



WORLD CUSTOMS ORGANIZATION
ORGANISATION MONDIALE DES DOUANES



SWEDEN

GUIDE TO IMPLEMENTING COMPETENCY-BASED HUMAN RESOURCE MANAGEMENT

IN A CUSTOMS ADMINISTRATION ENVIRONMENT

This guide has been developed in the framework of the WCO-WACAM Project funded by Sweden



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COMPETENCY-BASED HUMAN
RESOURCE MANAGEMENT**

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INTRODUCTION

Customs administrations operate in a complex environment that present them with multiple challenges and opportunities. This dynamic environment requires them to constantly adapt their management and operational models. Embracing a flexible and proactive approach to the management of resources is paramount for Customs Administrations if they are to effectively carry out their missions and meet the expectations of their government and stakeholders.

The increasing volume of trade, the introduction of new trade requirements, the ever-changing concept of border management and the emerging security threats put a strain on Customs Administrations. Now more than ever, Customs Administrations have to manage their resources efficiently – this especially applies to Human Resources. The Human Capital of Customs Administrations will largely impact the effectiveness and quality of the Administrations' service delivery. The structures in charge of Human Resource Management are ultimately called upon to prioritizing actions enhancing the individual and collective competencies that are strategic to the organization in order to increase individual and organizational performance.

The Trade Facilitation Agreement contains provisions intended to accelerate the movement, release and clearance of goods, including goods in transit. It also includes measures to foster effective cooperation between Customs, other cross-border regulatory agencies and the private sector involved trade facilitation and Customs compliance issues. It also embeds provisions for technical assistance and capacity building to support countries with TFA implementation . Source: www.wto.org

The entry into force on 22 February 2017 of the World Trade Organization's **Trade Facilitation Agreement** has placed Customs administrations in a strategic role in the process aimed at the facilitation and transparency of the movement of goods (clearance and release).

Given that Customs administrations are at the very heart of this dynamic trade environment, it is not surprising that they have been embarking on ambitious modernization efforts with a view to facilitating and securing international trade. This requires paying particular attention to the development of the human capital and the contribution of all Customs staff. The HRM structure is thus fundamental in supporting the Administrations to meet the opportunities and challenges presented to them and the strategic role of the HRM, within the Customs administration, needs hence to be acknowledged. The structures in

charge of human resource management should transcend the traditional role of administrative personnel management in order to enable the Customs Administrations to achieve their strategic goals. In other words, the HR manager should contribute to the performance and well-being of Customs staff and go beyond attending to administrative matters without bringing any additional strategic value to the organization.

Ultimately, it seems that the most efficient Customs administrations are those that are aware of the value of their staff and invest in their development. Hence, the department responsible for human resource development should operate within a strategic perspective that includes a performance-based approach aimed at valuing and adding-value to the competencies of Customs staff as a whole.



• Purpose of the Guide

This Guide aims to present the steps to be followed by Customs administrations and/or merged authorities including Customs (revenue authority, border surveillance agency, etc.) to establish a competency-based human resource management system.



• Note

In this guide, all terms related to customs staff / personnel apply to both men and women that compose the customs workforce unless the context clearly indicates otherwise.



• Who the Guide is for

This Guide targets the modernization committees or similar structures, the project teams in charge of human resource modernization efforts, and the structures in charge of human resource management



• Structure of the Guide

This Guide is divided into three sections:

- **Section I: Human Resource Management, enabling organizational performance.** *This first part aims to raise awareness about the of critical importance of investing efforts in modernizing human resource management in Customs administrations. It presents the raison d'être of a human resource system by clearly demonstrating the link between human resource management and organizational performance. It also introduces the strategic and political levers to be considered for the establishment of a competency-based HRM system.*
- **Section II: A step-by-step roadmap to developing competency-based HRM tools.** *This second section is a practical roadmap detailing the phases and steps to be undertaken to develop the HRM tools necessary to establish a competency-based HRM system*
- **Section III: Developing competency-based HRM process.** *This third section provides guidance on how to embed the competency-based HRM approach in HRM processes, namely:*
 - the dotation process (staff planning, recruitment and integration);
 - the training and competency development process;
 - the performance management process;
 - the rotation and career management process.

SECTION



HUMAN RESOURCES AT THE
SERVICE OF ORGANIZATIONAL
PERFORMANCE



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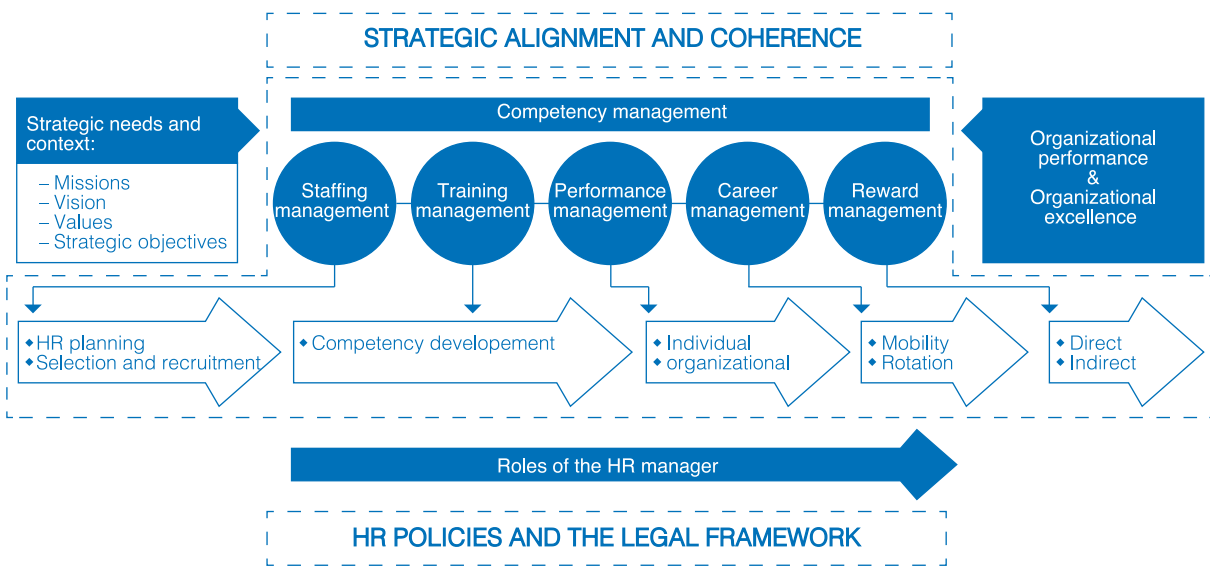
1. General framework of a the competency-based human resource management system

Human resource management (HRM) has changed over the years. The transition from the industrial era to a knowledge and information economy is the main reason for this transformation. Employee competencies are the key to success in this new environment. HRM has, therefore, begun to develop a new language focused

on aspects such as talent management, flexibility, accountability and performance. Accordingly, HRM actions have been adapted, so as to involve people and value their contribution. The watchwords of this new HRM focus include optimizing selection and staff rotations; continuing education and competency development; recognition of effort; use of employees' full potential; and the creation of a favourable working climate. All of these activities are based on valuing the talents and competencies of staff. They must be part of an integrated and coherent set of human resource (HR) practices.

The figure below shows how strategic and integrated competency-based human resource management contributes to organizational performance and excellence.

Fig. 1 : Master plan for strategic competency-based human resource management



In this perspective, all HRM practices must be based around the concept of competency. It is therefore used as a central element of human capital management within the organization. The competency-based approach is useful for staff management, as it not only identifies essential competencies but also develops them into strategic resources.

the states' interests as well as ensuring fair revenue collection. This is called, in HR language, creating and maintaining a competitive advantage through organizations' distinctive competencies.

Human capital:

All the creative and productive capacities of the staff, including their technical know-how and experience, as well as their general knowledge.

Staff competencies are therefore crucial to enabling the organization to capitalize on its strategic choice i.e. modernization. In fact, competencies should be used as a central element in managing an organization **human capital**.

Customs administrations' staff represent their intangible capital and are vital to their development and performance.. Valuing and increasing human capital will enable Customs to play their full part in facilitating the movement of goods and preserving

2- Integrated human resource management: value creation model for organizational performance

Customs administrations have engaged in modernization efforts throughout the world. Trade facilitation and border management affairs require regular reviews of Customs operational models.

To help Customs administrations provide innovative responses to emerging trade and security challenges, HR managers need to reposition their contribution and ensure that their recommendations are aligned to strategic priorities. HR managers must be focused on improving individual and collective performance.

Designing and implementing a competency-based HRM system can help Customs Administrations maximize their organizational value. Focusing on individual and organizational competencies will facilitate the re-engineering of the roles and responsibilities of staff, and ensure that officers are carefully selected, deployed and trained to respond to the organization's strategic needs and ultimately guarantee organizational performance.

Customs administrations will, moreover, witness the strengthening of their capacities through efficient staff and Customs structures, which will in turn strengthen the quality of services offered to stakeholders with a view to supporting the international trade system.

3- Competency-based human resource management

Competency-based HRM consists of adopting the notion of competency and the results of its analysis as the key dimension in the process of instructing and improving HRM policies, practices and processes. As such, the notion of competency has a central role to play in all HR activities.

The notion of competency refers essentially to performance. Mansfield (1999) defines competency as "an underlying characteristic of a person which results in effective and/or superior performance". For his part, Rankin (2002) describes competencies as "definitions of the behaviours that organizations expect their staff to practice in their work". Rankin (2004) adds that competencies represent the language of performance. They can articulate both the expected outcomes from an individual's efforts and the manner in which these activities will be carried out. Thus, competencies provide a common language, universally understood at the organizational level to describe the expected performance in all work situations.¹

In practice, competency-based HRM is a series of activities, tools and procedures that help fulfil the mission of the Customs administration and maximize the performance of its staff.

Competency-based HRM therefore underlies all HRM processes that promote the development of Customs administrations and their staff in their interactions with an ever-changing external environment.

As such, it helps clearly identify the expectations related to the different positions within the Customs administration. In fact, it is an effective approach to describing these expectations in a proper and understandable way.

The use of a competency-based human resource management system is highly beneficial in several respects, as illustrated in the table below. However, this kind of a strategic choice requires development, upkeep and updating efforts that can sometimes prove onerous. As a result, the system must be designed in line with current and future needs and with the strategic objectives and challenges of the Customs administration.

Moreover, opting for a competency-based HRM approach is an interesting way of putting HR processes in a strategic perspective. This approach affords the advantage of being easily integrated into the various functions of the human resource management system.

Ultimately, the competency-based HR approach makes it possible to provide a clear indication of the expectations of the different functions and staff members within the Customs administration.

1- Armstrong, Michael, 2006, A handbook of human resource management practice. 10th ed. p.cm. British Library Cataloguing in Publication Data. A CIP record for this book is available from the British Library. ISBN 0 7494 4631 5.

Table 1 : Contribution of the competency approach to HRM processes

	Activités GRH	Apports
HR planning process	Human capital assessment	– Estimate the Customs administration's capital in terms of competencies
	Job and workforce planning	– Plan supply and demand of staff and competencies
	Staff assignment	– Match the competencies acquired by staff and those required for the positions
	Jobs analysis	– Accurate and full definition of job profiles
Recruitment process	Selection of candidates	– Select the right profiles on the market that best meet the requirements of the Customs administration
	Evaluation of candidates	– Assess applications on the basis of a pre-defined competency matrix
	Recruitment	– Optimize the costs of the recruitment process
	Retention and loyalty	– Attract and retain the best candidates on the market
Training process	Identification of training needs	– Identify the variables to be amended at the level of individual and collective competencies
	Design of training	– Select adequate methods and content to develop competencies
	Dissemination of training	– Select teaching techniques to close competency gaps
	Evaluation of training	– Objective criteria and indicators to measure training efficiency and impact
	Post-training follow-up	– Competencies to develop and reinforce to ensure learning transfer
HR development	Performance evaluation	– Evaluation based on precise performance criteria (expected behaviour and valued excellence practices)
	Staff mobilization	– Individual responsibility in developing and valuing competencies
	Career management	– Orientation based on staff potential and interests
	Staff turnover	– Staff mobility from a competency development perspective
Reward process	Salary structure	– Fair and equitable data to assess the complexity of jobs and salary scales
	Staff motivation	– Means of encouraging polyvalence and mobility of HR
	Competency-based reward system	– Rewards given on the basis of observable and measurable criteria

4- Roles of the human resource unit/section/department

David Ulrich has developed his renowned Model, which shows the responsibilities that the HR manager needs to assume to contribute to organizational performance. Specific roles are associated with the HR manager. The following figure illustrates this model:

In an integrated approach to HRM, human resources are considered critical to achieving organizational goals. The HR function becomes an actor at the service of strategy, and a contributor to performance. This involves mobilizing the human resources, proactive management of jobs and competencies, and promoting employee accountability.

Fig. 2 : Roles of the HR unit/section/department



In this model, for the HR manager to play the role of strategic partner and administrative expert, he/she must focus on the processes involved (**being the expert and acting according to the future needs of the organization**). The individual is, on the other hand, placed at the centre of the role of change agent and of employee champion (**valuing competencies and being sensitive to the needs of employees**).

As a result, the role of **administrative expert** requires that the HR manager efficiently conduct administrative tasks, taking into account the legislative and regulatory complexity imposed by the new requirements of cooperation between Customs administrations and other partners (networked Customs, coordinated border management (CBM), Single Window, etc.).

The role of **change agent** implies the contribution of the HR manager to the successful management of organizational transformations, while ensuring coherence with the overall strategy of the organization. In this regard, the main objective of HR is to help employees to assume ownership of this culture of change.

The role of the HR manager as a **strategic partner** requires the HR function to provide expertise in support of the organization's overall strategy. To this end, he/she puts forward proposals regarding recruitment, training and remuneration policies. Furthermore, once the overall strategy has been defined, the HR function may have to make staff adjustments in order to enable this strategy to be implemented.

The fourth role proposed by Ulrich's model is that of the **employee champion** that wants the HR unit to treasure its most valuable asset, i.e. its human resources. This role allows employees to be regarded as internal customers. As such, it is necessary to ensure their self-fulfilment and satisfaction so as to prompt

them to use their competencies for the benefit of organizational objectives.

The four roles advocated in this model are, moreover, part of a voluntary and deliberate process. The choice of the top management is decisive in this regard. Does HRM have a special status in the eyes of senior staff? In the literature, two conditions are essential for the HR function to play a strategic role. These two conditions (alignment and consistency) are necessary not only to play a strategic role but also, above all, to allow employees to contribute to overall organizational performance.

5. The strategic and general policy and administrative levers of an HRM system

a- The strategic levers of the HR system

At the level of Customs administrations, strategic human resource management is an approach that determines how organizational goals can be achieved by all Customs staff through integrated human resource strategies, policies and practices.

Furthermore, strategic HRM is not limited to a set of techniques and tools but rather consists of a whole culture supported by a set of values. In fact, the strategic management of human resources involves not only the exercise of strategic choices and priorities, but also the implementation of the strategy and the behaviour of the HR department

2- In order to enable the human resources department to play these four roles at the level of Customs administrations, it is recommended to equip this department with a competent staff in human resources management and especially motivated to participate in the process of value creation.

staff. These are called upon to cooperate on a daily basis and join forces with their colleagues from others customs department to ensure that the strategic and operational objectives of the organization are achieved, and the values advocated are put into practice. With this respect, strategic HRM will provide the Customs administration with a sense of direction in an often turbulent environment, so that its organizational needs and the individual and collective needs of its staff can be met through the development and implementation of policies, coherent programmes and HRM practices. The figure below illustrates the purpose of strategic HRM.

In this regard, and for the sake of organizational performance, Customs administrations would rather advocate an integrated approach to HR as defined by best practices, which implies an understanding of the sequential logic of HR transformation and the systematic adoption of a competency-based methodology focused on results and performance.

There are two fundamental principles to strategic HRM: HR strategic alignment and operational coherence. This translates an entity's organizational strategy into detailed HR objectives that structure the setting of an efficient HR strategy within the organization and ensure that the HRM system in place plays the necessary roles of strategic partner, change agent and employee advocate, and not just that of administrative expert. HRM practices are therefore developed in coherence with the vision and the strategic objectives of the administration. The figure below presents the two strategic principles: In another sense, the strategic objectives reflect the organization's

Fig. 3 : The principle of strategic coherence and alignment in HRM



degree of adaptation to the broader dimensions of its internal and external environments. Alignment (or

vertical integration) requires that the HRM strategy be aligned with the organizational strategy and that elements of the strategic plan be integrated into HRM practices at all levels of the organization. The principle of coherence (or horizontal integration), on the other hand, recommends that HRM practices be integrated and operate in synergy. In other words, the impact of each HR practice must consolidate and complement the others, hence constituting an integrated system.

These two characteristics stipulate that the HR function must propose coherent and complementary action plans so as to align HRM practices with the main guidelines of the organization. This will help achieve the strategic objectives of Customs administrations and thus promote the performance of its different units.

Nonetheless, the achievement of these two conditions, and the integration of the competencies approach in the HRM practices of Customs administrations, requires the introduction of new HR policies. It is important to adopt clear policies that communicate the values and expectations of the administration with regard to practices in strict compliance with the legislation and the principles of equity and transparency. The importance of these policies lies equally in the implementation of good practices that help the administration make coherent, consistent and predictable decisions.

b- General and administrative policies of the HRM system

1- The importance of HRM policies for Customs administrations

HRM policies provide guidelines on how to manage key aspects of Customs staff management. The ultimate goal is to ensure that all issues and aspects related to HRM are addressed in a coherent way and, at the same time, are in compliance with the values and principles defined by the Customs administration. Hence the importance of explicitly formulating these policies so as to ensure a shared understanding by all Customs staff³.

*Human resource policies have to be differentiated from procedures. A **policy** provides generalized advice on how human resource issues should be addressed. A **procedure** clearly specifies the measures to be taken to deal with major employment problems such as grievances, discipline, abilities and overlapping appointments.*

As such, formally explaining HR policies provides an advantage in terms of consistency and of staff understanding the general guidelines laid down by top management. Policies can be formally expressed as general statements of central values or in very specific areas deemed essential (use of ICTs, health and safety at work, etc.).

HRM policies set the basic rules for the management of Customs personnel. In addition, these rules define the philosophy, core values and principles on which managers (line managers) should act when dealing with human resource issues.

3- Some organizations also prefer that certain policies exist implicitly in the form of a management philosophy. This presents a risk of individual interpretations and practices that do not conform to organizational principles.

In general, formalized HRM policies can be used in initial and in-service training, and in induction and integration programmes for new recruits, who will be helped to understand the philosophy and values of the Customs administration, as well as the expected organizational behaviour. The policies will also serve to provide a clear definition of staff relations, **the organizational fit and the psychological contract.**

In short, HRM policies in Customs administrations are important in many respects. They can :

The psychological contract is defined as a set of tacit agreements between the members of an organization, and more precisely of mutual promises and obligations between employers and employees. This contract refers to the expectations underlying the employment relationship and covers everything that is not usually formalized in writing. On the employer's side, this may be, for example, an expectation of performance, personal involvement or time of service and loyalty. For the worker, it refers, for example, to a personal ambition or to a supportive work

- Describe the behaviours and attitudes expected by the administration;
- Communicate the values and expectations with regard to work in the Customs administration;
- Maintain compliance with the national and international legislation in force;

Values expressed in the HRM general policy:



Equity : Treat staff fairly and equitably by adopting an "impartial" approach. This includes protecting individuals from unfair decisions made by their managers, offering equal opportunities for employment and promotion, and providing a fair reward system.



Organizational learning : Promote learning and development of all organization members by providing the processes and support required.



Quality of working life : Consciously and continuously aim to improve the quality of working life. This involves increasing the sense of satisfaction that people get from their work by reducing monotony, increasing variety, autonomy and accountability, avoiding subjecting staff to excessive stress, and ensuring an acceptable balance between work and personal life.



Performance : Develop a permanent culture of continuous improvement; performance management is a means of defining and accepting mutual expectations, and providing fair feedback to people about their performance.



Working conditions : Provide a working environment that is healthy, safe and, as far as possible, pleasant and friendly.

3- Formulation of HRM policies in Customs

HRM policies must address and prevent the main problems related to the day-to-day management of staff identified at the level of Customs administrations. They must also take into account external influences such as national legislation and international norms and standards.

It is also crucial to involve managers, employees and their representatives in this process (union or

- Document and implement the best practices relevant to Customs in HRM;
- Support an organizational culture that promotes consistent, fair and transparent treatment of all Customs staff.

2- HRM general policy

The HRM general policy defines how the organization responds to its social responsibilities towards its staff, and sets out its positions and attitudes towards them. It is an expression of the organization's values and convictions as to how people should be treated.

Values, expressed in an overall statement of HR policies, may explicitly or implicitly refer to the following concepts⁴ :

Organizational fit or organizational coherence refers primarily to the fit between the values and goals of the staff and what is desired by the organization. To this end, an organization must be allied with employees who embrace the same values and who actively contribute to its performance.

Obviously, they must hold the demands of their workstations in terms of skills and experience to properly fulfill their responsibilities and tasks. Especially as to ensure their mobilization and promote their retention.

Tips and advice

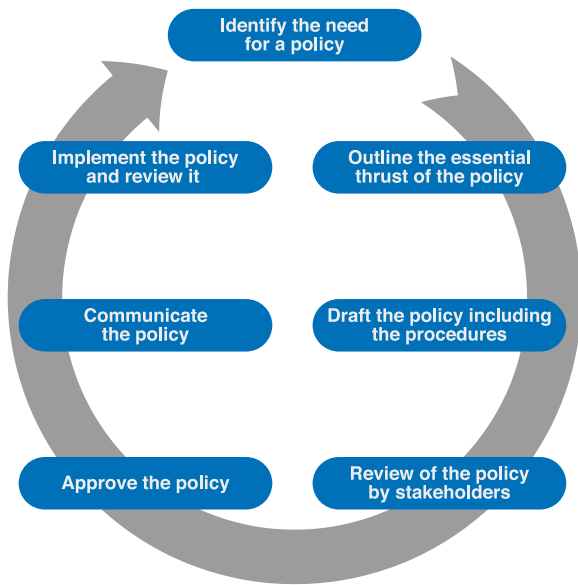
- Policies are developed for all Customs staff and not for any particular category. It is a question of establishing standards that will apply universally across the organization;
- Poorly written and badly implemented policies can hurt rather than protect your organization. It can be difficult to change policies once they have been implemented, since they are part of the organization's culture and working methods;
- It is important to check regularly that managers have the competencies and resources to implement and monitor the policies in place.

4 - This is just one example of the values that can be found in organizations. However, the practice must be personalized and adapted to the particular context of each Customs administration.

staff representation as appropriate), and especially to share the policies widely with all staff, along with clear and understandable implementing guidelines.

In general, the steps, shown in the figure below should be considered when formulating HRM policies:

Fig. 4 : Steps to be followed in the formulation of HRM policies



Step 1 : Identify the need for a policy

The need for a HRM policy is generally identified in one of the following situations:

- National legislation explicitly or implicitly requires Customs administrations to have an HRM policy;
- There is a lack of coherence in the way Customs staff behave internally, or managers take decisions that have a negative impact on the working environment or fulfilment of daily activities;
- New practices have emerged that have proven their efficiency in improving organizational performance and staff interests.

A policy creates a rule or a standard to be followed in a consistent manner, hence reducing managers' flexibility to deal with each individual situation.

Areas where policies are generally provided for:

Before beginning this process, existing national and international labour legislation should be reviewed so as to understand the policies required to ensure compliance with national and international standards. At the Customs administration level, written policies are generally provided for in the following areas:

- Code of Conduct – Confidentiality – Conflict of Interest – Working Conditions – Leave – Presence and Hours of Work – Termination (Voluntary and Involuntary) – Recruitment and Selection

- Compensation – Performance Management – Career and Rotation Management – Learning and Development – Benefits and Eligibility – Overtime – Leave – Employee Information – Grievances/Dispute Resolution – Formal Complaint Process – Discipline – Discrimination and Harassment of all Kinds – Occupational Health and Safety, and Accidents – Violence at Work – Use of Alcohol and Drugs – Use of Equipment – General Policy on Policy Review and Updating

Tips for this step

The following questions provide a clear indication of the need for Customs administrations to draft a policy that is adapted to their work environment:

- What does this policy need to accomplish? What are the expected results?
- How does this policy support the development of the desired organizational work culture?
- How will this policy be monitored and implemented?
- How will this policy affect the ability of a manager, e.g. in reviewing performance, awarding promotions, approving leave, recruiting or terminating employment?
- How will this policy affect organizational ability to attract and retain quality candidates?
- How was this problem dealt with in the past?
- Does the size and quality of our staff justify this kind of policy?
- Are we willing to invest the time required to keep the policy ongoing?
- Will this policy promote something that the organization believes in? For example, if an organization has a philosophy of "performance", it may wish to have positive policies for individual and group performance management, such as setting clear performance criteria, developing competencies, etc.
- How does this policy affect stakeholders' needs?

Step 2: Outline the essential thrust of the policy

Human resource policies need to address, in a global way, the main human resource issues, real or potential, in the organization. They must also take into account exogenous influences such as legislation, the nature and role of human resources, etc.

As such, and with regard to policies required by legislation, much of their content might be determined by the requirements of the law. However, because it is not possible to review all the legislation in force, it is imperative to be aware of the legislation that applies to Customs. As a general rule, it is suggested that the following be considered:

- Professional standards;
- Privacy legislation;
- Health and safety at work;
- The rights and obligations of staff;
- Workers' compensation.

Step 3: Draft the policy⁵

A policy is often supported by a related procedure, which may be a section of the policy itself or a separate document to which it refers. The procedure sets out the instructions, i.e. the systematic steps required to implement the policy.

Example : a policy on discrimination would communicate the position of the Customs administration on discrimination. A related procedure would indicate to staff how to deal with a situation of discrimination in terms of filing or processing a complaint.

When developing the procedure, it is strongly recommended that a statement be included indicating that that procedure is intended for the policy concerned. Some laws specifically require procedures to be developed to clarify legislative requirements governing Customs administration.

In practical terms, a policy should include the following sections:

Policy title	Describes the policy, clearly and impartially.
Policy objectives	Clearly state what effects the policy is intended to produce. For example, a recruitment policy may have the purpose of hiring the most appropriate individuals for each position, providing an effective, non-discriminatory and systematic way of attracting and identifying qualified job seekers, and recognizing competent employees and promoting their professional development.
Scope of the policy	Usually indicates the scope of application of the policy. It can be applied to all staff or to only some specific staff depending on the hierarchical level, workplace or nature of the work, etc. The scope should also identify any exceptions to the policy.
Declaration	The effective rule or norm that the policy should convey.
Responsibilities	Explicitly indicates the responsibilities of all the parties concerned by the policy, primarily in relation to its development, upkeep, follow-up and implementation.
Definitions	Clearly define all terms used in the policy. If the terms used are found in the legislation that underpins the policy in question, use the definitions as set out in the legislation (e.g. disability, prohibited grounds, discrimination, harassment, workplace violence, etc.). Moreover, if the policy provides for consequences in the event of non-compliance, this must be stated explicitly. For example: a "Discipline Policy" must clearly state "Failure to comply with this policy may result in disciplinary action up to and including termination of employment".
Questions	Designate the responsible person to contact if staff need clarification or have questions.
References	Determine the linkage to any other policy, internal document or legislation that supports interpretation of the policy.
Date effective	Indicates the date of entry into force of the policy and of any review.
Review date	Indicates the date of the policy review.
Approval	Indicates the party that approved the policy (e.g. the executive committee) and the date of approval.

Tips for writing the policy

- Use clear language and avoid legal jargon. The aim is to ensure that the policy can be easily understood by the target audience.
- Make sure that the content and formulation are unbiased, and promote fair and coherent treatment.
- Use coherent terms and define any special term to ensure mutual understanding.
- Make sure that there is only one possible meaning of the standard or rule defined by the policy.

- In most cases, policies allow for exemptions. In such cases, use terms like "generally" and avoid terms like "always" and "never".
- Include a statement such as: "this is a guideline only".
- There are situations where it is necessary to make it clear that the standard set out by the policy applies in all situations. For instance, in a policy on violence, specify that "workplace violence will not be tolerated under any circumstances".

following is an example of a policy on social justice and diversity in a customs context :

⁵ - See example in Appendix 1.

Policy title	Policy on social justice and diversity
Effective date	DD-MM-YYYY
Date of last review	DD-MM-YYYY
Scheduled review date	DD-MM-YYYY
Substitutes	All preceding policies or declarations
Approved by	Director General, Executive Board, Department Managers
Policy objectives	
<p>Developing a policy on social justice and diversity will constitute a significant tool to demonstrate Customs administrations' commitment to making social justice and diversity key assets for the development of trade. Developing a policy on diversity will allow the management team to agree and share with all staff its motives, guidelines and objectives in terms of diversity and social justice.</p> <p>In practical terms, for Customs administrations to be open to all, free of any borders, staff diversity should be part of HRM practices. As such, the Customs administration respects and values individual differences and ensures fair and equitable treatment of all in every aspect pertaining to employment. To this end, the Customs administration will strive to eliminate all barriers to equal access to employment.</p> <p>Proactive adjustments will be made to the work environment wherever necessary and reasonable, in order to promote the dignity, evaluation and productivity of staff, or to recruit and retain competent employees regardless of origin, gender, ethnicity, religion, disability, etc.</p>	
Scope	
This policy applies to all staff of the Customs administration.	
Definitions	
(This is a non-exhaustive list that can be further developed in accordance with Customs administrations' interests and concerns)	
<p>Discrimination: discrimination refers to an intentional or unintentional action, behaviour or attitude that has, or could have, a negative impact on the employee's work, due to one or more prohibited grounds of discrimination provided for in the law. Discrimination that is prohibited may be intentional and direct discrimination, or may take the form of indirect, involuntary or "systemic" discrimination.</p> <p>Affirmative action: a set of measures developed for a particular group with a view to eliminating and preventing, or compensating for, disadvantages resulting from existing attitudes, behaviours and structures (sometimes referred to as "positive discrimination").</p> <p>Equal opportunities: equal opportunity actions provide formal legal provisions guaranteeing the absence of discrimination on the grounds of gender or other factors (ethnicity, religion, disability, etc.) that would prevent people from enjoying their civil rights or human rights. Equal opportunity actions assume that all "actors" have the same starting conditions and the same abilities to succeed. Equal opportunity strategies are mainly developed for human resource management and employment policies.</p> <p>Obstacles: these generally fall into three areas: behavioural, administrative and physical. Obstacles prevent people from doing their best for reasons of ethnicity, ancestry, place of origin, colour, origin, citizenship, beliefs, religion, sex, age, marital status, same-sex partnership, family status or disability.</p> <p>Workplace accommodation: an accommodation at work is a change in the way a person works so as to enable them to perform the essential duties required by their job. Such changes may be temporary or permanent.</p> <p>Practically reasonable accommodation: efforts to accommodate an employee will be considered practical in the light of a number of factors, including sources of funding, undue hardship, health and safety requirements and costs. Factors that could be excluded include constraints on the organization and third parties' preferences.</p>	



Policy implementation

Policies: the Customs Administration will be free from structures or actions that oppress, exclude, limit or discriminate. The current policies, procedures and practices of the Customs administration will be in accordance with applicable human rights legislation. Fair and equitable treatment will apply to all aspects of employment including planning, recruitment, selection, training and development, award management, benefits, performance management, rotations and careers management, termination of employment, and workplace.

Management responsibilities: it is the management's responsibility to ensure that none of the policies, practices, guidelines and procedures allow for intentional or unintentional (systemic) discrimination, as well as to review and evaluate policies and practices on a regular basis and monitor work environments to ensure that they are free from any barriers or prejudices. To this end, the human resource department, department managers and staff managers will make every effort to ensure that the composition of their teams accurately reflects the composition of the communities to which they provide services.

Vulnerable stakeholders: in this context of inclusiveness, the Customs administration will make special efforts to involve the most vulnerable and take into account their special needs.

Reasonable accommodation: in order to fulfil its obligations under this policy, the Customs administration will make all reasonable efforts to accommodate the particular needs of employees, depending on the requirements of the service. Such initiatives could include:

1. Modifying a person's work and/or workplace to take into account his/her temporary or permanent physical disability;
2. Changing work schedules to meet specific constraints;
3. Exchanging days off for religious holidays: an employee may be authorized to exchange a public holiday granted for a religious celebration for another workday when possible. In such cases, the human resource department should be consulted;
4. Granting paid and unpaid leave on family grounds;
5. Disseminating information and organizing workshops to improve understanding of diversity and social justice.

Responsibilities

It is the responsibility of the Director General, the Director of Human Resources, the Central and Regional Managers, and all staff managers to inform stakeholders of this policy, to ensure the application, monitoring and revision thereof, and to allow for exceptions.

It is the responsibility of the members of the management team to apply and implement this policy in their respective area of responsibility.

Step 4: Review of the policy by stakeholders

In order to guarantee staff acceptance of the new policy and ensure successful implementation thereof, it is highly recommended that a representative group of managers and employees (“users”) be designated

in addition to the legal department to review the scope and feasibility of the policy and propose necessary amendments. The following table may be useful in illustrating the level of commitment of each stakeholder:

Managers	Staff	Legal department
<ul style="list-style-type: none"> • Do you have the resources and competencies necessary to implement and monitor the policy? • What is your understanding of the responsibilities of each of the parties involved as indicated in the policy? • Are the content and formulation unbiased? • What information and, where applicable, training do you need to fulfil your responsibilities as stated in the policy? What about your staff? • What do you think are the potential risks for stakeholders that may lead to the failure of this policy? 	<ul style="list-style-type: none"> • What is your understanding of your responsibilities and of the organization's expectations as indicated in the policy? • Are the content and formulation unbiased? • What training or information do you need to fulfil your responsibilities as stated in the policy? • What do you think are the potential risks for stakeholders that may lead to the failure of this policy? 	<p>This step may not apply to all rules. Complex policies, such as discipline and grievance policies, and policies required by legislation, should be thoroughly examined by the legal service or by a lawyer specialized in labour law. Check that the policy:</p> <ul style="list-style-type: none"> • is in accordance with national and international labour standards; • complies with the country's labour laws; • complies with the provisions of any collective agreement, if applicable.

Step 5: Approve the policy

In procedures involving all staff, the executive committee (steering committee) is responsible for the final approval of the policies. In this case, approval is often carried out through a formal motion. In this regard, it is recommended that the

members of the executive committee be provided with all information explaining the reasons for the policy and its development process. Once approved, the approval date must be added to the policy to formalize its entry into force.

Step 6: Communicate the policy

The communication of policies must be part of a communication plan based on a change management strategy. Policy-makers must use all the communication tools they have (face-to-face meetings, bulletin boards, newsletters, web pages, intranets and e-mails) to remind employees of the key principles of the policies.

It is also advisable to encourage instructors to disseminate aspects of the policy and to encourage managers to review the values that underpin policies during competency assessment and performance appraisal sessions.

Finally, ensure that staff, managers and key stakeholders have up-to-date copies of the policies and procedures relevant to their role in the organization and are informed of any new policies or any changes in policies in force.

Things to consider when selecting tools to communicate policies

- Will employees have easy access to electronic copies or will they need hard copies?
- What concerns, and questions are likely to be raised about the policy and how will they be addressed? If the concerns are likely to be significant, direct communication through an information session or awareness-raising by the manager will be a more effective approach than an e-mail.
- Does the policy provide enough information for managers and staff actually to implement it and comply with it or will they need additional training or information?

The tools above are often used in combination to ensure that employees understand and own the competencies needed to implement the policies and to comply with them.



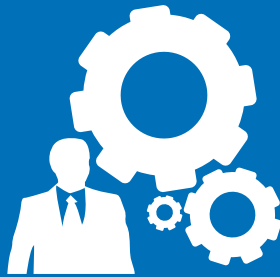
Step 7: Implement the policy and review it

The objective is to implement policies in a fair and consistent manner. Successful implementation of HRM policies is guaranteed by the visible commitment of the HR department and direct (front-line) managers. The latter have a fundamental role to play in the implementation of policies because they are the ones who support HR policies. They are called upon daily to make management decisions in accordance with all policies, including newly introduced policies.

Policies should be reviewed and updated regularly. A period of two to three years is recommended before a complete review, unless otherwise indicated by a national law.

As such, the HR department is responsible for outlining policy guidelines and providing practical advice to front-line managers, or even training where appropriate. It is also responsible for communicating and interpreting these policies and, at the same time, acts as a point of reference for managers and all staff when there are questions or a need for clarification arises.

SECTION



STEP-BY-STEP ROADMAP TO
ESTABLISHING A COMPETENCY-
BASED HRM SYSTEM



With a view to achieving palpable results in the Customs context, the World Customs Organization, particularly within the framework of the West African Customs Administrations Modernization Project (WACAM) financed by Swedish, has adopted an innovative approach in accordance with the particular contexts of revenue authorities and Customs administrations.

We recommend, within the framework of this Guide, applying the Kotter model for change management. This model advocates eight steps to institutionalize change, as follows:

1. Create a sense of urgency
2. Build a guiding coalition
3. Create a strategic vision
4. Communicate the change vision
5. Enable action by removing obstacles
6. Generate short-term wins
7. Consolidate the change: do not let go
8. Anchor the change in the organizational culture

The approach uses the project management methodology which includes change management activities for HRM modernization.

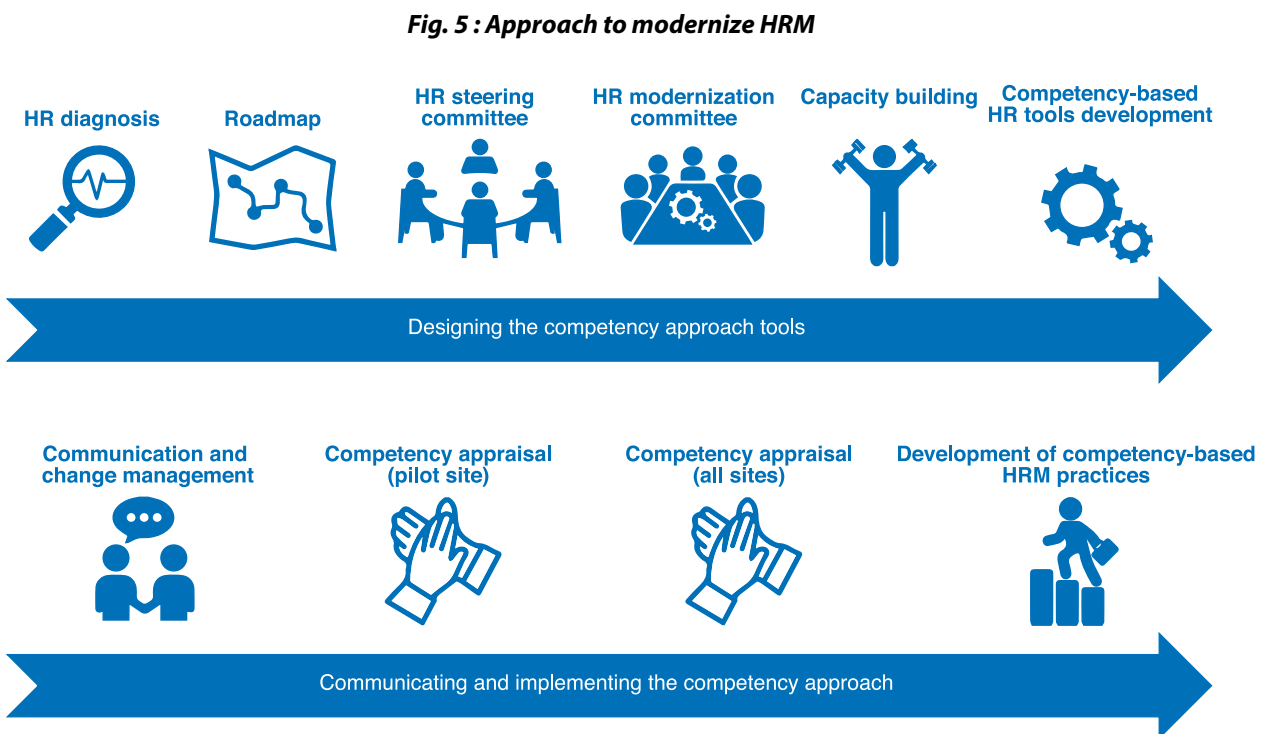
In the process of implementing the project to establish a competency-based HRM system, two complementary types of activities take place:

The cycle of a project can be structured in seven steps:

1. Identification: a statement of the initial idea of the project together with its general orientation and situation analysis;
2. Development: detailed explanation of the project taking into account the technical and operational aspects;
3. Validation: social and economic feasibility, including technical, institutional and environmental aspects;
4. Formulation: preparation and writing of the draft project and submission for approval and funding;
5. Implementation: progress of the project in accordance with the objectives through the realization of planned activities intended to help attain the expected results;
6. Follow-up: regular and continuous review of the smooth running of the project to integrate the necessary corrective actions as it progresses;
7. Evaluation: assessing and measuring at regular intervals the attainment of the objectives and making recommendations on continuation of the project or development of similar projects.

1. Designing the competency approach tools; and
2. Communicating and implementing the competency approach.

The figure below presents the steps and actions involved in the WACAM approach:



1- Conducting an HRM diagnostic

Prior to implementing a competency-based human resource management system, it is recommended that the necessary resources be mobilized to establish a human resource management diagnostic of Customs administrations. This measure should necessarily cover all components of the HR function, and thoroughly evaluate the specificities of the organizational, human and cultural contexts. This will determine the framework of implementation of the competency approach. It will take stock of the quantitative and qualitative data available and verify its own ability to mobilize all the levers of the resulting HR action plan.

For more information on how to use the HR diagnostic tool, please refer to:

- Document HC0092F: Presentation of the HR diagnostic tool.
- WCO Framework of Principles and Practices on Customs Professionalism.

The diagnostic should, moreover, make it possible to identify, among all HR action levers, those that cannot be put into practice unless other prerequisites are in place.

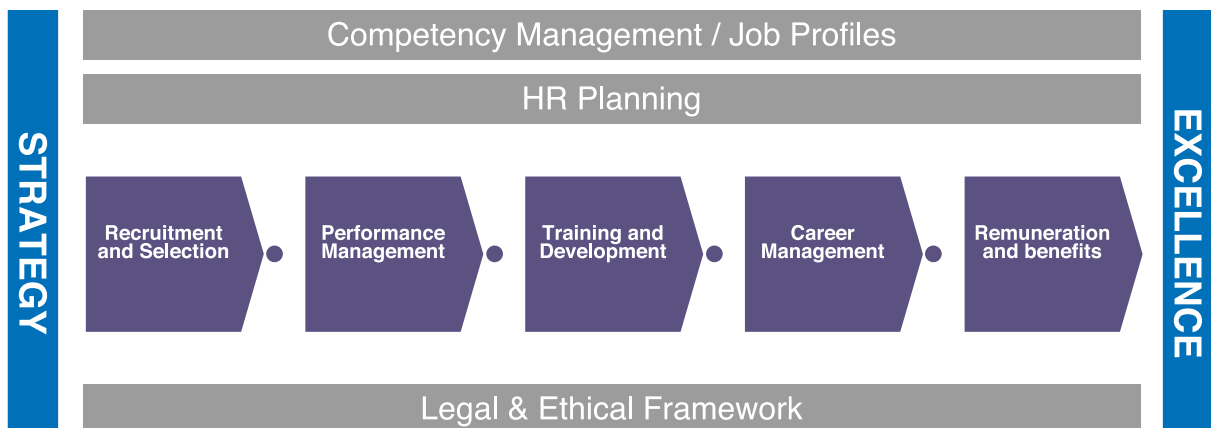
To support its Members in this major exercise, the World Customs Organization has developed a tool for diagnosing human resource (HR) management for the following purposes:

- **Help identify the strategic and operational HR needs of Member administrations through a multi-purpose tool to:**

- Compare national HR programmes and policies with the principles, tools and best practices presented in the Customs Professionalism Framework, interactive map and other relevant WCO documents;
- Consolidate understanding and capacity to implement HRM strategies, policies, systems and processes that integrate the competency approach;
- Assist Members in the process of developing a national action plan for the reform and modernization of HRM;
- Promote the implementation of HRM with a view to consolidating the performance measurement system.
- **Participate in the adoption of a standardized approach to HRM in the Customs context:**
- Have a standardized diagnostic tool and a guide for the development and implementation of HR reform and modernization projects and ethics-enhancing measures;
- Identify interdependencies between different HR processes or practices: promote efficient implementation of HR best practices and measures advocated under the WCO Customs Professionalism principles;
- Contribute to the development of an in-depth collaboration between HR professionals in Customs administrations.

The HR value chain presented in the following figure allows to visualize the implementation stages of the strategy and the conditions for achieving organizational excellence:

Fig. 6 : HR value chain



HR Strategic Roles

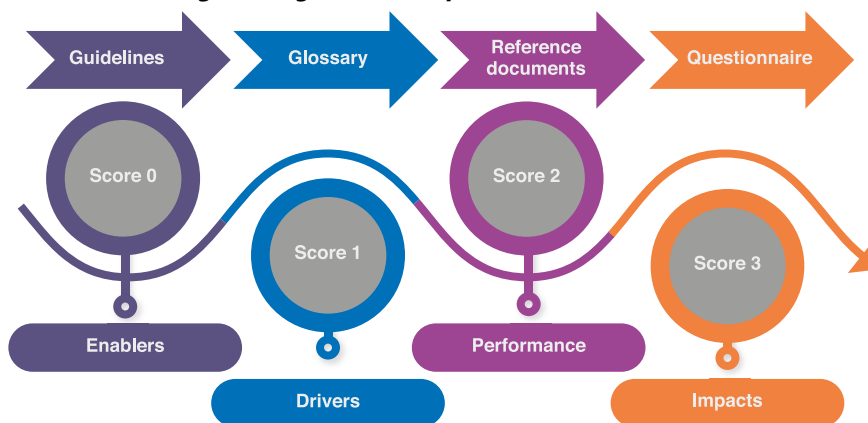
The WCO HR Diagnostic Tool provides a consolidated approach and built-in elements to assist Customs administrations in their assessment of HRM policies, strategies, processes, practices and capacities. It also

includes reference documents, resource materials, questionnaires based on the WCO principles of Professionalism and Ethics, good practices, and lessons learned from Members and partners.

The diagnostic questionnaire is composed of four parts: guidelines on the use of the tool, a glossary to define each key concept, the form for the collection of reference documents, and a questionnaire on HR processes and practices and on their legal and ethical framework. The very structure of the tool aims to identify the current situation of an administration with a results-based approach. Its users are asked

systematically to consider the organizational impact of HR. Indeed, for the purpose of carrying out an analysis of the present situation of the "as is" type, each page of the questionnaire devoted to a process is divided into four levels: **the facilitating elements, the driving elements, performance, and the organizational impact of each of these processes.** The figure below shows the structure of the diagnostic tool questionnaire:

Fig. 7 : Diagnostic Tool questionnaire structure



As far as deployment is concerned, the HR Diagnostic Tool is multifaceted and can be used in a dynamic way to meet the multiple needs of Customs administrations:

- By the mandated HR modernization team, allowing the identification of needs and priorities, and the introduction of basic WCO concepts, and laying the foundations for monitoring the alignment of the HR strategy with the Customs Professionalism principles and/or monitoring the performance of the HR modernization project. The tool has a twofold purpose for independent use: self-evaluation, and as a maturity model;
- By the team of HR diagnostic experts recognized by the WCO to provide technical assistance to beneficiary administrations.

