisions);
- Recruitment & Selection (Matching values and competencies of potential new hires to the organizational values and the competencies required for the role);
- Higher-Performing Workforce (Identification of behaviours for high performance);
- Development & Career pathing (Enhanced Individual Development, Enhanced Organizational Development);
- Improved Learning and Training (Improved alignment of training to training needs/gaps, Improved training investment); and
- Succession Planning (Identification of expected critical vacancies, Identification of employees and candidate gaps).

3.1. Customs Competency Framework

The Competency Framework is the tool listing the whole competencies set required for carrying out the organization’s jobs or the whole of competencies held by the organization’s workforce. These competencies are clustered by categories/families of competencies. In a dictionary each competence is described in an explicit manner to avoid any subjective interpretation.

The Dictionary of competencies is key to operationalizing the exhaustive list of competencies used throughout the organization, provides descriptions, and behavioural indicators for each competence. The descriptions must be SMART and simple to enable the practical use of the Framework by the HR professionals, the employees and the managers. It then enables both employees and managers to agree on common criteria, and expected results, to be measured through daily observation and scored during appraisal of performance.

The levels of proficiency are another important component of the Competency Framework and guarantee its adaptability to the various levels of capacity required for the different functions in an organization. They provide an essential indication to identify the importance or frequency of use of a competence.
The EU Competency Framework identifies four levels which apply to all the competencies in the Framework but the 7 core Customs values, “since all Customs professionals are expected to adhere to and to demonstrate these values as much as they can”:

- **Level 1: Awareness** (General understanding, Basic knowledge);
- **Level 2: Trained** (Level 1 + Good working knowledge, Ability to apply, Work independently in standard situations);
- **Level 3: Experienced** (Level 2 + Broad and in-depth knowledge, Ability to deal with and manage exceptions and special cases in an independent manner, Ability to effectively share experience); and
- **Level 4: Expert** (Level 3 + Extensive Expert knowledge, Ability to link expertise to the bigger picture (trade facilitation, supply chain, safety and security, risk, etc.), Ability to provide tailored advice and to underpin it with the relevant and context specific arguments when responding to internal and external queries).

Based on the Union Code of Customs, the EU Competency Framework is therefore applicable to all roles and tasks within Customs in Europe and to all staff levels from trainee officers to higher management.

Both the Framework and the methodology used to prepare the Framework can be useful for any other Customs administrations interested in adopting a competency-based approach throughout its organization and/or establishing its own Competency Framework. The EU has used the following key inputs to prepare its model: the WCO PICARD Professional Standards, the Lominger tools, results from studies on current practices in both EU Customs administrations and Business partners.

The EU Member States are assisted by the EU Commission to adopt a phased approach in implementing nationally the EU Competency Framework: from the strategic review (assessing the local situation), the design of local Competency Framework and local competency management process, its integration in the local IT landscape (and HR supporting tools and systems), to the integration in the HR processes.

Based on the collected practices, the key principles for the successful development and implementation of a Competency Framework’s are: organization-wide implementation as one of the foundations of the HR processes, enhanced transparency and accessibility (available to all employees and with explained and promoted use), and constant maintenance and adaptability to match the dynamic evolution of Customs’ operating models.

This corporate tool is essential to support the definition of transparent, results-oriented and fair staffing policies in Customs. This is the source document to be referred to when designing generic job profile competencies. All new/emerging competencies must first be updated in this corporate document by the process owner and then uploaded onto the relevant system for ease of access.

### 4. JOB PROFILING

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.

The job profiling process entails the structuring of the work and the designation of specific work activities, in order to achieve certain outcomes (divisional objectives). Compiling a job profile determines the tasks which make up the job and the skills, knowledge, competencies and accountabilities required of the holder of the job for successful job performance. Job profiling forms the foundation of job evaluation and is thus not only the responsibility of HR but also involves inputs from line managers and employees. The job evaluation process will determine the complexity and relative worth of a job in relation to other jobs, on the basis of job content and job requirements (Job Profile).

A job profile is a source document that describes the generic job content designed around common skills sets that will enable an individual to perform his/her work. As a written account of the contents of a specific job, it draws the composite of tasks assigned to an employee by the competent manager.

In a Customs environment, this will entail:

- Key Performance Areas (KPAs);
- Competencies;
- Qualifications and experience;
- Other job specific requirements.

#### 4.1. Key Elements of a Generic Job Profile

Some considerations in preparing job profiles include:

- The job profile must be relevant and align with the business processes;
- Generic job titles must be standardised;
- The job purpose statement should define the reason for the existence of the job;

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1 The European Union’s Customs Competency Framework aims at establishing a comprehensive common view of professional competencies required for Customs in the European Union, and applied to the Union’s 28 Customs Administrations. A version for EU private sector’s Customs practitioners has also been developed.
2. Strategic Organization Design and Job Profiling

WCO Framework of Principles and Practices on Customs Professionalism

- Key performance areas must be generic in nature and well defined;

- The line manager should provide input as the owner of the job family (subject matter expert);

- Job content should be differentiated in accordance to output, competence and pay and include all compulsory elements of the job; and

- Competencies should be defined according to type, name, definition, level of proficiency and indicators and included in a competency management framework for the organization.

Continuing with the example of the core processes and relevant core competencies as identified, used to identify job functions, the next step is to identify the knowledge, skills, behavioural competencies and attributes required to perform these job functions. This can be illustrated as follows:

**Table 3 - Linking Core Processes and Competencies**

<table>
<thead>
<tr>
<th>Core Customs Process: Intelligence-Driven Risk Management</th>
<th>Knowledge</th>
<th>Skills</th>
<th>Behavioural Competencies and Attributes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevant Core Competencies</td>
<td>Relevant academic qualification</td>
<td>Ability to communicate effectively with other staff, agencies and public</td>
<td></td>
</tr>
<tr>
<td>Analysis of intelligence systems;</td>
<td>Customs experience</td>
<td>Ability to conduct research and analysis</td>
<td></td>
</tr>
<tr>
<td>Analysis of Customs data as well as 3rd party data,</td>
<td>Relevant national legislation (regulations, rules, policies and procedures)</td>
<td>ICT and use of relevant software</td>
<td></td>
</tr>
<tr>
<td>statistical analysis;</td>
<td>Mandate of the administration</td>
<td>Drive for results</td>
<td></td>
</tr>
<tr>
<td>Ability to receive and interrogate Customs data at the</td>
<td>Systems</td>
<td>Conflict management</td>
<td></td>
</tr>
<tr>
<td>earliest point in the trade and traveller process;</td>
<td>Business practices</td>
<td>Interpersonal skills</td>
<td></td>
</tr>
<tr>
<td>Enablement of risk analysis in the end to end Customs</td>
<td></td>
<td>Decisiveness</td>
<td></td>
</tr>
<tr>
<td>process;</td>
<td></td>
<td>Resilience</td>
<td></td>
</tr>
<tr>
<td>Ability to support targeting system by performing</td>
<td></td>
<td>Integrity</td>
<td></td>
</tr>
<tr>
<td>targeting and controls;</td>
<td></td>
<td>Information seeking</td>
<td></td>
</tr>
<tr>
<td>Ability to provide for compliance measurement and</td>
<td></td>
<td>Attention to detail</td>
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</tr>
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<td>effective risk scoring;</td>
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<td>Ability to incorporate results into the risk management</td>
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<td>Conceptual thinking</td>
<td></td>
</tr>
<tr>
<td>process.</td>
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</tr>
</tbody>
</table>
### Core Customs Process: Customs-Trade Partnership

<table>
<thead>
<tr>
<th>Relevant Core Competencies</th>
<th>Knowledge</th>
<th>Skills</th>
<th>Behavioural Competencies and Attributes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Client Management and selection; Ability to conduct validation audit - assess whether the internal business processes of this operator are suitable to ensure proper application of the requirements of this Customs procedure; Ability to conduct capability audit; used to assess and quality assure the internal business processes of an Authorised Economic Operator (AEO) applicant; Ability to conduct Post Clearance Inspection: all aspects of different declarations over a longer period of time (including verifying internal business processes); Ability to perform audits</td>
<td>Relevant academic qualification Customs experience Relevant national legislation (regulations, rules, policies and procedures) Mandate of the administration Valuation Controls, Post-Clearance Audit and Accounting Statistics Systems</td>
<td>Ability to communicate effectively with other staff, agencies and public Ability to conduct interviews Ability to perform audits Adaptability</td>
<td>Drive for results Conflict management Interpersonal skills Decisiveness Resilience Integrity Information seeking Attention to detail Analytical thinking Conceptual thinking Teamwork Customer service</td>
</tr>
</tbody>
</table>

### Core Customs Process: Coordinated Border Management (CBM)

<table>
<thead>
<tr>
<th>Relevant Core Competencies</th>
<th>Knowledge</th>
<th>Skills</th>
<th>Behavioural Competencies and Attributes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ability to conduct comprehensive assurance of trade, fiscal, safety and security compliance Ability to perform intrusive and non-intrusive inspections Ability to perform inspections Ability to conduct Terminal/ Port based cargo controls Ability for early detection and focused intervention type and resource allocation</td>
<td>Relevant academic qualification Customs experience Relevant national legislation (regulations, rules, policies and procedures) Mandates and Responsibilities of all border agencies Risk Assessment techniques and Risk Management system and procedures</td>
<td>Ability to communicate effectively with other staff, agencies and public Ability to conduct interviews Ability to perform inspections / examinations Adaptability ICT Safety orientation</td>
<td>Drive for results Conflict management Interpersonal skills Decisiveness Resilience Integrity Information seeking Attention to detail Analytical thinking Conceptual thinking Teamwork</td>
</tr>
</tbody>
</table>
4.2 Guiding Principles / Principles of Good Practice in Job Profiling

All managers responsible for staff management, job profiling and work allocation should be aware of, and observe, the following principles:

- The Job Profile should be in alignment with the particular Customs administration’s Operating Model as well as with the roles in the applicable Competency Framework;
- A Job Profile needs to be linked to one role (Level of Work) with an 80% fit on the entity’s Competency Framework;
- Discrepancies and misalignment on both the Job Profile and the Competency Framework should be reviewed and adjusted;
- Clear communication to staff about the duties and requirements of a job has to take place;
- Clear job profiles have to be developed with staff, to ensure that duties and responsibilities are clearly communicated and recorded;
- Clear lines of responsibility have to exist for staff and managers and management structures have to be in place;
- Transparent and fair procedures for the allocation of work and specific duties and responsibilities have to be put in place and communicated widely;
- Job profiling and work allocation is based upon meeting the aims and objectives of the divisions and of the organization; and
- Information provided in the Job Profile has to be an accurate reflection of the actual job in reality and not projected.

A Job profile is attached to the required tasks for a given position, independently from the person handling the position.

4.3 Key Considerations Before Creating a New Job (Situational Analysis)

The need for a new job may result from any or the combination of any of the following triggers:

- Large-scale re-organization;
- Changes to the operating model, business strategy or plan;
- Workforce planning (new or emerging skills).

Alternatives to creating a new job

Before creating a new job, check if the need can be addressed via one of the following approaches to job design which focus on re-designing existing jobs, like:

- **Job enlargement**: changing jobs to include more or different tasks;
- **Job rotation**: moving employees from one task to another and distributing tasks among a number of employees;
- **Job enrichment**: allowing employees to assume more responsibility, accountability and independence when learning new tasks or to allow for greater participation and new opportunities.

Critical questions to consider when creating a new job

Once the need for a new job has been identified, the following diagnostic questions can be used to substantiate the need for a new job:

- Are the objectives, accountabilities and performance measures clear within the proposed new job?
- Is the focus and purpose of the new job aligned with the proposed or existing organization structure e.g. functional and process alignment?
- Are the job inter-dependencies and reporting lines clearly defined?
- Does the job design enable authority and accountability to be positioned at the level of expertise and requirement for decision making?
- Are the interfaces with other roles in the value chain clear?
- Are there any overlaps, gaps or misalignments with other roles across the organization?
- Do the job accountabilities support the goals and objectives of the division and organization?
- Do the accountabilities align correctly with both business processes and organization units?
- Does the new job not already exist elsewhere in the organization (either partially or in its entirety)?
- Will the new job be performed by the organizational unit best equipped for the task?
- Where else could this job be performed?
- How mission-critical is the creation of the new job and can it be financially justified?
- Has the value added of the proposed new job, in terms of bottom line results, customer engagements, risk avoidance, etc, been critically evaluated?
Before embarking upon the Job Profiling process, firstly determine if the proposed new job already exists within the organization, or whether a similar job already exists in the organization Job Catalogue. If it doesn’t already exist, the process presented in Figure 4 could apply.

**Step 1: Needs Identification**

Perform situational analysis to establish the business rationale and verify the absolute need for creating a new job.

**Step 2: Information Gathering**

Utilise existing job related information which would assist with the profile compilation. Any of the following could be helpful:

- Competency Framework information applicable to the division;
- Currently available Job Profiles;
- Process Information/Standard Operating Procedures (SOP) and applicable policies;
- Current Performance Management tools e.g. scorecards; and
- Organizational Design and Management Policy.
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Step 3: Establish Job Requirements

The Human Resources Representative arranges job profile sessions with the Line Manager and/or subject matter experts to establish what is required from the job (e.g., “What is the job to accomplish?”). Understand the purpose of the job, where it fits in the relevant business structure and the role alignment within the Competency Framework.

Step 4: Develop Draft Profile

Develop a draft job profile based on the information gathered. A job profile has two key components:

- Job information – This includes the job purpose and principal accountabilities which indicate what the job is about.
- Personnel requirements – This indicates what kind of knowledge, skills and experience are required from the incumbent.

Discuss input/changes within the Business Area. Update and finalize the draft Job Profile by obtaining sign-off at an Executive level within the Business Area. Any amendments should also be signed.

Step 5: Submit Draft

Submit the job profile information on the approved excel spreadsheet template to Human Resources (HR) for quality assurance and, if applicable, request job evaluation.

Step 6: Quality Assurance

HR will facilitate a work session with managers from other Business Areas where the job may already exist, in order to validate the content of the Job Profile document.

Step 7: Job Evaluation

The Job Evaluation Committee will perform the job evaluation to determine the job grade.

Step 8: Feedback

HR should submit the validated Job Profile document to the relevant Executive for feedback and sign-off.

Step 9: Capture Profile

HR should capture the final signed-off Job Profile.

4.5. Job Catalogue and Job Classification

Whereas the job profiling process needs to be consistently carried out throughout the organization and to apply the competency-based approach within each of the Job Descriptions, these two related components complete the HR tools set to implement the competency-based approach with the HR processes.

The Job Catalogue is the document listing all the existing jobs in an organization. The jobs are gathered by functional areas/domains, Job clusters or families, mapping out the administration’s jobs required to achieve the organizational strategy.

The Job Classification is a system for objectively and accurately defining and evaluating the duties, responsibilities, tasks and authority level of a job. The Job Classification is based on a thorough description of the responsibilities of a position, in total independence of the individual performing the job.

The process of classification involves the assignment of a set of duties and responsibilities to an appropriate job clusters or family and level within this family. The Competency Framework and its level of proficiency applied within each job descriptions, as well as the Job Catalogue mapping out the vertical functional areas, provide essential elements to identify the job position and authority level.

Once the Job Classification is adopted, reclassification of a position takes place when a job is newly created or when there are significant changes in the duties assigned to an existing position.

In Customs administrations like in every large companies or government agencies have a formal and structured approach with pay or salary grades attached to the results of the job classification.

The purpose of a job classification system includes the following:

- To identify the organization’s types of jobs, jobs families or clusters of jobs (within which different levels can be distinguished);
Competency-based job profiling plays a core role assisting to drive learning/training design and requirements throughout the workforce, to establish consistent definitions and expectations towards jobs, to clarify organizational and individual capabilities, and to support the mobility of transferable competencies. The next sections will develop those processes.

• To establish a compensation and salary system proposing processes and matrix grading jobs;

• To provide the integrated framework of all the organization’s job profiles and act as a reference for assessing employee performance (see also the Compendium sub-chapter “Appraisal”);

• To determine development and career planning opportunities;

• 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; and

• To act as a framework for recruitment and selection (see also the guidelines on “Recruitment”).

5. CONCLUSION

Based on the practical experiences of the Customs administrations having undertaken HRM modernization, the success of the competency management implementation encompasses the following key elements:

• The strategic alignment and organizational consistency of the organization’s competencies;

• Dialogue and change management to ensure all stakeholders’ support to the competency-based approach (including the employees, and the unions, if applicable);

• The Competency Framework and related tools’ quality, accessibility and maintenance (as clear, transparent and up-to-date enablers for high performance);

• The operational implementation modalities between line managers and employees (competencies co-assessment and performance appraisal);

• The HR processes’ consistency which all need to apply the competency-based model (classification, compensation, mobility, development, etc.).

The Organization Design and competency management offer Customs administrations a robust methodology to translate the organizational strategy into adapted HR processes and enable the adoption of fair, transparent and result-based staffing policies directly participating to the organizational performance.

The development of key HR tools such as a comprehensive Competency Framework, Job Catalogue and Job Classification system as well as Job Profiles/Job Descriptions are essential.

1 National best practice in the Finnish Customs Service
ANNEXES
ANNEX 1: Job Profile/Job Description Checklist

You will find below a checklist presenting and distinguishing the two levels of data: the elements indicated in italic being those meeting the level of details required for a job description.

A good job profile is essential to qualify a new post when creating a new job, and a job description is virtually indispensable when an employer starts to recruit for a vacant post, either internally or externally. The following checklist may be useful as it provides a template gathering the major categories which should be included in any job profile or job description along with an explanation of what to include in each category.

<table>
<thead>
<tr>
<th>Job Information</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job title</td>
<td></td>
</tr>
<tr>
<td>Reports to</td>
<td></td>
</tr>
<tr>
<td>Job grade</td>
<td></td>
</tr>
<tr>
<td>Location</td>
<td></td>
</tr>
<tr>
<td>Date</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Personal Requirements</th>
<th>Job content</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(The set of requirements (Annex 5) could be used here)</td>
</tr>
<tr>
<td>Job Purpose/Objectives</td>
<td>A brief description of the general nature of the position; an overview of why the job exists; and what the job is to accomplish. Usually no more than four sentences long.</td>
</tr>
<tr>
<td>Key Performance Areas (3 to 5)</td>
<td></td>
</tr>
<tr>
<td>Duties and responsibilities</td>
<td>Prioritize the primary duties and responsibilities (3 to 8) and give examples for each of them using action verbs and clarifying the task (where, when, why or how often)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Personal Requirements</th>
<th>Competencies and Qualifications</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(Minimum level required to successfully perform the job, necessary for someone to consider for the position)</td>
</tr>
<tr>
<td></td>
<td>(Set of requirements)</td>
</tr>
<tr>
<td>Job level</td>
<td></td>
</tr>
<tr>
<td>Level of education</td>
<td></td>
</tr>
<tr>
<td>Competencies (using the Competency Framework): Specialized knowledge, Skills, abilities, personal characteristics/attitudes</td>
<td></td>
</tr>
<tr>
<td>Level of experience</td>
<td></td>
</tr>
<tr>
<td>Professional Certification (if applicable)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Job Information</th>
<th>Direct reports - Work relations</th>
</tr>
</thead>
<tbody>
<tr>
<td>To whom is the employee accountable?</td>
<td></td>
</tr>
<tr>
<td>Does the employee have executive powers?</td>
<td>List by job title any positions to be supervised by the incumbent</td>
</tr>
<tr>
<td>For what department(s)?</td>
<td></td>
</tr>
<tr>
<td>How many persons?</td>
<td></td>
</tr>
<tr>
<td>Is co-operation with other persons required?</td>
<td></td>
</tr>
<tr>
<td>Who are they?</td>
<td></td>
</tr>
</tbody>
</table>
## 2. Strategic Organization Design and Job Profiling

<table>
<thead>
<tr>
<th>Job Information</th>
<th>Work conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Are the conditions physically challenging? A physically demanding job is one where the incumbent is required to stand for extended periods of time, lift heavy objects on a regular basis, do repetitive tasks with few breaks, etc. Are the conditions mentally demanding? Does the job require working in special conditions? Special working conditions cover a range of circumstances from regular evening and weekend work, shift work, working outdoors, working with challenging clients, etc. 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?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Terms of employment</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is the gross salary?</td>
</tr>
<tr>
<td>What are the secondary terms of employment?</td>
</tr>
<tr>
<td>What are the working hours of the employee?</td>
</tr>
<tr>
<td>How many days per week does the employee work?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Direct reports - Work relations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who are they?</td>
</tr>
</tbody>
</table>

**Approved by:** <Signature of the person with the authority to approve the job profile/description>

**Date approved:** <Date upon which the job description was approved>

**Reviewed:** <Date when the job profile/description was last reviewed>

**Signature:**

Ideally, a job description should be reviewed annually and updated as often as necessary.
Example of a Job Profile Template

The following illustrates the layout of an example of profile template used by the South Africa Revenue Service.
ANNEX 2: Set of Requirements

You will find below a checklist presenting and distinguishing the two levels of data: the elements indicated in italic being those meeting the level of details required for a job description.

<table>
<thead>
<tr>
<th>Job Title</th>
<th>Supervisor/Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main tasks</strong></td>
<td><strong>Core competencies</strong></td>
</tr>
<tr>
<td>What do the tasks comprise and what is the work environment? (Working individually, in groups, daytime or evening hours, etc.)</td>
<td>What are the basic requirements? What minimum competencies should the candidate meet?</td>
</tr>
<tr>
<td><strong>Specific competencies</strong></td>
<td><strong>Experience and skills</strong></td>
</tr>
<tr>
<td>What do the tasks comprise and what is the work? What is desired in addition to the basic requirements? What unique combination of competencies does the organization need?</td>
<td>Previous work experience. What experience is the Customs administration looking for?</td>
</tr>
<tr>
<td><strong>Personal characteristics</strong></td>
<td><strong>Other requirements to be met by the candidate</strong></td>
</tr>
<tr>
<td>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.</td>
<td>Driver’s licence, interest in being a lecturer at the Customs Training Centre, no allergies, salary range, work hours, travel, etc.</td>
</tr>
<tr>
<td><strong>Duties and responsibilities</strong></td>
<td></td>
</tr>
<tr>
<td>Identify between three and eight primary duties and responsibilities for the position. List the primary duties and responsibilities in order of importance. Begin each statement with an action verb. Use the present tense of verbs and gender neutral language such as s/he. Also use generic language such a photocopy instead of Xerox, where appropriate. Use qualifiers to clarify the task – where, when, why or how often – for example instead of “greet visitor to the office” use “greet visitors to the office in a professional and friendly manner”, avoid words that are open to interpretation – for example instead of “handle incoming mail” use “sort and distribute incoming mail”.</td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 3: Job Description Case Study: HRM Policy Advisor, Recruitment & Selection
(grade xx)

<table>
<thead>
<tr>
<th>Organization</th>
<th>Customs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>DIRECTOR HRM / HRM ADVISOR FOR DG, Speciality recruitment, selection &amp; job advertising strategy (grade indication XX)</td>
</tr>
<tr>
<td>Position in the Organization</td>
<td>Strategic Management, Customs Management support, HRM Policy Advisor</td>
</tr>
</tbody>
</table>

**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
Competency Management offers Customs administrations a robust methodology to translate the organizational strategy into adapted HR processes.
<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data 1</td>
<td>Data 2</td>
<td>Data 3</td>
</tr>
<tr>
<td>Data 4</td>
<td>Data 5</td>
<td>Data 6</td>
</tr>
<tr>
<td>Data 7</td>
<td>Data 8</td>
<td>Data 9</td>
</tr>
</tbody>
</table>

---

**Table Notes:**
- Column 1: Description of data.
- Column 2: Further details or notes.
- Column 3: Additional information or references.
3 Recruitment Processes

1. INTRODUCTION
2. RECRUITMENT: MAIN STEPS
   2.1. Introduction
   2.2. Recruitment Process - Steps
2.3. A Customs Administration’s Recruitment Policy Reform: Case Study

ANNEXES
1. INTRODUCTION

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 to recruit the required competencies from the labour market. Recruitment can hence be made internally (promotion of internal staff) or externally (acquire staff from the labour market). While there may be some procedural differences between internal and external recruitment, the “recruitment process” itself can be dichotomized in steps that could apply to both types of recruitment.

Recruitment methods by Members can be divided into two types: the first is regular or periodic recruitment from the labour market based on examination by the government or Customs administration and the second is vacancy-based recruitment. Vacancy-based recruitment is also classified into two types: recruitment from internal resources (promotion of internal staff) and from the external market (acquire staff from the labour market). There may be some procedural differences between internal and external recruitment: the basic steps/processes, however, are the same and could apply to both internal and external recruitment methods. This section of the compendium focuses solely on the vacancy-based recruitment process, which are widely applied to both promotion and recruitment.

Organizations occasionally need to recruit in order to add, to maintain, or to readjust their workforces in accordance with HR-requirements. Organizations as open systems demand this dynamic equilibrium for their maintenance, survival, and growth. They want to be as attractive as possible, but on the other hand it wants to make the right choice from the potential employees.

When the need to hire new staff arises, a methodological and structured recruitment process will support Customs administrations in selecting the best suited job applicant. The recruitment, selection and induction checklist (Annex 1) might be very useful and also refers to a number of other Annexes for further information.