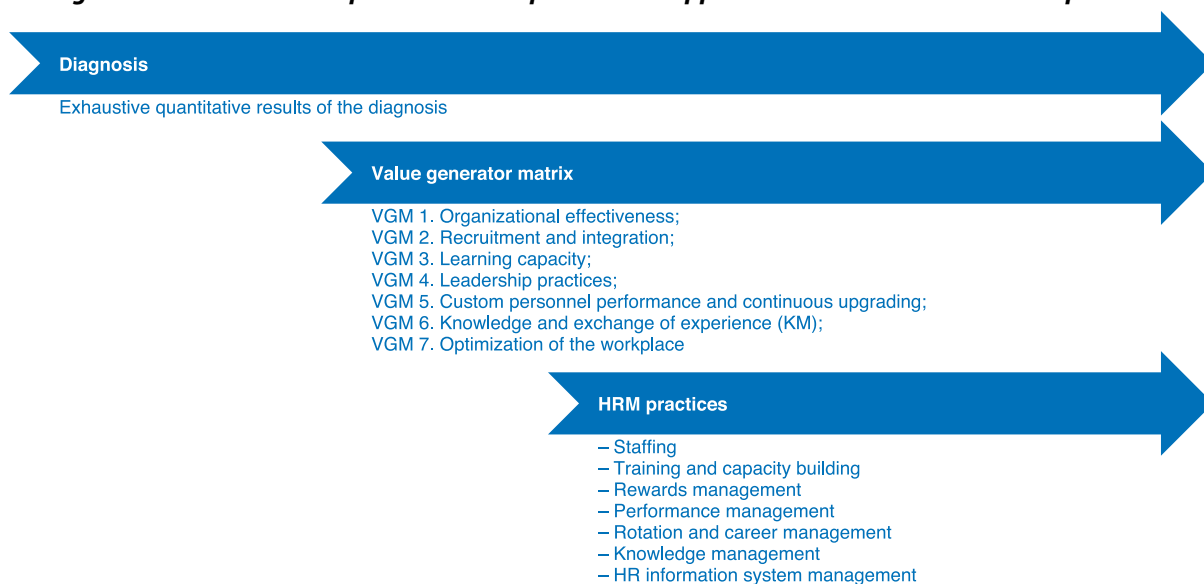
To expand and validate the results of the diagnostic

The Diagnostic Tool can be used in its simplified form independently by the teams in charge of the modernization of HR within their administrations. Members can benefit from a support session to reinforce their HR capacities, including a mission by the WCO.

These missions are facilitated by WCO HR experts, either from the Secretariat or from a Customs administration, with relevant HR expertise duly recognized by the Secretariat. These provisions are intended to ensure consistency in the use of the tool.

questionnaire, an additional matrix illustrated in the figure below, structured around "value generators"⁶, offers a qualitative approach specifically designed for the Customs profession. The matrix includes seven (7) value generators that compile the elements of an HR organizational vision, each generator presenting practices that illustrate its scope. The expected results aim at completing the HR diagnostic questionnaire, which is, for its part, structured around HR functions and processes in a more quantitative perspective.

Fig. 8 : Links between the qualitative and quantitative approaches and definition of HRM practices



6 - These value generators are: VGM 1. Staff strategy and organizational efficiency; VGM 2. Recruitment and integration; VGM 3. Learning and capacity building; VGM 4. Leadership and development practices; VGM 5. Customs performance and continuous improvement; VGM 6. Knowledge and exchange of experience (KM); VGM 7. Optimization of the Customs workplace.

Finally, it is worth mentioning that the use of the HR Diagnostic Tool during a mission will allow the beneficiary administration to receive a full report containing practical recommendations and preparatory elements for establishing an action plan (roadmap) to undertake integrated HR reform. The report should focus on key aspects for the success of HR reform, including:

- Maximizing the opportunity factor created by the mission by anchoring political commitment to HR reform;
- Prioritizing recommendations with regard to the HR value chain, and developing reference and fundamental HR tools;
- Contributing to establishing an alignment sequence for the HR strategy as well as the competency-based HR processes and practices meeting international best practices

The expected results of the HR diagnostic missions can be summarized as follows:

- *Articulate and integrate HR processes and projects of the recipient administration into a strategy and a policy grounded in international best practices.*
- *Contribute to the appropriation of HR methods and tools, and development of the autonomy of HR services, allowing them to support Customs operations efficiently and contribute to the achievement of strategic objectives.*
- *Participate in optimizing the potential of the Customs workforce and support projects creating transparent, predictable and performance-oriented careers.*
- *Develop the organizational value proposition that helps support staff motivation and build an inclusive culture within the administration.*
- *Participate in increasing trust between the organization and the staff: an essential element of the revised Arusha Declaration.*
- *Increase institutional agility and staff performance*

2- Establishing the roadmap

A roadmap in an HR modernization project will provide a description of the key activities and the evaluation and monitoring criteria required for efficient management. The purpose is not to describe

in detail the activities of a particular solution, but rather to provide a general overview of the activities to be carried out in order to complete the project successfully. This roadmap serves as a guide for those who hold the positions of project leader or manager.

An example of a roadmap is provided below, together with the logical framework for a successful HR modernization project:

General objective: contribute to Customs staff professionalization and improve performance			
Result 1: HRM has strengthened its capacity to assume its role as a strategic partner within the organization			
Result 1 – activities	Outputs	Output delivery date	Staff/unit in charge of outputs
1.1 Strengthen the HR modernization team capacity as well as that of the team in charge of implementing the competency-based HRM	<ul style="list-style-type: none"> - HR modernization team capacities strengthened - HR team able to pilot HR modernization project 	<ul style="list-style-type: none"> • Throughout the national support plan 	<ul style="list-style-type: none"> • HR modernization committee, HR department (HRD)
1.2 Draw and validate an HR strategy (including all processes) in line with the organizational strategy	<ul style="list-style-type: none"> - HR strategy developed, validated and put into practice 	<ul style="list-style-type: none"> • DD/MM/YYYY 	<ul style="list-style-type: none"> • HR modernization committee, steering committee, HRD
1.3 Develop an information system bearing in mind the competency approach and the monitoring dashboard	<ul style="list-style-type: none"> - HR information system developed and operational 	<ul style="list-style-type: none"> • DD/MM/YYYY 	<ul style="list-style-type: none"> • Information system department • HR modernization committee, HRD
1.4 Revise the organizational structure (organization chart) on the basis of the job and competency framework recommendations, and of international standards	<ul style="list-style-type: none"> - Organization chart revised 	<ul style="list-style-type: none"> • DD/MM/YYYY 	<ul style="list-style-type: none"> • HR modernization committee, steering committee, general affairs department, along with support from experts
1.5 Develop the training and capacity building strategy in line with the relevant best practices	<ul style="list-style-type: none"> - Training strategy finalized, validated and put into practice 	<ul style="list-style-type: none"> • JJ/MM/AAAA 	<ul style="list-style-type: none"> • HR modernization committee, steering committee, general affairs department, along with support from experts • HR modernization committee, steering committee, HRD

Result 2: the HR department successfully developed and implemented modern tools for strategic competency-based HRM			
Result 2 – activities	Outputs	Output delivery date	Staff/unit in charge of outputs
2.1 Finalize and validate all the tools of competency-based HRM (job and competency framework, competency chart, job description and competency dictionary)	– Competency-based HRM tools developed, validated and put into practice	• DD/MM/YYYY	• HR modernization committee, steering committee, HRD
2.2 Officially undertake communication and change management operations in all Customs offices	Communication and change management operations realized in all Customs offices.	• DD/MM/YYYY	• HR modernization committee, steering committee, HRD, pilot site
2.2.1 Initiate and realize competency appraisal operations for HR training planning needs	Pilot operation of competency appraisal realized in a pilot site	• DD/MM/YYYY	
2.2.2 Process and extract the competency appraisal results for HR training planning needs	Competency appraisal results processed Training plan elaborated, validated and put into practice HR plan elaborated, validated and used as a basis for recruitment	• DD/MM/YYYY • DD/MM/YYYY • DD/MM/YYYY	
2.3 <i>Apply the competency appraisal at national level</i>	– Competency appraisal carried out at national level (all staff)	• DD/MM/YYYY	• HR modernization committee, HRD
2.3.1 <i>Elaborate and implement the national training plan and the staff plan</i>	– National training plan and staff plan elaborated and put into practice	• DD/MM/YYYY	
2.4 <i>Install and apply the e-learning platform nationally</i>	E-learning platform installed and applied	• DD/MM/YYYY	• Information system and statistics department
2.5 Draw up the performance management procedure and the performance measurement tools in line with the competency approach (evaluation sheets)	Performance management tools and procedure validated and put into practice	• DD/MM/YYYY	• HR modernization committee, steering committee, HRD
2.6 Elaborate the career and rotation management process in line with international standards (career pathways)	Career management tools and procedures validated and put into practice	• DD/MM/YYYY	• HR modernization committee, steering committee, HRD

Logical framework

Intervention	Indicators	Verification source	Core data DD/ MM/YYYY	Targets in MM/YYYY	Hypotheses
General Objective					
Contribute to Customs staff professionalization and performance improvement	Client satisfaction rate (Customs image)	Survey (Customs image)	25 %	40 %	
	Staff satisfaction rate	Survey (staff satisfaction)	40 %	50 %	
Project objective					
The foundations of a competency-based HRM system will be laid within Customs administration as prescribed by the Customs Professionalism Framework by the end of YYYY.	Overall average of the WCO HR diagnostic report	Report of the HR diagnostic of the Customs administration	Level 0 of the HR diagnostic report	Level 2 of the HR diagnostic report	
Results					
1. The HR department (HRD) has improved its capacities to assume its role of strategic partner	Overall average of the HR diagnostic report section on "HR roles"	HR diagnostic report	Level 0 of the HR diagnostic report	Level 2 of the HR diagnostic report	
	Number of strategic documents elaborated by the HRD	Customs strategic documents collection	Lack of HR strategic documents	10 documents	
	Number of strategic recommendations made by the HRD and approved by top management	Customs strategic documents collection	Lack of objective competency-based recommendations	10 recommendations	
2. The HR department (HRD) has successfully developed and implemented modern tools for strategic competency-based HRM.	Overall average of the HR diagnostic report section on the "competency approach"	HR diagnostic tool	Level 0 of the HR diagnostic report	Level 2 of the HR diagnostic report	
	Number of competency-based approach tools developed and validated by the executive management	HRD documents collection	Lack of competency-based HR tools	<ul style="list-style-type: none"> – 1 job and competency framework – 1 competency dictionary – At least 80% of job descriptions 	
	Implementation rate of the competency approach tools (pilot site)	HRD documents collection	0%	0% of the tools relevant to the pilot site implemented	

3- Designate the HRM modernization steering and working committees

Reforming and modernizing Customs administrations' HRM is a cross-cutting project of an organizational nature. As such, it should be tackled from a "project management" perspective.

This is why the Director General should appoint, at the start of the project, two committees: an **HRM modernization steering committee** and an **HRM modernization working committee**. Each of the two committees will respond to specific terms of reference.

It should be noted that the success of the HRM modernization project is heavily dependent on the expertise of the members of these two committees as well as on their commitment and the coherence of their action.

● **The HRM modernization steering committee**

For an organizational project such as HRM to succeed, it is crucial that this committee have genuine decision-making authority with regard to the resources it can mobilize, compliance with planning and implementing the options chosen, and the pre-established work plans.

It is also recommended that this body be composed of high-level multidisciplinary managers (central and regional directors), and be chaired by the Director General or his deputy. In fact, the power of the steering committee is a key factor in the success of the project. Indeed, this committee is responsible for the strategic choices as well as the communication around the project, both internally and externally, with a view to garnering key stakeholder support (ministry for home affairs, ministry in charge of the public service, unions or employee representatives, etc.). It is also expected to give impetus and provide guidelines to the members of the work team and, if necessary, allocate or redeploy the resources available to the project.

Finally, the level of commitment of this body in the project and the credibility of its members greatly facilitate the achievement of the objectives set within the time limits, and therefore determine the success of the project.

The main roles of this committee can be summed up as follows:

- Designate the project manager and the HR modernization team;
- Define and allocate the means and resources necessary for the success of the project, and maintain momentum among the actors involved;

- Define and monitor project activities, milestones and respective deadlines;
- Ensure that the project remains in line with the initial objectives defined in the work plan (roadmap established following the HR diagnostic);
- Act as a decision-making and arbitration body when necessary, particularly with regard to the quality of the deliverables;
- Ensure the smooth running of operations based on overall objectives and expected results.

● **The HRM modernization working committee**

The HRM modernization working committee should carefully select its members according to well-established terms of reference. It should be made up of members who are recognized for their competency and credibility, and are taken from all departments of the Customs administration, both centrally and at operational levels, as well as including representatives of the union or staff. A transversal management will allow different competencies from different, but complementary, horizons to be brought together to ensure the smooth and conclusive progression of the project.

Project management is a difficult art in which the project leader, who is responsible for leading working groups, must act as well as possible with creativity, dynamism, diplomacy and perseverance. He must act as a bandmaster.

As such, this committee is a multidisciplinary team appointed by virtue of a memorandum from the Executive Director and led by a project manager, who must have prior academic training in HRM and preferably be the current director, or deputy director, of the HR department.

The tasks of the project manager can be summed up as follows:

- Ensure the organization, steering and coordination of the project;
- Ensure the smooth running of the project and put together project teams to this end; these teams will be made up of representatives of the different departments and entities;
- Lead the members of the project teams and bring them together to produce a collaborative work generating compromises and solutions;
- Propose different management and planning tools such as: a work plan, a project organization chart, an assignments list, a schedule;
- Use project management tools and methods such as dashboards and summaries, project monitoring tables (statistics, progress indicators, etc.), accounts or project review.

The roles and responsibilities of the HR modernization committee also involve:

- Actively participating in HRM capacity-building activities provided by the World Customs Organization in support frameworks for Customs administrations;
- Contributing to the development and validation of competency-based HRM tools, policies and documents;
- Acting as a change agent to facilitate the integration of the new HRM culture;
- Operating as a source of proposals with regard to HRM practices on behalf of the steering committee, with a view to implementing HR modernization adapted to the context of the Customs administration.

management by providing a methodological framework and a range of operational tools to implement and monitor the projected plan of jobs and competencies. The most relevant tools for our study are:

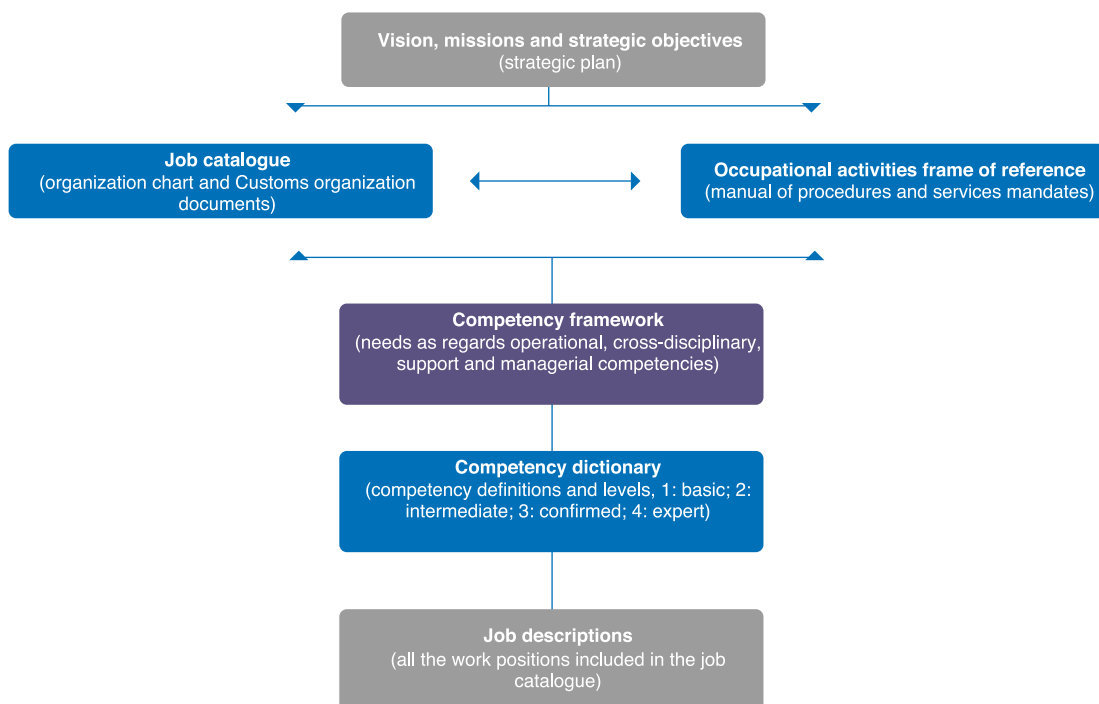
- job catalogue;
- competency framework;
- competency dictionary;
- job descriptions.

It is particularly important to note that the competency approach follows a sequential logic in which the input document is the Customs administration strategic plan. This sequencing is represented as follows:

4- Developing the competency-based HRM system tools

The competency approach structures, and gives impetus to, the various stages of human resource

Fig. 9 : Methodology to elaborate the competency approach tools



It is worth remembering that each of the above tools must be a document that is:

- **Purposeful:** it is produced for a specific purpose, and its use must be in accordance with that purpose and with the specific needs of every Customs administration;
- **Synthetic:** it focuses on the most important and meaningful elements;
- **Present-focused and forward-looking:** it either describes the current situation or reflects on a prospective desired situation;
- **Contextualized:** it focuses on specific situations or positions;
- **A reference:** it has a facilitating character, even though it is designed to be regularly updated in line with any changes (political, organizational, technological, etc.).

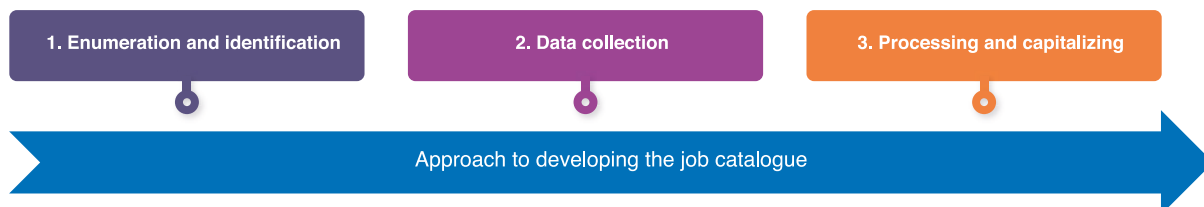
4.1- Methodology to elaborate the job catalogue

The job catalogue is a synthesis of a given professional activity. It is compiled from the catalogue of current achievements and activities (job description, work

procedures, observed competencies, relations within the organization and with the environment, etc.) and prospective achievements and activities (predicting the development of the activities and competencies required in the short or medium term).

It is a process with three major and essential steps:

Fig. 10 : Job catalogue development steps



These steps are related to one another. Every single step is essential and determines the following one, which ultimately produces a coherent, meaningful and workable framework, especially in terms of training engineering.

It is recommended that the job catalogue (organized by group of professions) be used to identify, for each position, **the corresponding professional family**.

In case of a highly poly-disciplinary position, it is recommended to identify either:

- the dominant activity area (on the basis of the time allocated to it);
- the two, three or four most relevant activity areas (according to the distribution of the activities in terms of overall working time).

Step 1: Enumeration and identification

Jobs can be identified on three levels:

- Through identification of the main activities and duties performed by the employee;
- The job profile can be supplemented with the organizational elements mentioned below, and can refer to a management-mentoring framework or manuals of procedures;
- Finally, the job can be matched with the job framework.

The best approach to job identification is, however, through an analysis of work situations or an organizational diagnostic.

The methods used to analyze work are relatively varied, depending on the characteristics of the administrations and populations studied, and the purposes of the analysis. However, all involve fieldwork. In this regard, the following main analysis methods can be identified:

- **Document review:** understand the work through various documents;
- **Survey:** examine the work in writing through a questionnaire for the workers concerned;
- **Activity group:** have representatives of a given job talk about it;

- **Interview:** have a group of people representing a given job talk about it on an individual basis;
- **Observation of work situations:** observe the work and behaviour of an individual at work;
- **Description of a work day:** have the job holder describe his daily activities;
- **Analysis of professional practices:** have representatives of a given job talk about their professional practices.

It is recommended, for the purposes of the present guide, to opt for one of the following two methods: document review and interview.

Document review constitutes the prerequisite for any work situation analysis and makes it possible to :

- Establish framework data and compare what has been prescribed to what has been achieved;
- Mobilize professional actors at the various levels of the administration and apprehend the approach as a strategic development project.

Document review touches on a collection of documents comprising:

- The acts setting up the Customs administration;
- The laws and regulations pertaining to Customs;
- The annual activity reports for the past five years;
- The statutes and regulations governing staff;
- Strategic plans, annual action plans, training plans, etc.;
- HR dashboards;
- The establishment plans covering the past five years;
- HR master plans;
- Recent studies (organizational engineering, reform and renewal projects, HRM project, etc.);
- Studies and reports prepared by outside bodies;
- Audit reports;

- Procedural manuals and organizational notes;
- The collection of procedures or internal work instructions;
- Recent documents on social dialogue ;
- Guidelines and policy texts

Interviews are particularly suitable for an objective approach. They make it possible to take account of the diversity of work environments, both internally and externally, compare them closely and thus steer the interviewee's focus to very precise issues.

At this level, mobilization of all stakeholders is essential for the success of the process as a whole. Indeed, the elaboration of the job and competency frameworks requires a strong commitment on the part of all staff throughout the entire process in order to ensure that it is fully understood, shared and carried out in line with the development and stakes of the administration.

In terms of methodology, a highly appropriate and recommended strategy involves the elaboration of a joint roadmap with the steering committee (see example above). The role of the steering committee is to

support the entity in charge of HRM in the development and production of the job catalogue. As guarantor of the overall coherence of the process, it provides advice, support and methodological monitoring.

The outcome of this work, so crucial to the success of the whole process, should be a mapping of all the jobs that exist in Customs administrations on the basis of their professional group.

N. B : Positions should not be classified on the basis of the organization chart (hierarchical positions or directorate). Classification is to be carried out according to the nature of the activities, and the duties involved.

It is also important not to personalize the positions according to the current jobholders; what should be kept in mind is the logic of the "position" rather than that of the "person".

Globally and except for Customs administrations that have both a brigade corps and on-shore staff⁷, there are **three professional groups: the steering and strategy professional group; the support professional group, and the Customs professional group.**

The following table illustrates a Customs jobs mapping:

Tab. 2 : Structure of the job catalogue

Indicates the professional family by category	Title of jobs by professional family	Presents job positions
Steering and strategy	E.g. Central Manager	E.g. Director of Customs Investigations Department
Support	E.g. HRM	E.g. Career Manager
Customs or operational	E.g. Goods' Clearance Manager	E.g. Chief of Branch at the port

Step 2: Data Collection

This refers to the collection of the most objective and practical data possible on the job and its environment, and identifying and recording the duties that every single entity actually performs. This is why managers should be involved in the reflexion.

For each specific job, a list of positions has already been drawn up, and from that list a group of employees should be selected for interview. Targeted interviews should be carried out with two categories of staff:

- Practitioners who are the most experienced and the most representative of their peers;
- Department managers.

Conducting an experimentation phase to test the proposed tools and methodology on a limited sample is highly recommended. The results of this work must be set out and discussed during feedback sessions before the generalization of the approach to the entire field of study.

Step 3: Processing and capitalizing data

Job data processing occurs at two levels:

- Harmonization of data;
- Identification of areas of proximity between tasks, competencies and jobs.

Harmonization should be facilitated through an indexing system based on key words.

Identification of areas of proximity should **detect**,

7 - For this type of Customs administration, a fourth professional group, dedicated to Surveillance or brigade, should be added.

from common activities and similar competencies deployed, possible linkages between jobs within the same professional group and with other professional groups.

Once validated by the executive management team, the data is transferred to the Intranet, to allow it to be capitalized on. This will publicise the job catalogue across the administration and then allow its dissemination, by specific media, to external operators, state administrations and stakeholders.

4.2. Approache to elaborate the competency framework

The competency framework describes and sets out the competencies required to perform the essential duties and tasks of the position. Competencies are grouped by clusters or professional family (strategic, operational and support), and classified hierarchically.

The notion of ‘competency’ has to be defined at this point. There is wide-ranging debate on the notion of competency, and a wide array of definitions for it. Overall, a competency refers to an integrated set of knowledge, skills (know-how) and soft skills (attitudes) that takes the form of a behaviour. This behaviour allows a person to perform a task according to the requirements of a given work situation. Competency refers to behaviours that reveal internal resources (abilities, personality traits, know-how, knowledge) and external resources (networks of various types) providing potential for mobilization. For an employee, it is about being responsible for a professional situation with which he/she is confronted. This practical situation-type intelligence, based on acquired knowledge, must be regularly appraised and maintained by the organization.

The competency framework is the keystone of the human resource management system. It allows positions to be matched to human potential. It is, in fact, the basic qualitative tool for adjusting competencies to strategic needs. The competency framework describes the skills that an employee should master in order to hold a position. Its development requires a collective and participative approach.

4.2.1 Methodology to elaborate the Competency framework

The tasks selected, once contextualized and finalized, are to be converted into competencies, and the combination required to carry out every duty should then be defined.

To ensure that this approach is deployed even in vast Customs administrations with central and

N.B.: the following points must be taken into consideration in elaborating the competency framework:

- Opt for a very precise formulation of the duties/tasks selected (action verbs);
- Focus on the most important activities/tasks with a view to providing an operational description (an exhaustive document is not suitable for practical use).

decentralized departments, external service providers (specialized facilitators) may be called on to assist in the elaboration and validation of each phase of construction of the competency framework.

The deployment procedure mainly relies on visual techniques such as mind mapping, perceptual mapping and schematization. Further work can also be carried out by exchanging views remotely via e-mail. These visual animation methods are very time-efficient and largely profitable for the collaborative development of any type of intellectual output. The traditional method of employing an expert who conducts interviews and uses a personal expert grid to synthesize and structure the results is no longer recommended.

1. Deduction-formulation stage

Competencies are not directly observable. They are apprehended from the duties undertaken, and are inferred from behaviour in work situations. Thus, the best way to proceed for each major duty is to ask a set of queries that will gradually allow associated competencies to emerge⁸. Of course, this task is the responsibility of the working committee referred to above, even if the administration chooses to involve external providers in the project.

For the purpose of shared understanding and reference, the principles to be observed for the formalization of competencies are the same as those for duties. Thus, competencies should be formalized using names that are action-oriented or that encompass action areas, such as principles, procedures, regulations, laws, etc.

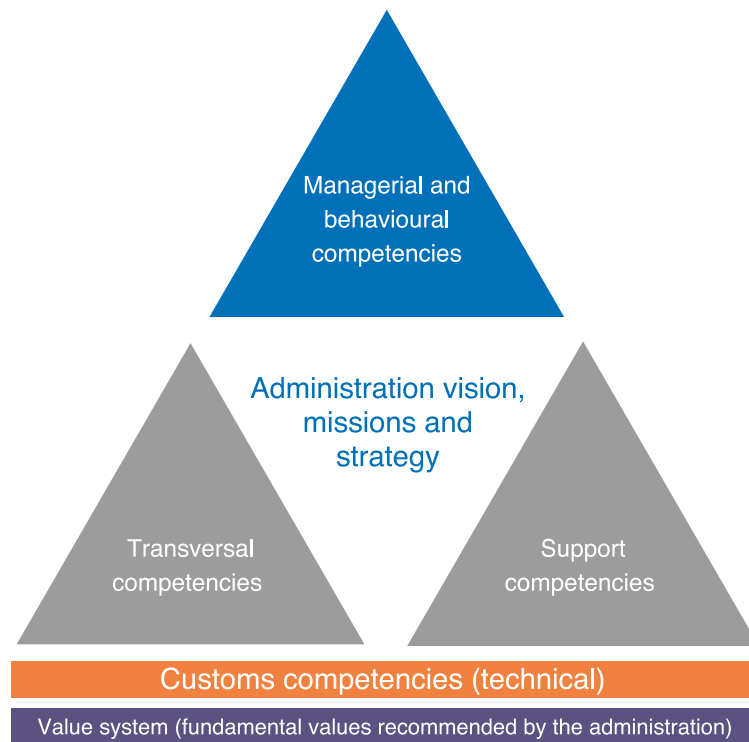
It is therefore necessary to present competencies in the same sequencing of duties.

Analysis of the various duties resulting from the Customs administration’s job framework has made it possible to extract four major professional groups from the competencies⁹, which can, in turn, be grouped into professional competencies (Customs), support competencies, transversal competencies, and managerial and behavioural competencies. The figure below illustrates these different categories of competencies while adding the main values recommended by the Customs administration concerned. The foundation for the development of these competency groups remains the strategic configuration deployed by the Customs administration.

8 - See questionnaire in the Appendix.

9 - In some cases, it is possible to have three professional groups instead: operational competencies; support competencies, and managerial and behavioural competencies.

Fig. 11 : Competency system of a Customs administration



2. Processing stage

Data processing operates at two levels:

- Harmonization of the data collected, through an indexing system based on key words, for instance;
- Identification of proximity areas between responsibilities, tasks and competencies: this should **make it possible to identify, from common activities and similar competencies, for instance, possible linkages for mobility between jobs within the same professional group or between different professional groups**¹⁰.

In a step-by-step approach supported by experimentation, data from the field would reinforce the database.

3. Capitalization stage

In this final stage, once data has been validated by the steering committee, it is transferred to the human resources department so that it can be capitalized on. This should allow every employee of the Customs administration, whatever his/her position, to be acquainted with the competency framework. The outcome of the capitalization of all the data collected allows the competency framework to be constructed. An example of this framework structure is given below, supported with practical examples in a customs context.

10 - This issue will be discussed in detail in the section on career management.

Tab. 3 : Competency framework structure

Customs value system (package of Customs values) Example : professionalism, collaboration, performance, etc. (These values will be required of all Customs staff)			
			<i>Titles of the four (4) competency areas (groups)</i>
			<i>List of competencies described by the category</i>
<p>Customs or operational competencies group: These are at the very foundation of all Customs jobs.</p> <p><i>E.g. Tariff and classification</i> <i>E.g. investigation techniques</i></p>	<p>Support competencies group: These fall within the scope of other professions but are necessary for the accomplishment of support activities.</p> <p><i>E.g. information communication and management</i> <i>E.g. report writing</i></p>	<p>Support competencies group: These fall within the scope of other professions but are necessary for the accomplishment of support activities.</p> <p><i>E.g. information communication and management</i> <i>E.g. report writing</i></p>	<p>Group of</p> <p>*Managerial competencies: These refer to how the employee organizes himself/herself at work.</p> <p>E.g. team management</p> <p>*Behavioural competencies: These describe the personal qualities required to perform a job. They reflect personality traits that can be mobilized in a personal or professional situation.</p> <p>*E.g. decision making</p>



CUSTOMS COMPETENCIES			
Goods clearance	Checks on travellers	Surveillance and fight against fraud	Litigation and prosecution
Description	Description	Description	Description
<ul style="list-style-type: none"> – Clearance procedure – Customs legislation – Harmonized System tariff – Conventions and rules of origin – Customs valuation – Verification of declarations and physical inspection of goods – Tallying techniques – Customs tax system – Customs clearance of vehicles – Clearance of hydrocarbons – Customs clearance – Customs clearance of precious metals – International trade techniques – Image analysis – Support of other administrations 	<ul style="list-style-type: none"> – Checks on travellers and baggage taxation – Traveller and baggage search techniques – Traveller targeting techniques 	<ul style="list-style-type: none"> – Organization and functioning of the surveillance sector – Field surveillance and intervention techniques – Intelligence and fraud risk analysis – Fraud networks and operating methods – Means of liaison and communication – Brigade record keeping 	<ul style="list-style-type: none"> – Customs litigation – Categorization of offenses – Legal writing – Judiciary procedures – Enforced recovery – Amicable recovery

SUPPORT COMPETENCIES			
Communication and information management	Human resource management	Logistics and property management	Accounting and finance
Description	Description	Description	Description
<ul style="list-style-type: none"> – Mail management – Archiving techniques – Internet management – Intranet management – Development of communication media – Organization of events – Administrative writing – Secretariat and reception techniques – Photography techniques – Computer graphics techniques 	<ul style="list-style-type: none"> – Staff management regulations – HRM principles – Career management procedures – Pedagogical engineering – Training engineering – Distance learning – Disciplinary cases management – Social affairs management – Training plan development – Training evaluation – Performance measuring procedures 	<ul style="list-style-type: none"> – Management and maintenance of rolling and sailing stock – Management and maintenance of property and furniture – Outfit management – Arms management – Stock management 	<ul style="list-style-type: none"> – Public accounting – Customs accounting – General accounting – Analytical accounting – Budget and expenditure execution procedures – Public contract execution procedures

TRANSVERSAL COMPETENCIES	
Codes	Other legal dispositions
Description	Description
<ul style="list-style-type: none"> – Customs Code – General Tax Code – Penal Code – Mining Code – Environmental Code – Civil Code – Social Security Code – Investment Charter 	<ul style="list-style-type: none"> – Trade Facilitation Agreement – CITES Convention – UPU Convention – TIR Convention – ATA Conventions – Labour Law – Administrative Law – Business Law – Regulations specific to chemicals – Foreign exchange regulations

MANAGERIAL AND BEHAVIOURAL COMPETENCIES	
Managerial	Behavioural
Description	Description
<ul style="list-style-type: none"> – Strategic planning – Conflict management and problem solving – Team management – Leadership – Coaching and support – Project management – Change management – Negotiation techniques – Method and organization – Meeting conduct – Reception and customer orientation – Diversity management – Results-based management 	<ul style="list-style-type: none"> – Decision making – Initiative and anticipation – Vigilance – Team work – Communication and interpersonal skills – Analytical skills – Time management – Stress management – Adaptability



4.3- Approache to elaborate the competency dictionary

Compiling the competency dictionary:

The competency dictionary draws up a list of the skills needed to excel in a position, and defines, at the same time, the corresponding position requirements in the Customs context. Note that it does not focus on the duties to be performed but rather the competencies needed to achieve them.

There is a variety of types of competency dictionary. The “hierarchical” type is of particular interest to this study, as it classifies competencies from the lowest to the highest level of professionalism or excellence.

1. Professionalism and excellence levels

The professionalism or excellence level defines the professional maturity level required to exercise the expected competencies optimally. In some positions, certain competencies are more easily acquired than others, while other types of competency require more time to be mastered.

The most classic professionalism scale features four levels:

- **Basic level:** the competency requires a **small autonomy margin** for its implementation on the part of the employee. **Work is entirely guided by instructions and frequently monitored by a third party.** The competency requires **basic knowledge and simple tools;**
- **Intermediate level:** the competency requires **an advanced level of assimilation** on the part of the employee, as well as **a regular and mastered exercise in a stable context.** Difficulties are dealt with by **seeking support or by referring to reference materiel;**
- **High level:** the competency requires on the part of the employee **experience confirmed by practice** and calls for **the mastery of all the speciality areas.** It requires **autonomy and initiative** on a daily basis and whenever required, and **the capacity to resolve difficulties independently;**
- **Expert level:** the competency requires the employee to **master a complex environment** (mass of knowledge and information) and **innovate if necessary. The competency confers authority in the position.**

As is the case in a job and position classification, evaluation of the professionalism level consists of determining, for every competency, the relevant degree in each of the four criteria (See competency assesment operation in section 3). The four criteria as well as the four levels are common to all positions.

The methodological approach for elaborating the competency dictionary starts with the competency inventory and then moves on to describe the competencies required in a particular professional family (strategy, operational and support).

To facilitate reading and use of the competency dictionary, competencies are also consolidated by professional group.

The competencies required to carry out a work process are grouped into four types, according to the terminology mentioned above.

To ensure consistency of the wording and promote data transversality, pilot groups are offered an established competency dictionary from which the participants or the interviewees select the data relevant to the competencies required for their positions.

The development of the competency dictionary is not the end of the competency approach, but rather its beginning. At this stage, the benefit of the competency dictionary consists of providing all competency development actors with common, reliable and shared information.

• *Competency dictionary structure*

The competency dictionary is a document comprising the competency typology by professional group as indicated above. It is structured as follows:

COMPETENCY TITLE
(as used in the competency framework)

Definition: a detailed description of the competency and of its practical implications	Competency code for computerization purposes E.g. CC1: clearance procedures
Competency levels: show the sophistication or increasing complexity at which the competency can be deployed, ranging from level 1: elementary, 2: intermediate, 3: high, 4: expert	
Formulation of the competency level statements is based on the Bloom taxonomy for the purposes of competency development. Hence, levels 1 and 2 refer to declarative knowledge (know and understand), level 3 refers to procedural knowledge (apply) and level 4 to conditional knowledge (synthesize).	
Indicators of non-mastery of the competency. These present examples of behaviours that show the competency level attained by the employee who has been appraised. They are statements that make it easy for the appraiser (supervisor) to determine objectively the competency level of the employee who has been appraised.	
Competency development channels list: e.g. training, self-directed, collaborative and timely learning.	

• **Computerizing the process:**

The computerization issue spontaneously arises at this stage of the process. In fact, the competency framework and dictionary allow multiple decisions to be taken with regard to HR development and management. The elaboration, usage and updating of tools are, however, usually much more complex when computerization allows HR teams to focus relatively quickly on decision making.

Computerizing competency management has become a matter of urgency for Customs administrations, which sometimes have a population of more than 500 employees:

- How can more than 500 annual reviews be handled efficiently?
- How can a specific competency in the set be searched for efficiently?
- How can the management be involved if it does not have efficient and objective tools for information transmission?

All the actions involved in a competency approach would be undertaken with even more efficiency when supported by computer software.

However, computerization cannot be improvised. The information system is required to deploy the approach as defined, and it is up to the human resource management to establish the requirements, not the information systems department (ISD).

Defining the requirements consists of describing what the system will be able to do and how it will perform its functions. Computer scientists classically distinguish three kinds of requirements:

- Position requirements describe what must be provided or realized to add value to the position terms. Focused on the “what”, the definition and updating of position requirements is the responsibility of practitioners, that is, functional specialists who could change Customs administrations’ employment policies by using natural language;
- The requirements produced describe the product or the system at a higher level. They meet the position requirements and are commonly formulated as the functionalities the system must achieve. They are also called “functional requirements” or “functional specializations”;
- The process requirements describe the “how”. These requirements prescribe the processes that must be followed and the constraints that must be taken into account to establish the system. Security, quality assurance or management requirements are examples.

Following several examples of defined competencies:

TARIFF AND CLASSIFICATION

Definition		Code							
Set of rules determining, in the tariff nomenclature, the subheading under which a good should be classified		CD/DM3							
Level 1		Level 2							
		<ul style="list-style-type: none"> – Fully understand the General Interpretative Rules (GIRs) for the classification of goods in the general nomenclature, as well as the legal bases; – Assimilate the logic of the organization and of the tariff structure, as well as the existing interactions between the various chapters and sections; – Understand the principles and bases of pricing technology. 							
Level 3		Level 4							
<ul style="list-style-type: none"> – Properly control, during the classification of goods, the provisions of the GIRs; – Understand the logic of the tariff structure and the content of the 21 sections; – Properly check the code of a product in relation to the tariff; – Implement the Harmonized System tariff principles for certain sections according to the specificity of the assignment office. 		<ul style="list-style-type: none"> – Thoroughly know the existing interdependencies between the various chapters and sections of the Tariff; – Develop tariff harmonization system and areas of tariff application; – Contribute to discussions on issues related to tariff classification; – Make tariff proposals to international and regional organizations (WCO, WTO, CEMAC, ECOWAS, etc.); – Suggest expertise and/or support for the various stakeholders. 							
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Does not fully understand the GIRs and legal bases; – Does not fully grasp the logic of the tariff structure and the content of the 21 sections. 					<ul style="list-style-type: none"> – Is unable to contribute to discussions on tariff classification issues; – Does not put into practice principles of the Harmonized System tariff for certain sections depending on assignment office specificities. 				
TOOLS AND METHODS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*	*	*	*				*	*	*

VALUATION

Définition					Code				
Set of principles and procedures applied to determine the Customs value of imported goods. They are essential for determining the amount of duties payable on the imported product (the basis of duties and taxes).					CD/DM5				
Level 1					Level 2				
<ul style="list-style-type: none"> – Know the principles of Customs valuation of goods (legislative and regulatory provisions governing the issue: all articles of the Customs Code that deal with the value); – Know the different methods for Customs valuation of goods. 					<ul style="list-style-type: none"> – Know how to control the declared value through the constituent elements as specified on the declaration and documents attached (invoice, incoterms, ticket, freight, insurance); – Fully grasp the various valuation methods provided for by the regulations, especially the transaction value method, the comparative method, the deductive method and the last resort method; – Assimilate the value control procedure; – Understand taxation scales and current referential values. 				
Level 3					Level 4				
<ul style="list-style-type: none"> – Properly use the terms of international trade (incoterms) as defined and updated by the International Chamber of Commerce, and their interpretations; – Apply the legal and regulatory framework governing Customs valuation; – Put in place the value control procedure: procedure for accepting or rejecting the transaction value; – Apply alternative methods (comparative, deductive and last resort); – Exploit the various standards (scales, market prices, ARGUS, etc.) in force to determine the taxable value. 					<ul style="list-style-type: none"> – Help develop the regulatory texts relating to Customs valuation in order to settle disputes more efficiently and provide advice and assistance; – Propose management indicators for value control; – Evaluate the value control procedures, identify shortcomings and any difficulties encountered in the field, and make suggestions for improvement; – Propose a global system to monitor developments in valuation worldwide; – Implement best commercial practices: transaction conditions, importer-supplier contracting modalities, etc. 				
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Does not know the principles of Customs goods valuation; – Does not know how to control the declared value through the value constituent elements as specified on the declaration and documents attached. 					<ul style="list-style-type: none"> – Does not properly use the terms of international trade (incoterms) as defined and updated by the International Chamber of Commerce, and their interpretations; – Does not know how to evaluate the value control procedures and does not make proposals for improvement following difficulties encountered in the field. 				
TOOLS AND METHODS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*	*	*	*				*	*	*

TRAINING ENGINEERING

Definition		Code							
<p>A coordinated set of activities to manage or synthesize various types of information necessary for the design, study and implementation of a training system, in order to optimize the investment implied and to ensure the conditions of its viability.</p>		CS/GRH5							
Level 1		Level 2							
Level 3		Level 4							
<ul style="list-style-type: none"> – Be able to implement the training evaluation process (the five steps) and design assessment tools for training actions; – Develop the tools for census, analysis and processing of training needs; – Exploit and consolidate competency gaps resulting from the competency appraisal; – Plan training actions and manage relationships with selected providers; – Define a training engineering methodology; – Be able to prioritize, plan, coordinate and supervise the implementation of training actions; – Implement the organization of the logistical aspects of a training action (rooms, mobilization of logistics equipment, etc.). 		<ul style="list-style-type: none"> – Pilot training engineering studies and define a training strategy; – Define a training policy: strategic guidelines for competency development, anticipating changes in internal and external environments and impact on competency management, etc. – Integrated study of the different sources of training needs: performance appraisal, competency approach, training engineering, career development, GPEEC results, etc. – Propose training actions in order to achieve the objectives set by the DGDDI. 							
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Be unable to assimilate training needs; – Be unable to plan training actions; – Be unable to define a training engineering methodology. 		<ul style="list-style-type: none"> – Fail to develop a training programme; – Fail to implement the training evaluation process and to design training actions; – Be unable to come up with a training policy. 							
TOOLS AND METHODS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*	*	*	*				*	*	

PUBLIC CONTRACT EXECUTION PROCEDURE

Definition		Code							
Set of techniques and procedures for the management of contracts concluded for pecuniary interest between the State (and public institutions) and private economic operators implying execution of works, supply and service.		CS/CF6							
Level 1		Level 2							
		<ul style="list-style-type: none"> – Understand expenditure commitment and execution procedures; – Know how to prepare commitment and disbursement statements; – Understand principles of evaluation of competitors' offers according to an improved grid (e.g. best offer); – Be able to check tenders for compliance according to a simple evaluation grid (e.g. lowest bidder); – Be able to update references of suppliers, products and prices available in the department; – Be able to carry out a technical and financial study; – Assimilate the general principles of Budgeting by Programme Objectives (BOP). 							
Level 3		Level 4							
<ul style="list-style-type: none"> – Execute operations and equipment budgets (updating, reviewing, etc.); – Prepare periodic statements and evaluate technical offers; – Develop and maintain networks of service suppliers and contractors; – Set up market intelligence and analysis systems regarding offers and services availability, products characteristics, specialized suppliers, etc.; – Interpret contract clauses; – Propose technically discriminating criteria for the award of contracts; – Reflect, within the framework of sustainable purchasing, on original bid evaluation systems (social indicators, audit of the manufacturing process, environment, etc.). 									
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Fail to master contracting rules and providers' evaluation procedures; – Be unable to update contractors' references. 					<ul style="list-style-type: none"> – Be unable to assimilate the fundamentals of market regulation. 				
TOOLS AND METHODS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*		*	*				*	*	

BUSINESS LAW

Definition		Code							
An area of Private Law which deals with a set of corporate rights such as Contract Law, Company Law, Criminal Law, Intellectual Property Law, etc.		CT/ADL8							
Level 1		Level 2							
		<ul style="list-style-type: none"> – Understand the main principles of business law; – Understand companies' legal forms; – Understand companies' management modes. 							
Level 3		Level 4							
<ul style="list-style-type: none"> – Check the powers of the President of the Commercial Court as well as regulations relating to the goodwill and commercial register (registration, business names, etc.); – Apply procedures for troubled companies (restructuring and court-ordered liquidation) and creditors' rights; – Address requests for the seizure of business assets, claim declarations and appeals against trustees' propositions and judges' decisions. 									
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Be unable to grasp and apply the main principles of business law; – Be unable to understand companies' legal forms; – Be unable to understand companies' management modes. 		<ul style="list-style-type: none"> – Fail to distinguish between companies' different legal forms. 							
TOOLS AND METHODS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*		*		*		*		*	

REGULATIONS SPECIFIC TO CHEMICALS

Definition		Code							
Set of national and international dispositions that regulate the importation, exportation, storage, use, placing on the market, sale, recycling, production, reduction or elimination of hazardous chemicals for health or the environment.		CT/ADL9							
Level 1		Level 2							
<ul style="list-style-type: none"> – Know the definition framework of relevant conventions; – Know the objectives of relevant conventions; – Understand the definition of illicit trafficking provided for in conventions; – Know Customs' missions in terms of support of other services; – Recognize the general state of chemicals and of derived substances as provided for by conventions, i.e. those that are strictly forbidden or prescribed; – Know the appendices (the different product lists); – Know how to classify chemicals and derived substances. 		<ul style="list-style-type: none"> – Understand product control procedures and means of transportation; – Understand safety measures to be respected; – Understand chemical governance institutional framework (presumption of exposure risks cases); – Be able to write certified reports; – Assimilate product labelling systems used in international transportation; – Be able to differentiate administrative authorizations relating to chemicals. 							
Level 3		Level 4							
<ul style="list-style-type: none"> – Update convention implementation tools (waste exportation procedure, prior consent procedure, etc.); – Apply the different chemical coding systems (CAS, NU, SH, etc.) and convert them into Harmonized System language for identification; – Collect statistical data related to chemicals. 									
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Be unable to grasp all legal dispositions regulating importation and exportation of chemicals; – Have difficulty applying the different coding systems related to chemicals. 		<ul style="list-style-type: none"> – Be unable to apply the regulations specific to chemicals. 							
TOOLS AND METHODS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*		*		*		*		*	

STRATEGIC PLANNING

Definition					Code				
Set of approaches and tools that allow the development of strategies to reach a specified goal. It consists of the development and implementation by organizations of various actions and programmes with a view to reaching the set objectives. These actions and programmes can be planned in the short, medium or long term.					CM/M1				
Level 1					Level 2				
<ul style="list-style-type: none"> – Know strategic planning foundations and stakes; – Know how to convert objectives into daily activities and actions allowing their fulfilment; – Know how to disseminate efficiently and interpret the strategic vision in respective areas of competency; – Know how to communicate to all staff the importance of their commitment to the promotion and realization of organizational objectives; – Know the importance of the strategy and vision and raise awareness of these aspects among all staff. 					<ul style="list-style-type: none"> – Understand how to work collaboratively with teams to achieve set goals, plans, programmes and operations, in conformity with the strategic guidelines; – Know how to establish the strategic objectives of the respective department by involving all colleagues and staff; – Understand the principles of organizational diagnostic and be able to assess the gap between current situation and desired direction, and set effective measures to reduce that gap in the respective department. 				
Level 3					Level 4				
<ul style="list-style-type: none"> – Be able to elaborate the respective department's strategic plan and participate in the drafting of the organizational plan; – Anticipate obstacles and opportunities for the organization and act accordingly; – Define issues, identify opportunities and choose solutions that are consistent with the strategy and vision; – Analyse, research and evaluate information on possible future directions; – Define the orientation and disseminate the vision to encourage harmonization within the organization; – Support strategic objectives in a strong and continuous way with colleagues working in other activity areas; – Monitor the team's work to ensure alignment with organizational strategic direction, vision and values. 					<ul style="list-style-type: none"> – Lead the development of the organization's vision and strategy; – Master the principles of project management and aspects related to communication and change management; – Define and continuously explain the organization's vision and strategy in the context of government global priorities; – Evaluate strategy implementation both at the respective department's level and at the level of the organization; – Bring new ideas for the successful implementation of the organization's strategy; – Define, conceptualize and summarize new trends or new links between organizational stakes, and convert them into organizational priorities. 				
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Be unable to define the strategic vision and communicate it to all staff; – Be unable to lead teams according to strategic guidelines. 					<ul style="list-style-type: none"> – Have difficulty developing and implementing the respective department's strategic plan; – Have difficulty assessing the strategic plan implementation level. 				
METHODS AND TOOLS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*	*	*	*	*	*	*	*	*	*

PROJECT MANAGEMENT

Definition		Code							
Set of knowledge and techniques used to define, manage and carry out a project by mobilizing the necessary resources and taking into account environment constraints (human, calendar, economic, regulatory, etc.). Approach aimed at organizing the smooth running of a project from start to finish.		CM/M6							
Level 1		Level 2							
		<ul style="list-style-type: none"> – Fully understand the basics as well as the implications of a project: objective, tasks, steps, phases, resources, method, documentation, validation, stakeholders, schedule, deadline, commitment to change, brakes, levers, efficiency, simplification, specifications, project team; – Know how to operate and use different project management tools (PERT and GANTT diagrams, resource allocation and dependencies between tasks, MS Project); – Assimilate a simple schedule, a diagram and situate its action in a schedule in a project. 							
Level 3		Level 4							
<ul style="list-style-type: none"> – Frequently manage projects involving one or more entities within the framework of a restricted scope (service, department, directorate), budget (time, financial means) and specific interfaces; – Be able to build a project team, organize and assign roles, set goals and schedules, pilot project review meetings, evaluate work monitoring; – Report on the situation status in relation to theoretical planning by simple observation of the achievement of milestones; – Determine the roles of direct interlocutors to alert in the event of a malfunction in the course of the project; – Perceive the integration of a task, sequence or module in a more global project; – Identify the brakes and levers for the implementation of a significant change in the course of the project. 		<ul style="list-style-type: none"> – Convey information to the respective department as part of a “return of experience” approach; – Define and implement project management and project management tools at organization level; – Pilot the organization’s modernization projects involving significant changes, mobilizing important financial, human and material resources, which can have a “multi-directional” dimension; – Challenge concepts from the field and be able to build a theory to develop new methods of project management and planning. 							
INDICATORS OF NON-MASTERY OF THE COMPETENCY									
<ul style="list-style-type: none"> – Fail to manage the organization’s projects efficiently; – Fail to anticipate difficulties and obstacles that block project success. 		<ul style="list-style-type: none"> – Have difficulty in monitoring and evaluating projects; – Be unable to integrate all dimensions of a project; set unrealistic goals. 							
METHODS AND TOOLS TO DEVELOP THE COMPETENCY									
<i>LECTURES AND WORKSHOPS</i>	<i>COACHING AND TUTORIALS</i>	<i>APPLICATION EXERCISE</i>	<i>CASE STUDIES</i>	<i>SIMULATION AND ROLE PLAYING</i>	<i>PROJECT APPROACH</i>	<i>STORY TELLING</i>	<i>IN-SERVICE TRAINING</i>	<i>BLENDED LEARNING TRAINING</i>	<i>DISTANCE LEARNING</i>
*		*		*		*		*	

4.4- Approche to elaborate job descriptions

The job description is the fundamental tool of staff management. As a close description of the employee's duties and competencies, it constitutes a structuring tool for **individual management**.

This central HRM tool makes it possible to fulfil a number of objectives and to optimize:

- Upstream, **recruitment**, by defining the duties to be performed and the competencies expected;
- Downstream, **evaluation**, by measuring the gap between the competencies required for the job and those acquired by the jobholder, prior to the definition of a training plan.

At the collective level, formalization of the job description allows:

- Reflection on the organization of work according to staffing and the competencies required;
- Development of the training plan based on the collective orientations and needs, expressed in terms of the responsibilities and duties performed by employees.

Writing job descriptions in a systematic and standardized format also helps to identify similarities between duties in different jobs, and can be a good basis for rethinking the reorganization of duties or the jobs inventory. Moreover, in view of the purpose of the organizations, the duties put into practice

and the competencies mobilized – both individual and collective – as well as the technicalities and professional identities specific to each area of intervention, the job description is at the heart of the social dialogue.

The job description should therefore mobilize all parties concerned (the executive management and staff managers), with a view to establishing an agreed description of the Customs administration jobs. Indeed, the job description represents the convergence of the interests of both:

- the Customs administration, which seeks to identify competencies more clearly and anticipate future needs;
- the Customs staff, as it gives them professional recognition and offers them professional development and mobility prospects.

The approach proposed for the elaboration of the job description is top-down. This involves collecting the data provided to draw up the job catalogue in order to describe the work environment, responsibilities, duties and relevant competencies.

The approach generally starts with **identification**, followed by a **comparative analysis** of the interview data collected for the purposes of the job catalogue and the real work situation, then moves on to a **combination** approach using the various data, and finally formalization of the process. The whole approach combines **three successive and interrelated steps**:

Fig. 12 : Steps for the elaboration of the job description



Each of these steps can be divided into different operations that can also be combined and, with practice, conducted simultaneously in some cases.

1. Data collection and analysis

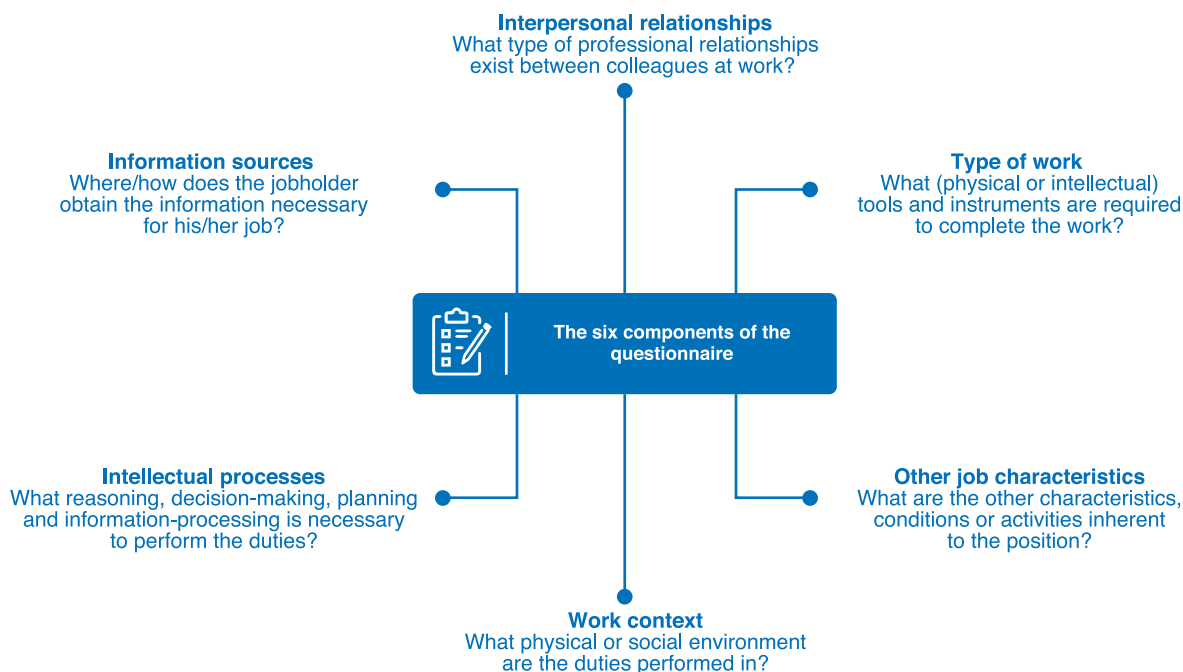
The information necessary for the job description, in addition to that for the job catalogue, is collected from the most experienced practitioners and from those most representative of their peers.

The employee knows his/her work best. Employees are therefore questioned about their duties in a guided interview focusing on specific themes. These

themes are then transcribed onto a questionnaire (see Appendix) referring to the major items of the job description.

The questionnaire may be augmented by supplementary questions that are divided into six categories. The figure below presents the six components of the questionnaire that help understand the internal and external work environments:

Fig. 13 : A job's internal and external environments



a. Data collection stage

As in the previous stage, it is necessary to observe a few conditions to create an atmosphere of trust and mutual respect that is key to ensuring the quality of the interview.

During the interview, the approach should be one of mindful and understanding listening. The role of the interviewer is to ask questions, take notes, reformulate questions where clarification is required, and elucidate, synthesize or explain the information provided.

There is no such thing as a typical sequencing of various themes. Nonetheless, the following procedure is recommended:

- Start with what is immediately tangible and involves a direct answer: verification of job title, the working situation (within the home department and the organization), or even work practice conditions;
- Move to the general objectives and responsibilities within the home department and in relation to the global organization objectives (see "Activity and responsibility matrix" in the Appendix);
- Then focus on the various duties, their limits, constraints, the technical means used and the relationships involved.

At this level, it is possible to specify the duties¹¹ using the following indicators:

- Frequency indicators (daily, weekly or occasional duty, etc.);
- Time indicators: percentage of time devoted to the duty in relation to the whole;

- Independence indicators: duty performed independently, in collaboration, etc.;
- Emergence indicators: routine, new or emerging duty.

Everything related to the other items of the job description, i.e. the work environment, possible developments, and job attributes, should be left to the end of the interview.

At the end of this first stage, a vast amount of data has been collected that needs to be organized, compared and synthesized, and any common indicators, complementarities and specificities identified.

b. Content analysis stage

The data collected is on two different levels that must be differentiated:

- A global level which concerns the general framework of the position: its purpose, its constraints, conditions under which it is carried out, the working situation, etc.;
- A more detailed level related to the specific duties, their purpose, the technical means used, the relationships system, the outcome, etc.

The two levels are closely related and complete each other, first through analysis and then through synthesizing.

Analysis of every employee's answers allows, for every single item, the elements common to the different work situations to be updated, and the specific features to be identified by type of staff.

c. Consolidation stage

Analysis of the answers provided by each employee helps identify the duties common to the vast majority

¹¹ - For every single duty, it is necessary to understand what actions the employee performs, how he/she performs them, with whom he/she performs them, and why.

of employees. These are the duties that determine the core of the position and therefore constitute the reference (principal) duties.

By deduction, secondary duties are those performed by a minority of employees.

It is important to identify these secondary duties because they permit a global understanding of the principal duty. Moreover, a duty said to be secondary might become a principal duty depending on other developments (primarily technological, organizational or managerial developments).

Consolidation of duties of the same nature should follow; i.e. those that concern the same object and contribute to the same goal.

d. Formulation stage

Data collected and analysed needs to be formalized following some basic rules:

The duties are to be formalized using action verbs and nouns. This allows a distinction to be made between duties and competencies, which are formalized using infinitives.

Avoid long sentences. Duties are to be described in concise formulas including three key words at most.

At the end of this stage, the formalized data should be plotted for every item, hence providing the job description.

Duties plotting is prioritized by formalizing:

- Key duties of the work position in the first instance, i.e. duties with the most significant impact on the results;
- Duties by order of importance, taking into account quantitative indicators of time and frequency.

It is highly recommended that the first formalization samples be submitted to the interviewees for consultation and rectification, before submitting them for validation by the ad-hoc committee and approval by the steering committee.

Two job description models are provided below.

2. Rectification

This stage consists of **three complementary operations**:

- Set aside data that does not correspond to, or that is too remote from, the reality of the work situation;
- Add elements, in case of missing information, either from:
 - other items of the job description;
 - new data that would specify or better describe the work situation.
- Group data relating to duties where there are redundancies or very close descriptions.

Where there is a significant degree of versatility, work positions are referred to in diverse ways. This leads to greater redundancy/proximity in terms of

duties. In this case, it is advisable to choose to merge duties pertaining to different positions, and then reformulate the job descriptions to take into account the area of intervention involved. It is recommended not to draw up sweeping lists of duties and privileges, but instead to list no more than 10 main duties.

In the event of missing data and/or important information that require a more detailed description, it is recommended to add such information in coordination with the employee by asking very precise questions about the duties performed on a daily basis.

3. Content formalization and validation

The job description can now be written on the basis of the results of the previous operations. To do this:

- Prioritize the main duties, on the basis of the work processes, or the determining character of a particular duty compared to another, or time volume;
- Reformulate data, especially if the duties have been grouped or the vocabulary is not suited to the Customs administration culture;
- Personalize the job description by adding certain items: rank, required qualifications, professional risks, position attributes, etc.

The last stage might not directly contribute to the process of drawing up the job description but is nonetheless very important, for it allows both:

- Objectification of formalized data in the job description;
- Initiation or reinforcement of a consultation approach between the different staff categories.

Structure of a job description

- Position title
- Assignment
- Reporting line
- Work environment (internal & external)
- General objective
- Responsibilities (three)
- Duties or tasks (requires a minimum of three (3) duties and a maximum of five (5) for each responsibility)
- Competencies required for the position (depending on the complexity level of duties)
- Qualifications
- Position attributes (autonomy margin and monitoring means)
- Other requirements

The job description presented below is one of the most basic. It is advisable to propose a similar job description to Customs administrations that have not yet reached a certain level of maturity with regard to competency-based HRM.

Position title	Indicates the position name as it figures in the job catalogue, e.g. Customs Inspector			
Classification of position by professional category	Indicates the position classification according to civil service or Customs administration criteria in the case of administrations with specific status, e.g. A1			
Directorate/department of assignment	Place of position in the organization chart			
Immediate supervisor	Indicates the reporting line (immediate supervisor)			
Staff under direct supervision	Indicates job categories reporting to the relevant position for managerial positions, to avoid cases where a lower rank manages a higher rank. For other positions, simply state N/A.			
General objective of the position	<ul style="list-style-type: none"> – Indicates the main mission. The wording of this section must start with the words “Contribute to...” – The general objective must be identical for all positions of the same directorate. – The objective must be drawn from the strategic plan to ensure compliance with the strategic alignment, or from the Customs administration’s founding texts. E.g. “Contribute to the development and implementation of the HRM strategy and capacity building for all Customs administration staff.” 			
Responsibilities	<ul style="list-style-type: none"> – Each position must cover three responsibilities drawn from the general objective and place of the position in the department concerned. Each responsibility must be preceded by a verb such as “carry out”/“perform”/“facilitate” to define the intervention area of the jobholder. – For all managers, responsibility number 3 (R3) must relate to staff management and development. – Responsibilities are numbered R1, R2 and R3. 			
Duties	<p>Indicate duties under the heading of each responsibility, i.e.</p> <p>R1: Ensure [...]</p> <p>R2: Ensure [...]</p> <p>R3: Ensure [...]</p> <ul style="list-style-type: none"> – Each responsibility must embody a minimum of three duties and a maximum of five. – Each duty must be formulated in terms of an action verb (refer to the list in the Appendix). – The action verbs must match the situation of the position in both the job framework and the organization chart. Thus the role of a central or regional director is more strategic, the role of an intermediate manager (Head of Division, Department Manager, Office Administrator, Chief of Brigade) is a tactical and coordination role, the role of an employee (Inspector, Brigade Officer) is operational and executive. 			
Competencies (refer to the Competency Framework and Dictionary)	Competency title	Required level	Acquired level	Result
	– Competences must be extracted from the duties; – They should be classified in the following order: 1. Customs or operational competencies, 2. Support competencies, 3. Transversal competencies, 4. Managerial and behavioural competencies. – Two mandatory competencies must appear in the first two lines of all job descriptions, namely Customs procedures and Customs legislation. The requirements level will depend on the position requirements level itself.			
	E.g. clearance procedures	3	2	1
	Indicates the level required by the position and established by the expert group by work area	↑	↑	↑
	Indicates the level acquired by the jobholder following his/her appraisal			
	Indicates appraisal result, which can be either positive or negative. Each of the results will be analysed and processed by the department in charge of HRM			
Qualification of position	Indicates the diploma or qualifications required by the position			
Other requirements of position	Nature and conditions of work. E.g. night work, arms bearing Language: linguistic requirements (English, French, etc.)			

Position title	Regional Director			
Classification of position by professional category	A1			
Directorate/department of assignment	General Directorate of Customs and Indirect Taxes/Regional Directorate			
Immediate Supervisor	Deputy Director General for the Administration of Technical Services			
General objective of the position	Contribute to the application of Customs regulations and the control of commercial operations and surveillance within the relevant Customs region			
Staff under direct supervision	Managers, Inspectors, Officers			
Responsibilities	R1: Ensure compliance of commercial operations and of surveillance with Customs regulations R2: Manage and coordinate the Regional Directorate activities R3: Facilitate the personal and professional development of employees			
Duties	R1: Ensure compliance of commercial and surveillance operations with Customs regulations – Participate in the improvement of Customs legislation to guarantee compliance with international standards and its contribution to facilitating Customs procedures; – Control foreign trade activities, foreign exchange, and surveillance of the Directorate; – Participate in strengthening intelligence and fighting fraud; – Supervise Customs revenue collection and litigation. R2: Manage and coordinate the Regional Directorate activities – Represent the administration in dealings with local authorities in the region of responsibility, and promote the Directorate's facilitation measures to other departments, operators and stakeholders; – Supervise activities related to the development and implementation of the activity programme and the regional management's action plan, and manage the related budget; – Supervise the Directorate's property management and maintenance activities; – Study and propose the reorganization of the Directorate's services. R3: Facilitate the personal and professional development of employees – Support and guide employees in achieving the assigned objectives; – Ensure close and appropriate orientation of the officers under supervision; – Facilitate the enhancement of officers' competencies.			
Compétences	Competency title	Required level	Acquired level	Result
	Clearance procedure	3		
	Customs legislation	3		
	Tariff regulation	3		
	Customs valuation	3		
	Customs taxation system	3		
	International trade techniques	3		
	Surveillance organization and functioning	3		
	Intelligence and fraud risk analysis	3		
	Customs litigation	3		
	Economic systems and privileges	3		
	HRM principles	3		
	Management and maintenance of the rolling and sailing stock	3		
	Management and maintenance of property and furniture	3		
	Report writing	3		
	ASYCUDA++ or ASYCUDA World	3		
	Customs Code	3		
	Team management	3		
	Strategic planning	4		
	Leadership	4		
	Coaching and orientation	4		
	Project management	4		
	Facilitating meetings	3		
	Objective-based management	4		
	Communication and interpersonal skills	4		
Position qualifications	Customs Inspector Diploma			
Other position requirements	Nature and conditions of work: office work, flexible working hours Languages: English			

Position title	Head of Customs Investigation and Intelligence Service			
Classification of position by professional category	A1			
Directorate/department of assignment	Directorate of Customs Investigations, Litigation and Customs Intelligence/Customs Investigation and Intelligence Service			
Immediate supervisor	Director of Customs Investigations, Litigation and Customs Intelligence			
General objective of the position	Contribute to the development and implementation of Customs intelligence, control and anti-fraud policy			
Staff under direct supervision	Managers, Officers			
Responsibilities	R1: Perform information collection and centralization R2: Implement and monitor investigations R3: Facilitate the personal and professional development of employees			
Duties	R1: Perform information collection and centralization – Collect information on fraud trends for control purposes; – Conduct peripheral investigations and disseminate investigation reports; – Check the periodic feeding of the intelligence database for risk analysis purposes; – Coordinate the periodic revision of selection criteria. R2: Implement and monitor investigations – Develop periodic control programmes, pilot and evaluate the execution of controls; – Supervise hearings and check the consistency and centralization of minutes; – Supervise submission of cases to the litigation department. R3: Facilitate the personal and professional development of employees – Support and guide employees in achieving the assigned objectives; – Ensure close and appropriate orientation of the officers under supervision; – Facilitate the enhancement of officers' competencies.			
Competencies	Competency title	Required level	Acquired level	Result
	Clearance procedure	3		
	Customs legislation	3		
	Tariff regulation	3		
	Customs tax system	3		
	Customs valuation	3		
	International trade techniques	3		
	Support for other administrations	3		
	Intelligence and fraud risk analysis	4		
	Fraud networks and operating methods	3		
	Customs litigation	3		
	Classification of offences	3		
	Investigation techniques	4		
	Interrogation techniques	3		
	Rules on counterfeiting and protection of intellectual property	3		
	Economic systems and privileges	3		
	Report writing	3		
	Data analysis	3		
	General accounting	3		
	Analytical accounting	3		
	ASYCUDA ++ or ASYCUDA World	3		
	CEMAC Customs code	3		
	Team management	3		
Leadership	3			
Coaching and orientation	3			
Objective-based management	3			
Communication and interpersonal skills	3			
Analytical skills	3			
Position qualifications	Customs Inspector Diploma			
Other position requirements	Nature and conditions of work: office work, flexible working hours. Language: English			

Position title	Human Resources Manager	Position Code: XX
Position classification	10	
Department of assignment	Directorate General	
Immediate supervisor	Director General	
Staff under supervision	Managers, Officers	Number of staff under supervision: XX
General objective	Contribute to the development and implementation of the HR strategy and to Customs staff capacity building	
Responsibilities	R1: Develop and monitor the Customs Directorate General (CDG) HRM strategy and social action; R2: Advance and implement the CDG staff development strategy; R3: Facilitate the personal and professional development of employees.	
Duties	R1: Development and monitor the Customs Directorate General (CDG) HRM strategy – Coordinate the development and implementation of modern HRM procedures and practices at the CDG; – Oversee the development of the staffing policy and staff planning; – Conduct career management and performance management processes for CDG staff; – Make recommendations for the proper management of rotation and mobility within the CDG; – Supervise social and medical management activities aimed at improving the social climate of the CDG. R2: Advance and implement the CDG staff development strategy – Pilot the process of designing and implementing the blueprint for HR development; – Coordinate the collection and analysis of competencies required by CDG staff; – Administer the process of evaluation of training and capacity building activities; R3: Facilitate the personal and professional development of employees – Support and guide employees in achieving the assigned objectives; – Ensure close and appropriate orientation of the officers under supervision; – Facilitate the enhancement of officers' competencies.	Performance indicators

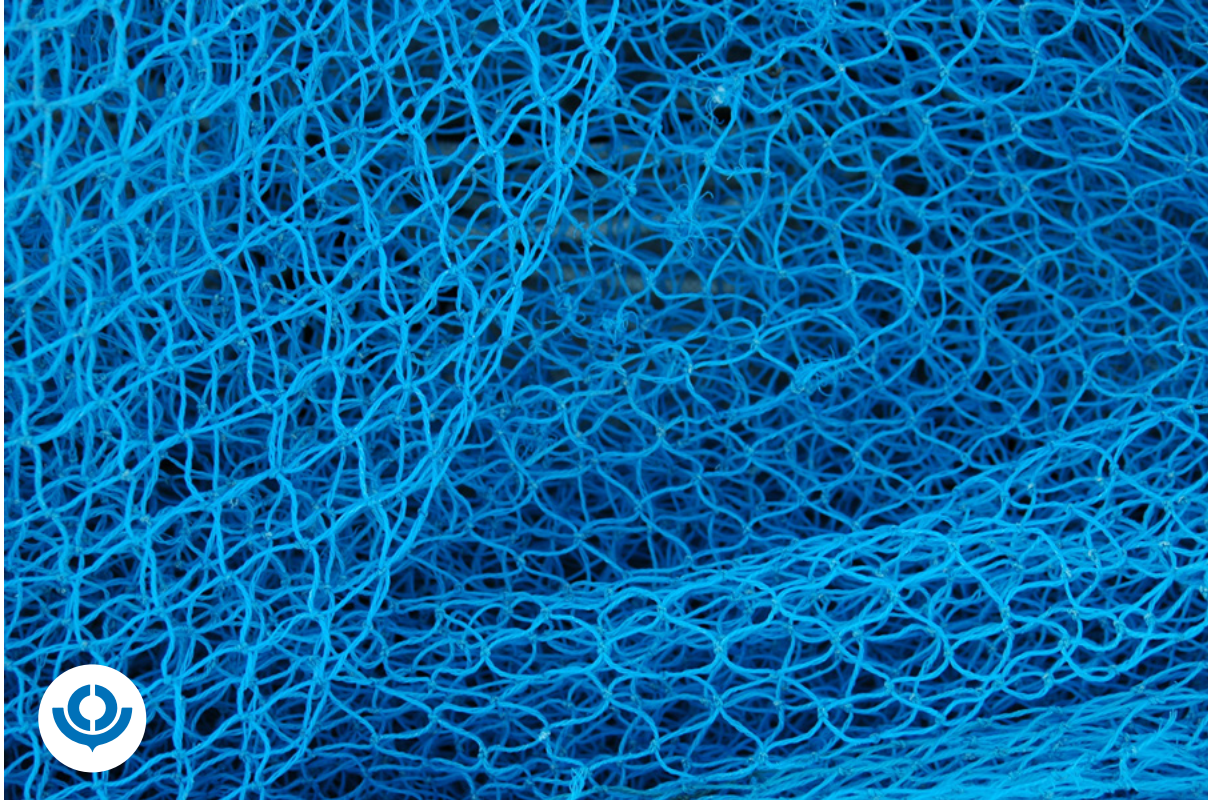
Competency titles	RL	AL	R	Competency title	AL	RL	R
Clearance procedure	2			Administrative writing	3		
Customs legislation	2			Customs Community Code	1		
Tax system	2			Social Security Code	3		
Tax legislation	2			Labour Law	3		
Staff management rules	4			Strategic planning	3		
Career management procedure	4			Conflict management and problem solving	3		
Forward job and competency planning	4			Coaching and monitoring	3		
Training engineering	4			Change management	3		
Disciplinary cases management	4			Results-based management	3		
Development of the training plan	4			Team management	3		
Evaluation of training	4			Diversity management	3		
Public contracts implementation procedures	2			Leadership	3		
Budgetary procedure and expenditure execution	2			Analytical skills	3		
General accounting	2			Initiative	3		

Qualifications: Tertiary level diploma (Master's/Bachelor degree) in Social Sciences, Corporate Management, HRM or an equivalent degree		Years of experience: 7 years, 3 of which in HRM in the public or private sectors.	
Other position requirements			
Nature and conditions of work: office work, timetable flexibility, intellectual work			
Languages: English			
Areas of improvement for 20.....		Training subject 1: (drop-down list)	Preferable
Training subject 1: (Drop-down list)	High priority	Training subject 2: (drop-down list)	Preferable
Training subject 2: (Drop-down list)	High priority	Training subject 3: (drop-down list)	Preferable
Training subject 3: (Drop-down list)	High priority		
Professional project of employee		A position: Yes No	
Another job: (drop-down list)		If yes, please specify position: (drop-down list)	

Employee
(Date, Name, signature)

HRM

Supervisor
(Date, Name, signature)



Position title	Accreditation Auditor, OAS Programme		Position Code: XX
Classification of position	8		
Department of assignment	Customs Directorate General/Programmes and Monitoring Directorate		
Immediate supervisor	Head of Programmes Department		
Staff under supervision	n/a	Nombre de personnel géré : 0	
General Objective	Contribute to the development and implementation of CDG modernization programmes		
Responsibilities	R1: Ensure conformity of applications for accreditation under the Authorized Economic Operator (AEO) Programme; R2: Ensure that AEO-certified companies enjoy the AEO Programme benefits; R3: Ensure compliancy of AEO member companies.		
Duties	R1: Ensure conformity of applications for accreditation under the Authorized Economic Operator (AEO) Programme – Receive AEO accreditation applications (application letter and self-assessment form); – Check the conformity of accreditation applications with the AEO Programme according to the eligibility criteria and the risk analysis; – Decide on the admissibility of accreditation applications and communicate the evaluation report to the team leader; – Assist the team leader in the development and performance of business promotion and awareness-raising activities about the AEO Programme. R2: Ensure that AEO-certified companies enjoy the AEO Programme benefits – Receive grievances from AEO companies regarding Customs clearance processes; – Help beneficiary companies to enjoy all programme benefits at the national, regional and international levels; – Conduct analyses and report on the treatment provided to AEOs; – Participate in studies on the average time needed to process goods release declarations of AEO member companies; R3: Ensure compliancy of AEO member companies – Plan and make unannounced visits to AEO member companies to check their compliance; – Prepare visit reports and submit them to the team leader; – Conduct studies and report on the offences committed by AEOs.		Performance indicators

Competency titles	AL	RL	R	Competency titles	AL	RL	R
Clearance procedure	3			Customs litigation	3		
Customs legislation	3			Investigation techniques	3		
Tax system	2			Interrogation techniques	3		
Tax legislation	2			Economic systems and Customs	3		
Harmonized System tariff	3			AEO accreditation principles	4		
Conventions and rules of origin	3			Customs accounting	3		
Customs valuation	3			Accounting techniques	3		
Customs tax system	3			Data analysis	3		
Harmonized System tariff	3			Report writing	3		
Conventions and rules of origin	3			ASYCUDA World	3		
Customs valuation	3			Team work	2		
Customs tax system	3			Communication and interpersonal skills	3		
International trade techniques	3			Analytical skills	3		
Assistance of other administrations	3						
Special procedures	3						
Common Outdoor Tariff (COT)	3						
East African Customs Management Act	3						

Qualifications: Bachelor level degree or equivalent in Economic Sciences, Corporate Management		Years of experience: 4 years' experience, 2 of which in different Customs jobs	
Other position requirements			
Nature and conditions of work: Office work, field work, intellectual work			
Languages: English, French			
Improvement areas for 20.....		Training subject 1: (drop-down list) Preferable	
Training subject 1: (drop-down list)	High priority	Training subject 2: (drop-down list) Preferable	
Training subject 2: (drop-down list)	High priority	Training subject 3: (drop-down list) Preferable	
Training subject 3: (drop-down list)	High priority		
Employee professional project		A position: Yes No	
Another job: (drop-down list)		If yes, please specify position: (drop-down list)	

Employee
(Date, name, signature)

HRM

Supervisor
(Date, name, signature)

“ The above two models are rather sophisticated and therefore exclusively recommended for Customs administrations with a good deal of maturity in terms of competency-based HRM. The job description presented embodies all HR practices. It will serve as a roadmap for the HR manager as well as for the position holder and his/her line manager. ”

APPENDIX 1 : VERBS FOR THE FORMULATION OF COMPETENCES

Decide	Manage	Lead	Administer	Produce
Resolve	Acquire	Animate	Classify	Apply
Choose	stabilize	Command	Count	Carry out
Conclude	Budget	Conduct	Register	Execute
Determine	Record	Entrust	Set up	Do
Eliminate	Consolidate	Define	Manage	Realize
Settle	Save	Delegate	Index	
Judge	Enrich	Govern	Organize	
Opt	Balance	Guide	Identify	
Adjust	Exploit	Promote	Regulate	
Solve	Win	Inspire	Itemise	
Decide	Invest	Institute		
	Optimize	Manage		
	Make profit	Pilot		
		Preside		
Communicate	Develop	Search	Train	Control
Dialogue	Increase	Analyse	Support	Appreciate
Discuss	Improve	Calculate	Animate	Test
Exchange	Raise	Consult	Teach	Evaluate
Listen	Market	Inquire	Conduct	Examine
Express	Conquer	Study	Develop	Experiment
Inform	Enlarge	Examine	Educate	Measure
Interview	Expand	Experiment	Train	Prove
Negotiate	Trigger	Observe	Stimulate	Supervise
Share	Introduce	Prospect	Instruct	Control
Write	Launch	research	Monitor	Test
Instruct	Progress	Survey	Transform	Validate
Transmit	Promote			Review
Negotiate	Advise	Organize	Create	Others
Buy	Support	Arrange	Adapt	Other repetitive and technical actions
Arbitrate	Help	Anticipate	Improve	
Argue	Clarify	Settle	Design	
Conclude	Understand	Coordinate	Discover	
Consult	Diagnose	Distribute	Develop	
Convince	Enlighten	Establish	Imagine	
Illustrate	Listen	Plan	Innovate	
Discuss	Guide	Prepare	Invent	
Impact	Encourage	Project	Model	
Persuade	Direct	Schedule	Renew	
Invest	Advocate	Assign	Change	
Propose	Recommend	Structure	Find	
select	Propose			

The verbs and verbal phrases that follow do not provide information on the expected result. It is recommended that they be excluded from the terminology used to formulate duties in job descriptions.

1. Help to	13. Guarantee
2. Assign	14. Manage (except for specific cases)
3. Assist	15. Participate in
4. Assume	16. Manage to
5. Ensure	17. Be able to be
6. Conduct (except for specific cases)	18. Proceed
7. Contribute to	19. Propose
8. Delegate	20. Represent
9. Be in charge of	21. Perform a function
10. Be the . . .	22. review
11. Be responsible for	23. Ensure
12. Perform the function	





SECTION



III

DEVELOPMENT OF COMPETENCY-BASED HRM PRACTICES



WORLD CUSTOMS ORGANIZATION
ORGANISATION MONDIALE DES DOUANES



1- Competency assessment operation

Competency appraisal is crucial in a competency-based HRM system, since its results will be used to develop other HRM practices. It is an operation that feeds all upstream and downstream HRM processes with reliable information essential for their deployment. The success of the HR system thus depends on the reliability and validity of the results of the appraisal operation. Therefore, it is extremely important to plan the resources that are essential for its success, in terms of time, energy and financial means.

If competency appraisal is a new practice for the Customs administration, then it is essential to deal with it as part of a communication and change management process in order to reduce the impact of resistance to change.

Practically speaking, competency appraisal is implemented through an individual interview, which

is considered an essential tool in the competency approach. This provides a valuable exchange between the direct supervisor (n + 1) and the employee through a joint evaluation allowing comparative and complementary views, based on employee self-evaluation.

The approach also relies on maintaining a calm and open dialogue between the manager and employees, allowing assessment of their competencies, and hence facilitating definition of the appropriate training actions to be set up, taking stock of the preceding year in terms of achievements and difficulties, while also identifying more accurately their personal and professional aspirations. The annual interview hence becomes a very important opportunity for greater interactivity and exchange on the organization's imperatives, keys for success, and employees' individual and professional aspirations.

Aims and purposes of the competency appraisal scheme

For the appraiser	For the staff member being appraised	For the administration
<ul style="list-style-type: none"> – Review the duties, objectives and responsibilities of the staff member being appraised; – Analyse and resolve any difficulties, at individual level as well as within work teams; – Support employees individually in their positioning within the department and in their professional development; – Influence employees' motivation; – Improve communication; – Mutually review the professional activity, the competencies mastered, and the competencies that it would be desirable to develop (personal development) 	<ul style="list-style-type: none"> – Be recognized as an actor of the competency appraisal scheme; – The opportunity to have feedback on work quality; – Express one's needs, concerns and development and training aspirations; – Exchange views with the supervisor on the department's projects; – Identify strengths and areas for improvement. 	<ul style="list-style-type: none"> – A communication tool; – An efficient tool for managing jobs and competencies, allowing the diagnostic of available and potential competencies; – An aid to building training plans, performance management, rotation and succession planning; – A means to convert organizational objectives into operational objectives.
<ul style="list-style-type: none"> • Develop position-related competencies; • Dialogue between employee and supervisor; • Employee assessment in relation to the position held and on the basis of objective criteria specific to position; • Supervisor's accountability and commitment in the process of the personal and professional development of employees. 		

Competency appraisal approach

For the approach to succeed, a periodic and precisely scheduled exercise could be considered. Customs administrations may integrate this into their annual support and development planning as follows:

- The competency appraisal interview is undertaken every reference calendar year between September and November;
- The interview is for employees who have completed at least one year of service within the

Customs administration, and six months within the position concerned by the competency appraisal when it is a first job assignment;

- If a change of assignment occurred during the year without incurring a change of job, the employee is appraised by his/her current supervisor;
- Evaluation of the position-related competencies and the training requirements of employees are performed within the framework of this interview;

- In the event of absence (illness, work accident, maternity leave, etc.) preventing the interview from taking place, the appraiser should inform the HR department within the time frame of the operation, indicating the reasons.

In order to support the managers (assessor) and the staff (assessed) in the competency assessment exercise and in order to measure the level of professionalism, one must consider four criteria:

- **Autonomy** - assess the capacity of the officer to successfully work with limited or no supervision;
- **Complexity** - assess the level of difficulty of the tasks to be undertaken while taking into account if a task requires multiple competencies to be undertaken;

- **Issues at stake** - assess the importance of the competency(ies) for the job and assess the scope of the impact of (non) mastery of the competency could have on the internal and external environment;

- **Occurrence** - assess the level of competency acquired by the job holder over time – a competency needs to be assessed over a period of time;

The use of these criteria ensures the objectivity and reliability of the results of the competency assessment exercise.

Autonomy	<ul style="list-style-type: none"> - Competence fully guided by instructions and checks, etc. ; - Little scope for initiative (with document); - Competence carried out autonomously, with the possible help of a colleague or a supervisor; fairly frequent opportunities for initiative taking; - Competence achieved autonomously, demanding to address unforeseen situations; - Competence achieved in total autonomy, requiring the search for solutions in case of problems.
Complexity	<ul style="list-style-type: none"> - Uses basic knowledge (prior knowledge) and simple tools; - Involves several specialties; - Involves a wide scope of specialties; - Requires understanding of overall functioning of a complex system; - Requires ability to master a complex environment (mass of knowledge and information).
Issue(s) at stake	<ul style="list-style-type: none"> - Customer / supplier relations; - Deadlines and time consumption; - Impact on quality; - Economic cost; - High quality non-recoverable impact.
Occurrence	<ul style="list-style-type: none"> - Daily or weekly; - Regular (monthly frequency); - Periodical (every 6 months or every year); - Occasional or rare; - May never happen.

By the end of the competency assessment exercise, each officer will receive a competency assessment report, which will include his/her supervisor's recommendations related to training, advancement, rotation (...).

Once the competency assessment exercise has been carried out across the whole organization, all competency assessment reports will be sent to the structure (Division, department, service, unit...) in charge of Human Resource Management. This structure will then process the data received and proceed with the analysis of the results of the competency assessment exercise. This analysis will inform the strategic recommendations of HRM and

the orientation of HRM processes, including staff planning, training, career management and staff performance management.

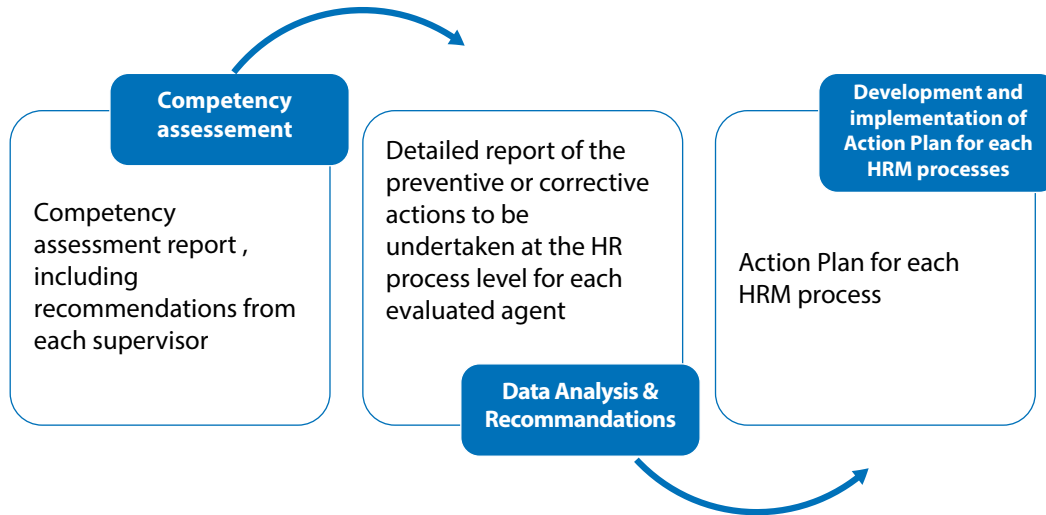
For example, if the analysis of the competency assessment results highlights that an organization has a deficit in the competency "Post-Clearance Audit", the structure in charge of HRM could recommend to, for example:

- Recruit auditors and then train them on Customs matters, including PCA; or
- Build an internal pool of PCA experts through WCO support; or

- Send X number of officers for training on PCA abroad in a country globally recognized on PCA to build a critical mass of officers able to undertake PCA.

In some cases, these recommendations will need to be sanctioned by Top Management, especially if they have financial implications.

Based on the decisions taken or recommendations adopted, an action plan for each HRM process will be developed and implemented. The figure below illustrates the different stages and their outputs as well as the actors involved:



2- Competency-based staffing process

Managing the acquisition of human resources encompasses all activities conducted for the purpose of devising **strategies, processes and tools** designed to help **identify and analyse the staffing and competency requirements of the organization (the HR planning process), to recruit and select candidates with the best profiles (the recruitment process) and to induct and integrate them (the induction and integration process)** into their posts within the organization.

This process, which is of great strategic importance to the future of the Customs administration, merits particular attention and close interest on the part of all strata within the organization and must not be the sole preserve of the human resources department¹². In other words, effective integration of staffing into the HR system requires close and intensive cooperation between the department in charge of HR management and those responsible for strategic and operational management.

Staffing management will serve to guide and anticipate the measures to be implemented in conjunction with the other HR processes with a view to achieving strategic coherence. These interacting processes will pursue distinct but complementary objectives and will all contribute to the overall performance of the organization.

The staffing process thus emerges as an indispensable link in the value chain of the organization. For Customs services, it serves to ensure that good staff – competent, motivated and deployable – are available in the right posts (matching job and workforce profiles) at the right time (the “just in time” principle) while avoiding any understaffing or overstaffing.

Furthermore, the HR staffing cycle, which is depicted in the diagram below, incorporates a raft of factors and tools into a transparent process that is subject to constant scrutiny by HR specialists. In this way, by means of a systematic assessment of the present and future competency requirements of the Customs administration as a whole and a realignment of other HR practices with the competency-based approach, excellence will be achieved by encouraging initiatives designed to attract, develop and retain a committed, loyal and competent workforce.

There is far more to assigning human resources, however, than mere arithmetical calculation of the numbers of those who are due to retire and the number of recruits needed to replace them. It requires a detailed understanding of the strategic goals and business processes of the Customs administration. The department responsible for HR management must therefore determine the plans, strategies, tools, activities and key performance criteria with which

the organization can realise its vision and achieve its objectives.

The information system makes a very substantial contribution to human resource planning. This system must be made available to the HR department to enable it to meet the current challenges posed by HR management within Customs services and to deliver the analytical data they need to expedite the process of modernizing and reforming the management of human resources.

In the light of this requirement, Customs administrations must strive to promote a strategy for the establishment of **a system of job, workforce and competency planning**. Such a voluntarist approach will ensure that administrations possess a more efficient department for the management of human resources as well as highlighting the qualitative and

The system of job, workforce and competency planning is a proposed HR management tool with which future short-, medium- and long-term HR needs can be anticipated. Its objective is to adapt jobs, staff and skill profiles to meet the requirements identified in the strategic plan of the organization and to monitor and respond to changes in the economic, social and legal operating environment.

quantitative aspects of that department's role within the Customs structure. It is, moreover, an exacting approach, because it entails rigorous analyses. It is important to be aware that the activities which contribute to strategic planning are the same ones that guide forward planning in the realm of human resources.

Accordingly, the department in charge of HR management must tailor its role and its activities to the goal of **good stewardship of human resources**. This goal encompasses certain basic and strategic practices through which a modern and efficient system

At this stage, it is imperative that heads of HR in Customs administrations engage in continuous monitoring based on the HRIS and conduct studies and analyses of the internal and external environment. In this way, they will be able to stand back and consider their own management of human resources, compare their tools and practices with those used by other organizations in the public and private sectors and so take remedial measures or launch new modernization projects in pursuit of excellence.

of HR management can be established, namely: **HR planning, job, staff and competency planning, development of the human resource information system (HRIS) and, above all, professionalization of the HR team**¹³.

In conclusion, the objectives of the staffing process may be summed up as follows:

- To enable Customs administrations to create stewardship mechanisms that establish a code of conduct which will make their HR management department more efficient and its role more relevant and highlight the qualitative and quantitative aspects of that department's role as a strategic partner.