One recognized tool to support the recruitment of new personnel is a “staffing plan/policy”. A well designed and researched “staffing plan/policy” indeed supports an organization in identifying its workforce needs and to then undertake the recruitment of the “needed” staff. 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. They will be updated in the future through the collection of supplementary practices from the WCO Members.

2. RECRUITMENT: MAIN STEPS

2.1. Introduction

The section below is meant to give an overview of the main steps to take into account when recruiting (internally or externally) new staff members. It can be used:

- As a general guideline when recruiting people;
- As a starting basis to develop a recruitment procedure; or
- To revise an existing recruitment procedure.

2.2. Recruitment Process - Steps

This recruitment process assumes that the organization has recruitment under own management and control.

When this is not the case, it is important to analyze and discuss internally to what extent the HR division could be more involved in future recruitment activities in which staff is hired for the organization. This is important to ensure that the right people with the right skills, knowledge and experience are hired for the functions to be filled in, and to avoid that unskilled people are appointed or that people are hired for the wrong reasons (e.g. political appointments...).
Step 1: Identify Work Force Needs and Develop a Staffing Plan

The first step to ensure that the recruitment of new staff is relevant to the organization is to carry out a workforce needs & gaps analysis based on the strategic plan and mission objectives of the organization. This analysis should be used as the cornerstone document to develop the organization staffing plan. In turn, the staffing plan and workforce needs and gaps analysis are the key resource documents used by an organization to develop new job descriptions or update existing ones.

Staffing Plan:

The Staffing Plan defines the required human resources needed to deliver the desired objectives. The Staffing Plan must provide the appropriate skill sets to perform the tasks/activities that produce the specified outputs/deliverables.

- Why is this important?

It’s important for an organization to accomplish its objectives as efficiently as possible. This requires a skilful and insightful allocation of resources. Once an organization or department’s scope is defined, the management decisions relating to resource assignments are important factors in ensuring the completion of the stated objectives.

The Customs administrations of Singapore, Jordan and Bulgaria, have developed a thorough methodology to identify their workforce needs, which are showcased in the following boxes.

Singapore Customs administration
6 Steps Workforce Gap Analysis

- Step 1: Review the CA’s strategic direction and plan.
- Step 2: Scanning of internal and external environment.
- Step 3: Projection of future workforce needs requirements.
- Step 4: Development of workforce gap closing strategies.
- Step 5: Implementation of gap closing strategies, including communication with affected stakeholders on the strategies.
- Step 6: Monitoring and Evaluation of the gap closing strategies.

Jordan Customs administration
Factors used to perform the Workforce Gap Analysis

- Factor 1: Human Resources requirements linked to the implementation and achievement of the strategic plan and mission objectives.
- Factor 2: Staff fluctuations elements such as
  - Attrition rate (deaths, retirement, resignation,..);
  - Staff rotation (promotions, secondment..);
  - Maternity and prolonged sick leave...
- Factor 3: Administrative units express their needs and requirements annually and they are taken into account when performing the workforce gap analysis.

The analysis methodology and outputs (workforce gap predictions..) are monitored and evaluated annually to ensure accuracy of future workforce gap analysis.
The Bulgarian Customs administration, in addition to the factors mentioned above and used by the Jordan Customs Administration, also lists changes in legislation and the introduction of new technical facilities and work methods as factors taken into account when performing their own workforce gap analysis. These factors are, indeed, worth mentioning here.

**Step 2: Obtain Authorisation to Recruit**

Once the workforce needs and gap analysis has been performed and the staffing plan has been developed, it is important to ensure that the top-line management approve them. Indeed, their approval will be necessary to obtain the authorisation to recruit. Depending on the organizational chart and interdependencies with other governmental services, an organization may have to seek authorization to recruit from an external body. It is, hence, very important to:

- Develop a “sound” staffing plan together with a communication strategy in place to present it convincingly to the relevant decision-makers; and
- Have the approval and support of the key staff within the organization prior to seeking external authorization to recruit.

This authorization, also, ensures that the necessary resources (human, financial and material) will be made available to conduct the recruitment and to hire the staff needed.

**Step 3: Advertise the Post**

An organization has to decide whether it will recruit internally or externally. This decision will determine the means used to advertise the vacancies.

The effective use of ‘in-house’ talent should, ideally, come first. If an organization undertakes external recruitment efforts without considering the desires, capabilities, and potential of existing employees, it may incur both short and long-term costs. However, there are some possible downsides of internal recruitment that have to be taken into account. The pros and cons are clarified in the following table.

<table>
<thead>
<tr>
<th>The Pros and Cons of Internal Recruitment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pros</strong></td>
</tr>
<tr>
<td>Lower costs</td>
</tr>
<tr>
<td>Quicker procedures</td>
</tr>
<tr>
<td>Better capable of making judgements about future employment in new function</td>
</tr>
<tr>
<td>Quicker socialisation process</td>
</tr>
<tr>
<td>Supports career development</td>
</tr>
<tr>
<td>Motivates, retains staff</td>
</tr>
</tbody>
</table>
3. Recruitment Processes

Effective means to communicate vacancies internally include, for example:

- Posting in in-house magazines or newsletters.
- Posting on the internal network webpage;
- Diffusion of the job vacancies through circulars and emails to the staff.

Please refer to Annex 3 to see an example of a Job application form for internal candidates.

Before an organization decides to recruit externally, there could be an intermediate phase. Indeed, organizations often have ‘recruitment reserves’. These reserves consist of previous applicants that have been refused in earlier processes or those who have submitted open applications at some other time. This group is a relatively inexpensive group to communicate the vacancies to and therefore may be worthwhile considering before ‘going public’.

When the organization does decide to take on external recruitment, a medium must be selected in order to reach the possible employees.

Effective means to communicate vacancies externally include, for example:

- Media campaigns,
- Specific personnel advertisements in professional magazines and on national and regional newspapers;
- Own public Website and professional websites;
- Inform their own network;
- Use external parties like recruitment agencies.

When selecting one of these options, the following question should be kept in mind: What is the organization’s eventual target group? The more scarce the target group, the more specific the recruitment and job posting must be.

When posting a job vacancy, it is important to advertise a clear job description (see section on job descriptions), clear instructions on how to apply for the vacant position as well as clear selection criteria. The following structure of the poster from the Canadian Border Services Agency (CBSA) is a good example of job poster structure. The full CBSA poster is available in Annex 6.

CBSA Officer Trainee – Job Posting Structure

<table>
<thead>
<tr>
<th>Introduction</th>
<th>Short presentation of the CBSA missions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary List of Minimum Requirements:</td>
<td>Listing of minimum requirement in bullet points only</td>
</tr>
<tr>
<td>Vacancy Information:</td>
<td>Name of Recruiting Agency (CBSA)</td>
</tr>
<tr>
<td></td>
<td>Job Posting Location</td>
</tr>
<tr>
<td></td>
<td>Job Classification/Grade (gives the grade and refers to link for more information about the grade)</td>
</tr>
<tr>
<td></td>
<td>Salary Scale</td>
</tr>
<tr>
<td></td>
<td>Deadline for Application</td>
</tr>
<tr>
<td></td>
<td>Reference Number:</td>
</tr>
<tr>
<td></td>
<td>Selection Process Number:</td>
</tr>
<tr>
<td></td>
<td>Employment Tenure: (length of contract)</td>
</tr>
<tr>
<td></td>
<td>Vacancies: Number of Vacancies</td>
</tr>
<tr>
<td>Website reference for more information about the position</td>
<td></td>
</tr>
<tr>
<td>Eligibility Criteria:</td>
<td>Detailed information about minimum eligibility criteria</td>
</tr>
<tr>
<td>Asset Criteria:</td>
<td>Detailed information about “asset criteria”, candidates also fulfilling one, various or all of these criteria will be given preference over the candidates meeting only the eligibility criteria</td>
</tr>
<tr>
<td>Operational Criteria:</td>
<td>Mandatory operational criteria to be met by applicants</td>
</tr>
<tr>
<td>Conditions of Employment:</td>
<td>Conditions to meet and agree to before and during employment</td>
</tr>
</tbody>
</table>
Information about the physical and mental challenge of the position

Selection Process:

<table>
<thead>
<tr>
<th>Information to be provided when applying</th>
</tr>
</thead>
</table>

Important information:
- Information about how to apply
- Information about feedback to applicants
- Information to applicants with disabilities
- Thank you note to applicants
- CBSA commitments to conduct a fair, meritocratic and transparent recruitment process.
- Words of encouragement for women and members of ethnic minorities to apply.

Step 4: Composition of the Selection Panel

Depending on the function to be filled in and the purpose of the selection panel (e.g. first CV screening, interview panel, final selection committee), different selection panels can be composed.

To comply with best practice in equal opportunities, panels should reflect an appropriate mix of gender and ethnicity.

The box below provides an interesting example from the Botswana Unified Revenue Service as it presents the structure of appointment and promotions committees.

Botswana Unified Revenue Service – Structure of Appointment and Promotion Committees

Executive Management Appointments Committee

Executive Management positions – <description number and/or code of the job grade, place in the job classification>
- Board Human Resources Committee member (or his/her representative)  Chair
- Commissioner General                                                                     Member
- Commissioner                                                                         Member
- Director Human Resources (or her representative)                                      Secretary

Senior Management Appointments and Promotions Committee

Senior Management positions – <description number and/or code of the job grade, place in the job classification>
- Commissioner General or his representative                                             Chair
- Head of Relevant Division                                                                Member
- Director Human Resources                                                                 Member
- Manager Human Resources (or his/her Representative)                                    Secretary

Middle Management Appointments and Promotions Committee

Middle Management positions – <description number and/or code of the job grade, place in the job classification>
- Director Human Resources, or her representative                                         Chair
- Director or General Manager (where post is)                                              Member
- Director /General Manager from another department                                      Member
- Recruitment Coordinator (or his representative)                                        Secretary

General Appointments and Promotions Committee

All other positions – <description number and/or code of the job grade, place in the job classification>
- Manager Human Resources or his/her representative                                      Chair
- Manager (where post is)                                                                 Member
- Manager (from another division)                                                        Member
- SHR Officer                                                                         Secretary
3. Recruitment Processes

**Step 5: Select Candidates for Interview & Identify any Tests or Presentations Required**

Just as with all other HRM-practices, the organization has the task to choose between the different techniques. What suits the organization best, when looking at the mission, culture, management styles and so on? It’s of course important to take validity, ethics, costs and time into account.

In order to ensure the best candidates are chosen for the role, and to promote an objective and non-discriminatory process, short listing should ideally be carried out by the interview panel, or at least by one member of the panel and another appropriate person. This ensures that a number of people assess a candidate and that individual opinions or prejudices do not dominate. Those involved in the short listing should meet to discuss their views on applications. If it is possible to gather the panel together, this makes an ideal opportunity to also plan for the interview itself. Stereotyping should be avoided and assumptions must not be made whether or not someone will ‘fit in’ because of their age, gender or disability, for example.

In terms of the optimum number of applicants to shortlist, it is difficult to put a limit as each post is different and may attract a very different number of appropriate candidates. However, it is advisable to restrict the number of interviews that an organization carries out to five or six in any one day. If the organization wishes to shortlist more than this, it is recommended that interviews be carried out over 2 days, and a two-stage selection process may be considered to reduce the number of candidates who reach a panel interview.

It is possible to identify (usually up to two) applicants as reserves in case any of your first choice candidates do not attend. However the organization will need to be able to differentiate as to why they were not first choice candidates by the extent to which they met the criteria. The Customs administration of Samoa has devised an interesting “shortlisting applicants form”, which can be found in the Annex 7 of this chapter.

The Canada Border Service Agency (CBSA), prior to selecting candidates for interviews and while developing the job profile, identifies the criteria (minimum and asset criteria) to be met by their “ideal candidates”. These criteria will be the deciding factors guiding the shortlisting process.

---

CBSA – Selection Criteria – Ideal Candidate Illustration

![Ideal Candidate Image](image-url)
Step 6: The Selection Interview and Additional Assessments

The selection interview is the most widely used of the different predictors. In a selection interview the organization tries to get to know as much as possible about the candidate. The way to set up this kind of interview can range from very structured to unstructured, depending on the style of the interviewer and the organization.

A structured interview has the advantage that comparing the different applicants is easier. The downside is that those kinds of interviews may seem a little artificial, which can cause lack of trust between both parties leading to possible information loss. Furthermore you only get to know about certain aspects of the person, while when using an unstructured interview you get to know more about the person as a whole.

Additional Assessments:

Tests

Generally speaking intelligence of the applicant is a good predictor for success at work. Intelligence is a topic of heated debate between psychologists. Does one underlying general skill one can call ‘general intelligence’ exists? Or is it better to talk in terms of several different types of intelligence? Whatever the case, numerous researches state that general intelligence forecasts later work performance, job-related knowledge, and performance by employees on trainings. This correlation is stronger for some jobs such as managers who have to improvise to solve badly defined problems.

When using an intelligence test, one must make sure that it is validated for the specific country in which you want to use it, since some test might not be appropriate in specific regions. It is also important to see the results of the tests only as an indicator, not as a rock-hard truth. However, in combination with other methods it is a good way of selecting employees from a distance, for example.

Personality Tests

Personality is the relatively enduring pattern of ways in which a person feels, thinks, and behaves. Personality has been shown to influence career choice, job satisfaction, stress, leadership, and some aspects of job performance. It therefore seems justified to consider it in the selection process. Researchers have identified many personality traits, and most psychologists agree that the traits that make up personality can be organised in a hierarchical way. This ‘Big Five’-model places five general personality traits at the top of the trait hierarchy: extraversion, neuroticism, agreeableness, conscientiousness, and openness to experience. This is a universal model. It can be used to describe the personality of people regardless of their race, age, gender, ethnicity, country, or socio-economic background.

Considering overall performance the trait ‘conscientiousness’ is the most important predictor. It indicates the extent to which the person is organised, self-disciplined, and careful. For specific type of jobs certain traits may be good predictors. Besides the performance, certain traits may be distinguished as important when they match a certain desired organizational culture.

Assessment Centre

The assessment centre is a method, not a place. It brings different instruments and techniques together to increase the validity of the selection process. This method is somewhat time and money consuming in development and implementation. Therefore it could be used for the functions that have the highest risk factor when it comes to the eventual performance. These are often managers in middle or high positions. The importance of a good choice within these groups amply compensates the costs of this method.

The contents of an Assessment Centre differs per function and organization, however, there are some characterising similarities. The most striking is that one of the methods is practically oriented. This means that it should incorporate important elements of the eventual task in the organization. The idea is to construct a realistic practical exercise to provoke the same behaviour that the person being tested would display when carrying out his/her possible future position. For every function one could develop such an exercise or exercises. Sometimes actors or assessors can be used as a counterpart in role playing games. Other possible tests are those conducted in a group. For example, everyone in this group would get some information about which they must convince the other group members. What is also often used is the ‘in-basket’ assignment where the testee has to complete a number of tasks under time pressure.

As mentioned before, different techniques are used to increase validity. The behaviour in the test is then assessed by a team. This team should be trained in observation techniques and judgement biases; and clear-cut criteria should be developed in order to judge the performance of the testee correctly.

Biodata/Résumé

A person’s biodata such as age, gender, location or height for instance might be a factor in the selection procedure when the organization, for instance, strives for diversity.

The résumé is one of the most used criteria for selection. Performance in the past is a good predictor for future performance. However, one must take into consideration that sometimes one’s résumé could be sweetened a bit.

References

Reference checks and recommendations rely on the opinions of others to help evaluate what and how well the applicant did in the past. In order to let it be a meaningful contribution, it must satisfy certain preconditions. The person recommending must have had an adequate opportunity to observe the applicant, he/she must be competent in making such an evaluation, and he/she must be willing to be open.
and candid. Some people consider written recommendations to be of little value, since they rarely include unfavourable information.

**CBSA – Assessment Strategy– Overview**

The new CBSA Recruitment Program was launched in February 2012 for entry-level officers. The assessment strategy for the new process incorporates revitalized assessments tools and integrated standards and is comprised of multiple stages to increase the probability of selecting the best candidates. After each stage of the selection process, beginning with the Un-proctored Internet Test (U.I.T), candidates will receive a letter indicating whether they have been screened in or out of the next phase of the assessment process. Candidates who are not successful at any stage of the process will be subject to a waiting period. The length of the waiting period is based on whether the candidate has been screened out based on a standardized Public Service Commission (PSC) test, an unmet competency or has voluntarily withdrawn.

The phases of the selection process are the following for entry-level officers:

**Phase 1: Initial Assessment through the Public Service Resourcing System (PSRS)**
- **Responsibility:** The Officer Recruitment Unit (ORU) is responsible for screening a selection of applications using the PSRS.
- **Timeframe:** One to three weeks (depends on volume)

**Phase 2: Un-proctored Internet Test (U.I.T)**
- **Responsibility:** The ORU is responsible for the administration of the U.I.T., issuing invitations, tracking scores and answering questions.
- **Timeframe:** 3 weeks

**Phase 3: Standardized PSC Tests and Verification of Essential Qualifications**
- **Responsibility:** The ORU will work cooperatively with Regional HR to reserve and manage rooms, and ORU will prepare testing and administrative documents for each testing session. Regional HR will be asked to provide invigilators for the testing sessions.
- **Timeframe:** Four weeks

During phase 3, candidates will be invited to attend a testing session to write two Public Service Commission (PSC) standardized tests:
- The General Competency Test Level 2 (GCT-2) (cognitive ability)
- The Written Communication Proficiency Test (WCPT) (ability to communicate in writing)

**Phase 4: Interviews**
- **Responsibility:** The ORU will reserve the rooms, with the assistance of Regional HR, complete the scheduling and prepare the interview packages to be shipped to the interview areas as necessary.
- **Timeframe:** 9 weeks

Interviews will be conducted using a three member panel. Two members of the panel will have Regional operational experience and the third member will have human resources experience. Ideally the interview panel will include the following representatives:
- One representative with operational experience from the region in which the interview is being conducted,
- One representative with operational experience from an adjacent Region, and
- One representative from the ORU.

**Phase 5: Additional Requirements**
- **Responsibility:** The ORU will coordinate the scheduling of candidates and the administration of test results, with assistance from other related HRB resources.
- **Timeframe:** General timeframes have been included for each additional requirement; however, the timeframes may be affected by factors unique to the candidate. Note that the timeframes for these requirements may overlap or occur concurrently.

Candidates who are successful at the interview stage will then be required to successfully complete the following additional requirements:
- **Category 3 Medical Assessment (CAT3)** – 6 weeks,
- **Security Screening – Secret** – approximately 11 weeks,
- **Minnesota Multiphasic Personality Inventory (MMPI)** – 2 weeks, and
- **Second Language Evaluation** – Written (2 weeks) and Oral (4-6 weeks) – 8 weeks.
- The CAT 3 and security screening will be initiated first in order to accommodate their longer timeframes for completion.

**Phase 6: Selection of Recruits to attend the Officer Induction Training Program (OITP)**

Candidates who complete all of the previous five stages will be placed in a Partially Qualified Pool (PQP) until such time as they may be drawn from the pool and selected to attend the CBSA OITP. The Human Resources Standing Committee (HRSC) will be responsible for authorizing the class sizes. Candidates can be drawn from the PQP based on a range of criteria including:
- Employment equity and language needs
- WCPT and GCT-2 scores

Asset criteria, such as university degrees and previous work experience with law enforcement agencies, will also be taken into account to select the final list of participants to the OITP.
Step 7: Appoint the Successful Candidate

Making a Selection Decision

Once the organization has seen all of the candidates, it will need to assess the extent to which each one meets the selection criteria, based on evidence they gave from the questioning and any tests or exercises. It is very tempting to start comparing the candidates against one another; however, it is best practice (and minimizes the risk of discrimination) to try to stick to looking at how they each meet the specification and selecting the individual who best fits this profile.

Some panels like to construct a scoring system. This could be something fairly simple such as looking at each area of criteria and assigning, ‘Fully met’, ‘Partially met’ or ‘Not met’ to each one. The organization will need to decide on what constitutes evidence for each category before the process is started. It is not essential to follow this sort of system. However, it can be useful in justifying decisions and making them as objective as possible.

The most important thing to remember is that the organization will need to be able to justify its decision, stating brief reasons why they were successful or unsuccessful. Many interview panels have a second choice candidate who is a suitable appointee, if the first candidate declines the offer.

Making an Offer

Once the panel has made their decision, the position should be offered to the successful candidate. When a verbal offer of employment is made, all the relevant information should be covered; the key points are:

- The salary scale and the increment that the candidate is to be appointed to, including a special Allowance depending on the location of the appointment;
- The start date and hours/pattern of work;
- Verification of certain qualifications where appropriate; and
- There is a probationary period of <x> months.

Botswana Unified Revenue Service – Procedures for making and communicating an offer

Once security clearance results for external candidates are received and the results of the reference checks for both internal and external candidates are satisfactory, an offer letter must be prepared and issued within 2 days of receipt of the security clearance. The offer letter must be signed by the appropriate appointing authority for that level as per paragraph 17 of these procedures. The prospective employee should be informed that the offer is subject to a medical certificate of fitness from an approved medical doctor.

Salary to be offered in line with salary procedures on first appointment.

Where salary negotiation is entered, supportive documents such as advice slip from the current employer must be produced.

The offer letter for an external candidate may be sent by postal mail or the candidate may be called by phone to collect the letter to fast track the recruitment process.

For an internal candidate, the offer letter should be sent out through the candidate’s Head of Division and a copy of the letter to the receiving Head of Division (to facilitate release date arrangements), another copy to Administration Unit for accommodation purposes and to the Finance Division for their records.

Those offered employment are required to respond within 7 days to confirm their acceptance or otherwise of the offer. The offer should automatically lapse if no response is received within 7 days of issue of the letter of offer.

The letter of offer should specify the position, title, the salary and benefits attached thereof.

Step 8: Notify Unsuccessful Candidates

Unsuccessful candidates are normally informed in writing of the outcome of their interview as soon as the successful candidate has accepted an offer of employment. However, if the panel had decided that a candidate is not appointable to a post (regardless of whether the first or second choice accepts) then they will be written to as soon as possible.

Once an acceptance is received from the first choice candidate, a final rejection letter is sent to any second choice candidates as required. If the first choice candidate does not accept then the HRM or the Chair of the selection panel is informed and a decision is made about offering the job to another candidate or re-advertising1.

As the selection process unfolds, the applications of some candidates will not be retained. Some candidates may ask for further information about the reasons of their non-selection and some may be tempted to even challenge the decisions made by the selection committee. The case of Ecuador is very interesting as it gives an opportunity to unsuccessful candidates to challenge the results of the initial evaluation. By giving this opportunity to unsuccessful applicants, the Customs administration of Ecuador hence demonstrates its willingness to explain its initial evaluation results but also to remediate to any eventual breaches during the evaluation procedures.

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1 See Annex 9: Example of notification letter to unsuccessful candidates.
### Recruitment Processes

**TERMS OF COMPETITION** = 10 days (on the portal)

**ANNOUNCEMENT** = 7 days (on the portal)

**VERIFICATION OF APPLICATIONS**

- **EVALUATIONS** = 70/100
  - **TESTING KNOWLEDGE AND SKILLS** = 30/45 minutes
  - **PSYCHOMETRIC TESTS** = 20 points
  - **INTERVIEWS** = 20 points

**FINAL SCORE + AFFIRMATIVE ACTION**

**PUBLICATION OF ASSESSMENT PROCEDURE RATING + AFFIRMATIVE ACTION**

### Application and Release of Documents

- **WINNER OF MERITS AND OPPOSITION COMPETITION**
- **PROVISIONAL EXPEDITION OF TRIAL NOMINATION**
- **INDUCTION**

### Appeals and Resolutions

- **APPEALS** = 2 days
- **RESOLUTIONS** = 2 days

### Challenges and Resolutions

- **APPEALS** = 2 days
- **RESOLUTIONS** = 2 days

- **CHALLENGES** = 2 days
- **RESOLUTIONS** = 2 days

### Ecuador Customs Administration - Contest of Merit and Opposition Procedure

<table>
<thead>
<tr>
<th>TERMS OF COMPETITION</th>
<th>10 days (on the portal)</th>
</tr>
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<tbody>
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- **APPEALS** = 2 days
- **RESOLUTIONS** = 2 days

### Challenges and Resolutions

- **APPEALS** = 2 days
- **RESOLUTIONS** = 2 days

### Development of New Recruitment Procedures

- Development of a Competency Framework and Dictionary of Competencies, based on the international Customs best practices and adapted to the GRA strategy and operating models;
- Development of a Job Catalogue, gathering all the GRA jobs by functional domains;
- Development of Job Descriptions, developed implementing the competency-based and the results-based management approach;
- Development of a draft Staffing Plan, based on an Environmental Scan and Competency Gap Analysis;
- Development of a HR Strategy formulated based on the GRA strategic objectives;
- Development of Train of Trainers packages on Job Description Formulation, CV sifting and STARR interviews through a multi-tier process aiming at capacitating the GRA’s recruitment committee in the practical implementation of the competency-based recruitment techniques; and
- Development of new recruitment procedures and streamline of existing recruitment procedures.

---

2.3. A Customs Administration’s Recruitment Policy Reform: Case Study of Gambia Revenue Authority

Under the WCO West African Customs administrations Modernization Project, funded by Sweden, the Gambia Revenue Authority (GRA) has been able to successfully undertake reform and modernization efforts in the field of Human Resource Management (HRM) since July 2013. This support provided by the project has enabled the GRA to reach two results: to build GRA HRM Unit’s capacities to act as a strategic partner within GRA, and to improve the quality of its recruitment services.