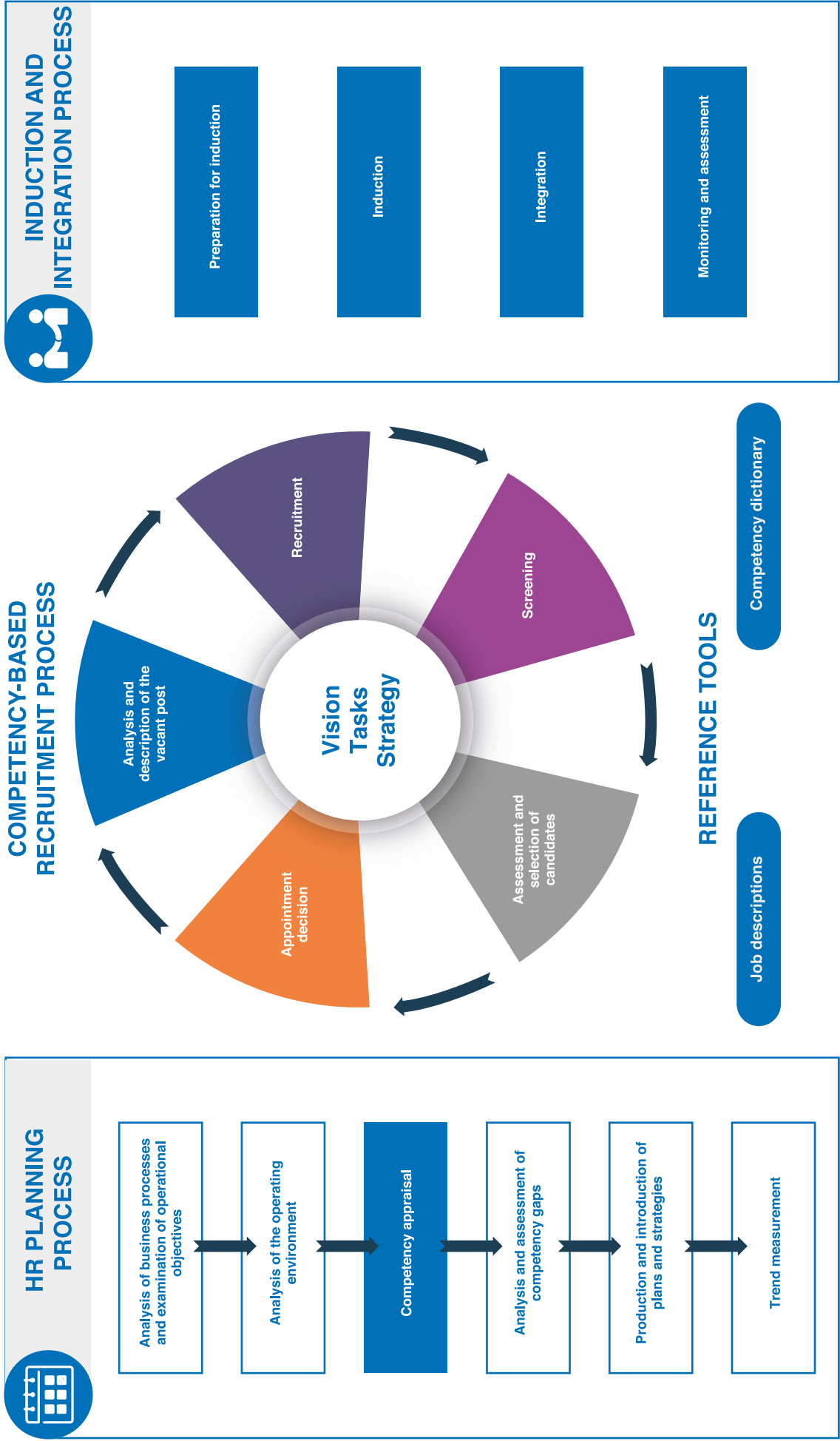
¹²- At this juncture, it is important to mention that the WCO's HR diagnostic reports on several Customs administrations indicate the absence of a staffing process in the activities of the HR specialists within those administrations. The latter point out that staffing does not fall within their remit and is the sole prerogative of the ministry responsible for the civil service.

¹³- An analysis of the diagnostic reports on the Customs administrations of several WCO Member countries indicates a degree of improvisation in the management of human resources and suggests that HR management comes last in order of priority. Accordingly, it is time to upgrade the strategic role of HR departments by deploying competent staff who are able to demonstrate the benefits that good HR management brings to the value chain within Customs organizations.

- To enable the Customs administration to achieve an equilibrium between staff availability and staffing requirements in all HR categories within the Customs administration and to select the best personnel with the profiles required for the achievement of the organization's objectives.
- To enable Customs administrations to produce programmes and tools that will make it easier to integrate and retain new staff.



Fig. 14 : Stages and activities in the staffing process



2-1 The process of human resource planning in Customs services

The process of human resource planning may be defined as “a process encompassing all the **activities which enable the human resources department, in close and harmonious cooperation with all of the senior strategic and operational management, to identify, analyse, assess and anticipate the human capital that will be required to achieve the short-, medium- and long-term objectives of the Customs administration as well as those of its staff**”.

Human resource planning is a process that enables the Customs administration to determine the quantity and quality of the human resources it will need in order to achieve its strategic objectives (strategic alignment). Determining HR requirements implies a need to understand the future strategic course that the Customs administration will follow. In other words, for the Customs administration, it is a matter of anticipating future manpower supply and demand on the basis of its strategic activities and operational needs and then devising and pursuing appropriate strategies.

First of all, planning involves a detailed analysis and an interpretation of the discrepancy between the present supply of human resources and the future demand, based on the findings of the competency appraisal. Appropriate strategies are then adopted

with a view to responding properly to the identified discrepancies. These strategies will therefore cover recruitment, internal staffing, staff development, training, partnerships and activities relating to reduction of the staffing establishment.

In addition, HR planning may be carried out in an extremely detailed manner through the use of a **human resource information system (HRIS)** and an HR scoreboard, which can serve as a basis for demographic studies, trend analyses and statistical modelling. The HR scoreboard encompasses several categories of performance indicators, presented below, enabling the HR department to take strategic decisions on the basis of robust up-to-date figures.

To this end, the HR specialists in the Customs administration, as well as those in positions of strategic and operational responsibility, should engage in extensive deliberations so that they can answer the following questions:

- What is our strategic orientation, and what are our operational requirements?
- What competencies do we need to perform our tasks?
- What competencies do we possess at the present time (competency assessment)?
- How much discrepancy is there between the two, what must we do to close the gap, and what strategy should we adopt for that purpose?

HR planning may be conducted on a scale that covers all posts in the Customs administration or may focus only on particular new posts or on posts classed as strategic or critical. Its success, however, depends on a full understanding of the strategic plan and on the creation of a link with that plan.

Tab. 4 : List of HR performance indicators

Indicator categories	Indicators
Demographic indicators	<ul style="list-style-type: none"> • Number of employees • Average age • Average seniority • Average pay • Ratio of women to men • Management-staff ratio • % of managers without subordinate staff • Total seniority of managers • Average seniority of managers • Retention rate for managers • Diversity (women, members of visible minorities, members of ethnic minorities, indigenous persons, persons with disabilities) • Distribution by hierarchical level • Turnover rates (total, voluntary and involuntary): employees who leave the organization in a given period as a percentage of the average workforce of the organization in that period • Retention rate: percentage of staff who have remained on the payroll over a given period • Supervision rate: number of employees for whom each manager is responsible



Familles d'indicateurs	Indicateurs
<p>Recruitment indicators</p>	<ul style="list-style-type: none"> • Recruitment cost: total amount of money spent by the organization to hire a new employee • Recruitment time: time taken to fill a post, expressed as a number of calendar days • Recruitment quality index: measures the effectiveness of the organization's recruitment on the basis of indicators such as the retention rate for recruits, recruits' performance levels and satisfaction ratings obtained from the recruits and their respective managers • Percentage of recruits hired by the targeted recruitment date • Number of days for which key posts remain vacant • Involuntary turnover rate for recruits • Resignation rate for recruits • Diversity of recruits (to management posts) • Job-offer acceptance rate • Hiring rate from the referral programme • Rehiring rate • Satisfaction rating of the recruitment process (by managers and candidates)
<p>Training and development indicators</p>	<ul style="list-style-type: none"> • Hours of training per employee: average per capita number of hours' training • Investment in training per employee: average amount invested in training an employee • Number of courses on offer • Number of trained employees • % of the workforce who have been trained • Number of hours' training given • Average number of hours per training course • Number of individual development plans • Achievement rate of individual development plans • Satisfaction rating of training courses • Number of dropouts from training • Success rates of training courses • Number of employees who have successfully completed training courses • Pass rate • Total cost of training • Cost per hour of training • Training costs as a % of total expenditure
<p>Performance management indicators</p>	<ul style="list-style-type: none"> • Performance management index: average performance of employees under the responsibility of each manager, expressed as a % of a target average performance level set by the organization • Pay differential between high performers and others: compares the average pay of high performers to staff in the other performance categories (satisfactory and low) • Turnover rate of high performers: high performers who leave the organization within a given period as a % of the average total number of high performers in the workforce over the same period • Number of employees assessed • % of employees assessed • Average performance level • Number or % of high performers • Number or % of low performers • Number or % of satisfactory performers • Number or % of potential high performers

<p>Succession planning indicators</p>	<ul style="list-style-type: none"> • Pipeline utilization rate: this is the percentage of key posts that are filled by means of internal promotion • Succession pipeline depth: this is the percentage of key posts for which one or more potential successors have been identified • Bench strength: this is the percentage of key posts which at least one successor is ready to fill • Turnaround time for key posts: this is the time that elapses between the departure of the holder of a key post and the arrival of his or her replacement; this can also be defined as the number of days for which key posts remain vacant • Performance of promoted successors: this is the average performance rating of newly promoted successors • Turnover rate of high-potential employees: this figure shows the number of high-potential employees who leave the organization in a given period, expressed as a percentage of the average total number of high-potential employees in the organization over the same period • Number and % of identified key posts • Number and % of key posts which are vacant • Number and % of identified high-potential employees • Number of candidates in the succession programme • Number of successors who are ready for appointment • Number of successors per key post • Number of key posts with no successor
<p>Pay indicators</p>	<ul style="list-style-type: none"> • Average pay per employee: measure of an organization's average annual investment in its human capital • Development of the total wage bill: this indicator measures the year-on-year percentage increase or decrease in the total wage bill of the organization • Personnel costs as a % of receipts: this figure measures the total personnel costs as a percentage of the organization's total operating income • Pay comparison ratio: this ratio expresses an employee's pay as a percentage of the median remuneration on the pay scale.



2-1-1 The objectives of the HR planning process

HR planning has objectives of several types:

- to ensure that the Customs administration can maximize the use of the human resources at its disposal while providing for their continuous development;
- to enable the Customs administration to obtain human resources with which it can achieve its strategic objectives, to implement its operational plans and to depend at the right time on good individuals with valuable competencies at the lowest possible cost;
- to enable the Customs administration to have the ideal size and quality standard to pursue the organization's aims with the aid of scientific tools (workload calculation).

These diverse objectives of the planning process must therefore be perceived as instruments for guiding the alignment of the other HR processes within the framework of a coherent strategy.

2-1-2 Stages in the HR planning process

Given the importance to the Customs administration of HR planning, which sets the guidelines for the other HR processes, a successful HR planning process depends on rigorous compliance with the following sequence of stages:

Stage 1: analysis of business processes and examination of operational objectives;

Stage 2: analysis of the operating environment, including a competency appraisal;

Stage 3: analysis and evaluation of discrepancies;

Stage 4: devising and introduction of plans and strategies;

Stage 5: tracking changes.

Stage 1: Analysis of business processes and examination of operational objectives

The first stage of the HR planning process consists in a highly detailed analysis of the Customs administration's strategic plan. To put it more precisely, the aim is to translate the activities set out in the operating plan of the Customs service (the logical framework) into action in the realm of HR management with a view to achieving the strategic objectives of the organization. The HR department should therefore regard the Customs administration as a set of business processes through which the tasks of the organization can be achieved with the aid of the human resources at its disposal.

Accordingly, it is important that the HR department should devote time to meeting the challenges and requirements of each business process in terms of responsibilities, tasks and competencies. At this stage, it is necessary to start work on revising and adapting the tools of the competency-based approach (see the section on the development of the competency-based approach) to developments in business processes and to operational objectives.

In practice, a competency-based approach to the management of human resources means making the required adjustments to job descriptions while involving the relevant staff in the adjustment process. It should be noted that these adjusted job descriptions must provide a vision and a rationale of the role that each member of the Customs administration has to play in the value chain of the organization and in the realization of its operational objectives. The following example is intended to illustrate this point more fully:

Strategic objective: Enhance partnership with the private sector		
Operational objective 1: Increase the number of enterprises classed as approved economic operators by --% compared with year n	Operational objective 2: Streamline import and export operations, reducing release times to -- minutes	Operational objective 3: Strengthen the intelligence-led risk-management mechanism
Business processes: Customs clearance should be focused more on post-clearance audit than on immediate inspection		
HR requirements: Have Customs inspectors who act as auditors with new competencies		

Stage 2: Analysis of the operating environment, including a competency appraisal

The second stage in the HR planning process consists in evaluating, in the light of the strategic guidelines of the Customs administration, the abilities of the human resources that are currently at its disposal. To

this end, an objective diagnosis should be conducted of the internal and external environment within which the Customs administration is developing. Such a diagnosis should serve to identify the external and internal factors that might influence the ability of the administration to achieve its objectives.

Factors relating to the internal environment	Factors relating to the external environment
<ul style="list-style-type: none"> – composition of the workforce (qualification and skill profiles, trends, competencies); – alterations to the implementation of programmes or to the organizational structure; – demographic study on the general characteristics of the organization's human resources (trends, future challenges, etc.); – the strategic priorities or objectives for HR (e.g. ethics, diversity and integration, professionalization, management of talents). 	<ul style="list-style-type: none"> – analysis of trends in the labour market; – current or forecast economic trends (creation of free zones, mining exploration, industrialization or shift to a service economy, etc.); – technological progress (automation of clearance processes, digitization, etc.); – cultural and social values; – attractiveness of Customs, according to a survey on employment in the public service (employer brand or employer of choice); – governmental legislative and fiscal priorities, e.g. Customs union, monetary union, single Customs territory, revenue mobilization, trade simplification and international and regional agreements.

The result of this diagnosis of the operating environment must be underpinned by the findings of the competency appraisal covering the entire staff of the Customs administration.

The employer brand is an asset when it comes to attracting talent. Among its benchmarks is the communication strategy that an organization uses to distinguish itself from its competitors and to advertise the quality of the experience which it means to offer its employees.

Stage 3: Analysis and evaluation of discrepancies

In the light of the analysis of the results from the diagnosis of the operating environment and of the reports resulting from the competency appraisal as well as on the basis of the Customs administration's strategic guidelines, the next step is to make a realistic prediction of future human resource requirements. In this prediction, the supply of and demand for HR must be assessed, and diligent efforts must be made to answer the following questions:

- How many employees does the Customs administration (all departments and other units)

need to achieve its strategic objectives?

- Which are the posts that will have to be filled?
- What competencies are required to achieve the objectives of the organization?

It is important to stress at this juncture that the prediction of HR requirements must be based on a scientific method and not merely reflect the wishes of the senior operational staff. The calculation method presented below will enable the HR department to define the optimum number of staff that are needed for a unit to function properly in pursuit of the objectives of its own work plan.

The workload calculation process

The workload to be borne by an organization's human resources is estimated on the basis of a universal approach to managerial oversight, adapted for use in the management of human resources.

This approach is based on the direct observation of the time taken to perform the activities associated with a particular job over a fixed period or on a questionnaire administered to holders of posts in order to find out how much time is devoted to the performance of their duties. In both instances, fluctuations in the volume of work and in the time taken to perform tasks are taken into account.

Given the availability of annual activity indicators for Customs offices, interviews should be held with holders of posts to supplement the available data concerning the time taken to perform tasks.

Important :

When workload is measured, the following factors are taken into consideration:

- *Workload is estimated for each post in a given structure, regardless of the persons in these posts.*
- *The estimate must take account of normal routine activity as well as extreme instances and must be based on simple, normal and complex cases.*
- *The time taken up by quiescent phases in a process, such as waiting and verification times, is not taken into account.*
- *The approach could be adapted to match the specific features of the occupation under examination.*
- *For some jobs, the standard number of posts may be determined by certain pre-existing criteria, such as the number of permanent service points that require constant manning, the number of telephone switchboards, the number of scanners or the number of vehicles available for drivers.*

Processes and stages

The method used to calculate workload consists in:

1. Identifying the jobs attached to each structure with responsibility for the Customs clearance of goods and listing the activities linked with each of them, as defined in the job descriptions.

When the two formulae set out above are applied, the required staffing level comes to 6.2 persons. This is calculated as follows:

$$\text{- Staff needed} = \text{Total of average processing times} \div \text{Average annual working time per person}$$

That is to say :

$$580,308 \text{ minutes per annum} \div 95,040 \text{ minutes (annual time worked per head)} = 6.2 \text{ persons}$$

The number of staff required to perform all of the tasks involved in this job enables us to obtain the total staffing level required within a structure.

On the basis of the result of this calculation, we can compare the total required staffing level and the number of staff currently assigned to the structure and so determine whether the latter is overstaffed or understaffed.

The next step is to measure the discrepancy between the present situation in the Customs administration and the desired future situation. In other words, we need to compare the resources that are presently at the disposal of the Customs administration and the resources it expects to need in the future in terms of the number of staff and their competencies and skills. To this end, it is advisable to study all of the existing HR management practices within the administration in order to identify those which could be improved and to introduce new practices that could enable it to advance.

- What posts shall we have to create?
- What are the new competencies that we shall need?
- Do our current employees possess the required competencies?
- Are the current employees able to exercise their competencies?
- Do we have enough managers and supervisors?
- Do our current HR management practices match our future needs?

Stage 4: Devising and introduction of plans and strategies

Proceeding from the findings obtained in the three preceding stages, the head of HR in the Customs administration will be able to determine the main priorities in terms of human resources and the strategies he or she intends to adopt in order to obtain the target outcomes. In this context, the following requirements should be noted:

- including the HR priorities and the main planning issues in the strategic plan and priorities plan of the Customs administration;
- taking account of budgetary matters in the human resource plan;

- communicating the human resource plan to all senior staff in all departments and encouraging them to cooperate in its realization.

Devising and introducing HR management strategies that are aligned with the strategic plan of the Customs administration

Generally speaking, there are five categories of HR strategy that the head of HR in the Customs administration may apply in order to meet future HR requirements. The figure below shows these five HR planning strategies.

Fig. 15 : The five HR planning strategies



1. The restructuring strategy

This strategy is often used if an evaluation of human resources reveals overstaffing and a skills surplus within the Customs administration. It makes several remedial measures available to the head of HR. These include:

- manpower reduction through termination of employment contracts or natural wastage;

- redistribution of duties with a view to creating more relevant jobs;
- reorganization of work units for greater efficiency.

It is important to emphasize that natural wastage, which means not replacing employees when they leave the organization, is one means of reducing the number of staff, but its expediency depends on how urgent it is to trim the workforce. Natural wastage means that the human resources department,

in consultation with line managers, must rewrite the relevant job descriptions so as to assign to other people the essential work performed by the departing employees. This means that a careful analysis of the redistribution of the workloads of the employees remaining in their posts must also be made with a view to determining whether the new distribution of tasks will yield better results.

It is important to take account of prevailing trends in the labour market, such as a shortage of investigators or inspectors, because reducing the size of the workforce might have long-term implications for the organization. Accordingly, it is appropriate to identify the areas of activity in which the role of human resources is most important as a prelude to any restaffing or redeployment of particular employees, following training and competence-building measures, to an area affected by shortages.

2. The training and competency-building strategy

Following the competency appraisal, the head of HR may resort to certain measures designed to rectify competency shortages. To this end, the training and professional development plan may incorporate the following elements:

- training activities enabling staff to perform new tasks in a framework based on mobility;
- opportunities for professional development to enable Customs staff to prepare themselves for sideways or upward moves to future jobs within the administration.

In addition, and with regard to jobs in particular areas such as HR management, finance, accounting, internal audit and information systems, the Customs administration may offer to meet or share the cost of the training undertaken by a Customs inspector who has demonstrated the desire to develop his or her competencies and possesses the relevant prerequisites.¹⁴

Consulter la section portant sur le processus de formation quant au bien-fondé de ce type de proposition

For more information, please see the section dealing with the training process.

3. The recruitment strategy

For the purposes of strategic HR planning, every time a need for recruitment is perceived, it is important to approach it from a strategic perspective. Recruitment strategies comprise the following elements :

- recruiting new employees who possess the competencies and skills that the Customs administration will need in the future;

- studying all the options that are open to the Customs administration to engage in strategic promotion of the new jobs to be established and to encourage competent candidates to apply.

For more information, please see the section dealing with the recruitment process.

4. The outsourcing strategy

Outsourcing consists in entrusting a third party with responsibility for particular tasks regarded as secondary so as to enable the organization to focus on the strategic activities that are directly connected with its *raison d'être*. These activities are referred to collectively as its sphere of competence.

Any decision to outsource work has implications for the achievement of the organization's objectives and should therefore be carefully weighed up in advance.

5. The collaboration strategy

Lastly, the process of strategic HR planning may lead to indirect strategies that are not confined to the Customs administration. By cooperating with other organizations, the HR department might be better able to address shortages of qualified staff and meet its competency requirements in particular areas. The forms that such collaboration can take are set out below:

- working with other organizations on the cultivation of tomorrow's leaders by collaborating in the training of promising individuals;
- sharing the cost of training groups of employees;
- enabling staff to visit other Customs administrations through internships, learning placements, etc. as part of cooperative arrangements with a view to acquiring new skills and drawing inspiration from international or regional best practices.

Stage 5: Tracking changes

The human resource plan is continuously evolving. To ensure its successful implementation, it is essential to keep measuring, monitoring and reporting progress and to adapt the plan to changing circumstances. To this end, a process must be established which provides for regular examinations and amendments and for notification of changes. This requires very close interaction between all of the operational services and the department for human resources.

The operational services must report the information that will enable the HR department to base its decisions on the facts.

¹⁴. It is important to state at this point that there is a need to restrict this option by means of appropriate internal policies so as to guarantee a return on investment.

2-2 The competency-based recruitment process

Competency-based recruitment is focused on seeking prospective employees who demonstrate, through their proven qualities, an ability to handle the nature and requirements of the job and ultimately to perform to a high standard.

According to Stephen Taylor, People Resourcing (2002), "A competency approach is person-based rather than job-based. The starting point is thus not an analysis of jobs but an analysis of people and what attributes account for their effective and superior performance."

Gareth Roberts, for his part, suggests in Recruitment and Selection: A Competency Approach (1997) that "the benefit of taking a competencies approach is that people can identify and isolate the key characteristics which would be used as the basis for selection, and that those characteristics will be described in terms which both [the selector and the client] can understand and agree. [...] The competencies therefore become a fundamental part of the selection process."¹⁵

competencies required for the job in question. In other words, this approach serves to determine which selection methods, such as psychological and behavioural tests or **assessment centres**, are likely to yield useful evidence and determine the extent to which the shortlisted candidates, who have

The behavioural interview is a tool for assessing a candidate's behavioural competencies, because it focuses on specific behavioural information concerning the candidate's key attainments and activities of recent years. It rests on the premise that "past behaviour is the best predictor of future behaviour". In other words, the best way of predicting how individuals will behave in present and future situations is not to ask them what they would do but to consider what they actually did in similar situations in the past.

Research has shown that behavioural interviews, tried and tested in both the private and the public sector, are one of the most reliable recruitment methods.

been identified as persons **of merit**, satisfy the job requirements and the specifications set out in the competency definitions contained in the "competency dictionary".

All in all, use of the competency-based approach to recruitment benefits the Customs administration in several respects:

Candidates of merit are those who possess the competencies, qualifications and skills required for the job in question. To be more specific, persons are deemed to be candidates of merit if they prove that they possess the basic competencies they need to perform the relevant work as well as all other qualifications that increase their aptitude for the job or their usefulness to the organization.

- Competencies serve as an objective guide and a means of comparison when assessing candidates.
- Accordingly, they enhance the accuracy and objectivity of selection decisions by enabling an organization to assess candidates' aptitude and potential for a particular post.
- Competency-based recruitment minimizes bad appointments, because it enables the selection

committee – a jury or panel – to assess the attributes of the shortlisted candidates on the basis of the qualities required for the job in question rather than taking hasty or subjective decisions.

- Competency-based recruitment leads to a standardized and transparent selection process that is consistent with the principles of fairness and equal opportunities defined in the recruitment policy (see the fairness and equal-opportunities policy in section 2). It means that the same parameters will be used to assess all candidates for a given job.
- In a competency-based recruitment process, the selection committee is provided with far more robust evidence as to candidates' likely behaviour in the jobs for which they are applying and will therefore be able to make meaningful comparisons between candidates.
- Competency-based recruitment provides potential candidates with a clear and detailed presentation of the information relating to the advertised job and its requirements as well as the criteria for a successful application.

Some principles for building and managing a recruitment system

- The principle of fairness is at the heart of the recruitment system. The Customs administration must equip itself with the means of ensuring that the candidates' competencies, commitment and motivation are the factors that determine whether an application is accepted or rejected. In some cases, however, it will be imperative to take other factors into account in the recruitment process, such as a candidate's sex, ethnicity, political views and religious adherence (national staff). The conduct to be followed in such cases must be defined and supported with sound arguments by the top tier of the organization.
- Time is one of the key factors in the success of a competency-based recruitment drive; the Customs administration must equip itself with the procedural, human, logistical and financial resources to ensure that its recruitment drives are not conducted hurriedly or hastily.
- Better a vacant post than bad recruitment ...

15. Shot and adapted from: Armstrong, Michael, 2006, A handbook of human resource management practice. 10th ed. p.cm. British Library Cataloging in Publication Data. A CIP record for this book is available from the British Library. ISBN 0 7494 4631 5.

2-2-1 Course of the recruitment process

Since recruitment is a strategic operation for the Customs administration, it is appropriate to provide

a brief description of the various stages in the recruitment process¹⁶. The diagram below shows the main stages in the process.

Fig. 16 : Stages in the competency-based recruitment process



Stage 1: Analysis and description of posts

See the previous section of the Guide, which deals with the development of the tools to be used in the competency-based approach.

Stage 2: Recruitment

Staff-recruitment efforts may be divided into two distinct types. First of all, we can observe a regular or periodic form of recruitment from the labour market, based on a review conducted by the government or by the Customs administration. The second type of recruitment is justified by posts falling vacant and can be split into two categories: recruitment from within, i.e. promotion of existing employees, or external recruitment, i.e. recourse to the labour market. Procedures may differ between internal and external recruitments, but the stages and the processes are similar and may apply to recruitment from both internal and external sources.

On the basis of the strategic guidelines (see the section above on HR strategy) recommended by the Customs administration for the various existing

categories of post, a decision may be taken either to recruit from within or to seek external applications.

Important advice :

Where the Customs administration does not have control over all stages in the recruitment process, for example if recruitment is a matter for the ministry responsible for the civil service or for public finances, it is important to conduct an analysis and identify specific measures which will enable the HR department of the Customs service to be exclusively involved in all of the stages and activities of staff recruitment. This is an important stipulation, since it serves to ensure that appointees possess the levels of competence required for the vacant post while precluding the selection of candidates who are incompetent and recruitments based on non-transparent criteria such as political considerations or patronage.

• Recruiting from within

Given the diversification of the scope of Customs activities, it is imperative that Customs administrations should invest in staff development and competency-building. In other words, employees must be enabled to enjoy upward and sideways mobility. Accordingly, the first candidates to be considered when a post becomes vacant are existing employees. This is an inexpensive option and increases the pull of **psychological contracts** by having a positive impact on the working climate and on the motivation

¹⁶. Refer to Appendix No. 1 of this section for information on the activities to be verified during the various stages of recruitment

of Customs staff. It does, however, restrict the introduction of new blood, original ideas and fresh outlooks. Moreover, recourse to the internal option deprives the Customs administration of external candidates who may be more experienced and better qualified.

If the Customs administration opts to recruit from within, it means that the HR department must have a full inventory of the competencies possessed by all its employees and of the attributes that could be developed through training measures, the more so in view of the need to know the mobility situation of those who might be suitable occupants of the vacant post. This is what makes the **evaluation competencies assessment interview** described in section 3 so very important to the HR department.

• **External recruitment**

The Customs administration may consider the situation from a different angle and opt for an external appointment because:

- there are no internal employees who meet the requirements for the vacant post;
- the administration consciously seeks to inject fresh blood into the organization by trying to recruit young graduates or to achieve a broader mix of employees, benefit from external experience or obtain staff with rare competencies.

Generally speaking, whether staff are recruited from within or outside the organization, it is imperative at this stage to draw up a job advertisement.

• **Drawing up the job advertisement**

This is an indispensable step in the recruitment process, because it serves to define precisely what the Customs administration needs while rationalizing the associated costs¹⁷. In so doing, it determines the number and quality of the individuals who will submit an application. It must therefore be drafted in such a way as to catch the attention of the best potential candidates and be sufficiently clear and precise to ensure that the HR department is not swamped by a deluge of applications from people who do not meet the requirements. It must thus be designed like a

It should be stressed that a recruitment has quite considerable financial implications. Every hiring process, in fact, has a cost that can be quantified with a fair degree of precision, comprising:

- the administrative costs connected with the hiring of staff;
- the cost of providing training for each new recruit;
- costs arising from lower productivity during the hiring and familiarization periods;
- costs arising from the time spent on the case by HR or operational staff responsible for recruitment.
- costs resulting from on-the-job support and tutoring provided by the management team.

funnel, proceeding from the general to the particular, and everything referred to in the advertisement must be verifiable.

In practice, the job advertisement must amount to a reproduction in expanded form of the job description for the vacant post so as to provide prospective candidates with a true picture of the job in question.

Tools that are used to publicize job vacancies

- a presence on social networks to promote the employer brand and advertise the available jobs;
- networks of contacts that are made accessible by LinkedIn or Facebook, for example;
- careers and job fairs, conferences and networking activities;
- partnerships with educational establishments, which will often advertise jobs free of charge; involvement in the development of training programmes is also a means of connecting with the next generation;
- hiring commercial agencies; though costly, they are sometimes needed in urgent cases or when it comes to filling senior posts;
- professional bodies for access to self-employed individuals to cover short-term needs;
- printed and digital media: the press, specialized journals, specialized and general websites, etc.

The goal of the advertisement is to attract and persuade the best potential candidates on the market. Hence it is effectively a matter of choosing the **publication channels** that are the most compatible with the specific features of the advertised job. Moreover, the structure and content of the job advert must be designed to secure enough high-quality applications to enable the Customs administration to make a selection that is fair to all the candidates and beneficial to itself.

To this end, it is of prime importance that the advertisement should fulfil the following **four conditions**:

Be seen: The choice of channel depends on the targeted type of candidates. It is therefore important to diversify the publication media in order to cast the net as widely as possible and reach the greatest possible number of potential candidates.

Be read: Given the competition among the various public and private organizations to recruit the individuals with the best skill and qualification profiles in the market, it is essential for the organization to distinguish itself from its rivals in order to attract the attention of the best potential candidates. Care must therefore be taken to ensure the quality of the job advertisement in terms of both form and content.

Be digested: The advertisement must be clearly and readably worded. It must also be informative and appealing. The aim is to enable prospective

¹⁷ In some Customs administrations, job advertisements are framed in such general terms that they generate a plethora of applicants who fulfil the specified conditions (nationality, age and educational attainment). This generates astronomical recruitment costs and creates a high risk that the best candidates for the job will not be selected.

candidates to form a clear idea of the job requirements and compare them with their own personal profiles.

Whatever tool is used to publicize a job vacancy, the advertisement must contain the following information:

Job title	
Brief introduction to the Customs administration	Briefly describe the tasks of the Customs administration and explain why the job is being advertised. Refer applicants to the website of the Customs administration for more details.
Presentation of the vacant post	<ul style="list-style-type: none"> – accountability structure and position in the organization chart – geographical location – grade, point and, where appropriate, division on the pay scale – general objective or task – responsibilities – duties or activities – type and duration of the contract – pay and conditions
List of competencies with the required attainment levels	List all of the competencies required for the vacant post and specify the required level of attainment in each.
Qualifications	Specify the required degree or certificate and possibly the desired area or areas of specialization.
Other job-related requirements	Enumerate the specific requirements relating to the vacant post, such as command of languages or mastery of information technology.
Conditions of eligibility	List all specific and detailed information regarding the minimum eligibility conditions to be fulfilled by applicants for the vacant post (experience, minimum number of years' seniority, etc.).
General and specific conditions relating to the vacant post	Specify in detail the conditions to be fulfilled and accepted by candidates before and during their period of employment.
Information and documents to be provided to prospective applicants	<ul style="list-style-type: none"> – Indicate how to submit applications for the job, e.g. electronically or by post. – Enumerate the contents of the application file. – Provide information on the feedback that applicants will receive. – Indicate the deadline for the submission of applications. – Provide a form setting out the fundamental recruitment standards of the Customs administration (fairness, equal opportunities, etc.).
Selection process	Provide detailed information on the selection procedure and criteria.

Stage 3: Screening

The screening of candidates consists in sorting through all the applications that have been received. For the sake of fairness and efficiency, it is important to consider only the job description set out during the first stage with a view to checking for consistency with the predefined assessment criteria. The objective is to filter out the less promising applications for the vacant post and to retain only the candidates with the best potential.

In practice, it is advisable to make an initial selection on the basis of relatively simple criteria. It is effectively a matter of drawing an initial comparison between the attributes of the applicants and the job requirements. This should serve to ensure that the applicants admitted to the selection process fulfil the requirements in terms of educational attainment, experience, etc.

If the screening process is to be fair and equitable, it will be necessary to analyse all of the CVs and other

Practical tips

- *Eliminate all of the applicants who do not meet the essential criteria. These criteria will vary according to the nature of the post, the context of the recruitment, etc.*
- *Within the group of retained applications, separate those of candidates who also meet the optional criteria, who should be invited for interview first, from applications in which those criteria are not met.*
- *Grade applications on the basis of criteria which may turn out to be rather subjective, such as the content of the covering letter, the way in which the documentation is presented and the submitted references. The quality criteria for presentation will vary, depending on the targeted profile.*

attachments submitted with the applications and to classify the applicants into the following three groups:

Group A	Group B	Group C
Highly relevant	Fairly relevant	Not relevant

The next task is to evaluate the CVs of groups A and B in order to confirm the classification. The applicants in group A should then be invited for interview. Applicants from group B may be invited if there are too few candidates in group A.

In order to ensure that the best candidates for the vacant post go through to the next stage and to guarantee an objective and transparent screening process, it is crucial that the interviewing panel should take part in this process, obviously provided that the number of applications to be examined is not too large. In cases where two or more candidates are to be interviewed, it is advisable that the panel members should analyse the applications of the selected candidates before the start of the interviews. Those responsible for screening the applications would meet to compare their assessments of the applications.

At this stage, it is imperative to verify the authenticity of the supporting documents showing that the candidate possesses the requisite educational qualifications, training and experience. Any non-

compliant document will lead systematically to the application concerned being rejected without further examination.

Once the most interesting candidates have been shortlisted, they must be contacted by every possible means (telephone, registered post, e-mail, etc.) to set a date for the interview or, where appropriate, for written tests. It is desirable to send a letter or e-mail to the unsuccessful applicants for their information. This practice demonstrates that the Customs administration respects everyone who offers his or her services to it and encourages them to maintain their interest in the organization

Tab. 5 : Screening tools

Surnames and forenames	Academic profile	Knowledge of the administration	Job-related competency and experience	Supporting documents submitted	Quality of references	Restrictions (age, physique, etc.)	Observations
N1							
N2							
N3							
N4							
N5							
N6							
N7							
N....							

Stage 4: Assessment and selection of candidates

Competency-based interview

The competency-based interview, also known as the behavioural interview, is based on the simple principle that the best way of predicting what someone will do in the future is knowing what he or she has done in a comparable situation in the past. It differs from the more traditional forms of interview, in which the members of the assessment panel ask questions relating to what they are seeking but without any precise objective other than obtaining an overall impression of the candidate.

The rationale behind trying to assess a candidate's past behaviour more effectively is that it is possible to predict the way in which a candidate will respond

to future situations by assessing his or her behaviour in a similar situation in the past in which particular skills were needed or could have been used. The competency-based interview focuses on candidates' personal ability to apply what they have learned from experience to the job in question.

Accordingly, during the interview, the selection committee may obtain in-depth information on candidates' competencies and on the ways in which they approach their work and apply their knowledge and experience to new situations. In this way, the selection committee pursues the following objectives:

- to obtain proof of specific competencies or experiences that will enable it to understand and evaluate the candidate's past behaviour;
- to ask questions that require the candidate to demonstrate that he or she possesses a particular competency or ability that the job demands.

In practical terms, candidates will be asked to provide the selection committee with proof based on contextual examples from their working experience to illustrate their aptitude, competencies and personal abilities.

The desired proof will be more accurately assessed if the candidate provides an answer comprising the three elements below – context, action and results, referred to by the acronym 'CAR'.

NB: The description of this approach may be equally useful as a means of helping candidates to prepare for the interview.

Sequence of questions	Targeted information
CONTEXT A particular case in which the candidate displayed the desired ability	Ask the candidate to cite a situation that he or she has experienced or a task that had to be performed. You are trying to elicit a description of a specific situation or event, not a general account of the candidate's past achievements.
ACTION What the candidate did to display the desired ability	You are seeking evidence of what the candidate did, how he or she managed the situation. To be sure of receiving a suitable reply, you may need to ask further questions for clarification purposes; examples of these are given below.
RESULTS What results were obtained	Ask the candidate what the outcome was, what was achieved and what he or she has learned from that experience.
Exemple de questions	
Questions relating to the context	<ul style="list-style-type: none"> • Describe a specific situation in which you ... • Tell me about any case in which you ... • In the past, have you ever ...? • What experience have you had of ...? • Give me an example showing how ...
Questions relating to the action taken	<ul style="list-style-type: none"> • What did you do? • How did you approach the problem? • What was your role? • Describe how you went about planning your work. • Explain the steps you took to perform the task in a professional manner. • What did you do to ensure that the task was accomplished within the tight schedule? • What action did you take to resolve the conflict with that colleague? • How did you respond in that situation?
Questions relating to the results	<ul style="list-style-type: none"> • What effect did that have? • How did it end? • What was the outcome?/What were the consequences? • What happened after you responded in that way? • What feedback did you receive? • What did you learn? • Have you applied what you learned? • What problems have resulted from it?/What progress has resulted from it? • In what ways did your relations improve after you went to discuss your problem with your colleague?

Questions for clarification or further information

If replies are too general or too vague, amount to subjective opinions or are incomplete, hypothetical or theoretical, you can ask questions designed to “encourage” the candidate or to obtain clarification, such as:

- Tell me more.
- What happened next?
- What were your precise responsibilities within the team?
- Can you give me an example?

Advice to selection committee members

- Ask open-ended questions with only a few yes/no questions where these are necessary to confirm a specific fact.
- Remember to keep your questions short and simple. Questions which are too long or seek several different types of information are liable to disconcert candidates.
- Remember to use an appropriate structure and sequence of questions that enable candidates to provide evidence pertaining to the three principal elements – context, action and results (CAR). Depending on the candidate’s replies, you may need to ask for clarification to be sure of knowing the whole story.
- Ensure that you arrive well prepared for the interview. This means that:
 - you have verified that the candidate fulfils the minimum requirements for the post;
 - you have read the application forms and CVs before the interview;
- you have examined the notice of the job vacancy in question;
- you have taken part in prior discussions with the other committee members to finalize a list of questions;
- you have prepared a good mix of questions¹⁸ ;
- you have verified that all of the questions are consistent with the level of responsibility of the post;
- you know which question or questions you will have to ask;
- you have prepared questions to elicit more detailed information or clarification;
- you have identified minor and decisive plus and minus points;
- you have already compiled information for presentation to the candidate during the interview, such as information on the organization, the unit and the post and details of staff benefits and working conditions.

In order to guide the members of the selection committee in this exercise, hereinafter a list of questions to be avoided in a selection interview:

Tab. 6 : Types of question to be avoided during an interview

LOADED QUESTIONS	<p>This type of question already suggests a response, whether affirmative or negative, to the candidate.</p> <ul style="list-style-type: none"> • You did consult your superior before following this line of conduct, did you not? • Did you not know that this directly contravened the policy of the organization?
HYPOTHETICAL QUESTIONS	<p>These questions make candidates describe what they would do if confronted with a particular situation. They do not require candidates to talk about their past actions.</p> <ul style="list-style-type: none"> • How would you deal with a member of staff who was not achieving his targets? • What is the first thing you would do in the new role if you were appointed?
COMPARATIVE QUESTIONS	<p>This type of question makes candidates compare and distinguish between their past experiences rather than describing their past actions.</p> <ul style="list-style-type: none"> • What would you say is the most stressful thing you have experienced? • What differences are there between the responsibilities you have in your present post and those you have had in the past?

18. Appendix # 2 in this section provides a list of questions to ask in a selection interview.

QUESTIONS ON PRIVATE MATTERS	Avoid questions which intrude into the candidate's private life or that of any other member of the organization's staff. <ul style="list-style-type: none"> • Are you married? Do you have any children? Do you intend to have any children? How do you intend to reconcile your work with your family obligations? • Tell us about your religious beliefs and observances.
MARATHON OR DOUBLE QUESTIONS	These occur when a recruiter asks two or more questions in a single intervention. Such questions may destabilize the candidate. <ul style="list-style-type: none"> • I would like to know more about your planning experience and about the last time you had to motivate a member of your team.

The interview process¹⁹

STARTING THE INTERVIEW

INTRODUCE YOURSELF AND PUT THE CANDIDATE AT EASE

Create a pleasant but professional atmosphere :

Start the interview by warmly greeting the candidate.

- Introduce yourself as well as the other panel members.
- Ensure that the candidate feels as comfortable as possible.

Put the candidate at ease :

Establish eye contact; this demonstrates your interest and your desire to understand what the candidate is trying to communicate.

- Use facial expressions or head movements that indicate your interest.
- Use hand movements to signal openness.
- Use simple responses like "Ah!", "Yes" and "I see".
- In the case of a telephone interview, remember that the candidate cannot see you, and try to establish other codes of communication to put him or her at ease.

EXPLAIN THE PROCESS

Explain the purpose of the interview and of the process you are about to initiate:

- Indicate the likely duration of the interview.
- Explain that you will be taking notes to have a record of what has been said.
- Explain what the candidate should do if a question is unclear or if he or she would like you to repeat something.

Inform the candidate that:

- he or she should answer by concentrating on the key facts and that the reply should last for two to three minutes;
- in answering questions, he or she should adhere to the CAR template;
- you do not wish the candidate to tell you what "we" did but what he or she did, in other words the course of action he or she adopted in order to succeed.

Finally, before starting the interview, ask the candidate whether he or she has any questions about the interview process.

EXAMPLE OF AN INTRODUCTORY BRIEFING

«As you know, this interview forms part of the selection process for ... [job title]. Over the next 45 minutes, we will be asking you to describe some of your experiences that relate to the competencies required for the job for which you are applying. Please try to give us recent examples of your experiences, and remember to emphasize exactly what you yourself did rather than what your team or unit did. We will be taking notes throughout the interview so that we can accurately recall the examples you share with us. Do you have any questions about the interview before we begin? ... Then let us proceed to the first question.»

19. Appendix # 3 in this section presents a selection interview grid

THE INTERVIEW

HOW TO CONDUCT YOURSELF THROUGHOUT THE INTERVIEW

For the whole duration of the interview, the members of the selection committee must:

- be encouraging and attentive;
- show that they are listening and paying attention so as to create an atmosphere in which the candidate can relax and speak more freely;
- keep their body language neutral and professional:
 - Do not indicate in any way whether you think that a reply was good or bad.
 - Simply note what the candidate said and move on to the next question.
 - Do not follow up your question by making comments or giving examples. Simply ask the question and leave it at that. There is nothing wrong with silence, which gives the candidate time to think about his or her answer. If you feel that you need to say something, use a neutral phrase such as “Take your time”.
 - Do not trap candidates with difficult questions. The questions must always be linked to the candidate’s ability to do the work for which you are recruiting.

TIME MANAGEMENT

- Each interview should last about 45 minutes.
- Reserve 5 minutes at the end of the interview to enable the candidate to ask questions.
- Reserve 15 minutes after the interview to re-read and supplement your notes and assess each of the candidate’s competencies.
- Remember that you have a limited time to review each competency.
- If a candidate is taking too long to answer a particular question, you may say something along the following lines: “For reasons of time and to ensure that we cover all the competency requirements, we must move on now to the next question.”

INTRODUCTORY QUESTIONS

Here are some examples of introductory questions.

You may begin the interview by asking one of these questions:

- What are your reasons for applying for this post?
- Can you give the panel details of the skills and competencies that you would bring to this post?

Examine the key facts relating to the candidate’s career. If there are gaps in his or her CV, these must be explored. Do not take any more than five minutes for this part of the interview.

Do not waste precious time on biographical information that you have already obtained when you examined the application file. At this point in the interview, it will suffice to shed light on unclear or missing information.

STAY ON THE SUBJECT

The main challenge you are likely to face during the interview is to keep the candidate focused on the question so that you can collect as much evidence as possible that the candidate has displayed the required competencies in the past. To this end, prepare additional questions in case further details or clarifications are needed.

CONCENTRATE ON WHAT IS RELEVANT

Keep coming back to the job vacancy and the nature of the targeted competency; try to find a situation in which the candidate succeeded that has similarities with the vacant post.

Probe further with questions on specific aspects of a situation described by the candidate. For example:

- Tell me more about your involvement.
- You mentioned . . . ; tell me more about that.
- What was your role in . . . ?

KEEP THE CANDIDATE FOCUSED ON RECENT EVENTS, I.E. LESS THAN FIVE YEARS AGO

Word your additional questions briefly, precisely and in the past tense:

- What did you do at that point?
- What did you think when that happened?
- What did you say?
- What made you take that decision?



Keep the candidate focused on his or her own role in these past situations

Prevent the use of “we” and “us”.

- If the candidate speaks about “us”, ask what his or her role was.
- If the candidate speaks in excessively general terms or goes into too much detail, redirect his or her train of thought by asking something like “What did you do in that situation?”
- Recognize candidates’ reluctance to talk about themselves but stress the fact that the candidate’s own role is important.

Look for the thoughts behind the actions

Questions about thought processes, ideas, feelings and reactions can provide information on candidates’ values and motivation and will help you to assess whether their conduct is consistent with that of someone who possesses the targeted competencies.

Such questions may be worded as follows:

- How did you reach that conclusion?
- How did you know what to do in that situation?
- What were you thinking at that moment?
- What did you find satisfying/frustrating about that case?

THE END OF THE INTERVIEW

Just before concluding the interview, the panel members may ask questions about the candidate’s career prospects. The selection committee should also remember to ask every candidate the following question:

- If you were selected for this post, when could you start?

ALLOW THE CANDIDATE TO ASK QUESTIONS

The selection committee should reserve 5 minutes to allow the candidate to ask questions; these are sometimes very revealing.

The panel members must be ready to answer questions on the selection process, because candidates may ask how long it will take to receive the results of their interview.

Examples of questions that a candidate may ask:

- How many candidates have already been interviewed?
- When will I hear whether I have been successful?
- Did I do all right?

Adopt a positive but non-committal attitude when concluding the interview.

- Finish on a positive note, ensuring that the candidate will go away thinking that he or she has had a good experience.
 - Use neutral language.
 - Take care not to raise false hopes, which could result in subsequent disappointment.
 - Avoid saying things like “That was very good”, “Excellent work”, etc.
- Explain the final selection stages and specify when the decision will be taken (explain which stages will follow).
- Thank the candidate for giving you his or her time and end the interview.

Assessment of the candidates

The decisions that are taken must be based on evidence rather than on the opinions of the selection

committee members. The latter must ensure that they do not base their selection decisions on unjustified opinions, speculation or stereotypes.

REVIEWING YOUR NOTES AND ASSESSING COMPETENCIES

EXAMPLES OF FACTORS THAT MAY INFLUENCE YOU

Take care to set aside any bias arising from first impressions so as to avoid forming a favourable or unfavourable opinion even before the candidate has spoken. Such factors may be:

- the way in which the candidate is dressed;
- nervous habits, such as playing with his or her hair or with a pen;
- a regional or national accent;
- jewellery the candidate is wearing;
- the candidate’s previous employer or the university he or she attended.

EVALUATION OF CANDIDATES' REPLIES

It is difficult for members of a selection panel to remember exactly everything a candidate said during an interview. Accordingly, if they rely on their memory alone, they will certainly be liable to forget or distort important points, and their partial recall may result in imputations or recourse to stereotypes.

Noting down what the candidate is saying and your own observations on the interview will subsequently help you to assess whether the candidate is suitable for the post.

- The notes you take should be focused on the job and should not refer to any factor other than those directly related to the performance of the work and the activities involved in the job;

It may be useful to add plus or minus signs to indicate instances of desirable and undesirable behaviour;

- Try to avoid making any judgemental comments on the candidate during the interview;
- Instead, use your time during the interview to gather information.

On hearing the candidates' replies, members of the selection panel may make observations of the following kind:

- *Nothing innovative here*
- *No mention of risks*
- *Would have been more interesting to speak of the team's results; not sure that this counts as innovation.*

At the end of the interview, add to your notes any details that you might have omitted to note during the interview. Then examine the candidate's replies and assess them in the light of each required competency.

The selection panel must then deliberate and reach agreement on a final mark.

Do not try to classify answers as good or bad. In a competency-based interview, there are no good or bad replies, only replies containing strong or weak evidence that the candidate has displayed a particular competency in the past.

In this respect, the following questions will help you to decide how a reply should be assessed:

- Did it fully answer the question? Did it cover the context, the action and the result (CAR)?
- Did the candidate provide a relevant and convincing example illustrating the targeted competency?
- Did the reply show the candidate's acceptance of responsibilities and his or her ability to learn and to apply the lessons of past experience?

USING AN ASSESSMENT SCALE

The standardized scale below may serve to assess each candidate's individual competencies; it is essential that all panel members use the same scale.

Remember that all members of the panel re-read their own notes and assess the candidate's replies separately. The panel must then deliberate and reach agreement on a final mark.

4	Excellent: The candidate identified an appropriate situation through which he or she provided a strong and coherent demonstration of the competency and/or technical aptitude in question, thereby providing excellent evidence of his or her ability and intelligent conduct.
3	Good: The candidate provided satisfactory evidence of having displayed the competency and/or technical aptitude in question, citing a wide range of indications of effective conduct.
2	Average: The candidate provided acceptable evidence of having displayed the competency and/or technical aptitude in question, citing several indications of effective conduct.
1	Mediocre: The candidate provided mediocre evidence of having displayed the competency and/or technical aptitude in question, citing few indications of effective conduct.
0/NE	No evidence: The candidate did not provide any evidence of having displayed the competency or technical aptitude in question.

In addition, members of the selection panel may refer to a catalogue of plus and minus points, as illustrated in the table below, to fine-tune their assessment of the candidates, especially in cases where two candidates are awarded the same overall mark. In such cases, the table may assist them in deciding which was the better candidate.

Plus points	Minus points
<ul style="list-style-type: none"> • Displays a constructive approach to the problem • Takes account of the imperatives of the situation in the wider context • Recognizes his or her own limits • Is able to compromise • Is prepared to seek help if necessary • Uses effective strategies to manage pressure and stress 	<ul style="list-style-type: none"> • Sees challenges as problems • Tries vainly to manage the situation alone • Uses inappropriate strategies in his or her attempts to handle pressure and stress

At the end of these activities, each panel member is asked to complete the following table:

Tab. 7 : Individual assessment grid for each member of the selection panel

Poste de travail :						
	Jury 1	Jury 2	Jury 3	Jury 4	Jury 5	Jury 6
Competency 1						
Competency 2						
Competency 3						
Competency 4						
Competency 5						
Competency 6						
Competency 7						
Competency 8						
Competency 9						
Competency 10						
Competency 11						
Competency ...						
Overall mark						
Observations						

Then, a synthesis of all the tables of each panel member will be done to determine the final ranking of the candidates. the table below will help you organize this operation.

Tab. 8 : Assessment grid for members of the selection panel
 (Refer to the competencies specified in the job description)

Post:						
	Candidate 1	Candidate 2	Candidate 3	Candidate 4	Candidate 5	Candidate 6
Competency 1						
Competency 2						
Competency 3						
Competency 4						
Competency 5						
Competency 6						
Competency 7						
Competency 8						
Competency 9						
Competency 10						
Competency ...						
NE	1	2	3	4		
No evidence	Mediocre	Average	Good	Excellent		

Stage 5: Appointment decision

The appointment decision is taken on the basis of the documents provided by the candidates and the results of their interviews and tests. It should be reached in consultation with the new recruit's line manager. If there are persistent differences of opinion, it is preferable to go to the heart of the matter, even if it means inserting an extra stage – another interview with a panel of two or with a third party – to go over the points on which doubts subsist. If the best candidate does not quite meet the specified criteria and/or if there is a shortage of applicants, carefully assess the risks that the Customs administration would run by recruiting the selected candidate and provide for measures designed to minimize those risks (coaching, training, more frequent progress reports, etc.).

Important advice:

Manage the end of the recruitment phase carefully:

- Make sure that the documents presented by the candidates – diplomas, testimonials, degree certificates, etc. – are authentic.
- Has the future employee clearly understood what his or her status, pay, working hours, etc., will be? No uncertainty should remain on any of these points.
- Ensure that, following the appointment decision, the successful candidate's full file is forwarded to the competent administrative department so that the customary formalities can be completed as quickly as possible.

The decision must be communicated to the successful candidate but also to those who have

not been selected, possibly giving candidates an option of discussing the process with the recruiter. The chosen notification method – letter, telephone call or summons to a meeting – will depend on the recruiter's practice and sometimes on the applicants' personal profiles.

Important: Candidates who are not selected may see fit to request additional information on the reasons why they were not selected, and some may even wish to contest the selection panel's decisions.

Once an acceptance has been received from the candidate or candidates at the top of the list, a final rejection letter is sent to any other interviewed applicants. If a first-choice candidate does not accept the post, the HR department or the chair of the selection panel is informed accordingly, and a decision is taken either to offer the post to another candidate or to readvertise it.

In cases where a number of new employees are being recruited as part of a drive to increase the manpower of the Customs administration, the selected candidates will be expected to pass a basic training course that will be held at the Customs training centre (see the section on the competency-based training process).

It is important to mention in this context that the induction and integration process is contingent upon the candidates' success in the basic Customs training course.

APPENDIX 1: CHECKLIST OF TASKS TO BE PERFORMED IN CONNECTION WITH A RECRUITMENT

BEFORE THE RECRUITMENT

- Review the Customs administration's current recruitment and selection policy and/or practices and, where appropriate, those of the ministry responsible for the civil service.
- Look through the strategic and operational plans as well as the staffing plan.
- Check on the availability of the funds that are needed to conduct the recruitment and to finance the post in question.
- Obtain any authorisations that are required from the relevant government ministries and the Directorate General in order to establish the post.
- If the post is a new one, draw up a competency-based job description for it.
- In the case of an existing post, examine and, if necessary, update the applicable job description.
- Determine what type of employment the post will involve – full-time, part-time, permanent, contractual, short-term, etc.
- Identify the constraints that will have an impact on the staffing process (the need to fill a post quickly, the availability of specialised competencies, the state of the labour market, etc.).

DEFINING THE RECRUITMENT AND SELECTION CRITERIA

- Define the recruitment and selection criteria on the basis of the job description (responsibilities, tasks, competencies, qualifications and other job requirements), tailoring them to the post in question and ensuring that they are measurable.
- Determine the minimum attributes required for the post.
- Ensure that the recruitment and selection criteria are consistent with the recruitment policy of the organization and that they comply with human rights legislation.

THE RECRUITMENT PROCESS

- Determine which recruitment method can best be used to fill the post.
- On the basis of the job description, the minimum attributes required and the selection criteria, prepare an initial draft of the job advertisement.
- In the job advertisement, indicate the main elements in accordance with the framework set out in the example above.
- Ensure that the job advertisement is consistent with the recruitment policy of the organization and that it complies with human rights legislation.

THE SELECTION PROCESS

Before the interview

- Plan the interview process, determining:
 - o the number of rounds of interviews;
 - o the number of persons conducting the interviews;
 - o the length of the interviews;
 - o the venue for the interviews;
 - o the date of the interviews;
 - o what candidates must bring to their interview.
- Ask colleagues to be part of the selection panel.
- Brief the members of the selection panel on the logistics of the interviews (date, place, etc.).
- Prepare the questions for the interviews.
- Prepare a marking guide for the interviews.
- Prepare a guide to the verification of references.
- Prepare an authorization form for the verification of references.
- Decide which other selection methods to use.
- Ensure that the interview questions, questions relating to the verification of references and the other selection criteria comply with human rights legislation.
- Carry out the screening of candidates on the basis of the selection criteria.
- Arrange the interviewing of the selected candidates.
- Provide each member of the selection panel with a copy of the job application of each of the candidates to be interviewed.
- Provide each member of the selection panel with the interview questions and the marking guide for the interviews.
- Meet the members of the selection panel to brief them on the interview process.

AT THE TIME OF THE INTERVIEW

- Look through each candidate's job application before the interview.
- Welcome the candidate.
- Introduce the members of the selection panel.
- Explain how the interview will proceed.
- Award a mark for each of the candidate's replies.
- Give the candidate the opportunity to ask questions.
- Conclude the interview by explaining the next step to the candidate and thank him or her for having taken part in the interview.
- Ensure that the exchanges and the notes taken during the interview comply with human rights legislation.

AFTER THE INTERVIEW

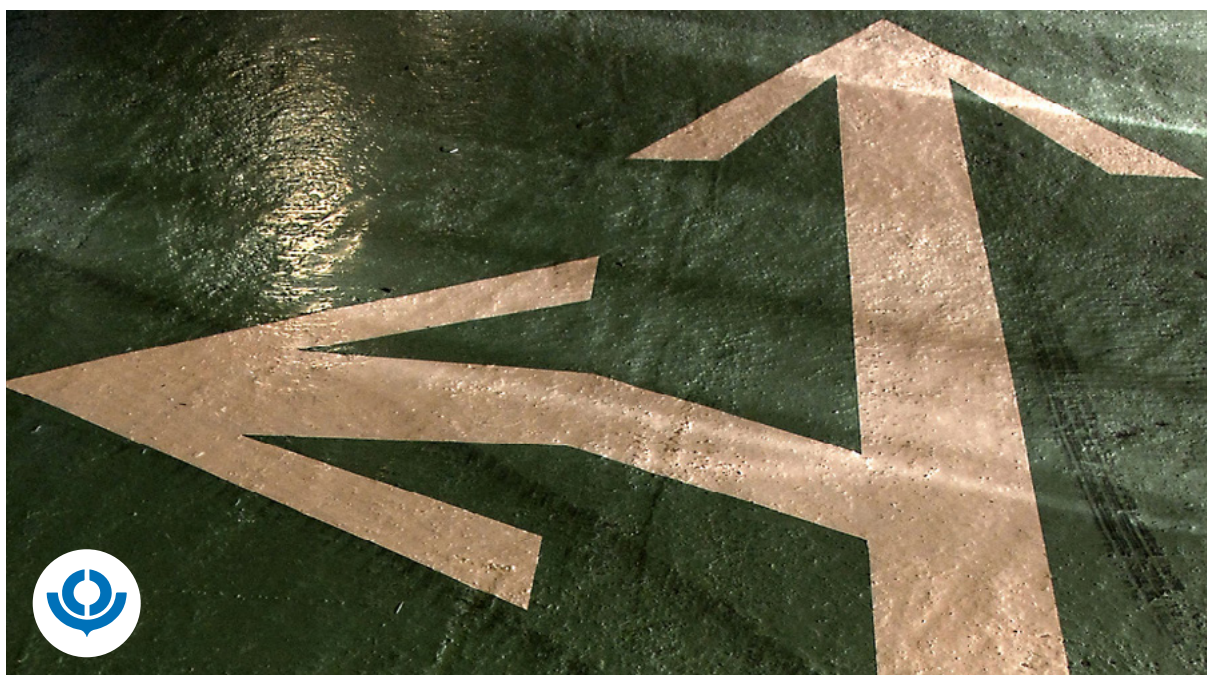
- Put the final touches to the notes that you took during the interview.

SELECTION OF THE BEST CANDIDATE

- If need be, use other selection methods.
- Communicate by telephone with the candidate's referees.
- Use the guide to the verification of references to record the substance of your conversations with the referees.
- Ensure that the exchanges and the notes taken during the verification of references comply with human rights legislation.

FINAL STEPS IN THE RECRUITMENT PROCESS

- Take a decision and check that it is well founded.
- Offer the post orally to the selected candidate.
- Confirm the oral job offer in writing.
- Prepare the employment contract and have it signed by the new employee before the date on which he or she takes up his or her duties.
- Send a letter of rejection to each of the other interviewed candidates.
- Complete the other administrative formalities to enable the new employee to take up his or her duties.
- Prepare the sequence of induction and integration activities.



APPENDIX 2: EXAMPLES OF QUESTIONS FOR SELECTION INTERVIEWS

The purpose of the selection interview is to assess the candidate's soft skills and to collect information with which his or her ability to develop within the Customs administration can be assessed. The selection panel questions the candidate on his or her interests, past achievements and motivation and has him or her respond to particular scenarios. This selection interview should last between 45 minutes and an hour. It comprises about 10 questions, chosen as the most relevant to the advertised post.

1. Questions designed to reveal the candidate's personality, temperament and sociability

- How would you describe your personality?
- Do you regard yourself as someone who can take risks? Tell me about a situation in your working life in which you took a risk.
- What type of environment do you like to work in?
- What types of people do you prefer not to work with?
- What types of responsibilities would you prefer to avoid in your next job?
- Give me two or three examples of tasks which you do not particularly enjoy but which you have had to perform. How do you manage to remain sufficiently motivated to do those types of work?
- What types of people – people under your authority, colleagues or superiors – do you find disagreeable?
- Tell me about an irritating situation you have experienced at work.
- Describe what you are like as a team player.
- Tell me about the best boss you have ever had. Now tell me about your worst boss. What are the reasons why it was so difficult to work with that person?
- What do you think you have to do for the Customs administration?
- What do you expect the Customs administration to do for you?

2. Questions designed to reveal the candidate's integrity, honesty and loyalty

- Tell me about an occasion when your integrity was put to the test. How did you deal with that?
- Have you ever had to apologize for acting badly?
- If you saw a colleague acting dishonestly, would you tell your line manager? What would you do?

3. Questions designed to reveal past mistakes

- Tell me about an objective that you did not achieve in your last job and explain why.
- When did you last receive criticism? How did you respond to it?
- What did you learn from your mistakes?
- Tell me about a situation in which you had to make a sudden change of course.
- If you were able to change just one of the administrative decisions you have made over the past two years, which one would it be?

4. Questions designed to reveal creativity, resourcefulness and an aptitude for problem-solving

- When did you last break the rules or come up with a novel solution to a problem? How did that happen?
- What have you done that was innovative?
- Describe a situation in which you faced managerial problems. How did you resolve that thorny problem?
- What is the most difficult decision you have had to take? How did you arrive at that decision?
- Describe some situations in which you have had to work under pressure and meet deadlines.
- Have you ever experienced a situation in which you had to meet two different deadlines at the request of two different senior managers and could not meet both. What did you do?
- Which technique works best for you when it comes to solving occupational problems? Give me an example of one of the solutions you have found to a delicate problem.

5. Other relevant questions

- Thinking about the best boss you have had, how did he/she encourage you to push your limits? What was his/her method?
- What professional achievement gives you the greatest pride?
- What is the most interesting thing you have done over the past three years?
- How do you measure your own success?
- What are your short- and long-term career objectives?
- Why should we employ you?
- What responsibilities would you be prepared to take and what would you achieve if you were appointed to this post?
- What do you see as the keys to success in an organization like the Customs administration?
- What did you expect to find when you applied to the Customs administration?
- Is there anything else we have not discussed yet that you would like to tell the panel about yourself?
- Are there any questions you would like to ask us?

APPENDIX 3: SELECTION INTERVIEW TEMPLATE

assess the various candidates on the basis of the same criteria.

The following form provides a template for structuring an interview with a job candidate. It will enable you to

Surname:		Forename:	
Vacant post:			
Date:		Recruiter:	
1. WELCOMING THE CANDIDATE	POINTS TO OBSERVE	ASSESSMENT	
<p>Introductions – Purposes of the interview – Duration of the interview – Job title – Activities of the Customs administration – Market profile, etc.</p>	<ul style="list-style-type: none"> • Dress • Presentation • Attitude 		
2. EXPERIENCE AND CAREER	POINTS TO OBSERVE	ASSESSMENT	
<p>– Take a few minutes to sum up your past experience that might be relevant to this post.</p> <p>– Tell us about your studies.</p> <p>– Outline the course of your career. (Do not hesitate to ask several questions, for example about the candidate's main duties, achievements, preferences and reasons for wanting to leave. The aim is to find out exactly what the candidate achieved in each of his or her previous posts).</p> <p>– What is important for you in a job?</p> <p>– Which of your jobs did you find the most satisfying and why?</p> <p>– What challenge are you looking for at this stage in your career?</p>	<ul style="list-style-type: none"> • Diction • Ability to see the whole picture • Relevance of training • Level of candidate's previous responsibilities • Diversity and breadth of experience • Extent of achievements and their impact • Interests • Degree of initiative • Coherence of career plan 		
3. CRITERIA	POINTS TO OBSERVE	ASSESSMENT	
<p>- What criteria do you use to assess the quality of your work?</p>	<ul style="list-style-type: none"> • Personal standards 		
4. COMPETENCIES AND ATTITUDES	POINTS TO OBSERVE	ASSESSMENT	
<p>- Êtes-vous capable d'utiliser ... ?</p> <p>- Quel genre de travail avez-vous eu à faire en lien avec le poste à pourvoir ?</p> <p>- De quelle façon planifiez-vous le travail à faire ?</p> <p>- Décrivez-nous une situation où vous avez eu à travailler sous pression et à respecter des échéances ? Quels moyens avez-vous pris pour vous en sortir ?</p> <p>- Décrivez-nous une situation où vous avez dû collaborer avec des collègues ?</p> <p>- Comment décrieriez-vous les rapports que vous entretenez avec vos collègues, vos supérieurs et vos subordonnés ?</p>	<ul style="list-style-type: none"> • Technical abilities • Self-organization skills • Equanimity • Teamworking skills 		

<p>5. PERSONAL CHARACTERISTICS</p> <ul style="list-style-type: none"> – How do you go about ensuring that you do not forget anything? – How did you deal with instructions that were given to you? – Describe the relations you would like to have with your superior and your colleagues. – Have you ever had to resolve a conflict with a colleague or a customer? How did you go about it? – What would you regard as a busy day? – What do you do if you have to keep someone waiting? – What has been your greatest achievement? Why do you regard it as such? – If a friend of yours were asked to describe you, which adjectives would he or she use? 	<p>POINTS TO OBSERVE</p> <ul style="list-style-type: none"> • Good memory • Adherence to procedures • Teamwork • Conflict-management skills • Time-management skills • Ability to get things done • Personal qualities 	<p>ASSESSMENT</p>
<p>6. DESCRIPTION OF THE ORGANIZATION AND THE JOB</p> <ul style="list-style-type: none"> – Go through the job description and the job requirements with the candidate. – Provide details of the following conditions: working hours, pay, social benefits, teamwork, etc. – Check the candidate's expectations as regards these conditions, and verify his or her interest in the post. 	<p>POINTS TO OBSERVE</p>	<p>ASSESSMENT</p>
<p>7. CONCLUSION</p> <ul style="list-style-type: none"> – Respond to any other points that the interviewee wishes to raise. – Sum up. – Provide details of the next steps in the selection process. 	<p>POINTS TO OBSERVE</p>	<p>ASSESSMENT</p>

2-3 The induction and integration process

The process of inducting a new recruit emerges as a key process for human resources and operational departments. However, practice shows us that this process, regrettably, is not receiving the priority and attention it merits. In fact, the importance of a proper induction process is often overlooked by both HR and operational departments, being frequently limited to an information folder marked "Read carefully" that is given to new employees or to a guided tour covering several offices in their place of employment.

Important :

- Pave the way for the new recruit to take up his or her post by preparing the employee's documents, the documentation on the administration and the equipment and supplies the employee will need in order to perform his or her tasks, including any necessary access permits.
- Set up the access codes for computers and computer applications as well as the new employee's e-mail address and telephone extension.
- Make arrangements to partner the new recruit with an employee or colleague who has been identified by you in advance and who will be able to act as the newcomer's tutor or mentor.
- Set aside time to introduce the new employee to his or her colleagues and to the other members of staff.
- Hand over and explain the new recruit's job description.

A successful induction helps new employees to feel at home in the often complex workings of the Customs administration. An induction and integration programme established as part of the organizational strategy will certainly guarantee the rapid assimilation of new arrivals as well as directly influencing performance and the retention rate.

In the first place, the aim of this programme is to convey to new recruits as much information as possible on the values and managerial philosophy of the Customs administration and on the expectations of the Directorate General and administration of Customs. Needless to say, the more professionally this process is organized and structured, the more it will guarantee the achievement of the objectives set by the Directorate General and also meet the expectations of the new recruits.

To put it in a nutshell, the implementation of an induction and integration process poses formidable challenges, both for the employee and for the Customs administration.

For the new arrivals, it will meet a natural need to settle in and feel secure as well as enabling them to check that their personal profile matches the job and the performance criteria.

For the Customs administration, a well-orchestrated induction is a unique opportunity to mould newcomers into the desired profile, train them to meet the expected performance level, maximize the chances of increasing their commitment and their

loyalty to the organization and, where applicable, of avoiding the destabilization of settled teams, of successfully managing staff rotation, etc.

In general terms, if employees are to be well integrated from the time they take their duties, several things are essential :

- a proper induction;
- a targeted and supervised initiation;
- mentoring to help with acclimatization;
- attention to the employee's expectations;
- detailed information regarding the expectations of the administration;
- regular monitoring and encouragement.

Once new employees have been given a proper induction, they are entitled to an effective integration process that enables them to operate in accordance with the expectations of the Customs administration as quickly as possible and to the satisfaction of all relevant stakeholders.

The achievement of this ambitious aim depends on the adoption of a methodological approach following two paths, namely **the functional path, focused on**

It is important to note that the induction and integration process is not limited to newcomers alone but also applies to staff returning from maternity leave, parental leave or a long period of absence caused by illness or secondment.

tasks, and the social path of adaptation, based on organization and human interaction.

It is thus essential to emphasize that everyone involved in the integration process, be they the HR department or the new recruit's immediate boss

The integration process is generic and universal. This means that it applies to all new employees, whatever their status and their hierarchical position.

Moreover, under a high-quality personnel policy, every member of staff deserves and is entitled to the same attention.

or mentor, will take account of the characteristics and specific needs of the new employee and will decide on that basis how much attention he or she should be given. Accordingly, those involved in this process are strongly advised to remain heedful of the intergenerational dimension.

- Among the ways of facilitating the harmonious coexistence of different age groups that should be considered are measures like the following that can promote intergenerational management:
- creating social links between employees of different age groups by establishing a mentoring programme;
- implementing a succession plan that will enable successors to learn their new job by shadowing their respective predecessors for some time before the latter's departure;

- making it an attractive option for older employees to continue in their career beyond retirement age by enhancing their job satisfaction, for example by giving them responsibility for training new arrivals.

2-3-1 The objectives of an induction and integration programme

The creation of a structured programme for the induction and integration of newcomers must not be the sole prerogative of HR departments but must be a priority for the Directorate General of Customs. There is also a need to define objectives that reflect the size and complexity of the Customs administration as well as its range of tasks. The objectives of the induction and integration process are as follows:

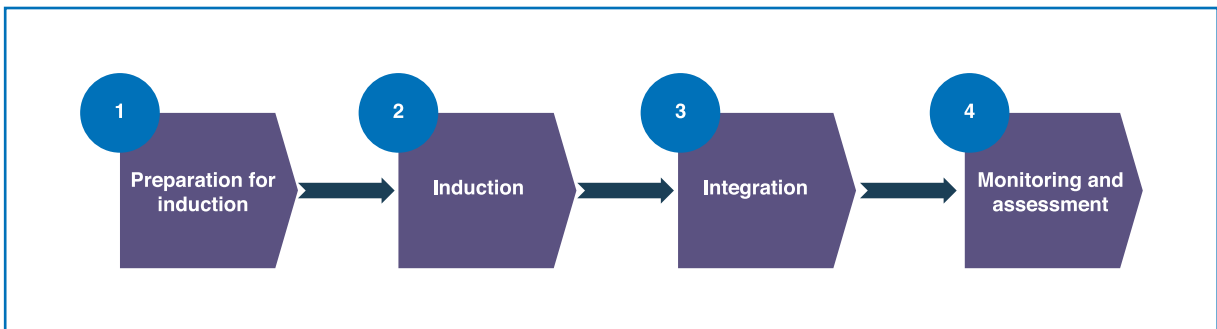
- to carry out the final engagement formalities in an appropriate way;
- to communicate the tasks of the Customs administration and its objectives;
- to present the organizational structure of the Customs administration (the organization chart) to new employees and show them their place in that organizational scheme;
- to present the processes, policies and procedures of the Customs administration;

- to introduce the employee to his or her immediate colleagues and to the premises of the Customs administration;
- to ensure that the newcomer and his or her line manager are on the same wavelength in their expectations regarding responsibilities, tasks, roles, competencies and performance criteria;
- to present new arrivals with their personal development programme with a view to ensuring that they assume full responsibility for their duties and adapt to their new working environment as quickly as possible;
- to establish a point of contact in the department, service or office concerned to enable newcomers to ask questions and to gain access to the relevant information that they need.

2-3-2 The stages in the induction and integration process

In general terms, an induction and integration process should comprise a sequence of steps beginning with the preparation of the induction measures, moving on to the induction and integration activities and culminating in an objective assessment. The diagram below shows the various stages in the induction and integration process:

Fig. 17 : The stages in the induction and integration process



1. Preparation for induction

The preparations for the induction measures are as follows:

- confirming orally or in writing the date and time of arrival for the induction process as well as the name of the person responsible for the induction of the new employee;
- notifying the staff of the relevant department, service or office in the Customs administration that a new recruit will be joining them;
- organizing the newcomer’s working environment;
- assembling the various documents to be given to the newcomer on his or her arrival;
- preparing the induction briefing (information on the Customs service and its tasks, strategic plan, objectives, manpower, etc.);
- identifying and preparing a tutor.

When new employees join the Customs administration, it is important that they encounter a welcoming and professional environment and that, from day one, besides receiving the resources and documents placed at their disposal, they also receive the message that the organization is fully ready for their arrival.

2. Induction

The induction process is the first contact that a new arrival will have with the working environment in the Customs administration in general and in his or her own workplace in particular. In the first moments spent in their place of employment, newcomers will appraise the physical and human working environment but will also discern the quality indicators of the working environment such as the organizational culture, the management style and the management philosophy.

This initial contact and the accompanying impression of the material and qualitative aspects of the working environment will influence the newcomer's potential relationship with the Customs administration.

To make it easier to arrange an induction process, there follows a list, which is not exhaustive, of the various activities that should be included:

MAIN ACTIVITIES FORMING PART OF AN EFFECTIVE INDUCTION	
1	Arrival of the new recruit, who is welcomed at reception; wherever possible, the reception staff will have been advised that a new recruit is due to arrive.
2	The recruit is welcomed by his or her line manager and possibly also by a member of the HR staff.
3	General presentation on the tasks, objectives and organizational structure of the Customs administration and its strategic plan as well as on the services and products offered to stakeholders.
4	Presentation on the code of conduct, desirable behaviour, the staff manual and the key policies and procedures of the Customs administration.
5	The newcomer's job description is presented; the description covers the general aim of the department to which he or she has been assigned and its tasks as well as the desired competencies and performance criteria.
6	Establishment of a contact point within the Customs administration at the recruit's place of employment to enable him or her to ask questions and to gain access to all the relevant information that he or she needs.
7	The new recruit is introduced to his or her tutor (mentor), whose role is explained.
8	Introduction of the newcomer's immediate colleagues and presentation of the premises of the Customs administration.
9	Designation of the workspace and IT resources made available to the newcomer as well as his or her access codes.
10	Presentation of the new recruit's personal development plan with a view to ensuring that the new employee assumes full responsibility for his or her duties and adapts to the new working environment as quickly as possible.
11	Completion of the final engagement formalities, such as insurance, transport, access pass and telephone extension.
12	Arrangement of social bonding and acclimatization activities with the staff.



The role of the tutor or mentor is assigned to an experienced person, who may or may not be a line manager and may also be someone who has no direct connection with the post occupied by the new arrival. In general, it is advisable to avoid designating the line manager with direct responsibility for the new arrival. The tutor or mentor must be someone who is fully integrated into the Customs administration.

Once the tutor has been designated, he or she will be involved in the various stages of the induction and integration process and will act on the basis of his or her own appraisal of the circumstances and needs of the new arrival. It must be noted that the tutor is responsible for only part of the induction and integration process, the rest being the responsibility of the HR department.

The tutor generally plays a key role in the sense that he or she shares responsibility for the successful integration of the new arrival. The tutor must perform the following duties:

- check on a regular basis that the new arrival possesses all the information required for the performance of his or her tasks;
- monitor and advise the new arrival during the adaptation period, which will facilitate his or her integration;
- assist the new arrival in familiarizing him- or herself with the new working environment;
- help the new arrival to resolve any practical or other problems that he or she might encounter;
- visit the various premises of the Customs administration and introduce the new arrival to the various managers, fellow employees and stakeholders;
- put the new arrival in touch with stakeholders who are likely to facilitate his or her general, practical and non-work-related adaptation;
- be available to the new arrival to provide any assistance and advice that is needed.



3. Integration

The integration stage lasts longer than the induction period and corresponds to the period when the new arrival is assimilating his or her new tasks. This period of familiarization with and assimilation of new tasks is critical, and supervision on the part of the newcomer's immediate superior and of the tutor are extremely important as a means of ensuring that new arrivals learn what is expected of them and integrate into their new team. The roles of the tutor and the supervisor complement each other.

This initial phase of the integration process is generally reinforced by on-the-job training in the duties to be performed, which supplements the basic training that has already been provided at the Customs training centre.

To ensure the success of this stage, it is important to draw up a detailed schedule of the measures to be taken by the tutor and the new arrival.

The table below shows the types of information that enable new arrivals to familiarize themselves with the context in which they will be working.

Tab. 9 : Integration programme

Officer's particulars			
Surname and forename			
Starting date			
Name of immediate superior			
Name of mentor (tutor)			
		Tutor	Planned date
Information on the Customs administration			
General information relating to the post			
Specific information relating to the post			

To the extent that the role of the line manager, as the newcomer's immediate superior, is to transfer the occupational knowledge and know-how which will enable the new arrival to achieve his or her objectives and perform his or her tasks, the line manager must verify that the new officer's work meets the standards of the Customs administration in terms of quality and speed of performance but also provides the new arrival with job satisfaction.

The line manager may employ the following methods to facilitate the transfer of competencies to the new arrival and the latter's mastery of them:

- The line manager and the new arrival communicate to each other their respective expectations as regards the process of mastering the new tasks.

- The line manager introduces the working tools and the tasks to be performed. He or she gives examples by executing some of the tasks and explaining how each task contributes to the overall work process in question.
- The line manager observes the new arrival performing tasks and checks that he or she is applying good practice.
- The line manager maintains a regular dialogue with the new arrival in order to ensure that the transfer of knowledge is being maintained.
- The line manager encourages the new arrival to apply his or her newly acquired knowledge and skills.

- At the end of the integration programme, the line manager recognizes what the employee has learned and draws up a report, which is submitted to the HR department.

responsibility is divided between the HR department, the tutor and the line manager. The monitoring stage can comprise the following measures:

It is important to note that the supervision of the monitoring process should be undertaken by the human resources department, which will coordinate and collect the various documents and forms that are required for this final stage in the recruitment process.

4. Monitoring

The purpose of the monitoring stage is to ensure that the objectives set in the induction and integration plan have been achieved. This is an activity for which

MEASURES TO BE TAKEN DURING THE MONITORING PHASE	
1	Obtain the tutor's opinion regarding the attainment of the objectives.
2	Obtain the line manager's opinion regarding the attainment of the objectives.
3	Obtain the employee's opinion regarding his or her attainment of the objectives, job satisfaction, well-being at work and present perceptions.
4	Arrange a review meeting in order to answer the employee's questions and to provide him or her with support.
5	Identify the employee's job-related training needs.

At the end of this probationary period and with a view to the employee's assignment, an assessment report must be drawn up in order to identify the strengths of

the new arrival and the areas in which he or she needs to improve. The table below shows an assessment form for the probationary period:

Tab. 10 : Specimen of an assessment form for the probationary period

Official's particulars						
Surname and forename						
Starting date						
Name of immediate superior						
Name of mentor (tutor)						
Official's strengths						
Areas for improvement						
Attainment of integration objectives						
	Marks: 1 to 5					Observations
	1	2	3	4	5	
	1	2	3	4	5	
	1	2	3	4	5	
	1	2	3	4	5	
	1	2	3	4	5	
	1	2	3	4	5	
General appraisal						

3- Competency-based training management process

Training and competency development of human resources are important means of securing the acquisition, maintenance and renewal of the Customs administrations' **competency capital**. Customs administrations have to deal with numerous changes, both within and outside the organization, which have the effect of further increasing the importance and relevance of the training and development of the **human capital**. It therefore constitutes a value-added activity fostering individual adaptability and flexibility to changes of all kinds.

The concept of human capital derives from economic theory. It consists of the stock of workers' creative and productive capacities, including their technical know-how, their experience and their general knowledge. In organizational terms, human capital may be regarded as a benefit that should be harnessed and nurtured (Becker, 1964).

From this viewpoint, training **represents an investment and not a cost centre**, in so far as it allows all Customs staff to improve their competency levels, which can translate into better organizational performance.

Important note

Questions to be asked in order to highlight the challenges generally associated with the training and development of human resources:

- Has organized training made it possible to remedy performance gaps among employees?
- Has the competency level of employees improved after training?
- Has organizational performance improved after training?
- Is the return on investment (ROI) sufficient to justify the work and investment devoted to training?

Although training is often an effective way of improving an organization's performance, it cannot solve every problem. Employee behaviour is influenced by a large number of factors, such as remuneration and profit-sharing schemes, allocation of responsibilities and authority, methods of organizing work and human resource management policies. Too often, a lack of consistency among these various factors counters the effectiveness of training and competency development efforts.

3.1. Objectives and benefits of a competency-based training system

With a view to objectively demonstrating the challenges of a competency-based training system in the Customs context, it is important to stress that

With the constant changes in the context and roles of Customs, employees' positions are subject to new demands in terms of more advanced competencies.

These demands accumulate, and they progressively drive up the level of competencies expected of Customs officials. Generally speaking, organizational change initiatives call for new learning and new competencies, such as post-clearance control, Authorized Economic Officers, trade facilitation, etc.

the development of its competency capital would be influenced by two factors that are constantly interacting with each other.

These are the **law of obsolescence** and **competency inflation** (or principle of increasing complexity of jobs). With these two factors coinciding, the value and relevance of the Customs administration's competency capital will gradually diminish over time.

The reason for obsolescence is that the Customs administration's competency capital is biodegradable. In other words, it gradually loses its relevance and usefulness until it becomes completely outdated.

This situation may be the result of negligence or a shortcoming in the practices used to manage its competency capital.

It must be noted that Customs administrations that fail to take these trends into account, through either the absence of monitoring or pure negligence, end up by increasing their level of vulnerability to their volatile environment.

All this clearly demonstrates the strategic importance for a Customs administration of investing in the training and competency development of its staff. Moreover, a competency-based training system will make it possible to:

- Contribute to the achievement of the strategic and operational objectives, while strengthening the role of the Customs administration;
- Increase the efficiency and effectiveness of the administration (performance, quality, versatility, etc.);
- Boost the knowledge, skills and attitudes of staff at all levels of the administration;
- Firm up the potential of individuals to adapt to working in the context of change (procedural, technological and career changes, etc.).

Moreover, adopting the "competency" approach in the training system for Customs administrations may offer a number of advantages for both individuals and the organization. The following table sets out the potential advantages of a competency-based training system:

Tab. 11 : Potential benefits of a competency-based training system

POTENTIAL BENEFITS	EXAMPLES
Enhancing Customs administration effectiveness	<ul style="list-style-type: none"> – Good level of mastery of competencies (knowledge, know-how and soft skills) available in the Customs administration. – Fostering of flexibility work organization. – Faster reaction to changes in the internal and external environment. – Integration of training strategies into the organization's development.
Helping to ensure a good match between jobs and individuals	<ul style="list-style-type: none"> – Sharing of a common understanding of competencies and how to apply them. – Assignment of the right people to current and new positions. – Optimal management of strategic competencies.
Maintaining the competency capital of the Customs administration	<ul style="list-style-type: none"> – Swift, comprehensive evaluation of the human capital. – Identification of gaps between existing and required competencies.
Empowering Customs staff	<ul style="list-style-type: none"> – Information on the competencies acquired by each employee (competency appraisal report). – Information on competencies upgraded and required for each position. – Employee taking responsibility for his or her own professional development.

3.2. The policy foundations²⁰ of a competency-based training system

The training policy is a way of responding to the strategic challenges of the Customs administration, in so far as it will familiarize line managers with the needs expressed out in the field.

For this reason, to develop a successful training policy, it is necessary both to construct a training strategy that is in line with the overall strategy of the Customs administration and to establish consolidated dashboards to aid decision-making.

In addition, for each training activity, it is crucial to identify fully the nature of the training and the objective it is designed to achieve. The spirit underlying the training must therefore make it possible to diversify the staff's activities and interrupt their work rhythm, while at the same time developing their competencies and contributing to maintaining a good atmosphere in the organization.

Generally speaking, a training policy²¹ must encompass the following points (the list is not exhaustive):

- **The roles and responsibilities of the various stakeholders;**
- **The Training Charter;**
- **The types of training;**

- **The objectives that the training is designed to achieve;**
- The organizational arrangements (schedule, planning, implementation);
- The conditions for success and evaluation;
- The budget.

The policy on training means that training, as an activity within the Customs administration, should not be the exclusive prerogative of the head of training or his/her team.

Responsibility for training has a far wider reach, including all levels of the administration. Moreover, the success of an activity of this kind depends on the visible commitment of all stakeholders in the Customs administration and their involvement to implement the Training Charter strictly and officially.

3.2.1 The roles and responsibilities of the training stakeholders

The responsibility for competency development must be shared by various stakeholders within the Customs administration. Moreover, the success of a competency-based training system depends fundamentally on the coordination of the efforts of each of them. In other words, each stakeholder must perform the task that falls to him or her, while fulfilling the roles and responsibilities assigned to him or her.

²⁰- For further information on the procedure for drawing up a training policy, please see Section 1

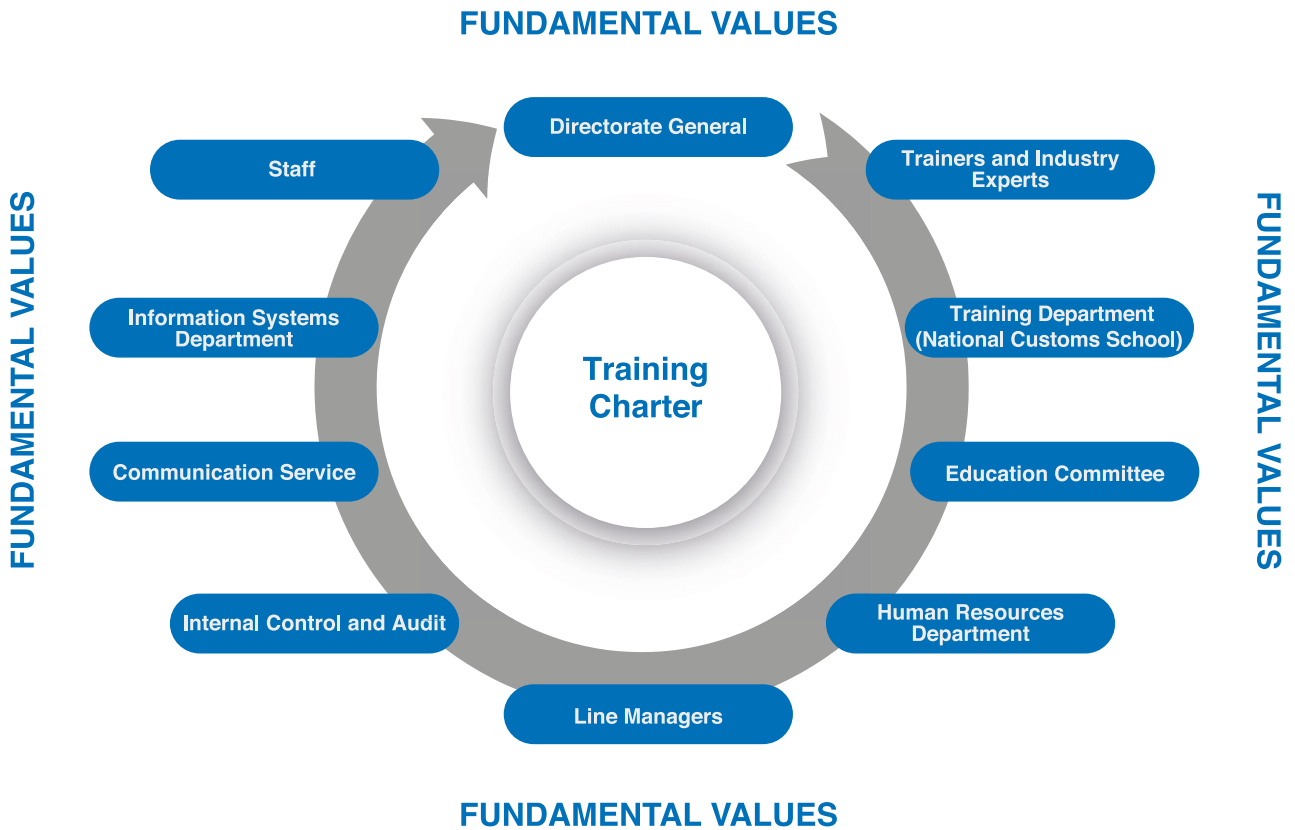
²¹- For improved ease of reading of this document, in this part we shall deal only with the first four points. The other points will be covered in the following sections.

In the case of administrations where a trade union is present, the latter must oversee:

- the raising of awareness among the administration’s staff of the need for training activities;
- involvement in the development, monitoring and implementation of the training policy.

With the aim of clarifying the responsibilities of each stakeholder, we shall devote some time to presenting the roles and responsibilities falling to each stakeholder in implementing a successful training policy.

Fig. 18 : Stakeholders in the training system for Customs



Directorate General

- Promoting a positive culture in favour of all forms of training within the administration, by means of actions encouraging competency development;
- Defining the general guidelines for the training system;
- Keeping the supervising authorities informed of the importance of the training strategy;
- Imposing the obligation on each official to attend two days of training each year;
- Making available the human, financial and logistical resources required for successful training activities;
- Recognizing and motivating trainers;
- Allowing the trainers to be fully available during training sessions at the scheduled dates and times;
- Making available financial resources for the smooth running of the National Customs School;

- Ensuring translation of training as a lever for performance, promotion and mobility within the administration;
- Establishing an arrangement to capitalize on what is learned from the training and its impact on improving the administration’s performance, by means of efficient staff deployment.

Education Committee

- Designing, implementing and continuously improving the national training strategy (acting as course designer);
- Validating the training modules designed by the trainers;
- Selecting and monitoring trainers in terms of content, training programmes and adult education skills;
- Organizing the annual Education Council meeting and monitoring the implementation of the Council’s recommendations.

Course designer : *Expert in design, responsible for implementing the learning objectives by setting up the logical training structure, designing the learning activities and developing the teaching aids. He/she thus supervises the preparation of teaching aids, working closely with content experts, in other words people who are well versed in the knowledge that is to be imparted.*

Training manager: Director of the National Customs School

He/she is responsible for the smooth running of the training system, and must ensure that investments in training produce the results desired by the administration. He/she therefore takes charge of the planning, organization, management and control of the resources allocated to training, while supervising the team of training professionals. His/her duties include:

- Managing the human and material resources required for training (training rooms, IT tools, e learning platform, etc.);
- Developing and implementing the national training plan;
- Managing, coordinating and monitoring training activities at the training centre;
- Formally applying the Training Charter and the National Customs School's bylaws;

The training co ordinator : *He/she is responsible for the logistical side of training. As training initiatives can involve a great deal of planning, the training co ordinator provides his/her support, in particular, for inviting participants, booking training rooms and co ordinating with external suppliers.*

- Developing national, regional and international partnerships in training;
- Implementing recommendations made by the annual Education Council meeting.

Trainers and industry experts

Generally a content expert, it is often the case that the trainer does not report directly to the training department. However, the training department must ensure that the chosen trainer is thoroughly familiar with the organizational context and knows how to impart knowledge. The trainer is responsible for ensuring that the course members acquire the intended skills, while being aware of the challenges of transferring learning.

The industry expert plays a role very similar to that of the trainer, but operates in the field using an approach of task-based training or structured mentoring. He/she may also act in support of a classroom-based trainer by taking charge of the post-training follow-up and support for learning transfer. In this context, the industry expert is usually a content specialist reporting directly to the operational area. The training department provides him or her with coaching and support in the design and implementation of the training initiatives.

The trainer and the industry expert are responsible for:

- Designing and preparing training courses intended to develop new skills;
- Applying the Training Charter and the bylaws of the National Customs School;
- Updating their technical and adult teaching skills on an ongoing basis;
- Keeping the teaching and IT equipment made available to them secure;
- Involving trainers and industry experts in all the stages of the training process and acting as architects of competency development;
- Participating in the modernization projects undertaken by the Customs administration;
- Developing new courses specific to the national context of the Customs administration to contribute to the national e-learning platform.

Line managers

- Appraising team members' competencies through annual interviews to identify competency needs;
- Communicating the competency needs of their team members and suggesting ways of remedying these competency needs;
- Assessing their team members, giving feedback to the HR department and the National Customs School after training courses;
- Authorizing and monitoring their team members invited to take part in training courses;
- Supervising and coaching their team members (learning by doing);
- Communicating about the various training modules.

Human resources department

- Gathering and analysing competency needs and evaluating the implementation of the training plan;
- Updating the HR database after training courses, to uphold the principle of employability, job rotation, performance measurement and promotion;
- Collaborating with the training manager and the Education Committee to ensure the development of human resources;
- Providing the training manager with the appropriate human, material and logistical resources for the performance of the training activities.

Information systems department

- Managing, maintaining and administering the e-learning platform and all the training -related IT hardware.

Communications service

- Publicizing training activities via all information channels;
- Publishing all training courses held to raise staff awareness of the importance of training;
- Participating in the promotion of a new culture in favour of training.

Internal control and audit

- Sending a copy of the reports of inspection and audit programmes with recommendations for training, if shortcomings have been found;
- Following up on the implementation of the recommendations made in inspection and audit reports.

Staff (course members)

- Complying with the Training Charter and bylaws;
- Actively participating in personal competency development (self-tuition);
- Communicating their competency needs to their line manager;
- Contributing to the continuous improvement of the training system;
- Actively participating in the objective appraisal of trainers and training courses and infrastructure;
- Applying what has been learned in the workplace, with a view to supporting Customs modernization.

3.2.2 Training Charter

This charter is made up of a number of commitments and obligations necessary for the successful achievement of the Customs administration's objectives on training and capacity building. It hinges on certain principles and values.

- Irrespective of grade or position, all Customs officers, in the course of their career, are entitled to receive training in order to build their personal and professional capacities;
- A Customs official selected to take part in a training course is exempted from all other professional activities;
- No objection can be made to invitations issued to officials for training purposes;

No training or capacity-building activity can be effective if it fails to take account of the obligations and commitments of all the stakeholders.

Moral integrity, professional ethics, the significance of an administration and a public service committed to the interests of the nation and the citizen must form the basis of the training creed.