From mid-July 2013 to October 2014, the project has enabled the GRA to lay the foundations for the adoption and implementation of a competency-based HRM approach adapted to its local reality and based on best HR practices (EU Competency-based frameworks, Results-Based Management principles...).

In order to achieve the two results mentioned above, the project supported the GRA with the following:

- Establishment of a HRM Modernization Committee gathering strategic stakeholders;
- Development of a Competency Framework and Dictionary of Competencies, based on the international Customs best practices and adapted to the GRA strategy and operating models;
- Development of a Job Catalogue, gathering all the GRA jobs by functional domains;
- Development of Job Descriptions, developed implementing the competency-based and the results-based management approach;
- Development of a draft Staffing Plan, based on an Environmental Scan and Competency Gap Analysis;
- Development of a HR Strategy formulated based on the GRA strategic objectives;
- Development of Train of Trainers packages on Job Description Formulation, CV sifting and STARR interviews through a multi-tier process aiming at capacitating the GRA’s recruitment committee in the practical implementation of the competency-based recruitment techniques; and
- Development of new recruitment procedures and streamline of existing recruitment procedures.
Project's Key Elements

Five critical success factors have been identified. The GRA Top Management has provided continuous support for HRM modernization (provision of the necessary financial, HR resources and time allocation to carry out such a modernization). The GRA Directors and Heads of Units have acted as cooperative partners with HRM Unit. The GRA HRM Unit has demonstrated a continuous commitment to achieve the stated level of change. The high-level of expertise has been put available to sustain the GRA capacities in implementing change as well as owning the HRM developed techniques and tools. The project built the capacities of the GRA HRM Modernization Committee to develop and update all HRM tools, hence ensuring the ownership and sustainability of HRM modernization at GRA.

In addition to identifying and setting up efficient recruitment processes and tools, one of the key elements of the HRM Modernization project aimed at equipping the HRM Unit and key GRA’s capacity builders with the adequate skills and techniques set.

As identified above, the GRA project included workshops and train-the-trainers activities to ensure that steps 5 and 6 of the recruitment process could be performed optimally.

The sustainable empowerment of the GRA’s staff involved in recruitment is critical to secure the selection of the best potential performers in the vacant job, applying the competency-based approach and maximizing the available resources. The CV Sifting and STARR selection methods have been introduced for the GRA’s recruitment panels to systematically follow.

As a Step 5 key technique, the CV sifting is a selection method which filtering process enables to set an accurate shortlist of candidates to be invited to the next selection rounds. Offering a fair and efficient solution to the Customs administrations’ financial and human resources limitation, this method identifies four key selection stages to shortlist candidates:

- Establishing a CV sifting panel to ensure the process objectivity;
- Identifying the target number of CVs to be selected (and therefore if the next round is interviews, the number of interviews to be conducted based on the available resources);
- Analysing the job description to identify the few essential criteria (the competencies, qualifications and/or experience absolutely necessary to highly perform in the job) and the desirable criteria;
- Excluding all the CVs not matching the essential criteria;
- Second filtering based on the desirable criteria (if needed);
- Ranking the candidates.

This method is developed against the objective analysis of the competency-based job descriptions.

In order to strengthen the capacities of performing efficient and competency-based interviews within the Step 6, train-the-trainers workshops have been delivered to the GRA. They focused on the techniques to reach the goal of the selection interviews: to gather information on the past behaviors of the applicant in order to predict the future behavior and suitability for the vacant job.

By developing competency-based scenarios, it is possible to efficiently overcome the difficulty and limitations of interviews. In order to gather as much evidence on the past behaviors which would illustrate the extent to which the applicant has the right competencies for the job, the recruitment panels apply competency-based questioning approach. Based on the behavioral indicators of the essential competencies (as presented in the Competency Framework’s Dictionary of Competencies) behavioral questions are asked.

The STARR (Situation, Tasks, Actions, Results, Reflection) technique is applied to steer interviews and collect evidence that the candidate already put in practice the desired competencies. The STARR method offers interview guidelines where sequenced questions enable to collect elements on the Situation during which the competence was used, the Task which was expected to carry out, the Action of the candidate, the Result obtained and the Reflexion and lessons learnt from the whole experience.
ANNEXES
### 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.
- What are the costs of recruitment?
- Use the tool Estimate of recruitment costs.
- 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 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 may be used.
- Will the job be advertised internally first?
- In what way(s) will the employer recruit externally? See also Job Advertisement form.
- How will the selection procedure be conducted?
- How many candidates will be invited? See also Selection form application letters and Scoring form application letters.
- How many rounds of interviews will be held? See also Job interview checklist.
- Does the procedure involve tests (psychological tests, assessments)?
- Is a medical examination required?
- Are character references followed up? See also Reference Checking Documentation Form.
- Will candidates be kept on a list for any future job openings?
- How is the job induction arranged? See also Induction checklist.

Besides all the forms (Annexes in the WCO CB Development Compendium) mentioned above, an Interview form, an Interview/individual assessment form and the form Questions about the candidate could be used in the actual recruitment process.
ANNEX 2: Recruitment Process Case Studies (1)

**United Kingdom – HMRC – Recruitment Process**

The number of employees across all government departments is being substantially reduced because of government austerity measures. HMRC fills vacancies in a strict priority order to avoid redundancies amongst its own and other departments’ workforce. Vacancies are offered in the following order:

- Surplus HMRC employees (those displaced from a permanent job following reorganization);
- Other HMRC employees on level transfer;
- Surplus employees of other government departments (those displaced from a permanent job following reorganization);
- Any government department employee on level transfer or on promotion; and
- External recruitment.

The process for recruitment is the same regardless of whether it is internal or external recruitment and at which stage of the priority order the vacancy is being filled.

- Each business area of HMRC prepares an annual resource plan setting out the number of people doing which type of job it needs to meet its annual business objectives, i.e. workforce planning.
- Any shortfalls in employees against the workforce plan are declared as vacancies for which HMRC will recruit in the priority order described above. Any employee without a permanent job is surplus and will be given priority for the vacancies.
- For the majority of existing jobs HMRC has a standard job description it uses when advertising vacancies, but job descriptions are prepared for new or one-off specialist jobs.
- The vacancy owning manager decides which skills and competencies are required to do the job and decides the criteria for selection of the successful applicant.
- The vacancy owning manager arranges for HMRC’s recruitment agent, CS R, to advertise the job to attract a suitable pool of applicants. The advertisement includes a job description, the skills and competencies required, and the criteria and process for selection.
- Applicants complete an on-line application, including giving information about their employment history and examples of how they meet the skills and competencies required.
- The vacancy owning manager arranges for selection panels of experienced HMRC employees to grade the on-line applications and to interview the best of these applicants. There may be other tests where specialist skills or knowledge are required.
- The best available person who is competent to do the job is selected from the pool of applicants available at that particular stage of the vacancy filling priority order and appointed to the job. Jobs are filled in merit order if there are multiple vacancies in the same job.
ANNEXES

ANNEX 2: Recruitment Process Case Studies (2)

CANADA BORDER SERVICES AGENCY OFFICER RECRUITMENT PROGRAM

The CBSA Officer Induction Training Program marks a new era for the Agency in modernizing how employees embark on their CBSA journey and how they are supported throughout their professional development. It represents a cultural shift, whereby officers will now fulfill their role in the context of the new vision for the border, including increased analytical and strategic capability.

With the new recruitment process, the CBSA has a targeted candidate population from beginning to end of a competency-based assessment that can be linked to work expectations and performance.

Program Innovation Highlights:

National Recruitment:
Nationally business and needs driven

Evergreen candidate inventory with just-in-time national pool management

Designed to provide greater flexibility to the CBSA:
• Provides a platform to respond to OL needs,
• Provides opportunities to increase EE representation, and
• Deploys armed officers to areas of greatest needs in Canada.

Revamped Statement of Merit, including new competencies, and higher level of capability required upfront

Innovative testing and assessment strategy, with national and consistent standards that allow for faster and more effective processing time while providing high quality candidates.
3. Recruitment Processes

**CBSA Officer Recruitment Program:**

Establishment of a pre-qualified pool

The recruitment program strengthens standards up front to allow for increased success at training and to attract quality candidates that possess the right mix of experience, skills and abilities to form the basis of the future CBSA workforce.

<table>
<thead>
<tr>
<th>Completed</th>
<th>In Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td>• New Recruitment Program and selection process launched on February 12, 2012.</td>
<td>• 498 candidates moved forward to the interviews stage – 79 interviews remain to be completed by mid-October</td>
</tr>
<tr>
<td>• New integrated and national assessment strategy for the selection process:</td>
<td>• Pre-requisites: MMPI, CATIII, SLEs and security clearance process (HIPSS) being conducted</td>
</tr>
<tr>
<td>• Innovative testing methodologies with higher standards up front prior to the training phase</td>
<td>• Group and Level of CBSA officer trainees (classification pending to ratification of collective bargaining)</td>
</tr>
<tr>
<td>• National and consistent standards (i.e. common training for assessors to ensure consistent rating application)</td>
<td>Challenges:</td>
</tr>
<tr>
<td>• Developed in partnership with the Public Service Commission (PSC)</td>
<td>• The implementation of the HIPSS mid-point in the recruitment process created delays in obtaining complete documentation in a timely manner from candidates</td>
</tr>
<tr>
<td>• Regionally championed</td>
<td>• Number of bilingual candidates in the pool is limited</td>
</tr>
<tr>
<td>• Transformative Duty Assignment Framework</td>
<td>• Insufficient funding to secure on-going recruitment process</td>
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</tbody>
</table>

**Results**

- Total inventory of 18,000+ applications as of September 14, 2012
- 3191 applications were pulled from the inventory on March 13, 2012
- 2240 applicants moved forward to testing
- 458 moved forward to interviews - started on June 18 with majority completed by early August. Approximately 55% success rate on interviews
- QIPT 1 (pilot) will focus on bilingual recruitment to fill the CBSA OL gaps
- Successful partnership with the PSC – assessment and evaluation of standardized tests, provision of statistical and trend analysis (competencies, testing and performance work behaviours), priority administration, system improvement collaboration (PESB inventories)
ANNEX 3: 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 |  
| Address |  
| Postal code |  
| City |  
| Phone number | at home:  
| Employment | Full Time | Half time,  
| Details | No | Yes |

If yes, state details:

at work:  

### 2. Training outside the Customs administration

What courses have you taken outside the Customs administration?

<table>
<thead>
<tr>
<th>Course</th>
<th>Certificate obtained in</th>
<th>Number of years</th>
<th>Subjects</th>
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</thead>
<tbody>
<tr>
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<td>4.</td>
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<tr>
<td>5.</td>
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</tbody>
</table>

### 3. Training within the Customs administration

What courses have you taken within the Customs administration?

<table>
<thead>
<tr>
<th>Course</th>
<th>Period</th>
<th>Completed in years</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>2.</td>
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<td>5.</td>
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</table>

### 4. Internal/external training/seminars, etc.

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

<table>
<thead>
<tr>
<th>Course</th>
<th>Completed in years</th>
</tr>
</thead>
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<td>1.</td>
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<td>2.</td>
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<td>3.</td>
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<td>4.</td>
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<td>5.</td>
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</tbody>
</table>

5. **Work experience outside the Customs administration**
What relevant jobs have you had outside the Customs administration?

<table>
<thead>
<tr>
<th>Job (Description)</th>
<th>Organization</th>
<th>Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>3.</td>
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<td>5.</td>
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</tbody>
</table>

6. **Jobs within the Customs administration**
What relevant jobs have you had outside the Customs administration?

<table>
<thead>
<tr>
<th>Job (Description) and unit</th>
<th>Grade</th>
<th>Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
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<tr>
<td>2.</td>
<td></td>
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<td>3.</td>
<td></td>
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<tr>
<td>4.</td>
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<td></td>
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<tr>
<td>5.</td>
<td></td>
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</tbody>
</table>

7. **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.

<table>
<thead>
<tr>
<th>Additional position (description)</th>
<th>Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
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<td>3.</td>
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<td>4.</td>
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<tr>
<td>5.</td>
<td></td>
</tr>
</tbody>
</table>

8. **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?

<table>
<thead>
<tr>
<th>Work/project group (description)</th>
<th>Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<tr>
<td>2.</td>
<td></td>
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<tr>
<td>3.</td>
<td></td>
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<td>4.</td>
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<td>5.</td>
<td></td>
</tr>
</tbody>
</table>

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

10. **Motivation for applying for the position**
What are the most important reasons for your application?

Date of application:  _ _ _  
Signature:  

Date of receipt (leave blank):  _ _ _  
### Quick Reference Guide to Recruitment & Selection

**Position:**

<table>
<thead>
<tr>
<th>Task / Checklist</th>
<th>HR Form / Policy or Procedure Link</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confirm the need to fill vacancy? Prepare / revise the position description,</td>
<td>Recruitment preparation procedures</td>
<td>Recruiting manager</td>
</tr>
<tr>
<td>include person specification</td>
<td></td>
<td>Consult with your HR Advisor</td>
</tr>
<tr>
<td>Choose methods of advertising the vacancy. Internal/External, Create an advert,</td>
<td></td>
<td>Recruiting manager / Recruitment</td>
</tr>
<tr>
<td>Online screening questions required, Timeline</td>
<td></td>
<td>Consult with HR or Recruitment</td>
</tr>
<tr>
<td>Note: Recruitment Agencies are only to be used for hard to fill/specialist roles.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete request to fill vacancy form and obtain appropriate senior management &amp;</td>
<td>Request to Fill Vacancy form</td>
<td>Recruiting manager consult with HR</td>
</tr>
<tr>
<td>HR sign off, send to recruitment to advertise vacancy.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Confirm selection panel composition &amp; panel chair</td>
<td>Selection panel procedures</td>
<td>Recruiting manager</td>
</tr>
<tr>
<td>Decide on shortlisting criteria &amp; selection process.</td>
<td>Selection methods procedures</td>
<td>Selection panel</td>
</tr>
<tr>
<td>Note: A combination of interview &amp; assessment methods should be used e.g.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>psychometric testing, presentation, online screening questions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prepare interview questions</td>
<td>Interview Questions template</td>
<td>Selection panel consult with HR/Recruitment</td>
</tr>
<tr>
<td>Receive applications and send to selection panel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Shortlist applicants against competencies &amp; selection criteria</td>
<td>Shortlisting Matrix</td>
<td>Selection panel</td>
</tr>
<tr>
<td>Compile list of shortlisted / not shortlisted candidates.</td>
<td>Shortlisting Matrix</td>
<td>Panel chair</td>
</tr>
<tr>
<td>Contact shortlisted candidates to arrange times for interviews, psychometric</td>
<td></td>
<td></td>
</tr>
<tr>
<td>tests? (Confirmation via Snaphire with referee &amp; security clearance forms)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email those not shortlisted via Snaphire. (Internal staff should be provided with</td>
<td></td>
<td></td>
</tr>
<tr>
<td>feedback by panel member)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 3. Recruitment Processes

<table>
<thead>
<tr>
<th>Task</th>
<th>Template</th>
<th>Approver</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conduct interviews</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Collect security clearance and authority to contact referee forms,</td>
<td>Interview Questions template Authority to Contact Referees form</td>
<td>Selection panel</td>
</tr>
<tr>
<td>witnessed copy of passport or birth certificate for ID, and copy of</td>
<td>Security Clearance form</td>
<td></td>
</tr>
<tr>
<td>driver licence if required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete interview assessment for each candidate and agree if there</td>
<td>Interview Summary Assessment form</td>
<td>Selection panel</td>
</tr>
<tr>
<td>is a preferred candidate/s</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Conduct reference checks (x2) for preferred candidate/s</td>
<td>Telephone Reference Check template</td>
<td>Selection panel/Recruitment</td>
</tr>
<tr>
<td>Confirm with security advisor that organizational security clearance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>has been granted.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete recommendation for appointment report providing evidence</td>
<td>Recommendation for Appointment template</td>
<td>Selection panel chair</td>
</tr>
<tr>
<td>to support the decision</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recommendation approved / declined agree/approve terms and conditions</td>
<td>Recommendation for Appointment template</td>
<td>Appointing authority</td>
</tr>
<tr>
<td>including pay step. (If outside recruitment range deputy comptroller</td>
<td></td>
<td>Consult with HR</td>
</tr>
<tr>
<td>approval required- refer to policy)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Make verbal offer of employment</td>
<td></td>
<td>Panel chair</td>
</tr>
<tr>
<td>Draft offer of employment letter and send out offer pack including</td>
<td>Offer of Employment letter template</td>
<td>HR/Recruitment</td>
</tr>
<tr>
<td>payroll &amp; drug/medical test forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Receive written acceptance of offer &amp; forward to payroll with staff</td>
<td>Staff Movement form</td>
<td>Recruitment</td>
</tr>
<tr>
<td>movement form signed by manager</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advise unsuccessful interviewed candidates verbally (Recruitment</td>
<td></td>
<td>Panel chair</td>
</tr>
<tr>
<td>follow up with email)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Note: Send all vacancy / appointment documentation to recruitment for filing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Promulgate candidate for 7 days, if an appeal, HR to investigate.</td>
<td>Longroom</td>
<td>Recruitment/HR</td>
</tr>
<tr>
<td>Prepare induction information for new employee</td>
<td>Induction pack &amp; checklist</td>
<td>Recruitment &amp; reporting manager</td>
</tr>
</tbody>
</table>

Note: Send all vacancy / appointment documentation to recruitment for filing
ANNEX 5: Step 1 Example - Singapore: Workforce Analysis Steps - Detailed Process

Overview

Singapore

SC assesses the needs of its workforce through the following processes:

(a) Define SC’s strategic direction - SC launched its Customs 2015 with its 5 strategic thrusts namely,
   (i) Fostering international Customs partnerships to enhance the trade facilitation
   (ii) Enhancing the security and resilience of Singapore’s supply chain
   (iii) Developing trade competitiveness through pro-enterprise and integrated trade system
   (iv) Protecting our economy and society through enhanced enforcement
   (v) Growing Singapore Customs through human capital development.

To achieve the 5 strategic thrusts under Customs 2015, SC’s Human Resource Directorate (HRD) needs to identify the core skills and competencies needed.

(b) Scan internal and external environments – HRD will analyse the external and internal environments that impact our 5 key strategic thrusts. The external analysis will cover the local labour market forecast, emerging trends in workforce supply or demand, the technology trends or best practices that can help SC’s staff to be more efficient. In scanning the internal environment, HRD also focuses on factors such as the efficiency of our processes, the demographics of our workforce, our organizational culture and the level of our staff engagement etc.

(c) Assess current manpower to project future manpower requirements – In projecting its future manpower needs, HRD will review SC’s current manpower needs by considering demographic factors, such as age, length of service, gender of current workforce. The attrition rate and exit interview reports will also be assessed to gather information on why staffs are leaving, and what types of job/industry they are taking on as well as their feedback on areas that SC can improve on. For branches taking on additional or new functions, its future manpower requirements will also be considered. HRD will also work with the branches to identify the skills and competencies required for the new functions and assess if the manpower required can be met internally by transferring more experienced officers to start-up the new function.

(d) Identify gaps and develop gap-closing strategies – From comparing SC’s current workforce and future manpower needs, HRD is able to identify the gaps such as areas where additional manpower are needed, the tenure of staff to employ (permanent, contract etc), the skill set required, and so on. This will enable HRD to develop strategies to close the gaps.

(e) Implement strategies to close the gaps – In implementing the strategies, it is important for HRD to engage its key stakeholders to explain the need for change initiatives. Communications on the need for change enable staff to understand the purpose, scope of change, and the timeframe of the initiative etc. This information will help staff to be more aware of the intent of the strategy, and overcome potential staff resistance in implementing the strategy.

(f) Evaluate the effectiveness of the strategies – HRD will monitor and evaluate the gap closing strategies to ensure that they achieved the desirable outcome as intended. By monitoring the strategy, HRD is able to evaluate the validity and effectiveness.
**ANNEX 6: Step 4 Example - Canada Border Services Agency - Job Poster - CBSA Trainee Officer**

If you're looking for an exciting and challenging job opportunity, border services are for you! Becoming a CBSA Officer means being part of a team that protects the safety and security of Canada and Canadians, while ensuring the free flow of admissible people and goods across the border.

CBSA Officers are one of the first points of contact when travellers and goods arrive in Canada. They are Canada’s first line of defence in preventing inadmissible people, contraband and other illegal substances from coming into the country. CBSA officers also contribute to the fight against international terrorism and illegal immigration.

Due to the nature of the CBSA Officer work, it is strongly suggested that you complete our on-line self-assessment questionnaire at [www.cbsa-asfc.gc.ca/job-emploi/bso-asf/sa-ae-eng.html](http://www.cbsa-asfc.gc.ca/job-emploi/bso-asf/sa-ae-eng.html) prior to completing this application to determine if this job is for you.

In order to become a CBSA Officer Trainee, there are certain basic requirements that you must possess before you apply. You are responsible for meeting these requirements. If you choose to apply, you will be required to submit confirmation of these requirements at the time of application by completing the on-line screening questionnaire. Only candidates who meet these requirements will be further considered. Note that proof of original documents will be requested at testing.

1. You must have successfully completed a secondary school diploma.
2. You must have successfully completed the Canadian Firearms Safety Course and the Canadian Restricted Firearms Safety Course.
3. You must possess and maintain a valid Standard First Aid Certification (according to the Canada Labour Code, Part II and the Canada Occupational Health and Safety Regulations, Part XVI).
4. You must possess and maintain a valid driver’s license.
5. You must accept a posting anywhere in Canada.

To learn more about becoming a CBSA Officer, please visit our website at [www.cbsa-asfc.gc.ca/job-emploi/bso-asf/menu-eng.html](http://www.cbsa-asfc.gc.ca/job-emploi/bso-asf/menu-eng.html)

**CBSA Officer Trainee - Developmental Program**

**Department Name:** Canada Border Services Agency

**Locations:** Various locations across Canada.

Please visit the following website for a Directory of CBSA Offices: [www.cbsa-asfc.gc.ca/contact/listing/indexpages/index-e.html](http://www.cbsa-asfc.gc.ca/contact/listing/indexpages/index-e.html)

**Classification:** FB - 02 for more information

**Salary:** $55,133 to $61,570 (under review)

**Closing Date:** N/A

**Reference Number:** BSF12J-009219-000003

**Selection Process Number:** 12-BSF-EA-NBSO-FB-3333

**Employment Tenure:** Indeterminate full-time.

**Vacancies:** Number to be determined

**Website:** For further information on the department, please visit Canada Border Services Agency

**Who can apply**

**Useful Information:**

Persons residing in Canada and Canadian citizens residing abroad.

Persons 18 years of age or older.

**Citizenship**

**Useful Information:**

Preference will be given to Canadian citizens. Please indicate in your application the reason you are entitled to work in Canada: Canadian citizenship, permanent resident status or work permit.
**Language proficiency**

**Useful Information**

Applicants must indicate in their application their working ability for the following language requirement:

Various language requirements and/or profiles

The positions to be staffed require the following language requirements: Bilingual Imperative (BBB/BBB) and English Essential.

Bilingual Imperative (BBB/BBB) means that you must be fluently bilingual in English AND French (reading, writing and speaking) at the BBB/BBB level.

Second Language Writing Skills Self-Assessment

An optional self-assessment test is available to assess your writing skills in your second official language for this staffing process. If you are uncertain of your second language writing skills, you may wish to try this optional self-assessment test first before completing your application for a bilingual imperative position. The link to access the optional second language self-assessment test can be found in the Requirements list of your on-line application for this process. The test is designed to be completed within 15 to 30 minutes. Once you have completed the optional test, you will be given general feedback on your performance on the second language writing skills test. If you obtain a moderate or high score on the second language writing skills self-assessment test, then you may be able to obtain a sufficiently high mark on the statutory Second Language Evaluation - Test of Written Expression.

**Education**

**Useful Information**

Secondary school diploma.

Candidates with foreign credentials must provide proof of Canadian equivalency. Consult the Canadian Information Centre for International Credentials for further information at www.cicic.ca/2/home.canada

Other Merit Criteria and Conditions of Employment

Organizational needs are current and future criteria that enable organizations to fulfill their mandates and address the needs of their organizations both now and in the future. Candidates who possess an organizational need may be assessed prior to and/or considered for employment prior to candidates who do not possess an organizational need. Applicants should indicate in their application if they meet the following organizational needs:

Organizational Needs which may apply for this position.

Selection may be limited to members of the following Employment Equity groups: Aboriginal persons, visible minorities, persons with disabilities, women

Asset Qualifications:

Criteria may be applied at any stage of the selection process.

- Graduation with a degree from a recognized university.
- Graduation from a recognized post-secondary institution with a specialization Diploma or Certificate in one of the following: Law, Law Enforcement, Policing, Criminology or Law and Security or specialization in a field relevant to the position.
- Experience within a law enforcement environment relevant to the position. Breadth and depth of this experience will be taken into consideration.
- Experience providing client service in a challenging environment. You must clearly describe the challenges of the environment as well as how or what client services you provided.
3. Recruitment Processes

Operational requirements
Operational Requirements WILL be applied at the initial screening stage.