- During training, officials invited in this way are obliged to comply with the National Customs School bylaws and local (regional) sessions house rules;

- It is strictly forbidden to use mobile phones in the training rooms: to that end, all mobile phones must be switched off;
- It is absolutely forbidden to enter the training room five minutes after the start of any session;
- Officials selected for training must demonstrate obedience and respect to all the trainers;

3.2.3 Types of training and other means of competency development

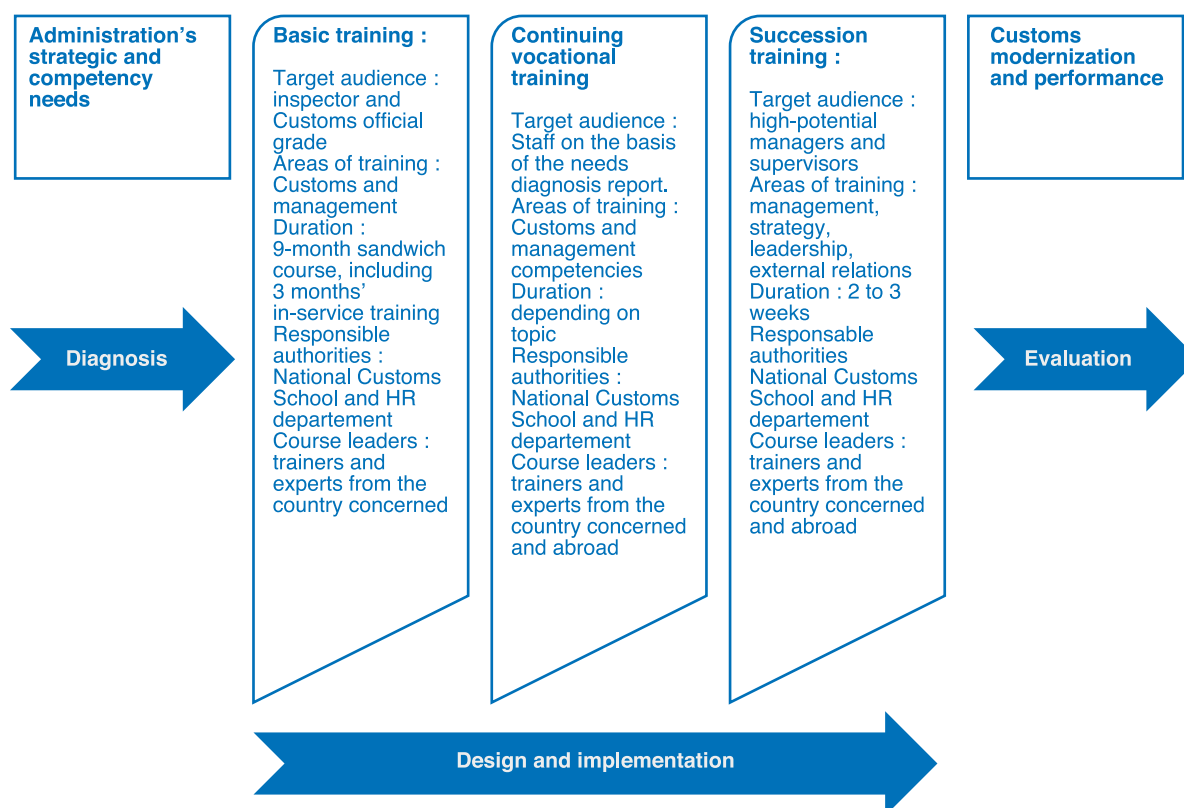
In the Customs context, three programmes are regarded as having priority in capacity-building for Customs staff. These are basic training, continuing vocational training and succession training for high-potential managers.

The purpose of the training road map is to provide forward-looking strategic guidance to define how the achievement of the main training objectives is to be coordinated over time. In this way, it allows priorities to be defined in terms of achievement of objectives and provides visibility of the goals of the training and competency-development activities.

These training courses should be designed within the framework of the training policy.

The figure below shows an example of a road map for training programmes that should be included in a training strategy for Customs:

Fig. 19 : Roadmap for training programmes



Basic training :

Provided at national level (newly recruited Customs officers), this training is of special importance in that it will allow Customs practices in the administration to be harmonized.

It consists in endowing these Customs officers with the technical, regulatory (job-related) competencies and the support, managerial and behavioural competencies required for professionalism at the early career stage. The method is geared towards the

Blended learning is a method of training that combines classroom-based training and distance learning. This is a highly effective and very efficient method in so far as it makes learning easy.

“**BLENDED LEARNING**” approach, which will allow for rationalization of training costs while permitting proven acquisition of competencies by the trainees.

Basic training could be carried out at the Customs administration's training centre, provided by trainers

and industry experts from the country concerned. It

The duration of basic training is a matter for the administration. There is no international standard on this.

can be offered for a period of nine months, including three months of in-service training (with two months of training followed by one month of in-service training in a Customs office). This sandwich method of classroom-based training and in-service training will allow trainees to familiarize themselves with the context of work, potentially helping them to integrate after assignment.

The table below provides an example of a programme for this kind of training:

Tab. 12 : Plan de formation de base régionale au profit des inspecteurs et équivalents

Modules		Number of sessions	Classroom-based training	E-learning training	In-service training	Trainers	Hours	Days
							1,5	6
Job-related competencies								
1	Customs Code	16	12	4	3 months	To designate	16	4
2	Customs legislation and regulations	32	24	8		To designate	32	8
3	Agreements, conventions	28	22	6		To designate	28	7
4	Rules of origin	32	20	12		To designate	32	8
5	Customs duties	32	24	8		To designate	32	8
6	Customs valuation of goods	32	20	12		To designate	32	8
7	Customs clearance procedures	32	24	8		To designate	32	8
8	Economic Regimes	32	20	12		To designate	32	8
9	Tariffs and classification	42	28	14		To designate	42	11
10	Anti-fraud investigations and enforcement	24	20	4		To designate	24	6
11	Risk management and analysis	16	8	8		To designate	16	4
12	International trade techniques	16	16			To designate	16	4
13	Surveillance techniques	8	8			To designate	8	3
14	Brigade management	8	8			To designate	8	3
	Seminar on the Agreement on Trade Facilitation					To designate	8	4
	Seminar on techniques for Customs inspection of companies					To designate	4	2
Support and transferable competencies								
1	General presentation of Customs administration	8				To designate	8	2
2	Writing for business and report-writing	12				To designate	16	4
3	Office technology	16				To designate	16	4
4	Information system (ASYCUDA World)	20				To designate	24	6
5	Basics of accounting	28	16	12		To designate	28	8
6	Languages	20	4	16		To designate	24	6
7	Professional ethics and code of conduct	8	8			To designate	12	3

Managerial and behavioural competencies								
1	Interpersonal skills and communication	10	10			To designate	12	3
2	Team working	8	8			To designate	8	2
3	Management techniques	24	24			To designate	32	8
	Total	528	418	110			528	132

N.B : 1 training session = 1 hour and 30 minutes

: Number of working days

Breakdown	Hours	Days
Classroom-based training	418	104,5
E-learning training	110	27,5
In-service training	264	66
Total	792	198

Breakdown	Sessions	Days
Professional competencies	348	87
Support competencies	138	34,5
Managerial competencies	42	10,5
Total	792	198

Continuing vocational training :

In the Customs context, characterized by constant change, Customs staff are faced with practices that are regularly updated. This being the case, continuing vocational training is essential to allow Customs to be adaptable and proactive in relation to its environment.

The aim of this training is to develop courses to raise the level of professionalism, starting with the most strategic positions, and career paths in which there are gateways from one typical profession/job to another, to prepare for succession in a context where staff are leaving on retirement, while, of course, maintaining a good match between the position and the profile.

However, for this type of training it is essential for:

- Training needs to be identified through a robust process of gathering and analysing competency needs (**competency assessment, audit report, diagnosis report, etc.**);
- Capacity-building activities to be led by certified trainers and experts, on the basis of a well-organized planning process, and subject to a strict evaluation exercise (see section on the evaluation of training);
- Continuing vocational training activities to be split according to their objective, in line with the requirements laid down by the dictionary of competencies, as originally compiled;
- The training courses attended by each Customs official to be added to his or her HR record, to ensure that the principles of employability and mobility are respected.

The capacity-building process for Customs staff must be reflected in the involvement of all the organization's key internal and external stakeholders, with the assurance that the training system **is based on competencies** and encourages **lifelong learning** (continuous learning and development) and innovative learning systems throughout the organization.

Accordingly, all continuing vocational training activities will be included in a document called the "annual training plan", on the basis of the competency needs gathered and analysed by the HR department²². HR will be responsible, each year and on an ad hoc basis, for gathering needs from several different sources (strategic plan, Customs missions, audit and inspection report, competency assessments from job descriptions, etc.). Once these have been gathered, an analysis must be made, so that only competency needs that are to be remedied by training are included in the training plan²³.

The continuing vocational training plan must incorporate three major kinds of action. These are:

• Actions relating to adaptation to the position

- They meet an immediate need;
- They are essential to maintain successful implementation of the employee performance contract;
- They remain part of the official's professional qualification.

²²- The HR department's responsibility as regards the training plan will be limited exclusively to the gathering and analysis of competency needs. It is left to the Director of the National Customs School to undertake the scheduling and implementation of training activities. The HR department will then carry out the evaluation of the training plan.

²³- For other competency deficits, the HR department must remedy them by redeployment, reassignment, expansion of job scope, on-the-job coaching, mentoring or "hand-holding", etc.

Succession training for high-potential staff

This type of training is of key importance within a context such as Customs, which is characterized by the rarity of such resources. When changes from one job to another via gateways for mobility are involved, therefore, since Customs is such a technically complex profession, training will be essential for success and good integration.

Moreover, the need to ensure that managers are equipped to lead the projects of Customs modernization and development effectively and to ensure continuity in the strategic positions of

the administration increasingly calls for advance training, which, while certainly covering technical competencies, focuses above all on behavioural and managerial competencies.

To that end, this category of training must be managed in line with strict terms of reference and requires visible commitment from all the aforementioned stakeholders.

The training programme must include practical activities and will cover a wide range of topics.

Tab. 14 : Supervisory skills training programme for high-potential managers

Leadership	Team management	Strategic management
– Self-awareness	– Change management	– Organizational strategy
– Personal impact and influence	– Interpersonal communication	– Stakeholder engagement
– Public speaking	– Organizational management	– Project management
– Problem solving	– Performance management	– Resource mobilization
– Negotiation	– Coaching and supervising	

For certain categories of Customs employees (such as inspectors) who show high potential, it is preferable to draw up a tailored training plan. This personalization

will help reduce the period of preparation for succession:

Tab. 15 : Example of tailored training plan

Surname: Forename: Assignment:			Professional category: Job:					
Category of needs*	Types of training	Duration	Summary		Priority	Course cost		Total
			YES	NO		Starting salary		
A	Team-building	3 days	X	X	3			
	Introduction to legislation	2 days	X		Later			
B	Post Clearance Audit and risk management	3 days	X		1			
C	Organization of work	3 days	X		Year N+1			
D	Communication and speaking skills	3 days			Year N+1			
Drawn up on:			Signature of line management:					
			Signature of employee:					

* **A: priority areas of plan; B: needs arising from departmental objectives; C: needs arising from position (competency gap); D: employee's wishes (not met by previous categories)**

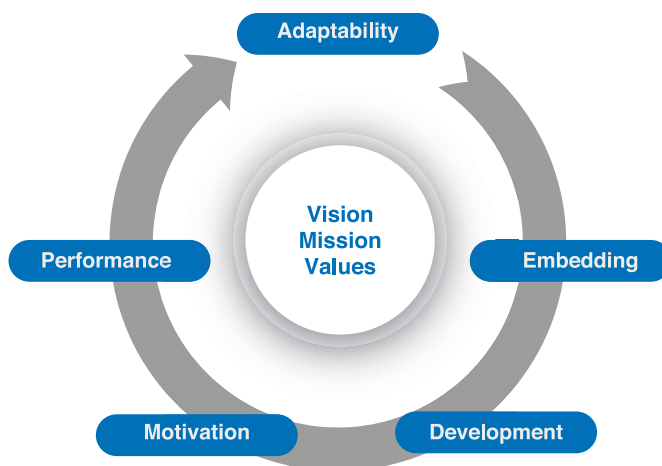
3.2.4 The objectives to be achieved by training

Training activities must, firstly, form part of a development rationale, in which they must allow each Customs official, irrespective of position, category, gender or the nature of his or her duties:

- To have all the competencies his/her position requires, which fall to him or her in the home department;
- To prepare for adaptations required by changes in these tasks and their professional content;
- To contribute to his or her professional advancement in the context of his/her personal career plans and in line with the principle of career management;
- To contribute to improvement of individual and organizational performance.

As a further illustration, the figure below shows the guiding principles of a competency-based training system for Customs:

Fig. 20 : The guiding principles of a competency-based training system



- **Adaptability:** Provide Customs staff with the competencies required by the position (employability) and enable vertical and horizontal mobility for high-potential managers (promotion). Training must also help Customs officials to adapt;
- **Competency development:** The training system must provide Customs staff with ongoing competency development and secure the long-term future of the Customs organizational memory;
- **Embedding of cultural values:** Inculcate a culture of learning and innovation focused on individual, collective and organizational performance;
- **Sources of motivation and encouragement:** Training must be a driver for development for all Customs staff. Moreover, all activities designed to develop competencies must be encouraged by supportive measures from the General Management and line managers;

- **Individual and organizational performance:** Improve the productivity of Customs staff with a view to increasing Customs revenue, while meeting the requirements of the government, stakeholders and citizens.

Moreover, training must form part of a strategic perspective in which it is, first and foremost, deployed in an approach that is integrated with the development of the organization. Seen from this perspective, competency development is an integral part of the various decisions taken and the processes of continuous improvement in Customs administration. The starting point, therefore, is not the subject of training per se, but rather the alignment of human resource development activities and change initiatives with the strategic priorities of the organization.

These remarks indicate that the management of training within Customs administrations should be imbued with proactivity and professionalism. The team in charge of training management, therefore, must of necessity be well staffed with people who are both motivated and competent as far as competency development is concerned.

Lastly, it is important to stress that, over the last decade, training practices within organizations have been gradually changing. Responsibility for competency development has been progressively diverted away from the unit in charge of training and shifted to the operational level. In this way, with a view to making training more practical and better adapted, a large part of the management of this important function has been granted to managers, as well as employees. In this context, the role of the human resources department consists in equipping, supporting and advising managers in their work of managing training and competency development activities.

3-3 Process of managing competency-based training

As it is a strategic practice for the Customs administration, training must follow a strict, proactive management process. Indeed, setting up a training course generally involves four (4) major structured stages. These are, firstly, the gathering and analysis of competency needs, followed by the design and planning of training courses, then delivery of training, ending up with post-training evaluation.

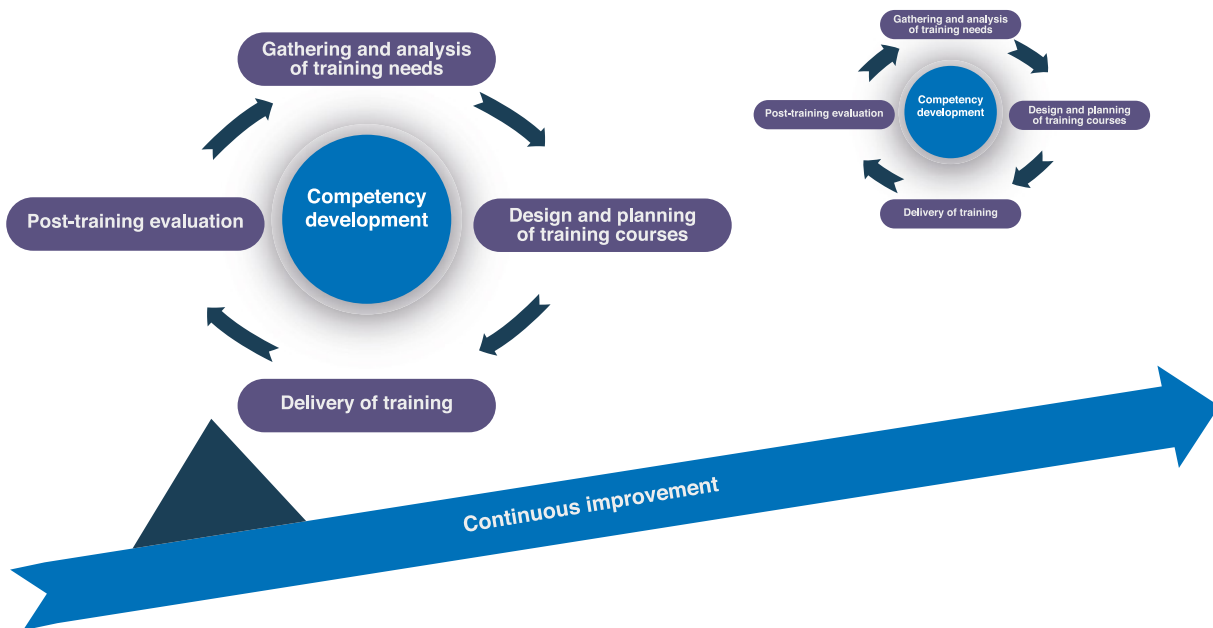
Each of the stages of the training management process may vary in length and complexity, depending on the type of course involved and the required duration. For instance, the organization of a basic Customs training course or a succession training course will require a great deal of time for the design, content preparation and planning of learning evaluation methods. The focus will therefore be on stages 2, 3 and 4 of

the cycle. On the other hand, the setting up of a continuing vocational training course will necessarily involve a thorough analysis of competency needs, training design and the development of post-training evaluation mechanisms.

Starting from the principles of competency obsolescence and job inflation explained earlier, the training management process must be geared towards the future and must form part of a continuous iterative

cycle, looking towards continuous improvement. Post-training evaluation and assessment of performance gaps therefore generally serve as input to the new training process. Training can be optimized only in a continuous, evolving, adaptive process. The figure below illustrates the main stages of a competency-based training management process, focusing on the cyclical, iterative side:

Fig. 21 : Stages in the competency-based training process



3-2-1 Stages in the training management process

Stage 1: Gathering and analysis of competency needs

Firstly, it is important to say that good information gathering, combined with thorough analysis, makes it possible to ensure that training is indeed the most appropriate solution to the competency gap observed.

It is a known fact that, in many organizations, particularly Customs administrations, the training needs analysis stage is usually completed swiftly and expeditiously. It is noted that in some cases specialist firms are used, which offer standardized training packages on very specific subjects. Their contribution to the identification of training needs is therefore biased towards the kinds of solutions that they can offer, and consequently the training activities lack added value and impact.

In a competency-based human resource management initiative, training should be regarded from a strategic viewpoint if it is to serve as a lever to achieve the organizational objectives. This means that a proactive initiative to identify and analyse competency needs should be carried out systematically. The purpose of this exercise is primarily to allow for planning of the resources and budgets required for the development of human resources.

A need emerges when a variance is noted between the current situation and the desired situation, and when that variance is the result of a lack or shortage of essential or secondary skills.

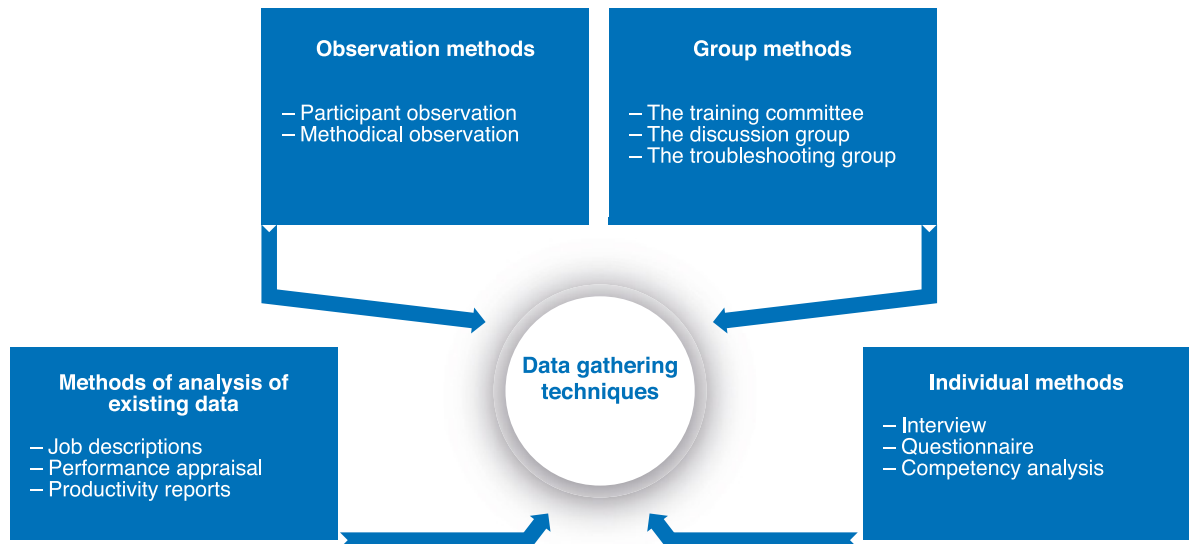
This initial phase of the training cycle will make it possible to:

- Establish a diagnosis;
- Measure the gap between the competencies required for an individual to hold a position and the actual competencies of an individual, with a view to targeting and prioritizing genuine training needs;
- Identify competencies or behaviours among staff which need to be developed or modified.

A training need is defined by the gap existing between what exists (the current situation) and what ought to exist (the desired situation). A need emerges when it is possible to observe such a gap, and the gap is attributable to a lack or shortage of the skills required to carry out the work properly. In other words, this need will emerge when a variance is observed between the current situation and the desired situation, and that variance is the result of a lack or shortage of essential or necessary competencies.

Generally, the HR department needs to employ a whole range of tools and techniques to identify competency needs. The figure below shows the various techniques:

Fig. 22 : Techniques for gathering competency needs



As part of this stage, the HR department has to gather the data necessary to understand the issues underlying each training need. This analysis should bring out the factors that explain the performance gap and confirm that it definitely arises from a competency gap. Good information gathering, combined with a thorough analysis, makes it possible to ensure that training is indeed the most appropriate solution to the issues and the organizational context.

The diagnosis of training needs should take place at an appropriate time, to avoid impeding the completion of projects. It should not be carried out during peak periods.

The purpose of the training needs analysis is to determine whether the performance issues identified could be improved by training, or whether the problems are associated with the organization or the individual. Training is not the solution to all problems.

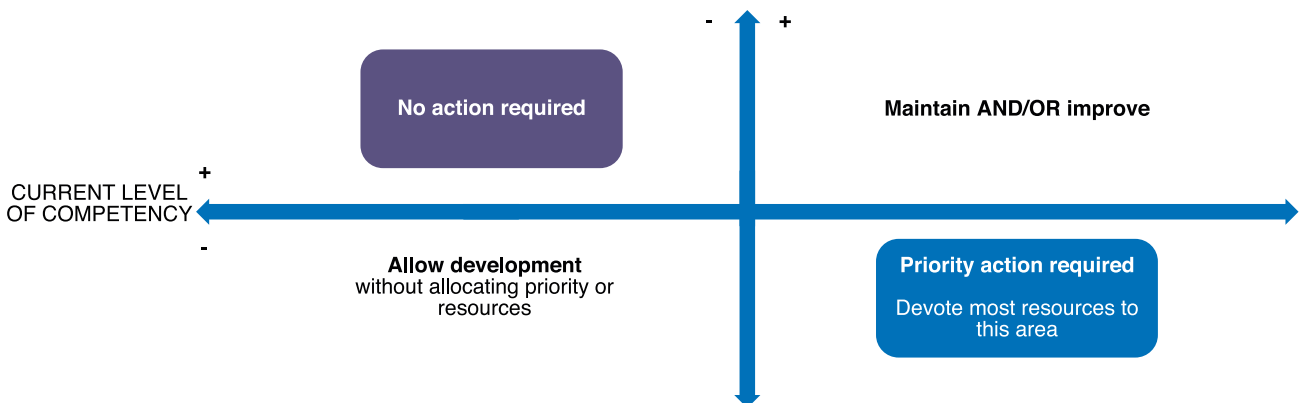
It is essential for the employee to be aware of his or her need to change or develop new competencies or skills.

An environment conducive to learning must be established during the training course in order to foster open discussion.

When the exercise is carried out as part of a broader human resource planning exercise, the detailed analysis work is preceded by an exercise of

identification and prioritization of training needs, intended to allow the efficient allocation of human resources development budgets. Indeed, as this kind of exercise usually generates a large number of training needs, it is important for the HR department to set to work on classifying them by order of importance and priority, in line with the strategic objectives and guidelines of the organization. In other words, it becomes clear that certain competency needs will be more critical (requiring the organization's immediate attention), whereas others will be less pressing. In this respect, the order of priority of training needs is established on the basis of two criteria. Dion and Ouellette (2002) propose the use of a matrix, which plots the strategic importance of a competency for the organization against the current level of mastery of that competency by the employees. The establishment of a training activity becomes a priority when the competency that the training is designed to develop is essential for the development of the organization, and that competency is scarce within the organization. The figure below shows this principle:

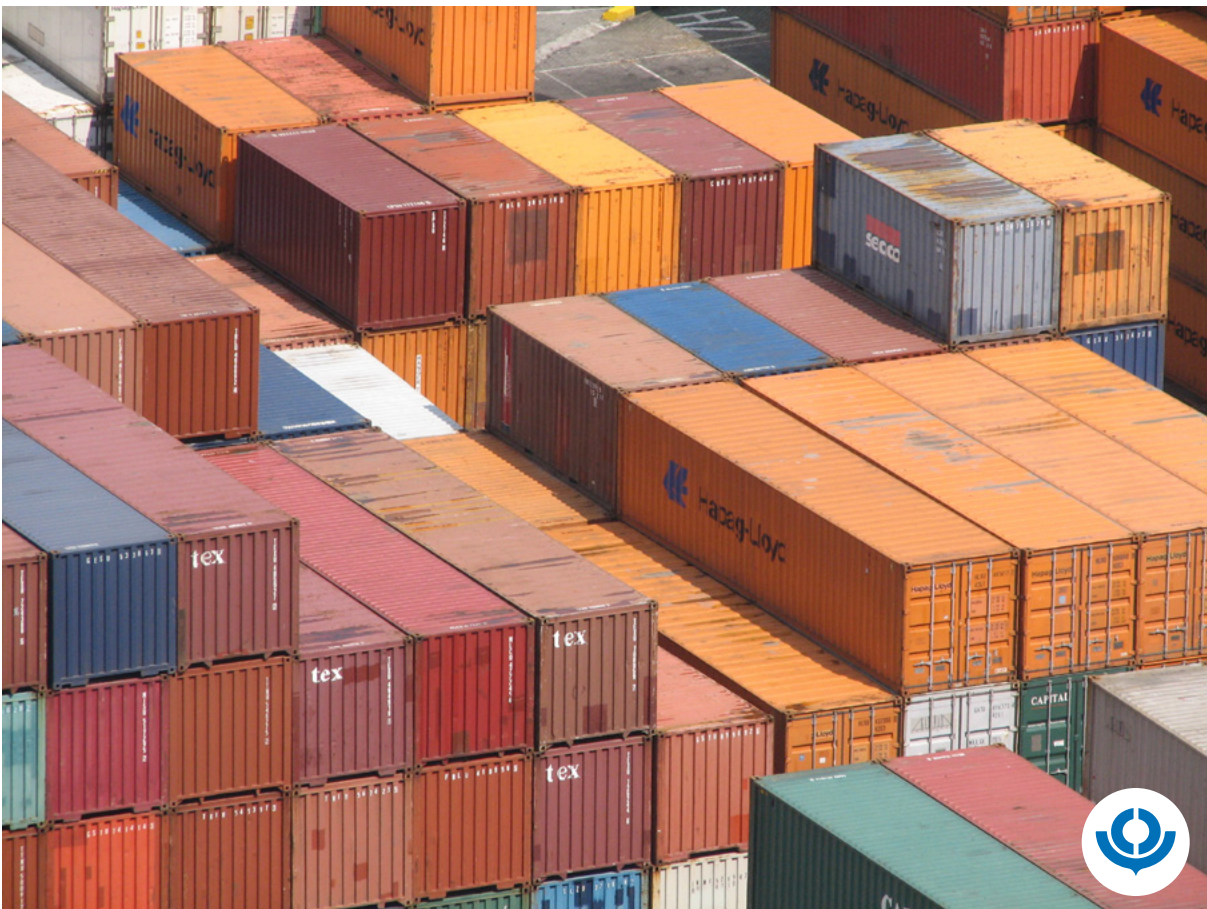
Fig. 23 : Matrix for establishing training priorities



The result of all these activities should make it possible to draw up the matrix for gathering and analysing competency needs. This matrix will map competency gaps against the staff members in terms of jobs, to quantify the gap between existing and required competencies. The following are stated for each competency:

- The jobs affected by a competency gap;
- The number of officials involved;
- The urgency of intervention (actions to be taken);
- The characteristics of the competency;
- The analysis of the competency gap;
- The actions to be taken and interventions to be made in order to acquire the competency.

The urgency of intervention can be identified from a scale of values. This indicator, which is subjective in nature, must be aligned with the importance and the level of mastery of the competency. The analysis of the competency gap helps to guide the choice of the means by which the missing competencies may be acquired. The relevant matrix is set out below:



tab. 16 : Matrix for gathering and analysing competency needs

Competency designation	Competency gap level -1 -2 -3 -4 (competency dictionary)	Jobs and staff members affected by gap		Characteristics of competency -1 -2 -3 -4	Gap analysis	Actions and interventions
		Jobs	Staff members and categories			
Competency 1						
Competency No.						
List of competencies where there is a gap. The presentation must be in line with that of the competency reference framework. (E.g. tariff technology, CITES convention, strategic management, team working, etc.)	The result of the competency assessment report. If there are several gaps relating to one competency, they should be set out in this box.	List of jobs affected by the same competency gap	Number of staff members with the same competency gap, plus category (e.g. 30 inspectors, 2 office managers, 2 heads of service, etc.)	1. Fundamental or unimportant 2. Strategic or of low added value 3. Rare or common 4. Evolving or stable – Specific to a service or department. – Fundamental – this competency is essential to carrying out the function's priority activities. – Strategic – makes it possible to implement the guidelines through the performance of activities that are important to the service or department. – Rare, if it is sensitive to any change in the workforce, or is a competency held by only a few officials. Several characteristics may be attributed to one competency.	The objective of gap analysis is to show where there is currently a gap between competency held (already acquired) and competency desired (required). There may be several reasons for a competency gap (e.g. insufficient training, lack of interest or motivation, unsuitable posting, etc.) The analysis will determine the most appropriate strategy to bridge the competency gap. The training plan will include only competencies where the gap can be bridged by training.	This is where pathways aiming to bridge the competency gap can be proposed. The reasons for the gap and arrangements to remedy it can be suggested from among the following: – Rotation – Mobility – Training and improving professionalism – Recruitment. Several arrangements to remedy the gap may be listed.

In conclusion, training needs analysis activities must ultimately play a part in outlining the reasons for a competency gap that has contributed towards a performance gap. The latter may be at the origin of one of the following situations:

- Insufficient training: associated with a lack of competency or a lack of practice in using skills;
- Problem at organizational level: associated with the supervision of work, the working environment, the organization of work or the consequences of current performance;
- Problem at individual level: associated with a mismatch between the person and the position, or with the conduct of the employee.

gaps identified at the preceding stage. Based on the conclusions of the needs analysis, this stage should make it possible to group together the key factors that will facilitate the design of the training plan. It is recommended that the internal or external trainer should be closely involved in this stage, so that he or she can determine how he/she wishes to deliver the training and what the content will be.

The training plan is the operational and budgetary translation of the choices of an organization's management on the resources it allocates, in a given period, to the development of the individual and collective competency of the officials.

The following table sets out the various decisions and the main questions to be raised to produce a successful training activities plan:

Stage 2: Design and planning of training courses

The objective of this stage is to work out the activities and methods that will help to bridge the competency

Tab. 17 : Decisions to be taken when planning training activities

Types of decision	Issues for consideration	Comments
Training objectives	<ul style="list-style-type: none"> - What are the objectives to be achieved at the end of the course? - What are the key competencies to be acquired or developed? - What indicators are used to measure achievement of the objectives? - Who will be responsible for measuring the indicators? 	
Target audience (course members)	<ul style="list-style-type: none"> - What is the profile of the course members (age, position, work experience, etc.)? - Are there any prerequisites for the training? - How many people will take part in the training activity? - Which departments are involved? - How will employees be informed about the training activity? 	
Profile of the trainer	<ul style="list-style-type: none"> - Who will the trainer be (internal or external)? - What skills does he/she have? How much does he/she cost? - Is he/she available at the time required? 	
Date of the course	<ul style="list-style-type: none"> - When will the course take place? - Are there any timetabling constraints to be taken into account when the course dates are being fixed? - When are the course members available? 	
Location of course	<ul style="list-style-type: none"> - Where will the course take place (internal or external)? - How much does it cost to reserve the location? - Is the equipment required for training available? - Is the location easily accessible? 	

Duration of course	<ul style="list-style-type: none"> – How long will the training course last? – What will the timetable be? – Does the timetable accommodate the adult rate of learning? 	
Equipment and computer hardware	<ul style="list-style-type: none"> – What is needed in order to deliver the training (computer, projector, course members' workbook, pencils, lectern, etc.)? – Is all the equipment available? 	
Teaching methods	<ul style="list-style-type: none"> – What are the preferred teaching techniques? (Give examples of techniques.) What was the basis for these choices? 	
Content	<ul style="list-style-type: none"> – What is the title of the course? – What are the topics to be covered? – In what order will the topics be dealt with? – Who will develop the content? – What is the agenda of the training session? 	
Budget	<ul style="list-style-type: none"> – Has a budget been allocated? – How much is it? – Does it meet the legal requirements? – How is the budget allocated among the training activities? – What expenditure will be covered by this budget? – Has it been discussed in the management committee? 	
Evaluation of the training and follow-up	<ul style="list-style-type: none"> – When and how will we train the training evaluators? – On what bases will the trainer evaluate the achievement of the key competencies? – Is the material (evaluation matrices or other) ready? – Has it been presented to the managers involved? 	

The answers to these questions may be transferred into a general training plan, which will serve as an aide-mémoire and will make it possible to manage the development of officials' abilities and competencies in an effective way. It is, moreover, recommended that this plan should be circulated to the whole of the administration, to inform all the staff about forthcoming training activities.

To design a training course, the training department, in co-operation with the trainers and industry experts, may develop the specific content of the course (see table below). The course may use different teaching techniques: classroom-based training, e learning, blended learning, etc.

In this way, the design of the training activity plan consists in:

- Developing the structure of the course and the arrangements;
- Defining the teaching objectives and the training objectives, and also the strategic objectives;
- Developing the teaching scenario;
- Producing the teaching aids and tools.

Tab. 18 : Specific content of the training course

Name of course:	
Date: A.M. P.M.	Facilitator :
Subject/module	
Objectives set	
Delivery/teaching methods	
Content	
Teaching aids	Trainer doc.: Course members' doc.: Equipment required:
Evaluation	Course members
	Trainer Discrepancies observed (objectives, methods, teaching aids, etc.):

This information will feed into the drafting of the training specifications.

Once the specific training plan has been drawn up, the training professional (or the designer) can start designing the teaching aids. This stage starts with taking ownership of the **general objective** and precisely defining the **learning objectives**²⁴.

The teaching objective is formulated by the trainer with the help of an expert where necessary. It is derived from what we intend the teaching to do.

It is the expected outcome of the training, the result that it is intended to achieve, stage by stage.

To be properly expressed, an objective must have the following four characteristics:

1. Describe an activity, and one activity only (SPECIFIC);
2. Which must be OBSERVABLE;
3. And carried out in DEFINED CONDITIONS;
4. At a PARTICULAR PERFORMANCE LEVEL.

Guidelines: Depending on the subject matter of the course that you are going to hold, formulate the teaching objectives.

– At the end of this training course, you will be able, during a performance appraisal interview (condition), to give feedback (action) to an employee, in line with the rules for constructive feedback (criterion).

– At the end of this training course, you will be able to correctly classify a good (action), in the Harmonized System (criterion) when the good is imported, without referring to your line manager (condition).

These objectives constitute a central element of the training process, since they serve as guides to ensure consistency during the successive stages, from design to evaluation, by aligning them with the needs identified at the outset.

The general objective is the final AIM, the result expected from the training. It is expressed by those requesting training. A training course can have several general objectives. The general objectives are also known as operational objectives. They answer the question: "What are you expecting from the training?" or: "At the end of the training course, what competency/ies should the trainee have acquired? What should he or she be capable of doing?"

It is expressed by verbs of action that are observable and measurable.

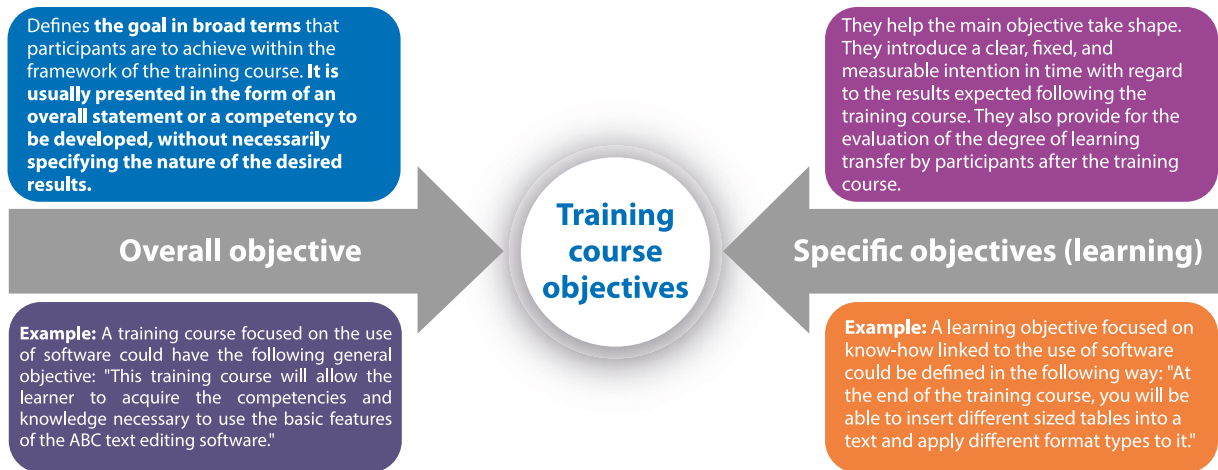
Example for a course to train trainers:

"After this workshop, the course members will be able to properly lead a training session on a subject within their field."

The figure below shows the interactions that exist between the general objective and the specific objectives:

24. See Appendix 1, containing a list of verbs to help in defining the learning objectives.

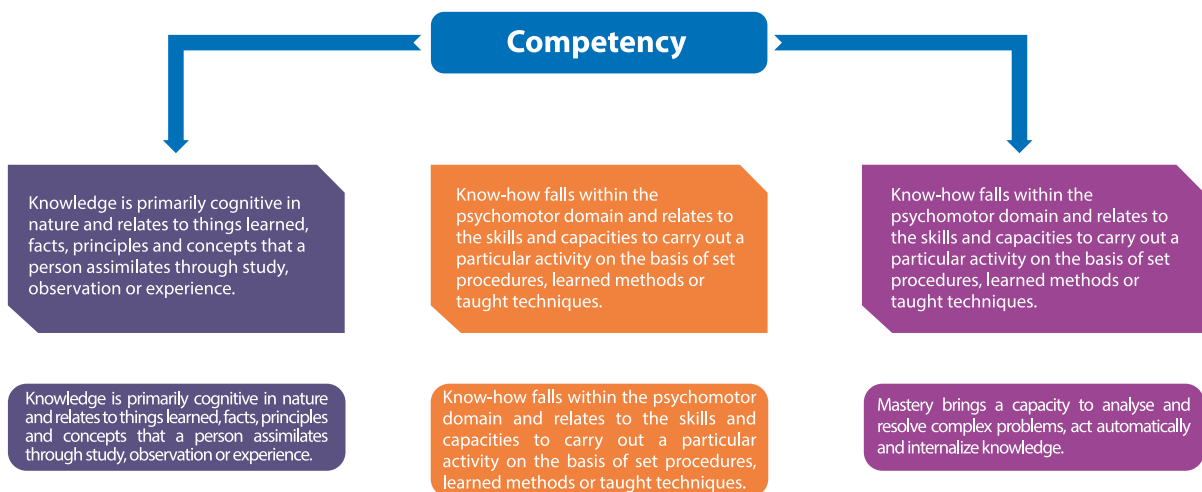
Fig. 24 : Principle of formulation of the training objectives



Moreover, in the interests of competency development, the trainer or course designer must consider the three building blocks of the concept of

competency from the training perspective. The figure below highlights these three building blocks:

Fig. 25 : The building blocks of competency



When training is delivered in-house, a number of actions need to be taken when approaching the design of the training aids. First, the timetabling of the training must allow for a logical structuring of the teaching, which will facilitate learning. Having

regard to the specialized nature of the knowledge underlying the competencies sought, it is usually necessary to consult content experts at this stage.

Tab. 19 : Structuring of a training course on post-clearance audit

Specific/thematic objectives	Timetable/ scheduled times	Facilitation methods
Day 1		
Welcome to course members/coffee	08H00 – 08H30	
Ice-breaking activities Introduction: Presentation of the trainer, the (main and teaching) training objectives and the training plan/delivery programme, round-table introductions of course members Presentation and approval of workshop rules	08H30 – 09H30	Select from range of ice-breaking activities (plus interactivity). Presentation of trainer to the whole group Course members' round
The basic principles (definition, challenges, purpose, etc.) of post-clearance control in the context of Customs	09h30 – 10h45	Brainstorming Simulation in pairs
Coffee break (10h45 – 11h00)		
Presentation of investigation procedure from risk analysis to completion of the investigation	11h00 – 12h30	Brainstorming, listing of proposals for stages of the process on flip chart before presentation
Lunch break (12h30 – 14h00)		
Coffee break (15h30-16h00)		
Closure (17h30)		

It is then possible to tackle the preparation of the manuals, guides and activities required to support the trainees in their learning process. This training material may take many forms, according to whether the training is delivered in a classroom, through a buddy system in the working environment or virtually.

The assimilation of training content is influenced by the choice of learning methods and teaching techniques. For instance, to teach a person how to communicate effectively in public, a trainer may clearly explain the conditions to be met to keep the audience's interest; give a demonstration; present an article about the subject; call on a panel of experts and have them discuss it; or then again he/she can involve the course member directly in a practical exercise. Although a particular subject can be approached in various ways, it appears that certain methods are more suitable than others for delivering content. For this reason, the selection of the most appropriate learning methods and teaching techniques to meet the needs falls primarily to the course designer. The latter will, moreover, have plenty of choice, as there are numerous possibilities.

Stage 3: Delivery of the training

This stage consists in :

- Planning how the training course and the training plan will be implemented;
- Setting up the appropriate resources;
- Monitoring the conduct of the training course;
- Providing the corrective solutions.

The main concerns of the training department (or the trainer) during this stage are to ensure that the chosen teaching strategy is properly deployed, and to attend to the process of competency acquisition by the trainees. In other words, since the theoretical content and the practical activities were developed at the preceding stage, the focus is shifted during this stage to the way in which the teaching content of the training is conveyed. Throughout the training activity the internal or external trainer must use teaching techniques that encourage participation and promote the understanding of the concepts being addressed.

The table below shows the main teaching methods with comments on their use:

Tab. 20 : The main teaching methods

Methods	Definition	When to use
Presentation	A person presents a concept to the course members, with or without visual aids. The presenter speaks and the course members listen. There may be questions during or after the presentation.	In large groups, or when a specific piece of information has to be conveyed in a technical fashion, and the course members do not have any specific knowledge of the subject.
Discussion	A conversation about a particular subject, in which conflicting opinions emerge. Specific visual techniques may be used: moving to a different part of the room to show one's opinion, grouping together to defend a point of view.	When there is no single valid view of an issue, and the group needs to understand the different opinions of each person. The facilitator must be prepared to intervene to moderate the discussion
Case study	A realistic situation is presented to the course members, orally or in writing. The course members have to respond to the situation.	When the course members need to be faced with a specific situation to understand its complexity, or to demonstrate the practical application of tools or theories.
Role play	The course members have to play a role in a particular situation. They have to act in accordance with the context they are provided with and the role given to them.	In cases where the course members are regularly faced with a specific situation, and alternative or different behaviours are to be explored.
Brainstorming	Members of the group put forward ideas rapidly, orally or in writing, on a given subject. All ideas are accepted: there are no wrong answers.	When it is wished to explore all the aspects of a particular subject, or if it is desired to generate diverse ideas, for instance to solve a problem or to prepare for a project.
Syndicate discussions	A way of promoting a rapid exchange of ideas on a particular subject in a limited time. The results are presented to the whole group for comparison and/or discussion.	When the group is too big to have an in-depth discussion all together. When the course members have sufficient experience of the subject to find answers themselves.
Energizers (games)	The course members will have an opportunity to move about, sometimes change places within the room, and wake themselves up. This is not a learning exercise. The activity is very short and simple. Lessons can be drawn from it, but not necessarily so.	If the group is tired or there is a need to change the group dynamic after a difficult discussion or a complicated exercise. After breaks, when the course members have been dispersed.

Stage 4: Post-training evaluation and follow-up

The provision of a training activity requires a major investment of energy, time, money and resources. It is therefore essential for the administration to carry out an evaluation of the training and to measure the performance of its investment. This evaluation stage plays an essential role and can be carried out at various levels.

By evaluating the training, the administration is in a position to determine whether the objectives set at the outset have been achieved. By comparing the objectives set with the results obtained (initial situation compared with the new situation), it is possible to determine the extent to which the training activity has been beneficial to officials, and whether or not it has produced tangible benefits for Customs.

In order to successfully complete this stage, it is crucial for each team leader to make a point of talking to his/her employee both before the course (running through the challenges and expectations) and after it (taking stock, measuring the effectiveness of the training). It is particularly recommended that the manager should have a discussion with the employee after the training, to find out what he/she thought of it (preparing subsequent course groups) and above all whether it is possible, and if so how, to apply the knowledge or competencies acquired during the training. This is all about optimizing the possible gains from the training that the employee has undergone. Irrespective of the interest and relevance of the training undergone by the employee, it will only be "cost-effective" for him/her and the home department if it can effect a positive change in the employee's behaviour. It is therefore in the manager's interest to facilitate the practical application of the "new knowledge" acquired by his/her team members.

Accordingly, the evaluation of the training may answer the following questions:

- Did the course members appreciate the training?
- Have the course members acquired new knowledge?
- Are the course members applying what they learned from the training in their work situations?
- What impact has the training had on the performance of the Customs administration?

The benefits of training evaluation

There may be several reasons why carrying out an evaluation of its training activity or activities is relevant to an organization:

– In any management process, evaluation is an essential stage, the purpose of which is to verify whether the efforts made have been translated into results that meet the desired objectives;

– The purpose of training is to have a positive influence on operational excellence and consequently organizational performance;

– Having regard to the large amounts of money invested in training each year, this stage must therefore be carried out properly, and cannot be glossed over as far as training management is concerned.

- **Impact measurement:** The conduct of an evaluation after a training course allows the administration to draw up a detailed picture of the direct and indirect effects of the training.
- **Cost-effectiveness:** Evaluation makes it possible to calculate the extent to which the training proved to be cost-effective for the administration, or otherwise.
- **Improvement:** The evaluation allows the aspects that could be improved, and the areas where the training did not produce the desired results, to be identified.
- **Feedback:** Conduct of the evaluation is an opportunity to gather together the comments and concerns of the officials who took part in the training. These can serve both to improve training and to make adjustments in other organizational spheres.

The relevance of an evaluation is further increased by being beneficial to all the stakeholders in the process, namely the trainee, the trainer and the organization.

- **For the trainee,** the evaluation can enable him or her to take stock of what he/she has learned. It can also help him or her assess the actual improvement in his/her competencies. If the trainee takes a positive view of what he/she has learned, this can increase his/her motivation and sense of personal effectiveness.
- **For the trainer,** the evaluation makes it possible to measure the degree of his/her effectiveness during the training activity. It can also help him or her to identify specific areas for improvement and changes to be made to the course with a view to its future delivery.
- **For the organization,** the evaluation represents an objective measure of the benefits gained from conducting the training. As we have already seen, this information allows the organization to situate training within a strategic perspective and to use it as a lever to achieve objectives.

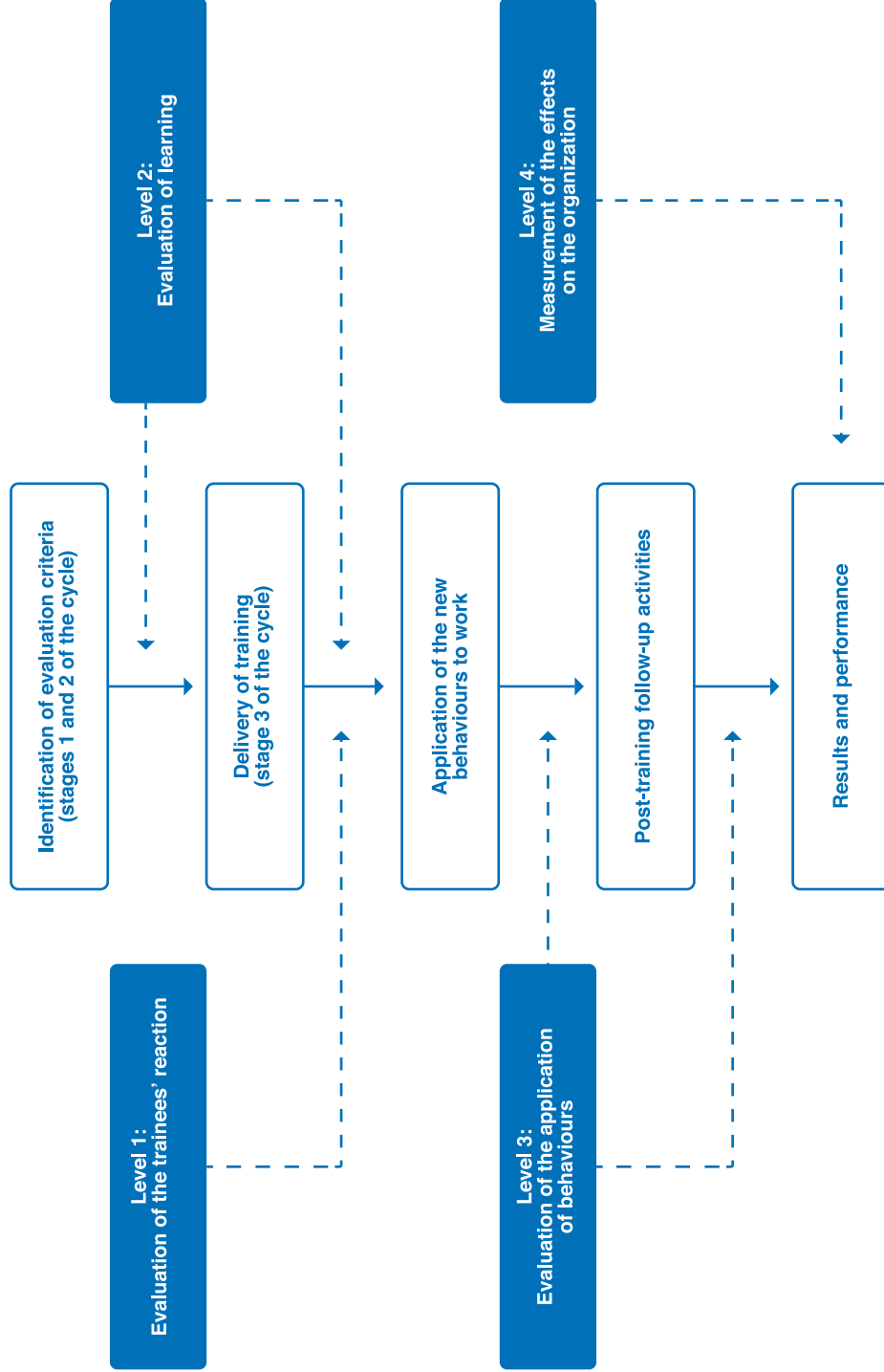
As a practical aid, we describe below two international models of evaluation of training activities. These are the Kirkpatrick model and the Phillips model.

The Kirkpatrick evaluation model suggests that the quality of training can be measured in terms of four distinct levels, namely the reaction of trainees, the learning, the application of the new behaviours and the effects on the organization.

The Kirkpatrick model has numerous advantages. Firstly, it is simple and allows training to be evaluated at various levels at which learning is assimilated. It is also very positively viewed by training professionals, which demonstrates how easy it is to apply.

The figure below shows the various levels of analysis and the place they occupy in the training management cycle:

Fig. 26 : Kirkpatrick's four levels of evaluation



Level 1: The reaction of the trainees

This first level of analysis consists in gathering the reactions of the trainees immediately after the training course, using specially designed evaluation forms. This evaluation (done orally or in writing, formally or informally) is a low-cost, rapid method of determining the degree to which the trainees appreciated the training.

The aspects generally taken into consideration at this level of analysis can be summarized by the following points:

- The relevance and appropriateness of the training content in relation to the learning objectives;
- The relevance of the learning methods and teaching techniques used;
- The quality of facilitation and the trainer's drive and motivation;
- The organization of the training (duration of training, format, location, environment, logistics, etc.);
- The quality of the teaching materials (course member's guide, videos, slides, etc.).

The advantage of this first level of analysis is that it rapidly provides indications of ways that improvements can be made. This means that dissatisfaction expressed with certain aspects can allow the training professional to make rapid adjustments to the training (layout of the room, duration of the session, teaching techniques used, choice of trainer, etc.).

Level 2: Evaluation of learning

This second level of analysis is designed to evaluate the degree of knowledge gained by the trainees. It makes it possible, through tests or examinations, to measure whether the trainee has mastered the knowledge and skills necessary to perform his/her duties properly.

The chosen test can also be used to monitor how learning has progressed, by comparing the results obtained by a trainee in a pre-course test, before training, with those from a post-course test, after training.

The following principles should, moreover, be taken into account in the design of these tests :

- The acquisition of knowledge can generally be evaluated by means of an oral or written examination (multiple-choice test, problem-solving, etc.);
- The acquisition of a skill (know-how) can be evaluated by means of a practical examination carried out with an observation chart (putting skills into practice, carrying out a particular task, demonstration given by the trainee, etc.);

- The acquisition of a new attitude (soft skill) is preferably evaluated by means of a combination of techniques (self-assessment, simulation of a situation with observation chart, discussion with the trainer, etc.).

Level 3: Evaluation of the application of new behaviours

This third level of analysis seeks to verify whether the trainees are using what they have learned in the course of their duties.

Three different approaches may be suggested:

- **Direct observation** of the trainee in the course of performing his/her duties. This can be carried out by the trainer him-/herself, by a "buddy" or by the line manager, using an observation chart.
- **Self-assessment** carried out by the trainee a few weeks after training. This assessment is generally conducted by means of questionnaires, in which the trainee has to indicate the frequency and intensity with which he/she uses what he/she learned during the training.

To do this, one of the following formulas may be used:

- Direct evaluation of the transfer (I use what I learned during training...);
- Indirect evaluation of the transfer (The use of my new knowledge in the course of my duties is improving my performance at work...);
- Evaluation of the behaviours that should have improved after training (When a client explains his/her situation, I make sure that I use his/her words in my response, to show that I have understood things correctly...).
- A **single or multi-source** evaluation carried out, as relevant, by the line manager, colleagues, subordinates or clients.

In this respect the appraisal interview is an indispensable tool to evaluate what has been learned from the training and how that is used in the context of the job.

Niveau 4 : La mesure des effets sur l'organisation

This final level of analysis is to measure the actual effects of the training on working teams and the organization as a whole. Its objective is to identify the extent to which the training has helped to increase the organization's efficiency and performance.

The criteria used to evaluate the effects of training on the organization are as follows: the elimination of the gaps identified during the needs analysis and the degree of improvement of a situation through the monitoring of operational, human and financial performance indicators.

The following are some examples of organizational performance indicators that can be used:

- Value of Customs revenue;
- Number and amounts of value adjustments;
- etc.

To sum up, the table below shows the four stages of the Kirkpatrick model with the rules to be followed in its use:

Tab. 21 : Evaluation of training activities using the Kirkpatrick model

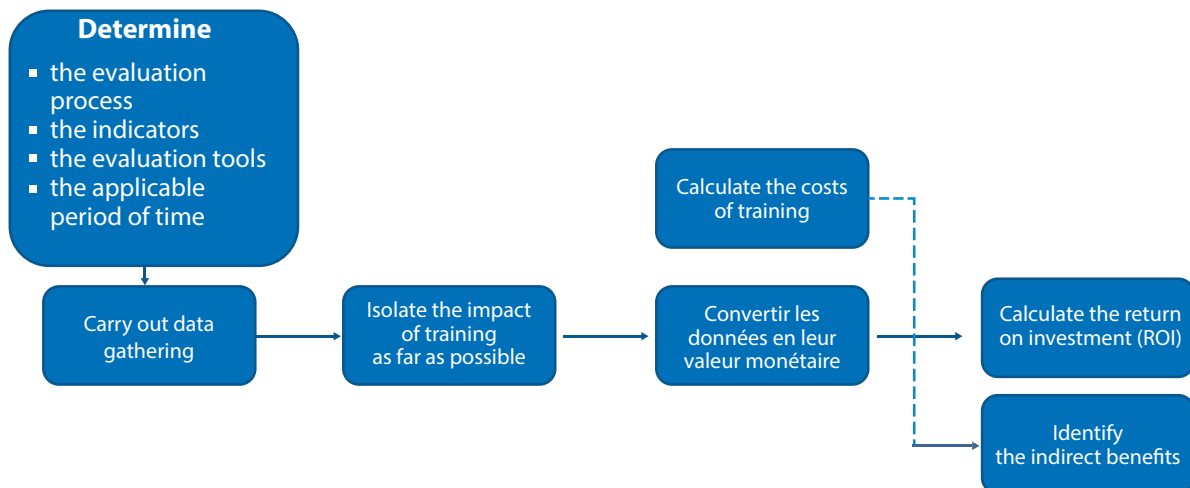
level	When	What	How
Satisfaction	At the end of training	What is the level of SATISFACTION of the course members with the training?	Training activity assessment questionnaire (see form at Appendix 2.)
Learning	During/at the end of training	What is the KNOWLEDGE GAINED by the course members?	<ul style="list-style-type: none"> - Written or practical test (pre-course test and post-course test) - Demonstration by trainee - Simulation, discussion with the trainer - Self-assessment of the training activity
Transfer of what has been learned	1 to 3 months after training	Are the course members APPLYING WHAT THEY HAVE LEARNED in their work following the training?	<ul style="list-style-type: none"> - Direct observation of employees - Self-assessment by the employee of the transfer of what has been learned after 4 to 8 weeks (see form No.) Evaluation by colleagues/supervisor/clients after 3 or 6 months Competency profile
Organizational impact and post-training follow-up	3 to 6 months after the training	What have been the EFFECTS of the training on the organization?	<ul style="list-style-type: none"> - Dashboard - Qualitative review of effects of training activities - Annual executive summary of training

In addition to the above model, the Phillips model (2005) brings substantial added value to the activities of training evaluation, by demonstrating the fact that a training course is an investment rather than an expense, allowing its compelling impact to be

analysed.

The figure below shows the stages to follow to calculate the financial impact of training on the basis of the Phillips model:

Fig. 27 : The return on investment (ROI) model according to Phillips



According to this model, by monitoring the trends in different performance indicators, the effectiveness and efficiency of a training course can be estimated in terms of return on investment (ROI).

In this respect, it implies quantifying, in monetary terms, all the costs of training and the savings resulting from changes in the quantitative and qualitative indicators.

This model is very interesting, as it means that the return on a training course can be calculated by using a simple ratio that is widely used in management, that is to say the cost-benefit approach.

To conclude this chapter, it is recognized that the training and development of human resources are essential tools that are to build upon the daily activities of the Customs administration.

In this respect, the success of training activities relies on the consistency and co ordination of the efforts made by all the stakeholders in the Customs administration. Awareness of the principles and tools presented above will foster the creation of a culture that underpins learning. This culture, together with strict competency development processes, forms the basis of a learning-centred Customs administration.

APPENDIX 1: LIST OF VERBS OF ACTION THAT CAN BE USED IN THE FORMULATION OF SPECIFIC OBJECTIVES

	Knowledge	Know-how	Soft skills
	Awareness	Imitation	Receptiveness
Imitation	cite emphasize define designate enunciate enumerate identify name recognize repeat select describe	identify imitate activate repeat apply recognize reproduce	welcome imitate apply identify accept share recognize choose
	Comprehension	Co-ordination	Response
Application	classify supplement describe define detect develop distinguish estimate establish formulate recognize draft represent situate translate	assemble read supplement detect distinguish dissect estimate produce carry out draft use measure determine repair adjust coordinate	approve listen share practise reformulate follow feel respect sense appreciate comply sensitize
	Problem-solving	Automatic response	Internalization of values
Mastery	abstract adapt analyse calculate choose compare convert correct deduct discriminate explain judge resolve interpret convey	adjust improve assemble construct control coordinate explain harmonize plan regulate repair verify	help assist advise guide coordinate motivate encourage involve persuade

APPENDIX 2: SATISFACTION EVALUATION QUESTIONNAIRE

Subject:
Duration:
Date:
Course leader:

Evaluation level	Poor	Not very satisfactory	Satisfactory	Very satisfactory	Excellent
Presentation of training					
Meeting of expectations					
Preparation of course leader					
Knowledge of course leader					
Exercises/practical experiments					
Overall assessment					

Comments and suggestions:

Was the training sufficient to enable you to use the system?
Your comments and suggestions

Forename, surname and signature:

4- Competency-based performance management process

Competency-based performance management is a challenge both for the Directorate General and for employees as a whole. Among human resource management practices, performance management probably has the greatest gap between plans and reality. Since it is a virtually unavoidable aspect of the administration, however, it must be implemented ethically and objectively.

An administration that wishes to complete a performance management project first sets out its intentions in a programme establishing the respective parameters. It is strategically advantageous to define the terms used in the programme and to take the time to identify any conceptual distinctions. Restricting performance appraisals to individual contributions or adopting a multisource or other approach are clearly initial strategic choices that will have a significant impact on the content of a competency-based performance management process.

Performance management must be formulated in accordance with criteria linked to work objectives and to qualitative or quantitative individual characteristics which are included in appraisal methods.

This chapter seeks to examine the roles and responsibilities of key performance management stakeholders on the one hand, and to propose the steps to be taken to introduce a competency-based performance management system on the other.

Competencies have been included in the performance management process to provide observations not only on "WHAT" has been achieved (i.e. the performance objectives of a particular job) but also on "HOW" the work has been carried out. Competency appraisal within the performance management process is an important resource in helping employees to understand performance expectations. A competency-based performance management process includes both performance objectives and competencies.

<p>Performance objectives</p> <p>Main objectives /outcomes and rules to determine whether they have been successfully accomplished.</p> <p>WHAT</p> <p>should be achieved?</p>	<p>Competencies</p> <p>Behaviour to be recorded on successful completion of work objectives.</p> <p>HOW</p> <p>should this be achieved?</p>
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4-1 Definitions

- The term "performance"

Performance involves notions of human capacities and workload. It calls to mind abilities, attitudes and knowledge (Gawron, 2000), and also addresses the idea of success at work. Being effective means, first and foremost, fulfilling the requirements of the job.

- Performance management

Managing performance at work is a process that seeks to obtain the results and behaviour required of one or more individuals in the context of their work. In the Customs sector, this notion is broader in scope, since the management of employee performance requires the achievement of at least five objectives involving a variety of stakeholders:

Performance management involves optimizing employee performance by establishing measurable qualitative and quantitative objectives and ensuring that they are monitored over time.

- For the **Directorate General**, it is essential for the administration to have a management system that facilitates the implementation of strategic priorities.;
- **Management** must be able to rely on a management process that helps to create a context favouring optimal performance management ;
- The **human resources department** must provide the management framework and establish the mechanisms required to ensure sound performance management that encompasses all stakeholders ;
- **Employees** have a particular interest in the management of their performance at work. They expect a great deal of their immediate line managers and are concerned about how the latter will assess their performance. A sense of effectiveness at work may represent an important source of satisfaction and may strengthen the feeling of achievement. Employees would also like the opportunity to give their opinion on their strong points and to ask for the resources they need in order to be effective.

4-2- Roles and responsibilities

The leading contributors to the process have separate and complementary roles and responsibilities and must cooperate with each other.

The **Directorate General** therefore:

- communicates the strategic objectives set by the administration;
- validates the operational objectives of operating departments;

- supports the supervisory work of the human resources department.

The **Human Resource Manager** is also responsible for:

- establishing a performance management process which is consistent with Directorate General guidelines and with general Customs administration policy;
- providing information on the performance management process and ensuring that it is understood by the organization and by all employees;
- coordinating system operation;
- ensuring process implementation.

Management is responsible for accepting that the results of its work are also assessed, and must:

- ensure that team and individual objectives are consistent with those of the administration; it must therefore ensure that the priorities of the administration, the Directorate General or the department are defined and that the realities of employees' work are taken into consideration;
- schedule and conduct interviews;
- ensure that employees are consulted in formulating the appraisal;

- make their teams aware of the performance management process within their departments.

Customs staff are responsible for:

- defining objectives which are consistent with those of their management;
- getting involved in selecting criteria according to which their performance will be assessed;
- organizing their work on the basis of pre-defined priorities;
- communicating openly on :
 - » achievement in relation to objectives established;
 - » checks and barriers to performance;
 - » strong points and development needs.

The following table summarizes and illustrates how performance management roles and responsibilities are divided:

Tab 22 : Roles and responsibilities of performance management system stakeholders

Responsibilities	Directorate General	Management	HRD	Employees	Peers
1.Consider all Customs personnel as strategic partners					
Determine Customs administration strategic priorities	R	S	S		
Take ownership of Customs administration strategic objectives	S	R	R		
Disseminate information on strategic and operational objectives and explain them to staff		R	S		
2. Formulate specific, clear and challenging expectations					
Explain the link between tasks to be accomplished and strategic priorities to each Customs employee		R			
Specify the objectives, recurring outcomes, behaviours and competencies required		R	S		
Determine performance levels		R			
3.Support employee performance					
Obtain continual, positive or corrective feedback		R			S

Listen to employees and take their opinions into account		R			
Propose activities to boost team spirit		R	S	S	S
Eliminate barriers that undermine performance at work		R		S	
4. Assess performance					
Draw up an appropriate appraisal form		S	R		
Document performance		R		S	S
Assess each employee's performance		R		S	S
Take the context in which the employee works into account		R		S	
Prepare and carry out an appraisal interview		R	S		
5. Propose an individual action plan					
Recognize and develop each employee's contribution		R			
Improve competencies to increase performance		R	S	S	
		R	S	S	

R : person responsible S : support to person responsible

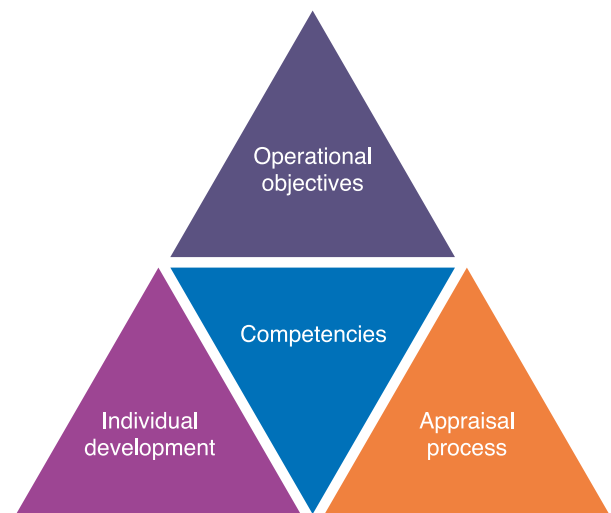
4.3. Components of a competency-based performance management system

Each stage of the competency-based performance management system involves four core components:

- **Operational objectives:** these identify and assess the principal work objectives, representing an **outcome measure**.
- **Competencies:** competency appraisal is linked to better performance at work; this is a **measure of behavioural characteristics** that have an impact on outcomes.
- **Development:** this involves drawing up **individual development plans** to improve employee strong points and fill gaps in performance identified by the competency appraisal.
- **The appraisal process:** this sets out **the activities, procedures, roles and responsibilities** of each stakeholder in the **performance management system**.

The following figure shows the composition of a competency-based performance management system:

Fig 28 : The components of a competency-based performance management system



If an employee fails to achieve certain objectives in the past to which they have been assigned, the competency appraisal generally identifies why this is the case. Although the employee may achieve their individual performance objectives at times, their conduct has a negative impact on the team or department. The appraisal enables behaviour that has a negative impact on overall team or department performance to be highlighted. Feedback to the employee concerned based on the results of their appraisal allows doubtful behaviour to be corrected.

4.4. Conditions for the success of competency-based performance management

The success of a performance appraisal system depends on a number of conditions concerning

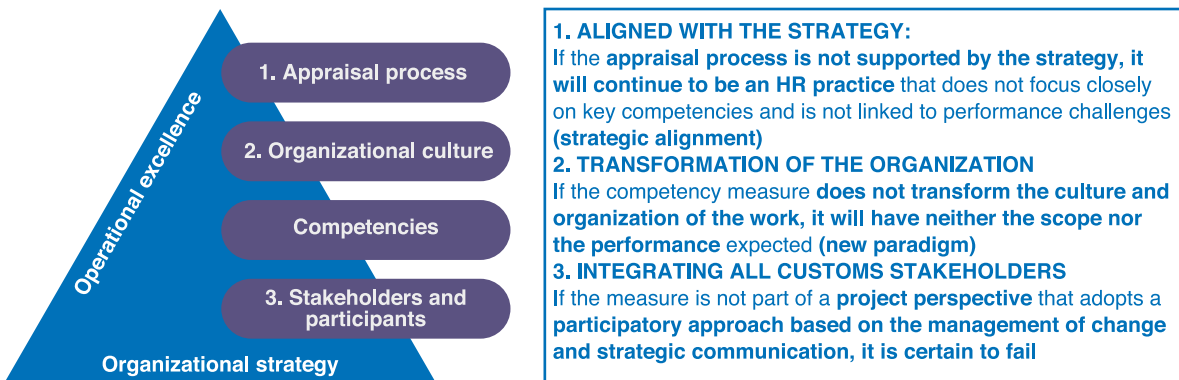
the individuals who benefit from or use the system, and the administration into which the process is introduced.

The conditions for a successful appraisal involve three distinct aspects:

- the performance appraisal process per se;
- the organizational culture in which participants interact;
- the participants themselves, whether the Directorate General, management, employees or the HRD, the process manager.

The following figure shows interactions between the main key factors for the success of a performance appraisal system:

Fig 29 : Conditions for the success of an appraisal system



The competency-based performance appraisal process really comes into its own when the Customs administrations into which it is introduced have a culture that takes it into account.

It is advisable at the outset to ensure that the following prerequisites are met:

- formalizing of values and of management principles or philosophy;
- drafting of the administration's strategic objectives;
- determination of practices included in the internal support mechanism, effectiveness measurement, communications and interaction with the environment;
- canvassing of the opinions of the employees concerned or of the management team:
 - regarding observable lines of action;
 - regarding future expectations;
- determination of a system for recognizing professional contributions :
 - choice of decision-makers who will run the system;

- role of participants ;

- establishment of a schedule of performance appraisal activities.

4.5. The performance management process

Performance management is a three-stage process whereby management works together with direct employees and pools resources and competencies to ensure that each person's contribution is continually supported and enhanced.

This process should be regarded as a continuous proactive measure, the success of which is not ensured if one of the stages is bypassed.

The following figure illustrates the road map for a competency-based performance management system:



To reiterate, the objective of performance management is to combine workers' efforts in order to implement the strategic priorities of the administration. Management plays the most important role in achieving that objective, acting as an essential channel of communication between the Directorate General, which "conceives" the strategy, and employees, who "implement" it.

The first stage is therefore to become very familiar with the strategic context (the mission, vision, values, priorities and objectives). Management must be aware of and committed to the strategic objectives of the administration and must take ownership of them to ensure that the employees they are responsible for have a full understanding of potential challenges, threats and opportunities.

The Directorate General must provide the various departments at all levels with information on the administration's strategic objectives (projects, changes, etc.):

- This is generally ensured by a guidance note summarizing the strategic objectives and setting out priority areas for the coming year.
- The Directorate General itself sometimes opts to formulate the objectives of operational departments, then the objectives set for management, and finally the expectations to be communicated to employees.

The operational objectives of functional departments, however, lie between the strategic guidelines of the Directorate General and individual objectives. The appraisal form used as the basis for the annual management-employee appraisal interview must summarize the operational objectives of employees' departments.

In addition to general information on individual employees, the first page of the form sets out the operational objectives of their department as a reference point for establishing their individual objectives, with full respect for the principle of consistency and coherence referred to in the first part of this guide.

Page 1 of the appraisal form: definition of the department's operational objectives			
Forename and surname of employee		Forename and surname of line manager	
Current post			
Assignment		Post	
Starting date		Length of service in post	
General objective of employee's department:			
– To contribute to			
Operational objectives of department :			
The annual objectives of the ... department are ...:			
- ...			
- ...			
- ...			

Date and signature of employee	Date and signature of management

The signature of the two leading participants in the performance management process is very useful and is crucial for its continuation. Once the form has been signed, there is no doubt that the employee is aware at least of the operational objectives of his or her department.

The employee keeps a copy of the first page.

Stage 1: Planning and performance agreement

This is the starting point of the process per se. For management and employees, this important stage involves:

- identifying the principal work objectives and signing up to the performance agreement following its discussion;
- reviewing the associated competencies;
- establishing individual development plans (IDP);
- identifying the stages to be followed to achieve the performance objectives and individual development.

To be effective, employees must be able to link the strategic priorities and guidelines allotted to them. If they are unable to do so, this becomes the role of management, assisted by the human resources department.

Management very often assumes that employees know what is expected of them, yet this is not always the case. Both parties are advised to refer frequently to two documents that should provide them with relevant information:

– the job description;

– the form that will underlie the performance appraisal and interview with the employee.

The information in these two documents may also provide employees with guidance or indicators for their work.

Having established the individual objectives, the following stage in formulating expectations is crucial for the continuation of the process. A management that would like to measure and assess employee performance without previously establishing clear, precise and incentivising expectations will not be able to support employees effectively.

Expectations are set over three stages:

- Firstly, performance expectations are specified, a point at which two errors must be avoided:
 - management fails to specify the expectations that will be used subsequently to assess performance;
 - the expectations initially set are not relevant to performance.
- Secondly, the nature of performance expectations must be determined, involving four aspects:
 - results connected to work objectives representing elements linked to one-off projects which are not repeated;
 - recurring results, representing tasks carried out on a regular basis which are essential to the post occupied and which are established for an indeterminate duration;
 - observable behaviour, i.e. how employees should conduct themselves in performing their work;
 - competencies to be improved or acquired in relation to a particular project.
- Finally, it is important to establish performance levels: for management, this means providing details on the standards that will be used to determine whether employees have done their job well.

For each objective established between management and employee:

- a measurement indicator should specify how the objective can be assessed and regarded as achieved;

- a weighting (expressed as a percentage) will be allotted to each indicator to specify its importance and degree of priority compared to the others;
- the time for completion will be specified by mutual agreement.

Page 2 of the appraisal form: setting of individual objectives (cells marked with a cross must be completed)

Priorities	Individual objectives				Mid-year review		End-of-year evaluation		
	Description of objective	Measurement indicator	Weight (%)	Time	Employee comments	Management comments	Employee self-appraisal	Management appraisal	Achievement (%)
Objective 1	X	X	X	X					
Objective 2	X	X	X	X					
Objective 3	X	X	X	X					
Objective n	X	X	X	X					

Each party must keep a copy of the first two pages of the appraisal form, while the original is forwarded to the human resources department, together with the paragraph completed by the employee and management. The form will be returned for completion to the latter at the time of the mid-term appraisal.

It is crucial to specify that at this stage, the employee has already been able to identify competencies specific to their situation in relation to the achievement of their individual objectives.

Stage 2: Mid-term appraisal or review of objectives

Activities in this stage continue throughout the appraisal period:

- overseeing progress towards achieving objectives and documenting performance;
- maintaining continuous informal communication and providing comments;
- identifying performance gaps and agreeing corrective measures;
- acknowledging achievements, where applicable.

The mid-year meeting is an opportunity to review

individual performance objectives and define individual areas for development. During this stage, management and employees give their opinion on the relevance of their choice of competencies in the preceding stage. Any gaps identified are noted under the heading "individual development plan".

1. Individual performance

During the review of objectives, the employee and management compare what has been achieved against the objectives established and take corrective action if necessary.

The employee must first draw up an analysis of their individual performance and of the development of

If the Customs administration introduces a global strategy change leading to a change in the strategy of functional departments, individual objectives may also change in the same way. Rather than representing a revisiting of objectives compared to indicators, weighting or even time limits, this may involve drawing up new objectives and abandoning old ones.

their competencies. This document is forwarded to their line manager at least a week before the day of the meeting.

Management meanwhile prepares its comments and

provides feedback. It may also reassess performance objectives for the end of the cycle.

After this meeting, the information must be recorded on the second page of the appraisal form:

Page 2 of the appraisal form: Mid-year review (cells marked with a cross must be completed)

Priorities	Individual objectives				Mid-year review		End-of-year evaluation		
	Description of objective	Measurement indicator	Weight (%)	Time	Employee comments	Management comments	Employee self-appraisal	Management appraisal	Achievement (%)
Objective 1					X	X			
Objective 2					X	X			
Objective 3					X	X			
Objective n					X	X			

2. Individual development areas

The mid-year interview gives employees and management the opportunity to review short and medium-term career development activities. The guiding choices must take into account employees' professional aspirations, competencies demonstrated and development needs identified.

Employee competencies and development needs must be assessed in order to determine their development aims :

- strong points and competencies demonstrated: discussion should focus on identifying competencies in order to define development methods and techniques;
- development needs: the aim is to take stock and to identify competencies in qualification areas that can be improved in the short or medium term.

Page 3 of the appraisal form: Development guidelines

Strong points and competencies demonstrated			Development needs identified		
Professional development sought by the employee			Management comments		
Current post					
Other potential posts	Geographic mobility		Central		
			Regional		
	Potential constraints				

The individual development plan arising out of the interview is sometimes finalized immediately after the interview is concluded, but it may also be drawn up a little later for further consideration.

Management has two major responsibilities at this stage:

- according to the performance level observed and challenges arising, the role of management is to establish a plan with employees to maintain or improve their performance;
- the drafting of a competency development plan represents the core of the individual development plan.

When management identifies a lack of performance by employees, it may decide to adjust their workload to make it lighter in areas where weaknesses are observed, put them together with a more experienced colleague, introduce closer monitoring to avoid stagnation, or demonstrate that the administration has confidence in them by asking them to take on new and more demanding responsibilities, etc.

Stage 3: Performance assessment

On conclusion of the performance management cycle, the employee and management meet to discuss the employee's results. While management is clearly responsible for the final appraisal, the process must be an exercise in cooperation. A performance appraisal is a joint understanding of the quality and level of performance and the competencies of employees during the appraisal period – representing both **WHICH** tasks have been carried out and **HOW**.

To sum this stage up, management assesses:

- the achievement of objectives;
- the individual development plan;
- competencies.

These three components can be assessed by the employee's line manager, and the employee can be asked to take part by carrying out a self-appraisal, the results of which can then be discussed with the line manager.

Even when self-appraisals are inaccurate, this process can have significant advantages that may prompt employees to reflect on the extent to which they have mastered the competencies that have the greatest impact on success.

- Self-appraisal

In anticipation of the appraisal with management, employees can self-assess by completing the performance appraisal form. They are asked to reflect on the extent to which they have achieved the objectives established with management and on the specific behaviours demonstrated at work, their frequency and the kind of situations involved. This represents the employee's perception of how they have performed their tasks.

The results will be used during the performance appraisal meeting with management to identify areas of skills development and to help to plan their learning and development for the following performance management cycle.

The self-appraisal may be carried out differently, without completing the appraisal form, in two stages:

- Management first provides employees with information on their performance. This may involve observations by employees or by colleagues. Employees give an opinion on their performance based on the observations reported to them. They then self-assess their contribution or past achievements.
- Management then examines the results of employees' reflections and takes measures to complete or clarify their appraisal.

Management thus bases most of its appraisal on the one hand on the information given by employees, and on the other on any relevant information from different credible sources, such as peers or colleagues, or in some cases clients, particularly for front office staff.

Since management is asked to play a role in the appraisal carried out by employees, the process is also referred to as "co-appraisal".

This method can be a powerful means of participation and motivation at work if employees are able to be self-critical and ask the appropriate questions, and finally if management genuinely acts as a supporter in managing the process.

- Multisource appraisal or 360-degree feedback method

In a multisource appraisal programme, roles are significantly different. Firstly, the role of management is no longer restricted solely to line management. Management naturally retains the active role in the process, but other stakeholders are closely involved, such as employees' colleagues and peers. Persons external to the administration, such as service users in ports and airports, then participate in the process as observers.

In a process of this kind, the results of the various appraisals, whether by management, employees themselves, colleagues and peers or external clients, are generally linked in by an external adviser. We propose to have the HRD carry out this task.

As a result, in a multisource context, the management's appraisal is less important than it is in an individual appraisal, since it is just one among others. Employees play an active role by completing a self-appraisal, which then forms an integral part of their performance appraisals as a whole.

- End-of-year performance appraisal

The end-of-year appraisal involves an interview between the employee and their line manager. In order for this to be an opportunity for useful interaction and a basis on which to begin a new performance management cycle, a rather formalistic approach is required. A brief guide to this issue is presented in an appendix to this chapter.

For reasons of continuity, it is recommended to begin with the end-of-year review before establishing objectives for the following year.

Employee performances and competencies are assessed in relation to objectives established a year previously.

• Evaluation of objectives

Objectives are assessed as follows:

- a percentage achievement of objectives must be discussed with the employee;
- once it is approved, the employee must be notified of and talked through the percentage achievement.

Page 2 of the appraisal form: End-of-year appraisal (cells marked with a cross must be completed)

Priorities	Individual objectives				Mid-year review		End-of-year evaluation		
	Description of objective	Measurement indicator	Weight (%)	Time	Employee comments	Management comments	Employee self-appraisal	Management appraisal	Achievement (%)
Objective 1							X	X	
Objective 2							X	X	
Objective 3							X	X	
Objective n							X	X	

• End-of-year performance appraisal :

- Employees comment on their personal contribution as they perceive it and on compliance with Directorate General guidelines and respect for the administration's values on the one hand, and on their global performance and the assumption of responsibility on the other.
- In response, management comments on the various points addressed by employees. This allows their individual contributions to the success of their team and to the sound performance of the administration to be highlighted.

Page 3 of the appraisal form: End-of-year performance appraisal

Employee comments/findings	Management appraisals/findings
Personal contribution/respect for values	
Post held	

• Individual development plans (IDP)

An IDP is established on the basis of the competency appraisal component of the performance management process.

Even if the same competencies apply to all personnel who do the same type of work, employees will have different development needs according to their personal strengths and weaknesses. An IDP based on personalized learning needs and styles is more productive, effective and profitable in terms of vocational development.

Certain employees may benefit from stress management training, while others have greater need for time and organization management. Employees may also have very different learning styles:

- some are very successful with formal face-to-face training;
- others have greater success with self-organized methods such as online courses, books and videos.

Page 4 of the appraisal form: Individual development plan

Key competencies/ techniques to be developed	Training and/ or development activities proposed	Priority	Time	Achieved		Comments on achievement
				Y/N	Date	

The individual development plan is an action plan that can be reviewed at the time of the end-of-year appraisal. According to progress made, comments will be added (action taken, changes in priorities, outcomes observed, progress, etc.).

Employees and management keep a copy of the document and forward the signed original to the human resources department.

4.6. Guidelines for developing performance management components

» Objectives

The key to any performance system is to define significant and measurable performance objectives.

Creating sound objectives requires in-depth reflection. The acronym “SMART” will be useful for management and employees to identify appropriate objectives.

Performance objectives should be :

- **Specific:** They must indicate exactly what employees should achieve.
- **Measurable:** They must include quantifiable terms focusing in general on quality or quantity. They must be sufficiently measurable to determine whether employees have achieved their objectives.
- **Achievable:** They must be reasonable and realistic with reasonable effort.
- **Relevant:** They must be consistent with the strategic guidelines of the administration or with

employees' (individual) personal development.

- **Time-bound:** They must indicate when employees should achieve their objective.

The most valuable performance objectives focus on results rather than activities.

Beyond SMART, other criteria may be useful for defining performance objectives:

- **Relevance:** The objectives are relevant to the post concerned. An objective may be SMART without necessarily addressing the contribution a job could or should make to the administration.
- **Acceptable:** The objectives must be acceptable to management, and in particular to employees. To determine whether they are acceptable, management must assess how particular objectives will help to achieve the objectives of the team, how they will affect the performance of management and how that will affect employee confidence and/or perceptions.

It is very important to specify that employee performance objectives must in no event be guided by senior management, irrespective of the particular level. First-line management and the employees concerned should draw up objectives particular to each department and each employee.

Employees will feel a greater sense of belonging and commitment when they can have their say in defining objectives.

» **Competencies**

Les compétences mesurent le comment d'un travail. La liste des compétences ainsi que les niveaux requis est déjà délimitée au niveau du descriptif du poste. Comme expliqué dans la section portant sur "l'appréciation des compétences" l'ensemble du personnel douanier a pris connaissance de son rapport d'évaluation des compétences. Ainsi, chaque employé en collaboration avec son manager doit concentrer son développement sur les compétences critiques liées à l'atteinte des objectifs assignés.

» **Development**

The inclusion of competencies in training and development provides a valuable support system that allows employees to improve in areas in which they require development and improves those areas in which they have strengths. When employees have a better understanding of the behaviour that management and the administration value, they can work on and reinforce that behaviour.

APPENDIX 1: PERFORMANCE APPRAISAL AND INDIVIDUAL DEVELOPMENT FORM

I. Identification of employee and setting of operational objectives

Name and surname of employee		Name and surname of line manager	
Current post			
Assignment		Post	
Starting date in post		Length of service in post	
General objective of department:			
Responsibility:			
R1:			
R2:			
R3:			
Operational objectives of department:			
The objectives of the department for (year) are:			
- ...			
- ...			
- ...			
Date and signature of employee		Date and signature of management	

II. Establishment and review of objectives

Priorities	Individual objectives				Mid-year review		End-of-year evaluation		
	Description of objective	Measurement indicator	Weigh (%)	Time	Employee comments	Management comments	Employee self-appraisal	Management appraisal	Achievement (%)
Objective 1	X	X	X	X	X	X	X	X	
Objective 2	X	X	X	X	X	X	X	X	
Objective 3	X	X	X	X	X	X	X	X	
Objective n	X	X	X	X	X	X	X	X	

Signature of employee		Signature of management	
Date		Date	

III. Development guidelines

Strong points and competencies demonstrated		Development needs identified	
Professional development desired by employee		Management comments	
Current post			
Other potential posts	Geographic mobility	Central	
		Regional	
	Possible constraints		

Signature of employee		Signature of management	
Date		Date	

IV. End-of-year performance appraisal

Employee comments/conclusions	Management appraisals/conclusions
Personal contribution/respect for values	
Post held	

Competency titles	Acquired level	Required level	Result	Competency titles	Acquired level	Required level	Result
Clearance procedure	2			Administrative drafting	3		
Customs legislation	2			Community Customs Code	1		
Tax procedures	2			Social Security Code	3		
Import legislation	2			Labour Law	3		
Staff management rules	4			Strategic planning	3		
Career management procedures	4			Conflict management and problem-solving	3		
System of job, workforce and competency planning	4			Coaching and mentoring	3		
Training engineering	4			Change management	3		
Disciplinary cases management	4			Results-based management	3		
Drafting of training plan	4			Team management	3		
Appraisal of training provision	4			Diversity management	3		
Public procurement implementation procedure	2			Leadership	3		
Budget procedure and commitment of expenditure	2			Analytical skills	3		
General accounting	2			Initiative taking	3		

V. Development action plan

Competency development	Training or development activities proposed	Priority	Time	Achieved		Comments on achievement
				Y/N	Date	

Signature of employee		Signature of management	
Date		Date	

ANNEX 2: GENERAL PRINCIPLES OF THE APPRAISAL INTERVIEW

I. Role of appraisal and annual interview

The purpose of the appraisal is to improve the functioning of the Customs administration as a whole while developing each employee's professional competencies and qualities.

The appraisal interview is intended primarily to assess the development of abilities and potential and the outcomes obtained in order to improve competency and performance.

It is neither a judgement nor an examination

It is a constructive exercise during which management and employees, driven by a willingness to exchange views, take as much time as necessary to build mutual trust.

On conclusion of this process, each party (management, employees and the Customs administration as a whole) should benefit from it

II. Appraisal meeting objectives

- To set out mutual expectations;
- To verify the extent to which each party has achieved the objectives established and can meet the administration's expectations;
- To draw up an action plan to ensure improvements and development;
- To introduce a mechanism to further the development and enhancement of abilities;
- To stress employees' contribution to the achievement of the administration's objectives.

III. Procedure to be followed in conducting the interview

Three attitudes must govern the action of management as an appraiser :

- an attitude of assistance;

- an enquiring attitude, reflected in the search for objective information;
- a listening attitude.

It is proposed that management adopt a questioning attitude without being inquisitorial. Open questions help the employee to :

- clarify the way they see things;
- get information across;
- gain a better idea of possible improvements and of the action plan to be adopted.

IV. A number of rules for the sound functioning and success of the process

- A commitment from management to act as "coach" on a daily basis to support the employee and their objectives;
- Clearly established activity plans, including information channels into and out of departments;
- Management and employee ownership of the objectives of their department and of the Customs administration more generally;
- Interview preparation by management and employees;
- Systematic planned appointments for the appraisal interview;
- Systematic communication to each employee of their position in the organization as a whole on conclusion of each appraisal;
- Communication by the Directorate General on the contributions the process makes: it is important to be able to ascertain whether the process introduced genuinely does provide the competency development outcomes expected, and to establish a diagnosis of reasons for success or failure.

V. Communication: barriers to dialogue

For an interview to provide a wealth of interactions and therefore of results, the two parties involved (management and employee) must engage in dialogue rather than just ask and answer questions.

Fruitful dialogue is based on mutual listening without pre-established boundaries, as are the relationships established and outcomes obtained.

A. Lack of communication

Lack of upward communication limits interaction and fosters suspicion when the rules of the appraisal are not comparable and shared, hence the need for communication on the objectives of the appraisal and the need for both parties (management and employee) to prepare the interview.

B. Lack of time

The appraisal interview must be well planned. Care must also be taken to ensure that it is not disrupted. It is an invaluable opportunity both for employees and for management, and it must be allocated as much time as necessary. Preparation beforehand and a management summary of the outcomes as soon as possible afterwards must also be ensured if the momentum of the measure is to be maintained.

C. Communication filters

Care must be taken with respect to the “filters” through which a message may pass:

- what management means
- what management says
- what employees understand
- what employees retain

Any misunderstandings these filters may give rise to are easy to identify, hence the need to adjust the messages it is hoped to pass on during the interview, whether from management or employees.

VI. Some rules to ensure a successful appraisal meeting

To be avoided :

- Do not make assertions without evidence;
- Do not criticize, since it puts people on the defensive;
- Do not be confrontational.

To be favoured:

- Respect the order of points proposed;
- Redirect or refocus the interview if it digresses;
- Draft summaries on conclusion of each point examined;
- Work together on problems;
- Seek solutions jointly.

To maintain good relations:

- Ensure open interaction;
- Set appraisal meetings to update mutual understanding;
- Maintain a continuing appraisal process;
- Ensure that changes in expectations are discussed;
- Avoid the implicit becoming common in communication;
- Schedule regular meetings;
- Do not allow relations to deteriorate.

Attitudes to be promoted:

- Foster respect and consideration;
- Seek to change behaviour rather than the person;
- Involve all parties in seeking solutions;
- Stress the positive rather than the negative;
- Listen with empathy;
- Express feelings;
- Do not be judgemental;
- Seek to understand how each employee in the group perceives the issue;
- Try to stay on the same wavelength;
- Listen to each employee's viewpoints on the solutions envisaged.

VII. Advice for appraising employee abilities: points of vigilance

A. Risk of projecting one's own image onto the employee

The appraiser should ensure that they do not assess a person according to their own qualities or weaknesses, but by bearing in mind what is expected of the employee.

Objectivity must be evidence-based.

For example, if I am very stringent, I cannot expect all employees under my responsibility to have the same stringency. If I have defined the criteria the job requires in terms of stringency with them, they are all aware of the rules and can take a position in line with the expected outcomes.

If these common clarifications are used as a basis, the appraisal is more likely to be objective and reproducible: two appraisers with the case history and record of the progress of the same person will be able to assess them in the same way.

B. Risk of relying on the impression an employee gives

There may be a tendency not to go beyond personal feelings for employees when carrying out appraisals,

either because they do not share the appraiser's ideas or way of being, or because the appraiser may be very indulgent in their appraisals because they get on well with the employee concerned.

To parody, it could be said that any appraisal grid, irrespective of its quality, could be replaced by a three-item checklist:

He's a good chap;

So so;

I don't trust him.

Once again, it is essential to seek evidence-based objectivity if the interview is to become a genuine opportunity for interaction rather than judgement.

C. Risk of reluctance to say what is lacking for fear of changing relationships with the persons concerned

It is essential to consider the interview as an appraisal of performance in a given job rather than as a personal appraisal or still less as a judgement of the individual.

By way of example, a person who is highly effective in a position who is given new responsibilities may find it

difficult to apply the competencies expected in the first year, or to achieve the respective objectives, although they do not have fewer professional skills.

VIII. What approach should be taken in discussing areas for improvement?

The purpose of the appraisal is to improve the quality of work and foster the professional development of the person assessed, the employee. The appraisal meeting is a golden opportunity to highlight positive aspects, both satisfaction and dissatisfaction with regard to the interviewee's quality of work and any dissatisfaction they may have with their job or with the administration.

It is easier to discuss differences in satisfaction and to find solutions when evidence is available and when action is taken that allows both parties to express themselves. The following outline shows that problem-solving gradually helps us to address and better understand dissatisfaction and to propose solutions to improve matters.