You must possess the following at time of application:

- Have successfully completed the Canadian Firearms Safety Course and the Canadian Restricted Firearms Safety Course. Please visit the following website for further information: www.rcmp-grc.gc.ca/cfp-pcaf/safe_sur/index-eng.htm
- Possess and maintain a valid Standard First Aid Certification (according to the Canada Labour Code, Part II, Canada Occupational Health & Safety Regulations, Part XVI). Please visit the following website for further information: www.hrsdc.gc.ca/eng/labour/health_safety/prevention/first_aid.shtml
- Possess and maintain a valid driver’s license.
- You must accept assigned posting anywhere in Canada.
- Failure to commit to accepting assigned posting anywhere in Canada will result in your candidacy being given no further consideration in this selection process.
- Candidates should also be aware that should they decline an assigned posting they may be required to reimburse CBSA for their entire costs associated with the CBSA Officer Induction Training Program.
- You MUST confirm you meet the requirements above at time of application by completing the on-line screening questionnaire. Only candidates who meet these requirements will be further considered. You are expected to acquire the required documents on your own time and at your own expense. Proof of documents will be required at testing.

Conditions of employment
The following conditions of employment are requirements you must meet prior to being appointed to a CBSA Officer Trainee position and must be maintained throughout your employment as such:

- Have successfully completed the Canadian Firearms Safety Course and the Canadian Restricted Firearms Safety Course.
- Possess and maintain a valid Standard First Aid Certification (according to the Canada Labour Code, Part II, Canada Occupational Health & Safety Regulations, Part XVI).
- Possess and maintain a valid driver’s license.

You must meet these requirements before attending the CBSA Officer Induction Training Program. The CBSA will provide candidates with additional information regarding the following conditions of employment:

- Obtain and maintain a secret security clearance as per CBSA Security Standards. Mandatory digital fingerprints and mandatory standardized reference checks will be undertaken as part of the Personnel Security Screening Process.
- Meet and maintain a medical standard required to perform the duties of a CBSA Officer Trainee. A physician (Health Canada or designated by CBSA) will complete an Occupational Health Assessment Report which will attest to physical ability to participate in the CBSA Officer Induction Training Program and subsequently perform the duties of a CBSA Officer Trainee.
- Meet and maintain psychological requirements by passing the Minnesota Multiphasic Personality Inventory (MMPI-2) and the Sixteen Personality Factor (16PF) and a structured stress and clinical interview.
- The duties of a CBSA Officer Trainee will require you to carry a firearm as well as other defensive equipment. As such, you agree to qualify and re-certify in their use and maintenance. You also agree to meet and maintain any medical, behavioral, psychological and physical requirements (including vision, and hearing standards required), as prescribed by the CBSA.
CBSA Officer Trainee must meet the following conditions of employment prior to appointment. If you qualify in this process, including successfully completing the CBSA Officer Induction Training Program, and are offered employment, you must accept the following conditions of employment when signing your letter of offer:

- Work various shifts on rotation, weekends as well as statutory holidays.
- Wear and maintain a uniform, required protective clothing, job-related equipment such as Oleoresin Capsicum (OC) spray, batons and firearms as per CBSA standards.
- Work overtime as required.
- Operate a government vehicle.
- Obtain and maintain a Transportation Security Clearance for positions located at airports/marine ports (if applicable).
- Undergo a medical examination for isolated posts (if applicable).
- Travel as required (domestic and international).
- Accept assigned postings anywhere in Canada.

Failure to commit to accepting assigned posting anywhere in Canada will result in your candidacy being given no further consideration in this selection process.

Candidates should also be aware that should they decline an assigned posting they may be required to reimburse the CBSA for their entire costs associated with the CBSA Officer Induction Training Program.

**Challenge**

Applicants must be physically able to perform strenuous duties under rigorous environmental conditions. Duties require stamina in withstanding exposure to extreme weather conditions for extended periods; standing/stooping over for long periods of time. Irregular and protracted hours of work are also required. There are certain risks associated with the operational duties normally carried out by the CBSA Officer Trainee.

Prior to training and an offer of employment, applicants must undergo a pre-employment medical examination and be medically suitable to perform the full range of duties of the position efficiently and without hazard to themselves or others. Any disease or condition that interferes with the safe, efficient, and expected performance of the job duties or required training may constitute grounds for medical disqualification. Individual assessments of each person’s medical history, current condition, and medical qualifications will be made on a case-by-case basis by the Health Canada Medical Unit or physician designated by the CBSA.

**Additional requirements / comments**

The initial screening phase of this selection process will require candidates to demonstrate they meet each of the Operational and Education Requirements.

Candidates invited to the assessment stage will be required to provide proof of citizenship; education; successful completion of the Canadian Firearms Safety Course and the Canadian Restricted Firearms Safety Course; valid Standard First Aid Certification (according to the Canada Labour Code Part II, Canada Occupational Health & Safety Regulations Part XVI); and a valid driver’s license. If you fail to bring these documents, you will not be permitted to write the tests.

The assessment of candidates may take the form of one or more of the following: written examinations, interviews, practical exercises, role-plays, behavior-based questions, situational exercises and/or mandatory reference checks.

Candidates will be required to pay for their own travel expenses when attending the required tests, interview(s), medical and psychological assessments as well as expenses related to meeting the conditions of employment.

Top down selection may be applied at any stage of the selection process.

Candidates are entitled to participate in the selection process in the official language of their choice and are asked to indicate their preferred official language in their application.

Candidates who are selected to attend the CBSA Officer Induction Training Program will be required to attend an in-residence 18 week training program at the CBSA Main Campus in Rigaud, Quebec where candidates will be further assessed.
During the in-residence phase of the training, non-public servants will receive an allowance, accommodations and meals. They are also entitled to one return travel trip (from their home residence to the CBSA Main Campus and back). There will be NO salary paid until candidates successfully complete all the required assessments and accept an offer of employment.

Information to be provided:
You must provide the following information when submitting your application:
Your résumé;
You must ensure that you select at least one employment type when submitting your application: Employment Tenure

### Important messages

Please note that the CBSA only accepts on-line applications sent via the Internet site www.jobs.gc.ca. If you do not have Internet access in your home or through friends, relatives or neighbours, here are some suggested locations: campus career centres, libraries, community centres, Internet cafés, Canada/Student Employment Centres, and Public Service Commission (PSC) regional offices. You may also call 1-800 O-Canada (1-800-622-6232), or TTY 1-800-926-9105, for information on the nearest public Internet access location.

To submit an application on-line, please click on the button “Apply Now” below.

Notice of intent to apply will not be accepted.

This is an on-going selection process to create an inventory of partially assessed candidates. From this inventory candidates may be eligible for consideration to attend the CBSA Officer Induction Training Program for further assessment of the essential qualifications. We will periodically access the applications received and contact candidates selected for further assessment.

COMMUNICATION FOR THIS SELECTION PROCESS will be sent by e-mail and through your Public Service Resourcing System (PSRS) account. Candidates must check their e-mail accounts and/or PSRS account frequently as there may be new communication regarding this selection process or a deadline for response. Responses provided after the indicated deadline will not be accepted. Candidates must include in their application a valid e-mail address that is functional at all times and accepts messages from unknown users; some e-mail systems block these types of e-mail. Ensure to check/view your spam folder regularly. The CBSA is not responsible for any incorrect or incomplete application information. Errors in your profile and/or failure to update your contact information MAY result in no further consideration of your application.

ACCOMMODATIONS OF PERSONS WITH DISABILITIES: Persons with a disability preventing them from applying on-line should contact us at 1-800-645-5605. The Public Service of Canada is committed to developing inclusive, barrier-free selection processes and work environments. If contacted in relation to a job opportunity or testing, you should advise the Public Service Commission or the Departmental official in a timely fashion of the accommodation measures which must be taken to enable you to be assessed in a fair and equitable manner. Information received relating to accommodation measures will be addressed confidentially. It is your responsibility to advise the Departmental official of your accommodation needs at the commencement and at each stage of the assessment process as the type of accommodation might change depending on the nature of the assessment.

Your résumé must clearly demonstrate how you meet the requirements.

We thank all those who apply. Only those selected for further consideration will be contacted.

Questions regarding travel and relocation.
The Public Service of Canada is committed to building a skilled, diverse workforce reflective of Canadian society. As a result, it promotes employment equity and encourages candidates to indicate voluntarily on their application if they are a woman, an Aboriginal person, a person with a disability or a member of a visible minority group.

The Public Service of Canada is also committed to developing inclusive, barrier-free selection processes and work environments. If contacted in relation to a job opportunity or testing, you should advise the Public Service Commission or the departmental official in a timely fashion of the accommodation measures which must be taken to enable you to be assessed in a fair and equitable manner. Information received relating to accommodation measures will be addressed confidentially.
ANNEX 7: Step 5 Example – Samoa – Shortlisting Form
ANNEX 8: CBSA Assessment Strategy

Introduction

The Canada Border Services Agency (CBSA) is developing an integrated induction model for all entry-level officers. Before 2012, the CBSA had different and inconsistent recruitment and training standards for new FB-03 inland enforcement officers (IEO) and new border services officers (BSO), gaps in our Official Language capacity and identified operational recruitment challenges such as supporting remote ports, double up and arming commitments. To address these inconsistencies and gaps, the Agency has developed a new common induction model that includes a national ab initio recruitment process, a revamped residential training program for recruits and a structured developmental curriculum following graduation. This integrated model will allow us to address identified gaps at both the organizational and operational level and will enhance our ability to meet and/or exceed established targets or expectations. Our ability to collect and analyze the program data will provide us with the added knowledge and flexibility to identify gaps and issues more readily whereby permitting us to respond to changes within organization in a more timely and effective manner. Collectively, these elements will fully prepare officer trainees to fulfill the CBSA mandate.

The CBSA induction program will enable the Agency, through strategic and targeted recruitment, to attract and retain quality candidates that possess the right mix of experience, skills and abilities to form the basis of the future CBSA workforce and meet the Agency’s goals. The new program includes a redesign of the recruitment process with new assessment tools and a national assignment model that will better respond to operational pressures. The Agency will post new CBSA officers to any office in Canada. Upon graduation, new officers will be posted within the CBSA to meet operational requirements.

The new CBSA Recruitment Program was launched in February 2012 and represents a key milestone as the organization moves to a national and uniform recruitment and training regime for entry level officers. The assessment strategy for the new process incorporates revitalized assessments tools and integrated standards and is comprised of multiple stages to increase the probability of selecting the best candidates. After each stage of the selection process, beginning with the Un-proctored Internet Test (U.I.T), candidates will receive a letter indicating whether they have been screened in or out of the next phase of the assessment process. Candidates who are not successful at any stage of the process will be subject to a waiting period. The length of the waiting period is based on whether the candidate has been screened out based on a standardized PSC test, an unmet competency or has voluntary withdrawn.

The CBSA has partnered with the Public Service Commission (PSC) in the development and implementation of the new CBSA Trainee Recruitment Process. With the new recruitment process, the CBSA has a targeted candidate population from beginning to end of a competency-based assessment that can be linked to work expectations and performance. This information can be very valuable for the PSC in assessing and evaluating their standardized tests. In return, the PSC has offered its support at no cost in providing statistical and trend analysis in relation to the testing used within the process to assess the relation between competencies, testing and performance work behaviours. Ongoing reporting will be conducted on the progress of the analysis and roll-up of information.
**Phase 1: Initial Assessment through the Public Service Resourcing System (PSRS)**

Responsibility: The Officer Recruitment Unit (ORU) is responsible for screening a selection of applications using the PSRS.

Timeframe: One to three weeks (depends on volume)

Applicants apply online using the PSRS; applications will not be considered if they are submitted using other methods. Applications at this stage will be entered into an inventory in PSRS; screening criteria beyond high school education are not applied to the applications at the time of submission. The screening criteria below are used to pull applications for further assessment. Only applications which meet the screening criteria will be referred from the PSRS inventory; applications which are not selected remain in the inventory. The following are the criteria which will be utilized to create the first candidate inventory.

- Willing to accept a posting anywhere in Canada
- A valid first aid certificate
- A valid driver’s license
- Successful completion of the Canadian Firearms Safety course (CFSC) and the Canadian Restricted Firearms Safety course (CRFSC)
- Canadian Citizenship
- High school diploma

This will create our first applicant inventory. Applications will be sorted by the ORU and those meeting the requirements will move to Phase 2. ORU will be responsible for creating (entering tombstone data for all applications selected), maintaining (input of all data related to testing and evaluation) and storage of the national database.

**Phase 2: Un-proctored Internet Test (U.I.T)**

Responsibility: The ORU is responsible for the administration of the U.I.T, issuing invitations, tracking scores and answering questions.

Timeframe: 3 weeks

Candidates will be sent a communication with instructions on how to complete the “Un-proctored Internet Test” (U.I.T). The test is delivered to the candidate’s computer through the Internet and administered without supervision. The U.I.T serves as a pre-cursor test of cognitive ability complementary to the General Competency Test Level 2 (GCT-2). Candidates who successfully pass the U.I.T will be sent an invitation to attend the next assessment phase; candidates who are unsuccessful will be screened out of the pool. Specific threshold levels will need to be established for this test to establish the cut-off. Standard cut-off is determined by the delegated manager.
Phase 3: Standardized PSC Tests and Verification of Essential Qualifications

Responsibility: The ORU will work cooperatively with Regional HR to reserve and manage rooms, and ORU will prepare testing and administrative documents for each testing session. Regional HR will be asked to provide invigilators for the testing sessions.

Timeframe: Four weeks

During phase 3, candidates will be invited to attend a testing session to write two Public Service Commission (PSC) standardized tests:

• The General Competency Test Level 2 (GCT-2) (cognitive ability) and,
• The Written Communication Proficiency Test (WCPT) (ability to communicate in writing)

Both tests will be administered on the same day with the GCT-2 being administered in the morning and the WCPT being administered in the afternoon. The DG of T&L, as delegated manager, in consultation with the ORU will be responsible for establishing specific threshold levels to set cut-off levels to be screened in or out. The threshold levels must be established prior to the testing sessions as the invitation letter sent to candidates must include the threshold level and the possibility the Agency may use a top down approach with respect to the test results. Candidates who successfully pass both tests will be sent an invitation to attend the next assessment phase. Candidates who are unsuccessful will be screened out of the pool and will be subject to a waiting period of 180 days before they can reapply.

For the GCT-2 when the test is used for screening purposes, the minimum pass mark is 18/50 however the DG of T&L, as delegated manager, may adjust the cut off score and use top down criteria. For the WCPT, the DG of T&L, as the delegated manager, in consultation with the ORU will set the cut-off taking into account the level of writing ability required.

Included with the invitation to the GCT-2 and WCPT testing session, candidates will receive instructions requiring them to bring proof of the documents below to the testing session.

• Canadian Citizenship,
• Valid first aid certification,
• Proof of education,
• Successful completion of the Canadian Firearms Safety Course and the Canadian Restricted Firearms Safety Course, and
• Valid driver’s license.

Failure to follow instructions will result in the candidate’s application being given no further consideration and a waiting period of one year before the candidate may be considered in any further process. On the day of the testing the validity of the candidate’s first aid certificate and driver’s license will be confirmed. Random checks will be conducted on the date of issuance for completion of the firearms courses against the date of application. In cases where the date of issuance is after the date of application the candidate will be removed from the pool and the candidate will be subject to a one year waiting period before being able to reapply to the inventory.
Phase 4: Interviews

Responsibility: The ORU will reserve the rooms, with the assistance of Regional HR, complete the scheduling and prepare the interview packages to be shipped to the interview areas as necessary.

Timeframe: 9 weeks

Interviews will be conducted using a three member panel. Two members of the panel will have Regional operational experience and the third member will have human resources experience. Ideally the interview panel will include the following representatives:

- One representative with operational experience from the region in which the interview is being conducted,
- One representative with operational experience from an adjacent Region, and
- One representative from the ORU.

The interview will be one hour in length and include situational questions and a role play. Each interview team will be able to conduct a maximum of six interviews per day. Interviews will be scheduled in targeted areas for one week blocks (based on volume) to minimize travel costs. The interview questions will also be designed to allow them to be administered using video conferencing or similar technology should the need arise.

Candidates may also be requested to complete a short written multiple-choice Competency Based Organizational Questionnaire (CBOQ) designed to help assess the Client Service Orientation (CSO) competency. The test, designed by the Canada Revenue Agency, is approximately 30 minutes in duration and can be marked electronically. The mark obtained on this test would be blended with interview questions that have been developed to enhance the testing of the Client Service Orientation competency.

Phase 5: Additional Requirements

Candidates who complete all of the previous five stages will be placed in a partially qualified pool (PQP) until such time as they may be drawn from the pool and selected to attend the CBSA OITP. The Human Resources Standing Committee (HRSC) will be responsible for authorizing the class sizes. Within the old recruitment process the regions were provided with a seat allocation and would select their own candidates to attend the in-residence program in Rigaud. Within the new recruitment process the DG of the Training and Learning Directorate will be responsible for managing the process to select candidates to attend Rigaud. The governance for loading the OITP seats will reside with the DG of the Training and Learning Directorate, in close partnership with Corporate HR Programs and the Operations Branch. Tactical staffing plan will be developed based on historic knowledge, demographics trends and operational reality. Candidates who will attend training will be chosen on specific criteria and asset qualification recommended by the Officer Recruitment Unit, in consultation with the Operations Branch.

Candidates can be drawn from the PQP based on a range of criteria including:

- Employment equity and language needs and
- WCPT and GCT-2 scores.

Four asset criteria were established in the poster which may be applied at this stage (or any stage) to select candidates from the partially qualified pool in order to attend the OITP in Rigaud. The asset criteria include:

- Graduation with a degree from a recognized university,
- Graduation from a recognized post-secondary institution with a specialization diploma or certificate in the area of law or similar fields,
- Experience within a law enforcement environment relevant to the position, and
- Experience providing client service in a challenging environment.

Upon successful completion of the OITP at Rigaud, graduates will be assigned to available positions across the CBSA.
Phase 6: Selection of Recruits to attend the Officer Induction Training Program (OITP)

Candidates who complete all of the previous five stages will be placed in a partially qualified pool (PQP) until such time as they may be drawn from the pool and selected to attend the CBSA OITP. The Human Resources Standing Committee (HRSC) will be responsible for authorizing the class sizes. Within the old recruitment process the regions were provided with a seat allocation and would select their own candidates to attend the in-residence program in Rigaud. Within the new recruitment process the DG of the Training and Learning Directorate will be responsible for managing the process to select candidates to attend Rigaud. The governance for loading the OITP seats will reside with the DG of the Training and Learning Directorate, in close partnership with Corporate HR Programs and the Operations Branch. Tactical staffing plan will be developed based on historic knowledge, demographics trends and operational reality. Candidates who will attend training will be chosen on specific criteria and asset qualification recommended by the Officer Recruitment Unit, in consultation with the Operations Branch.

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• WCPT and GCT-2 scores.

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• Experience within a law enforcement environment relevant to the position, and
• Experience providing client service in a challenging environment.

Upon successful completion of the OITP at Rigaud, graduates will be assigned to available positions across the CBSA.
APPENDIX A - ASSESSMENT TIMEFRAMES

Overall estimated assessment timeframes including administration (in business days):

1. Unproctored Internet Test (U.I.T.) – 15 days,
2. GCT-2 and WCPT – 37 days,
3. Interviews – 47 days,
4. SLE – 78 days, and

Total estimated at: 130 business days

Note: Items 4 and 5 can be run concurrently with item 3.

The following two steps will be essential to support the proposed assessment strategy:

1. Establishment of an internal mechanism to track candidates.

The ORU is responsible for the creation and management of an internal Excel mechanism to track candidate information. This mechanism will allow the CBSA to track the results of the different assessment phases and to maintain a current pool which tracks the status of candidates who have been screened into the pool of partially assessed candidates to attend the CBSA’s OITP and those candidates who have been screened out of the process. Candidates’ results during the OITP will need to be transitioned into the database managed by the ORU. This database will be used internally and the PSRS will be available to candidates to enable them to keep track of their assessment scores (PSC standardized tests) and the status of their application.

2. Training for Assessment Board Members

The ORU will work cooperatively with regional operations and regional HR to identify, select and train assessment board members. Assessment boards will be comprised of management with operational experience, e.g. chiefs and superintendents, and representatives from the ORU. Once selected as an assessment board member, individuals will be required to attend a session on Assessment Board Training (3 days) as well as training on competency assessments. This training may be delivered utilizing distance learning or other technological methods available.

APPENDIX B - PROCESS FLOW
### ANNEX 9: Example of Notification Letter to Unsuccessful Candidates

<table>
<thead>
<tr>
<th>Location, Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Applicant</td>
</tr>
<tr>
<td>Applicant’s Address</td>
</tr>
</tbody>
</table>

**Object:** Your application to Job Title (Job Vacancy Reference Number)

Dear Sir/Madam,

We appreciate your interest in (organization name) and the position of (Name of Position) for which you applied. After reviewing the applications received, we have the regret to inform you that yours was not selected for further consideration.

The selection committee appreciates the time you invested in your application. We encourage you to apply for posted and advertised positions in our organization, for which you qualify, in the future.

We wish you every personal and professional success with your job search and in the future.

Thank you, again, for your interest in our organization.

Regards,

Name

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**REFERENCES**

- MDF “Recruitment and Selection”
- [http://www.bbk.ac.uk/hr/policies_services/policies_az/recruitment_guide/](http://www.bbk.ac.uk/hr/policies_services/policies_az/recruitment_guide/)
- [http://www.bbk.ac.uk/hr/policies_services/policies_az/recruitment_guide/#4](http://www.bbk.ac.uk/hr/policies_services/policies_az/recruitment_guide/#4)
- WCO-SIDA Columbus Phase II Sub-Saharan Africa – ECOWAS subcomponent - WACAM Project – Human Resource Management
INTRODUCTION

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CONCLUSION

ANNEXES
INTRODUCTION

In order to remain responsive to the challenges of the 21st century, Customs administrations need, amongst others, to continuously assess correctly their organization’s strategic needs and ever-evolving business process requirements in terms of core, operational, and management competencies. It is essential that they keep a specific focus on anticipating the emerging competencies. This will enable administrations to plan, develop and implement an efficient policy to equip each category of their workforce with the right skills, knowledge and behavioural capabilities corresponding to their roles, responsibilities and specific tasks.

Training, its processes and infrastructures are core instruments for Customs organizational performance.

The role of training is to support the organizational goals and ensure that the administration’s policies translate into effective operational activities. This becomes particularly critical considering the significant investments of Customs in new technologies and enhanced processes which would be inoperative without skilled and competent staff.

1. LEARNING AND DEVELOPMENT IN CUSTOMS: IMPLEMENTING A COMPETENCY-BASED SYSTEM

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

• Comply with the mission given by Government;

• Accurately apply international, regional and national standards for 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 management1.

Customs’ workforce development and training policy should be developed in an integrated way with the strategic stakeholders of the organization, both internally and externally, ensuring that national training is competency-based, promoting life-long learning (continuous learning and development) and innovative learning systems throughout the organization.

The importance of training to any administration cannot be over-emphasized. An accurate learning strategy and training system improves employee efficiency, effectiveness, uniformity, confidence and job satisfaction, whilst helping to achieve organizational goals.

1.1. Guidelines’ Objectives

This document aims to provide Members with guidance on how to integrate their National Training Centres and learning management to support their broader Customs strategic direction. It is also intended to illustrate modern, efficient learning concepts to be implemented within the national training structures to ensure their responsiveness to the administration’s organizational needs.

These guidelines are integrated in the Framework of Principles and Practices for Customs Professionalism. The development of this document fulfils one of the mandates given to the WCO Secretariat by the Capacity Building Committee to enhance People Development in Customs2.

The guidelines’ practical pointers to Customs administrations are structured so they can review, implement and upgrade their learning management strategy and practices and implement a competency-based approach to training policy and design.

1 Annex 1: Study on Benefits of Training, WCA Regional Working Group on National Training, 2010
2 Its completion results from the update of the Training Package Development in Customs inserted in the WCO Capacity Building Development Compendium (Chapter 9: Human Resource Management and Leadership) and the wide collection of practices under the Interactive Map on People Development available on CLIKC!
The guidelines have four overall objectives:

• To provide practical guidance and to assist those involved in Customs training and learning management;

• To help achieving organizational consistency in the way National Training Centres are established, and kept responsive to the organization’s strategic needs;

• To provide useful practices to review Customs national training planning, development, implementation, delivery and evaluation schemes; and

• To help raising global training standards among the World Customs Organization Membership.

These guidelines are based on the WCO expertise and experience, on the good practices collected from Customs administrations and on recognized international training standards from the private sector and Human Resources (HR) professionals.

They aim to assist Members to increase performance, control training costs and manage turnover by:

• Enhancing business culture, organizational values and drivers;

• Delivering and tracking essential training tied to compliance, regulatory, job role and profile, and on-boarding requirements;

• Delivering structured curricula and learning events by developing adapted and innovative learning methods; and

• Developing Customs learning communities (knowledge sharing and management through the CLiKC! People Development Interactive Map as the virtual portal complementing this document with a living repository of Customs practices).

Key elements which bring a qualitative establishment of a Customs training system include:

• Reflection of business needs on the training policy;

• Understanding and support to the training function by senior management as well as coordination between training management, senior management and related departments;

• Proactive understanding and knowledge of the competencies required by the staff including efficient and accurate needs analysis focusing on operating models;

• Sufficient investment and funds for national training;

• Establishment of a learning environment promoting quality training standards in both development and delivery and enabling trainers to be rigorous, but flexible, in supporting the specific trainees’ needs;

• More training flexibility to comply with the evolving operational needs and less theoretical training programs;

• More emphasis on developing strategic decision-making capacity than knowledge transfer;

• Better coordination with the broader international training environment such as with WCO Regional Training Centres (RTC), Universities etc.;

• Innovative and efficient evaluation and assessment strategy focused on performance;

• Fostered usage of technology in learning environments; and

• Increased learning opportunities and career-long development.