Problem-solving	
1. When a difference exists, are we mutually aware of its existence?	MUTUAL AWARENESS OF THE EXISTENCE OF A DIFFERENCE
2. Do we have the same perception of the consequences of that difference?	SAME PERCEPTION OF THE CONSEQUENCES OF THE DIFFERENCE
3. Do we have a problem to analyse and solve?	CAUSES AT INDIVIDUAL LEVEL
4. What are the causes of this difference at organizational level?	CAUSES AT ORGANIZATIONAL LEVEL
5. In the light of the causes thus identified, what ideas and solutions are proposed?	IDEAS/SOLUTIONS PROPOSED
6. Which of these ideas and solutions can or should be implemented?	CHOICE OF IDEAS AND SOLUTIONS
7. Prioritizing of ideas and solutions	IMPROVEMENT PLAN

5- Competency-based career management process

The previous sections of this Guide explained how to produce professional competency profiles for different jobs using descriptions of the relevant positions, making it possible for employees to understand the competency-related requirements for sideways and upwards movement throughout their chosen career. Improving employees' understanding of what they need to do to progress in their career and which plans will lead them to their goals strongly promotes engagement and independence.

From an organizational point of view, designing and implementing tools and mechanisms that support employee career development is a wholly logical

Each Customs administration has a static career progression system based on years of seniority. For the purposes of this Guide, the concept of "career progression" is understood in its broadest possible sense and extends well beyond the above meaning.

move. Professional advancement programmes and initiatives not only serve as a retention tool and motivational incentive for current staff, but are also an attractive proposition for highly qualified potential new recruits.

The model which is proposed and outlined below displays a number of key features which distinguish it from traditional career models:

- various entities are responsible for its implementation;
- it is recognized and valued both within and outside the Customs administration;
- it is promoted and supported by top management;
- it represents a departure from the idea of vertical promotion and advancement.

The above makes it clear that this model will cover a wide variety of situations, given that individual employees will be in the driving seat when it comes to career development rather than passive observers of organizational shake-ups; the administration's role

will be to provide the tools they need to develop their competencies.

- What is the role of each stakeholder within the proposed arrangement?

In the traditional model of a career path, the stakeholders are bound by a psychological contract under which employees enjoy job security in return for commitment and loyalty. More recently this psychological contract has evolved into a partnership-based relationship, encapsulating the idea that career paths have become increasingly fragmented and less linear in nature. A relationship of this kind may involve establishing a reputation, life-long learning, searching out information or advice, or implementing special tools and programmes for career planning and management.

- How should employees approach the task of managing their careers in order to guarantee success?
- Which tools and programmes can the administration make available to its employees ?

Before answering these questions, however, it is important to define the terms "career" and "career management", and to locate the latter within the panoply of HR management practices.

» The term "career"

A career can be defined as a succession of work-related duties, tasks and activities carried out by an employee throughout his/her working life, not linked to a particular department but associated with specific competencies, qualifications, attitudes and behaviours.

The term "career" is used in the broadest possible sense in this Guide to cover a multitude of different career options: remaining in the same position or moving to different positions, remaining in the same job or moving to different jobs, working at different levels of promotion, working within the same administration or elsewhere, etc.

What matters most are the key milestones which mark an individual's professional advancement. From an organizational perspective, career management involves planning staff movements with the aim of retaining highly skilled employees and addressing future organizational needs. Employees' professional ambitions are therefore balanced against the administration's needs

Tab 23 : Balancing of the administration's needs against the employee's needs

Needs of the administration	Needs of employees
<ul style="list-style-type: none"> • What are the administration's strategic goals over the years to come? • Which needs and challenges must be faced by the administration over the next few years? • What level of competency, knowledge and experience is required to face these challenges successfully? • What are the administration's recruitment needs? • Does the administration have the necessary tools to face these challenges successfully? 	<p>How can I create a career plan which:</p> <ul style="list-style-type: none"> • builds on my strengths? • satisfies my need for self-development? • offers me challenges? • coincides with my interests? • aligns with my values? • reflects my personal style?

» **The term “career management”**

Career management means²⁵ :

- an employee’s “competency” and “capacity” to “identify his/her professional skillset”;
- to “update his/her competencies on an ongoing basis” in line with “developments (in his/her job) and the administration’s needs”...

in order to :

- “develop in step with the administration and the technologies it uses”;
- “remain able to do his/her job by adapting to change”;
- “continue delivering added value”, and

- “if necessary, move to a different job” or, “if circumstances require”, “market his/her services elsewhere”.

Career management means that the organization, its management and its HR policy are structured in such a way as to allow each employee to assume a leading role in maintaining and developing his/her competencies, constantly adapting to changes in his/her job and remaining able at all times to switch position and/or job without any major teething problems.

This summarized and pragmatic definition harmonizes the importance of career development practices, tools and programmes initiated by the administration with the need for increased awareness on the part of employees – as fully fledged stakeholders in their own careers – throughout their entire professional lives.

Career management therefore means:

For the administration	For the employee
<ul style="list-style-type: none"> - proposing a highly motivating career development plan; - boosting employee involvement and improving the working atmosphere; - identifying employees capable of progressing through the ranks, thanks to a reliable system of appraisals. 	<ul style="list-style-type: none"> - realising their potential; - achieving promotions; - gaining new responsibilities.

Career management is important for many different reasons:

For the administration	For employees
<ul style="list-style-type: none"> • an opportunity to exploit and develop the human potential at its disposal; • a way to establish a highly qualified pool of replacements; • a boost to the organization’s culture; • a means of motivating employees to attain their goals; • a pathway to competent and motivated employees. 	<ul style="list-style-type: none"> • an opportunity to develop competencies; • a route to becoming integrated into the administration and regarded as a fully fledged member of staff; • a source of esteem and recognition (increase in responsibilities, power, influence, etc.); • an opportunity for self-fulfilment at work, based on the development and use of potential in the achievement of tasks.

Before outlining the career planning and management system, it is important to note that one of the key prerequisites for the success of this career development programme is shared responsibility on the part of the employee, the management and the administration, represented by the top management²⁶ (Avedon and Scoles, 2010).

- **the employee** must undertake to follow certain recommendations, in particular those relating to effective career management;
- **line managers** must be trained to provide the necessary leadership ;
- the **top management** is responsible for providing the resources necessary to foster a competency-based culture of career management.

It should furthermore be noted that managing and developing the careers of non-executive staff can be a problematic endeavour owing to the sheer number of employees involved and the specific features of this population:

- most non-executive positions are more specialized than executive positions, making it more difficult

to move between them. Job-rotation schemes²⁷ are highly recommended in such cases;

- non-executive staff are less inclined to pursue mobility-related goals;
- the training that must be completed before moving to a different position is often long and requires significant investment.

With the exception of procedures for managing promotions of non-executive staff, which are often awarded on the basis of years of seniority, there are few genuine career management systems currently in place for these staff. This should not come as a surprise given the specific features of this population, as explained above, and the resulting difficulty of establishing such systems.

The above implies that the career development plan for non-executive staff cannot be a carbon copy of the plan for executive staff, even though both plans pursue the same goals.

The task of identifying the potential of this population can be approached in three different ways:

25- This definition has been summarised from various sources in order to meet the specific needs of Customs administrations and the requirements of this Guide.

26- The roles and responsibilities of each stakeholder in the career planning and management process are explained in the final chapter of this section.

27- The rotation of employees through different positions, often in different geographical locations, is already a widely used training and development tool which fosters the exchange of experience and knowledge.

1. by asking line managers: the number of employees involved will generally be high, making it less likely that potential will be identified reliably and accurately;
2. by disseminating information on vacant positions to all employees: establishing a recruitment system based on internal competitions can be very effective because it generally attracts highly motivated candidates;
3. by offering career guidance (which must take the form of meetings) to non-executive staff.

The third point that should be made relates to certain categories of employees who appear to peak very early, but then lose heart with a resulting deterioration in their performance at work. The administration must encourage employees to revise their understanding of “**career success**” on a regular basis so that their expectations correlate to current opportunities and their careers remain a source of motivation rather than frustration. In order to achieve this goal, it is sometimes necessary to shift the basis of the organizational culture from promotion to psychological success – employees should no longer seek to rise continuously through the ranks or increase their pay packet year on year, but to find the kind of work which best satisfies their needs and harnesses their potential.

A dialogue on this topic can be launched in a number of different ways:

- **focus groups** can be set up with employees from a wide range of categories in order to exchange views on what the term “career” really means;
- **discussion documents** can also be disseminated by the administration in order to highlight the importance of feeling comfortable and happy at work, etc.

It goes without saying that the vision formulated by each Customs administration after performing this exercise will differ. It is nevertheless likely that three main principles will emerge:

- employees are responsible for their own careers;
- careers are built by developing competencies;
- the administration must provide employees with the necessary tools for self-development.

The following will be examined in the remainder of this Guide :

- the proposed career development model, initiated by employees as the main stakeholder in their “professional fate”;
- useful tools and programmes for supporting employees in their efforts to produce an individual career plan;
- the overall process from the perspective of the organization as a “secondary” stakeholder;

- finally, an in-depth look at career mobility (using sample maps of gateways between positions, jobs and occupational groups) as one of the most useful mechanisms for any career development and enhancement system.

5-1 Employee-initiated career management: employees as stakeholders in their own careers

The proposed model takes into account the needs of both the administration and the employee but is initiated by the latter, which requires negotiations of some form between the various stakeholders concerned – the employee, his/her line manager and the administration. Employees are encouraged to express their needs, but the administration, acting through their line managers, has the right to select projects, refuse projects or request certain changes to projects, particularly if they do not reflect the administration’s needs.

The purpose of these negotiations will be achieved only if the following conditions are met:

- employees have access to all the necessary information and career opportunities;
- line managers are familiar with employees and their needs;
- agreements between the various stakeholders are formalized by a third party – the human resources department, which must ensure compliance with these agreements and their consistency, in particular with other HR management practices and other individual and collective projects.

Support and assistance measures may subsequently be initiated by the human resources department :

- either to provide employees with a better understanding of the process as a whole and raise their awareness of their individual needs and situation within the administration;
- or to improve career development opportunities.

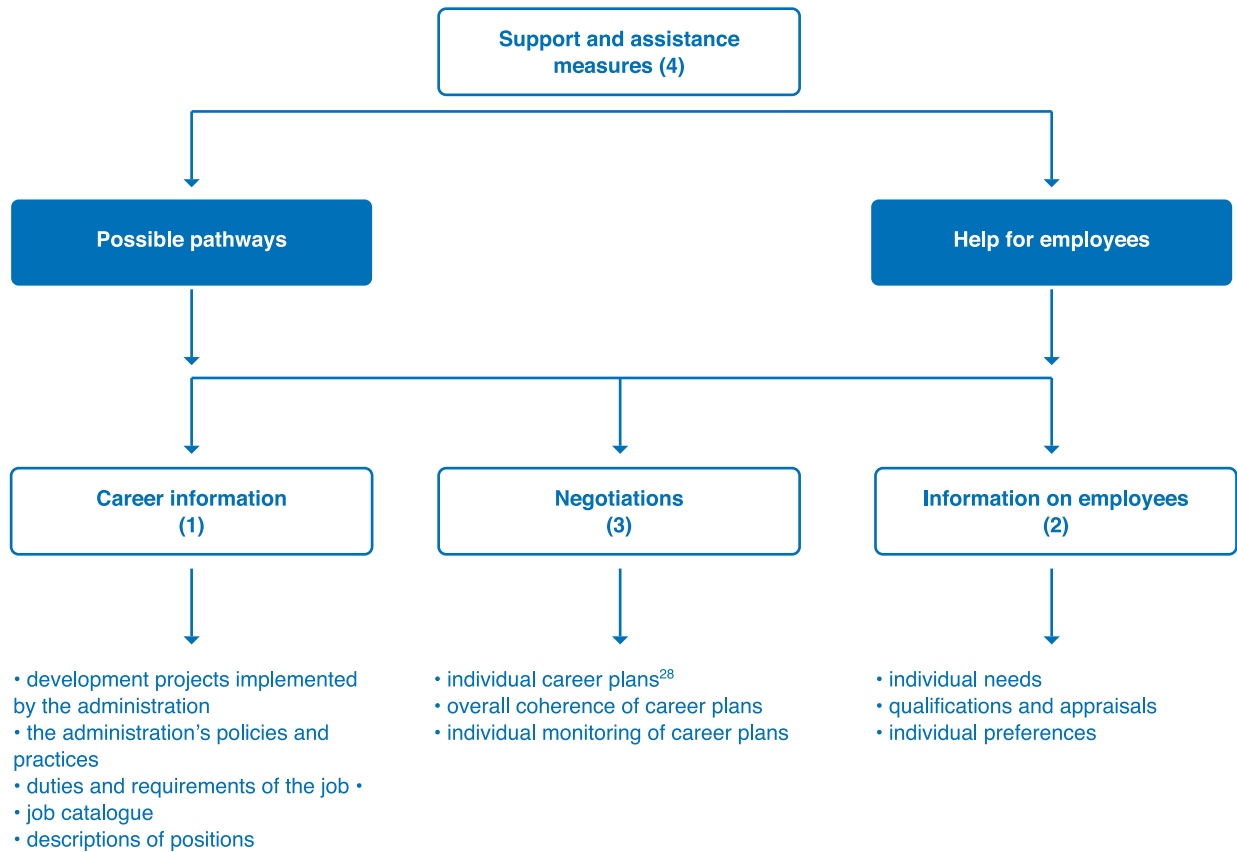
The following diagram visualizes this highly iterative process, and demonstrates that the steps are not sequential, since they may start from two opposing points.

The objectives of the information campaigns which must be carried out prior to any negotiations between the various stakeholders are as follows:

- to ensure that employees are aware of career opportunities (1),
- to increase line managers’ awareness of employees and their personal needs (2).

Negotiations (3) cover the production of the career plan itself and harmonization and follow-up measures.

Fig 30 : The career planning process



Help for employees (4) may take various different forms:

- individual guidance provided by a direct line manager or an HR professional ;
- guidance provided by professional counsellors from outside the administration ;
- other interim solutions²⁹ are also possible, e.g. discussion groups, assignment of a mentor, path-finding and referral services etc.

The following model helps employees to structure their thoughts on the subject :

Phase 1 : the employee should start by asking himself/herself questions about the following :

- values,
- long-term goals,
- career expectations,
- the importance of work in relation to his/her personal life,
- etc.;

Phase 2 : the employee should assess his/her current situation, analyse his/her strengths and weaknesses and achieve a better understanding of his/her personality and patterns of behaviour ;

Phase 3 : the employee should produce a variety of career strategies (specialization, diversification in terms of experience, transfers to different geographical locations, occupational mobility, search for a mentor, etc.);

Phase 4 : these strategies should allow the employee to achieve the short-term goals (recognition, competencies, salary, flexibility, etc.) identified as milestones on the way to his/her long-term goals;

Phase 5 : in order to be pragmatic and effective, these strategies should be based on real-life organizational opportunities, in particular jobs.

A framework of this kind makes it easier for employees to sketch out one or more potential career pathways. A counsellor (either employed by the administration or an external service provider) may also help an employee to assess whether the pathways are realistic (**phase 6**), based on an analysis of their rigour.

28- The forms in Appendices 1 and 2 provide a starting point for employees to reflect on their individual development plans.

29- Other tools are listed in the second part of this chapter.

Career pathways (4) can be sketched out within a three-dimensional space along the following three axes :

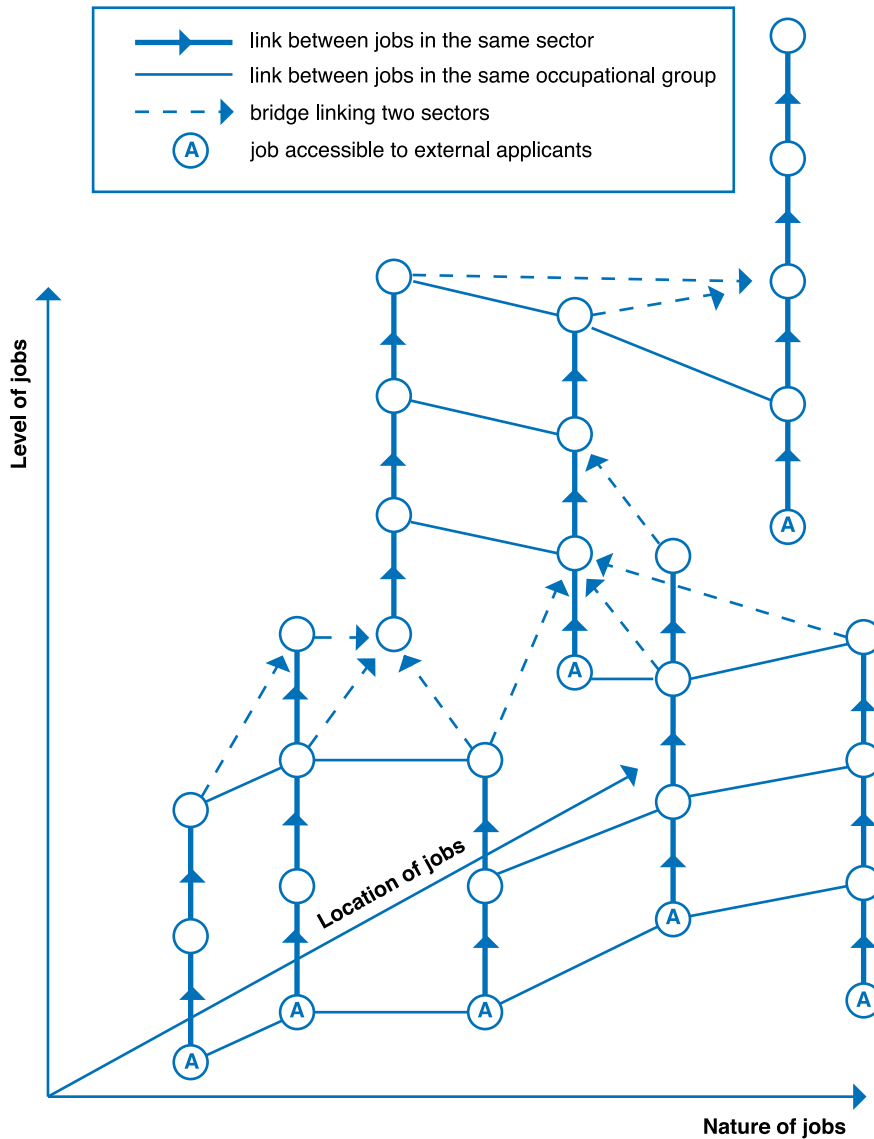
- the nature of the jobs,

- the level of the jobs,

- the location of the jobs.

The following diagram illustrates movements within what we refer to as a "job network":

Fig 31 : A job network highlighting career opportunities



By increasing opportunities for lateral movement (based on the similarity of the duties performed by the holders of particular jobs, but also on the similarity of the qualifications and competencies required), the proposed approach makes it possible to identify job networks rather than job sectors (as was previously the case). These networks provide individuals with more freedom to follow career pathways which better reflect their specific needs.

5-2- Career management tools initiated by the administration

Certain types of tools, processes and programmes which can be chosen with a view to implementing a competency-based career planning and development tool are discussed below.

» Career information

- **Information on career pathways/career flows** is supplied in a number of different formats, i.e. via the Intranet, career guidance programmes, manuals or the HR management system. Use of a competency-based HR management system in this respect offers the advantage of providing employees with a full overview of the requirements associated with the various positions along their career pathway.
- **Manuals and forms** to support employee development or participation in a scheduled programme. The use of automated tools to deliver these manuals or forms can be a particularly good idea since it provides employees with a broader view of the competency-related requirements for jobs within the administration.



- **Self-appraisals, supervisor appraisals and/or multi-source appraisals** to evaluate development-related progress. If the Customs administration includes decentralized bodies or has a large workforce, appraisals can be carried out using online tools that supply detailed information on the competencies which still need to be developed.

» **Learning plans**

- **Tailored personal developments plans** which record and track progress along a chosen career path can take the form of documents within an online HR management system. A successful outcome for the overall programme is much more probable if employees have a structured framework within which they can work and tools for the easy identification of learning solutions.

- **A form, process or online tool (e.g. a passport or list of employees) which validates and documents the competencies held by employees.** Both employees and the administration benefit from being able to document and evaluate employees' validated competencies for the purpose of career management, succession planning and the filling of vacant positions.

» **Learning resources**

- **Catalogues of educational resources organized by competency:** these catalogues can be incorporated into a competency-based HR management software application, which will allow employees and line managers to choose targeted learning options which relate to specific areas of competency and are tailored to the employee's preferred learning style.

- **Collaborative learning,** knowledge sharing, communities of practice – e.g. using social networking tools, wikis, etc.

- **Work assignments or "learning by doing" exercises** aimed at developing competencies, which can again be categorized by competency in a database accessible to employees wishing to advance in their careers.

- **Formal development programmes** which incorporate a variety of training, appraisal and learning options designed to support career development (job-rotation schemes, learning programmes, mentoring, reimbursement of tuition fees, etc.).

» **Other tools**

- **Professional resource centres** which can be accessed by employees in search of information and support to advance in their careers. This function can be performed by self-help tools for employees and online career development software.

- **Mentoring** (e.g. by more experienced and senior

employees) and coaching (e.g. by qualified trainers) for employees.

- **Training** for line managers and employees on how the programme works and how to gain the most benefit from it.

5-3- Career management process initiated by the administration

» **Inventory of positions and required competencies**

The first stage in the process is to draw up an inventory of positions and the associated competencies. This information can be found in the descriptions of positions referred to in the first part of this Guide.

It is also useful to reflect on the following during this exercise :

- changing circumstances which will affect the positions and competencies required within the administration;
- strategic and operational plans;
- employees who are likely to leave the administration over the next few years;
- critical jobs;
- etc.

By making it easier to identify the commonalities between different positions, descriptions of these positions promote internal mobility and the development of competencies.

An analysis of this kind serves as a basis for decisions on the most appropriate measures to take (e.g. development of internal competencies, recruitment, etc.), particularly in the context of occupied and vacant positions.

For each measure, the analysis also provides a holistic view of the options available for employees to make progress within the administration in the course of their career along the following different axes :

- within the same position;
- in a different position but in the same role (support or steering and managing), level or job;
- in a different role;
- in a different job sector;
- in a different occupational group.

Consideration can also be given at this stage to **vacancy notifications** as a method aimed at harmonizing career progression. Although this method has been around for a long time, for some Customs administrations it can still form a useful component of a career management system since it alerts decision-makers to individuals who are interested in the relevant career move.

Job postings of this kind can be modernized by integrating them into a **computerized system which matches individuals to vacant positions**. Although these systems are often designed for the purpose of filling vacant positions and jobs as quickly as possible on the basis of available competencies, they can also be used as a career development tool if they allow the staffing system to be matched up to the career planning and succession planning systems on the basis of an inventory of competencies. Systems of this kind can then identify candidates who will benefit most from the development opportunities offered by vacant jobs and positions.

The importance of such systems results not only from the associated improvements in the efficiency of internal staffing processes, but also from the fact that they reduce red tape and promote active involvement on the part of employees (continuous updating of CVs) and uniform dissemination of information.

For Customs administrations without an advanced IT system, matching of this kind can be carried out manually by the careers manager or the human resources department.

A counsellor or information officer can make a very useful contribution at this stage; since he/she is aware of the needs of both employees and the administration, he/she can make allowances for certain intangible or confidential factors which are inaccessible to computerized matching systems. If professionals of this kind are not available, mentors (or more frequently line managers) can perform this role for their subordinates, in particular within the framework of a succession plan.

» **Development process**

In the context of career management and employee support, a development process provides the following opportunities:

- better understanding of competencies which have been mastered and those which still need to be developed, by comparing the competency profiles for positions against the competencies of those who hold these positions;
- better understanding of the potential competencies of those who hold positions which may not yet be included in the competency profiles for the positions;
- identification of competencies which already exist and those which still need to be developed to make career progress (e.g. to focus on a different task or role);
- promotion of dialogue between line managers and employees;
- identification of relevant development goals and ability to select the most appropriate development tools;

- identification of development measures to be carried out at team and administration level and proposal of the most appropriate plans in this respect;
- anticipation of individual and/or shared development needs;
- use of this information as a basis for producing individual career plans.

» **Other career support tools initiated by the administration**

The following tools can also be introduced to supplement the development process and/or to enhance its content:

a. Job-rotation schemes and temporary assignments

Job-rotation schemes and temporary assignments allow employees to develop new competencies and to become more versatile at the same time as increasing organizational flexibility.

b. 360-degree feedback

The 360-degree feedback method makes it possible for the individuals working around the employee to provide feedback on his/her competencies and skills in relation to the performance of his/her tasks, and can be used as a basis for guidance on development actions.

c. Tests and assessment and development centres

Certain tests and assessment and development centres also provide opportunities for analysing an individual's competencies. The outcomes can be used to fine-tune the individual's strengths and development priorities in the context of his/her position and/or career.

Simulation exercises may be carried out, e.g. a group discussion on a topic of professional interest. Candidates are observed and graded on their leadership skills, ability to influence others, competencies in terms of analysing, summarizing, negotiating, etc.

Simulation exercises of this kind provide a relatively reliable indication of the candidate's potential to continue in the same position or to apply for others within the same or a different occupational group.

One drawback of this method is its cost, and so it is recommended only for executive staff wishing to move into leadership roles.

d. Career guidance

The employee, or in other words the individual involved, is the main stakeholder in his/her career. His/her direct line manager also has a key role to play in terms of providing support. The human resources department can provide career counselling either to employees or to line managers, so that the latter feel more comfortable with the task of supporting the



employees for whom they are directly responsible.

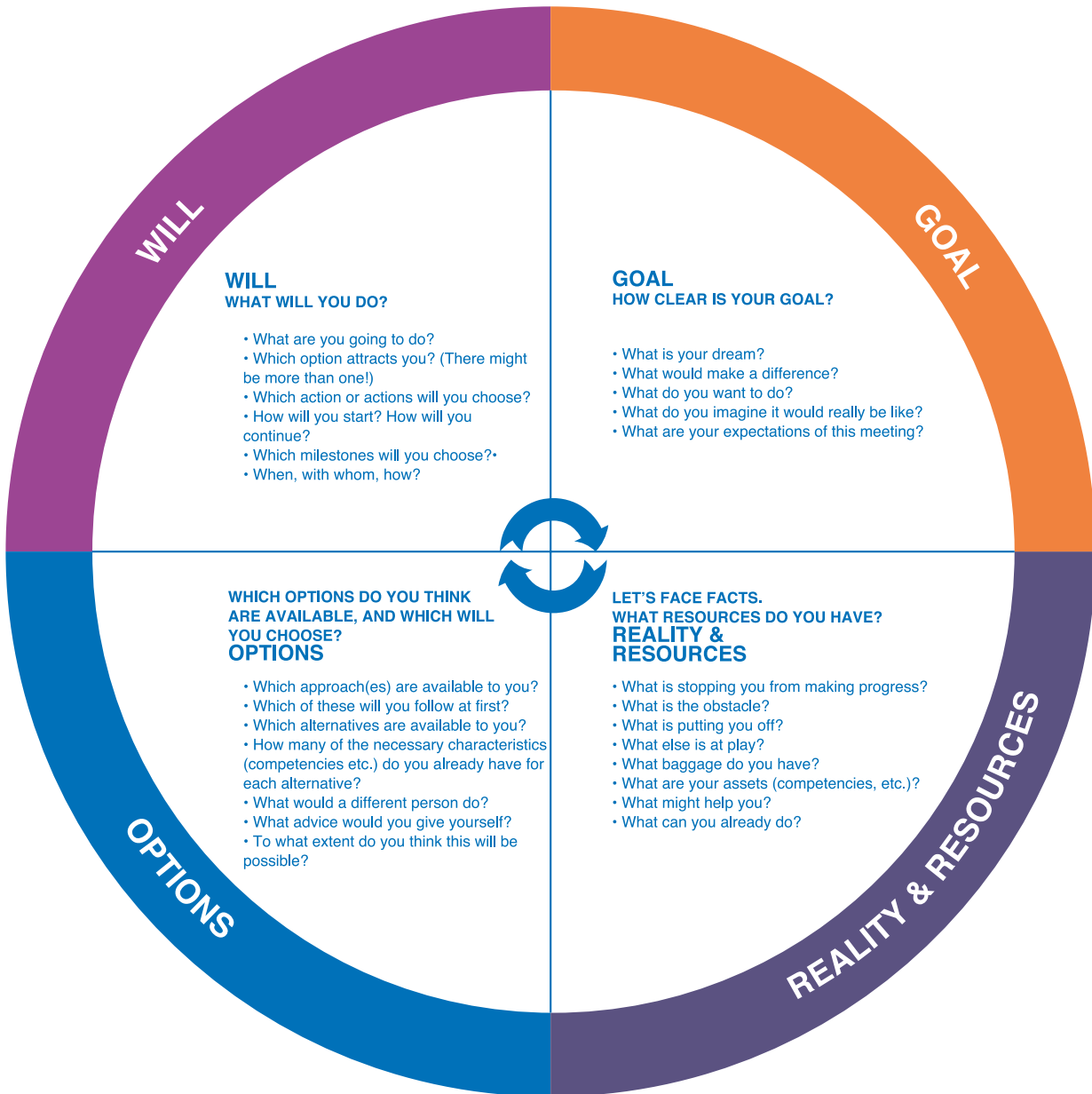
Career guidance meetings are organized in such a way that the individual concerned (the employee) can choose the most appropriate solution from among a variety of alternatives discussed.

Dedicated careers guidance can be made available to employees with a view to providing them with the information and advice required to develop a career plan.

Regardless of who is chosen to hold discussions with an employee on his/her career options, it is a good idea to use a single tool to facilitate the subsequent collection of coherent data and the purposeful analysis of these data. We propose the use of a model referred to by the acronym "**GRROW**" in order to facilitate support on the basis of very specific questions to be discussed with the employee:

- **G** : goal : Which goal do you wish to achieve?
- **R** : reality: What is your current situation?
- **R** : resources: What are your (personal) resources?
- **O** : options: What are your options?
- **W** : will: What do you wish to do? Which actions do you wish to take?

Fig 32 : Coaching model



At each stage, competency profiles allow employees' profiles to be compared against the profile for their current position and their desired future position.

e. Individual coaching

Individual coaching is a support tool which is neither guidance, mentoring, shadowing nor training, and still less therapy. Instead, it is a professional development tool which involves a contract between a coach, the employee (the coachee) and the administration (represented by the line manager or the human resources department).

Individual coaching is used in many different situations and offers many different advantages. In particular, it benefits and supports employees who – at certain stages of their professional careers – find it necessary to reflect on their professional future, become more mobile, take up a high-risk position, etc.

Individual coaching involves 10 or so regular meetings between an employee and a consultant/coach trained in psychological techniques; the content of these meetings is tailored to the individual, and the matters discussed are kept confidential.

Individual coaching helps to retain staff by identifying potential careers for them, but also allows individuals to “bounce back” by finding tailored and often transitional solutions to problematic situations.

If the administration has the necessary resources at its disposal, it can put in place a permanent internal career management guidance structure; if not, it can recruit – on the basis of a bilateral agreement – specialized external coaches to work with executive, expert or specialist members of staff.

The most highly qualified members of staff, executive managers with potential (prospective future leaders) and professionals (recruited for their specific skills) sometimes find themselves in a situation where their chosen career proves lacking in certain respects, and they feel oppressed (either consciously or unconsciously) by the unspoken “production-line mentality” of their managers.

These frustrations result from a mismatch between career aspirations and actual achievements. Coaching acts as a stopgap in the sense that it makes it possible to work around organizational problems by shifting the responsibility to employees while allowing them to find solutions to difficult situations and appeasing professional conflicts.

The key to the success of coaching as a stopgap measure is the fact that it improves the individual's “soft skills”:

- **Firstly**, during the second or third coaching session, the executive manager gains confidence and expresses his/her frustration at the lack of career progress. The coach welcomes this dissatisfaction with an attitude of “benevolent

neutrality”. Providing an outlet for an employee's frustrations is the first key role played by individual coaching.

- **Secondly**, individual coaching involves handing responsibility over to the employee. Offering coaching sessions instead of a new position or job title – and justifying this decision on the grounds that the employee needs to improve his/her soft skills before he/she can progress up the ranks – makes the employee responsible for his/her failure. This makes it possible to move from a scenario in which institutional structures have prevented the employee from getting a particular job title to one in which a “lack of creativity” on the part of the employee himself/herself is responsible for this failure.
- **Thirdly**, individual coaching involves reflecting on the employee's professional ambitions and thinking about his/her self-image and values and the meaning he/she attaches to work.
- **Fourthly**, individual coaching involves searching for a solution to the employee's current career problems. Although the employee – who is familiar with his/her professional environment – will be responsible for searching for a specific position, the coach encourages him/her to be creative when searching for solutions, or in other words to suggest or uncover alternative, cross-disciplinary or interim pathways. Coaching can be considered a success if the executive manager is given the necessary tools to find a position outside the strict confines of the organizational chart.

5-4- Exit management

Managing employee exits is a vitally important task in order to ensure the continuous provision of a high-quality service and avoid any harm to the brand image of the Customs administration. Employee exits can have a substantial impact on employees who remain in their positions and their competencies (the need to redistribute competencies within teams or acquire new competencies, etc.).

The following tools can be used to manage employee exits:

a. Exit meeting

Whenever employees leave the administration (because they are retiring, because their contract has ended or because they have resigned), they should always be invited to attend an exit meeting at which several key points can be discussed (things which the employee liked/disliked about working for the administration, career options, development of competencies, etc.).

The purpose of these meetings is to gather information which can be used as a basis for improving the administration's processes and the coaching role performed by middle management.

b. Knowledge management

The exit meeting provides an opportunity to identify any critical competencies held by the exiting employee, making it possible to arrange for these competencies to be transferred to one or more other individuals. The meeting should take place well before the employee leaves the company so that the relevant arrangements for a transfer of knowledge can be made in good time.

c. Forward planning of jobs

In order to ensure continuity of service, it is important to anticipate potential exits (on the basis of retirement planning, staff turnover figures, information on employees' career aspirations, etc.) so that the most appropriate measures can be taken (development of competencies, succession planning, transfers, recruitment, etc.) and new career opportunities can be offered to employees.

d. HR management based on employee life stages

The career needs of an individual may be dictated by his/her current stage of life (career entrant, parent of young children, mid-career professional, etc.), and it is important that HR processes take account of these factors in order to foster a culture of intergenerational cooperation in which everyone can develop their competencies and teams can operate in a balanced manner.

5-5- Succession planning

Succession planning³⁰ achieves the same outcome – i.e. identifying the administration's key needs and systematically preparing the employees most likely to fulfil these needs – but follows a completely different route.

The succession planning process generally involves four stages:

- identifying key positions (demand);
- identifying potential successors to these positions (supply);
- reviewing the candidates and producing succession plans;
- producing individual development plans.

This process can be approached in four different way :

- the “crown prince” approach: one candidate for each key position or job;
- the “list” approach: three or four candidates for each key position or job;
- the “pool” approach: a bank of candidates which can be appointed to various key positions or jobs;
- the “two-step” approach: a pool is established on the basis of very broad criteria, and then

appointments are made on the basis of narrower criteria in line with the “crown prince” approach.

5-6- Occupational mobility

Mobility is a key issue for employees, since it serves as a personal development tool which provides them with a route to high-ranking positions and allows them to acquire new competencies and fulfil their desire for change. It is also a key issue for the administration, since it serves as a management tool which allows them to achieve a better match between the administration's needs and employee profiles, to improve internal cohesion and to revitalize organizational structures.

» Occupational mobility areas

Occupational mobility areas encompass all the potential pathways between different jobs or occupational groups.

Occupational mobility areas are established for individual jobs by :

- identifying a shared foundation of competencies on the basis of job comparisons;
- identifying the competencies which would be necessary to perform a particular activity with the required professionalism as part of the chosen job or within an occupational group.

Occupational mobility areas centred around a base job offer a range of potential pathways; the greater the distance between the jobs, the fewer competencies they share. Crossovers between jobs imply that they share at least one competency.

The administration is responsible for determining the range of mobility options within or from a specific job.

Occupational mobility within the same job is regarded as “natural” movement since it requires little or no specific support.

Occupational mobility which involves moving from one job to another can be classified into **three** different types on the basis of the proximity of the two jobs:

- “**Easy**” occupational mobility pathways: there are many commonalities between the jobs, and the shared competencies relate to core tasks. An executive secretary is a good example of this type of mobility.
- “**Accessible**” occupational mobility pathways: the competencies shared between the jobs involve merely a limited amount of fundamental or technical knowledge, and the jobs have almost no expertise in common. It will be necessary to learn some of the core tasks to be performed as part of the new job. An IT systems engineer is a good example of this type of mobility.

³⁰- A specimen of an appraisal form for succession planning can be found in the appendix 4.

- **“Potential”** occupational mobility pathways: the core tasks involved in the two jobs are completely different, and they have neither knowledge nor expertise in common. Shared competencies are mainly cognitive or behavioural in nature. A project manager is a good example of this type of mobility.

Training or support measures are required in the first two scenarios, whereas training measures are more appropriate in the third scenario.

» **Method for the development of occupational mobility areas**

The method involves **four** stages :

- **Stage 1:** Mobility areas are presented and pilot groups are set up by the head of the human resources department and one specialist for each job. The development process which will ultimately be used is fine-tuned on the basis of these pilot group activities.
- **Stage 2 :**
 - (a) the project is presented to all job specialists;
 - (b) mobility scenarios are developed for each of the “occupational groups”.
- **Stage 3:** All of the job specialists are asked to examine, comment on and validate the mobility areas identified by the working groups. During this stage, the potential mobility options can be expanded on and defined in more detail.
- **Stage 4:** A final validation and proofreading meeting is organized with the involvement of all job specialists, with the following aims :
 - each of the specialists must examine all the mobility pathways towards his/her occupational group, and discuss the related competencies with the job specialists which proposed these mobility scenarios;
 - the validity of the mobility pathways from their occupational groups towards others must be evaluated by examining the relevant gateways with the job specialists in question.

This method of validation makes it possible for specialists to hold face-to-face discussions on the relevant jobs and the competencies deemed necessary; it ensures that everyone learns to use a shared language, and allows an accurate assessment of the nature of the shared competencies.

» **Identification of mobility pathways**

The identification of mobility pathways involves :

- analysing the extent to which different jobs require the same key competencies;
- estimating the amount of work that will be necessary to acquire these competencies (in terms of training, mentoring, etc.).

5-7- Direct stakeholders in the career management process

» **La Direction des Ressources Humaines**

Working together with top management, the human resources department develops a career strategy and identifies the managerial resources required to monitor the implementation of this strategy.

This involves :

- making available tools which allow line managers and employees to identify and develop competencies (in particular by means of the

It is vitally important to ensure alignment of the strategy developed by the human resources department with the organizational strategy.

development process and the other tools referred to above);

- advertising vacant positions within the administration (via a dedicated platform, or simply by displaying the relevant information in locations where employees are likely to see it);
- providing advice on the development of competencies;
- providing careers guidance advice;
- establishing development tools (training, mentoring programme, etc.).

» **Employees**

The employee is the main stakeholder in his/her career. He/she analyses areas of strength and areas for improvement with reference to his/her current position, as well as his/her performance and personal interests, as the basis for a clearer assessment of potential future career directions.

In consultation with his/her immediate line manager and the human resources department, the employee participates in appropriate development measures.

» **Line management**

Functional managers monitor employees to ensure that they perform their tasks properly. Within the framework of the development process described above, they provide regular feedback on performance and competencies, promote the use of competencies within the team (strengths, complementarity, collaboration, etc.), and track their development.

Line managers must be open to potential opportunities in respect of the careers of the employees they manage, in particular by discussing career development options.

APPENDIX 1: INDIVIDUAL CAREER PLAN – MODEL FORM

It is important to keep track of the short-term actions which will help you achieve your long-term goals.

Update the form on a regular basis as you progress through your career plan.

Make copies of the form and discuss it with individuals who are in a position to help you.

My career plan : *My long-term goal.....*

I will complete the following short-term action	Between now and (date)	I will use the following resources	I will do the following to reward myself for completing this action
1.			
2.			
3.			
4.			
5.			

I will re-evaluate my plan and my goals on (date):

APPENDIX 2: PERSONAL CAREER DEVELOPMENT PLAN – MODEL

First name & surname	
---------------------------------	--

Career development goals	Links between the employee's goals and the administration's goals	Knowledge, competencies, skills to be developed	Professional development activities	Resources	Deadline
Goal 1					
Goal 2					
Goal 3					

Employee's signature		Date	
Line manager's signature		Date	

EXPLANATORY COMMENTS

Keep in mind that the purpose of your personal career development plan is to help you do the following

- Determine your career priorities;
- Set goals which benefit both you and your organization;
- Choose the activities and resources which are most likely to help you achieve your goals;
- Impose deadlines on your goals.

Individual sections of the form

– Professional development goals for the coming year

- What you want to achieve

– Links between your goals and the organization's goals

- How will your professional development goals benefit your administration?

– Knowledge, competencies, skills to be developed

- What do you hope to learn?

– Professional development activities

- Which professional development activities are mostly likely to help you achieve the goals you have set?

– Resources

- Which resources will you need in order to participate in professional development activities (time, funding, assistance from your line manager and/or the administration, etc.)?

– Deadlines

- Personal career development plans are generally based on long-term goals, but sometimes employees prefer to set short-term goals (one year) and medium-term goals (two years) as well as long-term goals (three years). Longer deadlines may be necessary if your goals include working towards a degree or a qualification in your field.


APPENDIX 3: APPRAISAL FORM FOR SUCCESSION PLANNING

First and last name of appraisee: "Forename _and_ Surname"		Current role: "Role"	
Target role: "TargetRole"		Line of report: "LineOfReport"	
Appraisal			
Factors	Criteria	Score*	Details
Competencies	Achieve results		Able to make a personal contribution to achievement of the administration's goals by taking well-thought-out decisions, by harnessing the administration's resources and by measuring outcomes, in particular for reporting purposes.
	Take decisions		Able to take the best possible decisions and resolve problems involving various levels of complexity, ambiguity and risk.
	Mobilize staff**		Able to unite people around a common vision and shared values by creating a harmonious working atmosphere in which everyone's contribution is recognized, while ensuring the development and longevity of expertise.
	Manage conflicts		Able to prevent, manage and/or resolve conflicts and mediate between the parties involved.
Qualities	Team spirit		Able to encourage teamwork, establish effective relationships with others and build a culture which promotes teamwork.
	Reliability		Able to demonstrate determination and perseverance in his/her commitment to the achievement of results, while continuing to meet obligations and complete tasks.
	Flexibility		Able to demonstrate open-mindedness and willingness to adapt to new or complex situations and to meet different expectations.
	Ethics and integrity		Able to promote principles, rules and values which correspond to the Customs administration's code of conduct and to act in line with these principles.
	Ability to handle stress		Able to manage his/her emotions and remain in control while working efficiently in stressful situations.
	Authority		Able to assert his/her rightful authority by acting with confidence and fulfilling his/her responsibilities while respecting others.
Other factors	Technical competencies		Competencies and expertise which align completely with what is required. Could be set to work immediately on operational tasks in technical fields.
	Motivation		Strongly motivated by the target role. Evidence of commitment and motivation seen during various evaluation meetings.
General appraisal (tick one box only)			
Ready to be promoted: meets all the technical and managerial requirements to be successful in the target leadership position.			
Needs more experience: has the potential to be successful in this position but needs further training or supervision.			
Unsuitable for this position: further progress needed, not yet ready for a management position.			
Development plan recommendations : Which actions do you think would be most suitable to prepare this candidate for the target position?			
Improving managerial skills (please provide details):			
Improving technical skills (please provide details):			
New role aimed at building competencies and gaining experience (please provide details):			
Participation in the succession preparation cycle for the target role:			
Other actions (please provide details):			
Line manager's comments and suggestions			
Appraiser's name and signature:			
Date of appraisal :			

* Score from 1 to 3.

** Individuals in middle management roles: office manager/deputy authorising officer/deputy district collector/head of section.

APPENDIX 4: CAREER DEVELOPMENT ACTIONS

Description	In-post development	Promotion and mobility	Mentoring and coaching	Training	Goals
	<ul style="list-style-type: none"> Leadership/ participation in specific project 	<ul style="list-style-type: none"> Cross-disciplinary mobility promoting flexibility 	<ul style="list-style-type: none"> Mentoring Coaching 	<ul style="list-style-type: none"> Priority access to "traditional" training Access to special "premium" training 	 <ul style="list-style-type: none"> Expanded vision thanks to versatility Managerial competencies
Pool 1 (executive management)	<ul style="list-style-type: none"> Responsibility for inter/intra-service projects Systematic performance of higher-ranking duties in an acting capacity Responsibility for critical dossiers 	<ul style="list-style-type: none"> Functional mobility Mobility into regional management First managerial responsibilities 	<ul style="list-style-type: none"> Mentoring by a succession candidate from Pool 2 Participation in intra-service events 	<ul style="list-style-type: none"> Standard training to develop efficiency, managerial competencies and commitment 	<ul style="list-style-type: none"> Expanded vision thanks to versatility Managerial competencies
Pool 2 (heads of department)	<ul style="list-style-type: none"> Responsibility for cross-disciplinary intra-division projects Responsibility for critical dossiers Systematic performance of higher-ranking duties in an acting capacity 	<ul style="list-style-type: none"> Functional mobility Greater managerial responsibilities 	<ul style="list-style-type: none"> Mentoring by a succession candidate from Pool 3 Participation in inter-division events 	<ul style="list-style-type: none"> Targeted training to develop leadership competencies 	<ul style="list-style-type: none"> Vision Leadership skills
Pool 3 (heads of division)	<ul style="list-style-type: none"> Active participation in the administration's projects Responsibility for critical dossiers Systematic performance of higher-ranking duties in an acting capacity 	<ul style="list-style-type: none"> Challenges associated with limited mobility – succession preparation through the sharing of critical information 	<ul style="list-style-type: none"> Individual coaching 	<ul style="list-style-type: none"> Personalized individual coaching 	<ul style="list-style-type: none"> Strategic vision Managerial skills





CONCLUSION



The ever changing global trade environment presents Customs administrations with new opportunities and challenges that must be met in a strategic and effective manner. People are the key enabler of any organization. It is therefore essential that Customs administrations invest in their people as a fundamental element of their organizational development and modernization agendas. Attracting talent, supporting the professional development of employees, proactively shaping the future workforce and retaining top performers are some of the critical issues facing Customs administrations.

A competency-based approach to Human Resource Management (HRM) ensures that the HRM strategy and processes as well as employees performance are aligned with the organization's vision, mission, strategic goals and values. It also allows organizations to promote the professional and personal development of their staff (human capital).

Customs is a coherent professional body with unique operating models, requiring a unique set of competencies. This Practical Guide to Establishing a Competency Based Human Resources Management System in a Customs Context is therefore intended to support customs administrations and merged authorities in their human resources management modernization efforts. This guide is the WCO Secretariat's response to the needs expressed by its Members to have a tool at their disposal that would give them the step-by-step approach to building the foundations of a competency-based HRM system.

This guide comes as a complement to the battery of HRM-related tools developed by the WCO, including: the WCO Framework of Principles and Practices on Customs Professionalism, the People Development Diagnostic Tool ...

To be effective, competency-based human resource management must be embedded at all levels of the organizational culture – its success is not the sole responsibility of the structure in charge of HRM but rather requires the full engagement and support of both management and staff alike. Establishing a competency-based HRM system only builds the foundation of the system – the system must now be operationalized and institutionalized for the organization and the staff to fully reap the benefits of such a system.

This guide is intended to help the Customs Administrations fulfil the expectations that they should always be ready to rise to the challenges and opportunities presented to them through an exemplary and competent workforce





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