A well-designed national training system is centered on both the organizational and individual performance. The competency-based approach enables Customs administrations to proactively embrace results-based management applied to training and the promotion of a learning culture.

Its implementation enables Customs to evolve from an aged conception of training based on subject matters (where the focus is put on knowledge). The learning and development processes now define the pedagogy according to the actions that the Customs professional will have to perform after the training. Programmes, curricula and processes shall then be centered on the core and specific competencies which determine the Customs Profession.

1.2. Driving Principles for Effective Customs Learning and Development

**Principle 1: Political Commitment**

A strong political will is critical to allocate the proper resources to workforce development and to adopt an integrated HR policy including training.

Gaining and maintaining a high level of political support requires an institutional and systematic analysis of the benefits of training so that they can be expressed in quantifiable terms. An integrated HR and Training policy and process provides an efficient tool to do so as it establishes a clear link between competencies and organizational performance.

Training services must be part of the decision-making process at a strategic level as they are closely interacting with the HR services. 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 and experienced trainers and training managers.
The executives of each Customs administration and the organization as a whole must recognize that training:

• Has a core role to play in organizational development;

• Influences human resources development and performance; and

• Enables the administration to improve its attractiveness and professional image.

Training is one of the core components of the organization’s overall strategy implementation, of the efficient dissemination of its values and of the development of an esprit de corps, and is instrumental to operationalize its leadership’s long-term vision, and to reach the organizational performance goals.

Principle 2: Organizational Adaptation and Performance Assessment

Training needs to be developed and delivered by targeting the development and maintenance of competencies, as the set of skills, knowledge, behaviours that are predictors of personal ability to meet the organizational needs.

The Customs environment makes it necessary to develop and maintain specific knowledge, skills and aptitudes that are uniquely linked to the aspects of the Customs administration’s jobs.

The competency-based approach enables the transfer of competence to focus on the implementation in the work environment and to be assessed on the raise of individual on-the-job performance. The learning processes are designed to empower trainees to apply concepts and skills as well as to solve problems related to the tasks they have to carry out in their respective job.

The competency-based approach has been increasingly adopted by the Customs Community in the last few years and the specific Customs Profession’s set of competencies has been mapped out by numerous administrations.

Since 2008, the WCO PICARD Professional Standards (for operational and strategic Customs managers) have provided common development standards for the management level based on the required competencies to efficiently lead and manage Customs in the 21st century. They provided a basis to several initiatives.

The European Union (EU) Customs Competency Framework offers now the 28 EU members an agreed standardized set of core and specific Customs competencies. The Customs Administrations of Burkina Faso, the Gambia, Morocco and South Africa, for example, have as well adopted their own Competency Framework as the foundation for Customs in-house HR and training policies to establish adapted developmental and educational programs.

The importance of having implemented an integrated competency-based HR and Training policy is essential. HR management is driving fundamental processes and develops key documents for training.

The organization-wide competencies’ identification and the adoption of a Job and Competency Framework provides the tools and processes to ensure that the administration’s training is compliant with the business operating models and the organizational needs. The subsequent development of Performance and Evaluation Framework by HR ensures the alignment of the training activities with the workforce’s needs. The competency-based training system then ensures that both the training management and the training design and implementation – including the learning methods - comply with the Customs’ tasks, operational culture and demanding environment.

Principle 3: Career-Long Development and Individual Empowerment

Customs training policy needs to be based on life-long learning principles and needs to provide continuous developmental opportunities throughout an officer’s professional career.

Training in Customs needs to react to a fast changing Customs environment with a strategy to develop a constantly evolving set of knowledge, skills and competencies. In addition to the evolving technical abilities specific to the jobs, Customs professionals require general competencies including soft skills like leadership to be continuously enhanced.

The shift to a learning culture implies that individuals should progressively be responsible for their professional and personal development identifying the required training to complete or enhance their competencies to better perform in their daily work, and prepare their next career move.

The professional (Customs officer and training recipient) must be at the centre of the whole training system and learning management. A sound training program provides benefits and foster motivation where training is a key part of integrated career development.

Incentives for trainees and training relevance are capital. Developmental and training programmes are both designed to answer each job’s tasks, role, level as well as each individual’s profile in accordance with the expected career progression.

Principle 4: Innovation

Implementing innovation is fundamental to promote the cultural shift to a learning organization, is required to answer the complexity of Customs tasks and is key to attracting and retaining people. A wide range of innovative learning methods and tools is available and blending them in helps achieving a cost-effective, relevant and flexible training system and learning management.
The use of combined and innovative learning methods and technologies has helped organizations to improving performance, to responding faster to business change, to speeding up the application of learning at work and to improving staff engagement and talent management.

The implementation of social and collaborative learning and the wide dissemination of learning portals within organizations increasingly represent a competitive asset essential to move toward integrated intelligence and corporate knowledge management. Moreover in response to the evolving demographics and increasing use of technology, organizations are increasingly encouraging staff to adapt social media behaviours in order to promote collaborative problem-solving processes.

2. CUSTOMS TRAINING MANAGEMENT ENGINEERING

The overall Customs training system shall embed the competency-based approach. In order to ensure this is the case, the training engineering shall be adapted.

The training engineering is defined as the whole set gathering policies, tools and methods enabling to implement, in a coordinated and rigorous way, the design, organization, implementation and evaluation of the training actions.

In order to ensure a methodical establishment and maintenance of a training system, the training engineering can be divided into two pillars: the training management engineering, and the pedagogical engineering.

The training management engineering is made of all the components which enable to define a national Customs training policy, to implement it, to apply and to make a legal and regulatory framework evolve, to structure and manage the main human, financial and material resources, to ensure the training implementation as well as the performance assessment of the whole system.

The pedagogical engineering or learning design is centered on tools and methods aiming at designing, implementing and continuously maintaining the Training Frameworks or Standards attached to each job, the training programmes as well as the Teaching Guides which facilitate their implementation. The main purpose of the entire training engineering process is the implementation of the Training Framework and the constant improvement of the Training System.

In order to achieve those goals it is critical that both the training management engineering and the learning design processes benefit from a strong coordination for either ensuring the feasibility of the pedagogical engineering proposals or establishing a common decision-taking process on reform projects.

2.1. Establish a Customs Training Policy

The training policy is the expression of 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 are conducted and it 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 included in a training policy. Customs administrations, can and indeed should, decide on what has to be enshrined in a policy and what can be left open to the discretion of the training administrators. However, 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.

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Accountable for</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Management</td>
<td>Sound investment in training</td>
</tr>
<tr>
<td>Human Resources/ Personnel unit in headquarters</td>
<td>Coordination Determination of national training priorities based on staff planning, performance gaps and competencies needs</td>
</tr>
<tr>
<td>Training function</td>
<td>Delivering efficient and cost effective training programmes</td>
</tr>
<tr>
<td>Field managers</td>
<td>Co-ordination of training activities in each region/department and ensuring that officers under their supervision receive the relevant training</td>
</tr>
</tbody>
</table>

**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.

In addition, the Training policy identifies the training building blocks and their main elements.

The identification of training needs and the formulation of the policy and implementation strategies to handle those needs have proved to be an extremely important vehicle for providing the training vision which Customs managers need to have in order to address the training challenges.

However, this vision alone cannot deliver the training; it must be followed by other measures designed to facilitate the implementation of training plans.

The training system is therefore composed of various building blocks that must be developed following specific requirements.

**2.2. Identify the Training Key Players’ Roles and Responsibilities**

Any organization needs to have the right level of engagement toward personal and professional development opportunities and training to attract and retain talent. It has to acknowledge that the success of any training policy depends on adequate preparation from all the training key players alongside the roles and responsibilities clearly identified in a transparent strategic document such as a training charter.

The list of 3 key players detailed hereafter is not exhaustive, top managers and the direct trainees’ supervisors are also instrumental as identified earlier for the Accountability Framework.

**Training Managers**
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.

The main tasks of training managers are to:

- Define the main stages and components of the training process;
- Differentiate between the various sources of training needs;
- Compile, analyze and manage those needs;
- Develop training plans and programmes;
- Plan and manage training resources and activities;
- Adopt accurate assessment methods for training and trainees;
- Create an evaluation system and manage the training results;
- Reach operational achievements and organizational outcomes; and
• Adopt a systematic approach in training design, with standardized teaching tools.

Accordingly, training managers must fully understand the requirements of the Customs administration. Like in Hong Kong, China Customs Administration, they must also develop or sustain 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 the training division’s status within the administration and for drawing up development challenges and priorities1.

Training managers should make a conscious effort to express training benefits in terms of facts and figures in order to convince decision-makers and, where needed, donors. This requires a robust evaluation scheme and an institutional and systematic analysis of the benefits of training so that they can be expressed in quantifiable terms.

Trainees at the Centre of the Organization’s Training System

To secure a sound training strategy and learning management which will provide individual as well as organizational motivation and benefits, the Customs officer (the training recipient) must be at the centre of the whole training system.

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.

As part of the career-long development, training needs to target Customs officials from all levels and at all stages of their career: from recruitment to specialization, from acquisition of new competence to knowledge and skills update/refresh and experts development, as well as at the different steps of leadership and management development. The trainees’ active participation in the whole training process is vital to the quality of the training: not only during the training action but also from needs assessment to the evaluation of training outcomes.

The trainee should be given personal responsibility to participate in identifying training needs based on his/her job profile’s competencies and performance requirements, the organization’s planned training programmes and developmental sequences and transparent career mapping. The organization should promote an active learning culture by allowing the Customs officials to request for his/her training and developmental activities according to these elements.

The selection of trainees should be clarified by their profile examination, personal motivation, applicants’ current and expected job performance, nomination by their line-management or combination of these criteria2.

The organization’s training charter shall clearly state that the trainees shall commit:

• To prepare properly for the training action (familiarizing oneself with the reference documents, carrying out the pre-assessment knowledge test and/or requisite preparatory work, etc.);

• To play an active role in the training and comply with the organizational instructions (keeping to the timetable, collaborative or group work, etc.);

• To use the knowledge gained in the course of the training and ensure that it is transferred within their unit to achieve the objectives initially set;

• To report back on the actions taken following the training, and of the results obtained in accordance with the set training evaluation process.

An appropriate follow-up to the training must be carried out to ensure that both the trainee and the administrations gain maximum benefit.

Trainers as One of the Essential Performance Drivers

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, training in Customs should embrace a wider range of additional knowledge, skills and competencies, including leadership and management capabilities throughout the organization’s levels.

Significant emphasis must therefore be placed on training capacities so that all the staff members being part of the trainers’ pool develop and maintain in-depth expertise on their subject areas, benefit from sustainable programmes on developing training techniques and constantly monitor their topics’ implementation and stay updated of the practices in both the Trade and Customs’ environment.

A proactive policy concerning career and advancement opportunities for deserving officers, as well as other incentives, will benefit the whole structure by raising the status of training.

Various situations regarding the status of trainers can be found in Customs administrations: full-time trainers, and/or partial time staff depending on the organization’s training policy and the expertise areas. These different situations do have an impact on the policy applied to trainers.

1 See Annex 3: Identification of strategic relationship with main stakeholders

2 Selection criteria practices from AP Customs Administrations are gathered in the Asia Pacific Compendium on Training, p.17.
Selection criteria of trainers shall anyhow ensure that they demonstrate:

- Professional experience on the course subject;
- Sound knowledge and abilities for training; and
- Motivation.

The administrations will therefore have to support their trainers and selected trainers will have:

- To continuously demonstrate their abilities to pro-actively keep up-to-date their knowledge and skills in accordance with the actual situation;
- To attend local or overseas instructor courses to enhance their competency as trainers; and
- If permanent staff, to undergo annual short-term attachment programmes to relevant units, academic sessions, conferences, etc. in order to keep abreast of the latest operational skills, knowledge and developments at field1.

Moreover the profile of the trainers or lecturers invited to share their knowledge and experience can be widely diverse from senior or middle operational level Customs officers, to academics from universities, and/or experts from other governmental organizations and private organizations, who participate in broadening the trainees’ exposure to Customs’ partners perspectives and for specific areas of expertise like auditing, accounting, international trade etc2.

2.3. Implement a Competency-Based Training Strategy

The training strategy is aimed at translating the training policy into activities. Designing a tailored training strategy involves the adoption of a cyclical process in which engineering must be competency-based and focused on performance.

The implementation of the competency-based approach enables a remarkable shift from annual training plans towards a more flexible yet longer-term approach to comply more efficiently with the organizational needs. The Training process cycle then becomes proactive as well as forward-looking: whereas the future strategic needs are anticipated, the pluri-annual training plans are monitored and readjusted whenever necessary.

In 2014, the Office Burundais des Recettes (Burundi Revenue Office - OBR) has developed its training’s policy and strategy on a three-fold approach:

1- Identification of the Training Core Principles, namely the OBR’s Strategic Plan, its objectives, and values, a Competency-based approach, the integration of the training Policy within the HR Policy, and a result-based evaluation and management

2- Establishment of an OBR Training System General Framework, based on a SWOT Analysis, identifying the OBR training’s strategic pillars and the roles and responsibilities of all stakeholders

3- Development of the General Training Process and its operational activities, gathering the types of training activities within the training plan, the annual training cycle, the implementation plan, the communication plan, etc.

Other instrumental tools have been annexed: a Training Charter, a Training Management Committee, the Selection and Management of Trainers guidelines, and the Training Methods Framework.

General Principles

A strong strategic and operational planning is required as a starting point and foundations for sound, reliable infrastructures, efficient training development capacities answering both long-term and short-term needs.

Strategic and operational planning

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

- The strategic training objectives based on the competencies required to achieve the different organizational goals;
- The target groups and the anticipated results of each learning process;

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1 Malaysia Customs Administration, and its National Training Centre AKMAL and short-term detachment programme on operational sites for permanent trainers.
2 Customs Administration of the Netherlands’ selection and monitoring process for competent operational Customs officers to be released as part-time trainers.
4. Customs Competency-Based Training Guidelines

The specific developmental sequences and appropriate combination of training events and teaching methods for the target groups;

- The infrastructures, equipment and materials required;
- The systems needed to evaluate the training; and
- All the training resources required.

The operational plans should identify per programme:

- The programme’s specific training objectives;
- The participants and the place and date/duration of training;
- The detailed resource requirements; and
- The responsibilities of each of the participants and the sections responsible for managing the training and implementing the programmes.

Performance gaps and Competency needs

The systematic and continuous analysis on existing employees’ capabilities and organizational demands for competencies, alongside the analysis of the implications of new and/or evolving operating models and environment, is crucial.

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

- The administration’s mission statement, including goals, values and priorities;
- Performance gaps in respect of current tasks; and
- Anticipated performance requirements in respect of future tasks.

The Competency needs analysis should be conducted both at the organizational and at the job levels.

Ensuring that the whole competency needs analysis process focuses on the Administration’s reengineered business operating models, processes and procedures, if articulates Strategic and Operational Analysis looking closely at the specific Workforce development and Strategy requirements. The Training needs are determined based on the Competency Needs Analysis and the Performance Gaps.

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1 See Annex 4: Operational Plans checklist.
2 See Annex 5: Training Needs Analysis Templates.
Strategic Analysis

The strategic analysis focuses on the role of the Customs service, the organization’s priorities, the stakeholders’ expectations, and the organization’s structure. Elements like the strategic patterns of the organization’s recruitment policy, the evolving or emerging processes, tools, technologies leading to new or extended roles within the organizations, the enterprise architecture and organization size as well as the innovation in skills, knowledge and even behaviours shall be closely considered. The analysis of all these elements being owned by the HR department, it enhances the necessity for Training to be closely integrated with HR management.

Job analysis

The definition of the competencies required for the present tasks are often identified combining the implementation of the organization’s Competency Framework and an individual assessment process involving line managers in identifying the competency gaps against the job profiles. Several methods can be used at this level such as questionnaires and interviews.

Key points and tips

The following should be kept in mind:

- Training is often only part of the solution to performance problems. Performance problems may be caused by deficiencies in the training process or by other deficiencies in the environment. A distinction should be made while identifying performance problems, symptoms, and their causes which could be a wide combination of:
  - lack of skill or knowledge;
  - lack of opportunity to perform task/s;
  - lack of incentive to perform;
  - lack of motivation; and
  - other obstacles to good performance.

- The needs analysis should ensure that non-training related problems are referred to management for solutions.

Organizational adaptation, anticipation, flexibility highlight the need for the Competency Needs analysis to be a continuous and open process through efficient coordination mechanisms with the HR management first but also with the organization’s senior executive management, the operating services and experts, the line management (being tasked to play a full role in constantly identifying the competencies requirements of their team against their job profiles: roles, tasks and level of proficiency), and the external stakeholders.

It is also critical to promote a forward-thinking structure focused on the future requirements for competencies. The establishment of a R&D unit should be considered to monitor the legal, technological, operational and managerial Customs context as well as its business environment, to review and benchmark the situation in other organizations and to develop research with in-house expertise and through strong relationships with Academia, Research Institutes and partners to anticipate the strategic decisions impacting the organization’s competency needs.

Methodology and Processes: the Training Framework as the Fundamental tool

As an efficient interface between the jobs and the training system, the competency-based approach provides transparent tools and processes as well as measurable evaluation criteria.

The competency-based approach is based on three pivotal pillars.

- First, the identification and integration of the jobs specifics, both at the organizational and operational levels such as the description of the job characteristics and the competencies required to perform it;

- Secondly, the development of teaching and learning material comprising the Training Framework, the Evaluation Framework and all the documents aiming at ensuring training standards and supporting its local implementation (pedagogical guidelines, etc.);

- Thirdly, the implementation, within each training center, of a teaching approach centered on each learner’s capacity to implement the competencies within the frame of his/her job/activity.

Therefore the competency-based training implementation revolves around clear components and tools which must be developed to ensure an effective and efficient Training Strategy.

In order to focus on the jobs’ specifics both at the organizational and operational levels, the Training managers need to refer to key HR documents and processes:

- the organization’s Staff planning (providing them with an understanding of the macro context and its analysis);
- the Job & Competency Framework, including the Competency Dictionary (with the behavioral indicators) and the competencies’ Proficiency levels for each job; and
- a close collaboration with practitioners, both the training target audience and its direct supervisors, to understand the practical performance requirements of the jobs.

Based on this environmental scan and job analysis, the Training managers need to supervise the development of...
transient and accessible Frameworks as the main training engineering tools:

- Training and Development Frameworks (or Training Standards);
- Evaluation Framework (or Personal Learning Plan/Performance Planning);
- Teaching/Pedagogic Guide and Organization Guide, etc.

Whereas the HR tools and processes are the backbone of the Training Strategy, these Frameworks enable to operationalize the policy and determine the practical implementation of learning and development activities in a fair and sustainable way throughout the organization.

Training being key for career progression and motivation, the wide accessibility of the Frameworks will participate to the individual empowerment towards professional development, and to the shift towards an organizational learning culture.

Then it is the responsibility of the Training functions to develop the Strategy to focus on the individual raise of performance and to adopt and establish:

- A learner-centered methodology; and
- Training facilities based on professional environment.

The competency-based Training Strategy tackles the following objectives:

- Prepare individuals to perform highly in his/her job, ensuring qualitative and quantitative acquisition of the present and future competencies needs:
  - Promote onboarding;
  - Ensure on-the-job efficiency;
  - Promote professional mobility;
- Contribute to his/her development, raising his/her autonomy level, empowering individual development and consolidation of professional competencies.

CLiKC! Examples: NZCS Training Framework; CBSA Training Standards for Specific Positions, HMRC online Professional Qualifications Catalogue, Swiss Competence Cardset.

The Training Framework offers a Training scenario translating Competencies into Training components.

The Training Frameworks (or Training Standards) are developed for specific functions or jobs. Based on the job analysis and the required competencies, they list all the training requirements and opportunities offered by the organization in a sequenced way. Within the CBSA, they "define the training necessary for a particular community to effectively perform their functions and guide the potential future course development by identifying training gaps and needs".

A difference can be made between core training which is the basic training necessary to perform required minimum level of competencies for a current core job function, and enhanced training identifying the additional, specialized or advanced training necessary to perform current and/or additional duties.

They consist of a multi-purpose document used differently by the different actors.

For the Training Management, once developed, they lay the foundations of the Training delivery and design plans. For the Strategic Management, they offer a clear description of the activities which needs support for implementation. For the Managers and direct supervisors, they offer guidance to ensure that staff are adequately trained and developed, and that they identify their individual training needs for future
assignments, career mobility, etc. For the employees, the Training Frameworks offer a transparent guide to ensure they benefit from appropriate training to perform functions, as well as to identify and anticipate the training needed to prepare their career development.

Developed for targeted jobs, they identify the competencies required (both general and specific) and the functional linkages between those competencies, as well as their estimated level of complexity. They translate the competencies into their implementation context through the definition of training performance criteria and learning outcomes.

The training components’ sequence of acquisition is then identified based on different phases: from exploration, basic learning, implementation, transfer, to enrichment.

The Training Frameworks identify training scenarios which must be designed based on 3 principles:

- **Relevant** (to the job’s characteristics and specific requirements): The scenario must take into account the workforce needs, the targeted job requirements as well as the training purpose, objectives and direction.

- **Consistent**: It must reach a satisfactory and balanced articulation between the different scenario’s components:

  - between job-specific, general competencies, and their sequence of acquisition.
  - Applicable and achievable: The training scenario needs to ensure that the necessary resources, financial, human and material, can be easily mobilized for its implementation.

Whereas the Training Frameworks are prescriptive and widely accessible throughout the organization, the other Guides and Framework have a more specific use. These documents represent the main assistance tools for the training staff and related managers, as they gather for each targeted job all the necessary information for training set-up, logistics and delivery.

The Teaching Guide ensures that the trainers and the teaching team benefit from an adapted tool to implement the training scenarios.

The learning outcomes are specified, further sequenced and the learning methods selected and blended accordingly.

This ensures organizational consistency within the implementation schemes and yet some flexibility. It contributes to consolidating the impact on performance through consistent pedagogical approaches.
The competency-based approach applied to the Teaching Guide development stresses three elements:

- Actively building competencies through a progressive approach where learning and experimentation alternate;
- Centering the teaching process on the trainee providing him/her the clear perception on the meaning and impact of the competencies; and
- Contextualizing the training by all means.

The Teaching Guide aims at providing a teaching and pedagogical planning framework to identify the responsibilities amongst trainers, instructional designers, and heads of training infrastructures.

The document proposes several elements:

- The Training Framework content;
- The detailed flow chart of the Competencies acquisition sequence;
- The detailed time plan to deliver the training activities;
- The teaching principles and educational plan;

- The learning elements, references, proficiency levels, the learning objectives and outcomes, as well as the teaching and learning activities per competency;
- The evaluation strategies per competency.

The Teaching Guide presents for each training scenario a clear articulation on how the competencies are translated into behavioural performance indicators and activities. For each competency, the following can be presented:
The basic rules to identify the teaching/learning activities are to be relevant to the expected performance, to be feasible (based on the organization's resources and values), to be diverse, and alternating.

The Evaluation Framework defines the evaluation strategy adopted to ensure that the training scenario will meet its performance raising objectives.

Based on the Training Framework elements regarding performance, it gathers:

- The evaluation strategies per competency (on both a learning perspective and for sanction);
- The indicators and evaluation criteria;
- The descriptions of tests and evaluation questionnaires.

The Evaluation Framework promotes the learner's engagement and ownership of the impact the training activities will have on his/her work environment.

It can be associated for a maximized impact with a Personal Learning Plan. Several administrations, like the Canada Border Service Agency or the New Zealand Customs Service, have implemented this tool which enables an open and documented dialogue between each employee and the direct supervisor on his/her individual learning and development objectives. The tool and associated process ensure that the employee's professional and personal development needs meets the organization's performance development requirements. Carefully identified learning and development action plans directly impact on both the career development of the individual and the unit/service/department's performance and the organization's overall performance.

Frequent interviews, focusing on training and career development and following specific guidelines and predetermined format, identify the appropriate developmental opportunities, and, based on the review of the individual targeted performance objectives as well as his/her career aspirations, the planning and prioritization of the actions to be taken. Thanks to the Job and Competency Frameworks and the Training Frameworks, the employee and supervisor can identify easily the training or development opportunities which are job-related (based on the current job description and performance objectives), those which are linked to the job development (mobility within a job family/stream), and those enabling to prepare a career development plan (on a longer-term basis with both horizontal and vertical career aspirations).

The Organization Guide develops the final practical implementation plan for each training scenario.

The Organization Guide translates the training scenarios, based on the Teaching Guides, and articulates the teaching organization and the physical and material organization requirements.

The Organization Guide identifies the human resources and details the trainers and support staff needs. It gathers relevant data for the staff selection, training, and development, as well as the tasks allocations between the personnel. The Organization Guide contributes to identify the competency profiles and the number of the trainers necessary for the training scenario.

The physical and material resources needs are also determined by the Organization Guide. For the material resources, it is suggested to assess systematically the needs attached to each competency, to identify for each competency the list of necessary tools (even if redundant between the competencies), once the detailed list completed to add any additional elements which would be an enabler or of cross-usage, and to identify the number necessary for the implementation of the related Teaching Guide. The physical plan is identified listing all the elements of the necessary plant(s) with their occupancy rates.

It is essential that the Training management considers the best possible use of the teaching and physical resources as several training scenarios will be implemented at the same time, and hence ensures training cost-effectiveness, optimal usage of existing resources, and continuous support from the organization's management.

A competency-based Training Engineering requires developing these different tools around the Training Framework, but in a constant process of adaptation, revision of the scenarios in a view to optimize the adopted methods and to keep the Training Strategy pro-active and efficient.
The competency-based approach applied to Training revolves around the jobs characteristics, the performance requirements, both organizational and individual, and is highly interconnected with the HR policy.

Several elements are to be kept in mind at every steps of the Training Strategy establishment:

- The general context (as identified in the staff planning);
- Each job’s specific situation (analyzing the work situation);
- The required competencies’ formulation taking into account the context of each job (in relation with the Job and Competency Framework);
- The establishment of teaching facilities based on the professional environment’s example;
- The identification of the performance goals, and the methods to evaluate impact.

In order to implement such an approach, a Customs Administration willing to review, adjust and modernize its Training Strategy is required to set some implementation steps:

1. Develop Training and Evaluation Frameworks based on the competencies necessary to perform the targeted jobs’ tasks.
2. Conceive and disseminate Teaching Guides and Organization Guides
3. Allocate facilities, premises and equipment, enabling to create a teaching environment similar to the workplace or to have a direct access to the professional environment.
4. Set up various training and development actions for the training centers’ staff
5. Set strong collaboration mechanisms with the workplace and professionals (jobs analysis involving management and subordinates, internships, apprenticeship, job-study alternation, etc.)

The following elements detail the practical methodology to implement these steps. The models and practices presented can be used to develop the different processes, Frameworks and Guides.

3. CREATING TRAINING: LEARNING DESIGN AND DYNAMIC TRAINING RESOURCES

This part is structured around three critical elements:

- The necessity of adapting the Training Centre’s organizational model to the administration’s strategic needs and training policy;
- The elements tied to resources, both human, physical and material such as building, equipment and services; and
- The description of the pedagogical process’s different steps related to the conception, design and delivery of training activities.

These elements aim at strengthening the Customs Administrations with various methods, models and practices in order to operationalize the Training Strategy, equip the organization with the necessary resources to develop the Training Frameworks, Evaluations Framework, Teaching Guide and Organization Guide.

3.1. Training Organizational Models

Whereas the strategic status of Training requires strong political will and visibility in the decision-making process, a wide range of practices can be identified regarding the hierarchical position and level of autonomy of the different Training Departments/Services/Directorates throughout the WCO Membership, and their level of integration within the Human Resources Management policy.

Depending of the overall enterprise architecture, values and history of the organization, some Training teams and institutions operate under the oversight of their organization’s HR department, others benefit from an autonomous status directly reporting to the highest management level.

Independently from the organizational chart models, the competency-based approach requires an integrated scheme, and strong coordination between HR and Training as the HR processes provide Training with foundations’ tools.

The collected practices amongst the Customs Community present a wide scope of different organizational chart models (Eastern Africa Community, Japan, etc.).

Some other practices show that a same department can combine Training and Staff Development Management.

When considering more closely the different practices touching upon the Training departments’ internal organizational charts, various conclusions can be drawn.

Amongst the shared Members’ practices and even if each organizational chart is specific to a given administration, some common elements have been identified as commonly implemented to provide the Training structure with the adapted organizational framework in order to efficiently meet its objectives.

Three core components are widely identified as the traditional elements to ensure the national training structures comply with their mandate. They are very variously developed and articulated but gather the main responsibilities of a training structure.
The management, as a plural body ensuring the organizational strategic alignment, planning, coordination and supervision, and reporting on the Training resources and activities;

The administration, mainly dealing with personal and administrative issues, budget, maintenance of facility etc.;

The department in charge of Training Development and Delivery responsible for the operational planning of all training activities, managing trainers, mentors, and course developers, developing and maintaining the curricula, and developmental programmes, etc.; and

Research and Development Department, dealing with strategic needs analysis and planning, evaluation and assessment of training performance, research and promotion of innovation in training to continuously foster the organizational compliance, development of partnerships with Academia, etc.

In some administrations like the Korea Customs Service, the Canine Training Section completes the chart.

It is to be noted that some distinctive trends and patterns have also contributed to modify some of the Customs Administrations Training structures organizational models in the last few years. The raise of innovative and collaborative learning methods, the increased analytical and strategic capabilities of the Customs workforce represent a progressive cultural shift which has an impact with:

The enhanced use of communication and social media to promote corporate knowledge sharing; and

The increased need for the staff to have access to a robust set of data and analysis on their professional environment based on a state-of-the-art research activity.

The Customs Administration of the Netherlands has adopted a widely reviewed approach by integrating under a Centre for Professional Development and Communication (C/PDC) the Human Resource Development portfolio, Training and Developmental programs, internal and external Communication and Research.

In some administrations like the Korea Customs Service, the Canine Training Section completes the chart.

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The enhanced use of communication and social media to promote corporate knowledge sharing; and

The increased need for the staff to have access to a robust set of data and analysis on their professional environment based on a state-of-the-art research activity.

3.2. Training Physical and Material Resources

The elements identified here are to be addressed in order to enable efficient Organization Guides development and pedagogical engineering. The strategic alignment of the equipment and infrastructures with the operating models, the required competencies and the organization values is essential. Based on the specificities of the Customs Profession, the good practices are showing diverse situations but consistency in terms of the importance given to multi-modal pedagogical environments simulating the practical and operational implementation within the professional context as well as the development of problem-solving and creative thinking competencies.

Training Structures

There is a wide spectrum of situations in Customs administrations regarding training structures. Some have one central National Training Centre, which operates and coordinates all training activities gathering in-house trainers, researchers and other officers. Some have small-size temporary based structures and part-time trainers which bring flexibility and reduce costs. It should be noted that an administration might have one or several Training Centres depending on the organization’s policy, resources and specifications.
The situation is diverse among the Customs Community: some administrations are considering building a training centre, others do not have any permanent training structure and either share or rent physical locations (often with other law enforcement agencies), or even use operations facilities. Others do have a tradition of having a Customs School, Institute or Academy, with different levels of autonomy. It is nevertheless vital that the adopted solution is and remains fully compliant with the strategic needs of the administration.

The Canada Border Services Agency has fully redesigned its College in order to comply with the new border policy arming its officers.

### Decentralization and Specialization

Some training facilities might be specialized in a specific kind of training, based on the target audience’s level (e.g. induction courses/initial training, Management Centre) or specialization (enforcement training, etc.). Some administrations might prefer to operate with regional training centres, which offer training opportunities by regions or to the whole territory, and play a different role to that of the National Centre.

### Pros and Cons for Training Offices’ Physical Location

<table>
<thead>
<tr>
<th>Centralized National Training Centre</th>
<th>Regional Training Offices</th>
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<tbody>
<tr>
<td><strong>Pros</strong></td>
<td></td>
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<tr>
<td>Establish a focal point for training (ease of activities and resources coordination, visibility)</td>
<td>There is no need of big capital investment; and</td>
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<tr>
<td>Allow higher quality of equipment;</td>
<td>Minimize work interruption</td>
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<tr>
<td>Greatly enhance harmonization among Customs officials;</td>
<td>Training reactivity to local needs (specific needs identified by local management, refreshing knowledge or introducing new procedures, legislation, etc)</td>
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<tr>
<td>Carry-out quality control conveniently;</td>
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<tr>
<td>Achieve standardization of training;</td>
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<tr>
<td>Monitor training easily and cheaply; and</td>
<td></td>
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<tr>
<td>Enhance the corporate identity and esprit de corps.</td>
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<table>
<thead>
<tr>
<th>Cons</th>
<th></th>
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<tbody>
<tr>
<td>Requires heavy capital investment;</td>
<td>More coordination cost;</td>
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<tr>
<td>Operating costs can also be high due to the movement of both trainees and trainers; and</td>
<td>Maintaining same standards in training centres may be difficult; and</td>
</tr>
<tr>
<td>The numbers to be trained at any one time may be too many and overwhelm the centre.</td>
<td>Lack of harmonizing of the officials in the training program.</td>
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</table>

Either centralized or decentralized training schemes (either on-the-job, mobile, virtual, regional, national, or international), the different options demonstrate some important training strategy choices impacting the organization’s culture, cost-effectiveness and responsiveness towards the competencies needs.

Based on the Asia-Pacific Compendium on Training and other collected practices, a table of pros and cons related to the Training offices’ physical location (centralization vs. regionalization) can be designed (see hereabove).

### Training Centre Implementation Process

The following section focuses on the different elements needed to set up a Training Centre. Each element might, however, be used when considering the review and upgrade of an existing infrastructure.

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:
### Step 1: 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 then should 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.

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### Step 2: 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, 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.

### Step 3: 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:

- **Types of Training space:**

| Flexible and fully-connected, multimedia classrooms, lecture rooms, amphitheatre | Special-purpose rooms (trainers’ meeting room, relaxation/study/syndicate rooms, prayer rooms, etc.) | Laboratories |
| Simulated work environments (search bays, etc.) | Learning resources centre (library, research) | Auditorium/conference service |
| Indoor shooting range/sport facilities (if applicable) | 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:** storages, 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.
4. Customs Competency-Based Training Guidelines

Step 4:
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:

<table>
<thead>
<tr>
<th>Considerations internal to the administration</th>
<th>Considerations external to the administration</th>
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</thead>
<tbody>
<tr>
<td>Sole occupancy or shared facilities</td>
<td>Availability and condition of utilities</td>
</tr>
<tr>
<td>Growth potential</td>
<td>Zoning regulations</td>
</tr>
<tr>
<td>New construction or renovation of existing structures</td>
<td>Community acceptance</td>
</tr>
<tr>
<td>Distressed real estate</td>
<td>Proximity to other Important services</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Considerations internal to the administration</th>
<th>Considerations external to the administration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recreational facilities</td>
<td>Availability and condition of utilities</td>
</tr>
<tr>
<td>Availability of support staff, student density and transportation</td>
<td>Zoning regulations</td>
</tr>
<tr>
<td>Proximity to hotels</td>
<td>Community acceptance</td>
</tr>
<tr>
<td>Environment conducive to learning (surroundings, noise, etc.)</td>
<td>Proximity to other Important services</td>
</tr>
</tbody>
</table>

Step 5:
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, group work, etc.

Step 6:
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:

• Operational relevance
• Flexibility and adaptability
• Activity space layout
• Determination of space requirements and room sizes.

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

Step 7:
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.

Step 8:
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.
The Korea Customs Service has been implementing a new 3-stage Training Strategy which redefines its Customs Border Control Training Centre (CBCTC) as an Experiment-Based Training hub which will:

- Improve organizational productivity;
- Enhance field adaptability of officials;
- Enable first-hand experience of customs operation by clients;
- Utilize for training of foreign customs officials as WCO RTC; and
- Contribute to customs modernization of developing countries.

The establishment of a Strategic Customs Training Center enables the reproduction of scenes of arrival/departure, in/export clearance, etc., owed to the utilization of experiential learning and simulations.

The plans below show the specific arrangements foreseen for the new CBCTC simulation complex.
3.3. Develop Quality Training Programmes

Designing a training programme or scenario involves articulating the most efficient sequence to develop the audience’s competence and to deliver the programme and then developing all the training materials necessary to conduct the training.

The process is set out in the steps described in this section1.

In this section, a course or programme does not relate to one teaching method (such as a classroom session), but to a sequence of learning actions designed to meet the defined teaching objectives.

<table>
<thead>
<tr>
<th>Establishment of the course contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competency Needs Analysis - Training Framework</td>
</tr>
<tr>
<td>Course structure</td>
</tr>
<tr>
<td>Course outline</td>
</tr>
<tr>
<td>Approval of the outline</td>
</tr>
<tr>
<td>Review of available training material</td>
</tr>
<tr>
<td>Development and validation of the training package</td>
</tr>
<tr>
<td>Trainers' handbook</td>
</tr>
<tr>
<td>Students' handbook</td>
</tr>
<tr>
<td>Training aids</td>
</tr>
<tr>
<td>Handouts</td>
</tr>
<tr>
<td>Tests</td>
</tr>
</tbody>
</table>

3.3.1. Development of Training Materials

Development Process: Step-by-Step

Step 1 - Review of the Competency Needs Analysis Report

The Competency 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;
- Competencies required;
- Training objectives; and
- Recommendations on the required nature and scope of the training.

All these elements are used by the Training Framework, and hence 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. That is, the sequence being the 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» within the Training Framework. 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, equipments or environmental conditions.

Below are various alternatives and possible structures, with examples of the type of courses:

<table>
<thead>
<tr>
<th>Alternative</th>
<th>Examples</th>
</tr>
</thead>
</table>
| Hardware | a. Firearms handling  
b. Operating surveillance equipment  
c. Radio communications |
| Tasks | a. Conducting baggage search  
b. Completion of seizure report  
c. Processing of vessel cargo  
d. Taking of fingerprints |
| Functions | a. Logistics and supply  
b. Administration  
c. Research and development |
| Environment | a. Seaport manifest office  
b. Airport arrivals area  
c. Land border checkpoint |
| Proficiency levels | a. Basic training  
b. Advanced training |
| Knowledge areas | a. Import/export law  
b. Counter-drug smuggling  
c. Marine operations |
| Duty areas | a. International airport  
b. International seaport  
c. International land border |
| Systems | a. Marine support operation  
b. Air support operation  
c. Marine office |

---

1 Reference to the WCO Standard Operational Procedures on Training development and WCO Training packages templates (available on request).
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.

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 working 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’ Handbooks

The trainers’ handbook provides a mechanism through 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.

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 directives for the administration of the assessment and instructions for 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.

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. Some templates regarding the development of course materials have been developed by the WCO Secretariat and are available upon request.

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 analyzing 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. The time required to develop courses of a given type and length could be estimated on a ratio which could vary from 3 to 5 hours of development for 1 hour of delivery.

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1 Funded by the Swedish International Development Agency under the WCO-SIDA Columbus Phase II Sub-Saharan Africa.
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 courses 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 the 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 training needs analysis. To do this effectively, they must suspend judgment until they have sufficient data to form the basis for valid conclusions. They must be analytically-oriented and tolerant of the 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.

New learning methods and automated tools may enable certain organizations to assign subject-matter experts to the course development.

Finland Customs has adopted a flatter training production scheme owed to its E-Learning programme which allows senior experts to develop e-courses directly on the organization’s Learning Management System (hosted on its intranet platform), and be responsible to monitor and tutor trainees later in the training process.

This model ensures more reactivity to training development (less resources, less time) and more relevance (direct link between the operational reality and the training scenarios).

Controlling 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.
• The tendency to skip over prescribed procedures in development.
• Replacing conclusions based on valid data with personal biases and opinions, even when data are available.

3.3.2. Blending Innovative and Social 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.

The teaching techniques and methods must be blended throughout the training sequence, in the 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.
4. Customs Competency-Based Training Guidelines

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, group work, case studies, role-plays, study trips, internships, simulation and experimental learning sessions, physical fitness and confidence building activities, etc.

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 and B-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 the trainees in the process. E-learning offers training managers and courses developers different types of possibilities. Customized use of this complementary training method by training management will create opportunities to enhance on-the-job training strategy. It will also achieve tangible results, allowing uniform training to extend throughout the administration, independently of the 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 as it is easily updated and upgraded. It makes the e-learning format very suitable for delivering content which, by its nature, is subject to change, and it allows updates to reach the trainees more quickly, with less cost for the organization.

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. 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 the e-learning modules which can be arranged in a modular and adapted way, employees can put together a mini training course on the subject(s) which interest(s) 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 the 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 everything 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, which is promoted widely by the cultural shift toward learning organization.

Training offer and learning methods are being more service-oriented in the commercial sense of the term, where flexibility and availability are provided by trainers (e-learning tutorship and hotline approach) vis-à-vis trainees who are becoming increasingly demanding and responsible of defining their learning needs. 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 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 benefitting from a training platform to refresh learning or to make the transition between two levels of training programme. The trainer can also use an e-learning module to give a demonstration during the teaching session.

Examples:

<table>
<thead>
<tr>
<th>Timeframe</th>
<th>1st example (e-learning upstream)</th>
<th>2nd example (e-learning downstream)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Before Classroom Session</strong></td>
<td>Distance training for the trainees’ group, assisted by a tutor (prior the training session).</td>
<td></td>
</tr>
</tbody>
</table>
| **During Classroom Session** | Meeting in a classroom session with trainer:  
  • Debriefing and perfect the e-learning (Q/A based on the group’s e-learning achievements).  
  • Practical work revolving around case studies/simulation: 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). |                                                                                                      |

1 See Annex 12: Best practice from Member Implementing an e-learning platform.
The Finnish Customs Administration has systematically integrated e-learning and blended learning methods into its Training delivery models for all the training targeted to Customs officers with operative tasks who have not completed the basic vocational training earlier.

Each course begins with a period of online guided independent studies, followed by a period of contact teaching. The contact teaching period focuses on the main themes of the online learning material, reviewing the key topics, and goes deeper into the things already learned. Depending on the course, the contact teaching period is followed either by an on-the-job learning period or by another period of online guided independent studies. Except for the course “Classification of goods”, each course ends with an on-the-job learning period, the aim of which is that the students deepen and practice their theoretical knowledge and skills in practical work.

The learning contents of the courses are based on what the students are to know after completing the course in question, e.g. the things taught and learned during the lessons are derived from the aims of the contact teaching periods. The courses are created in such way that together they form a coherent and logical learning entity.

The South African Revenue Service (SARS) has implemented a course aimed at developing the competencies of its operational managers. This course made of several modules conducted over one year, uses various training methods and classroom training only represents 22% of the overall course duration. The other methods involved include e-learning, on-the-job training and tutoring.

<table>
<thead>
<tr>
<th>Programme</th>
<th>Delivery Method</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tax</td>
<td>Classroom / Distance Learning</td>
<td>49.5 Days / 47 Days</td>
</tr>
<tr>
<td>Customs</td>
<td>Classroom / Distance Learning</td>
<td>34 Days / 100 Days</td>
</tr>
<tr>
<td>Behavioural</td>
<td>Classroom</td>
<td>15 Days</td>
</tr>
<tr>
<td>OMS – Ops Technical</td>
<td>Classroom</td>
<td>9 Days</td>
</tr>
<tr>
<td>Systems – Tax</td>
<td>Classroom</td>
<td>7 Days</td>
</tr>
<tr>
<td>Workplace Integration – Taxes</td>
<td>On the job</td>
<td>70 Days</td>
</tr>
<tr>
<td>Workplace Integration – Customs</td>
<td>On the job</td>
<td>60 Days</td>
</tr>
</tbody>
</table>
Social Learning and other Learning Approaches

Mentoring - Twinning - Coaching

These three training methods first appeared in Anglo-Saxon universities and high-school. 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 learners discover their own true self and experience their own attempts, failures and successes and, by so doing, to develop their own natural strengths and potential.

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

<table>
<thead>
<tr>
<th>Type of relation</th>
<th>Profile of the “learning partner”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mentoring</td>
<td>The mentor has more professional experience than the learner in the field that he is to “teach”.</td>
</tr>
<tr>
<td>Coaching</td>
<td>The coach does not necessarily have experience of the learner’s professional field, but will help him/her to develop in his/her job.</td>
</tr>
<tr>
<td>Twinning</td>
<td>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.</td>
</tr>
</tbody>
</table>

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;
- Focusses on utilizing online dialogue and peer learning to enrich learning within the online environment; and
- Focusses 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 and Social Learning

The concept of participative learning is not new and is often used 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. However, integration of new technologies in managing the learning process has enabled to widely foster the impact of collaboration applied to learning within communities of professionals.

The methods often traditionally 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 and skills in greater depth.

Among these tools, some could be listed, without being exhaustive:

- 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 the 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.
4. Customs Competency-Based Training Guidelines

The Social Learning aims at creating communities of practice anchored by discussions, file sharing, and wiki activities. It enables the organizations to drive “wisdom of crowds” strategies e.g. through ratings and reviews on process, procedures for example. The organizations shall design learning and knowledge portals that combine formal courses, use-generated content, and communication channels to offer their workforce a single focal point for learning. New processes can enhance collaboration and further connection with partners, customers, and alumni through social networking and integrated virtual collaboration/communication tools such as web conferencing, webinars, etc.

More organizations actively promote innovative and participative thinking amongst their staff in their delivery programmes, systematic analytical work and down-to-top reporting.

All the Finnish Customs’ training programmes for operational staff require the trainee to develop a final project. The aim of the final project is to support students in their learning, to develop their own work and the work processes of their work communities as well as to develop their written communication skills. An important aim is to encourage innovation and discussion on how to develop work throughout Finnish Customs: to take a stand on the development suggestions that have been made and to make action plans for possible further measures.

At the concluding session, each student gives a short account of his or her own final project, its aims, points of departure and any suggestions for further measures. During the session, the students and the representatives of different functions in the Customs district discuss topics that have been raised.

The Scheme hereabove shows how blending the different training formats and methods can effectively participate in establishing a continuous learning environment.

3.4. Evaluate and Assess Training

Investment in training typically aims to develop required know-how, increase skill levels and assure compliance. However far too many training initiatives fail to effectively deliver for two main reasons:

1. No measurement to show the recipient actually learnt and retained the new information;
2. No measurement or correlation between the training delivered and sustained performance improvement at an individual, team or enterprise level.

Too often Training departments or centres are so busy delivering against the immediate and urgent objectives to assure ‘compliance’ or deliver on-boarding training, that they fail to consider their contribution to performance improvement or in supporting the longer term business strategy that may require a labour pool of different skills and capabilities. Therefore it is essential that training departments incorporate a systematic and continuous ‘assessment methodology’ in their strategy and into each of their initiatives.

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.
3.4.1. Core Components of the Training Evaluation

What is evaluation?

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

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; and
- The trainee.

How to evaluate?

Before embarking upon the implementation of a systematic and continuous learning evaluation methodology, a few elements should be considered:

- Securing commitment from the relevant stakeholders is fundamental. The organization has to collectively agree and have a firm resolve in implementing an adapted evaluation scheme and plan based on its specific needs;
- Being value-aware. Shifting from a cost-aware to a value-aware planning will ensure identification of the learning and training organizational qualitative gains within Customs administrations. All the value generated by Customs learning all the forms of that value, not just economic or financial– should be identified against the organization’s mission and the government’s agenda. It will then enable deciding whether and how to measure it: from a situational view, the pertinent evaluation techniques could be chosen on the basis of the Customs operating and strategic needs.

3.4.2. Training Effectiveness and Performance Assessment

One of the most popular evaluation models is the Kirkpatrick (see the graph hereabove) evaluation scheme which consists of four levels.\(^1\)

The Critical Nature of the Level 3: How to Measure Training Effectiveness?

If training participants don’t apply what they learned on the job, manifesting in sustained critical behaviours being performed, targeted outcomes will not be realised and strategic goals will not be achieved. Customs work actually gets done through the execution of the learnings, policies, processes and procedures.

In a belief that this level is difficult and/or costly to implement, a lack of Level 3 evaluation execution largely leaves a number of Customs administrations implementing smile sheets (Level 1), and pre- and post-tests (Level 2), without really touching upon Levels 3 and 4.

---

\(^1\) Annex 13: Description of the four levels of the Kirkpatrick’s evaluation model (including examples of evaluation tools and methods, and relevance and practicability).
This might result from a dichotomy of beliefs of the ultimate purpose of training and learning: the difference between believing it is to deliver ‘effective training’ (training giving the participants the intended knowledge, skills and/or attitudes to be able to perform the critical behaviours on the job), rather than believing to create and demonstrate ‘training effectiveness’ (training and subsequent reinforcement / monitoring that together deliver the desired organizational results).

An expanded working definition of Level 3 can provide the Customs National Training Centres with the missing link in the chain of evidence, showing the value of training as well as increasing the contribution of training to the bottom line.

A straight-forward step-by-step plan for implementing Level 3 in the Customs training initiatives could be defined as followed:

**Step 1: Identify the Critical Behaviours**

The first step is to accurately determine which behaviours are the ones that will most likely lead to the achievement of the targeted Level 4 outcomes. This can be done by talking to the managers and supervisors of those who will be trained.

Example: if the desired outcome is a 10% increase in customers’ satisfaction, Customs managers could identify the following critical behaviours:

• One same account manager per AEO company is responsive for any concerns until it is expressed that all concerns have been resolved satisfactorily;

• A supervisor on duty is immediately accessible to receive any passengers’ complaint;

• The suggestions posted in the ideas box to improve the service available to all Customers are acknowledged within two business days; and

• Customs officers greet all passengers when controlling the travel documents.

**Step 2: Set Up Required Drivers**

Setting up Level 3 required drivers (processes and systems that monitor, reinforce, encourage or reward performance of critical behaviours on the job) is essential to provide both support and accountability for training recipients to perform the critical behaviours on the job.

Example:

• Drivers that provide support: job aids, helpdesks coaching, mentoring, incentives and recognition, refresher training;

• Drivers that increase accountability: monitoring action plans, tracking individual performance indicators, cascade training/teach backs to colleagues.

Personal responsibility and internal motivation are expected to be greatly promoted throughout this process.

**Step 3: Teach the Critical Behaviours in Training**

Training must be conducted with a particular focus on the end goal which is to equip participants to perform the critical behaviours on the job so the highest possible level of organizational results is achieved.

Skills practice and simulations must be included to make sure they not only know what they are supposed to do, but have had some practice in actually doing it.

**Step 4: Monitor and Measure Performance of Critical Behaviours on the Job**

Monitoring and measuring Level 3 behaviour does not need to be difficult or expensive. A variety of methods are available to fit any organization and budget:

• Observing training participants;

• Surveying participants, supervisors, direct reports, peers and/or customers;

• Reviewing actual work output; and

• Conducting interviews and focus groups.

**Step 5: Make Adjustments Based on the Data**

Continually monitoring and measuring Level 3 behaviours and drivers will allow you to make tactical adjustments to your plan to ensure that on-the-job application is occurring.

Monitoring on-the-job application will also give you needed data to show if the training was effective. If training participants can show how to perform a critical behaviour but they aren’t performing it on the job, the problem is not related to the training; it might be linked to the work environment.

The Canada Border Services Agency has articulated its reviewed Officer Induction Training Program around an articulated Performance Measurement approach.

The performance evaluation of its Induction training continuum program is based on industry standards and measured through the quality and relevancy of its component. It will be monitored with a focus:

1- Performance of the candidates during:
- Recruitment process,
- Residential component,
- Probation period.

2- Flexibility and adaptability of the program to adjust in a timely fashion to the evolving roles and responsibilities of the CBSA Officer.

3- Effectiveness of the delivery methodology and its alignment to industry standards.
Implementing thorough Evaluation Methods: Reaching Performance Assessment

New evaluation methods are being increasingly used by public policy, including Customs, due to their efficiency and cost-effectiveness such as randomized controlled trials (RCTs). Progressively introduced to test the effectiveness of public policy interventions, this method offers wide assets to test effectiveness of training interventions – whether online, in the classroom, virtual or otherwise.

The training recipients increasingly request efficient training offer centered on their needs and learning experience to raise their performance; the training programmes and structures clients (the organization’s management, government, donors) demand rigorous and demonstrable proof of the effectiveness of training. Learning and development training structures must now provide some measure of demonstrable performance improvement or return on investment which is challenging.

RCTs allow you to compare the effectiveness of a new intervention against what would have happened if no training had been done on a random basis. It is both cost and resource-efficient, as long as a systematic approach is adopted regarding the evaluation contextualization, participants’ profiling and criteria setting.

The Korea Customs Service has been implementing RCTs on selected training programmes among selected trainees. It has enabled this administration’s Training Centre (CBCTC) to implement a result-based management approach to its training policy and to assess the trained staff’s behavioral change.

4. NATIONAL CUSTOMS CURRICULA

One of the crucial elements for National Training Centres is to design efficient national curricula for career-long training. National curricula showcase Customs competency-based training approaches and core elements.

There are different approaches to design Customs National Training programmes and curricula as for definition, methodology, trainees’ profile and duration of courses.

For example, if comparing the trainees’ profiles for the induction training programmes of three countries:

- China Customs has established a Customs College where high school graduates have to study in the college for three years to obtain a University degree.
- Indian Customs set a two-year course for University graduates, which includes On the Job Training.
- Japan Customs provides six months training for high school graduates and three months training for University graduates.

4.1. Career-Long Training Components

Based on the collected practices¹, Customs Training programs components can be identified as followed.

To enhance Job-related Competencies and implement career-long learning approach, Customs Administrations put in to practice training programs which create more efficient and dynamic training scenarios on the basis of the career stage along the fundamental training road-mapping principles applied to their career development: exploration, basic learning, implementation, transfer, to enrichment.

Relations between Training and Career Development

Induction Training Programme

The main purpose of these courses is to introduce newly recruited officers to basic Customs procedures who will be assigned to work for the first time in the Customs Administrations. Core course components usually include:

- Structures, roles, values, ethics and functions of the administration; and
- Basic information about Customs Laws, procedures and practices, international agreements and conventions and the environment of Customs etc.

Although there are divergences in terms of length and content depth, it appears from the collected practices that induction programmes are mostly aiming to equip new recruits with a minimum set of competencies in order to take responsibility for completion of tasks and to adapt their own behaviours to circumstances:

• Knowledge of the essential principles of the Customs environment and regulations (facts, principles, processes and general concepts, in Customs processes and procedures and regimes) and IT systems;

• A range of cognitive and practical skills required to accomplish tasks and solve problems by selecting and applying basic methods, tools and information;

• Perform Customs duties with a certain degree of autonomy

Some individuals recruited based on specific competencies required, at the technical or management level, might not follow the same training programme but should benefit from an adapted induction.

The Induction Training Programme is often followed by a probation or trial period in-the-field.

A consistent and standardized approach to the trial period should be provided by supporting recruits throughout their initial on-the-job work and bridging the skills and competencies from the residential phase to real-life application and job performance.

In the Canada Border Services Agency, recruits are on assignment to regions until the developmental program (linked to probation period) is complete.

The trial period is designed:

• to provide consistent and continual supervision and feedback paired with specific training activities and formal assessments at regular intervals; and

• based on revised job performance standards for officers.

Specialized and Expert Training

These courses target Customs officers in need to acquire or enhance new competencies to sustain the organization performance and their own performance. They are part of the life-long learning process and can be delivered at different moment of the Customs officer’s career: at the appointment to a new position, to face change in procedures, legislation, etc., upon request or on a compulsory basis, etc.

Several distinctions can be made depending on the subject matter. Distinctions by technical area, function or operational mode and distinction of level of expertise can be made: basic level, intermediate level, advanced level. Refresher courses to reinforce the induction training or previous specialized training fall also under this category.

The specialized or professional training programmes are mostly aimed at equipping the officers to perform tasks associated with a specific function or operational mode. This could include:

• Comprehensive, specialized, factual and theoretical knowledge (for lower level) to an Expert knowledge (for advanced level) about Customs processes, procedures and regimes and an awareness of the boundaries of that knowledge;

• Comprehensive range of cognitive and practical skills required to develop creative solutions to abstract problems, to advanced skills, demonstrating mastery and innovation, required to solve complex and unpredictable problems in a specialized field of work or study and mentoring, coaching and training skills; and

• The capacities to undertake complex case work, assess the wider implications of case work, interact with stakeholders at the highest level, and perform systems audits.

Some courses being very specific and non-Customs related can be conducted by outsourced lecturers like languages, accounting, auditing, etc.

Leadership and Management Development Training

Leadership and management development mainly aims to achieve the following objectives:

• Contribute to creating organizations that can be more self-sufficient in their development, that can better anticipate and respond effectively to changes in the environment,
and that can better meet the organizational objectives set by their respective government;

- Identify and develop leaders that can and that can set a vision for the future and guide organizations through change;

- Develop managers that understand the Customs environment, its challenges and that can lead the development of solutions and their implementation;

- Develop managers that take responsibility for their area, that are accountable for the results, that understand how they contribute to the organizational vision, and that are proactive in achieving their assigned objectives;

- Develop managers that take responsibility for the people under their supervision and that are able to coach and develop them to increase their performance, satisfaction, and professionalism;

- Provide opportunities for managers to build networks and relationships internally, and acquire the skills to establish other partnerships with stakeholders.

In order to strengthen the organizational leadership and management capacity, an administration must take a multi-tier approach that has a sustained and holistic impact on its managers. Such an approach should include:

**Top Executive Development Programmes**

Such programmes should have a particular focus on developing the leadership capacity of top executives. These programmes can include a combination of:

- Formal structured sessions where executives are guided by professional coaches to strengthen a particular aspect of leadership based on a previous assessment to identify their weaknesses. A particular focus should also be placed on developing self-awareness;

- Periodic career placements (e.g. every 24 months) to occupy various positions that will allow executives to gain new experiences and develop their leadership capacity;

- Opportunities to exchange with other Customs leaders on broad Customs strategic issues, that will contribute to the visioning at the executive level; and

- Assigned mentor that can coach them and provide personal and professional advice to address specific challenges faced by the executive.

**Senior and Middle-Manager Development**

This could include:

- Formal training workshops where managers are exposed to modern management practices and during which they discover new tools to improve their own leadership capacity. A particular focus should also be placed on developing self-awareness;

- Formal training workshops to explain the managers’ responsibility in terms of people management and development, and during which managers acquire new skills to do so;

- Provision of coaching services to strengthen a particular aspect of leadership based on an assessment that has identified weaknesses;

- Lateral placement policies that allow managers to take on different responsibilities if they so wish; and

- Assigned coach or mentor for managers showing great promise to become senior managers or executives.
4. Customs Competency-Based Training Guidelines

Development of High-Potential Individuals

The following approach could be followed:

• Administration must first have mechanisms in place to identify high-potential individuals within their ranks;

• Once identified, these individuals should be given training and placement opportunities to develop their management skills and leadership capacity; and

• Administrations can also identify individuals with particular talent to take part in so-called “fast track” programmes, where participants are given challenging opportunities to learn through placement in progressively senior positions and management functions.

Front-Line Supervisor Training

This training should be part of the normal routine of the administrations to provide front-line supervisors with basic management and supervision techniques. Issues covered should include: time management, how to run meetings, delegation, understanding the role of the supervisor, and other issues specific to the administration regarding HR and administrative policies.

Train the Trainers Training

The improvement of trainers’ competence is crucial for National Training Centres to ensure quality Customs training activities and effective and uniform implementation of the National Training Programme. There is a need to develop trainer standards, motivation and trainer development programs to:

• Improve teaching and design abilities;
• Implement innovative teaching methods and tools; and
• Share modern training theory and training innovation etc.

International Training Programs

International Training Programs mostly based on technical cooperation programs for the improvement of Customs administration and unification of a global customs system.

Whereas various international organizations, like the WCO and its network of Regional Training Centres, and regional communities are providing international courses, several Customs Administrations are opening their National Training Centres to Customs officers of other administrations: Burkina Faso, China, France, Japan, Malaysia, Morocco, etc. without the list being exhaustive.

CONCLUSION

Future directions and recommendations to overcome some of the challenges and gaps identified have been drawn by some Administrations or can be taken from the experience of other organizations or the private sector.

Given the ever-evolving Customs environment, it appears essential that National training continuously foster innovation to raise training performance and find cost-effective solutions. Some approaches, tools and methods can be highlighted at both the policy and the operational levels.

Policy Level

• Strengthening international cooperation with other administrations’ National Training Centres, Regional Training Centres and the WCO;

• Enhancing cooperation with other border agencies in a view to enhance coordinated border management and the establishment of a common language and understanding;

• Increasing exchange and cooperation with Universities and other learning institutes, as promoted by the WCO PICARD platform (the strategic relationships between Universities and Customs being emphasized at both national and international levels for Customs Education and Research).

• Promoting the Accreditation and Academic Recognition of Customs Professional Training

1 Accreditation of Training can be described as the mechanism which ensures that the overall quality of training is maintained at a high standard. It provides a form of guarantee to all users of an accredited training provider that the institution complies with set standards for learning and assessment. Accreditation notifies the general public that an institution or training programme meets the criteria set by a recognized local/regional/national/ international accrediting agency. It also consists of ongoing evaluation and program improvement.
Some Customs Administrations have already started to think how to integrate their ongoing Training Activities and Programmes to the Training recognized by the National Board of Education or any similar institution. It enables to raise the profile of their administrations by capitalizing on the portability and mobility of talents.

**Operational level**

- Enhancing the Customs training quality standards by sustaining training for trainers programmes and developing partnerships with external lecturers and professional trainers;

- Keeping on developing further simulation training, training on the operations field in a secured environment, and thinking the learning process as a continuous sequence throughout the career;

- Focusing training on the problem-solving competence for maximizing the operational capacities and agility of the workforce;

- Expanding use of innovative educational technologies and extending the learning experience to a continuous process: expanding the use of e-learning, adopting m-learning (using mobile devices) to closely accompany the Customs officers in the field; and

- Further integrating social learning platforms and community tools on the respective Customs’ intranet to promote collaborative learning and operationalize Knowledge Development and Management processes.

Customs Training aims at raising organizational performance through professional and personal development. It needs to follow a competency-based and results-based approach. The Training activities, focused on the implementation, strive to bridge the performance gaps (both at the individual and organizational levels) and promote the learners’ accountability to apply change within their work environment. Training and Development must be considered by the Customs Administration’s decision makers a strategy for change.

In order to adopt and develop a competency-based Training, some key elements are essential: the strategic alignment of Training and HR, the adoption of a Competency Framework, the constant analysis and the evaluation of Performance Gaps.
ANNEXES
ANNEX 1: Identification Of Strategic Relationships With Main Stakeholders

**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.

<table>
<thead>
<tr>
<th>KEY PLAYERS</th>
<th>MAIN STAKEHOLDERS/QUESTIONS</th>
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<tbody>
<tr>
<td>Senior Managers/Policy-Makers</td>
<td>• Identification of actors and responsibilities</td>
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<tr>
<td>Policy-Makers/Decision-Makers</td>
<td>• Drawing up the institutional vision</td>
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<td>• Values and beliefs to promote</td>
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<td>• Level of understanding of the core role of training within the Customs administration</td>
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<tr>
<td>Human Resources Management</td>
<td>• Recruitment patterns and standards of the organization</td>
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<td>• Drawing up the Human Resources Development Strategy</td>
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<td>• Level of integration of training within human resources development and career development</td>
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<tr>
<td>External Agencies</td>
<td>• Level of co-operation with other Government agencies such as the police, military, agriculture, etc.</td>
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<td>• Opportunities for joint programmes/resources</td>
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<tr>
<td>Trade Organizations</td>
<td>• Perception of the administration</td>
</tr>
</tbody>
</table>
## ANNEX 2: Operational Plans Checklist

The operational training plans should include the following items:

<table>
<thead>
<tr>
<th>Operational training plans components</th>
<th>Elements to indicate</th>
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<tbody>
<tr>
<td>The specific training objectives</td>
<td>Define as clearly as possible to guide the training development and training assessment processes</td>
</tr>
<tr>
<td>The target audience</td>
<td>The number of persons to be trained, divided into the target groups identified in the strategic plan</td>
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<tr>
<td>The training methodology</td>
<td>The teaching methods to be used for each of the target groups, and each course’s sequence components</td>
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<td>The appropriate time required for the training</td>
<td>The timetable per sequence</td>
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<tr>
<td>The reference materials</td>
<td>The identification, and preparation and distribution timeline and responsibilities for the training materials</td>
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<tr>
<td>The responsibilities for the training</td>
<td>The allocation of trainers to each training session/sequence, including agreements to entrust certain training responsibilities to third parties</td>
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<tr>
<td>The training environment</td>
<td>The place where the training sessions will be held, provision for the renting of classrooms or equipment, where necessary, and the number of persons in each of the various training locations</td>
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<tr>
<td>The necessary arrangements for trainers and trainees</td>
<td>Travel and accommodation (when applicable), and means of communication for trainers and trainees, logistical arrangements for the distribution of training materials and equipment, etc.</td>
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<tr>
<td>Knowledge testing</td>
<td>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</td>
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<tr>
<td>Training assessment</td>
<td>Evaluation of the training success, plans for responding to emergencies/risks identified and plans to potentially meet the need for complementary forms of training</td>
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<tr>
<td>Required resources for the operational training plans</td>
<td>Financial and personal resources required for delivering the training</td>
</tr>
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</table>
ANNEX 3: Training Needs Analysis Templates

<table>
<thead>
<tr>
<th>Key areas</th>
<th>Tasks</th>
<th>Sub-Tasks</th>
<th>Importance (1 to 5)</th>
<th>Frequency (1 to 5)</th>
<th>Priority (importance + frequency)</th>
<th>Necessary Knowledge</th>
<th>Necessary Skills</th>
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# Training needs analysis for job:

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<tr>
<th>Step</th>
<th>Name</th>
<th>Description</th>
<th>Status</th>
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<tbody>
<tr>
<td>1.</td>
<td>Develop and obtain approval for TNA Project Proposal</td>
<td>Define the strategy.</td>
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<td>Determine the proposed respondents.</td>
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<td>Determine methods of gathering data.</td>
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<td>Designs all the tools necessary for the exercise, such as questionnaires, interview guidelines, etc.</td>
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<td>Get senior management commitment for the realization of the training needs analysis.</td>
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<td>2.</td>
<td>Identify job duties and tasks</td>
<td>List the current job duties.</td>
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<td>2.1 Job analysis</td>
<td>Identify the priorities or significant duties and activities (activities are such things as meetings, providing advice, etc.).</td>
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<td>Identify the most difficult aspects of the work, and why they are difficult.</td>
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<td>Identify the changes that are about to occur in the job.</td>
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<td>Identify the knowledge (or information) of a technical nature needed to perform the job satisfactorily, and the level of such knowledge (or information).</td>
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<td>Identify the knowledge, other than that of a technical nature, that helps with performing the job.</td>
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<td>Specify the best way of obtaining all this knowledge.</td>
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<td>Identify the technical skills (or abilities) needed to perform the duties satisfactorily.</td>
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<td>Specify the best way of obtaining all these skills.</td>
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<td>Identify the non-technical skills (administrative or people skills) needed to handle the various aspects of the job.</td>
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<td>Determine if any team work is involved.</td>
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<td>Determine how the job contributes to the team.</td>
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<td>Identify any knowledge or skills needed to assist other team members.</td>
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<td>Specify the best way of obtaining all the knowledge and skills.</td>
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<td>Determine if any higher-level duties are performed.</td>
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<td>Identify the knowledge and skills necessary to perform these duties.</td>
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<td>2.2</td>
<td>Task analysis</td>
<td>Break down the job into key areas.</td>
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<td>Break down each key area into tasks.</td>
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<td>Break down each task into sub-tasks.</td>
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<td>3.</td>
<td>Validate tasks and rank in order of priority</td>
<td>Validate the task analysis with the subject-matter expert or experienced officers in the job.</td>
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<td></td>
<td></td>
<td>Determine the most important tasks.</td>
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<td>Determine the most frequent tasks.</td>
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<tr>
<td></td>
<td></td>
<td>Deduce the priority tasks.</td>
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<td></td>
<td>Collect information/data on performance</td>
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<td></td>
<td>Review existing training materials.</td>
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<td></td>
<td>Review any feedback available on that training.</td>
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<td></td>
<td>Review job descriptions, manuals, policy statements or other work-related documents.</td>
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<tr>
<td></td>
<td>Interviews with the target population, their supervisors, subject-matter experts and members of the Head Office functional area.</td>
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<td></td>
<td>Surveys of the target population, their supervisors and subject-matter experts (written or telephone).</td>
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<td></td>
<td>Focus-group sessions where experts and/or the target population share knowledge and experience.</td>
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<td></td>
<td>Assess the current level of knowledge and skills of the target population with regard to the tasks identified.</td>
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<thead>
<tr>
<th>5</th>
<th>Select/analyse tasks selected for training</th>
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<tbody>
<tr>
<td>5.1</td>
<td>Select tasks for training</td>
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</table>
| | 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. |

<table>
<thead>
<tr>
<th>6</th>
<th>Describe target population</th>
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<tbody>
<tr>
<td></td>
<td>Describe the characteristics of the target population.</td>
</tr>
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<td></td>
<td>Describe the characteristics of the work environment.</td>
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<td></td>
<td>Identify the need for changes other than training.</td>
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<tr>
<th>7</th>
<th>Formulate training objectives</th>
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<td></td>
<td>Write training objectives for each necessary knowledge and skill.</td>
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<th>8</th>
<th>Write Training Needs Analysis Report</th>
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<td></td>
<td>Report the analysis to management.</td>
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<tr>
<td></td>
<td>Propose training options to fulfil the training objectives.</td>
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</table>
### 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.

<table>
<thead>
<tr>
<th>Questions</th>
<th>Answers</th>
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<tbody>
<tr>
<td>What are your current tasks?</td>
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<tr>
<td>Can you specify any tasks or activities (other than higher-level tasks)</td>
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<tr>
<td>which are not listed in your job description but which you carry out</td>
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<tr>
<td>either regularly or on an ad-hoc basis?</td>
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<tr>
<td>Which of your tasks do you give the highest priority to and/or consider</td>
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<td>the most significant?</td>
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<tr>
<td>What do you see as the most difficult aspect of your job? (Give reasons</td>
<td></td>
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<tr>
<td>for your answer)</td>
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<tr>
<td>Are there changes about to occur in your job? (If yes, give details)</td>
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<tr>
<td>Looking at the tasks that you perform, what knowledge and/or information</td>
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<tr>
<td>of a technical nature do you think you need in order to perform</td>
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<tr>
<td>satisfactorily?</td>
<td></td>
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<tr>
<td>What knowledge and/or information, other than technical, helps you to</td>
<td></td>
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<td>do your job well?</td>
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<tr>
<td>What is the best way of obtaining all this knowledge and/or information?</td>
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<tr>
<td>Question</td>
<td>Answer</td>
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<tr>
<td>What technical skills or abilities do you need for satisfactory performance?</td>
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<tr>
<td>Where and/or how can you learn these skills or abilities best?</td>
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<tr>
<td>What non-technical (i.e. administrative or personal) skills do you think you need to help you handle various aspects of your job?</td>
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<tr>
<td>Do you work in a team and, if so, how do you see your job contributing to the team output?</td>
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<tr>
<td>What knowledge or skill do you possess that could benefit other team members? How did you obtain this knowledge or skill?</td>
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<tr>
<td>Do you perform tasks at a higher level and, if so, what knowledge or skills help you perform these tasks?</td>
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<tr>
<td>What do you see as the most important form of training or development needed by a person in your post?</td>
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</tr>
<tr>
<td>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?</td>
<td></td>
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<tr>
<td>Is there any other information you can offer to help with this analysis?</td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 4: Implementing E-Learning Best Practice Shared By WCO Member

### BEST PRACTICE SHARED BY A WCO MEMBER

#### THEMES AND TOPICS (IDENTIFY THE TOPIC(S) IN THE COMPREHENDIUM)

- 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.
### ANNEX 5: Kirkpatrick Four Levels Table

<table>
<thead>
<tr>
<th>Level</th>
<th>Evaluation Type</th>
<th>Evaluation Description and Characteristics</th>
<th>Examples of Evaluation Tools and Methods</th>
<th>Relevance and Practicability</th>
</tr>
</thead>
</table>
| 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  
|       |                 | • Appreciation of the venue, style, timing, domestics, etc  
|       |                 | • Level of participation  
|       |                 | • Practicability perception and potential for applying the learning  
|       |                 | • 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 the training ends  
|       |                 | • Very easy process to gather or to analyse 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 from before to after the learning experience:  
|       |                 | • Teaching objectives met  
|       |                 | • Relevance  
|       |                 | • Extent of advancement or change in the trainees after the training, in the direction or area that was intended?  
|       |                 | • Typically assessments or tests before and after the training  
|       |                 | • 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 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 |
### Annexes

#### 3. Behavior

Implementation of the learning and change of behaviour, (immediately and/or several months after the training situation):

- Noticeable and measurable change in the 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 of 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 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 the training, so they understand what is to be measured
- Failure to link to training input type and timing will greatly reduce the ease by which results can be attributed to the training
- 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
Human Resource Development and Training are key to build Customs Performance from the Ground Up.
### Customs Career Path Development

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INTRODUCTION

Within the framework of strategic human resource management, career pathing is a dual process used by organizations and employees to implement a dynamic performance management approach towards career and staff development. For an employee it is the process to chart a course within an organization for his or her career path and career development. For an organization, it involves support to employees in identifying opportunities in support of organizational development.

Career pathing has been used by several Customs administrations as an effective tool to establish a knowledge-based and competency-based culture for their staff that rewards performance. It involves a systematic organization-employee dialogue and institutional support and is recognized as a key motivational tool. Career progression is a core element of motivation as it acknowledges capacity and performance as presented in Maslow's and Herzberg's models. It provides concrete and practical answers to some of the HR challenges of Customs administrations by supporting a motivating working environment and the attraction and retention of skills. It also supports Customs administrations that need to cope with an increased competition for skilled workers on labor markets, and to prevent low levels of staff engagement. It enables administrations to overcome the static approach of seniority as the sole career progression factor. Career path development also enables Customs administrations to provide a sustainable competency-based process to manage change and to prepare their workforces for future challenges.

In addition to its benefits in supporting employee engagement, skills attraction and retention strategies, career pathing enables an organization to develop cost-efficient solutions to rationalize and balance the high cost of external recruitment or inappropriate succession planning. The concept of career path development will support Customs administrations to develop career progression mechanisms and to identify flexible development pipelines for Customs officers in line with organizational needs.

The career path development tools that are presented in this section will support a Customs administration to ensure a strategic alignment between the needs of the organization and staff and organizational goals and the allocation of resources. They also promote a learning culture and empower staff to be responsible for their own career development.

This concept has been implemented by several Customs administrations as part of their integrated workforce development strategies. Some of the results have included an increase in staff motivation, reduction in staff turnover, savings on recruitment and on-boarding costs and an increase in productivity. New Zealand has estimated that the implementation of the career pathing approach in 2010 enabled the Customs administration to reduce the turnover of Customs officials from 11.8% to 5.7%, and to save approximately $1 million in recruitment costs.

1. CAREER PATH DEVELOPMENT AND HR MANAGEMENT STRATEGIES

Implementing adapted career pathing in Customs needs to be part of Human Resource Management (HRM) strategies and based on the organizational strategic goals, its specific business operating models and formal organizational chart.

Career pathing development is strongly linked to workforce mobility within the organization as one of its enablers. Mobility refers to an employee’s ability to take advantage of various job opportunities, move to a superior job position, including the ability to relocate or change positions. Each administration’s staffing policy will cover the conditions of employment and related legal provisions and may need to be considered when designing career path development.

Career mobility and job rotation are efficient methods used for employee development, as it gives the employee the opportunity to develop skills in a variety of changing jobs ensuring the appropriate mix of needed individual qualities and characteristics including experience, knowledge, skills, education, cultural fit, and availability. The typology of career mobility encompasses two main elements: lateral moves and promotions. In a lateral move, an employee moves to an equivalent role in an organization. The advancement of an employee to a higher position or rank is a promotion.

1 Maslow theory identifies esteem and self-realization as one of the core needs to be filled which when translated in a work environment provides clear identification of motivation enablers like possibility to show competencies, feel recognized, self-progress, development, autonomy, or follow training. The Herzberg theory of motivation provides a complementary canvas which defines satisfier factors, leading to personal satisfaction, such as sense of achievement, recognition, progress, growth/development. These intrinsic motivators can be different from one person to another.

2 See HC0045
The concept of career pathing is intrinsically linked to projected opportunities created by staff development and mobility within the organization at both the organizational and individual levels. It therefore requires the organization to implement within its staffing policy integrated processes aimed at anticipating and creating the appropriate conditions to prepare its future.

Staff planning is the strategic process to analyze and determine the steps to prepare current and future staffing needs at the organizational level. This requires an assessment of current and future strategic direction and workforce needs, including factors such as new competency needs and demographic trends. This enables the organization to identify the actions to be taken to respond to its future organizational and staffing needs in terms of recruiting, training, and outsourcing. This process is vital for any organization to anticipate and prepare for the next challenges and to adopt the subsequent strategy in terms of attraction, development, and retention of staff.

Succession planning is the tactical process whereby an organization ensures that employees are recruited and developed to fill each key role. Effective, proactive succession planning leaves an organization well prepared for expansion, loss of key employees, filling new, needed jobs, employees’ promotions, and organizational redesign for opportunities or new operating models. A succession plan involves cost-efficient solutions as it nurtures and develops employees from within an organization whenever size and resources permit. It anticipates staff deployment solutions and leads to the implementation of talent management principles as an organization’s focus to foster a superior workforce. Career pathing is therefore a complementary solution that needs to be integrated with the organization’s overall Human Resource management policies.

2. ENABLING CUSTOMS CAREER PATHING: TRANSPARENT AND INTEGRATED FRAMEWORKS

This part focuses on the principles and practices gathered from different administrations and it provides concrete examples on the foundations and processes used to implement career pathing in Customs.

Career pathing at the individual level involves understanding what knowledge, skills, personal characteristics, and experience are required for an employee to progress his or her career laterally, or through access to promotions. By aiming for a desired job / jobs within the organization, it is then possible to chart a course through jobs and departments recognizing and assessing the conditions linked to the moves required along the way. Attaining the desired goal requires the necessary qualifications, skills and competencies and to obtain certain experiences along the career path through the organization. It also requires that staff members are informed of the organization’s criteria applied to staff mobility.

Integrated career progression in Customs is therefore linked to the establishment of a transparent, flexible and result-

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1 The WCO has developed a Staff planning template tool adapted from the Society of Human Resource Management and the Department of Trade and Economic Development, Government South Australia.

2 Employees who are perceived to have the skills, knowledge, qualities, experience and the desire can be groomed to move up to fill specific, key positions. It focuses resources on key employee retention and is linked to Talent Management.
oriented system for staff management and development. Transparency and clarity in terms of the organization’s and the individuals’ performance goals, and the linkage between these are essential as well as the visibility of opportunities within the organization to set some accurate expectations.

The Customs administrations that have successfully applied this approach have ensured that employees have access to:

- Crucial career-related documents and HR reference tools: systematic competency-based job descriptions, job classification systems, training programmes and on-the-job developmental opportunities, including job shadowing, mentoring and coaching; and

- Transparent and integrated processes related to career mobility, internal job applications, succession planning, performance planning and performance appraisals.

By way of example, the Morocco Customs administration promotes the visibility and acceptance of three core frameworks to drive the career pathing process throughout its workforce. The Competency Framework, Jobs Framework and Training Framework are published on its intranet and updated regularly for all officials to have clarity on job specifications, the required competencies and the developmental opportunities available.

2.1. Competency Framework

The Competency Framework provides a clear description of the organization’s required competencies and is closely connected to career pathing. A lot of administrations have adopted their specific Competency tool, such as the Swiss Federal Administration or the South African Revenue Service (SARS). Switzerland develops its Competency Model to serve “as a basis and working tool to assist Management and HR in their work”.

They are also offering through the Intranet the complete set and guidelines to all personnel. SARS has stressed the importance of a framework as “a model of excellence and differentiates between job characteristics that result in excellent performance. (...) The behavioural competencies in the SARS model are clustered in such a way that it includes the SARS values” and present the abilities people must bring to a job to perform. “This ensures alignment between people characteristics and organizational (needs)”. The clarity on the competencies description which is brought by the Competency Dictionary is defined as “critically important” for the workforce.

The Competency Framework has shown its importance and impact on several HR processes. The EU Customs Competency Framework for the Customs Profession aims to provide “a clear and consensus view of the skills and knowledge required by Customs professionals in Europe at all levels and in all skill areas” and it identifies its versatility and impact on a wide range of HR processes and stresses it as essential for Development and Career planning.

2.2. Job Classification and Salary System

The job classification system objectively and accurately defines and evaluates the duties, responsibilities, tasks, and authority level of a job. This can only be developed if systematic competency-based job descriptions are in place together with a clear organizational chart, job grades and an objective salary and compensation system.

Job classification is important to generate a sense of fairness across equivalent employee jobs and it evaluates jobs components to determine the relative value of a particular job to other jobs. The classification method used by SARS measures three components in all jobs in order to classify them: the knowledge required, problem solving required, and level of accountability.

Job classification is a core element applied to career pathing as it provides the employees with clarity on responsibilities and duties throughout the organizational chart. Therefore, used in combination with the Competency Framework, it enables predictability and transparency in mapping and identifying the criteria linked to individual career goals.

2.3. Training and Development Framework

The third element that is instrumental for career pathing development in an organization is the directory or catalogue of all the training programmes and developmental opportunities offered to the employees, with their respective access conditions.

A Training and Development Directory or Framework can be structured in different ways. Fiji has developed a table gathering the different activities identified for FIRCA and this can also be attached to a National Customs Training Catalogue, such as in Qatar.

The Austrian Educational Program is published annually and is another example to ensure that training and educational programmes are presented “in an attractive way”, “directing the respective target to the offers intended for them”. The New Zealand Customs Service publishes Career Path and Training Frameworks.

The Center for Development and Communication of the Netherlands Customs develops a wide range of activities that staff is invited to freely and individually assess and select in accordance with their individual development needs/interests and their own career path. These Customs Training Frameworks and their “learning architectures whose development demand professional education management” impart a holistic approach to training and in the case of

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1 See HC0045 for the establishment of job descriptions gathering competencies, experience and qualifications required for a job
2 See CB Compendium on Finnish salary system or CLiKC repository of practices: Finland
5. Customs Career Path Development

Training and other developmental opportunities support employees to reach their career pathing goals. The Canada Border Service Agency provides its officials with a full description of all the learning opportunities to be considered to develop their career. These include Professional and Career Development, On-the-Job Learning, Classroom Training and Formal Education, E-learning, Self-Learning and Independent Study, Tutoring, Mentoring and Coaching, Partnerships, Horizontal Linkages and Networks, Attendance at Conferences, Action Learning Groups / Learning Circles, Reciprocal Teaching, Cognitive Apprenticeship and Cooperative Learning, Team / Unit Meetings, Peer-Learning and Third Person Teaching, Discussion Groups and Committee Work, Job Enhancement, Job Shadowing and Job Swapping as well as Acting Appointment.

The HMRC Tax Professional Qualifications Catalogue identifies 3 levels of modules namely Core modules, Regime Specific modules and Common modules (relevant to more than one specific module) and specifies a curriculum code for “use on online learning that will give you access to all the products you are able to nominate for under that module”. The modules can be associated with levels and credits, and always present the type of product/methodology of learning, its outcomes, objectives and assessment criteria.

The integrated competency-based HR approach provides a clear definition of competencies that enables easy navigation for any Customs professional to identify the adequate competency, developmental offer, and path related to his/her needs. The Swiss Competency cards set provides each employee with a user-friendly tool to assess and follow the training offer in close relation with his/her current or expected competencies thanks to a notepad attached to each competency card to ensure a full ownership of the tool.

The combination of all these components presented in easily accessible Frameworks provides Customs administrations with robust tools to implement career pathing. The overall effectiveness of the career-oriented approach is linked to the establishment of a corporate learning culture where staff members are empowered: “Effectiveness=Quality+Acceptance”.

3. CUSTOMS CAREER MOBILITY: BALANCING CONSISTENCY AND FLEXIBILITY

Job classification sets a unique framework, adapted to its administration’s specificities, and is the career mobility canvas on which each employee identifies his/her career pathing opportunities and where the lateral moves, transfers or promotion are tracked.

3.1. Career Opportunities and Progression

In a lateral move, an employee moves to an equivalent role in an organization, usually with a similar salary range and a job title at the same level. However, the employee’s job responsibilities change thus affording the employee new opportunities such as to expand his or her career pathing opportunities.

A lateral move contributes widely to achieve some of the career pathing objectives and is viewed as desirable by employees because of the impact it has on his or her opportunity for personal and professional growth and motivation by:

- Gaining new knowledge and skills by performing a different job that requires new skills and provides different responsibilities;
- Overcoming boredom and dissatisfaction by having a new and different job with changed responsibilities and tasks;
- Giving a new challenge for the employee to expand his or her accomplishments, reach, impact, and potentially, influence different aspects of the work;

1 Austrian Educational Programme.
- Learning about different facets of the organization and how work is accomplished in different departments or job functions. This will increase his or her organizational knowledge and ability to get things done; and

- Preparing for a promotional opportunity by receiving the chance to expand his or her skill set and responsibilities and gain broader knowledge about the organization.

A transfer allows the employee to also accomplish the above but in a different business area, administration or Ministry, while retaining his or her current salary and benefits package. A job change to achieve these same benefits might result in the loss of needed and appreciated compensation and benefits. The advancement of an employee from one job position to another job position that has a higher salary range, a higher level job title in the job classification system, and, often, more and higher level job responsibilities, is called a promotion. Sometimes a promotion results in an employee taking on responsibility for managing or overseeing the work of other employees. Decision making authority tends to rise with a promotion as well.

A promotion is viewed as desirable by employees because of the impact a promotion has on pay, authority, responsibility, and the ability to influence broader organizational decision making. A promotion is a visible sign of esteem from the employer and raises the status of the employee: it is a form of recognition for employees who make significant and effective work contributions.

In any organization, job promotions are limited by the number of roles needed to accomplish the work and the number of available roles. The “pyramids” seen in most organizational charts reflect this reality. This requires mechanisms to ensure that the organization still provides a motivational environment and career path development opportunities.

The placement of the job in the job classification system determines the pay or salary grade within the organization’s compensation system. Some administrations have implemented the broadening practice by grouping similar positions in broadbands within their job classification, and experiencing more flexibility in the career paths opportunities.

The Australia Public Service Commission has a classification structure that includes two broadbands (APS ½ and APS 3/4) that has been adopted by Australia Customs. It defines two or more classifications levels within a single standard of work value. Job requirements, key duties and responsibilities, required skills and attributes, operating context and performance characteristics are combined for each classification level in the broadband, with definition of performance at any specific classification level highlighted where necessary.

“Broadbanding helps provide greater flexibility in career progression and facilitates a more flexible working pattern.”

The numbers of salary grades are consolidated into fewer, but broader, pay ranges which enables less overlap with other pay ranges. Broadbanding evolved because organizations want to flatten their hierarchies and move decision-making closer to the point where necessity and knowledge exist in organizations. In flattened organizations, fewer promotional opportunities exist so the broadening structure allows more latitude for pay increases and career growth without promotion.

Broadband pay structures encourage the development of broad employee skills, because non-managerial jobs are appropriately valued and skill development is rewarded. Additionally, a broadband pay structure is not as sensitive to changing market pricing conditions, so they cost less to administer and manage over time. They also provide serious non-promotional income opportunities for employees.

3.2. Customs Job Streams and Dual Career Paths

The development of capability clusters and job families is another set of issues closely connected to competency frameworks and job descriptions as providing a vital support to career pathing. These are informed by the administration’s operating model, and delivery models.

The EU matrix of job roles which is an additional tool completing the EU Competency Framework presents the consensus found amongst 27 Customs administrations identifying 8 main distinctive families to be applied in Customs: Policy, Client management, Risk, Declaration processing, Control, Investigation, Enforcement, Audit, Supportive functions, and Cross functions.

The Korea Customs administration classification identifies 5 fields and 3 distinct groups: under the Customs experts group, Investigation (5 functions), Audit (6 functions), Inspection (4 functions), then the Technician group with 4 functions (Information Management, Analyst, Communication and Boat), and the General group with 5 functions (Operation, Internal Audit, Personnel, International and PR).

SARS has identified 6 core processes and 11 enabling processes, each divided in job families. For example, the Facilitate Trade core cluster is divided between Trade Facilitation, Post Clearance and Trade Services.

Each family is then composed of different job roles and titles linked to the job classification. Based on visual sheets presenting the different responsibilities, competencies and proficiency levels of each role, the employee has a clear view on the progression opportunities within one family.

The Border Control family is composed of 4 roles: Trainee,
5. Customs Career Path Development

These job streams assist in identifying some elements of Customs career path patterns. The EU-defined families represent, for example, the backbone for a structure of specific job roles within each family which correspond to clearly identified competencies and their related proficiency levels.

The EU Customs Competency Framework for Customs Professionals covers also role descriptions by job functional domain and identifies for each different role the description, competencies and proficiency levels required. This then provides a transparent competency roadmap per functional domain to be adapted and adjusted by the EU Customs administrations within their own national career mapping policy.

The same principle is applied for horizontal moves within the SARS job families. Within the Trade Administration job family to reach the Verification level from the Assurance one, an official needs to show higher proficiency in certain competencies and prove a certain certification, qualification and experience. New Zealand mapped the career opportunities within the core operational units from Trainee Customs Officer to Chief Customs Officer to present the requirements attached to the different levels.

Career pathing is a long-term process which is not limited to the next career moves, but represents a plan sequencing a career-long progression which provides clear indication on the flexible and integrated whole-of-career opportunities with the appropriate bridges between job families and grades.

Customs administrations implementing career pathing have therefore identified complementary processes to ensure that the recruitment process, job rotation and succession conditions bring the adequate set of values, competencies, qualifications, experience and/or developmental opportunities to be prepared to perform highly in targeted jobs.

The concept of apprenticeships, considered as a pipeline of talents, is a growing model of career paths for inductees at executive posts. Adapted and tailored combinations between on-the-job training and classroom training enable organizations to focus less on the academic qualities but more on the attitude, values, teamwork, self-drive, problem-solving abilities and service awareness. Administrations like Austria and Switzerland have been implementing this blended development model as well as Canada in accordance with their Officer Induction Training Program’s focus on problem-solving competencies.

One of the dilemmas faced by administrations in career pathing are linked to systems of promotion and traditional hierarchical systems. In a pyramidal hierarchical structure, a linear approach towards upward progression generally results in promotions for management roles. Employers are challenged to provide alternative career paths for employees who deserve the benefits and recognition provided by a promotion, but do not aspire to manage the work of other employees. Therefore some administrations have identified from certain job classification levels up a parallel system that identifies within the functional areas two different career streams for specialists and for managers. This is often called dual career paths system.

The Korea Customs administration has adopted a career paths model with a rotation principle based on the classification of specialists that requires a 3-year rotation period to get familiarized with all the main job families of the administration before accessing the specialist streams.

Within the EU Customs Competency Framework, the designed Role Mapping Matrix has adapted the New Zealand Customs Service Competency Framework and related career path model to map out the dual career path system adopted. It provides a clear presentation of the hierarchical levels applied to the specificity of Customs job roles with after the three first levels one’s career can keep on progressing on the General Management Career Path or the Expert Career Path.

A system that rewards employees in specific areas to become specialists without having to move into the management stream is often necessary to retain and build knowledge and expertise in areas where these are critical. Some career markers or milestones need to be developed for specific jobs or positions in the classification system.

In regard with the management career stream, New Zealand Customs Service has identified a Customs Leadership Career Path which “sets out a clear and structured process to develop and support leaders in Customs”.

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1 See Annex 6: New Zealand Customs Service: Career Mapping for Core Operational Units.

2 See pages 90-91
The Australian Customs and Border Protection Service publishes guide and FAQ to ensure that the Career Streams Framework identifying the 95 job roles in the Agency and their capability requirements is efficiently contributing to “identify and build workforce aligned to an environment requiring increasing specialization and risk-based decisions”. The overall information and guidance available for the employee on the intranet through specific tool like COMPASS aims at identifying “realistic steps to better target your career development, noting that development opportunities will be considered in line with the operational demands”.

4. CAREER AND PERFORMANCE DEVELOPMENT: MANAGING POTENTIAL AND TALENT TO FIT THE ORGANIZATION’S STRATEGIC GOALS

At the organizational level, career pathing avoids focusing on only seniority-based career progression but focuses on actual performance and merit of the employee. It also promotes the establishment of results-oriented processes to manage, assess and appraise performance, and to support the organization’s career pathing decisions based on fair and transparent procedures.

Performance management implementation and the related mechanisms applied to staffing and competency-based HR policies create opportunities for career pathing, as the employees receive support and assistance in his or her efforts to develop a career path.

At the same time, a career path plan has been implemented in several administrations as a critical factor to support Performance Planning. This is understood as the cycle where the performance of staff is regularly and systematically planned, reviewed, monitored, followed up and evaluated.

Performance planning therefore enables the implementation of specific tools to carry out effective support for career path development. This topic is not discussed below but the linkages are made with career path systems.

Performance development planning enables a supervisor and reporting employee to discuss and plan developmental opportunities for the employee and this is a tool that is increasingly being implemented by administrations.

A written report, shared with the supervisor, generally tracked by the organization for effectiveness, and reviewed regularly, identifies personal and business goals that are most significant to the organization’s success. It enables each staff member to understand their true value-added to the organization and to identify the best career development scenario in accordance with his/her profile and achievements. It also positively demonstrates the commitment of the organization toward its employees’ career development and personal and professional growth.

The CBSA Personal Learning Plan is “a customized development plan, between you and your supervisor, designed to help you improve your current performance to best support the CBSA as well as advance your career aspirations”. This individual process enables with the support of the supervisor to identify learning and development needs, performance objectives, and determining priority: Job-related Training, Job Development and Career Development.

In the New Zealand Customs Service, a Planning, Review and Development Form is filled by both the employee and manager to identify the performance objectives and to review career aspirations and a personal development plan.
5. Customs Career Path Development

SARS has developed a Feedback guide for Career Management which provides managers with concrete instructions and tips to efficiently conduct these types of interviews to support the career path of their employees.

In addition to the processes of performance planning applied to career development, the organization should put in place supporting structures to ensure a fair and transparent performance management within the organization, for both high or low performance, and career management.

Hong Kong, China Customs has established Promotion Boards to review the performance and assess promotability based on ratings identified during the performance appraisal.

The New Zealand Customs career approach is supported by a Career Development Board, to assess the performance and potential of the employees, Assessment Centers, Rotation Panels for all levels, an independent body in charge of decision for accelerated leadership: Talent@Customs, and another one Mentors@Customs for high-level positions. The Appeals committee or similar mechanisms are of course integrated in the process.

The Career Development Board reviews a form completed by the manager of the concerned employee to assess competencies, derail potential (if applicable), aspirations (identified by both employee and manager), and based on the previous development, the learning agility and the comparison of performance with peers.

**CONCLUSION**

Career paths in Customs need to support the current and future competencies needs of an organization. The employees’ ownership of their own progression enables enhanced management-employees dialogue based on performance.

Establishing the conditions and environment for Customs career paths, or career pathing, is increasingly considered as an essential component of Customs Human Resource Management policies and Workforce Development strategies.

It represents highly valuable opportunities for both the administrations and their employees. It benefits the administrations by allowing them to have a transparent system translating the organizational strategy into people needs, providing an efficient tool to enhance competency-based staff and succession planning, and to further enforce talent management to attract and retain a superior workforce. The employees benefit as well from career pathing implementation as this provides direction for career development and sets realistic and clear expectations on career progression and opportunities.

The collected Customs practices shape some concrete implementation steps to be taken when developing career paths in Customs and establishing a career path policy:

- Identify the organization’s customized career development approach and strategy based on its specific strategic goals and needs;
- Set the career levels and roles through the adoption of a transparent job classification and salary/compensation system;
- Adopt a consistent organization-wide Competency Framework to map out career levels and jobs;
- Define the career progression moves (horizontal and vertical), and their related criteria to ensure predictable and flexible career opportunities based on both individual competencies and organizational needs;
- Determine the feasibility and conditions of dual career paths at certain levels for specialists; and
- Develop the performance appraisal and development planning tools and processes to encourage high performance and identify the optimized moves to allocate the appropriate staff in the organizational space where their competencies can be used and enhanced.
ANNEX 1: European Union Customs Competency Framework: Customs Roles Description Matrix

ANNEX 2: South Africa Revenue Service - Capability Clusters
ANNEXES

ANNEX 3: South Africa Revenue Service: Border Control Job Family

<table>
<thead>
<tr>
<th>CLUSTER</th>
<th>FAMILY</th>
<th>Project Owners</th>
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<tbody>
<tr>
<td></td>
<td>Border Control</td>
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**NATURE OF WORK**
To detect, detain and deter non-compliance and illegitimate trade practices at and between ports of entry as well as within the supply chain in order to protect citizens and the economy against illicit trade.

**ROLE TITLE**

<table>
<thead>
<tr>
<th>REF #</th>
<th>Trainee</th>
<th>Inspector/Developmental</th>
<th>Sr Inspector/Inspector</th>
<th>Command &amp; Specialist</th>
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<td>F14</td>
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**PRIMARY WORK THEME**
Gain Knowledge

**PURPOSE**
To gain knowledge and prepare for CBU operations.

**WHY THE JOBS EXIST**
Performs routine/basic border interdiction activities under supervision such as, patrols, searches and other control functions (e.g. read blocks, gate checks, basic observations, etc.)

**WORK EXECUTION**

<table>
<thead>
<tr>
<th>Cluster</th>
<th>Task</th>
<th>Sub-Task</th>
<th>Method/Tool</th>
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**TEAM PERFORMANCES**
Achieveregimentalstandards,throughencouragement andreward.

**GOVERNANCE/RISK**
Adhere to standard operating procedures, paramilitary practices, SARS, Customs and CBUs policies.

**CONFIDENTIALITY/SECURITY**
Obtain processing and at least confidential clearance.

**TIME**
Achieve pass mark (Theoretical and practical in service training and training courses) as well as determined fitness levels within determined time frame.

**QUALITY**
Strict adherence to SOPs during interdiction activities. Conduct thorough inspections.

**PERSONAL PERFORMANCE**
100% interdiction on all targeted interventions and a 4% interdiction on low-risk targeted interventions.

**MINIMUM SKILLS, KNOWLEDGE AND EXPERIENCE**

<table>
<thead>
<tr>
<th>BEHAVIOURAL COMPETENCIES</th>
<th>Trainee</th>
<th>Developmental</th>
<th>Inspector</th>
<th>Specialist</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drive for results (PCR)</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Decision making (DE)</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Maintenance (ME)</td>
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<td>3</td>
<td>3</td>
<td>3</td>
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<td>Teamwork (TG)</td>
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<td>3</td>
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<tr>
<td>Integrity (IM)</td>
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<td>Analytical Thinking (AT)</td>
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<tr>
<td>Initiative (IN)</td>
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<td>3</td>
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<td>3</td>
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<tr>
<td>Attention to Detail (AD)</td>
<td>2</td>
<td>3</td>
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</table>
5. Customs Career Path Development

ANNEX 4: Example of a Training Framework’s Index - United Kingdom HMRC

ANNEX 5: Dual Career Path - European Union Customs Competency Framework: Roles and Levels in European Role Mapping Matrix
Improving Career and Talent Mobility drives Performance and Engagement.
# Customs Professionalism and Career Paths Development

<table>
<thead>
<tr>
<th>Benefits for the Administration</th>
<th>Benefits for the Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Translates organizational strategy into people needs</td>
<td>Makes available information and tools for development and progression</td>
</tr>
<tr>
<td>Identifies gaps in competencies</td>
<td>Sets accurate expectations</td>
</tr>
<tr>
<td>Helps leaders to decide staff progression</td>
<td>Motivates and Engages</td>
</tr>
<tr>
<td>Enables talent management</td>
<td>Enables Employees’ Ownership and Empowerment</td>
</tr>
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</table>

## Implementation Steps

<table>
<thead>
<tr>
<th>Tools and Practices</th>
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<tbody>
<tr>
<td>1. Define your HRM Policy and Career Development Philosophy</td>
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<tr>
<td>2. Map out the career levels and roles</td>
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<tr>
<td>3. Define the Career Progression principles and criteria</td>
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<tr>
<td>4. Use the Dual Career Paths</td>
</tr>
<tr>
<td>5. Match organizational needs and individual interests - Optimize talents</td>
</tr>
</tbody>
</table>